

# BSI TACCP Verification Guidebook

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**Revision History**

Rev No	Revision Date	Author	Approved by	Page No	Sec. No	Brief Description of Change
1	September 2015	Alex Davies	Stephanie Vincent			New
2						
3						

**Related Documents**

Document Number	Title

## **1 Introduction**

This guidebook is designed to assist your organization on the requirements of the PAS 96:2014 Threat Assessment Critical Control Points (TACCP) Verification.

The verification audit can be administered for the following purpose(s);

- Assess the effectiveness of your organization's Food Defence System in providing improved management, confidence and due diligence;
- Ensure the ongoing compliance of your organization's Food Defence System with the PAS 96:2014 Guide to Protecting and Defending Food and Drink from Deliberate Attack and the organization's procedures;
- Verify that actions arising from the previous audit findings have been implemented and are effective.

## **2 Accreditation**

BSI Threat Assessment Critical Control Point (TACCP) Verification is not accredited.

## **3 The Verification Process**

The following section outlines the steps that apply during the process for gaining and maintaining BSI TACCP Verification.

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 Inquiry**

BSI will respond to either verbal or written expressions of interest from organizations interested in one or more of our programs. If your organization 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 organization achieve them.

BSI will also, on request and receipt of a Request for Quotation, prepare a proposal tailoring our services to your organization's needs.

### **3.2 Application for Verification Assessment**

Receipt of your organization'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 organization and BSI.

Your organization's details will be entered into our database and a Client Manager will be appointed to look after your verification requirements. The Client Manager will be your primary point of contact with BSI and is responsible for ensuring that our verification services are delivered to your organization in the most effective manner possible.

### **3.3 Client Contact**

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

Your Client Manager (or nominated representative) will seek to gain an appreciation of the:

- Nature and scope of your organization's activities, structure and location(s), including any activities for which confirmation is being excluded; and
- Determine the status of system documentation and implementation of organizational policies, objectives and procedures.

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

### **3.4 Conduct a Gap Audit (optional)**

A pre-assessment audit assists in identifying gaps in the supplier's system against the BSI TACCP Verification so that corrective action can occur before engaging BSI for the verification audit.

### **3.5 Identifying the Scope of Verification**

The scope of the audit covers all activities completed by your organization i.e. food ingredient sourcing, materials sourcing, service providers, manufacture, handling and distribution.

Multi-site verification is not applicable to the BSI TACCP Verification because verification is site specific covering the product/s and process identified within the scope of the each site's food defence system.

Head Office sites that require BSI TACCP Verification are assessed against all sections of the standard. The scope for Head Office sites is limited to those activities that are managed and controlled by the Head Office.

### **3.6 Audit Frequency**

BSI TACCP Verification assessments are carried out on an annual frequency. If your organization chooses to combine the BSI TACCP Verification with another standard i.e. BSI HACCP & GMP or ISO9001, the audit program will follow and reflect the certification cycle of these standards.

From time to time an additional visit may be required to close out non-conformances

### **3.7 Audit Duration**

The duration of a BSI TACCP Verification audit depends on the scope of verification. Aspects of the activities such as your organization's, products, processes and risks are used to make this determination. It will vary with organization size and complexity. The audit duration will be established at the time the proposal is collated.

There are no audit duration calculations used to determine the audit duration. Where the BSI TACCP Verification audit is being carried out combined with a GFSI or ISO standard audit, durations applied to those schemes will be adhered to. Additional time may be allocated to the audit duration associated with those schemes to cover any specific requirements in the Verification.

### **3.8 Audit Report**

Your Client Manager will complete a checklist while on site. This documents the objective evidence that has been sighted during the audit and provides guidance for your Client Manager to ensure that all areas of the criteria are covered.

At the conclusion of the audit, your Client Manager will present the findings to you and will leave a copy of the non-conformances on the site before they leave. This may be in either hard or soft copy.

A BSI audit report will be sent to your organization within five (5) days of the last day of the audit.

BSI undertakes an extensive technical review of audit reports and there may be occasions when the grading of a non-conformance is revised based upon discussions with the BSI Compliance and Risk Department.

If you are unclear regarding the meaning of anything in your report, please contact your Client Manager or the BSI Compliance and Risk team.

### **3.9 System Status Snapshot**

The System Status Snapshot system is designed to provide both a quick visual snapshot of this audit as well as a progressive measure of system developments and change since the last audit. It is based only on the sample of sites, processes and records sighted during the audit.

The audit report findings continue to form the main basis for your organization to focus on in determining system compliance. The colours are represented as follows:

#### **Green**

- Stable & implemented systems
- Conforming systems effectively contributing to the achievement of organisational objectives

A green rating indicates that processes are established and implemented to meet business needs and demonstrates compliance against the BSI TACCP Verification requirements. Systems falling into this category will generally have achieved some stability and demonstrate a systematic, process-based approach.

Opportunities for further improvement may be identified when a green rating is achieved.

#### **Yellow**

- Alert! The system has been implemented and is meeting basic requirements of certification but may not be fully effective
- Contribution to the achievement of organisational objectives may be unclear

A yellow rating indicates that systems may meet requirements but be inconsistently applied against the BSI TACCP Verification criteria and/or internally documented processes. Alternatively, this may indicate systems that are not integrating well with business practices and processes, leaving them susceptible

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to inadequate implementation. The organization may be demonstrating a more reactive than proactive approach in some aspects of the business.

Areas falling within this category require increased focus to ensure that business risks are managed and legal and regulatory requirements continue to be met.

**Red**

- Non-conforming systems.
- Business risks are evident.

A red rating indicates that there is evidence that systems are inconsistently applied across the organization and/or that there is a risk of poor or unpredictable performance in business services or products. Legal or regulatory requirements may be at risk of not being met.

Major non-conformities against the requirements of the standard may be evident in the body of the report.

**3.10 Non-Conformities and Corrective Action**

The level of non-conformity assigned to a finding by your Client Manager is based on the objective evidence obtained and observations made during the audit.

<b>Audit Report Code</b>	<b>Definition</b>	<b>Client Action required to address findings</b>
A	Compliance: Indicates conformance of the element against the BSI TACCP requirements.	No further response to BSI is required.
O	Observation: May relate to a component of the system that is conforming, but where an opportunity for improvement is evident. Alternatively, it may refer to incidental or isolated system discrepancies, or allow praise or comments relevant to the next audit.	Observations should be reviewed or actioned where practicable as they are often provided as areas of opportunity for improvement. Isolated or incidental deficiencies identified in observations may indicate that specific aspects of the system need to be reviewed to prevent problems occurring in the future. No specific action plan response is required.

Audit Report Code	Definition	Client Action required to address findings
M	<p>Minor non-conformity:</p> <p>A system deficiency that does not compromise the ability of the management system to achieve defined objectives, or to assure controlled processes, products or outcomes.</p>	<p>Proposed corrective actions to address each minor non-conformity must be agreed with your Client Manager either during the audit or by submitting an action plan <b>within 28 days</b> of the audit.</p> <p>Verification will not be granted or continued until such time as corrective action has been agreed and accepted. Unless otherwise stated, implementation &amp; maintenance of the proposed corrective action will be reviewed at the next BSI TACCP Verification audit.</p> <p>Existing clients risk suspension or cancellation of verification certificate if a timely response is not received.</p>
C	<p>Major non-conformity:</p> <p>A system deficiency that adversely impacts on the ability of the management system to achieve defined objectives or assure controlled processes, product or outcomes.</p>	<p>Time frames granted for the closure or downgrade of major non-conformities may vary depending on the severity &amp; impact of the issue identified. This will be at the discretion of your Client Manager.</p> <p>Issues may be closed out either through evidence sighted or a follow-up assessment.</p> <p>It is generally expected however that non-conformities will be closed out or downgraded to a minor non-conformity <b>no later than 28 days</b> after the conduct of the on-site audit. A verification certificate cannot be granted or continued until a satisfactory resolution has been achieved.</p> <p>Where a satisfactory resolution is not achieved within the agreed time frame, the organization's verification certificate may be cancelled or suspended.</p>

### 3.10.1 Close out of Non-Conformances

It is the responsibility of your organization to ensure that non-conformances are closed out within the allocated time frame.

The information required to demonstrate close out of the non-conformance is required to include the correction, root cause analysis and corrective action.

### 3.11 Certificate Issue

At the conclusion of the audit, your Client Manager will make a statement in the audit report advising whether verification (or renewal) is recommended. The final decision is made by the BSI Compliance and Risk Department. If, during the verification decision stage, any changes to the audit report are



made these will be communicated to your organization by either your Client Manager or the Compliance and Risk Department.

After all non-conformances have been closed out and within the agreed timesframes a BSI TACCP Verification certificate will be issued.

The scope of the verification certificate and the details relating to the name of your organization will be the same as the wording in the audit report. These details are agreed between the Client Manager and your organization at the commencement of each audit.

Verification certificates will be issued annually or when your organization details or audit scope requires change.

### **3.12 Client Manager Rotation**

To ensure impartiality of the audit process, three (3) consecutive audit visits is the maximum period a Client Manager is permitted to visit the same organization without another Client Manager performing an audit activity at the site. Another Client Manager is required to conduct the fourth audit to ensure impartiality of the audit process is maintained.

This applies to Client Managers who attend the audit as an observer.

## **4 Cancellation of Verification Certificate**

Your organization's verification certificate may be cancelled or suspended if sufficient corrective action has not been received. Depending on the nature of the non-conformity, BSI may be obliged to notify regulatory agencies or associated bodies. This process will be communicated to your organization to ensure that the process and the ramifications at the time of the audit are understood.

If your organization's verification certificate is cancelled, your organization is required to:

- Cease any advertising and promotional activities that promote the fact that your organization holds verification certificate
- Withdraw and cease to use any advertising and promotional material that promotes the fact that your organization holds a BSI TACCP Verification certificate
- Cease to use relevant marks in any way to promote the fact that your organization holds a BSI TACCP Verification certificate and
- Return all verification certificates and pay any outstanding fees

## **5 Use of the BSI PAS 96 VerifiEye Mark**

Once your organization has been granted a verification certificate, your organization is entitled to use the BSI PAS 96 VerifiEye Mark Logo, a Global Symbol of Assurance, whilst requirements to this scheme with BSI is met.

Use of the BSI PAS 96 VerifiEye Mark Logo is subject to the BSI PAS 96 VerifiEye Mark Logo guidelines.

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

## **6 Confidentiality**

BSI will treat all information in accordance with the Privacy Laws applicable to the country of delivery of this standard.

## **7 Additional Obligations**

Following receipt of the verification certificate, there are a number of managerial responsibilities which your organization will need to observe. These include:

- Continued compliance with the relevant systems standard(s) or code(s) of practice;
- Compliance with the BSI 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 organization to enable the impact of such changes on the system to be evaluated; and
- Notification to BSI of any litigation or serious events or matters that relate to the scope of your verification certificate.

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

### **7.1 Assessment Scheduling**

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

### **7.2 Misleading Statements**

Your organization is not permitted to use its verification 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 the use of the logo on product, advertising (including your website) and internal communication.

If your organization is required to provide copies of your verification certificate documents these must be reproduced in their entirety. Failure to do so may be misleading to the recipient as to the scope of verification.

### **7.3 Changes to Circumstances**

Your organization is required to advise BSI of any changes without delay to circumstances that may affect the organization's verification certificate. Examples of such changes include but are not limited to;

- Authorized representative
- Business name (Legal entity) and trading name (where applicable), ABN
- 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

### **7.4 Observers**

From time to time BSI may require 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 that your organization allows these activities to occur.

Failure to allow this activity to occur may result in the cancellation of your verification certificate.

BSI will, at all times, ensure that the use of observers is kept to a minimum and your organization will be advised prior to the assessment activity.

The observer does not take an active part in an assessment.

## **8 Complaints and Appeals**

BSI takes complaints relating to our service delivery seriously and all complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate.

BSI will also investigate legitimate documented complaints, relevant to operation of the system, from customers of your organization. Organizations shall, at all reasonable times, provide representatives of BSI with access to its premises and records for the purposes of investigating such complaints.

If your organization's application for verification has been refused, or your organization's certificate has been suspended, cancelled, or reduced in scope, you may appeal against the decision to a Review Committee.

Should you wish to appeal the verification decision your organization is required, within 28 days of the disputed advice from BSI, lodge a notice of appeal with your Client Manager in writing to initiate this process.