

## Certification Regulation for Food Safety MS

Standard or Certification scheme:

FSSC 22000

Accreditation Standard:

ISO 17021-1:2015  
ISO/TS 22003:2013

Certification Cycle:

TÜV AUSTRIA will issue the certificate within 30 calendar days from the date of the certification decision. The certificate expires three years after the date of the initial certification decision. However, whilst the certificate is issued to the applicant organization, it remains the property of TÜV AUSTRIA under the conditions outlined in the contract. To maintain validity of certification annual surveillance audits shall be carried out. Renewal of the certification period for another three-year period is granted after a recertification audit before the expiration of the existing certificate.

Certification audits are carried out in two stages. Stage 1 and stage 2 audits shall be carried out at the client's premises. The Stage 1 audit, verifies that the system has been designed and developed in accordance with the organization's top management commitment to conform to Scheme requirements. The objective of this audit is to assess the preparedness of the applicant organization to proceed to stage 2 audit. Stage 2 audit substantiates top management's claim by auditing implementation of the food safety management system

During the initial certification audit all the requirements of FSSC 22000 Scheme are audited. This includes the ISO 22000 requirements, the applicable technical specifications for the prerequisite programs (eg ISO/TS 22002-1: 2009 or ISO/TS 22002-4:2013) and the additional requirements of the Scheme.

The interval between the stage 1 and the stage 2 audit must not exceed 6 months. In case that the 6 months period elapse between stage 1 and stage 2 audit, stage 1 audit shall be repeated. Stage 1 audit findings may lead to postponement or cancellation of Stage 2.

The audits shall be scheduled for a period when the client's activities are in full operation (eg. Seasonal products) and covers a representative number of sectors covered by the scope. No processes, products or services are to be excluded from the application scope if they affect the safety of the final product.

Audit planning and time table. Surveillance audit process has to be completed annually, with due date the last date of the certification decision after the Initial Certification audit. Correspondingly the re-certification audit process has to be completed within the same time frame. Example:

Certification Decision	1 <sup>st</sup> Surveillance audit	2 <sup>nd</sup> Surveillance	Re-certification audit
15/7/2020	15/7/2021	15/7/2022	15/7/2023

In case of exceeding time limits certificates are suspended for six months and after this period finally suspended. . Recertification audit activities may need to have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation).

Unannounced audits:

At least one of the two annual surveillance audits shall be unannounced. The certified organization can voluntary choose to replace all surveillance audits by unannounced annual surveillance audits recertification audits can be replaced by an unannounced audit after the request of the client. TÜV AUSTRIA sets the date of the unannounced audit. The site shall not be notified in advance, by TÜV AUSTRIA, of the date of the unannounced

	<p>audit. When there are legitimate business reasons, blackout days may be agreed in advance. TÜV AUSTRIA decides which of the scheduled surveillance audits shall be chosen for the unannounced audit.</p> <p>If the certified organization refuses to participate in the unannounced audit, the certificate shall be suspended immediately, and TÜV AUSTRIA shall withdraw the certificate, if the unannounced audit is not conducted within a six-month timeframe. If access is denied to the auditor the certified organization will be liable for all costs.</p>
<p><b>Notification of significant changes and factors affecting the certification:</b></p>	<p>The organization shall report significant changes to TÜV AUSTRIA within three (3) working days. These include changes relating to: legal, commercial, organizational status or ownership; organization and management; organization name, contact address and site details; scope of operations and product categories covered by the certified management system; management system and/or processes; any other change that renders the information on the certificate inaccurate TÜV AUSTRIA reviews the reported changes and comes to a conclusion whether or not additional verification activities are necessary and whether or not certification changes of scope shall be granted. If granted, the current certificate will be replaced by a new certificate using the same expiry date as detailed in the original certificate and the organization's entry in the FSSC 22000 Register of Certified Organizations will be updated accordingly.</p> <p>The organization shall report serious events to TÜV AUSTRIA 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.</p> <p>TÜV AUSTRIA in turn shall take appropriate steps to assess the situation and any implications for the certification and shall take any appropriate action.</p>
<p><b>Non conformity grading Time frame to close NCs:</b></p>	<p><b>Head office</b></p> <p>In case of non-conformities noticed in a head office audit, these are assumed to have impact on the equivalent procedures applicable to all sites. Corrective actions shall therefore address issues of communication across the certified sites and appropriate actions for impacted sites. Such nonconformities and corrective actions shall be clearly identified in the relevant section of the site audit report and shall be cleared in accordance with TÜV AUSTRIA before issuing the site certificate.</p> <p><b>Minor Non Conformity:</b></p> <p>A failure in a requirement of the Management System which does not impact the capability to achieve the expected outcomes.</p> <p><b>Major Non Conformity:</b></p> <p>A major nonconformity shall be issued when the finding affects the capability of the management system to achieve the intended results</p> <p><b>Critical Non Conformity:</b></p> <p>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</p> <p><b>Time frame to close NCs</b></p> <p>If a <b>minor non conformity</b> is identified in an audit, the organization provides TÜV AUSTRIA with objective evidence of the correction, evidence of an investigation into causative factors, exposed risks and the proposed corrective action plan. TÜV AUSTRIA reviews the provided data and approves if it is acceptable. The approval shall be completed within three (3) months of the last day of the audit. Exceeding this timeframe shall result in a suspension of the certificate. Corrective actions shall be implemented within 12 months of the audit. Effectiveness of implementation of the corrective action</p>

plan shall be reviewed, at the latest, at the next on site audit.

If a **Major non conformity** is identified in an audit the client must provide TÜV AUSTRIA with objective evidence of an investigation into causative factors, exposed risks and evidence of effective implementation. TÜV AUSTRIA shall review the CAP and shall conduct a follow-up audit to verify the implementation of the CA to close the major nonconformity. In cases where documentary evidence is sufficient to close out the major nonconformity, TÜV AUSTRIA may decide to perform a desk review. This follow-up shall be done within 28 days from the last day of the audit. The major nonconformity shall be closed by TÜV AUSTRIA within 28 calendar days from the last day of the audit. When the major cannot be closed in this timeframe, the certificate shall 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.

If a **critical non conformity** is identified in an audit the certificate shall be immediately suspended for a maximum period of six (6) months. The organization must provide TÜV AUSTRIA with objective evidence of an investigation into causative factors, exposed risks and the proposed CAP within 14 days after the audit.

A follow-up audit shall be conducted by TÜV AUSTRIA between six (6) weeks and six (6) month after the regular audit to verify the effective implementation of the corrective actions. This audit shall be a full on-site audit (with a minimum on-site duration of 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 shall be documented and the report uploaded. The certificate shall be withdrawn when the critical nonconformity is not effectively resolved within the six (6) month timeframe.

**Scope Reduction:** When TÜV AUSTRIA has evidence that the client holds a certificate whose scope exceeds their capability or capacity to meet scheme requirements, TÜV AUSTRIA shall reduce the certification scope accordingly. TÜV AUSTRIA shall not 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.

**Register of certified organizations :** The Foundation keeps a register with the names and certification information of the certified organizations. This register is made publicly available on the website of the Foundation. .

**Use of FSSC Logo:** FSSC 22000 certified organizations may use the FSSC 22000 logo, but only in conjunction with the mark of TÜV AUSTRIA. The FSSC logo may be used on the organization’s printed matter, website and promotional material subject to the design specifications below:

Colour	PMS	CMYK	RGB	#
Green	348 U	82/25/76/7	33/132/85	218455
Grey	60% black	0/0/0/60	135/136/138	87888a

Use of the logo in black and white is permitted when all other text and imagines are in black and white.

The certified organization is not allowed to use the FSSC 22000 logo, any statement or make reference to its certified status on:

- ✓ a product
- ✓ its labelling
- ✓ its packaging (primary, secondary or any other form);

	<ul style="list-style-type: none"> <li>✓ in any other manner that implies FSSC 22000 approves a product, process or service.</li> </ul> <p>The certification body will audit the use of the FSSC 22000 logo by certified organizations during every surveillance and re-certification audit. Any non-conformance associated with the use of the logo will require remedial action to correct the use of the logo on issued documents as well as corrective action for future use.</p> <p><i>Reference: Conditions for the use of the logo which can be found on the FSSC 22000 website</i></p>
<b>Risk based audits:</b>	TÜV AUSTRIA will participate in a risk-based program of announced, but unscheduled, audits of certified organizations (witness audits). The client states that he will permit a possible Witness Audit (participation of FSSC 22000 inspectors) to be performed in his company.
<b>Transition to FSSC 22000 certification:</b>	Transition audits are allowed from ISO 22000 and GFSI recognized certification programs with equivalent scopes. Transition audits are the start of a new certification cycle and shall therefore be a stage 2 audit (a stage 1 may be performed at the discretion of the TÜV AUSTRIA)
<b>Transition to FSSC 22000 V5:</b>	<p>According to the FSSC22000 Scheme requirements the following apply for the upgrade of valid certificates:</p> <ul style="list-style-type: none"> <li>✓ A new FSSC 22000 V5 certificate will be issued after a successful upgrade audit, maintaining the same expiry date in case of surveillance audit.</li> <li>✓ The planned surveillance and recertification audits for 2020 shall be used as V5 upgrade audits.</li> <li>✓ All issued FSSC 22000 V4.1 certificates will become invalid after 29 June 2021</li> <li>✓ Certified Organizations shall be audited against Version 5 between 1 January and 31 December 2020</li> <li>✓ Upgrade audits (surveillance and re-certification) will be conducted announced unless the organization specifically indicates the wish for an unannounced upgrade audit.</li> </ul>
<b>Contractual Duration:</b>	<p>The duration of the service and the contractual obligation comes into force upon signature by both parties (TÜV AUSTRIA and Client Organization) and is valid for (3) three years of the relevant offer in cases of initial certification or re - certification.</p> <p>In case of Accredited Certification Transfer, the duration covers the validity period of the transferred certificate.</p> <p>In case of transition to a new version of the standard, the duration of contractual obligation is valid until the certification expiry date mentioned on the relative paragraph of the regulation.</p>