



DTAS ANNUAL CONFERENCE 2017

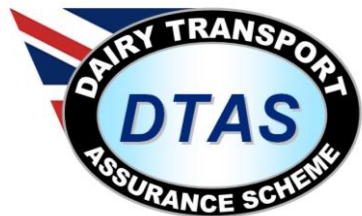
DTAS Operating Protocol

Version 5 (effective from 1st January 2017)

Key Changes Introduced

Tim Hampton

Chair of the DTAS Management Committee



BACKGROUND

- DTAS Review Day 2 - 28 September 2016.
- Follow up to original Review Day - 2 September 2015.
- Objective to strengthen the integrity and robustness of the scheme.



FOCUS ON

1. Recruitment, training and performance monitoring of DTAS assessors.
2. Random Audits procedures
3. Monitoring and consequences of non-conformances.
4. Prevention of repeat non-conformances.



DTAS OPERATING PROTOCOL (v5)

Now comprises:

- DTAS Scheme Operating Protocol
- Annex 1: DTAS Certification Report
- Annex 2: DTAS Assessor Criteria: Recruiting, Training and Performance Monitoring
- Annex 3: DTAS Assessor Evaluation Report
- Annex 4: DTAS Random Audits: Guidelines and Procedures
- Annex 5: DTAS Random Audit Report



ANNEX 2: ELIGIBILITY OF ASSESSORS (1)

Eligible individuals may include:

- Employees of the purchaser who should not be directly involved in the day to day running / management of the haulage operation.

As of April 2017 first purchaser owned haulage operations must not assess their own sites in consecutive years with assessors employed by their company.

- Self-employed persons or consultants.
- Employees of the haulier can become accredited assessors but are prevented from assessing their own company sites.



ANNEX 2: ELIGIBILITY OF ASSESSORS (2)

Qualifications:

- Formal qualification equivalent to NVQ Level 3 in a related subject.

and/or

Experience

- Ideally, background in milk haulage operations with accountability for assessing the quality and safety of raw milk or processing.
- Some experience of auditing / assessing to specified standards also helpful, but not essential.



WITNESSING AND APPROVAL TO ASSESS (1)

- Previously, approval was dependent on **successful Shadow Audit**.
- Now based on detailed **DTAS Assessor Evaluation Report** to ensure consistency.

Report contains a number of sections on which the trainee is scored to demonstrate; appropriate skills, understanding of the Standards and knowledge.



WITNESSING AND APPROVAL TO ASSESS (2)

1. Recommendation - the **trainee observes** an experienced assessor doing a DTAS visit .
2. Trainee's first visit (within three months of the training course) is **witnessed by a Witness Assessor** who observes and verifies the final decision of the trainee assessor.
3. Witness Assessor's decision is final.
4. Counts as an **official DTAS visit**, subject to the final approval of the Witness Assessor.



ANNEX 3: ASSESSOR EVALUATION REPORT (1)

DTAS Assessor Evaluation Report (Annex 3) covers:

- Assessment preparation
- Opening meeting
- Leading the assessment
- Assessment technique
- Use of audit trails
- Identification of non-compliances
- General management.
- Personnel and training
- Fleet and equipment
- Milk quality, hygiene and safety



ANNEX 3: ASSESSOR EVALUATION REPORT (3)

- Each section rated **Green** (good), **Amber** (improvement needed) or **Red** (unacceptable). **A performance rating of Green can only be achieved if green is achieved in every section.**
- Witness Assessor advises of the outcome of the assessment both via the Certification Summary Report and DTAS Assessor Evaluation Report (Annex 3).
- **Second DTAS visit of the trainee assessor will be subject to a Random Audit (first unaccompanied DTAS visit).**
- DTAS Management Committee reviews feedback (Assessor Evaluation Report and Random Audit Report), confirms (or otherwise) the approved status of the new assessor.
- **Decision of the Management Committee is final.**



ON-GOING PERFORMANCE MONITORING

In order to **maintain their status**, assessors must:

- Undertake at least **one assessment per scheme year**
- If companies employ more than one active assessor, each one should undertake at least one shadow assessment with another assessor over the course of a scheme year.
- Attend Continual Professional Development (**CPD**) training event :
 - Annually, if two or more assessments a year or at least every two years if only one.



NON CONFORMANCE ANALYSIS / REVOCATION

- In order to ensure consistency across all assessors, the output of individual assessors may be compared to others to determine whether any refresher training should be undertaken.
- Assessor may have their approved status revoked by the Management Committee if:
 - They fail to meet training requirements or fail to uphold the integrity of the scheme.



ANNEX 4: RANDOM AUDITS

- Further method to ensure consistent application of standards by assessors.
- Four arranged annually – ideally one in each quarter. Number to be reviewed depending of outcome of those undertaken.
- **Additionally, second visit of each trainee assessor is subject to a Random Audit.**
- Requirement of scheme for hauliers to make depots available for Random Audits.



ANNEX 5: RANDOM AUDIT REPORT (1)

- Validation of initial visit by identifying whether any non-compliances could have changed since the initial visit or whether they were likely to have been non-compliant at that visit.
- Random Auditor to also make comments on initial assessment and provide recommendations
- Reviewed by Management Committee

PART D: RANDOM AUDIT SUMMARY

Detail of non-compliance

	N/C's which <u>could</u> have changed since initial visit	N/C's which <u>could not</u> have changed since initial visit
Nearly compliant	1.	1.
Definitely non-compliant	1.	1.



REMINDERS OF LAST YEAR'S CHANGES (1)

1. Definition of sub-depot:
An operation managed by a main depot and which does not have its own independent management **or supervisory** staff.
2. Addition of a complaints procedure
3. Allowance for changes to be made between annual reviews to react to legislation changes with short deadline for compliance, e.g. QACs.
4. All sub-depots and outbased reload sites must be visited by rotation.
5. Assessor must request copy of the previous audit report to ensure that non-compliances are not being repeated.



REMINDERS OF LAST YEAR'S CHANGES (2)

6. Any failure to rectify non-compliance issues within the required 28 day period will result in haulier no longer being deemed to be certified under the scheme for the individual depot and its associated sub-depots and this is shown on the website.
7. Any product hauled by the depot will no longer be eligible to use the Red Tractor logo for as long as it is not certified.
8. To achieve re-certification, a further full assessment will be required at the haulier's own expense.



ACCESS TO ALL DOCUMENTS VIA WEBSITE

<http://www.dairytransport.co.uk/dtas/documents.eb>

- DTAS Standards 2016-2017
- DTAS Operating Protocol Version 5 (as at January 2017)
- DTAS Operating Protocol Annex 1: DTAS Certification Report 2016-2017
- DTAS Operating Protocol Annex 3: DTAS Assessor Evaluation Report
- DTAS Operating Protocol Annex 5: DTAS Random Audit Report 2016-17



ANY QUESTIONS?