

**AUDIT REPORT**

# Good Manufacturing Practices and Food Safety Systems Audit

*for:*

**XL Fine Foods (Est.# 205)(Ogden  
Road): Calgary, AB**

**Report Date  
May 21, 2010**

**Audit by  
Dr. Jerome Lawler**

**Silliker, Inc.**

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# Audit Summary

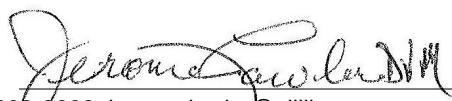
<b>Company Name: Parent Company:</b>	XL Foods, Inc. (Est. 205)	<b>Audit Date: Start/End Time (# hrs on records/observations):</b>	May 21, 2010 7:30 am - 3:00 pm 4 hours records & 2.5 hours observa
<b>Plant Address:</b>	3410 Ogden Road Calgary, AB Canada T2H 1M7	<b>Plant phone &amp; Fax Numbers:</b>	403-290-0860 403-264-3017
		<b>Email:</b>	dphan@xlfoods.com
<b>Silliker Auditor:</b>	Jerome Lawler, DVM 708-833-3662 jerome.lawler@silliker.com	<b>Company Associate(s) accompanying auditor (Name &amp; title):</b>	Don Phan, HACCP Coordinator; Jodi Robertson, QA Manager
<b>Products produced by plant:</b>	Beef and pork; portioned food service	<b>Facility meets Bio-terrorism registration requirement:</b>	Yes

<b>Audit score:</b>	97.3	<b>Rating:</b>	Excellent
<b>Last Audit Date:</b>	April 17, 2009	<b>Last Audit Score:</b>	98.8%
<b>Follow-up audit required:</b>	No	<b>Reason for follow-up:</b>	N/A
<b>Pass/Fail:</b>	Pass		

# Audit Review

<b>Company associate(s) with whom audit findings were reviewed:</b>	Cory Christenson, Plant Superintendent; Don Phan, HACCP Coordinator; Jodi Robertson, QA Manager
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**Auditor Signature:**



Dr. Jerome Lawler 708-833-3662; jerome.lawler@silliker.com

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## Plant Description

The auditor verified by Don Phan that the plant has registered and is in compliance with the Bioterrorism regulations. This is a CFIA inspected facility.

XL Fine Foods is a privately owned company. This facility was built in the 1940's, with additions and modifications. The facility is two stories and approximately 40,000 square feet. The layout of the facility is made up of receiving, box-beef receiving, coolers, packaging, dry storage, freezers, shipping, employee welfare areas, and administrative office areas. The facility is in good condition and well kept. XL Fine Foods company employs 25 - 30 people working one shift, five days per week. The second shift being complete tear-down by Sanitation. XL Fine Foods produces case ready meats such as steaks, pork chops, pork cutlets, breaded meats, half loin, stew meat products.

## Summary of Audit Findings

**Company:** XL Fine Foods (Est.# 205)(Ogden Road): Calgary, AB      **Audit Date:** May 21, 2010

**Critical / Major Areas (Questions scoring a 1 or 2):**

## Positive Comments

The facility was well prepared and well organized for the audit. The programs and documents were readily available for review. The facility was well kept and in good condition. The auditor would like to thank the management staff for their focused attention and cooperation.

# Good Manufacturing Practices and Food Safety Systems Audit Rating Analysis

**Company:** XL Fine Foods (Est.# 205)(Ogden Road): Calgary, AB      **Audit Date:** May 21, 2010

<b>Category</b>	<b># Points Received</b>	<b># Possible Points</b>	<b>Percentage (%)</b>
<i>I. Food Safety Systems</i> .....	143	145	98.6
<i>II. Quality Systems</i> .....	185	190	97.4
<i>III. Grounds, Building, &amp; Equipment</i> .....	89	95	93.7
<i>IV. Pest Control</i> .....	45	45	100
<i>V. Employee Practices</i> .....	30	30	100
<i>VI. Receiving, Storage, &amp; Shipping</i> .....	71	75	94.7
<i>VII. Plant Sanitation</i> .....	43	45	95.6
<i>VIII. Processing</i> .....	59	60	98.3
<i>IX. Food Defense</i> .....	55	55	100
<b>Overall Score</b> .....	<b>720</b>	<b>740</b>	<b>97.3</b>

**Items in bold and caps are automatic failure questions if a "1" is scored by auditor.**

# I. Food Safety Systems

## A. HACCP

## Rating

1. A HACCP team, comprised of members from across the plant, has been established and meets on a routine basis. The team includes a person trained in a formal, external HACCP course. (2 Elements)	5
2. Each product must be fully described in the HACCP plan. The descriptions must include raw materials and ingredients, finished products, how the products are to be distributed, intended use of the product and intended consumers. (2 Elements)	5
3. A flow chart must exist for each product and for all variations of the process and sub process. The flow charts must be verified as being accurate, dated and signed. (2 Elements)	5
4. The flow chart must identify and describe each step in the process, including all inputs and outputs and all interactions between process steps. The flow chart must include rework and recycled pathways, intermediate processes, hand operations, and outsourced or subcontracted work. (1 Element)	5
5. A written hazard analysis must be available and identify the significant food safety hazards associated with the products and ingredients covered by the HACCP plan and reasonably likely to occur. The hazard analysis must be based on scientific and/or technical data and include the specific hazard relevant to the products and processes. (2 Elements)	5
6. The critical control points are identified on the process flow chart as well as in the documented HACCP plan. (2 Elements)	5
7. Critical limits have been scientifically established, validated and documented. (2 Elements)	5
8. Critical Control Points are monitored at regularly scheduled intervals that ensure control of the process.. Monitoring procedures are documented and monitoring records are maintained. The person monitoring the Critical Control Point understands the procedures. (3 Elements)	5
9. Employees who are involved in the HACCP plan have been trained in the HACCP-related activities in their immediate work areas. This training is documented as to date(s) given and is a part of the employee's records. The training should be conducted annually. (2 Elements)	5
10. Corrective action procedures have been identified, and corrective action records are maintained. Product disposition is documented. (3 Elements)	5
<b>11. CORRECTIVE ACTION PROCEDURES ARE TAKEN WHEN CRITICAL LIMITS ARE NOT MET. (1 Element)</b>	5
12. Appropriate verification procedures have been identified and are documented, including the frequency for each verification step. Calibration tasks are documented and records of the calibration are maintained. All verification activities are documented. (3 Elements)	5
13. All records related to performing HACCP tasks and reviewing HACCP records are appropriately signed/initialed and dated. (2 Elements)	5
14. The HACCP plans must be verified through an annual reassessment. The reassessment team can be internal or external to the operation. This verification is independent of other routine verification procedures and must be documented by a report that is maintained in the HACCP plan's historical records. The reassessment must be performed to ensure the HACCP plan results in the control of the hazards. (3 Elements)	5

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

# I. Food Safety Systems

## B. Food Safety Practices

Rating

1. Proper employee and equipment traffic flows are used to minimize contamination between raw products and finished products. Food processing areas are organized to minimize the risk of cross-contamination through adequate separation of raw materials, finished product, and storage and distribution areas. (2 Elements)	5
<b>2. EMPLOYEES WITH OBVIOUS SORES, INFECTED WOUNDS, OR OTHER INFECTIOUS ILLNESSES SHALL NOT BE ALLOWED TO HAVE DIRECT CONTACT WITH EXPOSED FOOD PRODUCTS OR PRODUCTION / STORAGE AREAS. (1 Element)</b>	5
3. Employees are observed washing their hands after activities that may have contaminated them. Activities can include, but are not limited to: using the restrooms; after breaks; prior to entering production and product packaging areas; prior to handling product; prior to touching product contact and non-food contact surfaces or after handling garbage. When disposable gloves are being used they must be changed when they are damaged, after any absence from the workstation, or when potential contaminants are handled. Procedures for the proper handling and usage of gloves are established and implemented. Gloves must be worn when there is direct hand contact with ready-to-eat products. Non-disposable rubber gloves must be washed and sanitized frequently, after breaks, and/or after handling potential contaminants. (3 Elements)	5
4. Only approved food-grade lubricants are used in product contact zones and they are appropriately stored and labeled. (2 Elements)	5

## C. Product Contamination

Rating

<b>1. NO ACTUAL PRODUCT CONTAMINATION IS OBSERVED. (1 Element)</b>	5
2. No condition or practice exists that may potentially contaminate product, or could lead to product contamination. (1 Element)	3
3. A written glass control and brittle plastic program has been established. The program addresses all glass that is to be shielded within the facility, handling of glass and brittle plastic packaging, and clean-up procedures for glass and brittle plastic breakage. (3 Elements)	5

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

# I. Food Safety Systems

## D. Allergen/Adverse Reaction Management

Rating

<b>1. THE FACILITY USES INGREDIENTS THAT ARE FOOD ALLERGENS AND HAS DEVELOPED AN ALLERGEN CONTROL PROGRAM TO PREVENT CROSS-CONTACT WITH ALLERGENS. (1 ELEMENT)</b>	5
2. A master listing of ingredients used in the plant that are food allergens has been developed and is documented. Ingredients that are allergens are identified as allergens on all formulation, batch, or raw material production records. Allergens are properly labeled when not in original container. (3 Elements)	5
3. The allergen program includes documented procedures for control of allergens in the following areas: allergen separation in storage, clean up procedures for allergenic ingredient spills, controls of utensils and storage containers that come into contact with allergens. (2 Elements)	5
4. Production scheduling is done to ensure allergens are run prior to changeover and that specific changeover procedures are developed for allergen removal. Verification of changeover activity is conducted. Records of changeover and verification activities are maintained. (3 Elements)	5
5. Facility has a written label reconciliation program in place. It includes regular review of product labels versus product being packaged, inspection of labels at receipt to ensure accuracy, and removal and destruction of obsolete labels. Records of allergenic containing label inspection at receipt and review of label vs. product are maintained. (3 Elements)	5
6. Facility has a written procedure on handling the rework of allergens. It includes proper labeling of rework to identify the product and allergen present and control of rework back into process and/or product. (2 Elements)	5
7. Facility complies with US FDA Food Allergen Labeling and Protection Act of 2004 (effective January 2006), which identifies allergens on product labels using common terms. (This is only applicable to facilities governed by FDA regulations). (1 Element)	Yes
8. Facility is using testing to verify effectiveness of allergen removal in changeover procedures. Auditor will list the method being used in comment section. (1 Element)	No

## E. Food Safety Training

Rating

1. A program for conducting food safety, food defense, GMP, and allergen training for all employees, including new employees, has been established. Completion of this training is documented as to date(s) given, what topics were covered, and who conducted the training and is a part of the employee's records. The training should be conducted annually. Provisions for temporary employees are included in the training program. (4 Elements)	5
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## F. Miscellaneous

Rating

<b>1. FACILITY HAS COMPLETED THE REQUIRED REGISTRATION FOR THE BIO-TERRORISM REGULATION. THE AUDITOR CAN VERIFY THAT THE FACILITY HAS GONE THROUGH THE REGISTRATION PROCESS. (IF THE FACILITY IS NOT REGISTERED THIS IS AN AUTO-FAILURE.) Not required if facility is under USDA FSIS inspection.</b>	5
2. If FDA regulated and located in the USA, the facility is aware of the 2009 FDA regulation establishing a Reportable Food Registry (RFR) and its accountability as a food or feed manufacturer to report when there is reasonable probability that an article of food will cause serious adverse health consequences. (2 Elements)	N/A
3. Facility has completed corrective actions from previous third party audits for designated audit defects. Auditor will randomly select 3 corrective actions listed from previous audits and verify that designated audit defects were not observed as being out of compliance in this audit.	Yes

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

# I. Food Safety Systems

<b>Possible Points</b>	<b>145</b>
<b>Actual Points</b>	<b>143</b>
<b>Percentage</b>	<b>98.6</b>

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**Items in bold and caps are automatic failure questions if a "1" is scored by auditor.**

# I. Food Safety Systems

## Comments

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- I.A.1** Note: The facility had documented HACCP team meeting notes of April 30 and May 14, 2010 since the previous year's meetings.
- I.A.3** Note: The facility has seven (7) HACCP plans flow charts were dated; 1) Beef Steak and Ribs - May 17, 2010; 2) Cutlets and Breaded Cutlets - Apr 20, 2010; 3) Pork (Bone-in and Boneless) - May 13, 2010; 4) Liver and Breaded Liver - April 23, 2010; 5) Ground Pork [inactive at this time], 6) Beef By-Products - Apr 26, 2010, and 7) Beef Boneless Trim (in-house trimmings) - May 17, 2010.
- I.A.5** Note: The facility has seven (7) HACCP plans; 1) Beef Steak and Ribs, 2) Cutlets and Breaded Cutlets, 3) Pork (Bone-in and Boneless), 4) Liver and Breaded Liver, 5) Ground Pork [inactive at this time], 6) Beef By-Products, and 7) Beef Boneless Trim (in-house trimmings). The hazard analysis was a two-part application, as the major hazards of various process steps (not all process steps) and how they were respectively addressed for control was one part and the CCP decision tree for each process block.
- I.A.6** Note: The facility's HACCP plans 1) Beef Steak and Ribs, 2) Cutlets and Breaded Cutlets had the CCPs of Receiving (Approved Supplier - Letter of Guarantee of Interventions) and Metal Detection. The three HACCP plans 3) Pork (Bone-in and Boneless), 4) Liver and Breaded Liver, 5) Ground Pork had the CCP of Metal Detection, 6) Beef By-Product CCPs were the CCPs of Receiving (Approved Supplier - Letter of Guarantee of Interventions) and Metal Detection, and 7) Beef Boneless Trim (in-house trimmings) did not have a CCP, as it relied upon pre-requisite program of labeling for cooking only and Letters of Cooking from customers.
- I.A.7** Note: The supplier letter of intervention was regulatory based and the support documentation of the metal detection CCP critical limit (i.e.. FDA Part 555, Olson source paper, etc) was available.
- I.A.8** Note: The dates of CCP monitoring logs reviewed were October 26-20, 2009; December 7-10, 2009; January 11-15, 2010; and March 8-12, 2010. Monitoring logs were in compliance to the program.
- I.A.11** Note: Metal detection had not had any true CCP failures (metal detection not functioning) in the past six months, but had identified some suspect product but was not able to visually identify any foreign material.
- I.A.13** Note: The dates of CCP verification logs reviewed were October 26-20, 2009; December 7-10, 2009; January 11-15, 2010; and March 8-12, 2010. Verification logs were in compliance to the program.
- I.A.14** Note: The facility had their annual reassessment May 17, 2010 performed by the trained HACCP coordinator of their sister plant.
- I.C.2** It was observed that loose tags of white tape and orange marking tape were directly over exposed product (refrigeration units at scanvaneg staging area) and product lines (at central packaging machines).
- I.D.2** Note: The facility produced two (2) products of breaded items that contained wheat and soy.
- I.D.3** Note: The facility was able to have separate receiving, storage, and processing for allergen related items.
- I.D.4** Note: Even though the facility had physical separation for allergens, they did have procedures in place for sanitation and sequence of scheduling.
- I.D.8** The facility did not perform specialized sanitation testing for allergens, as the allergens were common to both product items and processed in separate areas from non-allergen containing products.
- I.F.1** Note: The facility was CFIA inspected and had a letter of export approval to the USA from CFIA.
- I.F.2** N/A: The facility was exempt as CFIA inspected.
- I.F.3** Note: The identified items of food grade lubricants in contact with other materials, product tote stands, and metal detection critical limit justification had been addressed since the previous audit.

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**Items in bold and caps are automatic failure questions if a "1" is scored by auditor.**

## II. Quality Systems

### A. QA/QC Program

Rating

1. A written quality management program, which identifies and defines the policies and procedures for the operation and control of the site's food safety and quality programs, is established, organized, and current. There is an approval process for the program and its procedures, including changes. The program identifies an individual whose job description includes responsibility for managing the overall program. (4 Elements)	5
2. There are written standards and specifications for raw and finished food products and packaging materials that come in contact with food. How any rework is used in products must be defined. (4 Elements)	5
3. Procedures and criteria have been established for all hold and release programs. Documentation and records are maintained. The procedures shall include a method of identification for held products, a log of holds with descriptions of the holds and reconciliation of open holds. (3 Elements)	5
4. There is a written record retention program for all quality and food safety records, including electronic documents. The program describes what records are included, how long they are maintained and where the records will be kept. There are secure back-up procedures for electronically retained records. (3 Elements)	5
5. Self-audits are performed at least monthly. Copies are maintained for at least 12 months. Self-audits must include physical inspections of all areas and equipment of the facility and grounds, evaluating maintenance, sanitation, food security, and GMP compliance. Personnel from all departments participate. Corrective actions include what is to be done, when, and by whom. (4 Elements)	5
6. There is a defined program to review existing product labels and the development of new product labels for information accuracy and regulatory compliance. The program identifies the frequency of review, responsible function for completing it, and the approval process for new label development and label changes. The auditor will verify compliance to the process by reviewing a minimum of one label against specification and include the label name and compliance level in the comments. (3 Elements)	5

### B. Good Manufacturing Practices

Rating

<b>1. A DOCUMENTED GMP PROGRAM HAS BEEN ESTABLISHED. IT COMPLIES WITH ALL APPLICABLE REGULATIONS. (1 Element)</b>	5
2. Signage that identifies applicable employee hygiene requirements in languages appropriate for employees to understand is present at all entrances to GMP zones. GMPs are posted for employees and visitors and/or they are given a copy of the facility's GMPs. The GMPs or company policy should specify that lack of compliance with the standards might result in disciplinary action. Corrective action procedures must be established for deviations to employee hygiene practices, and records are maintained. (4 Elements)	5

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## II. Quality Systems

### C. Pest Control

Rating

<p><b>1. A WRITTEN PEST CONTROL PROGRAM HAS BEEN ESTABLISHED. IT MUST INCLUDE A DESIGNATED PEST CONTROL OPERATOR (INTERNAL OR AN OUTSIDE SERVICE), SCHEDULED FREQUENCY OF SERVICE, AND A CURRENT MAP, UPDATED, ANNUALLY, SHOWING THE LOCATION AND TYPE OF ALL PEST CONTROL DEVICES (INTERNAL AND EXTERNAL) (2 Elements)</b></p>	3
<p>2. The pest control files include documentation of all business licenses, proof of indemnity insurance and certification for all PCOs in accordance with state requirements. The files also include a current list of approved pesticides to be used in the facility. MSDS and sample labels for products used. All pesticides, chemicals and compounds used meet applicable regulations and approvals (EPA, USDA, OSHA, etc.). The files are accurate, up-to-date and complete. (3 Elements)</p>	5
<p>3. Service reports, at the frequency described in the contract or in the program, must be up-to-date and available for review. They must show the service performed, types and amounts of chemicals used, EPA or other applicable regulatory registration numbers, the location treated, targeted pests, signs of activity and applicable follow-up actions. Trends in activity must be assessed by the PCO or plant to identify areas of improvement in the pest control program. (4 Elements)</p>	5

### D. Cleaning and Sanitation

Rating

<p>1. A written master cleaning/sanitation schedule lists all areas and equipment in the plant that require cleaning (including processing and non-processing areas and equipment) and provides the frequency of cleaning. Documentation of the person responsible for completing these tasks and the verification that they were completed are available for review. (3 Elements)</p>	3
<p>2. Written sanitation SOPs are established and implemented for all cleaning tasks that involve chemicals or water including tear down procedures if required. They include all necessary and/or regulatory content, such as responsibility, task to be performed, chemicals and equipment to be used. Sanitation SOPs in wet processing environments detail how equipment is to be cleaned and sanitized after being out of service, including the time element for being out of service. Facility maintains current MSDS and labels for all cleaners and sanitizers being used in an organized, accessible and easy-to-use system. (3 Elements)</p>	5
<p>3. A program for conducting ongoing training on cleaning and sanitation procedures and safe chemical handling for sanitation employees, including new sanitation employees and employees who have emergency sanitation responsibility, has been established. Contract production cleaning and sanitizing companies must maintain SSOP and safe chemical training records at the facility. Completion of this sanitation training is documented as to date(s) given, what topics were covered, and who conducted the training and is a part of the employee's records. The training should be conducted annually. (3 Elements)</p>	5
<p>4. A pre-operational sanitation inspection program, with pass/fail criteria is established and includes all production related areas of the facility. Visual inspection is used to assess sanitation prior to the start of production. Pass/fail criteria are established and corrective actions are written and implemented when results of visual inspection show failure. Records of all pre-operational sanitation checks and corrective actions are maintained. (3 Elements)</p>	4
<p>5. An environmental monitoring program using rapid methods and /or microbiological swabbing for pathogens and indicator organisms unique to the product being manufactured should be in place and used to verify sanitation on a pre-defined basis. Pass/fail criteria have been identified. Corrective action procedures are written and implemented when results show failure. Records are maintained and results are reviewed and trended on a routine basis to identify areas for continuous improvement. (4 Elements)</p>	5
<p><b>6. THE FACILITY WATER IS FROM A POTABLE SOURCE. (1 Element)</b></p>	5
<p>7. Water potability is tested annually by a certified laboratory. The sample should be taken from a different location in the facility, each year. Records are maintained. (2 Elements)</p>	5

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## II. Quality Systems

### E. Processes for Controlling Inbound and Outbound Materials

Rating

1. A documented program has been established for approving domestic and international suppliers of raw materials, ingredients and packaging. Facility should have a master list of approved suppliers. (2 Elements)	5
2. An inbound delivery inspection program is required for the ongoing monitoring of all ingredients and materials. Appropriate procedures or monitoring methods are used to document load conditions, including cleanliness of the delivery containers or trailers. They include the examination of incoming materials for evidence of contamination (pest, microbiological, chemical and physical), temperature abuse, damage, quality and condition. Inspection records are documented and filed, including disposition of any rejected product. (2 Elements)	5
3. A written, ongoing monitoring QA program is established to evaluate ingredients, raw materials, and packaging for compliance to specifications. Packaging includes product labels. When letters of guarantee are used to assure compliance, the plant has identified the frequency for their renewal and verification. Ingredients, raw materials and packaging that are monitored via a certificate of analysis upon receipt must be identified on a master list, and the site must have a predefined system for verifying the accuracy of the COA results against the specification. (3 Elements)	5
4. A system for identifying and labeling all incoming packaged and bulk ingredients and packaging materials has been established for traceability. The system must include lot and date code identification. (2 Elements)	5
5. A documented program has been established for verifying that finished products are ready for shipping and distribution. The procedures meet any applicable regulatory requirements and include trailer inspection and load condition. Outside storage facilities (company or independently owned) are identified, and there are defined procedures for verifying the condition and practices used at these facilities. (3 Elements)	5
<b>6. FINISHED PRODUCTS CAN BE TRACED TO THE LOT NUMBERS OR CODE DATES OF ANY INGREDIENTS, RAW MATERIALS AND REWORK USED. (1 Element)</b>	5
7. Finished products can be traced to the food contact/primary packaging materials used. (1 Element)	5
8. Written procedures are established to determine the safety and security of returned goods. Procedures must define how returned products are to be segregated and evaluated for food safety and food security concerns when received. If there is a policy to use returned goods, there must be defined procedures on the controls to be used to insure safety. If the returned goods are to be destroyed, there must be procedures on what methods of disposal will be used. Code dates of all returned goods and all actions taken on the returned goods must be recorded and tracked from receipt to use or disposal. (3 Elements)	5
9. Does this plant buy imported ingredients, raw materials and packaging? Are controls in place to approve and monitor foreign suppliers?	No
10. Does this plant use co-manufacturers for any of the products it sells under its labels? Are controls in place to approve and monitor the co-manufacturers?	No

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## II. Quality Systems

### F. Process Control Measures for Achieving Product Quality

**Rating**

1. Process control points and applicable limits have been identified for all production lines. There are written procedures for monitoring the control points and the corrective actions to be taken when deviations occur. Records of all process control point monitoring and corrective actions are kept. (3 Elements)	5
2. All measurement equipment for monitoring process control points (e.g., thermometers, scales, pH meters, refractometers) is calibrated according to a defined schedule. The calibration results and any corrective actions are documented. (2 Elements)	5
3. There are written procedures on how to calibrate and maintain all metal detectors or other automated foreign material detection equipment systems. There are written procedures on how to handle product rejected by the detection systems. Records of all calibration checks are maintained. Auditor is to list the type(s) of foreign material detection systems being used by the facility. (3 Elements)	5

### G. Maintenance

**Rating**

1. A written program exists for the proper preventive maintenance of all equipment and appropriate areas of the facility. There is an established schedule and a system for verifying that the PM tasks have been completed. (2 Elements)	5
2. A documented program exists for employees to identify items in the facility needing maintenance. A system for reconciliation that maintenance has been completed is in place. (2 Elements)	5
3. There is a written program to address the cleaning and sanitizing of equipment that has undergone repairs, maintenance or re-assembly before being used in processing. Responsibility for monitoring and verifying completion of this process is assigned. Documentation of this sanitation is required. (3 Elements)	5
4. Written guidelines are in place to insure product is protected during all maintenance activities, including actions required to protect exposed and non-exposed product. Guidelines must be in place to ensure product disposition when product has been affected by maintenance activities. (2 Elements)	5
5. Written guidelines are established to ensure tool and parts control when repairs are taking place during production. The guidelines should include proper placement of tools and parts and should address tools used in raw areas versus finished product areas. (2 Elements)	5

### H. Good Laboratory Practices

**Rating**

1. A documented GLP program has been established. It includes steps for the handling and storage of reagents and samples, the test methods to be used, and written SOPs for internal calibration and control procedures for all tests or analyses performed. Lab results are documented and initialed. There is a documented verification program for internal laboratory proficiency for chemical and microbiological testing, and records are available for review. (3 Elements)	N/A
2. All appropriate laboratory equipment is calibrated as scheduled or as necessary and is functioning properly on a continuing basis. The calibration results are documented. (2 Elements)	N/A
3. The on site laboratory is testing for pathogens and has a program in place for running positive controls. Auditor will comment whether the laboratory is in a separate building or located under the same roof as the production facility. (1 Element)	N/A

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## II. Quality Systems

### I. Product Recall Procedures and Customer Communications

**Rating**

<p>1. A documented product recovery program that can trace the distribution of specific production lots and the source of all primary packaging and ingredients used therein has been established and is maintained. The program must comply with FDA/USDA or equivalent guidelines for conducting a product recovery. The program must define procedures for contacting customers. Contact lists for responsible employees and customers are updated annually. Responsibility for managing the recovery program is assigned. (3 Elements)</p>	5
<p>2. Mock recalls are conducted at least every 12 months to assess the effectiveness of the program. The results of the mock recall are on file, available for review, and must include a summary page and copies of all supporting documents. The mock recall should account for 100% of the ingredient, product, or primary packaging tested within 2 hours. Auditor will list the date of the last mock recall, the item tested, and the percentage of product recovered in the comments. (3 Elements)</p>	5
<p>3. Auditor is to conduct a traceability exercise on one item during the audit to verify that the facility can identify, track and locate 100% of finished product lots, raw materials or packaging to first external customer or first level of external distribution, within 2 hours. Auditor will list the item tested and summarize results in the comments. (1 Element)</p>	5
<p>4. A documented program on how to collect and evaluate customer complaints, especially those related to food safety and quality, has been established. There is a system for notifying food safety/QA personnel of applicable customer complaints and for investigation to identify a probable cause and resolution. Customer complaints are summarized on a routine basis to identify areas for continuous improvement. (3 Elements)</p>	5

<b>Possible Points</b>	<b>190</b>
<b>Actual Points</b>	<b>185</b>
<b>Percentage</b>	<b>97.4</b>

**Items in bold and caps are automatic failure questions if a "1" is scored by auditor.**

## II. Quality Systems

### Comments

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- II.A.2** Note: The rework was limited to WIP (Work in Process).
- II.A.3** Note: The reconciliation was performed monthly. The most recent entry dated back to May 4, 2010.
- II.A.5** Note: The facility was limited to number of management individuals for the participation of various departments. The self-audit was a combination of weekly and monthly tasks for regulatory pre-requisite program compliance.
- II.A.6** Note: The labels reviewed were 47415 - BNLS Beef Sirloin Steaks, 91103 - Pork Cutlet, 91403 - Breaded Beef Liver, 79207- Beef Oxtail Split RTS and were compliant to the regulatory guidelines.
- II.C.1** It was observed that the frequency of exterior bait station PCO service was to be twice a month (March - October), but had only been serviced March 1 and April 19 of this spring.
- II.D.1** A couple items which were seasonal of the master sanitation program had not been picked up for 2010 (freezer and dock plates). Also, the cooler racks had a heavy accumulation of dust and dirt.
- II.D.4** The pre-operational inspection SOP presented to the auditor did not have a visual pass / fail criteria other than unsatisfactory.
- II.D.5** The facility performed a minimum of ten (10) daily swabs and had the pass / fail criteria of 100 cfu APC.
- II.D.6** Note: The facility's potable water was supplied by the local municipality (Calgary, AB).
- II.D.7** Note: The facility performed potable water sampling twice a year and had test results for multiple sites within the facility of Apr 2, 2010.
- II.E.1** Note: The facility's corporate group was responsible for supplier approval and the facility was held to purchasing from those vendors. The facility had a list of the approved suppliers in its supplier program. Letters of Guarantee of CFIA approval were on file at the plant.
- II.E.4** Note: All materials received had the manufacturer's lot code recorded on the Receiving Inspection log.
- II.E.6** Note: Product code label, product description, and production date. The label also had a unique serial number for each case or container.
- II.E.8** Note: The facility used B 2.3.2 of the regulatory pre-requisite programs for addressing the returned product procedures.
- II.E.9** Though an Australian raw material supplier was listed, the facility had not purchased from other than domestic suppliers of any type of item in the past year.
- II.E.10** This facility did not use co-packers.
- II.F.1** Note: The facility performed product organ-o-leptic inspections (color, shape, odor, condition) and final product checks (label, leakers, portion wt, net weight).
- II.F.3** Note: Metal detection was applied after the primary packaging.
- II.H.1** N/A: The facility did not have an on-site laboratory.
- II.H.2** N/A: The facility did not have an on-site laboratory.
- II.H.3** N/A: The facility did not have an on-site laboratory.
- II.I.2** Note: The facility performed a mock recall on December 22, 2009 for MC Diced Beef, product code 91613 of October 14, 2009 production. A total of 126 cases were produced for the customer and shipped to the one location on seven different dates (20 cases, 20 cases, 20 cases, 20 cases, 20 cases, 20 cases, and 6 cases). A total of 49 minutes was for the recall exercise.

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Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## II. Quality Systems

- II.I.3** Note: The facility performed a mock recall during the audit for product code 95000 - Beef Tenderloins. Originally the mock recall was to be for May 14 and 174 cases, but material to fill the order of 200 cases involved the previous day's production and 113 cases. Overall the reconciliation was made for the 200 cases being sent to the customer at three (3) locations of 88 cases, 66 cases, and 46 cases. This was done in 25 minutes.
- II.I.4** Note: The facility had maintained their customer complaint policy and file. The most recent on record was from June 2007.

### III. Grounds, Building, & Equipment

#### A. Plant Grounds

#### Rating

1. Roads, yards, grounds, and parking lots are maintained in neat and good condition, and free of trash and litter. Grass and weeds are cut to minimize harborage areas for pests and are not within 20 feet of the building. Ornamental landscaping must not provide harborage next to the building. (3 Elements)	5
2. Plant grounds have adequate drainage to prevent pooling water that can serve as a source of contamination by seepage, foot-borne filth, or provide a breeding place for pests. There should be no evidence of pooled water and no standing water should be observed. (2 Elements)	5
3. Equipment and pipes stored on plant grounds are at least 20 feet away from the buildings or at least 6 inches above the ground and in an organized manner to prevent breeding areas and harborage for pests. Any pipes within 20 feet of the building must have closed ends. (2 Elements)	5
4. Litter and waste are properly stored in enclosed containers. All waste is removed from the premises at appropriate intervals and in such a manner to prevent spillage and litter. The dumpster is on a rigid, cleanable surface. The dumpster areas are cleaned on a regularly scheduled basis and/or are clear of debris and spilled product. (3 Elements)	4
5. The loading dock areas are clear of debris and spilled products. All equipment or items stored on the dock should be clean and organized. All bumpers, levelers and shelters are in good repair and clean. (3 Elements)	4

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

### III. Grounds, Building, & Equipment

#### B. Plant Facilities

#### Rating

1. Plant buildings and roofs are suitable in construction and designed to facilitate maintenance and sanitary operations. There are no roof leaks. (2 Elements)	5
2. Interior floors, walls, and ceilings are constructed of materials that can be adequately cleaned and maintained in good repair. (3 Elements)	5
3. Adequate screening or other protection is provided for defense against pests. Doors and windows should be closed or screened with no gaps greater than 0.25 inch. Cracks and crevices have been sealed to prevent entrance or harborage of pests. Drains protruding from outer building walls must be screened. (3 Elements)	5
4. Aisles and workspaces between processing equipment and walls are unobstructed and of adequate width to permit employees to perform their duties and protect against contamination. There is adequate lighting in all areas of the facility, including processing, storage, receiving, shipping, locker rooms, restrooms and break areas. (2 Elements)	5
5. All glass and brittle plastic in receiving, shipping, production, and storage areas of the facility are shielded or protected against breakage. (1 Element)	5
6. Adequate ventilation or control equipment is in place to minimize odors and vapors. Fans and other air-blowing equipment are operated and maintained to minimize the potential for contaminating food, equipment or packaging materials. (2 Elements)	5
7. Water lines and hoses are protected against backflow or cross-connections between potable and waste water systems in areas where potential backflow conditions exist. (1 Element)	5
8. Hand wash stations are appropriately located in the processing areas. Hand washing stations have hands-free water and towel operations and are provided with antibacterial soaps, warm water and single use towels or a suitable drying device at all times. Signs in the appropriate languages direct employees to wash and sanitize their hands before they start work, after each absence from their workstation and at any time their hands may become soiled or contaminated. (4 Elements)	5
9. Break areas, locker rooms, and restrooms are maintained in a clean and sanitary condition. They are equipped with proper ventilation and self-closing doors. Drains function properly and are free of standing water. Break areas are separated from the food processing areas and are free of plant garments, aprons, etc. Employee lunches should not be stored in lockers. Ladies restrooms must have covered trash receptacles. Hand wash signage is posted in all of these areas. (3 Elements)	5
10. Ladders and walkways over exposed product lines are protected to prevent potential contamination. Appropriate kick plates are installed as necessary. (1 Element)	N/A

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

### III. Grounds, Building, & Equipment

#### C. Equipment

**Rating**

1. All plant equipment and utensils are designed and constructed to prevent contamination to food products. Food contact surfaces and seams are smoothly bonded. Wooden equipment and / or wooden food surfaces are not used in food processing areas. (2 Elements)	5
2. Equipment is maintained in good repair and is being used for the task for which it was intended. Contact surfaces are corrosion resistant and able to withstand the processing environment. No mold or rust is observed on equipment. (2 Elements)	3
3. Temporary repairs of equipment will not inhibit proper sanitation or be made with materials that contribute in any way to the contamination of the product or environment. (2 Elements)	3
4. Soiled or broken pallets are not used. Empty pallets are not stored near raw material, in food processing, or food storage areas. (2 Elements)	5
5. Vehicles and equipment used for moving raw materials, finished products and packaging throughout the facility are cleaned and maintained in good condition. Fork truck or hand truck batteries are stored segregated from food products and packaging materials. (2 Elements)	5

**Possible Points 95**

**Actual Points 89**

**Percentage 93.7**

#### Comments

- III.A.4** It was observed that minor amount of litter, paper, and plastic was on the ground in front of the docks.
- III.A.5** Underneath of the dock plates had not been cleaned out, as wood, paper, and other debris had accumulated in the pit.
- III.B.7** Note: The back flow prevention devices had been certified April 30, 2010. Wash hose drops each had a check valve.
- III.B.10** N/A: No ladders or walkways were over exposed product lines.
- III.C.2** It was observed that one of the in-feed belts of the scanvanegt machine had a piece the size of a quarter missing from the edge. Also, the neoprene belt of the scale conveyor showed delamination and peeling.
- III.C.3** It was observed that orange plastic tape was being used for markers (steak cutting and subprimal trimming processing room refrigeration unit) and white tape used as temporary quick fix rather than sealant.

**Items in bold and caps are automatic failure questions if a "1" is scored by auditor.**

# IV. Pest Control

## A. Pest Control

### Rating

1. The plant has an adequate number of interior pest control devices. The spacing is at consistent intervals (typically 20-40ft.) around the inside of any exterior wall. Mechanical stations should be within 10 ft. of both sides of doors leading to the exterior, including dock doors. Pest control devices must also be used in dry storage areas, coolers, locker rooms, and break areas. These devices must be located so that they do not contaminate product, packaging or equipment. A number and/or color code must correspond with the master identification map. (3 Elements)	5
2. The plant has an adequate number of tamper-resistant exterior pest control stations spaced at appropriate intervals (usually 25-50 ft.) around the building's exterior perimeter. (If the plant has conducted a risk study with its pest control service within the past 6 to 12 months using the National Pest Management Association standards and the study is available for review, spacing of the exterior stations can be adjusted based on the study results.) Stations are secured in place next to the building, closed, and a key or a tool (e.g., Allen wrench) is required to open. Bait must be anchored inside the stations to avoid being removed by a rodent or floating away during heavy rains. These devices must be located so that they do not contaminate product, packaging or equipment. The number and location code must correspond with the master identification map. (3 Elements)	5
3. Live catch devices and glue boards are checked at least twice monthly. Exterior bait stations are checked at least monthly. The PCO must initial and date the labels and initial punch cards on all devices. These labels should be on the inside of the devices, unless they are mechanical devices with a clear window. (4 Elements)	5
4. All pest control devices must be appropriately positioned and located so that they do not contaminate product, packaging or equipment. Bait must not be used in interior areas. All pest control devices are clean and functioning properly. Bait in the stations has a fresh appearance. (4 Elements)	5
5. The site is controlling external pest activity, based on the pest control reports and observations during the audit. (2 Elements)	5
6. The site is controlling internal pest activity, based on the pest control reports and observations during the audit. (1 Element)	5
<b>7. THERE IS NO EVIDENCE OF DECOMPOSED PESTS ANYWHERE IN THE INTERIOR OF THE FACILITY, INCLUDING IN PEST CONTROL DEVICES. (1 Element)</b>	5
<b>8. THERE IS NO EVIDENCE OF INSECTS, SPIDERS, RODENTS OR BIRDS ON OR IN ANY FOOD INGREDIENTS, PRODUCTS OR PACKAGING MATERIALS. (1 Element)</b>	5
9. Insect light traps (ILTs) (both low and high voltage) and flying insect traps may be used. Placement must be according to manufacturer instructions and comply with applicable regulations. If instructions are not available, ILTs must be between 2 and 5 feet off the ground. High Voltage ILTs must be at least 10 ft. from covered/protected products or packaging and at least 30 ft. from exposed product, packaging, or equipment. Low voltage ILTs must not be above covered/protected or exposed product, packaging or equipment. Low voltage ILTs must also include sticky boards. They must be cleaned and maintained on a scheduled basis. Bulbs must be changed at least annually, and shatter protection must be in place. There must be a schedule for replacing the sticky boards in sticky-type ILTs. (4 Elements)	5
10. Avicides are prohibited inside the facility. If used on the exterior, avicides must be used according to program and label requirements. (1 Element)	N/A
11. All pesticides, chemicals and other compounds stored on site for pest control are properly labeled and kept in locked, secured areas away from any food storage or processing areas. (1 Element)	N/A

**Possible Points 45**

**Actual Points 45**

**Percentage 100**

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## IV. Pest Control

### Comments

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**IV.A.10** N/A: No avicides were prohibited inside the facility.

**IV.A.11** N/A: No pesticides, chemicals and other compounds were stored on site for pest control.

# V. Employee Practices

## A. Employee Practices

**Rating**

1. Employees follow written programs on employee hygiene practices, store personal items appropriately, maintain personal cleanliness, and use hygienic practices at all times. (2 Elements)	5
2. Exposed jewelry, except for a plain wedding band, and other objects that might contaminate products like artificial nails and body piercings, are not worn. Objects, such as pens, thermometers, etc. that could fall into food, equipment or containers, are not carried in above-the-waist pockets. (2 Elements)	5
3. Hairnets or other appropriate restraints are properly worn in food processing areas and in other areas of the facility as designated by facility's employee hygiene practices. All employees with facial hair, working in production areas, must wear beard covers. The facility's employee hygiene policy must address all facial hair, including definition for acceptable appearance and when coverage of facial hair such as moustaches is required. (3 Elements)	5
4. Garments worn in the facility (uniforms, aprons, frocks, lab coats, etc.) are clean and appropriate for the operation and do not contribute to potential product contamination. All garments should have snaps not buttons. Outer garments like frocks and aprons are not worn in restrooms, break areas or outside of the facility. Employees adhere to traffic flows when moving through the facility by changing frocks, aprons or uniforms to minimize cross-contamination. (3 Elements)	5
5. Gloves worn in the food processing areas are maintained intact, clean and in good condition. Gloves must be used where there is direct hand contact with ready-to-eat products. Procedures for the proper handling and usage of gloves have been developed, implemented, and verified where required. (3 Elements)	5
6. Eating, chewing gum, drinking and use of tobacco are confined to designated areas outside of the processing and storage areas. (3 Elements)	5

<b>Possible Points</b>	<b>30</b>
<b>Actual Points</b>	<b>30</b>
<b>Percentage</b>	<b>100</b>

### Comments

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Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## VI. Receiving, Storage, & Shipping

### A. Receiving and Shipping

### Rating

1. All ingredients and materials should be properly identified and labeled. They should include the date of receipt or a verifiable system for first in / first out ( FIFO) or first expired / first out (FEFO) product rotation. Ingredients and primary packaging in storage must be traceable into the production system by the vendor's lot number or the processing facility's assigned system. (2 Elements)	5
2. Products must be maintained in their appropriate temperature ranges. Products are not stored in the shipping and receiving areas, unless proper controls are used to prevent quality, food safety, and / or temperature degradation. Perishable product should not be stored on the cool dock. (2 Elements)	5
3. Shipping and receiving areas are clean, organized, and free of debris and spilled products. Equipment stored on the dock (load bars, bulkheads, etc.) should be organized and in good repair. (2 Elements)	5
4. Temperatures of refrigerated and frozen products are documented at the time of receipt. The temperature monitoring devices being used are available and in good repair. Auditor is to verify that devices cover the temperature ranges of the products being monitored and indicate this in the comment section. (2 Elements)	5
5. Transport vehicles used (incoming or shipping) are clean and free of any pest contamination. They are in sound condition and capable of maintaining proper product temperatures and preventing any product contamination. Perishable product transport vehicles must be pre-cooled prior to loading, and documentation of the pre-cooling cycles must be maintained. (3 Elements)	5
6. If ingredients are received in bulk (tanker, rail, etc.) transfer procedures must protect the product from contamination. Hoses must be clean, capped and stored off the ground, and connection ports into the building must be capped and locked when not in use. (3 Elements)	N/A

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

# VI. Receiving, Storage, & Shipping

## B. Storage

## Rating

1. Sufficient space (typically 18 inches) is maintained along all walls to permit proper cleaning and inspection for pest activity. No materials are stored within this space. All materials are stored at an adequate height (6 inches or pallet height) above the floor. Easy access to all areas around the walls for cleaning and inspections is provided. (2 Elements)	5
2. Stock rotation practices are used for all finished products. (1 Element)	5
3. All stored ingredients and packaging materials are clean, dry, intact, in good condition, and free from contamination or spoilage. They are properly packaged or covered to prevent contamination of other products. They are stored under appropriate conditions (e.g., dry, cooler and freezer). (3 Elements)	4
4. Any damaged cases or packages are immediately segregated and repackaged or properly discarded. All materials rejected or on hold are properly identified, adequately segregated, and protected from contamination. Product on hold is clearly identified and held under appropriate conditions. (3 Elements)	4
5. Ingredient containers are not reused, unless they are adequately sanitized or have protective liners. Single-use containers from microbiologically sensitive products must not be reused. (2 Elements)	5
6. Dry storage areas are maintained in a clean and sanitary manner. All spills are immediately cleaned up; i.e., the floors and racks are not dirty and there is no evidence of spills, trash or other litter. (2 Elements)	5
7. Restricted chemicals for use in processing or as an ingredient are stored in separate, locked areas away from food and packaging supplies. (1 Element)	N/A
8. Racks, floors, walls and ceilings of coolers are in good repair and maintained in a clean, sanitary condition. There is no evidence of aged spills, trash or clutter. Floors are kept dry. (3 Elements)	5
9. Coolers show no sign of condensation, and products stored in coolers should be free from condensation and ice. Cooler temperatures are maintained within the allowable ranges. Monitoring occurs either by checking temperatures manually at least twice a day or via continuous recording systems. (4 Elements)	5
10. Racks, floors, walls and ceilings of freezers are in good repair and maintained in a clean, sanitary condition. There is no evidence of aged spills, trash or clutter. Floors are kept dry. (3 Elements)	4
11. Freezers show no sign of aged frozen condensation or aged ice. Products stored in freezers are free from ice and show no signs of freeze/thaw conditions. Temperatures of freezers are maintained below the maximum allowable temperatures. Monitoring occurs either by checking temperatures manually twice a day or via continuous recording systems. (4 Elements)	4

**Possible Points**      **75**

**Actual Points**      **71**

**Percentage**      **94.7**

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## VI. Receiving, Storage, & Shipping

### Comments

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- VI.A.4** Note: Digital thermometers were used by the facility.
- VI.A.6** N/A: No ingredients were received in bulk tanker, rail, etc..
- VI.B.3** It was observed that a pallet of box flats were placed in the slot by mechanical items of ladder, charger, compressor rather than in material storage. It was also observed that a pallet of old (2006) packaging material for beef tenderloins was covered in a visible layer of dust.
- VI.B.4** It was observed that salt material had not been cleaned up and residue material still on the racks.
- VI.B.7** N/A: No restricted chemicals were used for processing or as an ingredient.
- VI.B.9** Note: Cooler temperature was 39 degrees F.
- VI.B.10** It was observed that fan grilles in the upper level freezer had one inch of dust debris attached to them.
- VI.B.11** It was observed that ice had formed as a 12 - 18 inch icicle under one refrigeration unit and the other refrigeration unit had heavy frost built up on the ceiling of the back units. Freezer temperatures were -10 degrees (upper freezer) and -1 degree F (lower freezer).

## VII. Plant Sanitation

### A. Cleaning Equipment and Chemicals

**Rating**

1. All chemicals used for cleaning, sanitizing, and processing must be approved for use in a food handling facility and properly labeled. They are used for their intended purposes and they are stored in secure, locked areas away from any food processing or storage. Chemicals that are connected to dilution devices do not have to be in a locked area, if their location does not pose a contamination risk to food, packaging, or equipment. (3 Elements)	5
2. Test kits or sanitizer test strips are routinely used and observed being used to monitor chemical concentration in sanitizing hand dips, foot baths, and sanitizing solutions. Procedures for these checks have been established and are accessible to the employees doing the checks. Records of the checks are documented. (3 Elements)	5
3. Containers, brushes and applicators used for cleaning and sanitizing are color coded or labeled to properly identify them for their intended use. If a color-coding system is used, appropriate signage describing the system in languages appropriate for employees to understand is posted. (2 Elements)	5
4. Cleaning equipment is properly stored (when not in use) and is not stored in food processing areas. The equipment is non-porous and in good repair. (2 Elements)	5

### B. Cleaning, Sanitation & Housekeeping Procedures

**Rating**

1. Cleanliness is maintained in all non-processing and non-food contact areas. The cleanup of spills and accumulation of materials is conducted on a continuing basis during production. (2 Elements)	3
2. Cleanliness is maintained on all food contact surfaces. Significant accumulations of product build-up are not observed during production. (2 Elements)	5
3. Excess moisture and pools of water are removed from equipment and the processing environment. (1 Element)	5
4. Knives, saws, trimmers, and other tools used in processing and for opening ingredient bags and packaging are properly stored, cleaned and sanitized as necessary throughout the production shifts and at the end of the production period. (2 Elements)	5
5. Proper cleaning and sanitizing procedures are followed and are accessible to employees needing them. Equipment is disassembled as necessary to insure thorough cleaning. Equipment in wet processing environments that has been out of service is cleaned and sanitized prior to use per written sanitation SOPs. Results are being documented to verify cleaning and sanitation was completed per procedure. (4 Elements)	5

**Possible Points**      **45**

**Actual Points**      **43**

**Percentage**      **95.6**

### Comments

- VII.A.2**      Note: The Nightly Sanitation log had the facility / equipment sanitizer checks and the Operational SOPs had the daily equipment / hand dip station titrations.
- VII.B.1**      It was observed that fan grilles of the processing room refrigeration units had a layer of grime accumulation on the inside.

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## VIII. Processing

### A. Raw Materials & Other Ingredients

### Rating

1. Water reused or recirculated for washing, rinsing, or conveying food must have documented procedures to insure the water is not increasing the level of contamination. These can include microbiological testing, ph and free chlorine levels or other validated processes. Monitoring should occur on a routine basis and records must be available for review. (2 Elements)	N/A
2. Thawing or tempering of frozen materials is done under controlled conditions (e.g., under refrigeration) and is monitored to insure proper temperature controls are maintained. Thawing procedures have been developed that assure safety and quality are maintained, and verification checks of compliance must be documented. (3 Elements)	5

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## VIII. Processing

### B. Process Control

### Rating

1. Appropriate process control points and limits are observed being monitored on a regular basis. The monitoring results are being recorded, Employees questioned during the audit are aware of and understand how to monitor their control points. Auditor will comment on what was asked and the worker's response. (2 Elements)	5
2. Corrective actions are being taken as required and documented, whenever a process control point is outside of the established criteria or limits. Auditor will review random online monitoring and corrective action records and comment on compliance. (1 Element)	5
3. No equipment or processing operations (such as washing, trimming, sorting and inspection, shredding, extruding forming etc.) used are observed to have the potential to contribute to the contamination and/or adulteration of product with physical, chemical or microbial contaminants that could be introduced into the product. (1 Element)	4
4. No sanitation practices are observed, which could potentially cause product contamination. All food, food-contact surfaces and packaging are adequately protected during clean-ups. The use of hoses, including high-pressure hoses, during production or mid-shift clean-ups or where food or packaging materials are stored is done without causing contamination from water droplets and aerosols. (2 Elements)	5
5. Breakdowns or line shutdowns are monitored to insure time delays, temperature fluctuations and other factors do not contribute to contamination, decomposition, or other safety and quality changes in either the ingredients or products being processed. There are procedures for actions to be taken, when product safety or quality is affected. (2 Elements)	5
6. All perishable product-processing rooms are monitored with a calibrated thermometer. The temperatures of products being processed and/or ingredients being used in the process are observed being maintained in their appropriate temperature range. Auditor is to report the temperatures observed for temperature-sensitive products. (2 Elements)	5
7. Ingredient containers are properly labeled and / or color coded and covered as appropriate. If a color-coding system is used for labeling ingredient containers, signage on use of the containers and equipment is posted in languages appropriate for employees to understand. (2 Elements)	5
8. Glass and brittle plastic packaging must be controlled in processing areas. Controls are in place, when glass or brittle plastic containers are used for the storage of raw materials. (2 elements)	N/A
9. Staged packaging materials and ingredients are kept clean, dry and free from contamination during processing. (2 Elements)	5
10. When magnets, screens, sieves, etc. are used in the processing lines, they must be inspected on a scheduled basis to insure proper performance. Inspection records must be documented and maintained. (2 Elements)	N/A
11. Metal detectors or other automated foreign material control systems are used as necessary, if the plant is highly automated, the potential for metal contamination exists, or customers require their use. These systems are online as close to final packaging as possible and must have automatic rejection or line stoppage mechanisms when metal or other foreign matter is detected. The systems are observed being calibrated on a specified frequency with ferrous, non-ferrous and stainless steel standards or as specified by the customer to insure proper functioning. (4 Elements)	5
12. Any compressed air or other gases (e.g., carbon dioxide, nitrogen) used in processing, packaging or cleaning are treated in such a way to prevent contamination. (1 Element)	N/A
13. Floors are observed to be free of standing water. (1 Element)	5
14. Maintenance tools, gloves, rags and other miscellaneous materials are not found on or near processing equipment. Tools used for equipment adjustment must be clean and in good repair (no rust, etc.). (2 Elements)	5

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

## VIII. Processing

<b>Possible Points</b>	<b>60</b>
<b>Actual Points</b>	<b>59</b>
<b>Percentage</b>	<b>98.3</b>

### Comments

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- VIII.A.1** N/A: No water was reused or recirculated for washing, rinsing, or conveying food.
- VIII.A.2** Note: The facility performed both air and water tempering of product. Protocols and monitoring procedures were in place.
- VIII.B.1** Note: The process checks (room temperatures, product temperatures, product checks) of the QA were shown to the auditor.
- VIII.B.2** Note: Corrective actions were known by the techs.
- VIII.B.3** It was observed that an unlabeled tote of T-bones was in the processing room with species, grade, or lot ID.
- VIII.B.6** Note: The processing room temperature was 43 - 45 degrees F for steak and 40 degrees F for the saw room.
- VIII.B.8** N/A: No glass or brittle plastic packaging was used.
- VIII.B.10** N/A: No magnets, screens, sieves, etc. were used in the processing lines.
- VIII.B.11** Note: Sensitivities of the metal detection CCP was 2.5 mm ferrous, 4.0 mm non-ferrous, and 4.5 mm SS. The facility had their letter of metal detection calibration of November 27, 2007.
- VIII.B.12** N/A: No compressed air or other gases (e.g., carbon dioxide, nitrogen) were used in processing, packaging or cleaning.

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Items in bold and caps are automatic failure questions if a "1" is scored by auditor.

# IX. Food Defense

<b>A. Program</b>	<b>Rating</b>
1. The facility must have a documented food defense plan that designates a multidisciplinary team, which meets at least annually. The team must initially assess all facility operations to determine potential deliberate contamination risks and appropriate strategies to reduce these identified risks. The team must reassess the risks and strategies on at least an annual basis. (4 Elements)	5
2. The facility provides evidence that it meets all regulatory requirements for food defense (FDA's Bioterrorism Act of 2002). These elements include facility records that identify the previous source of ingredients and materials and the next customer (one up and one down the food chain.) Records verifying compliance are maintained for the appropriate time based on product shelf life). (3 Elements)	5
3. The plan documents how access is controlled to all receiving/shipping, processing and storage areas within and around the facility. There must be a system for easy identification of employees, who belong around open food and who have access to open food sources, including food packaging materials and equipment that touches food. The ID system has procedures for supervising all non-employees in the facility, including contractors, visitors, outside drivers, etc. The access plan must identify how all critical departments and areas of the facility will be physically secured. (4 Elements)	5
4. The plan identifies the systems and procedures for controlling the integrity of all incoming materials. There are procedures that describe how receiving of raw materials will take place including the matching of seal numbers, evaluation of product integrity and delivery driver identification verification. There must be procedures to address the securing of bulk ingredient ports and the securing of water handling facilities. There is a policy in place describing how unsecured inbound LTL loads are handled which would include 100% inspection for evidence of tampering and documentation of these inspections on receiving documents. (3 Elements)	5
5. There are established procedures for how the manufacturing process and product are protected from deliberate contamination. They must include controlled authorized access for all formulas and all formulation software and tamper evident packaging on finished product. (3 Elements)	5
6. There are established procedures on how the shipment of product is protected from deliberate contamination, including the sealing of outbound trailers, control of LTLs and documentation of drivers. (3 Elements)	5
7. There are policies and procedures in the plan for screening employees. At a minimum, they include a system to screen all employees prior to hiring, including reference checks for all employees and basic felony background checks for supervisors and above. Procedures have been set-up to educate and supervise current employees on how to report suspicious activities. (3 Elements)	5

<b>B. Observations</b>	<b>Rating</b>
1. The facility is complying with their program on restricting areas of the plant to authorized personnel only. The facility has systems in place on how to alert personnel about the restricted areas. All access points are secured or monitored according to the program. (3 Elements)	5
2. All visitors must be in compliance with the facility's program. The visitor policy is posted or provided to all visitors and non-employees. (2 Elements)	5
3. All inbound and outbound trailers are properly sealed or secured. Receiving records and shipping records document the matching of seals to receiving documents or outbound bills of lading. Delivery driver identification is verified. Records document that less than full loads are managed according to the facility policy. Bulk receiving ports and on-site water handling facilities are secured. (4 Elements)	5
4. Formulas and all formulation software are protected by limited access. Tamper evident packaging is utilized. (2 Elements)	5

**Possible Points      55**

**Items in bold and caps are automatic failure questions if a "1" is scored by auditor.**

# IX. Food Defense

<b>Actual Points</b>	<b>55</b>
<b>Percentage</b>	<b>100</b>

## Comments

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**IX.A.1** Note: The last food safety team meeting was June 10, 2009.

# Good Manufacturing Practices and Food Safety Systems Audit Assessment Rating System

This rating system describes a food facility's level of compliance with recognized food safety and Good Manufacturing Practices or good distribution practices. The point system and definitions are objective guidelines for evaluating the facility's compliance with the assessed standards and are intended to assure consistency in rating. Comments are provided for any standard rated lower than 5.

Questions are scored per the matrix, with 5 being the highest rating possible and 1 being the lowest. If isolated issues for any element are found, an additional one point deduction will be applied to the question's rating OR if numerous issues for any element are found, an additional two point deduction will be applied to the question's rating.

Number of elements in question	>3 elements missed	3 elements missed	2 elements missed	1 element missed	All elements fulfilled	Score given to question
>3	1	1	3	4	5	
3	NA	1	2	4	5	
2	NA	NA	1	3	5	
1	NA	NA	NA	1	5	

#### Definitions:

Single issue - one observation, occurrence or instance of a specific/same issue or element.

Isolated issues - Two observations, occurrences or instances of a specific/same issue or element.

Numerous issues - Three or more observations, occurrences or instances of a specific/same issue or element.

This rating system is an objective guideline. Auditors may use their discretion regarding ratings considering the severity of food safety issues and numbers of observations of issue noted. The comment for non-conformity must be detailed to explain the rating.

Each facility will receive a total overall score based on the ratings of the individual standards in the audit form. The minimum acceptable numerical score may vary depending upon the company requiring the audit.

Rating	Numerical Score	Rating
<b>Excellent</b>	<b>97% or Higher</b>	<b>Meets audit expectations</b>
<b>Good</b>	<b>93 - 96.9%</b>	<b>Generally meets audit expectations</b>
<b>Fair</b>	<b>88 - 92.9%</b>	<b>Partially meets audit expectations</b>
<b>Poor</b>	<b>&lt; 88%</b>	<b>Fails to meet audit expectations</b>

Items in bold and caps are automatic failure questions if a "1" is scored by auditor.