

**1. Reference documents:**

FSSC 22000 version 4.1/ July 2017 certification scheme parts III and IV

FSSC 22000 Guidance unannounced audit version 1/ decembrie 2017

**2. Unannounced audits**

One unannounced audit is undertaken during each FSSC 22000 3-year certification cycle.

The certified organizations can voluntary choose the both surveillance audits to be 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.

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 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**

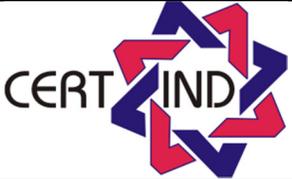
CERTIND are to nominate as Lead auditor an an auditor who has audited the organization before and is knowledgeable with the FSSC 22000 certified FSMS of the client to which it will be carried out the unannounced audit.

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.

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.

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

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

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.

The auditor shall audit the organization operating on a representative number of product lines covered by the scope of certification.

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.

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.

If the audit objectives were not fully met during the unannounced audit, a follow-up afterwards audit will be conducted, announced or unannounced, depends the situation which has led to the failure to meet the audit objectives.

Secondary sites (off-site activities) and off-site storage, warehouses and distribution facilities are also 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.

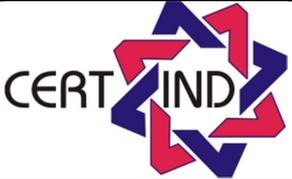
## **5. Consequence of an unannounced audit**

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:

- 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

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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.

## 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 the CB 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.