Audit	SQF Food Safety Audit Edition 9
Company Name	Cahoon Farms Inc.
Company Number	7172
Audit Number	174335
Company Address	10951 Lummisville Rd Wolcott, NY 14590 United States
Food Sector Categories	14. Fruit, Vegetable, and Nut Processing, and Fruit Juices
Score	93

Module 2 Food Manufacturing - Audit Statement - Audit

Name	Mandatory	Description	Primary Response	Evidence
SQF Practitioner Name		Name the designated SQF Practitioner		Sheila Rigerman
SQF Practitioner Email		Email of the designated SQF Practitioner		srigerman@cahoonfarms.com
Opening Meeting		People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by commas)		Sheila Rigerman: Compliance Manager, Thomas Barlow: Operations Manager, Eric Hooper: SAI Lead Auditor
Facility Description		Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details		Site was constructed in the 1960's with facility located in a rural agricultural region of Wolcott, NY. Additions were made to the facility in 2008. Production facility sits on 5 acres of land. Items produced are peeled, cored, sliced/diced, and frozen/fresh apples. Cherries are also sliced, pitted, and frozen cherries which are distributed in the US and Canada. Site operates approximately 100,000 square feet which includes both processing and storage with 5 dock doors. 100 employees work at this facility across three production shifts. First shift begins 700am to 300pm, second shift operates 300pm to 1100pm, third shift operates 1100pm to 700am. Sanitation is performed on the weekends. Site operates 6 days per week depending upon the season and customer requirements.
Closing Meeting		People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by commas)		Sheila Rigerman: Compliance Manager, Thomas Barlow: Operations Manager, Kristy Teeter: Quality Manager, Eric Hooper: SAI Lead Auditor
Auditor Recommendation		Auditor Recommendation		Grant Recertification once nonconformances have been corrected

Module 2 Food Manufacturing - 2.1.1 - Management Responsibility (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.1.1.1	M	Senior site management shall prepare and implement a policy statement that outlines at a minimum the commitment of all site management to: i. Supply safe food; ii.Establish and maintain a food safety culture within the site; iii. Establish and continually improve the site's food safety management system; and iv. Comply with customer and regulatory requirements to supply safe food. The policy statement shall be: v. Signed by the senior site manager and displayed in prominent positions; and vi. Effectively communicated to all site personnel in the language(s) understood by all site personnel.	Compliant	
2.1.1.2	M	Senior site management shall lead and support a food safety culture within the site that ensures at a minimum: i. The establishment, documentation, and communication to all relevant staff of food safety objectives and performance measures; ii. Adequate resources are available to meet food safety objectives; iii. Food safety practices and all applicable requirements of the SQF System are adopted and maintained; iv. Employees are informed and held accountable for their food safety and regulatory responsibilities; v. Employees are positively encouraged and required to notify management about actual or potential food safety issues; and vi. Employees are empowered to act to resolve food safety issues within their scope of work.	Compliant	

2.1.1.3	M	The reporting structure shall identify and describe site personnel with specific responsibilities for tasks within the food safety management system and identify a backup for the absence of key personnel. Job descriptions for the key personnel shall be documented. Site management shall ensure departments and operations are appropriately staffed and organizationally aligned to meet food safety objectives.	Compliant	
2.1.1.4	M	Senior site management shall designate a primary and substitute SQF practitioner for each site with responsibility and authority to: i. Oversee the development, implementation, review, and maintenance of the SQF System; ii. Take appropriate action to ensure the integrity of the SQF System; and iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.	Compliant	
2.1.1.5	M	The primary and substitute SQF practitioner shall: i. Be employed by the site; ii. Hold a position of responsibility related to the management of the site's SQF System; iii. Have completed a HACCP training course; iv. Be competent to implement and maintain HACCP based food safety plans; and v. Have an understanding of the SQF Food Safety Code: Food Manufacturing and the requirements to implement and maintain an SQF System relevant to the site's scope of certification	Compliant	
2.1.1.6	M	Senior site management shall ensure the training needs of the site are resourced, implemented, and meet the requirements outlined in system elements 2.9 and that site personnel meet the required competencies to carry out those functions affecting the legality and safety of food products.	Compliant	
2.1.1.7	M	Senior site management shall ensure the integrity and continued operation of the food safety system in the event of organizational or personnel changes within the company or associated facilities.	Compliant	
2.1.1.8	M	Senior site management shall designate defined blackout periods that prevent unannounced re-certification audits from occurring out of season or when the site is not operating for legitimate business reasons. The list of blackout dates and their justification shall be submitted to the certification body a minimum of one (1) month before the sixty (60) day re-certification window for the agreed-upon unannounced audit.	Compliant	This was an announced Recertification audit.
			Summary	Site has a documented and implemented Management Commitment and Responsibility policy dated 1/16/2023. The policy is signed by the Operations Manager and is posted on the employee bulleting board in English and Spanish. The policy outlines Senior management commitment to provide safe, quality food to their customers, provide adequate resources, inform staff on their responsibility and accountability to food safety. Senior Management leads and support a food safety culture for the organization by ensuring: Food Safety objectives and performances are established, documented and communicated to all relevant staff. KPIs and their progress are posted in the break room bulletin board. Company organizational chart dated 9/19/2022 signed by the Operations Manager. Chart is headed by the CEO of the company with lines to department managers and supervisors. Compliance Manager is the primary SQF Practitioner with the Quality Manager as the substitute practitioner. Compliance Manager received HACCP training dated 3/22/2016. Backup SQF Practitioner received HACCP training dated 3/19/2010. Management roles and authority are defined. The management determines the training needs. Compliance Manager executed the food safety / quality training while the Operations Manager executes on the job skills development. Job descriptions are developed and are on file. Management team members serve as back-ups in key positions. This was an announced Recertification audit.

Module 2 Food Manufacturing - 2.1.2 - Management Review (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.1.2.1	M	The SQF System shall be reviewed by senior site management at least annually and include: i. Changes to food safety management system documentation (policies, procedures, specifications, food safety plan); ii. Food safety culture performance; iii. Food safety objectives and performance measures; iv. Corrective and preventative actions and trends in findings from internal and external audits, customer complaints, and verification and validation activities; v. Hazard and risk management system; and vi. Follow-up action items from previous management reviews. Records of all management reviews and updates shall be maintained.	Compliant	
2.1.2.2	M	The SQF practitioner(s) shall update senior site management on at least a monthly basis on matters impacting the implementation and maintenance of the SQF System. The updates and management responses shall be documented.	Minor	The site did not meet the requirement based on 1)Site monthly meetings for December 2022 and January 2023 were not available for the auditor to review.

			Summary	Site has a documented and implemented Management Review policy dated 8/22/2022. The review will include polices specifications, food safety plan, food safety culture performance, objectives and performance measures. corrective and preventive actions, and customer complaints to also include investigation and resolution. A review of the facility programs was conducted during the audit. The SQF practitioner with input from senior management, discuss performance trending of the food safety fundamentals, conformance to specifications, HACCP performance, food defense and regulatory inspections. Performance measures / KPIs are defined for quality/food safety, safety and productivity are monitored and performance charts are communicated via the notification board in employee breakroom. Document Register that was reviewed dated 3/17/2023 shows that different portions of the program are reviewed monthly so that the entire program is reviewed within the previous 12 months. **Minor: Site monthly meetings for December 2022 and January 2023 were not available for the auditor to review.**

Module 2 Food Manufacturing - 2.1.3 - Complaint Management (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.1.3.1	M	The methods and responsibility for handling, investigating, and resolving food safety complaints from commercial customers, consumers, and authorities, arising from products manufactured or handled on-site or co-manufactured, shall be documented and implemented.	Compliant	
2.1.3.2	M	Adverse trends of customer complaint data shall be investigated and analyzed and the root cause established by personnel knowledgeable about the incidents.	Compliant	
2.1.3.3	M	Corrective and preventative action shall be implemented based on the seriousness of the incident and the root cause analysis as outlined in 2.5.3. Records of customer complaints, their investigation, and resolution shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Complaint Management dated 7/7/2022. Complaints are categorized as product (color, soft), packaging, food safety, specification, and foreign material. There have been 23 complaints for 2022 and 12 complaints for 2023. Product related items were the highest trending item followed by packaging. Trends are documented with relation to product quality, food safety, and foreign material. Open customer complaints included complaint for soft apples. Site has been emailing client to discuss options moving forward with relation to closing the complaint.

Module 2 Food Manufacturing - 2.2.1 - Food Safety Management System (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.2.1.1	M	The methods and procedures the site uses to meet the requirements of the SQF Food Safety Code: Food Manufacturing shall be maintained in electronic and/or hard copy documentation. They will be made available to relevant staff and include: i. A summary of the organization's food safety policies and the methods it will apply to meet the requirements of this standard; ii. The food safety policy statement and organization chart; iii. The processes and products included in the scope of certification; iv. Food safety regulations that apply to the manufacturing site and the country(ies) of sale (if known); v. Raw material, ingredient, packaging, and finished product specifications; vi. Food safety procedures, prerequisite programs, food safety plans; vii. Process controls that impact product safety; and viii. Other documentation necessary to support the development, implementation, maintenance, and control of the SQF System.	Compliant	
2.2.1.2	M	Food safety plans, Good Manufacturing Practices, and all relevant aspects of the SQF System shall be reviewed, updated, and communicated as needed when any changes implemented have an impact on the site's ability to deliver safe food. All changes to food safety plans, Good Manufacturing Practices, and other aspects of the SQF System shall be validated or justified prior to their implementation. The reasons for the change shall be documented.	Compliant	
			Summary	Food Safety manual is maintained both electronically and in hard copy. Managers have read access to the electronic versions, hard copies are available to all. Individual programs were reviewed in other sections of this audit. The scope of products covered was included with the program and this is managed by the SQF practitioner for FSC 14 with modules 2 and 11. The food safety manual contains the written programs that are being used in the facility and support the development, implementation, maintenance and control of the SQF program.

Module 2 Food Manufacturing - 2.2.2 - Document Control (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.2.2.1	M	The methods and responsibility for maintaining document control and ensuring staff have access to current requirements and instructions shall be documented and implemented. Current SQF System documents and amendments to documents shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Document Control policy dated 3/17/2023. Responsibility tasks are defined and assigned to the compliance manager, quality supervisor and document user. Policies are approved by senior management. Document registers are established and were reviewed. The register indicates the procedure, location of the copies, review date, revised date, supersedes date, reason for change, and who approved the change. Documents are stored in the main office and electronic copies password protected with read/write authority.

Module 2 Food Manufacturing - 2.2.3 - Records (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.2.3.1	M	The methods, frequency, and responsibility for verifying, maintaining, and retaining records shall be documented and implemented.	Minor	The site did not meet the requirement based on 1) Verifications of the cleaning and sanitizing documents were not performed by site management.
2.2.3.2	M	All records shall be legible and confirmed by those undertaking monitoring activities that demonstrate inspections, analyses, and other essential activities that have been completed.	Compliant	
2.2.3.3	M	Records shall be readily accessible, retrievable, and securely stored to prevent unauthorized access, loss, damage, and deterioration. Retention periods shall be in accordance with customer, legal, and regulatory requirements, at minimum the product shelf-life or established by the site if no shelf-life exists.	Compliant	
			Summary	Site has a documented and implemented Records policy dated 3/17/2023. Responsibility tasks are defined and assigned to the Compliance Manager and Quality Manager. Records are created to meet a regulatory, audit scheme or customer specification. Document registers are established and were reviewed. Record retention is 1 yr. lab testing results, 3 years product grade sheets, all analytical results and SQF results, and 12 years for EPA, DEC and DOH records. **Minor: The site did not meet the requirement based on 1) Verifications of the cleaning and sanitizing documents were not performed by site management.**

Module 2 Food Manufacturing - 2.3.1 - Specification, Formulation and Realization

Name	Mandatory	Description	Primary Response	Evidence
2.3.1.1		The methods and responsibility for designing and developing new product formulations and converting product concepts to commercial realization shall be documented and implemented.	Compliant	
		New product formulations, manufacturing processes, and the fulfillment of product requirements shall be established, validated, and verified by site trials and product testing as required to ensure product safety.		No new products made.
2.3.1.2		Product formulations shall be developed by authorized persons to ensure that they meet the intended use. Where necessary, shelf life trials shall be conducted to validate and verify a new product's: i. Pre-consumer handling and storage requirements, including the establishment of "use by," "best before dates," or equivalent terminology; ii. Microbiological criteria, where applicable; and iii. Consumer preparation, where applicable, and storage and handling requirements.	Not Applicable	
2.3.1.3		A food safety plan shall be validated and verified by the site food safety team for each new product and its associated process through conversion to commercial production and distribution or where a change to ingredients, process, or packaging occurs that may impact food safety.	Compliant	
2.3.1.4		Product formulations and manufacturing processes for products included in the scope of certification shall be reviewed when there are changes in materials, ingredients, or equipment.	Compliant	
2.3.1.5		The process flows for all new and existing manufacturing processes shall be designed to ensure that product is manufactured according to approved product formulations and to prevent cross-contamination.	Compliant	
2.3.1.6		Records of product design, formulations, label compliance, process flows, shelf life trials, and approvals for all new and existing products shall be maintained.	Not Applicable	No new products made in past 12 months.

Summary	Site has a documented and implemented Product Formulation and realization policy dated 1/23/2023. New products are triggered per customer request, steps are defined. New products are typically line extensions e.g. new cut types, slices, different dimensions, lower preservative levels reduction and packaging size changes. New product inquiries are given to the Compliance and Quality Manager. Any new product not like product previously run at Cahoon Farms will be subject to shelf-life testing and food safety testing. Any testing performed will concentrate on microbiological criteria, product performance, customer handling, storage, or new packaging conditions. No new products were made in the last year.

Module 2 Food Manufacturing - 2.3.2 - Specifications (Raw Material, Packaging, Finished Product and Services)

Name	Mandatory	Description	Primary Response	Evidence
2.3.2.1		The methods and responsibility for developing, managing, and approving raw material, finished product, and packaging specifications shall be documented.	Compliant	
2.3.2.2		Specifications for all raw materials and packaging, including, but not limited to, ingredients, additives, hazardous chemicals, processing aids, and packaging that impact finished product safety shall be documented and kept current.	Compliant	
2.3.2.3		All raw materials, packaging, and ingredients, including those received from other sites under the same corporate ownership, shall comply with specifications and with the relevant legislation in the country of manufacture and country(ies) of destination if known.	Compliant	
2.3.2.4		Raw materials, packaging, and ingredients shall be validated to ensure product safety is not compromised and the material is fit for its intended purpose.	Compliant	
2.3.2.5		Site management shall require approved raw materials suppliers to notify the site of changes in product composition that could have an impact on product formulation (e.g., protein content, moisture, amino acid profiles, contaminant levels, allergens, and/or other parameters that may vary by crop or by season).	Compliant	
2.3.2.6		Verification of packaging shall include a certification of all packaging that comes into direct contact with food meets either regulatory acceptance or approval criteria. Documentation shall either be in the form of a declaration of continued guarantee of compliance, a certificate of conformance, or a certificate from the applicable regulatory agency. In the absence of a certificate of conformance, certificate of analysis, or letter of guarantee, analyses to confirm the absence of potential chemical migration from the packaging to the food contents shall be conducted and records maintained.	Compliant	
2.3.2.7		Finished product labels shall be accurate, comply with the relevant legislation, and be approved by qualified company personnel.	Compliant	
2.3.2.8		Description of services for contract service providers that have an impact on product safety shall be documented, current, include a full description of the services to be provided, and detail relevant training requirements of all contract personnel.	Compliant	
2.3.2.9		Finished product specifications shall be documented, current, approved by the site and its customer, accessible to relevant staff, and shall include, where applicable: i. Microbiological, chemical, and physical limits; ii. Composition to meet label claims; iii. Labeling and packaging requirements; and iv. Storage conditions.	Compliant	
2.3.2.10		Specifications for raw materials and packaging, chemicals, processing aids, contract services, and finished products shall be reviewed as changes occur that impact product safety. Records of reviews shall be maintained. A list of all the above specifications shall be maintained and kept current.	Compliant	
			Summary	Site has a documented and implemented Raw Materials, Packaging, Finished Product and Services dated 1/25/2023. SQF Practitioner has the accountability for the program. Specifications, third party audits and letters of guarantees were reviewed for raw materials calcium chloride, citric acid, ascorbic acid, and salt. A contract service provider specification register dated 2/14/2023 is established and on file, it captures service providers, service provided, specification version/date and change. Specifications are developed for each approved contract service provider. Records were reviewed for PPC Letters of Guarantee, We go Chemical, US Salt, Alpha Chemicals, ALS Labs, CH Robinson logistics/transportation provider and Cintas uniform provider. Finished product control program dated 9/22/2022 defines requirements for all finished goods, residual test per each other pallet, and juice testing every 30 minutes - micro testing [yeast and mold, coliform, salmonella, e coli, APC], temperature of product and metal detection. Management requires that approved raw material suppliers notify the site of changes in product composition that could have an impact on product formulation. All materials used in the facility are required to comply with the relevant legislation. A supplier approval program is established and is the responsibility of the SQF practitioner. There is no provisions to require notification by suppliers when a change in the ingredient impacts functionality. Letters of Guarantee are on file for items that require this and were reviewed for the ascorbic acid, and citric acid used for components.

Module 2 Food Manufacturing - 2.3.3 - Contract Manufacturers

Name	Mandatory	Description	Primary Response	Evidence
2.3.3.1		The methods and responsibility for ensuring all agreements with contract manufacturers relating to food safety, customer product requirements, their realization, and delivery shall be documented and implemented.	Not Applicable	Site does not use contract manufacturers.
2.3.3.2		The site shall establish a method to determine the food safety risk level of contract manufactured product and shall document the risk. The site shall ensure that: i. Products and processes of co-manufacturers that are considered high-risk have undergone an audit by the site or third-party agency to confirm compliance with the SQF Food Safety Code: Food Manufacturing and regulatory and customer requirements; ii. Products and processes of co-manufacturers that are considered low-risk meet the requirements of the SQF Food Safety Code: Food Manufacturing, or other GFSI benchmarked certification programs, and regulatory and customer requirements; and iii. Changes to contractual agreements are approved by both parties and communicated to relevant personnel.	Not Applicable	Site does not use contract manufacturers.
2.3.3.3		Contractual agreements with third party storage and distribution businesses shall include requirements relating to customer product requirements and compliance with clause 2.3.3.2 of the SQF Food Safety Code: Food Manufacturing. Contractual agreements shall be approved by both parties and communicated to relevant personnel. The site shall verify compliance with the SQF Code and ensure that customer and regulatory requirements are being met at all times.	Not Applicable	Site does not use contract manufacturers.
2.3.3.4		Records of audits, contracts, and changes to contractual agreements and their approvals shall be maintained.	Not Applicable	Site does not use contract manufacturers.
			Summary	Site does not use contract manufacturers.

Module 2 Food Manufacturing - 2.3.4 - Approved Supplier Program (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.3.4.1	M	The responsibility and procedure for selecting, evaluating, approving, and monitoring an approved supplier shall be documented and implemented. A current record of approved suppliers, receiving inspections, and supplier audits shall be maintained.	Compliant	
2.3.4.2	M	Code Amendment #2 Approved supplier registers shall include supplier contact details. All approved and emergency suppliers shall be registered. The approved supplier program shall be based on the past performance of a supplier and the risk level of the raw materials, ingredients, processing aids, packaging, and services supplied, and shall contain at a minimum: i. Agreed specifications (refer to 2.3.2); ii. Reference to the level of risk applied to raw materials, ingredients, packaging, and services from the approved supplier; iii. A summary of the food safety controls implemented by the approved supplier; iv. Methods for granting approved supplier status; v. Methods and frequency of monitoring approved suppliers; vi. Details of the certificates of conformance, if required; and vii. Methods and frequency of reviewing approved supplier performance and status.	Compliant	
2.3.4.3	M	Verification of raw materials shall include certificates of conformance, certificates of analysis, or sampling, and testing. The verification frequency shall be identified by the site.	Compliant	
2.3.4.4	M	The receipt of raw materials, ingredients, processing aids, and packaging from nonapproved suppliers shall be acceptable only in an emergency situation and provided a receiving inspection or analysis is conducted and recorded before use.	Compliant	
2.3.4.5	M	Raw materials, ingredients, and packaging received from other sites under the same corporate ownership shall be subject to the same specification requirements (refer to 2.3.2), approved supplier requirements, and receiving inspections as all other material providers.	Compliant	
2.3.4.6	M	Supplier audits shall be based on risk (as determined in 2.3.4.2) and shall be conducted by individuals knowledgeable of applicable regulatory and food safety requirements and trained in auditing techniques.	Compliant	

	Summary	Site has a documented and implemented Supplier Approval policy dated 3/13/2023. The Compliance Manager evaluates and approves suppliers based on past performance and raw material risk level. Approved suppliers are required to have agreed specifications, risk level of item being supplied, a summary of food safety controls, COA's, and copies of 3rd party audits. Prior to approval, appraisal information includes technical data sheets, letter of guarantee, specification, allergen questionnaire, test samples to determine quality and functionality, passed third party audit. Additional information may be needed. Raw fruit growers/suppliers must agree to the contract and provide spray records prior to delivering the load. Requirements are included for the use of emergency suppliers: inspection prior to use, COA and copy of a 3rd party audit. Review performed on Apple receipts dated 11/16/2022. Risk levels are assigned to raw materials, based on known food safety hazards: A current register if approved suppliers is on file and includes the supplier name, contact information and risk level of the item. Vendors are monitored for issues out of compliance, food safety and quality issues. An approved vendor list for packaging and ingredients is maintained. Apples are secured from brokers Farm Fresh First, LLC. A grower contract agreement is in place between the broker and the apple farmers. Certificates of Analysis and Letters of Guarantee were reviewed for apple suppliers. Review performed on apple receipts dated 9/26/2022 and 10/12/2022. Apples are placed into quality categories 2.5" to 4.0" diameters, <2.5" diameters, > 4.0" diameter, and culls. Review performed on COA for raw apples dated 11/15/2022 from Merieux Nutrisciences. Pesticide samples Load #22-5662 dated 11/9/2022 and #22-5642 dated 11/7/2022 were reviewed by the auditor. Review performed on Global G.A.P. Harmonized Produce Safety Standard Certificate #4049919493605 current until 12/23/2023 for Cahoon Farms. Review performed on Global G.A.P Harmonized Produce Safety Standard Certificate #4050373897352 current until 10/27/2023 for Bovee apple storage warehouse.

Module 2 Food Manufacturing - 2.4.1 - Food Legislation (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.4.1.1	M	The site shall ensure that at the time of delivery to customers finished products shall comply with food safety legislation applicable in the country of manufacture and sale. This includes compliance with legislative requirements applicable to maximum residue limits, food safety, packaging, product description, net weights, nutritional, allergen, and additive labeling, labeling of identity preserved foods, any other criteria listed under food legislation, and to relevant established industry codes of practice.	Compliant	
2.4.1.2	M	The methods and responsibility for ensuring the site is kept informed of changes to relevant legislation, scientific and technical developments, emerging food safety issues, and relevant industry codes of practice shall be documented and implemented.	Compliant	
2.4.1.3	M	SQFI and the certification body shall be notified in writing within twenty-four (24) hours as a result of a regulatory warning or event. Notification to SQFI shall be by email to foodsafetycrisis@sqfi.com.	Compliant	
	Summary			Site has a documented and implemented Food Legislation policy dated 9/20/2022. SQF practitioner is responsible for ensuring the organization is kept informed of relevant legislation changes, emerging food safety issues, scientific and technical developments and relevant industry codes of practice. Resources used includes regulatory notifications, trade publications and customer updates and requirements. Provisions are included to notify SQFI and the certification body shall be notified in writing within 24 hours upon identification of a food safety event that requires public notification.

Module 2 Food Manufacturing - 2.4.2 - Good Manufacturing Practices (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.4.2.1	M	The site shall ensure the applicable Good Manufacturing Practices described in Module 11 of this Food Safety Code are applied or exempted according to a written risk analysis outlining the justification for exemption or evidence of the effectiveness of alternative control measures that ensure food safety is not compromised.	Compliant	
2.4.2.2	M	The Good Manufacturing Practices applicable to the scope of certification outlining how food safety is controlled and assured shall be documented and implemented.	Compliant	
	Summary			Site has a documented and implemented Good Manufacturing Practices Policy dated 10/15/2022. Food safety fundamentals and pre-requisite programs are followed according to Module 11. GMP and pre-requisite programs are documented as personnel practices, training of personnel, calibration of equipment, management of pests and vermin, premises and equipment maintenance, cleaning and sanitation, monitoring water microbiology and quality, control of physical contaminants, supplier approval, transport and delivery, waste management and disposal, and allergen control. Pre-requisites are verified according to the SQF Prerequisite Program Verification/Validation Schedule.

Module 2 Food Manufacturing - 2.4.3 - Food Safety Plan (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.4.3.1	M	A food safety plan shall be prepared in accordance with the twelve steps identified in the Codex Alimentarius Commission HACCP guidelines. The food safety plan shall be effectively implemented and maintained and shall outline how the site controls and assures food safety of the products or product groups included in the scope of the SQF certification and their associated processes. More than one HACCP food safety plan may be required to cover all products included in the scope of certification.	Compliant	
2.4.3.2	M	The food safety plan or plans shall be developed and maintained by a multidisciplinary team that includes the SQF practitioner and those site personnel with technical, production, and engineering knowledge of the relevant raw materials, packaging, processing aids, products, and associated processes. Where the relevant expertise is not available on-site, advice may be obtained from other sources to assist the food safety team.	Compliant	
2.4.3.3	M	The scope of each food safety plan shall be developed and documented including the start and endpoints of the processes under consideration and all relevant inputs and outputs.	Compliant	
2.4.3.4	M	Product descriptions shall be developed and documented for all products included in the scope of the food safety plans. The descriptions shall reference the finished product specifications (refer to 2.3.2.9) plus any additional information relevant to product safety, such as pH, water activity, composition, and/or storage conditions.	Compliant	
2.4.3.5	M	The intended use of each product shall be determined and documented by the food safety team. This shall include target consumer groups, the potential for consumption by vulnerable groups of the population, requirements for further processing if applicable, and potential alternative uses of the product.	Compliant	
2.4.3.6	M	The food safety team shall develop and document a flow diagram covering the scope of each food safety plan The flow diagram shall include every step in the process, all raw materials, packaging, service inputs (e.g., water, steam, gasses as applicable), scheduled process delays, and all process outputs including waste and rework. Each flow diagram shall be confirmed by the food safety team to cover all stages and hours of operation.	Compliant	
2.4.3.7	M	The food safety team shall identify and document all food safety hazards that can reasonably be expected to occur at each step in the processes, including raw materials and other inputs.	Compliant	
2.4.3.8	M	The food safety team shall conduct a hazard analysis for every identified hazard to determine which hazards are significant, i.e., their elimination or reduction to an acceptable level is necessary to control food safety. The methodology for determining hazard significance shall be documented and used consistently to assess all potential hazards.	Compliant	
2.4.3.9	M	The food safety team shall determine and document the control measures that must be applied to all significant hazards. More than one control measure may be required to control an identified hazard, and more than one significant hazard may be controlled by a specific control measure.	Compliant	
2.4.3.10	M	Based on the results of the hazard analysis (refer to 2.4.3.8), the food safety team shall identify the steps in the process where control must be applied to eliminate a significant hazard or reduce it to an acceptable level (i.e., a critical control point or CCP). In instances where a significant hazard has been identified at a step in the process, but no control measure exists, the food safety team shall modify the process to include an appropriate control measure.	Compliant	
2.4.3.11	M	For each identified CCP, the food safety team shall identify and document the limits that separate safe from unsafe product (critical limits). The food safety team shall validate all of the critical limits to ensure the level of control of the identified food safety hazard(s) and that all critical limits and control measures individually or in combination effectively provide the level of control required (refer to 2.5.2.1).	Compliant	
2.4.3.12	M	The food safety team shall develop and document procedures to monitor CCPs to ensure they remain within the established limits (refer to 2.4.3.11). Monitoring procedures shall identify the personnel assigned to conduct monitoring, the sampling and test methods, and the test frequency.	Compliant	
2.4.3.13	M	The food safety team shall develop and document deviation procedures that identify the disposition of affected product when monitoring indicates a loss of control at a CCP. The procedures shall also prescribe actions to correct the process step to prevent recurrence of the safety failure.	Compliant	
2.4.3.14	M	The documented and approved food safety plan(s) shall be implemented in full. The effective implementation shall be monitored by the food safety team, and a full review of the documented and implemented plans shall be conducted at least annually, or when changes to the process, equipment, inputs, or other changes affecting product safety occur.	Compliant	
2.4.3.15	M	Procedures shall be in place to verify that critical control points are effectively monitored and appropriate corrective actions are applied. Implemented food safety plans shall be verified as part of SQF System verification (refer to 2.5).	Compliant	

2.4.3.16	M	Critical control point monitoring, corrective action, and verification records shall be maintained and appropriately used.	Compliant	
2.4.3.17	M	Where food safety regulations in the country of production and destination (if known) prescribe a food safety control methodology other than the Codex Alimentarius Commission HACCP guidelines, the food safety team shall implement food safety plans that meet both Codex and food regulatory requirements.	Compliant	
			Summary	The food safety plan covers the products made under the scope of this certification and is developed per Codex requirements. HACCP team includes Compliance Manager, Operations Manager, Sanitation Manager, Facility Maintenance, and Quality Supervisor. Products included are Red Tart Pitted Cherry Blast Frozen (0*F), Apple Juice Unpasteurized (40*F), Apple-Fresh Dipped (40*F), Apple Blast Frozen (0*F), Apple-Individually Quick Frozen [IQF], stored under frozen conditions (0*F or below) with shelf life approximately 36 months and coded as date of production. Product is intended to be used as an ingredient into a cooked pastry item and be used by the general population. Flow chart dated 1/30/2023 was reviewed. Hazard analyses have been conducted on ingredients and process steps. Hazards addressed includes salmonella, e coli, patulin, toxin residues, sulfites, bird shot/metal, chemical impurities, knife pieces, bag pieces, cross contamination, allergens/sensitizing agents, dust, metal flecks, water and rust, rubber/belting, ozone, loose stems and seeds and sanitation chemicals. PRP programs include Supplier programs and contract, fruit inspection, chlorine wash, metal detectors/filters, COG, GMPs. CCPs are identified 1) 10 - 200 ppm free chlorine residual check and 2) finished product metal detector check IQF 3.0 mm Ferrous, 3.5 mm Non-Ferrous and 3.5mm Stainless Steel Fresh Apples CCP 4.0 mm Ferrous, 5.0 mm Non-Ferrous, and 6.0 mm Stainless Steel . HACCP documents reviewed included all CCPs dated 1/11/2023, 2/8/2023, and 3/8/2023. Auditor verified metal detector with quality employee on 3/21/2023 using wands 3.0mm Ferrous, 3.5mm Non-Ferrous, and 3.5mm Stainless Steel. Metal detector passed the test performed during the audit.

Module 2 Food Manufacturing - 2.4.4 - Product Sampling, Inspection and Analysis

Name	Mandatory	Description	Primary Response	Evidence
		The methods, responsibility, and criteria for sampling, inspecting, and/or analyzing raw materials, work-in-progress, and finished product shall be documented and implemented.		
2.4.4.1		The methods applied shall ensure that inspections and analyses are completed at regular intervals as required and to agreed specifications and legal requirements. Sampling and testing shall be representative of the process batch and ensure that process controls are maintained to meet specification and formulation. Product analyses shall be conducted to nationally recognized methods or company requirements, or alternative methods that are validated as equivalent to the nationally recognized methods.	Compliant	
2.4.4.2		Where internal laboratories are used to conduct input, environmental, or product analyses, sampling and testing methods shall be in accordance with the applicable requirements of ISO/IEC 17025, including annual proficiency testing for staff conducting analyses. External laboratories shall be accredited to ISO/IEC 17025, or an equivalent international standard, and included on the site's contract service specifications list (refer to 2.3.2.11).	Compliant	
2.4.4.3		On-site laboratories conducting chemical and microbiological analyses that may pose a risk to product safety shall be located separate from any food processing or handling activity and designed to limit access only to authorized personnel. Signage shall be displayed identifying the laboratory area as a restricted area, accessible only by authorized personnel.	Compliant	
2.4.4.4		Provisions shall be made to isolate and contain all hazardous laboratory waste held on the premises and manage it separately from food waste. Laboratory waste outlets shall at a minimum be downstream of drains that service food processing and handling areas.	Compliant	
2.4.4.5		Retention samples, if required by customers or regulations, shall be stored according to the typical storage conditions for the product and maintained for the stated shelf life of the product.	Compliant	
2.4.4.6		Records of all inspections and analyses shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Product Sampling, Inspection, and Analysis dated 10/3/2022. The SQF Practitioner is responsible for maintaining, developing, reassessing the sampling and analysis procedures. Product analyses is conducted in accordance with ISO/IEC 17025, NIST standard, and company requirements. Only accredited laboratories are used or external analysis. Site laboratory is located away from food processing and handling areas. Lab has restricted access. Site has a documented and implemented Air Plate Sampling Procedure dated 2/17/2023. Site has a Finished Product Weight Check Procedure dated 2/17/2023. Site has a documented and implemented Apple Grading (USDA) Procedure dated 2/17/2023. ALS Environmental Rochester NY #10146 expiring on 4/1/2023. Site has a backup laboratory Lozier Environmental Consulting, Inc Rochester NY ISO/IEC 17925:2017 Testing expiring on 6/24/2024. Review performed on site laboratory Proficiency Testing Program dated 9/21/2022.

Module 2 Food Manufacturing - 2.4.5 - Non-conforming Materials and Product

Name	Mandatory	Description	Primary Response	Evidence
2.4.5.1		The responsibility and methods outlining how to handle non-conforming product, raw material, ingredient, work-in-progress, or packaging, which is detected during receipt, storage, processing, handling, or delivery, shall be documented and implemented. The methods applied shall ensure: i. Non-conforming product is quarantined, identified, handled, and/or disposed of in a manner that minimizes the risk of inadvertent use, improper use, or risk to the integrity of finished product; and ii. All relevant personnel are aware of the organization's quarantine and release requirements applicable to product placed under quarantine status.	Compliant	
2.4.5.2		Quarantine records and records of the handling, corrective action, or disposal of nonconforming materials or product shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Control of Non-Conforming Product and Equipment policy dated 9/22/2022. Quality Manager is responsible to identify product or equipment that does not meet company standards. QA is responsible for placing hold tags and hold tape on the product or equipment and disposition is made by the Compliance Manager. The QA Hold Log is maintained by the Practitioner to include reason for hold, product description, and disposition. Review performed on the QA Hold Log dated 3/21/2023. Products are placed on hold by QA for various reasons during the day. Hold log identified tag #, product description, reason for hold, disposition date, and release by. Log indicated majority of holds for possible blocking from cold storage facility. Cold storage facility temperature increased to 16*F possibly causing blockage to apples in IQF form.

Module 2 Food Manufacturing - 2.4.6 - Product Rework

Name	Mandatory	Description	Primary Response	Evidence
2.4.6.1		The responsibility and methods outlining how ingredients, packaging, or products are reworked shall be documented and implemented. The methods applied shall ensure: i. Reworking operations are overseen by qualified personnel; ii. Reworked product is clearly identified and traceable; iii. Reworked product is processed in accordance with the site's food safety plan; iv. Each batch of reworked product is inspected or analyzed as required before release; v. Inspections and analyses conform to the requirements outlined in element 2.4.4.1; vi. Release of reworked product conforms to element 2.4.7; and vii. Reworked product does not affect the safety or integrity of the finished product. Records of all reworking operations shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Rework Policy dated 10/22/2022. Log rework onto rework log sheet including lot, date and product reworked. Only place like products reworked into like products at 30% maximum. No frozen product will be reworked that is over 3 years old. No fresh product will be reworked over 24 hours old. Review performed on Product Rework Forms dated February 2023 and March 2023.

Module 2 Food Manufacturing - 2.4.7 - Product Release (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.4.7.1	M	The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released by authorized personnel, and only after all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met. Records of all product releases shall be maintained.	Compliant	
2.4.7.2	M	Product release shall include a procedure to confirm that product labels comply with the food legislation that applies in the country of manufacture and the country(ies) of use or sale if known (refer to 2.4.1.1). If product is packaged and distributed in bulk or unlabeled, product information shall be made available to inform customers and/or consumers of the requirements for its safe use.	Compliant	

2.4.7.3	M	In the event that the site uses positive release based on product pathogen or chemical testing, a procedure shall be in place to ensure that product is not released until acceptable results have been received. In the event that off-site or contract warehouses are used, these requirements shall be effectively communicated and verified as being followed.	Compliant	
			Summary	Site has a documented and implemented Product Release Policy dated 10/5/2022. The QA department is responsible for the release of product either through pre-shipment approval of product through the HACCP plan, Food Quality Plan or Items on QA hold. Quality Control is responsible for ensuring all product released is acceptable and all food safety requirements outlined in HACCP plans have been met. All labels are confirmed prior to be released for shipment and all records are stored in the Quality Control Lab. Review performed on hold release documents from hold log dated 3/21/2023HACCP documents were reviewed for 1/11/2023, 2/8/2023, and 3/8/2023.

Module 2 Food Manufacturing - 2.4.8 - Environmental Monitoring

Name	Mandatory	Description	Primary Response	Evidence
2.4.8.1		A risk-based environmental monitoring program shall be in place for all food manufacturing processes and immediate surrounding areas, which impact manufacturing processes. The responsibility and methods for the environmental monitoring program shall be documented and implemented.	Compliant	
2.4.8.2		An environmental sampling and testing schedule shall be prepared. It shall at a minimum: i. Detail the applicable pathogens or indicator organisms to test for in that industry; ii. List the number of samples to be taken and the frequency of sampling; iii. Outline the locations in which samples are to be taken and the rotation of locations as needed; and iv. Describe the methods to handle elevated or undesirable results.	Compliant	
2.4.8.3		Environmental testing results shall be monitored, tracked, and trended, and preventative actions (refer to 2.5.3.1) shall be implemented where unsatisfactory results or trends are observed.	Compliant	
			Summary	Site has a documented and implemented Environmental Monitoring Program dated 10/5/2022 and managed by the Compliance Manager. Environmental monitoring program in place for monitoring cleanliness of the facility. Based on the questions from the FDA guidance for Listeria monocytogones in RTE foods, Cahoon Farms has a lower risk of L. monocytogenes in our product. Key factors are the chlorine wash in the dump tank, the water activity and pH of the fruit. Fresh processed product has slightly higher risk than the frozen products as temperature below freezing will not support growth of Listeria mono. Verification for Sanitation effectiveness by use of ATP swabbing program in place daily. Testing frequency is weekly, 4 swabs are taken during production 1 samples from Zone 1, 3 samples from Zone 2, and 1 sample from either Zone 3 or Zone 4. Organisms tested for are Listeria spp, Salmonella, Coliform and E.coli. Yeast, mold and APC are done on Z1 sites. List of testing sites are identified per zone. Pass/fail criteria is listed. Measures for positive results are defined. Review performed on Environmental Swabbing location dated 2/9/2022. Records reviewed from January 2023 to March 2023. Trends reviewed for each quarter. 4th quarter trends 43 swabs for October 2022 with zero positive results, 27 swabs for November 2022 with zero positive results, and 44 swabs for December 2022 with zero positive results.

Module 2 Food Manufacturing - 2.5.1 - Validation and Effectiveness (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.5.1.1	M	The methods, responsibility, and criteria for ensuring the effectiveness of all applicable elements of the SQF Program shall be documented and implemented. The methods applied shall validate that: i. Good Manufacturing Practices are confirmed to ensure they achieve the required results; ii. Critical food safety limits are reviewed annually and re-validated or justified by regulatory standards when changes occur; and iii. Changes to the processes or procedures are assessed to ensure the controls are still effective. Records of all validation activities shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Validation and Effectiveness dated 10/11/2022. It is the SQF Practitioner responsibility to review all SQF and Food Safety HACCP Plans yearly to ensure effectiveness. GMPs are monitored during monthly internal audits to ensure their effectiveness. All HACCP Plan critical limits and control measures are reviewed a minimum of yearly and each time a HACCP deviation occurs. Records of validation activities are maintained on the SQF Prerequisite Program or Element Verification/Validation document. Activities are conducted according to the internal audit schedule. Review performed on the Internal Audit Schedule dated 2022. Critical control points are validated annually based on information obtained from the FDA. Guidelines for the Use of Chlorine Bleach as a Sanitizer in Food Processing Operations Oklahoma State University FAPC dated 1983.

Module 2 Food Manufacturing - 2.5.2 - Verification Activities (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.5.2.1	M	The methods, responsibility, and criteria for verifying monitoring of Good Manufacturing Practices, critical control points, and other food safety controls, and the legality of certified products shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each verified record.	Compliant	
2.5.2.2	M	A verification schedule outlining the verification activities, their frequency of completion, and the person responsible for each activity shall be prepared and implemented. Records of verification of activities shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Verification Activities Policy dated 10/11/2022. Records of verification are maintained by the Practitioner through use of the SQF Prerequisite Program or Element Verification/Validation form. Monitoring records are verified by trained personnel by signing and dating. The verification schedule is in place outlining the verification methods, frequency, and responsibility. Review performed on the Internal Audit Schedule dated 2023. Review performed on HACCP Verification and Production records dated 1/11/2022, 2/8/2023, and 3/8/2023.

Module 2 Food Manufacturing - 2.5.3 - Corrective and Preventative Action (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.5.3.1	M	The responsibility and methods outlining how corrective and preventative actions are determined, implemented, and verified, including the identification of the root cause and resolution of non-compliance of critical food safety limits and deviations from food safety requirements, shall be documented and implemented. Deviations from food safety requirements may include customer complaints, nonconformances raised at internal or external audits and inspections, non-conforming product and equipment, withdrawals and recalls, as appropriate.	Compliant	
2.5.3.2	M	Records of all investigation, root cause analysis, and resolution of non-conformities, their corrections, and the implementation of preventative actions shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Corrective and Preventative Actions Policy dated 10/11/2022. The QA Manager/Practitioner is responsible for assuring corrective actions and preventative measures are identified, documented, and implemented for deviations of critical food safety limits, consumer complaints, or internal audit deficiencies. Records of corrective action were reviewed with internal audits, customer complaints, hold logs, and glass and brittle plastics inspections. Review performed on Corrective Action Log for dated January 2023 to February 2023.

Module 2 Food Manufacturing - 2.5.4 - Internal Audits and Inspections (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.5.4.1	M	The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System shall be documented and implemented. Internal audits shall be conducted in full and at least annually. The methods applied shall ensure: i. All applicable requirements of the SQF Food Safety Code: Food Manufacturing are audited per the SQF audit checklist or a similar tool; ii. Objective evidence is recorded to verify compliance and/or non-compliance; iii. Corrective and preventative actions of deficiencies identified during the internal audits are undertaken; and iv. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective and preventative actions.	Compliant	
2.5.4.2	M	Staff conducting internal audits shall be trained and competent in internal audit procedures. Where practical, staff conducting internal audits shall be independent of the function being audited.	Compliant	

2.5.4.3	M	Regular inspections of the site and equipment shall be planned and carried out to verify Good Manufacturing Practices and facility and equipment maintenance are compliant to the SQF Food Safety Code: Food Manufacturing. The site shall: i. Take corrections or corrective and preventative action; and ii. Maintain records of inspections and any corrective actions taken.	Compliant	
2.5.4.4	M	Records of internal audits and inspections and any corrective and preventative actions taken as a result of internal audits shall be recorded as per 2.5.3. Changes implemented from internal audits that have an impact on the site's ability to deliver safe food shall require a review of applicable aspects of the SQF System (refer to 2.3.1.3).	Compliant	
			Summary	Site has a documented and implemented Internal Audits Program dated 10/11/2022. The Practitioner is responsible for scheduling internal audits and observations are documented with corrective actions. Results are communicated to relevant personnel and staff responsible for implementation and verification of corrective actions. Review performed on Internal Audit Training for SQF Practitioner 9/22/2010. Staff is independent of the function being audited. Audits are conducted yearly for pre-requisite programs. Review performed on SQF Internal Audit Requirements document dated 1/3/2023. Review performed on the SQF PRP Verification/Validation Schedule for 2022 and 2023. Review performed on the SQF Annual Internal Audit Schedule dated 10/11/2022. Food Safety Inspections performed on 1/11/2023, 2/23/2023, and 3/20/2023.

Module 2 Food Manufacturing - 2.6.1 - Product Identification (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.6.1.1	M	The methods and responsibility for identifying raw materials, ingredients, packaging, work-in-progress, process inputs, and finished products during all stages of production and storage shall be documented and implemented to ensure: i. Raw materials, ingredients, packaging, work-in-progress, process inputs, and finished products are clearly identified during all stages of receipt, production, storage, and dispatch; and ii. Finished product is labeled to the customer specification and/or regulatory requirements.	Compliant	
2.6.1.2	M	Product start-up, product changeover, and packaging changeover (including label changes) procedures shall be documented and implemented to ensure that the correct product is in the correct package and with the correct label and that the changeover is inspected and approved by an authorized person. Procedures shall be implemented to ensure that label use is reconciled and any inconsistencies investigated and resolved. Product changeover and label reconciliation records shall be maintained.	Compliant	
			Summary	Site has a documented and implemented POP for Product Identification and Tracking Policy dated 10/11/2022. Receiving personnel are responsible for assuring all products, ingredients and goods are properly identified when they enter the facility. Finished products are identified at all stages through an automated system include supplier, processing name, product description, weight, date of packing or day code, cooking/handling instructions, product origin. Product identification records and packaging reviews are maintained by the Practitioner and reviewed for 1/11/2023, 2/8/2023, and 3/8/2023 production dates. Packaging reviews are conducted at start up and for every packaging change.

Module 2 Food Manufacturing - 2.6.2 - Product Trace (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.6.2.1	M	The responsibility and methods used to trace product shall be documented and implemented to ensure: i. Finished product is traceable at least one step forward to the customer and at least one step back from the process to the manufacturing supplier; ii. The receipt dates of raw materials, ingredients, food contact packaging and materials, and other inputs are recorded (refer to 2.8.1.8 for traceback of allergen containing food products.); iii. Traceability is maintained where product is reworked (refer to 2.4.6); and iv. The effectiveness of the product trace system is reviewed at least annually, as part of the product recall and withdrawal review (refer to 2.6.3.2). Records of raw and packaging material receipt and use and finished product dispatch and destination shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Product Traceability Program dated 10/11/2022. Product recall program allows for full (one up and one back) traceability to include rework. The product traceability program is tested once per year by performing a mock recall. Records of raw and packaging receipt, traceability, and dispatch are maintained and were reviewed from 1/11/2023, 2/8/2023 and 3/8/2023 production dates.

Module 2 Food Manufacturing - 2.6.3 - Product Withdrawal and Recall (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.6.3.1	M	The responsibility and methods used to withdraw or recall product shall be documented and implemented. The procedure shall: i. Identify those responsible for initiating, managing, and investigating a product withdrawal or recall; ii. Describe the management procedures to be implemented, including sources of legal, regulatory, and expert advice, and essential traceability information; iii. Outline a communication plan to inform site personnel, customers, consumers, authorities, and other essential bodies in a timely manner appropriate about the nature of the incident; and iv. Ensure that SQFI, the certification body, and the appropriate regulatory authority are listed as essential organizations and notified in instances of a food safety incident of a public nature or product recall for any reason.	Compliant	
2.6.3.2	M	The product withdrawal and recall system shall be reviewed, tested, and verified as effective at least annually. Testing shall include incoming materials (minimum traceability one step back) and finished product (minimum traceability one step forward). Testing shall be carried out on products from different shifts and for materials (including bulk materials) that are used across a range of products and/or products that are shipped to a wide range of customers.	Compliant	
2.6.3.3	M	Records shall be maintained of withdrawal and recall tests, root cause investigations into actual withdrawals and recalls, and corrective and preventative actions applied.	Compliant	
2.6.3.4	M	SQFI and the certification body shall be notified in writing within twenty-four (24) hours upon identification of a food safety event that requires public notification. SQFI shall be notified at foodsafetycrisis@sqfi.com.	Compliant	
			Summary	Site has a documented and implemented Product Withdrawal and Recall Program dated 9/22/2022. A Recall Management Team is in place as well as customer contacts. Site has a documented and implemented Mock Recall Policy Procedure dated 9/22/2022. The owner is responsible for decision making, media communication, contacting accounts, and notifying the legal counsel. A contact list is maintained for SAI Global and SQFI. A "Lot" is defined as the number of pallets assigned to a specific "Lot" number per access code. This is typically 10 pallets for IQF product. Tote Apple and 7+1 apple, 12 pallets for Fresh Product, 5+1 Cherries and Tote. The system is reviewed at least annually and mock recalls are required once per year. No actual recalls or withdrawals have occurred since the time of the last audit. Site performed a mock recall on 10/31/2022 for product code 001-11-N1-22 Fresh Apples received on 10/27/2022 from Cahoon Farms and Smith Brothers. Production date of 10/31/2022 with sell by date of 12/4/2022. 250 cases (10,000 pounds) were recovered within 35 minutes BOL #32708. 100% of product recovered.

Module 2 Food Manufacturing - 2.6.4 - Crisis Management Planning

Name	Mandatory	Description	Primary Response	Evidence
2.6.4.1		A crisis management plan based on the understanding of known potential dangers (e.g., flood, drought, fire, tsunami, or other severe weather events, warfare or civil unrest, computer outage, pandemic, loss of electricity or refrigeration, ammonia leak, labor strike) that can impact the site's ability to deliver safe food shall be documented by senior management, outlining the methods and responsibility the site shall implement to cope with such a business crisis. The crisis management plan shall include at a minimum: i. A senior manager responsible for decision making, oversight, and initiating actions arising from a crisis management incident; ii. The nomination and training of a crisis management team; iii. The controls implemented to ensure any responses do not compromise product safety; iv. The measures to isolate and identify product affected by a response to a crisis; v. The measures taken to verify the acceptability of food prior to release; vi. The preparation and maintenance of a current crisis alert contact list, including supply chain customers; vii. Sources of legal and expert advice; and viii. The responsibility for internal communications and communicating with authorities, external organizations, and media.	Compliant	
2.6.4.2		The crisis management plan shall be reviewed, tested, and verified at least annually with gaps and appropriate corrective actions documented. Records of reviews of the crisis management plan shall be maintained.	Compliant	

	Summary	Site has a documented and implemented Crisis Management Plan dated 2/28/2023. Plan is in place and addresses threats such as power outages, customer complaints, news media, severe weather, first aid, unforeseen hazards and pandemic. Methods to cope with each crisis are documented throughout the plan. The Operations/Plant Manager is responsible for enforcing the plan and the Crisis Team is in place. Response controls, legal advice, and responsibility for external contact are documented as well as SAI Global and SQFI contact information. Review is required as part of the Yearly Internal Audit Requirements. The plan was last reviewed on 2/28/2023 and tested on 10/8/2022 for lack of employees due to Covid. The test included procedures to monitor employees positions and provide back ups when main personnel are not available.

Module 2 Food Manufacturing - 2.7.1 - Food Defense Plan (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.7.1.1	M	A food defense threat assessment shall be conducted to identify potential threats that can be caused by a deliberate act of sabotage or terrorist-like incident.	Compliant	
2.7.1.2	M	A food defense plan shall be documented, implemented, and maintained based on the threat assessment (refer to 2.7.1.1). The food defense plan shall meet legislative requirements as applicable and shall include at a minimum: i. The methods, responsibility, and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident; ii. The name of the senior site management person responsible for food defense; iii. The methods implemented to ensure only authorized personnel have access to production equipment and vehicles, manufacturing, and storage areas through designated access points; iv. The methods implemented to protect sensitive processing points from intentional adulteration; v. The measures taken to ensure the secure receipt and storage of raw materials, ingredients, packaging, equipment, and hazardous chemicals to protect them from deliberate acts of sabotage or terrorist-like incidents; vi. The measures implemented to ensure raw materials, ingredients, packaging (including labels), work-in-progress, process inputs, and finished products are held under secure storage and transportation conditions; and vii. The methods implemented to record and control access to the premises by site personnel, contractors, and visitors.	Compliant	
2.7.1.3	M	Instruction shall be provided to all relevant staff on the effective implementation of the food defense plan (refer to 2.9.2.1).	Compliant	
2.7.1.4	M	The food defense threat assessment and prevention plan shall be reviewed and tested at least annually or when the threat level, as defined in the threat assessment, changes. Records of reviews and tests of the food defense plan shall be maintained.	Compliant	
		Summary		Site has a documented and implemented Security Control/Food Defense Plan dated 10/11/2022. Senior Management is responsible for food defense and crises management. Operations is responsible for putting the facility on alert and methods are documented to include authorized badge entry, facility security checks, visitors, parking permits, ingredients and raw materials, and storage of chemicals. Food Defense team includes all levels of management. Food Defense was challenged on 9/15/2022 employee propped door after losing badge. Employee noticed and made management aware.

Module 2 Food Manufacturing - 2.7.2 - Food Fraud (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.7.2.1	M	The methods, responsibility, and criteria for identifying the site's vulnerability to food fraud, including susceptibility to raw material or ingredient substitution, finished product mislabeling, dilution, or counterfeiting, shall be documented, implemented, and maintained.	Compliant	
2.7.2.2	M	A food fraud mitigation plan shall be developed and implemented that specifies the methods by which the identified food fraud vulnerabilities shall be controlled, including identified food safety vulnerabilities of ingredients and materials.	Compliant	
2.7.2.3	M	Instruction shall be provided to all relevant staff on the effective implementation of the food fraud mitigation plan (refer to 2.9.2.1).	Compliant	
2.7.2.4	M	The food fraud vulnerability assessment and mitigation plan shall be reviewed and verified at least annually with gaps and corrective actions documented. Records of reviews shall be maintained.	Compliant	

Summary	Site has a documented and implemented Food Fraud Policy dated 10/5/2022. A food fraud vulnerability assessment is in place to account for ingredients and materials. Food Fraud Risk Assessment performed on 3/8/2023 for Apples and Cherries through SSafe. Food Fraud Category, Susceptibility, and Mitigation Strategy were reviewed for Dilution, Substitution, Concealment, Mislabeling, Unapproved Enhancements, Counterfeiting, and Grey Market (theft/diversion). Site has a determined a low risk for their vulnerability assessment based on susceptibility and mitigation strategy. Mitigation strategies include; Company supplier approval program and supplier risk assessment verify that products are received within specification. Outgoing freight is carried by licensed carriers and locks/seals are used in all full or LTL. Site performs supplier audits and requires third party assessments (COA and Letters of Guarantee) from all suppliers for ingredients and packaging.

Module 2 Food Manufacturing - 2.8.1 - Allergen Management (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.8.1.1	M	The responsibility and methods used to control allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen management program shall include: i. A risk analysis of those raw materials, ingredients, and processing aids, including food grade lubricants, that contain food allergens; ii. An assessment of workplace-related food allergens that may originate from locker rooms, vending machines, lunchrooms, and visitors; iii. A list of allergens that is applicable in the country of manufacture and the country(ies) of destination, if known; iv. A list of allergens that is accessible to relevant staff; v. The control of hazards associated with allergens and incorporated into the food safety plan, and vi. Management plans for control of the identified allergens.	Compliant	
2.8.1.2	M	Instructions shall be provided to all relevant staff involved in the receipt or handling of raw materials, work-in-progress, rework, or finished product on how to identify, handle, store, and segregate raw materials and products containing allergens.	Compliant	
2.8.1.3	M	Provisions shall be made to clearly identify and segregate foods that contain allergens. Segregation procedures shall be implemented and continually monitored.	Compliant	
2.8.1.4	M	Where allergenic material may be intentionally or unintentionally present cleaning and sanitation of product contact surfaces between line changeovers shall be effective, appropriate to the risk and legal requirements, and sufficient to remove all potential target allergens from product contact surfaces, including aerosols as appropriate, to prevent cross-contact. Separate handling and production equipment shall be provided, where satisfactory line hygiene and clean-up or segregation are not possible.	Compliant	
2.8.1.5	M	Based on risk assessment, procedures for validation and verification of the effectiveness of the cleaning and sanitation of areas and equipment in which allergens are used shall be documented and effectively implemented.	Compliant	
2.8.1.6	M	Where allergenic material may be present, product changeover procedures shall be documented and implemented to eliminate the risk of cross-contact.	Compliant	
2.8.1.7	M	The product identification system (refer to 2.6.1.1) shall make provision for clear identification and labeling, in accordance with the regulatory requirements of those products produced on production lines and equipment on which foods containing allergens are manufactured.	Compliant	
2.8.1.8	M	The product trace system (refer to 2.6.2) shall take into consideration the conditions under which allergen-containing foods are manufactured and ensure full traceback of all ingredients and processing aids used.	Compliant	
2.8.1.9	M	The site shall document and implement methods to control the accuracy of finished product labels (or consumer information where applicable) and assure work-in progress and finished product are true to label with regard to allergens. Measures may include label approvals at receipt, label reconciliations during production, destruction of obsolete labels, verification of labels on finished product as appropriate, and product change over procedures.	Compliant	
2.8.1.10	M	Re-working of product (refer to 2.4.6) containing food allergens shall be conducted under conditions that ensure product safety and integrity are maintained. Re-worked product containing allergens shall be clearly identified and traceable.	Compliant	
2.8.1.11	M	Sites that do not handle allergenic materials or produce allergenic products shall document, implement and maintain an allergen management program addressing at a minimum the mitigation of introduced or unintended allergens through supplier, contract manufacturer, site personnel, and visitor activities.	Compliant	

				Summary	Site has a documented and implemented Allergen and Intolerances Control Policy dated 10/5/2022. New suppliers and products are reviewed for any allergen containing ingredients prior to approval, and there is an annual review of suppliers and ingredient labels. Lunch rooms, vending machines and locker rooms are also part of the Allergen Management Policy. Allergens present in vending machines and employee lunches are peanuts, soybeans, milk, eggs, fish, wheat, gluten and sesame seeds. Spillage clean up steps are listed. Labeling for sulphatic containing products is in place for Canada labeling requirements. Site has a documented Allergen Risk Assessment dated 12/12/2022.

Module 2 Food Manufacturing - 2.9.1 - Training Requirements

Name	Mandatory	Description	Primary Response	Evidence
2.9.1.1		The responsibility for establishing and implementing the training needs of the organization's personnel to ensure they have the required competencies to carry out those functions affecting products, legality, and safety shall be defined and documented (refer to 2.1.1.6).	Compliant	
2.9.1.2		Appropriate training shall be provided for personnel carrying out the tasks essential to the effective implementation of the SQF System and the maintenance of food safety and regulatory requirements.	Compliant	
			Summary	Quality is responsible for all HACCP based training. HR and Plant Management are responsible for new hire and annual refresher training. HACCP training certificates are on file for the Practitioner 3/22/2016 and Backup Practitioner 3/19/2010. SQF Practitioner received FSPCA training dated 5/28/2016. SQF/Food Safety training performed on 3/16/2023 with a test administered after training.

Module 2 Food Manufacturing - 2.9.2 - Training Program (Mandatory)

Name	Mandatory	Description	Primary Response	Evidence
2.9.2.1	M	A training program shall be documented and implemented that at a minimum outlines the necessary competencies for specific duties and the training methods to be applied to personnel carrying out tasks associated with: i. Implementing HACCP for staff involved in developing and maintaining food safety plans; ii. Monitoring and corrective action procedures for all staff engaged in monitoring critical control points (CCPs); iii. Personal hygiene for all staff involved in the handling of food products and food contact surfaces; iv. Good Manufacturing Practices and work instructions for all staff engaged in food handling, food processing, and equipment; v. Sampling and test methods for all staff involved in sampling and testing of raw materials, packaging, work-in-progress, and finished products; vi. Environmental monitoring for relevant staff; vii. Allergen management, food defense, and food fraud for all relevant staff; and viii. Tasks identified as critical to meeting the effective implementation and maintenance of the SQF code.	Compliant	
2.9.2.2	M	The training program shall include provisions for identifying and implementing the refresher training needs of the organization. Training materials, the delivery of training, and procedures on all tasks critical to meeting regulatory compliance and the maintenance of food safety shall be provided in language(s) understood by staff.	Compliant	
2.9.2.3	M	Training records shall be maintained and include: i. Participant name; ii. Skills description; iii. Description of the training provided; iv. Date training completed; v. Trainer or training provider; and vi. Verification that the trainee is competent to complete the required tasks.	Compliant	
			Summary	SQF Practitioner received HACCP training in 3/22/2016. HACCP training for employees performed annually. Last training performed on 3/16/2023. Work instructions are in place for each process in English and Spanish. The training skills register includes the participant name, skill description, description of training, date of training, trainer, and verifier.

Module 11 - 11.1.1 - Premises Location and Approval

Name	Mandatory	Description	Primary Response	Evidence
11.1.1.1		The site shall assess local activities and the site environment to identify any risks that may have an adverse impact on product safety and implement controls for any identified risks. The assessment shall be reviewed in response to any changes in the local environment or activities. The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.	Compliant	
			Summary	Site has a current Food Processing License #200709 from State of New York Department of Agriculture and Markets. FDA performed a Sanitary Inspection of the facility dated 8/27/2021. Review performed on Risk Analysis for surrounding areas dated 2/15/2023.

Module 11 - 11.1.2 - Building Materials

Name	Mandatory	Description	Primary Response	Evidence
11.1.2.1		Floors shall be constructed of smooth, dense, impact-resistant material that can be effectively graded, drained, impervious to liquid, and easily cleaned. Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or wastewater under normal working conditions. Where floor drainage is not available, plumbed options to handle overflow or wastewater shall be in place.	Compliant	
11.1.2.2		Drains shall be constructed and located so they can be easily cleaned and not present a hazard.	Compliant	
11.1.2.3		Waste trap system shall be located away from any food handling areas or entrances to the premises.	Compliant	
11.1.2.4		Walls, partitions, ceilings, and doors shall be of durable construction. Internal surfaces shall have an even and regular surface and be impervious with a light-colored finish and shall be kept clean (refer to 11.2.5). Wall-to-wall and wall-to-floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.	Compliant	
11.1.2.5		Ducting, conduit, and pipes that convey ingredients, products, or services, such as steam or water, shall be designed and constructed to prevent the contamination of food, ingredients, and food contact surfaces and allow ease of cleaning. A risk analysis shall be conducted to ensure food contamination risks are mitigated.	Compliant	
11.1.2.6		Pipes carrying sanitary waste or wastewater that are located directly over product lines or storage areas shall be designed and constructed to prevent the contamination of food, materials, ingredients, and food contact surfaces and shall allow ease of cleaning. A risk analysis shall be conducted to ensure food contamination risks are mitigated.	Compliant	
11.1.2.7		Doors, hatches, and windows and their frames in food processing, handling, or storage areas shall be of a material and construction that meets the same functional requirements as for internal walls and partitions. Doors and hatches shall be of solid construction, and windows shall be made of shatterproof glass or similar material.	Compliant	
11.1.2.8		Product shall be processed and handled in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of products. Drop ceilings, where present, shall be constructed to enable monitoring for pest activity, facilitate cleaning, and provide access to utilities.	Not Applicable	Drop ceilings are not present.
11.1.2.9		Stairs, catwalks, and platforms in food processing and handling areas shall be designed and constructed so they do not present a product-contamination risk and with no open grates directly above exposed food product surfaces. They shall be kept clean (refer to 11.2.5).	Compliant	
			Summary	Product and non-product contact surfaces do not pose a food safety risk. Floors were smooth, easily cleaned, and impervious to liquid. Waste traps, and screens were located outside the facility. Walls, partitions, ceilings, junctions, ducting, and doors were properly constructed, sealed, and maintained. Site performs Food Safety Inspections of the facility monthly. Review performed on inspections dated February 2023 and March 2023. Stairs, catwalks and platforms were observed to be constructed and designed so that food contamination is avoided with no open grates above exposed product surfaces. No drop ceilings are used in the facility.

Module 11 - 11.1.3 - Lightings and Light Fittings

Name	Mandatory	Description	Primary Response	Evidence

11.1.3.1		Lighting in food processing and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively and shall comply with local light-intensity regulations or industry standards.	Compliant	
11.1.3.2		Light fixtures in processing areas, inspection stations, ingredient and packaging storage areas, and all areas where the product is exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers, and recessed into or fitted flush with the ceiling. Where fixtures cannot be recessed, structures must be protected from accidental breakage, manufactured from cleanable materials, and addressed in the cleaning and sanitation program.	Compliant	
11.1.3.3		Light fixtures in the warehouse or other areas where product is covered or otherwise protected shall be designed to prevent breakage and product contamination.	Compliant	
			Summary	Site has a documented and implemented Lighting and Light Fittings Policy dated 11/5/2022. Lighting intensity was sufficient throughout the food processing and handling areas. Fixtures properly covered shatterproof bulbs to prevent from product contamination. All light fittings in the facility are cleaned according to the plant cleaning SOP.

Module 11 - 11.1.4 - Inspection/ Quality Control Area

Name	Mandatory	Description	Primary Response	Evidence
11.1.4.1		If online inspection is required, a suitable area close to the processing line shall be provided for the inspection of product (refer to 2.4.4). The inspection/quality control area shall be provided with facilities that are suitable for examination and testing of the type of product being handled/processed. The inspection area shall: i. Have easy access to handwashing facilities; ii. Have appropriate waste handling and removal; and iii. Be kept clean to prevent product contamination.	Compliant	
			Summary	Suitable areas are provided for inspection and quality control activities. These areas are suitable for the examination and testing of the product and QA employees have easy access to hand washing stations.

Module 11 - 11.1.5 - Dust, Insect, and Pest Proofing

Name	Mandatory	Description	Primary Response	Evidence
11.1.5.1		All external windows, ventilation openings, doors, and other openings shall be effectively sealed when closed, and proofed against dust, vermin, and other pests. External personnel access doors shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against entry of dust, vermin, and other pests.	Minor	The site did not meet the requirement based on 1) During the exterior walk of the facility, exterior Parts Room and Office doors were observed to be unsecure.
11.1.5.2		External doors, including overhead dock doors in food handling areas used for product, pedestrian, or truck access, shall be designed and maintained to prevent pest ingress by at least one or a combination of the following methods: i. A self-closing device; ii. An effective air curtain; iii. A pest-proof screen; iv. A pest-proof annex; and v. Adequate sealing around trucks in docking areas.	Minor	The site did not meet the requirement based on 1) Dock Door #1 was observed with a gap greater than 1/4 inch.
11.1.5.3		Electric insect control devices, pheromone, or other traps and baits shall be located and operated so they do not present a contamination risk to the product, packaging, containers, or processing equipment. Poison rodenticide bait shall not be used inside ingredients or product storage areas or processing areas where ingredients, packaging, and products are handled, processed, or exposed.	Compliant	
			Summary	Insect devices did not pose a threat to product or equipment and bait was not observed in processing areas. **Minor: The site did not meet the requirement based on 1) During the exterior walk of the facility, exterior Parts Room and Office doors were observed to be unsecure 2)Dock Door #1 was observed with a gap greater than 1/4 inch.**

Module 11 - 11.1.6 - Ventilation

Name	Mandatory	Description	Primary Response	Evidence

11.1.6.1		Adequate ventilation shall be provided in enclosed processing and food handling areas. Where appropriate, positive air-pressure systems shall be installed to prevent airborne contamination.	Compliant	
11.1.6.2		All ventilation equipment and devices in product storage and handling areas shall be adequately cleaned as per 11.2.5 to prevent unsanitary conditions.	Compliant	
11.1.6.3		Extractor fans and canopies shall be provided in areas where open cooking operations are carried out or a large amount of steam is generated. Capture velocities shall be sufficient to prevent condensation build-up and to evacuate all heat, fumes, and other aerosols to the exterior via an exhaust hood positioned over the cooker(s).	Compliant	
11.1.6.4		Fans and exhaust vents shall be insect-proofed and located so they do not pose a contamination risk and shall be kept clean.	Compliant	
			Summary	Adequate ventilation was provided throughout food processing areas. Exhaust vents were fly proofed and provided proper ventilation. Ceilings and rails above exposed food is wiped down on an ongoing basis. No issues were observed with cleanliness of ventilation equipment.

Module 11 - 11.1.7 - Equipment and Utensils

Name	Mandatory	Description	Primary Response	Evidence
11.1.7.1		Specifications for equipment and utensils and procedures for purchasing equipment shall be documented and implemented.	Compliant	
11.1.7.2		Equipment and utensils shall be designed, constructed, installed, operated, and maintained to meet any applicable regulatory requirements and to not pose a contamination threat to products.	Compliant	
11.1.7.3		Equipment storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers. Where possible, food contact equipment shall be segregated from non-food contact equipment.	Compliant	
11.1.7.4		Product contact surfaces and those surfaces not in direct contact with food in food handling areas, raw material storage, packaging storage, and cold storage areas shall be constructed of materials that will not contribute to a food safety risk.	Compliant	
11.1.7.5		Benches, tables, conveyors, mixers, mincers, graders, and other mechanical processing equipment shall be hygienically designed and located for appropriate cleaning. Equipment surfaces shall be smooth, impervious, and free from cracks or crevices.	Compliant	
11.1.7.6		Product containers, tubs, and bins used for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious, and readily cleaned as per 11.2.5.1. Bins used for inedible material shall be clearly identified.	Compliant	
11.1.7.7		All equipment and utensils shall be cleaned after use (refer to 11.2.5.1) or at a set and validated frequency to control contamination and be stored in a clean and serviceable condition to prevent microbiological or cross-contact allergen contamination.	Compliant	
11.1.7.8		Vehicles used in food contact, handling, or processing zones or cold storage rooms shall be designed and operated so as not to present a food safety hazard.	Compliant	
11.1.7.9		Non-conforming equipment shall be identified, tagged, and/or segregated for repair or disposal in a manner that minimizes the risk of inadvertent use, improper use, or risk to the integrity of finished product. Records of the handling, corrective action, and/or disposal of non-conforming equipment shall be maintained.	Compliant	
			Summary	Site has a documented Equipment, Utensils, and Protective Clothing policy dated 11/9/2022. Equipment, utensils, and equipment storage rooms were properly designed, constructed, installed, and maintained. Containers were properly identified throughout the facility. Waste water was properly directed into drains throughout processing areas. Protective smocks and gloves were easily cleanable and/or disposable. Smock racks were provided for staff prior to leaving production areas. Site has a documented Brush and Utensil Control policy dated 5/10/2022. White brushes and utensils will only be used for floors and walls, green brushes and utensils will only be used for drains, red brushes and utensils are for food contact, blue brushes and utensils are for non-food contact, and pink brushes and utensils are to be used for handwash station only. Specifications are documented for conveyors, sorters, benches, tables, sinks, tanks, flumes, protective clothing, utensils, pitters, peelers, iqf tunnel, bins, pails, and totes.

Module 11 - 11.1.8 - Grounds and Roadways

Name	Mandatory	Description	Primary Response	Evidence

11.1.8.1	A suitable external environment shall be established, and the effectiveness of the measures shall be monitored and periodically reviewed. The premises, its surrounding areas, storage facilities, machinery, and equipment shall be kept free of waste or accumulated debris, and vegetation shall be controlled so as not to attract pests and vermin or present a food safety hazard to the sanitary operation of the site.	Compliant	
11.1.8.2	Paths, roadways, and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operations of the premises. They shall be adequately drained to prevent the pooling of water. Drains shall be separate from the site drainage system and regularly cleared of debris.	Compliant	
11.1.8.3	Paths from amenities leading to site entrances shall be effectively sealed.	Compliant	
		Summary	Site has a documented and implemented Pre Requisite Program for the Exterior of the facility. Pathways were properly sealed leading to site entrances. Paths, roadways, loading and unloading areas did not pose a hazard to food safety operation. Drains separate from the site drainage system. Parking areas are paved. Grounds are monitored monthly on the Food Safety Inspections.

Module 11 - 11.2.1 - Repairs and Maintenance

Name	Mandatory	Description	Primary Response	Evidence
11.2.1.1		The methods and responsibility for the maintenance and repair of plant, equipment, and buildings shall be documented, planned, and implemented in a manner that minimizes the risk of product, packaging, or equipment contamination.	Compliant	
11.2.1.2		Routine maintenance of plant and equipment in any food processing, handling, or storage areas shall be performed according to a maintenance control schedule and recorded. The maintenance schedule shall be prepared to include buildings, equipment, and other areas of the premises critical to the maintenance of product safety.	Compliant	
11.2.1.3		Failures of plant and equipment in any food processing, handling, or storage areas shall be documented and reviewed, and their repair(s) incorporated into the maintenance control schedule.	Compliant	
11.2.1.4		Site supervisors shall be notified when maintenance or repairs are to be undertaken in any processing, handling, or storage areas.	Compliant	
11.2.1.5		The maintenance supervisor and the site supervisor shall be informed if any repairs or maintenance activities pose a potential threat to product safety (e.g., pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside operating times.	Compliant	
11.2.1.6		Temporary repairs, where required, shall not pose a food safety risk and shall be included in routine inspections (refer to 2.5.4.3) and the cleaning program. There shall be a plan in place to address the completion of temporary repairs to ensure they do not become permanent solutions.	Compliant	
11.2.1.7		Food contact equipment and equipment located over food contact equipment shall be lubricated with food-grade lubricant, and its use shall be controlled to minimize the contamination of the product.	Minor	The site did not meet the requirement based on 1) Over greased gear bearing was observed on Front Sorter Outfeed Belt. No direct production contamination was observed.
11.2.1.8		Paint used in a food handling or processing area shall be suitable for use, in good condition, and not be used on any product contact surfaces.	Compliant	
			Summary	Site has a documented and implemented Maintenance Program and Maintenance Equipment Schedule reviewed on 10/20/2022. The program is organized by daily, weekly or monthly maintenance tasks with completed forms stored in the maintenance office and on the Maintenance Managers. Maintenance Manager are responsible for all equipment and facility repairs. Repairs are generated on a monthly and as needed basis. Maintenance staff follow food safety and hygiene practices as discussed through interview with the Maintenance Manager. The Maintenance Schedule covers critical areas of the facility and equipment. No paint was observed on product contact surfaces. Food grade lubricants were observed to be locked in a dispensary cabinet in the maintenance shop. The maintenance records also indicate if the area has been cleaned and sanitized prior to use, and if all tools and parts have been accounted for. Completed maintenance records were reviewed for January 2023, February 2023, and March 2023 for Peelers, Stackers, Inline Equipment, and Refrigeration. Maintenance personnel are required to comply with the facility GMP's and was observed doing so during the walk-though. Hygienic policies are followed throughout the processing areas with regard to maintenance. Work Order Documents included; equipment ID, type of maintenance, deficiency, mechanic responsible for repair and completion date. Maintenance technicians observed in the packaging areas were properly clothed, including wearing hairnets and disposable gloves. When repairs and maintenance are complete, maintenance personnel remove all tools and debris and notify a Supervisor. Appropriate cleaning and pre-operational inspections are carried out before resumption of operations by Quality Control.

Module 11 - 11.2.2 - Maintenance Staff and Contractors

Name	Mandatory	Description	Primary Response	Evidence
11.2.2.1		Maintenance staff and contractors shall comply with the site's personnel and process hygiene requirements (refer to 11.3).	Compliant	
11.2.2.2		All maintenance and other engineering contractors required to work on-site shall be trained in the site's food safety and hygiene procedures or shall be escorted at all times until their work is completed.	Compliant	
11.2.2.3		Maintenance staff and contractors shall remove all tools and debris from any maintenance activity once it has been completed, and inform the area supervisor and maintenance supervisor, so appropriate hygiene and sanitation can be conducted and a pre-operational inspection completed prior to the restarting of site operations.	Compliant	
			Summary	Site has a documented and implemented Maintenance Staff and Contractors Policy dated 10/20/2022. Maintenance and contractors are trained on GMPs annually. After repairs all tools and debris are removed from the area, maintenance supervision and quality control are notified. Equipment is inspected prior to use and must be free of debris, cleaned, and sanitized.

Module 11 - 11.2.3 - Calibration

Name	Mandatory	Description	Primary Response	Evidence
11.2.3.1		The methods and responsibility for calibration and re-calibration of measuring, testing, and inspection equipment used for monitoring activities outlined in prerequisite programs, food safety plans, and other process controls, or to demonstrate compliance with customer specifications, shall be documented and implemented. Software used for such activities shall be validated as appropriate.	Compliant	
11.2.3.2		Equipment shall be calibrated against national or international reference standards and methods or to an accuracy appropriate to its use. In cases where standards are not available, the site shall provide evidence to support the calibration reference method applied.	Compliant	
11.2.3.3		Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers' recommended schedule.	Compliant	
11.2.3.4		Procedures shall be documented and implemented to address the resolution of potentially affected products when measuring, testing, or inspection equipment is found to be out of calibration.	Compliant	
11.2.3.5		Calibrated measuring, testing, and inspection equipment shall be protected from damage and unauthorized adjustment or use.	Compliant	
11.2.3.6		A directory of measuring, testing, and inspection equipment that require calibration and records of the calibration tests shall be maintained.	Compliant	
			Summary	Site has a documented and implemented Calibration of Equipment Program dated 2/18/2023. Methods and responsibility are documented in the Plant Calibration Program in the Quality Manual. Thermometers, scales, probes, metal detectors, x-ray are calibrated. Shear Press calibrated on 3/14/2023 by PPT Group. Certificate of Conformity reviewed for metal detector wands current until 10/13/2027. All scales are calibrated annually by a certified scale company (Rochester Scale Works 8/30/2022). Thermometers are calibrated using ice bath method. Metal detectors are calibrated yearly by an outside contract service provider Mettler Toledo dated 10/11/2022. Certificate of Calibration dated 4/20/2022 for Juice Blanchard. Calibrated equipment is protected from damage and calibrated by QA and/or contracted professionals. Mettler Toledo performed the calibrations of the metal detectors and x-ray machine dated 10/11/2022. Next calibration due 10/11/2023. Calibration is conducted per regulatory requirement and recommended frequency. Calibration records are maintained by the Practitioner. Review performed on metal detector checks dated 1/11/2023, 2/8/2023, 3/8/2023. Auditor confirmed metal detector functionality on 3/21/2023 with a member of quality.

Module 11 - 11.2.4 - Pest Prevention

Name	Mandatory	Description	Primary Response	Evidence

11.2.4.1	A documented pest prevention program shall be effectively implemented. It shall: i. Describe the methods and responsibility for the development, implementation, and maintenance of the pest prevention program; ii. Record pest sightings and trend the frequency of pest activity to target pesticide applications; iii. Outline the methods used to prevent pest problems; iv. Outline the pest elimination methods and the appropriate documentation for each inspection; v. Outline the frequency with which pest status is to be checked; vi. Include the identification, location, number, and type of applied pest control/monitoring devices on a site map; vii. List the chemicals used. The chemicals are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available; viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come into contact with a bait station; ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and x. Measure the effectiveness of the program to verify the elimination of applicable pests and to identify trends.	Compliant	
11.2.4.2	Pest contractors and/or internal pest controllers shall: i. Be licensed and approved by the local relevant authority; ii. Use only trained and qualified operators, who comply with regulatory requirements; iii. Use only approved chemicals; iv. Provide a pest prevention plan (refer to 2.3.2.8), which includes a site map, indicating the location of bait stations traps and other applicable pest control/monitoring devices; v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments; vi. Provide regular inspections for pest activity with appropriate action taken if pests are present, and vii. Provide a written report of their findings and the inspections and treatments applied.	Compliant	
11.2.4.3	Pest activity risks shall be analyzed and recorded. Inspections for pest activity shall be conducted on a regular basis by trained site personnel and the appropriate action taken if pests are present. Identified pest activity shall not present a risk of contamination to food products, raw materials, or packaging.	Compliant	
11.2.4.4	Records of all pest control inspections and applications shall be maintained. Food products, raw materials, or packaging that are found to be contaminated by pest activity shall be effectively disposed of, and the source of pest infestation shall be investigated and resolved. Records shall be kept of the disposal, investigation, and resolution.	Compliant	
11.2.4.5	Pesticides shall be clearly labeled and stored per 11.6.4 if kept on-site.	Not Applicable	Pesticides are not stored on site.
11.2.4.6	No animals shall be permitted on-site in food handling and storage areas.	Compliant	
	Summary		Site has a documented and implemented Pest Prevention Program dated 11/8/2022. Pest management is contracted through Orkin for monthly service of exterior rodents stations. Weekly service for interior rodent stations and insect light traps. The service agreement is dated 1/1/2023. Methods for pest management are documented throughout the Rentokil Scope of Service. Target pests include cockroaches, rats, mice, and common structure infesting ants. The pest control schematic was last signed and verified on 10/3/2022 to include 86 exterior stations, 107 interior stations, and 18 ILTs. Stations were well maintained and contained bait for pest control. Certificate of Liability Insurance was current dated 10/1/2023. Business License #00468 was current 8/31/2023. An approved chemical list is on file with corresponding SDS on file. Monthly trending is conducted for interior and exterior activity and results are reviewed with the Practitioner. Review performed on the trend reports dated January 2023, February 2023, and March 2023. Service reports were reviewed dated 1/2/2/2023, and 3/9/2023. Employee awareness is documented in the GMP program for bait touching and hand washing if contact is made with bait. Monthly inspections are completed by a trained Rentokil professional. Approved chemical list last updated on 2023. Records of applications and findings are maintained within the service reports. Rentokil contractor licensing #C8820943 is current 12/21/2025 and the technician reports to the QA department upon entry into the facility. SDS for Contrac Blox were reviewed. Pesticides and empty containers are not stored or handled on site.

Module 11 - 11.2.5 - Cleaning and Sanitation

Name	Mandatory	Description	Primary Response	Evidence

11.2.5.1	The methods and responsibility for the effective cleaning of the food handling and processing equipment and environment and storage areas shall be documented and implemented. Consideration shall be given to: i. What is to be cleaned; ii. How it is to be cleaned; iii. When it is to be cleaned; iv. Who is responsible for the cleaning; v. Validation of the cleaning procedures for food contact surfaces (including CIP); vi. Methods used to confirm the correct concentrations of detergents and sanitizers; and vii. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.	Compliant	
11.2.5.2	Detergents and sanitizers shall be suitable for use in a food manufacturing environment, labeled according to regulatory requirements, and purchased in accordance with applicable legislation. The organization shall ensure: i. The site maintains a list of chemicals approved for use; ii. An inventory of all purchased and used chemicals is maintained; iii. Detergents and sanitizers are stored as outlined in element 11.6.4; iv. Safety Data Sheets (SDS) are provided for all detergents and sanitizers purchased; and v. Only trained staff handle sanitizers and detergents.	Compliant	
11.2.5.3	Detergents and sanitizers that have been mixed for use shall be correctly mixed according to the manufacturers' instructions, stored in containers that are suitable for use, and clearly identified. Mix concentrations shall be verified and records maintained.	Compliant	
11.2.5.4	Cleaning-in-place (CIP) systems, where used, shall not pose a chemical contamination risk to raw materials, ingredients, or product. CIP parameters critical to assuring effective cleaning shall be defined, monitored, and recorded (e.g., chemical and concentration used, contact time, and temperature). CIP equipment, including spray balls, shall be maintained, and any modifications to CIP equipment shall be validated. Personnel engaged in CIP activities shall be effectively trained.	Compliant	
11.2.5.5	Cleaning equipment, tools, racks, and other items used in support of the cleaning and sanitizing program shall be clearly identified, stored, and maintained in a manner that prevents contamination of processing areas, product handling equipment, and storage areas as well as the tools themselves.	Compliant	
11.2.5.6	Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards, and other utensils used by staff. The areas for these cleaning operations shall be controlled so they do not interfere with manufacturing operations, equipment, or product. Racks and containers for storing cleaned utensils shall be provided as required.	Compliant	
11.2.5.7	Pre-operational inspections shall be conducted following cleaning and sanitation operations to ensure food processing areas, product contact surfaces, equipment, staff amenities, sanitary facilities, and other essential areas are clean before the start of production. Pre-operational inspections shall be conducted by qualified personnel.	Compliant	
11.2.5.8	Staff amenities, sanitary facilities, and other essential areas shall be inspected by qualified personnel at a defined frequency to ensure the areas are clean.	Compliant	
11.2.5.9	The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared. A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.	Compliant	
		Summary	Site has a documented and implemented Preoperational Cleaning and Sanitation Program dated 11/8/2022. Procedures are in place to include all equipment, areas, and utensils. Methods include how, why, when, and who is responsible for cleaning. The cleaning of processing equipment and utensils was effective. Cleaning is conducted in the processing areas after processing is complete. Pre-operational inspections are completed daily by sanitation employee, sanitation manager, and QC. Pre-operational inspection personnel received training in 2022. Daily visual pre-operational verifications are performed by Cahoon Farms QA employees. Review performed on weekly ATP swabs of food contact surfaces are conducted during the pre-operation inspections through use of a Charm Novalum test unit for January 2023 and February 2023. Detergents were suitable for use with letters of guarantee on file. Chemical titrations are performed monthly by Dubois and inventories are tracked through the dispensing system. Review performed on chemical training performed 9/15/2022. Review performed on Sanitation Documents for 2023, Master Sanitation Schedules for 2023, Chemical Logs dated 2023, and Titration Logs for Detergent, Quel Acid Foam for 2023. No issues were noted with these documents. Empty chemical containers are refilled by the chemical supplier. Pre-operational inspection records are retained and were reviewed for January 2023 and February 2023. Review performed on SDS for Hi Alk NP, Quel Alk Foam, Quel Acid CIP.

Module 11 - 11.3.1 - Personnel Welfare

Name	Mandatory	Description	Primary Response	Evidence

11.3.1.1		Personnel who are known to be carriers of infectious diseases that present a health risk to others through the packing or storage processes shall not engage in the processing or packing of food or enter storage areas where food is exposed. Code Amendment #1 A medical screening procedure shall be in place for all employees, visitors and contractors who handle exposed product or food contact surfaces.	Compliant	
11.3.1.2		The site shall have measures in place to prevent contact of materials, ingredients, food packaging, food, or food contact surfaces from any bodily fluids, open wounds, coughing, sneezing, spitting, or any other means. In the event of an injury that causes the spillage of bodily fluid, a properly trained staff member shall ensure that all affected areas, including handling and processing areas, have been adequately cleaned, and that all materials and products have been quarantined and/or disposed of.	Compliant	
11.3.1.3		Personnel with exposed cuts, sores, or lesions shall not engage in handling or processing exposed products or handling primary (food contact) packaging or touching food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a colored, metal-detectable bandage or an alternative suitable waterproof and colored dressing.	Compliant	
			Summary	Site has a documented Personnel Hygiene policy dated 11/11/2022. No potentially infectious personnel or personnel with exposed cuts, sores, or lesions were observed. No evidence of smoking, eating, or drinking in food processing and handling areas was observed. Blood spillage procedures and training are in place for personnel responsible for managing such incidents. Site has a documented Personnel Hygiene Risk Assessment dated 2/15/2023.

Module 11 - 11.3.2 - Handwashing

Name	Mandatory	Description	Primary Response	Evidence
11.3.2.1		All personnel shall have clean hands, and hands shall be washed by all staff, contractors, and visitors: i. On entering food handling or processing areas; ii. After each visit to a toilet; iii. After using a handkerchief; iv. After smoking, eating, or drinking; and v. After handling wash down hoses, cleaning materials, dropped product, or contaminated material.	Compliant	
11.3.2.2		Handwashing stations shall be provided adjacent to all personnel access points and in accessible locations throughout food handling and processing areas as required.	Compliant	
11.3.2.3		Handwashing stations shall be constructed of stainless steel or similar non-corrosive material and at a minimum supplied with: i. A potable water supply at an appropriate temperature; ii. Liquid soap contained within a fixed dispenser; iii. Paper towels in a hands-free cleanable dispenser; and iv. A means of containing used paper towels.	Compliant	
11.3.2.4		The following additional facilities shall be provided in high-risk areas: i. Hands-free operated taps; and ii. Hand sanitizers.	Compliant	
11.3.2.5		Signage in appropriate languages instructing people to wash their hands before entering the food processing areas shall be provided in a prominent position in break rooms, at break room exits, toilet rooms, and in outside eating areas, as applicable.	Compliant	
11.3.2.6		When gloves are used, personnel shall maintain the handwashing practices outlined above.	Compliant	
			Summary	Hand wash stations are accessible to all employees. Hand wash basins are available for staff, contractors, and visitors. Hand wash stations were clean and equipped with potable water, liquid soap contained in fixed dispenser, paper towel and receptacle for used paper towels. Hand wash stations are constructed of stainless steel. There is sign near hand wash stations instructing people to wash their hands (English/Spanish). Signs for hand washing after break and toilet use are posted near hand wash stations and toilet doors. Potable water supply and with appropriate temperature (100*F)for each hand wash basin was observed and confirmed. Employees were observed washing their hands after break and toilet use. Employees were observed washing hands after any incompatible activity such as handling mat, touching dirty surface or equipment, handling wash down hoses, dropped product or contaminated material, smoking, eating and touching anything dirty. All plant employees, contractors and visitors follow plant hand washing policy. The employees were observed following proper hand washing procedures.

Module 11 - 11.3.3 - Clothing and Personal Effects

Name	Mandatory	Description	Primary Response	Evidence
11.3.3.1		The site shall undertake a risk analysis to ensure that the clothing and hair policy protects materials, food, and food contact surfaces from unintentional microbiological or physical contamination.	Compliant	
11.3.3.2		Clothing worn by staff engaged in handling food shall be maintained, stored, laundered, and worn so it does not present a contamination risk to products.	Compliant	
11.3.3.3		Clothing, including shoes, shall be clean at the start of each shift and maintained in a serviceable condition.	Compliant	
11.3.3.4		Excessively soiled uniforms shall be changed or replaced when they present a product contamination risk.	Compliant	
11.3.3.5		Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area, and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area or in designated sealed containers in personnel lockers. They should not be placed or stored on packaging, ingredients, product, or equipment.	Compliant	
11.3.3.6		Protective clothing shall be manufactured from material that will not pose a food safety threat and is easily cleaned. All protective clothing shall be cleaned after use, or at a frequency to control contamination, and stored in a clean and serviceable condition to prevent microbiological or cross-contact allergen contamination.	Compliant	
11.3.3.7		Racks shall be provided for the temporary storage of protective clothing when staff leave the processing area and shall be provided nearby or adjacent to the personnel access doorways and handwashing facilities.	Compliant	
11.3.3.8		Jewelry and other loose objects shall not be worn or taken into a food handling or processing operation or into any area where food is exposed. Wearing plain bands with no stones, prescribed medical alert bracelets, or jewelry accepted for religious or cultural reasons can be permitted, provided these items are properly covered and do not pose a food safety risk. All exceptions shall meet regulatory and customer requirements and shall be subject to a risk assessment and evidence of ongoing risk management.	Compliant	
			Summary	Clothing was properly cleaned and maintained. Protective shoe covers, smocks, sleeves, and gloves were worn in processing areas. Personnel change into clean smocks when soiled and change disposable gloves and aprons after each break. Jewelry and other loose objects were not observed in the production areas.

Module 11 - 11.3.4 - Visitors

Name	Mandatory	Description	Primary Response	Evidence
11.3.4.1		All visitors shall be trained in the site's food safety and hygiene procedures before entering any food processing and handling areas or shall be escorted at all times in food processing, handling, and storage areas.	Compliant	
11.3.4.2		All visitors, including management staff, shall be required to remove jewelry and other loose objects in accordance with the facilities Good Manufacturing Practices and 11.3.3.8. All visitors shall wear suitable clothing and footwear when entering any food processing and handling area.	Compliant	
11.3.4.3		Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled and processed.	Compliant	
11.3.4.4		Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all handwashing and personnel practice requirements.	Compliant	
			Summary	Visitors were required to wear appropriate footwear, hair nets, and smocks prior to entering processing areas. Visitors will be escorted at all times. Jewelry was not permitted in processing areas. No visibly ill visitors were observed. Visitors were required to enter and exit through designated staff entrance points and follow all hygiene practices. Auditor was required to show identification, sign in/out prior to entry.

Module 11 - 11.3.5 - Staff Amenities (change rooms, toilet, break rooms)

Name	Mandatory	Description	Primary Response	Evidence
11.3.5.1		Staff amenities shall have documented cleaning procedures, be supplied with appropriate lighting and ventilation, and shall be made available for use by all persons engaged in the handling and processing of product.	Compliant	

11.3.5.2	Change rooms shall be provided to enable staff and visitors to change into and out of protective clothing as required. Change rooms shall be kept clean.	Compliant	
11.3.5.3	High-risk change areas shall be provided for staff engaged in the processing of high-risk foods or processing operations in which clothing can be soiled.	Not Applicable	Site does not produce high risk products.
11.3.5.4	Provision shall be made for staff to store their street clothing and personal items separate from clean uniforms, food contact zones, food, and packaging storage areas.	Compliant	
11.3.5.5	Where required, a sufficient number of showers shall be provided for use by staff.	Not Applicable	Showers are not required.
11.3.5.6	Toilet rooms shall be: i. Designed and constructed so that they are accessible to staff and separate from any processing and food handling operations; ii. Accessed from the processing area via an airlock vented to the exterior or through an adjoining room; iii. Sufficient in number for the maximum number of staff; iv. Constructed so that they can be easily cleaned and maintained; v. Located inside or nearby areas for storing protective clothing, outer garments, and other items while using the facilities; and vi. Kept clean and tidy. Tools/equipment used for cleaning toilet rooms shall not be used to clean processing areas.	Compliant	
11.3.5.7	Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system in accordance with regulations.	Compliant	
11.3.5.8	Handwashing basins shall be provided immediately outside or inside the toilet room and designed as outlined in 11.3.2.3.	Compliant	
11.3.5.9	Separate break rooms shall be provided away from food contact/handling zones. Break rooms shall be: i. Ventilated and well lit; ii. Provided with adequate tables and seating to cater for the maximum number of staff at one sitting; iii. Equipped with a sink serviced with hot and cold potable water for washing utensils; iv. Equipped with refrigeration and heating facilities, enabling staff to store or heat food and to prepare non-alcoholic beverages if required; and v. Kept clean and free from waste materials and pests.	Compliant	
11.3.5.10	Where outside eating areas are provided, they should be kept clean and free from waste materials and maintained in a manner that minimizes the potential for the introduction of contamination, including pests to the site.	Not Applicable	Outside eating areas are not available.
		Summary	Staff amenities were adequately lit and ventilated. Change areas were available for personnel and visitors to change into and out of protective clothing. Locker rooms were available for all personnel prior to entering the break area. Showers were not available. Products produced are not high risk. Toilet rooms were separate from processing areas, appropriate for the number of personnel, and easily cleanable. Sanitary drainage connections were not observed leading to processing drains. Hand wash basins were available in toilet areas and appropriately equipped with required supplies and 100*F water. Break areas are separate from processing rooms. Outside eating areas are not available.

Module 11 - 11.4.1 - Staff Engaged in Food Handling and Processing Operations

Name	Mandatory	Description	Primary Response	Evidence
11.4.1.1		All personnel engaged in any food handling, preparation, or processing operations shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination. They shall comply with the following processing practices: i. Personnel entry to processing areas shall be through the personnel access doors only; ii. All doors are to be kept closed. Doors shall not be open for extended periods when access is required for waste removal or receiving of product/ingredient/packaging; iii. Packaging, product, and ingredients shall be kept in appropriate containers as required and off the floor; iv. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate; and v. All wash down and compressed air hoses shall be stored on hose racks after use and not left on the floor.	Compliant	

11.4.1.2		Personnel working in or visiting food handling or processing operations shall ensure that: i. Staff shall not eat or taste any product being processed in the food handling/contact zones, except as noted in element 11.4.1.4; ii. The wearing of false fingernails, false eyelashes, eyelash extensions, long nails, or fingernail polish is not permitted when handling exposed food; iii. Hair restraints and beard covers, where applicable, shall be used in areas where product is exposed. iv. Smoking, chewing, eating, or spitting is not permitted in areas where product is produced, stored, or otherwise exposed. v. Drinking water is permissible only under conditions that prevent contamination or other food safety risks from occurring. Drinking water containers in production and storage areas shall be stored in clear, covered containers, and in designated areas away from raw materials, packaging, tools, or equipment storage.	Compliant	
11.4.1.3		The flow of personnel in food processing and handling areas shall be managed such that the potential for contamination is minimized.	Compliant	
11.4.1.4		In circumstances where it is necessary to undertake sensory evaluations in a food handling/contact zone, the site shall implement controls and procedures to ensure: i. Food safety is not compromised; ii. Sensory evaluations are conducted by authorized personnel only; iii. A high standard of personal hygiene is practiced by personnel conducting sensory evaluations; iv. Sensory evaluations are conducted in areas equipped for the purpose; and v. Equipment used for sensory evaluations is sanitized, maintained, and stored separately from processing equipment.	Not Applicable	Sensory evaluations are not performed.
			Summary	Personnel were observed using self-closing personnel access doors, washing hands upon entering processing areas, and following proper hygiene requirements. Flow of personnel did not pose a food safety risk. No sensory evaluations are conducted.

Module 11 - 11.5.1 - Water Supply

Name	Mandatory	Description	Primary Response	Evidence
11.5.1.1		Adequate supplies of potable water drawn from a known clean source shall be provided for water used as an ingredient during processing operations and for cleaning the premises and equipment. The source of potable water shall be identified as well as on-site storage (if applicable) and reticulation within the facility.	Compliant	
11.5.1.2		Contingency plans shall be in place for instances when the potable water supply is deemed to be contaminated or otherwise inappropriate for use.	Compliant	
11.5.1.3		Supplies of hot and cold water shall be provided, as required, to enable the effective cleaning of the premises and equipment.	Compliant	
11.5.1.4		The delivery of water within the premises shall ensure potable water is not contaminated. Testing of the backflow system, where possible, shall be conducted at least annually and records shall be maintained.	Compliant	
11.5.1.5		The use of non-potable water shall be controlled such that: i. There is no cross-contamination between potable and non-potable water lines; ii. Non-potable water piping and outlets are clearly identified; and iii. Hoses, taps, and other similar sources of possible contamination are designed to prevent backflow or back-siphonage.	Compliant	
11.5.1.6		Where water is stored on-site, storage facilities shall be adequately designed, constructed, and routinely cleaned to prevent contamination.	Compliant	
			Summary	Facility water supply is spring fed. If water is deemed non potable or contaminated, water will be used from the city of Huron. Site has an adequate supply of hot and cold potable water. Water is stored in an Aqua Store (50k to 75k gallons stored). Review performed on Microbiological Lab Report from ALS Environmental dated 1/30/2022, 2/1/2023, and 3/9/2023. Test negative for Total coliforms and E coli. Review performed on SDWIS/State Water Sample Schedule Report New York State Department of Health dated 1/26/2023. Cahoon Farms potable water is protected from contamination with an air-gap as backflow prevention device. System is in compliance with the DOH requirements, System has an 8" diameter infeed pipe to potable water tank with an air gap of 18" from the bottom of the in-feed pipe to the top of the tank overflow pipe.

Module 11 - 11.5.2 - Water Treatment

Name	Mandatory	Description	Primary Response	Evidence

11.5.2.1		Water treatment methods, equipment, and materials, if required, shall be designed, installed, and operated to ensure water receives effective treatment.	Compliant	
11.5.2.2		Water treatment equipment shall be monitored regularly to ensure it remains serviceable. Water used as an ingredient in processing or for cleaning and sanitizing equipment shall be tested and, if required, treated to maintain potability (refer to 11.5.2.1).	Compliant	
11.5.2.3		Treated water shall be regularly monitored to ensure it meets the specified indicators. Water treatment chemicals usage shall be monitored to ensure chemical residues are within acceptable limits. Records of testing results shall be kept.	Compliant	
			Summary	The water treatment is performed by the site using PAA for when cherries are processed. At the time of the audit, the site was using chlorine. Review performed on Chlorine Usage Log dated February 2023. Log identifies gallons of water used, amount of chlorine used, free chlorine residual, and turbidity.

Module 11 - 11.5.3 - Water Quality

Name	Mandatory	Description	Primary Response	Evidence
11.5.3.1		Water shall comply with local, national, or internationally recognized potable water microbiological and quality standards, as required when used for: i. Washing, thawing, and treating food; ii. Handwashing; iii. Conveying food; iv. An ingredient or food processing aid; v. Cleaning food contact surfaces and equipment; vi. The manufacture of ice; or vii. The manufacture of steam that will come into contact with food or be used to heat water that will come into contact with food.	Compliant	
11.5.3.2		Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities, and the effectiveness of the treatment measures implemented. Samples for analysis shall be taken at sources supplying water for the process or cleaning or from within the site. The frequency of analysis shall be risk-based and at a minimum annually.	Not Applicable	Ice is not used by the site.
11.5.3.3		Water and ice shall be analyzed using reference standards and methods.	Not Applicable	Ice is not used by the site.
			Summary	Facility water supply is spring fed. If water is deemed non potable or contaminated, water will be used from the city of Huron. Site has an adequate supply of hot and cold potable water. Water is stored in an Aqua Store (50k to 75k gallons stored). Review performed on Microbiological Lab Report from ALS Environmental dated 1/30/2022, 2/1/2023, and 3/9/2023. Test negative for Total coliforms and E coli. Review performed on SDWIS/State Water Sample Schedule Report New York State Department of Health dated 1/26/2023. Ice is not used by the site.

Module 11 - 11.5.4 - Ice Supply

Name	Mandatory	Description	Primary Response	Evidence
11.5.4.1		Ice provided for use during processing operations, as a processing aid, or an ingredient shall comply with 11.5.3.1.	Not Applicable	Ice is not used by the site.
11.5.4.2		Ice that is purchased shall be from an approved supplier and included in the site's food safety risk assessment. Ice shall be supplied in containers that are appropriate for use, cleanable if reused, and tested as appropriate.	Not Applicable	Ice is not used by the site.
11.5.4.3		Ice rooms and receptacles shall be constructed of materials as outlined in element 11.1.2 and designed to minimize contamination of the ice during storage, retrieval, and distribution.	Not Applicable	Ice is not used by the site.
			Summary	Ice is not used by the site.

Module 11 - 11.5.5 - Air and Other Gasses

Name	Mandatory	Description	Primary Response	Evidence
11.5.5.1		Compressed air or other gases (e.g., nitrogen or carbon dioxide) that contact food or food contact surfaces shall be clean and present no risk to food safety.	Minor	The site did not meet the requirement based on 1) Test results of the compressed air used for the apple sorters were not available for the auditor to review.
11.5.5.2		Compressed air systems and systems used to store or dispense other gases that come into contact with food or food contact surfaces shall be maintained and regularly monitored for quality and applicable food safety hazards. The frequency of analysis shall be risk-based and at a minimum annually.	Compliant	

Summary	Site has a documented Water, Ice, and Air Supply policy dated 1/25/2023. Review performed on Air Plate Micro Test Results dated January 2023, February 2023, and March 2023. **Minor: The site did not meet the requirement based on 1) Test results of the compressed air used for the apple sorters were not available for the auditor to review.**

Module 11 - 11.6.1 - Receipt, Storage and Handling of Goods

Name	Mandatory	Description	Primary Response	Evidence
11.6.1.1		The site shall document and implement an effective storage plan that allows for the safe, hygienic receipt and storage of raw materials (i.e., frozen, chilled, and ambient), ingredients, packaging, equipment, and chemicals.	Compliant	
11.6.1.2		Controls shall be in place to ensure all ingredients, raw materials, processing aids, and packaging are received and stored properly to prevent cross-contamination risks. Unprocessed raw materials shall be received and stored separately from processed raw materials to avoid cross-contamination risk.	Compliant	
11.6.1.3		The responsibility and methods for ensuring effective stock rotation principles shall be documented and implemented.	Compliant	
11.6.1.4		Procedures shall be in place to ensure that all ingredients, materials, work- in-progress, rework, and finished product are utilized within their designated shelf-life.	Compliant	
11.6.1.5		Where raw materials, ingredients, packaging, equipment, and chemicals are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there are no risks to the integrity of those goods, no potential for contamination or adverse effect on food safety.	Compliant	
11.6.1.6		Records shall be available to verify the effectiveness of alternate or temporary control measures for the storage of raw materials, ingredients, packaging, equipment, chemicals, or finished products.	Compliant	
			Summary	Site has a documented and implemented Procedure for Storage and Transport of Goods dated 11/15/2022. Storage plans are in place for refrigerated and dry storage areas. Stock is rotated according to FIFO methods and use of color coded liners. Site does not use temporary storage. Coolers temperatures are dependent on products produced. 0*F for frozen products and 30*F for refrigerated products. Processing areas were observed to be ambient during the walk through. Dry storage areas were observed to be well maintained during the walk through. Production documents and HACCP records reviewed dated 1/11/2023, 2/8/2023, and 3/8/2023. Site performs quarterly inspection of off-site storage warehouse. Documents reviewed dated 5/20/2022, 9/28/2022, and 3/10/2023.

Module 11 - 11.6.2 - Cold Storage, Freezing and Chilling of Foods

Name	Mandatory	Description	Primary Response	Evidence
11.6.2.1		The site shall provide confirmation of the effective operational performance of freezing, chilling, and cold storage facilities. Chillers, blast freezers, and cold storage rooms shall be designed and constructed to allow for the hygienic and efficient refrigeration of food and be easily accessible for inspection and cleaning.	Compliant	
11.6.2.2		Sufficient refrigeration capacity shall be available to chill, freeze, store chilled, or store frozen the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.	Compliant	
11.6.2.3		The site shall have a written procedure for monitoring temperatures, including the frequency of checks, and corrective actions, if the temperature is out of specification. Freezing, chilling, and cold storage rooms shall be fitted with temperature monitoring equipment that is located to monitor the warmest part of the room and be fitted with a temperature measurement device that is easily readable and accessible. Records shall be kept of frozen, cold, and chilled storage room temperatures.	Compliant	
11.6.2.4		Discharge from defrost and condensate lines shall be controlled and discharged into the drainage system.	Compliant	
			Summary	Site has a documented and implemented Storage Temperature Monitoring and Trending Policy dated 9/23/2022. Cold storage areas are physically monitored daily, properly designed, and easily accessible for cleaning and inspection. A continuous monitoring system is in use for 24 hour monitoring using RS View software application. Sufficient refrigeration capacity was observed. No discharge was observed in cold storage areas. Temperature monitoring equipment was located in each temperature controlled room. Docks were properly designed and temperature controlled for product protection. Temperature records from February 2023 and 3/22/2023 were reviewed. IQF and blast frozen products should be maintained at 0*F or below. Raw fruit and fresh product should be maintained between 33*F and 42*F. processing areas were observed to be 40*F and below on 3/1/2023.

Module 11 - 11.6.3 - Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods

Name	Mandatory	Description	Primary Response	Evidence
11.6.3.1		Rooms used for the storage of product ingredients, packaging, and other dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration and prevent packaging from becoming a harborage for pests or vermin.	Compliant	
11.6.3.2		Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning and inspection of the floors and behind the racks. Storage areas shall be cleaned at a pre-determined frequency.	Compliant	
			Summary	Site has a documented and implemented Storage of Ingredients, Packaging and Finished Goods Policy dated 9/23/2022. Product, ingredient, and packaging rooms were located away from wet processing areas. Dry storage racking was easily cleanable and contained no pests.

Module 11 - 11.6.4 - Storage of Hazardous Chemicals and Toxic Substances

Name	Mandatory	Description	Primary Response	Evidence
11.6.4.1		Hazardous chemicals and toxic substances with the potential for food contamination shall be: i. Clearly labeled, identifying and matching the contents of their containers; ii. Included in a current register of all hazardous chemicals and toxic substances that are stored on-site; and iii. Supplemented with current Safety Data Sheets (SDS) made available to all staff.	Compliant	
11.6.4.2		Storage of hazardous chemicals and toxic substances shall be: i. Located in an area with appropriate signage indicating that the area is for hazardous storage; ii. Controlled, lockable, and accessible only by personnel trained in the storage and use of chemicals; iii. Adequately ventilated; iv. Stored where intended and not comingled (e.g., food versus non-food grade); v. Designed such that pesticides, rodenticides, fumigants, and insecticides are stored separately from sanitizers and detergents; and vi. Stored in a manner that prevents a hazard to finished product or product contact surfaces. Processing utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.	Minor	The site did not meet the requirement based on 1) Propane tanks were observed stored unsecure during the exterior walk of the facility.
11.6.4.3		Hazardous chemicals and toxic substances shall be correctly labeled and: i. Used only according to manufacturers' instructions; ii. Controlled to prevent contamination or a hazard to raw and packaging material, work-inprogress, finished product, or product contact surfaces; iii. Returned to the appropriate storage areas after use; and iv. Be compliant with national and local legislation.	Compliant	
11.6.4.4		Daily supplies of chemicals used for continuous sanitizing of water, as a processing aid, or for emergency cleaning of food processing equipment and surfaces in food contact zones may be stored within or in close proximity to a processing area, provided that access to the chemical storage facility is restricted to only authorized personnel.	Compliant	
11.6.4.5		Personnel who handle hazardous chemicals and toxic substances, including pesticides and cleaning chemicals,: i. Shall be fully trained in the purpose of the hazardous chemicals and toxic substances, their storage, handling, and use; ii. Be provided first aid equipment and personnel protective equipment (PPE); and iii. Ensure compliance with the proper identification, storage, usage, disposal, and clean-up requirements.	Compliant	
11.6.4.6		The site shall dispose of empty, obsolete, and unused chemicals, pesticides, toxic substances, and containers in accordance with requirements and ensure that primary containers are: i. Not reused; ii. Segregated and securely stored prior to collection; and iii. Disposed through an approved vendor.	Compliant	
11.6.4.7		In the event of a hazardous spill, the site shall: i. Have spillage clean-up instructions to ensure that the spill is properly contained; and ii. Be equipped with PPE, spillage kits, and cleaning equipment.	Compliant	

			Summary	Site has a documented and implemented Chemicals and Toxic Substances Policy dated 9/22/2022. All chemicals are clearly identified and labeled properly. Utensils and packaging were not stored near hazardous chemicals and daily supplies of chemicals did not pose a hazard to food products. All chemicals are pumped into designated containers by the chemical supplier. Hazardous chemicals were stored in properly identified, secured, and supplied with inventories. All employees handling hazardous chemicals are trained, provided PPE, and monitor labeling, storage, usage, disposal, and cleanup requirements. **Minor: The site did not meet the requirement based on 1) Propane tanks were observed stored unsecure during the exterior walk of the facility.**

Module 11 - 11.6.5 - Loading, Transport, and Unloading Practices

Name	Mandatory	Description	Primary Response	Evidence
11.6.5.1		The practices applied during loading, transport, and unloading of food shall be documented, implemented, and designed to maintain appropriate storage conditions and product integrity. Foods shall be loaded, transported, and unloaded under conditions suitable to prevent cross-contamination.	Compliant	
11.6.5.2		Vehicles (e.g., trucks/vans/containers) used for transporting food within the site and from the site shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose, and free from odors or other conditions that may impact negatively on the product.	Compliant	
11.6.5.3		Vehicles (e.g., trucks/vans/containers) shall be secured from tampering using seals or other agreed-upon and acceptable devices or systems.	Compliant	
11.6.5.4		Loading and unloading docks shall be designed to protect the product during loading and unloading. Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product and package integrity during loading and transport.	Compliant	
11.6.5.5		Refrigerated units shall maintain the product at the required temperature. The unit's temperature settings shall be set, checked, and recorded before loading, and the product temperature shall be recorded at regular intervals during loading, as applicable.	Compliant	
11.6.5.6		The refrigeration unit shall be operational at all times and checks completed of the unit's operation, the door seals, and the storage temperature at regular intervals during transit.	Compliant	
11.6.5.7		On arrival, prior to opening the doors, the food transport vehicle's refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently, and product temperatures shall be recorded at the start of unloading and regular intervals during unloading.	Compliant	
11.6.5.8		Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product and package integrity.	Compliant	
			Summary	Site has a documented and implemented Loading, Transport, and Unloading Policy dated 9/22/2022. Loading methods include pre-cooling and inspection of trailers prior to loading product. Product is staged is in refrigerated areas. Trailers are sealed prior to leaving the facility and drivers stop at the guard shack where trailer seals and documentation are verified. Unloading procedures include checking reefer settings and seals.

Module 11 - 11.7.1 - High-Risk Processes

Name	Mandatory	Description	Primary Response	Evidence
11.7.1.1		The processing of high-risk food shall be conducted under controlled conditions, such that sensitive areas, in which the high-risk food has undergone a "kill" step, a "food safety intervention" or is subject to post-process handling, are protected/segregated from other processes, raw materials, or staff who handle raw materials, to ensure cross-contamination is minimized.	Not Applicable	Site does not produce high risks products.
11.7.1.2		Ambient air in high-risk areas shall be tested at least annually to confirm that it does not pose a risk to food safety.	Not Applicable	Site does not produce high risks products.
11.7.1.3		Areas in which high-risk processes are conducted shall only be serviced by staff dedicated to that function.	Not Applicable	Site does not produce high risks products.
11.7.1.4		Staff engaged in high-risk areas shall change into clean clothing and footwear or temporary protective outerwear when entering high-risk areas. Staff access points shall be located, designed, and equipped to enable staff to change into the distinctive protective clothing and practice a high standard of personal hygiene to prevent product contamination.	Not Applicable	Site does not produce high risks products.
11.7.1.5		Product transfer points shall be located and designed, so they do not compromise high-risk segregation and minimize the risk of cross-contamination.	Not Applicable	Site does not produce high risks products.
			Summary	Site does not produce high risks products.

Module 11 - 11.7.2 - Thawing of Food

Name	Mandatory	Description	Primary Response	Evidence
11.7.2.1		Thawing of food shall be undertaken in equipment and rooms appropriate for the purpose. Equipment for water thawing shall be continuous flow to ensure the water exchange rate and temperature do not contribute to product deterioration or contamination. Water overflow shall be directed into the floor drainage system and not onto the floor or shall be appropriately plumbed.	Not Applicable	Site does not thaw or temper products.
11.7.2.2		Air thawing facilities shall be designed to thaw food under controlled conditions at a rate and temperature that does not contribute to product deterioration or contamination.	Not Applicable	Site does not thaw or temper products.
11.7.2.3		Provision is to be made for the containment and regular disposal of used cartons and packaging from thawed product so that there is no risk to the product.	Not Applicable	Site does not thaw or temper products.
			Summary	Site does not thaw or temper products.

Module 11 - 11.7.3 - Control of Foreign Matter Contamination

Name	Mandatory	Description	Primary Response	Evidence
11.7.3.1		The responsibility and methods used to prevent foreign matter contamination of the product shall be documented, implemented, and communicated to all staff. Inspections shall be performed (refer to 2.5.4.3) to ensure plant and equipment remain in good condition and equipment has not become detached or deteriorated and is free from potential contaminants.	Compliant	
11.7.3.2		Containers, equipment, and other utensils made of glass, porcelain, ceramics, laboratory glassware, or other similar materials shall not be permitted in food processing /contact zones (except where the product is contained in packaging made from these materials, or measurement instruments with glass dial covers are used, or MIG thermometers are required under regulation). Where glass objects or similar material are required in food handling/contact zones, they shall be listed in a glass inventory, including details of their location and condition.	Compliant	
11.7.3.3		Regular inspections of food handling/contact zones shall be conducted (refer to 2.5.4.3) to ensure they are free of glass or other like material and to establish changes to the condition of the objects listed in the glass inventory.	Compliant	
11.7.3.4		Glass instrument dial covers on processing equipment and MIG thermometers shall be inspected at the start of each shift to confirm they have not been damaged.	Compliant	
11.7.3.5		In circumstances where glass or similar material breakage occurs, the affected area shall be isolated, cleaned, thoroughly inspected (including cleaning equipment and footwear), and cleared by a suitably responsible person prior to the start of operations.	Compliant	
11.7.3.6		Wooden pallets and other wooden utensils used in food processing and handling areas shall be dedicated for that purpose, clean, and maintained in good order. Their condition shall be subject to regular inspection.	Compliant	
11.7.3.7		Loose metal objects on equipment, equipment covers, and overhead structures shall be removed or tightly fixed so as not to present a hazard.	Compliant	
11.7.3.8		Knives and cutting instruments used in processing and packaging operations shall be controlled, kept clean, and well maintained. Snap-off blades shall not be used in manufacturing or storage areas.	Compliant	
11.7.3.9		Gaskets, rubber impellers, and other equipment made of materials that can wear or deteriorate over time shall be inspected on a regular frequency (refer to 2.5.4.3).	Compliant	
			Summary	Site has a documented and implemented Control of Physical Contaminants dated 2/10/2023. All employees are responsible for reporting foreign material contamination. Inspections are done daily on all metal detection equipment. Temporary materials were not observed. Daily pre-operational inspections are performed and the PM program is maintained. The glass register is maintained and monitoring is completed on a monthly basis. Review performed on Glass and Plastics Inspections dated January 2023 and February 2023. Review performed on Metal Detector Checks dated 1/11/2023, 2/8/2023, and 3/8/2023. Wooden pallets were properly maintained and inspected at receipt. No loose metal objects were observed during the time of inspection. Site has a documented Knife Control policy dated 9/8/2022. Auditor confirmed metal detector performance with quality technician on 3/21/2023.

Module 11 - 11.7.4 - Detection of Foreign Objects

Name	Mandatory	Description	Primary Response	Evidence
11.7.4.1		The responsibility, methods, and frequency for monitoring, maintaining, calibrating, and using screens, sieves, filters, or other technologies to remove or detect foreign matter shall be documented and implemented.	Compliant	
11.7.4.2		Where detection and/or removal systems are used, the site shall establish limits for detection, based on a risk assessment of the product and its packaging, and identify the location(s) of the detector(s) in the process.	Compliant	
11.7.4.3		Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated, and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected.	Compliant	
11.7.4.4		Records shall be maintained of the inspection of foreign object detection devices, of any products rejected or removed by them, and of corrective and preventative actions resulting from the inspections.	Compliant	
11.7.4.5		In all cases of foreign matter contamination, the affected batch or item shall be isolated, inspected, reworked, or disposed of. Records shall be maintained of the disposition.	Compliant	
			Summary	Site has a documented and implemented Control of Physical Contaminants dated 2/10/2023. All employees are responsible for reporting foreign material contamination. Inspections are done daily on all metal detection equipment. Temporary materials were not observed. Daily pre-operational inspections are performed and the PM program is maintained. The glass register is maintained and monitoring is completed on a monthly basis. Review performed on Glass and Plastics Inspections dated January 2023 and February 2023. Review performed on Metal Detector Checks dated 1/20/2023, 2/8/2023, and 3/8/2023. Wooden pallets were properly maintained and inspected at receipt. No loose metal objects were observed during the time of inspection. Metal detectors wands used for IQF products are 3.0mm Ferrous, 3.5mm Non-Ferrous, 3.5mm Stainless Steel. Metal detector wands used for fresh product is 4.0mm Ferrous, 5.0mm Non-Ferrous, and 6.0mm Stainless Steel.

Module 11 - 11.8.1 - Waste Disposal

Name	Mandatory	Description	Primary Response	Evidence
11.8.1.1		The responsibility and methods used to collect and handle dry, wet, and liquid waste and how to store it prior to removal from the premises shall be documented and implemented.	Compliant	
11.8.1.2		Waste shall be removed on a regular basis and not allowed to build up in food handling or processing areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until external waste collection is undertaken.	Compliant	
11.8.1.3		Waste and overflow water from tubs, tanks, and other equipment shall be discharged directly to the floor drainage system or by an alternative method that meets local regulatory requirements.	Compliant	
11.8.1.4		Trolleys, vehicle waste disposal equipment, collection bins, and storage areas shall be maintained in a serviceable condition, cleaned, and sanitized regularly to prevent the attraction of pests and other vermin.	Compliant	
11.8.1.5		Adequate provision shall be made for the disposal of all solid processing waste, including trimmings, inedible material, and used packaging.	Compliant	
11.8.1.6		Where applicable, a documented procedure shall be in place for the controlled disposal of trademarked materials waste considered high-risk for handling or other reasons. Where a contracted disposal service is used, the disposal process shall be reviewed regularly to confirm compliance.	Compliant	
11.8.1.7		Inedible waste designated for animal feed shall be stored and handled so that it will not cause a risk to the animal or further processing. If denaturant is used to identify inedible waste, it shall be demonstrated that it does not pose a risk to animal health.	Compliant	
11.8.1.8		Waste held on-site prior to disposal shall be stored in a separate storage facility that is suitably insect proofed and located where it does not present any hazards.	Compliant	
11.8.1.9		Adequate provision shall be made for the disposal of all liquid waste from processing and food handling areas. Liquid waste shall either be removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal where it does not present any hazards.	Compliant	
11.8.1.10		Reviews of the effectiveness of waste management shall form part of regular site inspections (refer to 2.5.4.3), and the results of these inspections shall be included in the relevant inspection reports.	Compliant	

Summary	Site has a documented and implemented Waste Disposal Policy dated 11/15/2022. Plant personnel are responsible for collecting and removing dry, wet, and liquid waste from the facility. All trash is monitored and documented on the Daily Operational SSOP forms. Review performed on Daily Operational SOP dated 1/11/2023, 2/8/2023, and 3/8/2023. Waste is removed from processing areas and the waste collection areas were properly maintained. Casella removes trash as needed. Trolleys, vehicles, waste disposal equipment, and storage areas were properly cleaned and maintained. Inedible material is removed daily and used for fertilizer on local fields. Liquid waste is properly drained throughout the process. Trash is monitored daily as part of the Daily Operational Inspection.

Audit	SQF Food Safety Audit Edition 9
Company Name	Cahoon Farms Inc.
Company Number	7172
Audit Number	174335
Company Address	10951 Lummisville Rd Wolcott, NY 14590 United States
Food Sector Categories	14. Fruit, Vegetable, and Nut Processing, and Fruit Juices

Corrective Actions

System Element Name	Evidence	Primary Response	Root Cause	Corrective Action	Completion Date	Verification of Close Out	Close Out Date
2.1.2.2	The site did not meet the requirement based on 1)Site monthly meetings for December 2022 and January 2023 were not available for the auditor to review.	Minor	No one was assigned to take notes	Assign person to take notes- Sheila and/or Kristy. See attached SQF meeting minutes.	4/6/2023	Reviewed SQF meeting minutes-Approved-JCS	04/20/2023
2.2.3.1	The site did not meet the requirement based on 1) Verifications of the cleaning and sanitizing documents were not performed by site management.	Minor	Sanitation Manager was unaware this was a requirement.	Retrained manager to verify the documents going forward	03/23/2023	Training document reviewed-Approved-JCS	04/20/2023
11.1.5.1	The site did not meet the requirement based on 1) During the exterior walk of the facility, exterior Parts Room and Office doors were observed to be unsecure.	Minor	Door was left unlocked for an employee to come and go easier.	Retrained the employee.	03/31/2023	Door security training reviewed-Approved-JCS	04/20/2023
11.1.5.2	The site did not meet the requirement based on 1) Dock Door #1 was observed with a gap greater than 1/4 inch.	Minor	Dock doors had not been serviced by our third.	Had a third party come and fix the dock doors	5/30/2023	EHH Job bid docuemtn accepted-Approved JCS	04/20/2023
11.2.1.7	The site did not meet the requirement based on 1) Over greased gear bearing was observed on the front sorter exit belt. No direct production contamination was observed.	Minor	Bolt was loose on the cover.	Fixed the Cover	3/21/2023	Picture of repairs accepted-Approved JCS	04/20/2023
11.5.5.1	The site did not meet the requirement based on 1) Test results of the compressed air used for the apple sorters were not available for the auditor to review.	Minor	air plates done around area but not actual air	Started sampling the compressed air.	3/27/2023	Sorter air sampling record reviewed-Approved JCS	04/20/2023
11.6.4.2	The site did not meet the requirement based on 1) Propane tanks were observed stored unsecure during the exterior walk of the facility.	Minor	The cage was the wrong size for the propane tanks. Called the company and got the correct size.	Get a new cage for the propane tanks.	3/24/2023	Picture of correct enclusure accepted-Approved JCS	04/20/202

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Certification Information

Data	Result
Certification Body Name	Intertek/SAI Global
Certification Body Address	680 George Street, Sydney, NSW, Australia
Certification Body Number	CB-1-SAI
Accreditation Body Name	JAS-ANZ
Accreditation Body Number	Z1440295AS
Certificate Number	7172
Audit Type	Recertification
Select Site	NO
Audit Start Date	3/21/2023
Audit End Date	3/22/2023
Food Sector Category:	14. Fruit, Vegetable, and Nut Processing, and Fruit Juices
Products:	Category 14. Fruit, Vegetable and Nut Processing and Fruit Juices: Apple dices, apple slices, peach, cherries, frozen fruit
Scope of Certification:	Category 14. Fruit, Vegetable and Nut Processing and Fruit Juices: Apple dices, apple slices, peach, cherries, frozen fruit
Lead Auditor Name:	Eric Hooper
Lead Auditor Number:	135283
Audit Team Members:	Eric Hooper
Technical Expert	NA
Technical Reviewer Name:	Justyna Janicka
Technical Reviewer Number:	206926
Hours Spent on Site:	16
Hours of ICT Activities:	NA
Hours Spent Writing Report:	8
Score	93
Rating	Good
Audit Decision:	Certified
Decision Date:	5/10/2023
Issue Date:	5/10/2023
Re-certification Date:	3/28/2024
Expiration Date:	6/11/2024
Surveillance Audit Date	NA