

# QA INTERNATIONAL CERTIFICATION LIMITED

## QUALITY SYSTEM SURVILLANCE REPORT

**Number 11- 08**

**ISO 9001:2008**

**Scheme Number  
QAIC/UK/667**

**Company Name:** First Choice Labels Ltd

**Office / location:** Unit 4, Malmo Court  
Kirkleatham Business Park  
Redcar  
TS10 5SQ

**Report By:** Brian Fowler Lead Auditor

**Date:** 5<sup>th</sup> August 2011

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1. **Introduction** - Reporting details of the Surveillance, ie. dates, location that was assessed, applicable Assessment Standard and Quality Assessment Schedule.
2. **Assessment Scope** - Reporting details of the Scope for Registration
3. **Contacts** - Reporting names and designations of those persons interviewed at which location during the course of the Assessment.
4. **Assessment Checklist** - Explaining the function of the Quality System Assessment. Checklist and making Reference to its use in section 5 of this report.
5. **Findings** - Reporting upon the findings contained within the Quality System Surveillance Checklist.
6. **Conclusions** - Reporting upon the findings contained within the Quality System Surveillance Checklist Report.

### 1.0 INTRODUCTION

On 5<sup>th</sup> August 2010 a Quality System surveillance was carried out by QA International at First Choice Labels Limited, Kirkleatham Business Park, Redcar.

The objective of the surveillance audit was to assess the continued compliance and operation of the Company's Quality Assurance Management System, with the Documented Quality System and the requirements of ISO 9001:2008. The Assessment was carried out as part of a dual Audit also covering the requirements of the BRC Global Standard - Packaging.

### 2.0 ASSESSMENT SCOPE

The Scope of the assessment was "The manufacture of self adhesive labels for the food industry and other applications".

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The Scope of the assessment was "The manufacture of self adhesive labels for the food industry and other applications".

This scope was consistent with the assessment findings.

### 3.0 CONTACTS

During the course of the review discussions were held between QAIC Ltd and the following person(s).

Mr Nigel Willis	Managing Director
Mr Anthony Sharples	Consultant
Kirk Lamplugh	Sales Office Manager

#### **4.0 REVIEW CHECKLIST**

The Surveillance Checklist and BRC audit notes attached, give information on those areas examined during the assessment and details assessment findings. No Discrepancy Reports was raised against the BRC requirements.

#### **5.0 FINDINGS**

There was no discrepancy found, relating to the operation of the Quality Management system.

#### **6.0 CONCLUSIONS**

Throughout the assessment, it was apparent that the owner of this Company is committed to the upkeep and further development of the Quality System. The fact that no discrepancies were uncovered supports this.

The outcome of the assessment is that the Documented Quality System of First Choice Labels Limited continues to satisfy the requirements of ISO 9001:2008 and the Company are operating it to a satisfactory level.

On the basis of the above findings it is recommended that the Company's registration should be maintained.

***Report end.***

## QA INTERNATIONAL CERTIFICATION LIMITED

### STAGE 2 SURVEILLANCE AUDIT

#### QUALITY SYSTEM ASSESSMENT CHECKLIST REPORT

### ISO 9001:2008

Company: First Choice Labels

Location: Redcar

Scheme Reference: QAIC/UK/667

Report Reference: 11-08

Date: 05/08/11

Assessment Team:

Role in Assessment:

B L Fowler

Lead Assessor

**Assessment Codes:** (enter in code column)

**S** - Quality System elements examined and considered **satisfactory**

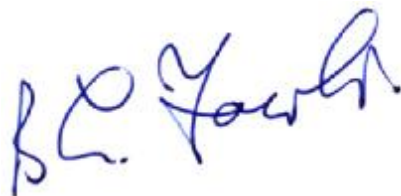
**NA** - Quality System elements considered **not applicable**

**NE** - Quality System elements **not examined**

**D** - Quality System **Discrepancy** – enter Report reference No.

**O** - Quality System **Observation** – enter Report reference No.

**Note:** Detailed Objective Evidence - to be recorded



Signed by Assessment Leader: \_\_\_\_\_ Date: 05.8.11

*(Declaration: I hereby confirm that neither myself nor any member of the assessment team listed above have any interest to declare with respect to this assessment.*

**NOTE:** If more space is required use Supplementary Record Sheets to note additional Factual Evidence

## **Surveillance Stage 2 Audit as required by EN ISO/IEC 17021:2006**

### **The Purpose of the Stage 2 Audit:**

To evaluate the implementation and effectiveness of the client's management system, at the site of Client and shall include at least the following:

- ◆ Check information and evidence proving conformity to all requirements of the applicable Standard or other Normative Document
- ◆ Check performance monitoring, measuring, reporting and reviewing against key performance objectives and targets consistent with expectations in the management system
- ◆ Check the client's management system and performance with regards to continual Legal compliance
- ◆ Check the operational control of the client's processes against process parameters and acceptance criteria
- ◆ Check the company's Internal Auditing system and Management Review implementation and effectiveness
- ◆ Check Management responsibility for the client's policies and delegated authority to ensure compliance throughout the organisation
- ◆ Check responsibilities for competence of personnel and continual staff development and training requirements
- ◆ Check links between the normative requirements, legal requirements, policy, performance objectives / targets and operational performance data internal audit findings and conclusions

### **NOTE: ISO 19011:2002 clause 6.5.4 Collecting & Verifying Information**

During the audit information relevant to the audit (objectives, scope & criteria) including information relating to functions, activities & processes must be collected by appropriate sampling and should be verified. Only information that is verifiable may be audit evidence. Audit evidence must be recorded. Audit evidence is based on samples of available information.

This Audit Checklist is provided as an 'aide memoir'. It is not exhaustive nor a substitute for knowledge and experience of auditing against the Standard.

**OBJECTIVE EVIDENCE** seen during the Audit must be recorded within the checklist to substantiate subsequent recommendations in the Audit Report.

**SCOPE:** The Auditor must ensure the scope accurately reflects the "the business activities".

**NOTE:** The Auditor is responsible to ensure a "complete and effective audit" of the Company's Management System.

**NOTE:** If more space is required use Supplementary Record Sheets to note additional Factual Evidence

**OVERVIEW**

<b>Total number of Company employees</b>	15
<b>List the Locations</b>	The factory is located in Redcar, Cleveland.
<b>List the Departments</b>	Production Departments Purchasing Sales & Marketing Storage and Delivery Human Resource and Personnel (health, training, recruitment, services: IT, Consultancy, pest control and repro) Support Services Quality Planning
<b>List the Raw Materials or Substances</b>	Inks, Labelstock
<b>List the Processes or Activities</b>	Some of processes;  Production process –print and rewind, quality process, planning process, sales and marketing process, purchasing process, supplier evaluation process, communication process
<b>List the finished Products or Service</b>	Self adhesive labels plain or decorated
<b>List Subcontracted Process / Outsourced Operations</b>	No outsourced production, Pest Control- long term contracted with Precision Pest Repro and Plate-making
<b>List any Statutory Requirements</b>	2004/1935 EC

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Use of Certification Marks / Logos	
Check: Promotional material Website Vehicles	Business cards, on invoices

Review of Changes – New / Changed Business Activities – Surveillance Audit /Re-Assessment Audit	
Note Process changes	None
Equipment changes	New press and rewind machine
Product changes	None

4	Check List – QMS general requirements	code	Factual Evidence – GIVE EXAMPLES
4.1	Surveillance Audit	S	No change  Policy authorized by Managing Director 4/8/11
4.2.1	Give details of changes to its QMS including: Quality Policy Quality Manual Procedures & Records necessary		
4.2.2	Change of Scope Check Process Map to confirm processes		
4.2.3	Document control procedure		
4.2.4	Records control Procedure		
5	Check List – Management responsibility	code	Factual Evidence – GIVE EXAMPLES
5.1 & 5.2	Customer requirements Does the organisation maintain compliance with statutory & regulatory requirements How is this achieved	S	Access to <a href="http://www.foodcontactmaterials.com">www.foodcontactmaterials.com</a>  Number of procedures is 28 covering all requirements  Exclusions were Sections 7.4 and 7.5.2 no design is done  KPI's established and monitored at Budget and Management review  Tony Sharples is Management Representative
5.3	Quality Policy Does the organisation have a quality policy How Is it communicated & understood. Who authorised Policy Statement		
5.4.1	Key Performance Indicators (Objectives) How many objectives exist Who approves company objectives Which objectives are measurable How many objectives for product requirements		
5.4.2	What plans exist to achieve objectives (KPI's)		
5.5.1	Does the organisation chart define the structure Does the organisation define responsibilities		
5.5.2	Is the Management Representative from the organisations own management Give mane		
5.5.3	Detail method of Internal Communication		

5.6	Check List – Management Review	code	Factual Evidence – GIVE EXAMPLES
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**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

5.6.1	Management Review Date of last review meeting Was Policy & Objectives reviewed Records maintained.	S	Annual review and weekly meetings last MR on 24/06/11
5.6.2	Review input include all information required by clause 5.6.2		
5.6.2	Review output How many improvement recommendations How many objectives reviewed		

6	Check List – Resource management	code	Factual Evidence – <b>GIVE EXAMPLES</b>
6.1	Resources Does the organisation ensure resources are provided to meet customer requirements	S	New plant, press and rewind.  Discussion and sample history of training records in folder, all personnel listed including two new apprentices – operating the omega rewind after training- discussion with Andrew – very knowledgeable already and keen to progress in his new craft.
6.2	Human Resources Does the organisation define competence criteria for personnel performing work affecting conformance of product / service requirements  How are training needs assessed and recorded for planning How is effectiveness of training evaluated Who maintains training records  Give details of staff training records  Who delivers induction training		
6.3	Infrastructure How does the organisation maintain it's infra structure comprising buildings workspace utilities IT equipment transport telecoms etc.  How is process equipment and supporting ancillaries controlled  How many company vehicles are linked to the process activities		
6.4	Work Environment How are work environments managed to ensure conformity to product requirements.  Who is responsible to monitor working conditions		
			Tour of entire site.  Hands-on management by Director  None  Hands-on management - Production Manager

7.1	Check List – Planning of Product Realization	code	Factual Evidence – <b>GIVE EXAMPLES</b>
7.1	Planning Who is responsible for work planning What method is used for work planning  Are there objective for work requirements? How does work planning identify required verification, validation, monitoring, inspection and test activities	S	Production Manager

**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

7.2	Check List -- Customer Related Processes	code	Factual Evidence – <b>GIVE EXAMPLES</b>
7.2.1	<p><b>Determination of Requirements</b>            How are customer requirements specified            How are requirements not specified by customer but necessary for intended use handled</p> <p>How is compliance to statutory &amp; Regulatory requirements ensured</p>	S	<p>Marketing and supplying demand for food and other labels            Label Industry SOP</p> <p>Managing Director and Sales Manager</p> <p>Job Number follows job from material order through to despatch managed by Labeltraxx SAP system</p> <p>Up to three years</p>
7.2.2	<p><b>Review of Requirements</b>            Who reviews customer requirements            What method is used to ensure work capability            How are differences resolved (if any)</p> <p>Are records of contract review maintained            What tracking reference is given to contracts</p> <p>How long are records maintained for results of contract reviews and any follow up            How are documents amended and personnel informed in case of change of requirements</p>		
7.2.3	<p><b>Customer Communication</b>            What arrangements exist for communication with customers in relation to:            Product information            Enquiries, contracts, order amendments.            Customer feedback,            Customer returns  <b>Customer Complaints.</b>            Who is responsible to handle complaints            Which customer            Who conducted the investigation            What was the resultant cause  <b>Customer Returns.</b></p>		

7.3	Check List – Design and Development	code	Factual Evidence – <b>GIVE EXAMPLES</b>
7.3.1	<p>Who is responsible for Design            Note if design plans include:            Design stages, review, verification, and validation activities appropriate to each stage.            Responsibilities and authorities,</p>	S	<p>Customer responsible for design            No original design is done in house</p>

7.4	Check List – Purchasing	code	Factual Evidence – <b>GIVE EXAMPLES</b>
7.4.1	<p><b>Purchasing Process</b>            Does the organisation use criteria for selection, evaluation, and <i>periodic re-evaluations</i> of suppliers</p> <p>Who maintains the approved suppliers register            When was last review of suppliers register            What records exist of supplier evaluation            How long are records kept</p>	S	<p>Buy labelstock and inks, limited sources of good material – PSMA members</p> <p>Sales Office Manager buys for individual orders</p>

**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

7.4.2	<p><b>Purchase Information</b>          Who is responsible for purchasing          What method is used for purchasing</p> <p>How is the product adequately described &amp; where applicable QMS requirements.</p> <p>How are requirements approved before communicating to the supplier?          How long are purchase records kept</p>		<p>Purchase order raised after locating and verifying approved source.</p> <p>Standard labelstock to suppliers spec</p>
7.4.2	<p><b>Outsourced items / processes</b></p>		<p>No presswork outsourced</p>
7.4.3	<p><b>Verification of Purchased Product</b>          Is purchased product verified          How is acceptance criteria known          Who arranges verification when it is intended to be performed at the supplier's premises</p> <p>How are incorrect goods quarantined          When was last item returned to a supplier</p>	<p>S</p> <p>S</p>	<p>Goods-in Record batch label</p> <p>Certificates of conformity</p> <p>Never</p>

7.5	Check List – Product and Service Provision	code	Factual Evidence – <b>GIVE EXAMPLES</b>
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**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

7.5.1	<p><b>Control of Production / Service</b> Does the organisation manages production under controlled conditions? What specifications are available What work instructions are available What method is used to track work</p> <p><b>Processes</b> Do the processes have operating criteria Who is responsible for processes How is evidence of process completion recorded</p> <p><b>Equipment</b> Do process machines have operating criteria Who is responsible for machine / equipment maintenance Who determines use of suitable equipment for production / service.</p> <p><b>Process monitoring</b> Does the organisation determine the monitoring and measuring activities? What monitoring devices exist Who determines any post delivery activities?</p> <p><b>Identification &amp; Traceability</b> Does the organisation identify product throughout realisation How is the status (pass / fail) of the product identified and records maintained Who determines if traceability a requirement.</p>	S	<p>Detailed operation procedures in IMS Procedures PM 07 to PM14 Job bag for each order or sub-order has job number</p> <p>Label industry SOP press and rewind/inspection Print quality and correct colour. Use spectrophotometer to compare with standard colour supplied by customer.</p> <p>Selected by Managing Director</p> <p>Printer and supervisor check pass-off for text and colour against pdf</p> <p>Legal requirement, done on Job-bag, peel-off label from labelstock reel retained</p>
7.5.2	If so, does a unique identification system exist?		
7.5.3	<p><b>Customer Property</b> Does the organization identify, verify and protect customer property. How is loss / damage / unsuitability of item recorded How is customer informed</p>	S	N/A
7.5.4	<p><b>Preservation of Product</b> How is the product (&amp; its constituent parts) identified,</p>		
7.5.5	<p>handled Packaged Stored And protected to preserve its conformity including preservation of constituent parts where applicable</p>		Rolls boxed and wrapped

7.5	List or describe the Finished end Products or Service or end product to be sold Self adhesive labels for paint and pet food
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7.6	Check List – Control of monitoring & measuring equipment	code	Factual Evidence – <b>GIVE EXAMPLES</b>
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**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

7.6	<p>Does the organisation define the monitoring and measurements to be undertaken</p> <p>What measurement and monitoring devices are used to provide evidence of conformity</p> <p>What is the calibration / verification frequency</p> <p>What is the calibration / verification criteria</p> <p>How is equipment identified such as to determine calibration status</p> <p>What records are kept of calibration / verification results</p> <p>How are devices protection from damage during handling &amp; storage</p> <p>How Is the validity of previous results re-assessed, if equipment is found out of calibration</p>	S	<p>Extensive including spectrophotometry for colour matching for pass-off.</p> <p>Otherwise check-off and colour matching by eye.</p> <p>No printers are colour blind</p>
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8	Check List – Measurement, analysis & improvement	code	Factual Evidence – <b>GIVE EXAMPLES</b>
8.1	<p>Does the organisation plan &amp; implement monitoring, measurement, analysis &amp; improvement activities to ensure:</p> <p>Product / Service conformity with requirements</p> <p>QMS conformity with requirements</p> <p>Continually improvement of the QMS.</p>	S	Detailed in IMS
8.2	Check List – Customer satisfaction	code	Factual Evidence – <b>GIVE EXAMPLES</b>
8.2.1	<p>Does the organisation monitor information relating to customer perception of the organisations performance</p> <p>Who is responsible for customer satisfaction</p> <p>When was last customer response</p>	S	<p>Responses to Sales enquiries</p> <p>Many repeat orders over past three years, volume increased by 28% in last year</p>
8.2	Check List - Internal quality audits	code	Factual Evidence – <b>GIVE EXAMPLES</b>
8.2.2	<p>What reference is the procedure for internal quality audit (does it include ISO 19011 elements)</p> <p>Who maintains the internal audit programme</p> <p>Check:</p> <p>QMS conforms to the planned arrangements</p> <p>QMS conforms to the requirements of ISO 9001 and to the requirements established by organization,</p> <p>When was the last internal audit</p> <p>Check for results of previous audits - What was audited</p> <p>Who conducted the audit – and where they selected to ensure objectivity and impartiality of the audit process</p> <p>Who was direct responsibility for the area / department audited.</p> <p>How many discrepancies were raised</p>	S	Audit plan for 2011, audits up to date to June 2011

**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

	Who implemented corrections and corrective actions and where actions timely and appropriate Who keeps audit records		
8.2	Check List – Monitoring & measuring Processes & Products.	code	Factual Evidence – <b>GIVE EXAMPLES</b>
8.2.3	<p>Process</p> <p>Does the organisation measure &amp; monitor and where applicable analyse Processes</p> <p>Who confirms the continuing ability of each process to satisfy its intended purpose</p> <p>What corrections and corrective actions taken when planned results are not achieved</p>	S	<p>Checked for correct die and colour</p> <p>Operator in-line visual checks</p> <p>If wrong, job must be remade</p> <p>Consumable product, no service</p> <p>Note, no customer complaints last year.</p> <p>Process records retained in Job-bag; viewed during this audit.</p>
8.2.4	<p>Product</p> <p>Does the organisation measure &amp; monitor &amp; where applicable analyse the following:</p> <p>Product Characteristics Or Service Performance</p> <p>What planned arrangements exist for monitoring and at what stages of product realisation</p> <p>Do monitoring records include reference to / evidence of conformity with acceptance criteria</p> <p>What inspection records exist &amp; is the acceptance criteria defined</p> <p>Do inspection records indicate persons authorizing release of product for delivery to customer</p> <p>What evidence exists that final release only occurs after ensuring that all specified activities have been completed or as otherwise approved</p>		
8.3	Check List – Control of nonconforming product.	code	Factual Evidence – <b>GIVE EXAMPLES</b>
8.3	<p>What reference is the procedure for handling Nonconformities</p> <p>Who is responsible for control of nonconforming product</p> <p>How is unintended use or delivery prevented</p> <p>What identification is used for NC items</p> <p>Who will take action to eliminate the detected nonconformity</p> <p>Who will authorizing use under concession</p> <p>What evidence of re-verification for conformance after</p>	S	IMS system; analysed annually

**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

	<p>correction/repair</p> <p>What records of nonconformities &amp; subsequent actions are kept</p> <p>Customer Returns</p> <p>What action is taken where nonconformity has affected delivered products or products after use</p> <p>How are customer returns managed</p> <p>When was last customer return</p>		
8.4	Check List – Analysis of data	code	Factual Evidence – <b>GIVE EXAMPLES</b>
8.4	<p>Does the organisation determine, collect &amp; analyse appropriate data to demonstrate suitability &amp; effectiveness of QMS and evaluate continual improvement of QMS.</p> <p>Is data analysed to provide info relating to:</p> <p>Customer Satisfaction</p> <p>Conformance to product requirements</p> <p>Characteristics of products</p> <p>Process and their trends including opportunities for preventive action</p> <p>Suppliers</p>	S	Records on file – hard copy and MIS system
8.5	Check List – Continual Improvement	code	Factual Evidence – <b>GIVE EXAMPLES</b>
8.5.1	Does the organization continually improve the effectiveness of its QMS through use of quality policy, objectives, analysis of data, audit results, management review and corrective & preventive actions	S	Programme run by Sales Office Manager. Done by upgrading machinery e g new press and use of labeltraxx
8.5	Check List – Corrective & Preventive actions	code	Factual Evidence – <b>GIVE EXAMPLES</b>
8.5.2	<p><b>Corrective Actions</b></p> <p>What reference is the procedure for Corrective Actions</p> <p>Are nonconformities reviewed according to requirement?</p> <p>Are the causes of nonconformities investigated to prevent recurrence</p> <p>Who will evaluate the need for actions to prevent recurrence of nonconformities</p> <p>Are corrective actions implemented and what is recorded regarding effectiveness</p> <p>Who is responsible to review the effectiveness of and close out corrective actions</p> <p>How are Customer Complaints handled (link to 7.2.3).</p>	S	Register of non-conformance in PC folder

**ASSESSOR NOTES & GUIDANCE TO CHECKLIST**  
**ISO 9001:2008 Requirement for Documented Procedures**

Clause	Procedures required
4.2.3	Procedure - Control of Documents –
4.2.4	Procedure - Control of Quality Records –
8.2.2	Procedure - Internal quality audit –

**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

8.3	Procedure - Control of Nonconforming Products –
8.5.2	Procedure - Corrective action –
8.5.3	Procedure - Preventive action –

### **ISO 9001: 2008 Specific Requirements for Documentation Other than the Documented Procedures**

Clause	Documentation Requirement
4.1 (General)	The organisation shall establish, document and maintain a quality management system and continually improve its effectiveness.
4.2	<p>"The quality management system documentation shall include:</p> <ul style="list-style-type: none"> <li>a) Documented statements of a quality policy and quality objectives.</li> <li>b) A Quality Manual</li> <li>c) Documented procedures and records necessary</li> <li>d) Documents needed by the organization to ensure the effective planning, operation &amp; control of its processes and outsourced processes." <p>Note 1 – where the term "documented procedure" appears this means that the procedure is established, documented, implemented and maintained. A single document may address the requirements for one or more procedures. A requirement for a documented procedure may be covered by more than one document.</p> </li></ul>
4.2.2	<p>A quality manual that includes</p> <ul style="list-style-type: none"> <li>a) The scope of the quality management system, including details of and justifications for any exclusions</li> <li>b) The documented procedures established for the quality management system, or reference to them, &amp;</li> <li>c) A description of the interaction between the processes of the quality management system." </li></ul>
7.5.1(b)	d) The availability of work instructions, as necessary.

### **Mandatory Records**

Clause	Records Required
4.2.4	Records shall be established and maintained to provide evidence of conformity to requirements and of the effectiveness of the QMS.
5.6.1	Management Review record (including inputs and outputs)
6.2.2	Maintain appropriate records of education / training / skills / experience required for performing various QMS tasks e.g. Identification of competency needs for jobs affecting product quality. Training provided. Training effectiveness evaluation.
6.4	The term "work environment" relates to those conditions under which work is performed including physical, environmental and other factors (such as noise, temperature, humidity, lighting or weather).
7.1d	Records to give evidence that the realisation processes and resulting products fulfil requirements.
7.2.1	Post delivery activities include, for example, actions under warranty provisions, contractual obligations such as maintenance services, and supplementary services such as recycling or final disposal.
7.2.2	Records of results of contract review and actions arising from the review
7.3.2	Inputs relating to product requirements (for design)
7.3.3	Design output (but no reference to clause 4.2.4)
7.3.7	Design changes
7.4.1	Result of supplier evaluation
7.5.3	Unique identification of product
7.6.	Results of calibration
8.2.2	Audit results
8.2.4	Evidence of conformity with acceptance criteria
8.3	Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained.
8.5.2.e	Results of corrective actions
8.5.3.d	Results of preventive actions

**NOTE: If more space is required use Supplementary Record Sheets to note additional Factual Evidence**

<b>1 SENIOR MANAGEMENT COMMITMENT AND CONTINUAL IMPROVEMENT</b>			
<b>Statement of Intent</b>	The company's senior management shall demonstrate they are fully committed to the implementation of requirements of the Global Standard for Packaging. Opportunities for improvement shall be identified, implemented and fully documented.	<b>Y</b>	Senior Management's commitment is defined in the policy statement contained in the integrated manual. The manual contains appropriate statements and approved by the Managing Director, Nigel Willis . Dated 4 <sup>th</sup> August 2011.
1.1	The company's senior management shall provide the human and financial resources required to implement and improve the technical management systems.	<b>Y</b>	Management review held 09/07/2011. Agenda generally in line with the standard
1.2	The company shall have an organisation chart demonstrating the structure of the company.	<b>Y</b>	BS EN ISO 9000 – MS1 organisation chart (Form 3) defines structure. Job descriptions cover responsibilities
1.3	Clear communication and reporting channels shall be in place to report on and monitor compliance with the Standard.	<b>Y</b>	Manual defines responsibilities and the reporting chain in FCL Management structure MS1
1.4	The control of the system implementing the Standard shall rest with a suitably competent person (the designated manager).	<b>Y</b>	The Production Manager is deemed competent having extensive experience of quality system implementation..
1.5	The designated manager shall have a designated, suitably competent deputy to provide support and cover for absence.	<b>Y</b>	The Deputy is Kirk Lamplugh, many years experience in the industry
1.6	The company's senior management shall take responsibility for reviewing compliance with requirements of the Standard.	<b>Y</b>	Through the Management Review process and internal audits by Tony
1.7	The review process shall be undertaken at appropriate planned intervals, as a minimum annually, to ensure critical evaluation of the product safety and risk management system's suitability and effectiveness.	<b>Y</b>	Management Review annually covers the Hazard analysis
1.8	The review process shall include the evaluation of: <ul style="list-style-type: none"> <li>• internal, second party and third party audits</li> <li>• previous management review documents and action plans</li> <li>• customer performance indicators, complaints and feedback</li> <li>• incidents, corrective actions, out-of-specification results and non-conforming materials</li> <li>• process performance and deviation from defined parameters</li> <li>• reviews of the hazard and risk management system</li> <li>• developments in scientific information associated with the products produced by the company</li> <li>• resource requirements.</li> </ul>	<b>Y</b>	Minutes of management review dated 9 <sup>th</sup> July 2010 cover this agenda. Action points allocated to individuals.
1.9	Records of management reviews and corrective action shall be comprehensively documented and retained.	<b>Y</b>	Minutes of previous management review held on PC back to 13/5/2005
1.10	The company shall have a system in place to ensure that it is kept informed of relevant product safety issues pertinent to this category; legislative requirements, scientific and technical developments; and Industry Codes of Practice applicable in the country of production and, where known, the country where the product will be sold and/or ultimately used.	<b>Y</b>	Information from the customer base – FSA, RSSL etc
1.11	The company shall ensure that the materials manufactured comply with the relevant legislation in the country which the products are sold and/or ultimately used, where known.	<b>Y</b>	Note is taken of the information in <a href="http://www.foodcontactmaterials.com">www.foodcontactmaterials.com</a> .
1.12	The company shall have the current issue of the Global Standard for Packaging available.	<b>Y</b>	Have an up to date copy of the standard on site.
1.13	The company's senior management shall ensure that non-conformities identified at the previous audit against the Standard are effectively actioned.	<b>Y</b>	None raised at last audit

<b>2</b>	<b>HAZARD AND RISK MANAGEMENT SYSTEM</b>		
<b>Statement of Intent</b>	A formal hazard and risk management system shall be in place to ensure that all hazards to product safety and integrity are identified and appropriate controls established.	<b>Y</b>	No CCP's for product integrity are listed – covered by PRP's
<b>2.1</b>	<b>Hazard and Risk Management Team</b>		
2.1.1	The hazard and risk management system shall have senior management commitment and shall be implemented through the company's documented management system.	<b>Y</b>	The systems are approved by the Managing Director
2.1.2	The hazard and risk management system shall be developed, reviewed and managed by a multidisciplinary team. In the event that the company does not have the appropriate expertise in-house, external expertise shall be sought and used to develop and review the hazard and risk management system. However, the day-to-day management shall remain the responsibility of the company.	<b>Y</b>	Developed by the team comprising the M/D, Consultant and Sales Office Manager Includes pre requisite programs. Now supported by the Production Manager who needs HACCP refresher training
2.1.3	The multidisciplinary team shall have a clearly identified leader who shall be suitably trained in hazard analysis and risk management techniques.	<b>Y</b>	The team ensure a full view of the overall process and employee ownership.
2.1.4	The team shall be suitably trained and kept up to date with factory changes and customer requirements as they occur.	<b>Y</b>	The consultant had many years experience in HACCP principles and is academically qualified in HACCP
<b>2.2</b>	<b>Hazard and Risk Analysis</b>		
2.2.1	The company shall establish and document the packaging category to be implemented using the packaging category determination decision tree.	<b>Y</b>	Customers require category low hygiene risk standards. Risk assessment methodologies, and decision tree have been used to determine category.
2.2.2	The packaging category shall be verified through the hazard and risk management process.	<b>Y</b>	See above. Quantification and decision tree method used.
2.2.3	During a hazard and risk analysis the company shall take into consideration known and potential hazards and risks related to the process and raw materials. It shall include the warehouse or storage associated with the production processes.	<b>Y</b>	The HACCP is well expressed. All chemical, Physical Biological and Quality factors are considered and satisfactorily addressed. PRP's controlling product contamination are in place
2.2.4.	The hazard and risk analysis shall consider microbiological, foreign objects and chemical contamination, legality and defects critical to consumer safety as well as those hazards that may have an impact on the functional integrity and performance of the final product taking into account the customer requirements.	<b>Y</b>	The HACCP considered Chemical, physical and biological contamination as well as defects critical to product safety.

2.2.5	<p>The hazard and risk analysis shall be appropriately recorded and shall incorporate the following steps:</p> <p>2.2.5.1 A full description of the product, taking into account the intended use by the customer.</p> <p>2.2.5.2 Establish a precise, validated plan of process flow(s).</p> <p>2.2.5.3 Identify and record hazards associated with possible failure at each process step and the controls required.</p> <p>2.2.5.4 Assess the risk level for each hazard based on the likelihood of the occurrence and the severity of the outcome.</p> <p>2.2.5.5 Identify those process steps which are critical to the safety and quality of the final product.</p> <p>2.2.5.6 Confirm and implement the control and monitoring procedures including clearly defined limits appropriate to the level of risk.</p> <p>2.2.5.7 Establish the corrective action to be taken when monitoring indicates a loss of control.</p> <p>2.2.5.8 Establish the documentation for all the procedures and records necessary to maintain process control.</p> <p>2.2.5.9 The monitoring and controls required by the hazard and risk analysis shall be regularly reviewed, verified and validated to ensure they are up to date and functioning effectively.</p>	Y	<ol style="list-style-type: none"> <li>1. In the management review</li> <li>2. Starts at customer enquiry to establish customer need,</li> <li>3. Detailed in flow chart</li> <li>4. Low/Medium/High for each hazard</li> <li>5. No CCP's identified.</li> <li>6. Limits are determined by the specifications for size; mainly by colour matching, samples are always available for reference.</li> <li>7. Quality system defines quarantine and rewind or scrap</li> <li>8. Well-documented and controlled systems in place.</li> <li>9. The HACCP is reviewed annually with the management review.</li> </ol>
2.2.6	<p>Procedures relating to the monitoring of critical process steps shall be included in internal audits against the Standard (refer to clause 3.4).</p>	Y	<p>Internal audit plans have made provision for HACCP PRP auditing as part of the Integrated Quality System. Ref audit on 07/06/2011 against Hyg 1 which covers the version 3 standard.</p>
2.2.7	<p>Review of the hazard and risk management system shall be carried out at least once per year or when any process changes.</p>	Y	<p>See above at management review.</p>
2.2.8	<p>Upon a request in writing from a customer, the company shall conduct a supplementary hazard and risk analysis specific to use of a product of the company that is outside the promoted range of uses. This shall be specific to that use and for that customer only and shall be considered exceptional.</p>	Y	<p>Not required, no customer has ever requested this.</p>
<b>2.3</b>	<b>Hazard and Risk Management Prerequisites</b>		
2.3.1	<p>A hazard and risk analysis shall be fully supported by the implementation of the prerequisite requirements set out in requirements clauses 4 to 6. The hazard and risk analysis may indicate that some of these requirements are not applicable. These shall be documented and regarded as proposed exemptions for review at audit. Acceptance or rejection of the proposed exemptions shall be recorded in the auditor's report.</p>	Y	<p>See above, pre requisites in place and functioning well.</p>

2.3.2	The company shall keep recorded exemptions to the Standard under review and provide documented evidence of this review at subsequent audit.	Y	No exemptions defined.
<b>3.0</b>	<b>TECHNICAL MANAGEMENT SYSTEM</b>		
<b>3.1</b>	<b>Technical Management Policy</b>		
<b>3.1</b> <b>Statement of Intent</b>	The company's senior management shall develop and document the company's quality and hygiene policy ensuring it is authorised, reviewed, signed and dated by an appropriate senior manager and implemented.	Y	Compliant, Safe and Legal product
3.1.1	The policy shall state the company's intention to meet its obligations to produce safe and legal products and to meet customer requirements.	Y	It is a very well crafted policy written by the consultant but now being controlled by the company personnel
3.1.2	The policy shall be understood by all supervisory and relevant personnel and implemented accordingly.	Y	Published on notice boards and manual.
3.1.3	The policy shall be communicated throughout the company and regularly reviewed.	Y	See above
<b>3.2</b>	<b>Quality Manual</b>		
<b>3.2</b> <b>Statement of Intent</b>	The company shall have a manual that states its commitment to quality and hygiene and plans its effective implementation.	Y	Manual in place and signed by the Managing Director on 4/8/2011
3.2.1	The manual shall have a scope which covers the requirements of this Standard and shall be maintained as an essential element of demonstrating compliance with this Standard.	Y	Scope is relevant to the company's product range
<b>3.3</b>	<b>Customer Focus and Contract Review</b>		
<b>3.3</b> <b>Statement of Intent</b>	The company's senior management shall ensure that processes are in place to determine customer needs and expectations and ensure these are fulfilled.	Y	The company management have reviewed all company practices and procedures.
3.3.1	The company shall clearly identify those individuals responsible for communication with customers and shall have an effective system for communication.	Y	Communications with customers are driven through the Sales Office Manager and M/D
3.3.2	Customer needs and requirements shall be reviewed on a suitable predetermined frequency. Any changes to existing agreements or contracts shall be agreed, documented and communicated to appropriate departments.	Y	Frequent customer liaison through sales order negotiations.
<b>3.4</b>	<b>Internal Audits</b>		
<b>3.4</b> <b>Statement of Intent</b>	The company shall audit those systems and procedures which cover the requirements of the Global Standard for Packaging to ensure they are in place, appropriate and complied with.	Y	Audits are planned for 2011 implemented to date last in July 2011

3.4.1	An internal audit procedure shall be documented and shall specify the scope and frequency of audits which shall be established in relation to the risks associated with the activity. Audits shall be carried out by nominated, appropriately trained personnel who shall be independent of the activity being audited.	Y	Audit training done by Consultant. Production Manager is ex Corus with Lead auditor training
3.4.2	Deficiencies and details of non-conformities shall be notified to appropriate supervisory staff and corrective action implemented within a specified and appropriate time period. This shall be documented.	Y	P 4, 5 and 6 Control of Nonconforming Product and Corrective and Preventive action
3.4.3	The management shall review a summary of audits and ensure corrective action has been taken.	Y	This is part of the annual Management System review.
3.4.4	Records of internal audits shall be maintained to ensure that conformity as well as non-conformity can be clearly identified and verified.	Y	Evidence of audits of PRP's on 7 <sup>th</sup> June audit of sections 4, 5 and 6 of the standard.
<b>3.5</b>	<b>Supplier Monitoring</b>		The performance, quality and service of materials and their suppliers are continually monitored.
<b>3.5</b> <b>Statement of Intent</b>	The company shall operate procedures for approval and monitoring of its suppliers. This shall include suppliers of materials and services to the company where appropriate to this Standard.	Y	Suppliers are few. This is a simple process; changes are usually due to customer demand for new materials and price.
3.5.1	The company shall have a documented supplier approval procedure and continual assessment programme in place, based upon hazard and risk analysis.	Y	All supplier assessment records are in place.
3.5.2	Records of any results of supplier assessment and any necessary actions shall be maintained.	Y	Papers are provided by Fasson and Raflatac
3.5.3	As part of hazard and risk analysis, and where appropriate, suppliers of packaging materials shall either be certified to this Global Standard for Packaging or the company shall be responsible for ensuring their suppliers are undertaking adequate technical practices which are maintained, audited and documented.	Y	See above- PSMA members will not get BRC certification by policy
<b>3.6</b>	<b>Subcontracting of Production</b>		
<b>3.6</b> <b>Statement of Intent</b>	Procedures shall be in place for the effective control of subcontractors.	Y	No subcontractors used.
3.6.1	Where any production processes are subcontracted, the risks to the product from this process shall form part of the hazard and risk analysis.	Y	N/A see above
3.6.2	The company shall carry out a hazard and risk analysis to establish whether any subcontractor should be certified to this Standard.	Y	N/A see above
<b>3.7</b>	<b>Documentation Control</b>		

<b>3.7</b>	<b>The company shall ensure that documented procedures are established and maintained to control all documents.</b>	<b>Y</b>	Documents are well managed. They are contained in master manual on PC and are completely adequate.
<b>Statement of Intent</b>			
3.7.1	All documents in use shall be properly authorised and be the current version.	Y	Authorised by the M/D, last change April 15 <sup>th</sup> 2009 to Issue 12
3.7.2	Documents shall be clearly legible, unambiguous and sufficiently detailed to enable their correct application by appropriate personnel and shall be readily accessible at all times.	Y	Clean and unambiguous. They are basically work instructions and specifications combined in an Excel spreadsheet. A simple but highly effective system.
3.7.3	All changes and amendments to documents critical to product safety, legality or quality system procedures shall be recorded.	Y	All recorded
3.7.4	A procedure shall be in place to ensure obsolete documentation is rescinded and, if appropriate, replaced with a revised version.	Y	All documents up to date and well archived.
3.7.5	Documentation and records shall be retained as defined within the company quality manual, and the period of record retention shall be appropriate to the usable life of the packaging in recognition of the customer requirements.	Y	Quality records will be kept for a minimal period of three years depending on P 01 of QM.
<b>3.8</b>	<b>Specifications</b>		
<b>3.8</b>	<b>The company shall ensure that appropriate specifications exist for raw materials, intermediate and finished products and any product or service which could affect the integrity of the finished product and customer requirements.</b>	<b>Y</b>	Specifications are available via the suppliers' websites.
<b>Statement of Intent</b>			
3.8.1	Specifications shall be adequate, accurate and shall ensure compliance with relevant product safety and legislative requirements.	Y	The products this company make are very simple and they are subject to the usual due diligence regulations as Regulation 2004/1935 EC
3.8.2	Specifications shall, where appropriate, be formally agreed with relevant parties.	Y	This and artwork is determined during the contract review stages with customers
3.8.3	Specifications shall be maintained, which ensure that components or articles used shall be suitable for intended use.	Y	Specifications are defined e g Glanbia Nutrition Whey Protein Proofed, PEGL WH TC85 /RP37.made from HD70 white from Raflatac RAF order GB 0186017-01 Company order FCL 3499 Job 001 Bar code GLA 137001
3.8.4	Trademarks for application on packaging materials shall, where appropriate, be formally agreed between relevant parties.	Y	Agreed during the contract review stages and supplied as a proof for approval
3.8.5	The company shall operate a specification review procedure.	Y	Reviews between Sales and Customers done for each order
<b>3.9</b>	<b>Record Keeping</b>		
<b>3.9</b>	<b>The company shall maintain genuine records to demonstrate the effective control of product safety, legality and quality.</b>	<b>Y</b>	All records are up to date and are appropriately archived on completion.
<b>Statement of Intent</b>			

3.9.1	<p>Records shall be maintained in order to demonstrate that technical and hygiene procedures have been followed. Records shall include as a minimum, the following:</p> <ul style="list-style-type: none"> <li>• Hazard and risk management plan and verification</li> <li>• Records supporting product compliance and suitability for food/cosmetics/toiletries use</li> <li>• Management review</li> <li>• Training</li> <li>• Internal auditing</li> <li>• Traceability</li> <li>• Supplier monitoring</li> <li>• Results of any product analysis</li> <li>• Cleaning schedules and cleaning records</li> <li>• Instances of foreign-body contamination</li> <li>• Receipt and investigation of customer complaints</li> <li>• Pest control reports and records</li> <li>• Maintenance and engineering work</li> <li>• Control of glass and brittle plastics</li> <li>• Control of blades and sharp objects</li> <li>• Product recall – test and actual</li> <li>• Non-conforming goods</li> <li>• Calibration of equipment.</li> </ul>	Y	<p>Records examined for: Hazard and risk management, records supporting product compliance, Management review, training, internal auditing, supplier monitoring  Cleaning schedules and cleaning records.  Instances of foreign-body contamination  Receipt and investigation of customer complaints, pest control reports and records  Maintenance and engineering work, control of glass and brittle plastics  Control of blades and sharp objects,  Product recall – test  Non-conforming goods.  The above list is not exhaustive.</p>
<b>3.10</b>	<b>Traceability</b>		
<b>3.10</b> <b>Statement of Intent</b>	The company shall have a system in place to trace materials through all stages, including purchasing, processing and distribution of the finished product to the customer.	Y	Traceability is fully functioning using peel-off labels from the master reel stuck onto the Job Sheet.
3.10.1	The company shall ensure that its suppliers have appropriate traceability systems in place to comply with relevant legislation in the country of intended use where known.	Y	There are no BRC registered suppliers of label substrates.
3.10.2	The company shall have a system which has the ability to trace and follow all raw materials from source through all stages of processing and distribution of the finished product	Y	See above statement of intent.
3.10.3	An appropriate system shall be in place to ensure the customer can identify a product for the purposes of traceability.	Y	Identification is through labels on boxes of finished product through job number and record of date of despatch
3.10.4	The system shall be tested to ensure traceability can be determined from raw material to finished product and vice versa. This shall take place on a predetermined frequency, at least on an annual basis, and results retained for inspection.	Y	Traceability system is periodically tested during audits
<b>3.11</b>	<b>Complaint Handling</b>		
<b>3.11</b> <b>Statement of Intent</b>	The company shall have a system for the effective capture, recording and management of product complaints.	Y	The NCR system identifies and includes customer complaints..
3.11.1	All complaints shall be recorded, investigated and the results of the investigation documented.	Y	See above. Only two complaints 2009 compares well with three in 2008

3.11.2	Complaint data shall be analysed on a predetermined frequency to identify trends and used to implement ongoing improvements.	Y	Analysed continually.
3.11.3	A corrective action plan shall be approved by a designated manager who shall ensure that such action is fully implemented and is effective in preventing a recurrence.	Y	This is always co-ordinated by the Sales Office Manager for management team
<b>3.12</b>	<b>Management of Incidents and Product Recalls</b>		
<b>3.12</b> <b>Statement of Intent</b>	<b>The company shall have a plan and systems in place to effectively manage incidents in order to ensure that all potential risks to the quality and hygiene of products are controlled.</b>	Y	Incident report procedure in place and utilised.
3.12.1	The company shall provide written guidance to relevant staff regarding the type of event that would constitute an incident and a documented incident reporting procedure shall be in place.	Y	Procedures are well written, employees are trained to them
3.12.2	An effective documented Product Recall procedure shall be in place and shall be tested on a predetermined frequency and the results retained for inspection.	Y	FCL/ RCL 1 Product recall system test with Zeus Packaging
3.12.3	The recall procedure shall be capable of being operated at any time and will take into account notification to the supply chain, stock return, logistics for recovery, storage of recovered product and disposal. Arrangements for notifying relevant stakeholders within a specified time frame shall be defined within the procedure (e.g. contact details).	Y	The product recall system operates whenever the company is open
3.12.4	A nominated manager shall be responsible for ensuring that preventive action is taken based on a review of incidents.	Y	Tony Sharples
<b>4.0</b>	<b>SITE STANDARDS</b>		
<b>4.1</b>	<b>Perimeter and Grounds</b>		
<b>4.1</b> <b>Statement of Intent</b>	<b>All grounds within the site shall be finished and maintained to an appropriate standard.</b>	Y	The area was examined during the site tour and found to be acceptable, Tarmac and concrete.
4.1.1	The external area shall be kept in good order and free from litter.	Y	The area was examined during the site tour and found to be acceptable
4.1.2	Where possible, a clean and unobstructed area shall be provided along the external walls of the building used for production and/or storage.	Y	Examined during the site tour and found to be acceptable – clear grassed area around building rear and sides
4.1.4	External silos, pipe work or other access points for product and/or raw materials shall be appropriately sealed to prevent pest entry, ingress of water and other contaminants.	Y	No Silos.
4.1.5	External drains shall be properly protected to prevent entry of pests.	Y	Examined during the site tour and found to be acceptable

4.1.6	Where natural drainage is inadequate, external drainage shall be installed.	Y	No materials stored externally.
4.1.8	Where external storage of raw materials is necessary these shall be protected from contamination.	Y	No materials stored externally.
4.1.9	External storage of refuse shall be in designated areas. Refuse shall be removed at appropriate intervals.	Y	Kept in labelled bins
<b>4.2</b>	<b>Security</b>		
<b>4.2</b> <b>Statement of Intent</b>	<b>Security shall be maintained to prevent access of unauthorised persons to production and storage areas.</b>	<b>Y</b>	Examined during the site tour and found to be acceptable
4.2.1	All personnel including visitors and contractors shall only enter any part of the site through designated entrances.	Y	Voice control entry at reception.
4.2.2	Security shall be maintained to prevent the entry of unauthorised persons to the premises.	Y	Examined during the site tour and found to be acceptable
4.2.3	Based on hazard and risk analysis, procedures shall be in place to ensure the secure storage of raw materials, intermediate and finished products.	Y	Examined during the site tour and found to be acceptable
<b>4.3</b>	<b>Layout and Product Flow</b>		
<b>4.3</b> <b>Statement of Intent</b>	<b>Premises and plant shall be logically designed, constructed and maintained to control the risk of product contamination.</b>	<b>Y</b>	New building – ideal for this process
4.3.1	Process flow shall be maintained to prevent cross-contamination or damage to the product.	Y	Linear flow from store to press to rewind to despatch
4.3.2	Work in progress shall be identified clearly and adequately protected.	Y	Examined during the site tour and found to be acceptably labelled
4.3.3	Sorting or other activities involving the direct handling of product shall take place in areas that have, as a minimum, the same standards as production areas.	Y	Done on rewind
4.3.4	Customer returns shall not, where possible, enter finished goods areas without hygiene inspection and positive release. Activities that could produce a contamination risk, such as the removal of outer packaging, shall be carried out in a designated, segregated area.	Y	Quarantine area established. Products may only be released following Management investigation.
4.3.5	Entry into production areas shall be via properly designated entry routes and access points.	Y	Examined during the site tour and found to be acceptable

<b>4.4</b>	<b>Building Fabric Raw Material Handling, Preparation, Processing and Storage Areas</b>		
<b>4.4 Statement of Intent</b>	The fabric of the site, buildings and facilities shall be suitable for the intended purpose.	<b>Y</b>	Examined during the site tour and found to be acceptable – new building well furnished
4.4.1	External walls shall be well maintained and of sound construction.	<b>Y</b>	Examined during the site tour and found to be acceptable
4.4.2	Where suspended ceilings exist they shall be accessible for inspection and cleaning where required.	<b>Y</b>	None on site
4.4.3	Suitable and sufficient lighting shall be provided for a safe working environment, correct operation of processes, effective inspection of product and cleaning.	<b>Y</b>	Metal halides throughout
4.4.4	Walls, floors, ceilings and pipe work shall be maintained in good condition and shall be capable of being kept clean.	<b>Y</b>	Examined during the site tour and found to be acceptable.
4.4.6	All internal drain openings shall be suitably protected against the entry of pests and odour.	<b>Y</b>	Examined during the site tour and found to be acceptable
4.4.7	Suitable and sufficient ventilation shall be provided.	<b>Y</b>	Examined during the site tour and found to be acceptable
<b>4.5</b>	<b>Maintenance of Plant and Equipment</b>		
<b>4.5 Statement of Intent</b>	Equipment shall be designed for the intended purpose and adequately maintained to minimise the risk of product contamination.	<b>Y</b>	Examined during the site tour and found to be acceptable
4.5.2	Equipment, including fixtures and fittings, shall be maintained to minimise the risk of product contamination.	<b>Y</b>	Examined during the site tour and found to be acceptable - standard press and rewind
4.5.3	Wooden equipment including desks, chairs, tables, etc. shall be kept clean, in good condition and free from splinters or other sources of physical contamination.	<b>Y</b>	Examined during the site tour and found to be acceptable
4.5.5	Compressed air that comes into contact with the product shall be filtered and the equipment maintained to prevent contamination.	<b>Y</b>	No air directly onto the web
4.5.6	Temporary engineering and modifications using adhesive tape, cardboard or similar materials shall not be permitted, except in emergencies.	<b>Y</b>	None observed on the shop floor. Recorded on Cleaning record if present
4.5.7	When temporary modifications are made these shall be subject to a time limit and shall be recorded and scheduled for correction.	<b>Y</b>	See above, none evident.

4.5.8	Persons undertaking maintenance activities shall comply with site hygiene requirements, including those relating specifically to protective clothing, hand washing and personal hygiene.	Y	Operators do basic maintenance. Specialist repairs are done by Manufacturers or specialist contractor
4.5.9	Contractors involved in maintenance or repair activities shall be under the supervision of a nominated person.	Y	Production Manager
4.5.10	On completion of any maintenance work, machinery and equipment shall be clean and free from contamination hazards.	Y	Examined during the site tour and found to be acceptable
<b>4.6</b>	<b>Staff Facilities</b>		
<b>4.6</b> <b>Statement of Intent</b>	Staff facilities shall be sufficient to accommodate the required number of personnel, and designed and operated to minimise the risk of product contamination. Such facilities shall be kept in a good and clean condition.	Y	Examined during the site tour and found to be acceptable
4.6.2	Toilets shall be provided with hand-washing facilities comprising basins with soap and water available at a suitable temperature with adequate hand-drying facilities and waste containers, as necessary.	Y	Examined during the site tour and found to be acceptable; wash-hands signs in lavatories
4.6.3	Advisory signs shall be in place to prompt hand washing where required.	Y	Examined during the site tour and found to be acceptable
4.6.4	All equipment and surfaces in rest facilities shall be clean, well maintained and of suitable construction.	Y	Examined during the site tour and found to be acceptable
4.6.5	Lockers shall be provided for all personnel who work in raw material handling, processing, preparation, packing and storage areas. Lockers shall be of sufficient size to accommodate all reasonable personal items.	Y	Examined during the site tour and found to be acceptable
4.6.7	Eating, drinking and smoking shall not be allowed in locker and changing rooms.	Y	Examined during the site tour and found to be acceptable
4.6.8	Facilities for visitors and contractors shall enable compliance with the company's hygiene policy.	Y	Satisfactory arrangements and PPE in place
4.6.10	All food brought into manufacturing premises shall be held in sealed containers, in an appropriate area which shall be kept in a clean and hygienic state.	Y	Thermometer for fridge temperature records. 6 degrees Celsius today
4.6.11	Designated controlled smoking areas shall be isolated from production areas to an extent that ensures smoke cannot reach the product. Where smoking is allowed under national law, sufficient extraction to the exterior of the building shall be ensured. Adequate arrangements for dealing with smokers' waste shall also be provided at smoking facilities, both inside buildings and at external locations. Facilities shall be available, with adequate reminders, for hand washing after smoking.	Y	No smoking at all on site.
4.6.12	Canteen and food waste shall be stored in suitably lined and lidded containers.	Y	Examined during the site tour and found to be acceptable
<b>4.7</b>	<b>Housekeeping and Cleaning</b>		

<b>4.7</b>	<b>Housekeeping and cleaning systems shall be in place which ensure that appropriate standards of hygiene are maintained and that risk of contamination to the product is minimised.</b>	<b>Y</b>	The site is very clean and tidy. Appropriate controls are in place and are monitored.
4.7.1	Good standards of housekeeping shall be maintained which shall include a 'clean as you go' policy.	Y	See above.
4.7.2	All internal surfaces of the building shall be kept free from excessive dust, dirt and cobwebs.	Y	Examined during the site tour and found to be acceptable
4.7.3	Where possible, an adequate gap shall be provided around the internal perimeter to facilitate cleaning and inspection.	Y	Examined during the site tour and found to be acceptable
4.7.4	All internal surfaces of buildings, equipment and vehicles shall be subject to documented scheduled cleaning, which shall cover all areas of the site with particular reference to production and storage areas. Cleaning schedules shall include the following information: <ul style="list-style-type: none"> <li>responsibility for cleaning</li> <li>item/area to be cleaned</li> <li>frequency of cleaning</li> <li>method of cleaning</li> <li>cleaning materials to be used</li> <li>cleaning record checks.</li> </ul>	Y	All surfaces, equipment and vehicles are subject to documented cleaning recorded on the cleaning records weekly.
4.7.5	Tools and other maintenance equipment shall be cleared away after use and appropriately stored.	Y	This is documented in production records.
4.7.6	Cleaning equipment and materials shall be kept in a designated location.	Y	Yes, locked away when not in use.
4.7.7	Workstations shall be kept in good order and potential physical contamination hazards properly controlled.	Y	Examined during housekeeping audits e g 7/06/2010
4.7.8	Cleaning chemicals shall be fit for purpose, suitably labelled, secured in closed containers and used in accordance with manufacturers' instructions.	Y	Examined during the site tour and found to be acceptable
4.7.9	Chemicals that are strongly scented or could give rise to taint and odour contamination shall not be used.	Y	Examined during the site tour and found to be acceptable
4.7.10	Materials and equipment used for cleaning toilets shall be segregated from those used elsewhere.	Y	Stored separately. Examined during the site tour and found acceptable
<b>4.8</b>	<b>Waste and Waste Disposal</b>		
<b>4.8</b>	<b>Suitable facilities shall be provided for the storage and disposal of process and other waste.</b>	<b>Y</b>	Examined during the site tour and found to be acceptable
4.8.1	Suitable and sufficient refuse and waste containers shall be provided which shall be emptied at appropriate frequencies and maintained in an adequately clean condition.	Y	Examined during the site tour and found to be acceptable

4.8.2	Waste containers shall be suitably labelled or marked.	Y	Examined during the site tour and found to be acceptably labelled
4.8.3	Where agreed with the customer, suitable and sufficient containers shall be provided for collection of substandard trademarked materials. Where agreed, such materials shall be rendered unusable through a destructive process. All materials disposed of shall be recorded.	Y	All sub standard goods are destroyed by recycling.
4.8.4	If substandard trademarked materials are transferred to a third party for destruction or disposal, that third party shall be a specialist in appropriate waste disposal and shall provide records of material destruction.	Y	Examined during the site tour and found to be acceptable
4.8.5	The company shall ensure that third-party waste disposal contractors are licensed in accordance with the requirements of local law.	Y	SITA and local council remove waste and are Licensed Waste Carriers.
<b>4.9</b>	<b>Pest Control</b>		
<b>4.9</b> <b>Statement of Intent</b>	<b>The company shall be responsible for minimising the risk of pest infestation on the site.</b>	<b>Y</b>	<b>Precision Pest Control. BPCA member M15/515 to March 2008: 4 routine visits per annum.</b>
4.9.1	A preventive pest control programme shall be maintained at manufacturing, storage and transport facilities under the company's control.	Y	Program covers rodents and crawling insects
4.9.2	Unless competent in-house expertise exists, a competent pest control company shall be contracted. The company shall ensure, by regular audit that the system is fully implemented by the contractor and is effective.	Y	Two baits not dated on 6 <sup>th</sup> May 2009. Company have identified the shortfall and dealt with the supplier.
4.9.3	The frequency of inspections shall be determined by hazard and risk analysis. Pest control staff shall be suitably trained to carry out inspection and control.	Y	Every 12 weeks.
4.9.4	Effective precautions shall be in place to prevent pests entering the premises. The building shall be suitably proofed against the entry of all pests via doors, windows, ducts and cable entry points.	Y	Examined during the site tour and found to be acceptable. Gap under door sealed
4.9.5	An up-to-date site plan shall indicate positions of baiting points and flying insect control devices. These shall not be positioned in areas where dead insects can contaminate packaging materials. If there is a danger of insects being expelled from any extermination device and contaminating the product, alternative systems and equipment shall be used.	Y	Examined during the site tour and found to be acceptable
4.9.6	In the event of infestation, immediate action shall be taken to eliminate the hazard. Action shall be taken to identify, evaluate the potential for contamination or damage and authorise the release of any product potentially affected.	Y	Follow-up as determined by Precision.
4.9.8	It shall be the responsibility of the company to ensure all the relevant recommendations made by the contractor or in-house expert are implemented in a timely manner and monitored for effectiveness.	Y	Recommendations made by contractor and corrected by the company ; site is well secured.
4.9.9	Written procedures and activity documentation shall be maintained.	Y	Examined in Hygiene Manual and Pest manual and found to be acceptable

<b>4.10</b>	<b>Transport, Storage and Distribution</b>		
<b>4.10</b> <b>Statement of Intent</b>	The transport, storage and distribution of raw materials and finished products shall be undertaken in a manner to minimise the risk of contamination.	<b>Y</b>	Company's two own vehicles are used..
4.10.1	All finished products and materials transferred between premises, shall be protected during transit and storage by appropriate external packaging or transported under conditions to protect product from contamination, including taint or odour.	<b>Y</b>	Products are not transferred between premises – two adjacent units
4.10.2	All pallets shall be checked. Damaged, contaminated or unacceptable pallets shall be discarded.	<b>Y</b>	Inspected and rejected if found to be unsuitable.
4.10.3	Vehicle drivers shall comply with the site rules relevant to this Standard.	<b>Y</b>	Drivers are company employees and obey all of the rules
4.10.4	All vehicles used for deliveries shall be kept clean and in a condition to minimise the risk of product contamination.	<b>Y</b>	Checked on cleaning schedules
4.10.6	All delivery vehicles and shipping containers shall be subject to a hygiene-checking procedure before loading.	<b>Y</b>	As above.
4.10.7	Storage, including off-site storage, shall be controlled to protect product from contamination including taint or odour. Where off-site storage is used the same requirements apply as for on-site storage.	<b>Y</b>	Segregation in warehouse on racks.
<b>5.0</b>	<b>PRODUCT AND PROCESS CONTROL</b>		
<b>5.1</b>	<b>Product Design and Development</b>		
<b>5.1</b> <b>Statement of Intent</b>	Product design and development processes shall be in place to ensure the production of safe products to defined quality parameters.	<b>Y</b>	Satisfactory. Contract review and quotation records the application by the customer where known
5.1.1	Where appropriate, customer design requirements shall be defined and agreed prior to undertaking product design.	<b>Y</b>	As above
5.1.2	Where appropriate, a process shall be in place to ensure final product concepts or art work are formally accepted by the specifier.	<b>Y</b>	Proof approved by customer before press.
5.1.3	The company shall ensure that the product design processes, procedures and records of design together result in the development of specifications for each manufacturing process step to ensure the production of safe and legal products of the prescribed quality.	<b>Y</b>	Standard print and rewind process
5.1.4	Samples agreed with the specifier shall be retained for future reference.	<b>Y</b>	Retained in job sheet

<b>5.2</b>	<b>Process Control</b>		
<b>5.2</b>	<b>Procedures shall be in place to ensure effective control of operations throughout the process.</b>	<b>Y</b>	Work instructions are included in specifications.
<b>Statement of Intent</b>			
5.2.1	The company shall operate procedures that verify that the processes and equipment used are capable of producing safe and legal products to the prescribed quality within the process specification as defined by the hazard and risk management process.	<b>Y</b>	Dies control product size. Colour is calibrated by Pantone and densitometer.. Quality is determined by functionality and visual appearance.
5.2.2	Based on hazard and risk analysis, procedures for monitoring incoming materials shall be specified and documented. Suppliers of incoming materials, as appropriate, shall provide evidence of conformity.	<b>Y</b>	All goods inward checked as per procedure Section 11 of IQM
5.2.3	In order to prevent contamination, procedures shall be in place to appropriately segregate raw materials, intermediate and finished products.	<b>Y</b>	All stages of manufacturing are segregated.
5.2.4	Material intended for recycling shall be appropriately protected against contamination hazards.	<b>Y</b>	Material disposed of by SITA
5.2.5	In the event of changes to product formulation, processing methods or equipment, the company shall, where appropriate, re-establish process characteristics and validate product data to ensure product safety, legality and quality is achieved.	<b>Y</b>	Plates are renewed and proofing is re-established..
5.2.6	Non-conforming materials or customer-returned product shall be subject to inspection and positive release before any alternative use.	<b>Y</b>	There are no alternative used, rejects can only be inspected and defects scrapped.
<b>5.3</b>	<b>Product Inspection and Analysis</b>		
<b>5.3</b>	<b>The company shall use appropriate procedures and facilities when undertaking or subcontracting inspection and analyses critical to product safety, legality and quality.</b>	<b>Y</b>	Standard industry methods are used for the various products.
<b>Statement of Intent</b>			
5.3.1	Quality checks shall be carried out to demonstrate that the product is within the tolerances laid down in the agreed product specification.	<b>Y</b>	Checks undertaken continuously as defined by the Job instructions in the work sheet.
5.3.2	Procedures shall be in place to ensure the reliability of test results.	<b>Y</b>	Process controls for product integrity. Production Procedures 18
5.3.3	Personnel undertaking analyses shall be suitably qualified and/or trained and shall be competent to carry out the analyses required.	<b>Y</b>	Satisfactory.
5.3.4	Frequency of checks shall be in accordance with industry-accepted practice based on hazard and risk analysis.	<b>Y</b>	Checks per Work sheet.
5.3.5	Where the company undertakes or subcontracts analyses critical to product safety or legal compositional verification to a laboratory, the laboratory shall use agreed and documented test methods and sampling procedures.	<b>Y</b>	Not applicable, no work is subcontracted.

5.3.6	Subcontracted laboratories, as appropriate, shall be independently accredited by a recognised or agreed competent body.	Y	Use paper or ink suppliers' laboratories for testing if problems identified.
<b>5.4</b>	<b>In-line Testing Equipment</b>		
<b>5.4</b> <b>Statement of Intent</b>	The company shall use hazard and risk analysis principles to determine the need for in-line product testing equipment to ensure the integrity and quality of products.	Y	No in-line tests, apart from visual
5.4.1.	The accuracy of measurement of in-line equipment shall be specified having due regard to the product parameter being controlled.	Y	Not precision manufacturing. Fit for purpose meeting colour standards.
5.4.2	The company shall establish and implement procedures for the operation, routine monitoring and testing of equipment. This shall include: <ul style="list-style-type: none"> <li>• frequency and sensitivity of checks</li> <li>• authorisation of trained personnel to carry out specified tasks</li> <li>• documentation of test results.</li> </ul>	Y	Densitometer is checked with calibrated white tile but essentially used as a comparator against the customer approved proof.
5.4.3	In-line testing equipment critical to product integrity or safety shall incorporate a system to identify and, where appropriate, divert non-conforming product out of the product flow.	Y	No in line testing equipment
5.4.4	The company shall establish and implement corrective action and reporting procedures in the event of the monitoring and testing procedure identifying any failure of the in-line test equipment. Any such failures shall be subject to an assessment of potential risk and subsequent action may include a combination of isolation, quarantine and re-inspection of products produced since the last acceptance test of the equipment.	Y	Full Quarantine processes in place.
<b>5.5</b>	<b>Calibration</b>		
<b>5.5</b> <b>Statement of Intent</b>	Measuring equipment used to monitor critical manufacturing process points and product safety and legality shall be calibrated to a recognised national standard.	Y	None used
5.5.1	Measuring equipment used to monitor critical manufacturing process points and the product's compliance with relevant legal requirements and specifications, shall be identified and calibrated. Where possible, this shall be traceable to a recognised national standard.	Y	Pantone swatches checked annually against retained standard..
5.5.2	Where a traceable calibration is not possible, the company shall demonstrate the basis by which standardisation is carried out.	Y	Pantones are a guide to colour for mixing, the white tile is produced by the densitometer maker.
5.5.3	All identified measuring equipment shall be checked and adjusted at a predetermined frequency, based on hazard and risk analysis. This shall be carried out by trained staff to a defined method to ensure accuracy within defined parameters.	Y	See above
5.5.4	The identified measuring equipment shall be marked in accordance with calibration requirements.	Y	See above

5.5.5	The identified measuring equipment shall be prevented from adjustment by unauthorised staff and shall be protected from damage, deterioration and misuse.	Y	See above
5.5.6	Results and any actions taken when measuring equipment is found to be operating outside the specified limits shall be documented.	Y	See above
<b>5.6</b>	<b>Control of Non-conforming Product</b>		
<b>5.6</b> <b>Statement of Intent</b>	The company shall ensure that out-of-specification product is clearly identified, labelled and quarantined.	Y	Reject product is promptly identified and is processed/scrapped very soon after.
5.6.1	Clear procedures for the control of out-of-specification, non-conforming materials shall be in place and understood by all authorised personnel. This may include rejection, acceptance by concession or authorisation for an alternative use.	Y	See above. Reject product is promptly identified and is processed very soon after. Materials are only released by Managers.
5.6.2	Corrective actions shall be implemented to avoid recurrence of the non-conformance. Actions taken shall be documented.	Y	The Company records and monitors corrective actions.
<b>5.7</b>	<b>Foreign Body Control</b>		
<b>5.7</b> <b>Statement of Intent</b>	All practicable steps shall be taken to identify, avoid, eliminate or minimise the risk of foreign body contamination.	Y	PRP's in place to prevent contamination, checked with housekeeping audits. Standard press designed for the purpose of producing clean labels.
5.7.1	Training shall be given to all relevant staff in the avoidance and detection of foreign bodies.	Y	Hygiene training records have been completed per training records detailed in Management review
5.7.2	A written policy and documented controls shall be in place for: <ul style="list-style-type: none"> <li>• non-production glass</li> <li>• brittle plastics</li> <li>• all materials used in the construction, fixture and fittings of the production area which could be confused with packaging material.</li> </ul>	Y	Contained in IMS manual - GLASS 1 and GLASS 2
5.7.3	There shall be no unnecessary non-production glass or brittle plastic which may pose a risk of contamination. Necessary glass and brittle plastic shall be maintained in good condition and protected, where possible, against breakage.	Y	Examined during the site tour and found to be acceptable
5.7.4	Based on hazard and risk analysis and where they constitute a risk of glass contamination, all bulbs and strip lights, including those on flying insect control devices shall be protected.	Y	Metal halide lights.
5.7.6	Where damage occurs that poses a risk of contamination, a responsible person shall be placed in charge of the clean-up operation and ensure that no other area is allowed to become contaminated due to the breakage.	Y	Detailed in glass breakage procedure
5.7.7	Any product that has become contaminated shall be segregated and disposed of. A relevant quarantine procedure shall apply after any incident.	Y	Examined during the site tour and found to be acceptable

5.7.8	All breakages that pose a risk of product contamination shall be recorded in an incident report.	Y	None broken
5.7.9	There shall be a documented policy for the control of the use of sharps.	Y	Knife control procedure in hygiene rules
5.7.10	Sharp blades, equipment and tools shall not be left in a position that allows them to contaminate the product.	Y	Examined during the site tour and found to be acceptable
5.7.11	Sharp cutting instruments used in the manufacture of packaging materials shall be controlled to prevent product contamination. This shall include control into and out of the factory where they shall be disposed of in a sealable container when no longer usable.	Y	Examined during the site tour and found to be acceptable
5.7.12	Snap-off blade knives shall not be used.	Y	None observed during tour of site.
5.7.13	Where open notice boards are present, loose fastenings such as drawing pins and staples shall not be used.	Y	Examined during the site tour and found to be acceptable
5.7.14	Notices on equipment shall be cleanable and secure.	Y	Encapsulated/laminated



# SURVEILLANCE ASSESSMENT REPORT

COMPANY: First Choice Labels Limited

SCHEME REFERENCE:

QAIC/UK/667

LOCATION: Redcar

DATE: 5<sup>th</sup> August 2011

ASSESSMENT REPORT No.: 11-08

STANDARD: ISO 9001:2008

PAGE 1 OF 1

ASSESSMENT LEADER: B L Fowler

COMPANY MANAGEMENT REPRESENTATIVE (S)  
Kirk Lamplugh, Sales Office Manager  
Anthony Sharples, Production Manager

### ASSESSMENT FINDINGS:

The checks of all the aspects of the company's IMS show the systems to be operating satisfactorily. Good progress is being made to attaining the essential KPI's established by the Director, Sales volumes have increased by over 25%; the company settled in to the new, larger and more efficient premises and purchased a new Omega revind and a 330mm web 6 colour press. The workforce has increased to provide manning for these extra machines  
All controls are now managed by company personnel, the consultant no longer has an active role, but is available for advice if necessary.

REPORT BY: B L Fowler

DATE: 5<sup>th</sup> August 2011

*(Declaration: I hereby confirm that neither myself nor any member of the assessment team listed above have any interest to declare with respect to this assessment).*

#### SURVEILLANCE STAFF USE

#### H.O. USE

#### NUMBER OF DISCREPANCIES

#### RECOMMENDATIONS

#### REPORT REVIEW / ACTION DATES

MAJOR	MINOR	OBS	CONTINUE	HOLD	RE-ASSESS	SCH. MGR. ACC	COR. ACT. ACC	GBD REVIEW	CONT. REG LETTER SENT
0	0	0	Yes						



# SURVEILLANCE SUMMARY SHEET

## QA International Certification Limited

Company: First Choice Labels Limited

Scheme No. QAIC/UK/667

PROCESS OR FUNCTION	Surveillance No.	2	3	4	5		
	Date: 5 <sup>th</sup> August 2010	07/06	06-09	10-08	11-08		
Combined QMS and BRC per checksheet		√	√	√	√		
<b>Key:</b> √ Area Assessed  ○ Assess area in more detail next visit.	<b>Comments</b>		All found to be satisfactory	One NCR raised on BRC requirements			

# ***ASSESSMENT RECORD – OPENING MEETING***

**COMPANY:** First Choice Labels

**SCHEME No:** QAICL/UK/667

1. The lead Assessor stated that all information disclosed during the assessment is to be treated as strictly confidential and is not to be disclosed to any party outside of the assessment.
2. **Assessment Team and Company Representatives were introduced:**  

<i>Assessment Team</i>	<i>Company Representatives</i>
B. L. Fowler	Anthony Sharples, Production Manager Kirk Lamplugh Sales Office Manager
3. Scope of assessment and offices being covered were confirmed by the company.
4. The company confirmed that the assessment is to the standard of : ISO 9001:2008
5. The company provided evidence that the Management System documentation was as approved by QA International, and tabled Revisions.
6. The company notified the Lead Assessor of any Customer Complaints received and provided evidence of bringing complaints to a Satisfactory Conclusion.
7. The Lead Assessor examined no Approvals / Audit reports from others.
8. The Lead Assessor agreed an assessment itinerary with the Company.
9. The Lead Assessor agreed the company representative(s) who would be providing escort during the assessment.
10. The Lead Assessor gave the following description of the Process of Discrepancy Reporting.
  - ◆ Each assessor undertakes assessment of a designated area or department and examines features at random, asking questions and examining documents etc. to confirm compliance with the documented Management System and the standard.
  - ◆ Discrepancy Reports are only raised when objective evidence is obtained to prove a discrepancy against the standard or the documented Management System.
  - ◆ Discrepancy Reports will be raised as soon as the Discrepancy is confirmed and the Company Representatives will be asked to signify agreement to the facts recorded on the form.
  - ◆ Breaches against legislation that are observed by the Auditor(s) during audit i.e. Health & Safety or Environmental, will be recorded on a discrepancy report and will immediately be brought to the attention of the company's representative(s) for consideration and further action by the Company. Certification will not be processed until such matter is resolved.
11. The Lead Assessor confirmed details of the Assessment Team office accommodation, work hours, lunch and other breaks.
12. The Lead Assessor confirmed any matters of Safety to be observed by the Assessment Team in the course of the assessment.
13. The Company confirmed that the employees are aware that the assessment is to take place.
14. The Lead Assessor asked if there was a Consultant present and if so, explained that if they were not part of the Assessment Scope they would be ignored.
15. The Lead Assessor familiarised himself and the audit team with the layout of the premises.
16. The Lead Assessor explained and made arrangements for the closing meeting.
17. Questions and clarifications.

**COMPANY REPRESENTATIVE:** Tony Sharples

**DATE:**  
5<sup>th</sup> August 2011

**QA INTERNATIONAL REPRESENTATIVE:** B L Fowler

*DECLARATION: I declare that the Lead Assessor has been notified of all Customer complaints and changes in System Documentation.*



# ASSESSMENT RECORD – CLOSING MEETING

COMPANY: First Choice Labels

SCHEME No: QAIC/UK/667

- |    |                 |  |
|----|-----------------|--|
| 1. | Assessment Team | Company Representatives  |
|    | B. L. Fowler    | Anthony Sharples, Production Manager<br>Kirk Lamplugh Sales Office Manager |
2. The Assessment Leader presented all the discrepancies.
  3. The company was given the opportunity to suggest actions to be taken to rectify the Discrepancy and the Lead Assessor made comments as to the acceptability of these actions against the assessment standard.
  4. When the corrective action suggested by the Company was acceptable to the Assessment Leader the Discrepancy Report was signed as agreed by the Assessor.
  5. The programme required to implement any Corrective Action was detailed on the original Discrepancy Report agreed by the Assessment Leader.
  6. The Assessment Leader advised the client of recommendations he will make to the Governing Board, giving an indication regarding the conformity of the Suppliers documented System with the requirement for registration.
  7. **Certification Assessment:** A copy of the Assessment Checklist/Report and Discrepancy Report(s) completed by the Assessment Leader and signed by the Company Representative was e-mailed to the Company Representative. The Assessment Leader advised the Company that they will receive a complete Assessment Report from QA International which will detail the actions required to continue Registration.
  8. The Lead Assessor explained the process of regular surveillance to the Company.
  9. **Surveillance Assessment:** A copy of the Surveillance Assessment Report and Discrepancy Report(s) completed by the Assessment Leader and signed by the Company Representative was handed to the Company Representative. The Assessment Leader advised the Company that they would receive an acknowledgement letter from QA International which confirmed the findings in the report and any actions required to maintain registration.
  10. The Assessment Leader handed back to the Company all documentation that did not form part of the Assessment Report.
  11. The Assessment Leader explained that the assessment was a planned sampling of the System and no guarantee could be given that all Discrepancies had been located.
  12. The Assessment Leader thanked the Company's representatives for their hospitality, assistance and Co-operation and closed the meeting.

COMPANY REPRESENTATIVE: Tony Sharples

DATE:  
5<sup>th</sup> August 2011

QA INTERNATIONAL REPRESENTATIVE: B L Fowler