

Surveillance activity provisions for certification bodies relating to the JFS-C Certification Program	Issue date: Jul. 5, 2018	Document number: PR 301_06_R06_en
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Surveillance activity provision for certification bodies relating to JFS-C Certification Program¹

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1. Purpose

These provisions relate to the surveillance activities defined in “Development and Implementation of Integrity Program”, section of JFS-C Certification Program Document (hereinafter the “Program Document”), as well as the content described in “Auditor competence”, “Auditor practical experience and training”, “Audit performance and assessment Program”, “Competence required for technical reviewers”, and “Witness-assessors competence”, with the purpose of enabling auditors, technical reviewers, and witness-assessors to conduct such audit activities as well as defining the details of activities for confirming audit-related information that are to be managed by Japan Food Safety Management Association (hereinafter “JFSM”).

2. Responsibilities

- 1) JFSM Secretary-General is responsible for overseeing the surveillance activities for certification bodies and dealing with any related nonconformities. Secretariat assists Secretary-General with these responsibilities.
- 2) JFSM President is responsible for suspending the certification activities of certification bodies and canceling contracts between certification bodies and JFSM.

3. Scope

The scope of this provision applies to JFSM and certification bodies that have signed the " Certification Operations Agreement for JFS-C Certification Program " with JFSM.

4. Activities

As described of the Program Document, activities to manage various risk factors are required to enable certification bodies to continue to conduct proper certification activities. For risk factors, please refer to “Certification Program Document (Provision) Risk Factors of Operational Integrity in JFSM”.

As the owner of the certification program, JFSM shall maintain the integrity and credibility of the Program by means of the following surveillance activities.

In addition, as described in Annex 4 “Risk Factors of Operational Integrity in JFSM” of Certification Program Document, the performance of certification bodies is monitored by means of the following surveillance activities. JFSM shall define key performance indicators (KPIs) among the activities by certification body to maintain the integrity and credibility of the certification program and collaborate with certification bodies on these KPIs as necessary.

(Provision) Excerpt from Risk Factors Considered in Integrity Programs

Clause	Integrity Program and KPIs	Risk factors to be considered											
		a)	b)	c)	d)	e)	f)	g)	h)	i)	j)	k)	l)
3.6.3	Desktop review (Monitoring of audit report)	△		△	△				△			△	
3.6.4	Office Audit	○	○	○	○		○	○	○	○	○	○	○
3.6.5	KPIs for certification body activities	○	○	○	○	○	○	○	○	○	○	○	○
3.6.6 1)	Evaluation of certification activity using the JFSM database	○		○		○	○	○	○	○	○		

*○: Assessable risk factors

△: Risk factors that may be assessable

Risk factors considered in the Integrity Program and the purpose of the assessment

Risk Factors Considered	Assessment objectives
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a) Number of countries in which the certification body is active	To assess the diversity of the scope of the audit activities
b) The number of central functions of the certification body	To assess the diversity of the scope of the audit activities
c) Number of active auditors	To assess the balance against the number of reviews
d) Language in which the audit is conducted	Differences in the screening environment between regions
e) Number of audits by region	Differences in the screening environment between regions
f) Number of certification registrations	Balance with the number of auditors
g) Number of audits per auditor	Balance of audit activity among auditors
h) Number of nonconformities by classification	Trends and differences by auditor and by certification body
i) Grade and number of nonconformities	Variation in judging by auditors
j) Variation in judging by auditors	Differences and consistency with calculated man-hours
k) Important product recalls that have an effect on food safety	To assess the certified organizations' audits of conformity with the JFS-C standard
l) Number of related complaints	Evaluation of certification activities

JFSM classifies the " risk factors considered " and "objectives of assessment" in the table above into the following three activities, and compiles activities from January to December of the previous year in March of the following year, confirming and analyzing them as surveillance activities.

- ✧ Certification Activities
- ✧ Certification audit activities
- ✧ Auditors Activities

4.1 Certification Activities

JFSM will analyze and evaluate the maintenance of integrity and reliability of certification activities based on the information entered into JFSM database and the results of office audit.

- 1) Annual performance analysis based on the information entered into JFSM database
JFSM conducts a performance analysis of the indicators listed below for each certification body based on the data registered in JFSM database from January to December of the previous year. (Annual Implementation) The indicators are set out in Annex 4 of Certification Program document. This analysis is conducted by the end of February each year, covering the previous year's data.
- 2) Analysis of Risk Factors: "Important product recalls that have an effect on food safety" and "Number of Related Complaints"
 - (1) JFSM monitors the risk factor "k) Major product recalls affecting food safety" in the annual certification performance analysis based on information entered into JFSM database by checking publicly available information related to the relevant certified organizations and through notifications from certification bodies when a recall occurs.
 - (2) JFSM monitors the risk factor "l) Number of relevant complaints" in the "Annual performance analysis based on the information entered into JFSM database", by reviewing complaints related to certification activities submitted to JFSM, as well as complaints related to JFS-C certification activities received by certification bodies, which are confirmed during office audit. Both the content and number of complaints are subject to monitoring.

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3) Periodic office audit of certification body

In principle, the first periodic office audit shall be conducted within three months before or after third year of the contract is concluded with certification body. Thereafter, office audit is repeated in the same cycle every three years. The method of conducting the periodic office audit and the method of dealing with any nonconformities found during periodic office audits are described in the following separate section.

In addition, for certification bodies that have not yet conducted any audits under the JFS-C standard after signing the contract, or that have not yet applied for accreditation, a document-based review may be conducted as an alternative.

JFSM outlines the implementation guidelines for periodic office visits as follows:

(1) Appointment of Audit team and auditors

JFSM shall appoint the leader and members of the audit team that will perform the office audit. The leader and members must satisfy either of the following and have no vested interests in the certification body to be audited:

- a) Person who understands the JFS-C Certification Program Document and has experience in internal audits, second-party audits or third-party audits.
- b) Person whose competency is acknowledged as an auditor who performs the office audit by the Secretary-general according to a) above.

(2) Audit planning and preparation

Based on the "Development and Implementation of Integrity Program", described in Certification Program Document, the audit team prepares "JFS-C Office Audit Plan"(FM_301_2-1) and "JFS-C Office Audit Checklist"(FM_301_1-2). In principle, the audit checklist shall be sent to the certification body at least three months prior to the office audit.

The certification body must identify the relevant evidence documents and records, fill in the audit checklist accordingly, and submit the completed checklist to the audit team at least four weeks before the scheduled audit date. The audit team will review the submitted checklist and may request the certification body to submit in advance any documents deemed necessary for preliminary review.

The audit team shall obtain the latest accreditation audit report of the certification body from the accreditation body, review its contents, narrow down the key points for focused review, and reflect them in "JFS-C Office Audit Plan (FM_301_2-1)." The Audit Plan shall, in principle, be submitted to the certification body no later than three weeks before the audit. The template for the Audit Plan is provided in FM_301_2-1. The audit duration is generally set to one day.

(3) Audit items

Audit shall be conducted based on the following points of view:

- ① if the certification body implements the certification process in accordance with the requirements of the Certification Program Document;
- ② if the certification body evaluates competence of auditors, technical reviewers, and witness-assessors in accordance with the requirements of the Certification Program Document (in particular, whether the certification body properly evaluates new auditors and continuously evaluates existing auditors);
- ③ if the personnel involved in certification activities are provided with regular training;
- ④ if the certification system periodically has been reviewed and improved; and
- ⑤ if JFSM logo used in accordance with "Provision for Handling the JFS-C Certification Logo".

(4) Implementation of the audit

The audit team leader shall check the participants and explain the details of the audit and the required items to the certification body according to the Audit Plan before starting the audit.

The certification body must secure the attendance of the respective managers (or persons in charge if absolutely necessary) of JFS-C Certification Program, certification activities, JFSM database, and other related works during the office visit and be able to explain the certification

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activities, related management system, and work processes to the audit team.

The audit team shall ask questions to the relevant certification body by using the audit checklist to collect objective evidence. If required, the team shall have Question and Answer time with the certification body about the observed items (including non-conformity items) aiming for mutual understanding.

The audit team shall judge the conformity status of the performance of the certification body for each item on the audit checklist based on the collected objective evidence. In addition, the determination of conformity shall fall into one of the following three categories:

- a) Conformity (satisfying the requirements of the Certification Program Document)
- b) Non-conformity (not satisfying the requirements of the Certification Program Document)
- c) Observations (when the requirements of the certification program document are met but there is room for improvement)

Based on the discussions with the audit team members, the audit team leader shall judge the audit result and prepares "JFS-C Non-conformity Observation Report"(FM_301_2-2) and presents it at the closing of the audit.

Certification body will be requested to complete "JFS-C Non-conformity Observation Report"(FM_301_2-2).

The audit team shall reach an agreement with the certification body on the contents of "JFS-C Non-conformity Observation Report"(FM_301_2-2) presented during the audit closing and request the certification body to sign the report to indicate their agreement.

Based on the signed "JFS-C Non-conformity Observation Report"(FM_301_2-2), JFSM shall request the certification body to take appropriate actions regarding the nonconformities, as outlined in section (5).

(5) Handling of nonconformities

For responses to nonconformities identified during periodic office audit, please refer to section 5, " Handling of nonconformities," of this provision.

(6) Internal Approval of periodic office audit for Certification Bodies within JFSM

JFSM shall consider the audit checklist with the final judgment to be the final version, and will submit the audit report together with the audit checklist, and, in case of non-conformities, "JFS-C Non-conformity Observation Report"(FM_301_2-2) containing the corrective actions approved by JFSM, and " JFS-C Office Audit Attendance List (FM_301_2-3) completed by the certification body on the day of the audit, for continued approval to the leadership member directly above the JFS Business Division (hereinafter referred to as the LT member).

4.2 Certification Audit Activities

JFSM analyzes and evaluates the integrity and reliability of certification activities under this certification program by reviewing the authenticity of issued certificates and conducting sampling reviews of audit reports, based on the certification audit information entered into the JFSM database.

1) Checking audit information upon the entry in the JFSM database by certification body

JFSM verifies the information entered into the JFSM database by certification bodies for each audit in accordance with "3.10: Confirmation of certificate authenticity" of Certification Program Document. If there are any omissions or incorrect entries, JFSM shall request the certification body to correct the data within 14 days from the date of the request, in principle.

The following items are verified with respect to the audit and the authenticity of the certificate:

- ① Audit: Audit classification (initial audit, surveillance audit, recertification audit and announced, unannounced)
- ② Validity of the audit scope at the audited organization (consistency between the certification body, registered auditor's scope, and the audit scope)
- ③ Alignment of audited organization's product categories with audit sector/subsector
- ④ Consistency and appropriateness of audit duration (based on number of HACCP plans, number

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of employees, number of shifts, number of auditors, number of audit days, and additional time for transition audits, etc.)

⑤ Date of certificate issuance and certificate expiration date

- In cases where the planned audit duration may fall below the minimum required audit duration, JFSM shall request the certification body to provide an explanation along with supporting evidence in accordance with "Provision for JFS-C Audit Duration." A written response (including by email) must, in principle, be submitted within 14 days from the date of the request. Based on the response and supporting evidence, JFSM assesses the validity of the case and determine whether to approve it.
- Although the audit duration is calculated automatically in the database based on factors such as the number of HACCP plans and the number of employees, and it is not possible to input an audit time that falls below the calculated minimum, any unapproved deviations in audit duration are monitored through entries in the JFSM database.

2) Sampling review of audit reports

JFSM performs sampling as follows:

After April every year, JFSM trace back the audit results entered in JFSM database during the year from the beginning of April of the previous year to the end of March of the same year and extracts the initial audits and recertification audits conducted during that year. Following the sampling rules shown in the table below, the number of audits to be sampled for each certification body is determined.

In the audit sampling, the inclusion of audit cases sampled during GFSI desktop reviews or office audits conducted in the most recent year allows for the simultaneous consideration of compliance with the GFSI benchmarking requirements. Therefore, this should be taken into account during the sampling process.

For certification bodies that have not yet been accredited under JFS-C scheme (including JFS-C Certification Program Document and Standard Document), compliance with the latest revisions of Certification Program Document and Standard Document should be checked during the implementation of the "sampling review of audit reports," if revisions have been made.

In addition, the method of conducting a review of the sampled audits is described in the following separate section.

Audit sampling rules

Number of annual audits by certification body (initial audit, recertification audit)	Number of audits to be sampled
1 to 10	1
11 to 100	10% of the actual number (rounded down to the nearest whole number)
101 more	10

JFSM shall review the audit report as follows:

(1) For Audit Report Review Conducted by JFSM

JFSM conducts reviews of audit reports for certification bodies under contract.

JFSM conducts monitoring based on the following monitoring items from the audit reports and related materials. If additional information is required for monitoring, JFSM shall request the applicable certification body to provide additional information (including documents).

JFSM reviews the following items based on the submitted materials.

- ✧ Whether a technical reviewer who meets the requirements of Certification Program Document has reviewed the sample audit
- ✧ Whether an on-site evaluator who meets the requirements of Certification Program Document has evaluated the auditor for the sampling case.
- ✧ Whether it can be confirmed that the series of audit activities meets the requirements of Certification Program document.
- ✧ Check sheet and summary confirming that all requirements in JFS-C standard Document have been reviewed.

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- ✧ Has the conformity of each site been determined properly based on adequate evidence?
- ✧ When nonconformities have been identified at each site, have the determinations been made based on adequate evidence?
- ✧ Have the auditors properly verified the non-conformity corrections or corrective actions undertaken by the sites?
- ✧ Is the basis for calculating the audit durations appropriate?
- ✧ Other confirmation items related to the appropriateness of the certification audit.

If JFSM determines, based on the results of monitoring, that an audit report including relevant materials may not conform to the requirements of Certification Program Document, it shall request the relevant certification body to provide an explanation of the reasons and, if necessary, request corrective actions. The relevant certification body shall respond in principle within 14 days from the date of request and report the results of its response to JFSM.

① Requirements for submission of documents regarding sampling review of audit reports
In conducting a sampling review of the audit reports determined as described above, JFSM will request each certification body to submit the following documents related to the sampling case:

- ② Required documents to submit
- a) Documents clearly stating "confidentiality," "conflict of interest," and "impartiality" that have been agreed upon between the sampled auditor(s), the technical reviewer, the on-site evaluator for the relevant auditor(s), and the certification body.
 - b) Records of training (materials and attendance records) conducted by the certification body to the sampled auditor(s)*1, the technical reviewer, and the on-site evaluator for the relevant auditor(s) regarding ISO/IEC 17021-1, ISO 22003-1, and IAF MD4. (*1 Documents already submitted at the time of the initial registration of the auditor(s) may be omitted.)
 - c) Documents related to the competence of the auditor(s). (*1 Documents already submitted at the time of the initial registration of the auditor(s) may be omitted.)
 - Evidence documents for Certification Program Document: "Auditor Competence" and "Auditor practical Experience and training"
 - Latest information of "JFS-C Auditor Competency Management Sheet"
 - Latest of training records (training materials, attendance list and evaluation records)
 - Most recent witness audit evaluation record

*The evaluation record must include Certification Program document "3. Action and Systems Thinking."
 - d) Documents related to the competence of the technical reviewer for sampling audits
 - Documents demonstrating that the technical reviewer meets the "Competence Required for Technical Reviewers" as defined in Certification Program Document"
 - Records showing that the certification body has evaluated and approved the competence of the technical reviewer for the sampling audit.
 - e) Documents related to the competence of the witness-assessors who conducted the witness evaluation of the auditor of the sampling audit
 - Documents demonstrating that the witness-assessor meets the "Witness-assessors competence" as defined in Certification Program Document "
 - Records showing that the certification body has evaluated and approved the competence of the witness-assessor of the auditors in sampling audit.
 - f) Audit related materials
 - Evidence documents that fulfill the items a) to j) described in the "Audit Reports" of Certification Program Document
 - Audit Plan
 - Audit duration Decision Record
 - Records of risk assessments if remote audits were conducted
 - Audit report: (Including the requirements of the audit report a) to j))
 - Audit report: Evidence of corrections and corrective actions based on the content and rationale of the decision regarding nonconformities

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- Evidence of the Certification decision (records indicating that a decision or technical review has been done)
- Issued certificate (most recently issued in case of periodic audit)
- g) Evidence that the audit report was issued to the organization within two weeks of the certification decision, in accordance with the “Provision for Preparation of Audit Reports for the JFS-C Certification Program”
- h) Evidence of agreement that the audit report will be disclosed to GFSI, as specified in Certification Program Document “Audit Report – 1) Preparation of the Audit Report.
- i) Evidence documents that fulfill items ① to ④ of Certification Program Document “Review of the audit report”

*1 Documents required for initial registration of auditors:

- ✧ A contract or equivalent document between the certification body and the auditor that describes confidentiality, conflicts of interest and impartiality
- ✧ Evidence documents and records required by JFS-C Certification Program Document, including:
 - Certificates or other evidence of the auditor’s academic background, work experience, and qualifications
 - Records of training conducted on ISO/IEC 17021-1, ISO 22003-1, and IAF MD4 (including training materials and attendance records)
 - Records of completion of training that meet the initial registration requirements for auditors
 - Auditor competency evaluation and ethical behavior assessment

③ Submission Deadline for Documents

The certification body shall submit the requested documents to JFSM, in principle, within 14 days from the date of request.

Additional documents shall, in principle, be submitted within 5 business days from the date of request.

*Note: National holidays shall be taken into consideration

(2) For Audit Report Review Conducted by GFSI

The documents required for submission in the audit report review conducted by JFSM are the same as those required for a twice a year desktop reviews conducted by GFSI. The submission details are as follows:

The documents required for the audit report review conducted by JFSM are the same as those required for the biannual desktop reviews conducted by GFSI. The submission process is as follows:

① Submission Deadline for Documents

Documents requested by JFSM for submission to GFSI shall, in principle, be submitted to JFSM within 10 days from the date of request.

Additional documents requested by the GFSI Benchmark Leader shall, in principle, be submitted within 3 business days from the date of JFSM’s request.

② Language of Submitted Documents

Documents submitted by the certification body shall be English, the official translation language or in a language designated by the organization, or both. If documents are submitted only in a language designated by the certification body and organization, they shall be submitted in a file format that allows easy translation (e.g., Word, Excel, or PDF files generated through file conversion), and JFSM shall handle the translation.

For documents that are difficult to translate (e.g., image files of scanned paper documents or handwritten materials), a separate version in a file format that allows easy translation shall be submitted in addition to the original.

③ Review of Submitted Documents

JFSM shall confirm that the documents submitted by the certification body are in a translatable format. If any parts are found to be difficult to read or understand, JFSM will request the certification body to resubmit the documents.

④ Non-conformities Identified by GFSI

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After confirming the contents of 2)③, JFSM shall submit it to GFSI. In the event that GFSI identifies any nonconformities, JFSM shall communicate with the relevant certification body to request the submission of additional documents and responses to the nonconformities.

The certification body shall address the nonconformities within 14 days from the date of request, in principle.

If meeting the deadline is difficult, the certification body shall reach an agreement with JFSM regarding an extended submission period.

4.3 Auditor Activities

JFSM shall evaluate the number of active auditors, including R0 and R1 auditors, which are defined as risk factors in the Integrity Program—based on the registration of new auditors submitted by certification bodies, applications for sector and sub-sector expansions, and auditor-specific audit records from the previous year. In addition, as described in section 2), JFSM shall analyze and assess auditor activities using these records to ensure the integrity and reliability of the certification program.

1) Number of active auditors

JFSM defines, verifies, and analyzes the number of active auditors (including R0 and R1 auditors) as a key performance indicator (KPI) among the risk factors considered in the Integrity Program described in Appendix 4 (Provision), based on auditors registered in accordance with Certification Program Document "Initial registration requirements for auditors" and " Provision for JFS-C Auditor Initial Registration."

2) Audit experience by auditor in the previous year

Based on "Audit Results and Evaluation Program" in Certification Program Document, JFSM shall review the auditor of the previous year's audit results as part of their activities.

- (1) The certification program specifies requirements regarding the number of audits conducted annually by auditors, including audits for JFS-C and other GFSI-recognized schemes. To verify compliance with these requirements, JFSM requests all certification bodies to provide data on the number of audits conducted during the one-year period from January to December of the previous year. This information is collected annually during January and February. If an auditor does not meet the audit performance requirements set forth in the Certification Program Document "Audit performance and assessment program," JFSM shall notify the relevant certification body of the intent to temporarily suspend the qualification of that auditor.
- (2) In order to confirm the implementation of training on the content of JFS-C certification program and standard requirements provided by JFSM as part of auditor education and training, the submission of training materials and attendee lists or evaluation records is requested, as stipulated in the audit skills evaluation program of Certification Program Document.
- (3) JFSM shall verify "Audit Performance and assessment Program" using "JFS-C Auditor Competency Management Sheet" filled out with updated information submitted by the certification body, along with training materials and attendee lists or evaluation records.

5. Handling of nonconformities

1) Correction and corrective actions

- (1) When conducting surveillance activities related to the three areas of activity described in section 3 (certification, certification audits, and auditors), if the required deadlines or responses for each activity are not met as a result of communication with the certification body, JFSM shall treat the issue as a non-conformity and take the following actions.
- (2) If any nonconformities are found, JFSM shall agree the content of nonconformities with the certification body and ask the certification body to perform corrections and/or corrective actions. For regular office audit, the request shall be made using the " JFS-C Non-conformities Observation Report (FM_301_2-2)". The certification body shall submit a corrective action plan to JFSM within 30 days, in principle, from the date of fore mentioned agreement. In the case of

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observations, the improvement status shall be confirmed at the next office audit. Additionally, information shall be shared with the accreditation body, who will then confirm the status of improvement implementation at the regular certification audit after the office audit.

- (3) JFSM shall verify the validity of the above-mentioned corrective action plan
 - (4) The certification body shall complete the corrective actions within 90 days, in principle, from the date of agreement mentioned in 2) above. However, if JFSM judges that it is difficult to complete the corrective actions within that period given the details of the nonconformities, JFSM may extend the period based on discussions with the certification body.
 - (5) JFSM shall, when necessary, conduct a re-audit to confirm that the corrective actions have been completed, as well as their conformity and effectiveness.
 - (6) If, as a result of (5) above, the certification body has failed to correct and/or take corrective actions for the relevant nonconformities, JFSM shall grant an additional 30-day extension to the certification body. After that, if necessary, JFSM shall conduct a re-re-audit to confirm the completion of the corrections and corrective actions, as well as their conformity and effectiveness. However, this does not apply if the certification body neglects to implement corrections or corrective actions without justifiable reasons. In such cases of neglect, the process for suspension of certification activities described in section (3) below shall be initiated.
 - (7) If the re-re-audit is conducted, the certification body shall bear the costs associated with it, including travel expenses and personnel costs.
- 2) Interim office visit to certification bodies as required
- JFSM may conduct an on-site investigation of a certification body's offices to collect information required for determining conformity in any of the following cases:
- ① When objections or complaints received by JFSM are reviewed in accordance with the Provision for Handling of Appeals Concerning JFS-C Certification Program (PR_301_05) and the provision for the handling of complaints (PR_000_04), it is determined that there is a doubt about the integrity of the certification body's activities related to the above risk factors, and an office audit is necessary.
 - ② When there is a significant change in the structure or personnel of the certification body.
 - ③ If the results of JFSM's surveillance activities, including the handling of nonconformities, indicate that there is a possibility that the certification body's certification activities may not meet the requirements.
 - ④ When, for other reasons, it is determined that it is necessary to visit the office of the certification body directly and conduct an investigation.
- As a general rule, the certification body is notified of the office visit in advance and in writing regarding the date and time of the investigation, the location of the investigation, the matters to be investigated, etc. However, if there is a risk that the proper execution of the investigation may be hindered by such advance details, the on-site investigation may be conducted by only giving an advance notice without setting a specific schedule.
- 3) Suspension of the certification activities
- (1) If one of the following applies, JFSM shall suspend the certification activities of the relevant certification body.
 - ① Despite the request for corrective actions described in 1) (2) above, the relevant certification body neglected to perform corrections or corrective actions without reasonable grounds.
 - ② Even if interim office visit to certification bodies as described in 2) above, still fails to confirm the completion of the corrective actions against the relevant nonconformities and their conformity or effectiveness.
 - (2) JFSM shall announce the suspension of the certification activities of the certification body on JFSM's website, report it to the Board of directors, and notify certification body's accreditation body and GFSI of it.
 - (3) The certification body shall not perform the initial audit based on JFS-C Certification Program Document during the suspension period of the certification activities. With regard to the work required to maintain or recertify valid certifications that have already become effective (including

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the surveillance audit and recertification audit), it might be suspended taking into consideration the significance of the relevant nonconformities.

- (4) JFSM shall perform the audit again to confirm that corrective actions were taken against the relevant nonconformities within 90 days after the suspension, in principle. When it is confirmed as a result of the audit that corrective actions were taken against the relevant nonconformities, JFSM may lift the suspension of the certification activities.
- (5) When it is required to visit the office of the certification body to perform this audit, the costs (including traffic expenses and expenses equivalent to labor costs) shall be paid by the relevant certification body.

4) Termination of the contract

If one of the following applies to the certification body, JFSM may terminate the contract with the relevant certification body.

JFSM shall announce the termination of the contract with the certification body on JFSM's website, report it to the Board of directors, and notify the certification body's accreditation body and GFSI.

- ① After 90 days have passed since the suspension of certification activities, if the certification body has not taken appropriate corrective and/or preventive actions without valid reasons, and there is no prospect of the non-conformity being corrected and corrective action has been taken.
- ② The accreditation body has canceled the accreditation of the certification body.
- ③ A petition for bankruptcy, civil rehabilitation proceedings, corporate arrangement, corporate reorganization, special liquidation or other similar procedures was filed against the certification body, and it was revealed that the certification body cannot perform its activities.

6. Evaluation of Activities

- 1) JFSM summarizes the three types of surveillance activities conducted from January to December of the previous year (certification activities, certification audit activities, and auditor activities) as "Annual performance analysis based on the information entered into JFSM database", and reports and distributes it to relevant committees and stakeholders, including accreditation bodies and certification bodies. In accordance with Certification Program Document "Development and Implementation of the Integrity Program", JFSM distributes this information to all relevant parties at least once a year, by the end of May of the following year.
- 2) JFSM compiles and evaluates the results of surveillance activities for each certification body, including their responses to any nonconformities, in the form of "Certification Body Surveillance Activity Review and Report" In accordance with Certification Program Document, this report is distributed to each certification body at least once a year, by the end of May of the following year.
- 3) The above document shall be distributed to each certification body at least once a year, by the end of May of the following year, in accordance with Certification Program Document "Development and Implementation of the Integrity Program."
- 4) Certification bodies shall include the contents of "Certification Body Surveillance Activity Review and Report" as an audit item in their internal audits and conduct a review.

Forms referenced in this document

JFS-C Office Audit Checklist (FM_301_1-2)

JFS-C Office Audit Plan (FM_301_2-1)

JFS-C Non-conformities Observation Report (FM_301_2-2)

JFS-C Office Audit Attendance List (FM_301_2-3)

JFS-C Auditor Competency Management Sheet(FM_301_1-3)

JFS-C Integrity Program Annual performance analysis based on the information entered into JFSM database (FM_301_3-1)

Certification Body Surveillance Activity Review and Report (FM_301_3-2)

¹: Disclaimer: This translated document is provided for information purposes only. In the event of a

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difference of interpretation or a dispute, the original Japanese version of this document is binding

Version	Issue Date	Revision History
R00	July 5, 2018	First edition
R01	April 23, 2019	Revised version conforms to JFS-C Ver2.3
R02	October 28, 2019	Corrective Action to GFSI NC
R03	November 11, 2020	Revised version conforms to BR2020.1
R04	November 5, 2021	Revised version conforms to Program Document ver.3.1
R05	August 22nd, 2023	Corrective action to GFSI NC
R06	June 1st, 2025	<ul style="list-style-type: none"> • Revised measures in line with the issuance of GFSI BR2024 • Corrective action to the findings of the internal audit in November 2023 and GFSI desktop review and office audit. • Revision due to the overall organization of certification-related documents

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FM_301_2-1

Attn: _____

JFS-C Office Audit Plan (example)

[Month] [Day], [Year]

Japan Food Safety Management Association

Certification Body		
Certification body name		
Address		
Certification scope		
JFSM Audit team		
Audit team leader		
Audit team member		
Audit team member		
Contact email address	(Name of person in charge: _____)	
Overview of Office Audit		
Audit date (planned)	[Month] [Day], [Year]	
Audit criteria	JFS-C Certification Program Document Ver. XX	
Audit perspective	<ul style="list-style-type: none"> • Management system of the certification body • Audit and certification performance • Auditor competence, other items (Refer to the audit checklist for specific audit items.)	
Audit time schedule		
Estimated time	Audit details	Persons in charge
09:30-10:00	Opening meeting	CB Management department JFSM Audit team
10:00-12:00	Use of quality management system (QMS), accreditation/license, logo Contractual relationship between certification body and organization Audit process, certification process	CB JFS-C Certification staff
12:00-13:00	Lunch break	
13:00-16:30	Communication with the organization and JFSM Training of auditors and other personnel Auditor competence and registration	CB JFS-C Certification staff
16:30-17:00	JFSM audit team meeting	JFSM Audit team only
17:00-17:30	Closing meeting	CB Management department JFSM Audit team
Note:		
<ul style="list-style-type: none"> • We request that the responsible person of the JFS-C Certification Program, certification work, JFSM database, and other related work (or an administrator if unavailable) participates in the office audit. In addition, we request that the responsible parson of the overall JFS-C business also participates in the opening and closing meetings. • Together with the review of documents and records during the office audit, interviews on business processes will also be conducted with the staff in charge of each related aspect of the business. • Use the email address for the JFSM audit team to contact us for inquiries regarding office audit. 		

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FM_301_2-2

Attn: _____

JFS-C Non-conformities Observation Report

[Month] [Day], [Year]

Japan Food Safety Management Association

Thank you for your cooperation with JFSM's Office Audit today.

As a result of our review, we have found the following information. Please confirm it and sign your name to approve it.

Audit type	
Organizations under Audit	
Audit date	
Audit Standard Documents	

Standard document number	Nonconformities or Observations	Content

Japan Food Safety Management Association
Audit Team Leader

Certification Body Name

(Enter leader name)

(Enter the name of the representative)

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JFS-C Office Audit Attendance List

Attendees List				
Japan Food Safety Management Association				
Audit type	Office Audit for certification bodies			
Organizations under Audit				
Audit date	[Month] [Day], [Year]			
Audit Schedule	① Opening meeting (9:30-10:00)			
	② Each examination			
	③ Closing meeting (17:00-17:30)			
Please refer to the audit schedule above, write a circle the meetings you attended, and then fill in your name and department/position.				
full name	Department/position	①	②	③