

**CIPRS/CGC HACCP/CIPRS+ HACCP
AUDIT CHECKLIST**

Audit information

Audit date:

Auditor(s):

Audited facility business name:

Location:

Auditee representative / Primary contact:

Products processed:

Program(s) audited:

Number of HACCP Plans (if applicable):

Type of audit:

Implementation Audit

1st Annual System Audit

2nd Annual System Audit

Recertification Audit

Audit length (start time-end time):

Auditor signature:

Revision date: April 1, 2017

Page 1 of 10



If a requirement has been met, the auditor can indicate Yes under the compliance column and retain notes of the evidence on his/her audit file. If a requirement has not been met, the auditor must list the evidence of the non-conformance under “Findings” and complete a CAR.

| Requirement | Compliant Y/ N | Findings |
|--|-------------------|----------|
| Documentation Requirements (3.0) | | |
| Documented management system includes as a minimum: food safety/quality policy, food safety/quality manual (that includes exceptions to scope), food safety/quality system procedures and documents needed for planning, operating and controlling the FSQMS processes (3.1) | | |
| Document control procedure (retention, retrievability, currency, changes, external docs) (3.2) | | |
| Record control procedure (evidence of conformance, storage, retrievability, retention, disposal) (3.3) | | |
| Management Responsibility (4.0) | | |
| Legal Policy is available and includes: all applicable statutory and regulatory requirements, method to identify applicable laws, updating method, and person designated as responsible (4.4) (CGC HACCP-based programs only) | | |
| Evidence of management commitment (4.1) | | |
| Quality/food safety policy - complete, current, communicated and understood within the company (4.3) | | |
| Quality and food safety objectives established – measurable and consistent with the quality/food safety policy; conform with legal requirements and customer specifications (4.5) | | |
| Roles and responsibilities outlined and communicated, including requirements for internal and external communication and, if applicable, authorization for load certificates (4.6) | | |
| Evidence of the management review of FSQMS (4.7) | | |
| Resource Management (5.0) | | |
| Existing resources allow for the maintenance of the FSQMS (5.1) | | |
| Training is appropriate to the roles and responsibilities of employees in the FSQMS and records are maintained (5.2) | | |
| Existing infrastructure allows achieving conformity to product requirements (5.3) | | |

Revision date: April 1, 2017

Page 2 of 10



| Requirement | Compliant Y/ N | Findings |
|--|-------------------|----------|
| Product Realization (6.0) | | |
| Establishment of processes, documents, and provision of resources to meet product specifications. Determination of required validation, monitoring, inspection and test activities and associated records. (6.1) | | |
| Evidence of contract review and confirmation of customer requirements and ability to deliver. CIPRS non-GMO shipments are sampled and tested to validate the effectiveness of IP processes (6.7) | | |
| Documented system for supplier selection, evaluation and re-evaluation (including growers) (approved supplier list) (6.8) | | |
| Production and service provision carried out under controlled conditions (IP production requirements, PPR's and HACCP Plan) (6.9) | | |
| Evidence of identification and traceability (6.10) | | |
| Stored grain is monitored for evidence of infestation or contamination. Only food-grade non-grain inputs are used and they are stored in a manner that ensures continued compliance to food safety specifications (6.11) | | |
| Measurement, Analysis and Improvement (7.0) | | |
| Internal audits are conducted annually to determine conformance of the entire FSQMS, effectively implemented, updated and maintained – follow-up activities carried out (7.3) | | |
| Product and processes are monitored and measured (7.4) | | |
| Evidence of monitoring, inspection and test activities and associated records to ensure that product meets requirements (7.4.3) | | |
| Procedures are in place to prevent the unintended use of non-conforming product (7.5) | | |
| Identification and disposition of non-conforming product is documented. (7.6) | | |
| Corrective and preventive action procedures in place (7.7; 7.8) | | |
| A business continuity plan is implemented and includes after-hours emergency contacts, alternate suppliers and work locations. Procedure are in place to locate and isolate affected product (7.9) | | |

Revision date: April 1, 2017



Prerequisite Program Requirements (applicable to CGC HACCP-based programs only)

| Requirement | Compliant Y/N | Findings |
|---|------------------|----------|
| PPR-001/PPR-002 Premise Design/Premise Maintenance | | |
| Property and adjacent land kept free potential sources of contamination. | | |
| Facility exterior structurally sound and prevents access by pests | | |
| Establishment design permits hygienic activities and prevents cross-contamination (ex: segregated areas, traffic patterns, logical process flow) | | |
| Personnel facilities (washrooms, change rooms, and lunch rooms) clean, adequate in number, well equipped, in sound condition and appropriate to permit personal hygiene | | |
| Interior rooms, structures and fittings clean, well maintained and in sound condition | | |
| Lighting is appropriate and allows for assessment of grain | | |
| Light bulbs and light fixtures explosion-proof or appropriately protected | | |
| Sewage systems maintained, backflow prevention system in place, and appropriate plumbing system | | |
| Equipment and tools made of appropriate materials and achieve their intended purpose | | |
| Waste containers and waste utensils clearly identified, functional, clean and in sound condition | | |
| Exterior and interior premises are monitored, and corrective actions are taken in case of deviations. Records are available. | | |
| Records documenting the monitoring of environmental controls are complete and up-to-date | | |
| PPR-003 Premise Housekeeping | | |
| Cleaning activities are performed regularly as written | | |
| (Observe dust levels, spilled grain or liquids, cleanliness of personnel welfare areas, waste containers, boot and pit, drains and traps, receiving area) | | |

Revision date: April 1, 2017



| Requirement | | Compliant Y/N | Findings |
|--|--|------------------|----------|
| | Pre-operational and operational inspections are performed as required; records are maintained | | |
| | Cleaning activities are monitored, and corrective actions are taken in case of deviations. Records are available. | | |
| PPR-004 Pest Control | | | |
| | Pest control activities performed as written | | |
| | (Observe bait trap type and locations, location of pesticides, licensed pesticides used) | | |
| | Stored grain and empty bins are monitored for evidence of insect infestation | | |
| | Pest Control activities are monitored, documented, and verified and corrective actions are taken in case of deviations. Records are available. | | |
| PPR-005 Personnel Practices | | | |
| | Personnel follow personnel practices as written | | |
| | (Observe wearing of jewellery, hand-washing signs in personal welfare areas, appropriate clothing/footwear/headwear, wounds/injuries covered, no signs of illness, access controlled, no food or beverages in processing areas, no gum or tobacco use) | | |
| | Glass breakage policy in place | | |
| | Packaging material is one-time use | | |
| | Personnel practices are monitored, documented, and verified and corrective actions are taken in case of deviations. Records are available. | | |
| PPR-006 Chemical Use and Storage | | | |
| | Employees handle, use and store chemicals (pesticides, lubricants, greases) as written. | | |
| | (Observe that registered chemicals are used, chemicals are stored in a manner that prevents contamination of grain and non-grain inputs; appropriate use and storage of lubricants and greases during operations, maintenance activities) | | |
| PPR-007 Personnel Training (also see 5.2 Employee Training and Records) | | | |

Revision date: April 1, 2017

Page 5 of 10



| Requirement | | Compliant Y/N | Findings |
|---------------------------------|---|------------------|----------|
| | Training is delivered and updated as written for orientation, HACCP and prerequisite program, HACCP Team, job specific | | |
| | Training activities are monitored, and corrective actions are taken in case of deviations. Records are available. | | |
| PPR-008 Potable Water | | | |
| | Water treatment activities are performed as written (if required) | | |
| | Water safety monitoring activities are performed as written | | |
| | Water safety (and treatment, if required) activities are monitored and verified, and corrective actions are taken in case of deviations. Records are available. | | |
| PPR-009 Equipment Design | | | |
| | Equipment, design, construction, location and installation facilitate sanitation, inspection and maintenance activities. Records are available. | | |
| | Equipment and test equipment used for testing the quality and safety of grain is fit for purpose. | | |
| | (Observe location of magnets) | | |
| PPR-010 Calibration | | | |
| | Calibration activities are carried out as written | | |
| | (Observe calibration stickers on moisture meters) | | |
| | Calibration activities are monitored, documented and verified, and corrective actions are taken in case of deviations. Records are available. | | |

Revision date: April 1, 2017

Page 6 of 10



| Requirement | Compliant Y/N | Findings |
|--|------------------|----------|
| PPR-011 Equipment Cleaning & Maintenance | | |
| Equipment cleaning and maintenance activities are carried out as written | | |
| (Observe tool locations, cleaning or maintenance activities if occurring) | | |
| Pre-operational and operational inspections are performed as required; records are maintained | | |
| Equipment cleaning and maintenance activities are monitored and verified, and corrective actions are taken in case of deviations. Records are available. | | |
| PPR-012 Purchasing of Non-Grain Inputs (also see 6.11 Storage and Packaging) | | |
| Purchasing activities performed as written | | |
| PPR-013 Receiving, Handling, Storage and Shipping | | |
| Receiving, handling, storage and shipping practices are followed as written | | |
| (Observe conveyance vehicle and container inspections at receiving and shipping; appropriate storage of product and packaging, segregation of non-conforming product, storage of bagged product and packaging materials, waste accumulation, | | |
| Bins are monitored and records maintained | | |
| Incoming products and materials (approved suppliers) are inspected for specifications and records maintained (lot traceability) | | |
| Chemical products received separately, securely stored and segregated from food materials; records maintained | | |
| Shipping, Receiving, Handling and Storage activities are monitored, documented, and verified and corrective actions are taken in case of deviations. Records are available. | | |
| PPR-014 Recall & Traceability (also see 6.10 Identification and Traceability) | | |
| Finished product identification is applied to all products produced | | |
| Records documenting the receipt of all incoming grain, materials, packaging and returned products are complete. | | |

Revision date: April 1, 2017



| Requirement | | Compliant Y/N | Findings |
|-----------------------------|---|------------------|----------|
| | Records documenting traceability information of in-process grain are complete. After hours contact information for team members and substitutes is maintained. | | |
| | Effective mock recalls on grain and non-grain inputs are performed and documented | | |
| | Recall and traceability activities are monitored, documented, and corrective actions are taken in case of deviations. | | |
| PPR-015 Food Defence | | | |
| | A risk assessment was conducted to determine any potential security risks for intentional tamper and adulteration of grain and grain products. | | |
| | A food defence plan is written and implemented. A security self-assessment is conducted annually and corrective actions are taken if security risks are found. Records are available. | | |

| HACCP Plan (applicable to CGC HACCP-based programs only) | | | |
|---|--|------------------|----------|
| Requirement | | Compliant Y/N | Findings |
| HACCP | | | |
| | Food safety team established. | | |
| | Prerequisite programs developed, implemented and maintained to meet requirements. | | |
| | HACCP Plan developed, evidence of evaluation against CGC generic model and adaptation to the company's own operations. | | |
| 1. Product Description | | | |
| | Product fully and accurately described | | |
| 2. Ingredients and Incoming Materials | | | |
| | All incoming raw materials are listed with potential hazards identified | | |

Revision date: April 1, 2017



| Requirement | Compliant | Requirement |
|--|-----------|-------------|
| 3. Flow diagram | | |
| Process flow diagram is an accurate reflection of the company's handling processes and includes all operations | | |
| Steps are numbered; all potential hazards and CCP's (if applicable) associated with each processing step are identified | | |
| 4. Plant Schematic | | |
| Plant schematic is accurate and identifies all equipment, rooms, product and personnel flow and potential cross-contamination points | | |
| Plant schematic has been verified by the HACCP team | | |
| 5. Hazard Description and Critical Control Point | | |
| All potential hazards related to all incoming materials have been transferred from Form #2 and analyzed. | | |
| All potential hazards related to the flow diagram(s) have been transferred from Form #3 and analyzed | | |
| CCP's (where applicable) have been identified | | |
| 6. Uncontrolled Hazards | | |
| Uncontrolled hazards are transferred from Form #5 and ways to address them listed. | | |
| 8. HACCP Matrix | | |
| If CCP identified, Matrix accurately completed | | |
| HACCP Implementation and Records | | |
| CCPs (where identified) are monitored as written; records maintained. | | |
| Corrective actions are taken in case of deviation as per procedures; records maintained | | |
| Verification activities are performed as per procedures; records maintained | | |
| Updates to the HACCP Plan are appropriately documented | | |
| HACCP Plan is reviewed annually; records maintained | | |

Revision date: April 1, 2017



Revision date: April 1, 2017



Page 10 of 10