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### 1. Reference documents:

FSSC 22000 version 5/ May 2019 certification scheme part 3

FSSC 22000 Guidance unannounced audit version 1/ December 2017

### 2. Unannounced audits

One unannounced audit is undertaken during each FSSC 22000 3-year certification cycle. The certified organizations can voluntarily 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 conducted 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 4 to 12 months after:

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

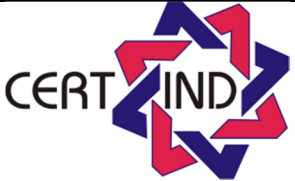
### 4. Execution of unannounced audits

CERTIND are to nominate as Lead auditor an auditor who has audited the organization before and is knowledgeable with the FSSC 22000 certified FSMS of the client to which it will be carried out the unannounced audit.

The auditors should identify themselves as the auditors who will conduct the unannounced audit.

The organization may contact CERTIND to verify the auditor's identity before allowing the auditor to proceed with the unannounced audit.

CERTIND decides which of the scheduled surveillance audits after (re)certification decision shall be chosen for the unannounced audit, on development of the Audit Program.

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The unannounced audit is a full surveillance audit during which the auditor shall spend at least 50% of the time in production area (shop floor) assessing the implementation of the applicable CCPs, PRPs and OPRPs.

The initial certification (stage 1 and stage 2) audits are obligatory announced ones.

The site shall not be notified in advance of the date of the unannounced audit and the audit plan shall not be shared until the opening meeting.

The unannounced audit takes place during operational working hours including night shifts if necessary.

For an optimal planning the organization could inform CERTIND about the black-out period on that, for normal business reasons the production activity is stopped.

The audit will start with an inspection of the production facilities commencing within 1 hour after the auditor has arrived on site.

In case of multiple buildings at the site the auditor shall, based on the risks, decide which buildings/facilities shall be inspected in which order.

If the certified organization refuses to participate in the unannounced audit, the certificate shall be suspended immediately, and the CB shall withdraw the certificate if the unannounced audit is not conducted within a six-month timeframe from the date refusal.

If access is denied to the auditor the certified organization will be liable for all costs.

Head offices controlling certain functions pertinent to certification separate to the site(s) are not audited during the unannounced audit but are audited in an announced manner. Where Head Office activities are part of a site audit, they shall be unannounced.

All Scheme requirements shall be assessed including production or service processes in operation.

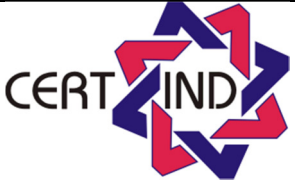
The auditor shall audit the organization operating on a representative number of product lines covered by the scope of certification. Where parts of the audit plan cannot be audited, an (announced) follow-up audit shall be scheduled within 4 weeks.

Secondary sites (off-site activities) and off-site storage, warehouses and distribution facilities shall also be audited during the unannounced audit.

The lead auditor is expected to operate discretion in case of emergencies (e.g. fire, major catastrophic event, another audit on-going, etc.). In such cases the lead auditor, after consulting the CERTIND's certification manager, can decide to cancel the unannounced audit and plan a new date for an unannounced audit.

## **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:

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- 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.

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.