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Audit Process Annexure

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Purpose

The purpose of this Annex to the Audit Processes is to describe the additional requirements for clients seeking ISO 22000 certification.

Scope

Applies to the following processes:

Process	
Audit Team Assignment Process	- Issuance of Findings
Audit Plan Process	Competence of personnel
Audit Execution Process	Certificate Production Process

Responsibility

Head - Operations: Responsible for the maintenance of this document Lead auditor food shall ensure audit execution is in accordance with this process. Auditors are responsible for the performance of the assignment provided by the Lead Auditor

1.0 Audit Team Assignment**1.1 Scheduling of planned activities and assignment of audit teams**

- 1.1.1 For food, use ARPL-F-01 Client Information and Approval Form as information to assign audit teams. If the ARPL-F-01 Client Information and Approval Form do not give enough information about food chain category and products/services this information shall be obtained from the client.
- 1.1.2 Auditors shall be certified for the specific food chain sector.
- 1.1.3 If the audit is performed in combination with another standard then at least one of the auditors shall be certified for ISO 22000. Reduction of the audit duration, on account of combination, is only possible if all team members are certified for ISO 22000.
- 1.1.4 The competence of the team, as a whole, shall be appropriate to cover the scope of the audit, specifically in the following:
 - Current principles of HACCP
 - Understanding of PRPs (prerequisite programmes) and OPRPs (operational requisite programmes)
 - The effectiveness of selected control measures
 - Laws and regulations relevant to food safety and other requirements relevant to the discipline.
 - Food microbiology, food processing fundamentals and food chemistry including food analysis.

2.0 Audit planning

- 2.1 For ISO 22000 use ARPL-F-02 Audit Plan. It is vital that all HACCP-studies are evaluated and that all processes and product lines are audited during the initial audit. The applicable regulatory requirements shall be assessed throughout the audit with each relevant process.
- 2.2 If the audit is performed in combination with another standard then the auditing of processes requiring specific knowledge (ISO 22000) shall be assigned to an auditor competent to audit these areas. The Lead Auditor shall assign tasks to the other team members, considering their respective qualifications in the case of combined audits.

3.0 Audit Process

3.1 Stage I – Audit process

- 3.1.1. Stage I audit including Document review shall be carried out on-site. Food checklist shall be used during Stage I and shall be completed during Stage II is optional and can be used as a checklist or for hand notes.
- 3.1.2. Food Documentation review form is prepared and then the result of the review is communicated to the client through the report and findings during the Stage 1.
- 3.1.3. Special reasons for not carrying out on site with the Stage 1 audit shall be approved by Head - Operations.
- 3.1.4. Perform in accordance with ARPL-QP-22 Audit Processes. In addition to the items noted in the objectives with stage I is to evaluate the organizations state of preparedness for audit by reviewing the extent to which:
 - a) the organization has identified PRPs that are appropriate
 - b) the FSMS includes adequate processes and methods for the identification and assessment of food safety hazards, and subsequent selection and categorization of control measures
 - c) food safety legislation is in place
 - d) the FSMS is designed to achieve the food safety policy
 - e) the FSMS implementation programme justifies proceeding to Stage II
 - f) the validation, verification and improvement programme conforms to FSMS requirements
 - g) the FSMS documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties
 - h) additional documentation needs to be reviewed and/or what knowledge needs to be obtained in advance.
- 3.1.5. Any part of the ISO 22000 system that is audited during the Stage I and determined to be fully implemented, effective, and in conformity with requirements, may not need to be re-audited during the Stage II audit. However, it is ensured that the already audited parts of the FSMS during Stage 1 continue to conform to the certification requirements. The stage II audit report shall clearly state that conformity has been established during the stage I audit.

3.2 Stage II – Audit process

- 3.2.1 Food checklist that was filled in at the document review shall be completed during the stage II audit. Document information and evidence about conformity to all requirements, including the systems effectiveness

3.3 Stage I and II – Audit report

- 3.3.1 **Guidance to the section “Summary, Audit findings and identified areas of improvement made by the audit team” in the report** – This section shall be in open-text format. It is important that enough comments are made on each section in the ISO 22000 standard so that the reader (as well as the certification body) is able to evaluate the status of the client’s food safety management system. It is very important that comments are made on the following parts in the standard;
 - a) requirements for a management system
 - b) requirements for HACCP according to the principles of Codex Alimentarius
 - c) requirements for prerequisite programs and operational prerequisite programs.
Critical Control Points and operational prerequisite programs shall be listed with comments.

4.0 Findings Management Process

4.1 Grading non-conformities

In accordance with ARPL-F-44 Audit Finding

The following non-conformities shall always be graded as major non-conformities in addition to non-conformities mentioned in ARPL-F-44 Audit Finding Issuance of Findings;

- If there is a critical failure to comply with a food safety or legal issue
- On the basis of available objective evidence there is significant doubt as to the conformity of the product/ service being supplied.

4.2 Closing of finding reports

The acceptance of corrective action plans and the closing of nonconformities should preferably be performed by the lead auditor.

5.0 Competence of personnel

5.1 Proposal Review Personnel

The personnel carrying out contract review shall have successfully completed the following training:

- Training in audit techniques based on ISO 19011
- By Center of Excellence for Food, approved training for Food Safety management System (ISO 22000)
- HACCP training course (HACCP in accordance with Codex Alimentarius). Experience from HACCP studies or experience of evaluating HACCP may be sufficient.

5.2 Technical Review Personnel

Successful demonstration of the technical review competence as evaluated appropriately** by Vice-President Technical. Competence (based on education, training, work experience and audit experience) as required by a FSMS auditor of ARPL (Certification Division) for its qualification in that specific category of FSMS. **Evaluation by ARPL through written test/ interview process

5.3 Certification Authority Personnel

The personnel granting certification shall have the same education, food safety training, audit training and work experience as required for an auditor in the same category. The personnel should also possess knowledge and skills in the areas of current principles of HACCP, understanding of PRPs (prerequisite programmes), the effectiveness of selected control measures, Food Safety Management Systems requirements, laws and regulations relevant to food safety, assessment and review of audits report and the effectiveness of corrective actions. In addition to the Technical Review Personnel's sector specific competence requirements, shall have extensive knowledge of relevant organizational requirements.

6.0 Certificate Production Process

The scope on the certificate shall identify in detail what activity is certified, referring to food chain sectors.