Performing a Successful Internal Audit to the SQF Fundamentals Program
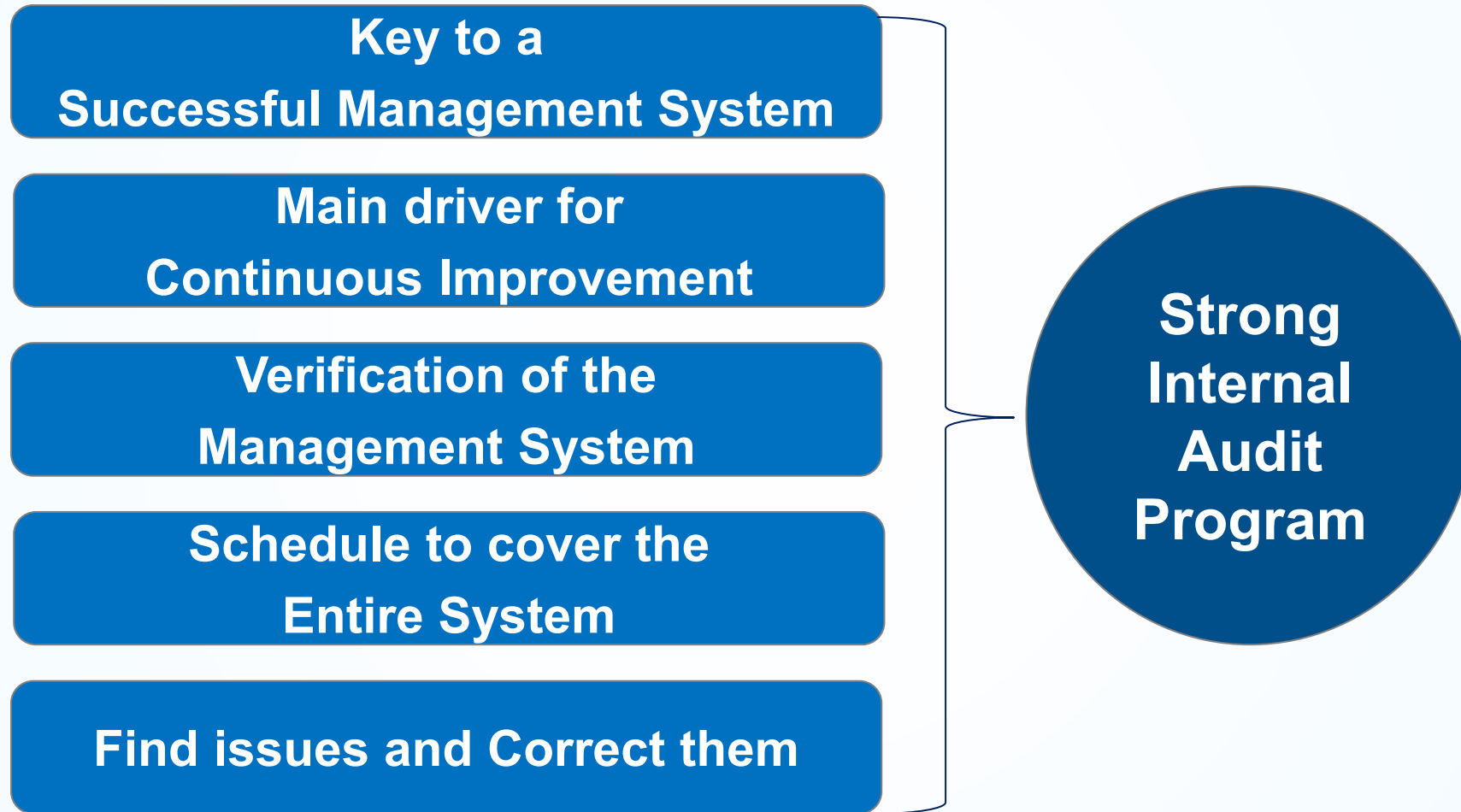
Roger Roeth | Chief Technical Officer @ EAGLE Certification Group

Agenda

- ➡ Why it's important
- ➡ Identifying gaps
- ➡ Preparing for the internal audit
- ➡ Resources
- ➡ What to cover – creating a checklist
- ➡ How to conduct an internal for the most effective result
- ➡ After the internal audit

Why create a robust Internal Audit program

Key to a
Successful Management System

Main driver for
Continuous Improvement

Verification of the
Management System

Schedule to cover the
Entire System

Find issues and Correct them

Strong Internal Audit Program

Why Internal Audits are Essential

- Required by the standard – cover the entire standard

- Great learning tool

  - General staff

  - Internal auditors

- Vital to the health of the Food Safety Management System

- Verification of the management system

  - Ensures proper validation results

- Results in a successful SQF audit

Preparing for the Audit

➡ Management Commitment and Support

   ➡ Essential part of business reporting – not just a requirement of the standard

   ➡ The "Eyes and Ears" of management

   ➡ Be part of the process

   ➡ Treat as a key role and responsibility - recognition

   ➡ Provide time to do the job right

   ➡ Provide the resources

   ➡ Give them the proper authority

Preparing for the Internal Audit

➤ Understand the requirements

　➤ First – read the code

　➤ What does the code state

　➤ What is the true intent of this requirement

　➤ Understanding the terminology

　➤ Creating a checklist

Preparing for the Audit

- Develop the proper tools
  - How will the internal audit be documented?
    - Use the checklist
  - Who is going to perform?
    - Audit team
    - Training
      - Best training program – Combination of classroom and on the floor observation
      - Record of training

Preparing for the Audit

➡ Use a checklist

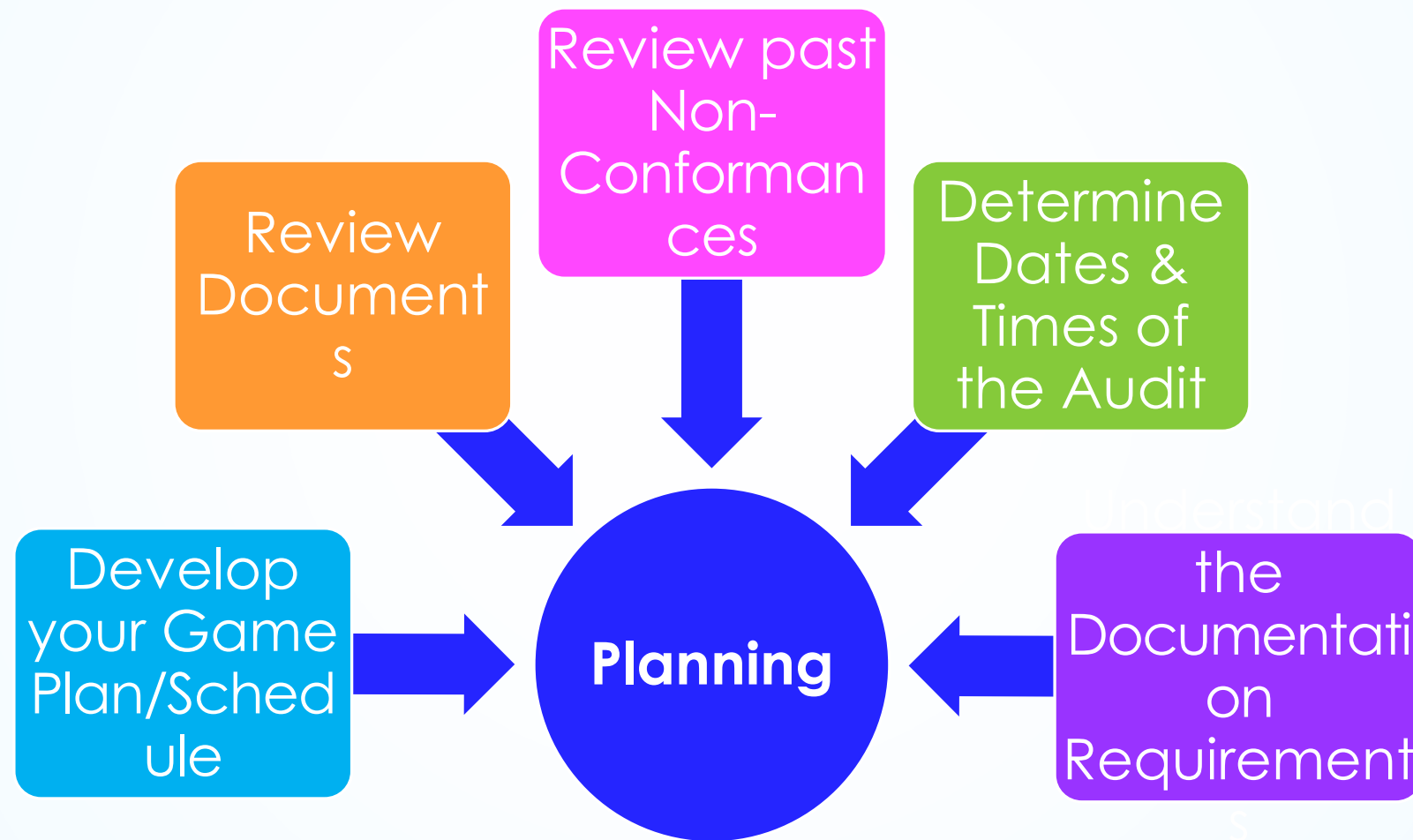| Module 2 (Intermediate) Manufacturing - 2.1.2 - Management Responsibility					
Code	**Name**	**Mandatory**	**Description**	**Primary Response**	**Evidence**
Requirement 2.1.2.1		X	The reporting structure describing those who have responsibility for food safety shall be documented, identified and communicated within the site.		
Requirement 2.1.2.2		X	The senior site management shall make provision to ensure fundamental food safety practices and all applicable requirements of the SQF System are adopted and maintained.		
Requirement 2.1.2.3		X	The senior site management shall ensure adequate resources are available to achieve food safety objectives and support the development, implementation, maintenance and ongoing improvement of the SQF System.		
Requirement 2.1.2.4		X	Senior site management shall designate a person responsible for each site with responsibility and authority to: i. Lead the development and implementation of Good Manufacturing Practices (GMP) outlined in 2.4.2; ii. Oversee the development, implementation, review and maintenance of the SQF System; and iii. Take appropriate action to ensure the integrity of the SQF System.		
Requirement 2.1.2.5			The person responsible designated under 2.1.2.4 shall: i. Be fully employed or contracted by the site as a company employee/contractor; ii. Hold a position of responsibility in relation to the management of the site's SQF System; iii. Be competent to implement and maintain food safety fundamentals; and iv. Have an understanding of the SQF Food Safety Fundamentals and the requirements to implement and maintain SQF System relevant to the site's scope of certification.		
Requirement 2.1.2.6			Job descriptions for those responsible for food safety shall be documented and include provision to cover for the absence of key personnel.		
				Summary	

Preparing for the Audit

➡ Audit Team

    ➡ Cross functional

    ➡ Train

    ➡ Understand the responsibilities of an auditor

➡ You are the team

    ➡ Same requirements as above

    ➡ Remove all partiality

Responsibilities of an Internal Auditor

Review past Non-Conformances

Review Documents

Determine Dates & Times of the Audit

Develop your Game Plan/Schedule

Planning

Understand the Documentation Requirements

What to Cover

➥ Depends on if auditing Basic or Intermediate

   ➥ Basic – Mainly GMPs, process, facility and grounds

   ➥ Intermediate – all requirements

➥ Both will cover the inspection of the facility and grounds

➥ Interview and observe staff

➥ Record review

How to Achieve the Most Effective Results

➡ Challenge your system

  ➡ Sampling

    ➡ Identify calibration equipment and check records

  ➡ Interview and observe staff

    ➡ Ask open ended questions

  ➡ Compare written procedures with what is actually being done

  ➡ Review records

After the Internal Audit

- Share results with the team
  - Develop plan to address findings
- Method to capture findings
  - Document corrective actions – form template
    - Include finding description, code reference, root cause, correction and corrective/preventive action and verification
  - Verify corrective actions completed and effective

Thank you!

Roger Roeth/Chief Technical Officer/EAGLE Certification Group

Roger.Roeth@eaglecertificationgroup.com