CONFIDENTIAL

Surveillance Audit

FSSC 22000 V4.1 Food Safety Management System Audit Report

Organisation	**LA FABRIL S.A.**		
Registered Legal Name (if different to above)			
Site Registration Number	*Chamber of commerce or government registration number if applicable*		
Address	Km 5 1/2 Vía Manta – Montecristi		
City	Manta	**Region**	LATAM
Postcode			
Country	Ecuador		
Client Representative	Víctor Loayza	**E-mail**	vloayza@lafabil.com
Site Food Safety Team Leader	Mirella Urdiales	**E-mail**	murdiales@labril.com

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Additional Standard(s) (covered in this audit), if any:	ISO 9001 GMP / HACCP		
Accreditation Body(s)	**UKAS**		
Site(s) audited:	Km 5 1/2 Vía Manta – Montecristi		
Date(s) of audit(s):	12/12/2017 13/12/2017 14/12/2017	**Last Date Previous Audit**	24/06/2016
		Certificate Expiry Date:	28 October 2019
Total Man Days	*4*	**Previous Audit Type:**	Recertification
Audit Time Justification	*De acuerdo al PWS* *According to PWS*	**Hours Spent on Product Realization:**	*16*
Deviation from audit plan and justification	*Sin desviación* *No devation*		
No. of FTE Employees:	2100	**No. of Shifts:**	3
No. of HACCP Plans:	3	**No. of Production Lines:**	3
Food Chain Category:	☐ A I Farming of Animals for Meat/ Milk/ Eggs/Honey ☐ A II Farming of Fish and Seafood ☐ C I Processing of perishable animal products ☐ C II Processing of perishable plant products ☐ C III Processing of perishable animal and plant products(mixed products) ☒ C IV Processing of ambient stable products ☐ D I Production of Feed ☐ D II Production of Pet Food (PAS222) ☐ D II Production of Pet Food (ISO/TS2202-1) ☐ E Catering ☐ F I Retail ☐ G I Provision of Transport and Storage Services for Perishable Food and Feed ☐ G II Provision of Transport and Storage Services for Ambient Stable Food and Feed ☐ K (Bio) Chemical Manufacturer ☒ I Production of Food Packaging and Packaging Material	**Food Sector(s):**	C4c, C4d, I1
Lead auditor:	Glenda Naranjo M. (GNM)		
Team members:	Javier Pazmiño M. (JPM) Luis Arce V. (LAV)		
Additional attendees and roles:	Alejandro Loor (AL) – Auditor ISO 9001 Paulina Calupiña (PC) – Auditor ISO 9001		

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	Diego Moreno (DM) – Experto Técnico, procesos excluidos de FSSC 22000
Scope of certification	FSSC 22000V4 Diseño, manufactura, distribución y venta de grasas y aceites comestibles, margarinas y sucedáneos de chocolates incluyendo la elaboración de envases plásticos para alimentos GMP / HACCP Manufactura (recepción de materia prima, refinación, fraccionamiento y transformación) y envasado de grasas y aceites comestibles, margarinas y sucedáneos de chocolates incluyendo la distribución de los productos terminados desde el Centro Nacional de distribución *FSSC 22000V4* *Design, manufacture, distribution and sale of edible fats and oils, margarines and chocolate substitutes including the manufacture of plastic containers for food.* *GMP / HACCP* *Manufacturing (raw materials reception, refining, fractioning and processing) and packaging of edible fats and oils, margarines and chocolate substitutes including the distribution of finished products from the National Distribution Center.*
Exclusions from Scope	Productos de higiene (jabón de lavar, detergentes, desinfectante, lava vajillas, suavizante) y cuidado personal (jabón de tocador, Shampoo, Acondicionador) componentes y derivados lípidos industriales (bio combustibles y ácidos grasos), productos de grasas y aceites vegetales orgánicos *Hygiene products (washing soap, detergents, disinfectant, dishwashing detergent, softener) and personal care (toilet soap, shampoo, conditioner) components and derivatives industrial lipids (bio fuels and fatty acids), fats products and organic vegetable oils*
Description of Organisation	*La Fabril es una empresa ecuatoriana que inició sus operaciones industriales en 1966 como comercializadora de algodón en rama, para luego extenderse al sector agroindustrial en 1978 como refinadora de aceites y grasas vegetales.* *Con una sostenida tasa de crecimiento durante los últimos 20 años, en el 2002, La Fabril adquirió el negocio de aceites y grasas de Unilever Best Foods, que incluyó la unidad productiva de las marcas de aceite La Favorita, La Favorita Light, Criollo, La Favorita Achiote y las marcas de margarina Marva y Hojaldrina, entre otras.* *LA FABRIL impulsa una estrategia de mercadeo imaginativa y agresiva siendo los primeros en lanzar al mercado ecuatoriano productos como:* *• Mantecas 100% vegetal, sin sabor, en empaques reutilizables.* *• Aceite para consumo en fundas.* *• Aceite de soya TRIREFINADO, especial para el enlatado de atún.* *• Margarinas de mesa sin materias primas hidrogenadas* *• Productos de chocolatería para línea industrial* *La empresa cuenta con un área específica para la recepción y almacenamiento de materias primas e insumos, área de refinación, transformación, áreas de envasado independiente de aceites y de grasas y margarinas, y bodega de productos terminados; así mismo cuentan con comedor, departamento médico, laboratorios de control de calidad, área de servicios y un área de desarrollo de productos.*

	La organización cuenta con las líneas de proceso de: Fraccionamiento, Refinería, Manufactura de margarinas y grasas y Envasado de aceites, así como una planta de chocolate industrial, dentro de la cual se manejan los procesos de pesado de ingredientes en función de la formula definida, mezclado, molienda, agitación, temperado, moldeado o formado, y se incluye el soplado de envases para finalmente envasar – empacar y para posteriormente pasar al almacenamiento de producto terminado en el centro de distribución bajo condiciones controladas. *La Fabril is an Ecuadorian company that began industrial operations in 1966 as a marketer of raw cotton, then extended to the agro-industrial sector in 1978 as a vegetable oils and fats refiner.* *With a constant growth rate during the last 20 years, in 2002, La Fabril acquired the oils and fats business of Unilever Best Foods, which included the production unit of La Favorita, La Favorita Light, Criollo, La Favorita Achiote and Margarine brands Marva and Hojaldrina, and others.* *LA FABRIL promotes an imaginative and aggressive marketing strategy, being the first ones to launch to the Ecuadorian market products such as:* *• 100% vegetable butters, without flavor, in reusable packaging.* *• Oil for consumption in covers.* *• TRIREFINATED soybean oil, special for tuna canning.* *• Table margarines without hydrogenated raw materials* *• Chocolate products for industrial line* *The company has a specific area for the reception and storage of raw materials and supplies, refining area, transformation, independent packing areas for oils and fats and margarines, and finished products storage; They also have a dining room, medical department, quality control laboratories, service area and a product development area.* *The organization has the following process lines: Fractionation, Refinery, Margarine and Fat Manufacturing and Oil Packaging, as well as an industrial chocolate plant, within which the ingredients weighing processes are managed according to the defined formula, mixing, grinding, stirring, tempering, molding or forming, and packaging blowing is included to finally pack and later go to the finished product storage at distribution center under controlled conditions*
Head Office details	*N/A*

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AUDIT OBJECTIVES

The objectives of this audit were:
To determine conformity of the management system, or parts of it with audit criteria and its:

- *ability to ensure applicable statutory, regulatory and contractual requirements are met,*
- *effectiveness to ensure the client can reasonably expect to achieve specified objectives, and*
- *ability to identify as applicable areas for potential improvement.*

1. CURRENT AUDIT FINDINGS AND CONCLUSIONS

NUMBER OF NON-CONFORMITIES	
Critical	0
Major	0
Minor	0

This was a process-based audit focusing on significant aspects, risks and objectives required by the standard(s). A sampling process was used, based on the information available at the time of the audit. Methods of assessment included interviews, observation and review of documentation.
The audit team concludes that the organization **has** established and maintained its management system in line with the requirements of the standard and demonstrated the ability of the system to systematically achieve agreed requirements for products or services within the scope and the organization's policy and objectives.
Based on the result of this audit the audit team recommends that certification be CONTINUED

2. SCOPE OF CERTIFICATION

Has this scope been amended as a result of this audit? No

3. NON-CONFORMITIES

Please indicate using the YES/NO drop down where within the clients FSMS the non-conformities were identified.

- The management system documentation demonstrated conformity with the requirements of the audit standard and provided sufficient structure to support implementation and maintenance of the management system. YES
- The organization has demonstrated effective implementation and maintenance / improvement of its management system and is capable of achieving its policy objectives, as well as the intended results of the respective management system(s). YES
- The organization has demonstrated the establishment and tracking of appropriate key performance objectives and targets and monitored progress towards their achievement. YES
- The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system. YES
- The management review process demonstrated capability to ensure the continuing suitability, adequacy and effectiveness of the management system. YES

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- Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard. YES
- Certification claims are accurate and in accordance with FSSC and SGS guidance and the organization is effectively controlling the use of certification documents and marks. YES

Minor Non-conformities

Number	Clause	Details of Non-Conformance	Cause	Planned Actions / Corrective Action	Date to Complete Action

Major Non-conformities

Number	Clause	Details of Non-Conformance	Cause	Planned Action	Detail of action completed/evidence reviewed	Date Reviewed

Critical Non-conformities

Number	Clause	Details of Non-Conformance	Cause	Planned Action	Detail of action completed/evidence reviewed	Date Reviewed

Reviewed and Accepted by:		Date:	

4. PREVIOUS AUDIT RESULTS

The results of the last audit of this system have been reviewed, in particular to assure appropriate correction and corrective action has been implemented to address any nonconformity identified. This review has concluded that:

Any nonconformity identified during previous audits has been corrected and the corrective action continues to be effective.

N° _ of __	Grading	Details of Non- Conformance	Evidence of Conformity	Closed
N° 1 of 2	MI	Se evidencia que la organización no ha contemplado todos los peligros razonablemente esperados, en las diferentes matrices de los procesos como, por ejemplo: Peligro alergénico, en lecitina de soya Contaminantes tales como metales pesados en saborizantes. Se evidencia que a través de los programas PPR implementados (control de proveedores e identificación de producto) estos peligros son monitoreados y se encuentran controlados. *The organization has not reviewed all the expected hazards, in the different matrixes of the processes, such as:* *Allergenic hazard, in soy lecithin* *Contaminants such as: heavy metals in flavorings.* *Through the implemented PRP programs (supplier control and product identification) these hazards are monitored and controlled. This was evidenced during audit.*	Se evidencia que la organización ha implementado las acciones propuestas, no se evidencian desviaciones. Se evidencia que se ha realizado el análisis de peligros, los peligros evaluados en cada uno de los procesos, para el caso del proceso de grasas y margarinas los peligros químicos (aceites y acetaldehído) y no se ha descrito el peligro relacionado a los metales pesados. Pero se pudo evidenciar en el control del producto terminado que se realiza el análisis en un laboratorio externo acreditado con 17025, los resultados anuales evaluados evidenciaron el cumplimiento de los límites establecidos. *The organization has implemented the proposed actions, no deviations are evidenced.* *Hazard analysis was evidenced, the hazards assessed in each process, for Fats and margarines, chemical hazards (oils and acetaldehyde) and hazard related to heavy metals have not been described. But it was evidenced in finished product control that the analysis was performed using an ISO 17025-accredited external laboratory, the annual results assessed evidenced compliance with the established limits.*	Y
N° 2 of 2	MI	Se evidencia que la organización ha definido las medidas de control para eliminar, reducir o prevenir los peligros relacionados con inocuidad. Para el caso del proceso de elaboración de chocolate se identifica que existen medidas de control las cuales no han sido clasificadas de acuerdo a la	Se evidencia que la organización ha implementado las acciones propuestas, no se evidencian desviaciones. Se evidencia que se ha realizado el análisis de peligros, los peligros evaluados en cada uno de los procesos, para el caso del proceso de grasas y margarinas los peligros químicos (aceites y acetaldehído) y no se ha descrito el peligro relacionado a los metales pesados. Pero se pudo	Y

		metodología adoptada por la organización (árbol de decisiones). *The organization has defined control measures to eliminate, reduce or prevent the hazards related to safety.* *In the case of chocolate production, it is identified that there are control measures, which have not been classified according to the methodology adopted by the organization (decision tree).*	evidenciar en el control del producto terminado que se realiza el análisis en un laboratorio externo acreditado con 17025, los resultados anuales evaluados evidenciaron el cumplimiento de los límites establecidos. *The organization has implemented the proposed actions, no deviations are evidenced.* *The hazard analysis was evidenced, it was assessed in each process, for Fats and margarines process the chemical hazards (oils and acetaldehyde) the hazard related to heavy metals has not been described, but it was evidenced that the finished product control is performed. Analysis is performed by an ISO 17025-accredited external laboratory, the annual results assessed showed compliance with the established limits.*	

5. AUDIT ATTENDANCE RECORD – (OPENING, SITE AUDIT, CLOSING)

Name	Position	Opening	Site Audit	Closing
Javier Sánchez	Coordinador de materias primas *Raw Material Coordinator*	X	X	
Juan Camacho	Jefe de envasado de grasas y margarinas Fats and Margarines Packaging Head	X	X	X
Darwin Vera	Jefe de envasado de aceites *Oil Packaging Head*	X	X	X
Carlos Díaz	Jefe de transformación *Transformation Head*	X	X	X
Daniel Bravo	Seguridad física *Physical Security*	X		
Luis Montesdeoca	Coordinador de envaso de aceites *Oil Container Coordinator*	X	X	X
Elvis Llerena	Especialista en seguridad alimentaria *Food Safety Specialist*	X	X	X

Joel Santos	Coordinador de aseguramiento de calidad *Quality Assurance Coordinator*	X	X	X
Andrés Faubla	Asistente aseguramiento de calidad *Quality Assurance Assistant*	X		X
Marcos Sánchez	Jefe de almacenes *Warehouse Manager*	X	X	
Mirella Urdiales	Gerente de aseguramiento de calidad / Líder de inocuidad *Quality Assurance Manager / Food Safety leader*	X	X	X
Fernando Feijoó Ulloa	Seguridad física *Physical Security*		X	X
Verónica Rodríguez Núñez	RR.HH. *Human Resources*		X	X
Zoila Díaz Jaramillo	Control de Calidad *Quality Control*		X	X
Justo Vera Cortez	Refinería *Refinery*		X	X
Andrés Rivera Choez	Grasas *Fats*			X
Marcos Sánchez	CND		X	X
Juan León Bravo	Aseguramiento de calidad *Quality Assurance*			X
Juan Cañarte Chiriboga	Mantenimiento y Servicios *Maintenance and Services*		X	X
Juan Carlos Córdova	RR.HH. *Human Resources*			X
Javier Sánchez	Materia prima *Raw material*		X	X
Pablo Saenz	Desarrollo de negocios *Business development*			X
Raúl Cepeda	Operación A y G *Fats and Oils Operation*			X
Francisco Salinas	Desarrollo de negocios *Business development*			X

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6. AUDIT SUMMARY

Describe any changes in the management systems since the last audit:

No se evidencian cambios que afecten al Sistema e gestión de inocuidad, el cambio en el Sistema hace referencia a la actualización de la versión de FSSC 22000

Summarise any recalls or withdrawals since the last audit:

Ninguna *None*

There should be details here of the documentation sampled, traceability exercise undertaken during the audit as well as those conducted by the site. This section should include all the details of the processes seen during the audit. The checklist documents should simply have the compliance information.	
Food Safety Management System Summary	
Food Safety Management System	*Cuentan con un manual integrado en donde se describe la política integrada de la organización. Se revisa el procedimiento de control de documentos y de registros. Se evidencia que la empresa tiene establecido un control para el manejo de la identificación de los cambios dentro del documento mediante cuadro de actualizaciones en el que se detallan las modificaciones, de igual se evidencia que la empresa determina el manejo de los obsoletos dentro de cada área tomando la decisión de destrucción o mantenimiento de los mismos, en caso de los documentos electrónicos el obsoleto es eliminado de manera automática.* *The company has a manual that describes the integrated policy of the organization. The control of documents and control of records procedure was reviewed. It is evidenced that the company has established a control for the management of the identification of the changes within the document by means of a table of updates in which the modifications are detailed, in the same way it is evidenced that the company determines the management of the obsolete ones within each area taking the decision of destruction or maintenance of the same, in case of electronic documents the obsolete one is eliminated automatically.*
Management commitment	*Se evidencia que la empresa cuenta con una política integrada en la que se incluyen temas de calidad, seguridad y salud, inocuidad y ambiente. Se revisa el estado de la política y los objetivos, La misma fue revisada el 3, Febrero/2015 y no se han realizado cambios. La misma se encuentra Apoderado por la Gerencia General, Ing. Carlos Gonzalez-Artigas Loor. Se evidencia comunicación con los proveedores, cuentan con un departamento de recursos humanos el mismo que se encarga de las comunicaciones internas. Se evidencia que la empresa tiene por efectos la realización de una revisión por la dirección de manera anual. Se revisa registro de revisión por la Dirección.* *The company has an integrated policy that contains: quality, safety and health, safety and environment. Policy and objectives status were reviewed. This was reviewed on February 3, 2015 and no changes have been made. It is held by the General Manager, Eng. Carlos Gonzalez-Artigas Loor. Communication with suppliers was evidenced, they have a human resources department that manages internal communications.*

	It is evidenced that the company performs management review on an annual basis. Record reviewed by the Management was evidenced.
Resource management	*Se evidencia la asignación de los recursos no solo para mantener o mejorar la infraestructura y la productividad de la empresa sino también para los procesos de capacitación requeridos por el personal para dar cumplimiento a esta norma internacional. Cuentan con una ficha de proceso que se encuentra en revisión 00 del 06.11.2017. Se identifican como entradas al proceso los requerimientos de los sistemas de gestión y organismo gubernamentales y Plan de capacitación. Cuentan con una matriz de competencias se evalúan varios cargos como operadores de las diferentes plantas de envasados, ingenieros en procesos, coordinador de aseguramiento de calidad, no se evidencia que para todos los cargos se hayan identificado las competencias en todos los sistemas de gestión.* *The allocation of resources was evidenced, not only to maintain or improve the infrastructure and productivity of the company, but also for the training processes required by the personnel, for complying with this international standard. The company has a process file that is in revision 00 of 06.11.2017. The requirements of the management systems and government agency and Training Plan are identified as inputs to the process. The company has a competencies matrix that assesses various charges; as operators from different packing plants, process engineers, quality assurance coordinator, it is not evidenced that all the positions are identified with the competences in all the management systems.*
Planning and realization of safe products	*La organización cuenta con 4 planes HACCP definidos, con los cuales tiene cubiertos todos los productos que se procesan en las instalaciones, así mismo cuentan con 2 planes HACCP para los servicios industriales. Como resultado del análisis de peligros no se han identificado peligros significativos. La empresa posee un equipo multidisciplinario, tomando en cuenta que existen representantes en cada área de procesamiento tomando en cuenta que los planes HACCP están definidos por áreas de procesamiento. El líder del equipo está a cargo de la Dra. Mirella Urdiales (Gerente de Aseguramiento de la Calidad). En cada uno de los casos se evidencia que la información de las especificaciones técnicas cumple lo requerido en norma, de igual forma se revisan cumplimiento en material de empaque como son temas de declaración de ingredientes y de alérgenos siguiendo normativas legales INEN 1334. Se evidencia que se ha realizado el análisis de peligros, los peligros evaluados en cada uno de los procesos, para el caso del proceso de grasas y margarinas los peligros químicos (aceites y acetaldehído) y no se ha descrito el peligro relacionado a los metales pesados. Pero se pudo evidenciar en el control del producto terminado que se realiza el análisis en un laboratorio externo acreditado con 17025, los resultados anuales evaluados evidenciaron el cumplimiento de los límites establecidos. Se evidencia que se ha definido una revisión del sistema de inocuidad anual, la mejora del sistema se mide a través del cumplimiento de los objetivos. Se evidencian que han realizado su ejercicio de trazabilidad y retiro anual en el mismo se evidencia que se ha realizado la recuperación del 100% del producto.* *The organization has defined 4 HACCP plans, with which all the products that are processed in the facilities are covered, as well as having 2 HACCP plans for industrial services. As a result of hazard analysis, no significant hazards were identified. The company has a multidisciplinary team, there are representatives in each processing area considering that the HACCP plans are defined by processing areas. The team leader oversees Dr. Mirella Urdiales (Quality Assurance Manager). For each one of the cases, it was evidenced that the information of technical specifications complies with the standard requirements, as well as compliance with packaging material such as the declaration of ingredients and allergens according to the INEN 1334 legal regulations.*

	The organization has carried out hazard analysis, the hazards assessed in each of the processes, for the process of fats and margarines, the chemical hazards (oils and acetaldehyde) and the hazard related to heavy metals have not been described. But it was evidenced in finished product control that the analysis was performed in an ISO 17025-accredited external laboratory. The annual results assessed showed compliance with the established limits *The organization has defined an annual review of the Food Safety system. System improvement is measured through compliance with the objectives.* *The organization has carried out its traceability exercise and annual recall and it is evidenced that 100% of the product was recalled.*
Validation, verification and improvement of the FSMS	*Se evidencia que la empresa dentro de su esquema de identificación de Programas de pre requisitos operacionales y de Puntos críticos de control no define su existencia, por lo que, en función a los registros y reportes de control de los programas de pre requisitos, éstos se encuentran bajo y control y que sus medidas son eficaces basado en los requerimientos de ISO TS 22002-1.* *Se evidencian actividades de calibración de equipos tales como:* *Fraccionamiento 6, Tanque bácula CSA-16 1* *Envasado de grasas, Balanza aditivos perfector 2* *Envasado de grasas, Balanza gramera perfector 2* *Pasteurizador PERFECTOR, rango de uso de 50-60°C* *Los indicadores que soportan la mejora a la fecha de la revisión por la dirección se encuentran cumplidos.* *The company – within its Operational Pre-Requisite Programs and Critical Control Points identification scheme - does not define their existence, so that the records and control reports of the programs are under control and that their measures are effective based on the ISO TS 22002-1 requirements.* *The calibration of the following equipment was evidenced:* *Fractionation 6, Tank scale CSA-16 1* *Fats packaging, perfector 2 additive balance* *Fat packing, Perfect balance 2* *PERFECTOR pasteurizer, range of use of 50-60 °C* *The indicators that support improvement at management review date are met.*
Additional Requirements findings	
Management of Services	*Se evidencia que la empresa maneja el control de proveedores que tienen impacto dentro del sistema de seguridad alimentaria, se han identificado los servicios de transporte, control de plagas, mantenimiento, alimentación, de los cuales se definen documentalmente los requerimientos específicos del servicio y cumplimiento de BPM´s por parte del proveedor.* *The company manages the control of suppliers that have an impact within the food safety system, it has identified transportation services, pest control, maintenance, catering, from which specific requirements of the service and compliance with GMPs are documented by supplier.*
Product Labelling	*Se evidencia que parte del proceso de investigación y desarrollo la empresa aprueba las etiquetas de los productos, los mismos cuentan con toda la información legal requerida por la normativa de etiquetado local. Cuentan con las aprobaciones por parte del ARCSA.* *It is evidenced that as part of research and development process, the company approves products labels, the same ones that have all the legal information required by local labelling regulations. They have approvals from the ARCSA (National Agency for Health Regulation, Control and Surveillance, acronym in Spanish).*
Food Defence	*Se evidencia que la organización ha definido como áreas críticas las plantas de envasado de aceites, soplado de botellas, envasado de grasas y margarinas, elaboración de chocolates, en estas áreas críticas se manejan anaqueles para productos de limpieza con seguridad (candado), así mismo se evidencia que las escotillas de los tanques de almacenamiento cuentan con seguridad.*

	It is evidenced that the Organization has defined the following areas as critical: bottle blowing, fats and margarines packaging, manufacturing of chocolates. At these critical areas, cleaning products racks with security (padlock) are managed; likewise, it is evidenced that storage tanks hatches are secured.
Food Fraud Prevention	*Cuentan con un procedimiento para elaboración de análisis de vulnerabilidad y plan de mitigación PRD.SGC.18 revisión 00 Se define los responsables, abastecimiento, control de calidad, aseguramiento y personal de proceso Metodología antifraude para el criterio Estrategia de auditoría, considerar a los proveedores que no puedo visitar La empresa cuenta con un cronograma de entrega de análisis de vulnerabilidad: Noviembre – Crudos Diciembre – Materias primas chocolates Enero – Aceites y sus envases Febrero – Grasas / Margarinas y sus envases The company has a procedure for elaborating vulnerability analysis and mitigation plan PRD.SGC.18 issue 00 It defines the responsible individual, supply, quality control, assurance and process personnel Antifraud methodology for the criterion Audit strategy, consider the suppliers that cannot be visited The company has a vulnerability analysis delivery schedule: November - Raw December - Raw materials chocolates January - Oils and their containers February - Fats / Margarines and their packaging*
Management of Allergens (for categories C, I and K only)	*La empresa posee un procedimiento de manejo de alérgenos definidos dentro éste en el Anexo 1 que establece la lista de sustancias alergénicas: Aceite de soya, lecitina de soya, leche en polvo, leche en polvo, suero de leche. De igual forma en la visita realizada a los almacenes de la empresa se evidencia el manejo adecuado de los productos (materias primas) que tienen estas características en bodegas separadas, identificadas y con un manejo especifica en cuanto a utensilios y lineamientos por parte de las personas para su correcto maneja minimizando potencial peligro de contaminación cruzada. La empresa identifica dentro de los controles aplicados la declaración dentro de las etiquetas de productos terminados como parte del cumplimiento legal nacional. The company has an allergen management procedure, defined in Annex 1; which establishes the list of allergenic substances: Soybean oil, soy lecithin, milk powder, milk powder, whey. During the warehouse´s company tour, there is evidence of proper handling of the products (raw materials) that have these characteristics in separate warehouses, identified and with specific handling of the utensils and guidelines by personnel for their correct management; therefore, minimizing potential hazard of cross contamination. The company identifies within the applied controls the declaration within finished products labels as part of compliance with national regulations.*
Environmental monitoring (for categories C, I and K only)	*Se evidencia que la empresa tiene establecido un mecanismo de control de monitoreo ambiental por áreas de procesamiento, sobre todo en zonas específicas en donde potencialmente el producto se encuentra expuesto, la garantiza de éste control se refleja dentro de los resultados obtenidos en función a un cronograma de trabajo y tomas de muestras de ambientes: Planta envasadora de grasas realizado el 21/10/2017, Almacenes MQS y Centro de Distribución realizado el 12/10/2017, en éstos casos con frecuencia bimensual. Se revisan reportes de monitoreo de instalaciones (ambiente) del 06/12/2017 para el área de grasas y del 01/11/2017 para*

	el área de chocolates en su etapa de procesamiento, para estos casos la actividad es mensual. No se dan desviaciones. *The company has established an environmental monitoring control mechanism for processing areas, especially in specific areas where the product is potentially exposed, ensuring the control of the results obtained according to a work schedule and sampling of samples. different environments: Fat packing plant carried out on 10/21/2017, MQS Warehouses and Distribution Center carried out on 10/12/2017, in these cases with bi-monthly frequency. Facilities Monitoring reports (environment) from 06/12/2017 for fats area and from 01/11/2017 for chocolates area in their processing stages are reviewed, for these cases the activity is monthly. There are no deviations.*
Formulation of products (for sub-category DII, pet food for dogs and cats only)	*N/A*
Management of natural resources (for category A only)	*N/A*
PRP Findings	
Summary of PRP findings	

Key processing steps and Control measures:

During the audit the control of the following key processing steps and operational prerequisite programs (oPRPs) and CCP(s) were verified. All oPRPs and CCP's should be verified.

Control measure	Short description (process step)	Food safety hazards to be controlled	Monitoring procedure and critical limit	Verified during audit
oPRP1	No cuentan con PPRO's *The company does not have OPRP's*			YES
CCP1	No cuentan con PCC's *The company does not have OPRP's*			YES

Customer Feedback/Complaints	**Complaints had been received and there was no food safety related complaint**
Customer feedback is recorded and monitored by:	*Aseguramiento de Calidad, a través de Servicio al cliente* *Quality Assurance, through Customer Service*
Complaints on food safety	*Ninguno* *None*
Other feedback received	*Reclamaciones por servicio, cantidades y fechas de despachos de productos.* *Claims for Service, quantities and dates of product dispatches.*
Where required by regulation, were the appropriate authorities advised?	**Yes**

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Was action taken as follows:	
To restore conformity as quickly as practicable?	**N/A**
To prevent recurrence?	**N/A**
To assesses and mitigate any adverse product safety risks?	**N/A**
To ensure satisfactory interaction with other components of the FSMS?	**N/A**
To assess the effectiveness of the corrective measures adopted?	**N/A**

Please note: In the event of the certificated organization becoming aware of legal proceedings with respect to product safety or legality, or of a product recall, SGS MUST be notified within 3 working days.