

Requirements for the FSSC 22000 V5 upgrade process

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1. Introduction

This document provides the requirements for the upgrade process from FSSC 22000 V4.1 to FSSC 22000 V5.

The main reasons for changes in the new version of FSSC 22000 V5 are:

- Publication of the new ISO 22000:2018 standard
- Inclusion of the Board of Stakeholders list of decisions
- Compliance with GFSI requirements
- Continual improvement process

The relevant interested parties considered in this document are:

- Certification Bodies (CBs)
- Accreditation Bodies (ABs)
- Training Organizations (TO)

2. FSSC 22000 version 5

2.1 General

- Audits against the FSSC 22000 Scheme requirements V4.1 are only allowed latest December 31st of 2019.
- All issued FSSC 22000 V4.1 certificates will become invalid after 29 June 2021.
- The Foundation FSSC 22000 will publish the new Scheme FSSC 22000 V5 in May 2019.
- Upgrade audits against FSSC 22000 Scheme requirements V5 shall be conducted between 1st January 2020 and 31st December 2020.

2.2 Requirements for Certification Bodies (CBs)

2.2.1 General requirements

- The CB is required to extend its current ISO/IEC 17021-1:2015 accreditation scope to include FSSC 22000 V5 before January 1st, 2020 and provide the new certificate of accreditation to the Foundation. The CB shall inform the Foundation in case the deadline of 31st December 2019 will not be met.
- The issuance of non-accredited FSSC 22000 Scheme V5 certificates by a CB holding existing accreditation scopes accredited is not allowed by the Foundation.
- The CB is allowed to offer non-accredited FSSC 22000 V5 certification for (a) new scope(s) provided that the provisional license has been extended by the Foundation for the new scope(s).
- The CB shall include in its management system the requirements of FSSC 22000 V5 including these transition process requirements.
- The CB shall inform their certified organizations within 1 month about the FSSC 22000 V5 upgrade process requirements in line with the Scheme requirements in Part IV, section 3.1.3.
- The CB shall conduct FSSC 22000 V4.1 audits until 31st December 2019. The related audit report, certification decision and certificate issued can be issued in 2020.
- The CB shall train its personnel involved in the certification process for the new FSSC 22000 Scheme V5 requirements.

- For re-qualification of FSSC 22000 V4.1 auditors against FSSC 22000 V5 requirements, the CBs shall have evidence of training (including an exam) of the following Scheme requirements:
 - ISO 22000:2018 standard requirements
 - FSSC 22000 V5 additional requirements (see Part II of scheme requirements).
- For new auditors the CB shall follow the requirements described in the FSSC 22000 V5 Scheme for initial auditor qualification.

2.2.2 Audits and certificates

- Initial audits (Stage 1 and Stage 2) shall be conducted against the same Scheme version requirements.
- An upgrade audit is a full announced audit against the new FSSC 22000 V5 requirements conducted in 2020.
- Planned surveillance and recertification audits shall be used as V5 upgrade audits.
- In exceptional cases, upgrade audits can be conducted unannounced when agreed upon by the CB with the organization.
- A new FSSC 22000 V5 certificate shall be issued after a successful upgrade audit. The minimum information to be mentioned on the certificate will be described in the new FSSC 22000 V5 requirements.
- The below table provides the different v5 upgrade audit scenarios possible. Please note that for the third scenario, it implies that a certified organization receives its announced surveillance 1 in 2019 and its announced v5 upgrade audit in 2020 replacing a planned unannounced surveillance 2 audit. This means that this organization will only have its first unannounced audit in 2022. However, we encourage CBs to plan as many unannounced v4.1 surveillance 1 audits still in 2019 (see scenario 4) so that the planned announced surveillance 2 next year is replaced by an announced v5 upgrade audit. This means that the 'normal' audit cycle stays intact and one of the two surveillance audits is conducted unannounced.
- Please note that should an organization require an unannounced audit as the v5 upgrade or re-certification audit (because of combined audits with other standards such as SQF, BRC or IFS), this is at the discretion of the CB to agree and implement with the certified organization.

2017	2018	2019	2020	2021	2022
V3.2 Recert	V4.1 S1 Upgrade	S2 V4.1 Unannounced	V5 Recert	V5 S1 Unannounced or Announced	V5 S2 Unannounced or Announced
V3.2 S1	V4.1 S2 Upgrade	V4.1 Recert	V5 S1 Upgrade	V5 S2 Unannounced	V5 Recert
V3.2 S2	V4.1 Recert	V4.1 S1 Announced	V5 S2 Upgrade	V5 Recert	V5 S1 Unannounced
V3.2 S2	V4.1 Recert	V4.1 S1 Unannounced	V5 S2 Upgrade	V5 Recert	V5 S1 Announced or Unannounced

2.2.3 Audit time calculation

Based on the released ISO 22000:2018 gap analysis in July 2018, it is not justified to require additional on-site audit time to assess implementation of the new FSSC 22000 Scheme version 5 requirements by a certified organization. Therefore, the audit time for an upgrade audit remains the same as for a regular planned audit and shall be calculated as follows:

- *Surveillance audit replaced by a V5 upgrade audit*
The total on-site audit time is calculated as 1/3 Ts + FSSC Additional time.
- *Recertification audit replaced by a V5 upgrade audit*
The total on-site audit time is calculated as 2/3 Ts + FSSC Additional time.

3. Requirements for Accreditation Bodies (ABs)

For FSSC 22000 Scheme version 5, the AB shall assess readiness of CBs following the below

- Carry out a Desk Review of the CB where the following parameters shall be evaluated:
 - a. the inclusion of all FSSC 22000 Scheme V5 requirements in the CB management system with particular attention on:
 - i. FSSC 22000 Scheme V5 and transition process requirements;
 - ii. Information to certified organizations about FSSC 22000 Scheme V5;
 - iii. Training of all CB personnel;
 - iv. Qualification of auditors.
 - b. Any identified deficiencies in the CB management system shall be covered by an action plan;
 - c. Statement of management commitment confirming the CB is ready for and in compliance with FSSC 22000 Scheme V5 requirements based on an internal audit.
- Following a successful Desk Review, the AB shall issue a new CB accreditation certificate for the scope of FSSC Scheme version 5 with the minimum content as referenced in Part V, Annex I.
- During the next scheduled CB surveillance visit, the AB shall verify implementation of the FSSC 22000 Scheme V5 requirements in the CB management system during an on-site office assessment.

4. Requirements for Training Organizations (TOs)

Training organizations licensed with the Foundation FSSC 22000 are allowed to provide training on the new FSSC 22000 V5 Scheme requirements after the publication of the Scheme in May 2019. Before this date, only training based on FSSC 22000 V4.1 will be allowed by the Foundation.