Self Assessment - Food Products

Audit AUO-20161123-0001935688

Supplier Plant *14258 - SIA "Vale#s" / LV-1009 Riga*

Audit Trigger: Approval expired

Status: Released
Planned Date: to
Actual Date: to

Audit Result and Approval Status

Total Score and Overall Assessment

Audit result: (of a maximum attainable 0,0)

Rating:

Overall assessment: Not Assessed

Score per Section

Section	*Score*	*Max Score*	*Result (%)*
Questionnare Food Products	0,0	0,0	0,0 %
General Food Safety	0,0	0,0	0,0 %
Social, ethical and environmental	0,0	0,0	0,0 %
HACCP and Quality System	0,0	0,0	0,0 %
Traceability	0,0	0,0	0,0 %
Purchasing: Raw and packaging materials	0,0	0,0	0,0 %
Site Standards	0,0	0,0	0,0 %
Product Control	0,0	0,0	0,0 %
Personnel	0,0	0,0	0,0 %

Summary and Final Conclusion

Dear supplier,
Your company is a supplier or a potential supplier to at least one company in Orkla. According to our food safety requirements, all suppliers of food and food contact materials to Orkla are kindly requested to complete the enclosed self-assessment form. Completion of the questionnaire will take approx. 10 minutes for plants holding a food safety certificate approved by GFSI. For other plants it will take approx. 30 minutes.

The form is to be completed on plant level. Therefore, your company receives one e-mail per plant supplying any of Orkla's companies. Suppliers may choose to fill in the questionnaire on behalf of plants only if they are within the same legal company and provided they have all necessary information. Agents or distributors shall always forward the form to the relevant plant. Please, see the subject line of this email for information on the plant concerned.

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If you have any questions, PLEASE REFER TO THE EMAIL ADDRESS GIVEN IN THE FIRST SENTENCE OF THIS EMAIL.

HOW TO COMPLETE THE SELF-ASSESSMENT FORM
1. Please note that completion of the form requires the free software Adobe Reader, version 8.0 or later. To download or upgrade Adobe Reader, see:
http://get.adobe.com/reader/
2. Fill in the required information in the pdf file.
3. When completed, press the "Submit" button at the bottom of the self-assessment form.
4. If asked, choose how you want to send the form; through desktop email application (Outlook, Lotus Notes etc.) or internet email (hotmail, gmail etc.)
5. Send the completed self-assessment form to supplier.approval@r3p.orklabrands.no.
6. You may enclose other relevant documents together with the SAQ.

Please return the completed self-assessment form within two weeks from receiving the email. Thank you for your cooperation.

Scoring System

Auditors from Orkla

Role	Description	Telephone
Person Responsible		-
Lead Auditor		-

Additional Information

Non-conformities and required actions

Below is a list of non-conformities against fundamental requirements, as well as non-conformities against non-fundamental requirements.

Non-conformities against fundamental requirements must be closed and accepted by the lead auditor before approval.

If required by the lead auditor, a plan of corrective actions on non-conformities against non-fundamental requirements must be sent to the lead auditor within 30 days.

Audit questions

Question	*Description*	*Determination*	*Valuation*
1	Questionnare Food Products	Valuation:	0,0
1	General Food Safety	Valuation:	0,0
1.1	Food safety certificates	Valuation:	0,0
Does your plant have a food safety certificate approved by GFSI (BRC Global Standard, IFS Food Standard, FSSC 22000, SQF, Global Red Meat Standard, Global Aquaculture Alliance Seafood, PrimusGFS Standard, GlobalG.A.P or CanadaGAP) and will you send the certificate and, if requested by Orkla, the latest audit report? If "yes", please click "Add Comment" and fill in: 1) Which food safety certificate(s) you have 2) The name of the certification body Please also enclose the certificate in the email when submitting this self-assessment questionnaire, and note that you are obliged to notify Orkla of any changes to your certification status. If you have a food safety certificate and answer "yes" to this question, you only have to answer the questions in section 1+2: General Information + Social, ethical and environmental			
1.2	Compliance with legislation	Valuation:	0,0
Can you confirm that the products and ingredients used comply with European legislation or legislation in the relevant country(ies) to which they are sold, and, where required by national authorities, is the production site registered/approved for food production? If you have a specific authorisation for animal products, please click "Add Comment" and state your health identification number / EU approval number.			
1.3	Contract with pest control organisation	Valuation:	0,0
Does your plant have a contract with a competent pest control organisation? If yes, please click "Add Comment" and fill in the name of the control organisation.			
1.4	GMO	Valuation:	0,0
Do you exclusively handle non-GMO materials in the plant, and do you have a system to safeguard that all supplies you receive are non-GMO?			

Question	*Description*	*Determination*	*Valuation*
1.5	Allergen information	Valuation:	0,0
Is all relevant allergen* information mentioned in the specification(s) (including "may contain traces")? If the products do not contain any allergens, and there is no risk for traces of allergens, please answer "Yes". *) Allergens as considered by the EU legislation and any national legislation in the countries where the products are sold.			

1.6	New allergens	Valuation:	0,0
Have you introduced any new allergens* in the production premises during the past two years, or do you have plans to introduce new allergens? If "Yes", please click "Add Comment" and fill in which allergens are concerned. *) Allergens as considered by the EU legislation and any national legislation in the countries where the products are sold.			

1.7	Allergen recall	Valuation:	0,0
Have you had any recalls due to allergens during the past two years? If "Yes", please click "Add Comment" and fill in which allergens, the circumstances of the recall and corrective actions taken.			

1.8	Irradiation	Valuation:	0,0
Do you sell any irradiated products to Orkla? If "Yes", please click "Add Comment" and fill in to which Orkla companies you supply irradiated products.			

1.9	Orkla visit	Valuation:	0,0
Are you prepared to allow employees from Orkla to visit your plant and to inspect and assess your operation? This would include examination of specifications and records in so far as these relate to hygiene and safety aspects of your operation for the products supplied to Orkla.			

1.10	Identified CCPs and/or OPRPs	Valuation:	0,0
Have Critical Control Points (CCPs) and/or Operational Prerequsites (OPRPs) been established for the products delivered to Orkla? If "Yes", please enclose a document showing the identified CCPs/OPRPs when returning the SAQ, or describe the CCPs/OPRPs in the "Add comment" field. If "No", click "Add comment" and state the reason for why CCPs/OPRPs are not relevant.			

Question	*Description*	*Determination*	*Valuation*
2	Social, ethical and environmental	Valuation:	0,0
2.1	Minimum age	Valuation:	0,0
Do you adhere to the International Labour Organisation (ILO) Minimum Age Convention No. 138 (1973) and national requirements with stricter limits?			
2.2	Labour standards	Valuation:	0,0
Do you adhere to the International Labour Organisation (ILO) labour standards conventions (i.e. freedom of association, the right to collective bargaining, no forced labour, living wages and no discrimination)?			
2.3	Environmental management system	Valuation:	0,0
Do you have an environmental management system in place, audited annually either internally or by a third party? If you are certified by a third party, please click "Add Comment" and fill in: 1) Which certificate(s) you have 2) The name of the certification body			
2.4	Occupational health and safety mgt syst.	Valuation:	0,0
Do you have an occupational health and safety management system in place, audited annually either internally or by a third party? If you are certified by a third party, please click "Add Comment" and fill in: 1) Which certificate(s) you have 2) The name of the certification body			
2.5	EHS risk assessment	Valuation:	0,0
Do you identify, assess and document environment, health and safety (EHS) risks as well as environmental aspects of the plant's activities?			
2.6	EHS training	Valuation:	0,0
Do you provide relevant environment, health and safety (EHS) training for all employees?			
2.7	Emergency preparedness plan	Valuation:	0,0
Do you have an operating emergency preparedness plan related to social, ethical and environmental contingencies?			

Question	*Description*	*Determination*	*Valuation*
2.8	Breaches of EHS regulations	Valuation:	0,0
Have you had any breaches of EHS regulations during the past three years? If "Yes", please click "Add comment" and describe the breach and actions taken.			

2.9	Sedex	Valuation:	0,0
Has your company completed the self-assessment questionnaire on business integrity, labour standards, health and safety, and external environment in SEDEX (www.sedex.org.uk)? Please click "Add Comment" and fill in: If yes, the year and month (YYYY; MM) of the latest completion. If no, are you planning to complete the self-assessment questionnaire in SEDEX within a six-month period? Please note that if the question 1.1 has been answered with "Yes", you do not have to fill in section 3-7. Please go to the bottom of the questionnaire, fill in the requested information and click 'Submit'.			

3	HACCP and Quality System	Valuation:	0,0
3.1	Management review	Valuation:	0,0
Does the management evaluate the effectiveness of the HACCP and quality system in a management review annually (as a minimum)?			

3.2	HACCP system by Codex Alimentarius	Valuation:	0,0
Do you operate a HACCP system as laid down by Codex Alimentarius?			

3.3	HACCP team and training	Valuation:	0,0
Do you have an active HACCP team in which all relevant functions are represented, and are the team members sufficiently trained on HACCP?			

3.4	Allergen hazards	Valuation:	0,0
Have all relevant allergen* hazards with regard to raw materials and all processes (e.g. storage, production, transport) been considered in the hazard analysis? *) Allergens as considered by the EU legislation and any national legislation in the countries where the products are sold.			

3.5	Micro., phys. and chem. hazards	Valuation:	0,0
Have all relevant microbiological, chemical and physical hazards with regard to raw materials and all processes (e.g. storage, production, transport) been considered in the hazard analysis?			

Question	*Description*	*Determination*	*Valuation*
3.6	Process control	Valuation:	0,0
Is process control in place where all control points (including CCPs, if relevant) and specified limits are transferred into day-to-day production control?			

3.7	Crisis management plan and recall proc	Valuation:	0,0
Do you have a crisis/contingency management plan and recall procedures in place, and detailed contact information for relevant Orkla persons?			

3.8	Test of crisis management plan	Valuation:	0,0
Have your crisis/contingency management plan and recall procedures been tested during the past 12 months?			

4	Traceability	Valuation:	0,0
4.1	Registration of batch codes	Valuation:	0,0
Do you identify all raw materials, ingredients and food contact materials and register the suppliers# batch codes on intake? Please click "Add comment" and indicate whether you use suppliers# batch codes through all stages of processing, or whether you create your own batch codes. If you use own batch codes, please also describe how you trace from own batch codes to the suppliers# batch codes.			

4.2	Batch code labels on incoming materials	Valuation:	0,0
Are all incoming raw materials, ingredients and food contact materials labelled with the batch code you use for tracing the materials through all stages of processing until the finished product? If "Yes", please click "Add comment" and describe what type of batch identification you use or forward a picture or other document showing an example of a label with batch code together with this questionnaire. If "No", please click "Add comment" and describe how you secure traceability through all stages of processing.			

4.3	Batch code labels on finished products	Valuation:	0,0
Do you label all finished products with a batch code? If "Yes", please click "Add comment" and describe what type of batch identification you use or forward a picture or other document showing an example of a label with batch code together with this questionnaire.			

Question	*Description*	*Determination*	*Valuation*
4.4	Forward traceability	Valuation:	0,0
Are you able to trace all raw materials, ingredients and food contact materials (including the name of the supplier) through all stages of processing to finished products as well as to all the recipients of these products?			

4.5	Backward traceability	Valuation:	0,0
Are you able to trace all the batches of finished products delivered to customers and back to all raw materials, ingredients and food contact materials (including the name of the supplier) used in the finished products?			

4.6	Selection and reg. of batches used	Valuation:	0,0
Are the batches used during all stages of processing and dispatch actively selected and recorded either through bar-code scanning or through manual registration (i.e. not only automatically selected and recorded by the computerized system without any verification)? If "No", please click "Add comment" and describe how you secure that correct batches are registered.			

4.7	Tracing of rework	Valuation:	0,0
Are you able to trace any rework used in the finished products?			

4.8	Date of last traceability test	Valuation:	0,0
Have you tested your traceability system during the last 12 months? Please click "Add comment" and add the date of the last traceability test.			

4.9	Time spent on last traceability test	Valuation:	0,0
Did the last traceability test take less than 4 hours? Please click "Add comment" and state the time used on performing the traceability test.			

5	Purchasing: Raw and packaging materials	Valuation:	0,0
5.1	Supplier approval procedures	Valuation:	0,0
Do you have a risk-based supplier approval procedure in place which includes all your suppliers of raw materials and food contact materials, and do you consider all relevant food safety risks as well as the risk of fraud?			

Question	*Description*	*Determination*	*Valuation*
5.2	Supplier audits	Valuation:	0,0
Do you audit your suppliers based on a risk assessent?			

5.3	Inspection of incoming materials	Valuation:	0,0
Do you perform an inspection control of incoming materials?			

5.4	Supplier allergen information	Valuation:	0,0
Do you have routines for receiving relevant allergen* information, including "may contain traces", from suppliers? *) Allergens as considered by the EU legislation and any national legislation in the countries where the products are sold.			

5.5	Contamination from food contact mat.	Valuation:	0,0
Are all food contact materials suitable for the intended use, and have you, where required by law, received a Document of Compliance from the supplier, including relevant information on migration?			

5.6	Stock rotation	Valuation:	0,0
Do you operate a stock rotation system? (First In, First Out or First Expired, First Out)			

6	Site Standards	Valuation:	0,0
6.1	Potable water	Valuation:	0,0
Is all water used in the production and the staff facilities and for cleaning potable, and do you verify it appropriately (based on risk but at least annually)?			

6.2	Equipment	Valuation:	0,0
Is all equipment designed to maintain good hygiene and not to exceed maximum migration limits?			

6.3	Planned maintenance	Valuation:	0,0
Is there a system of planned maintenance in place covering premises and all items of equipment which are critical to product safety, legality and quality?			

Question	*Description*	*Determination*	*Valuation*
6.4	Calibration	Valuation:	0,0
Do you operate a system for regular calibration of measuring equipment used to monitor critical control points, product safety and legality?			

6.5	Sharp metal implements	Valuation:	0,0
Do you have a documented policy for control of the use of sharp metal implements, including knives, cutting blades, needles and wires, and are snap-off-blade knives prohibited to use in production and storage areas? (The policy shall also include records of inspection for damage and the investigation of any lost items.)			

6.6	Glass, brittle and hard plastic	Valuation:	0,0
Do you have an inventory list covering all glass, as well as brittle and hard plastic materials, and are these items inspected on a regular basis?			

6.7	Micro., phys. and chem. contamination	Valuation:	0,0
Are appropriate facilities and procedures in place to control the risk of microbiological, physical and chemical contamination of products?			

6.8	Separation of priv. and working clothes	Valuation:	0,0
Are staff facilities designed to ensure separation of private and working clothes (e.g. separate lockers)?			

6.9	Wood in production areas	Valuation:	0,0
Are wooden pallets or other wood in use where unprotected products are processed?			

6.10	Cleaning schedules	Valuation:	0,0
Do you have documented cleaning schedules that include cleaning method, frequency and chemicals used?			

6.11	Training of cleaning staff	Valuation:	0,0
Are cleaning staff trained to comply with cleaning schedules?			

Question	*Description*	*Determination*	*Valuation*
6.12	Cleaning verification	Valuation:	0,0
Is the efficiency of the cleaning verified appropriately (minimum every month)?			

6.13	Hygiene audits	Valuation:	0,0
Do you use internal hygiene inspections to verify food safety and hygiene standards, and are these audits documented?			

6.14	Organic waste	Valuation:	0,0
Is all organic waste collected in closed containers (in order to avoid pest infestation etc)?			

6.15	Pest control programme	Valuation:	0,0
Do you have a pest control programme that covers all relevant pests (birds, rodents, flying and crawling insects etc.)?			

6.16	Pest control inspections	Valuation:	0,0
Are pest controls carried out minimum 6 times per year by a competent pest control organisation or by appropriately trained staff, and are controls and corrective actions documented?			

6.17	Prevention of pest entrance	Valuation:	0,0
Are premises secured to prevent entrance of pests, and is this controlled and documented?			

7	Product Control	Valuation:	0,0
7.1	Identification of allergens	Valuation:	0,0
Are raw materials, intermediate and finished products containing allergens* handled on site identified and listed? *) Allergens as considered by the EU legislation and any national legislation in the countries where the products are sold.			

7.2	Allergen routines	Valuation:	0,0
Do you have routines for handling allergens* and prevention of contamination during storage, production and product changes as well as routines for correct labelling? *) Allergens as considered by the EU legislation and any national legislation in the countries where the products are sold.			

Question	*Description*	*Determination*	*Valuation*
7.3	Assured product claims	Valuation:	0,0
If you handle assured product claims (organic, certified origin etc.), do you have a system in place to verify the origin, including assessing the vulnerability for fraud, and do you operate procedures to secure traceability and separation? If you do not handle any assured product claims, please answer "Yes".			
7.4	Shelf life procedures	Valuation:	0,0
Do you have a procedure for shelf life estimation, and do you carry out tests, to verify the shelf life?			
7.5	Control of contaminants	Valuation:	0,0
Do you control heavy metals, pesticides or other contaminants in your products?			
7.6	Foreign body detection and removal	Valuation:	0,0
Is effective equipment in place to detect and remove foreign bodies, or can it be justified as not necessary (in case foreign bodies are eliminated through other process steps)? If "Yes", please click "Add Comment" and specify which type of equipment is used in the production process of products supplied to Orkla, as well as the sensitivity of this equipment.			
8	Personnel	Valuation:	0,0
8.1	Training on food safety	Valuation:	0,0
Do all relevant staff get training on food safety issues (including CCP training for personnel engaged in activities relating to critical control points,) at least annually?			
8.2	Personal hygiene standards	Valuation:	0,0
Does the company have documented personal hygiene standards, and do they cover all staff, contractors and visitors?			
8.3	Eating, drinking and smoking	Valuation:	0,0
Is eating, drinking (apart from water) and smoking permitted only in designated areas away from food handling, production and storage areas?			

Question	*Description*	*Determination*	*Valuation*
8.4	Medical screening	Valuation:	0,0
Are medical screening procedures (e.g. medical examination or self declaration) in place for all employees, visitors and contractors entering the production areas?			