



# **NSF-CMi Africa**

## **SERVICE PROTOCOL**

for the certification of

### **HACCP**

**SANS 10330:2007**

(Requirements for a Hazard Analysis and Critical Control Point system)

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## **1. Introduction**

Hazard Analysis Critical Control Points (HACCP) is now well established as an essential tool in the management of food safety and has been adopted as a legal requirement in many parts of the world.

The internationally recognized approach to HACCP is set out in Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its application, Published in Codex Alimentarius General Principles of Food Hygiene, CAC/RCP –1969, Rev 4 2003. The South African National Standards Authority (SANS) have developed SANS 10330 as the HACCP standard, which is widely accepted in the food processing industry. The SANS 10330 Standard has been adopted by NSF-CMi Africa for this Certification Scheme.

The NSF-CMi Africa HACCP Certification scheme enables the third-party verification of the HACCP systems in a food facility against the documented requirements of the Codex guidelines and SANS 10030, and provides assurance to purchasers and customers of the approach undertaken.

NSF-CMi Africa is the South African based subsidiary of NSF-CMi Ltd and is accredited by SANAS to ISO 17021. NSF-CMi Certification holds accreditation to both EN450011 (Product Certification) and ISO 17021 (Management System Certification) by the United Kingdom Accreditation Service (UKAS).

The purpose of this protocol is to provide existing and prospective customers with information on the way in which NSF-CMi Africa operates its certification service for HACCP Certification, including relevant terms and conditions.

NSF-CMi Ltd and its subsidiaries retain the copyright and all other rights, including intellectual property rights, in this service protocol and its documentation.

Information emanating from NSF-CMi Ltd and its subsidiaries is given after the exercise of all reasonable care and skill in its compilation, preparation and issue, but is provided without liability in its application and use.

## **2. About NSF-CMi Certification**

NSF-CMi Ltd is one of the largest independent inspection, certification and consultancy companies in the food, drink and associated industries, employing approximately 160 full-time personnel and operating through a network of offices around the world. NSF-CMi Africa is the South African based division and a wholly owned subsidiary of NSF-CMi Ltd, responsible for the group's activities in sub-Saharan Africa.

For a period of more than twenty five years, NSF-CMi has established their reputation as the leading provider of services to the food industry, designed and operated to help their clients to understand and manage food safety, legality and quality, while helping improve business efficiency and provide competitive advantage.

NSF-CMi recognizes that for their clients to succeed in increasingly competitive national and international markets, they require pragmatic, innovative solutions to complex problems. To enable the fulfillment of these requirements, NSF-CMi has assembled a first-class team of managers, technologists and industry specialists, with a unique combination of knowledge, skills and experience covering the full range of the food industries.

NSF-CMi operates across all sectors of the food industry, including primary agriculture, raw materials, packaging, food manufacture and distribution, catering, foodservice, and retailing. The company has a unique perspective on the food industry, and the ability to address a wide range of issues, in a consistent and integrated manner.

NSF-CMi operates through a network of offices around the world, allowing internationally recognized standards to be delivered in the local language with the backing of a sound international reputation and accredited services.

The services of NSF-CMi reflect evolving trade and consumer assurance demands for product integrity, safety, legality and quality throughout the food supply chain.

NSF-CMi is accredited by the United Kingdom Accreditation Service (UKAS) to EN45011 and ISO17021, enabling the organisation to provide a broad range of accredited certification services. In South Africa the HACCP Certification Scheme is accredited by the South African National Accreditation System (SANAS).

In accordance with accreditation requirements and good practice NSF-CMi Africa operates rigorous systems to ensure the independence and impartiality of the assessment process, and for maintaining strict confidentiality.

## 2.1 Why NSF-CMi Certification?

Reasons for choosing the services of NSF-CMi Africa may include:

- Certification services are accepted by most major global retailers.
- Staff is experienced in the Food Industry with detailed product and industry knowledge.
- NSF-CMi Africa forms part of the internationally recognized group, NSF International.

## 2.2 The NSF-CMi Africa Team

NSF-CMi Africa employs a highly competent team of managers, auditors and administrators.

The NSF-CMi Africa management and audit team have a collective wealth of knowledge, skills and experience covering the full range of food manufacturing, wholesaling, and storage and distribution industries. This incorporates both national and international experience.

All NSF-CMi Africa auditors meet or exceed the following requirements:

**Qualifications:** All auditors have a higher qualification or degree in a food or bio-science or environmental health related discipline.

**Training:** All auditors have successfully completed and undergone HACCP and auditor training.

**Experience:** All auditors have a minimum of 5 years experience after attaining their qualification in the food industry, in the quality assurance or food safety functions in manufacturing, processing, storage and distribution, retailing or quality inspections.

All NSF-CMi auditors meet or exceed the accreditation requirements. Auditors are routinely evaluated on the application and interpretation of the relevant scope of the standard by an authorised lead auditor or to ensure audits are consistently carried out in accordance with the requirements of the applicable standard, UKAS, SANAS and our clients.

## 2.3 NSF-CMi Certification Services

NSF-CMi is committed to provide a full range of certification services for the food industry either as separate audits or where possible as combined audits. This enables the clients to save on both costs and management time to satisfy their various customer or regulatory needs. The range of services includes:-

### **BRC Global Standard for Food**

NSF-CMi is one of the leading providers of certification to the BRC Global Standard for Food and is approved by major UK and European retailers and foodservice companies using the standard.

We are experienced in the assessment of all types of food processing operations and are the acknowledged experts in a number of specific sectors.

### **BRC Global Standard for Packaging and Packaging Products**

NSF-CMi has a proven track record in the food packaging industry. We provide a range inspection services to leading manufacturers, retailers and purchasing groups, including certification to the BRC/IOP packaging standard. Our packaging experience enables us to provide clients with a practical risk-based approach to certification.

### **IFS Global Standard for Food**

The IFS standard for Food was developed by the German and French Retail groups (HDE and FCD) to provide a comprehensive audit standard for suppliers of food products to major retailers in Europe. Like the BRC Food Standard, this standard is benchmarked as part of the GFSI and the scope and requirements of the standard are very similar to those of the BRC Food standard.

NSF-CMi were the first UK based certification body to be accepted to undertake audits against the IFS Food Standard and the first accredited to EN 45011 by UKAS for certification against this standard. NSF-CMi are able to offer audits against the IFS standard either on its own or as a combined audit with the BRC Food Standard. Audits are carried out by auditors approved by IFS Food and are usually conducted in the native language of the country where the audit takes place.

### **HACCP Certification**

The Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its application, Published in Codex Alimentarius General Principles of Food Hygiene, CAC/RCP – 1969, Rev 4 2003, is the internationally recognised source material for the development of an effective HACCP system to support a food safety system. The RSA standard, namely SANS 10330:2007, is based on these principles.

The SANS 10330:2007 is the standard used for the NSF-CMi HACCP certification audit. The audit process evaluates:

- Management commitment to the HACCP system and HACCP team
- Processes used to develop, implement and maintain the HACCP studies
- Development and implementation of a robust Quality Management System (QMS)
- The documentation and management of pre-requisite programs
- Documentation of the studies in accordance with the codex requirements
- The basis for establishing critical control points, critical limits, monitoring procedures and corrective actions
- Documentation of the control procedures and recording of monitoring results
- Processes for the verification and review of the HACCP studies and QMS.

It is essential that companies requiring HACCP certification are aware of the Codex Alimentarius requirements and have used these requirements as the basis for the development of the HACCP system as an integral part of their food safety system to be audited for certification.

### **ISO 22000 and FSSC 22000**

The ISO 22000 standard was developed for the certification of all food related businesses from the farm to retail and food service industries. The standard is based on the principles of HACCP, supported by the principles of quality management systems similar to the ISO 9000:2000 standard. ISO 22000 and FSSC 22000 certification may be accepted by retailers as an alternative to the BRC and IFS standards.

### **Bespoke Audits and Supplier Improvement**

For clients with more specific requirements, NSF-CMi can develop bespoke auditing services to give clients a more targeted approach to food safety, legality and quality. Some of these services are designed to provide an enhanced food safety and due diligence defence

mechanism, while others focus on supplier improvement as a means of ensuring product quality and consistency.

### **3.0 SERVICE PROTOCOL**

#### **3.1 Administration, Enquiries and Requests for Certification**

All enquiries and requests for certification should be directed to:

NSF-CMi Africa (Pty) Ltd  
21 Electron Avenue, Techno Park, Stellenbosch  
Telephone: 021 – 880 2024  
Facsimile: 021 – 880 2840  
E-Mail: [enquiries@cmi-africa.com](mailto:enquiries@cmi-africa.com)

Contact may also be made through any other NSF-CMi Office. The full list of NSF-CMi International offices and their contact details are available on the NSF-CMi website:  
[www.nsf-cmi.com](http://www.nsf-cmi.com)

#### **3.2 Application**

New applicants to the NSF-CMi certification scheme for the HACCP (SANS 10330:2007) standard are required to complete the NSF-CMi HACCP application form. This provides NSF-CMi Africa with the necessary information on the site to ensure that a suitably qualified auditor is appointed and that sufficient time is allocated for the audit.

The application form also requires an undertaking by the applicant to abide by the NSF-CMi Africa scheme rules and conditions for certification as required for all ISO 17021 SANAS Accredited schemes.

#### **3.3 Arranging Audit Visits**

The first audits are conducted at a mutually convenient date after discussion with the client, taking into account the requirements of the client and their customers. The frequency of subsequent audits will be at least annually.

Arrangements for audits will be discussed in advance and the audit will be allocated to an experienced auditor with relevant industry knowledge and expertise. Confirmation will be sent to the client and auditor, detailing the audit date, time and agenda (audit plan).

Travel arrangements, including flights, hotels and car hire as required, will normally be organised in consultation with the customer and the auditor to ensure the most efficient and cost effective option.

#### **3.4 Certification Charges and Invoicing**

NSF-CMi Africa prides itself on being able to offer certification services of the utmost technical integrity and service quality, while at the same time remaining highly competitive. Certification charges are calculated after consideration of the size, number of employees, type and location of the plant and complexity of the process involved. A typical audit will take 1.5 to 2 days to complete, with an additional day for preparation of the audit report.

Travel to and from the client will be charged at the current kilometer mileage rates and will be declared on any quotes. Overnight expenses are charged at cost where applicable. Charges for audits outside RSA may need to take travel time into consideration to and from the site, although our extensive involvement in overseas inspection often allows us to combine several audits together into a planned tour. Under these circumstances travel and accommodation charges are allocated to the individual participants on a mutually agreed basis.

All audit charges are agreed with the client and confirmed in writing. Under normal circumstances, the client is invoiced after completion of the audit.

### 3.5 Cancellation of Audits

For NSF-CMi Africa to continue to offer its clients highly competitive certification charges, it is essential, that we utilise our resources efficiently. Audits that are cancelled or postponed at short notice will have a direct impact on auditor capacity, resulting in a loss in time, and travel cost may have been incurred. In the event where a client wishes to cancel or postpone an audit, written notification must be sent to NSF-CMi Africa at least ten working days prior to the agreed date of the audit.

In the event that an audit is cancelled or postponed without mutual agreement, NSF-CMi Africa reserves the right to charge the client a cancellation fee as follows:

- Cancellation/postponement within ten working days' of the audit date: 50 % of the charge
- Cancellation/postponement within five working days' of the audit date: 75 % of the charge
- Cancellation/postponement on the day of audit: 100% of the charge

### 3.6 Duration of the audit.

Audits against SANS 10330:2007 are expected to typically take 1.5 to 2 days to complete, with an additional half day to prepare the report. This time period will be dependent on the complexity of the system being audited. In some cases the time period may exceed 2 days. The time required will be determined based on the information provided in the application form. The factors which effect the audit duration have been identified as follows:

Factors which may lengthen the duration of the evaluation are:

- High company staff numbers and functions
- more than one location, with separate office, manufacturing or storage sites
- complex manufacturing processes using a number of different technologies
- many product groups of many different types
- large, widely dispersed site
- older sites, not purpose built, with difficult product flow
- labour-intensive processes
- first visit by the certification body to the company
- time-consuming access procedures to high-risk areas
- audit not carried out in the first language of the auditor
- the number of non-conformances recorded in the previous audit
- difficulties experienced during the audit requiring further investigation
- ill-prepared company e.g. poorly co-ordinated documentation

Factors which may shorten the duration of the audit are:

- simple, single process (e.g. packing)
- high degree of automation
- limited product and process diversity
- low company staff numbers and functions
- modern purpose-built site
- well-structured and established HACCP system
- well-structured and established quality management system
- company well briefed and prepared to provide the evidence required (procedures, records and other documentation)

The factory inspection process will typically take a minimum of 3 hours to complete but may increase or decrease in duration in accordance with the factors above or the circumstances that arise during the audit.

### **3.7 Scope of audits.**

The scope of the audit will be defined with the client prior to undertaking the audit and reconfirmed at the opening meeting. Parts of a site or operation may be excluded from the scope; such exclusions will be clearly defined in the report and certificate. The standard will however be used in its entirety and no relevant elements of the SANS 10330:2007 standard may be omitted.

Audits, allowing extension to scope will need to be undertaken at client`s cost should such a need arise due to market forces or an improvement to the system during the remaining period of the current certification.

Audits against the SANS 10330:2007 standard may be combined with other audit activities either recognised schemes such as BRC Food, GLOBALGAP or bespoke audits at the client's request.

It should be noted that additional audit requirements may be outside the scope of NSF-CMi Africa`s Accredited activities and where this is the case this will be clearly indicated to the client. In this case the use of a Technical Expert may have to be employed to meet client's needs.

Short-notice audits are also considered should this need arise due to any market force, legislative requirement, adverse report or a critical food safety risk has been identified and brought to the attention of NSF-CMi Africa.

### **3.8 Preparation for the audit.**

Prior to each audit the processing operation should be reviewed in relation to the requirements of the standard with a view to making any necessary amendments or improvements to the operation and systems.

There is no requirement for a pre-audit before the full audit however some clients who are less familiar with the standard and its interpretation may benefit from this. NSF-CMi Africa is able to offer pre-audit audits where required.

It is important that the production programme at the time of the audit represents products for the intended user(s) of the certification. Where possible the widest range of these products shall be in production for the auditor to evaluate. Where the product range is large or diverse the auditor has the discretion to continue the audit until sufficiently satisfied that the intended scope of the certification has been audited.

### **3.9 The Audit Process**

The duration of the audit will depend on a number of factors as outlined above. NSF-CMi Africa will agree the likely duration of the audit in advance of the audit, however this will be an estimate as the evaluator may require more time if issues arise during the site visit on the day of the audit.

Audits will usually be conducted in English, however NSF-CMi Africa have the facility to offer audits in Afrikaans.

Audits consist of six elements:

- Opening meeting
- Factory inspection
- Document review, including pre-requisite programmes supporting the HACCP system
- HACCP or hazard and risk management
- Quality Management Systems.

- Check back of audit trails, verify and further documentation checks
- Final evaluation of findings by the evaluator in preparation for the closing meeting
- Closing meeting

It is expected that at the opening and closing meetings those attending on behalf of the company will be senior managers who have the appropriate authority to ensure that corrective action can be progressed, if non-conformities were raised by the auditor.

During the audit, objective evidence will be recorded on the audit checklist to indicate the client's ability to comply with the standard. These will be used as the basis for the audit report. Should a clause of the standard not be met, the auditor will consider the nature and significance of any non-conformance against the standard and the site representative made aware.

**Non Conformities – grading and action required.**

Should a clause of the standard not be complied with, the auditor will audit the nature and significance of the resulting non-conformity.

There are three levels of non-conformity:

**Critical** – where the failure presents a significant food safety risk there is a failure to comply with legal requirements, this would constitute a "critical" non-conformity. Either a further visit or documentary evidence demonstrating that corrective action has been taken will be required before a certificate may be issued within a timescale of 7 days from the date of the audit.

**Major** – where there is a substantial failure to meet a requirement of the HACCP guidelines. Either a further visit or documentary evidence demonstrating that corrective action has been taken will be required within a timescale of 30 days from the date of the audit before a certificate may be issued.

**Minor** - where a guideline of the standard is substantially met however further minor improvements are required in order for a certificate to be issued. Documentary evidence demonstrating that corrective action has been taken must be received within 30 days from the date of the audit before a certificate may be issued. Where the non-conformity requires capital expenditure and could not reasonably be expected to be completed within 90 days from the date of the audit, a declaration of intent and date for completion may be accepted.

At the closing meeting, the auditor will present his/her findings and discuss any non-conformity that has been identified. The auditor will prepare a copy of the audit summary and non-conformities, which are left with the company's technical representative on the day or in exceptional circumstances provided within 1 day of the audit.

The decision to award certification has to be taken following a review of the audit report and any documentary corrective action provided, independently reviewed by NSF-CMi Africa Management and cannot therefore be confirmed during the audit.

**3.10 Audit Reports**

After each audit, a full written report is prepared. The report contains an evaluation summary and a detailed evaluation report. The detailed evaluation report section provides comprehensive details of how the site complies with the standard and objective evidence to support any non-conformity that have been identified.

Opportunities for improvement shall not be recommended by the auditor with any specific solution. Observations can be recorded where potential shortcomings were identified that is not considered to be a non-conformity to a specific requirement.

The ownership of the audit report submitted after the certification decision shall remain the property of NSF-CMi Africa.

The official report shall be provided in English.

### 3.11 Corrective Action Evaluation.

It is a requirement of the NSF-CMi Africa system that suppliers provide documentary evidence that all non-conformities have been cleared. On initial audits the information must be provided within 3 months (90 days) for certification to be granted; for the recertification of existing certified systems, evidence is required within 7 days for Critical and 30 days for Major and Minor non-conformities, calculated from the last day of the audit.

The documentary evidence may be in the form of documents, photographs or invoices as appropriate to the type of non-conformity and the most appropriate form for this may be clarified with the auditor at the closing meeting. Where a significant number of non-conformities have been identified or where the nature of the non-conformity is such that documentary evidence alone could not demonstrate compliance, a further visit may be required.

Documentary evidence which is received and found to be insufficient to address the non-conformities will be discussed with the site representative and a further 3 working days allowed for additional information to be provided. Where no documentary evidence is provided within 7/30/90 days, or the information is insufficient to address the non conformance (following discussion with the site representative) then the report will be issued and no certificate will be awarded.

### 3.12 Distribution of Audit Reports

After initial preparation of the report, this is usually held for the 30 day corrective action period. The report is then checked and signed off together with any evidence of corrective actions, by a technically competent authorised manager. The report is despatched to the client usually within 45 days of the audit date providing payment has been received.

The person/business paying for the audit is regarded as the client. As such, it is this party that receives the audit report.

In all cases, reports are only distributed to third parties provided the owner of the report (usually the client) has consented in writing.

NSF-CMi Africa will retain a copy of the report and the information on which a certification decision is based for a period of 5 years.

### 3.13 Issue of Certificates

The certification decision will be taken by an authorized manager independent from the original auditor. The Certification Manager will review the original audit report together with any documentary evidence provided by the client before coming to a certification decision.

The requirements for certification are as follows:

- No outstanding non-conformances.
- Payment of agreed audit fees.

Initial Certificates will be issued for duration of 1 year plus 42 days from the original audit date. Subsequent certificates will be issued for a period of 1 year from the expiry date of the previous certificate.

e.g.

<b>Audit date</b>	<b>Previous certificate expiry date</b>	<b>New certificate expiry date</b>
1/06/10	N/A Initial audit	14/07/11

17/05/11	14/07/11	14/07/12
24/07/12	14/07/12	14/07/13

Where it has not been possible to issue a certificate, a full re-audit will be required before a Certificate can be issued. The certificate remains the property of NSF-CMi Africa and is issued subject to the company complying with the Rules Governing Certification, a copy of which is provided with the certificate.

In the event where there are substantial changes to the HACCP system, premises or management, these must be notified in writing to NSF-CMi Africa. It may be necessary to carry out a further visit or review changes to the HACCP system to ensure certification requirements continue to be met.

### **3.14 Maintaining Certification - Audit Frequency**

The issue of the certificate provides an assurance to customers that NSF-CMi Africa has audited the certified site and is satisfied that the requirements of the standard have been met through the audit and any corrective actions and that processes are in place to ensure that the standard is maintained for at least the duration of the certificate.

For the integrity of the standard, it is important that in the event of substantial changes to the premises or systems, these must be notified in writing to NSF-CMi Africa.

In the event of the company becoming aware of possible legal proceedings with respect to product safety or legality, or in the event of a product recall; the company is obliged to make NSF-CMi Africa aware of the situation. In turn, NSF-CMi Africa is obliged to take appropriate steps to assess the situation and any implications on the certification, and to take any appropriate action.

Audits of the scheme will be annual. Surveillance visits will include a full review of the Codex requirements. Surveillance visits should be scheduled to occur on, or before the previous audit date in order to maintain continuous certification.

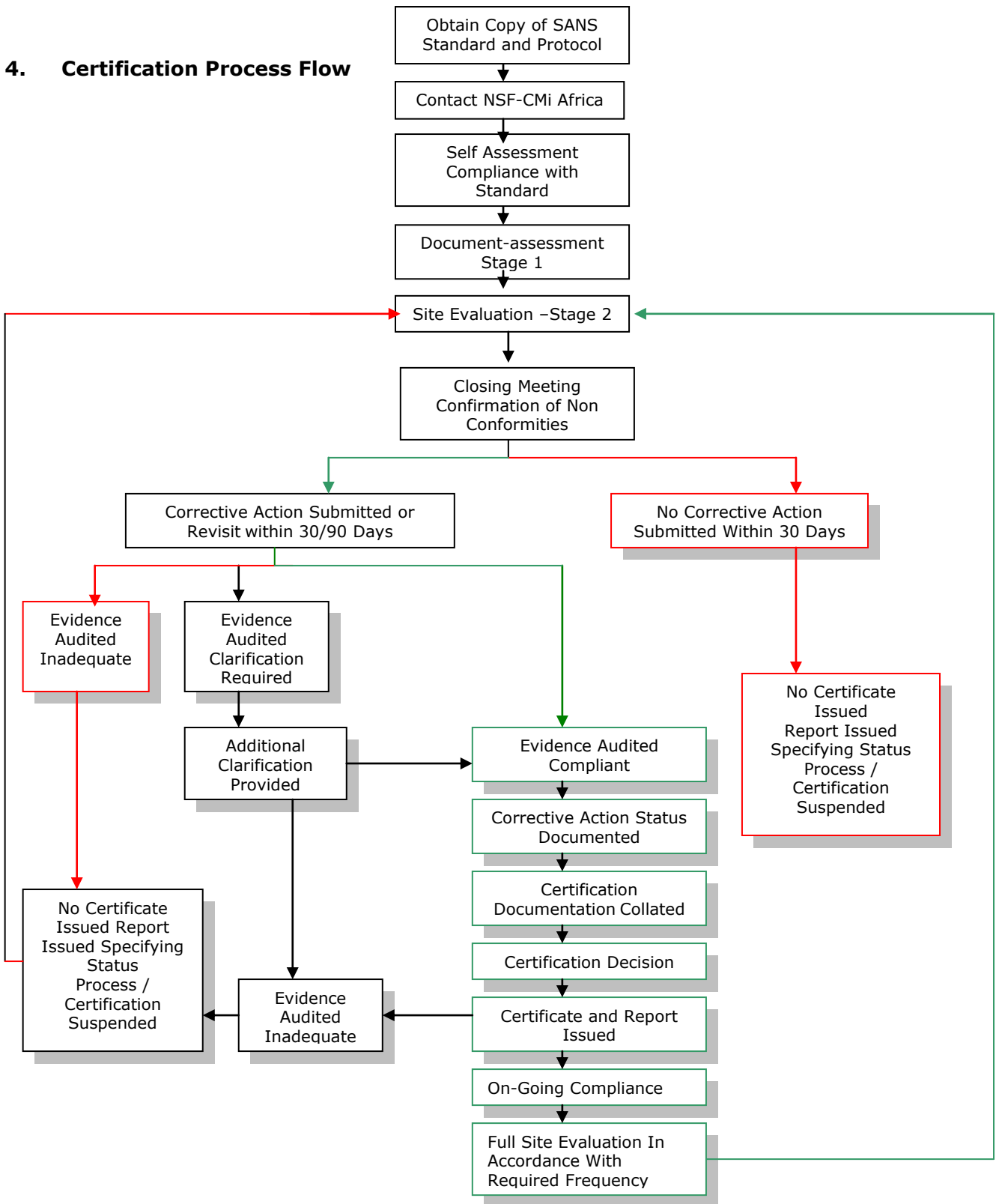
Suppliers that do not achieve a certificate will be re-audited as soon as they believe they have met any outstanding requirements and are ready to be re-audited.

### **3.15 Complaints and Appeals**

NSF-CMi Africa operates a documented complaints and appeals procedure as part of the quality system. Full details are available on request.

Complaints and appeals must be made in writing by named person(s) and addressed to the Managing Director NSF-CMi Africa, P.O. Box 12900, Die Boord, Stellenbosch 7613

**4. Certification Process Flow**



## 5. NSF-CMi Africa HACCP Certification Scheme Rules

### Access to the scheme

1. Applications to participate in the Certification Scheme and for registration as an approved participant are open to all companies with operations meeting the scope of the standard.
2. Applications must be made using the designated application form stating the products for which certification is sought. A separate application is required for each production establishment.
3. Applicants are required to give an undertaking to comply with the requirements of the relevant Scheme and with the company's Rules Governing Certification by completing and signing an application form.

### Rules Governing Certification

4. These rules relate to the Certification Scheme of NSF-CMi Africa for determining conformity with the SANS 10330:2007 standard.
5. The Governing Board, through its appointed nominees, is the sole authority by which Certificates of Approval may be granted or withdrawn. The Board acts through the Managing Director or the general administration and development of the Certification Scheme, under these Rules.
6. Applicants who satisfy the Governing Board that they are capable of compliance with the requirements of the Certification Scheme and the regulations and standard of the SANS 10330:2007 and who give the company such undertaking as may be required shall, subject to complying with these rules as amended from time to time and such undertaking, be entitled to a Certificate of Approval which shall nevertheless remain the property of the Company.
7. Certificates are valid from the date of issue subject to satisfactory performance audited at an annual audit. Certificates remain valid until their expiry date and a new certificate will be issued following successful completion of the re-audit process. The right to use a certificate is not transferable.

### Approved Producers shall:

8. At all times comply with these Rules as amended from time to time.
9. Retain a copy of the most recent Standards for the relevant Certification Scheme.
10. Nominate a management representative and one or more deputies who shall be responsible for all matters in connection with the requirements of the Certificate of Conformity.
11. Comply with all requirements of the relevant Certification Scheme.
12. Allow/make provision for additional auditors to be present when audits are conducted – this may be for observers in the sense of trainee auditors or for witnessing audits or when conducting multi-site office or site audits. (<http://www.nsf-cmi.com/service.asp>)
13. Maintain and document a quality system in accordance with the Scheme Standards and make available copies of all or any part of the documented system should they be required by NSF-CMi Africa for reference purposes.
14. Not significantly vary the quality system under which any Certificate is issued during the period of registration unless agreed with NSF-CMi Africa and notify NSF-CMi Africa of any major changes to methods of production or storage which would affect the operation of the quality system or changes in the ownership, structure or management of the organisation.
15. Maintain at all times compliance with all relevant legislation pertinent to the scope of activity of which Certification has been granted.
16. Correct non-compliance's noted during a continuing audit in accordance with the timescale laid down in the scheme regulations (normally 7 days / 30 days).
17. Give access during normal working hours to representatives of NSF-CMi Africa to premises in which production or storage, the subject of the Certificate of Conformity, is being carried out for the purpose of examination of products, processes, the production environment, distribution facilities, methods of test, records, details of internal audits and systems to ensure that continued compliance to the scheme standard is being achieved

- at times other than the scheduled audit dates, or establishing that the procedures for the termination of approval have been carried out if necessary.
18. Use any product marks in accordance with the conditions defined herein.
  19. Discontinue any use of any product mark which is unacceptable to NSF-CMi Africa and any form of statement with reference to the authority of the Producer to claim compliance with the System which, in the opinion of CMi Africa might be misleading.
  20. Not conduct operations in a manner which may have an adverse effect on the integrity and reputation of the Certification Scheme or NSF-CMi Africa.
  21. Upon withdrawal of the Certificate of Approval (however determined) forthwith discontinue the use of any product mark and all advertising matter which contains it or any reference thereto. In addition, any other documents in the possession of the producer which bear reference to the Certificate shall, if NSF-CMi Africa requires, be so treated to erase it.
  22. Having regard for NSF-CMi Africa's costs related to the administration of the System, Approved Producers shall pay:
    - the relevant fee for audits and certification
    - the cost of any additional audit deemed necessary by the representative of the board
    - the cost of any additional sampling or testing deemed to be necessary by the representative of the board
    - any additional cost incurred by the company due to non compliance with these Rules.These fees will be reviewed regularly by the NSF-CMi Africa and nominated Managers.

**NSF-CMi Africa shall:**

23. Undertake continuing audits periodically at the production establishments of Approved Participant for the purpose of verifying that the obligations defined by the Certificate of Approval are being observed.
24. Notify the Approved Participant of any changes in the Scheme Standards for the Scheme and give them such time as, in the opinion of CMi Africa is reasonable in which to adjust their processes and relevant procedures to meet the revised requirements.
25. Not disclose any information concerning the producer which is of a confidential nature other than information which is already in the public domain unless otherwise required to do so by law or requested/permitted to do so by the Approved Producer.
26. Notify the producer of customer complaints relating to products which the Certificate of Approval applies.
27. If a producer is temporarily unable to comply with the requirements of these Rules as amended from time to time, NSF-CMi Africa may require the Producer to discontinue the use of the any mark or any claim of compliance with the Scheme with immediate effect until it is satisfied that compliance is again achieved, or pending the results of an appeal.
28. If the producer fails to comply with these Rules as amended from time to time, NSF-CMi Africa may, as appropriate:
  - withdraw the Certificate of Conformity or reduce its scope or
  - refuse to grant a Certificate of Conformity or extend its scope.Such decisions, and the grounds for them, shall be communicated to the client in writing.
29. NSF-CMi Africa may, at its sole discretion withdraw or refuse to grant a Certificate of Approval if the Participants business is likely to be disbanded or unable to pay its debts.
30. These Rules may from time to time be altered by NSF-CMi Africa. No such alterations shall affect the right of an Approved producer to use the appropriate Certification Mark or claim compliance with the System, unless it shall have been given notice in writing of such alterations by NSF-CMi Africa who will notify the Producer of the date by which it must comply with the altered Regulations, which shall normally be less than six months from the date of notification of the alteration.
31. A register of Approved Producers and Products shall be kept by NSF-CMi Africa and shall be open to inspection at its registered office.
32. Any notice under these Rules shall be in writing and signed by or on behalf of the party giving it and may be served by leaving it or sending it by pre-paid recorded delivery or registered post at its address for the time being. Any notice so served by post shall (unless the contrary is proved) be deemed to have been served forty eight hours from

the time of posting; and in such service it shall be sufficient to prove that the notice was properly addressed and was posted in accordance with this clause.

### **Certificate of Conformity**

33. A Certificate of Conformity granted to an Approved Participant is valid from the date of issue until the expiry date with its maintenance being subject to satisfactory performance audited at an annual frequency, usually 1 x per annum.

### **Continuing Audits**

34. It is a condition of granting a Certificate of Conformity that continuing audits shall be carried out to ensure that the criteria defined in the Scheme Standards are being met and maintained.
35. Where non compliances to the scheme standard are identified at an audit, documentary corrective action or a further audit will be required in accordance with the scheme regulations to maintain the certification status.
36. Change of status may, depending on scheme requirements, be a change of category reflecting change in audit frequency or notification of withdrawal of approval.
37. If approval is withdrawn the reason will be clearly specified in writing to the producer inviting the submission of a proposed corrective action plan before re-audit for approval could be considered.
38. Should the producer wish to appeal against the withdrawal of a Certificate of Approval, the appeal will be heard in the manner described in the Rules Governing Certification (clause 4 - 7).

### **Appeals**

39. In the event that an Approved Participant or Applicant disagrees with any decision of NSF-CMi Africa, they are invited to respond to the decision in writing giving reasons and requesting further consideration by the Board. Should the outcome of this further review by the Board still be unacceptable to the Approved producer or Applicant they have recourse to the independent appeals process defined in clause 40.
40. Any appeal against a decision of the Board made under these rules requires the Approved Participant or Applicant to submit to the Managing Director within 14 days of being officially informed of the Board's decision notice of appeal giving grounds for doing so.
41. The Managing Director will refer the matter to the Chairman of the Board who shall appoint a Panel to hear the appeal. The Panel shall comprise a Chairman and two members none of whom shall have any commercial interest in the subject of the appeal. A meeting of the Panel shall be held within 60 days of the receipt of the notice of appeal. The appellant shall be given at least 14 clear days' notice of the constitution of the Appeal Panel, the time and the place of the meeting. The appellant has the right to state objections to the constitution of the Appeal Panel. Such objections shall be stated in writing and shall be lodged with the Managing Director at least 7 clear days before the scheduled date for the meeting of the Panel. The appellant's objections to the constitution of the Appeal Panel will be considered by the Board at its next scheduled meeting, or sooner if this would lead to a period of longer than 60 days between lodging the appeal and the meeting of the Panel, when the Board will decide whether or not to accept them and amend the constitution of the Panel accordingly. The appellant will be informed in writing of the Board's decision and of a new date for the hearing of the appeal. The decision of the Board shall stand pending any meeting of the Appeal Panel at which representatives of NSF-CMi Africa and the appellant shall be entitled to be heard in confidence. The decision of the majority of the Appeal Panel as declared by its Chairman shall be final.

### **System Certification Requirements**

42. Approved Participant holding a valid Certificate of Conformity may use the Certification Mark appropriate to the scheme and/or issue a Statement of Conformity.
43. The Mark may be used only in the form approved by the Board of NSF-CMi Africa and only on documents which are associated to the subject of the Certificate of Conformity

issued to the producer concerned. The Mark must be used only in accordance with the specific rules issued as a condition of use.

44. Should a client have a reason or a need to refer to its certification status in any communication media, it will adhere to the scheme rules as outlined in this document.
45. No reference to its management system certification may be used to imply that the CB certifies any product, (including service) or processes – only the system certification may be used.
46. NSF-CMi Africa may, per occasion need to supply information of our clients to our accreditation body, SANAS or its peer evaluators. This information will be considered and treated with utmost confidentiality.

### **Complaints related to the System**

47. The responsibility for complying with the requirements of the Certification Scheme as defined in the Scheme Regulations and in the Standards for the Scheme and for complying with statutory requirements rests absolutely with the participant and complaint arising from possible infringements of the law shall be dealt with by the participant concerned. Complaints of this nature coming directly to NSF-CMi Africa will be referred to the participant concerned for appropriate corrective action to be taken. Participants are required to maintain a record of all complaints and any subsequent action taken and make this available to auditors during surveillance visits.

### **Complaints Related to the Certification Scheme**

48. Written complaints concerning the Certification Scheme will be dealt with by the Managing Director of NSF-CMi Africa who will in accordance with NSF-CMi Africa's Complaint Procedure.
  - acknowledge the complaint,
  - investigate the complaint and respond to the complainant providing information as to the findings of the investigation, whether the complaint is considered to be justified and where applicable an indication of improvements to be made to prevent recurrence,
  - prepare a summary report for the Board of NSF-CMi Africa to consider at its next meeting.

Having considered the report, the Board of NSF-CMi Africa may order corrective action to be taken. The decision of the Board will be recorded in the minutes of the meeting and any decision requiring corrective action to be taken will be implemented by the Managing Director.

## 6. DEFINITIONS

**Applicant** - A business or person who has applied for, but has not yet been granted a Certificate of Conformity

**Approved Producer** - A business or person holding a valid Certificate of Approval for the production and/or processing of products specified on the Certificate of Approval.

**Certificate of Conformity** - A Certificate issued under a specific serial number by NSF-CMi Africa to Approved Producers for a designated location or site

**Certification Scheme** - The CMi Africa Certification Scheme which is designed to certify conformity in accordance with the SANS 10330 using a Quality Management System complying to the requirements of ISO 17021.

**Mark of Conformity/Q mark** - A mark owned by CMi Certification Ltd and applied by an Approved Producer to letterheads, promotional materials or other authorised paperwork indicating that the producer is an approved member of the CMi Africa Certification Scheme for the HACCP scheme.

**Statement of Conformity** - A document issued by an Approved Producer to a customer confirming the products supplied have been produced in accordance with, and meets the certification scheme standards. This document may also carry the Mark of Conformity.

**Production Establishment** - A place where product is produced prepared, processed, packed and/or stored prior to distribution.

**Scheme Standards** - The SANS 10330 standard; the document which defines the product quality and safety standards, the operational procedures and practices, the standards for the production environment and for transporting/distributing the product which participants in the Certification Scheme must meet and maintain

## **7. IMPARTIALITY STATEMENT**

The Certification Body (NSF-CMi Africa) has top management commitment to impartiality in management system activities. NSF-CMi Africa publicly states that it understands the importance of impartiality in carrying out its management system certification activities manages conflict of interest and ensures objectivity of its management system certification activities. This statement is based on the principles and requirement of ISO 17001: 2005.

Impartiality means:

- To deliver assessment and certification that provides confidence.
- The source of revenue for certification body is a potential threat to impartiality.
- Decisions are based on objective evidence and are not influenced by other interested parties.

Impartiality has major threats:

- Self-interest threats
- Self-review threats
- Familiarity threats
- Intimidation threats

A key principle of certification is that the certification body operates rigorous systems to ensure the independence and impartiality of the audit and certification process, and for maintaining strict confidentiality.

The NSF-CMi Africa directors, managers and staff recognize the importance of ensuring that all certification activities are carried out with the utmost impartiality and without conflict of interest. Systems are in place to ensure NSF-CMi Africa activities are carried out with complete objectivity and cannot be subverted or otherwise influenced.