FSSC 22000

REQUIREMENTS V5.1 UPGRADE PROCESS

DATE	23 February 2021
VERSION	2.0
REVISION HISTORY	Mandatory requirement for CBs and ABs to issue new certificates referencing V5.1; further allowances for unannounced audits.

1. INTRODUCTION

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

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

- Strengthening the licensing process and the Integrity Program
- Compliance with GFSI Benchmarking Requirements (Version 2020.1)
- Inclusion of the Board of Stakeholders decision list
- Continual improvement

The relevant interested parties impacted by this document are:

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

2. FSSC 22000 VERSION 5.1

2.1 GENERAL

The Foundation FSSC 22000 has published the new Scheme FSSC 22000 V5.1 in November 2020 and decided on the following:

- Audits against the FSSC 22000 Scheme requirements V5 are only allowed up to 31 March 2021.
- Upgrade audits against FSSC 22000 Scheme requirements V5.1 shall be conducted from 1 April 2021 until 31 March 2022.

2.2 REQUIREMENTS FOR CERTIFICATION BODIES (CB)

2.2.1 GENERAL

Part 4 of the Scheme requirements on the licensing process has been updated to specify the minimum number of certificates a CB needs to maintain their approval for the Scheme. For existing CBs, the following timeline applies to achieve the minimum number of certificates:

- 31 March 2022 – have at least 35 certificates registered in the portal.
- 31 March 2023 – have at least 50 certificates registered in the portal.

Failure to meet the specified minimums will result in termination of the existing FSSC 22000 license.

2.2.2 ACCREDITATION PROCESS

CBs are required to extend their current accreditation scope from Version 5 to Version 5.1. The CB shall submit the updated accreditation certificate or positive recommendation of successful upgrade from the AB to the Foundation by 31 March 2021 at the latest.

In the first instance, CBs shall submit a self-declaration to their Accreditation Bodies (ABs) confirming that they have successfully updated their systems and procedures to meet the requirements in Version 5.1. The self-declaration with supporting documentation, shall be submitted to the AB no later than 1 March 2021.

As a minimum, the self-declaration shall contain the following:

a) Statement of management commitment confirming the CB is ready for and in compliance with FSSC 22000 Scheme V5.1 requirements based on an internal self-assessment. The supporting self-assessment shall be submitted to the AB along with the self-declaration.
b) Confirmation that the CB procedures and system have been reviewed and updated, including the upgrade process requirements and management commitment confirmation.
c) Confirmation that a training plan has been established for all CB auditors and all personnel involved in the certification process on the changes in Version 5.1. All training shall be completed before conducting any audit activities to V5.1.

The CB shall inform their certified organizations of the changes and requirements within 1 month of the publication of the V5.1 Upgrade process requirements document (dated 16 December 2020) as set out in the Scheme requirements Part 4, section 2.2.1.

Auditor training records shall be uploaded to the Auditor database as part of the annual maintenance of competency (Scheme Part 4, 3.5.4.2 (1).

New CBs requiring accreditation in 2021

In the case where a new CB starts the accreditation process in 2021 and the AB witness audit is conducted before 31 March 2021, the witness audit shall be conducted against Version 5. In these cases, the CB shall also be able to demonstrate compliance to the AB on the V5.1 requirements (through document review), but an additional witness audit to V5.1 is not required. Where the witness audit is conducted from 1 April onwards, the witness audit shall be against V5.1.

2.2.3 AUDITS AND CERTIFICATES

2.2.3.1 AUDITS

It is not possible to conduct upgrade surveillance audits directly from V4.1 to V5.1.

Initial certification audits (Stage 1 + Stage 2): both the Stage 1 and Stage 2 audit shall be conducted to Version 5.1 when the audit takes place from 1 April 2021 onwards OR conduct the Stage 1 to Version 5 (when conducted before 1 April 2021) and Stage 2 to Version 5.1 when conducted on or after 1 April 2021.

Recertification audits may be conducted directly from Version 4.1 to Version 5.1 where the recertification audit takes place on or after 1 April 2021 as a result of a certificate validity extension

due to Corona. In these cases, the first surveillance audit shall also be conducted in 2021 to meet the calendar year and certification requirements.

An upgrade audit is a full audit against the new FSSC 22000 V5.1 requirements and may be conducted unannounced where needed in order to meet the 3-yearly unannounced audit requirements.

As an exception during the COVID-19 pandemic, it is allowed to contact the certified organization 48 hours in advance of the unannounced audit. The unannounced audit may then be conducted as an on-site audit, by utilizing the ICT Audit Approach or as a full remote audit. In case of a full remote audit, the ICT needs to be tested during the 48-hour window and prior to starting the audit. The full remote option needs to be agreed with the organization and remains subject to the remainder of the requirements as set out in the Full Remote Addendum.

In cases where the unannounced surveillance audit is due in 2021 but cannot be conducted unannounced as a direct result of COVID-19, the unannounced audit may be replaced by an announced audit if agreed with the certified organization. Justification for not conducting the planned unannounced audit shall be recorded in the audit report in the "Audit details" section. The subsequent audit in 2022 shall then be conducted unannounced, the audit program adjusted accordingly and applicable to all audit types (surveillance or recertification).

The table below provides for normal V5.1 upgrade scenarios including unannounced audit (UA) requirements and where 2020 audits are postponed into 2021 as a result of COVID-19.

2018	2019	2020	2021	2022
V4.1 Upgrade S1	V4.1 S2 **UA**	V5 Recert	a) V5 S1 in Q1 2021 **OR** b) V5.1 Upgrade S1 if on or after 1 April 2021	a) V5.1 Upgrade S2 **UA** in Q1 2022 b) V5.1 S2 **UA** within calendar year
V4.1 Upgrade S1	V4.1 S2 **UA**	V5 Recert postponed to 2021 due to COVID-19 (validity extension)	a) V5 Recert in Q1 2021 **OR** b) V5.1 Recert if on or after 1 April 2021 and within extension window **AND in both cases (a+b)** V5.1 S1 within calendar year	V5.1 S2 **UA** within calendar year
V4.1 Upgrade S2	V4.1 Recert	V5 Upgrade S1	a) V5 S2 **UA** in Q1 2021 **OR** b) V5.1 Upgrade S2 **UA** if on or after 1 April 2021	a) V5.1 Recert in Q1 2022 b) V5.1 Recert before certificate expiry

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2018	2019	2020	2021	2022
V4.1 Upgrade S2	V4.1 Recert	V5 Upgrade S1 postponed to Q1 2021 due to COVID-19	V5 S1 in Q1 2021 **AND** V5.1 S2 **UA** within the calendar year	V5.1 Recert
V4.1 Recert	V4.1 S1 Announced	V5 Upgrade S2	V5.1 Recert	V5.1 S1 **UA** within calendar year
V4.1 Recert	V4.1 S1 Announced	V5 upgrade S2 postponed to Q1 2021 due to COVID-19	V5 Upgrade S2 in Q1 2021 **AND** V5.1 Recert within the validity window	V5.1 S1 **UA** within calendar year
V4.1 Recert	V4.1 S1 **UA**	V5 Upgrade S2	a) V5 Recert in Q1 2021 **OR** b) V5.1 Recert if on or after 1 April 2021	a) V5.1 Upgrade S1 **UA** in Q1 of 2022 b) V5.1 S1 UA within calendar year
V4.1 Recert	V4.1 S1 **UA**	V5 Upgrade S2 postponed to Q1 2021 due to COVID-19	V5 Upgrade S2 in Q1 2021 **AND** V5.1 Recert within the validity window	V5.1 S1 **UA** within calendar year

The Unannounced audits indicated in the table above reflects minimum requirements to meet the 3 yearly unannounced audit requirement and does not account for the exception linked to COVID-19 as referenced in this document.

2.2.3.2   CERTIFICATES

CBs are required to update the FSSC 22000 certificate of the certified organization following the successful completion of the Version 5.1 audit process. The Scheme Version 5.1 shall be referenced on the certificate, in the audit report, audit plan, audit program and in the FSSC portal.

3. REQUIREMENTS FOR ACCREDITATION BODIES (ABS)

For FSSC 22000 Scheme version 5.1, the AB shall assess readiness of CBs by reviewing the self-declaration and supporting documentation from the CB and confirming management commitment to the implementation of the V5.1 requirements.

The following parameters shall be included in the self-declaration:

  a) Inclusion of all FSSC 22000 Scheme V5.1 requirements in the CB management system with particular attention on:
      i.   FSSC 22000 Scheme V5.1 and transition process requirements;
      ii. Information to certified organizations about FSSC 22000 Scheme V5.1;
      iii. Training plan for all CB personnel involved in the certification process and FSSC 22000 auditors. All training shall be completed before conducting any audit activities to V5.1.
  b) Statement of management commitment confirming the CB is ready for and in compliance with FSSC 22000 Scheme V5.1 requirements based on an internal self-assessment.

The CBs self-assessment to Version 5.1 and relevant supporting documentation shall be submitted to the AB along with the self-declaration.

The AB shall inform to the Foundation where a CB has not submitted a self-declaration and supporting self-assessment before the deadline of 1 March 2021 or when the review identifies any issues preventing the CB to audit to Version 5.1 as of 1 April 2021.

Based on a successful desk review, ABs shall issue a new CB accreditation certificate for Scheme Version 5.1.

During the next scheduled CB surveillance assessment, the AB shall verify implementation of the FSSC 22000 Scheme V5.1 requirements in the CB management system as part of the regular assessment process.

4. REQUIREMENTS FOR TRAINING ORGANIZATIONS (TOS)

Training organizations licensed with the Foundation FSSC 22000 are allowed to provide training on the new FSSC 22000 V5.1 Scheme requirements after the publication of the Scheme.

All courses delivered from 1 April 2021 onwards shall only be against V5.1. No pre-approval of FSSC 22000 training courses is required for V5.1 where the course is already approved for V5 – compliance will be assessed via the Integrity Program as part of the normal review process.