SGS Remote (Virtual) Audit Plan

Company:	ABC		
Address:	Ontario Canada		
Site Contact Person:	HC	**Site PCQI** (FSMA only):	Not applicable
Audit Scope: Incl. Exclusions Incl. FDA Product codes (FSMA only)	Manufacture of micro and macro premixes and supplement, shipped in bags, totes or bulk. (Describe any different situations).		
Standard(s):	HACCP (FeedAssure®) Ractopamine-free ISO22000 (recert only) TS/ISO 22002-6		
Start Date:	March 23, 2020	**End Date:**	March 25, 2020
Calculated Audit Duration:	2.5 days	**Visit Type / Contract No:**	abcxxx
Product Categories:	D1	**Tech Scope** (IFS only):	Not applicable
Regulatory Scope: (FSMA only)	Not applicable		
Lead Auditor:	LA		
Team Member(s):	TBD		
Additional Attendees and Roles:	NA		
Audit Language:	English or French		
Technology to be used:	ICT (Information and Communication Technology) – Video link (SGS QiiQ), Skype, Dropbox/Email etc.		
Audit objectives: **To confirm that the site has established and implemented the requirements of the Standard**			

Day One				
Time	**Area / Department / Process / Function**	**Key Site Contact Person**	**Auditor** (for Audit Teams)	**Standard(s)** (for combined Audits)
9 am	• Opening meeting via Skype or video link • Confirm – audit scope, objective, audit process and confirm audit plan and duration of audit including remote (virtual audit protocol, follow-up and confidentiality); • Select audit trail finished product production dates based on items in production during the audit dates, distribute audit trail related required records list based on trail dates.	Site feed safety team and senior management + others as appropriate		
9.15 am	• Review HACCP and feed safety related key documents: • Review and discuss key changes (staff, product formulations, addition/removal of CCPs/OPRPs or PCs, recall or withdrawal if any); • Understand and review feed manufacturing process steps and control; • Confirm process flow charts and schematics for accuracy and timely review; • Review hazard analysis, risk assessment and control measures;	HACCP coordinator or Food Safety Team Leader (HC/FSTL)		HACCP and ISO

	• Review validation and verification records for HACCP plan and associated documents; • Audit the rigour of the last internal PRP/HACCP system review, including review staff training/evaluation records. **Method:** Skype or video link (e.g., SGS QiiQ)			
11.00 am	• Review and discuss policies (mission statement), target – measurable objectives and tracking (food safety planning), • Site management/leadership team (Organizational Chart), job descriptions or needs matrix for feed safety related staff (e.g. feed safety team, QA, production supervisors, medication handlers, sequencing personnel, receiving/shipping). **Method:** Dropbox, email or Skype/video link	TBC		ISO and HACCP
12:00 pm	Working lunch			
12:30 pm	• Review procedures/records for purchasing and receiving supplier approval and on-going monitoring • Check receiving process (transport vehicle and incoming item inspection records); • Check specifications for grain, medications and feed ingredients; • Ractopamine containing ingredient segregation in receiving and raw material storage **Method:** Dropbox or email the documents, Skype for questioning and video link (e.g., web cam, SGS QiiQ) for site tour.	TBC		ISO and HACCP
2:00	• Virtual site tour of production area - checks feed manufacturing process controls, including, medication weighing/reconciliation, scale checks, overall cleanliness, equipment condition and process/hazard control records • Ingredient staging/pre-processing • Batching and mixing operations • Load out bin/tote filling, bagging/tagging • Raw material, medication and finished product storage, flush material storage • Ractopamine containing finished product process segregation, sequencing, line cleaning, processing and finished product storage. **Method:** Video link (SGS QiiQ) for site tour and records can be sent via drop box or email, question via QiiQ or Skype. Questions to operator for processing monitoring records, GMP, hygiene and sanitation as example.	TBC		ISO and HACCP
4:30	Auditor review			
5.00	Day 1 exit meeting	Site rep or appropriate		

Day Two				
Time	**Area / Department / Process / Function**	**Key Site Contact Person**	**Auditor** (for Audit Teams)	**Standard(s)** (for combined Audits)
9 am	• Review feed shipment and delivery process – load out sequencing and flushing procedure (focus on medicated and prohibited feed versus non-medicated and non-prohibited material containing feeds); • Check shipping records, load sequencing, Ractopamine segregation/shipments, driver flush records, shipment rejection records and control/quarantine process • Virtual site tour of load out/shipping areas and interview with shipping personnel and drivers. **Method:** Video link or Skype; records via email or Dropbox	TBC		ISO and HACCP
10 am	• Feed mill cleaning or sanitation – cleaning program, master cleaning schedule, verification and validation • Feed mills rodent and pest control program – operator/applicator licenses & contract, device schematics/maps, service/sighting records, corrective action records in response to contractor or internal findings, pesticide usage records, trend analysis. **Method:** records and procedure via email or Dropbox, interview via Skype or video link	TBC		ISO and HACCP
11.30 am	• Site traceability and recall program, emergency contingency plan due to Coronavirus impact on resources and meeting and records. • Review of mock recall and emergency planning drill records and follow up actions, (emergency planning drills required for ISO 22000) Method: Dropbox/email/video link or Skype	TBC		ISO and HACCP
12:30 pm	Lunch break			
1.00 pm	• Perform trace exercise; documents e.g., shipping lot, loading report including flashing or cleaning records, customer PO, stock inventory, production batch records with individual component lots, supplier and receiving records as example. • Review quality assurance records for finished product analysis (feed assays, batch tolerance limits, flush/carry over validations) and positive release records (pellet/particle size/integrity, moisture control), scale testing schedule, mycotoxin assays, process records to confirm correlation between formulation, process records and tags. **Method:** Dropbox/email for documents and records, interview/questions via Skype or video link	TBC		ISO and HACCP

2:30 pm	• Management review, food safety team meetings and internal audit and follow up action records • Review complaint handling and corrective action records for correction, affected product segregation, root cause analysis, actions to prevent recurrence, product disposition and verification of corrective action effectiveness. • Check master training/evaluation schedule and conformity to schedule from audit trail related personnel training/evaluation **Method:** Dropbox/email and Skype for questions	TBC		ISO and HACCP
4.15 pm	• Check master preventative maintenance schedule; check calibration schedule focused on mixers and medication scales; • Check maintenance records for conformity to master schedule; • Check corrective maintenance to ensure feed safety is not compromised • Check calibration records to confirm conformity to schedule and ensure no equipment out of calibration or beyond calibration due date is permitted to be used. **Method:** Video link (SGS QiiQ), records via Dropbox and Skype for interview.	TBC		ISO and HACCP
5.00 pm	Day 2 exit meeting	Site rep or appropriate		

Day Three				
Time	**Area / Department / Process / Function**	**Key Site Contact Person**	**Auditor** (for Audit Teams)	**Standard(s)** (for combined Audits)
9 am	• Review and complete Ractopamine free checklist. **Method:** Dropbox/email for records, video link for site tour and Skype for interview	TBC		Ractopamine-free
11 am	• Auditor preparation for closing meeting	Private time		
11:45 am	• Closing meeting – full discussion of areas covered, audit techniques and rigour, key findings, classification of findings; • Determination of facility timelines for immediate correction, root cause analysis and actions to prevent recurrence submitted with evidence; • Corrective action plans versus closure submissions with evidence. • Questions and follow up steps/dates. **Method**: Skype	Site team and senior management		All standards
12:10 pm	End Virtual Audit			

Notes to Client:

- This audit plan and scope has been developed on the information provided.
- It is essential that SGS are informed of any changes to the scope of certified activities, processes or the facilities since the proposal or previous audit that could affect this audit plan.
- It is essential that the activities applicable to the scope are seen during the audit. (For IFS; Production lines/ products which cannot be assessed on site during the audit, cannot be included in the certificate scope).
- Times are approximate and will be confirmed at the opening meeting. The auditor(s) reserves the right to amend the audit plan during the audit depending on the availability of documents, access to areas, further investigation of issues, etc.
- A management representative should be available during audit period and all key staff (or deputies) should be readily available to ensure that the plan can be followed.
- It is essential that appropriate protective clothing is provided for visiting facilities.
- Your contract with SGS is an integral part of certification and details confidentiality arrangements, information on follow up activities and any special reporting requirements.
- Failure to comply with the above may result in the audit being aborted at your cost.