Application for Food Establishment Permit

Alaska Department of Environmental Conservation
Division of Environmental Health
Food Safety and Sanitation Program

Permit ID: _____

Section 1- GENERAL INFORMATION *(All applicants complete entire section – please print).*

Purpose (check one) ☒ New ☐ Information Change ☐ Extensive Remodel ☐ Change of owner/operator ☐ Reactivate

Owner/Business Information

Name of Entity or Owner Responsible for Food Service: Eden Management Group, LLC		AK Business License #: 1038791	
Business/Corporate Mailing Address: PO Box 90171	City: Anchorage	State: AK	Zip: 99509
Business/Corporate Phone: (907) 230-6436	Email: stazz@msn.com		
Owner(s) or Corporate Officer(s) & Title(s) or Responsible Party: Lloyd H. Stiassny, Owner		Fax:	

Type of Entity ☐ Individual ☐ Partnership ☐ Corporation ☒ Other:

Establishment Information

Establishment Name: Uncle Herb's	Physical Location: 1213 Ocean Dr.	Nearest Community: Homer, AK	
Establishment Mailing Address: 1213 Ocean Dr., Suite #2	City: Homer	State: Alaska	Zip: 99603
Establishment Phone: (907) 230-6436	Fax:	Contact Person: Lloyd Stiassny	
Establishment Physical Address: 1213 Ocean Dr., Suite #2	City: Homer	State: AK	Zip: 99603

SEATING: (Food Service Only) ☒ N/A ☐ 25 or less ☐ 26-100 ☐ > 101

TYPE OF OPERATION *Please describe the type of facility you plan to open below (i.e. restaurant, bar, grocery store, etc.)*

Retail marijuana store. Sale of pre-packaged consumer food products only. No on-site preperation or consumption of food products will take place at the location.

SECTION 2 – NEW OR EXTENSIVELY REMODELED FACILITIES

a. A plan review will be required if your facility has never been permitted by the Alaska's Food Safety and Sanitation Program; has not had an active permit in the last five years; will be extensively remodeled; or is a new construction. If any of these apply, a Plan Review Application is required to process your application. Have you attached the Plan Review Application? ☒ Yes ☐ No

SECTION 3 – COMPLETE FOR ALL FOOD ESTABLISHMENTS *(Check all that apply)*

FOOD SERVICE ESTABLISHMENTS

a. A copy of your menu will be required. Have you attached a copy of the proposed menu? ☐ Yes ☒ No

b. Attach appropriate label, placard, or menu notation for the consumer advisories if you serve:
☐ Wild Mushrooms ☐ Unpasteurized juices ☐ Farmed halibut, salmon, or sablefish
☐ Raw/undercooked animal foods such as beef, shell eggs, lamb, pork, poultry, seafood, and shellfish.

c. Methods of food preparation (check the one that most closely describes the establishment:
☐ Assembly of Ready to Eat Foods ☐ Cook and Serve
☐ Hot or cold Service for 2 hours or more is done
☐ Complex (Preparation 1 day or more in advance, cooling and reheating is done).

d. Style of Service: ☐ Counter Service ☐ Self Service (i.e. buffet line, salad bar) ☐ Table Service
☐ Other:

e. Do you plan to operate as a caterer? ☐ Yes ☒ No
If *yes*, list all the equipment used to protect food from contamination and maintain product temperature during:
Transportation: Hot or Cold Holding:

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f.	Will your food establishment be a kiosk or mobile unit?	☐ Yes	☒ No
	Are employee toilets available within 200 feet? *If you have an agreement with another business to use their restrooms, please attach written verification.*	☐ Yes	☐ No
	Portable water tanks, plumbing, and hoses are NSF or FDA approved components?	☐ Yes	☐ No
	If you have a kiosk, is it located outside of a building?	☐ Yes	☐ No
	Will you have a service provide water or remove wastewater? *If yes, provide a letter of agreement from water hauler or wastewater hauler outlining services provided and frequency.*	☐ Yes	☐ No
g.	Will another permitted food establishment (commissary) provide support to your facility? If yes, attach a copy of the Commissary Agreement.	☐ Yes	☒ No
	FOOD PROCESSORS		
a.	A copy of a label for each type of product you will produce is required. Have you attached food labels of each product to be produced?	☐ Yes	☐ No
b.	Describe who you will be distributing your product to (i.e. grocery stores, etc):		
c.	Will you be doing any of the following processes? Check all that apply. ☐ Reduced Oxygen Packaging ☐ Smoking ☐ Other: ☐ Low Acid Canned Foods ☐ Curing ☐ Shelf Stable Acidified Foods ☐ Dehydrating *Be sure to check with your local Environmental Health Officer for any applicable forms and FDA requirements.*		
d.	Do you have a HACCP Plan? *Required for high hazard food processors such as smoking, curing, acidifying, dehydrating, thermally processing low acid foods, reduced oxygen packaging, etc.*	☐ Yes	☐ No ☒ N/A
e.	You are required to have a product coding system and a recall plan. Have you attached a copy of the coding system and recall procedures?	☒ Yes	☐ No
	MOBILE RETAIL VENDOR SELLING SEAFOOD		
a.	A list of products that you will be selling is required. Have you attached a copy of the list of products?	☐ Yes	☐ No
b.	Provide names of suppliers where you will be purchasing your product: Unknown at this time.		
c.	Will ***all*** of your product be prepackaged?	☐ Yes	☐ No
d.	Will another permitted food establishment (commissary) provide support to your facility? If yes, attach a copy of the Commissary Agreement.	☐ Yes	☒ No
	MACHINES VENDING POTENTIALLY HAZARDOUS FOODS		
a.	Have you attached the label that will be affixed to the front of each machine with name, physical address, and phone number of the permitted food establishment servicing the machine?	☐ Yes	☐ No

SECTION 4 – Food Managers Certification/Alaska Safe Food Worker Card

a.	Have you attached a copy of a Food Manager's Certification? *The operator of a food establishment that serves and prepares unwrapped or unpackaged food, except for a bar, tavern, or limited food service, must have at least one Certified Food Protection Manager who is involved in the daily operations of the establishment.*	☐ Yes	☐ No ☒ N/A
b.	Does everyone who works or will work at the food establishment have a Food Worker Card? *An operator of a food establishment shall keep on file a copy of the Food Worker Card issued by the department for each employed food worker and make the copy available to the Department upon request.*	☒ Yes	☐ No ☐ N/A

I declare, under penalty of unsworn falsification, that this application (including any accompanying statements) has been examined by me and to the best of my knowledge and belief is true, correct, and complete. I agree to pay all fees before operating.

Applicant's Signature [signature] **Date** May 22, 2017

Applicant's Printed Name Lloyd H. Stiassny **Title** Owner

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PLAN REVIEW CHECKLIST

Below is a checklist to assist you with building your facility. Please refer to the Alaska Food Code (18 AAC 31) for further details.

EQUIPMENT SPECIFICATIONS	
☑	All sinks are self-draining. (Sink compartments drain completely, no pooling water.)
	Dishwashing
☐	Sink compartments are adequate for the complete immersion of most equipment and utensils.
☐	Dishwashing machine (if provided) ☐ **N/A** ☐Heat sanitize rinse **OR** ☐Chemical sanitize rinse specify chemical_____ ☐Temperature gauges provided ☐Pressure Gauge provided ☐ Self-draining drainboards on both sides of the machine ☐Template placard with operating specifications on dishwashing machine ☐Test kits/strips for verifying chemical or heat sanitizing rinse available
☐	The operator of a bar or tavern shall ensure that a 4th sink compartment, or separate handwash sink, is installed for dumping drinks and handwashing.
	Handwashing
☐	At least one hand wash sink is provided in each food preparation area to be used exclusively for hand washing
☐	Hand wash sink is accessible to mechanical ware washing equipment.
☐	Hot and cold running water under pressure that can be tempered to a temperature of 100-120°F by a mixing valve or combination faucet is provided
☐	Soap provided
☐	Individually dispensed paper towels are provided and mounted.
☐	Trash receptacle provided
☐	Sign posted directing employees to wash hands.
	Utility Sink
☐	At least one utility sink or curbed cleaning unit with a floor drain is provided.
☐	Utility or curbed cleaning unit is not located in a preparation, processing, ware washing area or any other location that could cause it to be a source of contamination to food, clean utensils, single serve items, or equipment.
	Food Preparation Sink
☐	A food preparation sink is provided for the frequent soaking, rinsing, culling or cleaning of raw ingredients or produce, if needed.
	Equipment Design and Location
☐	Equipment, including ice makers and ice storage equipment, is not located under exposed sewer lines, non-potable water lines, stair wells, or other potential sources of contamination.
SANITATION AND PHYSICAL FACILITIES	
	Water Supply
☑	Water is from a public water system that is constructed and operated as required by 18 AAC 80.
☐	Potable water that is not piped to the food establishment, (haul and hold system) is transported, delivered, and stored as required by 18 AAC 80.
☐	If potable water tanks are used to hold water – has the water been tested for total coliform and E. coli? Are results

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	available?
☐	Steam used in contact with food and food-contact surfaces is free from harmful substances and is from an approved source.
	Wastewater
☑	Wastewater from the establishment is discharged into a public sewer or a wastewater disposal system built and operated if required by 18 AAC 72.
	Plumbing
☐	Cross-connections between potable water and non-potable water supplies, chemical feed lines, or similar devices are prohibited.
☐	Fixtures or equipment in which food or drink is stored, prepared or served are indirectly connected to a drainage system.
☐	Non-potable water systems are used only for fire-protection, air-conditioning, heating, or flushing toilets. Pipes carrying non-potable water must be clearly labeled.
☐	Hot and cold running water under pressure provided to all plumbing fixtures with faucets, including hand wash, ware-washing, preparation, processing, and janitorial sinks.
☐	A floor drain is provided adjacent to the ware washing machine. Machine must be connected on the sewer side of the floor drain trap, provided that no other drainage line is connected between the floor drain waste connection and the fixture drain. The ware washing machine and floor drain must be trapped and vented properly.
☐	Grease traps, if used, must be accessible for cleaning.
☐	Equipment drain lines cannot discharge wastewater directly on the floor.
	Toilet Facilities
☐	Toilet facilities provided (If seating for patrons is provided, then separate facilities are needed for each sex.)
☐	Restrooms are mechanically vented to the outside.
☐	Self-closing device installed on restroom door.
☐	Hand soap available at all handwashing sinks.
☐	Hand drying facilities (dispense paper towels or hand-drying device that provides heated air) are available at all sinks.
☐	Handwashing signs provided at all handwash sinks used by employees.
☐	Hot and cold running water under pressure is available at each handwash sink. Hot water is tempered at 100-120° F by combination faucet or mixing valve.
☐	Self-closing metering faucets, if provided, have a flow of water for at least 10 seconds.
☐	Easily cleanable waste containers are provided; and in a toilet room used by females, a covered waste container is provided.
☐	Toilet tissue in a wall-hung or protected container is provided at each toilet.
☐	Entrances to toilet rooms are located so that access by the public does not require passing through a food preparation, handling or storage area.
	Garbage and Refuse
☐	Containers used to store garbage outside the food establishment must be easily cleanable, have tight-fitting lids, doors, or covers, and must be kept reasonably clean.
☐	Rooms used to store garbage must be made of easily cleanable, nonabsorbent, washable, insect-proof, and rodent-proof materials.
	Insect and Rodent Control
☐	Outside doors are self-closing and rodent proof. (Tight fitting doors).

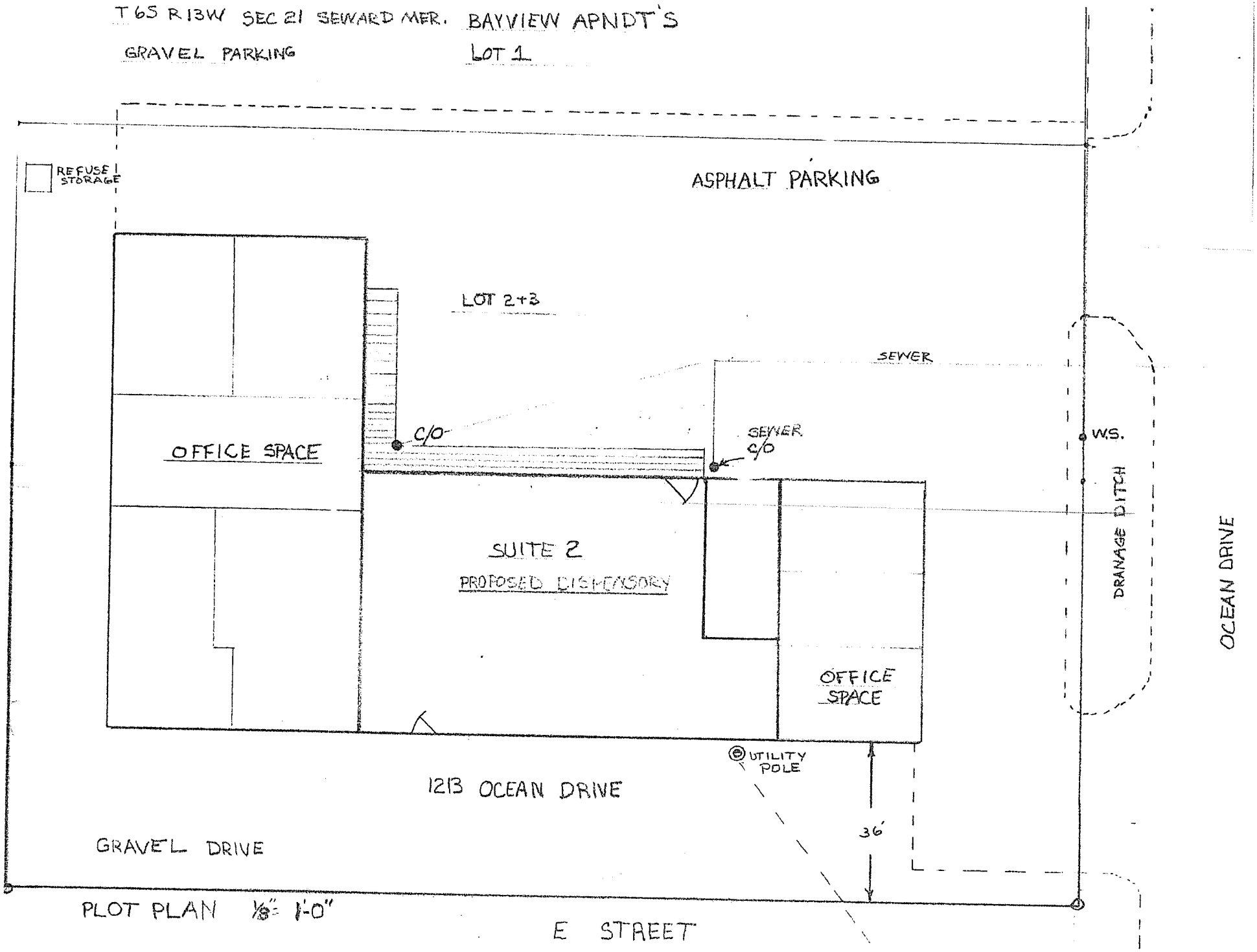
☐	Openable windows have a minimum #16 mesh screening.
☐	All pipes & electrical conduit chases be sealed; ventilation systems exhaust and intakes protected.
☐	Area around building clear of unnecessary brush, litter, boxes and other harborage.
	Lighting
☐	Permanently installed artificial light sources are provided.
☐	At least 50 food candles of light, evenly distributed on preparation, processing and warewashing surfaces
☐	At least 20 foot candles of light, evenly distributed in other areas, dining areas must meet this standard only during cleaning activities
☐	Protective shielding provided. ☐ a. over equipment used to hold or display food; ☐b. in walk-in refrigerators or freezers ☐ c. over any area where food or food-contact surfaces are exposed such as preparation, service, and display areas.
	Ventilation
☐	Fire prevention or extinguishing equipment installed in a hood does not obstruct cleaning or cause grease to collect.
☐	Equipment that produces excessive heat, steam, condensation, vapors, noxious odor, smoke or fumes is adequately vented to outside air through a hood and filter system.
☐	Ventilation system prevents grease and other filth from collecting on walls and ceilings or from draining or dripping on food or food contact surfaces.
☐	Automated deep frying system with a ventless, hoodless design, if used, is approved by Underwriters Laboratories (UL) and National Sanitation Foundation (NSF).
☐	Commercial cooking equipment that produces grease-laden vapors is vented through a hood and grease collection system designed and installed in accordance with the International Mechanical Code, 2003 edition, chapter 5, sections 506-509, adopted by reference in 18 AAC31.011.
	Food Protection
☐	Display shelving and equipment allows food to be stored at least 6 inches above the floor
☐	Food in cases, or large containers of packaged foods, such as flour and sugar, are stored on dollies, skids, or open-ended pallets if that equipment is easily moveable by hand or with the use of pallet-moving equipment that is available on the premises at all times.
☐	Food, food ingredients, utensils, equipment and packaging materials are **not** stored: ☐ In a toilet room ☐ Under a refrigerator condenser prone to leaking ☐ Under exposed sewer line ☐ Under a waterline prone to leaking

HOT WATER HEATER CALCULATION WORKSHEET

Items noted in bold below are required equipment, all others are optional. However, you must list out all sinks and equipment in your facility to calculate the proper hot water demand.

EQUIPMENT	QUANTITY OF EQUIPMENT	Multiplied by	GALLONS PER HOUR (GPH)		EQUALS GPH
			HIGH*	LOW**	
Food Prep Sink		X	**15**	**15**	
Three Compartment Sink		X	**60**	**45**	
Pre-Rinse Spray Hose Sink		X	45	45	
Commercial Dish wash Machine		X	Varies with Unit***		
Bar Three Compartment Sink		X	**20**		
Chemical Sanitizing Glass Washer		X	60		
Hand Sink-Kitchen & Restroom		X	**5**	**5**	5
Bain Marie		X	10	10	
Utility Sink		X	**10**	**10**	10
Garbage Can Wash Station		X	30	30	
Clothes Washer		X	45	45	
Employee Shower		X	20	20	
				TOTAL	15

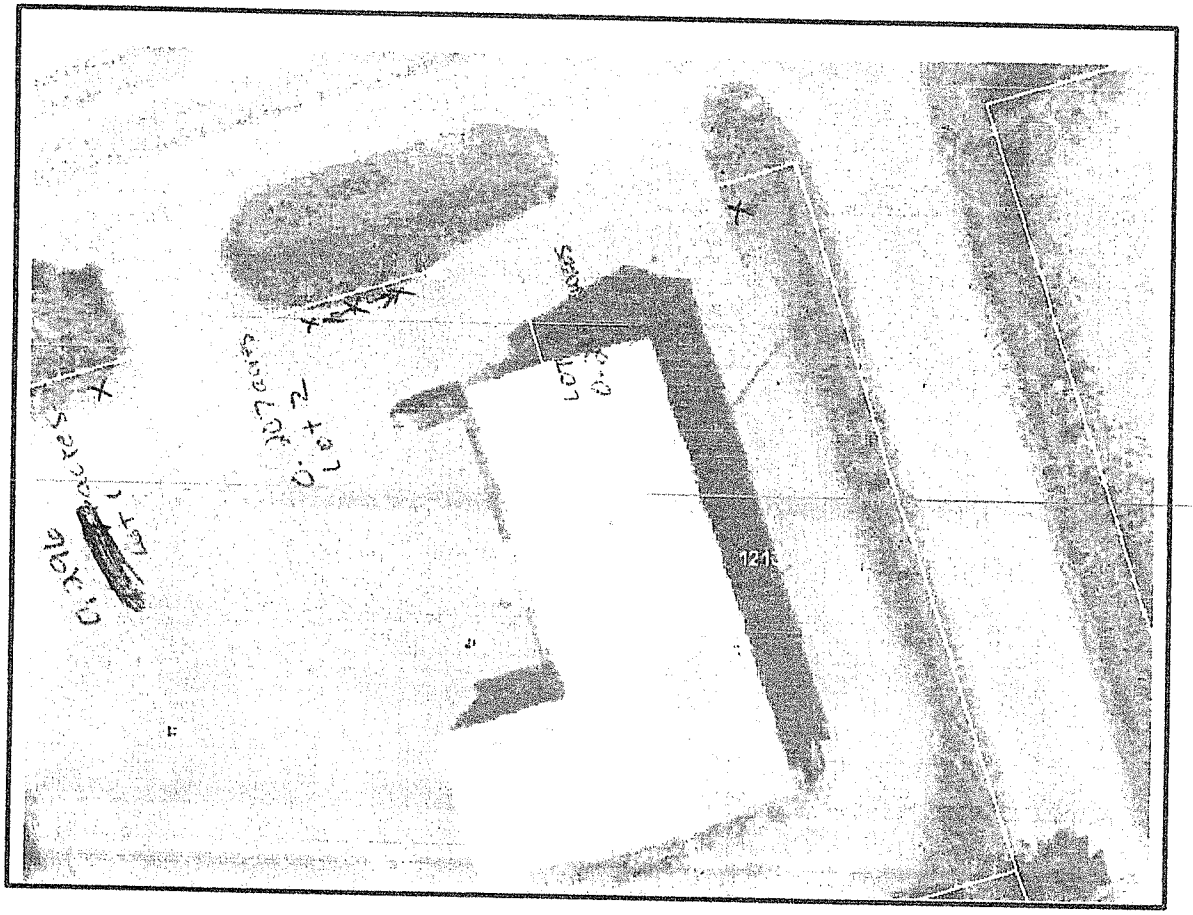
**High-to be used when multi-use eating utensils are used.*
***Low-to be used when single service eating utensils are used.*
***Refer to manufacturer's specifications for gallons per cycle times cycles per hour*



PLOT PLAN 1/8" = 1'-0"

ESRI ArcExplorer 2.0

Free Spirit and Tobacco Store



HomerAddressFeb2011 (HOUSENUM)
ParcelsFeb2011
roads_annotation_rowlabels (TEXT)
Streams

Location
Sandwich Board Signs
1 per lot

N

Thursday, Apr 28 2011

BAYVIEW - ARHDT'S DEED OF RECORD BOUNDARY SURVEY LOT 1 --- Mclane Consulting Group KPBMap --- 12/18/2002

-not available-

1213 OCEAN DRIVE INC

NOV-24-2003 03:52 PM ALDERFER GROUP 907 235 9327 P.05

Google Maps

Imagery ©2017 DigitalGlobe, Map data ©2017 Google 50 ft

[EH / Food Safety and Sanitation]

Print Your Food Worker Card

Congratulations on passing the State of Alaska's Food Safety test and meeting all of the qualifications necessary to obtain a Food Worker Card and work in Alaska's food industry. You will need to print two copies: one copy for your employer and one to keep on your person.

Note, your Food Worker Card is good for a period of three years from today's date. Please keep your Test ID. It is your proof of qualifying to work in Alaska's food industry. If your card is lost or stolen, you will need your Test ID to come back to this page and print out a replacement.

ALASKA DEPARTMENT OF
ENVIRONMENTAL CONSERVATION

Division of Environmental Health
Food Safety and Sanitation Program

Food Worker Card
Lloyd Stiassny

Issued: 8/16/2016 Expires: 8/16/2019

Food Worker #: 1074794
1-87-SAFE-FOOD
http://www.alaska.gov

Program Manager

State of Alaska © 2013 Webmaster

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Certificate of Completion

This certificate recognizes that

Lloyd Stiassny

has successfully completed and passed the

Municipality of Anchorage
Food Worker Online Training Program

Byong W. Yoo, PhD (Founder)

Issuance Date: 08/17/2016
Expiration Date: 08/17/2019

Confirmation #: 1608170969
Verification Code: 19-81693

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Municipality of Anchorage
Food Worker Card

Lloyd Stiassny

Name

Issue Date: 08/17/2016
Expiration Date: 08/17/2019
Verification Code: 19-81693

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Uncle Herb's
Version Verification

Uncle Herb's Plan shall be reviewed annually and revised as necessary when personnel, procedures, processes, suppliers, or as other factors change. The Plan will also be reviewed after any company recall.

Version DRAFT

Approved by LHSTIASSNY

Title

Date Approved 5-24-17

Introduction

The primary goal of a food recall is to protect public health by removing products from commerce that have been determined to be unsafe. A recall plan can aid in the execution of a recall by apportioning duties, centralizing current contact information, and providing prewritten templates for communications. Key Individuals that will be participating in a company recall should review the recall plan and be familiar with the execution of the plan.

Coding – Metrc is the program the State of Alaska has adopted to implement and track all marijuana products and marijuana. Each product will have a batch code number and will be traceable to the manufacturer and to the cultivator. Metrc is the coding system that this establishment will utilize to track and identify any product needing to be recalled.

Statement of Recall Plan

Uncle Herb's maintains a recall plan which provides specific procedures, defines terms, and assigns roles and responsibilities when a food safety issue arises with any of our products.

The plan will be activated whenever a potential recall requirement arises and includes the following elements:

1. Recall committee member designations
2. Recall responsibility assignments
3. Key personnel and external contact information
4. Recall procedures
5. Communication templates

Success of the plan relies on the proper execution of plan elements and up-to-date information.

Recall Plan Flow Charts

The following two diagrams are graphical representations of the various steps of a recall. Figure 1, illustrates the typical evaluation of complaints or conditions which may lead to a recall. Figure 2, outlines the various steps of a recall.

Figure 1: Complaint/Condition Evaluation Flow Chart

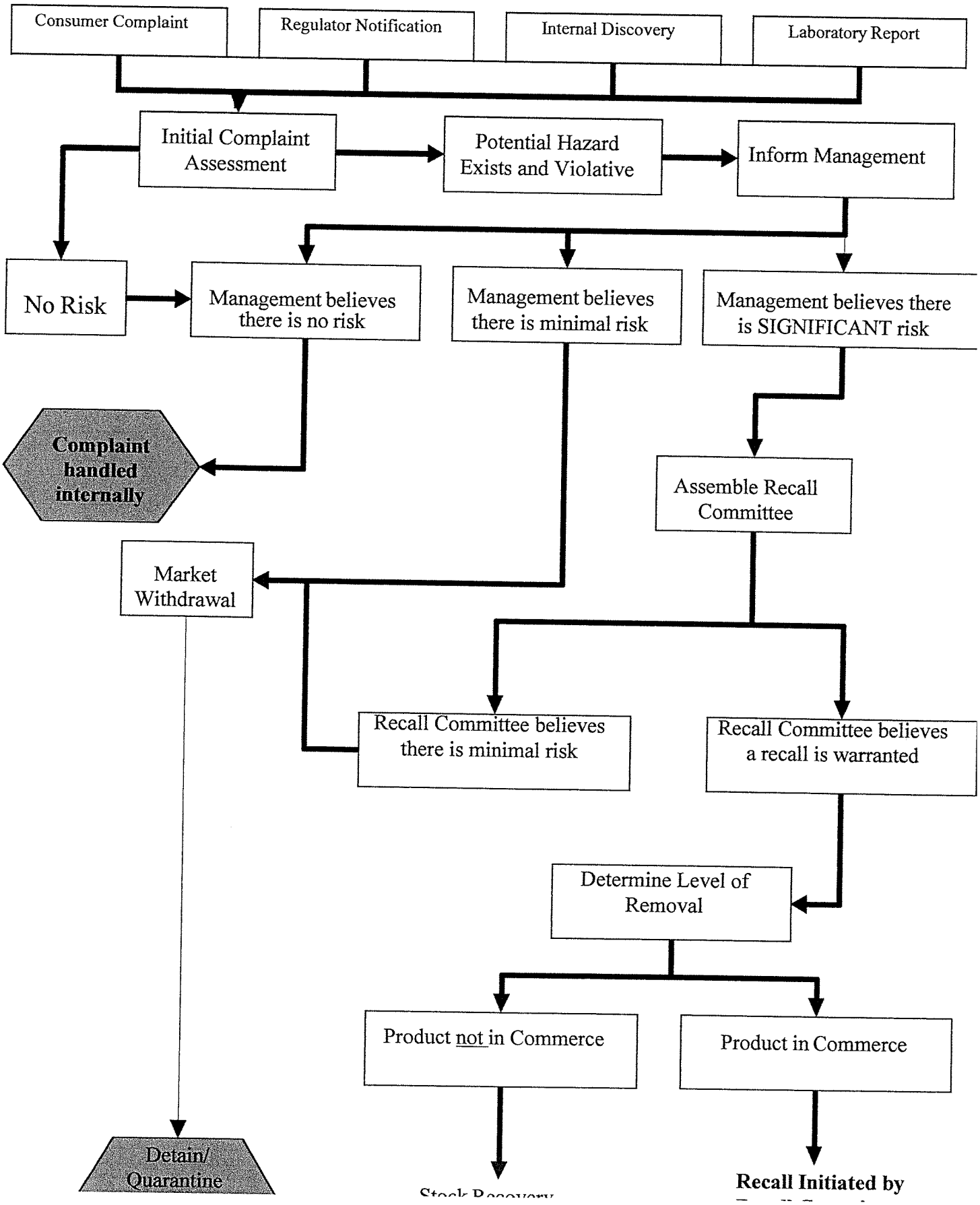
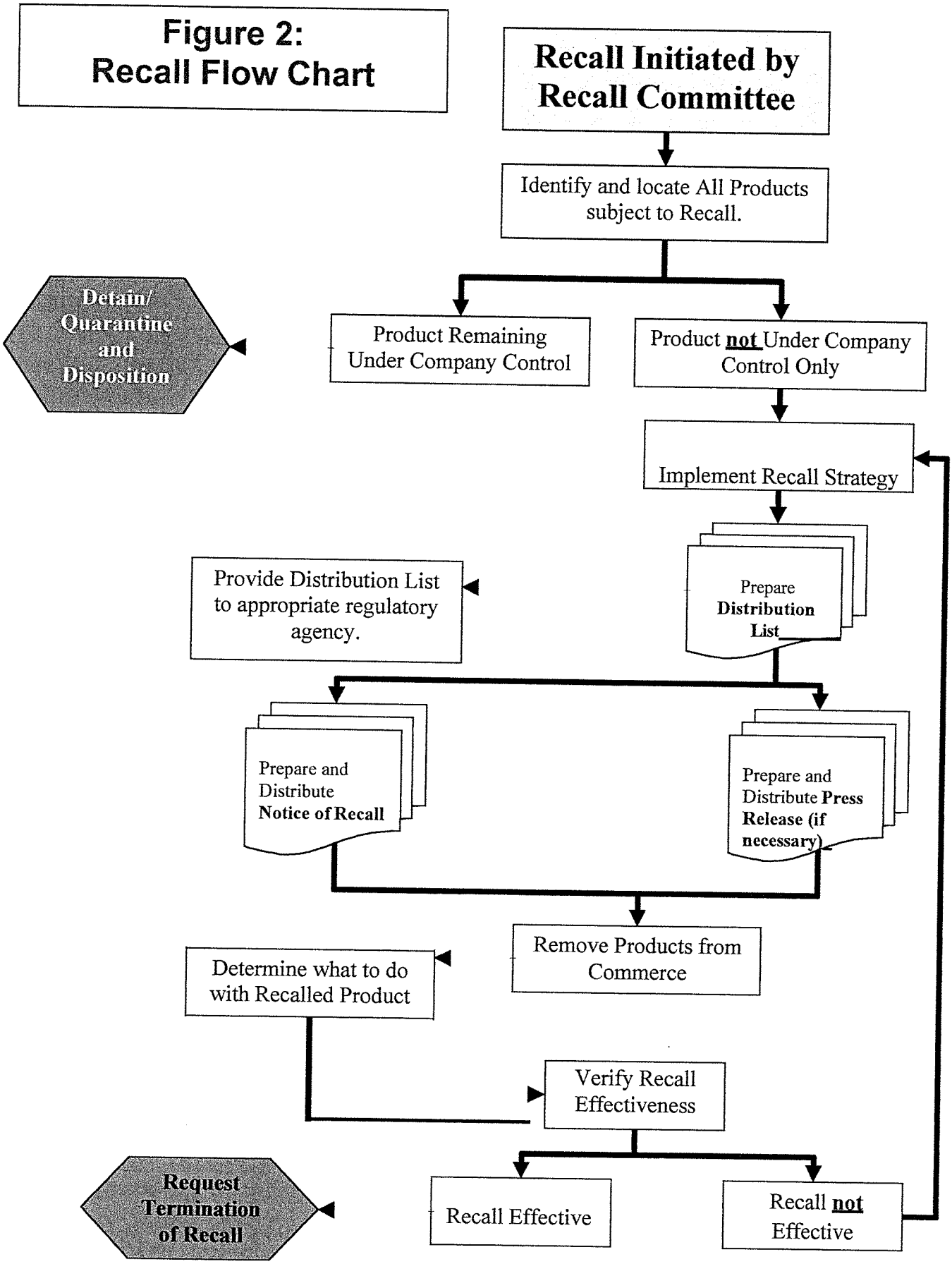


Figure 2: Recall Flow Chart



Recall Procedures

The recall procedure outlines the activities that Uncle Herb's will take to manage the recall of our product(s) which has/have been determined to be unsafe and/or subject to regulatory action. The procedure contains the major recall elements below:

- **Assignment of Roles and Responsibilities**
- **Evaluation of the Complaint or Condition**
- **Identification of Implicated Products**
- **Notification of Affected Parties**
- **Removal of Affected Products**

Assignment of Roles and Responsibilities

The roles and responsibilities of every individual on the Recall Committee should be clearly defined in the recall plan. Oversight of the following recall elements should be assigned to a member of the Recall team. Note that individuals may be responsible for more than one recall element.

Recall Coordinator

The recall co-coordinator, has been given authority by the management of Uncle Herb's to execute the activities of the recall. Responsibilities of the Recall Coordinator include, but are not limited to:

- Assure the documentation of all recall decisions and actions in a master recall file.
- Initiate the formation of the recall committee.
- Activate various components within the company for priority assistance.
- Make recall decisions on behalf of our Company.
- Manage and coordinate the implementation of the company's product recall.
- Keep management informed at all stages of the recall.

Recall Committee

Uncle Herb's Product Recall Committee is composed of the various components of the company's organization. The following functions should be represented on the committee (an individual may be responsible for more than one function):

- Management (Administration)
- Recall Coordinator
- Accounting
- Consumer Affairs/Public Relations
- Customer Service
- Distribution and Supply
- Information Technology
- Legal Counsel
- Marketing
- Operations
- Production
- Purchasing
- Quality Assurance
- Sales
- Maintenance
- Records Management
- Regulatory Affairs
- Sanitation

Note: Outside resources may need to be obtained for some of the functions.

Responsibilities

Individual recall activities should be assigned prior to a recall event to avoid confusion during a recall. Assignment of the recall responsibilities are found in Appendix D (assign an individual to each activity).

Evaluation of the Complaint or Condition

Complaint receipt, processing, and evaluation are the first steps in the recall process. The steps involved in the evaluation process are:

- Receive the complaint – A file should be maintained containing any product complaints the company receives. Information that should be maintained in the product complaint file is:
    - i. Complainant contact information
    - ii. Reported problem with the product
    - iii. Product Identification
    - iv. Product Storage
    - v. Product purchase date and location
    - vi. Illness and Injury details
- Provide the complaint to knowledgeable staff for initial evaluation. If an initial assessment indicates a recall may be necessary, the Recall Coordinator assembles the Recall Committee for a full evaluation.
- Determine the hazard and evaluate the safety concerns with the product.
- Determine the product removal strategy appropriate to the threat and location in commerce.
- Contact the appropriate regulatory authorities.
- Alert legal counsel, insurance, etc. as appropriate.
- Maintain a log of the events of the recall including information such as dates, actions, communications, and decisions.

Identification of Implicated Products

It is Uncle Herb's responsibility to ensure the identification of all products and quantities of products implicated in the recall. In addition, determination should be made if any other codes, brands or sizes of product handled by the company are affected.

A distribution list should be prepared as part of the Identification process. The distribution list should at minimum identify:

- Account name (consignees) that received the recalled product(s)
- Account addresses
- Contact names
- Contact telephone numbers
- Type of account (e.g., manufacturer, distributor, retailer)

Additional information relating to product information may include:

- Amount of product received/shipped
- Product ship date(s)
- Amount of product returned
- Amount of product consumed

A link to the FDA Distribution Template can be found in Appendix B.

Notification of Affected Parties

Notifications during a recall must be done in a timely manner and should include the appropriate regulatory agencies, the product distribution chain, and consumers when necessary. Recall notices are typically used to notify regulatory agencies and those businesses in the distribution chain. Press releases are generally oriented to consumers, but may be used to notify any affected party.

- Regulatory Agencies should be notified at the earliest opportunity after the decision has been made to conduct a recall. Regulatory guidance may be found at: http://www.fda.gov/Safety/Recalls/IndustryGuidance/ucm129259.htm.
    - Subsequent to the initial notification, the regulatory authority should be updated throughout the recall process.
- Distribution Chain contacts will be notified by appropriate means (telephone, fax, email, letter, etc.). It is recommended that a written recall notice be provided to all consignees. The Recall Notice **must** include all relevant recall information (see Appendix B, section (a)(ii)).
    - Confirm receipt of the Notice of Recall with all accounts. A record of all account communications should be maintained.
- Consumers should be notified by the most effective method available. If appropriate, a press release can be used to notify consumers. Considerations for preparing a press release include:
    - Issuance of a press release should be the highest priority and should be issued promptly.
    - The local FDA District Recall Coordinator should be consulted before issuance of a press release whenever possible.
    - All relevant information should be included in the press release (seesample templates in Appendix B).

Removal of Affected Product

The procedure for product removal can be divided into five components including: removal, control, and disposition of affected product, recall effectiveness, and recall termination.

Removal

All reasonable efforts must be made to remove affected products from commerce.

- Products in commerce should be detained, segregated, and handled in a manner determined by the recalling firm.
- Products that are still in the recalling firm's control (e.g. inventory located onsite, in transit, in off-site storage, and in offsite distribution) should be detained, and segregated.
- All quantities and identification codes shall be documented to assist in the reconciliation of product amounts.

Control of Recalled Product

When Uncle Herb's chooses to retain recalled product, control must be regained to prevent reentry of the product into commerce.

- All affected product returned will be clearly marked, not for sale or distribution, and stored in an area that is separated from any other foodproducts.

All quantities and identification codes shall be documented to assist in the reconciliation of product amounts.

Product Disposition

The final disposition of the recovered product must be determined. The final disposition must be reviewed and approved by the regulatory agency. Options include:

- Redirection – Products may be redirected for uses other than human consumption.
- Destruction - Products determined to be unsafe for human consumption may be destroyed or denatured, and disposed by appropriate means.
- Recondition – Products may be reworked to remove the safety risk. For example, would be relabeling a product to declare an allergen originally omitted from the label.

All quantities, identification codes, and disposition shall be documented.

Recall Effectiveness

Uncle Herb's is responsible for determining whether the recall is effective. Recall Effectiveness Checks verify that all consignees have been notified and have taken the appropriate action. Steps include:

- Verifying that all consignees have received the notification.
- Verifying that consignees have taken appropriate action.
- If the response from our consignees is less than 100%, then the recall should be deemed ineffective and the recall strategy should be reassessed. Certain circumstances (e.g. amount of product actually returned vs. expected, potential for consumption, shelf-life, etc.) may also require a reassessment of the recall strategy.

All verifications shall be documented.

Termination of a recall

Termination of the recall may be considered after all reasonable efforts have been made to remove the affected products from commerce, including reconciliation, recall effectiveness, and disposition.

A termination of the recall may be requested by submitting a written request to the regulatory authorities. Guidance for the termination of a recall is provided in Appendix C.

Mock Recall

In addition to an annual verification of the recall plan, Uncle Herb's will conduct a mock recall annually or whenever there are significant changes to the plan or personnel. The mock recall will include the following elements:

- Selecting a product which has reached the consumer market.
- Tracing the product from the raw ingredient (e.g. source) level to the finished product in the marketplace.
- Verifying communications systems (e.g. contact information, test emails and faxes, etc.) to outside contacts.
- Modifying the recall plan to correct any problems encountered during the test.

Records of these mock recalls will be documented and filed appropriately.

Appendix A – Contact Information

Recall Committee and Key Personnel Contact Information

The contact information including phone number, fax number, email address, and alternate 24/7 information of all committee members, their alternates, and "outside" key personnel should be confirmed and updated as often as necessary to assure accuracy.

Contact Information

- Recall Committee (24/7)
    i. Recall Committee Members (907) 343-4200

Appendix B – Templates

1. Communication Templates
    i. Model Press Releases(FDA)
        a. Allergens (Allergy Alert)
           http://www.fda.gov/Safety/Recalls/IndustryGuidance/ucm129262.htm
        b. Listeria monocytogenes
           http://www.fda.gov/Safety/Recalls/IndustryGuidance/ucm129267.htm
        c. Clostridium botulinum
           http://www.fda.gov/Safety/Recalls/IndustryGuidance/ucm129273.htm
        d. Salmonella (all serotypes)
           http://www.fda.gov/Safety/Recalls/IndustryGuidance/ucm129275.htm
        e. E. coli 0157:H7
           http://www.fda.gov/Safety/Recalls/IndustryGuidance/ucm129287.htm
    ii. FDA Guidance for Written Recall Notification Letters
        http://www.fda.gov/Safety/Recalls/IndustryGuidance/default.htm
    iii. FDB Distribution List Template
        http://www.cdph.ca.gov/pubsforms/Guidelines/Documents/fdb%20eru%20Gde%20DistListTemp.xls
2. Recall Events Log (should include the following information):
    i. Name of the person creating the action
    ii. Dates
    iii. Actions
    iv. Communications
    v. Decisions
    vi. Product disposition
3. Recalled Product Information Data Sheet (should include the following information):
    i. Product description: brand, product name, size,etc.
    ii. Lot codes
    iii. Quantity of recalled product
    iv. Date of the action
    v. Action taken for each product

Appendix C – Additional Resources

1. Industry Guidance: Information on Recalls of FDA Regulated Products
   http://www.fda.gov/Safety/Recalls/IndustryGuidance/default.htm

2. Recall policy – 21 CFR Recall Regulations Sec. 7.40
   http://edocket.access.gpo.gov/cfr_2004/aprqtr/21cfr7.40.htm

3. US Food and Drug Administration
   http://www.fda.gov/

4. USDA (FSIS)
   http://www.fsis.usda.gov/wps/portal/fsis/home

5. Center for Disease Control
   http://www.cdc.gov/

6. FDA District Recall Coordinators
   http://www.fda.gov/Safety/Recalls/IndustryGuidance/ucm129334.htm

7. FDA Guidance: Action levels for Poisonous or Deleterious Substances in Human and Animal Feed http://www.fda.gov/food/guidanceregulation/guidancedocumentsregulatoryinformation/chemicalcontaminantsmetalsnaturaltoxinspesticides/ucm077969.htm

8. FDA Defect Levels Handbook
   http://www.fda.gov/food/guidanceregulation/guidancedocumentsregulatoryinformation/sanitationtransportation/ucm056174.htm

APPENDIX D – Assigned Responsibilities

Sample Assignments (may include, but not limited to the following)

Assignment

1. Management of the Recall – (**Insert Name, Title**) is responsible for the coordination of all recall activities.
2. Assemble the Recall Committee – (**Insert Name, Title**) is responsible for communicating the decision to recall to the members of the Recall Committee and that each member knows their responsibilities.

Evaluation

1. Management Approval of the Recall – (**Insert Name, Title**) is responsible to decide if the recall should go forward.

Identification

1. Create a Product Recall Log – (**Insert Name, Title**) is responsible to create and maintain a product recall log to document all events, when they occur and the company's response to each.
2. Identify all Products to be Recalled – (**Insert Name, Title**) is responsible for identifying all products which need to be recalled.

Notification

1. Notify the Appropriate Regulatory Authority – (**Insert Name, Title**) is responsible for notifying the appropriate regulatory authority (use the contact information in the Recall Plan). Contacts shall only be made through the designated committee member. Recommended information to be submitted can be found in the FDA guidance document at: http://www.fda.gov/Safety/Recalls/IndustryGuidance/ucm129259.htm
2. Prepare the Press Release (if required) – (**Insert Name, Title**) is responsible for the recall press release if the decision to prepare a press release is made. Considerations for preparing a press release include:
    a. Issuance of a press release should be the highest priority and it should be issued promptly.
    b. Consult with your local District Recall Coordinator before issuance of a press release whenever possible.
    c. If the company decides to prepare the press release, include all relevant information (see sample templates in AppendixB)
3. Prepare the Distribution List – (**Insert Name, Title**) is responsible for preparing the recalled product distribution list. The FDB distribution list template requests account type, name, address, phone number, and contactname.
4. Prepare the Notice of Recall – (**Insert Name, Title**) is responsible for preparing the written notice includes all recall relevant information (see FDA Guidance for Written Recall Notification Letters inAppendix).
5. Distribute the Notice of Recall – (**Insert Name, Title**) is responsible for distribution of the Notice of Recall to all accounts that received the recalled product. Responsibilities include:
    d. Confirm receipt of the Notice of Recall with allaccounts.
    e. Contact accounts that have not responded to the request for conformation.
    f. Maintain records of the accountcommunications.

Removal

1. Detain and Segregate all Products to be Recalled which are in your Firm's Control – (**TBD**) – is responsible to ensure that all products to be recalled in the firm's control are not distributed (identify, detain, and segregate products on-site, in transit, off-site storage, and off–sitedistribution).
2. Control the recalled product(s) – (**TBD**) is responsible to ensure that recalled products do not re-enter commerce. Responsibilities include:
    a. Quarantine and clearly identify recalledproducts.
    b. Reconcile quantities, identification codes, and monitor recalled products.
    c. Document the returned products.
3. Decide what to do with the recalled product(s) – (**TBD**) is responsible for determining the action to be taken on the recalled product (destruction, reworking, and redirection). Other related responsibilitiesinclude:
    a. Determine if the regulatory authority requires actions such as witnessing destruction of the recalled product.
    b. Verify that the action taken has beneffective.
    c. Document the action(s) taken.
4. Verify Recall Effectiveness – (**TBD**) – is responsible for verifying the effectiveness of the recall. Responsibilitiesinclude:
    a. Verify that distribution of recalled products hasceased.
    b. Verify that all consignees at the recall depth specified by the recall strategy have received notification about therecall.
    c. Verify that consignees have taken appropriateaction.
    d. Document all verifications.