Requirements for the FSSC 22000 V5 upgrade process

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1. Introduction

This document provides the requirements for the upgrade process from FSSC 22000 V4.1 to FSSC 22000 V5.

The main reasons for changes in the new version of FSSC 22000 V5 are:
- Publication of the new ISO 22000:2018 standard
- Inclusion of the Board of Stakeholders list of decisions
- Compliance with GFSI requirements
- Continual improvement process

The relevant interested parties considered in this document are:
- Certification Bodies (CBs)
- Accreditation Bodies (ABs)
- Training Organizations (TO)

2. FSSC 22000 version 5

2.1 General

The Foundation FSSC 22000 will publish the new Scheme FSSC 22000 V5 in May 2019.

2.2 Requirements for Certification Bodies (CBs)

2.2.1 General requirements

- The CB is required to extend its current ISO/IEC 17021-1:2015 accreditation scope to include FSSC 22000 V5 before January 1st, 2020 and provide the new certificate of accreditation to the Foundation. The CB shall inform the Foundation in case the deadline of 31st December 2019 will not be met.
- The issuance of non-accredited FSSC 22000 Scheme V5 certificates by a CB holding existing accreditation scopes is not allowed by the Foundation.
- The CB shall include in its management system the requirements of FSSC 22000 V5 including these transition process requirements.
- The CB shall inform their certified organizations within 1 month from the date of publication about the FSSC 22000 V5 upgrade process requirements
- The CB shall inform their certified organizations of the new scheme documents for V5 within 3 months from the date of publication.
- The CB shall train its personnel involved in the certification process for the new FSSC 22000 Scheme V5 requirements.
- All existing V4.1 qualified auditors shall be re-qualified against the new FSSC 22000 V5 requirements. The CB shall have evidence to demonstrate compliance with the following Scheme requirements:
  - Training and exam on all V5 Scheme requirements including ISO 22000:2018.
  - Auditors meet the V5 auditor competence requirements (see Part IV) especially for subcategories (both initial and extension)

- For already qualified auditors that wish to be re-qualified against the (subcategory) competence requirements defined in Part IV, a period of 1 year from the publication date of version 5 has been set to finalize the re-qualification process.
- For new auditors the CB shall follow the requirements described in the FSSC 22000 V5 Scheme for initial auditor qualification.

2.2.2   Audits

- Initial audits (Stage 1 and Stage 2) shall be conducted against the same Scheme version requirements.
- Upgrade audits (surveillance and re-certification) shall be conducted announced, unless the organization specifically indicates the wish for an unannounced upgrade audit.
- Audits against the FSSC 22000 Scheme requirements V4.1 are only allowed latest December 31st of 2019.
- All issued FSSC 22000 V4.1 certificates will become invalid after 29 June 2021.
- Upgrade audits against FSSC 22000 Scheme requirements V5 shall be conducted between 1st January 2020 and 31st December 2020.
- Under extraordinary circumstances, the V5 upgrade audit could take place in 2021 however this process shall be completed in accordance with the FSSC scheme requirements and before the 29 June 2021. After that date, v4.1 certificates will expire and the organization will need to begin the certification process as per ISO 17021 to re-gain certification.
- The information related to delayed audits shall be shared with the Foundation FSSC 22000 at the latest on 31-12-2020.
- The below table provides the different v5 upgrade audit scenarios possible. Please note that for the third scenario, it implies that a certified organization receives its announced surveillance 1 in 2019 and its announced v5 upgrade audit in 2020 replacing a planned unannounced surveillance 2 audit. This means that this organization will only have its first unannounced audit in 2022. However, we encourage CBs to plan as many unannounced v4.1 surveillance 1 audits still in 2019 (see scenario 4) so that the planned announced surveillance 2 next year is replaced by an announced v5 upgrade audit. This means that the current audit cycle stays intact and one of the two surveillance audits is conducted unannounced.

2017	2018	2019	2020	2021	2022
V3.2 Recert	V4.1 S1 Upgrade	S2 V4.1 Unannounced	V5 Recert	V5 S1 Unannounced or Announced	V5 S2 Unannounced or Announced
V3.2 S1	V4.1 S2 Upgrade	V4.1 Recert	V5 S1 Upgrade	V5 S2 Unannounced	V5 Recert
V3.2 S2	V4.1 Recert	V4.1 S1 Announced	V5 S2 Upgrade	V5 Recert	V5 S1 Unannounced
V3.2 S2	V4.1 Recert	V4.1 S1 Unannounced	V5 S2 Upgrade	V5 Recert	V5 S1 Announced or Unannounced

2.2.3   Certificates

- A new V5 certificate shall be issued after a successful upgrade audit (maintaining the same certificate expiry date in case of surveillance audit) while the FSSC 22000 V4.1 certificate shall be withdrawn.
- For V4.1 certificates issued in 2019, the CB can apply the option of limiting the expiry date to 29 June 2021. This is not mandatory, however it is allowed by the Foundation.
- The CB shall update the Portal when new audits are performed and certificates are issued.
- All remaining V4.1 certificates will be automatically set to invalid by the Portal after 29 June 2021 thus no longer visible on the Public List with certified organizations on the FSSC 22000 website.

2.2.4   Audit time calculation

Based on the released ISO 22000:2018 gap analysis in July 2018, it is not mandatory to add additional on-site audit time to assess implementation of the new FSSC 22000 Scheme version 5 requirements by a certified organization. Therefore, the audit time for an upgrade audit remains the same as for a regular planned audit and shall be calculated according to scheme requirements (Part III chapter 4.3).

3. Requirements for Accreditation Bodies (ABs)

For FSSC 22000 Scheme version 5, the AB shall assess readiness of CBs following the below:

- Carry out a Desk Review of the CB where the following parameters shall be evaluated:
    a. the inclusion of all FSSC 22000 Scheme V5 requirements in the CB management system with particular attention on:
        i. FSSC 22000 Scheme V5 and transition process requirements;
        ii. Information to certified organizations about FSSC 22000 Scheme V5;
        iii. Training of all CB personnel;
        iv. Re-qualification of auditors.
    b. Any identified deficiencies in the CB management system shall be covered by an action plan;
    c. Statement of management commitment confirming the CB is ready for and in compliance with FSSC 22000 Scheme V5 requirements based on an internal audit.
- Following a successful Desk Review, the AB shall issue a new CB accreditation certificate for the scope of FSSC Scheme version 5 with the minimum content as referenced in Part V, Annex I.
- During the next scheduled CB surveillance visit, the AB shall verify implementation of the FSSC 22000 Scheme V5 requirements in the CB management system during an on-site office assessment.
- Implementation of the requirements related to witness assessments (see 3.2.3 Part V) shall start during the next CB accreditation cycle.