



Case Study- Retailer 1

Background

In 2009 FoodCheck worked with a major retailer 1 to evaluate and improve their compliance system. The challenge was to audit, capture and report at each site and to the centre, levels of compliance, specific non compliances and RAG ratings.

Additionally there was a need to track and close out non compliances over a given period. At the centre there was a need to report to the business trends, with respect to compliance, closure of non-compliances, and specific targeting of critical areas of non-compliance to show improvements.

Key Issues

The audit scope included food safety, health and safety, fire safety and trading standards.

The key challenges were:

- Bespoke audit definition to include questions, policy, scoring methodology and RAG rating.
- Policy to provide clear interpretation of 'what good looks like'.
- Functionality to allow auditors to summarize non-compliant issues and to advise management of the outcome of the audit, in terms of overall score and compliance rating.
- Automated feedback reports to be emailed to nominated recipients at store. The recipients contact details captured and reported as part of the audit and the database updated automatically for future reports.
- Bespoke management reports created to allow analysis of key issues in a Red Amber Green format for instant recognition.
- Management reports to include departmental summaries, question analysis against specific report categories and summary period end reports.
- Functionality to allow a revisit audit definition to be constructed from the findings of the initial audit.
- Revisit audit definition to be store specific and available to the auditor on the pda when the revisit was required.

The Solution

- Working closely with the retail technical team, the questions and policy were re-examined and given greater clarity with respect to 'what good looks like'.
- Bespoke audit definition created and version controlled.
- Enhancements made to the Audit Manager software to allow scoring and ratings to be displayed on the pda's before auditor/manager sign off.
- Audit definition to include a question allowing capture, on the pda, of the nominated recipient's email address for feedback email report purposes.
- Bespoke management reports namely:
 - Section Summary – *This report produces a summary of section performance for each audit undertaken within a specified date range and audit definition. It shows the overall score and follows set customer rating for the audit definition.*
 - Question Analysis – *This enables the user to analyse compliance with set questions using report categories. It appears in tabular format and follows any set customer rating for the audit definition.*
 - Period End – *This is a client specific report, outlining key performance criteria within given periods.*
- Enhancement to the web and pda software to allow site specific non compliances, identified during the initial audit, to be carried across to a new revisit audit definition and downloaded to the pda.

The Results

- Greater clarity between the centre, the store and the auditor in terms of policy and standards.
- Improved levels of auditor consistency.
- A bespoke audit definition (audit template) that includes 450+ questions and together with policy, represents 70+ sheets of A4 paper, promoting the value of paperless system.
- Auditors are able to confirm with management the results of the audit in terms of overall score, overall rating and summary of the non compliances, prior to leaving the store. This information is displayed on the pda before the audit is signed off.
- Auditors are able to check/amend recipient's contact details for feedback email report purposes, ensuring the email goes to correct person.
- Functionality for the retailer to analyse audit results by department and sub department, by individual question against specific report categories and to summarise/trend period end results.