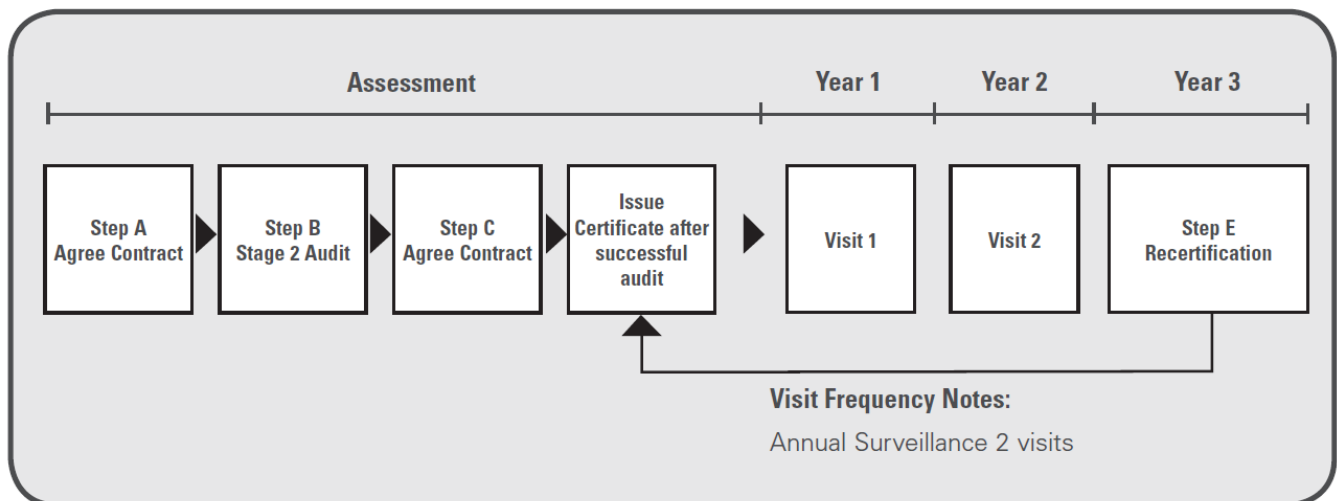


ISO 22000 FOOD SAFETY MANAGEMENT SYSTEMS FSSC 22000 FOOD SAFETY SYSTEM CERTIFICATION

This document outlines the audit process for the above referenced standard. It outlines the stages to audit and gives guidance on what you need to do at each stage.

ACCREDITATION STATUS

SGS holds accreditation for ISO 22000 and FSSC under a variety of accreditation bodies. During the course of reviewing your application the most appropriate accreditation body will be selected. Once you have been certified you will be permitted to use the SGS logo in conjunction with the accreditation body logo. Once you are successfully certified to FSSC 22000, you will also be permitted to use the FSSC 22000 logo.



STEP A

ACCEPTING THE SGS CONTRACT AND WHAT YOU NEED TO SEND US

A proposal is submitted by SGS for your consideration. We are happy to arrange a visit or discussion with a Sales Manager or an Auditor to outline the process and discuss your requirements. This proposal is valid for 60 days. Once the 60 days end, we will review the contract again and issue a new proposal if necessary.

Application: To apply for registration the application form must be completed, signed and returned to the relevant SGS office before work can commence. Your application will be processed and one of our registered lead auditors will contact you to arrange the next steps of the audit process

What you need to send us: You do not need to make any payment on application. The stage I audit will be on site. It is not necessary for you to send your system documentation at this stage; however, if you do enclose documents, please make sure these are controlled. They will remain your property and we will return these to you when the audit process has been completed.

FSSC annual fees: SGS has to collect the annual fee and pass it on to the foundation. An additional annual fee of €125 is therefore charged to you at cost and paid to the foundation.

STEP B

PRE-AUDIT (AT YOUR REQUEST)

This activity is conducted at your request should you feel a pre-audit would be beneficial. The pre-audit process is designed to ensure you are ready to proceed to the next stage of certification. The process is designed to ensure that you have considered all of the requirements of ISO 22000:2005 and/or FSSC 22000

This stage also allows us to plan competent and sufficient resources for the main assessment, and to prepare working documents and audit plans. It also allows us to provide immediate, focused feedback before you progress to the next stage.

STEP C

STAGE I AUDIT – PREPAREDNESS REVIEW

This activity is conducted at your site once we have received your application. The audit process includes an appraisal of your Food Safety Management System documentation and intended scope of certification, including processes and locations, related statutory and regulatory aspects and compliance. This stage will also include:

- An evaluation of your location and site-specific conditions, and discussions with you to determine the preparedness for the stage II audit
- A review of your status and understanding regarding the requirements of the standard, in particular with respect to the following:
 - Prerequisite programmes have been identified and are appropriate to the business (e.g. regulatory and statutory requirements)
 - Completeness and accuracy of hazard analysis
 - Your FSMS includes adequate process and methods for the identification and assessment of the food safety hazards and subsequent selection and categorisation of control measures (combinations) whether they need to be managed through operational prerequisite programmes or by the HACCP plan
 - Currently applicable food safety legislation is in place for the relevant scope of certification
 - The FSMS is designed to achieve your food safety policy
 - The FSMS implementation programme justifies proceeding to the stage II audit
 - The validation, verification and improvement programmes conform to the requirements of the ISO 22000 standard
- A review to ensure that internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that you are ready for the stage II audit

This is to determine compliance with the standard and also to prepare allocation of resources and working documentation for the stage II audit.

You will receive a stage I audit report outlining any shortfalls to enable immediate action prior to moving forward through the process. An itinerary for the stage II audit will also be forwarded to you at this stage.

STEP D

STAGE II AUDIT – ASSESSMENT PROCESS: ON-SITE AUDIT

This stage is usually conducted several weeks after the stage I activity to ensure that you have time to implement any of our findings. We are led by the outcome of that stage 1 audit in relation to the amount of time between

these stages; however, planning the required dates into the schedule is crucial. No more than 6 months are allowed between the stage 1 and stage II audit

The on-site audit determines compliance against your documented system and ISO 22000:2005 and/or FSSC 22000. In order to fully assess the agreed scope it is necessary that the products included within the scope are in manufacture/process at the time of the audit. Should any product or process not be available for review during the audit, then these items will not be included in the scope of the certificate.

All assessment conclusions are based on sampling of audit evidence to demonstrate effective implementation of the management system, control over the processes and progress made towards achieving your stated food safety objectives.

At SGS our audit approach is designed to contribute value to the process and also ensure that your management system is achieving your goals.

On conclusion of the audit the auditor will make a recommendation dependent on findings. This recommendation will reflect the level of findings identified during the audit.

Audit Findings: If a critical or major non-conformance is identified and is caused through a significant breakdown of system control, the certification decision will be deferred until corrective action has been taken. Minor non-conformance will not prevent recommendation for registration but may delay it, as planned action must be submitted to and reviewed by SGS prior to the certification decision taking place. It is therefore recommended that, where possible, this is presented to the auditor at the closing meeting. Verification and closure of minor non-conformance will take place at the next routine surveillance visit. Observations are opportunities for continual improvement or best practice.

Reporting/Certificate issue: At the end of the stage II audit, the auditor will make their recommendation on site and talk through the findings. This will include confirmation of the recommended scope following assessment. The report is then compiled off-site and reviewed and approved by an authorised report signatory. Once the certification decision has been made, the certificate is processed and sent to you.

FSSC 22000 Certificates Directory: When the certificate is issued the details of the certificate are also uploaded to the FSSC 22000 Certificates Directory and the audit details will be displayed on the public directory at <http://www.viasyst.net/fssc>.

AS OF 1 JANUARY 2015 IT IS A REQUIREMENT OF THE FOUNDATION THAT AUDIT DETAILS AND NON-CONFORMITIES RAISED AT THE AUDIT ARE UPLOADED TO THE FSSC DATABASE. THESE WILL NOT BE VISIBLE ON THE PUBLIC FSSC CERTIFICATES DIRECTORY.

STEP E

ONGOING MAINTENANCE: SURVEILLANCE VISITS

Once issued certificates are only valid subject to satisfactory maintenance of your system. Ongoing audits (surveillance visits) are conducted either six-monthly (ISO 22000 only) or annually to verify continued implementation of your food safety management system in accordance with “planned arrangements” and the requirements within the standard. The first surveillance must be conducted within 12 months of the end of the stage II audit. The choice of surveillance period will be agreed at the proposal stage and will depend on the scale, nature of your operations and scope of certification. For ISO 22000, certain mandatory elements will be reviewed at every visit together with other pre-selected processes. For FSSC, all processes and procedures will be reviewed. We will work with you to identify areas that are not conforming to support opportunities for improvement. An itinerary will be forwarded in advance of the agreed audit date.

UNANNOUNCED SURVEILLANCE VISITS

For FSSC 22000 it is mandatory that at least one surveillance visit in the audit cycle is unannounced. You will not receive any advance notification of the unannounced audit. No audit plan will be provided for the unannounced

audit, and it is required that the first part of this audit is spent in the facility (although supporting documentation may be required to complete an audit trail).

- a) You are permitted to nominate up to 15 blackout days when it would not be suitable to host the audit. SGS will contact you at the start of the certification year to establish the blackout days.
- b) Not considered within the blackout days are planned periods of no production or other shutdown periods. These should also be notified to SGS in order to best schedule the unannounced visit.
- c) Unless an auditor turns up on an agreed blackout day, you are obliged to accommodate them. In the event that the certified organisation refuses to participate in the unannounced audit, the certificate shall be suspended immediately and SGS shall withdraw the certificate, if the unannounced audit is not conducted within a six-month time frame.
- d) If access is denied to the auditor the organisation will be liable for all costs.
- e) A brief opening meeting will be held, and the auditor is required to have entered the manufacturing area within 1 hour of arriving on site. If delays are made that prevent the auditor entering the manufacturing area within this time, the audit can be aborted and you will be liable for all costs.

STEP G

TRIENNIAL RE-CERTIFICATION

SGS operates a system of continuous certification. As part of this programme it is not necessary to conduct a complete assessment. Rather, we conduct a recertification visit which is more in-depth than a surveillance visit and will ensure that we review all aspects of your system. The recertification audit must be carried out and the critical/major non-conformances closed prior to the expiry of your current certificate. The recertification audit is the first visit of your new certification cycle.

GENERAL

PAYMENT TERMS

We will send you an invoice for the fees when we have carried out each stage. Once you receive an invoice, you must pay it within 30 days after the date of invoice (no matter what your company's payment terms) unless we agree otherwise in writing.

If you require a purchase order it is your responsibility to ensure this is supplied to SGS, either prior to the date of audit in the booking confirmation letter, or given to the auditor during the on-site visit.

CHANGES TO SCOPE

In the event of any developments that will alter your certification, e.g. site or scope additions, reductions, mergers or acquisitions, it is important for you to inform us at your earliest convenience. Changes to scope can be covered at any time in the process. A revised contract will be issued in advance. The scheduling can take place at the same time as a surveillance/renewal visit, which is the most cost-effective method, or can be carried out between visits depending on your requirements and instructions. As this is personal to your individual business needs, it is anticipated this would need to be discussed between SGS and you, the client.

SWITCH OF CERTIFICATION

If you have a current certification assessed by an accredited certification body, and this certification is up to date and in good standing, you can switch to SGS at any time in the process. We will conduct a review of your current certification and, in order for us to do this, you will need to send us a copy of your current certificate, previous visit



YOUR CERTIFICATION PROCESS EXPLAINED

reports, including the status of any outstanding corrective actions and the date of your last visit. Following the review, we will provide you with a proposal to take over this certification. Once you have accepted our proposal and dates have been arranged, we simply take over the next visit.

The process for reporting and certificate issue is the same as outlined above in step D.

COMMUNICATION WITH SGS

In the event that the company becomes aware of legal proceedings with respect to product safety or legality, or in event of a product recall, the company shall immediately make SGS aware of the situation. (For product recall within 3 working days.) SGS shall in turn take the appropriate steps to assess the situation and any implications for the certification, and shall take appropriate action. We will ask for a full report and investigation to determine the root cause and the corrective actions taken. We may also carry out an announced or unannounced visit to verify that certification is still valid. This will be at your cost.

PRESENCE OF ADDITIONAL PERSONNEL AT THE AUDIT

It is a condition of undertaking the audit that the auditor can be accompanied by other personnel for training, assessment or calibration purposes. This may include:

- Training of new auditors
- Routine SGS witnessed audits required for accreditation
- Routine Accreditation Body witnessed audits required for accreditation
- Witness audits by the FSSC Foundation

You will normally be advised of any additional personnel prior to the audit. Apart from trainee auditors this personnel is independent of the audit process and will not affect the outcome of the audit unless a food safety or legality issue that would result in a critical issue is discovered.

ADDITIONAL AUDITS

SGS and the foundation reserve the right to conduct announced or unannounced visits to the site during the certification cycle once certificated. This may be as a result of complaints or as part of the routine compliance activity.

Visits to follow up complaints will be chargeable at the usual rate.

YOUR AUDITOR

Due to the speciality of ISO 22000 and FSSC standards and the stringent requirements imposed for qualifying auditors, it cannot be guaranteed that the auditor allocated will be local to your area. We can assure you that the auditor will have specialist knowledge of the product(s) and your type of activities.

ABOUT SGS

SGS is the world's leading inspection, verification, testing and certification company. SGS is recognised as the global benchmark for quality and integrity. With more than 90,000 employees, SGS operates a network of over 1,800 offices and laboratories around the world.

We offer the following main services:

- Inspection services – we inspect and check the quantity, weight and quality of traded goods. Inspection usually takes place when goods are moved from one type of transport to another.
- Testing services – we test quality and performance of products against various health, safety and regulatory standards. We use state-of-the-art laboratories on or close to customers' premises.



YOUR CERTIFICATION PROCESS EXPLAINED

- Certification services – we confirm that systems or services meet the standards set by governments, standardisation bodies (for example, ISO 9000) or our customers' products. We also develop our own standards to meet our clients' needs. SGS as an accredited certification body can provide confidence to clients that professional, experienced auditors are used and standards are consistently applied.
- Verification services – SGS verification services ensure that products and services comply with global standards and local regulations. Combining global coverage with local knowledge, unrivalled experience and expertise in virtually every industry, SGS covers the entire supply chain from raw materials to final consumption.
- Training services – we offer over 50 different training solutions in a variety of management systems complemented by a wide range of other specialised courses. These are offered publicly via e-learning or can be delivered in-house to suit your needs.

Our certification section provides independent certification and audits to a range of standards, including:

- Quality Management Systems (ISO 9001)
- Environmental Management (ISO 14001, BS 8555 and EMAS)
- Information Security Management (ISO 27001)
- Public Sector Customer Service Excellence
- Occupational Health and Safety (OHSAS 18001)
- Corporate Responsibility (SA 8000 and SRA)
- EC Directives (CE Marking) and other regulations
- Medical Device Certification (ISO 13485 and CMDCAS)
- British Retail Consortium Global Standards
- Food Safety Management Systems (ISO 22000)

For more information on any of our services visit www.sgs.com.