



## 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:                                    |  |                    |                                       |
| <b>RATING SUMMARY</b>   |  |                    |                                       |
| <b>RATING LEVELS</b>  | <b>TOTAL CRITICAL NON-CONFORMANCES ALLOWED</b> |                    | <b>TOTAL NON-CONFORMANCES ALLOWED</b> |
| Satisfactory  | 0  |                    | 3                                     |
| Conditional   | 1  |                    | 7                                     |
| Unsatisfactory  | Fails to meet conditional                      |                    |                                       |
| <b>TOTAL</b>  |  |                    |                                       |
|   |  |                    |                                       |
| <b>REVIEW RATING</b>  | <b>Satisfactory</b>                            | <b>Conditional</b> | <b>Unsatisfactory</b>                 |
| <b>FREQUENCY LEVEL</b>  | <b>Reduced</b>                                 | <b>Normal</b>      | <b>Tightened</b>                      |
|   |  |                    |                                       |
| <b>Is this a "Non-producing" CN plant review?</b>                               |  | <b>Yes</b>         | <b>No</b>                             |
| 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)

|   |  |             |
|---|--|-------------|
| <b>REVIEW CONDUCTED BY (PRINT NAME)</b> | <b>REVIEWER'S SIGNATURE</b>            | <b>DATE</b> |
|   |  |             |
| <b>Program</b>                          | Quality Assessment Division            |             |
| <b>Office Address</b>                   | 1400 Independence Avenue SW, Stop 0258 |             |
| <b>City, State, Zip</b>                 | Washington, DC 20250                   |             |
| <b>Phone</b>                            | Phone: 303-916-0775                    |             |

USDA is an equal opportunity provider, employer, and lender.



---

## 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).

Production Run

Desk Review (on site)

Desk Review (off site)



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



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



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



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

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





