PT. TÜV NORD Indonesia

CERTIFICATION PROCEDURE of ISO 22000 / HACCP

TÜV®

TÜV NORD GROUP

TÜV NORD Indonesia

PT. TÜV NORD INDONESIA

CERTIFICATION PROCEDURE of ISO 22000 /HACCP

Document Number	**:**	PF-TNI-01
Revision Number	**:**	03
Issued Date	**:**	22 June 2022
Prepared by	**:**	Team SCS & NBD

Checked by	Approved by
Dept Manager	**VP Certification**

Table of Content

Table of Content 1

Revision Sheet 2

1. Purpose 3

2. Scope 3

3. Definitions 3

4. Responsibilities 3

5. Reference 3

6. Procedure 4

7. Applicable Documents 11

UNCONTROLLED WHEN PRINTED

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

Revision Sheet

Number	Revision Number	Revision Date	Section Number	Revision Notes
1	03	22.06.2022	5	Update KAN-K 07.03

UNCONTROLLED WHEN PRINTED

1. Purpose

This procedure describes the responsibilities and procedure for certification in accordance with ISO 22000 and HACCP. The certification process is divided into audit preparation, the performance of the certification audit and the award of certificate, surveillance and recertification.

These procedures ensures that certifications are carried out in accordance with uniform rules with regard to procedure, personnel and means of working, thus ensuring that equivalent, uniform certification is achieved.

2. Scope

The procedure is applicable for all positions and personnel involved in the ISO 22000 and HACCP certification process.

3. Definitions

In general, the key words used in this procedure refers to the reference in point 5.0 of this document

4. Responsibilities

The roles and responsibilities within the certification procedure are laid down in the Management System Certification procedure PMLF-TNI-02

5. Reference

5.1 MI-TNI-01, Manual Mutu

5.2 PMLF-TNI-02, Management System Certification Procedure

5.3 ISO/IEC 17021 Part 1 : 2015, Conformity assessment – Requirements for bodies providing audit and certification of management system

5.4 SNI/ISO TS 22003:2013, Sistem Manajemen Keamanan Pangan – Persyaratan Lembaga Penyelenggara Audit dan Sertifikasi Sistem Manajemen Keamanan Pangan

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

5.5 KAN-K 07.03, Persyaratan Tambahan Bagi Lembaga Sertifikasi Sistem HACCP, Sistem Manajemen Kemanan Pangan, dan FSSC.

5.6 IAF-MD 11 : 2013 (Issued 1 Version 3) : IAF Mandatory Documents for the Application of ISO/IEC 17021 for Audits of Integrated Management System

6. Procedure

6.1 Customer Inquiry / Drafting of Offer

Refer to Management System Certification Procedure PMLF-TNI-02.

Sales shall require the applicant organization to provide detailed information concerning process lines, HACCP studies and the number of shift in Questionare. Information on the company is required for preparing the quotation. To prepare the quotation the certification sales contacts the firm to be certified.

6.2 Audit Preparation

Refer to Management System Certification Procedure PMLF-TNI-02.

The approval of the audit team and the audit time is using the forms. Only those auditors may be employed who have the appropriate approval for the product and service category which has been identified for the company to be audited. If an auditor does not have the relevant approval for the food category or sub category, technical experts can be employed as necessary on *t*he stage 1 until stage 2 audits but operate under the direction of an lead auditor and do not unduly influence the audit. The auditor will receive his appointment with notes on the customer and the regulations on which the certification is based.

Auditor in training may participate in the audit. Senior auditor is appointed as an evaluator. The evaluator shall be competent to take over the duties and have final responsibility for the activities and findings of the auditor in training.

6.3 Audit Stage 1

Refer to Management System Certification Procedure PMLF-TNI-02.

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

The stage 1 audit shall be carry out at the client's premices in order to achieve the objective stated above.

In audit stage 1 a short introductory discussion first takes place. The auditor outlines the procedure and agrees the audit plan for audit stage 2 with the company.

Auditing in audit stage 1 should cover the following points:

- Scope
- Organisational structure
- State of knowledge / status
- HACCP, PRPs, operational PRPs, CCPs
- Relevant food safety legislation is implemented
- Organization food safety policy (ISO 22000 Only)
- The ISO 22000 / HACCP implementation programme justifies proceeding to the audit stage 2
- Validation of control measures, verification of activities and improvement programmes conform to the requirements of the ISO 22000/HACCP standard
- The ISO 22000/HACCP documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties and
- There is any additional documentation which need to be reviewed and/or information which needs to be obtained in advance. Form **FF-TNI-002** is used to review ISO 22000 documentations.

To prepare HACCP audits, the audit team shall notice CODEX references for the implementation of control measures including PRPs and guidelines for selection and its use in carry out the certification activities and the regulation about good manufacturing practice.

Where an company has implemented an externally developed combination of control measure, the stage 1 audit shall review the documentation included in the

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

ISO 22000 to determine if the combination of control measures is suitable for the organization was developed in compliance with the requirement of ISO 22000 and is kept up to date. The availability of relevant autorizations should be checked when collecting the information regarding the compliance to regulatory aspects.

Audit stage 1 can be conducted immediately before Audit stage 2. The auditor decides on the basis of the result of the audit whether Audit stage 2 can be conducted directly afterwards.

The auditor notifies the company with either :

Yes : the audit can proceed to Audit stage 2.

No : the audit will be discontinued at this point

If the PRPs has not been implemented yet by the applicant organization, PT TUV NORD Indonesia will not continue the certification activities of ISO 22000/HACCP. The applicant organizations shall take corrective actions until the PRPs is fully implemented. The interval between stage 1 and stage 2 audits for ISO 22000/HACCP is reasonably expected to be not longer than 6 months. The stage 1 audit should be repeated if a longer interval is needed.

Any part of the ISO 22000 / HACCP that is audited during the stage 1 audit and determined to be fully implemented, effective and in conformity with requirements, may it need to be re-audited during the stage 2 audit and the ISO 22000 / HACCP continue to conform to the certification requirements. In this case, the audit report the findings and clearly state that conformity has been established during the stage 1 audit.

The report of audit stage 1 using form **FF-TNI-003**

6.4 Audit Planning

Refer to Management System Certification Procedure PMLF-TNI-02.

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

Lead Auditor produces the audit plan. This includes all the requirements of the standards to be examined, the relevant processes and organisational units of the company to be audited and a schedule for the audit.

Note: In principle audit plans for audit stage 1 and audit stage 2 should be produced.

6.5 Audit Stage 2

Refer to Management System Certification Procedure PMLF-TNI-02.

The audit procedure is discussed in an introductory meeting. Following this individual employees are interviewed and relevant documents, records, contracts, policies, etc are examined with the focus on food safety. In addition the deviations identified in audit stage 1 are evaluated.

Auditor shall provide written report for each audit the report shall be based on relevant guidance provided in ISO 19011. The audit team may identify opportunity for improvement but shall not recommend specific solutions. Ownership of the audit report shall be maintain by Administration.

The report shall include reference to PRP used by organization, HACCP methodology used, comments on the HACCP team, and other issues relevant to the ISO 22000 / HACCP.

The report of audit stage 2 using form **FF-TNI-04**

6.6 Audit Finding

Refer to Management System Certification Procedure PMLF-TNI-02.

6.7 Certificate and Surveillance

6.7.1 Certificate Issue

Refer to Management System Certification Procedure PMLF-TNI-02.

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

6.7.2 Certificate

Refer to Management System Certification Procedure PMLF-TNI-02.

ISO 22000/HACCP certificates shall identify in detail the food chain of certified activities refer to its food category or sub category.
If required, PT TUV NORD Indonesia will realese the issued certificate to competent authority based on the applicable regulations.

6.7.3 Surveillance Audit

Refer to Management System Certification Procedure PMLF-TNI-02.

Inspection of documents will focus on those which have been amended. The surveillance audit must at least include the following:

- internal audits, management review
- action from previous audit
- handling of complaints
- checking effectiveness of ISO 22000/HACCP
- continuous improvement
- statements on the management of the process
- amendments to the ISO 22000/ HACCP
- use of the logo

Surveillance and re-certification audits must be concluded within a window of +/- 90 days - calculated from the day of the initial certification.

6.8 Suspend and Withdrawn of Certificate

Refer to Management System Certification Procedure PMLF-TNI-02.

6.9 Recertification Audit

Refer to Management System Certification Procedure PMLF-TNI-02.

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

The recertification audit must be carried out before the certificate expires. All requirements will be audited. This includes inspection of the ISO 22000/HACCP documentation and an audit on site which will take into account the previous surveillance audits throughout the period of the certificate. Particular areas of focus are:

- The effectiveness of the interrelationship of all the processes in the ISO 22000/HACCP system
- The effectiveness of the ISO 22000/HACCP in its entirety with regard to internal and external amendments.
- Obligation to enhance the effectiveness and constantly improve the ISO 22000/HACCP

Whether the ISO 22000/HACCP in practice actually contributes to the realisation of company policy and aims / vision.

6.10 Expanding / Reduction Audit

Refer to Management System Certification Procedure PMLF-TNI-02.

If the scope of the existing certificate is to be extended this can be achieved with an extension audit. The extension audit can be carried out as part of a surveillance audit, recertification audit or at a time on its own. This does not affect the period of validity of a certificate.

6.11 Short - Notice Audit

Refer to Management System Certification Procedure PMLF-TNI-02.

6.12 Transfer of certificates from other Certification Bodies

Refer to Management System Certification Procedure PMLF-TNI-02.

6.13 Multisite Certification

Described on procedure PF-TNI-002

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

6.14 Operational Control

Refer to Management System Certification Procedure PMLF-TNI-02.

6.15 Integrated Management System

6.15.1 Audit of Integrated Management System is an audit of an organization's management system against two or more sets of audit criteria/standards conducted at the same time. The ISO 22000/HACCP audit can be combined with audits of other management systems.. All the elements important to an ISO 22000/HACCP shall appear clearly, and be readily identifiable, in the audit reports.

Audit plans cover all areas and activities applicable to each management system standard/specification covered by the scope of the audit and are addressed by competent auditor(s).

6.15.2 The audit team as a whole shall satisfy the competence requirements, for each technical area, as relevant for each management system standard/specification covered by the scope of the audit of an IMS (Integrated Management System).

6.15.3 The audit shall be managed by a team leader, competent in at least one of the audited standards/specifications.

6.15.4 To determine the audit time for an audit of an IMS covering two or more management system standards e.g. A + B + C, calculate the required audit time for each management system standard separately (applying all relevant factors provided for by the relevant application documents and/or scheme rules for each stan-dard, e.g., IAF MD5, ISO/TS 22003, ISO/IEC 27006);

6.15.5 Calculate the starting point T for the duration of the audit of the IMS by adding the sum of the individual parts (e.g. T = A + B + C)

6.15.6 Audit of an IMS could result in increased time, but where it results in reduction, it shall not exceed 20% from the starting point T. Reduction max 20% basically due to saving of time because of the jointly auditing of elements like company's policy, objectives and programmes, documentation, internal audits, corrective actions,

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.

managementreview as well as jointly performing the opening meeting, in-between summary and closing meeting,

6.15.7 The factors for reduction shall include but are not limited to:

a. The extent to which the organization's management system is integrated;
b. The ability of the organization's personnel to respond to questions concerning more than one management systems standard; and
c. The availability of auditor(s) competent to audit more than one management system standard/specification.

6.15.8 The factors for increases shall include but are not limited to:

The complexity of the audit of an IMS compared with single man-agement system audits.

6.15.9 The starting point figure and justification for increase or reduction shall be documented.

6.15.10 All applicable requirements of each management system standard/specification relevant to the scope of the IMS shall be audited.

6.15.11 Audit reports can be integrated or separate, with respect to the management systems audited. Each finding raised in an integrated report shall be traceable to the applicable management system standard(s)/specification(s).

7. Applicable Documents

7.1 FF-TNI-001, Questionnaire to Assit Preparation for an ISO 22000/HACCP Audit

7.2 FF-TNI-002, Review System Documentation (ISO 22000 only)

7.3 FF-TNI-003, Certification Report Stage 1

7.4 FF-TNI-004, Audit Report

Dokumen ini digunakan untuk keperluan internal PT. TÜV NORD Indonesia, Dokumen Cetak Asli hanya disimpan oleh QHSE Division.