

BRCGS Food Safety

F835: Guidance on completion of Audit report

Change log

Version no.	Date	Description
1	18/1/2019	Updated to reflect the new audit report format for Food issue 8. Replaces document F001.
2	26/04/2019	New BRCGS logo and footer changed.

INTRODUCTION

Objective

The report produced as a result of an audit against the Global Standard Food Safety issue 8 is one of the key outputs from the audit process. It is used both to provide real information for the site, retailers and other customers.

The report format

BRC Global Standards has a set format for the reporting of audits to ensure that consistent information is provided and to make it easier for users of reports to find information within the report. The report is in 3 parts:

1. Audit details
2. Non Conformity and Corrective Action Summary Sheets
3. Detailed audit report (the summary)

All audit reports must be submitted to BRC Global Standards in the prescribed format. All sections of the report must be provided as typed word documents.

The audit checklist

In addition to the final audit report, we provide 'checklists' so that auditors may capture audit notes during the audit. These are optional in their use as internal documents but we expect that in addition to the audit report the auditor notes are retained. They do form part of the audit documentation and should be appropriately handled. They do not need to be provided to BRC Global Standards or users of the scheme unless otherwise requested.

Report language

The report language of parts 1 and 2 shall always be provided in English.

A number of translated report templates are available and a template issued by BRC Global Standards should always be used. Contact us where alternative language templates are required.

The following sections must be completed in English but can include a translation following the English statement:

- Scope and exclusions
- Major changes since last BRC Global Standards audit
- Reasons for deviations from typical audit duration
- Company profile (beware this box has a maximum size of 2,000 characters)
- Finished product safety rationale
- Justification for high risk, high care or ambient high care areas or lack of
- Non-conformity and corrective action details

Where both the auditor(s) and the users of the report require the report in another language, providing the detailed section of the report (part 3, the summary) in the language of the user is acceptable although there may be a requirement to translate parts of the report into English if requested by BRC Global Standards for quality control checks.

Audit Report Templates

Located within the **Templates** Module of the Global Standards Directory (log-in via www.traceonenetwork.com), are a series of blank Audit Report templates. These should be downloaded and the Certification Body logo (in jpeg format) and address details added as appropriate – no other changes are permitted to the audit report template.

Audit Report Functionality

A core function of The Global Standards Directory is the Audit Template import function. This process takes data from a completed audit report and instantly transfers that data to the system. During the automated data extraction process, the database looks for a number of specific areas in the Word document which are then mapped to corresponding areas of the database. Those areas are XML

tagged. It is essential that those areas of the document are completed correctly. Document format, tables, xml tag locations, headers and footers must not be altered.

Document Format

Audit report templates are Microsoft Word documents.

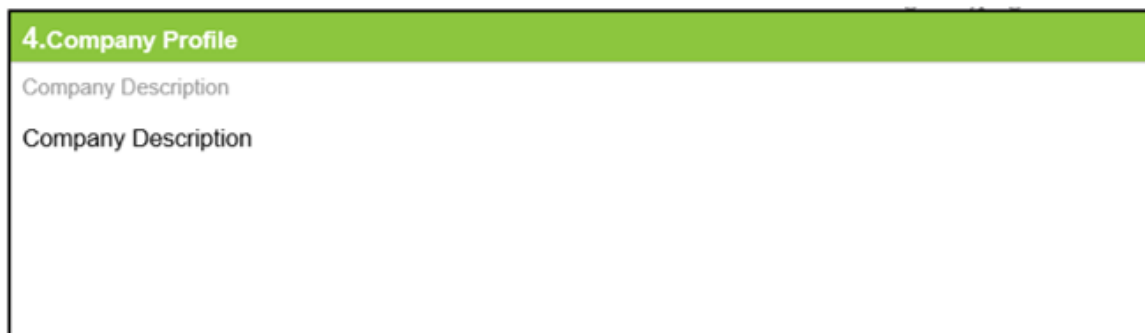
Principles of the template

The templates feature drop down list options to aid consistent completion.

This makes completion errors and therefore upload problems less likely.



Templates also have text fields which automatically expand when typing begins. Pressing return or 'enter' will exit the text box.



Upload Control Points

During the import/upload process – the database will look for two key control points:

1. BRC Site Code:

If the site code in the Audit Template does not match that of the selected site, the upload will be prevented. This ensures that only appropriate audits are linked to a site's record.

2. Auditor Number:

At the final stage of the upload, the database will compare the audit scope with the registered attributes of the auditor(s). The auditor(s) number will generally be 6 digits in length and the auditor(s) profile must be pre-created and contain the correct product categories which have been validated by BRC Global Standards in the database prior to the audit being carried out and upload of the final audit report. Any discrepancy between auditor(s) registered categories and the audit scope categories will result in the audit report being sent to the 'Audits Holding Area' for investigation by BRC Global Standards. Auditor numbers which do not correspond to a validated auditor profile will not allow report upload. Numbers of trainee auditors not yet validated should not be included.

Data format

A number of the text fields will accept specified formats only eg maximum of 6 digits for auditor number, where this is in place it is specified in the detail below. A number of the text fields are mandatory and must be completed in the correct format or the upload will not be successful – these are highlighted in the detail below as **MANDATORY TEXT**.

Some text fields will only accept numbers (integers) for example and some are ‘free text’ meaning that they will accept any combination of characters – words, numbers, punctuation etc.

Some text fields have a maximum number of characters that they will accept (otherwise upload may fail) and this is specified below. Additional characters maybe included in the report outside the textfields but this text will not be uploaded onto the Directory fields.

The template contains text prompts eg ‘choose a region’ ensure any ‘unused’ text is deleted to make the report look tidier but do not delete the text fields.

Additional rows can be added to part 3 (the summary) of the report if there is not enough space to add details to the report.

Date format

The database and Audit Report templates will be used in over 100 countries world-wide and so a universal date format has been adopted. This format should be adhered for all date fields within the document and database:

All dates should be completed in YYYY-MM-DD format

Time Format

All time related fields should be completed as 24 hour clock – i.e. *14.04* rather than *2.04*.

EXPLANATION OF THE INDIVIDUAL SECTIONS OF THE REPORT

1. Audit Summary			
Company name NOT TAGGED 256 characters (free text)	The Bakers Oven	Site Code Integer with 7 digits MANDATORY TEXT	1768780
Site name NOT TAGGED 256 characters (free text)	The Bakers Oven		

Company name should be the name the company is known by and will generally be the ‘audit owner’ ie will have control of the audit report details on the BRC Global Standards Directory and be able to allocate which retailers and customers can view its audit details. The Company may be a single site or maybe a Company group.

Site name should be any distinguishing name of a site within a company group.

It is important that this is set correctly by the Certification Body since this allows a hierarchy of access to the audit reports to be created within the BRC Global Standards Directory database.

Site code can be located in the ‘sites’ listing within the ‘Directory’ tab. If a site code does not exist a new record is created where the site code is generated by the BRC Global Standards Directory. The site code will be unique to that location and will be used for all subsequent audits of that site irrespective of the Certification Body carrying out the audit.

Scope of audit 500 characters (free text)	<input type="text" value="The production of fully baked fresh sliced bread and bread rolls (white and wholemeal varieties)"/> <input type="text" value="De productie van brood en broodjes"/>
Exclusions from scope 500 characters (free text)	None
Justification for exclusion 500 characters (free text)	
Audit Finish Date Drop down date format MANDATORY	2015-07-14
Re-audit due date Drop down date format MANDATORY	2016-07-13

Scope of audit Scopes should be clear, succinct and unambiguous. Scopes should not include brand names, nor a long list of products or processes. The scope should be stated in English within the textfields. Any other language should be included outside the text field as in the example above.

Describing the process

There should be a general outline of the main process, it does not require detail of every step but should use one or two appropriate words to provide enough detail so that the typical product characteristics can be understood.

Example appropriate words are (not an exhaustive list):

aseptic filling, baking, battering, blending, bottling, breading, brewing, canning, coating, cooking, conditioning, curing, cutting, dicing, distillation, drying, extrusion, fermentation, filtering, freeze drying, freezing, frying, grading, hot filling, irradiation, marinating, microfiltration, microwaving, milling, mixing, being packed in modified atmosphere, being packed in vacuum packing, packing, pasteurisation, pickling, portioning, refining, ripening, roasting, slaughtering, slicing, smoking, sorting, steaming, sterilisation, washing, waxing

Use of general terms such as ‘*manufacture*’, ‘*production*’, ‘*preparation*’, or ‘*processing*’ should be used with care but may be acceptable where the resultant products are clear.

Use of the words, for example:

Procurement, intake, receipt, storage, product design and development, handling, dispatch, transport is not required since they are already included within the scope of the Standard and are assessed during the audit.

Storage may be appropriate to use where a separate storage facility, not at the address of the certificated site, is included within scope (within protocol rules).

eg *Packing of washed carrots and storage at the Rabbit Road, Herefordshire facility.*

Use of words such as *sales, marketing, growing, distribution and delivery* are NOT permitted because these are outside the scope of the Standard.

EXAMPLES

✗ *‘Processing of mango and mandarin’* = not acceptable as unclear as to what the ‘process’ is.

✓ Acceptable example = *‘Pasteurisation of mango slices and mandarins segments and aseptic filling into glass packaging’*

✓ Acceptable example = *‘Sorting, grading and packing of mangoes and mandarins’*

✗ *‘Primary production of red and white wines from grape and base wine intake, malolactic fermentation, cold stabilization, blending, storage, filtration to final approved tanks. Secondary processing as carbonation, filling, capping, corking, labelling and packing of red, white and sparkling wines in glass bottles’* = too much detail on sub processes

✓ Acceptable example = *‘fermentation, carbonation and filling into glass bottles of red and white wines’*

Product Types

The products within scope should be clear on the certificate. Products should be ‘grouped’ or words used to clearly define recognisable and international understandable product types. General terms such as ‘dairy’ or ‘meat’ should include clarification of the types of product eg dairy products such as yogurts, cream, ice cream, soft cheese, milk etc; eg red meat including pork, beef and game products – pheasant and rabbit.

Use of product ‘claims’ such as ‘free from’, ‘organic’ or ‘vegetarian’ should not be used in scope wording.

Remember the words used can form the basis of a Directory search by a potential customer looking for a Global Standards certificated supplier.

Refer to the appendix of the Standard ‘product categories’ and ‘product examples’ as a guide to suitable descriptions.

Packaging and product characteristics

Scope wording should include packaging types eg ‘glass’, plastic bottle, pouch, bag in box, cans, drum where it adds clarifying detail to the products produced.

Specific character details such as ‘modified atmosphere’, frozen, chilled should be included.

Production of specific or other certificated products eg organic, halal, vegetarian, specific allergen claim eg ‘gluten free’ ranges should not be included in scope.

Where products include for example, protected designation of origin (PDO) and protected geographical indication (PGI), and are known by a 'common name' eg 'extra virgin olive oil', 'Cheddar cheese' these shall not be considered 'claims' for the purposes of scope wording (i.e. they can be included within the scope)

Traded products

Where traded goods are included within the scope of the audit, the scope shall describe the products traded as 'the trading of

Outsourced processing

Where there is an outsourced production process (i.e. a process that must comply with the requirements of section 3.5.4) this must be described in the scope, for example 'including outsourced [define process] on [define products]'

Exclusions should not be left blank. If there are no exclusions write 'none'. Justification for exclusion must be given for any exclusions from scope and must fit the rules of the Standard:

- the excluded products can be clearly differentiated from products within scope
- AND
- the products are produced in a physically segregated area of the factory.

Exclusions shall be agreed with the certification body in advance of the audit. The certification of products must audit the entire process from raw material to end-product dispatch. It is not possible to exclude either parts of the process undertaken at the site or parts of the Standard.

Note the BRC Global Standards logo can only be used by sites that have no exclusions.

The traded products section is now included in the main standard. Sites may choose to include or exclude Traded products within their audit. If a site acts as a trader of products not manufactured at the site, but does not want this to be included within the scope then this must be listed as an exclusion from scope. Note sites that have excluded Traded products may still use the logo.

Audit finish date should be the last day of the audit.

Re-audit due date should be calculated from the first day of the initial audit.

Additional modules included			
Modules	Result	Scope	Exclusions from scope
Drop down list	Drop down list	Any information on scope or products included as part of the audit, where relevant. For example, the Meat Supply Chain Assurance Module requires the meat species within scope, and any phased implementation of supply chain assessment (e.g. immediate and secondary suppliers Teir 1 and 2 only), to be recorded.	Any details on products excluded from scope – for example the Meat Supply Chain Assurance module allows sites to exclude specific species

Select from the drop down list all the additional modules that have been included within this audit. Additional time should have been added to the audit duration as a result of any included modules. Include the result 'pass or fail' from the drop down list. Outline details of the scope and any exclusions.

Head Office	Drop down list – select yes or no
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Where a separate head office audit has been undertaken select 'yes' from the drop down list, otherwise select 'no'. Any non conformities from the head office audit which have been closed out and will not be included in the total of this site's audit result but shall be recorded within the Additional Modules / Head Office Non-Conformity Summary Sheet tables.

2. Audit Results

Audit result Drop down list MANDATORY	Certificated or not Certificated	Audit grade Drop down list MANDATORY	From AA+ to D as well as 'no grade'	Audit type Drop down list MANDATORY	Announced or Unannounced
Previous audit grade Drop down list		From AA+ to D as well as 'no grade'	Previous audit date Drop down date format		Select a date
Certificate issue date Drop down date format		Select a date	Certificate expiry date Drop down date format		Select a date

Number of Non-Conformities Integers 2 digits	Fundamental	0
	Critical	0
	Major	0
	Minor	2

Summarise the numbers of the types of non-conformities in the box. Where there are no non-conformities of that type specify '0'. This shall sum the non-conformities of the audit only and shall NOT include those from additional modules which do not affect the audit grade.

3. Company Details			
Address NOT TAGGED 8000 characters (free text)	1 Pudding Lane London EC21 5XY		
Country NOT TAGGED Drop down list	UK	Telephone TAGGED 30 characters (free text)	+ 44 (0) 116 2345678
Commercial representative Name 100 characters (free text)	Ed Baker	Email 100 characters (free text)	Baker@oven.co.uk
Technical representative Name 100 characters (free text)	John Smith	Email 100 characters (free text)	Smith@oven.co.uk

Address - the address required is the address of the location of the production facilities audited. Note these fields are not tagged and the details should match that entered in the BRC Directory according to the site code. The Directory requires the 'city', 'region/state' and 'post / zipcode' to be completed (in separate fields) – ensure this is captured on the audit report. Ensure that all addresses are completed in full and do not use abbreviations eg 'New York', not 'NY' – this aids consistency in Directory information and therefore trending and analysis of data.

Country – add standard country description.

Telephone – main telephone number of the site should be given ideally with country code

Commercial representative name and Email address – this should be the nominated contact for commercial queries.

Technical representative name and Email address – this should be the nominated contact for technical queries.

4. Company Profile					
Plant size (metres square) Drop down list of ranges MANDATORY	10-25 K sq. m	No. of employees Drop down list of ranges MANDATORY	51-500	No. of HACCP plans Drop down list Integer 2 digits MANDATORY	1-3
Shift Pattern		Single shift etc			
Subcontracted processes Yes / No MANDATORY		No			
Other certificates held 500 characters (free text) MANDATORY		Organic by Soil Association			
Regions exported to Drop down list MANDATORY		None			
Company registration number		This primarily links to EC numbers for Meat/Dairy processors etc.			
Major changes since last BRC audit 500 characters (free text) MANDATORY		No structural changes. Created new position of QA Manager to support Technical Manager. Recent Investment includes metal detection on all lines and upgrade to weight control systems.			
Company Description 2000 characters (free text) Include a background of the company and how the audit was undertaken where relevant: Ownership of the company e.g. privately owned, public, part of larger company, or explain links to other sites. History, age of company, turnover, production volume, age of site, summary of product and customer types. These need not contain specifics such as 'Walmart' but rather 'major retailer' or information deemed confidential by the site such as turnover but should provide enough detail to the reader to envisage the type of company. Outline the type of specialist equipment or processes on site. Also explain here any audit logistics that are 'out of the ordinary' eg audit undertaken late or early, seasonality of site, head office audited or multiple sites.					

The position statement F806 'calculating audit duration' should be referenced. Choose the relevant range from the drop down list.

Plant Size – must be given in metres square and should be the size of the manufacturing facility including storage facilities on site.

The converter from square feet to metres is 10.76, eg 86,000 feet equals 8,000 metres

Number of employees (of the site including administration) per main shift including seasonal workers – as full time equivalent employees. Details of shifts can be given in the next row and total employee numbers can be given in the company description.

Number of HACCP plans included within scope – a HACCP study corresponds to a family of products with similar hazards and similar production technology

Shift pattern – identify the usual shift pattern indicating number of shifts and typical times e.g. 2 shifts 06:00 - 14:00, 14:00 – 22:00

Subcontracted processes – confirm yes or no if the company uses another company to complete part of the process. This would be where the raw material is supplied by the company (ie still owned) and this is then received back in a finished or part finished state. Details must be given in the company profile.

Other Certifications Held – Give the details of other certifications such as Organic, Halal, ISO 9000 etc that are held by the site

Regions Exported to specified text as a drop down list: None, Asia, North America, South America, Europe, Oceania, Other

Major changes since last BRC audit – outline the relevant major changes eg capital expenditure, structural or personnel changes, new products or processes

Company Description - The company description shall provide an overview of the set up of the company and should include the details above

5. Product Characteristics					
Product categories Drop down list Include Modules MANDATORY		14 – Bakery VM - Meat supply chain assurance			
Finished product safety rationale 500 characters (free text) MANDATORY		Ambient stable, short shelf life (<7 days), baked for 45 minutes to achieve a core temperature of 94°C, Preservative (calcium propionate > 1000ppm)			
High risk Yes / No MANDATORY	No	High care Yes / No MANDATORY	No	Ambient high care Yes / No MANDATORY	No
Justification for area					
Allergens handled on site Drop down list MANDATORY		wheat, milk, soya, egg and sesame seeds			
Product claims made e.g. IP, organic 500 characters (free text) MANDATORY		Organic, gluten free			
Product recalls in last 12 Months Yes / No MANDATORY			No		
Products in production at the time of the audit 500 characters (free text)			Wholemeal sliced bread, soft bake rolls, Roll plant 2 was not operating		

Product Categories – specify category or categories from the drop down list. Note there are 1 -18 food categories, however this also includes the available additional modules which must also be selected here.

Unused rows may be deleted to improve the visual appearance of the report. Additional rows may also be inserted ensuring that functionality (ie drop down selection boxes) are included. Note that the system will automatically cross check details held on auditor competencies on audit report upload.

Finished product safety rationale - this should give a summary of the characteristics of the product that make it safe for consumption. This is slightly different to the HACCP approach – we wouldn't expect to see 'metal detected' as a product characteristic for example as this is a process control. Detail the specific factors such as Aw, pH, presence of preservatives, heat treatment, storage and packing conditions that make the final product safe. Refer to F810 for guidance on product safety rationale and the information that should be included.

High Risk, High Care or Ambient High Care – specify yes or no if the company has any of these production zones (refer to glossary in the Standard).

Justification for area – outline the reasons for the conclusion of these production zones. This must also include a justification for not only the three areas above but also for open / enclosed / low risk product areas. Eg scope including 'cooked meats' under category 8 would generally expect that this has a high risk area because the product has received a full cook and is susceptible to pathogenic growth and is ready to eat, however this may not be the case if the products are 'cooked in pack' and therefore there is no high risk area on site.

Allergens handled on site – select from drop down list all the pertinent allergens that are handled within production as ingredients. This should NOT include allergens handled within the staff canteen for example.

Product claims made e.g. IP, organic – list the general groups of claims made as this may indicate specific controls that need to be in place during manufacture – ensure these are covered under 5.4 where appropriate.

Product recalls in last 12 Months – specify yes or no. Details should then be given under clause 3.11.4 within the report

Products in production at time of audit – this should indicate the products in production but not the brand names.

6. Audit Duration Details

On-site duration	16 man hours 2 digit integer	Duration of production facility inspection	6 man hours 2 digit integer
Reasons for deviation from typical or expected audit duration		none 500 characters (free text)	
Next audit type selected Drop down list		Unannounced	

Audit Duration per day

Audit days	Audit Dates	Audit Start Time	Audit Finish Time
1	yyyy-mm-dd	09:08	17:11
2	yyyy-mm-dd	5 characters (format HH:MM)	5 characters (format HH:MM)

On-site audit duration - this should be completed to the nearest hour. This should specify the total time spent on the BRC Global Standards audit and include any additional modules at the site. If, for example the BRC Global Standards audit was carried out in conjunction with another audit, a calculation shall be made to specify the time spent on BRC Global Standards only. This should not include time spent on writing the report and significant time for lunch breaks off site.

Duration of production facility audit – again this should be completed to the nearest hour and should be a proportion of the total site audit which was spent actively looking around the production facility. BRC Global Standards are looking for approximately 50% of the total audit time to be spent touring the production facility.

Where there is a **deviation** from specified guidance on audit times (from F806) reasons must be given. Also specify here if the audit was carried out in combination with another audit – this may lead to the audit duration times given per day not matching the total specified above then reasons for this shall be stated eg BRC Global Standards audit undertaken in conjunction with ISO 9000 audit. If the production facility audit duration varies <40% or >60% of total site time, an explanation should be given here.

Optional unannounced specified text from drop down list. It is appreciated that the site have upto 3 months from the date of the audit to opt in, this should be completed with the information known at the time.

Audit dates and start and finish times

The time of arrival and leaving the site on each day of the audit shall be recorded. This should be completed in 24 hour clock eg 17:10 not 5:10. If the audit is a split audit (eg includes a head office audit) then all the dates and durations on site should be given. If the audit was a grade C or D and therefore included a revisit to close out non-conformities this should also be detailed here but not included within the total site time. Additional days can be added by inserting extra rows ensuring that functionality (ie text fields or drop down selection boxes) are included.

	Auditor (s) number	Name	Role
Auditor Number 6 characters MANDATORY	123256	Martin Oliver	Lead Auditor
Second Auditor Number 6 characters MANDATORY	N/A	COFRAC	Witness Auditor

Auditor(s) Number – this must be one number only in each box and consist of the 6 digit number of each auditor unique to the auditor and Certification Body. The Directory now has the ability to check the combination of numbers for teams of more than one auditor against their registered category competencies. Any discrepancies will lead to the audit report being held in the audit holding area. The Auditor number will usually be 6 digits in length and the auditor profile must be pre-created and validated by BRC Global Standards in the database prior to the audit being undertaken and uploaded. Any auditors without a validated profile eg a trainee should be listed in the ‘auditor names and roles’ box but no auditor number shall be given.

Auditor Name and roles- Enter the name and select the role from the list where other personnel are present e.g. witness auditor. Where an external agency such as an accreditation body is present state the company name, not the name of the person as the example above

Present at audit				
Note: the most senior operations manager on site should be listed first and be present at both opening & closing meetings (ref: clause 1.1.11)				
Name / Job Title	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
James Wilson - Managing Director	x			x
Peter Thomas - Production Manager	x	x		x
Ian Greave - Technical Manager	x	x	x	x
David Goliath - Hygiene Manager	x	x		x

Personnel attending – personnel from the company should usually be listed in order of seniority. The name – first name and family name - and title of the person shall be indicated. This list will be used for validating requests for access to data on the BRC Directory so it is important that the correct full names and titles are included.

Where large numbers of people have attended the list can be restricted to key managers. Auditor names do not need to be in this list.

Unused rows may be deleted to improve the visual appearance of the report. Additional rows may also be inserted ensuring that functionality (ie text fields or drop down selection boxes) are included.

Non-conformity summary sheet

Critical or Major Non Conformities Against Fundamental Requirements				
No.	Requirement ref.	Details of non-conformity	Critical or Major?	Anticipated re-audit date

Critical			
No.	Requirement ref.	Details of non-conformity	Anticipated re-audit date

Major							
No.	Requirement ref.	Details of non-conformity	Correction	Proposed preventive action plan (based on root cause analysis)	Evidence provided document, photograph, visit/other	Date reviewed	Reviewed by

Minor							
No.	Requirement ref.	Details of non-conformity	Correction	Proposed preventive action plan (based on root cause analysis)	Evidence provided document, photograph, visit/other	Date reviewed	Reviewed by
1	3.4.3	Internal audit of supplier management systems scheduled for January had not been carried out.	Audit now completed as have audits scheduled for July.	Internal audit procedures updated to incorporate deputies (key staff away due to long term sickness). The size of the internal audit team will be increased to include sufficient members. These staff will be trained, as appropriate, for the systems to be audited.	document	2014-07-28	MS
2	3.11.2	Incident management procedure was not up to date, included J Read and R Smith who have left the company	Procedure reviewed and fully updated.	Procedures didn't recognize the need for deputies and therefore not reviewed to schedule due to the previously mentioned long term sickness. (NB This is the second non-conformity with a similar root cause which implies a wider issue may exist that should be investigated and managed separately). The incident procedure is written in such a way that it need frequent updating (i.e. every time a staff member leaves or changes role) and therefore the format of Incident procedure will be reviewed to facilitate less frequent or easier updates. For example, by including roles (& deputies) in the main procedure and appending a spreadsheet with names, contact details etc.	document	2014-07-28	MS

Comments on non-conformities

Additional Modules / Head Office Non-Conformity Summary Sheet

Critical			
No.	Requirement ref.	Details of non-conformity	Anticipated re-audit date

Major							
No.	Requirement ref.	Details of non-conformity	Corrective action taken	Root cause analysis and proposed action plan	Evidence provided document, photograph, visit/other	Date reviewed	Reviewed by

Minor							
No.	Requirement ref.	Details of non-conformity	Corrective action taken	Root cause analysis and proposed action plan	Evidence provided document, photograph, visit/other	Date reviewed	Reviewed by

Numbering – The non-conformities for the Standard should be sequentially numbered. For each additional module, the sequence can start again from '1', within the appropriate table for the additional modules. Traded products (section 9) is included in the main text of the Standard and where traded products are within the scope of the audit, any non-conformities should be listed in the list of non-conformities for the main Standard, not with the additional modules

Non-conformities shall be grouped by type i.e. Fundamental (critical or major against the statement of intent against a fundamental requirement), Critical, Major, Minor.

Requirement ref – the non-conformity shall be classified against one clause only highlighting the main issue of the non-conformity. Requirements shall be specified in exact format with ‘.’ Only – any other format will cause upload to fail. Within each category non-conformities shall be listed in order of requirement numbers.

It should be noted that additional modules have specific clause references that are sequentially numbered eg Global G.A.P. Chain of Custody ‘10.xx’.

Detail of non-conformity maximum 2000 characters – The detail of the non-conformity must be specific and unambiguous, so that actions taken by the site can be specifically identified as correcting the issue.

Correction – maximum 2000 characters This should contain a short description of the corrective action taken by the site, confirming in the past tense that it has been completed prior to the certificate being issued.

Proposed preventive action plan (based on root cause analysis) maximum 5000 characters - This should contain a short description of the analysis by the company of how they have identified the root cause of the problem and what they propose to undertake to ensure that the non-conformity does not re-occur. This may need more than 28 days after the audit date to complete and therefore an action plan may need to be reviewed at the next audit. Refer to available BRC Global Standards Guideline on Preventive action and root cause analysis.

Reviewed by and date reviewed – name of person reviewing and accepting the evidence provided. Where all of the evidence has been reviewed and accepted by the same person initials will be sufficient after the first entry. The date of final sign off of the correction should be specified.

Comments on non-conformities – free text box may be used to explain a large number of minor non conformities (>20) where no major non-conformity is given. May also be used for commentary on corrective action where appropriate eg late or no submission of evidence.

DETAILED AUDIT REPORT

There is not a requirement for a statement against every clause but the report contains one summary box per main clause. This summary box needs to capture sufficient specific information to explain the controls in place to satisfy the requirements.

It is intended that future versions of the Trace One Audit platform will allow information which does not usually change between audits to be prepopulated into the audit report and verified by the auditor at the audit. Other key information would need to be assessed and reported on at each audit. To prepare for such changes the information required to be recorded in the report is shown in:

White boxes - information which may be prepopulated
 Blue boxes–information which must be entered at each audit.

Please note the colored boxes are not present on the actual report but this is for indicative processes only.

Below gives guidance against each clause about specific detail that **MUST** be captured in the report/auditor notes.

The detailed section of the report should not contain actual names of staff but can include positions (such as team leader, hygiene operative etc).

Information can be as a bullet point but should contain relevant detail of evidence provided demonstrating compliance where applicable.

All non-conforming clauses must be detailed in the front section of the report under the relevant non-conformity classification.

Where requirements are identified as not applicable – the reason for this must be stated in the section at the end of the report.

Non- applicable clauses

Clause reference	Justification

An explanation should be given to justify which clauses are not applicable

Additional Modules detailed report

The full BRC audit report shall include the relevant details of the additional modules. Where additional modules are not included then these ‘unused blank’ details can be deleted for tidiness

1. Senior management commitment

1.1 Senior management commitment and continual improvement

It may be appropriate to outline what the policies cover and how the policies are communicated to staff including details of dates and who sanctions the policies

Frequency and typical attendance at the management review meetings

Confirm the structure of the communication/meeting programme relating to food safety and quality issues

Describe the system used to allow reporting of concerns by staff and how confidentiality is managed.

Describe the processes used to keep up to date with legislative changes, codes of practice and emerging issues.

Confirm the senior manager who has been involved in the discussion on this section.

Confirm the activities planned to develop the food safety culture, how this has been implemented, effectiveness of activities undertaken and future plans.

Summarise defined Food safety targets/objectives set and outline results or significant trends which confirms how well the company is doing against their targets. Confirm the output of the management review meeting in terms of future planned improvements and targets. Are these appropriate?

Based on the audit results comment on adequacy of resources.

1.2 Organisational structure, responsibilities and management authority

Give a brief overview of management structure to paint a picture of the size and structure of the site eg 'site management team includes a Production Manager reporting to MD with 15 shift managers; Technical and QA Managers backed by a group head office technical team. NPD and purchasing departments located with head office group.

Describe what process is in place that all staff are aware of their responsibilities and have access to relevant procedures

2 The Food Safety Plan – HACCP

Within this section sufficient information should be given to demonstrate that the site has effectively carried out a full HACCP study and that it conforms to Codex principles.

If the HACCP section is not adequately detailed it is difficult for the reader to fully understand the complexities of a particular site.

Give an overview of the HACCP **team** demonstrating diversity of the team and competency. Confirmation of pre-requisite plan.

Give a description of the **products** particularly if there are a number of HACCP studies.

Describe the method of developing the **hazard analysis** and how CCPs have been arrived at. If other criteria such as Quality control points have been established, these can be briefly mentioned.

Details of the hazards considered should be given – this should specify to the level of type of micro-organism for example and not just ‘micro’

Describe the **process steps**. Give details of the steps of the production process that are within scope – this is often omitted. State the date of verification of flow diagrams. Details need to be given for all the HACCP groups - do not give an example of one or two although they can be summarised if similar – audit duration is based on the number of HACCP studies and therefore the detail of the audit report needs to reflect the variety of processes at the site.

Describe the **CCP’s; their critical limits and the monitoring points**. This forms the back bone of the whole report as this will set the standard for information that would be expected in other later sections.

If there are no CCP’s identified through hazard analysis this should be clearly stated.

Explanation of how and when the company have **validated and verified critical limits**.

Information on last review and date of each HACCP study.

3. Food safety and quality management system

3.1 Food safety and quality manual

Give a description of how the quality system is arranged with processes and procedures to meet the requirements of this Standard.

Describe how this is communicated to key staff and how access is controlled

3.2 Document control

Define systems in place

3.3 Record completion and maintenance

Define the retention period of documents and back up security process for electronic records.

3.4 Internal audits

This is a key section as ensures compliance with the requirements of the Standard.

Define the scope of the audit system (what is covered) and the schedule of audits (how often).

Give details of the auditors and their competence/training/independence.

Describe how audits are reported and followed up – how is it ensured that corrective actions are appropriately actioned i.e. whose responsibility and timescale.

Give examples of both internal audit seen and ensure that the requirement 3.4.4 for GMP audits is described.

3.5 Supplier and raw material approval and performance monitoring

3.5.1 Management of suppliers of raw materials and packaging

Confirmation that all materials bought onto site which form part of the final product – including packaging are sourced through approved suppliers and are monitored.

Where this is part of a head office controlled function then this should be stated. Where an audit has been made of a head office, this should also be mentioned. Details of how the site accesses this information is needed.

Give a description of how the company has undertaken the risk assessment and significant outcomes.

Describe how suppliers are assessed e.g. if by audit; third party certification or questionnaire, state the frequency and link to risk assessment.

Where agents and brokers are used this should be defined.

Also detail what ongoing monitoring processes are in place.
Confirm details of suppliers’ records sampled as part of the vertical audit

A long list of suppliers is not needed in final report, just an example.

3.5.2 Raw material and packaging acceptance and monitoring procedures

Detail what’s done & how information on raw material requirements and checks are communicated to goods in personnel
Confirm checks which have been assessed.

3.5.3 Management of suppliers of services

Confirm how suppliers of services are approved.

Provide examples of key services included and of evidence seen

3.5.4 Management of outsourced processing

Ensure that if the box at the front of the report (section 4) is ticked as the site handling outsourced products that this section is completed.

Provide details of the type of outsourcing so that it is clear exactly what product/processes are covered. How is traceability maintained

Detail who the company is and how the third party site is approved.

Confirmation of contracts in place between the two sites should be given, including the details of the evidence seen by the auditor.

It needs to be clear what processes are in place on site to ensure that the outsourced product/process is received back into site and checked according to specification.

3.6 Specifications

This section refers to raw material; intermediate and finished product specifications and also primary packaging materials. Specifications must be available for all products packed on site.

Again where this is a head office controlled function – details of this is required including how the site can access the specifications and who has access.

Details of specification review to be given.

Confirm the specifications checked and comment on suitability

3.7 Corrective and Preventive action

Confirmation that there is a corrective action procedure is in place and working effectively.

Detail how corrective actions are closed out

Confirm the process for root cause analysis and under what circumstances is this applied.

Comment on effectiveness of root cause analysis.

3.8 Control of non-conforming product

Confirm how non-conforming product is handled; quarantined and released.

Detail what records are maintained and who has authority for releasing product.

Confirm records reviewed for any product currently on hold

3.9 Traceability

Give a brief overview of how the trace system operates – for instance computer based or paperwork based – this should include primary packaging traceability.

Give any limitations with the system e.g. bulk materials and how traceability is managed in these instances.

It is expected that a full traceability exercise will be conducted during the audit that proves that there is a suitable traceability system in place to track products and ingredients forwards and backwards. Details of the product traced to be given. It is not necessary to give all ingredient trace details in the final report but a summary of what was chosen and why, and the outcome of the test.

Confirm time that traceability test took (< 4hours) and that mass balance was achieved.

Confirm that the site completes at minimum annual traceability checks (with dates) including mass balance.

Give details of any rework used and how this is managed

3.10 Complaint handling

Confirmation that there are suitable systems in place to record and monitor complaints.

Give an overview of the analysis of complaint trends and how this is being used to make improvements and the level of complaints recorded

3.11 Management of incidents, product withdrawal and product recall

Confirmation of procedure in place and that it is adequate for the type of business and that the procedure is in sufficient detail for the company to be able to undertake a product withdrawal or recall.

Where this is managed by a Head Office then this should be stated and relationship between site and head office.

The report should confirm that the Certification Body will be informed within 3 days of the event of a recall.

Provide details of the latest test and conclusions any changes/improvements made as a result

Confirm any recalls since the previous audit , that these had been declared to the CB and comment on actions taken

4.	Site Standards
4.1	External standards
<p>Provide a brief summary of the location of site and condition of external areas. Confirm that there are no potential risks associated with the site that may affect product safety or integrity.</p> <p>The report may confirm that there is a suitable clear zone surrounding the site; details of other factories in the area that may pose a risk to the sites; rivers, train lines that could present possible issues.</p>	
4.2	Site Security and Food Defence
<p>This section should demonstrate that the site can adequately protect their products from malicious contamination, confirming that a food defence risk assessment and the outline plan to protect the site.</p> <p>The report may give detail on CCTV; use of security gates; security staff.</p> <p>Detail how both staff and visitors access the site and security systems in place to ensure that unauthorised access is not permitted.</p> <p>Details and confirmation of staff training needed.</p> <p>Where there is a legal requirement for site registration with the local authorities this should be given. However state also if this is not required.</p> <p>Confirm that the food defence plan is reviewed</p>	
<p>Comment on the suitability of the food defence plan and on any improvements since the last audit</p>	
4.3	Layout, Product Flow and Segregation
<p>It is key to explain how the site ensures that the products they manufacture are not at risk from the layout of the premises.</p> <p>This section is of particular importance where the site has designated high care or high-risk areas.</p> <p>In these instances, full details should be given as to the design of the segregated areas, detailing staff movement between these different risk areas and the control of these areas by the site – in relation to product movement; physical or time separation etc</p> <p>In all instances, reference must be made to the site plan and where appropriate details of the different risk areas; personnel access point; routes for travel of equipment, people, rework and waste; process flow etc to be made.</p> <p>Detail any modernisation works; temporary structures in place that may affect product safety or be a potential pest risk.</p> <p>It is not easy to describe in words the layout of the plant; however it needs to be relatively clear how the site is set out and allow the reader to get a visual picture of the layout of the site.</p>	
<p>Comment on the adequacy of the layout of the site</p>	
4.4	Building fabric Raw material handling, preparation, processing, packing and storage areas

Comments made in this section should be of sufficient detail for the reader to get a visual picture of the fabric of the building and its suitability to the operation.

Give general comments on the state/finish of the walls, floors, ceilings, doors, lighting etc.

Give more relevant detail when this is associated with a high risk/high care site.

Confirm drainage, ventilation and extraction is suitable for the purpose.

Comment on the general standards and maintenance of the building

4.5 Utilities – water, ice, air and other gases

Comments to the source of water used – potentially there could be several sources to on site – these should all be mentioned giving information to the specific use of each type of water. Also, non-potable water where appropriate. Confirm schematic plan of the water system is in place and accurate

Confirmation of a water testing plan and that key points are marked on the plan and how used as basis of sampling plan.

Ice should also be detailed where applicable.

Where the site uses other utilities that may come into contact with food these should be highlighted and details of how they are controlled/tested/monitored/filtered given.

Details of water testing – frequencies and test results seen. Where there are particular testing guidelines that need to be adhered to these should be mentioned

4.6 Equipment

This section should give detail about the key equipment on site and its suitability of design and construction for food use.

Where appropriate give information of any legislation/certification that relates to the food contact surfaces.

Details regarding the safe and clean storage of equipment and the positioning of fixed equipment for adequate cleaning.

4.7 Maintenance

Information to demonstrate that the site has a functional maintenance system in place. If there are significant pieces of equipment which may have specific maintenance timetables, detail these.

Give detail whether maintenance functions are performed internally or by contractors. If the latter how are they controlled.

Where there are workshops – a brief overview should be given.

Evidence that a planned maintenance system is in place to be given, along with how this is recorded. This may state whether this is a computerised or manual system.

Where the site has new equipment confirmation that this is included on any schedules.

Confirmation of post maintenance cleaning to be given.

Details of food grade materials to be evidenced.

Comment on records of maintenance work reviewed and effectiveness of processes for managing maintenance jobs	
4.8	Staff facilities
<p>This section should confirm that the site has adequate facilities in line with the type of production.</p> <p>For all sites the basics must be confirmed – adequate changing/locker facilities; hand washing; toilets; smoking; canteen facilities/staff food.</p> <p>State whether smoking is legally allowed on site and therefore where designated areas are. If not allowed, state this.</p> <p>Confirm whether staff are allowed to bring food onto site and the storage provided.</p> <p>Where Catering facilities are provided give an overview of facilities provided and their control</p>	
4.9	Chemical and physical product contamination control Raw material handling, preparation, processing, packing and storage areas
4.9.1	Chemical Control
<p>There are a number of different types of contamination risks noted within this section and it is expected that they will all be mentioned.</p> <p>Chemical control should detail how the site stores and handles chemicals. Information regarding approved chemicals, suitable for food use and adequate storage and labelling of containers.</p>	
4.9.2	Metal control
<p>Metal controls should define the types of metal risks on site and how they are controlled. Knife registers may be mentioned, or blade checks etc. Also, site policies on items such as clips, staples etc.</p>	
4.9.3	Glass, brittle plastic, ceramics and similar materials
<p>For all sites confirmation of the glass policy, breakage procedure and a register of glass that is audited and the frequency. Detail may be given on breakage procedures and clear up.</p>	
4.9.4	Products packed into glass or other brittle containers
<p>Comment on storage of glass packaging where used. Where products are packed into glass or brittle containers then details on how breakages are cleaned up, in relation to food and equipment in the area and the equipment used to conduct this. Records of this should also be commented on and processes to avoid spread of fragments.</p>	
Comment on glass breakage records reviewed and level of understanding of staff of the glass breakage procedures	
4.9.5	Wood
<p>Comment on the use of wood in the factory and if present its control.</p>	
4.10	Foreign body detection and removal equipment
<p>There are a number of different requirements for this section and none, some or all of these may apply depending on the product and HACCP risk assessment and the metal detection decision tree. Ensure this is made clear.</p> <p>Where sieves, filters and magnets are used – clear detail on their control is needed.</p>	

4.10.2	Filters and sieves
Comment on sieve sizes used and frequency of checks.	
4.10.3	Metal detectors and X-ray equipment
<p>Where there is no metal detection then justification through risk assessment needs to be outlined (clause 4.10.3.1)</p> <p>As metal detection will be assessed as a CCP in many factories, it is essential that detailed information is given regarding the usage and control of the metal detectors. Detail what type of detector is in place, detection/rejection method etc.</p> <p>Detail where it is & what's after it in the process Detail procedures for monitoring Detail sizes of metal test pieces used for products.</p>	
Comment on checks carried out of metal detectors as part of the audit and level of understanding of staff undertaking checks	
4.10.4	Magnets
<p>Detail if in use – type, location and Strength <i>Tests with Gauss meter</i></p>	
4.10.5	Optical sorting equipment
Detail if in use – type and location and how often checked	
4.10.6	Container cleanliness – glass jars, cans and other rigid containers
Detail if controls in place	
4.11	Housekeeping and hygiene
<p>Sufficient detail needs to be given to demonstrate that adequate cleaning and disinfection measures are in place in line with the risk of the factory.</p> <p>Confirmation of who is responsible for cleaning and how this is completed, cleaning procedures and records to demonstrate compliance should be given.</p> <p>Information on how cleaning is monitored – this may give details of audits; ATP, microbiological testing or allergen testing.</p> <p>Details that cleaning equipment is fit for purpose, identified and hygienically stored to be given.</p> <p>Comments on the type of chemical cleaning employed where appropriate.</p> <p>Where cleaning in place (CIP) is use then details of its operation and verification to be given. Where this is not applicable this should be made clear.</p>	
Confirm any equipment checked in detail for cleaning suitability, Comment on cleaning operations observed	
4.11.7	Cleaning in place (CIP)
Where used provide detail of controls of CIP in place, Detail how validated & the process verification controls – frequency of checks etc	

4.11.8	Environmental Monitoring
Describe the environmental monitoring programme in place, typical sampling areas, organisms being assessed, frequency of testing, procedures for out of specification results are identified.	
Comment on the results of environmental monitoring, suitability of the programme and the results from the review of the environmental monitoring programme.	
4.12	Waste/waste disposal
This section needs to confirm that the site is handling/disposing of waste material with no risk to end product contamination.	
Confirmation that the site holds licenses/contracts where applicable or certification for use for animal feed where appropriate.	
Confirmation that waste is handled; moved and stored in a hygienic way.	
Where trade-marked waste is handled then specific requirements to be noted.	
4.13	Management of Surplus Food and Products for Animal Feed
Confirmation shall be given of any processes of special handling of excess production materials	
4.14	Pest Management
This section requires a considerable amount of information to be given.	
Confirm whether or not there has been a pest infestation – at the time of the audit; in recent time or any major instances since the previous audit.	
Make clear if there is a contract, or if pest control is undertaken by the site, or partially completed by the site. Detail how staff meet legal requirements for training/registration. Ensure that sufficient information is given to determine whether clause 4.14.8 is being complied with. Where a site is seasonal and pest control reflects this – this should be mentioned.	
Give an outline of the pest types covered by any contract and the frequency of visits. If internal, state pests considered and how often checks are carried out.	
Where there is only a contract in place then clause 4.14.2 is not applicable to the site.	
Ensure that where the site conducts some or all pest control that adequate detail is given to show how staff are trained in pest control; how they keep up to date with pesticide legislation and confirm the safe storage and handling of pesticides – where appropriate.	
Confirm in all instances that there is a bait plan and where toxic/non-toxic bait is used. Give reference to the records that have been viewed.	
Where electronic Fly killers are used this should be confirmed, along with trend analysis of contents.	
Confirm that there is an in-depth pest control survey for all sites on a quarterly basis or define if risk assessment has suggested an alternative frequency.	
Detail review of pest control.	
Detail how staff have been trained to identify potential pest activity.	

Confirm if there have been any recent reports of pest activity and the general conclusions of the most recent pest control survey

4.15 Storage facilities

Confirm the suitability of storage facilities in relation to the operation.

Where temperature control is required for raw materials; work in progress or finished product then details of how temperatures are monitored and recorded to be given, this may include manual checks; data loggers, computerised monitoring systems. Make clear if not applicable.

Details of controlled atmosphere storage; outside storage to be given.

Comments on the correct storage of all packaging and the practices in place to part used packaging is stored suitably and fit for purpose if it is to be used in production.

Comments on how stock is rotated.

4.16 Dispatch and transport

Confirm the arrangements for despatch and transportation of product from the site – it could be own transport or contracted or arranged by customers.

Detail how traceability is maintained at point of despatch.

Comment on vehicle hygiene and temperature checks (where applicable). Where products leave in tankers this may also include cleaning records for the tankers.

Confirm the maintenance and hygiene regimes for vehicles.

Detail whether contracts have been seen where appropriate for hauliers.

5. Product control

5.1 Product design/development

This section is applicable to all product categories, as also includes changes to packaging or manufacturing processes as well as the manufactured product.

The use of an example seen may be useful for notes in the final report where this does not compromise confidentiality.

Confirmation should be made that a procedure exists and that a review of HACCP form part of the procedure.

Details of factory trials (where applicable) and validation from such trials should be documented.

Shelf life verification and evaluation details to be given including any justification as to why it may not be feasible for some products to be evaluated for shelf life.

Identify the product used to test the product development process

5.2	Product labelling
<p>Explain the process to ensure label information meets legislation. Are nutritional claims made and if so how are they substantiated. If the labelling is the responsibility of the customer this should be stated.</p>	
<p>Confirm the label checked for records, demonstrating that the process had been completed</p>	
<p>Where applicable details on cooking instruction validation procedures – use of an example viewed will be useful providing it does not compromise confidentiality</p>	
5.3	Management of allergens
<p>Where a site does not handle any allergens then certain parts of this section may not be applicable. However it would be expected to see evidence (in all sites) that a risk assessment has been completed and that staff have been given allergen awareness training.</p>	
<p>The conclusion of any risk assessment completed by the site should be detailed.</p>	
<p>Where there are specific geographical legislative requirements for raw materials, the country of production and or the destination country then these should be made clear.</p>	
<p>Confirm how the site handles; stores and ensures that there is no cross contamination of allergens through the practices and procedures developed on site.</p>	
<p>Details of allergen re-work to be given.</p>	
<p>Detail clean down practices before/after allergens and the controls/records in place to verify this. Give details of any validation and verification processes in place such as testing giving frequencies and methods.</p>	
<p>Confirm training records are in place.</p>	
<p>Comment on the assessment of the allergen management process where a changeover has been seen. Confirm any checks under taken where an allergen claim has been made</p>	
5.4	PRODUCT AUTHENTICITY, CLAIMS AND CHAIN OF CUSTODY
<p>Ensure that where claims have been noted at the front of the report that there is consistency in this section.</p>	
<p>Confirm how the site keeps up to date with potential risks of fraud. How has the vulnerability assessment has categorised suppliers?</p>	
<p>What are the major risks identified and what mitigations have been put in place to reduce risk.</p>	
<p>Comment on any third-party certification that is in place to verify any claims.</p>	
<p>Provide details of the mass balance calculation and traceability test undertaken to verify claims and of checks where a claim is dependent on supplied raw material.</p>	
5.5	Product Packaging
<p>This section relates to all packaging materials, with some areas more specific to primary packaging.</p>	
<p>Confirmation that primary packaging materials (e.g. materials in contact with food) meet legislative requirements and what information is provided to show this.</p>	
<p>Provide details of information available for a packaging check for suitability</p>	
5.6	Product inspection and laboratory testing

The level of detail in this section will depend on the type of product on site. Where high care or high risk products are made then more specific detail as to the level and type of microbiological analysis in place would be expected.

Comments on schedules of testing; who undertakes the testing and how results are reviewed are required. These tests may be a combination of physical; chemical or microbiological tests. Specific tests for the type of product should be made clear e.g. aflatoxin testing in nut products or heavy metals in fish products or pesticides in fresh produce.

If there are internal laboratories details on how these are managed – particularly where pathogens are tested to be given and the method of segregation from the production area. Accreditation details should be given or justification as to why the site is not accredited.

Confirmation of shelf life testing also needed.

Comment on how test results are trended and used to affect improvements.

Confirm suitability of testing regime relative to risk.

How are out of specification results followed up, give an example

5.7 Product release

Confirm how product is released for despatch from site – the checks implemented. Depending on the type of product give details (where relevant) regarding microbiological analysis or physical inspection or confirmation that all internal quality/safety checks have been completed.

If products are held off site then comment on how these are released.

5.8 Pet Food

Confirm if the site produces pet food if not then this section is not applicable. Where Pet food is produced comment on how the product is formulated to meet the dietary requirements of the intended pet, and where applicable how medicinal supplements are managed. Confirm if there are any particular dietary risks identified for the target pet group and if this is the case how this is managed.

6. Process Control

6.1 Controls of operations

This section should include details of all site specific process controls that relate to CCP's not already covered in this report e.g. cooking/chilling/freezing controls; or pasteurisation management etc.

Where there are significant pre-requisites that relate to the product safety control then these should also be covered. The reader of the report needs to be able to identify the key parameters/controls that make the products in scope safe.

This will include details of work instructions/procedures; process monitoring records; in line monitoring and corrective action procedures.

6.2 Labelling and Pack Control

Detail how packaging materials are allocated to production. Confirm the processes in place to prevent labelling errors and the checks routinely undertaken.

Where automatic label check equipment is in place confirm how this is set up and tested to ensure it operates effectively.

Provide details of the product changeover witnessed and suitability of the controls to prevent mislabelling

6.3 **Quantity-weight, volume and number control**

Confirmation that the site is complying with legislative requirements in line with the type of weight declared and the in country regulations where the product is sold.

Detail what type of weight marking is in place – e.g. minimum, average, catch weight or count and comment on frequency of checks to meet customer or site guidelines.

Confirmation of adequate records in place.

Where automatic reject systems are in place, detail how and when these are checked.

Where products are sold in bulk confirm how these are controlled.

Provide details of check carried out of any automated weight checking equipment

6.4 **Calibration and control of measuring and monitoring devices**

This section should detail how the site ensures that all key pieces of equipment that are used to monitor and control product processes and CCP's are effectively calibrated.

Examples of the key equipment to monitor food safety should be given to demonstrate that they are being checked at a defined frequency that is within industry guidelines; nature of use and historical reliability. Also comment on how measuring equipment is identified.

Confirm that calibration is being completed within a suitable range for the type of monitoring in place.

Comments on measuring equipment being calibrated to a traceable, recognised standard.

List equipment where the calibration records were reviewed as part of the audit

7.	Personnel
7.1	Training Raw material handling, preparation, processing, packing and storage areas
<p>Confirmation how the site manages the training of staff including temporary staff to ensure that they can comply with both legal requirements and in-house requirements.</p> <p>Comment on induction training; CCP training and job specific training. Comment whether this needs to be completed in different languages where appropriate. Where contract labour or temporary staff are employed describe how these are trained.</p> <p>Comments should detail that the site is training personnel to maintain product safety, legality and quality.</p> <p>Evidence that training records are in place that have been reviewed and include name of trainer/trainee/date/training contents and who provided training, particularly with regard to CCP control. Do not include names of employees.</p> <p>Detail the site training programme and the competency review that staff undergoes.</p> <p>Confirmation of allergen awareness training.</p>	
<p>Comment on the level of understanding of operating procedures observed during the staff interviews at the audit</p>	
7.2	Personal hygiene: Raw material handling, preparation, processing, packing and storage areas
<p>Confirm that the site has a suitable personal hygiene policy in place that covers all areas of production and personnel, which has been adopted by all members of staff including agency staff. Variances in procedures may be stated due to different risk areas at the site. The minimum requirements as stated in clause 7.2.1 should be confirmed as being present.</p> <p>Comment on procedures such as hand cleaning; management of first aid – including plaster control; use of metal detectable plasters (where appropriate) and storage of personal medicines – that these are all in place and being effectively controlled.</p>	
7.3	Medical screening
<p>Depending on the country there may be specific in country requirements/legislation regarding the type of personal information that can be obtained from staff/visitors. Clearly state where specific laws exist.</p> <p>At minimum, detail how staff are made aware of their responsibilities regarding notification of illness/risks of food borne disease (per prescribed list of diseases) – records to demonstrate this training to be in place.</p> <p>Where companies use medical practitioners to undertake health screening – this should be stated.</p> <p>Where staff/visitors are required to complete a medical questionnaire – this should be stated.</p> <p>Detail procedures in place whereby staff (or visitors) that are returning to work after illness that maybe/are infectious to prevent them contaminating product.</p>	
7.4	Protective clothing: Employees or visitors to production areas

Comment should be made to the type of site (low care/ high care/risk) and the suitability of protective clothing and provided for the type of site. Give details of the clothing used in specific areas (inc frequency of change) and comment on the compliance with clause 7.4.4 where applicable.

Comment on visitor/contractor/temporary worker clothing.

Confirm system in place for laundering protective clothing – whether this is home laundry (where allowed); on site laundry or contracted laundry. Detail what system are in place to verify the cleanliness of the clothing whatever method of cleaning.

Comment on glove usage.

Comment on items that cannot be easily laundered e.g. chain mail gloves/aprons etc and their cleaning and sanitisation and frequency of control.

8. High-Risk, High-Care and Ambient High-Care Production Risk Zones

Note where sites do not have a high care or high risk facility this section is not applicable

8.1 Layout product flow and segregation in high-risk, high-care and ambient high-care zones

Confirm how high care and high risk areas are segregated from other areas of the factory, how product and personnel enter the area.

8.2 Building fabric in high-risk and high-care zones

In high risk areas – more detail to be given to the type and method of ventilation – air source; frequency of changes; size of filter, changes of filters and how positive pressure can be assured, particularly when adjacent to low care areas. Micro sampling of air may also be mentioned where appropriate.

Confirmation of drain plans in high risk/care areas and direction of flow.

8.3 Maintenance in high-risk and high-care zones

Describe the maintenance procedures particular to high risk high care areas to reduce the risk of microbial contamination as a result of maintenance work.

8.4 Staff facilities for high-risk and high-care zones

Overview of facilities for high care and how this is achieved. Every facility is different, therefore sufficient site specific detail to be given. Describe the procedure to prevent contamination of high risk/care protective clothing during changing.

8.5 Housekeeping and hygiene in the high-risk high-care zones

Confirm the cleaning systems used in the area and sanitisers used. Comment on identification system of cleaning equipment specific to the area. How is the effectiveness of cleaning confirmed and any systems such as ATP monitoring or microbiological swabbing in place.

Comment on the suitability of the cleaning system and any equipment cleaning reviewed at the audit.

8.6 Waste/Waste disposal in high risk, high care zones

Confirm systems in place to ensure waste disposal process does not present a risk of contamination

8.7 Protective clothing in the high-risk high-care zones

Confirm how protective clothing is differentiated from that worn in other factory areas and the changing procedures.
Confirm the process for laundering protective clothing.

9 - Traded Products

The auditing of this section where applicable is voluntary and may or may not be included within the audit. Where it is included the information required is as follows.

9.1 Approval and performance monitoring of manufacturers/packers of traded food products

Describe the process in place for the approval of suppliers of traded products

Identify a check carried out to confirm the process is operating effectively

9.2 Specifications

Confirm that specifications are in place and suitably detailed for traded products. Confirm specifications reviewed.

9.3 Product inspection and laboratory testing

Confirm the checks carried out on traded goods on receipt to ensure these are safe legal and in line with specifications. Where external laboratories are used for testing or certificates of analysis provided comment upon this

Describe product test results assessed as part of the audit

9.4 Product legality

Describe the procedures in place to ensure the legality of traded products e.g. label and compositional checks.

9.5 Traceability

Confirm how traceability is managed for traded products.

Give information on a traceability test undertaken for a traded product