Business Name:	
Contact Person:	
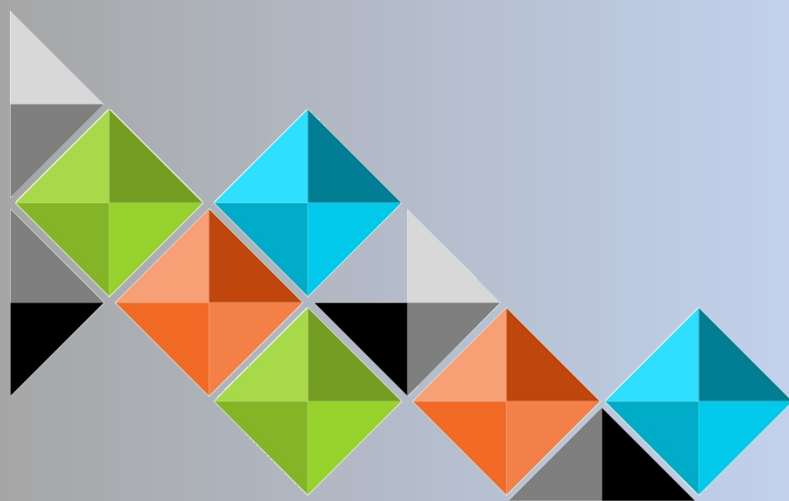
Audit (Verification) Report

Food Control Plan
Food Act 2014

ROTORUA
LAKES COUNCIL

Introduction

Confidentiality Statement

All information obtained during this assessment will remain confidential to your company/business and the Rotorua Lakes Council. No information will be released to any other party except with your express permission in writing or where necessary to meet regulatory requirements.

Assessment Processes and Finding Definitions

This assessment was carried out to assess the status of your management systems against a nominated standard or standards. The assessment was carried out against the scope stated in the report.

The verifier may have reported findings verbally, in comments to guide or in a closing meeting.

The findings are identified as either:

Performing (P)

Fully meeting applicable requirements of the Act.

- Comprehensive knowledge of the applicable requirements of the Act and how to meet them; and
- Systems and procedures in place and documented where required; and
- Procedures followed; and
- Full records available where required.

Conforming (C)

Adequately meeting applicable requirements of the Act. Observations made of a potential for a current activity to deteriorate into non-conformance if allowed to persist.

- Systems and procedures require slight updates or amendments; or
- Procedures followed in the majority of cases; or
- Recording sheets/systems in place with minimal gaps in recording.

Non-conforming (Nc)

Applicable requirements of the Act are not fully met but the deficiency(s) are not likely to affect the safety or suitability of food.

- Definite improvement needed in systems and procedures; or
- Isolated or sporadic lapse in implementation of procedures; or
- practices observed/demonstrated are at a variance with applicable requirements of the Act; or
- Consistent failure to keep records, or absence of required recording sheets that do not directly relate to controlling food safety and suitability.

Non-complying (NC)

Applicable requirements of the Act are not met and findings can be referenced to an offence provision in part 4 of the Act. A significant deficiency or failure to manage risks or comply with an applicable requirement of the Act is evident to the extent that food safety and/or suitability is threatened either immediately (Critical Non Compliance) or in the future if improvements aren't made.

- Procedures and systems that directly impact safety and suitability of food are absent or insufficient to manage the risks; or
- Procedures and systems are not followed and this constitutes a risk to food safety and suitability directly; or
- Records required that directly relate to controlling food safety and suitability are significantly absent, incomplete, or altered; or
- A number of non-conformances against an applicable requirement of the Act or a pattern of non-conformance of a single requirement over successive verifications are observed.

Nc's and **NC's** are elements where action is required before registration to the nominated standard(s) can be offered or continued. A timeframe for addressing **Nc's** and **NC's** will be agreed during the verification and is shown in this report.

Actions relating to observations are not mandatory but you are urged to consider in the interest of good management practice.

Unless otherwise specified, the duration and scope of an assessment prevents verifiers from covering all aspects of the business and operations. This verification is a sample of operations and records unless otherwise stated. The business operator remains responsible for regulatory and legal compliance of these systems.

Although regarded as a final document the customer should review the report and comment as appropriate. Should there be a conflict relating to the contents the operator may seek reconsideration of a verification decision by applying within writing 15 working days after receipt of the verification report to the Team Leader Licensing at the Rotorua Lakes Council. Reconsideration of a verification outcome will be conducted within 20 working days after receipt of application and any outcome reported in writing. The frequency of the verification set out in the initial verification decision continues to apply until the operator is notified of the reconsideration diction.

Certification/Registration may be suspended or withdrawn should non-compliance and Non-conformance verification outcomes not be appropriately addressed.

Report Details

File No.	
Licence No.	
MPI No.	
Doc No.	

Legal Name:

Trading Name:

Site Address:

Postal Address:

Food Control Plan Manager:

Type of Assessment:	Choose an item.
Scope of Assessment:	Sector: Click here to enter sector
Registration Authority:	Rotorua Lakes Council
Registration Date:	Click here to enter a date
Reference Standards:	Food Act 2014 | Food Regulations 2015 | FSANZ Food Standards Code | Template Food Control Plan

Verification Date:	Click here to enter a date
Verification Start Time:	
Verification Finish Time:	
Verification Score:	
Verification Outcome:	Choose an item.
Verification Frequency:	Choose an item
Verification/Re-inspection Date:	Click here to enter a date

Report Written Date:	Click here to enter a date.
Report Written By:	Choose an item
Report Issue Date:	Click here to enter a date.
Recipient Details:	
Delivery Mode:	Click here to enter delivery mode

Verifiers Signature:	
Verifier:	Choose an item
Address:	Rotorua Lakes Council, 1061 Haupapa Street, Rotorua
Email:	Choose an item
Phone:	(07) 348 4199

Summary findings: E.g. about entry meeting, what was verified, what they are doing well overall findings, positive aspects.

Attendees:	
FCP version:	
Verification No.:	
General Comments:	

Any issues, observations discussed and resolved during audit:

Recommendations /areas for improvement

Identified Corrective Action Request (CAR's)

Which elements of the FCP or legislation were not met	Why they were not met (what evidence)	What needs to be done (agreed CAR with operator)	Due date

Follow-up/Additional CARs

Which elements of the FCP or legislation were not met	Action/Evidence	Completed Y / N	Date
		☐ ☐	
		☐ ☐	
		☐ ☐	
		☐ ☐	
		☐ ☐	

Agreed close out date (CARs): _____

I (operator) agree to complete all corrective actions within the due date given above and acknowledge that if further follow up visits are required in addition to the agreed date, these may be charged at the hourly rate per visit.

Signature: _____

Entry Meeting Points Covered

- ☐ Introductions
- ☐ Health and safety briefing
- ☐ Scope of verification and process
- ☐ Explain the findings (performing, conforming, non-conforming, non-complying)
- ☐ Expected finish time
- ☐ Recommendations from previous verifications
- ☐ Outstanding corrective actions from precious verification
- ☐ Confirmation records are available
- ☐ Need to talk and observe staff
- ☐ Discuss what improvements and CARs are (briefly)
- ☐ Follow-up process
- ☐ Additional cost
- ☐ Do you have any questions?
- ☐ Exit Meeting

Scope of Activities

Essential Topic   These are topics that must be completed for each verification
Hot/Top 5 Topic   These are topics that are considered important for each verification

Confidence in Management

- ☐ Registration / scope of operations
- ☐ Traceability, recall and complaints
- ☐ Documentation and record keeping
- ☐ Competency of management
- ☐ Delegation
- ☐ Operator verification
- ☐ Improvements and corrective actions

Food Safety Behaviour

- ☐ Training, supervision and competency
- ☐ Personal hygiene and behaviour
- ☐ Health and sickness
- ☐ Food Standards Code compliance (ingredients and composition)
- ☐ Food Standards Code compliance (microbiological)
- ☐ Opening after an emergency

Compliance History

- ☐ Complaints and recalls
- ☐ Non compliance
- ☐ Managing unsafe / unsuitable food

Environmental Control

- ☐ Design and use of places, facilities and essential services
- ☐ Pest and animal control
- ☐ Waste management
- ☐ Cleaning and sanitising
- ☐ Water supply
- ☐ Maintenance
- ☐ Environmental monitoring (custom Food Control Plans only)

Process Control

- ☐ Design of equipment
- ☐ Importing food
- ☐ Suppliers and purchasing
- ☐ Receiving goods
- ☐ Time/temperature control (cooking/processing)
- ☐ Cooking poultry
- ☐ Defrosting and reheating food
- ☐ Cooling and freezing
- ☐ Time temperature controls for food on display
- ☐ Food allergen management
- ☐ Preventing cross contamination
- ☐ Process controls for biological hazards (other)
- ☐ Process controls for chemical (other)
- ☐ Process controls for physical hazards (other)
- ☐ Appropriate use of equipment
- ☐ Calibration
- ☐ Food labelling and advertising
- ☐ Transporting food
- ☐ Storage and stock rotation

SCOPE OF VERIFICATION

Confidence in Management	Performing (30)	Conforming (20)	Non-conforming (10)	Non-complying (0)	Critical NC	Score
Registration/Scope of operations	☐	☐	☐	☐	☐	
Traceability, recalls & complaints	☐	☐	☐	☐	☐	
Documentation and record keeping	☐	☐	☐	☐	☐	
Competency of management	☐	☐	☐	☐	☐	
Delegation	☐	☐	☐	☐	☐	
Operator verification	☐	☐	☐	☐	☐	
Improvements and corrective actions	☐	☐	☐	☐	☐	

Food Safety Behaviour	Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0)	Critical NC	Score
Training, supervision and competency	☐	☐	☐	☐	☐	
Personal hygiene and behaviour	☐	☐	☐	☐	☐	
Health and sickness	☐	☐	☐	☐	☐	
FSC – ingredients and composition	☐	☐	☐	☐	☐	
FSC – microbiological	☐	☐	☐	☐	☐	
Opening after an emergency	☐	☐	☐	☐	☐	

Compliance History	Performing (10)	Conforming (5)	Non-conforming (0)	Non-complying (-5)	Critical NC	Score
Complaints and recalls	☐	☐	☐	☐	☐	
Non-compliance	☐	☐	☐	☐	☐	
Managing unsafe and unsuitable food	☐	☐	☐	☐	☐	

Environmental Control	Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0)	Critical NC	Score
Design and use of places, facilities & essential services	☐	☐	☐	☐	☐	
Pest and animal control	☐	☐	☐	☐	☐	
Waste management	☐	☐	☐	☐	☐	
Cleaning and sanitizing	☐	☐	☐	☐	☐	
Water supply	☐	☐	☐	☐	☐	
Maintenance	☐	☐	☐	☐	☐	
Environmental monitoring (custom)	☐	☐	☐	☐	☐	

Process control	Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0)	Critical NC	Score
Design of equipment	☐	☐	☐	☐	☐	
Importing food	☐	☐	☐	☐	☐	
Suppliers and purchasing	☐	☐	☐	☐	☐	
Receiving goods	☐	☐	☐	☐	☐	
Time/temp control – cooking/process	☐	☐	☐	☐	☐	
Cooking poultry	☐	☐	☐	☐	☐	
Defrosting and reheating food	☐	☐	☐	☐	☐	
Cooling and freezing	☐	☐	☐	☐	☐	
Time/temp controls - food on display	☐	☐	☐	☐	☐	
Food allergen management	☐	☐	☐	☐	☐	
Preventing cross contamination	☐	☐	☐	☐	☐	
Process controls for biological hazards	☐	☐	☐	☐	☐	
Process controls for chemical hazards	☐	☐	☐	☐	☐	
Process controls for physical hazards	☐	☐	☐	☐	☐	
Appropriate use of equipment	☐	☐	☐	☐	☐	
Calibration	☐	☐	☐	☐	☐	
Food labelling and advertising	☐	☐	☐	☐	☐	
Transporting food	☐	☐	☐	☐	☐	
Storage and stock rotation	☐	☐	☐	☐	☐	

Confidence in management

Registration / scope of operations

Documentation/procedures	Comments			CAR/REC
• Ask what the business does/produces? • MAPS and Scope of Operation correct? • FCP appropriately tailored? • Any changes? • Council notified (written)? • Changes suitable?				

Performing (30)	Conforming (20)	Non-conforming (10)	Non-complying (0)	Critical NC
☐	☐	☐	☐	☐

Traceability, recall and complaints

Documentation/procedures	Comments			CAR/REC
Procedures: • product identification • traceability • complaint management • recall • records? Traceability - ingredients, in-process, rework, storage, dispatch and sale. (Note: complaints and recalls management is under Compliance History).				

Performing (30)	Conforming (20)	Non-conforming (10)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Documentation and record keeping

Documentation/procedures	Comments			CAR/REC
• Appropriate quality and content • 4 years? • Document (version) control • Readily available to staff				

Performing (30)	Conforming (20)	Non-conforming (10)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Competency of management

Documentation/procedures	Comments			CAR/REC
• Competency and skills required for management (including team leads) are identified and recorded? • Are adequate training records kept?				

Performing (30)	Conforming (20)	Non-conforming (10)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Delegation

Documentation/procedures	Comments			CAR/REC
• Are the right people making the decisions? • Records (Business management details) • Escalation process in place?				

Performing (30)	Conforming (20)	Non-conforming (10)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Operator verification				
Documentation/procedures	**Comments**			**CAR/REC**
• What internal verification has been done since the last external verification? • Was this in line with the businesses procedures? • Are the procedures adequate to produce safe and suitable food? • Have any key processes been tested (e.g. recall)?				
Performing (30)	**Conforming (20)**	**Non-conforming (10)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Improvements and corrective actions				
Documentation/procedures	**Comments**			**CAR/REC**
• When something goes wrong • Any internal CARs or improvements identified • Steps taken to identify and correct the issue • Breaches – reported • Were internal CARs appropriate/justified • Carried out by appropriate person • Records				
Performing (30)	**Conforming (20)**	**Non-conforming (10)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Food Safety Behaviour

Training, supervision and competency

Documentation/procedures	Comments			CAR/REC
• Staff and visitors are appropriately trained and supervised? • Competencies and skills required are identified? • Training records are appropriately tailored and kept? • Staff demonstrate how to make/keep safe and suitable food.				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Personal hygiene and behaviour

Documentation/procedures	Comments			CAR/REC
• Are staff washing hands? • Adequate provisions? • Glove policy • Appearance • Jewellery policy • Records (incidents)				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Health and sickness

Documentation/procedures	Comments			CAR/REC
• Sickness policy • Staff awareness • Records • Are sick staff able to work?				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Food Standards Code compliance (ingredients and composition)

Documentation/procedures	Comments			CAR/REC
• Product at dispatch / sale complies with the FSC. • There are controls in place during product development to ensure this? • Are ingredients sourced from reputable suppliers? • Are the staff aware of their obligation under this section				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Food Standards Code compliance (microbiological)

Documentation/procedures	Comments			CAR/REC
• Product at dispatch / sale complies with the FSC? • Controls in place to ensure this?				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Opening after an emergency					
Documentation/procedures	**Comments**				**CAR/REC**
• Appropriate checks of buildings, services, equipment and disposal of damaged or temperature abused food. • Has the checklist been used? • Damage/spoiled food?					
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**		**Critical NC**
☐	☐	☐	☐		☐

Compliance History

Complaints and recalls

Documentation/procedures	Comments	CAR/REC

• Procedures:
    • Complaints
    • Recalls
• Type and number of each
• Was MPI notified?
• Appropriate response?
• Records		

Performing (10)	Conforming (5)	Non-conforming (0)	Non-complying (-5) Critical	Critical NC
☐	☐	☐	☐	☐

Non compliance

Documentation/procedures	Comments	CAR/REC
• Previous CARs? • Within specified timeframe? • Were additional visits necessary/undertaken? • FSO intervention? • What steps have been taken to identify cause, improve and/or correct the issue? • CARs appropriate? • Conducted by suitable person? • Records		

Performing (10)	Conforming (5)	Non-conforming (0)	Non-complying (-5) Critical	Critical NC
☐	☐	☐	☐	☐

Managing unsafe / unsuitable food

Documentation/procedures	Comments	CAR/REC
• What food has been identified as unsafe or unsuitable since the last audit? • How were the risks managed? (E.g. identifying/labelling, isolation, reprocessing, disposal). • Records? • Were the actions appropriate and sufficient?		

Performing (10)	Conforming (5)	Non-conforming (0)	Non-complying (-5) Critical	Critical NC
☐	☐	☐	☐	☐

Environmental Control

Design and use of places, facilities and essential services				
Documentation/procedures	**Comments**			**CAR/REC**
• Complies with FA14/regs? • Floor plan • Lighting, air quality, ventilation, grease traps, plumbing and security. • Storage • WHBs/ toilets/ Laundry facilities				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Pest and animal control				
Documentation/procedures	**Comments**			**CAR/REC**
• Pest control procedure • Regular checks completed? • Records				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Waste management				
Documentation/procedures	**Comments**			**CAR/REC**
• Procedure • Bins cleaned? • Grease trap • Suitable storage				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Cleaning and sanitising				
Documentation/procedures	**Comments**			**CAR/REC**
• Schedule • Cleanliness of site • Sanitizing • Chemicals used are appropriate? • Chemical storage • Records				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Water supply				
Documentation/procedures	**Comments**			**CAR/REC**
• Supply type • How is it safe/suitable? • Surface/ground water supply – records of tests • Maintenance record				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Maintenance				
Documentation/procedures	**Comments**			**CAR/REC**
• Maintenance schedule • Diary records (unplanned) • Chemicals suitable for use?				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Process Control

Design of equipment

Observations/demonstrations	Comments			CAR/REC
Equipment is appropriate for its intended purpose (sanitary design) and sufficient for throughput. (Includes consideration of vending machines and stock rotation in them).				
Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Importing food

Documentation/procedures	Comments			CAR/REC
• Is the business importing? • Are they registered? • Are they meeting their duties as an importer? • Records				
Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Suppliers and purchasing

Documentation/procedures	Comments			CAR/REC
• Reputable suppliers used? • Suppliers Records • Storage				
Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Receiving goods

Documentation/procedures	Comments			CAR/REC
• When are goods received? • Procedure (checks) • Temperature records • Incident records (diary)				
Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Time / temperature control (cooking / processing)

Documentation/procedures	Comments			CAR/REC
Appropriate procedures used for ensuring time and temperature controls are sufficient to manage microbial hazards during cooking and processing? (For poultry use the cooking poultry topic).				
Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Cooking poultry

Documentation/procedures	Comments			CAR/REC
• Appropriate procedures used for cooking poultry. • Records kept of cooking time and temperatures.				
Performing (20)	Conforming (10)	Non-conforming (5)	Non-complying (0) Critical	Critical NC
☐	☐	☐	☐	☐

Defrosting and reheating food

Documentation/procedures	Comments			CAR/REC
• Defrosting procedure • Reheating procedure • Confirm hot held food is not cooled and then reheated for sale.				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Cooling and freezing

Documentation/procedures	Comments			CAR/REC
• Cooling procedure • Cooling records (diary) • Is food frozen solid				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Time temperature controls (food on display)

Documentation/procedures	Comments			CAR/REC
Are there appropriate procedures used for ensuring time temperature limits are complied with?				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Food allergen management

Documentation/procedures	Comments			CAR/REC
• Cross-contamination procedure • Food allergens procedure • Records • Storage				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Preventing cross contamination

Observations/demonstrations	Comments			CAR/REC
Contamination prevented by the use of clean surfaces and utensils and the separation of raw and cooked foods.				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Process controls for biological hazards (other)

Documentation/procedures	Comments			CAR/REC

• Microbial and other biological hazards are identified appropriately:
  ○ pH
  ○ Water activity
  ○ Hot smoking
  ○ Drying
  ○ Brining/pickling
• Records
• Any sampling and laboratory testing is done appropriately.				

Performing (20)	**Conforming (10)**	**Non-conforming (50)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Process controls for physical hazards (other)				
Documentation/procedures	**Comments**			**CAR/REC**
• Physical hazards are identified appropriately, controls in place and applied. • Records kept of checks • Any sampling and laboratory testing is done appropriately				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Appropriate use of equipment				
Observations/demonstrations	**Comments**			**CAR/REC**
Appropriate use of equipment within its capacity and operating conditions.				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Calibration				
Documentation/procedures	**Comments**			**CAR/REC**
• Calibration done regularly where required. • Records (Temps, scales, pH meters)				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Food labelling and advertising				
Observations/demonstrations	**Comments**			**CAR/REC**
• Advertising material (pamphlets, signs, websites) • Labels are correct				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Transporting food				
Documentation/procedures	**Comments**			**CAR/REC**
• Transport procedure • Temperature control • Separation				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐

Storage and stock rotation – (incl. checking temps)				
Documentation/procedures	**Comments**			**CAR/REC**
• Temperature control checks (chillers, hot holding) • Cross-contamination? • Stock rotation				
Performing (20)	**Conforming (10)**	**Non-conforming (5)**	**Non-complying (0) Critical**	**Critical NC**
☐	☐	☐	☐	☐