

GFSI: Ensuring Safety Through Certification

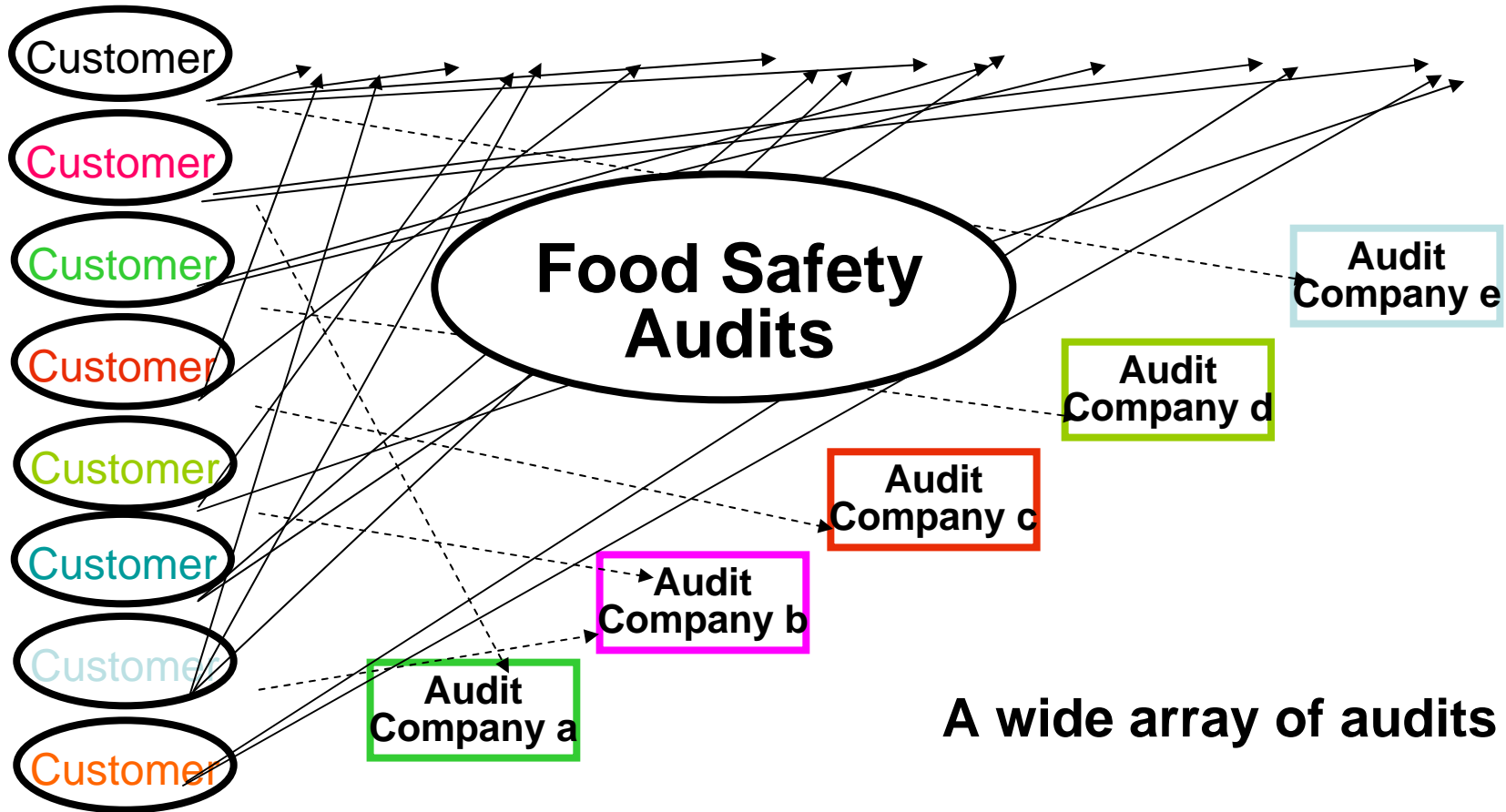
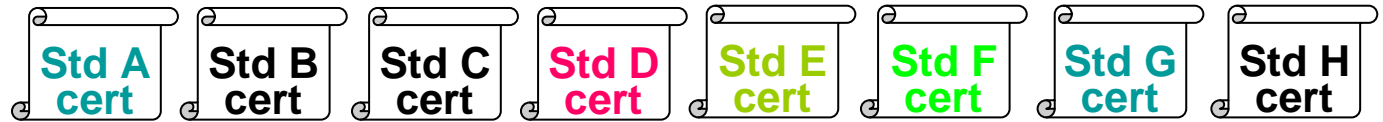
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Two Main Questions

- How do certified audits/assessments differ from non-certified audits?
- How does certification of a food manufacturing company's food safety management systems increase the confidence that its processes are in control?

Current Audits & Standards



A wide array of audits

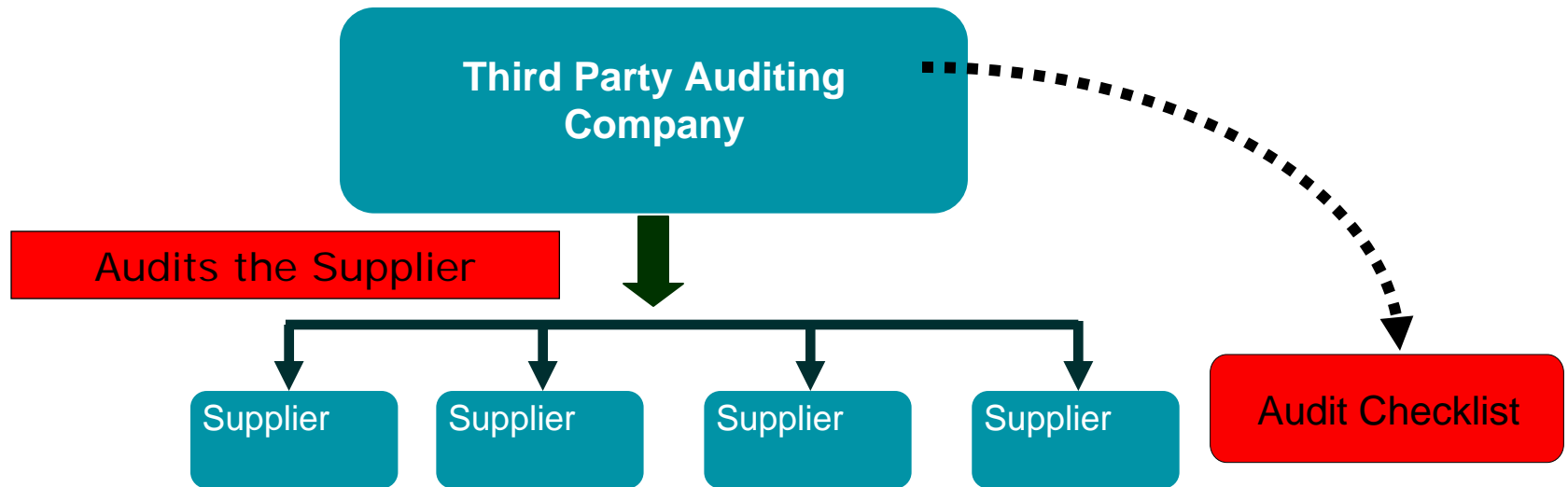
Remember These Basic Definitions

Accreditation Bodies “accredit” certification bodies

Certification Bodies are 3rd party auditing companies that must formally demonstrate their competence to carry out specific certification/conformity assessments

Certification Bodies audit suppliers to confirm (“certify”) compliance against a specific standard

Current Audit Framework



A Global Framework for Improving Food Safety Compliance

- **Accreditation**
- **Certification**
 - ◆ Validation that a facility's FSMS control its food safety processes and risks
 - ◆ Verification of compliance
- **Coding of auditors**
 - ◆ Can only audit to designated food sectors, based on technical knowledge of product/process, regulations, industry codes of practice
- **Corrective action resolution**

The Certification Process

- Proven concept in many industries, including food
- Widely practiced outside of North America
- Checks and balances are employed at all steps in the process
- Strong verification and results based procedures
- Ongoing

Accreditation Body Framework



Comprised of National Accreditation Bodies

Accreditation Requirements

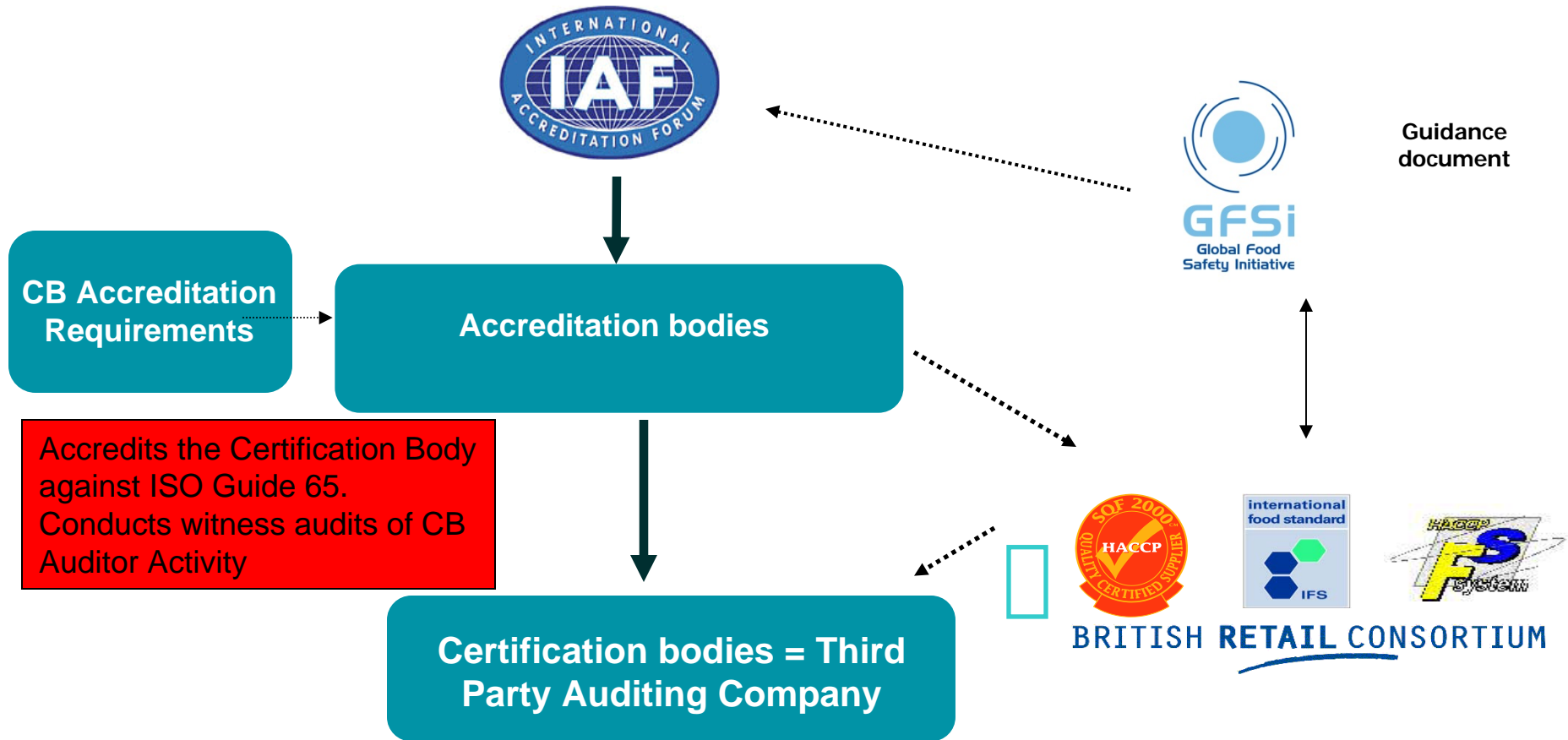


Accreditation bodies



Peer Review by Sister Accreditation Body

Certification Body Framework



Certification Body Must Demonstrate

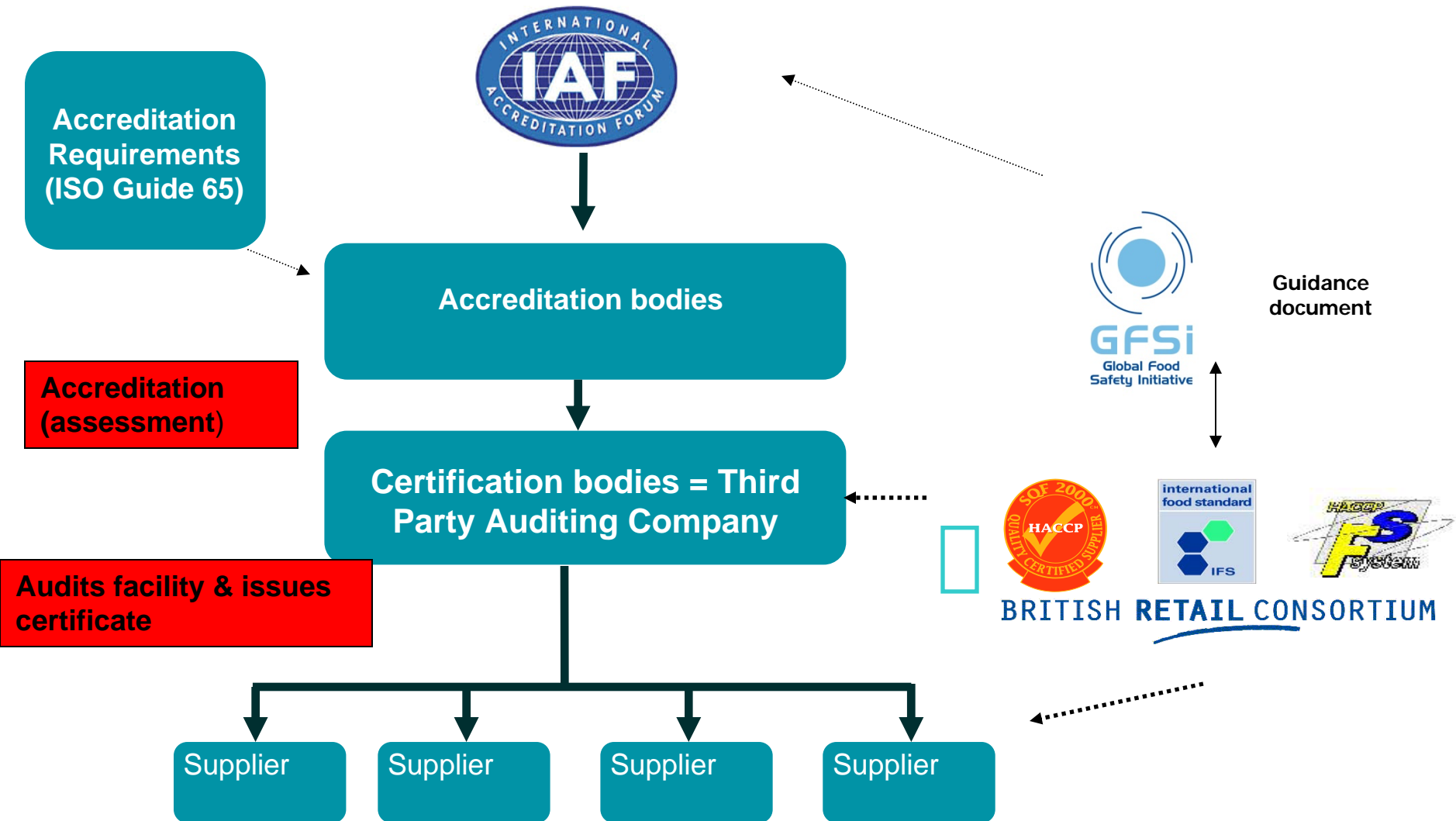
- **Operational Infrastructure (Organization, Processes, Finance & Review processes)**
- **Sustainable and compliant procedures & practices for all aspects of certification process**
- **Ability to meet international standards of Certification Management (ISO/IEC Guide 65)**
- **License from the Standard Owner to meet the scope of its standard**
- **Impartiality and management of conflicts of interest**



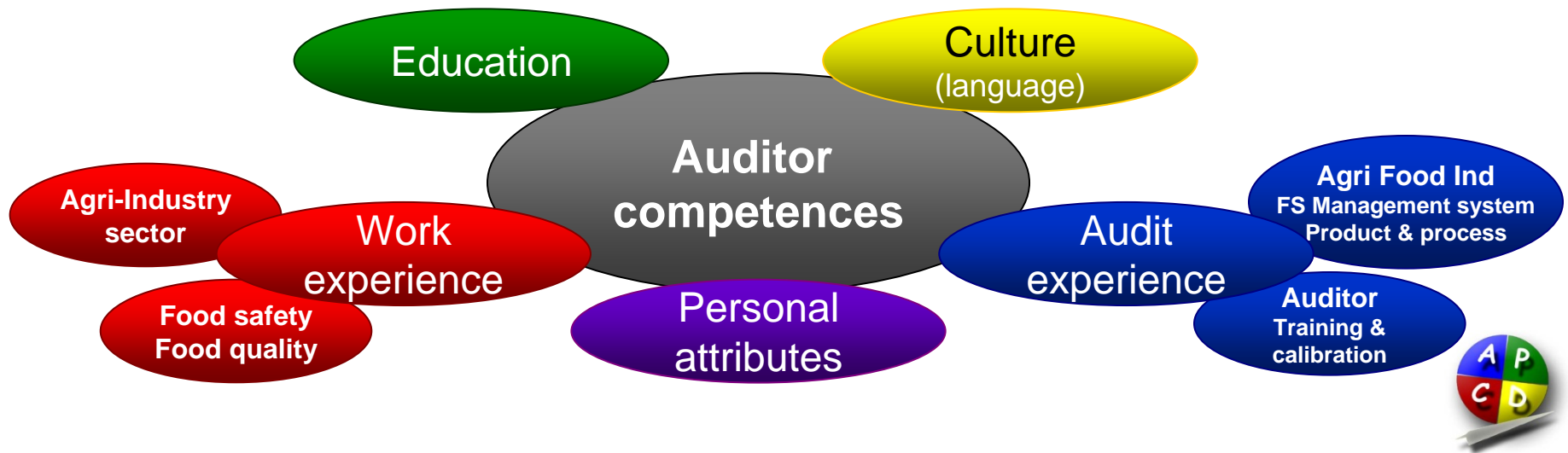
CB Maintains Capability to Achieve Consistency

- Clear, measurable assessments
- Defined processes for management of NC issues and CARs
- Auditors qualified, competent, recognized by Standard
- Clear focus on assessment against the standard and regulations, irrespective of the country where the audit is conducted
- Independent certification decision-making
 - ◆ Process separate from auditor to insure outcomes consistent with the standard
- Defined regular competence reviews of auditors and relevant staff
- Independent advisory board

Food Safety Certification Framework



Certification Auditor Competencies



Profile of the Certification Auditor

- **Education:**
 - ◆ Degree or equivalent in food or bio-science
 - ◆ Food safety & formal HACCP training
 - ◆ Formal Auditor Training Techniques
- **Work Experience:**
 - ◆ Relevant to approved food sectors
- **Audit Experience:**
 - ◆ Detailed audit logs by food sector for verification of scope and capability at different sites
 - ◆ Successful completion of practical assessment against relevant GFSI or other standards
- **Personal Attributes & Culture**
 - ◆ Decisive, Diplomatic, Ethical, Open Minded, Observant, Perceptive, Self-Reliant, Versatile

Profile of the Certification Auditor

- **Annual Audit Experience To Maintain Certification:**
 - ◆ Updated audit logs verify continued competency in food sectors
 - Conduct a minimum number of audit days against relevant GFSI endorsed standards
 - ◆ Demonstrate ongoing professional development in food safety systems and/or auditing techniques
 - ◆ Continued learning in government regulations, industry best practices, and changes to standards/schemes & new issues
- **To expand category scope(s):**
 - Theoretical training/experience
 - Supervised audits
 - Documentation & sign-offs by supervisor

CB Processes + Auditor Competencies = Consistency

- Follows CB's SOPs
 - ◆ Represents the CB and the Standard Owner
- Audits only to approved food sectors
- Practices impartiality & confidentiality
 - ◆ CB controls eliminate conflict of interest
 - ◆ Is independent of the auditee and/or the customer
 - ◆ Accreditation rules restrict consulting with auditee
- Verifies and reports factual compliance and details non-compliance issues
 - ◆ Assessment process challenges the facility to demonstrate compliant control systems and procedures
- Auditors do not make the certification decisions
- Auditor rotation requirements helps maintain audit integrity.



Insuring Auditor Calibration and Consistency

- **Certification Bodies use defined calibration systems**
 - ◆ Required auditor professional development
 - ◆ Desk assessments of auditor work, planning and organization skills
 - ◆ Shadow audits by lead auditor assessing pre, actual and post audit
 - ◆ Review of reports
 - Decisions and actions by technical reviewer/certification manager
 - ◆ Maintain a category specific competency matrix per auditor
- **Accreditation Body reviews CB's auditor calibration processes**
- **Accreditation Body conducts shadow audits of CB's Auditors**

Summary of Key Elements of Certification Systems

- Well-defined, measurable HACCP-based, dynamic standards, focused on competent application of food safety management systems
- Require compliance with regulatory requirements of exporting and importing countries
- Risk classifications of non-conformities
- Strong corrective action resolution
- Ongoing surveillance and re-certification against the standard Coding of auditors
- Acceptance by all stakeholders in the food chain
- Checks and balances at all steps in the process

Accredited Certification

