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**GMP FOOD SECURITY ASSESSMENT DETAILED REPORT
AUDIT SUMMARY**

Company Name: Coosemans LA Shipping

Contact: Robert Pollack

Location: 2820 East 44th St

Phone No.: 352-588-1127

Vernon, CA. 90058 USA

Summary	Points Scored	Points Possible	Percent (%)
Management Commitment & Review	12	12	100.00%
Overall	12	12	100.00%
Personnel	20	20	100.00%
Employee Work Area	20	20	100.00%
Visitors	14	16	87.50%
Production/Processing	7	8	87.50%
Receiving, Storage, and Shipping	20	20	100.00%
Security of Water & Utilities	8	8	100.00%
Physical Security	16	16	100.00%
TOTAL SCORE	129	132	97.73%

FDA registration number: XXXXXXX9780 is valid and expires on 12/31/2018.

Audited Facility: Coosemans LA Shipping

Location: 2820 East 44th St., Vernon, CA., 90058 USA

Product: Fruits, vegetables and some dry goods

Audit Date: 3/30/2017

Auditor: Stephen Frye

AUDIT SCORING SYSTEM

SCORE	RATING	DESCRIPTION	DOCUMENTATION COMPLIANCE
	Auto	Automatic Unsatisfactory (Refer to pg. 4)	
0	N/A	Not Applicable The particular question doesn't apply to the facility in question.	
0	US	Unsatisfactory Immediate improvements in operational practices and procedures are needed.	A) No written Food Security Program in place. B) Records Review: No records available.
1	NI	Needs Improvement Significant improvements in operational practices and procedures are needed.	A) Written Food Security Program in place and/or needs serious improvement. B) Records Review: Very few records may be available and/or current.
2	NI	Needs Improvement Partial improvements in operational practices and procedures are needed.	A) Written Food Security Program in place and/or needs major improvement. B) Records Review: Some records may be unavailable and/or current.
3	NI	Needs Improvement Minimal improvements in operational practices and procedures are needed.	A) Written Food Security Program in place and/or needs minor improvement. B) Records Review: Very few records may be unavailable and/or not current.
4	S	Satisfactory No improvements are needed.	A) A complete written Food Security Program in place. B) Records Review: All records are available and kept current.

Conditions for an Automatic Unsatisfactory

1. The facility not registered with FDA. Law: The Public Health Security and Bioterrorism Preparedness and Response Act of 2002 (the Bioterrorism Act) requires domestic and foreign facilities that manufacture, process, pack, or hold food for human or animal consumption in the United States to register with the FDA by December 12, 2003.
2. Food Security Program does not exist i.e., no written food security program and program not being enforced.

Food Security Assessment Rating System

This rating system describes the status of produce packing, cooling, storage and / or food processing operations in regards to food security issues associated with the particular operations they perform.

Percentage	Assessment
95.00 or more	Superior (Pass)
90.00-94.99	Excellent (Pass)
80.00-89.99	Good (Pass)
79.99 & less	Fail

SUMMARY OF DEFICIENCIES

CATEGORY	FINDINGS	CORRECTIVE ACTIONS (Include documents & photographic evidence)
Employee Training	There was no documented training program for employees on food security policies and procedures.	
Visitors	Sign-in is required. Visitor badges are not issued	

Audited Facility:		Coosemans LA Shipping			Location:		2820 East 44th St., Vernon, CA., 90058 USA		Audit Date:		3/30/2017	
Section	#	CATEGORY/REQUIREMENTS	Poss. Pnts.	N/A	S	NI	US	Auto	Auditor's Note			
1.0		MANAGEMENT RESPONSIBILITY										
Sub Category 1.1		Management Commitment and Review										
	1.1.1	FDA registration on food security: Does the company have FDA registration number confirmation? If yes, go to 1.1.2. If no give automatic unsatisfactory.		Unscored Question						Yes. FDA number XXXXXXX9780 is valid and expires on 12/31/2018.		
	1.1.2	Are there written food security policies/crisis management policies in place and are they communicated to all levels of the organization? (4 pts)	4		4				Coosemans uses the FDA Guidance for Industry-Food Producers, Processors, and Transporters: Food Security Preventative Measures.			
	1.1.2.a.	Does the written food security policy include: a documented operational risk management program (ORP)? (4 pts)	4		4							
	1.1.3	Does management appear to be committed to executing an adequate food security management program? (4 pts)	4		4							
		Other Section Total Points	12		12	0	0	0	12			
2.0		FUNDAMENTALS										
		Food Security Control										
		General Expectation: Appropriate security practices are enforced to reduce the likelihood of a terrorist attack on your operations and to reduce its impact on you, your business partners and the public.										
Sub Category 2.1		Overall										
(a)		Food Security Team										
	2.1.1	Is there a food security management team/crisis management team identified? (4 pts)	4		4				A team is identified (HACCP Team).			
	2.1.1.a.	a. Does the team meet periodically (at least annually) to address food security issues and/or review the food security program ? i.e., food security procedures and operations. b. Are meeting minutes documented? (4 pts)	4		4				The team meets periodically (HACCP Team Meetings).			
(b)		Internal Audit										
	2.1.2	Does the company perform random food security inspections of all appropriate areas of the facility using knowledgeable in-house or third party staff, and keeping information confidential? (4 pts)	4		4				A completed USFSIS Industry Self-Assessment Checklist for Food Security was available for review			
		Other Section Total Points	12		12	0	0	0	12			

Section	#	CATEGORY/REQUIREMENTS	Poss. Pnts.	N/A	S	NI	US	Auto	Auditor's Note
Sub Category 2.2		Personnel							
	(a)	Background Check							
	2.2.1	Is there a policy requiring HR to conduct a suitable background check on all staff (including seasonal, temporary, contract, and volunteer staff, whether hired directly or through a recruitment firm?) (4 pts)	4		4				The HR policy requires background checks.
	(b)	Employee Identification							
	2.2.2	Is there a policy requiring company to have employee identification system (uniforms, cards, passes, photo ID badges, time cards, etc)? (4pts)	4		4				Fingerprint recognition time clock is used.
	2.2.2.a.	Is there a policy requiring employees to have ID when entering company property/building and/or are they checked by authorized personnel upon entry? (4 pts)	4		4				
	2.2.2.b.	a. Are badges and passes in stock adequately secured and collected when a staff member is no longer associated with the company? b. Is there a policy to change combinations, rekeying locks and/or collecting the retired key card when a staff member who is in possession of these is no longer associated with the facility ? (4 pts)		X					N/a. Time cards are not used.
	(c)	Employee Training							
	2.2.3	Does the company promote food security awareness by requiring company supervisors and employees to undergo training on food security issues? (4 pts)	4		4				Training was conducted/documented on 3/24/2016.
	2.2.3. a.	Is the food security training and employee participation documented and available for review? (4 pts)	4		4				Training was conducted/documented on 3/24/2016.
		Other Section Total Points	20		20	0	0	0	20
Sub Category 2.3		Employee Work Area							
	2.3.1	Is there a policy requiring assigned supervisors to check employees routinely for proper identification? This includes providing an appropriate level of supervision to all staff, including cleaning and maintenance staff, contract workers, data entry and computer support staff, and especially new staff. (4 pts)	4		4				
	2.3.2	Is there a policy requiring assigned supervisors to routinely conduct security checks of the packing lines, utilities, dock areas, critical computer data systems, etc., (at a frequency appropriate to the operation)? (4 pts)	4		4				The facility is inspected regularly.

Section	#	CATEGORY/REQUIREMENTS	Poss. Pnts.	N/A	S	NI	US	Auto	Auditor's Note
	2.3.3	Is there a policy requiring employees to be assigned to specific work areas and to be in the plant property only during assigned work hours? (4 pts)	4		4				Employees are assigned to specific areas.
	2.3.4	Is there a policy requiring employees not to have any restricted item on them along with any material or item not required at work? (4 pts)	4		4				The employee hand book restricts certain items.
	2.3.5	Does the company provide lockers for employees to store their personal belongings?			Unscored Question				Yes
	2.3.5.a.	Is there a policy requiring appropriate personnel to do unannounced random check on employee lockers and belongings? (4 pts)	4		4				Locker Inspection from 3/7/2017 was reviewed.
		Other Section Total Points	20		20	0	0	0	20
Sub Category 2.4		Visitors							
	2.4.1	Is there a policy requiring all visitors/vendors to sign in and be issued visitor ID card with authorized personnel before entering company property and building and to sign out and leave ID with authorized personnel upon leaving company property? (4 pts)	4			2			Sign-in/out is required. Visitor badges are not issued. Sign-outs were missing
	2.4.2	Is there a policy requiring all visitors to be accompanied by a designated employee, in the areas of restriction and also while on company property, unless they are otherwise specifically authorized? (areas of restriction: food handling and storage areas, locker rooms). (4 pts)	4		4				Visitors are accompanied.
	2.4.3	Is there a policy requiring inspection of incoming and outgoing trucks, packages, etc. for suspicious, inappropriate or unusual items or activity? (4pts)	4		4				
	2.4.4	Is there a designated waiting area for truck drivers? (4 pts)	4		4				Truck drivers may approach the will call desk.
		Other Section Total Points	16		12	2	0	0	14
Sub Category 2.5		Production/Processing							
	2.5.1	a. Is there a policy requiring daily check on inventory and reconciliation on finished products and on ingredients (if applicable) and packaging materials used? b. Is there a written program for reconciliation of parts used in maintenance work? (4 pts)	4		4				
	2.5.2	Is there a written Hold and Release Program that: a. identifies tampered products? b. segregates and secures affected products? (4 pts)	4			3			A designated/secured 'Hold' area is not identified.
		Other Section Total Points	8		4	3	0	0	7

Section	#	CATEGORY/REQUIREMENTS	Poss. Pnts.	N/A	S	NI	US	Auto	Auditor's Note
Sub Category 2.6		Receiving, Storage and Shipping							
	(a)	Receiving Materials							
	2.6.1	Is there a policy requiring establishing delivery schedules, not accepting unexplained, unscheduled deliveries or drivers and investigating delayed or missed shipments? (4 pts)	4		4				The dock only accepts planned deliveries.
	2.6.2	Is there a policy requiring products, ingredients (if applicable), packaging materials and other supplies shall be received from locked and/or sealed vehicles/containers/railcars? (4 pts)	4		4				All product arrive and are shipped in locked trucks and trailers.
	2.6.2.a.	If sealed, is there a policy to maintain chain of custody? (4 pts)		X					N/a. Trucks and trailers are not sealed.
	2.6.3	Is there a policy requiring inspection of incoming materials (4 pts)		X					N/a. Trucks and trailers are not sealed.
	2.6.4	Is there a policy requiring keeping track of incoming materials and materials in use, including gas, packaging, labels, salvage products, rework products, and product returns? i.e., requiring daily check or as needed on inventory and reconciliation? (4 pts)		X					N/a. Trucks and trailers are not sealed.
	(b)	Storage							
	2.6.5	Is there a policy requiring all received products, packaging materials, process materials, etc., cleaning chemicals, pesticides (if stored on-site) to be stored in secure areas with controlled access? E.g., (locked/supervised) (4 pts)	4		4				
	(c)	Shipping							
	2.6.6	Is there a policy requiring products from the facility to be loaded on the locked and/or sealed vehicles/containers only? (4 pts)	4		4				All product arrive and are shipped in locked trucks and trailers.
	2.6.6.a.	Is the seal number provided to the consignee? (4 pts)	4		4				N/a. Trucks and trailers are not sealed.
		Other Section Total Points	20		20	0	0	0	20

Section	#	CATEGORY/REQUIREMENTS	Poss. Pnts.	N/A	S	NI	US	Auto	Auditor's Note
Sub Category 2.7		Security of Water and Utilities							
	2.7.1	Is there a policy requiring securing non municipal water wells, hydrants, storage, and handling facilities? (4 pts)	4		4				
	2.7.2	Has the company identified alternate sources of potable water for use during emergency? (for e.g., trucking from an approved source, treating on-site or maintaining on-site storage). (4 pts)	4		4				They have access to bottled water.
		Other Section Total Points	8		8	0	0	0	8
Sub Category 2.8		Physical Security							
	2.8.1	Is perimeter access protected with fencing or other deterrent, where appropriate? (4 pts)	4		4				
	2.8.2	Are doors, windows, roof openings/hatches, vent openings, ventilation systems, utility rooms, ice manufacturing and storage rooms, enclosed trailer bodies, tanker trucks, railcars, bulk storage tanks, etc, secured, if not in use or if unsupervised? (4 pts)	4		4				
	2.8.3	Is there a policy requiring monitoring the security of the premises using appropriate methods? (4 pts)	4		4				
	2.8.4	Is adequate exterior and interior lighting provided, including emergency lighting, where appropriate to facilitate detection of suspicious or unusual activities? (4 pts)	4		4				
		Other Section Total Points	16		16	0	0	0	16