ISO 22000 MANAGEMENT SYSTEM AND HACCP EFFECTIVENESS AND EFFICIENCY EVALUATION - AUDIT OF MANAGEMENT SYSTEM

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Abstract: One of the main requirements for management systems is ensuring their effectiveness and efficiency. There are many factors declining about system’s effectiveness, and many tools for evaluating that. Authors focused their attention on the most common tool - audit of the management system. Reason for that choice was the lack of professionality when it comes to managing audit programmes, during all the phases. Authors pointed out also the specificity of audits in food industry. Researches and analyses results in the paper apply to assessing the ISO 22000 and HACCP systems. However the final conclusions are universal.

EFFECTIVENESS AND EFFICIENCY OF MANAGEMENT SYSTEMS

Law and clients requirements in food industry forced many companies to implement ISO 22000 management system and HACCP control system. Carrying for consumers’ safety and organization’s development is the foundation of both systems (1, 2). Effectiveness and efficiency of management systems is inseparable from continual improvement. Many elements have a direct and indirect influence on effectiveness and efficiency of management systems.

It is a company with an implemented management system the effectiveness applies to consumer related process and its aim is to provide the client with the proper product or service, with minimization of the harmful influence. Process optimization stage should be monitored using the analysis of the audits used by the
people responsible for the process and its participants. Reaching the objective with the minimal expenses is the main characteristic of efficiency. It’s connected with the economical aspect of the process and includes actions for eliminating and preventing rejections in the process. In most cases efficiency is limited to simple monitoring of the process, for example quantity of products in specified time unit. Using the rules of system approach to management not only brings direct benefits, but also has a crucial influence on managing the costs and risk, which is inseparable from system’s efficiency. Modern concerning profit, costs and risk managing are important to the organization, their clients, and other interested parties. These matters, concerning overall functioning of the organization can influence [1]:

- client’s loyalty,
- flexible and fast reactions for market opportunities,
- business continuity and resilience,
- costs and time of the cycle connected with effective and efficient usage of resources, setting the processes in the best way to meet the objectives, competitiveness improvement through development of organizational utilities,
- results of operational actions, such as earning and market share,
- ability for creating the value for organization and it’s suppliers through the optimization of cost and resources, also flexibility and speed of common reactions for changes on the market,
- understanding and motivating people to reaching the objectives and participating in continual improvements,
- interested parties trust in organization effectiveness and efficiency, proved by financial and social profits from functioning of the organization, product life cycle and organization’s reputation.

Therefore audit is a crucial element of controlling the effectiveness of management systems, similar to audits of the product [4] and production process [5] audit.

ELEMENTS INFLUENCING THE EFFECTIVENESS AND EFFICIENCY OF THE MANAGEMENT SYSTEM

Many elements can affect effectiveness and efficiency of the management systems, some of them are:

- company’s quality policy,
- objectives and tasks concerning quality, environment and work safety, which are described by the company itself,
- identified processes, environmental aspects and threats regarding the job post,
- communication and team work,
- type of production, used techniques and technologies,
- operational control within verifying the realization of individual processes,
- company’s financial situation,
- staff’s awareness training,
- acts and rules in force, their direction,
- possession of the effective operational system with appropriate documents,
- appropriate evaluation of the management system, internal audits,
- controlling the nonconformities, preventive and corrective actions,
- management review,
- evaluation of the organization by the independent auditor.

Authors focused their attention in herein article on the subject of audit, especially those concerning food industry.

EVALUATION OF THE MANAGEMENT SYSTEM

Audit is an element of measurements, monitoring and data analysis carried out within the management system. Such information need to be reported and used for monitoring the development in reaching the objectives and tasks, and also for evaluating controlling tools need in the organization. Monitoring results should be maintained. In a case of breaking the law requirements organization should record it and undertake preventive and corrective actions as fast as possible.

Requirements included in the standards oblige the organization to conduct periodic audits of the management system to evaluate if it is consistent with the planned actions and if it is meeting standard’s requirements. It is also used to report about the functioning of the system for the management. Audit can be divided into two groups: audit of the compliance and audit of the effectiveness. Audit of the effectiveness allows to check if the controlling system and implemented actions, including management’s programs realization, are working and if it’s providing high quality of products, improved influence on environmental and job posts. Audits of the compliance is a way of checking, if the established procedures are functioning, and also if the ISO 22000 and HACCP requirements are meet. Audit of the effectiveness defines the verification of system’s functioning in such way that the objectives concerning the development of quality, environment and work safety are achieved. Audit of the effectiveness is a great tool for checking if the system was implemented correctly. It is similar to the audit of the project or venture, it goes through all system’s elements. All of the above included in the management systems, should be included in the audits program. Results from audits have to be comprehensive enough to carry out the management review, Reliability of the results is crucial for maintaining management’s commitment in the environment, system improvement and influence on the environment, and also for ensuring the effectiveness of the system from economical point of view.
ESSENCE OF THE QUALITY SYSTEM AUDIT

Audit is a systematic, independent and documented process for gathering audit evidence and evaluating if they have met audit’s criteria [6].

Internal audit is a necessary element of quality management, crucial when it comes to maintaining and developing the system. Audit is also used in many other management systems, not only quality management, but also ISO 9000:2000, ISO 14001:2004, OHSAS 18001.

Audit is considered as an effective tool used for qualifying and evaluating suppliers, especially in car, food, and pharmaceutical industry. It’s quite expensive in practice but very effective when it comes to evaluating the supplier, but also pointing out management areas in supplier’s organization that need improvement.

Finally the certification audit - it’s a formal way to end the implementation phase of quality management, environmental management, health and safety management, but also information security management, HACCP and other systems.

Audit is a very important tool during the implementation phase, but also crucial for developing the management system, it’s hard to imagine properly functioning system without the process of internal audit, which is a part of audit program management process. Need for improvement and increase of the effectiveness applies to the whole process - planning, performing, documenting and all the actions performed after the audit. Auditee competency is one of the crucial factors when it comes to the auditing process.

Auditors are a part of system continual improvement mechanism. They allow to verify the compliance with the implemented standard, but also provide the weak sides of the system (noncompliances and observations) and analyze the causes, performing preventive and corrective actions [3, 7].

Audit allows to evaluate if the organization is presenting sufficient level of management, and hereby [8]:
- it’s fulfilling planned actions ISO 9001:2000, ISO 14001, OHSAS 18001 and other requirements of quality management, environmental, health and safety system
- it’s implemented and is maintaining the system in an effective way.

Moreover audit allows to define necessary directions for improving the quality, developing and expanding quality management and environmental management systems. Auditors focus on checking the compliance of the system with law, client’s, standard’s requirements (ISO 9001, ISO 14001) and other internal regulations settled by the organization.

In the context of above observations, system of internal audits appears as a crucial element, being an obligatory requirement of the quality management system. It is also an obligatory element in other management systems, knowledge about auditing methods and guidelines (ISO 19011:2002) and also about requirements of the implemented model (for example ISO 9001, ISO 14001) is necessary for taking the full advantage of internal audits.

ELEMENTS OF INTERNAL AUDIT PROCEDURE IN QUALITY MANAGEMENT SYSTEMS IN FOOD INDUSTRY

While planning audits program, process status, importance for the organization and the results from last audits need to be taken into consideration. Audit’s criteria, scope, frequency and method results to be defined during the planning phase [9].

It is believed that the correct HACCP system verification and controlling needs much more attention than development of HACCP plan.

Companies, with implemented ISO 9001 and HACCP system in most cases use only one common internal audit procedure [2]. Every difference in auditing both systems is regulated by proper attachments or specific documents. In the case of HACCP system audit procedure should consist:
- rules of choosing and qualifying HACCP internal auditors,
- rules of planning HACCP audit, including:
  - creating and demonstrating audit’s schedule,
  - controlling schedule realization,
  - rules of creating and disseminating audit’s program,
  - rules of conducting the audit
- audit’s process:
  - opening meeting,
  - rules of planning auditors tasks
- rules of reporting the results:
  - type of reports,
  - rules of filling in the records,
  - conducting the closing meeting,
  - all actions performed after the audit,
  - time and place of archiving the records and disseminating them among interested parties.

Checklist is a very convenient tool, which can be used during the audits. It’s a list of questions, issues and problems that should be evaluated during the audit [10]. Checklist ought to be used mostly by experienced auditors, although the practice shows that they are constant and obligatory element even in those organizations with experienced auditors [11].
ROLE OF TOP MANAGEMENT IN MAINTENANCE AND IMPROVEMENT OF EMS ACCORDING TO ISO 14001

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Abstract: The article wishes to demonstrate the importance of commitment of the top management as a determinant of the environmental management system. In order to achieve significant improvements in the direction of action and work, top management should be involved in the decision-making process. The role of top management is significant and must be provided, which in turn will influence the process of maintenance and improvement of the environmental management system.

INTRODUCTION

In Poland there are over 1500 organizations which implemented and certified their EMS for the conformity with the requirements of ISO 14001 international standard. But it is difficult to guarantee the maintenance of this system at the appropriate level and also to demonstrate that the organization, through continual improvement, achieves its environmental performance.

There are many factors, which have direct or indirect influence on the improvement of EMS. Some belong to the group of internal factors, other are dependent on external factors, which have an influence on the organization. But the most important factor influencing the maintenance and improvement of EMS is the top management commitment.