

CONTENT

1.	CERTIFICATION PROCEDURE	3
1.1.	Audit Preparation.....	3
1.2.	Audit Stage 1	4
1.3.	Audit Stage 2 – Certification Audit.....	4
1.4.	Subcontractor (assigned by Producer/ Trader)	4
1.5.	Award of Certificate.....	5
2.	SURVEILLANCE AUDIT	5
3.	RECERTIFICATION AUDIT	5
4.	SPECIAL AUDITS.....	5
4.1.	Extension of scope audit	5
4.2.	Short Notice audits.....	6
4.3.	Unannounced audits	6
5.	MANAGEMENT OF NON-CONFORMITIES.....	7
6.	FEED FRAUD PREVENTION AND DEFENSE MODULE	7
7.	FEED SAFETY INCIDENT	8
8.	WITHDRAWAL OF CERTIFICATES	8
9.	SUSPENDED CERTIFICATE.....	8
10.	INVOICING ADDRESS/ REGISTRATION ADDRESS.....	8
11.	NOTIFICATION OF CHANGES	9
12.	USE OF LOGO	9
13.	TRANSFER OF CERTIFICATES	9
13.1.	Transfer to TÜV NORD CERT GmbH.....	9
13.1.1.	Pre Transfer Review	10
13.2.	Transfer to another Certification Body.....	10

If you should require any further information then please do not hesitate to contact us. We will be please to help you.

Please contact us via mail to info.tncert@tuev-nord.de or by telephone 0800 245 74 57 (Free-phone from within Germany) or +49 511 9986-1222 from abroad.

TÜV NORD CERT GmbH
Am TÜV 1
45307 Essen
Germany

www.tuev-nord-cert.com

Rules and performance descriptions regarding certification according to FAMI-QS Code

The rules and the performance descriptions regarding certification according to the FAMI-QS Code and Rules for customers constitute an integral part of the offer. They supplement the general conditions of certification.

Rules of the TÜV NORD CERT certification procedure according to FAMI-QS

The client is obliged to comply with the rules of the respective valid certification specifications of the FAMI-QS system (www.fami-qs.org) on the basis of the respective verification level. These are in particular:

- The certification body is entitled to pass on information to FAMI-QS which affects the certification procedure according to the provisions of the FAMI-QS standard.
- If it becomes clear to the client that a claim or a charge could be brought before the court with regard to the safety or legality of a product, he will inform the certification body immediately. From its side, the certification body will take appropriate steps in order to assess the situation and its effect on the certification and will take suitable measures.
- The audit can only ever include one operating/production site
- The customer will inform the certification body in writing in the case of a product recall, and will provide details of what has occurred. From its side, the certification body will take appropriate steps in order to assess the situation and its effect on the certification and will take suitable measures.
- Audit results from the FAMI-QS- audits has to be submitted to FAMI-QS
- The customer agrees the performing of
 - witness audits by Accreditation Bodies or FAMI-QS
 - audits of special purpose, parallel audits, short notice audits
 - training of new auditors by the Certification Body

1. CERTIFICATION PROCEDURE**1.1. Audit Preparation**

Traders that place products on the market under their own label are considered producers. Production in this case is done by a subcontractor. In case the subcontractor is not certified against one of the standards with which FAMI-QS maintains mutual recognition arrangements (see document P-MS-003), the Certification Body shall consider auditing the contracted manufacturer, at least once within the certification cycle

Any customer who wants to be certified against FAMI-QS has to send an application form to FAMI-QS with the product list. The FAMI-QS process manager will return a letter of acceptance / rejection of the application. The acceptance / rejection of the application will be based on the products included in the application and their relevance to the FAMI-QS scope.

The approval letter is needed for initial audits and re-certification audits and it has to be sent to the TÜV NORD CERT GMBH.

According to the requirements of ISO /IEC 17021 and ISO/TS 22003, the FAMI-QS initial certification audit shall be conducted in two stages, stage 1 and stage 2.

Before the stage 1 audit for initial certification, the customer shall provide the Certification Body with the following documentation:

- Approval letter from FAMI-QS.
- Legal feed business operations documents
- List of products coming from the processes covered in the FAMI-QS Scope
- List of ingredients purchased from non-assured suppliers (processing aids/intermediates are excluded);
- Information about production site(s);
- Externally provided services (contract manufactures, warehouses);
- Audit report from the subcontractor(s) (toll manufacturer(s), supplier(s), if applicable
- Countries where the products are placed on the market

1.2. Audit Stage 1

The objective of the stage 1 audit is to provide a focus for planning the stage 2 audit; this shall be achieved by gaining an understanding of the Feed Safety Management System (Feed SMS), in the context of the Customer's feed safety hazard identification, analysis, HACCP plan and PRPs, policy and objectives, and in particular according to the Customer's level of preparation for the audit, .

The findings in Stage 1 shall be documented and communicated to the client.

The findings of Stage 1 do not include Non Conformities.

The stage 2 audit shall be conducted within six months after the date of Stage 1. In case that the stage 2 is not conducted within six months, the stage 1 audit must be repeated.

A stage 1 audit is required for the initial certification audit.

A stage 1 audit might apply for the re-certification audit when major changes in the Customer's Feed Safety Management system have occurred.

1.3. Audit Stage 2 – Certification Audit

Stage 2 takes place at the location of an applicant who seeks certification against the FAMI-QS Code of Practice. All sections of the FAMI-QS Code of Practice and Feed Fraud Prevention and Defence module shall be verified.

1.4. Subcontractor (assigned by Producer/ Trader)

If the subcontractor is not FAMI-QS certified or is not certified by any other mutual recognized standard, the Customer shall evaluate the risk connected to the Customer's service and, if relevant, perform a full audit, in order to ensure that the subcontractor meets the FAMI-QS requirements.

Thus, the Customer shall audit the establishment of the subcontractor against FAMI-QS requirements. A report shall be made available. Based on the evidence presented in the subcontractor audit report, it will be decided by Certification Body, if the subcontractor will be audited.

1.5. Award of Certificate

The certificate is issued when the certification procedure has been reviewed and released by a certification decision.

The period of validity of the TÜV NORD CERT certificate is three years, calculated from the time of the certification decision, provided that the annual surveillance audits in the company take place according to schedule.

2. SURVEILLANCE AUDIT

The company data are updated before the surveillance audit, in order to take any changes which have a significant influence on the area of activity or the operational methods of the client into consideration. Surveillance audits must be conducted once per year during the period of validity of the certificate. Surveillance audits shall be performed prior the due date / audit-relevant date. The audit-relevant date for the annual surveillance audit, which follows the initial certification audit, may not be later than 12 months after the last day of the stage 2 audit. The audit-relevant date controls all the surveillance audits. Within the framework of annual surveillance, a surveillance audit can be conducted at the earliest 3 months before the audit-relevant date.

In case of nonconformities, the same procedure is followed as for the certification audit. The certificate can be withdrawn in case of major nonconformities.

3. RECERTIFICATION AUDIT

A recertification audit shall be conducted at least thirty (30) days prior to the expiry date of the certificate to allow for the certification decision prior to the expiry of the certificate.

A failure to perform the recertification audit before the expiration of the certificate results in the interruption of the certification cycle. In this case, the wording "certified since" cannot be included on the certificate.

If a recertification is conducted within six (6) months after the expiry of a certificate, at least a Stage 2 shall be conducted. If the certification expiry is more than six (6) months, a Stage 1 and a Stage 2 shall be conducted to restore the certification

4. SPECIAL AUDITS

4.1. Extension of scope audit

In response to an application for the extension of the scope of a certification that has already been granted, the Certification Body will undertake a review of the application and determine any audit activities that may be deemed necessary to decide whether or not the extension may be granted. This may be conducted in conjunction with a surveillance or re-certification audit.

4.2. Short Notice audits

It may be necessary for the Certification Body to conduct audit of certified Customer at short notice (up to 72 hours`notice), in order to:

- investigate a complaint or
- in response to a feed safety incident or crisis at the Customer's site or
- as a follow-up on suspended certificate(s).

In such cases:

The Certification Body shall inform the certified Customer(s) in advance and describe the conditions under which this/these short notice visit(s) will be conducted.

The Certification Body shall notify FAMI-QS about the result of the audit.

The P-CM-01 Feed Incident Management Procedure for Operators and Certification Bodies shall be applied.

A short notice audit could be initiated upon FAMI-QS request. The cost of the audits will be covered by the FAMI-QS Certified Operator

4.3. Unannounced audits

An unannounced audit is part of the audit program for each FAMI-QS certified Customer. The unannounced audits are applicable to both producers and traders. Participation in the unannounced audit program is mandatory.

A minimum of one (1) unannounced audit is undertaken after the initial certification audit and within each 3-year period thereafter as an additional audit, on top of surveillances audits.

Frequency: once per certification cycle (additional to surveillance audit).

Notification to the FAMI-QS Certified Customer: No notice in advance.

Unannounced audits shall not be:

- a. in the first 6 months or the last six months of the certification cycle
- b. adjacent to a surveillance audit.

Customers shall inform the Certification Body regarding any scheduled maintenance closure of the company.

In the event that the certified Operator refuses to participate in the unannounced audit, the certificate shall be suspended immediately, and the Certification Body shall withdraw the certificate, if the unannounced audit is not conducted within a six-month timeframe.

5. MANAGEMENT OF NON-CONFORMITIES

The following non-conformities could be raised up during the audit. They have the following consequences:

Non-conformity	Initial audit	Surveillance	Re-certification audit
Major	<p>Certification cannot be granted.</p> <p>Action plan shall be submitted within 7 days after audit.</p> <p>Non-conformities have to be closed within 6 weeks after the audit</p>	<p>The action plan shall be presented to the Certification Body, in 14 calendar days at the latest after the audit date.</p> <p>Evidence that non-conformities have been closed will be checked 28 days after the presentation of the action plan at the latest. In case that the aforementioned time frame is not sufficient, further coordination with FAMI-QS is required.</p> <p>If a non-conformity is not resolved, then the certification is suspended and a special audit shall be applied for the closing of the major NCR.</p>	<p>Certification cannot be granted.</p> <p>Action plan shall be submitted within 7 days after audit.</p> <p>Non-conformities have to be closed within 6 weeks after the audit.</p>
Minor	<p>Certification cannot be granted until the non-conformities have been closed.</p> <p>Action plan shall be submitted within 7 days after audit. Non-conformities have to be closed within 6 weeks after the audit</p>	<p>Certification continues.</p> <p>An agreement on the action plan shall be reached between the Certification Body and the Customer. The deadline for this agreement is 14 calendar days after the Certification Body has received the action plan from the Customer.</p> <p>Evidence that non-conformities have been closed will be checked by the auditor, at the latest during the following audit. If the non-conformity is not solved and closed by then, it becomes a major non-conformity.</p>	<p>Certification continues.</p> <p>An agreement on the action plan shall be reached between the Certification Body and the Customer. The deadline for this agreement is 14 calendar days after the Certification Body has received the action plan from the Customer.</p> <p>Evidence that non-conformities have been closed will be checked by the auditor, at the latest during the following audit. If the non-conformity is not solved and closed by then, it becomes a major non-conformity.</p>

6. FEED FRAUD PREVENTION AND DEFENSE MODULE

The Feed Fraud Prevention and Defence module is not a stand-alone document and will be used exclusively in conjunction with the FAMI-QS Code of Practice Version 6.0. Implementing and adhering to the module is mandatory for all feed business organizations choosing to get certified against FAMI-QS Version 6.

Multisite organizations operating under a centralized FAMI-QS Management System shall ensure that all the sites listed on their centralized certificates are covered by the module.

For the implementation of the module, FAMI-QS has developed specific templates that the operators shall use. The templates will guide you through the process in order to develop your own vulnerability and fraud assessments. In addition, these templates will support and help in the standardization of the auditing process.

7. FEED SAFETY INCIDENT

In the event that the Customer becomes aware or has reasons to suspect a feed safety incident, or in the event of a product recall in relation to such incidents, the Customer shall immediately make the FAMI-QS Process Manager and the Certification Body aware of the situation.

The notification shall take place within 24 hours. By Exceeding the maximum permitted levels of undesirable substances as defined within EC 32/ 2002 the notification has to be done within 12 hours. Together with the Customer, the Certification Body in turn shall take appropriate action steps to assess the situation and any implications that there may be for the Customer's certificate. The Certification Body shall inform FAMI-QS of the result from this assessment and its further progress.

The Customer and the Certification Body shall follow the "*Feed Safety Incident and Crisis Management Procedure for Customers and CBs*" (P-CM-001).

In case of an incident send us the notification to the following address:

tncert-food-recall@tuev-nord.de

8. WITHDRAWAL OF CERTIFICATES

The withdrawal of a certificate remains the responsibility of the Certification Body.

Once a withdrawal is confirmed, FAMI-QS ASBL Secretariat will be immediately inform about the status change, the reason of withdrawal and the Certification Body will submit the certificate under "withdrawn" status. The certificate remains visible on FAMI-QS website as withdrawn. Automatically, a notification is sent to the members that have subscribed to receive the status changes.

9. SUSPENDED CERTIFICATE

The Certification Body shall make FAMI-QS immediately aware about the suspension of a certificate. The name of the Customer will be removed from the section certified companies on the FAMI-QS website during the period of the suspension

Suspension cannot exceed three months. Following that period, the certificate will be withdrawn by the Certification Body. At a minimum, a Stage 2 shall be conducted to restore the FAMI-QS certificate.

10. INVOICING ADDRESS/ REGISTRATION ADDRESS

The responsibility for placing products on the market relies in the invoicing address. Therefore, this address must be included under the Customer's Certificate.

In the event that the invoicing address is a PO box or no activity is taking place at the location, the address can be included on the certificate after a desk review of the legal documents (business registration, registration with the feed authorities, where applicable) performed by the auditor. This is not applicable when the invoicing address is holding responsibilities for warehousing, transportation, etc.

All the traceability and recall procedures are under the responsibility of the invoicing address. In this case, employees of the invoicing address shall be involved in the audit for the relevant parts.

11. NOTIFICATION OF CHANGES

The customer shall inform the Certification Body and FAMI-QS without delay, for the following changes:

- The legal, commercial, organizational status or ownership
- Customer and management changes
- Contact details, address and sites.
- Changes on the current certified scope
- Major changes to the management system and processes
- Issues related to the safety of the product.
- Any other issue which may affect the capability of the Feed Safety and Quality Management System

12. USE OF LOGO

The FAMI-QS name and logo may only be used by Customers that have obtained certification from a Certification Body recognised by FAMI-QS. The right to use the FAMI-QS logo and/or name is exclusively granted by FAMI-QS, and can be withdrawn at any moment in the event of non-compliance with certification requirements.

Certified Customers may display the FAMI-QS logo for the period of validity of their certificate. Use or display of the FAMI-QS logo does not constitute proof that the Customer is certified.

The FAMI-QS logo is available upon request made to FAMI-QS and/or to the relevant Certification Body. It may be used only in its original colours and proportions.

The FAMI-QS name and logo shall not be used on products, packaging, labels, means of transport, but may be used on certificates, advertisements and brochures.

13. TRANSFER OF CERTIFICATES

Only valid FAMI-QS certificates can be transferred. If the certificate is eligible for transfer, then the transfer of the certification shall be completed prior to the date of when the next surveillance is due or prior to the expiry of the certificate.

13.1. Transfer to TÜV NORD CERT GmbH

After the order has been placed, TÜV NORD CERT GmbH informs the issuing certification body about the planned transfer. TÜV NORD CERT GmbH asks for a confirmation that the certificate to be transferred is still valid and that there are no outstanding nonconformities.

Should reasons arise during this enquiry that contradict a transfer, the performance of an initial certification is necessary. This requires a recalculation as well as an adjustment of the existing contractual agreement.

The transfer of a certification is only possible if the customer's certificate is at the time of the pre-transfer review valid for at least another 3 months.

The review shall be conducted by means of a documentation review and where identified as needed shall include a pre-transfer visit to the transferring client to confirm the validity of the certification. For

multi-site certifications, a pre-transfer visit at the client to be transferred is required in the head office and at least at one site.

13.1.1. Pre Transfer Review

For the pre-transfer the following information is needed:

- the client's certification falls within the accredited scope of the issuing and accepting certification body
- all certificates issued by the last certification body and relevant for the transfer
- information about complaints received and the action taken
- any current engagement by the transferring client with regulatory bodies relevant to the scope of the certification in respect of legal compliance
- the initial certification or most recent recertification audit reports, and the latest surveillance report; the status of all outstanding nonconformities and any other available, relevant documentation regarding the certification process.
- If these audit reports are not made available or if the surveillance audit or recertification audit has not been completed as required by the issuing certification body's audit programme, then the organization shall be treated as a new client

If no problems are identified by the pre-transfer review, the certification cycle shall be based on the previous certification cycle and the accepting certification body shall establish the audit programme for the remainder of the certification cycle.

Once the pre-transfer review has been positively completed, a certificate is issued.

13.2. Transfer to another Certification Body

The customer needs to inform TÜV NORD CERT GmbH about the transfer to another certification body and need to send a cancellation letter to TÜV NORD CERT GmbH.

The accepting CB needs to initiate the transfer process. If needed the customer shall authorize TÜV NORD CERT GmbH to provide information sought by the accepting certification body.

Once the accepting certification body has issued the certification it shall inform TÜV NORD CERT GmbH, so that the certificate can be withdrawn in the database.