**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:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |

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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:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **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:** |  |
| **ACTION PLAN FOR IMPROVEMENT:** |  |
| **TIMESCALE:** |  |

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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**or post to Ian Wakeling, Dairy UK, 6th Floor, 210 High Holborn, London WC1V 7EP* |