**Checklists for Foreign Establishments** (relating to Article 4)

**5. Livestock Product Processing Establishment**

A. General information

|  |  |
| --- | --- |
| ○ Name of Establishment |  |
| ○ Address |  |
| ○ Owner's name |  |
| ○ Size(square) | ○ Site :  ○ Building : |
| ○ Major facilities | ○ Production line :  ○ Laboratory:  ○ Storage :  ○ Others : |
| ○ Established date |  |
| ○ Registration No. or EST No. |  |
| ○ Registration date |  |
| ○ Date of designation for export |  |
| ○ Approved work or operation |  |
| ○ Approved item & annual product volume |  |
| ○ Export item & annual product volume |  |
| ○ Number of employees | ○ Administration :  ○ Production:  ○ Laboratory :  ○ Others : |
| ○ Finished product testing | [ ] In-house  [ ] outsourced |
| ○ Importing countries except the Republic of Korea |  |
| ○ Others |  |

B. Checklists

|  |  |  |
| --- | --- | --- |
| Foreign establishment | Name: | |
| Owner: (seal) | Responsible manager: (seal) |
| Address: | |
| Contact: | E-mail: |

| **Evaluation Item** | | **Major** | **General** | **Remark** |
| --- | --- | --- | --- | --- |
| **Sanitation controls of environment / facilities** | | | | |
| 1. Buildings shall be located at a place distant from contaminant-generating facilities so that livestock products are not adversely affected by livestock waste water, sewage, chemicals and other contaminants. | |  |  |  |
| 1. Buildings shall be structured so as to maintain appropriate temperature levels and to provide adequate ventilation. | |  |  |  |
| 1. Building materials shall not adversely affect and contaminate livestock products. | |  |  |  |
| **Sanitation controls of working area** | | | | |
| 1. Working areas (raw material storage room, meat processing room, packaging room and others needed for processing / packaging of livestock products) shall be in independent buildings or separated or segregated from facilities for other purposes. | |  |  |  |
| 1. Working areas shall be separated or segregated (segregation with the use of partitions or curtains). However, this may not apply, when it is deemed unnecessary to have separation or segregation owing to automation of production processes or characteristics of facilities/products and individual facilities are clearly divided (division with the use of lines or strings). | |  |  |  |
| 1. Access to buildings where food products are processed shall be restricted to avoid unauthorized access. | |  |  |  |
| 1. Working area's floor shall be treated with concrete or other materials to assure water-resistance and good drainage. | |  |  |  |
| 1. Surfaces of inner walls and ceilings shall be smooth so as to avoid accumulation of foreign materials and dusts. | |  |  |  |
| 1. Working area's inner walls shall be treated with bright-colored, water-resistant materials or bacteria-prevention paint to the extent of 1.5 meter from the floor. | |  |  |  |
| 1. Working areas shall have the light intensity of at least 220 lux.   \* Except those where handling of raw materials or cutting/ packaging of meat is not conducted. | |  |  |  |
| 1. Ventilation systems shall be provided to assure removal of odors generated in working areas. | |  |  |  |
| 1. Working areas shall have a pest control system. In addition, devices to avoid entry of rodents and others (appropriate size to block the entry of rodents) shall be provided at drains. | |  |  |  |
| 1. Working areas for meat processed products or egg processed products shall be maintained at below 15℃. Yet, this may not apply to places where heat treatment is conducted. | |  |  |  |
| 1. There shall be systems to supply city water or water suitable for human consumption. | |  |  |  |
| 1. Water used in cleaning of equipment, utensils and others for handling of raw materials and products shall be suitable for human consumption. | |  |  |  |
| **Sanitation controls of raw materials** | | | | |
| 1. Records on the purchase and use of raw materials shall be maintained for 2 years from the date of the last documentation. | |  |  |  |
| 1. On receipt of raw meat, in-house procedures for receiving raw meat shall be followed. | |  |  |  |
| 1. Quality of raw materials and other materials shall be verified through review of certificates of analysis or compliance with the established specifications and standards. | |  |  |  |
| 1. Temperature at raw meat's central part shall be -2∼10℃ for cold storage (poultry meat: -2∼5℃) or -18℃ or below for freezing storage. | |  |  |  |
| 1. Containers and packaging materials used in the production of products shall meet the specifications. | |  |  |  |
| **Sanitation controls of manufacture / processing** | | | | |
| 1. Equipment, utensils and others used in the handling and processing of livestock products shall be appropriate for characteristics of livestock products. | |  |  |  |
| 1. Surfaces coming into direct contact with livestock products shall be made of sanitary, water-resistant materials (such as stainless steel, aluminum, FRP, and Teflon) that do not absorb water. | |  |  |  |
| 1. Surfaces coming into direct contact with livestock products shall be easily cleaned and sanitized/disinfected with hot water, steam, sanitizing chemicals and others. | |  |  |  |
| 1. Refrigeration/freezing facilities and heat-treatment facilities shall have thermometers or others for measurement of temperatures. | |  |  |  |
| 1. Refrigeration/freezing facilities and heat-treatment facilities shall be maintained at appropriate temperature levels. | |  |  |  |
| 1. Surfaces of all pieces of equipment, conveyor belts, workstations and others coming into direct contact with livestock products shall be maintained in clean and sanitary conditions. | |  |  |  |
| 1. **If livestock products are pasteurized/sterilized, pasteurization/ sterilization conditions shall be followed.** | |  |  |  |
| 1. If eggs are used in production process, egg shells shall be cleaned / disinfected before use. | |  |  |  |
| **Sanitation controls of refrigeration / freezing rooms** | | | | |
| 1. Refrigeration/freezing facilities shall be provided to maintain storage temperatures appropriate for raw materials and products. | |  |  |  |
| 1. **Refrigeration rooms shall be maintained at -2℃～10℃ and freezing room shall be maintained at -18℃ or below.**   **\* For poultry meat stored at cold temperature, -2℃∼5℃** | |  |  |  |
| 1. **Refrigeration/freezing room's temperature levels shall be periodically monitored and monitoring records shall be maintained.** | |  |  |  |
| 1. Refrigeration/freezing rooms shall be constructed to allow for temperature control. | |  |  |  |
| 1. Refrigeration/freezing rooms shall be maintained in a clean condition. | |  |  |  |
| 1. While a refrigeration (freezing) room is opened, operations shall not be performed. | |  |  |  |
| **Sanitation controls of distribution** | | | | |
| 1. Distribution rooms shall be distinguished from the outside. | |  |  |  |
| 1. Distribution rooms shall have a pest control system to prevent potential introduction of insects and rodents and it shall be periodically controlled. | |  |  |  |
| 1. Distribution rooms shall be constructed with concrete or other similar materials to facilitate operations and cleaning. | |  |  |  |
| 1. Distribution rooms shall be maintained at below 15℃. | |  |  |  |
| 1. Products shall be handled and transported in a sanitary manner. | |  |  |  |
| 1. Vehicle's loading chambers shall be maintained in a clean condition at all times. | |  |  |  |
| 1. Prior to loading, vehicle's refrigeration (freezing) system shall be operated to assure appropriate temperature levels | |  |  |  |
| **Sanitation controls of personnel** | | | | |
| 1. Personnel shall wear sanitary working garments, head covering and shoes and perform their works in a manner to assure clean conditions. | |  |  |  |
| 1. Personnel who wear sanitary working garments and others shall not go out of the working area. | |  |  |  |
| 1. When a working area is classified (such as a general area and clean area), different operators shall work at different areas and cross-working shall not be allowed. | |  |  |  |
| 1. When an operator intends to go to the toilet during operation, an apron and gloves shall be taken off. | |  |  |  |
| 1. Smoking, eating and chewing shall not be allowed during operation. | |  |  |  |
| 1. Personnel engaged in the handling of livestock products shall not wear any watches, rings, earrings, hairpins and other accessories. | |  |  |  |
| 1. Personnel shall wash hands at the time of entry/exit. | |  |  |  |
| 1. When an operator moves from the room where raw materials are handled to the room where products are processed, the person shall take preventive measures, such as exchange of sanitary working garments or an apron, sanitizing/cleaning sanitary shoes or washing hands. | |  |  |  |
| 1. Any persons who have or are suspected to have hepatitis / transmissible diseases shall not be allowed to perform operations. | |  |  |  |
| 1. Any persons who have injuries, lesions and others on the arms and open parts shall not be allowed to perform operations. | |  |  |  |
| 1. All personnel engaged in the handling of livestock products shall receive a health examination before such engagement in operations and such a health examination certificate shall be maintained. | |  |  |  |
| **Sanitation controls of laboratory operations** | | | | |
| 1. In-house examinations shall be performed for raw meat and finished products. | |  |  |  |
| 1. There shall be a laboratory to examine raw materials and products.   However, this may not apply, if it is outsourced to external laboratories in compliance with the exporting country's requirements. | |  |  |  |
| 1. If it is necessary to have a laboratory, equipment, apparatus and reagents needed for in-house examinations shall be provided. | |  |  |  |
| 1. In-house examination results shall be maintained. | |  |  |  |
| 1. Analytical equipment, apparatus and others shall be periodically calibrated. | |  |  |  |
| **Other sanitation controls** | | | | |
| 1. Locker rooms shall be separately placed near the working areas. | |  |  |  |
| 1. Locker rooms shall have containers for separate storage of clothes, shoes and others for individual operators. It shall be maintained and controlled in a clean condition. | |  |  |  |
| 1. Locker rooms shall be designed to assure separated or divided storage of street clothes (including shoes) and sanitary clothes (including shoes), in order to avoid cross-contamination | |  |  |  |
| 1. Toilets shall be located at a place not affecting the working areas. | |  |  |  |
| 1. Toilets shall have a hand-washing facility, pest control system and ventilation facility. | |  |  |  |
| 1. Toilets shall have semi-automatic or automatic faucets for hand-washing to prevent potential contamination. | |  |  |  |
| 1. For disinfection chemicals maintained at the disinfection preparation room, instructions for use shall be provided and records on the use and control of such chemicals shall be maintained. | |  |  |  |
| 1. Any foreign materials, such as soils, meat residues, hairs and metals, and hazardous substances, such as cleaning agents, shall be removed from surfaces of apparatus, tools and others coming into direct contact with livestock products. | |  |  |  |
| 1. Hands, gloves, knives, processing workstations and others shall be frequently cleaned / disinfected during operation. | |  |  |  |
| 1. **If underground water (not city water) is used, it shall be suitable for human consumption.** | |  |  |  |
| 1. If underground water (not city water) is used in livestock products or facilities where livestock products are handled, water quality shall be periodically tested and records shall be maintained. | |  |  |  |
| 1. Business operators shall establish a sanitation training plan, conduct training of personnel and maintain training records. | |  |  |  |
| **Withdrawal / customers management** | | | | |
| 1. A program for voluntary withdrawal of non-conforming materials shall be established and followed. | |  |  |  |
| 1. Non-conforming materials (including returned products) shall be appropriately stored and handled at designated areas to prevent potential mix-up with approved products. | |  |  |  |
| **SSOP** | | | | |
| SSOPs shall be prepared, maintained and followed as follows(item no. 72~75): | | | | |
|  | SSOPs for control of working areas (maintenance / repair of working areas, visitors access control, pest controls, control of water (underground water), control of wastes and waste water treatment system, and others) |  |  |  |
|  | SSOPs for sanitation controls (cleaning place, cleaning frequency, cleaning methods, chemicals and tools for cleaning operations, evaluation after cleaning, control of health conditions, specifications and use of working garments, disinfectant tank's check frequency and methods, handling and use of chemicals in working area and others) |  |  |  |
|  | SSOPs for inspection of products |  |  |  |
|  | SSOPs for control of facilities, equipment, tools and others, including refrigeration / freezing systems |  |  |  |
| 1. **Business operators shall prepare checklists for in-house sanitation controls and conduct daily checks according to the established procedures and methods.** | |  |  |  |
| 1. SSOPs shall be followed. | |  |  |  |
| 1. Government inspectors shall periodically perform inspection to verify compliance with in-house sanitation control procedures and, if any violation is found, they shall make the business operator immediately complete corrections / improvements. | |  |  |  |
| **HACCP** | | | | |
| 1. HACCP documents comprising the following aspects shall be prepared and maintained.   - Organization of HACCP team, product description, process flow (process flow chart, floor plan, materials/personnel flow, ventilation, drainage and others), hazard analysis, determination of CCPs, establishment of critical limits, establishment of monitoring systems, development of corrective actions, verification procedures and methods, documentation and record-keeping, HACCP plan, training plan | |  |  |  |
| 1. Organization of HACCP team and assignment of responsibilities and authorities of individual teams/team members shall be documented in detail and in a practical manner. | |  |  |  |
| 1. Product descriptions shall be prepared for all products manufactured. | |  |  |  |
| 1. Specifications for finished products shall be prepared on the basis of regulatory specifications and in-house specifications. | |  |  |  |
| 1. In-house specifications for finished products shall be based on the validation of critical limits for critical control points. | |  |  |  |
| 1. Process flow charts shall include processing steps and conditions according to the process flow. | |  |  |  |
| 1. Floor plans shall be prepared to establish areas so as to prevent cross-contamination between rooms. | |  |  |  |
| 1. Personnel flows shall be designed to assure efficient movement through areas. | |  |  |  |
| 1. Ventilation systems shall be designed to assure air flow from a clean area to a general area or to have independent ventilation. | |  |  |  |
| 1. Drainage systems shall be designed to assure drain flow from a clean area to a genera area or to have independent drainage. | |  |  |  |
| 1. Potential hazards shall be identified for individual raw materials, other materials and processing steps. | |  |  |  |
| 1. Critical control points (CCPs) shall be logically established on the basis of process analysis and risk analysis. | |  |  |  |
| 1. Based on results from validation of CCPs, critical limits (lower and upper limits) shall be established. | |  |  |  |
| 1. Monitoring procedures and methods shall be provided to allow for effective observation and recording of critical limits. | |  |  |  |
| 1. **Monitoring operators shall perform monitoring according to the established procedures and methods and maintain monitoring records.** | |  |  |  |
| 1. Monitoring operators shall fully understand monitoring procedures and methods. | |  |  |  |
| 1. Monitoring instruments for CCPs (balances, thermometers, clocks, standards and others) shall be calibrated and calibration records shall be maintained. | |  |  |  |
| 1. Corrective action plans including those to be taken when critical limits are exceeded and equipment is out of order shall be prepared. | |  |  |  |
| 1. **Operators responsible for corrective actions shall immediately take corrective actions according to the established procedures and methods (analysis and elimination of root causes, recovery of CCPs to normal conditions, development of measures to prevent recurrence, and treatment of affected products) and shall maintain records.** | |  |  |  |
| 1. Operators responsible for corrective actions shall fully understand methods for corrective actions. | |  |  |  |
| 1. Verification procedures and methods shall be established to cover validation and implementation aspects. | |  |  |  |
| 1. Verifications shall be performed at least once a year according to verification procedures and methods and verification results shall be maintained. | |  |  |  |
| 1. Establishment/revision of HACCP documents shall be dated and signed by a responsible person and the revision history shall be documented. | |  |  |  |
| 1. Education/training plans shall be established to include the trainees, contents, evaluation methods and others. | |  |  |  |
| 1. Education/training shall be performed according to the established frequency and records shall be maintained. | |  |  |  |
| 1. Government authority shall regularly investigate and evaluate companies to verify compliance with HACCP requirements. | |  |  |  |
| 1. HACCP-related records shall be maintained for 2 years. | |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Overall  evaluation | Total score |  | <Description of violations and corrective actions required> |
| Percentage | % |
| Final result |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| □ Date of inspection | |  |  |  |
| □ Inspectors | |  |  |  |
| Organization Position (Title) Name |  | | (seal) |  |
| Organization Position (Title) Name |  | | (seal) |  |
| Organization Position (Title) Name |  | | (seal) |  |
|  | |  |  |  |

**<How to determine Final Result>**

1. **Converting items into a percentage:** The percentage of "Compliant (O)" items is calculated; a) "Compliant", when the percentage is greater than or equal to 85%, b) "Corrective action required", when it is less than 85% and greater than or equal to 70%, and c) "Non-compliant", when it is less than 70%.
2. **No. of "failed" major items:** Items highlighted in bold are major ones. If even a single major item is identified as "X (Non-compliant)", the final result shall be "Non-compliant".
3. **Final result:** If "Non-compliant" is concluded in either of ① or ②, then the final result shall be "Non-compliant".