

Supplier Assurance Audit - Distribution

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</p> <p>Title: President</p> <p>Phone: 416-244-8200 X222</p> <p>Fax: 416-244-8201</p> <p>Email: james@keelewarehousing.com</p>	<p>Audit# - Visit#: 1985180 - 1525591</p> <p>Audit Type: SADCPR - Supplier Assurance Audit - Distribution</p> <p>Template Version: 1</p> <p>Audit Category: REGULAR</p> <p>Auditor: Joe Korpan</p> <p>Audit Start Time: 21-DEC-2018 07:45:00 AM</p> <p>Audit End Time: 21-DEC-2018 01:30:00 PM</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	0	0	0	100.00%
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	0	0	0	100.00%
Section E - Rodent and Pest Control Management	0	0	0	100.00%
Section F - Approved Suppliers, Receiving and Inventory Control	0	0	0	100.00%
Section G - Process and Product Evaluation	0	0	0	100.00%
Section H - Packaging and Labeling	0	0	0	100.00%
Section I - Storage and Shipping	0	0	0	100.00%
Section J - Training Requirements	0	0	0	100.00%
Section K - Food Defense	0	0	0	100.00%

Explanation of Overall Audit Result (below)

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

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

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

Overall Audit Result	
Grade Rule Result	% Score
Meets Expectations	100.00%

Present at Audit					
Name	Job Title	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
Maricel Ballore-Estrella	Office Administrator	No	No	Yes	Yes
James Appelbe	President	Yes	Yes	Yes	Yes
Chris Kalenik	Warehouse Supervisor	No	Yes	No	No

GENERAL INFORMATION	
No	Question/Notes
1.1	<p>Facility and Operations Description.</p> <p>Auditor's Notes: This is a 100,000 sq ft warehouse in Brampton, Ontario that receives food and non-food products for storage. The customers are the processors or manufacturers and Keele Warehousing provides the storage as a service to them. Approximately 11 employees work in the warehouse receiving, storing, picking and shipping product. Products remain on site until the customer tells Keele Warehousing what products to ship and where (to the customer's customer). The operation runs a single shift from 7:30 AM to approximately 6 PM.</p>
1.2	<p>Regulatory Inspection Type and Establishment #:</p> <p>Not applicable. This is an ambient storage facility providing a service for processors / manufacturers.</p>
1.3	<p>Products warehoused/produced at this facility.</p> <p>No processing occurs at this facility. Numerous food products are in storage as well as non-food products such as cleaning chemicals, boiler chemicals, etc.</p>
1.4	<p>The following departments and individuals participated in the audit process:</p> <p>Warehouse Supervisor, President, and Office Admin.</p>
1.5	<p>Notes from Auditor</p> <p>Minimal notes were taken during the tour. Detailed information was gathered as the questions were reviewed. The onsite audit and information gathering lasted 5.75 hours. The report was completed later that day and took an additional 2 hours.</p>

Section A. Administration and Regulatory Compliance		
No	Question/Notes	Result
A.1	Organization and Responsibilities <i>An Organizational Chart is documented showing the reporting structure of the operation. This is an ambient storage facility only. No QA staff are required.</i>	Acceptable
A.2	Policies and Procedures Manual <i>A Quality System Management Master Manual is on file and detailed. It contains all policies and procedures required for the operation.</i>	Acceptable
A.3	Management Awareness and Commitment <i>The President is fully aware and involved in the day to day operations.</i>	Acceptable
A.4	Product Identification, Traceability and Recall Plans and Procedures <i>No production occurs on site. This is a storage facility only for customer products. All products stored are manufactured by approved suppliers.</i>	Acceptable
A.5	Regulatory Compliance <i>There are no regulations required.</i>	N/A
A.6	Document and Records Management <i>A list of all documents, forms, etc. is available in the manual. A Good Warehouse Practices document entitled "Control of Documents" (GMP 08/01) outlines the requirements for controlling documents and also record retention. GMP 08/02 entitled Control of Records outlines the process for controlling completed records. It states that "Records older than six (6) fiscal years are to be disposed of safely".</i>	Acceptable
A.7	Change Management <i>The document entitled "Control of Documents" (GMP 08/01) includes information on how changes are managed to documents. All revisions are also recorded on the "Document Control Master List". Observed.</i>	Acceptable
A.8	Documentation to Track Effectiveness of Policies <i>An Internal Audit program entitled "Inspections, Audits and Evaluations Program" (GMP 10/01) is available and implemented. The complete program is reviewed annually with the review recorded on the "QMS Review Log". The last review was conducted on December 5, 2018. If changes are required, they are made and recorded on the "Document Control Master List".</i>	Acceptable
A.9	Crisis and Natural Disaster Management <i>GMP 06/04 entitled "Continuity of Operations / Crisis Response Program" outlines the process. It is a basic program but meets requirements for this type of operation. Natural disasters, illness sewer / drain backup have been evaluated with mitigation plans in place. The Crisis team was trained on the program on December 19, 2018. Team contact information is documented, as well as emergency contacts and regulatory contacts.</i>	Acceptable
A.10	Customer/Consumer Complaints (Policies, Follow Up and Response) <i>GMP 12/01 entitled "Customer Communications and Feedback" outlines the process of responding to customer complaints. No consumer complaints would be received as they do not manufacture products here. There are no food safety issues / complaints. This is a storage facility only. All complaints are of a service type such as (1) short / over shipped, released wrong lot #, shipped extra pallet in error. The customers dictate all requirements for filling orders and where shipped. Note: The customers own the product in storage at all times. This facility does not own any products.</i>	Acceptable

Section B. HACCP Management		
No	Question/Notes	Result
B.1	Preliminary HACCP Tasks <i>A simple, yet detailed HACCP Plan is documented. The operation involves receiving, storing, handling and shipping as the process steps for this warehouse / storage operation. The plan includes HACCP Team, product descriptions, process flow diagram, facility diagram, incoming materials and a hazard analysis. It is dated November 28, 2018.</i>	Acceptable
B.2	Hazard Analysis (HACCP Principle 1) <i>This is an ambient storage facility only for food products and non-food products. The hazard analysis includes hazards likely to occur and also states the programs with control measures.</i>	Acceptable
B.3	Critical Control Points (HACCP Principle 2) <i>There are no CCP"s.</i>	N/A
B.4	Critical Limits (HACCP Principle 3) <i>There are no CCP"s.</i>	N/A
B.5	CCP Monitoring (HACCP Principle 4) <i>There are no CCP"s.</i>	N/A

Section B. HACCP Management		
No	Question/Notes	Result
B.6	Corrective Actions (HACCP Principle 5) <i>There are no CCP"s.</i>	N/A
B.7	Verification and Validation (HACCP Principle 6) <i>There are no CCP"s.</i>	N/A
B.8	Documentation and Record Keeping (HACCP Principle 7) <i>There are no CCP"s. Adequate records are being maintained.</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>Water is not used in the process. The municipal water is only for cleaning floors, hand washing, washroom use, and lunchroom use. No test is required. A copy of the municipal testing report is available. Observed.</i>	Acceptable
C.2	Facility Construction and Design <i>A few floor drains are in the facility but water is not used in any process. The facility is an ambient warehouse storing food products and non-food products. The structure is in good condition with no unprotected opening s/ vents through exterior walls. Flooring is poured concrete and also in good condition, with evidence of repairs made to larger cracks. Floors and racking are very clean. The exterior property is also well maintained.</i>	Acceptable
C.3	Facility Condition (Walls, Ceilings, Floors, etc.) <i>The facility interior was observed to be very clean and organized. Racking is used throughout. The facility is standard warehouse construction and all walls, ceilings are of steel panels and in excellent condition. No leakage was observed in the facility during the tour (raining on day of audit).</i>	Acceptable
C.4	Employee Facilities <i>Employee facilities include washrooms, lunchroom and locker room. All areas were clean and adequately ventilated. The male washroom includes 2 toilets and 1 urinal with 2 hand wash sinks. The ladies washroom is in the office area as no women presently work in the warehouse.</i>	Acceptable
C.5	Handwashing Facilities <i>Hand wash sinks with all required supplies are located in each washroom.</i>	Acceptable
C.6	Equipment Layout, Design and Conditions <i>No processing / manufacturing occurs. Equipment only involves forklifts and a floor scrubber.</i>	N/A
C.7	Plant Lighting and Protection <i>All lighting is recessed into the ceiling and are protected. Dock lights are shatterproof. Dock lights are being replaced with LED as they need replacing.</i>	Acceptable
C.8	Maintenance Standard (Support of GMPs, Housekeeping, Lubricants) <i>The facility is well maintained and very clean and organized. This is a storage facility only. All maintenance to equipment and facility is done by contracted service providers. Internal audits are done annually using an extensive checklist throughout the year.</i>	Acceptable

Section D. Sanitation, Housekeeping and Hygiene		
No	Question/Notes	Result
D.1	Master Sanitation Schedule and Monitoring <i>A "Cleaning and Sanitation Program" (GMP 03/01) is documented and provides an overview of the requirements. A "Periodic Sanitation and Maintenance Checklist" is used by the Warehouse Supervisor to record that weekly, monthly, semi-annual, etc. cleaning has been done. A Warehouse Inspection Report is used monthly to inspect all areas of the facility.</i>	Acceptable
D.2	Standard Sanitation Operating Procedures and Monitoring <i>A "Cleaning and Sanitation Program" (GMP 03/01) is documented and provides an overview of the requirements. A "Periodic Sanitation and Maintenance Checklist" is used by the Warehouse Supervisor to record that weekly, monthly, semi-annual, etc. cleaning has been done.</i>	Acceptable
D.3	Cleaning Chemical and Sanitizer Control <i>No chemical is used for cleaning. Water and vinegar is used in the floor scrubber. Water only is used when wiping down racking.</i>	N/A
D.4	Pre Operational Monitoring and Corrective Action <i>No processing / manufacturing is done. The inspections in place and staff requirements for "clean as you go" are adequate for this facility. No pre-op inspection is required.</i>	N/A
D.5	Verification of Cleaning Effectiveness <i>Only a visual inspection is required which is documented. Observed. Minimal cleaning is required.</i>	Acceptable
D.6	Operational Housekeeping and Monitoring <i>All areas of the facility were observed to be very clean and organized.</i>	Acceptable

Section D. Sanitation, Housekeeping and Hygiene		
No	Question/Notes	Result
D.7	Personal Hygiene and Good Manufacturing Practices <i>Observation and questioning of employees shows that hygiene requirements are met. Food and drink are to be in the lunchroom / offices only. Smoking is to be outside in the designated smoking areas.</i>	Acceptable
D.8	Internal Audits and Corrective Actions <i>The "Inspections, Audits and Evaluations" outlines the internal audit process.</i>	Acceptable

Section E. Rodent and Pest Control Management		
No	Question/Notes	Result
E.1	Documented and Specific Pest Control Program <i>A "Pest Control Program" (GMP 04/01) is documented and provides an overview of the program. Inspections are by a 3rd party PCO on a monthly basis. The PCO binder includes the map of devices, business license, liability insurance, and certificates for PCO employees. All were valid and not expired. All devices are barcoded and numbered.</i>	Acceptable
E.2	Outside Premises Management (Grounds, Waste Disposal Areas) <i>The exterior property was observed to be well managed. No debris was observed. Doors all have good seals.</i>	Acceptable
E.3	Inside Premises Management <i>All areas were observed to be clean. No debris was observed anywhere throughout the facility. Doors and dock levelers provide a good seal.</i>	Acceptable
E.4	Pest Tight Doors and Entrance Closures <i>Doors and dock levelers provide a good seal.</i>	Acceptable
E.5	Secure Storage and Documentation of Pest Related Chemicals <i>No pest control chemicals are stored on site. This is brought in by the PCO as needed. Poison bait is only used in the exterior bait stations. Chemicals that could be used are listed in the PCO binder.</i>	Acceptable
E.6	Detailed Activity Reports with Corrective Actions <i>Hand written reports are left with the facility before the PCO rep leaves. Detailed computer generated reports are then emailed later. Observed.</i>	Acceptable

Section F. Approved Suppliers, Receiving and Inventory Control		
No	Question/Notes	Result
F.1	Supplier Approval Policies and Procedures <i>No processing occurs. There is no need for a supplier approval program. All products in storage are being stored for customers as an extension / service to their business. The customer is responsible for the suppliers of their products.</i>	N/A
F.2	Incoming Vehicle Inspection and Documentation <i>A "Keele Internal Operations: Receiving and Shipping Requirements" document is available which provides requirements and steps involved in receiving incoming trucks. All incoming vehicles are inspected at receiving and recorded on Tally Sheet. Observed. One employee was questioned on the practice. A "Trailer / Container Inspection" SOP is posted by each dock door for reference. Observed.</i>	Acceptable
F.3	Release Criteria for Ingredients <i>Products in storage are shipped to customers according to customer requirements. The customer determines which product, quantity, and which lot # Keele Warehousing is to ship to their customer. For customers that do not dictate, FIFO is used and the oldest lot is shipped out.</i>	Acceptable
F.4	Storage and Handling Policies and Practices <i>No refrigeration is required. Examination of all storage areas, dock areas, and beneath dock levelers shows that all areas are very clean and well maintained. Slip sheets are used at customer request.</i>	Acceptable
F.5	Bulk Receiving Systems Sanitation and Monitoring <i>No bulk materials are handled.</i>	N/A
F.6	Restricted and/or Sensitive Ingredient Control, Including Chemical Compounds <i>There are no restricted / sensitive materials handled. Chemicals stored for customers are placed in a dedicated area of the facility, away from food products.</i>	N/A

Section G. Process and Product Evaluation		
No	Question/Notes	Result
G.1	Process Control and Documentation Procedures <i>No processing occurs at this facility.</i>	N/A
G.2	Specification and Formulation Control and Accuracy <i>No processing occurs at this facility.</i>	N/A
G.3	Routine Calibration of Operational Equipment and Measuring Devices <i>No processing occurs at this facility. No equipment is used that requires calibration.</i>	N/A
G.4	Foreign Material Control <i>No processing occurs at this facility.</i>	N/A
G.5	Application of Statistical Control <i>No processing occurs at this facility.</i>	N/A
G.6	Allergen and Sensitive Ingredient Controls <i>No exposed allergens are handled. All product received is in sealed cases / packaging. Products stored for customers may contain allergens. An Allergen Program (GMP 05/01) is documented which includes storage requirements, tagging, and handling spills.</i>	Acceptable
G.7	Specification Compliance Documentation <i>No processing occurs at this facility.</i>	N/A
G.8	Rework and Carryover Products <i>No processing occurs at this facility.</i>	N/A
G.9	Analytical Records Management <i>No processing occurs at this facility.</i>	N/A

Section H. Packaging and Labeling		
No	Question/Notes	Result
H.1	Label Accuracy and Regulatory Compliance <i>Product labels are verified at receiving only to ensure that the customer has shipped the same product and quantity as the paperwork received indicated.</i>	N/A
H.2	Documented Net Weight or Count Compliance Policy and Performance <i>No processing occurs at this facility. No net weight or count compliance is required. All products are packaged by the supplier / customer.</i>	N/A
H.3	Clear Manufacturing Codes on Individual and Cased Product <i>No processing occurs at this facility. The customer or supplier to the customer are responsible for ensuring correct product codes / dates are applied on the products. All coming product received for storage is inspected at receiving and checked for appropriate codes.</i>	Acceptable
H.4	Package Integrity and Function <i>No processing occurs at this facility.</i>	N/A
H.5	Label Security and Obsolete Label Controls <i>No processing occurs at this facility. The customer / supplier is responsible for label security and control.</i>	N/A

Section I. Storage and Shipping		
No	Question/Notes	Result
I.1	Warehouse and Finished Product Management <i>Observation during the audit indicates that appropriate storage is provided for all materials. All food products are finished products and are packed in sealed containers by the manufacturer. Non-food items, including chemicals, are stored in a separate area from food products. All allergen containing products are identified by the manufacturer and labeled accordingly. Allergen products are stored below other products in the racking. A dedicated allergen program includes damaged packaging and handling spills.</i>	Acceptable
I.2	Retained and Returned Products <i>Returned product is accepted back and at receiving is tagged Hold until investigated. The "Keele Internal Operations: Receiving and Shipping" document details the process involved in handling returned product. Product is tagged and segregated until a decision by the customer is made. It is then disposed of, returned to inventory or sent back to the customer at customers request.</i>	Acceptable
I.3	Storage Facility and Dock Maintenance <i>All product are stored at ambient temperature. No products require refrigeration of any kind. All products are stored in racking in dedicated areas on a per customer basis. All products stored at floor level are on wood pallets. All storage areas provide a minimum of 18" spacing away from walls. Observed.</i>	Acceptable
I.4	Transport Condition <i>The "Keele Internal Operations: Receiving and Shipping" document details the requirement for trailer / container conditions. All trailers / containers are inspected at receiving and before being loaded. Inspection is recorded on the Tally Sheet for incoming loads and on the Bill of lading for</i>	Acceptable

Section I. Storage and Shipping		
No	Question/Notes	Result
	<i>all outgoing loads. Observed. One employee was questioned on inspection and recording the inspection. A "Trailer / Container Inspection" SOP is posted by each dock door for reference. Observed.</i>	
I.5	Release Authorization to Ship Product <i>A Picking Ticket is used for pulling product from storage and placing pallets into the staging area. The Shipping Procedure section of "Keele Internal Operations: Receiving and Shipping" details the process. A second employee verifies the picked products and signs off that the order picked is correct. Observed on the Picking Ticket.</i>	Acceptable

Section J. Training Requirements		
No	Question/Notes	Result
J.1	New Hire Training <i>The "Training and Human Resource Development" program (GMP 07/01) indicates requirements for new employees which includes an orientation involving a math test, oral interview, and a short practical skills test. Once hired, the employee is given training on all aspects of the position, company policies, and personnel policies, with on the job training for specific tasks.</i>	Acceptable
J.2	Training Language <i>All training is provided in English.</i>	Acceptable
J.3	Prerequisite Program Training <i>A "Training and Human Resource Development" program (GMP 07/01) is documented and implemented. It involves technical / on the job training, and refresher training. No processing occurs. This is a storage facility only. Cleaning and sanitation is minimal and involves sweeping floors, picking up debris, etc.</i>	Acceptable
J.4	Refresher Training <i>Refresher training is done at least annually. Observed records which include the topic, date, trainer, etc. Each employee has dedicated training files.</i>	Acceptable
J.5	Proof of Knowledge <i>Proof of Knowledge is recorded on each training record for the employee. This is determined by the trainer (usually the Warehouse Supervisor) Observed.</i>	Acceptable
J.6	Training Records <i>An Employee Training Record is used for each individual employee and filed in the Training binder.</i>	Acceptable
J.7	Training Program Review <i>The Training program is reviewed annually as part of the Internal audit. If changes are required, they are made and recorded on the Document Change Log. Updated training is provided to staff if the change in the program warrants it.</i>	Acceptable

Section K. Food Defense		
No	Question/Notes	Result
K.1	Management <i>A "Food Defense Program" (GMP 06/01) is developed and implemented as it pertains to this facility. It includes the team and responsibilities. A Vulnerability Assessment was also conducted.</i>	Acceptable
K.2	Human Element <i>Access to the facility is restricted through the main office door. Visitors must sign in and be accompanied on site. There are 11 employees in total, each with uniforms. All employees are well know and long time employees.</i>	Acceptable
K.3	Facility <i>All doors are closed when not in use, and access is restricted. Management as well as specific employees are given keys to the facility. The property is fenced and gated. Nothing is stored outside.</i>	Acceptable
K.4	Operations <i>An extensive "Food Defense and Vulnerability Assessment" (from AIB) document which includes outside property / grounds, employees and visitors, the receiving program, building and facility operations, storage and shipping.</i>	Acceptable

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