

BSI Certification Guidebook

BSI Standard Terms and Conditions Addendum

FSSC 22000 V4.1

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Revision History

Rev No	Revision Date	Author	Approved by	Page No	Sec. No	Brief Description of Change
1	February 2018	Gaynor Clow/ Luanshya Naidoo	Todd Redwood			New document
2	July 2018	Gaynor Clow	Todd Redwood	10	3.12	Changed word from three to six.
3	January 2019	Gaynor Clow	Todd Redwood	15		Contact details
4	May 2019	Ana Cicolin	Todd Redwood	11	5	Various updates
5	July 2019	Ana Cicolin	Todd Redwood	10	3.10	RAM for certificaion and audit cycles

1 Introduction

This certification guidebook is designed to assist your site with the requirements for certification to the Food Safety Systems Certification (FSSC) standard version 4.1 throughout the BSI Group. This document is considered an addendum to the BSI Standard Terms and Conditions and therefore forms part of the contract with BSI.

2 Accreditation Status and BSI Scope of Accreditation

Certification to this standard is accredited. BSI holds accreditation for this scheme with ANAB.

The Scheme owner is The FSSC Foundation.

This scheme follows the accreditation requirements of ISO TS 22003:2013 and ISO TS 17021:2015. BSI's scope of accreditation is Food Chain Categories CI, CII, CIII, CIV, I and K.

3 The Recognition Process

The following section outlines the steps that apply during the BSI recognition process for FSSC. BSI reserves the right to provide its clients and those that request quotations with marketing and technical information relating to standards, training and compliance services.

3.1 Initial Enquiry

BSI will respond to either verbal or written expressions of interest from sites interested in one or more of our programs. If your site is located near one of BSI's offices, an advisory visit may be arranged to discuss your recognition requirements and how BSI can help your site achieve them.

BSI will also, on request and receipt of a Request for Proposal, prepare a proposal suited to your site's needs.

3.2 Application for Certification and Assessment

Receipt of your site's Application form (or authorized acceptance of a valid BSI proposal), along with the accompanying payment of the non-refundable application fee (or invoicing instructions) together with this document forms the contract between your site and BSI.

Your requirements will be entered into our database and an auditor will be appointed to look after your certification or assessment requirements. The auditor will be your primary point of contact with BSI and is responsible for ensuring that our certification/assessment services are delivered to your site in the most effective manner possible.

3.2.1 Application Form Client Contact

- 1) BSI will require completion of an official application form, signed by an authorized representative of the applicant site
- 2) It is the responsibility of the applicant site to ensure that adequate and accurate information is shared with BSI about the details of the applicant site

3.2.2 Annual Fee

- 1) BSI shall charge an annual fee to all sites certified against the FSSC Scheme. This fee will be paid by BSI to The FSSC Foundation
- 2) The FSSC Foundation shall decide annually on the fee amount

3.3 Certification Contract

As soon as practicable after receipt of your signed application/proposal, a BSI auditor (or nominated representative) will contact your site. Your auditor will seek to establish a working relationship between your site and BSI, and to confirm your recognition requirements in terms of the certification or assessment services, standards or codes of practice, locations, and activities and/or products to be included in the scope of certification.

The auditor will seek to gain an appreciation of the structure of your site and the activities being conducted. In particular the auditor will:

- Seek an appreciation of the nature and scope of your site's activities, structure and location(s), including any activities for which certification is being excluded; and
- Determine the status of system documentation and implementation including organizational policies, objectives and targets.

If your site is working with a consultant it is often useful for that person to be party to the communication process.

3.4 Conduct a Self-Assessment / Pre-assessment Audit (not mandatory)

A self-assessment or pre-assessment audit can assist in identifying gaps in your site's FSSC System so that corrective action can occur before engaging BSI for a full certification audit. It can be conducted using internal resources, an FSSC consultant, or an FSSC auditor.

Once your site has signed a contract with BSI, BSI can provide an assessment checklist free of charge to utilize in a self-assessment / pre-assessment audit.

3.5 Identifying the Scope of Certification

FSSC certification is site and product specific. When activities are carried out in different premises but are overseen by the same senior, operational, and technical management, and are covered by the one FSSC System, the scope can be expanded to include those off-site activities.

The scope of certification forms part of the certificate of registration. It describes the food sector categories (refer to table 1) and the products processed and handled on that site. The certificate of registration outlines the location of the site and nature and extent of the FSSC certification.

The audit scope will be agreed between your site and BSI before the certification audit begins. The scope of the audit shall cover the required level of certification, the food sector categories, and the products listed under the scope of certification for a site. The audit scope shall cover all processes under the control of your site from raw material receipt to shipment of finished product.

3.5.1 The Certification Audit

The FSSC certification audit consists of two stages:

- 1) The initial auditing for certification is always carried out at the production site of the applicant site and is conducted in two separate stages:
 - a) The s1 audit verifies that the system has been designed and developed in accordance with your site's top management commitment to conform with FSSC scheme requirements. The objective of this audit is to assess the preparedness of your site to proceed to the stage 2 audit
 - b) The stage 2 audit substantiates top management's claim by auditing implementation of the food safety management system
 - c) The activities subject to the proposed certification scopes shall be assessed during the initial certification audit

3.5.2 Surveillance Audits

- 1) Surveillance audits shall assess and report on conformity with all Scheme requirements including the use of marks and references to certification
- 2) At least one of the two annual surveillance audits shall be unannounced
- 3) The audit program shall also consider the results of any previous audits including the unannounced audit(s)
- 4) If not all audit objectives are fulfilled during an unannounced audit, an additional audit shall be performed of which the nature shall be determined by BSI

3.5.3 Recertification

- 1) The recertification audit must be planned and conducted in due time to enable timely renewal of the certificate before the expiry date
- 2) The purpose of this audit is to confirm the continuing conformity of the food safety management system as a whole with all FSSC scheme requirements
- 3) The recertification activity also includes a review of the food safety management system over the whole period of certification, including previous surveillance audit reports and complaints received
- 4) BSI decides on renewal of the certification cycle on the basis of the recertification audit which must meet the same requirements as an initial audit

3.6 Audit Duration

The audit times will vary according to the size and complexity of the site operations. Guidance on how the audit durations are calculated are stipulated below:

Table 1 - Food Chain Categories

Cluster ^a	Category	Subcategory		Examples of included activities	
Food and feed processing	C	Food Manufacturing	CI	Processing of perishable animal products	Production of animal products including fish and seafood, meat, eggs, dairy and fish products
			CII	Processing of perishable plant products	Production of plant products including fruits and fresh juices, vegetables, grains, nuts, and pulses
			CIII	Processing of perishable animal and plant products (mixed products)	Production of mixed animal and plant products including pizza, lasagne, sandwich, dumpling, ready- to-eat meals
			CIV	Processing of ambient stable products	Production of food products from any source that are stored and sold at ambient temperature, including canned foods, biscuits, snacks, oil, drinking water, beverages, pasta, flour, sugar, food-grade salt
Auxiliary services	I	Production of Food Packaging and Packaging Material		Production of food packaging material	
Biochemical	K	Production of (Bio) Chemicals		Production of food and feed additives, vitamins, minerals, bio-cultures, flavourings, enzymes and processing aids Pesticides, drugs, fertilizers, cleaning agents	
<p>a Clusters are intended to be used for accreditation scope of accredited certification bodies and for accreditation bodies witnessing certification bodies.</p> <p>B "Farm packing" means packaging without product modification and processing.</p> <p>c "Associated packaging" means packaging without product modification and processing and without altering the primary packaging.</p>					

Table 2 – Audit Duration Calculation Table

Category a	Basic on-site audit time, in audit days T _D	Number of audit days for each additional HACCP study T _H	Number of audit days for absence of certified relevant management system T _M	Number of audit days per number of employees T _{FTE}	FSSC additional Time
C	1.50	0.50	0.25	1 to 19 = 0	Less than 250 FTE and 3 HACCP Studies = .5 day 250 FTE or more; or 3 HACCP studies or more = 1 day.
I	1.00	0.25		20 to 49 = .05	
K	1.5	0.50		50 to 79 = 1.0	
*Report writing time is not included in this duration calculation and shall be added as per FSSC annex ii clause 2.2				80 to 199 = 1.5	
			200 to 499 = 2.0		
			500 to 899 = 2.5		
			900 to 1299 = 3.0		
			1300 to 1699 = 3.5		
			1700 to 2999 = 4.0		
			3000 to 5000 = 4.5		
			5000+ = 5.0		
Annex ii clause 2.2 0.25 day (2 hours) planning additional time to be added 0.5 day (4 hours) audit report additional time to be added					

The minimum audit time for a single site, **T_s**, expressed in days, is calculated as follows:

$$(T_s = (T_D + T_H + T_{MS} + T_{FTE})) + \text{FSSC Additional time}$$

where

T_D is the basic on-site audit time, in days;

T_H is the number of audit days for additional HACCP studies;

T_{MS} is the number of audit days for absence of relevant management system;

T_{FTE} is the number of audit days per number of employees.

3.7 Audit Report

At the conclusion of the audit, the audit team will prepare a written report on the audit findings and the audit team leader will present these findings to your site's senior management at the exit meeting.

BSI will provide the audit report to your site within five (5) working days from the last day of the audit.

Non-conformities will be discussed with your team during the auditor's visit and outlined at the exit meeting. Non-Conformities are categorized as Critical, Major and Minor. These Non-Conformities and their categorization at the exit meeting are preliminary and are subject to a technical review by BSI.

The audit findings include a summary of the overall compliance of your system with the requirements of the relevant standard(s) or codes of practice.

If you are unclear regarding the meaning of anything in your report, please contact your BSI auditor or local office.

3.8 Non-conformities

It is your site's responsibility to respond to the non-conformities detailed in your audit report by the designated time frame. Failure to do so may result in suspension or cancellation of your certification.

Close out of non-conformities is via your BSI FSSC auditor. The auditor will review the information provided and will either approve and close out the non-conformance or request further information from your site until such time as the sufficient information has been received. Certain non-conformances require a revisit to the site to confirm satisfactory closure.

Definitions and close-out requirements for non-conformities are defined in the FSSC documents available on the FSSC Website.

3.9 Granting Certification

Certification of an FSSC System shall be awarded to an organisation with no outstanding non-conformities. BSI 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 site, it remains the property of BSI under the conditions outlined in the contract.

3.10 Maintaining Certification

To maintain FSSC certification, your site is required to ensure that surveillance and/or re-certification audits occur within the required timeframe, ensure that no critical non-conformities are raised at surveillance or re-certification audits, and that all major and minor non-conformities are corrected within the time frame specified.

To ensure compliance with the FSSC 22000 scheme, BSI has applied regular timings to the certification and audit cycles for all certificates under the scheme. These requirements apply for ALL FSSC 22000 audits delivered from 1 July 2019 and each certificate will become attached permanently to a month for its surveillance and recertification audits. This month is known as the Reoccurring Audit Month (RAM) in which it is expected that these audits will occur on a regular basis (NOTE: audits must occur in or prior to the RAM month). The RAM will be determined by counting 8 months from the initial certification decision date. Therefore, the RAM will be 4 months in advance of the anniversary of the certification decision date and all audits following the initial certification decision date will occur every 12 months, in the same month, in a regular pattern.

When a client is certified to FSSC 22000 as well as ISO 22000 then the certification cycle of the ISO 22000 shall follow that of the FSSC 22000. BSI reserves the right to conduct unannounced FSSC 22000 audits outside the RAM in accordance with the requirements of the FSSC 22000 scheme.

3.11 Unannounced Re-Certification Audit

An unannounced audit program is part of the 3-year certification cycle. Participation in the unannounced audit program is mandatory.

- 1) The program shall ensure that for each certified site, at least one unannounced audit is undertaken after the initial certification audit and within each 3-year period thereafter.
- 2) The certified site can voluntarily choose to replace all surveillance audits with unannounced annual surveillance audits.
- 3) Neither the initial certification audit (stage 1 and stage 2) nor the recertification audit can be replaced by an unannounced audit.

3.12 Auditor Rotation

FSSC has a restriction in place that one auditor may conduct no more than six (6) consecutive audits at the same company. After six (6) audits, another auditor must be assigned to visit your premises. Following this change, the original auditor may return for up to another six (6) consecutive audits.

4 Implementation of FSSC 22000

4.1.1 Learn about the FSSC 22000 Scheme

There are several ways to learn how to implement the FSSC 22000 Scheme within your food business. The following options are available:

- Attend an FSSC 22000 Training course available through the BSI Training Academy (refer to your local BSI office or website)
- Train yourself by downloading the necessary documents from the FSSC website:
www.fssc22000.com

4.1.2 FSSC Database

The FSSC Foundation maintains a Register of Certified Sites with the names and information of all certified sites. This register is publicly available on the FSSC website.

5 Significant Changes and Serious Events

Once certification has been granted, any significant changes that affect the fulfilment of the requirements for the certification must be communicated to BSI as stipulated in the certification contract.

The site shall report significant changes to BSI within three (3) working days as stipulated in the certification contract. These include changes relating to:

- a) legal, commercial, organizational status or ownership
- b) organization and management (e.g. key managerial, decision-making or technical staff)
- c) organization name, contact address and site details
- d) scope of operations and product categories covered by the certified management system
- e) management system and/or processes
- f) any other change that renders the information on the certificate inaccurate

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

The site shall inform BSI about serious events that impact food safety and/or the integrity of the certification and the site's entry in the FSSC 22000 Register of Certified sites.

The site shall immediately inform BSI about product recalls.

Communication channel: food.recall@bsigroup.com

6 Certificate Suspension, Withdrawal or Scope Reduction

- 1) The following three (3) criteria apply to the suspension, withdrawal or reduction in scope of an FSSC certificate:
 - a) BSI shall suspend a certificate when there is evidence that the site is either unable or unwilling to establish and maintain conformity with FSSC scheme requirements within the time frames applicable to the clearance of major nonconformities
 - b) BSI shall withdraw a certificate when there is evidence that the site is either unable or unwilling to establish and maintain conformity with FSSC scheme requirements, within the timeframes applicable to the clearance of critical nonconformities
 - c) When BSI has evidence that the site holds a certificate whereby the scope exceeds the site capability or capacity to meet, BSI shall reduce the certification scope accordingly
- 2) Examples include:
 - a) The site's certified management system has persistently or seriously failed to meet the FSSC scheme requirements, including requirements for the effectiveness of the management system
 - b) Immediate risk to the safety of the product impacting consumer health

- c) The certified site does not allow surveillance or recertification audits to be conducted at the required frequencies
- d) The certified site has voluntarily requested a suspension

6.1 Extraordinary Events

An extraordinary event affecting a certified site or BSI may temporarily prevent BSI from carrying out planned audits on-site. When such a situation occurs, BSI in consultation with the certified site will need to determine a reasonable planned course of action.

6.2 Action Upon Suspension, Withdrawal and Scope Reduction

In case of withdrawal or suspension, the certified site's FSSC certificate becomes invalid and accordingly, BSI shall:

- Immediately change the status of the certified site in the FSSC 22000 database, the BSI Register of Certified Organizations and shall take any other measures it deems appropriate;
- Inform the site in writing of the withdrawal or suspension decision within three (3) days after the decision was made and confirm the decision;
- Notify the site to take appropriate steps in order to inform its clients/customers through various forms of communication such as advertising and product labelling where applicable.

In the case of scope reduction, the site's FSSC certificate becomes invalid beyond the revised certification scope statement. Accordingly, BSI shall:

- Immediately change the scope of the certified site in the FSSC 22000 database and its own Register of Certified Organizations and shall take any other measures it deems appropriate;
- Inform the site in writing of the scope change within three (3) days after the last day of the audit or any other intervention and confirm the decision;
- Instruct the site to take appropriate steps in order to inform its clients/customers through various forms of communication such as advertising and product labelling where applicable.

7 Use of the BSI Certification Mark

You are entitled to use the appropriate BSI Certification Mark whilst you maintain certification to this program with BSI. For a copy, visit our website at www.bsigroup.com

Use of the logo is subject to Condition and rules of its application.

8 Use of the FSSC Logo

Certified sites are entitled to use the FSSC 22000 logo. The FSSC 22000 logo may be used on the site's printed matter, website and other promotional material the design specifications are available on the FSSC website www.fssc22000.com

- Use of the logo in black and white is permitted when all other text and images are

in black and white.

- To avoid the impression that BSI has certified or approved any product, process or service supplied by the certified site.

- 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.

9 Confidentiality

BSI will keep confidential information confidential for a period of 6 years after it has received it and will not use or disclose it except for the purpose of exercising or performing its rights and obligations under the contract, or to the extent required by law, or by any governmental or other regulatory authority, or accreditation authority, or by a court or other authority of competent jurisdiction.

In these cases, BSI will not be required to notify you of such disclosure and will not be required to oppose any demand made by such entities.

10 Additional Obligations

Following certification, there are a number of managerial responsibilities which your site will need to fulfil to maintain BSI's certification. These include:

- Continued compliance with the relevant systems standard(s) or code(s) of practice;
- Compliance with BSI's Standard Commercial Terms and Conditions and obligations as specified in this document as well as other guidance documentation that may be specifically provided from time-to-time;
- Conduct of regular internal reviews of your system, with appropriate documentation of such reviews and of any subsequent corrective actions;
- Notification to BSI of any significant changes in the structure (key responsibilities and management system), ownership and operations of your site to enable the impact of such changes on the certified ownership system to be evaluated; and
- Notification to BSI of any litigation or serious events or matters that relate to the scope of your certification within twenty-four (24) hours of the event.

10.1 Complaints

Your site is required to keep a record of all known complaints. These records must be made available to the audit team and BSI when requested.

Your site is required to demonstrate that you have taken appropriate action to address these complaints through investigation and correct any deficiencies found. These actions must be documented.

10.2 Certification Agreement

Your site is required to meet the requirements of the Certification Agreement. This requires that your site and products remain compliant with the scheme requirements and the conditions of certification at all times.

Your site is required to implement appropriate changes as communicated by BSI in a time appropriate manner.

10.3 Assessment Scheduling

Your site is required to make all necessary arrangements to allow the evaluation and surveillance activities to take place. This includes but is not limited to; Equipment, Product, Locations, Personnel and Sub-contractors.

10.4 Misleading Statements

Your site is not permitted to use its certification in a manner that could bring BSI into disrepute. This includes making misleading or unauthorized statements. If you are unsure if a statement could be misleading you are advised to contact BSI prior to making the statement. Statements include but are not limited to advertising (including your website) and internal communication. The use of the logo on product and product packaging is not permitted.

If your site is required to provide copies of certification documents these must be reproduced in its entirety. Failure to do so may be misleading to the recipient as to the scope of certification.

10.5 Changes to Circumstances

Your site is required to advise BSI of any changes without delay to circumstances that may affect certification. Examples include but are not limited to changes in:

- Authorized Representative
- Business name (Legal entity) and Trading Name (where applicable), Business number
- Ownership
- Contact details
- Location, site addresses
- Business activity/ies, scope of certification (Products and Processes)
- System Management
- Number of employees, covering all shifts and sites
- Billing Details

10.6 Observers

- From time to time BSI requires an observer to be in attendance at an audit. This may be related to training of new staff and witness assessment of existing staff. It is a requirement of certification that your site allows these activities to occur.
- Failure to allow this activity to occur may result in cancellation of your certification.
- BSI will, at all times, ensure that the use of observers is kept to a minimum and your site will be advised prior to the assessment activity.
- The observer does not take an active part in an assessment.

10.7 FSSC Website

It is an FSSC scheme requirement for your site's details to be displayed on the FSSC website.

11 Complaints and Appeals

Appeals against certification decisions and/or complaints against service delivery levels may be raised with your auditor. If you remain dissatisfied, contact BSI in writing using the contact details below.

BSI will also investigate legitimate documented complaints, relevant to operation of the system, from clients/customers of certified sites, The FSSC Foundation and the accreditation body (ANAB). Certified sites shall, at all reasonable times, provide representatives of BSI, FSSC or ANAB with access to its premises and records for the purposes of investigating such complaints.

If your site's application for certification has been refused; or your certified site's certification has been suspended, withdrawn, or reduced in scope, you may appeal against the decision. All complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate.

Where necessary a Review Committee will be established and operated as set out below:

- The appellant shall, within 28 days of the disputed advice from BSI, lodge a written notice of appeal with an affidavit as to the grounds of appeal;
- The BSI Global Operations & Compliance Management Group shall be advised within 14 days of receiving the appellant's notice;
- The Global Operations & Compliance Management Group shall then establish a Review Committee;
- The Review Committee shall consist a minimum of three persons considered as experts in the area of technology or business relevant to the appeal. The Review Committee shall be constituted as follows:
 - One person expert in the relevant area of technology or business
 - Two persons selected by the appellant from a list of four persons
- The appellant shall represent himself and no legal representation will be allowed unless approved by the Review Committee; and
- The Review Committee will carry out investigations as are required, including assessment of information supplied by the appellant and, within a reasonable time, decide by majority vote whether or not to reverse the original decision.

- The Global Food and Retail Supply Chain Operations and Compliance Director shall give notification of the decision to the appellant within 14 days of the Review Committee decision

To raise a complaint or appeal against the service delivery by BSI or audit outcome please notify:

- Todd Redwood
Global Food and Retail Supply Chain Operations and Compliance Director
Email: todd.redwood@bsigroup.com