

# **JFS-C Certification Scheme Document**

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Japan Food Safety Management Association  
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# 1. Scheme Outline

## 1.1 Objective

Provision of safe food to all people is a duty of any organization in the food chain. The scheme established by the requirements, procedures, etc. described in the present document (hereinafter referred to as “this Scheme”) is a system for third parties to verify such organizations are implementing appropriate food safety management systems. This Scheme aims to standardize initiatives on ensuring the food safety for the entire food chain, and for organizations that desire to use the certification to improve their own food safety levels. Through this Scheme, the Japan Food Safety Management Association (JFSM) expects individual organizations to promote their food safety initiatives to further improve the food safety level of the entire food chain and to optimize costs involved with food safety.

## 1.2 Characteristics

This Scheme characterizes in:

### (1) Easiness to be adopted by any organization

In order to further improve the food safety level for the entire food chain, this Scheme aimed to be easy to be adopted by any organization regardless of its scale, form, state or the characteristics of its products. Intention of each requirement is supplementarily explained in the Guidelines separately issued: readers are advised to refer to the Guidelines. Additionally, for the purpose of encouraging organizations to take initiatives for improving their food safety levels in accordance with their own status, JFSM plans to separately provide a mechanism for allowing for step-wise improvement of food safety management systems.

### (2) Leadership of top management for actively absorbing worksite opinions

Improvement of food safety levels by an organization essentially requires the top management of the organization to steadily involve with the organization’s food safety initiatives, set forth food safety policies, and properly inject relevant management resources such as personnel and funds. In addition to these, this Scheme focuses on proper utilization of suggestions on the food safety from employees who engage in actual works involved with food processing or manufacturing, etc. In order to realize continuous maintenance and improvement of food safety levels, it is highly important that employees who engage in actual work at worksites control their own action with a high level of awareness on food safety, and proper utilization of suggestions from such employees would induce the employees to develop a high level of ethics and motivation on their works.

### (3) Flexibility, based on scientific theories

This Scheme requires initiatives based on scientific theories. This Scheme has flexibility within the range explainable by scientific theories or experience.

### (4) Consistency with international standards such as Codex Alimentarius and ISO

Currently, the “General Principles of Food Hygiene” by the Codex Alimentarius Commission<sup>1</sup> is the commonly adopted concept on food safety in the world. Additionally, ISO has promoted standardization of food safety management systems and related certification systems. This Scheme refers to these existing

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<sup>1</sup> Codex Alimentarius Commission “RECOMMENDED INTERNATIONAL CODE OF PRACTICE GENERAL PRINCIPLES OF FOOD HYGIENE” CAC/RCP 1-1969, Rev.4 (2003)

international standards and ensures consistency with them. This Scheme also refers to the GFSI Guidance Document that was jointly formulated by worldwide experts related to food safety.

### **1.3 Structure of the Scheme Document**

In this Scheme Document, Rules on Scheme Owner are presented in Chapter 2, Requirements for Accreditation Bodies in Chapter 3, and Requirements for Certification Bodies in Chapter 4.

### **1.4 Categories Subject to this Scheme**

Categories subject to this Scheme are:

- ① EI Processing of perishable animal products,
- ② EII Processing of perishable plant products,
- ③ EIII Processing of perishable animal and plant products (mixed products),
- ④ EIV Processing of ambient stable products.

Note: The codes EI-EIV above are category codes used in the GFSI Guidance Document (v6.4), which are also used in this Scheme.

## **2. Rules on Scheme Owner**

### **2.1 Scheme Owner**

This Scheme is operated and managed by JFSM. JFSM was established based on the “Act on General Incorporated Associations and General Incorporated Foundations” (Act No.48 of 2006) of Japan.

### **2.2 Organization Structure**

(1) JFSM establishes Board of Directors as an executive body, Auditors who undertake auditing of operations, Board of Councilors for making decisions on important matters as an organization such as appointment of directors and auditors, and Secretariat which performs day-to-day business under the instruction of the Board of Directors.

(2) To realize proper operation and management of this Scheme, JFSM establishes Scheme Committee as an advisory body consisting of experts, knowledgeable persons, etc. for providing the Board of Directors with neutral and expert opinions. The Scheme Committee and committee members ensure no conflict of interest for securing impartiality and ethics. The Scheme Committee can, under the approval of the Board of Directors, establish Working Group for formulating draft document revisions etc. related to this Scheme, including the Scheme Document.

### **2.3 Maintenance of Certification Scheme**

(1) JFSM assumes all the responsibilities involved with the establishment, operation, maintenance, etc. of this Scheme. JFSM entrusts the Scheme Committee to periodically review documents related to this Scheme. JFSM entrusts, as necessary, the Scheme Committee to identify items in this Scheme that require revising. If such items are identified, JFSM shall prepare a draft revision, obtain approval from the Scheme Committee, and publicize it on the website of JFSM to seek comments from the public for a reasonable period of time. JFSM shall make amendments to the draft revision in accordance with comments received, finalize the revision after obtaining approval from the Scheme Committee, and publicize the final revision on the website of JFSM. JFSM shall notify Accreditation Bodies and Certification Bodies contracting with JFSM of the changes without delay. The notified Accreditation Bodies and Certification Bodies shall take action to reflect the changes finalized by JFSM within a period of time specified by JFSM for each of such occasions.

(2) JFSM shall hold a conference for minimizing the difference of operational ability of Certification Bodies at least once a year.

(3) The Scheme Committee conducts comprehensive review of the Scheme Document every four (4) years in principle, and JFSM reissue the Scheme Document after the review.

## **2.4 Regulations on Scheme Committee**

### **2.4.1 Composition**

(1) The Scheme Committee consists of:

- 1) representative(s) of food and food materials and ingredients manufacturing industry,
- 2) representative(s) of the distribution industry,
- 3) representative(s) of consumers,
- 4) representative(s) of Certification Bodies,
- 5) expert(s) in food safety,
- 6) expert(s) in specific issues (where necessary).

(2) Committee members are appointed by the Board of Directors. In so doing, the Board of Directors shall consider the balance of members to secure impartiality of the committee. Representative(s) of Accreditation Bodies may attend meetings of the Scheme Committee as observer(s).

### **2.4.2 Duties and responsibilities**

(1) The Scheme Committee conducts:

- ① review of the Certification Scheme (at least once a year),
- ② comprehensive review of the Certification Scheme every four (4) years,

and gives recommendations to JFSM on the necessity to revise the Scheme Document, reviewing of operation of the Scheme, etc.

(2) In doing reviews above, attention shall be paid to:

- ① whether this Scheme is designed to avoid inconsistency in certification,
- ② whether this Scheme is operated as intended,
- ③ whether opinions of parties concerned are adequately reflected on the development and changes of this Scheme; specifically, whether activity reports from contracted Certification Bodies and results of analyzing opinions, queries and complaints from stakeholders are referenced,
- ④ whether this Scheme reflects the content of previous studies in the relevant field.

### **2.4.3 Holding committee meeting**

A meeting of the Scheme Committee is held at least once a year, and at any time when requested by the Chair of Committee or by at least one third of Committee members.

### **2.4.4 Resolution**

The Scheme Committee carries a resolution based on consensus. A resolution at a meeting of the Scheme Committee passes by a simple majority vote with attendance of at least two thirds of Committee members. A resolution by letters passes by a simple majority vote with reply from at least two thirds of Committee members.

### **2.4.5 Records of meetings**

JFSM creates minutes of meetings of the Scheme Committee.

## **2.5 Response to Opinions, Queries and Complaints from Stakeholders**

(1) JFSM establishes contacts to receive at any time opinions, queries and complaints from stakeholders including organizations to be certified, Certification Bodies, Accreditation Bodies, JFSM members, public administration, and consumers on the operation of the Scheme, the content of the Scheme Document, interpretation of requirements, etc., and establishes response procedures for complaints etc.

(2) JFSM makes a report to the Scheme Committee at least once a year on the results of analyzing opinions, queries and complaints received at the said contacts.

## **2.6 JFSM Activity Report**

JFSM prepares its own activity report once a year and sends it to the members and advisors of the Scheme Committee and relevant Accreditation Bodies and Certification Bodies.



### **3. Requirements for Accreditation Bodies**

#### **3.1 Objective**

This Chapter stipulates requirements for Accreditation Bodies that accredit Certification Bodies under this Scheme.

#### **3.2 Requirements for Accreditation Bodies**

(1) Accreditation Bodies that provide accreditation to Certification Bodies that provide certification under this Scheme shall fulfill the requirements of ISO/IEC 17011:2004 and additional requirements described in Section 3.3, and be a member of the International Accreditation Forum (IAF). These accreditation bodies shall also be signatories to the IAF Multilateral Recognition Agreement (MRA; Level 4: ISO/TS 22003:2013, Level 5: ISO 22000:2005).

(2) Accreditation Bodies that provide accreditation to Certification Bodies that provide certification under this Scheme shall conclude a contract with JFSM.

(3) When accreditation of a Certification Body is withdrawn or suspended, the relevant Accreditation Body shall make sure to notify JFSM of the status and circumstances on the withdrawal or suspension.

#### **3.3 Additional Requirements to ISO/IEC 17011:2004**

Accreditation Bodies shall fulfill the requirements below in addition to the requirements stipulated in ISO/IEC 17011:2004.

##### **3.3.1 Accreditation Bodies and JFSM**

(1) Application for accreditation [Additional requirements to clauses 7.2.1 and 7.2.3]

When a Certification Body makes an application for accreditation against this Scheme, the Accreditation Body shall notify JFSM of it (Addition to clause 7.2.3).

(2) Confidentiality [Additional requirements to clause 4.4, and new additional requirements]

- ① Accreditation Bodies shall conclude an agreement regarding confidentiality with JFSM. The confidentiality agreement shall specify that the information shared between the Accreditation Body and JFSM shall remain confidential from any other party.
- ② Accreditation Bodies shall share information as soon as practicable and available with JFSM of specific issues related with this Scheme. Accreditation Bodies shall be responsible for follow up of the corrective actions in the case of complaints and major nonconformities.
- ③ The list of information to be shared, which is not exhaustive, shall include:
  - 1) accreditation status (suspension, withdrawal, category reduction, expiry of accreditation),
  - 2) complaints that could jeopardize the accreditation status,
  - 3) major nonconformities (nonconformities which have the potential to impact on the validity of accreditation)
  - 4) annual activity summary (a standard format approved by JFSM shall be used),

- 5) the summary shall be indicating, as a minimum:
  - i) General assessment details
  - ii) Head office assessment: date, location, critical location assessments, numbers of site and auditor files reviewed, Accreditation Body's assessors names, duration, general conclusions,
  - iii) Witness assessment: location, date, field, Accreditation Body's assessorsnames, duration, general conclusions,
  - iv) Certification Body name and conclusion of reports – accreditation status,
- 6) the annual activity summary shall be made available to JFSM and parties separately specified by JFSM.

**(3) Appointment of responsible person of this Scheme**

Accreditation Bodies shall appoint a responsible person with authority for this Scheme.

**(4) Response to issues and queries arising [Additional requirements to clause 4.2.6]**

Where there are issues or queries arising during the accreditation process, the Accreditation Body shall consult directly with JFSM.

**(5) Appropriate communication [Additional requirements to clause 5.2.1]**

With respect to effective communication, Accreditation Bodies shall establish contacts for appropriate communication with JFSM.

**3.3.2 Accreditation Bodies and Certification Bodies [Additional requirements to clause 8.2.4]**

In the event of changes or revisions to the requirements stipulated in this Scheme, Accreditation Bodies shall communicate and collaborate with JFSM to identify the appropriate review process of Certification Bodies and to ensure that Certification Bodies are aware of and meet the additional/changed requirements in relation to accreditation.

**3.3.3 Records [Additional requirements to clause 5.4.2]**

Accreditation Bodies shall maintain records associated with this Scheme for a minimum period of five (5) years in an accessible state.

**3.3.4 Complaints handling [Additional requirements to clause 5.9]**

Accreditation Bodies shall investigate and deal with all complaints associated with this Scheme, as far as possible, within 30 days of receipt. If any complaint puts this Scheme's accreditation or certification at risk, then the Accreditation Body shall immediately inform JFSM of the issue and take appropriate action.

**3.3.5 Internal audits [Additional requirements to clause 5.7.2]**

Accreditation Bodies shall include accreditation activities in relation to this Scheme in the scope of internal audit.

**3.3.6 Personnel involved in accreditation process [Additional requirements to clauses 6.2.1**

## **and 6.2.3]**

(1) All personnel engaged in accreditation activity of this Scheme shall have sufficient knowledge of this Scheme, related documents and the food safety.

(2) Accreditation Bodies shall ensure that the assessment team undertaking witness activities includes personnel who have completed training in this Scheme, successfully completed a HACCP training course and includes an individual with a minimum of two (2) years experience in the food industry sector.

(3) The assessment team carrying out office assessments shall include personnel who have specific knowledge of this Scheme being assessed and of the related normative documents. Training in this Scheme shall be recognized by JFSM. Accreditation Bodies shall document information regarding assessors and experts in accordance with the requirements above.

### **3.3.7 Matters related to accreditation activity**

(1) Documents used for accreditation [Additional requirements to clauses 4.6.1 and 7.5.10]

Accreditation Bodies shall accredit Certification Bodies to normative documents issued by JFSM.

(2) Subcontracting the assessment [Additional requirements to clauses 7.4.1 and 7.9.3]

If an Accreditation Body subcontracts an assessment, the assessment shall be carried out in accordance with the requirements of JFSM. The subcontracted Accreditation Body shall be a signatory to the IAF MRA (Level 4: ISO/TS 22003:2013, Level 5: ISO 22000:2005). and the assessor shall fulfill the competence requirements outlined in this document.

(3) Preparing for assessment [Additional requirements to clauses 7.5.8 and 7.5.10]

During surveillance and reassessments the following documents shall be sampled and assessed, as a minimum:

- ① Sample of 10% or two (2) auditor files, whichever is greater,
- ② Sample of at least two (2) certification site files or 2% of delivered audits, whichever is greater,
- ③ Sampling of certification site files shall be risk based and should be done across country (region), categories and assessor.
- ④ The certification site file sampling assessments shall include a review of:
  - 1) Contracts between the Certification Body and the client,
  - 2) Confirmation of audit scope and man-hours,
  - 3) Auditor's original records (notes from audit or checklist) and evidence of compliance,
  - 4) Corrective action report supplied by the client for the nonconformities identified,
  - 5) Final audit report,
  - 6) Certification Decision and Certificate.
- ⑤ Sampling levels shall be increased where evidence of issues is identified during the assessment in order to establish whether the Certification Body is meeting accreditation requirements. Where objective evidence or complaints are identified between planned surveillance and reassessments, Accreditation Bodies shall carry out additional assessments.
- ⑥ The Accreditation Body shall ensure that the requirements stipulated in this Scheme Document are provided to the assessment team.

- ⑦ The Accreditation Body shall request, through direct communication with JFSM, any evaluation or relevant information concerning the Certification Body in advance of assessment. The Accreditation Body shall take into account during the assessment any evaluation or relevant information concerning the Certification Body sent by JFSM. The Accreditation Body shall verify during the assessment that these complaints obtained through JFSM have been dealt with effectively and any appropriate corrective actions put in place<sup>2</sup>.

(4) On-site assessment [Additional requirements to clauses 7.7.2 and 7.7.3]

During the initial assessment, the following documents shall be sampled and assessed: (i.e. an extension of categories – see clause 7.12 of ISO 17011:2004)

- ① Sample of at least one (1) auditor file,
- ② Sample of at least one (1) certification site file,
- ③ Sampling of certification site files should be done across country (region), categories and assessor.
- ④ The certification site file assessment shall include a review of:
  - 1) Contracts between Certification Bodies and client,
  - 2) Confirmation of audit scope and man-hours,
  - 3) Auditor's original records (notes from audit or checklist) and evidence of compliance,
  - 4) Corrective action report supplied by the client for the nonconformities identified,
  - 5) Final audit report,
  - 6) Certification Decision and Certificate,
  - 7) Evaluation and verification of the effectiveness of the Certification Body's processes for assessment of auditor competence.

At least one assessment of Certification Bodies shall be witnessed for initial accreditation. In the event that Certification Bodies wish to increase their scope with respect to categories, this level of sampling shall be increased.

If Certification Bodies have twenty (20) or more auditors, then witness assessments shall be carried out at a rate of at least one (1) witness assessment per twenty (20) auditors per year, auditing against this Scheme. Where international Certification Bodies have geographical spread then the % of witness audits will be proportional to the geographic spread (e.g., 30% overseas means that one (1) in three (3) witnessed audits will be performed overseas). The witness assessment shall be designed to ensure that different auditors and different product categories are assessed at subsequent witnessed assessments.

(5) Reassessment and surveillance [Additional requirements to clauses 7.11.3, 7.11.5, 7.11.6, and 7.11.7]

Head office shall have an assessment on an annual basis. Accreditation Bodies shall conduct at least one (1) witness assessment per year for each Certification Body. If Certification Bodies have twenty (20) or more auditors or when international Certification Bodies have geographical spread then witness assessments shall be carried out in the same manner as for the initial assessment.

Reassessment shall be undertaken at least every four (4) years.

When informed of the identification of issues which could bring the credibility of the certification process into disrepute, Accreditation Bodies shall take any appropriate action including conducting an extraordinary assessment if necessary.

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<sup>2</sup> 'Appropriate criteria documents' referred to in ISO/IEC 17011:2004 shall include the criteria on Certification Bodies established by JFSM.

(6) Extending accreditation [Additional requirements to clause 7.12]

In the event that Certification Bodies wish to increase their scope of activity with respect to categories as defined by JFSM, Accreditation Bodies shall, as a minimum, undertake an adequate check of documentary evidence to ensure that the requirements of the relevant certification standards are in place.

(7) Suspending, withdrawing or reducing accreditation [Additional requirements to clause 7.13]

If a Certification Body does not meet the JFSM's requirements, JFSM will inform the Accreditation Body of the issue. The Accreditation Body shall undertake an investigation of the issues raised by JFSM and shall take appropriate action (e.g., suspension or withdrawal of accreditation, or reducing accreditation scope).

(8) Accreditation certificate [Additional requirements to clause 7.9.5]

Accreditation Bodies shall ensure that the accreditation certificate or schedule include the full name and version of this Scheme and its designated categories.

**3.3.8 Reference to accreditation and use of accreditation symbols [Additional requirements to clauses 8.3.2 and 8.3.3]**

Accreditation Bodies shall verify that clause 8.3.2, points (a-f), of ISO 17011:2004 are applied in connection with the usage of this Scheme and appropriate action taken in the event of incorrect or misleading claims in relation to the use of such information and accreditation status.

## **4. Requirements for Certification Bodies**

### **4.1 Introduction**

This Chapter stipulates requirements for Certification Bodies which carry out or desire to carry out certification.

### **4.2 Basic Requirements for Carrying Out Certification Activity**

#### **4.2.1 Accreditation by Accreditation Bodies**

Certification for this Scheme shall be carried out by Certification Bodies which are accredited to ISO/IEC 17021:2011 and ISO/TS 22003:2013 and consistently carry out fair certification of food safety management systems. Certification Bodies that are seeking accreditation shall be accredited within one (1) year from the date of application to an Accreditation Body. In the event that accreditation is not granted within this period, JFSM will terminate the contract with the Certification Body.

Certification Bodies shall provide JFSM with information on the accreditation status. In the event that a Certification Body has had its accreditation suspended or withdrawn, the Certification Body shall report immediately to JFSM and agree on direct dialogue on the matter to take place between JFSM and the Accreditation Body.

#### **4.2.2 Contract with JFSM**

Certification Bodies shall conclude a contract with JFSM on carrying out certification activities based on this Scheme.

#### **4.2.3 Confidentiality**

Certification Bodies and JFSM shall declare confidentiality in the contract above. Certification Bodies provide JFSM with information and opinions on the operation and functions of this Scheme. In so doing, appropriate actions shall be taken to ensure no leakage of confidential information on organizations to third parties.

#### **4.2.4 Fees**

##### **(1) Application for commencement of certification and application fee**

Certification Bodies shall submit separately specified application documents for commencing certification to JFSM. On applying for commencement of certification, Certification Bodies shall pay the separately specified application fee to JFSM.

##### **(2) Annual fee**

Certification Bodies shall pay a separately specified annual fee to JFSM each business year.

#### **4.2.5 Information disclosure**

Certification Bodies shall at all times make available the following information:

- ① Legal status,
- ② Accreditation scope (version of the Scheme Document, product categories),
- ③ Certification system including rules and procedures for granting, maintaining, extending, suspending, and withdrawing certification,
- ④ Evaluation procedures and certification processes in relation to this Scheme,
- ⑤ Fees charged to clients,
- ⑥ The rights and requirements of applicants and clients (such as the use of logos and marks and the way in which an organization indicates certification),
- ⑦ Complaints, appeals and dispute procedures,
- ⑧ A list of all clients certified against this Scheme.

#### **4.2.6 Quality system**

(1) Certification Bodies shall operate a valid quality system. The quality system shall be fully documented and used by all relevant Certification Body staff. Within Certification Bodies there shall be a designated member of staff responsible for the quality system's development, implementation and maintenance. This designated member of staff will have a reporting role to the organization's executive and shall also have the responsibility for reporting on the performance of the quality system for the purposes of management review and subsequent system improvement.

(2) As a minimum, the quality system shall contain:

- ① Quality policy,
- ② Legal status of the organization (ownership and organizational structure).  
(The organizational structure shall include a description on how organizations interrelate through a management structure),
- ③ Management of the certification process including its committee structure, roles and procedures,
- ④ Management review policy and procedures,
- ⑤ Procedures of document control,
- ⑥ Operational and functional responsibilities pertaining to quality (including the scope of its accountability),
- ⑦ Recruitment procedures (i.e. selection, initial training, ongoing training and performance assessment for all personnel involved in certification),
- ⑧ A list of all subcontractors involved in certification and management procedures including their appointment and assessment,
- ⑨ Procedures for actions in response to nonconformities and procedures for confirming the effectiveness of corrective and preventive actions,
- ⑩ Procedures in relation to the use of the certificate, and procedures in relation to withdrawal and suspension of certification,
- ⑪ Policies and procedures relating to appeals, complaints and disputes,
- ⑫ Procedures for conducting internal audits (including corrective actions for nonconformities identified).

#### **4.2.7 Notification of certificate form**

Certification Bodies shall submit to JFSM the form of certificate to be issued to organizations prior to commencement of certification. Certificate shall include the following information:

- ① Scheme name (clearly describe the version),
- ② Name and address of the organization to be certified,
- ③ Categories, products, manufacturing process and manufacturing location,
- ④ Effective date of the certificate
- ⑤ Expiry of certification
- ⑥ Logo of JFSM, the Accreditation Body and the Certification Body
- ⑦ Signature of Certification Body representative and the position of the signatory
- ⑧ Statement of “Compliant to JFS-E-C Standard (Requirements for Organizations)”

#### **4.2.8 Information to be provided to JFSM**

##### **(1) Information on the structure of Certification Body**

Certification Bodies shall notify JFSM of changes to ownership composition of the Certification Body, management personnel and management structure or constitution, etc. Where JFSM is aware of possible conflict or problems, which could result in bringing JFSM or GFSI into disrepute, the Certification Body shall agree on appropriate action.

##### **(2) Information on auditor**

Certification Bodies shall register to JFSM, for every auditor engaged in certification, the details of the auditor's qualifications, training history, experience, and scope of activity. Certification Bodies shall confirm the registered details at least once a year and update where appropriate.

Certification Bodies and auditors shall take action as requested by JFSM for the purposes of enabling competence assessment of registered auditors conducted by JFSM.

#### **4.2.9 Audit to Certification Bodies and investigation to certified organizations**

To enable audit to Certification Bodies and investigation to certified organizations conducted by JFSM, Certification Bodies shall take action as requested by JFSM. To enable investigation to certified organizations by JFSM (there may be cases where JFSM accompanies Accreditation Bodies or Certification Bodies or cases where JFSM pays visit by itself), Certification Bodies shall clarify the matter in the contract with the organizations.

#### **4.2.10 Recommendations to Certification Bodies**

A Certification Body may accept or reject JFSM's recommendations related to the Certification Scheme which was given to the Certification Body. If a Certification Body rejects the JFSM's recommendations, the Certification Body itself shall describe in writing the reason of rejection and notify JFSM of it. After receiving the document, JFSM will review the reason and decide whether



to reissue or withdraw the recommendations. If the Certification Body continues to reject JFSM's decision on recommendation, JFSM makes a decision on actions to take accordingly, including removal of the Certification Body from the use of the scheme.

#### **4.2.11 Holding meetings for minimizing the difference of operational ability of Certification Bodies**

Certification Bodies shall attend a meeting for minimizing the difference of operational ability of Certification Bodies, which is held by JFSM at least once a year. The main objectives of the meeting are:

- ① Ensuring the consistency of assessments and certification process of this Scheme,
- ② Receiving recommendations on the Scheme Document and the operation of this Scheme,
- ③ Exchanging opinions on assessment techniques,
- ④ Holding a workshop for improving the competence of assessors.

#### **4.2.12 Response to change of this Scheme**

##### **(1) Notification of changes to this Scheme**

Certification Bodies shall notify relevant parties (e.g., certified organizations, auditors inside the Certification Body, technical experts) of changes made to this Scheme (including various additional rules and corrections required by JFSM) by JFSM. The changes shall be reflected on procedures used within Certification Bodies as necessary.

##### **(2) Grace period for action after revision of requirements etc.**

Certification Bodies shall take action within four (4) months after receiving a notification from JFSM on changes to this Scheme. When changes are made to requirements for organizations, the deadline for fulfilling the new requirements will be specified by JFSM for each of such occasions. It may not apply to cases where a different application deadline is determined by a law or regulation.

#### **4.2.13 Extension of categories**

When a Certification Body applies for new activity categories or extension of activity categories, the application shall be made in accordance with the procedures specified by JFSM.

### **4.3 Requirements for Certification Activity**

#### **4.3.1 Conformity assessment for organizations**

Certification Bodies shall conduct conformity assessment based on the JFS-E-C Standard (Requirements for Organizations). Certification Bodies shall conduct assessment for all the stages of conformity assessment against the JFS-E-C Standard (Requirements for Organizations), and shall conduct assessment to ensure complete conformity to all other requirements related to this Scheme.

#### **4.3.2 Implementation of audit**

##### **(1) Undertaking additional surveillance audits**

Certification Bodies shall undertake additional surveillance audits, as necessary, in the event that there is evidence or suspicion of nonconformities within an organization.

##### **(2) Confirmation of corrective action**

Certification Bodies shall obtain corrective action plans and evidence of implementation of these plans from all nonconforming organizations to verify that the organization fully meets the requirements of the Scheme Standard. Verification of the corrective action plan shall take the form of further on-site assessment or the scrutiny of submitted documents including updated procedures, records and photographs, depending on the level of the nonconformity, assessed by a technically competent member or group within the Certification Body.

#### **4.3.3 Audit report**

##### **(1) Preparation of audit reports**

Certification Bodies shall have in place a clearly defined system for the generation and issue of audit reports. The audit report shall be dealt as confidential information, however, the possibilities of its content to be reported to JFSM and to be requested to disclose by a public administration based on laws and regulations shall be included in advance in an agreement to be concluded with organizations.

When disclosing the audit report, approval shall be obtained from the relevant organization. The rights of determining details made available and authorization for access remain with the relevant organization.

The audit report shall include details of the duration of the audit, details of compliance of the site with this Scheme, and details of nonconformities in the case where nonconformities are identified.

##### **(2) Review of audit reports**

Certification Bodies shall conduct thorough technical review of audit reports prior to making a decision on granting, suspending, withdrawing or renewing of certification. For the review process to be effective Certification Bodies shall ensure that:

- ① reviewers are impartial, technically capable of understanding the content of audit reports, and that the reports are accurately assessed to demonstrate satisfactory evidence of compliance with this Scheme,
- ② all requirements of the standard have been fully covered, using any supporting noted made during the assessment by a suitably qualified auditor,
- ③ the scope of the report covers the scope applied for by the organization and that the report provides satisfactory evidence that all areas of the scope have been fully investigated,
- ④ all areas of nonconformity have been identified and effective corrective action has been taken to resolve these nonconformities.

#### **4.3.4 Registration of certified organizations**

Certification Bodies shall submit information of certified organizations to JFSM without delay after granting or changing certification, using the format agreed with JFSM in the contract. Certification Bodies shall collect such information for the month and submit it to JFSM by the fifteenth day of the next month. Certification Bodies shall agree with organizations on disclosure of information below by JFSM.

- ① Name and address of the certified organization (in Japanese, accompanied by English)
- ② Categories, products, manufacturing process and manufacturing location
- ③ Effective date of the certificate
- ④ Expiry of certification
- ⑤ Fact of suspension or withdrawal of certification, and its effective date (in such an event)

#### **4.3.5 Grasping of information on organization**

A Certification Body shall conclude an agreement with an organization for the organization to inform the Certification Body in a timely and appropriate manner in the event of the organization recognizing legal procedures on the product safety or its liabilities or recall of its products.

The Certification Body shall take appropriate measures including extraordinary assessment to confirm the situation of the organization and association with the certification, and take appropriate action including suspension of certification. The Certification Body shall notify JFSM of the situation without delay. The Certification Body shall have in place procedures to secure the completeness of certification after such notification.

In the event of significant changes, which could affect the safety of product, changes to the requirement, change of management of the organization, or if the Certification Body has reason to believe there could be compliance issues in relation to certification, the Certification Body shall reevaluate the organization to assess compliance with the Certification Scheme standard.

#### **4.3.6 Fees related with certified organization**

In the agreement concluded with a certified organization, a Certification Body shall clearly describe that the annual registration fee that JFSM charges to the certified organization will be paid to JFSM via the Certification Body and obtain such an agreement from the certified organization. (The amount of annual registration fee and payment method will be separately specified by JFSM.)

### **4.4 Requirements for Personnel**

#### **4.4.1 Personnel competence**

Certification Bodies shall employ personnel who have the competence requirements to meet all management, administrative, technical and auditing functions within the organization.

Independently of the scope of accreditation, Certification Bodies shall have systems and

procedures in place to ensure that auditors conducting assessments meet the capabilities described in ISO 17021:2011 and ISO 22003:2013 with specific regard to requirements specified by JFSM.

#### **4.4.2 Retention and control of records on personnel**

Certification Bodies shall hold and maintain records regarding the qualifications, training and experience of all staff involved in certification process. The information shall include, as a minimum:

- ① Name and address,
- ② Organizational affiliation and position held,
- ③ Educational qualification and career history,
- ④ Experience and training in the relevant fields of competence in relation to the Certification Scheme's requirements,
- ⑤ Number of years of experience in auditing and consulting services.

#### **4.4.3 Conflict of interest**

Certification Bodies shall conclude, for all staff involved in certification activities, a contract containing:

- ① Complying with the rules of the organization with particular reference to confidentiality and independence from commercial or personal interests,
- ② Declaring any issues in relation to personal conflicts of interest.

#### **4.4.4 Items to be made known to personnel**

Certification Bodies shall clearly document and make known to its employees all requirements relating to personnel involved in this Scheme (including requirements of ISO/IEC 17021:2011 and ISO/TS 22003:2013).

#### **4.4.5 Matters on auditors**

##### **(1) Auditor competence**

Independently from the scope of accreditation, Certification Bodies shall have systems and procedures in place to ensure that auditors conducting assessments meet the capabilities described in ISO/IEC 17021:2011 and ISO/TS 22003:2013 with specific regard to requirements specified by JFSM.

(Reference information on the auditor competence, qualification, training, and field of experience is listed in Annex.)

Certification Bodies shall be able to demonstrate, for directly employed auditors or contracted auditors, their competence in each category specified by JFSM. The competence shall be reassessed every three (3) years through a witness audit in a food-related organization.

## (2) Work experience of auditors

Auditors shall fulfill the following requirements for work experience:

- ① Five (5) years full time experience in the food or associated industry, including at least two (2) years work in quality assurance or food safety functions in food production or manufacturing, retailing, inspection or enforcement or the equivalent,
- ② This period may be reduced to a total of two (2) years experience if the competence of the auditor is assessed by an examination designed and delivered by JFSM. The examination by JFSM shall be conducted in accordance with separately specified rules.

## (3) Auditor training

- ① Auditors shall receive training below as a formal training program.
  - 1) Auditors shall have successfully completed recognized training in auditing techniques based on quality management systems or food safety management systems – duration one (1) week / forty (40) hours or equivalent,
  - 2) Auditors shall have successfully completed a training course in HACCP based on the principles of Codex Alimentarius and demonstrate competence in the understanding and application of HACCP principles – minimum duration two (2) days or equivalent,
  - 3) Auditors shall have successfully completed training in the scheme being delivered by JFSM.
  - 4) All relevant documents for training undertaken shall be maintained as records.
- ② The training program for each auditor will incorporate:
  - 1) an assessment of knowledge and skills for each product category in which the auditor will be expected to be working,
  - 2) an assessment of knowledge of food safety, HACCP, Pre-Requisite Programs and the ability to access and be able to apply relevant laws and regulations,
  - 3) a period of supervised training to cover the assessment of quality / food safety management systems and HACCP, category-specific audit techniques and specific category knowledge,
  - 4) a documented sign off of the satisfactory completion of the training program by the appointed competent verifier.

## (4) Audit experience

Certification Bodies shall have in place an annual program, which shall include at least five (5) on-site audits (a total of no less than ten (10) days) at different food-related organizations against the relevant GFSI approved standard to maintain category and scheme knowledge. This audit experience becomes a pre-requisite to fulfilling the requirements of this Scheme.

## (5) Continuous professional development

Certification Bodies shall make all auditors keep up to date with category best practice, food safety and technological developments and have access to and be able to apply relevant laws and regulations. Certification Bodies shall maintain written records of all relevant training undertaken by auditors.

(6) Extension of category of auditor

In order to extend the audit scope of auditor, the Certification Body shall have the auditor undergo a program of training in the new category and conduct supervised audits to assess the competence of conducting audits in the new category.

## JFS-C Certification Scheme Document Annex (informative)

### Auditor Competence

#### 1. Auditing Skills and Knowledge

Task	Required Auditor Knowledge	Required Auditor Skills
<b>1.1 Plan and organize work efficiently</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• terms and definitions applied to auditing of the JFS-E-C Certification Scheme</li> <li>• the principles of auditing as outlined in ISO 17021:2011, ISO 19011 and GFSI scheme management guidelines</li> <li>• the objectives and methodology involved in an audit of the JFS-E-C standard</li> <li>• the key activities involved in a food safety audit program</li> <li>• the roles and responsibilities of auditors, Certification Bodies, and auditee personnel</li> <li>• management of an audit program</li> <li>• initiating an audit of the JFS-E-C standard</li> <li>• the purpose and conduct of a document review</li> <li>• planning for an on-site audit</li> <li>• types and forms of management systems and product systems, and the usefulness of the JFS-E-C standard audits that fit within that context</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• organize audit timing based on audit duration</li> <li>• establish initial contact with the auditee</li> <li>• initiate an audit</li> <li>• confirm the audit objectives, scope, and criteria</li> <li>• determine the feasibility of the audit</li> <li>• plan on-site audit activities including evaluation of the audit criteria, (including specific scheme criteria), identification of organizational and functional units, products, and/or processes to be audited, and the role and responsibility of the auditor(s)</li> <li>• prepare audit plans, checklists, sampling plans, and evidence forms necessary to meet the audit objectives</li> <li>• direct and support technical experts (if applicable)</li> <li>• develop the audit report format and distribution including the storage and confidentiality of audit reports</li> <li>• identify auditee contacts and communicate the audit plan and timetable to the auditee</li> <li>• review and/or research the history of the facility</li> </ul>
<b>1.2 Conduct the audit within the agreed timeframe</b> <p>The timeframe for the audit of the JFS-E-C standard is usually set by the Certification Body. However the auditor shall have the knowledge and skills to effectively manage the time within the established timeframe.</p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• time management tools and techniques within the context of a site audit</li> <li>• an audit of the JFS-E-C standard as a systematic, independent, and documented process for obtaining relevant audit evidence and evaluating it objectively to determine the extent to which the system criteria are met</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• apply time management tools and techniques that identify the individual tasks during the audit to meet the audit objectives</li> <li>• organize audit activities to prioritize matters of significance</li> <li>• prepare for the opening meeting, the audit, and the closing meeting</li> <li>• outline and direct the involvement of technical experts (if applicable) and auditee contacts within the audit timetable</li> <li>• allow time for audit team meetings (if applicable), auditee contact, evidence consolidation and report writing in the audit timetable and to keep others involved on timetable identify strategies to deal with distractions, deviations from the planned evidence path, and/or time wasting without compromising the audit objectives</li> </ul>

		<ul style="list-style-type: none"> <li>• conduct an entry meeting that meets the meeting objectives within the scheduled time frame</li> <li>• conduct the audit according to the agreed timetable</li> <li>• conduct an exit meeting that meets the objectives within the scheduled time frame</li> <li>• agree the timetable for corrective actions and follow-up activities dependent on the risk of nonconformance</li> <li>• recognize where changes to the audit schedule are needed</li> </ul>
<b>1.3 Communicate with auditee personnel at all levels</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• interpersonal skills</li> <li>• negotiation techniques</li> <li>• language, religious, and cultural sensitivities</li> <li>• effective verbal and non-verbal communication strategies</li> <li>• the vocabulary of food safety regulations, standard requirements, industry standards and technical papers, including microbiological terms and names, and chemical terms and names appropriate to a given industry sector</li> <li>• objection management techniques</li> <li>• conflict management</li> <li>• separation of auditing from consulting</li> <li>• self-awareness of professional and technical limitations</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• apply interpersonal and negotiating skills in the context of an audit of the JFS-E-C standard</li> <li>• explain the purpose, scope, and methodology of the audit</li> <li>• establish a working relationship with the auditee that supports the intent and objectives of the food safety audit</li> <li>• communicate with all operational levels in the auditee food business that considers linguistic and technical skills, and the social customs within the business</li> <li>• talk to senior management and establish their level of commitment to the JFS-E-C standard</li> <li>• maintain objectivity during the audit process</li> <li>• assess non-verbal communications</li> <li>• discuss audit findings openly and honestly with auditee personnel, without error or omission</li> <li>• explain technical findings at the appropriate management level within the auditee organization</li> <li>• present audit findings to auditee and management clearly, concisely, and objectively, citing the evidence of nonconformance</li> <li>• resolve areas of potential conflict with auditee management, within the context of the audit objectives</li> <li>• maintain auditee confidentiality</li> <li>• discuss the audit findings with only the agreed auditee personnel and/or audit client (if appropriate)</li> <li>• maintain composure, and avoid arrogance, anger or other negative behaviors</li> <li>• cite the evidence for nonconformities</li> <li>• identify and communicate issues without offering solution</li> </ul>
<b>1.4 Collect evidence by conducting interviews</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• interview and questioning styles and techniques</li> <li>• effective listening techniques</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• select and interview appropriate staff at all levels within the auditee business to acquire valid audit evidence</li> </ul>



	<ul style="list-style-type: none"> <li>• understanding of non-verbal communications, personal expression, and body language</li> </ul>	<ul style="list-style-type: none"> <li>• use appropriate questioning techniques</li> <li>• listen to responses, and confirm responses</li> </ul>
<b>1.5 Collect evidence by observation and inquiry</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• observation techniques</li> <li>• verbal and non-verbal behaviors</li> <li>• techniques in use to detect or eliminate food safety hazards</li> <li>• statistical sampling techniques</li> <li>• focused (targeted) sampling (i.e. the concept that sampling will not necessarily be totally random and there will not always be time to take a statistically valid sample)</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• identify and prioritize audit activities in the context of the JFS-E-C standard and food safety risk</li> <li>• identify and evaluate the application of technology for a given purpose</li> <li>• observe and analyze personal behavior and compare to written position descriptions</li> <li>• identify problems or areas of concern and investigate to an acceptable level to establish conformity or nonconformity</li> <li>• apply appropriate sampling techniques to document and record review</li> <li>• adapt or modify sampling based on findings</li> </ul>
<b>1.6 Collect evidence by review of documentation and records</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• vocabulary and language of food safety auditing</li> <li>• the principles and elements of the JFS-E-C standard</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• establish the appropriate quantum of relevant, valid data to be reviewed to form a conclusion</li> <li>• read, interpret and analyze documents and records</li> <li>• contextualize (i.e. relate the realities of the organization to the requirements of the standard)</li> </ul>
<b>1.7 Analyze, verify, and consolidate audit evidence and generate findings</b>	<p>As per 1.1, 1.2, 1.3, plus the following additional knowledge requirements:</p> <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• data analysis techniques</li> <li>• consolidation of data into meaningful evidence</li> <li>• identification of nonconformities through objective evidence</li> <li>• specifications of nonconformities and requirements for corrective action for the JFS-E-C standard</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• interpret and summarize auditee documentation, technical standards and regulations relating to food safety and good management practice</li> <li>• confirm the sufficiency and appropriateness of audit evidence in the context of the requirements and the organization's food safety management system</li> <li>• verify the accuracy of acquired information</li> <li>• accurately record audit evidence as it is collected</li> <li>• consolidate audit evidence into findings that meet the objectives of the audit and the conformity level of the auditee</li> <li>• prepare levels of non-conformance (where applicable)</li> <li>• prepare non-conformance reports (where appropriate) that accurately explain the objective evidence (i.e. what was wrong with the system), the level of criticality of the non-conformance, the reference to the specific clause of the standard, and the explanation</li> <li>• verbally communicate non-conformances as they are</li> </ul>

		observed and at closing meeting without offering solution
<b>1.8 Prepare written audit reports, follow-up and conclusions</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• written communication techniques</li> <li>• knowledge of methods to identify strength as well as nonconformities and opportunities for improvement</li> <li>• negotiation techniques</li> <li>• technical terms and definitions for a given industry sector</li> <li>• scheme standard and audit template</li> <li>• audit template and reporting requirements for the JFS-E-C standard</li> <li>• appropriate corrective actions for identified nonconformities</li> <li>• Certification Body reporting requirements</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• prepare audit conclusions that identify strengths, opportunities for improvement, and nonconformities</li> <li>• prepare written audit reports that are concise and accurately present the audit findings</li> <li>• produce written documents that are easily understood by the intended audience and communicate effectively the actual conditions to someone who was not present during the audit</li> <li>• review and confirm the accuracy of written audit reports</li> <li>• provide written confirmation of follow-up assessment of corrective actions</li> <li>• determine the adequacy of corrective actions proposed or taken by the auditee</li> <li>• conduct follow-up activities according to the agreed timetable</li> <li>• evaluate the effectiveness of corrective actions taken by the auditee</li> <li>• conduct post-audit review, and measure the effectiveness of the audit timetable and its impact on the audit objectives</li> </ul>

## 2. Technical Skills and Knowledge

### 2.1 Food Safety Management (FSM) Requirements

Task	Required Auditor Knowledge	Required Auditor Skills
The following technical competencies are applicable to all categories unless otherwise indicated. Within each set of competencies, the auditor is required to apply the identified skills and knowledge to all industry scopes covered by the task.		
<b>FSM 1 Food safety management system general requirements</b>	HACCP knowledge requirements, plus knowledge of: <ul style="list-style-type: none"> <li>• the key elements of food safety management system for a given industry sector</li> <li>• a generic process approach to management</li> <li>• Plan/Do/Check/Act (PDCA), the principles of continuous improvement as applied to food safety management and for appropriate industry sector</li> <li>• applicable food safety regulations for a given industry sector</li> <li>• food safety principles</li> </ul>	HACCP skills requirements, plus the ability to: <ul style="list-style-type: none"> <li>• contextualize (i.e. relate the way the organization has defined its processes as compared with the requirements of the standard)</li> <li>• analyze the organization's definition of the management processes needed for the food safety management system</li> <li>• assess the sequence and interaction of these processes</li> <li>• determine the criteria and methods required to ensure the effective operation and control of these processes</li> <li>• assess the availability of information and procedures necessary to support the operation and monitoring of these processes</li> <li>• assess the measurement and analysis of these processes</li> <li>• assess the actions necessary to achieve planned results and continuous improvement</li> </ul>
<b>FSM 2 Food safety policy</b>	Knowledge of: <ul style="list-style-type: none"> <li>• the purpose, objectives, content and application of a food safety policy as defined by the JFS-E-C standard</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effectiveness and implementation of a food safety policy and its inter-relationship with the documented food safety management system within the context of the organization</li> </ul>
<b>FSM 3 Food safety manual</b>	Knowledge of: <ul style="list-style-type: none"> <li>• the requirements of a documented food safety management system for a given industry sector</li> <li>• appropriate technologies to manage documentation</li> <li>• document control systems</li> <li>• current industry trends and emerging issues for a given industry sector</li> <li>• food safety regulations for a given industry sector</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the appropriateness, coverage, and currency of a food safety manual for a given industry sector</li> <li>• evaluate the scope of coverage of a facility's food safety manual within the supply chain</li> <li>• assess the effective dissemination of food safety documentation within a facility</li> <li>• evaluate if work instructions are aligned with the food safety manual</li> <li>• evaluate implementation of the food safety manual</li> </ul>
<b>FSM 4 Management responsibility</b>	Knowledge of: <ul style="list-style-type: none"> <li>• organizational structures and the inter-relationship of job functions</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effective implementation of documented job functions</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	<ul style="list-style-type: none"> <li>regulatory and legal requirements related to organizational structure and location</li> </ul>	<ul style="list-style-type: none"> <li>relate the observed job functions back to the documented organizational structure and position descriptions</li> <li>review and interpret key performance indicators and food safety measures</li> </ul>
<b>FSM 5 Management commitment</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>corporate governance, and the role of senior management in leading a food safety management system</li> <li>the legal responsibility for management with regard to food safety</li> <li>food safety objectives and key performance indicators (KPIs) in the context of the overall business performance</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>access and communicate with senior management</li> <li>assess the commitment of facility management to the implementation and maintenance of food safety practices</li> <li>assess the food safety objectives and key performance indicators (KPIs) in the context of the overall business performance</li> <li>review and interpret organizational performance measures and in particular food safety measures</li> <li>analyze and assess the involvement of senior management in reviewing the food safety management system</li> <li>read and interpret records, including meeting minutes</li> <li>identify deficiencies / trends that demonstrate the lack of management commitment to the food safety system (areas include but are not limited to: training, plant maintenance/ equipment, resources, monitoring, good manufacturing practices (GMPs), operations, prerequisite programs, HACCP, continuous improvement, etc.) Example: Correlate system deficiencies of the training program to the lack of resources provided by senior management</li> <li>effectively communicate the lack of management commitment with senior management</li> <li>document the lack of management commitment in the audit reports</li> </ul>
<b>FSM 6 Management review</b>	<p>Knowledge requirements under FSM5 Management Commitment, plus knowledge of:</p> <ul style="list-style-type: none"> <li>management system review procedures, including knowledge of scope, input/output frequency, implementation strategy, organizational structure and inter-relationship between positions within the structure</li> </ul>	<p>Skills requirements under FSM 5 Management Commitment, plus the ability to:</p> <ul style="list-style-type: none"> <li>assess the management system review process</li> <li>identify gaps in the management review process</li> </ul>
<b>FSM 7 Resource management</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>the inter-relationship of food safety functions with other organizational functions</li> <li>business resources (time, money, and people) required to</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>assess the effectiveness and suitability of the resources applied to food safety</li> <li>identify gaps in the resources applied to food safety</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	implement, maintain and improve the food safety system	
<b>FSM 8 General documentation requirements</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory, standard and customer requirements for document control and record retention</li> <li>• the requirements of food safety record retention for a given industry sector</li> <li>• the requirements for food safety documentation in the context of process management, language and literacy levels</li> <li>• record security protocols</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• evaluate the document and record control processes that are in place</li> <li>• evaluate the security and storage of documents and records</li> <li>• ensure the availability and access of food safety documentation to relevant staff</li> <li>• identify gaps in available documentation</li> <li>• understand and evaluate records</li> </ul>
<b>FSM 9 Specified requirements</b>	Knowledge of: <ul style="list-style-type: none"> <li>• the food safety inclusions required in raw material, ingredient, packaging material and service specifications for a given input or service</li> <li>• the product safety requirements within contracts for process inputs and services (including utilities, transport, and maintenance)</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• read and interpret specifications, associate process and procedure requirements</li> <li>• assess the applicability of contracts</li> <li>• identify gaps and omissions in available specifications</li> <li>• verify the effective implementation of specifications and contracts</li> </ul>
<b>FSM 10 Procedures</b>	Knowledge of: <ul style="list-style-type: none"> <li>• appropriate technologies to manage documentation</li> <li>• components of management processes</li> <li>• responsibilities for documentation, update version, definition of documents, documentation management</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• compare actual operations with documented procedures</li> <li>• assess the appropriateness, coverage, and currency of procedures and instructions for a given industry sector</li> <li>• assess the effective dissemination of food safety documentation within a facility</li> <li>• verify that standard operating procedures (SOPs) and work instructions are being followed</li> <li>• confirm that personnel understand procedures, by interview etc.</li> </ul>
<b>FSM 11 Internal audit</b>	Knowledge of: <ul style="list-style-type: none"> <li>• internal audit principles and practice</li> <li>• food safety verification activities appropriate to specific industry sectors</li> <li>• the principles of continuous improvement as applied to food safety management</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• read and interpret an internal audit schedule</li> <li>• evaluate the competence of internal auditors</li> <li>• evaluate the adequacy of the internal audit based on scope</li> <li>• read and review internal audit reports</li> <li>• identify gaps in internal audit practices and reports</li> <li>• verify that appropriate corrective actions are identified as necessary</li> <li>• verify corrective actions taken as a result of internal audits</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
<b>FSM 12 Control of nonconformity</b>	Knowledge of: <ul style="list-style-type: none"> <li>processes required to identify, quarantine, hold, dispose of, or downgrade unsafe product in a given industry sector</li> <li>regulations covering disposition of unsafe product</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>identify the suitability of procedures in place for disposition of non-conforming or unsafe product</li> <li>assess the effectiveness of actions taken to deal with non-conforming or unsafe product</li> </ul>
<b>FSM 13 Corrective action</b>	As per FSM1 Food safety management systems general requirements, plus the following knowledge requirements: Knowledge of: <ul style="list-style-type: none"> <li>the principles and practice of corrective action as applied to food safety management</li> <li>difference between correction, corrective action, and preventive action</li> </ul>	As per FSM1 Food safety management systems general requirements, plus the following skill requirements: Ability to: <ul style="list-style-type: none"> <li>assess the availability of information necessary to support the operation and monitoring of the food safety management processes</li> <li>assess the measurement and, analysis of these processes</li> <li>assess the corrective action plans necessary to achieve planned results and continuous improvement and prevent recurrence</li> <li>verify corrections and corrective actions taken</li> </ul>
<b>FSM 14 Product release</b>	Knowledge of: <ul style="list-style-type: none"> <li>regulations applicable to product release</li> <li>the objective, structure and content required for a product release procedure in a given industry sector</li> <li>sampling and testing procedures relevant to product safety in a particular industry sector</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>review and analyze sampling and test procedures for a given product</li> <li>assess the appropriateness, application, and effectiveness of a product release procedure</li> </ul>
<b>FSM 15 Purchasing</b>	Knowledge of: <ul style="list-style-type: none"> <li>the food safety inclusions required in raw material, ingredient, packaging material and service specifications for a given input or service</li> <li>contract management</li> <li>risk-based approved supplier protocols</li> <li>risk-based contract manufacturing protocols</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>read and understand the applicability of supplier contracts</li> <li>assess the appropriateness and effectiveness of applied approved supplier protocols</li> <li>identify gaps and omissions in approved supplier protocols</li> <li>verify the effectiveness of the approved supplier program</li> </ul>
<b>FSM 16 Supplier performance</b>	As per FSM 15 Purchasing, plus the following knowledge requirement: Knowledge of: <ul style="list-style-type: none"> <li>performance monitoring</li> </ul>	As per FSM 15 Purchasing, plus the following skill requirement: Ability to: <ul style="list-style-type: none"> <li>apply performance monitoring techniques</li> </ul>
<b>FSM 17 Outsourcing</b>	As per FSM1 Food safety management systems general requirements, plus the following knowledge requirements: Knowledge of:	As per FSM1 Food safety management systems general requirements, plus the following skill requirements: Ability to:

Task	Required Auditor Knowledge	Required Auditor Skills
	<ul style="list-style-type: none"> <li>contract manufacturing and other services</li> <li>outsourcing protocols</li> </ul>	<ul style="list-style-type: none"> <li>read and ensure implementation of supplier agreements</li> <li>review and audit conformance of test results</li> <li>identify gaps and omissions in contract manufacturer procedures</li> <li>verify the effectiveness of procedures in place to monitor contract manufacturers</li> </ul>
<b>FSM 18 Complaint handling</b>	<p>As per FSM1 Food safety management systems general requirements, plus the following knowledge requirements:</p> <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>regulatory requirements for non-conforming product, withdrawal and recall</li> <li>trend analysis</li> </ul>	<p>As per FSM1 Food safety management systems general requirements, plus the following skill requirements:</p> <p>Ability to:</p> <ul style="list-style-type: none"> <li>review the customer complaint process</li> <li>assess the effectiveness of actions taken to prioritize and reduce customer complaints</li> <li>evaluate the significance of individual customer complaints as related to food safety</li> <li>assess the willingness of management and staff to correct and improve shortcomings in food safety</li> </ul>
<b>FSM 19 Serious incident management</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>industry or trade protocols in place for serious incidents, trade withdrawals, or product recalls</li> <li>finished stock identification and control processes</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>assess the effectiveness, communication, and application of traceability, withdrawal and recall procedures</li> <li>review and analyze records of mock or actual withdrawals and recalls</li> <li>identify gaps in traceability, withdrawal and recall protocols</li> </ul>
<b>FSM 20 Control of measuring and monitoring devices</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>the parameters critical to ensuring food safety and to meeting regulatory requirements and customer specification for a given industry sector</li> <li>measuring and monitoring equipment and devices used to measure food safety parameters for a given industry sector</li> <li>calibration methods for prescribed measuring and monitoring equipment and devices</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>assess the appropriateness and effectiveness of devices used to measure food safety parameters</li> <li>review and analyze calibration procedures and records</li> <li>assess the appropriateness and effectiveness of calibration procedures</li> <li>identify gaps in calibration procedures</li> <li>verify the disposition of product assessed using equipment that is out of calibration</li> </ul>
<b>FSM 21 Food defense</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>regulations and/or industry codes of practice governing food defense, food protection, food security, bioterrorism or sabotage</li> <li>food defense risk management methodologies</li> <li>food defense protocols applicable to particular countries, jurisdictions, and industry sector</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>assess the effectiveness and application of the risk management process used to determine food defense risk</li> <li>assess the effectiveness, communication, and application of food defense procedures</li> <li>review and analyze records of food defense activities</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	<ul style="list-style-type: none"> <li>typical food defense situations</li> </ul>	<ul style="list-style-type: none"> <li>identify gaps in food defense procedures</li> </ul>
<b>FSM 22 Product labeling</b>	Knowledge of: <ul style="list-style-type: none"> <li>food labeling legislation in the country of origin and the country(s) of destination applicable to a given product group</li> <li>customer or industry codes of practice on labeling</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>assess the effectiveness and application of label approval procedures</li> <li>read product labels and establish the authenticity of information provided</li> <li>verify the accuracy of label information</li> </ul>
<b>FSM 23 Traceability</b>	Knowledge of: <ul style="list-style-type: none"> <li>regulatory requirements for non-conforming product, trade withdrawal and recall</li> <li>product identification and traceability procedures</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>assess the effectiveness, communication, and application of identification and traceability procedures</li> <li>review records for raw material, ingredient, packaging, work in progress and finished stock to determine traceability</li> <li>identify gaps in identification and traceability procedures</li> <li>review and analyze mock trace results</li> </ul>
<b>FSM 24 Inspection</b>	Knowledge of: <ul style="list-style-type: none"> <li>regulatory requirements governing inputs including processing aids, biochemical, feedstuffs, water and gases</li> <li>hazards and risks associated with inputs for a given industry sector including (but not limited to) processing aids, biochemical, feedstuffs, water and gases</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>assess the application and effectiveness of specifications and procedures in place to control the safety of inputs</li> <li>review and evaluate analytical records and certificates of analysis</li> <li>identify gaps in procedures in place to control inputs</li> </ul>



## 2.2 HACCP Requirements

Tasks	Required Auditor Knowledge	Required Auditor Skills
<b>Hazard Analysis and Critical Control Point (HACCP)</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• Codex Alimentarius and National Advisory Committee on Microbiological Criteria for Foods (NACMCF) HACCP principles and implementation steps</li> <li>• the Codex Alimentarius Commission General Principles of Food Hygiene CAC/ RCP 1-1969, Rev. 4 -2003</li> <li>• the preliminary steps in implementing HACCP (scope, team, product description, process flow diagram)</li> <li>• the scope and purpose of a HACCP-based system</li> <li>• the factors influencing food safety that must be included in a product description for a given industry sector</li> <li>• the intended use of a given product</li> <li>• constructing and verifying a process flow diagram</li> <li>• the microbiological, chemical, and physical food safety hazards that may reasonably be expected to occur in a given industry sector</li> <li>• the control measures required to eliminate or minimize the microbiological, chemical, and physical food safety hazards for a given industry sector</li> <li>• risk assessment/hazard analysis methodologies relevant to a given industry sector</li> <li>• determination of CCPs within a HACCP plan</li> <li>• determination and validation of critical limits</li> <li>• determination of monitoring procedures and frequency</li> <li>• the format and content of Standard Operating Practices (SOPs) and Work Instructions (WIs)</li> <li>• determination of appropriate corrective and preventive actions to dispose of affected product and prevent recurrence</li> <li>• verification procedures to ensure the effectiveness of the HACCP-based system</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the appropriateness of the scope and purpose of the HACCP plan, and the HACCP team</li> <li>• assess the appropriateness of the product description and intended use</li> <li>• evaluate the accuracy of the process flow diagram</li> <li>• assess that all potential food safety hazards have been identified</li> <li>• assess that the hazard analysis and risk management methodologies have been applied correctly and consistently</li> <li>• evaluate the adequacy, application and effectiveness of control measures in place to eliminate or minimize the risk of potential hazards</li> <li>• assess whether CCPs have been correctly identified</li> <li>• assess that critical limits are scientifically validated or justified, and correctly differentiate between safe and unsafe product</li> <li>• assess the application and effectiveness of corrective action procedures in place where food safety control is lost</li> <li>• assess the application and effectiveness of verification procedures in place to ensure the adequacy of the HACCP-based system</li> <li>• evaluate the adequacy, understanding, application and effectiveness of Standard Operating Practices (SOPs) and Work Instructions (WIs)</li> <li>• ensure that the HACCP plan is reviewed periodically or when process changes occur</li> </ul>

### 2.3 Good Manufacturing Practice (GMP) Requirements

Task	Required Auditor Knowledge	Required Auditor Skills
<b>GMP 1 Facility environment</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory requirements relating to food premises</li> <li>• standards and industry codes of practice concerning sanitary construction and design of food premises</li> <li>• the food safety risks associated with the location and environment, including potential air or water contamination, pest control, etc.</li> <li>• sector specific risks such as waste management, dust control, and pest management</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with the site, grounds, external areas, surrounding properties, and process flow</li> <li>• evaluate the measures taken by the site to control actual or potential food safety risks due to the site or location</li> <li>• identify gaps in the control measures taken by the site to control actual or potential food safety risks due to the site or location</li> </ul>
<b>GMP 3 Facility design, construction, layout and product flow</b>	As per GMP 1, plus the following knowledge requirements: Knowledge of: <ul style="list-style-type: none"> <li>• potential contamination sources</li> <li>• production processes for a given industry sector</li> <li>• preventive and corrective maintenance practices and technologies used for preventive maintenance programs</li> </ul>	As per GMP 1, plus the following skill requirements: Ability to: <ul style="list-style-type: none"> <li>• evaluate the design and construction measures taken by the site to prevent, minimize or eliminate food safety hazards and risks</li> <li>• evaluate the application and effectiveness of the site and preventive and corrective maintenance program</li> <li>• identify gaps in the site's preventive and corrective maintenance program</li> </ul>
<b>GMP 4 Fabrication (input and material handling, preparation, product handling, packing and storage areas)</b>	As per GMP 1, plus the following knowledge requirements: Knowledge of: <ul style="list-style-type: none"> <li>• types of materials suitable for construction of food manufacturing and storage facilities</li> <li>• impact of detergents and sanitizers on materials used for fabrication of food facilities</li> </ul>	As per GMP 1, plus the following skill requirements: Ability to: <ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with the fabrication of food manufacturing and storage facilities</li> <li>• identify areas of potential product contamination or cross-contamination caused by building fabrication</li> </ul>
<b>GMP 5 Equipment</b>	As per GMP 1 and GMP 4, plus the following knowledge requirements: Knowledge of: <ul style="list-style-type: none"> <li>• regulatory requirements relating to food premises and equipment</li> <li>• food safety contamination risks associated with the design and fabrication of food contact equipment</li> </ul>	As per GMP 1 and GMP 4, plus the following skill requirements: Ability to: <ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with the design and fabrication of food contact equipment</li> <li>• identify areas of potential product contamination or cross-contamination caused by food contact equipment</li> </ul>
<b>GMP 6 Maintenance</b>	As per GMP 1 and GMP 3, plus the following knowledge requirement:	As per GMP 1 and GMP 3, plus the following skill requirements:

Task	Required Auditor Knowledge	Required Auditor Skills
	Knowledge of: <ul style="list-style-type: none"> <li>effective preventive and corrective maintenance programs for a given industry sector</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>evaluate the application and effectiveness of the preventive and corrective maintenance program</li> <li>identify gaps in the site's preventive and corrective maintenance program</li> </ul>
<b>GMP 7 Staff facilities</b>	Knowledge of: <ul style="list-style-type: none"> <li>the risk of pathogen contamination from human contact</li> <li>standards and industry codes of practice concerning sanitary construction and design of food premises</li> <li>specific requirements regarding toilet rooms, locker rooms or change rooms, uniform issue, hand-washing facilities, and canteen areas in given industry sectors</li> <li>requirements for high-care areas where applicable</li> <li>personal hygiene practices for given industry sectors</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>assess the potential or actual food safety contamination risks associated with the design and condition of staff facilities including toilet rooms, change rooms and canteens</li> <li>evaluate the application and effectiveness of procedures in place to manage food safety risk from staff facilities</li> <li>identify gaps in the site's procedures to manage food safety risk from staff facilities</li> </ul>
<b>GMP 8 Physical and chemical product contamination risk</b>	As per HACCP 1, plus the following knowledge requirements: Knowledge of: <ul style="list-style-type: none"> <li>technologies associated with detection of contaminants including metal detectors, X-ray, sieves, filters, divert valves</li> <li>calibration requirements for relevant technologies</li> <li>regulatory and product knowledge of chemicals used within a food manufacturing plant including detergents, sanitizers, processing aids, water treatment chemicals, and pest management chemicals</li> <li>management of non-conforming product</li> </ul>	As per HACCP 1, plus the following additional skill requirements: Ability to: <ul style="list-style-type: none"> <li>assess the potential or actual food safety contamination risks associated with the design, layout, and condition of production processes</li> <li>assess the application and effectiveness of procedures in place to prevent product contamination</li> <li>evaluate the appropriateness, application, and effectiveness of technologies used to detect contaminants</li> <li>evaluate the application and effectiveness of calibration procedures for existing technologies</li> <li>evaluate the appropriateness, application, and effectiveness of chemicals used for cleaning, water treatment, pest management, and other functions</li> <li>evaluate procedures in place to adequately dispose of non-conforming product</li> <li>identify gaps in the facility's procedures and practices to control product contamination</li> </ul>
<b>GMP 9 Segregation and cross-contamination</b>	As per GMP 8 Physical, chemical product contamination risk, plus the following additional knowledge requirements: Knowledge of: <ul style="list-style-type: none"> <li>allergens and their management in given industry sectors</li> <li>identity preserved (IP) foods and their management</li> </ul>	As per GMP 8 Physical, chemical product contamination risk, plus the following additional skill requirements: Ability to: <ul style="list-style-type: none"> <li>evaluate procedures in place to identify and control allergens and to prevent cross-contact of allergens</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	<ul style="list-style-type: none"> <li>biological hazards and control methods in given industry sectors</li> </ul>	<ul style="list-style-type: none"> <li>evaluate procedures in place to identify controlled foods</li> <li>evaluate air, water, traffic and facility design for potential cross-contamination</li> </ul>
<b>GMP 10 Stock management</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>product identification and traceability protocols and practices</li> <li>stock control, stock rotation and stock management protocols and practices</li> <li>definition and calculation of shelf life, including regulatory requirements where applicable</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>assess the effectiveness, communication, and application of identification and traceability procedures</li> <li>review records for raw material, packaging, work in progress, finished goods, processing aids, and chemicals</li> <li>review storage conditions for raw material, packaging, work in progress, finished goods, processing aids, and chemicals</li> <li>review records that validate shelf life for a given product</li> <li>identify gaps in stock management and shelf life validation method</li> </ul>
<b>GMP 11 Housekeeping, cleaning and hygiene</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>regulatory requirements concerning hygiene of food facilities</li> <li>the chemical action of detergents and sanitizers</li> <li>microbiological resistance to detergents and sanitizers</li> <li>allergen cleaning protocols for the removal of allergenic protein residue</li> <li>cleaning and sanitation technologies and chemicals for a given industry sector, including wet cleaning, dry cleaning, foam cleaners, cleaning-in-place (CIP)</li> <li>risk-based sanitation verification methods including (but not limited to) environmental swabbing, pre-operational checks, product testing, etc.</li> <li>environmental monitoring programs for high risk areas</li> <li>backflow prevention methods</li> <li>methods for verifying the effectiveness of cleaning</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>evaluate the application, frequency, appropriateness, and effectiveness of cleaning and sanitation methods for a given product</li> <li>analyze sanitation schedules and records</li> <li>analyze environmental and product test results</li> <li>implement an effective environmental monitoring program for high risk areas</li> <li>evaluate the effectiveness of sanitation verification procedures for a given product</li> <li>identify gaps in cleaning and sanitation procedures and verification protocols</li> <li>determine if backflow prevention measures are effective</li> </ul>
<b>GMP 12 Water quality and utility management (including ice)</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>regulatory requirements concerning the potability, treatment, separation and handling of water used for food contact, steam, and ice production, post-harvest washing, and personal hygiene</li> <li>technologies and methodologies for water treatment</li> <li>industry codes of practice for identification and storage of potable and non-potable water supplies</li> <li>risks associated with cross-connections, non-return valves, age and condition of water lines</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>evaluate the application and effectiveness of methods used to treat and/or manage the potability of water used for food contact, steam and/or ice production, post-harvest washing, and personal hygiene</li> <li>interpret water test results</li> <li>identify and assess the separation of potable from non-potable water</li> <li>identify gaps in the water quality program</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
<b>GMP 13 Waste management</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulatory requirements concerning the handling and disposal of waste materials, including environmental regulations governing air-borne, liquid, and solid waste control</li> <li>• potential product contamination sources for a given industry sector</li> <li>• waste handling, storage and disposal practices for a given industry sector</li> <li>• cleaning and housekeeping of waste containers, lines and equipment</li> <li>• personal hygiene requirements following handling of waste materials</li> <li>• management of pests and vermin in waste storage and handling areas</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• evaluate the application and effectiveness of waste storage, handling, and disposal procedures</li> <li>• identify gaps in waste storage, handling and disposal procedures</li> </ul>
<b>GMP 14 Pest control</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• food safety hazards and risks caused by pests and vermin in food premises</li> <li>• regulatory requirements concerning pest management and the use and handling of pest control chemicals</li> <li>• the use, storage, handling and disposal of pest control chemicals and mechanical pest control technologies</li> <li>• personal hygiene requirements following handling of pests and pest control chemicals</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the suitability and application of contract agreements with pest control contractors</li> <li>• identify the types of pests to be controlled for a given industry sector</li> <li>• assess the in-house ability of businesses to verify the competence of individuals responsible for pest control</li> <li>• evaluate the application and effectiveness of pest management procedures employed</li> <li>• analyze pest management reports</li> <li>• assess the effectiveness of storage requirements for pest control chemicals and equipment</li> <li>• identify gaps in pest management procedures</li> <li>• evaluate the level of coordination between monitoring and pest management</li> </ul>
<b>GMP 15 Transport</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulatory requirements relating to food transport vehicles</li> <li>• standards and industry codes of practice concerning sanitary construction and design of food transport vehicles</li> <li>• the cold chain code of practice</li> <li>• the impact of climate (temperature, humidity) on product in transit</li> <li>• protection offered by packaging materials in differing climatic conditions</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with food transport for a given product group or industry sector</li> <li>• validate temperature and climatic logging devices</li> <li>• assess vehicle loading and unloading practices, including holding times</li> <li>• identify gaps in product transport arrangements</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	<ul style="list-style-type: none"> <li>risks offered by packaging materials in differing climatic conditions (e.g., chemical migration)</li> <li>food security in transit</li> </ul>	
<b>GMP 16 Personnel hygiene, protective clothing and medical screening</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>regulatory requirements concerning personal hygiene for food handlers</li> <li>human transmission of food pathogens and risk mitigation measures</li> <li>human transmission of allergenic protein residue and risk mitigation measures</li> <li>suitability of medical screening procedures for detection of communicable diseases</li> <li>the risk of traffic and work patterns on product safety</li> <li>statutory and industry standards for provision and condition of toilet rooms, change rooms, canteens, hand-wash stations, break stations</li> <li>statutory and industry standards for provision and condition of protective clothing, disposable gloves</li> <li>risk-based methodologies for verifying the effectiveness of personal hygiene programs</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>evaluate the application, frequency, appropriateness, and effectiveness of personal hygiene procedures for a given product</li> <li>review the effectiveness of traffic and work patterns on minimizing the risk of product contamination</li> <li>analyze environmental and product test results</li> <li>identify gaps in personal hygiene procedures and verification protocols</li> </ul>
<b>GMP 17 Training</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>regulatory requirements for training of food handlers</li> <li>competency-based training and assessment methods</li> <li>the content of position descriptions</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>assess the application and effectiveness of training programs provided to food handlers</li> <li>assess the effective implementation of position descriptions by food handlers</li> <li>assess the effective implementation of documented food handlers job functions</li> <li>assess the effective supervision of food handlers</li> <li>identify gaps in food safety training procedures</li> </ul>

### 3. Behavior and Systems Thinking

Tasks	Required Auditor Knowledge	Required Auditor Skills
<b>3.1 Auditor Conduct and Behavior</b> Includes: Personal behavior Audit leadership	Knowledge of: <ul style="list-style-type: none"> <li>• conflict of interest</li> <li>• professional conduct required by auditors of the JFS-E-C standards.</li> <li>• the behavioral attributes expected of food safety auditors including: <ul style="list-style-type: none"> <li>✓ Ethical; e.g., fair, truthful, sincere, honest and discreet,</li> <li>✓ Open minded; e.g., willing to consider alternative ideas or points of view,</li> <li>✓ Diplomatic; e.g., tactful in dealing with people,</li> <li>✓ Observant; e.g., actually aware of physical surroundings and activities,</li> <li>✓ Perceptive; e.g., instinctive, aware of and able to understand situations,</li> <li>✓ Versatile; e.g., adjusts readily to different situations,</li> <li>✓ Tenacious; e.g., persistent, focused on achieving objectives,</li> <li>✓ Decisive; e.g., timely conclusions based on logical reasoning,</li> <li>✓ Self-reliant; e.g., acts independently whilst interacting effectively with others,</li> <li>✓ Integrity; e.g., aware of need for confidentiality and observes professional code of conduct,</li> <li>✓ Moral courage (note: courage to do right things)</li> </ul> </li> <li>• conflict management and resolution</li> <li>• roles and responsibilities of audit team leaders</li> <li>• team dynamics and synergy – the cooperative interaction among team members that creates an enhanced combined effect</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• apply the appropriate behavioral attributes expected of a food safety auditor during the conduct of an audit. The auditor is able to demonstrate honesty, discretion, open-mindedness, diplomacy, perceptiveness, versatility, tenacity, decisiveness, and self-reliance.</li> <li>• deliver against the expected behaviors and show continuous improvement</li> <li>• develop observation skills</li> <li>• maintain self-control and professionalism at all times and under all audit conditions</li> <li>• readily respond to meeting the needs of internal and external clients</li> <li>• resolve conflict with tact and diplomacy, but without succumbing to external pressures or un-verifiable facts</li> <li>• plan the activities of an audit team effectively</li> <li>• develop a synergistic outcome from an audit team</li> <li>• recognize conflict of interest</li> <li>• conduct a self-assessment and develop continuous improvement strategies</li> </ul>
<b>3.2 Systems Thinking</b> Includes: Problem solving Critical thinking Root cause analysis	Knowledge of: <ul style="list-style-type: none"> <li>• principles of systems thinking – identification of issues as part of an overall system as a whole, rather than reacting to specific parts</li> <li>• system improvement – singular and common causes</li> <li>• the relationship of quality management and productivity to food safety</li> <li>• statistical process control and cause and effect analysis</li> <li>• applicable methods and techniques for understanding and resolving problems</li> <li>• tools and techniques to conceptualize, analyze, and evaluate</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• big picture thinking. The ability to stand back and look at the system as a whole, rather than just the individual parts</li> <li>• explain the inter-relationship between quality management, operations, productivity and food safety</li> <li>• identify special and common causes</li> <li>• correctly apply appropriate statistical process control tools</li> <li>• conduct cause and effect analysis</li> <li>• apply correct problem solving tools in a given situation</li> </ul>

Tasks	Required Auditor Knowledge	Required Auditor Skills
	performance data and information from a variety of sources • the methodology, tools and techniques of root cause analysis	
<b>3.3 Organizational Behavior</b> Includes: Business and organizational practices	Knowledge of: <ul style="list-style-type: none"> <li>• organizational structures and the inter-relationship of job functions</li> <li>• general business processes and related terminology</li> <li>• cultural, religious, and social customs within a given organization</li> <li>• ethical and moral principles and issues as applied to a given organization and/or industry sector</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• identify the inter-relationship of job functions within an organization and the impact on the effectiveness of the food safety management system</li> <li>• identify the interaction of employees within an organization and the impact on the effectiveness of the food safety management system</li> <li>• identify the cultural, religious, and social customs within an organization and the impact on the effectiveness of the food safety management system</li> <li>• identify the application of ethical conduct within an organization and its impact on the effectiveness of the food safety management system</li> </ul>



#### 4. Auditor Qualifications, Training and Work Experience

The competencies below shall be fulfilled in addition to the content of the Scheme Document.

Category	Sector Specific Auditor Qualification and Education	Examples of Work Experience in relation to product categories
EI Processing of perishable animal products	<ul style="list-style-type: none"> <li>• A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.</li> </ul>	Experience is required in the following food industry sectors; <ul style="list-style-type: none"> <li>➤ Red Meat Processing</li> <li>➤ Poultry Processing</li> <li>➤ Fish Processing</li> <li>➤ Seafood Processing</li> <li>➤ Meat Product Processing</li> <li>➤ Fish Product Processing</li> <li>➤ Dairy Technology</li> <li>➤ Egg Processing</li> </ul>
EII Processing of perishable plant products	<ul style="list-style-type: none"> <li>• A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.</li> </ul>	Experience is required in the following food industry sectors; <ul style="list-style-type: none"> <li>➤ Fruit and vegetable processing</li> </ul>
EIII Processing of perishable animal and plant products (mixed products)	<ul style="list-style-type: none"> <li>• A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.</li> </ul>	Experience is required in the following food industry sectors; <ul style="list-style-type: none"> <li>➤ Meat Product Processing</li> <li>➤ Fish Product Processing</li> <li>➤ Dairy Technology</li> <li>➤ Ready to Eat Food Product Processing</li> </ul>
EIV Processing of ambient stable products	<ul style="list-style-type: none"> <li>• A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.</li> </ul>	Experience is required in the following food industry sectors; <ul style="list-style-type: none"> <li>➤ Thermal Processing</li> <li>➤ Baking Technology</li> <li>➤ Dairy Technology</li> <li>➤ Brewing Technology</li> <li>➤ Extrusion Technology</li> <li>➤ Vegetable and Animal Fats and Oils</li> <li>➤ Sugar refining</li> <li>➤ Beverage production</li> <li>➤ Alcoholic drink production</li> </ul>