

Northern Food Complex Co., Ltd.

AUDIT REPORT

Surveillance 1 (ISO 22000:2018 by UKAS)-Remote
100%

Northern Food Complex Co., Ltd. **AUDIT REPORT**

Client ID#:	CMPY-082012
Client/Address:	Northern Food Complex Co., Ltd. 99/3 Moo 1, Chiangrai-Dongmada Road, Maekorn, Maung, Chiangrai 57000 Thailand
Audit Criteria:	ISO 22000:2018
Audit Activity:	Surveillance 1 (ISO 22000:2018 by UKAS)-Remote 100%
Date(s) of Audit:	Maung, Thailand: 03-Mar-2022
Auditor(s) (level):	Apichaya Joomthong (Lead Auditor, Maung, Thailand) Pornthavee Ngampanitchayakit (Auditor, Maung, Thailand)
Scope of Audit and Scope of Certification:	Site: Northern Food Complex Co., Ltd., Maung, Chiang Rai, Thailand ISO 22000:2018: Manufacture of Japanese Soy Sauce, Chinese Soy sauce, Seasoning Sauce, Fermented Vinegar, Hoisin Sauce, Dark and Sweet Soy Sauce.

OVERALL RESULT:

No Action Required

The management system was found to be fully effective. (no nonconformities issued)

EXECUTIVE SUMMARY

All performance of FSMS, it was found that the performance of the company was maintained and implemented performance from the last auditing. The result of food safety objectives measuring were achieved on business target and provided safety of products to support high customer special specification in scope of Manufacture of Japanese Soy Sauce, Chinese Soy sauce, Seasoning Sauce, Fermented Vinegar, Hoisin Sauce, Dark and Sweet Soy Sauce.

Northern Food Complex Co., Ltd. **AUDIT REPORT**

SWOT ANALYSIS

Strengths	The staff and management have an understanding and high commitment for food safety.
Weaknesses	none
Opportunities	<ul style="list-style-type: none">- The responsible person should reconsider to review the corrective action for NCR that action to actual root cause defined.- The responsible person should reconsider to define the suitable time frame of health examination report from new staff
Threats	Seasonal raw material.

Northern Food Complex Co., Ltd. **AUDIT REPORT**

INTERTEK MATURITY MODEL

The score descriptions are generic to all management systems and cannot be customized by the auditor, thus allowing for the consistency of interpretation and standardization of audit results worldwide. The scores provided to your organisation are for benchmarking purposes only and are based on the audit team's evaluation.

Management

Meets Intent

Evidence of management commitment, customer and/or interested party satisfaction, knowledge/awareness of policy and objectives does exist. Responsibility and authority is documented, understood and supported via data, trends and related KPI's. Management reviews are complete and meet the minimum intent.

Auditor Comments:

Seen high commitment of Top management and management team into maintaining and improving the food safety management system effectiveness from observed Policy was maintained which related objectives/ programs, including evidences of periodically review the progress and achievement of them.

The management review procedure was established and implemented. The planned meeting set as annually and found the process was reviewed by Top management/FSTL and FST attended which seen last review result on 127/8/2021.

Review input such as Changes in external and internal issues that are relevant to the FSMS, including changes in the organization and its context, analysis of the results of verification activities related to PRPs and the hazard control plan, the performance of external providers, the adequacy of resources, etc. and shown decision outputs and action plan, responsible person with due date to improvement to the effectiveness of FSMS and company performance.

Internal Audits

Meets Intent

Internal audits are being performed at planned intervals and are based on status and importance of the Management System. Data is being collected on regular basis. Audit teams are trained, impartial and objective in their approach. Audit reports are clear, concise with respect to content. Actions are being taken as a result of audit findings and timely responses are provided.

Auditor Comments:

The internal audit procedure was established. Last internal audit conducted on 1-29/10/2021. Internal audit plan defined base on importance and status. Seen the internal audit schedule and plan FM-GR-12 defined covered all function, audit checklist FM-GR-14 sampling MR, QC, purchasing, HACCP, production and justified criteria for C, NC and OBS. Result from internal audit can identify weak point of organization. Result 22 NCs. Found set up the action and follow the progressive by auditor and summary audit report. Found many continual improvement points decisions from many channels e.g. Vision, KPIs, Management review, Internal audit, Analysis of data, Corrective & Preventive action and monitoring result that found these information were used for improvement.

Corrective Action

Meets Intent

The corrective action process meets the minimum requirements as defined by the standard. Data does exist from such sources such as customer and/or interested party complaints, internal audits, warranty analysis, defects, internal

Northern Food Complex Co., Ltd. **AUDIT REPORT**

metrics and supplier performance. The process includes a review of the effectiveness of the actions taken. There is evidence of problem solving tools being used to support the process.

Auditor Comments:

The company has maintained procedure defined and for handling non-conformances procedure which identified include clear documentation of the non-conformity by a suitably competent and authorised person, identification of the corrective action to address the immediate issue and timescale.

Continuous Improvement

Meets Intent

Data streams are being used as sources to drive continual improvement over time. These may include management system policy, objectives, and audit results, analysis of data, CAPA and management reviews.

Auditor Comments:

The site review and evaluated the data from complaint, review output, internal and external audit result, and all result from PRP verification. Then analyse for improvement and seen the evidence of personal hygiene control, good control for food safety compliant, and consistency system maintained.

Operational Control

Meets Intent

Operational Controls are planned and developed. Planning is consistent with many of the other Management processes. Objectives, process requirements, needs for appropriate additional documents and resources, verification and monitoring activities and records requirements have been determined, as appropriate. Processes and activities run consistently. Some data is collected to verify the adequacy of operational controls with evidence of some improvement trends.

Auditor Comments:

Production process SD-120

-Food safety team FM-GR-92

-HACCP study FM-GR-93 = Japanese Soy Sauce, Vinegar

-Product description: sauce product, glass/plastic/tin can/mini pack/plastic drum/bulk pack 1000l, 3 months - 3.0 years, retail pack/OEM/bulk, allergen, for industry/shop/restaurant.

-Process flow for sauce product is receiving, sieving, cleaning, steaming, cooling, milling, mixing, seeding, koji production, fermentation, squeeze, pasteurized/sterilization, filtration, filling

-Process flow for vinegar is receiving, mixing, cooking, fermentation, pasteurization, filtration and filling.

FM-GR-99 hazard analysis, and seen the hazard was analysed for B/C/P/A/F update 20/07/2020

Decision tree as standard new version as QM-03

FM-GR-100 HACCP plan and oPRP plan

CCP; bottle washing with control pressure ≥ 1 psi, 15 Hz or 10 sec, check every 12 bottle by PD staff, 30 minute or 12 bottles

CCP; sterilization 100-110 C and 15-20 minutes for chilli sauce, temp > 90 C and time > 15 min for dark and sweet soy sauce, temp 70-80 C time 15-20 minutes for vinegar, Temp 90-95 C flow rate ≤ 53 L/min for Chinese soy sauce, temp 95-

Northern Food Complex Co., Ltd. **AUDIT REPORT**

100 C flow≤53 L/min for Japanese soy sauce and temp>100 C time>15 min for hoisin sauce and all record at start ad very 10 minute.

CCP; filtration with screen diameter<5 mm, at before and after working by PD&QC staff

oPRP; pasteurized for vinegar, temp>70 C and time>15 minute,

oPRP; pasteurized temp 105-110 C time 40 Hz for Japanese soy sauce, record every 40 minutes.

oPRP; pasteurized 2 at temp 90-95 C time 15-20 minute for Japanese soy sauce

oPRP; magnetic with strength >10000 gauss, and check start and stop process.

- Plan: Validation was maintained for spring roll 12/06/2020 with test report, sweet chilli sauce 12/06/2020, JPN soy sauce 28/05/2020, hoisin 18/07/2020, sweet and sour sauce, vinegar 22/07/2020, magnetic test on 17.01.22

Verification

-incoming inspection FM-QC-xx for raw material, ingredient and packaging against SD-QC-xx such as; white sesame, organic sesame oil, soy bean, organic soy bean, organic cassava flour, 220 ml glass bottle, PE cap, soy bean, wheat, brown hom mali rice, orgnic fresh garlic, organic fresh onion, 10 L PET

And check specification

-bottle wasing step was verified at monthly with method ST-QC-06 against AOAC 2000 and monitoring of microorganism e.g.TPC, staphylococcus, salmonella

Resources

Meets Intent

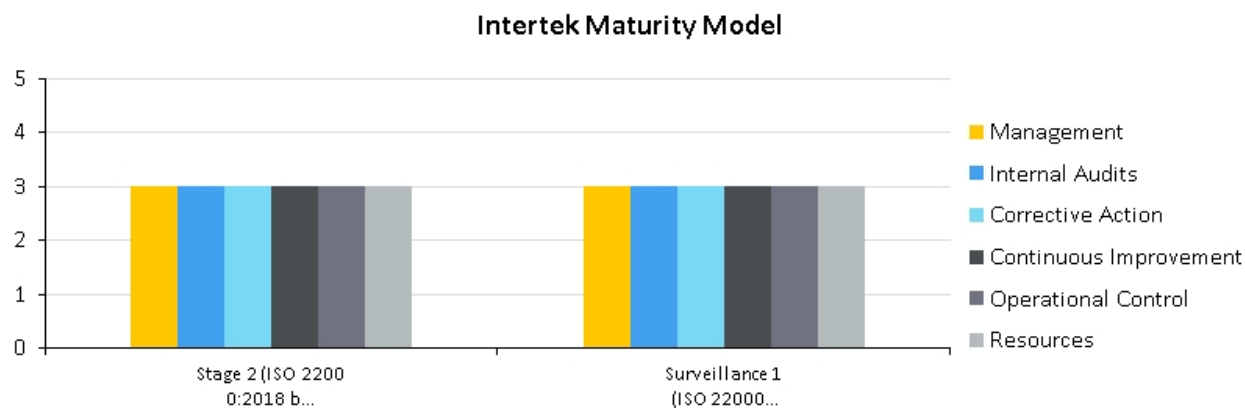
Resources required for the effective maintenance and improvement of the management system have been defined and deployed. Customer and/or interested party satisfaction and overall stability of the management system has been demonstrated. Competency requirements have been defined and implemented.

Auditor Comments:

The recruitment procedure and training procedure was established and implemented. The organization has defined manpower appropriately for the FSMS. All resource need are sufficiently provided. Competency need and training need for each position are clearly defined in job description and core competence. New employees are competent and well trained as JD specified. Current employees are competent for each job and well completely trained as yearly training plan FM-GR-17. Found training evidence covered food allergen control on 15/6/21, CCP, GMP, HACCP on 7/4/21, Site security on 7/4/21, Food fraud on 8/4/21, etc. By sampling training record FM-GR-21 for PD and QC staff. Evaluation of training defined in as annual training plan are completely performed and updated in their training history completely. Found provide of equipment food grade, available for using and found maintenance program set up cover all machine and equipment.

Found controlling good work environmental, monitoring all facility and production building surround in good condition which control risk of contamination clearly.

Northern Food Complex Co., Ltd. AUDIT REPORT



Rating: 5=Benchmark | 4=Mature | 3=Meets Intent | 2=Beginning | 1=Not Evident

Northern Food Complex Co., Ltd. AUDIT REPORT

FINDING SUMMARY

	Minor	Major
Issued during current activity	0	0
Opportunities for improvement have been identified		
Yes		

STATUS OF PREVIOUS AUDIT FINDINGS

Follow-up on findings issued at previous audit:

Prior assessment resulted in no non conformities.

Northern Food Complex Co., Ltd. **AUDIT REPORT**

EVIDENCE SUMMARY

The state of the management system is summarized below:

Conclusion of Client's Processes/Functional areas audited including KPI/Metrics

Exclusion from scope: N/A

Verify use of logo/ UKAS/ CB mark: not use on any pkg.

Verified scope does not change from previous audit and cert: Manufacture of Japanese Soy Sauce, Chinese Soy sauce, Seasoning Sauce, Fermented Vinegar, Hoisin Sauce, Dark and Sweet Soy Sauce.

Verified site name/ address: not change from prev audit and cert: Northern Food Complex Co., Ltd.

99/3 Moo 1, Chiangrai-Dongmada Road, Maekorn, Maung, Chiangrai 57000 Thailand

Audit Activity- e.g. Top Management process, Management Review, Internal Audit process, Nonconformity and corrective action, Documented Information, Emergency preparedness, HACCP plan and hazard assessment, PRP, etc.

Key Personnel presented- Auditor & Client MR (Ms.Prakaiwan – Food safety team leader/QMR, Mr. Yosaporn – Operation manager)

Access Area (Location) -Home based & Client office Desktop and Phone

Extent of ICT during Remote Auditing - Interviewed with MR using Microsoft Teams & Documented information and data review sent using Microsoft Teams & email and explains by auditees using Microsoft Teams.

Leadership and commitment;

Top management, management and working team into maintaining and improving management system that was effectiveness. Top management was established policies and communicate with those involved. Attend a minute meeting / Management review and support resources for the most efficient operation.

Policy was maintained QM-01 and found the commitment is comply with legal/customer requirement and product specification.

Management System Performance (Objectives / Targets / KPIs / Trend Analysis); Interviewed Ms. Prakaiwan, FSTL.

Seen high commitment of Top management and management team into maintaining and improving the quality and food safety management system effectiveness from observed policy and related objectives/ programs, including evidences of periodically review the progress and achievement of them. Seen appropriately and adequacy resources provision in order to meet customer requirements and expectation, legal compliance, and improving the organization performances. Resources are covering human, equipment, infrastructure, facilities, etc.

KPI issued such as

- Food safety improvement suggestion >1 topic/ Y/ department, actual 7 topics (2021)
- Machine breakdown (grade A) <5 times, actual 7 times (2021), 1 time (2022)
- RM as specification 100%, actual 100% (2021-2022)
- Swab test food handler's hand passed 100%, actual 100% (2021-2022)
- Product damage from delivery 0 case, actual 0 (2021-2022)
- Food safety complaint 0 case, actual 2 cases (2021), 0 case (2022)

Northern Food Complex Co., Ltd. **AUDIT REPORT**

Almost KPI was achieved. For some KPI which not achieve target then found the corrective action clearly.

Customer Performance / Satisfaction/ Complaint Handling; Interviewed Ms. Prakaiwan FSTL,

-Seen system established for complaint management that related to food safety (biological, chemical and physical hazard) that reviewed by FSTL and team.

-Complaint was directly received from marketing via phone, email, social media channel, etc. All cases were raised and inform to related person such as; Food safety team, QA. -seen the follow-up action that prevent the occurrence of problem. For 2021, there were 2 customer complaints of product within scope for Light soy sauce Lot 3/2/21, 9/2/21, 15/2/21 were TPC/ Bacillus over specification, and case of Standard soy sauce Lot 29/4/21, 6/5/21 and light soy sauce lot 3/5/21 were TPC/ Bacillus over specification. Found action and process of root cause investigation appropriately. All customer complaints were summarized and corrective action feedback to customer shown to be satisfied. The customer feedback (complaint and satisfaction data) was collected and analysed to improvement company performance by management meeting.

Management review; Interviewed Ms. Prakaiwan FSTL,

The management review procedure was established and implemented. The planned meeting set as annually and found the process was reviewed by Top management/FSTL and FST attended which seen last review result on 127/8/2021. Review input such as Changes in external and internal issues that are relevant to the FSMS, including changes in the organization and its context, analysis of the results of verification activities related to PRPs and the hazard control plan, the performance of external providers, the adequacy of resources, etc. and shown decision outputs and action plan, responsible person with due date to improvement to the effectiveness of FSMS and company performance.

Internal audit; Interviewed Ms. Prakaiwan FSTL,

The internal audit procedure was established. Last internal audit conducted on 1-29/10/2021. Internal audit plan defined base on importance and status. Seen the internal audit schedule and plan FM-GR-12 defined covered all function, audit checklist FM-GR-14 sampling MR, QC, purchasing, HACCP, production and justified criteria for C, NC and OBS. Result from internal audit can identify weak point of organization. Result 22 NCs. Found set up the action and follow the progressive by auditor and summary audit report. Found many continual improvement points decisions from many channels e.g. Vision, KPIs, Management review, Internal audit, Analysis of data, Corrective & Preventive action and monitoring result that found these information were used for improvement.

NC, Corrective and preventive action; Interviewed Ms. Prakaiwan FSTL,

The company has maintained procedure defined and for handling non-conformances procedure which identified include clear documentation of the non-conformity by a suitably competent and authorised person, identification of the corrective action to address the immediate issue and timescale, sampling corrective action for internal CAR No. I10/10/64-01/02, NCR 1 for Johnin standard soy sauce Lot RC-6411-0002, NCR 2 Extra chinese sauce Lot CS-244/21, etc. were found closed completely.

Internal and external communication; Interviewed Ms. Prakaiwan FSTL,

The supporting document established included internal communication and external communication.

Record for meeting/ communication every time/ note/ such as customer spec via e-mail, fax

Northern Food Complex Co., Ltd. **AUDIT REPORT**

Internal communication such as policy, KPI on communication board (entrance PD line), e-mail, training
Legal update as ministry of public health (MoPH) 414, 416, 418, 92, 61, 135, and Codex standard.

Emergency preparedness and response; Interviewed Ms. Prakaiwan FSTL,
The procedures and instruction provided PM-GR-26 also focus on preventing and mitigating the environmental impacts that may be associated with accidents or emergency situations such as water supply, electrical failure, fire, flooding, natural disaster, and COVID-19 outbreaks.
Specific procedure and it have been good implemented and maintained, review of equipment performance to testing, checking as define on plan for fire drill was conducted on 26/2/2022.

COVID-19 Outbreak: The site have emergency response plan to COVID-19 risk mitigation plan on documented emergency procedure. Site all production staff working 1 shift: 8.00 am -5.00 pm All staff must be monitored body temperature before factory entrance, production area entrance. And spray alcohol on the hand at entrance factory, entrance production area and every use the toilet.

Product withdrawal / Recall procedure / Traceability system; Ms. Prakaiwan FSTL
Recall/ Withdrawal procedure was established including responsibility person, recall procedure and frequency of recall test. Identification and traceability procedure was established. The Identification procedure cover identification lot No. material, product in process. Traceability and mock recall test on 17/6/201 for product John Gluten free Soy sauce 1000L Lot Mfg 25052021 amount 5, total 2 hours 14 minutes with 100% recovery. And forward trace for salt 97.5% Lot 28042021 amount 15000 kgs which can trace within effective time and mass balance achieved.

Documented Information Control Process; Interviewed Ms. Prakaiwan FSTL,
The company has been established procedure for control of document including internal and external document. Master list shown as procedure, WI, Standard, etc. Sampling internal and external document i.e. PM-GR-25 rev 9, PM-GR-20 rev. 7, PM-GR-03 rev. 23, etc. Seen effectiveness of approval, distribution and recall the obsolete version by document position. Records remain legible, readily identifiable and retrievable include retention time and location use. The back-up process was done weekly and record in FM-GR-144, latest on 1/3/2022.

Human resource, competence, awareness and training; Interviewed Mr. Thaksin-HR,
The recruitment procedure and training procedure was established and implemented. The organization has defined manpower appropriately for the FSMS. All resource need are sufficiently provided. Competency need and training need for each position are clearly defined in job description and core competence. New employees are competent and well trained as JD specified. Current employees are competent for each job and well completely trained as yearly training plan FM-GR-17. Found training evidence covered food allergen control on 15/6/21, CCP, GMP, HACCP on 7/4/21, Site security on 7/4/21, Food fraud on 8/4/21, etc. By sampling training record FM-GR-21 for PD and QC staff. Evaluation of training defined in as annual training plan are completely performed and updated in their training history completely.
Found provide of equipment food grade, available for using and found maintenance program set up cover all machine and equipment.

Northern Food Complex Co., Ltd. **AUDIT REPORT**

Found controlling good work environmental, monitoring all facility and production building surround in good condition which control risk of contamination clearly.

Control of externally provided processes, products and services; Interviewed Ms. Premmika - PC

Seen process of supplier/external provider service selection as defined to procedure and purchasing process as defined to procedure PM-PC-01. Selection was done before approved and registered to supplier list by criteria that specify and record in approved vender list FM-PC-01. Seen purchase raw material such as soybean PO65020002, rice PO65020072, glass bottle PO65010038, organic sugar PO64090093, etc. All purchase order can be control for quality of raw material, packaging and on time delivery from supplier is clearly. External provider service/Supplier; See the company was maintained for external provider cover Laboratory service, Maintenance service, Calibration service, and evaluation at least monthly in FM-PC-12 e.g. Thai calibration, Yokogawa, Central Lab, SGS, Thai Malaya glass, Southeast Asia Organic, etc.

Production process SD-120

-Food safety team FM-GR-92

-HACCP study FM-GR-93 = Japanese Soy Sauce, Vinegar

-Product description: sauce product, glass/plastic/tin can/mini pack/plastiv drum/bulk pack 1000l, 3 months - 3.0 years, reatail pack/OEM/bulk, allergen, for industry/shop/restaurant.

-Sepecification with chemical, micro, heavy metal, RM spec SP-QC-32;

-Process flow for sauce product is receiving, sieving, cleaning, steaming, cooling, milling, mixing, seeding, koji production, fermentation, squeeze, pasteurized/sterilization, filtration, filling

-Process flow for vinegar is receiving, maixing, cooking, fermentation, pasteurization, filtration and filling.

FM-GR-99 hazard analysis, and seen the hazard was analysed for B/C/P/A/F update 20/07/2020

Decision tree as standard new version as QM-03

FM-GR-100 HACCP plan and oPRP plan

CCP; bottle washing with control pressure ≥ 1 psi, 15 Hz or 10 sec, check every 12 bottle by PD staff, 30 minute or 12 bottles

CCP; sterilization 100-110 C and 15-20 minutes for chilli sauce, temp >90 C and time >15 min for dark and sweet soy sauce, temp 70-80 C time 15-20 minutes for vinegar, Temp 90-95 C flow rate ≤ 53 L/min for Chinese soy sauce, temp 95-100 C flow ≤ 53 L/min for Japanese soy sauce and temp >100 C time >15 min for hoisin sauce and all record at start ad very 10 minute.

CCP; filtration with screen diameter <5 mm, at before and after working by PD&QC staff

oPRP; pasteurized for vinegar, temp >70 C and time >15 minute,

oPRP; pasteurized temp 105-110 C time 40 Hz for Japanese soy sauce, record every 40 minutes.

oPRP; pasteurized 2 at temp 90-95 C time 15-20 minute for Japanese soy sauce

oPRP; magnetic with strength >10000 gauss, and check start and stop process.

- Plan: Validation was maintained for spring roll 12/06/2020 with test report, sweet chilli sauce 12/06/2020, JPN soy sauce 28/05/2020, hoisin 18/07/2020, sweet and sour sauce, vinegar 22/07/2020, magnetic test on 17.01.22

Northern Food Complex Co., Ltd. **AUDIT REPORT**

Verification

-incoming inspection FM-QC-xx for raw material, ingredient and packaging against SD-QC-xx such as; white sesame, organic sesame oil, soy bean, organic soy bean, organic cassava flour, 220 ml glass bottle, PE cap, soy bean, wheat, brown hom mali rice, organic fresh garlic, organic fresh onion, 10 L PET

And check specification

-bottle washing step was verified at monthly with method ST-QC-06 against AOAC 2000 and monitoring of microorganism e.g. TPC, staphylococcus, salmonella

Seen the record process and CCP for product standard soy sauce mfg 11012021, packing size 1000L, FM-QC-60 CCP record/OPRP record

Challenge product "Organic Soy sauce 600 ml mfg 07/12/21 lot 425/21 @ 5469 bottles"

Product was test at annual: mixed soy sauce 18/05/21, vinegar 09/06/21, miso 08/06/21, seasoning sauce 18/05/21, melamine 08/09/21, 3-MCPD 10/09/21, gluten 09/03/21, pesticide 20/05/21, sorbic acid & benzoic 04/03/21
Parameter; aflatoxin, heavy metal, As, Cd, Cu, Pb, Sn, Bacillus, Clostridium, Coliform, EC, Salmonella, Staphylococcus, and YM

Inhouse Lab

-See the procedure and Color, pH, Bx, %Salt, %Alc, TA, SG, viscosity, TKN, TPC, YM, Staphylococcus, Coli, EC, Salmonella, Bacillus,

-final inspection and seen the test with micro method by petri film and COLI-ID, and complete media

-shelf-life was study at incubate 35 C and sampling; rich soy sauce exp 080421, Chinese soy sauce in metal can exp 220220, organic Chinese soy sauce exp 220221, organic brown rice vinegar exp 090421, filtration was valid by SP-GR-138, validate on 25.01.19 washer with pressure

Calibration

-equipment list FM-EN-32

-Check plan FM-QC-07 and during the site inspection and seen the evidence of calibrated tag.

-Result FM-QC-64 for inhouse verification

-FM-QC-64 for equipment in inhouse laboratory and seen the certificate and acceptance criteria then checked, pressure gauge (31/07/21), weight balance at WH (10/12/22), alarm temperature (17/12/21), cooker (30/09/21), thermometer at mxinign 2000 L, thermo-recorder (2907/21), resistance bulb at pasteurization (04/12/21), dial thermometer at bottle washer 12 head (12/06/21), magnet (17/12/21), autoclave (09/11/21), incubator 09/11/21, standard weight 03/10/21

PRPs verified

Northern Food Complex Co., Ltd. **AUDIT REPORT**

- Water and daily check for pH and chlorine and seen the weekly micro test FM-QC-88 (coliform, EC) and test on 06/05/21, daily check pH, hardness and Chlorine FM-QC-87, steam check 17/06/21
- WI-GR-08 Glass and plastic was control and seen the record for filling room FM-GR-54 at packing area for Dec 21-Jan 22
- WI-GR-09 Waste control and during factory inspection and then found that
- WI-GR-11 Cleaning program and swab test ST-QC-06 on monthly and seen the bottle wasing step was verified at monthly with method and monitoring of microorganism e.g.TPC, staphylococcus, salmonella. Seen the partial CIP system for sauce process line at pasteurization step by chemical (NaOH, mixed phosphoric and nitric acid)
- WI-GR-07 Pest controls that effective handling sub-contractor "ADVANCE" every 3 months for in-deep survey and seen the contract with detail of method and chemical.
- WI-GR-06 Personal hygiene was checked weekly FM-GR-26 by QC as policy for personal hygiene in place and record and seen the record for fermentation area, packing room, preparation room and pasturization area.
- WI-GR-10 Chemical control, chemical control procedure in place
- Allergen verification was test for soy 10/02/22, sesame 10/02/22, wheat 10/02/22
- swab test for hand, utensil, filling machine at monthly FM-QC-32

Maintenance and Utility (Boiler and water plant)

PM-EN-01

Machine list FM-ST-02

- PM plan FM-EN-26 was covered
- Monthly check as FM-EN-04
- checklist FM-EN-06; Maintenance process has implemented and maintained as follow the document to preventive maintenance for all infrastructure such as machines and equipment in the organization.
- Seen the machine and equipment that were done the preventive maintenance as PM plan e.g., conveyor screw, wheat roaster, moromi ferment tank, soy sauce pump, soy mixing tank, wrapping machine, filter air, 12 head bottle asher.
- Outsource control by engineer for performance evaluation.

Identified opportunities for improvement

- The responsible person should reconsider to review the corrective action for NCR that action to actual root cause defined.
- The responsible person should reconsider to define the suitable time frame of health examination report from new staff.

Conclusions regarding risk assessment/risk treatment processes

Interviewed Ms. Prakaiwan – Food safety team leader, site representative for remote audit, Risk and Opportunity including assessment criteria was established and last reviewed on 3/5/2021. Seen defined Likelihood and Impact defined each level then summary by matrix Likelihood and Impact then manage as per risk identified (Low, Medium, High). The management such as monitoring, control measure and action plan established.

Northern Food Complex Co., Ltd. **AUDIT REPORT**

In this period there were 2 High risks identified as COVID-19 outbreaks which found action to limited external person came into factory and monitor staff with ATK and risk of breakdown machine grade A such as Koji, Boiler set which found applied MRP use for PM.

Conclusions regarding context of the organization

Context of the organization; Interviewed Ms. Prakaiwan – Food safety team leader, site representative for remote audit,

Organization determined, monitored, and reviewed external/internal issues affecting ability to achieve intended result(s) of FSMS implementation by determined internal and external issue in FM-GR-173 as follows;

External issues; Customer need GFSI certified, legal change, seasonal main raw material, etc.

Internal issue; Old structure, Old machine, insufficient micro lab instrument, new staff lack awareness, insufficient storage area, etc.

Understanding the needs and expectation of interested party;

Organization was determined interested parties covered Owner/ Shareholder, Employees, External Provider, Customer, Government, etc. latest review on 3/5/2021 as FM-GR-194.

- Owner/ Shareholder (high profit, no complaint, business growth)
- Employees (training for skill improvement, salary, benefits, happy workplace)
- Customer (Product quality and safety, reasonable price, on time delivery)
- Supplier/Provider (continue order)
- Government (Define to regulation)

Impact of Significant Changes (If Any)

N/A

Additional information/unresolved issues

Use logo as follow AB and CB' rule and regulation.

The company uses the certification mark on their brochure and business card which is complied with "INTERTEK" guideline.

This report (including any enclosures and attachments) has been prepared for the exclusive use and benefit of the addressee(s) and solely for the purpose for which it is provided. Unless we provide express prior written consent, no part of this report should be reproduced, distributed or communicated to any third party. We do not accept any liability if this report is used for an alternative purpose from which it is intended, nor do we owe any duty of care to any third party in respect of this report. This report and all its content is confidential and remains the property of Intertek

Communication/Changes during the visit (if applicable)

Change contact person

Northern Food Complex Co., Ltd. **AUDIT REPORT**

To be: Prakaiwan Tepmanee, prakaiwan4213@gmail.com

Phone: +6653-673985-6

Mobile: + 66 69106049

References to appendices:

Interview record; Audit plan (as executed)

The audit has been performed according to audit plan meeting audit objectives, scopes and duration (on-site and off-site) as given within the audit plan

performed as audit plan

Extent of use and effectiveness of Information and Communications Technology (ICT).

ICT was used for 100% of this audit.

ICT used was effective in achieving the audit objectives.

NOTE: -The operation control - Video conferencing @ Client site audited.

-All documented information were verified via E-mail, shared screen and interviewed FSMS team.

-Verified the physical presence thru "Microsoft Team" remotely.

-Found effectiveness of implemented during ICT remote audit from interview and observe the evidence. Ms.Prakaiwan (FSTL), is

the site representative for remote audit.

Northern Food Complex Co., Ltd. **AUDIT REPORT**

LEAD AUDITOR RECOMMENDATION

Lead Auditor Recommendation for ISO 22000:2018

The management system is in conformity with the audit criteria and can be considered effective in assuring that objectives will be met. Continued certification is therefore recommended.

OTHER OR ADDITIONAL LEAD AUDITOR RECOMMENDATION

Due to the Covid-19 outbreak situation in Thailand and found increasing infectious person which have strictly traveling control, this cause to remote audit for this activity. However, found the site have emergency response plan to COVID-19 risk mitigation plan on documented emergency procedure.

Site all production staff working 1 shift: 8.00 am -5.00 pm All staff must be monitored body temperature before factory entrance, production area entrance. And spray alcohol on the hand at entrance factory, entrance production area and every use the toilet.

CLIENT ACKNOWLEDGEMENT

Client Representative Name and Mailing Address:	Prakaiwan Tepmanee Northern Food Complex Co., Ltd. 99/3 Moo 1, Chiangrai-Dongmada Road, Maekorn, Maung, Chiangrai 57000 Thailand
Acknowledged By:	Prakaiwan Tepmanee

This report is based on a sample of evidence collected during the audit; therefore the results and conclusions include an element of uncertainty. This report and all its content is subject to an independent review prior to a decision concerning the awarding or renewal of certification.