

COURSE CONTENT OVERVIEW

# Introduction to Internal Auditing and Management Training



This Introduction to Internal Auditing and Management course has been designed for workers of all levels within a food manufacturing premises. Internal auditing is good practice and must be in place before a manufacturer can meet industry standards and be certified by an accreditation body. Internal audit checks are a part of the HACCP plan.

Creating production records and validation checks also safeguards a food operating business, should a customer complaint or lawsuit come up, as a due diligence defence. The records created through internal auditing will also provide data for continuous improvement and flag any potential problems that can be fixed before anything goes wrong.

### **Module One: Introduction to Internal Auditing**

This module explains the purpose and benefits of implementing internal auditing procedures; and the importance of maintaining, monitoring and continuous improvement of current systems.

- What is an internal audit?
- Who is involved in an internal audit?
- The benefits of internal auditing
- Legislation
- Industry standards
- 3 lines of defence
- Maintaining current systems
- Monitoring current systems
- Continuous improvement of current systems
- A risk based approach
- An auditor's toolkit

### **Module Two: Planning an Internal Audit**

This module outlines the key things to internally audit and how to create an audit schedule, including determining the frequency of an internal audit procedure based on the manufacturing processes and standards being adhered to.

- Key things to internally audit
- Frequency of auditing
- Creating an audit schedule
- Creating an audit checklist against standards
- Preparing for an internal audit
- Conducting an effective internal audit
- Roles and responsibilities of the internal auditor

### **Module Three: Evaluating Evidence and Root Cause Analysis**

This module explains how to evaluate evidence objectively to determine the root cause of an issue and the verification of the corrective actions which have been implemented to prevent the issue from occurring again.

- Evaluation of the objective evidence
- Investigating different types of non-conformances
- Root cause analysis
- Writing non-conformance reports
- Corrective actions and verifying the effectiveness of corrective actions
- Communication

### **Module Four: Traceability Exercises**

This module provides details on what is involved in a mock recall including the scope of a traceability exercise, how to define a batch and bulk storage best practices.

- The importance of traceability
- Scope of a traceability exercise
- One step forward, one step back
- Good traceability practices
- Mock recall
- Supplier audits
- Defining a batch
- Bulk storage
- Key contact testing
- Crisis management

### **Module Five: System Based Internal Audits - Summary of the Key Areas of Food Safety Management Systems: Part 1**

This module looks further at some of the key areas to internally audit including product and process controls, hazards, threats and vulnerabilities, and product authenticity.

- Audit interviews
- ATP hygiene monitoring tests
- Cleaning in Place (CIP)
- Physical hazards - the 6 P's
- Foreign body detection and prevention
- Glass & hard plastics audit
- Hygiene and fabrication
- Thermal process validation
- Verification of Critical Control Points
- TACCP & VACCP
- Food fraud
- Claims

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## **Module Six: System Based Internal Audits - Summary of the Key Areas of Food Safety Management Systems: Part 2**

This module explains the internal audit interrelationships between regulatory, food safety & quality management; and the internal audits involved with supporting continuous improvement and prerequisite programmes.

- Regulatory compliance
- Quality control
- Packaging quality checks
- Prerequisites & GMP
- Training plans
- Legionella and water testing
- Waste review
- Cyber security
- Hand washing
- Food safety culture & whistleblowing
- Complaints database auditing
- Storage and distribution, health & safety and maintenance
- HACCP document validation
- Validating flow charts
- High-risk foods and groups of people

## Aims of the training

By the end of this course, learners will:

- Have knowledge of the purpose of internal auditing and why it is important.
- Understand a risk-based approach to internal auditing.
- Understand the roles and responsibilities of the internal auditor.
- Understand what is involved in setting up an internal audit system, checklist and plan.
- Understand how to complete a root cause analysis, type of non-conformances and how to evaluate corrective actions with objective evidence of the audit.
- Understand the steps involved in a traceability and mock recall exercise.
- Be able to identify the processes which need to be internally audited within a business.
- Know more about the different types of audits.