

OP-19 (9)

Certification Process & Decision

Purpose: To provide guidance on certification granting and decision making process.

Scope: Guidelines for all kind of audits that comes under the ISO 22000 standards.

Responsibility: DIRECTOR, Quality Assurance Executive, Auditor , Application Reviewer

Note: along with this document please refer to section 9 of Quality Manual (OCAF/QM_071).

Procedure:

Upon request, ONECERT INTERNATIONAL PRIVATE LIMITED sends a detailed application package including the application form and procedure for ONECERT INTERNATIONAL PRIVATE LIMITED certification to the client to apply for certification the client needs to complete the application form and return it to OneCert International private limited.

After receiving the filled in application form, OneCert International private limited sends an offer for its services along with the scale of fees. On accepting the offer, the client needs to send the Registration and Application Fees as advance in the form of DD in favor of M/s. OneCert International private limited Agri Certifications Private Limited payable at Jaipur. OneCert International private limited will then send contract to the client which should be read, understood and signed by the responsible person of the client organization and send back to OneCert international private limited.

1. Application:

Contract reviewer will ensure that applicant organization have appointed an authorized representative (Food Safety team leader or Management representative) to provide the necessary information to establish the following:

- a) the requested scope of the certification
- b) the general features of the applicant organization, including its name and the address(es) of its physical location(s), significant aspects of its process and operations, and any relevant legal obligations;
- c) general information, relevant for the field of certification applied for, concerning the applicant organization, such as its activities, human and

- technical resources, functions and relationship in a larger corporation, if any;
- d) information concerning all outsourced processes used by the organization that will affect conformity to requirement;
 - e) the standards or other requirements for which the applicant organization is seeking certification;
 - f) Information concerning the use of consultancy relating to the management system.

Application review:

Once complete application of client is received, our contract reviewer will review the same on the basis of applicable standards to ensure the following:

- a. the information about the applicant organization and its management system is sufficient for the conduct of audit
- b. the requirements for certification are clearly defined and documented, and have been provided to the applicant organization; If any incomplete information/ non compliance are found or any additional information is needed, we will contact the client
- c. any known difference in understanding between us (OneCert international private limited) & applicant organization is resolved
- d. OneCert international private limited has the competence & ability to perform the certification activity;
- e. The scope of certification sought, the location(s) of the applicant organization operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.);
- f. Records of the justification for the decision to undertake the audit are maintained.

Once required information is gathered or requirements raised (if any) are completed, an on site audit is planned on a mutually agreed date and time.

Contract reviewer will appoint the auditor/ audit team as per the requirement of the client's management system in consultation with the Quality Assurance Executive.

This reviewing of application usually takes about a couple of days based on the information provided by applicant.

Stage 1 Audit

Upon receipt of the signed contract, the client should be informed of the date for stage 1 audit which is carried out at off site (under exceptional cases as defined in OP 09) or onsite to assess the client's food safety management system conform

with all the requirements of the ISO 22000:2005 standard, to verify that the food safety management system is designed to achieve the organization's food safety policy and objectives, to assess the capability of the food safety management system to manage compliance with statutory, regulatory and contractual requirements and to confirm the planned arrangements for the Stage 2 audit.

It is necessary that client completes appropriate correction and corrective actions latest before the start of the Stage 2 Audit.

Stage 2 Audit

The Certification Audit shall be conducted within maximum 6 months of the 1st stage audit as defined in procedure OP-09.

The stage 2 audit takes place at client's site to confirm:

- to verify that the information and evidence of conformity is achieved to all requirements of the food safety management system standard,
- to assess the capability of the food safety management system to perform key activities, such as processes & activities including production methods, controls, PRP's, HACCP plans & procedures as well as competency of personnel managing and involved in the food safety functions, in conformity with ISO standard,
- to assess the client's food safety management system in compliance with statutory, regulatory and contractual requirements;
- to confirm that the client's food safety management system is effective in achieving the stated food safety policies and objectives

Based on the objective evidence of conformity or nonconformity to the requirements of ISO 22000:2005, the audit team leader in consultation with audit team members arrives at audit conclusion based on audit findings. If non-conformities are found during the audit, a corrective action request form is provided to client to comment on the nonconformities and a corrective actions plan will be decided in consultation with the client who should submit the corrective action report to, OneCert international private limited upon closure of the non conformities.

If there is any major non –conformity found during the stage 2 audit, the effectiveness of the corrective action will be verified by an on-site follow up audit.

Issuing Certificate:

When all corrective actions agreed between the client and the audit team have been completed & Upon receipt of the full payment, the audit report will be forwarded to reviewer for further review & if reviewer will grant the permission

for certification, then it will be forwarded to the Director of OneCert international private limited who will act as a signing authority to finally grant the certification. If additional documents are required, a communication will be sent to the client.

The certificate(s) will identify the standard(s) to which the client has been found compliant at the time of audit and the scope of the management system.

Certification decision

Reviewer will take the certification decision based on the audit conclusions and recommendation of audit team. Certification decisions will be intimated to the client.

Post certification activity:

➤ **Surveillance audits**

Audit is conducted for first year (within calendar year from certification decision date) and second year (within calendar year from first surveillance audit)

➤ **Recertification Audit**

Recertification audit is conducted in the same manner as of initial certification audit within every 3 years but before the expiry of certification.

The postponement of recertification audit date beyond the expiration date of certificate is not allowed.

➤ **Certification Maintenance:**

The client is required to inform OneCert International private limited promptly of any significant changes of its product(s) or services that impact the certified management system(s) or any other circumstances, which may affect the validity of its certification. For example: Change of site, Additional sites, Change of process, Change of ownership, Change of scope, change in number of employees etc. OneCert International private limited will then take the appropriate action, such as, conducting a special visit and/or changing the certification.

Non-performance of surveillance visits at interval greater than 365 days results in certificate losing its validity. Validity of the certificate cannot be extended beyond the expiry date indicated on the certificate and reassessment audit (if applicable) must be completed within the validity period including the time required and foreseen for completing the corrective actions on the non conformities if found any during the re-certification audit.

If necessary, OneCert international private limited may have to conduct audits at short notice to investigate complaints, or in response to changes or as follow up on suspensions/withdrawals. In such cases, advance intimation will be given to the clients.

Suspending, withdrawing or reducing the scope of certification

OneCert International private limited reserves the right to suspend, withdraw or reduce the client's scope. It can be done in following events:

- The client's certified food safety management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,
- The certified client does not allow surveillance or recertification audits to be conducted at the required frequencies,
- The certified client has voluntarily requested a suspension
- Immediate risk to the safety of the product impacting consumer health can lead to suspension, withdrawal or reduction depending on the severity of the case (additional requirement FSSC 22000 part 4-clause 4.3)

Under suspension, the client's management system certification is temporarily invalid. OneCert International can restore the suspended certification if the issue that has resulted in the suspension has been resolved . Further failure to resolve the issues that have resulted in the suspension within a time frame shall result in withdrawal or reduction of the scope of certification. The maximum allowable suspension period will be 6 months within which the client has to revoke its certification status from suspended to operational status.

Under the category of reduction of the scope of certification, OneCert international private limited will exclude the scope not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those areas of the scope of certification. Such reduction of scope will be in line with the requirements of the ISO 22000:2005 standard used for the certification.

OneCert international private limited reserves the right to publish the fact that such action has been taken.

Balance Payment

The client must send the balance amount, if any, of the final invoice to OneCert international private limited.

Additional Requirement for FSSC 22000:

1. OneCert International will inform the organization in writing of the withdrawal or suspension or reduction of scope decision within three (3) days from the change in status of certified client's certification.
2. OneCert International ensures that the organization takes steps to inform clients of their suspension, withdrawal or scope of reduction status to include advertising and product labelling accordingly, if applicable.

In the event the organization is either unable or unwilling to inform their clients themselves, OneCert International can display organization's status open-wide by using direct mail or advertising for example, to protect the integrity of its own Food Safety Management System certification service.

Certificates & OneCert International Private Limited Logo/Marks

If the company is in compliance with the relevant standard requirements, they can advertise their company profile as ISO 22000:2005 certified company with OneCert international private limited logo. Product labeling doesn't come under scope of certification.

The OneCert International private limited logo and accreditation mark(s) are sent (soft copy by mail) to the certified client along with certificate document.

The client has to submit the sample of matter printed with logo either by soft or hard copy to ONECERT INTERNATIONAL PRIVATE LIMITED for the final approval of logo usage.

Handling Appeals and Complaints

Clients are free to approach OneCert International private limited for any type of complaints or appeals against the OneCert International private limited staff, OneCert International private limited certification system or other clients certified by OneCert International private limited. Any complaints or appeals have to be made either in writing or through e-mail or phone to the OneCert International private limited office. Complaints will be handled confidentially. The Director of