Auditing and Compliance Certification FIAAA Code of Practice

The Feed Ingredients & Additives Association of Australia will provide voluntary certification of member establishments that comply with its Code of Practice within specified limits.
Certification status will be conferred if:

1. an auditor reports that the establishment complies with the Code within the limits specified in the Code;
2. in the opinion of the auditor, the establishment operates a satisfactory quality assurance program.

Certification is based on independent audits that are conducted according to the following protocols:

Auditing conduct

Audits of compliance with the FIAAA Code of Practice shall be conducted using a checklist such as the FIAAA Code of Practice Checklist available to members on its website.

Auditors shall be independent of the establishment to be audited.

Audits shall be conducted by suitably qualified auditors. Audits of compliance with the code may be conducted as a supplement to audits of management systems such as audits of the ISO 9000 series of standards for quality management systems, or ISO 14000 series of environmental management standards.
Audits may be conducted as supplements to HACCP certification audits or may be stand-alone audits.
Auditors shall belong to a certification body which is accredited by JAS-ANZ or international equivalent approved by the International Accreditation Forum(IAF) or approved equivalent.

Audits shall be conducted annually and shall be conducted within two months of the anniversary of the original date of certification. Anniversary dates may be varied by application stating the reason for change.

FIAAA audits are annual (+/- 2 months) except where the member has multiple QA systems (ISO, HACCP, APVMA GMP, FAMI QS, etc) in which case following 2 audits where no major or moderate non-conformances have been reported, then the certificate will be valid for 2 years (+/- 2 months). Where significant changes (as agreed by members) have been approved the changes shall be audited within 12 months irrespective of the certificate validity.

Audit conclusions shall be reported to FIAAA using the Audit Report Summary (4pp) contained at the end of this document. Documents will be retained as confidential documents not to be shared without member approval..

After each audit the FIAAA will confirm certification status and the date of expiry.
Supplementary certification audits may be required as necessary.

Audit Scope

Audits are conducted on the company and site nominated in the checklist (Audit Report Summary).

Products supplied externally to the site are to be considered compliant providing they are:

- being supplied by another audited site and are demonstrated to meet the requirements of this Code, or
- are compliant with clause 7.4, Handling of Incoming Materials.

Non-manufacturing, Distribution and/or Importers:
Where products are sourced externally, the company shall demonstrate that all aspects of the Code are in compliance, either by evidencing source certification against this Code (or equivalent) or compliance with 7.4 of the Code.

Where product is received or dispatched via external warehouses, such products may continue to be considered as from certified suppliers providing original packaging and seals remain intact and defined storage and handling requirements are met.

Auditing procedure

Initial audits are conducted as requested by member establishments. For certified establishments audits shall be conducted within 2 months of the anniversary of the original date of certification, referred to as the Anniversary date. Certification may lapse if an audit is not reported within the applicable time frame. Anniversary dates may be varied by application stating the reason for change.

FIAAA audits are annual (+/- 2 months) except where the member has multiple QA systems (ISO, HACCP, APVMA GMP, FAMI QS, etc) in which case following 2 audits where no major or moderate non-conformances have been reported, then the certificate will be valid for 2 years (+/- 2 months). Where significant changes (as agreed by members) have been approved the changes shall be audited within 12 months irrespective of the certificate validity.

The audit will:

- compare the establishment's performance with the requirements of FIAAA Code of Practice;
- assess the performance of the quality assurance program.

The establishment's performance in complying with the requirements of FIAAA Code of Practice is assessed by identifying points of non-compliance.

A check list is used to assess compliance. It is based on the requirements of FIAAA Code of Practice. Each question in the checklist has the status of either Obligatory or Advisory. The status of Obligatory applies to points in FIAAA Code of Practice that use the word "shall" to signify the requirement is obligatory (normative). The status of Advisory (informative) applies to points in the Code that use the word "should" to signify that the requirement is recommended. Where there is a point of non-compliance with an obligatory requirement of FIAAA Code of Practice a major or moderate non-compliance must be recorded and a corrective action request issued. Where there is a point of non-compliance with an advisory requirement of the Code, the point may be assessed as an observation or a minor non-compliance.

Non compliances with the Code may be critical, major, moderate or minor. Critical non-compliances relate to requirements of the Department of Agriculture & Water Resources for export certification purposes.(reference Department of Agriculture/FIAAA Letter of Exchange)

A critical non-compliance may arise where:

- sourcing of product which is in contravention to the Export FIAAA Program requirements;
- inappropriate use of DAWR seals; and
- serious deviation of processing of product from the Establishment's Market Access Program, Importing Country Requirements or the Export FIAAA Program.

A major non-compliance may arises where:

- the safety of the product is found to be such that it could be a serious risk to the health of animals;
- product specifications are not being met;
- product labelling or use instructions are clearly misleading;
- products or processes contravene regulatory requirements.

A moderate non-compliance may arise when

- documented procedures required by the provisions of this Code are not available;
- HACCP plans have not been documented in accordance with the steps set out in Codex Alimentarius guidelines or have not been effectively implemented;
- process control fails to adequately control within specifications;
- there are errors in product labelling or use instructions that do not mislead or misrepresent products;
- product is not adequately assessed against specifications.

A minor non-compliance may arise when:

- observed practices do not comply with documented procedures but do not have an affect on product safety or quality;
- documented procedures required the Code are in place but are incomplete in respect of points that do not directly affect product safety and quality.

The auditor will recommend to the FIAAA that establishments are certified if the audit results in:
No major non-compliances identified.
No more than 15other non-compliances with a maximum of 5moderate non-compliances.
The auditor will report the audit findings to the establishment and FIAAA via the Report Form attached to these guidelines.

The report will identify all points of non-compliance.

The auditor will issue corrective action requests for all moderate and major non-compliances.

Any recommendations to the FIAAA about the certification status of an establishment will be dependent on satisfactory close out of corrective action requests within an agreed time frame. Audit Report and Findings

An audit checklist shall be used to assist in assessing compliance with all requirements of FIAAA Code of Practice.

The following Form “FIAAA Code of Practice Audit Report Summary” (4 pp) must be completed and forwarded to the Feed Ingredients and Additives Association of Australia by the audit client.

The auditor will assess compliance with each point of FIAAA Code of Practice, as listed on the checklist, according to the above guidelines. In addition observations of opportunities for improvements should be made on the audit checklist.

Each point on the audit checklist should be checked off in the left hand column as follows:

C Indicates there is compliance with the requirement of the FIAAA Code of Practice.

N/C Indicates there is a non-compliance with the requirement of the FIAAA Code of Practice.

O Indicates an observation of an opportunity for improvement.

If a point in the FIAAA Code of Practice is not applicable to the site being audit N/A should be recorded in the left hand column of the audit check list.

All observations of evidence of non-compliances or opportunities for improvements or positive comments shall be reported on the observation summary form.

Corrective action requests shall be raised for all observations that result in a finding of a major or moderate non-compliance.

The audit report to the audit client shall consist of the Audit Report Summary; the Executive Summary and Summary of Observation form (or equivalent); and corrective action requests. The audit checklist does not form part of the report unless it is requested by the audit client.

The FIAAA Code of Practice Audit Report Summary shall be forwarded to the FIAAA (this is the responsibility of the audit client).

The audit outcome shall be assessed as follows:

Certification is recommended if there are no critical or major non-compliances and less than 15 moderate and minor non-compliances with no more than 5 moderate non-compliances.

Certification may be recommended subject to satisfactory corrective action in relation to major non-compliances if the audit client agrees to take corrective action within one month.

Certification may be recommended subject to satisfactory corrective action in relation to more than 15 moderate and minor non-compliances if the audit client agrees to take corrective action to reduce the number of non-compliances to less than 15 with no more than 5 moderate non-compliances within one month.

Certification is not recommended if the audit client does not agree to take corrective action in relation to major non-compliances or does not agree to take corrective action to reduce the number of non-compliances to less than 15 moderate and minor non-compliances with no more than 5 moderate non-compliances.

FIAAA Code of Practice Audit Report Summary (to be submitted to audit client and FIAAA*)		
Audit date:		
Audit client		
Site Address:		
Contact person:		
Phone:		
Fax:		
E-mail:		
Auditor:		
Auditor Certification Body and address		
Phone:		
Fax:		
E-mail:		
Audit outcome:	☐	Certification recommended.
	☐	Certification recommended subject to close out of major CARs
	☐	Certification not recommended.

**Auditor (sign)	Audit client representative (sign
Certification Body:	
Date:	Date:

**FIAAA undertakes that this report will not be disclosed to any third party without prior consent. The content of the report may only be used for the purposes of Code of Practice periodic review.*

*** Auditor verifies that they have followed the FIAAA checklist and the DAWR-FIAAA Letter of Exchange requirements of auditors – if this audit is being conducted for export certification purposes.*

(to be submitted to audit client and FIAAA*)

FIAAA Code of Practice audit scope
Scope of audit: (include premises, locations' if audit is for export purposes, if Aust, NZ or both and other relevant details

FIAAA Code of Practice audit executive summary
Executive summary:

(to be submitted to audit client and FIAAA*)

FIAAA Code of Practice audit report summary of non-conformances & observations		
Audit client:		
Code ref.	Class.	Non-conformance or Observation

* Class. refers to the classification of the non-compliance or observation of opportunity for improvement.

(to be submitted to audit client and FIAAA*)

FIAAA Code of Practice CORRECTIVE ACTION REQUEST			
Audit client:		**Date of audit:**	
Reference in Code:		**CAR number:**	
Description of non-compliance:		**Class of non-compliance:**	
Auditee (sign):		**Auditor (sign):**	
Date:		**Date:**	
Corrective action:			
Auditee (sign):		**Date:**	
Evidence required to close out CAR:			
Justification for close out:			
Auditor:		**Date:**	

Submit by email to info@fiaaa.com.au