



cGMP - Warehouse and Distribution

Location Information		Form Information	
Location ID:	990002869	Form Name:	cGMP - Warehouse and Distribution
Location:	Alpine Food Distributing	Type:	cGMP Audit
Address:	2400 SE Mailwell Drive	Audit Date:	20 Oct 2021
City/State/Zip:	Milwaukie, OR 97222 US	Auditor:	Wayne Earl
Phone #:	503-905-3392	Score:	99.00%
Contact Name:	Sam Braden		
Contact Email:	sbraden@alpinefoods.com		

Category Summary:

Category/Sub Category	Percent Deducted
Location Summary	0
Food Safety Systems	0
HACCP/Food Safety Plan	0
Mock Recall	0
Pest Control	1
Allergens	0
Food Defense	0
Operational Methods	0
Maintenance	0
Cleaning Programs	0
Audit Time	0
Audit Review	0
Total	1

Location Summary

Totals	0
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Question	Response	Percent Deducted
Warehouse Square Feet	280000	N/A
Construction of building (metal frame, brick, etc.)	Tilt up concrete, panels.	N/A
Number of operation days/shifts (i.e. days per week, shifts):	6 days, 2 shifts.	N/A
Number of employees at this location:	172 employees.	N/A
Was staff present during opening meeting?	Yes	N/A
Comments		
<ul style="list-style-type: none"> • <i>Lee Baumgart, Day Manager;</i> <i>Kyle Bussey, Safety;</i> <i>John Martin, Inventory Control;</i> <i>Sam Braden, Operations Manager; and</i> <i>Shawn Hood, General Manager.</i> 		
Totals		0

Food Safety Systems

Totals		0
1.1 The facility's Management Program must include:	Compliant	0
a. A Company policy and Mission Statement?		
b. An Organization chart identifying key Food Safety personnel, signed and dated.		
c. Responsibilities/authorities identified.		
d. Job descriptions identify key Food Safety personnel's responsibilities.		
Comments		
<ul style="list-style-type: none"> • <i>Mission Statement is in place, Organization chart is dated July 15, 2021, job descriptions are on file.</i> <p><i>This facility warehouses dry food, meat, frozen foods, refrigerated for distribution to food service and retail customers, they distribute to 10 states.</i></p>		
1.2 The facility must have a written program describing how records are made, collected, reported, filed and how long records are to be kept.	Compliant	0
a. Records cannot be written in pencil.		
b. White-out cannot be used.		
Comments		
<ul style="list-style-type: none"> • <i>SOP is dated September 1, 2019.</i> 		
1.3 The facility must outline in a written procedure an annual review of all documents, procedures and physical structures that relate to the Food Safety System. This procedure must include:	Compliant	0
a. Identification of all specific documents, activities, and areas to be audited.		
b. The qualifications of all personnel carrying out the audits.		
c. Procedure for reporting audit findings, conclusions and recommendations to Senior Management.		
Comments		

<ul style="list-style-type: none"> Alpine reviews food safety documents and procedures over the course of a year but on a monthly basis. 		
<p>1.4 The facility's employees are practicing the facility's written personal hygiene program.</p> <p>a. Employees have clean clothes. b. Employees do not have false eyelashes or fingernails. c. Employees hands are clean and proper hand washing practices are being observed. d. Employees do not have food, drinks, gum, or tobacco products in restricted areas specified by facility. e. Employees do not have jewelry unless specified by facility (e.g., plain wedding bands or medical bracelets). f. Employees do not have loose objects above the waist or other objects restricted by the facility.</p> <p>Comments</p> <ul style="list-style-type: none"> SOP is dated April 3, 2018. 	Compliant	0
<p>1.5 The facility's employees are practicing the facility's written garment program.</p> <p>a. Employees are wearing hair and beard coverings properly. b. Employees are wearing proper aprons or smocks and are not being worn outside of processing area. c. Employees are wearing proper gloves and hands are being washed prior to gloving up. d. Employees do not have pockets above the waist. e. Facility has a process in place for providing clean uniforms to employees.</p> <p>Comments</p> <ul style="list-style-type: none"> SOP is dated April 3, 2018. Employees wear street clothes, during the walk-through all employees were wearing clean clothing. Freezer clothing is provided for those who work inside the freezer. 	Compliant	0
<p>1.6 The facility has a documented, established, Personal Practices Program. It includes:</p> <p>a. Cleanliness of employees, garments, equipment, Personal Protective Equipment (PPE). b. Personal hygiene. c. Handwashing. d. Storage of personal belongings. e. Eating, drinking, chewing gum, tobacco products</p> <p>Comments</p> <ul style="list-style-type: none"> SOP is dated April 3, 2018. Lockers are provided for any employee who wishes to use one. 	Compliant	0
<p>1.7 The facility must have a written procedure for conducting Food Safety audits of their facility. Procedure includes:</p> <p>a. Time of check and person responsible. b. Inspection criteria (inside and outside). c. Records of inspection and corrective actions.</p> <p>Comments</p> <ul style="list-style-type: none"> Weekly food safety/sanitation inspections are conducted by Sam Braden, reports are on file for the last 52 weeks. Lee is his backup for the inspections. 	Compliant	0
<p>1.8 The facility has a written Supplier Approval Program. Program includes:</p> <p>a. Criteria used to approve or remove any supplier. b. Supplier list. c. Method for approving emergency suppliers. d. Methods and frequency of monitoring approved suppliers. e. Agreed specifications between facility and supplier.</p> <p>Comments</p> <ul style="list-style-type: none"> There is an active supplier list on file. Alpine only brings in food goods which their customers are going to use. They only use vendors specified by their customer specify. Alpine requires vendors to have certificates of insurance, HACCP plans, third-party audits, etc. 	Compliant	0

<p>1.9 The facility must have a written Traceability Program that includes examples of documentation used to identify products (i.e., stickers, logs, RFID, etc.).</p> <p>NOTE: The facility should be able to Recall Finished Products (One Up) and Raw Materials (Trace-ability) of food contact packaging Etc. (One Back)</p> <p>Comments</p> <ul style="list-style-type: none"> <i>SOP is dated June 29, 2021.</i> 	Compliant	0
<p>1.10 The facility must have a written non-conformance or quarantine (“on hold”) procedure for non-conforming (retained or returned) product. Program includes personnel responsible and procedures for hold/release and disposition of:</p> <p>a. Finished products. b. Inventory policy. c. Records showing hold/release or disposition and inventory.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>SOP is dated April 23, 2018. Alpine does not produce any products, they only warehouse for others. Alpine places products on hold when a vendor requests it. On hold product can be disposed of in a landfill or sent to a foodbank. Some of the vendors specify how and where product is to be disposed, others do not.</i> 	Compliant	0
<p>1.11 The facility has a written glass, hard plastic and ceramic control policy. Program includes:</p> <p>a. Control policy in warehouse areas or over exposed products for lights and utensils. b. Inspection program. c. Corrective actions. d. Procedures for changing ceiling lights. e. Procedure to handle any breakage and disposition of glass, hard plastic or ceramic. f. Documented management sign off for clean up after breakage occurs.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>SOP is dated May 2, 2018. Monthly inspections are conducted, reports are on file for the last year. Discussed ways to improve; such as maintaining an inventory.</i> 	Compliant	0
<p>1.12 The facility must have a written program that ensures the safety of the water supply if water is used in any fashion (i.e., cleaning, process aid, cooling, ice, or ingredient). Program includes:</p> <p>a. Definition of water sources; City (tested at least annually by independent lab) Well (tested at least every 6 months by independent lab). b. If city water is used, the city potable water report shall be available. c. Tests on all water sources yearly, for quantitative non-detect of generic E. coli from a qualified laboratory. d. Potability shall be checked at least annually with a sample taken at the plant location, and proper records maintained. Water tested by independent lab for Total Coliforms and E. Coli.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>SOP is dated April 25, 2018. The facility is on city water. Alpine sends samples for Coliform and E. coli from two locations to an outside lab each May. Lab reports are on file. Water is used in the restrooms and sinks. City water which is filtered is provided for employees to drink. Water is used in floor cleaning machines in the dry and chilled storages. Water is used as needed to mop up spills.</i> 	Compliant	0
<p>1.13 The facility must have a customer complaint program. Program includes:</p> <p>a. Person responsible for handling complaints. b. Procedure on how complaints are investigated. c. Records. d. Responses to customers. e. Corrective actions.</p>	Compliant	0

f. Measures to prevent recurrence of the issue and verification that such measures have been implemented. Comments		
<ul style="list-style-type: none"> Alpine does not produce any products. They have a procedure in place to handle complaints. Complaints from end users normally flow to the distributor and may or may not come back to Alpine. 		
1.14 The facility has a written Training Program for full time employees, part time, new hires, temporary, and if needed, contractors and visitors. Program includes:	Compliant	0
a. A list of training requirements: GMPs, hygiene, illness and injury reporting, sanitation, HACCP, allergen awareness, recall, receiving, shipping, storage, foreign material control, sanitation, and food defense. b. Refresher Training Schedule (at least annually). c. Experience/qualification of the trainer. d. Bilingual training available, if necessary. e. Copies of training materials (e.g., PowerPoint presentations, videos, quizzes, etc.)		
Comments		
<ul style="list-style-type: none"> The facility has a training program. New hires are trained, there is an ongoing program for current employees. Current employees are sent notifications on their phones with training assignments they must complete before reviewing the material in a classroom setting. Records are on file. 		
1.15 The facility has a written policy that requires employees to report illness, injuries, and open wounds (like cuts or boils). Policy includes:	Compliant	0
a. Identification of the method for cleanup. b. Identification of the type of PPE to use, sanitizer to be used and method of clean up. c. A sign off sheet showing management has released the area. Supervisors shall be trained on how to handle blood and other bodily fluids (e.g., vomit).		
Totals		0

HACCP/Food Safety Plan

Totals		0
2.1 The facility's Food Safety Plan or HACCP Plan must have:	Compliant	0
a. The Food Safety or HACCP Team listed. b. A Flow Diagram of the steps and process for each line of production. c. A Hazard Analysis/Risk Analysis. d. Critical Limits for any PC or CCP. e. List of food safety characteristics. f. Verification/monitoring for any PC/CCP. g. Corrective actions if the PC/CCP critical limit is not being met. h. Review whenever there are significant changes or at least annually.		
Comments		
<ul style="list-style-type: none"> Team, flow diagram, risk analysis are in place. There are no CCPs. The HACCP was last reviewed May 18, 2021. 		
2.2 The facility's food safety team:	Compliant	0
a. Includes all team members names, job titles, and contact information. b. Includes a cross functional team with a team leader and backup. c. Leader and backup are HACCP certified and have knowledge or training on local laws and regulations.		
Comments		
<ul style="list-style-type: none"> Members of the team received HACCP training, certificates are on file. 		

<p>2.3 The facility's flow diagram:</p> <p>a. Shall be a clear and accurate representation of the facility's processes.</p> <p>b. Is verified whenever a significant change occurs or at least annually.</p> <p>c. Matches the Hazard Analysis exactly.</p> <p>Comments</p> <ul style="list-style-type: none"> • <i>Flow diagrams are in place. Alpine receives, stores, and ship out food products. Flow diagrams were last reviewed May 21, 2021.</i> 	Compliant	0
<p>2.4 The facility's Hazard Analysis:</p> <p>a. Must describe the exact type of hazard (Biological, Chemical, Physical).</p> <p>b. Must include hazards appropriate to the process step and be evaluated as to how likely it is to occur and how serious the hazard is.</p>	Compliant	0
<p>2.5 If they are present, Preventive Controls and/or Control Points and Critical Control Points must be listed on the Hazard Analysis in some manner.</p> <p>a. PCs, CPs, and CCPs are accurate and effectively point out hazards within the process.</p> <p>Comments</p> <ul style="list-style-type: none"> • <i>There are no critical control points. There is a control point of 15°F maximum for frozen products coming off the trucks, -5°F for the freezer and 32°F to 42°F in the chiller room. Systems are in place to ensure that temperature guidelines are met.</i> 	Compliant	0
<p>2.6 The facility must provide validation or explanation of why each Preventive Control and/or Critical Control Point were given to that process step.</p> <p>Comments</p> <ul style="list-style-type: none"> • <i>The temperature limits for Preventive Control are industry standards.</i> 	Compliant	0
<p>2.7 The facility must have a Critical Limit for each Preventive Control or Critical Control Point. This Critical Limit shall:</p> <p>a. Be documented on a standardized form.</p> <p>b. Be quantifiable and measurable.</p> <p>c. Be justified scientifically.</p> <p>d. Be appropriate to control or mitigate the hazard it is intended to control.</p> <p>Comments</p> <ul style="list-style-type: none"> • <i>Critical limits are set within the freezer-chiller room controls. If high limits are exceeded the control system makes phone calls to Alpine managers and their company which maintains the system.</i> 	Compliant	0
<p>2.8 The facility's Food Safety Plan or HACCP Plan must include the following product characteristics:</p> <p>a. Product name.</p> <p>b. Brief product description.</p> <p>c. Weight/volume.</p> <p>d. Important Characteristics (i.e., aW, pH, humidity, acidity, salinity, allergen, halal, organic, kosher, etc.)</p> <p>e. Shelf life.</p> <p>f. Type of packaging material.</p> <p>g. How it is stored (i.e., refrigerated, frozen, dry, etc.)</p> <p>h. Labeling instructions.</p> <p>i. Intended use.</p> <p>j. Target market (i.e., general public, infants, elderly, etc.)</p> <p>k. Where the product will be sold (i.e., grocery stores, restaurants, etc.)</p> <p>Comments</p> <ul style="list-style-type: none"> • <i>At any given time there are 3500 SKU's on hand.</i> 	Exemption	N/A

2.9 The facility must have monitoring procedures for each Preventive Control/Critical Control Point established. Monitoring procedures must be documented and contain the following: a. What is to be monitored? b. Where in the process is it being monitored? c. The frequency of monitoring. d. Who is the person monitoring?	Compliant	0
Totals		0

Mock Recall

Totals		0
3.1 The facility must be capable of rendering a recall in a timely manner. The facility must have a comprehensive, written Recall Program that includes: a. Recall team (name, phone number: office/after-hours). b. Recall Team's responsibilities. c. Regulatory and customer contacts (facility and head office). d. Spokesperson (responsible individual or agency for public relations). e. Step-by-step procedure on how to conduct a recall. f. Recall classification based on regulatory guidelines (e.g., FDA, USDA, CFIA etc.). g. Recall form to summarize results, contact information and corrective action. h. Records of mock recall/actual recall are on file (Mock recalls must be conducted at least semi-annually, unless an actual recall has happened in the last 6 months.) Comments • <i>SOP is dated June29, 2021. Team is in place with contact information. Alpine has had two actual recalls during the last 12 months. First was Farmers Rice on July 12, 2021 for weevils and second, blackberry Danish on July 23, 2021 for plant material. Both products were picked up by the supplier.</i>	Compliant	0
3.2 A mock recall will be performed at the time of the inspection from a product chosen by the auditor. The facility must be able to render a Recall within 2 hours and they must achieve 95% traceability or greater. Should a facility have a logical explanation for not achieving 100%, it would need to be explained. a. Was the Mock Recall during the audit successful in capturing 95% of the product?	Compliant	0
3.3 Lot #	10-06-21, 35 lb. canola oil	N/A
3.4 Quantity Received	3420-35 lb. cases canola oil	N/A
3.5 Quantity In-House	1320 cases	N/A
3.6 Quantity Shipped	2100 cases	N/A
3.7 Verified In-House Count	Yes	N/A
3.8 Duration of Recall	1 hour 20 minutes	N/A
Totals		0

Pest Control - Document

Totals		0
<p>4.1 The facility must have written Integrated Pest Management (IPM) program, whether rendered in-house or by a Commercial IPM company. The IPM program clearly indicates:</p> <p>a. Name of the pest control company or in-house person (if in-house, must comply with regulations). b. Scope and frequency of the service, number of traps, and methods for monitoring. c. Use of service reports (pesticide usage). d. Standards for location, placement, and identification of pest control devices. e. There is a pesticide usage log</p> <p>Comments</p> <ul style="list-style-type: none"> <i>The pest control service is done by Sprague Pest Solutions. Service is done monthly. There are 60 interior rodent traps, 29 bait stations and 3 pheromone traps. Service reports are all online. Pesticide Usage Log is online.</i> 	Compliant	0
<p>4.2 The facility provides documentation of their pest control history:</p> <p>a. Pest Sighting Log used by facility personnel noting activity they have seen with date and corrective action. b. Pesticide Usage Log noting what pesticides are being used by internal or external personnel.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>There is a Pest Sighting Log and a Pesticide Usage Log.</i> 	Compliant	0
<p>4.3 The facility shall have the following documents on file:</p> <p>a. Current Certificate of insurance for the contracted pest control company. b. Current Business license for the contracted pest control company. c. Up-to-date Pesticide applicator's license or certificate based on state and federal law.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>There is a Certificate of Liability Insurance, there is a State license for each technician who has done service within the last year, there is a Business license.</i> 	Compliant	0
<p>4.4 SDS and sample labels are on file for all pesticides in use in the facility.</p> <p>a. Current List of approved pesticides to be used in the facility and up to date. b. SDS for all pesticides used in the past 12 months are on file. c. Identify any SDS or sample labels missing, or if EPA number on SDS or label does not match Pesticide Usage Log or Service Report.</p> <p>Pesticide Usage Log must have:</p> <p>i. Date ii. Name of the chemical/EPA number (EPA number is the same as the SDS) iii. Location/amount used iv. Amount and concentration v. Target pest vi. Initials of the applicator</p> <p>Comments</p> <ul style="list-style-type: none"> <i>SDS and labels for all materials used during the last year are online. Kyle was able to call up examples the auditor asked for. All required information is available.</i> 	Compliant	0
<p>4.5 The facility shall have a Pest Control Map. Pest Control Map includes:</p> <p>a. All devices must have a distinct number to match the map location for each device. b. Map must be legible and in good condition and match numbers on stations. c. Map must identify location of traps, bait stations, Insect Light Traps and any other pest control devices. d. An accurate Legend must identify number of devices and type. e. Map signed and dated annually by the Pest Control Operator or facility management.</p> <p>Comments</p>	Compliant	0

<ul style="list-style-type: none"> Map is dated March 3, 2021, it is compliant. 		
4.6 The facility must have a corrective action program in place when findings are identified by the Pest Control Technician. Program includes: a. Effective method to track and document Technician suggestions and findings. b. Preventative measures in place to prevent this action from reoccurring. Comments <ul style="list-style-type: none"> The facilities person says that the Sprague technician checks in and out with him and tells him what he does or finds. 	Compliant	0
Totals		0

Pest Control - Facility

Totals		1
4.7 The facility shall not have evidence of pests. a. Has there been a sighting of a live; rodent, or bird in the facility? b. Has there been sighting of pest harborage (e.g., birds nest) in the facility? c. Is there evidence of insects(e.g., dead bodies)? d. Is there evidence of rodents (e.g., droppings, gnawing, rub marks, burrows, etc.)? e. Is there evidence of birds (e.g., droppings, nests, feathers)? f. Is there evidence of pest activity outside that may allow easy access into the facility? Comments <ul style="list-style-type: none"> There was no sighting of any pests during the walk-through, there are no birds around the exterior. 	Compliant	0
4.8 The facility must: a. Have an 18-inch perimeter in storage areas in the warehouse and in processing. b. Keep trees trimmed away from overhanging the building. c. Have an 18-24-inch "vegetation free zone" surrounding the facility. d. Have no damaged traps where a rodent could escape. e. Have no holes in exterior walls, around pipes, feedlines, no spilled food, open windows/doors, old pallets, or old equipment. Comments <ul style="list-style-type: none"> There is an 18-inch perimeter on the interior in the warehouse, there is an 18-inch free zone on the outside. All rodent control devices are in good shape, the exterior is free of any vegetation within 18 inches of the building. 	Compliant	0
4.9 If facility stores pesticides on site: a. They shall be stored in a locked storage area away from production. b. Access shall be limited to key personnel. Comments <ul style="list-style-type: none"> There are no pesticides stored on-site. 	Exemption	N/A
4.10 Exterior: a. Number of stations are adequate to control the level of activity based on history. b. Exterior devices checked at least monthly. c. Exterior bait stations are childproof and undamaged. d. Punch cards, stickers, or bar codes to identify date of service and technician on all rodent devices. e. Exterior bait stations must be secured to the ground and not easily removed.	Compliant	0

f. Adequate space between exterior traps. Comments • <i>Exterior bait stations are up to standard.</i>		
4.11 Interior: a. Interior Rodent devices (i.e., Tin Cats or Ketch-Alls) must be located on each side of all exit doors (i.e., any pedestrian or roll-up door exiting the facility to the outside - Offices are excluded). b. Additional interior rodent devices may be used based on Pest Control activity history and the recommendation of the IPM provider. No devices are needed in the freezer. c. Punch cards, stickers, or bar codes to identify date of service and technician on all rodent devices inside the lid. Comments • <i>There is an insect monitor in the lunchroom which has not been checked since February 22, 2021.</i>	Minor	1
4.12 Insect Light Traps (ILTs) (sometimes known as Glue boards or Bug Zappers): a. Are ILTs properly located? b. So as to not attract insects are they kept clean and free of old activity? c. Pest prevention lighting must be changed on an annual basis with evidence properly documented Comments • <i>There are no fly lights in the facility.</i>	Exemption	N/A
Totals		1

Allergens - Document

Totals		0
5.1 The facility has a written Allergen Management Program in place. It includes: a. Records of any legally-defined allergen foods that are received and stored at the facility, along with how it is stored. b. List of major recognized allergens appropriate to its geographical location (8 major allergens for US, 11 major allergens for Canada, etc.). c. Training of employees on allergens and cross-contamination even if allergens are not used in production. d. Proper storage and segregation of allergens. e. Proper labeling and identification of allergens. f. Prevention methods for cross-contamination. g. The proper removal of allergens during sanitation. h. Corrective actions when allergen residue is found. Comments • <i>SOP is dated July 61, 2021. The facility handles product with all allergens. New hires are exposed to allergen training, refresher training includes allergen training. There is no food processing in this facility, all goods are sealed when they arrive and leave. There is a list on file of allergen SKUs. There are specific racks which the computer can direct allergen products to be stored.</i>	Compliant	0
Totals		0

Allergens - Facility

Totals		0
5.2 The facility is: a. Verifying proper removal of allergens after cleaning equipment, "food contact surfaces", utensils, etc., through proper sampling methods. b. Retaining records/logs of allergen testing. Comments <ul style="list-style-type: none"> <i>There is no processing in this facility.</i> 	Exemption	N/A
5.3 The facility is: a. Storing allergens separate from other raw and finished products or unlike allergens. b. Storing allergens in original containers or clearly labeled containers. c. Stored in a clearly identifiable location designed for allergens. d. Not storing allergens on the same pallet as different allergens or non-allergenic products. e. Marking/Labeling all allergens clearly and understood by all employees (i.e. color code). Comments <ul style="list-style-type: none"> <i>Allergens are in original containers, not stored with non-allergens.</i> 	Compliant	0
5.4 The facility is verifying labels of all products with allergens.	Compliant	0
5.5 The facility's employees are properly trained on: a. The importance of handwashing after lunch to prevent cross-contamination. b. What the major allergens are (at least what is onsite) and how to identify them in the facility. Comments <ul style="list-style-type: none"> <i>Covered during new hire and annual training.</i> 	Compliant	0
Totals		0

Food Defense - Document

Totals		0
6.1 The facility has a written Food Defense Program. It includes: a. Food Defense Team. b. Emergency/Government Contact information. c. Visitors Policy. d. Policy for monitoring incoming and outgoing trailers. e. Method for monitoring utilities and computer sensitive materials. f. Method for vetting new employees. g. Method for monitoring outside entrances and all other key areas to the facility. h. Food Defense Training. i. Annual review of program and corrective actions. Comments <ul style="list-style-type: none"> <i>SOP is dated August 20, 2021. Team is in place, visitors must sign in and out, background checks are conducted on new hires. Food Defense Assessment form was completed April 6, 2021 and is on file.</i> 	Compliant	0
6.2 The facility has a designated Food Defense team. a. All members of the Food Defense team are adequately trained. b. All members of the Food Defense Team has their emergency contact information readily available. Comments <ul style="list-style-type: none"> <i>Team has been trained on HACCP and Food Defense.</i> 	Compliant	0

6.3 The facility: a. Challenged their Food Defense Plan within the past year. b. Have taken the appropriate corrective actions when flaws in the plan were noted. Comments • <i>On June 28, 2021 Kyle, who was then a new employee, walked through the dry warehouse, as current employees challenged him he introduced himself, 7 of 11 employees challenged him.</i>	Compliant	0
Totals		0

Food Defense - Facility

Totals		0
6.4 The facility: a. Has a method in place to effectively monitor all incoming trailers. b. If using, locks and seals, they are being recorded and documented on an incoming trailer log or similar form. Comments • <i>All are inspected and a report made.</i>	Compliant	0
6.5 The facility: a. Has a method in place to effectively monitor all outgoing trailers. b. If using, locks and seals, they are being recorded and documented on an outgoing trailer log or similar form. Comments • <i>All outbound trailers are inspected and a report made.</i>	Compliant	0
6.6 The facility: a. Has methods in place to effectively identify visitors (i.e., customers, truck drivers, contractors, inspectors, etc.). b. Has methods in place to effectively manage visitors during their time spent at the facility.	Compliant	0
6.7 The facility has access to important infrastructure elements such as main power panel, phone lines, etc.	Compliant	0
6.8 The facility's computer systems are: a. Password protected or use another effective method for securing information. b. Have an offsite backup or another type of backup system in place to secure vital company information.	Compliant	0
6.9 The facility has effective measures in place to control temperature sensitive products from deliberate adulteration.	Compliant	0
6.10 The facility effectively screens new employees before hire by using background checks, verification of references, drug tests, or other methods. Comments • <i>Background checks.</i>	Compliant	0
6.11 The facility: a. Controls and properly locks all outside doors and entrances into the facility. b. Controls and locks all outside trailers. c. Control and clearly mark employee and visitor entrances.	Compliant	0
6.12 The facility: a. Controls access to all offices where important information might be held.	Compliant	0

6.13 The facility has properly trained all permanent employees on how to look for and report food defense issues. Comments • <i>Covered during annual training.</i>	Compliant	0
Totals		0

Operational Methods - Document

Totals		0
7.1 The facility must verify that the monitoring procedures are being followed. This verification process shall include: a. Who is verifying the monitoring procedure? b. The frequency of the verification. Comments • <i>Frozen and chiller temperatures are constantly monitored by the computer system, managers can review any time period they wish at any time. The system has alarms if temperatures reach allowable limits.</i>	Compliant	0
7.2 The facility must have a procedure for applying corrective action in case of the Critical Limit failing to mitigate or prevent hazard. This must be documented for each Preventive Control or Critical Control Point and shall: a. Be effective in bringing the Critical Limit back into compliance. b. Isolate and identify all product manufactured during the period when the Preventive Control or Critical Control Point may have been non-compliant. c. Identify methods of ensuring that such product does not re-enter the process until verified that product is safe. Comments • <i>If temperatures get to high the system will bring on more condensers or move a condenser to a defrost cycle.</i>	Compliant	0
7.3 The facility must verify each Preventive Control and/or Critical Control Point whenever there is a change in the process or at least annually and be documented. Verification shall include: a. Monitoring and verification documentation. b. Calibration instruments used to measure Critical Limits. c. Validation studies used to validate Critical Limits, Preventive Controls, and/or Critical Control Points. d. Corrective action procedures.	Compliant	0
7.4 The facility has a written procedure for inspecting Outgoing trailers. Procedure includes: a. Frequency. b. Inspection criteria (i.e., debris, pests, odor, holes, water, etc.). c. Inspection form and rejection log. d. Records of trailer inspections on file. Comments • <i>SOP is dated June 23, 2021. Loader inspects trailer, fills out a report, if he rejects the trailer management is notified and actions taken. Report forms are on file.</i>	Compliant	0
7.5 The facility shall have billing/shipping records available for review. Records include: a. Date of shipping. b. Item number.	Compliant	0

c. Name of products with amount shipped. d. Final destination. e. Lot numbers.		
7.6 The facility must perform documented daily pre-operational inspections for Processing areas. Written program includes: a. Time of inspection and person responsible. b. Examination of equipment to verify cleanliness. c. Checking that the Processing line is ready to start. d. Checking that all personnel meet GMP requirements; i.e., clean clothes, hairnets, gloves, etc. e. Documented Corrective action in case of non-compliance with records on file. f. Sanitizer (if applicable) is tested for correct ppm level. Comments • <i>Alpine does sanitation/maintenance inspections at the beginning of each shift, reports are on file.</i>	Compliant	0
7.7 The facility has a written procedure for inspecting Incoming trailers. Procedure includes: a. Frequency. b. Inspection criteria (i.e., debris, pests, odor, holes, water, etc.). c. Inspection form and rejection log. d. Records of trailer inspections should be on file. Comments • <i>The same as for outbound trailers is used, reports are on file.</i>	Compliant	0
7.8 The facility has a labeling and product rotation procedure that include: a. The use of First-In, First-Out (FIFO) rotation policy. b. Correctly identification of all product containers as to contents. Comments • <i>All goods are tracked by uses by or best buy dates. If a product arrives with not use by or best by date then the arrival date becomes the use by date.</i>	Compliant	0
Totals		0

Operational Methods - Facility

Totals		0
7.9 The facility is: a. Segregating organic foods from non-organic foods. b. Segregating allergens from non-allergens. c. Not storing raw foods over top of Ready-to-Eat. d. For LTL loads, non food items are not shipped along with food. e. Products are not shipped with toxic chemicals or other contaminants. f. Sensitive items are not shipped next to highly aromatic products like spices or perfumed household products.	Compliant	0
7.10 The facility has measures to prevent cross-contamination or cross-adulteration from one product to another, which follow written procedures that include: a. Effective measures to prevent cross-contamination with food and hazardous material. b. Effective measures to prevent cross-contamination with foreign objects. c. Corrective actions when cross-contamination occurs. d. Cleaners and other toxic materials shall not be stored over food-contact items or soft-pack products.	Compliant	0

e. Raw products (meat, fish, poultry, etc.) shall not be stored over Ready-to-Eat and/or cooked items. Comments <ul style="list-style-type: none"> All products arrive and leave in the same sealed containers. Non cleaners are used on the warehouse floor, only water from the street sweeper. 		
7.11 The facility's frozen products: a. Are stored in accordance with customer specifications. b. Show no signs of thawing or freezer burn. Comments <ul style="list-style-type: none"> Freezer is kept at minus 5°F. 	Compliant	0
7.12 The facility's ambient storage: a. Is dry and free from pooling water. Comments <ul style="list-style-type: none"> There are no issues of water or pooling in the dry warehouse. 	Compliant	0
7.13 If the facility has surplus or unused equipment: a. It is stored and properly covered if possible. b. Kept clean and free from dirt and debris. Comments <ul style="list-style-type: none"> There is no excess equipment. 	Exemption	N/A
7.14 The facility's restrooms must: a. Have self-closing doors to keep them closed. b. Not open directly onto the processing or warehouse area. c. Have an adequate number of hand-washing stations and toilets for the number of employees working and separate facilities for men and women if there are more than five employees. d. Must have hand-washing signs. e. Have sanitary receptacles with lids in women's restrooms. f. Have an adequate supply of toilet paper, soap, and paper towels (air dryers if in use).	Compliant	0
Totals		0

Maintenance - Document

Totals		0
8.1 The facility has a written Preventive Maintenance Program. Program includes: a. All Processing equipment, Refrigeration equipment Internal vehicles, Receiving/shipping trucks Building/facilities, Fire devices (extinguisher/sprinklers) Dock plates, Safety and security devices. b. Master maintenance schedule and personnel responsible. c. Records of all maintenance activities. d. Sanitation inspection of processing equipment after maintenance is completed. e. Reconciliation of parts and tools used for maintenance activities. Comments <ul style="list-style-type: none"> All maintenance activities are done by third-parties. There are two outside companies involved; one for refrigeration equipment and one for lift trucks. There are written standards to which both vendors adhere. The auditor reviewed by agreements. 	Compliant	0
8.2 The facility has a written program for calibration of equipment. Program includes: a. A list of equipment required for calibration.	Compliant	0

<p>b. Frequencies and responsibility.</p> <p>c. Calibration instructions or standards used (i.e., National Institute of Standards and Technology (NIST)).</p> <p>d. Training of employees in verifying equipment.</p> <p>e. Corrective actions if critical equipment is found out of calibration.</p> <p>f. Temperature logs must be maintained.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>The facility has a calibration program for thermometers which are used to check the temperatures of incoming frozen and chilled product. The salt scale is calibrated annually by an outside firm.</i> 		
<p>8.3 The facility's Preventative Maintenance Program shall ensure the following:</p> <p>a. All processing equipment parts are clean and in working order.</p> <p>b. All filters, screens, sieves, etc., are clean and in working order.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>There is no processing equipment.</i> 	Compliant	0
Totals		0

Maintenance - Facility

Totals		0
<p>8.4 All facility mounted fans shall:</p> <p>a. Be closed tightly after being turned off (no light).</p> <p>b. Have screens to exclude pest entry.</p> <p>c. Be cleaned according to the Master Cleaning Schedule.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>There are no fans or skylights.</i> 	Exemption	N/A
<p>8.5 The facility's motors and similar equipment shall:</p> <p>a. Be protected when over product.</p> <p>b. Have catch pans installed below overhead equipment to provide protection to the food or food packaging below</p> <p>c. Use food grade grease and oil only when in food processing areas.</p> <p>Comments</p> <ul style="list-style-type: none"> <i>Reefer units have catch pans.</i> 	Compliant	0
<p>8.6 The facility:</p> <p>a. Shows no evidence of condensate on product.</p> <p>b. Shows no evidence of condensate or leaking roofs on ceilings and overhead structures that may pose a threat to exposed product or materials.</p> <p>c. Overhead sewer pipes or roof drain pipes are protected against possible leakage.</p>	Compliant	0
<p>8.7 Does the facility have flaking paint or easily crumbled material in product storage areas?</p>	Compliant	0
<p>8.8 The facility:</p> <p>a. Floor/wall junctures are sealed.</p> <p>b. Floor expansion joints are sealed.</p> <p>c. Has no missing or damaged ceiling tiles.</p> <p>d. Floors and walls are in good repair and are easily cleanable.</p> <p>e. Drop ceiling is in good repair and easily cleanable.</p> <p>f. No ceiling stains or evidence of roof leaks.</p> <p>Comments</p>	Compliant	0

<ul style="list-style-type: none"> • Floors are clean. There are no water stains on the ceiling. 		
<p>8.9 The facility's exterior windows and doors:</p> <p>a. Have automatic closure systems to keep doors closed.</p> <p>b. If doors have screens, they are in good repair and keep pest from entering the facility.</p> <p>c. If air curtains are used, they must be effective and calibrated correctly.</p> <p>d. When not in use are closed.</p> <p>e. Have no gaps that allow light entry.</p> <p>Comments</p> <ul style="list-style-type: none"> • Doors are tight. There are no air curtains. 	Compliant	0
<p>8.10 The facility's dock doors, buffers, shelters, levelers, pit, etc.:</p> <p>a. Are clean and well maintained.</p> <p>b. Sealed tight enough to exclude pests.</p> <p>c. Adequate door sweep allowing no light entry.</p>	Compliant	0
<p>8.11 The facility shall have a location to store employees personal belongings. It shall:</p> <p>a. Be a separate area away from product, distribution and storage areas.</p> <p>b. Not have stored any items specified in a written policy by the facility (e.g., food, drinks, etc.).</p> <p>Comments</p> <ul style="list-style-type: none"> • Lockers are provided for employees who choose to use them. 	Compliant	0
<p>8.12 The facility's garbage compactor and/or dumpster shall:</p> <p>a. Be kept closed when not in use.</p> <p>b. Be on a concrete pad, not on the ground.</p> <p>c. Have the area around it kept clean and free of debris.</p>	Compliant	0
<p>8.13 Is facility equipment:</p> <p>a. In proper working order, so as to be free of residue and not be a breeding ground for microorganisms and food for pest.</p> <p>b. "Food contact" surfaces made from a material that is easily cleanable (i.e., stainless steel).</p> <p>c. Kept corrosion free, with no cracks or voids.</p> <p>d. With no broken welds, cracked plastic, or flaking material.</p> <p>e. Easily accessible for ease of cleaning.</p> <p>f. Kept in a sanitary environment.</p>	Compliant	0
<p>8.14 The facility's temporary repairs shall:</p> <p>a. Not be permanent repairs as tape, string, and other materials are not easily cleanable.</p> <p>b. Be managed, dated and entered on work orders or another form as to not become permanent repairs.</p>	Compliant	0
<p>8.15 The facility shall:</p> <p>a. Not use wood in sanitary environments where it may come into contact with food, food utensils, or direct "food contact" packaging material.</p> <p>b. If wood shelving is used, it must be sealed.</p>	Compliant	0
<p>8.16 The facility's pallets (wood, plastic, or metal) shall:</p> <p>a. Be clean and free from debris.</p> <p>b. Be free from insects or rodents evidence (e.g., cobwebs).</p> <p>c. Be in good repair and condition.</p>	Compliant	0
<p>8.17 The facility:</p> <p>a. Must have all water lines protected against backflow or backsiphonage with documented proof.</p> <p>b. Must have documented proof updated annually.</p> <p>Comments</p> <ul style="list-style-type: none"> • The backflow preventer was last tested on March 3, 2021, report is on file. 	Compliant	0

8.18 The facility's garbage and waste cans shall: a. Be removed frequently to avoid overflowing. b. Be labeled (bilingual, if required) or part of the facility's color coding system. Comments <ul style="list-style-type: none"> <i>The garbage cans are clean.</i> 	Compliant	0
8.19 When maintenance is required in sanitary environments: a. Only dedicated tools are used. b. Inventory of tools and parts are conducted during area clean up.	Compliant	0
Totals		0

Cleaning Programs - Document

Totals		0
9.1 The facility has a written Master Cleaning Schedule. Schedule includes: a. What is to be cleaned? b. When it will be cleaned? c. Who will clean it? d. How it will be cleaned? NOTE: For Allergen control to eliminate cross-contamination, color coding for brushes is recommended. Black is universally identified for Drains. Comments <ul style="list-style-type: none"> <i>The Master Cleaning Schedule outlines daily, weekly, monthly, quarterly, and annual tasks.</i> 	Compliant	0
9.2 The facility must have a written chemical control program if chemicals are in use for purposes such as sanitation, cleaning, lubrication, etc. Program outlines: a. Procedures including a list of approved chemicals. b. Who has the authority to purchase chemicals. c. Inventory records, storage and labeling. Comments <ul style="list-style-type: none"> <i>There are no cleaning chemicals or lubricants.</i> 	Exemption	N/A
Totals		0

Cleaning Programs - Facility

Totals		0
9.3 Staff amenities (break rooms, restrooms, locker rooms, offices, etc.): a. Walls, floors, ceilings and other structures are clean and free from debris. b. Equipment such as lockers, toilets, sinks, microwaves, refrigerators, etc., are clean and free from debris. c. "Food contact" surfaces cleaned and sanitized to prevent the spreading of potential allergens. d. All other areas clean and free of debris.	Compliant	0
9.4 Dry ambient storage: a. Walls, floors, ceilings and other structures are clean and free from debris. b. Pallets, shelves, racks and other storage devices are clean and free from debris.	Compliant	0


c. All other areas are clean and free from debris. Comments • <i>Floors are clean, corners are clean.</i>		
9.5 Cold storage: a. Walls, floors, ceilings, and other structures are clean and free from debris. b. Pallets, shelves, racks, and other storage devices are clean and free from debris. c. Cooling units, drip pans, and condensate piping is clean and free of mold or other harmful bacteria. d. Ice machines must be clean and free of mold or other bacteria. e. All other areas are clean and free from debris and mold.	Compliant	0
9.6 Shipping and receiving area: a. Walls, floors, ceilings, and other structures are clean and free from debris. b. Equipment such as forklifts, carts, pallet drives, etc., are clean and free from debris. c. Dock areas, including dock pits, clean and free of debris. d. All other areas are clean and free from debris.	Compliant	0
9.7 Exterior: a. Free from waste and debris, as to not attract pest or vermin. b. Surroundings kept neat and not present a hazard to the sanitary operation of the premises. c. Paths/roadways shall be clean and sealed to prevent pest harborage.	Compliant	0
9.8 Other areas (additional storage, etc.): a. Walls, floors, ceilings, and other structures are clean and free from debris. b. Equipment is clean and free from debris. c. All other areas are clean and free from debris.	Compliant	0
9.9 The facility's cleaning equipment is: a. Cleaned and stored properly (i.e., brooms hung with bristles down) away from food, raw material and packaging material. b. Made of proper cleanable material (e.g., not wood.) c. Dedicated to one specific cleaning task via a color coding system (i.e., drains = black, "food contact" surfaces = Yellow, etc.).	Compliant	0
9.10 The facility's chemicals are: a. Stored away from raw material, finished products, food packaging, etc. b. Locked away and only accessible by authorized employees. c. Clearly labeled and identifiable. d. Have proper Safety Data Sheets (SDS). Comments • <i>Restroom supplies are locked up.</i>	Compliant	0
9.11 The facility effectively checks their sanitizer levels and water temperature before use. a. Sanitizer concentration is effectively checked before use. b. Water reaches effective temperature (120F) when used for cleaning. Comments • <i>Sanitizers are not used.</i>	Exemption	N/A
9.12 The facility effectively protects all products, packaging material and equipment during cleaning operations.	Compliant	0
9.13 When spillage occurs in the facility it is cleaned as soon as it occurs and surrounding equipment, etc., is cleaned as needed.	Compliant	0
9.14 The facility's sprinkler risers, guard rails, fire extinguishers, and other safety equipment shall be clean and unblocked. This includes exit doors.	Compliant	0

Totals		0
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Audit Time

Totals		0
How many days was the audit?	1	N/A
Day 1 Total Hours:	8	N/A
Totals		0

Audit Review

Totals		0
Was staff present during closing meeting?	Yes	N/A
Comments <ul style="list-style-type: none"> • <i>Lee Baumgart;</i> <i>Kyle Bussey;</i> <i>Josh Martin;</i> <i>Sam Braden; and</i> <i>Shawn Hood.</i> 		
Did the auditor review the non-conformance's during the closing meeting. 	Sign Here to Confirm	N/A
Totals		0