Internal Audits

Introduction

The company has established, documented and implemented an internal audit system, which is maintained in order to verify the Food Safety Quality Management System is effectively implemented and updated and complies with planned arrangements legislation, international standards and best industry practice.

Scope

The scope of the Internal Audit System covers all aspects of the food safety quality management system and includes all products manufactured on site, all processes and activities conducted on site.

These requirements are aligned with company policies and objectives and those of the current version of the SQF Food Safety Code.

Procedure

The Senior Management has a total commitment to the food safety quality management system and provides adequate resource in the form of trained and qualified personnel to carry out a comprehensive Internal Audit Schedule. Internal audits are performed to confirm that company management systems are working effectively and to promote continuous improvement. The company philosophy is to audit, review and improve.

The Internal Audit Schedule is planned annually and is designed to comprehensively cover all areas of the Food Safety Quality Management system including HACCP programs, prerequisite programs and procedures. The scope and frequency of the audits are based on risks associated with the activity and previous audit performance. All areas are covered as a minimum annually.

Internal audits are also scheduled for each department's documents, procedures and records are scheduled based on risk.

Audits of the food safety and quality management system procedures, policies and activities are listed in the Food Safety and Quality Management Audit Schedule.

The scope of the internal audit program includes:

- Food safety plans and activities
- Prerequisite programs
- Food Defense Plans
- Food Fraud Prevention Plans
- FSQMS procedures

Document Reference **Internal Audit QM 3.4**
Revision 0 1st November 2022
Owned by: Technical Manager
Authorized by: General Manager

1

Internal Audits

QM 3.4 Internal Audit Schedule

A76: QM 5.1 Product Design & Development

BRC Audit Plan with Risk Rating

High Risk - Quarterly Audits
Medium Risk - Six Monthly Audits
Low Risk - Annual Audit

	Possibility	Severity	Significance	Comments
Failure Assessment				
Section 1 Senior Management Commitment				
QM 1.1 Senior Management Commitment	1	2	2	
QM 1.1.1 Food Safety and Quality Policy	1	2	2	
QM 1.1.2 Food Safety Culture	2	2	4	
QM 1.1.3 Food Safety and Quality Objectives	1	2	2	
QM 1.1.4 Senior Management Review	1	2	2	
QM 1.1.5 Management Meetings	1	2	2	
QM 1.1.6 Confidential Reporting System	1	2	2	
QM 1.1.7 Human and Financial Resources	1	2	2	
QM 1.2 Responsibility and Authority	2	2	4	
QM 1.2A Communication	1	2	2	
Section 2 The Food Safety Plan - HACCP				
QM 2 HACCP System	2	3	6	
QM 2.1 HACCP Team and Scope	2	3	6	
QM 2.2 HACCP Prerequisites	Covered By Audits of BRC Sections as in Table Summary Below			
QM 2.3 HACCP Product Description and Relevant Information	3	3	9	
QM 2.4 HACCP Intended Use	3	3	9	
QM 2.5 HACCP Flow Diagrams	3	3	9	
QM 2.6 HACCP Flow Diagram Verification	3	3	9	
QM 2.7.1 Hazard Identification	3	3	9	
QM 2.7.2 Hazard Assessment	3	3	9	
QM 2.7.3 Identification of Control Measures	3	3	9	
QM 2.8 Identification of Critical Control Points (CCPs)	3	3	9	
QM 2.9 Establishing Critical Limits for each CCP	3	3	9	
QM 2.10 Establishing a Monitoring System for each CCP	3	3	9	
QM 2.11 Establishing a Corrective Action Plan	3	3	9	
QM 2.12 Establishing Verification Procedures	3	3	9	
QM 2.13 Establishing HACCP Documents and Records	3	3	9	
QM 2.14 Review of the HACCP Plan	3	3	9	
Section 3 Food Safety & Quality Management System				
QM 3.1 Food Safety and Quality Management System	2	3	6	
QM 3.2 Document Control	2	3	6	
QM 3.3 Appendix Record Register	2	3	6	
QM 3.3 Control of Records	2	3	6	
QM 3.4 Internal Audits	2	3	6	
QM 3.5 Supplier and Raw Material Approval and Monitoring	3	3	9	
QM 3.6 Specifications	3	3	9	
QM 3.7 Corrective Action and Preventive Action	3	3	9	
QM 3.8 Control of Non Conforming Product	3	3	9	
QM 3.9 Identification and Traceability	3	3	9	
QM 3.10 Management of Customer Complaints	2	3	6	
QM 3.11.1 Business Continuity Planning	2	3	6	
QM 3.11.2 Product Recall Procedure	2	3	6	
Section 4 Site Standards				
QM 4 Site Standards	Covered By Documented Inspections of			
QM 4.1 External Standards	2	3	6	

Tabs: **Audit Risk Rating** | GMP Audit Schedule

The Technical Manager draws up the Internal Audit Schedule based on the following criteria:

- Risk associated with the procedure or activity
- Results of Previous audits
- Number of Corrective Actions raised or outstanding
- Customer Complaint Analysis
- Number of Preventative Actions raised or outstanding
- Results of the Management Review

Document Reference **Internal Audit QM 3.4**
Revision 0 1st November 2022
Owned by: Technical Manager
Authorized by: General Manager

2

Internal Audits

The Technical Manager is responsible for allocating the audits as per the Schedule to an independent Auditor. For each audit a specific audit checklist is issued to the Auditor specifically outlining the scope of the audit, audit criteria and a list of items to be audited (Including follow up of previous audit findings and corrective actions).

Internal Auditors are responsible for carrying out the procedure as described below:

General Procedure detailing the correct method for completing internal department audits

1. The site internal audit schedule determines which audits are to be carried out. The auditor must make sure they have the correct audit checklist form to carry out the audits.

2. A date and time for the audit to take place must be agreed with the department. A representative from the department must be present during the audit.

3. The auditor uses a specific audit form and checklist designed by the Technical Manager for each department or area.

4. The audit report is rated based on the following criteria:

   - RED – Major or Critical Non-conformance(s) identified and imminent risk. Immediate documented Corrective Action is required and a written follow-up necessary.

   - AMBER – Minor Non-Conformance(s) identified there is a potential risk. The Corrective Action required is documented and a verbal follow up is required.

   - GREEN – Satisfactory or Positive with comments or suggestions for improvement

5. When the audit is completed and the report given a rating. Positive as well as negative comments are included in the report. Major Non-conformities are immediate highlighted to the department manager, who is responsible for the corrective and preventive action without undue delay.

6. The Department Manager reviews the audit findings with the auditor and agrees timescales to complete corrective action for the major and minor non-conformances.

7. The Department Manager then signs and retains a copy of the report which includes details of the non-conformances, proposed corrective actions and the agreed time scale to complete the corrective actions. If the audit rating is red then an immediate corrective action plan is reported to the Technical Manager.

Document Reference **Internal Audit QM 3.4**
Revision 0 1st November 2022
Owned by: Technical Manager
Authorized by: General Manager

3

8. The Departmental Manager is responsible for documenting the corrective actions taken for all the non-conformances raised. The Departmental Manager decides if root cause analysis tools should be used to identify appropriate preventive actions; i.e. actions that will prevent a recurrence of the non-conformity. In this case, a Preventative Action is also raised and competed.

9. Completion of the corrective and/or preventive actions are verified by an independent auditor allocated by the Technical Manager and also checked on the next audit.

10. Outstanding corrective actions completed are signed off whilst any uncompleted actions are escalated to the Technical Manager.

The Internal Auditor also completes an internal audit report for the Technical Manager. This gives feedback from the auditor on the following:

- If the area audited conforms to the requirements
- Opportunities for improvement
- Non-conformities and recommendations
- Strengths and weaknesses
- Confirmation if the food safety management system is adequate in the area audited
- Recommendations for future audit planning
- Items to follow up on the next audit

The Technical Manager reviews all audit reports, the non-conformances raised and the proposed corrective actions. Should it be deemed necessary, usually when a major non-conformance has been found, the Technical Manager will schedule another audit to verify timely corrective action has been completed. In this case, the Internal Audit Schedule will be revised and reissued.

Hygiene, Housekeeping and Fabrication Audits

A separate program of documented hygiene and fabric audits of the factory environment and processing equipment are conducted to assess cleaning and housekeeping performance and identify risks to the product from the building or equipment. The frequency of these audits is determined by the Technical Manager based on risk but at a minimum monthly.

Responsibility

The Technical Manager is responsible for updating audit procedures and schedules and for ensuring that audits are carried out to schedule.

The Technical Manager is responsible for ensuring that the audit procedure is relevant and up to date and covers all areas including Food Safety Hygiene, Environment, Processes, Procedures and Systems.

Document Reference **Internal Audit QM 3.4**
Revision 0 1st November 2022
Owned by: Technical Manager
Authorized by: General Manager

4

Internal Audits

The Technical Manager is responsible for ensuring that procedure is correctly carried out and that the trained auditors have sufficient competency. The Technical Manager is responsible for maintaining records of auditor assessment and training.

The Department Managers are responsible for ensuring that timely corrective actions are carried out as necessary and that those corrective actions are documented.

The Technical Manager summarizes and reports the results of all Internal Audits at the Management review meeting including trend analysis and identifying areas for

improvement. This information is also used as an input to updating the Food Safety Quality Management System.

References

Internal Audit Schedule
Internal Audit Checklists
Internal Auditor Training Records

Document Reference **Internal Audit QM 3.4**
Revision 0 1st November 2022
Owned by: Technical Manager
Authorized by: General Manager

5