



CERTIFICATION AUDIT READINESS CHECKLIST

CERTIFICATION AUDIT DATES

Document Review/Stage 1: _____ Certification Audit: _____

The items on this checklist are recommended for a double check before the audit. This list is based on common findings in certification audits. If you are currently performing effective internal audits and facility inspections, you should already have these covered. However, based on the number of surprises that have come up during audits for these types of issues, a double check may be very useful.

PREPARE THE SYSTEM AND FACILITY

Is your internal audit schedule prepared, documented and approved? Are the internal audits of the system completed? Have corrective actions been initiated for findings?

Responsibility: _____ Due Date: _____ Completion Date: _____

Are all facility inspections, GMP inspections, food safety inspections or the inspections required by your food safety system complete? Have you defined what happens to fix the issues that are identified?

Responsibility: _____ Due Date: _____ Completion Date: _____

Do inspections check for temporary repairs, chemical storage and labeling, evidence of insects (check behind storage, in pest runs, rafters or other overheads and less used areas), cracked and flaking floors, dust build up, and employee compliance with GMPs?

Responsibility: _____ Due Date: _____ Completion Date: _____

Have you taken corrective action on issues identified by internal and external audits? Does the action include root cause analysis and follow-up to ensure effectiveness of the action?

Responsibility: _____ Due Date: _____ Completion Date: _____

Have you held management review, and are records available including action items with responsibility assigned?

Responsibility: _____ Due Date: _____ Completion Date: _____

Have you trained your employees on the food safety policy and their responsibility for reporting food safety concerns or issues?

Responsibility: _____ Due Date: _____ Completion Date: _____

Are verification activities taking place, and action items assigned when issues are identified?

Responsibility: _____ Due Date: _____ Completion Date: _____

Are food safety records complete? Review cleaning records, HACCP records and others. If incomplete records are found assign corrective action.

Responsibility: _____ Due Date: _____ Completion Date: _____

Are calibrations up to date, and equipment properly labeled?

Responsibility: _____ Due Date: _____ Completion Date: _____

Have you verified your HACCP flow diagrams by walking through the process? Do they include water, air or other gasses that are used for product contact (including packaging contact where packaging contacts food)? Do they identify where waste leaves the process, and how rework flows?

Responsibility: _____ Due Date: _____ Completion Date: _____

If you have compressed air hoses that could be used for cleaning by blowing, have you trained employees on proper usage? Have you confirmed that this practice does not present a contamination hazard to clean equipment, nearby processes, product or packaging?

Responsibility: _____ Due Date: _____ Completion Date: _____

PREPARE FOR THE AUDITOR:

Remember that the auditor is at your facility to find evidence that the system is working. Help them to find the information they need to document that your system is in place, compliant with the standard and effective. If there are delays in getting information, or information is not found during the audit, the auditor is unable to verify effectiveness. The auditor must document evidence of compliance; this information is sent on for technical review and the final certification decision. Work with them for an organized and effective audit. Help them find the information they need to demonstrate the compliance of your system.

Do you have a safety presentation ready to inform the auditor of your safety practices that they must follow?

Responsibility: _____ Due Date: _____ Completion Date: _____

Do you have PPE available for the auditor?

Responsibility: _____ Due Date: _____ Completion Date: _____

Have you assigned a guide for the auditor so they are not left alone when changing from one process owner to another?

Responsibility: _____ Due Date: _____ Completion Date: _____

Do you have the process owners and others available to answer the auditor's questions?

Responsibility: _____ Due Date: _____ Completion Date: _____

Do you have a comfortable environment for the auditor to work in when they are not out in the facility (conference room, coffee and water available)?

Responsibility: _____ Due Date: _____ Completion Date: _____

Do you have the required procedures available, as a hard copy or electronically for the auditor to review? Read through the procedures to refresh your knowledge of the documents so you can guide them to sections relevant to their questions.

Responsibility: _____ Due Date: _____ Completion Date: _____

Do you have the required records available for review at appropriate locations in the facility? Are records complete? If not, have corrective actions been initiated?

Responsibility: _____ Due Date: _____ Completion Date: _____

Do you have training records available for the Food Safety/HACCP Team?

Responsibility: _____ Due Date: _____ Completion Date: _____

Have you informed employees throughout the facility that the auditor is coming, the purpose of the audit and the potential for any employee to be interviewed by the auditor? Have you given them tips for talking with the auditor and answering questions? For example, it is ok to say "I don't know, I would ask my supervisor." Remind them it is an audit of the system, not an evaluation of their performance.

Responsibility: _____ Due Date: _____ Completion Date: _____