**Annex 3 to DTAS Operating Protocol**

**DTAS Assessor Evaluation Report**

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| ***PART A: SUMMARY*** |

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| **Trainee Assessor’s Name:** |  |
| **Witness Assessor’s Name:** |  |
| **Name of haulier:** |  |
| **Haulier depot:** |  |
| **Date of audit:** |  |
| **Start Time:** |  |
| **End Time:** |  |

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| ***PART B: MANAGING THE ASSESSMENT PROCESS*** |

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| **ASSESSMENT PREPARATION**  WHAT GREEN LOOKS LIKE:   * Appointment made in good time * Haulier notified of witnessed assessment * Correct PPE worn * Assessor smart in appearance * Correct paperwork is used | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |
| **INTRODUCTION / OPENING MEETING**  WHAT GREEN LOOKS LIKE:   * Explains to haulier representative the process of assessment, what they will want to look at and who they will want to speak to * Explains certification process including implications of non-conformances * Explains confidentiality of assessment * Asks haulier representative if they have any questions before starting. | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |
| **CLOSING MEETING**  WHAT GREEN LOOKS LIKE:   * Provides constructive and meaningful feedback to the haulier representative upon completion of the audit * Explains to haulier representative any non-conformances and agrees upon appropriate evidence of completion of corrective actions * Explains the certification process including the management and closure of any non-conformances | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |
| **ADMINISTRATION, REPORTS AND CLOSURE OF ANY NON-CONFORMANCES SUBSEQUENT TO THE AUDIT**  **WHAT GREEN LOOKS LIKE:**   * Effective communication with the haulier representative subsequent to completion of the audit to ensure effective closure of any non-conformances * Comprehensive, accurate, correct and appropriate completion of the DTAS Certification Report * Timely submission of the DTAS Certification Report to the DTAS Administrator | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |

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| ***PART C: ASSESSMENT TECHNIQUE*** |

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| **LEADING / MANAGING THE ASSESSMENT**  WHAT GREEN LOOKS LIKE:   * Sets out what needs to be seen (i.e. is not led by the haulier representative) * Is not diverted away from any areas by the haulier representative * Comprehensive assessment of the site, tankers, office and resources | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |
| **USE OF OPEN / CLOSED QUESTIONS**  WHAT GREEN LOOKS LIKE:   * Effectively uses open questions to establish facts * Does not ask closed questions and then not get to the detail / facts | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |
| **USE OF AUDIT TRAILS**  WHAT GREEN LOOKS LIKE:   * Uses audit trails effectively to verify systems in place * Seeks to verify what they have been told by using detailed analysis and assimilation of facts from various system paperwork and interviews of staff across the site | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |

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| **TALKING TO STAFF**  WHAT GREEN LOOKS LIKE:   * Uses conversational style and puts staff at ease * Talks to staff to understand what they do rather than be told by the member what they are supposed to do * Verifies staff are demonstrably competent requesting they show and tell how they undertake their duties | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |
| **ENSURING UNDERSTANDING THROUGHOUT ASSESSMENT**  WHAT GREEN LOOKS LIKE:   * Uses conversational style and puts haulier representative and staff at ease in order to get to the facts * Points out non-conformances as they arise and explains the importance of the relevant standard to member | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |

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| ***PART D: STANDARDS ASSESSMENT*** |

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| **GENERAL MANAGEMENT (Module A)**  WHAT GREEN LOOKS LIKE:   * Gains an understanding of the operation and management of the operation through observation and effective questioning * Establishes whether there are any associated sub-depots / outbased reload sites, sub-contractors, traction-only and assess accordingly * Effectively assess   + local authority registration   + self-audit (including competence of auditor)   + incidents and complaints   + notifiable disease outbreaks   + emergency procedures and business continuity procedures   + personal hygiene policies and procedures   + HACCP * Ensure presence and effectiveness of health screening procedures through questioning and observation, with particular emphasis upon the action taken in the event of a concerning screening * Thorough assessment of milk rejection procedures and compliance with ABP / waste transport legislation * Establish how tankers are being monitored for internal hygiene and assess accordingly * Establishes all sites where CIP of tankers is undertaken (including sub-depots) * Where CIP is undertaken by dairy sites and/or third-party CIP providers, obtain evidence of compliance with the Dairy UK Tanker Cleaning Code of Practice. * Thorough assessment of tankers both externally and internally through observation and inspection * Identification of potential contamination issues and the implementation of effective procedures to manage and minimise such risks * Ensure effective identification and inventory of tankers through observation and audit trails * Establish that procedures for management of tankers entering the fleet are in place, effective and are implemented * Ensuring that effective and robust procedures are in place to ensure acceptable tanker hygiene through questioning, observation and audit trails * Ensure that robust security measures are being implemented and systems are in place to check effectiveness e.g. simulated security breaches * Uses audit trails to verify they have the necessary records and check that all such records are current and applicable e.g. load rejection and traceability * Uses audit trails to verify that personnel (including non-directly employed personnel) have received the necessary training and are demonstrably competent to undertake their roles * Establish whether specialist milks and / or milk fractions are transported and if so ensure that robust procedures are in place to ensure effective segregation and prevent contamination * Assessment of procedures to ensure their effectiveness and compliance with the DTAS Standards * Effective validation of the correct implementation of procedures by relevant personnel as detailed e.g. in the Drivers’ Handbook, through observation and effective questioning * Familiarise themselves with the depot and any associated sub-depots and inspect all applicable resources and parts of the operation and assessment of all relevant standards | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
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| **SUB-DEPOTS, OUTBASED RELOADS and USE OF LAY-BYS (Module B)**  WHAT GREEN LOOKS LIKE:   * Establish whether outbased reload sites and /or lay-bys are being used and, if so, correctly identify all such sites and select at least one outbased reload site for a visit (in consultation with the DTAS Administrator if necessary) * Inspection of risk assessments for all above sites as applicable * Checks local authority registration as applicable * If applicable, visit at least one outbased reload site and assess its suitability and adherence to correct procedures and DTAS Standards | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
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| **TIMESCALE:** |  |
| **FARM COLLECTION and ROADSIDE COLLECTION (Module C)**  WHAT GREEN LOOKS LIKE:   * Assessment of procedures to ensure their effectiveness and compliance with the DTAS Standards * Effective validation of the correct implementation of procedures by relevant personnel as detailed e.g. in the Drivers’ Handbook, through observation and effective questioning * Assessment of heat treatment requirements * Ensuring calibration procedures of flowmeters, handheld temperature probes and inline temperature probes (where they are in use) are in place, effective and complied with, through questioning and audit trails * Confirm that effective sample management procedures are being implemented * Confirm that effective milk testing procedures are being implemented as appropriate * Establish whether there are any roadside farm collections and assess accordingly including inspecting risk assessments | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |
| **RELOAD (Module D)**  WHAT GREEN LOOKS LIKE:   * Assess procedures for loading, transhipment and discharge of loads including interview with a driver * Inspect test facilities if applicable | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |
| **MILK FRACTIONS (Module E)**  WHAT GREEN LOOKS LIKE:   * Establish presence of a HACCP or customer procedures and assess how these are reviewed and implemented * Assess procedures for loading and discharge of milk fractions including interview with a driver | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
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| **DEPOT ON-SITE CIP (Module F)**  WHAT GREEN LOOKS LIKE:   * Identifying that the depot has on site CIP facility * Thorough and effective inspection of the CIP facility and associated resources and documentation to include:   + Security of plant and chemicals   + Availability of operating instructions   + Suitability of chemical storage   + Emergency shower and eye wash   + Data sheets   + Availability of PPE   + Spillage procedures   + Maintenance / servicing * Thorough and effective assessment of the operation and monitoring of the CIP facility to include:   + Temperature and concentration checks   + Flow rate / pressure checks   + Final rinse water suitability   + Suitability of chemicals * Assessment to ensure the absence of QACs in CIP chemicals used | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| TRACTION-ONLY (Module G)  WHAT GREEN LOOKS LIKE:   * Confirm that effective sample management procedures are being implemented by trained drivers * Assess procedures for discharge of milk, including interview with a driver * Inspect records to ensure appropriate training procedures are being implemented for milk fractions | **SCORE**  **Green (Good)**  **Amber (Improvement needed)**  **Red (Unacceptable):** |
| **COMMENTS:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |

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| ***PART E: OVERALL PERFORMANCE & RECOMMENDATION*** |

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| **OVERALL PERFORMANCE & RECOMMENDATION (GREEN/AMBER/RED):**  NB: a performance rating of green can only be achieved if green is achieved in every section above  **WITNESS ASSESSOR’S COMMENTS:** |

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| **TRAINEE ASSESSOR’S COMMENTS:** (optional) |

Signed by Witness Assessor \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signed by Trainee Assessor \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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| *Please email form* ***on completion*** *to* [*iwakeling@dairyuk.org*](mailto:iwakeling@dairyuk.org)  *or post to Ian Wakeling, Dairy UK, 6th Floor, 210 High Holborn, London WC1V 7EP* |