Company Number: 7621
Audit Number: 3046232

SQFI Audit Report Edition 9

I. Company Information

Company Name	Allen Flavors, Inc.	**Company #**	7621
Address	230 St. Nicholas Ave & 220 St. Nicholas Ave South Plainfield, NJ 07080 / , 23 Progress St.& 27 Progress St.		
City	Edison	**State**	New Jersey
Zip Code	08820		
Country	United States	**Phone #**	908.561.5995 X124
Primary Contact	Adam Szczesny	**Email**	aszczesny@allenflavors.com
Food Sector Categories	000 - Quality 16 - Ice, Drink, and Beverage Processing 19 - Food Ingredient Manufacturing		
Modules Audited	Food Manufacturing Module 2 Quality Module 2 GMP for Processing of Food Products Module 11		
Certified Products	Beverage bases liquid blends, dry blends, flavor blends		

II. Certification Body

Certifying Body	NSF Certification LLC	**CB #**	CB-1-NSF
Address	789 N. Dixboro Rd.		
City	Ann Arbor	**State**	MI
Zip Code	48105		
Country	United States of America	**Phone #**	(734) 769-8010
Accreditation Body	ANSI Accreditation Program	**Accreditation Number**	1181

III. Audit Schedule

Certification Type	Recertification	**Audit Level**	HACCP-Based Food Safety and Quality
Start Date	23/Aug/2022 07:55:00 AM	**End Date**	25/Aug/2022 12:00:00 PM
Scope of Certification	Exclusions: Scope: Beverage bases, liquid blends, dry blends, flavor blends		

IV. Audit Team

First Name	Last Name	Person #	Role
Tasneem	Ahmad	129604	Lead Auditor

V. Audit Duration

Actual Start Date	23/Aug/2022 07:55:00 AM	**Actual End Date**	25/Aug/2022 12:00:00 PM
Hours Spent on Site	22.5	**Hours Spent Writing Report**	12
Hours of ICT Activites	NA		

VI. Certification Decision

First Name	**Last Name**	**Person #**	**Role**
Thomas	Cain	120673	Technical Reviewer
Certificate Decision Date	21/Sep/2022	**Certificate Issue Date**	21/SEP/2022
Audit Score	94	**Audit Rating**	Good
Certification #	C0253984-SQF8		
Re-certification Date	27/AUG/2023	**Expiration Date**	10/NOV/2023
Surveillance Audit Due Date		**Certification Decision**	Certified

VII. Non-Conforming

	Evidence
Clause	2.4.3.6 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.
Response	Minor
Evidence	Minor: A flow diagram and hazard analysis of shelf stable liquid flavor process food safety plan is missing steps for storage of in-process product (overnight) and filtration process prior to filling. Minor: A flow diagram and hazard analysis of Base Blends food safety plan is missing product filtration step prior to filling.
Root Cause	When reviewing this processing step in the past we considered these steps to be part of the mixing process. After further discussion we understand why it is important to call out the filter press and transfer/filter steps separately.
Corrective Action	Shelf Stable Liquid Flavors Food Safety & Quality Plan and Base Blends Food Safety and Quality plans were reviewed and updated. Added processing step 6 and 8 to flow diagram of our Shelf Stable Liquid Flavors FS&Q Plan after conducting a food safety and quality hazard analysis. Added Processing step 7 to flow diagram of our Base Blends FS& Q Plan after conducting a food safety and quality hazard analysis.
Verification of Closeout	CAPA, revised flow diagram and hazard analysis accepted. CAR closed. RS
Completion Date	20/Sep/2022
Closeout Date	17/Sep/2022
	Evidence
Clause	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.
Response	Minor
Evidence	Minor: The business continuity plan (Crisis Management) was not tested or verified by the site; it was last tested on 06/18/2021 prior to the previous SQF audit.
Root Cause	Based on code requirements the BCP drill is to be conducted "annually". In the glossary of appendix 2 of the SQF code requirements annually is defined as "occurring once per year". We have conducted BCP drills on 6/18/21, 3/11/2020, 8/1/2019, 9/28/2018, so clearly, we

	are conducting them annually at different times of year, and we were scheduled to conduct in September 2022. Wording of code did not state "Conducted annually between audits".
Corrective Action	Crisis drill was conducted on 9/12/2022. Team met and conducted a drill for partial loss of facility
Verification of Closeout	Appeal Denied. BH CAPA, mock crisis report and review accepted. CAR closed. RS
Completion Date	20/Sep/2022
Closeout Date	17/Sep/2022
	Evidence
Clause	Q 2.4 2.4.3.7 The food quality team shall review the flow diagrams developed as part of the food safety plan and confirm and ensure process steps, process delays, and inputs and outputs that impact product quality are included.
Response	Minor
Evidence	Minor: A flow diagram and hazard analysis of shelf stable liquid flavor process food quality plan is missing steps for storage of in-process product (overnight) and filtration process prior to filling. Minor: A flow diagram and hazard analysis of Base Blends food quality plan is missing product filtration step prior to filling.
Root Cause	When reviewing this processing step in the past we considered these steps to be part of the mixing process. After further discussion we understand why it is important to call out the filter press and transfer/filter steps separately.
Corrective Action	Shelf Stable Liquid Flavors Food Safety & Quality Plan and Base Blends Food Safety and Quality plans were reviewed and updated. Added processing step 6 and 8 to flow diagram of our Shelf Stable Liquid Flavors FS&Q Plan after conducting a food safety and quality hazard analysis. Added Processing step 7 to flow diagram of our Base Blends FS& Q Plan after conducting a food safety and quality hazard analysis.
Verification of Closeout	CAPA, revised flow diagram and hazard analysis accepted. CAR closed. RS
Completion Date	20/Sep/2022
Closeout Date	17/Sep/2022
	Evidence
Clause	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.

Response	Minor
Evidence	Minor: The insulation material on the hot water line beside utensils wash station located in the large production room was exposed to the environment. It was not covered or sealed. Minor: The insulation material on the hot water lines of T-22 and T-25 tanks located in the large production room was exposed to the environment. It was not covered or sealed.
Root Cause	The deteriorated insulation covers were missed during the monthly GMP inspections of the facility.
Corrective Action	All insulation was inspected and areas that needed insulation, resealing, or capping was fixed by maintenance team, and confirmed complete by plant manager on 9/9/2022. This finding was also shared with other buildings to bring awareness to the potential oversight.
Verification of Closeout	CAPA, photos of repairs and training record accepted. GMP audit highlighting where this would be captured accepted. CAR closed. RS
Completion Date	14/Sep/2022
Closeout Date	17/Sep/2022
	Evidence
Clause	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).
Response	Minor
Evidence	Minor: It was observed during the on-site audit of dry blend area that the sifter located under platform does not have a toe plate to protect any thing falling on the sifter. Employees are using this platform to dump ingredients in the blender. No product was affected as the sifter was operated with cover.
Root Cause	Since the sifter was sealed under the mezzanine it was believed to be a very low risk for product contamination. That however does not fully comply with the code as their was still an opening that allowed for some possibility of product contamination.
Corrective Action	A toe kick was installed by maintenance where the opening is, so no longer allows for anything to fall from above below down to the sifter.
Verification of Closeout	CAPA, photos of repair and training record accepted. GMP audit revision accepted. CAR closed. RS
Completion Date	14/Sep/2022
Closeout Date	17/Sep/2022
	Evidence
Clause	

	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.
Response	Minor
Evidence	Minor: It was observed during the on-site audit of dry blend area that 04 bags of ingredients were stored on the slip sheet placed on the floor; they were touching the wall and employees were observed walking on the slip sheet. Minor: It was observed during the on-site audit that 03 lids of barrels used for storing the process water were not properly stored; they were placed on the floor in the large processing room.
Root Cause	Proper resources and training were not provided. The stainless steel lid for the process water was to big to store in current drying rack, and the plastic ones next to it are no longer utilized and should have been disposed once we got the stainless steel lid. For the bags employees were told that slip sheet is an acceptable physical barrier on the floor however were not told that a physical barrier would be needed to also protect form the wall.
Corrective Action	Disposed plastic covers, and added an arm to a rack for clean utensils that can fit the lid so it can be stored properly. Also implemented the use of pallets with slip sheets and slip sheets on the wall for products that are stored and handled close to the wall to minimize risks of contamination.
Verification of Closeout	CAPA, photos of correction , training record and revised GMP audit with training accepted. CAR closed. RS
Completion Date	14/Sep/2022
Closeout Date	17/Sep/2022
	Evidence
Clause	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.
Response	Minor
Evidence	Minor: It was noticed during the record review that temperatures for truck (48 F) and refrigerated ingredient (41 F) were above 40 F at receiving on 02/08/2022. The storage and receiving of packaging and raw materials policy was not followed, which requires 40 F or below.
Root Cause	Our products are low risk ingredients and refrigeration is for product quality not food safety. The SOP did not have enough detail outlining our process in the event that we do get a delivery above the 40 Deg F temperature. i.e- some product allow for ambient storage, but then shelf

	life is shortened.
Corrective Action	Met and discussed this finding on 9/14 with Shipping and Receiving leadership as well as Quality personnel. We revised the shipping receiving SOP to capture what we actually do here. We identified the set points for temperature controlled shipments, as well as what to do if a deviation is found. We made it necessary to denote that QC is notified of any deviations and they are logged in our exception log until we determine if product can still be utilized or if it needs to be returned to vendor or disposed. (SOP attached with revised section 3.1.4.6 highlighted)
Verification of Closeout	CAPA, revised SOP and training record accepted. CAR closed. RS
Completion Date	16/Sep/2022
Closeout Date	17/Sep/2022

Audit Statements

	Item	Evidence
Opening Meeting	People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by commas)	SB: VP of Operations, AS: Director of Quality, JW: Assistant Manager Quality, Food Safety and Supplier Quality, GR: Process Improvement Manager, AP: Director Manufacturing, MG: Business Operations Manager, AM: Business Process Specialist, BM: QC Intern, Tasneem Ahmad: 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	Allen Flavors facility is located in South Plainfield (buildings 220 and 230 Nicholas Ave) and Edison (buildings 23 and 27 Progress St), New Jersey. The facility produces beverage bases, liquid blends, dry blends and flavor blends. The 181,000 square foot facility (comprised of 4 buildings; 220: 72,000 sq.ft, 230: 80,000 sq.ft, 23: 23,000 sq.ft and 27: 6000 sq.ft.) operates one production shift, 5 days a week. Sanitation is performed as per schedule by production employees. The facility employs approximately 190 employees. It was an announced SQF Ed. 9 re-certification audit for food sector category 19, Food Ingredient Manufacture and 16, Ice, Drink and Beverage Processing.
Closing Meeting	People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by commas)	SB: VP of Operations, AS: Director of Quality, JW: Assistant Manager Quality, Food Safety and Supplier Quality, GR: Process Improvement Manager, BM: QC Intern, Tasneem Ahmad: Lead Auditor.

Auditor Recommendation	Auditor Recommendation	Issue of Certification of Registration recommended once deficiencies rectified