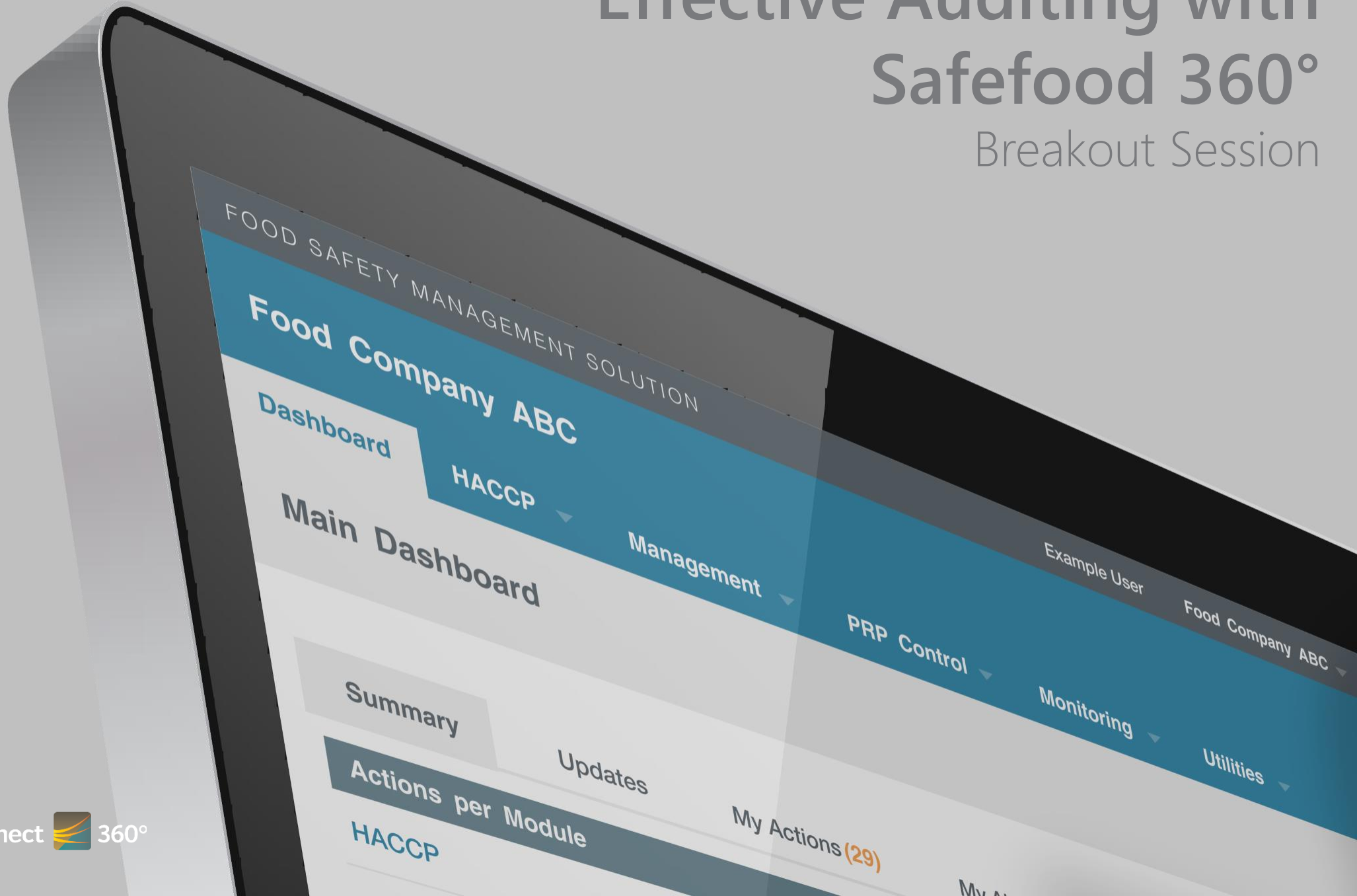


Effective Auditing with Safefood 360°

Breakout Session



Session

Purpose:

- To increase user knowledge of Auditing module

Goals Of Training:

- Chris Domenico, Territory Manager, Safefood 360

Timing:

- 45 Minutes

Agenda:

- Back Ground (4 Minutes)
- Audit System / Barriers (3 Minutes)
- Build a Checklist (4 Minutes)
- Practical Exercise (5 Minutes)
- Build an Audit (5 Minutes)
- Conduct an Audit (7 Minutes)
- Build an Alert (4 Minutes)
- Practical Exercise (10-15 Minutes)



Useful Supporting Information

Safefood 360 reference sources of information for Effective Auditing.

Type	Name	Location
Presentation	Effective Monitoring & Testing with Safefood 360°	URL available after conference
Whitepaper	Food Safety Auditing	http://safefood360.com/resources/Food-Safety-Auditing.pdf
Presentation	Food Safety Auditing : Principles and Practice	http://safefood360.com/resources/Food-Safety-Auditing-Principles-And-Practice.pdf
Webinar	Auditing: Incorporating Ratings	https://vimeo.com/124019032
Guide	Add an Audit Program	http://help.safefood360.com/auditing/module-tasks/add-an-audit-programme/
Blog	Why unannounced audits make sense	http://safefood360.com/2013/08/unannounced-audits-sense-deal/
Blog	3 Steps to prepare for unannounced food safety audits	http://safefood360.com/2014/03/3-steps-prepare-unannounced-food-safety-audits/

Background

Auditing

An internal audit is necessary to ensure effective food safety plans are working effectively. Auditing is a basic requirement for Food Safety Management systems aligned with such programs as the GFSI standards & FSMA

SQF

The methods and responsibilities for scheduling and conducting internal audits...facility and equipment inspections, pre-requisite programs, food safety plans and legislative controls shall be documented and implemented

Shall ensure an internal audit is prepared detailing the scope and frequency, ensure correction and corrective action...are undertaken

Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions

What is an auditing system

An audit is a planned event which is:

- independent and objective
- Systematic approach
- Provides assurance
- Adds value
- Evaluate and improve the effectiveness of a FSM

Barriers / Issues related to effective auditing

→	Time
→	Human and Financial Resources
→	Only reporting non-conformances (not properly indicating the areas of conformance)
→	Conducting audits which are not predefined
→	Auditing against outdated requirements
→	Lack of follow up / oversight

Audit System

STEP 1

Define Program : Build a Checklist

- GMP Criteria
- Scheme Requirements
- FSM Specific

STEP 2

Define Program : Build an Audit

- Utilize your own checklist, or one of the 100's of system checklists already available
- What, Who, Where, When
 - Clearly assign responsibilities for Auditors and Auditees
- Link related procedures
- Schedule Audit
 - Frequency should be determined based on Risk Assessment

STEP 3

Conduct Audit

- Against predefined specifications
- Document conformances as well as nonconformances
- Generate Corrective Actions
- Alert notifications
- Improve your FSM

The SF360 solution provides users with a full audit solution consisting of:

ABC Food Company Inc

Auditing

No.: 92
Date: 10 Feb 2017
Name: Connect 360 : Chris Domenico (92)
Program: Connect 360 : Chris Domenico
Risk: Medium
Department: Operations
Attachments: -
Related Records: Corrective Action (24)

Details

Start Date: 14 Feb 2017 19:11
Finish Date: 14 Feb 2017 19:11

Auditor: Chris Domenico

In Attendance	Employee	Opening Meeting	Audit	Closing Meeting
	George Howlett	Yes	Yes	Yes

Procedure / Record: Auditing Procedure

Signed:Chris Damenco , 14 Feb 2017 19:11
 Signed:Chris Damenco , 14 Feb 2017 20:34

Audit Record

No.	Requirement	Response	Comments / Observations	File	Corrective Action
	Parent Section				No
	1st Child Section				No
	Requirement #1	No	Requirement #1 does not conform	Sample Document.docx	Yes
	Requirement #2	Yes			No
	2nd Child Section				No
	Requirement #3	Yes			No
	Requirement #4	Yes			No

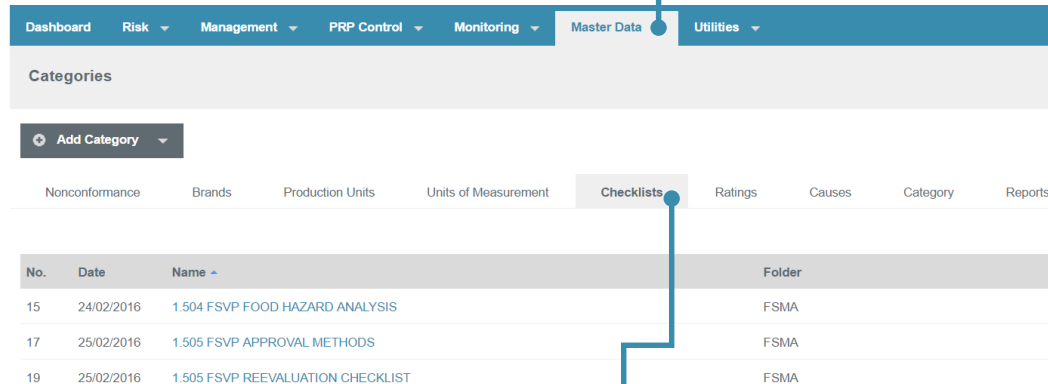
Report Pertinent information

- Scheduling Audits
- Creating Custom Checklists
- Use of 100's of our System Checklists
- Provide Standard Workflows for Auditors
- Allows you to keep systems up-to-date
- Notifications
- Alerts
- Escalations

Where are they?

Use . Click **Master Data > Categories : Checklist.**

Datacenter: Master Data > Categories



The screenshot shows the 'Master Data > Categories' page in Safefood 360°. The navigation bar includes 'Dashboard', 'Risk', 'Management', 'PRP Control', 'Monitoring', 'Master Data', and 'Utilities'. Below the navigation bar, there is a 'Categories' section with an 'Add Category' button. A tab selector is visible with tabs for 'Nonconformance', 'Brands', 'Production Units', 'Units of Measurement', 'Checklists', 'Ratings', 'Causes', 'Category', and 'Reports'. The 'Checklists' tab is selected. Below the tabs is a table with columns 'No.', 'Date', 'Name', and 'Folder'. The table contains three rows of data.

No.	Date	Name	Folder
15	24/02/2016	1.504 FSVP FOOD HAZARD ANALYSIS	FSMA
17	25/02/2016	1.505 FSVP APPROVAL METHODS	FSMA
19	25/02/2016	1.505 FSVP REEVALUATION CHECKLIST	FSMA

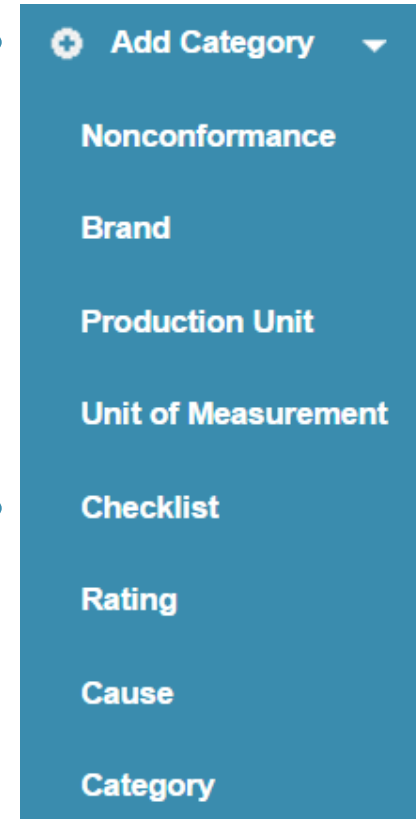
Tab Selector

How do I?

Click **Add Category > Checklist.**

Add Category

Checklist



The screenshot shows the 'Add Category' dropdown menu in Safefood 360°. The menu is open, showing a list of categories: 'Nonconformance', 'Brand', 'Production Unit', 'Unit of Measurement', 'Checklist', 'Rating', 'Cause', and 'Category'. The 'Checklist' option is highlighted.

Module Layout

Checklists are universal within your FSM and can be used for Internal Audits, Supplier Audits, Supplier Questionnaires, Etc.

Checklists

Create the appropriate data to be used within your Internal Audit

Workshop Agenda

Practical Exercise : Build a Checklist

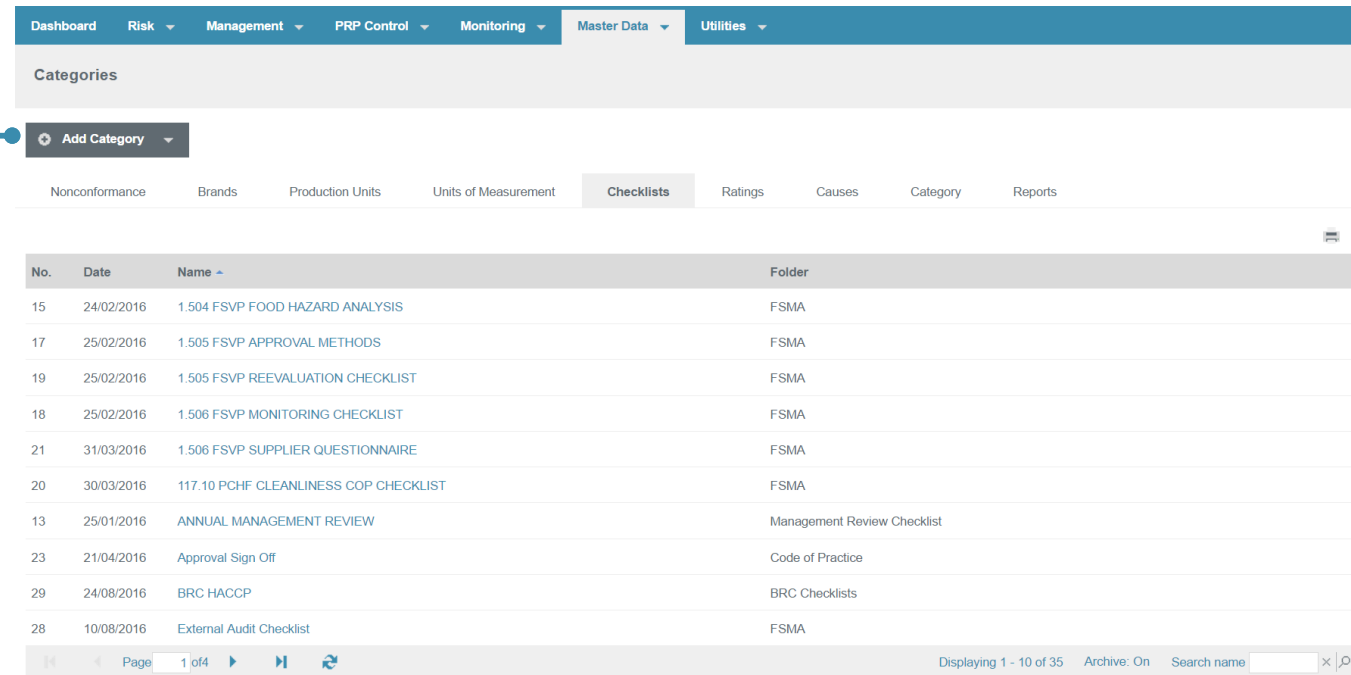
Add a checklist

Click here to add a new checklist

Add a checklist

Create a new checklist by selecting "checklist"

- [Add Category](#)
- [Nonconformance](#)
- [Brand](#)
- [Production Unit](#)
- [Unit of Measurement](#)
- [Checklist](#)
- [Rating](#)
- [Cause](#)
- [Category](#)



No.	Date	Name	Folder
15	24/02/2016	1.504 FSVP FOOD HAZARD ANALYSIS	FSMA
17	25/02/2016	1.505 FSVP APPROVAL METHODS	FSMA
19	25/02/2016	1.505 FSVP REEVALUATION CHECKLIST	FSMA
18	25/02/2016	1.506 FSVP MONITORING CHECKLIST	FSMA
21	31/03/2016	1.506 FSVP SUPPLIER QUESTIONNAIRE	FSMA
20	30/03/2016	117.10 PCHF CLEANLINESS COP CHECKLIST	FSMA
13	25/01/2016	ANNUAL MANAGEMENT REVIEW	Management Review Checklist
23	21/04/2016	Approval Sign Off	Code of Practice
29	24/08/2016	BRC HACCP	BRC Checklists
28	10/08/2016	External Audit Checklist	FSMA

Workshop Agenda

Build an Audit

Workshop Agenda

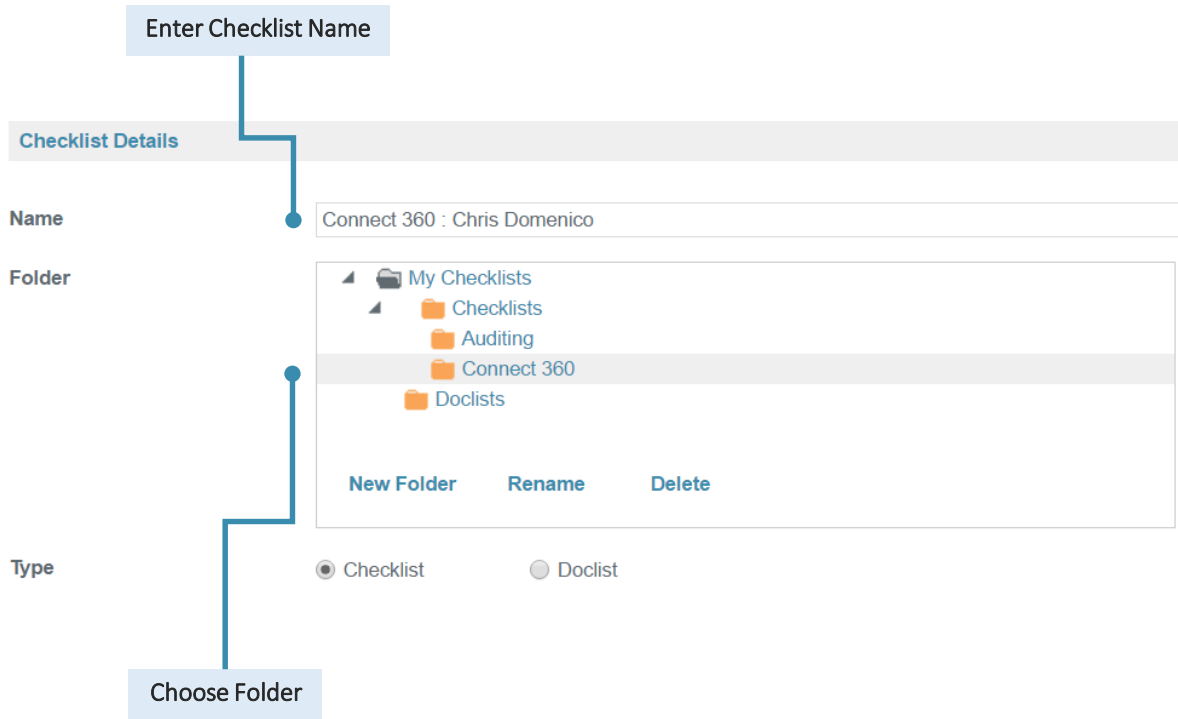
Complete an Audit

Workshop Agenda

Build an Alert

How do I?

Click **Add Category** > Checklist : Enter Details, Select Folder.



Enter Checklist Name

Checklist Details

Name Connect 360 : Chris Domenico

Folder

- My Checklists
 - Checklists
 - Auditing
 - Connect 360
 - Doclists

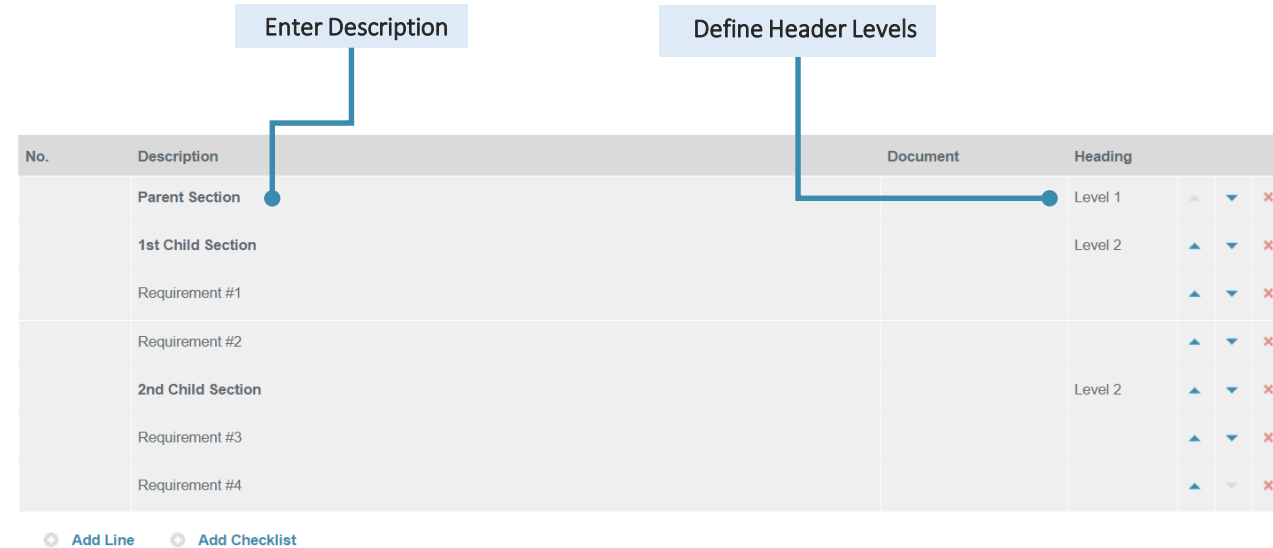
New Folder **Rename** **Delete**

Type Checklist Doclist

Choose Folder

How do I?

.Enter Details, Define Header Levels



Enter Description

Define Header Levels

No.	Description	Document	Heading			
	Parent Section		Level 1	▲	▼	✖
	1st Child Section		Level 2	▲	▼	✖
	Requirement #1			▲	▼	✖
	Requirement #2			▲	▼	✖
	2nd Child Section		Level 2	▲	▼	✖
	Requirement #3			▲	▼	✖
	Requirement #4			▲	▼	✖

Add Line **Add Checklist**

Tip: Use HTML coding to differentiate Parent / Child (Level 1 / Level 2) sections and make your audits standout.

Practical Exercise

Task

Build a checklists:

Checklist name: Your Name : Checklists



5 Minutes



Instructions

- Add a checklist (**Master Data > Categories > Add Category : Checklists**)
- Utilize HTML Coding (**Level 1**)
- Add several lines using at least 1 main section and 2 sub-sections



Checklist Details

Name: [CONFERENCE SAMPLE] Audit Checklist Example

Folder: My Checklists

- Auditing Checklists
- Material Doclist
- Pre-Production Checklists
- Supplier Doclist

New Folder Rename Delete

Type: Checklist Doclist

No.	Description	Document	Heading
	-Outside Buildings and Grounds-		Level 1
	-Building Perimeter-		Level 2
	The outside perimeter of the facility is clean and free of debris to prevent pest harborage / infestation.		
	The boneyard is organized and maintained in such a manner as to prevent pest harborage / infestation.		
	-Building Construction-		Level 2
	The facility is maintained in good repair and free of major damage and / or construction failures which might contribute to pest ingress / pest harborage / infestation.		
	The facility is constructed of materials which do not pose a risk to the product		

Add Line Add Checklist

Example available *during the conference only* in Checklists module: [CONFERENCE SAMPLE] Audit Checklist Example

Tip: use online HTML Free Online editing tool(s) if needed

Module Layout

Click Management > Auditing : Add Program

Internal Audit

Establish a predefined audit

Workshop Agenda

Practical Exercise : Build an Audit

Select Auditing

Click: Management > Auditing

Add an Audit

Create a new audit by selecting Add Program

The screenshot shows the Safefood 360° interface for 'ABC Food Company Inc'. The navigation menu includes Dashboard, Risk, Management, PRP Control, Monitoring, Master Data, and Utilities. The 'Management' dropdown is open, showing options like Complaints, Corrective Action, Auditing, Management Review, Nonconformance, Recall / Withdrawal, Quality Management, and Business Process. The 'Auditing' option is selected, leading to a page with an 'Add Program' button and a table of audit records.

No.	Date	Name	Type	Program Name	Risk	Result	Rating	Completed By
85	01/17/17	Weekly Hygiene Audit	Internal Audit	Weekly Hygiene Audit	Medium	Pass	Excellent	Philip Gillen
1	09/21/16	Site Audit (1)	Site Audit	Site Audit	Medium	Fail	Adequate	Lassi Eronen
44	06/22/16	Weekly Hygiene Audit (44)	Internal Audit	Weekly Hygiene Audit	Medium	Pass	Excellent	Lassi Eronen SF360
24	03/09/16	ISO 9001 Audit (24)	Internal Audit	ISO 9001 Audit	Medium	Pass	Poor	Safefood 360 Support User
16	02/01/16	Weekly Hygiene Audit (16)	Internal Audit	Weekly Hygiene Audit	Medium	Pass	Very Good	Philip Gillen
1	08/11/15	Test (1)	Internal Audit	Pre-operational Check	Medium	Pass	Adequate	Philip Gillen

Workshop Agenda

Complete an Audit

Workshop Agenda

Build an Alert

How do I?

Enter Audit Details.

Details

Enter Audit Name → Name: Connect 360 : Chris Domenico

Enter Audit Type → Type: Internal Audit

Enter Department → Department: Operations

Enter Risk → Risk: ⚠ Medium Justification

Enter Auditor(s) → Auditor: Domenico, Chris (Quality Manager)

Enable Scheduler → Enable Scheduler

Start Date: 02/10/17

Repeat Every: 1 Years

Action Notice: 0 Days

Send Email Notification

Undesirable risk - evaluation required, specific actions may be required

How do I?

Enter Auditees, Link Procedures, Assign Checklist(s), Choose Rating

Auditees

Enter Auditee(s) → Auditee: Howlett, George (CEO)

Associated Procedures & Records

Link Procedures → Procedure: Auditing Procedure

Checklist

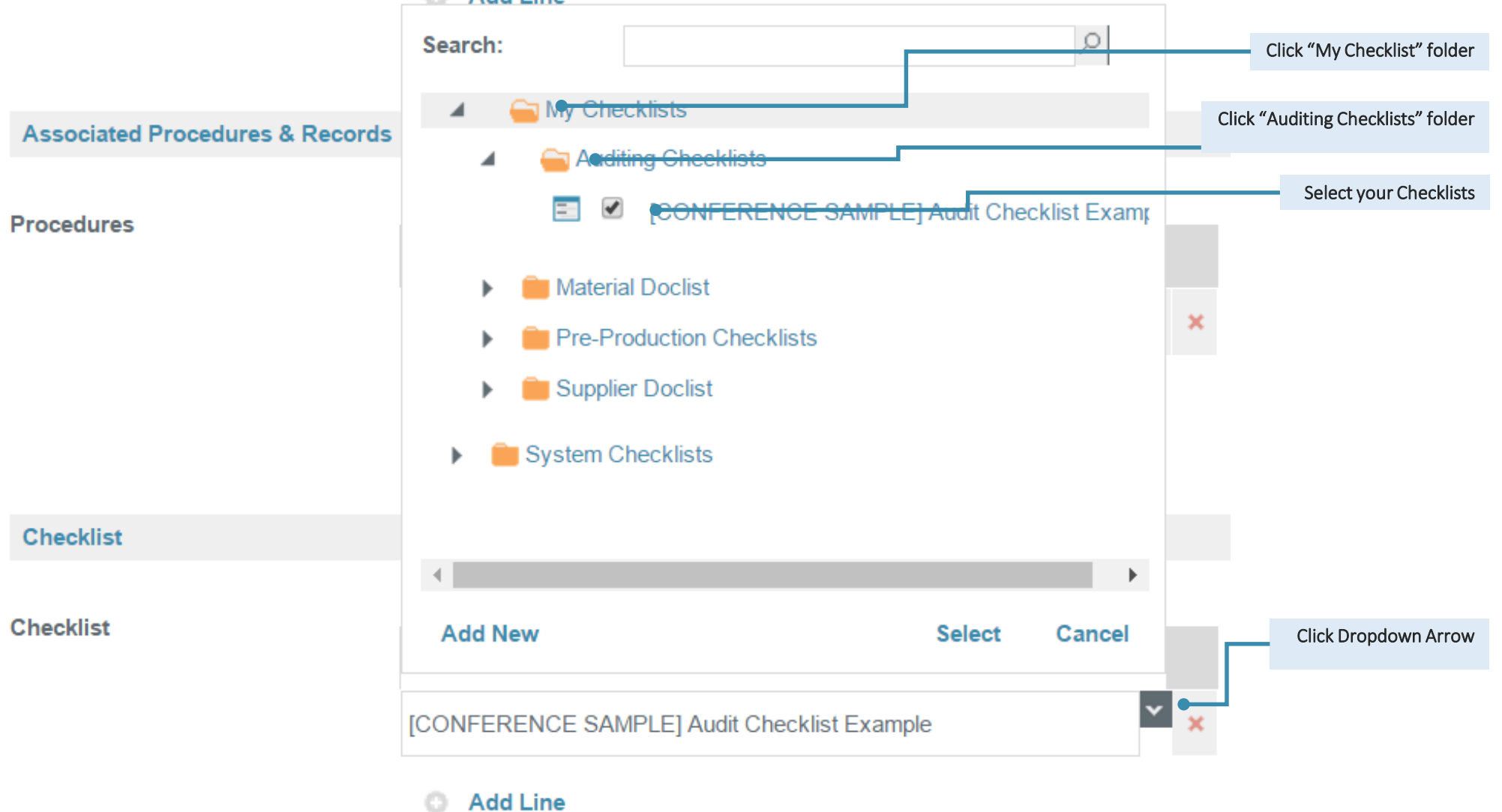
Assign Checklist(s) → Checklist: Connect 360 : Chris Domenico

Choose Rating → Rating: Standard (Yes / No / Not applicable) | Default: Yes

<http://help.safefood360.com/categories/module-tasks/add-a-rating/>

SEE NEXT PAGE FOR EXAMPLE!!!

Choose your Checklist



The screenshot displays the 'Choose your Checklist' dialog box within the Safefood 360° application. The interface is divided into three main sections: 'Associated Procedures & Records', 'Procedures', and 'Checklist'. The 'Associated Procedures & Records' section is currently active, showing a tree view of folders. The 'Procedures' section is empty. The 'Checklist' section shows a list of checklists, with '[CONFERENCE SAMPLE] Audit Checklist Example' selected. Callouts provide instructions for navigating the interface:

- Click "My Checklist" folder
- Click "Auditing Checklists" folder
- Select your Checklists
- Click Dropdown Arrow

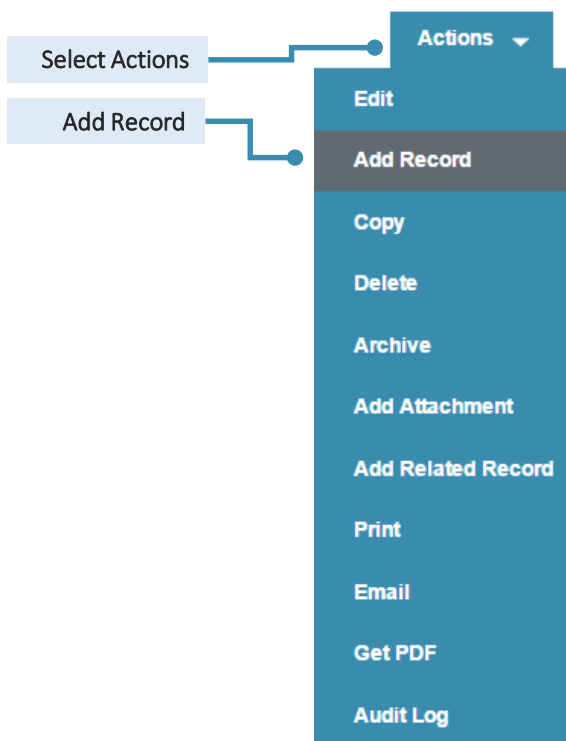
The dialog box includes a search bar at the top, a search icon, and a search button. The tree view shows the following structure:

- My Checklists
 - Auditing Checklists
 - [CONFERENCE SAMPLE] Audit Checklist Example
 - Material Doclist
 - Pre-Production Checklists
 - Supplier Doclist
 - System Checklists

At the bottom of the dialog box, there are three buttons: 'Add New', 'Select', and 'Cancel'. Below the dialog box, there is a dropdown arrow and a red 'X' icon. At the bottom of the page, there is a button labeled '+ Add Line'.

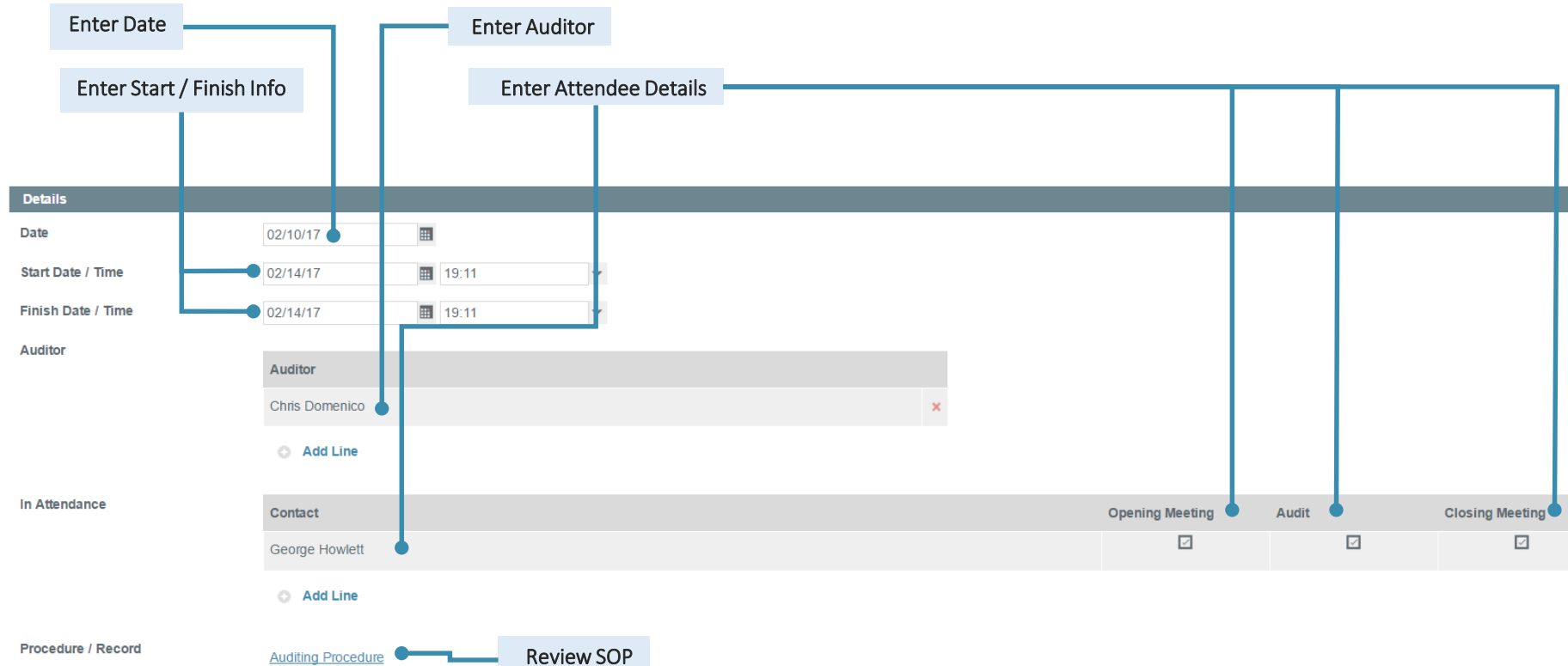
How do I?

Add a record - Click **Actions** : Add Record.



How do I?

Enter / Assign Details



How do I?

No.	Requirement	Response	Comments / Observations	File	Corrective Action
	Parent Section				
	1st Child Section				
	Requirement #1	No	Requirement #1 does not conform	+ Sample Document.docx ✖ Add File	<input checked="" type="checkbox"/>
	Requirement #2	Yes		+ Add File	<input type="checkbox"/>
	2nd Child Section				
	Requirement #3	Yes		+ Add File	<input type="checkbox"/>
	Requirement #4	Yes		+ Add File	<input type="checkbox"/>

Enter Response

Document Comments

Add File

Select CA

Pertinent information

Enter Additional Notes

How do I?

Nonconformance & Corrective Action

Nonconformance	No.	Requirement	Comments / Observations	Category	Responsible	Due Date
		Requirement #1	Requirement #1 does not conform	Major	Chris Domenico	02/21/17

Report

Add additional notes **Enter Comments**

Edit Comments (points to Comments / Observations)

Assign Responsibility (points to Responsible)

Rate Category: Minor / Major / Critical / Recommendation (points to Category)

Assign Date (points to Due Date)

Audit Result

Score: Not applicable **Score**

Result: Pass **Result**

Rating: Excellent **Rating**

Summary of the Audit Details

Section	Score	Result	Rating	Nonconformances
Overall	Not Applicable			1 (0 Critical,1 Major,0 Minor,0 Recommendation)
Parent Section	Not Applicable			1 (0 Critical,1 Major,0 Minor,0 Recommendation)
1st Child Section	Not Applicable			1 (0 Critical,1 Major,0 Minor,0 Recommendation)
2nd Child Section	Not Applicable			0 (0 Critical,0 Major,0 Minor,0 Recommendation)

Summary of Responses

Section	Yes	No	Not applicable
Overall	3	1	0
Parent Section	3	1	0
1st Child Section	1	1	0
2nd Child Section	2	0	0

Additional Report notes

Report: Additional notes

How do I?

Folder: It's a good idea to organize alerts into bucketed folders so they can be easily found

Module: Select the appropriate module

Record: Choose the record you would like to be alerted about

Risk: Indicate the risk level the alert should be generated for

Stage: Choose the stage (or part of the workflow)

Status: To be notified when an action remains open, you would choose "Open".

Alert Description: Define the Alert Notification

Send To: Choose who the Alert should be sent to, and how it should be delivered

Attach PDF: Define the Alert Notification

Alert Criteria

Folder

Module

Record

Risk

Stage

Status

Alerts

- Auditing Alerts
- Complaints Alerts
- Supplier Alerts

New Folder Rename Delete

Auditing

Auditing

Any

Audit Result

Open 1 Days

+ Add Condition

Alert Details

Alert Description

Send To

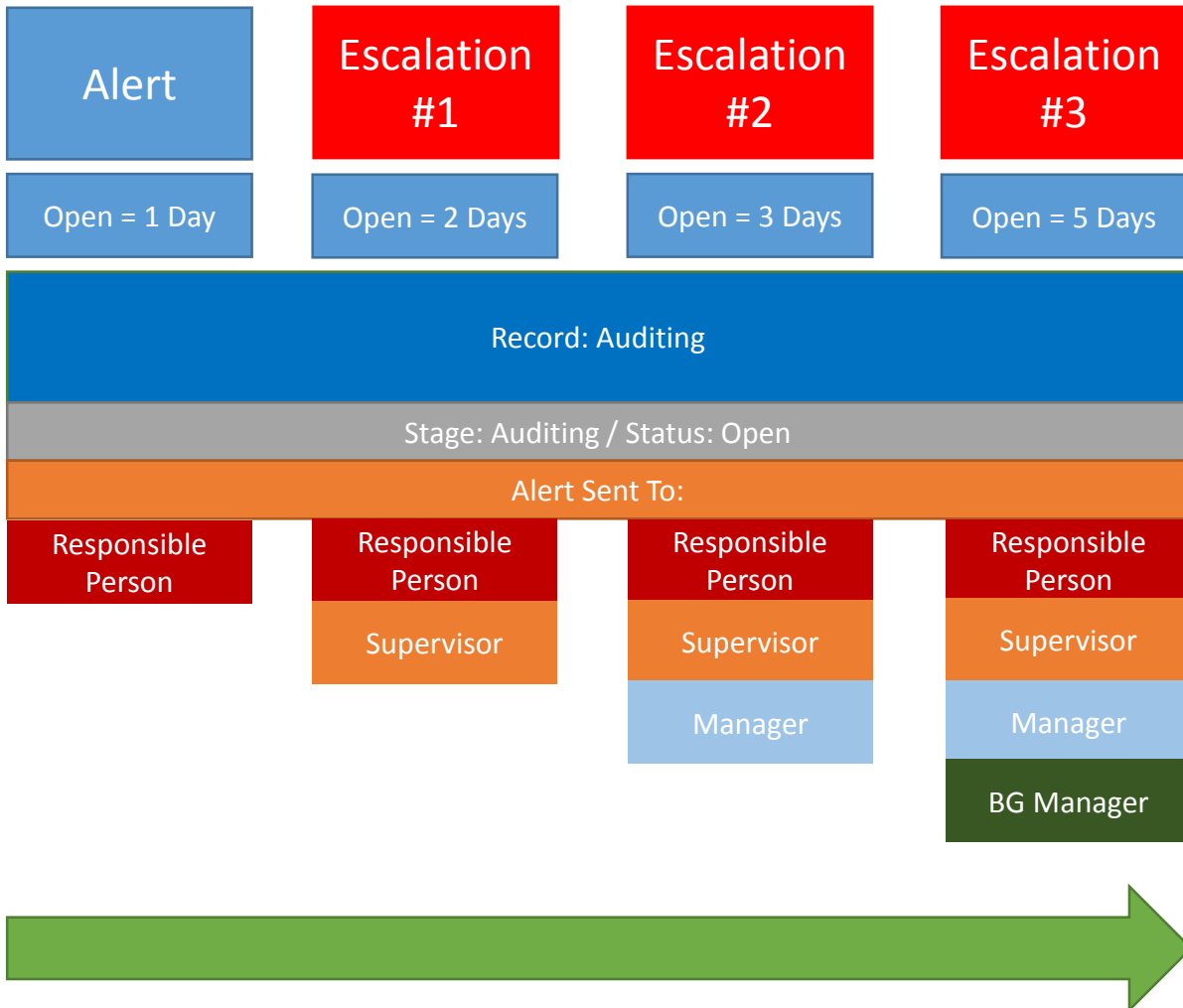
Attach PDF to email alert?

An audit has not been closed out

Contact	Dashboard	Email	SMS	Push
Auditor	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

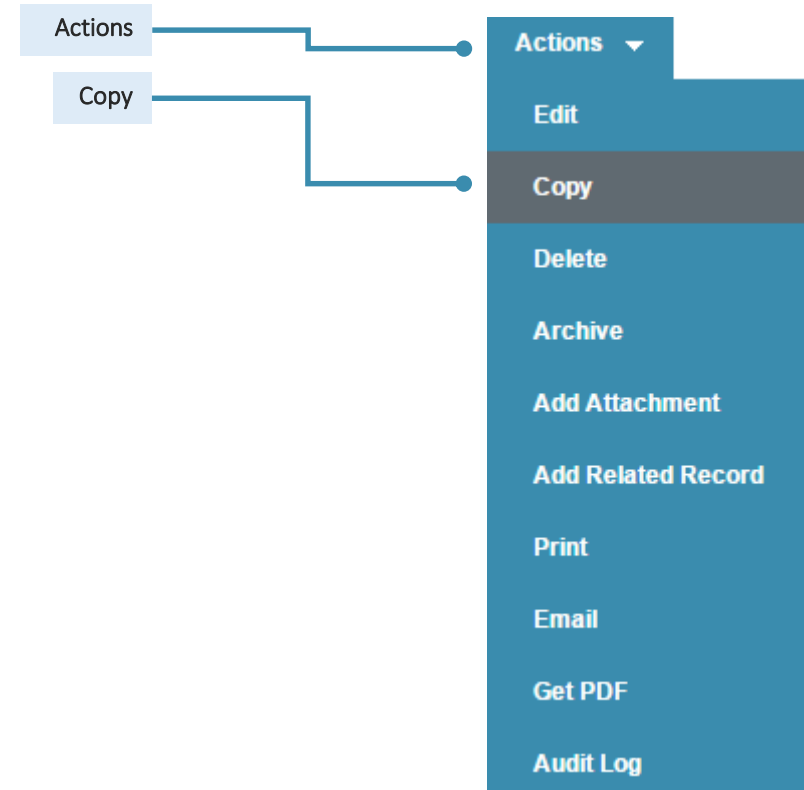
+ Add Line

What is it....?



How do I?

Select an existing alert. Click Actions > Copy.



How do I?

Status: Increase the number of days when the alert should occur “up the line”

Alert Criteria

Folder

- Alerts
 - Auditing Alerts
 - Complaints Alerts
 - Supplier Alerts

New Folder Rename Delete

Module

Auditing

Record

Auditing

Risk

Any

Stage

Audit Result

Status

Open 5 Days

+ Add Condition

Alert Details

Alert Description

An audit has not been closed out

Send To

Contact	Dashboard	Email	SMS	Push	
Auditor	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	x
Domenico, Chris (Quality Manager)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	x

+ Add Line

Attach PDF to email alert?

Send To: Add the next person “up the line” who should be alerted to the issue

Why do I?

- Not all events and actions in SF360 need to be alerted
- Alerts must add value
 - Alerts must in some way either prevent, mitigate, or reduce the likelihood of an adverse business or food safety impact occurrence
 - VALUE = RISK
- Risk = the likelihood that a hazard will cause some adverse impact to food
 - It is possible to assign risk to various entities and programs within SF360
 - This features gives value to alerts!

Tip: Use alerts sparingly. Overwhelming an individual with alerts could result in an important alert being overlooked!

What requires an alert....?

- Complete or overdue programs
- Failed CCP's (Monitoring)
- Workflow stages
- Particular level risk events
- Response completion
- Outstanding tasks
- Notifications of specific occurrences
 - Nonconformance raised

Tips & Tricks

Additional tips to build an effective audit system in SF360.



“Hybrid” audits can be developed using a customized checklist + system checklist



Audits can be conducted using a handheld, internet capable device. Pictures can be added directly from handheld unit.



Additional comments and files can be added to each line (clause) without adding multiple negative responses.



Custom checklists can be improved using HTML coding. Free online editors are available: <http://www.html.am/html-editors/online-html-editor.cfm>

Practical Exercise

Task

Build and complete an audit. Naming convention:

Audit: *Your Name : Audit*



10-15 minutes



Instructions

- Add an Audit Program (Management > Auditing : Add Program)
- Add a Program (*Your Name : Audit*)
- Use pre-built checklist (*Your Name : Checklists*)
- Complete the audit that you built
- Generate one Correction Action



SF360 User Conference

Auditing

No.: 5
Date: 20 Feb 2017
Name: [CONFERENCE SAMPLE] Internal Audit (5)
Program: [CONFERENCE SAMPLE] Internal Audit
Risk: High
Department: Production
Attachments: -
Related Records: Corrective Action (6)

Details

Start Date 20 Feb 2017 11:00
Finish Date 20 Feb 2017 12:30

Auditor
 Auditor
 Chris Domenico

In Attendance	Employee	Opening Meeting	Audit	Closing Meeting
	Braden Snapp	Yes	Yes	Yes

Procedure / Record
 Procedure / Record
 Sample Procedure

Signed:Chris Domenico , 20 Feb 2017 11:28

Audit Record

No.	Requirement	Response	Comments / Observations	File	Corrective Action
1	-Outside Buildings and Grounds-				No
1a	-Building Perimeter-				No
1.a.1	The outside perimeter of the facility is clean and free of	2 - Good			No