

10.4 Internal Audits

Standard

Are internal audits undertaken to ensure the requirements within this Audit Checklist are being met between annual FeedSafe audits?

This Audit Checklist needs to be used to conduct internal audits through the year to ensure the compliance standard is being met. There needs to be a record that internal audits have been undertaken.

The annual audit must confirm that internal audits have been undertaken at least once through the year, with this being more than 3 months before or after the annual FeedSafe audit.

Purpose

To ensure the organisation is meeting internal company requirements, customer requirements, and FeedSafe standard requirements regarding consistent feed safety and quality. To provide an internal avenue for continual improvement and identifying gaps.

Reason

Internal audits provide the organisation an avenue to ensure:

1. Procedures meet FeedSafe standards.
2. Operations are being performed as per procedures.
3. Ensure products meet feed safety and quality expectation.
4. Ensure regulatory requirements are met.
5. Provide opportunities to recommend improvements.

What is Acceptable?

Internal audits must cover the whole feed safety and quality management system (FSQMS) annually. This can be performed once per year, or best practice is to divide your internal audit into quarterly or monthly sections.

Who can do the internal audit?

There are two criteria for selecting the person(s) who can perform the internal audits. These are:

1. Person must be independent of the process being audited (you cannot audit your own work). For example, the QA person cannot audit QA procedures, however Production Manager could audit QA processes.
2. The person must be familiar (and preferably externally trained) with the FeedSafe standard.

If the organisation is small and this is difficult, then two people can audit the process (e.g. QA and Production together can audit QA).

What must be included in your auditing documentation?

1. Procedure explaining internal auditing process and actions to be taken for nonconformances.
2. Schedule of what audits will be performed when.
3. Checklist to be used for internal audits.
4. Reports of completed audits.
5. Non-conformance follow up and closure records.

Procedure – internal audit process and responsibilities are explained, including the processes required to close out findings from the audit.

Schedule – planning to ensure the whole FSQMS system is going to be covered in the 12 months. If only one audit is to be performed in the year, then this is not within 3 months of the annual external audit. If the audits are going to be spread through the year, then which sections are going to be audited during which period/date.

Checklist – Ensure the checklist covers FeedSafe requirements as well as any product specific or company specific requirements. The checklist should include space for a compliant/noncompliant rating, as well as space for the auditor to write evidence sighted.

Reports – The report can be the completion of the checklist if the checklist is written like a form. Reports should provide information regarding evidence sighted that is compliant, any gaps sighted (nonconformances), and any recommendations for improvement. The report should also include date, name of auditor, name of auditee, review of previous audit outcomes, and summary of conclusions from audit.

Nonconformances – There must be documented evidence on actions taken to close out nonconformances and the dates these were closed. This can be provided in the audit report above or through the organisation's corrective action procedures (refer to Fact Sheet 10.2.1).

Example Procedure and Schedule below.

INTERNAL & EXTERNAL AUDITS

1. PURPOSE

This procedure describes the timing and method of auditing to ensure compliance with FeedSafe standard, product quality standards, regulatory requirements, and to recognise any improvement required in the Quality and Feed Safety Management System.

2. SCOPE

This procedure is applicable to all sections of the Quality and Feed Safety Management System, including internal departments, products, contract manufacturers, and suppliers. The whole system is to be reviewed annually to ensure it is operating and implemented.

Only personnel trained as Internal Auditors are to conduct internal audits.

The [insert position] is responsible for ensuring audits are implemented in a timely manner and documented.

3. TERMS & DEFINITIONS

Audit: The process of investigating the effectiveness of the Management and Quality System or parts of it (processes) is controlled and assessed through trained auditors. The sense of an audit is the investigation of the actual state, where deviations to the target state are determined. The audit is an instrument for permanent improvement.

Corrective actions: Actions taken to eliminate the causes of nonconformities and prevent recurrence.

Internal Audit: Evaluation of internal systems by internal staff (or external consultant) following a specific checklist.

Exemplar Global: Certification authority for external auditors demonstrated to meet specific standards.

External Audit: Evaluation by an independent third-party that organisation is meeting the requirements of a specific code or standard.

4. PROCESS

Audit Planning

Qualification of the auditors

External: All external people with an appropriate certificate of competence as an auditor, such as Exemplar Global, or approved as auditor according to the specified code/standard being audited to.

Internal: Any employee that has undergone internal or external auditor training, as well as completed the online FeedSafe training modules.

Audit Scheduling

External: External audits shall be booked with approved scheme auditors 3 months in advance and audit performed one month before certificate expiry.

Internal: The annual plan for which sections of the system will be audited and when must be updated annually, ensuring that the whole Quality and Feed Safety Management System is covered each year. The schedule must include:

- Function/product/process being audited.
- Auditor assigned (note this must not be the same person as the process owner).
- Date to be audited.
- Checklist to be used.
- Suppliers that need to be audited.

Audit Implementation

External: Ensure documents are ready for auditor review and auditor is made aware of safety requirements onsite.

Internal:

Preparation for audit includes:

- Specifying the area of the business being audited.
- Ensuring the auditor is independent from the process owner.
- Reviewing previous inspections, both internal and external, along with actions taken.
- Noting any changes to products/processes/ingredients/suppliers/organisation since last audit for particular attention during this audit.
- Informing process owner/other relevant personnel on audit date and time.
- Prepare checklist for the audit (or section of checklist).

During the audit, work in co-operation with all personnel to obtain information on current procedures and processes. Follow the approved audit checklist, ensuring all aspects are covered including:

- Date.
- Auditor.
- Process Owner.
- Previous audit outcomes reviewed and implemented.
- Evidence of compliance that is sighted (documentation and/or observations of work).
- Any deviations/gaps/nonconformance's documented.

After the audit prepare an audit report and communicate findings with all relevant personnel including process owner, supervisors, and management. Findings include strengths, observations, and nonconformances. Classify any nonconformances according to the checklist definitions and date which these nonconformances are required to be addressed by.

Corrective Actions

For both external and internal audits, corrective action for each nonconformance needs to be initiated, actioned, monitored and documented as per the corrective actions' procedure.

The [insert position] shall follow-up all audits to ensure issues are resolved, audits and outcomes are documented, and if there is any major nonconformance then a follow up internal audit is scheduled. Management reviews will include review of all audits and outcomes including timely close out of required corrective actions.

A log of all audits shall be maintained.

BSE Inspections

All staff must be aware of the right to entry of state authorities to inspect and sample under the BSE ruminant feed ban legislation. Results of any inspections need to be recorded.

5. DOCUMENTATION & RECORDS

The following records shall be maintained to assure this program is implemented:

- Internal Audit Schedule
- Internal Audit Reports
- Corrective Action Forms
- Audit log
- Management Review

6. DOCUMENT HISTORY

<i>Version</i>	<i>Date</i>	<i>Description of changes</i>	<i>Author</i>
1	dd/mm/yy	Created original document.	name

Audit Schedule

The below schedule outlines which audits are to be performed in yyyy. This will be reviewed each year.

Month	Scope	Checklist sections	Auditor
February	Certification Rules Biosecurity Personnel & Training	1 11 3	[name / position]
April	Good Manufacturing Practices Transport	2 9	
May	External FeedSafe Audit	n/a	Approved FeedSafe auditor, Quality Manager liaison
June	Monitoring and Improvement <ul style="list-style-type: none"> • Complaints • Corrective Actions • Recalls • Internal Audits 	10	
August	HACCP	5	
October	Document Control Purchasing and Suppliers	4 6	
December	Production Sampling and Testing	8 7	

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