Aldi Supplier Audit

ALDI Supplier Audit Report Template_2016

AIBI Account #: 32387-ALDI

SUPPLIER AUDIT REPORT				
SITE DETAILS				
Auditor: David Taylor	**Audit Date: 08/02/2017**		**Date of Previous Audit: N/A**	
Manufacturing Site Name: Alara Wholefoods Ltd				
Address: 108-112 Camley Street N1C 4PF				
Email/ Fax: Info@alara.co.uk	**Country: United Kingdom**			
Tel No:	**Aldi Supplier Site Code:**			
Name of Supplier/ Agent (if applicable)				
PRODUCT NAME (obtain copy of specification prior to audit)				
Milled Linseed and Milled Mixed Seed			**Ambient**	x
			Chilled	
			Frozen	

Scope of audit

Milling and blending of ready to eat breakfast cereals .

Key Personnel - Include Senior Management & Technical Contact

Name	Opening Meeting	Site Inspection	Procedure Review	Closing Meeting
Omowunmi Olunloyo	Yes	Yes	Yes	Yes
Barry Tucker	Yes	Yes	Yes	No
Alex Smith	Yes	No	No	No

Result of Inspection

SUPPLIER APPROVED FOR SUPPLY?	**YES**	X	**NO**	
PRODUCT RISK RATING	**HIGH**		**LOW**	
Site Re-Assessment Frequency by AIB	**6 MONTHS**		**12 MONTHS**	

*APPROVAL TO SUPPLY ALDI IS DEPENDENT UPON RECEIVING A CORRECTIVE ACTION PLAN AND OBJECTIVE EVIDENCE FOR ALL NON-CONFORMANCES WITHIN THE AGREED TIMESCALE

AUDIT SUMMARY

The company was established in 1975 and it's aim is to produce natural organic produce. The company is licensed by the Soil Association and Japanese Agricultural Standard (JAS) to produce organic food and to ensure that the cereal products supplied do not contain or consist of genetically modified organisms or any of its derivatives. There is a HACCP plan in place where three critical control points have been identified, which are: 1. visual check of incoming raw materials, 2. Cleaning to prevent allergen contamination and 3. metal detection.
No Major or Critical Non-Conformances were identified. The facility was therefore considered capable of supplying safe and legal products to ALDI. **The approval status is APPROVED**. The Minor Non-Conformances require addressing.

COMPANY PROFILE	
Company Name:	Alara Wholefoods Ltd
Location:	108-112 Camley Street N1C 4PF
Site Ownership / History:	A privately owned company in 1975. Move to current site in 1985 (unit 1) and growth led to an additional unit (unit 2) in 2004. The units are around 35 years old and have been adapted to meet food handling and storage requirement.
Age of the company:	42
Years at present site:	32
Trading Names, Sister Sites, Subsidiaries:	Alara Wholefoods Ltd
Production size including storage (feet / metres square):	<10k sq. m
Number of workers on site and shift pattern:	50/8am to 4pm
Turnover (if provided):	£7m
Formal accreditation / certification held or working towards, e.g. BRC, IFS, Organic. Please state scope:	BRC, Organic, Fairtrade, Gluten Free, ISO 1400:2015
EC License number / Health Mark:	N/A
Assured products or IP standards:	N/A
Key Raw Materials:	Cereals
Allergens on site:	Cereals, Peanuts, Nuts, Soya, Milk, Sesame, Sulphur dioxide
Key Production Processes:	QC Organoleptic inspection of the raw material, production weight checks, finished product quality checks, metal detection, microbiological and chemical test of finished product & raw material, shelf life assessment
Number of Production lines used for Aldi	1
Product categories e.g. chilled ready to eat, chilled	Breakfast cereals
Preservation Method:	Store in a cool dry place
Products produced on site:	Breakfast cereals including muesli, nuts, dried fruits and seeds packed into printed film. The mixing and roasting of granola, as a raw material for inclusion in breakfast cereals.
Quantity of finished products produced on site for Aldi:	2
Packaging Material and types:	Plastic bags/Cardboard box with tape as closure
Distribution Method / Type:	Trailer
Major changes since last audit including major investment:	N/A
Recalls or incidents in the last 12 months:	0

Non-conformance / Corrective action Plan

No.	(Critical, Major or Minor)	Details of non-conformity (Provided by Auditor)	Corrective Action, including Root Cause Action (Provided by Supplier)	Deadline for Response (Provided by Auditor)	Response Reviewed by Auditor (Name)	Date NC Closed Out by the Auditor
4.4.1	Minor	An area of the wall in the 'pallet only' area of the raw material warehouse was damaged and was missing plaster and there was much cracking and pitting to the floor in the production zone.	Damaged walls to be replastered and cracking/pitting to the floor in the production zone to be covered and painted, QA had not been vigilant to report damaged walls. QA to minor as part of fabrication audit.	27/02/2017 and 29/03/2017		
4.7.3	Minor	Cardboard was wedged between fittings on the box taping machine on Line 1 in order to reduce vibration.	Cardboard removed from box taping machine immediately, operative was trying to reduce machine vibration. Packing operative rebriefed. QA to monitor as part of Warehouse internal audit.	27/02/2017 and 29/03/2017		
4.11.1	Minor	Live flour beetle activity was discovered inside the dust bag of a vacuum cleaner, in the production zone, which had not been opened for some time. Vacuum cleaners had not been identified on the cleaning schedule.	Vacuum cleaner removed from area and cleaned, It was missed during cleaning schedule planning. It has been added to cleaning schedule and QA will monitor as part of internal audit.	27/02/2017 and 29/03/2017		
4.11.4	Minor	There was residue of the previous day's production inside two of the unused mixers.	Production Manager did not realise that it could be potential issue as machines are usually checked before use and if dirty cleaned before use. Going forward all machine will be cleaned thoroughly after use. QA will monitor as part of internal audit	27/02/2017 and 29/03/2017		
4.13.8	Minor	It was noted that there was significant pigeon activity in the outside grounds.	Outside grounds monitored ongoing. Surronding areas have lots of pigeon activity due to available food from company waste. Alara's bin is stored outside and covered with a lid at all times, Pigeons are not feed at any time and premises is monitored as part of internal audit.	27/02/2017 and 29/03/2017		
4.14.1	Minor	Freezer temperatures were being recorded without using a minus sign.	QA assumed it was acceptable to record without the minus sign as paperwork clearly states freezer check. QAs and Hygiene team rebriefed to ensure minus sign is recorded for freezer temperature. Technical Manager to monitor.	27/02/2017 and 29/03/2017		
5.3.2	Minor	Tree nuts were stored above peanuts in the raw material warehouse.	It was missed during segregation process. Tree nut and peanut to be segregated, QA to monitor as part of internal audit	27/02/2017 and 29/03/2017		

Approval to supply Aldi is dependent on receiving a corrective action plan for the non-conformances raised and objective evidence for any Major or Critical Non-conformances within the agreed timescale

Acknowledgement of Notification of NonConformances

Site Representative Signature: Omowunmi Olunloyo	**Date: 17.02.17**
Auditor Signature	**Date**

Senior Management Commitment; responsibility and management authority

Category	No.	Requirement	Evidence/Observations	OK/ NC/ NA	Critical / Major / Minor
Senior Management Commitment	1.1.1	Food Safety and Quality Policy displayed and communicated. Signed by and Dated.	Signed by MD dated 20/04/2016	OK	
	1.1.2	Certifications/accreditations held by the site. Dates for pre audits and certification audits shall be communicated to Aldi and AIB International.	BRC and Soil Association accreditation.	OK	
	1.1.3	Date of last management review. Attendees of meeting. Details of minutes seen, including QMS and HACCP.	Last meeting attended by management and HACCP team	OK	
	1.1.4	Quality objectives set and reviewed, meeting structure/frequency. Communications to address safety or legal issues.	In place	OK	
	1.1.5	Are there adequate resources for the Quality / Technical Function on site?	No issues	OK	
	1.1.6	How does company keep informed of any legal, scientific or technical developments?	The Grocer Magazine, Members of Campden, subscribe to FSA and FDA.	OK	
Organisation structure	1.2.1	Date organisation chart was issued. Job descriptions for key employees including deputies.	Document seen	OK	

HACCP

Section	No.	Requirement	Evidence/Observations	OK/ NC/NA	Critical / Major / Minor
HACCP team	2.1	HACCP team to be multi-disciplined and appropriately trained. Team leader to have intermediate HACCP training as minimum.	Satisfactory	OK	
	2.2.1	Pre-requisites shall be in place, record date/authorisation.	In place.	OK	
	2.2.2	Control measures and monitoring procedures for prerequisite programmes must be clearly documented and form part of the development and review of the HACCP.	In place.	OK	
	2.3.1	The scope of the HACCP shall clearly include manufacture of all products supplied to Aldi. For each Aldi product produced there shall be a documented description, which shall include factors that affect product safety, quality and legality and adhere to the Aldi Food Policy on HACCP 10.1 (Policy Files\ALDI Food Policy_HACCP_v10_1)	This was the case.	OK	
	2.3.2	Product description - all relevant information needed to conduct the hazard analysis shall be collected, maintained, documented and updated.	Satisfactory	OK	
	2.4.1	The intended use of the product by the customer shall be described, defining the consumer target groups. Including the suitability of the product for vulnerable groups of the population.	No issues	OK	
	2.5.1	A process flow diagram shall be formalised and cover all the products supplied to Aldi from raw material selection through processing to storage and distribution.	Process flow diagrams seen.	OK	
	2.6.1	Flow chart must be verified and signed by the HACCP team.	In place.	OK	

HACCP study	2.7.1	The hazard analysis and risk assessment should be documented to record all potential hazards at each step of the flow and control measures required.	This had been done.	OK		

	2.7.2 2.7.3	The HACCP food safety team shall consider the control measures necessary to prevent or eliminate a food safety hazard or reduce it to an acceptable level.	Control measures had been considered.	OK	
	2.8.1 2.9.1	For each hazard that requires control, control points shall be reviewed to identify those that are critical. Critical limits shall be formalised and measurable.	The company had identified control points.	OK	
	2.9.2	Validation by the HACCP team. There must be evidence to show that the measures in place do reduce the hazard to an acceptable level.	In place.	OK	
	2.10.1 2.10.2	Monitoring systems shall be documented and formalised to ensure compliance within critical limits. Records associated with the monitoring of each CCP shall include the date, time and result of measurement.	CCPs had been identified as visual checks on goods in, cleaning and metal detection.	OK	
	2.11.1	Corrective actions shall be documented for when monitoring results indicate a trend towards or failure to meet a critical limit.	Done.	OK	
	2.12.1	Procedures of verification shall be established to confirm that the HACCP plan, including controls managed by prerequisite programmes, are effective.	This was so.	OK	
	2.13.1	The HACCP food safety team shall review the HACCP plan and prerequisite programmes at least annually and prior to any changes which may affect product safety.	Annual review was carried out.	OK	

Quality Management System

Section	No.	Requirement	Evidence/Observations	OK/ NC/ NA	Critical / Major / Minor
Food Safety and Quality manual	3.1.1	The company shall have a Food Safety and Quality Manual. Record date and version control.	Current version dated 20/04/2016	OK	
	3.1.2	All procedures and work instructions shall be clearly legible, unambiguous, in appropriate languages and sufficiently detailed to enable their correct application by appropriate staff.	No issues.	OK	
Document control	3.2.1	The company shall maintain records to demonstrate effective control of the QMS.	In place.	OK	
Internal audits	3.3.1	The company shall have a system of Internal Audits. Audits shall be scheduled so that all systems and procedures relating to the QMS, HACCP and Aldi specific requirements are audited at least annually.	This was so.	OK	
	3.3.2	Internal audits shall be carried out by appropriately trained competent auditors, who are independent from the audited department.	In place.	OK	
	3.3.3	The internal audit programme shall be fully implemented. Internal audit reports shall identify conformity as well as non-conformity and the results shall be reported to the personnel responsible for the activity audited.	This was so.	OK	
	3.3.4	In addition to the internal audit programme there shall be a programme of documented inspections to ensure that the factory environment and processing equipment is maintained in a suitable condition for food production.	In place.	OK	
Supplier approval	3.4.1.1	The company shall undertake a documented risk assessment of each raw material or group of raw materials to identify potential risks to product safety, legality and quality and adhere to Aldi Food Policy on Raw Material Assurance 14.1. (Policy Files\ALDI Food Policy_Raw Material Assurance_v14_2)	Satisfactory.	OK	
	3.4.1.2	The company shall have a documented supplier approval and ongoing monitoring procedure to ensure that suppliers are effectively managing the risks to raw material quality and safety and are operating effective traceability processes. This includes haulage, handling and storage of finished product.	List of approved suppliers was available.	OK	
	3.4.1.3 3.4.1.4	Where raw materials are purchased from agents or brOKers, procedures shall be defined, traceability must be maintained, and details of the last manufacturer or packer or consolidator must be held.	Satisfactory.	OK	
	3.4.2.1	The company shall have a documented procedure for the acceptance of raw materials and packaging on receipt based upon the risk assessment and the Aldi Policy on Food Supplier Approval 16.1 . (Policy Files\ALDI Policy_Food Supplier Approval_v16_1)	In place.	OK	
	3.4.2.2	Records shall be maintained of all acceptances and rejections of raw materials.	In place.	OK	

	3.4.3.1	There shall be a documented procedure for the approval and monitoring of suppliers of services.	In place.	OK	
	3.4.4.1	The company shall be able to demonstrate that if part of the production process is outsourced/undertaken off site, it has been declared to the brand owner and approval granted.	No production is outsourced.	OK	
	3.4.4.2	The company shall ensure that subcontractors are approved and monitored by successful completion of either a documented site audit or third-party certification to a GFSI recognised scheme.	N/A	OK	
	3.4.4.3	The company shall establish inspection and test procedures for outsourced product on return, including visual, chemical and/or microbiological testing, dependent on risk assessment.	N/A	OK	
Specifications	3.5.1 3.5.2	Agreed specifications / certificates of conformity should be available for all raw materials, processing aids and food contact packaging. Specifications shall be subject to review at any change and at least every two years.	Certificate of conformity seen for Brown Linseed from Freeworld Trading Ltd	OK	
	3.5.3 3.5.4	Processes employed, recipes used and quality criteria shall reflect that as detailed in the Aldi specification. Confirm Espec status e.g. Active, collaborative draft supplier etc. for each product.	In place.	OK	
	3.5.5	Aldi specifications shall be up to date, any changes e.g. to product, ingredients, origin, suppliers, allergen status, manufacturing or packing site, packaging or process shall be notified to Aldi and AIB International immediately. Refer to Aldi Policy on Country of Origin 8.1 (Policy Files\ALDI Food Policy_Country of Origin_v8_1)	In place.	OK	
Control of non-conformity	3.6.1 3.7.1	A documented procedure shall be in place to investigate, correct and prevent the cause of non-conformity as well as procedures for managing non-conforming product.	Satisfactory.	OK	
Traceability	3.8.1	The company shall have a system in place to trace production lots from raw materials to finished products, including re-work and processing aids.	In place.	OK	
	3.8.2	The system shall be tested forwards and backwards at least annually and records kept of the results, including timings for key activities and any corrective actions resulting from the test.	This had been done.	OK	
	3.8.3	The company shall ensure the suppliers of raw materials have effective traceability systems in place, this should be by audit or by evidence of a documented test provided by the supplier.	No issues.	OK	
Complaints	3.9.1	The company shall have a system in place to investigate and record customer complaints. Complaint data shall be analysed and used to implement on-going improvements and prevent re-occurrence.	Procedure in place.	OK	
Incident management	3.10.1	The company shall have a documented system in place to effectively manage incidents. The system shall be tested annually and records maintained.	Satisfactory.	OK	

Incident management	3.10.2	The company shall have a documented product withdrawal and recall procedure (RFS/EPW). The procedure shall be capable of being operated at any time.	Satisfactory.	OK	

Site Standards

Section	No.	Requirement	Evidence/Observations	OK/ NC/ NA	Critical / Major / Minor
External areas	4.1.2	External areas should be maintained in good order and be included on the internal audit process (yards, roads and planted areas).	No issues.	OK	
Site and product security	4.2.1	The company shall undertake a documented Food Defence assessment of the security arrangements and potential risks to the products from any deliberate attempt to inflict contamination or damage. This must include all stages of distribution up to stock being accepted into Aldi Regions.	The technical manager was the food defence coordinator and a vulnerability assessment had been undertaken.	OK	
	4.2.2	Security shall be maintained to prevent access of unauthorised persons into production and storage areas. Access to the site shall be controlled and a visitor / contractor reporting system in place.	In place.	OK	
Process flow and contamination control	4.3.1	There shall be a plan of the site which designates areas where product is at different levels of risk from contamination.	In place.	OK	
	4.3.2	If it is necessary to allow access through production areas, designated walkways shall be provided that ensure there is adequate segregation from materials.	Satisfactory.	OK	
	4.3.3	Contractors and visitors, including drivers, shall be made aware of all procedures for access to premises and the requirements of the areas they are visiting, with special reference to hazards and potential product contamination.	Documentation available at reception desk.	OK	
	4.3.4	In low-risk areas the process flow together with the use of demonstrably effective procedures shall be in place to minimise the risk of the contamination of raw materials, intermediate/semi- processed products, packaging and finished products.	In place.	OK	
	4.3.5	Where high-care areas are part of the manufacturing site there should be physical segregation between these areas and other parts of the site.	In place.	OK	
	4.3.6	Premises shall allow sufficient working space and storage capacity to enable all operations to be carried out properly under safe hygienic conditions.	No issues.	OK	
	4.4.1	Building fabric shall be suitably constructed and maintained (walls, floors, drains, ceilings, windows and doors). Surfaces should be impervious and easily cleaned. The risk of pest harbourage must be considered.	An area of the wall in the 'pallet only' area of the raw material warehouse was damaged and was missing plaster.	NC	Minor

Buildings and fabrication	4.4.2	Drainage, where provided, shall be sited, designed and maintained to minimise risk of product contamination and not compromise product safety.	No issues.	OK	
	4.4.3	Where sites include high-care or high-risk facilities, there shall be a plan of the drains for these areas which shows the direction of flow and location of any equipment fitted to prevent the back up of waste water.	Not seen due to time constraints.		
	4.4.4	Windows and doors should be well maintained close fitting and screened / proofed against pest ingress (external pipe-work and cable ducts sealed).	Satisfactory.	OK	
	4.4.5	Sufficient and suitable lighting shall be provided. Where they pose a risk to product bulbs and strip lights including EFK's should be protected against breakage.	Satisfactory.	OK	
	4.4.6	Adequate ventilation and extraction shall be provided. Where appropriate positive air pressure systems shall be in place.	Satisfactory.	OK	
	4.4.7	High-risk areas shall be supplied with sufficient changes of filtered air. The filter specification used and frequency of air changes shall be documented.	No issues.	OK	
Water supply	4.5.1	All water used as a raw material in the manufacture of processed food, the preparation of product, or for equipment or plant cleaning shall be supplied in sufficient quantity, be potable at point of use or pose no risk of contamination.	Potable water supplied by the utility company and tested appropriately.	OK	
	4.5.2	An up-to-date plan shall be available of the water distribution system on site, including holding tanks, water treatment and water recycling as appropriate.	Not seen due to time constraints.		
	4.5.3	Where legislation specifically permits the use of water which may not be potable for initial product cleaning (e.g. for the storage/washing of fish), the water shall meet the designated legal requirement for this operation.	Satisfactory.	OK	
	4.5.4	Air, other gases and steam used directly in contact with or as an ingredient in products shall be monitored to ensure this does not represent a contamination risk.	N/A	N/A	
Equipment design	4.6.1	Equipment shall be suitably designed and used to minimise the risk of product contamination and to facilitate effective cleaning.	Satisfactory.	OK	
	4.6.2	Equipment which is in direct contact with food shall be suitable for food contact and meet legal requirements where applicable.	Satisfactory.	OK	
	4.7.1	A documented system of planned and corrective maintenance shall be in place.	Satisfactory.	OK	

Maintenance	4.7.2	In addition to any planned maintenance programme, where there is a risk of product contamination by foreign bodies arising from equipment damage, the equipment shall be inspected at predetermined intervals.	No issues.	OK	
	4.7.3	Where temporary repairs are made, these shall be controlled to ensure the safety or legality of product is not jeopardised.	Cardboard was wedged between fittings on the box taping machine on Line 1 in order to reduce vibration.	NC	Minor
	4.7.4	Maintenance activities shall respect the segregation requirements for high risk and high care areas, and wherever possible use dedicated equipment in those areas.	In place.	OK	
	4.7.5	Materials used for equipment and plant maintenance and that pose a risk by direct or indirect contact with raw materials, intermediate and finished products.	No issues.	OK	
	4.7.6	Engineering workshops shall be kept clean and tidy and controls shall be in place to prevent contamination risks to the product (e.g. provision of swarf mats at the entrance/exit of workshops.	Handy man's room was kept in a tidy fashion.	OK	
Staff facilities	4.8.1	Designated changing facilities shall be provided for all personnel, whether staff, visitor or contractor.	Satisfactory.	OK	
	4.8.2	Staff facilities shall be sufficient for the number of personnel and maintained in a suitable condition (lockers, hand-washing, and toilets)	Satisfactory.	OK	
	4.8.3	Outdoor clothing and other personal items shall be stored separately from work wear within the changing facilities. Facilities shall be available to separate clean and dirty work wear.	This was the case.	OK	
	4.8.4	Where an operation includes a high-care area and/or high-risk area, personnel shall enter via a specially designated changing facility with arrangements to ensure that protective clothing will not be contaminated before entry to the high-care and/or high-risk area.	No issues.	OK	
	4.8.6	Suitable and sufficient hand-washing facilities shall be provided at access to, and at other appropriate points within, production areas.	In place.	OK	
	4.8.7	Toilets shall be adequately segregated and shall not open directly into production, packing and storage areas. Toilets shall be provided with hand-washing facilities.	No issues.	OK	
	4.8.8	Where smOKing is allowed under national law, designated controlled smOKing areas shall be provided which are both isolated from production areas and fitted with sufficient extraction to the exterior of the building.	In place.	OK	

	4.8.9	All food brought into manufacturing premises by staff shall be appropriately stored in a clean and hygienic state. No food shall be taken into storage, processing or production areas.	Stored in staff kitchen.	OK	
	4.8.10	Where catering facilities are provided on the premises, they shall be suitably controlled to prevent contamination of product.	No issues.	OK	
	4.9.1	A system must be in place to ensure full control of all f (Policy Files\ALDI Food Policy_Control of Foreign Bodies	Policy in place.	OK	
	4.9.2.1	A chemical control procedure shall be in place which manages the storage and handling of all non-food chemicals (cleaning, engineering, laboratory etc.) and adheres to Aldi Policy on the Management of Chemical Hazards 46.1. (Policy Files\ALDI Food Policy_Management of Chemica	No issues.	OK	
	4.9.2.2	There shall be a documented policy for sharps (e.g. blades, wires, scissors, and needles) including issue / return, integrity checking and breakage procedures.	Not seen due to time constraints.		
	4.9.3.1	The purchase of ingredients and packaging which use staples or other foreign-body hazards as part of the packaging materials shall be avoided.	No issues.	OK	
	4.9.3.2	Glass or other brittle materials shall be excluded or protected against breakage in areas where open products are handled or there is a risk of product contamination.	This was the case.	OK	
	4.9.3.3	Brittle material (including plastic) shall be detailed on a register and audited on a risk-assessed frequency.	In place.	OK	
	4.9.4.1	Glass/other brittle materials breakage procedures shall be documented and hygiene clearance procedure in place for fabric breakages and on-line (bottle) breakages.	Satisfactory.	OK	

Foreign body control	4.9.4.2	Systems shall be in place to manage container breakages between the container cleaning/inspection point and container closure. This shall include, as a minimum, documented instructions which ensure: · The removal and disposal of at-risk products in the vicinity of the breakage; this may be specific for different equipment or areas of the production line · The effective cleaning of the line or equipment, which may be contaminated by fragments of the container. Cleaning shall not result in the further dispersal of fragments, for instance by the use of high pressure water or air · The use of dedicated, clearly identifiable cleaning equipment (e.g. colour coded) for removal of container breakages. Such equipment shall be stored separately from other cleaning equipment · The use of dedicated, accessible lidded waste containers for the collection of damaged containers and fragments · A documented inspection of production equipment is undertaken following the cleaning of a breakage to ensure cleaning has effectively removed any risk of further contamination · Authorisation is given for production to re-start following cleaning · The area around the line is kept clear of brOKen glass	N/A	N/A	
	4.9.4.3	Records shall be maintained of all container breakages on the line. Where no breakages have occurred during a production period, this shall also be recorded.	N/A	N/A	
	4.9.5.1	Wood should not be used in open product areas except where this is a process requirement (e.g. maturation of products in wood).	Wood is excluded other than wooden pallets.	OK	
	4.10.1.1	A documented assessment in association with the HACCP study shall be carried out on each production process to identify the potential use of equipment to detect or remove foreign body contamination.	No issues.	OK	
	4.10.1.2	The type, location and sensitivity of the detection and/or removal method shall be specified as part of the company’s documented system.	In place.	OK	
	4.10.1.3	The company shall ensure that the frequency of the testing of the foreign body detection and/or removal equipment is defined	In place.	OK	
	4.10.1.4	Where foreign material is detected or removed by the equipment, the source of any unexpected material shall be investigated.	Procedure in place.	OK	

Foreign body detection	4.10.2.1	Filters and sieves used for foreign body control shall be of a specified mesh size or gauge and designed to provide the maximum practical protection for the product.	Sieves not used.	OK	
	4.10.2.2	Filters and sieves shall be regularly inspected or tested for damage on a documented frequency based on risk. Records shall be maintained of the checks.	N/A	N/A	
	4.10.3.1	Metal detection equipment shall be in place unless risk assessment demonstrates that this does not improve the protection of final products from metal contamination.	Metal detectors were in use.	OK	
	4.10.3.2	The metal detector or X-ray equipment shall incorporate one of the following: an automated rejection device, a belt stop system or in- line detectors	This was the case.	OK	
	4.10.3.3	The company shall formalise procedure for the testing of the foreign-body detector and establish corrective action and reporting procedures in the event of failure being identified during a test.	In place.	OK	
	4.10.3.4	Metal detector checking procedures shall be based on best practice: · Use of test pieces incorporating a sphere of metal of a known diameter. The test pieces shall be marked with the size and type of test material contained. · Tests carried out using separate test pieces containing ferrous metal, stainless steel and typically non-ferrous metal, unless the product is within a foil container. · A test that both the detection and rejection mechanisms are working effectively under normal working conditions. · Checks that test the memory/reset function of the metal detector by passing successive test packs through the unit. · In addition, where metal detectors are incorporated on conveyors: the test piece shall be passed as close as possible to the centre of the metal detector aperture and wherever possible be carried out by inserting the test piece within a clearly identified sample pack of the food being produced at the time of the test. · Where in-line metal detectors are used the test piece shall be placed in the product flow wherever this is possible.	Test pieces included 3mm Ferrous, 3mm non-ferrous and 3.5mm stainless steel.	OK	
	4.10.3.5	The company shall establish and implement corrective action and reporting procedures in the event of the testing procedure identifying any failure of the foreign body detector.	Actions included quarantine and retesting.	OK	

	4.10.4.1	The type, location and the strength of magnets shall be fully documented. Documented procedures shall be in place for the inspection, cleaning, strength testing and integrity checks. Records of all checks shall be maintained.	Not used.	N/A	
	4.10.5.1	Each optical sorting equipment unit shall be checked in accordance with the manufacturer's instructions or recommendations. Checks shall be documented.	No optical sorting equipment.	N/A	
	4.10.6.1	Based on risk assessment, procedures shall be implemented to minimise foreign body contamination originating with the packaging container.	In place.	OK	
	4.10.6.2	The effectiveness of the container cleaning equipment shall be checked and recorded during each production.	No issues.	OK	
	4.10.6.3	Challenge testing shall be conducted at least annually using typical foreign bodies expected for that type of container/process. These tests shall be documented.	Satisfactory.	OK	
Cleaning requirements	4.11.1	Documented appropriate cleaning procedures shall be in place and maintained for the building, plant and all equipment	Live flour beetle activity was discovered inside the dust bag of a vacuum cleaner, in the production zone, which had not been opened for some time. Vacuum cleaners had not been identified on the cleaning schedule.	OK	
	4.11.2	Limits of acceptable and unacceptable cleaning performance shall be defined, based on the potential hazards (e.g. microbiological, allergen or foreign body contamination).	In place.	OK	
	4.11.3	Where it is necessary to dismantle equipment for cleaning purposes or to enter large equipment for cleaning, this shall be appropriately scheduled and, if possible, planned for non-production periods.	In place.	OK	
	4.11.4	The cleanliness of equipment shall be checked before equipment is released back into full production.	There was residue of the previous day's production inside two of the unused mixers.	NC	Minor
	4.11.5	Cleaning equipment shall be: Fit for purpose, Colour coded or labelled, cleaned and stored in a hygienic manner to prevent contamination.	Satisfactory.	OK	
	4.11.6	Cleaning-in-place (CIP) facilities, where used, shall be monitored and maintained to ensure their effective operation.	There was no CIP in use at the facility.	N/A	
	4.11.7	Schematic plan of the layout of the CIP system shall be available. There shall be an inspection report or other verification.	N/A	N/A	
	4.11.8	The CIP equipment shall be operated to ensure effective cleaning is carried out.	N/A	N/A	

Waste disposal	4.12.1	Surplus Aldi brand products shall be disposed of in an appropriate manner, and all Aldi brand names and identifying material removed.	No issues.	OK	
	4.12.2	External waste containers shall be clearly identified, clean, well maintained, emptied with due frequency, kept closed as appropriate. Surrounding areas must be kept clean and tidy.	Satisfactory.	OK	
Pest control	4.13.1	A preventative pest control program shall be implemented across the site. (In-house or external contractor).	External contract services provided by 'Check Services'.	OK	
	4.13.2	Any pest infestations must be managed to ensure there is no risk to Aldi products, raw materials or packaging.	Satisfactory.	OK	
	4.13.3	Where a site undertakes its own pest control it must be able to demonstrate that pest control operations are undertaken by trained and competent staff.	N/A	N/A	
	4.13.4	Pest control documentation and records shall be maintained and adhere to the Aldi Policy on Pest Control 32.1. (Policy Files\ALDI Policy_Pest Control_v32_1)	In place.	OK	
	4.13.5	Bait stations shall be robust, tamper resistant and secured in place. Missing bait stations shall be recorded and investigated.	Satisfactory.	OK	
	4.13.6	Toxic baits shall not be used in open product areas, unless treating an active infestation.	This was so.	OK	
	4.13.7	Fly killer devices and pheromone traps (where applicable) shall be appropriately located and maintained.	In place.	OK	
	4.13.8	In the event of infestation, or evidence of pest activity, immediate action shall be taken to eliminate the hazard.	It was noted that there was significant pigeon activity in the outside grounds.	NC	Minor
	4.13.9	Pest control evidence maintained shall include current bait plans, records of pest control inspections, recommendations and corrective actions taken.	In place.	OK	
	4.13.10	An in-depth, documented pest control survey shall be undertaken at a frequency based on risk, but as a minimum annually, by a pest control expert to review the pest control measures in place.	This was the case.	OK	
	4.13.11	Results of pest control inspections shall be assessed and analysed for trends on a regular basis.	Satisfactory.	OK	
	4.13.12	Employees shall understand the signs of pest activity and be aware of the need to report any signs of pest activity.	No issues.	OK	

Storage	4.14.1	Documented procedures to maintain product safety and quality during storage shall be developed on the basis of risk assessment, understood by relevant staff and implemented accordingly.	Freezer temperatures were being recorded without using a minus sign.	NC	Minor
	4.14.2	Specific handling or stacking requirements to prevent product damage.	In place.	OK	
	4.14.3	Where storage outside is necessary, items shall be protected from contamination and deterioration. Items shall be checked for suitability before being brought inside.	There was no outside storage.	OK	
	4.14.4	Receipt documents and/or product identification shall facilitate correct stock rotation of raw materials, intermediate products and finished products in storage.	Satisfactory.	OK	
Transportation	4.15.1	Documented procedures to maintain product safety and quality during loading and transportation shall be developed and implemented.	In place.	OK	
	4.15.2	Traceability shall be ensured during transportation. There shall be a clear record of dispatch and receipt of goods and materials demonstrating that sufficient checks have been completed during the transfer of goods.	Satisfactory.	OK	
	4.15.3	All vehicles or containers used for the dispatch of products shall be inspected prior to loading to ensure that they are fit for purpose. Records of inspections must be maintained.	Checks carried out but records not seen.	OK	
	4.15.4	Where temperature control is required, the transport shall be capable of maintaining product temperature within specification, under minimum and maximum load.	N/A	N/A	
	4.15.5	Maintenance systems and documented cleaning procedures shall be maintained for all vehicles and equipment used for loading/unloading (e.g. hoses connecting to silo installations). There shall be records of the measures taken.	Not seen due to time constraints.		
	4.15.6	The company shall have documented procedures for the transport of products.	Not seen due to time constraints.		
	4.15.7	Third party haulage companies shall be controlled and monitored (Service contracts formalised).	Not seen due to time constraints.		

Product Control

Section	No.	Requirement	Evidence/Observations	OK/ NC/ NA	Critical / Major / Minor
Product design & development	5.1.1	Product design and development procedures shall be documented and include HACCP (including the introductions of new hazards) and shelf life validation.	In compliance.	OK	
	5.1.2	Trials using production equipment shall be carried out where it is necessary to validate that product formulation and manufacturing processes are capable of producing a safe product of the required quality.	In place.	OK	
	5.1.3	Shelf-life trials shall be undertaken using documented protocols reflecting conditions experienced during storage and handling.	Shelf life tests are , taste, smell, texture and appearance.	OK	
	5.1.4	For products that require preparation by the consumer e.g. coOKing, heating etc., validation of times, temperatures must be undertaken and results documented.	Satisfactory.	OK	
Packaging and label control	5.2.1	The company must provide sufficient information to Aldi and AIB International to enable an Aldi brand label to be accurately created.	No issues.	OK	
	5.2.2	The company shall have systems in place to check packaging/labels etc. against approved artwork for each delivery received.	Procedure in place.	OK	
	5.2.3	An effective system of documented checks shall be in place at line start-up, following product changeover and changes in batches/ rolls etc. of packaging and labels to ensure that the packaging/ labels applied are correct for the products being packed.	Label control in place.	OK	
	5.2.4	Procedures shall ensure that only the correct packaging/labels are available to the packing line and any packaging/labelling from previous productions have been removed.	In place.	OK	
	5.3.1	The company shall carry out an assessment of raw materials to establish the presence and likelihood of contamination by allergens and adhere to Aldi Policy on Allergens 45.1. (Policy Files\ALDI Food Policy_Allergens_v45_1)	Risk assessment on allergens had been undertaken.	OK	
	5.3.2	A documented risk assessment shall be carried out to identify routes of contamination and establish documented policies and procedures for handling raw materials, intermediate and finished products to ensure cross-contamination is avoided.	Tree nuts were stored above peanuts in the raw material warehouse.	NC	Minor

Allergen control	5.3.3	Documented procedures shall be established to ensure the effective management of allergenic materials to prevent cross-contamination into products not containing the allergen.	Documentation available.	OK	
	5.3.4	Where rework is used, or reworking operations carried out, procedures shall be implemented to ensure rework containing allergens is not used in products that do not already contain the allergen.	Product is only reworked back into the same batch.	OK	
	5.3.5	Where the nature of the production process is such that cross- contamination from an allergen cannot be prevented, a warning shall be included on the label. National guidelines or codes of practice shall be used when making such a warning statement.	Cross contamination can be avoided.	OK	
	5.3.6	Where a claim is made regarding the suitability of a food for allergy or food sensitivity sufferers, the company shall ensure that the production process is fully validated to meet the stated claim. This shall be documented.	Gluten free documentation has been validated.	OK	
	5.3.7	Equipment or area cleaning procedures shall be designed to remove or reduce to acceptable levels any potential cross-contamination by allergens. Validation of cleaning must be recorded.	This is the case. The company has designated allergen cleaning as a ccp.	OK	
	5.3.8	All relevant personnel, including engineers, temporary staff and contractors, shall have received general allergen awareness training and be trained in the company's allergen-handling procedures.	Satisfactory.	OK	
	5.3.9	An effective system of documented checks shall be in place at line start-up, following product changeover and changes in batches of packaging to ensure that the labels applied are correct for the products packed.	In place.	OK	
Product claims	5.4.1	The company shall have processes in place to ensure they are fully versed in historical and developing threats to their supply chain which could pose a risk to adulteration or substitution of raw materials and work to the Aldi Policy on Claims 6.1. (Policy Files\ALDI Food Policy_Claims_v6_1)	Satisfactory.	OK	
	5.4.2	A documented vulnerability assessment shall be carried out on all raw materials or groups of raw materials to assess the potential risk of adulteration or substitution.	Vulnerability assessment is in place.	OK	
	5.4.3	Where raw materials have been identified as at risk, assurance and or testing processes shall be in place to reduce the risk.	No issues.	OK	

	5.4.4	Where labelling or a claim is made relating to the provenance, assured or identity preserved status, breed, varietal, GMO status, trademarked ingredients, the site shall verify each batch of the raw materials.	No such claims.	OK	
	5.4.5	Where claims are made about methods of production e.g. organic, the site shall maintain the certification status to enable the claims to be made.	Organic certification in place.	OK	
	5.4.6	The site shall ensure that controls are in place to prevent any cross contamination or loss of identity and this should include a documented process flow.	No issues.	OK	
Food contact packaging	5.5.1	When purchasing or specifying food contact packaging or secondary packaging where primary packaging is not an effective barrier the supplier of packaging materials shall be made aware of any particular characteristics of the food (e.g. high fat content, pH or usage conditions such as microwaving) which may affect packaging suitability. Certificates of conformity or other evidence shall be available for product packaging to confirm it conforms to relevant food safety legislation and is suitable for its intended use.	No issues.	OK	
	5.5.2	Where appropriate, packaging shall be stored away from raw materials and finished product.	In compliance.	OK	
	5.5.3	Product contact liners (or raw material/work-in-progress contact liners) purchased by the company shall be appropriately coloured and resistant to tearing to prevent accidental contamination.	Appropriate liners were being used.	OK	
	5.6.1.	The company shall undertake or sub-contract inspection and analysis which are critical to confirm product quality, safety and legality and to the Aldi Policy on Microbiological Product Safety 47.1. (Policy Files\ALDI Policy_Microbiological Product Safety_v4	Organoleptic testing done internally. External lab (ISO: 17025) 'ALS Food & Pharmaceutical' used for microbiology.	OK	
	5.6.2	Sampling plans (Organoleptic, microbiological & chemical) and testing schedules shall be formalised and records maintained to identify trends and implement corrective actions.	Monthly testing programme implemented.	OK	

Analysis of product	5.6.3	A system of on-going shelf life assessment shall be formalised and adhere to the Aldi Food Policy on Shelf-life 15.1 (see link below). Finished product shall be retained until the end of its shelf life. Procedures shall be in place to ensure reliability of laboratory results, other than those critical to safety and legality specified. Where products require positive release, procedures shall be in place to ensure that release does not occur until all release criteria have been completed and release authorised. (Policy Files\ALDI Food Policy_Shelf Life_v15_1) These shall include: · Use of recognised test methods, where available · Documented testing procedures · Ensuring staff are suitably qualified and/or trained and competent to carry out the analysis required · Use of a system to verify the accuracy of test results, e.g. ring or proficiency testing · Use of appropriately calibrated and maintained equipment	Products are ambient long life products and are tested at end of life for taste, smell, texture and appearance.	OK	
	5.6.4	Internal laboratories shall be operated to minimise product contamination. Pathogen testing shall be subcontracted or remote. Laboratories shall be accredited (ISO17025) or use a system to verify accuracy of results (e.g. Ring testing).	No internal laboratory. External laboratory is ALS Food & Pharmaceutical (UKAS lab number 1282)	OK	
	5.6.5	Where the company undertakes or subcontracts analyses which are critical to product safety or legality, the laboratory or subcontractors shall have gained recognised laboratory accreditation to the principles of ISO 17025.	Not seen due to time constraints.		

Section	No.	Requirement
Process control	6.1.1	Documented process specifications and work instructions shall be available for the key processes in the production of products to ensure product safety, legality and quality.
	6.1.2	Process monitoring (e.g. temperature, pressure, and chemical) shall be established, adequately controlled and recorded to ensure product is produced within specification.
	6.1.3	In-line monitoring devices shall be linked to suitable failure alert systems which are routinely tested.
	6.1.4	Where variation in processing conditions may occur within equipment critical to the safety or quality of products, the processing characteristics shall be validated at a frequency based on risk and performance of equipment.
	6.1.5	In the case of equipment failure or deviation of the process from specification, procedures shall be in place to establish the safety status and quality of the product to determine the action to be taken.
	6.1.6	Documented checks of the production line shall be carried out before commencing production and following changes of product.

Quantity control	6.2.1	The frequency and methodology of quantity checking shall meet the requirements of appropriate legislation governing quantity verification, and records of checks shall be maintained.
	6.2.2	Where the quantity of the product is not governed by legislative requirements (e.g. bulk quantity), the product must conform to customer requirements and records shall be maintained.
Calibration	6.3.1	Key equipment including those used to monitor CCP's shall be identified on a register and calibrated to a recognised standard.
	6.3.2	All identified measuring devices, including new equipment, shall be checked and where necessary adjusted.
	6.3.3	Reference measuring equipment shall be calibrated and traceable to a recognised national or international Standard and records maintained.
	6.3.4	Procedures shall be in place to record actions to be taken when the prescribed measuring and monitoring devices are found not to be operating within specified limits.

Process Control

Evidence/Observations	OK/ NC/ NA	Critical / Major / Minor
In place.	OK	
Products for ALDI are processed by blending which is controlled with accurate weighing.	OK	
N/A	N/A	
N/A	N/A	
N/A	N/A	
This is so.	OK	

In place.	OK	
Weights are checked for conformity at start and end of process.	OK	
Metal detectors and balances are calibrated.	OK	
Balances checked using calibrated weights.	OK	
In place.	OK	
Procedures in place.	OK	

Section	No.	Requirement
	7.1.1	The company shall ensure that all staff (Including temporary and agency staff) are competent to carry out their activity through training, work experience or qualification.
	7.1.2	Where personnel are engaged in activities relating to critical control points, relevant training and competency assessments shall be in place.
	7.1.3	Comprehensive training records for all staff should be maintained.
	7.2.1	The requirements for personal hygiene shall be documented and communicated to all personnel.
	7.2.2	Hand cleaning shall be performed on entry to the production areas and at a frequency that is appropriate to minimise the risk of product contamination.
	7.2.3	All cuts and grazes on exposed skin shall be covered by an appropriately coloured plaster that is different from the product colour (preferably blue) and containing a metal detectable strip.
	7.2.4	Where metal detection equipment is used, a sample from each batch of plasters shall be successfully tested through the equipment and records shall be kept.

Personnel	7.2.5	Processes and written instructions for staff shall be in place to control the use and storage of personal medicines, so as to minimise the risk of product contamination.
	7.3.1	The company shall ensure that medical screening procedures are in place for employees, contractors and visitors. Sickness reporting / return to work procedures shall be documented.
	7.4.1	The company shall document and communicate to all employees, contractors or visitors the rules regarding the wearing of protective clothing in specified work areas (e.g. high-care or low-risk areas).
	7.4.2	Protective clothing shall be available that is of suitable design to prevent contamination of the product and is provided in sufficient numbers for each employee.
	7.4.3	Laundering of protective clothing shall take place by an approved contracted or in-house laundry using defined and verified criteria to validate the effectiveness of the laundering process.
	7.4.4	Where protective clothing for high-care or high-risk areas is provided by a contracted laundry, this shall be audited either directly or by a third party, or should have a relevant certification.

	7.4.5	If gloves are used, they shall be replaced regularly. Where appropriate, gloves shall be suitable for food use, of a disposable type, of a distinctive colour (blue where possible), be intact and not shed loose fibres.
	7.4.6	Where items of personal protective clothing that are not suitable for laundering are provided (such as chain mail, gloves and aprons), these shall be cleaned and sanitised at a frequency based on risk.

Personnel

Evidence/Observations	OK/ NC/ NA	Critical / Major / Minor
All staff are trained to a level commensurate with their work activities.	OK	
Training records seen for member of staff conducting metal detector checks.	OK	
In place.	OK	
This was the case.	OK	
In place.	OK	
Blue plasters in use.	OK	
Satisfactory	OK	

Not seen due to time constraints.		
Health questionnaire in place at reception.	OK	
No issues.	OK	
In place.	OK	
Laundry done by Johnsons Apparelmaster.	OK	
Satisfactory	OK	

Satisfactory	OK	
N/A	N/A	