FAMI QS Version 6

CLIENT INFORMATION NOTE

Overview

This Client Information Note explains the key stages of the LRQA's process for auditing and certification to FAMI-QS.

FAMI- QS certification is the auditing of your Feed Safety and Quality Management System

FAMI-QS is a premiant quality and feed safety management system for the sector of specialty feed ingredients and their mixtures. FAMI-QS Certification is a Feed Safety and Quality Management System certification (including Good Manufacturing Practices) for the sector of Specialty Feed Ingredients. FAMI QS is the worldwide leading accredited scheme for the feed industry contributing to safe food. The FAMI-QS Certification System proactively responds to the emerging feed-related challenges in our sector.

The FAMI-QS Certification Scheme addresses safety, quality and addresses the challenging topics of integrity (fraud), defense and regulatory compliance. The system is specifically designed for international validity and the FAMI-QS Certification, since its origination in 2004, is endorsed by more than 1400 members across the globe.

www.fami-qs.org

LRQA is fully accredited by RvA for three categories relevant for FAMI QS certification- F: Trading, K: Production of (bio)chemicals, D: Production of feed.

FAMI- QS certification: You have a choice of the kind of certification you need, depending on your own needs or the needs of your clients.

For the application, the following information, in, is required: a) Approval letter from FAMI-QS;

b) License documents appropriate for the operations of the Operator;

c) List of products coming from the processes covered in the FAMI-QS Scope. If, during the audit, auditors identify products that fall under FAMI-QS scope and are not part of the list, they shall immediately inform the Operator that all products shall be part of the audit.

d) List of ingredients purchased from non-assured suppliers (processing aids/intermediates are excluded);

e) Information about production site(s);

f) Externally provided services (contract manufacturers, warehouses);

g) Audit report from the subcontractor(s) (toll manufacturer(s), supplier(s), if applicable;

h) Countries where the products are placed on the market.

We can offer you a gap analysis before starting the audit process to see if your management system is ready. After any gap analysis, the audit process typically includes two visits to your site before we can recommend approval. We call these two visits:

- Stage 1 (document review and planning visit).
- Stage 2 (initial audit).

Once we have issued your certificate of approval, we will carry out announced surveillance and, in addition to regular visits, one unannounced visit to maintain your approval. At each visit, our auditors will be open and helpful and will follow a practical approach.

Before we visit you, we will discuss and agree with you the visit dates (except for the unannounced audit), start and finish times, the audit team members, how long the visit will last, and which parts of your business we will visit. The processes covered by the audit must meet the FAMI-QS scope.

We will carry out the audit in your local language or mutual agreed language. FAMI-QS requires us to do the reporting in the English language. Special requests for translation will be handled by our local offices.

We normally conduct the initial certification audit of a management system in two stages - Stage 1 and Stage 2.

Visit structure

FAMI-QS certification consists of Stage 1+2 visits for initial certification, two surveillance visits on an annual basis and a recertification visit.

Stage 1 visits

Our audit team perform the Stage 1 visit of a client's management system normally on-site. In specific situations the stage 1 can be done (partially or fully) remote.

The objective of the Stage 1 visit

The objective and procedures of Stage 1 assessments are described in our Client Information Note (CIN) for Stage 1 assessments.

The auditor shall review your feed safety management system to determine that it fulfils the requirements of the audit criteria and covers the activities detailed within the scope of certification.

Confirmation shall be given whether your feed safety and quality management system documentation is in place.

The objective of the Stage 2 visit

The objective and procedures of Stage 2 assessments are described in our Client Information Note for Stage 2 assessments.

Specific FAMI-QS requirements that are emphasized are:

- Random review of the Critical Control Points (CCPs) and good manufacturing practices as defined in Codes for Operator published on FAMI QS web page, to verify the thoroughness of your operational of the system.
- Review your management system and performance regarding legal compliance.
- Operational control related to food safety.
- Review the involvement and training of your employees directly related to the operational FAMI QS.
- Ensure that the PRP's from the technical specifications for PRP's are covered.
- Reporting via the Viasyst platform, which includes a statement on the conformity with the management system (part) reviewed in Stage 1.

Surveillance visits

LRQA will carry out a surveillance visit on at least an annual basis and will audit the continued compliance and effectiveness of your management system in line with FAMI QS code and requirements.

Objectives, procedures, and outcome are described in our Client Information Note for Surveillances.

Certificate renewal

The objective of the certificate renewal visit

We conduct certificate renewals on a three-yearly basis, planned at the previous surveillance visit and agreed with you. The methods and procedures are described in our Client Information Note for certificate renewal planning and auditing.

Unannounced audits

One unannounced audit shall be carried out during the three years certification cycle in addition to planned visits. LRQA will decide which period shall be chosen for the unannounced audits.

- The unannounced audit is a fully unannounced audit and will cover:
- Monitoring of CCP;
- Inspection of the premises (internal – external);
- Observation if the employees perform their tasks according to the written procedure;
- - Crisis Management.

Topics covered during an unannounced audit for trading activity. The auditor should cover all or a combination of the below areas:

- Suppliers' evaluation;
- Purchase orders and specs;
- Certificates of analysis (shall be checked per purchase order);
- Traceability; - Crisis management.

You will not be notified in advance of the date of the unannounced audit and the audit plan will not be shared until the opening meeting.

The unannounced audit will take place during operational working hours including night shifts. The audit will start with an inspection of the production facilities commencing after the auditor has arrived on site. In case of multiple buildings at the site the auditor shall, based on risks, decide which buildings/facilities shall be inspected in which order.

The organisation can communicate in writing days of extreme inconvenience during which you would find it difficult to participate fully and/or there is no production, so called black-out days. The validity of the non-operational periods will be checked during the audits. The organisation can communicate (in writing to the local LRQA office) these days any time up to 6 months after the latest on-site audit. If no information is received, no black-out days are valid. After communicating the black-out days, the organisation has 72 hours to change the dates; otherwise these black-out days are fixed.

If the organisation refuses to participate in the unannounced audit, the certificate will be suspended immediately. The certificate will be withdrawn if the unannounced audit could not be conducted within a six-month timeframe. If access is denied to the auditor, the certified organisation will be liable for all costs.

Reporting

The auditor will ensure that the report is sufficiently detailed to clearly show the level of conformity of your Food Safety Management System with the FAMI-QS Scheme using Viasyst tool.

We complete visit reports to record audit findings, progress against the visit plan, positive comments, and also points of clarification or interpretation. We record audit findings in a Findings Log and identify them as Major Nonconformity or Minor Nonconformity. We define these findings as follows:

Major nonconformity

Nonconformity that negatively affects the capability of the management system to achieve the intended results. Note: in the context of a Feed Safety and Quality MS, the intended result is typically a safe product.

In other words: the absence of, or the failure to implement and maintain, one or more management system elements, or a situation which would, on the basis of the available objective evidence, raise significant doubt of the management to achieve:

- The policy, objectives or public commitments of the organisation.
- Compliance with the applicable regulatory requirements.
- Conformance to applicable customer requirements.
- Conformance with the audit criteria deliverables.

Generally, a major nonconformity be a system failure that:

- Is already affecting system effectiveness or deliverables.
- Puts at risk the capability of the management system.
- Requires immediate containment.
- Requires immediate root cause analysis and corrective action.

A major nonconformity is raised in the event of non-completion of the approved action plan of a minor nonconformity at the next scheduled on-site audit

Our team leader will make arrangements with you for follow up of any major non confomity.

Minor nonconformity

Non-conformity that does not affect the capability of the management system to achieve the intended results.

In other words: a finding indicative of a weakness in the implemented and maintained system, which has not significantly impacted on the capability of the management system or put at risk the system deliverables but needs to be addressed to assure the future capability of the system.

Generally, a minor nonconformity will be a weakness in an internal facing process or procedure; or a finding where any further deterioration of control could reasonably be considered likely to result in the system becoming ineffective.

This audit report includes the conclusion of the audit

Consequences of nonconformities:

Major

Initial audit: Certification cannot be granted. Action plan shall be submitted within 7 days after audit. Non-conformities have to be closed within 6 weeks after the audit

Surveillance: The action plan shall be presented to the Certification Body, in 14 calendar days at the latest after the audit date. 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. 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.

Certificate renewal: Certification cannot be granted. Action plan shall be submitted within 7 days after audit. Non-conformities have to be closed within 6 weeks after the audit.

Minor

Initial audit: Certification cannot be granted until the nonconformities have been closed. Action plan shall be submitted within 7 days after audit. Nonconformities have to be closed within 6 weeks after the audit.

Surveillance: Certification continues. An agreement on the action plan shall be reached between the Certification Body and the Operator. The deadline for this agreement is 14 calendar days after the Certification Body has received the action plan from the Operator. Evidence that non-conformities have been closed will be checked by the auditor, at the latest during the following audit. If the nonconformity is not solved and closed by then, it becomes a major non-conformity.

Certificate renewal: Certification continues. An agreement on the action plan shall be reached between the Certification Body and the Operator. The deadline for this agreement is 14 calendar days after the Certification Body has received the action plan from the Operator. Evidence that non-conformities have been closed will be checked by the auditor, at the latest during the following audit. If the nonconformity is not solved and closed by then, it becomes a major non-conformity.

Our auditor will review the corrective action plan and the evidence the company reviewed its effectiveness of implementation.

Sampling

It is important to remember that even though a problem may not have been identified in an area of activity, it does not necessarily mean that there are no problems. As auditing is based on sampling techniques, statistically there is always a possibility that issues will not be identified during an audit. You should always remember this when you audit your own feed safety management system.

Certification decision

Following an audit where an auditor makes a recommendation in relation to your certification, accreditation rules require that this recommendation will be subject to an independent review or certification decision, only following this decision will certification be either granted, renewed, extended, reduced, suspended or withdrawn.

This certificate will show the FAMI QS, accreditation-logo from the RvA, the name and address of your organisation, your activities/ processes, the initial certification date and the expiry date. The certificate has a validity of 3 years. After 3 years we will conduct a recertification audit. A positive result will result in an extension of the certificate for a further 3 years.

Review of logos

During the visit, our auditor will review your use of the permitted LRQA, FAMI-QS and accreditation logos against the relevant LRQA, FAMI QS and accreditation rules. Failure to comply constitutes a breach of the approval contract.

Specifics about logo use can be found in our Client Information Notes for RvA and LRQA logos.

FAMI-QS database

FAMI- QS requires to report all visit via specific reporting tool Viasyst and basic report and certificate/ scope is published in FAMI QS database of certified organisation.

Confidentiality

We will not pass on any of the information we gather about your

organisation (including the contents of reports) to any other person or organisation without your permission (except as required by the accreditation body or FAMI-QS .

Further information

To find out more about how LRQA can help you to increase performance and reduce risk, please visit our website www.lrqa.com. From here you can also visit one of our country specific websites to find out about LRQA in your country.

Get in touch

Visit **www.lrqa.com/nl** for more information

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YOUR FUTURE. OUR FOCUS.