

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

Company Information	Audit Information
<p><b>Facility:</b> C0104947 - Carlo Masi &amp; Sons, Inc.</p> <p><b>Address:</b> 9 Wurz Ave Utica, New York United States, 13502</p> <p><b>Contact:</b> Mr. Josh Masi</p> <p><b>Title:</b> Food Safety</p> <p><b>Phone:</b> 315-797-7303</p> <p><b>Fax:</b> 315-797-8914</p> <p><b>Email:</b> cmasi@dreamscape.com</p>	<p><b>Audit# - Visit#:</b> 1087818 - 818729</p> <p><b>Audit Type:</b> DC - Warehouse and Distribution Center Food Safety, Sanitation and Quality Audit</p> <p><b>Template Version:</b> 1.9</p> <p><b>Audit Category:</b> REGULAR</p> <p><b>Auditor:</b> Michael Mansky</p> <p><b>Audit Start Time:</b> 23-JUN-2015 08:00:00 AM</p> <p><b>Audit End Time:</b> 23-JUN-2015 03:30:00 PM</p> <p><b>Prior Audit Date:</b> 24-JUN-14</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	3	0	0	85.00%
Section F - Approved Suppliers, Receiving and Inventory Control	1	0	0	95.00%
Section G - Process and Product Evaluation	0	0	0	100.00%
Section H - Packaging and Labeling	1	0	0	95.00%
Section I - Storage and Shipping	1	0	0	95.00%
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
Needs Improvement	92.00%

Present at Audit					
Name	Job Title	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
Fred Steates	Food Safety Manager	Yes	Yes	Yes	Yes
x	x	No	No	No	No
Sam Masi	President	No	No	No	Yes

GENERAL INFORMATION	
No	Question/Notes
1	<p><b>Facility and Operations Description.</b></p> <p>Auditor's Notes:</p> <p>Carlo Masi Sons &amp; Daughter, Inc. is a privately held company founded in 1958 and at its current location since 1980. The facility, previously a farmer's market, consists of two one-story structures of unknown vintage, each occupying about 45,000 square feet of space in a light industrial/commercial section of Utica, NY. One building is used for holding product within of 5 refrigerated storage rooms plus a small freezer. The second building, mostly vacant, is used for storing packaging material, maintenance equipment, supplies and spare parts. The facility operates two shifts, Monday to Friday and one shift on Saturday. There are 25 full and part-time employees.</p> <p>The company's main business is distributing fresh produce to food service and institutional customers, including the U.S. Army, in the region. A growing additional part of the business is the cross-docking of a range of dry, fresh and frozen products, including meat, poultry, dairy, eggs, vacuum packed salmon, dips, salad dressings, oil, spices and herbs, bottled water and beverages. Product is delivered to customers with the company's fleet of 12 trucks.</p> <p>The only CCP in the HACCP plan is vacuum packed salmon storage temperature. Allergens handled include dairy, eggs, tree nuts and vacuum packed fish.</p>
2	<p><b>Regulatory Inspection Type and Establishment #:</b></p> <p>FDA and New York State Department of Agriculture and Markets. Bioterrorism Registration No. xxx5868</p>
3	<p><b>Products warehoused/produced at this facility.</b></p> <p>See above.</p>
4	<p><b>The following departments and individuals participated in the audit process:</b></p> <p>Food Safety Manager, President, Distribution Manager</p>
5	<p><b>Notes from Auditor</b></p> <p>x</p> <p>Carlo Masi Sons and Daughter has strong programs in place to ensure the safety and quality of the products it distributes. Particular strengths are a very orderly facility, close control of storage conditions, well enforced GMP rules, good lot code traceability procedures and comprehensive supplier approval documentation.</p> <p>No major non-conformances were identified during this audit. Non-conformances identified were: (1) incomplete complaint follow-up documentation, (2) incomplete sanitation verification documentation, (3) missing bait station monitoring documentation, (4) a need for more internal pest traps near overhead doors, (5) gaps on sides of dock plates, (6) lack of documentation of storage temperature limits on monitoring sheets, (7) no verification of product scale calibration and (8) inadequate perimeters around some product stored in coolers. These non-conformances were reviewed with senior company management and the food safety manager at the closing meeting.</p>

Non-Compliance Summary		
No	Question/Notes	Result
Section A/A10	<p><b>Customer/Consumer Complaints (Policies, Follow Up and Response)</b></p> <p><i>A complaint log is maintained which tracks complaints by product identification, production date, cause and origin of complaint.</i></p> <p><i>NC: There is no documentation of investigation of complaints and corrective action.</i></p>	Non-Conformance*
Section D/D1	<p><b>Master Sanitation Schedule and Monitoring</b></p> <p><i>The facility has a documented master cleaning schedule for all area.</i></p> <p><i>NC: Completion of cleaning tasks is not verified with signed documentation.</i></p>	Non-Conformance*

Section E/E1	<p><b>Documented and Specific Pest Control Program</b>  <i>There is a current pest management policy and program that outlines the responsibilities of the Pest Control Operator (PCO), the proper use of internal trapping devices, outside bait stations and the documentation of service and activity reports. Site maps for all traps and bait stations were current, Material Safety Data Sheet (MSDS) and the PCO applicator's license and letter of insurance were current and on file.</i></p> <p><i>NC: Bait station monitoring cards lacked verification of monthly monitoring for the period October 2014 to May 2015.</i></p>	Non-Conformance*
Section E/E3	<p><b>Inside Premises Management</b>  <i>NC: There was only one internal trapping device covering 5 overhead doors.</i></p>	Non-Conformance*
Section E/E4	<p><b>Pest Tight Doors and Entrance Closures</b>  <i>NC: There were several gaps on sides of dock plates for overhead doors No. 11, 12, 13.</i></p>	Non-Conformance*
Section F/F4	<p><b>Storage and Handling Policies and Practices</b>  <i>Coolers and other storage areas were maintained in a clean and sanitary manner and produce and other products held under conditions necessary to maintain product integrity. Cooler and freezer temperatures are monitored daily and the results documented.</i></p> <p><i>NC: The cooler/freezer monitoring documents do not indicate the temperature limits for each storage area.</i></p>	Non-Conformance*
Section H/H2	<p><b>Documented Net Weight or Count Compliance Policy and Performance</b>  <i>Scales are calibrated annually by an outside expert.</i></p> <p><i>NC: Scale calibration is not verified daily.</i></p>	Non-Conformance*
Section I/I3	<p><b>Storage Facility and Dock Maintenance</b>  <i>Storage areas were clean and orderly. Items were stored off the floor; storage racks, floors and walls were in good condition.</i></p> <p><i>NC: There was not adequate space around peripheries in the coolers for access, inspection and cleaning.</i></p>	Non-Conformance*

Section A. Administration and Regulatory Compliance		
No	Question/Notes	Result
A1	Organization and Responsibilities	Acceptable
A2	Policies and Procedures Manual	Acceptable
A3	Management Awareness and Commitment	Acceptable
A4	Product Identification, Traceability and Recall Plans and Procedures	Acceptable
A5	Regulatory Compliance	Acceptable
A6	Document and Records Management	Acceptable
A7	Change Management	Acceptable
A8	Documentation to Track Effectiveness of Policies	Acceptable
A9	Crisis and Natural Disaster Management	Acceptable
A10	Customer/Consumer Complaints (Policies, Follow Up and Response) <i>A complaint log is maintained which tracks complaints by product identification, production date, cause and origin of complaint.</i>  <i>NC: There is no documentation of investigation of complaints and corrective action.</i>	Non-Conformance*

Section B. HACCP Management		
No	Question/Notes	Result
B1	Preliminary HACCP Tasks	Acceptable
B2	Hazard Analysis (HACCP Principle 1)	Acceptable
B3	Critical Control Points (HACCP Principle 2)	Acceptable
B4	Critical Limits (HACCP Principle 3)	Acceptable
B5	CCP Monitoring (HACCP Principle 4)	Acceptable
B6	Corrective Actions (HACCP Principle 5)	Acceptable
B7	Verification and Validation (HACCP Principle 6)	Acceptable
B8	Documentation and Record Keeping (HACCP Principle 7)	Acceptable

Section C. Facilities and Equipment		
No	Question/Notes	Result
C1	Potable Water, Ice, Backflow Prevention, Steam and Waste Water Management	Acceptable
C2	Facility Construction and Design	Acceptable
C3	Facility Condition (Walls, Ceilings, Floors, etc.)	Acceptable
C4	Employee Facilities	Acceptable
C5	Handwashing Facilities	Acceptable
C6	Equipment Layout, Design and Conditions	Acceptable
C7	Plant Lighting and Protection	Acceptable
C8	Maintenance Standard (Support of GMPs, Housekeeping, Lubricants)	Acceptable

Section C. Facilities and Equipment		
No	Question/Notes	Result

Section D. Sanitation, Housekeeping and Hygiene		
No	Question/Notes	Result
D1	<b>Master Sanitation Schedule and Monitoring</b> <i>The facility has a documented master cleaning schedule for all area.</i>  <i>NC: Completion of cleaning tasks is not verified with signed documentation.</i>	Non-Conformance*
D2	Standard Sanitation Operating Procedures and Monitoring	Acceptable
D3	Cleaning Chemical and Sanitizer Control	Acceptable
D4	Pre Operational Monitoring and Corrective Action	Acceptable
D5	Verification of Cleaning Effectiveness	Acceptable
D6	Operational Housekeeping and Monitoring	Acceptable
D7	Personal Hygiene and Good Manufacturing Practices	Acceptable
D8	Internal Audits and Corrective Actions	Acceptable

Section E. Rodent and Pest Control Management		
No	Question/Notes	Result
E1	<b>Documented and Specific Pest Control Program</b> <i>There is a current pest management policy and program that outlines the responsibilities of the Pest Control Operator (PCO), the proper use of internal trapping devices, outside bait stations and the documentation of service and activity reports. Site maps for all traps and bait stations were current, Material Safety Data Sheet (MSDS) and the PCO applicator's license and letter of insurance were current and on file.</i>  <i>NC: Bait station monitoring cards lacked verification of monthly monitoring for the period October 2014 to May 2015.</i>	Non-Conformance*
E2	Outside Premises Management (Grounds, Waste Disposal Areas)	Acceptable
E3	<b>Inside Premises Management</b> <i>NC: There was only one internal trapping device covering 5 overhead doors.</i>	Non-Conformance*
E4	<b>Pest Tight Doors and Entrance Closures</b> <i>NC: There were several gaps on sides of dock plates for overhead doors No. 11, 12, 13.</i>	Non-Conformance*
E5	<b>Secure Storage and Documentation of Pest Related Chemicals</b> <i>Pest related chemicals are not stored on the site.</i>	N/A
E6	Detailed Activity Reports with Corrective Actions	Acceptable

Section F. Approved Suppliers, Receiving and Inventory Control		
No	Question/Notes	Result
F1	Supplier Approval Policies and Procedures	Acceptable
F2	Incoming Vehicle Inspection and Documentation	Acceptable
F3	Release Criteria for Ingredients	Acceptable
F4	<b>Storage and Handling Policies and Practices</b> <i>Coolers and other storage areas were maintained in a clean and sanitary manner and produce and other products held under conditions necessary to maintain product integrity. Cooler and freezer temperatures are monitored daily and the results documented.</i>	Non-Conformance*

Section F. Approved Suppliers, Receiving and Inventory Control		
No	Question/Notes	Result
	<i>NC: The cooler/freezer monitoring documents do not indicate the temperature limits for each storage area.</i>	
F5	Bulk Receiving Systems Sanitation and Monitoring	N/A
F6	Restricted and/or Sensitive Ingredient Control, Including Chemical Compounds	N/A

Section G. Process and Product Evaluation		
No	Question/Notes	Result
G1	Process Control and Documentation Procedures	Acceptable
G2	Specification and Formulation Control and Accuracy	Acceptable
G3	Foreign Material Control	Acceptable
G4	Application of Statistical Control	N/A
G5	Allergen and Sensitive Ingredient Controls	Acceptable
G6	Specification Compliance Documentation	Acceptable
G7	Rework and Carryover Products	Acceptable
G8	Analytical Records Management	N/A

Section H. Packaging and Labeling		
No	Question/Notes	Result
H1	Label Accuracy and Regulatory Compliance	Acceptable
H2	Documented Net Weight or Count Compliance Policy and Performance <i>Scales are calibrated annually by an outside expert.</i>  <i>NC: Scale calibration is not verified daily.</i>	Non-Conformance*
H3	Clear Manufacturing Codes on Individual and Cased Product	Acceptable
H4	Package Integrity and Function	Acceptable
H5	Label Security and Obsolete Label Controls	N/A

Section I. Storage and Shipping		
No	Question/Notes	Result
I1	Warehouse and Finished Product Management	Acceptable
I2	Retained and Returned Products	Acceptable
I3	Storage Facility and Dock Maintenance <i>Storage areas were clean and orderly. Items were stored off the floor; storage racks, floors and walls were in good condition.</i>  <i>NC: There was not adequate space around peripheries in the coolers for access, inspection and cleaning.</i>	Non-Conformance*
I4	Transport Condition	Acceptable
I5	Release Authorization to Ship Product	Acceptable

<b>Section J. Training Requirements</b>		
<b>No</b>	<b>Question/Notes</b>	<b>Result</b>
J1	<b>New Hire Training</b>	Acceptable
J2	<b>Training Language</b>	Acceptable
J3	<b>Prerequisite Program Training</b>	Acceptable
J4	<b>Refresher Training</b>	Acceptable
J5	<b>Proof of Knowledge</b>	Acceptable
J6	<b>Training Records</b>	Acceptable
J7	<b>Training Program Review</b>	Acceptable

<b>Section K. Food Defense</b>		
<b>No</b>	<b>Question/Notes</b>	<b>Result</b>
K1	<b>Management</b>	Acceptable
K2	<b>Human Element</b>	Acceptable
K3	<b>Facility</b>	Acceptable
K4	<b>Operations</b>	Acceptable

This report (and its content) is confidential and shall not be: (a) disseminated or reproduced in any form or fashion, except in its entirety and then only to persons authorized by contract to receive this report; or (b) posted or reproduced in any form or fashion, in whole or part, on any website, brochure, product, packaging, or other document except with the express written permission of NSF International Food Safety, LLC. Copyright 2014, NSF International Food Safety, LLC.