Organisation Details			
Organisation	General Mills, Inc.		
Registered Legal Name (if different to above)	NA		
Site Registration Number	NA		
Address	54 S Michigan Ave		
City	Buffalo, New York		
Postcode	14203		
Country	United States		
Client Representative	Craig Siebert	E-mail	craig.siebert@genmills.com
Site Food Safety Team Leader	Craig Siebert	E-mail	craig.siebert@genmills.com

CB Name and Location	SGS United Kingdom Ltd
Accreditation Body:	UKAS
Audit Language	English

Audit Type	Surveillance - Announced
Audit Complexity	Standalone
Additonal Standards included in this audit	

Audit Team

Auditor Number	First Name	Last Name	Role	FCC	Date	Hours	Minutes
588	Karen	Javier	Lead auditor		15/01/2020	8	
588	Karen	Javier	Lead auditor		16/01/2020	8	
116	Eunice	Quak	Lead auditor		21/07/2020	8	
116	Eunice	Quak	Lead auditor		22/07/2020	8	

Deviation from audit plan?	No	
Deviation from Audit Planning Matrix?	No	

Audit Objectives	To determine conformity of the management system, or parts of it with audit criteria and its: - ability to ensure applicable statutory, regulatory and contractual requirements are met, - effectiveness to ensure the client can reasonably expect to achieve specified objectives, and - ability to identify as applicable areas for potential improvement.
Audit Criteria	ISO22000:2018, relevant PRP Program (ISO/TS 22002-1:2009 - Food Manufacturing) and FSSC additional requirements The defined processes and documentation of the management system developed by the organization Statutory/regulatory requirements (as applicable) Customer requirements (as applicable)
Audit Scope	Head office activities as follows: responsibilities and authority, crisis management, purchasing and selection of suppliers (including service providers); design and development, specifications (ingredients, packaging, end products); external laboratories selection, customer complaints and feedback; exports; regulatory; food Safety programs development; validation of control measures, food fraud and food defence, labels, internal audits (VCOE), contracted warehousing and packaging material development. **site:The Manufacture of Puff Cereals packaged for retail and bulk.**
Exclusions	No

Scope verified?	Yes	

Select Food Chain Category and Sector

☐ CI ☐ CII ☐ CIII ☑ CIV ☐ DI ☐ DIIa ☐ DIIb ☐ E ☐ GI ☐ GII ☐ I ☐ K

Food Sector(s)	CIV

Number of FTE	290	Number of shifts	1	Number of employees per shift	290	Number of HACCP studies	1

Total time on-site (in hours)	16	
Deviation from planed audit time?	No	

Previous audit details

Audit Type		Recertification	
Start Date	7/5/2019	End Date	9/5/2019
Non-conformances raised at previous audit have been closed?		Yes	No non-conformances raised for the head office at previous audit.
Please decribe any changes since the previous audit		Generally, no significant changes noted within the last twelve months for activities facilitated by the head office except that the orgnaization has elated to transfer certification of all sites to SGS. site: no significant change in term of process and OPRP. New Plant Manager and HR Manager joined on 2020. Organization chart was found updated.	

Executive Summary

Audit Summary	Head office activities were generally found to be in compliance with FSSC Ver 5 requirements. Site: The site has implementedrobust PPR, HACCP program as intended. HACCP and PRP were established, implemented and executed as per General Mill standard and FSMS. Robust verification program such as EMP, sanitation, calibration were implemented to verify the effectiveness of system. Staffs were found competent to carry out the task. This is transfer audit from AIB. Total 5 findings were raised in this audit.	
Please confirm that the audit objectives have been fulfilled	Yes	

Number of nonconformities

Critical Nonconformities	0
Major Nonconformities	0
Minor Nonconformities	Site: 5

Audit Recommendation	Certification maintained

Summarise any recalls or withdrawals since the last audit:

Corporate: There were two reported recalls that occurred over the last twelve months: January 2019 – Gold Medal Unbleached Flour# 5 – Salmonella and September 2019 – Gold Medal Unbleached Flour# 5 06Sep2020 – E. coli. Recall procedures were executed as per FDA guidelines and effectiveness was reviewed during the audit. Previous certification body was also notified. Recovery is 100%. site: No recall or withdrawal reported.

Legal compliance evaluation, statutory, regulatory and other requirements:

Scientific and regulatory affairs handled by General Mills Inc.'s Innovation, Technology and Quality division. All regions of distribution, manufcature and sale have been taken into account. Site registration and compliance are to be further verified during individual site audits. site: FSMA, FDA Bioterrorism

Use of logos

Corporate and Site: The organization does not use the FSSC logo or certification mark in any form.

Key processing steps and Control measures:

During the audit the control of the following key processing steps and operational prerequisite programs (oPRPs) and CCP(s) were verified. All oPRPs and CCP's should be verified.

Control measure	Short description (process step)	Food safety hazards to be controlled	Monitoring procedure and critical limit	Verified during audit
OPRP (Metal detector control point)	Metal detector (bagging) for cereal retail packing line 6, 8, 9, 10, 11, 12, 14, 15 Puff and Chex bulk pack	metallic foreign hazard	Control limit for line 6, 9, 10, 11, 12: 1.5mm Ferrous, 2mm non ferrous, 2.4 mm SS. 1.5mm Fe, 2 mm NO Fe, All packing line 2mm SS, 1.2mm Fe, 1.5mm Non Fe Frequency: every 4 hours (twice per shift)Corrective action: hold till last	Yes
OPPR (Bar code scanner control point)	packing line 6, 8, 9, 10, 11, 12, 15	incorrect label (allergen)or	Control limit: Correct label Frequency: every start up	Yes

Checklist	Section_nr	Section	Summary
ISO 22000:2018 - Food Safety Management Systems	4	Context of the organization	*convenient meals, yogurt, ice cream and pet food intended for either retail or institutional distribution. The company has defined its purpose as to serve the world by making food people love. The company is 150 years old serving 100+ markets globally with net sales of about 16.9 B in 2019. There are 38,000 employees worldwide and is also considered as the second largest natural and organic manufacturer in the US. Identification of internal and external issues as well as needs and expectations of interested parties is handled by the organization's corporate communications team. Documented information retained on company Sharepoint. Interested parties include customers, consumers, employees, regulatory bodies, vendors, welfare groups and competitors among others. Internal and external issues looked into at the time of visit include those in relation to food safety and labour relations. Company position on these issues have been identified as well as relevant parties involved. (Reference document: Policy 1 – Product Regulatory Compliance)* *Site:* *Context of the organization* *Covered in HQ.* *Internal & external issue* *Covered in HQ. Action plan captured on section 6.* *Interested parties:* *Covered in HQ.* *Source of information identified in register of relevant parties P410 issue 1. Among the parties and source of information identified included legal (GMI legal affair), competitors (consumer insight site), Food fraud (GMI global security, food fraud prevention plan)* *Scope of certification:* *Scope was defined in HACCP program. The site produce Ready to eat Puff Cereals packaged for retail and bulk. Running 24 hours. Product produced included Cherlos, Honey Nut Cheerios, Banana nut. Total 4 processing lines. 8 for bagging line and 2 for bulk loading. HACCP studies: 1.*
ISO 22000:2018 - Food Safety Management Systems	5	Leadership	*The ITQ Global CIE – Food Safety and Quality is headed by Jodi Benson, EVP Chief Innovation and Technology with Mark Fryling as the Vice President. They head a group of quality directors handling the following activities: Labelling and Regulatory Compliance, External Quality Management (Raw Materials and Packaging Materials), External Supply Chain (Co-Manufacturers), Food Safety Center of Excellence (Internal Audits, Sanitation, Hazard, Regulatory Compliance, Zero Lost Culture). For each segment of the business, quality directors are also assigned for meals, cereals and snacks, baking, dairy. On the corporate level, the following functions are also assigned: Raw Material Managers – ensure food safety and quality of raw materials, vendor management, inspection, approval and ongoing; Product Managers – ensure food safety and quality in all products in the business and acts as liason to all other functions; Specifications and Labelling – manage raw material and finished product specifications, ensure accurate labelling of finished products, Manufacturing roles were also defined as follows: FSQ Managers – manage all food safety, quality and regulatory operations within a manufacturing facility, manage quality engineers; Contract FSQ Managers – ensure all food safety, quality and regulatory operations for any contract plants, FSQ liason to contract plants; Quality Engineers – manage execution of FSQ programs within the facility, process, packaging raw materials and sensory. As per corporate policy, the organization shall ensures its products will meet or exceed all laws governing food safety, quality, labelling, manufacturing, distribution and sale. The policy has been signed by Mark Fryling, Vice President, ITQ Food Safety and Quality and was last revised March 1, 2018. Review is being conducted every three years. (Reference: CP 7 Food Safety and Regulatory Matters). The policy is available on Sharepoint and is communciated to site employees through the leadership team (e.g. policy calls, meetings, trainings). Site: Organization chart* *The org chart was updated with new Plant Manager and HR Manager. The plant was led Plant Manager, Flourmill Manager, Food Safety & Quality Manager and etc.*
ISO 22000:2018 - Food Safety Management Systems	6	Planning	*defense assessment. Further, the head office (through the VCOE group) manages the food safety management system risk grid calibration based on the results of internal audit, external audit, microbiology and regulatory. A GMI Facility Risk Ranking Tool has been developed. Opportunities are considered as plant controllable risk and used to build improvement targets. Note that the risk ranking tool have been revised recently and 2020 has been considered as a baseline year. At the site level, a FSRA (Food Safety Regulatory Assessment) scorecard is being maintained. This is composed of three components: Self-assessment: inspections, verification, environmental monitoring, 4 Quarter Risk Reduction Plan and External Events (plant controllable events) such as recalls, withdrawals, results of audits, regulatory , etc.* *Objectives are monitored quarterly based on fiscal year. F2020 (June 2019 to May 2020) Corporate Scorecard for ITQ Food Safety and Quality as follows:* *1. Zero recalls, financial impact of recalls below 5.3 MM USD* *2. Plant Risk Grid Improvement – Deploy risk grid across global finished product supply chain and establish baseline for future reduction* *3. 21% Supplier risk reduction for global ingredients* *4. 27% Supplier risk reduction for global packaging* *5. No VCOE critical finding for all sites* *6. Zero loss culture – food safety, quality, culture, behavior* *7. Amplify competitive advantage of Product Lifecycle Management* *8. Quality Grid Initiative – Pilot in the quality grid on 12 priority products* *Site 6.1 Actions to address risks and opportunities* *At the site level, a FSRA (Food Safety Regulatory Assessment) scorecard is being maintained. This is composed of three components:* *1. Self-assessment: inspections, verification, environmental monitoring.* *2. 4 Quarter Risk Reduction Plan* *3. External Events (plant controllable events) such as recalls, withdrawals, results of audits, regulatory , etc.* *• Maximum points is 5. This tool has been made to assess how sites are able to manage these food safety risks.* *• Use of this tool as well as the risk reduction plan is to be verified during the site audit.*
ISO 22000:2018 - Food Safety Management Systems	7	Support	*Control of externally provided processes, products or services - Supplier management is a head office controlled function. An initial assessment on the material and supplying location through documentation is performed. Supplier surveys are sent out and assessment is made on the following parameters: regulatory compliance, product control, recall and traceability, third party audit, GMP and sanitation, transportation, product identity and labelling. HACCP, allergens, microbiological controls, thermal processing, ingredients, packaging and premiums, pesticide management, physical hazard detection and control, food defense, process controls, training and quality management. Third party audits and report are also sought as well as a copy of the supplier's process flow diagram/ CCP Matrix/ food safety plan and allergen plan. Most vendors are GFSI certificated (food contact suppliers) as the organization has a preference for these schemes. Supplier audits are conducted based on site assessment made based on the material risk, facility risk and brand exposure. Once audits are completed, corrective actions are expected to be completed by the supplier. 30 days are provided to suppliers for submit their responses. Maintenance audits range between 1 to 5 years based on risk assessment. As for supplier approvals in case of emergency, supplier are to provide the following information: Ingredient supplier survey and packaging survey, allergen statement, program, HACCP/ Food Safety Plan details, most recent third party audits, EMP review. The External Quality Management Director provides the final approval. Approved list of suppliers have been set-up in the system and accessible through Global PLM system. The same information is passed on to external manufacturers. Supplier nonconformances are tracked through the site as they are the receiving facilities.* *Sampled supplier documentation and qualification for the following: Ingredient Supplier 1 (Existing) – Milk Powders – Last audit was Nov 16, 2017. Supplier was audited Oct 10, 2019. Site is BRC certificated until March 2020. Allergen statement also made available. Survey was also completed Sept 17, 2019. Packaging Supplier 2 (Existing) – Plastic Cups – Last audit was Sept 24, 2015. Supplier was audited Dec 4, 2019. Site is SQF certificated until Nov 2020. Reference document: Supplier Management Programs, Audit Process and Guidance Documents Rev 1 Nov 16, 2018. External manufacturers (co-manufacturers, co-packers) are also required to be GFSI certificated and maintenance audits are also conducted based on risk. Although the head office has provided recommendations for some external providers, the sites are expected to manage and set their own criteria for evaluation, selection and performance monitoring of service suppliers mainly due to geographical location. External providers that head office manages are limited to laboratory (though not absolute) and warehousing. Laboratory - Medallion Laboratories is part of General Mills Inc.'s external phasing business and is a shared service between facilities. The laboratory has a valid ISO 17025 Accreditation valid until June 30, 2021. Warehousing - All*

ISO 22000:2018 - Food Safety Management Systems	8	Operation	*FSSC Ver 5 requirements and 18 GM global policies.* *Emergency Preparedness and Response - Although the head office provides support in emergency situations or incidents, sites are expected to manage and test their own procedures.* *Hazard Control* *•Sites are expected to manage their own hazard control plans (HACCP/ OPRP plan). However, ingredient hazards have been pre-assessed by head office and a standardized methodology for hazard assessment, selection and categorization of control measures has been developed for sites to use.* *•Based on Interspec and Global PLM, an ingredient hazard report is generated. Ingredient part numbers are global part numbers. Material codes are SAP part numbers exclusive for NAM. All bill of materials are also set up using material codes. All sites are to provide the area used for each ingredient and confirm if the material goes through a lethality step. For the hazards identified, these are further identified whether the hazard is raw or as received, if COA is required, if allergen is present or may contain.* *•For packaging hazard analysis, there is no prescribed template but all sites should all have it.* *•Process flow diagrams are managed by the site. Ingredient hazard analysis and process flows should match. No specified format for process flow diagrams.* *•Hazards associated with each process steps are rated as per likelihood and severity (low, medium, high). Risks that fall into the following zones are controlled as follows: green – hazards controlled by PRPs, yellow – decision tree to determine if controlled by an OPRP or CCP, red – controlled by a CCP.* *•The site uses a five step decision tree for CCP/ OPRP categorization. Any control measure called on by a regulatory requirement as a CCP or OPRP is reflected in the rationale.* *•Minimum monitoring, verification and validation expectations are defined in Global Policies.* *•All CCPs must be validated. Method of validation are listed on the HACCP Plan and tied to a global policy.* *•All monitoring forms are designed by the plant. Record keeping is either in paper or electronic through MQIS – Manufacturing Quality Information System. However, majority still keep paper records.* *•All food safety plans are required to be reviewed annually. Head office reviews the food safety plans every three years*
ISO 22000:2018 - Food Safety Management Systems	9	Performance evaluation	*All internal audits are conducted by the VCOE group, unannounced to all GM facilities. Note that head office audits are more of audits against GM internal procedures. Sites are still expected to execute internal audits against FSSC standard. There are currently five qualified internal auditors from the head office.Verified qualification of internal auditors assigned through auditor on-boarding checklist. Latest sign-off was made for Shanna Morrisette last October 29, 2018. FSSC LAC was completed September 2017. Latest sign off was made for Michelle Sandy dated January 2, 2019. FSSC LAC was completed in 2008. Audit frequency is based on the risk grid. Latest audit plan was updated Nov 13, 2019. Head office audits consists of the following stages: Stage 1 – programs and documentation and Stage 2 – physical inspection of the plant and record review. Nonconformances classified as per G-GAP as of June 1, 2018* *1.Critical finding – corrective action due to 30 days, food safety or regulatory condition leading to likely contamination* *2.Finding – corrective action due to 30 days, does not reach critical finding status but can lead to it* *3.Observation – no formal corrective action needed* *All corrective actions are managed through G-GAP on which the lead auditor verifies. Plant submits the root cause analysis, action plans and evidences of actions. Verification is conducted on the next audit. All repeat findings are to be escalated to senior leadership team. Sampled VCOE audits conducted: Murf – October 2019, Winnipeg – August 2019. Sites are to manage their own internal audit programmes for both FSSC and GM policies and standards audit. An internal audit and verification schedule template is made available by the head office outlining all FSSC and GM policies and standards for sites to use. However, sites can opt to use their own templates as well as audit report formats. Corrective actions are documented using the corrective action tool.* *Management Review - Head office (ITQ) has last conducted its management review Spring of 2019 in connection with OGSM meetings. Each site is to hold their own management review. Sites usually conduct their management review at least annually. However, as per head office, the expectation for sites is that food safety and regulatory program verification shall occur on an annual basis and that annual gap analysis performed by the facility for the development of the 4Q Risk Management Plan. Site: 9.1.2 Analysis and evaluation* *Analysis was conducted on complaint case which further classified the complaint to reason, number of case. No significant trend was sighted. Data was compiled for EMP.*
ISO 22000:2018 - Food Safety Management Systems	10	Improvement	*Each site is expected to execute continual improvements activities based on the results of the food safety regulatory assessment. S**ite:** During on-site, non-conformance finished goods were held electronically in warehouse management system. On hold report (NA05) was verified by auditor. Red Prairie database was used to manage the inventory. No history of OPRP deviation. Auditor verified hold 70652 (metal). Product (214 cases) was disposed. Continuous project such as chemical control, Sanitation program were roll out as part of the action from risk management plan.*
ISO/TS 22002-1:2009 - Food Manufacturing	4	Construction and layout of buildings	*Building was established on 1940s. The plant was located near Buffalo river and closed to train track due to bulk ingredient receiving. Building was fenced and enclosed to prevent external contamination. No vegetation at surrounding. Parking are was paved and located at another side of building. Near by company was cement manufacturer and ADM. No standing water observed.*
ISO/TS 22002-1:2009 - Food Manufacturing	5	Layout of premises and workspace	*The plant was based on vertical process.Bulk ingredient such as oat flour, bran, corn starch were received from rail car, liquid ingredient was received through bulk tanker, minor ingredient received from truck. Ingredients were mixed and transferred to cooking (North, South, Oat, Chex system), drying and cooked product was transferred to bagging (Puff, Chex system) or bulk bagging system. The process was in enclosed vessel and piping system. There was total 9 floors in processing building. Bagging line was located at floor 2. Ceiling, wall, floor were constructed with concrete and painted. Certain production floor was epoxy coated. Warehouse connected in same building was constructed of metal enforced ceiling, partial metal and partial concrete wall, and smooth surface cement floor. Loading dock was sealed at bottom. At certain floor, there was glass window. Lighting was shielded at all floor. Dedicated staffs were work in respective area and inside control room. Ingredient was protected with carton and rards identified, these are further identified whether the hazard is raw or as received, if COA is required, if allergen is present or may contain.* *•For packaging hazard analysis, there is no prescribed template but all sites should all have it.* *• Process flow diagrams are managed by the site. Ingredient hazard analysis and process flows should match. No specified format fo process flow diagrams.* *•Hazards associated with each proc*
ISO/TS 22002-1:2009 - Food Manufacturing	6	Utilities – air, water, energy	*Portable water was used from city of Buffalo. Water was used as part of ingredient and treated with DI. Monthly DI check was conducted. Report on Mar and Mau, June, 2020. Comprehensive City water report 2019 was maintained. The in-house water test frequency was based on corporate water policy.* *Steam was not in contact in product. It was used in jacketed cooker. No gas or compressed air was used in the process. Ceiling lighting were shielded in every floor (total 9 floor). Machine light was covered.AHU filter size in bagging room was Merv 10 and last changed with work order 749819.*
ISO/TS 22002-1:2009 - Food Manufacturing	7	Waste disposal	*Waste accumulation was minimized at production floor. The waste bin was properly identified with "Certa" for animal feed waste. If the product waste can be used, it was contained in grey tray with identification of "product refeed". Cleaning was done as clean as you go. Approved collector was used.*
ISO/TS 22002-1:2009 - Food Manufacturing	8	Equipment suitability, cleaning and maintenance	*Food grade belt conveyor was used. Hose material was met USDA Dairy equipment guideline. Most vessel were made of stainless steel with smooth design which easy to clean. Preventive maintenance was established based on Maximo Software. Work order was generated from Maximo software. Maintenance was conducted on james cooker #2, #4(knife drive), Chex fast back conveyor was last changed on June 2019, Merrick conveyor and Mario blender. It was documented in work order. Food grade oil was used based on approved food grade chemical list such as Smart Lube, PUre Tac Grease. There was missed maintenance on cooker. Refer minor.*
ISO/TS 22002-1:2009 - Food Manufacturing	9	Management of purchased materials	*Supplier selection and approval was managed at corporate level. The plant only able to place order through SAP system. Auditor verified supplier such as Prinova, Ingredion, Treetop. Suppliers were current. Micro sensitive ingredient COA process in place which outlined only certain ingredient require COA verification. Oat flour was received from sister plant. The plant was FSSC certified. Site only able to place order for supplier that approved in SAP system. Verified incoming for TKP (lot:2230-89500) , oat flour (receiving date:May 5 -6 2020, received from rail car), Vitamin C (lot: HPN1907224) and primary poly bag (lot: 12 April 2020). Trailer inspection and seal were recorded. Trailer inspection included contamination, product defect and trailer integrity. Ingredient intake pit was locked when no operation. Bulk ingredient receiving (rail car) was unloaded in enclosed building. Corn starch and oat flour receiving were verified on-site. Magnet cleaning was conducted with seal inspection.*

ISO/TS 22002-1:2009 - Food Manufacturing	10	Measures for prevention of cross contamination	*Metal detector was identified as CP for both retail and bulk bagging system. Auditor verified on-site on packing line 6 & 8. Monitoring was conducted twice per shift. No deviation found. In addition, metal detector and magnet were installed in upstream process. Bulk liquid passed through magnet and strainer. The magnet for oat flour, corn starch were checked before unloading. Record on May 5-6 2020 was verified.* *Product was transferred through enclosed system and went through high drying process. There was foot sanitizer powder on entrance. Sifter oat flour was checked twice per month. Verified Mar and May 2020. EMP program in place to monitor hygiene condition of plant.* *Annual glass audit was conducted on April 12 2020 and May 12 2020. Example: packing line, processing building (3th, 6th, 9th). No broken glass was observed. All ceiling lighting and machine lighting were shielded.* *Allergen control-refer to FSSC section 2.5.6*
ISO/TS 22002-1:2009 - Food Manufacturing	11	Cleaning and sanitizing	*Color coding was implemented for cleaning tool. White for food contact. Blue for non-food contact. Wet cleaning was apply for upstream process such as slurry. Dry cleaning was applied after the product was dried. Cleaning tool was hang at dedicated location* *SSOP for packing line was established which defined responsibility, tool, color code policy, cleaning step. Sanitize wipe was used after cleaning. Facility cleaning for puff system was verified April 12 2020 during shut down.* *In general, cleanliness of ceral plant was found acceptable.* *MSS schedule was established with defined cleaning frequency. Cleaning for Bagging line 10, 6, 8, 9 were verified on Mar, May 2020 and records on April 12 2020. CIP was implemented for Vitamin system (North, South, Oat). SOP was established. Records on first week of Mar and June 2020. Cautic is used during short run of CIP. Full CIP is run on end of run or changeover. Approved cleaning agent used acid Quorum red , Cosmic K. were used. Concentration check was performed. Environmental monitoring program was implemented to monitor the hygienic. CIP verification was based on monthly. Records on Feb to April 2020 (coliform, APC) was verified. No new validation as the CIP system was not changed. In addition,cleaning verification was done by team leader, QE and lab technician.*
ISO/TS 22002-1:2009 - Food Manufacturing	12	Pest control	*Pest control was managed by in-house certified team. There were 4 people in the team. 3 were certified and 1 under training. Verified Shelli and Andy. PY75 used for fumigation at bagging line. Multi catch Tin cat (131) and pheromone trap(17) were serviced on weekly. Bait station (49 units) was serviced monthly.No pest activity sighted on-site. Service report on June, May were verified. Tin cat, pheromone trap, bait station were randomly verified and found as per mapping. Trend report from April to June 2020 was verified. Door was closed when no operation and building was sound. Pest control device was tracked by bar code sticker. MSDS and label were maintained. Example: Contract. It was EPA approved.*
ISO/TS 22002-1:2009 - Food Manufacturing	13	Personnel hygiene and employee facilities	*Break room was fully equipped with refrigerator, coffee maker, vending machine, and microwave. No catering in this site. Break room away from production.* *Rest room equipped with hand washing and hand soap. Sanitizer was provided at entrance of plant.* *Staff observed wearing clean uniform wtih press stud fastening. Hard hat, Hair net and beard net, safety toe were required to work inside the plant. Staff need to report if with illness symptom. Temperature screening was required for staff, visitor and contractor. Covid 19 symptom reminder was posted on the wall at hallway and communicated through TV screen at entrance and hallway. Auditor been asked on travel history. No violation was observed during site tour.*
ISO/TS 22002-1:2009 - Food Manufacturing	14	Rework	*The plant do not have rework practice.*
ISO/TS 22002-1:2009 - Food Manufacturing	15	Product recall procedures	*Refer FSSC section 8.9.5.*
ISO/TS 22002-1:2009 - Food Manufacturing	16	Warehousing	*Finished goods transferred to approved distribution centre. The DC was managed by corporate team. Trailer inspection was conducted and completed for records dated May 18 2020, May 10 2020, May 17 2020, and May 9 2020. Seal no. was recorded. Auditor verified on-site on dock 15 and 22. Trailer inspection was not filled on-time. Refer minor.*
ISO/TS 22002-1:2009 - Food Manufacturing	17	Product information/consumer awareness	*Ingredient declaration with allergen information in place such as contain oat ingredient for Canadian product. Example: Lucky Charm (for Canada Market). Both Lucky Charm and Corn Chex contain nutrition fact, ingredient list and recipe. Domestic Puff product contain gluten free claim such as Cheerios Orginal. It was tested on every batch. Test result dated The label was approved in Eclip system.*
ISO/TS 22002-1:2009 - Food Manufacturing	18	Food defense, biovigilance and bioterrorism	*Refer FSSC additional requirement 2.5.3*
FSSC 22000 - Additional Requirements	2.5.1	Management of services	*Sites do not typically have full service laboratories and have limited testing capabilities. Accredited methods indicated in Global PLM or Interspec for sites to refer to. Testing is usually outsourced to an external provider. The sites can opt to send samples for analysis to Medallion Laboratories which is a part of General Mills Inc.'s external phasing business and is a shared service between facilities. The laboratory has a valid ISO 17025 Accreditation valid until June 30, 2021. Medallion Laboratories also set-up internal reference materials for sites to use. However, due to geographical location, sites would have to utilized local laboratories which are ISO 17025 accredited as expected by the head office.* ***site*** *: Environmental pathogen sample was sent to Siliker. (biological test was accredited with ISO17025, valid till Mar 31 2022). Gluten test was conducted by Medallion lab.*
FSSC 22000 - Additional Requirements	2.5.2	Product labelling	*The labelling and regulatory compliance group is in charge of managing all product labelling requirements. The site uses a system called Interspec to generate labels. Ingredients used are prepopulated on the system and will allow the site to determine which are used, restrictions, allergens, addition and grouping, component label settings. An ingredient allergen report can also be generated. Associated formulas and nutrition information are also linked to Interspec. Label information for a cereal product (Cheerios) was sampled for this visit. BMN Series 33628101, 3388634101. Ingredients: whole grain oats, sugar, corn syrup, corn starch, salt, trisodium, natural flavor, Vitamin E, added to preserve freshness, etc. Contains: Coconut. Gluten Free Claim was made for this product. All ingredients have been marked as gluten free as per ingredient claims and certification report. Further verified through Medallion Labs – Aug 22, 2019 – 12 boxes 22AUG2019 – Gluten average 2.2 ppm Ridascreen Total Gluten R47041. An Electronic Comprehensive Labelling Information and Product System (ECLIPS) is used by the sites. As the new packaging arrives in the facility, the site compares the information declaration versus the approved keyline (pdf version of approved packaging). The site also verifies the base material number on the packaging. Final step is the barcode scanner. Plant Label Verification summaries all label information that sites would need to know. Finished product testing protocol is followed by the sites as per Product Manager. Finished product testing would be available depending on the risk assessment. All customer labels for private brands or food service are also managed through the same process. Site:Site able to access Eclips system for latest artwork. Ingredient declaration with allergen information in place such as contain oat ingredient for Canadian product. Example: Lucky Charm (for Canada Market). Both Lucky Charm and Corn Chex contain nutrition fact, ingredient list and recipe. Domestic Puff product contain gluten free claim such as Cheerios Orginal. It was tested on every batch which below 5ppm. (based on gluten free claim policy, it is below 20ppm)Test result dated The label was approved in Eclip system.*
FSSC 22000 - Additional Requirements	2.5.3	Food defense	*Sites are prescribed to use the FDA Food Defense Builder for the food defense assessment. Sites are expected to conduct the food defense assessment review annually. Head office also conducts the review annually during VCOE audits. The site is to document the facility food defense team, training, policies and procedures that support personnel, food safety and physical security and incident response programs and procedures. Each facility is to have their own self-assessment, risk mitigation action plan, emergency contacts, facility profile and food defense members. Vernon site:Food Defense plan was reviewed on Feb 5 2020. FDA plan builder was used which based on 3 elements. Each process was given a score. Only score above 26 require action plan. All process was scored below 26.* *The site registered with FDA Bioterrorism with no. XXXXXX 1708. It was renewed by corporate team.* *The site was found with clear boundary and fencing. Control measure in place such as visitor control, trailer, bulk tanker inspection, chemical control, CCTV. Loading dock was closed when no activity. In addition, operators were trained on food defense. Threat assessment was conducted on Feb 25 2020. KAT assessment was finalized o next week.*

FSSC 22000 - Additional Requirements	2.5.4	Food Fraud mitigation	*Food fraud/ vulnerability assessment is managed by the head office's Food Fraud Mitigation Team. Global Food Fraud Prevention Plan was last revised March , 2019. Food Fraud Initial Screening is made through horizon scanning which involves reviewing external media reports, peer reviewed journal publications, regulatory documents, internal discussions with legal and corporate security. Food Fraud Vulnerability Assessment is made through SSAFE tool listing fifty question which cover opportunity, motivation, and control measures to food fraud. Horizon scanning strategy includes the following information sources: RASFF alerts, USFDA recall notifications and organic certifications, selerant email alerts, EU knowledge center for food fraud and quality, trello food fraud databse, Europol, Food track Inc., scopus alerts of peer reviewed journals related to food fraud. The food fraud team collects relevant information and reviewed periodically over the course of the year. Latest review dated Jan 6, 2020 for horizon scanning. Group of raw materials are ranked according to reported incidents. Groups are categorized as follows: fish, food, meat, peanuts, nuts, seeds, spices, oil, honey, fruit, milk, grains, seafood, Vulnerability scale is based on likelihood and consequence. Generally, raw materials handled by the site are on a manageable to very low risk due to robust supplier management programs.*
FSSC 22000 - Additional Requirements	2.5.5	Logo use	*The site does not use the FSSC logo or certification mark in any form.*
FSSC 22000 - Additional Requirements	2.5.6	Management of allergens (Only for categories C, E, FI, G, I & K)	*Oat is common allergen (for Canada market). No allergenic material was used. Staff lunch box was placed inside break room which away from production floor. Allergen control plan defined allergen control through supplier program, label approval, identification based on hazard analysis, cleaning, label verification, allergen training. Barcode verification was identified as control point to confirm correct label are used.*
FSSC 22000 - Additional Requirements	2.5.7	Environmental monitoring (Only for categories C, I & K)	*Salmonella & listeria EMP program SOP-Q-061 rev 5 defined that zone 2, 3, 4 were sampled for monitoring. Location such as Penthouse, 1st-10 floor, basement. The area was defined as primary pathogen concern, basic GMP, non production area. Freqeuncy: month, quarterly. Target: Salmonella with monthly sampling size around 23 swabs. If positive result, escalation plan should be adhered for additional sampling after re-clean, root cause analysis and corrective action. Verified testing result on Mar and June 2020. Total sample was 106 for monthly sampling. Result was negative. No positive case on year 2020. Auditor verified positive case on Sept and Nov 2019. 3 consecutive negative was obtained. Sample was sent to Silliker. Data analysis was trended on year 2018 to 2020.*
FSSC 22000 - Additional Requirements	2.5.8	Formulation of products (Only for category D)	*NA*

Checklist	Section	Clause	Requirement	Conform	Grade	Finding details	Remark	Acceptance date
ISO 22000:2018 - Food Safety Management Systems	Operation	8.5	Hazard control	No	Minor	1.Validation report dated Jan 14 2020 for line 8 form was not completely filled on pass column. 2.Carton Metal detector control point (OPRP) check was not documented as it was not functioning since one month ago. Bagging Metal detector was in use. (line 10)		4/8/2020
ISO/TS 22002-1:2009 - Food Manufacturing	Equipment suitability, cleaning and maintenance	8.6	Preventive and corrective maintenance	No	Minor	Work order for james cooker #2, #4(knife drive) were not documented on Mar and May. (frequency was monthly).		4/8/2020
ISO/TS 22002-1:2009 - Food Manufacturing	Personnel hygiene and employee facilities	13.2	Personnel hygiene facilities and toilets	No	Minor	Hand wash not hand free at packging line. (Chex system line 10)		4/8/2020
ISO/TS 22002-1:2009 - Food Manufacturing	Warehousing	16.2	Warehousing requirements	No	Minor	Outbound trailer inspection (dock 15 +22) were not evidently documented eventhough the container almost fully loaded.		4/8/2020