



# ASTA Annual Meeting

May 8-11, 2006

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## FPA-SAFE/ASTA Supplier Audit

**Bruce Becker**

# FPA Supplier Audits for Food Excellence

- o Who is FPA
- o Program Background
- o The SAFE Audit
- o The new Spice Audit
- o SAFE Auditors
- o Web-based Systems
- o Summary of SAFE Benefits

# Who is the FPA

- o The Food Products Association is the largest trade association serving the food and beverage industry around the worldwide. FPA's laboratory centers, scientists and professional staff provide technical and regulatory assistance to member companies and represent the food industry on scientific and public policy issues involving food safety, food security, nutrition, consumer affairs and international trade.

# Who is FPA-SAFE

- o The FPA-SAFE program was designed by leading food companies to meet the global food industry's audit needs. FPA-SAFE provides a reliable, comprehensive assessment of a company's entire food quality and safety system while reducing the time and expenses associated with redundant supplier audits.

# Two Pillars

- o To provide the one audit that all could accept and thus remove redundant audits
- o To raise the bar in the auditing community



# History

- o October 1998 – Concept Initiated
- o November 2000 – Auditor Guidance and Checklist Complete
- o February 2001 – "SAFE" Created
- o October 2001 – First Audit Completed
- o 2002 – 2005 – Audit Sales grows 175/820+

|                              |                              |                              |
|------------------------------|------------------------------|------------------------------|
| Agrilink Foods, Inc.         | Frito-Lay, North America     | Novartis Consumer Health     |
| Allen Canning Co.            | General Mills                | Ocean Beauty Seafoods, Inc.  |
| Bestfoods Foodservice        | H.J. Heinz Co. North America | The Pillsbury Company        |
| Borden Foods Corp.           | Hershey Foods Corp.          | The Procter & Gamble Company |
| Campbell Soup Co.            | Hormel Foods Corp.           | Ralston Foods, Inc.          |
| ConAgra Grocery Products Co. | Hudson Foods                 | SIG Combibloc Inc.           |
| Wayne Farms LLC              | International Food Solutions | Silgan Containers Corp.      |
| Del Monte Foods Co.          | Kraft Foods Inc.             | Tyson Foods                  |
| Dole Packaged Foods Co.      | The Minute Maid Company      | Vlasic Foods International   |
| Fresh Express Fresh Foods    | Nestlé USA, Inc.             | Welch Foods, Inc.            |

# Food Service Companies Now Accepting SAFE

|  |                                    |                               |
|--|------------------------------------|-------------------------------|
| Sysco  | CKE Restaurants                    | Darden Restaurants            |
| Chic-Fil-A                                     | Cara                               | Carlson Restaurants           |
| Bahrain Maritime &<br>Mercantile International | International Dairy<br>Queen Corp. | Panera Bread<br>(Considering) |
| Schwans (Considering)                          | Sodexo<br>(Considering)            | McDonald's<br>(Considering)   |
| Avendra (Considering)                          |                                    |                               |

# Retailers

|                           |   |
|---------------------------|---|
| A&P                       | Kroger                                      |
| Ahold USA                 | Publix                                      |
| Albertsons                | Safeway (Audit of choice for private label) |
| Costco                    | Target (Considering)                        |
| Giant-Eagle               | H.E.B.                                      |
| Agroindustrias Cepia S.A. | Gelson Market (Considering)                 |

# What's Different About the SAFE Audit

- o Narrative Audit
- o No score provided by the SAFE Auditor (However!!)
- o No pre-formed judgments
- o Reduced audit / auditor filters
- o Scaleable Report
- o Paperless System
- o Sponsored Audits

# Scoring an FPA-SAFE Audit

- On line scoring algorithm for user.
- User decides what's important to their business model.
- In the future (Only in the scoring template) user can change the auditor's rating if they disagree with the auditor's judgment.
- Use template to compare suppliers.

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## Audits Performed after Jan 2, 2006 with new RAP (Remote Audit Platform)

FPA-SAFE Audits consists of six (6) categories, each having between 1 and 18 underlying sections. Auditors provide a judgement of Fully Meets, Substantially Meets, Partially Meets, Does Not Meet, Critical Failure, or Not Applicable/Auditable for each audit section. This scoring template will allow you to create a point system for SAFE audits based on your organization's unique requirements. [Want to know more about scoring SAFE audits?](#)

Please select the number of points you would like assigned to the following auditor judgements:

| FPA-SAFE Program Judgement  | Numerical Score                                |
|---|--|
| <p><b>Fully Meets</b><br/>Evidence indicates system is fully effective. An effective, well developed and executed system.</p>                     | <input type="text" value="- select -"/> points |
| <p><b>Substantially Meets</b><br/>Most of the elements established by the SAFE Audit Checklist were in place. (Almost "Fully Meets")</p>          | <input type="text" value="- select -"/> points |
| <p><b>Partially Meets</b><br/>"Most of the elements established by the SAFE Audit Checklist were not in place (Almost a "Does Not Meet")"</p>     | <input type="text" value="- select -"/> points |
| <p><b>Does Not Meet</b><br/>Evidence indicates system is not effectively developed or implemented. System is poorly designed or not followed.</p> | <input type="text" value="- select -"/> points |

### **"Not Applicable/Auditable" and "Critical Failure" Auditor Judgements**

Any section judged as "Not Applicable/Auditable" by an Auditor will be automatically assigned a Section Weight of zero (0). This will be a neutral judgment and will not affect the audit score. Any section judged as "Critical Failure" by an Auditor will result in 40-point deduction from the total audit score (for each occurrence).

Using the template below, please allocate desired weights to each SAFE audit Category, and its underlying Sections based on your organization's requirements. Please note that the sum of the Category percentages must equal 100%.

### Food Safety Audit

# Rising to the Challenge



# Different Audits for Different Commodities

- o Food Safety Audit
- o Primary Packaging Audit
- o Aseptic Processing Audit
- o Warehouse and Distribution Audit
- o **Spice Audit**
- o More to come! (E.G. Pet Food, Pharmaceutical)

# **FPA-SAFE PROGRAM**

*Supplier Audits for Food Excellence*

*This audit was written with the help and support of ASTA*

## **Spice Audit Checklist**

# The Spice Audit

- o ASTA and FPA met in Dallas Texas on 27 & 28 April.
- o Created by experts in the industry.
- o Members of the team were:
  - o Carol Kitchen                      ACH/Tones
  - o Ted Lupina                              Kalsec
  - o Jerry Heaps                              General Mills Inc.
  - o Dan Dalina                              McCormick
  - o Gene Mathews                              FISA
  - o Cheryl Deem                              ASTA
  - o Kathy Wybourn                              FPA-SAFE
  - o Bruce Becker                              FPA-SAFE

# What was added to the audit

- Enhanced the identification of pesticides that are used, especially on the product.
- Added to the GMPs Section (health exams, footwear).
- Review whether a GAP has been performed on growing areas.
- Bolstered the packaging sections (reuse containers, jute bags, markings on bags, etc.).
- Enhanced the traceability sections.
- Introduced the concept of "Food Security."
- Added to the Analytical Section for Food Safety.

# What was added to the audit

- o Added to the allergen / food sensitizing list.
- o Referenced the ASTA Cleanliness Specification.
- o Added glass / brittle plastic register.
- o Referenced the ASTA Analytical Methods.
- o Added to the Process Control Section to cover the microbial reduction process.
- o Reinforced the SPC questions.

# What was added to the audit

- Specifically asked the auditor to verify that the supplier was meeting the customer's specifications.
- Referenced ISO regulations in the document retention section.
- Made changes in the labeling area to cover the language a label is written in.
- Added irradiation to the warnings placed on labels.

# Building Consistency in Judgments with 06' Software Roll Out

- Some auditors would never make the tough call.
- Auditor Committee went through checklist and marked questions with \*\*.
- If an auditor selects a \*\* answer the highest judgment they can provide is : "Substantially Meets."
- We believe this will drive judgment consistency in the reporting process.
- We also believe it will drive consistency in the auditees scores.
- Eventually, we want this to be software driven.

# What is a Sponsored Audit

- FPA-SAFE adds the sponsored company to audit request.
- Sponsored company gets notified when an audit is requested.
- Sponsored company receives a preliminary report when SAFE approves the audit.
- Sponsored company receives a completed audit with facilities comments



## New Supplier Audit Request

- Instructions
- Audit Request
- Facility Operations
- Auditor List
- Approval/Audit Trail

**For Use with Specific Customer**

Do you plan on using this FPA-SAFE Audit to meet the audit requirements of any of the following sponsor companies?

- Sysco  Costco  Unilever  CKE Restaurants  Masterfoods USA
- Heinz  Safeway  Cara Operations Limited  Welch's
- Wrigley  Coca-Cola  General Mills  Campbell Soup
- Ahold USA  Kraft  Chic-Fil-A  Publix

**Type of Audit to Be Performed.**

- Food Safety
- Packaging

**Auditor Information**

| Name | Company | Phone | Fax | eMail |
|------|---------|-------|-----|-------|
|------|---------|-------|-----|-------|

**Auditor Selection**

Please use the option below to select a list of auditors from whom you wish to solicit Audit Proposals. Each Auditor will receive electronic notification of your request. Once received, you will be notified via email of incoming Audit Proposals.

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# What is the FPA-SAFE Calling Program

- Customer provides list of their suppliers to FPA-SAFE.
- Customer provides a letter for FPA-SAFE to send to their suppliers.
- FPA-SAFE calls the customer's suppliers for them.
- There is no fee for service.
- Currently, there are three companies using this service.

# What FPA Brings to the Table

- FPA Reputation.
- The ability to bring the different sections of the food industry together.
- Listen and react to customers needs.
- Resources.
- Members' support and Body of Knowledge.

# What's Different About SAFE's Business Model

- o Until 1 May 2006, Every report will continue to be read by a SAFE Reviewer and Commented on
- o After 1 May
  - o SAFE Qualified Auditing Firms (SQAF) will perform the review. SAFE will read one audit / per quarter / per auditor and provide SQAF a Quality Score (must maintain a 3.5 or higher)
  - o Shadow Audits
  - o Audit of the SQAF

# SAFE Philosophy

- Continuous Improvement
  - Improved audit checklist
  - New software platform for auditors (2 Jan 06)
  - New web page design for users (2 Jan 06)
  - New industry averages for users (1 Jun 06)
  - New Scoring template for users (1 Jun 06)
  - New web page for users (Jun – July 06)

# The Audit Process

- o Bid
- o Audit Takes Place
- o SAFE Review
- o Company Review
- o Posted

# The Audit Checklist

## Five Audit Categories

- 1.0 Management Responsibility
- 2.0 Fundamentals (GMPs)
- 3.0 HACCP and Food Safety Systems
- 4.0 Manufacturing Quality Systems
- 5.0 Regulatory Compliance

# Auditor Judgments

- o Fully Meets
- o Substantially Meets
- o **Partially Meets**
- o Does Not Meet
- o Critical Failure
- o Not Applicable / Not Auditable

# Certified Auditor Qualifications

- o Minimum Requirements
- o SAFE Training
- o Certification Exam
- o Re-certify every three years

# 270+ Auditors with Expertise in...

## CATEGORIES

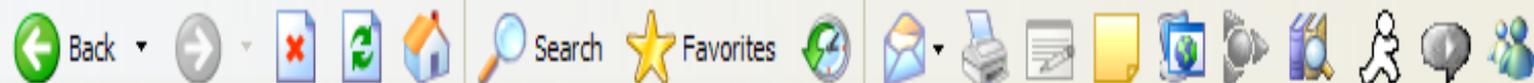
- o Meat and poultry
- o Seafood
- o Bakery, cereal, snack foods and milling industries.
- o Fresh fruits & vegetables, juices & concentrates, beverages
- o Dairy, cheeses, yogurts, ice cream & frozen novelties
- o Dietary Supplements
- o Flavors, fats and oils, sugar, confections and chocolates
- o **Spices** & dry blend ingredients
- o Pet Food
- o Packaging & equipment suppliers
- o Low acid canned foods, acidified foods, aseptic processing
- o Condiments
- o Warehouse, terminal, shipping & tanker wash facilities
- o Other - Food chemical, dyes and acidulants

# Number and Location of Auditors

|             |    |                  |     |
|-------------|----|------------------|-----|
| o Argentina | 1  | o New Zealand    | 1   |
| o Australia | 3  | o Philippines    | 2   |
| o Brazil    | 9  | o Poland         | 1   |
| o Canada    | 13 | o Puerto Rico    | 2   |
| o China     | 8  | o Singapore      | 3   |
| o Croatia   | 1  | o South Africa   | 2   |
| o France    | 1  | o Switzerland    | 1   |
| o Germany   | 15 | o Thailand       | 3   |
| o Hong Kong | 2  | o Turkey         | 1   |
| o India     | 1  | o United Kingdom | 10  |
| o Italy     | 3  | o USA            | 170 |
| o Malaysia  | 1  |                  |     |
| o Mexico    | 8  |                  |     |

# Benefits to Auditee

- o Receive the most comprehensive audit by the most experienced auditors in the food industry.
- o Reduces the number of audits a supplier has to go through.
- o The ability to easily get their audit report to their customer.
- o The ability to increase business.



Address <https://www.fpa-safe.net/nfpasafe.htm>

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## FPA Food Safety and Quality Systems Supplier Audit - #6GEQRR

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[Cover Page](#) [Summary](#) [Audit Sections](#) [Import/Attachments](#) [Signatures/Approval](#)

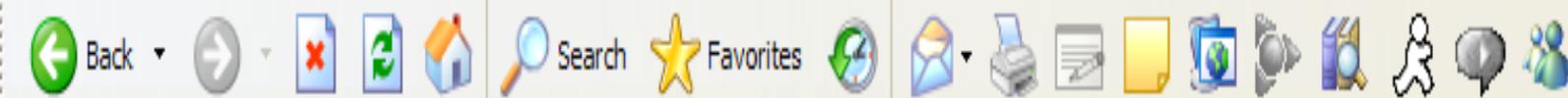
### For Use with Specific Customer

The supplier is planning on using this FPA-SAFE Audit to meet the audit requirements of the following companies:

- Sysco
- Costco
- Heinz
- Ahold USA
- Safeway

### Current Supplier Information





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## FPA Food Safety and Quality Systems Supplier Audit - #6EYGLK

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### For Use with Specific Customer

The supplier is planning on using this FPA-SAFE Audit to meet the audit requirements of the following companies:

- Costco
- Heinz
- Ahold USA
- Safeway

### Current Supplier Information



# FPA Food Safety and Quality Systems Supplier Audit - #6H2H9B

BBecker

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Cover Page Summary Audit Sections Import/Attachments Signatures/Approval

### For Use with Specific Customer

The supplier is planning on using this FPA-SAFE Audit to meet the audit requirements of the following companies:

- Ahold USA
- Coca-Cola
- Costco
- Heinz
- Safeway
- Sysco
- Wrigley

### Current Supplier Information

Supplier:  
 Plant Location:  
 Address:  
 City:  
 State/Province:  
 Country:  
 Postal Code:  
 Closest Major Airport \*:

Is the facility required to be registered with the FDA?  
 Is the facility registered with the FDA?

### Parent Organization (if applicable)

Company Name:  
 Address:  
 P.O. Box:  
 City:  
 State/Province:  
 Country:  
 Postal Code:  
 Company Public Web Site:

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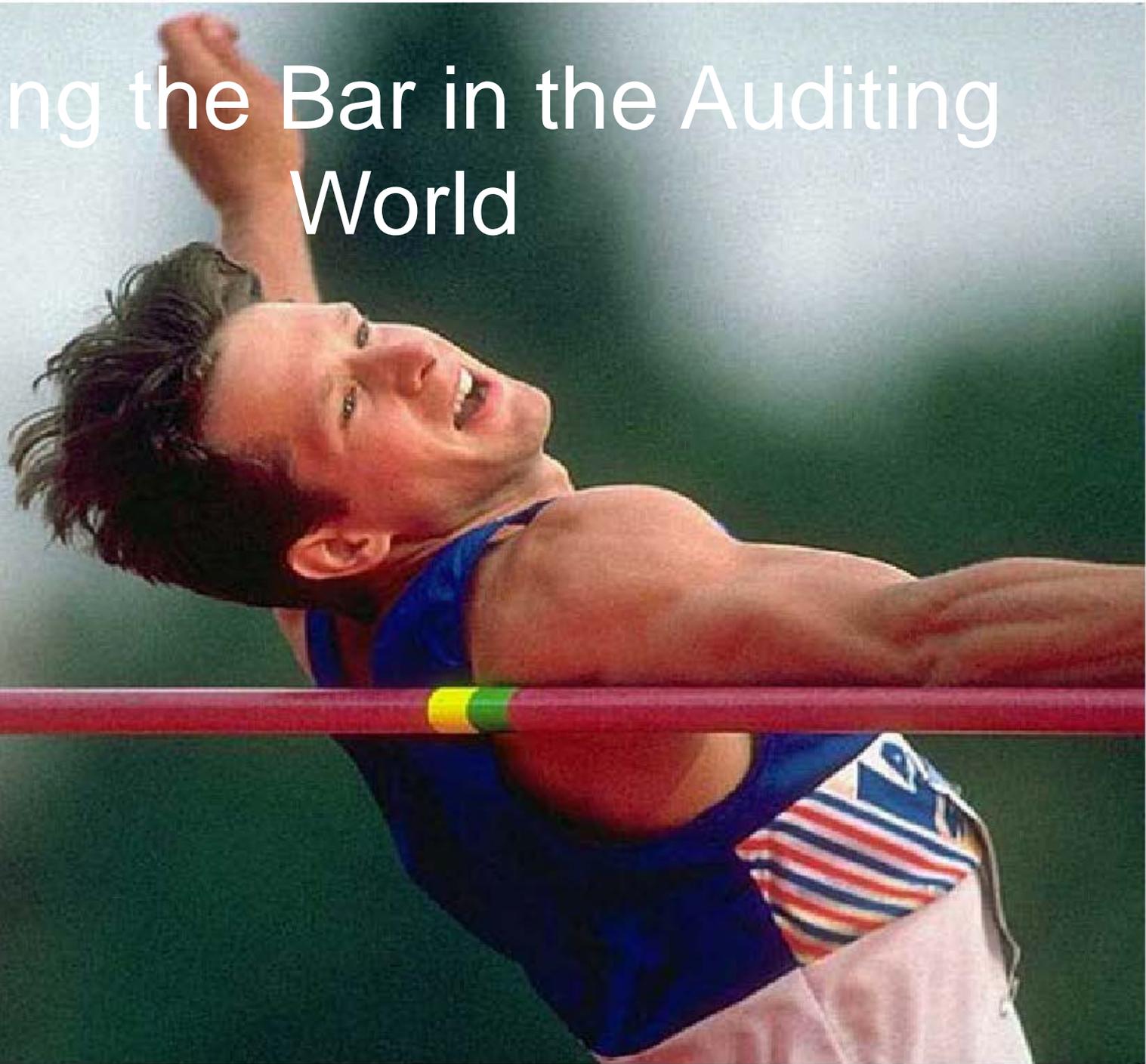
# Benefits to User

- o Have a worldwide army of auditors at your disposal.
- o Branded Product Protection.
- o Scaleable report.
- o New tools.
- o Scored by you.
- o Knowledge of how your supplier compares to the rest of the industry.
- o **NO COST TO YOU!**

# Summary

- o Who FPA is
- o Program Background
- o The SAFE Audit
- o The New Spice Audit
- o SAFE Auditors
- o Web-based Systems

# Raising the Bar in the Auditing World





2006 ASTA Annual Meeting

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Q & A



# ASTA Annual Meeting

May 8-11, 2006

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# Thank you!