	PROCEDURE	Document No.	P-16
	CERTIFICATION SYSTEM FOR FSMS	Version	7.00
		Date of Issue	April 25, 2024

	Name	Designation	Signature	Date
Prepared by	Swati	MR		Apr 25, 2024
Reviewed & Approved by	Kaushal Goyal	Managing Director		Apr 25, 2024

Revision History

Version	Date	Description	Remarks
1.00	June 01, 2008	Original release as per ISO/IEC 22003	
2.00	Mar 01, 2009	Based on the inputs from document review by NABCB for FSMS	
3.00	Nov 01, 2010	Revision based on document review by JAS-ANZ	
4.00	Oct 30, 2013	Minor editorial corrections based on the document review by NABCB for FSMS	
5.00	Feb 10, 2016	Changed in line with ISO 22003:2013	
6.00	Apr 03, 2020	Changed to align with ISO 17021:2015	
7.00	April 25, 2024	Revised as per ISO 22003-1:2022 requirements	

1.0 Purpose

To establish & maintain a procedure for the Initial certification, surveillance activities and recertification to ensure that all concerned personnel comply with the certification requirements for FSMS.

2.0 Scope

All applicants and certified clients related to Food Safety Management System such as ISO 22000, HACCP etc.

3.0 Responsibility & Authority

Audit Manager is overall responsible for the implementation.

4.0 Policy & Procedure

4.1 Pre-certification activities

4.1.1 Application

KBS requires an authorized representative of the applicant organization to provide the necessary information in form F-01 to including the following:

a) the desired scope of the certification;
b) relevant details of the applicant organisation as required by the specific certification scheme, including its name and the address(es) of its site (s), its processes and operations, human and technical resources, functions, relationships and any relevant legal obligations;
c) identification of outsourced processes used by the organisation that will affect conformity to requirements;
d) the standard or other requirements for which the applicant organisation is seeking certifications;
e) whether consultancy relating to the management system to be certified has been provided and, if so, by whom.

The applicant provides necessary information as per 'Application for Certification' (F-01_FSMS) with detailed information concerning product and process lines, HACCP studies and the number of shifts.

4.1.2 Application Review

Audit Manager him/ herself (if qualified as auditor for ISO 22000) or assisted by an auditor for ISO 22000 qualified as per competence criteria defined in FSMSM-01 reviews the F-01_FSMS and any supplementary information from the applicant and records the results in Review of Application for Certification (F-02_FSMS). Audit Manager precisely defines the scope of certification in terms of levels of the food chain (e.g. primary production, food processing, packaging material production), category (ies) and sectors.

a) the information about the applicant organisation and its management system is sufficient to develop an audit programme;
b) any known difference in understanding between KBS and the applicant organisation is resolved;
c) KBS has the competency and ability to perform the certification activity;
d) The scope of certification sought, the site (s) of the applicant organisation 's operations,

time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.)

e) The scope of certification should be specific and limited to the organization's activities.

Following the review of the application, Audit Manager takes the decision to either accepts or declines the application for certification. If the application is declined as a result of the review of application, the reasons for declining an application are documented and made clear to the client.

Audit Manager chooses the audit day, time and season during application review process to ensure that the audit team has the opportunity of auditing the organization operating on a representative number of product lines, categories and subcategories covered by the scope of certification. This is decided primarily based on the information collected through Application form and subsequent enquiries. Further, KBS Audit Manager chooses the appropriate time for auditing for stage 2 audits after collecting information during stage 1. Planning for surveillance audits is done based on the experience and information in stage 2 audit.

Based on this review, Audit Manager determines the competences it needs to include in its audit team and for the certification decision and recorded in Form F-02. Proposal is sent for customer approval and signature in Form F-03.

4.1.3 Audit Programme

Audit Manager develops an audit programme F-16 for the full certification cycle to clearly identify the audit activity (ies) required to demonstrate that the client's management system fulfills the requirements for certification to the selected standard (s) or other normative document (s). The audit programme for the certification cycle cover the complete management system requirements.

The audit programme for the initial certification includes a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification. The first three-year certification cycle begins with the certification decision. Subsequent cycles begin with the recertification decision. The determination of the audit programme and any subsequent adjustments is carried out based on the size of the client organization, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits. In addition, the followings are considered when developing or revising an audit programme:

-Complaints received by KBS about the clients;
-Combined, integrated or joint audits
-Changes to the certification requirements;
-Changes to legal requirements;
-Changes to accreditation requirements;
-Organizational performance, data (e.g. defect levels, key performance indicators data);
-Relevant interested parties' concerns.

Surveillance audits are conducted at least once a calendar year, except in recertification years. The date of the first surveillance audit following initial certification will not be more than 12 months from the certification decision date.

The frequency of surveillance audits is adjusted to accommodate factors such as seasons or management system certification of a limited duration (e.g. temporary construction site).
Where KBS is taking account of certification or other audits already granted to the client and to audits performed by another certification body, it obtains and retains sufficient evidences, such as reports and documentation on corrective actions, to any nonconformity. The documentation will support the fulfilling the requirements of ISO / IEC/ 17021. Based on the information obtained, KBS justifies and records any adjustments to the existing audit programme and follow up the implementation of corrective actions concerning previous nonconformities.

Where the client operates shifts, the activities that take place during shift working are considered when developing the audit programme and audit plans.

4.1.4.1 Audit outcome requirements

Audit duration be justified to accomplish the following audit outcomes:

- *a) assesses effective implementation (identification and selection if allowed) of the management of food safety hazards [this includes hazard analysis and critical control points (HACCP) and PRPs] as defined by the scheme;*
- *b) assesses effective management of the interrelated processes of the FSMS;*
- *c) assesses system ability to meet applicable statutory and regulatory requirements;*
- *d) assesses the organization's use of an effective risk-based approach to products and processes and management of change;*
- *e) assesses whether the requirements of the scheme and of the organization, if any, are met;*
- *f) verifies that the certification scope is appropriate to the activities of the organization and audit sampling is representative.*

4.1.4.2 Determining audit time

KBS has documented procedure P-13 for determining audit time, and for each client Audit Manager determines the time needed to plan and accomplish a complete and effective audit of the client's management system. The audit time determined, and the justification for the determination, is recorded including justification for any reductions or additions.

Audit duration is justified to accomplish the following audit outcomes:

- *a) assesses effective implementation (identification and selection if allowed) of the management of food safety hazards [this includes hazard analysis and critical control points (HACCP) and PRPs] as defined by the scheme;*
- *b) assesses effective management of the interrelated processes of the FSMS;*
- *c) assesses system ability to meet applicable statutory and regulatory requirements;*
- *d) assesses the organization's use of an effective risk-based approach to products and processes and management of change;*
- *e) assesses whether the requirements of the scheme and of the organization, if any, are met;*
- *f) verifies that the certification scope is appropriate to the activities of the organization and audit.*

In determining the audit time, Audit Manager considers, among other things, the following aspects:

a) The requirements of the relevant management system standard;
b) Categories and sub categories;
c) Complexity of the client and its management system;
d) Hazards associated with the products, processes and services of the organization;
e) Statutory and regulatory context;
f) Any outsourcing of any activities included in the scope of the management system;
g) The results of any prior audits;
h) The maturity and effectiveness of the FSMS, type of Audit and the results of any prior audits;
i) Size, infrastructure and number of sites, their geographical locations and seasonality, and multi-site considerations;
j) Whether audits are combined, joints or integrated.
k) Audit delivery method; (e.g. ICT and the extent used)
l) Level of centralized control of the FSMS;
m) Level of automation, closed production systems, use of technology, mechanization and labour intensiveness;
n) Any language or interpretation needs;
o) Time for audit preparation;
p) The minimum duration for auditing for each site for on-site or remote auditing;
q) The time for reporting and if applicable, conducting post-audit activities;
r) Where additional meetings are necessary (e.g. review meetings, coordination, audit team briefing), an increase in audit time can be required;
s) Where applicable and agreed, the time needed to ensure effective remote auditing or use of ICT.

Time spent on audit planning, audit preparation, travelling to and from audited sites and audit follow-up activities if there are nonconformities is not included in the calculation of the duration of the management system audit days.

The duration of the management system audit and its justification is recorded in F-02.

The time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors – in – training, and report writers) will not count in the above established duration of the management system audit.

The use of translators and interpreters may necessitate additional time.

4.1.5 Multi-site sampling

Where KBS is certifying a multi-site organization under one certificate, the following conditions apply:

- all sites are operating under one centrally controlled and administered FSMS
- *sites subject to sampling are similar (food chain subcategory, geographical location, processes and technologies, size and complexity, regulatory and statutory requirements, customer requirements, food safety hazards and control measures);*
- *the central function is part of the organization, clearly identified and not subcontracted to an external organization;*
- *all sites have a legal or contractual link with the central function;*
- *the central function has organizational authority to define, establish and maintain the*

FSMS;

- *all sites are subject to the organization's internal audit programme and have been audited;*
- *audit findings at a site are considered indicative of the entire FSMS and corrective actions are implemented accordingly;*
- *the central function is responsible for ensuring that outcomes of performance evaluation and customer complaints from all sites are collected and analysed;*
- *the organization's FSMS is subject to central management review;*
- *the central function has authority to initiate continual improvement of the FSMS.*

The central function is where operational control and authority from the top management of the organization is exerted over every site. There is no requirement for the central function to be located in a single site.

A multi-site organization is an organization having an identified central function at which certain FSMS activities are planned, controlled or managed, and a network of sites at which such activities are fully or partially carried out. Examples of possible multi-site organizations are:

— *organizations operating with franchises;*

— *producer groups (for categories A and B);*

— *a manufacturing company with one or more production sites and a network of sales offices;*

— *service organizations with multiple sites offering similar service*

— *organisations with multiple branches*

Sampling of multi-site organizations covers all activities.

The use of multi-site sampling is permitted for categories A and B. Sampling may be applied to multi-site organizations, with the minimum sample size being the square root of the total number of sites: √(x), rounded up to the next whole number. The square root sample will be taken per risk category based on production complexity of the sites (e.g. open field plant production, perennial plant production, indoor production, open field livestock production, indoor livestock production).

The use of multi-site sampling is permitted for categories F and G, and only for re-heating-type facilities (e.g. event catering, coffee shops, pubs) for category E and only for facilities with limited preparation or cooking (e.g. re-heating, frying) (see Table A .1). For organizations with 20 sites or fewer, all sites will be audited. For organizations with more than 20 sites, the minimum number of sites to be sampled will be 20 plus the square root of the total number of other sites: $y = 20 + \sqrt{(x - 20)}$, rounded up to the next whole number. This applies to the initial certification, to surveillance and to recertification audits.

The use of multi-site sampling is not permitted for any other categories.

Where multi-site sampling is permitted, KBS ensure (e.g. via contractual arrangements) that the organization has conducted an internal audit for each site within one year prior to certification and when applicable the effectiveness of corrective actions is available. Following certification, the annual internal audit cover all sites of the organization included in the scope of the multi-site organization and ongoing effectiveness of corrective actions is demonstrated.

Where KBS offers multi-site sampling, Audit Manager utilize a sampling programme to ensure an effective audit of the FSMS where the following apply:

- *At least annually, an audit of the central function for the FSMS is performed by KBSprior to the sampled site audits,*
- *At least annually, audits are performed by KBSon the required number of sampled sites,*
- *Audit findings of the sampled sites are assessed to ascertain if these indicate an overall FSMS deficiency and therefore can be applicable to some or all other sites,*
- *Audit findings of the sampled sites are considered indicative of the entire system and correction implemented accordingly,*
- *For organizations with 20 sites or fewer, all sites are audited.*

KBS will increase the size of sample or terminate the site sampling where the FSMS subject to certification does not indicate the ability to achieve the intended results.

The sample is partly selective and partly random and will result in a representative range of different sites being selected, ensuring all processes covered by the scope of certification will be audited.

At least 25 % of the sample is selected at random. The remainder is selected so that the differences among the sites selected over the period of validity of the certification are as large as possible.

The site selection have considered, among others, the following aspects:

- *results of internal audits, management reviews or previous audits;*
- *records of complaints, product withdrawals/recalls, and other relevant aspects of corrective action;*
- *variations in the site characteristics;*
- *other relevant changes since the last audit.*

If any site has a major nonconformity and satisfactory corrective action have not been implemented in the agreed time frame, certification is not granted or maintained for the whole multi-site organization pending satisfactory corrective action.

KBS identify and include the processes of the FSMS implemented at each sampled site in the scope.

4.1.6. Multiple management systems standards

When certification to multiple management system standards is being provided by KBS, the planning for the audit ensure adequate on-site auditing to provide confidence in the certification.

4.2 Planning audits

4.2.1 Determining audit objectives, scope and criteria

The audit objectives are determined by Audit Manager. The audit scope and criteria including any changes, are established after discussion with the client.

The audit objectives describe what is to be accomplished by the audit and include the following:

a) Determining of the conformity of the client's management system, or parts of it, with audit criteria;
b) Determination of the ability of the management system to ensure the client meets applicable statutory, regulatory and contractual requirements;

c) Determination of the effectiveness of the management system to ensure the client can reasonably expect to achieve its specified objectives;
d) As applicable, identification of areas for potential improvement of the management system.

The audit scope describes the extent and boundaries of the audit, such as sites, organizational units, activities and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g. covering different sites), the scope of an individual audit may not cover the full certification scope, but the totality of audits is consistent with the scope in the certification document.

The audit criteria used as a reference against which conformity is determined, and include:

- The requirements of a defined normative document on management systems;
- The defined processes and documentation of the management system developed by the client.
- to ensure the client meets applicable statutory, regulatory and contractual requirements,

4.2.2 Audit team selection and assignments

4.2.2.1 General

The audit team, including the audit team leader is selected and appointed taking into account the competence needed to achieve the objectives of the audit. If there is only one auditor, the auditor has the competence to perform the duties of an audit team leader applicable for that audit. The audit team has the totality of the competences identified by KBS.

In deciding the size and composition of the audit team, consideration is given to the following:

a) audit objectives, scope, criteria and estimated time of the audit;
b) whether the audit is a combined, integrated or joint audit;
c) the overall competence of the audit team needed to achieve the objectives of the audit;
d) certification requirements (including any applicable statutory, regulatory or contractual requirements);
e) language and culture;

For combined or integrated audit team leader having in-depth knowledge of at least one of the standard and an awareness of the other standards used for that particular audit is appointed.

The necessary knowledge and skills of the audit team leader and auditors are supplemented by technical experts, translators and interpreters who operate under the direction of an auditor. Where translators or interpreters are used, they are selected such that they do not unduly influence the audit.

The criteria for the selection of technical experts are determined on a case-by-case basis by the needs of the audit team and the scope of the audit.

Auditors-in-training may be included in the audit team as participants, provided an auditor is appointed as an evaluator. The evaluator be competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training.

The audit team leader, in consultation with the audit team, assigns to each team member responsibility for auditing specific schemes, processes, functions, sites, areas or activities in which they have the demonstrated competence only. Such assignments take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts. Changes to the work assignments may be made as the audit progresses to ensure achievement of the audit objectives.

4.2.2.1 Audit team

The audit team is formally appointed and provided with the appropriate working documents. The mandate given to the audit team is clearly defined and made known to the client. An audit team may consist of one person provided that the person meets all the criteria set out.

4.2.2.2 Observers, technical experts and guides

The presence and justification of observers during an audit activity is to be agreed to by the certification body and client prior to the conduct of the audit. The audit team ensures that observers do not influence or interfere in the audit process or outcome of the audit. Observers can be members of the client's organization, consultants, witnessing accreditation body personnel, regulators or other justified persons.

The role of technical experts during an audit activity is agreed by KBS and client prior tothe conduct of the audit. A technical expert does not act as an auditor in the audit te am. The technical experts are accompanied by an auditor. The technical experts can pro vide advice to the audit team for the preparation, planning or audit.

Each auditor is accompanied by a guide, unless otherwise agreed to by the audit team leader and the client. Guide(s) are assigned to the audit team to facilitate the audit. The audit team ensures that guides do not influence or interfere in the audit process or outcome of the audit.

The responsibilities of a guide include:

a) establishing contacts and timing for interviews;
b) arranging visits to specific parts of the site or organization;
c) ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;
d) witnessing the audit on behalf of the client;
e) providing clarification or information as requested by an auditor.

Where appropriate, the auditee can also act as the guide.

4.2.3 Audit Plan

4.2.3.1 General

Audit Manager ensures that an audit plan (F-05) is established for each audit identified in the

audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities. This audit plan is based on policies and procedures defined by KBS.

4.2.3.2 Preparing the audit plan

The audit plan appropriate to the objectives and the scope of the audit is prepared. The audit plan at least includes or refers to the following:

a) the audit objectives;
b) the audit criteria;
c) the audit scope, including identification of the organizational and functional units or processes to be audited;
d) the dates and sites where the on-site audit activities will be conducted, including visits to temporary sites and remote auditing activities, where appropriate;
e) the expected duration of on-site audit activities;
f) the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.

The audit plan and audit schedule (F-08) contains the above information.

4.2.3.3. Communication of audit team tasks

The tasks given to the audit team is defined and made known to the client organization, and requires the audit team to

a) examine and verify the structure, policies, processes, procedures, records and related documents of the client organization relevant to the management system,
b) determine that these meet all the requirements relevant to the intended scope of certification,
c) determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client's management system, and
d) communicate to the client, for its action, any inconsistencies between the client's policy, objectives and targets (consistent with the expectations in the relevant management system standard or other normative document) and the results.

4.2.3.4 Communication of audit plan

The audit plan is communicated, and the dates of the audit are agreed upon, in advance, with the client organization.

4.2.3.5 Communication concerning audit team members

Audit Manager provides the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client organization to object to the appointment of any particular auditor or technical expert and to reconstitute the team in response to any valid objection.

4.3 Initial certification

4.3.1 Initial certification audit

4.3.1.1 General

The initial certification audit of a management system is conducted in two stages: stage 1 and stage 2.

4.3.1.2 Stage 1 audit

Stage 1 assessment is performed by the member of the team:

a) to audit the client's management system documentation;

b) to evaluate the client's location and site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for the stage 2 audit;

c) to review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;

d) to collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance (e.g. quality, environmental, legal aspects of the client's operation, associated risks, etc.);

e) to review the allocation of resources for stage 2 audit and agree with the client on the details of the stage 2 audit;

f) to evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for the stage 2 audit.

The availability of relevant authorizations is checked when collecting the information regarding the compliance to regulatory aspects.

The objectives of the stage 1 audit are to provide a focus for planning the stage 2 audit by gaining an understanding of the FSMS and the organization's state of preparedness for stage 2 by reviewing the extent to which

a) the organization has identified PRPs that are appropriate to the business (e.g. regulatory and statutory requirements),

b) the FSMS includes adequate processes and methods for the identification and assessment of the organization's food safety hazards, and subsequent selection and categorization of control measures (combinations),

c) relevant food safety legislation is implemented,

d) the FSMS is designed to achieve the organization's food safety policy,

e) the FSMS implementation programme justifies proceeding to the audit (stage 2),

f) the validation of control measures, verification of activities and improvement programmes conform to the requirements of the FSMS standard,

g) the FSMS documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties, and

h) there is any additional documentation needs to be reviewed and/or information which needs to be obtained in advance.

Where an organisation has implemented an externally developed combination of control measures, the stage 1 audit review the documentation included in the FSMS to determine if the combination of control measures is suitable for the organisation, was developed in compliance with the requirements of ISO 22000, and is kept up to date.

The availability of relevant authorizations is checked when collecting the information regarding the compliance to regulatory aspects.

For FSMS stage 1 audit is carried out at the client's premises in order to achieve the objectives stated above. However, in exceptional circumstances ***or events*** such as very remote location, a ***natural disaster, a pandemic***, short seasonal productions etc. ***all or*** part of stage 1 can take place off-site or ***remotely through the use of ICT*** and the record for justification is kept. The evidence that stage 1 objectives are fully achieved is maintained.

The audit findings are documented and communicated to the client by the audit team leader, including identification of any areas of concern that could be classified as nonconformity during the stage 2 audits. The client is informed that the results of the stage 1 audit may lead to postponement or cancellation of the stage 2 audit.

Any part of the FSMS that is audited during the stage 1 audit and determined to be fully implemented, effective and in conformity with requirements, may not need to be re-audited during the stage 2 audit. However, KBS appointed team leader ensures that the already audited parts of the FSMS continue to conform to the certification requirements. In this case, the stage 2 audit report includes these findings and clearly states that conformity has been established during the stage 1 audit.

In determining the interval between stage 1 and stage 2 audits, consideration is given to the needs of the client to resolve areas of concern identified during the stage 1 audit. Team leader may also need to revise its arrangements for stage 2. The interval between stage 1 and stage 2 can't be more than six months. If the longer interval is required stage 1 is repeated.

However, in most cases this interval should not be less than a week without adequate justification.

4.3.1.3 Stage 2 audit

The purpose of the stage 2 audit is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 audit takes place at the site(s) of the client. It includes at least the following:

a. information and evidence about conformity to all requirements of the applicable management system standard or other normative document;
b. performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);
c. the client's management system and performance as regards legal compliance;
d. operational control of the client's processes;
e. internal auditing and management review;
f. management responsibility for the client's policies;
g. links between the normative requirements, policy, performance objectives and targets

(consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions.

4.3.1.4 Initial certification audit conclusions

The audit team analyses all information and audit evidence gathered during the stage 1 and stage 2 audits to review the audit findings and agree on the audit conclusions.

4.4 Conducting audits

4.4.1 General

On-site audits process includes an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit.

Where any part of the audit is made by electronic means or where the site to be audited is virtual, Audit Manager ensures that such activities are conducted by personnel with appropriate competence. The sufficient evidence is obtained during audit to enable the auditor to take an informed decision on the conformity of the requirement in question.

On-site audit can include remote access to electronic site(s) that contain(s) information that is relevant to the audit of the management system. Consideration is also given to the use of electronic means for conducting audits.

4.4.2 Conducting the opening meeting

A formal opening meeting is held with the client's management and, where appropriate, those responsible for the functions or processes to be audited as per D-15. The purpose of the opening meeting, which is usually conducted by the audit team leader, is to provide a short explanation of how the audit activities will be undertaken. The degree of details is consistent with the familiarity of the client with the audit process and considers the following:

a) introduction of the participants, including an outline of their roles;
b) confirmation of the scope of certification;
c) confirmation of the audit plan (including type and scope of audit, objectives and criteria), any changes, and other relevant arrangements with the client, such as the date and time for the closing meeting, interim meetings between the audit team and the client's management;
d) confirmation of formal communication channels between the audit team and the client;
e) confirmation that the resources and facilities needed by the audit team are available;
f) confirmation of matters relating to confidentiality;
g) confirmation of relevant work safety, emergency and security procedures for the audit team;
h) confirmation of the availability, roles and identities of any guides and observers;
i) the method of reporting, including any grading of audit findings;
j) information about the conditions under which the audit may be prematurely terminated;
k) confirmation that the audit team leader and audit team representing the certification body is responsible for the audit and is in control of executing the audit plan including audit activities and audit trails;
l) confirmation of the status of findings of the previous review or audit, if applicable;
m) methods and procedures to be used to conduct the audit based on sampling;
n) confirmation of the language to be used during the audit;

o) confirmation that, during the audit, the client will be kept informed of audit progress and any concerns;
p) opportunity for the client to ask questions.

4.4.3 Communication during the audit

During the audit, the audit team periodically assesses audit progress and exchanges information. The audit team leader reassigns work as needed between the audit team members and periodically communicates the progress of the audit and any concerns to the client.

Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), the audit team leader reports this to the client and, if possible, to the certification body to determine appropriate action. Such action may include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit. The audit team leader reports the outcome of the action taken to the certification body.

The audit team leader reviews with the client any need for changes to the audit scope, which becomes apparent as on-site auditing activities progress and report this to the cer tification body.

4.4.4 Obtaining and verifying information

During the audit, information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) is to be collected by appropriate sampling and verified to become audit evidence.

Methods to collect information include, but are not limited to:
a) interviews;
b) observation of processes and activities;
c) review of documentation and records.

4.4.5 Identifying and recording audit findings

Audit findings summarizing conformity and detailing nonconformity and its supporting audit evidence are recorded and reported to enable an informed certification decision to be made or the certification to be maintained.

Opportunities for improvement may be identified and recorded. Audit findings, which are non-conformities, are not recorded as opportunities for improvement.

A finding of nonconformity is recorded against a specific requirement of the audit criteria, containing a clear statement of the nonconformity and identifying in detail the objective evidence on which the nonconformity is based. Nonconformities are discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood. The auditor however refrains from suggesting the cause of nonconformities or their solution. In case any ongoing or potential non-compliances are identified in relation to relevant regulatory requirements, the non- compliances are immediately communicated to the organization being audited for immediate action. Certificate is granted only after confirming compliance with initial and ongoing legal requirements. During each surveillance and re-assessment, Audit team verify the management of legal compliance based on the demonstrated implementation of the system and not rely on planned or expected results. Any deliberate or consistent non-

compliance with legal requirements may lead to suspension, or withdrawal of the certificate. The audit team leader attempts to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings, and unresolved points are recorded.

4.4.6 Preparing audit conclusions

Under the responsibility of the audit team leader and prior to the closing meeting, the audit team:

a) reviews the audit findings, and any other appropriate information collected during the audit, against the audit objectives and audit criteria and classify the nonconformities;
b) agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;
c) agree any necessary follow-up actions;
d) confirm the appropriateness of the audit programme or identify any modification required (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence).

4.4.7 Conducting the closing meeting

A formal closing meeting, where attendance is recorded, is held with the client's management and, where appropriate, those responsible for the functions or processes audited as per D-15. The purpose of the closing meeting, which normally conducted by the audit team leader, is to present the audit conclusions, including the recommendation regarding certification. Any non-conformities are presented in such a manner that they are understood, and the timeframe for responding is agreed.

The closing meeting also includes the following elements. The degree of detail is consistent with the familiarity of the client with the audit process:

a) advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;
b) the method and timeframe of reporting, including any grading of audit findings;
c) the certification body's process for handling nonconformities including any consequences relating to the status of the client's certification;
d) the timeframe for the client to present a plan for correction and corrective action for any nonconformities identified during the audit;
e) the post audit activities of KBS;
f) information about the complaint handling and appeal processes.

The client is given opportunity for questions. Any diverging opinions regarding the audit findings or conclusions between the audit team and the client are discussed and resolved where possible. Any diverging opinions that are not resolved are recorded and referred to KBS.

4.4.8 Audit report

KBS provides a written report for each audit to the client. The audit team may identify opportunities for improvement but do not recommend specific solutions. KBS maintain ownership of the audit report.

The audit team leader ensures that the audit report is prepared and is responsible for its content. The audit report provides an accurate, concise and clear record of the audit to enable an informed certification decision to be made and includes or refers to the following:

a) identification of KBS as the certification body;
b) the name and address of the client and the client's management representative;
c) the type of audit (e.g. initial, surveillance or recertification audit or special audits);
d) the audit criteria;
e) the audit objectives;
f) the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit; any deviation from the audit plan and their reasons;
g) any significant issues impacting on the audit programme;
h) identification of the audit team leader, audit team members and any accompanying persons;
i) the dates and places where the audit activities (on site or offsite, permanent or temporary sites) were conducted;
j) audit findings, reference to evidence and conclusions, consistent with the requirements of the type of audit;
k) significant changes, if any, that affect the management system of the client since the last audit took place;
l) any unresolved issues, if identified.
m) where applicable, whether the audit is combined, joint or integrated;
n) a disclaimer statement indicating that auditing is based on a sampling process of the available information;
o) recommendation from the audit team
p) the audited client is effectively controlling the use of the certification documents and marks, if applicable;
q) verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable.
r) a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:

- ***the capability of the management system to meet applicable requirements and expected outcomes;***
- ***the internal audit and management review process;***

s) conclusion on the appropriateness of the certification scope;
t) confirmation that the audit objectives have been fulfilled

4.4.9 Cause analysis of nonconformities

KBS requires the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time. The proposed corrective action along with correction action needs to be provided with 30 days of the NC while in case of Major non-conformities, this time limit is 60 days.

4.4.10 Effectiveness of corrections and corrective actions

KBS reviews the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. KBS verifies the effectiveness of any correction and corrective actions taken. The evidence obtained to support the resolution of nonconformities is recorded. The client is informed of the result of the review and verification. The client is informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions.

Verification of effectiveness of correction and corrective action can be carried out based o n a review of documented information provided by the client, or where necessary, throug h verification on-site. Usually this activity is done by a member of the audit team.

4.5 Certification decision

4.5.1 General

Certification Manager makes decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification after the technical review of the report by an independent person who had not been part of the team. In case Certification Manager or technical reviewer is part of the audit team, another person appointed by MD takes decision. The individual (s) appointed to conduct the technical review and certification decision have appropriate competence including in the technical area/sector and may be supplemented by a technical expert.

Certification Manager records each certification decision including any additional information or clarification sought from the audit team or other sources.

Certification manager ensures that the scope of certification is specific and limited to the organization's activities.

4.5.2 Actions prior to making a decision

Each report is reviewed by a technical reviewer appointed by the certification Manager having competence prior to making decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including that

a) the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;
b) for any major nonconformities, it has reviewed, accepted and verified the correction and corrective actions;
c) for any minor nonconformities, it has reviewed and accepted the client's plan for correction and corrective actions

The Certification decision is made as per procedure P-09 and recorded in form F-19.

4.5.3 Information for granting initial certification

The information provided by the audit team to KBS for the certification decision includes, as a minimum,

a) the audit reports including all forms identified in F-18,
b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client,
c) confirmation of the information provided to KBS used in the application review and confirmation that the audit objectives have been achieved;
d) a recommendation whether or not to grant certification, together with any conditions or observations.

If KBS is not able to verify the implementation of corrections and corrective actions of any

major nonconformity within 6 months after the last day of stage 2, KBS conducts another stage 2 prior to recommending certification.

When a transfer of certification is envisaged from another certification body, KBS has defined the process in procedure P-11 for obtaining sufficient information in order to take a decision on certification.

4.5.4 Information for granting recertification

KBS makes decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.

4.5.4.1 KBS provides certification documents to the certified client in the form of a certificate with a unique serial number.

The certificate identifies the following:

a) the name and geographic location of client whose management system is certified (or the geographic location of the headquarters and any sites within the scope of a multi-site certification);

b) the effective dates of granting, expanding or reducing the scope of certification, or renewing certification which is not be before the date of relevant certification decision; In case a certificate get lapsed for a period of time, the original certificate date may also be kept on the certificate with the conditions that

   i. the current certification cycle start, and expiry date are clearly indicated
   ii. the last certification cycle expiry date be indicated along with the date of recertification audit.

c) the expiry date or recertification due date consistent with the recertification cycle;

d) a unique identification code in the form of certificate number;

e) the management system standard and/or other normative document, including issue status (revision date or number) used for audit of the certified client;

f) the scope of certification with respect to the types of activities, products and services as applicable at each site without being misleading or ambiguous;

g) the name, address and certification mark of KBS and accreditation symbol as applicable;

h) any other information required by the standard and/or other normative document used for certification;

i) in the event of issuing any revised certificate, a revision date to distinguish the revised documents from any prior obsolete documents.

4.6 Maintaining certification

4.6.1 General

KBS maintains certification based on demonstration that the client continues to satisfy the

requirements of the management system standard. It maintains a client's certification based on a positive conclusion by the audit team leader without further independent review and decision, provided that:

a) for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, KBS has a system that requires the audit team leader to report to it the need to initiate a review by appropriately competent personnel, different from those who carried out the audit, to determine whether certification can be maintained, and
b) competent personnel of KBS monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively.

Where, any points/issues are raised by the technical reviewer (independent reviewer), the letter of continuation is issued only after the issues/ points have been cleared.

4.6.2 Surveillance activities

4.6.2.1 General

KBS has developed its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and takes into account changes to its certified client and its management system.

Surveillance activities include on-site audits assessing the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted. Other surveillance activities may include

a) enquiries from KBS to the certified client on aspects of certification,
b) reviewing any client's statements with respect to its operations (e.g. promotional material, website),
c) requests to the certified client to provide documented information (on paper or electronic media), and
d) other means of monitoring the certified client's performance.

4.6.2.2 Surveillance audit

Surveillance audits are on-site audits, but are not necessarily full system audits, and are planned together with the other surveillance activities so that KBS can maintain confidence that the certified management system continues to fulfill requirements between recertification audits.

Each surveillance for the relevant management system standard includes:

a) internal audits and management review,
b) a review of actions taken on nonconformities identified during the previous audit,
c) complaints handling,
d) effectiveness of the management system with regard to achieving the certified client's objectives, and the intended results of the respective management system (s);
e) progress of planned activities aimed at continual improvement,
f) continuing operational control,
g) review of any changes, and
h) use of marks and/or any other reference to certification.
i) compliance with legal requirements

4.6.3 Recertification

4.6.3.1 Recertification audit planning

The purpose of the recertification audit is to confirm the continued conformity and

effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. A recertification audit is planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document. This is planned and conducted in due time to enable for timely renewal before the certification expiry date.

The recertification activities include the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle. In case the client has been certified by other CB and applies for renewal to KBS, the stage 1 audit will be carried out if the previous audit reports are not available for review.

Recertification audit activities may need to have a stage 1 audit in situations where there have been significant changes to the management system, the organisation, or the context in which the management system is operating (e.g. changes to legislation). Such changes can occur at any time during the certification cycle and KBS may perform a special audit, which might or might not be a two-stage audit.

4.6.3.2 Recertification audit

The recertification audit includes an on-site audit that addresses the following:

a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;
b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;
c) the effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).

For any major nonconformity, KBS defines the time limits for correction and corrective actions. These actions are implemented and verified prior to the expiration of certification.

Where recertification activities are successfully completed prior to the expiry date of the existing certification, the expiry date of the new certification can be based on the expiry date of the existing certification. The issue date on a new certificate is on or after the recertification decision.

If KBS has not completed the recertification audit or the certification body is unable to verify the implementation of corrections and corrective actions for any major nonconformity prior to the expiry date of the certification, then recertification will not be recommended, and the validity of the certification will not be extended. The client is informed, and the consequences are explained.

Following expiration of certification, KBS can restore certification within 6 months provided that the outstanding recertification activities are completed. The effective date on the certificate is on or after the recertification decision and the expiry date is based on prior certification cycle.

4.6.4 Special audits

4.6.4.1 Expanding scope

KBS, in response to an application for extension to the scope of a certification already granted, undertakes a review of the application and determines any audit activities necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a

surveillance audit.

4.6.4.2 Short-notice audits

It may be necessary for KBS to conduct audits of certified clients at short notice or unannounced to investigate complaints, or in response to changes, or as follow up on suspended clients. In such cases
a) KBS describes and makes known in advance to the certified clients, the conditions under which these short notice visits are to be conducted, and
b) KBS exercises additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members.

4.6.5 Suspending, withdrawing or reducing the scope of certification

KBS has a policy and documented procedure(s) P-09 for suspension, withdrawal or reduction of the scope of certification, and has specified the subsequent actions by it (KBS).

KBS suspends certification in cases when, for example,

- ✓ the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,
- ✓ the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or
- ✓ the certified client has voluntarily requested a suspension.
- ✓ the client deliberately or consistently non-comply with legal requirements

Under suspension, the client's management system certification is temporarily invalid.

KBS restore the suspended certification if the issue that has resulted in the suspension has been resolved. Failure to resolve the issues that have resulted in the suspension in a time established by KBS results in withdrawal or reduction of the scope of certification. In most cases the suspension does not exceed 6 months.

KBS reduces the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification. Any such reduction is in line with the requirements of the standard used for certification.

4.7 Use of Certificate, Certification Logo and Accreditation Mark

(1) Certification Manager ensures that KBS complies with the conditions for use of Accreditation Mark.
(2) Customer's use of certificate and certification logo is controlled in accordance with Procedure P-12.

5.0 Records

- List of Certified Customers [F-20

Annexure 1

Subcategory	Sectors	Typical processes	PRP's	Seasonality, Cultural, Social or any other factors	Hazards
CO	***Animal Primary Conversion***	***Conversion of animal carcasses intended for further processing including lairage, slaughter, evisceration, bulk chilling, bulk freezing, bulk storage of animals and game gutting, bulk freezing of fish and storage of game.***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism***	***Cultural: HALAL should be followed; Pork should not be mixed with other meat products. (for both countries***	***Biological hazards includes Salmonella, Listeria and S. aureus, Other pathogens such as viruses, fungi and even parasites are publicly known that are capable of causing food-borne infections from fish and fishery products***
CI-A	***Production and packaging of fish, fish products and sea food***	Processing of fish involves stunning, grading, slime removal, de-heading, washing, scaling, gutting, cutting of fins, meat bone separation and steaks and fillets	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism	There is not much influence butfish growth increases from the july to june month and highest in the June month due to temperature changes.	Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc.
CI-B	***Production and packaging of meat products***	Washing, stunning and bleeding, dehairing, Evisceration, chilling, cutting and boning	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework	Cultural: HALAL should be followed; Pork should not be mixed with other meat products. (for both countries	Biological hazards (9): Bacillus cereus, clostridium botulinum, Listeria, E-coli, Salmonella typhi; Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, bone, metal, stones etc.

			and recall, product information, food defence and bioterrorism		
CI-C	***Production and packaging of egg products***	Filtering, mixing, stabilizing, blending, pasteurizing, cooling, freezing or drying, and packaging	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism		chemical and microbiological hazards and the main findings are: Risks associated with chemical hazards in eggs and egg products are low. Salmonella is the principal microorganism of human health concern associated with eggs and egg products.
CI-D	***Production and packaging of dairy products requiring chilled or frozen temperature control***	Collection of milk, pasteurization, storage, homogenization, packing and cold storage	Safety of water, steam, and ice, cleanliness of food contact surfaces, prevention of cross contamination, Personal hygiene, prevention of adulteration, labelling storage and use of toxic compounds, Pest control, Allergen management	Production depends on the annual milk yield of individual cows, whether farm practice is organic or non-organic, the time of year at which calves are born, the level of fertilizer application to grassland etc.	Lactococcus, Staphylococcus, Streptococcus,Clostridium, bacillus, Pseudomonas etc.
				Intended use i.e whether for children consumption or general use.	
CI-E	***Production of pet food from animal products only***	***Processing of pet food including receiving, inspection, Rendering, Grinding and pre-cooking ,Blending and shaping, Packaging and labeling, spray cooling, flaking/caking Sterilizing, storage, dispatch.***	**Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and**	**Climate, and moisture.**	**Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc.**

			recall, product information, food defence and bioterrorism		
CII-A	Production and packaging of plant products including fruits and fresh juices and vegetables	Receiving, washing, destoning, Peeling, cutting, blanching, cooling	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism	Fruits and vegetables are seasonal but preservation of fruits and vegetables during off season can result in the marketing of the same.	Biological hazards: Shigella, hepatitis, Listeria, noroviruses, Salmonella Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc.
CII-B	Production and packaging of plant products including grain, nuts and pulses	Receiving, milling, shifting, mixing, tempering, Extrusion, Extruded product, Drying, Packaging	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism	These are also seasonal and production depends on the time of development of the same.	Bacterial pathogens and fungi or molds. Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc.
CII-C	**Production and packaging of frozen water-based products, plant- based meat and dairy substitutes**	**Extract proteins from raw materials. Use heat through an "extrusion" process to structure/texturize the proteins.**	**Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and**	**Climate, and moisture.**	**Biological hazards (9): Bacteria: Salmonella, Campylobacter, Listeria monocytogenes. TOXINS: Clostridium botulinum, clostridium perfringens, Bacillus cereus, staphylococcus aureus, VIRUSES** **Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, hair , bone, metal, jewelry stones etc.**

			recall, product information, food defence and bioterrorism		
CII-D	***Production pet food from plant products only***	***Processing pet food including receiving, inspection, Rendering, Grinding and pre-cooking ,Blending and shaping, Packaging and labeling, spray cooling, flaking/caking Sterilizing, storage, dispatch.***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism***	***Climate, and moisture.***	***Chemical- PCBs, Dioxins, Heavy metals, Biocides (pesticides, cleaning, substances), Veterinary drugs, Mycotoxins, Toxins, Carry over of authorized substances for non-target, species Biological- Aeromonas, Clostridium perfrigens, Clostridium botulinum, Campylobacter, Enterobacteriaceae, Pathogenic E.coli, Listeria monocytogenes, Salmonella, Staphylococcus aureus Physical- Glass , Metal & Wood***
CIII-A	Production and packaging of mixed animal and plant products including pizza, lasagne, sandwich, dumpling, ready- to-eat meals Includes off-site catering kitchens Includes products of industrial kitchens not offered for immediate consumption	Dough, proving, prepare toppings, baking, cooling and refrigeration	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism	HALAL and KOSHER to be followed if going to the particular country.	Lactococcus, Staphylococcus, Streptococcus, Clostridium, bacillus, Pseudomonas etc.
				Season doesn't affect their production.	Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc.
CIII-B	***Production of perishable pet food from mixed products***	***Processing perishable pet food includes Raw material receiving, inspection, Rendering, Grinding and pre-cooking ,Blending and shaping, Packaging and labeling, spray cooling, flaking/caking Sterilizing, storage, dispatch.***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and***	***Climate, and moisture.***	***Chemical- PCBs, Dioxins, Heavy metals, Biocides (pesticides, cleaning, substances), Veterinary drugs, Mycotoxins, Toxins, Carry over of authorized substances for non-target, species Biological- Aeromonas, Clostridium perfrigens, Clostridium botulinum, Campylobacter, Enterobacteriaceae,***

			sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism		***Pathogenic E.coli, Listeria monocytogenes, Salmonella, Staphylococcus aureus Physical- Glass , Metal & Wood***
CIV-A	Production and packaging of food products from any source that are stored and sold at ambient temperature, including canned foods, biscuits, snacks, oil, pasta, flour	Receiving, Mixing of ingredients, Proving, baking, cooling, packaging, storage and dispatch	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism	This category is not season affected and can be produced in the whole year	Lactococcus, Staphylococcus, Strptococcus,Clostridium, bacillus, Pseudomonas etc. Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc.
CIV-B	Production of drinking water, non alcoholic beverages	Sedimentation, storage, flocculation, filtration, disinfection, storage.	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism	Water is not seasonal but other beverages are seasonal and production is more in summer as compared to winters.	Bacteria:E-coli, Campylobacter, Viruses: norovirus, hepatitis E; Protozoans: Giardia, cryptosporidium Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc
CIV-C	Production of alcoholic beverages	fermentation, distillation, storage	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest	Alcohol is not seasonal.	***Physical hazards: glass, metal, heavy metals contamination, stone etc. Chemical: content of chemical, volatile and non-volatile, aldehyde and methyl alcohol Biological: total viable count, Coliform and yeast and mold***

CIV-D	Production of sugar	Sugarcane juice preheating, sulphitor, heating, filtration, evaporation, crystallization, storage	Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism	Not affected by other factors.	Physical: hard and sharp metal Chemical: Overdosing of SO2
CIV-E	Production of food grade Salt	Precipitation, Evaporation.	Cleaning and sanitization, personal hygiene, rework and recall, product information, food defence and bioterrorism	Not affected by other factors.	Sharp edged crystals in the salt farm Electricity Contact with machine parts Air pollution Leakage of acids and aggressive chemicals Light (both excessive light as well as poor light) Heat Manual carrying of load Poor housekeeping Fire Poor living conditions Shift work
CIV-F	***Production of ambient stable pet food***	***Processing ambient stable pet food includes receiving, inspection, Rendering, Grinding and pre-cooking, and shaping, Packaging and labeling, spray cooling, flaking/caking Sterilizing, storage, dispatch***	***Cleaning and sanitization, personal hygiene, rework and recall, product information, food defence and bioterrorism***	***Climate, and moisture.***	***Chemical- PCBs, Dioxins, Heavy metals, Biocides (pesticides, cleaning, substances), Veterinary drugs, Mycotoxins, Toxins, Carry over of authorized substances for non-target, species Biological- Aeromonas, Clostridium perfrigens, Clostridium botulinum, Campylobacter, Enterobacteriaceae e, Pathogenic E.coli, Listeria monocytogenes, Salmonella, Staphylococcus aureus Physical- Glass , Metal & Wood***
D-A	***Production of feed material intended for food and non-food producing animals not kept in households,***	***raw material, storage and selection*** ***raw material weighing, raw material grinding, mixing of dry ingredients and addition of liquids, pelleting of mixed feed (optional),blended feed bagging, storage and***	***1. Premises 2. Receiving, storage and transportation 3.Stable feeding and lot/intensive feeding units 4. Good animal feeding***	***Climate, and moisture.***	***Chemical- PCBs, Dioxins, Heavy metals, Biocides (pesticides, cleaning, substances), Veterinary drugs,, Mycotoxins, Toxins, Carry over of authorized substances for non-target, species Biological- Aeromonas,***

	e.g. meal from grain, oilseeds, by-products of food production.	*dispatch.*	*practice 5. Agricultural production of feed 6. Manufacturing of feed on-farm*		*Clostridium perfrigens, Clostridium botulinum, Campylobacter, Enterobacteriaceae, Pathogenic E.coli, Listeria monocytogenes, Salmonella, Staphylococcus aureus Physical- Glass , Metal & Wood*
D-B	*Production of Animal Food like feed mixtures, with or without additives, intended for food-producing animals, e.g. premixes, medicated feed, compound feeds.*	*Rendering , Grinding and pre-cooking ,Blending and shaping, Packaging and labeling, Sterilizing*	*1. Feed materials conform spec 2. Mixing 3. Transport / storage 4. Cooling 5. Storage, transport, including point of sales*	*Climate, and moisture.*	*Chemical- PCBs, Dioxins, Heavy metals, Biocides (pesticides, cleaning, substances), Veterinary drugs,, Mycotoxins, Toxins, Carry over of authorized substances for non-target, species Biological- Aeromonas, Clostridium perfrigens, Clostridium botulinum, Campylobacter, Enterobacteriaceae, Pathogenic E.coli, Listeria monocytogenes, Salmonella, Staphylococcus aureus Physical- Glass , Metal & Wood*
EI	*Preparation of components and products for on-site direct consumer consumption or take away. Examples include restaurants, hotels, work places (school or factory cafeteria), including retail with on-site preparation (e.g. rotisserie chicken). Includes reheating of food, coffee shops and pubs*	*Receiving, cooking, mixing, blending, packaging, storage, dispatch*	*Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism*	*Depends on the season (particular food item), cultural (on few occasions non veg is not eaten by so many communities)*	*Lactococcus, Staphylococcus, Streptococcus, Clostridium, bacillus, Pseudomonas etc.* *Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc*

EII	***Open exposed food activities such as cooking, mixing and blending, preparation of components and products for take away. Examples include restaurants, hotels, food trucks, institutions, work places (school or factory cafeteria), event catering, coffee shops and pubs***	***Receiving of raw material, storage chilled, frozen storage, thawing, slicing, chopping, blending, mixing, roasting, cooking, frying, cooling, chilled storage, temperature controlled display and storage, microwave, packing, metal detection, dispatch, dish washing, sanitizing (chemical or hot water), potable water shell be used for food preparation and servicing as per country regulatory guideline, drying, cleaning and sanitizing as per scheduled frequency. Cleaning and sanitization of equipment's according to scheduled frequency. OPRP: receiving temperature of Raw material Food servicing and transportation temperature should be maintain by brain Marie and hot trolly . Re Heating of food: Re-heating of food should be done above 75oC.*** ***CCP: cooking core temperature, frying core temperature, CCP limit: product should be cooked or fried at above 90 +- 2 oC .***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, staff health examination, working staff hygiene training, food defence and bioterrorism, separate waste and uneatable food storage facility, separate toilet facility, ISO/TS 22002-2:2013***	***No seasonal impact, product are maintained according to regional culture***	***Lactococcus, Staphylococcus, Strptococcus, Clostridium, bacillus, Pseudomonas etc. Chemical hazards: additives, lubricants, pesticides cross contamination, Physical hazards: glass, metal, stones etc***
FI	***Storage and provision of finished products to customers and consumers (retail outlets, shops, wholesalers).***	***Slicing, portioning, reheating***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control,***	***Temperature to be maintained As per the season requirements. Cultural: TO prevent the cross contamination between HALAL and NON-HALAL food products – Keep it separate***	***Lactococcus, Staphylococcus, Streptococcus, Clostridium, bacillus, Pseudomonas etc (if storage temperature won't be maintained) Chemical hazards: cleaning chemical , processing water, pesticides***

			personal hygiene, rework and recall, product information, food defence and bioterrorism		
FII	***Buying and selling products on its own account without physical handling or as an agent for others of any item that enters the food chain.***	***Trading, broking***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism***	***Temperature to be maintained As per the season requirements. Cultural: TO prevent the cross contamination between HALAL and NON-HALAL food products – Keep it separate***	***Lactococcus, Staphylococcus, Streptococcus, Clostridium, bacillus, Pseudomonas etc (if storage temperature won't be maintained) Pest or insect infestation. Chemical: pesticides residue, any chemical contamination in transportation vehicles.***
G-A	***Transport and storage services of perishable food and feed***	***Storage facilities and distribution vehicles for perishable food and feed where temperature integrity shall be maintained. Relabelling/repackaging excluding open exposed product materials***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism***	***Temperature to be maintained As per the season requirements.***	***Lactococcus, Staphylococcus, Streptococcus, Clostridium, bacillus, Pseudomonas etc. (if storage temperature won't be maintained). Pest or insect infestation. Chemical: pesticides residue, any chemical contamination or many metal contamination in transportation vehicles.***
G-B	***Transport and storage services of ambient stable food and feed***	***Storage facilities and distribution vehicles for ambient stable food and feed. Relabelling/repackaging excluding open exposed product materials***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross***	***Temperature to be maintained As per the season requirements.***	***Lactococcus, Staphylococcus, Streptococcus, Clostridium, bacillus, Pseudomonas etc Pest or insect infestation. Chemical: pesticides residue, any chemical contamination in transportation vehicles.***

			contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism		
G-C	***Transport and storage services of food packaging material***	***Storage facilities and distribution vehicles for food packaging material.***	***Building and workplace layout, air water and energy utilization, waste disposal, equipment maintenance, prevention of cross contamination, cleaning and sanitization, pest control, personal hygiene, rework and recall, product information, food defence and bioterrorism***	***Temperature to be maintained As per the season requirements.***	***Lactococcus, Staphylococcus, Streptococcus, Clostridium, bacillus, Pseudomonas etc. (if storage temperature won't be maintained). Pest or insect infestation. Chemical: pesticides residue , any chemical contamination in transportation vehicles.*** ***Physical: dust, temperature and cleaning condition or any metal contamination of transportation van.***