Food Safety Auditing
Practice and Principles
Brings it all together™

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Contents

• Audits
• Principles of auditing
• Auditors
• Managing an audit program
• Conducting an audit
AUDITS
What is an audit?

The systematic, independent and documented process for obtaining audit evidence, and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
Essential

Standard

Competent Auditor

Auditing

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Primary aim

- To be an effective and reliable tool in support of food safety management policies and controls.
- Providing information on which the food business can act to improve its performance.
Audit criteria

A set of:

- Policies
- Procedures or
- Requirements

In the context of food safety what are the audit criteria?

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Food safety criteria are defined

By Law:
- European
- National

Often expressed in:
- Industry Standard, codes of practice and schemes, e.g.
- I.S. 340 series
- BRC Global Standard for Food Safety.
Audit evidence

- Records
- Statements of fact
- Other Information (Visual inspection)

They are relevant to the audit criteria and verifiable; they can be qualitative or quantitative.
Food safety evidence

Food safety evidence could include:

- Interview
- Visual observation / inspection
- Records of legal compliance
- Process
- Product
- Personnel
- Premises / plant
- Pest control

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# Type of audit (programs)

<table>
<thead>
<tr>
<th>First party</th>
<th>Second party</th>
<th>Third party</th>
</tr>
</thead>
</table>
| - Internal audits | - Customer audits  
 - Supplier audits | - External independent  
 - Regulatory  
 - BRC  
 - ISO 22000 |
Definitions 1/3

Auditee:
• The business or organisation being audited

Auditor:
• A person with the competence to conduct an audit

Audit findings:
• The results of the evaluation of the collected audit evidence against the audit criteria
Definitions 2/3

Audit conclusion:
- The overall outcome of an audit provided by the auditor or team after consideration of the audit objectives and all audit findings

Audit scope:
- The extent and boundaries of the audit
  - Location
  - Units
  - Processes
  - Time period
Definitions 3/3

Audit agenda:

• The time-table for the actual audit
## Audit agenda example

<table>
<thead>
<tr>
<th>TIME</th>
<th>ACTIVITY</th>
<th>AUDITOR</th>
</tr>
</thead>
<tbody>
<tr>
<td>9.00 am</td>
<td>Opening Meeting</td>
<td></td>
</tr>
<tr>
<td>9.30 am</td>
<td>Requirement [1]</td>
<td>Purchasing</td>
</tr>
<tr>
<td>10.00 am</td>
<td>Requirement [2]</td>
<td></td>
</tr>
<tr>
<td>1-2.00 pm</td>
<td>Lunch Break</td>
<td></td>
</tr>
<tr>
<td>2.00 pm</td>
<td>Requirement [n]</td>
<td>Product Recall</td>
</tr>
<tr>
<td>4.00 pm</td>
<td>Closing meeting</td>
<td></td>
</tr>
</tbody>
</table>
PRINCIPLES OF AUDITING
The five principles of auditing

• Adherence to the following principles is a prerequisite for providing auditing conclusions that are relevant and sufficient

• For enabling auditors working independently from one another to reach similar conclusions in similar circumstances
The five principles of auditing

1. Ethical conduct
2. Fair Presentation
3. Due professional care
4. Independence
5. Evidence-based approach
Principle 1: Ethical conduct

The foundation of professionalism:

• Trust
• Integrity
• Confidentiality
• Discretion
The need for trust
The need for trust

• An audit essentially establishes a relationship with a business in an effort to improve

• In any such relationship it begins with an exchange of basic data generated through simple observations and examination

• To turn such data into true information trust, built on mutual respect, is necessary

• It is only when the parties are no longer working in fear that they can work together to achieve both business improvement and audit objectives.

HUMAN PROCESS
What do we mean by integrity?

Honest

Sincere

Incorruptible

Upright
What do we mean by confidentiality?

- Basis for trust
- May be privileged in law
- Facilitates open communication
And discretion?

- Sound judgement
- Discrimination between what’s important or not
Principle 2: Fair presentation

This is the obligation to report findings accurately and truthfully

This relates to findings of fact – observed – heard

• “Thermometer no. 189 is out of calibration – due 22.12.2013”

Inferences from such facts should be agreed with Auditee

• “The Auditee has no calibration programme as required by Standard I.S. 343”

Truthful statement of any differences or obstacles encountered

• “A number of key senior staff unavailable”
Principle 3: Due professional care

- The sound application of diligence and judgement
- Auditors must exercise skill and care in accordance with the importance of the audit and the confidence placed in them by the client or other interested parties
What competencies should you expect from a food safety auditor?

- Knowledge
- Training
- Science

- Regulation
- Experience
- Sectors
Principle 4: Independence

• The fundamental basis for impartiality and objectivity
• No bias
• No conflict of interest
• Auditors at all times during the audit must maintain an objective state of mind to ensure the validity of all audit evidence
Principle 5: Evidence-based approach

• The rational method for reaching valid, reliable and reproducible conclusions

• Audit evidence should be verifiable but audits taking place in a finite time frame with finite resources are necessarily sample based

• Confidence is related to the degree of sampling
Competence

1. Knowledge of regulations and rules
2. Knowledge of safety management systems (HACCP)

Education
- Work experience

Auditor training
- Audit experience

Personal Attributes

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Some useful personal attributes

- Ethical
- Open-minded
- Diplomatic
- Observant

- Perceptive
- Versatile
- Tenacious
- Decisive
- Self-reliant
Education

Sufficient to acquire the knowledge of:

1. Regulations
2. Food safety management systems
Work experience

• Sufficient to develop the skills (in exercise of judgement, problem-solving and communication) to apply their knowledge of food safety management

• Managerial or professional positions for X years
Auditor training

• Completed a “recognized” course in food safety auditing
Auditor experience

• Should be gained under the direction and guidance of a competent auditor

• 3-5 “supervised” audits under experienced “lead auditor”
Auditing skills

1. Observing
2. Questioning
3. Listening
4. Recording
Skill 1: Observing

- Essentially traditional inspection and applicable for PRP’s
- Premises (Adequacy/maintenance/clearing)
- Plant/equipment
- People (Facilities/practices-hygiene)
- Pests
Skill 2: Questioning 1/2

*I have six honest serving men*

*they serve me well and true*

*their names are*

WHY?

WHAT?

WHERE?

WHEN?

HOW?

WHO?
Skill 2: Questioning 2/2

• Open vs. closed questions
  • “Do you check temperatures?”
• Apply six honest men to the same question
  • “How do you check temperatures?”
  • ”When do you check temperatures?”
Skill 3: Listening 1/2

As far as possible do not:

• Orient yourself away from the Auditee
• Take lengthy notes
• Fidget
• Lose eye contact
• Look at the clock
• Interrupt whilst Auditee is explaining
Skill 3: Listening 2/2

But do:

• Look receptive
• Make encouraging sounds / gestures
• Check understanding
• Summarise clearly
Skill 4: Recording

Recording is crucial – the objective evidence:
• The bait point number
• The calibration date and the identify of the thermometer
• The staff record [name – details]
• The product and time of despatch/receipt

Where possible:
• Agree at the time the evidence with the Auditee
Organizational

MANAGING AN AUDIT PROGRAM
Process

1. Plan the audit programme
2. Implement the programme (procedures/auditors)
3. Monitor and review programme
4. Improve the programme
Audit program planning

- Objectives and extent
- Responsibilities
- Resources
- Procedures
Some likely audit objectives

• To contribute to the improvement of the management system

• To obtain and maintain confidence in the capability of a supplier

• To verify conformance with regulatory requirements and or a certification body

• To evaluate system after an incident (external or internal)
Extent of audit program

Some factors to consider:

• Scope and duration of each audit
• Standards and regulatory requirements
• Changes in requirements
• Nature, size and complexity of business
• Frequency of audits
Frequency and schedule

• The frequency and scheduling of an audit program should be based on risk

• Risk assessment should be conducted:
  • Company: Activities where a failure will result in a food safety issue, e.g. CCP’s, etc.
  • Supplier Base: High risk ingredient suppliers, primary packaging, etc.

• History of issues may also influence the risk assessment

• RISK: Need to define risk in context of auditing program, e.g. criteria may be useful
Risk classification

Schedule audits according to risk:

• **HIGH**  1 year to 3 years
• **MEDIUM**  2 years to 3 years
• **LOW**  3 plus years
Program responsibilities

Ideally managed by individuals who have:

- Management skills
- An understanding of audit principles
- Technical knowledge
- Business understanding
Audit program resource needs

May include for example:

- Development of clear audit procedures
- Mechanisms to achieve and maintain a requisite pool of competent auditors
- Travelling, accommodation and other needs
- Necessary finance
Program procedures

Some important elements of audit procedures:

• Assuring competence
• Planning and preparing for audits
• Conducting audits
• Maintaining records
CONDUCTING AN AUDIT
The audit process

1. Initiating
2. Preparing
3. Conducting
4. Reporting
5. Completing
Step 1: Initiating

- Appointing and assigning Auditor(s)
- Defining scope and Requirements
- Contacting Auditee
Preliminary document review

- Prior to on-site audit the Auditee’s documentation may sometimes be reviewed to determine the adequacy of conformance with the defined standard

This implies:

- That the defined standard requires the total system to be documented
Step 2: Preparing

What do we need to bring?

• Authorisation?
• Protective clothing?
• Audit programme?
• Copy of legislation/ standard?
• Checklists?
• Blank report forms?
• Protocol?
## Audit program – draft structure

<table>
<thead>
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<td>Pre-requisites</td>
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<td>Lunch Break</td>
<td></td>
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<td>Product Recall</td>
</tr>
<tr>
<td>4.00 pm</td>
<td>Closing meeting</td>
<td></td>
</tr>
</tbody>
</table>
Copy of standard

Consider why it may be necessary to bring a copy of standards with you:

- Reference – authoritative
- Dispute – clarification
- Should business have a current copy?
Checklists

Aide-memoire - not to be slavishly followed!
- Prepared by turning each requirement into a question
- Working document facilitating note-taking
- Facilitated best if standard written objectively
- Regulatory instruments may not cover essential prescription
- Reliance then placed on related sectorial codes, e.g. I.S. 340 series
- No firm rules on how to develop checklists
Sample ISO 22000 checklist

ISO 22000 Management Responsibility Audit Checklist

1. Is there evidence to show management commitment to Food Safety system application?
2. Are these shown in the related objectives?
3. Are objectives measurable?
4. Does the organization have a food safety policy?
5. Has a HACCP plan been developed?
6. Does the plan cover all end products?
7. Has a multidisciplinary Food Safety team been formed?
8. Have the organization appointed a Food Safety team leader and defined the responsibilities and authorities?
9. Does the organization define the responsibility and authority of the Food safety team?
10. Is the knowledge of the food safety team suitable and appropriate? (check training, qualifications, experience, etc.)
11. How is internal and external communication controlled and who has responsibility? Is the communication effective?
12. Does the company have emergency preparedness and response procedures in place? Have they been verified?
13. Is a Management Review activity carried out as required? Is it effective?
ISO 22000 recall audit checklist

1. Does the organization have a procedure to manage product recall?
2. In what circumstance do the products need to be recalled?
3. Have the responsibility and authority been defined?
4. Has there been a full or partial product recall?
5. How many products were concerned?
6. What was the reason?
7. How did the organization handle these products?
8. How did the organization ensure all affected product was identified and recalled?
Checklists

• Results may be recorded as simply YES or NO, etc.
• May also indicate examples of specific checks to be conducted
• May also record evidence or notes
Step 3: Conducting

Note about non-conformances:

- During the audit, when completing a checklist, seek:
  - Corroboration of Auditee or guide for all possible non-conformance incidents
  - Note precise details
Non-conformances

1. Information / collect / sample
2. Audit evidence
3. Evaluate against standard
4. Audit finding
Generating audit findings

• Audit evidence is evaluated against audit criteria to generate Audit Findings

• Audit findings may indicate:
  • CONFORMITY
  • NON-CONFORMITY

Consider in the light of possible different Audit Objectives the desirability, or otherwise, of reporting audit conformances
Classifying non-conformances

- Minor
- Major
- Critical
Audit conclusions

• The overall outcome of an audit provided by auditor/team after consideration of audit objectives and all audit findings

• Essentially a two-stage process, carried out in private prior to Closing Meeting

(i) Review Checklist

(ii) Draft Summary Report
Requirements

• A quiet location where unlikely to be disturbed
• Facility to contact key person to resolve issues arising
• Agree the location at Opening Meeting
(i) Review Checklist

- Auditor(s) review checklist findings and all appropriate information against Standard
- Consider any conclusions taking into account the totality of information and conscious of the uncertainty inherent in auditing
- Complete Summary Audit Report tentatively classifying any non-conformances
(ii) Draft Summary Report

The function of the summary report includes:

- Providing structure to the Closing Meeting
- Allowing for the best and fair participation of Auditee
- Creating necessary ownership of Correction
- Facilitating ready completion of the Final Audit Report
**Sample Summary Report**

**CONFIDENTIAL**

**Summary Audit Report**

<table>
<thead>
<tr>
<th>Standard Reference Section</th>
<th>Conformance Yes/No</th>
<th>Objective Evidence</th>
<th>Class of non-conformance</th>
<th>Corrective action</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
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<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Signed (Auditor):  

Signed (Auditee):  

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Complementing Summary Report

• Depending on Audit procedures
• Conformances and Non-conformances may be reported
Step 4: Reporting

(i) Closing Meeting

(ii) Final Audit Report
(i) Closing Meeting

• Schedule in advance
• Chaired by Auditor
• Includes Auditee representatives and proprietor or person in charge
(i) Closing Meeting

AGENDA

• Thank participants
• List positives
• Agree any non-conformances and class
• Agree corrective actions and time-scales
• Formally endorse Summary Report
• Indication of Audit Completion
Agreeing non-conformances and class

Assignment will vary depending on Standard and type of Audit:

- E.g. Minor, Major, Critical
- Allow Auditee to rebut with additional evidence
- The principle of Fair Presentation requires that the Auditor provide the Auditee to be given every opportunity to defend their operation

This emphasizes the importance of:

- Collecting objective and verifiable evidence during the audit
- Being fully conversant with the requirements of the Standard
Corrective actions

• Who is responsible for corrective actions
• Time scales for completion should be agreed
• May be defined in the standard
• Assess feasibility of actions proposed / agreed
Objectives of Closing Meeting

• To agree all findings
• To endorse by signature:
  • Summary Audit Report for record
• To involve Auditee in defining Corrective Actions
• To create ownership
Indication of audit completion

• Where specified by Audit Objectives

• Recommendation regarding Certification / Registration may be made at the end of the Closing Meeting together with any other related requirements, e.g. Future audits.
(ii) Final Audit Report

- In some instances the Summary Audit Report, may suffice
- A copy in any event is normally left with the Auditee
- However, it is more usual to issue later (within a specified time) a formal Confidential Audit Report for record
- This Report may contain or refer to any Recommendation or Sanction contingent on the Audit Conclusions
- Report may contain:
  - Audit Details
  - Summary Audit Report details
  - Findings / Recommendations
Step 5: Completing

- The Audit is complete with the issuing and filing of the Confidential Final Report

- Two final considerations:
  - Confidentiality
  - Follow-ups
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Safefood 360°

- Safefood 360° is an award-winning food safety software, carefully designed to meet the daily needs of food safety managers.
- Safefood 360° allows you to manage your food safety programs from anywhere in the world using an intuitive cloud-based software.
- Auditors love Safefood 360° because of its extensive and easy-to-use reporting functions.

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HOW CAN SAFEFOOD 360° MAKE AUDITS EASIER?
Plan audits using Safefood 360°

![Internal Auditing](image)

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Name</th>
<th>Type</th>
<th>Risk</th>
<th>Repeat</th>
<th>Last Conducted</th>
<th>Next Due</th>
</tr>
</thead>
<tbody>
<tr>
<td>22</td>
<td>01/06/2011</td>
<td>System Compliance</td>
<td>Management Procedure</td>
<td>Medium</td>
<td>1-Years</td>
<td>01/07/2013</td>
<td>01/06/2014</td>
</tr>
<tr>
<td>21</td>
<td>10/05/2011</td>
<td>Health Requirements</td>
<td>PRP</td>
<td>Medium</td>
<td>1-Years</td>
<td>01/07/2013</td>
<td>23/05/2014</td>
</tr>
<tr>
<td>20</td>
<td>10/05/2011</td>
<td>Cleaning</td>
<td>PRP</td>
<td>Medium</td>
<td>1-Years</td>
<td>01/07/2013</td>
<td>23/05/2014</td>
</tr>
<tr>
<td>19</td>
<td>10/05/2011</td>
<td>Supplier Control</td>
<td>PRP</td>
<td>Medium</td>
<td>1-Years</td>
<td>17/07/2013</td>
<td>11/07/2014</td>
</tr>
<tr>
<td>18</td>
<td>10/05/2011</td>
<td>Goods-in Control</td>
<td>PRP</td>
<td>Medium</td>
<td>1-Years</td>
<td>14/01/2013</td>
<td>10/01/2014</td>
</tr>
<tr>
<td>17</td>
<td>10/05/2011</td>
<td>Transport</td>
<td>PRP</td>
<td>Low</td>
<td>1-Years</td>
<td>14/01/2013</td>
<td>10/01/2014</td>
</tr>
<tr>
<td>16</td>
<td>10/05/2011</td>
<td>Pest Control</td>
<td>PRP</td>
<td>Medium</td>
<td>1-Years</td>
<td>14/01/2013</td>
<td>10/01/2014</td>
</tr>
<tr>
<td>15</td>
<td>10/05/2011</td>
<td>HACCP</td>
<td>HACCP / CCP</td>
<td>High</td>
<td>6-Months</td>
<td>01/07/2013</td>
<td>23/11/2013</td>
</tr>
<tr>
<td>14</td>
<td>10/05/2011</td>
<td>Product Recall and Withdrawal</td>
<td>Management Procedure</td>
<td>High</td>
<td>1-Years</td>
<td>01/07/2013</td>
<td>23/05/2014</td>
</tr>
<tr>
<td>13</td>
<td>10/05/2011</td>
<td>Product Testing</td>
<td>PRP</td>
<td>Medium</td>
<td>1-Years</td>
<td>14/08/2012</td>
<td>15/08/2014</td>
</tr>
</tbody>
</table>

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See a list of necessary actions with just a couple of clicks

### Internal Auditing

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Name</th>
<th>Type</th>
<th>Programme Name</th>
<th>Risk</th>
<th>Due</th>
<th>Action Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>123</td>
<td>13/08/2013</td>
<td>Internal Auditing Programme Record (123)</td>
<td>PRP</td>
<td>Hygiene Audit</td>
<td>Medium</td>
<td>15/08/2013</td>
<td>Awaiting Detail</td>
</tr>
<tr>
<td>122</td>
<td>10/08/2013</td>
<td>Internal Auditing Programme Record (122)</td>
<td>PRP</td>
<td>Product Testing</td>
<td>Medium</td>
<td>15/08/2013</td>
<td>Awaiting Detail</td>
</tr>
<tr>
<td>121</td>
<td>30/07/2013</td>
<td>Internal Auditing Programme Record (121)</td>
<td>PRP</td>
<td>Hygiene Audit</td>
<td>Medium</td>
<td>01/08/2013</td>
<td>Awaiting Detail</td>
</tr>
</tbody>
</table>

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Record events using an intuitive work flow

<table>
<thead>
<tr>
<th>Requirement</th>
<th>Conforms?</th>
<th>Category</th>
<th>Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a documented procedure in place for product recall and withdrawal</td>
<td>Yes</td>
<td></td>
<td>Procedure is in place. Doc Ref. 96 (Rev. 5)</td>
</tr>
<tr>
<td>Are customers and consumers notified of a food safety recall and withdrawal</td>
<td>Yes</td>
<td></td>
<td>Included in the procedure and in the record in SF 360.</td>
</tr>
<tr>
<td>Are the PSSA and HSE notified of withdrawals and recalls</td>
<td>Yes</td>
<td></td>
<td>Included in the procedure (Sub-Section 1.9)</td>
</tr>
<tr>
<td>Is the product recall system tested on a regular basis</td>
<td>Yes</td>
<td>Minor</td>
<td>Annually.</td>
</tr>
<tr>
<td>Are records of recalls maintained</td>
<td>No</td>
<td>Minor</td>
<td>Last mock recall was conducted on the 14/06/2012 for 500ml See SF 360 Record: No. 4, NO RECALL TEST COMPLETED FOR 2013.</td>
</tr>
</tbody>
</table>

Note: No recall test yet completed for 2013.

<table>
<thead>
<tr>
<th>Audit Result</th>
<th>Audit Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pass</td>
<td>Adequate</td>
</tr>
</tbody>
</table>

Generate Corrective Action

<table>
<thead>
<tr>
<th>Non-conformances</th>
<th>Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>No recall test yet completed for 2013.</td>
<td>Low</td>
</tr>
<tr>
<td>In recall it is stated that 45 cases were not traceable due to operator error</td>
<td>Hgh</td>
</tr>
</tbody>
</table>

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Access and generate reports easily

Visit Safefood360.com to see the award-winning food safety management software in action
See an overview of necessary corrective actions

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Non-conformance/Issue</th>
<th>Source</th>
<th>Risk</th>
<th>Action Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>172</td>
<td>01/07/2013</td>
<td>No fly catch analysis in place.</td>
<td>Internal Auditing Programme Record (112)</td>
<td>Medium</td>
<td>Awaiting investigation</td>
</tr>
<tr>
<td>167</td>
<td>01/07/2013</td>
<td>Security Procedure in place. Ref 98. The procedure is not up-to-date. Review required.</td>
<td>Internal Auditing Programme Record (112)</td>
<td>Medium</td>
<td>Awaiting investigation</td>
</tr>
<tr>
<td>170</td>
<td>01/07/2013</td>
<td>The following sections of the current BRC Food Safety Standard Issue 6 are not or not sufficiently covered in the internal audit schedule: Section 4.12 Waste. 5.2 Quantity Control and 5.1 Product Design &amp; Development</td>
<td>Internal Auditing Programme Record (112)</td>
<td>Medium</td>
<td>Awaiting investigation</td>
</tr>
<tr>
<td>171</td>
<td>01/07/2013</td>
<td>Audits were not conducted in time.</td>
<td>Internal Auditing Programme Record (112)</td>
<td>Medium</td>
<td>Awaiting investigation</td>
</tr>
<tr>
<td>166</td>
<td>01/07/2013</td>
<td>Empty wooden pallets seen stored on a full product pallet.</td>
<td>Internal Auditing Programme Record (112)</td>
<td>High</td>
<td>Awaiting investigation</td>
</tr>
<tr>
<td>168</td>
<td>01/07/2013</td>
<td>Documented in SF 360. The AP PAK Shrinkmplayer is not included in the maintenance programme.</td>
<td>Internal Auditing Programme Record (112)</td>
<td>Medium</td>
<td>Awaiting investigation</td>
</tr>
<tr>
<td>164</td>
<td>01/07/2013</td>
<td>None of the deficiencies identified (Field Site Audit on the 14/06/2013) by the pest controller have been closed out yet. Some recommendations could have been closed out at this stage.</td>
<td>Internal Auditing Programme Record (112)</td>
<td>Medium</td>
<td>Awaiting investigation</td>
</tr>
<tr>
<td>165</td>
<td>01/07/2013</td>
<td>Hygiene breaches observed.</td>
<td>Internal Auditing Programme Record (112)</td>
<td>Medium</td>
<td>Awaiting investigation</td>
</tr>
<tr>
<td>163</td>
<td>01/07/2013</td>
<td>No colour code system in place. Blue dustpan and shovel used for glass/plastic breakages (marked as</td>
<td>Internal Auditing Programme Record (112)</td>
<td>Medium</td>
<td>Awaiting investigation</td>
</tr>
</tbody>
</table>

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Record the corrective actions taken

Corrective Action
Correction Action (147)

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Name</th>
<th>Source</th>
<th>Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>147</td>
<td>12/01/2013</td>
<td>Corrective Action (147)</td>
<td>Internal Auditing Programme Record (96)</td>
<td>Low</td>
</tr>
</tbody>
</table>

Corrective Action Details
Repair work is required to the PVC sheeting on the wall in the bottling hall

Nonconformance / Issue Details

<table>
<thead>
<tr>
<th>Date</th>
<th>Details of Nonconformance / Issue</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/01/2013</td>
<td>Repair work is required to the PVC sheeting on the wall in the bottling hall</td>
</tr>
</tbody>
</table>

Risk
Low
Acceptable or tolerable risk - no specific action required

Signed: Brian Walsh, 07/09/2013 11:20

Investigation / Root Cause Analysis

<table>
<thead>
<tr>
<th>Date</th>
<th>Report</th>
</tr>
</thead>
<tbody>
<tr>
<td>04/01/2013</td>
<td>Following pipe work reinstatement in the bottling hall same repair work was required to the PVC sheeting on the walls</td>
</tr>
</tbody>
</table>

Signed: Brian Walsh, 12/01/2013 12:43
Easily sign off corrective actions once completed

### Action Details

<table>
<thead>
<tr>
<th>Action Required</th>
<th>Responsible</th>
<th>Deadline</th>
<th>Action Taken</th>
<th>Completed By</th>
<th>Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Repair PVC sheeting</td>
<td>Maintenance Staff</td>
<td>18/01/2013</td>
<td>PVC sheeting repaired</td>
<td>Mr. Kevin Smith</td>
<td>14/01/2013</td>
</tr>
</tbody>
</table>

Signed: Brian Walsh, 12/01/2013 12:46
Signed: Brian Walsh, 14/01/2013 20:46

### Review

Date: 14/01/2013
Report: Repair work to PVC sheeting in the bottling hall now complete

Signed: Brian Walsh, 14/01/2013 20:47

### Close-out

Report: Closed out

Signed: Brian Walsh, 14/01/2013 20:47
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