



Laboratory Audit and Accreditation Scheme

Protocol

(Revised March 2016)

This document should be read in conjunction with the **UK Flour Millers Standard for Intake Laboratories**

No part of the “**UK Flour Millers Standard for Intake Laboratories and UK Flour Millers Intake Proficiency Scheme Protocol**” or this Protocol shall be reproduced or translated without written permission from **UK Flour Millers**.

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Other documents available from UK Flour Millers are:

UK Flour Millers Laboratory Audit Checklist

UK Flour Millers Standard for Intake Laboratories and UK Flour Millers Proficiency Scheme Protocol

1 INTRODUCTION

To achieve **UK Flour Millers** Laboratory Accreditation the laboratory must demonstrate compliance with the **UK Flour Millers** Standard for Intake Laboratories. This includes:

- (1) Meeting the minimum performance criteria for the last 12 sample sets in the **UK Flour Millers** Intake Proficiency Scheme.

AND

- (2) Successful completion of an independent laboratory audit.

This **UK Flour Millers** Laboratory Audit and Accreditation Protocol describes the procedures and processes associated with laboratory audits carried out against “The **UK Flour Millers** Standard for Intake Laboratories Scheme”. It outlines the procedures that are followed by **UK Flour Millers** and defines the processes the laboratory must follow to achieve accreditation.

This protocol should be read in conjunction with the **UK Flour Millers** Standard for Intake Laboratories and the **UK Flour Millers** Intake Proficiency Scheme Protocol.

2 AUDIT APPLICATION

Requests for audits shall be directed to a reputable, independent, third party auditing body selected by the auditee.

All laboratory audits (including those carried out by CLAS, UKAS, or LabCred) must follow this protocol and the **UK Flour Millers** documents listed within this protocol must be used.

UK Flour Millers strongly recommends that the auditor shall be able to demonstrate sufficient knowledge of the science, methodology and application of the testing methods to be able to carry out the audits in sufficient depth.

The laboratory shall ensure that they have available the current version of the “**UK Flour Millers** Standard for Intake Laboratories and **UK Flour Millers** Intake Proficiency Scheme Protocol” and this protocol, available from **UK Flour Millers** by post or via the website (See appendix A).

3 AUDIT NOTIFICATION

3.1 First Audit

The first audit shall be arranged to take place on a mutually convenient date, with due consideration being given to the scope of the audit and the requirements of the **UK Flour Millers** Standard for Intake Laboratories. This date shall be known as “the agreed audit date”.

Where non-conformities are identified during an audit, the laboratory will be required to demonstrate that the major non-conformities have been resolved (see Section 7). The laboratory will not be considered for accreditation until all major non-conformities have been resolved.

The laboratory must ensure that all major non-conformities are resolved within 3 months of the audit date; failure to do so will require the full audit to be repeated.

Where non-conformities have been raised and it is deemed necessary to re-audit the whole laboratory, the date of the re-audit shall be used to calculate “the agreed audit date”.

3.2 Ongoing audits

The date of the first audit will be used to determine the dates of all future audits. All future audits shall be carried out within one month of “the agreed audit date”, i.e. if the first audit is performed on 15th July 2016, all future audits shall be between 15th June and 15th August.

Where non-conformities are identified during an audit, the laboratory will be required to demonstrate that the major non-conformities have been resolved (see Section 7). The laboratory will not be considered for accreditation until all major non-conformities have been resolved.

The laboratory must ensure that all major non-conformities are resolved within 3 months of “the agreed audit date”; failure to do so will result in the loss of accreditation.

4 AUDIT PREPARATION

Before the audit, the laboratory must review its operations to confirm compliance with the requirements of the **UK Flour Millers** Standard for Intake Laboratories.

The laboratory must have at least 6 months data/information in place to confirm that the systems are functional.

It is the laboratory’s responsibility to ensure that any specific requests made by the auditor are available during the audit. The auditor will expect to observe staff performing the tests within the laboratory, under normal conditions.

5 SCOPE OF ACCREDITATION

The scope of accreditation shall be established and confirmed by the laboratory in writing to the auditing body prior to the audit.

The scope must confirm the test and the method employed, e.g. moisture by Infratec whole grain analyser.

All clauses of the **UK Flour Millers** Standard for Intake Laboratories shall be auditable.

The “**UK Flour Millers** Standard for Intake Laboratories and **UK Flour Millers** Intake Proficiency Scheme Protocol”, Annex 1, lists the tests that are applicable to this scheme. Where a laboratory performs any of these tests, they must be included within the scope of accreditation. Only tests not performed by the laboratory can be considered for exclusion.

As a minimum, the scope of accreditation must include Hagberg Falling Number, Protein and Moisture determinations.

6 AUDIT PROCEDURES

6.1 Visit arrangements

The auditor shall confirm in writing the arrangements for each audit, including the proposed scope of accreditation.

Where the laboratory audit is to be included with a site audit (e.g. included within an ISO 9001 or BRC audit), the audit arrangement letter shall confirm:

- (1) The scope of accreditation stating the tests with the methods employed
- (2) That the auditor will be assessing for compliance with the **UK Flour Millers** Standard for Intake Laboratories.

Where all the tests within the scope of accreditation cannot be witnessed during each audit, the auditor shall nominate the tests to be viewed during each audit. The auditor shall ensure that all tests within the scope of accreditation are audited at least once every three years.

6.2 Conducting the audit

The audit shall consist of four stages:

- Opening meeting with laboratory staff
- Audit of the laboratory’s operations, quality system and competence
- Auditor’s quiet time
- Closing meeting with laboratory staff

During the opening meeting the auditor shall re-confirm the scope of accreditation, confirm the approximate agenda of the laboratory audit, establish when the required tests will be ready for demonstration, and explain the gradings used to classify the audit findings.

During the assessment of the laboratory's operations the auditor shall:

- Verify that the documented test methods are appropriate
- Witness tests (as stated in the arrangement letter) in operation
- Confirm the extent to which the quality system and operations are compliant with the laboratory's own documented procedures and the **UK Flour Millers Standard for Intake Laboratories**
- Examine documented procedures and records to confirm suitability
- Appraise the laboratory facility
- Assess the overall proficiency/competence of the laboratory.

Throughout the audit the auditor shall record detailed notes to confirm compliance with the **UK Flour Millers Standard for Intake Laboratories** in the **UK Flour Millers Laboratory Audit Checklist**, available from **UK Flour Millers** by post or via the website (see Appendix A).

On completion of the laboratory audit, the auditor will require a quiet area to review and consider the audit findings.

Should any non-conformities have been identified, the auditor will document them on the **UK Flour Millers Laboratory Audit Non-Conformities Report** (example in Appendix C), available from **UK Flour Millers** by post or via the website (See Appendix A).

Prior to the closing meeting, **all auditors** shall complete the **UK Flour Millers Laboratory Audit Summary Report** (example in Appendix B), available from **UK Flour Millers** by post or via the website (See Appendix A).

The closing meeting should be attended by the laboratory management and any relevant laboratory staff. At the closing meeting the auditor shall summarise the findings of the audit, including:

- Confirm the audit scope
- Agree any non-conformities, stating major or minor categories
- State any observations (if time permits)
- Convey the messages written in the **UK Flour Millers Laboratory Audit Summary Report**
- Confirm the next step
- State confidentiality agreement
- State sampling exercise
- Remind the laboratory that the non-conformities are sometimes the subject of review by the **UK Flour Millers Review Panel** (see Section 10)
- State the recommendations they will be making to **UK Flour Millers**, i.e. suitable, suitable subject to clearing the major non-conformities or unsuitable for consideration for **UK Flour Millers** accreditation. The auditor will remind the laboratory that the auditor cannot award accreditation, this being the sole authority of **UK Flour Millers** (see Section 10) and requires the **UK Flour Millers Proficiency Scheme** results to be approved (see Section 9).

Where major non-conformities have been raised, the auditor shall make one of the following statements:

- The major non-conformities can be cleared by postal evidence; this evidence must be submitted to **UK Flour Millers** with the audit report.
- The major non-conformities can only be cleared by re-audit of the non-conformity; this re-audit must be performed at the earliest possible date and at most within the next three months.
- The non-conformities are of a nature that result in the auditor stating within the report that certification shall not be considered. In this case the laboratory shall undergo a full re-audit and if the laboratory holds a current **UK Flour Millers** Laboratory Accreditation Certificate, the certificate may be withdrawn according to the decision of **UK Flour Millers**.

Both the auditor and the laboratory management must sign the written records of the **UK Flour Millers** Laboratory Audit Non-Conformities Report Form (where appropriate) and the **UK Flour Millers** Laboratory Audit Summary Report.

The auditor shall sign the **UK Flour Millers** Laboratory Audit Checklist.

The laboratory shall retain a copy of the completed:

UK Flour Millers Laboratory Non-Conformities Report (where appropriate)

UK Flour Millers Laboratory Audit Summary Report

Auditor's **UK Flour Millers** Laboratory Audit Checklist

7 AUDIT GRADING SYSTEM

The **UK Flour Millers** Laboratory Assessment scheme uses four grades to classify the audit findings.

Compliance, signified by ✓ in the auditor's checklist to indicate compliance with the laboratory's documented procedures, compliance with the **UK Flour Millers** Standard for Intake Laboratories and that good practice is employed.

NON-CONFORMITIES

Major non-conformity, signified by **MAJ** in the auditor's checklist to indicate there is:

- a significant failure or breakdown in a particular area
- significant departure from the **UK Flour Millers** Standard for Intake Laboratories
- significant departure from the laboratory's documented procedure
- an issue that will directly affect or compromise the reliability of the test results.

A major non-conformity requires prompt attention and must be addressed.

Minor non-conformity, signified by **MIN** in the auditor's checklist to indicate that total compliance with the laboratory's documented procedures or the **UK Flour Millers** Standard for Intake Laboratories has not been demonstrated or a poor laboratory practice has been observed. The deviation does not currently compromise the reliability of results, but has the potential to do so if not addressed.

A minor non-conformity does not need to be addressed for accreditation to be considered, but must be addressed in advance of the next scheduled audit.

Observation, is signified by **OBS** in the auditor's checklist to indicate that a potential improvement to the system has been identified.

An observation does not preclude accreditation and implementation is at the laboratory's discretion.

8 SUBMISSION OF THE DOCUMENTATION TO UK Flour Millers

It is the laboratory's responsibility to submit all the required documentation to **UK Flour Millers**.

UK Flour Millers requires the following documents:

- **UK Flour Millers** Laboratory Audit Checklist - fully completed by the auditor during the audit.
- **UK Flour Millers** Laboratory Audit Summary Report - fully completed by the auditor during the audit.
- **UK Flour Millers** Laboratory Audit Non-Conformities Report (where non-conformities have been raised) - completed by the auditor during the audit.
- Relevant information to confirm that any MAJOR non-conformities have been satisfactorily resolved. The information to clear a non-conformity can include documented procedures, records, photographs etc.

All documentation shall be submitted electronically or by post to:

Joe Brennan
UK Flour Millers
21 Arlington Street
London
SW1A 1RN

JoeBrennan@UKFlourMillers.org

The laboratory must ensure that the scope of accreditation, and the laboratory's name and address on the **UK Flour Millers** Laboratory Audit Summary Report are accurate.

The above documentation must be accompanied by the name, contact telephone number and e-mail address (if possible) of the relevant laboratory person who will be able to answers any questions arising from the report.

9 THE UK Flour Millers APPROVAL PROCEDURE

In order to qualify for “UK Flour Millers Laboratory Accreditation” the laboratory must be able to;

- ✓ demonstrate to **UK Flour Millers** that the laboratory has successfully completed the **UK Flour Millers** Laboratory Audit, having no outstanding MAJOR non-conformities

AND

- ✓ meet the minimum performance criteria for the last 12 sample sets in the **UK Flour Millers** Intake Proficiency Scheme.

The **UK Flour Millers** Review Panel comprises of at least three persons, with **UK Flour Millers** and CCFRA each providing one representative and the third member usually being a representative from the flour milling industry.

The **UK Flour Millers** Review Panel will review the information provided and, if any anomalies arise, clarification will be sought by **UK Flour Millers**.

Where the **UK Flour Millers** Review Panel decides that the laboratory is NOT suitable for **UK Flour Millers** Laboratory Accreditation, the laboratory will be notified in writing, indicating the reasons for refusal.

The **UK Flour Millers** Review Panel meets at least twice each year to review performance in the **UK Flour Millers** proficiency scheme.

Subsequent audits must be carried out within one month of “the agreed audit date” (see Section 3). **UK Flour Millers** certificates of accreditation expire 15 months after “the agreed audit date” (see Section 3), allowing the laboratory 3 months to clear any non-conformities that may arise at the next audit.

Failure to submit evidence of a successfully completed audit within 15 months of “the agreed audit date” (see Section 3) may result in the loss of accreditation.

10 CERTIFICATION AND STATUS

Subject to the approval of the **UK Flour Millers** Review Panel, the certificate shall be issued and despatched to the laboratory.

The certificate will be valid from the date of issue and expire 15 months after “the agreed audit date” (see Section 3).

Certificates remain the property of **UK Flour Millers** and may be withdrawn at any time by **UK Flour Millers**.

Withdrawal from the scheme

Laboratories wishing to withdraw from the **UK Flour Millers** Laboratory Accreditation Scheme must inform **UK Flour Millers** at the earliest possible date. The date of removal of the certificate shall then be arranged.

Change to the laboratory facility

To ensure the **UK Flour Millers** Laboratory Accreditation Scheme remains valid, laboratories are required to notify **UK Flour Millers** of changes to the laboratory facility, including relocation of the facility. The **UK Flour Millers** Review Panel will then assess the impact of these changes in relation to the reliability of results and the requirements of the **UK Flour Millers** Standard for Intake Laboratories.

Modifications to the scope of accreditation

Modifications to the scope of accreditation may normally only be made during the annual laboratory audit.

11 APPEALS AND COMPLAINTS PROCEDURES

The **UK Flour Millers** Laboratory Accreditation Scheme has formal procedures for consideration of appeals and complaints.

All appeals and complaints are dealt with by the **UK Flour Millers** Technical and Regulatory Affairs Committee who are independent of both the auditor and **UK Flour Millers**.

All appeals and complaints should be submitted in writing and addressed to:

Technical and Regulatory Affairs Committee at **UK Flour Millers** (see Appendix A).

12 USE OF THE UK Flour Millers LABORATORY ACCREDITATION SCHEME LOGO

The Logo is available in electronic format or as a separate artwork. Please apply to **UK Flour Millers** who will forward the appropriate format with the terms and conditions of use.

APPENDIX A

CONTACT NAMES AND ADDRESSES

Send all audit documentation for consideration for accreditation to Joe Brennan.
For queries related to accreditation or to the use of the **UK Flour Millers** Laboratory Accreditation logo, please contact Joe Brennan.

Joe Brennan

UK Flour Millers
21 Arlington Street
London
SW1A 1RN

Phone: +44 (0) 20 7493 2521

E-mail: JoeBrennan@UKFlourMillers.org

Fax: +44 (0) 20 7493 6785

Website address:

www.UKFlourMillers.org

For complaints and appeals, please write to:
Technical and Regulatory Affairs Committee
UK Flour Millers
21 Arlington Street
London
SW1A 1RN

APPENDIX B

UK Flour Millers Laboratory Audit Summary Report

EXAMPLE

Laboratory Audit Summary Report

Laboratory	
Location	
Audit Date	
Auditor	

nabim Laboratory Audit Summary Report Example

SUMMARY OF AUDIT FINDINGS

No major non-conformities, therefore the laboratory is to be considered for accreditation, subject to their **UK Flour Millers** Proficiency Scheme results.

Major non-conformities have been found. However, these can be cleared by postal evidence, which must be submitted to the **UK Flour Millers** Review Panel.

Major non-conformities have been found, which can only be cleared by a re-audit of the non-conformity. This partial re-audit must be performed at the earliest possible date and at most within the next three months. The report for the re-audit must be submitted to **UK Flour Millers** with the original audit report.

The non-conformities are of a nature that certification shall not be considered. In this case the laboratory shall undergo a full re-audit and, if the laboratory holds a current **UK Flour Millers** Laboratory Accreditation Certificate, the certificate may be withdrawn according to the decision of **UK Flour Millers**.

Provisional Scope of Accreditation

<u>Test</u>	<u>Method</u>	Included Y/N	Indicate: method used, grinder type, equipment model etc
Falling number	e.g.Hagberg		Model
Protein	e.g. NIR Specify:		
Moisture	e.g. NIR Specify:		
Hectolitre weight	Specify:		
Screenings	Specify:		
Hardness	e.g. NIR Specify:		
Gluten washing	e.g. Glutomatic Specify:		
Visual examination	e.g. Trained visual inspectors following in-house method Specify:		

nabim Laboratory Audit Summary Report Example

Auditor's summary of the audit

Number of Non-Conformities Raised	
Major non-conformities	
Minor non-conformities	
Observations	

AUDITOR'S COMMENTS:

nabim Laboratory Audit Summary Report Example

Audit Acknowledgement

The above summary of the audit is acknowledged by:-

Auditor _____ Date _____

Laboratory
Representative _____ Date _____

APPENDIX C

UK Flour Millers Laboratory Audit Non-Conformities Report

EXAMPLE



LABORATORY AUDIT NON-CONFORMITIES REPORT

Laboratory:

Audit date:

Location:

Auditor:

Non-Conformity No.	Detail	MAJOR MINOR OBS	UK Flour Millers standard clause	Reference within the UK Flour Millers Checklist
1.	<u>Supplier Approval</u> The laboratory does not have a system in place for the approval of suppliers and does not have a list of approved suppliers in place.	MAJOR	10	14
2.	<u>Falling Number</u> The Hagberg falling number machine had not been serviced or calibrated, with the timer last calibrated in house on 8/8/02.	MAJOR	7	21
3.	<u>Handling Test Samples</u> The laboratory does not have a documented procedure for the handling of test samples.	MAJOR	16	11

The above non-conformities are agreed and acknowledged by:-

Auditor _____ Date _____

Laboratory
Representative _____ Date _____