

## **NSF Certification UK SERVICE PROTOCOL**

### **For Certification against ISO 22000 and FSSC 22000**

The purpose of this protocol is to provide existing and prospective customers with information on the way in which NSF Certification UK operates its certification scheme against the ISO 22000 and FSSC 22000 standards and to provide an explanation of the requirements of this standard.

#### **1 Application**

All applicant's to NSF Certification UK's ISO 22000 and FSSC 22000 schemes are required to complete the NSF Certification UK scheme application form for each audit. The application form also asks for an undertaking that the applicant will abide by the NSF Certification UK scheme rules and conditions for certification as required for all EN45012 UKAS Accredited schemes which must be adhered to. [These](#) should be returned to your local in country office for approval.

The ISO 22000 standard and the Technical Specification ISO 22004 and ISO/TS22002-1 Guidance on the application of ISO 22000 are copyright documents and can be obtained from the ISO organization [www.iso.org](http://www.iso.org).

All enquiries and requests for certification should be directed in the first instance to your local in-country office. Certification is provided by:

NSF Certification UK Ltd, Long Hanborough, Oxon, OX29 8SJ

#### **2 Arranging Assessments Visits**

Assessments are conducted at a mutually convenient date.

The initial audit process consists of two visits:

- 1) An on-site Stage 1 audit to determine the state of readiness of the HACCP, Pre-requisite and food safety management systems (usually 1 day). This relates to ISO22000 only. FSSC requirements are assessed during the stage 2 audit.
- 2) A stage two visit. This is a full on-site Stage 2 audit, which will vary dependent on: the type of operation, the number of employees and the management systems. A further half a day is required to prepare the report. If an FSSC audit is being conducted, time will be added to the stage 2 audit in order for this to be conducted.

Once certified, surveillance audits are undertaken at a frequency of 6 or 12 months, as determined at the time of the proposal. These surveillance audits will between them cover the entire scope of the standard. A full renewal audit is carried out in the third year.

Arrangements for audits will be fully discussed in advance and the audit allocated to an experienced auditor with relevant industry knowledge and expertise. Confirmation will be sent to the site and/or agent, detailing the audit date, time and audit plan.

Travel arrangements including flights, hotels, car hire as required will normally be organised in consultation with the customer and the auditor to ensure the most efficient and cost effective service.

### **3 Certification Charges and Invoicing**

Assessment charges are calculated after consideration of the size, type and location of the plant and in accordance with the guidance given in ISO 22003 Annex B (Food Safety Management Systems – Requirements for bodies providing audit and certification of food safety management systems).

### **4 Scope of Assessment**

The scope of the audit will be defined with the client prior to undertaking the audit and reconfirmed at the opening meeting. Parts of a site or operation may be excluded from the scope; such exclusions; will be clearly defined in the report and certificate. However, it should be noted that it is not acceptable to exclude part of the processes, sectors, products or services from the scope of certification when those processes, sectors, products or services have an influence on the food safety of the end product. In addition, the standard will be used in its entirety and no relevant elements of the ISO22000 standard may be omitted.

Audits against the ISO 22000 Standard may be combined with other audit activities, either recognized schemes such as IFS or BRC, or bespoke audits at the clients request.

### **5 Preparation for the Assessment**

Prior to each assessment the operation should be reviewed in relation to the requirements of the Standard with a view to making any necessary amendments or improvements to the operation and systems. It is the supplier's responsibility to ensure that they are using the most up to date issue of the ISO22000 standard and the ISO/TS22002-1 standard for FSSC certification.

It is important that the production programme at the time of the audit represents products included within the intended scope of certification. Where possible the widest range of these products shall be in production for the auditor to assess. Where the product range is large or diverse the auditor has the discretion to continue the audit until sufficiently satisfied that the intended scope of the certification has been audited.

### **6 Assessment Process**

Audits will usually be conducted in English, however NSF Certification UK have the facility to offer foreign language audits through the NSF Certification UK network of local offices.

Audits consist of six elements:

- Opening meeting
- Review of the site's HACCP and pre-requisite programme
- Factory inspection – assess implementation of the FSQMS and interview staff (Stage 2 and surveillance audits only)
- Document review
  - o Food Safety Management Systems.
  - o Performance monitoring, measuring and reporting
- Check back of audit trails, verify and further documentation checks (stage 2 and surveillance audits only)
- Final evaluation of findings by the auditor in preparation for the closing meeting
- Closing meeting

It is expected that at the opening and closing meetings those attending on behalf of the company will be senior managers who have the appropriate authority to ensure that corrective action can be progressed, if non-conformities are found.

During the stage 1 audit, a desktop review is conducted which will result in a written report detailing any areas of potential non-conformity which should be addressed prior to the stage 2 audit. These potential non-conformities are not allocated significance. The purpose of the stage 1 audit is to assess the readiness of the company prior to conducting the stage 2 audit. The stage 1 audit is conducted up to 6 months maximum, prior to the stage 2 audit.

During the stage 2 and surveillance audits, detailed notes are made of the client's ability to comply with the standard. These will be used as the basis for the audit report. Should a clause of the standard not be met, the auditor will consider the nature and significance of any non-conformity (critical, major or minor) against the standard and the site representative shall be made aware.

At the closing meeting, the auditor will present his/her findings and discuss any non-conformity's that have been identified. The auditor will prepare a copy of the audit summary and non-conformities, which are left with the company's technical representative on the day or in exceptional circumstances provided within 1 day of the audit. The company will be advised of the action to be taken regarding the non-conformities; critical and major non-conformities must be closed out before certification can be awarded, whereas minor non-conformities can be reviewed at the next surveillance visit.

## **7 Assessment Report**

After each assessment a full written report is prepared by the assessor.

## **8 Corrective Actions**

In order for a certificate to be issued it is necessary for any Critical and major non-conformities to be corrected and the appropriate documentary evidence provided to your local office, as discussed with the assessor at the closing meeting of the audit. This evidence must be provided to your local office within 90 days of the initial certification audit and 28 day for surveillance audits. The evidence is then verified independently by NSF Certification UK Ltd, prior to approval.

For minor non conformities an action plan is required to be submitted as above, also within 90 days of the initial certification audit and 28 days of surveillance audits.

## **9 Distribution of Assessment Report**

After initial preparation of the report, this is usually held for the receipt of evidence of corrective action taken in response to critical or major non-conformities, the auditor or other technically competent trained person will check the evidence of corrective action and corrective action plan provided. The report is then further checked and signed off together with verification of any evidence of corrective actions, by a technically competent authorised manager. The report is despatched to the client usually within 15 days of the receipt of documentary evidence.

## **10 Certification Decision**

The decision to award certification has to be taken following a review of the audit report and any documentary corrective action provided, independently by NSF Management and cannot therefore be given at the audit, but the auditor can advise the client of their recommendation.

## **11 Certificate**

Certificates will be issued to clients who meet the requirements of the standard and in accordance with the requirements of ISO17021.

The certificate is issued for a period of 3 years and is maintained subject to satisfactory surveillance audits. The certificate remains the property of NSF Certification UK and is issued subject to the client complying with the NSF Certification UK Scheme Regulations.

## **12 Maintaining Certification**

It is the client's responsibility to maintain certification.

The issue of the certificate provides an assurance to customers that NSF Certification UK has assessed the certified site and is satisfied that the requirements of the standard have been met through the audit and any corrective actions and that processes are in place to ensure that the standard is maintained for at least the duration of the certificate.

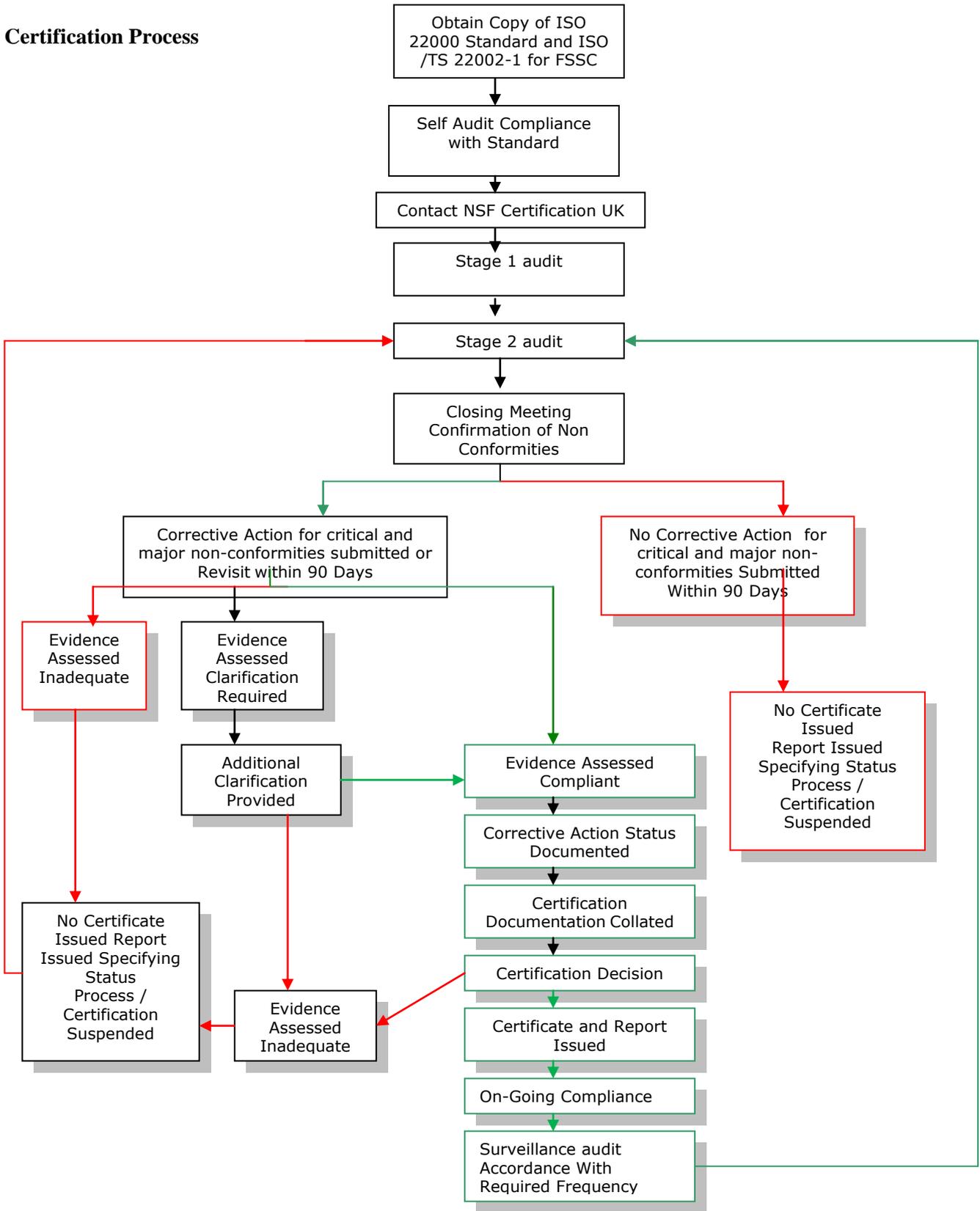
It is important therefore for the integrity of the standard that in the event that there are substantial changes to the premises or products, these must be notified in writing to NSF Certification UK.

In the event of the company becoming aware of possible legal proceedings with respect to product safety or legality, or in the event of a product recall; the company is obliged to make NSF Certification UK aware of the situation within 3 working days. We in turn are obliged to take appropriate steps to assess the situation and any implications on the certification, and to take any appropriate action.

## **13 Complaints and Appeals**

NSF Certification UK operates a documented complaints and appeals procedure as part of the quality system. Complaints and appeals must be made in writing by named person(s) and addressed to the Quality Manager, NSF Certification UK Ltd, Long Hanborough, Oxford, OX29 8SJ.

**Certification Process**



# DOCUMENT CHANGE RECORD

<b>Document Title: ISO 22000 Service Protocol</b>	
<b>Issue Number : 5</b> <b>Issue Date: 31/03/13</b> <b>Changed by: Alison Britton</b>	<i>Reason for Issue / Changes to Document:</i> <ul style="list-style-type: none"> <li>• <b>Change time length required for submit the corrective evidence after surveillance audit</b></li> </ul>
<b>Issue Number : 4</b> <b>Issue Date: 25/03/13</b> <b>Changed by: Alison Britton</b>	<i>Reason for Issue / Changes to Document:</i> <ul style="list-style-type: none"> <li>• <b>Update of ISO22000 protocol major reformatting and rebrand to NSF Certification UK</b></li> </ul>
<b>Issue Number : 3</b> <b>Issue Date: 17/07/08</b> <b>Changed by: Amanda McCarthy</b>	<i>Reason for Issue / Changes to Document:</i> <b>Correction of terminology. Addition of 3.16 - Recertification, and 3.17 – Customer Feedback</b>