

## Certified HACCP Auditor

Directions: Each of the questions or incomplete statements below is followed by four suggested answers or completions. Select the one that is best in each case and then fill in the corresponding space on the answer sheet.

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1. **Which of the following is NOT a benefit of using check lists in conducting an audit?**
  - a. The check list is a helpful memory aid.
  - b. The checklist provides uniformity to the auditing process.
  - c. The checklist will help identify who has the responsibility for deficiencies.
  - d. The checklist is a useful training aid.
  
2. **Which of the following details must be part of a process flow diagram?**
  - I. An accurate copy of the facility drawings
  - II. Product development procedures that happen before and after processing at the facility
  - III. All steps of the process over which the facility has direct control
  - a. I only
  - b. I and II only
  - c. II and III only
  - d. I, II, and III
  
3. **A basic requirement of an audit organization is that it reports to**
  - . the president of the company.
  - a. the quality control department.
  - b. the quality assurance department.
  - c. someone outside the organizational element being audited.
  
4. **Which of the following statements regarding prerequisite programs for HACCP is true?**
  - . They must be produced during hazard analysis.
  - a. They are constructed to keep product safety hazards under control.
  - b. They are limited to topics linked to sanitation.
  - c. They must be ready for the HACCP plan to be useful.

**Questions 5 - 6 refer to the following situation.**

A factory's HACCP program has a CCP that call for metal detectors to be checked every hour. The control limit is finding and rejecting a test part. In the course of an audit, the operator responsible for this CCP is checking the device every half hour and entering the results on an out-of-date form. Also, the records show that at 2 p.m. a test failure occurred and the operator did not carry out the corrective action called for by the HACCP plan.

5. **What conclusion can the auditor draw about this situation?**
  - . Production for the day is not safe.
  - a. Operator is not in compliance with the HACCP plan.
  - b. Training program used by the factory is not effective.
  - c. HACCP plan specified the wrong monitoring frequency.
  
6. **Which of the following corrective actions would be assigned the lowest priority, in this scenario?**
  - . Replace the out-dated form with an up-dated version
  - a. Put the product linked to the failed test on hold.
  - b. Perform a hazard analysis.

- c. Have the operator involved retrained.
7. **Supplier audits are usually arranged and coordinated by the**
- . quality assurance department.
  - a. manufacturing department.
  - b. engineering department.
  - c. purchasing department.
8. **The primary purpose of audit working papers is to provide**
- . evidence of the analysis of internal control.
  - a. support for the audit report.
  - b. a basis for evaluating audit personnel.
  - c. a guide for subsequent audits of the same areas.
9. **After auditors report deficiencies that have not yet been corrected, their role should be to**
- . ensure that corrective action is done right.
  - a. leave all further action up to the auditee.
  - b. evaluate corrective action after it is taken.
  - c. inform the auditee's top management that they should monitor the corrective action.
10. **Attribute sampling should be used when**
- . the data are measurements in metric units.
  - a. a yes-or-no decision is to be made.
  - b. the population has variability.
  - c. a multi-stage sampling plan is needed.
11. **During HACCP plan validation, which of the following would be the LEAST likely material to be used?**
- . Customer complaint surveys
  - a. Past test data
  - b. Challenge studies
  - c. Employee training records
12. **A HACCP plan that has the commitment of management is best shown through the**
- . availability of sufficient training for employees
  - a. research of all areas of the industry
  - b. certainty that products are appropriate for use
  - c. certainty that regular maintenance and calibration is maintained on equipment
13. **If deficiencies are identified by a comprehensive verification, the HACCP team should revise which of the following?**
- . The procedures for corrective action prerequisites
  - a. The testing of finished-product
  - b. The specifications for operation
  - c. The HACCP plan
14. **A crucial element in sustaining the tools used to gauge safety parameters is the**
- . equipment age
  - a. variations in measurements taken
  - b. schedule of calibration
  - c. training the operator receives

## Answers

1. c
2. a
3. d
4. d
5. b
6. c
7. d
8. b
9. c
10. b
11. d
12. a
13. d
14. c