

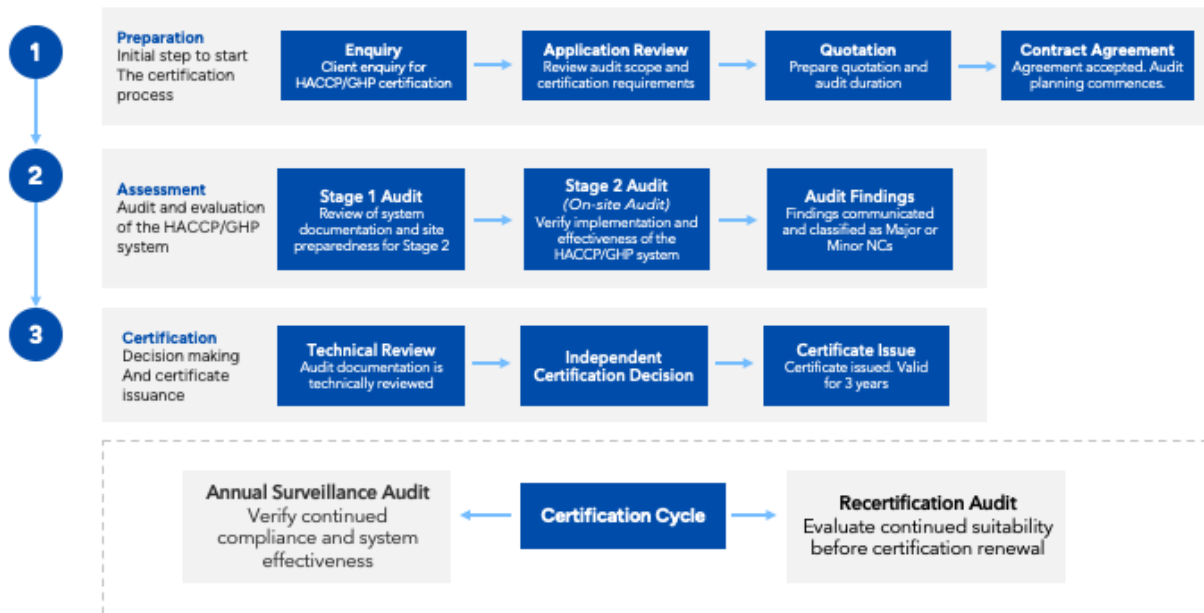


Audit Process

HACCP & GHP Certification



ALS Thailand follows a structured certification process to ensure that HACCP and GHP audits are planned and conducted consistently, effectively, and in accordance with applicable certification requirements.



Client Enquiry and Application

The process begins when the client contacts ALS to enquire about HACCP and/or GHP certification services. Information relating to the organization's activities, products, processes, sites, number of employees, and scope of certification is reviewed to determine the audit requirements and estimated audit duration. Audit planning commences after the certification agreement is accepted and signed by both parties.

Quotation & Contract agreement

ALS prepares a quotation based on the information and details provided by the client covering activities, products, work processes, locations, number of employees, and the scope of certification in order to determine audit requirements and the estimated duration of the audit. An agreement is then signed once both parties have reached an agreement/ acceptance.

Stage 1 Audit

The objective of the stage 1 audit is to provide a focus for planning the stage 2 audit by gaining an understanding of the food safety system in the context of the organization's infrastructure, food safety hazard identification, hazard analysis, HACCP plan and PRPs, policy and objectives.



And the organization's state of preparedness for audit by reviewing the extent to which:

- completeness of the documented system in line with the assessment criteria;
- the food safety system includes adequate processes and methods for the identification and assessment of the organization's food safety hazards, and subsequent selection and categorization of control measures;
- food safety legislation is in place for the relevant sector(s) of the organization;
- the food safety system is designed to achieve the organization's food safety policy and objectives;
- the food safety and hygiene system implementation program justifies proceeding to the audit stage 2 including site processes;
- the HACCP plan has been validated;
- The HACCP system has been verified;
- the food safety system documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties, and additional documentation needs to be reviewed and/or other knowledge needs to be obtained in advance before Stage 2.

Stage 2 Audit

The stage 2 audit shall take place at the site(s) of the organization. It shall include the review and verification of at least the following, include the following specific areas in the assessment:

- information and evidence about conformity to all requirements of the assessment criteria;
- management responsibility (including HACCP team) for the organization's food safety policies;
- the monitoring system (control and assurance) of the CCP's s chosen for the random test
- overview of relevant changes to documentation, requirements, processes and products since the last audit
- registered complaints on Food Safety and reports to concerning government
- involvement and training of the employees directly related to the operational food safety
- observe and follow up potential hazards and critical points (audit trails)
- depending on the observations, follow the audit trails through to non-production related areas, for example, maintenance, purchasing, human resources, etc.
- feedback of potential hazards and critical points to the hazard and risk analysis
- results of the verification and maintenance of the food safety and its evaluation.

The interval between stage 1 and stage 2 audits shall be no longer than 6 months. The stage 1 audit should be repeated if a longer interval is needed.

Audit Findings

Audit findings are reviewed and communicated to the client at the closing meeting. Where nonconformities are identified, they are classified according to their significance as either Major Nonconformities or Minor Nonconformities.

A Major Nonconformity indicates an issue that has a significant impact on the effectiveness of the HACCP/GHP system or where food safety may not be adequately assured. Major nonconformities must be satisfactorily addressed and closed before certification can be granted or maintained.

A Minor Nonconformity indicates an issue that does not have a significant impact on the overall effectiveness of the HACCP/GHP system. For minor nonconformities, the client is required to submit corrective action plan for review and acceptance by ALS. Closure of minor nonconformities will be verified at the next surveillance audit.



Certification Decision and Certificate Issue

Following completion of the audit, the audit documentation is subject to technical review and an independent certification decision process. When the outcome is satisfactory, the certificate is approved and issued by ALS. Certificates are generally valid for three years, subject to ongoing compliance and successful surveillance audits.

Surveillance Audit

Carry out a surveillance visit at least on an annual basis and assess the continued compliance and effectiveness of the system in line with the HACCP/ GHP requirements covered by the scope of the approval are monitored and maintained on a regular basis.

Take into account changes to its certified organization's and its system and includes focus on the operational control including key aspects of HACCP/GHPs related to significant impact on food safety and food hygiene.

Surveillance audit shall also include a review of:

- nonconformities from previous audits;
- changes in raw materials, ingredients, packaging materials, suppliers, products and/or services;
- changes in production process and/or equipment;
- changes and update in GHPs, and HACCP Plans;
- changes in personnel, their qualification level and/or allocation of responsibilities;
- training;
- relevant enquiries from external interested parties and/or complaints indicating health hazards associated with the product;
- update in regulatory requirements;
- customer, sector and other requirements which the establishment have undertaken to observe;
- other conditions or changes which have an impact on food safety and food hygiene.

Recertification Audit

The recertification audit shall include the demonstrated commitment to maintain the effectiveness of the entire HACCP and its changes and its continued relevance and applicability to the scope of certification.

The recertification audit shall include evaluation of

- the effectiveness of the system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
- demonstrated commitment to maintain the effectiveness and improvement of the system in order to enhance overall performance;
- whether the operation of the certified system contributes to the achievement of the food safety policy and objectives;
- the effectiveness of operational control(s) during processing of food.



Scope Expansion

When the food safety system requires scope extension, recalculate the number of assessor days needed to take account of the change.

The following activities must be reviewed whichever reflect the scope change:

- Changes in required documentation applicable to the change in scope
- Establishment and implementation of HACCP/GHPs regarding the new processes and activities
- Regulatory and customer requirements update related to the change.
- The Scope Change can be carried out on its own as Special Audit or as part of the regular audit. If the Scope Change is done in combination with a surveillance/ recertification, follow the relevant requirements of that activity.

Transfer Audit

ALS recognize an existing and valid management system certification issued by another accredited certification body for the purpose of issuing its own certification. ALS shall ensure that any transfer of accredited certification of management systems as per its procedure Transfer of Accredited Certification of Management Systems satisfying the relevant requirements.

A pre-transfer review is conducted in addition to the application and contract review, to determine the need for conducting transfer audit. If the transfer audit (pre-transfer visit) is needed to be performed, the appointed lead auditor will obtain evidence to assess the current fitness of the applicant's management system to the certified management system standard requirements. This will involve review of past audit reports and non-conformances issued, as well as auditing a representative sample of the client's certified management system.

Upon completion of pre-transfer visit, the lead auditor shall complete the Pre-transfer visit report with necessary evidence to substantiate the recommendation or for not recommending the transfer.

The technical reviewer will review the Pre-transfer visit report and give a recommendation which shall be approved by certification manager. If the application for transfer is accepted by ALS, certificate will be issued for the length of time of the original certification period, i.e., the expiry of the certificate shall be based on the first cycle.

Payment Term

Upon completion of each audit, ALS will issue an invoice detailing the actual man-days utilized and any additional expenses incurred. Payment is due within 30 days of the invoice date, unless otherwise agreed upon in writing.