

Best Practice Internal Auditing Training Specification



Course structure

The content of the training course is structured so that there's a summary at the start and at the end of each module.

What you will learn...

What an internal audit is.

What the requirements for your internal audits are:

- What the requirements are actually asking you for.
- What you need to do to work to best practice to cover retailer requirements too.
- The difference between verification and validation.

We've included gold stars throughout the training, to explain how the learner can elevate their auditing to best practice...



We are going to focus on best practice so you will be covering all possibilities, including retailer standards. This means we will be looking at auditing to a high level of detail. In this guide we've highlighted areas where you can exceed this. Pushing your site to work to gold star standards, will elevate you above external audit requirements, giving you extra armour.

Where specific requirements need to be followed, we've highlighted these clearly, so they can be easily identified...

"You must have a scheduled internal audit programme in place."

Throughout the course, there are lots of tips and guidance about auditing and useful insights to help the learner get the most from this training.

Technical information

Author: Techni-K

Version control: Version 1.0

Date of release: Jun 2019

Course duration: 2 days*

Stop/start function: Yes

Suitable for: Auditors and Managers

Number of units: 10

Compliance: BRCGS, FSSC 22000, IFS, SQF and Retailer Standards

Language: English

Other languages available: No

Suitable for hearing impaired: Yes

Suitable for the visually impaired: No

Format: Cloud-based eLearning

Internet connection required: Yes

Supported browsers: Google Chrome & Mozilla Firefox (latest version)

Exam type: Open book

Test format: Multiple choice questions

Assessment grading: Pass or fail

Timed test: No

Pass rate: 70%

Immediate free retraining: Yes

Instant certificate: Yes, online PDF

Training dashboard: Yes, online

Help functions: Yes

Glossary: Included in PDF Lesson guide

Index: Included in PDF Lesson guide

Course materials: PDF workbook and lesson guide

*Estimated - run time will depend on each learner. The time stated is as per the course testing by us here at Techni-K.

Course content:

Module 1: Introduction

At the start of the training course, an overview is given of what's included in each module. There are no learning outcomes or test for this module.

Module 2: Internal audit requirements

The content of this module covers what an internal audit is, what the requirements are - this is what they mean and what the learner needs to do. This includes scheduling, risk assessment, monitoring and training. Also included are our top tips on what needs to be recorded, effective communication, record keeping the difference between verification and validation, GMP inspections and determining frequency of these separately. The learner will be qualified to audit the internal audit system to best practice from the content of this module.

Learning outcomes: What internal audits are, how to schedule internal audits throughout the year with the frequency based on risk. Why auditors need to be independent from the areas they're auditing and how they must be trained. Why and how to record both non-conformance and conformance in audit reports. How to communicate findings, how to check something is working or will work, how non-conformances can occur elsewhere on site and how this should be considered and the correct action to take. Why a separate GMP inspection programme is needed and why frequencies must be based on risk.

Module 3: Corrective and preventive actions and root cause analysis

This module covers what the requirements are for corrective and preventive actions, it covers the definition of a non-conformance and the types often used. There are examples provided for critical, major, minor and recommendations - as well as corrective and preventive action. Root cause analysis is part of this unit so the learner will be taught about the requirements for this and how to document the method used in a procedure. Trends, when to use root cause, the methods available, as well as our own Smart Analysis method is included which shows a 9-step worked example that can be followed in detail. The learner will be qualified to audit corrective and preventive action to best practice from the content of this module.

Learning outcomes: When a non-conformance is raised, what corrective action is and when it is carried out, what preventive action is and when it's used, what root cause analysis is used for and when, what methods of root cause analysis are used and how to carry out Smart Analysis.

Module 4: Internal audit basics

The different types of audits, such as horizontal and vertical audits are explained and when these are used. We provide an example of when a vertical audit would be used and what evidence to look for. We show you the steps of the audit cycle that provide structure to auditing activities and what's included in each step is clearly explained.

Learning outcomes: What types of audits there are and when they're used, what the different steps are in the audit cycle are and what must be carried out at each step.

Module 5: The aim of internal audits

In module 5, we cover the subject of why internal audits are carried out, this includes subjects such as trends, new areas on site, identifying changes, ncn protection, compliance and preventing failure. We also look at why internal audits don't work and why the same non-conformances keep happening. Learners follow a set of root cause analysis examples for this problem before we move on to the subject of senior management commitment and how this drives improvement. We've included insight from our own auditing experience in this module to help the learner understand the culture surrounding it.

Learning outcomes: Why internal audits are important, why internal audits are carried out, what can happen when internal audits don't work, how senior management commitment is key to making audits work, what effective auditing does and how internal audits help senior management prioritise actions needed.

Course content:

Module 6: Audit skills and tools

What auditing activities are used and how the learner can use their own behaviours to get the information they need when carrying out audits. We also provide lots of detail about the specific skills and tools that can be utilised to become a competent auditor. There's advice about asking questions and getting explanations so that learners are able to determine conformance or non-conformance.

Learning outcomes: What auditing involves, what skills you need as an auditor, what tools you can use to carry out your internal auditing, how to ask questions, how to respond to explanations, what evidence you need to complete your auditing, what reference documents you need and how note taking can help you.

Module 7: Best practice auditing

Module 7 is all about best practice - it includes what the best auditors look for when auditing systems and procedures. The fundamentals of how to audit documents and records is in this module and tips of what to look for. How to audit documents for content and records for specific elements such as legibility, gaps, due diligence, signatures and dates. There are example records in this module for the learner to practice looking for non-conformances and a 'spot the NCN' game so they can look for non-conformances in factory setting as though they were carrying out a GMP inspection. Each non-conformance from the GMP inspection is then discussed together with our advice on observing and interacting and how GMP inspections are carried out. We've included over 40 different topics in GMP inspections to give a broad-range of examples of where non-conformances can be found.

Learning outcomes: What to look for when auditing, what provides the evidence needed in audit, how to audit documents and records, how to check training records and documentation, what to look for when carrying out GMP inspections, why non-conformances are a good thing.

Module 8: Audit report writing

This module is all about how to write the audit report, so that there's an accurate record of auditing activities. We begin with the 'do's and don'ts' then examples of good and bad statements so that the learner can identify where they could go wrong and how they can make sure the audit report gives the right information that can be followed so others can understand it.

Learning outcomes: Why previous audit reports should always be used, why information shouldn't be copied from previous audit reports, what information to record when writing an audit report, how to write a statement of conformance or non-conformance, why it's important that others can understand an audit report.

Module 9: Senior management commitment

So that the learner is qualified to audit the senior management commitment section of the Standard, in this module we include the requirements for this section and what they mean as well as how the site can work to meet the requirements and what the auditor would want to see. We pick out words like 'committed and communicated' so the learner can interpret this correctly and know where to look for evidence in audit. As food safety culture is now part of all food-related Standards, we've included our 5-step culture training with guidance on auditing this. The compliance for site objectives, senior management review, management meetings, whistleblowing, resources, technical updates, the Standard itself, audit dates, audit attendance, non-conformances, the organisational chart and roles and responsibilities are included with tips on what the learner is looking for when auditing these elements of the section too.

Learning outcomes: What the requirements are for the senior management commitment section of the Standard, how to ensure the senior management commitment policy is compliant and what evidence is needed for auditing. What evidence needs to be in place and how to audit for the site culture plan, site objectives, senior management review, management meetings, whistleblowing, resources, the Standard the site works to, audit dates, audit attendance, non-conformance, the organisational chart and roles and responsibilities.

Module 10: Summary

As this training course has a lot of content, we've included a summary of each module at the end which allows you to recap on everything learnt in the training course. No learning outcomes are required for this module.

Interactive elements

As part of this training course, we've included games, activities and exercises to develop knowledge and understanding.

- **Audit bingo:** This game of words, will help the learner recognise the language of auditing and understand its purpose.
- **Root cause analysis:** Investigations using Smart Analysis is part of this exercise, which is a system we've developed - to determine the root cause of a set of questions we've provided.
- **Audit cycle steps:** In this activity, a game of matching up actions and placing them into their correct step in the audit cycle helps the learner to understand and organise their auditing activities.
- **Brainteasers:** Activities to get the learner thinking about why internal audits are carried out and why internal audits don't work. These activities lead onto the development of problem solving skills needed in root cause analysis.
- **Matching questions:** This activity is designed to help the learner how to correctly ask questions when auditing to ensure they can determine conformance or non-conformance.
- **Document auditing:** Writing NCN statements in this exercise with reference documentation we've provided will help the learner to identify non-conformances.
- **Spot the NCN game:** In this game learners look at an image of a factory processing area to see if they can identify and find non-conformances. This activity is designed to help with learning how to carry out GMP inspections.
- **Statement writing:** Selecting NCN statements in this game to sort the good ones from the bad helps the learner reinforce what they've learnt about writing audit reports.
- **Culture matching:** Listening and selecting vision statements and values and matching them to the correct brands, helps the learner to understand the construction of this subject and be competent in auditing it.

Assessment

During the course, formative assessment is used to check that learning is taking place through the use of activities. At the end of each unit, summative assessment is used to test that learning outcomes for that unit have been met using multiple choice questions. At the end of the course, a practical auditing exercise is used together with multiple choice questions to test the auditing ability of the learner.