Description of Certification Procedure

FSSC 22000

Inhalt

The certification of a management system based on standard FSSC 22000 , consists of the offer and contract phase, the audit preparation, performance of the Stage 1 audit with evaluation of the management documentation, performance of the Stage 2 audit, issue of certificate and surveillance/recertification.
Further applicable documents and rules can be found on the FSSC website (www.FSSC22000.com)

The auditors are selected by the Head of the Certification Body of TÜV NORD CERT GmbH in accordance with their approvals for the particular sector and their qualification.

1. CERTIFICATION PROCEDURE

1.1 Audit Preparation

Following signing of the contract, the auditor prepares for the audit based on the questionnaire filled in by the customer and the calculation sheet, and discusses and agrees the further procedure with the organization to be audited.

During preparation for the surveillance or recertification audit, the organizations to be audited have the duty to report fundamental changes in their organisational structure or changes in procedure to the certification body.

1.2 Audit Stage 1

The Stage 1 audit is conducted in order to

- audit the management system documentation of the customer,
- assess the site and site-specific conditions of the customer and hold discussions with the personnel of the organization in order to determine the degree of preparedness for the Stage 2 audit,
- assess the status of the customer and his understanding of the requirements of FSSC 22000particular with regard to identification of key performance or significant aspects, processes, objectives and operation of the management system,
- collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. food safety legal aspects of the client's operation, associated risks, etc.),
- review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit,
- evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

If nonconformities were identified in the stage 1 audit, these must be corrected by the customer before the stage 2 audit.

If at the end it cannot be established positively that the customer is ready for the Stage 2 Audit, the audit is broken off after the Stage 1 Audit.

The lead auditor is responsible for the coordination of the activities of the stage 1 audit and if necessary for coordination and cooperation of the auditors concerned amongst themselves.

1.3 Audit Stage 2 – Certification Audit

The customer receives an audit plan at the beginning of the stage 2 audit. The plan is agreed with the customer in advance.

The audit begins with a start-up meeting, in which the participants are introduced to each other. The procedure to be followed in the audit is explained. Within the framework of the audit at the organization's premises, the auditors review and assess the effectiveness of the management system which has been installed. The basis for this is standard FSSC 22000 respectively.

The task of the auditors is to compare the practical application of the management system with the documented processes and to assess them in relation to fulfilment of the requirements of the standard. This is achieved by means of questioning of the employees, examining the relevant documents, records, orders and guidelines and also by visiting relevant areas of the organization

A final meeting takes place at the end of the on-site audit. At least those employees take part in the audit who have management functions within the organization and whose areas were included in the audit. The lead auditor reports on the individual elements and explains the positive and negative results. If nonconformities are established, the lead auditor can only recommend the organization for issue of the certificate after acceptance or verification of the corrective actions by the audit team, see Section 7 "Management of nonconformities". Attention must be drawn to this fact in the final meeting.

The audit is documented in the audit report (the documentation must be separate for stage 1 and stage 2 audits) and is completed by means of further records (e.g. audit questionnaire and hand-written records)

1.4. Issue of Certificate

The certificate is issued when the certification procedure has been reviewed and released by the head of the certification body or his deputy or nominated representative. The person who reviews and releases the procedure may not have participated in the audit.

The certificate can only be issued when the nonconformities have been accepted or verified by the audit team.

The certificates are valid for 3 years.

The audit report and the certificate are registered on the FSSC Database (https://viasyst.net/fssc). FSSC charges 125 € [1] per site and year for registration in the Database. This amount is invoiced by TÜV NORD CERT and then passed on to FSSC

2. SURVEILLANCE AUDIT

The company data are updated before the surveillance audit, in order to take any changes which have a significant influence on the area of activity or the operational methods of the client into consideration.

- Surveillance audits must be conducted once per year during the period of validity of the certificate. Surveillance audits shall be performed prior the due date / audit-relevant date. The audit-relevant date for the annual surveillance audit, which follows the initial certification audit,

[1] This amount is continuously updated to correspond to the current fees of FSSC Foundation

may not be later than 12 months after the last day of the stage 2 audit. The audit-relevant date controls all the surveillance audits.
- Each surveillance audit including review and acceptance and verification, if appropriate, of the measures for correction of nonconformities, drafting of the audit report and release by the certification body, must be completed at the latest 3 months after the audit-relevant date.
- Within the framework of annual surveillance, a surveillance audit can be conducted at the earliest 3 months before the audit-relevant date.

Permissible tolerance for conducting annual surveillance audits:
audit-relevant date -3/+ 0 months.

In case of nonconformities, the same procedure is followed as for the certification audit. The certificate can be withdrawn in case of major nonconformities. Following the surveillance audit, the client receives a report.

3. RECERTIFICATION AUDIT

Recertification audits – including the review of corrective actions of identified nonconformities – have to be completed prior to the expiry of the certificate. The recertification shall consider a continuous certification.
In the recertification audit, a review of the documentation of the management system of the organization takes place and an on-site audit is conducted, whereby the results of the previous surveillance programme(s) over the period of the certification are to be taken into consideration. All requirements of the standard are audited.
Activities related to the recertification audit may include a stage 1 audit if there are significant changes in the management system or in connection with the activities of the organization (e.g. changes to the law).
Changes to the FSMS system must be submitted in advance by the client in writing along with the corresponding documents.
The audit methods used in the recertification audit correspond to those used in a stage 2 audit.

4. EXTENSION OF SCOPE AUDIT

If it is intended to extend the scope of an existing certificate, this can be implemented by means of an extension audit. An extension audit can be conducted within the framework of a surveillance audit, a recertification audit or at a time which is set independently.

The period of validity of a certificate does not change as a result. Exceptions must be justified in writing.

4.1. Short notice audits

If the client becomes aware that legal action could be taken with regard to the safety or legality of a product, he shall inform the certification body immediately. For its part, the certification body will instigate suitable steps in order to assess the situation and its impact on the certification, and will take appropriate action.

If the certification body gains knowledge of incidents which have an impact on the safety or legality of the product, the certification body is entitled to perform announced or unannounced audits at any time, and, following assessment of the situation and its effects, to withdraw the certificate(s).

In the case of a product recall, the client shall inform the certification body immediately and will describe the details regarding the incident. For its part, the certification body will take suitable steps in order to assess the situation and its impact on the certification and will take appropriate action

5. TRANSFER OF CERTIFICATION FROM OTHER CERTIFICATION BODIES

In general, only certificates from accredited certification bodies can be taken over. Organizations with certificates which originate from non-accredited certification bodies are treated like new clients.

A "Pre-Transfer-Review“ must be conducted by a competent person from the certification body which is taking over the certificate. This review generally consists of an examination of important documents and a visit to the client.

Certificates which have been suspended, or where there is risk of suspension, may not be taken over. Any nonconformities which have not been corrected should as far as practicable be clarified with the previous Certifier before the takeover. Otherwise they must be dealt with in the audit.

The further surveillance programme is based on the programme which has been in place up to the time of the takeover of the certificate.

6. CERTIFICATION OF COMPANIES WITH MULTIPLE LOCATIONS (MULTI-SITE)

Multi site certification is not applicable.

7. MANAGEMENT OF NON-CONFORMITIES

If a **Minor NC** is identified in an audit a proposed corrective action plan is **required within 3 months of the audit**. Corrective actions should be completed within 12 months after the audit. Implementation / completion of the corrective plan should be reviewed, at the latest, at the next on-site audit.

If a **Major NC** is identified in an audit, the client must provide objective evidence of a root cause analysis and proposed corrective action plan, agreed on by the CB. This should be provided **within 14 days of the audit** and the MNC closed within a further 14 days.
If this period is not observed, the audit is considered not to be successful, i. e. not to be passed. No certificate can be issued, or an existing certificate is withdrawn.
If food safety is at risk, a certificate should be withdrawn within 5 working days (max)