



Canadian Grain Commission
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Canada

Canadian Grain Commission

General Requirements For Accredited Service Providers (CIPRS, CIPRS+HACCP, CGC HACCP)

CGC ASP-STAN 2.0.0

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Contents

General Requirements for Accredited Service Providers

Contents.....	i
Review	ii
Revision record.....	iii
Acronyms	iv
1.0 INTRODUCTION.....	1
2.0 GENERAL REQUIREMENTS	1
3.0 STAFF QUALIFICATIONS	1
3.1 General Auditor Competencies.....	2
3.2 Auditor Competencies for CIPRS	3
3.3 Auditor Competencies for CGC HACCP	3
3.4 Auditor Competencies for CIPRS+ HACCP	3
3.5 Evidence of auditor competencies	3
3.6 Auditor Attributes	3
3.7 Maintenance of auditor competencies	4
3.8 Review of auditor competencies	4
4.0 AUDITOR RESPONSIBILITIES	4
4.1 Continuous improvement	4
4.2 Conflict of interest.....	4
5.0 SERVICE AGREEMENT	5
6.0 MONITORING	5
Appendix 1 HACCP Course Criteria	6

Review

This Canadian Grain Commission standard is subject to annual review. Revisions will be issued to ensure the standard continues to meet current needs.

Revision record

Revisions to this standard will be given a consecutive number and will be dated.

Please ensure that all revisions are inserted, obsolete pages removed, and the record below is completed.

Revision No.	Amendment Content and Pages	Entered by:	Date:
Re-issue	Addition of CGC HACCP-based Programs	J. Sutherland	May 20, 2009
Revision 1	p.3, addition of 3.5 Evidence of Auditor Competencies	J. Sutherland	January 4, 2010
	p.3, addition of 3.6 Auditor Attributes	J. Sutherland	January 4, 2010
Revision 2	Changes to document format	M. Stoughton-Ens	August 1, 2010
Revision 3	Updated accreditation requirements and NACE codes in Sec. 2.0 General Requirements; added staff qualifications in Sec. 3.0; added confidentiality requirements to Sec. 5.0 Confidentiality and Conflict of Interest; amended Sec. 6.0 Monitoring	M. Stoughton-Ens	November 1, 2012
Revision 4	Changes throughout the standard re auditor responsibilities and annual review of ASPs and auditors	E. Bernardin	April 1, 2017

Acronyms

ASP	Accredited Service Provider
CGC	Canadian Grain Commission
CIPRS	Canadian Identity Preserved Recognition System
CIPRS+HACCP	Canadian Identity Preserved Recognition System Plus HACCP
CGC HACCP	Canadian Grain Commission HACCP
FSQMS	Food Safety and Quality Management System
GOP	Good Operating Practice
HACCP	Hazard Analysis Critical Control Point
IAF	International Accreditation Forum
IATCA	International Auditor and Training Certification Association
IP	Identity Preserved/Identity Preservation
IRCA	International Registry of Certificated Auditors
NACE	Nomenclature for Economic Activities
PVA	Process Verification and Accreditation Office
QMS	Quality Management System
RABQSA	Registrar Accreditation Board/Quality Society of Australasia International
TEAC	Technical Expert Advisory Committee

GENERAL REQUIREMENTS FOR ACCREDITED SERVICE PROVIDERS

1.0 INTRODUCTION

This standard specifies the requirements that Accredited Service Providers (ASPs) must meet for Canadian Grain Commission (CGC) accreditation to provide third-party audit services for the Canadian Identity Preserved Recognition System (CIPRS), the Canadian Identity Preserved Recognition System Plus HACCP (CIPRS+ HACCP) or the Canadian Grain Commission HACCP (CGC HACCP). These requirements are intended to ensure that ASPs have competent staff and will conduct audits and prepare audit reports in a consistent and reliable manner.

2.0 GENERAL REQUIREMENTS

To provide third-party audit services for CIPRS, CIPRS+ HACCP, or CGC HACCP, the ASP must be accredited to ISO/IEC 17065-2012 by an accreditation body that is a member of the International Accreditation Forum (IAF) and is a signatory to the IAF Multilateral Recognition Arrangement.

ASPs must provide a copy of the registration/accreditation certificate issued to them by the IAF member accreditation body when they apply for accreditation.

ASPs must also provide evidence that they have the appropriate NACE (Nomenclature for Economic Activities) code. In the case of the three above-noted programs, the following NACE codes will be considered appropriate:

- A1.6.3 - Post-harvest crop activities
- C10.6 - Manufacture of grain mill products, starches and starch products
- G46.2.1 - Wholesale of grain, unmanufactured tobacco, seeds and animal feeds

3.0 STAFF QUALIFICATIONS

ASPs shall require their staff and contracted personnel to have the competence to meet all managerial, administrative technical and auditing functions required to fulfil the duties of their positions within the organization.

ASPs shall maintain records of qualifications, training, experience and competency of staff and contracted personnel acting in managerial, administrative, technical or auditing roles within the organization.

3.1 General Auditor Competencies

In order to competently perform the activities detailed in CGC QSP 2.3.1, *Conducting a Food Safety/IP Quality Management System Audit*, all ASP auditors must have knowledge of the principles and implementation of quality systems and of the grain industry.

To obtain this knowledge, auditors must have:

- successfully completed an ISO 9000 Lead Auditor course delivered by an accredited¹ training organization;
- conducted a minimum of two complete quality management system (QMS) audits within a year of application; and
- successfully completed the program orientation for CIPRS, CIPRS+ HACCP or CGC HACCP provided by the Process Verification and Accreditation Office (PVA), depending on the program or program(s) for which the auditor will be providing audits.
- successfully passed the auditor competency examination administered by the Process Verification and Accreditation office.

In addition, all ASP auditors must possess a combination of education and experience as follows:

- 2 years' post-secondary studies in an agri-food-related field and 2 years' agri-food-related experience

OR

- other post-secondary studies (<2 years) and 3 years' agri-food-related experience

OR

- high school diploma and 5 years' agri-food-related experience.

In cases where auditors do not meet the experience qualifications, the ASP management may suggest activities that can be undertaken to provide auditors with the required experience. The PVA has the discretion to determine if the proposed activities will provide the required experience and under what supervision these activities must be carried out.

¹ by the International Registry of Certificated Auditors (IRCA) or the Registrar Accreditation Board/Quality Society of Australasia International (RABQSA).

3.2 Auditor Competencies for CIPRS

In addition to meeting the general competency requirements specified in section 3.1, CIPRS auditors must have knowledge of IP systems.

3.3 Auditor Competencies for CGC HACCP

In addition to meeting the general competency requirements specified in section 3.1, CGC HACCP auditors must have knowledge and understanding of the principles and implementation of HACCP-based food safety programs.

To meet these requirements, ASP auditors must:

- have successfully completed a HACCP training course that meets the criteria specified in Appendix 1; and
- have conducted a minimum of two complete food safety and quality management system (FSQMS) audits within a year of application.

3.4 Auditor Competencies for CIPRS+ HACCP

In addition to meeting the general competency requirements specified in section 3.1, CIPRS+ HACCP auditors must also meet the requirements specified in sections 3.2 and 3.3.

3.5 Evidence of auditor competencies

As part of the application process, and when additional auditors are being put forward to audit for CGC programs, a résumé will be submitted, along with copies of training certificates for the required training.

3.6 Auditor Attributes

In addition to the knowledge, education and experience listed above, auditors must possess personal attributes as outlined in 7.2.2 of ISO 19011:2011 Guidelines for Auditing Management Systems, such as:

- ethical
- open-minded
- diplomatic
- observant
- perceptive
- versatile
- tenacious
- decisive
- self-reliant
- integrity

These attributes will be verified during the course of field observations conducted per CGC QSP 2.1.0 Accreditation and Monitoring of CGC Accredited Service Providers.

3.7 Maintenance of auditor competencies

In order to maintain their auditing competencies:

- CIPRS auditors must conduct at least one IP quality management system audit annually,
- CGC HACCP auditors must conduct at least one food safety audit annually, and
- CIPRS+ HACCP auditors must conduct at least one food safety and IP quality management system audit annually.

3.8 Review of auditor competencies

Auditor competencies must be confirmed annually through review of their training and experience records.

In cases where an auditor's competencies have not been maintained, ASP management must take action to restore them. The PVA has the discretion to determine if the actions taken were sufficient to restore the auditor's competencies.

4.0 AUDITOR RESPONSIBILITIES

ASP auditors must conduct the following activities according to the appropriate procedures specified in CGC QSP 2.3.1:

- review the client's quality manual;
- conduct an on-site assessment;
- conduct any necessary follow-up activity;
- write an audit report following the format specified; and
- maintain the required documentation on file.

4.1 Continuous improvement

ASP auditors must attend any additional training courses deemed necessary by the PVA.

4.2 Conflict of interest

ASPs shall require that their auditors sign a contract or agreement stating their compliance to the requirements for client confidentiality and independence from commercial or personal interests. Auditors must also declare any issues they may have relating to personal conflict of interest to the ASP, as per ISO/IEC 17065-2012 requirements. Auditors shall not audit a company if they have provided consulting services to that company within the previous two years.

5.0 SERVICE AGREEMENT

ASPs must read and sign the Accreditation Agreement and conduct themselves accordingly.

6.0 MONITORING

The ASP shall participate in a monitoring program as detailed in CGC QSP 2.1.0 *Accreditation and Monitoring of CGC Accredited Service Providers*. The ASP shall notify the PVA, in writing, of any changes to approved auditors and/or their competencies, management or managerial structure, or ownership. If any of these changes results in a conflict of interest or loss of integrity, the service provider must consult with the PVA to determine appropriate action.

Appendix 1

HACCP Course Criteria

HACCP courses must be structured in such a way to ensure that participants are provided with the knowledge necessary to understand how HACCP-based food safety systems are developed and implemented. The curriculum of acceptable HACCP courses must include at a minimum:

- Introduction to Codex Alimentarius
 - o General Principles of Food Hygiene
 - o HACCP System and Guidelines for its Application
- Benefits of HACCP in the support of food safety and hygiene
- Different types of hazards, their sources and hazard prevention methods
- Techniques for the identification of biological, chemical and physical hazards
- Defining and writing prerequisite programs
- HACCP in terms of the 5 preliminary and 7 steps
- Hazard analysis (decision tree)
- Establishing CCPs:
 - o critical limits
 - o monitoring procedures
 - o deviation and corrective actions procedures
 - o verification procedures
- Documents and records of a HACCP system.

The HACCP training course must include an assessment of the students' competencies. This may include one or more of the following:

- practical assignments
- oral and written tests
- research assignment