U.S. Department of Agriculture

Food Safety and Inspection Service

CANNING ESTABLISHMENT AUDIT

FSIS FORM 7500-2 (11/18/1999) **REPLACES FSIS FORM 7500-2 (1/90), WHICH IS OBSOLETE.**

Designed on FormFlow software.

U.S. DEPARTMENT OF AGRICULTURE
FOOD SAFETY AND INSPECTION SERVICE

CANNING ESTABLISHMENT AUDIT

NOTE: If more space is needed, please use a Continuation Sheet.

DATE OF AUDIT	NAME OF INSPECTOR
ESTABLISHMENT NAME	ESTABLISHMENT NO.
ESTABLISHMENT LOCATION	
LIST PRODUCT(S) / CONTAINER SIZE(S) AND TYPE(S) COVERED BY THE AUDIT	

1.0 PROCESS SCHEDULES

1.1 List processing authorities used by the establishment.

1.2 Process schedules in use are on file with the inspector. *(Compare schedules being used with what the Inspector has on file.)*

☐ YES ☐ NO OR NOT ALL *(explain):*

1.3 If the process schedules on file are not copies of the processing authority's document(s) but are on company memos, comparisons reveal process schedules on company memos are adequate.

☐ YES ☐ NO OR NOT ALL *(explain):*

1.4 No unapproved changes have been made since the original process schedules were established *(e.g., in formulas, preparation, equipment)*

☐ NO CHANGES ☐ CHANGES MADE *(explain):*

2.0 PRODUCT PREPARATION

2.1 Products are prepared according to the formulation specified in the recommended process schedules.

☐ YES ☐ NOT ALWAYS *(explain):*

2.2 Ingredients are weighed properly using accurate scales.

☐ YES ☐ NO *(explain)*:

2.3 Ingredients are cooked, blanched, braised, etc., and prepared as specified in the process schedule.

☐ YES ☐ NO *(explain)*:

3.0 EMPTY CONTAINER INTEGRITY

3.1 Establishment has written criteria to accept or reject incoming empty container stock.

☐ YES ☐ NO

Records kept

☐ YES ☐ NO

3.2 Establishment correlates incoming containers *(name of supplier, codes, etc.)* with container usage in production.

How?

☐ NO ☐ YES *(explain):*

3.3. Examine records, if kept, of incoming container inspections and describe any rejection actions taken.

3.4 Empty container handling procedures are adequate to prevent damage.

☐ YES ☐ NO *(explain)*:

3.5 Containers and lids are clean before filling.

☐ YES ☐ NO *(explain)*:

3.6 Conveyance system(s) do not cause damage to containers.

☐ NO DAMAGE ☐ DAMAGE *(explain)*:

4.0 FILLING

4.1 Describe the method *(hand, vibration, pocket, etc.)*

4.2 Product does not overlay edges of unsealed containers.

☐ NO OVERLAY ☐ OVERLAYS *(explain)*:

4.3 Where headspace is a critical factor specified by the processing authority, it is properly measured and controlled.

☐ YES ☐ NO *(explain)*:

4.4 Can flanges are free of damage after filling.

☐ NO DAMAGE ☐ DAMAGE *(explain)*:

4.5 Filling sequence is same as originally tested by the processing authority. *(e.g., Some products are filled in stages with exact sequencing, components are layered, etc.)*

☐ SAME ☐ DIFFERENT *(explain)*:

5.0 CRITICAL FACTORS

(Critical factors stated in the process schedules must be measured and recorded at intervals of sufficient frequency.)

5.1 **Critical factors commonly assigned include:** ● minimum headspace *(agitating retorts)* ● maximum fill weight ● maximum drained weight ● maximum net weight ● per cent solids ● maximum pH ● sauce consistency ● rotations per minute *(RPM'S)* ● particle or slice size and weight ● particle count ● overpressure *(for flexible or semirigid containers)* ● residual gases *(for flexible or semirigid containers)* ● heating medium and others

In the blocks below list the critical factor, product, container size and frequency of measurement

A.

B.

C.

D.

E.

F.

G.

6.0 CLOSING

6.1 The general maintenance and cleaning of the closing machine is adequate.

☐ YES ☐ NO *(explain)*:

6.2 Closing and discharge of containers is achieved without causing damage.

☐ YES ☐ NOT ALWAYS *(explain):*

6.3 Identify the maximum time unprocessed containers are allowed to be held before retorting.

6.4 Crates are filled without causing container damage.

☐ YES ☐ NO *(explain)*:

6.5 Crates are stacked in retorts without causing container damage.

☐ YES ☐ NO *(explain)*:

7.0 CONTAINER CLOSING CHECKS

7.1 Visual examinations of closures are performed and recorded:

☐ EVERY 1/2 HOURS ☐ OTHER *(List)*:

7.2 For cans, teardown examinations are performed and recorded:

☐ EVERY 2 HOURS ☐ EVERY 4 HOURS ☐ OTHER *(List)*:

7.3 Teardown examinations are performed on the can maker's end of three-piece cans:

☐ EVERY 4 HOURS ☐ OTHER *(List)*:

And is performed:

☐ UPON RECEIVING CANS ☐ IN-PROCESS

7.4 For jars, the frequency of closure integrity measurements and recordings is:

☐ EVERY 2 HOURS ☐ EVERY 4 HOURS ☐ OTHER *(List)*:

List method *(e.g., security)*

7.5 For flexible and semirigid containers, the methods and frequencies for testing and recording seal integrity are:

☐ BURST EVERY _____ HOURS. ☐ OTHER *(List)*: _____ EVERY _____ HOURS.

☐ TENSILE EVERY _____ HOURS. ☐ N/A

7.6 Written records of container closure examinations include:

☐ PRODUCT CODE ☐ DATE ☐ TIME ☐ SIGNATURE OR INITIALS OF CLOSURE TECHNICIAN

☐ MEASUREMENTS MADE ☐ CORRECTIVE ACTIONS ☐ SIGNATURE OR INITIALS OF REVIEWER

7.7 **MICROMETER**: If this measurement system is used, measurements are made at 3 positions, 120 degrees apart *(not at the sideseam juncture).*

☐ YES ☐ NO *(explain)*:

7.7.1 The following measurements are made if using Micrometer method.

☐ COVER HOOK ☐ BODY HOOK ☐ SEAM WIDTH *(length or, height)*

☐ TIGHTNESS *(wrinkle)* ☐ THICKNESS ☐ JUNCTURE RATING *

* *Three-piece cans*

7.8 **SEAMSCOPE OR SEAM PROJECTOR:** If this measurement system is used, measurements are made at 2 positions *(not at the sideseam juncture).*

☐ YES ☐ NO *(explain)*:

7.8.1 The following measurements are made if using a seamscope or seam projector.

☐ COVER HOOK ☐ BODY HOOK ☐ JUNCTURE RATING *

* *Three-piece cans*

☐ OVERLAP ☐ TIGHTNESS

☐ SEAM WIDTH ☐ THICKNESS

8.0 CODING

8.1 The establishment or plant number is marked on the:

☐ LABEL ☐ CONTAINER ☐ NOT MARKED

8.2 Explain the code system(s). *(Remember, the code must include the product, day and year).*

8.3 The code mark on the container is permanent and legible.

☐ YES ☐ NO *(explain)*:

9.0 THERMAL PROCESSING ROOM OPERATIONS

9.1 Operating process schedules and venting procedures *(if applicable)* posted or readily available to the retort operator.

☐ YES ☐ NOT AT ALL *(explain)*:

9.2 Posted process schedules meet or exceed the recommendations of the processing authority.

☐ YES ☐ NO *(explain)*:

9.3 Container flow is controlled to prevent mixups of unprocessed and processed containers.

☐ YES ☐ NO *(explain)*:

9.4 For batch retorting, heat sensitive indicators are used.

☐ YES ☐ NO *(explain)*:

9.4.1 Checks of heat sensitive indicators are performed prior to and after thermal processing.

☐ YES ☐ NO *(explain)*:

9.4.2 Results of checks of heat sensitive indicators after thermal processing are recorded.

☐ YES ☐ NO *(explain)*:

9.5 Written procedures for determining initial temperature are adequate.

☐ YES ☐ NO *(explain)*:

9.0 THERMAL PROCESSING ROOM OPERATIONS (continued)

9.5.1 Procedures for determining initial temperature are properly made by plant personnel.

☐ YES ☐ NO *(explain)*:

9.5.2 Initial temperature thermometers are calibrated:

☐ DAILY ☐ WEEKLY ☐ OTHER *(list):*

9.5.3 For operations using water in the retort, what provisions are made to prevent water from lowering the initial temperature?

9.6 If a digital clock without seconds showing is used, a 1-minute safety factor is added to the vent time *(if applicable)* and also to the process time.

☐ YES ☐ NO *(explain)*:

9.7 The timing device *(e.g., the wall clock)* is checked for accuracy:

☐ WEEKLY ☐ MONTHLY ☐ EVERY 6 MONTHS ☐ OTHER *(list):*

9.8 Times on recording thermometer charts correspond reasonably with times entered on written processing records.

☐ YES ☐ NO *(explain)*:

10.0 PROCESS OBSERVATIONS

10.1 **INSTRUCTIONS:** Observe thermal process cycles and record in the space provided below. Note any differences between your observations and the establishment's written records in the remarks section.

DATE OBSERVED

RETORT TYPE	RETORT NO.	TIME STEAM ON	TIME/TEMPERATURE VENT CLOSED	I.T.	TIME/TEMPERATURE START	REC./MIG TEMPERATURES	TIME PROCESS ENDS

REMARKS:

11.0 POST PROCESS HANDLING

11.1 Containers are cooled in:

☐ RETORT ☐ CANAL ☐ SHELL

☐ TANK ☐ AIR ☐ COMBINATION *(describe):*

11.2 If water cooling, the water source is:

☐ WELL ☐ MUNICIPAL ☐ OTHER *(describe):*

11.0 POST PROCESS HANDLING (continued)

IF WATER IS REUSED, ANSWER QUESTIONS MARKED WITH AN ASTERISK*

11.3* Type of sanitizer used by the establishment. *(chlorine gas, iodine, hypochlorites, etc.)*	11.3.1* Note where samples are collected for determining free sanitizer residual.
11.3.2* Concentration of sanitizer in cooling water. *(PPM)*	11.3.3* Frequency of recorded sanitizer checks.
11.3.4* Is a water reuse control procedure filed with inspector? ☐ YES ☐ NO	11.3.5* Frequency of complete draining of cooling water.

11.3.6* If the cooling water is filtered, how often are the filters cleaned or back flushed?

11.3.7* If a cooling tower or storage tank is used, is the water exposed to outside environmental elements?

☐ NO ☐ YES *(desccribe)*:

11.4 Post-process handling equipment cleaned and sanitized:

☐ DAILY ☐ WEEKLY ☐ MONTHLY ☐ OTHER *(specify):*

11.5 Examine container handling equipment and note any abusive practices or equipment conditions which could cause container damage.

☐ NONE ☐ CONDITIONS FOUND *(describe)*:

11.6 Describe the establishment's procedures if container defects are found after thermal processing. *(e.g., lot inspection, condition-of-container examinations, etc.)*

12.0 RECORDS

12.1 The written process record(s) includes the following items: *(if not applicable, leave unanswered)*	YES (✓)	NO (✓)
(a) PRODUCT NAME AND STYLE		
(b) INITIAL TEMPERATURE		
(c) CODE		
(d) ACTUAL PROCESS TIME		
(e) PRODUCTION DATE		
(f) RETORT NUMBER		
(g) TEMPERATURE INDICATING DEVICE READING		
(h) RECORDING THERMOMETER READING		
(i) CONTAINER SIZE		
(j) OPERATOR'S SIGNATURE OR INITIALS		
(k) APPROXIMATE NO. OF CONTAINERS		
(l) PROCESS SCHEDULE		
(m) TIME STEAM ON		
(n) VENTING TIME AND TEMPERATURE (if applicable)		
(o) TIME PROCESS TEMPERATURE REACHED		
(p) TIME FIRST CONTAINER IN AND OUT (continuous retorts)		
(q) TIME STEAM OFF		
(r) WATER LEVEL (if applicable)		
(s) OVERRIDING PRESSURE (if applicable)		
(t) FUNCTIONING OF CONDENSATE BLEEDER (if applicable)		
(u) REEL OR CONVEYOR SPEED (if applicable)		
(v) OTHER *(specify):*		
(w) OTHER *(specify):*		
(x) OTHER *(specify):*		

12.0 RECORDS (continued)

12.2 Temperature recording charts show:

☐ DATE ☐ RETORT NO. ☐ OPERATOR'S INITIALS

12.3 All records, including container evaluation records, are reviewed within one working day after processing.

☐ YES ☐ NO *(explain):*

12.4 All records are signed or initialed by the establishment reviewer.

☐ YES ☐ NO *(explain):*

12.5 All entries on records are made with indelible pencil or ink.

☐ YES ☐ NO *(explain):*

12.6 Appropriate records are retained for 1 year at the establishment and an additional 2 years under company control.

☐ YES ☐ NO *(explain and request written explanation):*

12.7 Review the QC program or TQC section *(if applicable)* for computer generated recordkeeping systems.

☐ CURRENT AND FOLLOWED ☐ N/A ☐ DEFICIENT *(explain):*

13.0 PROCESSING DEVIATIONS

13.1 Deviations are handled with TSC, QC Program or TQC system.

☐ YES ☐ NO OR NOT ALWAYS *(explain):*

13.2 The establishment maintains a separate file *(or log)* of processing deviations.

☐ YES ☐ NO

13.3 Review the deviation file and determine if the establishment followed the procedures for either QC program or TQC system.

☐ FOLLOWED ☐ NOT FOLLOWED *(explain):*

13.4 Review process records to determine if any deviations have gone undetected by the establishment.

☐ ALL DETECTED ☐ UNDETECTED (explain):

13.5 Review the QC program or the TQC section *(if applicable)* to determine whether the program is current and being followed.

☐ CURRENT AND FOLLOWED ☐ N/A ☐ DEFICIENT *(explain):*

13.0 PROCESSING DEVIATIONS (Continued)

13.6 When product is reprocessed or repacked and reprocessed, the process schedule is authorized for reprocessing by a processing authority.

☐ ALWAYS ☐ NOT ALWAYS *(explain):*

13.7 During a processing deviation *(using a pure steam medium)*, the retort operator completely vents the retort when the retort temperature drops below 212 degrees F.

☐ YES ☐ NO *(explain):*

13.8 If product is reprocessed or repacked and reprocessed, the establishment fully documents these actions on the production records.

☐ YES ☐ NO *(explain):*

13.9 If an unfiled alternate process schedule is applied, the establishment handles the deviation with TSC or as prescribed in its QC or TQC program.

☐ YES ☐ NO *(explain):*

13.10 For jams of continuous rotary retorts, still processes are often applied wherein the retort must be cooled before containers are removed. When this occurs, the establishment properly removes cans that were in the transfer valve(s) between heating shells and in the intake valve.

☐ YES ☐ NO *(explain):*

13.11 Cans removed, per 13.10, are properly handled by reprocessing, repacking and reprocessing or by destruction.

☐ YES ☐ NO *(explain):*

13.12 Container isolation procedures for deviations involving a hydrostat are adequate.

☐ YES ☐ NO *(explain):*

13.13 Describe the last five deviations. Describe what action was taken and note any discrepancies.

1. Product:	Container Type:	Processing System:
No. of Containers:	Container Size:	Production Date:
System No. / Cycle No.:	Evaluated by:	

Describe the deviation:

Describe the final disposition:

13.13 Describe the last five deviations. Describe what action was taken and note any discrepancies. (Continued)

2. Product:	Container Type:	Processing System:
No. of Containers:	Container Size:	Production Date:
System No. / Cycle No.:	Evaluated by:	

Describe the deviation:

Describe the final disposition:

3. Product:	Container Type:	Processing System:
No. of Containers:	Container Size:	Production Date:
System No. / Cycle No.:	Evaluated by:	

Describe the deviation:

Describe the final disposition:

4. Product:	Container Type:	Processing System:
No. of Containers:	Container Size:	Production Date:
System No. / Cycle No.:	Evaluated by:	

Describe the deviation:

Describe the final disposition:

5. Product:	Container Type:	Processing System:
No. of Containers:	Container Size:	Production Date:
System No. / Cycle No.:	Evaluated by:	

Describe the deviation:

Describe the final disposition:

14.0 INCUBATION

14.1 Does the establishment follow incubation procedures?

☐ YES ☐ NO *(explain):*

14.0 INCUBATION (Continued)

14.2 The incubator has an:

☐ ACCURATE RECORDER ☐ ACCURATE THERMOMETER ☐ MEANS FOR CIRCULATION ☐ MEANS TO PREVENT UNAUTHORIZED ENTRY

14.3 Incubator security is maintained.

☐ YES ☐ NO *(explain):*

14.4 The recording temperature device reading corresponds with the temperature indicating device.

☐ YES ☐ NO *(explain):*

14.5 The temperature is maintained within the required range.

☐ YES ☐ NO *(explain):*

14.6 If temperature exceeds tolerances, the total incubation time is extended by the duration of the deviation.

☐ YES ☐ NO *(explain):*

14.7 If the temperature is at or exceeds 103 degrees F. for more than 2 hours, what action is taken?

14.8 What is the sampling rate for incubation?

14.9 Employees are instructed to select only sound, normal-appearing containers for incubation.

☐ YES ☐ NO *(explain):*

14.10 If the establishment has permission to ship product before the end of incubation, what was the date of the District Manager approval? Date:

14.11 What was the date and results of the last check to determine if product was under establishment control until incubation was completed? Date:

Results:

14.12 Incubation samples are checked by establishment employees:

☐ DAILY ☐ OTHER *(explain):*

☐ EVERY OTHER DAY

14.13 The incubation log includes:

☐ PRODUCT NAME ☐ FINAL RESULTS ☐ DATES IN AND OUT ☐ TEMPERATURE

☐ NO. OF SAMPLES ☐ CONTAINER SIZE ☐ CONTAINER CODE

15.0 ABNORMAL CONTAINERS

15.1 If the establishment does not have a QC program for handling abnormal containers, the inspector retains the affected production and contacts the appropriate FSIS laboratory to determine if samples should be submitted.

☐ YES ☐ NO *(explain):*

15.0 ABNORMAL CONTAINERS (Continued)

15.2 When an abnormal container is found in the warehouse or in returned stock, the inspector is promptly notified.

☐ YES ☐ NO *(explain):*

15.3 If the abnormal container has an obvious defect which caused swelling (e.g., a pinhole, puncture, incomplete seam, crack and the like), the establishment assesses the level of defects in the lot by:

☐ CONDITION OF CONTAINER EXAMS ☐ OTHER (*explain):*

15.4 If samples are submitted to an FSIS laboratory, the inspector receives notification from TSC channels, before product disposition is completed.

☐ YES ☐ NO OR NOT ALWAYS (*explain):*

15.5 If the plant has a QC program for handling abnormal containers, examine the program and determine if the program requirements are being followed.

☐ COMPLIES ☐ NONCOMPLIANCE *(explain):*

16.0 CONDEMNED PRODUCT

16.1 When product is condemned and disposed of at the establishment, methods are adequate to ensure decharacterization and/or denaturation.

☐ YES ☐ NO *(explain):*

16.2 When product is destroyed off premises, the establishment documents the destruction and provides a copy to the inspector.

☐ YES ☐ NO *(explain):*

17.0 RECALL PROCEDURES

17.1 The establishment has a written recall procedure on file.

☐ YES ☐ NO *(describe):*

☐ PLANT REFUSES ACCESS *(explain):*

17.2 The establishment maintains initial distribution records and makes them available to inspector.

☐ YES ☐ NO *(explain):*

18.0 WAREHOUSING

18.1 Finished products are protected from contamination by water, birds, rodents and the like.

☐ YES ☐ NO *(explain):*

18.2 Conduct an inspection of the warehouse and observe for wet or stained cases and for evidence of container abuse.

☐ NO PROBLEMS ☐ PROBLEMS NOTED *(explain):*

18.3 State the frequency of condition of container examinations and summarize recent results. *(e.g., last 5 inspections or two months, whichever covers the longest period of time).*