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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