



# Reichel Foods, Inc.

## Employee Warning Notice

SCANNED

### Employee Information

Date: 5/16/2013  
Employee Name: Chaw Shine  
Job Title: Production  
Manager/Supervisor: Kyle Peterson/Isabel Martinez

### Type of Warning

Verbal Warning   
Written Warning   
Final Warning

### Type of Offense

Tardiness/Leaving Early   
Absenteeism   
Violation of Company Policies   
Substandard Work   
Violation of Safety Rules   
Rudeness to Customers/Coworkers   
Other

### Details

Description of Incident (Describe incident and list the date, time, and any witnesses present)  
On Thursday morning at the first break a group of employees were all taking a long break.

Plan for Improvement:  
The first break is 25 Minutes and everyone needs to make sure that is all they are taking.

Consequences of Further Infractions:  
Progressive disciplinary action will result from further infractions.

### Acknowledgement of Receipt of Warning

By signing this form, you confirm that you understand the information in this warning. You also confirm that you and your manager/supervisor have discussed the warning and a plan for improvement. Signing this form does not necessarily indicate that you agree with this warning.

Employee Signature *Jawara* Date 05/16/2013

Manager/Supervisor *[Signature]* Date 5/16/13

Witness Signature (if employee understands warning but refuses to sign) Date



# Disciplinary Report Form

Employee name: <u>Chaw Shine</u>	Hire Date: <u>01/21/2013</u>	Job title: <u>Production</u>
Department: <u>Oric 6 - Production</u>	Shift: <u>1st</u>	Supervisor: <u>Isabel Martinez</u>

Offense track:  Performance issue       Work rule violation **Work rule violated, if any:**

Type of offense:  Absenteeism     Tardiness     Leaving work area without permission     Misuse of property/equipment     Damaging/Losing property/equipment     Using property/equipment for personal use     Leaking confidential information     Theft or fraud     Lying or cheating     Falsifying company documents     Unsafe behavior     Eating in undesignated areas     Smoking in undesignated areas     Posting items without permission     Fighting or creating conflict     Spreading gossip     Using vulgar language     Rudeness     Abusiveness     Horseplay     Indecent behavior     Bringing weapon onsite     Bringing illegal drugs/alcohol onsite     Failing to follow instructions     Poor work quality     Poor work quantity     Refusing to work     Sleeping on the job     Poor hygiene     Poor housekeeping     Disregarding dress code     Other

Last chance warning issued for  
Absenteeism

Incident description: (Describe actions, behavior, or incident; date(s); time(s); place(s); witness(es) and his/her observations; impact(s) of actions, behavior, or incident; employee's responses immediately after the incident and other significant conversations; employee's previous related training or counseling; and other relevant facts.)

Unexcused absence on 3/14/2013

Completed by: Isabel C. Cordova      Date: 03/15/13

**(Shaded area to be completed by Human Resources only.)**

Progressive step: <input type="checkbox"/> Oral warning* <input type="checkbox"/> Suspension (unpaid) <input type="checkbox"/> Release <input type="checkbox"/> Written reprimand <input type="checkbox"/> Discharge <input type="checkbox"/> Suspension (paid)    *File apart from personnel files and copies thereof  <div style="font-size: 24px; text-align: center;">Last chance warning</div>	Previous warnings: Type: Offense: Date: Type: Offense: Date: Type: Offense: Date:  <div style="font-size: 24px; text-align: center;">notification of the tardiness policy on 03/11/2013</div>
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Consequence if incident occurs again: possible assignment end.

Human Resources Signature(s): Kelsey Adickert      Date: 3/15/13

Employee statement:  I agree with the incident description above.     I disagree with the incident description above.    Date report presented to employee:

Employee comments: (Attach sheets if necessary.)

\*I left a message on Chaw's phone giving her her last chance warning (319-0299) on 3/15

Employee acknowledgement: My signature acknowledges that I have received this report and that it has been discussed with me. I understand that my signature is not an admission of the incident or offense. I understand that I may appeal this report by filing a Discipline Complaint Form.

Employee signature: \_\_\_\_\_ Date: \_\_\_\_\_ Witness signature (if any): \_\_\_\_\_ Date: \_\_\_\_\_ Signature of person presenting report: \_\_\_\_\_ Date: \_\_\_\_\_

## **Disciplinary Report Form continued**

**Incident description (continued):**



**Employee Information**

Date: 8/4/2016  
 Employee Name: Laura Chaw  
 Job Title: QA Tech  
 Manager/Supervisor: Luz Pizano

**Type of Warning**

Verbal Warning   
 Written Warning   
 Final Warning

**Type of Offense**

Tardiness/Leaving Early   
 Absenteeism   
 Violation of Company Policies   
 Substandard Work   
 Violation of Safety Rules   
 Rudeness to Customers/Coworkers   
 Other

**Details**

Description of Incident (Describe incident and list the date, time, and any witnesses present)  
 On 08/02/16 and 08/03/16 Laura was seen conducting her metal detector check on the Orics line incorrectly and deviating from the written procedure stated on the Metal detection verification work instruction (QA0206WI). Laura was appropriately trained on how to conduct the Metal detector check on 10/13/14, she had another training specific to the metal detector check procedure on 5/28/15, KS conducting this specific check was mentioned during several QA meetings throughout the end of 2015 going into 2016. She also signed a training record on 12/2/15 for the Metal detector retraining. Laura documented a metal detector check at 12:50pm on 8/3/16 but didnt conduct a check at that time. Recently she has also had Record Control Training on 05/19/16.

Plan for Improvement:  
 Laura will be re-trained on conducting a metal detector check and will perform a check with QA Supervisor to verify that she conducts the check correctly.

Consequences of Further Infractions:  
 Any further metal detector checks done incorrectly will result in a final warning, including but not limited to disciplinary action and/or termination of employment.

**Acknowledgement of Receipt of Warning**

By signing this form, you confirm that you understand the information in this warning. You also confirm that you and your manager/supervisor have discussed the warning and a plan for improvement. Signing this form does not necessarily indicate that you agree with this warning.

*Laura Chaw*  
 Employee Signature 08/04/16

*Luz E. Pizano*  
 Manager/Supervisor 08/04/16

\_\_\_\_\_  
 Witness Signature (if employee understands warning but refuses to sign) Date

# Request

**CAPA Number: 615**

**Action Required:** CA

**Reason:** External Audit

**Reference Standard or Policy:** Other

**Nature of Problem (in detail):** SQF Audit: During observation of the metal detector testing in MV2 and MV1 on 5/27 the test pieces were detected, but not consistently rejected. In some cases the air jet rejected the wrong package and in some cases the air jet was not strong enough to reject the detected product.

**Evidence:** Observation of MV1, MV2 and Orics 6 metal detector checks on 5/27/15.

## Investigation and Action Plan

**Action Plan** Karin Grzanek

**Completed by:**

**Root Cause:**

- 1.The QA Technicians were not allowing enough time for the reject mechanism to work properly before hitting the reset button on the metal detector (to prevent product trays from backing up and dropping off the line). In addition, they were grabbing the wand off the package prior to rejection so they didn't always notice that the wrong tray was rejected.
- 2.Some QA Technicians were placing the wand parallel to the tray so that the metal seed would either be in front of or behind the actual tray location. This caused the air blow reject mechanism to target the metal seed and miss the tray in some cases.
- 3.Password protection for the metal detector settings was not in use. Unauthorized employees could change the program or the sensitivity levels.
- 4.The air nozzles move easily when bumped, so frequent adjustment was needed to insure the blow off was working correctly.
- 5.The air nozzle blow off pressure was adjustable on two of the lines, so an employee could turn the air pressure down without authorization to do so. This would affect the ability of the equipment to reject trays properly.

**Action Plan:**

- 1.Retaining was completed with QA to insure they conduct the metal detector verification properly, to include how and where to place the wand, insuring that the wand/tray is rejected into the bin and verifying that affected trays are rejected. See Metal Detection Verification Work Instruction QA0206WI.
- 2.Password protection is in use on each metal detector allowing only maintenance access. QA will verify that the correct program is in use during each metal detector check with documentation on the Metal Detector Checks Form, QA0065FO.
- 3.The air blow off reject mechanism was replaced with a reject arm mechanism that diverts all product trays on the conveyor into the reject bin, while the belt continues to run.
- 4.A visual verification of the QA Metal Detector Verification process will be conducted by the QA Supervisor on a weekly basis to insure employees are following proper procedure.

**Implementation** 6/8/2015

**Dates:**

## Follow Up

# Request

**CAPA Number: 615**

**Objective evidence noted (for EACH action plan step):** 1. Retraining was conducted on 6/5/15. 2. Spoke with various maintenance, QA and production personnel. The program in the MD is password protected. Maintenance is the only department with the password. QA is verifying the program for each line and recording it on QA0065FO R15. 3. Not all trays were going into the bin on MV2 during checks. The tray after the one with the wand and all following trays would get stuck on 6/29/15. On 6/30, the Rotary MD had trays following the wand tray stick on the belt and not fall into the bin during multiple checks. 4. Weekly verification by the QA Supervisor were deficient per the procedure/form. During the weeks of 6/15 and 6/22, only 2 of the lines on 1st shift were documented as verified and no 2nd shift techs were verified.

**Action Plan Completed on Time?** Yes

**If not, why?:** Not all action items

**Corrective Action Effective?** No

**Effectivity Notes:** All employees from all departments interviewed displayed strong knowledge of the processes. Copy of observations attached. Went through all metal detector check forms between 6/8 and 6/30 and there was only 1 deficiency noted on the form. In all required checks reviewed, the tray with the wand fell in the bins on all lines, except on the rotary on 6/30. The arm rejected the tray, but when the arm returned to position, the tray went down the line. Notified maintenance and the metal detector height was adjusted. All further checks were acceptable. The air pressure was strong enough in all cases to reject the product. There have been no customer complaints involving metal during this period.

**Completion Date:** 7/6/2015

**Follow Up Completed By:** Jamie Sorensen

**CAPA Status:** Reissued

**Close Out Date:**

**New CAPA Number:**

**Attachments:**

To view attachments, return to menu and enter the CAPA number desired into the CAPA Follow Up Form.





**Reichel  
QA Tech Training Checklist**

Date	Trainer Initial	Super-visor Initial	
11/04/14	JT	XP	Solution Checks (Titration, Dip tests) – Apples, Carrots (QA0193WI)
11/20/14	CMW	XP	Apple Slice Quality Check (QA0012FO)
10/13/14	CMW	XP	Residual Gas Analysis Check (Residual MAP Test Instructions QA0198WI)
10/13/14	CMW	XP	Metal Detector Check (QA0065FO)
10/13/14	CMW	XP	Net Weight Checks (USDA & FDA)-Finished Product Net Weight Instructions QA0238WI
10/13/14	CMW	XP	Sampling, Analysis & Inspection (QA0254PR)
11/04/14	JT	XP	Reichel Pre-op and Operational Checks (QA0520WI and Pre-Op forms)
11.04.14	SP/JT	XP	FDA HACCP Visual Verification & Pre-ship Review (FDA HACCP Plans)
10/13/14	CMW	XP	Cartoner Room Checks (Product ID & Traceability QA0225PR)
<del>11/04/14</del>	JT	XP	Case Label Barcode Check (Barcode Verification Work Instruction-QA033WI)
10/13/14	CMW	XP	QA Verification Checks (2 hour)
11.04.14	SP	XP	Daily Product Evaluations (Taste Test) (Organoleptic Evaluation of Finished Product QA0200WI)
11/05/14	JT	XP	Thermometer Calibrations (Thermometer Calibration Verification QA0153WI)
11/04/14	JT	XP	Peanut Butter Pre-Op and Swabs (See Pre-op forms and QA0520WI)
11/04/14	JT	XP	Shipping & Receiving Procedure & Shipping/Receiving Inspection Form (WH0001PR, WH0004FO)
11/05/14	JT	XP	QA HOLD Process (Nonconforming Product & Equipment Procedure QA0218PR)
11/04/14	JT/CMW	XP	Micro Samples (pre-op swabs, <u>first off the line</u> , <u>finished product</u> , air plates as applicable)
11/05/14	JT	XP	Rework QA Verification Form (QA0069FO) & Product Re-Work Instruction QA0506WI
10/13/14	CMW	XP	Collecting Retain Samples (Retention Sample Work Instruction QA0201WI)
11/05/14	JT	XP	Allergen Control Program QA0219PR & Allergen Control Cleaning Chart QA0389WI
11/05/14	JT	XP	HACCP Programs (See HACCP Binder FDA)
11/05/14	JT	XP	SSOP Program (Sanitation SOP QA0089PR & Reichel Foods Sanitation SOP QA0268FO)
10/13/14	CMW	XP	Employee GMP's (Good Manufacturing Practices-QA0183WI)
11/05/14	JT	XP	Customer Complaint Procedure (QA0187PR)
11/05/14	JT	XP	Sanitary Handling of Backed Up Drains Procedure (QA0220WI)
10/13/14	CMW	XP	Finished Product Specifications (QA0483WI)
10/20/14	CMW	XP	License Plate/Kitting (QA0488WI)

I have been trained and understand my responsibility for each of the QA tasks listed above.

Employee Signature: Chaw Shine

Date: 11/06/14

Trainer Signature: Christine Richardt

Date: 11/4/14

Hendria Gunt

11/6/2014 RC





**Production Schedule: No Weekend. T&H next week is Tuesday**

**Sale Samples.** Reiterate the importance of samples because a few cases weren't collected last night and these were going out today.

**SQF Audit.** Major Nonconformance

#1 SQF Standard 11.7.6.2 - Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected.

**Major Nonconformance-** *During observation of the metal detector testing in MV2 and MV1 on 5/27 the test pieces were detected, but not consistently rejected. In some cases the air jet rejected the wrong package and in some cases the air jet was not strong enough to reject the detected product.*

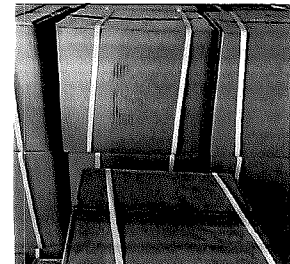
Metal detector blow off doesn't blow off the tray with the wand on it. MV2 metal detector was blowing the next tray off. MV1 metal detector air blow wasn't strong enough. O6 also wasn't working properly. QA techs weren't recognizing this wasn't working properly because they were resetting the belt so quickly in order to avoid product being backed up.

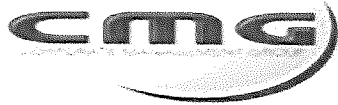
**MD training-** new procedure, form update.

- Wand must be inserted into tray with product in it.
- Product and wand must be allowed to go into bin so we can insure it is working how we intend it to.
- The 'blow off' has been replaced with a 'reject arm'.
- The belt will continue running instead of stopping.

**Other Items Noted during audit to be aware of:**

- Employees were dragging white tubs across tubs of apples. PAA hose was sitting in water.
- An employee pulled a tub of PAA that had already been used for soaking slices and when it was going to be discarded, the employee topped off other tubs with the used solution (onto apples already soaking) and then carried the remainder of the tub to the discard barrel.
- Op checkers need to wash their hands before touching apples. They should not re-use plastic sampling cups or "dunk" them into apple tubs. Slicing employees should use their stainless steel scoops to get them samples so they don't have to stick hands in water.
- Employees seemed to be filling the slotted trays too full to achieve proper coverage of PAA and calcium ascorbate.
- Whole apples were overfilled so even with the weights on top; we saw two soak tubs with some whole apples over the solution level.
- Employee was scooping stickered apples out of 1st PAA soak using a slotted tray and dumping back into the corrugated box; this will cause damage to the fruit.
- Batching Area - Scale needs to be kept on the table (flat sturdy surface); should not be stored on the calcium chloride bucket.
- Employees were putting the sanitized bags of celery directly into a slotted tray and then opening the bags and dumping the celery into the same slotted tray and in some cases right on top of the unopened bags. They're making those bags Zone 1 surfaces and that isn't the intent in sanitizing the outside of the bag. The celery shouldn't contact the outside of the bag. (This was corrected before the 2nd shift walk through)
- MV2 – an open tube of food grade grease was left sitting in the 3 compartment sink; 2nd shift sanitation found it. I threw it away.
- Front hall, main plant – Calcium Ascorbate boxes were very dirty (pic)
- MV1 - blue wand failed 2 out of 3 times during metal detector check.





# Disciplinary Report Form

Employee name: <u>Chaw Shine</u>	Hire Date: <u>2/6/13</u>	Job title: <u>QC/QA</u>
Department:	Shift: <u>1st</u>	Supervisor: <u>Kendra</u>

Offense track:  Performance issue     Work rule violation **Work rule violated, if any:**

Type of offense:  Absenteeism     Tardiness     Leaving work area without permission     Misuse of property/equipment     Damaging/Losing property/equipment     Using property/equipment for personal use     Leaking confidential information     Theft or fraud     Lying or cheating     Falsifying company documents     Unsafe behavior     Eating in undesignated areas     Smoking in undesignated areas     Posting items without permission     Fighting or creating conflict     Spreading gossip     Using vulgar language     Rudeness     Abusiveness     Horseplay     Indecent behavior     Bringing weapon onsite     Bringing illegal drugs/alcohol onsite     Failing to follow instructions     Poor work quality     Poor work quantity     Refusing to work     Sleeping on the job     Poor hygiene     Poor housekeeping     Disregarding dress code     Other

Absenteeism

Incident description: (Describe actions, behavior, or incident; date(s); time(s); place(s); witness(es) and his/her observations; impact(s) of actions, behavior, or incident; employee's responses immediately after the incident and other significant conversations; employee's previous related training or counseling; and other relevant facts.)

unexcused absence on Wed-11/12/14

Completed by: Aniely Theros    Date: 11/13/14

(Shaded area to be completed by Human Resources only.)

Progressive step: <input type="checkbox"/> Oral warning <input type="checkbox"/> Suspension (unpaid) <input type="checkbox"/> Release <input checked="" type="checkbox"/> Written reprimand <input type="checkbox"/> Discharge <input type="checkbox"/> Suspension (paid) *File apart from personnel files and copies thereof <u>written warning</u>	Previous warnings: Type: Offense: Date: Type: Offense: Date: Type: Offense: Date: <u>10/7/14 Verbal</u> <u>9/26/14 verbal</u> <u>8/29/14 Notification</u> <u>12/3/13 Verbal</u>
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Consequence if incident occurs again:  
Possible Final Warning/Assignment end

Human Resources Signature(s): \_\_\_\_\_ Date: \_\_\_\_\_

Employee statement:  I agree with the incident description above.     I disagree with the incident description above.    Date report presented to employee:

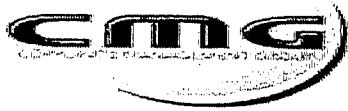
Employee comments: (Attach sheets if necessary.)

Employee acknowledgement: My signature acknowledges that I have received this report and that it has been discussed with me. I understand that my signature is not an admission of the incident or offense. I understand that I may appeal this report by filing a Discipline Complaint Form.

Employee signature: Chaw Shine    Date: 11/13/14    Witness Signature of \_\_\_\_\_ Date: \_\_\_\_\_

signature (if any): \_\_\_\_\_    Date: \_\_\_\_\_    Signature of \_\_\_\_\_ Date: \_\_\_\_\_

person presenting report: \_\_\_\_\_



# Disciplinary Report Form

Employee name: <u>Chaw Shine</u>	Hire Date: <u>2/6/13</u>	Job title: <u>Production</u>
Department: <u>QA</u> <u>Production</u>	Shift: <u>1st</u>	Supervisor: <u>Kendra</u>

Offense track:     Performance issue       Work rule violation, **Work rule violated, if any:**

Type of offense:  Absenteeism     Tardiness     Misuse of property/equipment     Using property/equipment for personal use     Leaking confidential information     Theft or fraud     Lying or cheating     Falsifying company documents     Unsafe behavior     Eating in undesignated areas     Smoking in undesignated areas     Posting items without permission     Spreading gossip     Using vulgar language     Horseplay     Indecent behavior     Bringing weapon onsite     Bringing illegal drugs/alcohol onsite     Failing to follow instructions     Poor work quality     Poor work quantity     Refusing to work     Sleeping on the job     Poor hygiene     Poor housekeeping     Disregarding dress code     Other     Disruption in the work place     Threatening or creating conflict w/ coworkers

Absenteeism

Incident description: (Describe actions, behavior, or incident; date(s); time(s); place(s); witness(es) and his/her observations; impact(s) of actions, behavior, or incident; employee's responses immediately after the incident and other significant conversations; employee's previous related training or counseling; and other relevant facts.)

Unexcused Absence from work 5/16/16

Completed by: <u>Garrison Lenz</u>	Date: <u>5/17/16</u>
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(Shaded area to be completed by Human Resources only.)

Progressive step: <input type="checkbox"/> Oral warning* <input type="checkbox"/> Suspension (unpaid) <input type="checkbox"/> Written reprimand <input type="checkbox"/> Release <input type="checkbox"/> Suspension (paid) *File apart from personnel files and copies thereof	Previous warnings: Type: Offense: Date: Type: Offense: Date: Type: Offense: Date: <u>4/19/16 - verbal</u> <u>2/4/16 - verbal</u> <u>1/11/16 - verbal</u> <u>11/4/15 - Note</u> <u>9/21/15 - Note/Tranq</u> <u>7/13/15 - Note</u> <u>5/22/15 - Verbal</u>
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Written Warning

Consequence if incident occurs again: Final Warning/Assignment End

Human Resources Signature(s): _____	Date: _____
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Employee statement:     I agree with the incident description above.     I disagree with the incident description above.    Date report presented to employee: \_\_\_\_\_

Employee comments: (Attach sheets if necessary.)

Employee acknowledgement: My signature acknowledges that I have received this report and that it has been discussed with me. I understand that my signature is not an admission of the incident or offense. I understand that I may appeal this report by filing a Discipline Complaint Form.

Employee signature: Chaw Shine      Date: 0526 16

Witness signature (if any): \_\_\_\_\_      Date: \_\_\_\_\_

Signature of person presenting report: \_\_\_\_\_      Date: \_\_\_\_\_