

Warehouse and Distribution Center Food Safety, Sanitation and Quality Audit

Company Information	Audit Information
<p>Facility: C0052656 - Keele Warehousing & Logistics</p> <p>Address: 90 Summerlea Road Brampton , Ontario Canada, L6T 4X3</p> <p>Contact: Mr. James Appelbe Title: President</p> <p>Phone: 416-244-8200 X222 Fax: 416-244-8201 Email: james@keelewarehousing.com</p>	<p>Audit# - Visit#: 1650286 - 1288046</p> <p>Audit Type: DC - Warehouse and Distribution Center Food Safety, Sanitation and Quality Audit</p> <p>Template Version: 1.9</p> <p>Audit Category: REGULAR</p> <p>Auditor: Michael Ajimoko</p> <p>Audit Start Time: 27-NOV-2017 07:55:00 AM</p> <p>Audit End Time: 27-NOV-2017 04:00:00 PM</p> <p>Prior Audit Date: 17-NOV-16</p>

Explanation of Section Scorings (below)

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

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

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

Explanation of Overall Audit Result (below)

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

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

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

Overall Audit Result	
Grade Rule Result	% Score
Meets Expectations	96.00%

Present at Audit					
Name	Job Title	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
James Appelbe, Chris Kalenik, Maricel Ballore-Estrella	President, Warehouse Supervisor, CSR / Office Administrator.	Yes	Yes	Yes	Yes

GENERAL INFORMATION	
No	Question/Notes
1.1	<p>Facility and Operations Description.</p> <p>Auditor's Notes: Keele Warehousing & Logistics Inc. is located in a medium-sized industrial area in Brampton and situated on a 100,000 sq footage. The facility is bounded on the East by Summerlea road, on the West and South by warehouses and on the North by a garden tools company. The facility is a third party ambient warehouse for storage of food and nonfood items for customers. Products are received from approved facility and shipped to customer's assigned location at customers' request. The management of the facility has implement food safety and food defense ideal for the establishment. A system is in place for expansion into cold storage area and management has demonstrated continuous improvement drive.</p>
1.2	<p>Regulatory Inspection Type and Establishment #:</p> <p>N/A. No regulatory inspection is conducted in the operation of this site.</p>
1.3	<p>Products warehoused/produced at this facility.</p> <p>The warehouse stores food, sanitation chemicals, construction and mining products. Food Items {canned foods (fruits and vegetables, canned fish and seafood), raw food ingredients} are stored separately. Non-food items (construction materials, mining products, and sanitation chemicals) are stored in another section of the warehouse separated by walls. No processing is conducted in the facility.</p>
1.4	<p>The following departments and individuals participated in the audit process:</p> <p>James Appelbe (President), Chris Kalenik (Warehousing Supervisor) and Maricel Ballore-Estrella (CSR / Food Safety).</p>
1.5	<p>Notes from Auditor</p> <p>The facility is well organized and maintained clean. Employees demonstrated adequate knowledge of the job and followed GMPs throughout the operation. The management demonstrated the quest for continuous improvement and are committed to providing services backed up with integrity for food safety and security. Management was quite open and cooperative. No rework is conducted; the company follows First In First Out, however, customers control the inventory of their product.</p>

Non-Compliance Summary		
No	Question/Notes	Result
Section A/A.9	<p>Crisis and Natural Disaster Management <i>The Continuity of Operations / Crisis Response Program GMP 06/04 dated March 7, 2014, is documented and implemented.</i></p> <p><i>Nonconformance: Catastrophic events like natural disasters and their mitigation plans are not covered in the procedure.</i></p>	Non-Conformance*
Section D/D.6	<p>Operational Housekeeping and Monitoring <i>All operational areas are kept clean and tidy, trash bins are regularly emptied and the isles are kept clean and free of debris. Cleaning brushes are kept off the floor. The lift trucks are maintained clean and the premises are generally clean and tidy.</i></p> <p><i>Nonconformance: 1/. Cobwebs were found in two spots in the storage area. 2/. A food item is found stored in one employee locker.</i></p>	Non-Conformance*
Section E/E.6	<p>Detailed Activity Reports with Corrective Actions <i>A detailed report is provided by the PCO technician for each inspection. Corrective actions are taken when there is a deviation.</i></p> <p><i>NC: The PCO report of September 2017 was not reviewed / signed by the plant employee.</i></p>	Non-Conformance*
Section J/J.5	<p>Proof of Knowledge <i>NC: No record of training evaluation is conducted on the refresher training for 2017.</i></p>	Non-Conformance*

Section A. Administration and Regulatory Compliance		
No	Question/Notes	Result
A.1	Organization and Responsibilities <i>The KWL Organizational chart and responsibilities is documented in Appendix B in the quality manual, roles and responsibilities are assigned to individual on the organizational structure as documented in Appendix D. The President has the overall responsibility for the site and the responsibilities for each member of the Food Safety and Quality Management team are listed in the instruction manual.</i>	Acceptable
A.2	Policies and Procedures Manual <i>Relevant procedures and standards are documented, the policies and procedures are well organized and approved by the management with responsibility assigned for all expectations.</i>	Acceptable
A.3	Management Awareness and Commitment <i>Quality Policy is documented and implemented. The plant management has demonstrated active support for Food Safety by providing adequate resources evident in the state of the structure and premises outlook.</i>	Acceptable
A.4	Product Identification, Traceability and Recall Plans and Procedures <i>Traceability and Mock recall Program dated March 7, 2014, is documented and implemented to meet the requirement of CFIA. The company software tracks all movement of the products from receiving to shipping on the items. A mock recall was conducted May 25, 2017, on product item # IMP 32256 (2400 cases), Item #30454 (160 cases) and TGL and TGL WPREG-60W5K (246 pieces) were traced all at once; 100% was accounted for in 35 minutes. On Sept 7, 2017, a mock recall was conducted on Item # IMP 30448 (846 cases), ITEM # 11768257 (6 Drums) and item # 789371 (120 bags) were traced at the same time; 100% was accounted for in 40 minutes.</i>	Acceptable
A.5	Regulatory Compliance <i>No regulatory requirement or inspection is required for the facility. Best industry practices is evident.</i>	Acceptable
A.6	Document and Records Management <i>The facility has documented Control of Document GMP 08/01 dated June 27, 2011, that covers the approval process, legibility and identification of the document. The Control of Records GMP 08/02 dated July 11, 2013. All records are retained for a minimum of three years and electronic records are maintained and back up daily.</i>	Acceptable
A.7	Change Management <i>Document Control Master List is documented to keep record of change in document and procedures. All records of changes are on file.</i>	Acceptable
A.8	Documentation to Track Effectiveness of Policies <i>An internal audit was conducted in November 2017 that covers all areas of operations.</i>	Acceptable
A.9	Crisis and Natural Disaster Management <i>The Continuity of Operations / Crisis Response Program GMP 06/04 dated March 7, 2014, is documented and implemented.</i> <i>Nonconformance: Catastrophic events like natural disasters and their mitigation plans are not covered in the procedure.</i>	Non-Conformance*
A.10	Customer/Consumer Complaints (Policies, Follow Up and Response) <i>Customer / Consumer complaints procedure is documented in Customer Communication and Feedback GMP 12/01 dated Mar 9, 2017.</i> <i>No complaints were received in the year under review.</i>	Acceptable

Section B. HACCP Management		
No	Question/Notes	Result
B.1	Preliminary HACCP Tasks <i>A Food Safety and Quality Management team exist that oversees the HACCP and Food Defense implementation. Roles and responsibilities are listed for the team members. The production description is designed, process flowchart and hazard analysis are documented on file. There is no CCP in place for the system.</i>	Acceptable
B.2	Hazard Analysis (HACCP Principle 1) <i>Hazard analysis (biological, chemical and physical) has been conducted for all incoming product, storage, and shipping.</i>	Acceptable
B.3	Critical Control Points (HACCP Principle 2) <i>There is no Critical Control Point in the process.</i>	N/A
B.4	Critical Limits (HACCP Principle 3) <i>There is no Critical Control Point in the process.</i>	N/A

Section B. HACCP Management		
No	Question/Notes	Result
B.5	CCP Monitoring (HACCP Principle 4) <i>There is no Critical Control Point in the process.</i>	N/A
B.6	Corrective Actions (HACCP Principle 5) <i>There is no Critical Control Point in the process.</i>	N/A
B.7	Verification and Validation (HACCP Principle 6) <i>There is no Critical Control Point in the process. The plan, prerequisite procedures, and monitoring processes are verified by the president and assigned supervisor.</i>	N/A
B.8	Documentation and Record Keeping (HACCP Principle 7) <i>No CCP records are required. Prerequisites monitoring is sufficient for the operation and is appropriately and adequately documented.</i>	N/A

Section C. Facilities and Equipment		
No	Question/Notes	Result
C.1	Potable Water, Ice, Backflow Prevention, Steam and Waste Water Management <i>Potable water is applicable to employee's use for hand washing, washrooms, and cleaning. Wastewater flows into the municipality waste line. Potable water from the municipality is in use and current Water Quality Report and Guidelines from Municipality testing is available on file.</i>	Acceptable
C.2	Facility Construction and Design <i>Structures for the wall, floor, and roof are made of solid materials that support the integrity of the storage facility. The premises is maintained dry and clean and no open item is found in the storage area.</i>	Acceptable
C.3	Facility Condition (Walls, Ceilings, Floors, etc.) <i>The facility is maintained in an orderly arrangement. Floor, wall, and ceiling are clean and do not pose any risk to food safety. Overhead structures are well maintained and free of any potential contaminant. All products are fully enclosed and in most cases are shrink-wrapped or the top covered with slip sheet.</i>	Acceptable
C.4	Employee Facilities <i>Lockers are provided for the employees, lunch room is provided with tables and chairs sufficient for the employees. The men washroom is equipped with urinals, two toilets and hand wash supplied with all amenities. The employee facilities are covered in the sanitation schedule. Women are not involved in the warehouse operations. A separate facility is available for the office employees.</i>	Acceptable
C.5	Handwashing Facilities <i>The men's washroom is equipped with urinals, toilet and hand wash sink supplied with hot and cold water, soap, hand towel and trash receptacle. The facility is maintained in a clean and tidy condition as observed during the inspection. Signage is displayed appropriately.</i>	Acceptable
C.6	Equipment Layout, Design and Conditions <i>All lift trucks in use are clean and well maintained, all steel racking are clean. No processing equipment in use.</i>	Acceptable
C.7	Plant Lighting and Protection <i>Light is adequate for the process and all light fixture are well maintained. A yearly maintenance exists for all light fixtures.</i>	Acceptable
C.8	Maintenance Standard (Support of GMPs, Housekeeping, Lubricants) <i>Periodic Sanitation and Maintenance Checklist is designed and monitoring is documented for weekly, monthly and other regular activities conducted to maintain the areas and premises (offices, racks, and isles). Reports of June - October and November month to date were reviewed and found accurate and completed. Verification was conducted by the President.</i>	Acceptable

Section D. Sanitation, Housekeeping and Hygiene		
No	Question/Notes	Result
D.1	Master Sanitation Schedule and Monitoring <i>A Master Sanitation schedule is available and documented in the Safety and Sanitation. All regular (weekly, monthly, semi-annual and annual) cleaning activities conducted are documented for several sections of the facility. The record of cleaning and sanitation is documented in the Periodic Sanitation and Maintenance Checklist and Warehouse Inspection report. Monitoring records reviewed for the month of August, September, October and month to date November 2017 are accurate and complete.</i>	Acceptable
D.2	Standard Sanitation Operating Procedures and Monitoring <i>Cleaning and Sanitation Program GMP 03/01 dated Feb. 28, 2012, is documented and implemented. The Periodic Sanitation and Maintenance Checklist and Warehouse Inspection report contains basic cleaning activities monitored on daily basis.</i>	Acceptable
D.3	Cleaning Chemical and Sanitizer Control	Acceptable

Section D. Sanitation, Housekeeping and Hygiene		
No	Question/Notes	Result
	<i>Mineral Oil is used in mopping the floor, no chemical is required for the cleaning of the premises.</i>	
D.4	Pre Operational Monitoring and Corrective Action <i>Periodic Sanitation and Maintenance Checklist and Warehouse Inspection report are verified visually to confirm cleaning is thoroughly conducted.</i>	N/A
D.5	Verification of Cleaning Effectiveness <i>Visual observation is conducted by the Supervisor and verified by the President. No processing equipment is involved in the facility.</i>	Acceptable
D.6	Operational Housekeeping and Monitoring <i>All operational areas are kept clean and tidy, trash bins are regularly emptied and the isles are kept clean and free of debris. Cleaning brushes are kept off the floor. The lift trucks are maintained clean and the premises are generally clean and tidy.</i> <i>Nonconformance: 1/. Cobwebs were found in two spots in the storage area. 2/. A food item is found stored in one employee locker.</i>	Non-Conformance*
D.7	Personal Hygiene and Good Manufacturing Practices <i>All employees are found to be following GMPs. Hygiene requirements are documented and all employees are fully trained.</i>	Acceptable
D.8	Internal Audits and Corrective Actions <i>A detailed internal audit was conducted on all procedures and operations of the facility in November 2017. Corrective actions were completed for all non-conformance's identified.</i>	Acceptable

Section E. Rodent and Pest Control Management		
No	Question/Notes	Result
E.1	Documented and Specific Pest Control Program <i>An approved vendor has been engaged to manage pest activities as documented in the Pest Control Program GMP 04/01. The Pest Control Binder consists of a signed contract, procedure, PCO license, and certificate. The insurance document is on file. The File also contained the Pesticide Usage Log for approved chemicals and their MSDS. The technicians' license is current. A list of all activities conducted and their frequency is documented on file. Monthly reports of all device monitoring are on file.</i>	Acceptable
E.2	Outside Premises Management (Grounds, Waste Disposal Areas) <i>The exterior building and grounds are well maintained, the lawn is adequately cut and no standing water or storage of items that could cause potential harborage for pests is observed.</i>	Acceptable
E.3	Inside Premises Management <i>The storage of items is conducted to allow for cleaning and inspection. The perimeters and interior are adequately maintained clean and tidy. No spill is observed and no opening in the interior premises. The plant employee also conducts monitoring of all devices by section and documented in the PCO file.</i>	Acceptable
E.4	Pest Tight Doors and Entrance Closures <i>All exterior doors are well fitted to the walls.</i>	Acceptable
E.5	Secure Storage and Documentation of Pest Related Chemicals <i>No chemical is stored in the facility. The PCO handles all poison bait usage and disposition.</i>	Acceptable
E.6	Detailed Activity Reports with Corrective Actions <i>A detailed report is provided by the PCO technician for each inspection. Corrective actions are taken when there is a deviation.</i> <i>NC: The PCO report of September 2017 was not reviewed / signed by the plant employee.</i>	Non-Conformance*

Section F. Approved Suppliers, Receiving and Inventory Control		
No	Question/Notes	Result
F.1	Supplier Approval Policies and Procedures <i>This is a third party storage and distribution center. All suppliers are managed by their customers. A current list of maintenance and shipping suppliers is maintained.</i>	Acceptable
F.2	Incoming Vehicle Inspection and Documentation <i>Trailer / Container Inspection is conducted and documented in the Bill of Lading. Product and trucks are checked for integrity on food safety.</i>	Acceptable
F.3	Release Criteria for Ingredients <i>All items are received on customer order and logged into the facility inventory management system. Product in storage is released for shipping by customer's order, the order from the customer must match driver's request before the product is released.</i>	Acceptable
F.4	Storage and Handling Policies and Practices <i>Receiving and shipping is conducted on the same docks. Docks are found to be clean and free of</i>	Acceptable

Section F. Approved Suppliers, Receiving and Inventory Control		
No	Question/Notes	Result
	<i>litter and debris. No spillage is observed. Storage in the entire store is ambient.</i>	
F.5	Bulk Receiving Systems Sanitation and Monitoring <i>No bulk items are handled at the facility.</i>	N/A
F.6	Restricted and/or Sensitive Ingredient Control, Including Chemical Compounds <i>A segregation is in place to ensure nonfood products are not mixed with food products. All items are clearly identified and separated from the aisles by customers.</i>	Acceptable

Section G. Process and Product Evaluation		
No	Question/Notes	Result
G.1	Process Control and Documentation Procedures <i>No processing or packing is conducted, the documentation basically ensures monitoring of receipts, storage, and shipping of items. No process control documentation is carried out.</i>	Acceptable
G.2	Specification and Formulation Control and Accuracy <i>Not applicable to this process. No specification or formulation is required.</i>	N/A
G.3	Routine Calibration of Operational Equipment and Measuring Devices <i>Not applicable for this process. No calibration is required.</i>	N/A
G.4	Foreign Material Control <i>Hazard Control Protocol is documented that captures the corrective action for Glass and Brittle Material, spillage and wood splints. No potential foreign material contamination is observed.</i>	Acceptable
G.5	Application of Statistical Control <i>No processing is involved: no statistical control is required.</i>	N/A
G.6	Allergen and Sensitive Ingredient Controls <i>Allergen Control program is managed through a documented procedure GMP 05/01- Hazard Control and Incident Management: Allergen dated April 14, 2016. Allergen products are tagged with a bright yellow label marked Allergen. Operators are trained, a record of allergen training conducted April 15, 2016, is documented on file.</i>	Acceptable
G.7	Specification Compliance Documentation <i>No specification compliance documentation is required. Customers requirements / specification are documented on file.</i>	N/A
G.8	Rework and Carryover Products <i>No rework is conducted.</i>	N/A
G.9	Analytical Records Management <i>Analytical records are not required.</i>	N/A

Section H. Packaging and Labeling		
No	Question/Notes	Result
H.1	Label Accuracy and Regulatory Compliance <i>No labelling of conducted in this facility.</i>	N/A
H.2	Documented Net Weight or Count Compliance Policy and Performance <i>No weight check is conducted. Items are received by their quantity.</i>	N/A
H.3	Clear Manufacturing Codes on Individual and Cased Product <i>Products are identified by pallet tags. Manufacturers are responsible for applying legible code dates on their product.</i>	N/A
H.4	Package Integrity and Function <i>No processing or packaging is conducted in the facility. Receivers conduct inspection on all products received. Observed storage products indicates all packages are well maintained.</i>	Acceptable
H.5	Label Security and Obsolete Label Controls <i>No labelling is conducted on any product and no label is stored in the facility.</i>	N/A

Section I. Storage and Shipping		
No	Question/Notes	Result
I.1	Warehouse and Finished Product Management <i>Incoming products are maintained intact and tagged at receiving. The food products are clearly segregated from non-food products in the warehouse by a wall. Hold tag are applied to all non-conforming items and documented in the inventory system.</i>	Acceptable
I.2	Retained and Returned Products <i>Procedure for receiving, shipping are documented. A hold procedure is designed and hold products are tagged and reason for hold is applied to the label. Nonconforming products are disposition with approval from the President.</i>	Acceptable
I.3	Storage Facility and Dock Maintenance <i>Items are stored on racks built over 6' from the floor. Pallets, racks, and shelving are maintained</i>	Acceptable

Section I. Storage and Shipping		
No	Question/Notes	Result
	<i>clean and tidy. floors are clean and dock levelers are clean and air circulation is adequate for the facility.</i>	
I.4	Transport Condition <i>A written procedure is documented that states acceptable conditions for inbound and outbound trucks. All incoming and outgoing vehicles are inspected. Record of inspection is documented in the receiving and shipping form. Records of the incoming and outgoing shipment was reviewed for first week of November 2017 and found complete and accurate.</i>	Acceptable
I.5	Release Authorization to Ship Product <i>Customer's orders for shipping are scheduled, order is confirmed and matches driver's request. The loads are first confirmed by the picker and a shipping employee inspects and confirms the load conforms to order. The picker and verifier sign the order before load is released for shipping.</i>	Acceptable

Section J. Training Requirements		
No	Question/Notes	Result
J.1	New Hire Training <i>All new hires are trained on Food Safety, Allergens, GMPs and Food Defense. The employee handbook is handed to all employees at inception, all employees are trained in the process. A new employee engaged was trained Nov 8, 2017, record of training was confirmed during the audit.</i>	Acceptable
J.2	Training Language <i>English is the official language.</i>	Acceptable
J.3	Prerequisite Program Training <i>All employees are trained on basic procedure for cleaning and sanitation.</i>	Acceptable
J.4	Refresher Training <i>Refresher training was conducted for all employees in November 2017. Refresher training is conducted annually.</i>	Acceptable
J.5	Proof of Knowledge <i>NC: No record of training evaluation is conducted on the refresher training for 2017.</i>	Non-Conformance*
J.6	Training Records <i>Record of training is documented for all employees. All information appeared complete and accurately documented.</i>	Acceptable
J.7	Training Program Review <i>GMP 07/01 Training and Human Resource Development dated Nov 9, 2017, has been documented. The training program is part of the internal audit process.</i>	Acceptable

Section K. Food Defense		
No	Question/Notes	Result
K.1	Management <i>HACCP and Food Defense Manual is documented and implemented. Food Defense Program GMP 06/01 is documented and implemented. A Food Defense and Vulnerability Assessment is documented and detailed the potential areas of the facility and the mitigation required.</i>	Acceptable
K.2	Human Element <i>All employees have a designated entrance to the facility. All employees are known and no visitor is allowed to enter the warehouse. The drivers are allowed to enter and are directed to the shipping office. All incoming trucks are sent by ordering from the customer. The office administrator confirms the order before loads are released to the truck drivers. Time on entry and exit are covered in the Pending Load Report.</i>	Acceptable
K.3	Facility <i>A monitoring system is in place to monitor employees and visitors. Visitors sign in at the main entrance and are accompanied in the premises.</i>	Acceptable
K.4	Operations <i>Food Defense and Vulnerability Assessment is documented and implemented to assess risks and control measures are provided.</i>	Acceptable

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