## Form 17: Internal Audit Checklist

**Date:**

**Assessor:**

**Scope and objectives of audit:**

|  |
| --- |
|  |

**Audit Topics /Questions**

| **#** | **Audit Topic** | **Yes** | **No** |
| --- | --- | --- | --- |
| 1 | Have all issues from the last audit been addressed? | 🞏 | 🞏 |
| **Purchasing & Acceptance** |
| 2 | Are purchasing procedures followed, and all suppliers used are included on the Approved Supplier list? | 🞏 | 🞏 |
| 3 | Are records being kept? |  |  |
| 4 | Are any new ingredients being used? Specifications held on file? | 🞏 | 🞏 |
| **Hygienic Processing** |
| 5 | Are procedures in place and followed? | 🞏 | 🞏 |
| 6 | Are records kept? | 🞏 | 🞏 |
| 7 | Have corrective actions been addressed appropriately, and records kept? | 🞏 | 🞏 |
| 8 | Is equipment operated in accordance with its specified criteria? | 🞏 | 🞏 |
| **Cleaning** |
| 9 | Are procedures in place and followed? | 🞏 | 🞏 |
| 10 | Are records kept? (Note cleaning records are not required for a national programme, however records must be kept if something goes wrong) | 🞏 | 🞏 |
| **Process Monitoring** |
| 11 | Are procedures in place and followed? | 🞏 | 🞏 |
| 12 | Are records kept? | 🞏 | 🞏 |
| 13 | Review in-process test results | 🞏 | 🞏 |
| 14 | Is corrective action in accordance with procedures? | 🞏 | 🞏 |
| **Calibration** |
| 15 | Are procedures in place and followed? | 🞏 | 🞏 |
| 16 | Are records kept? | 🞏 | 🞏 |
| **Personal Hygiene** |
| 17 | Are procedures in place and followed? | 🞏 | 🞏 |
| 18 | Are records kept? | 🞏 | 🞏 |
| 19 | Is clothing appropriate for the processing task? | 🞏 | 🞏 |
| 20 | Are staff aware of and follow the sickness policy? | 🞏 | 🞏 |
| 21 | Are there any uncontrolled people-to-product hazards? | 🞏 | 🞏 |
| **Water** |
| 22 | Are procedures in place and followed? | 🞏 | 🞏 |
| 23 | Are records kept? | 🞏 | 🞏 |
| 24 | Is there any likelihood of water leading to contaminated product? | 🞏 | 🞏 |
| 25 | If on self-supply water has the water been tested in line with the Food Notice – Requirements for Food Control Plans and National Programmes? | 🞏 | 🞏 |
| **Pests** |
| 26 | Are procedures in place and followed? | 🞏 | 🞏 |
| 27 | Are records kept? | 🞏 | 🞏 |
| 28 | Is there any evidence of rodent or insect presence in the processing areas? | 🞏 | 🞏 |
| **Product and Ingredient/Raw Material Handling & Storage** |
| 29 | Are procedures in place and followed? | 🞏 | 🞏 |
| 30 | Are records kept? | 🞏 | 🞏 |
| 31 | Is product protected from contamination and damage?  | 🞏 | 🞏 |
| **Traceability & Labelling** |
| 32 | Are procedures in place and followed? | 🞏 | 🞏 |
| 33 | Are records kept? | 🞏 | 🞏 |
| **Corrective Action** |
| 34 | Are procedures in place and followed? | 🞏 | 🞏 |
| 35 | Are records kept? | 🞏 | 🞏 |
| 36 | Examine all product dispositions | 🞏 | 🞏 |
| 37 | Examine all complaints, When Something Goes Wrong forms and recalls | 🞏 | 🞏 |
| 38 | Has the annual Mock (Simulated) Recall been conducted?Date completed: | 🞏 | 🞏 |
| **Training** |
| 39 | Are procedures in place and followed? | 🞏 | 🞏 |
| 40 | Are records kept? | 🞏 | 🞏 |
| 41 | Examine competence of a sample of staffRecord names of staff checked: | 🞏 | 🞏 |
| 42 | Review records of training plans and training completed | 🞏 | 🞏 |
| **Documentation** |
| 43 | Are procedures in place and followed for all processes and supporting systems detailed in the Brewers Guild FSP? | 🞏 | 🞏 |
| 44 | Are records kept? | 🞏 | 🞏 |
| 45 | Examine a sample of historical records – are records fully completed, accurate and meet FSP requirements?Names of records checked and date ranges here: | 🞏 | 🞏 |
| 46 | Is record keeping secure, electronic records and documents backed up regularly, and records maintained for at least 4 years? | 🞏 | 🞏 |
| **Verification** |
| 47 | Are procedures in place and followed? | 🞏 | 🞏 |
| 48 | Are records kept? | 🞏 | 🞏 |
| 49 | Examine Programme reviews and Monthly GOP Assessments | 🞏 | 🞏 |
| 50 | Examine process and product tests | 🞏 | 🞏 |
| 51 | Examine previous internal audit reports | 🞏 | 🞏 |
| 52 | Examine external verification audit reports | 🞏 | 🞏 |
| 53 | Check National Programme registration scope – are there any changes to products/processes/key personnel/premises that need to be notified to the verifier and registration authority? | 🞏 | 🞏 |

**Findings / Corrective Action**

| **Question #** | **Issue and Suggested Action** | **Actioned By** | **Date/Signed** |
| --- | --- | --- | --- |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |