Description of the TÜV NORD CERT Certification Procedure for HACCP Food Safety System based on Codex Alimentarius Commission (CAC/RPC 1-1969, Rev. 4 (2003))

CONTENT

If you should require any further information then please do not hesitate to contact us. We will be please to help you.

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Description of the TÜV NORD CERT Certification Procedure for HACCP Food Safety System based on Codex Alimentarius Commission (CAC/RPC 1-1969, Rev. 4 (2003))

The certification of TÜV NORD CERT Certification Scheme - HACCP Food Safety System Certification based on Codex Alimentarius Commission (CAC/RPC 1-1969, Rev. 4 (2003)) (following called HACCP Standard) respectively, consists of the offer and contract phase, the audit preparation, performance of the Certification Audit, issue of certificate and surveillance/recertification.

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

Audit preparation serves to determine the certifiability of the client. This audit preparation can take the form of a preliminary audit. The preliminary audit consists of the following two stages:

- Review of the documents submitted by the client (Manual/handbook, possibly procedural and/or HACCP concept)
- Performance of a preliminary audit at the client's site

The purpose of the preliminary audit is to uncover weaknesses in the documents and in the implementation of the system (in relation to the scope of the HACCP Standard). The findings of the preliminary audit are explained to the client or, upon request, documented in a report. The scope of the preliminary audit is laid down in cooperation with the client.

1.2 Certification audit

In order that the certification audit can be prepared and planned, the company shall provide at least the following documents:

- Company organisation chart or other documents which show the organisational structure.
- HACCP analysis, however at the least the structure of the HACCP analysis and the defined CCPs
- Overview of the documents or a table of contents of the manual/handbook, documented procedures, work instructions.

If considered necessary, the auditor can request further documents.

The detailed document review can be performed before the certification audit. However, any deviations or nonconformities will be included in the overall audit evaluation, i.e. any deviations and nonconformities that are identified must be counted as such in the certification audit; it is not possible to carry out corrections before the audit. After this, individual employees are questioned at their workstations and applicable documents, records, orders, standards, guidelines etc. are viewed.

The task of the company during the audit is to demonstrate the practical application of its documented procedures. For this purpose, all product groups and processes which are to be included in the scope of the certification must be in the course of production or running at the time of the audit. If this is not the case, it will be necessary to undertake an additional audit of these product groups/processes, which will involve additional time and therefore additional costs for the client. Following the end of the audit, the client is informed of the audit findings in a final meeting. The auditor can submit an estimate of the audit result, but cannot state the result in final form. The findings of the audit are documented in a report; the nonconformities are documented in an action plan.

The audit can only cover one operating/production site.

The task of the auditors is to compare the practical application of the food safety system with the documented processes and to assess them in relation to fulfilment of the requirements of the HACCP 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”.

The audit is documented in the audit report and is completed by means of further records (e.g. audit questionnaire and hand-written records)

1.3 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.

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.

- **First surveillance audit following the initial certification audit**

  The **date of the first surveillance audit following the initial certification audit** is based on the PRD and may not be later than 12 months after the certification decision date. In case of exceeding the deadline **the suspension is carried out**.

- **Following surveillance audits**

  Surveillance audits must be conducted once per year during the period of validity of the certificate. Surveillance audits shall be performed prior to the due date / planning-relevant date. The planning based on the PRD ensures that the surveillance audits will be performed in time and once a year

- 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 planning-relevant date.

In case of nonconformities, the same procedure is followed as for the certification audit. The certificate will be withdrawn in case of critical 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 food safety 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.

Changes to the food safety 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 certification 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.

5. ANNOUNCED 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 at the latest 3 working days after the recall occurs 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. The information regarding the product recall must be sent to the following email address:

TNCert-Food-Recall@tuev-nord.de

6. TRANSFER OF CERTIFICATION FROM OTHER CERTIFICATION BODIES

A transfer of Certificates from other Certification Bodies is not possible. All requests for certification against TÜV NORD CERT Certification Scheme - HACCP Food Safety System Certification based on Codex Alimentarius Commission (CAC/RPC 1-1969, Rev. 4 (2003)) starts with an initial certification.

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

A Multisite-certification is only applicable within the categories A, B, E, F, and G for sites with more than 20 sites. The rules for certification of Multisite-certification are defined in Annex A.

8. MANAGEMENT OF NON-CONFORMITIES

Critical nonconformity will be issued when food safety is directly impacted or when legality and/or certification integrity are at risk.
When a critical nonconformity is issued at a certified company the certificate will be suspended within 48 hours for a maximum period of 6 month. A follow-up audit has to be conducted within 6 month to verify the effective closure of the critical nonconformity. The Certificate will be withdrawn when the critical nonconformity is not effectively closed within 6 month.
In case of an initial certification, a fully new initial audit has to be conducted.

An analysis of the causes must be performed for each nonconformity and corresponding corrective actions must be implemented. The organization has the duty, depending on the seriousness of the nonconformity, to inform the audit team within 90 days either with regard to the corrective actions which have been laid down and the dates for their implementation or that the corrective actions have been implemented. 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.

9. ANNEX A: RULES FOR MULTI-SITE CERTIFICATION

An organisation with several sites (multi-site organisation) is defined as an organisation that has a fixed, central headquarters (referred to hereafter as central office, but not necessarily the headquarters of the organisation) in which certain activities are planned, supervised or managed, and also a network of local offices or branches (locations), in which such activities are performed in whole or in part. An organisation with several sites does not necessarily need to form one single legal entity.

Conditions for Multi-site:

- Applicable only for the food chain categories Farming (plants and animals), Catering, Retail, Transport and Storage and more than 20 sites operating similar processes within these categories.
- all sites are operating under one centrally controlled and administered food safety system
- all sites are working in the same country and have same activities
- an internal audit has been conducted on each site within one year prior to certification, the annual internal audit programme shall include all sites of the organisation
- audit findings of the individual sites shall be considered indicative of the entire system and correction shall be implemented accordingly.
- TN CERT will perform an annually audit of the central office