



Agglomeration Technology Limited
Supplier Quality Assurance (SQA)

SUPPLIER SELF-ASSESSMENT REPORT

This self-assessment report is for suppliers to complete, as an essential stage of the ATL Supplier Approval process

Where appropriate, attachments may be used to provide answers

| | | |
|--|---------------------|--|
| Supplier: | | |
| Supplier Contact[s] (Name & Number) | During Office Hours | Emergency Contact Details (Out Of Office Hours) |
| Technical: | | |
| Commercial: | | |
| Production: | | |
| Manufacturing site address: | | |
| Telephone numbers: | | |
| Fax numbers: | | |
| E-mail address: | | |

Report completed by:

Print Name: _____ Position: _____

Sign: _____ Date Completed: _____

Please return all completed documents and attachments to:

*Paul Cannings (Quality Manager)
Agglomeration Technology Limited
Unit 7, Monkswell Park
Manse Lane
Knaresborough,
North Yorkshire, HG5 8NQ*

| | | | |
|---|-----------------------|-------|--|
| <u>For ATL use only: Self-assessment result</u> | | | <u>Material Risk:</u> |
| Current Supplier | Potential Supplier | Unfit | |
| * delete as appropriate | | | <u>Reviewed by:</u> _____ <u>Date:</u> _____ |

A. Current Certification Status of Manufacturing Site

| Certification Held: | Yes Or No | Date of last audit | Status Achieved | Certification Body | If NO indicate plans for implementation |
|----------------------------|------------------|---------------------------|------------------------|---------------------------|--|
| BRC Standard | | | | | |
| ISO 9001 : 2000 | | | | | |
| HACCP | | | | | |
| Organic | | | | | |
| UKAS 17025 | | | | | |
| BRC / IOP Std | | | | | |
| EHO Inspection | | | | | |
| Other: | | | | | |

B. Describe the organisational structure (attach organogram) of the manufacturing site, including those responsible for activities affecting product safety, legality and quality.

C. Detail the total no. of employees on site

D. Detail the total no. of employees dedicated to QA

E. Describe the shift patterns worked

F. Are agency staff employed (if 'Yes' at what percentage of the total workforce)

G. Detail the products currently supplied or proposed to be supplied

I. Insurance Details (to include Insurer, policy number and limit of cover)

1. Quality Management Systems

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-----|--|-------------------|---|--|
| 1.1 | Does a documented Quality Policy Statement exist, including a commitment to produce safe and legal products and detailing it's responsibility to its customers? If yes, please attach a copy. | | | |
| 1.2 | Does an up-to-date Quality Manual exist? What is the frequency of its review | | | |
| 1.3 | How are the quality policy and manual communicated throughout the manufacturing site? | | | |
| 1.4 | Are all appropriate procedures in place Are procedures verified Are procedures regularly reviewed to ensure they remain effective. What is the frequency of the review and who carries it out | | | |

2. Manufacturing Site and Building Structure

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-----|--|-------------------|---|--|
| 2.1 | Describe the manufacturing site, location [including neighbouring activities], layout, construction and initial purpose Is the site secure and are boundaries clearly defined | | | |
| 2.2 | Describe the internal construction of the site Are all walls, floors and overheads suitably designed to aid cleaning and to ensure they pose no foreign matter risk | | | |
| 2.3 | What is the manufacturing capacity and capability? (include the range of products and total potential annual volumes) | | | |
| 2.4 | Describe your system of planned plant maintenance for plant and equipment | | | |
| 2.5 | State any significant investment within the last 18 months | | | |

3. Personnel

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-----|---|-------------------|---|--|
| 3.1 | <p><i>Describe the company policies and procedures for the following areas:</i></p> <ul style="list-style-type: none"> - Protective clothing (incl hair covering) - Frequency of clothing changes - Jewellery and personnel items - Fingernails - Illness or infection - Cuts and abrasions - Smoking - Eating and drinking - Strongly scented cosmetics - Hand washing | | | |
| 3.2 | How are these policies communicated to visitors, contractors and temporary staff | | | |
| 3.3 | Are all employees and visitors medically screened (describe how this is achieved) | | | |
| 3.4 | <p>Are all employees inducted</p> <p>Does this cover all appropriate food quality and food safety issues</p> <p>Describe the training program for functional tasks</p> <p>Describe the training program for all food handlers. Is this training nationally certified</p> | | | |

4. Supplier Quality Assurance – Incoming Material Handling

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-----|--|-------------------|---|--|
| 4.1 | Describe procedures for monitoring and approving Suppliers. Is the system based on risk assessment | | | |
| 4.2 | Are there up-to-date written and signed specifications for all materials Are Material Safety Data Sheets available for all materials | | | |
| 4.3 | Describe checks made on incoming materials (include acceptance and rejection processes) | | | |
| 4.4 | Are all raw materials given a unique code on intake to ensure full traceability from supply and throughout the system (please detail the format) | | | |
| 4.5 | Describe controls of stock including incoming and finished products. | | | |
| 4.6 | Under what environmental conditions are materials held prior to use? | | | |

5. Process Control : Traceability, Quality and End Products.

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-----|---|-------------------|---|--|
| 5.1 | Describe how traceability is achieved for all materials Is rework & packaging traceable | | | |
| 5.2 | Is traceability achievable back to supplier (if applicable) and to the customer | | | |
| 5.3 | How long are applicable records retained | | | |
| 5.4 | Describe QA / QC checks critical to in-process and finished products. | | | |
| 5.5 | Are all appropriate measuring devices calibrated / verified e.g. metal detectors and scales (detail the frequency) | | | |
| 5.6 | Are critical process controls trended Is effective corrective action implemented if the process is out of spec | | | |
| 5.7 | Are records retained of all engineering work Describe the system for positively releasing equipment back to production post engineering intervention | | | |

6. Food Safety

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-------|---|-------------------|---|--|
| 6.1 | HACCP | | | |
| 6.1.1 | Is a documented HACCP system in place and fully implemented? (please attach an up-to-date flow diagram which details all CCPs) | | | |
| 6.1.2 | Are the codex alimentarius HACCP principles followed Are all hazards risk assessed | | | |
| 6.1.3 | State the scope of the HACCP | | | |
| 6.1.4 | Detail the names and functions of people involved in the HACCP team | | | |
| 6.1.5 | Are Pre-Requisite Programmes in place Do the site have documented GMPs | | | |
| 6.1.6 | Detail HACCP training of the team members and production operatives | | | |
| 6.1.7 | Is the HACCP system audited (detail frequency) Is the system regularly reviewed (detail frequency) | | | |
| 6.1.8 | How is R&D or NPD activities captured within your HACCP system | | | |

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-------|---|-------------------|---|--|
| 6.2 | Foreign Matter Control & Water Analysis | | | |
| 6.2.1 | Describe measures are taken to minimise contamination by glass | | | |
| 6.2.2 | Describe measures are taken to minimise contamination by wood | | | |
| 6.2.3 | Describe measures are taken to minimise contamination by Metal (detail the critical limits achieved) Are metal detectors or magnets verified as being effective (detail timescale) | | | |
| 6.2.4 | Are materials sieved Please detail the sieve sizes used Is sieve integrity checked and documented (if applicable) | | | |
| 6.2.5 | What type of lubricants are used on process equipment. | | | |
| 6.3 | Is water used as an ingredient of as part of the process Is water regularly analysed (if applicable) please detail type of analysis and laboratory or water authority used | | | |

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-------|--|-------------------|---|--|
| 6.4 | Allergen Control | | | |
| 6.4.1 | List all high risk allergens (HRAs) on your site (see below) <i>Main 8 HRAs are peanuts, tree nuts, soyabeans, milk, egg, fish, crustacea and wheat</i> | | | |
| 6.4.2 | Do products supplied to ATL contain any of the above HRAs Are products supplied produced on the same line as any products containing the above allergens (if so how is the risk of cross contamination managed) | | | |
| 6.4.3 | How do you control the risk of HRA contamination of any of the ingredients supplied to you (if applicable)? | | | |
| 6.5 | What is your policy on the use and handling of GMO [Genetically Modified Origin] materials? (Include primary ingredients and processing aids) | | | |
| 6.6 | What procedures are in place to ensure UK / EU legal requirements are met? eg. pesticides, GMO's, mycotoxins, heavy metals, irradiated materials, dioxins, etc. | | | |

7. Hygiene Management Systems

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-----|--|-------------------|---|--|
| 7.1 | Is a clean as you go policy in place | | | |
| 7.2 | Detail who carries out detailed cleaning on site | | | |
| 7.3 | Are cleaning schedules and procedures in place Is cleaning documented Are standards verified by an appropriate manager | | | |
| 7.4 | Are all cleaning chemicals fit for purpose Are data sheets available for all chemicals on site Describe the system used to control access and use of chemicals | | | |
| 7.5 | Is there designated equipment for food and non food contact surfaces (detail how this is controlled) | | | |
| 7.6 | Are cleaning standards audited Are cleaning standards verified using microbiological surveillance | | | |

8. Pest Control

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-----|---|--------------------------|---|--|
| 8.1 | <p>Is the pest management system contracted out</p> <p>Please provide the Contractor's details if appropriate (name and membership of pest association)</p> <p>Detail internal pest management responsibility</p> | | | |
| 8.2 | <p>What is the frequency and type of visits</p> <p>What pests are covered under the scope of the contract</p> | | | |
| 8.3 | <p>Provide a summary of pest activity within the last 12 months</p> | | | |
| 8.4 | <p>Are all reports documented and retained for future reference</p> <p>Describe the follow up procedure</p> <p>Is effective and timely close out all pest related issues achieved</p> | | | |
| 8.5 | <p>Is there a factory bait plan</p> <p>Are pheromone traps and EFKs used</p> | | | |

9. Finished Product Storage and Distribution

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|-----|---|-------------------|---|--|
| 9.1 | Do you use third party warehousing. If so is it regularly audited | | | |
| 9.2 | Do you have a designated warehouse or storage facility on site Describe the storage conditions e.g. is adequate shelter provided. Are all materials stored off the floor and away from walls Is storage temperature controlled Describe how the following are segregated : packaging, raw materials, finished goods, Organic (if applicable) and allergen containing materials | | | |
| 9.3 | Describe your stock rotation policy e.g. FIFO (First in – First out) | | | |
| 9.4 | Are vehicle integrity checks carried out on intake and dispatched. Are these checks documented How frequently are vehicles cleaned Are vehicles suitable for transporting food | | | |

10. Complaint Handling and Recall

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|--------|--|-------------------|---|--|
| 10.1.1 | <p>Do you have a documented customer complaint procedure</p> <p>Are complaints trended</p> <p>Are complaints investigated and is the investigations documented</p> <p>Are corrective and preventative action effectively implemented</p> | | | |
| 10.1.2 | <p>Detail complaints received in the last 12 months</p> | | | |
| 10.1.3 | <p>How are received complaints communicated to all employees internally.</p> <p>Are complaints discussed at senior management level</p> | | | |
| 10.2.1 | <p>Describe your crisis management system</p> <p><i>(please ensure that all up-to-date information is provided on the front of this supplier questionnaire)</i></p> | | | |
| 10.2.2 | <p>Is the system formally challenged (please note the frequency)</p> <p>What was the % of stock recovered from the last challenge test</p> | | | |

11. Internal Audits

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|------|---|-------------------|---|--|
| 11.1 | <p>Do you carry out internal audits that cover product quality, legality and product safety.</p> <p>Is there a documented schedule in place</p> <p>What are the frequency of audits</p> | | | |
| 11.2 | <p>Are internal auditors competent (detail qualifications and experience)</p> <p>Are all auditors independent of the area they are auditing</p> | | | |
| 11.3 | <p>What mechanism is used to ensure corrective or preventative action is effective</p> <p>Are audit results communicated to the senior management team (if so how frequently)</p> | | | |
| 11.4 | <p>How are the results of internal audits used for continuous improvement?</p> | | | |

12. Laboratories – Microbiological, Analytical and Physical [Internal and Third Party]

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|------|--|-------------------|---|--|
| 12.1 | Are you able to provide vendor certification for each batch of material supplied | | | |
| 12.2 | Is analytical and/or microbiological testing carried out internally or externally | | | |
| 12.3 | Is the laboratory accredited by a nationally recognised certification body e.g. ISO 17025 accreditation by UKAS (please attach a copy of the cert | | | |
| 12.4 | Detail tests carried out Are test methods followed Please provide a summary of all methodology used | | | |
| 12.5 | What proficiency / competence testing is carried out by the laboratory | | | |
| 12.6 | Are raw materials routinely analysed for chemical / pesticides and heavy metal contaminants | | | |
| 12.7 | Describe measures taken to ensure laboratory activities do not contaminate manufacturing lines and products. | | | |

13. Environmental

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|------|---|-------------------|---|--|
| 13.1 | <p>Do you have an Environmental policy (please attach a copy)</p> <p>Does the company have a documented Environmental Management System.</p> <p>If yes is the EMS certified (e.g. ISO 14001) if so please attach a copy of the latest certificate</p> | | | |
| 13.2 | <p>Does your company comply with all applicable environmental legislation and regulations within the scope of your operation i.e. licence / permits, discharge to environment, waste management etc</p> | | | |
| 13.3 | <p>Are environmental aspects included as part of the sites internal audit programme</p> | | | |
| 13.4 | <p>How is waste removed from site</p> <p>Does the site handle any special waste (please detail)</p> <p>Are all appropriate steps taken to minimise waste</p> | | | |
| 13.5 | <p>Please provide details of who has overall responsibility for environmental issues (including name and title)</p> | | | |
| 13.6 | <p>Are environmental objectives in place and are they regularly reviewed</p> | | | |

14. Ethical Trading

| | | Supplier Response | For ATL use only ATL Score and Remarks | |
|------|---|-------------------|---|--|
| 14.1 | Do you have a Health & Safety policy (please attach a copy) Is this regularly reviewed and are all operations in compliance with Health & Safety regulations | | | |
| 14.2 | Are unions or worker associations recognised | | | |
| 14.3 | What are the normal working hours for employees in hours per week | | | |
| 14.4 | Is there an equal opportunities policy which includes race, age and gender | | | |
| 14.4 | What is the minimum age of employment within your company How is this regulated | | | |
| 14.5 | Are all employees paid at least the national minimum wage Are wages paid directly to the employee in a manner convenient to both parties | | | |
| 14.6 | Are employees free to leave employment after working the agreed notice period | | | |
| 14.7 | Are employment contracts in place for all employees | | | |
| 14.8 | Does the company have a formal disciplinary procedure that is communicated to all employees | | | |