[Appendix]

**Onsite Inspection Checklist for Foreign Establishment**

**5. Livestock Product Processing Establishment**

 A. General Information

|  |  |
| --- | --- |
| ○ Name of Establishment |  |
| ○ Address |  |
| ○ Owner's name |  |
| ○ Area | ○ Land:○ Building: |
| ○ Major facilities | ○ Production line:○ Laboratories:○ Storages: ○ Others: |
| ○ Date of foundation |  |
| ○ Reg. No |  |
| ○ Date of registration |  |
| ○ Designated date for the establishment for export |  |
| ○ Approved types of business |  |
| ○ Items produced & amount of production per year |  |
| ○ Export items & amount of production per year |  |
| ○ Number of employees | ○ Managerial positions:○ Production positions:○ Laboratorians:○ Others:  |
| ○ Inspection method for completed products |  [ ] Self-inspection [ ] Outsourcing |
| ○ Designated date for export establishment |  |
| ○ Countries other than S. Korea to which export is approved |  |
| ○ Others |  |

 B. Checklist

| **Evaluation Items** | **Base****Point** | **Point Received** | **Note** |
| --- | --- | --- | --- |
|  |
| **1. Surrounding Environment** | **Total (Points)** | **7** |   |  |
|  | ① Buildings of the establishment must be located in a place that is sufficiently distant from facilities that generate pollutants such as livestock husbandry effluent, chemicals, or other contaminants that can affect adversely the safety of processing livestock products. | 2 |  |  |
| ② Structure of the building must be able to maintain a proper temperature according to the characteristics of the livestock product to be processed and must be well ventilated. | 2 |  |  |
| ③ Establishment must be a separate building or must be separated (through a wall, floor, etc.) from other facilities used for different purposes. And it must be controling people who enter and exit the building. | 3 |  |  |
|  |
| **2. Inside Structure** | **Total (Points)** | **12** |  |  |
|  | ① Floor must be processed with a water-resistant material such as concrete, etc. and must not have a dent, or be managed so that water would not gather. | 3 |  |  |
| ② Inside wall or the ceiling must be managed in a sanitary way, and the surface must be slippery so that foreign materials or dust would not adhere to them. (Check whether spider webs, dust, etc. exist in the inside wall and the ceiling.) | 3 |  |  |
| ③ 1.5 m of the inside wall measured from the floor must be constructed with a light-color, water-resistant material or be painted with an anti-bacterial paint. (Check whether or not it is contaminated by a fungus, etc.) | 3 |  |  |
| ③ Work area (entrance, windows, walls, ceiling, etc.) must be built with a structure that can be closed so that it is able to block or prevent water leak, pollutants from outside, rodents, etc. from coming in to the facility. | 3 |  |  |
|  |
| **3. Piping & Drainage** | **Total (Points)** | **6** |  |  |
|  | ① Pipes and the connecting parts in the work area must be constructed with a material that is harmless to a human body. (Check for the existence of foreign materials such as a rust, etc. in the pipes and in the connecting areas.) | 3 |  |  |
| ② Drainage system must be properly installed to prevent backflow of effluent, and sediments must not pile up. | 3 |  |  |
|  |
| **4. Ventilation** | **Total (Points)** | **9** |  |  |
|  | ① Ventilation facility must be sufficient for ventilating bad odor, harmful gas, smoke, vapor, etc. and be able to manage condensed water properly. (Consider the status of ventilation in the work area and whether or not condensed water would affect products, etc. in case there is condensed water.) | 5 |  |  |
| ② In case there is a mixing procedure which creates scattering power, there must be a facility that can remove them effectively. | 4 |  |  |
|  |
| **5. Natural Light or Lighting Equipment** | **Total (Points)** | **9** |  |  |
|  | ① Intensity of the lighting in the work area must be no less than 220 lx. However, it is not applicable to a place where ingredients or livestock products are not processed directly through an automated system, etc. | 5 |  |  |
| ② Light bulbs or light fixtures must be shielded with protective nets to prevent it from becoming a hazard that can contaminate products in case of breakage. (Consider whether there would be a direct impact, etc. on the product.) | 4 |  |  |
|  |
| **6. Bathroom, Dressing Room** | **Total (Points)** | **6** |  |  |
|  | ① Bathrooms must be located in a place that does not affect the work and be equipped with a flush toilet with a septic tank. | 2 |  |  |
| ② Bathrooms must be processed with a water-resistant material such as concrete, etc., and the floor and 1.5 m of the inside wall measured from the floor must be constructed with tiles or be painted with a water-resistant paint. | 2 |  |  |
| ③ There must be a separate dressing room adjacent to but separated from the work area, and there must be separate lockers for storing each employee’s clothing, footwear, etc. which are maintained and managed in a sanitary way. | 2 |  |  |
|  |
| **7. Water** | **Total (O/X)** | **1** |  |  |
| **Total (Points)** | **9** |  |  |
|  | ① Establishment must be equipped with a facility that can provide tap water, or underground water in compliance with water quality test standards for drinking water, etc. | 3 |  |  |
| ② When using underground water, etc. other than tap water, plant from which water is obtained must be located in a place that is not concerned for being contaminated by pollutants, etc., Regular water quality tests must be conducted, and the record must be retained. | O / X |  |  |
| ③ Water storage tank must be installed so as to protect it from outside contamination, and a lock device must be installed. | 3 |  |  |
| ④ Piping for non-drinking water must be indicated so that it can be distinguished from the piping for drinking water, and they must not cross or merge with each other. | 3 |  |  |
|  |
| **8. Waste & Effluent Disposal Facility** | **Total (Points)** | **2** |  |  |
|  | ① Waste and effluent disposal facility must be installed and operated in a separate place away from the establishment, and its maintenance record must be retained. | 2 |  |  |
|  |
| **9. Cooling (Refrigerating and Freezing) &　Heating Facility** | **Total (Points)** | **5** |  |  |
|  | ① Coolers, refrigerators, freezers, and heating facilities must have a thermometer or a temperature-measuring device in a proper location, and the temperature must be recorded and managed through a regular monitoring or an automatic temperature-recording device. | 5 |  |  |
|  |
| **10. Insect & Heat Control** | **Total (Points)** | **9** |  |  |
|  | ① Intake and exhaust pipe that is opened to outside must be attached with a filtering net, screen, etc. | 3 |  |  |
| ② Establishment must be managed so as to prevent harmful insects, rodents, etc. from entering and must be checked regularly to see whether they are entering. | 3 |  |  |
| ③ When carrying out extermination of insects, rodents, etc. in the establishment, it must be conducted after proper protective measures are taken according to the prescribed sanitation practices so as not to affect the work process or safety of livestock products. And after completing the work, facilities that process livestock products or areas that have contacted livestock products directly or indirectly must be cleaned, etc. to remove any contaminants. | 3 |  |  |
|  |
| **11. Cleaning** | **Total (Points)** | **16** |  |  |
|  | ① Standards of management are established for the location, method, and frequency of cleaning as well as chemicals and tools used for cleaning. | 3 |  |  |
| ② Detergent, disinfectants, and other chemicals used in the establishment are handled, used and kept properly and safely according to their purpose and method of usage. | 4 |  |  |
| ③ Surface of facilities, instruments, etc. that touches the products directly must be managed in a sanitary way. | 3 |  |  |
| ④ Surface of facilities, instruments, etc. that does not touch the products directly must be managed in a sanitary way. | 3 |  |  |
| ⑤ Containers, etc. that are used for handling or processing inedible products must be used separately so as to prevent cross-contamination on the products. | 3 |  |  |
|  |
| **12. Management of Sanitation and Process in the Establishment** | **Total (Points)** | **1** |  |  |
| **Total (Points)** | **50** |  |  |
|  | ① Establishment must be divided into a clean area and regular area (or semi-clean area, polluted area, etc.) and be separated, divided, or categorized according to the characteristics and processing of the products. | 5 |  |  |
| ② Employees working in the clean and regular areas must work in divided processing rooms, and when they necessarily move to other areas, they must take necessary sanitary measures. | 4 |  |  |
| ③ Processing room must be equipped with a thermometer that can check the indoor temperature, and a proper temperature must be maintained according to the characteristics of the products. (Processing room other than the heat processing room must be no greater than 15℃.) | 5 |  |  |
| ④ If there are areas or procedures where condensed water can be created, standards for the management of condensed water must be defined and monitored. | 5 |  |  |
| ⑤ Proper preventive measures must be taken during the procedures of handling, processing, packing, etc. of livestock products to avoid mixing of foreign materials such as metals, etc. or contamination by pathogenic micro-organisms. | 3 |  |  |
| ⑥ Machines, equipment, and other supporting facilities used for handling, processing and packaging of livestock products must be always maintained and managed in a sanitary way. And machines and equipment that touch ingredients directly must be easy to wash and must be made of an anti-corrosion material. | 4 |  |  |
| ⑦ When containers and packaging materials of livestock products are collected and re-used, they must be cleaned thoroughly with drinking water, etc. and used after confirming that no impurities remain. | 3 |  |  |
| ⑧ Defrosting process of an ingredient meat must be managed in a sanitary way. - Internal temperature of the defrosted meat must be no greater than 10℃, and a sanitary condition of the defrosting room and defrosting time must be verified. | 4 |  |  |
| ⑨ Ratio for mixing ingredient meat with supporting ingredients must be in compliance with the proper ratio for mixing based on the written manufacturing procedures. | 4 |  |  |
| ⑩ Heat treatment process or frying process must comply with the heating temperature and time, freezing temperature and time, etc. of the written manufacturing procedures. | 5 |  |  |
| ⑪ Sterilized or pasteurized livestock products must comply with sterilization or pasteurization requirements. | O / X |  |  |
| ⑫ Products must be packaged quickly to prevent spoiling or cross-contamination due to an increase of temperature. | 3 |  |  |
| ⑬ Each manufacturing procedure must be managed properly according to the written manufacturing procedures. | 5 |  |  |
|  |
| **13. Employee Sanitation** | **Total (Points)** | **32** |  |  |
|  | ① Employees must wear protective clothing, proper hair coverings (protective hair coverings) and protective boots and maintain a proper sanitary condition. And they may not go outside with protective clothes on. | 5 |  |  |
|  | ② Employees must take off their protective aprons and gloves when they need to go to the bathroom during the production work. | 2 |  |  |
|  | ③ Employees must not smoke, eat, or chew a gum during the work. | 2 |  |  |
|  | ④ Employees handling livestock products may not wear accessories such as a watch, ring, earrings, hair pins, etc. | 2 |  |  |
|  | ⑤ People who enter the production area must always wash their hands, protective boots, etc. | 3 |  |  |
|  | ⑥ Employees must frequently wash and sanitize their hands, gloves, knives, processing table, etc. to prevent cross-contamination. | 3 |  |  |
|  | ⑦ Employees who have or are suspected to have an infectious disease must not be working. | 5 |  |  |
|  | ⑧ Employees who have externally exposed scars, lesion, etc. on the arms, etc. must not be working. | 5 |  |  |
|  | ⑨ All employees who handle livestock products must receive a medical examination before starting the work, and its report must be kept in file. | 5 |  |  |
|  |
| **14. Education & Training** | **Total (Points)** | **8** |  |  |
|  | ① The business operator must establish and carry out an in-plant sanitation education program for employees and retain the record of its result. | 4 |  |  |
| ② Education and training regarding inspection must be carried out regularly for laboratorians working on the inspection. | 4 |  |  |
|  |
| **15. Management of the Raw Material and Subsidiary Material** | **Total (Points)** | **19** |   |  |
|  | ① Warehousing record of the raw material and subsidiary material (supplementary raw material, packaging material, etc.) must be filled out. And an inspection report must be received from the suppliers, or plant-specific inspections must be regularly carried out. | 4 |  |  |
| ② Proper storage temperature must be maintained for each livestock product used as a raw material.* Ingredient egg must be stored in a cold storage (0-15℃), away from a direct light; raw milk must be stored at 0-10℃; and ingredient meat must be refrigerated at a temperature no greater than 5℃, or frozen at a temperature no greater than –18℃.
 | 5 |  |  |
| ③ Warehousing and delivery must be managed according to the first-in, first-out policy. | 3 |  |  |
| ④ Raw material, subsidiary material, and completed products must be managed separately , and they must be loaded and managed not to adhere closely to the floor or the wall. | 3 |  |  |
| ⑤ Inappropriate raw material, supplementary material, etc. must be stored in a separately designated place and labeled clearly so that they can be distinguishable and managed so as to take proper measures such as return, disposal, etc. | 4 |  |  |
|  |
| **16. Storage and Shipment of Complete Products** | **Total (O/X)** | **1** |   |  |
| **Total (Points)** | **18** |  |  |
|  | ① Completed products must comply with proper storage temperatures for each livestock product. * Meat and meat products: -2-10℃ for refrigerated products (Except for poultry: -2-5℃); no greater than -18℃ for frozen products (However, sterilized or dry products can be kept at room temperature.)
* Pasteurized products such as milks, processed milks, butters, condensed milks, whey, etc.) must be stored at 0-10℃.
* Fermented milks must be refrigerated at 0-10℃, or frozen at a temperature no greater than –15℃.
* Natural cheese and processed cheese are refrigerated at 0-10℃, or frozen at a temperature no greater than –18℃.
* Butters must be refrigerated or frozen.
 | O / X |  |  |
| ② Considering the time that takes for transportation, customs clearance, and the expiration date of the products, products that have passed the expiration date or have a risk for passing an expiration date must not be exported or stored for export. | 5 |  |  |
| ③ Completed products must be loaded and managed not to be adhering closely to the floor or the wall. | 3 |  |  |
| ④ During the transportation, including loading, unloading, etc., of livestock products, they must be handled in a sanitary manner to prevent the breakage of packaging or cross-contamination. | 3 |  |  |
| ⑤ Transportation vehicle must be able to maintain a temperature no greater than 10℃ for refrigeration and no greater than –18℃ for freezing before the loading of livestock products, and a device for recording temperature must be attached. | 4 |  |  |
| ⑥ Inappropriate products must be stored in a separately designated place and labeled clearly so that they can be distinguishable and managed so as to take proper measures such as return, disposal, etc. | 3 |  |  |
|  |
| **17. Product Inspection**  | **Total (Points)** | **8** |   |  |
|  | ① Inspection of completed products must be carried out in the establishment’s own laboratory according to the inspection plan, or must be completed by a third party inspection agency approved by the exporting country’s government. | 5 |  |  |
| ② Inspection result of the completed products must specifically record and contain the following content: - Name of the inspected product, manufacturing date or expiration date (period during which quality is maintained), date of inspection, items inspected, standards and result of the inspection, decision result and date of the decision, name and signature of the inspector(s), etc. | 3 |  |  |
|  |
| **18. Management of Production Documents** | **Total (Points)** | **6** |   |  |
|  | ① The business operator must record and maintain a receipt and disbursements document related to the warehousing and use of the raw material. | 3 |  |  |
| ② Documents containing transactional information such as the manufacturing date, amount produced, contact for sales, amount of sales, etc. must be prepared and kept in file for each unit of production (lot) for products exported to Korea. | 3 |  |  |
|  |
| **19. Recall Program** | **Total (Points)** | **10** |   |  |
|  | ① Recall program must be established and operated which specifically explains the procedure and method for recalling defective or returned products. | 5 |  |  |
| ② To investigate or verify the cause of defective products, necessary information about the corresponding facility such as the manufacturing location, date, production line, etc. must be recorded and retained for each product. And a proper verification method such as indication of codes, lot management, etc. must be considered for the traceability of products. | 5 |  |  |
|  |
| **20. SSOP (Sanitation Standard Operation Procedures)**  | **Total (O/X)** | **3** |  |  |
| **Total (Points)** | **35** |  |  |
|  | ① SSOP (Sanitation Standard Operation Procedures) containing the content below must be written, retained, and operated in the establishment:* Written standards for management of establishment (maintenance, repair, and management of establishment, controlling visitor access, insect and heat control, water (underground water) management, waste and effluent disposal management, etc.)
* Written standards for sanitation management (location, frequency, method, chemicals, and tools for cleaning; evaluation method for status of cleaning, management of employees’ health, size and method of wearing for work clothes, disinfectants for disinfection tank, inspection frequency and method, handling and usage of chemicals used in the work place, etc.)
* Written standards for management of carcass inspection
* Written standards for management of facilities, equipment, tools, etc. such as refrigerators, freezers, etc. in the establishment
 | 20\*Existence of SSOPs shall be evaluated as "Compliant" or "Non-compliant" (O/X). |  |  |
|  | ② The business operator must complete a checklist for plant-specific SSOPs and carry out an inspection before and during the work according to a prescribed frequency and method. | O / X |  |  |
|  | ③ If any deviations from the critical limits of the SSOPs are detected, proper corrective measures are instituted. Corrective measures include improvement of sanitary measures through a removal of contamination, establishment of preventive measures for recurrence, proper handling of affected products. | O / X |  |  |
|  | ④ If there is any change(s) in the management standards for SSOPs, and it is necessary based on the plant-specific evaluation, SSOPs shall be amended, and its history must be recorded and signed by a manager. | 2 |  |  |
|  | ⑤ The business operator must establish and carry out an in-plant sanitation education program for employees and retain the record of its result. | 4 |  |  |
|  | ⑥ The business operator must regularly carry out an education training for laboratorians and retain the record of its result. | 4 |  |  |
|  | ⑦ If underground water other than tap water is used, water that complies with the quality standards of drinkable water must be used, and a regular water quality test must be carried out and maintain its record. | O / X |  |  |
|  | ⑧ Official inspectors must periodically check whether plant-specific SSOPs are carried out, and if any violations are detected, they must immediately notify the business operator for correction or modification. | 5 |  |  |
|  |
| **21. HACCP**  | **Total (Points)** | **2** |  |  |
| **Total (Points)** | **54** |  |  |
|  | ① Written HACCP management standards must include the following content and be applied to work:* Composition of the HACCP team, carcass explanation, facilities for procedures including slaughtering, treatment, processing, packaging, etc. (process chart, floor plan, air-conditioning facility, drainage system, etc.), analysis of risks, critical control points (CCP), the limits of CCPs, method for inspection (monitoring), method for improvement measures, verification method, method for maintaining the result.
 | 20 |  |  |
|  | ② Risk analysis is properly carried out by each processing procedure, and HACCP management standards are composed based on the result of the risk analysis. | 5 |  |  |
|  | ③ Validity test must be carried out to test whether HACCP plan can be operated as it is intended. | 5 |  |  |
|  | ④ Plant-specific evaluation of the HACCP plan must be carried out at least once per year and must be also carried out when there is a change in HACCP　standards or an occurrence of unexpected hazard accidents. | 5 |  |  |
|  | ⑤ When developing or amending HACCP plans, date, manager signature, amendment history, etc. must be recorded and retained. | 3 |  |  |
|  | ⑥ Measurement equipments used for monitoring such as a thermometer, weight scale, etc. must be regularly checked and calibrated, and its record must be retained. | 5 |  |  |
|  | ⑦ CCP must be monitored properly according to the HACCP plan, and its record must be retained. | O / X |  |  |
|  | ⑧ If any deviations from the critical limits of the SSOPs are detected, proper corrective measures must be instituted, including analysis and removal of cause, CCP’s normal recovery, establishing preventive measures for recurrence, and proper handling of affected products. | O / X |  |  |
|  | ⑨ Monitoring manager for CCP of a corresponding procedure must be aware of corrective measures taken if any deviations from the critical limits of the SSOPs are detected. | 4 |  |  |
|  | ⑩ Education and training on the HACCP plan must be conducted periodically for the business operator and employees, and its records must be retained. | 4 |  |  |
|  | ⑪ Relavant authorities must inspect and evaluate the state of compliance for HACCP standards in the establishment at least once a year. | 3 |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Comprehensive Evaluation | Category | Result |  Final Decision:  |
| Conversion Result |  % |  <Violation(s) or Areas In Need of Improvement> (E.g.) 1. Non-compliance of sterilization conditions (evidence: temperature record sheet) 2. Self-inspection for sanitation management of facility, employees, etc. is nor performed before work. (Proof: copy of a self-inspection checklist for sanitation management on 2/4/2016) |
| Compliant / Non-compliant | No. of Non-compliant:  |

**<Decision Criteria>**

 **① Decision (Decision for Converted Points)**: Decision shall be made as 'Compliant (O)' if the percentage converted for the sum of the points for each item is greater than or equal to 85%, 'Correction Needed' if it is less than 85% but greater than or equal to 70%, and 'Non-compliant (X)' if it is less than 70%.

 **② Decision (O/X Decision)**: If there is at least one item which is evaluated as 'Non-compliant (X)', the decision shall be made as 'Non-compliant'.

 **③ Final Decision:** If there is ‘Non-compliant’ in either decision for ① or ②, the final decision shall be made as 'Non-compliant'.

 Date of Inspection : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 MM / DD / YYYY

Inspector(s)

 \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Department Position Name (Signature)

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 Department Position Name (Signature)

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 Department Position Name (Signature)