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

Please contact us via mail to info.tncert@tuev-nord.de or by telephone 0800 245 74 57 (Free-phone from within Germany) or +49 511 9986-1222 from abroad.

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Description of the Certification procedure FSSC 22000



The rules and descriptions of service and performance regarding certification according to the FSSC 22000 apply alongside our offer. They are valid alongside the general Conditions of Certification.

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.

The client accepts the requirements of FSSC 22000:

- Share information concerning the certified organization with the Foundation and governmental authorities when appropriate.
- Display information with regards to the certified status on the website of the Foundation in the FSSC 22000 Register of Certified Organizations.
- For the purposes of the FSSC 22000 Integrity Program, to allow assessors from the Foundation on their premises to witness the CBs auditors during FSSC 22000 audits.
- 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

The following mailbox shall be used for the information of the CB: tncert-food-recall@tuev-nord.de

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.

The organization shall ensure that the relevant products and/ or services and related processes for the scope of certification are in place and can be assessed during the audit.

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 22000 particular with regard to identification of key performance or significant aspects, processes, objectives and operation of the management system,

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- 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 Award 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.

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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 will be uploaded in the FSSC Database (<https://portal.fssc22000.com>). FSSC charges a fee 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 / planning-relevant date. The planning-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 planning-relevant date controls all the surveillance audits.

3 UNANNOUNCED AUDITS

At least one unannounced surveillance audit shall be undertaken after the initial certification audit and within each three-year period thereafter.

The client can voluntary chose to replace surveillance audits and/or re-certification audits by unannounced annual surveillance audits.

The initial certification audit (stage 1 and stage 2) shall be performed announced.

The site will not be informed in advance about the date of the unannounced audit. It takes place during normal operational working hours including night shifts when required.

Blackout dates may be agreed.

If parts of the company/processes cannot be audited, an announced follow-up audit shall be scheduled within 4 weeks.

If the client refuses to participate in the unannounced audit, the certificate shall be suspended immediately. The certificate will be withdrawn if the unannounced audit is not conducted within a six-month timeframe from the date of refusal.

The audit of separate head offices must be announced. Where head office activities are part of a site audit, the audits shall be unannounced.

Secondary sites (off-site activities) and off-site storages, warehouses and distribution facilities shall also be audited during the unannounced audit.

4 RECERTIFICATION AUDIT

The audit for recertification has to be conducted before the expiry date of the certificate. A tolerance period of max. 6 months is then available for evaluation of the corrective actions and for any necessary re-audits and also for the decision on recertification within the framework of the release procedure.

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.

5 SPECIAL AUDITS

Extension of scope audit

An extension of scope can be conducted within the framework of a surveillance audit, a recertification audit or at a time which is set independently.

Short Notice Audits

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).

6 TRANSFER OF CERTIFICATION FROM OTHER CERTIFICATION BODIES

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

7 MULTIPLE FUNCTIONS ACROSS MORE THAN ONE SITE

Head office functions

Functions pertinent to certification are controlled by a head office have to be audited. This audit will be documented.

The functions at the head office shall be audited separately where they are not part of a site being assessed.

The audit has to be carried out prior to the site audits. The individual sites will be audited within a timeframe of 12 month.

Off-site activities

Where one manufacturing or service process is splitted across more than one physical address, all locations may be covered in one audit provided that the different addresses are part of the same legal entity, under the same management system and they are the sole receiver/customer of each other.

Storage facilities can be included.

8 MANAGEMENT OF NON-CONFORMITIES

Minor NC:

If a Minor NC is identified in an audit a proposed corrective action plan with objective evidence of correction, evidence of an investigation into causative factors and exposed risks is required within 3 months after the audit. Exceeding the timeframe will lead to a suspension of the certificate.

Implementation / completion of the corrective plan will be reviewed, at the latest, at the next on-site audit.

A major nonconformity is raised (on management responsibility and resource allocation) in the event of non-completion of the approved action plan at the next scheduled on-site audit.

Major NC:

If a Major NC is identified in an audit, the client shall provide the objective evidence of an investigation into causative factors, exposed risks and evidence of effective implementation.

The CB reviews the corrective action plan and conducts an on-site follow-up audit to verify the implementation of the CA to close the major nonconformity. In cases where documentary evidence is sufficient to close the major nonconformity, performing of a desk review is possible. This follow-up will be done within 28 days from the last day of the audit.

The major nonconformity has to be closed within 28 calendar days of the last day of the audit. When the major cannot be closed in this timeframe, the certificate will be suspended;

Where completion of corrective actions might take more time, the CAP shall include any temporary measures or controls necessary to mitigate the risk until the permanent corrective action is implemented.

Critical NC:

A critical nonconformity is issued when a direct food safety impact without appropriate action by the organization is observed during the audit or when legality and/or certification integrity are at stake:

- The certificate will be immediately suspended for a maximum period of six (6) months.
- The client must provide objective evidence of an investigation into causative factors, exposed risks and the proposed corrective action plan. This shall be provided to the CB within 14 days after the audit.

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- A separate audit will be conducted between six (6) weeks to six (6) month after the regular audit to verify the effective implementation of the corrective actions. This audit will be a full on-site audit (minimum on-site duration one day).
- After a successful follow-up audit, the certificate and the current audit cycle will be restored and the next audit shall take place as originally planned (the follow-up audit is additional and does not replace an annual audit). This audit will be documented and the report uploaded;
- The certificate will be withdrawn when the critical nonconformity is not effectively solved within the six (6) month timeframe.

9 LOGO USE

Certified organizations are entitled to use the FSSC 22000 logo. The FSSC 22000 logo may be used on the organization's printed matter, website and other promotional material.

The FSSC 22000 logo is not allowed to be used on:

- a product,
- its labelling,
- its packaging,
- in any other manner that implies FSSC 22000 approves a product, process or service.

10 NOTIFICATION

The organization shall report significant changes to the CB within three (3) working days. These include changes relating to:

- any significant changes that affect the compliance with the scheme requirements;
- serious events that impact the FSMS or FSQMS, legality and/or the integrity of the certification which include legal proceedings, prosecutions, situations which pose major threats to food safety, quality or certification integrity as a result of natural or man-made disasters;
- public food safety events;
- changes to organization name, contact address and site details;
- changes to organization and management;
- changes to the management system, scope of operations and product categories covered by the certified management system;
- any other change that renders the information on the certificate inaccurate.

The organization shall seek the advice of the CB in cases where there is doubt over the significance of a change.

11 SERIOUS EVENTS

The organization shall report serious events to the CB immediately and these include at a minimum:

- legal proceedings, prosecutions and the outcomes of these related to food safety or legality, public food safety events (such as e.g. public recalls, calamities, etc.)

- extraordinary events which pose major threats to food safety or certification integrity such as war, strike, riot, political instability, geopolitical tension, terrorism, crime, pandemic, flood, earthquake, malicious computer hacking, other natural or man-made disasters.

These activities may have implications for the certified status of the organization.

An organization is always responsible for failures of its management system that could lead to public recalls of products available on the market.

Immediate action is required if there is evidence that the organization's management system has failed to detect and control the compromised product:

- 1) This product shall be recalled from the market by the organization and
- 2) The organization shall inform the CB immediately.

The CB will assess the organization's corrective actions following the recall and determine any consequences or any actions necessary to maintain the certification.

12 CERTIFICATE SUSPENSION, WITHDRAWAL OR SCOPE REDUCTION

The certification will be suspended when a critical nonconformity is issued and/or there is evidence that their client is either unable or unwilling to establish and maintain conformity with Scheme requirements.

The certification will be withdrawn when the status of suspension cannot be lifted within six (6) months; the organization ceases its FSSC 22000 certification activities; any other situation where the integrity of the certificate or audit process is severely compromised.

When the client holds a certificate whose scope exceeds their capability or capacity to meet, the CB shall reduce the certification scope accordingly.

It is not possible to exclude activities, processes, products or services from the scope of certification when those activities, processes, products or services can have an influence on the food safety of the end products as defined in the scope of certification

In case of withdrawal or suspension the status of the client in the FSSC 22000 database will be changed.

In case of scope reduction the clients' management system certification is invalid beyond the revised certification scope statement. The scope of the certified organization will be changed in the FSSC 22000 database

In both cases the client has to inform its clients through various forms of communication