



Compliance and Assessment Guide for Schedule I and II of the *Fish Inspection Regulations - June 15, 2010*

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Introduction

This Compliance and Assessment Guide is intended to provide guidance to inspectors when determining the appropriate Schedule I and II compliance level for a registered establishment. This document is designed to work in conjunction with the Facility Inspection Worksheet.

For each section, the pertinent regulations, their intent and compliance guidance are listed. This is followed by each line item from the Facility Inspection Worksheet and three columns for Minor, Serious, or Critical deficiencies. In each column, with the two exceptions noted below, there are examples of deficiencies that would warrant the deficiency category of the column in which they are found. These are intended to be examples only and are not intended to be all inclusive lists. Deficiencies identified by an inspector which are not found specifically listed in the assessment guide should be compared to the examples in the assessment guide as to impact and similarity to determine the appropriate deficiency category.

If, for a particular line item, the column for a deficiency category indicates "do not use" this indicates that deficiency category is not appropriate for that line item. For example, if the minor column for a particular line item indicates "do not use" that would indicate that deficiencies for that line item should be rated more severely.

As this Assessment Guide cannot anticipate all possible scenarios or circumstances, deficiency categories which are considered "Not Generally Applicable" for some line items, should be taken as guidance only. In exceptional circumstances, when a deficiency has been identified by an inspector which, in their opinion, meets the definition of a more severe deficiency category, the deficiency should be assessed in that category.

The numbers in brackets following each deficiency example refer to the decision tree.

1.1 Construction, Design, Plant Surroundings

Regulations

Schedule I Section 2

1. The layout, design, construction and size of every establishment shall:

- a. permit adequate cleaning and disinfection of all areas;
- b. prevent the accumulation of dirt, fish being in contact with toxic materials and floor surfaces, the shedding of foreign particles into fish and the formation of condensation or mould on surfaces;
- c. permit good production practices, including protection against contamination and cross-contamination by fish, equipment, water, air or personnel and any other sources of contamination, including insect and animal pests;
- d. provide, if necessary, suitable temperature conditions that permit sanitary processing and storage of fish; and
- e. provide for the orderly and rapid movement of raw material and finished product into and out of the establishment.

2. Construction and packaging materials and non-food chemical products used in the construction and operation of establishments or in their equipment shall be those contained in the *Reference Listing of Accepted Construction Materials, Packaging Materials, and Non-Food Chemical Products*, published on February 1, 1998 by the Agency, as amended from time to time.

3. Saltfish, squid, stockfish and capelin may be dried outside an establishment if it is dried in a location away from traffic on grounds under the control of the operator of the establishment, on dryer flakes or

other equipment that is raised at least 1 m above the ground or water and if the fish is handled to prevent the risk of contamination.

Schedule II, Section 13

1) The grounds under the control of an operator of an establishment in proximity to the establishment shall be kept clean, free from debris and unnecessary material and be maintained to minimize harbourages for insect and animal pests.

2) Areas where fish is loaded, unloaded or handled and other high traffic areas shall be paved with asphalt, covered with concrete or other impervious material and equipped with appropriate drains.

Intent

A fish processing establishment must be designed, laid out and constructed in such a way that it will not become a potential source of contamination for food products. In addition, the establishment's surroundings must not become a potential source of contamination or provide shelter for insect or animal pests. Loading and handling areas must be designed so that they can be kept clean and not attract pests.

Compliance Guide

The fish processing establishment should be designed and laid out to provide suitable environmental conditions, permit adequate cleaning and sanitation, minimize contamination, prevent access by pests, provide adequate space for the performance of all operations, and prevent unnecessary delays during processing activities. Materials or coatings used for construction and equipment in an establishment must be applied such that they are smooth, durable and resistant to damage. "Smooth" shall be taken to mean a surface which can easily be cleaned and sanitized and is not necessarily a flat surface.

The flow of products being processed must be such that processing pathways for different products do not cross and the risk of cross-contamination is controlled. There must be separation of time or space between the handling of raw products and the handling of cooked or final products, to prevent possible contamination from one to the other.

Working spaces and aisles in the processing area must be unobstructed and wide enough to allow for the movement of people and materials.

Construction materials used for construction, renovation, and maintenance should be selected on the basis of chemical and physical suitability of the materials in relation to their intended use in a food processing facility. Where the suitability of construction materials is in question, the *Reference Listing of Accepted Construction Materials, Packaging Materials and Non-Food Chemical Products* (also called the *Reference Listing*) should be consulted.

In the case of packaging materials and non-food chemical products the *Reference Listing of Accepted Construction Materials, Packaging Materials, and Non-Food Chemical Products* is the current list of materials and non-food chemicals that have been found by the CFIA to be acceptable for use in food processing establishments.

Establishments containing retail outlets or premises must be designed such that retail areas are separate and unauthorized persons are prevented from entering processing areas.

The grounds around the establishment must be free of debris and refuse and must not be in close proximity to potential sources of contamination for food products. Grass and other vegetation around the establishment must not be allowed to provide shelter for insect or animal pests. Unused equipment should be stored neatly, away from the sides of buildings, so that it does not become a potential source of contamination or shelter for insects and animal pests.

Loading and unloading areas and other high traffic areas must be surfaced with concrete, asphalt or other suitable surface, be properly sloped, and drain adequately so that water and other liquids do not collect or pool.

**1.1 Construction, Design, Plant Surroundings
Assessment Guide – Schedule I**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
Layout, design, construction, of facilities shall:			
a) permit adequate cleaning and disinfection			
b) prevent accumulation of dirt, fish contact with floor, foreign particles into fish, condensation or mould on surfaces	small leak (water) in a location that could fall on packaged or fish for further processing (8)	small leak (water) in a location that could fall on non RTE fish (5)	small leak (water) in a location that could fall on RTE fish (2) any large (water) leak that could affect product or packaging.
c) permit good production practices (i.e. protect against contamination and cross contamination)	Pooling water splashing into fish for further processing (9) Drains or floors causing water to flow from support areas to areas where product is exposed.	pooling water splashing into fish or packaging (non RTE) (7) drains or floors causing water to flow from raw product or support areas into RTE or sanitary zones (7)	pooling water splashing into RTE fish or packaging (3) drains overflowing back into plant affecting product
d) provide suitable temperature for sanitary processing and storage of fish if necessary			Not Generally Applicable
e) provide for orderly movement of raw material and finished product	delays in process flow such that product quality could be affected (9)	Layout does not permit separation by time or space of post process product from pre process product	Not Generally applicable
2) Construction materials approved			materials in use not acceptable (2,3)
packaging/chemicals approved	Do not use	packaging/chemicals not on list (7)	packaging/chemicals in use not acceptable (2,3)
3) outdoor salt fish racks or other equipment properly located, fish handled to prevent contamination	Do not use		

**1.1 Construction, Design, Plant Surroundings
Assessment Guide – Schedule II**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
grounds kept clean, free from debris and unnecessary material, maintained to minimize harbourages	pallets/totes/boxes etc. stored next to wall outside plant (8) tall grass next to plant (8)	Not Generally Applicable	Not Generally Applicable
areas where fish is loaded, unloaded or handled and other high traffic areas paved, covered with concrete or other impervious material and equipped with proper drains	no drain good drainage (8)	no drain poor drainage (5) pad drains towards plant (5) no pad (5)	Not Generally Applicable

1.2 Floors

Regulations

Schedule I, Section 3

Floors shall be constructed of smooth, impervious, non-absorbent and non-toxic materials, be sloped for drainage and be maintained in a sound condition for ease of cleaning and disinfection.

Schedule II, Section 1

Every Establishment shall implement and comply with its sanitation program.

Intent

Floors must not be allowed to become a potential source of contamination for food products.

Compliance Guide

Floors must be kept in good repair.

Floors in wet working areas (processing, receiving and holding areas) must be of waterproof, non-absorbent, washable, and non-toxic materials, and it is recommended that they be non-slip as well. Expansion joints in cement floors must be sealed. Floors in wet working areas must slope sufficiently for liquid to drain. A slope of 1 cm/metre (1/8 inch/linear foot) has been found to be adequate. If floors are ribbed or grooved to facilitate traction, any grooving of this nature should always run to the drainage channel. No water or waste should be allowed to collect or pool during processing.

Operators must demonstrate that they can maintain floors in clean and sanitary condition if the floors in the processing area are not sloped sufficiently.

Floors in ingredient, packaging, or chemical storage rooms or other support areas may be constructed of wood provided that they are maintained in a clean and sanitary condition. Water or other liquids must not be allowed to collect or pool on floors in these areas.

Floors must be thoroughly cleaned and disinfected at appropriate frequencies with consideration of production conditions.

Floors must be thoroughly cleaned and disinfected as often as required by operating conditions.

1.2 Floors
Assessment Guide – Schedule I

Wet Working Areas (includes dry process areas which are regularly cleaned and sanitized such as dried fish trimming/packing areas)

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
smooth, impervious, non-toxic, non absorbent	do not use	wooden floors(5) asphalt or other non impervious material(5)	Not Generally Applicable
properly sloped	floor slopes away from drains (8)	<i>Not Generally Applicable</i> If the floor not draining or draining in the wrong direction causes cross contamination issues, assess under Section 1.1	<i>Not Generally Applicable</i> If the floor not draining or draining in the wrong direction causes cross contamination issues, assess under Section 1.1
maintained for ease of cleaning and disinfection	cement - small cracks (8) slight pebbling/exposed aggregate (8)	cement - large cracks, broken, repairs which have not properly sealed (5) severe wear or pebbling/exposed aggregate (5)	Not Generally Applicable
water does not collect or pool	floor does not drain	<i>Not Generally Applicable</i> If the floor not draining or draining in the wrong direction causes cross contamination issues, assess under Section 1.1	<i>Not Generally Applicable</i> If the floor not draining or draining in the wrong direction causes cross contamination issues, assess under Section 1.1

Dry Working Areas (areas which are never exposed to water i.e. ingredient, packaging, chemical storage or support areas)

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
properly constructed	asphalt floor(6)	Not Generally Applicable	Not Generally Applicable
in good repair	damage which impedes ability to keep floor swept clean and tidy (6)	Not Generally Applicable	Not Generally Applicable

1.2 Floors
Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
floors (dry or wet) maintained in clean and sanitary condition	floors which are unsanitary but are located in areas that will not impact product or the general sanitation of the remainder of the facility and which do not meet the criteria for Serious or Critical (6)	floors which are unsanitary to the degree that they may result in the production of unwholesome product (5)	floors which are unsanitary to the degree that they expose product to contamination, compromise the assurance that food is processed under sanitary conditions or presents a threat to the health and safety of the consumer (2,3,4)

1.3 Drains

Regulations

Schedule I, Section 4

1) Drains shall be of a type and size sufficient to carry off any process effluent and water from processing and cleaning operations, be equipped with non-corrodible covers or grates and be constructed in a manner that prevents the entry of insect and animal pests, sewer gases or any other deleterious substance.

2) All drainage from an establishment shall be disposed of in a manner acceptable to the President or in accordance with local ordinances.

Intent

Drains must not be allowed to become a source of potential contamination or an avenue for the entry of pests into the establishment. The location, type and size of drainage systems is critical in the prevention of pooling and back-ups of process water which may cause unsanitary conditions.

Compliance Guide

Drains must be large enough to carry off any process effluent and water from processing and cleaning operations without danger of overflowing or becoming obstructed. Drains that are connected to a sewer line must be provided with a check (backwater) valve, and drains that are directly connected to a sewer must be provided with traps. Floor drains should have covers that are removable and are constructed of metal or other acceptable material (covers are not required where drains are located under processing equipment). Open drains, which pass through exterior walls or floors, must be designed so that insects and animal pests cannot enter the processing area.

Coolers (i.e., rooms used to cool and store unfrozen fish) must also be drained.

Drains in processing and support areas must be designed and installed so that they carry effluent away from the processing area. Drains must be kept in good repair and cleaned and disinfected as often as required by operating conditions.

Unless they are required as a direct part of the processing operation (e.g., systems designed to carry away waste products during processing), all catch basins, interceptors and other means of separating organic matter from plant effluent should be located outside the processing area.

1.3 Drains
Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
sufficient capacity/non corrodible material	rusty drain covers (8)	insufficient capacity or obstructed such that water pools on floor (7)	If overflowing back into plant (3,4) If the floor not draining causes cross contamination issues, assess under Section 1.1 (3, 4)
properly trapped and covered	drains not covered where required (8)	drain connected to sewer line not trapped or otherwise permits entry of gases (7)	Not Generally Applicable
rodent and insect proof	do not use	drains not equipped with tight fitting covers, flaps or devices to prevent entry of rodents and insects (7) devices to prevent rodent and insect entry not in place when required (7)	Not Generally Applicable
equipped with check valve if necessary	do not use	drain connected to sewer line has no check valve when necessary (7)	sewer backup (3,4)
coolers properly drained	no drainage in cooler containing protected/package product (8)	no drainage in cooler containing exposed product (7)	<i>Not Generally Applicable</i> If the floor not draining causes cross contamination issues, assess under Section 1.1 (3, 4)
drainage disposed of in an approved manner	do not use	process effluent disposed of in a manner which attracts pests to the facility (7) process effluent which is disposed of in a manner which could impact the general sanitation of the facility (5)	sewage not disposed of in an approved manner (4)

1.4 Walls

Regulations

Schedule I, Section 5

Wall surfaces shall be constructed of smooth, non-absorbent, durable and non-toxic materials that are light-coloured and thoroughly washable, in such a manner that all joints are sealed and floor and wall junctions are coved or rounded, and shall be maintained in a sound condition for ease of cleaning and disinfection.

Schedule II, Section 1

Every Establishment shall implement and comply with its sanitation program.

Intent

Walls must be constructed and maintained in such a way that they will not become potential sources of contamination for food products or allow moisture to enter. Light colours, such as white, off-white or light pastels, allow cleanliness to be evaluated and increase the overall lighting levels in the facility.

Compliance Guide

Walls in wet working areas (processing, receiving and holding areas) must be non-absorbent smooth and washable. Cement is an acceptable material provided that it has been finished such that it is smooth and washable (ie. troweled). Poured cement or cement blocks are generally not considered to be sufficiently smooth and must be coated with a suitable material to allow for proper washing. Bare cement will be acceptable in tank rooms where live fish are being held.

Where plywood or similar panelling material is used in the construction of walls, all seams and joints must be made watertight and smooth. The use of painted gypsum-based wallboard, chip board or marine-waterproof wallboard is not permitted in wet working areas. Coolers and blast freezers must meet these requirements and for new registrations, cold storages must also meet these requirements.

Construction materials used for construction, renovation, and maintenance should be selected on the basis of chemical and physical suitability of the materials in relation to their intended use in a food processing facility. Where the suitability of construction materials is in question, the *Reference Listing of Accepted Construction Materials, Packaging Materials and Non-Food Chemical Products* (also called the *Reference Listing*) should be consulted.

In addition to the approved materials for wet working areas, walls in dry working areas may be constructed of wallboard or chip board.

Coving is desired but is not required for existing registrations with walls that have floor/wall joints that are easily cleanable and are effectively and durably sealed to prevent accumulation of water and fish. For new construction, the wall should be supported on a concrete curb rising from the floor where the junction between the curb and the wall does not allow water to enter. There should be coving where possible and the floor should slope away from the wall.

Partitions which form the perimeter of a room are considered walls for the purpose of these requirements.

Walls must be cleaned and disinfected as often as required by operating conditions.

1.4 Walls
Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
light coloured	not light colour (9)	Not Generally Applicable	Not Generally Applicable
constructed of approved material	do not use	unpainted wood (5) chipboard, cork (wet areas) (5) unsealed cement blocks (5) brick (5)	unfinished wall with exposed fibreglass insulation in process area or area where there is exposed fish or packaging material (3)
washable	rough surfaces (8) cracked/scored (8) tarp used as a permanent wall (8)	very rough painted wood (5) very rough surfaces, cracked/scored (5) textured surfaces (i.e. stucco) (5) bare cement which has not been smoothly finished (5) bare wood (8) tarp in poor condition used as a permanent wall (8)	Not Generally Applicable
joints sealed, floor/wall joint sealed	wall joints not sealed (8) floor/wall joint not sealed (8)	opening for service pipe leading to exterior through wall is not sealed (i.e. open to outside) (7) floor/wall joint is not sealed and is causing accumulation of fish and/or water - assess under Schedule II (below)	Not Generally Applicable
maintained for ease of cleaning and disinfection	flaking paint, mould or rust in a location not likely to affect product or packaging (6) joints separated in "dry" areas (6) damage to wall that will impede cleaning (6) rusty wall panel screws (6)	flaking paint, mould or rust of a degree and in a location that could fall on fish or into packaging (non RTE) (7) joints separated such that water can get into wall in "wet" areas (5) significant damage to wall that will impede cleaning (5)	flaking paint, mould or rust of a degree and in a location that could fall on RTE fish or into packaging. (2,3) flaking paint, dirt, mould or rust that does fall on fish or into packaging

1.4 Walls
Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
maintained in a clean and sanitary condition	walls which are unsanitary but are located in areas that will not impact product or the general sanitation of the remainder of the facility and which do not meet the criteria for Serious or Critical (6)	walls which are unsanitary to the degree that they may result in the production of unwholesome product (5) unclean tarp used as a permanent wall (dried blood, protein, scales, offal, dirt, etc)	walls which are unsanitary to the degree that they expose product to contamination, compromise the assurance that food is processed under sanitary conditions or presents a threat to the health and safety of the consumer (2,3,4)

1.5 Ceilings and Overhead Fixtures

Regulations

Schedule I Section 6

Ceilings shall be constructed of smooth, non-absorbent, durable and non-toxic materials that are light-coloured, washable, of a height acceptable to the President of the Agency and maintained in a sound condition for ease of cleaning and disinfection.

Schedule I Section 7

Heating units, water feed lines, piping, lighting, public address or radio systems or other overhead fixtures shall be designed, constructed, installed and finished to prevent the accumulation of dirt and to reduce condensation, the growth of moulds and the shedding of foreign particles into fish being processed beneath and, if the purpose of each is not readily evident, shall be labelled in such a manner that this purpose is readily discernable by an inspector.

Schedule II Section 1

Every establishment shall implement and comply with its sanitation program.

Intent

Ceilings and overhead fittings must not be allowed to become sources of falling debris, dust, condensation or moulds that could contaminate work surfaces or food products. Light-coloured ceilings allow cleanliness to be evaluated and increase the overall lighting levels in the facility.

Compliance Guide

Ceilings in processing, receiving and holding areas must be constructed of durable, smooth, waterproof and light-coloured materials and must be well maintained. Ceilings may be constructed of wood if they are coated with an acceptable material that will prevent moisture from entering the wood. All surfaces must be constructed so as to facilitate cleaning and disinfecting, and joints sealed to prevent the entry of moisture. Suspended ceilings are permitted, provided that they can be maintained in a clean and sanitary condition.

Ceilings must be of sufficient height to allow the sanitary operation of the equipment for the particular area. As a guideline, a minimum of 2.7 metres (9 feet) is appropriate.

Overhead fixtures must be designed, constructed, installed and finished such that they are:

- a. not located directly over fish processing operations (with the exception of lighting, or other fixtures specifically required by the nature of the processing operation);
- b. flush mounted to upper surfaces or ceilings;
- c. boxed in, where practical. Where it is impractical to encase or box overhead pipes and lines into the ceiling, they should be sheathed and insulated or otherwise treated such that surfaces are light colored, smooth and easily cleanable. For new registration, all heating units, water, feed lines, piping, lighting, public address or radio systems or other overhead fixtures and piping, should not be located over head except to the extent required by nature of processing. This requires flush mounting of fixtures such as lights and ventilation and that pipes and lines be in the ceiling where they run above where fish is processed and only drop through where required for processing.
- d. labelled, if necessary, so that their purpose can be easily identified by an inspector.

Supply lines to processing equipment (eg., water, electricity, steam) should feed to the equipment by the shortest route possible. If overhead monorails are used, precautions must be taken to ensure that hydraulic fluids or lubricants do not leak or drip onto production surfaces or food products. Ceilings and overhead fixtures must be well maintained and cleaned and disinfected as often as required by operating conditions.

**1.5 Ceilings & Overhead Fixtures
Assessment Guide – Schedule I**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
constructed of approved material	exposed rigid foam insulation in a cooler where only packaged/protected fish will be stored (8)	unpainted wood (5) porous material (i.e. press wood, cork etc.) (5) exposed rigid foam insulation in a cooler where open processed fish will be stored (7)	unfinished ceiling with exposed fibreglass insulation in process area or area where there is exposed fish or packaging material (3)
light coloured	not a light colour (9)	Not Generally Applicable	Not Generally Applicable
washable	rough surfaces (8) cracked/scored (8) tape used to secure cables or pipes (8)	very rough painted wood(5) very rough surfaces, cracked/scored (5) textured surfaces (i.e. stucco) (5) bare wood (8)	Not Generally Applicable
acceptable height	insufficient height for operations (9)	Not Generally Applicable	Not Generally Applicable
maintained for ease of cleaning and disinfection	flaking paint, mould or rust of a degree and in a location not likely to affect product or packaging(6) damage to ceiling that will impede cleaning (6) overhead fixtures not sheathed, insulated or otherwise treated such that surfaces are light coloured, smooth and easily cleanable	flaking paint, mould or rust of a degree and in a location that could fall on fish or into packaging (non RTE) (7) joints separated such that water can get into ceiling in "wet" areas (5) significant damage to ceiling that will impede cleaning (5)	flaking paint, mould or rust of a degree and in a location that could fall on RTE fish or into packaging (2,3) flaking paint, dirt, mould or rust that does fall on non RTE fish or into packaging
overhead fixtures designed, constructed, installed, and finished to prevent accumulation of dirt, reduce condensation, moulds, and shedding of materials into fish. Fixtures to be labelled as to purpose if necessary	permits accumulation of condensation, moulds in areas where product or packaging may be exposed and can not be easily cleaned (8) no labels where necessary (9) condensate from cooler unit not piped to a drain (6)	condensate from cooler unit dripping on or splashing into processed (non RTE) fish (7) overhead fixtures that are not clean are assessed below (Schedule II).	hydraulic fluid, lubricants leaking into product (3) shedding of toxic material into fish from overhead (ceiling fans, radiant heaters, pipes, etc.) (3) condensate from cooler unit dripping on or splashing into processed RTE fish (2,3)

**1.5 Ceilings & Overhead Fixtures
Assessment Guide – Schedule II**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
maintained in a clean & sanitary condition	ceilings which are unsanitary but are located in areas that will not impact product or the general sanitation of the remainder of the facility and which do not meet the criteria for Serious or Critical (6)	ceilings which are unsanitary to the degree that they may result in the production of unwholesome product (5) Overhead fixtures in process area that are obviously dirty/dusty.	ceilings which are unsanitary to the degree that they expose product to contamination, compromise the assurance that food is processed under sanitary conditions or presents a threat to the health and safety of the consumer (2,3,4)

1.6 Windows, Doors and Ventilation

Regulations

Schedule I Section 8

Windows that are capable of being opened, and any other openings to the outside shall be constructed so as to prevent the accumulation of dirt and be fitted with non-corrodible insect-proof and animal-proof screens or other similar devices.

Schedule I Section 17

Natural and mechanical ventilation systems shall provide clean air, inhibit condensation and maintain conditions that are free from smoke, steam or foul odours, and any openings for the ventilation of the processing or support areas shall be fitted with non-corrodible insect-proof and animal-proof screens or other similar devices.

Schedule I Section 9

1. Doors into and out of processing and support areas shall be constructed of smooth, non-absorbent and non-toxic materials that are washable, be properly fitted and hung and be maintained in a sound condition for ease of cleaning and disinfection.
2. Doors in an establishment that is constructed after the coming into force of this Schedule shall:
3.
 - a. be located so that persons may not enter directly into a processing area, with the exception of holding rooms, from outside the establishment; and
 - b. if the doors are emergency exits from a processing area, shall be clearly marked "Emergency Use Only" or with other similar wording and be equipped with emergency door opening devices, panic bars or similar devices that prevent entry from the exterior of the establishment.

Schedule II Section 1

Every Establishment shall implement and comply with its sanitation program

Schedule II Section 8

Doors into and out of an establishment shall be kept closed and may be opened only when necessary to allow personnel, fish, equipment and other materials to enter or leave the establishment unless air curtains or other devices as specified in the establishment's quality management program that prevent the entry of insect and animal pests are in operation.

Intent

Windows and doors must not be allowed to become potential sources of contamination or avenues for the entry of pests. Adequate ventilation is essential to prevent the accumulation of odours, humidity and condensation in a processing establishment. Condensation must be controlled to prevent contamination of walls, equipment and products from ceilings and overhead fixtures.

Compliance Guide

Window frames must be constructed of durable, smooth, waterproof and light-coloured materials. Window frames may be constructed of wood provided they are coated with an acceptable material that will prevent moisture from entering the wood. Window must be sealed to adjacent walls.

Windows that open must be screened, and interior windowsills should be sloped downward or bevelled for ease of cleaning and to prevent accumulation of extraneous material.

Ventilation systems must provide, when the exterior doors are closed, sufficient air exchange and treatment to prevent the buildup of smoke, undesirable odours or excessive heat and humidity, and inhibit condensation.

Air intakes must be located and operated in such a manner as to prevent the intake of contaminated air and the contamination of food products by airborne dust, bacteria or other contaminants. Windows must be kept in good condition and cleaned and disinfected as often as required by operating conditions.

Doors of processing, receiving and holding areas must be constructed of durable, smooth, waterproof and light- coloured materials. Doors may be constructed of wood provided they are coated with an acceptable material that will prevent moisture from entering the wood. Door frames must be sealed to adjacent walls and when closed, should have a close-fitting seal to door frames.

Establishments constructed after April, 1999, must not have doors allowing direct entry into processing areas (except holding rooms) from outside, with the exception of emergency exits. Holding areas or anterooms must be provided through which persons must pass to enter the processing areas.

Doors must be kept in good condition and cleaned and disinfected as often as required by operating conditions.

Exterior doors must be kept closed when not in use (unless air curtains or other devices to prevent the entry of pests are installed), and cannot be used as a means of ventilating the processing establishment. Plastic strip curtains are not acceptable for exterior doors. If air curtains or other devices are used, they must be effective in preventing the entry of pests. Doors that are not required to be open for continuous movement of people and materials shall be closed whether they have these devices or not.

**1.6 Windows, Doors & Ventilation
Assessment Guide – Schedule I**

Ventilation

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
adequate ventilation	inadequate ventilation(8) smoke steam or foul odours not adequately ventilated (9)	Not Generally Applicable	Not Generally Applicable
prevents condensation	condensation of a degree and in a location that could fall on packaged fish or fish for further processing (8)	condensation of a degree and in a location that could fall on processed (non RTE) fish or packaging (5)	condensation of a degree and in a location that could fall on processed RTE fish or packaging (2)
designed to prevent pest entry (i.e. screens)	do not use	no screens or flaps (5) holes/damage that allows entry of pests (5)	Not Generally Applicable

Windows/Openings to Outside

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
constructed to prevent dirt accumulation	window sill not sloped or otherwise designed to prevent dirt accumulation (8)	Not Generally Applicable	Not Generally Applicable
constructed to prevent entry of pests (i.e. screens)	do not use	no screens or flaps (5) holes/damage to allow entry of pests (5)	Not Generally Applicable

**1.6 Windows, Doors & Ventilation
Assessment Guide – Schedule I (cont'd)**

Doors (includes plastic strip curtains)

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
constructed of approved materials	do not use	plastic strip curtain on exterior door (if no door) (5) unapproved material (5)	Not Generally Applicable
washable	rough surfaces (8) cracked/scored (8)	bare wood (5) very rough surfaces (5) very cracked/scored (5)	Not Generally Applicable
properly fitted and hung	interior doors not properly fitted (9)	exterior doors not rodent and insect proof (7) no door in doorway (exterior) (7)	Not Generally Applicable
maintained for ease of cleaning and disinfection	flaking paint, mould or rust in a location not likely to affect product or into packaging (6) damage to door that will impede cleaning (6)	flaking paint, mould or rust of a degree and in a location that could fall on fish or into packaging (non RTE)(7) significant damage to door that will impede cleaning (5)	flaking paint, mould or rust of a degree and in location that could fall on RTE fish or packaging (2,3) flaking paint, dirt, mould or rust that does fall on fish or into packaging
* doors located so persons may not enter directly into processing area from outside of plant	exterior doors allow entry to process area(8)	exterior doors allow entry to sanitary zone(7)	Not Generally Applicable
*emergency exits from processing area clearly marked as such. Cannot be opened from outside	exit not marked (9) exit from process area to exterior of plant can be opened from outside (8)	exit from sanitary zone to exterior of plant can be opened from outside (7)	Not Generally Applicable

* New Construction Only

**1.6 Windows, Doors & Ventilation
Assessment Guide – Schedule II**

Windows/Openings to Outside

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
windows maintained in a clean and sanitary condition	windows that are unsanitary but are located in areas that will not impact product or the general sanitation of the remainder of the facility and which do not meet the criteria for Serious or Critical (6)	windows that are unsanitary to the degree that they may result in the production of unwholesome product (5)	windows that are unsanitary to the degree that they expose product to contamination, compromise the assurance that food is processed under sanitary conditions or presents a threat to the health and safety of the consumer (2,3,4)

Doors (includes plastic strip curtains)

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
doors maintained in a clean and sanitary condition	doors that are unsanitary but are located in areas that will not impact product or the general sanitation of the remainder of the facility and which do not meet the criteria for Serious or Critical (6)	doors that are unsanitary to the degree that they may result in the production of unwholesome product (5) dirty strip curtains	doors that are unsanitary to the degree that they expose product to contamination, compromise the assurance that food is processed under sanitary conditions or presents a threat to the health and safety of the consumer (2,3,4)
doors kept closed except to allow personnel, fish, equipment or other materials to enter or exit	exterior door left open when not in use when no product, packaging or ingredients are exposed to risk of contamination by pests (unless air curtain or other device) (8)	exterior door left open when not in use (unless air curtain or other device) (5)	Not Generally Applicable

1.7 Lighting

Regulations

Schedule I, Section 16

Natural or artificial lighting shall be provided at intensities adequate to ensure the effective delivery to the processing operation being conducted, and the light fixtures shall have appropriate covers and be installed for ease of cleaning and disinfection.

Intent

Adequate lighting increases efficiency in determining defects, allows easier monitoring of sanitation and reduces safety hazards. Lighting fixtures must have covers to prevent breakage and be designed to be easily cleaned and disinfected to prevent contamination of work surfaces and products.

Compliance Guide

At minimum, a light intensity of 215 lux (20 foot-candles) or more, as measured by a standard light meter, is required in all processing areas to facilitate cleaning. Surfaces where processing and packaging is conducted require stronger lighting; an intensity of 538 lux (50 foot-candles) or more is recommended. More intense lighting, equal to or greater than 1,075 lux (100 foot-candles), is for locations such as inspection stations is recommended. Other areas of the facility such as packaging storage rooms, chemical storage rooms and warehouses must have sufficient lighting to read labels and to properly function in the room.

Light bulbs and fixtures in, and regardless of their height above, all processing and support areas where there is exposed food, ingredients or packaging materials must be adequately covered or be coated with a shatterproof material to prevent contamination in case of breakage. Glass globes or metal/wire cages are not considered to be adequate protection. Emergency lighting can be exempted from this requirement provided that it's location does not pose a risk of contamination in case of breakage.

Light fixtures must be designed to allow cleaning and disinfection and must be cleaned often enough to prevent the accumulation of dust and debris.

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
adequate lighting provided	insufficient lighting to facilitate cleaning (8)	Not Generally Applicable	Not Generally Applicable
installed for ease of cleaning and disinfecting	not installed for ease of cleaning and disinfecting (8)	lights are obviously dirty or holding materials that could be shed on product (5) (rate under Schedule II in Section 1.5)	shedding of material into fish from overhead (rate in Section 1.5 Ceilings and overhead fixtures)
protective covering	cracked lens cover (in process room) (8,9) lens cover improperly installed(in process room) (8,9)	unprotected bulb in support area (not including lunch rooms, washrooms, utility/boiler rooms, etc.) where product or packaging or ingredients cannot be directly exposed to risk (a broken or missing lens cover is an unprotected bulb) (7)	unprotected bulb in a process area (2,3) unprotected bulb in a support area (not including lunch rooms, washrooms, utility/boiler rooms, etc.) which has not been assessed as Serious (a broken or missing lens cover is an unprotected bulb) (2,3)

1.8 Refrigeration/Freezing Facilities

Regulations

Schedule I, Section 18

1. Refrigeration facilities shall be built in accordance with good engineering practices and with respect to freezing equipment shall:
 - a. contact freeze a 25 mm-thick block of unpackaged fillets to -18°C in two hours or less; or
 - b. air blast freeze fish at a rate that prevents deterioration of the fish, until the thickest section of the fish is at a temperature of -18°C
2. Refrigeration facilities shall be operated in a manner that minimizes frost build-up.
3. Cold storages shall be equipped with automatic temperature recording devices capable of recording the temperature at least once every 24 hours.
4. In refrigeration facilities that are not equipped with automatic temperature recording devices, accurate thermometers must be installed and the temperature read and recorded at least once every 24 hours.
5. An operator of a registered establishment shall keep a record of each temperature recorded there for a period of three years.

Schedule II, Section 16

(2) Cold storages shall maintain the temperature of fish at -18°C or colder.

(3) Coolers shall maintain fish at a temperature from 4°C to -1°C .

Intent

Facilities for temperature control during freezing, storage and refrigeration must be capable of maintaining adequate temperatures. Temperature recording is required for all refrigeration facilities to ensure that minimum temperatures are being met.

Compliance Guide

Refrigeration facilities used for fish and fish products must have the capability to provide and maintain adequate temperatures. This includes freezers (facilities and equipment used to freeze fish), cold storages (used to store frozen fish), and coolers (used to cool and store fish in an unfrozen state).

Freezers must be able to rapidly reduce the temperature of fish products to -18°C (0°F) or lower, to minimize adverse effects on the product being frozen.

Air blast freezers must have sufficient refrigeration capacity, air velocity and correct air circulation through the product being frozen to minimize adverse effects on the product. Experience has shown that evaporator temperatures of -30°C (-22°F) or lower and air velocity rates of 2 m/sec or more are sufficient to achieve adequate freezing rates.

Cold storages must maintain a temperature of -18°C (0°F) or colder. To maintain a high level of fish quality, it is strongly recommended that they be kept at a temperature of -26°C (-15°F). Cold storages must have temperature recording devices that can automatically record the temperature at least once a day, and the temperature recording devices must be sufficiently accurate to confirm that required temperatures are being met. Manual recording of the temperature is not sufficient for cold storages.

Coolers and other facilities and equipment used for the refrigeration of fresh or unfrozen fish products, cooked or chilled crustaceans and all molluscan shellfish products must maintain a temperature between -1 and 4°C (between 30 and 39°F). Allowances must be made for the fact that the temperature may vary slightly above this range due to operating conditions.

Specific processes, for example pre-depuration holding or post-cooking cooling, may require cooling to other temperature ranges, and holding rooms for such processes are not required to meet cooler requirements.

Coolers must have the temperature recorded daily (this includes days the establishment is not operating). However, this can either be done with automatic temperature recording devices, or the temperature can be recorded manually using an accurate thermometer.

Temperature records must be kept for a minimum of three years.

Refrigeration facilities must be maintained in good repair and cleaned and disinfected as required.

**1.8 Refrigeration/Freezing Facilities
Assessment Guide – Schedule I**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
freezing equipment adequate (contact freeze 25mm fish to -18°C in 2 hrs)		Not Generally Applicable	Not Generally Applicable
air blast freeze to -18°C at a rate that prevents deterioration of fish		Not Generally Applicable	Not Generally Applicable
refrigeration facilities operated in a manner that prevents frost build up	frost build up (9)	Not Generally Applicable	Not Generally Applicable
cold storage equipped with automatic temperature recorder	no temperature recorder (9)	Not Generally Applicable	Not Generally Applicable
refrigeration facilities equipped with automatic temperature devices or temperature is recorded once every 24 hours		Not Generally Applicable	Not Generally Applicable
temperature records kept for three (3) years	no records (9) records not kept for three years (9)	Not Generally Applicable	Not Generally Applicable

Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
cold storages maintain fish at -18°C or colder	temperature of fish above -18°C (9)	Not Generally Applicable	Not Generally Applicable
Coolers maintain fish from 4°C to -1°C	do not use	cooler cannot maintain fish below 4°C (7)	Not Generally Applicable

2.1 Equipment

Regulations

Schedule I, Section 10

(1) Fish processing equipment and ice handling or conveying equipment, including all surfaces, frames and legs shall be constructed of smooth, non-corrodible, non-absorbent and non-toxic materials that are washable, and shall be maintained in a sound condition for ease of cleaning and disinfection.

(2) Despite subsection (1), frames and legs of dryer flakes and dried squid storage bins may be constructed of wood if all surfaces in contact with fish meet the requirements of that subsection.

(3) Despite subsection (1), bloater drying canes may be constructed of wood if they are clean and in a sound condition.

(4) Despite subsection (1), boxes, carts or bins used to hold fresh whole or dressed fish intended for further processing may be made of planed lumber or waterproof plywood and be coated on the interior and exterior with material approved by the President of the Agency.

(5) Despite subsection (1), ice screws or augers that are in contact with ice may be constructed of galvanized metal.

Schedule I, Section 11

Cooler or cold storage racking systems on which pallets of fish are stored shall be constructed of metal or other material acceptable to the President of the Agency and shall be maintained in a sound condition for ease of cleaning and disinfection.

Schedule I, Section 21

All facilities and equipment shall be maintained in a sound condition so as to minimize the risk of contamination to fish and facilitate cleaning and disinfection, and shall be installed in such a manner as to allow adequate cleaning of the surrounding area.

Schedule II, Annexe 1

Every establishment shall implement and comply with its sanitation program.

Schedule II, Section 11

(2) Unnecessary material or equipment shall not be stored in a processing area.

Schedule II, Section 14

Forklifts and other devices used for moving fish and materials inside an establishment shall be clean and maintained in a sound condition.

Intent

Equipment must be constructed and maintained in such a way that it will not become a potential source of contamination for food products. Equipment must be made of materials that are non-corrosive and non-porous to allow it to be cleaned and disinfected. Wood, since it can harbour micro-organisms, must not be allowed to come in contact with food products (with the specified exceptions).

Compliance Guide

Equipment on which fish is processed or which comes in contact with ice or food products must be made of non-corrodible metal or other approved material. This includes such equipment as tables, utensils and totes, bins and baskets used to hold fish being processed or final products. Examples of approved materials are stainless steel, saltwater-resistant aluminum, high-density plastics and fiberglass reinforced plastics. Wood is not an acceptable material.

Construction materials used for construction, renovation, and maintenance should be selected on the basis of chemical and physical suitability of the materials in relation to their intended use in a food processing facility. Where the suitability of construction materials is in question, the *Reference Listing of Accepted Construction Materials, Packaging Materials and Non-Food Chemical Products* (also called the *Reference Listing*) should be consulted.

Exceptions to the above are the frames and legs of dryer flakes and dried squid storage bins, which may be constructed of wood if the surfaces that are in contact with fish are of approved material. Bloater drying canes may also be constructed of wood.

Frames and legs may be made of mild steel or galvanized metal provided they are suitably coated with an approved material.

Boxes, carts or bins used to hold fresh whole or dressed fish intended for further processing may be made of planed lumber or waterproof plywood, provided they are coated with an approved material that will prevent moisture from entering the wood. The use of poly liners as a substitute for an acceptable fish contact surface is not permitted. Wooden boxes cannot be used to store ice.

Fish awaiting further processing may be held in wooden boxes inside the processing areas (including coolers) and the fish may be re-iced to preserve the quality prior to further processing. Once the fish enters the processing line to be processed, any subsequent holding, storage or handling must be in containers of approved material (i.e., not wood).

Frozen fish, including brine-frozen roe herring, may be stored in wooden boxes.

Fibre totes or boxes for transporting fish to a registered establishment must be lined with approved material and must only be used when clean and in a sound condition.

In exceptional circumstances, where it can be shown that this is a market requirement and the use of wood does not pose a sanitary hazard, wood boxes may be used for shipping final products for export. Examples include boxes of salt cod bits lined with wax paper, and boxes of canned fish products.

Equipment must be designed and constructed so that it can be easily cleaned and disinfected, and installed in such a way that it allows cleaning of the surrounding area.

Surfaces that come into contact with fish or other food products must not have gaps, crevices or inaccessible points that may be omitted during cleaning, and must be properly sloped to drain. Pans and bowls must not have closed rolled rims as these are difficult to clean.

All flumes must be free-flowing and all joints and bends in the flume must be smooth to the extent that debris can be easily removed by flowing water.

Drive motors and transmissions must be located such that incidental lubricant drip is not allowed to reach surfaces that come in contact with fish, ingredients or other food products.

Stands for workers along the processing lines must be constructed of approved materials, be well maintained, and must either be movable or be constructed in such a way that the stands and the floor beneath can be properly cleaned. Wood is not an acceptable material for stands.

**2.1 Equipment
Assessment Guide – Schedule I**

All Surfaces, Frames and Legs (Processing Equipment, Ice Handling or Conveying Equipment)

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
smooth, non-corrodible, non-absorbent, non-toxic materials	rough metal or fibreglass (6) unpainted plywood inside fish dryer (8)	bare wood in poor condition (5) porous rubber ball drain plug (5) braided rope or bungee cord material not permitted (5) Bare wood (5)	Not Generally Applicable
washable (no gaps, crevices or inaccessible points)	corrugated plastic panels with unsealed ends(9)	equipment design does not allow for proper cleaning and disinfecting (overlaps, gaps, etc.) (5) bowls, trays, baskets, containers have rolled rims (5)	Not Generally Applicable
maintained in condition for ease of cleaning and disinfecting	flaking paint, mould or rust in a location not likely to affect product or packaging (6) worn tarp material used as divider or flume (6) damaged fibreglass (6)	flaking paint, mould or rust of a degree and in a location that could fall on fish or packaging (non RTE) (7) damaged fibreglass - fish contact (5)	flaking paint, mould or rust of a degree and in location that could fall on RTE fish or packaging (2,3) flaking paint, dirt, mould or rust that does fall on non RTE fish or packaging

Cooler/Cold Storage Racking Systems for Fish

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
constructed of approved material	do not use	wooden racks (5)	Not Generally Applicable
maintained in condition for ease of cleaning and disinfecting	flaking paint, mould or rust in a location not likely to affect product or packaging (6)	flaking paint, mould or rust of a degree and in a location that could fall on fish or into packaging (non RTE)(7)	flaking paint, mould or rust of a degree and in location that could fall on RTE fish or into packaging (2,3) flaking paint, dirt, mould or rust that does fall on fish or into packaging

**2.1 Equipment
Assessment Guide – Schedule I (cont'd)**

All Facilities and Equipment

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
maintained to minimize contamination of fish	damaged hose (6)	improperly identified totes used as stands (7) flaking pitted or shedding rusty equipment (5,7) insulated fish boxes damaged exposing insulation inside box (5,7)	conveyors damaged such that metal links or staples can get into fish. (2,3) loose nuts, bolts, rivets, etc. that can get into fish (2,3)
maintained to facilitate cleaning and disinfection	insulated fish boxes damaged exposing insulation on outside (8) flaking paint, mould or rust in a location not likely to affect product or packaging (6)	flaking paint, mould or rust of a degree and in a location that could fall on fish or into packaging (non RTE)(7)	flaking paint, mould or rust of a degree and in location that could fall on RTE fish or into packaging (2,3) flaking paint, dirt, mild or rust that does fall on fish or into packaging
installed to allow adequate cleaning and disinfection of surrounding areas	area difficult to access for cleaning (6)	area cannot be cleaned (5) spot welds / gaps in fish contact surfaces that show evidence that they can not be cleaned and sanitized (rate under Schedule II, see below). conveyors or equipment cannot be adequately accessed to clean (5)	Not Generally Applicable

Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
equipment maintained in a clean and sanitary condition	equipment that is unsanitary but is located in areas that will not impact product or the general sanitation of the remainder of the facility and which does not meet the criteria for serious or critical (6)	equipment that is unsanitary to the degree that it may result in the production of unwholesome product (5)	equipment that is unsanitary to the degree that it exposes product to contamination, compromises the assurance and the food is processed under sanitary conditions or presents a threat to the health and safety of the consumer (2,3,4)
unnecessary material or equipment not stored in process area	clutter in process area (8)	Not Generally Applicable	Not Generally Applicable
forklifts and other devices for moving fish and materials inside establishment must be clean and maintained in sound condition	rust which is not flaking, pitted or shedding (6)	not clean severe rust (flaking, pitted or shedding) (5) flaking paint (5)	Not Generally Applicable

2.2 Product Preservation Process Equipment and Monitoring Devices

Regulations

Schedule I, Section 19

Equipment that is used to perform product preservation processes shall meet the applicable requirements set out in the establishment's quality management program.

Schedule I, Section 20

Devices that are used to monitor the effectiveness of product preservation processes or the performance of equipment used in product preservation processes shall be calibrated and function in accordance with the applicable requirements set out in the establishment's quality management program.

Intent

Equipment used for product preservation processes must not, through improper functioning, allow an unsafe or unacceptable product to be produced. Devices used to monitor process equipment must be capable of ensuring its proper functioning.

Compliance Guide

Equipment used for product preservation processes must be consistently capable of meeting critical limits applied to the process. A critical limit represents the value that must be met and is used to separate acceptable product from unacceptable product.

For requirements for retort construction, please refer to Chapters 5.2 and 6.2, *Facilities Inspection Manual*.

Equipment used for monitoring product preservation processes must be accurate and precise enough to correctly measure the critical limit. Periodic standardization or calibration is also necessary, and should be addressed in the verification section of the establishment's HACCP plan.

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
equipment used to perform product preservation process meets requirements set out in QMP	do not use	do not use	
devices used to monitor the effectiveness of a product preservation process or the performance of equipment used in those processes are calibrated and function as stated in QMP	do not use		

2.3 Packaging Storage

Regulations

Schedule I, Section 12

Packaging and labelling materials shall be stored in dry and sanitary storage rooms that are intended for that purpose, that are constructed to provide protection from weather, contamination and the entry of insect and animal pests and that, if appropriate, are equipped with adequate temperature-control devices.

Schedule II, Section 11

(2) Unnecessary material or equipment shall not be stored in a processing area.

Intent

Storage areas for packaging and labelling materials must not be allowed to become a potential source of contamination for food products or an avenue for the entry of pests. Packaging and labelling materials must not be improperly or unnecessarily stored in processing areas, as this could hinder cleaning and disinfecting.

Compliance Guide

Packaging and labelling materials must be stored in a location that is dry, adequately lit, protected from pests, and can be kept clean and maintained in good repair. Wooden floors are acceptable. There must be sufficient space between either the materials and the walls, or the materials and the floor, to allow for inspection for the presence of pests.

Trailer bodies are acceptable for storage of packaging and labelling materials provided they meet all requirements of the regulations.

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
packaging materials stored in properly constructed, dry, sanitary storage rooms that provide protection from weather, contamination and insect and animal pests	insufficient space between packaging materials and walls/floors (8)	inside surfaces of boxes, cartons or other packaging materials not covered/protected (7) packaging storage area accessible to pests (7) packaging material in use in process area exposed to contamination (7)	contaminated packaging (3)

Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
unnecessary material or equipment not stored in a process area	packaging material not in use stored in process area (8)	unprotected packaging not in use stored in process area (7)	Not Generally Applicable

2.4 Ingredient Storage

Regulations

Schedule I, Section 13

(1) Ingredients and additives such as salt and vinegar used in the processing of fish shall be stored in sanitary storage rooms that are intended for that purpose, that are constructed to provide protection from weather, contamination and the entry of insect and animal pests and that, if appropriate, are equipped with adequate-temperature control devices.

(2) Despite subsection (1), bulk storage of ingredients and additives in an enclosed area is permitted if the area meets the requirements of sections 3 to 8 of this Schedule.

(3) Doors to areas referred to in subsection (2) shall be constructed of smooth, non-absorbent and non-toxic materials that are washable, properly fitted and hung, maintained in a sound condition for ease of cleaning and disinfection, and so located that ingredients or additives may be unloaded and delivered or conveyed to a processing area in a sanitary manner.

(4) Despite subsection (1), salt may be stored in bags outside of an establishment if the bags are sound, kept off of the ground and are covered with clean, waterproof coverings that protect the salt from contamination, weather and insect and animal pests.

Schedule II, Section 11

(2) Unnecessary material or equipment shall not be stored in a processing area.

Intent

Storage areas for ingredients must not be allowed to become a potential source of contamination for food products or attract pests or become an avenue for the entry of pests. Ingredients must not be improperly or unnecessarily stored in processing areas, as this could hinder cleaning and disinfecting.

Compliance Guide

Ingredients and additives must be stored in a location that is dry, adequately lit, protected from pests and can be kept clean and maintained in good repair. Wooden floors are acceptable. There must be sufficient space between the materials stored and either the walls or the floor to allow for inspection for the presence of pests. If ingredients must be kept within a specific temperature range, storage areas must be equipped with temperature control devices.

Ingredients and additives may be stored in bulk in an enclosed area as long as it complies with the requirements described previously for floors, drains, walls, ceilings, overhead fixtures, windows and doors (see Sections 1.2-1.6 of this document).

Bags of salt may be stored outdoors provided that the bags are kept off the ground, on pallets or a concrete pad or similar surface, and are covered to protect them from weather, insects and animal pests.

2.4 Ingredient Storage

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
Ingredients stored in sanitary storage rooms that provide protection from weather, contamination and insect and animal pests	insufficient space between materials and walls/floors (8)	ingredient storage area accessible to pests (7)	contaminated ingredients (3)
storage room equipped with adequate temperature control if necessary		temperature of storage area not controlled when necessary (7)	Not Generally Applicable
bulk storage area meets requirements		bulk storage area not properly constructed or not maintained (7)	Not Generally Applicable
doors to bulk storage areas constructed of approved material, maintained in condition for ease of cleaning, located so that ingredients may be delivered in a sanitary manner		door to bulk storage not approved material (5) not maintained for cleaning (5)	Not Generally Applicable
salt stored outside kept off the ground, bags sound, protected from contamination	salt bags stored on the ground (9)	salt stored outside not protected (7)	Not Generally Applicable

Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
unnecessary material or equipment not stored in process area	ingredients not in use stored in processing area (8)	Not Generally Applicable	Not Generally Applicable

2.5 Chemical Storage

Regulations

Schedule II, Section 2

(2) Any product used for the lubrication of fish processing equipment or machinery and any product used for cleaning and disinfection shall be clearly labelled as to its use, stored in an appropriate location and only used by a person trained to use or apply it in a manner that prevents contamination of fish or contact surfaces.

Schedule II, Section 11

(2) Unnecessary material or equipment shall not be stored in a processing area.

Schedule II, Section 17

(2) No odiferous or toxic substance shall be stored in a processing area.

Intent

Chemicals used for the operation of equipment or for cleaning and disinfecting must not be allowed to become a potential source of contamination for food products. Chemical products must not be improperly or unnecessarily stored in processing areas, as this could hinder cleaning and disinfecting.

Compliance Guide

Chemical products used for lubrication or for cleaning and disinfecting must be properly labelled and stored in a weatherproof location that is maintained in good repair and kept clean. This may include locations outside the establishment. Chemicals must not be stored in close proximity to supplies or materials, or in such a way as to possibly contaminate food products.

Substances that are toxic or have a strong odour must not be stored in a processing area.

2.5 Chemical Storage Assessment Guide – Schedule II

Products Used for Lubrication, Cleaning or Disinfection

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
clearly labelled as to its use	do not use	chemicals not properly labelled (7)	Not Generally Applicable
stored in an appropriate location	chemicals not stored in designated location (9)	chemicals stored in an area where if knocked over or spilled could contaminate product, ingredients or packaging materials (7)	Not Generally Applicable
used only by persons trained to use or apply in a manner that prevents contamination of fish or contact surfaces	chemicals being used or applied by untrained persons (9)	chemicals used in a manner or for purposes other than described on the label (7)	chemical solution too strong - no rinse direct contact (3)
Unnecessary material or equipment not stored in process area	chemicals not in use stored in process area (9)	chemicals not in use stored in process area when it impedes plant sanitation (5)	Not Generally Applicable
No odiferous or toxic substances shall be stored in a process area	do not use	odiferous substance stored in a process area (7)	toxic substance stored in process area (3)

2.6 Temperature Control and Storage of Fish

Regulations

Schedule II, Section 16

(1) Fish shall be kept iced or chilled and protected from contamination before processing in the establishment and, if the type of process operation conducted so requires, shall be washed before processing.

(2) Cold storages shall maintain the temperature of fish at -18°C or colder.

(3) Coolers shall maintain fish at a temperature from 4°C to -1°C

Schedule II, Section 17

(1) Processed fish shall be stored in locations designated in the quality management program in order to preserve its quality and safety.

Schedule II, Section 18

Frozen fish shall be handled and protected in an establishment to ensure that the temperature of the fish does not increase more than 5.5°C during the time the fish:

a) is removed from cold storage and returned to it unless the frozen fish is thawed for further processing; or

b) is placed on a conveyance equipped with cold-storage capability.

Intent

Raw and processed fish products must not be allowed to become contaminated during handling and storage. Unprocessed fish must be kept cool to prevent microbial growth and spoilage and be protected from contamination. Frozen fish must be kept frozen with only minor fluctuations in temperature to prevent microbial growth and spoilage.

Compliance Guide

Landing or receiving and unloading of raw materials intended for processing must proceed quickly. Fresh fish intended for further processing must be cooled rapidly to an appropriate temperature and protected from contamination. Processed fish must also be stored at a suitable temperature.

Fresh or unfrozen fish, cooked and chilled crustaceans, and all molluscan shellfish must be kept between -1° and 4°C (between 30° and 39°F). Allowances must be made for the fact that the temperature of the fish or shellfish may rise slightly above 4° , due to operating conditions. It is important that these rises in temperature must be kept as brief as possible, in order to minimize the hazard of bacterial growth.

Certain other processes, such as pre-depuration holding or post-cooking cooling, may require different holding temperatures.

Areas where processed fish is stored and surfaces that come in contact with fish after processing must be kept in a clean and sanitary condition. Frozen fish and fish products must be stored at an even temperature of -18°C (0°F) or lower; however, to maintain a high level of fish quality, it is strongly recommended that they be stored at a temperature of -26°C (-15°F). When frozen fish are temporarily removed from storage or loaded onto a conveyance with cold storage, their temperature must not be allowed to fluctuate more than 5.5°C (10°F). An exception is fish that is thawed or partially thawed for further processing, and subsequently subjected to proper refrigeration

**2.6 Temperature Control & Storage of Fish
Assessment Guide – Schedule II**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
fish iced or chilled and protected from contamination before processing in the establishment. Fish washed before processing if required.	fish not washed when required (9)	fish not protected from contamination in the establishment (7) fish not iced or chilled (7)	Not Generally Applicable
cold storages maintain fish at -18°C or colder	Assess in Section 1.8	Assess in Section 1.8	Assess in Section 1.8
coolers maintain fish from 4°C to -1°C	Assess in Section 1.8	Assess in Section 1.8	Assess in Section 1.8
processed fish stored in location designated by QMP to preserve quality and safety	fish stored in location that could affect its quality or safety (9)	fish stored in location that has resulted in it becoming tainted or decomposed (7)	fish stored in location that has resulted in it becoming unsafe or unwholesome

Frozen fish handled so temperature does not increase more than 5.5°C from time fish:

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
(a) is removed from cold storage and returned (unless thawed for processing)	do not use	frozen fish outside of cold storage increases in temperature by more than 5.5°C (7)	Not Generally Applicable
(b) is placed on conveyance with cold storage capability	do not use	frozen fish placed on conveyance with no cold storage capability (7)	Not Generally Applicable

2.7 Utensils

Regulations

Schedule I, Section 25

Utensils and cutting surfaces shall be constructed of non-corrodible, non-absorbent, smooth, impervious and washable material that is maintained in a sound condition for ease of cleaning and disinfection.

Intent

Utensils must not be allowed to become a potential source of contamination for food products. Wood, since it can harbour micro-organisms, must not be used in processing areas or allowed to come in contact with the food products.

Compliance Guide

All utensils and cutting surfaces used in processing or holding areas must be designed and constructed so that they can be easily cleaned and disinfected. Wood is not an acceptable material for cutting boards, or the handles of utensils; this includes knives, forks, shovels, brooms, squeegees, rakes, etc.

The use of wire mesh may be acceptable provided the wire is of a non-corrodible material and the design allows the mesh to be properly cleaned and disinfected. Mesh with bare galvanized wire or mesh with twisted joints is not acceptable. Examples of wire- mesh construction that are acceptable include welded square mesh of stainless steel wire or welded square mesh employing mild steel wire that has been covered with an approved plastic coating.

Enamelled utensils are not acceptable in processing operations.

2.7 Utensils
Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
Utensils and cutting surfaces of approved material and maintained for ease of cleaning and disinfection	<p>worn brooms brushes that may shed bristles (8)</p> <p>flaking paint, mould or rust in a location not likely to affect product or packaging(6)</p>	<p>knives, shovels, brooms, fish pushers etc. have wooden handles (5)</p> <p>knives, shovels, brooms, fish pushers etc. worn, scored or damaged so they can't be cleaned (5)</p> <p>utensils stored in inappropriate location (on the floor, not in racks or on hooks) (5)</p> <p>scored plastic cutting boards, handles, covers etc. (5)</p> <p>wooden cutting boards (5)</p> <p>dip nets or any other utensils made from braided rope or string (i.e. non monofilament) (5)</p> <p>enamelled utensils (5)</p> <p>wire mesh scouring pads (5)</p> <p>flaking paint, mould or rust of a degree and in a location that could fall on fish or packaging (non RTE) (7)</p>	<p>flaking paint, mould or rust of a degree and in location that could fall on RTE fish or packaging (2,3)</p> <p>flaking paint, mould or rust that does fall on non RTE fish or packaging</p>

2.8 Conveyors

Regulations

Schedule I, Section 26

(1) Conveyors in contact with fish shall be maintained in a sound condition for ease of cleaning and disinfection, be constructed of non-corrodible, non-absorbent, smooth, impervious, light-coloured and non-toxic materials or non-corrodible, non-absorbent, impervious and non-toxic wire mesh or chain link and, if necessary, be equipped with effective spray washers and scrapers.

(2) Conveyors that are used for loading finished and packaged products into conveyances may be made of mild steel or other similar material and shall be maintained in a sound condition for ease of cleaning and disinfection.

Intent

Conveyors must not be allowed to become a potential source of contamination for food products. Conveyors in contact with fish must be constructed and maintained such that they can be easily cleaned and disinfected.

Compliance Guide

Conveyors must be made of acceptable materials and maintained in a sound condition so that they can be easily cleaned and disinfected. Conveyors in contact with fish must be cleaned regularly when in use. Ways that this may be achieved include the use of water sprayers, air sprayers, scrapers, manual spraying, or dips. Exceptions to this can be made only when it can be shown that sanitary conditions can be maintained through some other means.

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
conveyors in contact with fish constructed of approved material and maintained for ease of cleaning and disinfection		damage to conveyor which is difficult to clean (5) unapproved material (5,7)	Not Generally Applicable
equipped with spray washers and scrapers if necessary	no spray washers or scrapers when necessary (8) (if conveyors dirty then rate under 2.1)	Not Generally Applicable	Not Generally Applicable
conveyors for loading packaged or finished product maintained for ease of cleaning and disinfection	frayed belt (8)	conveyors which damage packaging material such that product inside may be exposed belt frayed such that cleaning is impeded	Not Generally Applicable

2.9 Pallets

Regulations

Schedule I, Section 27

Pallets used as equipment in a processing area, such as foot stands, stands for vats and pan racks, shall be constructed of non-corrodible, non-absorbent, smooth, non-toxic and washable materials, and be maintained in a sound condition for ease of cleaning and disinfection.

Schedule II, Section 15

(1) Subject to subsection (2), no person shall use wooden pallets in an establishment for any purpose other than:

- a) to handle or transport boxed or otherwise containerized raw material in a holding room; or
- b) to transport ingredients, additives, packaging material, raw material, labels, semi-processed saltfish, or packaged, boxed or otherwise containerized finished products into or out of a processing area.

2) Wooden pallets may be used for the press piling of saltfish or the processing of salmon roe if a barrier of material acceptable for food contact is placed between the wooden pallet and the fish.

(3) Every pallet shall be clean and maintained in a sound condition.

Intent

Pallets must not be allowed to become a potential source of contamination for food products. Wood, since it can harbour micro-organisms, must not be used on a continual basis in processing areas or allowed to come in contact with food products.

Compliance Guide

Pallets used in a processing area must be made of acceptable materials and maintained in a sound condition so that they can be cleaned and disinfected. Wooden pallets may be used for the purposes listed in the regulations. They may be used in coolers and cold storages to hold packaged final products, but fish held prior to packaging should not be held on wooden pallets (with the exceptions stated in the regulations for saltfish and salmon roe).

2.9 Pallets

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
pallets used as equipment in a processing area are made of approved material and are maintained for ease of cleaning and disinfection	damaged pallets in use in process area (8)	pallets of unapproved material (i.e. wood) used as equipment in process area (5)	Not Generally Applicable

Assessment Guide – Schedule II

Wooden pallets used only to:

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
(a) handle or transport boxed or otherwise containerized raw material in a holding room or (b) transport ingredients, additives, packaging material, raw material, labels, semi-processed saltfish, or packaged, boxed or otherwise containerized finished products into or out of a processing area	do not use	unapproved use of wooden pallets(5)	Not Generally Applicable
acceptable barrier between pallet and fish when wooden pallet used for press piling saltfish or processing salmon roe	no barrier in place between fish and pallet it is on when required (9)	pallets of salt fish stacked on top of each other with no protective barrier between pallets (7)	Not Generally Applicable
every pallet clean and maintained in sound condition	shipping pallets not clean (8)	pallets in process areas not clean (5)	Not Generally Applicable

3.1 Water Supply

Regulations

Schedule I Section 14

(1) Adequate supplies of water that meet one of the following requirements shall be provided in every establishment under a minimum operating pressure of 140 kPa for fish processing, establishment cleaning and disinfection, ice making, employee sanitation and personal hygiene and the operation of toilets:

a) the water has a coliform bacteria count, determined by a method acceptable to the President of the Agency, of not more than 2 per 100 millilitres; or

b) the water is derived from a source approved by the President of the Agency.

(2) For the purpose of providing a safe and sanitary supply of water to an establishment, an inspector may require that water supply sources be chlorinated or otherwise treated.

(3) Despite subsection (2), the President of the Agency may allow live shellfish to be held in an establishment in untreated water derived from a source approved by the President if:

a) the median or the geometric mean of the faecal coliform most probable number in the water does not exceed 14 per 100 millilitres and not more than 10% of the water samples exceed a faecal coliform most probable number of 43 per 100 millilitres, as determined by a method acceptable to the President; and

b) the use of the water poses no threat of cross-contamination in the establishment.

(9) An establishment may use water that does not meet the requirements of subsections (1) to (3) for fire protection, boilers or auxiliary services if there is no connection between the other water systems providing water to the establishment and all feed lines and pipes are clearly labelled or coloured so that the purpose of each is readily discernable by an inspector.

(10) Adequate supplies of hot water at a temperature of at least 43°C shall be provided throughout processing areas for cleaning and disinfection and at all handwash stations.

(11) Hoses and other water-delivery devices in ready-to-eat fish and shellfish process operations shall be equipped with backflow preventers or vacuum breakers.

(12) Each operator of an establishment constructed after the coming into force of this Schedule shall keep and make available to an inspector, blueprints or other suitable drawings or sketches that show all water supply and water waste disposal systems, including sources of supply, intake locations, piping runs, treatment systems employed, location of water-sampling valves for the taking of water samples before and after its treatment and the outfall or sewage hook-up locations.

Intent

Water must not be allowed to become a potential source of contamination for food products. Clean, uncontaminated water is essential for use in cleaning and processing.

Compliance Guide

An adequate supply of clean water must be supplied for processing and sanitation purposes. The water must show a bacterial coliform count, based on standard bacteriological analysis, of two per 100 millilitres (mL) or less, or else its use must be approved by the CFIA. Approval will be based on the general sanitary and environmental conditions of the area, giving consideration to potential sources of chemical and bacterial contamination, and the presence of mud, silt or other material in the water. These requirements apply to municipal water supplies as well.

All source intakes must be located in a manner that prevents contamination of the water, and storage tanks must be designed to prevent contamination as well.

When the water source is not protected from human or environmental contamination or may be exposed to contamination from time to time, chlorination or some equivalent treatment (such as UV light or filtration) is required. In addition, chlorination of water (or other treatment) must be carried out when it is deemed essential by the CFIA.

Health Canada policy states that residual chlorine in the processing water may not exceed 10 ppm (mg/L), when the water will come into direct contact with fish. The use of chlorine is limited to the disinfection of water supplies and as an aid in sanitation. Higher concentrations may be used in sanitation procedures, provided the water does not contact fish directly. The direct application of excessive levels of chlorine to fish or fish products for the purposes of disinfecting the product is not permitted.

In general, chlorination alone is adequate for water with less than 100 coliform per 100 mL), while chlorination and filtration is needed for water with more than 100 but less than 4,000 coliform per 100 mL. Grossly contaminated sources of water (over 4,000 coliform MPN (most probable number) per 100 mL) will not be approved.

The application of ozone to the water supply is permitted as an acceptable water treatment provided that the following conditions are met:

1. The amount of ozone added to the water does not exceed the minimum required to effectively reduce the microbial levels in the water (including water to make ice) to acceptable levels in accordance with Good Manufacturing Practices (GMPs). (A processor and the manufacturer of the ozone generating equipment should determine and validate the amount of ozone needed to achieve disinfection and no more than that amount would be added).
2. The concentration of residual ozone in the water that may come into direct contact with the fresh food is negligible (i.e., as indicated above, GMPs would be applied and no more ozone other than that which is needed for disinfection would be applied to the water resulting in minimal or no residual ozone).
3. If present, residual ozone in the water would not bring about a change in the characteristics of the fresh food.
4. The ozone in the system is not used for the purpose of preservation of the fresh food.

Water used for depuration must have a coliform count of less than two per 100 mL after treatment. The quality of the untreated water must be as good or better than that of the harvest area.

The use of untreated water for holding live fish is acceptable, provided that:

- a) the source is approved by the CFIA,

- b) there is no cross-connection to any approved system,
- c) the holding tanks are situated in an area where no other fish processing operations are being carried out, and
- d) there is no danger of the overflow from the holding tanks contaminating the floors and processing equipment in other rooms of the facility where processing operations are being carried out.

The water supply in ready-to-eat and shellfish processing operations must be protected against backflow and back siphonage. All outlets subject to back siphonage must be equipped with a vacuum interrupt-type backflow prevention device.

For requirements for retort cooling water, please refer to Chapter 5.2/6.2, *Canneries, of the Facilities Inspection Manual*.

**3.1 Water Supply
Assessment Guide – Schedule I**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
adequate water supply with sufficient pressure provided for processing, cleaning, toilets, etc.	do not use	insufficient water supply/pressure for processing, cleaning, toilets etc. (5)	no water for process operations (4) no water for cleaning operations (4) no water for hand washing (4)
(a) bacteriologically acceptable at point of use	do not use	do not use	
(b) source approved	do not use	do not use	
sources chlorinated or otherwise treated if necessary	do not use	do not use	water treatment system not functioning when required (i.e. no chlorine residual, UV or ozone treatment system not functioning, etc.)(2,3,4)
May use approved, untreated water for live shellfish if (a) bacteriologically acceptable (overlay standard)	do not use	do not use	
May use approved, untreated water for live shellfish if (b) no threat of cross contamination	do not use	do not use	
unapproved water used for boilers etc. has no connection to approved water system. All feed lines and pipes clearly labelled.	do not use	do not use	
adequate supply of hot water provided	hot water less than 43°C (9)	no hot water for hand washing (5)	Not Generally Applicable
hoses and other water delivery devices in ready-to-eat and shellfish operations equipped with anti-backflow preventers or vacuum breakers	do not use	each hose not equipped with anti back flow devices in shellfish and RTE operations (7)	Not Generally Applicable
*detailed blueprints of water supply and outfall/sewage hook-up locations available for inspection.		Not Generally Applicable	Not Generally Applicable

* New Construction Only

3.2 Steam

Regulations

Schedule I Section 14

(4) Steam

- a) directly in contact with fish shall not contain any substance that is a hazard, and
- b) shall be supplied in adequate quantities for retorting and any other purpose as specified in the establishment's quality management program

Intent

Steam used for cooking or disinfection comes into direct contact with equipment and product and therefore must not be allowed to become a potential source of contamination.

Compliance Guide

An adequate supply of steam must be provided at sufficient pressure when required for the operations of an establishment. Steam used for cooking or disinfecting must not contain any hazardous substances. Boiler additives must be approved for contact with food products.

Steam used in canning operations must meet the requirements of Chapter 5.2/6.2, *Canneries, of the Facilities Inspection Manual*.

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
steam in contact with fish has no hazardous substances	do not use	do not use	unapproved boiler additives (3)
supplied in adequate quantities for the purpose	insufficient steam but not serious or critical (8)	insufficient steam for a cleaning process (5)	insufficient steam for a product preservation process (2)

3.3 Ice

Regulations

Schedule I Section 10

(5) Despite subsection (1), ice screws or augers that are in contact with ice may be constructed of galvanized metal.

Schedule I Section 14

(5) Ice making or ice storage facilities shall:

- a) be operated in a manner that minimizes frost build-up;
- b) be maintained in a sound condition for ease of cleaning and disinfection; and
- c) if constructed after the coming into force of this Schedule, be built in accordance with sections 3 to 8 of this Schedule.

(6) No ice making facility or ice storage facility constructed after the coming into force of this Schedule shall use wood on any surface that makes contact with ice.

(7) Ice that is for use in an establishment shall be handled and transported in a manner that prevents its contamination.

(8) No ice shall be used in an establishment unless it has been made from water that meets the requirements of this Schedule and is stored in a manner that prevents its contamination.

Intent

Ice comes into direct contact with equipment and food products and therefore must not be allowed to become a potential source of contamination.

Compliance Guide

Ice must be made with acceptable water. All ice making and storing facilities must be cleaned and disinfected as often as required by operating conditions.

Ice making or storing facilities constructed after April 1999 must comply with the requirements described previously for floors, drains, walls, ceilings, overhead fixtures, and windows (Sections 1.2-1.6 of this document). Wood is not permitted as a construction material for any surface that comes in contact with ice.

Ice must be handled and transported, both inside and outside the establishment, in a manner that prevents its contamination. If personnel are required to enter a bulk ice storage area and/or walk on the ice, then clothing and footwear must be clean and sanitized prior to entry. Single use foot coverings, smocks, and or dedicated clothing may be used.

The use of galvanized metal for screws or augers that are in contact with ice will be permitted provided that it does not result in contamination of the ice.

**3.3 Ice
Assessment Guide – Schedule I**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
(a) ice making/storage facilities operated in a manner that minimizes frost build-up	frost build up on ice making unit (9)	Not Generally Applicable	Not Generally Applicable
(b) ice making/storage facilities maintained for ease of cleaning and disinfection	do not use	bare wood walls/ceiling (7) exposed fibreglass insulation (7)	Not Generally Applicable
* (c) ice making/storage facilities shall be constructed as per sections 3-8			Not Generally Applicable
*ice contact surfaces of ice making/storage facilities not constructed of wood	do not use		Not Generally Applicable
ice handled in a manner that prevents its contamination	do not use	dirty totes/containers/utensils used to handle ice (7) ice not covered or protected (7) dirty footwear/clothing in contact with ice(5)	contaminated totes/containers/ trucks used to handle ice
all ice used is made from approved water and stored in a manner that prevents its contamination	do not use	ice not stored in a manner to protect from contamination (7)	ice contaminated in storage

* New Construction Only

4.1 Sanitation Program

Regulations

Schedule II Section 1

Every establishment shall implement and comply with its sanitation program.

"sanitation program" means a written program, describing sanitation practices, developed for a registered establishment or for the establishment, conveyance or equipment of a holder of a fish export licence. The purpose of a sanitation program is to ensure that the employees of the establishment or the users of the conveyance or equipment use proper sanitation and hygiene practices, and that the establishment, grounds, equipment or conveyances are maintained in a clean and sanitary condition and free from serious contamination and insect and animal pests.

"serious contamination" means any condition or deficiency that results, or is likely to result, in an unacceptable risk to the consumer or in tainted, decomposed or unwholesome fish.

Intent

All fish processing establishments must implement their documented sanitation program. Food products must not be allowed to become contaminated as a result of poor or inadequate sanitation

Compliance Guide

A registered establishment must have and implement a written sanitation program, documenting the cleaning and disinfecting procedures employed, as part of its QMP.

Details of what is required in a sanitation program can be found in the Interpretive Guidelines in Chapter 3, Subject 4 of the *Facilities Inspection Manual*, under Prerequisite Plan.

Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
employees use proper sanitation and hygiene practices		employees wiping/picking nose at process line (7) hoses used in a manner such that over spray or ricochet could contaminate product (non RTE) (7)	gross improper hygiene practices (1,2,3,4) hoses used in a manner such that over spray or ricochet could contaminate product (2)
no serious contamination	do not use	do not use	
establishment, grounds, equipment and conveyances free from insect and animal pests		evidence of animal pests (i.e., not insects) inside plant (7) excessive flies in process areas (7)	evidence of non insect pests (droppings, urine, etc.) in or on product, on product contact surfaces or in packaging (3,4)

4.2 Cleaning and Disinfecting

Regulations

Schedule II Section 2

(1) Equipment and material used to clean and disinfect an establishment and processing equipment shall be provided in adequate quantities and be conveniently located in the establishment.

(2) Any product used for the lubrication of fish processing equipment or machinery and any product used for cleaning and disinfection shall be clearly labelled as to its use, stored in an appropriate location and only used by a person trained to use or apply it in a manner that prevents contamination of fish or contact surfaces.

Schedule II Section 11

(2) Unnecessary material or equipment shall not be stored in a processing area.

Intent

Cleaning and disinfecting equipment and supplies must be available to ensure that the sanitation program can be carried out as written. Chemical products for use in cleaning and disinfecting must not be allowed to contaminate food products.

Compliance Guide

Brushes, brooms, hoses and other equipment and materials needed for proper cleaning and disinfecting, in accordance with the establishment's sanitation program, must be available in adequate quantities at all times. Cleaning equipment must be constructed of approved materials; wooden-handled cleaning equipment is not acceptable.

There must be adequate facilities for the sanitary storage of hoses and other cleaning equipment.

All chemical products used in processing areas for the operation of equipment or for cleaning and disinfecting must be listed in the establishment's sanitation program, and their use must be identified.

For a listing of cleaning and disinfecting products that have been found by the CFIA to be acceptable for use in food processing establishments, refer to the *Reference Listing of Accepted Construction Materials, Packaging Materials, and Non-Food Chemical Products*.

Health Canada has approved the use of ozone for the sanitation of food contact surfaces.

Persons using chemical products should receive training, which can include on-the-job training, on the use of cleaning agents and disinfectants. These persons should be familiar with handling practices and the proper use of all the chemicals included on the processor's list.

**4.2 Cleaning & Disinfecting
Assessment Guide – Schedule II**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
cleaning and disinfecting equipment and material provided in adequate quantity and conveniently located.	insufficient equipment and material provided (8)	no equipment and material provided (5)	Not Generally Applicable

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
Products used for lubrication, cleaning or disinfection			
clearly labelled as to its use	Assess in Section 2.5	Assess in Section 2.5	Assess in Section 2.5
stored in an appropriate location	Assess in Section 2.5	Assess in Section 2.5	Assess in Section 2.5
used only by persons trained to use or apply in a manner that prevents contamination of fish or contact surfaces	Assess in Section 2.5	Assess in Section 2.5	Assess in Section 2.5

unnecessary material or equipment not stored in process area	Assess in Section 2.1	Assess in Section 2.1	Assess in Section 2.1
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4.3 Pest Control

Regulations

Schedule II Section 4

Pesticides or any other animal control products shall be applied in a manner that prevents the contamination of fish, packaging, labelling materials and ingredients.

Schedule II Section 5

Animals are not permitted inside an establishment

Intent

Pests and other animals must not be allowed to become a potential source of microbial contamination or foreign matter for food products. Pest control products must not be allowed to become a potential source of chemical contamination for food products.

Compliance Guide

A registered establishment must set up and implement a pest control program as part of its QMP. Details of what is required in a pest control program can be found in the Interpretive Guidelines in Chapter 3, Subject 4 of the *Facilities Inspection Manual*, under Prerequisite Plan.

Protective devices such as rodent-proof drain outlets and tight-fitting doors must be provided. Fly stickers, insecticidal wall paints, insecticidal strips, automatic dispensers of aerosol insecticides and continuous vaporizers of insecticides must not be used in processing areas, and pesticides must not be stored in processing areas. The use of electrical devices to control flies and other insects is acceptable provided they are equipped with a catch basin and are properly located and maintained in order to eliminate the risk of contaminating food products. Care must be taken when using pest control products in processing areas to prevent dead insects from falling on operating processing equipment and food products.

Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
pesticides and other animal control products applied in a manner that prevents contamination of fish, packaging, labelling materials, ingredients	bug light not operational (8)	pesticides or other products applied or located in a fashion which could contaminate product, packaging, ingredients (7) Electrical insect control devices or capture type bug lights over process line (7) devices not regularly maintained and cleaned (7)	pesticides or other products applied or located such that product, packaging, ingredients are contaminated (3)
animals not permitted inside an establishment	do not use	presence of animals or evidence of animals (i.e. foot prints, droppings etc.) inside processing and support areas (7) excessive numbers of insects	Not Generally Applicable

4.4 Offal

Regulations

Schedule I Section 15

(1) Receptacles for the effective disposal of fish offal shall be provided, be clearly marked "For Offal Only" or with other similar wording or be colour coded, and be:

- a) equipped with tight-fitting covers, as applicable;
- b) constructed of non-absorbent and non-corrodible materials and kept in a sound condition for ease of cleaning and disinfection; and
- c) if stored outside the establishment, placed on a concrete pad sloped to a drain.

(2) Continuous offal handling systems that carry offal on conveyors or flumes to offal bins shall be constructed so that they pose no threat of contamination to the processing areas or to fish being processed and must:

- a) be equipped with tight-fitting covers;
- b) if located inside the processing areas, be constructed of non-absorbent and non-corrodible materials and kept in a sound condition for ease of cleaning and disinfection;
- c) if located outside the processing areas, be kept in a sound condition for ease of cleaning and disinfection and may be constructed of mild steel or other suitable non-absorbent metal; and
- d) if delivering offal to the interior of the offal bin, be located over or surrounded by a concrete pad of suitable size sloped to a drain.

(3) Vessels, barges or conveyances may be used to store or transport offal to designated gurry grounds or fish meal plants if they are operated in a clean and sanitary manner.

Schedule II Section 6

Fish Offal shall be:

- a) collected in handling systems, receptacles or conveyances that are not used for the holding or transport of fish intended for processing;
- b) disposed of or stored, before disposal, in a manner that will not attract insect and animal pests, allow the build-up of offensive odours or contaminate the area surrounding the establishment; and
- c) removed from the establishment or grounds under the control of the operator of the establishment as frequently as necessary to maintain the sanitation of the establishment, and as specified in the quality management program of the establishment.

Intent

Fish offal must not be allowed to become a potential source of contamination for food products. Offal must be collected, handled and disposed of in a manner that does not attract pests.

Compliance Guide

Bins or receptacles in which fish offal is stored must be clearly marked, watertight, constructed of metal or other approved material and, where necessary to prevent contamination of the establishment or any food products, must have tight-fitting covers. Containers used along processing lines do not require covers.

Containers, bins, receptacles and conveyances used for offal must not be used for holding or transporting fish intended for processing, or for any materials or utensils used in a food processing operation, unless they are cleaned and disinfected after holding offal as specified in the establishment's QMP. Offal bins stored outside must be placed on a sloped and drained concrete pad, and must not be allowed to attract pests or contaminate the establishment's surroundings.

Continuous systems for conveying offal to a fish meal processing area or other final removal point must be constructed of acceptable materials, maintained in a sound condition, and cleaned and disinfected as often as required. They must be designed and constructed so that offal or liquid waste will not contaminate food products or the processing area, and so that they can be effectively and thoroughly cleaned.

Some forms of offal, such as fish skins for glue manufacture and frames and waste for animal feed, require special handling. These types of waste materials may be held in receiving or holding rooms, provided that this does not affect the sanitary operation of the establishment.

4.4 Offal

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
offal receptacles clearly marked or colour coded	do not use	receptacles not colour coded or marked to differentiate from fish receptacles (7)	Not Generally Applicable
(a) equipped with tight fitting covers, if necessary	offal stored outside with no tight fitting covers (9)	Not Generally Applicable	Not Generally Applicable
(b) made of approved material and maintained for ease of cleaning	do not use	offal receptacles of unapproved material (i.e. wood) in process area (5) broken/damaged offal receptacle in process area (5)	Not Generally Applicable
(c) if stored outside are on a concrete pad sloped to a drain	do not use	no concrete pad (5) no drain (5) improper slope (5)	Not Generally Applicable
continuous offal handling systems properly constructed, located and maintained for ease of cleaning.	if outside, constructed in a manner that does not permit cleaning (9)	if inside, constructed in a manner that does not permit cleaning (5)	Not Generally Applicable
vessels barges, conveyances clean and sanitary		Not Generally Applicable	Not Generally Applicable

Assessment Guide – Schedule II

Fish Offal shall be:

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
(a) collected in handling systems, receptacles, conveyances that are not used for the holding or transport of fish intended for processing	do not use	offal receptacle used for fish (7)	Not Generally Applicable
(b) disposed of or stored before disposal in a manner that does not attract pests, build up offensive odours, or contaminate surrounding area	offensive odours (9)	attracts pests (birds, rodents, insects, etc.) (7) offensive odours if attracting pests (7) contaminates grounds of facility (5)	Not Generally Applicable
(c) removed as frequently as necessary to maintain sanitation of establishment and as specified in their QMP	do not use	offal not removed from process areas of plant at least daily (7)	Not Generally Applicable

5.1 Washrooms

Regulations

Schedule I Section 22

Flush toilets shall be:

- a) present in adequate numbers for both sexes;
- b) conveniently located adjacent to processing areas;
- c) designed so that toilet areas do not lead directly into processing areas; and
- d) equipped with floor drains that will prevent any overflow of water or sewage from entering or contaminating a processing area, unless an inspector determines that there is no risk of serious contamination.

Schedule II Section 12

Handwash and toilet facilities shall be maintained in good operating order and be properly equipped with single-service towels and toilet tissue, and all effluent and sewage shall be disposed of in accordance with local ordinances or, if none exist, in a manner satisfactory to an inspector.

Intent

Adequate, properly equipped and maintained toilets are essential to ensure that potential contamination from sewage is prevented. Routine maintenance and cleaning are also required to avoid potential contamination.

Compliance Guide

Toilets must be provided in sufficient numbers for both sexes. The following scale gives the minimum number of toilets for a given number of employees:

- 1 to 9 employees - 1 toilet
- 10 to 24 employees - 2 toilets
- 25 to 49 employees - 3 toilets
- 50 to 100 employees - 5 toilets
- every 30 employees over 100 - 1 toilet

The number of toilets for men can be reduced by one for each urinal installed, as long as it is not reduced below two-thirds of the appropriate number specified above.

Where the number of employees is small enough that a single washroom is adequate, separate facilities for men and women are not required.

Toilet facilities must be close enough to processing areas that they can be conveniently used by employees.

Toilets cannot lead directly into food processing areas. Entrances to toilet rooms from the processing area are acceptable provided that the toilet rooms are equipped with an anteroom which separates them from the processing area. Toilet rooms must be equipped with drains or be otherwise designed to eliminate overflows of water or sewage so that there is no possibility of contaminating processing areas.

Chemical and portable toilets are generally unacceptable. However, in exceptional circumstances or remote locations where it can be shown that this is the best alternative, their use may be allowed, provided that they are maintained in a clean and sanitary condition.

Sewage and effluent should be disposed of into an approved municipal system whenever possible. In areas remote from municipal or public facilities, sewage must be disposed of in an acceptable manner, according to local ordinances where they exist.

Hand-washing facilities in washrooms must be properly equipped with liquid or powdered soap and single-service towels. Hand-washing reminder signs should be posted. Although strongly recommended, handwash sinks in washrooms need not be hands free. The employee will be using a hands free sink in the process area before returning to work.

Waste receptacles must be available in washrooms, and must be maintained in a clean and sanitary condition.

Toilets and hand-washing facilities must be maintained in good operating order and must be cleaned and disinfected as often as needed.

**5.1 Washrooms
Assessment Guide – Schedule I**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
(a) flush toilets available in adequate numbers	insufficient number of flush toilets provided (9)		no toilets available (4)
(b) flush toilets are conveniently located		Not Generally Applicable	Not Generally Applicable
(c) flush toilets do not lead directly into processing areas	flush toilets lead directly to process area (9)	Not Generally Applicable	Not Generally Applicable
(d) flush toilets have floor drains or do not pose risk of leakage into process areas		no drains, leakage could get to process area (5)	Not Generally Applicable

Assessment Guide – Schedule II

Toilet facilities are:

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
maintained in good operating order	plugged toilet (8)	toilet backed up, waste material collecting (5)	overflowing, waste material on floor
	toilet won't flush (8)		
equipped with toilet tissue		no toilet tissue (5)	Not Generally Applicable
effluent and sewage disposed of in accordance with local ordinances	do not use	effluent not properly disposed of (7)	sewage not properly disposed of in or near plant (3,4)

5.2 Hand Washing and Disinfecting

Regulations

Schedule I Section 23

- (1) Washbasins shall be equipped with non-hand-operated taps.
- (2) Washbasins and other facilities or materials necessary for employee hygiene shall be:
- a) provided in adequate quantities, and
 - b) conveniently located in or visible from processing areas.

Schedule II Section 3

- (3) No person shall:
- a) handle or process fish unless they first wash their hands with single-service soap, wash or rinse their waterproof protective clothing, and disinfect their hands or hand coverings if either will come into direct contact with fish; or
 - b) after leaving a production line, return to it unless they first wash their hands with single-service soap, wash or rinse their waterproof protective clothing, and disinfect their hands or hand coverings if either will come into direct contact with fish.

Schedule II Section 7

Equipment and material provided to clean and disinfect protective clothing and footwear such as handdips and footdips shall be provided in adequate quantities and be conveniently located in processing areas.

Schedule II Section 12

Handwash and toilet facilities shall be maintained in good operating order and be properly equipped with single-service towels and toilet tissue, and all effluent and sewage shall be disposed of in accordance with local ordinances or, if none exist, in a manner satisfactory to an inspector.

Intent

Good personal hygiene practices are essential for preventing contamination of food products with micro-organisms associated with sewage or human disease or infection. In addition, hands, gloves and footwear must not be allowed to become potential sources of contamination.

Compliance Guide

Processing areas must be supplied with washbasins in adequate numbers for employee hygiene, either in the processing area or in a visible location nearby. One washbasin for every ten employees is a minimum requirement. Washbasins should be a minimum size of 61 cm (24 inches). In trough-style facilities, sets of individual faucets 61 cm (24 inches) apart would each be considered equivalent to one washbasin.

If a sink is not provided in the washroom itself, then one, appropriately equipped with hot and cold running water, soap, single use towels and a garbage container, must be provided in the immediate vicinity (within eyesight of leaving the washroom), along with appropriate signage to remind staff to wash their hands prior to returning to the process area.

Hand-washing facilities must be equipped with non-hand-operated taps, hot and cold (or tempered) running water, liquid or powdered soap, and single service towels or air dryers. Elbow operated taps do not meet this requirement. Washbasins must be properly plumbed to drains. Hand-washing facilities must be maintained and cleaned and disinfected on a routine basis.

Every person involved in the preparation and handling of fish must wash their hands and disinfect their hands or hand coverings when they begin working and every time they come back to the processing area after an absence or when required by the establishment's QMP. If the forearms are not covered by protective clothing, they must be washed and disinfected if they may come into direct contact with the fish.

Facilities must be provided in a convenient location in processing areas to allow for the disinfecting of hands or hand coverings. Footdips must be provided to allow for footwear to be disinfected, in areas such as sanitary zones and restricted access areas, except where it can be shown that this is not required due to the nature of the processing operation.

Product flow should be considered when determining the location of washbasins. Shellfish operations must have at least one handwashing facility in the packing room for use by packing room workers only.

**5.2 Handwashing
Assessment Guide – Schedule I**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
washbasins have non hand operated taps	do not use	wash basin in process area is not hands free (5)	Not Generally Applicable

Worksheet Line Item	Minor	Serious	Critical
Washbasins and other facilities and materials needed for employee hygiene are:			
(a) provided in adequate quantities	insufficient number of hand wash basins (9)	Not Generally Applicable	no hand wash basins (7)
(b) conveniently located in or visible from processing area	not visible from process area (9)	Not Generally Applicable	Not Generally Applicable

Assessment Guide – Schedule II

Worksheet Line Item	Minor	Serious	Critical
No person shall handle or process fish unless:			
they first wash their hands with single service soap	do not use	did not wash hands (7) did not use soap (7) bar soap in use (7)	Not Generally Applicable
they wash or rinse their waterproof protective clothing	do not use	did not rinse apron before handling/processing fish (7)	Not Generally Applicable
they disinfect their hands or hand coverings if either will come into direct contact with fish	do not use	did not use hand dip or disinfectant (7)	Not Generally Applicable

Worksheet Line Item	Minor	Serious	Critical
No person shall after leaving a production line, return to it unless:			
they first wash their hands with single service soap	do not use	did not wash hands (7) did not use soap (7) bar soap in use (7)	Not Generally Applicable
they wash or rinse their waterproof protective clothing	do not use	did not rinse apron before returning to line (7)	Not Generally Applicable
they disinfect their hands or hand coverings if either will come into direct contact with fish	do not use	did not use hand dip or disinfectant (7)	Not Generally Applicable

Worksheet Line Item	Minor	Serious	Critical
Handwash facilities are:			
maintained in good operating order	do not use	damaged, not easily cleaned (7) not operational (7) plugged sink (7)	no operational hand wash sinks
equipped with single service towels	do not use	no towels (7) (mechanical hand dryer permitted)	Not Generally Applicable
effluent disposed of in accordance with local ordinances	sink drains on floor (7)		Not Generally Applicable

5.3 Changing Facilities

Regulations

Schedule I Section 24

Changing facilities for personnel and visitors shall be provided in every establishment that is constructed after this Schedule comes into force.

Intent

Street clothing and personal effects are a potential source of contamination and must be kept from coming into contact with food products.

Compliance Guide

Processing establishments constructed after April 1999 must provide facilities where employees and visitors can store street clothing, footwear, coats, personal effects, lunches, etc., and change into protective clothing before entering processing areas. Change facilities can be combined with lunchrooms where necessary.

For previously existing establishments that do not have change facilities, street clothing, footwear and personal effects must be stored under clean and sanitary conditions, to prevent cross contamination of processing areas of the establishment. Storage of these items should also be arranged so that it does not hinder the cleaning and disinfection of the processing area.

Apron and glove racks must be located such that aprons and gloves can be cleaned and stored under sanitary conditions.

Assessment Guide – Schedule I

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
* Changing facilities provided	Not Generally Applicable		Not Generally Applicable

* New Construction Only

5.4 Protective Clothing

Regulations

Schedule II Section 3

(1) Employees shall wear protective clothing such as coveralls, aprons, sleeves, smocks, hand coverings, hair nets or beard nets that are in a clean and sound condition and suitable for the tasks employees are charged to perform.

(2) No person shall enter a processing area unless the person

a) wears the protective clothing designated in the quality management program and appropriate to the tasks they will perform;

b) ensures that their footwear is clean and sanitary and, if appropriate, uses a foot dip to do so; and

c) wears a hair net and, if appropriate, a beard net.

(3) No person shall:

a) handle or process fish unless they first wash their hands with single-service soap, wash or rinse their waterproof protective clothing, and disinfect their hands or hand coverings if either will come into direct contact with fish; or

b) after leaving a production line, return to it unless they first wash their hands with single-service soap, wash or rinse their waterproof protective clothing, and disinfect their hands or hand coverings if either will come into direct contact with fish.

(4) Immediately on leaving a processing area a person shall remove any protective clothing and store it in a manner that prevents contamination.

Schedule II Section 7

Equipment and material provided to clean and disinfect protective clothing and footwear such as hand dips and foot dips shall be provided in adequate quantities and be conveniently located in processing areas.

Intent

Street clothing, facial hair and footwear are potential sources of contamination and must not be allowed to come into contact with or contaminate food products. Processors must specify in their QMP plans how every person entering the processing area and those directly involved in the preparation and handling of fish products are to be attired. Protective clothing itself must not be allowed to become a potential source of contamination.

Compliance Guide

Operators of registered establishments must determine and specify in their QMP plan the appropriate protective clothing to be worn by all persons involved in the preparation and handling of fish or fish products. All persons entering a processing area must wear protective clothing as specified in the company's QMP plan.

At a minimum, protective gear worn must consist of a smock or coveralls that prevent contamination of fish by street clothing.

Foot dips are required in areas such as sanitary zones and restricted access areas, except where it can be shown that this is not necessary due to the nature of the processing operation.

Hairnets and beard nets are required in those parts of the processing areas where fish products are open or exposed to potential contamination by hair.

When headgear is worn over hairnets, it must be clean and free of pins and adornments.

All protective clothing must be clean at the start of the production shift and maintained in a reasonably clean condition throughout the production period. Protective clothing must be washable or disposable, in good repair, and should be light coloured. To reduce the risk of contamination, protective clothing should be fastened with snaps, velcro, or similar fastenings.

Racks or hooks in adequate numbers must be provided in processing areas. At each break and change of work station, gloves must be sanitized and waterproof garments, sleeves and aprons must be cleaned. Slime and debris must not be permitted to dry and cake on waterproof garments.

Everyone leaving a processing area must remove their designated protective clothing and store it under sanitary conditions, except where it can be shown that this is not required due to the nature of the work being conducted (for example, a forklift operator repeatedly leaving and entering a processing area).

At a minimum, any protective gear which may be exposed to product must be removed when leaving the process area.

Protective garments must be properly stored or hung up, and cannot be placed on processing surfaces or other equipment. Headgear such as hard hats and bump helmets must be properly stored when not in use.

**5.4 Protective Clothing
Assessment Guide – Schedule II**

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
employees wear protective clothing (i.e., coveralls, aprons, smocks, hair nets, beard nets, etc.) that are clean and sound and are suitable for the tasks that they are charged to perform	protective clothing not worn properly (8)	dirty clothing or protective clothing (7) no protective clothing (7) inappropriate protective clothing (7) dirty aprons on rack (7)	Not Generally Applicable

Worksheet Line Item	Minor	Serious	Critical
No person shall enter a processing area unless the person:			
(a) wears the protective clothing designated in the QMP and appropriate to the tasks they will perform.	protective clothing not worn properly (8)	dirty clothing or protective clothing (7) no protective clothing (7) inappropriate protective clothing(7) dirty aprons on rack (7)	Not Generally Applicable
(b) ensures that their foot wear is clean and sanitary and uses foot dip if appropriate	do not use	dirty footwear (7) no foot dip when required (7) foot dip not used when required (7) foot dip solution not maintained (7)	Not Generally Applicable
c) wears a hair net and, if appropriate, a beard net	do not use	no hair net (7) no beard net when required (7) hair net does not cover hair (7)	Not Generally Applicable
protective clothing removed immediately on leaving a processing area and stored in a manner that prevents contamination	do not use	improper storage of protective gear (hanging over equipment, pipes, switches, etc.) (7) protective clothing worn in an inappropriate location (e.g., outside of process area, wash room, etc.) (7)	Not Generally Applicable
equipment and material provided to clean and disinfect protective clothing and footwear in adequate quantities and conveniently located	Assess in Section 5.2	Assess in Section 5.2	Assess in Section 5.2

5.5 Employee Health

Regulations

Schedule II Section 9

No person who is a known carrier of a disease that is likely to be transmitted through food or who is afflicted with an infected wound, skin infection, sore, diarrhoea or any communicable disease, shall work in a registered establishment if there is a possibility of contaminating fish with pathogenic organisms.

Intent

Persons suffering from or carrying communicable diseases are a potential source of microbial contamination, and must not be allowed to infect food products. Open cuts or wounds must be prevented from becoming a source of bacterial contamination.

Compliance Guide

A registered establishment must document its hygiene requirements for employees working in a processing area as part of its sanitation program.

No person is permitted to work in any food handling areas while known to be suffering from, or known to be a carrier of, a disease likely to be transmitted through food or while afflicted with a condition which may result in contamination of the food with pathogenic microorganisms.

All persons having open cuts or wounds must not handle food or food contact surfaces unless the injury is completely protected by a secure waterproof covering.

Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
no known carriers	do not use		
no infected wounds, skin infections, sores	do not use		
no communicable disease	do not use		

5.6 Personal Adornments and Behaviour

Regulations

Schedule II Section 10

A person engaged in the handling or processing of fish shall not wear any jewellery, fingernail polish or personal adornments that could contaminate or become incorporated into fish being processed.

Schedule II Section 11

(1) No person shall smoke, spit, eat, chew gum or store food or other personal items not used in fish processing in processing areas.

(2) Unnecessary material or equipment shall not be stored in a processing area.

Intent

Jewellery, nail polish and other personal adornments must not be allowed to become potential sources of contamination or potentially introduce foreign matter into food products. Smoking, eating and drinking must be eliminated as potential sources of contamination and foreign matter during processing.

Compliance Guide

All persons entering fish processing areas must remove personal adornments, jewellery that can be removed, and any other object that could lead to potential contamination of food products. Any jewellery that cannot be removed must be adequately covered. Medic Alert bracelets or necklaces are permissible.

Persons engaged in the handling or processing of fish must not wear nail polish.

Tobacco, gum, beverages or food for personal consumption are not permitted in processing areas. Personal effects and street clothing are not to be kept in processing areas and must be stored in a manner that prevents product contamination.

Assessment Guide – Schedule II

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
no jewellery or personal adornments that could become incorporated into fish being processed	do not use	jewellery (including watches) not removed (7) jewellery that cannot be removed not covered (7)	Not Generally Applicable
no fingernail polish	do not use		Not Generally Applicable
no smoking, spitting, eating, or chewing gum in process areas	do not use		Not Generally Applicable
no storage of food or other personal items in process areas	food/lunch stored in process area (9)	Not Generally Applicable	Not Generally Applicable
unnecessary material or equipment not stored in process area	Assess in Section 2.1	Assess in Section 2.1	Assess in Section 2.1

6.0 Vessels

Regulations

Schedule I Section 28

Vessels with enclosed processing areas shall have, in addition to meeting other applicable requirements of this Schedule,

- a) a clean and sanitary system for conveying fish from the reception area to the processing area;
- b) storage areas for finished products that are large enough and designed so that they are easy to clean and, if a fish meal plant operates onboard, a separate hold must be designated for the storage of fish meal and other by-products;
- c) adequate equipment for pumping or disposing of processing effluent, cleanup water, waste or fish that are unfit for human consumption directly into the sea or in accordance with any laws regarding ocean dumping, into a watertight tank reserved for that purpose;
- d) adequate equipment for delivering pressurized clean and sanitary seawater for processing, the intake for which must be situated in a position where it is not possible for the water being taken in to become contaminated or affected by discharges into the sea of waste water, waste and engine coolant;
- e) walls, ceilings and non-slip floors that are easy to clean, in particular if there are pipes, chains or electrical conduits;
- f) hydraulic systems arranged or protected in such a way as to ensure that any leakage that could contaminate fish is minimized; and
- g) marine type toilet facilities or other sanitary facilities acceptable to an inspector.

Intent

A vessel with fish processing facilities must be designed, laid out and constructed in such a way that it does not become a potential source of contamination for food products. In addition, the system for conveying fish from reception to the processing area, the walls, ceilings and floors of the processing area, storage areas, solid and liquid waste, and the water used for processing must not be allowed to become potential sources of contamination.

Compliance Guide

Registered processing vessels generally have three distinct areas:

- i) living areas including sleeping quarters and the galley,
- ii) fishing operations areas involved with the harvest and landing of the fish on deck, and,
- iii) processing areas.

The processing areas include the main processing area from the location where the product enters the factory (including the ramp tanks if present) to chutes through which the product enters the cold storage, the packaging storage area, the chemical storage area, and the portion of the cargo hold which houses the frozen storage.

Only the processing areas are subject to schedule I and II requirements

Vessels with enclosed processing areas must meet the applicable requirements for walls, ceilings, floors, drains, and overhead fixtures in processing areas (Sections 1.2 to 1.5 of this document).

Standards for processing water on vessels are the same as those for onshore processing plants.

6.0 Vessels
Assessment Guide – Schedule I

Vessels with enclosed processing areas shall have, in addition to the other applicable requirements of Schedule 1:

Table of example situations			
Worksheet Line Item	Minor	Serious	Critical
a) a clean and sanitary system for conveying fish from the reception area to the processing area			Not Generally Applicable
b) storage areas for finished product that are large enough and easy to clean			Not Generally Applicable
separate storage area for fish meal/by products			Not Generally Applicable
c) adequate equipment for disposing of process effluent, cleanup water, waste	do not use		
d) adequate equipment for delivering pressurized clean and sanitary water for processing	do not use		
a water intake situated in a position where it is not possible for water being taken in to become contaminated by discharges of waste water, waste or engine coolant	do not use		
e) walls, ceilings, and non-slip floors that are easy to clean			Not Generally Applicable
f) hydraulic systems arranged and protected so leakage cannot contaminate fish	do not use		
g) marine type toilets or other satisfactory facilities			Not Generally Applicable