



ACCREDITATION SCHEME FOR
MANAGEMENT SYSTEMS CERTIFICATION BODIES

SAC HACCP DOCUMENT NO 1

REQUIREMENTS FOR HACCP AUDITING METHODOLOGY AND CRITERIA FOR AUDITORS

November 2010

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CONTENTS

	<u>Page</u>
I Introduction	3
II Document Review	3
III Pre Award Audit	3
IV Surveillance	4
V Auditor days	4
VI Criteria for HACCP Auditors	4
VII Certification Documents	4
Appendix Criteria for HACCP Auditors	5

SAC ACCREDITATION SCHEME FOR HACCP CERTIFICATION BODIES

REQUIREMENTS FOR ¹HACCP AUDITING METHODOLOGY AND CRITERIA FOR AUDITORS

I Introduction

- 1 The following are requirements for auditing methodology and criteria for auditors and are to be used with ISO/IEC 17021.

II Document Review

- 2 The auditors shall conduct a site tour to understand the processes, products and activities undertaken by the organisation aimed at identifying ²PRPs, ³CCPs and applicable legal requirements associated with these processes, products and activities.
- 3 The auditors shall review the following documents:
 - a) HACCP Manual;
 - b) list of applicable legal requirements;
 - c) product data;
 - d) process flow charts;
 - e) site layout plan;
 - f) HACCP plans; and
 - g) other procedures and work instructions including recall procedures required by the organisation.
- 4 The auditors shall review the process adopted by the organisation for the identification of food safety hazards and the determination of CCPs. HACCP plans shall be examined to ensure that the plan is compatible with level of identification of food safety hazards.
- 5 The auditors shall review the basis, including validation of control measures, for all CCPs, and confirm that monitoring and measurement for these control measures are established.

¹ Hazard Analysis and Critical Control Point – system which identifies, evaluates and controls hazards which are significant for food safety

² Pre-requisite Programs – (food safety) basic conditions and activities that are necessary to maintain a hygienic environment throughout for the food chain suitable for the production, handling and provision of safe end products and safe food for human consumption

³ Critical Control Points – (food safety) step at which control can be applied and is essential to prevent or eliminate a food safety hazard (*biological, chemical or physical agent in food, or condition of food, with the potential to cause an adverse health effect*) or reduce it to an acceptable level

- 6 The auditors shall review the establishment of PRPs.

III Pre Award Audit

- 7 The auditors shall conduct a thorough assessment to determine that the HACCP plans have been implemented effectively including corrective actions.
- 8 The auditors shall assess the organisation's implementation of its PRPs, including assessment on site.
- 9 The auditors shall assess the effective implementation of all the food safety procedures including the recall procedure.
- 10 The auditors shall assess the monitoring system of the CCPs.

IV Surveillance

- 11 During each certification period, the certification body shall assess in sufficient depth, CCPs targeted for auditing and any new CCPs established by the organisation.
- 12 The certification body shall audit all CCPs and all sites of the organisation covered by certification at least once during each certification period.

V Auditor days

- 13 Auditor days shall be based on IAF MD 5 : 2009 – IAF Mandatory Document for Duration of QMS and EMS Audits (Annex A).

VI Criteria for HACCP Auditors

- 14 The criteria for certification bodies' auditors conducting HACCP audits are given in the Appendix.

VII Certification documents

- 15 The certification documents such as certificate shall include the name of the certification document and its latest issue number and / or revision, used for audit of the certified client. (Reference ISO/IEC 17021 Clause 8.2.3 e)

Criteria for HACCP Auditors

The summary of the criteria for HACCP Auditors is tabulated below.

Criteria	Auditor	Lead Auditor
Personal Attributes	Demonstrate personal attributes for effective and efficient performance of audits	
Formal Education	Knowledge corresponding to a tertiary education that includes microbiology and general chemistry	
Other Qualifications	Have knowledge of current regulatory requirements and applicable Codes of Practice	
Food Safety Work Experience	Minimum of 2 years full time work experience with food/hygiene and food safety programs and risk management or HACCP systems applicable to the industry sector in a technical, professional or supervision position plus ability to demonstrate competence in specific technical processes used within the industry sector (where applicable)	
Food Safety Training	Successfully completed training based on food safety programs and HACCP principles, and training on SAC HACCP Document 2	
Audit training	Successfully completed training in audit techniques based on ISO 19011	
Audit Experience	Minimum of 12¹ FSMS audits days in at least four organisations within the last 3 years under the leadership of a qualified auditor	Minimum of 5 FSMS audits as team leader within the last 3 years with a minimum total duration of 15 audit days , under the supervision of an auditor competent as a team leader

¹ Food Safety Management System – set of interrelated or interacting elements to establish policy & objectives and to achieve those objectives used to direct and control an organisation with regards to food safety

Criteria	Auditor	Lead Auditor
Maintenance of qualification (once every 3 years)	Perform either <ul style="list-style-type: none"> - a minimum of 5 external audits per year, including at least 2 FSMS, or - a minimum of 4 FSMS on-site external audits or 10 FSMS audit days per year 	Perform at least 4 FSMS audits with a total minimum duration of at least 10 audit days on-site at the end of every 3 year cycle. At least 2 of these audits shall be as team leader
Extension to new category	Has the required competencies through relevant education, food-safety-related training in the new category, and either <ul style="list-style-type: none"> a) 6 months of work experience in the new category, or b) 4 FSMS audits under the supervision of a qualified auditor in the new category 	Same as Auditor

Notes

- 1) The audit team of a certification body has to be led by a Team Leader who is qualified as a Lead Auditor for food safety management system (FSMS) and meets the above requirements.
- 2) For audits involving 1 auditor only, the auditor has to be qualified for food safety management system and meets the above requirements.
- 3) FSMS audits – can be initial, surveillance or recertification audits. All audits have to include Critical Control Points.