Schwan's Audit Expectations

The Schwan Food Company is committed to offering our customers the highest quality food products. In order to accomplish this imperative, it is crucial that we partner with companies who share the same value system in producing quality products in a safe environment. Schwan has developed an audit program to ensure that our co-pack suppliers are aligned with and strive to exceed the food safety, sanitation and quality requirements outline in the Supplier Expectation Manual available at:

https://www.schwanscompany.com/pdf/supplier/expectations/supplier-expectations-manual.pdf

The following audits may be accepted to audit qualify a co-pack supplier of Schwan's Home Service.

- ❖ **Global Food Safety Initiative (GFSI) Audit Schemes:**
  - ➢ BRC – British Retail Consortium (Global Standard for Food Safety)
  - ➢ SQF – Safe Quality Foods (Level 2 or 3)
  - ➢ Dutch HACCP
  - ➢ IFS – International Food Standard
  - ➢ FSSC 22000
- ❖ **GMA – SAFE audits: Full or Express Audits**

For any of these audits to be considered the supplier must provide access to a complete audit report, including a corrective action plan for any deficiencies noted in the audit. Schwan's Food Safety and Quality will determine the acceptability of audit submitted. In some cases a Schwan Food Safety and Quality Systems audit may still be required.

If your facility is not currently audited against one of the above audit schemes, then your facility must be audited under the Schwan Food Safety and Quality Guidelines.

The Schwan Food Safety and Quality Systems audit is a comprehensive 1-2 day audit that evaluates food safety and quality management systems. The audit is broken down into 15 categories.

A. HACCP and/or HARPC (FSMA Compliance)
   a. Review of food safety plans and hazard analysis
   b. CCP/PPC evaluation and record keeping
   c. Deviation policy and corrective action procedure
   d. Prerequisite program records
B. Foreign Material Control
   a. Evaluation of all foreign material prevention steps
   b. Review of validation/verification records
   c. Deviation policy and corrective actions
C. Allergen Control
   a. Allergen control and segregation policies
   b. Packaging label verification
   c. On line verification programs and practices
D. Plant Zoning
   a. Identification of all RTE and NRTE areas
   b. Process flow verification
   c. Plant travel patterns (people, materials, tools)
E. Supplier Approval and Incoming Materials
   a. Supplier approval initial and ongoing requirements
   b. Incoming materials receiving policy
   c. Ingredient testing program
   d. Nonconforming product policy
   e. Ingredient storage and handling

F. Facility and Process Control
    a. Production floor evaluation
    b. Structural sanitary design
    c. Sanitary condition of facility, equipment and process
G. Sanitation Program
    a. Sanitation effectiveness validation/verifications
    b. Pre-operational inspection
    c. Chemical control program
H. Personal Hygiene/Good Manufacturing Practices
    a. Production floor evaluation
    b. GMP policy review
    c. GMP adherence verification
I. Product Control and Traceability/Recall Capability
    a. Product identification scheme
    b. Trace/Recall program review
J. Food Defense
    a. Food Defense policy
    b. Vulnerability Assessment
    c. Shipping procedures and trailer seal program
K. Environmental Monitoring
    a. Testing program overview
    b. Results trending along with corrective actions
L. Finished Product Testing/Handling
    a. Review of all finished product testing
    b. Laboratory testing accreditation (if applicable)
    c. Storage condition verification
    d. On line process control capabilities
    e. Positive release program
M. Pest Control
    a. Program and policy review
    b. Trending and corrective actions
N. Management of Change
    a. Review of change management practices and records
O. Customer Complaint Program
    a. Customer complaint handling process
    b. Trend analysis by management staff
    c. Critical complaint escalation (illness/injury, Foreign object, allergen)
P. Animal Welfare, Fair Trade, & Social Responsibility
    a. Program review to assure compliance with Schwan's 5 freedoms animal welfare expectations
    b. Review of policies covering sustainable sourcing and fair trade practices
Q. Other critical content areas as applicable

Further questions can be addressed with your Schwan's Food Safety and Quality contact.