



Audit Report for Kellogg Company of Great Britain Ltd (Europe)

Visit Number 3 Surveillance Audit

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Management System Certification Audit Summary Report

Organisation:	Kellogg Company of Great Britain Ltd (Europe)		
Address:	Wrexham Industrial Estate Wrexham Clwyd LL13 9UT		
Standard(s):	ISO 14001:2004 - Environmental Management System Certification	Accreditation Body(s)	UKAS
Representative:	Nia Jones		
Site(s) audited:	Wrexham	Date(s) of audit(s):	14-05-2015
EAC Code:	03	Nace Code:	15.61
		Technical Area Code:	EM5
Effective No. of Personnel	405	No. of Shifts:	4
Lead auditor:	Lynn Jones	Additional team member(s):	Bob Endersby
Additional Attendees and Roles	N/A		
This report is confidential and distribution is limited to the audit team, client representative and the SGS office.			

1. Audit objectives

The objectives of this audit were:

- to confirm that the management system conforms with all the requirements of the audit standard;
- to confirm that the organisation has effectively implemented the planned management system;
- to confirm that the management system is capable of achieving the organisation's policy objectives.

2. Scope of certification

ISO 14001:2004 - Manufacture of ready to eat cereals and baked bars.
Environmental Management
System Certification

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

This is a multi-site audit and an Appendix listing all relevant sites and/or remote locations has been established (attached) and agreed with the client Yes No

3. Current audit findings and conclusions

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives required by the standard(s). The audit methods used were interviews, observation of activities and review of documentation and records.

The structure of the audit was in accordance with the audit plan and audit planning matrix included as annexes to this summary report.

The audit team concludes that the organisation has has not 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 organisation's policy and objectives.

Number of nonconformities identified: 0 Major 0 Minor

Therefore the audit team recommends that, based on the results of this audit and the system's demonstrated state of development and maturity, management system certification be:

Granted / Continued / Withheld / Suspended until satisfactory corrective action is completed.

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. (Refer to Section 6 for details)
- The management system has not adequately addressed nonconformity identified during previous audit activities and the specific issue has been re-defined in the nonconformity section of this report.

5. Audit Findings

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives. The audit methods used were interviews, observation of activities and review of documentation and records.

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 No

The organisation has demonstrated effective implementation and maintenance / improvement of its management system and is capable of achieving its policy objectives. Yes No

The organisation has demonstrated the establishment and tracking of appropriate key performance objectives and targets and monitored progress towards their achievement. Yes No

The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system. Yes No

The management review process demonstrated capability to ensure the continuing suitability, adequacy and effectiveness of the management system. Yes No

Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard. Yes No

Certification claims are accurate and in accordance with SGS guidance and the organisation is effectively controlling the use of certification documents and marks. N/A Yes No

6. Significant Audit Trails Followed

The specific processes, activities and functions reviewed are detailed in the Audit Planning Matrix and the Audit Plan. In performing the audit, various audit trails and linkages were developed, including the following primary audit trails, followed throughout:

- Relating to Previous Audit Results: *(additional text required against italic font)*

All observations, opportunities for improvement and nonconformities reviewed and suitably addressed:	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> None raised
Evidence:			

NonConformity N° 1 of 1 Major Minor
 Department / Standard 14001:2004
 Function: Emergency preparedness and Response for Bulk deliveries Ref.: 4.4.7

Document Ref.: Inbound Logistics procedure DOC ID WIX ID 2000CP Issue / Rev. Rev 1 Feb 14
 Spillage procedure Status: Rev 1 Feb 13

Details of Nonconformity: There was Insufficient evidence at the time of the audit that the procedures had been amended to monitor the possibility of hydraulic leaks from vehicles , since the 7 hydraulic leaks had taken place.

The inbound logistics procedure does not require either staff or drivers to stand near the vehicle when unloading is taking place, where they can see the vehicle hydraulic lift and respond to a leak immediately it occurs.

During the site tour a driver from Hoylake Commercials in vehicle KY08 CUY was observed delivering sugar from a BLS container. No Kelloggs staff were in the vicinity and the driver remained in his cab whilst unloading was taking place and the hydraulics were in operation.

There was insufficient documentary evidence available at the time of the audit that BLS subcontracted haulage drivers had been given awareness of the Spillage Procedure.

Action Plan

- Contact Hoylake and obtain copies of their risk assessments and method statements for delivering raw materials to our site. Once we receive these we can then work together to review and update our in-house procedures to where they need to stand during deliveries going forward.
- Need to send a letter to all bulk raw material companies informing them of the non-conformance and of our site requirements and what they need to do should a spill occur whilst unloading deliveries.
- The bulk raw material companies will then need to respond and provide confirmation to confirm that they are aware of our site systems and procedures whilst delivering raw materials to site.

Reviewed on site communications sent to all bulk carriers.
 Observed 3 bulk carrier vehicles FJ06 JSZ, YN57 NTY and MX03 CDC making deliveries all drivers out of cabs and watching delivery process.
Minor nonconformity closed.

- 1) As discussed with Mark It would be beneficial to follow up with Compcare the provision of detailed service records **All service visits with Compcare now documented and records left on site.**
- 2) Dates incorrect on audit report Energy and Water **Updated and corrected.**
- 3) Review, clarify and obtain copies of the current waste licences for Brooktherm as the duty of care file section is empty re carriers licences. 16/6/14 annual service **Now in file section 12.**
- 4) Review ,clarify and obtain copies of the company and engineer Qualifications for ICS who carried out the annual service on the chiller unit on 16/6/14. **Emailed to SGS Oct 14**
- 5) Review the waste metal skip which at the time of the audit contained 2 waste air conditioning units. Review the method for verifying the degassing of units prior to placing in the skip. **Skips checked no further issues identified at the time of the audit .**
- 6) Review and clarify with those responsible that waste motors placed in the metal skip have been drained of oils. At the time of the site tour oil water residue was evident in the skip , which when moved by road could exit the skip on to the road. **Skips checked no further issues identified at the time of the audit .**
- 7) Review the condition of skip to be used by Simple Solutions as at the time of the audit it had a number of holes in the bottom and was not suitable for containment during transportation. **Skips checked no further issues identified at the time of the audit .**
- 8) Review and label the unidentified 205L drum of Turpentine in the contractor yard located on the on the bund pallet. Consider storing the small diesel generator owned by Simple solutions on drip tray or bund pallet. **Contractor yard visited no such issues identified all items identified.**
- 9) Review and clarify ownership of the full Pentofluoroethane cylinder positioned to rear of compactor container pick up area as this may be at risk when compactor containers are being removed and replaced. **Removed from site**
- 10) Review and clarify the source/s of the oil staining in a number of places in the compactor yard and consider the location of the nearest spill kit which is in the next yard. Remove the red bag containing waste mobil oil tubes. **Removed no issues identified at the time of the audit.**
- 11) Review and clarify the use of weed killer by the electricity company responsible for maintenance of the substation compound as all weeds on the gravel are dead . Determine the substances being used and include in the site aspects as rainwater run off will come from this area. Ensure that copies of appropriate chemical spraying qualifications/ records are obtained along with applicable MSDS . **Contact herbicide being used confirmed by Electricity company**

21/10/14.

- 12) Review the size of the new bund pallet for waste cooking oil from kitchens and determine if the rainwater emptied contains any oil. **Checked and suitable bund pallet in place.**
- 13) Review the drip tray condition and the build up in the bund in the waste oil tank. **Cleaned and emptied 6/11/14 and checked regularly.**

- Relating to this Audit: *(additional text required against italic font)*

Changes:

Level of Integration?	<input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Basic	<input type="checkbox"/> High
Key/Significant Organisational changes? (e.g. key personnel, client activities, management system) Following a restructure in 2014-15 the number of staff on site has reduced from 500 to 405 Darran Edwards has been appointed as EHS Manager The production lines 1 and 2 have been taken out of use and sealed behind curtaining to ensure that these areas do not need to be heated and do not present a cleaning issue. The 6 remaining production lines have been reviewed and for greater efficiency Bran lines are being switched between products to make maximum use of machinery and improve efficiency.		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Key Roles / Responsibilities		<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<ul style="list-style-type: none"> o Plant Director Karen Thomas o Operations Services Manager Mike Edge o EHS Manager Darran Edwards o Finance Manager / HR Claire Foster o Operations Development Manager Melanie Forster o EHS Practitioner Nia Jones o EHS Associate Tina Shrubb o European EHS Manager (Environment) Lynda Percival o Mark Hart Service Engineer 			
Key/Significant System changes?		<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
<i>Sample reviewed:</i>			

Management Review:

Undertaken at defined intervals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Date of last review:</i> 10.03.15		
Attended by Senior Management?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
All required inputs/outputs?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Evidence:</i>		

Quarterly Management Reviews
Sampled minutes for 10.03.15 attendees confirmed

Management presentation slides were available and included Policy, Objectives and targets, Aspects Controls, Legal requirements, Audits, Incidents, Performance & Projects

Next planned review if for 09.06.15

Policy Statement / Global Standard both reviewed and reissued March 2015 to recognise new EHS Manager

Internal Audits:

Programme/schedule in place, audits conducted on time?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Reported satisfactorily, containing objective evidence and showing impartiality?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified, suitably addressed within defined timescale?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		

2014 schedule completed

2015 schedule up to date

Reviewed audit team qualifications for Mark Hart, Tina Shrubbs, Sid Belkiri & Darran Edwards

Sampled the following audits:

Surface Water Discharge	Dated	23.01.15	Auditor Tina Shrubbs	4 N/C (179, 184, 180, 181) (Closed 30.04.15)
Training / Comms.		25.03.15	Mark Hart	6 N/C (203 – 208) (Timescale 30.06.15)
Stack Emissions		30.04.15	D. Edwards	0 N/C

External communications/Customer feedback (incl. comments/suggestions):

Received from customer, interested parties?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Reported, reviewed and investigated?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified, suitably addressed and communicated within defined timescale?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		

Electronic file maintained of communication from interested parties including NRW, EUETS, CCA, Welsh Water, Waste Contractors

Objectives:

Measurable objectives, control objectives, annex A clearly defined?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
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Established at relevant functions and levels? (9001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Programme/Action Plan established and adhered to? (14001/18001/50001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		

Objectives issued Feb 2015

Working Parties in place for key areas Energy / Water & Waste

Waste Targets

Waste 20% reduction (global target) waste to landfill by 2015 baseline 2009 ~ achieved

Zero waste to landfill achieved through increased recycling and incineration of final tonnage

Good data available, objective achieved currently maintaining position

Target to reduce secondary sorting of general waste

- o 2014 achieved 115 tonnes
- o 2015 target 109 t YTD 46 tonnes

Energy targets

20% reduction energy per tonne of product by 2015, baseline 2005

- o 2014 target 1765 achieved 1768 Kwh/Tonne product
- o 2015 target 1680 YTD 1685 Kwh/Tonne product

CCA and EUETS targets were not met for 2014 ~ penalties paid through “paying the bill” & purchase of carbon credits

Working alongside Carbon Trust and Welsh Assembly offering support on energy matters

Noted ~ Case Study published by the FDF regarding the successful Heat Recovery Project

See Energy Section below for specific projects

Water Targets

20% reduction in water use per tonne produced by 2015 (baseline 2005)

- o 2014 Target 4.4 achieved 4.63 cm / tonne of product
- o 2015 Target 4.4 YTD 3.07

Management programs in place against company objectives on KPI database

Legislation:

Demonstrated awareness of all applicable legal and other requirements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Arrangements in place to monitor amendments to legal and other requirements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample of recent changes reviewed:</i>		
Full evaluation of compliance taken place at periodic intervals? (14001/18001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Records of the results (including evidence) of evaluations retained? (14001/18001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified and addressed? (14001/18001)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		

Company subscribes to ENDS backed up by half-yearly corporate summaries / updates from UK based European EHS Manager

Reviewed register of legislation at revision 16 dated April 2014, no significant changes

Compliance calendar ~ confirms what is needed and when. Triggers warning e-mail

Annual compliance audit conducted Sept 2014 by Sid Belkiri external consultant ~ reviewed in detail previously

ESOS audit conducted by “Cofely” from Trafford Park ~ due to be completed 10.06.15

The internal audit programme WX-EMS-0022-EREF includes compliance audit annually

Natural Resource Wales OMA audit planned for 2014 was not never completed

Site Specifics

Site Permit

Environmental permit BV 8016 ID / V006, 9/11/05, administration variation on 21/3/13

- o Quarterly returns EA Returns last sampled
- o Jan – March 2015 ~ Reporting of emissions to sewer S2 & Reporting of emissions to water W1 dated 14.04.15
- o Annual Report covering Air A1, Sewer S2, Water Usage WU1, Energy E1, Waste R1, Performance PI1, submitted electronically 15.01.15
- o Noise surveys brought forward to 2014 due to recent “complaints”

No breaches to note

EUETS

Permit issued January 2014 ~ Monitoring plan in place, data verification required

River Dee Consent

DPZ 0041 held with the EA, issued Feb 2007 – no change.

Reviewed consent and submitted to Natural Resource Wales to recognise process updates (31.03.15)

Trade Effluent Discharge Consent: E590 Direction 2 1996 - Issued by Welsh Water.

In house monitoring results seen up to dated to 13.05.15 ~ No breaches

Investment over the past few years have paid dividend in removing “challenges”

Hazardous Waste Regs

Site Hazardous Waste Registration renewed 23.06.14 ~ NEZ168.

Incidents, complaints, correction and corrective action (dependent on standard):

Identified, investigated, actioned, reported in accordance with requirements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified and addressed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		

Complaints / Incidents

10 logged of which 9 classified as “not reportable” and 1 as a noise complaint.

Of the 9

- o 5 oil leaks Including # 309, # 311
- o Control release of All Bran from cyclone # 312
- o Wind-blown litter # 310 still open
- o 2 x east balancing pond # 314

1 external noise complaint “reported” dated 22.03.15

Ongoing dialogue with Natural Resource regarding the noise complaint.

Corrective Actions

The aforementioned incidents / complaints had all been actioned appropriately

Preventive action:

Identified, actioned, reported in accordance with requirements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Actions identified and addressed?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed: As above</i>		

Aspects/Hazards/Risks (Not Required for ISO9001):

All Aspects/Reasonably Foreseeable Hazards identified?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
All Aspects/Consequential Risks evaluated?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Appropriate control measures applied?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Suitable monitoring in place?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Review undertaken at defined intervals?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
<i>Sample reviewed:</i>		

Aspect Register sampled WX-EMS-0011-EREF Revision 12 dated Oct 2014 sampled
 No major changes, but some notes regarding changes to legislation ~ no re-evaluations
 No significant aspects changes

The aspect register will be further updated in 2015 to comply with the global EHS risk assessment / reissue of the ISO 14001 Standard

Operational Audit Trails:

Additional requirements identified from the audit plan:

Waste Management

Reviewed Duty of Care controls and documentation note associated with the following –

Oswestry Waste Paper	AWTN Carr Reg.	Issued 02.01.15 CB/JE 5109 XZ expires 22.03.17
Gordon Baxter	AWTN Carr Reg.	Wet Animal Feed Issued 02.01.15 Dry Animal Feed issued 03.01.15 CB/JN 5876 AQ expires 27.0316
Hazport Ltd	Consign. Note	HP 189 dated 07.05.15, Part E completed HP 688 dated 15.01.15 ditto Carr Ref. CB/RM 3386 UN expires 11.04.17 Quarterly returns available for 2015

Training:

Reviewed

- Environmental Training Modules, to be completed in 2015 by all employees, including
 - Refresher (Environmental Safety Media) 64% completion YTD
 - Annual Waste Refresher Q3 / Q4
 - Discharges Q3 / Q4
 - Environmental Permit Requirements Completed 2014
- Q1 Business Briefings / Energy Updates for all staff & shop floor workers Attendance records seen for

17.03.15, 19.03.15, 23.03.15 & 4.04.15

- New Starter Induction J. Humphreys dated 30.0415

Use of Certificate / Logo ~

- Certificate available in Reception
- Logo not used on letter headings or web-site

Emergency Preparedness and Response

Fire extinguishers all serviced 6/14

Emergency showers in place tested as part of legionella service.

Spill kits around the site checked all fully stocked.

Fire alarm tests weekly completed.

Sprinkler pump records reviewed actions from reports sampled week 4 6/1/15 week 3 3/2/15 faulty engine

Engine 1 issues weeks 1-4 it would be beneficial for engineers who have reviewed sheets to sign these off as evidence of checking for further action required..

Pump house visited no issues identified.

Site Tour Internal –

Reviewed Bran Stream areas with Darran and Wynn including:

Production waste segregation at each level of the process, some mixed waste note din receptacles in bran area canteen.

New foot cleaning stations introduced with spray bottles of cleaner – this system is soon to be replaced with an automatic system.

Rubber seals noted in plastic waste receptacles – verified that both wastes can be mixed for this contractor.

Flammable storage cabinets adjacent to workshop area visited.

Bulk oils and lubricants all stored in a locked bund cabinet with no evidence of leaks or spillages.

Smaller container storage cabinets reviewed some food inks expired 02-03.

Small butane 2350 and Stewart power gas , coolants and lubricant spays.

See Section 8

Bran stream warehouse area visited

Forklift charging areas visited – see section 8

Pest control bait boxes from Clearwell seen throughout the site.

Site Tour External

Reviewed contractor compound – all areas well managed housekeeping improved again.

Reviewed waste skips Metal, WEEE, contractor skip empty.

Metal containers for hazardous wastes all secured with padlocks.

Waste pallets and wood noted in the trailer yard , originating from visiting vehicles.

Portable foods areas – wheeled bins open and evidence of rodent access – bags chewed.

R 134a gas cylinder.

Vehicles loading into silos witnessed see minor nonconformity closed out above.

Air Conditioning / Refrigerant management

Broktherm records reviewed

30 remaining units containing 420kg of R 22 on site – no replacement programme as they are in non critical areas, these will be replaced as they fail. Some units are being filled with M059 gas.

Broktherm F gas company cert exp 6/17

Job sheets sampled ref 13769 1/15

28-30 /4/15 job sheet 009136 leak on condenser of R 407c lines 9 and 10 9.5 kg gas replaced .

See section 8.

1/5/15 Tank floor TAE 602 407c small leak volume could not be determined.

Effluent Treatment / Management

ETP reviewed externally no issues identified, sludge skips reviewed.

Buffer solutions all in date and being rotated

Boiler Management

Reviewed boiler water tests checks daily for O2 , sulphate and caustic levels. All records fully completed to 14/5/15.

Alchem Records sampled 20/4/15, 27/4/15. 11/5/15 and 6/5/15

Compressors

Compcare detailed service records reviewed from 28/11/14 onwards

Reviewed 3/2/15- 16/2/15 , and 12/5/15.

Energy Management

Performance 2015 1680 KWH per tonne of product produced.

600k saving on 2014 performance

Energy use Fu Gas 10683418,

Int Gas 18783533

Electricity 10978885

Energy Group established

Continue to discuss wind turbine viability project – costings received and waiting for group decision.

Energy Projects

Reviewed with Chris and Darran key projects for 2015 were reviewed on the Energy Improvements project plan including:

Bran Flakes Jet Zone optimisation

Workshops - Pit stop maintenance parts kits established to speed up efficiency.

Water use reduction 4th process.

Warehouse space heating review.

Metering Return to Standard

Dehumidifier Run optimisation

Steam system rationalisation – 4th process cooker steam meter installation at verification stage .

High efficiency lighting phase 6

Compressed air efficiency optimisation

Stream Asset running optimisation
 Grey water re use.

24 energy improvement suggestions received to date from the workforce – currently being reviewed.

7. Nonconformities Nil

NonConformity N° ___ of ___

Department /
 Function:
 Document Ref.:

Major Minor
 Standard
 Ref.:
 Issue / Rev.
 Status:

Details of
 Nonconformity:

- Relating to Client Proposed Action to Address Minor Non-Conformances Raised at this Audit:

Nonconformities detailed here shall be addressed through the organisation’s corrective action process, in accordance with the relevant corrective action requirements of the audit standard, including actions to analyse the cause of the nonconformity and prevent recurrence, and complete records maintained.

- Corrective actions to address identified major nonconformities including a cause analysis shall be carried out immediately and SGS notified of the actions taken within 30 days. An SGS auditor will perform a **follow up** visit within 90 days to confirm the actions taken, evaluate their effectiveness, and determine whether certification can be granted or continued.
- Corrective actions to address identified major nonconformities including a cause analysis shall be carried out immediately and **records with supporting evidence sent to the SGS auditor** for close-out within 90 days.
- Corrective Actions to address identified minor non conformities including a cause analysis shall be documented on an action plan and sent by the client to the auditor within 90 days for review. If the actions are deemed to be satisfactory they will be followed up at the next scheduled visit.
- Corrective Actions to address identified minor non-conformities including a cause analysis have been detailed on an action plan and the intended action reviewed by the Auditor, deemed to be satisfactory and will be followed up at the next scheduled visit.

- Appropriate cause analysis and immediate corrective and preventative action taken in response to each non-conformance as required.

Note:- Initial, Re-certification and Extension audits – recommendation for certification cannot be made unless check box 4 is completed. For re-certification audits the time scales indicated may need to be reduced in order to ensure re-certification prior to expiry of current certification.

Note: At the next scheduled audit visit, the SGS audit team will follow up on *all* identified nonconformities to confirm the effectiveness of the corrective actions taken.

8. General Observations & Opportunities for Improvement

- 1) Duty of Care
Review and ensure that waste contractors provide quarterly returns for hazardous waste.
- 2) Review and clarify the categorisation of environmental incidents in the corrective and preventive action procedure EMS 0015 EMP and the FGas procedure leak of the Air con 407 c 9.5kg .
- 3) Review and clarify the process for follow up of the air conditioning and other service records to ensure that all issues identified have been resolved and logged appropriately.
- 4) Review and clarify the training status for Air conditioning contractor Elliot Wainwright and ensure that job sheets have been correctly completed to reflect this status.
- 5) Review with neighbour Portable Foods possible pest control issues with wheeled bins being left open and a gas cylinder left behind by their contractor.
- 6) Review the position of the empty Effluent Skip s ready for use stored near to the trailer yard in order to prevent them being contaminated with non recyclable wastes by visiting drivers.
- 7) Review the Bran area canteen facility and remind staff re waste segregation..
- 8) Review the Welding gas stored in the independently locked workshop near to the forklift charging area, to ensure that there is access in the event of an emergency.
- 9) Review the storage of plastics on top of FKLFT charging units to ensure that this is stopped.
- 10) Review and clarify which chemicals are required to be stored in the flammable chemicals cabinets adjacent to the main workshop area. Dispose of any unwanted chemicals by the appropriate route. Ensure that MSDS with environmental sections are available for all chemicals that are to remain following the review.

Good Practice Noted

Housekeeping internal, external and the contractor compound had again noticeably improved

As a result of this visit 10 Opportunities for Improvement have been identified.

**With thanks to Nia, Darran and all staff at the Wrexham plant who took part in this audit
For their positive approach to the audit process.
Lynn Jones and Bob Endersby**

9. Opening and Closing Meeting Attendance Record

Name	Position	Opening	Closing
Karen Thomas	Plant Director	x	x
Mark Hart	Services Engineer	x	x
Denise Brennan	Food Safety and Sanitation Manager	x	
James Handley	Business Unit Manager	x	x
Nia Jones	Environment Coordinator	x	x
Wynn Evans	Security	x	x
Mike Edge	Operations Manager	x	x
Darran Edwards	EHS Manager	x	x
Claire Foster	Finance and HR Manager	x	
Chris Hughes	Technical Manager	x	x
Melanie Forster	Operational Development	x	x
Tina Shrubbs	EHS Associate	x	x
Jim Salzy	Maintenance Manager	x	x
Andy Millar	Maintenance Manager	x	
Abby Ison	Continuous Improvement Manager	x	x

Audit Plan (Current Visit)

Organisation:	Kellogg Company of Great Britain Ltd (Europe)		
Address:	Wrexham Industrial Estate Wrexham Clwyd LL13 9UT		
Visit Number:	3	Actual Visit Date:	14/05/15
Visit Due by Date:	25/4/2015	For auditor information only	
Lead Auditor:	Lynn Jones		
Team Member(s):	Bob Endersby		
Additional Attendees and Roles	N/A		
Standard(s):	ISO 14001:2004 - Environmental Management System Certification		
Audit Language:	English		
Audit Scope:	ISO 14001:2004 - Environmental Management System Certification	Manufacture of ready to eat cereals and baked bars.	

Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
14/5/15	09.15	LJ/RE	Arrive Onsite	Nia Jones
	09.30	LJ/RE	Opening Meeting/Review last audit findings and previous visit report/ Changes	All
	10.00	RE	Management Review / Policies / Roles and Responsibilities	Nia Jones
	10.30	RE	Aspects Evaluation / Legal Requirements / Compliance evaluation Objectives / Targets / Programmes	Nia Jones
	10.00	LJ	Emergency Preparedness and Response	Wynn Evans & Darran Edwards
		LJ	Site Tour Internal – To include waste and chemical management, Contractor Compound Aspects of purchased products	Wynn Evans & Darran Edwards
	12.30	LJ/RE	Lunch	
	13.00	LJ	Air Conditioning / Refrigerant management Effluent Treatment / Management Boiler / Energy Management	Chris Hughes, Mark Hart & Darran Edwards
	13.00	RE	Stakeholder Concerns / Environmental Incidents / Internal Audits / CAPA	Nia Jones
		RE	Training Use of Certification claims and marks	Julie Bott, Melanie Forster & Nia Jones
	15.00	LJ/RE	Auditors private time	
	16.00	LJ/RE	Closing meeting	

Notes to Client:

- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation.
- A private place for preparation, review and conferencing is requested for the auditor's use.
- Please provide a light working lunch on-site each audit day.
- Your contract with SGS is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

Audit Plan (Next Visit)

Organisation:	Kellogg Company of Great Britain Ltd (Europe)		
Address:	Wrexham Industrial Estate Wrexham Clwyd LL13 9UT		
Visit Number:	4	Agreed Visit Date(s):	21/10/15
Visit Due by Date:	25/10/2015	For auditor information only	
Lead Auditor:	L Jones		
Team Member(s):	TBA		
Additional Attendees and Roles			
Standard(s):	ISO 14001:2004 - Environmental Management System Certification		
Audit Language:	English		
Audit Scope:	ISO 14001:2004 - Environmental Management System Certification	Manufacture of ready to eat cereals and baked bars.	

Audit objectives: To confirm that the management system has been established and implemented in accordance with the requirements of the audit standard.

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
21/10/15	9.00	Auditor 1 and 2	Opening Meeting/Review last audit findings and previous visit report/ Changes	
	9.30	Auditor 1	Management Review / Policies / Roles and Responsibilities	
	10.30	Auditor 1	Aspects Evaluation / Legal Requirements / Compliance evaluation Objectives / Targets / Programmes	
	9.30	Auditor 2	Emergency Preparedness and Response	
	10.30	Auditor 2	Site Tour Internal – To include waste and chemical management, Contractor Compound Aspects of purchased products	
	12.30	Auditor 1 and 2	Lunch	
	13.00	Auditor 1	Energy Management Wet scrubbers Bulk fuel management and buk deliveries ETP Cooling Towers Legionella Waste management	
	13.00	Auditor 2	Stakeholder Concerns / Environmental Incidents / Internal Audits / CAPA	

Date	Time	Auditor	Area / Department / Process / Function	Key Contact
	14.00	Auditor 2	Training and competence staff and contractor awareness Use of Certification claims and marks	
	15.00	Auditor 1 and 2	Auditor Summary time	
	16.00	Auditor 1 and 2	Closing meeting	

- Times are approximate and will be confirmed at the opening meeting prior to commencement of the audit.
- SGS auditors reserve the right to change or add to the elements listed before or during the audit depending on the results of on-site investigation.
- A private place for preparation, review and conferencing is requested for the auditor's use.
- Please provide a light working lunch on-site each audit day.
- Your contract with SGS is an integral part of this audit plan and details confidentiality arrangements, audit scope, information on follow up activities and any special reporting requirements.

Audit Planning Matrix

			Visits:					
			V2	V3	V4	V5	V6	V1R
			6/10/14	14/5/15	21/10/15	April 16	Oct 16	April 17
Area / Department / Process / Function	ASPECTS, RISKS, OBJECTIVES,	Clauses	AS/LJ	LJ/RE	LJ/TBC	TBC	TBC	AS/LJ
Environmental Manual and supporting procedures	Manuals	4.1, to 4.6 inclusive	X	X	O	O	O	X
Policy	Policy	4.2.	x	X	O	O	O	X
Environmental Aspects	Aspects Register EMP 0019	4.3.1	x	X	O	O	O	X
Legal and Other Requirements	Legal Register EMP 0020	4.3.2	x	X	O	O	O	X
Objectives, Targets and Programmes	Objectives Register and Improvement Programme	4.3.3	x	X	O	O	O	X
Resources, Roles, Responsibility and Authority	Structure EMP 0023	4.4.1	x	X	O	O	O	X
Competence, Training and Awareness	Training Logs / Competencies EMP 0023	4.4.2	x	X	O	O	O	X
Env Communication	EMP 0021	4.4.3	x	X	O	O	O	X
Documentation	Procedures EMP 0003	4.4.4	x	X	O	O	O	X
Control of Documents	EMP 0003	4.4.5	x	X	O	O	O	X
Emergency Preparedness and Response	Incidents Register EMP 0018 EMP 0022	4.4.7	X Minor NCR	X	O	O	O	X
Bulk Material Spills	Procedures for containment of Bulk Spills (Vehicles and clean up) EMP 0002 EMP 0007	4.4.7	X	X		O		X
Monitoring and Measurement	Checklists / Records / Calibration EMP 0013	4.5.1	x	X	O	O	O	X 1 Minor
Evaluation of Compliance	EMP 0020 EMP 0016/17 EMP 0028	4.5.2	x	X	O	O	O	X



Audit Planning Matrix

Nonconformity, Corrective & preventive action	Register of Complaints / NCRs' EMP 0015	4.5.3	x	X	O	O	O	X
Control of Records		4.5.4	x	X	O	O	O	X
Internal Audit	EMP 0011	4.5.5	x	X	O	O	O	X
Management Review	Minutes of Meetings	4.6	x	X	O	O	O	X
Process Areas	Processes and Waste Streams EMP 0001 EMP 25/26	4.4.6		X Bran				X
Compressors		: :	x	X		O		X
Boilers		: :		X			O	
Effluent Treatment	EMP 0012	: :	x	X	O			X
IPPC (S P & M Plan)	EMP 0016/17	: :	x	X	O	O	O	
Wet Scrubbers		: :			O			
Cooling Towers		: :	x		O	O	O	
Bulk Fuel, Waste Oil & CIP Chemical Bund Emptying procedure	EMP 0004, EMP0005	: :	x		O		O	
Bulk material receipt Drum Material Handling	EMP 0008 EMP 0006 EMP 0010	: :	x	X	O		O	X
Waste Contractors	EMP 0014	4.4.6, 4.5.2		X	O			X
General Notes:								

In column 1, list the departments, processes, activities or other functional units, as defined by the organisation. These should be the same departments and/or processes identified on the audit plan.

In column 2, list the primary or critical aspects, objectives and/or KPIs applicable to the department, process or activity.

In column 3, list all the elements of the applicable standard that relate to each activity or process defined in column 1 (when complete, each element of the standard must be listed in column 2 at least once).

For planned visits, indicate with an "O" in the box for each process to be covered.

For each completed visit, mark "X" in the box for each department or process covered. If nonconformities are identified, note the number of minors and/or majors identified in each department or process.

For integrated contracts please record level of the integration of the client's IMS in the 'General notes' section.



CERTIFICATION HISTORY REVIEW Not Applicable at this visit

Client Name: Kellogg Company of Great Britain Ltd (Europe)	Contract#: GB/NN 207497
Location(s):	

Section A: To Be Completed At Pre-Renewal Visit

The Pre-Renewal visit shall include an in-depth review of the client’s certification history to identify whether there are any special considerations which need to be taken into account for the Renewal visit. The review should include any changes to the organization and system, prior audit reports and nonconformities over the certification cycle, complaints or serious incidents and any other pertinent information. This form may be used to note or comment on significant factors relating to the execution of subsequent visits (eg: this client is a satellite operation of a multi-site organization; Management Review, Internal Audits, Corrective and Preventive Action controlled from a different site; seasonal work, large degree of automation, etc.).

Management System:

The organization has made significant changes to its management system or small refinements?

- Small Refinements
- Significant Changes

Upper Management are actively involved in the operation of the Quality System

- Management Active
- Management not active

Internal Audit Program:

Internal Responses to Corrective Actions raised result in System Improvement

- System Improvement seen
- ‘Symptoms’ fixed only

Internal Audits in Year Three identify improvements as opposed to showing system compliance only

- Results used to improve system
- Audits concentrate on compliance only

Corrective and Preventive Action Program

Response to Corrective Actions raised concentrates on Root Cause rather than superficial fixes

- Root Causes Identified
- ‘Symptoms’ fixed only

No history or evidence that issues identified through corrective action reappear

- Action prevents recurrence
- Items reappear

Evaluate possible future changes to the organization

Change in Scope adding Design or diversification of existing products or services

- No scope change likely
- Change in scope projected

Addition of Sites, number of employees or shifts

- No change to sites / employees / shifts
- Sites / employees / shifts will change

Consideration of Automotive / Aerospace / Technology variants (QS/TE/AS)

- No technology variants likely
- Technology variants likely

Registration History

The number of corrective actions raised by SGS over the registration period decreases

- SGS Corrective Actions decrease
- SGS Corrective Actions constant or increase

Do major corrective actions (if any) appear in Year One only?

- No Majors, or in Y1 only
- Major Corrective Actions in Y2 and/or Y3

Integrated Audits Only – Confirm the current level of integration: N/A Basic High



Based on the above categories,
the client's Management System is:

Well Developed

Satisfactory

Other information relevant to the planning and execution of the Renewal visit:

Number of Employees:	405	Number of Shifts:	4	Number of Sites:	0
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Other notes or comments relating to the planning and execution of the Renewal visit:

Pre-Renewal review completed by (Name):

Date:

Section B: To Be Completed Before Renewal Visit

As part of the Renewal visit planning process, the Lead Auditor (or Team Leader) shall refer to the information in Section A (above) to identify whether there are any special considerations which need to be taken into account for the Renewal visit. Information details shall be confirmed with the client before preparing the Audit Plan for the Renewal visit.

Renewal planning review completed

Information details confirmed with client

Number of user complaints received by SGS: _____

Other additional notes or comments relating to the planning and execution of the Renewal visit:

Renewal planning review completed by (*Name*):

Date:

Contract Data Information Return Form

Certificate Details:

Name:	Lynn Jones	Date	14/5/2015 5:00:00 PM
Additional Team Members:	Bob Endersby		
I confirm that the audit team have completed the relevant Technical Area Qualification Form(s) for the Technical Area Code(s) listed on the page 2 of this report.		Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>

Please note the details given below will appear on the certificate issued to the client.

I have confirmed the below with client and any changes have been made to this data.

NB. This section will be blank if this is for an Initial visit and should be completed by the auditor in full (with the exception of the Certificate Number).

Certificate Number	Standard	Accreditation Body	Full Site Address
GB02/55294	ISO 14001:2004	UKAS	Wrexham Industrial Estate, Wrexham, Clwyd, LL13 9UT, GB

	Yes	No
Has the level of integration changed since the last audit?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Has the scope changed since the last audit?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
I confirm that I have verified the EAC/NACE/TAC shown on page 2 of this report to be correct and accurately reflect the client's scope of certification.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
It was necessary for me to change the EAC/NACE/TAC on page 2 of this report	<input type="checkbox"/>	<input checked="" type="checkbox"/>
It was necessary for me to change the number of employees on page 2 of this report	<input checked="" type="checkbox"/>	<input type="checkbox"/>
It was necessary for me to change the company name on Page 2 of this report	<input type="checkbox"/>	<input checked="" type="checkbox"/>

Administration Details:

- **This Must be Confirmed**

Client email address confirmed as	Nia.Jones@kellogg .com
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FUA Required? (If yes, give units and date)	Yes <input type="checkbox"/> Date:	No <input checked="" type="checkbox"/>
Additional comments		

No of Duplicate Certificates		No of Van Stickers (Colour on White)		No of Van Stickers (Colour on Clear)	
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Client Details:

- Only record contact detail changes below, otherwise leave blank

Telephone No	
Fax No	
Contact Name	
Position	
Website	
Invoicing Address	



Expenses Form

Auditor Name: Lynn Jones	Date 14/5/15
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I confirm the invoicing address has been confirmed with the client



Miles at current rate	LJ 82 RE 84	£91.30
Air		£
Rail		£
Taxi		£
Hotel & Subsistence		£
Parking		£
Car		£
Toll		£
Incidental Expenses		£
EXPENSES TOTAL		£91.30

Purchase order number (If applicable)	4501287570
Days to invoice client (Minimum of 2 hours for Major CAR close out)	2.00

For completion by Contractors:

Number of days for payment	
LTD Co. ONLY – Your SGS Purchase Order Number for this visit	

The electronic report format is compiled using the following documents:

Document	Issue	Description
GS0304	18	Stage 2 Report
GS0307	5	Audit Plan
GS0305	5	Audit Planning Matrix
GS0301	9	Certification History Review
UK CRF 30	5	UK Contract Data Information Return Form
UK CRF 29	7	Expenses Form

NB. Please do not delete this page