



CN Plant Monitoring Review Checklist

Name of Company and Establishment Number:		
Company Address (Street, City, State, Zip):		
Contact Name:	Title:	
Phone #:	Email:	
Date Plant Last Produced CN Labeled Product:		
RATING SUMMARY		
RATING LEVELS	TOTAL CRITICAL NON-CONFORMANCES ALLOWED	TOTAL NON-CONFORMANCES ALLOWED
Satisfactory	0	3
Conditional	1	7
Unsatisfactory	Fails to meet conditional	
TOTAL		
REVIEW RATING	Satisfactory <input type="checkbox"/>	Conditional <input type="checkbox"/> Unsatisfactory <input type="checkbox"/>
FREQUENCY LEVEL	Reduced <input type="checkbox"/>	Normal <input type="checkbox"/> Tightened <input type="checkbox"/>
Is this a "Non-producing" CN plant review?		Yes <input type="checkbox"/> No <input type="checkbox"/>
If Yes, complete only sections 1 and 5. If No, complete sections 1, 2, 3 and 4.		

Check the plant monitoring review option selected to determine product compliance under the CN

- Labeling Program: Quality Control Verification Program (QCVP)
- In-plant Monitoring Program (IMP)

REVIEW CONDUCTED BY (PRINT NAME)	REVIEWER'S SIGNATURE	DATE
Program Office Address City, State, Zip Phone		



DEFINITIONS

Non-Producing CN Plant - This is the description of a plant that has approved labels and an approved QC plan, but is not currently producing CN labeled product and has not produced CN labeled product in the past year. (This does not refer to an active CN label plant that is being visited on a regular product production day.)

Non-Producing CN Plant Review - This is a review of a Non-Producing CN Plant that is performed to verify that no CN labeled product has been produced. The purpose of the review is so that manufacturers can maintain their approved status even though they are not actively producing CN labeled product.

Critical non-conformance - A deviation from specifications as outlined in approved QC Program which will affect the product's contribution to the meal pattern requirements.

Non-critical non-conformance - A deviation from specifications as outlined in approved QC Program which is not likely to affect the product's contribution to the meal pattern requirements.

Rating Levels - Are defined as maximum allowed non-conformances (critical or non-critical) – see table on first page.

Reduced frequency - CN product reviews are conducted semi-annually (approximately every 6 months).

Normal frequency - CN product reviews are conducted quarterly (approximately every 3 months).

Tightened frequency - CN product review is conducted during the next scheduled CN product run or within 30 days.

Follow-up visit - When a critical non-conformance is detected, the AMS/NMFS representative may return to the facility to verify corrective actions. At the discretion of the AMS/NMFS representative, a follow-up visit may be conducted at the next CN production run or within 30 days. Manufacturers who do not produce monthly will be required to have a follow-up visit during their next scheduled CN production run.

Corrective Action - An action to eliminate the cause of a detected non-conformance.

PROCEDURE FOR VERIFYING NON-PRODUCING CN PLANT

Complete only sections 1 and 5 of this checklist to verify that the facility has not produced CN labeled product. If it has been determined that a facility has produced CN labeled product without notifying the appropriate agency, using the normal supervisory chain of communication, notify AMS CN Labeling Operations Office.



I. PLANT MONITORING ACTIVITIES

What CN products are being monitored during this review (identify the CN number)?

Date and revision number (if applicable) of QC Program?

Have there been any significant changes to the QC Program in the facility since the last visit?

No Yes - What are the changes?

Have findings from previous review been addressed? (if applicable) Yes No

If no, state finding and reason provided by applicant (below).



CN Plant Monitoring Review Requirements		Meets	Non-critical	Critical	N/A	Notes
1. EVALUATING QUALITY CONTROL MANUAL - (verify that the facility is meeting the following requirements)						
1.A	Is the quality control program available for review?	<input type="checkbox"/>	/	<input type="checkbox"/>	/	
1.B	Is the quality control program up-to-date to include new CN products?	<input type="checkbox"/>	<input type="checkbox"/>	/	<input type="checkbox"/>	
1.C	Was the quality control program revised to include changes in processing/monitoring procedures and were updates approved?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
1.D	Is label approval(s) on file and available for review?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
1.E	Are forms in use approved?	<input type="checkbox"/>	<input type="checkbox"/>	/	/	
2. EVALUATING RECORDS & DOCUMENTATION						
Reviewers are not required to complete this section if the facility is operating under CN In-plant Monitoring Program						
Are records/forms available, maintained and accurate for the following:						
2.A	Scale and/or other measuring devices?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
2.B	Formulation/ingredient weights?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
2.C	Fat control?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
2.D	Component weights?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
2.E	Raw weights?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
2.F	Cooked weights?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
2.G	Maximum cooking yield?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
2.H	Corrective actions maintained, when applicable?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	



CN Plant Monitoring Review Requirements		Meets	Non-critical	Critical	N/A	Notes
2.I	Entries made by authorized person(s)?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	
3. MONITORING PROCEDURES - (Verify that the facility is meeting the following requirements)						
3.A Scales and/or Other Measuring Devices						
3.A.i	Are procedures followed for balancing and calibrating equipment as outlined in the QC program?	<input type="checkbox"/>		<input type="checkbox"/>		
3.A.ii	Are corrective action(s) taken when the testing/measuring equipment is out of balance or calibration?	<input type="checkbox"/>		<input type="checkbox"/>		
3.B Formulation and Ingredient Control						
3.B.i	Does the production formula match the approved label application?	<input type="checkbox"/>		<input type="checkbox"/>		
3.B.ii	Are the weights of creditable ingredients accurately weighed? <u>*Note to the Reviewer performing plant review</u> (ingredients shall not vary $\pm 0.5\%$ from the weight as indicated on the approved label transmittal)	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
3.B.iii	Is the sampling size and frequency in accordance with the QC program?	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	
3.C Fat Control (When product specifies a fat percent level)						
3.C.i	Are sampling methods and analysis followed as outlined in the QC program?	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	
3.C.ii	If fat level is higher than the specified fat claim on the label, is appropriate corrective action implemented?	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	



CN Plant Monitoring Review Requirements		Meets	Non-critical	Critical	N/A	Notes
3.D Component and Raw Portion Weight						
3.D.i	Is the sampling size and frequency in accordance with the QC program?	<input type="checkbox"/>	<input type="checkbox"/>	/	<input type="checkbox"/>	
3.D.ii	Is the average subgroup raw weight in compliance as outlined in the QC program?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
3.D.iii	If raw subgroup weights are not in compliance, were appropriate corrective actions implemented?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
3.D.iv	Does the shift average meet or exceed the required minimum weight as stated on approved label?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
3.E Component and Cooked Portion Weight						
3.E.i	Is the sampling size and frequency in accordance with the QC program?	<input type="checkbox"/>	<input type="checkbox"/>	/	<input type="checkbox"/>	
3.E.ii	Is the average subgroup cooked weight in compliance as outlined in the QC program?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
3.E.iii	If cooked subgroup weights are not in compliance, were appropriate corrective actions implemented?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
3.E.iv	Does the shift average meet or exceed the required minimum weight as stated on approved label?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
3.F Rework (if applicable)						
3.F.i	Is the maximum percentage of rework 10 percent or less of the product formulation (for non-breaded items)?	<input type="checkbox"/>	<input type="checkbox"/>	/	<input type="checkbox"/>	
3.F.ii	Is the rework for breaded product 2 % or less? <u>*Note to the Reviewer performing plant review</u> (breaded rework is only acceptable if it's indicated on the approved label application)	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	



CN Plant Monitoring Review Requirements		Meets	Non-critical	Critical	N/A	Notes
3.G Maximum Cooking Yield (if applicable)						
3.G.i	Is the maximum cooking yield the same as stated on approved label? <i>*Note to the Reviewer performing plant review (the actual yield may be less than what is stated on the label, but shall not exceed stated yield)</i>	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
3.G.ii	If the cooking yield exceeds the yield as stated on approved label, was appropriate corrective action implemented?	<input type="checkbox"/>	/	<input type="checkbox"/>	<input type="checkbox"/>	
4. GENERAL REQUIREMENTS						
4.A.	Is production schedule communicated to program representative with required advance notice?	<input type="checkbox"/>	/	<input type="checkbox"/>	/	
4.B.	Other (Describe observation/non-conformance on Summary Sheet. Include enough detail to support rating.)	/	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

CN Plant Monitoring Review Requirements		Yes	No	N/A	Notes
5. CONFIRMATION OF NO CN PRODUCTION - (verify that the facility is meeting the following requirements)					
5.A	After reviewing label control procedures, have only non-CN labels been used in production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.B	Do quality control records reflect what was listed on the production schedule?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.C	Review sample of production schedules, re-worked product, Q.A. records, and shipping records. Do these records indicate only non-CN product production?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.D	Interview plant personnel. Do interviews confirm that CN labeled product has not been produced?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.E	Do associated facility rooms indicate only non-CN Production (label, processing, and finished storage, etc.)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.F	Do shipping records indicate that only non-CN product has been shipped?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

