Costco Produce Addendum V3.0

General Information	
Supplier Name:	
Facility Name:	
Street Address:	
City:	
State/Province:	
Country:	
Postal Code:	
Facility Contact Name:	
Title:	
Email:	
Phone:	
EFA Request Number:	
Audit Type:	Costco Produce Addendum V3.0
Auditor Name:	
Audit Company:	
Audit Dates:	
Announced? (Yes/No):	
Total Number of Hours On Site:	
Number of Hours With Records:	
Number of Hours In Facility (Interior/Exterior):	

Facility Profile	
Facility Description:	Please describe facility and scope of audit.
Facility Established:	
Facility Square Feet:	
Number of Employees:	
Products Produced At This Facility:	
% of Facility Production For Costco:	

Score Summary			
	Points Awarded	Points Possible	Score
Total Score -	0	65	0%
Audit Result	FAIL		
CAP Required?	YES		

Audit Participants			
Name	Job Title	Email	Phone Number

Costco Produce Addendum V3.0 - Questions

Section Name	Section #	Question Text	Allowable Answers	Answer	Notes (required for a score of 4, 3, 2, 1, 0, N/A, or where noted)
Produce Addendum Questions					
Supplier Approval Program	3.1.1	Operations must have a Supplier Approval Program in place to monitor and evaluate all raw material (including primary packaging) suppliers. **This includes growers and harvest crews where applicable.** The Supplier Approval Program shall at a minimum include: - A requirement for suppliers to be audited by a third party to a standard that verifies implementation of GMP/GDP/GAP, HACCP/Preventive Controls/HARA, a traceability system, and a recall management plan. The requirements shall have pass/fail criteria defined for the supplier's audits to maintain approved status. - Annual verification of the supplier's audit e.g. confirming the supplier passed their annual audit. - Where there are label claims such as "organic", "Gluten Free", "non-GMO", "no antibiotics", "raised without antibiotics", "no hormones added", or "no hormones administered" the operation must validate these through any combination of testing, certifications, or audits.	5, 4, 3, 2, 1, 0, N/A		
Foreign Material Control	3.1.2	Operations must have a comprehensive foreign material control plan in place for known and reasonably foreseeable physical hazards. In addition to GFSI requirements the foreign material control plan at a minimum must include: - A policy that restricts the use of materials in product zones and areas that are not easily cleanable or prone to creating foreign material contamination. These materials include - but are not limited to - foam rubber, any type of carpet, wood, non-food grade plastic, cardboard, tape, etc.. Clothes, towels, and other cleaning materials that pose a risk of contamination or adulteration shall not be used to remove dirt and debris from products. Workers must not handle products in a manner that results in contamination or adulteration. - A mechanism for employees to report concerns that includes specific language for foreign material contamination. - Annual training on foreign material hazards for all employees at the facility, including instruction on the mechanism employees can use to report concerns	5, 4, 3, 2, 1, 0, N/A		

Foreign Material Control	3.1.3	All manufacturing operations must have a foreign material detection system (metal detection, x-ray, sieves, optical sorter etc.) installed, selecting the most effective solutions available for their products and processes. Suppliers must justify their choice with documented scientific and technical evidence that proves the system's effectiveness in reducing contamination, citing sources like expert recommendations, scientific literature, regulatory guidance, and validation studies: - Shell Eggs, whole raw agricultural commodities, whole roasted coffee beans, whole muscle meats, whole or portioned in shell crab; whole lobster tails, Whole, eviscerated fish, hand portioned fish fillets and peeled/de-headed shrimp, and packaging products will be exempt from the foreign material device requirement. The operation will need to maintain current good manufacturing practices and prerequisite programs to mitigate foreign material contamination. - Operations that utilize a physical barrier (e.g. screen, filter, sieve) that's appropriately sized and placed just prior to packaging will be exempt from the foreign material device requirement. The operation will need to conduct integrity checks at a defined frequency, and maintain current good manufacturing practices and prerequisite programs to mitigate foreign material contamination.	5, 4, 3, 2, 1, 0, N/A		Please describe the FM system(s) in use and justification for effectiveness.
Foreign Material Control	3.1.4	All foreign material devices must have a proper rejection mechanism to segregate rejected products. Rejected products must be physically segregated and have access restricted until evaluation by designated personnel can be completed. Operations must perform documented foreign material detection challenges at a defined frequency, but at a minimum: - At the start and finish of daily production/shift. - At ≤ 2 (two) hour intervals during the production run. - When changes in production batches occur. - When changes in machine settings occur. - After downtime for repairs.	5, 4, 3, 2, 1, 0, N/A		
Product Traceability	3.1.5	Costco requires that suppliers show that traceability exercises were conducted independently at least twice during the year. The system must be able to account for 100% of the product in a 2-hour timeframe. Site must show that they have conducted separate trace exercises for two of the three areas defined in the Costco requirements: - Finished goods - Raw material/ingredients - Primary packaging The third area should be the subject of the onsite auditor-initiated trace exercise. Each exercise must be completed within a 2-hour limit and account for 100% of the selected sample.	5, 4, 3, 2, 1, 0, N/A		Please describe the auditor-initiated trace exercise and summarize the results.

Product Traceability	3.1.6	For finished food products that are shipped to an intermediary facility prior to delivery to a Costco depot or warehouse, the following mock recall requirements apply: • Annual Mock Recall: - Suppliers must conduct an annual mock recall exercise. - This exercise must verify the accuracy of current contact information for the intermediary facility and confirm that the quantities of product received and distributed by the intermediary facility match the supplier's production and distribution records of a selected lot code. - Evidence of communication with the intermediary facility, including verification of contact information and quantity reconciliation to the specific lot code, must be documented. • Direct Shipment Exclusion: - Suppliers shipping finished food products directly to a Costco depot or warehouse are exempt from these intermediary facility-specific mock recall requirements.	5, 4, 3, 2, 1, 0, N/A		
Allergen Control	3.1.7	All operations must have a documented allergen control policy in place. Suppliers must have documented procedures to ensure the accuracy of allergen labeling. These procedures must include documented verification of labels against a control to ensure the correct label is used on each product, and that the allergen declarations are accurate for the intended market. Label verification must be performed on labels upon receipt, on each batch of labels used in production, as part of any product changeovers, and on each lot of finished product prior to shipment.	5, 4, 3, 2, 1, 0, N/A		
Microbiological Testing	3.1.8	Suppliers of high risk ready-to-eat (RTE) food items, as well as some high risk not-ready-to-eat (NRTE) food items, must have a documented Finished Goods Test and Hold Program to detect hazards of concern. Refer to the **Audit Expectations - Appendix II** for Costco's definition of High Risk and additional guidelines. Test and hold program requirements: - Science-based sampling plan - Developed and maintained by or under the consultation of a competent person - Designed to detect the hazard of concern - Performed on all Costco Wholesale production lots. - Sample size and frequency shall be defined and adequately represent the production lots - For products subject to the Test and Hold Program, all product lots must remain within the supplier's control until satisfactory test results are obtained. Additionally, all finished product lots that undergo pathogen testing voluntarily, at buyer’s request, as required in product specifications, or due to regulatory requirements must remain within the supplier's control until satisfactory test results are obtained. Refer to the **Costco Expectations - Appendix II** and corresponding annexes for specific testing requirements and microbiological specifications for fresh and frozen produce items.	5, 4, 3, 2, 1, 0, N/A		
Microbiological Testing	3.1.9	All operations must have a written program in place to verify sanitation effectiveness for food contact surfaces. The program should be based on a risk assessment of the operation and validated, and shall not rely solely on visual checks for sanitation verification. Examples of acceptable verification include ATP monitoring or swabbing for TPC (Total Plate Count).	5, 4, 3, 2, 1, 0, N/A		

Microbiological Testing	3.1.10	All operations must have a written Environmental Monitoring program in place to assess sanitation effectiveness. The program must be based on a risk assessment of the operation and its effectiveness must be re-evaluated when deficiencies are identified, or at least on an annual basis. Suppliers of high risk, ready-to-eat food items (including frozen produce and fresh produce where water is introduced) should have the following included in their Environmental Monitoring Programs: • Sampling protocol - including frequency, number of samples, sample locations, and methodology for each target organism. • Acceptance/Rejection criteria, including acceptable critical limits • Evaluation and trending of results. • Corrective action procedures, with proposed follow-up and/or corrective actions for unsatisfactory results. Where pathogen testing is done on food contact surfaces, all product lots processed over the swabbed surface(s) since the last validated sanitation cycle shall remain within the supplier's control until satisfactory test results are obtained.	5, 4, 3, 2, 1, 0, N/A		
Personnel Hygiene	3.1.11	All persons must wear single use hairnet/facial hair coverings when around exposed products, regardless of risk level. - Beards or mustaches must be fully covered by a facial hair covering. - Caps are not an adequate hair cover or hair restraint, and will require a hairnet to be worn underneath. Caps must be clean and shall not pose a risk of contamination. Caps that are made of a material that is not easily cleanable must be covered by a hair net.	5, 4, 3, 2, 1, 0, N/A		
Personnel Hygiene	3.1.12	Costco has a "no bare hands" policy for ready to eat foods i.e. gloves must be used where there is a direct hand contact with ready-to-eat products regardless of risk level. The facility must have a written procedure for the proper handling and usage of gloves and must include verification documentation. - Reusable food-safe gloves must be washed and sanitized frequently – at a minimum, at the start, after breaks, and after handling potential contaminants. - If fabric gloves are used when hands are in contact with food, they need to be covered with an outer latex-free, powder-free disposable glove. - Single use gloves are to be latex-free and powder-free, maintained intact, clean, and in good condition. "Rarely consumed raw" produce items are exempt from this requirement. Employees will be required to maintain Good Agricultural Practices and handwashing to mitigate the risk of contamination.	5, 4, 3, 2, 1, 0, N/A		

Costco Produce Addendum Only Microbiological Testing	3.1.13	Water used in any operation must be from a potable source and tested by a certified third-party laboratory. • Municipal water sources shall be tested annually. Private well water shall be tested quarterly. • Samples must be drawn from various sites throughout the facility and test records are to be maintained. • Water used for either processing or sanitation purposes must be tested for generic E.coli. • Agricultural water is to meet or exceed the requirements of the U.S. FDA Produce Safety Rule. • Microbial water testing must be conducted on agricultural water prior to harvest, at minimum within the past 12 months.	5, 4, 3, 2, 1, 0, N/A		

Corrective Action Plan

Facility Information		Audit Information		CAP Information	
Supplier:		EFA Request #			
Facility:		Audit Type:	Costco Produce Addendum V3.0	Total Findings	0
Address:		Auditor:			
Contact:					
Title:		Audit Company		Status	
Email:		Audit Date(s)			
Phone:					

Below are the non-conformances that have been identified by the auditor during your recent audit. A corrective action plan (CAP) for each finding must be sent to the auditor for approval. Once approved, the CAP will be uploaded by the audit company for Costco's review.

Section #	Question Text	Answer	Notes:	Corrective Action Plan (Include Date To Be Completed)	Rood Cause Analysis & Preventative Action	Responsible Person (Name & Title)	Auditor Approval	Auditor Approval Date

Assessment Rating System

This rating system describes a food plant's level of compliance with recognized food safety and Good Manufacturing Practices. The point system and definitions are objective guidelines for evaluating the plant's compliance with the assessed standards and are intended to assure consistency in rating.

Comments must be provided for any standard rated lower than 5.

Questions are scored per the matrix, with 5 being the highest rating possible and 0 being the lowest. If isolated issues for any element are found, an additional one point deduction will be applied to the question's rating *OR* if numerous issues for any element are found, an additional two point deduction will be applied to the question's rating.

Number of elements in question	>3 elements missed	3 elements missed	2 elements missed	1 element missed	All elements fulfilled	
>3	**0**	**2**	**3**	**4**	**5**	**Rating given to question**
3	N/A	**0**	**2**	**4**	**5**	
2	N/A	N/A	**0**	**3**	**5**	
1	N/A	N/A	N/A	**0**	**5**	

Definitions:

Single issue - One observation, occurrence or instance of a specific/same issue or element
Isolated issues - Two observations, occurrences or instances of a specific/same issue or element.
Numerous issues – Three or more observations, occurrences or instances of a specific/same issue or element.

This rating system is an objective guideline. Auditors may use their discretion regarding scoring, considering the severity of food safety issues and numbers of observations of an issue noted.

The most current Costco Food Safety & Quality Audit Expectations, Contact List, Costco audit templates, and appendices can be found through the link below:

https://my.syncplicity.com/share/ghynznmdobspnfo/Costco%20Food%20Safety%20Documents

If you are experiencing issues with this template, please contact FSA@costco.com