ASPIRATA CERTIFICATION ROAD MAP

ROAD MAP TOWARDS SYSTEMS CERTIFICATION

This guide provides prospective clients with an insight into the Aspirata Certification's process as well as associated activities on their way towards systems certification.

Aspirata Certification provides management system certification against the following National and International standards:

i. HACCP 10330:2007/2020 Hazard Analysis and Critical Control Points (Unaccredited)
ii. ISO 22000:2018 Food Safety Management Certification
iii. FSSC vs 5.1 Food Safety System Certification
iv. ISO 9001:2015 (accreditation process in progress)
v. ISO 14001:2015 (accreditation process in progress)
vi. ISO 45001:2018 (accreditation process in progress)
vii. GlobalG.A.P. IFA v5.3 (accreditation process in progress)

Project Activity 1: Gap Assessment

Note that a GAP assessment is not compulsory.

An on-site gap assessment could be conducted on the company's current programs, documentation and management system to identify any areas of non-compliance and propose improvements to comply with the requirements of the chosen international standards.

Project Activity 2: Training Requirements

It is recommended that the persons involved or responsible for maintaining the company's management system attend appropriate management systems training. This could be sourced from various reputable training providers. Consult Aspirata Certification's training calendar to obtain information on public and in-house training solutions offered by Aspirata.

Project Activity 3: System Implementation

This activity is the responsibility of the Company.

The company may appoint an external consultant for assistance.

The activities could include the following as revealed by the GAP assessment:

- reviewing the appointment and functions of team members
- compliance with legal requirements
- effectiveness of the programmes
- product description as required by the standard
- reviewing and evaluating the product flow processes
- supplier communications; customer requirements
- reviewing the hazards, risks and impacts associated with the elected system requirements
- identifying means to mitigate or eliminate the above
- monitoring, verification and validation procedures
- appropriate awareness training of staff in elected management system principles

Project Activity 4: Internal Audits

This activity is the responsibility of the Company.

As part of the implementation process, the applicable management system should be audited internally to ensure that the system is efficiently implemented and operational throughout the organization, prior to certification. This audit should be conducted by the Company's internal auditors or by service provider other than the certification body that is responsible for certification. Guidance or assistance may be obtained from an experienced consultant.

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Project Activity 5: System Certification

- Aspirata Certification is accredited by Joint Accreditation System for Australia and New Zealand (JAS-ANZ) for ISO 22000 and FSSC and in the process of obtaining accreditation for ISO 9001, 14001, 45001 and GlobalG.A.P. IFA.

OUTLINING THE CERTIFICATION PROCESS

Phase 1

Company Basic Data: Aspirata Certification will request you to complete the Company Basic Data and Operations documents and to return these.

Phase 2

A Quotation (year 1) and Cost Estimate (subsequent years) will be submitted for the 3-year audit cycle for each standard required for certification. Aspirata Certification uses the International Accreditation Forum (IAF) table approved by accreditation bodies to quote the required audit-days in performing value adding process-based audits. This Quotation is sent to the client for approval.

Phase 3

On approval of the Quotation, Aspirata Certification will issue you with an Aspirata Service Agreement. The required audit shall then be planned according to the client's arrangements and Aspirata's audit procedures.

Phase 4

The Audit Process is as follows:

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Stage 1:

Stage 1 Audit (mostly document review and site tour): to determine whether the organization has established, implemented and is maintaining the elected Standard as per scope of application. The audit is generally conducted within 1 audit-day at the client's premises (depending on the complexity of the operations). The time period between the Stage 1 and Stage 2 audits is approximately three months, but not longer than six months.

Stage 2:

Certification Audit, which shall be conducted on-site and shall include the documented procedures and process assessment. The auditor(s) will normally record areas of improvements, observations (no observations for FSSC) and non-conformities (findings).

The Corrective Action Plan need to be closed out as follow:

Scheme	Non-conformity
Observations	• Areas of opportunity may be raised but no solutions shall be recommended for ISO 22000 and HACCP • No opportunities can be raised for FSSC 22000 or GLOBALG.A.P.
FSSC Critical Finding	• When a critical nonconformity is issued at a certified site the certificate shall be suspended within 3 days of being issued, for a maximum period of six (6) months. • A follow-up audit shall be conducted by Aspirata Certification within the six (6) month time frame to verify the closure of the critical nonconformity. • The certificate shall be withdrawn when the critical nonconformity is not effectively solved within the six (6) month time frame. • In case of a certification audit the full certification audit shall be repeated.
FSSC Major Finding	• Action plan to be submitted 14 days after nonconformity date. • Evidence of close out to be submitted 28 days after nonconformity raised.
FSSC Minor Finding	• Action plan to be submitted 14 days after nonconformity date. • Evidence of close out to be submitted 28 days after nonconformity raised.

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Scheme	Non-conformity
ISO 22000, 9001, 14001 and 45001 Major Finding	• Action plan to be submitted 30 days after non-conformity date. • Evidence of close out to be submitted 90 days after nonconformity raised.
ISO 22000, 9001, 14001, 45001 Minor Finding	• Action plan to be submitted 30 days after non-conformity date. • Evidence of close out and implementation to be verified at next audit.
GLOBALG.A.P Major Must and Minor Must Finding	• Certification requires 100% compliance with Major must and 95% compliance with Minor must. • Non-conformances shall be signed off/closed within 28 calendar days after the closing meeting. • If non conformances are not resolved within 28 days, Aspirata Certification shall issue a certificate suspension.

Stage 3:

1st and 2nd Year Surveillance audits are conducted on year 2 and year 3 to complete the certification cycle. Implementing the Corrective Action Plans as a result of the audit is similar to the approach followed for the initial audit process (Stage 1 and 2).

Stage 4:

Re-Certification (on year three) is conducted to re-certify the Food Safety Management System. The sample taken during this assessment is much larger than that taken during the surveillance audits and includes an overview of the following elements over the certification cycle:

- Management commitment
- Continual improvement project status
- Customer complaints trends
- Audit trends
- Management review outcomes

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GRANTING AND MAINTAINING CERTIFICATION

1. The persons or committees that makes the decision for granting or refusing, expanding or reducing the scope, suspending or restoring, withdrawing or renewing certification are different from those who carried out the audit, to ensure independence of the certification decision making process and shall have the appropriate competence.
2. Aspirata Certification makes a certification decision based on a technical review of the audit report content and outcome, clearance of non-conformances and effectiveness of the corrections and correction action plans, confirmation that audit objectives have been met as well as the recommendation whether to grant certification, together with any conditions or observations.
3. The certification decision shall be recorded and a copy of this form is kept on the client's file.
4. Aspirata Certification shall communicate the certification decision to the client.
5. The certification certificate shall only be issued after, or concurrent with, the following conditions:
    a. The decision to grant or extend the scope of certification has been made.
    b. Certification requirements have been fulfilled.
    c. The certification agreement has been completed and signed by the client.
6. The maximum certificate validity period is 3 years from the date of initial certification decisions, with subsequent 3 year cycles.
7. Aspirata Certification shall notify the client of a decision not to grant certification, and shall identify the reasons for the decision.
8. Aspirata Certification shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.
9. For more information on Aspirata Certification's process on suspending, withdrawing or reducing scope of certification, please visit http://aspirata.co.za/suspending-withdrawing-or-reducing-scope-of-certification/.