

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 1 of 14 |

This supplier quality and food safety audit questionnaire shall be used to assess existing and potential supplier's/sub-contractor's capabilities in relation to all products supplied or to be supplied.

| Questions | Answers |
|--|----------------|
| Supplier's Name | |
| Full Postal Address | |
| Manufacturer | |
| Main Telephone Number | |
| Main Fax Number | |
| Main e-mail address | |
| Technical Contact Name, Contact Number and e-mail | |
| Sales Contact Name, Contact Number and e-mail | |
| Production Contact Name, Contact Number and e-mail | |
| Emergency Contact, Telephone Number, and e-mail | |

| Company Profile and Management Systems | Y/N/ | Comments/Answers |
|---|-------------|-------------------------|
| Is there a site plan? Enclose/attach a copy of the site layout plan | | |
| State the number of personnel employed in a) Production b) Technical c) Quality Assurance/Control d) Hygiene and Cleaning Are there sufficient resources to ensure that all legal, standards and customer requirements can be met if not exceeded? | | |
| Is sufficient training available to all personnel involved in production, technical, food safety, quality and hygiene to ensure that all legal, standards and customer requirements can be met if not exceeded? | | |
| Is there a nominated person responsible for product quality, product recall, traceability, food safety and hygiene? If so, who? | | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 2 of 14 |

| | | |
|--|--|--|
| What is the means by which relevant personnel keep abreast of legislative, scientific and technical developments and codes of practice, and how do they implement these as applicable? | | |
| Does the company have in place and documented a Quality Policy, and has this been communicated to staff on Induction? | | |
| Does the company have in place and documented a Food Safety Policy, and has this been communicated to staff on Induction? | | |
| Does the company have in place a documented Ethical Trading Policy, and has this been communicated to Staff on Induction? | | |

| | | |
|---|--|--|
| What HACCP pre-requisites have been considered and/or are in place? | | |
| Does the Supplier have a documented HACCP system in place that complies with the principles outlined in the Codex Alimentarius? | | |
| Does the Supplier's HACCP include consideration of microbiological vulnerability? | | |
| Does the Supplier's HACCP include potential for contamination with foreign matter? | | |
| Is fraud and mislabelling of raw materials considered in the HACCP plan? | | |
| Does the Supplier's HACCP include Allergen segregation, handling and contamination risks and controls? | | |
| Are food safety /HACCP risk assessments and food safety/HACCP flow charts available for all materials supplied and do the flow charts show all Critical Control Points or CCPs? If yes, provide HACCP flow charts. | | |
| Is there a multi-disciplinary HACCP team and is at least the team leader appropriately qualified? Describe its composition and detail the relevant qualifications held. | | |
| Are records of HACCP meetings kept that show that the HACCP team reviews HACCP studies and is aware of and considers the implications of all product and process developments and changes that may affect the quality, safety and legality of the product supplied? | | |
| Are all food handlers trained against HACCP and CCPs and are records of such training retained? | | |
| Are there verification records for the HACCP e.g. challenge tests for thermal processing | | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 3 of 14 |

| Site Fabrication and Services | Y/N | Comments/Answers |
|--|--------------|------------------|
| Site Perimeter | | |
| Is the site located in an area free from objectionable odours, smoke, dust and other contaminants? | | |
| Is the perimeter of the site secure and the boundary intact, clean, tidy and free from excessive uncontrolled vegetation, to prevent a) uninvited visitors/unauthorised personnel b) malicious damage c) the threat or risk of contamination eg from pests? | | |
| Is the building exterior free from structural damage that may allow the ingress of pests? | | |
| Factor design, structure and layout | | |
| What is the age of the building (production/warehouse sites)? | | |
| Is the factory layout and are the product and personnel flows designed to reduce the potential for contamination? | | |
| Is the fabric of the manufacturing facility maintained in a good condition, so that it does not pose a contamination risk to material supplied (smoke dust, pests) | | |
| Does the siting of all plant and equipment within production allow adequate access for cleaning, maintenance and inspection purposes? | | |
| Are all production areas and associated service areas e.g. maintenance physically separated from each other? | | |
| Is there adequate space for cooling, refrigeration and freezing? | | |
| Is mixing, blending and homogenising equipment of a type which does not allow food to come into direct contact with seals and bearings? | | |
| Are pumps designed as to be readily dismantled for cleaning and of a suitable design? | | |
| Walls – Internal (Processing and Warehousing) | | |
| Is there at least a 50cm distance between the walls and plant, equipment, racking and materials to allow access for cleaning, pest control, maintenance and inspection? | | |
| Is there sealing and coving between walls, floors and ceilings for easy cleaning? | | |
| Are all surfaces light in colour, smooth, easily cleaned and impermeable to liquids? | | |
| Are the walls free from unsealed panelling, exposed cavities and damage? | | |
| Are fitments, attachments and notices kept to a minimum to reduce debris traps? These must be wood free and staple free in production areas. | | |
| Ceilings and Overheads | | |
| Are all ceilings and overheads (girders, cables, conduits) smooth, easily cleaned, in good condition and free from dirt, debris, flaking material dust, condensation and mould? | | |
| Are all external openings screened and not directly | | |
| File Location | Prepared By: | Approved By: |

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 4 of 14 |

| | | |
|---|--|--|
| over exposed material? | | |
| Are stairs, platforms, ladders and chutes situated and constructed so as not to contaminate food. Chutes should have inspection and cleaning hatches. | | |
| Floors | | |
| Are all floors suitable for the traffic of goods? Are they water-proof, non-absorbent, washable, non-slip and constructed of non-toxic materials, without crevices. Confirm the surface type. | | |
| Are all the floors in good repair and free of broken and loose surfaces and standing pools of water? | | |
| Are junctions of floors and walls coved and impermeable to liquids, where applicable? | | |
| Where applicable, are all drains of a suitable structure, capacity and slope, and do they have adequate removable grids and debris traps which are cleaned regularly? | | |
| Are any drains pest guarded that could give access to the inside of the building? | | |
| Doors and Windows | | |
| Can all doors be closed properly without any gaps to prevent pest ingress and if doors open to the exterior are they suitably screened? Are doors self closing? | | |
| Are all the doors leading to and from the production area of a plastic or metal construction? | | |
| Are all production and warehouse areas free from external windows? If no, are all windows suitably screened and logged in the glass register? | | |
| Are screens easily removable for cleaning | | |
| Are window sills, if present, sloped so as not to be used as shelves | | |
| Ventilation | | |
| Are all areas suitably ventilated to maintain reasonable operating temperatures and humidity? Does ventilation remove excessive steam, heat, condensation, dust and contaminated air? | | |
| Do the ventilation outlets exhaust outwards and away from production areas and have screens to prevent pest ingress where appropriate? The direction of airflow should never be from a dirty area to a clean area. | | |
| Are all ventilators, fans, and filters cleaned and/or serviced at regular intervals, and records retained? | | |
| Lighting | | |
| Are all light fittings protected with a cover that will retain any breakages and/or of a shatterproof nature? Are they featured in the glass register? | | |
| Is all lighting clean and of a level adequate for the operation in that area, particularly where material is inspected? Lighting should not alter colours and should not be less than: 540 lux at points for close examination; 220 lux in workrooms; 110 lux in other areas. | | |
| Maintenance | | |
| Is there a risk assessed preventative breakdown and maintenance register? | | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 5 of 14 |

| | | |
|--|--------------|-------------------------|
| Are all lubricants carefully controlled and suitable for use on food contact machinery (ie food grade)? | | |
| Are there specifications and data sheets held for food lubricants and are these jointly approved with the Supplier? | | |
| Is all electrical trunking designed to prevent infestation whilst allowing infestation treatment if required? | | |
| Are plant and equipment inspected after maintenance works and its re-use authorised by a competent person? | | |
| If the maintenance area adjoins warehousing and/or production areas, is it suitably physically separated, secure and does it have a swarf mat at its entrance/exit to capture foreign contaminants off footwear? | | |
| Are temporary repairs controlled by Management and only effected with the use of suitable materials? | | |
| Water | | |
| What is water used for on site? | | |
| Is there an appropriate water distribution plan and risk assessment in place? | | |
| Is water used for cleaning and welfare subject to a water sampling programme and therefore regular testing? If so, by whom, and what accreditation do they hold? | | |
| Is food grown in areas where water used in irrigation might constitute a health hazard? Are methods of harvesting and production hygienic? | | |
| Is ice in contact with the product and is it of suitable quality? | | |
| Is steam used and is it of suitable quality? | | |
| Is there an efficient effluent system that is in good repair? | | |
| How is recirculated water treated? | | |
| Waste Management | Y/N | Comments/Answers |
| Is the site waste well managed, does it meet legal requirements? | | |
| Is there a secure and segregated waste management area on site that is maintained in a clean, tidy and hygienic state at all times? | | |
| Are external waste bins at an appropriate distance from the building and do they have lockable lids? | | |
| Are waste bins leak-proof, constructed of impervious material, kept clean, closed properly and emptied frequently? | | |
| Are raw food materials protected from contamination by human, animal, domestic, industrial and agricultural wastes | | |
| Are raw materials and finished products that are not fit for human consumption adequately controlled ? | | |
| Are bi-products or rework suitably controlled and removed daily? | | |
| Are wastes (eg cardboards, plastics, metals, | | |
| File Location | Prepared By: | Approved By: |

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 6 of 14 |

| | | |
|---|--------------|-------------------------|
| hazardous etc) streamed and recycled as legislated and/or as feasible and appropriate? | | |
| Housekeeping, Cleaning and Hygiene | Y/N | Comments/Answers |
| Who is responsible for housekeeping, cleaning and hygiene management on site and are they suitably competent and independent from production? | | |
| Are disinfection facilities for washing implements constructed of corrosion resistant materials and easy to clean? | | |
| Are high standards of cleaning maintained internally and externally and processing areas free of loose foreign objects and debris at all times? | | |
| Is there a clean- as- you- go policy in place? Are equipment and utensils cleaned and disinfected at the end of the shift? | | |
| When are the walls, floors and drains cleaned? | | |
| Is there thorough rinsing with water after cleaning? | | |
| Is there a hygiene manual and/or are documented cleaning procedures, schedules and records in place and retained? Do cleaning records comply with the schedule and are they signed and dated? | | |
| Who on site is responsible for the effectiveness of the cleaning and hygiene procedures? | | |
| Is the cleaning of the factory contracted out? | | |
| Is all cleaning equipment and cleaning materials food grade, free from phenolics and wood, non frayable, appropriately stored and fit for purpose? | | |
| Is a colour coding system used for cleaning equipment? If so please describe. Containers previously used for toxic materials should not be used for food. | | |
| Are specifications and material safety data sheets to hand for all cleaning materials used | | |
| What is frequency is high level cleaning and who carries it out? When was it last done? | | |
| Personnel Hygiene | | |
| Is there a Hygiene Policy in place? If so, please attach a copy. | | |
| Do documented personnel hygiene standards cover jewellery, smoking, eating and drinking, hair covering, make-up and nail polish, perfumes and aftershaves, personal belongings, etc and are they adopted by all employees, including engineers, visitors and contractors? | | |
| Is there a jewellery policy? Describe or attach. Does this allow for the right to wear religious jewellery in which case is there a start and end of shift registration and inspection procedure in place? | | |
| Is there a smoking policy? Describe or attach | | |
| What protective work wear is provided? If so, what? Is it light coloured, with no outside pockets or buttons, and/or metal detectable, as applicable? | | |
| Who is responsible for laundering the work wear and is the laundry, if external, accredited and/or subject to regular audit? | | |
| How frequently is the protective work wear | | |
| File Location | Prepared By: | Approved By: |

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 7 of 14 |

| | | |
|---|--|--|
| changed? | | |
| Is suitable and sufficient protection for breathing in place as applicable to the products being handled? | | |
| Is a separate changing room available and are personal lockers provided for personal effects | | |
| Do all personnel entering production areas wash their hands using hot water, un-perfumed bactericidal soaps and do they dry them suitably? | | |
| Are taps non-hand operated? | | |
| What type of hand drying facilities are available? If paper towels are used are there adequate dispensers and receptacles nearby? | | |
| Are meals and refreshments consumed in a specified area away from the processing area and are such areas kept clean and tidy and subject to internal audit? | | |
| How many toilets are available on site and is this number of toilet facilities adequate for the number of employees? | | |
| Are the toilets kept clean and hygienic at all times and are "Now wash your hands" signs clearly displayed? Who cleans them and how often? | | |
| Do all staff complete a medical questionnaire prior to their appointment that is assessed by a competent person to ensure their suitability for working in a food processing environment? | | |
| Is there a return- to- work following illness procedure, and does such screening cover Typhoid and Paratyphoid Fever (Salmonella) and VTEC (E.coli), other food poisonings and related symptoms (eg sickness and diarrhoea) etc | | |
| Do medical screening protocols include and are they applied to temporary staff, visitors and contractors? | | |
| How are sores and cuts controlled? | | |
| Are all sores and cuts covered with blue metal detectable water proof dressings and are these dressings accounted for? | | |
| Hygiene and Food Safety Training | | |
| Is the hygiene policy adequate to prevent contamination of food and does it cover visitors and contractors? | | |
| Do all food handlers receive appropriate induction and on- the- job basic food hygiene and food safety training , inc. CCPs? | | |
| Are all relevant food handling and processing staff informed of the hazards of Allergens | | |
| Are gloves used and if so are they maintained in a good clean condition? | | |

| Pest Control | Y/N | Comments/Answers |
|--|------------|-------------------------|
| What pests does the control programme cover? | | |
| Is there a documented pest control management programme in place | | |
| Has the pest control proofing in place on site been recommended by appropriately qualified persons? If so, who? Are they registered? | | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 8 of 14 |

| | | |
|---|--|--|
| Is pest control externally managed? If yes, who is the service provider/contractor and what type of service is provided? If internally managed, who is responsible and what training have they received? | | |
| Are there Insectocutors/EFKs on site and what pests are controlled by these? | | |
| Are there Pheromone traps on site and what pests are controlled by these? | | |
| Are there Bait Boxes on site and what pests are controlled by these? | | |
| Are there pest screens on site and what pests are controlled by these? | | |
| Is all proofing robust and well maintained? | | |
| Are records kept of infestation inspections, and are all infestation issues followed up and subject to corrective action and record keeping? | | |
| Are treatments applied documented and details of the chemicals used described? Are Control of Substances Hazardous to Health (COSHH) data sheets held for these chemicals? | | |
| Are routine baits in the production area non-toxic? | | |
| If pesticides have to be used are they stored in a locked room away from production? | | |
| Have there been any recent problems of infestation in the last 12 months? If so, what? | | |
| Is fumigation carried out regularly? If 'yes', at what intervals, with which chemical/s, and complying with which regulation? | | |
| Is fogging carried out? If 'yes' how frequently? Detail the chemical/s used for fogging. | | |

| Process, Quality and Food Contamination Controls | Y/N | Comments/Answers |
|---|------------|-------------------------|
| Is processing supervised by technically competent personnel? | | |
| What start up controls are in place? Do these take into account segregation of allergenic materials? | | |
| What in- process checks (quality, food safety) are carried out? | | |
| Are there documented control procedures at various stages of processing in place and are these reviewed at appropriate intervals? | | |
| Are there documented systems for identifying and managing process scrap and reject work? | | |
| Are all process non-conformances and corrective actions fully documented? | | |
| Are all process steps performed without unnecessary delay to avoid deterioration or development of pathogens? | | |
| Is rough treatment of containers avoided to prevent contamination? | | |
| Raw Material Checks | | |
| Are raw materials of high quality? Raw materials destined for the production of food for infants and children should be of high hygienic conditions. Food of animal origin should only be derived from | | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 9 of 14 |

| | | |
|---|--|--|
| healthy stock. | | |
| Are all raw materials protected from pests, micro, chemical and physical contamination? | | |
| Are all raw materials checked on intake for the presence of foreign matter contamination considered to be objectionable and injurious? | | |
| Are all raw materials micro tested and are they positive released? | | |
| Is cross contamination controlled? | | |
| Is all equipment in contact with raw materials thoroughly cleaned and disinfected? Is it separate from finished goods equipment and colour coded? | | |
| Does de-boxing and/or de-bagging take place in a room segregated from the processing area? | | |
| Wood and Cardboard | | |
| Is wood used in the production areas? If so, where and for what? | | |
| Where wooden pallets used are used, do they have food grade "liners" on top of the pallets beneath the materials placed on them? If no, are plastic pallets used? | | |
| Is there a cardboard policy in the production area? If 'yes' please describe what this is or attach it | | |
| Glass, Hard Plastics and Ceramics | | |
| Is there a glass, hard plastics and ceramics policy and breakage procedure? If 'yes' please attach copies. | | |
| Is the use and audit of glass, hard plastic and ceramics risk assessed, and are audit records retained? | | |
| Magnets | | |
| What type of magnets is used? | | |
| Is the size and positioning of magnets in processing determined by an expert ? | | |
| What is the cleaning frequency of magnets, and how their findings investigated? | | |
| Are magnets subject to routine maintenance and calibration? If so, by whom? | | |
| Sieves | | |
| Are sieves used in the production process? If so state the type and range of mesh sizes employed? | | |
| At which point on the machine are the sieves located? | | |
| Are sieve checks made and records of these retained? | | |
| Are all sieve failures investigated and corrective actions identified and implemented before the material/s affected leave the Supplier's control? | | |
| Metal Detectors | | |
| Are all finished products metal detected? If so, at what stage in their processing does metal detection occur? | | |
| What is the sensitivity of the metal detector/s used? | | |
| Are all metal detectors regularly maintained, serviced and calibrated? If so, by whom and to what frequencies? | | |
| Are all metal detection failures investigated and corrective actions identified and implemented | | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 10 of 14 |

| | | |
|--|--|--|
| before the materials affected leave the Supplier's control? | | |
| Calibration | | |
| What equipment is calibrated? | | |
| Is there a documented system of calibrating equipment, ie. scales, metal detectors, and are such devices calibrated back to national standards? | | |
| Are check weights to ensure balances and scales are measuring correctly and if so at what frequency? | | |
| Is all measuring equipment used to monitor CCPs eg scales, metal detectors of a known accuracy and calibrated and is the calibration status of such equipment indicated eg by the last or next calibration date? | | |
| Is calibration work carried out at such a frequency that it enables the material to still be under the Supplier's control if issues are found? | | |
| Packaging | | |
| Is the packaging area clean and tidy? | | |
| Is all packaging and labelling used food grade and tamper evident as applicable? | | |
| Is all packaging traceable back to origin and inspected prior to use to ensure that it is clean?, | | |
| Are finished material packaging checks carried out to ensure labelling and coding is correct and are records kept of the same? | | |
| Is only packaging material required for immediate use kept in the packing or filling area? | | |
| Is the packaging being used correct, GMO, organic, storage instructions, weight, product type etc. | | |
| Are the fill levels correct? | | |
| Are the BB dates correct and legible? Is the batch code visible, correct and easily traceable? Is each batch checked after filling? Are defects removed? | | |

| Warehousing | Y/N | Comments/Answers |
|---|------------|-------------------------|
| Are all warehouses used of a design to promote good housekeeping? | | |
| Are materials products stored and handled in such a way as to preserve quality and food safety and prevent contamination? | | |
| Is all stock suitably labelled and within its shelf life and are Allergenic materials suitably segregated? | | |
| Is an appropriate stock rotation system in place eg FIFO? | | |
| Are external contractors used for storage and if so are standards including hygiene agreed with them and audited accordingly? | | |

| Transport | Y/N | Comments/Answers |
|--|------------|-------------------------|
| What checks are carried out on raw material delivery vehicles? | | |
| Are all goods transported by approved service providers? If so, who? | | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 11 of 14 |

| | | |
|---|--|--|
| Is there a documented and agreed service agreement in place which details agreed hygiene requirements? | | |
| Are all vehicles used for the transport of raw materials and packaging and finished products suitable for the purpose of carrying food materials and maintained in good repair? | | |
| Are all vehicles checked for hygiene and cleanliness prior to loading and screened from adverse weather conditions during the loading process? Are records of inspection kept? | | |
| Is wood is used during transportation eg pallets, container back boards. If so is it appropriately certified and stamped from a Phytosanitary perspective, and has its use been approved? | | |

| Supplier Evaluation and Assurance | Y/N | Comments/Answers |
|--|------------|-------------------------|
| Where appropriate, does the Supplier have a Supplier Evaluation programme in place ie do they assess and approve their suppliers eg by a) third party accreditations b) physical audit c) self-audit questionnaire d) historical performance a) other means, etc? | | |
| Is there a risk assessed and documented supplier audit schedule? Is there information covering the whole supply chain? | | |
| Are supplier audits conducted against a documented technical protocol and are audit reports available for inspection? | | |
| Who carries out the supplier audits and what level of competency, experience and/ or professional qualifications (as applicable) do they hold? | | |
| Are there agreed specifications with suppliers of raw materials, packaging, food lubricants, plant and equipment etc., and are they jointly agreed, signed and dated? | | |
| Is there a documented goods – in systems in place and are records kept of goods in inspections? | | |
| What tests are carried out on incoming products to ensure conformance to specification and where non-conforming material is received is this referred to the supplier's supplier for corrective action? | | |
| Are raw materials positively released to Production and on what basis i.e. microbiologically, physical inspection, etc? Describe | | |

| Crisis Management, Emergency Procedures, Product Recall, Traceability, Certification | Y/N | Comments/Answers |
|---|--------------|-------------------------|
| Is there a Crisis Management/Emergency/Product Recall procedure in place which is subject to regular testing? State the date of the last test. | | |
| Are there robust measures in place to ensure that in the event of disruptions to your operations you would still be able to continue to supply? | | |
| Are there robust traceability of all materials from | | |
| File Location | Prepared By: | Approved By: |

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 12 of 14 |

| | | |
|---|--|--|
| grower to despatch to, and is this system internally tested on a regular basis? State the date of the last test. | | |
| Are certificates of analysis issued, or certificates of conformity for all finished products supplied | | |
| Are there specifications for each ingredient supplied. If yes check they are signed by both parties. | | |
| Is there a unique internal product coding system for all raw materials and the corresponding finished goods? Describe the product coding and how it works. | | |

| Internal Audit | Y/N | Comments/Answers |
|--|-----|------------------|
| What is the frequency of internal audits and are they subject to schedule, procedure, non conformance corrective action and record keeping | | |
| What is the frequency of internal audits and are they subject to schedule, procedure, non-conformance corrective action and record keeping, to demonstrate continuous improvement? | | |
| Who carries out internal audits and what levels of competency / professional qualifications (if any) do they hold? | | |

| Allergens Policy | Y/N | Comments/Answers |
|--|-----|------------------|
| Is there an Allergen policy? Append a copy and/or explain what it covers and how it works. | | |

| | | |
|---|--|--|
| Is the manufacturing/supplying site allergen free? | | |
| Do you and/or your suppliers handle allergens, if so name them and describe control measures to prevent cross contamination | | |
| Have the supplier's suppliers got a documented allergen policy? If 'yes' attach a copy. | | |
| Organic products | | |
| Are all raw materials and processing aids used organic. Check documentation. | | |
| Is an organic certificate available for each product manufacture ? | | |

| GMO and GM Derivatives | Y/N | Comments/Answers |
|---|-----|------------------|
| Note: see appendix B for classification of potential secondary GM derivatives, fermentation, and biotechnology products). | | |
| Are Genetically Modified Materials handled on the suppliers processing site? If 'yes' state procedures for use and storage i.e. segregation and clearance. | | |

| | | |
|------------------------|----------------|---------------------------|
| Processing Aids | By your | In your processing |
|------------------------|----------------|---------------------------|

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 13 of 14 |

| | processor | operations |
|---|------------------|-------------------|
| A processing aid is a product, often a chemical, which is used in the process that has no particular function in the finished product. This can include anti-caking/free flow agents, bleaching and/or chlorination chemicals. Are any processing aids used for product supplied? | | |

| Pesticides | Y/N | Comments of the auditor |
|---|------------|--------------------------------|
| Is there a Pesticide policy, and is pesticide residue testing carried out on all materials supplied | | |
| a) Provide a policy statement | | |
| b) State the testing frequency | | |
| c) State for which pesticides testing is carried out (or attach documentation which describes this) | | |
| d) Are pesticide test results satisfactory? | | |
| e) Provide examples of results available? | | |
| f) State which laboratory carries out such testing and its accreditation | | |

| Product Analysis | Y/N | Comments of the auditor |
|---|------------|--------------------------------|
| Are finished products positively released for despatch? | | |
| What parameters / criteria is material positively released against? | | |
| Is quality testing performed to the required standard by suitably competent, trained and experienced personnel? | | |
| Are legible and accurate records (IT and/or hard copy) of all quality tests and batch retention samples retained in appropriate containers in clean, dry conditions for at least the shelf life of the material plus two years? | | |
| What laboratory analyses on finished products supplied are carried out? What is the sampling regime? Is the method statistically validated? | | |
| Are QC tests carried out on all relevant criteria as described in the material specifications for all materials supplied? | | |
| What is the minimum shelf life of the material as supplied? | | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|

| | | |
|--|--|--|
| | <u>Supplier Audit Questionnaire</u> | Issue Date: 10.06.2013 Issue No: 1 |
| | | Page 14 of 14 |

| | | |
|---|--|--|
| Which organisms are tested for and who by? Specify the testing laboratory and its accreditation? | | |
| If tested on site is the pathogen lab separated from production? | | |
| Does the supplier carry out contaminants testing applicable to products supplied? Specify the testing laboratory and its accreditation, and the frequency and type of the testing undertaken? | | |
| What scheme or schemes is the supplier affiliated to in respect of validating testing capabilities? | | |

| Customer Complaints/Supplier Non Conformances | Y/N | Comments/Answers |
|---|------------|-------------------------|
| Check the customer complaint handling/ supplier non conformance procedure is in place | | |
| Who is responsible for the system? | | |
| Are non-conformances/complaints trend analysed and their findings used as a continuous improvement tool? | | |
| What is the percentage of foreign body complaints of the total number of complaints registered in the last six months, and is this an increase or decrease compared to the previous 6 month period? | | |
| Are complaints communicated for investigation to the relevant people and are the findings communicated to all relevant persons for training purposes? | | |

| | |
|-----------|--|
| | |
| Name | |
| Position | |
| Date | |
| Signature | |

| | | |
|---------------|--------------|--------------|
| File Location | Prepared By: | Approved By: |
|---------------|--------------|--------------|