

# Facility Report Sheet and Audit Agenda

## Supply Chain Food Safety BRCGS Food Safety

Printed: 3/20/2026 9:32:53 AM  
 Revision of audit plan: 3/20/2026 9:32:53 AM

**Type of Audit:** Recertification

**Customer Info:**

Customer Name: OCEANO SEAFOOD S.A.  
 BRCGS Site Number: 10008465  
 Customer Number: C0738372  
 Customer Address: Muelle Pesquero S/N Matarani, Arequipa,,Peru  
 Customer Primary Contact: ANTONIETA CHAU AMEMIYA  
 Customer Phone Number: 987236170  
 Customer Email: antonieta.chau@osf.pe

Audit Standard: BRCGS Food Safety  
 Industry Code(s): 4. Raw fish products and preparations.  
 Integrated Audit: NO  
 Voluntary Module:

Scope of Registration: Filleting or not, sizing or not, freezing and packed in LDPE film or bags of cephalopods, fish in blocks or fletches, finally packed in corrugated cardboard boxes and/or polypropylene bags. Desalting, grading, salting and freezing of flying fish roe packed in LDPE bags inside a corrugated cardboard box.

Exclusions: None  
 Audit Date(s): 07-APR-2026 TO 08-APR-2026  
 Audit Boundary: 05-APR-2026 TO 03-MAY-2026  
 Number of HACCP Plans: 3  
 Risk Area  
 Employee Count: 96  
 Number of Shifts: 2  
 Employees per Shift(s):

Shift	Employee Count	Shift Time
1	48	07:00 - 19:00
2	48	19:00 - 07:00

Facility Size: 1359 sq mt.

**Audit Team:**

Lead Auditor: Diego Helfer Campos  
 Email: dcampos@nsf.org  
 Phone Number:  
 Observer(s):  
 Technical Expert(s):

**Please list the total number of hours audited by each auditor (by name):**

	Name	Hours
Lead Auditor:	Diego Helfer Campos	18

**GFSI Audit History**

Date	Scheme/Standard	Announced/Unannounced
19 MAR 2025	BRCGS Food Safety	Unannounced
15 APR 2024	BRCGS Food Safety	Announced

## Facility Report Sheet and Audit Agenda

03 MAY 2023

BRCGS Food Safety

Announced

### Additional Agenda Items:

*Note 1: The audit plan is a guideline and the scope of the audit is defined by the current certificate. Adjustments can be made as needed during the course of the audit to accommodate audit trails and customer availability as much as possible.*

### Audit Details

This information relates to the audit. Please ensure that the information is passed to the appropriate personnel within your organization in order to ensure that the site has an opportunity to prepare for the audit. Please note that in order to maintain the quality of our service or for training purposes our auditor may be accompanied by other NSF personnel. In this circumstance, you will be informed prior to the audit.

### **Standard to be assessed against**

- The audit will be carried out against the requirements of the current BRCGS Food Safety issue.
- The audit must take place on or before the re-audit due date for a reassessment audit. Late audits may result in a nonconformance being issued.

### **Audit Logistics**

- The audit must take place when the site is in operation/production. Please notify your account manager if the dates listed correspond with site downtime.
- The auditor will arrive at the scheduled time stated in the accompanying audit agenda. At the opening meeting, the auditor will confirm the agenda for the audit.
- The Standard requires that the most senior Production or Operations Manager on site attend the audit opening and closing meetings. Managers responsible for Food Safety, the Quality Management System, Operations, Personnel, Training, Maintenance, Hygiene or their nominated deputies may be required to participate in the audit.
- The audit will include a site inspection including external areas, a review of documentation/records, and a “traceability” challenge.
- Documentation relating to the Food Safety and/or HACCP Plan, the Quality Management System and their procedures, work instructions and records will need to be made available in a timely manner. This will also include training, maintenance, pest control and microbiological and analytical records, and specifications. All documents will be treated as confidential. Annex 1, attached, lists in more detail examples of documentation which may be requested for review during the audit.
- The auditor will require some private time, at the end of the audit, in order to generate a site report that will form the basis of discussion at the closing meeting.
- The auditor will give feedback on any deficiencies or nonconformities found. The timescales for corrective action will be confirmed, and the auditor will explain the process of certification.
- An interim nonconformity report will be signed by the auditor and left with you.

### **After the Audit**

- During the closing meeting, the auditor will explain the process for submitting root cause, corrective and preventive actions for all nonconformities issued during the audit. The required Standard timeframe is 28 days from the last day of the audit. The 28 day requirement includes the time needed for review and approval. Sites are encouraged to enter all actions within 21 days to avoid late submissions. Late submissions may result in the site certificate being suspended or an audit decision of “No Certification.”
- The audit grade is dependent on the number and severity of nonconformities identified during the audit following technical review of the audit report and timely closure of nonconformities. The grade and issuance of a certificate is decided by the Certification Body’s Technical Management team upon review of the audit report. **Grading is scheme and/or module specific.**

### **EXAMPLES OF SOME TYPES OF DOCUMENTATION WHICH MAY BE REQUIRED FOR REVIEW**

## **Facility Report Sheet and Audit Agenda**

---

### **SENIOR MANAGEMENT COMMITMENT AND CONTINUAL IMPROVEMENT**

- Food Safety/Quality Objectives
- Minutes of management review meetings
- Records of management reviews

### **HAZARD & RISK MANAGEMENT SYSTEM – HARM**

- Food Safety team.
- Product description and intended use.
- Process flow.
- Hazard Analysis.
- CCP determination records.
- CCP critical limits and monitoring.
- Documentation and records.

### **QUALITY MANAGEMENT SYSTEMS**

- Quality manual – policies, procedures, work instructions.
- Internal audits.
- Supplier approvals and raw material monitoring records.
- Document control records.
- Specifications.
- Corrective action records.
- Traceability test records. Product recall / incident test records.
- Customer complaint records.

### **SITE STANDARDS**

- Air conditioning filters replacement / checks / specifications. Water test results internal and external.
- Preventative maintenance records.
- Glass / clear plastic check and breakage records.
- Wood / knife / other foreign body risk records of checks.
- Cleaning records, swabbing records, cleaning audits / checks, controlled waste contractor records.
- Pest control file.
- Transport – temperature / cleaning checks.
- Site security.

### **PRODUCT AND PROCESS CONTROL**

- Product development records.
- Graphic Design and Artwork Control (if applicable)
- Packaging Print Control (if applicable)
- Process Controls
- Calibration
- Product Inspection, Testing and Measuring
- Non-conforming product records of corrective action.
- Incoming Goods and Storage
- Transportation

### **PERSONNEL**

- Training and induction records

## Facility Report Sheet and Audit Agenda

---

- GMP Rules
- Staff Facilities
- Medical screening
- Protective clothing

## Facility Report Sheet and Audit Agenda

### BRCGS Food Safety AUDIT (Re-certification)

#### TENTATIVE ASSESSMENT SCHEDULE

DUE TO THE NATURE OF PROCESS AUDITING AND COMPLETING PROPER AUDIT TRAILS THE TIMES ALLOCATED TO EACH PROCESS MAY CHANGE. (FOOD HYGIENE PRINCIPLES, RECORDS AND DOCUMENTS AUDITED THROUGHOUT EACH PROCESS)

Day/Date	Time	Shift	Activity / Process to be audited including linkages and/or interfaces to support locations	Lead Auditor Team Auditor(s)
7-04-2026	08:00 – 08:30	-	Opening Meeting * Review of FRS/Application * Review of Audit/Registration Process * Initiate Traceability Exercise (review trace 4 hrs after)	All
	08:30 – 09:30	-	Chapter 2 – HACCP Review of sections #2.1 – 2.6	Lead Auditor: Diego Helfer QA specialist
	09:30 – 13:00	-	Plant inspection (section #4 process start to finish – selection of audit trails) Chapter 4 – Site Standards – Visita al Proceso (Site inspection) Evaluación de PCC (CCP Assessment) **this will involve several visits to the factory and will include –pre-op inspections, line changes, where applicable** **THE REST OF THE SCHEDULE MAY CHANGE BASED ON INDICATORS/TRENDS IDENTIFIED.**	Lead Auditor: Diego Helfer Plant FS/QA specialist
	13:00 – 14:00	-	Lunch	All
	14:00 – 15:00	-	Review of the chosen traceability Chapter 2 – HACCP Review of sections #2.7 – 2.14	QA specialist
	15:00 – 17:00	-	Review of sections # 4 **this will involve several visits to the factory and will include –pre-op inspections, line changes, where applicable** **THE REST OF THE SCHEDULE MAY CHANGE BASED ON INDICATORS/TRENDS IDENTIFIED.**	Lead Auditor: Diego Helfer QA specialist
	17:00 – 18:00		Chapter 6: Process Control 6.1 Control de Operaciones. 6.2 Control de etiquetado y envasado 6.3 Cantidad: Control de Peso, Volumen y número Unidades 6.4 Calibración y control de los equipos de medición	Lead Auditor: Diego Helfer QA specialist

## Facility Report Sheet and Audit Agenda

8-04-2026	07:00 – 11:00	-	Review of sections # 3 Quality Manual Document Control Record Maintenance Internal Audits Supplier and Raw Material Approval Specifications Corrective Actions (including verification of previous NCs) Control of Non-Conforming Product Traceability Complaints Management Incident Management and Product Recall	Lead Auditor: Diego Helfer  QA specialist
	11:00 -12:30		Review of Senior Management Commitment (Section #1) (auditors have the option to cover this later)	Lead Auditor: Diego Helfer  Plant Senior Mgt /QA specialist
	12:30 – 13:30		Chapter 7 – Personnel Practices 7.1 Capacitación 7.2 Higiene de Personal 7.3 Revisiones Médicas 7.4 Ropa de Protección	Lead Auditor: Diego Helfer  Plant FS/QA specialist
	13:30 – 14:30	-	Lunch	All
	14:30 – 16:40	-	Chapter 5 – Product Control 5.1 Diseño y Desarrollo del Producto / Cumplimiento Regulatorio 5.2 Etiquetado de Productos 5.3 Gestión de alérgenos 5.4 Autenticidad, reclamaciones y cadena de custodia 5.5 Envasado de productos 5.6 Inspección de producto y análisis de laboratorio 5.7 Liberación del Producto	Lead Auditor: Diego Helfer  QA specialist
	16:40 – 16:50	-	Audit team report preparation	Auditor
	16:50 – 17:00	-	Closing Meeting/End of Day	All

### AGREEMENT TO NOT DISCLOSE AND NOT TO CONSULT

In consideration of my appointment as Auditor to represent NSF Certification LLC in conducting food safety and related management system audits to a specified standard(s).

I, hereinafter referred to as the ‘Auditor’, agree to the following terms:

The Auditor will not at any time during or subsequent to this agreement disclose or use in any way information of knowledge or data received or developed while providing auditing service for NSF, including but not limited to, plans, lists, prospect lists, and trade secrets of NSF or its Customers.

While representing NSF, the Auditor may have access to confidential business information from NSF’s Customer and

## **Facility Report Sheet and Audit Agenda**

---

others, and may be authorized to handle this information in the performance of those responsibilities. The Auditor will assume that this is proprietary information of the customer or parties supplying it and will not reveal by to others outside NSF as required in the execution of accepted audit activities. The Auditor agrees to maintain this information in a secure manner so that any accidental disclosure is prevented.

The Auditor understands that unauthorized disclosure or handing of confidential business information will result in immediate disciplinary action, which can and will include, but not to be limited to, cancellation of the Auditor's appointment to represent NSF and other damages which may occur. Should the Auditor's authorization to handle confidential information to be revoked while appointed to represent NSF or as a result of cancellation of that appointment to represent NSF, it is understood that this obligation not to reveal confidential business information will still be remain in force.

Upon cancellation of this appointment to represent NSF for any reason, it is agreed to promptly deliver to NSF all physical property, plans, designs, computer programs, computer lists, prospect lists, records, letters, notes, reports, and all other materials relating to NSF and/or its customers that are possession or control.

Furthermore, the Auditor, hereby attests not to have provided consultations or other services to NSF's customer for a period of at least two (2) years. To preclude any actual or perceived conflict of interest, the Auditor also agrees to not enter into any agreement, provide consultation or other services to NSF's customer except for those services under contract directly with NSF for an additional period of two (2) years after completion of contracted services with NSF for this specific Customer.