



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

	Question	Full	Minor	Major	Non-Compliance	N/A	Auto Re-Audit	Explanation
1	Is the processing, packinghouse, cooler or cold storage facility operating under a HACCP program?	10	7	3	0	Not allowed	N	All processing facilities, packinghouses, coolers and cold storage facilities that supply Costco are required to operate under a HACCP program. Facilities that do not have a current HACCP program will be required to develop a HACCP program within 120 days after their audit is posted and submit it to their audit company, for posting on the Azzule website. Operations that determine through their Risk Assessment that they have no CCPs, do not need to complete a HACCP Plan. Revised 09/12/14
1A	When critical limits in the HACCP program are not met, are corrective actions taken?	10	7	3	0	Allowed	Y	All entities operating under a HACCP program can show that corrective actions have been taken care of, any time 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 verified their operation does not have any critical control points, therefore they do not require a HACCP program. Reworded 09/12/14
2	Has a Food Safety Plan been established? Is this a written program?	10	X	X	0	Not allowed	Y	A written Food Safety Plan has been established and indicates potential hazards that could affect the safety of the product. The Plan must detail steps the facility is taking to address those hazards.
3	Is there a copy of the Costco product specification on-site? This is available from your Costco buyer. If supplying Costco indirectly, a copy can be acquired from whomever you ship Costco product to.	10	7	3	0	Allowed	N	If the facility is packing or processing a Costco-specific product, a copy of the Costco product specification must be on-hand and available for auditor review.
4	Is there a written food safety training program for all personnel, that includes new, temporary and existing employees? Are records kept?	10	7	3	0	Not allowed	N	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	Is there an adequate number of toilets, a minimum of 1 for each group of 15 workers?	10	7	3	0	Not allowed	N	A minimum of 1 toilet is provided for each group of 15 workers.

6	Are hand sinks available inside restroom facilities, for use after using the restroom and also near the workers facility entrance, for use prior to starting work, after a break or at any other time hands become contaminated? Larger facilities may require additional hand sinks.	10	7	3	0	Allowed Revised 09/12/14	N	It is important that workers wash their hands after using the restroom, at the hand sink located in the restroom. Once they have left the restroom, workers should wash their hands again at a hand sink near the entrance to the facility, in full view of a supervisor. Auditors must make an effort to observe workers washing their hands, during the audit. If no hand washing is observed, auditor should mark this NA. Revised 09/12/14
7	Is hand washing required before starting work, after breaks, after using restrooms and at any time hands become contaminated?	10	7	3	0	Allowed Revised 09/12/14	N	Employees are required to wash their hands before starting work, after each visit to the toilet, using a handkerchief or tissue, handling contaminated material, smoking, eating, drinking, breaks and prior to returning to work when their hands may have become a source of contamination. The auditor must verify the written procedures for hand washing and observe a sampling of employees washing their hands, to verify it is being done correctly, per the operation's written procedures. If no hand washing is observed, the auditor should mark this NA. Revised 09/12/14
8	Are employees' nails clean, short and free of nail polish and false nails? Is this a written policy?	10	7	3	0	Not allowed	N	The operation has a written policy stating that employees nails must be clean, short and that nail polish and false nails may not be worn. Employees are observed to be in compliance with the policy.
8A	Does the operation have a written policy stating that employees are prohibited from wearing false eyelashes and eyelash extensions? Revised 09/12/14	10	7	3	0	Not allowed	N	The operation has a written policy stating that employees may not wear false eyelashes or eyelash extensions. Employees are observed to be in compliance with the policy. Revised 09/12/14
9	Are employees prohibited from wearing jewelry or any type of clothing that could be a source of contamination, including, but not limited to bobby pins, studs and sequins?	10	7	3	0	Not allowed	N	The operation has a policy prohibiting items such as jewelry, watches, bobby pins and clothing with sequins or studs from being worn or brought into the facility.
10	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	Allowed	N	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. If no exposed product is handled, hair restraints are not necessary.

11	If a 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 non-Latex? Cotton gloves may be worn under non-Latex gloves.	10	7	3	0	Allowed	N	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. Cotton gloves may be worn under non-Latex 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.
12	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	X	X	0	Not allowed	Y	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 must be covered with a non-porous covering such as a plastic or non-Latex gloves. Revised 09/12/14
13	Is there a raw material supplier (product and primary packaging) approval and monitoring program in place which includes a requirement for annual third-party audits? Revised 09/12/14	10	7	3	0	Allowed	N	Copies of the raw material supplier (product and primary packaging) supporting documents are available for review and filed in an easy to retrieve manner. Allowed score of NA only if the operation is storage and/or distribution and is not responsible for the product and packaging. Revised 09/12/14
14	Does the operation have a written pest control program to cover storage areas for product and packaging?	10	X	X	0	Not allowed	Y	A written pest control program that covers storage areas for product and packaging areas is in place. Pest control devices are located away from exposed food products, packaging and raw materials. Bait stations and other pesticides are limited to outside use. Records are kept.
15	Are packaging, product and the inside facility free of insects, rodents, birds, reptiles and mammals and any evidence of them? (this includes decomposed pests, including in pest control devices) Are records kept? Revised 09/12/14	10	X	X	0	Not allowed	Y	The inside facility, all product and all packaging is free of insects, rodents, birds, reptiles and mammals and any evidence of them, including all decomposed pests, even in pest control devices. Records are kept. Revised 09/12/14
16	Is all packaging stored and maintained in a clean and sanitary manner, including off the floor?	10	7	3	0	Allowed	N	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.

17	Are finished product sell units marked with a use-by, sell-by or packed-on code, including the year, that can be used for traceability / recall purposes? Julian dates are not acceptable. Auditors must review the item specifications, provided by Costco buyers, which are to be available on-site, to determine compliance. Revised 09/12/14	10	7	3	0	Allowed	N	Costco requires finished product sell units to be marked with a use-by, sell-by or packed-on code, including the year, that can be used for traceability / recall purposes. Julian dates are not acceptable. Auditors must review the item specifications, provided by Costco buyers, which are to be available on-site, to determine compliance. Revised 09/12/14
18	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	Not allowed	N	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.
18A	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?	10	7	3	0	Not allowed	N	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. Revised 09/12/14
19	If reusable containers are used in the operation, are they made of food grade materials? Please refer to 21CFR Part 174-178, for a list of approved materials. (US only) Revised 09/12/14	10	7	3	0	Allowed	N	The operation has the product specifications from the manufacturer of all reusable containers stating that they are manufactured from food grade materials. Please refer to 21CFR Part 174-178, for a list of approved materials. (US only) Revised 09/12/14
20	If reusable containers are used in the operation, are they on a written cleaning program? Are records kept?	10	7	3	0	Allowed	N	Reusable containers must be on a written cleaning program stating frequency and procedures for cleaning. Records are kept.
21	If possible, efforts must be made to reduce the use of wood bins. For commodities where using wood bins is the industry standard, are written cleaning and repair programs in place?	10	7	3	0	Allowed	N	If wooden bins are used in an operation, written cleaning and repair programs must be in place. Records are kept
22	Is product free from contamination / adulteration?	10	X	X	0	Not allowed	Y	Procedures include measures to inspect for and remove physical hazards.
23	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? Revised 09/12/14	10	X	X	0	Not allowed	Y	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.

24	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 per hour, to insure proper operation? Is there a rejection device to divert objectionable product? Are records kept?	10	7	3	0	Allowed	N	All processing facilities supplying product to Costco are required to control physical hazards with metal detection or X-ray technology. Documentation detailing calibration, hourly checks, control of rejected product and employee training is available for review. Records are kept. Costco would like the auditor to challenge all operational foreign material control devices on site, to verify they are working properly. If the number of devices exceeds 10, Costco requires that a minimum of 30% of the devices be challenged. Revised Revised 09/12/14
25	If allergens are present or stored on site, is there an effective and written allergen control program in place? Are records kept? Revised 09/12/14	10	X	X	0	Allowed	Y	If allergens are present or stored on site, 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. Revised 09/12/14
26	Is an SSOP (Standard Sanitation Operating Procedures) program documented and established?	10	X	X	0	Not allowed	Y	An SSOP program has been established and implemented. Records are kept.
27	Are all surfaces that produce comes in contact with accessible and cleanable? Please refer to 21CFR Part 174-178, for a list of approved materials. (US only) Revised 09/12/14	10	7	3	0	Allowed	N	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. Please refer to 21CFR Part 174-178, for a list of approved materials. (US only) Revised 09/12/14
28	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) Revised 09/12/14	10	X	X	0	Allowed	Y	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.

29	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	X	X	0	Not Allowed	Y	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.
30	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? Revised 09/12/14	10	X	X	0	Allowed	Y	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. Contact Robin Forgey at Costco, rforgey@costco.com, for further information on the Test and Hold Program. Revised 09/12/14

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Product Testing Requirements								
Total Plate Count (TPC)		Target <100,000 cfu/gram				Maximum 1,000,000 cfu/gram		
Generic E.coli		Target <10 cfu/gram				Maximum 50 cfu/gram		
EHEC - U.S. only		EHEC Negative (test method must detect for Stx1 or Stx2, and EAE genes at a minimum)						
E.coli 0157:H7 - Canada only		Negative						
Salmonella		Negative						

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Cantaloupe Specific Testing Requirements								
TPC		Target <1,000,000 cfu/gram				Maximum 10,000,000 cfu/gram		
Generic E.coli		Target <10 cfu/gram				Maximum 100 cfu/gram		
EHEC - U.S. only		Negative (test method must detect for Stx1 or Stx2, and EAE genes at a minimum)						
		Note: There are now test kits available that detect more than these genes or that detect a group of markers that include the EAE, STX1 and 2 genes,. These kits are also acceptable for use on Costco products.						
E.coli 0157:H7 - Canada only		Negative						
Salmonella		Negative						