

Kiwa audit

Venue: Kiwa Offices, Harrogate

Date: 13th June 2017

Present: Sarah Cox (Frontier), Lorraine Chambers (Kiwa), Garry Rudd (AIC) in part Hattie Lord (KIWA)

Tour and meet the team <ol style="list-style-type: none">1. List team members2. Roles3. Organisational chart	Organisational chart provided.
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Key Performance Indicators

Assessment and Certification Services	
Kiwa to contact Provisional Participant within 2-5 days of receipt of membership application form.	Complete – see trace.
Kiwa to carry out assessment within 12 weeks of the certification contract or as agreed with the Member.	Complete – see trace.
Assessor to complete and return an assessment report to the Kiwa office within 5 days of the assessment visit.	Complete – see trace. Kiwa contact the assessors 2 times a week to ensure these are completed on time.
Kiwa to review reports within 10 days of receiving a complete report package including member corrective action (where applicable).	Complete – see trace.
Kiwa to issue Certificates of Conformity within 2-5 days of reaching a decision to so do.	Complete – see trace.
Kiwa to train auditors at least annually.	Complete – see trace. Last training day was on the 24 th May 2017 in Solihull.
Communication	
Assessors to contact Kiwa immediately upon becoming aware of any incident having a possible adverse effect on human health, a severe or widespread effect on	OK – discussed at the working groups via Kiwa scheme reports.

animal health or a serious breach of the law by a TASCC participant.	
Kiwa to inform AICS within 1 working day of being notified by any source of any incident having a possible adverse effect on human health, a severe or widespread effect on animal health or a serious breach of the law by a TASCC participant.	OK – discussed at the working groups via Kiwa scheme reports.
Kiwa to provide AICS with an up to date list of trained and approved assessors, to be updated within 7 working days of any changes being made.	OK – Kiwa to produce latest list and send out to SC/GR. <i>Current list has no version control.</i> <i>See list attached version 1 11.09.2017</i>
Kiwa to inform AICS within 7 working days of any complaint against the TASCC scheme, any TASCC assessor or TASCC participant. Kiwa to respond to any participant making a complaint within 2 working days.	OK – discussed at the working groups via Kiwa scheme reports. Complaints are recorded and logged in a file. Viewed complaint number AS/16/05 - all details fully completed to the participants satisfaction.
Kiwa to provide a summary report to AICS within 7 working days and a detailed report within 7 working days of receipt of the outcome of any assessment witnessed or shadowed by an outside body.	OK – discussed at the working groups via Kiwa scheme reports.
Innovation	
Continue to develop the I-Learning modules for other AICS schemes.	Haulage and Storage now complete.
To expand the AIC Pyramid to introduce a portal, in liaison and agreement with AIC and its members, both in design and cost, that will ultimately provide an on-line, Quality Management System (QMS) for TASCC participants.	Vehicle ID portal now complete with over 2500 entries.
Auditors to use electronic audit reporting in early 2016.	Yes.
Miscellaneous	
Kiwa-PAI to produce an annual report for the AIC feed schemes	Used for the Earned recognition meetings.
Will assist AICS efforts to promote TASCC benefits over competitor schemes	Attends seminars and working groups along with other meeting if required. Others include:- <ul style="list-style-type: none"> • TIPPEX

	<ul style="list-style-type: none"> • RHA • Nabim/MAGB
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Participant Contact and Audit Process – Trace 1

Initial contact	<p>Whitkirk AF YY1975 Haulier</p> <p>Participant posted audit request on 27-3-17 and was received by Kiwa on 30-3-17. The certification agreement was returned on the 31-3-17.</p>
Payment and issue of password	<p>Hard copy of the code, covering letter and password issued when audit booked on 12-4-17 for the 26/4/2017</p>
Booking and audit	<p>Audit date was organised for 26-4-17 with Ruth Dodsworth.</p> <p>All assessors have an online worklist planner.</p>
Post audit	<p>No non conformance</p>
Corrective actions	<p>N/A</p>
Audit close out	<p>Jeff Blacker reviewed audit form ref 22533 on 27-4-17 and it was approved with the certificate sent on 28-4-17</p> <p>It was noticed that the “Decision Maker” box was not completed.</p> <p>Kiwa ask for a trace exercise on all new participants 3 months after the certificate is issued, but if no work done in the first three months it is rolled forward to their annual</p>

	<p>audit. <i>Suggest requesting this information at 6 months.</i></p> <p>Discussed this with the team and we roll over monthly until they have completed TASCC work. If they are not completing TASCC work we discuss if they want to continue.</p>
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Participant Contact and Audit Process – Trace 2

Initial contact	<p>Truck Van Car YY1896 Haulier</p> <p>Auditor – Mandie Turner Reviewer – Ruth Dodsworth</p> <p>Enquiry received 18-1-17 by post 2 bulk trailers – Band 2</p> <p>Certification agreement sent 19-1-17</p>
Payment and issue of password	Certification agreement sent 19-1-17
Booking and audit	Mandie Turner contacted participant on 7-2-17 with audit booked for 3-3-17.
Post audit	<p>Audit report sent to KIWA from auditor on the 14-3-17.</p> <p>12 action points with 1 observation.</p> <p>Included 1 major (not applied to LA regarding Food Hygiene regulations) and 11 minors.</p>
Corrective actions	Participant started sending in corrective actions on 9-3-17 until 18-3-17.
Audit close out	<p>Participant's corrective actions signed off by Lorraine Chambers on 18-3-17 (Saturday) with the certificate issued on 20-3-17 (Monday)</p> <p>No decision maker complete on computer system</p>

Participant Contact and Audit Process – Trace 3

Initial contact	<p>Taylors Farm - YY364 Report number - 215869 Assessment 13/9/2016 1st reminder sent 14/10/16 2nd reminder sent 24/10/2016 Reviewed by Emma Cutting – TASCC reviewer</p>
<p>Complaints</p> <ol style="list-style-type: none"> 1. Procedure/actions 2. Received 3. Who is informed 4. Correspondence to:- <ol style="list-style-type: none"> a) Participant b) Authorities 5. Close out 	<p>Any complaints are sent to CB or AIC in writing via “Ask AIC” or direct.</p> <p>Written complaint generates a number</p> <p>No TASCC in 2017 but one in 2016 (Kiwa Number A5/16/05) dated 5/8/2016 complaint closed 23/9/2016 – Robert Lamont</p> <p>Investigations are dated and logged and if escalated, goes to Feed Incident Group (FIG) and is added to the AIC Incident Log.</p> <p>Issues raises (such as lorry having a trailer removed due to having glass as a previous load) is raised with the TASCC WG.</p>
<p>External audits</p> <p>Earned recognition and the recording of Local Authority/Trading’s Standards audits on participants. Do you have any numbers on this and is ER working?</p>	<p>Meetings attended and report sent to FSA regarding ER bi-annually.</p> <p>Kiwa have added a box to the data base if participant has had a visit from the LA.</p>
<p>Auditor training and recruitment</p> <ol style="list-style-type: none"> 1. Process of recruitment 2. Has agreed increase of audit fees in 2015 been passed onto auditors? 3. Auditor training <ol style="list-style-type: none"> a) Dates b) Attendees c) Topics 	<p>Kiwa has 25 TASCC assessors (including 2 employed by Kiwa).</p> <p>All have contract but cannot work for GTAS or act as consultants to the business they are to audit.</p> <p>4 TASCC reviewers based at Kiwa who make recommendations to the completed audits.</p> <p>Both the assessors and reviews have the same training.</p> <p>Training is carried out by Martin Jowett covering TASCC/UFAS/FEMAS only. Both assessors and reviewers sit internal exams and are subject to shadow audits.</p> <p>Reviewer Jeff Blacker had completed exams and gained scores of (pass mark 75%):-</p>

- Haulage 88%
- Storage 93%
- Merchant 87%
- Testing 89%

If an auditor breaks the contract, then they are suspended and the information is added to their electronic record by Allison Spencer.

Retired auditors are kept on the system. Andy Yates retired in 2017, last audit carried out was 13-9-16 and the last witnessed audit was 27-7-15.

Auditor data base shows witness audits, training and upcoming audits.

Assessor -Andy Yates – Assessor Ref No 421
Db shows Andy as retired so system will not allocate any work.

Trained by M. Jowitt;

Haulage – 21/1/2016

Merchanting 21/1/2016

Storage 21/1/2016

Witnessed audit YY360 report 160564 – 28/10/2015 scope was storage.

Confidentiality agreement – 23/5/2014

Impartiality 23/5/2014

Public insurance 21/1/2017

Auditor Steve Davis – Assessor Ref No 524

Confidentiality agreement – signed 1/4/16
(renewed every 3 years)

Impartiality agreement – signed 1/4/16
(renewed every 3 years) Cannot audit AB
SUSTRAIN Carbon footprint and also works for
NSF

Insurance – exp 15/8/2016 *Needs updated copy
New insurance attached*

UKAS Witness audit on 18-11-15 during an
audit with Quality Freight (YY1259) Job ref
200842

UKAS due to witness 13/7/2017

Last KIWA witness audit 2/11/2015 by Lorrain
Chambers) next due 2/11/2017

New Auditor Penny Gaunt

Confidentiality agreement – signed 28-2-17

Impartiality agreement – signed 28-2-17

	<p>Insurance – Public Liability scanned copy 3/3/2017 TASC Training - result 95% Pass mark 75%.</p> <p>Witnessed audit 11/4/2017 Job no 216541 – Tattersall with Martin Jowitt YY1657.</p> <p><i>Certificate of training 24/5/2017 not on system yet.</i></p> <p><i>Record of attending the training attached</i></p> <p>No audits have been carried out as yet.</p>
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IT and Data base

<p>Data base</p> <ul style="list-style-type: none"> a) Maintenance b) Future development 	<p>Assurance checker feed is updated each evening after 6pm.</p> <p>Kiwa are moving to a new data base system called AX which will include more data base traceability when issuing correspondence. The new system is believed not be have any issues when transferring information to AIC.</p>
<p>I-learning</p> <ul style="list-style-type: none"> a) Enquiries b) Logins 	<p>These are issued if required during the certification agreement.</p>
<p>Vehicle ID</p> <ul style="list-style-type: none"> a) Enquiries b) Logins 	<p>These are issued if required during the certification agreement.</p>
<p>Quality system</p>	<p>Quality system is run by Alison Spencer who has been with KIWA 12 years. Alison will sign of all the approvals for new assessors. Quality manual was viewed</p> <p>WI.36- 4/4/2017 – Work instruction for conducting a witnessed assessment</p> <p>JS.07 -1/8/2013 Rev 4 Job Spec for TASC reviewed.</p> <p>1 witness audit /year then every 24-36 months.</p>
<p><u>Internal audits</u></p>	<p>These are carried out by Allison Spencer (Jill Witter is her deputy). TASC due an internal audit in 2017. Audits conducted in accordance to schedule and will look at complaints/audits.</p> <p>Viewed 21/2016 audit – Assessor reports were viewed by Alison. Corrective action was recorded e.g Mandie Turner HACCP cert was not in the system, Emma Cutting was reviewing Merchant audits but was not trained to do this. Assessor listed 4 action points but these were not transferred to the action point plan report back to the participant.</p>

Internal audit should have been done in 2016 but was done on 28/2/2017

Further comments

Non conformances

An SQL report is run every week to flag those companies still needing to return non conformances. The data base auto flags up when non-conformances are due (e.g. Taylor Farms (YY364) – audit closed out 27-10-16 and certificate continues.

Documents seen

- WI 22 - Work Instruction for Reviewer/Assessor report (9-8-16).
- WI 71 – Work Instruction for TASCC/UFAS/FIAS (7-2-17) – Revision 1 as now combined.
- JS07 – Job Specification TASCC Reviewer – 1-8-13 – Revision 4.

Assessors fees

Fee review 2015

Haulage

- Band 1 - £75 – 1-2 hours – no increase
- Band 2 - £100 – 2-3 hours – no increase
- Band 3 - £125 – 4 hours – increase
- Storage and Merchants - £125 – 4 hours – increase
- 1 day - £275 – 8 hours – increase
- New rate – 5-6 hours - £200 – increase

TASCC participants are not paid expenses.

Suggest auditors start recording start and finish times for data gathering.

Start and finish time is on the TASCC checklist

Actions and recommendations

For Kiwa

1. Training of auditors - The pass mark of 75% needs to be documented.
This will be documented on review of the training examinations next training is to be conducted on the 24th October for potential new assessors.
2. TASCC auditor training needs to be updated on the system to show the Solihull training on the 24th May 2017. *Complete see snippet below*

Assessor Ref	750	Name	Penny Gaunt	Visits:	12	<input type="checkbox"/> Archived	Look-up Name	Penny Gaunt
Address	CBs/Insp bods	Approvals	Issues	Training Log	WA History	Personnel	Corres'	Notes/Calls
Training Log								
	TrainingType	TrainingDate	Notes (255 characters)	DateVerified	Score			
	TASCC	28/02/2017	Feed and Fertiliser Scheme Training					
	FIAS	28/02/2017	Feed & Fertiliser Scheme Training					
	Introduction to PAI	28/02/2017	Induction by MJ					
	UFAS Technical	28/02/2017	Feed & Fertiliser Scheme Training					
	TASCC	03/03/2017	TASCC & UFAS Competence Exam. 95%					
	FIAS	03/03/2017	FIAS Competence Exam. 88%					
	TASCC	24/05/2017	TASCC Training Day					
	FIAS	24/05/2017	FIAS Training Day					
	*							

3. Steve Davis – Insurance expired in August 2016 – needs updating.
See attached document

4. Witnessed audits – Kiwa need to change the procedure so that scopes are mixed when carried out annually.
This is within the plan of the witness assessment programme if the assessor carries out more than one TASCC scope
5. It is recommended that all incoming correspondence (either paper or electronic) is dated upon arrival.
The information received by post is date stamped and the information received on email will now be imported with the email attached which will show the date it was received.
6. It is recommended that I-learning and the Vehicle ID portals are mentioned in the opening enquiry letter from Kiwa.
The covering letter that is sent to participants that have signed the certification agreement and we send out the link to the codes will also include a reference to the vehicle inventory and iLearning
7. Feed Department Assurance assessor map needs updating and a revision added.
This map is not part of the Quality Management scheme and is something that the admin employee has put together of their own reference
8. “Decision Maker” box needs to be completed in the data base when audit has been closed out.
This is completed by Alison our Quality Manager and is updated in line with the UKAS requirements for sign off, of reports.
9. The internal audit is four months late.
The internal audit was not late as it was completed by Alison In November 2016 and it scheduled to be completed in November 2017 (see attached report)
10. Send AIC the assessor/reviewer list whenever it is updated.
Assessor list is forwarded to AIC when updated, most recent attached.

For AIC

1. After the new codes are out in February, The TASCC WG should review the length of time required to audit the new codes fully.

Recommendations

1. Kiwa to provide information on auditor training and qualifications. Do they have HACCP, feed/food hygiene training? Minimum educational requirements?

Auditor signature and date:



Auditee signature and date:

Lorraine Chambers: 10.09.2017

Comments:

Kiwa are aware that there will be additional applications over the next 12 months due to GAFTA deciding not to certificate haulage and storage sites. As we have already seen a growth within TASCC in the last 12-18 months due to the wholly contracted hauliers now having to be certified we have taken the decision to strengthen the TASCC team by employing 2 new TASCC technical reviewers. We have also completed training for potential TASCC assessors with a further training course taking

place on the 24th October. We feel that this will ensure we can manage the growth of the TASCC scheme in the future.