



Verification Online

Guide to PBV verification and reporting at Full-time Establishments.

April 2016

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Overview

Demands on verifiers' time and questions posed by external auditors have led MPI-VS to review the process of routine verification and to make improvements that strive to reduce administration time and to promote more robust verification practices, which have an increased focus on market access requirements.

Key concepts identified include:

- Full-time presence at premises has, in some cases, made it difficult to maintain a verification approach. This new model of PBV, mandated tasks and market access inspection will help to drive a verification approach rather than monitoring behaviour
- Verification Services staff will be increasingly required to exercise professional judgement in determining how the PBV scope, mandated tasks and market access inspections are managed at their premises. This will need to consider the operator's profile (including countries for which the operator is listed), and perceived or known operator weaknesses.
- The VTS1 / primary verifier will need to develop a strategy for the year's verification (using the RTM / RTS for guidance as necessary). This strategy needs to ensure that verification of any sub-topic is sufficiently detailed and at a frequency that can be justified to an external auditor; the verification must also reflect reality.
- Routine management and recording of operator process control issues should be handled by the operator, enabling MPI-VS to focus more on market access requirements.
- Operator verification and control remains the primary focus of MPI verification.

Note: In this document, reference is made to core topics and sub-topics. A core topic refers to a topic such as Hygiene & Sanitation, or Processing for Human Consumption, and the term sub-topic refers to items such as 'Chemicals' or 'Product inspection'.

1 PBV overview

When setting the scope, the primary verifier needs to be able to justify their selection of topics, taking into account the premises strategy, markets to which the premises is listed, types of product certified and 'risk areas'.

For full-time premises, there are eight core topics:

- " Quality Assurance¹
- " Documentation and Certification²
- " Design, Construction, & Building Services
- " Hygiene & Sanitation
- " Identification, traceability & management
- " Live Animals
- " Processing for Human Consumption³
- " Processing, Other (incl. animal consumption, technical products)

OMAR verification activities are prescribed at set intervals.

The core topics will recur at every PBV (see Fig 1) and will form the scope of the audit. Sub-topics (e.g. Chemicals, Bovine Dressing, Cold Storage) can be selected from the PBV task scope page (see Fig 2) or after opening the core topic task (see Fig 3) by ticking the appropriate boxes; this will provide more focus to the PBV scope. These sub-topics will not appear as individual tasks. If the scope is printed (from the PBV scope tab), the selected sub-topics will appear on the printed scope, along with the references and information notes (as with the current functionality).

Site	Tasks	Assigned to	Process name	Due date	Planned date	Status
Tasks	METEST PBV Audit (Complete PBV Audit) Task 255676 of the PBV Audit process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Notes	Design, Construction & Building Services (Complete Audit Task) Task 255677 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Administration	Processing Other (incl. Animal Consumption, Technical Products) (Complete Audit Task) Task 255678 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Animal Welfare Cases	Live Animals (Complete Audit Task) Task 255679 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Antemortem Statistics	Documentation and Certification (Complete Audit Task) Task 255680 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Calendar	Quality Assurance (Complete Audit Task) Task 255681 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Corrective Actions	Hygiene & Sanitation (Complete Audit Task) Task 255682 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Certification	Identification, Traceability & Management (Complete Audit Task) Task 255683 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Contacts	Processing for Human Consumption (Complete Audit Task) Task 255684 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-02-28
Documents	Overseas Market Access: US Faecal Contamination Control (Complete Audit Task) mandatory Task 255686 of the Audit Item process assigned to Shirley Morrison Change	Shirley Morrison	METEST			Status: Not Started Planned: 2015-03-31
Farm Administration	Overseas Market Access: US Faecal Contamination Control (Complete Audit Task) mandatory		METEST			Status: Not Started

Fig 1. Task list showing the main scope items for a full-time premises.

¹ Includes operator verification and control

² Includes RMP, HACCP, OAP and controlled item topics

³ Includes hygienic dressing topics

Quality Assurance - Assigned To Gareth Thomas

[New Note](#) [All](#) | [Report](#) | [Work](#) [All](#) | [Issues](#) | [Open](#) | [Closed](#)

0 Notes found.

- ☐ **Operational Monitoring & Control** ⓘ Last done 26-09-2014 by Larry Moolenaar : Acceptable
- ☐ **Operator Verification** ⓘ Last done 28-10-2015 by Gareth Thomas : Acceptable
- ☐ **Training & Competency of Personnel** ⓘ Last done 12-06-2015 by Branislava Ukropina : Acceptable

Design, Construction & Building Services - Assigned To Gareth Thomas

[New Note](#) [All](#) | [Report](#) | [Work](#) [All](#) | [Issues](#) | [Open](#) | [Closed](#)

0 Notes found.

Tick to select the sub-topic, then select the outcome once the audit is complete

- ☐ **Amenities** ⓘ Last done 23-12-2014 by Branislava Ukropina : Acceptable
- ☐ **Building Services: Other e.g. Compressed Air, Room Temperature, Sterilising Water** ⓘ Last done 19-05-2015 by Gareth Thomas : Acceptable
- ☒ **Calibration of Measuring Devices** ⓘ Last done 19-05-2015 by Gareth Thomas : Acceptable
 - ☐ Acceptable
 - ☐ Unacceptable

Fig 2. Selection of sub-topics to include in the PBV scope from the scope tab of the PBV task.

Design, Construction & Building Services

Status: [Not Started](#) | Planned date: [2015-02-28](#)

[Done](#) [Save](#) [Close](#)

[Task Details](#) | [Content](#)

[Edit Help](#) **Design, Construction & Building Services - Assigned To Shirley Morrison**

Tick these boxes to select the sub-topics and include them in the PBV scope

[New Note](#) [0 Notes found.](#)

- ☒ **Amenities** ⓘ
 - ☐ Acceptable
 - ☐ Unacceptable
- ☒ **Building Services: Other e.g. Compressed Air, Room Temperature, Sterilising Water** ⓘ
 - ☐ Acceptable
 - ☐ Unacceptable
- ☒ **Calibration of Measuring Devices** ⓘ
 - ☐ Acceptable
 - ☐ Unacceptable
- ☐ **Design & Construction** ⓘ

All subtopics activated for the premises are available for selection

[Recover](#)

Fig 3. Selection of sub-topics to include in the PBV scope from the core topic task.

At the end of the PBV period, those sub-topics selected will need to be given an outcome (acceptable or unacceptable).

There is no expectation to cover all sub-topics within an annual period, although risk areas must be targeted at an appropriate frequency.

Unacceptable outcomes are still expected to be associated with a corrective action request (CAR), which can be added from the scope page of the PBV report, or linked to an existing CAR, as with the current functionality (see Fig 4).

Fig 4. When a sub-topic outcome is unacceptable, a corrective action request should be raised or linked.

The PBV report

The PBV report will consist of a

- premises profile
- executive summary
- operator summary
- OMAR verification table and report notes
- group summary notes relating to each of the core topics
- sub-topic report notes detailing issues (key issues, key topics or recommendations).
- CARs issued
- mandated task verification table and report notes

The premises profile is created from the premises administration tab and automatically added to the report. The “Site Description” box needs to be populated with the following information (see Fig 5):

- The type of products and what processes occur on site.
- The processing profile of the premises – i.e. shifts, processing year, species variation.
- The main country listings held by the operation and the main markets supplied.

Administration

💡 Your changes have been saved.

Profile Address Billing Site Code Department Preference Sector PBV OMAR Admin AsureQuality TR

Site Name
Alliance Pukeuri

Site Description
Alliance Pukeuri slaughters and cuts beef, lamb, mutton and veal. The premises is listed for all major export markets with the EU, US/Canada and China accounting for the majority of exported product.
The typical processing pattern is:
Ovine - July to May on a single shift
Bobby veal - July to November on a single shift
Beef - September to June, processing on one to three shifts, with peak production encompassing a seven-day kill that includes hot boning.
On-site rendering and skin processing facilities operate for most of the year.

[Recover](#)

Fig 5. Example of the information to be entered into the site description box to populate the PBV report.

Functionality for mandatory peer review of all reports is being developed. This will require completion of the report by the 25th of every month to allow for peer review and release of the final report by the end of the calendar month.

2 Tasks

The task list in VOL should only consist of the core verification topics (which will be the same at every PBV period), mandated tasks and OMAR tasks. These tasks can be assigned to individual verifiers. VOL should not be used for personal tasks. The assignment of tasks to verifiers in the VS team is intended to ensure equitable workload, coverage of the premises activities and processing time and allow for staff development.

2.1 Mandated tasks

Mandated tasks are those with a fixed frequency (sometimes referred to as 'frequency tasks'); they are generally required by NZ or OMAR requirements, or are a VS requirement. Mandated tasks can be divided into three groups:

- Tasks for which the only requirement is confirmation that the task has been done. Routine notes are not required unless a substantive issue is noted (see 3.2). Examples of this type of task include cold-store visits, condemned area visits and official devices/controlled items tasks (see Table 1).
- Tasks for which a single work note is always required e.g. those relating to supervision of sampling (NMD/STECs) or load out verification. These tasks will frequently also have a national check sheet attached to the task, which is expected to be scanned and attached to the note once the task has been completed.
- Tasks which require just data entry and no other comment e.g. ante-mortem statistics.

Mandated tasks should be set-up as repeating tasks in VOL at the frequency specified in the tables below (most will already be set-up along these lines). The "i" spots associated with these tasks in VOL should be regularly reviewed to ensure that these tasks are being completed at the prescribed frequency.

Task	Frequency	Comments
Establishment Cold store market access visit	Weekly	No note – unless issues found.
US: Weekly Condemned Material Inspection	Weekly	No note – unless issues found.
Supervision of Company Post-mortem Inspection	Weekly	Work note required.
Security Paper Inventory Check	Fortnightly	No note – unless issues found.
Monthly Critical Record Review	Monthly	Work note required + check sheet attached.
Cervine Kill Figures	Monthly	Complete statistics as required.
Ante-mortem Statistics (species as appropriate)	Monthly	Complete statistics as required.
HGP Procedures	Six Monthly	Work note required + check sheet attached.
Reality Check - Pre-operational hygiene	Monthly	Work note required.
Water Sample Supervision	As required (depending on water usage)	No note – unless issues found.
Observation of Load in / Load out (including checks on container seals use and inventory)	Three Monthly	Work note required + check sheet attached
US: Pre-Shipment Verification	Three Monthly	Work note required.
US: STEC Direct Supervision of Sampling	Three Monthly	Work note required + check sheet attached.
Supervision of NMD Sample Collection, Packaging and Reporting	Twice a Year	Work note required + check sheet attached.
Canada: Beef Grading	Six Monthly	Work note required + check sheet attached.
Carcass Trim Standard - Bovine	Six Monthly ceiling	Work note required + check sheet attached.
Carcass Trim Standard - Ovine	Six Monthly ceiling	Work note required + check sheet attached.
US: HACCP and SSOPs Review	12 monthly	Work note required.
EU: Animal welfare requirements	12 monthly	Work note required.
EU: Collection of Meal Samples	12 monthly	Work note required.
RORP	12 monthly	Work note required.
VS Premises Strategy	12 monthly	Work note required.

Table 1. Current frequencies of mandated tasks for full-time premises. (Note: a number of the specifications dictating these mandated tasks are currently being reviewed, so these frequencies are subject to change).

Meetings (i.e. weekly operator and SV/MV meetings and AQ fortnightly meetings) may still utilise work notes as a means for attaching minutes; alternatively minutes may be filed appropriately under the site documents.

2.1.1

New Mandated Tasks (November 2015)

There are two new tasks listed above:

Monthly Critical Records Review

The purpose of this task is to consolidate a number of individual items into one document, provide national consistency on items often requested by overseas auditors and facilitate collaboration between the operator technical team and VS verifier.

Discuss the items in the checksheet with the operator at the first meeting of the next calendar month. Complete the checksheet and upload it.

This task is to record the verifier's awareness of these topics and demonstrate that a conversation has been had so that all parties are aware of how these topics have been managed over the previous calendar month.

Guidance includes:

- The list should be discussed as part of the agenda for the first meeting of the month - expectations on timelines should be agreed between the operator and verifier.
- It is not expected that the vet sits in their office while plant technical staff run around getting all the data for them.
- It is not necessary for the operator to receive copies of all records. The verifier may view the records and make a statement to that effect in the checksheet. Note: The check sheet is now in place (April 2016)

VS Premises Strategy Review

This is a yearly consideration of the strategy for the premises. A work note is required. The premises strategy has two parts. The first is related to operator performance and their experience/capability, PBV performance, consistency and operational risks need to be considered. The second part relates to VS staff capability and experience and how the verification programme should be applied. The strategy could involve elements of education, capability building, focussed direction and enforced compliance.

2.2 OMAR tasks

At full time premises OMAR tasks shall be set up at the frequencies detailed in Table 2 below. The base principle of the OMAR verification tasks is to ensure all relevant OMAR specifications relating to that market are audited over the course of a year.

A report note is required for every OMAR task completed. These notes will provide evidence of OMAR verification to external reviewers and the note should describe the sections of the OMAR reviewed. Key issues and key topics can be raised as for any other topic.

Country	Frequency	Task Includes: (also noted in guidance 'i' spot)
EU	1 monthly	General OMAR requirements as selected by verifier.
US	1 monthly	Some aspects of ZFT monitoring and control every month and other requirements as selected by verifier.
China	1 monthly	Every month boning room temperatures, inner China labels and green tripe. Other requirements as selected by verifier.
Eurasian Economic Union (Russia)	3 monthly	General OMAR requirements as selected by verifier.
Other	12 monthly	General OMAR requirements as selected by verifier.

Table 2. Frequency of verification for countries at premises with full-time supervision

To enable the set frequency go to Administration then OMAR tab (see Figs 6 and 7):

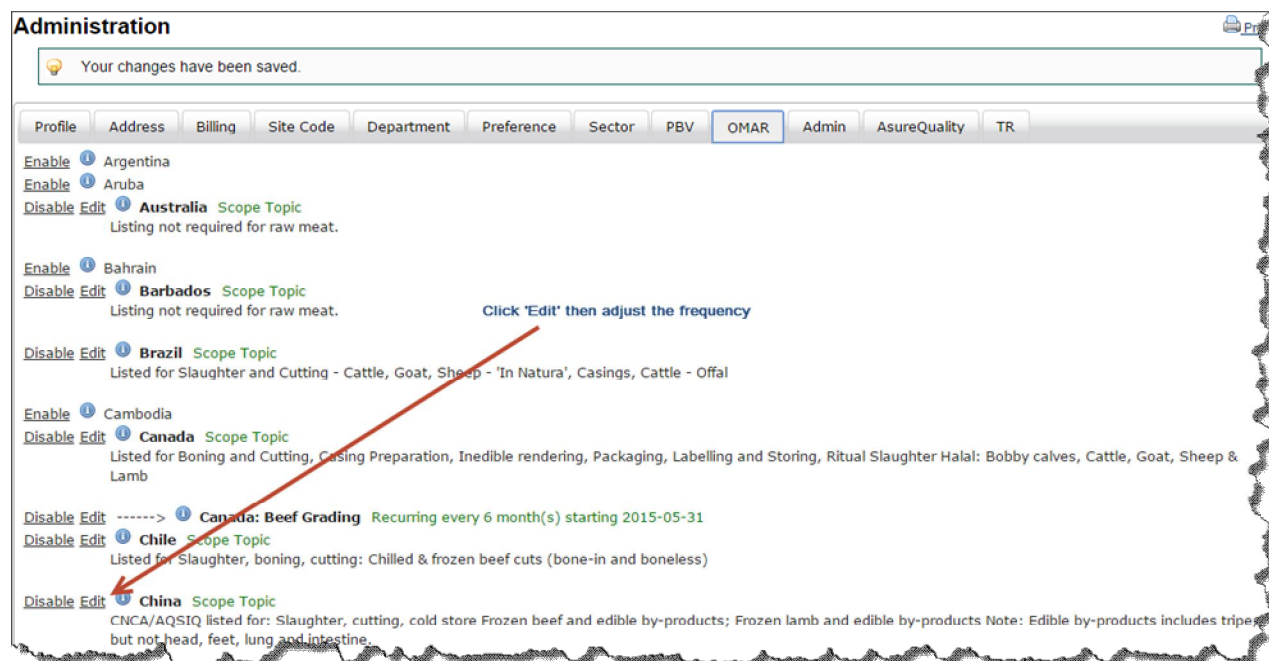


Fig 6. Setting up a frequency OMAR task – part 1

Task Frequency and Verifier Notes

Overseas Market Access:China

Monthly ▾

Task frequency

1

First due date

30-11-2015 Due at end of month ☒

Notes to verifier

Fig 7 Setting up a frequency OMAR task – part 2

This will then put recurring mandated tasks in the task list.

The ability to add countries from the scope page will still exist but this is only for circuit premises (as detailed in the 'i' spot) where verification of topics with a specific OMAR focus continues.

2.3 Scope tasks

As noted above, scope tasks consist of the core verification topics and are the same for every PBV period. These tasks are determined by the premises set-up in VOL. Within these core topics, areas of focus can be selected (the sub-topics) for verification. There is no expectation to cover all sub-topics within an annual period, although risk areas must be targeted at an appropriate frequency. The premises strategy needs to ensure that verification of sub-topics is sufficiently detailed and at a frequency that can be justified to an external auditor.

The group summary note made at the end of the PBV period must summarise the verification activities completed during the audit (see 3.1).

2.4 Personal tasks

Personal tasks include diary-type tasks/reminders (e.g. reviewing/sending lists to operators, completing computer back-ups etc.) and market access inspections. VOL has been designed primarily as a verification tool and should **not** be used for this type of task. Consideration should be given to using other, more suitable programmes to manage this type of reminder if necessary (e.g. Outlook), or using other aids such as whiteboards. Notes should **not** be entered against personal tasks or departments.

2.5 Market Access Inspection

Market Access Inspection replaces Regulatory Overview. Market Access Inspection is the requirement for physical presence in edible processing areas on a daily basis. This daily oversight of edible areas is an expected part of verification activities in full-time premises, so there is no requirement to make a record of this activity. Any issues identified are to be managed as follows:

- Issue notified and discussed with supervisor.

- Supervisor to record issue and actions taken.
- Issues to be raised and recorded at the weekly operator meeting by the operator if the issues become repetitive or are significant.
- Verifier may make a temporary record (e.g. diary, whiteboard) as a reminder to ensure issue is raised appropriately at the operator meeting. Once addressed and recorded by the operator there is no need to keep this record.
- If the verifier identifies a substantive issue it should be recorded as detailed in the notes section below.

Market access inspection is to confirm the operator is meeting market access requirements. The focus of all market access visits should be some OMAR verification. This information should be used to complete the mandated OMAR tasks. In this area, we are looking for a change of verifier behaviour. Market Access inspection activities occur daily and need to be focussed on achieving the confirmation of selected OMAR sections.

3 Notes

The notes entered into VOL and reports generated by the system, are available for viewing during both internal and external audits. Consequently, a number of principles relating to notes in VOL have been determined:

- 1) Notes in general should reflect only verification topics and substantive issues. This aligns with the shift away from monitoring activities or the use of notes to justify a presence in a department or area.
- 2) Removal of all 'diary' type notes or those relating to personal tasks, including those that relate to the completion of routine tasks, market access inspections, passing of stock etc.
- 3) Verification notes for sub-topics are limited to one (ideally) per sub-topic and should include all elements required by a quality audit (e.g. procedures, internal verification, reality and records checks and interviews). See example notes in Appendix B.
- 4) 'Substantive issues' still need to be recorded appropriately, making reference to product disposition and corrective actions where appropriate (see 3.2). In most cases issue notes are expected to have some recorded follow-up.
- 5) No notes are expected for many of the more frequent mandated tasks (see Table 1), unless substantive issues are identified.

Many notes currently in VOL reflect monitoring activities, and are in the format:

"I went to area A and saw a few minor non-conformances. I discussed these with the supervisor and he fixed them".

This type of note is not particularly informative and reflects a monitoring-type approach, so should not be entered. Professional judgement needs to be used to determine whether the area / room / process is under control and in substantial compliance with the relevant requirements or not. If the operations are substantially compliant then a note is **not required** to state this or to justify verifier presence.

Minor issues identified during market access inspections or mandated visits will be noted by the departmental supervisor on a process control record (or other operator issue management record), and should include reference to actions taken and product disposition where appropriate. Verifiers may wish to implement a recording system (e.g. use of a whiteboard or diary) to monitor minor issues in order to determine whether they become repetitive (see under 'issues' below); this approach may be particularly useful where multiple verifiers are working at the same site.

3.1 Notes relating to verification sub-topics topics

At full time premises, a **single work note** should be made for every sub-topic on the current scope (occasionally more than one note may be appropriate, but verifiers should strive for one concise note per topic). In some cases this note will be updated (edited) over the course of the month. By the time the verification of the sub-topic is complete, the note should contain a brief comment on all the expected elements of a full verification, including:

- previous issues
- internal verification
- documentation review
- records
- reality checks / interviews.

It may be useful to use these points as sub-headings in the note.

This composite note provides the evidence for the audit outcome.

Expectations for Supporting Evidence

The concise-type report does not change the requirement for sufficient supporting evidence to justify the audit outcome. This evidence may be in the form of hard-copy check sheets or work notes under the individual sub topic headings in the compliance history.

3.2 Notes relating to ‘issues’

When recording notes about issues the verifier needs to use professional judgement to determine their significance. The criteria for key issues and key topics (report notes) remain the same:

- Key issue (unacceptable outcome) – a system non-compliance that clearly compromises a regulatory requirement.
- Key topic – an individual non-compliance or deviation from a regulatory requirement that could compromise the required outcomes if not addressed by the operator.

Verifiers should only make a note if the issue is repetitive, represents a downward trend in compliance, or suggests loss of control by the operator. These issues would most likely equate to those items discussed at a routine operator meeting (as opposed to issues resolved by just discussing with a departmental supervisor on a single occasion), or are significant enough to result in a future key topic or key issue. One-off non-compliances identified during VS activities should be referred to the operators issue management system for resolution (e.g. the issue might be recorded on the relevant process control sheet).

It is up to the premises verifiers to determine exactly what ‘repetitive’ means for them; this may vary depending on the situation, but a suggested starting place for full-time premises is “more than once per week, or more than 3 times in a month”.

Substantive issues identified must be recorded and followed-up, ensuring that the notes encompass **all** of the required aspects:

- product disposition
- corrective actions
- preventative actions
- rechecks where appropriate

VOL is the tool for recording substantive issues. The verifier is not prevented from using VOL to record non-substantive issues, but thought should be given to how they are recorded. Key considerations are facilitating recall of the notes and preventing significant numbers of meaningless notes. At premises with multiple vets or known non-compliances consideration could be given to starting a work note on a specific issue and having all personnel add to that note over the period – to make a concise record for any issue, rather than lots of separate work notes.

The approach to verification and note making described in this document, which ultimately leads to more concise recording and reporting, requires increased attention to notes relating to identified (substantive) issues and their follow-up. Follow-up notes should be entered as work notes only.

4 The PBV report

The PBV report has a number of different features and expectations:

- It is a more concise report, with the following content:
 - premises profile, executive summary and operator summary (guidance on the content for these notes is given in the information (“i”) spot next to the heading in VOL.
 - OMAR verification table
 - OMAR report notes
 - summary comments relating to each of the core verification topics (see below) – these are found on the scope tab of the PBV task.
 - notes on sub-topics that relate to issues (e.g. key topics) and recommendations
 - notes automatically pulled through to the PBV report from CARs.
 - mandated task table and any report notes
- There should be no report notes relating to verification of sub-topics that were completed and for which no substantive issues were identified (i.e. they were found to be substantially compliant).
- For the core-topic summary notes, the note must provide to an external reader, a summary of operator and verifier activities relevant to that topic heading.
- Where a report note is the only reference to an issue (e.g. an issue identified in a topic not on the scope), then the context of the issue must be clear in the note.
- Where a CAR is raised there should be reference to the CAR in the core-topic summary and if appropriate a further report note may be added.
- Each report will have report notes on specific countries verified in that period.
- A table summarising the outcomes of the verification sub-topics and premises profile information is automatically included in the report.
- **The use of copy/paste from previous reports is not acceptable.**

PBV reports can be written largely from the ‘Scope’ tab of the PBV task. The executive summary and operator summaries are still on a separate ‘Report’ tab within the PBV task. Alternatively, core-topics can be managed individually from the task list.

The premises profile is populated from the administration page and is designed to give context to the report without having to write the information every time. Amendment of this information is discussed under section 1.

Sub-topics audited during the PBV period must be given an outcome (acceptable or unacceptable); this outcome will be tabulated in the PBV report (Fig 6). This task outcome table also places an asterisk against sub-topics for which a report issue (key topic) was raised. Report notes for sub-topics should be limited to those topics resulting in key topics or for which recommendations need to be noted in the report.

Note, that recommendations must only be about improvements; they must not be warnings about specifications that are not being met.

Details relating to open key issues are automatically pulled through to the report. However, a comment relating to all open CARs is still needed in the executive summary.

For sub-topics in which the operator was considered to be substantially compliant, no report comment is needed.

5. AsureQuality reports

5.1 AQ audit set-up

Within the premises 'Administration' tab, all of the appropriate subtopics must be enabled – these reflect the new titles of the AQ systems. Some of these may have been enabled during the change-over process, but they need to be checked in the Administration tab for the premises (Fig 8) to ensure they are appropriate for the premises.

The screenshot shows the 'Administration' tab of the AsureQuality system. On the left is a sidebar menu with options like Site, Tasks, Notes, Administration, Animal Welfare Cases, Antemortem Statistics, Calendar, Corrective Actions, Certification, Contacts, Documents, Farm Administration, Official Devices, Port Call, Preapprovals, Procedures, Relief/Absence, Retained Product, Statistics, Verification Records, Team, and National. The 'Administration' tab is selected. The main content area has a top navigation bar with tabs: Profile, Address, Billing, Site Code, Department, Preference, Sector, RORP, PBV, OMAR, and AsureQuality (which is highlighted). Below this, it says 'Current AsureQuality audit due 29-07-2014' and 'Current Asure step 5.2'. A section titled 'AsureQuality Step Ceiling' has a dropdown menu set to '5.2 (Three Monthly)'. Below this are three sections of tasks, each with an 'Enable' button and a blue information icon. The first section is 'AQ: APMIS' with tasks 5.1 to 5.4, all of which have 'Enable' buttons. The second section is 'AQ: Ante-Mortem Examination' with tasks 1.1 and 1.2; task 1.1 has 'Disable' and 'Edit' buttons and is marked 'Selectable from audit scope', while task 1.2 has an 'Enable' button. The third section is 'AQ: Postmortem Examination' with tasks 2.1 to 2.4; tasks 2.1, 2.2, and 2.3 have 'Disable' and 'Edit' buttons and are marked 'Selectable from audit scope', while task 2.4 has an 'Enable' button. A red circle is drawn around the 'Enable' button for task 2.4.

Fig 8. Administration tab of the premises showing those AsureQuality tasks that have been enabled

5.2 Audit Task

In the new version of the AQ audit there are no sub-topic tasks generated, and the scope page of the audit task is not present (Fig 9). So, in the premises task list, there is only the AsureQuality audit task. Notes relating to the sub-topics (e.g. if a key topic is issued) can still be entered using the compliance history tab or from the notes page in VOL.

5.3 Report

The audit report (on the 'Report' tab of the AQ audit task) consists of an executive summary, together with radio buttons for the sub-topics; these allow the outcome for the individual subtopics to be recorded. Three choices are available:

- Acceptable
- Unacceptable (allows creation/linking to a CAR)
- Not done (N/D)

ME66 AsureQuality Audit

Assure Step 3.2	Status Not Started ▼	Planned date 23-07-2014	Outcome Acceptable ▼	Completion date <div style="border: 1px solid black; height: 20px;"></div>
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[Done](#)
[Save](#)
[Close](#)

[Audit Details](#)
[Compliance History](#)
[Report](#)
[Versions and Print](#)
[Change Log](#)

Executive Summary

[Recover](#)

AQ: Administration:Competencies and training ⓘ Last done 28-06-2012 by Ashley Morley : Acceptable
☒ N/D ☐ Acceptable ☐ Unacceptable

AQ: Administration:Documentation and approval of inspection procedures ⓘ Last done 20-09-2012 by Ashley Morley : Acceptable
☒ N/D ☐ Acceptable ☐ Unacceptable

AQ: Administration:Monitoring postmortem examination performance ⓘ Last done 02-07-2014 by Shirley Morrison : Acceptable
☒ N/D ☐ Acceptable ☐ Unacceptable

Fig 9. Report page of the AsureQuality audit task

The appropriate radio button for each subtopic must be selected and this will feed through into the final report.

Report Notes

Report notes are entered via the Compliance History tab and are only required to describe audit issues (key issues or key topics) or recommendations. For sub-topics in which AsureQuality was considered to be substantially compliant, no report comment is needed.

There is no expectation for a report note for any sub-topic, unless there have been issues identified during the audit.

Executive Summary

This must always be completed; guidance for content of this summary is listed under the 'i' spot.

Expectations for Supporting Evidence

The concise-type report does not change the requirement for sufficient supporting evidence to justify the audit outcome. This evidence may be in the form of hard-copy check sheets or work notes under the individual sub topic headings in the compliance history.