

Appendix 3

CFIA Surveillance Audit Checklist (D-96-05 & QSM-09)

The following checklist can be used during the surveillance audit of the facility.

Company name	Facility address
Contact Person	Title or position
Phone	Fax
Cell	Email
CFIA Auditors	Date of Audit

Surveillance Audit Criteria		C	NC	N/A	Notes
General Requirements					
1	The facility's version of the Manual matches the Manual the CFIA has on file for the facility.				
2	The facility has identified an employee that is responsible for the quality management program.				
3	The employee that is responsible for the quality management program has the appropriate training and knowledge of the program.				
4	The organizational structure in the Manual is up to date.				
5	The appropriate staff members have access to the Manual.				
6	The appropriate staff members are up to date with the amendments to the Manual.				

Surveillance Audit Criteria		C	NC	N/A	Notes
7	The facility's Manual is up to date and has been approved by the CFIA.				
8	Amendments to the Manual have been approved by the CFIA before they were implemented.				
9	Amendments to the Manual have been tracked and recorded by the facility.				
10	The facility's operating procedures are accurately reflected by the procedures described in the Manual.				
11	The facility employs enough staff to carry out the procedures described in the Manual.				
Training					
12	The appropriate staff members have been trained on the requirements of the Manual.				
13	The facility's training records for the staff members are up to date.				
14	The facility's staff members understand their responsibilities as stated in the Manual.				
Internal Audit					
15	The facility has reported all critical non-compliances found in the internal audits to the CFIA in a timely manner.				
16	The facility has implemented corrective action plans within the time limit given.				
17	The facility has no outstanding corrective action requests.				
18	The facility has responded appropriately to all corrective action requests in a timely manner.				
19	The facility has conducted an adequate number of internal audits since the last CFIA audit and has made the results of the audits available to the CFIA.				
20	The facility has completed the individual audit reports within three working days of the actual audits.				

Surveillance Audit Criteria		C	NC	N/A	Notes
21	The facility has made all internal audit reports available to the CFIA.				
Receiving and Handling of Regulated Article					
22	The facility has followed the procedures in the Manual in regards to receiving and handling of regulated article and informed the CFIA of the arrival of the first load of regulated articles.				
23	The facility has adequately recorded all regulated article received.				
24	All records are up to date and fully completed.				
25	All records are signed by the appropriate staff.				
Handling and Disposal of Rejected Loads					
26	The facility has followed the procedures in the Manual in regards to handling and disposal of rejected loads.				
Storing, Tracking and Labelling					
27	The facility has followed the procedures in the Manual in regards to storing, tracking and labelling.				
Grading					
28	The facility has followed the procedures in the Manual in regards to grading.				
Washing and Brushing					
29	The facility has followed the procedures in the Manual in regards to washing and brushing.				
Peeling and/or Cooking					
30	The facility has followed the procedures in the Manual in regards to peeling and/or cooking.				
Packing and Repacking					
31	The facility has followed the procedures in the Manual in regards to packing and repacking.				

Surveillance Audit Criteria		C	NC	N/A	Notes
Sprout Inhibition					
32	The facility has followed the procedures in the Manual in regards to sprout inhibition.				
Collection Within the Facility					
33	The facility has followed the procedures in the Manual in regards to collection of wash water, liquid and solid wastes, culls, peels, other potato parts, soil, used containers, etc. from the various processes within the facility.				
Final Disposition of By-Products					
34	The facility has followed the procedures in the Manual in regards to disposition of by-products.				
35	All records are up to date and fully completed.				
36	All records are signed by the appropriate staff.				
General					
37	The facility meets all program requirements.				