

FOOD SAFETY DEPARTMENT
SUPPLIER AUDIT CHECKLIST

Name of Supplier	
Address	
Type of Supplier	
Trade License Number	
License activity/activities	
Products Supplied	
Shelf Life	
Storage Condition	
Auditor's name/ Designation	
Auditee's name/ Designation	
Type of Audit	
Risk Type	
Status	
Date	

SCORE SUMMARY				
SN	AUDIT CRITERIA	Possible Score	Actual Score	Percentage (%)
1	Trainings, Health and Hygiene			
2	Food Safety			
3	Maintenance and Sanitation			
4	Equipment and Food Containers			
5	Facility, Lay out and Design			
6	Pest Control			
7	Traceability, Complaints and Product Recall			
8	Product Quality Management			
9	Critical findings (Others)*			
	Total			
			EVALUATION	

EVALUATION:

APPROVED	1) Suppliers having a total score of 80% and above 2) No critical finding
REJECTED	1) Suppliers having a score less than 80% 2) 2 or more audit criteria have a score less than 75% 3) 1 or more critical findings

This audit report is valid for the products specified in the products supplied section. Any new products to be purchased from the supplier outside the scope of audit must be communicated to the Food Safety team for reaudit of the supplier. In case the product supplied to EKFC by the supplier is not covered in the scope of food safety audit, then the products procured from the supplier are considered unapproved.

Upon receiving the audit report, the supplier must submit the filled out supplier audit corrective action plan FS-COP-PRP-029-FRM-05 with adequate supporting documents, unless otherwise specified, within 7 working days. The corrective action report should include minimum the following contents - reference of non-conformance or observation, description of the corrective and preventive action, person responsible, effective date of implementation and adequate supporting documents.

CRITERIA	SCORE		
	Possible Scores	Actual Score	
1.0	TRAINING, HEALTH AND HYGIENE		
1.1	Food Safety and Hygiene Trainings		
1.1.1	Are staff trained on Basic Food Hygiene prior to work deployment?	10/5/0	
1.1.2	In case of in-house training, are speakers or trainers qualified or certified to conduct trainings?	5/3/0	
1.1.3	Are refresher food safety training courses conducted at least once a year?	5/3/0	
1.1.4	Are training records or certificates provided after each training?	3/1/0	
1.2.	Personal Hygiene		
1.2.1	Is there an established personal hygiene policy or program?	5/3/0	
1.2.2	Are there records to show that this policy/program is implemented?	3/1/0	
1.2.3	Are staff free from wounds, cuts, boils and other medical problems?	3/1/0	
1.2.4.	Are there designated areas for smoking, eating and drinking in the facility?	3/1/0	
1.2.5	Are there GMP or personal hygiene signage's/posters in the working area or facility?	3/1/0	
1.2.6	Are staff wearing clean, complete and proper uniforms, hair properly restraint, wearing appropriate gloves and not wearing jewellerys or other accessories that may cause foreign object contamination?	3/1/0	
1.2.7	Are first-aid kits complete, inspected and accessible in the working area?	3/1/0	
1.3.	Handwashing		
1.3.1	Are functional, complete and automatic/foot/knee-operated hand washing stations provided and maintained?	5/3/0	
1.3.2	Is correct hand washing assessed and measures are taken in case of non-compliance?	3/1/0	
1.4	Medical Screening of Employees and Visitors		
1.4.1	Do all employees undergo medical examination prior to employment? Are certificates maintained?	5/3/0	
1.4.2	Is there a procedure on screening visitors for any medical problems?	3/1/0	
1.4.3	Is there a documented procedure regarding reporting of any medical problems of staff?	3/1/0	
1.5	Staff Facilities		
1.5.1	Are toilets and locker rooms provided with working and complete hand washing facility and with adequate supply of water?	5/3/0	
1.5.2	Are there no evidences of eating, littering and spitting inside the toilet and locker rooms?	3/1/0	

1.5.3	Is the area clean, organize, free from obstructions and unnecessary materials?	3/1/0		
TRAINING, HEALTH AND HYGIENE		Possible Points	76	
		Total Points	0	
2.0	FOOD SAFETY			
2.1	Supplier Accreditation			
2.1.1	Is there a documented accreditation program for all suppliers? Are records available to support this program?	10/5/0		
2.1.2	Is there an updated list of all approved suppliers?	3/1/0		
2.2	Raw Material Acceptance			
2.2.1	Is there a documented procedure for inspection and acceptance of all incoming food deliveries?	5/3/0		
2.2.2	Are there records to show that this procedure is implemented?	3/1/0		
2.2.3	Is a Certificate of Analysis (CoA) or Letter of Guarantee provided by the supplier of food items?	3/1/0		
2.3	Food Storage			
2.3.1	Are unprocessed foods stored separately from processed foods?	5/3/0		
2.3.2	Is temperature monitoring of freezers, chillers and other storage facility conducted at a definite frequency and corrective actions are taken in case of non-conformances?	5/3/0		
2.3.3	Are food products and other materials stored under conditions as per storage instructions on the label or as specified by the manufacturer?	3/1/0		
2.4	HACCP			
2.4.1	Is there an established HACCP system?	10/5/0		
2.4.2	Are the CCPs and/or OPRPs identified?	10/5/0		
2.4.3	Are CCPs and/or OPRPs monitored in line with the HACCP Plan/Hazard Control Plan and OPRP plan?	5/3/0		
2.4.4	Are there records to show verification of these critical control points as per the HACCP Plan/Hazard Control Plan and OPRP plan?	5/3/0		
2.4.5	Are corrections/corrective actions taken in cases where the critical limits are not achieved?	3/1/0		
2.4.6	Are food items exposed to any food safety hazard during time of audit?	3/1/0		
2.5	Halal Compliance			
2.5.1	Is there a documented Halal policy or Halal Management Procedure?	5/3/0		
2.5.2	For manufacturers, are all the products Halal certified? Is the certifying body ESMA approved?	3/1/0		
2.5.3	For manufacturers, are all the raw materials used in production Halal compliant?	3/1/0		

2.5.4	For traders and distributors, is there a document available for each product handled on site that states Halal compliance (i.e. certificate or declaration)? For Halal certificate, is the certifying body ESMA approved?	3/1/0		
2.5.5	For supplier handling non-Halal products, is there a documented procedure for inspection of incoming raw materials, preparation, processing, storage and dispatch of said products?	5/3/0		
2.5.6	Are there records to show that this procedure is implemented?	3/1/0		
2.5.7	Are the storage, preparation and processing areas of Halal and non-Halal products properly and adequately separated?	3/1/0		
2.6	Non-conforming Products			
2.6.1	Is there a procedure or guideline on how you will control non-conforming materials?	5/3/0		
2.6.2	Are non-conforming products properly identified, controlled and stored in a designated area?	3/1/0		
2.7	Foreign Object Control			
2.7.1	Is there a documented foreign object policy?	5/3/0		
2.7.2	Is there a documented glass and/or brittle plastic policy?	3/1/0		
2.7.3	Are wooden materials excluded in the production area and other areas where food is exposed?	3/1/0		
2.7.4	Are there measures implemented in the facility to prevent metal contamination?	3/1/0		
2.7.5	Are there measures to be taken in case a foreign matter was observed on any food item?	3/1/0		
2.8	Allergen Control			
2.8.1	Is there a policy or procedure on how to handle allergen or allergenic materials?	5/3/0		
2.8.2	Is there a separate storage room or area for allergen or allergenic food from non-allergenic food items?	3/1/0		
2.8.3	Are there any hidden allergen(s) in the product which is/are not declared?	3/1/0		
2.8.4	Are all allergens present on site identified and documented?	3/1/0		
2.8.5	Is allergen information available for all products being supplied to EKFC?	3/1/0		
2.8.6	Is there a process for communicating any change of allergen status to the client (e.g. updated product specification sheets, email communication etc)?	3/1/0		
2.9	Stock Rotation and Labelling			
2.9.1	Is there an established FIFO system?	5/3/0		
2.9.2	Are food items properly labelled according to the procedure?	3/1/0		

2.10	Finished Product Releasing			
2.10.1	Is there an established procedure for disposition and inspection of all outgoing deliveries?	5/3/0		
2.10.2	Are records maintained and actions taken in case of non-conformance clearly specified in these records?	3/1/0		
2.10.3	<i>Is the dispatch vehicle maintained well? (have valid Dubai Municipality vehicle approval tag, in good hygienic condition, free from off-odours, and free from evidence of pest infestation, in good repair of wall, floor, with plastic strip curtain)</i>	5/3/0		
2.10.4	<i>If there is a delivery/dispatch? If yes, is the load condition well maintained? (required temperature, good pallet condition, well stacked, outer packaging intact, good product condition and proper labelling)</i>	3/1/0		
2.10.5	<i>Is the dispatch staff condition satisfactory? (with hairnet, beard guard (if applicable), and good uniform condition)</i>	3/1/0		
2.11	Food Defense and Food Fraud			
2.11.1	Is there an established food defense procedure? Was threat assessment carried out? Are records maintained to support the implementation of the procedure?	5/3/0		
2.11.2	Is there an established verification of the food defense program?	3/1/0		
2.11.3	Is there an established food fraud procedure? Was vulnerability assessment carried out? Are records maintained to support the implementation of the procedure?	5/3/0		
2.11.4	Is there an established verification of the food fraud program?	3/1/0		
2.12	Food Safety Culture			
2.12.1	Is there a food safety policy? Was it signed and displayed?	5/3/0		
2.12.2	Is measurement of food safety culture included in the food safety objectives or KPI of the company?	3/1/0		
FOOD SAFETY		Possible Points	194	
		Total Points	0	
3.0	MAINTENANCE AND SANITATION			
3.1	Preventive Maintenance			
3.1.1	Is there an established preventive maintenance program?	5/3/0		
3.1.2	Are maintenance tools kept in an identified area?	3/1/0		
3.1.3	Is there an established calibration program with calibration records maintained?	5/3/0		
3.1.5	Are calibration stickers/labels readable?	3/1/0		

3.2	Sanitation			
3.2.1	Is there an established cleaning program with records maintained to support the program?	5/3/0		
3.2.2	Are chemical concentrations and application comply with the cleaning program?	3/1/0		
3.2.3	Is there an established training program for cleaning personnel? Are records maintained?	3/1/0		
3.2.4	Are cleaning chemicals and equipment stored in a secured, designated area away from food?	3/1/0		
3.2.5	Are the cleaning chemicals used in the facility approved by the local regulatory agency?	5/3/0		
3.2.6	Is the MSDS and Technical Data Sheets of cleaning chemicals updated and readily available?	3/1/0		
3.2.7	Is water suitable for use in manufacturing purposes (microbiologically, physically and chemically)?	5/3/0		
MAINTENANCE AND SANITATION		Possible Points	43	
		Total Points	0	
4.0	EQUIPMENT AND FOOD CONTAINERS			
4.1	Is the processing equipment or food container hygienically-designed, clean and in good condition?	5/3/0		
4.2	Are visual or pre-operative inspections and/or swab test of equipment, food contact and non-food contact surfaces conducted on a specified frequency?	3/1/0		
4.3	Are corrective and preventive measures taken in case of non-conformances or deviations were observed on the swab test results and pre-operative inspections?	3/1/0		
4.4	Are pallets, crates, baskets and other food contact surfaces color-coded or can be identified according to its intended use in the manufacturing facility?	5/3/0		
4.5	Is there a designated area for cleaning and storage of trays, pallets, crates and trolleys and other food contact surfaces?	3/1/0		
4.6	Are food grade lubricants used on processing equipment?	5/3/0		
EQUIPMENT AND FOOD CONTAINERS		Possible Points	24	
		Total Points	0	
5.0	FACILITY, LAY OUT AND DESIGN			
5.1	Interior			
5.1.1	Is good housekeeping maintained?	5/3/0		
5.1.2	Is the facility designed not to allow cross-contamination of raw materials from finished products or packaging materials?	5/3/0		
5.1.3	Is pooling or stagnation of water observed in the area?	3/1/0		
5.1.4	Is the facility designed not to allow entry of pests?	3/1/0		

5.1.5	Are doors, floors, walls, ceiling clean, without mould growth and in good condition?	3/1/0		
5.1.6	Are drainages clean with cover in place and enough to carry heavy loads?	3/1/0		
5.1.7	Are there evidences of condensate formation inside the area?	3/1/0		
5.1.8	Are there no idle equipment, unnecessary materials and maintenance tools in the area?	3/1/0		
5.1.9	Are designated waste baskets provided in the area? If covered, is it foot-operated?	3/1/0		
5.1.10	Are plastic curtains and sliding doors clean and in good condition?	3/1/0		
5.1.11	Is the area well-ventilated and adequately illuminated?	3/1/0		
5.1.12	Are pieces of equipment/materials and food items stored at least 1 foot from the wall and 6 inches above the floor?	3/1/0		
5.1.13	Are facility audits or inspections conducted at a definite frequency with corrective and preventive actions taken in case of any non-conformance observed?	3/1/0		
5.2	Exterior			
5.2.1	Is the area clean and organized?	5/3/0		
5.2.2	Is there an identified area for disposal of waste? Are wastes properly segregated and maintained to prevent attraction of pests?	3/1/0		
5.2.3	If waste management is contracted out, are permits and contracts of 3rd party service provider kept on file?	3/1/0		
5.2.4	Are drainages covered?	3/1/0		
5.2.5	Are water tanks cleaned in a specified frequency and are records maintained?	5/3/0		
FACILITY, LAY OUT AND DESIGN		Possible Points	62	
		Total Points	0	
6.0	PEST CONTROL			
6.1	Does the company have a Dubai Municipality approved pest control service provider?	5/3/0		
6.2	Is there an established pest control program/ plan? Are monitoring records and service reports maintained to support the plan or program?	5/3/0		
6.3	Are pest control devices functional, secured and in good condition?	3/1/0		
6.4	Is the pest control device map updated & completed?	3/1/0		
6.5	Is the MSDS of the approved chemicals/ pesticides provided and available on-hand?	3/1/0		
6.6	Are there corrective actions and preventive measures done in case of reported pest sightings?	3/1/0		
6.7	Are chemicals/ pesticides and pest control devices stored in a designated area which will not contaminate food, packaging material and equipment?	3/1/0		

6.8	Are there no signs of pest activity in the interior and exterior areas?	5/3/0		
PEST CONTROL		Possible Points	30	
		Total Points	0	
7.0 TRACEABILITY, COMPLAINTS AND PRODUCT RECALL				
7.1 Product Recall				
7.1.1	Is there an established product recall program?	5/3/0		
7.1.2	Is there a procedure on the reconciliation and disposition of recovered product?	3/1/0		
7.1.3	Is there an updated list of person to be notified in case of complaints or product recall?	3/1/0		
7.2 Mock Recall				
7.2.1	Is there a mock recall program?	3/1/0		
7.2.2	Are there records to show that mock recall was conducted?	3/1/0		
7.3 Traceability				
7.3.1	Is there an established system that raw materials can be traced for each batch of finished product manufactured (upstream)? Is same system in place for downstream tracking?	5/3/0		
7.4 Handling of Customer Complaint				
7.4.1	Is there a system in place on how customer complaints are handled?	5/3/0		
7.4.2	Are records maintained?	3/1/0		
TRACEABILITY, COMPLAINTS AND PRODUCT RECALL		Possible Points	30	
		Total Points	0	
8.0 PRODUCT QUALITY MANAGEMENT				
8.1	Are there up to date specifications available for raw materials, packaging materials and finished products?	5/3/0		
8.2	Are there policies and procedures implemented to ensure each batch of products meets specification ?	3/1/0		
8.3	Is there a system established for in-line quality inspection such as- weight, quantity, date coding, label accuracy etc?	5/3/0		
8.4	Is there a product organoleptic testing/sensory evaluation program for each batch of production?	5/3/0		
8.5	Is there an established document control procedure?	3/1/0		
8.6	Are quality/food safety records stored for at least 1 year ?	3/1/0		
PRODUCT QUALITY MANAGEMENT		Possible Points	24	
		Total Points	0	

9.0	CRITICAL FINDINGS (Others)*	

POINTERS:

- 1) The audit clauses which are in **BOLD** are considered **CRITICAL**.
- 2) The audit clauses are scored based on the following:

CATEGORY	LEVEL OF COMPLIANCE (FULL/PARTIAL/ NON-COMPLIANT)
Critical	Full: 10 points Partial: 5 points Non-compliant: 0
Major	Full: 5 points Partial: 3 points Non-compliant: 0
Minor	Full: 3 points Partial: 1 point Non-compliant: 0

- 3) Critical findings which cannot fit in any items/audit clause in the checklist can be specified in Criteria #9.0. In this case, **10 points will be deducted per critical finding.**
- 4) Based on the auditor's discretion, the following condition could result in a critical audit finding:
 - a. Major finding can be level down to critical finding
 - b. Combination of multiple major and minor findings
- 5) The audit findings are consolidated in an action summary report and shared with the supplier along with the audit report.

Evaluation approved by: _____
Sr. Food Safety Manager/Date