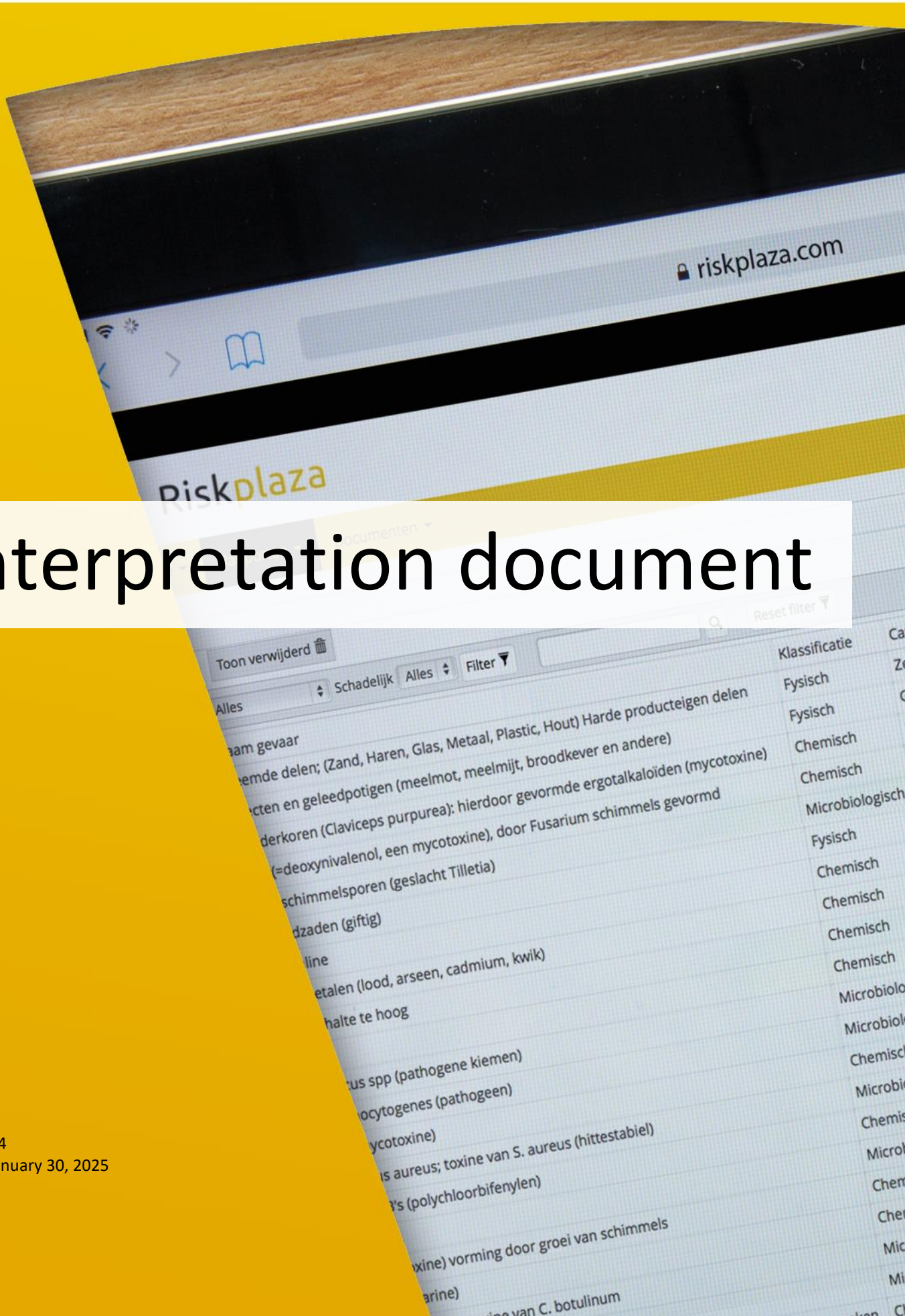
Riskplaza-audit+



Interpretation document

Issue 1.4
Date: January 30, 2025

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Preface

This document belongs to the Riskplaza audit+ certification scheme version 5. In this document, decisions of Riskplaza are published that have effect from the corresponding effective date and are applicable to certification bodies and certified companies.
In addition, where necessary, an explanation is given of the content of the certification scheme to clarify the interpretation.

The content of this document is established after consultation with representatives of the certification bodies in the "coordinators consultation" and after consultation with participants in the "sounding board" of certified companies.

Chapter 1 contains the decisions. The decisions apply to the certification scheme and are as such part of the certification scheme. The company and the certification body shall take these into account during the certification process.

Chapter 2 contains explanations of the content of the certification scheme. The explanations given in this chapter are a clarification of the relevant criteria. They are guidelines for interpretation. Only where explicitly stated, these are minimum requirements on which an auditor can base his assessment.

Content

1. Decisions

Decision list Riskplaza-audit+ certification scheme version 5.0

Subject	Criterium	No.	Decision	Motivation/ information	Status	valid
Control of foreign bodies	3.2.1.2	23-01	In the case of GFSI certified suppliers, it is sufficient to monitor the GFSI certification status for the raw material hazard foreign bodies. In these cases, additional verification is not required.	The risk of foreign bodies is limited because the hazard-specific control measure is continuously monitored in the supplier's GFSI audit.	Valid from 25-09-2023	Yes
Frequency of supplier audits	3.2.1.3.	23-02	It is allowed for the company to conduct the supplier audit with a minimum frequency of once every 3 years, instead of annually. The company needs to verify this control annually.	To align the certification scheme with info sheet 64 in the Netherlands.	Valid from 25-09-2023	Yes
Hazards low severity	2.4	24-01	Regulated hazards with a low severity category cannot be considered not significant hazard because of the low severity category. This is only possible for regulated hazards with the rationale that the probability is negligible.	Legal requirements must be met.	Valid from 13-06-2024	Yes

2. Explanation of criteria

Definitions

Contractual work	The process performed by the Riskplaza participant on behalf of a customer, where the raw materials and the final products produced from these raw materials are not owned by the Riskplaza participant. • The (final) products resulting from the process are only delivered to the customer who pays for the process/service provision • The Riskplaza participant is not mentioned on the packaging of the (final) products.
Trade products	A product that is purchased and resold without processing • The Riskplaza participant owns the trade product • Products produced by sister companies could be trade products as well.

Part A. Requirements for companies seeking certification

2.3.1
A control measure is a measure (process step) that eliminates or reduces a hazard to an acceptable level. Here (2.3.1.) control measures are meant that lead to a CCP/OPRP in the links of the supply chain and/or at the company. This criterion has the intention to prevent a hazard being considered as not significant, because a control measure has already been applied in the supply chain. It is up to the company to verify any control measures in the supply chain in the event of a significant hazard. (See 3.2 and 3.4)
When defining the verification method, these control measures may be taken into account: the more robust the measure, the easier the verification: see part A, 3.2

2.3.2.
'*A recipe that is characteristic for the raw material*' is understood to mean a raw material recipe (raw material composition) in which the ratio of the ingredients is fixed and typically belongs to this raw material and is therefore independent of the supplier.

3.2
See guidance document in appendix 1.

3.2.1.1
A trading company can be Riskplaza-audit^{+} certified if the company already has a certified food safety system. Several GFSI standards have been accepted by Riskplaza. A trader who wants to sell products using the Riskplaza-audit^{+} certificate must be Riskplaza-audit^{+} certified when:

- It concerns a product that is sold under its own brand. After all, the company of the product is liable.
- The trading company also provides storage, (re)packaging and transport.

The certification is based on the same requirements as for a production company, possibly with a limited scope. A trading company can fall back on the Riskplaza audit^{+} certificate of the supplier(s) (and does not need to be certified) if all the conditions listed below are met:

- The product falls within the scope of the Riskplaza audit^{+} certificate of the supplier(s).
- The trading company does not perform any additional actions on the product. The trading company does not store, process / (re)pack / transport the product.
- The product is sold under the supplier's trade name, so that it is 100% traceable to the supplier.

3.2.1.3.
The supplier audit can be conducted both on-site and remotely, provided it can be demonstrated that the risks can be effectively controlled. Remote audits are not allowed for new suppliers or if the supplier audit is performed only once every 3 years.

3.5.2.
If no accredited analysis is available on the market, Riskplaza expects the company to assess the reliability of the laboratory and the analysis in question in a different way. The company shall inquire about the quality assurance at the relevant laboratory. For example: the results of ring tests for the relevant analysis, blank and duplicate tests belonging to the series of the analysed sample and / or an analysis validation report with results of the reproducibility and the minimal detection.

5.1.1.
There are rights and obligations in the choice of the company to be Riskplaza certified. One of the obligations is that the management is committed to continuously meet the Riskplaza criteria. Riskplaza expects management to record and communicate that it is the will of the management that the company is certified and that the management commits itself to the corresponding criteria.

5.1.2. / 5.7.1.
Continuous improvement is included in 5.1.2. Riskplaza requires the company to strive to continuous improving. In order to initiate the improvement process, Riskplaza requires the company to annually formulate one (or more) concrete objective (s) that are relevant for the scope of the Riskplaza certification scheme: the control of food safety hazards from raw materials. Riskplaza requires that at least in the management review the person with ultimate responsibility assesses whether the objective (s) have (have) been achieved and improvement has been achieved, and initiates additional actions where necessary.

5.4
See guidance document appendix 2.

5.4.2.
Riskplaza requires that the company periodically assesses the reliability of the suppliers and that this assessment includes the results of the checks on the raw materials supplied (for example, entry checks or laboratory testing by the company or by the supplier) and / or processes at the suppliers to guarantee the safety of the raw materials supplied (for example, supplier audit).

5.5.
Riskplaza requires that the company, by means of an internal audit, checks itself for the correct application of measures to meet the certification criteria. Topics that as a minimum shall be addressed during an internal audit are:

- Is the scope description still up to date?
    - are all relevant products included in the scope description?
    - is the communication (for example on the website, on delivery notes, etc.) about (the scope of) the Riskplaza certificate correct (especially with a limited scope)?
- Is the risk analysis complete and up-to-date?
    - are all relevant raw materials / ingredients included in the inspection matrix?
    - have all updates from Riskplaza (newsletter) been processed?
- Are the significant hazards controlled?
    - is there sufficient evidence that suppliers control the hazards involved?
    - is the certification status of the suppliers still up to date?
- Is the underlying management system functioning?
    - have any recalls been reported to the Riskplaza certification body?
    - has the control of raw material hazards been verified?
    - is the control of raw material hazards in accordance with Riskplaza criteria included in the management review?

Part B. Audit and certification protocol

2.1.8
The description of the certification scope should be product-oriented by naming the final product group(s) sold by the company, thereby avoiding commercial names of final product(s).

Contractual work
If a company performs contractual work, full scope is possible provided:

- The definition of contractual work is met
- The Riskplaza participant can provide proof that they do not own the raw materials and final products from the contractual work.
- The report explicitly describes how/if the company meets the definition of contractual work.

2.3.1.
Initial certification audit.
Phase 1 of an initial certification audit may be performed remotely. Phase 2 shall always be performed on-site.

2.3.2. – 2.3.3.
Recertification audit / surveillance audit.
The surveillance audit and the recertification audit may be conducted (partly) remotely, but must be planned in such a way that at least once every 3 years (during the validity of the certificate) the auditor is on site to make a tour of the company to assess the completeness of the quality system.

2.6.
Riskplaza requires that the criteria of chapter 5 (management system) are implemented in the procedures of the underlying certified food safety system. Riskplaza assumes that the implementation of these system criteria will be assessed in the relevant certification audit.

Riskplaza strives to avoid double checks. The Riskplaza auditor will therefore, when assessing the criteria in Chapter 5, check whether the methods for meeting the Riskplaza criteria are incorporated in the underlying food safety system. In principle, the Riskplaza auditor will assess the implementation on a random basis and will only assess it thoroughly when there is reason to do so.

3.2. The certification body will inform Riskplaza within 5 working days/7 calendar days after the notification of the customer that it wants to stop. This notification must include when the registration must be removed from the database.

Part C. Requirements for the certification bodies / integrity program

No explanation so far.

Appendix 6. Workflow Riskplaza HACCP plan

The workflow is a different representation of the criteria in part A, chapter 2 and chapter 3. In content, both parts are equal, they contain the same criteria.
Chapter 3 contains the criteria for control measures. Section 3.2 contains the criteria in case the supplier controls the hazard. Three certification situations of the supplier are distinguished here. It is permitted that a company fulfils the verification of the supplier in another way, provided that the same assurance is achieved.

3. Guidance documents

Appendix 1. Guidance document for risk-based verification of control measures by the supplier

Goal
This document provides guidance for a risk-based verification done by the company for the control measures by the supplier as described in 3.2.1.2. and 3.2.1.3 in part A.

Verification activities
A company is depends greatly on the supplier in regards to food safety of the supplied raw materials. Therefore, the company is expected to understand the food safety control measures by the supplier. This is obtained through one or a combination of several verification activities.
The verification may consist of:

- Confirm the supplier's certification status;
- Doing a supplier's audit on location or remote;
- Inspection of the supplied documentation, proving that control measures have been taken (such as a HACCP plan, report on HACCP verification, audit report from a certification audit, results of a lab analysis, etc.);
- Inspection of supplied raw materials through lab analyses ordered by the company (consumer);
- Checking the relevant sectoral monitoring results.

Verification of control measures may suffice with a check of the certification status of the supplier, only if the raw materials are supplied by Riskplaza-certified supplier or the hazard 'foreign bodies' in raw materials is controlled by a GFSI-certified supplier. In all other cases the verification must consist of several activities, based on the following principles.

Principles of risk-based verification:

1. The goal of verification is to establish controlling of food safety hazards in raw materials. This can be done either directly (in the manufacturing process) or indirectly (through targeted sourcing) by the supplier.
2. The nature, extent and frequency of verification activities can be tailored to:
   - The risk of the supplier: the higher the justified trust, the lower the risk of the supplier supplying unsafe products is, and the less intensive the verification has to be;
   - The risk of the food safety hazard: the lower the risk, the less intensive the verification has to be.
3. Verification can be applied to the supplier's manufacturing process. This means that the hazard is controlled by a control measure in the supplier's manufacturing process. For example, the CCP "pasteurisation" controls food safety hazards such as *Salmonella*, *Listeria* and *E-coli*.
4. Verification can be specified to raw materials. This applies to hazards found in raw materials which cannot be reduced or eliminated in the chain. Examples of these hazards are heavy metals or pesticides. The supplier can control this by targeted sourcing (e.g., buying raw materials from a certain region and/or that accompanied with certain food safety certifications).

The following points are important for diligent and careful verification:

1. Verification is based on control measures by the supplier (either in the manufacturing process or procurement).
2. Verification is based controlling relevant individual food safety hazards.
3. The nature (e.g., on-site audit, remote audit, retrieval of information/analysis results, in-house analyses), scope (e.g., depth/duration of an audit, type of information, number of samples/analyses), and frequency (e.g., quarterly, annually, biennially, triennially) of the verification can be adjusted based on a risk assessment of the food safety hazard and the supplier.
4. Verification of a low-risk food safety hazard originating from a low-risk supplier should occur at least once every three years.
5. The results of the GFSI supplier risk assessment may be used for the supplier risk assessment.
6. The results from the HACCP risk assessment may be used for food safety hazard risk assessment.

7. A process step at the supplier may control multiple hazards. For example, 'pasteurisation' is able to control multiple hazards such as *Salmonella* and *Listeria*. Verification of 'pasteurisation' leads to verification of the control measures for both hazards.

Appendix 2. Guidance document on a risk assessment of suppliers

Goal
This document provides guidance on performing a supplier risk assessment as described in 5.4 in part A.

Introduction
The Riskplaza-audit+ certification scheme is an “on-top” certification scheme additionally to a GFSI food safety scheme. The GFSI food safety scheme requires a supplier assessment.
This appendix is intended to provide guidance on this supplier assessment so that a risk classification can be determined.

Basic principles

1. In infoblad 64, the NVWA addresses one of the principles for hazard control, namely that companies should only do business with reliable suppliers and that as verifiable trust in a supplier grows, the number of inspections may decrease.
2. GFSI certification schemes describes criteria regarding the assessment and approval process for suppliers of raw and packaging materials. It is expected that a process dependent on the risks of the raw materials and the risk (reliability) of the suppliers. Riskplaza refers to this supplier assessment procedure at section 5.4.1.
3. The results of this supplier assessment can be used in the rationale of a risk classification which in turn can be used for the risk-based method and frequency of verification mentioned in sections 3.2.1.2. and 3.2.1.3.

The following assessment points are important to properly substantiate the risk classification of suppliers: certification status, control measures of food safety hazards in the process and procurement, findings from own inspections, professionalism and integrity. Additionally, a company can establish performance indicators and associated weighting factors.
The following questions can be asked:

1. Certification status
   - Does the supplier have a valid Riskplaza-Audit+ certificate or GFSI-accepted food safety certificate?
   - Are the supplied raw materials included in the scope on the certificate?
   - What are the results of the certification audit? What deviations where determined? How did the supplier act on them?
   - What are the results of the following audits? Have there been improvements?
2. Control measures of the hazards in the suppliers manufacturing process
   - Which control measures does the supplier take to limit/eliminate the relevant hazards in their own manufacturing process?
   - Did the supplier identify the right CCP’s and OPRP’s for the relevant hazards?
   - Does the supplier effectively control these CCP’s and OPRP’s (no deviations during the certification audit)?
   - Does the supplier effectively control the fundamental requirements (no deviations during the certification audit)?
3. Management of hazards in supplier procurement
   - Does the supplier set requirements to their own suppliers regarding the control of the relevant hazards? (Have the relevant in-house procurement requirements to the supplier been translated to the supplier's procurement requirements to their supplier)?
   - Does the supplier monitor its suppliers' control of these hazards?
   - Does the supplier have its own supplier assessment procedure and risk assessment?
   - Can the supplier show the results of its supplier audit/assessment?
4. Findings from own inspections
   - What are the results of the entrance inspections upon receiving raw materials?
   - What are the results of the information provided by the supplier?
   - What are the results of sampling/analyses of the raw materials?
   - What is the number of complaints/the nature of complaints about this supplier?
5. Professionalism and integrity

- How transparent is the supplier in respect to its certification audit results?
- How transparent is the supplier in respect to its own inspection (results)?
- How does the supplier respond to its own reports of deviations and complaints?
- Does the supplier communicate proactively in case of relevant deviations?