



**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: <input type="checkbox"/> Implementation Audit <input type="checkbox"/> 1 st Annual System Audit <input type="checkbox"/> 2 nd Annual System Audit <input type="checkbox"/> Recertification Audit	
Audit length (start time-end time):	Auditor signature:

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, an organizational structure defining the duties of key employees assigned responsibility for the quality and safety of the product 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)		
Evidence of management commitment, including: developing and supporting a food safety and quality policy and objectives, regular communication with staff about the importance of meeting requirements, regular management reviews of the QMS, and ensuring that there are sufficient resources to implement the QMS (4.1)		
Evidence of commitment to supporting a culture of food safety (4.1.3) (CGC HACCP-based programs only)		
Evidence that customer requirements are determined and satisfaction is evaluated (4.2) (CIPRS-based programs only)		
Quality/food safety policy - complete, current, communicated and understood within the company (4.3)		
Legal Policy is available and includes: all applicable statutory and regulatory requirements, domestically and in countries to which product is exported, a method to identify applicable laws and changes to existing applicable laws, and person responsible for verifying the legal policy (4.4) (CGC HACCP-based programs only)		
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 the authorization for load certificates, if applicable. including requirements for internal and external communication and (4.6)		
Evidence of the management review of QMS; meeting minutes are available (4.7)		

Requirement	Compliant Y/ N	Findings
Resource Management (5.0)		
Existing resources allow for the development, assessment, maintenance and revision to improve the FSIP QMS (5.1)		
Training is appropriate to the roles and responsibilities of employees in the FSIP QMS and records are maintained. Competency requirements for internal auditors are defined and staff conducting internal audits have received the appropriate training to meet the competency requirements. (5.2)		
Existing infrastructure allows achieving conformity to product requirements (5.3)		
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)		
Establishment of a food safety team that possesses knowledge of the company's products, processes, equipment and food safety hazards (6.2) (CGC HACCP-based programs only)		
Evidence of contract review and confirmation of customer specifications, statutory and regulatory requirements, and the company's ability to meet these requirements. Sampling and analytical testing methods are defined. 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 through documented processes (IP production requirements, PPR's and HACCP Plan) (6.9)		
Evidence of identification and traceability. The ability to trace, withdraw or recall product has been tested through annual mock recalls of grain and non-grain inputs (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 requirements (6.11)		
If CIPRS, CIPRS+ HACCP, CGC HACCP certification marks are used, they are used in a manner to indicate products have been processed, packaged and shipped under the scope of the company's certification (6.12).		
Measurement, Analysis and Improvement (7.0)		
Establishment of methods and procedures to monitor, measure, analyze and improve QMS and customer satisfaction (7.1; 7.2)		
Internal audits are conducted annually to determine conformance of the entire FSIP QMS, effectively implemented, updated and maintained – follow-up activities carried out (7.3)		

Requirement	Compliant Y/ N	Findings
Product and processes are monitored and measured. Product is not shipped until authorized by designated staff. If product specifications are not met, corrective action is taken to ensure conformity of product. (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)		
Procedures are in place to identify non-conforming product and conduct a product withdrawal or recall, if required. (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)		

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)		
Pre-operational and operational inspections are performed as required; records are maintained		

	Requirement	Compliant Y/N	Findings
	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)		
	Employee illness policy is in place; staff are aware of risks associated with illnesses transferrable to food; staff who report illness are reassigned so that they are not working in direct contact with product		
	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		
	Pest control products used to control infestation are approved by the PMRA; all other registered chemicals have a Letter of No Objection (LONO) from Health Canada, a Letter of Guarantee (LOG) from the supplier or a Letter of Acceptance (LOA) that was previously provided by the CFIA		
	(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)		

Requirement	Compliant Y/N	Findings
PPR-007 Personnel Training (also see 5.2 Employee Training and Records)		
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 Water and Air Supply		
Water treatment activities are performed as written (if required)		
Water safety and air supply monitoring activities are performed as written		
Water safety (and treatment, if required) and air supply activities are monitored and verified, and corrective actions are taken in case of deviations. Records are available		
Air and compressed gasses used in grain handling processes is clean (filtered) and does not pose a risk of contamination.		
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		
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		

Requirement	Compliant Y/N	Findings
PPR-012 Purchasing of Non-Grain Inputs (also see 6.11 Storage and Packaging)		
A supplier approval system is implemented, and a list of approved suppliers is available. 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		
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 both a grain and a non-grain input are performed and documented		
Recall and traceability activities are monitored, documented, and corrective actions are taken in case of deviations		
PPR-015 Food Defence and Food Fraud Mitigation		
A risk assessment procedure was developed, documented and performed to determine food defence and food fraud vulnerabilities		
A mitigation plan is written and implemented. The mitigation plan is reviewed annually and corrective actions are taken if security risks are found. Records are available		

Requirement		Compliant Y/N	Findings
PPR-016 Allergen Control			
	An allergen control program has been implemented; allergens and acceptable levels are determined by customer specifications and the regulatory requirements of the importing country.		
	Monitoring of the receiving, handling, storage and shipping of grain lots with allergen specifications are recorded		
	Training records and monitoring records are available and program is reviewed annually		

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		
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		