DESCRIPTION OF THE CERTIFICATION PROCEDURE

FAMI-QS

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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This document has been approved according to CERT-401-VA-007. Details are available from the QM-Department.

Rules and performance descriptions regarding certification according to FAMI-QS Code

The rules and the performance descriptions regarding certification according to the FAMI-QS Code and Rules for customers constitute an integral part of the offer. They supplement the general conditions of certification.

Rules of the TÜV NORD CERT certification procedure according to FAMI-QS

- The certification body is entitled to pass on information to FAMI-QS which affects the certification procedure according to the provisions of the FAMI-QS standard.
- If it becomes clear to the client that a claim or a charge could be brought before the court with regard to the safety or legality of a product, he will inform the certification body immediately. From its side, the certification body will take appropriate steps in order to assess the situation and its effect on the certification and will take suitable measures.
- The audit can only ever include one operating/production site
- The customer will inform the certification body in writing in the case of a product recall, and will provide details of what has occurred. From its side, the certification body will take appropriate steps in order to assess the situation and its effect on the certification and will take suitable measures.
- Audit results from the FAMI-QS- audits has to be submitted to FAMI-QS
- The customer agrees the performing of
  - witness audits by Accreditation Bodies or FAMI-QS
  - audits of special purpose, parallel audits, short notice audits
  - training of new auditors by the Certification Body

1. CERTIFICATION PROCEDURE

1.1. Audit Preparation

Any customer who wants to be certified against FAMI-QS has to send an application form to FAMI-QS with the product list. The FAMI-QS process manager will return a letter of acceptance / rejection of the application. The acceptance / rejection of the application will be based on the products included in the application and their relevance to the FAMI-QS scope.
The approval letter is needed for initial audits and re-certification audits and it has to be sent to the TÜV NORD CERT GMBH.
According to the requirements of ISO /IEC 17021 and ISO/TS 22003, the FAMI-QS initial certification audit shall be conducted in two stages, stage 1 and stage 2.
Before the stage 1 audit for initial certification, the customer shall provide the Certification Body with the following documentation:

- Approval letter from FAMI-QS.
- License documents appropriate for the operations of the operator
- List of products coming from the processes covered in the FAMI-QS Scope

- List of ingredients purchased from non-assured suppliers (processing aids/intermediates are excluded);
- Information about production site(s);
- Externally provided services (contract manufactures, warehouses);
- Audit report from the subcontractor(s) (toll manufacturer(s), supplier(s), if applicable
- Countries where the products are placed.

1.2. Audit Stage 1

The objective of the stage 1 audit is to provide a focus for planning the stage 2 audit; this shall be achieved by gaining an understanding of the Feed Safety Management System (Feed SMS), in the context of the Customer's feed safety hazard identification, analysis, HACCP plan and PRPs, policy and objectives, and in particular according to the Customer's level of preparation for the audit, by reviewing the extent to which:

- The Feed SMS is aligned with the requirements in the FAMI-QS Code.
- The Customer has identified PRPs that are appropriate to the business (e.g. regulatory and statutory requirements).
- Evaluate the audit report on audits carried out at the supplier premises (if applicable).
- Evaluate the audit report on audits carried out at the subcontractor (if applicable).
- The Feed SMS includes adequate processes and methods for the identification and assessment of the Customer's feed safety hazards as well as the subsequent selection and categorization of control measures according to the FAMI-QS code.
- The Customer complies with the relevant feed legislation.
- The Customer's System collects the relevant statutory and regulatory requirements, related to the production in the country of origin and the placing of the specialty feed ingredients in the country of destination.
- The Feed SMS is designed to achieve the Customer's feed safety policy.
- The Feed SMS implementation program allows to proceed to stage 2 of the audit.
- The validation, verification and improvement programs are conformed to the requirements of the FAMI-QS Code
- The Feed SMS documentation is in place and its requirements are internally and externally communicated (relevant suppliers, customers, other interested parties etc.).
- Additional documentation needs to be reviewed /or which knowledge needs to be obtained in advance.

The findings in Stage 1 shall be documented and communicated to the client. The findings of Stage 1 do not include Non Conformities.
The stage 2 audit shall be conducted within six months after the date of Stage 1. In case that the stage 2 is not conducted within six months, the stage 1 audit must be repeated.
A stage 1 audit is required for the initial certification audit.

A stage 1 audit might apply for the re-certification audit when major changes in the Customer's Feed Safety Management system have occurred.

1.3. Audit Stage 2 – Certification Audit

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 the FAMI-QS Code of Practice in the current version
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. Subcontractor

If the subcontractor is not FAMI-QS certified or is not certified by any other mutual recognized standard, the Customer shall evaluate the risk connected to the Customer's service and, if relevant, perform a full audit, in order to ensure that the subcontractor meets the FAMI-QS requirements. Thus, the Customer shall audit the establishment of the subcontractor against FAMI-QS requirements. A report shall be made available.

1.5. Award of Certificate

The certificate is issued when the certification procedure has been reviewed and released by an authorised technical reviewer. The certificate can only be issued when the nonconformities have been accepted or verified by the audit team.
The period of validity of the TÜV NORD CERT certificate is three years, calculated from the time of the certification decision, provided that the annual surveillance audits in the company take place according to schedule.

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, 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. Within the framework of annual surveillance, a surveillance audit can be conducted at the earliest 3 months before the audit-relevant date.

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.
A failure to perform the recertification audit before the expiration of the certificate results in the interruption of the certification cyle. In this case, the wording “certified since” cannot be included on the certificate.
If a re-certification is conducted after the expiry of a certificate, a Stage 1 and Stage 2 Audit shall be carried out.

4. EXTENSION OF SCOPE AUDIT

In response to an application (changes notification form D-ROP-01-03) for the extension of the scope of a certification that has already been granted, the Certification Body shall undertake a review of the application and determine any audit activities that may be deemed necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance or re-certification audit.

5. SHORT NOTICE AUDITS

It may be necessary for the Certification Body to conduct audit of certified Customer at short notice (up to 72 hours`notice), in order to:

- investigate a complaint or
- in response to a feed safety incident or crisis at the Customer's site or
- as a follow-up on suspended certificate(s).

In such cases:
The Certification Body shall inform the certified Customer(s) in advance and describe the conditions under which this/these short notice visit(s) will be conducted.
The Certification Body shall notify FAMI-QS about the result of the audit.
The P-CM-001 Feed Incident Management Procedure shall be applied.

6. UNNANNOUNCED AUDITS

An unannounced audit is part of the audit program for each FAMI-QS certified Customer. The unannounced audits are applicable to both producers and traders. Participation in the unannounced audit program is mandatory.
Frequency: once per certification cycle
Notification to the FAMI-QS Certified Customer: No notice in advance.

Customers shall inform the Certification Body regarding any scheduled maintenance closure of the company.

In the event that the certified Operator refuses to participate in the unannounced audit, , the certificate shall be suspended immediately, and the CB shall withdraw the certificate, if the unannounced audit is not conducted within a six-month timeframe.

7. MANAGEMENT OF NON-CONFORMITIES

The following non-conformities could be raised up during the audit. They have the following consequences:

Non-conformity	Initial audit	Surveillance	Re-certification audit
Major	Certification cannot be granted. Action plan shall be submitted within 7 days after audit. Non-conformities have to be closed within 6 weeks after the audit	The action plan shall be presented to the Certification Body, in 14 calendar days at the latest after the audit date. Evidence that non-conformities have been closed will be checked 28 days after the presentation of the action plan at the latest. In case that the aforementioned time frame is not sufficient, further coordination with FAMI-QS is required. If a non-conformity is not resolved, then the certification is suspended and a	Certification cannot be granted. Action plan shall be submitted within 7 days after audit. Non-conformities have to be closed within 6 weeks after the audit.

		special audit shall be applied for the closing of the major NCR.	
Minor	Certification cannot be granted until the non-conformities have been closed. Action plan shall be submitted within 7 days after audit. Non-conformities have to be closed within 6 weeks after the audit	Certification continues. An agreement on the action plan shall be reached between the Certification Body and the Customer. The deadline for this agreement is 14 calendar days after the Certification Body has received the action plan from the Customer. Evidence that non-conformities have been closed will be checked by the auditor, at the latest during the following audit. If the non-conformity is not solved and closed by then, it becomes a major non-conformity.	Certification continues. An agreement on the action plan shall be reached between the Certification Body and the Customer. The deadline for this agreement is 14 calendar days after the Certification Body has received the action plan from the Customer. Evidence that non-conformities have been closed will be checked by the auditor, at the latest during the following audit. If the non-conformity is not solved and closed by then, it becomes a major non-conformity.

8. FEED FRAUD PREVENTION AND DEFENSE MODULE

The Feed Fraud Prevention and Defence module is not a stand-alone document and will be used exclusively in conjunction with the FAMI-QS Code of Practice Version 6.0. Implementing and adhering to the module is mandatory for all feed business organizations choosing to get certified against FAMI-QS Version 6.
Audits against the complete module will start after the 1st of September 2020.
Organizations shall present to the auditor a realistic action plan to meet the requirements of the module. The action plan timelines shall not exceed the three (3) years compliance period. End of the compliance period will be the 1st of September 2022. Failure to present an action plan will be treated as a major nonconformity.
As from September 1st 2022, FAMI-QS Certificates under Version 6.0 cannot be obtained without the implementation of the complete module.

Multisite organizations operating under a centralized FAMI-QS Management System shall ensure that all the sites listed on their centralized certificates are covered by the module.
For the implementation of the module, FAMI-QS has developed specific templates that the operators shall use. The templates will guide you through the process in order to develop your own vulnerability and fraud assessments. In addition, these templates will support and help in the standardization of the auditing process.

For organizations that have not already developed a vulnerability and threat assessment, the use of the templates is mandatory. For those organizations that already have a vulnerability and threat assessment in place, they can continue to use their own templates, however, they have to ensure that the elements of the FAMI-QS templates have been incorporated in their own templates.

9. FEED SAFETY INCIDENT

In the event that the Customer becomes aware or has reasons to suspect a feed safety incident, or in the event of a product recall in relation to such incidents, the Customer shall immediately make the FAMI-QS Process Manager and the Certification Body aware of the situation.

The notification shall take place within 24 hours. By Exceeding the maximum permitted levels of undesirables substances as defined within EC 32/ 2002 the notification has to be done within 12 hours. Together with the Customer, the Certification Body in turn shall take appropriate action steps to assess the situation and any implications that there may be for the Customer's certificate. The Certification Body shall inform FAMI-QS of the result from this assessment and its further progress.
The Customer and the Certification Body shall follow the "*Feed Safety Incident and Crisis Management Procedure for Customers and CBs*" (P-CM-001).
In case of an incident send us the notification to the following address:
tncert-food-recall@tuev-nord.de

10. WITHDRAWAL OF CERTIFICATES

The withdrawal of a certificate remains the responsibility of the Certification Body. Once a withdrawal is confirmed, the name of the Customer will be removed from the FAMI-QS "Certified Companies register" on the website.
A note of a withdrawn certificate will be e-mailed to all of the FAMI-QS certified companies and also uploaded on our section *Notification* of FAMI-QS website.

11. SUSPENDED CERTIFICATE

The CB shall make FAMI-QS immediately aware about the suspension of a certificate. The name of the Customer will be removed from the section certified companies on the FAMI-QS website during the period of the suspension
Suspension cannot exceed three months. Following that period, a FAMI-QS certified company will be removed from our website. Initial audit shall be applied if the feed business customer wishes to restore its FAMI-QS certificate.

12. EXCLUSION ON CERTIFICATES

It is an obligation of the FAMI-QS certified Customers not to mislead stakeholders and authorities regarding the scope of their certification, validity of the certificate and site(s).

13. INVOICING ADDRESS/ REGISTRATION ADDRESS

The responsibility for placing products on the market relies in the invoicing address. Therefore, this address must be included under the Customer´s Certificate.
In the event that the invoicing address is a PO box or no activity is taking place at the location, the address can be included on the certificate after a desk review of the legal documents (business registration, registration with the feed authorities, where applicable) performed by the auditor. This is not applicable when the invoicing address is holding responsibilities for warehousing, transportation, etc.
All the traceability and recall procedures are under the responsibility of the invoicing address. In this case, employees of the invoicing address shall be involved in the audit for the relevant parts.

14. NOTIFICATION OF CHANGES

The customer shall inform the Certification Body and FAMI-QS without delay, for the following changes:

- The legal, commercial, organizational status or ownership
- Customer and management changes
- Contact address and sites.
- Changes on the current certified scope
- Major changes to the management system and processes
- Issues related to the safety of the product.
- Any other issue which may affect the capability of the Feed Safety and Quality Management System

15. USE OF LOGO

The FAMI-QS name and logo may only be used by Customers that have obtained certification from a Certification Body recognised by FAMI-QS. The right to use the FAMI-QS logo and/or name is exclusively granted by FAMI-QS, and can be withdrawn at any moment in the event of non-compliance with certification requirements.
Certified Customers may display the FAMI-QS logo for the period of validity of their certificate. Use or display of the FAMI-QS logo does not constitute proof that the Customer is certified.
The FAMI-QS logo is available upon request made to FAMI-QS and/or to the relevant Certification Body. It may be used only in its original colours and proportions.
The FAMI-QS name and logo shall not be used on products, packaging, labels, means of transport, but may be used on certificates, advertisements and brochures.