

## Supplementary appendix – Reference standard: ISO 22000 *current version*

**Edition: January 2023**

### CHAPTER 1 - GENERAL

This supplementary appendix defines the additional and/or substitutive procedures applied by RINA for the certification of Food Safety Management Systems in relation to the requirements of the Rules for the Certification of Management Systems RC/C40

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 *current version*.**

### CHAPTER 2 - REFERENCE STANDARD / CERTIFICATION REQUIREMENTS

#### 2.1

In addition to what is stated in the General Rules for the Certification of Management Systems RC/C40, 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 for the Certification of Management Systems RC/C40, 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 organization (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 organization.

Every information received from the client is reserved.

#### 2.3

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

### CHAPTER 3 - INITIAL CERTIFICATION

#### 3.1

In addition to what is stated in the paragraph 3.1 of the General Rules for the Certification of Management Systems RC/C40, the Organizations wishing to obtain RINA certification for their Food Safety Management System must provide RINA with their main Organization/production data and site location by filling in all parts of the "Informative questionnaire" form available on the website [www.rina.org](http://www.rina.org), and sending it to RINA, which will use it to prepare a quotation. In particular, the organization 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.

### 3.2

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

### 3.3

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

### 3.4

In addition to what established in the paragraph 3.4 of the General Rules for the Certification of Management Systems RC/C40, together with the certification request or subsequently to the same, the Organization must make available to RINA:

- the SELF-ASSESSMENT QUESTIONNAIRE FOR FIRST CERTIFICATION document completed in all its parts, attaching documentation where necessary
- the list of health authorizations / community registrations held by the Organization.

### 3.5

In addition to what established in the paragraph 3.5 of the General Rules for the Certification of Management Systems RC/C40, 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.

### 3.6

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## CHAPTER 4 - MAINTENANCE OF CERTIFICATION

### 4.1

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

### 4.2

In addition to what established in the paragraph 4.2 of the General Rules for the Certification of Management Systems RC/C40, 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 organization 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](mailto: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.

#### 4.3

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

#### 4.4

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

#### 4.5

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

#### 4.6

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## CHAPTER 5 - RECERTIFICATION

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## CHAPTER 6 - CONDUCTION OF AUDITS

### 6.1 General

#### 6.1.1

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

#### 6.1.2

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

#### 6.1.3

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

#### 6.1.4

In addition to what established at point 6.1.4 of the General Rules for the Certification of Management Systems RC/C 40, is considered as major NC as well a situation which can compromise the security of the food products, the failure of the legal requirement<sup>1</sup> of the production and destination country and every situation that can be a serious danger for the consumers.

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

<sup>1</sup> 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.

#### 6.1.5

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## 6.1.6

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## 6.2 INITIAL CERTIFICATION AUDITS

### 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 RC/C 40, 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 Organization;
- 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;
- 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 Organization for the resolution of these findings are verified during the audit stage 2 (see 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 RC/C 40, 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 the deadlines defined above, 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.

### 6.3

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

### 6.4

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## CHAPTER 7 - MANAGEMENT OF CERTIFICATES OF CONFORMITY

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## CHAPTER 8 - MODIFICATION OF CERTIFICATION AND COMMUNICATION OF CHANGES

The requirements of the RINA Rules for the certification of management systems (RC/C 40) and of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.

## CHAPTER 9 - SPECIAL REQUIREMENTS FOR MULTI-SITE ORGANISATIONS

### 9.1

In replacing paragraph 9.1 of the General Rules for the Certification of Management Systems RC/C 40, 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 *current version* 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 RINA audit 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 *current version*.



### 9.3

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

### 9.4

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

### 9.5

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

### 9.6

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## **CHAPTER 10 - TRANSFER OF ACCREDITED CERTIFICATES**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## **CHAPTER 11 - SUSPENSION, REINSTATEMENT AND WITHDRAWAL OF CERTIFICATION**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) and of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.

## **CHAPTER 12 - RENUNCIATION OF CERTIFICATION**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) apply.

## **CHAPTER 13 - CONTRACTUAL CONDITIONS**

The requirements of the RINA Rules for the certification of management systems (RC/C 40) and of the "GENERAL CONDITIONS OF CONTRACT FOR THE CERTIFICATION OF SYSTEMS, PRODUCTS AND PERSONNEL" apply.