JFS-C Certification Scheme Document

Version 2.3

Japan Food Safety Management Association

April, 2018

Table of Contents

1. Scheme Overview

1.1. Objective

It is self-evident that 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 of the Scheme

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

1.3. Features of the Scheme

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. Guidelines are 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 wishing to improve their food safety management in accordance with their own food safety levels.

1.3.2 Worksite focused top-down management system

It is important for top management of the organization to steadily commit 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' opinions and properly utilizes them. 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' opinions encourages the workers to improve their moral and gain motivations.

1.3.3 Allowance supported by science and technology

This Scheme requires a scientific basis approach. In other words, this Scheme allows the range of interpretations as far as scientifically and experimentally supported.

1.3.4 Consistency with international standards such as Codex Alimentarius, ISO Standards and the GFSI Benchmarking Requirements

Nowadays, the "General Principles of Food Hygiene[1]"of the Codex Alimentarius Commission is a common approach on food safety worldwide. ISO has also 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 the "GFSI BR") that were formulated by worldwide food related experts, and ensures consistency with them.

---

[1] "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 The following international standards are applicable to this scheme:

ISO/IEC 17011:2017 Conformity assessment -- Requirements for accreditation bodies accrediting conformity assessment bodies

 ISO/IEC 17021-1:2015 Conformity assessment -- Requirements for bodies providing audit and certification of management systems

ISO/TS 22003:2013 Food safety management systems -- Requirements for bodies providing audit and certification of food safety management systems

They are hereinafter referred to as "ISO/IEC 17011," "ISO/IEC 17021-1" and "ISO/TS 22003" respectively.

1.4.2 The following standard is applied to certify organizations:

・JFS-C Standard version 2.3

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

"Processing Sector (E)" includes the 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, at the moment, one category as follows:

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

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

1.5. Logo Use

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

2. Regulations for Certification Program Owner

2.1 Certification Program 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 consists of the Board of Directors, the Board of Councilors, the Inspector(s) and the Secretariat. Rules and regulations concerning each function are stipulated in the articles of incorporation. The main responsibilities of each function are as follows:

1) The Board of Directors is responsible for deciding the business of JFSM including the approval of this Scheme, the JFS-C standards, Guideline for JFS-C standard, JFS-C Standard Interpretations, and other operational standard documents for this Scheme (hereinafter collectively referred to as the "JFS related documents").

2) The Board of Councilors is responsible for resolving important matters concerning the management of JFSM, including selection and dismissal of directors and inspectors.

3) The Inspector(s) is responsible for auditing the execution of the duties of the directors.

4) The Secretariat is responsible for handling the paperwork of JFSM.

2.2.2 To operate this Scheme, JFSM is entitled to establish a working group composed of technical experts on approval of the Board of Directors. JFSM establishes the Stakeholder Committee as an advisory body.

2.2.3 The Board of Directors appoints a representative from the Secretariat who is in charge of communication with Accreditation Bodies (ABs) and Certification Bodies (CBs).

2.3 Development and Revision of the JFS-C Standard and the Scheme

2.3.1 JFSM is responsible for developing and revising the JFS-C standard and the Scheme (hereinafter collectively referred to as the "JFS-C documents"). The copyright of the JFS-C documents belongs to JFSM. The procedure of developing and revising the JFS-C documents is as follows:

1) The Secretariat drafts a text of JFS related document. A working group gives a technical advice to the Secretariat for the preparation of the draft as necessary.

2) The Secretariat makes the draft text publicly available on the JFSM website and calls a comment from the public for a certain period of time.

3) Taking into consideration all the comments from the public and asking advices from the working group as necessary, the Secretariat revises the draft text.

4) The President asks for advises and/or opinions to the draft text from the Stakeholder Committee.

5) The Secretariat makes the final draft, considering the advises and opinions from the Stakeholder Committee.

6) The Board of Directors approves the final draft to enter into force.

7) JFSM appropriately translates the JFS related document into English and publishes it under the approval from the Board of Directors.

8) JFSM publishes approved documents on JFSM website.

9) JFSM informs details of revision to contracted ABs and CBs without delay.　ABs and CBs shall correspond to the revision within a timeframe set by JFSM.

2.3.2 JFSM holds the JFS-C Certification Scheme harmonization meeting (hereinafter called as the "harmonization meeting") at least once a year.　The objectives of the harmonization meeting are:

　　1) to ensure the consistency of audits and certification processes of this Scheme,

　　2) to hear opinions on the management of this Scheme, the JFS related documents,

　　3) to exchange technical information on the competence of auditors, and

　　4) to hold a workshop for improving the competence of auditors.

2.3.3 JFSM reviews the JFS related documents at least once a year through the management review and the internal audit and revises those documents as necessary.　In reviewing, JFSM assesses whether the scheme's standard is current and addresses any issues of opinions, concerns and complaints raised by stakeholders.　JFSM documents results of the review and any arising actions.

2.4 Stakeholder Committee

2.4.1 Structure

The Stakeholder Committee is an advisory body to give independent technical advices and make opinions from the viewpoint of stakeholders upon the consultation from the Board of Directors or the President. The Stakeholder Committee members are designated by the President upon the approval of the Board of Directors.　Members of the Committee consist of the following:

　　　(1) representative(s) of the manufacturing industry of food and food materials and ingredients,

　　　(2) representative(s) of the distribution industry,

　　　(3) representative(s) of consumers,

　　　(4) representative(s) of CBs and ABs,

　　　(5) expert(s) in food safety,

　　　(6) expert(s) in specific issues (where necessary, technical experts relevant to specific category and/or representative(s) of the relevant industry).

2.4.2 Functions and responsibilities

As an advisory body, each member of the Stakeholder Committee is responsible for giving technical advices and opinions from the viewpoint of stakeholders to the Board of Directors.　In addition, the Stakeholder Committee shall review this Scheme at least once a year and report the result to the Board of Directors.

2.4.3 Records of meetings

The Stakeholder Committee shall record the result of the meetings of the Stakeholder Committee.

2.5 Response to Opinions, Questions and Complaints from Stakeholders

2.5.1 JFSM establishes full-time-operating contacts to receive opinions, questions, appeals 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 JFS related documents, and the like.   JFSM stipulates a provision for handling of appeals and complaints concerning this Scheme.

2.5.2 JFSM makes a report to the Board of Directors at least once a year on the results of analyzing opinions, questions, appeals and complaints received at the contact of JFSM.

2.6 Development and Implementation of Integrity Program

JFSM develops and implements an Integrity Program (see Annex 1) in order to ensure that ABs and CBs conform to all the requirements of this Scheme and manage their activities effectively.

2.7 Audit Frequency and Audit Duration

JFSM specifies audit frequency and duration in Clause 4.3.2 "Implementation of audits.".   Calculation of the audit duration is in Annex 2.

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 belonging CBs.

2.9 JFSM Activity Report

JFSM prepares its own activity report once a year and sends it to the Stakeholder Committee members, contracted ABs and CBs and the GFSI technical manager.

3. Requirements for Accreditation Bodies

3.1 Objective

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

3.2 Requirements for Accreditation Bodies

3.2.1 ABs that accredit CBs that provide the certification under this Scheme shall fulfill the requirements of ISO/IEC 17011 and the additional requirements described in Section 3.3 of this document, and be members 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 to conform to ISO/IEC 17021-1, ISO/TS 22003, and GFSI Benchmarking Requirements.

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 fulfill the requirements below as well as all the additional requirements stipulated in ISO/IEC 17011.

3.3.1 ABs and JFSM

1) Application for accreditation [Additional requirements to clause 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]

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

3) Information sharing

(1) 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.

(2) Shared information is as follows, although not limited to:

a) accreditation status (suspension, withdrawal, category reduction, accreditation period),

b) complaints that could jeopardize the accreditation status,

c) serious nonconformities (nonconformities which have potential impact on the validity of accreditation)

4) Appointment of responsible person of this Scheme

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

5) 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.

6) Communication [Additional requirement to clause 5.2.1]

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

3.3.2 ABs and CBs [Additional requirement to clause 8.2.4]

Under the revision of the requirements of this Scheme, ABs shall communicate and collaborate with JFSM to identify an appropriate review process for CBs to ensure that CBs know and conform to 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 of them.   In case any of the complaints has serious influence on ABs or CBs, ABs shall immediately inform JFSM of that effect and take proper action.

3.3.5 Internal audit [Additional requirement to clause 5.7.2]

ABs shall include their own accreditation activities based on this Scheme into the scope of their 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 the 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 the training of this Scheme and the JFSM-approved HACCP training course, and one of the team member has a work 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) At least two or ten percent of auditor files, whichever more,

b) 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 countries (regions), categories and assessors.

(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 duration,

c) Auditor's records (notes or checklists) 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 the Certificate.

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

(4) Prior to the assessment, ABs shall ask directly to JFSM if there is any evaluation or relevant information concerning CBs.　ABs shall make an assessment 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 treated effectively and taken appropriate corrective actions.

(5) "Appropriate criteria documents" referenced 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:　:

a) At least one auditor file,

b) At least one certification site file.

This requirement is also applied to the case of category extension (7.12 of ISO/IEC 17011)

Certification site files shall be sampled regardless of countries (or regions), 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 checklists) 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 the 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 a CB applies more than one scope of activities (i.e. categories), the number of sampling shall be set properly for the scope of application.

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]

Office assessment shall be performed annually.   Witness shall be performed once a year or more for each CB.   In case CBs have twenty or more auditors and/or 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 problem 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 a 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 conforms 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 that a CB does not conform to the requirements, JFSM informs the AB accordingly. The AB shall investigate the issue and take proper actions (including suspension or withdrawal of accreditation, or reduction of the 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 and version of this Scheme and applicable 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) through 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 Objective

This Chapter stipulates the 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 the timeline of obtaining accreditation to JFSM.   JFSM makes decisions on measures to take.

CBs shall provide information on their own accreditation status to JFSM.   In the event that the CB's accreditation is suspended or withdrawn, the CB shall report it 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 to JFSM.

4.2.4 Fees

1) Application fee

CBs shall 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 make the following information publicly available.   In addition, the information set forth in 2) below shall be disclosed on the CBs' website:

1) Legal status,

2) Accreditation scope (version of the Scheme Document, product categories) (CBs shall differentiate the information publicly on their website which certification services are accredited and which services are not.),

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 handling procedures,

7) A list of certified organizations.

4.2.6 Quality system

1) CBs shall operate their own effective quality systems.   The quality system shall be documented and applicable 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 for reporting to the CB's top management on the performance of the quality system improvement based on the management review.

2) The quality system shall be documented in the quality manual which contain, as a minimum:
   (1) Quality policy,
   (2) Legal status of the CB (ownership, inter-organizational control structure and functional organization chart),
   (3) A committee that manages the certification process with its structure, roles and procedures,
   (4) Management review policy and procedures,
   (5) Document control procedures,
   (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 their 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 to be issued to the certified organizations prior to commencement of certification activity.　The form shall include the following information:

1) Applicable Standard (with its version clearly described),

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 certification,

5) Expiry date of the certification,

6) Logos of JFSM, the AB and the CB,

7) Signature of the CB representative and the position of the signatory,

8) Statement of "Conformity to the JFS-C Standard [Sector: E/L] (Requirements for Organizations)".

The certificate shall be issued on the manufacturing site basis.

4.2.8 Communication between JFSM and CBs

1) Information which a CB shall submit to JFSM

(1) Information on the structure of CB

A CB shall submit the information on its structure to JFSM immediately after contracting with JFSM according to the method specified in (5) below.　The CB shall notify JFSM of changes on the CB's ownership composition, management personnel, management structure, regulations, or others according to the method and deadline specified in (5) below.

(2) Information on auditor

A CB shall submit the information on auditors to JFSM immediately after contracting with JFSM according to the method specified in (5) below.　The information includes details on qualifications of auditors who engage in the JFS-C certification, their training history, job experience, and auditable category.　The CB shall notify JFSM of any changes on the information on auditors according to the method and deadline specified in (5) below.　The CB shall confirm and update the auditors' information at least once a year.

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

(3) Information on certified organizations

A CB shall submit the information on a certified organization to JFSM after certifying the organization according to the method and deadline specified in (5) below.

(4) Information on audits

A CB shall submit the information on audits to JFSM according to the method and deadline specified in (5) below.

(5) Method and deadline to submit the information

A CB shall submit the information set forth from (1) to (4) above by means of storing related data on the JFSM database in accordance with the JFSM Database Operation Manual (for CBs).   The CB shall update the data on the monthly basis by the 15th of the following month.   In addition, the CB shall submit relevant documents regarding the information of (1) and (2) above to JFSM.

2) Discussion between JFSM and the CB

In the event that the range of certification services offered by a CB is wider than those accredited and there is any ambiguity in relation to the scope of services offered by the CB, JFSM consults with the CB concerned and resolve the issue.

In the event that JFSM notices possible conflict or problem which may cause JFSM and/or GFSI fall into dispute, JFSM discusses with the CB on the issue, agrees on appropriate actions with the CB, and notifies GFSI of this effect.

4.2.9 Audit to CBs and investigation to certified organizations

To enable JFSM to audit CBs and to 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 stipulate JFSM's investigation in advance in the agreement with the organizations.

4.2.10 Recommendation to CBs

CBs have the right to accept or reject a JFSM's recommendation related to the Certification Scheme.   In case the CB rejects the recommendation, the CB shall describe the reason of rejection in a document and notify it to 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 Harmonization Meeting

CBs shall attend the harmonization meeting to be held by JFSM.

4.2.12 Changes of the Scheme

1) Notification to CBs

CBs shall notify relevant parties (e.g. certified organizations, auditors and technical experts) changes on this Scheme (including additions and changes of the rules) 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, in principle, within four months after receiving the notification of changes from JFSM.   In case of revisions in the requirements for organizations, JFSM specifies a transition period in each case, excluding the case of 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 the 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 all the stages of conformity assessment based on the JFS-C Standard (Requirements for Organizations).　In addition, CBs shall assess the organizations to ensure conformity to all the requirements relevant to this Scheme.

4.3.2 Implementation of audits

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 made (Reference: ISO/IEC 17021-1).

CBs shall determine the frequency and the duration of audit in accordance with the followings:

(1) Auditors shall implement audits of each site for all category EI, EII, EIII EIV and L at least once a year to assess all the elements in the Standard.

(2) Audit frequency shall be determined considering the previous audit history, concerns about conformity with the Standard, seasonality of product, significant capacity increases, structural changes, changes in product technology or changes in product type.

(3) Regardless of the audit frequency defined in (1) and (2) above, auditors shall conduct additional surveillance audits in the event that there is any evidence or suspicion as nonconformity in an organization.

(4) The audit duration shall be determined in accordance with Annex 2.

(5) At least one unannounced audit shall be conducted to each site within the three-year certification cycle.

2) Nonconformity

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

a) Critical nonconformity: to cause a direct impact on food safety, or legality being at stake which could seriously affect food safety.

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

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

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

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

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

d) Conformity: Requirements are fully satisfied.

(2) Corrective actions against nonconformity and their deadlines

   a) Critical nonconformity

   In case any critical nonconformity is found during an initial audit, the audit shall be suspended. The audit shall be resumed after the critical nonconformity is eliminated.

   During a recertification and/or surveillance audit, the certification shall be suspended and the organization shall be suspended to take and complete a corrective action within six months. The audit will be reconducted after the corrective action has been completed.

   The certification expires unless the critical nonconformity is eliminated when the expiry date of the certification has passed. Nevertheless of that, if the corrective action has been accomplished within the defined period of corrective action (six months) and its conformity is assessed during the recertification audit, the certification does not lose its effect. In this case, the expiry date of the certification starts from the original three-year cycle.

   b) Major nonconformity

   In case any major nonconformity is found, the organization shall be requested to take a prompt correction and a corrective action and, in principle, confirmed with the action completed within thirty days.

   c) Minor nonconformity

   In case where any minor nonconformity is found, the organization shall be requested to take a correction and plan a corrective action within thirty days, in principle, and shall be confirmed with the action completed during the next audit one year later.

3) Confirmation of corrective actions

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

4.3.3 Audit report

1) Preparation of audit reports

   (1) An audit report is a record to prove that each auditor conducts an audit appropriately and verifies the conformity of each organization.   A CB shall have a clearly defined system in place for the preparation and issue of audit reports.   The CB shall make and issue an audit report to each organization in accordance with such a system.

   The audit report shall include the followings:

      a) Details of audit duration

      b) Details of nonconformity and its evidence

      c) Audit type (announced or unannounced)

      d) Details required in ISO/IEC 17021-1, clause 9.4.8

   (2) The audit report shall be treated confidential. Each organization has the right to provide or disclose an audit report to the third party. In principle, CBs shall obtain a written consent from each organization when intending to provide or disclose the audit report to the third party.

   (3) The audit report and other documents related to the audit shall be provided to JFSM and disclosed to the GFSI benchmarking team in order to prove that an auditor conducted the audit appropriately.   CBs shall obtain a written consent in advance from each organization to disclose the audit report to JFSM and the GFSI benchmarking team for the purpose of JFSM's integrity program and GFSI's benchmarking.

2) Review of audit reports

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

   (1) reviewers are impartial, technically capable of understanding the report, and have competence to judge the report conforming to the Scheme,

   (2) audits are conducted by properly qualified auditors, and can be explained of being 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 the evidence that the audit fully covers the target scope,

   (4) nonconformity is fully identified, and effective corrective actions are taken against the nonconformity.

4.3.4 Registration of certified organizations

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

4) Expiry date of the certification,

5) Certification status (i.e. suspension or withdrawal), and its date, if applicable.

4.3.5 Notification of information that affects the organization's certification status

CBs shall have an agreement with certified organizations that ensures CBs 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 by the time the initial response is taken at the latest. CBs shall report the impact of the issue on the certification to JFSM without delay. The CB shall take proper measures such as an extra audit to evaluate and confirm the impact on the certification and take proper actions such as suspension of certification. The CB shall notify JFSM of the result without delay. The CB shall have procedure in place to keep the completeness of the certification even after receiving such a notification.

In the event of changes which have an 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 is any problem with conformity to the requirements, CB shall reevaluate the organization and audit the conformity.

4.3.6 Registration Fee

CBs shall ensure the statement that the annual registration fee JFSM charges to the certified organization is payable to JFSM via the CB is clearly described in the agreement with certified organizations. (The amount of the annual registration fee and ways of payment are 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 a personnel who is in charge of a certification function specified in Annex A of ISO/IEC 17021-1 and Annex C of ISO/TS 22003 has competencies described in these Annexes and requirements specified by JFSM.

4.4.2 Personnel Records

CBs shall update and retain records regarding the qualifications, training and job experience of all personnel involved in certification activities. All records shall be dated. Records shall include:

1) Name and address,

2) Department and title held in an organization,

3) Qualification and educational background defined in Annex 4 and job experience,

4) Experience and training in the fields of competency required in this Scheme,

5) Experience in auditing / consulting (if applicable),

6) Details of performance appraisals for all staff members.

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) Declaration of information on any personal conflicts of interest.

4.4.4 Notification to personnel

CBs shall notify the relevant requirements (including ISO/IEC 17021-1 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 requirements described in ISO/IEC 17021-1 and ISO/TS 22003, and especially the requirements specified by JFSM.

CBs shall retain the evidence to support the auditor's competency in each registered category.   Auditor's qualifications, trainings and work experiences required for each category are defined in Annex 4.

In case a concern arises that an auditor may not have a required competency, JFSM requests the concerned CB to provide evidence to support the auditor's competency.   If the CB cannot provide enough evidence to support the auditor's competence in each category, JFSM will delete its registration of the category not supported.   CBs shall reevaluate an each auditor's competence every three years by an on-site witness audit against the JFS-C standard.

2) Auditors' qualifications, training and work experience

 Auditors shall conform to the following requirements:

> (1) Five year experience as a full-time employee in food related industry, including at least two year in quality assurance or food safety section in food production or manufacturing, retailing, inspection, regulatory body or the equivalent,

(2) Qualifications, trainings and work experiences per category as defined in Annex 4.

3) Auditor's training

(1) Trainer's training

a) CBs shall ensure that a trainer who is in charge of auditors' training completes the trainings provided by JFSM,

b) The trainer shall establish the training programs based on the training defined in above a) and provide them to auditors. The training programs include, as necessary, the followings:

(a) Knowledge of the version development of the JFS-C Standard and the JFS-C Certification scheme,

(b) Knowledge of the version development of the JFS-C Standard and the JFS-C Certification scheme,

(c) Knowledge of category-specific food safety

c) CBs shall assess the level of understanding of auditors who complete CB's training programs defined above b) by means of achievement test, interview or any other methods.

(2) Requirement for initial auditor registration

CBs shall confirm that an auditor completes the following trainings in advance of the initial registration:

a) A training course on auditing knowledge and skills based on quality management system or food safety management system and knowledge of the relevant laws and regulations (five days or forty hours, in principle),

b) A training course on knowledge and skills concerning the HACCP based on the principles of Codex Alimentarius or equivalent (at least two days),

c) Training program mentioned in (1) above.

(3) CBs shall record each auditor's training history and assessment of achievement to support that the auditor completes required trainings.

4) Audit experience

(1) Assessment program of auditing skills

CBs shall have a written program for the assessment of auditing skills of auditors (hereinafter called as "the assessment program") and assess their auditing skills and knowledge in accordance with the assessment program. CBs shall record the results of the assessment. This assessment program shall include the requirement in (2) and (3) below.

(2) Assessment program for initial registration

CBs shall assess auditor's auditing skills and knowledge regarding quality management system or food safety management systems, HACCP and category-specific food safety, by means of conducting supervised trainings for his/her initial registration.

(3) Assessment program for maintaining registration

For maintaining the auditor registration, CBs shall make each auditor conduct the following audits defined in a) or b):

    a) in principle, at least five on-site audits (ten or more days) at different food-related organizations against JFS-C standard,

    b) in case above a) cannot be achieved, at least one on-site audits against JFS-C standard and four on-site audits at different food-related organizations against the GFSI recognized standards (ten or more days in total).

(4) Re-assessment of auditing skills

JFSM confirms at least once a year whether each registered auditor meets the requirement of a) or b) above.   In case any auditor is unable to conform to the requirement, JFSM suspends his/her auditor's registration.   The CB concerned is allowed to reapply the auditor's registration to JFSM by reassessing the auditor's competence in accordance with the assessment program. The CB shall record results of the assessment and submit the record reassessment to JFSM with the re-application.

5) Continuing professional development

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

6) Extension of auditable category

In order to extend the auditable category, an auditor shall take a training program and conduct supervised audits on a new category.   The CB shall assess the results of the training program and the supervised audits, evaluate his/her competence on the new category, and sign off the auditor by the responsible person.

Annex 1 (Normative) Integrity Program

Objective: This document specifies the details of the "Integrity Program" defined in 2.6 of this Scheme document.　JFSM maintains the integrity of certification operations by this Scheme in accordance with this program.

1. Monitoring of Accreditation Bodies

・　JFSM attends the accreditation committee in relation to this Scheme.

・　JFSM accompanies AB's office assessment of the CB and the witness of the organization audit, if necessary.

・　In case a complaint or appeal is received regarding the Scheme, JFSM attends the AB's review committee to investigate the complaint or appeal.

・　In the event that JFSM receives a complaint concerning an AB and identifies the necessity to investigate the AB, JFSM visits the AB's office and conduct an on-site investigation.

2. Monitoring of Certification Bodies and Certified organizations

1) JFSM database analysis

   (1) JFSM analyzes each CB's data which the CB inputs into the JFSM database in accordance with 4.2.8 of this document.　The key performance indicators (KIPs) of this analysis include the followings:

     a) Changes in the number of registrations per category (to detect an unreasonable spike of the number of registrations in spite of the unchanged number of auditors),

     b) Number of certification audits per auditor (to detect a disproportionate number of certification audits conducted by particular auditors),

     c) Number of certification audits per region (to detect a disproportionate number of certification audits conducted in specific areas),

     d) Number of nonconformities per critical, major or minor nonconformity (to detect whether critical nonconformities are appropriately identified, or there is any auditor who raises only minor nonconformities),

     e) Number of nonconformities per critical, major or minor nonconformity, per CB (to detect the tendency of raising minor nonconformities per CB),

     f) Audit durations for each audit (to detect the appropriateness of audit durations with product lines or number of workers taken into consideration).

   (2) JFSM conducts the analysis defined in (1) above at least once a year and feedbacks the results of analysis to CBs with a written report.

2) Additional investigation based on the results of JFSM database analysis

    (1) Request for submitting additional documents

        JFSM requests additional documents in case that JFSM needs to investigate in detail.

    (2) On-site investigation of Certification Bodies

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

    (3) On-site investigation of certified organizations

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

3) Annual monitoring of audit reports

CBs shall submit copies of audit reports including related documents selected by JFSM once per year to JFSM.　JFSM may request additional documents in order to clarify the issues which are found in reviewing audit reports.

    (1) Purpose

        JFSM monitors the performance of CBs' audits every year by analyzing audit reports including related documents CBs submit to JFSM.　This monitoring includes the following:

      a) whether all standard requirements of this Scheme are checked in each audit,

      b) whether the conformity of each site is appropriately judged based on sufficient evidence,

      c) when nonconformity is raised to each site, whether it is based on sufficient evidence,

      d) whether appropriate verification is made to corrections and/or corrective actions taken by client organizations,

      e) whether the audit duration is reasonably calculated, and

      f) other matters related to the appropriateness of certification audit.

    (2) Selection of audits to be monitored

        JFSM selects audits to be monitored from certifications and recertification audits which are conducted from January to December in the year concerned, considering the results of JFSM database analysis mentioned in 2.1) above.　(The surveillance audit is excluded from this monitoring.)

        In principle, the number of audits to be selected from each CB is as follows:

Number of certification/ recertification audits	Number of audits selected
1 to 10	1
11 to 99	10% of certifications and recertifications (cut off the decimal point)
More than 100	10

(3) Documents submitted by CBs

CBs, as requested by JFSM, shall submit to JFSM the following documents related to certification and/or recertification audits:

a) audit report(s)

b) document(s) regarding audit plan (in case where the audit plan is not included in the audit report)

c) document(s) regarding the calculation of audit duration

4) Periodical office audit to CBs

JFSM conducts periodical office audits to each CB in addition to the on-site investigation mentioned in 2. 3) (1) above.

 (1) JFSM conducts an office audit to each CB once per 3 years, regardless of the results of JFSM database analysis mentioned in 2. 1) above.　JFSM requests CBs to submit documents as necessary in advance of the office audit.

 (2) JFSM verifies the followings during the office audit:

a) whether a CB implements certification processes in accordance with this Scheme,

b) whether a CB evaluates competence of auditors in accordance with this Scheme (especially. if a new auditor is evaluated appropriately, if registered auditors are evaluated and monitored continually)

c) whether a CB conducts on-going training for personnel involved in the certification activities.

d) whether a CB reviews and improves its certification system periodically.

e) whether a CB uses the JFSM logo in accordance with the JFSM rule.

 (3) Report of the office audit result

JFSM reports the result of the office audit to the CB concerned.

5) Handling of complaints related to ABs, CBs or certified organizations

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

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

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

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

In the event that the food safety incident or food fraud is found to have a 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.   Judging from the report, JFSM 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 the issue by itself as necessary.   The investigation to be conducted includes a visit to the AB, the CB or the certified organization according to the nature of the issue.   The result will be 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 will be announced on the JFSM website.

Annex 2 (Normative) Calculation of Minimum Audit Duration

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

Reference: ISO/TS 22003

1. General

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

The minimum audit 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 case a CB conducts an audit against JFS-C standard as well as an audit against ISO 9001 or ISO 22000 as a single audit, the CB is permitted to adjust an audit duration in order to avoid duplication of audit.

The minimum audit duration is based on an audit of Food Safety Management System with a single HACCP study.　A HACCP study corresponds to hazard analyses of products and/or a group of services and of similar production technologies and, if applicable, storage technologies.

The minimum time for on-site audit of the realization of the organization's products and/or services shall be fifty (50) percent of the total minimum audit duration (applied to all types of audit).

NOTE 1) Product and/or service realization processes do not include activities related to the Food Safety Management System development, training, management, audit, review and improvement.

The number of auditors per audit day shall be determined taking into consideration the effectiveness of the audit, resources of the organization being audited and those of the CB.

If additional meetings such as review meetings, coordination and audit team briefings are necessary, an increase in audit duration may be required.

The number of workers involved in any aspect of food safety shall be expressed as the number of equivalent full-time 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 applicable in this Scheme.

If the scope of one specific client organization covers two or more sectors, the audit duration calculation shall be based on the recommended highest basic audit duration.　Additional time is required for each HACCP study (i.e. a minimum of 0.5 audit man-day for each HACCP study).

Other factors may necessitate increasing the audit duration (e.g. number of product types, number of product lines, product development, number of critical control points, conditions under control of Good

Manufacturing Practices (GMP), building area, infrastructure, in-house laboratory testing, need for a translator).

2. Calculation of minimum audit duration for initial certification

2.1   The minimum total audit duration (T_S) for a single site shall be calculated and expressed in the number of man-days according to the following equation:

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

where

T_D is the basic audit duration to conduct an on-site audit;

T_H is the additional audit duration for HACCP studies (added if there are two or more HACCP studies);

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

T_{FTW} is the audit duration per number of workers;

T_{GMP} is the audit duration for GMPs

The minimum audit duration shall be 2 man-days.   Table 1 shows the minimum audit duration for initial certification in man-days in case of existing relevant management system.

Table 1 : Minimum initial certification audit duration

Sector	T_D	T_H (if applicable)	T_{FTW}	T_{GMP}	T_S
E/L	1.50	0.50	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 to 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	0.5	2.0

Note 1: T_H will be added by 0.5 man-day per additional HACCP study if there are two or more HACCP studies.

Note 2: 0.25 man-day as T_{MS} will be added if there is no relevant management system.

2.2   When part of the processing is conducted in a site other than the main site, 50% of the T_S man-days with T_{GMP} deducted shall be added for the audit of the subsite.

3. Calculation of the minimum surveillance and recertification audit duration

The minimum surveillance audit duration shall be at least one-third of subtotal consisting of T_D , T_H, T_{MS} and T_{FTW} plus T_{GMP}, with a minimum of two audit man-days.   The minimum recertification audit duration shall be at least two-thirds of subtotal consisting of T_D , T_H, T_{MS} and T_{FTW} plus T_{GMP}, with a minimum of two audit man-days.

T_{GMP} shall be 0.5 man-day or more.

4. Deviation from the minimum audit duration

In case where the audit duration is deviated from the minimum audit duration due to any special reason, a CB shall have evidence to support its validity.   The CB shall explain the validity with supporting evidence when required by JFSM.

Annex 3 (Informative) Audit Competence

3.1 Auditing Skills and Knowledge

Task	Required Auditor Knowledge	Required Auditor Skills
1.1 Plan and organize work effectively	Knowledge of: · terms and definitions applied to auditing of the JFS-C Certification Scheme · the principles of auditing as outlined in ISO/IEC 17021:2011, ISO 19011:2011 and GFSI scheme management guidelines · the objectives and methodology involved in an audit of the JFS-C Certification Scheme · the key activities involved in a food safety audit program · the roles and responsibilities of auditors, CBs, and auditee personnel · management of an audit program · initiating an audit of the JFS-C Certification Scheme · the purpose and conduct of a document review · planning for an on-site audit · types and forms of management systems and product systems, and the usefulness of the JFS -C Certification Scheme audits that fit within that context	Ability to: · organize audit timing based on audit duration · establish initial contact with the auditee · initiate an audit · confirm the audit objectives, scope, and criteria · determine the feasibility of the audit · 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) · prepare audit plans, checklists, sampling plans, and evidence forms necessary to meet the audit objectives · direct and support technical experts (if applicable) · develop the audit report format and distribution including the storage and confidentiality of audit reports · identify auditee contacts and communicate the audit plan and timetable to the auditee · review and/or research the history of the facility
1.2 Conduct the audit within the agreed timeframe The timeframe for the audit of the JFS- C Certification Scheme is	Knowledge of: · time management tools and techniques within the context of a site audit · an audit of the JFS -C Certification Scheme as a systematic, independent, and documented process for obtaining	Ability to: · apply time management tools and techniques that identify the individual tasks during the audit to meet the audit objectives · organize audit activities to prioritize matters of significance

usually set by the CB. However, the auditor shall have the knowledge and skills to effectively manage the time within the established timeframe.	relevant audit evidence and evaluating it objectively to determine the extent to which the system criteria are met	· prepare for the opening meeting, the audit, and the closing meeting
		· outline and direct the involvement of technical experts (if applicable) and auditee contacts within the timetable of audit duration
		· allow time for audit team meetings (if applicable), auditee contact, evidence consolidation and report writing in the timetable of audit duration 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
		· conduct an entry meeting that meets the meeting objectives within the scheduled time frame
		· conduct the audit according to the agreed timetable
		· conduct an exit meeting that meets the objectives within the scheduled time frame
		· agree the timetable for corrective actions and follow-up activities dependent on the risk of nonconformance
		· recognize where changes to the audit schedule are needed
1.3 Communicate with auditee personnel at all levels	Knowledge of: · interpersonal skills · negotiation techniques · language, religious, and cultural sensitivities · effective verbal and non-verbal communication strategies · 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 · objection management techniques · conflict management · separation of auditing from consulting	Ability to: · apply interpersonal and negotiating skills in the context of an audit of the JFS- C Certification Scheme · explain the purpose, scope, and methodology of the audit · establish a working relationship with the auditee that supports the intent and objectives of the food safety audit · communicate with all operational levels in the auditee food business that considers linguistic and technical skills, and the social customs within the business · talk to senior management and establish their level of commitment to the JFS -C Certification Scheme · maintain objectivity during the audit process

		· assess non-verbal communications
		· discuss audit findings openly and honestly with auditee personnel, without error or omission
		· explain technical findings at the appropriate management level within the auditee organization
		· present audit findings to auditee and management clearly, concisely, and objectively, citing the evidence of nonconformance
		· resolve areas of potential conflict with auditee management, within the context of the audit objectives
		· maintain auditee confidentiality
		· discuss the audit findings with only the agreed auditee personnel and/or audit client (if appropriate)
		· maintain composure, and avoid arrogance, anger or other negative behaviors
		· cite the evidence for nonconformities
		· identify and communicate issues without offering solution
1.4 Collect evidence by conducting interviews	Knowledge of: · interview and questioning styles and techniques · effective listening techniques · understanding of non-verbal communications, personal expression, and body language	Ability to: · select and interview appropriate staff at all levels within the auditee business to acquire valid audit evidence · use appropriate questioning techniques · listen to responses, and confirm responses
1.5 Collect evidence by observation and inquiry	Knowledge of: · observation techniques · verbal and non-verbal behaviors · techniques in use to detect or eliminate food safety hazards · statistical sampling techniques · focused (targeted) sampling (i.e. the concept that sampling	Ability to: · identify and prioritize audit activities in the context of the JFS -C Certification Scheme and food safety risk · identify and evaluate the application of technology for a given purpose · observe and analyze personal behavior and compare to written position descriptions

	will not necessarily be totally random and there will not always be time to take a statistically valid sample)	· identify problems or areas of concern and investigate to an acceptable level to establish conformity or nonconformity · apply appropriate sampling techniques to document and record review · adapt or modify sampling based on findings
1.6 Collect evidence by review of documentation and records	Knowledge of: · vocabulary and language of food safety auditing · the principles and elements of the JFS -C Certification Scheme	Ability to: · establish the appropriate quantum of relevant, valid data to be reviewed to form a conclusion · read, interpret and analyze documents and records · contextualize (i.e. relate the realities of the organization to the requirements of the standard)
1.7 Analyze, verify, and consolidate audit evidence and generate findings	As per 1.1, 1.2, 1.3, plus the following additional knowledge requirements: Knowledge of: · data analysis techniques · consolidation of data into meaningful evidence · identification of nonconformities through objective evidence · specifications of nonconformities and requirements for corrective action for the JFS-C Certification Scheme	Ability to: · interpret and summarize auditee documentation, technical standards and regulations relating to food safety and good management practice · confirm the sufficiency and appropriateness of audit evidence in the context of the requirements and the organization's food safety management system · verify the accuracy of acquired information · accurately record audit evidence as it is collected · consolidate audit evidence into findings that meet the objectives of the audit and the conformity level of the auditee · prepare levels of non-conformance (where applicable) · prepare non-conformance reports (where appropriate) that accurately explain the objective evidence (i.e. what was wrong with the system), the level of criticality of the non-conformance, the reference to the specific clause of the standard, and the explanation · verbally communicate non-conformances as they are

		observed and at closing meeting without offering solution
1.8 Prepare written audit reports, follow-up and conclusions	Knowledge of: ・ written communication techniques ・ knowledge of methods to identify strength as well as nonconformities and opportunities for improvement ・ negotiation techniques ・ technical terms and definitions for a given industry sector ・ scheme standard and audit template ・ audit template and reporting requirements for the JFS -C Certification Scheme ・ appropriate corrective actions for identified nonconformities ・ CB reporting requirements	Ability to: ・ prepare audit conclusions that identify strengths, opportunities for improvement, and nonconformities ・ prepare written audit reports that are concise and accurately present the audit findings ・ 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 ・ review and confirm the accuracy of written audit reports ・ provide written confirmation of follow-up assessment of corrective actions ・ determine the adequacy of corrective actions proposed or taken by the auditee ・ conduct follow-up activities according to the agreed timetable ・ evaluate the effectiveness of corrective actions taken by the auditee ・ conduct post-audit review, and measure the effectiveness of the audit duration and its impact on the audit objectives

3.2 Technical Skills and Knowledge

2.1 Food Safety Management (FSM) Requirements

Task	Required Auditor Knowledge	Required Auditor Skills
The following technical competencies are applicable to all categories unless otherwise indicated. Within each set of competencies, the auditor is required to apply the identified skills and knowledge to all industry scopes covered by the task.		
FSM 1 Food safety management system general requirements	HACCP knowledge requirements, plus knowledge of: · the key elements of food safety management system for a given industry sector · a generic process approach to management · Plan/Do/Check/Act (PDCA), the principles of continuous improvement as applied to food safety management and for appropriate industry sector · applicable food safety regulations for a given industry sector · food safety principles	HACCP skills requirements, plus the ability to: · contextualize (i.e. relate the way the organization has defined its processes as compared with the requirements of the standard) · analyze the organization's definition of the management processes needed for the food safety management system · assess the sequence and interaction of these processes · determine the criteria and methods required to ensure the effective operation and control of these processes · assess the availability of information and procedures necessary to support the operation and monitoring of these processes · assess the measurement and analysis of these processes · assess the actions necessary to achieve planned results and continuous improvement
FSM 2 Food safety policy	Knowledge of: · the purpose, objectives, content and application of a food safety policy as defined by the JFS -C Certification Scheme	Ability to: · 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
FSM 3 Food safety manual	Knowledge of: · the requirements of a documented food safety management system for a given industry sector · appropriate technologies to manage documentation · document control systems · current industry trends and emerging issues for a given industry	Ability to: · assess the appropriateness, coverage, and currency of a food safety manual for a given industry sector · evaluate the scope of coverage of a facility's food safety manual within the supply chain · assess the effective dissemination of food safety

Task	Required Auditor Knowledge	Required Auditor Skills
	sector	documentation within a facility
	· food safety regulations for a given industry sector	· evaluate if work instructions are aligned with the food safety manual
		· evaluate implementation of the food safety manual
FSM 4 Management responsibility	Knowledge of: · organizational structures and the inter-relationship of job functions · regulatory and legal requirements related to organizational structure and location	Ability to: · assess the effective implementation of documented job functions · relate the observed job functions back to the documented organizational structure and position descriptions · review and interpret key performance indicators and food safety measures
FSM 5 Management commitment	Knowledge of: · corporate governance, and the role of senior management in leading a food safety management system · the legal responsibility for management with regard to food safety · food safety objectives and key performance indicators (KPIs) in the context of the overall business performance	Ability to: · access and communicate with senior management · assess the commitment of facility management to the implementation and maintenance of food safety practices · assess the food safety objectives and key performance indicators (KPIs) in the context of the overall business performance · review and interpret organizational performance measures and in particular food safety measures · analyze and assess the involvement of senior management in reviewing the food safety management system · read and interpret records, including meeting minutes · 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 · effectively communicate the lack of management

Task	Required Auditor Knowledge	Required Auditor Skills
		· commitment with senior management
		· document the lack of management commitment in the audit reports
FSM 6 Management review	Knowledge requirements under FSM5 Management Commitment, plus knowledge of: · management system review procedures, including knowledge of scope, input/output frequency, implementation strategy, organizational structure and inter-relationship between positions within the structure	Skills requirements under FSM 5 Management Commitment, plus the ability to: · assess the management system review process · identify gaps in the management review process
FSM 7 Resource management	Knowledge of: · the inter-relationship of food safety functions with other organizational functions · business resources (time, money, and people) required to implement, maintain and improve the food safety system	Ability to: · assess the effectiveness and suitability of the resources applied to food safety · identify gaps in the resources applied to food safety
FSM 8 General documentation requirements	Knowledge of: · regulatory, standard and customer requirements for document control and record retention · the requirements of food safety record retention for a given industry sector · the requirements for food safety documentation in the context of process management, language and literacy levels · record security protocols	Ability to: · evaluate the document and record control processes that are in place · evaluate the security and storage of documents and records · ensure the availability and access of food safety documentation to relevant staff · identify gaps in available documentation · understand and evaluate records
FSM 9 Specification control of purchased or provided items and services	Knowledge of: · the food safety inclusions required in raw material, ingredient, packaging material and service specifications for a given input or service · the product safety requirements within contracts for process inputs and services (including utilities, transport, and maintenance)	Ability to: · read and interpret specifications, associate process and procedure requirements · assess the applicability of contracts · identify gaps and omissions in available specifications · verify the effective implementation of specifications and

Task	Required Auditor Knowledge	Required Auditor Skills
	contracts	
FSM 10 Procedures	Knowledge of: · appropriate technologies to manage documentation · components of management processes · responsibility to documentation, update version, definition of documents, documentation management	Ability to: · compare actual operations with documented procedures · assess the appropriateness, coverage, and currency of procedures and instructions for a given industry sector · assess the effective dissemination of food safety documentation within a facility · verify that standard operating procedures (SOPs) and work instructions are being followed · confirm that personnel understand procedures, by interview etc.
FSM 11 Internal audit	Knowledge of: · internal audit principles and practice · food safety verification activities appropriate to specific industry sectors · the principles of continuous improvement as applied to food safety management	Ability to: · read and interpret an internal audit schedule · evaluate the competence of internal auditors · evaluate the adequacy of the internal audit based on scope · read and review internal audit reports · identify gaps in internal audit practices and reports · verify that appropriate corrective actions are identified as necessary · verify corrective actions taken as a result of internal audits
FSM 12 Nonconformity control	Knowledge of: · processes required to identify, quarantine, hold, dispose of, or downgrade unsafe product in a given industry sector · regulations covering disposition of unsafe product	Ability to: · identify the suitability of procedures in place for disposition of non-conforming or unsafe product · assess the effectiveness of actions taken to deal with non-conforming or unsafe product
FSM 13 Corrective action	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: · the principles and practice of corrective action as applied to food safety management · difference between correction, corrective action, and preventive action	Ability to: · assess the availability of information necessary to support the operation and monitoring of the food safety management processes · assess the measurement and, analysis of these processes · assess the corrective action plans necessary to achieve planned results and continuous improvement and prevent recurrence · verify corrections and corrective actions taken
FSM 14 Product release	Knowledge of: · regulations applicable to product release · the objective, structure and content required for a product release procedure in a given industry sector · sampling and testing procedures relevant to product safety in a particular industry sector	Ability to: · review and analyze sampling and test procedures for a given product · assess the appropriateness, application, and effectiveness of a product release procedure
FSM 15 Purchasing	Knowledge of: · the food safety inclusions required in raw material, ingredient, packaging material and service specifications for a given input or service · contract management · risk-based approved supplier protocols · risk-based contract manufacturing protocols	Ability to: · read and understand the applicability of supplier contracts · assess the appropriateness and effectiveness of applied approved supplier protocols · identify gaps and omissions in approved supplier protocols · verify the effectiveness of the approved supplier program
FSM 16 Supplier performance	As per FSM 15 Purchasing, plus the following knowledge requirement: Knowledge of: · performance monitoring	As per FSM 15 Purchasing, plus the following skill requirement: Ability to: · apply performance monitoring techniques
FSM 17 Outsourcing	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
	· contract manufacturing and other services · outsourcing protocols	· read and ensure implementation of supplier agreements · review and audit conformance of test results · identify gaps and omissions in contract manufacturer procedures · verify the effectiveness of procedures in place to monitor contract manufacturers
FSM 18 Complaint handling	As per FSM1 Food safety management systems general requirements, plus the following knowledge requirements: Knowledge of: · regulatory requirements for non-conforming product, withdrawal and recall · trend analysis	As per FSM1 Food safety management systems general requirements, plus the following skill requirements: Ability to: · review the customer complaint process · assess the effectiveness of actions taken to prioritize and reduce customer complaints · evaluate the significance of individual customer complaints as related to food safety · assess the willingness of management and staff to correct and improve shortcomings in food safety
FSM 20 Serious incident management	Knowledge of: · industry or trade protocols in place for serious incidents, trade withdrawals, or product recalls · finished stock identification and control processes	Ability to: · assess the effectiveness, communication, and application of traceability, withdrawal and recall procedures · review and analyze records of mock or actual withdrawals and recalls · identify gaps in traceability, withdrawal and recall protocols
FSM 21 Control of measuring and monitoring devices	Knowledge of: · the parameters critical to ensuring food safety and to meeting regulatory requirements and customer specification for a given industry sector · measuring and monitoring equipment and devices used to measure food safety parameters for a given industry sector · calibration methods for prescribed measuring and monitoring equipment and devices	Ability to: · assess the appropriateness and effectiveness of devices used to measure food safety parameters · review and analyze calibration procedures and records · assess the appropriateness and effectiveness of calibration procedures · identify gaps in calibration procedures · verify the disposition of product assessed using equipment

Task	Required Auditor Knowledge	Required Auditor Skills
		that is out of calibration
FSM 22 Food defense	Knowledge of: · regulations and/or industry codes of practice governing food defense, food protection, food security, bioterrorism or sabotage · food defense risk management methodologies · food defense protocols applicable to particular countries, jurisdictions, and industry sector · typical food defense situations	Ability to: · assess the effectiveness and application of the risk management process used to determine food defense risk · assess the effectiveness, communication, and application of food defense procedures · review and analyze records of food defense activities · identify gaps in food defense procedures
FSM 23 Product labeling	Knowledge of: · food labeling legislation in the country of origin and the country(s) of destination applicable to a given product group · customer or industry codes of practice on labeling	Ability to: · assess the effectiveness and application of label approval procedures · read product labels and establish the authenticity of information provided · verify the accuracy of label information
FSM 24 Traceability	Knowledge of: · regulatory requirements for non-conforming product, trade withdrawal and recall · product identification and traceability procedures	Ability to: · assess the effectiveness, communication, and application of identification and traceability procedures · review records for raw material, ingredient, packaging, work in progress and finished stock to determine traceability · identify gaps in identification and traceability procedures · review and analyze mock trace results
FSM 25 Analysis of input materials	Knowledge of: · regulatory requirements governing inputs including processing aids, biochemical, feedstuffs, water and gases · hazards and risks associated with inputs for a given industry sector including (but not limited to) processing aids, biochemical, feedstuffs, water and gases	Ability to: · assess the application and effectiveness of specifications and procedures in place to control the safety of inputs · review and evaluate analytical records and certificates of analysis · identify gaps in procedures in place to control inputs

2.2 HACCP Requirements

Tasks	Required Auditor Knowledge	Required Auditor Skills
Hazard Analysis and Critical Control Point (HACCP)	Knowledge of: · Codex Alimentarius and National Advisory Committee on Microbiological Criteria for Foods (NACMCF) HACCP principles and implementation steps · the Codex Alimentarius Commission General Principles of Food Hygiene CAC/ RCP 1-1969, Rev. 4 -2003 · the preliminary steps in implementing HACCP (scope, team, product description, process flow diagram) · the scope and purpose of a HACCP-based system · the factors influencing food safety that must be included in a product description for a given industry sector · the intended use of a given product · constructing and verifying a process flow diagram · the microbiological, chemical, and physical food safety hazards that may reasonably be expected to occur in a given industry sector · the control measures required to eliminate or minimize the microbiological, chemical, and physical food safety hazards for a given industry sector · risk assessment/hazard analysis methodologies relevant to a given industry sector · determination of CCPs within a HACCP plan · determination and validation of critical limits · determination of monitoring procedures and frequency · the format and content of Standard Operating Practices (SOPs) and Work Instructions (WIs) · determination of appropriate corrective and preventive actions to dispose of affected product and prevent recurrence	Ability to: · assess the appropriateness of the scope and purpose of the HACCP plan, and the HACCP team · assess the appropriateness of the product description and intended used · evaluate the accuracy of the process flow diagram · assess that all potential food safety hazards have been identified · assess that the hazard analysis and risk management methodologies have been applied correctly and consistently · evaluate the adequacy, application and effectiveness of control measures in place to eliminate or minimize the risk of potential hazards · assess whether CCPs have been correctly identified · assess that critical limits are scientifically validated or justified, and correctly differentiate between safe and unsafe product · assess the application and effectiveness of corrective action procedures in place where food safety control is lost · assess the application and effectiveness of verification procedures in place to ensure the adequacy of the HACCP-based system · evaluate the adequacy, understanding, application and effectiveness of Standard Operating Practices (SOPs) and Work Instructions (WIs) · ensure that the HACCP plan is reviewed periodically or when process changes occur

	· verification procedures to ensure the effectiveness of the HACCP-based system	

2.3 Good Manufacturing Practice (GMP) Requirements

Task	Required Auditor Knowledge	Required Auditor Skills
GMP 1 Facility environment	Knowledge of: · regulatory requirements relating to food premises · standards and industry codes of practice concerning sanitary construction and design of food premises · the food safety risks associated with the location and environment, including potential air or water contamination, pest control, etc. · sector specific risks such as waste management, dust control, and pest management	Ability to: · assess the potential or actual food safety contamination risks associated with the site, grounds, external areas, surrounding properties, and process flow · evaluate the measures taken by the site to control actual or potential food safety risks due to the site or location · identify gaps in the control measures taken by the site to control actual or potential food safety risks due to the site or location
GMP 3 Design, construction and layout of facilities, equipment and production	As per GMP 1, plus the following knowledge requirements: Knowledge of: · potential contamination sources · production processes for a given industry sector · preventive and corrective maintenance practices and technologies used for preventive maintenance programs	As per GMP 1, plus the following skill requirements: Ability to: · evaluate the design and construction measures taken by the site to prevent, minimize or eliminate food safety hazards and risks · evaluate the application and effectiveness of the site and preventive and corrective maintenance program · identify gaps in the site's preventive and corrective maintenance program
GMP 4 Manufacturing and storage area specifications, and utility management	As per GMP 1, plus the following knowledge requirements: Knowledge of: · types of materials suitable for construction of food manufacturing and storage facilities · impact of detergents and sanitizers on materials used for fabrication of food facilities	As per GMP 1, plus the following skill requirements: Ability to: · assess the potential or actual food safety contamination risks associated with the fabrication of food manufacturing and storage facilities · identify areas of potential product contamination or cross-contamination caused by building fabrication

Task	Required Auditor Knowledge	Required Auditor Skills
GMP 5 Devices and tools	As per GMP 1 and GMP 4, plus the following knowledge requirements: Knowledge of: · regulatory requirements relating to food premises and equipment · food safety contamination risks associated with the design and fabrication of food contact equipment	As per GMP 1 and GMP 4, plus the following skill requirements: Ability to: · assess the potential or actual food safety contamination risks associated with the design and fabrication of food contact equipment · identify areas of potential product contamination or cross-contamination caused by food contact equipment
GMP 6 Maintenance	As per GMP 1 and GMP 3, plus the following knowledge requirement: Knowledge of: · effective preventive and corrective maintenance programs for a given industry sector	As per GMP 1 and GMP 3, plus the following skill requirements: Ability to: · evaluate the application and effectiveness of the preventive and corrective maintenance program · identify gaps in the site's preventive and corrective maintenance program
GMP 7 Staff facilities	Knowledge of: · the risk of pathogen contamination from human contact · standards and industry codes of practice concerning sanitary construction and design of food premises · specific requirements regarding toilet rooms, locker rooms or change rooms, uniform issue, hand-washing facilities, and canteen areas in given industry sectors · requirements for high-care areas where applicable · personal hygiene practices for given industry sectors	Ability to: · 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 · evaluate the application and effectiveness of procedures in place to manage food safety risk from staff facilities · identify gaps in the site's procedures to manage food safety risk from staff facilities
GMP 8 Physical, chemical and biological product contamination risk	As per HACCP 1, plus the following knowledge requirements: Knowledge of: · technologies associated with detection of contaminants	As per HACCP 1, plus the following additional skill requirements: Ability to:

Task	Required Auditor Knowledge	Required Auditor Skills
	including metal detectors, X-ray, sieves, filters, divert valves · calibration requirements for relevant technologies · regulatory and product knowledge of chemicals used within a food manufacturing plant including detergents, sanitizers, processing aids, water treatment chemicals, and pest management chemicals · management of non-conforming product	· assess the potential or actual food safety contamination risks associated with the design, layout, and condition of production processes · assess the application and effectiveness of procedures in place to prevent product contamination · evaluate the appropriateness, application, and effectiveness of technologies used to detect contaminants · evaluate the application and effectiveness of calibration procedures for existing technologies · evaluate the appropriateness, application, and effectiveness of chemicals used for cleaning, water treatment, pest management, and other functions · evaluate procedures in place to adequately dispose of non-conforming product · identify gaps in the facility's procedures and practices to control product contamination
GMP 9 Segregation and cross-contamination	As per GMP 8 Physical, chemical product contamination risk, plus the following additional knowledge requirements: Knowledge of: · allergens and their management in given industry sectors · identity preserved (IP) foods and their management · biological hazards and control methods in given industry sectors	As per GMP 8 Physical, chemical product contamination risk, plus the following additional skill requirements: Ability to: · evaluate procedures in place to identify and control allergens and to prevent cross-contact of allergens · evaluate procedures in place to identify controlled foods · evaluate air, water, traffic and facility design for potential cross-contamination
GMP 10 Stock management	Knowledge of: · product identification and traceability protocols and practices · stock control, stock rotation and stock management protocols and practices · definition and calculation of shelf life, including regulatory	Ability to: · assess the effectiveness, communication, and application of identification and traceability procedures · review records for raw material, packaging, work in progress, finished goods, processing aids, and chemicals

Task	Required Auditor Knowledge	Required Auditor Skills
	requirements where applicable	· review storage conditions for raw material, packaging, work in progress, finished goods, processing aids, and chemicals · review records that validate shelf life for a given product · identify gaps in stock management and shelf life validation method
GMP 11 Housekeeping, cleaning and hygiene	Knowledge of: · regulatory requirements concerning hygiene of food facilities · the chemical action of detergents and sanitizers · microbiological resistance to detergents and sanitizers · allergen cleaning protocols for the removal of allergenic protein residue · cleaning and sanitation technologies and chemicals for a given industry sector, including wet cleaning, dry cleaning, foam cleaners, cleaning-in-place (CIP) · risk-based sanitation verification methods including (but not limited to) environmental swabbing, pre-operational checks, product testing, etc. · environmental monitoring programs for high risk areas · backflow prevention methods · methods for verifying the effectiveness of cleaning	Ability to: · evaluate the application, frequency, appropriateness, and effectiveness of cleaning and sanitation methods for a given product · analyze sanitation schedules and records · analyze environmental and product test results · implement an effective environmental monitoring program for high risk areas · evaluate the effectiveness of sanitation verification procedures for a given product · identify gaps in cleaning and sanitation procedures and verification protocols · determine if backflow prevention measures are effective
GMP 12 Water and ice management	Knowledge of: · regulatory requirements concerning the portability, treatment, separation and handling of water used for food contact, steam, and ice production, post-harvest washing, and personal hygiene · technologies and methodologies for water treatment · industry codes of practice for identification and storage of	Ability to: · evaluate the application and effectiveness of methods used to treat and/or manage the portability of water used for food contact, steam and/or ice production, post-harvest washing, and personal hygiene · interpret water test results · identify and assess the separation of potable from non-

Task	Required Auditor Knowledge	Required Auditor Skills
	potable and non-potable water supplies	potable water
	· risks associated with cross-connections, non-return valves, age and condition of water lines	· identify gaps in the water quality program
GMP 13 Waste management	Knowledge of: · regulatory requirements concerning the handling and disposal of waste materials, including environmental regulations governing air-borne, liquid, and solid waste control · potential product contamination sources for a given industry sector · waste handling, storage and disposal practices for a given industry sector · cleaning and housekeeping of waste containers, lines and equipment · personal hygiene requirements following handling of waste materials · management of pests and vermin in waste storage and handling areas	Ability to: · evaluate the application and effectiveness of waste storage, handling, and disposal procedures · identify gaps in waste storage, handling and disposal procedures
GMP 14 Pest control	Knowledge of: · food safety hazards and risks caused by pests and vermin in food premises · regulatory requirements concerning pest management and the use and handling of pest control chemicals · the use, storage, handling and disposal of pest control chemicals and mechanical pest control technologies · personal hygiene requirements following handling of pests and pest control chemicals	Ability to: · assess the suitability and application of contract agreements with pest control contractors · identify the types of pests to be controlled for a given industry sector · assess the in-house ability of businesses to verify the competence of individuals responsible for pest control · evaluate the application and effectiveness of pest management procedures employed · analyze pest management reports · assess the effectiveness of storage requirements for pest

Task	Required Auditor Knowledge	Required Auditor Skills
		control chemicals and equipment · identify gaps in pest management procedures · evaluate the level of coordination between monitoring and pest management
GMP 15 Transport	Knowledge of: · regulatory requirements relating to food transport vehicles · standards and industry codes of practice concerning sanitary construction and design of food transport vehicles · the cold chain code of practice · the impact of climate (temperature, humidity) on product in transit · protection offered by packaging materials in differing climatic conditions · risks offered by packaging materials in differing climatic conditions (e.g., chemical migration) · food security in transit	Ability to: · assess the potential or actual food safety contamination risks associated with food transport for a given product group or industry sector · validate temperature and climatic logging devices · assess vehicle loading and unloading practices, including holding times · identify gaps in product transport arrangements
GMP 16 Personnel hygiene and health management	Knowledge of: · regulatory requirements concerning personal hygiene for food handlers · human transmission of food pathogens and risk mitigation measures · human transmission of allergenic protein residue and risk mitigation measures · suitability of medical screening procedures for detection of communicable diseases · the risk of traffic and work patterns on product safety · statutory and industry standards for provision and condition of toilet rooms, change rooms, canteens, hand-wash stations,	Ability to: · evaluate the application, frequency, appropriateness, and effectiveness of personal hygiene procedures for a given product · review the effectiveness of traffic and work patterns on minimizing the risk of product contamination · analyze environmental and product test results · identify gaps in personal hygiene procedures and verification protocols

Task	Required Auditor Knowledge	Required Auditor Skills
	break stations · statutory and industry standards for provision and condition of protective clothing, disposable gloves · risk-based methodologies for verifying the effectiveness of personal hygiene programs	
GMP 17 Education and Training	Knowledge of: · regulatory requirements for training of food handlers · competency-based training and assessment methods · the content of position descriptions	Ability to: · assess the application and effectiveness of training programs provided to food handlers · assess the effective implementation of position descriptions by food handlers · assess the effective implementation of documented food handlers job functions · assess the effective supervision of food handlers · identify gaps in food safety training procedures

3.3 Behavior and Systems Thinking

Tasks	Required Auditor Knowledge	Required Auditor Skills
3.1 Auditor Conduct and Behavior Includes: Personal behavior Audit leadership	Knowledge of: · conflict of interest · professional conduct required by auditors of the JFS-E-C standards. · the behavioral attributes expected of food safety auditors including: ✓ Ethical; e.g., fair, truthful, sincere, honest and discreet, ✓ Open minded; e.g., willing to consider alternative ideas or points of view, ✓ Diplomatic; e.g., tactful in dealing with people, ✓ Observant; e.g., actually aware of physical surroundings and activities, ✓ Perceptive; e.g., instinctive, aware of and able to understand situations, ✓ Versatile; e.g., adjusts readily to different situations, ✓ Tenacious; e.g., persistent, focused on achieving objectives, ✓ Decisive; e.g., timely conclusions based on logical reasoning, ✓ Self-reliant; e.g., acts independently whilst interacting effectively with others, ✓ Integrity; e.g., aware of need for confidentiality and observes professional code of conduct, ✓ Moral courage (note: courage to do right things) · conflict management and resolution · roles and responsibilities of audit team leaders · team dynamics and synergy – the cooperative interaction among team members that creates an enhanced combined effect	Ability to: · 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. · deliver against the expected behaviors and show continuous improvement · develop observation skills · maintain self-control and professionalism at all times and under all audit conditions · readily respond to meeting the needs of internal and external clients · resolve conflict with tact and diplomacy, but without succumbing to external pressures or un-verifiable facts · plan the activities of an audit team effectively · develop a synergistic outcome form an audit team · recognize conflict of interest · conduct a self-assessment and develop continuous improvement strategies

Tasks	Required Auditor Knowledge	Required Auditor Skills
3.2 Systems Thinking Includes: Problem solving Critical thinking Root cause analysis	Knowledge of: · principles of systems thinking – identification of issues as part of an overall system as a whole, rather than reacting to specific parts · system improvement – singular and common causes · the relationship of quality management and productivity to food safety · statistical process control and cause and effect analysis · applicable methods and techniques for understanding and resolving problems · tools and techniques to conceptualize, analyze, and evaluate performance data and information from a variety of sources · the methodology, tools and techniques of root cause analysis	Ability to: · big picture thinking. The ability to stand back and look at the system as a whole, rather than just the individual parts · explain the inter-relationship between quality management, operations, productivity and food safety · identify special and common causes · correctly apply appropriate statistical process control tools · conduct cause and effect analysis · apply correct problem-solving tools in a given situation
3.3 Organizational Behavior Includes: Business and organizational practices	Knowledge of: · organizational structures and the inter-relationship of job functions · general business processes and related terminology · cultural, religious, and social customs within a given organization · ethical and moral principles and issues as applied to a given organization and/or industry sector	Ability to: · identify the inter-relationship of job functions within an organization and the impact on the effectiveness of the food safety management system · identify the interaction of employees within an organization and the impact on the effectiveness of the food safety management system · identify the cultural, religious, and social customs within an organization and the impact on the effectiveness of the food safety management system · identify the application of ethical conduct within an organization and its impact on the effectiveness of the food safety management system

Annex 4 (Normative) 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	· 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.	Experience is required in the following food industry sectors; ➢ Red Meat Processing ➢ Poultry Processing ➢ Fish Processing ➢ Seafood Processing ➢ Meat Product Processing ➢ Fish Product Processing ➢ Diary Technology ➢ Egg Processing
EII Processing of perishable plant products	· 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.	Experience is required in the following food industry sectors; ➢ Fruit and vegetable processing
EIII Processing of perishable animal and plant products (mixed products)	· 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.	Experience is required in the following food industry sectors; ➢ Meat Product Processing ➢ Fish Product Processing ➢ Diary Technology ➢ Ready to Eat Food Product Processing
EIV Processing of ambient stable products	· 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.	Experience is required in the following food industry sectors; ➢ Thermal Processing ➢ Baking Technology

		➢ Diary Technology
		➢ Brewing Technology
		➢ Extrusion Technology
		➢ Vegetable and Animal Fats and Oils
		➢ Sugar refining
		➢ Beverage production
		➢ Alcoholic drink production
L Production of (Bio) Chemicals (Additives, Vitamins, Minerals, Bio-cultures, Flavorings, Enzymes and Processing aids)	· 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.	Experience is required in the following industry sectors; ➢ Fermentation Technology ➢ Chemical Engineering ➢ Biochemical Engineering