RULES FOR THE CERTIFICATION OF FOOD SAFETY MANAGEMENT SYSTEMS

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This rule is divided into 2 sections depending on the requested certification service:

Section 1: Certification of Food Safety Management Systems according to ISO22000: 2018;

Section 2: Certification of Food Safety Management Systems according to the FSSC22000 v.5.1 scheme.

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SECTION 1: CERTIFICATION OF FOOD SAFETY MANAGEMENT SYSTEM IN CONFORMITY WITH ISO22000:2018

CHAPTER 1 - GENERAL

1.1

These Rules define the additional and/or substitutive procedures applied by RINA for the certification of Food Safety Management Systems in relation to what is already defined in the

General Rules for the Certification of Management Systems

The paragraphs of these Rules refer to (and maintain the same numbering of) the corresponding paragraphs of the General Rules for the Certification of Management Systems for which changes and/or additions have been made.

1.2

RINA issues certification in accordance with the requirements of the ISO/IEC 17021:2015 Standard to organizations whose Management System has been recognized as fully conforming to all the requirements of the

ISO 22000:2018 standard.

CHAPTER 2 - REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

2.1

In addition to what is stated in the General Rules for the Certification of Management Systems, to obtain RINA certification a Food Safety Management System must first and henceforth satisfy the requirements of ISO 22000 and the additional requirements, if any, of the accreditation bodies.

2.2

In substitution to what established in the paragraph 2.2.2 of the general rules, in particular, to obtain the certification of the management system, the Company shall have prepared the Documentation which is:

- defining the goal/scope/field of application of the Food Safety Management System, describing the main processes among which the communication protocols, the conduction and application of the hazard analysis, the traceability system.

  The description of the processes and their applications is to be extended to all those developed by the organisation (also to outsourced processes required to manufacture/provide a particular product/service which is decisive as regards the capacity of the product/service to satisfy the applicable requirements).

  This can be done in different ways:

  - descriptions
  - flow charts or logograms
  - tables or matrices
  - other

- taking into consideration the requirements of the standard and giving a description, not necessarily detailed, of the resources and procedures used to ensure compliance with these requirements;
- containing a suitable description of the company organisation.

Every information received from the client is reserved.

CHAPTER 3 - INITIAL CERTIFICATION

3.1

The Organisations wishing to obtain RINA certification for their Food Safety Management System must provide RINA with their main Organisation/production data and site location by filling in all parts of the "Informative questionnaire" form available on the website www.rina.org, and sending it to RINA, which will use it to prepare a quotation.

In particular, the organisation must inform RINA of:

- the scope requested for the certification;
- general information of the organization
- the number sites involved in certification, together with the name, the addresses and the relative activities carried out there;
- The number of HACCP plan related to the scope;
- The Involvement with bigger companies, if is the case;
- Other certification obtained, if is the case;
- The involvement of consultants for the management system, if is the case.

3.4

In addition to what is stated in the General Rules for the Certification of Management Systems, together with or following the certification request, the Organization is to make the following documents available to RINA:

- the document SELF ASSESSMENT QUESTIONNAIRE FOR FIRST CERTIFICATION filled in all its parts, enclosing any necessary documents ;
- list of the sanitary authorizations/EU registrations held by the organization.

RINA examines the above documents for conformity with the reference standard and with the requirements of these Rules.

3.5

As well as what is stated in point 3.5 of the General Rules for the Certification of Management Systems, during the stage 1 audit, it will be checked the correctness of the information provided by the Organization through an information questionnaire.

In case of differences between the data initially provided by the organization in the informative questionnaire and the homologous data verified during the stage 1 audit by the audit team, the total audit duration will be reviewed and eventually modified.

In case the audit duration, resulting from the new revision, is greater than the duration previously defined, specific communication to the customer will be given by e-mail to the client providing the correct and new audit duration.

If the organization does not want to accept the new duration, the organization has to pay RINA for the Stage 1 audit as previously agreed, to provide adequate justification

within 10 working days from the receiving communication and to accept the interruption of the certification process.

In absence of response from the Organization to the specific communication, it is tacitly accepted the new term, because based on data verified by the audit team and transparently presented and discussed during the final stage 1 audit meeting.

CHAPTER 4 - MAINTENANCE OF CERTIFICATION

4.2

In addition to what is stated in the General Rules for the Certification of Management Systems, the organization must keep records of:

- food safety aspects/impacts;
- any withdrawals or recalls of products;
- accidents/emergencies on the site/s and other events that could have had negative effects on the product safety;
- any complaints received concerning food safety impacts;
- any observations or reports from national or local authorities responsible for food safety Control and must make them available to RINA together with the relative corrective action implemented during the periodic audits.

The organisation must keep RINA informed of any observations/remarks from national or local authorities responsible for food safety control and of any situations of legislative non-compliance related to all the organisation's activities, regardless of the field of application of the Management System.

These communications must be formalized by sending an email to compliance.notification@rina.org with the subject INCIDENT NOTIFICATION-COUNTRY-COMPANY NAME-STANDARD with the following mail content: the type of incident, date of the incident, description, possible product / s involved, corrections, root causes analysis and any corrective actions undertaken by the Organization.

RINA reserves the right to request further information from the customer that can prove how the organization has reacted in relation to the above and any further additions that provide evidence of complete management of the problem. If this information results to be insufficient or ambiguous, RINA can evaluate an extra audit or suspension of the certificate.

CHAPTER 6 – PERFORMANCE OF AUDITS

6.1 GENERAL

6.1.3

In addition to what established at point 6.1.3 of the General Rules for the Certification of Management Systems is considered as major NC as well a situation which can compromise the security if the food products, the failure of the legal requirement[1] of

1 Si intendono per requisiti legislativi cogenti:
- Limiti e/o disposizioni di legge;
- Limiti e/o prescrizioni riportate su autorizzazioni o su altri documenti prescrittivi etc.

the production and destination country and every situation that can be a serious danger or the consumers.

Moreover, if there aren't authorization or registration of the site, as requested by the current legislation, the certification process is suspended.

6.2. The initial certification audit consists of two stages (Stage 1 and Stage 2)

6.2.1. Stage 1

In substitution of what is mentioned at paragraph 6.2.1. of the General Rules, Audit Stage 1 carried out at the organization, aims to:

- Verify that the documentation of the Food Safety Management System, including procedures, meet all the requirements of the standard;
- Assess whether the internal audit and the review by senior management have been planned and executed at all the sites of the organization covered by the certification.
- Review the status and understanding of the client regarding the requirements of the standard, with particular reference to the identification of key performance or significant aspects, processes, objectives and operation significant for the Food Safety Management System
- Gather the necessary information concerning the scope of the management system, processes and / and localization / the customer, including related legal and regulated, and compliance with them;
- That the organization has all necessary authorizations / licenses on Food Safety and its activities and that they are valid and consistent with applicable law;
- Investigate the site / s Production / Organization to assess the possible problems not considered by Food Safety Management System of the Organisation;
- Review the allocation of resources for stage 2 audit and agree with the customer details of the audit stage 2;
- Focus on the audit planning stage 2, gaining a sufficient understanding of the management system and activities and the customer site, with the possible significant aspects;
- That the FSMS is operational for at least three months and that procedures are efficaciously implemented.

The outcome of the audit stage1 is leaving the organization released a copy of the audit report of stage 1 on which are among other reported any findings that may be encountered including those classified as non-conformities (major or minor) during the 'audit stage 2.

The actions taken by the Organisation for the resolution of these findings are verified during the audit stage 2 in paragraph 6.2.2.

In the presence of NC that are very critical, the technicians who performed the audit stage 1 decide if they must be resolved before proceeding with the Stage 2 audit at the organization. In case of audit stage 1 and stage 2 consecutive audit Stage 2 will be rescheduled and postponed to a date (not exceeding 6 months from the date of the audit stage 1).

6.2.2. Stage 2

As substitution of what determined by the corresponding point 6.2.2 of the general rules, the audit stage 2 at the organization must be made within a maximum period of 6 months following completion of Phase 1 of the audit.

The stage 2 audit at the organization is carried out to verify the correct and effective implementation of the Management System.

RINA sends the organization, before the audit stage 2 at the site / s, an audit plan in which is given in detail, the description of assets and provisions for the conduct of the audit.

If the activities are carried out to check on multiple operating sites, the audit is conducted according to criteria previously established and communicated by the Organization RINA.

The stage 2 audit is performed by qualified RINA technicians based on the audit report stage 1 and on the documents of the Food Safety Management System prepared by the Organization in the updated review.

Essentially the audit stage 2 consists of:

- an initial meeting with the Technician of the Organization to agree on the scope and methods of the audit and to confirm the audit plan;
- a review of the implementation of effective adaptation measures with regard to remarks made during the audit phase 1;
- an inspection of the site / s Production / Organization to verify the compliance of the for Food Safety Management System reference documents and its full implementation;
- A final meeting to explain the outcome of the investigation.

In the presence of non-compliance (of type A) the certification process is suspended. In case of observations whose numerous, in the opinion of the audit team, would undermine the proper functioning of the management system, the certification process is also suspended.

In such cases, within three months, RINA must perform a supplementary audit aimed at verifying the effectiveness of treatments and proposed corrective actions; if there is a successful outcome of this audit, the certification process is resumed.

The additional audit may be conducted on site or based on documents according to the type of corrective actions to be verified in the opinion of the audit team.

All expenses relating to any additional audits resulting from deficiencies of the Management System shall be payable by the Organization.

If this deadline is exceeded, the Management System of the Organization must be submitted to complete review within a period of six months from the end of stage 2 audit.

At the expiration period of six months without a successful conclusion of the assessment, RINA can considered closed the certification, charging time and expenses incurred up to that point. In such cases, the organization that wishes to continue with the RINA certification must submit a new request and repeat the certification process.

These time limits may be varied in special cases on a reasoned request of the Organization, in the opinion of RINA.

CHAPTER 9 – MULTISITE ORGANIZATIONS

9.1

In replacing paragraph 9.1 of the General Rules for the Certification of Management Systems, where an organization operates across multiple sites and all functions relating to the Food Safety Management System are managed by a central head office and a single certification is required, the audit may be performed by sampling the sites audited only for the categories allowed by ISO / TS 22003:2013 and if the number site exceeds 20 units, provided that:

- The Activity to be certified is the same for all sites and the organization applies the same Food Safety Management System (managed from a central location) for all sites;
- At all sites of the Organization products / services provided are essentially the same kind and are made basically with the same methods and the same procedures;
- At least the following activities are managed from the headquarters of the Organization:
    - Communication procedures;
    - Management and emergency response;
    - Analysis of the hazards and individuation of associated risks
    - The traceability system;
    - The assessment of training needs;
    - The control of document and its amendments;
    - The review of the management system by senior management;
    - Evaluation of the effectiveness of corrective and preventive actions;
    - Planning / execution of internal audit and evaluation of their results;
    - Before the audit of RINA the organization must have performed internal audits of each site.

9.2

As substitution of the point 9.2 of the General Rules for the Certification of Management Systems, during the initial certification audit, surveillance and recertification will be carried out sampling in accordance with the ISO/TS 22003:2013.

SECTION 2: CERTIFICATION OF FOOD SAFETY MANAGEMENT SYSTEMS ACCORDING TO THE FSSC22000 v.5.1 SCHEME

CHAPTER 1 – GENERAL

1.1

These Rules define the additional and/or substitutive procedures applied by RINA for the certification of Food Safety Management Systems and technical sector specification (PRPs) in relation to what is already defined in the

General Rules for the Certification of Management Systems

The paragraphs of these Rules refer to (and maintain the same numbering of) the corresponding paragraphs of the General Rules for the Certification of Management Systems for which changes and/or additions have been made.

1.2

RINA issues certification in accordance with the requirements of the ISO/IEC 17021:2015 Standard to Organisations whose Management System has been recognized as fully conforming to all the requirements of the scheme

FSSC 22000 v.5.1

CHAPTER 2 – REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

2.1

In addition to what established at point 2.1 of the General Rules for the Certification of Management Systems, Organisations wishing to obtain RINA certification for their Food Safety Management Systems[2] must first satisfy the requirements of ISO 22000, sector specific prerequisite program (PRPs) requirement (ISO/TS 22002-X series or other specified PRP standard), the FSSC22000 Additional Requirements (for detail www.FSSC22000.com) and the additional requirements, if any, of the accreditation bodies.

2.2

In substitution to what established in the paragraph 2.2.2 of the General Rules for the Certification of Management Systems to obtain the certification of the management system, the Company shall have prepared the Documentation which is:

- defining the goal/scope/field of application of the Food Safety Management System, describing the main processes among which the communication protocols, the conduction and application of the hazard analysis, the traceability system.

  The description of the processes and their applications is to be extended to all those developed by the organisation (also to outsourced processes required to manufacture/provide a particular product/service which is decisive as

2 FSMS (Food Safety Management System): the ISO22000 reference standard is to be understood always applicable for organizations applying for certification in accordance with the private scheme FSSC22000 (FSMS and technical specifications for sector PRPs).

regards the capacity of the product/service to satisfy the applicable requirements).

This can be done in different ways:

- descriptions
- flow charts or logograms
- tables or matrices
- other

- taking into consideration the requirements of the standard and giving a description, not necessarily detailed, of the resources and procedures used to ensure compliance with these requirements;
- containing a suitable description of the company organisation.

Every information received from the client is reserved.

2.4

For FSSC22000 specific certification, in addition to what established above, the following rules apply:

- The contract stipulated between RINA and the organization about FSSC22000, always include the fees for certification to be paid annually to the FSSC Foundation;
- the certified Organisations allows RINA to share information relating to the Organization's data, certification and audit process with the Scheme Owners, GFSI (Global Food Safety Organization) and governmental authorities when required;
- RINA will submit to the FSSC Foundation the following information (within 28 calendar days after the certification decision with a maximum of 2 months after the last day of the audit):
  - name and location of the certified organization,
  - details related the audits performed,
  - scope of the certification,
  - date of the initial certification,
  - expiry date of the certificate,
  - in case of suspension or withdrawal; the date of suspension or withdrawal

  These information about the certified organizations will be made publicly available on the website of the FSSC Foundation.

- The certified organization must notify RINA of any food safety prosecution, significant regulatory food safety nonconformity, or any product recall relating to food safety. This notification must be made immediately to RINA.
- The certified organization shall inform RINA that will have the right to investigate[3] the case to ensure integrity of certification after such notification, within three (3) working days:
  - about any significant changes that affect the compliance with the scheme requirements;
  - serious events that impact the FSMS, 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

3 According to the point nr.4.4 of the General Rules for the certification of Management Systems

of natural or man-made disasters (e.g. war, strike, terrorism, crime, flood, earthquake, malicious computer hacking, etc.);
    - public food safety events (such as e.g. public recalls, calamities, food safety outbreaks, etc.);
    - changes to organization name, contact address and site details;
    - changes to organization (e.g. legal, commercial, organizational status or ownership) and management (e.g. key managerial, decision-making or technical staff);
    - 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 certification activities relevant to scope categories for which RINA is accredited are performed in compliance with the applicable accreditation rules and the certificates issued are provided with the logo of the relevant Accreditation Body.
- In case of any change and/or information by FSSC Foundation in regard to the FSSC22000 scheme requirements, the certified organization will be informed within a month period. The related rules will apply accordingly.

CHAPTER 3 – INITIAL CERTIFICATION

3.1

The Organisations wishing to obtain RINA certification for their Food Safety Management System must provide RINA with their main Organisation/production data and site location by filling in all parts of the "Informative questionnaire" form available on the website www.rina.org, and sending it to RINA which will use it to prepare a quotation.

In particular, the organisation must inform RINA of:

- the scope requested for the certification;
- general information of the organization
- the number sites involved in certification, together with the name, the addresses and the relative activities carried out there;
- The number of HACCP plan related to the scope;
- The Involvement with bigger companies, if is the case;
- Other certification obtained, if is the case;
- The involvement of consultants for the management system, if is the case.

3.5

As well as what is stated in point 3.5 of the General Rules for the Certification of Management Systems, during the stage 1 audit, it will be checked the correctness of the information provided by the Organization through an information questionnaire.

In case of differences between the data initially provided by the organization in the informative questionnaire and the homologous data verified during the stage 1 audit by the audit team, the total audit duration will be reviewed and eventually modified.

In case the audit duration, resulting from the new revision, is greater than the duration previously defined, specific communication to the customer will be given by e-mail to the client providing the correct and new audit duration.

If the organization does not want to accept the new duration, the organization has to pay RINA for the Stage 1 audit as previously agreed, to provide adequate justification

within 10 working days from the receiving communication and to accept the interruption of the certification process.

In absence of response from the Organization to the specific communication, it is tacitly accepted the new term, because based on data verified by the audit team and transparently presented and discussed during the final stage 1 audit meeting.

3.7

The version FSSC22000 5.1, mandatory since 1st April 2021 for all the first certification, surveillance and recertification audit, involves the performance of unannounced surveillance.

At least one of the two surveillance must be planned as unannounced. RINA decides which of the scheduled surveillance audits shall be chosen for the unannounced audit. The certified organization can voluntary choose to replace all surveillance audits by unannounced annual surveillance audits.

In exceptional cases where specific visa restrictions apply, contact with the certified organization may be needed as part of the visa application process. However, the exact dates of the unannounced audit shall not be confirmed, only a time window.

RINA decides which of the surveillance audits shall be chosen for the unannounced audit taking into consideration the requirement that unannounced audits shall be conducted at least once every 3 (three) years and adhering to the calendar year requirement.

If the certified organization refuses to participate in the unannounced audit, the certificate shall be suspended immediately, and RINA 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.

CHAPTER 4 - MAINTENANCE OF CERTIFICATION

4.2

In addition to what is stated in the General Rules for the Certification of Management Systems, the organization must keep records of:

- food safety aspects/impacts;
- any withdrawals or recalls of products;
- accidents/emergencies on the site/s and other events that could have had negative effects on the product safety;
- any complaints received concerning food safety impacts;
- any observations or reports from national or local authorities responsible for food safety Control

and must make them available to RINA together with the relative corrective action implemented during the periodic audits.

The organisation must keep RINA informed of any observations/remarks from national or local authorities responsible for food safety control and of any situations of legislative non-compliance related to all the organisation's activities, regardless of the field of application of the Management System.

These communications must be formalized by sending an email to compliance.notification@rina.org with the subject INCIDENT NOTIFICATION-COUNTRY-COMPANY NAME-STANDARD with the following mail content: the type of incident, date of the incident, description, possible product / s involved, corrections, root causes analysis and any corrective actions undertaken by the Organization.

RINA reserves the right to request further information from the customer that can prove how the organization has reacted in relation to the above and any further additions that provide evidence of complete management of the problem. If this information results to be insufficient or ambiguous, RINA can evaluate an extra audit or suspension of the certificate.

CHAPTER 6 – PERFORMANCE OF AUDITS

6.1 GENERAL

6.1.3.

In replacing paragraph 6.1.3 of the General Rules for the Certification of Management Systems, a written report is prepared for each audit, in which are indicated any Critical nonconformity, Major nonconformity and any Minors nonconformity.

A minor nonconformity is issued when the finding does not affect the capability of the management system to achieve the intended results:

1) When a minor nonconformity is issued during an audit, the organization must provide the RINA with objective evidence of an investigation into causative factors, exposed risks and the proposed corrective action plan (CAP).
2) RINA review the corrective action plan and the evidence of correction and approve it when acceptable. The RINA approval shall be completed 28 calendar days after the last day of the audit. Exceeding this timeframe shall result in a suspension of the certificate.
3) Corrective action(s) (CA) shall be implemented by the organization within the timeframe agreed with RINA.
4) effectiveness of the implementation of the Corrective Action plan must be reviewed, at the latest, at the next scheduled on-site audit. Failure to address a minor nonconformity from the previous audit coul lead to a major nonconformity being raised at the next scheduled audit.

A major nonconformity is issued when the finding affects the capability of the management system to achieve the intended results:

1) When a major nonconformity is issued during an audit, the organization shall provide RINA with objective evidence of an investigation into causative factors, exposed risks and evidence of effective implementation;
2) RINA review the corrective action plan and conduct 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 out the major nonconformity, RINA may decide to perform a desk review. This follow-up shall be done within 28 calendar days from the last day of the audit;
3) the major nonconformity shall be closed by RINA 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;

4) 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

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:

1) When a critical nonconformity is issued at a certified site, the certificate must be suspended within 3 working days of being issued for a maximum period of six (6) months.
2) When a critical nonconformity is issued during an audit, the organization must provide RINA with objective evidence of an investigation into causative factors, exposed risks and the proposed CAP. This must be provided within 14 calendar days after the audit.
3) a separate audit shall be conducted by RINA between six (6) weeks to 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 (1) 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;
4) the certificate shall be withdrawn when the critical nonconformity is not effectively resolved within the six (6) month timeframe.
5) in case of a certification audit (initial), the full certification audit shall be repeated.

Moreover, if there are not authorization or registration of the site, as requested by the current legislation, the certification process is suspended.

6.2. INITIAL CERTIFICATION AUDIT

The initial certification audit consists of two stages (Stage 1 and Stage 2)

6.2.1. Stage 1

In substitution of what is mentioned at paragraph 6.2.1 of the General Rules for the Certification of Management Systems, Audit Stage 1 carried out at the organization, aims to:

- Verify that the documentation of the Food Safety Management System, including procedures, meet all the requirements of the standard;
- Assess whether the internal audit and the review by senior management have been planned and executed at all the sites of the organization covered by the certification.
- Review the status and understanding of the client regarding the requirements of the standard, with particular reference to the identification of key performance or significant aspects, processes, objectives and operation significant for the Food Safety Management System
- Gather the necessary information concerning the scope of the management system, processes and / and localization / the customer, including related legal and regulated, and compliance with them;
- That the organization has all necessary authorizations / licenses on Food Safety and its activities and that they are valid and consistent with applicable law;

- Review the allocation of resources for stage 2 audit and agree with the customer details of the audit stage 2;
- Focus on the audit planning stage 2, gaining a sufficient understanding of the management system and activities and the customer site, with the possible significant aspects;
- That the FSMS is operational for at least three months and that procedures are efficaciously implemented.

The outcome of the audit stage1 is leaving the organization released a copy of the audit report of stage 1 on which are among other reported any findings that may be encountered including those classified as non-conformities (major or minor) during the 'audit stage 2.

The actions taken by the Organisation for the resolution of these findings are verified during the audit stage 2 in paragraph 6.2.2.

In the presence of NC that are very critical, the technicians who performed the audit stage 1 decide if they must be resolved before proceeding with the Stage 2 audit at the organization. In case of audit stage 1 and stage 2 consecutive audit Stage 2 will be rescheduled and postponed to a date (not exceeding 6 months from the date of the audit stage 1).

6.2.2. Stage 2

As substitution of what determined by the corresponding point 6.2.2 of the General Rules for the Certification of Management Systems, the audit stage 2 at the organization must be made within a maximum period of 6 months following completion of Phase 1 of the audit.

The stage 2 audit at the organization is carried out to verify the correct and effective implementation of the Management System.

RINA sends the organization, before the audit stage 2 at the site / s, an audit plan in which is given in detail, the description of assets and provisions for the conduct of the audit.

If the activities are carried out to check on multiple operating sites, the audit is conducted according to criteria previously established and communicated by the Organization RINA.

The stage 2 audit is performed by qualified RINA technicians based on the audit report stage 1 and on the documents of the Food Safety Management System prepared by the Organization in the updated review.

Essentially the audit stage 2 consists of:

- an initial meeting with the Technician of the Organization to agree on the scope and methods of the audit and to confirm the audit plan;
- a review of the implementation of effective adaptation measures with regard to remarks made during the audit phase 1;
- an inspection of the site / s Production / Organization to verify the compliance of the for Food Safety Management System reference documents and its full implementation;
- A final meeting to explain the outcome of the investigation.

In the presence of non-compliance (of type A) the certification process is suspended. In case of observations whose numerous, in the opinion of the audit team, would undermine the proper functioning of the management system, the certification process is also suspended.

In such cases, within three months, RINA must perform a supplementary audit aimed at verifying the effectiveness of treatments and proposed corrective actions; if there is a successful outcome of this audit, the certification process is resumed.

The additional audit may be conducted on site or on the basis of documents according to the type of corrective actions to be verified in the opinion of the audit team.

All expenses relating to any additional audits resulting from deficiencies of the Management System shall be payable by the Organization.

If this deadline is exceeded, the Management System of the Organization must be submitted to complete review within a period of six months from the end of stage 2 audit.

At the expiration period of six months without a successful conclusion of the assessment, RINA can considered closed the certification, charging time and expenses incurred up to that point. In such cases, the organization that wishes to continue with the RINA certification must submit a new request and repeat the certification process.

These time limits may be varied in special cases on a reasoned request of the Organization, in the opinion of RINA.

6.2. SURVEILLANCE AUDIT

6.3.3 Unannounced audit

RINA sets the date of the unannounced audit. The site will not be notified in advance, by RINA, of the date of the unannounced audit. When there are legitimate business reasons, blackout days may be agreed in advance between RINA and the certified organization to avoid periods of extreme inconvenience during which the client would find it difficult to participate fully and/or there is no production.

The unannounced audit takes place during operational working hours including night shifts.

The unannounced audit is a full surveillance audit during which the auditor shall spend at least 50% of the time in production area (shop floor) assessing the implementation of the applicable CCPs, PRPs and OPRPs.

The audit will start with an inspection of the production facilities commencing within 1 hour after the auditor has arrived on site. In case of multiple buildings at the site the auditor shall, based on the risks, decide which buildings/facilities shall be inspected in which order.

The auditor shall audit the organization operating on a representative number of product lines covered by the scope of certification.

Head offices controlling certain functions pertinent to certification separate to the site(s) are not audited during the unannounced audit but are audited in an announced manner.

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

6.5 TRANSFERRING FROM ISO 22000 TO FSSC22000 CERTIFICATION

In addition of what is mentioned at chapter 6 of the General Rules for the Certification of Management Systems and in the above paragraphs, the followings establish the rules to be applied when a company ask for transferring (upgrading) an existing ISO 22000 certification to FSSC22000.

6.5.1. Upgrade from ISO 22000 to FSSC22000

When transferring (upgrading) an ISO 22000 certification to FSSC22000 certification, a full stage 1 and 2 audit will not be required to upgrade the ISO 22000 part of the FSMS to FSSC22000.

The certification audit is a single Stage (Stage 1 and 2) audit usually combined with a scheduled ISO 22000-surveillance audit or re-certification audit, but it should be done as a specific audit in a subsequent different time.

In case the FSSC22000 certification audit is combined with a ISO 22000 scheduled surveillance audit, with a scheduled re-certification audit or it is done as a specific audit in a subsequent different time, the audit must include ISO 22000, the applicable technical specification for sector PRP's and the additional FSSC22000 requirements.

CHAPTER 7 – MANAGEMENT OF CERTIFICATES OF CONFORMITY

In addition of what is mentioned at chapter 7 of the General Rules for the Certification of Management Systems, the followings establish the rules to be applied when a company ask for transferring (upgrading) an existing ISO 22000 certification to FSSC22000.

7.4 - ISSUING AND VALIDITY OF THE CERTIFICATE

In the case of transferring from ISO22000 to FSSC22000 certification, the certified organisation will usually move away from the ISO 22000 certificate. In this case the newly issued certificate will be a FSSC22000 certificate only. Therefore, the ISO 22000 certificate will be withdrawn.

The scope shown on the certificate must cover the full-certified process.

It is not allowed to exclude part of the process in the scope.

The date of issuing on the certificate is the date of issuing the FSSC22000 certificate. The original date of issuing the ISO 22000 certificate is not shown on the FSSC22000 certificate.

The transfer audit will result in a FSSC22000 certificate with a validity of three years.

7.5 - CONSEQUENCE FOR THE EXISTING ISO 22000 CERTIFICATE

It is not usual to issue an ISO 22000 certificate for the same scope as the FSSC22000 certificate. Therefore, the ISO 22000 certificate will usually be withdrawn.

In case the certified organization wants to maintain the ISO 22000 certificate for the same scope as the FSSC22000, then the related processes will remain valid and managed accordingly. The ISO 22000 certificate will remain valid with the original dates of issuing and expiry unchanged.

A separate ISO 22000 certificate for processes that are not covered by the FSSC22000 scope can be allowed under condition that the activities, processes, products or services covered by the scope of the ISO 22000 certificate do not have an influence on the food safety of the end products covered by the scope of FSSC22000 certificate.

CHAPTER 9 – MULTISITE ORGANIZATIONS

9.1

In replacing paragraph 9.1 of the General Rules for the Certification of Management Systems, where an organization operates across multiple sites[4] and all functions relating to the Food Safety for Management System are managed by a central head office and a single certification is required, the audit may be performed by sampling the sites audited only for the categories allowed by ISO / TS 22003:2013[5] and if the number site exceeds 20 units, provided that:

- The activity to be certified is the same for all sites and the organization applies the same Food Safety Management System (managed from a central location) for all sites;
- At all sites of the Organisation products / services provided are essentially the same kind and are made basically with the same methods and the same procedures and all sites are located in the same country;
- The central function shall hold the contract with RINA and request to include multi-site sampling as part of the application process should they wish to include it.
- The Central function shall be audited at least annually and before RINA audits of the (sampled) sites. If necessary a small number of the sample sites may be audited prior to the audit of the central function.
- At least the following activities are managed from the central function of the Organization:
    - Communication procedures;
    - Management and emergency response;
    - Analysis of the hazards and individuation of associated risks
    - The traceability system;
    - The assessment of training needs;
    - The control of document and its amendments;
    - The review of the management system by senior management;
    - Evaluation of the effectiveness of corrective and preventive actions;
    - Planning / execution of internal audit and evaluation of their results;
    - Before the audit of RINA the organization must have performed internal audits of each site.

9.2

As substitution of the point 9.2 of the General Rules for the Certification of Management Systems, during the initial certification audit, surveillance and recertification will be

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4 A multi-site organisation need not to be a unique legal entity, but all the sites shall have a legal or contractual link with the central function of the organisation and be subject to a single management system, which is laid down, established and subject to continuous surveillance and internal audits by the central function.

5 Multi-site certification (including sampling) is only allowed for the food chain categories: A (animal Farming), E (catering), FI (retail/wholesale) and G (storage and distribution).

carried out sampling in accordance with the ISO / TS 22003:2013. In addition, the risk categories and performance of the sites shall be considered and might result in increase in the sample size.

Where sites are added to the group, an audit is required before adding them to the certificate – either as a special audit or part of the annual audit.

9.5

The central function shall take responsibility for coordinating, addressing and closing out of nonconformities raised at site level in conjunction with the relevant sites. Failure of the central function or any of the sites to meet the Scheme requirement, shall result in the whole organisation, including the central function and all sites, not gaining the certification. Where the certification has previously been in place, this shall initiate the RINA process to suspend or withdraw the certificate.

Where a critical nonconformity is identified, the certificate of the multi-site organisation must be suspended within 3 working days of issuing the critical nonconformity, regardless of whether or not all the site audits have been completed.

Where a major nonconformity is identified, and the audit takes more than 30 calendar days to complete (central function and sites audits), the organisation shall provide corrective action plan including any temporary measures or controls necessary to mitigate the risk until the nonconformity can be closed.

The timeline for closure of nonconformities start at the end of the audit – after completion of the central function audit and all the site audits.

CHAPTER 11 - SUSPENSION, REINSTATEMENT AND WITHDRAWAL OF CERTIFICATION

11.1

RINA must immediately suspend certification when a critical nonconformity is issued and/or there is evidence that the client is either unable or unwilling to establish and maintain conformity with Scheme requirements.

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