

# **JFS-C Certification Scheme Document**

Ver.2.2

Japan Food Safety Management Association

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# 1. Scheme Overview

## 1.1. Objective

Needless to say, food chain consists of various organizations and should provide people safe food. The system composed of requirements, procedures and others described in this document (hereinafter referred to as “this Scheme”) is for a third-party certification to certify the food safety management system of such organizations. Through this Scheme, the Japan Food Safety Management Association (JFSM) aims to improve the food safety level throughout the food chain by standardizing practices, and to manage costs in the food safety system by eliminating redundancy and improving operational efficiency.

## 1.2. Establishment

The document of this Scheme and its associated documents are established by JFSM.

## 1.3. Features

This Scheme, including the JFS-C Standard, has the following features:

### 1.3.1 Easy to understand

In order to provide continuous approach to the better food safety management of the entire food chain, this Scheme is aimed easy to understand by any organization regardless of its scale, form, situation or the characteristics of its products. Guideline is provided to help better understanding of the requirements of this Scheme. JFSM provides step-by-step food safety management standards and certification schemes for the organizations to improve their food safety management in accordance with their own food safety level.

### 1.3.2 Worksite focused top-down management system

It is important for the top management of the organization to steadily involve with the organization’s food safety, show food safety policies, and properly provide relevant management resources such as personnel and capital to improve the food safety levels. Moreover, this Scheme focuses on workers’ opinion and properly utilize it. In order to achieve maintenance and continuous improvement in food safety levels, it is important for the workers to have professionalism. Proper utilization of workers’ opinion encourages the workers to improve their moral and gain motivation.

### 1.3.3 Allowance supported by science and technology

This Scheme requires scientific basis system. In other words, this Scheme allows the range of interpretation as far as science and experience support.

### 1.3.4 Consistency with international standards such as Codex Alimentarius and ISO Standards

Nowadays, the “General Principles of Food Hygiene<sup>1</sup>” by the Codex Alimentarius Commission is a common approach on food safety worldwide. ISO also has been standardizing food safety management systems and related certification systems. This Scheme refers to these existing international standards and ensures consistency with them. Furthermore, this Scheme refers to the GFSI Benchmarking Requirements (hereinafter referred to as “GFSI BR”) that was formulated by worldwide food related experts, and ensures consistency.

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

## 1.4. Reference Standards

1.4.1 ISO/IEC 17011:2004, ISO/IEC 17021-1:2015 and ISO/TS 22003:2013 (hereinafter referred to as "ISO/IEC 17011", "ISO/IEC 17021" and "ISO/TS 22003" respectively) are applied to this Scheme.

1.4.2 The following standard is applied to certify organizations:

- JFS-C Standard (Latest version)

The scope of this Scheme includes "Processing Sector (E)" and "Production of (Bio) Chemicals Sector (L)".

"Processing Sector (E)" includes following four categories:

- EI: Processing of perishable animal products,
- EII: Processing of perishable plant products,
- EIII: Processing of perishable animal and plant products (mixed products),
- EIV: Processing of ambient stable products.

"Production of (Bio) Chemicals Sector (L)" is composed of one category.

- L: Production of (Bio) Chemicals (Additives, Vitamins, Minerals, Bio-cultures, Flavourings, Enzymes and Processing aids)

Note) The above codes EI - EIV and L are category codes cited from the GFSI BR Part I 1.1.1 GFSI Scopes of Recognition, and this Scheme also uses identical codes.

## 1.5. Logo Use

This scheme certifies the food safety management system of the organization but not the product itself. Therefore, any use of labels, marks and/or descriptions on the product concerning the certification of this scheme that indicates conformity to the food safety standard is prohibited.

## **2. Regulations for Certification Programme Owner**

### **2.1 Certification Programme Owner (CPO)**

This Scheme is operated and managed by JFSM, the CPO of this Scheme. 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**

2.2.1 JFSM establishes the Board of Directors as an executive body, Inspector(s) to audit the performances, the Board of Trustee, which is a governing board, is responsible for determining important matters such as the appointment of directors and inspector(s), and the JFSM Secretariat to carry out the mission under the directions of the Board of Directors. Board of Directors appoints a representative from the Secretariat members to communicate with the Accreditation Bodies (ABs) and the Certification Bodies (CBs).

2.2.2 To implement proper operation and management of this Scheme, JFSM establishes Scheme Committee as an advisory body which consists of experts, knowledgeable persons and the like to provide neutral and expert opinions to the Board of Directors. The Scheme Committee and committee members ensure no conflict of interest for securing impartiality and ethics. Under the approval of the Board of Directors, the Scheme Committee has the right to gather Working Group(s) to draft and revise documents related to this Scheme, including the Scheme Document.

### **2.3 Establishment and Maintenance of Certification Scheme**

2.3.1 JFSM is comprehensively responsible for the establishment, operation and maintenance of this Scheme. JFSM requests the Scheme Committee to review documents related to this Scheme periodically. To specify needs of revision are requested to the Scheme Committee under necessity. JFSM prepares a draft and distribute it on JFSM website to call comments for a certain period. JFSM makes a revision or amendment in view of the comments and finalizes the document at the Scheme Committee. The Scheme Committee provides the proposal document to the Board of Directors. The approved document is published on JFSM website. The document shall be translated into English. JFSM informs details of revision to ABs and CBs without delay.

2.3.2 JFSM holds a conference for ABs and CBs to harmonize the level of skills and knowledge at least once a year.

2.3.3 The Scheme Committee implements comprehensive reviews of the documents related to this Scheme every four years, as a general rule, and JFSM republishes the Scheme document if necessary.

### **2.4 Scheme Committee Regulations**

#### **2.4.1 Scheme Committee members**

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) The Scheme Committee members are designated by the Board of Directors. The Board of Directors considers fairness as well as the balance of members of the committee. Representative(s) of Accreditation Bodies may attend meetings of the Scheme Committee as observer(s).

#### 2.4.2 Functions and responsibilities

1) The Scheme Committee conducts the following and gives recommendations to JFSM on the necessity to revise the Scheme document, improvement of the scheme operation and the like:

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

2) In reviewing, implement the following:

(1) Verify:

- whether this Scheme is designed to prevent inconsistency in certification (i.e. interpretation of the requirements),
- whether this Scheme is operated as intended,
- whether the opinions of stakeholders are adequately considered on the establishment and revision of this Scheme; specifically, consider the analysis result of activity reports from the contracted CBs, and opinions, questions and complaints from stakeholders,
- whether this Scheme reflects preceding studies in the relevant field.

(2) Record the review and all the actions taken.

#### 2.4.3 Gathering Scheme Committee

The Scheme Committee is held at least once a year, and is held by the request of the Chairperson or by the request of at least one-third of the Committee members.

#### 2.4.4 Decisions

Decisions of the Scheme Committee in principle are made based on consensus. In case of discord, a simple majority vote makes the decision with attendance of at least two-thirds of Committee members. In the event that meetings cannot be held, decisions are made by a simple majority vote with reply from at least two-thirds of Committee members.

#### 2.4.5 Records of meetings

JFSM prepares records of the meetings of the Scheme Committee.

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

2.5.1 JFSM establishes full-time-operating contacts to receive opinions, questions and complaints from stakeholders including organizations to be certified, CBs, ABs, JFSM members, public administration, and consumers on the operation of the Scheme, interpretation of details and requirements of the Scheme

Document, and the like. JFSM establishes response procedures for complaints and others and stipulates in Annex 1 “Integrity Program”.

2.5.2 JFSM makes a report to the Scheme Committee at least once a year on the results of analyzing opinions, questions and complaints received at the contacts.

## **2.6 Development and Implementation of Integrity Program**

JFSM shall develop and implement “Integrity Program” stipulated in Annex 1 in order to demonstrate that CBs conform to all the requirements of this Scheme and ensure its effectiveness.

## **2.7 Audit Frequency and Time**

JFSM specifies audit frequency and time in Clause 4.3.2 “Implementation of Audit”. Calculation of the audit time is in Annex 2 “Procedure of Audit Time Calculation”.

## **2.8 Data Management**

JFSM has a clearly defined data management system designed to retain data to enable effective management and operation of this Scheme. This data management system consists of information based on four forms (namely, “Certification Body Registration Form”, “Auditor Registration Form”, “Certified Organization Registration Form” and “Audit Details Registration Form”) submitted from the CBs. The database includes the following as a minimum:

- Number of registered auditors
- Number of certified organization sites
- Number of withdrawn sites

JFSM registers and updates information on auditors’ competency, education, auditing scope and experience, and belongs.

## **2.9 JFSM Activity Report**

JFSM prepares its own activity report once a year and sends the report to the members and advisors of the Scheme Committee and relevant ABs and CBs.

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

#### **3.1 Objective**

This Chapter stipulates requirements for ABs that accredit CBs under this Scheme.

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

3.2.1 ABs that accredit CBs that provide certification under this Scheme shall comply the requirements of ISO/IEC 17011 and additional requirements described in Section 3.3 of this document, and be a member of the International Accreditation Forum (IAF). These accreditation bodies shall also be signatories to the IAF Multilateral Recognition Agreement (MLA; Level 4: ISO/TS 22003, Level 5: ISO 22000:2005 (hereinafter referred to as "ISO 22000")).

3.2.2 ABs shall have contracts with JFSM to ensure Certification Bodies comply with ISO/IEC 17021 and ISO/TS 22003.

3.2.3 In case ABs have withdrawn or suspended an accreditation of a CB, ABs shall ensure to notify JFSM of the status and circumstances on the withdrawal or suspension.

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

Accreditation Bodies shall comply the requirements below as well as all the additional requirements stipulated in ISO/IEC 17011.

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

###### **1) Application for accreditation [Additional requirements to clauses 7.2.1]**

In case ABs receive an application for accreditation from the CBs, ABs shall notify it to JFSM (Addition to clause 7.2.1).

###### **2) Confidentiality [Additional requirements to clause 4.4]**

(1) ABs shall make an agreement regarding confidentiality with JFSM. The confidentiality contract shall state that the information shared between AB and JFSM shall not be disclosed to any other parties.

(2) ABs shall share information immediately with JFSM on problems related with this Scheme. ABs shall be responsible for following up the corrective actions in case of complaints and serious nonconformities.

(3) Shared information is as follows (although it is not exhaustive):

- a) accreditation status (suspension, withdrawal, category reduction, accreditation period),
- b) complaints that could jeopardize the accreditation status,
- c) serious non-conformities (non-conformities which have potential impact on the validity of accreditation)

(4) annual activity summary (use JFSM approved form),

(5) the summary shall include, as a minimum:



- a) Assessment data
- b) Head office assessment: date, location, critical location review, the number of site and auditor files reviewed, AB's assessor names, period, general conclusion,
- c) Witness assessment: date, location, name of site, AB's assessor names, period, general conclusion,
- d) Certification Body name and conclusion of reports – accreditation status,

(6) the annual activity summary shall be available to JFSM and person(s) specified by JFSM.

### 3) Appointment of responsible person of this Scheme

ABs shall appoint a responsible and authorized person for this Scheme.

### 4) Response to problems or questions [Additional requirement to clause 4.2.6]

In case any problems or questions occur through the accreditation process, ABs shall have conversation with JFSM.

### 5) Communication [Additional requirement to clause 5.2.1]

In order to communicate effectively, ABs shall establish contacts with JFSM.

### 3.3.2 Accreditation Bodies and Certification Bodies [Additional requirement to clause 8.2.4]

Under the revisions of the requirements of this Scheme, ABs shall communicate and collaborate with JFSM to identify the appropriate review process for CBs to ensure that Certification Bodies know and comply the revised requirements relevant to accreditation.

### 3.3.3 Records [Additional requirement to clause 5.4.2]

ABs shall retain records relevant to this Scheme and be readily accessible for at least five years.

### 3.3.4 Complaints handling [Additional requirement to clause 5.9]

ABs shall investigate and cope with all complaints relevant to this Scheme, within thirty days as far as possible after receiving. In case any of the complaints have serious influence on this Scheme's ABs or CBs, ABs shall immediately inform JFSM and take proper action.

### 3.3.5 Internal audit [Additional requirement to clause 5.7.2]

ABs shall include accreditation activities based on this Scheme into the scope of internal audit.

### 3.3.6 Personnel engaged 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 proper knowledge of this

Scheme, related documents and food safety.

2) ABs shall ensure that the assessment team performing witness activities has personnel who have successfully completed training of this Scheme and HACCP training course, and one of the team member has an experience in food sector at least two years.

3) In carrying out office assessments the assessment team shall have personnel who have proper knowledge of this Scheme and Standard. Training program of this Scheme shall be recognized by JFSM. ABs shall prepare a document of assessors and other experts in accordance with the requirements mentioned in 3.3.6.

### 3.3.7 Matters on accreditation activity

1) Documents applied to accreditation [Additional requirements to clauses 4.6.1 and 7.5.10]

In accrediting CBs, ABs shall apply the requirements for CBs issued by JFSM as a document or a guideline for ABs.

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

If an AB outsources an assessment, the assessment shall be carried out in accordance with the requirements of JFSM. The subcontracted AB shall be a signatory to the IAF MLA (Level 4: ISO/TS 22003, Level 5: ISO 22000) and the assessor shall fulfill the competence requirements in Annex 3.

3) Preparation for assessments [Additional requirements to clauses 7.5.8 and 7.5.10]

(1) In surveillance or reassessment, the following documents shall be sampled, as a minimum, and assessed:

- a) Sample of at least two or ten percent of auditor files, whichever more,
- b) Sample of at least two certification site files or two percent of provided audits, whichever more.

Sampling of certification site files shall be risk based and should be done across country (region), categories and assessor.

(2) Sampling assessments of the site file shall include a review of:

- a) Contract between the CB and the organization to be certified,
- b) Audit scope and time,
- c) Auditor's records (notes or checklist) and evidence of conformity,
- d) Corrective action report from the organization to be certified on the identified nonconformities,
- e) Final audit report,
- f) Certification Decision and Certificate.

(3) In order to clarify that the CB complies the accreditation requirements, numbers of sampling shall be increased regarding the evidence of potential nonconformity in the assessment. In case objective evidence or complaints concerning ABs' accreditation, ABs shall perform additional assessment even before the planned surveillance or reassessment.

(4) ABs shall ensure that the requirements of this Scheme are provided to the assessment team.

(5) In prior to the assessment, ABs shall ask directly to JFSM if there are any evaluation or relevant

information concerning CBs. ABs shall assess taking the evaluation or relevant information concerning the CB from JFSM into account. ABs shall verify in the assessment that such complaints obtained from JFSM have been done effectively and taken appropriate corrective actions.

(6) "Appropriate criteria documents" in ISO/IEC17011 shall include the criteria on CBs defined by JFSM.

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

(1) In the initial Head office assessment, the following documents shall be sampled and assessed. This requirement is also applied to the case of category extension (7.12 of ISO/IEC 17011):

- a) Sample of at least one auditor file,
- b) Sample of at least one certification site file,

Sampling of certification site files shall be done regardless of country (or region), categories and auditors.

(2) Sampling assessment of the site file shall include a review of:

- a) Contract between the CB and the organization to be certified,
- b) Audit scope and time,
- c) Auditor's records (notes or checklist) and evidence of conformity,
- d) Corrective action report from the organization to be certified on the identified nonconformities,
- e) Final audit report,
- f) Certification Decision and Certificate,
- g) Evaluation and verification of the effectiveness of the CB's processes for evaluation of auditor competence.

At least one assessment of CBs shall be witnessed for initial accreditation. In the event that CBs apply to more than one scope of activities (i.e. categories), numbers of sampling shall be set proper for the scope.

If CBs have twenty or more auditors, witness shall be performed at least once a year per twenty auditors auditing with this Scheme. In case the CB operates worldwide, the percentage of witness shall be assigned based on the geographic distribution of activities. (For instance, in case thirty percent of audit was performed in another country, about one-third of witness will be done in that country.) The witness shall be planned to ensure that different auditors and different categories are assessed subsequently.

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

Head office assessment shall be performed annually. Witness shall be performed once a year for each CB. In case CBs have twenty or more auditors and/or CBs operate worldwide, witness shall be performed in the same manner as the initial audit.

Reassessment shall be performed at least every four years.

In case ABs notice any problems which affects the credibility of the certification process, ABs shall take proper action including the additional assessment as necessary.

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

In case the CB applies to extend the scope of activity (i.e. categories of JFS Standard), ABs shall, as a

minimum, perform document assessment and ensure that the evidence comply to the requirements of the Standard and Scheme.

7) Suspension, withdrawal or reduction of accreditation [Additional requirements to clause 7.13]

In case JFSM notices CB does not comply to the requirements, JFSM informs the AB. The AB shall investigate the issue and take proper action (including suspension or withdrawal of accreditation, or reduction of accreditation scope).

8) Accreditation certificate [Additional requirements to clause 7.9.5]

ABs shall ensure that the accreditation certificate or appendix include the official name, version of this Scheme and categories.

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

ABs shall verify that clause 8.3.2 a) - f) of ISO/IEC 17011 are applied to the operation of this Scheme, and proper actions are taken in the event of incorrect or misleading use of accreditation information and status.

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

### **4.1 Introduction**

This Chapter stipulates requirements for CBs which provide or plan to provide certification.

### **4.2 Fundamental Requirements for Certification Bodies**

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

Certification through this Scheme shall be provided by CBs which are accredited with ISO/IEC 17021, ISO/TS 22003 and Clause 4 (Requirements for CBs) of this Scheme Document, and consistently and fairly provide certification of food safety management systems.

CBs that are seeking accreditation shall be accredited within one year from the date of application to an AB. In the event that accreditation is not granted within this period, JFSM will terminate the contract with the CB. In case of a delay, CBs shall submit a plan with timeline of accreditation to JFSM. JFSM make decisions on measures to take.

CBs shall provide information on the accreditation status to JFSM. In the event that a CB's accreditation suspended or withdrawn, the CB shall report immediately to JFSM. The CB shall agree JFSM to have direct communication to the AB concerning the suspension or withdrawal.

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

CBs shall make a contract with JFSM on certification activities based on this Scheme.

#### **4.2.3 Confidentiality**

CBs and JFSM shall state confidentiality in the above contract. CBs provide information and opinions on the operation and functions of this Scheme to JFSM. At that time, CBs shall ensure that none of the confidential information on organizations leaks.

#### **4.2.4 Fees**

##### **1) Application fee**

CBs apply JFSM with the application form provided by JFSM. CBs shall pay the application fee to JFSM.

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

CBs shall pay the annual fee to JFSM each business year.

#### **4.2.5 Public Announcement**

CBs shall announce and make public of the following information:

- 1) Legal status,
- 2) Accreditation scope (version of the Scheme Document, product categories) (CBs shall clarify that service out of accreditation scope is not covered by this Scheme.),
- 3) Certification system including criteria and procedures for granting, maintaining, extending, suspending, and withdrawing certification,
- 4) Audit procedures and certification flow concerning this Scheme,
- 5) The rights and requirements of applicants and clients (such as the use of logos and the way in which an organization announces certification),
- 6) Complaints, appeals and dispute procedures,
- 7) A list of certified organizations.

#### 4.2.6 Quality system

- 1) CBs shall operate an effective quality system. The quality system shall be fully documented and applied to all the relevant CB staff. In CBs, there shall be a designated staff responsible for the quality system's development, implementation and maintenance. This designated staff is responsible to report to the CB's top management and has the responsibility on reporting the performance of the quality system improvement based on the management review.
- 2) As a minimum, the quality manual shall contain:
  - (1) Quality policy,
  - (2) Legal status of the CB (ownership, inter-organizational control structure and functional organization chart).
  - (3) Define a committee that manage the certification process and describe its 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 range of authority),
  - (7) Recruitment procedures (i.e. employment screening, initial training, subsequent training and performance assessment for all personnel involved in certification),
  - (8) A list of outsourced contractors involved in certification and management procedures on assignment and assessment,
  - (9) Procedures for actions against nonconformities, and procedures for validation against corrective and preventive actions,
  - (10) Procedures regarding the use, withdrawal and suspension of the certificate,
  - (11) Policies and procedures on appeals, complaints and disputes,
  - (12) Procedures of internal audit (including corrective actions against identified nonconformities).

#### 4.2.7 Notification of certificate form

CBs shall notify JFSM the form of certificate issued to the certified organizations prior to commencement of certification activity. The form shall include the following information:

- 1) Name of Standard (clearly describe the version),
- 2) Name and address of the certified organization,
- 3) Categories, products, manufacturing lines and manufacturing area (manufacturing lines and manufacturing area shall be specified if applicable)
- 4) Effective date of the certificate,
- 5) Expiry date of the certificate,
- 6) Logos of JFSM, the AB and the CB,
- 7) Signature of CB representative and the position of the signatory,
- 8) Statement of “Conformity to JFS-C Standard [Sector: E/L] (Requirements for Organizations)”.

Certificate shall be issued on manufacturing site basis.

#### 4.2.8 Information to be provided to JFSM

##### 1) Information on the structure of CB

In contracting with JFSM, CB shall submit information on the structure to JFSM with JFSM forms, namely, “Application on certification based on JFS-C Scheme” and “Registration Form for C Certification Body”. CB shall notify JFSM of changes on ownership composition of the CB, personnel management, management structure, regulations, or others. In the event that JFSM notices possible conflict or problem which may cause JFSM and/or GFSI fall into disrepute, the CB shall follow the decision of JFSM.

##### 2) Information on auditor

In contracting with JFSM, CB shall submit information on auditors to JFSM with JFSM form, namely, “Registration Form for C Auditor”. CBs shall register to JFSM, every auditor engaged in certification activity, details on auditor’s qualifications, training history, job experience, and auditable category. CBs shall update JFSM in case there are any changes on registered information such as extension of auditable category, and confirm the information at least once a year.

CBs and registered auditors shall follow the request from JFSM under the purpose of enabling competence assessment.

##### 3) Information on certified organizations

In certifying organizations, CBs shall submit information on the organizations to JFSM with JFSM form, namely, “Registration for C Certified Organization”.

#### 4) Information on audits

CBs shall immediately submit JFSM information on every audit with JFSM form, namely, "Registration of C Audit details".

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

To enable JFSM audit CBs and investigate certified organizations, CBs shall follow the request from JFSM. To enable JFSM investigate certified organizations, (JFSM may accompany ABs or CBs, or JFSM may visit alone), CBs shall specify JFSM's investigation in the agreement with the organizations.

#### 4.2.10 Recommendation to Certification Bodies

CBs have the right to accept or reject JFSM's recommendation related to the Certification Scheme. In case the CB rejects the recommendation, the CB shall describe the reason of rejection and notify JFSM. In receiving the reason, JFSM reviews and decides whether to reissue or withdraw the recommendation. In case the CB rejects again, JFSM may decide to suspend or withdraw the CB.

#### 4.2.11 Gathering of Harmonization Meeting

CBs shall attend the harmonization meeting held by JFSM at least once a year. The objectives of the meeting are:

- 1) Ensuring the consistency of audits and certification processes of this Scheme,
- 2) Hearing opinions on the Scheme Document and the operation of this Scheme,
- 3) Exchanging expertise on audit techniques,
- 4) Holding a workshop for improving the competence of auditors.

#### 4.2.12 In Change of Scheme

##### 1) Notification to CBs

CBs shall notify relevant parties (e.g. certified organizations, auditors and technical experts) changes on this Scheme (including additional rules and revisions) announced by JFSM. The changes shall be applied to the procedures of CBs as necessary.

##### 2) Transition period

CBs shall correspond to the revised requirements of this Scheme within four months after receiving the notification of changes from JFSM in principle. In case of revision in requirements for organizations, JFSM specifies transition period for each, excluding the case periods determined by laws or regulations.



#### 4.2.13 Extension of categories

In case a CB applies for new categories or extension of auditable categories, the application shall be made following JFSM procedures, and notify JFSM and the AB in writing.

### 4.3 Requirements on Certification Activity

#### 4.3.1 Conformity assessment of organizations

##### 1) Basis of Conformity Assessment

CBs shall conduct conformity assessment based on JFS-C Standard (Requirements for Organizations). CBs shall conduct all the stages of assessment of conformity assessment based on JFS -C Standard. In addition, CBs shall assess the organizations to ensure conformity to all the requirements relevant to this Scheme.

#### 4.3.2 Implementation of audit

##### 1) Audit Program

Audits are classified as the initial audit, re-certification audit conducted every three years, and surveillance audits conducted within the valid period. The three-year certification cycle begins with the certification or re-certification decision (Reference: ISO/IEC 17021).

Audits shall be implemented as follows:

- (1) Audits shall be implemented at least once a year, and all the elements in the Standard shall be assessed.
- (2) Audit frequency shall be defined for each product category covered by the scope of the scheme.
- (3) Regardless of the defined minimum audit frequency, CBs shall implement additional surveillance audits in the event that there is evidence or suspicion as nonconformity in an organization.
- (4) CBs shall calculate audit times following the procedure of "Calculation of Minimum Certification Audit Time" in Annex 2.
- (5) At least one unannounced audit shall be implemented within the three-year certification cycle.

##### 2) Nonconformity

- (1) Auditors shall assess conformity from the following four levels:

a) Critical nonconformity: Cause a direct impact on food safety, or legality being at stake.

Note) Conformity to the requirements is not fulfilled, and the product consequently become unsafe and/or illegal.

b) Major nonconformity: Likely to cause risk on food safety.

Note) Conformity to the requirements is not fulfilled, and the product consequently may be unsafe and/or the food safety risk may increase.

c) Minor nonconformity: Less likely to cause risk on food safety.

Note) Conformity to the requirements is not fulfilled, however, the product consequently is considered to be virtually safe and/or the food safety risk does not increase.

d) Conformity: Requirements fully satisfied.

## (2) Actions against critical nonconformity

In the event of critical non-conformity, auditors shall take one of the following actions depending on the type of audit.

### a) Initial Audit

In initial audits, auditors shall stop audits until the critical nonconformity is eliminated, and auditors implement the audit again..

### b) Re-certification and Surveillance Audit

In re-certification and surveillance audits, auditors shall suspend the certificate and suggest organizations to eliminate critical nonconformity within six months, and implement the audit again. Certificate expires unless the critical nonconformity is eliminated. In case of re-certification audits, certificate continues with the demonstration of conformity within the given period even it exceeds the expiry date of the certificate, and the original three-years cycle remains. CBs shall implement additional surveillance audits, as necessary, in the event that there is evidence or suspicion as non-conformities in an organization.

## 3) Confirmation of corrective action

CBs shall obtain corrective action plans and evidence of correction from organizations that have nonconformity to verify that the organization fully complies the requirements of the Standard. Verification of the corrective action plan shall be done through assessment of submitted documents including updated procedures, records, and photographs, or additional on-site audit by technically qualified member or group of the CB, depending on the level of nonconformity.

## 4.3.3 Audit report

### 1) Preparation of audit reports

CBs shall have a clearly defined system in place for the preparation and issue of audit reports. The audit report shall be confidential, however, the possibilities to be reported to JFSM or to a public administration by request based on laws and regulations shall be included in an agreement with organizations.

In disclosing the audit report, permit shall be obtained from the organization. The organization reserves the right to decide disclosure or permit access.

The audit report shall fulfill the requirements of ISO/IEC 17021 Clause 9.4.8 (Audit report). In case of audit in multiple sites, audit reports may be in one report.

## 2) Review of audit reports

CBs shall conduct thorough technical review of audit reports prior to making a decision on granting, suspending, withdrawing or renewing of certificate. To review effectively, CBs shall ensure that:

- (1) reviewers are impartial, technically capable of understanding the report, and have competence to judge of the report complies the Scheme,
- (2) audits are implemented by properly qualified auditors, and can be explained to be assessed against all the applicable requirements in this Scheme, using the related records kept during the audit,
- (3) the report covers the scope applied by the organization, and evidence that the audit fully covers the target scope is confirmed,
- (4) nonconformity is fully identified, and effective corrective action is taken against the nonconformity.

### 4.3.4 Registration of certified organizations

CBs shall inform JFSM certified organizations' data immediately after granting or changing certificate status, using JFSM format ("C certified registration form"). CBs shall inform JFSM detailed information for each month by fifteenth of next month. CBs shall make an agreement with organizations that JFSM announces information:

- 1) Name and address of the certified organization (in English),
- 2) Categories, products, manufacturing lines and manufacturing area (manufacturing lines and manufacturing area shall be specified if applicable),
- 3) Effective date of the certificate,
- 4) Expiry date of the certificate,
- 5) Certificate status (i.e. suspension or withdrawal), and its date, if any.

### 4.3.5 Notification of information that affects the certificate

CBs shall have an agreement with certified organizations that ensure CB and JFSM are informed of any significant food safety incidents, such as litigations against the organization in food safety or legal responsibility, product recalls, or others until initial response are taken at the latest. CBs shall report the effect of the issue on the certificate to JFSM without delay. The CB shall take proper measures such as extra audit to evaluate and confirm the effect on the certificate, and take proper action such as suspension of certificate. The CB shall notify JFSM the result without delay. The CB shall have procedures in place to keep the completeness of the certificate after the notification.

In the event of changes which have effect on the requirements such as significant changes that could affect the safety of product or changes of management of the organization, or in case the CB finds out any evidence that there are any problem with conformity to the requirements, CB shall reevaluate the organization and audit.

#### 4.3.6 Registration Fee

CB shall ensure that annual registration fee that JFSM charges to the certified organization is paid to JFSM via the CB is clearly described in the agreement with the certified organization. (The amount of annual registration fee and ways of payment is separately specified by JFSM.)

### **4.4 Requirements on Personnel**

#### 4.4.1 Personnel competence

CBs shall employ proper personnel who have appropriate competence in management, administrative, technical and auditing functions.

Regardless of the scope of accreditation, CBs shall have systems and procedures in place to ensure that auditors conducting audits have competence described in ISO/IEC 17021, ISO/TS 22003 and the requirements specified by JFSM.

#### 4.4.2 Personnel Records

CBs shall update and retain records regarding the qualifications, training and job experience of personnel involved in certification activity. Records shall include:

- 1) Name and address,
- 2) Belongs and title,
- 3) Degree and job experience,
- 4) Experience and training relevant to the requirement in this Scheme,
- 5) Experience in auditing / consulting (if applicable).

All records shall be dated.

#### 4.4.3 Conflict of interest

CBs shall make a contract with all staff involved in certification activities including:

- 1) Compliance to the rules of the organization, especially confidentiality and independence from vocational or personal interests,
- 2) Information on any personal conflicts of interest.

#### 4.4.4 Notification to personnel

CBs shall notify relevant requirements (including ISO/IEC 17021 and ISO/TS 22003) to the personnel involved in this Scheme.

#### 4.4.5 Requirements on auditors

##### 1) Auditor competence

Regardless of the scope of accreditation, CBs shall have systems and procedures in place to ensure that auditors conducting audits comply to the competence described in ISO/IEC 17021 and ISO/TS 22003, and requirements specified by JFSM.

CBs shall be able to demonstrate auditor's competence (regardless of employee or contractor) in each category specified by JFSM. The competence shall be reevaluated every three years through the audit in a food-related organization.

##### 2) Job experience of auditors

Auditors shall comply the following requirements on job experience:

- (1) Five years experience as a full-time employee in food related industry, including at least two years work in quality assurance or food safety section in food production or manufacturing, retailing, inspection, enforcement or the equivalent,
- (2) This period may be reduced to two years experience if the competence of the auditor is evaluated by an examination developed and provided by JFSM. The examination is conducted following the procedure specified by JFSM separately.

##### 3) Auditor training

(1) Auditors shall receive following training in formal:

- a) Auditors shall successfully complete a training course (one week / more than forty hours, in principle) on auditing techniques based on quality or food safety management system,
- b) Auditors shall successfully complete a training course (at least two days or equivalent) on HACCP based on the principles of Codex Alimentarius or equivalent, and be able to demonstrate competence in the understanding and application of HACCP principles,
- c) Auditors shall successfully complete training on this Scheme provided by JFSM,
- d) All relevant documents on training received shall be recorded and retained.

(2) Auditor's training program shall incorporate:

- a) an evaluation of knowledge and skills for each product category on which the auditor is expected to work,
- b) an evaluation of knowledge on food safety, HACCP, prerequisite program and the ability to access and apply relevant laws and regulations,
- c) a certain period of supervised training to cover the assessment of quality / food safety management systems and HACCP, category-specific audit techniques and knowledge,
- d) certificate of the training program issued by the assigned competent reviewer.

##### 4) Audit experience

CBs shall have an auditing skill assessment program. This program shall include, as a minimum, that auditors' performance are assessed in accordance with the CB's written annual program which includes at least five on-site audits (ten or more days) at different food-related organizations against the GFSI recognized schemes. This audit experience and performance assessment becomes a basis to comply

the requirements of this Scheme.

5) Continuing professional development

CBs shall have all auditors access to updated information on category best practice, food safety, technical developments, and relevant laws and regulations. CBs shall have written records on all relevant training received by auditors.

6) Extension of category

In order to extend the audit scope of auditor, the CB shall have the auditor receive a training program on the new category and conduct supervised audits to evaluate the competence on the new category.

Information on the auditor competence, qualification, training and field of experience is listed in Annex 3.

## **Annex 1 (Procedure)**

### **Integrity Program**

Objective: This document specifies the details of "Integrity Program" defined in JFS-C Certification Scheme Document, clause 2.6. JFSM shall, in accordance with this program, make efforts in maintaining integrity of the certification operations by this Scheme.

#### **1. Monitoring of Accreditation Bodies**

- JFSM attends the accreditation committee in relation to this Scheme.
- JFSM conducts AB's office audit of the CB and the witness of the organization, if necessary.
- In case a complaint or appeal is received regarding the Scheme, JFSM attends AB's review committee to investigate the complaint or appeal.
- In the event that JFSM receives a complaint concerning an AB and JFSM identifies the necessity to investigate the AB, JFSM visits the office and conduct on-site investigation.

#### **2. Monitoring of Certification Bodies and certified organizations**

##### 1) Information from Certification Bodies

CBs shall submit JFSM the following information specified in the JFS-C Scheme Document, clause 4.2.8:

- (1) Governance structure of CBs
- (2) Information on Auditors
- (3) Information on certified organizations
- (4) Information on Audits

##### 2) JFSM's analysis on the above information

- (1) JFSM analyzes the above information for each CB or auditor. The analysis includes the followings:
  - a) Changes in number of registration for each category (to detect unreasonable spike of the number of registration in spite of the unchanged number of auditors),
  - b) Number of certification audits for each auditors (to detect a disproportionate number of certification registered by a part of auditor),
  - c) Number of certification for each region (to detect a disproportionate number of certification registered in specific areas),
  - d) Number of non-conformities (for each critical nonconformity and each minor nonconformity) for each chief auditor (to detect whether critical nonconformities are appropriately identified, or there are any auditor who gives only minor nonconformities),

- e) Number of nonconformities (for each critical nonconformity and each minor nonconformity) for each CB (to detect the tendency of minor nonconformities for each CB),
- f) Audit times for each audit (to detect the appropriateness of audit times considering product lines or number of workers).

(2) JFSM conducts the above analysis at least once a year to determine the necessity of office audit of the CB, the witness (to evaluate auditors' competencies) of the certification audits and additional information.

### 3) Additional investigation based on analysis result

#### (1) On-site investigation of Certification Bodies

Based on the analysis results, JFSM requests additional information, visits the office of the CB as necessary, and conducts investigation to identify the cause. Office visit is announced but not necessarily scheduled.

#### (2) On-site investigation of certified organization

In the event that any suspicion in the certificate of the organization arises in the above on-site investigation, JFSM visits the certified organization to investigate.

### 4) Handling of complaints related to Accreditation Bodies, Certification Bodies or certified organizations

(1) In receiving complaint relevant to ABs or CBs, JFSM requests ABs or CBs to investigate and report the result including the actions taken.

(2) In case JFSM receives complaints relevant to certified organizations, JFSM requests the CB to confirm and take actions. JFSM may visit to investigate the CB or the certified organization, as necessary.

(3) In case any suspicion in the certificate arises in the investigation, JFSM notifies the AB and requests to take actions.

### **3. Response to food safety or food fraud related media reports such as newspaper articles**

In the event that food related incident or food fraud found to have relation with the certificate of this Scheme, the following measures shall be taken:

- 1) JFSM gathers meetings with the AB and the CB to discuss actions to be taken. In case that the CB or the AB has already taken adequate actions against the issue, JFSM requests the CB or the AB to report the consequence of the event to JFSM. JFSM judges from the report, and reflects the decision to the subsequent monitoring programs of the CB and the AB.



- 2) In case JFSM is not satisfied with the actions taken by the CB or the AB, JFSM investigates by itself as necessary. The investigation conducted includes a visit to the AB, the CB or the certified organization according to the nature of the issue. The result is notified to the AB and the CB.
- 3) JFSM decides the necessity of disclosure of the investigation result concerning food incident or food fraud. In case JFSM considers that disclosure is appropriate, the result is announced on the JFSM website.

## **Annex 2 (Procedure)**

### **Calculation of minimum certification audit time**

Objective: This document specifies basis for calculation in determining the audit time necessary for the certification audit using the JFS-C certification scheme document. CBs shall calculate the audit time in accordance with this document.

Reference: ISO/TS 22003

#### 1. General

In calculating the audit time necessary for each site, as required in ISO/TS 22003, clause 9.1.4, the CB shall consider the minimum on-site time for initial certification given in Table1.

The minimum time includes stage 1 and stage 2 of the initial certification audit (refer to ISO/TS 22003, clause 9.2.3) but does not include the time for preparation of the audit nor the audit report.

In order to avoid redundancy where other relevant management systems are introduced and certified by the same CB, additional time is not required (see Table1). In case of a combined audit with other FSMS standard(s), the audit time can be reduced if justified and documented.

NOTE 1) Relevant management system means a quality or food safety management system which covers the same processes, products and services.

The minimum audit time is based on an audit of FSMS with single HACCP study. A HACCP study may be united as a single system in case hazards in hazard analyses of products and/or group of services are similar to each other, and hazards in hazard analyses of production technology and storage technology, if applied, are also similar to each other.

The minimum time for on-site audit of the product and/or service realization of the organization shall be fifty percent of the total minimum audit time (applied to all types of audit).

NOTE 2) Product and service realization processes do not include activities related to FSMS development, education and training, management, audit, review and improvement.

The number of auditors per audit day shall be considered the effectiveness of the audit, the resources of the organization being audited and the resources of the CB.

Additional meetings such as review meetings, coordination and audit team briefing are necessary, an increase in audit time may be required.

The number of workers involved in any aspect of food safety shall be expressed as the number of full-time equivalent workers (FTW). When an organization deploys workers in shifts and the products and/or processes are similar, the FTW number is calculated based on workers on the main shift (including seasonal workers) plus office workers.

The multi-site certification specified in ISO/TS 22003, clause 9.1.5 is not applied to this document.

If the scope of one specific client organization covers more than one sector, the audit -time calculation shall be taken from the highest recommended basic audit time. Additional tie is required for each HACCP study (i.e. a minimum of 0.5 audit day for each HACCP study).

Other factors may necessitate increasing the audit time (e.g. number of product types, number of product lines, product development, number of critical control points, conditions under control of Good Manufacturing Practice (GMP), building area, infrastructure, in-house laboratory testing, need for a translator).

## 2. Calculation of minimum initial certification audit time

2.1 The minimum audit time for a single site,  $T_S$ , expressed in days, is calculated as follows:

$$T_S = (T_D + T_H + T_{MS} + T_{FTW})$$

where

$T_D$  is the basic on-site audit time, in days;

$T_H$  is the number of audit days for additional HACCP studies;

$T_{MS}$  is the number of audit days for absence of relevant management system;

$T_{FTW}$  is the number of audit days per number of workers.

The audit time required for GMP is not taken into consideration in the above calculation. CBs shall determine, in the event that GMP audit is deemed necessary, calculate and add the appropriate audit time.

2.2 The audit time for each site in addition to the main site, is calculated according to Table 1 with a minimum of 1.0 audit day per site. When properly documented and justified, a reduction can be made for a less complex organization measured by number of employees, size of the organization and/or product volume or within sectors having a  $T_S$  time of less than 1.5 audit days.

Table 1: Minimum initial certification audit time

Sector	Basic on-site audit time, in audit days $T_D$	Number of audit days for additional HACCP studies $T_H$	Number of audit days for absence of relevant management system $T_{MS}$	Number of audit days per number of workers $T_{FTW}$
E/L	1.50	0.50	0.25	1 to 19 = 0 20 to 49 = 0.5 50 to 79 = 1.0

				80 to 199 = 1.5
				200 to 499 = 2.0
				500 tot 899 = 2.5
				900 to 1299 = 3.0
				1300 to 1699 = 3.5
				1700 to 2999 = 4.0
				3000 to 5000 = 4.5
				> 5000 = 5.0

### 3. Calculation of minimum surveillance and recertification audit time

The minimum surveillance audit time shall be one-third of the initial certification audit time, with a minimum of one audit day. The minimum recertification audit time shall be two-thirds of the initial certification audit time, with a minimum of one audit day. When properly documented and justified, a reduction to the minimum can be made in a less complex organization measured by number of workers, size of the organization and/or product volume or within categories having an initial minimum audit time of less than 1.5 audit days.

## Annex 3 (Informative)

### Auditor Competence

#### 3.1 Auditing Skills and Knowledge

Task	Required Auditor Knowledge	Required Auditor Skills
<p><b>1.1 Plan and organize work effectively</b></p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• terms and definitions applied to auditing of the JFS-C Certification Scheme</li> <li>• the principles of auditing as outlined in ISO/IEC 17021:2011, ISO 19011:2011 and GFSI scheme management guidelines</li> <li>• the objectives and methodology involved in an audit of the JFS-C Certification Scheme</li> <li>• the key activities involved in a food safety audit program</li> <li>• the roles and responsibilities of auditors, CBs, and auditee personnel</li> <li>• management of an audit program</li> <li>• initiating an audit of the JFS-C Certification Scheme</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 -C Certification Scheme 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>
<p><b>1.2 Conduct the audit within the agreed timeframe</b></p> <p>The timeframe for the audit of the JFS- C Certification Scheme is</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 -C Certification Scheme as a systematic, independent, and documented process for obtaining</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> </ul>

<p>usually set by the CB. However, the auditor shall have the knowledge and skills to effectively manage the time within the established timeframe.</p>	<p>relevant audit evidence and evaluating it objectively to determine the extent to which the system criteria are met</p>	<ul style="list-style-type: none"> <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> <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>
<p><b>1.3 Communicate with auditee personnel at all levels</b></p>	<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> </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- C Certification Scheme</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 -C Certification Scheme</li> <li>• maintain objectivity during the audit process</li> </ul>

	<ul style="list-style-type: none"> <li>• separation of auditing from consulting</li> <li>• self-awareness of professional and technical limitations</li> </ul>	<ul style="list-style-type: none"> <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> <li>• understanding of non-verbal communications, personal expression, and body language</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> <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</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• identify and prioritize audit activities in the context of the JFS -C Certification Scheme 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</li> </ul>

	will not necessarily be totally random and there will not always be time to take a statistically valid sample)	written position descriptions <ul style="list-style-type: none"> <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>	Knowledge of: <ul style="list-style-type: none"> <li>· vocabulary and language of food safety auditing</li> <li>· the principles and elements of the JFS -C Certification Scheme</li> </ul>	Ability to: <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>	As per 1.1, 1.2, 1.3, plus the following additional knowledge requirements: Knowledge of: <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-C Certification Scheme</li> </ul>	Ability to: <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</li> </ul>



		<p>standard, and the explanation</p> <ul style="list-style-type: none"> <li>· verbally communicate non-conformances as they are observed and at closing meeting without offering solution</li> </ul>
<p><b>1.8 Prepare written audit reports, follow-up and conclusions</b></p>	<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 -C Certification Scheme</li> <li>· appropriate corrective actions for identified nonconformities</li> <li>· CB 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>

### 3.2 Technical Skills and Knowledge

#### 2.1 Food Safety Management (FSM) Requirements

Task	Required Auditor Knowledge	Required Auditor Skills
<p>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.</p>		
<p><b>FSM 1 Food safety management system general requirements</b></p>	<p>HACCP knowledge requirements, plus knowledge of:</p> <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>	<p>HACCP skills requirements, plus the ability to:</p> <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>
<p><b>FSM 2 Food safety policy</b></p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• the purpose, objectives, content and application of a food safety policy as defined by the JFS -C Certification Scheme</li> </ul>	<p>Ability to:</p> <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>
<p><b>FSM 3 Food safety manual</b></p>	<p>Knowledge of:</p> <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</li> </ul>	<p>Ability to:</p> <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</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	sector <ul style="list-style-type: none"> <li>• food safety regulations for a given industry sector</li> </ul>	documentation within a facility <ul style="list-style-type: none"> <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> <li>• regulatory and legal requirements related to organizational structure and location</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effective implementation of documented job functions</li> <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>	Knowledge of: <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>	Ability to: <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</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
		commitment with senior management • document the lack of management commitment in the audit reports
<b>FSM 6 Management review</b>	Knowledge requirements under FSM5 Management Commitment, plus knowledge of: <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>	Skills requirements under FSM 5 Management Commitment, plus the ability to: <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>	Knowledge of: <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 implement, maintain and improve the food safety system</li> </ul>	Ability to: <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>
<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 Specification control of purchased or provided items and services</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</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
		contracts
<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>
<b>FSM 12 Nonconformity control</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:	As per FSM1 Food safety management systems general requirements, plus the following skill requirements:

Task	Required Auditor Knowledge	Required Auditor Skills
	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>	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 20 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 21 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> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
		<ul style="list-style-type: none"> <li>• verify the disposition of product assessed using equipment that is out of calibration</li> </ul>
<b>FSM 22 Food defense</b>	Knowledge of: <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> <li>• typical food defense situations</li> </ul>	Ability to: <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> <li>• identify gaps in food defense procedures</li> </ul>
<b>FSM 23 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 24 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 25 Analysis of input materials</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> </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 used</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>

	<ul style="list-style-type: none"><li>• verification procedures to ensure the effectiveness of the HACCP-based system</li></ul>	
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## 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 Design, construction and layout of facilities, equipment and production</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 Manufacturing and storage area specifications, and utility management</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>

Task	Required Auditor Knowledge	Required Auditor Skills
<b>GMP 5 Devices and tools</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: Knowledge of: <ul style="list-style-type: none"> <li>• effective preventive and corrective maintenance programs for a given industry sector</li> </ul>	As per GMP 1 and GMP 3, plus the following skill requirements: 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, chemical and biological product</b>	As per HACCP 1, plus the following knowledge requirements:	As per HACCP 1, plus the following additional skill

Task	Required Auditor Knowledge	Required Auditor Skills
<b>contamination risk</b>	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>	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> <li>• biological hazards and control methods in given industry sectors</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> <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>	Knowledge of: <ul style="list-style-type: none"> <li>• product identification and traceability protocols and practices</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effectiveness, communication, and application</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	<ul style="list-style-type: none"> <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>of identification and traceability procedures</p> <ul style="list-style-type: none"> <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 and ice management</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</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-</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	<p>personal hygiene</p> <ul style="list-style-type: none"> <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>harvest washing, and personal hygiene</p> <ul style="list-style-type: none"> <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>
<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</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</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	and pest control chemicals	<p>management procedures employed</p> <ul style="list-style-type: none"> <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> <li>• risks offered by packaging materials in differing climatic conditions (e.g., chemical migration)</li> <li>• food security in transit</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>
<b>GMP 16 Personnel hygiene and health management</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</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</li> </ul>



Task	Required Auditor Knowledge	Required Auditor Skills
	<p>communicable diseases</p> <ul style="list-style-type: none"> <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>verification protocols</p>
<p><b>GMP 17 Education and Training</b></p>	<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>

### 3.3 Behavior and Systems Thinking

Tasks	Required Auditor Knowledge	Required Auditor Skills
<p><b>3.1 Auditor Conduct and Behavior</b></p> <p>Includes:</p> <p>Personal behavior</p> <p>Audit leadership</p>	<p>Knowledge of:</p> <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>	<p>Ability to:</p> <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 form an audit team</li> <li>• recognize conflict of interest</li> <li>• conduct a self-assessment and develop continuous improvement strategies</li> </ul>

Tasks	Required Auditor Knowledge	Required Auditor Skills
<p><b>3.2 Systems Thinking</b></p> <p>Includes:</p> <p>Problem solving</p> <p>Critical thinking</p> <p>Root cause analysis</p>	<p>Knowledge of:</p> <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 performance data and information from a variety of sources</li> <li>• the methodology, tools and techniques of root cause analysis</li> </ul>	<p>Ability to:</p> <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>
<p><b>3.3 Organizational Behavior</b></p> <p>Includes:</p> <p>Business and organizational practices</p>	<p>Knowledge of:</p> <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>	<p>Ability to:</p> <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>

### 3.4 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> </ul>

		<ul style="list-style-type: none"> <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>
<p>L Production of (Bio) Chemicals (Additives, Vitamins, Minerals, Bio-cultures, Flavourings, Enzymes and Processing aids)</p>	<ul style="list-style-type: none"> <li>• A degree in a food related, bio-science or chemical engineering discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.</li> </ul>	<p>Experience is required in the following industry sectors;</p> <ul style="list-style-type: none"> <li>➤ Fermentation Technology</li> <li>➤ Chemical Engineering</li> <li>➤ Biochemical Engineering</li> </ul>