



Costco Produce Addendum for Packinghouse, Cooler, Cold Storage, Storage, Distribution and Processing Facility Audits

	Question	Full	Minor	Major	Non-Compliance	N/A	Auditor Explanation	Explanation
1	If the facility is supplying product to the U.S., is there a Preventive Controls Program in place? If the facility is supplying product to Costco in countries other than the U.S., is there a HACCP Program in place? Does the facility have a Food Safety Plan in place?	10	7	3	0			Facilities supplying Costco in all countries other than the U.S. are required to operate under a HACCP Program. Entities supplying product to the U.S. are required to operate under a Preventive Controls Program. If supplying both the U.S. and other countries for Costco, the Preventive Controls Program is sufficient. A Food Safety Plan must be in place and a risk assessment done to determine whether or not an entity has any Critical Control Points or Preventive Control Points. Costco requires this be conducted regardless of whether or not they are required to do so by a regulatory body. Facilities that do not have a HACCP Plan or Preventive Control Plan in place will be required to have a working program in place by their anniversary audit for Costco product. Facilities not having a functioning HACCP or Preventive Controls Program pertaining to Costco product on their first anniversary will fail the audit.
2	When critical limits in the HACCP/HARPC program are not met, are corrective actions taken?	10	7	3	0			All entities/suppliers operating under a HACCP/HARPC program can show that corrective actions have been completed, anytime a critical limit is not met. A written procedure must be available and records must be kept. Not- applicable allowed only if the operation has done a risk assessment and has verified their operation does not have any critical control points. If not compliant, a reaudit may be required.
3	Does the person responsible for the Preventive Controls Program (PCQI) and/or HACCP have a certificate of formal training, preferably in a classroom setting, that is current within the past 5 years?	10	7	3	0			The person or persons responsible for the HACCP program must complete formal HACCP training by a credible agency in a classroom environment. Training must be current within 5 years. Recertification after 5 years can be completed with an online HACCP course or PCQI training. The person or persons responsible for the Preventive Controls Plan must be a recognized PCQI (Preventive Control Qualified Individual) per the FDA requirements. Renewal of PCQI training is required after 5 years.
4	Is there a written food safety training program for all personnel, that includes new, temporary and existing employees? Does the program include refresher training? Are records kept?	10	7	3	0			All employees receive training in the food safety plan and policies, food safety procedures, sanitation and personal hygiene, appropriate to their job responsibilities. Employees receive training at hire and refresher training at prescribed frequencies. Documentation of training is available.

5	Does the facility have a Supply Chain Program to monitor the food safety audits and corrective actions for all who supply product to them?	10	7	3	0			Facilities must now have a formal Supply Chain Program to monitor their growers all the way through the supply chain. This includes food safety audits, corrective actions and reaudits, if necessary. The CB and audit schemes will now be up to the suppliers, for all audits, with the exception of facilities and field-packed product (COA's will not count towards this audit component). All audits, including supply chain, must continue to be uploaded to the appropriate Costco database, with continued access to Costco.
6	Are hand sinks available inside restroom facilities, for use after using the restroom and also inside the facility, for secondary hand washing, for use prior to starting work, after a break or at any other time hands become contaminated? Larger facilities may require additional hand sinks. Are hand wash stations in working order and supplied with unscented soap, warm water, disposable towels and a trash receptacle?	10	7	3	0			Hand sinks are available inside restrooms, for use after using the restroom and also inside the facility, for secondary hand washing, for use prior to starting work, after a break or any other time hands become contaminated. Larger facilities may require additional hand sinks. Hand wash stations should be in working order, supplied with unscented soap, warm water, disposable towels and a trash receptacle. Auditors should make an effort to observe workers washing their hands. If not, the auditor should indicate this in the audit. For an operation where product is not exposed to employees, such as a cold storage facility or distribution center, restroom only hand washing stations are acceptable
7	Are hygiene rules posted in the appropriate locations and in the language of the employees to remind them that hand-washing is required before starting work, after breaks, after using restrooms and at any time hands become contaminated?	10	7	3	0			Hygiene rules should be posted in locations such as restrooms, break rooms and other appropriate locations in the language of the employees to remind them that hand-washing is required before starting work, after breaks, after using the restroom and any other time hands become contaminated.
8	Does the operation have a written policy stating that employees are prohibited from wearing and/or bringing items such as, but not limited to the following, which could be a source of product contamination: jewelry, (with the exception of a plain wedding band) ear gages, watches, clothing with sequins or studs, bobby pins, false eyelashes and eyelash extensions, long nails, false nails, and nail polish?	10	7	3	0			The operation has a written policy stating that employees are prohibited from wearing and/or bringing items such as, but not limited to the following, which could be a source of product contamination: jewelry, (with the exception of a plain wedding band) ear gages, watches, clothing with sequins or studs, bobby pins, false eyelashes and eyelash extensions, long nails, false nails, and nail polish.
9	In facilities that handle exposed product, are all employees wearing hair nets? If workers have facial hair, are beard nets and moustache covers worn? Is this a written policy?	10	7	3	0			In facilities that handle exposed product, all employees must wear a hair net. If workers have facial hair, beard nets and moustache covers are required. This includes packinghouses, coolers and cold storage facilities, if they handle exposed product. Costco does not view a ball cap as a hair cover or hair restraint. Ball caps or other head coverings may be worn, but must be covered with a hair net. If no exposed product is handled, hair restraints are not necessary.
10	If a processing facility is supplying Costco a RTE (ready-to-eat) product, is there a written policy indicating that gloves are to be worn? If employees are wearing gloves, are they provided by the facility and non-Latex/powder-free? Cotton gloves may be worn under non-Latex/powder-free gloves.	10	7	3	0			Costco requires that all employees who work for RTE (ready-to-eat) processors wear gloves. Costco prohibits the use of Latex and powder-free Latex gloves. Gloves should be provided by the facility. Cotton gloves may be worn under non-Latex/powder-free gloves. RTE facilities having a written and verified hand washing program may be exempt from glove usage. This will be evaluated on a case by case basis. Contact the Costco Food Safety Department for direction.

11	Are employees personal items stored in lockers or another designated area, away from the production and storage areas, so they are not a source of contamination? Are employee lunches stored in a suitable area? Are locker inspections occurring on a regular basis, to confirm that no food or drink is being stored in employees' lockers?	10	7	3	0		Employees are provided with lockers or another designated area, away from the production and storage areas, to store their personal items. Employee lunches should be stored in a suitable area. The auditor should check to be sure that locker inspections are occurring on a regular basis, to confirm that no food or drink is being stored in employees' lockers.
12	Are employees wearing outer garments suitable for the operation? Are outer garments removed each time the employee uses the restroom, has lunch or breaks and when going home at the end of the day? Is there a designated area for employees to hang their outer garments, when not in use?	10	7	3	0		Employees are provided with outer garments when applicable. Outer garments should be removed each time the employee uses the restroom, takes breaks and when going home at the end of the day. If outer garments are used, there should be a designated area for the garments to be stored, when they are not being worn.
13	Are employees with obvious sores, infected wounds or infectious illnesses prohibited from having direct contact with exposed food products or food contact packaging? Is this a written policy?	10	7	3	0		There is a written policy stating that employees with exposed boils, sores, infected wounds or any source of abnormal contamination are prohibited from contact with product and food contact packaging. Bandages should be brightly colored, preferably metal detectable and must be covered with a non-porous covering such as a plastic or non-Latex/powder-free glove. If non-compliant, a reaudit may be required.
14	Are primary (food contact) packaging suppliers required to have documented monitoring programs in place that check compliance to specifications, legal requirements and lot coding? Is there a requirement for a third-party audit? Do primary packaging suppliers perform a trace forward and trace back exercise at least twice per year? Primary packaging suppliers can either be overseen by the Grower or the Packinghouse, depending on which is most appropriate for the operation. If product is field-packed, it makes more sense for the grower or ranch to have the oversight.	10	7	3	0		Primary (food contact) packaging suppliers adhere to specifications, legal requirements and include lot coding on all items. A third-party audit must be maintained on-site for auditor review. Primary packaging suppliers perform a trace forward and trace back exercise at least twice per year. In the event a shipper purchases and delivers packaging on behalf of the grower or harvest company, the entity/supplier being audited must obtain supporting documentation from the shipper to receive full compliance. Costco U.S. requires that all primary packaging suppliers have a third-party food safety audit.
15	Does the operation have a written pest control program to cover the entire facility, including both inside and outside areas?	10	7	3	0		A written pest control program that covers the facility, inside and out, and storage areas for product and packaging areas is in place. Pest control devices, including ILTs, are located away from exposed food products, packaging and raw materials. Bait stations and other pesticides are limited to outside use. Records are kept. Bait stations should be randomly checked by auditors unless prohibited by state or local law. If non-compliant, a reaudit may be required.
16	Are packaging, product and inside the facility free of infestation of insects, rodents, birds, reptiles and mammals and evidence of them? (this includes decomposed pests, including in pest control devices) Are records kept?	10	7	3	0		The inside facility, all product and packaging is free of infestation of insects, rodents, birds, reptiles and mammals and evidence of them, including decomposed pests in pest control devices. Records are kept. If non-compliant, a reaudit may be required.
17	Is all packaging stored and maintained in a clean and sanitary manner, including off the floor?	10	7	3	0		Packaging storage must be designed to maintain packaging in a dry and clean manner, free from direct contamination or residues, so it remains fit for use. Allowed score of NA only if the operation is storage and/or distribution and is not responsible for packaging.
18	Are finished product sell units marked with a use-by, sell-by packed-on or other type of code that can be used for traceability / regall purposes?	10	7	3	0		Costco requires finished product sell units to be marked with a use-by, sell-by, packed-on or other type of code that can be used for traceability / recall purposes. Revised on 06/08/2018

19	Do facilities adequately perform product trace back/trace forward (mock recall) exercises at a minimum of twice a year, within a two-hour time frame? Operations with less than six consecutive months of operation must have at least one trace back/trace forward (mock recall) per season. Are records kept?	10	7	3	0			A written traceability/mock recall program is established that enables reconciliation of product one step forward and one step back. Contents and retention of records must be consistent with applicable regulations. Operations with less than six consecutive months of operation must have at least one trace back/trace forward (mock recall) per season. Records are kept.
20	Does a trace back/trace forward exercise conducted during the third-party food safety audit account for all product within a two-hour time frame? This should be in addition to the minimum of two trace back/trace forward (mock recall) exercises done by the operation. For processing facilities, suppliers must show that traceability exercises were conducted twice during the year in two of the following three areas: finished good item, raw ingredient, and primary packaging. For the area not covered during the two previous exercises, it will be the subject of an onsite exercise initiated by the auditor. The on-site traceability exercise will be used to assess the effectiveness of the product recall program. The traceability exercise program must include the distribution of specific product lots, raw ingredients, and primary packaging. The exercise will be conducted on a random item chosen at the auditor's discretion (the scope will include one step forward one step back capability). If the facility is not yet producing for Costco, an item similar to what would be supplied to Costco should be chosen. The system must be able to account for 100% of the product in a 2 hour timeframe.	10	7	3	0			During their food safety audit, facilities must perform a trace back/trace forward exercise on a Costco item, when possible. These exercises will be initiated by the auditor, on an item of his or her choosing. The auditor must make note of the time it takes for each of the trace back/trace forward exercises. All product must be accounted for within 2 hours. This should be in addition to the minimum of two trace back/trace forward (mock recall) exercises done by the operation.
21	If reusable containers are used in the operation, are they made of food grade materials and does the operation have a written specification?	10	7	3	0			The operation has written product specifications from the manufacturer for all reusable containers stating that they are manufactured from food grade materials.
22	If reusable containers are used in the operation, are they on a written cleaning program? Are records kept?	10	7	3	0			Reusable containers must be on a written cleaning program stating frequency and procedures for cleaning. Records are kept.
23	For commodities where using wood bins is the industry standard, are written cleaning and repair programs in place?	10	7	3	0			If wooden bins are used in an operation, written cleaning and repair programs must be in place. Records are kept. If possible, efforts must be made to reduce the use of wood bins.
24	Is product free from contamination / adulteration?	10	7	3	0			Procedures include measures to inspect for and remove physical hazards. If non-compliant, a reaudit may be required.
25	Is product free from mishandling by workers, such as, but not limited to, using cloths or towels to remove dirt and/or debris from product?	10	7	3	0			Cloths, towels and other cleaning materials that pose a risk of contamination and/or adulteration are not used to remove dirt and debris from product. Workers are not observed handling product in any way that might cause contamination and/or adulteration. If non-compliant, a reaudit may be required.

26	Is a foreign material control program written and implemented? For processing facilities only, is the site using metal detection or X-Ray? Is the system tested at least once every two hours, to insure proper operation? Is there a rejection device to divert objectionable product? Are records kept?	10	7	3	0			All processing facilities supplying product to Costco are required to control physical hazards with metal detection or X-ray technology. Documentation detailing calibration, checks every two hours, control of rejected product and employee training is available for review. Records are kept. Costco would like the auditor to challenge operational foreign material control devices on site, to verify they are working properly. If the number of devices exceeds 5, Costco requires 5 devices to be challenged and a minimum of 30% of remaining devices be challenged.
27	If allergens are present or stored on site, is there an effective and written allergen control program in place? Are records kept? The allergen control program meets all applicable country of origin and destination countries requirements.	10	7	3	0			If allergens are present or stored on site (this includes vending machines), adequate storage controls must be in place. Procedures must be in place to prevent cross contamination. Employees are trained in proper handling of allergens. Training is written. Records are kept. If non-compliant, a reaudit may be required.
28	Is an SSOP (Standard Sanitation Operating Procedures) program documented and established? Does it list all areas and equipment to be cleaned (including processing and non-processing areas and equipment) and frequency of cleaning? Are there records available showing that tasks were completed and by whom?	10	7	3	0			An SSOP (Standard Sanitation Operating Procedures) program is documented and established. It lists all areas and equipment to be cleaned (including processing and non-processing areas and equipment) and frequency of cleaning. There are records available showing that tasks were completed and by whom. If non-compliant, a reaudit may be required.
29	Are all surfaces that produce comes in contact with accessible and cleanable?	10	7	3	0			With the exception of commodities where using wooden bins is the industry standard, produce must not come in contact with surfaces which are not food grade, not accessible and/or cannot be cleaned, including but not limited to the following: foam rubber, any type of carpet, non food grade plastic, etc.
30	Is there a written and implemented program in place to verify sanitation effectiveness for food contact and nonfood contact surfaces (Examples are ATP and TPC)	10	7	3	0			The written program must detail test type (method), frequency, sampling locations and actions to be taken if thresholds are exceeded. The written program may be part of the facility's risk assessment or a separate document/program. This question is applicable to all commodities and facilities. NA is only allowed for facilities such as dry storage and distribution centers and must be based on their risk assessment.
31	For production and storage facilities that have a wash step or involve high humidity storage, are there records of routine microbiological testing of the environment and/or equipment? Frequency and location of testing must be based on the operation's risk assessment.	10	7	3	0			There must be records of routine food contact and non-food contact microbiological testing for production and storage facilities that have a wash step or involve high humidity storage. This includes facilities located where the weather is hot, which tend to have condensation in their coolers during warmer weather. If out-of-spec results occur, then full details of corrective actions - including re-testing - must be available. The program and applicable records must be reviewed by the auditor.

32	U.S. and Canada only - If supplying a ready-to-eat produce item to Costco, is finished product testing being conducted for each lot of product to be sent to Costco? Is this a written policy? Are records kept?	10	7	3	0			Costco has a test and hold policy in place for each lot of ready-to-eat produce. This includes items such as, but not limited to cut salad mixes, baby leaf salads, cut fruit and prepared vegetable trays. With the exception of cantaloupe, Costco does not consider whole fruit ready-to-eat produce. For suppliers to the U.S. contact Steve Bell at Costco, sbell@costco.com or Robin Forgey at Costco, rforgey@costco.com, for further information on the Test and Hold Program. For countries other than the U.S., please contact your Costco in-country food safety representative.
<u>Product Testing Requirements</u>								
Total Plate Count (TPC)		Target <100,000 cfu/gram						
Generic E.coli		Target <10 cfu/gram						
EHEC - U.S.and Canada Suppliers only		EHEC Negative (test method must detect for Stx1 or Stx2, and EAE genes at a minimum)						
E.coli 0157:H7 - Limited Canada suppliers		Negative						
Salmonella		Negative						
<u>Cantaloupe Specific Testing Requirements</u>								
TPC		Target <1,000,000 cfu/gram						
Generic E.coli		Target <10 cfu/gram						
EHEC - U.S.and Canada Suppliers only		Negative (test method must detect for Stx1 or Stx2, and EAE genes at a minimum)						
E.coli 0157:H7 - Limited Canada suppliers		Negative						
Salmonella		Negative						
Listeria Environmental Monitoring Program		Required						