

# **JFS-C Certification Scheme Document**

Version 2.4

Japan Food Safety Management Association

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## **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**

The consistency of the Scheme is ensured with international standards such as the benchmarking requirements of the Global Food Safety Initiative (hereinafter referred to as "GFSI"), the “General Principles of Food Hygiene ” of the Codex Alimentarius Commission, and the ISO food safety management systems and related certification systems.

### **1.4. Reference Standards**

1.4.1 The Scheme is based on GFSI Benchmarking Requirement Version 7.2, ISO/IEC 17011: 2004 (hereinafter referred to as “ISO/IEC 17011”), ISO/IEC 17021-1: 2015 (hereinafter referred to as “ISO/IEC

17021”), and ISO/TS 22003: 2013 (hereinafter referred to as "ISO/TS 22003").

1.4.2 The following standard is applied to certify organizations:

•JFS-C Standard

The target sectors of this standard are the “Processing Sector (E)” and “Production of (Bio) Chemicals Sector (L) (manufacturing of additives, vitamins, minerals, cultures, perfumes, enzymes, processing aids, etc.)”.

"Processing Sector (E)" is composed of the following sub-sectors.

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.

Note: The codes E and L represent sectors, and the codes EI to EIV represent subsectors, and use the same codes as the certification range codes defined by the GFSI benchmarking requirements.

## **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.

## **1.6. Prevention of abuse of dominant position**

JFSM shall not abuse its dominant position, force an organization to acquire certification based on this standard or a standard related to this standard, or engage in promoting or extending itself.

## **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 standard, and other documents related to this Scheme.
- 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 uses the JFS-C standard and certification scheme document as a standard document, and has the authority to develop and revise this standard document. The copyright of the standard document belongs to JFSM. The procedures for developing or revising the standard documents and similar documents are as follows.

- 1) The Secretariat drafts the text of the standard 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 of the standard document publicly available on the JFSM website and calls for comments 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 of the standard document.
- 4) The President asks for advice and/or opinions to the draft text of the standard document from the Stakeholder Committee.
- 5) The Secretariat makes the final draft of the standard document, considering the advises and opinions from the Stakeholder Committee.
- 6) The Board of Directors approves the final draft of the standard document to enforce the standard.
- 7) JFSM appropriately translates the standard document into English and publishes it under the approval from the Board of Directors.

- 8) JFSM publishes the approved standard documents on the 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 establishes 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.

The Integrity Program for certification bodies includes the following surveillance activities:

- 1) Evaluation of certification business using the JFSM database
- 2) Regular examinations of certification body offices
- 3) Monitoring of audit reports

The details of the above surveillance activities are described in " Provision for Surveillance Activities for Certification Bodies Regarding JFS-C Certification Scheme."

## **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 the requirements of this scheme.

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.

3.2.4 ABs shall mutually recognize the equivalence of the certification based on the JFS-C standard between JFSM and other ABs that have contracted with JFSM.

#### **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]**

(1) 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.

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

(3) ABs shall report the following a) to c) information to JFSM without delay, and the d) information when requested by JFSM.

- a) suspension of accreditation, cancellation, reduction of sector accreditation, expiration date of accreditation
- b) complaints that could jeopardize the accreditation status,
- c) serious nonconformities (nonconformities which have potential impact on the validity of accreditation)
- d) Information on the accreditation audit conducted for the certification body

(4) JFSM will provide the following information to the accreditation bodies:



- a) Information on certification bodies obtained by JFSM under the Integrity Program of section 2.6 in this document.
- b) Information on changes to this Scheme and related documents
- c) Other information as necessary for accreditation audits (including complaints about certification bodies)

### 3) Appointment of person responsible for this scheme

ABs shall appoint one person responsible for the Scheme and notify JFSM.

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

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

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

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

### 6) Partnerships for maintaining reliability

In order to maintain the credibility of the scheme, JFSM shall, as necessary, have observers participate in accreditation committees involved in the certification work of this Scheme, have observers participate in office audits of certification bodies conducted by accreditation bodies, and conduct accreditation assessments of organizations.

If an accreditation body has considered a complaint or appeal related to this scheme, the accreditation body shall report the results of the consideration to JFSM without delay.

JFSM may conduct surveys of accreditation bodies as needed, such as when there are complaints about accreditation work.

### 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]

ABs shall apply the requirements for CBs under this document as well as the requirements for CBs issued by JFSM as documents or guidelines applicable to accreditation.

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

If an AB outsources an accreditation assessment to a third party, or if the work is further subcontracted, the requirements of this Scheme shall be applied for the accreditation assessment. Subcontractors or subcontracted accreditation bodies shall be signatories of the IAF International Multilateral Recognition Agreement (IAF MLA) for ISO 22000: 2005, and the personnel involved in the accreditation process shall meet the requirements set out in section 3.3.6 of this document.

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

- (1) An AB shall provide requirements described in the this document to the assessment team.
- (2) The AB shall conduct the audit taking into consideration information on the CB acquired from JFSM based on section 3.3.1 1) (4) in this document. The AB shall, in the case of a complaint about a CB, verify in the assessment that the complaint has been dealt with effectively and that appropriate corrective action has been taken.
- (3) The “appropriate criteria documents” described in ISO/IEC 17011 shall include the criteria for the CB requirements defined by JFSM.

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

At least one audit of the CB must be conducted at the initial certification. For CBs that wish to be accredited in multiple sectors, a level of sampling that is appropriate to the sectors must be set.

- 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.

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]

If a CB applies to extend the scope of activity in relation to the sectors defined by JFSM, ABs shall, at least, assess the documents and ensure that the evidence conforms to the requirements of the Certification Standard.

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 includes the official name and version of this Scheme and applicable sector (and subsectors, if there are any).

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**

CBs that perform certification work for this Scheme must meet the following conditions.

- 1) CBs shall make a contract with JFSM to provide certification activities based on this Scheme.
- 2) CBs shall be accredited with ISO/IEC 17021, ISO/TS 22003 and Clause 4(Requirements for CBs).
- 3) CBs shall consistently and fairly provide certification of food safety management systems based on this Scheme.

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

CBs shall apply for accreditation to an AB within at least one year after entering into a contract with JFSM.

In addition, the CB shall receive certification within one year from the date of application and acceptance from the AB. In the event that accreditation is not granted within one year, the CB shall submit a plan with the timeline of obtaining accreditation to JFSM. If this plan is not appropriate, JFSM will terminate the contract with the CB.

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.

#### **4.2.3 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) Version of the accredited Scheme document  
Scope of accredited sectors and the version  
(CBs shall differentiate and disclose the accredited sectors and the sectors outside the accredited scope.)
- 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 obligations of applicants and clients (such as the use of JFS-C certification logos and the way in which the organization announces certification),
- 6) Complaints and dispute handling procedures,
- 7) A list of all the certified organizations for the Scheme.

#### 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 certificate shall be in the form specified by JFSM and shall include the following information:

- 1) Applicable Standard (with its version clearly described),
- 2) Name and address of the certified organization,
- 3) Sectors or sub-sectors, products, manufacturing processes and manufacturing area (manufacturing processes and manufacturing area shall be described when it is necessary to specify them),
- 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.

The certificate must use a template designated by JFSM.

#### 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 this 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. Details on the harmonization meeting are stipulated in the "JFS-C Certification Scheme Operation Harmonization Meeting Regulations".

### 4.2.12 Changes of the Scheme

#### 1) Notification of Changes to this Scheme

CBs shall notify relevant parties (e.g. certified organizations, auditors and technical experts) changes to 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

When a CB seeks to start certification activities for a new sector of the Scheme, the CB shall conclude a contract with JFSM for certification activities in the sector and receive accreditation for the sector from an AB.

## **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 sectors or sub-sectors to be certified 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.

## 3) 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.

#### 4) 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

After making a decision on the certification of an organization or changing the certification, CBs shall submit the information on the certified organization to JFSM no later than the 15th of the month following the decision or change. 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) Sectors or sub-sectors, 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 sector or subsector. Auditor's qualifications, trainings and work experiences required for each sector or subsector are defined in Annex 3.

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 sector or subsector, JFSM will delete its

registration of the sector or subsector 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 sector or subsector as defined in Annex 3.

## 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 sector-specific or subsector-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 meets the following requirements in advance of the initial registration:

- a) Completion of 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) Completion of a training course on knowledge and skills concerning the HACCP based on the principles of Codex Alimentarius or equivalent (at least two days),
- c) Completion of the training program mentioned in (1) above.
- d) Passing of the GFSI knowledge examination (see section 4.4.5 7)). In addition, the registration of an auditor who has had JFS-C audit experience by the end of June 2019 will be validated if the auditor has passed the GFSI knowledge examination by the last day of December 2021.

### (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 the following (2),(3) and (4).

##### (2) Requirements for initial registration

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

##### (3) Assessment program for initially registered auditors

In the first year, the CB shall conduct the assessment program shown below for auditors who have registered for the first time.

- Conduct at least five on-site audits annually using the GFSI recognized scheme, for a total number of at least 10 audit days.

##### (4) Annual assessment program for auditors

CBs shall carry out the annual assessment program shown in the following a) or b) for each auditor in order to maintain the auditor's registration.

- (a) At least five on-site audits (ten or more days) per year according to the JFS-C standard in different organizations.
- (b) At least one on-site audit according to the JFS-C standard in different organizations, with a total of at least five on-site audits of other GFSI recognized schemes per year.

##### (5) Re-assessment of auditing skills

JFSM confirms at least once a year whether each registered auditor meets the requirement of (3), (4) a) or b) above. In case any auditor is unable to conform to the requirement, JFSM suspends the auditor’s registration. The CB concerned is allowed to reapply for the auditor’s registration to JFSM by reassessing the auditor’s competence in accordance during suspension with (3) the assessment program for initial registration. The CB shall record results of the assessment and submit the record reassessment to JFSM with the reapplication.

#### 5) Continuing professional development

CBs shall have all auditors access to updated information on sector or subsector 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 sector or subsector

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

## 7) GFSI knowledge examination

### (1) Implementation of GFSI knowledge examination

JFSM will provide a GFSI auditor exam (hereinafter referred to as the "GFSI auditor exam") and assess the candidate's answers based on the standard answers provided by GFSI.

JFSM issues a passed certificate to candidates who have achieved the passing score specified by GFSI. At minimum, the certificate should state the following information.

- a) Candidate name and candidate number
- b) Examination questions, version number, language
- c) Test date and place
- d) Test result (pass or fail)
- e) Issue date of the certificate
- f) JFSM contacts

### (2) Management of information

To ensure the completeness and security of the examination questions and the examination process, and to comply with the Act on the Protection of Personal Information, JFSM shall manage the records of the GFSI knowledge examination and the candidate's record (examination questions, standard answers, including the candidate's personal information) as confidential information based on relevant requirements of ISO/IEC 27001: 2013.

When conducting the GFSI knowledge examination, JFSM will maintain the following information for at least five years:

- a) Information specified in each item of 7) (1)
- b) Test type (paper or electronic)
- c) Information on the examination proctor
- d) Examination questions used
- e) Scoring results for the examination
- f) Information described on the certificate of (1)

The above information may be disclosed to the GFSI by JFSM at the request of the GFSI.

### (3) GFSI knowledge examination implementation regulations

JFSM appropriately conducts the GFSI knowledge examination according to the relevant requirements of ISO/IEC 17024: 2012, and to protect the confidential information specified in (2), the examination procedure shall be as defined in the regulations on implementation of the GFSI knowledge examination.

### (4) Reciprocal recognition of test results

JFSM reciprocally approves the results of GFSI knowledge examinations conducted by other GFSI recognized certification program owners.

## **Annex 1 (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 Table 1.

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). Add 0.5 man-day to the audit duration for each additional HACCP study. The calculation formula is shown in Table 1.

$T_{MS}$  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	(Number of HACCP studies - 1) x 0.5	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	<u>0.5</u>	$\geq 2.0$

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 2 (Informative) Audit Competence

### 3.1 Auditing Skills and Knowledge

Task	Required Auditor Knowledge	Required Auditor Skills
<p><b>1.1 Plan and organize work effectively</b></p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• terms and definitions applied to auditing of the JFS-C Certification Scheme</li> <li>• the principles of auditing as outlined in ISO/IEC 17021:2011, ISO 19011:2011 and GFSI scheme management guidelines</li> <li>• the objectives and methodology involved in an audit of the JFS-C Certification Scheme</li> <li>• the key activities involved in a food safety audit program</li> <li>• the roles and responsibilities of auditors, CBs, and auditee personnel</li> <li>• management of an audit program</li> <li>• initiating an audit of the JFS-C Certification Scheme</li> <li>• the purpose and conduct of a document review</li> <li>• planning for an on-site audit</li> <li>• types and forms of management systems and product systems, and the usefulness of the JFS -C Certification Scheme audits that fit within that context</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• organize audit timing based on audit duration</li> <li>• establish initial contact with the auditee</li> <li>• initiate an audit</li> <li>• confirm the audit objectives, scope, and criteria</li> <li>• determine the feasibility of the audit</li> <li>• plan on-site audit activities including evaluation of the audit criteria, (including specific scheme criteria), identification of organizational and functional units, products, and/or processes to be audited, and the role and responsibility of the auditor(s)</li> <li>• prepare audit plans, checklists, sampling plans, and evidence forms necessary to meet the audit objectives</li> <li>• direct and support technical experts (if applicable)</li> <li>• develop the audit report format and distribution including the storage and confidentiality of audit reports</li> <li>• identify auditee contacts and communicate the audit plan and timetable to the auditee</li> <li>• review and/or research the history of the facility</li> </ul>
<p><b>1.2 Conduct the audit within the agreed timeframe</b></p> <p>The timeframe for the audit of the JFS- C Certification Scheme is</p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• time management tools and techniques within the context of a site audit</li> <li>• an audit of the JFS -C Certification Scheme as a systematic, independent, and documented process for obtaining</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• apply time management tools and techniques that identify the individual tasks during the audit to meet the audit objectives</li> <li>• organize audit activities to prioritize matters of significance</li> </ul>

<p>usually set by the CB. However, the auditor shall have the knowledge and skills to effectively manage the time within the established timeframe.</p>	<p>relevant audit evidence and evaluating it objectively to determine the extent to which the system criteria are met</p>	<ul style="list-style-type: none"> <li>• prepare for the opening meeting, the audit, and the closing meeting</li> <li>• outline and direct the involvement of technical experts (if applicable) and auditee contacts within the timetable of audit duration</li> <li>• 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</li> <li>• conduct an entry meeting that meets the meeting objectives within the scheduled time frame</li> <li>• conduct the audit according to the agreed timetable</li> <li>• conduct an exit meeting that meets the objectives within the scheduled time frame</li> <li>• agree the timetable for corrective actions and follow-up activities dependent on the risk of nonconformance</li> <li>• recognize where changes to the audit schedule are needed</li> </ul>
<p><b>1.3 Communicate with auditee personnel at all levels</b></p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• interpersonal skills</li> <li>• negotiation techniques</li> <li>• language, religious, and cultural sensitivities</li> <li>• effective verbal and non-verbal communication strategies</li> <li>• the vocabulary of food safety regulations, standard requirements, industry standards and technical papers, including microbiological terms and names, and chemical terms and names appropriate to a given industry sector</li> <li>• objection management techniques</li> <li>• conflict management</li> <li>• separation of auditing from consulting</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• apply interpersonal and negotiating skills in the context of an audit of the JFS- C Certification Scheme</li> <li>• explain the purpose, scope, and methodology of the audit</li> <li>• establish a working relationship with the auditee that supports the intent and objectives of the food safety audit</li> <li>• communicate with all operational levels in the auditee food business that considers linguistic and technical skills, and the social customs within the business</li> <li>• talk to senior management and establish their level of commitment to the JFS -C Certification Scheme</li> <li>• maintain objectivity during the audit process</li> </ul>

	<ul style="list-style-type: none"> <li>· self-awareness of professional and technical limitations</li> </ul>	<ul style="list-style-type: none"> <li>· assess non-verbal communications</li> <li>· discuss audit findings openly and honestly with auditee personnel, without error or omission</li> <li>· explain technical findings at the appropriate management level within the auditee organization</li> <li>· present audit findings to auditee and management clearly, concisely, and objectively, citing the evidence of nonconformance</li> <li>· resolve areas of potential conflict with auditee management, within the context of the audit objectives</li> <li>· maintain auditee confidentiality</li> <li>· discuss the audit findings with only the agreed auditee personnel and/or audit client (if appropriate)</li> <li>· maintain composure, and avoid arrogance, anger or other negative behaviors</li> <li>· cite the evidence for nonconformities</li> <li>· identify and communicate issues without offering solution</li> </ul>
<b>1.4 Collect evidence by conducting interviews</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>· interview and questioning styles and techniques</li> <li>· effective listening techniques</li> <li>· understanding of non-verbal communications, personal expression, and body language</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>· select and interview appropriate staff at all levels within the auditee business to acquire valid audit evidence</li> <li>· use appropriate questioning techniques</li> <li>· listen to responses, and confirm responses</li> </ul>
<b>1.5 Collect evidence by observation and inquiry</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>· observation techniques</li> <li>· verbal and non-verbal behaviors</li> <li>· techniques in use to detect or eliminate food safety hazards</li> <li>· statistical sampling techniques</li> <li>· focused (targeted) sampling (i.e. the concept that sampling</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>· identify and prioritize audit activities in the context of the JFS -C Certification Scheme and food safety risk</li> <li>· identify and evaluate the application of technology for a given purpose</li> <li>· observe and analyze personal behavior and compare to written position descriptions</li> </ul>

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

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

### 3.2 Technical Skills and Knowledge

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

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



Task	Required Auditor Knowledge	Required Auditor Skills
	sector <ul style="list-style-type: none"> <li>• food safety regulations for a given industry sector</li> </ul>	documentation within a facility <ul style="list-style-type: none"> <li>• evaluate if work instructions are aligned with the food safety manual</li> <li>• evaluate implementation of the food safety manual</li> </ul>
<b>FSM 4 Management responsibility</b>	Knowledge of: <ul style="list-style-type: none"> <li>• organizational structures and the inter-relationship of job functions</li> <li>• regulatory and legal requirements related to organizational structure and location</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effective implementation of documented job functions</li> <li>• relate the observed job functions back to the documented organizational structure and position descriptions</li> <li>• review and interpret key performance indicators and food safety measures</li> </ul>
<b>FSM 5 Management commitment</b>	Knowledge of: <ul style="list-style-type: none"> <li>• corporate governance, and the role of senior management in leading a food safety management system</li> <li>• the legal responsibility for management with regard to food safety</li> <li>• food safety objectives and key performance indicators (KPIs) in the context of the overall business performance</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• access and communicate with senior management</li> <li>• assess the commitment of facility management to the implementation and maintenance of food safety practices</li> <li>• assess the food safety objectives and key performance indicators (KPIs) in the context of the overall business performance</li> <li>• review and interpret organizational performance measures and in particular food safety measures</li> <li>• analyze and assess the involvement of senior management in reviewing the food safety management system</li> <li>• read and interpret records, including meeting minutes</li> <li>• identify deficiencies / trends that demonstrate the lack of management commitment to the food safety system (areas include but are not limited to: training, plant maintenance/ equipment, resources, monitoring, good manufacturing practices (GMPs), operations, prerequisite programs, HACCP, continuous improvement, etc.) Example: Correlate system deficiencies of the training program to the lack of resources provided by senior management</li> <li>• effectively communicate the lack of management</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
		commitment with senior management <ul style="list-style-type: none"> <li>• document the lack of management commitment in the audit reports</li> </ul>
<b>FSM 6 Management review</b>	Knowledge requirements under FSM5 Management Commitment, plus knowledge of: <ul style="list-style-type: none"> <li>• management system review procedures, including knowledge of scope, input/output frequency, implementation strategy, organizational structure and inter-relationship between positions within the structure</li> </ul>	Skills requirements under FSM 5 Management Commitment, plus the ability to: <ul style="list-style-type: none"> <li>• assess the management system review process</li> <li>• identify gaps in the management review process</li> </ul>
<b>FSM 7 Resource management</b>	Knowledge of: <ul style="list-style-type: none"> <li>• the inter-relationship of food safety functions with other organizational functions</li> <li>• business resources (time, money, and people) required to implement, maintain and improve the food safety system</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effectiveness and suitability of the resources applied to food safety</li> <li>• identify gaps in the resources applied to food safety</li> </ul>
<b>FSM 8 General documentation requirements</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory, standard and customer requirements for document control and record retention</li> <li>• the requirements of food safety record retention for a given industry sector</li> <li>• the requirements for food safety documentation in the context of process management, language and literacy levels</li> <li>• record security protocols</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• evaluate the document and record control processes that are in place</li> <li>• evaluate the security and storage of documents and records</li> <li>• ensure the availability and access of food safety documentation to relevant staff</li> <li>• identify gaps in available documentation</li> <li>• understand and evaluate records</li> </ul>
<b>FSM 9 Specification control of purchased or provided items and services</b>	Knowledge of: <ul style="list-style-type: none"> <li>• the food safety inclusions required in raw material, ingredient, packaging material and service specifications for a given input or service</li> <li>• the product safety requirements within contracts for process inputs and services (including utilities, transport, and maintenance)</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• read and interpret specifications, associate process and procedure requirements</li> <li>• assess the applicability of contracts</li> <li>• identify gaps and omissions in available specifications</li> <li>• verify the effective implementation of specifications and</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
		contracts
<b>FSM 10 Procedures</b>	Knowledge of: <ul style="list-style-type: none"> <li>• appropriate technologies to manage documentation</li> <li>• components of management processes</li> <li>• responsibility to documentation, update version, definition of documents, documentation management</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• compare actual operations with documented procedures</li> <li>• assess the appropriateness, coverage, and currency of procedures and instructions for a given industry sector</li> <li>• assess the effective dissemination of food safety documentation within a facility</li> <li>• verify that standard operating procedures (SOPs) and work instructions are being followed</li> <li>• confirm that personnel understand procedures, by interview etc.</li> </ul>
<b>FSM 11 Internal audit</b>	Knowledge of: <ul style="list-style-type: none"> <li>• internal audit principles and practice</li> <li>• food safety verification activities appropriate to specific industry sectors</li> <li>• the principles of continuous improvement as applied to food safety management</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• read and interpret an internal audit schedule</li> <li>• evaluate the competence of internal auditors</li> <li>• evaluate the adequacy of the internal audit based on scope</li> <li>• read and review internal audit reports</li> <li>• identify gaps in internal audit practices and reports</li> <li>• verify that appropriate corrective actions are identified as necessary</li> <li>• verify corrective actions taken as a result of internal audits</li> </ul>
<b>FSM 12 Nonconformity control</b>	Knowledge of: <ul style="list-style-type: none"> <li>• processes required to identify, quarantine, hold, dispose of, or downgrade unsafe product in a given industry sector</li> <li>• regulations covering disposition of unsafe product</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• identify the suitability of procedures in place for disposition of non-conforming or unsafe product</li> <li>• assess the effectiveness of actions taken to deal with non-conforming or unsafe product</li> </ul>
<b>FSM 13 Corrective action</b>	As per FSM1 Food safety management systems general requirements, plus the following knowledge requirements:	As per FSM1 Food safety management systems general requirements, plus the following skill requirements:

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

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

Task	Required Auditor Knowledge	Required Auditor Skills
		that is out of calibration
<b>FSM 22 Food defense</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulations and/or industry codes of practice governing food defense, food protection, food security, bioterrorism or sabotage</li> <li>• food defense risk management methodologies</li> <li>• food defense protocols applicable to particular countries, jurisdictions, and industry sector</li> <li>• typical food defense situations</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effectiveness and application of the risk management process used to determine food defense risk</li> <li>• assess the effectiveness, communication, and application of food defense procedures</li> <li>• review and analyze records of food defense activities</li> <li>• identify gaps in food defense procedures</li> </ul>
<b>FSM 23 Product labeling</b>	Knowledge of: <ul style="list-style-type: none"> <li>• food labeling legislation in the country of origin and the country(s) of destination applicable to a given product group</li> <li>• customer or industry codes of practice on labeling</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effectiveness and application of label approval procedures</li> <li>• read product labels and establish the authenticity of information provided</li> <li>• verify the accuracy of label information</li> </ul>
<b>FSM 24 Traceability</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory requirements for non-conforming product, trade withdrawal and recall</li> <li>• product identification and traceability procedures</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the effectiveness, communication, and application of identification and traceability procedures</li> <li>• review records for raw material, ingredient, packaging, work in progress and finished stock to determine traceability</li> <li>• identify gaps in identification and traceability procedures</li> <li>• review and analyze mock trace results</li> </ul>
<b>FSM 25 Analysis of input materials</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory requirements governing inputs including processing aids, biochemical, feedstuffs, water and gases</li> <li>• hazards and risks associated with inputs for a given industry sector including (but not limited to) processing aids, biochemical, feedstuffs, water and gases</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the application and effectiveness of specifications and procedures in place to control the safety of inputs</li> <li>• review and evaluate analytical records and certificates of analysis</li> <li>• identify gaps in procedures in place to control inputs</li> </ul>

## 2.2 HACCP Requirements

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

	<ul style="list-style-type: none"><li>• verification procedures to ensure the effectiveness of the HACCP-based system</li></ul>	
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### 2.3 Good Manufacturing Practice (GMP) Requirements

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

Task	Required Auditor Knowledge	Required Auditor Skills
<b>GMP 5 Devices and tools</b>	<p>As per GMP 1 and GMP 4, plus the following knowledge requirements:</p> <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulatory requirements relating to food premises and equipment</li> <li>• food safety contamination risks associated with the design and fabrication of food contact equipment</li> </ul>	<p>As per GMP 1 and GMP 4, plus the following skill requirements:</p> <p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with the design and fabrication of food contact equipment</li> <li>• identify areas of potential product contamination or cross-contamination caused by food contact equipment</li> </ul>
<b>GMP 6 Maintenance</b>	<p>As per GMP 1 and GMP 3, plus the following knowledge requirement:</p> <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• effective preventive and corrective maintenance programs for a given industry sector</li> </ul>	<p>As per GMP 1 and GMP 3, plus the following skill requirements:</p> <p>Ability to:</p> <ul style="list-style-type: none"> <li>• evaluate the application and effectiveness of the preventive and corrective maintenance program</li> <li>• identify gaps in the site's preventive and corrective maintenance program</li> </ul>
<b>GMP 7 Staff facilities</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• the risk of pathogen contamination from human contact</li> <li>• standards and industry codes of practice concerning sanitary construction and design of food premises</li> <li>• specific requirements regarding toilet rooms, locker rooms or change rooms, uniform issue, hand-washing facilities, and canteen areas in given industry sectors</li> <li>• requirements for high-care areas where applicable</li> <li>• personal hygiene practices for given industry sectors</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with the design and condition of staff facilities including toilet rooms, change rooms and canteens</li> <li>• evaluate the application and effectiveness of procedures in place to manage food safety risk from staff facilities</li> <li>• identify gaps in the site's procedures to manage food safety risk from staff facilities</li> </ul>
<b>GMP 8 Physical, chemical and biological product contamination risk</b>	<p>As per HACCP 1, plus the following knowledge requirements:</p> <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• technologies associated with detection of contaminants</li> </ul>	<p>As per HACCP 1, plus the following additional skill requirements:</p> <p>Ability to:</p>

Task	Required Auditor Knowledge	Required Auditor Skills
	<p>including metal detectors, X-ray, sieves, filters, divert valves</p> <ul style="list-style-type: none"> <li>• calibration requirements for relevant technologies</li> <li>• regulatory and product knowledge of chemicals used within a food manufacturing plant including detergents, sanitizers, processing aids, water treatment chemicals, and pest management chemicals</li> <li>• management of non-conforming product</li> </ul>	<ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with the design, layout, and condition of production processes</li> <li>• assess the application and effectiveness of procedures in place to prevent product contamination</li> <li>• evaluate the appropriateness, application, and effectiveness of technologies used to detect contaminants</li> <li>• evaluate the application and effectiveness of calibration procedures for existing technologies</li> <li>• evaluate the appropriateness, application, and effectiveness of chemicals used for cleaning, water treatment, pest management, and other functions</li> <li>• evaluate procedures in place to adequately dispose of non-conforming product</li> <li>• identify gaps in the facility's procedures and practices to control product contamination</li> </ul>
<b>GMP 9 Segregation and cross-contamination</b>	<p>As per GMP 8 Physical, chemical product contamination risk, plus the following additional knowledge requirements:</p> <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• allergens and their management in given industry sectors</li> <li>• identity preserved (IP) foods and their management</li> <li>• biological hazards and control methods in given industry sectors</li> </ul>	<p>As per GMP 8 Physical, chemical product contamination risk, plus the following additional skill requirements:</p> <p>Ability to:</p> <ul style="list-style-type: none"> <li>• evaluate procedures in place to identify and control allergens and to prevent cross-contact of allergens</li> <li>• evaluate procedures in place to identify controlled foods</li> <li>• evaluate air, water, traffic and facility design for potential cross-contamination</li> </ul>
<b>GMP 10 Stock management</b>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• product identification and traceability protocols and practices</li> <li>• stock control, stock rotation and stock management protocols and practices</li> <li>• definition and calculation of shelf life, including regulatory</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the effectiveness, communication, and application of identification and traceability procedures</li> <li>• review records for raw material, packaging, work in progress, finished goods, processing aids, and chemicals</li> </ul>

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

Task	Required Auditor Knowledge	Required Auditor Skills
	potable and non-potable water supplies <ul style="list-style-type: none"> <li>• risks associated with cross-connections, non-return valves, age and condition of water lines</li> </ul>	potable water <ul style="list-style-type: none"> <li>• identify gaps in the water quality program</li> </ul>
<b>GMP 13 Waste management</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory requirements concerning the handling and disposal of waste materials, including environmental regulations governing air-borne, liquid, and solid waste control</li> <li>• potential product contamination sources for a given industry sector</li> <li>• waste handling, storage and disposal practices for a given industry sector</li> <li>• cleaning and housekeeping of waste containers, lines and equipment</li> <li>• personal hygiene requirements following handling of waste materials</li> <li>• management of pests and vermin in waste storage and handling areas</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• evaluate the application and effectiveness of waste storage, handling, and disposal procedures</li> <li>• identify gaps in waste storage, handling and disposal procedures</li> </ul>
<b>GMP 14 Pest control</b>	Knowledge of: <ul style="list-style-type: none"> <li>• food safety hazards and risks caused by pests and vermin in food premises</li> <li>• regulatory requirements concerning pest management and the use and handling of pest control chemicals</li> <li>• the use, storage, handling and disposal of pest control chemicals and mechanical pest control technologies</li> <li>• personal hygiene requirements following handling of pests and pest control chemicals</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the suitability and application of contract agreements with pest control contractors</li> <li>• identify the types of pests to be controlled for a given industry sector</li> <li>• assess the in-house ability of businesses to verify the competence of individuals responsible for pest control</li> <li>• evaluate the application and effectiveness of pest management procedures employed</li> <li>• analyze pest management reports</li> <li>• assess the effectiveness of storage requirements for pest</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
		control chemicals and equipment <ul style="list-style-type: none"> <li>• identify gaps in pest management procedures</li> <li>• evaluate the level of coordination between monitoring and pest management</li> </ul>
<b>GMP 15 Transport</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory requirements relating to food transport vehicles</li> <li>• standards and industry codes of practice concerning sanitary construction and design of food transport vehicles</li> <li>• the cold chain code of practice</li> <li>• the impact of climate (temperature, humidity) on product in transit</li> <li>• protection offered by packaging materials in differing climatic conditions</li> <li>• risks offered by packaging materials in differing climatic conditions (e.g., chemical migration)</li> <li>• food security in transit</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with food transport for a given product group or industry sector</li> <li>• validate temperature and climatic logging devices</li> <li>• assess vehicle loading and unloading practices, including holding times</li> <li>• identify gaps in product transport arrangements</li> </ul>
<b>GMP 16 Personnel hygiene and health management</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory requirements concerning personal hygiene for food handlers</li> <li>• human transmission of food pathogens and risk mitigation measures</li> <li>• human transmission of allergenic protein residue and risk mitigation measures</li> <li>• suitability of medical screening procedures for detection of communicable diseases</li> <li>• the risk of traffic and work patterns on product safety</li> <li>• statutory and industry standards for provision and condition of toilet rooms, change rooms, canteens, hand-wash stations,</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• evaluate the application, frequency, appropriateness, and effectiveness of personal hygiene procedures for a given product</li> <li>• review the effectiveness of traffic and work patterns on minimizing the risk of product contamination</li> <li>• analyze environmental and product test results</li> <li>• identify gaps in personal hygiene procedures and verification protocols</li> </ul>

Task	Required Auditor Knowledge	Required Auditor Skills
	break stations <ul style="list-style-type: none"> <li>• statutory and industry standards for provision and condition of protective clothing, disposable gloves</li> <li>• risk-based methodologies for verifying the effectiveness of personal hygiene programs</li> </ul>	
<b>GMP 17 Education and Training</b>	Knowledge of: <ul style="list-style-type: none"> <li>• regulatory requirements for training of food handlers</li> <li>• competency-based training and assessment methods</li> <li>• the content of position descriptions</li> </ul>	Ability to: <ul style="list-style-type: none"> <li>• assess the application and effectiveness of training programs provided to food handlers</li> <li>• assess the effective implementation of position descriptions by food handlers</li> <li>• assess the effective implementation of documented food handlers job functions</li> <li>• assess the effective supervision of food handlers</li> <li>• identify gaps in food safety training procedures</li> </ul>

### 3.3 Behavior and Systems Thinking

Tasks	Required Auditor Knowledge	Required Auditor Skills
<p><b>3.1 Auditor Conduct and Behavior</b></p> <p>Includes:</p> <p>Personal behavior</p> <p>Audit leadership</p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• conflict of interest</li> <li>• professional conduct required by auditors of the JFS-E-C standards.</li> <li>• the behavioral attributes expected of food safety auditors including:               <ul style="list-style-type: none"> <li>✓ Ethical; e.g., fair, truthful, sincere, honest and discreet,</li> <li>✓ Open minded; e.g., willing to consider alternative ideas or points of view,</li> <li>✓ Diplomatic; e.g., tactful in dealing with people,</li> <li>✓ Observant; e.g., actually aware of physical surroundings and activities,</li> <li>✓ Perceptive; e.g., instinctive, aware of and able to understand situations,</li> <li>✓ Versatile; e.g., adjusts readily to different situations,</li> <li>✓ Tenacious; e.g., persistent, focused on achieving objectives,</li> <li>✓ Decisive; e.g., timely conclusions based on logical reasoning,</li> <li>✓ Self-reliant; e.g., acts independently whilst interacting effectively with others,</li> <li>✓ Integrity; e.g., aware of need for confidentiality and observes professional code of conduct,</li> <li>✓ Moral courage (note: courage to do right things)</li> </ul> </li> <li>• conflict management and resolution</li> <li>• roles and responsibilities of audit team leaders</li> <li>• team dynamics and synergy – the cooperative interaction among team members that creates an enhanced combined effect</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• apply the appropriate behavioral attributes expected of a food safety auditor during the conduct of an audit. The auditor is able to demonstrate honesty, discretion, open-mindedness, diplomacy, perceptiveness, versatility, tenacity, decisiveness, and self-reliance.</li> <li>• deliver against the expected behaviors and show continuous improvement</li> <li>• develop observation skills</li> <li>• maintain self-control and professionalism at all times and under all audit conditions</li> <li>• readily respond to meeting the needs of internal and external clients</li> <li>• resolve conflict with tact and diplomacy, but without succumbing to external pressures or un-verifiable facts</li> <li>• plan the activities of an audit team effectively</li> <li>• develop a synergistic outcome form an audit team</li> <li>• recognize conflict of interest</li> <li>• conduct a self-assessment and develop continuous improvement strategies</li> </ul>



Tasks	Required Auditor Knowledge	Required Auditor Skills
<p><b>3.2 Systems Thinking</b></p> <p>Includes:            Problem solving            Critical thinking            Root cause analysis</p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• principles of systems thinking – identification of issues as part of an overall system as a whole, rather than reacting to specific parts</li> <li>• system improvement – singular and common causes</li> <li>• the relationship of quality management and productivity to food safety</li> <li>• statistical process control and cause and effect analysis</li> <li>• applicable methods and techniques for understanding and resolving problems</li> <li>• tools and techniques to conceptualize, analyze, and evaluate performance data and information from a variety of sources</li> <li>• the methodology, tools and techniques of root cause analysis</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• big picture thinking. The ability to stand back and look at the system as a whole, rather than just the individual parts</li> <li>• explain the inter-relationship between quality management, operations, productivity and food safety</li> <li>• identify special and common causes</li> <li>• correctly apply appropriate statistical process control tools</li> <li>• conduct cause and effect analysis</li> <li>• apply correct problem-solving tools in a given situation</li> </ul>
<p><b>3.3 Organizational Behavior</b></p> <p>Includes:            Business and organizational practices</p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• organizational structures and the inter-relationship of job functions</li> <li>• general business processes and related terminology</li> <li>• cultural, religious, and social customs within a given organization</li> <li>• ethical and moral principles and issues as applied to a given organization and/or industry sector</li> </ul>	<p>Ability to:</p> <ul style="list-style-type: none"> <li>• identify the inter-relationship of job functions within an organization and the impact on the effectiveness of the food safety management system</li> <li>• identify the interaction of employees within an organization and the impact on the effectiveness of the food safety management system</li> <li>• identify the cultural, religious, and social customs within an organization and the impact on the effectiveness of the food safety management system</li> <li>• identify the application of ethical conduct within an organization and its impact on the effectiveness of the food safety management system</li> </ul>

### Annex 3 (Normative) Auditor Qualifications, Training and Work Experience

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

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

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