Preparing for a 3rd Party Audit

Presented by AIB International
Establish Reason(s) for Audit

• Determine Audit Scheme to be used:
  – Customer requirement?
  – Internal requirement?
  – Corporate requirement?
  – Combination?
6 Months Before the Audit

• Procure the criteria used for the audit:
  – AIB GMP Audit  www.aibonline.org
  – BRC  www.brcglobalstandards.com
  – SQF  www.sqfi.com
  – FSSC 22000  www.fssc22000.com
Review the Criteria

• Go through requirements line by line
• Call audit company resources for clarification
• Schedule training or pre-audit visit (if needed)
  – To allow for corrective actions
  – Ensure complete understanding of deficiencies in plant and programs
Schedule Audit

• Time frame will vary depending on audit scheme
  – AIB schedules 90 days out
  – BRC, SQF, FSSC 22000 may need longer lead times to schedule
  – Confirm audit dates with auditing company
3 Months Before Audit

• Start detailing gaps in paperwork
  – Third party or in-house pre-audit will have determined these
• Update procedures as indicated
• Start ramping up internal physical inspections
• Garner support from all management
• Advise workforce through meetings of audit goals
• Get everyone’s buy-in to audit goals
2 Months Before Audit

• Continue monthly physical inspections with attention to detail
• Continue paperwork/program reviews
• Maintain workforce communications regarding audit goals.
• Communicate with audit body about any criteria which are still unclear
• Identify areas of opportunity and implement effective correction plans
1 Month Before Audit

• Conduct internal audit using 3rd party audit criteria
• Review results with all plant key players
• Implement corrective actions to identified deficiencies
• Communicate results with workforce
1 Week Before Audit

• Identify key players to participate in audit
• Arrange work schedules to coincide with audit needs
• Continue communications with workforce
• Identify records and programs that will be needed and plan to place them in central location to facilitate audit flow
Day Before Audit

• Gather all documentation that will be reviewed during audit to central location
• Conduct last mini audit of physical building
• Conduct mini meeting with audit participant to ensure they know their role in audit
• Communicate audit goals again to workforce
• Establish note taker for audit findings
• Get a good night’s sleep
Day of Audit

• Get audit flow plan from auditor at opening meeting
• Ensure participants are available when needed
• Get keys to cabinets, bait stations, rooms, etc. so as to keep audit flow moving
• Have paper, spare pen, tools, etc. that will be needed for audit
• Follow auditor through audit and take notes
Day of Audit

• Discuss any findings with auditor when found to ensure complete understanding on both sides
• Implement immediate corrective action when possible
• Provide information and documentation as requested by auditor – preparation of last few months will facilitate this process
• Give auditor quiet space to write audit findings
Day of Audit

• Listen and take notes in wrap-up meeting
• Address any issues of concern or deficiencies not understood with auditor
• Review draft report for factual information
• Ask auditor to clarify report if information needs correction
• Start working on corrective actions as needed