Client Ref. No.	
Organization Name	
Address	
Site Address (If any)	
No. of Employees	
E mail id	
Contact Person	
Telephone/Fax	
Scope	
Food Chain Category	
Number of HACCP Studies	
Audit Team	
Audit Man-days	
Brief about the organization	
Audit Objective	The stage 1 audit shall be performed • to audit the client's FSMS documentation; • to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit; • to review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the FSMS • to collect necessary information regarding the scope of the FSMS, information used to conduct the hazard analysis (preliminary steps) and to select pre-requisite programmes, methodology for hazard • Analysis and justification for determination of acceptable levels, pre-requisite programmes and/or HACCP plan, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. legal aspects of the client's operation, associated risks, etc.); • to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit; • to provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the client's FSMS and site operations in the context of possible significant aspects; • to evaluate if the internal audits and management review are being planned and performed, and that the • the organization has identified PRPs that are appropriate to the business e.g. regulatory and statutory requirements; • the FSMS includes an adequate process for identification of the organization's food safety hazards and subsequent determination of their

	significance; • for the relevant sector(s) of the organization, food safety legislation is in place; • the FSMS is designed to achieve the organization's food safety policy; • the FSMS implementation program justifies proceeding to the audit (stage 2); • the validation, verification and improvement programs conform to the requirements of the FSMS standard; • the FSMS documents and arrangements in place to communicate internally and with relevant suppliers • And customers interested parties; • Additional documentation has to be reviewed and/or what knowledge has to be obtained in advance.

Guidance Note for Opening Meeting Agenda:

Sl.	Topics	Particular	Completed
1	Thanks	Give an expression of thanks to the auditee for Choosing BCI.	✓
2	Attendance	Request attendees to record their attendance	✓
3	Introduction	Remind timeline to close opening meeting in 15/30 minutes.	✓
		Request to give brief introduction with brief roles (participants, observers, guides & Translators)	✓
4	Scope / Summery	Confirmation of the audit objectives (Assessment for ISO 22000), scope and criteria;	✓
5	Changes	Changes in documents/Fact to the Application	✓
6	Plan	Confirmation of the audit plan and other relevant arrangements with the auditee, such as the date and time for the closing meeting, any interim meetings between the audit team and the auditee's management, and any late changes;	✓
7	Method	Methods of Audit: Review of Documents & Records, Interview, Physical evidence…	✓
8	Sampling	Advise auditee that the audit is sample basis and findings will be based on a sample of the information selected;	✓
9	Communication Channel	Confirmation of formal communication channels between the audit team and the auditee; identify the facilitators.	✓
10	Language	Confirmation of the language to be used during the audit;	✓
11	Development	Confirmation that, during the audit, the auditee will be kept informed of audit progress;	✓
12	Resource	Confirmation that the resources and facilities needed by the audit team are available; like Guide, Interpreters, Facility etc.	✓
13	Confidentiality	Confirmation of matters relating to confidentiality and information security;	✓
14	Safeguard	Confirmation of relevant health and safety, emergency and security procedures for the audit team;	✓
	Reporting of	NC may be against a clause of the standard i.e. ISO 22000, it's not	✓

15	Findings	against any person or department.	
		Method of reporting audit findings & grading (Major, Minor &Observation)	✓
		Time for corrective action (Minor/15 Days, Major/60 Days)	✓
		Report time: Finding will be discussed at closing meeting and report will be given within 2 working days.	✓
16	Termination	Information about conditions under which the audit may be terminated;	✓
17	Audit Declaration	Verify that all members of the organization know what is happening;	✓
18	Union/Problem	Ascertain union relations or any potential problems;	✓
19	Confidentiality	Remind the auditee that the audit is confidential.	✓
20	Closing Meeting	Timing of closing meeting; Participation of the Top Management & where appropriate, those responsible for the functions or processes which have been audited in the closing meeting.	✓
21	Appeals / Complaint	information about any system for feedback from the auditee on the findings or conclusions of the audit, including complaints or appeals	✓

Recording of Attendance

AUDIT ATTENDANCE SHEET				**Record Attendance (by LA)**	
S. No	***Name***	**Position**	**Department**	**Opening**	**Closing**
1					
2					

Audit Duration for Stage 2	**02**
Any change in employee details?	No
Any Change in Scope?	No
Any Additional information?	No

AREA OF CONCERN WHICH MAY BE IDENTIFIED AS NON-CONFORMITIES DURING STAGE 2 AUDIT
Observation: 1. During the site tour, it was observed that calibration record ref no.: BCFL/CR/01 Rev: 00 for Paratha tava equipment is not maintained, and the frequency of calibration activities is not consistently documented. 2. While cleaning procedure ref no.: BCFL/WI/PR/07 Rev: 00 is in place, it was observed that there is an opportunity to improve the verification process to ensure the effectiveness of cleaning activities. 3. While allergen management procedure ref no.: BCFL/WI/PR/04 Rev: 00is established, it was observed that there is an opportunity to improve the communication of allergen information throughout the

production process, ensuring clarity and accuracy. 4.Mockdrill done by mixing in here and franchisee level but not well documentee

Non-Conformities Raised __0___ Nonconformance identified in the Stage 1 audit, details of Non-Conformance in AFAR (BCI-F-011). Please respond by using your own corrective action form and include the root cause analysis with systemic corrective action or AFAR can be used. Failure to include root cause analysis with systemic corrective action will result in your responses being rejected by Lead Auditor.

Part-01 Verification of the requirements

Clause	Subject	C/NC /O	Provide reference doc or procedure or records
4	**Context of the organization**		
4.1	Understanding the organization and its context	C	
4.2	Understanding the needs and expectations of interested parties	C	
4.3	Determining the scope of the food safety management system	C	
4.4	Food safety management system	C	
5	Leadership		
5.1	Leadership and commitment	**C**	
5.2	Policy	C	
5.3	Organizational roles, responsibilities and authorities	C	
6			
6.1	Actions to address risks and opportunities	C	
6.2	Objectives of the food safety management system and planning to achieve them	C	
6.3	Planning of changes	C	
7	Support		

Clause	Subject	C/NC /O	Provide reference doc or procedure or records
7.1	**Resources** People Infrastructure Work environment Externally developed elements of the food safety management system Externally developed elements of the food safety management system	C	
7.2	Competence	C	
7.3	Awareness	C	
7.4	**Communication** External communication Internal communication	C	
7.5	Documented information	C	
8	Operation		
8.1	Operational planning and control	C	(FSTL) is responsible for operation planning. Verified the operation planning ref no: BCFL/FSMS/PR/09 Rev: 00 date: 02/10/2023.
8.2	Prerequisite programmes (PRPs)	C	
8.3	Traceability system	C	
8.4	Emergency preparedness and response	C	
8.5	Hazard control Characteristics of raw materials, ingredients and product contact materials Characteristics of end products Intended use Flow diagrams and description of processes	C	by food safety team.
8.5.2	Hazard analysis Hazard identification and determination of acceptable levels Hazard assessment Selection and categorization of control measure(s)	C	

Clause	Subject	C/NC /O	Provide reference doc or procedure or records
8.5.3	Validation of control measure(s) and combinations of control measures	C	
8.5.4	Hazard control plan (HACCP/OPRP plan) Determination of critical limits and action criteria Monitoring systems at CCPs and for OPRPs Actions when critical limits or action criteria are not met Implementation of the hazard control plan	C	
8.6	Updating the information specifying the PRPs and the hazard control plan	C	
8.7	Control of monitoring and measuring	C	
8.8	Verification related to PRPs and the hazard control plan	C	
8.9	Control of product and process nonconformities Corrective actions Handling of potentially unsafe products Withdrawal/recall	C	
9	Performance evaluation		
9.1	Monitoring, measurement, analysis and evaluation	C	
9.2	Internal audit	C	
9.3	Management review	C	
10	Improvement		
10.1	Nonconformity and corrective action	C	
10.2	Continual improvement	C	
10.3	Update of the food safety management system	C	
	• **Site Tour**		

Guidance Note for Closing Meeting Agenda:

Sl.	Topics	Particular	Verified
1	Introduction	Particularly if anybody not present at the opening meeting	✓

2	Thank to company	Thanks to your Team for cooperation during the audit and arrangements for the Audit.	✓
3	Reaffirmation of Scope	Reconfirm scope of activities assessed	✓
4	Confirm confidentially	Reassure the confidentiality for any information assessed during the audit.	✓
5	Appreciation	Comment on good points within the organization	✓
6	Disclaimer	This was audit on sample basis, and it should not mean, that other deficiencies do not exist.	✓
7	*Audit Team Comment*	*Summary of individual findings from each auditor (if audit team consist more then 1)*	✓
8	*Decision*	*Significance of categories of non-compliance and summary of findings ,* *Summary of overall findings and recommendation/Decision*	✓
9	*Acknowledgment*	*Assure that client acknowledge the NCs.*	✓
10	*Future Plan*	*If any NC is identified, Submitting plan for corrective action together with the objective evidences*	✓
11	*Follow-up action*	*Where do we go from here? emphasizing that the final decision regarding certification will be taken by BCI Certification*	✓
	Surveillance Audit	*An explanation of the continual Audit (surveillance) procedure and other future actions*	✓
12	Appeal	Explain the Appeal & Complaint option available to the client against any decision of the Audit team.	✓
13	Invite questions	Invite questions, clarification from company (But no Consultancy)	✓
14	Signature	Obtain company representative's signature on report to acknowledge receipt.	✓

Part-02

	Audit Checklist (Complete the following and check mark 'Result'**)**		**Status of Compliance**	
Sl.	**Actions by Auditor**	**Audit Activities**	**Yes**	**No**
1	Determine–Policy & Objective	Is the FSMS is designed properly to achieve the organization's food safety policy?	☒	☐
2	Prerequisite Programmes (PRPs)	Has the organization identified the PRPs that are appropriate to the business (e.g. regulatory and statutory requirements)	☒	☐
3	Implementation of the FSMS Programme	Does the FSMS implementation Programme justify proceeding for the Stage 2 Audit?	☒	☐
4	Determine- Multi-sites sampling	Does the scope desired by the client include more than one site? (If "Yes", Collect the Information and check the sampling plan for number of sites to be audited	☐	☒
5	Check–Mandatory Activities	Minimum one complete internal audit and management review before Stage 2 Audit.	☒	☐

	Audit Checklist (Complete the following and check mark 'Result'**)**		**Status of Compliance**	
Sl.	**Actions by Auditor**	**Audit Activities**	**Yes**	**No**
6	Documentation	Are the documents and arrangements in place to communicate internally and with relevant suppliers, customers and interested parties?	☒	☐
7	Additional Document	Any additional Document needs to be reviewed and /or what knowledge needs to be obtained in advance? If yes detail..	☒	☐

Part-3:

Audit Summery &Recommendation	
Regulations, Rules, Laws, etc., applicable	
Licenses, certificate, etc., related to FSMS and obtained by organization	
Validation, Verification and Improvement programmes conform to the requirements of the Standard	
Hazard control plan (HACCP/OPRP plan) PRPs(the applicable part of the ISO/TS 22002 series) Traceability system(applicable statutory, regulatory and customer requirements)	
Complexity of processes including outsourcing activities (if any)	
Implementation status (Management review, Internal Audit, Emergency Preparedness &withdrawal/recall or practice withdrawal/recall)	
Is the number of HACCP studies provided in application form is correct?	Yes
Any addition in man-days required for stage-2?	**No**
RECOMMENDATION	
Recommended for Proceeding to Stage 2	Yes
Not Recommend proceeding to stage 2 until objective evidence has been submitted to BCI showing that the concerns raised by the auditor (s) have been rectified. A date for stage 2 will then be agreed. (within 60 days from this audit date)	
Not Recommend proceeding without a further stage 1 Audit due to the severity of the concerns raised by the audit team	

Sign Off:	
BCI Report Submission	Client Acceptance for Report
Name of Auditor:	Name:
Signature:	Signature: