

MAINTAINING CERTIFICATION DURING THE PANDEMIC

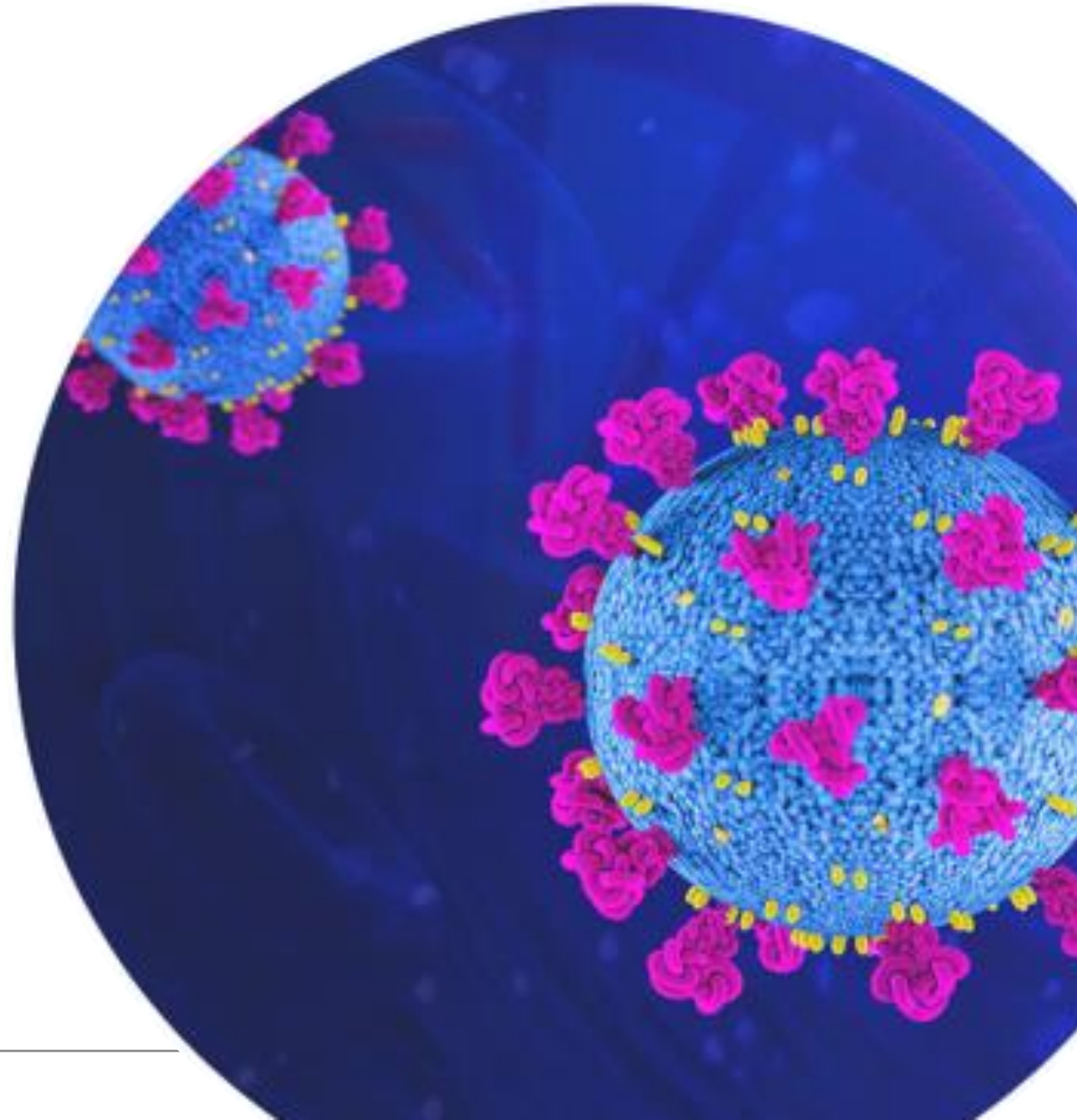
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WHEN YOU NEED TO BE SURE

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- Background
- How the schemes still differ today
- What is involved in a certificate extension?
- What is considered in the risk assessment?
- Moving forward – what could change?
- Conclusion
- Q&A





- At the beginning of the outbreak each of the Certification Program Owners created their own way of managing the crisis
- Some were allowing remote audits or partial assessments
- There was general confusion in the marketplace of what should happen
- The Global Food Safety Initiative (GFSI) most recent position statement was published on April 8th for extending certificates:

“GFSI mandated a certificate extension of six months providing that... a risk assessment has confirmed that extending the certificate is advisable. This risk assessment must be carried out by the Certification Body (CB) under guidelines from the Certification Programme Owner and the IAF ID3.”



How the schemes still differ today

Certificate Extension permitted?	Yes
Certificate Extension duration?	6 months for recertification
Typical duration?	0.5 – 1 day duration
GFSI Scheme owner fee?	250 GBP (from June 1 st)
Other Options?	Certificate Extension PLUS 1 day duration Not GFSI Compliant Scheme Owner Fee of 400 GBP Covid-19 Additional Module 0.5 day duration Not GFSI Compliant Scheme Owner Fee of 200 GBP

How the schemes still differ today

Certificate Extension permitted?	Yes
Certificate Extension duration?	6 months for recertification 6 month delay on surveillance visits
Typical duration?	0.5 – 1 day duration
GFSI Scheme owner fee?	None
Other Options?	No

How the schemes still differ today



Certificate Extension permitted?	No
Certificate Extension duration?	-
Typical duration?	-
GFSI Scheme owner fee?	-
Other Options?	<p>Unaccredited Remote Surveillance Check</p> <p>1 – 2 day duration</p> <p>Not GFSI Compliance</p> <p>Scheme Owner Fee of 100 EUR</p>

How the schemes still differ today



Certificate Extension permitted?	Yes
Certificate Extension duration?	6 months for recertification 6 month delay on surveillance visits
Typical duration?	0.5 – 1 day duration
GFSI Scheme owner fee?	N/A
Other Options?	Remote audits can be conducted for Surveillance and Recertification audits

How the schemes still differ today



Certificate Extension permitted?	Yes
Certificate Extension duration?	6 months for recertification 3 month for surveillance
Typical duration?	0.5 day duration
GFSI Scheme owner fee?	None
Other Options?	If High risk then an additional 1 day remote assessment is to be conducted to see if risk can be reduced for certificate extension

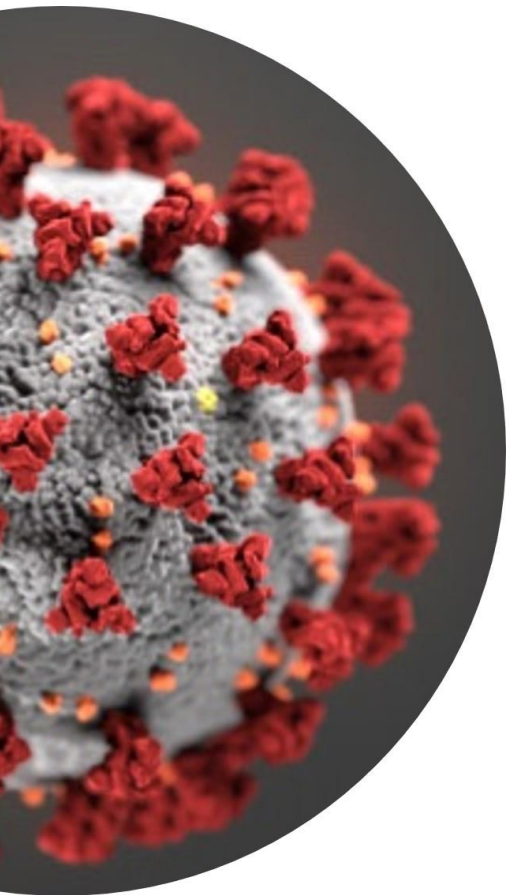
What is involved in a certificate extension?

- If the audit can go ahead as normal, then this is always the first choice
- The CB must first determine if the site is applicable to have a certificate extension:
 - The certified organization is in an area affected by government restrictions and/or official travel bans or;
 - The certified organization's company policy is temporarily prohibiting visitors due to COVID-19 and not allowing auditors on their premises or;
 - The CB policy is prohibiting auditors from travelling in the area
- The CB may request certain documents in advance to review
- Then a call will be arranged with the organization to interview the Leadership to validate the findings from the desktop review



What is considered in the risk assessment?

- Review of the implementation of sites emergency response plan to COVID-19
- Maintenance of management system, for example:
 - Internal Audits
 - HACCP review
- Review of any significant changes to the operation of the site in response to COVID-19, for example - changes in outsourcing and the controls the site has put in place.
- Review of recent customer complaint levels
- Review of any product recall since the last audit, root cause and corrective actions put in place as a consequence.




Moving forward – what could change?



- On April 28th the GFSI announced a stakeholder consultation on the use of Information & Communication Technology (ICT)
- Key elements of the proposal for remote auditing:
 - Part of the audit shall be carried out on site (except Brokers)
 - The Scheme Owners must define what can and cannot be remotely audited – without compromising the audit
 - The Scheme Owners must define what the maximum time permitted between remote and on-site audit elements
 - The remote element can only be conducted if the organisation agrees to it
- Due for GFSI Board review/approval end of May 2020
- Once GFSI communicate decision, we will provide all the guidance necessary to support our clients through the approved process
- SGS has a no. of remote technology solution to assist clients

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