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|  | <b>YQ BUSINESS ASSURANCE<br/>PRIVATE LIMITED</b> | Doc. No.  | YQ/SOP/07     |
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|   | <b>Procedure for Auditing</b>                    | Rev. No.  | 06            |
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### 1. Purpose:

To describe the methods of Auditing/ Audit Technique.

### 2. Scope:

Auditors, Top Management, Customers

### 3. Responsibilities

Technical Manager has the overall responsibility to ensure that proper Audit Technique are being followed by all auditors.

### 4. Procedure

4.1 YQ Business Assurance Private Limited will collect information regarding hygiene rating, Inquiry can come through emails, phone calls, letter, message, website, client information form etc.

4.2 Inquiry will be handled by operation team and details will be sent back to FEs.



4.3 It will be considered that Audit will not be done in existing client, who are already trained by YQBAPL, to maintain conflict of interest.


4.4 YQ Business Assurance Private Limited will review the application, Agreement with Food Establishment, FoSTaC training certificate, FSSAI License, Water test report, Temperature records etc (whichever) is applicable then will choose Audit team according to the procedure/ auditor profile and also check the criticality of the client scope and decide the man days as per Hygiene rating protocol.

4.5 The audit dates are confirmed with client by the Operation department.



4.6 The profile of selected auditor is sent for approval from client.


4.7 In case any observer to witness the audit is required, approval form the client is taken. The arrangement of observer is born by the company. The observer is allowed only the witness of audit and submits observation/witness report directly to QCI/ FSSAI/YQPL. The observer do not interfere or influence the audit.

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- 4.8 The auditor is provided with the relevant information of client organization such as Name, Scope of activity, products etc.
- 4.9 The auditor is provided with the documents of the organization, then auditor will share audit plan with Food Establishment.
- 4.10 The auditor is asked to follow guideline of QCI/HRS/Requirements for HRAAs/Ver1/ Oct 2021 during the auditing as required.
- 4.11 After reaching Food Establishment, Auditor will meet concern person and will enquire about the safety requirement and follow the same. Audit will start with opening meeting. It is suggested that top management and HODs should be present in opening meeting.
- 4.12 Auditor will visit food preparation, serving, storage, transport area, etc. for compliance and will ask to show required documents. Auditor will collect all possible objective evidence in form of photographs, conversation, query, audit notes etc. and will upload the same on portal to generate certificate.
- 4.13 All auditors will make Audit Note on the prescribed format of ‘Audit Note Sheet’, so as to prevent the loss of data. All objective evidence will be saved in soft copy and same will be preserved in office of YQBAPL till life of certificate. In case of requirement it can be shared with FSSAI.
- 4.14 In case of unavailability of network, computer/ laptop/ tablets or any gadget or if website found not working, the documents, objective evidences will be collected and preserve properly till the report got uploaded on site.
- 4.15 In case of Non conformity, same will be communicated to FE, Food safety officer, YQ Business Assurance Private Limited by auditor and action will be taken accordingly.
- 4.16 In case auditor require translator or interpreter for audit, they do not unduly influence the audit.
- 4.17 The auditor will be responsible for auditing specific processes, functions, sites, areas or activities. The typical audit start with opening meeting and end with closing meeting. Auditor will conduct in safe manner, without causing risk to manpower, documents, food etc, following protocol of audit.

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4.18 The auditor is required to complete all the relevant formats, capture all applicable legal and other requirements (Statutory and regulatory requirements) and collect substantial evidence to confirm the scope of Audit. In case of nonconformity, same will be communicated to client and no time will be allotted for corrective action. Instantly same will be uploaded on portal. Overall rating of the Food Establishment will be based on objective evidence only.

4.19 The Auditor is fully authorized to suspend the audit, issue non conformity immediately, if they find out that any non conformity is immediate threat to establishment of management system being audited. In case if it is a breach of an act of parliament or a contravention of a regulatory requirement or direct food safety risk then will suspend the audit and will immediately inform YQPL who then will notify the concerned regulatory body immediately.

4.20 Technical review of audit will be done by Technical Manager on regular basis.



4.21 The action could also be re-confirmation or modification of audit plan changes to audit objective or audit scope or termination of audit.


4.22 During the audit if audit team find out substantial evidence with suggest any need to change the audit scope during the audit progress review shall inform the client as well as YQPL that audit scope would require modification.

4.23 The Non conformities should be classified Major or minor based on the available evidences.

A. Major Non Conformity: When there is serious failure in food safety management system of the catering establishment, which may result in adverse health consequence possibly even fatal, the auditor shall report such finding to FSSAI within 24 hours. FSSAI after ascertaining the seriousness of the situation shall take regulatory action against the concerned food business operator.

B. Minor Non Conformity: When there is short coming in the food safety management system or regulatory contravention of catering establishment, which may not cause any adverse health consequence, the auditor shall set up an appropriate timeframe for its rectification and follow up, so that the non-conformance could be rectified.

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| <br><b>BUSINESS</b><br><small>ASSURANCE</small> | <b>YQ BUSINESS ASSURANCE<br/>PRIVATE LIMITED</b> | Doc. No.  | YQ/SOP/07     |
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4.24 Failure by food business operator to rectify the minor non-conformity within specified timeframe shall be referred to FSSAI.

4.25 Audit team are advised to contact technical manager in case of any dispute other than the convenience.

4.26 Audit report along with the summary, relevant documents, photographs, recommendation letter is uploaded on portal/ received from the auditors.

4.27 The audit report is sent for Review.



## 5. Re- Certification

Renewal of certification: If client wants to continue certificate from YQBAPL, YQBAPL will arrange the re-certification audit after completion of 2 years from the date of issue of the certificate.

## 6. Records:

| Sr. No. | Name of record           | Document number | Location/ Custodian |
|---------|--------------------------|-----------------|---------------------|
| 1       | Audit Note Sheet         | YQ/HR/17        | Technical Manager   |
| 2       | Hygiene Rating Checklist | YQ/HR/20        | Technical Manager   |
| 3       | Non conformance Report   | YQ/HR/21        | Technical Manager   |

## 7. References: QCI/HRAA/HRA/Ver1/Oct 2021

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