




CITRUS PROCESSING SHORT COURSE


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PREPARING FOR THIRD-PARTY AUDITS



**Historically, audits were
conducted to assess a
plant's capability to meet
production needs.**



**New concerns focus around
conducting a risk assessment
of the facility and the ability to
control hazards at acceptable
levels...**



**...AND
to meet the various market
demands.**

Audit Schemes

- **Supplier Directed--NFPA**
- **European--BRC, GFSI**
- **IP**
- **Organic**
- **AIBI, Silliker, NSF**

CHANGING DISCIPLINES DICTATE AUDITS

- **Customer's HACCP protocol requires a physical review of the system and facility**
- **Past experience**
- **Sensitive nature of select ingredients**
- **The need for outside resources**
 - **Reduced manpower**
 - **Lack of skilled resources**

SCOPE OF AUDITS

- **Issue specific**
 - **Specific product line**
 - **Program review**
 - **Data verification**

TOTAL FACILITY

- **Complete document review**
- **Physical inspection of plant**
- **Product review**
- **System capability**
- **Employee performance issues**

DOCUMENT REVIEW

- **Receiving documentation**
- **Processing documentation**
- **Pest control documentation**
- **HACCP documentation**
- **QC documentation**
- **Contractual agreement documentation**

PHYSICAL REVIEW OF THE FACILITY

- **Structural integrity**
- **Operational practices**
- **Personnel practices**
- **Preventive maintenance**
- **Specific product safety risks**
- **Pest control issues**

PRODUCT REVIEW

- **Formulation criteria**
- **Specification compliance**
- **Process risk assessment**

SYSTEM CAPABILITY

- **Product safety devices**
- **Product consistency**
- **Sanitation issues**
- **Cross-contamination potentials**

EMPLOYEE PERFORMANCE ISSUES

- **Conformance to GMPs**
- **Conformance to contract specifications**
- **Conformance to plant policies**

ISSUE SPECIFIC AUDIT

- **Limited scope**
 - **One product line**
 - **Investigation of a specific issue**

INSPECTION PROCEDURES

- **Notification / non-notification**
- **Verify authority to conduct audit**
 - **Letters of introduction**
 - **Proper identification**

INSPECTION CRITERIA

- **Establish standards**
- **Set expectations**
- **Explain rating system, if used**
- **Outline actions to be taken**

AUDIT PROCEDURE

- **Designate a spokesperson**
- **Be prepared with accurate data**
- **Do not commit beyond capabilities**
- **Document all findings and discussions**

SCOPE OF THE AUDIT

- **Restrict to areas of concern**
- **Avoid disruption of the process**
- **Set an agenda, if possible**

POST AUDIT

- **Review all findings to ensure parties are in agreement**
- **Provide a written report of findings**
- **Provide an outline of priority action needed**
- **Determine response time**

Trends for the Future

- **Allergens**
- **Agriculture**
- **Animal Welfare**
- **Food Security**
- **Worker Safety**

The Integrated System

