NATO STANDARD

AMedP-4.5

AUDIT PRINCIPLES AND RISK ASSESSMENT OF FOOD PROCESSORS AND SUPPLIERS PROVIDING FOOD TO THE MILITARY

Edition B, Version 1

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NORTH ATLANTIC TREATY ORGANIZATION

ALLIED MEDICAL PUBLICATION

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NORTH ATLANTIC TREATY ORGANIZATION (NATO)

NATO STANDARDISATION OFFICE (NSO)

NATO LETTER OF PROMULGATION

29 March 2019

1. The enclosed Allied Medical Publication AMedP-4.5, Edition B, Version 1, AUDIT PRINCIPLES AND RISK ASSESSMENT OF FOOD PROCESSORS AND SUPPLIERS PROVIDING FOOD TO THE MILITARY, which has been approved by the nations in the Military Committee Medical Standardization Board, is promulgated herewith. The agreement of nations to use this publication is recorded in STANAG 2556.

2. AMedP-4.5, Edition B, Version 1, is effective upon receipt and supersedes AMedP-4.5, Edition A, Version 1, which shall be destroyed in accordance with the local procedure for the destruction of documents.

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4. This publication shall be handled in accordance with C-M(2002)60.

Zoltan GULYAS
Brigadier General, HUNAF
Director, NATO Standardization Office

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RESERVED FOR NATIONAL LETTER OF PROMULGATION

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RECORD OF RESERVATIONS

CHAPTER	RECORD OF RESERVATION BY NATIONS

Note: The reservations listed on this page include only those that were recorded at time of promulgation and may not be complete. Refer to the NATO Standardisation Document Database for the complete list of existing reservations.

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RECORD OF SPECIFIC RESERVATIONS

[nation]	[detail of reservation]
BGR	The Bulgarian Armed Forces will not implement AMedP-4.5 since the standard contradicts with the national legislation. Under the national Act on Food, the rights to control the organization and activities of manufacturers and suppliers of food, and food products have only the Bulgarian Food Safety Agency. Structures of the Ministry of Defence have no legal grounds and rights to supervise and inspect private suppliers.
CZE	1. CZE obeys the principles of good manufacturing and hygiene practices, Codex Alimentarius, hazard analysis and critical control points and national legislation based on the EU I legislation during the food distribution, stocking, and processing.
DNK	This STANAG with AMedPs, covering principles for food production, -audits and – control, are considered important documents for INTOPS and e.g. outsourcing of food production and DNK agree on these principles. However, DNK will not be able to fully implement on a national level, as parts of these tasks are being taken care of by civil authorities.
USA	Various and detailed reservations were submitted that have been forwarded to the document custodian for review and consideration.
Note: The reservations listed on this page include only those that were recorded at time of promulgation and may not be complete. Refer to the NATO Standardization Document Database for the complete list of existing reservations.	

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CHAPTER 1 INTRODUCTION

1.1. GENERAL

This publication details the minimum information to be exchanged among different nations about the quality and food safety management systems of all establishments supplying subsistence to Armed Forces in operations. In Annex A an example of a template of an audit report is given for food processors/manufactures, in Annex B for Food suppliers. It remains a national responsibility to decide under which format the information will be exchanged. This document is primarily meant to be used by food auditors as a guide for the level of detail and areas of interest that should be included in the audit.

1.2. AIM

The purpose of AMedP-4.5 is to:

- establish a standardised approach to ensure the quality of food processors and suppliers during all field operations (exercise, Article 5 or non-Article 5),
- establish the minimum requirements for military contracted food suppliers, processors, manufacturers based on Good Manufacturing Practices.
- provide a template for audit reports
    - Full report for food processors
    - Limited report with the applicable requirements for suppliers

In the following chapters, only the parts that are NOT *ITALICISED* apply for suppliers that have not their own production.

1.3. AGREEMENT

Participating nations agree:

- That the provision of safe food in the field is an operational necessity
- That health related risks and quality of food should be assessed when selecting suppliers
- To use the minimum standards described in Chapter 3 of this AMedP to perform audits about to assess risk of food suppliers in operations.
- That such information should be included in a report and exchanged with participating nations that request information.
- To notify participating nations when a Nation delivers food from a company that does not meet these minimum standards
- To have these audits performed by auditors who are Military Veterinarians or have a meaningful amount of academic training in food safety and quality management systems, as well as sufficient experience doing food safety audits.

1.4. LIMITATIONS

This document is not used to determine an establishment's capabilities to comply with product specifications or other purchase requirements. It is only meant to provide information among food auditors or food service managers of participating nations, so each Nation can make its own appreciation and judgement without having to perform a site audit.

CHAPTER 2 AUDIT PROTOCOL

2.1. AUDITOR

The auditor(s) that performs the site audit and makes the report shall be identified in the report with name, rank, unit and nation. Minimum contact information (phone, e-mail) will be part of the report. The auditor will provide relevant information to briefly explain his/her credentials of meaningful amount of academic training in food safety and quality management systems, and sufficient experience doing food safety audits.

2.2. AUDIT

The date of the audit, as well as the duration will be recorded in the report. The scope of the audit will be clearly defined. During the audit, the auditor performs not only a documentary audit, but also visits all the relevant places such as storage areas for raw material and finished products, sanitary installations, and production facilities. Implementation of procedures should be checked through different audit techniques such as sampling, interviews, etc.

2.3. AUDITEE

All relevant information about the organization being audited, such as address and contact information (Name of organization, name(s) of responsible person(s), function, phone, e-mail) will be provided. General information about activities, size and history will be summarised in the report.

2.4. SCORING THE REPORT

The report shall contain an overall recommendation by the auditor. This recommendation may be positive, negative or conditional. Conditional means that there is a problem that does affect the food safety and/or quality and could become significant if not addressed. When conditional, the necessary corrective actions will be clearly written in the report, as well as the timing that the auditee guarantees to implement these actions.

Non-conformities noted by the auditor, shall be divided into 3 categories:

a. Critical (C). A critical defect or finding is a condition, practice, step or procedure that if in noncompliance presents a biological, chemical or physical property that causes food to be unsafe for consumption, and conditions where the food safety hazard cannot be prevented, eliminated or reduced by a subsequent practice, step or procedure. A critical finding regarding infrastructure presents an unsafe condition or situation involving buildings or equipment that is more likely than other deficiencies to contribute

to food contamination or environmental health hazard. Examples of critical findings regarding infrastructure include, but are not limited to, loss of electricity for an extended period of time, long-term loss of potable water, or severe contamination of food services production and storage facilities by raw sewage or other similar contaminants.

b. Major (M). A major defect or finding is a condition, practice, step or procedure which is not an imminent food safety concern, yet affects or can affect the safety or usability of the products. For example, a food safety program for one area is not implemented at all. A major finding regarding infrastructure presents a moderate risk for physical safety and food safety, and over time may elevate to a higher risk level. Examples include deterioration of physical structures that may facilitate pest entry or physical hazards to food, inoperable refrigeration units that result in foods being improperly stored or over-packed in the few units that are operating properly.

c. Observations (O). Non-conformities that are not Critical or Major. Examples include: a food safety program for one area is partially implemented, but is fully implemented in other areas; one out of three refrigeration units had a broken thermometer but the refrigerator was found to be operating at the proper temperature; one employee was observed not wearing a hair restraint. An observation may represent a single occurrence that was corrected and is generally not an indicator of a chronic or systemic problem. When multiple observations are made regarding the same non-conformance, the finding is documented as a Major Defect.

CHAPTER 3 MIMIMUM CRITERIA FOR FOOD PROCESSORS AND SUPPLIERS

This Chapter provides clarification on how to interpret the questions in the Audit Forms in Annex A and B.

3.1. QUALITY MANAGEMENT SYSTEM

1. Is there a quality manual, containing quality policy, procedures, working instructions, specifications (raw material and end products), job descriptions and a HACCP study?

The supplier should ensure that resources are available to monitor the processes described in the manual. The quality manual should be readily available to relevant staff. The supplier should have a defined quality management system that is established, documented, implemented, maintained, reviewed and, where appropriate, improved. Processes needed for the quality management system should be identified, and their sequence and interactions should be determined, as well as criteria and methods required to ensure the effective operation and control of these processes. Information necessary to support the operation and monitoring of these processes should be available. These processes must be measured, monitored and analyzed, and actions necessary to achieve planned results and continual improvement must be implemented.

2. Are Good Manufacturing Practices and Sanitary Standard Operating
Procedures implemented as necessary to ensure conditions exist for the production of safe food products?

3. Are the requirements specified within the quality manual fully implemented?

The supplier should operate in accordance with documented procedures, instructions and reference documents to cover all processes critical to product safety, legality and quality. The supplier should ensure that all documents, records and data critical to the management of product safety, legality and quality are in place and effectively controlled. The reason for any changes or amendments to documents critical for product safety, legality or quality systems and procedures should be recorded. All documents in use should be properly authorized as described in the procedure of documentation management and be the correct version.

4. Does the supplier have a system for approving and monitoring its suppliers to ensure only appropriate materials and products are received?

The supplier should establish and implement the inspection or other activities necessary for ensuring that the purchased product meets specified purchase requirements. When production is outsourced or part of the production is carried out at another location, special procedures shall be in place to monitor performance. The supplier shall have a documented supplier approval procedure and continual assessment program in place, based upon risk assessment. These procedures shall include clear criteria for initial and ongoing standards and assessment of performance required. Assessments may take the form of monitoring performance through in-house checks, certificates of analysis or may extend to organisation inspection, as appropriate. Supplier assessments may include information and legislative requirements. The supplier shall regularly evaluate and select suppliers based on their ability to supply product in accordance with their requirements. Criteria for selection, evaluation and re-evaluation shall be established; records of the results of evaluations and any necessary actions arising from the evaluation shall be maintained.

5. Describe the system in place to manage customer complaints.

Actions appropriate to the seriousness and frequency of the problems identified should be carried out promptly and effectively. Complaint data should, where appropriate, be used to implement ongoing improvements to product safety, legality and quality as determined in specifications and seek to prevent recurrence.

6. Does the supplier have an effective traceability system, which enables the identification of product lots and their relationship to batches of raw materials, primary and consumer unit packaging materials, processing and distribution records?

The supplier shall have a system to trace and follow all raw materials (including primary packaging materials) from source through all stages of processing and distribution of the finished product to the customer. The traceability system must be tested on a regular basis to verify traceability from raw material receipt to finished product shipment (downstream flow) and from finished product shipment to raw material receipt (upstream flow). These tests must be documented. Where rework of a product is performed, traceability shall be maintained. Traceability records shall be maintained at least as long as the product shelf life and for a defined period sufficient for recall purposes, and in accordance with customer requirements.

Samples representative for the production (where appropriate, samples of all batches produced) shall be stored appropriately and kept until expiration of the "Use by" or "Best before date" of the finished product and if necessary during a determined period beyond this date ("sample bank").

Internal and external audits should be scheduled and their scope and frequency should be established in relation to the risks associated with the activity. Corrective actions and timelines for their implementation should be defined.

Results of the internal and external audits should be brought to the attention of the personnel responsible for the activity audited. Competent auditors, who should be independent of the area of operation being assessed, should carry out internal audits.

Results of the internal audit should be monitored by the top management to see if the quality goals are achieved.

The company should audit those systems and procedures which are critical to product safety, legality and quality to ensure they are in place, appropriate and complied with.

Internal audits should be carried out by appropriately trained, competent auditors, who should not audit their own work or have direct influence on the operation within the department or section being audited.

7. Does the supplier effectively manage incidents and have effective product withdrawal and recall procedures in place, and are the procedures tested to ensure implementation?

The supplier should have an effective product withdrawal and recall procedure for all products. The procedure should be appropriate, formalized and be capable of being operated at any time. The procedure should be regularly tested in a manner that is appropriate to ensure its effective operation. The supplier should maintain emergency contact information (suppliers, clients, relevant authorities, name and telephone number) in the event of a food safety crisis. The supplier should have a procedure to inform the clients as soon as possible with detailed information in case of withdrawal or recall. The procedures should be regularly reviewed and updated when necessary.

A crisis management procedure should be available including: nomination of a crisis team, an alert contact list, client information, product withdrawal and/or recall, communication plan, consumer information and when necessary, legal deliberation. The supplier should provide written guidance to relevant staff regarding the type of event that would constitute an “incident” and a documented incident reporting procedure should be in place.

Procedures should exist to ensure that customers are notified in a timely manner should an incident take place that has potentially resulted in an illegal or unsafe product being delivered to the customer. The procedures relating to incident reporting, product withdrawal and product recall should be appropriate, formalized and capable of being operated at any time, and will take into account stock requisition, logistics, recovery, storage and disposal. The procedures should be regularly reviewed, and, if necessary, revised to ensure currency. The product recall and product withdrawal procedures should be regularly tested in a manner that is appropriate to ensure their effective operation, and

results of the test retained. The company should ensure corrective or preventive action takes place, including the review of all records of incidents.

3.2. HAZARD ANALYSIS CRITICAL CONTROL PROGRAM (HACCP)

1. Is the basis of the supplier's food safety control system a HACCP plan, which is systematic, comprehensive, thorough and based on the Codex Alimentarius HACCP principles?

2. If there is no HACCP plan implemented, describe in detail how all hazards are controlled.

3. Is there a competent HACCP team that has documented meetings?

The HACCP team leader or nominated team representative should be able to demonstrate competence in the understanding of HACCP principles and their applications. The HACCP team shall have senior management commitment and should be supported and communicated to the total organization and implemented through the organization's quality management system. Key personnel identified as HACCP team members shall have adequate training and experience and are able to demonstrate appropriate product and hazard knowledge. When relevant knowledge is not available, expert advice should be obtained.

4. Are all existing and new products covered by the HACCP plan?

The scope and extent of the HACCP plan shall be defined for each product, process line or process location. A flowchart should exist for each product and for all variations of the process and sub-process. The flowcharts shall be dated and should identify each CCP and its number.

5. Does the HACCP plan include a documented hazard analysis that identifies all biological, physical and chemical hazards (including allergens) that are reasonably expected to occur and determine a manageable number of Critical Control Points (CCPs)?

The scope of the HACCP study shall include allergens and other objectives that are relevant to meet the safety expectations of the customer. The organization should ensure that the HACCP analysis is based on scientific/technical data/literature about the products and processes used. The likely occurrence of hazards defined in the scope and the severity of their adverse health effects shall be investigated and documented.

Determine if the hazard leads to a risk and what the control measures are. The product or process should be modified if there is no control measure available. Determine a manageable number of CCPs at which control can be applied and food safety hazards can be prevented, eliminated or reduced to acceptable levels. Each CCP shall be under control.

6. Does the HACCP plan establish critical limits for each CCP?

Establish Critical Limits that are specified for each CCP, so it is easy to identify when the process is out of control.

7. Describe all CCPs, critical limits, specific monitoring procedures, and corrective actions when there is a loss of CCP control.

8. Is each CCP recorded on a monitoring form, dated and signed by the person performing the measurements and are records of monitoring maintained for a relevant period in relation with the shelf life?

9. Is an effective corrective action plan a written part of the HACCP plan?

A corrective actions plan relating to safety, legality or quality as determined in specifications should be established, implemented and verified. Corrective actions should be fully documented and undertaken as soon as possible to prevent further occurrence of nonconformity.

The supplier should ensure procedures exist to investigate the cause of nonconformities against standard specifications and procedures, which are critical to product safety, legality and quality as determined in specifications. Corrective actions shall be accurately documented, assigning responsibility and accountability. The outcome from the corrective actions should ensure continuous improvement.

10. Does the HACCP plan include a full validation of the process, which is made prior to initial production, considering worst-case conditions to ensure product safety, legality and quality?

Ongoing process validation should be undertaken on a routine basis based on risk assessment and data indicating inconsistent or insufficient compliance with process requirements.

11. Does the HACCP plan establish procedures to verify that the HACCP system is working effectively?

Changes of process related to HACCP shall be covered in the HACCP plan and should be reviewed. Establish documentation concerning all procedures and records appropriate to these principles and their application. Documentation and record keeping should be appropriate to the nature and size of the supplier. All measures in place should be carried out at an appropriate frequency and fully documented. The verification should contain a review of complaints and product dispositions.

12. Does the supplier maintain records that demonstrate the effective control of product safety, legality and quality?

Documents should be clearly legible, unambiguous and sufficiently detailed to enable their correct application by appropriate personnel, and should be readily accessible at all times.

The records should be appropriately reviewed by a manager, signed and dated and retained in good condition, for an appropriate defined time period (at least the "best before date"), so that they can be reviewed. The supplier should provide evidence of its commitment to developing and implementing the quality management system and continually improving its effectiveness. The supplier's senior management shall provide all the resources required to implement and improve the processes of the quality management and HACCP systems. The supplier's directors and senior management should demonstrate commitment to implementing the quality policy. The supplier should ensure that levels of responsibility and accountability are clearly defined for key staff involved with product safety, legality and quality systems. Senior management should review the organization's quality management system at planned intervals to ensure its continuing suitability, adequacy and effectiveness.

The HACCP review should include actions for continuous improvement with respect to quality policy and quality objectives. Records of the management review should be maintained. The review process should include the evaluation of:

- internal, second-party and third-party audits
- customer feedback
- process performance
- product conformity
- the status of preventative and corrective actions
- review of previous management review meeting minutes and action points
- changes that could affect the quality management system
- recommendations for improvement.

13. Does the organization have a full description of each product, addressing all relevant food safety parameters?

Specifications should be adequate, accurate and should ensure compliance with relevant safety and legislative requirements. Specifications should, where appropriate, be formally agreed and authorised with relevant parties. The supplier should be able to show that specifications for any product are linked to the end product control. Up to date specifications should be accessible. The supplier shall have a specification review procedure. If appropriate, the specifications for the raw materials shall correspond to the specifications for the end products. The supplier shall ensure that appropriate specifications exist for:

- raw materials (including packaging materials)
- finished products
- intermediate/semi-processed products (where appropriate)
- any product or service, which could affect the integrity of the finished product

3.3. PERSONNEL

1. Describe briefly the competence of personnel responsible for product quality on the basis of their relevant education, training programs, skills and experience.

2. Are trained personnel available where needed to provide a level of competency necessary for production of clean and safe food?

The supplier should have documented training procedures and full training records for all employees including temporary personnel and contractors. The supplier should ensure that all employees involved in production, as well as the service staff, are trained in personal hygiene and food safety prior to commencing work. A review of training and a program of refresher training should be in place. All personal should be adequately supervised throughout the working period. Employees are clearly assigned their responsibilities. Chemicals should be used by trained personnel.

3. Do all individuals allowed access to food production areas (food handlers, auditors, visitors, contractors,…) wear suitable protective clothing?

Protective clothing should, where appropriate, cover personal clothing above the knee and should be designed to ensure product safety is not compromised. All hair should, where appropriate, be fully covered to prevent product contamination. Suitable footwear should be worn within the factory environment. All protective clothing should be laundered effectively on a regular basis. All protective clothing should be removed before visiting the toilet. Controls should be in place to ensure product safety is not compromised before returning to food handling areas. Protective clothing should be removed in a designated changing area.

Laundering of protective clothing should take place in house or be done by an approved contracted and audited laundry and the effectiveness of cleaning should be monitored.

Personnel should enter a high risk operation via a specially designated changing facility, and should follow specified procedures for visually distinctive clean overalls, headwear and footwear. High risk area work wear should be removed only in a specially designated changing area. Employees should maintain adequate cleanliness.

4. Describe briefly the amount and frequency of medical screening of employees on contagious diseases before performing work and evaluate the risk assessment it is based on.

The company should ensure that medical screening procedures are in place for all employees who will be working in areas where product safety could be compromised. The organization should have a procedure for the notification by

employees, including temporary employees, of any relevant infectious disease or conditions with which they may be suffering or have been in contact with.

5. Are employees eating food, chewing gum, drinking beverages or using tobacco in food production and storage areas?

6. Are personnel touching unprotected food washing their hands thoroughly after each absence from the processing workstation and at any other time the hands may have become soiled or contaminated?

3.4. INFRASTRUCTURE

1. Is the infrastructure needed to achieve conformity with the product's requirements determined, provided and maintained by the supplier?

The design and the building of the infrastructure shall minimize the risk of a product's contamination; so that food safety and hygiene principles can be applied without any difficulty. The supplier shall have capabilities to maintain the facilities in good conditions.

2. Are the site, buildings and facilities suitable for the expected production?

No kind of pollution or food contamination shall be allowed on the site, buildings and facilities. The supplier shall make sure of their suitability for the expected production in compliance with the food requirements.

3. Is the equipment suitable and designed for the intended purpose? Is it used correctly so that the risk of a product's contamination is minimized?

The supplier shall ensure that the equipment employed is able to produce consistently safe products.

4. Factory Environment Standards: are the entire site's grounds finished and maintained in an appropriate standard?

Consideration shall be given to local activities, which may have potentially adverse impact and measures shall be taken to prevent product contamination. Where natural draining is inadequate, a sewage disposal shall be installed. When an external storage is necessary, items shall be protected from contamination and deterioration. A clean and unobstructed area shall be provided along external walls of buildings used for production and storage.

Where there are adjoining walls, procedures shall be in place to retain an appropriate level of product protection and cleanness. The site's boundary lines shall be clearly defined.

5. Are the personnel facilities designed and used so that the risk of product contamination is minimized?

Suitable and sufficient hand washing facilities shall be provided at access and other appropriate points within production areas. Toilets shall not open directly into production, packing or storage areas. Suitable and sufficient rest and catering facilities shall be provided for all personnel. Suitable provision shall be made for the storage of food brought into the premises by personnel. Outdoor clothing and other personal items shall be stored separately from protective clothing within the changing rooms.

6. Layout/Product Flow: List the different work areas that are physically segregated to avoid the cross contamination of current manufactured products or finished products from raw material and products from other processing areas.

Chilled ready to eat / heat products or foods which have a high risk of growth of pathogenic microorganisms, are manufactured and stored with a physical segregation from finished products, products from raw material and products from other processing areas.

7. Layout/Product Flow : If a high risk area exists in the factory, is it designed to allow a high standard of hygiene and practices, in the areas relating to the personnel, ingredients, equipment, packaging and environment in order to prevent product contamination by micro-organisms?

In high-care areas where there is a significant risk of contamination of chilled ready to eat/heat products by pathogenic micro-organisms, the processing or handling of food shall be appropriate to minimize a product contamination by such micro-organisms. When the process requires a screened or filtered air, the equipment used for this purpose shall be adequately maintained and cleaned within an appropriate frequency.

8. Waste/Waste disposal : Are there systems in place to minimize the accumulation of waste in production and storage areas and to prevent the use of unfit materials?

There shall be in place adequate systems for the collection, collation and disposal of waste. Waste disposal shall meet legal requirements. When appropriate, licensed contractors shall remove the waste, it shall be documented. Waste containers for internal and external purposes should be clearly identified, correctly cleaned and disinfected with appropriate methods.

9. Are appropriate storage facilities provided for control and storage of dangerous and toxic materials?

Dangerous or toxic materials, particularly cleaning products, detergents and disinfectants, shall be stored in adapted and safe premises. Chemicals should be stored separately from food.

10. Maintenance: Is there in place a system of scheduled maintenance covering all items of equipment that are critical for the safety, legality and quality of products?

A system of planned maintenance shall be in place, covering all items of equipment and plant, to ensure the safety, legality and quality of the products. The organization shall ensure that the safety or legality of the products is not jeopardized during the maintenance operations and new developments or buildings. Maintenance measures shall be recorded and archived. All incidents should be recorded. At resolution of these incidents, corrective measures must be taken to improve the maintenance plan.

3.5. FLOW / PROCESS CONTROL / PROCESS

3.5.1. The Pre- Production Stage

1. Evaluate the input control of raw materials for food safety and quality and also the control of semi processed products. Describe rejection of non conforming raw materials.

Physical and chemical evaluation of raw materials shall be adequately controlled, monitored and recorded.

Raw materials shall be purchased from approved sources and shall be protected from contamination and adulteration at all times.

2. Do receipt documents and labelling facilitate correct stock rotation?

Procedures shall be in place to ensure materials are used in the correct order and within the allocated shelf life. Raw materials and semi-processed products shall be stored so as to minimise the risk of infestation. Stock labelling shall enable the identification of the same raw materials from various processors.

3. In case live animals are stabled, describe the conditions under which animals are kept.

Capacity, food and potable water availability, physical conditions, and holding period shall not adversely influence the final product safety and quality.

4. Are procedures to control non-conforming raw material (packaging included), including rejection, acceptance by concession, or for alternative use, in place and understood by all relevant personnel?

The company shall ensure all out-of-specification raw materials are clearly identified, labelled and quarantined. Corrective actions shall be implemented to avoid recurrence of non-conformance and adequate documentation kept of the corrective action taken. All quarantined material shall be regularly discharged. Frequency shall be in accordance with national legislation.

3.5.2. The Production Stage

1. Are there procedures implemented to ensure the safety, legality and quality as determined in the specification of the finished product when rework (leftovers) is used, or reworking operations carried out?

2. Are there procedures implemented to evaluate non-conforming products (packaging included), including rejection, acceptance by concession and for potential alternate uses?

The supplier shall ensure all products that do not meet specifications are clearly identified, labelled and quarantined. Corrective action shall be implemented to avoid recurrence of non-conformance and adequate documentation kept of the action taken. All non-conforming products shall be handled or disposed according to the nature of the problem and/or the specific requirements of the customer. Any product that has become contaminated shall be effectively controlled. A relevant quarantine procedure shall be applied after any incident.

Product rejection decisions shall be taken by authorised persons. All quarantined material shall be regularly discharged.

3. Is the production and measurement equipment regularly calibrated to ensure that all required specifications (e.g., time, temperature, dosage) are met?

In the event equipment is found to be out of tolerance, procedures should be in place to decide if any corrective action is necessary on product since the last satisfactory test. The supplier shall identify the measurements critical to food safety and the relationship to the measuring and monitoring devices required to ensure product safety. Calibration should be scheduled according to the importance of the test and the reliability of the production and measurement equipment. The supplier shall adjust or calibrate the prescribed measuring and monitoring devices to ensure accuracy within agreed parameters at a predetermined frequency or as necessary.

4. Describe the documented procedures which allow traceability of Genetically Modified Organisms (GMOs) and food allergens.

The documented control of traceability of foods consisting of GMOs, containing GMOs or produced from GMOs maintains the relationship between raw materials, intermediate and processed materials and finished products. Raw material specifications must be maintained, which identify products consisting of, containing or produced from GMOs (purchasing information). This includes the existence of a supplier documented warranty concerning presence or absence of GMOs. The raw material master list is kept, which includes all identified GMOs that are used in the facility, and what final blends or formulas those GMOs are used in. This list is verified, updated and validated by the concerned functions. The documented control of traceability of foods allergens maintains the relationship between raw materials, intermediate and processed materials and finished products. Raw material specifications must be maintained, which identify products with allergenic risks (purchasing information). This includes the existence of a supplier documented warranty concerning presence or absence of allergens. The raw material master list is kept, which includes all identified allergens that are used in the facility, and what final blends or formulas those food allergens are used in. This list is verified, updated and validated by the concerned functions.

Production of products containing food allergens and production of products without food allergen is done to minimise a potential contamination (adventitious presence) of products, which contain no food allergens.

Procedures are in place to ensure that adequate changeover sanitation is completed prior to running food allergen free products. Adequate control measures are in place to prevent cross contamination.

5. Is the frequency and methodology of quantity checking sufficient to meet the minimum requirements of legislation governing quantity verification?

The supplier shall operate a quantity control system for products produced in-house and prepacked items, which conforms to legal requirements (where the product is sold) and any additional recognised industry sector codes or specified customer requirement. All equipment used for quantity measurement shall be legally acceptable and regularly calibrated.

6. Describe the documented procedures for metal detection/foreign object detection.

Where a metal or foreign body detector is required, the supplier shall establish and apply the best practice and critical limits for detection, having due regard to the nature of the food, the location of the detector and any other factors influencing the sensitivity of the detector. The metal or foreign body detector shall incorporate both an alarm, and where applicable, an automatic rejection device, which shall either divert contaminated product into a separated area, accessible only to authorised personnel, or for continuously extruded product only, identify via an appropriate mark the location of the contaminant. Only where automatic rejection or identification is not possible will a simple line stop be acceptable. The supplier shall establish and implement procedures for the operation, routine monitoring and testing of the metal and other foreign body detectors. The supplier shall establish and implement corrective action and reporting procedures, in the event of the monitoring and testing procedure identifying any failure of the metal or foreign body detector.

These will include the isolation, quarantining and re-inspection of all food produced since the last acceptance test of the metal or other foreign body detector.

7. Does the supplier have sufficient procedures to ensure that product is not released unless all release procedures, including, if necessary, analytical results, have been followed?

The supplier shall ensure that product is not released unless all release procedures have been followed.

8. Describe the procedures which ensure reliability of test results.

Personnel undertaking analyses shall be suitably qualified, and/or trained and shall be competent to carry out analyses required. Monitoring of all incoming materials for compliance to specification shall be specified and based on risk assessment. Inspection method, frequency of inspection and procedures shall be specified and documented.

Suppliers of incoming materials, as appropriate, shall provide evidence of guarantees, certifications/declarations of analysis or certificates of conformity. The supplier shall have procedures implemented to check if the end product meets the specification.

The supplier shall undertake or subcontract product inspection and analyses which are critical to confirm product safety, legality and quality, using appropriate procedures, facilities and standards. Where the organisation subcontracts analyses critical to product safety, legality and quality as determined in specifications, a competent accreditation body shall independently certify the third-party laboratory. Internal sensorial tests shall be carried out regularly to validate finished products. The results, after evaluation, shall be regularly communicated to the organisation's senior management and all staff concerned. Shelf life or "best before date" validation shall take into account results of sensory tests. Product development shall take into account results of sensory tests. The internal analysis methods should be validated (for example ring tests etc.,) on a regular basis to check if the selected analysis methods are suitable.

9. Is there a sample plan available for checking new developed raw materials, semi finished products and end products?

10. Describe how shelf life and product use tests are carried out and validated to determine the end life of a food product.

Use by or "Best before date" shall be established taking into account product formulation, packaging, factory environment and subsequent storage conditions. Shelf life trials shall be undertaken using documented protocols and trial results documented and retained.

3.5.3. The Post Production Stage

1. Does the company ensures that the labelling and coding of the product is legal and in accordance with the appropriate product specification/contractual requirements?

2. Describe the procedures the supplier uses to ensure that sold product conforms to specified purchasing requirements. (i.e. tendered sample vs production sample).

The type and extent of control applied to the supplier and the purchased product shall be dependent upon the effect of the purchased product on subsequent product development or the final product. The company shall control all its purchasing processes which are critical to product safety, legality and quality to ensure products and services procured conform to defined requirements.

3. Describe the procedures which are in place to confirm that product packaging material conforms to specification.

Product packaging material shall be appropriate for the intended use and stored under conditions to minimise the risk of contamination and deterioration. Packaging material shall comply with relevant food safety legislation and suitability for use. No negative influence shall occur from packaging material on raw material, semi processed products or finished products. Packaging should be stored away separately from raw materials and finished product. Packaging should be removed from outer packaging outside production areas to eliminate risks of bringing contamination into the production areas.

3.5.4. During the Whole Process

1. Evaluate how the supplier arranged the process/work flow from intake to dispatch to prevent cross contamination of raw material, packaging, intermediate/semi-processed and finished product.

Physical barriers or demonstrably effective procedures shall be in place to minimise the risk of contamination of raw materials, packaging and finished products. Premises shall allow sufficient working space and storage to enable production to be carried out properly under safe clean conditions. The work flow shall, where appropriate, be such to reduce any potential physical, chemical or microbiological contamination risk. Where appropriate, there shall be an effective segregation between high and low risk production areas to minimise the risk of product cross contamination. There shall be effective segregation in place to minimise the risk of product contamination where specific handling requirements are required (e.g., allergens or identity preserved products). Segregation of production areas shall take into account the flow of product, the flow of waste, the type of materials, equipment, personnel, airflow, air quality and maintenance. Incompatible materials (e.g., raw and cooked products) shall be stored in an appropriate manner and conditions to prevent cross contamination.

Facilities for tray and utensil washing and general purpose cleaning shall, where appropriate, be adequately segregated from production areas.

2. Where physical and chemical control (including temperature) of the raw materials, intermediate or finished product, processes and/or environment is critical to product safety, legality and quality, does the supplier adequately control, monitor and maintain records?

Online process monitoring shall be carried out in accordance with product specifications and/or specified procedures. The cold chain shall not be interrupted in such a way that the product temperature is not within the legal or/and the specification. Where the quantity of the product is not governed by legislative requirements (e.g., bulk quantity), the product must conform to customer specifications.

3. Evaluate how all water supplies used for cleaning, or in connection with any operation in the manufacture of products is potable. Describe the source and what is done to ensure potability.

All water services to and within the production and storage areas shall be designed, constructed, maintained and monitored to control the risk of product contamination. The quality of water, steam or ice that comes in contact with food, shall be regularly monitored and shall present no risk to product safety.

4. Does the supplier undertake or subcontract the microbiological and physical/chemical analyses in raw material, semi-finished products or finished products, critical to product safety, legality and quality as determined in specifications?

A documented control plan shall exist and results shall be recorded. It will be evaluated if these analyses are performed professionally (Accredited lab or in-house lab with quality control program, i.e. Ring tests)

3.6. CLEANING/DISINFECTION/PEST CONTROL

1. Describe the cleaning and sanitation program.

Cleaning and disinfection schedules (defining the products used, their conditions of use, areas to clean/disinfect, frequencies, determination of responsibilities) should be in place and maintained. The effectiveness of the cleaning and disinfection procedures should be verified and documented and corrective actions should be put in place. Food contact surfaces are cleaned and sanitized as frequently as necessary and portable equipment and materials i.e. meat saws and meat cutting boards are to be properly stored to protect against contamination of food. In the pre-production phase, the effectiveness of the cleaning and sanitizing program should be audited. In the post-production clean-up phase, the supplier's system for cleaning and sanitizing: water temperatures, chemicals, methods, etc. should be verified.

2. Are the cleaning and disinfection practices documented?

The supplier should either contract the services of a competent cleaning/disinfection organization, or should have trained personnel, for the regular cleaning and disinfection practices. To prevent risk of cross contamination, cleaning of toilet or swill areas should not be done by personnel working in high-risk/high-care production areas.

3. Are there enough hand wash facilities equipped with liquid soap, hand sanitizer and paper towels dispersed throughout the producing and packing area?

4. List products used for cleaning, sanitizing and pest control and their approval authority for use in food processing facilities.

5. During food processing, are cleaning and sanitizing solutions effectively physically separated?

6. If hot water without chemicals is used for disinfection, describe how it is used and whether the temperature is above 180° F / 82° C.

7. Are there rodent/insect harbourages around the facility? Does the supplier take actions to prevent these pests from entering the establishment?

The supplier should show documentation that every effort has been taken to minimize the risk of pest infestation on site.

8. Is an effective pest management program in place?

Detailed records of the pest control inspections, recommendations and corrective actions undertaken should be kept. Either the services of a competent pest control contractor, or trained staff personnel are assigned in the regular inspection and treatment of premises to determine and eradicate infestation. Where the services of a pest control contractor are employed, the service contract should be clearly defined and reflect the activities of the site. Without risk for open product contamination, permanently operational and correctly located electric fly killers or a suitable alternative should be provided. Raw materials, semiprocessed products, packaging and finished products should be stored so as to minimize the risk of infestation. Where pests are considered a potential risk in stored products, appropriate measures should be included in the pest control program.

3.7. TRANSPORT (AND DISTRIBUTION)

1. Are there effective procedures to prevent cross-contamination of food products during transport and storage?

All vehicles used for the transportation of raw materials (including packaging) to the premises, and the dispatch of intermediate/semi-processed product and finished product to the customer or to further storage facilitates should be suitable for the purpose, maintained in good repair and in a food safe condition. Where product could be susceptible to product cross contamination, procedures should be in place to minimise the risk of contamination, including cleaning and disinfection procedures. Where the material transported is susceptible to weather damage, vehicles should be loaded and unloaded in covered bays to protect the food products.

2. Describe the procedures in place and records kept when temperature controlled transport is used to ensure that product temperature requirements are met according to specifications, while the product is held in vehicles or in storage.

The temperature of the transport vehicle or storage room and of the products should be checked prior to loading, and the driver should have means of checking the temperature on route. Refrigerated transport and storage should incorporate temperature data logging devices which can provide data to confirm time/temperature conditions or a system should be in place to validate the

correct operation of refrigerated equipment at static locations i.e. warehouses regularly. Procedures should, where appropriate, be in place in the case of vehicle or refrigeration equipment breakdown. All incidents of vehicle or refrigeration equipment breakdown should be recorded and corrective action documented.

3. In case the company employs third-party transport and storage service provider(s), does the contract specify all the requirements as outlined within this section? Is it effectively managed?

3.8. FOOD DEFENCE

1. Are there effective policies and procedures in place to prevent, identify and respond to food defence violations?

A food defence plan has been developed and implemented products while in transit. Supplier has assigned protection responsibilities to knowledgeable individuals. Supplier has conducted an initial assessment for food defence procedures and operations.

Supplier reviews and verifies, at least annually, the effectiveness of the protection management program. Management is aware of 24-hour contact information for local protection agencies. Supplier has a crisis management strategy to prepare for and respond to tampering and other malicious, criminal activity.

Supplier evaluates the lessons learned from past tampering or other malicious, criminal, or terrorist actions and threats.

Supplier performs random food defence inspections of all appropriate areas of the facility (including receiving and storage areas).

Supplier verifies that security contractors are performing their duties (if applicable). Supplier has a routine and random food defence inspection program for the facility (including; receiving and warehousing areas and intrusion detection systems) and for food in transit.

All threats and suspicious behaviour are reported to the proper authorities.

2. Does the supplier's facility provide adequate protection against entry of unknown personnel?

Non-public perimeter is fenced.

Doors (including freight loading doors, when not in use and not being monitored, and emergency exits), windows, roof openings/hatches, vent openings, ventilation systems, utility rooms, ice manufacturing and storage

rooms, loft areas and trailer bodies, and bulk storage tanks for liquids, solids and compressed gases are secured.

Exterior doors are metal-clad. Supplier can account for all keys to establishment (for example, assigning responsibility for issuing, tracking, and retrieving keys).

There is adequate interior and exterior perimeter lighting, including emergency lighting, where appropriate, to facilitate detection of suspicious or unusual activity.

Emergency exits have self-locking doors that can only be opened from the inside.

3. Describe the hiring procedures, training, supervision and access restriction in areas where food is produced, processed, stored or distributed to ensure the risk of food defence violations is minimized.

Supplier obtains and verifies work references, addressees, and phone numbers of all staff.

Screening procedures are applied equally to all staff, regardless of race, national origin, religion, and citizenship or immigration status.

Supplier incorporates food defence training, including information on how to prevent, detect, and respond to tampering.

Supplier encourages staff support (for example, involving staff in food defence planning and the food defence awareness program, demonstrating the importance of protection procedures to the staff).

Supplier has a system of positive identification and recognition (for examples, issuing uniforms, name tags, or photo identification badges with individual control numbers, color coded by area and/or level of authorized access).

Supplier provides an appropriate level of supervision to all staff, including cleaning and maintenance staff, contract workers, data entry and computer support staff, especially, new staff.

Supplier conducts routine protection checks of the premises, including utilities and critical computer data systems.

Managers know who their employee are, who should be on premises, and where they should be located, for each shift.

Daily protection checks of the premises are conducted to look for signs of product tampering, unauthorized entry or any other unusual situations.

Supplier identifies staff that requires unlimited access to all areas of the facility.

Supplier limits staff access to non-public areas so staff enters only those areas necessary for their job functions and only during appropriate work hours.

Supplier prevents staff from bringing personal items (for example, lunch containers, purses) into non-public food preparation or storage areas.

Personnel other than management and approved employees do not have access to hazardous materials storage areas.

Critical access points where employees have access to food products with no supervision or co-worker present have been identified. These "unsupervised" access points to food are minimized or monitored.

Areas where there are large amounts of food product exposed (e.g., vats, kettles, tanks, chillers, coolers, hoppers, etc.) are restricted.

Entry to the non-public areas of the establishment is restricted.
Visitors have a sign up book indicating time of arrival, purpose of visit, person visiting and departure time.

Supplier verifies the identity of all visitors to the non-public areas of the establishment.

4. Is access to laboratory materials properly limited and are procedures regarding laboratory testing controlled to prevent contamination of food?

Supplier has restricted access to the laboratory, because there may be hazardous chemicals or products in the laboratory that could be used to intentionally contaminate food.

Supplier has procedures in place that restrict laboratory materials to the laboratory, except as needed for sampling or other appropriate activities.

Supplier has assigned responsibility for integrity of positive controls to qualified individual(s).

The assigned individual(s) knows what reagents and positive controls should be on the premises and keeps track of them.

Lab personnel investigate missing reagents or positive controls or other irregularities as soon as the irregularities are noticed.

There is a tracking mechanism in place and complied with for hazardous laboratory chemicals.

5. Are the chemicals, including sanitizers, properly secured to prevent intentional contamination of food?

Supplier stores poisonous and toxic chemicals in a secure area separate from food handling and food storage areas.

Supplier limits poisonous and toxic chemicals in the establishment to those that are required for the operation and maintenance.

Poisonous and toxic chemicals are properly labelled.

Personnel investigate missing stock or other irregularities outside a normal range of variation.

6. Describe the procedures that ensure all incoming goods are inspected at receipt and are coming from approved vendors.

Sources for all incoming materials, including ingredients, compressed gas, packaging, labels, and materials for research and development are approved.

Supplier ensures that suppliers, contract operators and transporters practice appropriate food defence measures (by direct auditing or a vendor approval program).

Incoming and outgoing vehicles (both private and commercial) are inspected for unusual cargo or activities.

Supply deliveries are verified against a roster of scheduled deliveries.
Unscheduled deliveries are kept (outside plant premises if possible) pending verification of shipper and cargo.

Appropriately licensed contractors are used.

Supplier authenticates labelling and packaging configuration and product coding/expiration dating systems (where applicable) for incoming materials in advance of receipt of shipment, especially for new products.

Supplier has letters of guarantees for all incoming raw ingredients.

Supplier requests locked and/or sealed vehicles/containers/railcars, and, if sealed, obtains the seal number from the supplier.

Supplier verifies product integrity when a seal is broken for inspection by a governmental agency or as a result of multiple deliveries.

Supplier investigates unexplained, unscheduled deliveries or drivers, and investigates delayed or missed shipments.

Supplier has a procedure for inspecting incoming materials, including ingredients.

Personnel check for signs of tampering, contamination or damage.

The receipt of incoming ingredients, compressed gas, packaging, labels and product returns is supervised.

The on site employee has full authority for rejecting suspect food.

All trailers on the facility premises are locked and sealed at all times when not being loaded or unloaded.

Personnel investigate missing or extra stock on hand.

Supplier stores product labels in a secure location.

7. Is access to water, utilities and computers limited to appropriate personnel?

Supplier has limited access to areas that control airflow, water, electricity, and refrigeration. Supplier has secured non-municipal water wells, hydrants, storage, and handling facilities.

Supplier limits computer process control systems and critical data systems are limited to those with appropriate clearance (for example, using passwords, firewalls).

8. Are there effective procedures in place to ensure product is held under secure conditions during transportation and storage?

Supplier requests locked and/or sealed vehicles/containers/railcars and provides the seal number to the consignee.

Supplier establishes scheduled pickups, and does not accept unexplained, unscheduled pickups.

Supplier keeps track of finished products. Shipping personnel are able to explain lot system, coding system and first in-first out system.

Trucks and storage rooms are locked securely where possible. In case the storage area in the truck cannot be securely locked, the truck will never be left unguarded.

There is a capability for verification of driver location and load at any time.

ANNEX A

NATO Auditreport FOOD Processor

DATE:		DURATION:	

AUDITOR

NAME:		RANK:	
COUNTRY:		UNIT:	
PHONE:		EMAIL:	

Describe shortly auditors competence:

COMPANY

Name			
Adress		Phone	
Contact-person		email	
Scope			
DATA	year of construction:	Number operators:	
	Surface size	Annual production volume:	
General information			

General advise by auditor

POSITIVE - NEGATIVE - CONDITIONAL	Condition: (if applicable)	
Critical Items		
Major Items		

1. Quality Management System			
1.1	Is there a quality manual, containing quality policy, procedures, working instructions, specifications (raw material and end products), job descriptions and a HACCP study?	YES - NO	
1.2	Are Good Manufacturing Practices and Sanitary Standard Operating Procedures implemented as necessary to ensure conditions exist for the production of safe food products?	YES - NO	
1.3	Are the requirements specified within the quality manual fully implemented?	YES - NO	
1.4	Does the organization have a system for approving and monitoring its suppliers to ensure only appropriate materials and products are received?	YES - NO	
1.5	Describe the system in place to manage customer complaints.		
1.6	Does the processor have an effective traceability system, which enables the identification of product lots and their relationship to batches of raw materials, primary and consumer unit packaging materials, processing and distribution records?	YES - NO	
1.7	Does the company effectively manage incidents and have effective product withdrawal and recall procedures in place, and are the procedures tested to ensure implementation?	YES - NO	

2. HACCP			
2.1	Is the basis of the processor's food safety control system a HACCP plan, which is systematic, comprehensive, thorough and based on the Codex Alimentarius HACCP principles?	YES - NO	
2.2	If there is no HACCP plan implemented, describe in detail how all hazards are controlled.		
2.3	Is there a competent HACCP team that has documented meetings?	YES - NO	
2.4	Are all existing and new products covered by the HACCP plan?	YES - NO	
2.5	Does the HACCP plan include a documented hazard analysis that identifies all biological, physical, chemical hazards (including allergens) that are reasonably expected to occur and determine a manageable amount of CCPs?	YES - NO	
2.6	Does the HACCP plan establish critical limits for each CCP?	YES - NO	
2.7	Describe all CCPs, critical limits, specific monitoring procedures, and corrective actions when there is a loss of CCP control.	*1.* *2.* *3.* *4.* *5.* *6.*	
2.8	Is each CCP recorded on a monitoring form, dated and signed by the person performing the measurements and are records of monitoring maintained for a relevant period?	YES - NO	
2.9	Is an effective corrective action plan a written part of the HACCP plan?	YES - NO	
2.10	Does the HACCP plan include a full validation of the process, which is made prior to initial production, considering worst-case conditions to ensure product safety, legality and quality?	YES - NO	
2.11	Does the HACCP plan establish procedures to verify that the HACCP system is working effectively?	YES - NO	
2.12	Does the processor maintain records that demonstrate the effective control of product safety, legality and quality?	YES - NO	
2.13	The organization should have a full description of each product addressing all relevant food safety parameters.	YES - NO	

3. Personnel			
3.1	Describe briefly the competence of personnel responsible for product quality on the basis of relevant education, training programs, skills and experience.		
3.2	Are trained personnel available where needed to provide a level of competency necessary for production of clean and safe food?	YES - NO	
3.3	Do all individuals allowed access to food production areas (food handlers, auditors, visitors, contractors,...) wear suitable protective clothing?	YES - NO	
3.4	Describe shortly the amount and frequency of medical screening of employees on contagious diseases before performing work and evaluate the risk assessment it is based on.		
3.5	Are employees respecting the hygienic rules of NOT eating food, chewing gum, drinking beverages or using tobacco in food production and storage areas?	YES - NO	
3.6	Is personnel touching unprotected food washing their hands thoroughly after each absence from the processing workstation and at any other time the hands may have become soiled or contaminated?	YES - NO	

4. Infrastructure			
4.1	Is the infrastructure needed to achieve conformity with the product's requirements determined, provided and maintained by the processor ?	YES - NO	
4.2	Are the site, buildings and facilities suitable for the expected production ?	YES - NO	
4.3	Is the equipment suitable and designed for the intended purpose ? Is it used correctly so that the risk of a product's contamination is minimized ?	YES - NO	
4.4	Factory Environment Standards : are all the site's grounds finished and maintained in an appropriate standard ?	YES - NO	
4.5	Are all personnel facilities designed and used so that the risk of a product contamination is minimized ?	YES - NO	
4.6	Layout/Product Flow : List the different work areas that are physically segregated to avoid the cross contamination of current manufactured products or finished products from raw material and products from other processing areas.		
4.7	Layout/Product Flow : If a high risk area exists in the factory, is it designed to allow a high standard of hygiene and practices, in the areas relating to the personnel, ingredients, equipment, packaging and environment in order to prevent product contamination by micro-organisms ?	YES - NO	
4.8	Waste/Waste disposal : Are there systems in place to minimize the accumulation of the waste in the production and storage areas and to prevent the use of unfit materials ?	YES - NO	
4.9	Are appropriate storage facilities provided for the control and the storage of the dangerous and toxic materials ?	YES - NO	
4.10	Maintenance : Is there in place a system of scheduled maintenance, covering all items of equipment, that are critical for the safety, legality and quality of the products?	YES - NO	

5. Proces Control			
5.1 The pre-production stage			
5.1.1	Evaluate input control of raw materials for food safety and quality and also control of semi processed products. Describe rejection of non conforming raw materials.		
5.1.2	Do receipt documents and labelling facilitate correct stock rotation?	YES - NO	
5.1.3	In case live animals are stabled, describe the conditions animals are kept in.		
5.1.4	Evaluate procedures for the control of non-conforming raw material (packaging included), including rejection, acceptance by concession, or for an alternative use, shall be in place and understood by all relevant personnel.		
5.2 The production stage			
5.2.1	Are there procedures implemented to ensure the safety, legality and quality as determined in the specification of the finished product when rework is used, or reworking operations carried out?	YES - NO	
5.2.2	Evaluate procedures for the control of non-conforming products (packaging included), including rejection, acceptance by concession, or for an alternative use, shall be in place and understood by all relevant personnel.		
5.2.3	Is the production and measurement equipment regularly calibrated to ensure that all required specifications (e.g. time, temperature, dosage) are met?	YES - NO	
5.2.4	Describe the documented procedures which allow traceability of Genetically Modified Organism (GMO) and food allergens.		
5.2.5	Is the frequency and methodology of quantity checking sufficient to meet the minimum requirements of legislation governing quantity verification.	YES - NO	
5.2.6	Describe the documented procedures for metal detection/foreign object detection.		
5.2.7	Evaluate whether the processor has sufficient procedures to ensure that product is not released unless all release procedures, including, if necessary, analytical results, have been followed.		
5.2.8	Describe the procedures which ensure reliability of test results.		
5.2.9	Is there a sample plan available for checking new developed raw materials, semi finished products and end products?	YES - NO	
5.2.10	Describe how shelf life and product use tests are carried out and validated to determine the end life of a food product.		

5.3 The post production stage		
5.3.1	Does the company ensure that the labelling and coding of the product is legal and in accordance with the appropriate product specification/contract requirements.	YES - NO
5.3.2	Describe the procedures the processor uses to ensure that sold product conforms to specified purchasing requirements. (i.e. tendered sample vs production sample).	
5.3.3	Describe the procedures used to confirm that product packaging material conforms to specification.	
5.4 During the whole process		
5.4.1	Evaluate how the processor arranged the process/work flow from intake to dispatch to prevent cross contamination of raw material, packaging, intermediate/semi-processed and finished product.	
5.4.2	Where physical and chemical control (including temperature) of the raw materials, intermediate or finished product, processes and/or environment is critical to product safety, legality and quality, this shall be adequately controlled, monitored and recorded. Evaluate, how the processor sufficiently meet these demands.	
5.4.3	Evaluate how all water supplies used for cleaning, or in connection with any operation in the manufacture of products is potable. Describe the source and what is done to ensure potability.	
5.4.4	How does the processor undertake or subcontract the microbiological and physico/chemical analyses in raw material, semi-finnished products or finished products, critical to product safety, legality and quality as determined in specifications? Evaluate if appropriate procedures and facilities are used.	

6. Cleaning / Desinfection / Pest Control			
6.1	Describe the cleaning and sanitation program?		
6.2	Are the cleaning and disinfection practices documented?	YES - NO	
6.3	Are there enough hand wash facilities equipped with liquid soap, hand sanitizer and paper towels dispersed in the producing and packing area?	YES - NO	
6.4	List products used for cleaning, sanitizing and pest control and their approval authority for use in food processing facilities.		
6.5	During food processing, are cleaning and sanitizing solutions effectively separated?	YES - NO	
6.6	If hot water without chemicals is used for disinfection, describe how it is used and whether the temperature is above 180° F / 82° C.		
6.7	Are there rodent/insect harbourages around the facility? Does the supplier take actions to prevent these pests from entering the establishment?	YES - NO	
6.8	Is an effective pest management program in place?	YES - NO	
7. Transport (& Distribution)			
7.1	Are there effective procedures to prevent cross-contamination of food products during transport and storage	YES - NO	
7.2	Describe the procedures in place and records kept when temperature-controlled transport is used to ensure that product temperature requirements are met according to specifications, while the product is held in vehicles or in storage.		
7.3	In case the company employs third-party transport and storage service provider(s), does the contract specify all the requirements as outlined within this section? Is it effectively managed?	YES - NO	

8. Food Defence			
8.1	Does this location have a completed written Food Defence Plan (See AMedP 4.12 on Food Defence for details)?	YES - NO	
8.2	By observation or asking questions with the company demonstrating/showing/describing, does this location adhere to the following:		
8.2.a.	Is incoming food and non-food items and water into the plant coming from approved vendors?	YES - NO	
8.2.b.	Are food and water supply records kept for a minimum of six months?	YES - NO	
8.2.c.	During transportation operations, is food and water secured (locked) at all times?	YES - NO	
8.2.d.	Is there adequate physical security within and outside of buildings so that unauthorized individual(s) are not able to gain access?	YES - NO	
8.2.e.	Is there a system to adequately reduce food defence vulnerabilities in the receiving area(s)?	YES - NO	
8.2.f.	Is there a system to adequately reduce food defence vulnerabilities in the distribution area(s)?	YES - NO	
8.2.g.	Within the operation (receiving, storage, processing, finished goods, distribution areas etc.) is food or non-food items either observed at all times (eyes on) or secured (locked)?	YES - NO	
8.2.h.	Is access restricted to computer and data systems and sensitive information to only those personnel with appropriate clearances?	YES - NO	
8.2.i.	Are chemicals secured (locked) at all times except when be used?	YES - NO	
8.2.j.	Is access restricted to computer and data systems and sensitive information to only those personnel with appropriate clearances?	YES - NO	
8.2.k.	Is there a written food defence training plan that describes who needs to be trained to what level?	YES - NO	
8.2.l.	Does the operation have a visitor policy whereby visitors are escorted or have the proper security clearance?	YES - NO	
8.2.m.	Is access to laboratory material properly limited and procedures regarding laboratory testing controlled by to prevent the contamination of food and water?	YES - NO	
8.2.n.	Is access to laboratory material properly limited and procedures regarding laboratory testing controlled by to prevent the contamination of food and water?	YES - NO	

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ANNEX B

NATO Auditreport FOOD Supplier

DATE:		DURATION:	

AUDITOR			
NAME:		RANK:	
COUNTRY:		UNIT:	
PHONE:		EMAIL:	
Describe shortly auditors competence:			

COMPANY			
Name			
Adress		Phone	
Contact-person		email	
Scope			
DATA	year of construction: Surface size	Number operators: Annual production volume:	
General information			

General advice by auditor		
POSITIVE - NEGATIVE - CONDITIONAL	Condition: (if applicable)	
Critical items		
Major items		

1. Quality Management System			
1.1	Is there a quality manual, containing quality policy, procedures, working instructions, specifications (raw material and end products), job descriptions and a HACCP study?	YES - NO	
1.2	Are Good Manufacturing Practices and Sanitary Standard Operating Procedures implemented as necessary to ensure conditions exist for the production of safe food products?	YES - NO	
1.3	Are the requirements specified within the quality manual fully implemented?	YES - NO	
1.4	Does the organization have a system for approving and monitoring its suppliers to ensure only appropriate materials and products are received?	YES - NO	
1.6	Does the supplier have an effective traceability system, which enables the identification of product lots and their relationship to batches of raw materials, primary and consumer unit packaging materials, processing and distribution records?	YES - NO	
1.7	Does the company effectively manage incidents and have effective product withdrawal and recall procedures in place, and are the procedures tested to ensure implementation?	YES - NO	

2. HACCP			
2.8	Is each CCP recorded on a monitoring form, dated and signed by the person performing the measurements and are records of monitoring maintained for a relevant period?	YES - NO	
2.12	Does the supplier maintain records that demonstrate the effective control of product safety, legality and quality?	YES - NO	
2.13	The organization should have a full description of each product addressing all relevant food safety parameters.	YES - NO	

3. Personnel			
3.1	Describe briefly the competence of personnel responsible for product quality on the basis of relevant education, training programs, skills and experience.		
3.5	Are employees respecting the hygienic rules of NOT eating food, chewing gum, drinking beverages or using tobacco in food production and storage areas?	YES - NO	
3.6	Is personnel touching unprotected food washing their hands thoroughly after each absence from the processing workstation and at any other time the hands may have become soiled or contaminated?	YES - NO	

4. Infrastructure			
4.1	Is the infrastructure needed to achieve conformity with the product's requirements determined, provided and maintained by the supplier ?	YES - NO	
4.2	Are the site, buildings and facilities suitable for the expected production ?	YES - NO	
4.3	Is the equipment suitable and designed for the intended purpose ? Is it used correctly so that the risk of a product's contamination is minimized ?	YES - NO	
4.4	Factory Environment Standards : are all the site's grounds finished and maintained in an appropriate standard ?	YES - NO	
4.5	Are all personnel facilities designed and used so that the risk of a product contamination is minimized ?	YES - NO	
4.6	Layout/Product Flow : List the different work areas that are physically segregated to avoid the cross contamination of current manufactured products or finished products from raw material and products from other processing areas.		
4.8	Waste/Waste disposal : Are there systems in place to minimize the accumulation of the waste in the production and storage areas and to prevent the use of unfit materials ?	YES - NO	
4.9	Are appropriate storage facilities provided for the control and the storage of the dangerous and toxic materials ?	YES - NO	
4.10	Maintenance : Is there in place a system of scheduled maintenance, covering all items of equipment, that are critical for the safety, legality and quality of the products?	YES - NO	

5. Proces Control		
5.1 The pre-production stage		
5.1.1	Evaluate input control of raw materials for food safety and quality and also control of semi processed products. Describe rejection of non conforming raw materials.	
5.2 The production stage		
5.2.2	Evaluate procedures for the control of non-conforming products (packaging included), including rejection, acceptance by concession, or for an alternative use, shall be in place and understood by all relevant personnel.	
5.3 The post production stage		
5.3.3	Describe the procedures used to confirm that product packaging material conforms to specification.	

6. Cleaning / Desinfection / Pest Control			
6.1	Describe the cleaning and sanitation program?		
6.2	Are the cleaning and disinfection practices documented?	YES - NO	
6.4	List products used for cleaning, sanitizing and pest control and their approval authority for use in food processing facilities.		
6.7	Are there rodent/insect harbourages around the facility? Does the supplier take actions to prevent these pests from entering the establishment?	YES - NO	
6.8	Is an effective pest management program in place?	YES - NO	
7. Transport (& Distribution)			
7.1	Are there effective procedures to prevent cross-contamination of food products during transport and storage	YES - NO	
7.2	Describe the procedures in place and records kept when temperature-controlled transport is used to ensure that product temperature requirements are met according to specifications, while the product is held in vehicles or in storage.		
7.3	In case the company employs third-party transport and storage service provider(s), does the contract specify all the requirements as outlined within this section? Is it effectively managed?	YES - NO	

8. Food Defence			
8.1	Does this location have a completed written Food Defence Plan (See AMedP 4.12 on Food Defence for details)?	YES - NO	
8.2	By observation or asking questions with the company demonstrating/showing/describing, does this location adhere to the following:		
8.2.a.	Is incoming food and non-food items into the supply facility coming from approved vendors?	YES - NO	
8.2.b.	Are food supply records kept for a minimum of six months?	YES - NO	
8.2.c.	During transportation operations, is food secured (locked) at all times?	YES - NO	
8.2.d.	Is there adequate physical security within and outside of buildings so that unauthorized individual(s) are not able to gain access?	YES - NO	
8.2.e.	Is there a system to adequately reduce food defence vulnerabilities in the receiving area(s)?	YES - NO	
8.2.f.	Is there a system to adequately reduce food defence vulnerabilities in the distribution area(s)?	YES - NO	
8.2.g.	Within the operation (receiving, storage, processing, finished goods, distribution areas etc.) is food or non-food items either observed at all times (eyes on) or secured (locked)?	YES - NO	
8.2.h.	Are chemicals secured (locked) at all times except when be used?	YES - NO	
8.2.i.	Is access restricted to computer and data systems and sensitive information to only those personnel with appropriate clearances?	YES - NO	
8.2.j.	Does employees have adequate level of security to work in location? (Ask about hiring procedures?	YES - NO	
8.2.k.	Is there a written food defence training plan that describes who needs to be trained to what level?	YES - NO	
8.2.l.	Does the operation have visitor policy whereby visitors are escorted or have the proper security clearance?	YES - NO	

AMedP-4.5(B)(1)