

Fallbrook Union Elementary School District
RFP #404-23-24

Companies		KB Foods			Clearbrook Farms			Sysco			Gold Star Foods			Sunrise Produce		
Ranking Criteria	Available	#1	#2	#3	#1	#2	#3	#1	#2	#3	#1	#2	#3	#1	#2	#3
Cost/ Pricing	35	21	25	35	7	10	7	28	15	28	35	20	14	14	5	21
Customer Service & References	23	25	25	5	10	25	5	15	5	15	20	20	25	5	5	20
Experience & Competence	20	12	15	8	0	15	4	8	15	12	20	10	20	0	5	16
Sustainability	20	8	15	16	0	15	12	0	15	8	20	20	20	0	0	4
Total	Max(100)	66	80	69	17	65	28	51	70	63	95	70	79	19	15	61
Average of Total Points		72			37			61			81			32		

CHECKED MAR 07 2023
OPENED @ 10:00 AM yv.



GOLD STAR FOODS

GOLD STAR FOODS

FALLBROOK UNION ELEMENTARY SCHOOL DISTRICT

RFP NO.: 404-23-24

FROZEN, REFRIGERATED, PROCESSED COMMODITIES AND/OR
COMMERICAL DRY FOOD/GROCERY PRODUCTS AND DISTRIBUTION

(800) 540-0215

3781 E Airport Drive, Ontario, CA 91761

GOLDSTARFOODS.COM

Fallbrook Union Elementary School District
RFP No. 404-23-24
Required Proposal Document Checklist

Distributors responding to this RFP must follow the format in the section of Required Proposal Documents. The following must be completed and submitted with the proposal package:

1. Cover Letter (Note: Provide your own document with requested information)
2. Request for Proposal Signature Page
3. Contract
4. Reference List
5. Public Liability and Property Insurance (Note: Provide your own document.)
6. Worker's Compensation Certificate (Note: Provide your own document)
7. Hazard Analysis Critical Control Point Plan (Note: Provide your own document.)
8. Food Security and Safety Program (Note: Provide your own document.)
9. Product Recall Program (Note: Provide your own document.)
10. Disaster Contingency Plan (Note: Provide your own document.)
11. Evidence of Satisfactory Third-Party Safety Audits (Note: Provide your own document)
12. Suspension and Debarment Certification, U.S. Department of Agriculture
13. Disclosure of Lobbying Activities
14. Iran Contracting Act of 2010 Compliance Affidavit
15. Buy American Certification
16. Tobacco-Free School Certification
17. Fingerprinting Certification
18. Signature Page
19. Non-Collusion Declaration
20. Required Proposal Documents Checklist
21. Product/Food Lists with Pricing
22. Payment Documentation

Completed by: John Cho

Title: V.P. of Revenue Management

Signature: _____

Date: March 06, 2023

Gold Star Foods



GOLD STAR FOODS

March 6, 2023

Fallbrook Union Elementary School District
Child Nutrition Services Department
409 W. Fallbrook St.
Fallbrook, CA 92028

Re: Request for Proposal No. 404-23-24 Frozen, Refrigerated, Processed Commodities and/or Commercial Dry Food/ Grocery Products and Distribution

Gold Star Foods Inc. (Gold Star) is pleased to present the following offer Fallbrook Union Elementary School District in response to RFP No. #404-23-24 Frozen, Refrigerated, Processed Commodities and/or Commercial Dry Food/ Grocery Products and Distribution for the 2023-2024 school year.

Gold Star has been serving exclusively K-12 School Nutrition Programs for over 45 years. As the largest K-12 school-dedicated solutions provider in the nation, we partner with nine (9) State Agencies, two (2) private commodity cooperatives and over 4500 school districts to support the service of over 6.6 million meals per day through our fourteen (14) Distribution Centers located in California (2), Oregon, Idaho, Colorado, Louisiana, Texas, Pennsylvania, Missouri (3), Connecticut, South Carolina, and Virginia.

Our entire business is designed to support the needs of our school district partners. Specifically, Gold Star has implemented support systems to ensure, at a minimum:

- Menu compliance – meeting Federal, State, and local requirements
- Flexibility to allow for changing menu needs
- Buy American compliance
- Food Safety and Hold/Recall Compliance

As required by the RFP, the following list outlines information about Gold Star Foods:

- **Distributor Name:** Gold Star Foods, Inc.
- **Address:** 3781 E. Airport Dr, Ontario, CA 91761
- **Contact Person Name:** John Cho, Vice President of Revenue Management
- **Phone Number:** 800-540-0215
- **Email Address:** johncho@goldstarfoods.com
- **Year Distributor established:** Established in 1978
- **Number of Employees:** 514 employees

(800) 540-0215
3781 E Airport Drive, Ontario, CA 91761
GOLDSTARFOODS.COM

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GOLD STAR FOODS

- Website: www.goldstarfoods.com; Twitter: @goldstarfoods;
Facebook: <https://www.facebook.com/Gold-Star-Foods-Inc-134608939887373/>
- Signature (at bottom of cover letter)
- Corporate Seal (at bottom of cover letter)

Cost

Please find the enclosed cost.

Customer Service and References

Providing excellent customer service to our partner districts is an integral component of our service model.

Each customer is assigned a dedicated K-12 Account Specialist who can be reached by email or phone. The Account Specialist works directly with school district customers and their sites to communicate all issues and questions regarding orders and deliveries. The K-12 Account Specialist is the main point of contact for the account. They are responsible for managing deliveries, orders, credits and rebills, and day-to-day operations.

Each customer is also assigned a dedicated Sales Manager who can be reached by email or phone. The Sales Manager works directly, often in person with school district customers. The Sales Manager is considered the project manager for the account and would work closely with the school district to make recommendations regarding products and service.

Please find the attached reference list.

Experience and Competence

Gold Star's qualifications and experience that allow us to complete the RFP's scope of work include:

- An entire company dedicated to solutions-driven support for K-12 Child Nutrition Programs.
- An extensive K-12 product catalog of 7,700 school-compliant products.
- Dedicated K-12 Account Specialist and Sales Manager for every customer to address day-to-day operations and high-level proactive account management.
- Partnership affiliations with advocacy groups including Good Food Procurement, California Thursday, the Community Alliance with Family Farmers, and School Food Focus.
- Formulation Statements/CN Labels conveniently linked to the online product catalog.



GOLD STAR FOODS

Sustainability

Gold Star is a financially stable company. We have been in business for more than 45 years and continuously reinvest in the company to meet the needs of our partner school districts. Financial statements are confidential and proprietary but can be provided as requested. Annually, we purchase more than 8,000 K-12 specific SKU's with more than 2,500 individual SKU's for USDA Foods End Products. Annually, more than \$80 million of entitlement value is credited to schools purchasing these end products as part of the USDA's Processing Program. We partner with nearly 350 different manufacturers and have adequate credit limits with each company to ensure the continuous flow of food throughout supply chain.

Specific to insurance, Gold Star carries Commercial and General Liability, Automobile Liability, Umbrella Policy, Workman's Compensations and Employer's Liability, Transit/Motor Vehicle Liability, and Warehouse Legal Liability.

Gold Star is a school-dedicated solutions provider, and our support extends beyond schools to also supporting State Agencies. We work with the largest and smallest schools in the nation, extending the same level of service and expertise regardless of the school district size.

Approximately 2/3 of the schools in the U.S. have a student population of 5,000 students or less resulting in Gold Star providing service to a great number of small and medium-sized schools. Most of the schools that we partner with do not have centralized warehouses and require site-level deliveries. Gold Star has the capability of performing services to meet the varied needs of our school district partners.

Conclusion

Gold Star's comprehensive response will provide Fallbrook Union Elementary School District with a transparent, service-based model that is designed to navigate the complexities of the current supply chain and set forth a roadmap for a successful business partnership. Gold Star has the infrastructure and understanding of the Child Nutrition Programs to seamlessly support the needs of the district. We welcome the opportunity to discuss our proposal in more detail as needed to fully understand the vision of this partnership.

"I certify that I have read the attached RFB and accompanying instructions and that I am authorized to commit the firm to the proposal submitted."

Respectfully,

John Cho-Vice President of Revenue Management

Corporate Seal:

RFP #404-23-24 Q/A

1. **What listing price should be presented for items that might not show commodity in the market basket?**

ANSWER: Please provide pricing in the appropriate columns (1 delivery/week or 2 deliveries/wk) and indicate in the "Fee for Service" column how the commodity pricing, if applicable, will be handled (i.e. the discount amount or Net Off Invoice or other).

2. **What does the "Extension" column in the market basket represent?**

ANSWER: This is the total amount based on the total usage quantities given. To obtain the total amount you would multiply the total usage by the pricing based on 1 drop per week or 2 drops per week to fill the appropriate column.

3. **In regards to the pricing under "1 drop per week" or "2x per week" quoting, would this be one central site or multiple locations?**

ANSWER: We are three different districts. Each district has different delivery requirements. BUSD prefers once a week deliveries on Thursdays. Fallbrook HS prefers twice a week deliveries on Tuesdays/Thursdays. Fallbrook Elementary prefers once a week deliveries on Tuesdays.

4. **Will the BID opening be a public event?**

ANSWER: No.



FALLBROOK UNION
ELEMENTARY SCHOOL DISTRICT

Child Nutrition Services Department
409 W. Fallbrook Street
Fallbrook, CA 92028
760-847-9364

Request for Proposal #404-23-24

**Frozen, Refrigerated, Processed Commodities
and/or Commercial Dry Food/ Grocery Products
and Distribution**

For
Fallbrook Union Elementary School District,
Fallbrook Union High School District,
And Bonsall Unified School District
Child Nutrition Services Departments
(together the Fallbrook Region Food Services Cooperative
Purchasing Group)

Proposals Due:

**Monday March 6th, 2023
by 10:00 am**

To be held at:

**Fallbrook Union Elementary School District
Child Nutrition Services Department
409 W. Fallbrook Street
Fallbrook, CA 92028**

Gold Star Foods

Fallbrook Union Elementary School District
RFP No. 404-23-24
Notice of Request for Proposals

Notice is hereby given that Fallbrook Union Elementary School District, on behalf of the following school districts, Fallbrook Union Elementary School District ("FUESD"), Fallbrook Union High School District ("FUHSD"), and Bonsall Unified School District ("BUSD") (collectively, the "Fallbrook Region Food Services Purchasing Cooperative"), is requesting proposals from qualified providers of **Frozen, Refrigerated, Processed Commodity and/or Commercial Food Products and Dry or Shelf Stable Food/Grocery Products and Distribution services** for the nutrition programs of the above named Districts.

The Board of Education/Trustees for the FALLBROOK UNION ELEMENTARY SCHOOL DISTRICT, CA (San Diego County), will receive electronic proposals for RFP Number #404-23-24 for the procurement of the following:

**Frozen, Refrigerated, Processed Commodity and/or Commercial Dry
Food/Grocery Products and Distribution Services**

RFP documents are located on the FUESD website at <https://www.fuesd.org/proposals/> Electronic proposals must be received by Fallbrook Union Elementary School District promptly by 10:00 AM, on Monday March 6th, 2023. Proposals received after that time will not be considered and will be returned to proposer. Proposals shall be opened at 10:00 AM on March 7, 2023.

FUESD is not responsible for proposals sent via U.S. Mail, UPS, Federal Express, or by any other delivery service. It is the vendor's responsibility to ensure that their proposal is delivered electronically to yvenegas@fuesd.org. Each proposal must conform and be responsive to the contract documents. No proposal may be withdrawn for ninety (90) days.

FUESD, on behalf of the districts named above, reserves the right to reject any or all proposals, to waive any discrepancy or technicality, and to award the contract for goods or services to other than the lowest proposal. The award of contract, if made by FUESD, will be to the qualified firm whose proposal best complies with all the requirements set forth in the proposal documents and whose proposal, in the opinion of FUESD, while complying with all legal requirements, is in the best interest of the districts listed above. Packets are available at <https://www.fuesd.org/proposals/>.

Refer any questions to: Yessica Venegas, Accounting Specialist, at yvenegas@fuesd.org or (760) 847-9364.

Gold Star Foods

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Fallbrook Union Elementary School District
RFP No. 404-23-24
Schedule of Important Dates

Dates of Advertisements	Feb. 7 th – Feb.21, 2023
Deadline for Requests for Clarification	Feb. 22, 2023
Response to Requests for Clarification Sent	Feb. 27, 2023
Proposals Due	March 6, 2023 by 10:00 am
Proposal Opening Date	March 7, 2023 at 10:00 am
Date of Board Meeting for Contract Award	April 17,2023
District Sends Out Notice of Intent to Award	April 18, 2023

Fallbrook Union Elementary School District
RFP No. 404-23-24
Request for Proposal Signature Page

Request for Proposal Signature Page

This Request for Proposals (RFP) is for Frozen, Refrigerated, Processed Commodity and/or Commercial Dry Food/Grocery Products and Distribution Services for the districts listed above.

Before bidding, please read the Instructions, Required Proposal Documents, and Contract Agreement and thoroughly acquaint yourself with the products and services requested. Submit all proposals electronically with the RFP Number, Name of the Distributor, submission due date and time in the subject field. Proposals must reach the email of yvenegas@fuesd.org by the time and date listed above. Follow the Required Proposal Documents Checklist to assist with ensuring a complete proposal package.

If further clarification is needed, contact Yessica Venegas, Accounting Specialist at yvenegas@fuesd.org.

The undersigned hereby proposes and agrees to furnish and deliver the goods or services as quoted in accordance with the terms, conditions, specifications, and prices herein quoted.

Signed By: _____

Printed Name of Signor above: John Cho

Title: V.P. of Revenue Management Date: March 06, 2023

Company Name: Gold Star Foods

Mailing Address: 3781 E. Airport Drive,

City: Ontario State: CA Zip Code: 91761

Phone Number: 909-843-9600 Fax Number: 909-843-9618

E-Mail Address: Bids@goldstarfoods.com

Fallbrook Union Elementary School District
RFP No.404-23-24
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Buy American Certification

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Product Lists

Fallbrook Union Elementary School District
RFP No. 404-23-24
Instructions to Proposers

1. PURPOSE

The Fallbrook Region Cooperative Purchasing Group, hereinafter referred to as the "Districts" or the "Co-op", is seeking proposals from qualified companies to procure and deliver various food products. This RFP consists of two (2) separate categories: Scope of Services I (Frozen, Refrigerated and Processed Commodity and/or Commercial with distribution services) and Scope of Services II (Dry and/or Shelf Stable Foods/Groceries with distribution services), and may be awarded as such to two (2) separate Distributors or one (1) Distributor for both categories, whichever is in the best interest of the Districts. A second bidder may be awarded as a backup. A backup distributor will only be used when the winning distributor(s) is unable to deliver the item(s) ordered by a district on a regularly scheduled delivery date. Further, in the event that the winning distributor is unable to fulfill the contract requirements which results in a termination of the original contract between the winning distributor and the Districts, a backup distributor may enter into a contract with the districts upon mutual agreement without resubmitting another proposal. Proposals made in this agreement by the backup distributor shall stay effective until the end of the contract term. Each individual district will act as the sole judge on whether the contract requirements are met to each district's satisfaction. This proposal defines the programs, the products and the services that are being sought from the Distributor and generally outlines the program requirements.

2. DEFINITIONS

The following terms may be used interchangeably. "FUESD" means Fallbrook Union Elementary School District. "FUHSD" means Fallbrook Union High School District. "BUSD" means Bonsall Unified School District. "Districts" or "Co-op" mean all, Fallbrook Union Elementary, Fallbrook Union High, and Bonsall Unified School Districts. "Bid or Proposal" means response made to this solicitation by any proposer. "Proposer, Vendor, Distributor, Proposer or Contractor" means offeror that submits a proposal in response to this solicitation. "Successful Vendor, Proposer, Proposer, Distributor or Contractor" means proposer to whom award is made.

3. SCOPE OF SERVICES I (FROZEN, REFRIGERATED & PROCESSED COMMODITY AND/OR COMMERCIAL FOOD PRODUCT)

The selected Distributor or Distributors will partner with the Districts over the term of the contract resulting from this proposal solicitation to furnish and deliver Frozen, Refrigerated and USDA Processed Commodity and/or Commercial food products with distribution services to sites designated within the Districts. This category includes all foods that require frozen or refrigerated delivery or are processed USDA commodity items. This category does not include shelf stable

items that may be served in a refrigerated or frozen state (e.g. Gatorade). This category does not include USDA "brown box" commodities.

All Districts will require delivery at least one (1) day per week. Any district requiring additional regular deliveries beyond the one (1) day as described above will follow the pricing for those services. Delivery schedules will be determined by the Districts based on operational needs.

4. SCOPE OF SERVICES II (DRY OR SHELF STABLE GROCERIES/FOODS)

The selected Distributor or Distributors will partner with the Districts over the term of the contract resulting from this proposal solicitation to furnish and deliver Dry or Shelf Stable Groceries/food products with distribution services to sites designated within the Districts (see list of delivery sites included in proposal documents). This category includes all foods that do not require frozen or refrigerated delivery.

This category includes cereals, condiments, spices, pasta, rice, canned goods and other shelf stable items. This category does not include USDA "brown box" commodities.

All Districts will require delivery at least one (1) day per week. Any district requiring additional regular deliveries beyond the one (1) day as described above will follow the pricing for those services. Delivery schedules will be determined by the Districts based on operational needs.

5. GENERAL CONDITIONS AND INSTRUCTIONS

Proposals are requested for furnishing the Districts for Frozen, Refrigerated, Processed Commodity and/or Commercial, Dry Food/Grocery Products and distribution for the period July 1, 2023 through June 30, 2024. Each District reserves the right to determine purchase amount based on the individual district's operational need.

Proposals are to be verified before submission, as they cannot be corrected after being opened. The signatures of all persons shall be in longhand. Proposers shall fully inform themselves as to all existing conditions and limitations. No allowance will be made because of lack of such examination, inquiry, or knowledge. All proposals shall be submitted electronically with the RFP #, Name of the Distributor, submission due date and time in the subject field. It is the sole responsibility of the Distributor to see that their proposal is received in proper time. Any proposals received after the scheduled closing time for receipt of proposals will be returned to the Distributor unopened.

Any questions should be directed to Yessica Venegas, Accounting Specialist, via email at yvenegas@fuesd.org or (760) 847-9364.

6. RESTRICTIONS ON LOBBYING AND CONTACT

From the period beginning with the date of the issuance of this RFP and ending on the date of the award of the contract, no person, or entity submitting a response to this RFP, nor any officer, employee, representative, agent, or

consultant representing such a person or entity shall contact, through any means, or engage in any discussion regarding this RFP, the evaluation or selection process and/or the award of the contract with any member of the Districts, Board of Trustees, selection members, other than the named contact herein. Any such contact shall be grounds for disqualification of the entity submitting a response.

7. INSTRUCTIONS FOR SUBMITTING PROPOSALS

Distributors responding to this RFP must follow the format in the section of Required Proposal Documents. Distributors must submit one (1) electronic copy of their proposal. All required documents are to be verified before submission, as they cannot be corrected after proposals are due. Distributors shall fully inform themselves as to all existing conditions and limitations. No allowance will be made because of lack of such examination, inquiry, or knowledge. It is the sole responsibility of the Distributor to see that their proposal is received in proper time. Any proposals received after the scheduled closing time for receipt of proposals will be returned to the vendor. No oral or telephonic modification of any proposal submitted will be considered. You may include a link to your company's web site to reference supplemental or additional information.

Each proposal must have an original signature in ink of only one (1) responsible officer or employee fully authorized to bind the organization to the terms and conditions herein. When requested by the Districts, satisfactory evidence of the authority of the officer signing on behalf of the corporation shall be furnished. Failure to sign properly may result in rejection of the proposal. Obligations assumed by such signature must be fulfilled.

Corrections made of entries on the proposal must be initialed in ink by the same person who signs the form for the Distributor. No corrections can be made after the time stated for receiving quotations

8. WITHDRAWAL OF PROPOSALS

A distributor may withdraw a proposal electronically prior to the submission deadline. Proposals may not be withdrawn after March 6, 2023 at 4:00pm.

9. AWARDS

The Districts shall not be obligated to accept the lowest priced proposal (price will be the primary factor for evaluating and scoring), but will be evaluating proposals with the intent of awarding to one responsible distributor in each category. The Districts reserve the right to contract with any entity responding to this proposal, to reject any and all proposals without explanation or recourse and to negotiate with the companies submitting a proposal. The Districts further reserve the right to contract the work with whomever and in whatever manner the Districts decide, to abandon the work entirely, and to waive any informality or non-substantive irregularity as the interest of the Districts may require. The Districts reserve the right of determination that item proposals meet or do not meet proposal specifications.

The Districts further reserve the right to award to one or more distributors as determined to be in the best interest of the District.

The Districts make no representation that participation in the proposal process will lead to an award of contract, or any consideration whatsoever. The Districts shall in no event be responsible for the cost of preparing any proposal in response to this proposal solicitation.

The Districts will award the contract based on the following criteria:

1. Cost (35 points)

Proposers should submit the required products/food list thoroughly and in a manner to ensure transparency of the elements of the fixed price cost structure so that it can be easily understood, explained, and audited. The proposer proposing lowest cost will be assigned 35 points. A rubric will be developed based on number of submissions. Example: If 4 proposals are received, the lowest total proposal will be ranked 1st and will be assigned total possible points of 35. The second lowest proposer will be assigned 26.25 points. The 3rd and 4th proposers will be assigned 17.50 points and 8.75 point, respectively.

2. Customer Service & References (25 points)

Proposers should demonstrate their ability to promptly respond to request for information, to resolve complaints and issues, and to provide timely and accurate delivery. Proposer's customer service staff should be easily accessible for inquiries or issues. Customer services may be rated based on responses, references and/or interview.

3. Experience and Competence (20 points)

Proposer should be able to provide state-of-the-art technology in order to provide services including data collection, customized reports, trend analysis, information sharing, real-time reporting, and complete traceability of product. Proposer should demonstrate substantial and recent experience in providing the products to California public schools. Proposer should provide an efficient supply-chain management system to ensure timely and accurate delivery and flexibility to address changes in needs of the Co-Op.

4. Sustainability (20 points)

Proposer should have an integrated operation including evidences that the proposing firm will continue to operate successfully throughout the term of any contract it accepts. Proposer should have a robust level of financial capability sufficient to handle contracts as large as any contract is likely to be and on a multi-year basis.

The Districts hereby notify all respondents that they will affirmatively ensure that, in any contract entered into pursuant to this advertisement, minority business enterprises will be afforded full opportunity to submit its response to this RFP and no respondent will be discriminated against on the grounds of race, color, sex, age, ancestry, religion, marital status, national origin, medical condition or physical disability, or sexual orientation on consideration for the award.

10. PROTEST BY PROPOSERS

A proposer may protest a proposal award if he/she believes that the award is inconsistent with FUESD Board policy, the proposal's specifications, or is not in compliance with law. A protest must be filed in writing with the FUESD Superintendent or designee by the protest deadline. The proposer shall submit all documents supporting or justifying the protest. A proposer's failure to file the protest documents in a timely manner shall constitute a waiver of his/her right to protest the award of the contract. The Superintendent or designee shall review the documents submitted with the proposer's claims and render a decision in writing within 30 working days. The Superintendent or designee may also convene a meeting with the proposer in order to attempt to resolve the problem. The proposer may appeal the Superintendent or designee's decision to the Board. The Superintendent or designee shall provide reasonable notice to the proposer of the time for Board consideration of the protest. The Board's decision shall be final.

11. EXECUTION OF CONTRACT

The signed contract forms submitted by the proposing Distributor(s) become fully executable after the award of the contract. The complete "Contract" consists of the following documents: Notice of Request for Proposals, Schedule of Important Dates, Request for Proposal Signature Page, Instructions to Proposers Required Proposal Documents Checklist, Required Proposal Documents Description of Documents, Contract, District Information, Reference List, Suspension and Debarment Certification, U.S. Department of Agriculture, Disclosure of Lobbying Activities, Iran Contracting Act of 2010 Compliance Affidavit, Non-Collusion Declaration, Buy American Certification, Tobacco-Free School Certification, Fingerprinting Certification, and Product Lists. Failure or refusal of the successful proposer(s) to execute a contract upon award by the Districts may result in a claim for damages by the Districts and shall be grounds for immediate removal from the Districts' proposers list and bidding on future bid solicitations. The Districts may work with the backup distributor, or may reject all proposals and may issue a new solicitation for proposals.

12. FAILURE TO FULFILL CONTRACT

When vendor shall fail to deliver any article or service or shall deliver any article or service which does not conform to the specifications, the member district may, at its sole discretion, annul and set aside the contract entered into with said vendor or contractor, either in whole or in part, and make and enter into a new contract for the same items in such manner as seems to the Board of Education to be to the best advantage of the district. Any failure for furnishing such articles

or services by reason of the failure of the vendor or contractor, as above stated, shall be a liability against such vendor and his sureties. The Board of Education reserves the right to cancel any articles or services which the successful proposer may be unable to furnish because of economic conditions, governmental regulations or other similar causes beyond the control of the proposer provided satisfactory proof is furnished to the Board or Education, if requested. Failure to fulfill contract may result in proposer disqualification in subsequent year(s) due to non-responsible practices.

13. CANCELLATION FOR INSUFFICIENT OR NON-APPROPRIATED FUNDS OR USDA FOOD PRODUCTS

The proposer hereby agrees and acknowledges that monies utilized by the Districts to purchase the items proposed is public money appropriated by the United States Department of Agriculture and State of California or acquired by the Agency from similar public sources and is subject to variation. The Co-Op or one or more of its member districts fully reserves the right to cancel this proposal at any time and/or to limit quantities of items due to non-availability or non-appropriation of sufficient funds and/or lack of availability of USDA Foods products.

14. TERMINATION

The Contract may be terminated by the Districts without cause upon thirty (30) days' written notice to the Contractor. The Districts' right to terminate under this paragraph shall be in addition to any other rights reserved to the Districts under this Contract.

15. INDEPENDENT CONTRACTOR STATUS

The Districts shall view the legal position of the proposer as an "independent contractor" and that all persons employed by the proposer to furnish services are employees, agents or officers of the proposer and not of the Districts. The Districts shall not be liable for any of the Contractor's acts or omissions performed under the contract to which the proposer is party. The proposer will complete IRS form 9 providing taxpayer identification number and also indicate whether the proposer is a corporation, sole-proprietor, partnership, individual, etc. The form must be on file with the Districts within sixty (60) days from the date for the Contract start date.

Contractor shall be free to contract for similar services to be performed for other employers while he/she is under contract with Districts. Contractor is not to be considered an agent or employee of the Districts and is not entitled to participate in any pension plans, bonus, stock, or similar benefits that the Districts may provide for its employees. Districts and Contractor acknowledge Labor Code section 2750.3 and its potential impact on independent contractor relationships. Districts and Contractor agree that (a) Contractor will remain free from the control

and direction of the Districts in connection with the performance of the services; (b) the scope of work contemplated by this agreement is outside the usual course of the Districts' business; and (c) Contractor is customarily engaged in **an** independently established trade, occupation, or business of the same nature as the services performed under this agreement. Notwithstanding the provisions of Section 2750.3, Contractor desires to maintain independent contractor status in relation to the Services provide for the Districts hereunder. Contractor certifies that it shall not subcontract any of the services provided in accordance with this Contract and shall indemnify and hold harmless the Districts, its governing board, trustees, officers, agents, representatives, employees and volunteers from all employment related claims arising out of the employment relationship between the Districts and Proposer or its subcontractors or employees, including claims of misclassification under Labor Code section 2750.3.

Fallbrook Union Elementary School District
RFP No. 404-23-24
Required Proposal Document Descriptions

1. Cover Letter

Proposers must submit a cover letter on company letterhead that is a maximum of three (3) single-sided pages and includes the following:

- RFP number in the beginning of the letter,
- A brief statement of interest and summary of relevant qualifications to engage in a professional relationship with the Districts.
- The following statement: o "I certify that I have read the attached RFB and accompanying instructions and that I am authorized to commit the firm to the proposal submitted."
- Name and Nature of Distributor's Legal Entity: Specify in the proposal the name and nature of the legal entity and any fictitious name(s) under which it does any business. An authorized officer or person shall sign the proposal under the correct firm name. This section should include the following information:
 - Distributor name
 - Address
 - Name of contact person
 - Phone number
 - Email address
 - Year Distributor was established
 - Number of employees
 - Web site/Facebook page
 - Signature of authorized officer or person
 - Corporate seal (if a corporation)

2. Request for Proposal Signature Page

An authorized officer or person shall sign the proposal under the correct firm name.

3. Contact

The form of contract, which the successful proposer, as Distributor, will be required to execute, is included in the contract agreement section and should be carefully examined and completed by the proposer. Proposers are required to fill in the blank lines in the contract to complete the proposal. No proposals shall receive consideration by the districts unless this contract agreement is completely filled out and signed with the proposal. The complete contract consists of the following documents: The Notice to Proposers, the Instructions to Proposers, the Accepted Bid, and the Contract Agreement, including all modifications thereof duly incorporated therein. All of the above documents are intended to cooperate and be complementary so that any instructions or requirements called for in one and not mentioned in the

other, or vice versa, are to be executed the same as if mentioned in all said documents. The winning distributor and, when applicable, the backup distributor will be required to execute the signed contract agreement when the RFP is awarded. Distributors who are not awarded the RFP are not required to execute the signed contract agreement.

4. Reference List

Please supply the contact information for three (3) references from local (within one hundred miles of the Districts) School District Food & Nutrition Services. List must include the following information for each contact:

- District name
- Address
- Contact name and telephone number

5. Public Liability and Property Insurance

Distributor shall maintain during the life of this contract General Liability and Property Damage Insurance to protect themselves and, as an additional insured, the Districts, its governing boards, its officers, its agents, and its employees from all claims for personal injury, including accidental death, as well as from all claims for Property Damage arising from the operations under this contract. The minimum amounts of such insurance shall be as hereinafter set forth and be primary over any other insurance carried by the Districts. Distributors are required to furnish certificates of insurance, along with the additional insured endorsements, prior to start of work.

- Amounts of Insurance: Bodily Injury and Accidental Death Liability Insurance including auto (both owned and non-owned): Not Less Than \$1,000,000/\$2,000,000 Aggregate.
- Property Damage Liability Insurance including auto (both owned and non-owned): Not Less Than \$1,000,000 Aggregate.
- Insurance certificate must name the District(s) as additional insured.
- Certificate to be submitted by Distributor prior to award.

6. Worker's Compensation Certificate

Workers' Compensation insurance shall be maintained as required by California law. Proof of such insurance must be completed and submitted with your proposal.

7. Hazard Analysis Critical Control Point (HACCP) Plan

Distributors on this contract must have a HACCP Program in place for the company. A copy of the vendor's HACCP Plan must be submitted with this proposal.

8. Food Security and Safety Program

A copy of the Distributor's Food Security and Safety Program must be submitted with this proposal.

9. Product Recall Program

A copy of the Distributor's Product Recall Program must be submitted with this proposal.

10. Disaster Contingency Plan

A copy of the Distributor's Disaster Contingency Plan must be submitted with this proposal.

11. Evidence of Satisfactory Third-Party Safety Audits

A copy of the third-party safety audit conducted during each of the last three years must be submitted with this proposal. These audits must be completed by an accredited food safety auditing organization.

12. Suspension and Debarment Certification, U.S. Department of Agriculture

This form must be completed and submitted with this proposal.

13. Certification Regarding Lobbying & Disclosure of Lobbying Activities

This form must be completed and submitted with this proposal.

14. Iran Contracting Act of 2010 Compliance Affidavit

Pursuant to the Iran Contract Act of 2010 (Public Contract Code 2200-2208), Vendors/Proposers are ineligible to proposal on or submit a proposal for any contract with a public entity for goods or services of one million dollars (\$1,000,000) or more if the Vendor/Proposer engages in investment activities in Iran. For proposals \$1,000,000 or more, proposers must certify that it is not on the list of ineligible vendors prohibited from doing business with the State of California and shall complete the Iran Contracting Act of 2010 Compliance Affidavit attached and submit with their proposal at the time of proposal. Failure to do so may deem your proposal non-responsive.

15. Buy American Certification

This form must be completed and submitted with this proposal.

16. Tobacco Free School Certification

This form, regarding the Districts' campus policies, must be completed and submitted with your proposal. Proposals received without this form/certification will not be considered.

17. Fingerprinting Certification

This form must be completed and submitted with your proposal. Proposals received without this form/certification will not be considered.

18. Signature Page

This page must be completed and submitted with your proposal.

19. Non-collusion Declaration

Distributors on this contract are required to submit a Declaration of Non-Collusion with their proposal. This form is included with the proposal package and must be signed and notarized under the penalty of perjury and dated.

20. Required Proposal Documents Checklist

This checklist must be completed and submitted with your proposal.

21. Products List with Pricing

Distributor must submit a list of products with applicable pricing.

22. PAYMENT REQUIREMENT

The awarded proposer(s) must provide a current signed W-9, Request for Taxpayer Identification (TIN) and Certification to the Districts before payment is rendered.

**Fallbrook Union Elementary School District
RFP No. 404-23-24
Contract Agreement**

THIS CONTRACT ("Contract"), made and entered into this _____ day of _____, 2023, by and between Fallbrook Union Elementary School District (the "District"), on behalf of itself, Fallbrook Union High School District and Bonsall Unified School District (collectively, "Districts"), and _____ ("Distributor").

RECITALS

WHEREAS, the District has been granted authority to solicit for products and services.

WHEREAS, awarding of the proposal will be decided upon mutually by the Districts.

WHEREAS, on behalf of the Districts, the District has solicited proposals for the provision of Frozen, Refrigerated, Processed Commodities and/or Commercial Dry or Shelf Stable Food/Grocery Products and Distribution via Request for Proposals # 404-23-24 ("the RFP"), whereby the Districts may agree to purchase specified products for the Districts use from the successful proposer(s).

WHEREAS, Distributor is the successful proposer or backup proposer under such RFP, and the Districts and Distributor hereby desires to set forth this Contract with respect to the sale to the Districts and the purchase from Distributor, of Products on the terms and conditions hereinafter set forth.

WITNESSES: That the parties hereto have mutually covenanted and agreed, and by these presents do covenant and agree with each other, as follows:

1. TERM OF AGREEMENT

This proposal will be a one (1) year proposal with an initial contract period from July 1, 2023 through June 30, 2024.

2. CONTRACT RENEWALS

This contract is deemed to be a CONTRACT FOR PRODUCTS AND DISTRIBUTION SERVICES. Under the California Education Code Article 3, Section 17596, If mutually agreeable, the Districts reserve the right to renew the contract for two (2) additional twelve (12) month periods not to exceed three (3) years. This renewal is contingent upon competitive pricing and upon all terms and conditions of the original contract having been met to the satisfaction of the Districts. Such renewal will be made by notifying the Distributor, in writing, thirty (30) days prior to the expiration of the contract.

The percentage markup and the landed costs may be "subject to adjustment" at the beginning of each annual contract period. It is expressly understood that the contract rate increases are not automatic or guaranteed. The Distributor's request to increase the current rate schedule will be evaluated and considered when such adjustments are requested. The Districts reserve the right to reject any such request and re-bid and/or terminate said contract within the provisions of the existing agreement. It is understood that increases in the manufacturer's and/or processors landed costs to the Distributor are out of the control of the Distributor. Those price adjustments may be accepted or rejected by the Districts. Increases in the percentage markup price(s) in this RFP may not exceed the increase in the Consumer Price Index Urban for the San Diego region or price increases verified by labor rate increases justified by increases in labor contracts or State of California Department of Industrial Relations prevailing wage rates. The specific index to be reviewed is the C.P.I. for San Diego County, California for the month of [that month which is six (6) months prior to the contract's annual end date] each year using the "Special Aggregate Index" category of "All Items Less Shelter" under the "All Urban Consumers" column.

3. DISCONTINUANCE OF SERVICE

Failure on the part of the successful Distributor to meet contract requirements shall be cause for cancellation, without further notice or demand by the Districts. Either party may cancel the contract upon a thirty (30) day written notice to the other party prior to the end of the contract term.

The Districts reserve the right to discontinue service upon 24-hours' notice for due cause which shall include such reasons as unsatisfactory product or service; or to extend the contract with present Distributor upon annual review of weighted factors, performance of service and/ or provision of quality products. FAILURE TO FURNISH ALL ITEMS INCLUDED IN THE CONTRACT SHALL CONSTITUTE UNSATISFACTORY SERVICE.

The Districts shall hold the successful Distributor liable and responsible for all damages which may be sustained because of its failure to comply with any conditions herein. If the successful Distributor fails to furnish or deliver any material, supplies, equipment, or services at the prices quoted, or at the times and places stated, or otherwise fails to comply with the terms of the documents in their entirety, the Districts may purchase the items herein specified elsewhere, without notice to the successful Distributor. Additional costs accrued by the Districts through this purchase may be deducted from unpaid invoices or must be paid to the Districts by the successful Distributor. Prices paid by the Districts shall be considered the prevailing market prices at the time such purchase is made. The foregoing provisions are in addition to and not in limitation of any other rights or remedies available to the Districts.

4. PRICING

The pricing proposed must remain in effect for the term of the contract, including any annual extensions. The proposed pricing methodology will also be applied to any new products requested. New commercial food products shall be priced using the Distributor's landed cost. Landed cost is defined as invoice cost from the manufacturer plus freight, if freight is not included with invoice cost.

If the variation of multiple drops is a factor in the price, pricing for both single and multiple drops per shall be included on this RFP. Fee for service pricing shall be included in the pricing quote as well.

5. PRICE ADJUSTMENTS

The successful Distributor shall be allowed to adjust prices on allowable bid prices upon presentation of suitable proof of a price increase from a manufacturer or processor. A notice shall be sent including proof of any increase thirty (30) days prior to the increase. No increase to the price will be allowed sooner than one hundred eighty (180) calendar days from the date of proposal award, including thirty (30) calendar days advance written notice. Any change to the price shall be subject to mutual agreement by both parties. In the event of a decline in price, the successful Distributor is to give the Districts the immediate advantage of such a decrease and inform the Districts of the decrease. All orders placed under this agreement shall be delivered and invoiced at the Contract price prevailing at the time the order is placed, regardless of the actual delivery date.

6. FUEL SURCHARGES

Absolutely no fuel charges will be accepted under this contract and the addition of such charges shall not be permitted during the period of the term of this contract.

7. ORDER CONDITIONS/DELIVERY MINIMUMS

There shall be no minimums in dollar volume or case counts. However, Districts shall be mindful of delivery sizes and case counts to keep distribution productive.

The Districts shall not be obligated to purchase or reimburse the Distributor for any inventory of any products should purchases vary from the anticipated purchase patterns or if the agreement expires or is terminated.

8. VEHICLE DELIVERY CONDITIONS

All vehicles and containers used for transporting foodstuffs must be kept clean and maintained in good repair and condition in order to protect foodstuffs from contamination, and must be designed and constructed to permit adequate cleaning and/or disinfection.

Vehicles must be capable of maintaining foodstuffs at appropriate temperatures and, where necessary, designed to allow those temperatures to be monitored. This means that vehicles that transport perishable food items, either frozen or refrigerated, must

be equipped with appropriate refrigeration systems in order to maintain products at appropriate temperatures.

Frozen food items must be delivered frozen solid without any signs of being thawed and refrozen. Ice cream should be received at 8°F or lower.

Dairy products and refrigerated processed foods must be delivered at an internal temperature of at least 40°F or lower.

Dry items and canned goods must be received between 50°F and 70°F. Canned, jar and bottled goods must be in good condition with no broken seals, dents, rust, cracks, swollen ends or leakage of any type. Dry items must be received dry with no tears, puncture, holes or signs of moisture.

Additionally, products will be delivered free of infestation including but not limited to larvae and rodent droppings.

ANY PRODUCT THAT FAILS TO BE DELIVERED WITHIN not limited THESE PARAMETERS WILL BE REJECTED.

9. PRODUCT QUALITY CONTROL

The Districts reserve the right to discontinue service of all or any portion of any contract resulting from this proposal for any reason determined by the Districts to be detrimental to the health and welfare of the students and school personnel, or failure to meet contract specifications or wholesomeness standard, and to hold the contractor in default.

All products received under this contract shall be processed according to the health and sanitation standards for plant facilities and food processing established by the locality or state in which Distributor's plant is located or by the applicable federal standards, whichever is higher.

Distributor shall provide products from manufacturers with a Hazard Analysis Critical Control Point (HACCP) system in place. Additionally, Distributor shall ensure that all products received under this contract shall be prepared, handled and are stored in accordance with the health and sanitation standards for the County of San Diego or local city/county agency in which product was produced, State of California, and/or Federal Government, whichever is higher.

Distributor shall follow appropriate procedures for First in First out (FIFO) stock rotation system. **Products received shall not have a shelf life or expiration date less than eight (8) weeks from the date of delivery, without prior consent of the Districts.**

Distributor shall follow appropriate handling and storage practices; this will include providing proof of established sanitation procedures and an active pest control program to assure proper information. A copy of the Distributor's Hazard Analysis Critical Control Point (HACCP) system must be submitted with its submission. Proof of regular voluntary audits by a third-party inspector is required – copies from the previous 3 years must be included with the RFP submission.

In the event of a product contamination issue, Distributor shall provide trace back capabilities for all products to the point of origin. Evidence of such procedures should be submitted with proposal (HACCP Plan, Food Security and Safety Program including Pest Control Policy).

10. INFERIOR PRODUCT

The Distributor agrees to permit inspection of the delivered items by a representative of the Districts' Nutrition Services Department with the right of rejection of inferior merchandise. The Districts' decision shall be final and credits must be provided upon request.

11. PACKAGING

Cases and packages shall be so constructed as to ensure safe and sanitary transportation to point of delivery. All packaging materials shall be FDA approved to meet all pertinent State and Federal regulations for safe use with foods. Packaging materials shall impart no odor, flavor, or color to the product. Damaged cases or packages may be rejected and returned for credit or immediate replacement, at no cost to the Districts for product or freight.

12. BUY AMERICAN PROVISION

Federal regulations require that to the maximum extent possible, only domestic products are purchased consistent with the "Buy American" provisions of Public Law [PL 105-336] under the Richard B. Russell National School Lunch Act. Therefore, Distributors offering product and/or product ingredients manufactured or grown in the United States may be given priority for usage under this proposal. This policy will allow for an exception only in the case when an acceptable product is not available domestically, in which case other countries of origin may be considered for purchase, in accordance to Title 2, *Code of Federal Regulations* (2 CFR), Part 200.319(a).

The successful vendor must document and inform the SFA of exceptions to the Buy American Provision requirement prior to delivery of each and every nondomestic agricultural commodity or product.

The documented exception must include the following:

- A description of the nondomestic commodities or products that the vendor offered and the reason they were not substituted for the domestic item.

- A synopsis of what third-party analysis was done by the vendor to determine cost and availability.

Documentation by the vendor outlining the price of both domestic and nondomestic commodities or products or lack of availability to justify the exception.

The dates that:

- The vendor informed the SFA of the nondomestic commodity or product,
- The SFA agreed to accept this food item in advance of delivery, and
- The date the commodity or product was received by the SFA.

For additional information on the Buy American Provision, please see **Title 7, Code of Federal Regulations [7 CFR], sections 210.21[d] and 220.16[d]]** : [Procurement in School Nutrition Programs - School Nutrition \(CA Dept of Education\)](#). and **USDA Policy Memo SP 38-2017: [USDA Food and Nutrition Service Documents & Resources web page](#)**

13. NUTRITIONAL INFORMATION AND LABELING

For the Districts to be compliant with California Department of Education and USDA labeling requirements, Nutrition Services requires Product Formulation Statements ("PFS") or Child Nutrition ("CN") Labels for all entrées, and creditable grain, protein, fruit or vegetable products sold to the District. PFS's must be signed by the manufacturer and contain the following information: product name, code number, serving size, type and weight of the creditable ingredient, date signed, printed name, signature, and title of the company representative certifying that the information on the PFS is true and correct, and documentation of the manufacturer calculation. PFS and CN labels for all goods sold to the District must be posted on the Distributor's website and be readily accessible for the menu planners.

The following information will be required from the manufacturer: weight (gm), calories (Kcal), protein (gm), carbohydrate (gm), fat (gm), polyunsaturated fat (gm), saturated fat (gm), trans fat (gm), sodium (mg), cholesterol (mg), dietary fiber (gm), vitamin A (IU), vitamin C (mg), calcium (mg), iron (mg).

14. ALL PROCESSED FOODS SHOULD NOT CONTAIN ANY ARTIFICIAL TRANS FAT

All ingredients must be declared on the product label and conform to the Food Allergen Labeling and Consumer Protection Act as required by the Food and Drug Administration. Labels must list the presence of ingredients which contain: protein derived from milk, eggs, fish, crustacean shellfish, tree nuts, peanuts, wheat, or soybeans.

Distributor shall notify all Districts' Nutrition Services Department whenever there is a product/ingredient change in any item provided to the Districts. If any product

changes occur, new ingredient statements and nutritional information shall be provided to the Nutrition Services Department.

15. DELIVERY REQUIREMENTS: SUBSTITUTION AND DISCONTINUED ITEMS

Any and all products delivered during the period covered by this contract shall be only the exact manufacturer's products and code numbers as requested by the Districts unless prior approval has been received to deliver alternate products. The Districts will not allow substitutions without prior approval. No product will be represented as being in conformance with the specification when such is not the case.

If the desired product is absolutely not available for any reason, the Districts shall be notified **at least three business days** in advance and the Districts shall be given options of a product that is of the same or higher quality at the same unit cost. Authorization of a substitute product shall be at the sole discretion of the Districts. **When substitutions do occur, Distributor shall provide nutritional statements and ingredient listings of the replacement product to the Director or designated person prior to delivery of product.**

The Distributor must provide the specified product or an acceptable substitute, as determined by the Districts. If, as a result of failure to deliver specified product in a timely manner, the service of meals fails to contain the required components of a reimbursable meal, Distributor shall be required to reimburse the Districts for the full value of all of the identified meals, as determined by the National School Lunch Program. Financial restitution shall be made within 60 days of written request by the Districts.

16. DELIVERIES

The successful Distributor will make mutually acceptable delivery time options available for each site within the Districts. The Districts reserve the right to make additions to, or deletions from, the specified delivery locations to be served at any time during the period of the contract, and revise delivery times as required. **(Delivery locations with delivery time window for each district is included in the proposal document).**

Once a mutually agreed upon delivery schedule is established between the Distributor and the Districts, the Distributor will provide a delivery schedule, for all routes which include delivery window for each site and timely delivery of all orders is expected.

If, at any time, a delivery cannot be made within one (1) hour of scheduled time, the Vendor/Driver must notify the school/site to negotiate an alternate delivery time or day. If a delivery is within the time frame of forty-five (45) minutes of the delivery site daily closing time the District reserves the right to refuse the late delivery and will assume no financial obligation if the delivery is refused, to ensure no disruption to meal service, a representative from the Distributor must contact the District to

negotiate an alternate delivery day and time. Frequent occurrences may result in cancellation of the Contract. The District may refuse unscheduled deliveries at the Vendor's expense.

The Distributor must guarantee a 95% fill rate for all District orders. For any District order, if the Proposer is unable to perform under the terms of the Contract, or if it fails to deliver any items ordered within the prescribed timelines, the District reserves the right to cancel any order(s) or purchase the item(s) on the open market, and to request and receive payment from the Proposer for the difference between the contract price and the price the District pays on the open market.

17. ACCOUNTING

Invoices will be furnished in triplicate and include delivery site, product name, quantity ordered, quantity delivered, unit size, unit price and commodity pass through value, if applicable. The original copy is to be kept by the Distributor. The original invoice must be signed by the individual receiving the product and is to be left for the child nutrition site designee (e.g. lead, manager). An invoice signed by the child nutrition site designee is required in order for the invoice to be processed for payment.

A legible delivery discrepancy receipt shall be left at the site in the case of a return or shortage. Credits shall be issued in a timely manner. Statements for all goods purchased within a calendar month shall be made available on an individual school basis. Statements should be sent by the 10th of the month following the month of purchase.

18. PAYMENT REQUIREMENT

If awarded this contract, the distributor must provide a current signed W-9, Request for Taxpayer Identification (TIN) and Certification to each of the Districts before payment is rendered. The payment terms of this contract shall be "Net 30 days" unless otherwise indicated below. All invoices are due and payable within 30 days from the statement date.

19. ADDITIONAL ACCOUNTING REQUIREMENTS

- The Distributor **must have** an established "net-off invoice" billing system in place to pass- thru the value of commodities (**processed commodities only**).
- The Distributor **must have** the ability to deliver ALL processed commodities with a ten (10) day lead time to coincide with the ten (10) day lead time for non-commodity products (**processed commodities only**).
- The Distributor **must stock** "fee for service" and "modified fee for service" processed commodities and be prepared to deliver those processed commodities with a ten (10) day lead time to coincide with

the ten (10) day lead time for non-commodity products (**processed commodities only**).

- The Distributor **must have** an automatic rebate system in place to efficiently handle automatic rebate programs as offered by manufacturers.
- The Distributor **must offer** an active website to allow on-line ordering and reporting. District(s) must have access to sales reports, commodity balances, and commodity reports via on-line.

20. RIGHT TO AUDIT

The Distributor shall submit to third party audits and/or inspections initiated by the Districts during the term of the contract and for one year following the end of the contract. Audits and/or inspections will serve to ensure compliance with contract terms, food safety guidelines, pricing and billing. Distributors must take steps to correct findings identified during audits and/or inspections, including financial restitution for any pricing or billing errors which may have occurred during the length of the contract period.

21. FORCE MAJEURE

The parties to the proposal will be excused from performance during the time and to the extent that they are prevented from obtaining, delivering or performing by "Act of God", fire, strike, loss or shortage of transportation, facilities, lockout, or commandeering of materials, products, plants, or facilities by the government, when satisfactory evidence thereof is presented to the other party provided that it is satisfactorily established that the non-performance is not due to the fault or negligence of the party not performing.

22. SAFETY AND SECURITY

The Distributor shall comply with all Districts security regulations. All products furnished and services performed, shall meet all applicable safety regulations of the Division of Occupational Safety and Health of the State of California and Safety and Health Codes of the State of California.

Distributor's representatives driving motor vehicles on school grounds must use extreme caution during times when school is in session. Any unusual condition noted by drivers, such as evidence of vandalism, power failure, fire, water damage, gas leak, etc., must be reported to the affecting district:

Fallbrook Union Elementary School District

(760) 731-4352

Bonsall Unified School District

(760) 631-5200

Fallbrook Union High School District

(760) 731-1610

23. INSURANCE

Distributor shall maintain during the life of this contract General Liability and Property Damage Insurance to protect themselves and, as an additional insured, the Districts, its governing boards, its officers, its agents, and its employees from all claims for personal injury, including accidental death, as well as from all claims for Property Damage arising from the operations under this contract. The minimum amounts of such insurance shall be as hereinafter set forth and be primary over any other insurance carried by the Districts. Distributors are required to furnish certificates of insurance, along with the additional insured endorsements, prior to start of work.

- Amounts of Insurance: Bodily Injury and Accidental Death Liability Insurance including auto (both owned and non-owned): Not Less Than \$1,000,000/\$2,000,000 Aggregate.
- Property Damage Liability Insurance including auto (both owned and non-owned): Not Less Than \$1,000,000 Aggregate.
- Insurance certificate must name the District(s) as additional insured.
- Certificate to be submitted by Distributor prior to award.

24. AFFIRMATIVE ACTION

The Distributor shall certify that it is an Equal Opportunity Employer and has made a good faith effort to improve minority employment and agrees to meet Federal and State guidelines.

No discrimination shall be made in the employment of persons upon public works in this project because of the sex, race, color, national origin or ancestry, religion, or handicap of such personnel.

25. HOLD-HARMLESS CLAUSE

To the fullest extent permitted by law, the Distributor agrees to indemnify, defend and hold the Districts entirely harmless from all liability arising out of: any and all claims under Workers' Compensation acts and other employee benefit acts with respect to Distributor's employees or Distributor's subcontractor employees arising out of Distributors work under this proposal; and any loss, injury to or death of persons or damage to property caused by any act, neglect, default or omission of the Distributor, or any person, firm or corporation employed by the Distributor, either directly or by independent contract, including all damages due to loss or theft, sustained by and person, firm or corporation including the Districts, arising out of, or in any way connected with the Distributors work under this proposal, including injury or damage either on or off the Districts property; but not for any loss, injury, death or damages caused by the sole or active negligence, or willful misconduct of the Districts.

The Distributor, at the Distributor's own expense, cost and risk, shall defend any and all claims, actions, suits, or other proceedings that may be brought or instituted

against the Districts, its officers, agents or employees, on any such claim or liability, and shall pay or satisfy any judgment that may be rendered against the Districts, their officers, agents or employees in any action, suit or other proceedings as a result thereof.

26. FINGERPRINTING

Successful Distributor agrees to comply with all provisions of Education Code Section 45125.1. Distributor will conduct a criminal background check of all employees, agents, and representatives assigned to the Districts that will enter the sites and other Districts facilities for purposes of providing services covered by this proposal during normal District hours, and will certify in writing that no such employees, agents, and representatives who have been convicted of serious or violent felonies as specified will have contact with pupils. Distributor will provide the Districts with a list of all employees providing services pursuant to this RFP.

27. PIGGYBACK CLAUSE/OTHER DISTRICTS

For the term of the contract and any mutually agreed extensions, Distributor agrees to allow no more than 10 other school districts of like size or smaller within the California Counties of Imperial, Los Angeles, Orange, Riverside, San Bernardino, and San Diego to purchase identical sourcing and distribution services, upon the same terms and conditions contained in this contract. Any liability created by any such purchase orders issued against this Contract shall be the sole responsibility of the district placing the order. The Districts waive their right to require such other districts and offices to draw their warrants in favor of the Districts.

28. RELATIONSHIP

While engaged in carrying out and complying with the terms and conditions of this Contract, the Contractor is an independent contractor, and is not an officer, employee or agent of the Districts.

29. PROVISIONS. REQUIRED BY LAW

Each and every provision of law and clause required to be inserted into this Contract shall be deemed to be inserted herein and this Contract shall be read and enforced as though it were included herein, and if through mistake or otherwise any such provision is not inserted or is not inserted correctly, then upon application of either party this Contract shall forthwith be physically amended to make such insertion or correction.

30. ATTORNEYS' FEES

In the event of any dispute between the Districts, Individual District, and Contractor pertaining to this Contract or the services or products provided for hereunder, the prevailing party (as determined by the court or arbitrator in any such action) shall be entitled to recover from the other party its reasonable attorneys' fees, costs and expenses incurred in connection therewith. The term "attorneys' fees" or "attorneys'

fees and costs" shall mean the fees and expenses of counsel to the parties hereto, which may include printing, photo-stating, duplicating and other expenses, air freight charges, and fees billed for law clerks, paralegals and other persons not admitted to the bar but performing services under the supervision of an attorney, and the costs and fees incurred in connection with the enforcement or collection of any judgment obtained in any such proceeding. The terms and provisions of this Section shall survive the expiration or earlier termination of this Contract.

31. GOVERNING LAW AND VENUE

In the event of litigation, the proposal documents, specifications and related matters shall be governed by and construed only in accordance with the laws of the State of California. Venue shall only be with the appropriate state or federal court located in the County of San Diego.

32. SEVERABILITY

If any provisions of the resulting Contract shall be held invalid or unenforceable by a court of competent jurisdiction, such holding shall not invalidate or render unenforceable any other provisions hereof.

IN WITNESS WHEREOF, this Contract has been duly executed by the above-named parties, on the day and year first above written.

DISTRICT: Fallbrook Union Elementary
School District

DISTRIBUTOR:

By: _____

By: John Cho _____

Title: _____

Title: V.P. of Revenue Management _____

Address: 321 Iowa Street, Fallbrook,
CA 92028

Address: 3781 E. Airport Drive Ontario, CA 91761

Phone: (760) 731-5445

Phone: 909-843-9600

Fax:

Fax: 909-843-9618

Authorized Offices or Agents
(Corporate Seal)

Gold Star Foods

Fallbrook Union Elementary School District
RFP No. 404-23-24
District Information

1. Bonsall Unified School District	
Zip Code(s) of Delivery Site(s)	92003
Menu Rotation? Cycle, Annual, Monthly, Weekly	Cycle
Number of Delivery Sites	1
Deliveries Per Week	1
Preferred Day(s) of Delivery	
Preferred Time of Delivery	7:00 AM – 10:00 AM
Bonsall USD - 31505 Old River Rd, Bonsall, 92003 OFFICE (760)631-5200 x1025 FAX (760)631-5366 Contact: Kursten Orr, CNS Director (760)631-5200 x1025	No loading Dock Follow signs to Food Service Delivery area

2. Fallbrook Union Elementary School District	
Zip Code(s) of Delivery Site(s)	92028
Menu Rotation? Cycle, Annual, Monthly, Weekly	Seasonal 2 Week Cycle Menu
Number of Delivery Sites	1 w/Option of 2 per week
Preferred Day(s) of Delivery	Tuesday/Thursday
Preferred Time of Delivery	6:00 AM – 10:00 AM (Early)
FUESD – CNS 409 W. Fallbrook Street, Fallbrook CA 92028 OFFICE (760)731-4352 FAX (760)723-6143	No loading dock, Area w/lifting gate available

3. Fallbrook Union High School District	
Zip Code(s) of Delivery Site(s)	92028
Menu Rotation? Cycle, Annual, Monthly, Weekly	Seasonal 3-week Cycle
Number of Delivery Sites	2
Deliveries Per Week	2
Preferred Day(s) of Delivery	Tuesday/Thursday
Preferred Time of Delivery	6:00 AM – 8:30 AM
Fallbrook High School - 2200 S. Stagecoach Ln, Fallbrook, 92028 OFFICE (760)731-1601 FAX (760)731-6192 Judi Reynolds Contact	Small dock; Large delivery trucks may not be able access

Fallbrook Union Elementary School District
RFP No. 404-23-24
Reference List

List at least three (3) local (within one hundred miles of the Districts) clients for whom you have provided similar services. Show the names, addresses, and current telephone numbers of the persons who may be contacted. Information obtained through the references will be evaluated by the District. The Proposer recognizes that to ensure the effectiveness of the information review process, references must be able to speak frankly and openly. Proposer, therefore, releases the organizations and individuals listed in this form from any claim or liability, because of responses given to requests for information by the District regarding the Proposer or the Proposer's performance of work.

1. Name	Address	Phone Number	E-mail Address
<u>Pomona Valley Unified School District</u>	<u>1460 East Holt Avenue, Suite 160, Pomona, CA 91767</u>	<u>909-391-4711</u>	<u>daryl.hickey@pusd.org</u>
2. Name	Address	Phone Number	E-mail Address
<u>Colton Joint Unified School District</u>	<u>325 Hermosa Avenue, Colton, CA 92324</u>	<u>909-580-5000 x 6650</u>	<u>eric_encisco@cjud.net</u>
3. Name	Address	Phone Number	E-mail Address
<u>Saddleback Valley Unified School District</u>	<u>25631 Peter A. Hartman Way, Mission Viejo, CA 92691</u>	<u>949-830-4030 x 1</u>	<u>ceubanks@lahabraschools.org</u>



CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)

3/1/2023

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

IMPORTANT: If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

PRODUCER Edgewood Partners Ins. Center 350 S. Grand Avenue, Suite 4500 (877) 650-3742 / Lic#0B29370 Los Angeles CA 90071	CONTACT NAME: Pabla Barros PHONE (A/C No, Ext): (213) 629-8936 FAX (A/C, No): E-MAIL ADDRESS: pabla.barros@epicbrokers.com
INSURED Gold Star Foods, Inc Good Source Solutions, Inc 3781 E. Airport Drive Ontario CA 91761	INSURER(S) AFFORDING COVERAGE INSURER A: Starr Indemnity and Liability Company INSURER B: Navigators Insurance Company INSURER C: Lexington Insurance Company INSURER D: Great American Insurance Company INSURER E: INSURER F:

COVERAGES**CERTIFICATE NUMBER:** 1522919158**REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL SUBR INSD WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR GEN'L AGGREGATE LIMIT APPLIES PER: <input checked="" type="checkbox"/> POLICY <input type="checkbox"/> PROJECT <input type="checkbox"/> LOC <input type="checkbox"/> OTHER:		1000100096221	11/1/2022	11/1/2023	EACH OCCURRENCE \$ 2,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 1,000,000 MED EXP (Any one person) \$ 5,000 PERSONAL & ADV INJURY \$ 2,000,000 GENERAL AGGREGATE \$ 10,000,000 PRODUCTS - COMP/OP AGG \$ 4,000,000 \$
A	<input checked="" type="checkbox"/> AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO <input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS <input checked="" type="checkbox"/> HIRED AUTOS ONLY <input checked="" type="checkbox"/> NON-OWNED AUTOS ONLY		1000639298221	11/1/2022	11/1/2023	COMBINED SINGLE LIMIT (Ea accident) \$ 2,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ Comp/Coll Ded \$ 2,000
B C	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> DED <input checked="" type="checkbox"/> RETENTION \$ 10,000		NY22UMRZ035PVIC 080878048	11/1/2022 11/1/2022	11/1/2023 11/1/2023	EACH OCCURRENCE \$ 10,000,000 AGGREGATE \$ 10,000,000 \$
A A	<input checked="" type="checkbox"/> WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below Y / N <input type="checkbox"/> N / A		1000003941 1000004409	11/1/2022 11/1/2022	11/1/2023 11/1/2023	<input checked="" type="checkbox"/> PER STATUTE <input type="checkbox"/> OTHER E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000
D	Crime Coverage		SAAE9228960000	12/1/2022	12/1/2023	Employee Dishonesty \$1,000,000 Loss of Clients Prop \$1,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)

RE: RFP No. 404-23-24

CERTIFICATE HOLDER IS ADDITIONAL INSURED ON GENERAL LIABILITY COVERAGE, IF REQUIRED BY WRITTEN CONTRACT AND SUBJECT TO THE TERMS AND CONDITIONS OF THE POLICY.

CERTIFICATE HOLDER**CANCELLATION**

FALLBROOK UNION ELEMENTARY SCHOOL DISTRICT
409 W. FALLBROOK STREET
FALLBROOK CA 92028
USA

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.

AUTHORIZED REPRESENTATIVE

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**CONTRACTOR'S CERTIFICATE REGARDING
WORKERS' COMPENSATION FORM**

Labor Code Section 3700 in relevant part provides: Every employer except the State shall secure the payment of compensation in one or more of the following ways:

52. By being insured against liability to pay compensation by one or more insurers duly authorized to write compensation insurance in this State.

53. By securing from the Director of Industrial Relations a certificate of consent to self-insure, which may be given upon furnishing proof satisfactory to the Director of Industrial Relations of ability to self-insure and to pay any compensation that may become due to employees.

54. For any county, city, city and county, municipal corporation, public Owner, public agency, or any political subdivision of the state, including each member of a pooling arrangement under a joint exercise of powers agreement (but not the state itself), by securing from the Director of Industrial Relations a certificate of consent to self-insure against workers' compensation claims, which certificate may be given upon furnishing proof satisfactory to the director of ability to administer workers' compensation claims properly, and to pay workers' compensation claims that may become due to its employees. On or before March 31, 1979, a political subdivision of the state which, on December 31, 1978, was uninsured for its liability to pay compensation, shall file a properly completed and executed application for a certificate of consent to self-insure against workers' compensation claims. The certificate shall be issued and be subject to the provisions of Section 3702.

I am aware of the provisions of Labor Code Section 3700 which require every employer to be insured against liability for workers' compensation or to undertake self-insurance in accordance with the provisions of that code, and I will comply with such provision before commencing the performance of the work of this Contract.

(Signature)


John Cho, V.P. of Revenue Management

(Print)

March 06, 2023

(Date)

In accordance with Article 5 (commencing at section 1860), Chapter 1, Part 7, Division 2 of the Labor Code, the above certificate must be signed and submitted with the Contractor's bid.

	GOLD STAR FOODS	SQF 2.4 Food Safety System	DOCUMENT # 2.4.3
Document Title: Food Safety Plan		Revision Date:	1/15/2022
Department: ALL Departments		Revision #	10
Prepared By: Jaime Anguiano		Approved By: Pedro Osorio	Page 1 of 6

Introduction to Gold Star Foods Inc.

STREET ADDRESS:

3781 E. Airport Drive
Ontario, CA 91761

MAILING ADDRESS:

P.O. Box 4328
Ontario, CA 91761

FEDERAL I.D. NUMBER:

26-1340567

TELEPHONE:

Toll Free.... (800) 540-0215
Local..... (909) 843-9600

FAX:

Office.....(909) 843-9659

HOURS:

Monday - Friday 6:00 AM - 5:00 PM

Company Overview:

Gold Star Foods Inc. "Gold Star Foods" began operations in 1966 as a distributor of meat products primarily to coffee shops in the Los Angeles area. "Gold Star Meat Company", a family owned business, was purchased in 1978 and under new ownership the focus of the business shifted from restaurants to Southern California School Districts. To better reflect the image of a changing inventory, the name was changed to "Gold Star Foods" in 1983 and most recently to "Gold Star Foods Inc". Since 1978, Gold Star Foods customer base has grown to over 300 school districts throughout the Southwest. As a result of our commitment to excellence, we have been recognized nationwide by the United States Department of Agriculture and the American School Food Service Association as one of the outstanding food service distributors to school districts.

A leader in the provision of School Nutrition Food and Supplies, Gold Star is widely considered one of the United States' premier processed commodity distributors. Our founder's vision became a system where school food operations can order and use commodities just like commercial products. The result? The children have products that are appetizing, and the districts can utilize government subsidies. Gold Star Commodity Programs have grown to supply all items used in school meal programs:


- Frozen
- Grocery
- Fresh and Frozen Bread
- Produce
- Paper & Supplies

Food Safety, Product Recall, & Biosecurity:

Keeping students safe is our primary role. At Gold Star tremendous investment is made to ensure the integrity of the products we deliver. HACCP is not a buzz word, how we manage your goods through our system to your door. Using outside, third party companies, our systems are evaluated and graded to make sure the systems are in place and working. Food integrity also requires that food security systems are in place as mandated by industry best practices and USDA Biosecurity requirements.

Plant Description:

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	GOLD STAR FOODS	SQF 2.4 Food Safety System	DOCUMENT # 2.4.3
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Gold Star Foods facility has 36 loading doors. The construction is primarily concrete tilt-up walls built on a cement slab. Walls and ceilings are constructed of sheet metal with an anodized white sanitary coating. The roof is flat, but with adequate drainage to minimize standing water.

The total plant footprint is 252,310 square feet.

Freezer 83,660 SF

Refrigerated Storage 24,700 SF

Produce Storage 3,600 SF

Dry Grocery Storage 41,800 SF

Bread Operations 12,500 SF

Dry Dock 16,600 SF

Refrigerated Dock 17,400 SF


Engine Room 2,600 SF

Main Office 15,300 SF

Shipping/Receiving Office 3,040 SF

HACCP Leadership Team

Name	Title	Responsibilities	Qualifications/Experience
Les Wong	Chief Operations Officer	HACCP Team Member (714) 270 - 3057	Over 30 years of Food Operations and Distribution Experience.
Pedro Osorio	Director of Safety/HACCP	HACCP Team Leader SQF Practitioner (323) 496 – 7280	SQF Practitioner trained HACCP certified
Ben Chapman	Director of Operations	HACCP Team Member (209) 607 - 0369	HACCP trained
Octavio Salazar	VP of Operations	HACCP Team Member (909) 437-9513	HACCP Trained
Ed Taylor	Director of Warehouse	HACCP Team Member 909-230-8749	HACCP Trained
Danny Garcia	Director of Transportation	HACCP Team Member 562.301.8541	10 years Food Operations and Distribution experience.
Jaime Anguiano	SQF Practitioner	HACCP Team Member (909) 806 - 9295	HACCP Trained
Richie Cabrera	Inventory Control	HACCP Team Member (909) 268-3091	HACCP Trained
Karen Rosales	Executive Director of Procurement	HACCP Team Member (626) 428-9340	HACCP Trained
Edwin Quinteros	QC Manager Produce	HACCP Team Member (626) 428-9340	HACCP Trained
Mike Lapacka	Safety Training Manager	HACCP Team Member (704) 310 - 2934	HACCP Trained

	GOLD STAR FOODS	SQF 2.4 Food Safety System	DOCUMENT # 2.4.3
Document Title: Food Safety Plan		Revision Date:	1/15/2022
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Introduction to HACCP

Introduction: Hazard Analysis Critical Control Point, or HACCP, is a system which gives us a proactive common-sense approach to the safety management of our food products. HACCP was originally designed in the early days of the American manned space Program, and was developed by the Pillsbury Company, NASA and the United States Army laboratories, to ensure the Microbiological safety of the astronauts' food.

HACCP (Hazard Analysis Critical Control Points), which is a global standard developed as part of Codex Alimentarius to improve upon and synchronize international food standards, guidelines, and codes of practice to protect the health of consumers. The HACCP system was launched publicly in 1971 and is designed to identify and control hazards that may occur anywhere in a food processing operation.


The benefits of the HACCP system are as follows:

- ☑ A Preventative System
- ☑ A Systematic Approach
- ☑ Helps demonstrate 'Due Diligence'
- ☑ Internationally accepted
- ☑ Strengthens Quality Management Systems

Scope: The purpose of this food safety program is to identify and control, prevent, and eliminate food safety hazards.


The HACCP Team has defined the Scope of this analysis to begin with the receiving of ingredients and packaging to the shipment of the finished product to the customers, taking into account all possible Microbiological, Chemical, Physical and Intentional hazards which could occur during this process. The HACCP team will also take into consideration all potential hazards from the Country of Origin of all sourced products

The HACCP Team will ensure that all working practices adhere to all current food safety legislation.

	GOLD STAR FOODS	SQF 2.4 Food Safety System	DOCUMENT # 2.4.3
Document Title: Food Safety Plan		Revision Date:	1/15/2022
Department: ALL Departments		Revision #	10
Prepared By: Jaime Anguiano		Approved By: Pedro Osorio	Page 4 of 6

Definitions

TERM	DEFINITION
Critical Control Point (CCP)	A step at which control can be applied and is essential to prevent or eliminate a food safety hazard or reduce it to an acceptable level.
Pre- Requisite Programs	Practices and procedures forming the basis of preventable actions: <ul style="list-style-type: none"> Receiving, Storage & Transport Approved Supplier Program Calibration & Maintenance Cleaning & Sanitation Pest Management Staff Training Personnel Practices Product Identification, Traceability & Recall Premises (buildings & site) Complaint Management Allergen Control
Hazard Analysis	A tabulated record of all Hazards that affect or have the potential to affect the safety of the products under analysis.
HACCP	Hazards identified in the risk analysis as being of significance and their respective control measures are transferred to the HACCP table. The critical limit of these hazards is specified. Details of who will monitor the critical limit to make sure it is not broken are given. Actions to be taken when critical limits are broken are also given. Records of monitoring activities are listed.

	GOLD STAR FOODS	SQF 2.4 Food Safety System	DOCUMENT # 2.4.3
Document Title: Food Safety Plan			Revision Date: 1/15/2022
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Prepared By: Jaime Anguiano		Approved By: Pedro Osorio	Page 5 of 6

Methodology:


Flow Chart: The flow chart has been designed so that each step of the process has been identified

Hazard Analysis Table: The method used to establish CCP's within this HACCP plan has been based on the significance of each hazard and the likelihood of occurrence as determined by the Hazard Analysis table. Hazards which can be controlled, prevented or eliminated by the application of Pre-Requisite Programs are not included in the HACCP plan. Therefore, these hazards have been identified in the risk analysis and have not been carried forward to the HACCP table as CCP's. Hazards controlled by Pre-Requisite programs may be monitored without a record maintained

HACCP Table All hazards not controlled by Pre-Requisite programs and defined as highly significant have been carried over to the HACCP table as a CCP. These hazards are all monitored, and a record of that activity maintained.

Guidance: The HACCP plan has been prepared in accordance with:
FDA Hazard Analysis and Critical Control Point Principles and Application Guidelines Adopted August 14, 1997, National Advisory Committee on Microbial Criteria for Foods and CODEX Alimentarius Guidelines 97/13A for HACCP.

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	GOLD STAR FOODS	SQF 2.4 Food Safety System	DOCUMENT # 2.4.3
Document Title: Food Safety Plan		Revision Date:	1/15/2022
Department: ALL Departments		Revision #	10
Prepared By: Jaime Anguiano		Approved By: Pedro Osorio	Page 6 of 6

Revision History			
Rev #	Issue Revision Date	Revised By	Reason for Revision
1	01/11/16	Pedro Osorio	New
2	02/26/16	Wayne Warner	Update to SQF 7.2 Quality manual
3	03/18/16	Pedro Osorio	Updated HACCP team
4	12/28/16	Pedro Osorio	Removed Marc Jimenez
5	5/1/2017	Pedro Osorio	Added Joe Villarreal, removed Larry Noble
6	3/14/2018	Jaime Anguiano	Added Tim Christoni, removed Joe Villarreal, Added Mike Lapacka removed Erick Osorio
7	1/8/2019	Jaime Anguiano	Added Les Wong and Bob Miles updated plant description
8	1/2/2020	Jaime Anguiano	Updated Document to meet SQF edition 8.1
9	1/16/2021	Jaime Anguiano	Added Alfredo Hernandez, Robert Avery, and Ben Chapman
10	1/15/2022	Jaime Anguiano	Updated team added Danny Garcia Transportation director and ED Taylor WHSE Director

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PRODUCT RECALL PROCEDURES

ALL E-MAILS PERTAINING TO A RECALL MUST BE SENT TO THE "RECALL" USERGROUP

"RECALL" usergroup: Karen Rosales, Sean Leer, Stephanie Ewing, Les Wong, Rani Romero, Jeff Regan

Matthew Jensen, Kristy Cariato, Octavio Salazar, Amber Aldersen, Scott Bower

Pedro Osorio, Richie Cabrera, Jaime Anguiano, Martin Perez, Dan Moreno, Brianne Jamaica

Daniel Torres, Eric Gomez, Pete DiGianBattista, Delfino Ortiz, Ruben Rivera, Ben Chapmen

Alfredo Hernandez, Yolanda Zamudio, Rudy Sanchez, Jesus Zepeda, Manuel Dominguez, Robert Avery

	Person in Charge	Back-up Person	Step by Step Procedures:	Time to complete step	Description of Action Taken	Update report
Step 1	Karen	Kristy/Gil/Peter	<u>Sends</u> Recall announcement to "Recall" Outlook usergroup with all the details. <u>Sends</u> detailed instructions to Inventory Control Department, including code number, commitment report from South Cal and North Cal	20 Minutes	Email MUST be followed by a Phone call to Richie Cabrera and Pedro Osorio to ensure Recall process starts right away. Whse Managers will notify whse employees and Transportation will notify drivers who might have affected product in transit Richie cell # 909-268-3091 Pedro cell #323-496-7280 RICHIE / PEDRO WILL MAKE PHONE CALL TO NORTH CAL TEAM	
Step 2	Richie / Pete / Daniel	James/Johnny/ Martin/ Pheng	1) Places product on "Q.C.HOLD" 2) Conducts internal audit	20 Minutes	Send Audit results to "Recall" Outlook Usergroup	<u>Yes</u>
Step 3	Martin / Daniel	James/ Johnny/ Edwin/ Ivonne/ Pheng	Will segregate and tag product on hand and use Recall Reason Code "99" to take it out from the system	1-2 hours	If product has already been picked, it will be removed from assembled routes	<u>Yes</u>
Step 4	Rani	Brianne/ Britini	Will notify Customers and send update to "Recall" usergroup	30 minutes	Email sent to customer followed by phone call to ensure customer is aware of the recall	<u>Yes</u>
Step 5	Richie / Daniel / Pete	Martin / Pheng	Once all product has been accounted for and the paperwork is completed, Richie will verify and fillout and sign paperwork (Product Recall Form) and send update to Recall Committee	20 minutes	Segregated product will be staged on Recall Product Area	<u>Yes</u>
Step 6	Rani	Brianne/ Britini	Contact customer and schedule product to be picked up from customer		Amber Greenwell will send updates to Recall Team with Reason Code "99" RA #'s and pickup schedules	<u>Yes</u>
Step 7	Bob Ontario / Jeff Regan / Dixon	Transportation Management / Daniel Torres	Make sure all drivers with Recall RA's are notified		Driver must notify Receiver/driver checker that recalled product being returned from Customer is on the truck	No
Step 8	Receiver/Driver checker / Jeff	Transportation Managers / Daniel Torres	Must notify Inventory Control of recalled product being returned from customers		Drivers must check-in with Supervisor to inform of product brought back -- Driver Checkers must segregate product - Supervisors must inform Inventory Control of product as it comes back	No
Step 9	Richie / Pete / Daniel	Daniel / Edwin / Martin	Once all recalled product has been received and segregated, update report must be sent to the Karen, Kristy and Pedro		Inventory Control will validate RA's and number of cases received back from customer and send daily updates to Karen R, Kristy C. and Pedro Q.	<u>Yes</u>
Step 10	Karen	Kristy / Gil / Pete	Complete and send final report		Including timeline taken to complete recall process and percentage of product recovered	<u>Yes</u>


Prepared by: Pedro Osorio 01/22/16 Revision: 01/6/2021 _____

Verified by: Richie Cabrera _____ Date: _____ Validated by: Karen Rosales _____ Date: _____

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Recall Team - Cell Numbers and E-mails

Name	Phone Numbers	Email	Location
Karen Rosales	626-428-9340	karenv@goldstarfoods.com	Ontario
Richie Cabrera	909-268-3091	richie@goldstarfoods.com	
Pedro Osorio	323-496-7280	pedro@goldstarfoods.com	
Kristy Cariato	951-741-4116	kristy@goldstarfoods.com	
Jaime Anguiano	213-364-8588	Jaimeanguiano@goldstarfoods.com	
Dan Moreno	909-541-3399	danmoreno@goldstarfoods.com	
Martin Perez	323-392-6988	martinp@goldstarfoods.com	
Rani Romero	323-490-9311	rani@goldstarfoods.com	
Octavio Salazar	909-437-9513	octaviosalazar@goldstarfoods.com	
Les Wong	714-270-3057	leswong@goldstarfoods.com	
Scott Bower	909-815-5348	Scottbower@goldstarfoods.com	
Peter Gonzalez	562-746-4344	Peter@goldstarfoods.com	
Gil Sanchez	909-559-5250	gilsanchez@goldstarfoods.com	
Bob Miles	909-496-1950	bobmiles@goldstarfoods.com	
Eric Gomez	707-291-7521	erick@goldstarfoods.com	Dixon
Daniel Torres	707-330-2304	DanielTorres@goldstarfoods.com	
Mike Lapacka	707-310-2934	mikelapacka@goldstarfoods.com	
Michael Weakly	916-825-9456	michaelweakly@goldstarfoods.com	
Ben Chapman	209-607-0369	benchapman@goldstarfoods.com	

	GOLD STAR FOODS	SQF 2.6 Product Traceability and Crisis Management	DOCUMENT #2.6.3
Document Title: Product Recall and Withdrawal		Revision Date:	02/15/2022
Department: ALL Departments		Revision #	9
Prepared By: Jaime Anguiano		Approved By: Pedro Osorio	Page 1 of 6

Purpose


The purpose of this program is to define Senior Management's responsibilities and methods used to withdraw or recall product.

Responsibilities and Methods

Recall Team and Notification Tree

Sean C. Leer	CEO	(562) 508-6533	Responsible for Recall Order
Les Wong	Chief Operations Officer	(714) 270 - 3057	Recall Support Backup to CEO
Karen Rosales	VP of Procurement and Logistics	(626) 428-9340	Recall Coordinator Product recall recommendation Compiles recall documentation Backup to CEO
Pedro Osorio	Safety/HACCP Director	(323) 496-7280	Responsible for internal recall notification Notification to SQFI and SAI Global
Mike McGee	Operation Supervisor Colorado	(909) 200 - 0415	Responsible for internal recall notification Notification to SQFI and SAI Global
Ben Chapman	Director of Operations Dixon	(209) 607 - 0369	Responsible for internal recall notification Notification to SQFI and SAI Global
Mike Lapacka	Safety Training Manager Dixon	(707) 310 - 2934	Responsible for internal recall notification Notification to SQFI and SAI Global
Jaime Anguiano	Safety Training Supervisor Ontario	(909) 806 - 9295	Responsible for internal recall notification Notification to SQFI and SAI Global
Rani Romero	VP Customer Service Ontario	(323) 490-9311	Customer notification
Pete DiGiamBattista	IC Manager Ontario	(909) 528 - 4800	Send out audit report to recall committee
Richie Cabrera	IC Supervisor Ontario	(909) 268-3091	Send out audit report to recall committee
Martin Perez	IC Supervisor Ontario	(323)392-6988	Segregation of Materials Place affected products on hold
Daniel Torres	IC Supervisor Dixon	(707) 330 - 2304	Segregation of Materials Place affected products on hold
Octavio Salazar	VP of Operations	(909) 437-9513	Recall support

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	GOLD STAR FOODS	SQF 2.6		DOCUMENT #2.6.3	
		Product Traceability and Crisis Management			
		Document Title: Product Recall and Withdrawal			Revision Date: 02/15/2022
		Department: ALL Departments			Revision # 9
Prepared By: Jaime Anguiano		Approved By: Pedro Osorio		Page 2 of 6	

Ed Taylor	Director of Warehouse	(909) 230-8749	Recall support
Danny Garcia	Director of Transportation	(562) 301 -8541	Recall support
Additional Resources			
Wayne H. Warner		253) 576-0867	Food safety advice for recall
C. Scott Salmon		909) 843-9603	Responsible for providing legal counsel during recall
FDA		(866) 300-4374	Regulatory notification
USDA		(888) 674-6854	Regulatory notification
SQFI (GFSI Compliance Body)		foodcrisis@sqfi.com	
SAI Global (Certifying Body)		foodrecall@saiglobal.com	

Definitions

Class I Recall: A reasonable probability exists that use of or exposure to the product will cause serious adverse health consequences or death.

Class II Recall: The use of or exposure to the product may cause temporary or medically reversible adverse health consequences of the probability of serious adverse health consequences is remote.

Class III Recall: The use of or exposure to the product is not likely to cause adverse health consequences.

Market Withdrawal: A firm's removal or correction of a distributed product when there is a minor violation not subject to legal action by the FDA or FSIS or when the company wishes to retrieve product from distribution

Stock Recovery: Employed in recovering product that is still under the manufacturer's direct control (on or its own premises or warehouse) from which the company can assure there will be no distribution.

RECALLS, WITHDRAWALS, & RECOVERIES


The need for a product withdrawal can originate in four ways: with a regulatory agency, with a consumer complaint, with an announcement from distribution channels or within the company's own systems. There are 4 main components to a product recall or withdrawal

INQUIRY & COMMUNICATION

A product may be recovered or recalled at any stage in the receiving, storage and distribution processes. Additionally, it may be necessary to recall products from the affected school systems. Generally, a **Product Inquiry** would be initiated if a product does not meet the standards of safety, quality, appearance, or packaging/labeling standard established by the company. The inquiry would be preceded by an internal or external observation or complaint and documented in accordance with our Corrective Action Program and Customer Complaint Program. The Recall Coordinator will call to action the Recall Team (Executive Committee), who will meet to determine the following:

1. The seriousness of the problem
2. The extensiveness of the problem

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	GOLD STAR FOODS	SQF 2.6 Product Traceability and Crisis Management	DOCUMENT #2.6.3
Document Title: Product Recall and Withdrawal			Revision Date: 02/15/2022
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Prepared By: Jaime Anguiano		Approved By: Pedro Osorio	Page 3 of 6

3. The effects of the problem on the company and the public

INVESTIGATION & RECOMMENDATION

The Recall Team will identify the problem and gather facts through interviews and records in order to determine the safety and wholesomeness of the product. Once information has been gathered as to the extent of the product complaint or concern, a decision will be made whether or not to recommend recall or withdrawal of the product. The Recall Team will make a **recommendation** to recall, withdraw, or recover products. Our policy is to always pull and hold a product immediately if we are unsure about the safety or wholesomeness of the product. The information will be forwarded to the CEO for final evaluation

PRODUCT RECALL ORDER

Once a final decision to recall the product is made, the CEO will execute the **Product Recall Order**. The Recall Coordinator will determine the locations and products affected by the recall and issue the appropriate communication. (See recall document). The Sales Team will research any affected orders and notify any customers of the recall. The FDA, SQFI and SAI Global (Certifying Body) will be notified of all recalls due to widespread food borne illness.

RECALL STRATEGY

A Recall Strategy is developed by the Recall Team and addresses the following:

Depth

The strategy must specify whether the recall extends to the wholesale level, the retail level or all the way to the consumer level.

Publicity

The company will develop a press release and clear it with the FDA / FSIS. Most often, the company issues the news release alerting consumers to the risk.

The FDA / FSIS issues notices or public warnings when there is a serious health hazard. This can be in the form of a press release, letter, telegram, phone call or FDA publication. The company should insist on having input into any such warning statement.

Whenever communication comes in from outside the company and a recall is in process, all communication must be directed to and through the company spokesperson. This may include questions from the news media, customers, etc. The designated company spokesperson is the only individual authorized to release information to the news media and outside sources, other than regulatory agencies in which case Technical Services or the Recall Coordinator may provide information relating to product in question.

Contact with Regulatory Agencies

The CEO or Recall Coordinator will contact regulatory agency concerning product recall. Whenever a meeting is scheduled with regulatory agencies, at least two company representatives will be present.

Effectiveness Checks

These verify that all consignees at the specified depth have been notified about the recall and have taken appropriate action.

4

	GOLD STAR FOODS	SQF 2.6 Product Traceability and Crisis Management	DOCUMENT #2.6.3
		Document Title: Product Recall and Withdrawal	
Department: ALL Departments		Revision Date: 02/15/2022	Revision # 9
Prepared By: Jaime Anguiano		Approved By: Pedro Osorio	Page 4 of 6

The recall strategy will specify the method(s) of contact. Methods of contact include personal visits, telephone, letters, telegrams or a combination thereof.

The FDA then designates the specific depth level of the recall:

- Level A (All consignees to be contacted)
- Level B (specified percentage of consignees to be contacted)
- Level C (ten percent of consignees to be contacted)

RECALL PROCEDURE

Step 1

In a product recall situation, the Gold Star Foods buyer and Recall Coordinator receives notification from the manufacturer. Gold Star Foods must be informed as soon as the vendor/manufacture is aware of a recall situation, form must be submitted if you are in the category. Regardless of the severity of the recall type, Gold Star Foods will treat each situation as a Class 1 recall, which is as a mandatory product withdrawal. The vendor/manufacture is responsible of submitting a "Manufacture Product Recall Form". The appropriate Gold Star Foods buyer will complete the "Manufacture Recall Form" and inform the Recall Coordinator of the recall. The Recall Coordinator (RC) will then oversee the entire recall process.

(See attached Recall Committee Diagram and Recall Committee Contact Form)

All correspondence needs to be sent to the following email address: recall@goldstarfoods.com

Upon receiving a product recall GSF will place all payables ON HOLD until matter is resolved.

Step 2

Once the above information is received for a product recall, the Purchasing Department will immediately inform the Recall Coordinator (RC). The RC will implement the following:

- A. Notify Inventory Control, Warehouse Supervisors, and Warehouse Managers to perform a systems and physical inventory check to see if Gold Star Foods has any of the production codes in our inventory stock. Upon confirmation of existing inventory levels, the following procedures will be implemented:
 - a. The RC will notify the Customer Service Supervisor via email. The RC will then send a broadcast e-mail message to all recipients in the Company.
 - b. The RC will notify the Inventory Control Supervisor (ICS) to verify by computer the customers that have ordered the product on recall.
 - c. The RC will inform the Customer Service Manager (CSM) of all customers that have ordered and received product.
 - d. The CSM will notify all customers that ordered and received product and inform them of the recall and all relevant information. Customer Service will provide a check list of each customer that has been contacted.
 - e. The appropriate buyer will inactivate the item number for recall product(s) in the computer system. This will **not** allow any orders to be taken for the affected products(s). Product will be isolated and placed on immediate hold at GSF.
 - f. Pick-up schedules will be made for all verified recall products with each customer.
 - g. Any recall product in the warehouse will be physically pulled out of inventory, tagged "Recalled Product", shrink wrapped and put into assigned product recall section.
 - h. The Transportation Department will be notified of the recall, and will be instructed on all scheduled pick-ups that must occur.

f

	GOLD STAR FOODS	SQF 2.6 Product Traceability and Crisis Management	DOCUMENT #2.6.3
Document Title: Product Recall and Withdrawal		Revision Date:	02/15/2022
Department: ALL Departments		Revision #	9
Prepared By: Jaime Anguiano		Approved By: Pedro Osorio	Page 5 of 6

- B. After all recalled product has been retrieved and accounted for; the buyer will contact the Manufacturer for inventory disposition. GSF will store product 14 days maximum. In the event that the product is not retrieved from our facility we will dispose the product and seek full payment.
- C. The Manufacturer will determine if the product is to be disposed of (Certificate of Condemnation) or returned to the packer for credit.

Step 3

Once all of the above recall procedures have been completed, all associated documentation should be forwarded to the Recall Coordinator. All recall documentation will include the following information:

- Manufacture Recall Form
- Inventory Control Product Recall Form
- Receiving Recall Return Sheet
- Certificate of Condemnation (Disposal of Inventory) *if applicable*
- Copy of signed Bill of Lading (Ship Inventory Back) *if applicable*

In the event that 100 % of the product is not collected GSF is to:

- Inform the vendor of what schools
- Inform the California Health Department

Step 4

In the event that your company has a category that is in current recall situation but is not affected. You must email a formal letter (recall@goldstarfoods.com) to inform GSF that your product is unaffected. The purpose of this is to advise our customer that they are safe serving product in question. Please submit the letter as soon as you are aware there is a recall situation in your category. We will expect a letter within a few hours of the public notification.

Step 5

Gold Star Foods, Inc. has incurred the following expenses in association with the recall:

- A. Product Cost: Customer Invoice Cost per case
- B. Administrative Costs: Flat fee \$350.00
- C. Transportation Costs: \$75 per stop to recover product from customer

VERIFICATION OF THE SYSTEM

1. The product withdrawal and recall system is reviewed tested and verified twice annually.
2. Results of the mock recall will be tabulated and communicated to the leadership team.
3. Any gaps or deficiencies are evaluated with corrective actions taken

RECORDS

Shipping/Receiving/Storage Records

(See SOP for additional requirements)

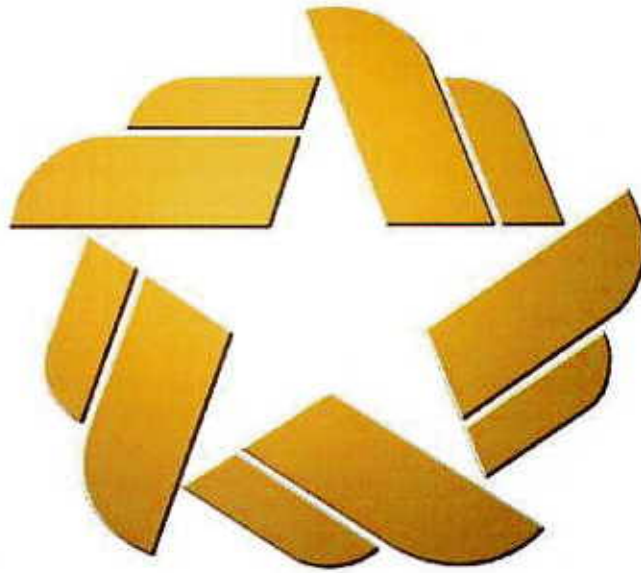
Records of all product withdrawals and recalls are maintained in the Strategic Sourcing Manager's office.

4

	GOLD STAR FOODS	SQF 2.6		DOCUMENT #2.6.3
		Product Traceability and Crisis		
		Management		
Document Title: Product Recall and Withdrawal				Revision Date: 02/15/2022
Department: ALL Departments				Revision # 9
Prepared By: Jaime Anguiano		Approved By: Pedro Osorio		Page 6 of 6

Revision History			
Rev #	Issue Revision Date	Revised By	Reason for Revision
1	08/31/15	Pedro Osorio	New
2	02/22/16	Wayne Warner	Update to procedure and responsibilities
3	05/06/17	Jaime Anguiano	Update Martin Cell # , Removed Wayne Warner From additional Resources.
4	03/16/18	Jaime Anguiano	Added Mike Lapacka and Daniel Torres.
5	1/7/2019	Jaime Anguiano	Added Bob Miles to Transportation Manager.
6	1/8/19	Jaime Anguiano	Added Les Wong to Recall Support and Backup to CEO.
7	4/6/19	Jaime Anguiano	Added Gil Sanchez Director of Purchasing
	04/20/2020	Jaime Anguiano	Reviewed – No Changes
8	03/15/2021	Jaime Anguiano	Updated Recall team
9	2/15/2022	Jaime Anguiano	Updated Recall team

1



GOLD STAR FOODS, INC.

DISASTER AND EMERGENCY PLAN 2023-2024

3781 East Airport Drive
Ontario, CA 91760
909-843-9600

Prepared: 02/18/14 Last updated: 1/25/2023

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Emergency Action Plan

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Gold Star Foods, Customers Disaster Contingency Plan

To Our Customers:

In the event of a natural disaster (flood, tornado, hurricane, earthquake, power outage, etc.), Gold Star Foods will provide or arrange for the provision of food and food related products at the customary charge. Further, should the facility be disabled and incapable of storing food products, Gold Star Foods will arrange for storage via trailer to offer frozen, refrigerated, and dry storage. It will be the responsibility of the customer to provide a full-time security system for this property for the duration of the service. A certificate of insurance for liability coverage on the trailer will be provided by the customer prior to placement of the trailer.

Customer agrees to pay a reasonable fee to Gold Star Foods for services rendered.

Gold Star Foods will make the terms and conditions of this Statement of Understanding known to those who may have to respond, possibly on a 24-hour basis, and make such telephone numbers available.

	8am to 5pm Monday – Friday (909) 843-9600	After hours
Customer Service Director	Rani Romero	(323) 490-9311
Transportation Director	Danny Garcia	(562) 301-8541

Gold Star Foods cannot be held liable for the provision in the event of circumstances out of our control that prevent the company from performing this plan.

In the event of a multiple disaster situation, Gold Star Foods will accommodate equipment on first come first serve basis and Gold Star Foods shall not be, under any circumstance, be liable to the customer for any lack of equipment availability. Gold Star Foods shall have no liability for damages resulting from personal injury or property damage, except to the extent such injury or damages result from negligence or willful misconduct. Gold Star Foods shall not be liable for delayed equipment due to circumstances beyond reasonable control, including but not limited to acts of God, acts of terrorism that would prevent or delay delivery.

2023-2024 Disaster Planning

Gold Star Foods is using a two-part program that we feel will effectively fulfill your requests. Part one begins at the customer level. At this time, we are asking our customers to review and satisfy the suggestions and guidelines listed below. Also, to complete and return the following enclosed forms – Account Disaster Profile and Supplemental Order Form.

Part I – Customer

1. Review current disaster stock to ensure adequate levels. If necessary, replenish stock levels meet census needs
2. Plan for water supplies should Gold Star Foods not have the stock available to meet water requirements
3. Establish and submit to Gold Star Foods a standing disaster order to include only additional stock needed for staff and items to compliment the menu. For example – snack foods, nutritional supplements, cleaning supplies, fruit juices and paper supplies. Complete and submit your order on the Supplemental Order Form included in this packet. This is the supply order Gold Star Foods will deliver in the event of a natural disaster.
4. Make sure your emergency order is reasonable. **We cannot take product back.**

Part one of this program becomes complete when the Account Disaster Profile Form and Supplemental Order Form are received. It is imperative to fax all forms to our facility no later than _____. At that time a Disaster Assurance Letter will be furnished to you as a receipt of acknowledgement.

Part II – Gold Star Foods

1. The disaster program begins when the account notifies Gold Star Foods of a natural disaster
2. Orders will be shipped at the time that a natural disaster is declared
3. Customers with primary vendor relationships will receive priority service
4. Customers will be called in advance to review their standing order for supplemental items as stated above in Point #3
5. Customers must be available to receive orders on a 24-hour basis. This will be determined by the expected landfall.

Please be advised that in the aftermath of a natural disaster, Gold Star Foods will be communicating with you to inform you of any changes that may alter routine scheduled deliveries.

Your cooperation in this most important preparedness process is greatly appreciated. We look forward to assisting you but, hopefully, this will be an exercise of good faith

Disaster Recommendations

- Develop a disaster plan that is clear and easy to read.
- Keep the Disaster Plan in a designated place where employees can locate it.
- Keep a list of phone numbers, emergency phone numbers, addresses for your employees and other essential people in the community. Keep this list with the disaster plan, as well as other locations in the facility and home.
- Map out where your employees live so that you have an idea of when or if they will be able to arrive.
- Contact resources that will be able to assist you during an emergency (e.g., primary vendor, grocery stores and drug stores nearby, restaurants and any other facilities that may provide assistance).
Keep list of contact names and telephone numbers for those resources
- When prioritizing work, think of students first. Hydration is most important. Consider how much bottled water and distilled water will be needed and keep a supply on hand.
- **Meal Preparation needs to be simple.**
Keep the following items on hands:
 - Convenience items (canned chili, soups, fruits, vegetables, meats, bread, etc.)
 - Ready to use items (juice, pudding, gravy, etc.)
 - Individually wrapped items (portion pack condiments, granola bars, cookies, etc.)
 - Nutritional products (high calorie, high protein, snacks, and shakes)Remember to:
 - First – Use all the edible foods in your refrigerator.
 - Second - Use as many freezer foods as possible before spoilage sets in.
 - Third – Start on your supply of non-perishable foods.
- **Remember you may not have power:**
Make sure you have manual can openers.
Plan for transporting meals to floors without the use of elevators.
Have flashlights and batteries available throughout the facility.
An outside grill with charcoal and lighter fluid may be necessary.
Have at least two or three chaffers available and a supply of sterno.
- **Keep a supply of paper and disposables:**
Foam laminated plates, bowls, and cups
Plastic forks, spoons, and knives
Napkins, moist towelettes, etc.
- Keep on hand a supply of janitorial products such as trash liners, bleach, disinfectant and hand sanitizers.
- Bolt chemical storage shelves to the wall.
- Do not store ammonia and bleach in the same area. Do not store chemicals near or around food items.

Remember you will be managing people's feelings. Be sensitive, understanding and try to remain calm.

Recommended Replacement Periods for Stored Foods Suitable for Emergency Use

Food	Months
Milk:	
Evaporated -----	6
Nonfat dry or whole milk, in metal container -----	6
Canned Meat, Poultry, Fish:	
Meat, Poultry -----	18
Fish -----	12
Mixtures of meat, vegetables, cereal products -----	18
Nuts:	
Canned -----	12
Fruits and Vegetables:	
Berries and sour cherries, canned -----	12
Citrus fruit juices, canned -----	12
Other fruits and juices, canned -----	18
Dried fruit, in metal container -----	12
Tomatoes, sauerkraut, canned -----	12
Potatoes, instant -----	18
Other vegetables, canned (including dry beans and dry peas) -----	18
Cereals and Baked Goods:	
Ready to eat cereals in metal container -----	12
Ready to eat cereals kept covered and dry in original package -----	4
Uncooked cereal (quick-cooking or instant) in metal container -----	24
Uncooked cereal in original paper package -----	12
Pancake mix in airtight container -----	6
Shortening and Oils:	
Hydrogenated solid shortening -----	12
Vegetable oils -----	3
Sugars and Sweets:	
Sugar, granulated -----	24
Sugar, brown or powdered -----	4
Hard candy, gum -----	18
Honey, jams, syrups kept tightly covered -----	12
Pudding mixes, kept in original packets -----	12
Miscellaneous:	
Coffee, tea, cocoa (instant) -----	18
Dry cream product (instant) -----	12
Bouillon products, kept covered and dry -----	12
Flavored beverage powders -----	24
Flour, all types, put into airtight containers -----	12
Pasta, kept tightly closed -----	24
Rice, white, kept tightly closed -----	24
Rice mixes -----	6
Instant breakfast, liquid, and bars in original packaging or cans -----	6

6

Peanut butter, unopened -----	9
Salt -----	24
Soda, baking powder -----	12

SUGGESTIONS FOR PREPARING MENU ITEMS

1. Blended Juice: Reserve liquid from juice packed fruits and combine with canned juices.
2. Soups: Reserve liquid from canned vegetables (peas, corn, beans) to reconstitute canned soups.
3. Apple Raisin Salad: Use sliced apples and raisins for basic recipe. Optional ingredients: chopped nuts, crushed pineapple, fruit juice, mayonnaise, cinnamon.
4. Four Bean Salad: Use canned three bean salad and add garbanzo, lima or light kidney beans.
5. Citrus Cup: Assorted citrus fruits such as mandarin oranges and grapefruit sections. May add pineapple.

GOLD STAR FOODS

ACCOUNT DISASTER ORDER PLANNING POLICY

CUSTOMER NAME: _____ CUSTOMER NUMBER: _____

CUSTOMER ADDRESS: _____

OFFICE ALTERNATE
TELEPHONE: _____ TELEPHONE: _____ FAX: _____

PRIMARY
CONTACT: _____ TITLE: _____

HOME CELL
TELEPHONE: _____ TELEPHONE: _____

CONTACT
PERSON #2: _____ TITLE: _____

HOME CELL
TELEPHONE: _____ TELEPHONE: _____

CONTACT
PERSON #3: _____ TITLE: _____

HOME CELL
TELEPHONE: _____ TELEPHONE: _____

SPECIAL INSTRUCTIONS: _____

GOLD STAR FOODS

ACCOUNT DISASTER ORDER PLANNING POLICY

[illegible]

9

Date: _____

To: Gold Star Foods, Inc
3781 East Airport Drive
Ontario, CA 91761

From: _____

Account Number: _____

Please be advised that our facility has enough inventory on hand that in the event of a natural disaster, we are only in need of supplemental items which are included on the enclosed form from Gold Star Foods 24 hours prior to expected landfall.

However, in the aftermath of a natural disaster, we understand that Gold Star Foods will resume routing, scheduled distribution to the best of our ability.

I understand and agree to the above statement.

(Print Name)

(Title)

(Signature)

(Date)

***IMPORTANT: THIS FORM MUST BE FAXED BACK TO OUR OFFICE NO LATER
THAN _____ Fax: 909-843-9659**

Emergency Action Plan for Employees

Gold Star Foods, Inc.

3781 East Airport Drive
Ontario, CA 91761

I. OBJECTIVE

The objective of Gold Star Foods, Inc. Emergency Plan is to comply with the Occupational Safety and Health Administration's (OSHA) Emergency Action Plan Standard, 29 CFR 19.10.38, and to prepare employees for dealing with emergency situations. This plan is designed to minimize injury and loss of human life and company resources by training employees, procuring, and maintaining necessary equipment and assigning responsibilities. This Plan applies to all emergencies that may reasonably be expected to occur at Gold Star Foods, 3781 East Airport Drive, Ontario CA 91761

Major disasters must be anticipated for, and procedures must be developed and mastered to protect the well-being of our personnel.

The following pages detail Gold Star Foods, Inc. organizational structure of our plan and it outlines emergency measures to be taken in the event of fire or another emergency.

II. SAFETY COMMITTEE

CEO	Sean Leer	<u>Signature on file</u>	Date: _____
COO	Les Wong	<u>Signature on file</u>	_____
General Counsel	Scott Salmon	<u>Signature on file</u>	Date: _____
Safety Director	Pedro Osorio	<u>Signature on file</u>	Date: _____
VP of Operations	Octavio Salazar	<u>Signature on file</u>	Date: _____

Transportation Dir. **Danny Garcia**

Signature on file

Date: _____

Director of WHSE **Alfredo Hernandez**

Signature on file

Date: _____

III. **RESPONSIBILITY**

Safety committee will coordinate the emergency evacuation plan throughout the facility and make certain the program is familiar to all personnel and that all new employees are properly trained

*Schedule re-training classes for all employees

*Arrange and execute fire drills within the facility

*Maintain a log of fire drills conducted. The log shall include the date and time of each drill, the time required to evacuate the building and the initials of the person making the recording.

*Report any deficiencies noted during the fire drill

*Safety committee will be aided by supervisors who will:

- 1) Facilitate the emergency evacuation plan.
- 2) Keep a constant check on all personnel to be sure that they are completely familiar with all phases of the plan which they are required to know
- 3) See that all personnel participate in ALL fire drills
- 4) Be certain that all personnel are familiar with all phases of the plan which they are required to know and make thorough fire prevention inspections when they are assigned to do so.
- 5) Take the necessary steps required to correct any fire hazards discovered.

It is the duty of EVERY employee to:

- 1) Be completely familiar with the Emergency Evacuation Plan and the employee's duties and responsibilities in the program.
- 2) Participate in all training classes when assigned.
- 3) Attend all fire training classes when assigned.
- 4) Learn the location of and how to operate all fire alarms systems and all fire extinguishing equipment

5) Report any fire and/or safety hazard located in any place on company property

Fire Procedure

- *Keep Calm...Report all fires and smoke.

- *Notify management staff

- *Remove personnel from the building

- *Close all doors and windows in the fire area, but ONLY if this can be done safely

- *Notify the Fire Department

The person reporting the fire to the fire department will provide them with the following information:

- *Company name

- *Address

- *What is burning (machine, paper, etc....)

- *Location of fire (roof, warehouse, office, etc...)

- *Type of fire (electrical, liquid, etc....)

A minimum of two persons is required to fight a fire. To insure employee safety, this is to be done only during the early stages of a fire, using on premises equipment (extinguishers)

In the event of a fire the following procedures must be followed:

- *Clear the aisles, hallways, and other areas of personnel and/or visitors

- *Close all doors and windows

- *Check driveways to see that they are clear for entry of firefighting equipment
(See that gates are unlocked and open)

- *Wait at the front entrance for arrival of firefighting equipment and direct the fireman to the fire, if necessary.

Re-entry onto the property WILL NOT be permitted until it is declared safe to do so by someone with executive authority or by the local fire or law enforcement officials.

Earthquake Procedures

In the event of an earthquake the following procedures shall be followed:

- 1) Assess damage and injuries
- 2) Give first aid as needed. Remember after an earthquake utilities, police and fire agencies may not be readily available. DO NOT ATTEMPT TO TELEPHONE UNLESS ESSENTIAL.
- 3) Notify executive management immediately of the situation (personnel injuries, missing employees, damaged structures, etc.)
- 4) Call the Fire Department only in the case of fire.
- 5) The nearest hospital for treatment is

Kaiser Permanente
2295 S. Vineyard Ave.
Ontario, CA 90033
(909) 724-5000
- 6) Have damaged or potentially damaged utilities shut off at the main controls
- 7) Personnel are to be instructed during orientation that they are to take shelter under a sturdy table, desk or equipment during an earthquake and remain there until all shaking has ceased
- 8) Evacuate as necessary. Supervisors shall be responsible for seeing that employees are evacuated to a safe area outside the building and clear of overhead, electrical lines, utility posts, block walls, etc... which might fall during aftershocks. Supervisors are cautioned

to be alert from fallen high tension lines which may be touching metal objects on the ground.

- 9) Have all areas of the building inspected for damage before allowing personnel to return to the building.
- 10) have gas, electrical, water and fuel systems checked for damage before allowing personnel to return to the building.
- 11) Drinking water should be checked to determine that it is not contaminated.

In the event Gold Star Facility needs to be evacuated due to earthquake, fire, internal or external hazardous condition threatening the facility and/or the wellbeing of our personnel, call 911 or notify the appropriate agency from the list below.

City Of Ontario

Emergency number: 911

Police Front Desk: (909) 395-2001 Dispatch: (909) 986-6711

Fire Department: (909)395-2002 (909) 983-5911

Municipal Utilities Agency: (909) 395-2678 after hours (909) 986-6711

Southern California Edison: (800) 611-1911

Southern California Gas Company: (800) 423-1391

Department of Environmental Protection (EPA): (800)-300-2193

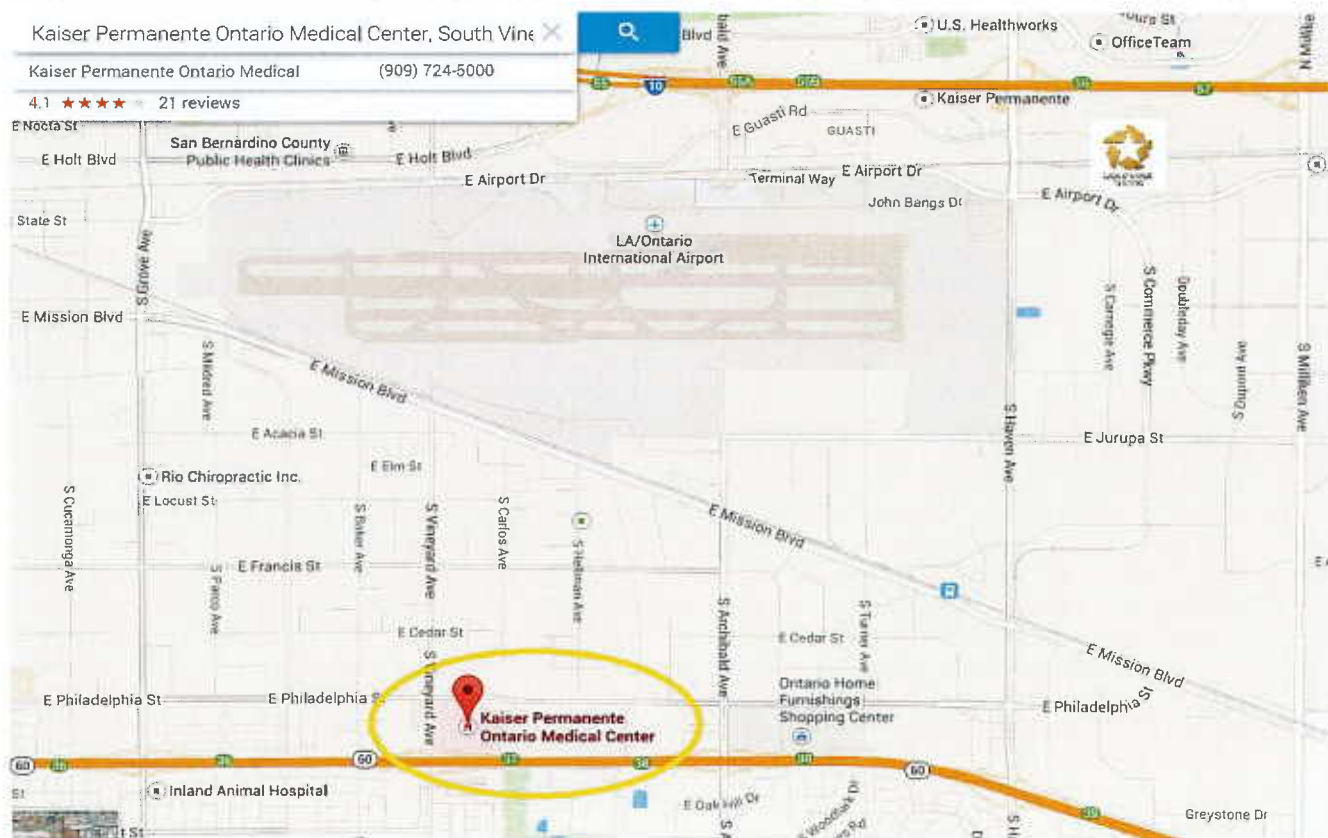
Department of Hazardous Materials (spill reporting): (800)-852-7550

Department of Public Health: (800) 782-4264

U.S. Department of Homeland Security: (202) 282-8000

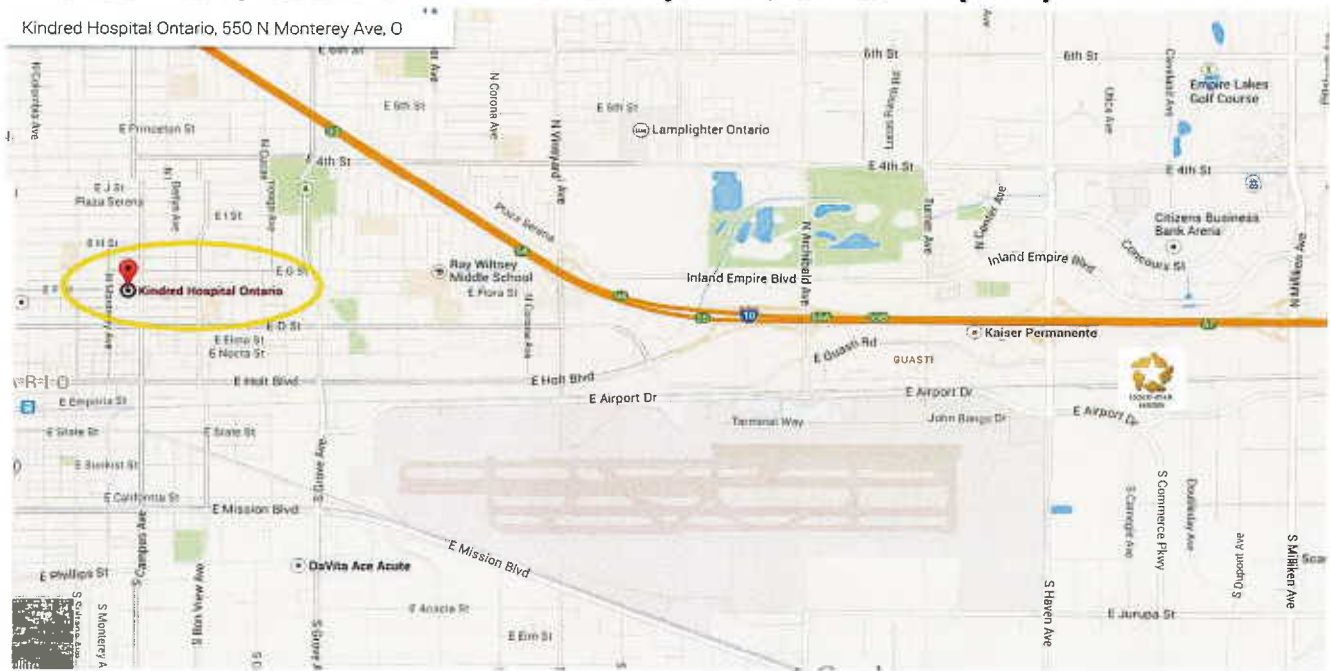
Federal Emergency Management Agency (FEMA): (800)-462-7585

Kaiser Permanente, 2295 S.Vineyard Ave. Ontario (909) 724-5000



Kindred Hospital, 550 N. Monterey Ave, Ontario (909) 391-0333

Kindred Hospital Ontario, 550 N Monterey Ave, O



AA REFRIGERATION

California License # 1044192

CEO: Augie Ayala 562-773-6857

Technician: Manuel Diaz 562-725-2563

Technician: Steven Loaiza 909-801-0427



Technician: Bob Riddle, cell (951) 206-4474

Regional Manager: John Ruiz, office (951) 273-0537 Cell (951) 310-9644

Vice President: Henrik R. Ingvarlsen, office (408) 727-1124 Cell (408) 569-9075



License # 474810

Office (818)241-1800

Project Engineer: Edrei Rios, cell (562) 254-9475

Electrical Engineer: Jerzy Tarlowsky P.E., cell (818) 262 6802

Office Manager: Kevin Nusser, cell (562) 254-9473



License # C-10 595978

Office: (714) 529-8061

Technician: Matt, cell (714) 231-1133

Project Manager: John R. Harris, cell (714) 770-1013



12349 Hawkins Street, Santa Fe Springs, CA 90670

EMERGENCY POWER GENERATORS

CONTINGENCY PLAN #

Contact: Al Pacheco

Office: (562) 944-4413

Cell: (310) 806-5306

J. M. Carden

Fire Sprinkler Co., Inc.

License # 166282 C16 & C34

Office: (323) 258-8300

Technician: Sean, cell (213) 494-3780

Field Foreman: Todd Golden, cell (213) 494-0213

President: Bryan Lamb, cell (213) 305-7583



SECURITY OF LOS ANGELES

Emergency 1-800-430-8832

Vice President of Technical Services: Matt Bergman, Cell (818) 652-1001



Agility Recovery

Gold Star Foods, Inc. is a member of Agility Recovery group. In the event of a disaster agility will provide the resources necessary to rescue our business and continue to service our customers

Agility will provide the following for Ontario and Dixon

SPACE	Office space with desks and chairs for up to 48 people
POWER	Emergency generator for your office
COMMUNICATION	Telephone and Internet access
COMPUTER SYSTEM	Up to 48 computers, 5 Intel servers, tape drives, printers and fax

Note: See Exhibit A for Details.



With your Membership Agility will work with you to develop a customized recovery plan via MyAgility, our secure online planning portal. The functionality of MyAgility portal will include:

PREPAREDNESS PLAN	Build an implementation plan, access via any web browser, develop a communications strategy
ALERT NOTIFICATION SYSTEM	Send text and email messages to employees and vendors
DOCUMENT MANAGEMENT SYSTEM	Store critical business documents

6

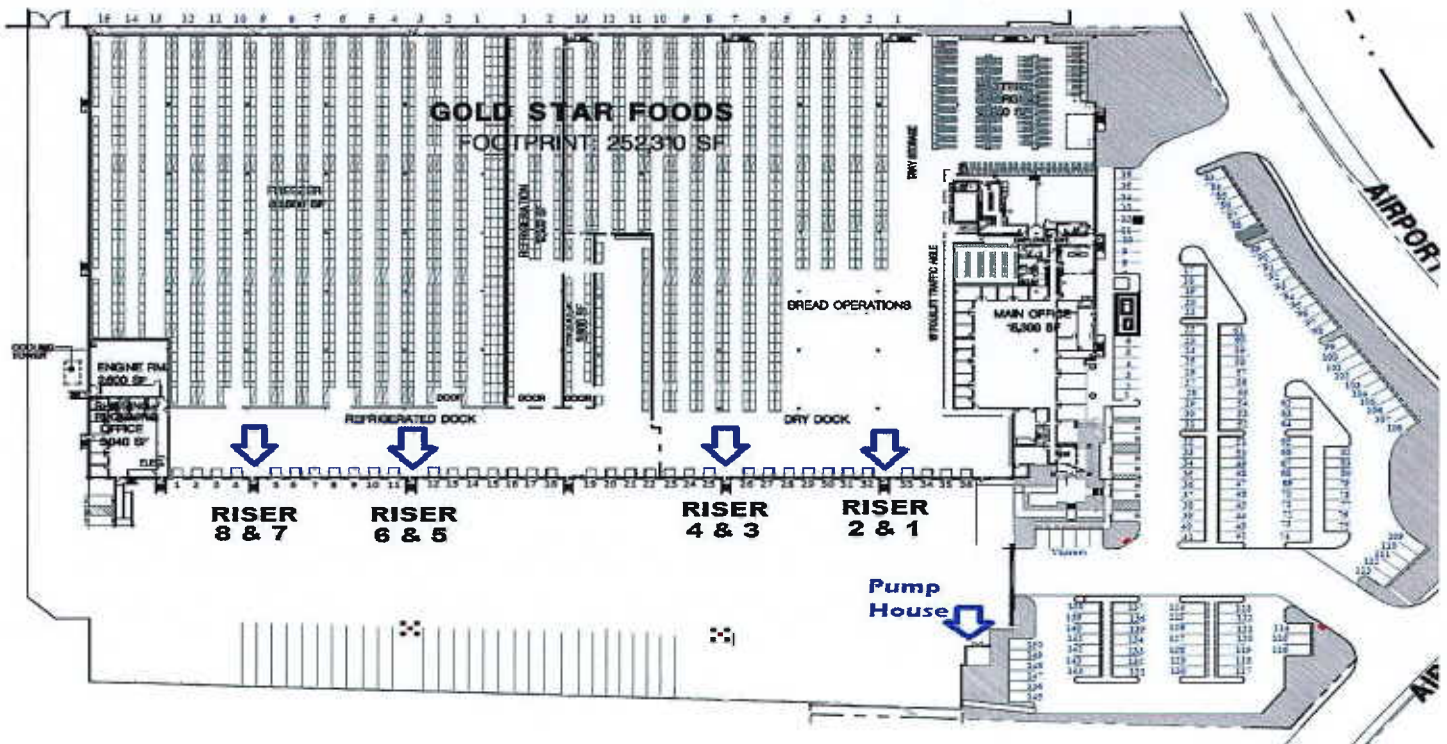
Immediate Protection: The day you become a member of Agility, your business is covered.

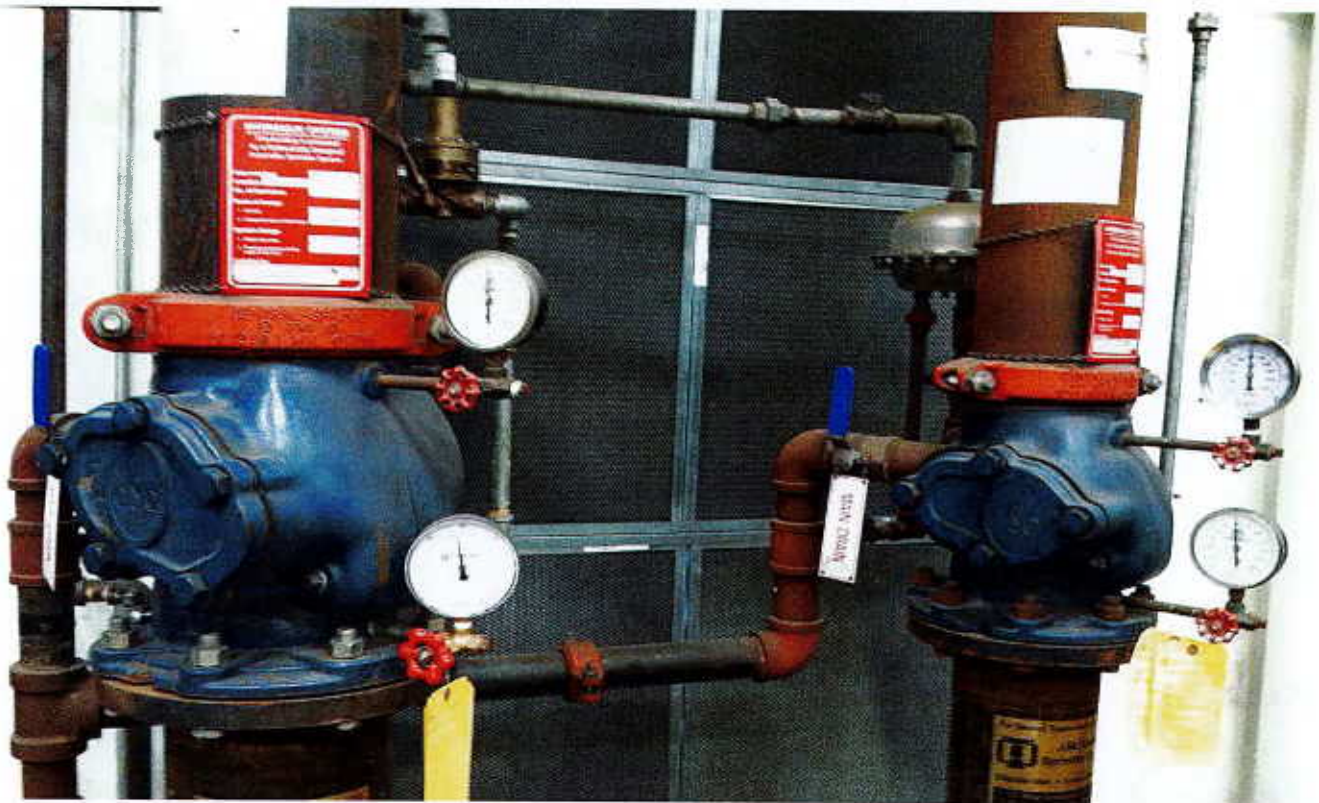
Ease of Use: Nothing could be easier to use than myAgility, our online planning portal. Create a plan on your timeline, not ours.

24-Hour Hotline: Our recovery specialists are available whenever you need us: 24 hours a day. 7 days a week.

Recovery: If you have a disaster, we will provide you with the critical elements needed to keep your business in business: Office Space, Power, Communications for telephone and Internet, and Computer Systems.

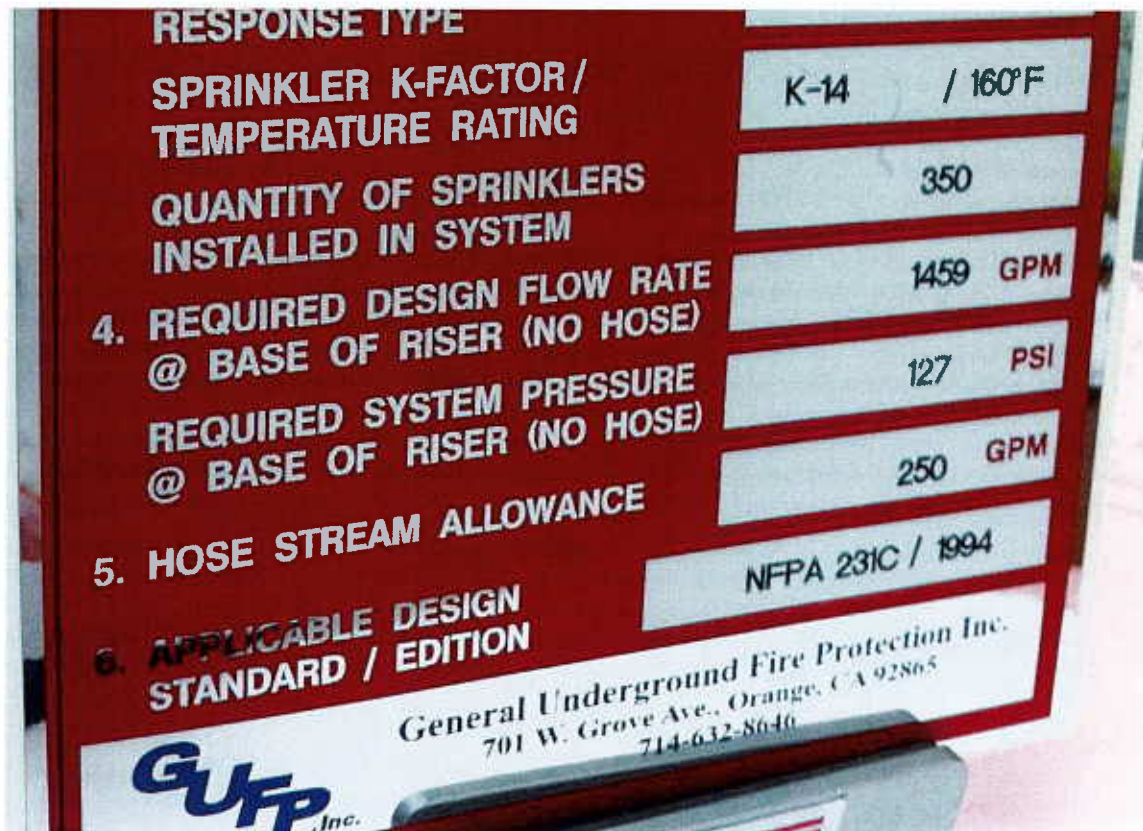
Gold Star Foods facility has 8 risers (see map below for riser location)



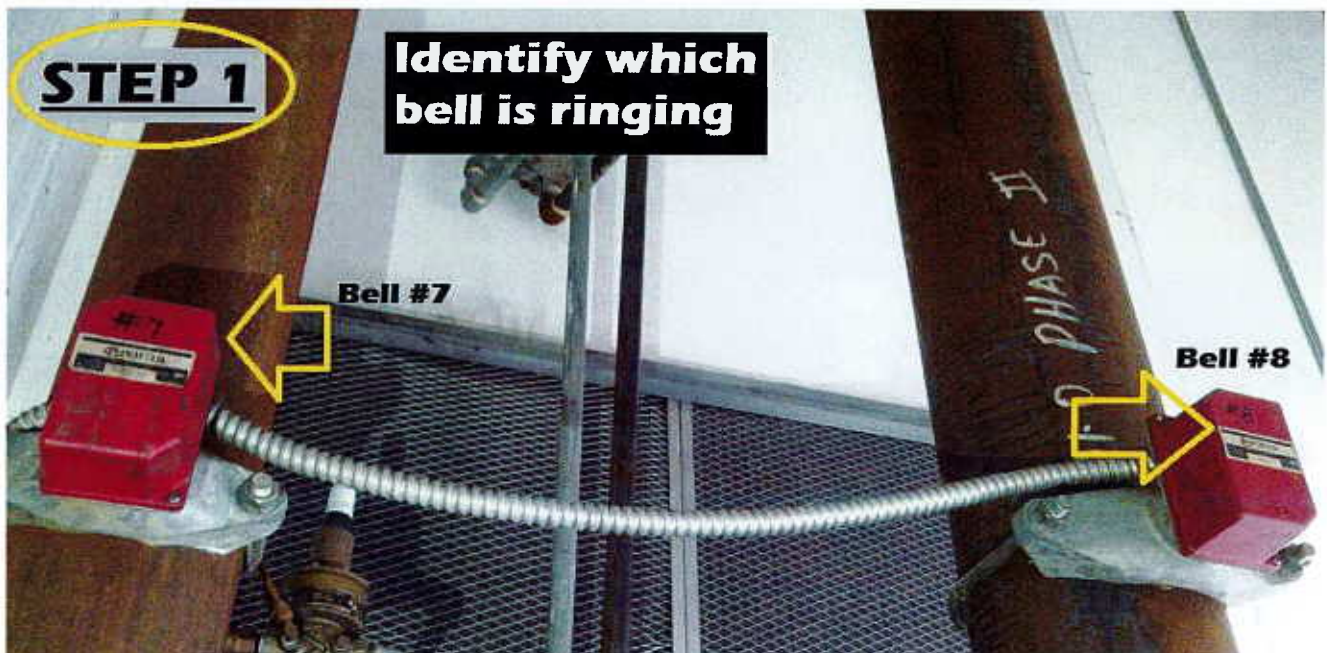


HYDRAULIC DESIGN INFORMATION	
1. LOCATION OF DESIGN AREA	SYSTEM 1
2. BASIS OF DESIGN: DESIGN DENSITY / AREA; (QTY.) K - ESFR @ PSI; OR CEILING DESIGN + IN-RACK SPKR. DESIGN	(12) K-14 ESFR • 75 PSI
3. SPKR. MANUFACTURER, MODEL AND SPRINKLER IDENTIFICATION NO. (SIN)	CENTRAL ESFR 1
SPRINKLER ORIENTATION / EXTENSION TYPE	PENDENT / QUICK

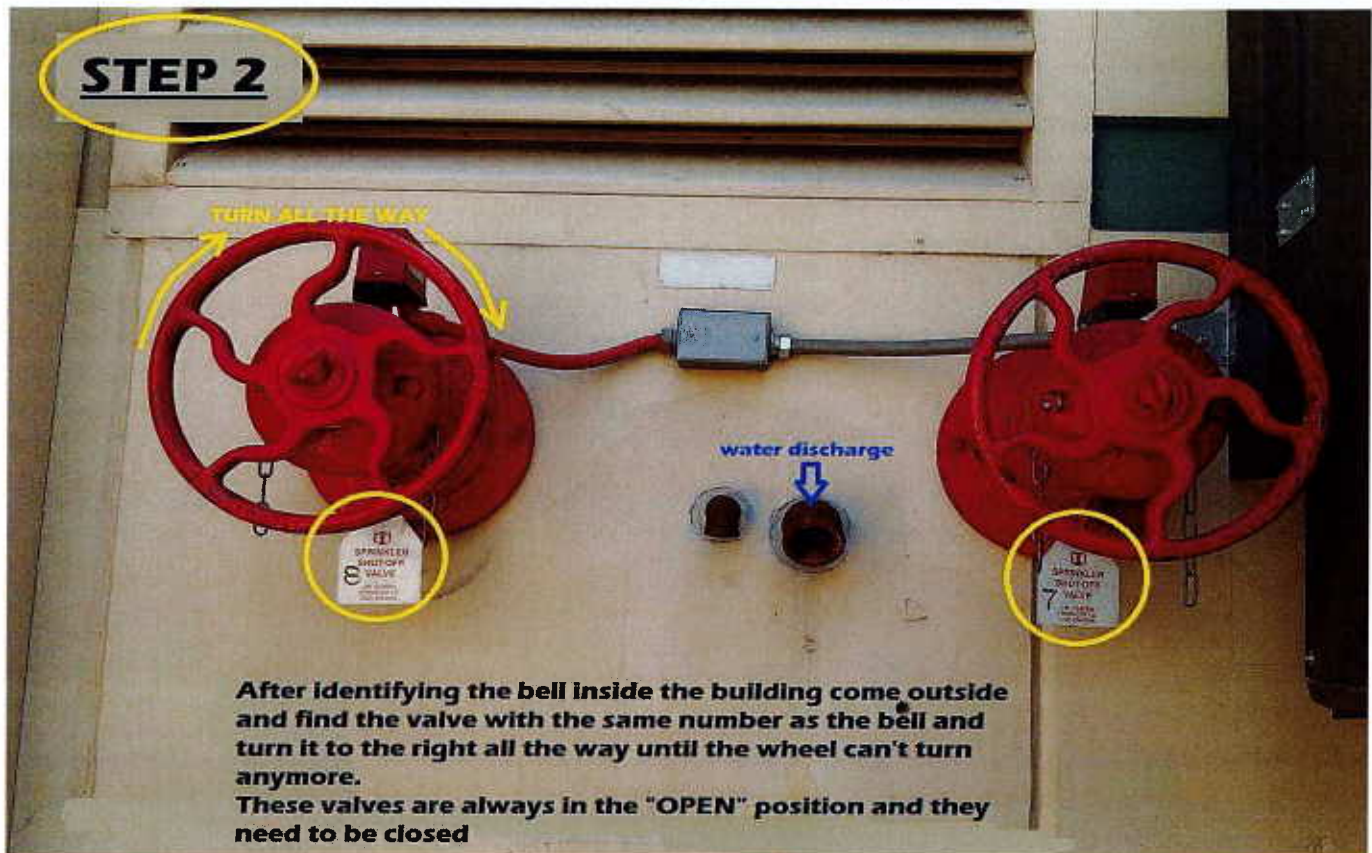
q



STEP 1 Each riser has a bell above their control valves, identify the bell ringing and proceed to step 2. If unable to identify the bell then proceed to close both valves on step 2



STEP 2 After identifying the bell proceed to close the riser valve by turning the wheel to your right until the wheel cannot be turned anymore, this process might take while since the wheel is hard to turn and must be turned many times



STEP 3



In the event of a water leak due to a damaged sprinkler head the main drain valve must be turned to the "Open" position to discharge all accumulated water in the sprinkler lines

Turning the valve to open position will cause water to be discharged on the outside



Turning the pump "OFF"

In case of emergency and pump needs to be turned off, follow the instruction below in order 1-2

STEP 1: Turn the jockey pump "OFF" (switch located on the gray box on the lower right corner)

STEP 2: Turn the main pump "OFF" by opening the red box and turning the knob to off position

Turning the Pump "ON" - Important to follow steps in order 1-3

STEP 1: On the gray box, turn the switch to on position (switch is located on the lower right corner of the box)
the jockey pump will turn on and will make a moderate loud noise while building up pressure

STEP 2: Wait for the Jockey pump pressure to build up to a minimum of 165 PSI or the Jockey to stop running before proceeding to step 3 (the jockey pump may run from 30 seconds to up to 5 minutes)

NOTE: *if the pressure did not drop while the pump was off, and the pressure valve still reads 165 psi or more then in this case the jockey pump will not come on, but it is safe to go ahead and proceed with step 3*

IMPORTANT: DO NOT PROCEED TO STEP 3 UNLESS THE JOCKEY PUMP HAS STOPPED RUNNING OR THE PSI IS AT 165 OR MORE

STEP 3: Once the PSI on the jockey pump has reached 165 psi or more, go to the red box on and turn

the knob to "AUTO" position, the green light on top of the knob should turn on

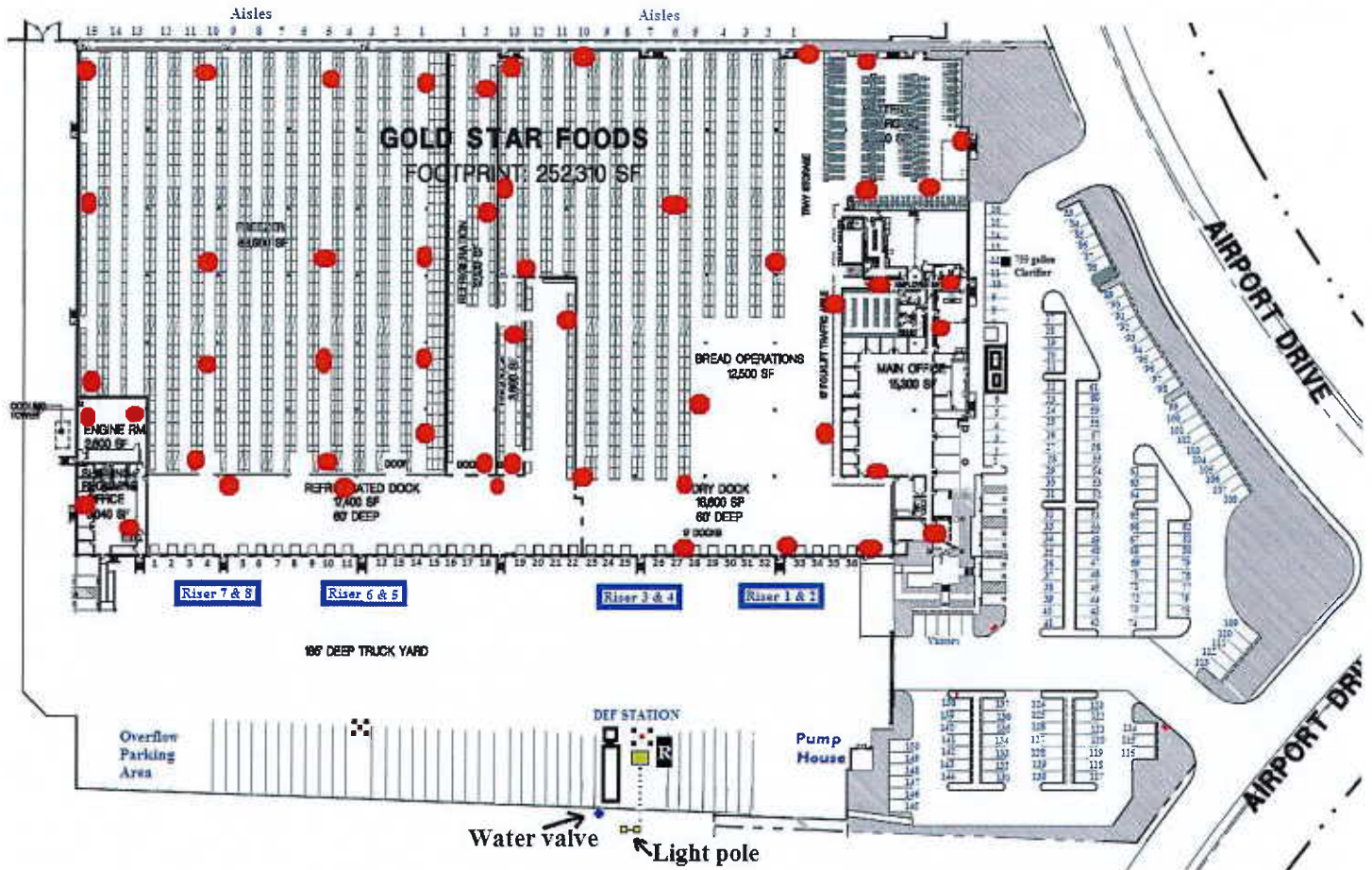


Gold Star Foods, Inc. has a total of 52 fire extinguishers installed around the facility
All fire extinguishers are rated A -B - C

- A - is for common materials such as paper, wood, or most other combustibles
- B - Flammable liquids such as gasoline, paint remover or grease
- C - Electrical Fires

4

Fire Extinguisher Location Map



PASS = Pull, Aim, Squeeze and Sweep

When To Fight The Fire...

Fight the fire only if all of the following are true:

- Everyone has left or is leaving the building.
- The fire department is being called.
- The fire is small and confined to the immediate area where it started (wastebasket, cushion, small appliance, etc.).
- You can fight the fire with your back to a safe escape route.

Remember:

If you are called on to use an extinguisher, just think of the word "P.A.S.S."

P

the safety pin at the top of the extinguisher.



A

the nozzle or hose at the base of the



- Your extinguisher is rated for the type of fire you are fighting and is in good working order.
- You are trained to use the extinguisher and know you can operate it effectively.

If you have the slightest doubt about whether you should fight the fire — **DON'T!** Instead, get out and close the door behind you.

PROTECT YOURSELF AT ALL TIMES!

Stay low. Avoid breathing the heated smoke and fumes or the extinguishing agent.

If the fire starts to spread or threatens your escape route, get out immediately!

flames. Stay between six and eight feet away from the flames.

SQUEEZE

or press the handle.

SWEEP

from side to side at the base of the fire until it goes out.

By following these procedures, a fire can be extinguished in the quickest and safest manner possible.



GOLD STAR FOODS Extinguishers are type A-B-C



Common materials such as paper, wood or most other combustibles



Flammable liquids such as gasoline, paint remover or grease

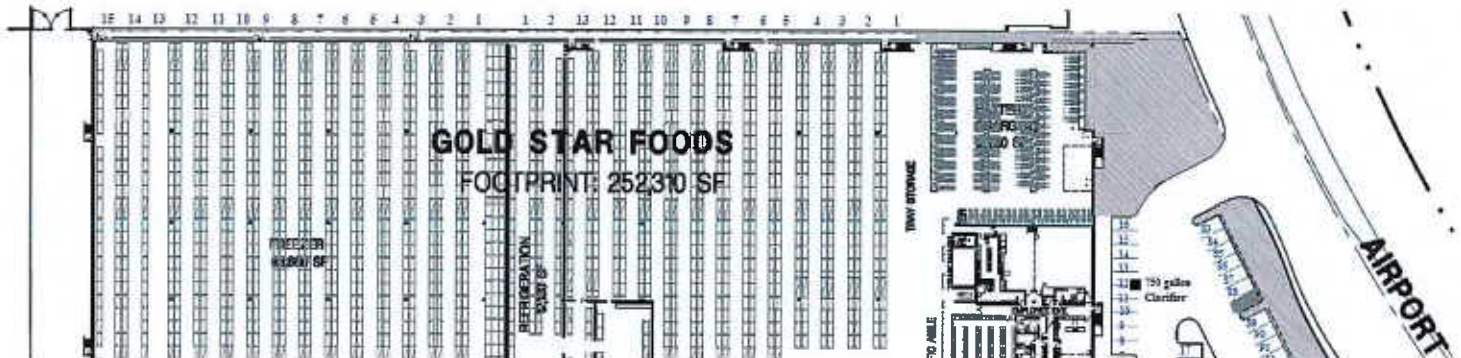


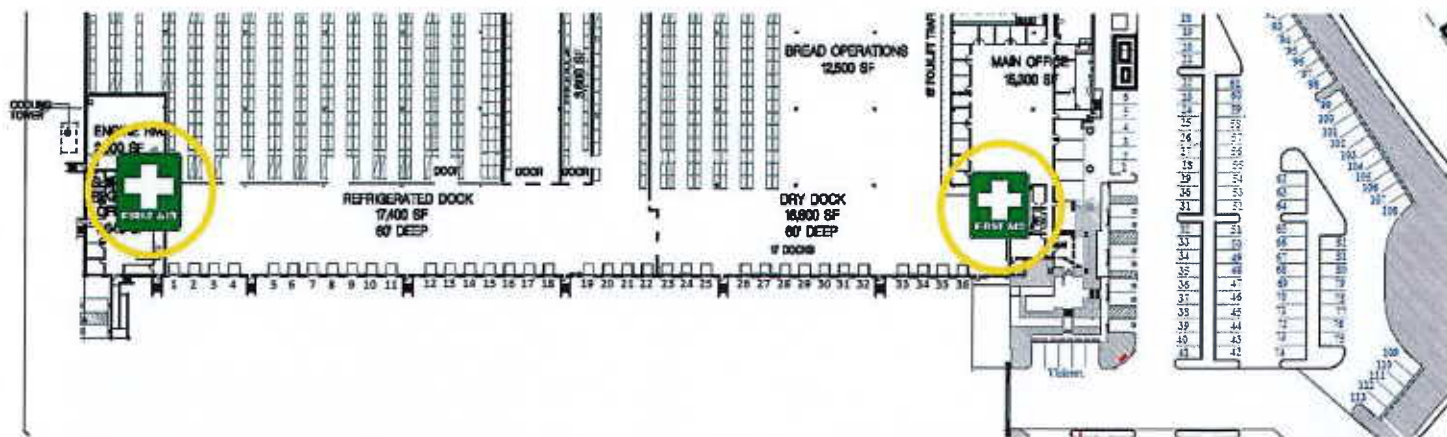
Electrical fires



Combustible metals usually found in industry

First aid and trauma kits are located in the HR office and in the printer room of the back office





The first seconds after exposure to hazardous chemicals (specially a corrosive chemical) are critical. Delaying treatment, even for a few seconds, may result in irreparable eye or skin damage



Eyewash and Shower Operation

- *Immediately flush eyes or affected area for at least 15 minutes
- *Keep eyes open by holding your eyelids and rotate eyeballs in all directions to remove contamination from around the eyes

6

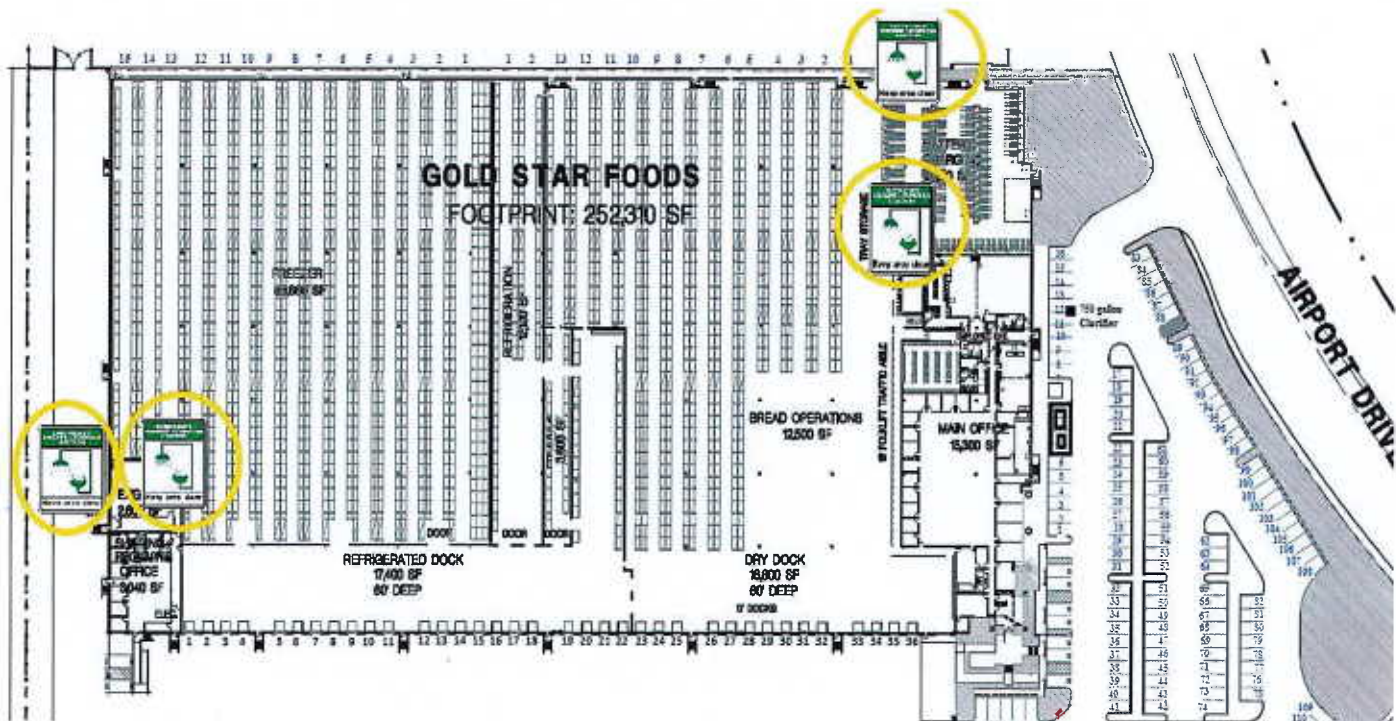


*Remove contaminated clothing, Jewelry, and shoes.

*Seek medical attention immediately

*Have someone bring or fax the SAFETY DATA SHEET (MSDS) to the doctor

Emergency Eyewash and Shower Locations



Instructions to Reset Motors

To reset gate back to normal operation, follow these instructions.

1. Go to the motor box on the right side of the gate (west)
2. Press down on the pedal to release chain from motor.
once the pedal is pushed down, the chain will release, and the gate can be pushed to an open or close position
3. Remove the screw next to the pedal, screw is hand tight.

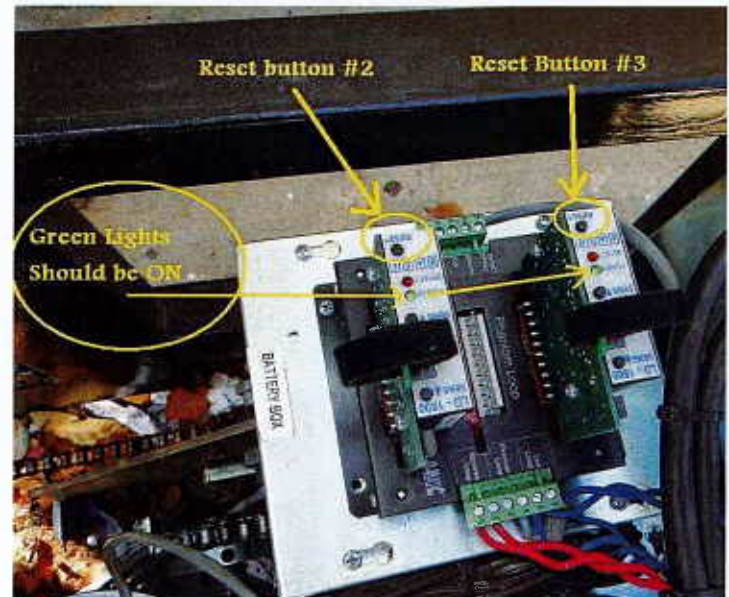
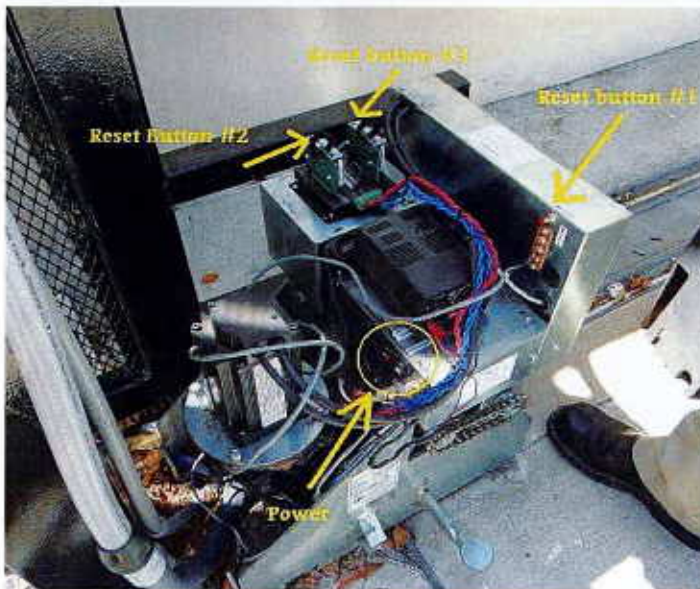
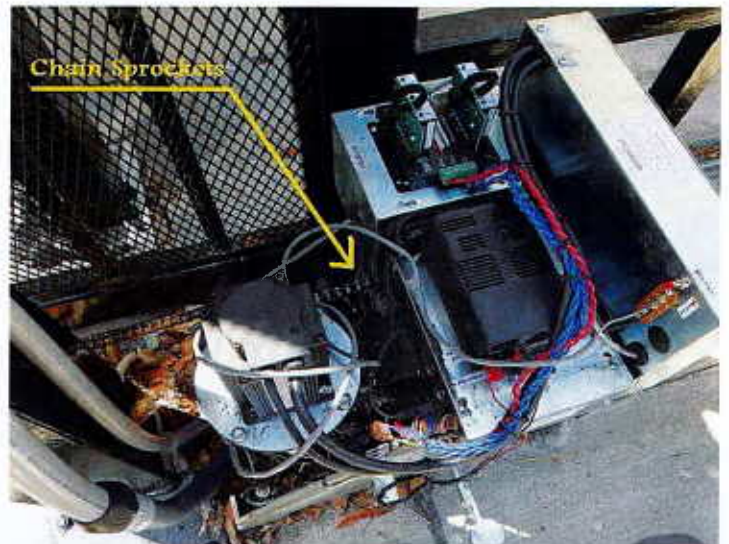
4. Remove box cover
5. Press the reset button in the order 1, 2 and 3, if the green lights don't turn on for button 2&3, repeat the process
6. Check the chain sprocket to make sure there is no plastic or other debris stuck in the mechanism.

Make sure the power is "OFF" before attempting to remove any plastic or misc. debris stuck in the chain sprockets

7. Put the chain release pedal back up and the gate should operate normal at this time.

If the gate is still not working, go to the box on the left side of gate and reset (this box only has one reset button and two power buttons

8. Replace cover and screw.



Gold Star Foods

Evacuation Plan

Procedures: In the event of an earthquake, fire or any other emergency announced on the PA system, evacuate the building through the nearest safe exit.

Proceed quickly and calmly, walk, DO NOT RUN

Once outside the building go immediately to your department designated meeting area for roll call

Do not re-enter the building until someone from management tells you it is safe to return to your workstations.

Designated areas: Office personnel meeting area is in the employee parking lot by the handicap area (see map)

Warehouse employees meeting area is between dock doors 12 & 17 (see map)

Each department will be assigned a dock door number to go to. (See roster)

Go to your assigned number, form a Single file line in the middle of the lot and wait for instructions

Please remain calm and quiet so that roster can be check efficiently

Roll Call;

Department Manager or supervisor must stay with his/her crew and make sure everyone is okay

Human resource or safety manager will distribute roster sheet to each manager for roll call

Each department Supervisor (Dept. Head in the absence of the manager) will make sure that each

Employee in their department is accounted for.

Remember that exiting the building from the nearest safe exit may lead employees to exit through the back of the building leading to the railroad tracks, please instruct employees to make their way around the building as soon as possible, no one is allowed to go home before reporting to his designated area.

After employees are accounted for, immediately report back to HR personnel or safety manager to compare rosters

Everyone must remain at this area and wait for further instructions from management.

EMERGENCY EXITS

3781 E. Airport Drive, Ontario CA 91761

Once outside the building go immediately to your designated meeting area for roll call.

Once the roll call has been completed and everyone is accounted for, wait for instructions from management.

Do not re-enter the building until management tells you it is safe to return to your work station.

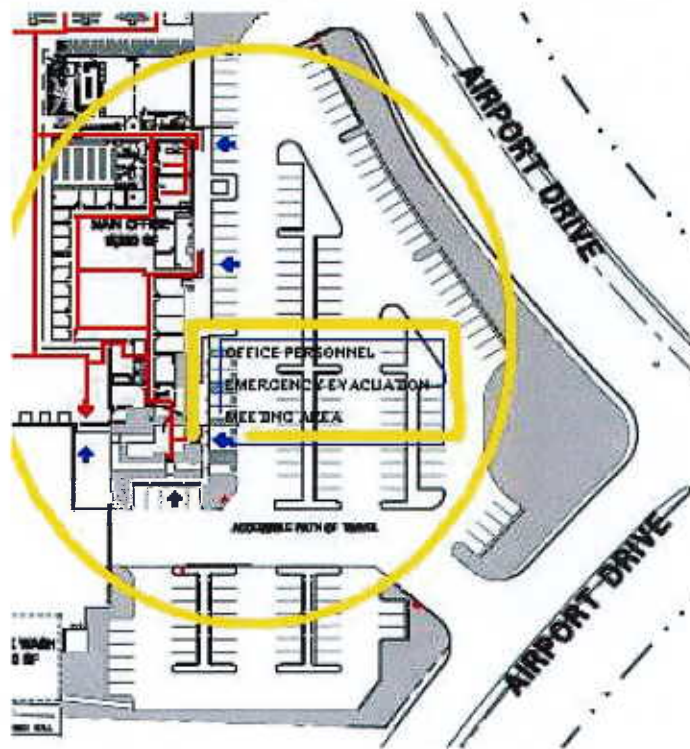
Emergency Exits: Office personnel can evacuate the building through 3 different routes.

- 1 - Main Lobby
- 2 - Emergency exit located between IT office and Rani's office
- 3 - Through the main employee entrance located east of the office lunchroom

Meeting Area: All office personnel will meet in the main parking lot area in front of the handicap parking preferably in the middle aisle of the lot away from the building or any power lines (see map)

Your cooperation can make the difference in an emergency situation, please be sure to follow instructions and do not leave the premises until you have notified management. If you happen to be out to lunch in the event of an earthquake, please come back to Gold Star if possible and report to your supervisor.

Pay attention to all instructions, stay calm and stay quiet.





CERTIFICATE OF REGISTRATION

SAI Global, accredited Certification Body No Z1440295AS certifies that:

GOLD STAR FOODS INC.

3781 E Airport Drive, Ontario, California 91761-1570 USA

is registered as meeting the requirements of the

SQF Food Safety Code: Storage and Distribution Edition 9

Certified HACCP Based Food Safety Plans

for the following scope

26. Storage and Distribution: Frozen and ambient storage

Certificate No: 19858
Current Registration: July 7, 2022
Date of Audit: June 15-17, 2022

SQF No: 19858
Expires: August 3, 2023
**Next Recertification
Audit Date:** May 20, 2023

Authorized by:
Calin Moldovean
President, Business Assurance
SAI Global Assurance



Registered by:

SAI Global Certification Services Pty Ltd (ACN 108 716 669) 680 George Street, Sydney NSW 2000 Australia with SAI Global Limited 680 George Street Sydney NSW 2000 Australia ("SAI Global") and subject to the SAI Global Terms and Conditions for Certification. While all due care and skill was exercised in carrying out this assessment, SAI Global accepts responsibility only for proven negligence. This certificate remains the property of SAI Global and must be returned to SAI Global upon its request. To verify that this certificate is current please refer to SAI Global On-Line Certification register at https://www.sai-global.com/en-us/assurance/auditing_and_certification/certification_register/



6



SQF Food Safety Audit Edition 9

Gold Star Foods - Gold Star Foods- Ontario

Summary

AUDIT DECISION
CERTIFIED

CERTIFICATION NUMBER
19858 | 159832

AUDIT RATING

DECISION DATE
07/07/2022

AUDIT TYPE
RECERTIFICATION



RECERTIFICATION DATE
05/20/2023

AUDIT DATES
06/15/2022 - 06/17/2022

Excellent

EXPIRATION DATE
08/03/2023

ISSUE DATE
07/07/2022

Facility & Scope

Gold Star Foods (49015)
Gold Star Foods- Ontario
3781 East Airport Drive
Ontario, CA 91761
United States

Food Sector Categories:
26. Storage and Distribution

Products:
26. Storage and Distribution: Frozen and ambient storage

Scope of Certification:
26. Storage and Distribution: Frozen and ambient storage

Certification Body & Audit Team

SAI Global
680 George Street
Sydney, NSW
Australia

CB#: CB-1-SAI
Accreditation Body: JAS-ANZ
Accreditation Number: Z1440295AS

Lead Auditor: Gaiss, Randolph (9250)
Technical Reviewer: Grabczak, Anna (204862)

Hours Spent on Site: 20
Hours of ICT Activities: 0
Hours Spent Writing Report: 6

Non-Conforming

12.1.4 Dust, Insect, and Pest Proofing

During the walk-through, personnel doors were observed to be properly fly-proofed with no visible gaps, with the exception of a gap in the dock leveler brush of door #18. No issues were noted with the ILT's in use.

- 12.1.4.1** All external windows, ventilation openings, doors, and other openings shall be effectively sealed when closed and proofed against dust, insects, birds, and other pests. External personnel access doors shall be provided. They shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against entry of dust, birds, and other pests.

RESPONSE: MINOR

EVIDENCE: There is a gap in the dock leveler brush on dock door #18.

ROOT CAUSE: Dock leveler brush on dock door #18 do to wear and tear none stop use to received product.

CORRECTIVE ACTION: On 6/28/2022 Raymond was contacted to come and inspect all of our dock doors and repair all the lever brushes. Receivers have been trained to check for damaged seal brushes.

VERIFICATION OF CLOSEOUT: Reviewed attached document showing that the dock leveler brush was repaired and that it included on the monthly self-audit-corrective action accepted 7/4/2022-RMG

COMPLETION DATE: 06/28/2022 **CLOSEOUT DATE:** 07/04/2022

12.1.7 Grounds and Roadways

No issues were noted with the facility exterior during the facility walk-through with the exception of some items in the equipment boneyard laying on the ground.

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

RESPONSE: MINOR

EVIDENCE: Several Items in the equipment boneyard are laying directly on the ground.

ROOT CAUSE: Racking laying directly on the ground.

CORRECTIVE ACTION: On 6/27/2022 our maintenance crew removed all the racking from the floor. WHSE sups have been trained to look at that are during our GMP's daily inspections.

VERIFICATION OF CLOSEOUT: Reviewed attached document showing that the racking was removed from the floor and that the area is included on the daily inspection-corrective action accepted 7/4/2022-RMG

COMPLETION DATE: 06/27/2022 **CLOSEOUT DATE:** 07/04/2022

12.6.1 Receipt, Storage and Handling of Goods

FIFO is used. No issues were noted with the storage areas. There is no processing or use of temporary storage. Also, during the audit, product inventories were at a reduced level, with several rows empty racks observed in both the freezer and the dry storage areas is due to schools not being in session. Damaged cases were observed in several locations [no damage was observed to the primary packaging].

- 12.6.1.1** The site shall implement an effective storage plan that allows for the safe, hygienic storage of ice, food products (frozen, chilled, and ambient), packaging, equipment, and chemicals.

RESPONSE: MINOR

EVIDENCE: Damaged cases were observed in locations F1305-1A, F1063-1B, F-1033-1B and D0909-1B [no damage was observed to the primary packaging].

ROOT CAUSE: During Operations cases were damage by product being move by lift equipment.

CORRECTIVE ACTION: On 6/26/2022 our inventory team went to all locations and removed damaged product. Inventory Control has been assigned to walk the facility and remove all damage product.

VERIFICATION OF CLOSEOUT: Reviewed attached document showing that the damaged product was removed and that this included in the daily inspections-corrective actions accepted 7/4/2022-RMG

COMPLETION DATE: 06/26/2022 **CLOSEOUT DATE:** 07/04/2022

12.8.1 Waste Disposal

No issues were observed with the methods being used to collect and handle dry and liquid waste. There were no waste build-up noted or issues with waste disposal equipment being used. Waste, including trademarked materials, was being properly handled and disposed of. Daily inspections and monthly self-audits are conducted and were also reviewed in other sections of this audit. There is no food processing conducted and water is not stored on site. There is some clutter in the northwest corner of the maintenance shop.

12.8.1.3 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.

RESPONSE: MINOR

EVIDENCE: There is some clutter in the northwest corner of the maintenance shop.

ROOT CAUSE: Mechanic did not removed clutter from his shop.

CORRECTIVE ACTION: On 6/26/2022 mechanic cleaned and removed all clutter form his shop. Our maintenance department will check the shop every morning to monitor no cluster is left behind.

VERIFICATION OF CLOSEOUT: Reviewed attached document showing that the clutter was removed and that the area is inspected daily-corrective action accepted 7/4/2022-RMG

COMPLETION DATE: 06/26/2022 **CLOSEOUT DATE:** 07/04/2022

Audit Statements

SQF Practitioner Name Name the designated SQF Practitioner

RESPONSE: Pedro Osorio

SQF Practitioner Email Email of the designated SQF Practitioner

RESPONSE: pedro@goldstarfoods.com

Opening Meeting People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by commas)
RESPONSE: Pedro Osorio: SQF Practitioner/HACCP Director, Jamie Anguliano: Safety, Facilities Dept, Randy Gaiss: SAI Global Auditor

Facility Description Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details)
RESPONSE: This food service distributor is located in Ontario, CA. Items distributed are both frozen and fresh produce, vegetables, dry foods, and breads, as well as paper and supplies. Items are distributed to school districts, primarily in Southern CA. Some of these items are broken down from full cases and distributed to the school districts in smaller quantities as needed. The facility is approximately 252,000 square feet in size with 84,000 square feet used for frozen storage, 80,000 square feet for refrigerated storage, 22,000 square feet used for dry storage, and the cooler dock is 19,000 square feet, and the balance used for office space [note-all figures are approximate]. There are 350 employees working three shifts, 6-7 days per week during the school season, otherwise, the site is manned with a skeleton crew when school is not in session. The site has complied with the Bio-terrorism registration requirement.

Closing Meeting People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by commas)
RESPONSE: Pedro Osorio: SQF Practitioner/HACCP Director, Jamie Anguliano: Safety, Facilities Dept, Randy Gaiss: SAI Global Auditor

Auditor Recommendation Auditor Recommendation
RESPONSE: Re-issue certificate once the non-conformances have been corrected.

Section Responses

2.1.1 Management Responsibility (Mandatory)

A management commitment policy [2.1.1, version 5 revised 1/25/2022] is on file and states that: "1-The CEO is committed to meet or exceed the obligation to the food safety culture and management program. The company will ensure adequate resources to support food safety objectives and to comply with customer and regulatory requirements, as well implement and maintain the SQF program and is committed to the highest level of food safety and security, both collectively and individually. The organization is committed to established and reviewing our food safety objectives as an on-going process". The policy is available in both English and Spanish. The objective is to ensure all products are received, stored, and delivered at the highest standards of hygiene and safety adopted to meet all customer requirements". The policy is displayed in several locations in the facility and has been signed by the company CEO. The policy states that the facility encourages a food safety culture by implementing "Stop Data Pro Observations" towards food safety. Objectives were defined as enhancing employee skills, procedures, housekeeping and reaction of people towards food safety. This is measured by housekeeping and employee observation and trended on STOP program. A current organizational chart with a date of 1/10/2022 is established and includes those individuals with food safety responsibilities. An SQF practitioner [as well as a back-up practitioner], is on staff that is a full time employee of the company and has received HACCP training in April 2018. A training program is established and will be reviewed in section 2.9.2. A summary of job descriptions is included and was reviewed for the CEO, warehouse manager and SQF Practitioner. Provisions for absence of key personnel are indicated. During the walk-through, employees who were spoken to knew to report food safety concerns to a supervisor. This audit was unannounced and at the time of the audit, the facility was in full production.

- 2.1.1.1 Senior site management shall prepare and implement a policy statement that outlines at a minimum the commitment of all site management to: i. Supply safe food; ii. Establish and maintain a food safety culture within the site; iii. Establish and continually improve the site's food safety management system; and iv. Comply with customer and regulatory requirements to supply safe food. The policy statement shall be: v. Signed by the senior site manager and displayed in prominent positions; and vi. Effectively communicated to all site personnel in language(s) understood by all site personnel.

RESPONSE: COMPLIANT

- 2.1.1.2 Senior site management shall lead and support a food safety culture within the site that ensures at a minimum: i. The establishment, documentation, and communication to all relevant staff of food safety objectives and performance measures; ii. Adequate resources are available to meet food safety objectives; iii. Food safety practices and all applicable requirements of the SQF System are adopted and maintained; iv. Staff are informed and held accountable for their food safety and regulatory responsibilities; v. Staff are positively encouraged and required to notify management of actual or potential food safety issues; and vi. Staff are empowered to act to resolve food safety issues within their scope of work.

RESPONSE: COMPLIANT

- 2.1.1.3 The reporting structure shall identify and describe site personnel with specific responsibilities for tasks within the food safety management system and identify backup for absence of key personnel. Job descriptions for the key personnel shall be documented. Site management shall ensure departments and operations are appropriately staffed and organizationally aligned to meet food safety objectives.

RESPONSE: COMPLIANT

- 2.1.1.4 Senior site management shall designate a primary and substitute SQF practitioner for each site with responsibility and authority to: i. Oversee the development, implementation, review, and maintenance of the SQF System; ii. Take appropriate action to ensure the integrity of the SQF System; and iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.

RESPONSE: COMPLIANT

- 2.1.1.5 The primary and substitute SQF practitioner shall: i. Be employed by the site; ii. Hold a position of responsibility in relation to the management of the site's SQF System; iii. Have completed a HACCP training course; iv. Be competent to implement and maintain HACCP-based food safety plans; and v. Have an understanding of the SQF Food Safety Code: Storage and Distribution and the requirements to implement and maintain an SQF System relevant to the site's scope of certification.

RESPONSE: COMPLIANT

- 2.1.1.6 Senior site management shall ensure the training needs of the site are resourced, implemented, and meet the requirements outlined in system elements 2.9 and that site personnel meet the required competencies to carry out those functions affecting the legality and safety of food products.

RESPONSE: COMPLIANT

- 2.1.1.7 Senior site management shall ensure the integrity and continued operation of the food safety system in the event of organizational or personnel changes within the company or associated facilities.

RESPONSE: COMPLIANT

- 2.1.1.8** Senior site management shall designate defined blackout periods that prevent unannounced re-certification audits from occurring out of season or when the site is not operating for legitimate business reasons. The list of blackout dates and their justification shall be submitted to the certification body a minimum of one (1) month before the sixty (60) day re-certification window for the agreed upon unannounced audit.

RESPONSE: COMPLIANT

EVIDENCE: This was an announced audit.

2.1.2 Management Review (Mandatory)

A management review process [2.1.2, version 5, reviewed on 12/28/2021] has been established. Programs are reviewed annually and/or when a change is made that could impact food safety. Footers at the bottom of the Individual programs indicate the revision history and states the revision number, issue revision date, who conducted the revision and the reason for the revision. Programs reviewed during the audit indicate that most of the reviews were completed in the 4th quarter of 2021. Monthly meetings are being conducted and are documented in a meeting records notebook [subsection SQF monthly meeting records] and were reviewed for January, March and June 2022. The records indicate the date, time, attendees, and topics discussed.

- 2.1.2.1** The SQF system shall be reviewed by senior site management at least annually and include: i. Changes to food safety management system documentation (policies, procedures, specifications, food safety plan); ii. Food safety culture performance; iii. Food safety objectives and performance measures; iv. Corrective and preventative actions, and trends in findings from internal and external audits, customer complaints, and verification and validation activities; v. Hazard and risk management system; and vi. Follow-up action items from previous management review. Records of all management reviews and updates shall be maintained.

RESPONSE: COMPLIANT

- 2.1.2.2** The SQF practitioner(s) shall update senior site management on at least a monthly basis on matters impacting the implementation and maintenance of the SQF System. The updates and management responses shall be documented.

RESPONSE: COMPLIANT

2.1.3 Complaint Management (Mandatory)

A complaint management procedure [2.1.3, revision 5, reviewed 12/28/2021] is established. The program states that the customer service department responds to customer complaints, with input from personnel responsible in the areas in which the complaint may have originated. Complaints are trended for poor quality, damaged product, mold, expired product, unsealed product, partial case, foreign object, short-dated product, wrong product, empty case, and pests. Complaints are further trended by type, item and total complaints. Corrective actions for complaints are handled in conjunction with input from suppliers, and corrective actions are conducted as needed or required. Trends are tracked quarterly with the first quarter 2022 trends tracked and reviewed. No food safety complaints were received.

- 2.1.3.1** The methods and responsibility for handling, investigating, and resolving food safety complaints from commercial customers, consumers, and authorities, arising from products stored or handled on-site shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.1.3.2** Adverse trends of customer complaint data shall be investigated and analyzed and the root cause established by personnel knowledgeable about the incidents.

RESPONSE: COMPLIANT

- 2.1.3.3** Corrective and preventative action shall be implemented based on the seriousness of the incident and the root cause analysis as outlined in 2.5.3. Records of customer complaints, their investigation, and resolution shall be maintained.

RESPONSE: COMPLIANT

2.2.1 Food Safety Management System (Mandatory)

A food safety manual is available electronically and in hard copy. Individual programs were reviewed throughout the audit. The scope of products covered is included with the program. The food safety manual is managed by the SQF Practitioner. The food safety manual that was reviewed lists the written programs being used in the facility and support the development, implementation, maintenance and control of the SQF program. Any changes made to the programs are indicated in a revision history at the bottom of the program and indicates the revision date, what changes were made, and the name of the person making the change. This same information is also indicated in the table of contents/document register.

- 2.2.1.1** The methods and procedures the site uses to meet the requirements of the SQF Food Safety Code: Storage and Distribution shall be maintained in electronic and/or hard copy documentation. It will be made available to relevant staff and include: i. A summary of the organization's food safety policies and the methods it will apply to meet the requirements of this standard; ii. The food safety policy statement and organization chart; iii. The processes and products included in the scope of certification; iv. Food safety regulations that apply to the site and to the country of sale (if known); v. Raw material, ingredient, packaging, and finished product specifications; vi. Food safety procedures, pre-requisite programs, food safety plans; vii. Process controls that impact product safety; and viii. Other documentation necessary to support the development and the implementation, maintenance, and control of the SQF System.

RESPONSE: COMPLIANT

- 2.2.1.2** Food safety plans, Good Storage and Distribution Practices and all relevant aspects of the SQF System shall be reviewed, updated, and communicated as needed when any changes implemented have an impact on the site's ability to deliver safe food. All changes to food safety plans, Good Storage and Distribution Practices, and other aspects of the SQF System shall be validated or justified prior to their implementation. The reasons for the changes shall be documented.

RESPONSE: COMPLIANT

2.2.2 Document Control (Mandatory)

A document control policy [policy 2.2.2, revision 5, revised 12/29/2021] is in place, and per the program, the SQF practitioner is responsible for document control with oversight by the owner. A standardized format is in use which indicates the document title, number, revision date, supersede date, preparer, who approved the document and the number of pages. A current document register [2.0.1, revision 7, revised 6/10/2022] is established and was reviewed. It is included with the table of contents which indicates the index, description, revision date, supersedes date, system review and who reviewed the document. Completed documents are being stored in the main office.

- 2.2.2.1** The methods and responsibility for maintaining document control and ensuring staff have access to current requirements and instructions shall be documented and implemented. Current SQF System documents and amendments to documents shall be maintained.

RESPONSE: COMPLIANT

2.2.3 Records (Mandatory)

Methods and responsibility for undertaking monitoring activities are included with policy 2.2.3, revision 4 last reviewed on 12/29/2021, as well as with the individual programs that were reviewed in other sections of this audit. Completed records are stored in the main office. Random records [sanitation, temperature monitoring, incoming product inspections] have been reviewed in other sections of this audit and these records found to be legible, complete and properly signed.

- 2.2.3.1** The methods, frequency, and responsibility for verifying, maintaining, and retaining records shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.2.3.2** All records shall be legible and confirmed by those undertaking monitoring activities that demonstrate inspections, analyses, and other essential activities have been completed.

RESPONSE: COMPLIANT

- 2.2.3.3** Records shall be readily accessible, retrievable, and securely stored to prevent unauthorized access, loss, damage, and deterioration. Retention periods shall be in accordance with customer, legal, and regulatory requirements, at minimum the product shelf life, or established by the site if no shelf life exists.

RESPONSE: COMPLIANT

2.3.1 Product for Storage and Distribution

Product storage requirements are established for fresh, frozen and ambient items. During the walk-through, items were observed being stored in the proper temperature range.

- 2.3.1.1** Product handling and storage requirements for all products received, stored, and intended for distribution, shall be documented, current, approved by the site and their customer (if applicable), accessible to relevant staff, and include temperature requirements, storage conditions, packaging requirements, and handling and transportation conditions.

RESPONSE: COMPLIANT

2.3.2 Supplier Approval and Incoming Supplies

Food is not processed in this location, only distributed. Specifications for individual raw materials, as well as finished products, are the responsibility of the manufacturer. Upon approval from the customer [school district], Gold Star will then purchase the item from that school district's approved supplier.

- 2.3.2.1** The methods and responsibility for developing and approving product descriptions shall be documented. Product descriptions for all incoming supplies used by the site but not intended for distribution, including, but not limited to hazardous chemicals, ice, food packaging materials, or janitorial supplies that are used on-site and impact on product safety shall be documented and kept current.

RESPONSE: NOT APPLICABLE

EVIDENCE: Food is not processed in this location, only distributed. Specifications for individual raw materials, as well as finished products, are the responsibility of the manufacturer. Upon approval from the customer [school district], Gold Star will then purchase the item from that school district's approved supplier.

- 2.3.2.2** All incoming supplies shall comply with the relevant legislation.

RESPONSE: NOT APPLICABLE

EVIDENCE: Food is not processed in this location, only distributed. Specifications for individual raw materials, as well as finished products, are the responsibility of the manufacturer. Upon approval from the customer [school district], Gold Star will then purchase the item from that school district's approved supplier.

- 2.3.2.3** Incoming supplies shall be verified to ensure product safety is not compromised and the material is fit for its intended purpose. Verification of incoming materials shall include a review of the product description to determine conformance.

RESPONSE: NOT APPLICABLE

EVIDENCE: Food is not processed in this location, only distributed. Specifications for individual raw materials, as well as finished products, are the responsibility of the manufacturer. Upon approval from the customer [school district], Gold Star will then purchase the item from that school district's approved supplier.

- 2.3.2.4** Incoming goods that may have an impact on product safety shall be supplied by an approved supplier. The responsibility for selecting, evaluating, approving, and monitoring an approved supplier shall be documented and implemented.

RESPONSE: NOT APPLICABLE

EVIDENCE: Food is not processed in this location, only distributed. Specifications for individual raw materials, as well as finished products, are the responsibility of the manufacturer. Upon approval from the customer [school district], Gold Star will then purchase the item from that school district's approved supplier.

- 2.3.2.5** Incoming goods received in emergency situations shall be acceptable provided they are inspected or analyzed before use and the supplier has been evaluated.

RESPONSE: NOT APPLICABLE

EVIDENCE: Food is not processed in this location, only distributed. Specifications for individual raw materials, as well as finished products, are the responsibility of the manufacturer. Upon approval from the customer [school district], Gold Star will then purchase the item from that school district's approved supplier.

- 2.3.2.6** Incoming goods and packaging received from other sites under the same corporate ownership shall be subject to the same product requirements and approved supplier requirements as all other material providers.

RESPONSE: NOT APPLICABLE

EVIDENCE: Food is not processed in this location, only distributed. Specifications for individual raw materials, as well as finished products, are the responsibility of the manufacturer. Upon approval from the customer [school district], Gold Star will then purchase the item from that school district's approved supplier.

- 2.3.2.7** Specifications, product requirements, and incoming supplies shall be reviewed annually or as changes occur.

RESPONSE: NOT APPLICABLE

EVIDENCE: Food is not processed in this location, only distributed. Specifications for individual raw materials, as well as finished products, are the responsibility of the manufacturer. Upon approval from the customer [school district], Gold Star will then purchase the item from that school district's approved supplier.

2.3.3 Contract Service Providers

A register of contract service providers is on file and was reviewed. Specifications for contract service providers used by the facility are maintained as indicated in Doc # 2.3.3, revision 4, revised 12/5/2021. Per the policy, the service provider must have copy of the relevant license, training and description of service provided. The contract for the pest control provider was on file. A current register of service providers is also established and includes the provider name, license number, address, contact information, service provided, service frequency and if a contract is required. The register is current as of the date of this audit.

- 2.3.3.1** Description of services for contract service providers that have an impact on product safety shall be documented, current, include a full description of the service to be provided, and the relevant food safety training requirements of all contract personnel prior to conducting work.

RESPONSE: COMPLIANT

- 2.3.3.2** Contracted services that have an impact on product safety shall be reviewed against the description. The methods and responsibilities for contracted services review shall be documented and validated as needed or at a minimum of annually.

RESPONSE: COMPLIANT

- 2.3.3.3** A record of all contract service descriptions that have an impact on product safety shall be maintained.

RESPONSE: COMPLIANT

2.3.4 Contract Third-Party Storage or Distributor

3rd party storage sites are not used.

- 2.3.4.1** The methods and responsibility for ensuring all agreements relating to food safety and customer product requirements and its realization and delivery are specified and agreed shall be documented and implemented.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 2.3.4.2** The site shall; i. Ensure changes to contractual agreements are approved by both parties and communicated to relevant personnel; ii. Verify compliance with the SQF Code and that all customer requirements are being met at all times.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

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

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

2.4.1 Food Legislation (Mandatory)

Policy 2.4.1, revision 3, revised 1/20/2022 was reviewed and states that all product sold and distributed by Gold Star Foods will comply with applicable codes of the following legislation: -Federal Food, Drug and Cosmetic Act -FSMA -21CFR -9CFR -National School Lunch Program Staff is kept informed of regulatory and industry practices by reviewing trade journals, memberships in trade organizations, and e-mail notifications from government bodies such as USDA and FDA. This is done by the CEO and SQF practitioner and is disseminated to the appropriate personnel in the company. SQFI and the certification body would be notified should a food safety event occur that would public notification and is done as part of the recall program. Contact information is correct and current.

- 2.4.1.1** The site shall ensure that food stored and delivered to customers is handled in a manner that complies with the relevant legislation in the country of its production and destination.

RESPONSE: COMPLIANT

- 2.4.1.2** The methods and responsibility for ensuring the site is kept informed of changes to relevant legislation, scientific and technical developments, emerging food safety issues, and relevant industry codes of practice shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.4.1.3** SQFI and the certification body shall be notified in writing within twenty-four (24) hours as a result of a regulatory warning or event. Notification to SQFI shall be by email to foodsafetycrisis@sqfi.com.

RESPONSE: COMPLIANT

2.4.2 Good Storage and Distribution Practices (Mandatory)

There are proper food safety programs which have been implemented and reviewed in other parts of this audit. Also, the facility has committed the adequate financial resources to support food safety, product quality, and training programs with no food safety fundamentals omitted from these programs. The pre-requisite programs being used in the facility are applicable to the scope of certification and include GMP, training, calibration, pest control, maintenance, cleaning and inspection, water microbiology, control of physical contaminants, supplier approval, transport & delivery and waste management. Prerequisite programs that were reviewed in other sections of this were being verified at the required intervals.

- 2.4.2.1** The site shall ensure the Good Storage and Distribution Practices described in Module 12 of this Food Safety Code are applied or exempted according to a written risk analysis outlining the justification for exemption or evidence of the effectiveness of alternative control measures to ensure that food safety is not compromised.

RESPONSE: COMPLIANT

- 2.4.2.2** The Good Storage and Distribution Practices applicable to the scope of certification that outline how food safety is controlled and assured shall be documented and implemented.

RESPONSE: COMPLIANT

2.4.3 Food Safety Plan (Mandatory)

A HACCP plan is established and was reviewed during the audit. The HACCP plan includes all items distributed in the facility. Also included are the team members, method of distribution and the intended use of the product. A hazard analysis, along with the process flow diagram was also conducted and reviewed as were preventative controls. The plan was reviewed on 1/15/2022. There are no CCP's identified in the plan that was reviewed, however, the following CP's [control points] have been identified: 1-Temperature control in storage 2-Temperature control in the supply chain

- 2.4.3.1** A hazard and risk management system shall be developed and take into consideration relevant legislation in all countries of operation. The system shall be risk based, systematic and comprehensive, and based on HACCP or preventive controls. The food safety plan shall be effectively implemented, maintained, and outline the means by which the site controls and assures food safety of the products or product groups included in the scope of the SQF certification and their associated processes. More than one food safety plan may be required to cover all products included in the scope of certification.

RESPONSE: COMPLIANT

- 2.4.3.2** The food safety plan or plans shall be developed and maintained by a multidisciplinary team that includes the SQF practitioner and those site personnel with technical, storage and distribution, and facility /maintenance knowledge of the relevant products and associated processes. Where the relevant expertise is not available on-site, advice may be obtained from other sources to assist the food safety team.

RESPONSE: COMPLIANT

- 2.4.3.3** The scope of each food safety plan shall be developed and documented including the start and endpoint of the processes under consideration and all relevant inputs and outputs.

RESPONSE: COMPLIANT

- 2.4.3.4** Product requirements shall be developed and documented for all products (or groups of products) included in the scope of the food safety plans. This shall reference the product descriptions (refer to 2.3.2.1) plus any additional information relevant to product safety, such as temperature for storage, how the product is packaged, allergen requirements, raw or cooked, etc.

RESPONSE: COMPLIANT

- 2.4.3.5** The food safety team shall develop and document a flow diagram covering the scope of each food safety plan. The flow diagram shall include every step in the process, all raw material, packaging, service inputs (e.g., water, steam, gases as appropriate), scheduled process delays, and all process outputs including waste, rework, and recoup. Each flow diagram shall be confirmed by the food safety team during all stages and hours of operation.

RESPONSE: COMPLIANT

- 2.4.3.6** The food safety team shall identify and document all food safety hazards that can reasonably be expected to occur at each step in the processes, including food products received and stored.

RESPONSE: COMPLIANT

- 2.4.3.7** The food safety team shall conduct a hazard analysis for every identified hazard, to identify which hazards are significant. The methodology for determining hazard significance shall be documented and used consistently to assess all potential hazards.

RESPONSE: COMPLIANT

- 2.4.3.8** The food safety team shall determine and document the control measures that must be applied to all significant hazards. More than one control measure may be required to control an identified hazard, and more than one significant hazard may be controlled by a specific control measure.

RESPONSE: COMPLIANT

- 2.4.3.9** Based on the results of the hazard analysis (refer to 2.4.3.7), the food safety team shall identify the steps in the process where control must be applied to eliminate a significant hazard or reduce it to an acceptable level (e.g., a preventive control {PC} or critical control point {CCP}). In instances where a significant hazard has been identified at a step in the process, but no control measure exists, the food safety team shall modify the process to include an appropriate control measure.

RESPONSE: COMPLIANT

EVIDENCE: There are no CCP's identified in the plan.

- 2.4.3.10** For each identified step requiring control (e.g. PC or CCP) the food safety team shall document the limits that separate safe from unsafe product. The food safety team shall validate the critical limits to ensure the designated level of control of the identified food safety hazard(s) and that all critical limits and control measures individually or in combination effectively provide the level of control required (refer to 2.5.1.1).

RESPONSE: COMPLIANT

EVIDENCE: There are no CCP's identified in the plan.

- 2.4.3.11** The food safety team shall develop and document procedures to monitor identified steps requiring control (e.g. PC or CCP) to ensure they remain within the established limits (refer to 2.4.3.12). Monitoring procedures shall identify the personnel assigned to conduct testing, the sampling and test methods, and the testing frequency.

RESPONSE: COMPLIANT

EVIDENCE: There are no CCP's identified in the plan.

- 2.4.3.12** The food safety team shall develop and document deviation procedures that identify the disposition of affected product when monitoring indicates a loss of control at an identified step requiring control (e.g. PC or CCP). The procedures shall also prescribe actions to correct the process step to prevent recurrence of the safety failure.

RESPONSE: COMPLIANT

EVIDENCE: There are no CCP's identified in the plan.

- 2.4.3.13** The documented and approved food safety plan(s) shall be implemented in full. The effective implementation shall be monitored by the food safety team, and a full review of the documented and implemented plans shall be conducted at least annually, or when changes to the process, equipment, inputs, or other changes affecting product safety occur.

RESPONSE: COMPLIANT

2.4.4 Non-conforming Product and Equipment

A product hold procedure [policy 2.4.4, revision 3 revised 1/15/2022] was reviewed. As indicated in the program, items placed on hold are identified with a hold tag, quarantined both physically and electronically, identified, handled and disposed of in a manner to prevent unintended use or a risk to product integrity. Provisions to donate product are also included and be done either by Gold Star, or the manufacturer, however, this is dependent on the specific item as well as the amount of shelf life, and the reason why the item is being donated. A current electronic hold log [Broadline] is maintained in the WMS system and was reviewed. The report indicates the location code, pallet number, location and quantity.

- 2.4.4.1** The responsibility and methods outlining how non-conforming product, raw materials, ingredients, work-in-progress, packaging, or equipment detected during receipt, storage, handling, or delivery and including food found to be damaged and/or returned from customers is handled shall be documented and implemented. The methods applied shall ensure: i. Non-conforming product is quarantined, identified, handled, and / or disposed of in a manner that minimizes the risk of inadvertent use, improper use or delivery, or risk to the integrity of the product; ii. Non-conforming equipment is effectively identified, repaired, or disposed of in a manner that minimizes the risk of inadvertent use, improper use, or risk to the integrity of finished product; and iii. All relevant staff are aware of the organization's quarantine and release requirements applicable to equipment or product placed under quarantine status.

RESPONSE: COMPLIANT

- 2.4.4.2** Quarantine records and records of the handling, corrective action, or disposal of nonconforming product or equipment shall be maintained.

RESPONSE: COMPLIANT

2.4.5 Product Recoup

Product recoup is not done.

- 2.4.5.1** The responsibility and methods outlining how product is recouped shall be documented and implemented. The methods applied shall ensure: i. Recouping operations are conducted by trained personnel; and ii. Recouped product is traceable.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not done.

2.4.6 Product Release (Mandatory)

A product release procedure [policy 2.4.6, revision 4, revised 2/10/2022] was reviewed. As outlined in the program, the operations manager is responsible for product release in this facility. The HACCP coordinator reviews productions and food safety records associated with the repack products [when run] and associated temperature controls to verify that all food safety records associated with the re-pack products have been met. As a distribution center, items are scanned into the ERP system [Broadline] when received, then placed into designated areas in the warehouse until needed for a specific route or customer, scanned again when being picked and delivered to the customer. Products that do not meet customer are placed on hold as indicated in section 2.4.5 above.

- 2.4.6.1** The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released by authorized personnel.

RESPONSE: COMPLIANT

- 2.4.6.2** Records of all product release shall be maintained.

RESPONSE: COMPLIANT

2.5.1 Validation and Effectiveness (Mandatory)

Methods and responsibility and criteria to ensure effectiveness of the pre-requisite programs are documented and included with the pre-requisite programs that have been reviewed in other sections of this audit and are the responsibility of the SQF practitioner as defined in policy 2.5.1 reviewed 3/12/2022. Verification records are maintained and were reviewed for sanitation, temperature monitoring, incoming and outgoing inspections for the weeks of May 9 and June 6, 2022. In addition, an SQF task calendar [2.5.2-VS] is established which indicates the task, frequency and when the task has been completed.

- 2.5.1.1** The methods, responsibility, and criteria for ensuring the effectiveness of all applicable elements of the SQF Program shall be documented, implemented, and effective. The methods applied shall ensure that: i. Good Storage and Distribution Practices are confirmed to ensure they achieve the required result; ii. Critical food safety limits are reviewed annually and re-validated or justified by regulatory standards when changes occur; and iii. Changes to the processes or procedures are assessed to ensure controls are still effective. Records of all validation activities shall be maintained.

RESPONSE: COMPLIANT

2.5.2 Verification Activities (Mandatory)

A verification program [2.5.2, revision 4, revised 1/4/2022] has been established. A verification schedule [SQF Task calendar] has been put in place and indicates the task, frequency and month of the verification activity being conducted. Also, methods and criteria used to verify pre-requisite programs and CP's were included with the work instructions for the individual programs which have been reviewed in other sections of this audit. Policy 2.5.2 states that: 1-Pre-requisite programs are monitored daily by personnel trained to conduct the specific monitoring activity 2-Reviews of the programs are conducted the following day by the Safety/Facility Assistant or department manager 3-Personnel with responsibility for verifying records sign and date each records being verified. 4-The department manager/Safety Facility manager is responsible for the review of the monitoring records. A "Verification of Effectiveness Work-sheet" is on file and was reviewed for cleaning/sanitation, pest control, waste removal, and product temperature monitoring activities. These were completed on March 31, April 30, and May 18, 2022.

- 2.5.2.1** The methods, responsibility, and criteria for verifying monitoring of Good Storage and Distribution Practices, critical control points, and other food safety controls shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each verified record.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

2.5.3 Corrective and Preventative Action (Mandatory)

A corrective action policy [2.5.3, revision #4, reviewed 3/15/2022] is established. Root cause analysis is included with the process. A corrective action form [2.5.5] is used to document corrective actions. Records of corrective actions are maintained and were specifically reviewed for an issue in February 2022. The specific issue was that the digital thermometer used in the cooler was inoperative. This thermometer is used by employees to check cooler temperatures in conjunction with the electronic sensors. The root cause indicated that this thermometer just stopped working. The corrective action was to order and install a new thermometer, which was done, and there have been no further issues. Also, on the daily walkthrough, the supervisor is checking said digital thermometer to ensure that it is properly functioning.

- 2.5.3.1** The responsibility and methods outlining how corrective and preventative actions are determined, implemented, and verified, including identification of the root cause and resolution of non-compliance of critical food safety limits and deviations from food safety requirements, shall be documented and implemented. Deviations from food safety requirements may include customer complaints, non-conformances raised at internal or external audits and inspections, non-conforming product and equipment, or withdrawals and recalls, as appropriate.

RESPONSE: COMPLIANT

- 2.5.3.2** Records of all investigation, root cause analyses and resolution of non-conformities, their corrections, and implementation of preventative actions shall be maintained.

RESPONSE: COMPLIANT

2.5.4 Internal Audits and Inspections (Mandatory)

An internal program [policy 2.5.4, revision 5, revised 3/15/2022] is established. The SQF program is reviewed in its entirety no less than annually. Also, an SQF task calendar is used to keep track of tasks that need to be done. These tasks are grouped by monthly [internal audits], quarterly [customer/vendor complaints, corrective actions], semi-annual [product trace exercise,] and annual tasks [yearly system reviews]. Records of internal audits that were conducted in February and June 2022 were reviewed. Employees conducting internal audits are trained as well as being independent of the area being audited.

- 2.5.4.1** The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System shall be documented and implemented. Internal audits shall be conducted in full and at least annually. The methods applied shall ensure; i. All applicable requirements of the SQF Food Safety Code: Storage and Distribution are audited as per the SQF audit checklist or similar tool; ii. Objective evidence is recorded to verify compliance and/or non-compliance; iii. Corrective and preventative actions of deficiencies identified during the internal audits are undertaken; and iv. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective and preventative actions.

RESPONSE: COMPLIANT

- 2.5.4.2** Staff conducting internal audits shall be trained and competent in internal audit procedures. Where practical, staff conducting internal audits shall be independent of the function being audited.

RESPONSE: COMPLIANT

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- 2.5.4.3** Regular inspections of the site and equipment shall be planned and carried out to verify Good Storage and Distribution Practices and facilities and equipment maintenance are compliant with the SQF Food Safety Code: Storage and Distribution. The site shall: i. Take corrections or corrective and preventative action; and ii. Maintain records of inspections and any corrective action taken.

RESPONSE: COMPLIANT

- 2.5.4.4** Records of internal audits and inspections and any corrective and preventative actions taken as a result of internal audits shall be recorded as per 2.5.3. Changes implemented from internal audits that have an impact on the site's ability to deliver safe food shall require a review of applicable aspects of the SQF System.

RESPONSE: COMPLIANT

2.6.1 Product Identification (Mandatory)

A product identification procedure [policy 2.6.1, version 2, revised 3/15/2022] has been established. Per the policy, receiving personnel check in-coming products or packaging to ensure the product/package is properly identified in accordance with all regulatory requirements. Any products not properly labeled or identified are rejected. Repackaged products transferred from original packing into secondary packaging are identified with product name and lot code. Receiving personnel verify the labeled items match the description on the PO and/or the bill of lading. Product identification records are electronically maintained in the ERP system and a license plate is placed on the pallet so that the item can be scanned and processed by the ERP system. These are then scanned using an RF scanner and allows the system to configure each item be assigned an ID. Some of the information gathered is the date/time it was received, expiration dates, quantity, code dates, lot ID and PO number. FIFO is used. There are no production activities conducted in this facility, items are only received inventory and distributed.

- 2.6.1.1** The methods and responsibility for identifying products during all stages of storage shall be documented and implemented. The product identification system shall be implemented to ensure: i. Proper stock rotation; and ii. Accurate location of product.

RESPONSE: COMPLIANT

- 2.6.1.2** Records of product receipt and use and product dispatch and destination shall be maintained.

RESPONSE: COMPLIANT

2.6.2 Product Trace (Mandatory)

The product trace procedure is established and was described in section 2.6.1 above. A trace exercise was also conducted for 100 cases of Double-Chocolate Muffins received on 3/15/2022. Product was traced from receipt, through storage, and to shipping. All product was accounted for in one hour and 29 minutes.

- 2.6.2.1** The responsibility and methods used to trace product shall be documented and implemented to ensure: i. Traceability of food products to the customer (one step forward); ii. Traceability of product to the supplier or manufacturing supplier with date of receipt (one step back); iii. Traceability is maintained where product is recouped; and iv. The effectiveness of the product trace system is reviewed at least annually as part of the product recall and withdrawal review (refer to 2.6.3.2).

RESPONSE: COMPLIANT

2.6.3 Product Withdrawal and Recall (Mandatory)

A product recall procedure [2.6.3, revision 9, revised 1/15/2022] is established. The program that was reviewed includes contact information for the recall team members as well as SQFI and the certification body. The Food Safety Manager and the owner are responsible for managing the recall program at this facility and customer contact lists are electronically maintained. Investigation and root cause analysis would be included as part of any recall that would occur. A trace exercise is conducted no less than annually. As a distribution center, the site has conducted recalls at supplier request but has not had to initiate a recall due to any food safety issues on their part. A trace exercise was last done on 6/7/2022 for 384 cases of Blazin Hot Sunflower Kernels with a GSF item number of 208137. All product was accounted for in approximately 20 minutes.

- 2.6.3.1** The responsibility and methods used to withdraw or recall products 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, regulatory and expert advice, and essential traceability information; iii. Outline a communication plan to inform employees, customers, consumers, authorities, and other essential bodies in a timely manner appropriate about the nature of the incident; iv. Ensure that SQFI, the certification body, and the appropriate regulatory authority are listed as essential organizations and notified in instances of a food safety incident of a public nature or product recall for any reason.

RESPONSE: COMPLIANT

- 2.6.3.2** The product withdrawal and recall system shall be reviewed, tested, and verified as effective at least annually. Testing shall include incoming materials (one back), inhouse identification and isolation/quarantine, and where the product is shipped to (one forward).

RESPONSE: COMPLIANT

- 2.6.3.3** Records shall be maintained of withdrawal and recall tests, root cause investigations into actual withdrawals and recalls, and applied corrective and preventative actions.

RESPONSE: COMPLIANT

- 2.6.3.4** SQFI and the certification body shall be notified in writing within twenty-four (24) hours upon identification of a food safety event that has been initiated by the site requires public notification. SQFI shall be notified at foodsafetycrisis@sqfi.com.

RESPONSE: COMPLIANT

2.6.4 Crisis Management Planning

A crisis management plan [policy 2.6.4, version 9, revised 1/2/2022] is on file and was reviewed. The plan identifies known threats to the facility and include fire, earthquakes and food-safety related issues. Also, situations are defined as follows: Level 1: issues that require senior management input, such as food safety, civil disturbances or natural disasters Level 2-issues that can be resolved by upper management, such as mechanical, electrical, staffing or vandalism Level 3-Issues that can be handled by on site supervision such as equipment, staffing, electrical, HVAC, or mechanical Per the policy, the CEO, along with designated members of management, are responsible for managing the business continuity plan in this facility. Per the policy, a test of the plan is conducted annually, and a test of the plan was conducted on 6/9/2022 using a building fire which then resulted in an evacuation.

- 2.6.4.1** A crisis management plan based on the understanding of known potential dangers (e.g., flood, drought, fire, tsunami, or other severe weather event, warfare or civil unrest, computer outage, pandemic, loss of electricity or refrigeration, ammonia leak, labor strike) that can impact the site's ability to deliver safe food, shall be documented by senior management outlining the methods and responsibility the site shall implement to cope with such a business crisis. The crisis management plan shall include at 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 does not compromise product safety; 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 product prior to release; vi. The preparation and maintenance of a current crisis alert contact list, including supply chain customers; vii. Sources of legal and expert advice; and viii. The responsibility for internal communications and communicating with authorities, external organizations, and media.

RESPONSE: COMPLIANT

- 2.6.4.2** The crisis management plan shall be reviewed, tested, and verified at least annually with gaps and appropriate corrective actions documented. Records of reviews of the crisis management plan shall be maintained.

RESPONSE: COMPLIANT

2.7.1 Food Defense Plan (Mandatory)

A food defense program [policy 2.7.1, version 8, revised 3/19/2022] established and reviewed. Per the plan, the CEO, along with designated management personnel, is responsible for food defense in this facility. Access into the facility is restricted and employee screening, computer access, receiving, material and product storage, work in process, finished goods, shipping and storage of hazardous chemicals were included with the program. Food plant security is included with the monthly facility self-audits that were reviewed in section 2.5.4 above. A food defense assessment was also conducted using the USDA checklist, and was done on 1/28/2022.

- 2.7.1.1** A food defense threat assessment shall be conducted to identify potential threats that can be caused by a deliberate act of sabotage or terrorist-like incident.

RESPONSE: COMPLIANT

- 2.7.1.2** A food defense plan shall be documented, implemented, and maintained based on the threat assessment (refer to 2.7.1.1). The food defense plan shall meet legislative requirements as applicable and shall include at a minimum: i. The methods, responsibility, and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident; ii. The name of the senior site management person responsible for the food defense plan; iii. The methods implemented to ensure only authorized personnel have access to equipment and vehicles and storage areas through designated access points; iv. The methods implemented to protect sensitive operational points from intentional adulteration; v. The measures taken to ensure the secure receipt and storage of products, packaging, equipment, and hazardous chemicals to protect them from deliberate act of sabotage or terrorist-like incidents; vi. The measures implemented to ensure products, packaging (including labels), work-in progress, and process inputs are held under secure storage and transportation conditions; and vii. The methods implemented to record and control access to the premises by employees, contractors, and visitors.

RESPONSE: COMPLIANT

- 2.7.1.3** Instruction shall be provided to all relevant staff on the effective implementation of the food defense plan (refer to 2.9.2.1).

RESPONSE: COMPLIANT

- 2.7.1.4** The food defense threat assessment and prevention plan shall be reviewed and tested at least annually or when the threat level, as defined in the threat assessment, changes. Records of reviews and tests of the food defense plan shall be maintained.

RESPONSE: COMPLIANT

2.7.2 Food Fraud (Mandatory)

The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

- 2.7.2.1** The methods, responsibility, and criteria for identifying the site's vulnerability to food fraud including susceptibility to product substitution, mislabeling, dilution, or counterfeiting shall be documented, implemented, and maintained.

RESPONSE: COMPLIANT

EVIDENCE: The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

- 2.7.2.2** A food fraud mitigation plan shall be developed and implemented that specifies the methods by which the identified food fraud vulnerabilities shall be controlled.

RESPONSE: COMPLIANT

EVIDENCE: The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

- 2.7.2.3** The food fraud vulnerability assessment and mitigation plan shall be reviewed and verified at least annually with gaps and corrective actions documented. Records of reviews shall be maintained.

RESPONSE: COMPLIANT

EVIDENCE: The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

- 2.7.2.4** Records of reviews of the food fraud vulnerability assessment and mitigation plan shall be maintained.

RESPONSE: COMPLIANT

EVIDENCE: The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

2.8.1 Allergen Management (Mandatory)

An allergen program [policy 2.8.1. revision 5, revised 3/3/2022] is in place. As stated in the program, all allergens are present in the facility, either as a main item [seafood [frozen fish fillets, fish sticks], peanut butter/oil, eggs [liquid/hardboiled], wheat [bread, coatings], or a sub-component such as soy, milk [butter, milk chocolate], or shellfish [chowders]. This is a food wholesale and distribution facility, and while there is no processing done in the facility, allergen containing items were clearly identified and items are traceable through use of the ERP system. Rework and/or recoup is not done.

- 2.8.1.1** 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 controls shall be based on a risk assessment and include the identification, labeling, and handling of allergen-containing product, including product recoup, to prevent inadvertent cross contact.

RESPONSE: COMPLIANT

- 2.8.1.2** Recouped product containing food allergens (refer to 2.4.5) shall be repackaged under conditions that ensure product safety and integrity is maintained. Recouped product containing allergens shall be clearly identified and traceable.

RESPONSE: COMPLIANT

EVIDENCE: N/A-Recoup is not done.

- 2.8.1.3** Sites that do not handle allergenic materials or store allergenic products shall document, implement, and maintain an allergen management program that addresses, at a minimum, the mitigation of introduced or unintended allergens from suppliers, contract manufacturers, site personnel, and/or visitor activities.

RESPONSE: COMPLIANT

2.9.1 Training Requirements

The SQF Practitioner has received HACCP training in April 2018.

- 2.9.1.1** 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 product legality and safety shall be defined and documented (refer to 2.1.1.6).

RESPONSE: COMPLIANT

- 2.9.1.2** Appropriate training shall be provided for personnel carrying out the tasks essential to the effective implementation of the SQF System and the maintenance of food safety and regulatory requirements.

RESPONSE: COMPLIANT

2.9.2 Training Program (Mandatory)

A training program [policy 2.9.1, version 5, revised 1/2/2022] has been established. As outlined in the program, employees are provided training when hired and annually thereafter in the areas of GMP's, Food Safety, Food Defense, OSHA training [as needed] and employee safety. Work instructions are established for tasks requiring this and have been specifically reviewed for temperature monitoring and receiving. Training is conducted in both English and Spanish, which are the primary languages in use at this location. A current training skills register is established and was reviewed. The register is organized to show the employee name, department, department name, training topic, training topic and date of training. Employees are given quizzes to gauge knowledge, and copies of the quizzes were on file. Training records that were reviewed indicate that majority of the training was completed in April 2022.

- 2.9.2.1** A training program shall be documented and implemented that, at a minimum, outlines the necessary competencies for specific duties and the training methods to be applied for personnel carrying out tasks associated with: i. Developing and maintaining food safety plans to meet regulatory requirements and the SQF Code; ii. Monitoring and corrective action procedures for all staff engaged in monitoring critical control points (CCPs); iii. Personal hygiene for all staff involved in handling of food products and food contact surfaces; iv. Good Storage and Distribution Practices and work instructions for all staff engaged in food handling, food storage and transport, and associated equipment; v. Allergen management, food defense, and food fraud for all relevant staff; and vi. Tasks identified as critical to meeting effective implementation and maintenance of the SQF Code. The training program shall include provision for identifying and implementing the refresher training needs of the organization.

RESPONSE: COMPLIANT

- 2.9.2.2** Training materials, the delivery of training, and procedures on all tasks critical to meeting regulatory compliance and the maintenance of food safety shall be provided in languages understood by staff.

RESPONSE: COMPLIANT

- 2.9.2.3** Training records shall be maintained and include: i. Participant name; ii. Skills description; iii. Description of the training provided; iv. Date training completed; v. Trainer or training provider; and vi. Verification that the trainee is competent to complete the required tasks.

RESPONSE: COMPLIANT

12.1.1 Premises Location and Approval

No issues were noted with the facility exterior. The facility has a current business license issued from both the California Department of Agriculture as well as the City of Ontario, CA.

- 12.1.1.1** The site shall assess local activities and the site environment to identify any risks that may have an adverse impact on product safety and implement controls for any identified risks. The assessment shall be reviewed in response to any changes in the local environment or activities. The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.

RESPONSE: COMPLIANT

12.1.2 Building Materials

Flooring in the processing, handling and storage areas of the facility were smooth, easily cleanable, and properly graded for safe and easy drainage; with adequate sloping to allow for effective removal of overflow water and waste. Hatches, windows and frames were observed to be of solid construction. No issues were noted with ducting or conduit. Waste traps and drains are not used. There are no drop ceilings and recoup is not done.

- 12.1.2.1** Floors shall be constructed of smooth, dense, impact-resistant material that can be effectively graded, drained, is impervious to liquid, and easily cleaned. When drains are present in the warehouse, floors shall be sloped at gradients suitable to allow for the effective removal of all overflow or wastewater under normal working conditions.

RESPONSE: COMPLIANT

- 12.1.2.2** Drains shall be constructed and located so they can be easily cleaned and do not present a hazard. Drains if located in storage and handling areas, shall be kept clean.

RESPONSE: COMPLIANT

- 12.1.2.3** Waste trap system shall be located away from any food handling or storage area or entrance to the premises.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 12.1.2.4** Walls, partitions, ceilings, and doors shall be of durable construction. Internal surfaces shall have an even and regular surface and be impervious with a light-colored finish and shall be kept clean (refer to 12.2.5). Wall-to-wall and wall-to-floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.

RESPONSE: COMPLIANT

- 12.1.2.5** Doors shall be of solid construction. Windows shall be made of shatterproof glass or similar material, or otherwise protected.

RESPONSE: COMPLIANT

- 12.1.2.6** Drop ceilings (where applicable) shall be constructed to enable monitoring for pest activity, facilitate cleaning, and provide access to utilities.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

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

RESPONSE: NOT APPLICABLE

EVIDENCE: No recoup is conducted.

12.1.3 Lightings and Light Fittings

During the facility walk-through, lighting in the facility was observed to be adequate for the process, bulbs were shatter-proof, and no glass contamination, actual or potential was observed.

- 12.1.3.1** 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.

RESPONSE: COMPLIANT

- 12.1.3.2** 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.

RESPONSE: COMPLIANT

- 12.1.3.3 Light fittings in other areas of the warehouse where product is covered or otherwise protected shall be designed to prevent breakage and product contamination.

RESPONSE: COMPLIANT

12.1.4 Dust, Insect, and Pest Proofing

During the walk-through, personnel doors were observed to be properly fly-proofed with no visible gaps, with the exception of a gap in the dock leveler brush of door #18. No issues were noted with the ILT's in use.

- 12.1.4.1 All external windows, ventilation openings, doors, and other openings shall be effectively sealed when closed and proofed against dust, insects, birds, and other pests. External personnel access doors shall be provided. They shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against entry of dust, birds, and other pests.

RESPONSE: MINOR

EVIDENCE: There is a gap in the dock leveler brush on dock door #18.

ROOT CAUSE: Dock leveler brush on dock door #18 do to wear and tear none stop use to received product.

CORRECTIVE ACTION: On 6/28/2022 Raymond was contacted to come and inspect all of our dock doors and repair all the lever brushes. Receivers have been trained to check for damaged seal brushes.

VERIFICATION OF CLOSEOUT: Reviewed attached document showing that the dock leveler brush was repaired and that it included on the monthly self-audit-corrective action accepted 7/4/2022-RMG

COMPLETION DATE: 06/28/2022 **CLOSEOUT DATE:** 07/04/2022

- 12.1.4.2 Electric insect control devices, pheromone, or other traps and baits shall be located and operate so as not to present a contamination risk to the product, packaging, containers, or processing equipment. Polson rodenticide bait shall not be used inside ingredient of product storage areas where ingredients, packaging, and product are handled, processed, or exposed.

RESPONSE: COMPLIANT

12.1.5 Ventilation

There were no ventilation issues noted during the facility walk-through.

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

RESPONSE: COMPLIANT

- 12.1.5.2 All ventilation equipment and devices in product storage and handling areas shall be adequately cleaned as per 12.2.5 and effectively sealed against dust, insects, and other pests as per 12.1.4.

RESPONSE: COMPLIANT

12.1.6 Equipment and Utensils

There is no processing conducted and no food processing equipment used. No issues were noted with the forklifts in use.

- 12.1.6.1 Specifications for equipment and utensils and procedures for purchasing equipment shall be documented and implemented.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no processing conducted and no food processing equipment used.

- 12.1.6.2 Equipment and utensils shall be designed, constructed, installed, operated, and maintained to meet any applicable regulatory requirements and not pose a contamination threat to products.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no processing conducted and no food processing equipment used.

- 12.1.6.3 Equipment storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers. Where possible, food contact equipment shall be segregated from non-food contact equipment.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no processing conducted and no food processing equipment used.

- 12.1.6.4** All equipment and utensils shall be cleaned (refer to 12.2.5.1) at a frequency to control contamination and stored in a clean and serviceable condition to prevent microbiological or cross-contact allergen contamination.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no processing conducted and no food processing equipment used.

- 12.1.6.5** Vehicles used in handling areas or in cold storage rooms shall be designed, cleaned, and operated so as not to present a food safety hazard.

RESPONSE: COMPLIANT

- 12.1.6.6** In addition to the above, locations handling exposed products and recouping products on-site shall have: i. Product contact equipment and utensils constructed of materials that are non-toxic, smooth, impervious and readily cleaned as per 12.2.5; ii. Clearly identified equipment and utensils that are used for inedible material; and iii. Clearly identified waste and overflow handling equipment and utensils. The waste material is discharged hygienically and according to local regulatory requirements.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no processing conducted and no food processing equipment used.

12.1.7 Grounds and Roadways

No issues were noted with the facility exterior during the facility walk-through with the exception of some items in the equipment boneyard laying on the ground.

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

RESPONSE: MINOR

EVIDENCE: Several items in the equipment boneyard are laying directly on the ground.

ROOT CAUSE: Racking laying directly on the ground.

CORRECTIVE ACTION: On 6/27/2022 our maintenance crew removed all the racking from the floor. WHSE supts have been trained to look at that are during our GMP's daily inspections.

VERIFICATION OF CLOSEOUT: Reviewed attached document showing that the racking was removed from the floor and that the area is included on the daily inspection-corrective action accepted 7/4/2022-RMG

COMPLETION DATE: 06/27/2022 **CLOSEOUT DATE:** 07/04/2022

- 12.1.7.2** 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.

RESPONSE: COMPLIANT

- 12.1.7.3** Surroundings shall be kept neat and tidy and shall not present a hazard to the hygienic and sanitary operation of the premises or provide harborage for pests.

RESPONSE: COMPLIANT

12.2.1 Repairs and Maintenance

A maintenance program [12.2.1, revision 4 revised 3/24/2022] has been established. The program is primarily manual. There is no processing conducted and much of the maintenance is for refrigeration and forklift maintenance which are handled by outside contractors. Receipts were reviewed for refrigeration maintenance [AA Refrigeration and Crown [forklift maintenance] March-June 2022.

- 12.2.1.1** The methods and responsibility for the maintenance and repair of facility, equipment, and buildings shall be documented, planned, and implemented in a manner that minimizes the risk of product, packaging, or equipment contamination.

RESPONSE: COMPLIANT

- 12.2.1.2** The maintenance schedule shall be prepared to cover building, equipment, and other areas of the premises critical to the maintenance of product safety. Routine maintenance of plant and equipment in any food handling or storage area shall be performed according to a maintenance control schedule and recorded.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.2.1.3** Failures of facility and equipment in any food storage and handling area shall be documented, reviewed, and necessary repair incorporated into the maintenance control schedule.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.2.1.4** Site supervisors shall be notified when maintenance or repairs are to be undertaken in any food handling or storage area.

RESPONSE: COMPLIANT

- 12.2.1.5** The maintenance supervisor and the site supervisor shall be informed if any repairs or maintenance pose a potential threat to product safety (e.g., pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside operating times.

RESPONSE: COMPLIANT

- 12.2.1.6** Temporary repairs, where required, shall not pose a food safety risk and shall be included in the cleaning program. There shall be a plan in place to address completion of temporary repairs to ensure they do not become permanent solutions.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.2.1.7** Equipment located over exposed product shall be lubricated with food grade lubricants and their use controlled to minimize the contamination of the product.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.2.1.8** Paint used in a food handling or contact zone shall be suitable for use, in good condition (i.e., no chips), and shall not be used on any product contact surface.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

12.2.2 Maintenance Staff and Contractors

Visitors and contractor are given a copy of the facility GMP's prior to entering the facility and are required to comply with them when in the facility.

- 12.2.2.1** Maintenance staff and contractors shall comply with the site's personnel and process hygiene requirements (refer to 12.3).

RESPONSE: COMPLIANT

- 12.2.2.2** All maintenance staff and contractors required to work on-site shall be trained in the site's food safety and hygiene procedures or shall be escorted at all times until their work is completed. Records of training shall be documented and retrievable.

RESPONSE: COMPLIANT

- 12.2.2.3** Maintenance staff and contractors shall remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so that appropriate hygiene and sanitation can be completed and an inspection conducted prior to restarting site operations. The inspections shall be documented.

RESPONSE: COMPLIANT

12.2.3 Calibration

A calibration program [policy 12.2.3, revision 3, revised 6/2/2022] has been established. Calibration procedures are established and were reviewed for the stem thermometers. A provision has been included with the calibration policy stating that any thermometer not properly working will be re-calibrated or replaced. There were no issues observed with storage of calibrated equipment during the facility walk-through. The appropriate calibration standards and procedures are being used. Refrigeration and freezer recording equipment is checked for calibration by an outside service provider [DMC Compressor]. Records of thermometer calibrations are recorded on the "Thermometer Calibration Log Sheet" and kept in a designated notebook. These calibrations are conducted on a weekly basis and were reviewed from May-June 2022.

- 12.2.3.1** The methods and responsibility for calibration and re-calibration of measuring, testing, and inspection equipment used for monitoring activities outlined in prerequisite programs, food safety plans, and other process controls, or to demonstrate compliance with customer specifications, shall be documented and implemented. Software used for such activities shall be validated and secured as appropriate.

RESPONSE: COMPLIANT

- 12.2.3.2** Equipment shall be calibrated against national or international reference standards and methods or to an accuracy appropriate to its use. In cases where standards are not available, the site shall provide evidence to support the calibration reference method applied. A list of measuring, testing, and inspection equipment requiring calibration shall be maintained.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.2.3.4** Procedures shall be documented and implemented to address the disposition of potentially affected products should measuring, testing, and inspection equipment be found to be out of calibration state.

RESPONSE: COMPLIANT

- 12.2.3.5** A directory of measuring, testing, and inspection equipment requiring calibration and records of calibration tests shall be maintained.

RESPONSE: COMPLIANT

12.2.4 Pest Prevention

A pest control program is established and reviewed. Service is provided monthly for the exterior and weekly for the interior. This service done by Rentokill Pest Control. Methods and responsibility for handling pest control are included with the program. Target pests have been identified and a current site plan indicating the locations of the pest control devices were also included. Trend reports are generated, with the most period from April-June 2022 reviewed, with no issues noted. Pest control records are maintained and were reviewed, also from April-June 2022. Pest control contractors are licensed by the State of California. These licenses are on file and current. PCO providers are required to report to the plant management when on the premises. Unused pest control chemicals are handled by the pest control provider and pesticides are not stored on site. There were no live animals observed on the premises.

- 12.2.4.1** A documented pest prevention program shall be effectively implemented. It shall: i. Describe the methods and responsibility for the development, implementation, and maintenance of the pest prevention program; ii. Record pest sightings and trend the frequency of pest activity to target pesticide applications; iii. Outline the methods used to prevent pest problems; iv. Outline the pest elimination methods and the appropriate documentation for each inspection; v. Outline the frequency with which pest status is to be checked; vi. Include on a site map the identification, location, number, and type of applied pest control/ monitoring devices; vii. List the chemicals used. They are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available; viii. Outline the methods used to make staff aware of the bait control program and the measures required when they come into contact with a bait station; ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and x. Measure the effectiveness of the program to verify the elimination of applicable pests and identify trends.

RESPONSE: COMPLIANT

- 12.2.4.2** Pest contractors and/or internal pest controllers shall: i. Be licensed and approved by the local relevant authority; ii. Use only trained and qualified operators who comply with regulatory requirements; iii. Use only approved chemicals; iv. Provide a pest prevention plan (refer to 12.2.4.1), which includes a site map indicating the location of bait stations traps and other applicable pest control/monitoring devices; v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments; vi. Provide regular inspections for pest activity with appropriate action taken if pests are present, and vii. Provide a written report of their findings and the inspections and treatments applied.

RESPONSE: COMPLIANT

- 12.2.4.3** Pest activity risks shall be analyzed and recorded. Inspections for pest activity shall be undertaken on a regular basis by trained site personnel and the appropriate action taken if pests are present. Identified pest activity shall not present a risk of contamination to food products, raw materials, or packaging. Records of all pest control inspections and applications shall be maintained.

RESPONSE: COMPLIANT

- 12.2.4.4** Food products, raw materials, or packaging that are found to be contaminated by pest activity shall be effectively disposed of and the source of pest infestation investigated and resolved. Records shall be kept of the disposal, investigation, and resolution.

RESPONSE: COMPLIANT

- 12.2.4.5** Pesticides shall be clearly labeled and stored per 12.6.4 if kept on-site.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not stored on site.

- 12.2.4.6** No animals shall be permitted on-site in food handling or storage areas.

RESPONSE: COMPLIANT

12.2.5 Cleaning and Sanitation

Cleaning procedures are established and were reviewed for the racking and receiving areas [floor scrubbing]. Visual inspections are conducted and documented on the master cleaning schedule [Master Cleaning/PM Schedule]. No issues were noted with the chemical storage area. It was found to be clean and kept locked when not in use and the chemicals are suitable for use in a distribution center. No issues were noted with the staff amenities. Due to small quantities of cleaning supplies used, as well as the small container sizes, empty containers are disposed of in the dumpster. Records of completed sanitation activities are being documented on the master sanitation schedule. These records were reviewed for May and June 2022.

- 12.2.5.1** The methods and responsibility for the effective cleaning of the food storage and handling areas, staff amenities, and toilet facilities shall be documented and implemented. Consideration shall be given to: i. What is to be cleaned; ii. How it is to be cleaned; iii. When it is to be cleaned; iv. Who is responsible for cleaning; v. Validation of cleaning procedures; vi. Methods used to confirm the correct concentrations of detergents and sanitizers, and vii. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

RESPONSE: COMPLIANT

- 12.2.5.2** Detergents and sanitizers shall be suitable for use in a food and storage and handling environment, labeled according to regulatory requirements, and purchased in accordance with applicable legislation. The organization shall ensure: i. The site maintains a list of chemicals approved for use; ii. An inventory of all chemicals purchased and used is maintained; iii. Detergents and sanitizers are stored as outlined in element 12.6.4; iv. Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased; and v. Only trained staff handle sanitizers and detergents.

RESPONSE: COMPLIANT

- 12.2.5.3** Detergents and sanitizers that have been mixed for use shall be correctly mixed according to manufacturers' instructions, stored in containers that are suitable for use, and clearly identified. Mix concentrations shall be verified and records maintained.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.2.5.5** Cleaning equipment, tools, racks, and other items used in support of the cleaning and sanitizing program shall be clearly identified, stored, and maintained in a manner that prevents contamination of processing, product handling equipment, and storage areas as well as the tools themselves.

RESPONSE: COMPLIANT

- 12.2.5.6** Staff amenities, sanitary facilities, and other essential areas shall be inspected by qualified personnel to ensure the areas are clean and at a defined frequency.

RESPONSE: COMPLIANT

- 12.2.5.7** Records of cleaning and sanitation activities, verification, and inspections shall be maintained.

RESPONSE: COMPLIANT

- 12.2.5.8** Staff amenities, sanitary facilities, and other essential areas shall be inspected by qualified personnel at a defined frequency to ensure the areas are clean.

RESPONSE: COMPLIANT

12.3.1 Personnel Welfare

There were no ill employees or employees observed with open wounds during the facility walk-through. Facility GMP's prohibit employees who are ill or have open wounds from working in food processing areas.

- 12.3.1.1** Personnel suffering from infectious diseases or who are carriers of any infectious disease shall be restricted from working on the site 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 or there is a risk of contamination of food.

RESPONSE: COMPLIANT

- 12.3.1.2** The site shall have measures in place to prevent contact of materials, ingredients, food packaging, food, or food contact surfaces from any bodily fluids from open wounds, coughing, sneezing, spitting, or any other means. In the event of an injury that causes spillage of bodily fluid, a properly trained staff member shall ensure that all affected areas, including handling and storage areas, have been adequately cleaned and that all materials and products have been quarantined and/or disposed of.

RESPONSE: COMPLIANT

- 12.3.1.3** Personnel with exposed cuts, sores, or lesions shall not engage in handling exposed products, recoup, repack or processing products, or handling primary packaging or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a protective bandage or alternative suitable dressing. A colored bandage or alternative suitable waterproof and colored dressing is recommended for handling exposed products, recoup, or repack processes.

RESPONSE: COMPLIANT

12.3.2 Handwashing

Hand wash basins are provided and are located in accessible locations. Handwash basins are made of stainless steel and have been equipped with liquid soap, paper towels, trash receptacles and potable water of an appropriate temperature. Hand-wash signage is posted. No use of gloves.

- 12.3.2.1** All personnel shall have clean hands and hands shall be washed by all staff, contractors, and visitors: i. On entering food handling, storage, and processing areas; ii. After each visit to a toilet; iii. After using a handkerchief; iv. After smoking, eating, or drinking; and v. After sneezing or coughing.

RESPONSE: COMPLIANT

- 12.3.2.2** Handwash stations shall be available and accessible as required.

RESPONSE: COMPLIANT

- 12.3.2.3** Handwash stations shall be constructed of stainless steel or similar non-corrosive material and at a minimum supplied with: i. A potable water supply at an appropriate temperature; ii. Liquid soap; iii. Paper towels; and iv. A means of containing used paper towels. An effective hand dryer may be used in instances where there is no direct hand contact of food or food contact surfaces.

RESPONSE: COMPLIANT

- 12.3.2.4** Signage in appropriate languages instructing people to wash their hands shall be provided in a prominent position.

RESPONSE: COMPLIANT

- 12.3.2.5** When gloves are used, personnel shall maintain the handwashing practices outlined above.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.3.3 Clothing and Personal Effects

No issues were noted with the uniforms used by employees. There is no processing conducted in the facility. There were no employees observed wearing jewelry.

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

RESPONSE: COMPLIANT

- 12.3.3.2** Clothing, including shoes, shall be clean at the commencement of each shift and maintained in a serviceable condition.

RESPONSE: COMPLIANT

- 12.3.3.3** Protective clothing shall be manufactured from material that will not pose a food safety threat and is easily cleaned.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 12.3.3.4** Jewelry and other loose objects shall not be worn or taken into a food handling or processing operation or any area where food is exposed. The wearing of plain bands with no stones, prescribed medical alert bracelets, or jewelry accepted for religious or cultural reasons can be permitted, provided it is properly covered and does not pose a food safety risk. All exceptions shall meet regulatory and customer requirements and shall be subject to a risk assessment and evidence of ongoing risk management.

RESPONSE: COMPLIANT

12.3.4 Visitors

Visitors are required to wear clean clothing and comply with the GMP's and given a hairnet if entering the facility. Visitors are escorted when in the facility and are required to use the designated entry and exit points, and if they are ill, are not permitted entry into the facility.

- 12.3.4.1** All visitors shall be required to comply with all Good Storage and Distribution Practices and hygiene standards required by the site, including those applying to clothing and personal effects, hand-washing, and illness (refer to 12.3.1, 12.3.2 and 12.3.3).

RESPONSE: COMPLIANT

- 12.3.4.2** All visitors, including management staff, shall wear suitable clothing and footwear when entering any food storage and handling area.

RESPONSE: COMPLIANT

- 12.3.4.3** Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or processed (refer to 12.3.1).

RESPONSE: COMPLIANT

- 12.3.4.4** Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all handwashing and personnel practice requirements.

RESPONSE: COMPLIANT

- 12.3.4.5** All visitors shall be trained in the site's food safety and hygiene procedures before entering any food processing or handling areas or shall be escorted at all times in food handling and storage areas.

RESPONSE: COMPLIANT

- 12.3.4.6** The site shall have a documented procedure for how driver access is managed to minimize food safety risk and designated driver areas are maintained to prevent food contamination or other food safety risks.

RESPONSE: COMPLIANT

12.3.5 Staff Amenities (change rooms, toilets, break rooms)

No issues were noted with the rest rooms or break rooms. Employee rest rooms were observed to be clean and well maintained. Sanitary drainage is not connected to other drains in the facility and hand-wash basins are located in the rest rooms. Lunch rooms are not located near storage areas. They were observed to be clean and well lit, and had hand-wash signage posted. There is no outside eating area.

- 12.3.5.1** Staff amenities shall have documented cleaning procedures, be supplied with appropriate lighting and ventilation, and shall be made available for the use of all persons engaged in the handling and processing of product.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.3.5.3 Toilet rooms shall be: i. Designed and constructed so that they are accessible to staff and separate from any food handling operations; ii. Accessed from the warehouse or food handling area via an airlock vented to the exterior or through an adjoining room; iii. Sufficient in number for the maximum number of staff; iv. Constructed so that they can be easily cleaned and maintained; and v. Kept clean and tidy.

RESPONSE: COMPLIANT

12.3.5.4 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 to minimize the potential for contamination.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.3.5.7 Where outside eating areas are provided, they shall be kept clean and free from waste materials and maintained in a manner that minimizes the potential for introduction of contamination including pests to the site.

RESPONSE: COMPLIANT

12.3.5.8 Signage in languages understood by staff advising people to wash their hands before entering the food storage areas shall be provided in a prominent position in break rooms and break room exits.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no outside eating area.

12.4.1 Personnel Processing Practices

No issues were noted. There is no food processing conducted in this facility. Employees who are ill are not permitted to work.

12.4.1.1 All personnel shall comply with the following practices: i. Personnel entry to food handling areas shall be through the personnel access doors only; ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access is required for waste removal or stock transfer; iii. The wearing of false fingernails or fingernail polish is not permitted when handling exposed food; iv. Materials and products shall be kept in appropriate containers as required and off the floor; v. Waste shall be contained in the bins identified for this purpose and removed from the operational area on a regular basis and not left to accumulate; vi. Staff shall not eat or taste any product in the food storage or handling area; vii. Smoking, chewing, eating, or spitting is not permitted in any food handling or storage areas; and viii. Drinking of water is permissible only under conditions that prevent contamination or other food safety risks from occurring. Drinking water containers shall be stored in clear, covered containers, and used in designated areas only. Code Amendment #1 A medical screening procedure shall be in place for all employees, visitors and contractors who handle exposed product or food contact surfaces.

RESPONSE: COMPLIANT

12.4.1.2 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.

RESPONSE: COMPLIANT

12.5.1 Water Supply

There is an adequate supply of hot and cold water supplied to the site by the City of Ontario, CA. Back-flow preventers are installed and there is no water storage or use of non-potable water.

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

RESPONSE: COMPLIANT

12.5.1.2 Contingency plans shall be in place for instances when the potable water supply is deemed to be contaminated or otherwise inappropriate for use.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.5.1.4 The delivery of water within the premises shall ensure potable water is not contaminated. Testing of the backflow system, where possible, shall be conducted at least annually and records shall be maintained.

RESPONSE: COMPLIANT

12.5.1.5 The use of non-potable water shall be controlled such that: i. There is no cross-contamination between potable and non-potable water lines; ii. Non-potable water piping and outlets are clearly identified; and iii. Hoses, taps, and other similar sources of possible contamination are designed to prevent back flow or back siphonage.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used

12.5.1.6 Where water is stored on-site, storage facilities shall be adequately designed, constructed, and routinely cleaned to prevent contamination.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used

12.5.2 Water and Ice Quality

Water is compliant with national drinking water standards. It was checked for potability on 6/9/2022 using SM-9221B methodology and the water is potable. Ice is not used.

12.5.2.1 Microbiological analysis of the water and ice supply that comes into contact with food or food contact surfaces shall be conducted to verify the cleanliness of the supply, the monitoring activities, and the effectiveness of the treatment measures implemented. Verification, at minimum, shall be made annually.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.5.2.3 Ice rooms and receptacles shall be constructed of materials as outlined in elements 12.1.2 and designed to minimize contamination of the ice during storage and distribution.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.5.3 Air and Other Gases

No use of compressed gas.

12.5.3.1 Compressed air or other gases (e.g. nitrogen, carbon dioxide) that contact food or food contact surfaces shall be clean and present no risk to food safety.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.5.3.2 Compressed air systems and systems used to store or dispense other gases used in food storage and distribution process shall be maintained and regularly monitored for quality and applicable food safety hazards.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

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12.6.1 Receipt, Storage and Handling of Goods

FIFO is used. No issues were noted with the storage areas. There is no processing or use of temporary storage. Also, during the audit, product inventories were at a reduced level, with several rows empty racks observed in both the freezer and the dry storage areas is due to schools not being in session. Damaged cases were observed in several locations [no damage was observed to the primary packaging].

- 12.6.1.1** The site shall implement an effective storage plan that allows for the safe, hygienic storage of ice, food products (frozen, chilled, and ambient), packaging, equipment, and chemicals.

RESPONSE: MINOR

EVIDENCE: Damaged cases were observed in locations F1305-1A, F1063-1B, F-1033-1B and D0909-1B [no damage was observed to the primary packaging].

ROOT CAUSE: During Operations cases were damage by product being move by lift equipment.

CORRECTIVE ACTION: On 6/26/2022 our inventory team went to all locations and removed damaged product. Inventory Control has been assigned to walk the facility and remove all damage product.

VERIFICATION OF CLOSEOUT: Reviewed attached document showing that the damaged product was removed and that this included in the daily inspections-corrective actions accepted 7/4/2022-RMG

COMPLETION DATE: 06/26/2022 **CLOSEOUT DATE:** 07/04/2022

- 12.6.1.2** Dry food products shall be received and stored in a way to prevent cross-contamination with frozen and chilled products.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.6.1.4** Procedures shall be in place to ensure that all food products and recouped products are utilized within their designated shelf life.

RESPONSE: COMPLIANT

- 12.6.1.5** Where goods are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods, or contamination, or adverse effects on food safety.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used

- 12.6.1.6** Records shall be available to verify alternate or temporary control measures for storage of raw materials, ingredients, packaging, equipment, chemicals, or finished products.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used

- 12.6.1.7** 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 cleaned at a predetermined frequency.

RESPONSE: COMPLIANT

12.6.2 Cold Storage, Freezing and Chilling of Foods

A continuous temperature monitoring system is used to monitor temperatures in the facility and there is sufficient freezer, cooler and ambient temperature storage. Both the freezer and the cooler have been equipped with temperature sensors which are checked and calibrated monthly. There were no issues observed with the docks or discharge and loading and unloading areas were clean and well maintained. Temperatures are continually checked and recorded in the E-Logic temp reports, which are printed and initialed. They are also manually checked on a daily basis and documented in the "Daily Temp Logs". Both were reviewed from April-June 2022. Thawing or slacking activities are not conducted.

- 12.6.2.1** The site 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 and shall be easily accessible for inspection and cleaning.

RESPONSE: COMPLIANT

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- 12.6.2.2** 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.6.2.4** The site shall have a written procedure for monitoring temperatures of storage rooms, including the frequency of checks, and corrective actions if the temperature is out of specification. Cold and chilled storage rooms shall be fitted with temperature monitoring equipment, located to monitor the warmest part of the room, and be fitted with a temperature measurement device that is easily readable and accessible. Records shall be kept of frozen, cold, and chilled storage room temperatures.

RESPONSE: COMPLIANT

- 12.6.2.5** Procedures shall be in place to identify the methods and responsibilities used to ensure that processes applied to materials prior to distribution (e.g. thawing, slacking, labeling) do not pose a risk to product safety or loss of traceability.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not done.

12.6.3 Storage of Dry Goods

No wet areas, no processing conducted.

- 12.6.3.1** Dry goods shall be located away from wet areas to protect the product from contamination and deterioration and to prevent packaging from becoming a harborage for pests or vermin.

RESPONSE: NOT APPLICABLE

EVIDENCE: No wet areas, no processing conducted.

12.6.4 Storage of Hazardous Chemicals and Toxic Substances Used On-site

Cleaning chemicals are stored in a designated area that was observed to be secured when not in use. Due to small amounts of chemicals used, empty containers are placed in the trash.

- 12.6.4.1** Hazardous chemicals, toxic substances, and pesticides that are for use on the site with the potential for food contamination shall be: i. Used only according to manufacturers' instructions; ii. Controlled to prevent contamination or a food safety hazard to raw material, packaging, work-in-progress, finished product, or product contact surfaces; iii. Included in a current register of all hazardous chemicals and toxic substances that are stored on-site; iv. Supplemented with a current Safety Data Sheet (SDS) made available to all staff; v. Controlled to track usage and ensure return to the appropriate storage areas after use; vi. Be compliant with national and local legislation; and vii. Used so that there is no cross-contamination between chemicals.

RESPONSE: COMPLIANT

- 12.6.4.2** Hazardous chemicals and toxic substances shall be stored: i. In an area with appropriate signage; ii. Accessible only by personnel trained in the storage and use of chemicals; iii. Separated from the distribution storage area so as not to present a hazard to staff, product, packaging, or product handling equipment; iv. In their original containers, or in clearly labeled secondary containers if allowed by applicable legislation; and v. Stored so that there is no cross-contamination between chemicals.

RESPONSE: COMPLIANT

- 12.6.4.3** Personnel who handle hazardous chemicals and toxic substances, including pesticides and cleaning chemicals: i. Shall be fully trained in their purpose, storage, handling, and use; ii. Be provided first aid equipment and personnel protective equipment; and iii. Ensure compliance with the proper identification, storage, usage, disposal, and clean-up requirements.

RESPONSE: COMPLIANT

- 12.6.4.4** The site shall dispose of unused chemicals and empty containers in accordance with regulatory requirements and ensure that: i. Empty chemical containers are not reused; ii. Empty containers are labeled, isolated, and securely stored while awaiting collection; and iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

RESPONSE: COMPLIANT

- 12.6.4.5** In the event of a hazardous spill, the site shall: i. Have spillage clean-up instructions to ensure that the spill is properly contained; and ii. Be equipped with spillage kits and cleaning equipment.

RESPONSE: COMPLIANT

12.6.5 Loading, Transport, and Staging Practices

Loading practices are defined in policy 12.6.1-12.6.5, revision 6, revised 3/25/2022. As outlined in the policy, products are required to be kept in the correct temperature range. Vehicle inspection records are maintained with random trailer inspection records reviewed for June 2022 which indicate that the correct temperatures are being maintained. This is a food wholesale and distribution facility. Also, per the policy, trailer temperatures and settings are being checked and documented on the "Outbound checklist". No issues were observed with the unloading practices.

- 12.6.5.1** The practices applied during loading, transport, and unloading of food products and materials shall be documented, implemented, and designed to maintain appropriate storage conditions and product integrity. Practices shall protect against contamination from biological, chemical, and physical hazards, and under conditions that prevent cross-contamination.

RESPONSE: COMPLIANT

- 12.6.5.2** Sites shall have a procedure in place that is documented and implemented to ensure trailers are inspected prior to receiving shipments or loading to ensure that the trailer is in good repair, clean, secured and at the required environmental condition and temperature,

RESPONSE: COMPLIANT

- 12.6.5.3** Vehicles (e.g. 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.

RESPONSE: COMPLIANT

- 12.6.5.4** Receiving, staging, loading, and unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product integrity.

RESPONSE: COMPLIANT

- 12.6.5.5** Where applicable, food transport vehicles' refrigeration units shall maintain the food at the required temperatures and the units' temperature settings shall be set, checked, and recorded before loading and product temperatures monitored at regular intervals during loading as appropriate. The refrigeration units shall be operational at all times and checks shall be completed of the units' operation, the door seals, and the storage temperature at regular intervals during transit.

RESPONSE: COMPLIANT

- 12.6.5.6** Upon arrival and prior to opening the doors, the food transport vehicles' refrigeration unit storage temperature settings and operating temperature shall be checked and recorded. Receiving shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

RESPONSE: COMPLIANT

12.7.1 Process Flow

No process flow issues were noted during the facility walk-through.

- 12.7.1.1** The process flow shall be designed to prevent cross-contamination and organized so there is a continuous flow of product through the process. The flow of personnel shall be managed such that the potential for contamination is minimized.

RESPONSE: COMPLIANT

12.7.2 Control of Foreign Matter Contamination

A foreign material control policy [12.7.2, revision 4, revised 3/26/2022] is established and was reviewed. The program addresses glass, wood pallets and temporary repairs. Inspections are conducted as part of monthly self-audits and also included on the master sanitation schedule. Completed glass audits were reviewed from February, April and June 2022. A glass breakage procedure is included with the glass policy. There were no issues observed with the wood pallets being used. As a food wholesaling facility, there is no use of food production equipment.

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

RESPONSE: COMPLIANT

12.7.2.2 Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not been detached or become damaged or deteriorated.

RESPONSE: COMPLIANT

12.7.2.3 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.

RESPONSE: COMPLIANT

12.7.2.4 Where glass objects or similar material are required to be used by the site in storage and handling areas, they shall be listed in a glass inventory including details of their location.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.7.2.5 Product that is in glass or similar material that is for distribution purposes shall be stored and handled in a manner that prevents contamination.

RESPONSE: COMPLIANT

12.7.2.6 Regular inspections of storage and handling zones shall be conducted (refer to 2.5.4.3) to ensure they are free of glass or other like material and to establish changes to the condition of the objects listed in the glass inventory.

RESPONSE: COMPLIANT

12.7.2.7 Glass instrument dial covers on equipment and MIG thermometers shall be inspected at regular intervals.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.7.2.8 Pallets used in food storage shall be made of a suitable material, dedicated for that purpose, clean, maintained in good order, and their condition subject to regular inspection.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.7.3 Managing Foreign Matter Contamination Incidents

Glass breakage procedures have been included with the glass program.

12.7.3.1 In all cases of foreign matter contamination the affected food product shall be isolated, inspected, reworked, or disposed of.

RESPONSE: COMPLIANT

12.7.3.2 In circumstances where glass or similar material breakage occurs, the affected area shall be isolated, cleaned, and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person.

RESPONSE: COMPLIANT

12.8.1 Waste Disposal

No issues were observed with the methods being used to collect and handle dry and liquid waste. There were no waste build-up noted or issues with waste disposal equipment being used. Waste, including trademarked materials, was being properly handled and disposed of. Daily inspections and monthly self-audits are conducted and were also reviewed in other sections of this audit. There is no food processing conducted and water is not stored on site. There is some clutter in the northwest corner of the maintenance shop.

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.8.1.3 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.

RESPONSE: MINOR

EVIDENCE: There is some clutter in the northwest corner of the maintenance shop.

ROOT CAUSE: Mechanic did not removed clutter from his shop.

CORRECTIVE ACTION: On 6/26/2022 mechanic cleaned and removed all clutter form his shop. Our maintenance department will check the shop every morning to monitor no cluster is left behind.

VERIFICATION OF CLOSEOUT: Reviewed attached document showing that the clutter was removed and that the area is inspected daily-corrective action accepted 7/4/2022-RMG

COMPLETION DATE: 06/26/2022 **CLOSEOUT DATE:** 07/04/2022

- 12.8.1.4 Where applicable, a documented procedure shall be in place for the controlled disposal of trademarked materials. Where a contracted disposal service is used, the disposal process shall be reviewed regularly to confirm compliance.

RESPONSE: COMPLIANT

- 12.8.1.5 Inedible waste designated for animal feed shall be stored and handled so that it will not cause a risk to the animal or further processing. If denaturant is used to identify inedible waste, it shall be demonstrated that it does not pose a risk to animal health.

RESPONSE: NOT APPLICABLE

EVIDENCE: No animal feed produced.

- 12.8.1.6 Reviews of the effectiveness of waste management will form part of regular hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports (refer to 2.5.4.3).

RESPONSE: COMPLIANT

- 12.8.1.7 A procedure shall be in place to ensure drainage wastewater is effectively removed from the storage areas (refer to 12.1.2.2). If stored and/or treated on the premises, it shall be stored in a separate storage facility and suitably contained. Inspections of the drainage system and wastewater storage shall be included in the regular site inspections (refer to 2.5.4.3).

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no onsite water storage.



CERTIFICATE OF REGISTRATION

SAI Global, accredited Certification Body No Z1440295AS certifies that:

GOLD STAR FOODS INC.

3781 E Airport Drive, Ontario, California, 91761-1570, USA

is registered as meeting the requirements of the

SQF Food Safety Code: Storage and Distribution Edition 9

Certified HACCP Based Food Safety Plans

for the following scope

26. Storage and Distribution: Frozen and dry storage

Certificate No: 19858
Current Registration: July 21, 2021
Date of Audit: June 9-11, 2021
Audit Type: Unannounced

SQF No: 19858
Expires: August 3, 2022
Next Recertification
Audit Date: May 20, 2022

Authorized by:
Frank Camasta
Global Head of Technical Services
SAI Global Assurance



Registered by:

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SQF Food Safety Audit Edition 9

Gold Star Foods - Gold Star Foods

Summary

AUDIT DECISION
CERTIFIED

CERTIFICATION NUMBER
19858 | 137167

AUDIT RATING

DECISION DATE
07/22/2021

AUDIT TYPE
UNANNOUNCED



RECERTIFICATION DATE
05/20/2022

AUDIT DATES
06/09/2021 - 06/11/2021

Excellent

EXPIRATION DATE
08/03/2022

ISSUE DATE
07/22/2021

Facility & Scope

Gold Star Foods (49015)

Gold Star Foods
3781 East Airport Drive
Ontario, CA 91761
United States

Food Sector Categories:

26. Storage and Distribution

Products:

26. Storage and Distribution: Frozen and dry storage

Scope of Certification:

26. Storage and Distribution: Frozen and dry storage

Certification Body & Audit Team

SAI Global

680 George Street
Sydney, NSW
Australia

CB#: CB-1-SAI

Accreditation Body: JAS-ANZ

Accreditation Number: Z1440295AS

Lead Auditor: Gaiss, Randolph (9250)

Technical Reviewer: Janicka, Justyna (206926)

Hours Spent on Site: 20

Hours of ICT Activities: 0

Hours Spent Writing Report: 6

Non-Conforming

2.1.1 Management Responsibility (Mandatory)

A management commitment policy [2.1.1 revised 2/1/2021] is on file. It states that "the company will comply with customer and regulatory requirements, as well implement and maintain the SQF program and is committed to the highest level of food safety and security, both collectively and individually. The policy also states that adequate resources are available to maintain and support the SQF program, and is available in English and Spanish. The objective is to ensure all products are received, stored, and delivered at the highest standards of hygiene and safety adopted to meet all customer requirements". The policy is displayed in several locations in the facility and has been signed by the company CEO. The policy states that the facility encourages a food safety culture by implementing "Stop Data Pro Observations towards food safety and will cover the following; however, it does not clearly define what is being covered. This is also done by reviewing on-going monitoring and measurement of the processes, as well as effective communication between staff and customers. A current organizational chart with food safety responsibilities is established and was reviewed. An SQF practitioner [as well as a back-up practitioner], is on staff that is a full time employee of the company and has received HACCP training in April 2018. A training program is established and will be reviewed in section 2.9.2. A summary of job descriptions is included and was reviewed for the CEO, warehouse manager and SQF Practitioner. Provisions for absence of key personnel are indicated for key employees. During the walk-through, employees who were spoken to knew to report food safety concerns to a supervisor. This audit was an unannounced audit and at the time of the audit, the facility was in full production. A program for continuous improvement is established.

- 2.1.1.1** Senior site management shall prepare and implement a policy statement that outlines at a minimum the commitment of all site management to: i. Supply safe food; ii. Establish and maintain a food safety culture within the site; iii. Establish and continually improve the site's food safety management system; and iv. Comply with customer and regulatory requirements to supply safe food. The policy statement shall be: v. Signed by the senior site manager and displayed in prominent positions; and vi. Effectively communicated to all site personnel in language(s) understood by all site personnel.

RESPONSE: MINOR

EVIDENCE: The policy states that the facility encourages a food safety culture by implementing "Stop Data Pro Observations towards food safety and will cover the following; however, it does not clearly define what is being covered.

ROOT CAUSE: when the policy was updated forgot to describe what will Stop Data Pro will covered toward Food Safety Culture.

CORRECTIVE ACTION: On 6/29/2021 policy was updated. Food safety Culture Objectives has been updated to clearly define what is being covered by Stop Data Pro towards Food Safety. Program covers new ways of seeing food safety how to use your minds eye to imagine what could happen if the unexpected occurs. also enhancing our skills, procedures, housekeeping and reaction of people towards food safety.

VERIFICATION OF CLOSEOUT: Reviewed attached document which better shows how Food Safety Culture Objectives will be documented and communicated-corrective action accepted 7/10/21-RMG

COMPLETION DATE: 06/29/2021 **CLOSEOUT DATE:** 07/10/2021

2.3.2 Supplier Approval and Incoming Supplies

A supplier approval program [2.3.2 reviewed 3/5/2021] is on file and was reviewed. Per the policy, "all raw materials [ingredients, packaging] are supplied by an approved supplier determined by the customer, and is the responsibility of the customer". Also, per the same program, all products provided by the supplier shall be: 1-For for the purpose for which they are intended to be used as stated on any packaging or labeling 2-In compliance with agreed-upon specifications 3-Free from defects in design, formulation, manufacture, materials and packaging 4-Compliant with all applicable state, local and federal regulations Included with the supplier policy is a provision for using materials from non-approved suppliers provided that: 1-It is approved for use by the Strategic Sourcing Manager and/or the customer 2-The item is inspected and approved by the Safety/HACCP manager prior to use. 3-It has no effect on product quality or safety. A current supplier register is maintained electronically and in paper form and both were reviewed. The supplier of the Nada Chimmy Bean & Cheese Mix was found in the supplier register. The specification for this item was on file, however, a copy of their most recent 3rd party audit not on file. [note-this facility was the victim of a cyber attack in January 2021 and the facility is still in the process of recovering some of the supplier data that was hacked].

- 2.3.2.1** The methods and responsibility for developing and approving product descriptions shall be documented. Product descriptions for all incoming supplies used by the site but not intended for distribution, including, but not limited to hazardous chemicals, ice, food packaging materials, or janitorial supplies that are used on-site and impact on product safety shall be documented and kept current.

RESPONSE: MINOR

EVIDENCE: The copy of the 3rd party audit certificate for the Nada Chimmy Bean & Cheese Mix was not on file.

ROOT CAUSE: The Bell Tasty Nada 3rd party certification vendor agreement was not on file.

CORRECTIVE ACTION: on 6/28/2021 information was requested to Bell Tasty Nada. In order to have updated information every year we have contracted the Services of Sustain chains who will be responsible for updating all vendor documentation. Ensuring vendors can demonstrate full compliance with FSMA and other local, state and federal regulatory guidelines relative to food safety.

VERIFICATION OF CLOSEOUT: Reviewed attached copy of 3rd party audit for Bell Tasty Nada. Corrective action accepted 7/10/21-RMG

COMPLETION DATE: 06/28/2021 **CLOSEOUT DATE:** 07/10/2021

12.1.4 Dust, Insect, and Pest Proofing

During the walk-through, personnel doors were observed to be properly fly-proofed with the exception of a gap on the dock door leveler of dock door #30. External doors were observed to be properly fly-proofed with no visible gaps. No use of ILT's.

- 12.1.4.1** All external windows, ventilation openings, doors, and other openings shall be effectively sealed when closed and proofed against dust, insects, birds, and other pests. External personnel access doors shall be provided. They shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against entry of dust, birds, and other pests.

RESPONSE: MINOR

EVIDENCE: A gap was observed on the dock leveler brush of dock door #30.

ROOT CAUSE: Receiving fail to close the Dock door #30 after using it.

CORRECTIVE ACTION: on 6/18/2021 Receiving supervisor had a conversation with the receivers to make sure they fully close the doors after use.

VERIFICATION OF CLOSEOUT: Reviewed attached documents showing that the door gap was corrected and that the employees were retrained on the importance of keeping doors closed-corrective action accepted 7/10/2021-RMG

COMPLETION DATE: 06/29/2021 **CLOSEOUT DATE:** 07/10/2021

12.6.1 Receipt, Storage and Handling of Goods

FIFO is used. No issues were noted with the storage areas. There is no processing or use of temporary storage. Damaged outer cases of product were observed in location D0967-1A and D0824-1B.

- 12.6.1.1** The site shall implement an effective storage plan that allows for the safe, hygienic storage of ice, food products (frozen, chilled, and ambient), packaging, equipment, and chemicals.

RESPONSE: MINOR

EVIDENCE: Damaged outer cases of product were observed in location D0967-1A and D0824-1B.

ROOT CAUSE: Damage case was not remove from location D0967-1A and D0824-1B

CORRECTIVE ACTION: on 6/29/2021 Inventory control had a meeting to remind inventory team to removed damaged product after counting the locations during inventory counts.

VERIFICATION OF CLOSEOUT: Reviewed attached documents showing that the damaged cases were removed and that employees were given training on removing damaged cases from inventory-corrective action accepted 7/10/2021-RMG

COMPLETION DATE: 06/29/2021 **CLOSEOUT DATE:** 07/10/2021

Audit Statements

SQF Practitioner Name	Name the designated SQF Practitioner RESPONSE: Pedro Osorio
SQF Practitioner Email	Email of the designated SQF Practitioner RESPONSE: pedro@goldstarfoods.com
Opening Meeting	People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by commas) RESPONSE: Pedro Osorio: SQF Practitioner/HACCP Director, Jamie Anguliano: Safety, Facilities Dept, Randy Gaiss: SAI Global Auditor
Facility Description	Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details) RESPONSE: This food service distributor is located in Ontario, CA. Items distributed are both frozen and fresh produce, vegetables, dry foods, and breads, as well as paper and supplies. Items are distributed to school districts, primarily in Southern CA. Some of these items are broken down from full cases and distributed to the school districts in smaller quantities as needed. The facility is approximately 251,000 square feet in size with 84,000 square feet used for frozen storage, 80,000 square feet for refrigerated storage, 22,000 square feet used for dry storage, and the cooler dock is 19,000 square feet, and the balance used for office space [note-all figures are approximate]. There are 350 employees working three shifts, 6-7 days per week during the school season, otherwise, the site is manned with a skeleton crew when school is not in session. The site has complied with the Bio-terrorism registration requirement.
Closing Meeting	People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by commas) RESPONSE: Pedro Osorio: SQF Practitioner/HACCP Director, Jamie Anguliano: Safety, Facilities Dept, Randy Gaiss: SAI Global Auditor
Auditor Recommendation	Auditor Recommendation RESPONSE: Re-issue certificate once the non-conformances have been corrected.

Section Responses

2.1.1 Management Responsibility (Mandatory)

A management commitment policy [2.1.1 revised 2/1/2021] is on file. It states that "the company will comply with customer and regulatory requirements, as well implement and maintain the SQF program and is committed to the highest level of food safety and security, both collectively and individually. The policy also states that adequate resources are available to maintain and support the SQF program, and is available in English and Spanish. The objective is to ensure all products are received, stored, and delivered at the highest standards of hygiene and safety adopted to meet all customer requirements". The policy is displayed in several locations in the facility and has been signed by the company CEO. The policy states that the facility encourages a food safety culture by implementing "Stop Data Pro Observations towards food safety and will cover the following:", however, it does not clearly define what is being covered. This is also done by reviewing on-going monitoring and measurement of the processes, as well as effective communication between staff and customers. A current organizational chart with food safety responsibilities is established and was reviewed. An SQF practitioner [as well as a back-up practitioner], is on staff that is a full time employee of the company and has received HACCP training in April 2018. A training program is established and will be reviewed in section 2.9.2. A summary of job descriptions is included and was reviewed for the CEO, warehouse manager and SQF Practitioner. Provisions for absence of key personnel are indicated for key employees. During the walk-through, employees who were spoken to knew to report food safety concerns to a supervisor. This audit was an unannounced audit and at the time of the audit, the facility was in full production. A program for continuous improvement is established.

- 2.1.1.1** Senior site management shall prepare and implement a policy statement that outlines at a minimum the commitment of all site management to: i. Supply safe food; ii. Establish and maintain a food safety culture within the site; iii. Establish and continually improve the site's food safety management system; and iv. Comply with customer and regulatory requirements to supply safe food. The policy statement shall be: v. Signed by the senior site manager and displayed in prominent positions; and vi. Effectively communicated to all site personnel in language(s) understood by all site personnel.

RESPONSE: MINOR

EVIDENCE: The policy states that the facility encourages a food safety culture by implementing "Stop Data Pro Observations towards food safety and will cover the following; however, it does not clearly define what is being covered.

ROOT CAUSE: when the policy was updated forgot to describe what will Stop Data Pro will covered toward Food Safety Culture.

CORRECTIVE ACTION: On 6/29/2021 policy was updated. Food safety Culture Objectives has been updated to clearly define what is being covered by Stop Data Pro towards Food Safety. Program covers new ways of seeing food safety how to use your minds eye to imagine what could happen if the unexpected occurs. also enhancing our skills, procedures, housekeeping and reaction of people towards food safety.

VERIFICATION OF CLOSEOUT: Reviewed attached document which better shows how Food Safety Culture Objectives will be documented and communicated-corrective action accepted 7/10/21-RMG

COMPLETION DATE: 06/29/2021 **CLOSEOUT DATE:** 07/10/2021

- 2.1.1.2** Senior site management shall lead and support a food safety culture within the site that ensures at a minimum: i. The establishment, documentation, and communication to all relevant staff of food safety objectives and performance measures; ii. Adequate resources are available to meet food safety objectives; iii. Food safety practices and all applicable requirements of the SQF System are adopted and maintained; iv. Staff are informed and held accountable for their food safety and regulatory responsibilities; v. Staff are positively encouraged and required to notify management of actual or potential food safety issues; and vi. Staff are empowered to act to resolve food safety issues within their scope of work.

RESPONSE: COMPLIANT

- 2.1.1.3** The reporting structure shall identify and describe site personnel with specific responsibilities for tasks within the food safety management system and identify backup for absence of key personnel. Job descriptions for the key personnel shall be documented. Site management shall ensure departments and operations are appropriately staffed and organizationally aligned to meet food safety objectives.

RESPONSE: COMPLIANT

- 2.1.1.4** Senior site management shall designate a primary and substitute SQF practitioner for each site with responsibility and authority to: i. Oversee the development, implementation, review, and maintenance of the SQF System; ii. Take appropriate action to ensure the integrity of the SQF System; and iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.

RESPONSE: COMPLIANT

- 2.1.1.5** The primary and substitute SQF practitioner shall: i. Be employed by the site; ii. Hold a position of responsibility in relation to the management of the site's SQF System; iii. Have completed a HACCP training course; iv. Be competent to implement and maintain HACCP-based food safety plans; and v. Have an understanding of the SQF Food Safety Code; Storage and Distribution and the requirements to implement and maintain an SQF System relevant to the site's scope of certification.

RESPONSE: COMPLIANT

- 2.1.1.6** Senior site management shall ensure the training needs of the site are resourced, implemented, and meet the requirements outlined in system elements 2.9 and that site personnel meet the required competencies to carry out those functions affecting the legality and safety of food products.

RESPONSE: COMPLIANT

- 2.1.1.7** Senior site management shall ensure the integrity and continued operation of the food safety system in the event of organizational or personnel changes within the company or associated facilities.

RESPONSE: COMPLIANT

- 2.1.1.8** Senior site management shall designate defined blackout periods that prevent unannounced re-certification audits from occurring out of season or when the site is not operating for legitimate business reasons. The list of blackout dates and their justification shall be submitted to the certification body a minimum of one (1) month before the sixty (60) day re-certification window for the agreed upon unannounced audit.

RESPONSE: COMPLIANT

2.1.2 Management Review (Mandatory)

A management review process [2.1.2 reviewed on 5/8/2021] is on file and was reviewed. The program is reviewed annually and or when a change is made that could impact food safety. Footers at the bottom of the individual programs indicate the revision history and states the revision number, issue revision date, who conducted the revision and the reason for the revision. Programs reviewed during the audit indicate that most of the reviews were conducted in the first quarter of 2021. Monthly meetings are being conducted and were reviewed for March and May 2021 and indicated the meeting attendees, dates, and topics discussed. These records are documented in a meeting records notebook, subsection SQF monthly meeting records and were reviewed for January, March and May 2021. The records indicate the date, time, attendees, and topics discussed.

- 2.1.2.1 The SQF system shall be reviewed by senior site management at least annually and include: i. Changes to food safety management system documentation (policies, procedures, specifications, food safety plan); ii. Food safety culture performance; iii. Food safety objectives and performance measures; iv. Corrective and preventative actions, and trends in findings from internal and external audits, customer complaints, and verification and validation activities; v. Hazard and risk management system; and vi. Follow-up action items from previous management review. Records of all management reviews and updates shall be maintained.

RESPONSE: COMPLIANT

- 2.1.2.2 The SQF practitioner(s) shall update senior site management on at least a monthly basis on matters impacting the implementation and maintenance of the SQF System. The updates and management responses shall be documented.

RESPONSE: COMPLIANT

2.1.3 Complaint Management (Mandatory)

A complaint management procedure [2.1.3 reviewed 3/2/2021] is on file and was reviewed. Per the policy, the customer service department has responsibility for handling customer complaints, with input from personnel responsible in the areas in which the complaint may have originated. Complaints are trended for poor quality, damaged product, mold, expired product, unsealed product, partial case, foreign object, short-dated product, wrong product, empty case, and pests. Complaints are further trended by type, item and total complaints. Corrective actions for complaints are handled in conjunction with input from suppliers, and corrective actions are conducted as needed or required. Trends are tracked quarterly with most recent trending conducted in the 1st quarter of 2021.

- 2.1.3.1 The methods and responsibility for handling, investigating, and resolving food safety complaints from commercial customers, consumers, and authorities, arising from products stored or handled on-site shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.1.3.2 Adverse trends of customer complaint data shall be investigated and analyzed and the root cause established by personnel knowledgeable about the incidents.

RESPONSE: COMPLIANT

- 2.1.3.3 Corrective and preventative action shall be implemented based on the seriousness of the incident and the root cause analysis as outlined in 2.5.3. Records of customer complaints, their investigation, and resolution shall be maintained.

RESPONSE: COMPLIANT

2.2.1 Food Safety Management System (Mandatory)

A food safety manual is available electronically and in hard copy. Individual programs have been reviewed throughout the audit. The scope of products covered is included with the program. The food safety manual is managed by the SQF Practitioner. The food safety manual that was reviewed lists the written programs being used in the facility and support the development, implementation, maintenance and control of the SQF program. Any changes made to the programs are indicated in a revision history at the bottom of the program and indicates the revision date, what changes were made, and the name of the person making the change. This same information is also indicated in the table of contents/document register.

- 2.2.1.1 The methods and procedures the site uses to meet the requirements of the SQF Food Safety Code: Storage and Distribution shall be maintained in electronic and/or hard copy documentation. It will be made available to relevant staff and include: i. A summary of the organization's food safety policies and the methods it will apply to meet the requirements of this standard; ii. The food safety policy statement and organization chart; iii. The processes and products included in the scope of certification; iv. Food safety regulations that apply to the site and to the country of sale (if known); v. Raw material, ingredient, packaging, and finished product specifications; vi. Food safety procedures, pre-requisite programs, food safety plans; vii. Process controls that impact product safety; and viii. Other documentation necessary to support the development and the implementation, maintenance, and control of the SQF System.

RESPONSE: COMPLIANT

- 2.2.1.2** Food safety plans, Good Storage and Distribution Practices and all relevant aspects of the SQF System shall be reviewed, updated, and communicated as needed when any changes implemented have an impact on the site's ability to deliver safe food. All changes to food safety plans, Good Storage and Distribution Practices, and other aspects of the SQF System shall be validated or justified prior to their implementation. The reasons for the changes shall be documented.

RESPONSE: COMPLIANT

2.2.2 Document Control (Mandatory)

A document control policy [policy 2.2.2 revised 3/2/2021] is established. The policy indicates how the documents are created, controlled, titled and accessed and by whom. The SQF practitioner is responsible for document control with oversight by the owner. Per the policy, a standardized format is used and indicates the document title, number, revision date, supersede date, preparer, who approved the document and the number of pages. A current document register is established and was reviewed. This is maintained in the table of contents which indicates the index, description, revision date, supersedes date, system review and who reviewed the document. Completed documents are being stored in the main office.

- 2.2.2.1** The methods and responsibility for maintaining document control and ensuring staff have access to current requirements and instructions shall be documented and implemented. Current SQF System documents and amendments to documents shall be maintained.

RESPONSE: COMPLIANT

2.2.3 Records (Mandatory)

Methods and responsibility for undertaking monitoring activities are included with policy 2.2.2 last reviewed on 3/2/2021, as well as with the individual programs that have been reviewed in other sections of this audit. Completed records are stored in the main office. Random records that were reviewed [sanitation, temperature monitoring, incoming produce inspections] were reviewed and were legible, complete and observed to be properly signed.

- 2.2.3.1** The methods, frequency, and responsibility for verifying, maintaining, and retaining records shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.2.3.2** All records shall be legible and confirmed by those undertaking monitoring activities that demonstrate inspections, analyses, and other essential activities have been completed.

RESPONSE: COMPLIANT

- 2.2.3.3** Records shall be readily accessible, retrievable, and securely stored to prevent unauthorized access, loss, damage, and deterioration. Retention periods shall be in accordance with customer, legal, and regulatory requirements, at minimum the product shelf life, or established by the site if no shelf life exists.

RESPONSE: COMPLIANT

2.3.1 Product for Storage and Distribution

Product and storage requirements are established and were observed being followed.

- 2.3.1.1** Product handling and storage requirements for all products received, stored, and intended for distribution, shall be documented, current, approved by the site and their customer (if applicable), accessible to relevant staff, and include temperature requirements, storage conditions, packaging requirements, and handling and transportation conditions.

RESPONSE: COMPLIANT

2.3.2 Supplier Approval and Incoming Supplies

A supplier approval program [2.3.2 reviewed 3/5/2021] is on file and was reviewed. Per the policy, "all raw materials [ingredients, packaging] are supplied by an approved supplier determined by the customer, and is the responsibility of the customer". Also, per the same program, all products provided by the supplier shall be: 1-For the purpose for which they are intended to be used as stated on any packaging or labeling 2-In compliance with agreed-upon specifications 3-Free from defects in design, formulation, manufacture, materials and packaging 4-Compliant with all applicable state, local and federal regulations Included with the supplier policy is a provision for using materials from non-approved suppliers provided that: 1-It is approved for use by the Strategic Sourcing Manager and/or the customer 2-The item is inspected and approved by the Safety/HACCP manager prior to use. 3-It has no effect on product quality or safety. A current supplier register is maintained electronically and in paper form and both were reviewed. The supplier of the Nada Chimmy Bean & Cheese Mix was found in the supplier register. The specification for this item was on file, however, a copy of their most recent 3rd party audit not on file. [note-this facility was the victim of a cyber attack in January 2021 and the facility is still in the process of recovering some of the supplier data that was hacked].

- 2.3.2.1** The methods and responsibility for developing and approving product descriptions shall be documented. Product descriptions for all incoming supplies used by the site but not intended for distribution, including, but not limited to hazardous chemicals, ice, food packaging materials, or janitorial supplies that are used on-site and impact on product safety shall be documented and kept current.

RESPONSE: MINOR

EVIDENCE: The copy of the 3rd party audit certificate for the Nada Chimmy Bean & Cheese Mix was not on file.

ROOT CAUSE: The Bell Tasty Nada 3rd party certification vendor agreement was not on file.

CORRECTIVE ACTION: on 6/28/2021 information was requested to Bell Tasty Nada. In order to have updated information every year we have contracted the Services of Sustain chains who will be responsible for updating all vendor documentation. Ensuring vendors can demonstrate full compliance with FSMA and other local, state and federal regulatory guidelines relative to food safety.

VERIFICATION OF CLOSEOUT: Reviewed attached copy of 3rd party audit for Bell Tasty Nada. Corrective action accepted 7/10/21-RMG

COMPLETION DATE: 06/28/2021 **CLOSEOUT DATE:** 07/10/2021

- 2.3.2.2** All incoming supplies shall comply with the relevant legislation.

RESPONSE: COMPLIANT

- 2.3.2.3** Incoming supplies shall be verified to ensure product safety is not compromised and the material is fit for its intended purpose. Verification of incoming materials shall include a review of the product description to determine conformance.

RESPONSE: COMPLIANT

- 2.3.2.4** Incoming goods that may have an impact on product safety shall be supplied by an approved supplier. The responsibility for selecting, evaluating, approving, and monitoring an approved supplier shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.3.2.5** Incoming goods received in emergency situations shall be acceptable provided they are inspected or analyzed before use and the supplier has been evaluated.

RESPONSE: COMPLIANT

- 2.3.2.6** Incoming goods and packaging received from other sites under the same corporate ownership shall be subject to the same product requirements and approved supplier requirements as all other material providers.

RESPONSE: COMPLIANT

- 2.3.2.7** Specifications, product requirements, and incoming supplies shall be reviewed annually or as changes occur.

RESPONSE: COMPLIANT

2.3.3 Contract Service Providers

A contract service register is established and lists the name and service being provided.

- 2.3.3.1** Description of services for contract service providers that have an impact on product safety shall be documented, current, include a full description of the service to be provided, and the relevant food safety training requirements of all contract personnel prior to conducting work.

RESPONSE: COMPLIANT

- 2.3.3.2** Contracted services that have an impact on product safety shall be reviewed against the description. The methods and responsibilities for contracted services review shall be documented and validated as needed or at a minimum of annually.

RESPONSE: COMPLIANT

- 2.3.3.3** A record of all contract service descriptions that have an impact on product safety shall be maintained.

RESPONSE: COMPLIANT

2.3.4 Contract Third-Party Storage or Distributor

There is no use of third party storage facilities.

- 2.3.4.1** The methods and responsibility for ensuring all agreements relating to food safety and customer product requirements and its realization and delivery are specified and agreed shall be documented and implemented.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 2.3.4.2** The site shall: i. Ensure changes to contractual agreements are approved by both parties and communicated to relevant personnel; ii. Verify compliance with the SQF Code and that all customer requirements are being met at all times.

RESPONSE: COMPLIANT

EVIDENCE: Not used.

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

RESPONSE: COMPLIANT

EVIDENCE: Not used.

2.4.1 Food Legislation (Mandatory)

Policy 2.4.1 revised 3/5/2021 states that all product sold and distributed by Gold Star Foods will comply with applicable codes of the following legislation: -Federal Food, Drug and Cosmetic Act -FSMA -21CFR -9CFR -National School Lunch Program Staff is kept informed of regulatory and industry practices by reviewing trade journals, memberships in trade organizations, and e-mail notifications from government bodies such as USDA and FDA. This is done by the CEO and SQF practitioner and is disseminated to the appropriate personnel in the company. SQFI and the certification body would be notified should a food safety event occur that would public notification and is done as part of the recall program. Contact information is correct and current.

- 2.4.1.1** The site shall ensure that food stored and delivered to customers is handled in a manner that complies with the relevant legislation in the country of its production and destination.

RESPONSE: COMPLIANT

- 2.4.1.2** The methods and responsibility for ensuring the site is kept informed of changes to relevant legislation, scientific and technical developments, emerging food safety issues, and relevant industry codes of practice shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.4.1.3** SQFI and the certification body shall be notified in writing within twenty-four (24) hours as a result of a regulatory warning or event. Notification to SQFI shall be by email to foodsafetycrisis@sqfi.com.

RESPONSE: COMPLIANT

2.4.2 Good Storage and Distribution Practices (Mandatory)

Proper food safety programs are implemented and have been reviewed in other sections of this audit and the facility has committed the adequate financial resources to support food safety, product quality, and training programs with no food safety fundamentals omitted from these programs. The pre-requisite programs being used in the facility are applicable to the scope of certification and include GMP, training, calibration, pest control, maintenance, cleaning and inspection, water microbiology, control of physical contaminants, supplier approval, transport & delivery and waste management. Prerequisite programs that were reviewed in other sections of this were being verified at the required intervals.

- 2.4.2.1** The site shall ensure the Good Storage and Distribution Practices described in Module 12 of this Food Safety Code are applied or exempted according to a written risk analysis outlining the justification for exemption or evidence of the effectiveness of alternative control measures to ensure that food safety is not compromised.

RESPONSE: COMPLIANT

- 2.4.2.2** The Good Storage and Distribution Practices applicable to the scope of certification that outline how food safety is controlled and assured shall be documented and implemented.

RESPONSE: COMPLIANT

2.4.3 Food Safety Plan (Mandatory)

A HACCP plan is established and was reviewed during the audit. The HACCP plan includes all items distributed in the facility. Also included are the team members, method of distribution and the intended use of the product. A hazard analysis, along with the process flow diagram was also conducted and reviewed as were preventative controls. The plan was reviewed on 1/26/2021. Per the plan, no CCP's were identified, however, the following CP's [control points] were identified: 1-Temperature control in storage 2-Temperature control in the supply chain

- 2.4.3.1** A hazard and risk management system shall be developed and take into consideration relevant legislation in all countries of operation. The system shall be risk based, systematic and comprehensive, and based on HACCP or preventive controls. The food safety plan shall be effectively implemented, maintained, and outline the means by which the site controls and assures food safety of the products or product groups included in the scope of the SQF certification and their associated processes. More than one food safety plan may be required to cover all products included in the scope of certification.

RESPONSE: COMPLIANT

- 2.4.3.2** The food safety plan or plans shall be developed and maintained by a multidisciplinary team that includes the SQF practitioner and those site personnel with technical, storage and distribution, and facility /maintenance knowledge of the relevant products and associated processes. Where the relevant expertise is not available on-site, advice may be obtained from other sources to assist the food safety team.

RESPONSE: COMPLIANT

- 2.4.3.3** The scope of each food safety plan shall be developed and documented including the start and endpoint of the processes under consideration and all relevant inputs and outputs.

RESPONSE: COMPLIANT

- 2.4.3.4** Product requirements shall be developed and documented for all products (or groups of products) included in the scope of the food safety plans. This shall reference the product descriptions (refer to 2.3.2.1) plus any additional information relevant to product safety, such as temperature for storage, how the product is packaged, allergen requirements, raw or cooked, etc.

RESPONSE: COMPLIANT

- 2.4.3.5** The food safety team shall develop and document a flow diagram covering the scope of each food safety plan. The flow diagram shall include every step in the process, all raw material, packaging, service inputs (e.g., water, steam, gases as appropriate), scheduled process delays, and all process outputs including waste, rework, and recoup. Each flow diagram shall be confirmed by the food safety team during all stages and hours of operation.

RESPONSE: COMPLIANT

- 2.4.3.6** The food safety team shall identify and document all food safety hazards that can reasonably be expected to occur at each step in the processes, including food products received and stored.

RESPONSE: COMPLIANT

- 2.4.3.7** The food safety team shall conduct a hazard analysis for every identified hazard, to identify which hazards are significant. The methodology for determining hazard significance shall be documented and used consistently to assess all potential hazards.

RESPONSE: COMPLIANT

- 2.4.3.8** The food safety team shall determine and document the control measures that must be applied to all significant hazards. More than one control measure may be required to control an identified hazard, and more than one significant hazard may be controlled by a specific control measure.

RESPONSE: COMPLIANT

- 2.4.3.9** Based on the results of the hazard analysis (refer to 2.4.3.7), the food safety team shall identify the steps in the process where control must be applied to eliminate a significant hazard or reduce it to an acceptable level (e.g., a preventive control (PC) or critical control point (CCP)). In instances where a significant hazard has been identified at a step in the process, but no control measure exists, the food safety team shall modify the process to include an appropriate control measure.

RESPONSE: COMPLIANT

EVIDENCE: There are no CCP's identified in the plan.

- 2.4.3.10** For each identified step requiring control (e.g. PC or CCP) the food safety team shall document the limits that separate safe from unsafe product. The food safety team shall validate the critical limits to ensure the designated level of control of the identified food safety hazard(s) and that all critical limits and control measures individually or in combination effectively provide the level of control required (refer to 2.5.1.1).

RESPONSE: COMPLIANT

EVIDENCE: There are no CCP's identified in the plan.

- 2.4.3.11** The food safety team shall develop and document procedures to monitor identified steps requiring control (e.g. PC or CCP) to ensure they remain within the established limits (refer to 2.4.3.12). Monitoring procedures shall identify the personnel assigned to conduct testing, the sampling and test methods, and the testing frequency.

RESPONSE: COMPLIANT

EVIDENCE: There are no CCP's identified in the plan.

- 2.4.3.12** The food safety team shall develop and document deviation procedures that identify the disposition of affected product when monitoring indicates a loss of control at an identified step requiring control (e.g. PC or CCP). The procedures shall also prescribe actions to correct the process step to prevent recurrence of the safety failure.

RESPONSE: COMPLIANT

EVIDENCE: There are no CCP's identified in the plan.

- 2.4.3.13** The documented and approved food safety plan(s) shall be implemented in full. The effective implementation shall be monitored by the food safety team, and a full review of the documented and implemented plans shall be conducted at least annually, or when changes to the process, equipment, inputs, or other changes affecting product safety occur.

RESPONSE: COMPLIANT

2.4.4 Non-conforming Product and Equipment

A product hold procedure [policy 2.4.4 revised 3112021] is on file and was reviewed. The policy states that items will be identified with a hold tag, quarantined both physically and electronically, identified, handled and disposed of in a manner to prevent unintended use or a risk to product integrity. A current electronic hold log [QC hold Report] is maintained in the WMS system and was reviewed. The report indicates the location code, buyer code, pallet number, bin code, zone code, bin type code, item number, product description, vendor number, vendor item number, expiration date, status and quantity. Also, the site conducts a weekly reconciliation to ensure that all product on hold is properly accounted for. The 2021 hold report was reviewed.

- 2.4.4.1** The responsibility and methods outlining how non-conforming product, raw materials, ingredients, work-in-progress, packaging, or equipment detected during receipt, storage, handling, or delivery and including food found to be damaged and/or returned from customers is handled shall be documented and implemented. The methods applied shall ensure: i. Non-conforming product is quarantined, identified, handled, and / or disposed of in a manner that minimizes the risk of inadvertent use, improper use or delivery, or risk to the integrity of the product; ii. Non-conforming equipment is effectively identified, repaired, or disposed of in a manner that minimizes the risk of inadvertent use, improper use, or risk to the integrity of finished product; and iii. All relevant staff are aware of the organization's quarantine and release requirements applicable to equipment or product placed under quarantine status.

RESPONSE: COMPLIANT

- 2.4.4.2** Quarantine records and records of the handling, corrective action, or disposal of nonconforming product or equipment shall be maintained.

RESPONSE: COMPLIANT

2.4.5 Product Recoup

Product recoup us not done.

- 2.4.5.1** The responsibility and methods outlining how product is recouped shall be documented and implemented. The methods applied shall ensure: i. Recouping operations are conducted by trained personnel; and ii. Recouped product is traceable.

RESPONSE: NOT APPLICABLE

EVIDENCE: Product recoup us not done.

2.4.6 Product Release (Mandatory)

A product release procedure [policy 2.4.6 reviewed 3/11/2021] is established and was reviewed. Per the policy, the warehouse director is responsible for releasing products. The HACCP coordinator reviews productions and food safety records associated with the repack products [when run] and associated temperature controls to verify that all food safety records associated with the re-pack products have been met. As a distribution center, items are scanned into the ERP system when received, then placed into designated areas in the warehouse until needed for a specific route or customer, scanned again when being picked and delivered to the customer. Food is not manufactured in this facility so positive release is not used. Records of the product release and subsequent distribution are maintained in the ERP system and were specifically reviewed for the Nada Chimmy Bean & Cheese Mix used in the trace exercise. The record, when pulled up, showed the quantity of product as well as the customer that this item was sent to.

- 2.4.6.1 The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released by authorized personnel.

RESPONSE: COMPLIANT

- 2.4.6.2 Records of all product release shall be maintained.

RESPONSE: COMPLIANT

2.5.1 Validation and Effectiveness (Mandatory)

Methods and responsibility and criteria to ensure effectiveness of the pre-requisite programs are documented and included with the pre-requisite programs that have been reviewed in other sections of this audit. This is the responsibility of the SQF practitioner and is also defined in policy 2.5.1 reviewed 3/12/2021. Verification records are maintained and were reviewed for sanitation, temperature monitoring, incoming and outgoing inspections for the weeks of April 26 and May 24, 2021.

- 2.5.1.1 The methods, responsibility, and criteria for ensuring the effectiveness of all applicable elements of the SQF Program shall be documented, implemented, and effective. The methods applied shall ensure that: i. Good Storage and Distribution Practices are confirmed to ensure they achieve the required result; ii. Critical food safety limits are reviewed annually and re-validated or justified by regulatory standards when changes occur; and iii. Changes to the processes or procedures are assessed to ensure controls are still effective. Records of all validation activities shall be maintained.

RESPONSE: COMPLIANT

2.5.2 Verification Activities (Mandatory)

A verification schedule is established and was reviewed. The schedule indicates the activity, description, frequency, responsibility, and the associated records required for the activity being performed. Methods and criteria used to verify pre-requisite programs and CP's are included with the work instructions for the individual programs and these have been reviewed in other sections of this audit. In addition, policy 2.5.2 revised 3/12/2021 [methods and responsibilities] states that: 1-Pre-requisite programs are monitored daily by personnel trained to do this 2-Reviews of the programs are conducted 24-48 hours by designated personnel 3-Personnel with responsibility for verifying records sign and date each record being verified. 4-The department manager is responsible for the review of the monitoring records. A "verification of Effectiveness Work-sheet" is on file and was reviewed for cleaning/sanitation, pest control, waste removal, and product temperature monitoring activities for the period January-April 2021.

- 2.5.2.1 The methods, responsibility, and criteria for verifying monitoring of Good Storage and Distribution Practices, critical control points, and other food safety controls shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each verified record.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

2.5.3 Corrective and Preventative Action (Mandatory)

A corrective action policy [2.5.3 revised 3/15/2021] is on file and was reviewed. Root cause analysis is included with the process. Records of corrective actions are maintained and were specifically reviewed for a non-working digital thermometer used to temperature. The root cause indicated that it had just stopped working and the corrective action was to replace the unit entirely. This has been added to the supervisors daily walk-through to ensure that should this occur again, it will be caught and corrected sooner.

- 2.5.3.1** The responsibility and methods outlining how corrective and preventative actions are determined, implemented, and verified, including identification of the root cause and resolution of non-compliance of critical food safety limits and deviations from food safety requirements, shall be documented and implemented. Deviations from food safety requirements may include customer complaints, non-conformances raised at internal or external audits and inspections, non-conforming product and equipment, or withdrawals and recalls, as appropriate.

RESPONSE: COMPLIANT

- 2.5.3.2** Records of all investigation, root cause analyses and resolution of non-conformities, their corrections, and implementation of preventative actions shall be maintained.

RESPONSE: COMPLIANT

2.5.4 Internal Audits and Inspections (Mandatory)

An internal program [policy 2.5.4 revised 3/15/2021] is established and was reviewed. The SQF program is reviewed in its entirety no less than annually and there is an SQF task calendar used to keep track of these tasks need to be done. Records of the internal audits conducted in January, March and May 2021 were reviewed. Training for employees who conduct internal audits was conducted on April 2021 and staff conducting these audits are independent of the area being audited.

- 2.5.4.1** The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System shall be documented and implemented. Internal audits shall be conducted in full and at least annually. The methods applied shall ensure: i. All applicable requirements of the SQF Food Safety Code: Storage and Distribution are audited as per the SQF audit checklist or similar tool; ii. Objective evidence is recorded to verify compliance and/or non-compliance; iii. Corrective and preventative actions of deficiencies identified during the internal audits are undertaken; and iv. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective and preventative actions.

RESPONSE: COMPLIANT

- 2.5.4.2** Staff conducting internal audits shall be trained and competent in internal audit procedures. Where practical, staff conducting internal audits shall be independent of the function being audited.

RESPONSE: COMPLIANT

- 2.5.4.3** Regular inspections of the site and equipment shall be planned and carried out to verify Good Storage and Distribution Practices and facilities and equipment maintenance are compliant with the SQF Food Safety Code: Storage and Distribution. The site shall: i. Take corrections or corrective and preventative action; and ii. Maintain records of inspections and any corrective action taken.

RESPONSE: COMPLIANT

- 2.5.4.4** Records of internal audits and inspections and any corrective and preventative actions taken as a result of internal audits shall be recorded as per 2.5.3. Changes implemented from internal audits that have an impact on the site's ability to deliver safe food shall require a review of applicable aspects of the SQF System.

RESPONSE: COMPLIANT

2.6.1 Product Identification (Mandatory)

A product identification procedure [policy 2.6.1 revised 3/18/2021] is established and was reviewed. Per the policy, receiving personnel check in-coming products or packaging to ensure the product/package is properly identified in accordance with all regulatory requirements. Any products not properly labeled or identified are rejected. Receiving personnel verify the labeled items match the description on the PO and/or the bill of lading. Product identification records are electronically maintained in the ERP system and a license plate is placed on the pallet so that the item can be scanned and processed by the ERP system. These are then scanned using an RF scanner and allows the system to configure each item be assigned an ID. Some of the information gathered is the date/time it was received, expiration dates, quantity, code dates, lot ID and PO number. There are no production activities conducted in this facility, items are received and distributed only.

- 2.6.1.1** The methods and responsibility for identifying products during all stages of storage shall be documented and implemented. The product identification system shall be implemented to ensure: i. Proper stock rotation; and ii. Accurate location of product.

RESPONSE: COMPLIANT

- 2.6.1.2** Records of product receipt and use and product dispatch and destination shall be maintained.

RESPONSE: COMPLIANT

2.6.2 Product Trace (Mandatory)

A product trace procedure is established and was reviewed in 2.6.1 above. Also, a trace exercise was conducted during the audit for 90 cases of Nada Chimmy Bean & Cheese Mix. This product was received on 5/25/2021, and sent to several school districts. All product was accounted for in 50 minutes. Product dispatch records are maintained and were specifically reviewed for this item.

- 2.6.2.1** The responsibility and methods used to trace product shall be documented and implemented to ensure: i. Traceability of food products to the customer (one step forward); ii. Traceability of product to the supplier or manufacturing supplier with date of receipt (one step back); iii. Traceability is maintained where product is recouped; and iv. The effectiveness of the product trace system is reviewed at least annually as part of the product recall and withdrawal review (refer to 2.6.3.2).

RESPONSE: COMPLIANT

2.6.3 Product Withdrawal and Recall (Mandatory)

A product recall procedure [2.6.3 revised 3/15/2021] is established and was reviewed. The program includes contact information for the recall team members as well as SQFI and the certification body. The Food Safety Manager and the owner are responsible for managing the recall program at this facility and customer contact lists are electronically maintained. Investigation and root cause analysis would be included as part of any recall that would occur. A trace exercise is conducted no less than annually. As a distribution center, the site has conducted recalls at supplier request but has not had to initiate a recall due to any food safety issues on their part. This was last done on 5/18/2021 for 10 cases of Western Style Guacamole. All product was accounted for in approximately 5 minutes.

- 2.6.3.1** The responsibility and methods used to withdraw or recall products 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, regulatory and expert advice, and essential traceability information; iii. Outline a communication plan to inform employees, customers, consumers, authorities, and other essential bodies in a timely manner appropriate about the nature of the incident; iv. Ensure that SQFI, the certification body, and the appropriate regulatory authority are listed as essential organizations and notified in instances of a food safety incident of a public nature or product recall for any reason.

RESPONSE: COMPLIANT

- 2.6.3.2** The product withdrawal and recall system shall be reviewed, tested, and verified as effective at least annually. Testing shall include incoming materials (one back), inhouse identification and isolation/quarantine, and where the product is shipped to (one forward).

RESPONSE: COMPLIANT

- 2.6.3.3** Records shall be maintained of withdrawal and recall tests, root cause investigations into actual withdrawals and recalls, and applied corrective and preventative actions.

RESPONSE: COMPLIANT

- 2.6.3.4** SQFI and the certification body shall be notified in writing within twenty-four (24) hours upon identification of a food safety event that has been initiated by the site requires public notification. SQFI shall be notified at foodsafetycrisis@sqfi.com.

RESPONSE: COMPLIANT

2.6.4 Crisis Management Planning

A crisis management plan [policy 2.6.4 revised 6/2/2021] is on file and was reviewed. The plan identifies known threats to the facility and include fire, earthquakes and food-safety related issues. Also, situations are defined as follows: Level 1: issues that require senior management input, such as food safety, civil disturbances or natural disasters Level 2-issues that can be resolved by upper management Level 3-Issues that can be handled by on site supervision Per the policy, the CEO, along with designated members of management, are responsible for managing the business continuity plan in this facility. Per the policy, a test of the plan is conducted annually, and a test of the plan was conducted on 5/4/2021 using an unauthorized person walking through the facility. From the records that was reviewed, this individual was stopped within seconds of entering the facility and the test was deemed successful.

- 2.6.4.1** A crisis management plan based on the understanding of known potential dangers (e.g., flood, drought, fire, tsunami, or other severe weather event, warfare or civil unrest, computer outage, pandemic, loss of electricity or refrigeration, ammonia leak, labor strike) that can impact the site's ability to deliver safe food, shall be documented by senior management outlining the methods and responsibility the site shall implement to cope with such a business crisis. The crisis management plan shall include at 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 does not compromise product safety; 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 product prior to release; vi. The preparation and maintenance of a current crisis alert contact list, including supply chain customers; vii. Sources of legal and expert advice; and viii. The responsibility for internal communications and communicating with authorities, external organizations, and media.

RESPONSE: COMPLIANT

- 2.6.4.2** The crisis management plan shall be reviewed, tested, and verified at least annually with gaps and appropriate corrective actions documented. Records of reviews of the crisis management plan shall be maintained.

RESPONSE: COMPLIANT

2.7.1 Food Defense Plan (Mandatory)

A food defense program [policy 2.7.1 revised 3/19/2021] is established and was reviewed. Per the plan, the CEO, along with designated management personnel, is responsible for food defense in this facility. Access into the facility is restricted and employee screening, computer access, receiving, material and product storage, work in process, finished goods, shipping and storage of hazardous chemicals were included with the program. Food plant security is included with the monthly facility self-audits and were reviewed for January, March and May 2021.

- 2.7.1.1** A food defense threat assessment shall be conducted to identify potential threats that can be caused by a deliberate act of sabotage or terrorist-like incident.

RESPONSE: COMPLIANT

- 2.7.1.2** A food defense plan shall be documented, implemented, and maintained based on the threat assessment (refer to 2.7.1.1). The food defense plan shall meet legislative requirements as applicable and shall include at a minimum: i. The methods, responsibility, and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident; ii. The name of the senior site management person responsible for the food defense plan; iii. The methods implemented to ensure only authorized personnel have access to equipment and vehicles and storage areas through designated access points; iv. The methods implemented to protect sensitive operational points from intentional adulteration; v. The measures taken to ensure the secure receipt and storage of products, packaging, equipment, and hazardous chemicals to protect them from deliberate act of sabotage or terrorist-like incidents; vi. The measures implemented to ensure products, packaging (including labels), work-in progress, and process inputs are held under secure storage and transportation conditions; and vii. The methods implemented to record and control access to the premises by employees, contractors, and visitors.

RESPONSE: COMPLIANT

- 2.7.1.3** Instruction shall be provided to all relevant staff on the effective implementation of the food defense plan (refer to 2.9.2.1).

RESPONSE: COMPLIANT

- 2.7.1.4** The food defense threat assessment and prevention plan shall be reviewed and tested at least annually or when the threat level, as defined in the threat assessment, changes. Records of reviews and tests of the food defense plan shall be maintained.

RESPONSE: COMPLIANT

2.7.2 Food Fraud (Mandatory)

The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

- 2.7.2.1** The methods, responsibility, and criteria for identifying the site's vulnerability to food fraud including susceptibility to product substitution, mislabeling, dilution, or counterfeiting shall be documented, implemented, and maintained.

RESPONSE: COMPLIANT

EVIDENCE: The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

- 2.7.2.2** A food fraud mitigation plan shall be developed and implemented that specifies the methods by which the identified food fraud vulnerabilities shall be controlled.

RESPONSE: COMPLIANT

EVIDENCE: The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

- 2.7.2.3** The food fraud vulnerability assessment and mitigation plan shall be reviewed and verified at least annually with gaps and corrective actions documented. Records of reviews shall be maintained.

RESPONSE: COMPLIANT

EVIDENCE: The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

- 2.7.2.4** Records of reviews of the food fraud vulnerability assessment and mitigation plan shall be maintained.

RESPONSE: COMPLIANT

EVIDENCE: The site has an email on file from the CB scheme owner dated 6/4/19 indicating that they are exempt from this requirement.

2.8.1 Allergen Management (Mandatory)

An allergen program [policy 2.8.1 revised 3/19/2021] is on file and was reviewed. Per the policy, all allergens are present in the facility, either as a main item [seafood [frozen fish fillets, fish sticks], peanut butter/oil, eggs [liquid/hardboiled], wheat [bread, coatings], or a sub-component such as soy, milk [butter, milk chocolate], or shellfish [chowders]. This is a food wholesale and distribution facility, and while there is no processing done in the facility, allergen containing items were clearly identified and items are traceable through use of the ERP system. There is no rework or recoup done.

- 2.8.1.1** 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 controls shall be based on a risk assessment and include the identification, labeling, and handling of allergen-containing product, including product recoup, to prevent inadvertent cross contact.

RESPONSE: COMPLIANT

- 2.8.1.2** Recouped product containing food allergens (refer to 2.4.5) shall be repackaged under conditions that ensure product safety and integrity is maintained. Recouped product containing allergens shall be clearly identified and traceable.

RESPONSE: COMPLIANT

EVIDENCE: Not done.

- 2.8.1.3** Sites that do not handle allergenic materials or store allergenic products shall document, implement, and maintain an allergen management program that addresses, at a minimum, the mitigation of introduced or unintended allergens from suppliers, contract manufacturers, site personnel, and/or visitor activities.

RESPONSE: COMPLIANT

2.9.1 Training Requirements

The SQF Practitioner has received HACCP training in April 2018.

- 2.9.1.1** 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 product legality and safety shall be defined and documented (refer to 2.1.1.6).

RESPONSE: COMPLIANT

- 2.9.1.2** Appropriate training shall be provided for personnel carrying out the tasks essential to the effective implementation of the SQF System and the maintenance of food safety and regulatory requirements.

RESPONSE: COMPLIANT

2.9.2 Training Program (Mandatory)

A training program [policy 2.9.1 revised 2/21/19] is established and was reviewed. Employees are given training when hired and annually thereafter in the areas of GMP's, Food Safety, Food Defense, OSHA training [as needed] and employee safety. Work instructions are established for tasks requiring this and were reviewed for temperature monitoring and receiving. Training is conducted in English and Spanish. A current training skills register is established and was reviewed. The register is organized to show the employee name, department, department name, training topic, training topic and date of training. Employees are given quizzes to gauge knowledge, and copies of the quizzes were on file.

- 2.9.2.1** A training program shall be documented and implemented that, at a minimum, outlines the necessary competencies for specific duties and the training methods to be applied for personnel carrying out tasks associated with: i. Developing and maintaining food safety plans to meet regulatory requirements and the SQF Code; ii. Monitoring and corrective action procedures for all staff engaged in monitoring critical control points (CCPs); iii. Personal hygiene for all staff involved in handling of food products and food contact surfaces; iv. Good Storage and Distribution Practices and work instructions for all staff engaged in food handling, food storage and transport, and associated equipment; v. Allergen management, food defense, and food fraud for all relevant staff; and vi. Tasks identified as critical to meeting effective implementation and maintenance of the SQF Code. The training program shall include provision for identifying and implementing the refresher training needs of the organization.

RESPONSE: COMPLIANT

- 2.9.2.2** Training materials, the delivery of training, and procedures on all tasks critical to meeting regulatory compliance and the maintenance of food safety shall be provided in languages understood by staff.

RESPONSE: COMPLIANT

- 2.9.2.3** Training records shall be maintained and include: i. Participant name; ii. Skills description; iii. Description of the training provided; iv. Date training completed; v. Trainer or training provider; and vi. Verification that the trainee is competent to complete the required tasks.

RESPONSE: COMPLIANT

12.1.1 Premises Location and Approval

No issues were noted with the facility exterior. The facility has a current license to operate a food establishment from the CA Department of Agriculture and also the City of Ontario, CA.

- 12.1.1.1** The site shall assess local activities and the site environment to identify any risks that may have an adverse impact on product safety and implement controls for any identified risks. The assessment shall be reviewed in response to any changes in the local environment or activities. The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.

RESPONSE: COMPLIANT

12.1.2 Building Materials

Flooring in the processing, handling and storage areas of the facility were smooth, easily cleanable, and properly graded for safe and easy drainage; with adequate sloping to allow for effective removal of overflow water and waste. Doors, hatches, windows and frames were observed to be of solid construction. No issues were noted with ducting or conduit. Product contact pipes are made of stainless steel. There were no issues noted with drains. Waste traps are not used. No use of stairs, catwalks or platforms.

- 12.1.2.1** Floors shall be constructed of smooth, dense, impact-resistant material that can be effectively graded, drained, is impervious to liquid, and easily cleaned. When drains are present in the warehouse, floors shall be sloped at gradients suitable to allow for the effective removal of all overflow or wastewater under normal working conditions.

RESPONSE: COMPLIANT

- 12.1.2.2** Drains shall be constructed and located so they can be easily cleaned and do not present a hazard. Drains if located in storage and handling areas, shall be kept clean.

RESPONSE: COMPLIANT

- 12.1.2.3** Waste trap system shall be located away from any food handling or storage area or entrance to the premises.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 12.1.2.4** Walls, partitions, ceilings, and doors shall be of durable construction. Internal surfaces shall have an even and regular surface and be impervious with a light-colored finish and shall be kept clean (refer to 12.2.5). Wall-to-wall and wall-to-floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.

RESPONSE: COMPLIANT

- 12.1.2.5** Doors shall be of solid construction. Windows shall be made of shatterproof glass or similar material, or otherwise protected.

RESPONSE: COMPLIANT

- 12.1.2.6** Drop ceilings (where applicable) shall be constructed to enable monitoring for pest activity, facilitate cleaning, and provide access to utilities.

RESPONSE: COMPLIANT

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

RESPONSE: NOT APPLICABLE

EVIDENCE: Not done.

12.1.3 Lightings and Light Fittings

During the facility walk-through, lighting in the facility was observed to be adequate for the process, bulbs were shatter-proof, and no glass contamination, actual or potential was observed.

- 12.1.3.1** 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.

RESPONSE: COMPLIANT

- 12.1.3.2** 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. Where fixtures cannot be recessed, structures must be protected from accidental breakage, manufactured from cleanable materials, and addressed in the cleaning and sanitation program.

RESPONSE: COMPLIANT

- 12.1.3.3** Light fittings in other areas of the warehouse where product is covered or otherwise protected shall be designed to prevent breakage and product contamination.

RESPONSE: COMPLIANT

12.1.4 Dust, Insect, and Pest Proofing

During the walk-through, personnel doors were observed to be properly fly-proofed with the exception of a gap on the dock door leveler of dock door #30. External doors were observed to be properly fly-proofed with no visible gaps. No use of ILT's.

- 12.1.4.1** All external windows, ventilation openings, doors, and other openings shall be effectively sealed when closed and proofed against dust, insects, birds, and other pests. External personnel access doors shall be provided. They shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against entry of dust, birds, and other pests.

RESPONSE: MINOR

EVIDENCE: A gap was observed on the dock leveler brush of dock door #30.

ROOT CAUSE: Receiving fail to close the Dock door #30 after using it.

CORRECTIVE ACTION: on 6/18/2021 Receiving supervisor had a conversation with the receivers to make sure they fully close the doors after use.

VERIFICATION OF CLOSEOUT: Reviewed attached documents showing that the door gap was corrected and that the employees were retrained on the importance of keeping doors closed-corrective action accepted 7/10/2021-RMG

COMPLETION DATE: 06/29/2021 **CLOSEOUT DATE:** 07/10/2021

- 12.1.4.2** Electric insect control devices, pheromone, or other traps and baits shall be located and operate so as not to present a contamination risk to the product, packaging, containers, or processing equipment. Poison rodenticide bait shall not be used inside ingredient of product storage areas where ingredients, packaging, and product are handled, processed, or exposed.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.1.5 Ventilation

No ventilation issues were noted during the facility walk-through. There is no cooking conducted in the facility.

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

RESPONSE: COMPLIANT

- 12.1.5.2** All ventilation equipment and devices in product storage and handling areas shall be adequately cleaned as per 12.2.5 and effectively sealed against dust, insects, and other pests as per 12.1.4.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not done.

12.1.6 Equipment and Utensils

There is no processing equipment in use. There is a small repack area that is used and consists of a stainless steel table and a sink. GMP practices are in use, and designated employees wear disposable smocks and hairnets when this area is in use. Hand wash facilities are adjacent to this area.

- 12.1.6.1** Specifications for equipment and utensils and procedures for purchasing equipment shall be documented and implemented.

RESPONSE: COMPLIANT

- 12.1.6.2** Equipment and utensils shall be designed, constructed, installed, operated, and maintained to meet any applicable regulatory requirements and not pose a contamination threat to products.

RESPONSE: COMPLIANT

- 12.1.6.3** Equipment storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers. Where possible, food contact equipment shall be segregated from non-food contact equipment.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 12.1.6.4** All equipment and utensils shall be cleaned (refer to 12.2.5.1) at a frequency to control contamination and stored in a clean and serviceable condition to prevent microbiological or cross-contact allergen contamination.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 12.1.6.5** Vehicles used in handling areas or in cold storage rooms shall be designed, cleaned, and operated so as not to present a food safety hazard.

RESPONSE: COMPLIANT

- 12.1.6.6** In addition to the above, locations handling exposed products and recouping products on-site shall have: i. Product contact equipment and utensils constructed of materials that are non-toxic, smooth, impervious and readily cleaned as per 12.2.5; ii. Clearly identified equipment and utensils that are used for inedible material; and iii. Clearly identified waste and overflow handling equipment and utensils. The waste material is discharged hygienically and according to local regulatory requirements.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not done.

12.1.7 Grounds and Roadways

No issues were noted with the facility exterior during the facility walk-through.

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

RESPONSE: COMPLIANT

- 12.1.7.2** 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.

RESPONSE: COMPLIANT

- 12.1.7.3** Surroundings shall be kept neat and tidy and shall not present a hazard to the hygienic and sanitary operation of the premises or provide harborage for pests.

RESPONSE: COMPLIANT

12.2.1 Repairs and Maintenance

A maintenance program [12.2.8 reviewed 3/9/19] is established and was reviewed. The program is primarily manual. There is no processing conducted and much of the maintenance is for refrigeration and forklift maintenance which is handled by outside contractors. Receipts were reviewed for refrigeration maintenance [AA Refrigeration] for April and May 2019. There is no processing conducted in the facility and paint is not used.

- 12.2.1.1** The methods and responsibility for the maintenance and repair of facility, equipment, and buildings shall be documented, planned, and implemented in a manner that minimizes the risk of product, packaging, or equipment contamination.

RESPONSE: COMPLIANT

- 12.2.1.2** The maintenance schedule shall be prepared to cover building, equipment, and other areas of the premises critical to the maintenance of product safety. Routine maintenance of plant and equipment in any food handling or storage area shall be performed according to a maintenance control schedule and recorded.

RESPONSE: COMPLIANT

- 12.2.1.3** Failures of facility and equipment in any food storage and handling area shall be documented, reviewed, and necessary repair incorporated into the maintenance control schedule.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.2.1.4** Site supervisors shall be notified when maintenance or repairs are to be undertaken in any food handling or storage area.

RESPONSE: COMPLIANT

- 12.2.1.5** The maintenance supervisor and the site supervisor shall be informed if any repairs or maintenance pose a potential threat to product safety (e.g., pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside operating times.

RESPONSE: COMPLIANT

- 12.2.1.6** Temporary repairs, where required, shall not pose a food safety risk and shall be included in the cleaning program. There shall be a plan in place to address completion of temporary repairs to ensure they do not become permanent solutions.

RESPONSE: COMPLIANT

- 12.2.1.7** Equipment located over exposed product shall be lubricated with food grade lubricants and their use controlled to minimize the contamination of the product.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.2.1.8** Paint used in a food handling or contact zone shall be suitable for use, in good condition (i.e., no chips), and shall not be used on any product contact surface.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.2.2 Maintenance Staff and Contractors

Visitors and contractor are given a copy of the facility GMP's prior to entering the facility and are required to comply with them when in the facility.

- 12.2.2.1** Maintenance staff and contractors shall comply with the site's personnel and process hygiene requirements (refer to 12.3).

RESPONSE: COMPLIANT

- 12.2.2.2** All maintenance staff and contractors required to work on-site shall be trained in the site's food safety and hygiene procedures or shall be escorted at all times until their work is completed. Records of training shall be documented and retrievable.

RESPONSE: COMPLIANT

- 12.2.2.3** Maintenance staff and contractors shall remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so that appropriate hygiene and sanitation can be completed and an inspection conducted prior to restarting site operations. The inspections shall be documented.

RESPONSE: COMPLIANT

12.2.3 Calibration

A calibration program [policy 12.2.3 revised 3/24/2021] is established and was reviewed. Calibration procedures are established and were reviewed for the thermometers. A procedure is included with the calibration policy stating that any thermometer not properly working will be re-calibrated or replaced. There were no issues observed with storage of calibrated equipment during the facility walk-through. The appropriate calibration standards and procedures are being used. Records of thermometer calibration are on file and were reviewed for both the outside calibration conducted by AA Refrigeration on May 1, 2021 as well as the weekly thermometer calibration log sheets for April, May and June 2021.

- 12.2.3.1** The methods and responsibility for calibration and re-calibration of measuring, testing, and inspection equipment used for monitoring activities outlined in prerequisite programs, food safety plans, and other process controls, or to demonstrate compliance with customer specifications, shall be documented and implemented. Software used for such activities shall be validated and secured as appropriate.

RESPONSE: COMPLIANT

- 12.2.3.2** Equipment shall be calibrated against national or international reference standards and methods or to an accuracy appropriate to its use. In cases where standards are not available, the site shall provide evidence to support the calibration reference method applied. A list of measuring, testing, and inspection equipment requiring calibration shall be maintained.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.2.3.4** Procedures shall be documented and implemented to address the disposition of potentially affected products should measuring, testing, and inspection equipment be found to be out of calibration state.

RESPONSE: COMPLIANT

- 12.2.3.5** A directory of measuring, testing, and inspection equipment requiring calibration and records of calibration tests shall be maintained.

RESPONSE: COMPLIANT

12.2.4 Pest Prevention

A pest control program is established and reviewed. This is provided weekly by Steritech and includes methods and responsibility for handling pest control. Target pests were identified and a current site plan that identifies the locations of the pest control devices was also included. Pest control records are maintained and were reviewed from March-June 2020. Pest control contractors are licensed by the State of California and these licenses are on file and current. Also, PCO providers are required to report to the plant management when on the premises. Unused pest control chemicals are handled by the pest control provider and pesticides are not stored on site. No live animals were observed on premises.

- 12.2.4.1** A documented pest prevention program shall be effectively implemented. It shall: i. Describe the methods and responsibility for the development, implementation, and maintenance of the pest prevention program; ii. Record pest sightings and trend the frequency of pest activity to target pesticide applications; iii. Outline the methods used to prevent pest problems; iv. Outline the pest elimination methods and the appropriate documentation for each inspection; v. Outline the frequency with which pest status is to be checked; vi. Include on a site map the identification, location, number, and type of applied pest control/ monitoring devices; vii. List the chemicals used. They are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available; viii. Outline the methods used to make staff aware of the bait control program and the measures required when they come into contact with a bait station; ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and x. Measure the effectiveness of the program to verify the elimination of applicable pests and identify trends.

RESPONSE: COMPLIANT

- 12.2.4.2** Pest contractors and/or internal pest controllers shall: i. Be licensed and approved by the local relevant authority; ii. Use only trained and qualified operators who comply with regulatory requirements; iii. Use only approved chemicals; iv. Provide a pest prevention plan (refer to 12.2.4.1), which includes a site map indicating the location of bait stations traps and other applicable pest control/monitoring devices; v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments; vi. Provide regular inspections for pest activity with appropriate action taken if pests are present, and vii. Provide a written report of their findings and the inspections and treatments applied.

RESPONSE: COMPLIANT

- 12.2.4.3** Pest activity risks shall be analyzed and recorded. Inspections for pest activity shall be undertaken on a regular basis by trained site personnel and the appropriate action taken if pests are present. Identified pest activity shall not present a risk of contamination to food products, raw materials, or packaging. Records of all pest control inspections and applications shall be maintained.

RESPONSE: COMPLIANT

- 12.2.4.4** Food products, raw materials, or packaging that are found to be contaminated by pest activity shall be effectively disposed of and the source of pest infestation investigated and resolved. Records shall be kept of the disposal, investigation, and resolution.

RESPONSE: COMPLIANT

- 12.2.4.5** Pesticides shall be clearly labeled and stored per 12.6.4 if kept on-site.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not stored on site.

- 12.2.4.6** No animals shall be permitted on-site in food handling or storage areas.

RESPONSE: COMPLIANT

12.2.5 Cleaning and Sanitation

Cleaning procedures are established and were reviewed for the racking and receiving areas [floor scrubbing]. Visual inspections are conducted and documented on the master cleaning schedule. No issues were noted with the chemical storage area. It was clean and kept locked when not in use and the chemicals are suitable for use in a distribution center. No issues were noted with the staff amenities. There is no food processing equipment or CIP equipment in use, however, completed warehouse sanitation activities are being documented on the master sanitation schedule. Due to small quantities of cleaning supplies used, as well as the small container sizes, empty containers are disposed of in the dumpster. Records of completed sanitation activities are being documented on the master sanitation schedule. These records were reviewed for May and June 2021.

- 12.2.5.1** The methods and responsibility for the effective cleaning of the food storage and handling areas, staff amenities, and toilet facilities shall be documented and implemented. Consideration shall be given to: i. What is to be cleaned; ii. How it is to be cleaned; iii. When it is to be cleaned; iv. Who is responsible for cleaning; v. Validation of cleaning procedures; vi. Methods used to confirm the correct concentrations of detergents and sanitizers, and vii. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

RESPONSE: COMPLIANT

- 12.2.5.2** Detergents and sanitizers shall be suitable for use in a food and storage and handling environment, labeled according to regulatory requirements, and purchased in accordance with applicable legislation. The organization shall ensure: i. The site maintains a list of chemicals approved for use; ii. An inventory of all chemicals purchased and used is maintained; iii. Detergents and sanitizers are stored as outlined in element 12.6.4; iv. Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased; and v. Only trained staff handle sanitizers and detergents.

RESPONSE: COMPLIANT

- 12.2.5.3** Detergents and sanitizers that have been mixed for use shall be correctly mixed according to manufacturers' instructions, stored in containers that are suitable for use, and clearly identified. Mix concentrations shall be verified and records maintained.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.2.5.5** Cleaning equipment, tools, racks, and other items used in support of the cleaning and sanitizing program shall be clearly identified, stored, and maintained in a manner that prevents contamination of processing, product handling equipment, and storage areas as well as the tools themselves.

RESPONSE: COMPLIANT

- 12.2.5.6** Staff amenities, sanitary facilities, and other essential areas shall be inspected by qualified personnel to ensure the areas are clean and at a defined frequency.

RESPONSE: COMPLIANT

- 12.2.5.7** Records of cleaning and sanitation activities, verification, and inspections shall be maintained.

RESPONSE: COMPLIANT

- 12.2.5.8** Staff amenities, sanitary facilities, and other essential areas shall be inspected by qualified personnel at a defined frequency to ensure the areas are clean.

RESPONSE: COMPLIANT

12.3.1 Personnel Welfare

There were no ill employees or employees observed with open wounds during the facility walk-through. Facility GMP's prohibit employees who are ill or have open wounds from working in food processing areas.

- 12.3.1.1** Personnel suffering from infectious diseases or who are carriers of any infectious disease shall be restricted from working on the site 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 or there is a risk of contamination of food.

RESPONSE: COMPLIANT

- 12.3.1.2** The site shall have measures in place to prevent contact of materials, ingredients, food packaging, food, or food contact surfaces from any bodily fluids from open wounds, coughing, sneezing, spitting, or any other means. In the event of an injury that causes spillage of bodily fluid, a properly trained staff member shall ensure that all affected areas, including handling and storage areas, have been adequately cleaned and that all materials and products have been quarantined and/or disposed of.

RESPONSE: COMPLIANT

- 12.3.1.3** Personnel with exposed cuts, sores, or lesions shall not engage in handling exposed products, recoup, repack or processing products, or handling primary packaging or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a protective bandage or alternative suitable dressing. A colored bandage or alternative suitable waterproof and colored dressing is recommended for handling exposed products, recoup, or repack processes.

RESPONSE: COMPLIANT

12.3.2 Handwashing

Hand wash basins are provided and are located in accessible locations. This is not a high-risk process. They are made of stainless steel and have been equipped with liquid soap, paper towels, trash receptacles and potable water of an appropriate temperature. Hand-wash signage is posted. Personnel were observed to have clean hands

- 12.3.2.1** All personnel shall have clean hands and hands shall be washed by all staff, contractors, and visitors; i. On entering food handling, storage, and processing areas; ii. After each visit to a toilet; iii. After using a handkerchief; iv. After smoking, eating, or drinking; and v. After sneezing or coughing.

RESPONSE: COMPLIANT

- 12.3.2.2** Handwash stations shall be available and accessible as required.

RESPONSE: COMPLIANT

- 12.3.2.3** Handwash stations shall be constructed of stainless steel or similar non-corrosive material and at a minimum supplied with: i. A potable water supply at an appropriate temperature; ii. Liquid soap; iii. Paper towels; and iv. A means of containing used paper towels. An effective hand dryer may be used in instances where there is no direct hand contact of food or food contact surfaces.

RESPONSE: COMPLIANT

- 12.3.2.4** Signage in appropriate languages instructing people to wash their hands shall be provided in a prominent position.

RESPONSE: COMPLIANT

- 12.3.2.5** When gloves are used, personnel shall maintain the handwashing practices outlined above.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.3.3 Clothing and Personal Effects

No issues were noted with the uniforms used by employees. There is no processing conducted in the facility, and disposable lab coats and hairnets are used in the repack area when it is operation. There were no employees observed wearing jewelry.

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

RESPONSE: COMPLIANT

- 12.3.3.2** Clothing, including shoes, shall be clean at the commencement of each shift and maintained in a serviceable condition.

RESPONSE: COMPLIANT

- 12.3.3.3** Protective clothing shall be manufactured from material that will not pose a food safety threat and is easily cleaned.

RESPONSE: COMPLIANT

- 12.3.3.4** Jewelry and other loose objects shall not be worn or taken into a food handling or processing operation or any area where food is exposed. The wearing of plain bands with no stones, prescribed medical alert bracelets, or jewelry accepted for religious or cultural reasons can be permitted, provided it is properly covered and does not pose a food safety risk. All exceptions shall meet regulatory and customer requirements and shall be subject to a risk assessment and evidence of ongoing risk management.

RESPONSE: COMPLIANT

12.3.4 Visitors

Visitors are required to wear clean clothing and comply with the GMP's and given a hairnet if entering the facility. Visitors are escorted when in the facility and are required to use the designated entry and exit points, and if they are ill, are not permitted entry into the facility.

- 12.3.4.1** All visitors shall be required to comply with all Good Storage and Distribution Practices and hygiene standards required by the site, including those applying to clothing and personal effects, hand-washing, and illness (refer to 12.3.1, 12.3.2 and 12.3.3).

RESPONSE: COMPLIANT

- 12.3.4.2** All visitors, including management staff, shall wear suitable clothing and footwear when entering any food storage and handling area.

RESPONSE: COMPLIANT

- 12.3.4.3** Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or processed (refer to 12.3.1).

RESPONSE: COMPLIANT

- 12.3.4.4** Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all handwashing and personnel practice requirements.

RESPONSE: COMPLIANT

- 12.3.4.5** All visitors shall be trained in the site's food safety and hygiene procedures before entering any food processing or handling areas or shall be escorted at all times in food handling and storage areas.

RESPONSE: COMPLIANT

- 12.3.4.6** The site shall have a documented procedure for how driver access is managed to minimize food safety risk and designated driver areas are maintained to prevent food contamination or other food safety risks.

RESPONSE: COMPLIANT

12.3.5 Staff Amenities (change rooms, toilets, break rooms)

No issues were noted with the change areas. Employees who work in the repack area wear disposable smocks when working in this area. Employee rest rooms were observed to be clean and well maintained. They are not connected to other drains in the facility and hand-wash basins are located in the rest rooms. Lunch rooms are not located near processing areas. They were observed to be clean and well lit, and had hand-wash signage posted. The outside eating areas were well maintained.

- 12.3.5.1** Staff amenities shall have documented cleaning procedures, be supplied with appropriate lighting and ventilation, and shall be made available for the use of all persons engaged in the handling and processing of product.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.3.5.3** Toilet rooms shall be: i. Designed and constructed so that they are accessible to staff and separate from any food handling operations; ii. Accessed from the warehouse or food handling area via an airlock vented to the exterior or through an adjoining room; iii. Sufficient in number for the maximum number of staff; iv. Constructed so that they can be easily cleaned and maintained; and v. Kept clean and tidy.

RESPONSE: COMPLIANT

- 12.3.5.4** 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 to minimize the potential for contamination.

RESPONSE: COMPLIANT

- 12.3.5.5** Handwash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 12.3.2.2.

RESPONSE: COMPLIANT

- 12.3.5.6** Separate break room facilities shall be provided away from a food handling or storage areas. Break rooms shall be kept clean and tidy and free from waste materials and pests.

RESPONSE: COMPLIANT

- 12.3.5.7** Where outside eating areas are provided, they shall be kept clean and free from waste materials and maintained in a manner that minimizes the potential for introduction of contamination including pests to the site.

RESPONSE: COMPLIANT

- 12.3.5.8** Signage in languages understood by staff advising people to wash their hands before entering the food storage areas shall be provided in a prominent position in break rooms and break room exits.

RESPONSE: COMPLIANT

12.4.1 Personnel Processing Practices

During the walk-through, personnel were observed following facility protocols on access to processing and handling areas. No employees were observed smoking, eating or drinking in food storage areas. There is no food processing conducted in this facility.

- 12.4.1.1** All personnel shall comply with the following practices; i. Personnel entry to food handling areas shall be through the personnel access doors only; ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access is required for waste removal or stock transfer; iii. The wearing of false fingernails or fingernail polish is not permitted when handling exposed food; iv. Materials and products shall be kept in appropriate containers as required and off the floor; v. Waste shall be contained in the bins identified for this purpose and removed from the operational area on a regular basis and not left to accumulate; vi. Staff shall not eat or taste any product in the food storage or handling area; vii. Smoking, chewing, eating, or spitting is not permitted in any food handling or storage areas; and viii. Drinking of water is permissible only under conditions that prevent contamination or other food safety risks from occurring. Drinking water containers shall be stored in clear, covered containers, and used in designated areas only.

RESPONSE: COMPLIANT

- 12.4.1.2** 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.

RESPONSE: COMPLIANT

12.5.1 Water Supply

There is an adequate supply of hot and cold water supplied to the site by the City of Ontario, CA. Back-flow preventers are installed and there is no water storage or use of non-potable water.

- 12.5.1.1** Adequate supplies of water drawn from a known clean source shall be provided for use during holding, storage and cleaning of the premises and equipment.

RESPONSE: COMPLIANT

- 12.5.1.2** Contingency plans shall be in place for instances when the potable water supply is deemed to be contaminated or otherwise inappropriate for use.

RESPONSE: COMPLIANT

- 12.5.1.3** Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

RESPONSE: COMPLIANT

- 12.5.1.4** The delivery of water within the premises shall ensure potable water is not contaminated. Testing of the backflow system, where possible, shall be conducted at least annually and records shall be maintained.

RESPONSE: COMPLIANT

- 12.5.1.5** The use of non-potable water shall be controlled such that: i. There is no cross-contamination between potable and non-potable water lines; ii. Non-potable water piping and outlets are clearly identified; and iii. Hoses, taps, and other similar sources of possible contamination are designed to prevent back flow or back siphonage.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 12.5.1.6** Where water is stored on-site, storage facilities shall be adequately designed, constructed, and routinely cleaned to prevent contamination.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not done.

12.5.2 Water and Ice Quality

Water is compliant with national drinking water standards. It was checked for potability on 5/6/2021 using SM-9221B methodology and the water is potable.

- 12.5.2.1** Microbiological analysis of the water and ice supply that comes into contact with food or food contact surfaces shall be conducted to verify the cleanliness of the supply, the monitoring activities, and the effectiveness of the treatment measures implemented. Verification, at minimum, shall be made annually. Water treatment equipment shall be monitored regularly to ensure it remains serviceable.

RESPONSE: COMPLIANT

- 12.5.2.2** Water and ice shall be analyzed using reference standards and methods.

RESPONSE: COMPLIANT

- 12.5.2.3** Ice rooms and receptacles shall be constructed of materials as outlined in elements 12.1.2 and designed to minimize contamination of the ice during storage and distribution.

RESPONSE: COMPLIANT

12.5.3 Air and Other Gases

No use of compressed gas.

12.5.3.1 Compressed air or other gases (e.g. nitrogen, carbon dioxide) that contact food or food contact surfaces shall be clean and present no risk to food safety.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.5.3.2 Compressed air systems and systems used to store or dispense other gases used in food storage and distribution process shall be maintained and regularly monitored for quality and applicable food safety hazards.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.6.1 Receipt, Storage and Handling of Goods

FIFO is used. No issues were noted with the storage areas. There is no processing or use of temporary storage. Damaged outer cases of product were observed in location D0967-1A and D0824-1B.

12.6.1.1 The site shall implement an effective storage plan that allows for the safe, hygienic storage of ice, food products (frozen, chilled, and ambient), packaging, equipment, and chemicals.

RESPONSE: MINOR

EVIDENCE: Damaged outer cases of product were observed in location D0967-1A and D0824-1B.

ROOT CAUSE: Damage case was not remove from location D0967-1A and D0824-1B

CORRECTIVE ACTION: on 6/29/2021 Inventory control had a meeting to remind Inventory team to removed damaged product after counting the locations during inventory counts.

VERIFICATION OF CLOSEOUT: Reviewed attached documents showing that the damaged cases were removed and that employees were given training on removing damaged cases from inventory-corrective action accepted 7/10/2021-RMG

COMPLETION DATE: 06/29/2021 **CLOSEOUT DATE:** 07/10/2021

12.6.1.2 Dry food products shall be received and stored in a way to prevent cross-contamination with frozen and chilled products.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.6.1.4 Procedures shall be in place to ensure that all food products and recouped products are utilized within their designated shelf life.

RESPONSE: COMPLIANT

12.6.1.5 Where goods are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods, or contamination, or adverse effects on food safety.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.6.1.6 Records shall be available to verify alternate or temporary control measures for storage of raw materials, ingredients, packaging, equipment, chemicals, or finished products.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

12.6.1.7 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 cleaned at a predetermined frequency.

RESPONSE: COMPLIANT

12.6.2 Cold Storage, Freezing and Chilling of Foods

A continuous temperature monitoring system is used to monitor temperatures in the facility and there is sufficient freezer, cooler and ambient temperature storage. Both the freezer and the cooler have been equipped with temperature sensors which are checked and calibrated monthly. There were no issues observed with the docks or discharge and loading and unloading areas were clean and well maintained. Temperatures are also manually checked on a daily basis. Records were reviewed for May and June 2021. There is no slacking or thawing conducted.

- 12.6.2.1** The site 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 and shall be easily accessible for inspection and cleaning.

RESPONSE: COMPLIANT

- 12.6.2.2** 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.6.2.4** The site shall have a written procedure for monitoring temperatures of storage rooms, including the frequency of checks, and corrective actions if the temperature is out of specification. Cold and chilled storage rooms shall be fitted with temperature monitoring equipment, located to monitor the warmest part of the room, and be fitted with a temperature measurement device that is easily readable and accessible. Records shall be kept of frozen, cold, and chilled storage room temperatures.

RESPONSE: COMPLIANT

- 12.6.2.5** Procedures shall be in place to identify the methods and responsibilities used to ensure that processes applied to materials prior to distribution (e.g. thawing, slacking, labeling) do not pose a risk to product safety or loss of traceability.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not done.

12.6.3 Storage of Dry Goods

During the facility walk-through, dry goods were observed to be stored separate from frozen and refrigerated items.

- 12.6.3.1** Dry goods shall be located away from wet areas to protect the product from contamination and deterioration and to prevent packaging from becoming a harborage for pests or vermin.

RESPONSE: COMPLIANT

12.6.4 Storage of Hazardous Chemicals and Toxic Substances Used On-site

Cleaning chemicals are stored in a designated area that was observed to be secured when not in use.

- 12.6.4.1** Hazardous chemicals, toxic substances, and pesticides that are for use on the site with the potential for food contamination shall be: i. Used only according to manufacturers' instructions; ii. Controlled to prevent contamination or a food safety hazard to raw material, packaging, work-in-progress, finished product, or product contact surfaces; iii. Included in a current register of all hazardous chemicals and toxic substances that are stored on-site; iv. Supplemented with a current Safety Data Sheet (SDS) made available to all staff; v. Controlled to track usage and ensure return to the appropriate storage areas after use; vi. Be compliant with national and local legislation; and vii. Used so that there is no cross-contamination between chemicals.

RESPONSE: COMPLIANT

- 12.6.4.2** Hazardous chemicals and toxic substances shall be stored: i. In an area with appropriate signage; ii. Accessible only by personnel trained in the storage and use of chemicals; iii. Separated from the distribution storage area so as not to present a hazard to staff, product, packaging, or product handling equipment; iv. In their original containers, or in clearly labeled secondary containers if allowed by applicable legislation; and v. Stored so that there is no cross-contamination between chemicals.

RESPONSE: COMPLIANT

- 12.6.4.3** Personnel who handle hazardous chemicals and toxic substances, including pesticides and cleaning chemicals: i. Shall be fully trained in their purpose, storage, handling, and use; ii. Be provided first aid equipment and personnel protective equipment; and iii. Ensure compliance with the proper identification, storage, usage, disposal, and clean-up requirements.

RESPONSE: COMPLIANT

- 12.6.4.4** The site shall dispose of unused chemicals and empty containers in accordance with regulatory requirements and ensure that: i. Empty chemical containers are not reused; ii. Empty containers are labeled, isolated, and securely stored while awaiting collection; and iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

RESPONSE: COMPLIANT

- 12.6.4.5** In the event of a hazardous spill, the site shall: i. Have spillage clean-up instructions to ensure that the spill is properly contained; and ii. Be equipped with spillage kits and cleaning equipment.

RESPONSE: COMPLIANT

12.6.5 Loading, Transport, and Staging Practices

No issues were noted with the loading practices. Vehicle inspection records are maintained with random trailer inspection records reviewed for May and June 2021. Trailer inspection records that were reviewed indicated that the correct temperatures were being maintained. This is a food wholesale and distribution facility. Policy 12.6 indicates that products are required to be kept in the correct temperature range. Vehicle inspection records that were reviewed indicated the trailer condition and temperature. Per the policy, trailer temperatures and settings are being checked and documented on the outbound checklist. There were no issues observed with the unloading practices.

- 12.6.5.1** The practices applied during loading, transport, and unloading of food products and materials shall be documented, implemented, and designed to maintain appropriate storage conditions and product integrity. Practices shall protect against contamination from biological, chemical, and physical hazards, and under conditions that prevent cross-contamination.

RESPONSE: COMPLIANT

- 12.6.5.2** Sites shall have a procedure in place that is documented and implemented to ensure trailers are inspected prior to receiving shipments or loading to ensure that the trailer is in good repair, clean, secured and at the required environmental condition and temperature.

RESPONSE: COMPLIANT

- 12.6.5.3** Vehicles (e.g. 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.

RESPONSE: COMPLIANT

- 12.6.5.4** Receiving, staging, loading, and unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product integrity.

RESPONSE: COMPLIANT

- 12.6.5.5** Where applicable, food transport vehicles' refrigeration units shall maintain the food at the required temperatures and the units' temperature settings shall be set, checked, and recorded before loading and product temperatures monitored at regular intervals during loading as appropriate. The refrigeration units shall be operational at all times and checks shall be completed of the units' operation, the door seals, and the storage temperature at regular intervals during transit.

RESPONSE: COMPLIANT

- 12.6.5.6** Upon arrival and prior to opening the doors, the food transport vehicles' refrigeration unit storage temperature settings and operating temperature shall be checked and recorded. Receiving shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

RESPONSE: COMPLIANT

12.7.1 High-Risk Processes

There is no food processing conducted in this facility.

- 12.7.1.1** The process flow shall be designed to prevent cross-contamination and organized so there is a continuous flow of product through the process. The flow of personnel shall be managed such that the potential for contamination is minimized.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

12.7.2 Control of Foreign Matter Contamination

A foreign material control policy [12.7 reviewed 3/9/19] is established and was reviewed. The program addresses glass, wood pallets and temporary repairs. Inspections are conducted as part of monthly self-audits and also included on the master sanitation schedule. Completed glass audits were reviewed for January, April and June 2021. A glass breakage procedure has been included with the glass policy. There were no issues observed with the wood pallets being used. This is a food wholesaling facility and there is no food production equipment used

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

RESPONSE: COMPLIANT

- 12.7.2.2** Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not been detached or become damaged or deteriorated.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.7.2.3** 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.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.7.2.4** Where glass objects or similar material are required to be used by the site in storage and handling areas, they shall be listed in a glass inventory including details of their location.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.7.2.5** Product that is in glass or similar material that is for distribution purposes shall be stored and handled in a manner that prevents contamination.

RESPONSE: COMPLIANT

- 12.7.2.6** Regular inspections of storage and handling zones shall be conducted (refer to 2.5.4.3) to ensure they are free of glass or other like material and to establish changes to the condition of the objects listed in the glass inventory.

RESPONSE: COMPLIANT

- 12.7.2.7** Glass instrument dial covers on equipment and MIG thermometers shall be inspected at regular intervals.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

- 12.7.2.8** Pallets used in food storage shall be made of a suitable material, dedicated for that purpose, clean, maintained in good order, and their condition subject to regular inspection.

RESPONSE: COMPLIANT

- 12.7.2.9** Wooden pallets and other wooden utensils used in food handling areas shall be dedicated for that purpose, clean, and maintained in good order. Their condition shall be subject to regular inspection.

RESPONSE: NOT APPLICABLE

EVIDENCE: There is no food processing conducted in this facility.

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

RESPONSE: COMPLIANT

12.7.3 Managing Foreign Matter Contamination Incidents

This was included in the glass policy that was reviewed.

- 12.7.3.1** In all cases of foreign matter contamination the affected food product shall be isolated, inspected, reworked, or disposed of.

RESPONSE: COMPLIANT

- 12.7.3.2** In circumstances where glass or similar material breakage occurs, the affected area shall be isolated, cleaned, and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person.

RESPONSE: COMPLIANT

12.8.1 Waste Disposal

No issues were observed with the methods being used to collect and handle dry and liquid waste. There were no waste build-up noted or issues with waste disposal equipment being used. Waste, including trademarked materials, was being properly handled and disposed of. Daily inspections and monthly self-audits are conducted and were reviewed in other sections of this audit.

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

RESPONSE: COMPLIANT

- 12.8.1.2** Waste shall be removed on a regular basis and not allowed to build up in food handling or storage areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until external waste collection is undertaken.

RESPONSE: COMPLIANT

- 12.8.1.3** 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.

RESPONSE: COMPLIANT

- 12.8.1.4** Where applicable, a documented procedure shall be in place for the controlled disposal of trademarked materials. Where a contracted disposal service is used, the disposal process shall be reviewed regularly to confirm compliance.

RESPONSE: COMPLIANT

- 12.8.1.5** Inedible waste designated for animal feed shall be stored and handled so that it will not cause a risk to the animal or further processing. If denaturant is used to identify inedible waste, it shall be demonstrated that it does not pose a risk to animal health.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.

- 12.8.1.6** Reviews of the effectiveness of waste management will form part of regular hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports (refer to 2.5.4.3).

RESPONSE: COMPLIANT

- 12.8.1.7** A procedure shall be in place to ensure drainage wastewater is effectively removed from the storage areas (refer to 12.1.2.2). If stored and/or treated on the premises, it shall be stored in a separate storage facility and suitably contained. Inspections of the drainage system and wastewater storage shall be included in the regular site inspections (refer to 2.5.4.3).

RESPONSE: NOT APPLICABLE

EVIDENCE: Not used.



CERTIFICATE OF REGISTRATION

SAI Global, accredited Certification Body No Z1440295AS certifies that:

GOLD STAR FOODS INC.

3781 E Airport Drive, Ontario, California 91761-1570, USA

is registered as meeting the requirements of the

**SQF CODE A HACCP-BASED SUPPLIER ASSURANCE CODE FOR THE FOOD
INDUSTRY 8.1 EDITION**

Food Safety Code for Storage and Distribution

for the following scope

- 26. Food Storage and Distribution: Frozen foods
- 26. Food Storage and Distribution: Frozen fruit
- 26. Food Storage and Distribution: Frozen vegetables
- 26. Food Storage and Distribution: Dry foods
- 25. Repackaging of products not manufactured onsite: Fruits and vegetables

Certificate No: 19858
Current Registration: July 20, 2020
Date of Audit: June 16-18, 2020

SQF No: 19858
Expires: August 3, 2021
Date of Next Audit: May 20, 2021

Authorized by:
Heather Mahon
Global Head of Technical Services
SAI Global Assurance



Registered by:

SAI Global Certification Services Pty Ltd (ACN 108 716 669) 680 George Street Sydney NSW 2000 Australia with SAI Global Limited 680 George Street Sydney NSW 2000 Australia ("SAI Global") and subject to the SAI Global Terms and Conditions for Certification. While all due care and skill was exercised in carrying out this assessment, SAI Global accepts responsibility only for proven negligence. This certificate remains the property of SAI Global and must be returned to SAI Global upon its request. To verify that this certificate is current please refer to SAI Global On-Line Certification register at https://www.sai-global.com/en-us/assurance/auditing_and_certification/certification_registry/





SQF Food Safety Audit Edition 8.1

Gold Star Foods - Gold Star Foods

Summary

AUDIT DECISION
CERTIFIED

CERTIFICATION NUMBER
19858 | 114263

AUDIT RATING

DECISION DATE
07/20/2020

AUDIT TYPE
RECERTIFICATION



Good

RECERTIFICATION DATE
05/20/2021

AUDIT DATES
06/16/2020 - 06/18/2020

EXPIRATION DATE
08/03/2021

ISSUE DATE
07/20/2020

Facility & Scope

Gold Star Foods (49015)

Gold Star Foods
3781 East Airport Drive
Ontario, CA 91761
United States

Food Sector Categories:

25. Repackaging of products not manufactured on site.
26. Food Storage and Distribution

Products:

26. Food Storage and Distribution: Frozen foods 26. Food Storage and Distribution: Frozen fruit 26. Food Storage and Distribution: Frozen vegetables 26. Food Storage and Distribution: Dry foods 25. Repackaging of products not manufactured onsite: Fruits and vegetables

Scope of Certification:

26. Food Storage and Distribution: Frozen foods 26. Food Storage and Distribution: Frozen fruit 26. Food Storage and Distribution: Frozen vegetables 26. Food Storage and Distribution: Dry foods 25. Repackaging of products not manufactured onsite: Fruits and vegetables

Certification Body & Audit Team

SAI Global

680 George Street
Sydney, NSW
Australia

CB#: CB-1-SAI

Accreditation Body: JAS-ANZ

Accreditation Number: Z1440295AS

Lead Auditor: Jones, Dylan (10504)

Technical Reviewer: Janicka, Justyna (206926)

Hours Auditing: 20

Hours Writing Report: 6

Non-Conforming

2.1.2 Management Responsibility (Mandatory)

The site has a documented Management responsibility policy dated 5/20/2020. The purpose is to define the structural responsibilities required to implement and maintain an effective SQF system. The training need are outlined in the site's training requirements policy dated 4/20/2020. The organization structure is signed and dated 5/18/2020. Job description of key personnel are maintained.

- 2.1.2.8 Job descriptions for those responsible for food safety shall be documented and include a provision to cover for the absence of key personnel.

RESPONSE: MINOR

EVIDENCE: Provision to cover for the absence of all key personnel are not documented. Back-ups are not documented for the warehouse manager and Inventory Control Supervisor

ROOT CAUSE: When reviewing the SQF Code we miss the provision to cover for the absence of a key personnel.

CORRECTIVE ACTION: Job Descriptions have been reviewed by HR department and key personnel back up have been included. ICS is the backup to the IC control Manager. Warehouse manager is the backup to Director of the Warehouse.

VERIFICATION OF CLOSEOUT: Back-ups documented on the job description-Dylan Jones

COMPLETION DATE: 06/23/2020 **CLOSEOUT DATE:** 07/16/2020

2.1.5 Crisis Management Planning

The site has a documented Crisis Management Planning policy dated 10/17/19. The purpose is to provide a comprehensive method of managing a problem, crisis, disaster or pandemic that may impact our ability to deliver safe, quality food. The site also has a documented Disaster and Emergency Plan dated 3/20/20. In the event of a natural disaster the site will provide or arrange for the provision of food and food related products. The crisis management test is dated 4/7/2020.

- 2.1.5.2 The crisis management 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 does not compromise product safety; 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, including supply chain customers; vii. Sources of legal and expert advice; and viii. The responsibility for internal communications and communicating with authorities, external organizations and media.

RESPONSE: MINOR

EVIDENCE: No documentation that the crisis management team has been trained.

ROOT CAUSE: Crisis Management team was not trained.

CORRECTIVE ACTION: On 6/30/2020 The Crisis Management team was trained for Covid-19 in the workplace and Gold Star Foods procedures. How to handle and manage different type of cases.

VERIFICATION OF CLOSEOUT: training documented-Dylan Jones

COMPLETION DATE: 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

2.2.2 Document Control (Mandatory)

The site has a documented document control policy dated 10/18/19. The purpose is to define the methods and responsibility for maintaining document control and to ensure staff has access to the most current documents. The amendments/ revision history to documents are maintained at the end of each document.

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

RESPONSE: MINOR

EVIDENCE: Several policies/procedures dates did not match the dates on the register. And the Disaster and Emergency plan dated 2/18/14 is not on the register.

ROOT CAUSE: The table of contents was not properly reviewed separately from our other site. Showing different dates, also forgot to add a document.

CORRECTIVE ACTION: on 06/30/2020 Table of contents was reviewed several dates have been corrected. The Disaster and Emergency plan that was created 2/8/14 and last updated 3/20/20 was also added.

VERIFICATION OF CLOSEOUT: Register updated-Dylan Jones

COMPLETION DATE: 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

2.4.3 Food Safety Plan (Mandatory)

The site has a documented Food Safety Plan. The food safety plan is developed and maintained by a multidisciplinary team that includes the SQF practitioner. The plan is written part HACCP and part HARPC. The site receives frozen, refrigerated and ambient products. The flow chart is sign and dated 1/23/2020 with CPs noted at Receiving, Storage (frozen/chilled), Transport, and Delivery. The Hazard Analysis Risk Based Preventative controls are documented and includes the monitoring of the CCP (if applicable) or CP (if applicable). The sites Hazard Analysis has indicated no CCPs. The CPs are indicated at Receiving Products: Chilled $\leq 40^{\circ}\text{F}$ and Frozen products $\leq 20^{\circ}\text{F}$. Storage: Coolers products Chilled $\leq 40^{\circ}\text{F}$ and Frozen products $\leq 20^{\circ}\text{F}$ Frequency checks weekly and Chilled $\leq 40^{\circ}\text{F}$ and Frozen products $\leq 20^{\circ}\text{F}$ Frequency 3 time/daily. Transport (monitoring actual temperature of refer unit during transport): Chilled $\leq 41^{\circ}\text{F}$. Delivery Chilled $\leq 40^{\circ}\text{F}$ and Frozen products $\leq 20^{\circ}\text{F}$. The frequency, records, corrective action and Responsibility are documented. The annual review is dated 1/23/2020.

2.4.3.5 Product descriptions shall be developed and documented for all products included in the scope of the food safety plans. This shall reference the finished product specifications (refer to 2.3.5.1) plus any additional information relevant to product safety, such as pH, water activity, and/or composition.

RESPONSE: MINOR

EVIDENCE: The Product descriptions page is missing from the plan.

ROOT CAUSE: Product description page is not on the plan.

CORRECTIVE ACTION: On 06/30/2020 Product description page was added identifying Product Name, Intended for, Shelf Life and where will it be sold.

VERIFICATION OF CLOSEOUT: Product description page documented- Dylan Jones

COMPLETION DATE: 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

2.4.3.13 The food safety team shall develop and document procedures to monitor CCPs to ensure they remain within the established limits (refer to 2.4.3.12). Monitoring procedures shall identify the personnel assigned to conduct testing, the sampling and test methods, and the test frequency.

RESPONSE: MINOR

EVIDENCE: 1) The monitoring (CPs, frequency, records, corrective action) for Frozen products at transport is not documented. 2) The delivery process step: the preventive controls (monitoring temperature of the trailer at delivery) does not match the control limit (monitoring ingredients- Chilled ingredients $\leq 40^{\circ}\text{F}$ and Frozen ingredients $\leq 20^{\circ}\text{F}$).

ROOT CAUSE: Missing Temperature process for transport and Delivery.

CORRECTIVE ACTION: on 6-30-2020 Process Transport has been added to meet the temp at Chilled ingredients $\leq 41^{\circ}\text{F}$ and Frozen ingredients $\leq 20^{\circ}\text{F}$ for both transport and Delivery process step on page 10 of the plan.

VERIFICATION OF CLOSEOUT: The monitoring page has been updated-Dylan Jones

COMPLETION DATE: 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

2.4.3.16 Implemented food safety plans shall be verified as part of SQF System verification (refer to 2.5).

RESPONSE: MINOR

EVIDENCE: The verification process is not documented in the plan

ROOT CAUSE: We had a person responsible but no one to verify the plan.

CORRECTIVE ACTION: On 6/30/2020 we added a column for verification. The Director of safety HACCP will be responsible for verification of the plan.

VERIFICATION OF CLOSEOUT: The monitoring page has been updated-Dylan Jones

COMPLETION DATE: 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

2.7.1 Food Defense Plan (Mandatory)

The site has a documented Food Defense Plan dated 5/22/20. The purpose is to define the methods, responsibility, and criteria of preventing food adulteration caused by deliberate act of sabotage or terrorist like incident. The policy includes but is not limited to the site security team, facility access and authorized personnel, employee, receiving of goods, hazardous chemicals, and security training. The site also completed an Industry self-assessment checklist for Food Security. Dated 4/14/2020.

2.7.1.3 The food defense plan shall be reviewed and challenged at least annually.

RESPONSE: MINOR

EVIDENCE: The site completed an Industry self-assessment checklist for Food Security. This is not a challenge of the food defense plan.

ROOT CAUSE: Confusion we conducted a self-assessment checklist for Food Security to the Food Defense Plan. It needed to be challenged.

CORRECTIVE ACTION: Personnel was challenged for a suspicious package / Bomb Threat. The test started 6/18/2020 to 6/19/2020. Packages were placed in several locations around the company. Training was conducted and safety alerts to make everyone aware of suspicious packages.

VERIFICATION OF CLOSEOUT: The food defense was challenged-Dylan Jones

COMPLETION DATE: 06/24/2020 **CLOSEOUT DATE:** 07/16/2020

2.9.7 Training Skills Register

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

2.9.7.1 A training skills register describing who has been trained in relevant skills shall be maintained. The register shall indicate the: i. Participant name; ii. Skills description; iii. Description of the training provided; iv. Date training completed; v. Trainer or training provider; and vi. Supervisor's verification that the training was completed, and that the trainee is competent to complete the required tasks.

RESPONSE: MINOR

EVIDENCE: Trainer or training provider and Supervisor's verification are not documented on the register.

ROOT CAUSE: When reviewing the SQF code we miss Trainer and Supervisor's verification are not documented on the training register.

CORRECTIVE ACTION: On 6-19-2020 we added a column to the training registry that indicates who is the trainer and who is the employee Supervisor.

VERIFICATION OF CLOSEOUT: Training register updated-Dylan Jones

COMPLETION DATE: 06/19/2020 **CLOSEOUT DATE:** 07/16/2020

12.2.9 Calibration

The calibration program is dated 3/9/19. The calibration and re-calibration of equipment used for monitoring activities outlined in the pre-requisite programs, food safety plans and other process controls. The annually and weekly calibration methods are outlined in the policy. Records sighted: Thermometer Calibration Log dated 11/15/19, 3/6/2020, 5/8/2020

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

RESPONSE: MINOR

EVIDENCE: Procedures is not documented and implemented to address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state.

ROOT CAUSE: The following was not address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state.

CORRECTIVE ACTION: On 6/19/2020 calibration procedure scope has been change. If a thermometer is discovered out of calibration the product that was tested will be put on QC Hold. Product will be re temp, if temperature test is good product will be released. Faulty Thermometer will be trashed

VERIFICATION OF CLOSEOUT: The calibration procedure was updated-Dylan Jones

COMPLETION DATE: 06/19/2020 **CLOSEOUT DATE:** 07/16/2020

12.2.10 Pest Prevention

The pest preventive scope of service is documented. The site map is sign and dated 6/11/2020, The business license expires 12/31/2021, and the applicator license expires on 6/30/21. The material list with brand names and EPA number is maintained. The SDS are on file. Records sighted Service inspection report verified (product application summary, condition/observation, pest activity) dated 5/21/2020, 4/23/2020, 2/28/2020

- 12.2.10.4** The pest prevention program shall: i. Describe the methods and responsibility for the development, implementation and maintenance of the pest prevention program; ii. Record pest sightings and trend the frequency of pest activity to target pesticide applications; iii. Outline the methods used to prevent pest problems; iv. Outline the pest elimination methods; v. Outline the frequency with which pest status is to be checked; vi. Include on a site map the identification, location, number and type of bait stations set; vii. List the chemicals used (they are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available); viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come into contact with a bait station; ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and x. Measure the effectiveness of the program to verify the elimination of applicable pests.

RESPONSE: MINOR

EVIDENCE: Outline the methods used to make staff aware of the bait control program and the measures to take when they come into contact with a bait station is not documented

ROOT CAUSE: No methods use to make staff aware of bait control program and no measures what to do if in contact with a bait station.

CORRECTIVE ACTION: on 6/23/2020 Management of Pest and Vermin was updated to make sure the staff was aware of the Bait Control Program and also what to do if they come in contact with a bait station.

VERIFICATION OF CLOSEOUT: Management of Pest and Vermin was updated

COMPLETION DATE: 06/23/2020 **CLOSEOUT DATE:** 07/16/2020

Audit Statements

SQF Practitioner Name	Name the designated SQF Practitioner RESPONSE: Jaime Anguiano
SQF Practitioner Email	Email of the designated SQF Practitioner RESPONSE: jamleanguiano@goldstarfoods.com
Opening Meeting	People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by commas) RESPONSE: Jaime Anguiano: Safet facility Supervisor, Pedro Osorio: Directio of safety and facilities, Mike Lapacka: Safet/Training Mananger, Dylan Jones: Food Safet Auditor.
Facility Description	Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details) RESPONSE: The building is a 282,310 square foot distribution facility. The facility stores. Frozen Beef, frozen poultry, bread, ingredients, dry products, paper products. the storage areas are 233,972 square feet which are split into cooler/dry/freezer areas. The building was built in 1997 with additions/improvements made in 2018. The facility operates 7 days a week, 24 hours a day. There are 5 shifts at the facility; 2 am to 4 am, 6 am to 2pm, and 5 pm. There are 450 employees at the facility, with 75-100 employees per shift. The facility's process involves Receiving, storing and distribution. The storage area is comprised of 3 rooms, frozen, Refrigerated and dry. Products store at this facility are distributed in the state of California and Nevada
Closing Meeting	People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by commas) RESPONSE: Jaime Anguiano: Safet facility Supervisor, Pedro Osorio: Directio of safety and facilities, Mike Lapacka: Safet/Training Manager, Dylan Jones: Food Safet Auditor.
Auditor Recommendation	Auditor Recommendation RESPONSE: Issue of Certification of Registration recommended once deficiencies rectified

Section Responses

2.1.1 Food Safety Policy (Mandatory)

The site has a documented Management Commitment policy dated 2/22/16 version 2. The sit is committed to meet or exceed the obligation to the food safety management program. The objective is to ensure all the products are received, stored and delivered at the highest standards of hygiene and safety adopted to meet the requirements of the customers. The policy is displayed in both English and Spanish languages the policy is sign by the CEO.

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

RESPONSE: COMPLIANT

- 2.1.1.2** The policy statement shall be: i. Signed by senior site management; ii. Made available in language understood by all staff; iii. Displayed in a prominent position; and iv. Effectively communicated to all staff.

RESPONSE: COMPLIANT

2.1.2 Management Responsibility (Mandatory)

The site has a documented Management responsibility policy dated 5/20/2020. The purpose is to define the structural responsibilities required to implement and maintain an effective SQF system. The training need are outlines in the sites training requirements policy dated 4/20/202. The organization structure is sign and dated 5/18/2020. Job description of key personnel are maintained.

- 2.1.2.1** The reporting structure describing those who have responsibility for food safety shall be identified and communicated within the site.

RESPONSE: COMPLIANT

2.1.2.2 The senior site management shall make provision to ensure food safety practices and all applicable requirements of the SQF System are adopted and maintained.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

2.1.2.4 Senior site management shall designate an SQF practitioner for each site with responsibility and authority to: i. Oversee the development, implementation, review and maintenance of the SQF System, including good manufacturing practices outlined in 2.4.2, and the food safety plan outlined in 2.4.3. ii. Take appropriate action to ensure the integrity of the SQF System; and iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.

RESPONSE: COMPLIANT

2.1.2.5 The SQF practitioner shall: i. Be employed by the site as a company employee on a full-time basis; ii. Hold a position of responsibility in relation to the management of the site's SQF System; iii. Have completed a HACCP training course; iv. Be competent to implement and maintain HACCP based food safety plans; and v. Have an understanding of the SQF Food Safety Code for Manufacturing and the requirements to implement and maintain an SQF System relevant to the site's scope of certification.

RESPONSE: COMPLIANT

2.1.2.6 Senior site management shall ensure the training needs of the site are resourced, implemented and meet the requirements outlined in system elements 2.9, and that site personnel have met the required competencies to carry out those functions affecting the legality and safety of food products.

RESPONSE: COMPLIANT

2.1.2.7 Senior site management shall ensure that all staff are informed of their food safety and regulatory responsibilities, are aware of their role in meeting the requirements of the SQF Food Safety Code for Manufacturing, and are informed of their responsibility to report food safety problems to personnel with authority to initiate action.

RESPONSE: COMPLIANT

2.1.2.8 Job descriptions for those responsible for food safety shall be documented and include a provision to cover for the absence of key personnel.

RESPONSE: MINOR

EVIDENCE: Provision to cover for the absence of all key personnel are not documented. Back-ups are not documented for the warehouse manager and Inventory Control Supervisor

ROOT CAUSE: When reviewing the SQF Code we miss the provision to cover for the absence of a key personnel.

CORRECTIVE ACTION: Job Descriptions have been reviewed by HR department and key personnel back up have been included. ICS is the backup to the IC control Manager. Warehouse manager is the backup to Director of the Warehouse.

VERIFICATION OF CLOSEOUT: Back-ups documented on the job description-Dylan Jones

COMPLETION DATE: 06/23/2020 **CLOSEOUT DATE:** 07/16/2020

2.1.2.9 Senior site management shall establish processes to improve the effectiveness of the SQF System to demonstrate continuous improvement.

RESPONSE: COMPLIANT

2.1.2.10 Senior site management shall ensure the integrity and continued operation of the food safety system in the event of organizational or personnel changes within the company or associated facilities.

RESPONSE: COMPLIANT

- 2.1.2.11** Senior site management shall designate defined blackout periods that prevent unannounced re-certification audits from occurring out of season or when the site is not operating for legitimate business reasons. The list of blackout dates and their justification shall be submitted to the certification body a minimum of one (1) month before the sixty (60) day re-certification window for the agreed upon unannounced audit.

RESPONSE: NOT APPLICABLE

EVIDENCE: Not an unannounced re-certification audits

2.1.3 Management Review (Mandatory)

The site has a documented Management Review policy dated 2/16/19. The purpose of this policy is to outline the frequency Senior Management will use to review the SQF Food safety management system to ensure it is robust enough to meet changing requirements in order to fulfill the commitment to quality and food safety. The reviews are documented in the revision history and on the documented table of contents.

- 2.1.3.1** The senior site management shall be responsible for reviewing the SQF System and documenting the review procedure. Reviews shall include: i. The policy manual; ii. Internal and external audit findings; iii. Corrective actions and their investigations and resolution; iv. Customer complaints and their resolution and investigation; v. Hazard and risk management system; and vi. Follow-up action items from previous management review.

RESPONSE: COMPLIANT

- 2.1.3.2** The SQF practitioner (s) shall update senior site management on a (minimum) monthly basis on matters impacting the implementation and maintenance of the SQF System. The updates and management responses shall be documented. The SQF System in its entirety shall be reviewed at least annually.

RESPONSE: COMPLIANT

- 2.1.3.3** Food safety plans, Good Manufacturing Practices and other aspects of the SQF System shall be reviewed and updated as needed when any potential changes implemented have an impact on the site's ability to deliver safe food.

RESPONSE: COMPLIANT

- 2.1.3.4** Records of all management reviews and updates shall be maintained.

RESPONSE: COMPLIANT

2.1.4 Complaint Management (Mandatory)

The site has a documented complaint Management policy dated 3/20/19 version 3. The purpose is to define the methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities. The customer service representative to follow the complaint through the system. The department managers ensure the proper corrective actions are taken with the assistance of those personnel responsible for the areas in which the complaint may have originated. The trends of complaints data are compiled by the HACCP manager and reviewed by the Senior Management Quarterly. Records sighted Customer compliant forms dated 10/21/19, 3/31/2020, 6/12/2020,

- 2.1.4.1** The methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities, arising from products manufactured or handled on site, shall be documented and implemented.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 2.1.4.3** Corrective action shall be implemented based on the seriousness of the incident and as outlined in 2.5.3.

RESPONSE: COMPLIANT

- 2.1.4.4** Records of customer complaints and their investigations shall be maintained.

RESPONSE: COMPLIANT

2.1.5 Crisis Management Planning

The site has a documented Crisis Management Planning policy dated 10/17/19. The purpose is to provide a comprehensive method of managing a problem, crisis, disaster or pandemic that may impact our ability to deliver safe, quality food. The site also has a documented Disaster and Emergency Plan dated 3/20/20. In the event of a natural disaster the site will provide or arrange for the provision of food and food related products. The crisis management test is dated 4/7/2020.

- 2.1.5.1 A crisis management plan that is based on the understanding of known potential dangers (e.g. flood, drought, fire, tsunami, or other severe weather or regional events such as warfare or civil unrest) that can impact the site's ability to deliver safe food, shall be documented by senior management outlining the methods and responsibility the site shall implement to cope with such a business crisis.

RESPONSE: COMPLIANT

- 2.1.5.2 The crisis management 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 does not compromise product safety; 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, including supply chain customers; vii. Sources of legal and expert advice; and viii. The responsibility for internal communications and communicating with authorities, external organizations and media.

RESPONSE: MINOR

EVIDENCE: No documentation that the crisis management team has been trained.

ROOT CAUSE: Crisis Management team was not trained.

CORRECTIVE ACTION: On 6/30/2020 The Crisis Management team was trained for Covid-19 in the workplace and Gold Star Foods procedures. How to handle and manage different type of cases.

VERIFICATION OF CLOSEOUT: training documented-Dylan Jones

COMPLETION DATE: 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

- 2.1.5.3 The crisis management plan shall be reviewed, tested and verified at least annually.

RESPONSE: COMPLIANT

- 2.1.5.4 Records of reviews of the crisis management plan shall be maintained.

RESPONSE: COMPLIANT

2.2.1 Food Safety Management System (Mandatory)

The site has a documented Food safety Management System policy dated 10/17/19. The products covered in under the scope, the scope of the certification and other documentation are covered.

- 2.2.1.1 A food safety management system shall be documented and maintained in either electronic and/or hard copy form. It shall outline the methods the site will use to meet the requirements of the SQF Food Safety Code for Manufacturing, be made available to relevant staff and include: i. A summary of the organization's food safety policies and the methods it will apply to meet the requirements of this standard; ii. The food safety policy statement and organization chart; iii. The scope of certification; iv. A list of the products covered under the scope of certification; v. Food safety procedures, pre-requisite programs, food safety plans; and vi. Other documentation necessary to support the development and the implementation, maintenance and control of the SQF System.

RESPONSE: COMPLIANT

- 2.2.1.2 All changes made to food safety plans, Good Manufacturing Practices and other aspects of the SQF System shall be validated or justified.

RESPONSE: COMPLIANT

2.2.2 Document Control (Mandatory)

The site has a documented document control policy dated 10/18/19. The purpose is define the methods and responsibility for maintaining document control and to ensure staff has access to the most current documents. The amendments/ revision history to documents are maintained at the end of each document.

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

RESPONSE: COMPLIANT

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

RESPONSE: MINOR

EVIDENCE: Several policies/procedures dates did not match the dates on the register. And the Disaster and Emergency plan dated 2/18/14 is not on the register.

ROOT CAUSE: The table of contents was not properly reviewed separately from our other site. Showing different dates, also forgot to add a document.

CORRECTIVE ACTION: on 06/30/2020 Table of contents was reviewed several dates have been corrected. The Disaster and Emergency plan that was created 2/8/14 and last updated 3/20/20 was also added.

VERIFICATION OF CLOSEOUT: Register updated-Dylan Jones

COMPLETION DATE: 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

- 2.2.2.3 Documents shall be safely stored and readily accessible.

RESPONSE: COMPLIANT

2.2.3 Records (Mandatory)

The records policy is dated 1/26/19. The Quality and Food safety records are defined as those records maintained to demonstrate conformance to specified requirements. The policy includes but is not limited to procedure, record retention and responsibilities.

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 2.2.3.3 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.

RESPONSE: COMPLIANT

2.3.1 Product Development and Realization

The is a Food Storage and Distribution site.

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

RESPONSE: NOT APPLICABLE

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

RESPONSE: NOT APPLICABLE

- 2.3.1.3 Shelf life trials where necessary shall be conducted to establish and validate a product's: i. Handling and storage requirements including the establishment of "use by" or "best before dates"; ii. Microbiological criteria; and iii. Consumer preparation, storage and handling requirements.

RESPONSE: NOT APPLICABLE

- 2.3.1.4 A food safety plan shall be validated and verified for each new product and its associated process through conversion to commercial production and distribution, or where a change to ingredients, process, or packaging occurs that may impact food safety.

RESPONSE: NOT APPLICABLE

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

RESPONSE: NOT APPLICABLE

2.3.2 Raw and Packaging Materials

The is a Food Storage and Distribution site.

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

RESPONSE: NOT APPLICABLE

2.3.2.2 All raw and packaging materials and ingredients shall comply with the relevant legislation in the country of manufacture and country of destination, if known.

RESPONSE: NOT APPLICABLE

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

RESPONSE: NOT APPLICABLE

2.3.2.4 Raw and packaging materials and ingredients shall be validated to ensure product safety is not compromised and the material is fit for its intended purpose. Verification of raw materials and ingredients shall include certificates of conformance, certificate of analysis, or sampling and testing.

RESPONSE: NOT APPLICABLE

2.3.2.5 Verification of packaging materials shall include: i. 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. ii. In the 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.

RESPONSE: NOT APPLICABLE

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

RESPONSE: NOT APPLICABLE

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

RESPONSE: NOT APPLICABLE

2.3.3 Contract Service Providers

The site has a documented Contract Service providers policy dated 2/23/16. The policy includes the relevant training and the register is maintained with the service provider.

2.3.3.1 Specifications for contract services that have an impact on product safety shall be documented, current, include a full description of the service to be provided and detail relevant training requirements of all contract personnel.

RESPONSE: COMPLIANT

2.3.3.2 A register of all contract service specifications shall be maintained.

RESPONSE: COMPLIANT

2.3.4 Contract Manufacturers

The is a Food Storage and Distribution site.

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

RESPONSE: NOT APPLICABLE

- 2.3.4.2** The site shall: i. Verify compliance with the SQF Food Safety Code for Manufacturing and that all customer requirements are being met at all times. Products and/or processes of co-manufacturers that are considered high risk shall be required to undergo an audit by the site or other third-party agency to confirm compliance to the SQF Food Safety Code for Manufacturing and agreed arrangements; and ii. Ensure changes to contractual agreements are approved by both parties and communicated to relevant personnel.

RESPONSE: NOT APPLICABLE

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

RESPONSE: NOT APPLICABLE

2.3.5 Finished Product Specifications

The is a Food Storage and Distribution site.

- 2.3.5.1** Finished product specifications shall be documented, current, approved by the site and their customer, accessible to relevant staff and may include: i. Microbiological and chemical limits; and ii. Labeling and packaging requirements.

RESPONSE: NOT APPLICABLE

- 2.3.5.2** A register of finished product specifications shall be maintained.

RESPONSE: NOT APPLICABLE

2.4.1 Food Legislation (Mandatory)

The site has a documented Food Legislation policy dated 10/31/19. The site has subscriptions to applicable industry newsletters and publications and memberships are maintained to applicable trade and industry organizations.

- 2.4.1.1** The site 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 use or sale. This includes compliance with legislative requirements applicable to maximum residue limits, food safety, packaging, product description, net weights, nutritional, allergen and additive labeling, labeling of identity preserved foods, any other criteria listed under food legislation, and to relevant established industry codes of practice.

RESPONSE: COMPLIANT

- 2.4.1.2** The methods and responsibility for ensuring the site is kept informed of changes to relevant legislation, scientific and technical developments, emerging food safety issues, and relevant industry codes of practice shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.4.1.3** SQFI and the certification body shall be notified in writing within twenty-four (24) hours in the event of a regulatory warning. Notification to SQFI shall be by email to foodsafetycrisis@sqfi.com.

RESPONSE: COMPLIANT

2.4.2 Good Manufacturing Practices (Mandatory)

The site has a documented Good Storage and Distribution practices policy dated 11/1/19 and a documented GMP program applicable to the scope of certification.

- 2.4.2.1** The site shall ensure the Good Manufacturing Practices described in modules 3, 4, 9, 10 or 11 (as applicable) of this Food Safety Code are applied, or exempted according to a written risk analysis outlining the justification for exemption or evidence of the effectiveness of alternative control measures to ensure that food safety is not compromised.

RESPONSE: COMPLIANT

- 2.4.2.2** The Good Manufacturing Practices applicable to the scope of certification that outline how food safety is controlled and assured shall be documented and implemented.

RESPONSE: COMPLIANT

2.4.3 Food Safety Plan (Mandatory)

The site has a documented Food Safety Plan. The food safety plan is developed and maintained by a multidisciplinary team that includes the SQF practitioner. The plan is written part HACCP and part HARPC. The site receives frozen, refrigerated and ambient products. The flow chart is sign and dated 1/23/2020 with CPs noted at Receiving, Storage (frozen/chilled), Transport, and Delivery. The Hazard Analysis Risk Based Preventative controls are documented and includes the monitoring of the CCP (if applicable) or CP (if applicable). The sites Hazardous Analysis has indicated no CCPs. The CPs are indicated at Receiving Products: Chilled $\leq 40^{\circ}\text{F}$ and Frozen products $\leq 20^{\circ}\text{F}$. Storage: Coolers products Chilled $\leq 40^{\circ}\text{F}$ and Frozen products $\leq 20^{\circ}\text{F}$ Frequency checks weekly and Chilled $\leq 40^{\circ}\text{F}$ and Frozen products $\leq 20^{\circ}\text{F}$ Frequency 3 time/daily. Transport (monitoring actual temperature of refer unit during transport): Chilled $\leq 41^{\circ}\text{F}$. Delivery Chilled $\leq 40^{\circ}\text{F}$ and Frozen products $\leq 20^{\circ}\text{F}$. The frequency, records, corrective action and Responsibility are documented. The annual review is dated 1/23/2020

- 2.4.3.1** A food safety plan shall be prepared in accordance with the twelve steps identified in the Codex Alimentarius Commission HACCP guidelines. Feed manufacturers may utilize a HACCP-based reference food safety plan developed by a responsible authority.

RESPONSE: COMPLIANT

- 2.4.3.2** The food safety plan shall be effectively implemented, maintained and outline the means by which the site controls and assures food safety of the products or product groups included in the scope of the SQF certification and their associated processes. More than one HACCP food safety plan may be required to cover all products included in the scope of certification.

RESPONSE: COMPLIANT

- 2.4.3.3** The food safety plan or plans shall be developed and maintained by a multidisciplinary team that includes the SQF practitioner and those site personnel with technical, production, and engineering knowledge of the relevant products and associated processes. Where the relevant expertise is not available on site, advice may be obtained from other sources to assist the food safety team.

RESPONSE: COMPLIANT

- 2.4.3.4** The scope of each food safety plan shall be developed and documented including the start and end-point of the processes under consideration and all relevant inputs and outputs.

RESPONSE: COMPLIANT

- 2.4.3.5** Product descriptions shall be developed and documented for all products included in the scope of the food safety plans. This shall reference the finished product specifications (refer to 2.3.5.1) plus any additional information relevant to product safety, such as pH, water activity, and/or composition.

RESPONSE: MINOR

EVIDENCE: The Product descriptions page is missing from the plan.

ROOT CAUSE: Product description page is not on the plan.

CORRECTIVE ACTION: On 06/30/2020 Product description page was added identifying Product Name, Intended for, Shelf Life and where will it be sold.

VERIFICATION OF CLOSEOUT: Product description page documented- Dylan Jones

COMPLETION DATE: 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

- 2.4.3.6** The intended use of each product shall be determined and documented by the food safety team. This shall include target consumer groups, the potential for consumption by vulnerable groups of the population, requirements for further processing if applicable, and potential alternative use of the product.

RESPONSE: COMPLIANT

EVIDENCE: SEE 2.4.3.5 for Non-compliance.

- 2.4.3.7** The food safety team shall develop and document a flow diagram covering the scope of each food safety plan. The flow diagram shall include every step in the process, all raw material, packaging material, service inputs (e.g. water, steam, gasses as appropriate), scheduled process delays, and all process outputs including waste and rework. Each flow diagram shall be confirmed by the food safety team during all stages and hours of operation.

RESPONSE: COMPLIANT

- 2.4.3.8** The food safety team shall identify and document all food safety hazards that can reasonably be expected to occur at each step in the processes, including raw materials and other inputs.

RESPONSE: COMPLIANT

- 2.4.3.9** The food safety team shall conduct a hazard analysis for every identified hazard to identify which hazards are significant, i.e. their elimination or reduction to an acceptable level is necessary to ensure food safety. The methodology for determining hazard significance shall be documented and used consistently to assess all potential hazards.
- RESPONSE:** COMPLIANT
- 2.4.3.10** The food safety team shall determine and document the control measures that must be applied to all significant hazards. More than one control measure may be required to control an identified hazard, and more than one significant hazard may be controlled by a specific control measure.
- RESPONSE:** COMPLIANT
- 2.4.3.11** Based on the results of the hazard analysis (refer to 2.4.3.9), the food safety team shall identify the steps in the process where control must be applied to eliminate a significant hazard or reduce it to an acceptable level (i.e. a critical control point, or CCP). In instances where a significant hazard has been identified at a step in the process, but no control measure exists, the food safety team shall modify the process to include an appropriate control measure.
- RESPONSE:** COMPLIANT
- 2.4.3.12** For each identified CCP, the food safety team shall identify and document the limits that separate safe from unsafe product. The food safety team shall validate the critical limits to ensure the designated level of control of the identified food safety hazard (s); and that all critical limits and control measures individually or in combination effectively provide the level of control required (refer to 2.5.2.1).
- RESPONSE:** COMPLIANT
- 2.4.3.13** The food safety team shall develop and document procedures to monitor CCPs to ensure they remain within the established limits (refer to 2.4.3.12). Monitoring procedures shall identify the personnel assigned to conduct testing, the sampling and test methods, and the test frequency.
- RESPONSE:** MINOR
- EVIDENCE:** 1) The monitoring (CPs, frequency, records, corrective action) for Frozen products at transport is not documented. 2) The delivery process step: the preventive controls (monitoring temperature of the trailer at delivery) does not match the control limit (monitoring ingredients- Chilled ingredients $\leq 40^{\circ}\text{F}$ and Frozen ingredients $\leq 20^{\circ}\text{F}$).
- ROOT CAUSE:** Missing Temperature process for transport and Delivery.
- CORRECTIVE ACTION:** on 6-30-2020 Process Transport has been added to meet the temp at Chilled ingredients $\leq 41^{\circ}\text{F}$ and Frozen ingredients $\leq 20^{\circ}\text{F}$ for both transport and Delivery process step on page 10 of the plan.
- VERIFICATION OF CLOSEOUT:** The monitoring page has been updated-Dylan Jones
- COMPLETION DATE:** 06/30/2020 **CLOSEOUT DATE:** 07/16/2020
- 2.4.3.14** The food safety team shall develop and document deviation procedures that identify the disposition of affected product when monitoring indicates a loss of control at a CCP. The procedures shall also prescribe actions to correct the process step to prevent recurrence of the safety failure.
- RESPONSE:** COMPLIANT
- 2.4.3.15** The documented and approved food safety plan (s) shall be implemented in full. The effective implementation shall be monitored by the food safety team, and a full review of the documented and implemented plans shall be conducted at least annually, or when changes to the process, equipment, inputs or other changes affecting product safety occur.
- RESPONSE:** COMPLIANT
- 2.4.3.16** Implemented food safety plans shall be verified as part of SQF System verification (refer to 2.5).
- RESPONSE:** MINOR
- EVIDENCE:** The verification process is not documented in the plan
- ROOT CAUSE:** We had a person responsible but no one to verify the plan.
- CORRECTIVE ACTION:** On 6/30/2020 we added a column for verification. The Director of safety HACCP will be responsible Verification of the plan.
- VERIFICATION OF CLOSEOUT:** The monitoring page has been updated-Dylan Jones
- COMPLETION DATE:** 06/30/2020 **CLOSEOUT DATE:** 07/16/2020

- 2.4.3.17** Where food safety regulations in the country of production and destination (if known) prescribe a food safety control methodology other than the Codex Alimentarius Commission HACCP guidelines, the food safety team shall implement food safety plans that meet both Codex and food regulatory requirements.

RESPONSE: COMPLIANT

2.4.4 Approved Supplier Program (Mandatory)

The site has a documented Approved supplier program dated 11/7/19. The purpose is to provide guidance on the procedure used at the site to ensure the safety of the incoming goods. The materials are supplied by an approved supplier determined by the customer. The customers are responsible for approving all suppliers except for those suppliers providing packaging materials used in the produce re-pack program and the chemical use. The non-approved supplier requirements are outlined in the policy.

- 2.4.4.1** Raw materials, ingredients, packaging materials, and services that impact on finished product safety shall meet the agreed specification (refer to 2.3.2) and be supplied by an approved supplier.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 2.4.4.4** The site's food defense plan (refer to 2.7.1.1) shall include measures to secure incoming materials and ingredients and protect them from deliberate act of sabotage or terrorist-like incidents.

RESPONSE: COMPLIANT

- 2.4.4.5** The site's food fraud vulnerability assessment (refer to 2.7.2.1) shall include the site's susceptibility to raw material or ingredient substitution, mislabeling, dilution or counterfeiting which may adversely impact food safety.

RESPONSE: COMPLIANT

- 2.4.4.6** The food fraud mitigation plan (refer to 2.7.2.2) shall include methods by which the identified food safety vulnerabilities from ingredients and materials shall be controlled.

RESPONSE: COMPLIANT

- 2.4.4.7** Raw materials, ingredients, and packaging materials received from other sites under the same corporate ownership shall be subject to the same specification requirements (refer to 2.3.2) and approved supplier requirements as all other material providers.

RESPONSE: COMPLIANT

- 2.4.4.8** 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 (refer to 2.3.2); ii. Reference to the rating of the level of risk applied to a raw material, ingredients, packaging materials and services and the approved supplier; iii. A summary of the food safety 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 if required; and vii. Methods and frequency of reviewing approved supplier performance and status.

RESPONSE: COMPLIANT

- 2.4.4.9** Supplier audits shall be based on risk and shall be conducted by individuals knowledgeable of applicable regulatory and food safety requirements and trained in auditing techniques.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

2.4.5 Non-conforming Product or Equipment

The non-conforming product and equipment policy is dated 5/2/19. The purpose is to identify the responsibility and methods outlining how non-conforming products and/or equipment detected during receipt, storage, processing, handling or delivery is handled. The policy includes but is not limited to quarantine and isolation of non-conforming materials, ingredient, and equipment, dispositioning of non-conformance materials, ingredients and equipment, and disposal of non-conforming products.

- 2.4.5.1 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: i. 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; ii. 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; and iii. All relevant staff are aware of the organization's quarantine and release requirements applicable to equipment or product placed under quarantine status.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

2.4.6 Product Rework

The site does not re-work product. The is a Food Storage and Distribution site.

- 2.4.6.1 The responsibility and methods outlining how ingredients, packaging materials, or products are reworked 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 outlined in element 2.5.4.1; and v. Release of reworked product shall conform to element 2.4.7.

RESPONSE: NOT APPLICABLE

- 2.4.6.2 Records of all reworking operations shall be maintained.

RESPONSE: NOT APPLICABLE

2.4.7 Product Release (Mandatory)

The site has a documented product release policy dated 5/2/19. The procedure includes but is not limited to the Director of Warehouse is responsible for the release of materials/ingredient in preparation for shipping. The Safety/HACCP assistant reviews all production and food safety records associated with the re-pack products and temperature controls to verify that all food safety, legislative and quality controls had been met. And the inventory controls manager will release the products/materials in the sites inventory control system.

- 2.4.7.1 The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released: i. By authorized personnel; and ii. Once all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met.

RESPONSE: COMPLIANT

- 2.4.7.2 Records of all product release shall be maintained.

RESPONSE: COMPLIANT

2.4.8 Environmental Monitoring

The is a Food Storage and Distribution site.

- 2.4.8.1 A risk-based environmental monitoring program shall be in place for all food and pet food manufacturing processes.

RESPONSE: NOT APPLICABLE

- 2.4.8.2 The responsibility and methods for the environmental monitoring program shall be documented and implemented.

RESPONSE: NOT APPLICABLE

- 2.4.8.3** An environmental sampling and testing schedule shall be prepared, detailing the applicable pathogens or indicator organisms to test for that industry, the number of samples to be taken and the frequency of sampling.

RESPONSE: NOT APPLICABLE

- 2.4.8.4** Environmental testing results shall be monitored and corrective actions (refer to 2.5.3.1) implemented where unsatisfactory trends are observed.

RESPONSE: NOT APPLICABLE

2.5.1 Validation and Effectiveness (Mandatory)

The site has a documented Validation and effectiveness policy dated 4/16/19. The purpose is to identify the methods, responsibility and criteria for ensuring the effectiveness of the pre-requisite programs and validating critical food safety and quality limits to ensure their intended purpose. The pre-requisite programs are confirmed through quarterly reviews, and the critical limits and controls measures are reevaluated at least annually. Records sighted Crisis Management test dated 4/7/2020 Verification of Effectiveness Worksheet :Pest control, Cleaning and Sanitation, Monitoring of product temperature, Monitoring of cooler and freezer temperature, and waste removal are dated 4/2/2020. Last mock recall dated 6/11/2020 41 minutes 100%, Last water test COA dated 5/14/2020

- 2.5.1.1** The methods, responsibility and criteria for ensuring the effectiveness of all applicable elements of the SQF Program shall be documented and implemented. The methods applied shall ensure that: i. Good Manufacturing Practices are confirmed to ensure they achieve the required result; ii. Critical food safety limits are validated, and re-validated annually; iii. Changes to the processes or procedures are assessed to ensure controls are still effective; and iv. All applicable elements of the SQF Program are implemented and effective.

RESPONSE: COMPLIANT

- 2.5.1.2** Records of all validation activities shall be maintained.

RESPONSE: COMPLIANT

2.5.2 Verification Activities (Mandatory)

The site has a documented Verification Activities policy dated 4/16/19. The purpose is to define the methods, responsibility and criteria for verifying the effectiveness of the monitoring prerequisite programs, critical control points, critical quality points and other food safety and quality controls. The Validation and Verification Frequency Schedule (activity, description, frequency, responsibility and records) are documented. Records sighted Operators Daily check list (equipment) dated 4/14/2020, 2/12/2020, 1/4/2020, Master Sanitation and Preventive Maintenance schedule dated 10/14/19, 2/12/2020 Monthly Glass Brittle plastic inspection record dated 1/2/2020, 3/3/2020, 5/8/2020 Cooler Freezer temperature (continuous) monitoring dated 10/14/19, 2/14/2020, 6/11/2020. Temperature Records (verified) dated 6/12/2020, 2/12/2020, Receiving records Inbound Checklist (trailer inspection, Lot#) dated 1/15/2020, 4/16/2020, 1/14/2020 Receiving HACCP (seal, temp, trailer inspection) Report dated 2/11/2020, 6/12/2020, 10/14/19 Outbound checklist (temp trailer, trailer inspection) dated 6/12/2020, 2/12/2020 10/14/19 Driver Manifest and Invoice (item#, temp) dated 1/22/2020, 4/13/2020 Service inspection report verified (product application summary, condition/observation, pest activity) dated 5/21/2020, 4/23/2020, 2/28/2020

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

RESPONSE: COMPLIANT

- 2.5.2.2** The methods, responsibility and criteria for verifying monitoring of Good Manufacturing Practices, critical control points and other food safety controls, and the legality of certified products, shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each verified record.

RESPONSE: COMPLIANT

- 2.5.2.3** Records of the verification of monitoring activities shall be maintained.

RESPONSE: COMPLIANT

2.5.3 Corrective and Preventative Action (Mandatory)

The corrective and preventive action policy is dated 4/16/19. The purpose is to identify how corrective actions, and preventive actions are investigated, resolved, managed and controlled, including the identification of the cause and resolution of non-compliance. The methods include but is not limited to preventive actions, corrective actions, and continuous improvements program.

- 2.5.3.1** The responsibility and methods outlining how corrections and corrective actions are determined, implemented and verified, including the identification of the root cause and resolution of non-compliance of critical food safety limits and deviations from food safety requirements, shall be documented and implemented.

RESPONSE: COMPLIANT

- 2.5.3.2** Records of all investigation and resolution of non-conformities including their corrections and corrective action shall be maintained.

RESPONSE: COMPLIANT

2.5.4 Product Sampling, Inspection and Analysis

The site product sampling, inspections, and analysis policy dated 4/16/19 includes but is not limited to in-coming inspections, vendor review, and re-pack start-up and changeover checks.

- 2.5.4.1** The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work-in-progress shall be documented and implemented. The methods applied shall ensure: i. Inspections and analyses are completed at regular intervals as required and to agreed specification and legal requirements; ii. Inspections are conducted to ensure raw materials, work in process and finished products comply with the relevant specification, regulatory requirements and are true to label; and iii. All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods.

RESPONSE: COMPLIANT

- 2.5.4.2** On-site personnel that conduct environmental or product testing shall participate in an applicable proficiency testing program at least annually to ensure accuracy of results.

RESPONSE: NOT APPLICABLE

EVIDENCE: This is Food Storage and Distribution site

- 2.5.4.3** Where external laboratories are utilized to conduct input or product analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard and shall be included on the site's contract service specifications register (refer to 2.3.3.1).

RESPONSE: NOT APPLICABLE

EVIDENCE: This is Food Storage and Distribution site

- 2.5.4.4** Records of all inspections and analyses shall be maintained.

RESPONSE: COMPLIANT

2.5.5 Internal Audits and Inspections (Mandatory)

The site has a documented internal audits and inspection policy dated 5/22/2020. The audits include but is not limited to Monthly Internal audits, Quarterly SQF Review audits and Annual SQF audits. The goal is to continuously improve the process and procedure in order to produce the highest quality and level of food safety. Records sighted Monthly Internal audit record dated November 2019, May 2020, March 2020

- 2.5.5.1** The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System shall be documented and implemented. Internal audits shall be conducted at least annually. The methods applied shall ensure: i. All applicable requirements of the SQF Food Safety Code for Manufacturing are audited as per the SQF audit checklist or similar tool; ii. Correction and corrective action of deficiencies identified during the internal audits are undertaken; and iii. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions.

RESPONSE: COMPLIANT

- 2.5.5.2** Staff conducting internal audits shall be trained and competent in internal audit procedures.

RESPONSE: COMPLIANT

- 2.5.5.3** Regular inspections of the site and equipment shall be planned and carried out to verify Good Manufacturing Practices and building/equipment maintenance is compliant to the SQF Food Safety Code for Manufacturing. The site shall: i. Take corrections or corrective and preventative action; and ii. Maintain records of inspections and any corrective action taken.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

2.5.5.5 Records of internal audits and inspections and any corrections and corrective action taken as a result of internal audits shall be maintained.

RESPONSE: COMPLIANT

2.6.1 Product Identification (Mandatory)

The site has a documented product identification policy dated 3/17/16. The policy is identifying the methods and responsibility for identifying product during all stages of the distribution and storage. And a documented Product trace policy dated 3/16/16. The process includes but is not limited to at receiving the PO number for each delivery is recorded on the receiving documentation. The receiving dated and PO numbers are tied to the manufacture/distributor's lot codes shipped to the site. The site software system incorporates lot traceability at the time of a PO is being received. A license plate (unique bar code labels) is places on each case/skid. The license is attached to the product during the storage and shipping movement. Records sighted Receiving records Inbound Checklist (trailer inspection, Lot#) dated 1/15/2020, 4/16/2020, 1/14/2020, Driver Manifest and Invoice (item#, temp) dated 1/22/2020, 4/13/2020

2.6.1.1 The methods and responsibility for identifying raw materials, ingredients, packaging materials, work-in -progress, process inputs and finished products during all stages of production and storage shall be documented and implemented. The product identification system shall be implemented to ensure: i. Raw materials, ingredients, packaging materials, work-in progress, process inputs and finished products are clearly identified during all stages of receipt, production, storage and dispatch; and ii. Finished product is labeled to the customer specification and/or regulatory requirements.

RESPONSE: COMPLIANT

2.6.1.2 Product identification records shall be maintained.

RESPONSE: COMPLIANT

2.6.1.3 Product start up and changeover procedures during packing shall be documented and implemented to ensure that the correct product is in the correct package and with the correct label, and that the changeover is inspected and approved by an authorized person.

RESPONSE: COMPLIANT

2.6.2 Product Trace (Mandatory)

The site has a documented product identification policy dated 3/17/16. The policy is identifying the methods and responsibility for identifying product during all stages of the distribution and storage. And a documented Product trace policy dated 3/16/16. The process includes but is not limited to at receiving the PO number for each delivery is recorded on the receiving documentation. The receiving dated and PO numbers are tied to the manufacture/distributor's lot codes shipped to the site. The site software system incorporates lot traceability at the time of a PO is being received. A license plate (unique bar code labels) is places on each case/skid. The license is attached to the product during the storage and shipping movement. The material are traceable through to the customer (one up) and trackability is maintained through the receiving, storage, and distribution process and other inputs (one Back).

2.6.2.1 The responsibility and methods used to trace product shall be documented and implemented to ensure: i. Finished product is traceable to the customer (one up) and provides traceability through the process to the manufacturing supplier and date of receipt of raw materials, food contact packaging and materials and other inputs (one back); ii. Traceability is maintained where product is reworked; and iii. The effectiveness of the product trace system shall be reviewed at least annually as part of the product recall and withdrawal review (refer to 2.6.3.3).

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

2.6.3 Product Withdrawal and Recall (Mandatory)

The site has a documented Product withdrawal and Recall procedure dated 4/6/19. The policy includes but is not limited to the recall team and legal, Classes, inquiry and communication, the recall procedure and verification of the system Records sighted Last mock recall dated 6/11/2020 41 minutes 100%

- 2.6.3.1** 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, regulatory and expert advice and essential traceability information; 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, the certification body, and the appropriate regulatory authority 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.

RESPONSE: COMPLIANT

- 2.6.3.2** Investigation shall be undertaken to determine the root cause of a withdrawal, mock recall or recall and details of investigations and any action taken shall be documented.

RESPONSE: COMPLIANT

- 2.6.3.3** The product withdrawal and recall system shall be reviewed, tested and verified as effective at least annually. Testing shall include incoming materials (one back) and finished product (one up).

RESPONSE: COMPLIANT

- 2.6.3.4** SQFI and the certification body shall be notified in writing within twenty-four (24) hours upon identification of a food safety event that requires public notification. SQFI shall be notified at foodsafetycrisis@sqfi.com.

RESPONSE: COMPLIANT

- 2.6.3.5** Records of all product withdrawals, recalls and mock recalls shall be maintained.

RESPONSE: COMPLIANT

2.7.1 Food Defense Plan (Mandatory)

The site has a documented Food Defense Plan dated 5/22/20. The purpose is to define the methods, responsibility, and criteria of preventing food adulteration caused by deliberate act of sabotage or terrorist like incident. The policy includes but is not limited to the site security team, facility access and authorized personnel, employee, receiving of goods, hazardous chemicals, and security training. The site also completed an Industry self-assessment checklist for Food Security. Dated 4/14/2020.

- 2.7.1.1** 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.

RESPONSE: COMPLIANT

- 2.7.1.2** A food defense plan shall include: i. The name of the senior site management person responsible for food defense; ii. The methods implemented to ensure only authorized personnel have access to production equipment and vehicles, manufacturing and storage areas through designated access points; iii. The methods implemented to protect sensitive processing points from intentional adulteration; iv. The measures taken to ensure the secure receipt and storage of raw materials, packaging, equipment and hazardous chemicals; v. The measures implemented to ensure raw materials, ingredients, packaging materials, work-in progress, process inputs and finished products are held under secure storage and transportation conditions; and vi. The methods implemented to record and control access to the premises by employees, contractors, and visitors.

RESPONSE: COMPLIANT

- 2.7.1.3** The food defense plan shall be reviewed and challenged at least annually.

RESPONSE: MINOR

EVIDENCE: The site completed an Industry self-assessment checklist for Food Security. This is not a challenge of the food defense plan.

ROOT CAUSE: Confusion we conducted a self-assessment checklist for Food Security to the Food Defense Plan. It needed to be challenged.

CORRECTIVE ACTION: Personnel was challenge for a suspicious packaged / Bomb Threat. The test started 6/18/2020 to 6/19/2020 Packaged was placed in several locations around the company. Training was conducted and safety alerts to make everyone aware of suspicious package.

VERIFICATION OF CLOSEOUT: The food defense was challenged- Dylan Jones

COMPLETION DATE: 06/24/2020 **CLOSEOUT DATE:** 07/16/2020

2.7.1.4 Records of reviews of the food defense plan shall be maintained.

RESPONSE: COMPLIANT

2.7.2 Food Fraud

Pre the email from the CB Brian Neal Dated 6/4/19 the site is exempted.

2.7.2.1 The methods, responsibility and criteria for identifying the site's vulnerability to food fraud shall be documented, implemented and maintained. The food fraud vulnerability assessment shall include the site's susceptibility to product substitution, mislabeling, dilution, counterfeiting or stolen goods which may adversely impact food safety.

RESPONSE: EXEMPT

2.7.2.2 A food fraud mitigation plan shall be developed and implemented which specifies the methods by which the identified food fraud vulnerabilities shall be controlled.

RESPONSE: EXEMPT

2.7.2.3 The food fraud vulnerability assessment and mitigation plan shall be reviewed and verified at least annually.

RESPONSE: EXEMPT

2.7.2.4 Records of reviews of the food fraud vulnerability assessment and mitigation plan shall be maintained.

RESPONSE: EXEMPT

2.8.1 Allergen Management for Food Manufacturing (Mandatory)

The site has documented Allurement policy dated 4/20/20 that includes but is not limited to a register of ingredients/products containing allergen, how to segregate foods that contains allergen and the requirements if an allergen is spilled or broken.

2.8.1.1 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 food allergens; ii. An assessment of workplace-related food allergens from locker rooms, vending machines, lunch-rooms, and visitors; iii. A register of allergens which is applicable in the country of manufacture and the country (ies) of destination if known; iv. A list of allergens which is accessible by relevant staff. v. The hazards associated with allergens and their control incorporated into the food safety plan. vi. A management plan for control of identified allergens. The allergen management program shall include the identification, management, and labelling of products containing gluten, where applicable.

RESPONSE: COMPLIANT

2.8.1.2 Instructions shall be provided to all relevant staff involved in the receipt or handling of raw materials, work-in progress, rework or finished product on how to identify, handle, store and segregate raw materials containing allergens.

RESPONSE: COMPLIANT

2.8.1.3 Provision shall be made to clearly identify and segregate foods that contain allergens. Segregation procedures shall be implemented and continually monitored.

RESPONSE: COMPLIANT

2.8.1.4 Where allergenic material may be intentionally or unintentionally present, 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. Separate handling and production equipment shall be provided where satisfactory line hygiene and clean-up or segregation is not possible.

RESPONSE: COMPLIANT

2.8.1.5 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 effectively implemented.

RESPONSE: COMPLIANT

2.8.1.6 Where allergenic material may be present, product changeover procedures shall be documented and implemented to eliminate the risk of cross-contact.

RESPONSE: COMPLIANT

2.8.1.7	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.
	RESPONSE: COMPLIANT
2.8.1.8	The site shall document and implement methods to control the accuracy of finished product labels (or consumer information where applicable) and assure work-in-progress and finished product is true to label with regard to allergens. Such measures may include label approvals at receipt, label reconciliations during production, destruction of obsolete labels, verification of labels on finished product as appropriate, and product change over procedures.
	RESPONSE: COMPLIANT
2.8.1.9	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 and processing aids used.
	RESPONSE: COMPLIANT
2.8.1.10	Re-working of product containing food allergens shall be conducted under conditions that ensure product safety and integrity is maintained. Re-worked product containing allergens shall be clearly identified and traceable.
	RESPONSE: COMPLIANT
2.8.1.11	Sites that do not handle allergenic materials or produce allergenic products shall document, implement and maintain an allergen management program addressing at a minimum the mitigation of introducing unintended allergens through supplier, contract manufacturer, employee and visitor activities.
	RESPONSE: COMPLIANT
2.8.2	Allergen Management for Pet Food Manufacturing
	The is a Food Storage and Distribution site.
2.8.2.1	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 inputs and processing aids, including food grade lubricants, that contain food allergens; ii. An assessment of workplace-related food allergens from locker rooms, vending machines, lunch-rooms, and visitors; iii. A list of allergens which is accessible by relevant staff; and iv. The hazards associated with allergens and their control incorporated into the food safety plan.
	RESPONSE: NOT APPLICABLE
2.8.2.2	Product labeling, in accordance with regulatory requirements, shall include allergens where risks from cross-contact have been identified.
	RESPONSE: NOT APPLICABLE
2.8.3	Allergen Management for Manufacturers of Animal Feed
	The is a Food Storage and Distribution site.
2.8.3.1	Sites that exclusively manufacture animal feed and do not manufacture, handle or store food or pet food products are not required to implement an allergen management plan unless required by regulation or customer requirement.
	RESPONSE: NOT APPLICABLE
2.8.3.2	Where an allergen management plan is required by regulation or customer specification, the requirements of 2.8.2 shall apply.
	RESPONSE: NOT APPLICABLE
2.9.1	Training Requirements
	The site has a documented Training Requirements policy dated 4/20/20. The purpose is to ensure the employee are provided training that is commensurate to the level of controls and monitoring required to effectively implement the SQF system The policy includes but is not limited to the required training and refresher training conducted annually.
2.9.1.1	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 shall be defined and documented.
	RESPONSE: COMPLIANT

- 2.9.1.2** Appropriate training shall be provided for personnel carrying out the tasks essential to the effective implementation of the SQF System and the maintenance of food safety and regulatory requirements.

RESPONSE: COMPLIANT

2.9.2 Training Program (Mandatory)

The site has a documented Training Requirements policy dated 4/20/20. The purpose is to ensure the employee are provided training that is commensurate to the level of controls and monitoring required to effectively implement the SQF system. The policy includes but is not limited to the required training and refresher training conducted annually.

- 2.9.2.1** 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 Manufacturing Practices; ii. Applying food regulatory requirements; iii. Steps identified by the hazard analysis and/or other instructions as critical to effective implementation of the food safety plan and the maintenance of food safety; and iv. Tasks identified as critical to meeting the effective implementation and maintenance of the SQF System.

RESPONSE: COMPLIANT

2.9.3 Instructions

Instructions are available

- 2.9.3.1** Instructions shall be available in the languages relevant to the staff, explaining how all tasks critical to meeting regulatory compliance, the maintenance of food safety, and process efficiency are to be performed.

RESPONSE: COMPLIANT

2.9.4 HACCP Training Requirements

HACCP training is dated 4/30/2020

- 2.9.4.1** HACCP training shall be provided for staff involved in developing and maintaining food safety plans.

RESPONSE: COMPLIANT

2.9.5 Language

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

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

RESPONSE: COMPLIANT

2.9.6 Refresher Training

Refresher training requirement is annually

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

RESPONSE: COMPLIANT

2.9.7 Training Skills Register

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

- 2.9.7.1** A training skills register describing who has been trained in relevant skills shall be maintained. The register shall indicate the: i. Participant name; ii. Skills description; iii. Description of the training provided; iv. Date training completed; v. Trainer or training provider; and vi. Supervisor's verification that the training was completed, and that the trainee is competent to complete the required tasks.

RESPONSE: MINOR

EVIDENCE: Trainer or training provider and Supervisor's verification are not documented on the register.

ROOT CAUSE: When reviewing the SQF code we miss Trainer and Supervisor's verification are not documented on the training register.

CORRECTIVE ACTION: On 6-19-2020 we added a column to the training registry that indicates who is the trainer and who is the employee Supervisor..

VERIFICATION OF CLOSEOUT: Training register updated-Dylan Jones

COMPLETION DATE: 06/19/2020 **CLOSEOUT DATE:** 07/16/2020

11.1.1 Premises Location and Approval

The location of the premises, operations and land use do not interfere with safe and hygienic operations. The Business License Expires 6/30/2020

- 11.1.1.1** 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.2.1 Materials and Surfaces

Product contact surfaces and those surfaces not in direct contact with food in food handling areas constructed of materials that will not contribute a food safety risk.

- 11.2.1.1** Product contact surfaces and those surfaces not in direct contact with food in food handling areas, raw material storage, packaging material storage, and cold storage areas shall be constructed of materials that will not contribute a food safety risk.

RESPONSE: COMPLIANT

11.2.2 Floors, Drains, and Waste Traps

Floors are constructed of material that can be effectively graded, drained.

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

RESPONSE: COMPLIANT

- 11.2.2.2** Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or wastewater under normal working conditions.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 11.2.2.4** Waste trap system shall be located away from any food handling area or entrance to the premises.

RESPONSE: NOT APPLICABLE

EVIDENCE: No Waste trap system

11.2.3 Walls, Partitions, Doors and Ceilings

Walls, ceilings and doors are of durable construction.

- 11.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious with a light-colored finish and shall be kept clean (refer to 11.2.13.1).

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 11.2.3.3 Ducting, conduit and pipes that convey services such as steam or water shall be designed and constructed to prevent the contamination of food, ingredients and food contact surfaces and allow ease of cleaning.

RESPONSE: COMPLIANT

- 11.2.3.4 Pipes carrying sanitary waste or wastewater that are located directly over product lines or storage areas shall be designed and constructed to prevent the contamination of food, materials, ingredients and food contact surfaces, and shall allow ease of cleaning.

RESPONSE: COMPLIANT

- 11.2.3.5 Doors, hatches and windows and their frames in food processing, handling or storage areas shall be of a material and construction which meets the same functional requirements as for internal walls and partitions. Doors and hatches shall be of solid construction and windows shall be made of shatterproof glass or similar material.

RESPONSE: COMPLIANT

- 11.2.3.6 Product shall be processed and handled in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of products.

RESPONSE: COMPLIANT

- 11.2.3.7 Drop ceilings shall be constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.

RESPONSE: NOT APPLICABLE

EVIDENCE: No Drop ceilings observed

11.2.4 Stairs, Catwalks and Platforms

No stairs, catwalks and platforms in food processing and handling areas

- 11.2.4.1 Stairs, catwalks and platforms in food processing and handling areas shall be designed and constructed so as not to present a product contamination risk, and with no open grates directly above exposed food product surfaces. They shall be kept clean (refer to 11.2.13.1).

RESPONSE: NOT APPLICABLE

11.2.5 Lightings and Light Fittings

Light fittings in warehouses and other areas are protected with a shatterproof covering or fitted with protective covers.

- 11.2.5.1 Lighting in food processing and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

RESPONSE: COMPLIANT

- 11.2.5.2 Light fittings in processing areas, inspection stations, ingredient and packaging storage areas, and all areas where the product is exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling. Where fittings cannot be recessed, structures must be protected from accidental breakage, manufactured from cleanable materials and addressed in the cleaning and sanitation program.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.2.6 Inspection / Quality Control Area

The repack area is suitable and clean to prevent product contamination.

- 11.2.6.1 A suitable area shall be provided for the inspection of the product if required.

RESPONSE: COMPLIANT

- 11.2.6.2 The inspection/quality control area shall be provided with facilities that are suitable for examination and testing of the type of product being handled/processed. The inspection area shall: i. Have easy access to hand washing facilities; ii. Have appropriate waste handling and removal; and iii. Be kept clean to prevent product contamination.

RESPONSE: COMPLIANT

11.2.7 Dust, Insect, and Pest Proofing

External doors, including overhead dock doors in food handling areas used for product, pedestrian or truck access are insect proofed.

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

RESPONSE: COMPLIANT

- 11.2.7.2 External personnel access doors shall be provided. They shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against ingress of dust, vermin and other pests.

RESPONSE: COMPLIANT

- 11.2.7.3 External doors, including overhead dock doors in food handling areas used for product, pedestrian or truck access shall be insect-proofed by at least one or a combination of the following methods: i. A self-closing device; ii. An effective air curtain; iii. An insect-proof screen; iv. An insect-proof annex; v. Adequate sealing around trucks in docking areas.

RESPONSE: COMPLIANT

- 11.2.7.4 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to the product, packaging, containers or processing equipment. Poison rodenticide bait shall not be used inside ingredient or product storage areas or processing areas.

RESPONSE: COMPLIANT

11.2.8 Ventilation

Adequate ventilation is provided.

- 11.2.8.1 Adequate ventilation shall be provided in enclosed processing and food handling areas.

RESPONSE: COMPLIANT

- 11.2.8.2 All ventilation equipment and devices in product storage and handling areas shall be adequately cleaned as per 11.2.12, to prevent unsanitary conditions.

RESPONSE: COMPLIANT

- 11.2.8.3 Extractor fans and canopies shall be provided in areas where cooking operations are carried out or a large amount of steam is generated and shall have the following features: i. Capture velocities shall be sufficient to prevent condensation build up and to evacuate all heat, fumes and other aerosols to the exterior via an exhaust hood positioned over the cooker(s); ii. Fans and exhaust vents shall be insect-proofed and located so as not to pose a contamination risk; and iii. Where appropriate, positive air-pressure system shall be installed to prevent airborne contamination.

RESPONSE: NOT APPLICABLE

EVIDENCE: No extractor fans and canopies. No cooking operations

11.2.9 Equipment, Utensils, and Protective Clothing

The site has a documented Equipment Utensil and Protective policy dated 3/9/19. The purpose is to describe the controls the facility uses to ensure equipment utensils and protective covering does not pose a threat to the product.

11.2.9.1 Specifications for equipment, utensils and protective clothing, and procedures for purchasing equipment shall be documented and implemented.

RESPONSE: COMPLIANT

11.2.9.2 Equipment and utensils shall be designed, constructed, installed, operated and maintained to meet any applicable regulatory requirements and not to pose a contamination threat to products.

RESPONSE: COMPLIANT

11.2.9.3 Benches, tables, conveyors, mixers, mincers, graders and other mechanical processing equipment shall be hygienically designed and located for appropriate cleaning. Equipment surfaces shall be smooth, impervious and free from cracks or crevices.

RESPONSE: COMPLIANT

11.2.9.4 Product containers, tubs, and bins used for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious and readily cleaned as per 11.2.13. Bins used for inedible material shall be clearly identified.

RESPONSE: COMPLIANT

11.2.9.5 Waste and overflow water from tubs, tanks and other equipment shall be discharged direct to the floor drainage system, and to meet local regulatory requirements.

RESPONSE: COMPLIANT

11.2.9.6 Protective clothing shall be manufactured from material that will not contaminate food and is easily cleaned.

RESPONSE: COMPLIANT

11.2.9.7 Racks shall be provided for the temporary storage of protective clothing when staff leave the processing area and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

RESPONSE: COMPLIANT

11.2.9.8 All equipment, utensils and protective clothing shall be cleaned after use or at a frequency to control contamination and stored in a clean and serviceable condition to prevent microbiological or cross-contact allergen contamination.

RESPONSE: COMPLIANT

11.2.10 Premises and Equipment Maintenance

The site has a documented Premises and equipment maintenance policy dated 3/9/19. The purpose is to define the methods and responsibility for the maintenance and repair of plant, equipment and building and carried out in a manner that minimizes the risk of product, packaging, or equipment contamination. The policy includes the maintenance schedule and instructions to maintenance contractors. The maintenance schedule is also documented in the contract service providers register.

11.2.10.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented, planned and implemented in a manner that minimizes the risk of product, packaging or equipment contamination.

RESPONSE: COMPLIANT

11.2.10.2 Routine maintenance of plant and equipment in any food processing, handling or storage area shall be performed according to a maintenance-control schedule and recorded. 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.

RESPONSE: COMPLIANT

11.2.10.3 Failures of plant and equipment in any food processing, handling or storage area shall be documented, reviewed and their repair incorporated into the maintenance control schedule.

RESPONSE: COMPLIANT

11.2.10.4 Maintenance staff and contractors shall comply with the site's personnel and process hygiene requirements (refer to 11.3.1, 11.3.2, 11.3.3, 11.3.4).

RESPONSE: COMPLIANT

11.2.10.5 All maintenance and other engineering contractors required to work on site shall be trained in the site's food safety and hygiene procedures, or shall be escorted at all times, until their work is completed.

RESPONSE: COMPLIANT

11.2.10.6 Site supervisors shall be notified when maintenance or repairs are to be undertaken in any processing, handling or storage area.

RESPONSE: COMPLIANT

11.2.10.7 The maintenance supervisor and the site supervisor shall be informed 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.

RESPONSE: COMPLIANT

11.2.10.8 Temporary repairs, where required shall not pose a food safety risk and shall be included in the cleaning program. There shall be a plan in place to address completion of temporary repairs to ensure they do not become permanent solutions.

RESPONSE: COMPLIANT

11.2.10.9 Maintenance staff and contractors shall 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 and a pre-operational inspection conducted prior to the commencement of site operations.

RESPONSE: COMPLIANT

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

RESPONSE: NOT APPLICABLE

EVIDENCE: This is a Food Storage and Distribution site.

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

RESPONSE: COMPLIANT

11.2.11 Calibration

The calibration program is dated 3/9/19. The calibration and re-calibration of equipment used for monitoring activities outlined in the pre-requisite programs, food safety plans and other process controls. The annually and weekly calibration methods are outlined in the policy.

11.2.11.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in pre-requisite programs and food safety plans, or to demonstrate compliance with customer specifications shall be documented and implemented. Software used for such activities shall be validated as appropriate.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

EVIDENCE: Procedures are not documented and implemented to address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state. SEE 12.2.9.2 for non-conformance

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

RESPONSE: COMPLIANT

11.2.11.4 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 site shall provide evidence to support the calibration reference method applied.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.2.11.6 Calibration records shall be maintained.

RESPONSE: COMPLIANT

11.2.12 Pest Prevention

The site has a documented intern Pest Prevention program dated 4/27/2020 and the site has a 3rd party PCO. The pest preventive scope of service is documented. The site map is sign and dated 6/11/2020, The business license expires 12/31/2021, and the applicator license expires on 6/30/21. The material list with brand names and EPA number is maintained. The SDS are on file. Recorfs sighted Service inspection report verified (product application summary, condition/observation, pest activity) dated 5/21/2020, 4/23/2020, 2/28/2020

- 11.2.12.1** The methods and responsibility for pest prevention shall be documented and effectively implemented. The premises, its surrounding areas, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

RESPONSE: COMPLIANT

- 11.2.12.2** Identified pest activity shall not present a risk of contamination to food products, raw materials or packaging.

RESPONSE: COMPLIANT

- 11.2.12.3** Food products, raw materials or packaging that are found to be contaminated by pest activity shall be effectively disposed of, and the source of pest infestation investigated and resolved. Records shall be kept of the disposal, investigation, and resolution.

RESPONSE: COMPLIANT

- 11.2.12.4** The pest prevention program shall: i. Describe the methods and responsibility for the development, Implementation and maintenance of the pest prevention program; ii. Record pest sightings and trend the frequency of pest activity to target pesticide applications; iii. Outline the methods used to prevent pest problems; iv. Outline the pest elimination methods; v. Outline the frequency with which pest status is to be checked; vi. Include on a site map the identification, location, number and type of bait stations set; vii. List the chemicals used (they are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available); viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come into contact with a bait station; ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and x. Measure the effectiveness of the program to verify the elimination of applicable pests.

RESPONSE: COMPLIANT

EVIDENCE: Outline the methods used to make staff aware of the bait control program and the measures to take when they come into contact with a bait station is not documented SEE 12.2.10.4

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

RESPONSE: COMPLIANT

- 11.2.12.6** Records of all pest control applications shall be maintained.

RESPONSE: COMPLIANT

- 11.2.12.7** Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 11.6.4 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.

RESPONSE: NOT APPLICABLE

EVIDENCE: Pesticides and other toxic chemicals Not stored on site

- 11.2.12.8** Pest contractors shall be: i. Licensed and approved by the local relevant authority; ii. Use only trained and qualified operators who comply with regulatory requirements; iii. Use only approved chemicals; iv. Provide a pest prevention plan (refer to 2.3.3) which will include and maintain a site map indicating the location of bait stations traps and other applicable pest control/monitoring devices; v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments; and vi. Provide a written report of their findings and the inspections and treatments applied.

RESPONSE: COMPLIANT

- 11.2.12.9** The site shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that: i. Empty chemical containers are not reused; ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

RESPONSE: NOT APPLICABLE

EVIDENCE: This is the responsibility of the PCO and not the site.

11.2.13 Cleaning and Sanitation

The site has a documented Cleaning and sanitation policy dated 4/27/2020. The policy includes but is not limited to the use of a 3rd party service to clean the staff amenities, the master sanitation schedule, instructions and verifications.

- 11.2.13.1** The methods and responsibility for the cleaning of the food handling and processing equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to: i. What is to be cleaned; ii. How it is to be cleaned; iii. When it is to be cleaned; iv. Who is responsible for the cleaning; v. Methods used to confirm the correct concentrations of detergents and sanitizers, and vi. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 11.2.13.3** Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils and for cleaning of protective clothing used by staff. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or product. Racks and containers for storing cleaned utensils shall be provided as required.

RESPONSE: COMPLIANT

- 11.2.13.4** Cleaning in place (CIP) systems where used shall not pose a chemical contamination risk to raw materials, ingredients or product. CIP parameters critical to assuring effective cleaning shall be defined, monitored and recorded (e.g., chemical and concentration used, contact time and temperature). CIP equipment including spray balls shall be maintained and modifications to CIP equipment shall be validated. Personnel engaged in CIP activities shall be effectively trained.

RESPONSE: NOT APPLICABLE

EVIDENCE: No CIP system. This is a Food Storage and Distribution site.

- 11.2.13.5** Pre-operational inspections shall be conducted following cleaning and sanitation operations to ensure food processing areas, product contact surfaces, equipment, staff amenities and sanitary facilities and other essential areas are clean before the commencement of production. Pre-operational inspections shall be conducted by qualified personnel.

RESPONSE: COMPLIANT

- 11.2.13.6** Staff amenities, sanitary facilities and other essential areas shall be inspected by qualified personnel to ensure the areas are clean, at a defined frequency.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 11.2.13.8** Detergents and sanitizers shall be suitable for use in a food manufacturing environment, labeled according to regulatory requirements, and purchased in accordance with applicable legislation. The organization shall ensure: i. The site maintains a list of chemicals approved for use; ii. An inventory of all chemicals purchased and used shall be maintained; iii. Detergents and sanitizers are stored as outlined in element 11.6.4; iv. Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased; and v. Only trained staff handles sanitizers and detergents.

RESPONSE: COMPLIANT

- 11.2.13.9** Detergents and sanitizers that have been mixed for use shall be correctly mixed according to manufacturers' instructions, stored in containers that are suitable for use, and clearly identified. Mix concentrations shall be verified and records maintained.

RESPONSE: NOT APPLICABLE

EVIDENCE: No Detergents and sanitizers that have been mixed

- 11.2.13.10** The site shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that: i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use; ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.3.1 Personnel

No personnel observed with a known infectious diseases or exposed cuts, sores or lesions. No Smoking, chewing, eating, or spitting observed.

- 11.3.1.1** Personnel who are carriers or are known to have been carriers of infectious diseases that present a health risk to others through the packing or storage processes shall not engage in the processing or packing of food or enter storage areas where food is exposed.

RESPONSE: COMPLIANT

- 11.3.1.2** The site shall have measures in place to prevent contact of materials, ingredients, food packaging, food, or food contact surfaces from any bodily fluids from open wounds, coughing, sneezing, spitting, or any other means. In the event of an injury which causes spillage of bodily fluid, a properly trained employee shall ensure that all affected areas including handling and processing areas have been adequately cleaned and that all materials and products have been quarantined and disposed of.

RESPONSE: COMPLIANT

- 11.3.1.3** Personnel with exposed cuts, sores or lesions shall not engage in handling or processing products or handling primary packaging materials or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a colored bandage containing a metal strip or an alternative suitable waterproof and colored dressing.

RESPONSE: COMPLIANT

- 11.3.1.4** Smoking, chewing, eating, or spitting is not permitted in areas where product is produced, stored, or otherwise exposed. Drinking of water is permissible only under conditions that prevent contamination or other food safety risks from occurring. Drinking water containers in production and storage areas shall be stored in clear, covered containers, and in designated areas away from raw materials, packaging or equipment.

RESPONSE: COMPLIANT

11.3.2 Hand Washing

Hand wash basins are constructed of stainless steel or similar non-corrosive material.

- 11.3.2.1** Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout food handling and processing areas as required.

RESPONSE: COMPLIANT

- 11.3.2.2** Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with: i. A potable water supply at an appropriate temperature; ii. Liquid soap contained within a fixed dispenser; iii. Paper towels in a hands-free cleanable dispenser; and iv. A means of containing used paper towels.

RESPONSE: COMPLIANT

- 11.3.2.3** The following additional facilities shall be provided in high risk areas: i. Hands free operated taps; and ii. Hand sanitizers.

RESPONSE: NOT APPLICABLE

EVIDENCE: The is a Food Storage and Distribution site.

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

RESPONSE: COMPLIANT

11.3.2.5 Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors: i. On entering food handling or processing areas; ii. After each visit to a toilet; iii. After using a handkerchief; iv. After smoking, eating or drinking; and v. After handling wash down hoses, dropped product or contaminated material.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.3.3 Clothing

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

11.3.3.1 The site shall undertake a risk analysis to ensure that the clothing and hair policy protects materials, food and food contact surfaces from unintentional microbiological or physical contamination.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.3.3.4 Excessively soiled uniforms shall be changed or replaced where they present a product contamination risk.

RESPONSE: COMPLIANT

11.3.3.5 Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area or designated sealed containers in personnel lockers and not on packaging, ingredients, product or equipment.

RESPONSE: COMPLIANT

11.3.4 Jewelry and Personal Effects

No jewelry or other loose objects observed worn or taken into a food handling or processing operation or any area where food is exposed.

11.3.4.1 Jewelry and other loose objects shall not be worn or taken into a food handling or processing operation or any area where food is exposed. The wearing of plain bands with no stones and prescribed medical alert bracelets can be permitted, however the site will need to consider their customer requirements and the applicable food legislation.

RESPONSE: COMPLIANT

11.3.5 Visitors

All visitors, including management observed following the site protocol.

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.3.5.5 All visitors shall be trained in the site's food safety and hygiene procedures before entering any food processing or handling areas or shall be escorted at all times in food processing, handling and storage areas.

RESPONSE: COMPLIANT

11.3.6 Staff Amenities

Staff amenities are supplied with appropriate lighting and ventilation.

11.3.6.1 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.

RESPONSE: COMPLIANT

11.3.7 Change Rooms

Provision are made for staff to store their street clothing and personal items.

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

RESPONSE: COMPLIANT

11.3.7.2 Change rooms shall be provided for staff engaged in the processing of high risk foods or processing operations in which clothing can be soiled.

RESPONSE: COMPLIANT

11.3.7.3 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.

RESPONSE: COMPLIANT

11.3.7.4 Where required, a sufficient number of showers shall be provided for use by staff.

RESPONSE: NOT APPLICABLE

EVIDENCE: No showers required.

11.3.8 Laundry

The is a Food Storage and Distribution site.

11.3.8.1 Provision shall be made for the laundering and storage of clothing worn by staff engaged in high risk processes and for staff engaged in processing operations in which clothing can be heavily soiled.

RESPONSE: NOT APPLICABLE

11.3.9 Sanitary Facilities

Toilet rooms are designed and constructed so that they are accessible to staff and separate from any processing and food handling operations.

11.3.9.1 Toilet rooms shall be: i. Designed and constructed so that they are accessible to staff and separate from any processing and food handling operations; ii. Accessed from the processing area via an airlock vented to the exterior or through an adjoining room; iii. Sufficient in number for the maximum number of staff; iv. Constructed so that they can be easily cleaned and maintained; v. Include an area inside or nearby, for storing protective clothing, outer garments and other items while using the facilities; and vi. Kept clean and tidy.

RESPONSE: COMPLIANT

- 11.3.9.2** 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 in accordance in regulations.

RESPONSE: COMPLIANT

- 11.3.9.3** Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 11.3.2.2.

RESPONSE: COMPLIANT

11.3.10 Lunch Rooms

Separate lunch-room facilities are provided away from a food contact/handling zone.

- 11.3.10.1** Separate lunch-room facilities shall be provided away from a food contact/handling zone.

RESPONSE: COMPLIANT

- 11.3.10.2** Lunch-room facilities shall be: i. Ventilated and well lit; ii. Provided with adequate tables and seating to cater for the maximum number of staff at one sitting; iii. Equipped with a sink serviced with hot and cold potable water for washing utensils; iv. Equipped with refrigeration and heating facilities enabling them to store or heat food and to prepare non-alcoholic beverages if required; and v. Kept clean and free from waste materials and pests.

RESPONSE: COMPLIANT

- 11.3.10.3** Where outside eating areas are provided, they should be kept clean and free from waste materials and maintained in a manner that minimizes the potential for introduction of contamination including pests to the site.

RESPONSE: COMPLIANT

- 11.3.10.4** Signage in appropriate languages instructing people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch-rooms, at lunch-room exits and in outside eating areas if applicable.

RESPONSE: COMPLIANT

11.4.1 Staff Engaged in Food Handling and Processing Operations

The site has a documented Personnel practices policy dated 4/28/2020. The policy is to outline the established procedures to ensure the staff engaged in food handling and storage areas are properly trained and adhere to the sites policies to ensure food safety. The requirements for personnel engaged in any handling, inspection or repacking of exposed food products or ingredient includes but is not limited to wash their hands when entering the area, not wear false nails, or polish, not bring glass or breakable plastic in to the area, and no food, beverage, or use of tobacco products in areas where food is being processed or stored.

- 11.4.1.1** All personnel engaged in any food handling, preparation or processing operations shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination. They shall comply with the following processing practices: i. Personnel entry to processing areas shall be through the personnel access doors only; ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required; iii. Packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor; iv. 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; v. Staff shall not eat or taste any product being processed in the food handling/contact zone, except as noted in element 11.4.1.2; vi. The wearing of false fingernails, false eyelashes, eyelash extensions, long nails or fingernail polish is not permitted when handling exposed food; and vii. Hair restraints are used where product is exposed.

RESPONSE: COMPLIANT

- 11.4.1.2** In circumstances where it is necessary to undertake sensory evaluations in a food handling/contact zone the site shall implement proper controls and procedures to ensure: i. Food safety is not compromised; ii. Sensory evaluations are conducted by authorized personnel only; iii. A high standard of personal hygiene is practiced by personnel conducting sensory evaluations; iv. Sensory evaluations are conducted in areas equipped for the purpose; and v. Equipment used for sensory evaluations is sanitized, maintained and stored separate from processing equipment.

RESPONSE: COMPLIANT

- 11.4.1.3** All wash down hoses shall be stored on hose racks after use and not left on the floor.

RESPONSE: COMPLIANT

11.5.1 Water Supply

Adequate supplies of potable water drawn from the city of Ontario.

- 11.5.1.1 Adequate supplies of potable water drawn from a known clean source shall be provided for use during processing operations, as an ingredient and for cleaning the premises and equipment.

RESPONSE: COMPLIANT

- 11.5.1.2 Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 11.5.1.4 The use of non-potable water shall be controlled such that: i. There is no cross-contamination between potable and non-potable water lines; ii. Non-potable water piping and outlets are clearly identified; and iii. Hoses, taps, and other similar sources of possible contamination are designed to prevent back flow or back siphonage.

RESPONSE: NOT APPLICABLE

EVIDENCE: non-potable water is not used.

- 11.5.1.5 Where water is stored on site, storage facilities shall be adequately designed, constructed and maintained to prevent contamination.

RESPONSE: NOT APPLICABLE

EVIDENCE: No water is stored on site

11.5.2 Water Treatment

No Water treatment system

- 11.5.2.1 Water treatment methods, equipment and materials, if required, shall be designed, installed and operated to ensure water receives an effective treatment.

RESPONSE: NOT APPLICABLE

- 11.5.2.2 Water treatment equipment shall be monitored regularly to ensure it remains serviceable.

RESPONSE: NOT APPLICABLE

- 11.5.2.3 Treated water shall be regularly monitored to ensure it meets the indicators specified.

RESPONSE: NOT APPLICABLE

- 11.5.2.4 Water used in as an ingredient in processing, or in cleaning and sanitizing equipment, shall be tested, and if required, treated to maintain potability (refer to 11.5.2.1).

RESPONSE: NOT APPLICABLE

11.5.3 Ice Supply

Ice is not used.

- 11.5.3.1 Ice provided for use during processing operations or as a processing aid or an ingredient shall comply with 11.5.4.1.

RESPONSE: NOT APPLICABLE

- 11.5.3.2 Ice rooms and receptacles shall be constructed of materials as outlined in elements 11.2.1, 11.2.2 and 11.2.3 and designed to minimize contamination of the ice during storage and distribution.

RESPONSE: NOT APPLICABLE

11.5.4 Water Quality

Last water test COA dated 5/14/2020

- 11.5.4.1** Water shall comply with local, national or internationally recognized potable water microbiological and quality standards as required when used for: i. washing, thawing and treating food; ii. handwashing iii. to convey food; iv. as an ingredient or food processing aid; v. cleaning food contact surfaces and equipment; vi. the manufacture of ice; or vii. the manufacture of steam that will come into contact with food or used to heat water that will come in contact with food.

RESPONSE: COMPLIANT

- 11.5.4.2** 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. Samples for analysis shall be taken at sources supplying water for the process or cleaning, or from within the site. The frequency of analysis shall be risk-based, and at a minimum annually.

RESPONSE: COMPLIANT

- 11.5.4.3** Water and ice shall be analyzed using reference standards and methods.

RESPONSE: COMPLIANT

11.5.5 The Quality of Air and Other Gasses

Compressed air or other gases are not used.

- 11.5.5.1** Compressed air or other gases (e.g. nitrogen, carbon dioxide) that contacts food or food contact surfaces shall be clean and present no risk to food safety.

RESPONSE: NOT APPLICABLE

- 11.5.5.2** Compressed air systems, and systems used to store or dispense other gases used in the manufacturing process that come into contact with food or food contact surfaces shall be maintained and regularly monitored for quality and applicable food safety hazards.

RESPONSE: NOT APPLICABLE

11.6.1 Storage and Handling of Goods

The site has a documented Storage and Transport policy dated 5/6/17. The purpose is to describe the procedures used to properly receive, store, and transport Ingredients and goods to ensure food safety. The cold storage, freezing and chilling of foods is monitored for operational performance by daily temperature verification, continuous monitoring, and contracted preventative maintenance of the system. The dry storage areas used for the storage of product ingredients, packaging and other dry goods are located separately from sanitation areas where water is used. The equipment storage is located in areas away from exposed food ingredients and packaging. Chemicals used in sanitation/maintenance process are stored in secured areas away from packaging, raw materials and finished goods to prevent potential for food contamination. FIFO is the sites stock rotation metohds.

- 11.6.1.1** The site shall document and implement an effective storage plan that allows for the safe, hygienic storage of raw materials (i.e. frozen, chilled, and ambient), ingredients, packaging materials, equipment, and chemicals.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 11.6.1.4** Equipment storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

RESPONSE: COMPLIANT

- 11.6.1.5** Where goods described in 11.6.2 to 11.6.4 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.

RESPONSE: NOT APPLICABLE

EVIDENCE: No temporary or overflow storage

- 11.6.1.6** Records shall be available to validate alternate or temporary control measures for the storage of raw materials, ingredients, packaging materials, equipment, chemicals, or finished products.

RESPONSE: NOT APPLICABLE

EVIDENCE: No temporary or overflow storage

11.6.2 Cold Storage, Freezing and Chilling of Foods

Records sighted Cooler Freezer temperature (continuous) monitoring dated 10/14/19, 2/14/2020, 6/11/2020. Temperature Records (verified) dated 6/12/2020, 2/12/2020

- 11.6.2.1** The site 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 and easily accessible for inspection and cleaning.

RESPONSE: COMPLIANT

- 11.6.2.2** Sufficient refrigeration capacity shall be available to chill, freeze, store chilled or store frozen the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 11.6.2.4** Freezing, chilling and cold storage rooms shall be fitted with temperature monitoring equipment and located to monitor the warmest part of the room and be fitted with a temperature measurement device that is easily readable and accessible.

RESPONSE: COMPLIANT

- 11.6.2.5** Loading and unloading docks shall be designed to protect the product during loading and unloading.

RESPONSE: COMPLIANT

11.6.3 Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods

The dry storage areas used for the storage of product ingredients, packaging and other dry goods are located separately from sanitation areas where water is used.

- 11.6.3.1** Rooms used for the storage of product ingredients, packaging, and other dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.

RESPONSE: COMPLIANT

- 11.6.3.2** Racks provided for the storage of packaging 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 packaging from becoming a harborage for pests or vermin.

RESPONSE: COMPLIANT

- 11.6.3.3** Vehicles used in food contact, handling or processing zones or in cold storage rooms shall be designed and operated so as not to present a food safety hazard.

RESPONSE: COMPLIANT

11.6.4 Storage of Hazardous Chemicals and Toxic Substances

Chemicals used in sanitation/maintenance process are stored in secured areas away from packaging, raw materials and finished goods to prevent potential for food contamination.

- 11.6.4.1** 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.

RESPONSE: COMPLIANT

- 11.6.4.2** Processing utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.

RESPONSE: COMPLIANT

- 11.6.4.3** Daily supplies of chemicals used for continuous sanitizing of water or as a processing aid, or for emergency cleaning of food processing equipment or surfaces in food contact zones, may be stored within or in close proximity to a processing area provided that access to the chemical storage facility is restricted to authorized personnel.

RESPONSE: COMPLIANT

- 11.6.4.4** Pesticides, rodenticides, fumigants and insecticides shall be stored separate from sanitizers and detergents. All chemicals shall be stored in their original containers, or in clearly labelled and suitable secondary containers if allowed by applicable legislation.

RESPONSE: NOT APPLICABLE

EVIDENCE: Pesticides, rodenticides, fumigants and insecticides are not stored on site

- 11.6.4.5** Hazardous chemical and toxic substance storage facilities shall: i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals; ii. Be adequately ventilated; iii. Be provided with appropriate signage indicating the area is a hazardous storage area; iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of hazardous chemicals and toxic substances; v. Have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff; vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility; vii. Have suitable first aid equipment and protective clothing available close to the storage area; viii. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and ix. Be equipped with spillage kits and cleaning equipment.

RESPONSE: COMPLIANT

11.6.5 Loading, Transport, and Unloading Practices

The site has a documented Storage and Transport policy dated 5/6/17. The purpose is to describe the procedures used to properly receive, store, and transport ingredients and goods to ensure food safety.

- 11.6.5.1** 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.

RESPONSE: COMPLIANT

11.6.6 Loading

The loading, transport, and unloading practices include but is not limited to procedure includes but is not limited to seals/locked, cleanliness, odor, physical appearance, and the presence of rodents or insects. Records sighted Outbound checklist (temp trailer, trailer inspection) dated 6/12/2020, 2/12/2020 10/14/19 Driver Manifest and Invoice (item#, temp) dated 1/22/2020, 4/13/2020

- 11.6.6.1** Vehicles (e.g. 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.

RESPONSE: COMPLIANT

- 11.6.6.2** Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity during loading and transport.

RESPONSE: COMPLIANT

- 11.6.6.3** Vehicles (e.g. trucks/vans/containers) shall be secured from tampering using a seal or other agreed upon and acceptable device or system.

RESPONSE: COMPLIANT

11.6.7 Transport

Records sighted Outbound checklist (temp trailer, trailer inspection) dated 6/12/2020, 2/12/2020 10/14/19 Driver Manifest and Invoice (item#, temp) dated 1/22/2020, 4/13/2020

- 11.6.7.1** Refrigerated units shall maintain the food at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and product temperatures recorded at regular intervals during loading as appropriate.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.6.8 Unloading

The loading, transport, and unloading practices include but is not limited to procedure includes but is not limited to seals/locked, cleanliness, odor, physical appearance, and the presence of rodents or insects. Records Sighted Receiving records Inbound Checklist (trailer inspection, Lot#) dated 1/15/2020, 4/16/2020, 1/14/2020 Receiving HACCP (seal, temp, trailer inspection) Report dated 2/11/2020, 6/12/2020, 10/14/19

- 11.6.8.1** 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.7.1 Process Flow

The process flow is designed to prevent cross-contamination and organized.

- 11.7.1.1** The process flow shall be designed to prevent cross-contamination and organized so there is a continuous flow of product through the process. The flow of personnel shall be managed such that the potential for contamination is minimized.

RESPONSE: COMPLIANT

11.7.2 Receipt of Raw and Packaging Materials and Ingredients

The dry storage areas used for the storage of product ingredients, packaging and other dry goods are located separately from sanitation areas where water is used.

- 11.7.2.1** Dry ingredients and packaging shall be received and stored separately from frozen and chilled raw materials to ensure there is no cross-contamination. Unprocessed raw materials shall be received and segregated to ensure there is no cross-contamination.

RESPONSE: COMPLIANT

11.7.3 Thawing of Food

No thawing The is a Food Storage and Distribution site.

- 11.7.3.1** Thawing of food shall be undertaken in equipment and rooms appropriate for the purpose.

RESPONSE: NOT APPLICABLE

- 11.7.3.2** Equipment for water thawing shall be continuous flow to ensure the water exchange rate and temperature do not contribute to product deterioration or contamination. Water overflow shall be directed into the floor drainage system and not onto the floor.

RESPONSE: NOT APPLICABLE

- 11.7.3.3** Air thawing facilities shall be designed to thaw food under controlled conditions at a rate and temperature that does not contribute to product deterioration or contamination.

RESPONSE: NOT APPLICABLE

- 11.7.3.4** Provision is to be made for the containment and regular disposal of used cartons and packaging from thawed product so that there is no risk to the product.

RESPONSE: NOT APPLICABLE

11.7.4 High Risk Processes

No a high risk site The is a Food Storage and Distribution site.

- 11.7.4.1** The processing of high risk food shall be conducted under controlled conditions such that sensitive areas in which high risk food has undergone a "kill" step, a "food safety intervention" or is subject to post process handling, are protected/segregated from other processes; raw materials or staff who handle raw materials to ensure cross-contamination is minimized.

RESPONSE: NOT APPLICABLE

- 11.7.4.2** Areas in which high risk processes are conducted shall only be serviced by staff dedicated to that function.

RESPONSE: NOT APPLICABLE

- 11.7.4.3** Staff access points shall be located, designed and equipped to enable staff to don distinctive protective clothing and to practice a high standard of personal hygiene to prevent product contamination.

RESPONSE: NOT APPLICABLE

- 11.7.4.4** Staff engaged in high risk areas shall change into clean clothing or temporary protective outerwear when entering high risk areas.

RESPONSE: NOT APPLICABLE

- 11.7.4.5** Product transfer points shall be located and designed so as not to compromise high risk segregation and to minimize the risk of cross-contamination.

RESPONSE: NOT APPLICABLE

11.7.5 Control of Foreign Matter Contamination

The site has a documented Control of foreign matter policy dated 4/28/2020. The master maintenance schedule, pre-operational and operational sanitation inspections and monthly facility inspections are tools utilized to ensure plant and equipment remain in good condition. The measure includes but is not limited to glass preventative, wood preventative, and metal preventive. The glass breakage and other foreign material contamination procedures are documented.

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

RESPONSE: COMPLIANT

- 11.7.5.2** Inspections shall be performed to ensure plant and equipment remain in good condition, equipment has not become detached or deteriorated and is free from potential contaminants.

RESPONSE: COMPLIANT

- 11.7.5.3** All glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location.

RESPONSE: COMPLIANT

- 11.7.5.4** Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where the 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.

RESPONSE: COMPLIANT

- 11.7.5.5** Regular inspections of food handling/contact zones shall be conducted to ensure they are free of glass or other like material and to establish changes to the condition of the objects listed in the glass register.

RESPONSE: COMPLIANT

- 11.7.5.6** Glass instrument dial covers on processing equipment and MIG thermometers shall be inspected at the start of each shift to confirm they have not been damaged.

RESPONSE: COMPLIANT

- 11.7.5.7** Wooden pallets and other wooden utensils used in food handling/contact zones shall be dedicated for that purpose, clean, maintained in good order. Their condition shall be subject to regular inspection.11.7.5.8 Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 11.7.5.9** Knives and cutting instruments used in processing and packaging operations shall be controlled and kept clean and well maintained. Snap-off blades shall not be used in manufacturing or storage areas.

RESPONSE: COMPLIANT

11.7.6 Detection of Foreign Objects

No Detection of Foreign Objects equipment.

- 11.7.6.1** The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented.

RESPONSE: NOT APPLICABLE

- 11.7.6.2** Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected.

RESPONSE: NOT APPLICABLE

- 11.7.6.3** Records shall be maintained of the inspection of foreign object detection devices and of any products rejected or removed by them. Records shall include any corrective actions resulting from the inspections.

RESPONSE: NOT APPLICABLE

11.7.7 Managing Foreign Matter Contamination Incidents

The glass breakage and other foreign material contamination procedures are documented.

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

RESPONSE: COMPLIANT

- 11.7.7.2** 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.

RESPONSE: COMPLIANT

11.8.1 Location

No lab The is a Food Storage and Distribution site.

- 11.8.1.1** On site laboratories conducting chemical and microbiological analysis that may pose a risk to product safety, shall be located separate from any food processing or handling activity and designed to limit access only to authorized personnel.

RESPONSE: NOT APPLICABLE

- 11.8.1.2** Provisions shall be made to isolate and contain all laboratory waste held on the premises and manage it separately from food waste. Laboratory wastewater outlet shall as a minimum be down stream of drains that service food processing and handling areas.

RESPONSE: NOT APPLICABLE

- 11.8.1.3** Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel.

RESPONSE: NOT APPLICABLE

11.9.1 Dry and Liquid Waste Disposal

The site has a documented dry and liquid waste policy dated 1/2/2020. The purpose is to describe the methods used to effectively manage the collection, handling and disposal of waste streams to provide a method for handling and removing waste in accordance with regulatory and GMP standards.

- 11.9.1.1** 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.
RESPONSE: COMPLIANT
- 11.9.1.2** Waste shall be removed on a regular basis and not build up in food handling or processing areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until external waste collection is undertaken.
RESPONSE: COMPLIANT
- 11.9.1.3** Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition, cleaned and sanitized regularly so as not to attract pests and other vermin.
RESPONSE: COMPLIANT
- 11.9.1.4** Adequate provision shall be made for the disposal of all solid processing waste including trimmings, inedible material and used packaging.
RESPONSE: COMPLIANT
- 11.9.1.5** Where applicable, a documented procedure shall be in place for the controlled disposal of trademarked materials. Where a contracted disposal service is used, the disposal process shall be reviewed regularly to confirm compliance.
RESPONSE: COMPLIANT
- 11.9.1.6** Inedible waste designated for animal feed shall be stored and handled so as to not cause a risk to the animal or to further processing.
RESPONSE: NOT APPLICABLE
EVIDENCE: No waste for animal feed.
- 11.9.1.7** Waste held on site prior to disposal shall be stored in a separate storage facility and suitably insect proofed and contained so as not to present a hazard.
RESPONSE: COMPLIANT
- 11.9.1.8** Adequate provision shall be made for the disposal of all liquid waste from processing and food handling areas. Liquid waste shall be either removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal so as not to present a hazard.
RESPONSE: COMPLIANT
- 11.9.1.9** 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.
RESPONSE: COMPLIANT

11.10.1 Grounds and Roadways

The grounds and area surrounding the premises are maintained. The loading and unloading areas are maintained so as not to present a hazard to the food safety operation of the premises.

- 11.10.1.1** Measures shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.
RESPONSE: COMPLIANT
- 11.10.1.2** The grounds and area surrounding the premises shall be maintained to minimize dust and kept free of waste, accumulated debris or standing water so as not to attract pests and vermin.
RESPONSE: COMPLIANT

11.10.1.3 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.

RESPONSE: COMPLIANT

11.10.1.4 Paths, roadways, loading and unloading areas shall be adequately drained to prevent ponding of water. Drains shall be separate from the site drainage system and regularly cleared of debris.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

11.10.1.6 Paths from amenities leading to site entrances are required to be effectively sealed.

RESPONSE: COMPLIANT

12.1.1 Premises Location and Approval

The location of the premises, operations and land use do not interfere with safe and hygienic operations. The Business License Expires 6/30/2020

12.1.1.1 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.2.1 Materials and Surfaces

Product contact surfaces and those surfaces not in direct contact with food in food handling areas constructed of materials that will not contribute a food safety risk.

12.2.1.1 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.

RESPONSE: COMPLIANT

12.2.2 Floors, Drains and Waste Traps

Floors are constructed of material that can be effectively graded, drained.

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

RESPONSE: COMPLIANT

12.2.2.2 Drains shall be constructed and located so they can be easily cleaned and not present a hazard. Drains if located in storage and handling areas, shall be maintained in a clean manner.

RESPONSE: COMPLIANT

12.2.2.3 Waste trap system shall be located away from any food handling or storage area or entrance to the premises.

RESPONSE: NOT APPLICABLE

EVIDENCE: No water trap system

12.2.3 Walls, Partitions, Doors and Ceilings

Walls, ceilings and doors are of durable construction.

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.2.3.4 Drop ceilings shall be additionally constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.

RESPONSE: NOT APPLICABLE

EVIDENCE: No drop ceiling

12.2.4 Lighting and Light Fittings

Light fittings in warehouses and other areas are protected with a shatterproof covering or fitted with protective covers.

12.2.4.1 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.

RESPONSE: COMPLIANT

12.2.4.2 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.2.5 Dust, Insect and Pest Proofing

External doors, including overhead dock doors in food handling areas used for product, pedestrian or truck access are insect proofed. , The PCO business license expires 12/31/2021, and the applicator license expires on 6/30/21. Records sighted Service Inspection report verified (product application summary, condition/observation, pest activity) dated 5/21/2020, 4/23/2020, 2/28/2020

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

RESPONSE: COMPLIANT

12.2.5.2 Personnel access doors shall be provided. They shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against entry of dust, vermin and other pests.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.2.5.4 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 equipment. Poison rodenticide bait shall not be used inside food storage areas.

RESPONSE: COMPLIANT

12.2.6 Ventilation

Adequate ventilation is provided.

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

RESPONSE: COMPLIANT

12.2.6.2 All ventilation equipment and devices in product storage and handling areas shall be adequately cleaned as per 12.2.11.

RESPONSE: COMPLIANT

12.2.7 Equipment, Utensils and Protective Clothing

The site has a documented Equipment Utensil and Protective policy dated 3/9/19. The purpose is to describe the controls the facility uses to ensure equipment utensils and protective covering does not pose a threat to the product.

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

RESPONSE: COMPLIANT

12.2.7.2 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.

RESPONSE: COMPLIANT

12.2.7.3 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.

RESPONSE: COMPLIANT

12.2.8 Premises and Equipment Maintenance

The site has a documented Premises and equipment maintenance policy dated 3/9/19. The purpose is to define the methods and responsibility for the maintenance and repair of plant, equipment and building and carried out in a manner that minimizes the risk of product, packaging, or equipment contamination. The policy includes the maintenance schedule and instructions to maintenance contractors. The maintenance schedule is also documented in the contract service providers register.

12.2.8.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented, planned and implemented in a manner that minimizes the risk of product, packaging or equipment contamination.

RESPONSE: COMPLIANT

12.2.8.2 Routine maintenance of site and equipment in any food storage area shall be performed according to a maintenance-control schedule and recorded. The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety.

RESPONSE: COMPLIANT

12.2.8.3 Failures of site and equipment in any storage area shall be documented, reviewed and their repair incorporated into the maintenance control schedule.

RESPONSE: COMPLIANT

12.2.8.4 Maintenance staff and contractors shall comply with the site's personnel and process hygiene requirements (refer to 12.3.1, 12.3.2, 12.3.3, 12.3.4).

RESPONSE: COMPLIANT

12.2.8.5 All maintenance and other engineering contractors required to work on site shall be trained in the site's food safety and hygiene procedures and shall be assessed in their understanding before entering into any food storage areas.

RESPONSE: COMPLIANT

12.2.8.6 Facility supervisors shall be notified when maintenance or repairs are to be undertaken in any food processing, handling or storage area.

RESPONSE: COMPLIANT

12.2.8.7 The maintenance supervisor and the facility supervisor shall be informed 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 operating times.

RESPONSE: COMPLIANT

- 12.2.8.8** Temporary repairs, where required shall not pose a food safety risk. They shall exclude the use of fasteners such as wire or tape, are clearly identified and dated and included on cleaning programs. There shall be a plan in place to address final completion of temporary repairs in order to ensure temporary repairs do not become permanent solutions.

RESPONSE: COMPLIANT

- 12.2.8.9** Maintenance staff and contractors shall 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 site operations.

RESPONSE: COMPLIANT

- 12.2.8.10** 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

RESPONSE: COMPLIANT

12.2.9 Calibration

The calibration program is dated 3/9/19. The calibration and re-calibration of equipment used for monitoring activities outlined in the pre-requisite programs, food safety plans and other process controls. The annually and weekly calibration methods are outlined in the policy. Records sighted: Thermometer Calibration Log dated 11/15/19, 3/6/2020, 5/8/2020

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

RESPONSE: COMPLIANT

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

RESPONSE: MINOR

EVIDENCE: Procedures is not documented and implemented to address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state.

ROOT CAUSE: The following was not address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state.

CORRECTIVE ACTION: On 6/19/2020 calibration procedure scope has been change. If a thermometer is discovered out of calibration the product that was tested will be put on QC Hold. Product will be re temp, if temperature test is good product will be released. Faulty Thermometer will be trashed

VERIFICATION OF CLOSEOUT: The calibration procedure was updated-Dylan Jones

COMPLETION DATE: 06/19/2020 **CLOSEOUT DATE:** 07/16/2020

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

RESPONSE: COMPLIANT

- 12.2.9.4** 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.2.9.6** Calibration records shall be maintained.

RESPONSE: COMPLIANT

12.2.10 Pest Prevention

The pest preventive scope of service is documented. The site map is sign and dated 6/11/2020, The business license expires 12/31/2021, and the applicator license expires on 6/30/21. The material list with brand names and EPA number is maintained. The SDS are on file. Records sighted Service inspection report verified (product application summary, condition/observation, pest activity) dated 5/21/2020, 4/23/2020, 2/28/2020

- 12.2.10.1** The methods and responsibility for pest prevention shall be documented and effectively implemented. The premises, its surrounding areas, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

RESPONSE: COMPLIANT

- 12.2.10.2** Any identified pest activity shall not present a risk of contamination to food products or packaging.

RESPONSE: COMPLIANT

- 12.2.10.3** Food products or packaging that is found to be contaminated by pest activity shall be effectively disposed of, and the source of pest infestation investigated and resolved.

RESPONSE: COMPLIANT

- 12.2.10.4** The pest prevention program shall: i. Describe the methods and responsibility for the development, implementation and maintenance of the pest prevention program; ii. Record pest sightings and trend the frequency of pest activity to target pesticide applications; iii. Outline the methods used to prevent pest problems; iv. Outline the pest elimination methods; v. Outline the frequency with which pest status is to be checked; vi. Include on a site map the identification, location, number and type of bait stations set; vii. List the chemicals used (they are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available); viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come into contact with a bait station; ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and x. Measure the effectiveness of the program to verify the elimination of applicable pests.

RESPONSE: MINOR

EVIDENCE: Outline the methods used to make staff aware of the bait control program and the measures to take when they come into contact with a bait station is not documented

ROOT CAUSE: No methods use to make staff aware of bait control program and no measures what to do if in contact with a bait station.

CORRECTIVE ACTION: on 6/23/2020 Management of Pest and Vermin was updated to make sure the staff was aware of the Bait Control Program and also what to do if they come in contact with a bait station.

VERIFICATION OF CLOSEOUT: Management of Pest and Vermin was updated

COMPLETION DATE: 06/23/2020 **CLOSEOUT DATE:** 07/16/2020

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

RESPONSE: COMPLIANT

- 12.2.10.6** Records of all pest control applications shall be maintained.

RESPONSE: COMPLIANT

- 12.2.10.7** Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 12.6.5 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.

RESPONSE: NOT APPLICABLE

EVIDENCE: Pesticides and other toxic chemicals are not stored on site and is the responsibility of the PCO and the site.

- 12.2.10.8** Pest control contractors shall be: i. Licensed and approved by the local relevant authority; ii. Use only trained and qualified operators who comply with regulatory requirements; iii. Use only approved chemicals; iv. Provide a pest control management plan (refer to 2.3.3) which will include and maintain a site map indicating the location of bait stations and traps and other applicable pest control/monitoring devices; v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments; and vi. Provide a written report of their findings and the inspections and treatments applied.

RESPONSE: COMPLIANT

- 12.2.10.9** The site shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that: i. Empty chemical containers are not reused; ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

RESPONSE: NOT APPLICABLE

EVIDENCE: This is the responsibility of the PCO and not the site.

12.2.11 Cleaning and Sanitation

The site has a documented Cleaning and sanitation policy dated 4/27/2020. The policy includes but is not limited to the use of a 3rd party service to clean the staff amenities, the master sanitation schedule, instructions and verifications. Records sighted Master Sanitation and Preventive Maintenance schedule dated 10/14/19, 2/12/2020, Restroom Maintenance log dated 10/8/19, 8/19/19

- 12.2.11.1** 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: i. What is to be cleaned; ii. How it is to be cleaned; iii. When it is to be cleaned; iv. Who is responsible for the cleaning; and v. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.2.11.4** 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: i. The site maintains a list of chemicals approved for use within the site; ii. An inventory of all chemicals purchased and used for cleaning and sanitation purposes shall be maintained; iii. Detergents and chemicals are stored as outlined in 12.6.5; iv. Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased; v. Only trained staff handles sanitizers and detergents;

RESPONSE: COMPLIANT

- 12.2.11.5** Detergents and sanitizers that have been mixed for use shall be correctly mixed according to manufacturers' instructions, stored in containers that are suitable for use, and clearly identified. Mix concentrations shall be verified and records maintained.

RESPONSE: NOT APPLICABLE

EVIDENCE: No detergents and sanitizers that have been mixed for use.

- 12.2.11.6** The site shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that: i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use; ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.3.1 Personnel

No personnel observed with a known infectious diseases or exposed cuts, sores or lesions. No Smoking, chewing, eating, or spitting observed.

- 12.3.1.1** 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.

RESPONSE: COMPLIANT

- 12.3.1.2** The site shall have measures in place to prevent contact of materials, ingredients, food packaging, food, or food contact surfaces from any bodily fluids from open wounds, coughing, sneezing, spitting, or any other means. In the event of an injury which causes spillage of bodily fluid, properly trained employee shall ensure that all affected areas including handling and processing areas have been adequately cleaned and that all materials and products have been quarantined and disposed of.

RESPONSE: COMPLIANT

- 12.3.1.3** Personnel with exposed cuts, sores or lesions shall not be engaged in handling exposed product or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with protective bandage, or an alternative suitable dressing.

RESPONSE: COMPLIANT

- 12.3.1.4** Smoking, chewing, eating, or spitting is not permitted in any food handling or storage areas where the product is exposed. Drinking is permissible under conditions that prevent contamination or other food safety risks from occurring.

RESPONSE: COMPLIANT

12.3.2 Hand Washing

Hand wash basins are constructed of stainless steel or similar non-corrosive material.

- 12.3.2.1** Hand wash basins shall be available and accessible as required.

RESPONSE: COMPLIANT

- 12.3.2.2** 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 with a means of containing used paper towels. An effective hand dryer may be used in instances where there is no direct hand contact of food or food contact surfaces.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.3.3 Clothing

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

- 12.3.3.1** Clothing worn by staff shall be maintained, stored, laundered and worn so as not to present a contamination risk to product.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.3.4 Jewelry and Personal Effects

No jewelry or other loose objects observed worn or taken into a food handling or processing operation or any area where food is exposed.

- 12.3.4.1** Jewelry and other loose objects shall not be worn or taken into any area where exposed 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 site will need to consider their customer requirements and the applicable food legislation.

RESPONSE: COMPLIANT

12.3.5 Visitors

All visitors, including management observed following the site protocol.

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

RESPONSE: COMPLIANT

12.3.5.2 All visitors shall be required to follow the GDPs outlined by the site.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.3.5.5 Facility shall have a policy for how drivers are managed and designated driver areas are maintained to prevent contamination or other food safety risks.

RESPONSE: COMPLIANT

12.3.6 Staff Amenities

Staff amenities are supplied with appropriate lighting and ventilation.

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

RESPONSE: COMPLIANT

12.3.7 Change Rooms

Provision are made for staff to store their street clothing and personal items.

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

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.3.8 Sanitary Facilities

Toilet rooms are designed and constructed so that they are accessible to staff and separate from any processing and food handling operations.

12.3.8.1 Toilet rooms shall be: i. Designed and constructed so that they are accessible to staff and separate from any food handling operations; ii. Accessed from the warehouse or product handling area via an airlock vented to the exterior or through an adjoining room; iii. Sufficient in number for the maximum number of staff; iv. Constructed so that they can be easily cleaned and maintained; and v. Kept clean and tidy.

RESPONSE: COMPLIANT

12.3.8.2 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.3.9 Lunch Rooms

Separate lunch-room facilities are provided away from handling or storage area.

- 12.3.9.1 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.4.1 Staff Engaged in Food Handling and Repack/Recoup Operations

The site has a documented Personnel practices policy dated 4/28/2020. The policy is to outline the established procedures to ensure the staff engaged in food handling and storage areas are properly trained and adhere to the sites policies to ensure food safety. The requirements for personnel engaged in any handling, inspection or repacking of exposed food products or ingredient includes but is not limited to wash their hands when entering the area, not wear false nails, or polish, not bring glass or breakable plastic in to the area, and no food, beverage, or use of tobacco products in areas where food is being processed or stored.

- 12.4.1.1 All personnel engaged in the direct handling of exposed food shall comply with the following practices: i. Personnel entry to food handling areas shall be through the personnel access doors only; ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or stock transfer; iii. The wearing of false fingernails or fingernail polish is not permitted when handling food; iv. Materials and products shall be kept in appropriate containers as required and off the floor; v. Waste shall be contained in the bins identified for this purpose and removed from the operational area on a regular basis and not left to accumulate; vi. Staff shall not eat or taste any product in the food storage or handling area.

RESPONSE: COMPLIANT

- 12.4.1.2 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.

RESPONSE: COMPLIANT

12.5.1 Water Supply

Adequate supplies of potable water drawn from the city of Ontario.

- 12.5.1.1 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.

RESPONSE: COMPLIANT

- 12.5.1.2 Supply of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

RESPONSE: COMPLIANT

12.5.2 Water Quality

Adequate supplies of potable water drawn from the city of Ontario. Last water test COA dated 5/14/2020

- 12.5.2.1 Microbiological analysis of the water and ice supply that is in contact with food or food contact surfaces shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.

RESPONSE: COMPLIANT

- 12.5.2.2 Water and ice, that contacts food or food contact surfaces, shall be analyzed using reference standards and methods.

RESPONSE: COMPLIANT

12.5.3 Water Delivery

Last water test COA dated 5/14/2020

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

RESPONSE: COMPLIANT

12.5.3.2 The use of non-potable water shall be controlled such that: i. There is no cross contamination between potable and non-potable water lines; ii. Non-potable water piping and outlets are clearly identified.

RESPONSE: NOT APPLICABLE

EVIDENCE: non-potable water is not used.

12.5.4 Ice Supply

ice is not used

12.5.4.1 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.

RESPONSE: NOT APPLICABLE

12.5.5 Analysis

Last water test COA dated 5/14/2020

12.5.5.1 Microbiological analysis of the water and ice supply that is in contact with food or food contact surfaces shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.

RESPONSE: COMPLIANT

12.5.5.2 Water and ice, that is contact with food or food contact surfaces, shall be analyzed using reference standards and methods.

RESPONSE: COMPLIANT

12.5.6 The Quality of Air and Other Gases

Compressed air or other gasses are not used.

12.5.6.1 Compressed air or other gasses (e.g. nitrogen, carbon dioxide) that contacts food or food contact surfaces shall be clean and present no risk to food safety.

RESPONSE: NOT APPLICABLE

12.5.6.2 Compressed air systems, and systems used to store or dispense other gasses used in the storage and distribution process shall be maintained and regularly monitored for quality and microbiological purity.

RESPONSE: NOT APPLICABLE

12.6.1 Storage and Handling of Goods

The site has a documented Storage and Transport policy dated 5/6/17. The purpose is to describe the procedures used to properly receive, store, and transport ingredients and goods to ensure food safety. The dry storage areas used for the storage of product ingredients, packaging and other dry goods are located separately from sanitation areas where water is used.

12.6.1.1 The site shall implement an effective storage plan that allows for the safe, hygienic storage of ice, food products (frozen, chilled, and ambient), packaging materials, equipment, and chemicals.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.6.1.3 Procedures are in place to ensure that all food products, and recouped product, are utilized within their designated shelf-life.

RESPONSE: COMPLIANT

12.6.2 Cold Storage, Freezing and Chilling of Foods

The site has a documented Storage and Transport policy dated 5/6/17. The purpose is to describe the procedures used to properly receive, store, and transport ingredients and goods to ensure food safety. The cold storage, freezing and chilling of foods is monitored for operational performance by daily temperature verification, continuous monitoring, and contracted preventative maintenance of the system. Records sighted Cooler Freezer temperature (continuous) monitoring dated 10/14/19, 2/14/2020, 6/11/2020. Temperature Records (verified) dated 6/12/2020, 2/12/2020

- 12.6.2.1 The site 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 cold/frozen storage of food, easily accessible for inspection and cleaning.

RESPONSE: COMPLIANT

- 12.6.2.2 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.6.2.4 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.6.3 Storage of Shelf Stable Packaged Goods

The dry storage areas used for the storage of product ingredients, packaging and other dry goods are located separately from sanitation areas where water is used. Racks provided for the storage of food products are constructed of impervious materials and designed to enable cleaning of the floors and the storage room.

- 12.6.3.1 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.

RESPONSE: COMPLIANT

- 12.6.3.2 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 in a way to prevent food products from becoming a harborage for pests or vermin.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.6.4 Storage of Equipment and Containers

Storage rooms are designed and constructed to allow for the hygienic and efficient storage.

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

RESPONSE: COMPLIANT

12.6.5 Storage of Hazardous Chemicals and Toxic Substances

Hazardous chemicals and toxic substances that are for use in the site with the potential for food contamination are stored separate from the distribution storage area so as not to present a hazard to staff, product, packaging, product handling equipment.

- 12.6.5.1** Hazardous chemicals and toxic substances that are for use in the site with the potential for food contamination shall be stored separate from the distribution storage area so as not to present a hazard to staff, product, packaging, product handling equipment. Hazardous chemicals shall be stored in their original containers, or in clearly labeled secondary containers if allowed by applicable legislation.

RESPONSE: COMPLIANT

12.6.6 Alternative Storage and Handling of Goods

No Alternative Storage and Handling of Goods

- 12.6.6.1** Where goods described in 12.6.1 to 12.6.4 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.

RESPONSE: NOT APPLICABLE

12.6.7 Loading, Transport and Receiving Practices

The site has a documented Storage and Transport policy dated 5/6/17. The purpose is to describe the procedures used to properly receive, store, and transport ingredients and goods to ensure food safety. The cold storage, freezing and chilling of foods is monitored for operational performance by daily temperature verification, continuous monitoring, and contracted preventative maintenance of the system. The dry storage areas used for the storage of product ingredients, packaging and other dry goods are located separately from sanitation areas where water is used. The equipment storage is located in areas away from exposed food ingredients and packaging. Chemicals used in sanitation/maintenance process are stored in secured areas away from packaging, raw materials and finished goods to prevent potential for food contamination. The loading, transport, and unloading practices include but is not limited to procedure includes but is not limited to seals/locked, cleanliness, odor, physical appearance, and the presence of rodents or insects. Records sighted Receiving records Inbound Checklist (trailer inspection, Lot#) dated 1/15/2020, 4/16/2020, 1/14/2020 Receiving HACCP (seal, temp, trailer inspection) Report dated 2/11/2020, 6/12/2020, 10/14/19 Outbound checklist (temp trailer, trailer inspection) dated 6/12/2020, 2/12/2020 10/14/19 Driver Manifest and Invoice (item#, temp) dated 1/22/2020, 4/13/2020

- 12.6.7.1** The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity.

RESPONSE: COMPLIANT

- 12.6.7.2** Trailers shall be washed in a segregated area away from the distribution site in a manner so as to not pose a risk to the products.

RESPONSE: COMPLIANT

- 12.6.7.3** Practices shall be in place for loading, transport and unloading receiving to protect against the contamination from biological, chemical and physical risks.

RESPONSE: COMPLIANT

- 12.6.7.4** Records of compliance activities shall be accessible.

RESPONSE: COMPLIANT

- 12.6.7.5** Sites shall have a procedure in place that is documented and implemented to ensure trailers are inspected prior to receiving shipments or loading to ensure that the trailer is in good repair, clean, secured and at required environmental conditions and temperatures.

RESPONSE: COMPLIANT

12.6.8 Staging and Loading

Records sighted Outbound checklist (temp trailer, trailer inspection) dated 6/12/2020, 2/12/2020 10/14/19

- 12.6.8.1** Vehicles (e.g. 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.

RESPONSE: COMPLIANT

- 12.6.8.2** Staging and loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product integrity.

RESPONSE: COMPLIANT

- 12.6.8.3** Food transport vehicle's refrigeration unit shall maintain the food at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and product temperatures monitored at regular intervals during loading as appropriate.

RESPONSE: COMPLIANT

12.6.9 Transport

Records sighted Driver Manifest and Invoice (item#, temp) dated 1/22/2020, 4/13/2020

- 12.6.9.1** 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.

RESPONSE: COMPLIANT

12.7.1 Process Flow

The process flow is designed to prevent cross-contamination and organized.

- 12.7.1.1** The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the process. The flow of personnel shall be managed such that the potential for contamination is minimized.

RESPONSE: COMPLIANT

12.7.2 Receiving

The site has a documented Storage and Transport policy dated 5/6/17. The purpose is to describe the procedures used to properly receive, store, and transport ingredients and goods to ensure food safety. The loading, transport, and unloading practices include but is not limited to procedure includes but is not limited to seals/locked, cleanliness, odor, physical appearance, and the presence of rodents or insects. Records sighted Receiving records Inbound Checklist (trailer inspection, Lot#) dated 1/15/2020, 4/16/2020, 1/14/2020 Receiving HACCP (seal, temp, trailer inspection) Report dated 2/11/2020, 6/12/2020, 10/14/19

- 12.7.2.1** Prior to opening the doors the food transport vehicle's refrigeration unit storage temperature settings and operating temperature shall be checked and recorded. Receiving shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

RESPONSE: COMPLIANT

- 12.7.2.2** Receiving practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product and package integrity.

RESPONSE: COMPLIANT

12.7.3 Control of Foreign Matter

The site has a documented Control of foreign matter policy dated 4/28/2020. The master maintenance schedule, pre-operational and operational sanitation inspections and monthly facility inspections are tools utilized to ensure plant and equipment remain in good condition. The measure includes but is not limited to glass preventative, wood preventative, and metal preventive. The glass breakage and other foreign material contamination procedures are documented. Records sighted Monthly Internal audit record dated November 2019, May 2020, March 2020, Master Sanitation and Preventive Maintenance schedule dated 10/14/19, 2/12/2020 Monthly Glass Brittle plastic inspection record dated 1/2/2020, 3/3/2020, 5/8/2020

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

RESPONSE: COMPLIANT

- 12.7.3.2** Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated.

RESPONSE: COMPLIANT

- 12.7.3.3** The following preventative measures shall be implemented where applicable to prevent glass contamination: i. All glass objects or similar material used by the site in storage and handling areas shall be listed in a glass register including details of their location. ii. 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. iii. Product that is in glass or similar material that is for distribution purposes shall be stored in a manner that prevents contamination. iv. Conduct regular inspections of storage and handling areas 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. v. Glass instrument dial covers on equipment and MIG thermometers shall be inspected at regular intervals.

RESPONSE: COMPLIANT

- 12.7.3.4** Wooden pallets used in food storage shall be dedicated for that purpose, clean, maintained in good order and their condition subject to regular inspection.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

12.7.4 Managing Foreign Matter Contamination Incidents

The glass breakage and other foreign material contamination procedures are documented.

- 12.7.4.1** In all cases of foreign matter contamination the affected food product shall be isolated, inspected, reworked or disposed of.

RESPONSE: COMPLIANT

- 12.7.4.2** 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.

RESPONSE: COMPLIANT

12.8.1 Dry and Liquid Waste Disposal

The site has a documented dry and liquid waste policy dated 1/2/2020. The purpose is to describe the methods used to effectively manage the collection, handling and disposal of waste streams to provide a method for handling and removing waste in accordance with regulatory and GMP standards.

- 12.8.1.1** 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.

RESPONSE: COMPLIANT

- 12.8.1.2** 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.

RESPONSE: COMPLIANT

- 12.8.1.3** 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.

RESPONSE: COMPLIANT

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

RESPONSE: COMPLIANT

- 12.8.1.5** Inedible waste designated for animal feed shall be stored and handled so as to not cause a risk to the animal or risk to other food designated for further processing for human consumption.

RESPONSE: NOT APPLICABLE

EVIDENCE: No Inedible waste designated for animal feed

12.9.1 Grounds and Roadways

The grounds and area surrounding the premises are maintained. The loading and unloading areas are maintained so as not to present a hazard to the food safety operation of the premises.

12.9.1.1 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.

RESPONSE: COMPLIANT

12.9.1.2 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.

RESPONSE: COMPLIANT

12.9.1.3 Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises, or harborage for pests.

RESPONSE: COMPLIANT

**Fallbrook Union Elementary School District
RFP No. 404-23-24
Debarment Certification**

California Department of Education
School Nutrition Programs Unit Child
Nutrition and Food Distribution Division
April 1998

**SUSPENSION AND DEBARMENT CERTIFICATION
U.S. DEPARTMENT OF AGRICULTURE**

INSTRUCTIONS: SFA to obtain from any potential vendor or existing contractor for all contracts in excess of \$100,000. This form is required each time a proposal for goods/services over \$100,000 is solicited or when renewing/ extending an existing contract exceeding \$100,000 per year. (This includes Food Service Management and Food Service Consulting Contracts.)

Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion Lower Tier Covered Transactions

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR Part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, Federal Register (pages 4722 4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS THAT FOLLOW)

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name of School Food Authority

Agreement Number

Potential Vendor or Existing Contractor (Lower Tier Participant):

John Cho V.P. of Revenue Management
Printed Name Title

Signature

March 06, 2023
Date

Gold Star Foods

DO NOT SUBMIT THIS FORM. RETAIN WITH THE APPLICABLE CONTRACT OR PROPOSAL RESPONSES.

**G:SNP:DEBARMENT
INSTRUCTIONS FOR CERTIFICATION**

1. By signing and submitting this form, the prospective lower tier participant (one whose contract for goods or services exceeds the Federal procurement small purchase threshold fixed at \$100,000) is providing the preceding certification in accordance with these instructions.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this form that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.

Gold Star Foods
f

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Fallbrook Union Elementary School District
RFP No. 404-23-24
Lobbying Certification**

California Department of Education
School Nutrition Programs Unit Child
Nutrition and Food Distribution Division
April 1998

CERTIFICATION REGARDING LOBBYING

INSTRUCTIONS: To be completed and submitted ANNUALLY by any child nutrition entity receiving Federal reimbursement in excess of \$100,000 per year and potential or existing contractors/vendors as part of an original proposal, contract renewal or extension when the contract exceeds \$100,000.

**Applicable to Grants, Sub-grants, Cooperative Agreements, and Contracts
Exceeding \$100,000 in Federal Funds**

Submission of this certification is a prerequisite for making or entering into this transaction and is imposed by section 1352, Title 31, U.S. Code. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.


The undersigned certifies, to the best of his or her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all covered sub-awards exceeding \$100,000 in Federal funds at all appropriate tiers and that all sub-recipients shall certify and disclose accordingly.

[Signatures on next page.]

Name of School Food Authority Receiving Child Nutrition Reimbursement In Excess of \$100,000:		Agreement Number:
Address of School Food Authority:		
Printed Name and Title of Submitting Official:	Signature:	Date:

(4) OR

Name of Food Service Management or Food Service Consulting Company:		
Gold Star Foods		
Printed Name and Title:	Signature:	Date:
John Cho, V.P. of Revenue Management		March 06, 2023
Name of School Food Authority:		Agreement Number:
Fallbrook Region COOP		Bid No. 404-23-24

Gold Star Foods

Fallbrook Union Elementary School District
RFP No. 404-23-24
Iran Contracting Certification

IRAN CONTRACTING ACT OF 2010 COMPLIANCE AFFIDAVIT
(California Public Contract Code Sections 2200-2208)

The California Legislature adopted the Iran Contracting Act of 2010 to respond to policies of Iran in a uniform fashion (PCC § 2201(q)). The Iran Contracting Act prohibits proposers engaged in investment activities in Iran from bidding on, submitting proposals for, or entering into or renewing contracts with public entities for goods and services of one million dollars (\$1,000,000) or more (PCC § 2203(a)). A proposer who "engages in investment activities in Iran" is defined as either:

1. A proposer providing goods or services of twenty million dollars (\$20,000,000) or more in the energy sector of Iran, including provision of oil or liquefied natural gas tankers, or products used to construct or maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran; or
2. A proposer that is a financial institution (as that term is defined in 50 U.S.C. § 1701) that extends twenty million dollars (\$20,000,000) or more in credit to another person, for 45 days or more, if that person will use the credit to provide goods or services in the energy sector in Iran and is identified on a list created by the California Department of General Services (DGS) pursuant to PCC § 2203(b) as a person engaging in the investment activities in Iran.

The proposer shall certify that at the time of submitting a bid for new contract or renewal of an existing contract, the proposer is not identified on the DGS list of ineligible businesses or persons and that the proposer is not engaged in investment activities in Iran in violation of the Iran Contracting Act of 2010.

California law establishes penalties for providing false certifications, including civil penalties equal to the greater of \$250,000 or twice the amount of the contract for which the false certification was made; contract termination; and three- year ineligibility to proposal on contracts (PCC § 2205).

To comply with the Iran Contracting Act of 2010, the proposer shall provide its vendor or financial institution name, and Federal ID Number if available, in completing **ONE** of the options shown below.

OPTION #1: CERTIFICATION

I, the official named below, certify that I am duly authorized to execute this certification on behalf of the proposer and that the proposer or financial institution identified below, or financial institution identified below is not on the current DGS list of persons engaged in investment activities in Iran and is not a financial institution extending twenty million dollars (\$20,000,000) or more in credit to another person or vendor, for 45 days or more, if that other person or vendor will use the credit to provide goods or services in the energy sector in Iran and is identified on the current DSG list of persons engaged in investment activities in Iran.

Vendor Name/Financial Institution (printed) Gold Star Foods	Federal ID Number (or n/a) 26-1340567
By (Authorized Signature)	
Print Name and Title of Person Signing John Cho, V.P. of Revenue Management	Date Executed March 06, 2023

OPTION #2: EXEMPTION

Pursuant to PCC § 2203(c) and (d), a public entity may permit a proposer financial institution engaged in investment activities in Iran, on a case-case basis, to be eligible for, or to proposal by or on, submit a proposal for, or enter into, or renew, a contract for goods and services. If the proposer institution or financial identified below has obtained an exemption from the certification requirement under the Iran Contracting Act of 2010, the proposer or financial institution shall complete and sign below and attach documentation demonstrating the exemption approval.

Vendor Name/Financial Institution (printed)	Federal ID Number (or n/a)
By (Authorized Signature)	
Print Name and Title of Person Signing	Date Executed

Fallbrook Union Elementary School District
RFP No. 404-23-24
Buy American Certification

The undersigned Proposer hereby certifies on behalf of _____ that it will meet Buy American requirements in Section 104(d) of the William F. Goodling Child Nutrition Reauthorization Act of 1998 (Public Law 105-336) added a provision, Section 12(n) to the NSLA (42 USC 1760(n)).

The Buy American provision requirements Section 104(d) of the William F. Goodling Child Nutrition Reauthorization Act of 1998 (Public Law 105-336) added a provision, Section 12(n) to the NSLA (42 USC 1760(n)), requiring school food authorities (SFAs) to purchase, to the maximum extent practicable, domestic commodity or product. Section 12(n) of the NSLA defines "domestic commodity or product" as an agricultural commodity that is produced in the United States and a food product that is processed in the United States using substantial agricultural commodities that are produced in the United States. "Substantial" means that over 51 percent of the final processed product consists of agricultural commodities that were grown domestically. Products from Guam, American Samoa, Virgin Islands, Puerto Rico, and the Northern Mariana Islands are allowed under this provision as territories of the United States. The Buy American provision (7 CFR Part 210.21(d)) is one of the procurement standards SFAs must comply with when purchasing commercial food products served in the school meals programs.

Limited exceptions - There are limited exceptions to the Buy American provision which allow for the purchase of products not meeting the "domestic" standard as described above ("nondomestic") in circumstances when use of domestic products is truly not practicable.

Exceptions to the Buy American provision exist; they are to be used as a last resort. These exceptions, as outlined in the U.S.D.A. guidance, are:

- The product is not produced or manufactured in the U.S. in sufficient and reasonable available quantities of a satisfactory quality; or
- Competitive proposals reveal the costs of a U.S. product are significantly higher than 25% on the non-domestic product. Permission from the Districts shall be obtained before an exception to this provision is exercised.

Permission from the Districts shall be obtained before an exception to this provision is exercised.

Proposer: Gold Star Foods

Signature of Authorized Official: _____

Printed name of Authorized Official: John Cho

Title: V.P. of Revenue Management

Date: March 06, 2023

Fallbrook Union Elementary School District
RFP No. 404-23-24
Tobacco Free Certification

The Fallbrook Union Elementary School District ("District") Governing Board ("Board") recognizes the health hazards related to the use of tobacco and tobacco products, including the breathing of second-hand smoke and desires to provide a healthy environment for students and staff.

Therefore, the Board, in the best interests of the District, its students, and its employees, and in accordance with State and Federal laws, requires the District to be tobacco-free in all district buildings, facilities, and vehicles owned, leased or operated by the Fallbrook Union Elementary School District.

Tobacco-free shall mean prohibition of the use of tobacco or tobacco products on any part of school district grounds or buildings, in district vehicles, and at any time by anyone on district property. This includes tobacco use by staff, students, parents, and other individuals at any district-sponsored event or activity.

Per the tobacco-free school policy set forth in Board Policy Number 5131.62 of the Fallbrook Union Elementary School District a copy of which is stated above and is incorporated herein by reference; Photographers and any officers, agents and employees of either of them shall be deemed visitors to the District while on District premises. Pursuant to the terms of the Policy, the use of tobacco, or any product containing tobacco or nicotine products by any visitor on school premises is prohibited.

By signing below, the undersigned acknowledges notice of Board Policy 5131.62 and remedies set forth herein.



Signature of Authorized Representative

John Cho

Printed Name of Above

V.P. of Revenue Management

Title

Gold Star Foods

Name of Company

Gold Star Foods



Fallbrook Union Elementary School District
RFP No. 404-23-24
Fingerprinting Certification

To the Board of Education of Fallbrook Union Elementary School District:

I, John Cho, certify that:

1. I have carefully read and understand California Education Code Section 45125.1 applies to contracts for the provision of photography services to the District. Section 45125.1 requires that individuals who will come into contact with pupils of a school district must be fingerprinted and their fingerprint cards must be submitted to the California Department of Justice ("CDOJ") and Federal Bureau of Investigation ("FBI") for a criminal records check. No such individual with a record of conviction for a serious or violent felony may be assigned to perform services which will place them in contact with pupils without the prior written approval of the District. This certification does not grant such approval.

2. Due to the nature of the work Gold Star Foods will be performing for the District; company employees may have contact with students of the District.

3. None of the employees who will be performing the work have been convicted of a violent or serious felony as defined in the Notice and in Penal Code Section 1192.7 and this determination was made by a fingerprint check through the CDOJ and FBI.

I declare under penalty of perjury that the foregoing is true and correct.

Executed at Ontario, California on March 06, 2023 (date).

Signature

John Cho
Typed Name

V.P. of Revenue Management
Title

Gold Star Foods
Company Name

3781 E. Airport Drive, Ontario, CA 91761
Address

909-843-9600
Telephone

Bids@goldstarfoods.com
Email Address

Gold Star Foods

Fallbrook Union Elementary School District
RFP No. 404-23-24
Non-Collusion Certification

TO BE EXECUTED BY AND SUBMITTED WITH PROPOSAL

I, John Cho, declare that I am the party making the foregoing proposal, that the proposal is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation; that the proposal is genuine and not collusive or sham; that the proponent has not directly or indirectly induced or solicited any other proponent to put in a false or sham proposal and has not directly or indirectly colluded, conspired, connived, or agreed with any proponent or anyone else to put in a sham proposal, or that anyone shall refrain from responding; that the proponent has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix any overhead, profit, or cost element of the proposal price, or of that of any other proponent, or to secure any advantage against the public body awarding the Contract of anyone interested in proposed Contract; that all statements contained in the proposal are true, and, further, that the proponent has not, directly or indirectly, submitted his or her proposal price of any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, or paid, and will not pay, any fee to any corporation, partnership, company association, organization, proposal depository, or to any member or agent thereof to effectuate a collusive or sham proposal.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

March 06, 2023

Date

Gold Star Foods

Name of Vendor

John Cho, V.P. of Revenue Management

Printed name of Authorized Company Representative


Signature of Authorized Company Representative

Gold Star Foods 

Request for Taxpayer Identification Number and Certification

► Go to www.irs.gov/FormW9 for instructions and the latest information.

Give Form to the
requester. Do not
send to the IRS.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

GOLD STAR FOODS

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC

☒ C Corporation

☐ S Corporation

☐ Partnership

☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ►

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) ►

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) _____

Exemption from FATCA reporting code (if any) _____

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

3781 EAST AIRPORT DRIVE

6 City, state, and ZIP code

ONTARIO, CA 91761

7 List account number(s) here (optional)

Requester's name and address (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

____ - ____ - ____

or

Employer identification number

2 6 - 1 3 4 0 5 6 7

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign
Here

Signature of
U.S. person ►

Steven C. Brown

Date ►

1/13/2023

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid)

- Form 1099-DIV (dividends, including those from stocks or mutual funds)
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds)
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers)
- Form 1099-S (proceeds from real estate transactions)
- Form 1099-K (merchant card and third party network transactions)
- Form 1098 (home mortgage interest), 1098-E (student loan interest), 1098-T (tuition)
- Form 1099-C (canceled debt)
- Form 1099-A (acquisition or abandonment of secured property)

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding*, later.

GOLD STAR FOODS, INC.
3781 E AIRPORT DR
ONTARIO, CA 91761



City of Vernon Health Department
4305 S. Santa Fe Avenue
Vernon, CA 90058
(323) 826-1448

HEALTH PERMIT

Business Name : GOLD STAR FOODS, INC.
Business Address : 3781 E AIRPORT DR
ONTARIO, CA 91761

Facility ID: FA0001288
Issued: 7/6/2022

PT0001431 - PR0002181
1637 - WHOLESALE FOOD VEHICLE
Valid From 7/1/2022 To 6/30/2023

LICENSE # 31319S2
LICENSE # 3218295
LICENSE # 3132057

LICENSE # 3231562
LICENSE # 3218296

THE PERSON, FIRM, OR CORPORATION ABOVE NAMED IS HEREBY GRANTED A PERMIT TO ENGAGE IN THE BUSINESS
ACTIVITY DESCRIBED ABOVE IN THE CITY OF VERNON FOR THE PERIOD INDICATED.

BY:

Director

CITY OF ONTARIO

2022 - 2023

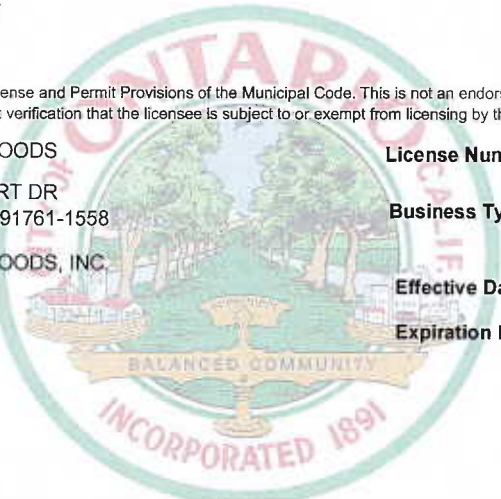
BUSINESS LICENSE

TO BE POSTED IN A CONSPICUOUS PLACE AND
NOT TRANSFERABLE OR ASSIGNABLE.

The party shown is granted this certificate pursuant to License and Permit Provisions of the Municipal Code. This is not an endorsement of the activity, nor certification of compliance with other laws. This license is issued without verification that the licensee is subject to or exempt from licensing by the State of California.

Business Name	GOLD STAR FOODS	License Number	12403584
Business Location	3781 E AIRPORT DR ONTARIO, CA 91761-1558	Business Type	WHOLESALE BUSINESS
Business Owner(s)	GOLD STAR FOODS, INC. DAN MADSEN	Effective Date	July 01, 2022
	JOHN CHO, CONTRACTS DEPT. GOLD STAR FOODS 3781 E AIRPORT DR ONTARIO, CA 91761-1558	Expiration Date	June 30, 2023

**Conditions/
Fire Permit** WAREHOUSE DISTRIBUTION OF FOOD (REFRIGERATED) TO SCHOOLS. , FM-11-0083 Operational
Permit for High Pile Storage



GOLD STAR FOODS :

Thank you for your payment on your City of Ontario Business License. **ALL LICENSES MUST BE AVAILABLE FOR INSPECTION UPON REQUEST.** If you have questions concerning your business license, contact the Business Support Center via email at: BusLic@ontarioca.gov or by telephone at: (909) 395-2022.

Contact the Business Registration Division at (909) 395-2022 if the business closes prior to the expiration date of the certificate. Please notify this office within ten (10) days of any change of business name, ownership, address location or activity.

Starting January 1, 2021, Assembly Bill 1607 requires the prevention of gender-based discrimination of business establishments. A full notice is available in English or other languages by going to: <https://www.dca.ca.gov/publications/>.



LICENSING DIVISION
303 EAST B STREET
ONTARIO, CA. 91764-4196



City of Ontario
BUSINESS LICENSE

JOHN CHO, CONTRACTS DEPT.
GOLD STAR FOODS
3781 E AIRPORT DR
ONTARIO, CA 91761-1558

License Number: 12403584
Date of Issue: 07/01/2022



GOLD STAR FOODS

**GOLD STAR FOODS - CALIFORNIA
USDA FOODS VALUE PASS-THRU SYSTEMS (VPT)
SY23-24**

Abbr	MFG No.	VENDOR NAME	Clearing House	NOI	FFS	CLOSED SKU NOI	Multiple VPT	NOTES:
20th	100000	20TH CENTURY	Direct	X				
AFP	100917	ALBIE'S FOODS	K12	X				
ALF	101122	ALPHA FOODS	PL	X				
ARD	100033	ARDELLA'S	PL	X				
BCF	100758	BAKE CRAFTERS	PL	X				
BAF	116388	BASIC AMERICAN	K12	X				
BON	100912	BONGARDS CREAMERY	PL	X				
BWF	101011	BROOKWOOD FARMS	PL		X			FFS - PORK / TURKEY
BVF	100069	BUENA VISTA	PL	X				
BBL	505007	BUTTERBALL, LLC	PL	X				
CKS	100508	CARGILL KITCHEN (Sunny Fresh)	PL	X				
CAV	505042	CAVENDISH FARMS	K12	X				
CFP	110603	CHANNEL FISH PROCESSING	PL	X				
CHF	115134	CHEF'S CORNER	PL	X				
CCC	116466	CHERRY CENTRAL COOPERATIVE	PL	X				
CDL	101148	CLASSIC DELIGHT (TOOLS FOR SCHOOLS)	K12	X				
CGF	100232	CONAGRA FOODS (Gilardi)	K12	X				
DMF	115116	DEL MONTE FOODS	PL	X				
DON	100166	DON LEE FARMS	InfoBank			X		NOI - CHEESE; CLOSED SKU NOI - BEEF/PORK
ESE	100189	ES FOODS (Eastside Entrees)	K12	X				
FOF	100206	FOSTER FARMS	PL	X				
GBR	115119	GARDEN BANNER	Direct	X				
GKS	100238	GOLD KIST FARMS (Pilgrim's Pride)	PL	X				
HLF	100214	HIGH LINER FOODS	K12	X				
JTS	505946	HORMEL FOODS	K12	X				
IDA	100937	IDAHOAN FOODS, LLC	PL	X				
IFS	100255	INTEGRATED FOODS SERVICE	PL				X	NOI: CHEESE; FFS: BEEF
AFS	101163	INTERNATIONAL FOOD SOLUTIONS	K12				X	NOI: CHICKEN; FFS: BEEF/PORK
JJS	100271	J & J SNACK FOODS	K12	X				
SMU	100367	J.M. SMUCKERS	K12	X				
JTM	100278	JTM FOOD GROUP	K12				X	NOI: CHEESE/TURKEY; CS-NOI: BEEF/PORK
KHC	100253	KRAFT HEINZ FOODS CO.	PL	X				
LOL	100307	LAND O' LAKES	PL	X				
MRS	505541	MAID-RITE SPECIALTY FOODS	K12		X			FFS - BEEF / PORK
MCC	100339	MCCAIN FOODS	PL	X				
MCI	100340	MCI FOODS (Los Cabos)	K12	X				
MBS	100910	MICHAEL B's (Bestway)	PL	X				
NAR	100959	NARDONE BROS	Direct	X				
NFG	100810	NATIONAL FOOD GROUP	PL	X				
PTF	101116	PETERSON FARMS	K12	X				
RED	100439	RED GOLD	K12	X				
RCH	100441	RICH'S PRODUCTS	PL	X				
RAS	100452	ROSE & SHORE	PL				X	NOI: CHEESE; CS-NOI: TKY/PORK
SAP	100429	S.A. PIAZZA PIZZA	PL	X				
SCH	100466	SCHWAN'S FOOD SERVICE	PL	X				
TAB	100393	TABATCHNICK FINE FOOD INC	PL	X				
TSB	115101	TASTY BRANDS	PL	X				
TRC	100524	TONY ROBERTS	K12	X				
TSC	115104	TRIDENT SEAFOOD	PL	X				
TNF	100568	TRUE NATURAL FOODS	PL	X				
TYS	100530	TYSON FOODS	K12				X	NOI: CHS/CHICKEN; CS-NOI: BEEF/PORK
VEL	100157	VELMAR FOODS (Arizona Gold)	PL	X				
WAW	100554	WAWONA FROZEN FOODS	PL		X			
LNG	100319	YANGS 5th TASTE (Ling's)	PL	X				

Fallbrook Union Elementary School District
RFP No. 404-23-24
Product List

CATEGORY	Processor/ MFG*	CODE	PRODUCT	PACK SIZE	TOTAL USAGE	Drop/ 1 Deliver Pk Yr Per CE - WK	EXTENSION	Drop/ 2 Deliver Pk Yr Per CE - WK	EXTENSION	FEE FOR SERVICE
Frozen	Advance-Pierre Don Lee	40000013850 CN791203L	Pork Sausage Patty	250/1.20oz 400/1.20Z	400	\$ 128.06	\$ 51,224.00	\$ 128.06	\$ 51,224.00	
Dry	angela-mia- CHH	2700039125 41297	SAUCE MARINARA	6/#10	100	\$ 22.48	\$ 2,248.00	\$ 22.48	\$ 2,248.00	
Dry	Apple & Eve	24025	Gold Rush Fruitable	40/4.23oz	250	\$ 11.20	\$ 2,800.00	\$ 11.20	\$ 2,800.00	
Dry	Apple & Eve	84526tpf	juice 100% apple	36/6.75	30	\$ 10.86	\$ 325.80	\$ 10.86	\$ 325.80	
Dry	Apple & Eve	84523tpf	juice 100% orange tangerine	36/6.75	30	\$ 10.86	\$ 325.80	\$ 10.86	\$ 325.80	
Dry	Apple & Eve	84527tpf	juice 100% very berry	36/6.75	30	\$ 10.86	\$ 325.80	\$ 10.86	\$ 325.80	
Frozen	Arlington Val	110	Snackn Waffles butterly maple iw	96/2.4	400	\$ 52.08	\$ 31,248.00	\$ 52.08	\$ 31,248.00	
Dry	Arm & Hammer	282395	Baking Soda	13.5lb	5	\$ 11.86	\$ 59.30	\$ 11.86	\$ 59.30	
Dry	AVO	v20001	Vinegar Distilled White Amer 4/1 Gal	4/1gal	15	\$ 12.79	\$ 191.85	\$ 12.79	\$ 191.85	
Dry	azar	208300	Peanut Butter, Smooth	5/6#	16	\$ 51.81	\$ 828.96	\$ 51.81	\$ 828.96	
Dry	AZAR	7220210	Sunflower Kernels, Azar Hny-Rstd 150/1 Oz	150/1oz	153	\$ 43.89	\$ 6,715.17	\$ 43.89	\$ 6,715.17	
Frozen	Bake Crafter	1638	BREADSTICKS GARLIC WG	240/1.19oz	300	\$ 54.98	\$ 16,494.00	\$ 54.98	\$ 16,494.00	
Frozen	Bake Crafter	869	croissant margarine sl rf wg	150/2.2oz	280	\$ 66.78	\$ 18,698.40	\$ 66.78	\$ 18,698.40	
Frozen	Bake Crafter	1939	donut chocolate wg iw	72/3.2oz	90	\$ 74.62	\$ 6,715.80	\$ 74.62	\$ 6,715.80	
Frozen	Bake Crafter	1716	mini breakfast bite Apple bake Crafter	72/2.75oz	740	\$ 52.91	\$ 39,153.40	\$ 52.91	\$ 39,153.40	
Frozen	Bake Crafter	1605	toast texas garlic rf bulk wg	120/1.31oz	30	\$ 40.41	\$ 1,212.30	\$ 40.41	\$ 1,212.30	
Frozen	Bake-Crafter Tony Roberts	66256	WG6" Garlic Cheese Toast Bulk	60/4.3oz	50	\$ 52.56	\$ 2,628.00	\$ 52.56	\$ 2,628.00	Net OFF INVOICE (NOI), NET CMDY PRICE
Frozen	BIG DADDY'S	78985	pizza cheese 16" bold wg	9/c1	50	\$ 58.33	\$ 2,916.50	\$ 58.33	\$ 2,916.50	NOI, NET CMDY PRICE
Frozen	BIG DADDY'S	78368	primo 16" wg peppr pizza	9/41.5	50	\$ 52.35	\$ 2,617.50	\$ 52.35	\$ 2,617.50	NOI, NET CMDY PRICE
Frozen	BIG DADDY'S	55293	SANDW PEPPERONI STUFFED IW	48/4.46OZ	1100	\$ 42.35	\$ 46,585.00	\$ 42.35	\$ 46,585.00	NOI, NET CMDY PRICE
Frozen	Bonici Farmland	4105017269 517941/70247174796	pepperoni sliced	412.5lbs 1/10LB	180	\$ 61.33	\$ 11,039.40	\$ 61.33	\$ 11,039.40	
Frozen	Boscoc	17023721120	7" Wg Peppr Mozz Stlfd Pzz	72 Ct	50	\$ 44.86	\$ 2,243.00	\$ 44.86	\$ 2,243.00	NOI, NET CMDY PRICE
Frozen	Boscoc	702011-1120	Breadstick, Cheese 6" Wg Bosco 144Ct	144ct	50	\$ 46.97	\$ 2,348.50	\$ 46.97	\$ 2,348.50	NOI, NET CMDY PRICE
Frozen	Bridgeford	6270	biscotti bridgeford wg honey sliced 100/2.2 Oz	100/2.2oz	100	\$ 35.47	\$ 3,547.00	\$ 35.47	\$ 3,547.00	
Frozen	Bridgeford	6735	roll whole wheat	180/2oz	100	\$ 33.52	\$ 3,352.00	\$ 33.52	\$ 3,352.00	
Frozen	Bridgeford	6719	WHITE WHEAT CNNMIN ROLL DOUGH	144/2.5oz	120	\$ 44.98	\$ 5,397.60	\$ 44.98	\$ 5,397.60	
Frozen	BUENA VISTA	90040	WG CINNAMON CRUMBLE IW	72/4OZ	500	\$ 49.54	\$ 24,770.00	\$ 49.54	\$ 24,770.00	NOI, NET CMDY PRICE
Dry	bullseye	19582329057	B8Q SAUCE BULLSEYE	4/1gal	35	\$ 55.00	\$ 1,925.00	\$ 55.00	\$ 1,925.00	
Dry	Butter Buds	56217	Buttermilk Spray	6/17Oz	31	\$ 29.63	\$ 918.53	\$ 29.63	\$ 918.53	
Dry	c&h sugar	404831	Sugar , C & H Brown Sugar 25#	25#	8	\$ 30.11	\$ 240.88	\$ 30.11	\$ 240.88	
Dry	c&h sugar	404874	sugar powdered	50lbs	12	\$ 53.33	\$ 639.96	\$ 53.33	\$ 639.96	
Dry	c&h sugar	404720	Sugar, C&H Granu 25# (404720)	25#	101	\$ 25.77	\$ 2,602.77	\$ 25.77	\$ 2,602.77	
Frozen	Ca Lavash	1422	8X10 Wg Lavash Wraps	8/12ct	60	\$ 29.75	\$ 1,785.00	\$ 29.75	\$ 1,785.00	
Frozen	Carla's	442691/1400	Basil Pesto Sauce	3/30 oz	8	\$ 53.80	\$ 430.40	\$ 53.80	\$ 430.40	
Dry	Cheetos	62984	Wg Oven Baked Crunchy Flamin	104/8.75Oz	140	\$ 43.91	\$ 6,147.40	\$ 43.91	\$ 6,147.40	
Frozen	chets corner	kywg-068	veggie spring rolls wg	200/1.5oz	15	\$ 84.13	\$ 1,261.95	\$ 84.13	\$ 1,261.95	
Dry	CHH DEL MONTE	44919-30455 2004733	Fruit Cocktail Jackpot Ls 6/#10	6/#10	30	\$ 59.64	\$ 1,789.20	\$ 59.64	\$ 1,789.20	
Dry	Choice	3710005985	Solid Pumpkin	6/#10	40	\$ 63.44	\$ 2,537.60	\$ 63.44	\$ 2,537.60	
Frozen	Daves	WG1001	Bar Buttermilk Twin Wg Iw Dave'S 72-2.5Oz	72/2.5oz	180	\$ 39.25	\$ 7,065.00	\$ 39.25	\$ 7,065.00	
Frozen	Daves	WG829	Muffin Blueberry Wg Dave'S 60/3 Oz	60/3oz	400	\$ 40.29	\$ 16,116.00	\$ 40.29	\$ 16,116.00	
Frozen	Daves	WG845	Muffin Double Choc Iw Wg Dave'S 60/3.1 Oz	60/3.1oz	50	\$ 40.29	\$ 2,014.50	\$ 40.29	\$ 2,014.50	
Frozen	Daves	Wg385	Wg Mini Choc Chip Muffin Iw	90/1.9Oz	5	\$ 37.42	\$ 187.10	\$ 37.42	\$ 187.10	
Frozen	Del Real	767	Tamale Chkn W/Red Sauce Del Real 12-4Ct	12/4ct	90	\$ 59.22	\$ 5,329.80	\$ 59.22	\$ 5,329.80	
Frozen	Del Real	124	tamales chicken bulk wg	48/5oz	600	\$ 52.19	\$ 31,314.00	\$ 52.19	\$ 31,314.00	
Dry	Del Sol	41212	Diced Green Chiles	6/#10	7	\$ 54.98	\$ 384.86	\$ 54.98	\$ 384.86	
Dry	Del Sol	DS00115	Peppers, Jalapenos Nacho sliced DelSol 6-10Ct	6/#10	87	\$ 30.59	\$ 2,661.33	\$ 30.59	\$ 2,661.33	
Dry	Diamond Crystal	38001/618945	Baking Powder	5/4# 6/5#	3	\$ 73.07	\$ 219.21	\$ 73.07	\$ 219.21	
Frozen	Don Lee	cnq163003	BEEF 100% STEAK BURGER	180/3.0oz	500	\$ 94.42	\$ 47,210.00	\$ 94.42	\$ 47,210.00	NOI, NET CMDY PRICE
Frozen	Don Lee	cnq093003	burger, backyard	160/3oz	175	\$ 85.60	\$ 14,980.00	\$ 85.60	\$ 14,980.00	NOI, NET CMDY PRICE
Frozen	Don Lee	CN34072WWG	CORN DOG JUMBO CHICKEN WG IW	72/4oz	100	\$ 66.84	\$ 6,684.00	\$ 66.84	\$ 6,684.00	
Frozen	Don Lee	CNQ19053	Meatballs Cnq19053 Cmdy D/Lee 200/Cs	31.25LBS	75	\$ 82.01	\$ 6,150.75	\$ 82.01	\$ 6,150.75	NOI, NET CMDY PRICE
Frozen	Don Lee	655	mini Chisbro Chisbro33 Cmdy D/Lee 726-4 Oz	72/6.4oz	500	\$ 76.84	\$ 38,420.00	\$ 76.84	\$ 38,420.00	NOI, NET CMDY PRICE
Frozen	Don Lee	582253	Patty Pork Rib Donlee 216-2.25Oz	216/2.25oz	30	\$ 71.61	\$ 2,148.30	\$ 71.61	\$ 2,148.30	NOI, NET CMDY PRICE
Dry	Doritos	62829	Rf Flamas Tortilla Chips	72/1Oz	170	\$ 30.39	\$ 5,166.30	\$ 30.39	\$ 5,166.30	
Dry	Doritos	20518	Top N Go Nachos	44/1.4Oz	50	\$ 26.68	\$ 1,334.00	\$ 26.68	\$ 1,334.00	
Frozen	eggo	38000-14690	waffle eggo bulk regular	12/12ct	35	\$ 26.33	\$ 921.55	\$ 26.33	\$ 921.55	
Dry	EMBASA	7874	Salsa, Mega Mex Verde Green 6/#10	6/#10	20	\$ 52.44	\$ 1,048.80	\$ 52.44	\$ 1,048.80	
Frozen	Farmland	70247813046	6" 5/1 All Beef Hot Dog	10lb	75	\$ 41.44	\$ 3,108.00	\$ 41.44	\$ 3,108.00	
Frozen	FAT CAT BAKERY	WGCCCC140-1SW	Cookie Choc Chip Iw Wgcccc140-1sw 140/1.2oz	140/1.2oz	1000	\$ 52.79	\$ 52,790.00	\$ 52.79	\$ 52,790.00	

Frozen	FAT CAT BAKERY	WGPMPCL40/15W	COOKIES PUMPKIN WG IW	140/1.3Oz	30	\$ 50.23	\$ 1,506.90	\$ 50.23	\$ 1,506.90	
Frozen	FAT CAT BAKERY	Wgccc168-As	Wg Choc Chip Cookie Dgh Puck	168/1.75Oz	100	\$ 56.72	\$ 5,672.00	\$ 56.72	\$ 5,672.00	
Dry	Fieldstone	547610/09799	granola cereal bulk	4/50oz	10	\$ 58.50	\$ 585.00	\$ 58.50	\$ 585.00	
Dry	Fieldstone	596596	original granola iw	144/1oz	20	\$ 59.63	\$ 1,192.60	\$ 59.63	\$ 1,192.60	
Frozen	FOSTER FARMS	99706	BRST CHIC DICED CAJUN FC	6/3LS	50	\$ 58.32	\$ 2,916.00	\$ 58.32	\$ 2,916.00	NOI, NET CMDY PRICE
Frozen	FOSTER FARMS	99707	BRST CHIC DICED CHILE VERDE FC BULK	6/3lb	20	\$ 58.62	\$ 1,172.40	\$ 58.62	\$ 1,172.40	NOI, NET CMDY PRICE
Frozen	FOSTER FARMS	96041	CORN DOGS LOW FT MINI CHIX WG	2/5LBS	250	\$ 31.01	\$ 7,752.50	\$ 31.01	\$ 7,752.50	NOI, NET CMDY PRICE
Dry	Fresh Bread	4216	4" 51% SLICED FRENCH ROLLS WWW	12/2.02Oz	1000	\$ 3.98	\$ 3,980.00	\$ 3.98	\$ 3,980.00	
Dry	Fresh Bread	3420	51% HAWAIIAN DINNER ROLL WWW	12/2OZ	1385	\$ 3.62	\$ 5,013.70	\$ 3.62	\$ 5,013.70	
Dry	Fresh Bread	1438	6" 51% SLICED FRENCH ROLL WWW	12/2.67OZ	2375	\$ 4.44	\$ 10,545.00	\$ 4.44	\$ 10,545.00	
Dry	Fresh Bread	2179	6" 51% Www Hot Dog Buns	12/1.96Oz	1645	\$ 3.44	\$ 5,658.80	\$ 3.44	\$ 5,658.80	
Dry	Fresh Bread	60374	Www Plain Sliced Bagels	6/3Oz	762	\$ 2.93	\$ 2,232.66	\$ 2.93	\$ 2,232.66	
Frozen	Frozen Bread	12176	4" 51% Www Hamburger Buns- frozen	144ct	500	\$ 30.78	\$ 15,390.00	\$ 30.78	\$ 15,390.00	
Frozen	Frozen Bread	11490	Sandwich Bread 51% Wg	24Sl	140	\$ 28.95	\$ 4,053.00	\$ 28.95	\$ 4,053.00	
Dry	Funyuns	49010	flaming hot funyuns	64/1.25oz	50	\$ 44.18	\$ 2,209.00	\$ 44.18	\$ 2,209.00	
Dry	Garden Banner	gb1040	mayonnaise lite	4/1gal	20	\$ 40.53	\$ 810.60	\$ 40.53	\$ 810.60	
Dry	Garden Banner	1030	Mayonnaise,	4/1Gal	4	\$ 49.07	\$ 196.28	\$ 49.07	\$ 196.28	
Dry	General Mills	14885	25% less sugar cocoa puffs cup	60/2oz	40	\$ 41.88	\$ 1,675.20	\$ 41.88	\$ 1,675.20	
Dry	General Mills	28932	2GO CUPS CINN TOAST CRUNCH	60/2oz	40	\$ 41.88	\$ 1,675.20	\$ 41.88	\$ 1,675.20	
Dry	General Mills	11815	cereal cinn toast crunch wg	96/1oz	50	\$ 33.73	\$ 1,686.50	\$ 33.73	\$ 1,686.50	
Dry	General Mills	38387	Cinnamon Chex Bowlpak	96/1oz	100	\$ 33.73	\$ 3,373.00	\$ 33.73	\$ 3,373.00	
Dry	General Mills	14883	CINNAMON CHEX CEREAL CUP	60/2oz	400	\$ 41.88	\$ 16,752.00	\$ 41.88	\$ 16,752.00	
Dry	General Mills	14882	Honey Nut Cheerios cup	60/2oz	40	\$ 41.88	\$ 1,675.20	\$ 41.88	\$ 1,675.20	
Dry	General Mills	14884	lucky charms cereal cup	60/2oz	40	\$ 41.88	\$ 1,675.20	\$ 41.88	\$ 1,675.20	
Dry	General Mills	14886	Red Sug Cinnamon Toast Crunch	60/2OZ	300	\$ 41.88	\$ 12,564.00	\$ 41.88	\$ 12,564.00	
Dry	Ghirardelli	482330/69069	Cocoa Powder Sunrise Dutch	1/25Lb	9	\$ 114.55	\$ 1,030.95	\$ 114.55	\$ 1,030.95	
Dry	Gold Medal	14323	All Purpose Flour	25Lb	52	\$ 13.58	\$ 706.16	\$ 13.58	\$ 706.16	
Dry	Gold Medal	58034	White Wheat Flour	50Lb	25	\$ 24.74	\$ 618.50	\$ 24.74	\$ 618.50	
Dry	gold star foods	14305	4" 51S bn knot unseeded wg	144 ct	400	\$ 24.77	\$ 9,908.00	\$ 24.77	\$ 9,908.00	
Dry	golden state	73120/000006	mustard yellow	4/1gal	5	\$ 32.61	\$ 163.05	\$ 32.61	\$ 163.05	
Frozen	Goldkist	110458	brd dark meat chix smackers wg	30lbs	25	\$ 71.50	\$ 1,787.50	\$ 71.50	\$ 1,787.50	NOI, NET CMDY PRICE
Frozen	Goldkist	110452	Chkn Gold kist, wg, Popcorn	108/4.3oz	600	\$ 67.52	\$ 40,512.00	\$ 67.52	\$ 40,512.00	NOI, NET CMDY PRICE
Frozen	Goldkist	7516	Wg Brd Chix Breast Fillet	120/4oz	300	\$ 127.79	\$ 38,337.00	\$ 127.79	\$ 38,337.00	NOI, NET CMDY PRICE
Frozen	Green Bellies	p-750-iw	PRETZEL SOFT	72/2oz	500	\$ 68.62	\$ 34,310.00	\$ 68.62	\$ 34,310.00	
Dry	Heinz	13009848000	Single Serve Ketchup Packet	1000/9Gm	20	\$ 22.29	\$ 445.80	\$ 22.29	\$ 445.80	NOI, NET CMDY PRICE
Frozen	Hoffy	1204	Franks Hoffy Turkey 5" 8/1 2/5#	2/5#	290	\$ 25.84	\$ 7,493.60	\$ 25.84	\$ 7,493.60	
Dry	indiana	8435710084	sweet amd saly popcorn	48/1oz	100	\$ 33.56	\$ 3,356.00	\$ 33.56	\$ 3,356.00	
Dry	IZZE	1507	SPARKLING apple JUICE	24/8.4OZ	20	\$ 16.81	\$ 336.20	\$ 16.81	\$ 336.20	
Dry	IZZE	01502-3	SPARKLING BLACKBERRY JUICE	24/8.4OZ	100	\$ 16.81	\$ 1,681.00	\$ 16.81	\$ 1,681.00	
Frozen	J & J SNACK FOODS	4521	51% waffle dutch wg	48/2.9oz	125	\$ 28.64	\$ 3,580.00	\$ 28.64	\$ 3,580.00	
Dry	J & J SNACK FOODS	39085	51%Wg Jungle Crackers	200/1oz	100	\$ 34.92	\$ 3,492.00	\$ 34.92	\$ 3,492.00	
Frozen	J & J SNACK FOODS	40454	BAR BENEFIT OTML CHCHIP WG mini	96/1.25oz	10	\$ 25.29	\$ 252.90	\$ 25.29	\$ 252.90	
Frozen	J & J SNACK FOODS	40401	bar Cannbear Chocolate Chip W J&J benefit	48/2.5oz	3370	\$ 21.63	\$ 72,893.10	\$ 21.63	\$ 72,893.10	
Dry	J & J SNACK FOODS	2049193	cracker churro cmch crave iw	160/1oz	50	\$ 39.62	\$ 1,981.00	\$ 39.62	\$ 1,981.00	
Dry	Jackpot	MOR011	mandarin oranges ls	6/#10	50	\$ 41.39	\$ 2,069.50	\$ 41.39	\$ 2,069.50	
Dry	Jackpot	Pap007	Pineapple Tidbits In Juice	6/#10	67	\$ 37.12	\$ 2,487.04	\$ 37.12	\$ 2,487.04	
Dry	Jackpot	OLIVE601	Sl Black Olives	6/#10	55	\$ 52.36	\$ 2,879.80	\$ 52.36	\$ 2,879.80	
Frozen	Jennie-O	271106	bacon turkey fire Cooked Crispy bacon	12/50sl	50	\$ 106.84	\$ 5,342.00	\$ 106.84	\$ 5,342.00	NOI, NET CMDY PRICE
Frozen	Jennie-O	871702	ps fc crispy trky bacon bits	2/5-6lbs	8	\$ 187.94	\$ 1,503.52	\$ 187.94	\$ 1,503.52	
Frozen	Jennie-O	209903	Turkey Oven Rstd, Sliced Jennie-O 12/1 #	12/1 #	100	\$ 41.89	\$ 4,189.00	\$ 41.89	\$ 4,189.00	NOI, NET CMDY PRICE
Frozen	Jennie-O	207230	turkey stick bbq	400/1.2oz	10	\$ 257.41	\$ 2,574.10	\$ 257.41	\$ 2,574.10	NOI, NET CMDY PRICE
Frozen	Jennie-O	207130	turkey stick smokenhouse All Nat Bst 400/1.2	400/1.2oz	10	\$ 257.41	\$ 2,574.10	\$ 257.41	\$ 2,574.10	NOI, NET CMDY PRICE
Dry	JIFF	90011 9150092100	Peanut Butter Cup Cmdy Ap 100/1.1 Oz/Cs	100/1.1oz 120/1.1OZ	50	\$ 35.86	\$ 1,793.00	\$ 35.86	\$ 1,793.00	NOI, NET CMDY PRICE
Frozen	Jtm	5722	Cheese Sauce Alfredo Rt 6/5#	6/5#	6	\$ 70.68	\$ 424.08	\$ 70.68	\$ 424.08	NOI, NET CMDY PRICE
Frozen	Jtm	5708	Cheese Sauce Jtm Jalapeno 6-5#	6/5#	160	\$ 67.40	\$ 10,784.00	\$ 67.40	\$ 10,784.00	NOI, NET CMDY PRICE
Frozen	Jtm	5742	Queso Blanco Cheese Sauce W/2	5/6#	12	\$ 102.68	\$ 1,232.16	\$ 102.68	\$ 1,232.16	
Dry	Juicy Juice	55	100% Apple Juice	40/4.23Oz	600	\$ 9.68	\$ 5,808.00	\$ 9.68	\$ 5,808.00	
Dry	KEEBLER	50689	cracker, Keebler scoobydoo Cinn Granam	210/1oz	5	\$ 58.89	\$ 294.45	\$ 58.89	\$ 294.45	
Dry	KEEBLER	301100-20150/40014	CRACKERS ANIMAL WG IW	150/1oz	100	\$ -	\$ -	\$ -	\$ -	
Dry	Kelloggs	30100-40239	Elf Grahams Chocolate Iw	150/1oz	30	\$ 38.40	\$ 1,152.00	\$ 38.40	\$ 1,152.00	
Dry	Kelloggs	38000-04996	Frosted Mini Wheels	96/1oz	30	\$ 35.11	\$ 1,053.30	\$ 35.11	\$ 1,053.30	
Dry	Kelloggs	30100-12695	GRAHAMS VANILLA CHATSNAx	210/1OZ	200	\$ 58.89	\$ 11,778.00	\$ 58.89	\$ 11,778.00	
Dry	Kelloggs	30100-38406	Honey Graham Crackers Iw	200/2ct	60	\$ 26.81	\$ 1,608.60	\$ 26.81	\$ 1,608.60	
Dry	Kelloggs	24100-79263	Wg Cheez Its Cracker Iw	175/75oz	140	\$ 46.94	\$ 6,571.60	\$ 46.94	\$ 6,571.60	
Dry	Kelloggs	38000-55133	Wg Strawberry Poptart Frstd Iw	72/3.53Oz	285	\$ 45.64	\$ 13,007.40	\$ 45.64	\$ 13,007.40	
Dry	Kelloggs	30100-10088	Zesta Wg Mini Saltine Crackers	300/3.39oz 500/2PK	50	\$ 24.38	\$ 1,219.00	\$ 24.38	\$ 1,219.00	

Refrigerate	KENS	777	Dressing, Ranch	4/1gal	5	\$	65.28	\$	326.40	\$	65.28	\$	326.40	
Dry	Kens Foods	0440Hf	Bbq Sauce - Seef Baby Rays	4/1Gal	16	\$	58.28	\$	932.48	\$	58.28	\$	932.48	
Dry	KLEIN PICKLE	41800.65041	Pickles Dill Chips A-1 Homemade 4/1 Gal	4/1gal	20	\$	25.90	\$	518.00	\$	25.90	\$	518.00	
Dry	kraft heinz	130007000000	CRINKLE CUT HAMBURGER PICKLES	6/5.75lbs	90	\$	46.31	\$	4,167.90	\$	46.31	\$	4,167.90	
Dry	kraft heinz	130005000000	mayo packet	500/12gm	150	\$	66.14	\$	9,921.00	\$	66.14	\$	9,921.00	
Dry	kraft heinz Four in One	130005000000 M268	Mayonnaise Lite	500/12gm 200/12gm	35	\$	17.33	\$	606.55	\$	17.33	\$	606.55	
Dry	kraft heinz	66485	MAYONNAISE SACHET KRAFT	100/12.4g	100	\$	32.51	\$	3,251.00	\$	32.51	\$	3,251.00	
Dry	kraft heinz Portion Pac	130005000000 7160370539	Mustard Packets lw	500/5.5Gm	10	\$	13.96	\$	139.60	\$	13.96	\$	139.60	
Dry	kraft heinz Portion Pac	13000503310 7160372281000	ranch dressing	200/12gr	20	\$	12.56	\$	251.20	\$	12.56	\$	251.20	
Dry	kraft heinz	10077900000000	Sauce, Tapatio Hot 12/10 Oz	12/10oz	25	\$	24.00	\$	600.00	\$	24.00	\$	600.00	
Dry	la patrona	42772	salsa fresca	4/8.25lbs	10	\$	67.34	\$	673.40	\$	67.34	\$	673.40	
Dry	la patrona	42724	salsa verde cilantro	4/8.5lb	20	\$	68.44	\$	1,368.80	\$	68.44	\$	1,368.80	
Refrigerate	La Tapatia	884802	12" Tomato Basil Tortillas	5/10Ct	5	\$	24.38	\$	121.90	\$	24.38	\$	121.90	
Dry	La Vencedora	elr15-150	torilla chips lw	1501.5oz	230	\$	36.27	\$	8,342.10	\$	36.27	\$	8,342.10	
Dry	La Vencedora	elr2	torilla chips bulk	6/2lb	210	\$	21.02	\$	4,414.20	\$	21.02	\$	4,414.20	
Dry	LA VICTORIA	41595	Sauce, Enchilada Red La Victoria 6/#10	6/#10	6	\$	50.41	\$	302.46	\$	50.41	\$	302.46	
Frozen	Lamb weston	m0011	mashed potatoes	6/4lb	10	\$	59.18	\$	591.80	\$	59.18	\$	591.80	
Refrigerate	Land O Lakes	46255	American Yellow Sliced Land O Lakes 6/5#	6/5#	25	\$	41.73	\$	1,043.25	\$	41.73	\$	1,043.25	NOI, NET CMDY PRICE
Refrigerate	Land O Lakes	44113	Cheddar Cubes lw 200/1 Oz Land O Lakes	200/1oz	150	\$	49.31	\$	7,396.50	\$	49.31	\$	7,396.50	NOI, NET CMDY PRICE
Dry	Land O Lakes	39911	cheese sauce cups dipping 140/3 oz Land O Lakes	140/3oz	100	\$	72.52	\$	7,252.00	\$	72.52	\$	7,252.00	NOI, NET CMDY PRICE
Dry	Land O Lakes	39912	Cheese Sauce Lal Jal Queso Dip 140/3 Oz	140/3oz	100	\$	72.52	\$	7,252.00	\$	72.52	\$	7,252.00	NOI, NET CMDY PRICE
Refrigerate	Land O Lakes	44877	cheese stick colby jack	168/1oz	50	\$	-	\$	-	\$	-	\$	-	
Frozen	Land O Lakes	43277	MAC & CHEESE W/ RF WG	6/5LB	475	\$	59.30	\$	28,167.50	\$	59.30	\$	28,167.50	NOI, NET CMDY PRICE
Dry	Land O Lakes	39940 39945	sauce cheese cheddar rs	60/1.5oz 6/106OZ	30	\$	57.45	\$	1,723.50	\$	57.45	\$	1,723.50	NOI, NET CMDY PRICE
Refrigerate	Land O Lakes	41749	Shred Milk Cheddar Cheese	4/5# PCH	10	\$	27.35	\$	273.50	\$	27.35	\$	273.50	NOI, NET CMDY PRICE
Dry	las palmas	7411024/381925	green enchilada sauce	6/#10	2	\$	51.89	\$	103.78	\$	51.89	\$	103.78	
Dry	Lays	32078	baked bbq	60/875	10	\$	25.33	\$	253.30	\$	25.33	\$	253.30	
Dry	Lays	19846	Potato Chips Regular	120/0.5oz	15	\$	22.84	\$	342.60	\$	22.84	\$	342.60	
Frozen	Los Cabos	97576	Burrito Bean & Cheese Wg lw Los Cabos 96	96/5.75oz	1075	\$	78.37	\$	84,247.75	\$	78.37	\$	84,247.75	NOI, NET CMDY PRICE
Frozen	Lupita	1450	Concha, Assorted Flavors, Wg, lw, 84/2.25Oz	84/2.25oz	1330	\$	49.35	\$	65,635.50	\$	49.35	\$	65,635.50	
Dry	Malt O Meal	955	frosted flakes	48/2oz	40	\$	23.16	\$	926.40	\$	23.16	\$	926.40	
Dry	Malt O Meal	27149	Frosted Shredded Wheat	48/2oz	40	\$	23.16	\$	926.40	\$	23.16	\$	926.40	
Dry	Malt O Meal	27315	honey bunches of oats crunch	96/1oz	20	\$	23.16	\$	463.20	\$	23.16	\$	463.20	
Dry	Marquis Clabber	429634/01711	Cornstarch	24/1#	1	\$	44.95	\$	44.95	\$	44.95	\$	44.95	
Dry	Marzetti Company	81299	Chipotle Ranch Dressing	60/1.5Oz	15	\$	20.50	\$	307.50	\$	20.50	\$	307.50	
Dry	Marzetti Company	6025	Dressing, Caesar Marzetti	60/1.5oz	260	\$	19.45	\$	5,057.00	\$	19.45	\$	5,057.00	
Dry	Marzetti Company	140036	MULTI GRAIN CROUTONS	300/1oz	90	\$	42.67	\$	3,840.30	\$	42.67	\$	3,840.30	
Dry	Marzetti Company	81992	ORIGINAL RANCH DRESSING IW	120/1.5oz	20	\$	31.98	\$	639.60	\$	31.98	\$	639.60	
Dry	Marzetti Company	83984	RANCH DRESSING CUPS	120/1oz	625	\$	23.16	\$	14,475.00	\$	23.16	\$	14,475.00	
Frozen	Mccain	55	Fries McCain Crinkle Cut Oven On00033A 4.5#	6/5#	50	\$	39.35	\$	1,967.50	\$	39.35	\$	1,967.50	NOI, NET CMDY PRICE
Frozen	Mccain	MCX03626	Fries McCain Seasoned 8 CUT WEDGE	6/5LBS	220	\$	43.74	\$	9,622.80	\$	43.74	\$	9,622.80	NOI, NET CMDY PRICE
Frozen	Mccain	215a	Potato McCain Tafer Tots Oif00215A 6-5#	6/5#	130	\$	45.35	\$	5,895.50	\$	45.35	\$	5,895.50	NOI, NET CMDY PRICE
Frozen	Mccain Foods Inc	Oif00215A	Plain Potato Tafer Tots	6/5Lb	30	\$	45.35	\$	1,360.50	\$	45.35	\$	1,360.50	NOI, NET CMDY PRICE
Frozen	Mccain Foods Inc	Oif03613	Seasoned Homestyle Mashmakers	6/4lb	30	\$	43.09	\$	1,292.70	\$	43.09	\$	1,292.70	NOI, NET CMDY PRICE
Refrigerate	michael foods	14616-60676-00	eggs hard cooked peeled	12/12ct	25	\$	54.02	\$	1,350.50	\$	54.02	\$	1,350.50	
Frozen	Michael Foods	75012	TOAST FRENCH CINN GLZD STIX WG	85/2.9Oz	500	\$	53.12	\$	26,560.00	\$	53.12	\$	26,560.00	
Frozen	Michaels b's bestway	ctb43	TAQUITOS CHICKEN bulk wg	100/2.2oz	580	\$	65.90	\$	38,222.00	\$	65.90	\$	38,222.00	
Dry	MINH	69144	SAUCE LS TERIYAKI	5/6LBS	8	\$	54.86	\$	438.88	\$	54.86	\$	438.88	
Dry	Minor's	03301/360405	Vegetable Base	12/1Lb	15	\$	93.56	\$	1,403.40	\$	93.56	\$	1,403.40	
Dry	Mjm Marketing	801155	CRACKR BITE SAVORY WHEAT WG IW	155/1oz	35	\$	32.88	\$	1,150.80	\$	32.88	\$	1,150.80	
Dry	Mjm Marketing	404001	Wg Vanilla Bear Grahams	300/1 Oz	100	\$	53.03	\$	5,303.00	\$	53.03	\$	5,303.00	
Frozen	morningsstar	381627	patty garden veggie	48/3.5oz	5	\$	62.18	\$	310.90	\$	62.18	\$	310.90	
Dry	moits	10065615	applesauce supnatural	72/4.5oz	500	\$	28.03	\$	14,015.00	\$	28.03	\$	14,015.00	
Frozen	Mr Sips	300433	chicken nugget gluten free	2/5#	28	\$	69.68	\$	1,951.04	\$	69.68	\$	1,951.04	
Frozen	Mr Sips	300155/544551	Gf Hamburger Bun lw	24/3.6oz	28		MFG DISC	\$	-		MFG DISC	\$	-	
Frozen	Mr Sips	544550	gf hot dog buns	24/3.5oz	8		MFG DISC	\$	-		MFG DISC	\$	-	
Frozen	Mr Sips	542958	gluten free 6" chs pizza lw	24/6.7oz	28		MFG DISC	\$	-		MFG DISC	\$	-	
Frozen	Mr Sips	544552	gluten free bread slice lw	24/1.5oz	25		MFG DISC	\$	-		MFG DISC	\$	-	
Dry	NATIONAL FOOD GROUP	A5000	Hummus Cup Traditional Fruit 120/1.9 Oz	120/3oz	50	\$	61.82	\$	3,091.00	\$	61.82	\$	3,091.00	NOI, NET CMDY PRICE
Dry	Naturally Fresh Four in One	4740 S382	Syrup, Maple, Nat.Fresh 100-1.5Oz	100/1.5oz	40	\$	15.53	\$	621.20	\$	15.53	\$	621.20	
Dry	Nature Valley	2382000	Oats & Honey Granola Bar	168/1.5oz	10	\$	77.90	\$	779.00	\$	77.90	\$	779.00	
Dry	Ocean Spray	23445	Craisins Dried Cranber-Strwbw	200/1.16Oz	200	\$	52.42	\$	10,484.00	\$	52.42	\$	10,484.00	
Dry	Ocean Spray	23444	Craisins Dried Cranberries Cherry	200/1.16 oz	50	\$	52.42	\$	2,621.00	\$	52.42	\$	2,621.00	
Dry	Pacific Spice	Cumg6l	Ground Cumin Seed	5Lb	9	\$	24.58	\$	221.22	\$	24.58	\$	221.22	
Dry	Pacific Spice	N/A	Spice Paprika 5#	5#	3	\$	25.13	\$	75.39	\$	25.13	\$	75.39	
Dry	Peak	19664530	Parboiled Rice	1/25b	500	\$	18.59	\$	9,295.00	\$	18.59	\$	9,295.00	

Dry	Pepperidge Farm	18105	Cracker, Pep-Farm (18105) Golden Wg 300-6.25oz	300/.75	30	\$ 72.35	\$ 2,170.50	\$ 72.35	\$ 2,170.50	
Frozen	Pillsbury	38413	Bagel Mini Strwb Cmry Pillsbury 72/2.43 Oz	72/2.43oz	200	\$ 41.91	\$ 8,382.00	\$ 41.91	\$ 8,382.00	
Frozen	pillsbury	12317	PULL APART ITALIAN CHS GARLIC	72/3.88oz	350	\$ 69.08	\$ 24,178.00	\$ 69.08	\$ 24,178.00	
Frozen	pillsbury	33686	ROLLS MINI CINNIS CINNMN WG IW	72/2.29oz	100	\$ 42.03	\$ 4,203.00	\$ 42.03	\$ 4,203.00	
Dry	Portion Pac	7160370539	Mustard Packets 500-5.5Gm	500/5.5gm	50	\$ 13.96	\$ 698.00	\$ 13.96	\$ 698.00	
Dry	pure life	6827493471	bottle purified water lg btl	24/16.9oz	550	\$ 4.87 +CRV	\$ 2678.50 + CRV	\$ 4.87 +CRV	\$ 2678.50 + CRV	
Dry	Quaker	20164	old fashion oats	50lb	48	\$ 38.47	\$ 1,846.56	\$ 38.47	\$ 1,846.56	
Dry	Red Gold	REDYL9G	Ketchup, Redgold Nat Sugar Ls 1000-9Gm	1000/9gm	150	\$ 27.82	\$ 4,173.00	\$ 27.82	\$ 4,173.00	NOI, NET CMDY PRICE
Dry	Red Gold	Redno22c168	Marinara Sauce Cups	168/2.5 Oz	31	\$ 65.65	\$ 2,035.15	\$ 65.65	\$ 2,035.15	NOI, NET CMDY PRICE
Frozen	Richs	14839	Donut Ring Wg	84/2.45Oz	55	\$ 46.75	\$ 2,571.25	\$ 46.75	\$ 2,571.25	
Frozen	Richs	577	dough pizz pr bake 5" shtd wd	150ct	100	\$ 48.70	\$ 4,870.00	\$ 48.70	\$ 4,870.00	
Frozen	Richs	8763	Dough, Sub, WG	60/7.5 oz	20	\$ 65.25	\$ 1,305.00	\$ 65.25	\$ 1,305.00	
Frozen	Richs	14010	Flatbread 6X6 Oven Fired Wg Rich'S 192-2	192/2oz	25	\$ 55.53	\$ 1,388.25	\$ 55.53	\$ 1,388.25	
Frozen	Richs	19864	MOZZ JALAPENO BITES WG	8/3lbs	15	\$ 61.57	\$ 923.55	\$ 61.57	\$ 923.55	NOI, NET CMDY PRICE
Frozen	Richs	18510	POPPERS CORN BREAD WG	384/5oz	125	\$ 48.38	\$ 6,047.50	\$ 48.38	\$ 6,047.50	
Frozen	Richs	8733	Ultimate Bkfst Rnd Wg lw Rich'S 126/2.2 Oz	126/2.2oz	420	\$ 69.52	\$ 29,198.40	\$ 69.52	\$ 29,198.40	
Dry	rocin'ola	8004209	Granola Cinnamon lw	250/1oz	20	\$ 91.00	\$ 1,820.00	\$ 91.00	\$ 1,820.00	
Dry	Rodelle	532572	Imitation Vanilla	1Gal	18	\$ 11.13	\$ 200.34	\$ 11.13	\$ 200.34	
Refrigerate	ROMEROS	210262ug	10" ug flour tortilla-prsrd ww	6/2dz	20	\$ 29.29	\$ 585.80	\$ 29.29	\$ 585.80	
Refrigerate	ROMEROS	208182UG	Tortilla Ultra Grain 288 Ct	288ct	40	\$ 39.24	\$ 1,569.60	\$ 39.24	\$ 1,569.60	
Refrigerate	ROMEROS	N/A	tortilla, taco shell, corn wg 6" 200/cs	200ct	65	\$ 29.56	\$ 1,921.40	\$ 29.56	\$ 1,921.40	
Dry	safe&fair	673673	gavon's granola cinnamon lw	192/1oz	10	MFG DISC	\$ -	MFG DISC	\$ -	
Frozen	Schwans	72672	Przschschwans Wg 10" pepperoni pizza 60/3.4 Oz	60/5.4oz	1200	\$ 45.61	\$ 54,732.00	\$ 45.61	\$ 54,732.00	NOI, NET CMDY PRICE
Frozen	schwans food	60585	dumpling chix & veggie ww	8/2.5lb	10	\$ 70.17	\$ 701.70	\$ 70.17	\$ 701.70	
Dry	SENECA Mercantile & Fancy	N/A-36743	Corn Whole Kernel 6/#10	6/#10	50	\$ 31.85	\$ 1,592.50	\$ 31.85	\$ 1,592.50	
Frozen	simplot	10071200000000	fries crinkle cut	6/5lbs	75	\$ 51.02	\$ 3,826.50	\$ 51.02	\$ 3,826.50	
Frozen	smart foods	63307-9	NUGGETS BAT CHICKEN WG	213/.75oz	80	\$ 56.39	\$ 4,511.20	\$ 56.39	\$ 4,511.20	
Frozen	smart foods	63356-9	nuggets heart shaped wg	10lbs	80	\$ 56.39	\$ 4,511.20	\$ 56.39	\$ 4,511.20	
Frozen	Smuckers	5150006961	sandwich smuckers onest F b& J wg lw	72/2.6Oz	30	\$ 53.60	\$ 1,608.00	\$ 53.60	\$ 1,608.00	NOI, NET CMDY PRICE
Frozen	Smuckers	51500210 5150006960	30/2.6Oz smuckers onest F b& J-rip wg lw	72/2.6oz	830	\$ 51.24	\$ 42,529.20	\$ 51.24	\$ 42,529.20	NOI, NET CMDY PRICE
Frozen	Smuckers	5150021027	Wg Pb& Grape Uncrustable Lrg	72/5.3Oz	90	\$ 91.35	\$ 8,221.50	\$ 91.35	\$ 8,221.50	NOI, NET CMDY PRICE
Frozen	Smuckers	5150021028	Wg Pb& strawberry Uncrustable Lrg	72/5.3Oz	120	\$ 96.03	\$ 11,523.60	\$ 96.03	\$ 11,523.60	NOI, NET CMDY PRICE
Frozen	Smuckers MARSON	33661 5722ma	Waffle maple lw	72/2.4oz	15	\$ 38.62	\$ 579.30	\$ 38.62	\$ 579.30	
Frozen	Spitfed Foods	SF06011	Shrimp Poppers Richs 5/2#	6/3lb	50	\$ 80.35	\$ 4,017.50	\$ 80.35	\$ 4,017.50	
Dry	STARKIST	740110	Tuna Chicken Of Sea Chk Lt 6/43oz	6/43oz	20	\$ 68.28	\$ 1,365.60	\$ 68.28	\$ 1,365.60	
Dry	Sugar Foods	74627/595447	Wg Chs Garlic Croutons lw	250/5Oz	45	\$ 32.11	\$ 1,444.95	\$ 32.11	\$ 1,444.95	
Dry	Sun Chips	36445	Wg Multigrain Garden Salsa Chips	104/1oz	100	\$ 43.91	\$ 4,391.00	\$ 43.91	\$ 4,391.00	
Dry	Sun Chips	11151	Wg Multigrain Snacks Original	104/1oz	100	\$ 43.91	\$ 4,391.00	\$ 43.91	\$ 4,391.00	
Dry	Suncup	402800	JUICE PARADISE PUNCH 100% VEG	40/4.25oz	1200	\$ 11.08	\$ 13,296.00	\$ 11.08	\$ 13,296.00	
Frozen	Sunny Fresh	41927	Egg Sunnyfresh Pre-Cooked Scrambled	4/5lbs	180	\$ 81.92	\$ 14,745.60	\$ 81.92	\$ 14,745.60	NOI, NET CMDY PRICE
Frozen	Super Bakery	7501	BREAD BANANA SLICE	75/3.4oz	50	\$ 54.62	\$ 2,731.00	\$ 54.62	\$ 2,731.00	
Frozen	Super Bakery	6075 7505	BREAD PUMPKIN ULTRA SLICE	70/3.4oz	15	\$ 55.78	\$ 836.70	\$ 55.78	\$ 836.70	
Frozen	super bakery	6070	BUN BAKED CINNAMON WG IW	72/2.9oz	150	\$ 40.78	\$ 6,117.00	\$ 40.78	\$ 6,117.00	
Frozen	Super Bakery	7786	Wg Mini Donut Choc Enrobed lw	72/3.3Oz	235	\$ 78.33	\$ 18,407.55	\$ 78.33	\$ 18,407.55	
Dry	Swiss Miss	990065856	Hot Cocoa Mix, Swiss Miss, Bulk	45.68oz 1/76.5OZ	15	\$ 6.43	\$ 96.45	\$ 6.43	\$ 96.45	
Dry	switch	7c2480bc	black cherry	24/8oz	50	\$ 16.94 + CRV	\$ 847.00 + CRV	\$ 16.94 + CRV	\$ 847.00 + CRV	
Dry	switch	7c2480fp	JUICE fruit punch	24/8oz	20	\$ 16.94 + CRV	\$ 338.80 + CRV	\$ 16.94 + CRV	\$ 338.80 + CRV	
Dry	switch	7c2480kb	JUICE kiwi berry	24/8oz	20	\$ 16.94 + CRV	\$ 338.80 + CRV	\$ 16.94 + CRV	\$ 338.80 + CRV	
Dry	switch	7c2480ws	JUICE WTRMLN STRWBRY SPARKLING	24/8oz	520	\$ 16.94 + CRV	\$ 8,808.80 + CRV	\$ 16.94 + CRV	\$ 8,808.80 + CRV	
Dry	Tajin	28805	Ls Tajin Season Packets	1000/035	90	\$ 52.61	\$ 4,734.90	\$ 52.61	\$ 4,734.90	
Dry	Tapatio	7788500193	Hot Sauce Packets	500/7Gr	100	\$ 41.59	\$ 4,159.00	\$ 41.59	\$ 4,159.00	
Frozen	Tasty Brands	804	Ravioli Jumbo Cheese Tasty Brands 108/3 Oz	108/3oz	56	\$ 77.84	\$ 4,359.04	\$ 77.84	\$ 4,359.04	NOI, NET CMDY PRICE
Frozen	Tasty Brands	33504	Wg Breaded Onion Rings	6/5lb	10	\$ 86.37	\$ 863.70	\$ 86.37	\$ 863.70	
Frozen	Tasty Brands	00801WG	Wg Cheese Lasagna Roll Up	110/4.3oz	290	\$ 83.18	\$ 24,122.20	\$ 83.18	\$ 24,122.20	NOI, NET CMDY PRICE
Dry	TEASDALE	610	Beans Garbanzo 6/#10	6/#10	50	\$ 33.46	\$ 1,673.00	\$ 33.46	\$ 1,673.00	
Dry	TEASDALE Lodi Canning	tea-dag-0610 2088	beans ls dark red kidney	6/108oz 6/#10	40	\$ 33.77	\$ 1,350.80	\$ 33.77	\$ 1,350.80	
Dry	TEASDALE	N/A TEA-FOB-0610	Beans Pinto 6-#10	6/#10	80	\$ 33.46	\$ 2,676.80	\$ 33.46	\$ 2,676.80	
Dry	TEASDALE Lodi Canning	N/A 2072	Beans Refried Vegetarian Teasdale 6-#10	6/#10	20	\$ 43.22	\$ 864.40	\$ 43.22	\$ 864.40	
Dry	The Langlois Company	453	Commeal	25lb	1	\$ 25.59	\$ 25.59	\$ 25.59	\$ 25.59	
Dry	The Langlois Company	180	Imitation Maple Syrup	4/1G1	37	\$ 27.12	\$ 1,003.44	\$ 27.12	\$ 1,003.44	
Dry	The Langlois Company	4232503001	mayonnaise lite	4/1gal	36	\$ 35.23	\$ 1,268.28	\$ 35.23	\$ 1,268.28	
Dry	Fullhouse Nestle	745100/349272 43964b	Morsels Mini Semi Sweet	4/25# 72OZ	52	\$ 14.90	\$ 774.80	\$ 14.90	\$ 774.80	
Frozen	Tony Roberts	19232	BAGELS SLICED WHEAT WG WW IW	72/2.24OZ	200	\$ 30.35	\$ 6,070.00	\$ 30.35	\$ 6,070.00	
Frozen	Tony Roberts	78977	Pizza Bagel Bkfst lw Tonyroberts 96-3Oz	96/3oz	60	\$ 57.64	\$ 3,458.40	\$ 57.64	\$ 3,458.40	NOI, NET CMDY PRICE
Frozen	Tonys	72671	6" 51% WG FB CHS PIZZA BULK	60/5.5oz	300	\$ 46.77	\$ 14,031.00	\$ 46.77	\$ 14,031.00	NOI, NET CMDY PRICE
Frozen	Tyson	10174430928	chicken Sausage Patty	336/1.43oz	20	\$ 75.24	\$ 1,504.80	\$ 75.24	\$ 1,504.80	NOI, NET CMDY PRICE

Frozen	Tyson	10000038479	chicken strips nashville hot	5/6LBS	10	\$	101.86	\$	1,018.60	\$	101.86	\$	1,018.60	NOI, NET CMDY PRICE
Frozen	Tyson	666010	Chkn Tyson Breaded Drumsticks 92-4.4Oz	92/4.4oz	150	\$	80.62	\$	12,093.00	\$	80.62	\$	12,093.00	NOI, NET CMDY PRICE
Frozen	Tyson	70322	Chkn Tyson Grill Chkn Filet Wm 215/2.26 Oz	215/2.26oz	40	\$	101.06	\$	4,042.40	\$	101.06	\$	4,042.40	NOI, NET CMDY PRICE
Frozen	Tyson	10055670928	Chkn Tyson Hot&Spicy Brd Patty Wg 149-3.	148/3.26	10	\$	75.12	\$	751.20	\$	75.12	\$	751.20	NOI, NET CMDY PRICE
Frozen	Tyson	10221780928	Tempura style battered nuggets 4/5.78lb	4/5.7810LB	75	\$	66.08	\$	4,956.00	\$	66.08	\$	4,956.00	NOI, NET CMDY PRICE
Frozen	Tyson	10703140928	Wg Brd Spicy Chik Patties	172/3oz	680	\$	74.73	\$	50,816.40	\$	74.73	\$	50,816.40	NOI, NET CMDY PRICE
Frozen	wild mike's	20210	PIZZA 16" 10-CUT PEPPERONI WG	90/5.5oz	300	\$	83.63	\$	25,089.00	\$	83.63	\$	25,089.00	NOI, NET CMDY PRICE
Frozen	Yangs	8-52724-15552-4	CHIC 100% MANDARIN ORNG WG	1/43.5LB	670	\$	155.76	\$	104,359.20	\$	155.76	\$	104,359.20	NOI, NET CMDY PRICE
Frozen	Yangs	8-52724-00072 - 5	Orange Popcorn Chicken		450	\$	25.35	\$	11,407.50	\$	25.35	\$	11,407.50	
Dry			Coffee, Folgers, Classic Roast, Medium	6/40.3 oz	20	\$	87.49	\$	1,749.80	\$	87.49	\$	1,749.80	
Refrigerated			Creamer, French Vanilla, 32 oz	EACH	120	\$	17.36	\$	2,083.20	\$	17.36	\$	2,083.20	
Dry			Marshmallows, Mini	12/1Lb	10	\$	35.38	\$	353.80	\$	35.38	\$	353.80	
Frozen	FROZEN SEAFOOD	562973/41600122	Shrimp, Cooked, Unbreaded, Small	10# 5/2LB	20	\$	67.30	\$	1,346.00	\$	67.30	\$	1,346.00	