

FSSC 22000

REMOTE AUDITS AND THE USE OF ICT



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Market Development Director

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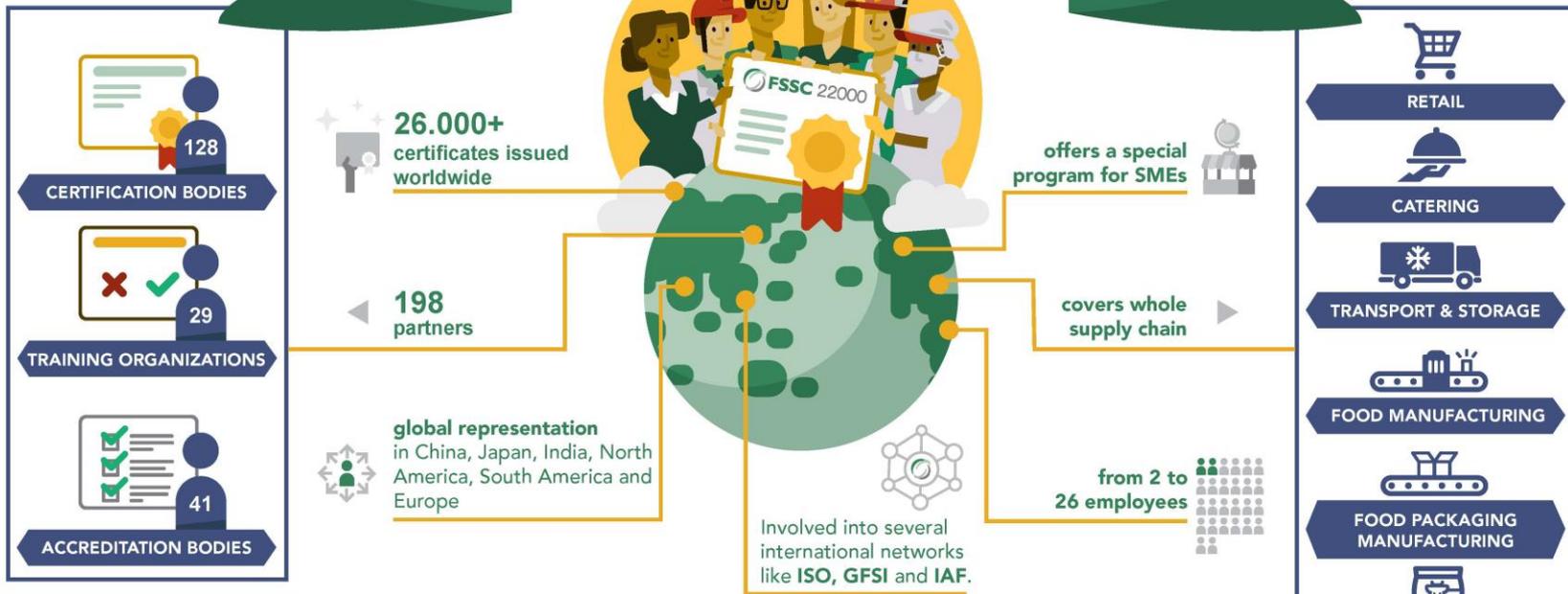


TODAY'S TOPICS

- Overview FSSC 22000
- FSSC 22000 and COVID-19
- The use of ICT in partially remote audits
- The Full Remote Audit Option
- Experiences from practice

FSSC 22000

10 YEARS OF STEADY GROWTH



10 YEARS OF CONTINUOUS IMPROVEMENT

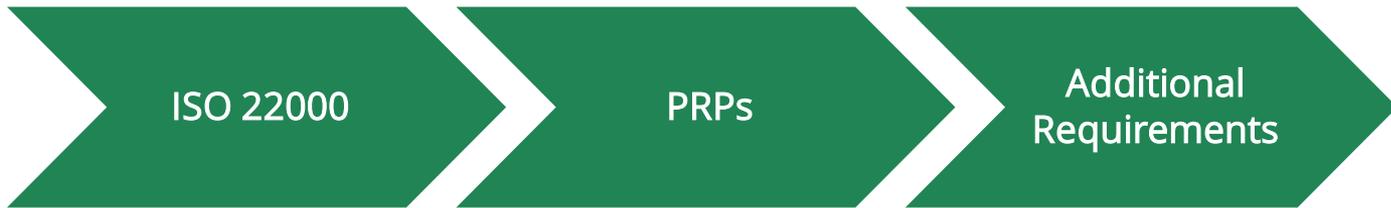


WHO MANAGES FSSC 22000?

The FSSC 22000 Scheme is governed by an independent Board of Stakeholders.

An Advisory Committee ensures transparency and involvement of the industry.

The Advisory Committee reports to the Board of Stakeholders.





FSSC 22000:

Framework for a robust and effective Food Safety Management System

Fully recognized by GFSI

Based on existing ISO Standards

Covers the whole Food Supply Chain

Ensures reliable certification

Local representation

Facilitates Integrated Management Systems

Includes Training Program

FSSC 22000 AND COVID-19

FSSC 22000 and COVID-19

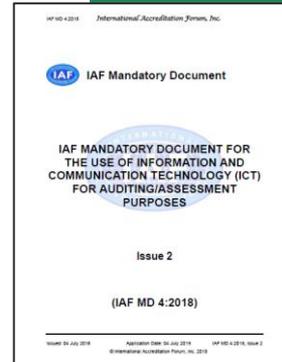
- FSSC 22000 continuously monitored the impact of the pandemic and adapt to the needs of industry without compromising the integrity of the FSSC 22000 audit or the certification process.
- Offers option for maintaining certification based on risk assessment
 - Extension of certificate validity for a max 6 months or
 - Postponement of the audit
- Introduced audit methodology for the use of ICT to provide flexibility
 - Use of ICT in a partially remote option – (**Annex 9**)
 - Voluntary option for remote auditing (**Full Remote Audit Addendum**)
- Providing COVID-19 Resources, Support and Helpdesk for CB's, TO's & AB's www.fssc22000.com
- **Contact CB for further information / support**

USE OF ICT FOR FSSC 22000 AUDITS

Use of ICT in FSSC 22000 Certification



- ICT (Information and Communication Technology)
 - Use of technology for gathering, storing, retrieving, processing, analyzing and transmitting information; includes smartphones, computers, drones, video cameras, wearable technology, artificial intelligence etc.
- Must be appropriate for auditing/assessment both locally and remotely and offer efficient alternative methods for delivering a robust audit process.
- Offers a mutually agreed voluntary option for maintaining certification
- References the requirements of the International Accreditation Forum
 - **IAF MD4:** Requirements for the use ICT and personnel competence
 - **IAF ID3:** Requirement: for risk assessment criteria of serious events



ICT Audit Approach - Annex 9

- Voluntary option: to be agreed between CB and certified organization
- Defines a 2-step approach based on a remote audit followed by an onsite verification or implementation audit

Step 1 : Remote Audit
(desktop review using ICT)

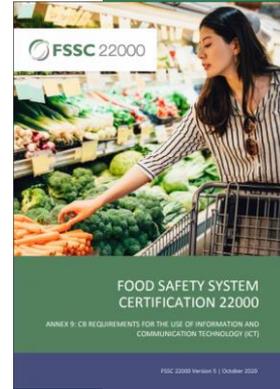
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Step 2 : On-Site Audit
(at least 50% of duration)

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Full Audit

- CB must conduct a prior risk and feasibility assessment to ensure the ICT approach is a viable option
- **Meets GFSI Benchmarking Requirements**



Risk Assessment

- Required to monitor the impact of the ongoing pandemic and prior to ICT audit
- The full remote audit option can only be utilized when the risk of maintaining certification is determined as being low
- The feasibility assessment must determine, in conjunction with the certified organization, whether a full remote audit is a viable option and whether the full audit objectives can be achieved through the use of ICT.
- Ref **IAF MD 3** and **FSSC 22000 COVID-19 Policy**

Feasibility Assessment

- Consider FSMS maturity and performance history
- Will the certified organization permit use of ICT?
- Can it accommodate remote audit activity (i.e. availability of records in electronic format or document reader) ?
- Any restrictions of data protection and security measures?
- What ICT tools are available, and do they have the capability to be used in the remote audit ?
- Is the communication in the same language?
- What might the impact be on audit duration and audit planning ?

Application – Annex 9

- Initial Certification Audit
 - Stage 1: Remote
 - Stage 2: On site within 6 months
- Surveillance Audits
 - 1st surveillance: within 12 months of initial certification date
- Regular recertification
 - Remote and on-site audits completed before expiry of certificate
- Unannounced surveillance Audit
 - First part on-site audit (unannounced), remote audit within 48 hours
- Transition Audits
 - From ISO 22000 or other GFSI program

FSSC 22000 FULL REMOTE OPTION

Full Remote Audit Addendum

- Voluntary fully remote audit option – October 2020
- Offers accredited, non-GFSI recognized, certification
- Only applicable when on site access is not possible
 - Due to a serious event e.g. Pandemic
- Prior risk and feasibility assessment required

IAF MD4: Requirements for the use ICT and personnel competence

IAF ID3: Requirement: for risk assessment criteria of serious



Full Remote Audit Option

- Replaces a **FULL AUDIT** against **FSSC 22000** scheme requirements
- Must meet the same requirements as an on-site audit –site must be operating
- Conducted as a continuous audit- could be spread over several days
 - Several means of ICT can be used
- **Report** should indicate that the audit was conducted as a **Full Remote Audit**.
 - Include details of the serious event and the ICT methods used,
 - Feasibility and risk assessments uploaded to the FSSC portal.

Application: Full Remote Audit Option

- FSSC 22000 recertification audits
- Annual, announced FSSC 22000 surveillance Audits
- Transition audits (from ISO 22000 or equivalent GFSI program)
- Close out non-conformities- if ICT suitable

Cannot be used for

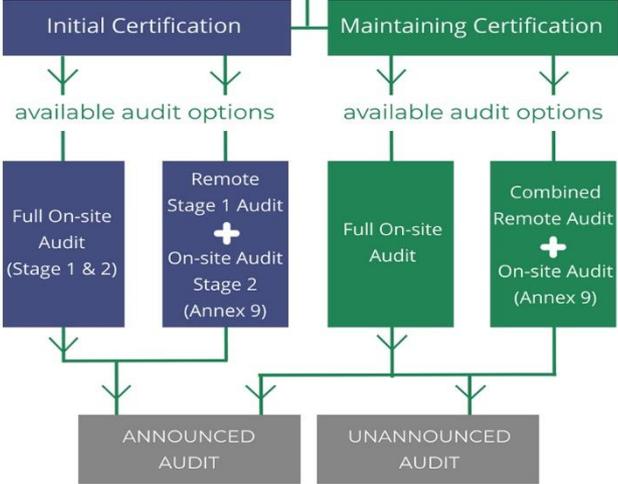
- New certification
- Close out of Critical Non-Conformities
- Completing the Split Process Approach (Step 2) - **Annex 9**

FSSC 22000 AUDIT DELIVERY OPTIONS

Is it possible to conduct an on-site audit?

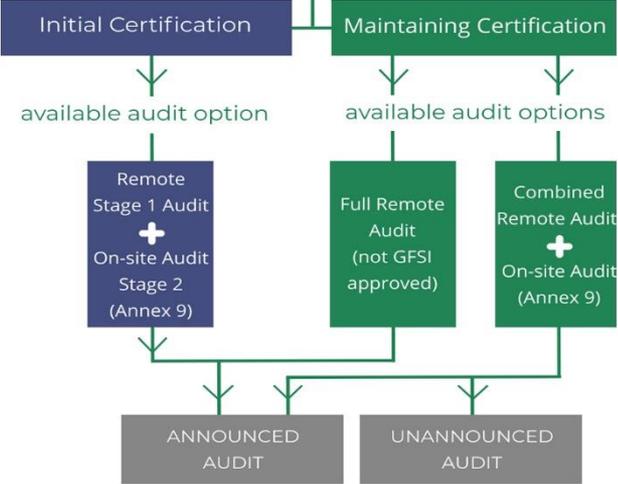
YES

Are you a new or existing site with FSSC certification?



NO

Are you a new or existing site with FSSC certification?



EXPERIENCES AND TIPS FROM PRACTICE

FEEDBACK FROM CB'S

Experiences and tips from practice

Preparation

- Plan of the organization and description of processes are necessary. This information shall be sent in before the audit
- Check/ test if the organization has WIFI + 4G (at least) for use of live streaming/ stable connection. WIFI shall be tested at “worst case spot” of the facilities you want to audit. E.g. in the office there is a good connection, but in certain areas in production this can be more challenging
- Based on the plan, auditor shall prepare a routing through the production/ storage facilities
- Discuss/ agree if the documents are digital available. In case not: company shall be made them available (scanning...)
- Provide sufficient time in audit plan e.g. free to write on minutes/ reading documents/ short breaks

Experiences and tips from practice

During the audit – document check:

- Company shall prepare themselves for the interviews: auditees in-time waiting in the 'waiting room'. Don't let auditees wait too long in the 'waiting room'
- As part of the preparation: more information shall be requested (organization chart/ flow diagrams, overview CCP/ OPRP, but also HACCP verification, management review etc.)
- During the document review switch between reading document as auditor/ asking questions on-line. By reading some documents and preparing questions: audit become more effective (simultaneously go through the document cost more time) and prevent eyestrain.
- If possible, company shall have back up parallel in the session. Questions/ audit trails can be searched directly (more effective).
- Have the interviews in a separate room – background noise of offices can be disturbing.

Experiences and tips from practice

During the audit - tour:

- Auditor shall be directive in steering the auditee. Verification via the received plan to know where you are.
- When entering production site: start with looking around via Livestreaming, don't go directly to the production line/ e.g. metal detector.
- Front/ back camera. Use of earplugs, makes it easier to give direction to the auditee.
- Besides reviewing the production locations – in case of a noisy environment – have interviews in separate (less noisy) location
- Charge phone or other device – spare battery

**STAY SAFE AND HEALTHY!
&
LET'S STAY IN TOUCH!**

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