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1. Reference documents:

FSSC 22000 version 6/ April 2023

2. Unannounced audits

One unannounced audit is undertaken during each FSSC 22000 3-year certification cycle. For multi- site certification, once every 3 years, the annual audit shall be conducted fully unannounced, including the central function and the site audits.

.The certified organizations can voluntary choose the both surveillance audits to be unannounced. Recertification audits may be conducted unannounced at the request of the certified organization.

The initial certification audit (stage 1 and stage 2) cannot be performed unannounced

3. Planning the unannounced audits

After the (re-)certification CERTIND will inform the certified organization that one of the two scheduled surveillance audits will be replaced by an unannounced audit. Recertification audits may be conducted unannounced at the request of the certified organization.

The organization is advised to inform CERTIND about the blackout days within 2 weeks after CERTIND's communication.

The time period for that the client requires the unannounced audit to not be conduct are to be agreed between CERTIND and the certified organization to avoid periods of extreme inconvenience during which the certified organization would find it difficult to participate fully and/or there is no production.

CERTIND will require the FSSC 22000 certified organization to provide evidence that the identified blackout period was justified.

There is no minimum or maximum number of blackout days that can be claimed by the audited organization and black-out days can also include both seasonal production and possible secondary sites that are covered by the scope of certification.

It is advised that the unannounced audit will be conducted within a timeframe of 8 to 12 months after:

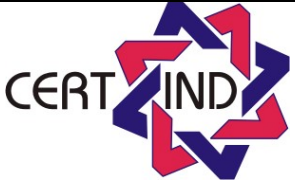
- The (re-) certification decision and/or
- The last day of the previous announced surveillance audit.

4. Execution of unannounced audits

CERTIND will nominate as chief auditor an auditor who has previously evaluated the client organization and is familiar with the FSMS of the FSSC 22000 certified organization and where the unannounced audit will be performed.

The auditors will identify themselves as auditors for the unannounced audit.

The client organization can contact CERTIND to verify the identity of the auditors before allowing their access to perform the unannounced audit. In exceptional cases where specific visa or security restrictions apply, contact with the certified organization may be required as part of the visa application

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process. However, the exact dates of the unannounced audit will not be confirmed, only a time frame which is usually 30 days.

CERTIND will choose after the initial certification/re-certification audit, at the time of drawing up the Audit Program, which of the two surveillance audits will be unannounced, taking into account the requirement that unannounced audits be carried out at least once every 3 years and respecting the requirement for a calendar year.

The unannounced audit is a full surveillance audit during which the auditor will spend at least 50% evaluating the operational processes of the management system.

The certification audits (stage 1 and stage 2) will be carried out in an announced manner.

The unannounced audit takes place during normal business hours, including all shifts where applicable.

For optimal planning of unannounced audits, the organization can declare the time periods in which, in normal situations, the production activity is stopped (blackout-days).

The audit will begin with the inspection of the production facilities in no more than 1 hour after the auditor's arrival at the audited location.

In the situation where there are multiple buildings in the audited location, the auditor must, based on risk, decide which buildings and in which order they will be inspected.

The auditor must audit the way the organization operates for a representative number of product lines that are subject to certification.

If the certified organization refuses to participate in unannounced audits, the certificate will be suspended in the next 3 working days and CERTIND will withdraw the certificate if the unannounced audit cannot be carried out within 6 months of the suspension.

If an auditor is denied access to the location to be audited, the client organization will bear all the costs.

Head offices that control certain relevant functions related to certification and that are separate from the audited location will not be audited during the unannounced audit, but are audited in an announced manner.

All the requirements of the Scheme will be assessed, including the manufacturing or service processes in operation. If parts of the audit plan cannot be audited, a follow-up (announced) audit will be scheduled within 28 calendar days, while adhering to the calendar year requirements.

The audit of the central function will be carried out in an announced manner. If headquarters activities are part of a location audit, it will be unannounced.

Unannounced surveillance audits will be carried out within a maximum of 12 months from the previous scheduled audit (maximum 12 months from the decision on (re)certification or maximum 12 months from the end of the previous announced surveillance audit).

The secondary locations where off-site activities are carried out and the spaces of storage activities outside the audited location, transport and storage will also be audited during the unannounced audit period.

5. Consequence of an unannounced audit

If not present during the audit, the following functions are advised to be audited during a follow-up audit afterwards which could be conducted off-site:

- Top-management;
- Human resources;
- Outsourced supporting services;
- Procurement;
- Research and development.

Ideally during the unannounced audit the deputy responsible persons for these and other functions are to be interviewed by the audit team to gather evidence of compliance since food safety management is everybody's responsibility.

Production lines that are not operated regularly are to be audited during a follow-up audit in an announced manner. It is advised that the organization is able to start-up these production lines in order to allow auditing and avoiding a follow-up audit within 4 weeks.

It is preferable that the organization has the ability to operate these production lines, to allow their audit and to avoid the follow-up audit.

The consequence of unannounced audits may be that the audits are not performed annually. Following the planning of the unannounced audits, the planning for the recertification audit will be respected.

6. Exemptions

The unannounced audit is in most cases a 'surprise audit'.

It is not always possible to organize an unannounced audit without the cooperation of the certified organization. Examples are:

- Country specific procedures for obtaining travel permits such as visa;
- Country specific safety conditions where the auditor cannot travel to the site without a guide

In exceptional cases where specific visa restrictions apply, contact with the certified organization may be needed as part of the visa application process.

However, the exact dates of the unannounced audit shall not be confirmed, only a time window.

A record is kept by CERTIND in its file of the certified organization forming the justification of the case for later reference. As a result of the circumstances, this audit cannot be classified as an unannounced audit.