

# **JFS-C**

## **Certification Program Document**

Version 3.2

Japan Food Safety Management Association

May 20, 2024

# JFS-C Certification Program Document

Version 3.2

## Contents

|  |          |
|--|----------|
| <b>1. PROGRAM OVERVIEW</b> .....   | <b>1</b> |
| 1.1 Objective.....   | 1        |
| 1.2 Establishment of the Program.....  | 1        |
| 1.3 Features of the Program.....   | 1        |
| 1.4 Reference standard documents .....   | 2        |
| 1.5 Standards covered by this Program .....  | 2        |
| 1.6 Certification program operating organization structure.....                                | 4        |
| <b>2. REGULATIONS FOR CERTIFICATION PROGRAM OWNER</b> .....                                    | <b>5</b> |
| 2.1 Certification Program Owner (CPO).....   | 5        |
| 2.2 Role of the CPO in standard development.....   | 5        |
| 2.3 Prohibition on operation of this JFS-C standard by the CPO.....                            | 5        |
| 2.4 Prevention of abuse of dominant position .....   | 5        |
| 2.5 Use of logo mark related to certification by this Program.....                             | 6        |
| 2.6 Multilateral recognition rules for accreditation activities.....                           | 6        |
| 2.7 Accreditation scope (target sectors) .....   | 6        |
| 2.8 Standard and Program name and version.....   | 6        |
| 2.9 Translation of standard documents .....  | 6        |
| 2.10 Business quality management system.....   | 6        |
| 2.11 JFSM activity report.....   | 6        |
| <b>3. DEVELOPMENT AND REVISION OF JFS-C STANDARD DOCUMENTS AND OPERATIONAL INTEGRITY</b> ..... | <b>8</b> |
| 3.1 JFS-C standard document development and revision process.....                              | 8        |
| 3.2 Operation and integrity of this Program .....  | 9        |
| 3.3 Review of operational status of this Program .....   | 9        |
| 3.4 Regulations for the Stakeholder Committee.....   | 9        |

|           |  |           |
|-----------|--|-----------|
| 3.5       | Response to opinions, questions and complaints from stakeholders .....   | 10        |
| 3.6       | Development and implementation of Integrity Program.....   | 10        |
| 3.7       | Certification body accreditation criteria.....   | 11        |
| 3.8       | Scope of certification body accreditation .....  | 11        |
| 3.9       | Data management for Program operation .....  | 12        |
| 3.10      | Confirmation of certificate authenticity.....  | 12        |
| 3.11      | Switching the GFSI recognized certification program.....   | 12        |
| 3.12      | Requirements for ICT-based remote audits.....  | 12        |
| <b>4.</b> | <b>REQUIREMENTS FOR ACCREDITATION BODIES .....</b>   | <b>14</b> |
| 4.1       | Requirements for accreditation bodies .....  | 14        |
| 4.2       | Additional requirements for ISO/IEC 17011:2017.....  | 14        |
| <b>5.</b> | <b>REQUIREMENTS FOR CERTIFICATION BODIES.....</b>  | <b>19</b> |
| 5.1       | Fundamental requirements for certification activities .....  | 19        |
| 5.2       | Requirements for certification activities .....  | 25        |
| <b>6.</b> | <b>REQUIREMENTS FOR PERSONNEL AND AUDITORS .....</b>   | <b>32</b> |
| 6.1       | Requirements for personnel .....   | 32        |
| 6.2       | Requirements for auditors.....   | 32        |
| 6.3       | Competence required for technical reviewers.....   | 36        |
| 6.4       | Witness-assessors competence .....   | 36        |
|           | <b>ANNEX 1 (PROVISION) PROCEDURES FOR DETERMINING MINIMUM AUDIT<br/>DURATION .....</b>                                       | <b>37</b> |
|           | <b>ANNEX 2 (PROVISION) COMPETENCE OF AUDITORS, WITNESS ASSESSORS AND<br/>TECHNICAL REVIEWERS IN THE JFS-C STANDARD .....</b> | <b>42</b> |
|           | <b>ANNEX 3 (PROVISION) SCOPE OF CERTIFICATION, AUDITOR'S QUALIFICATIONS,<br/>EDUCATION, AND WORK EXPERIENCE .....</b>        | <b>66</b> |
|           | <b>ANNEX 4 (PROVISION) RISK FACTORS OF OPERATIONAL INTEGRITY IN JFSM .....</b>   | <b>69</b> |

# **1. Program overview**

## **1.1 Objective**

Providing safe food to everyone should be the mission of all organizations in the food supply chain. The system defined by the requirements and procedures described in this document (hereinafter referred to as "this Program") is a means of confirming by third-party certification that organizations are implementing their food safety management systems. This Program standardizes the means to ensure food safety throughout the food supply chain and aims to improve the level of food safety for organizations seeking to use this certification. This Program is expected to further improve the level of food safety throughout the entire food supply chain and optimize the cost of food safety by promoting the initiatives of these individual organizations.

## **1.2 Establishment of the Program**

This Program and its related documents are established by the Japan Food Safety Management Association (hereinafter referred to as "the association" or "JFSM").

## **1.3 Features of the Program**

This Program has the following features.

### **1.3.1 Easy to understand for any organization**

This Program aims to promote further improvement of the level of food safety throughout the entire food supply chain and to make it easy for any organization to implement regardless of the scale, form, situation of the organization or the characteristics of its products. A supplementary explanation of the requirements is provided in separate guidelines. Methods will be separately provided so that each organization can adapt the Program to its own situation and gradually improve its own level of food safety.

### **1.3.2 Top management driven shop-floor oriented system**

It is important that the top management of the organization steadily participate in the food safety initiatives, define policies and goals, and appropriately provide management resources such as personnel and funds in order to improve the food safety level of an organization. In addition, this Program emphasizes the proper use of opinions on food safety from personnel who are actually involved in the food production and manufacturing. It is important for personnel on site to perform their work with a high degree of awareness, and that the opinions of the personnel be used appropriately to actually maintain and improve the level of food safety. This will motivate the personnel on site and enable them to gain a highly ethical work attitude, and can foster a food safety culture throughout the organization.

### **1.3.3 Flexibility based on scientific and logical approach**

The Program requires a scientifically based approach to manage hazards that threaten food safety. Flexibility is allowed in the management methods and means as long as they are scientifically and experimentally supported.

**1.3.4** The consistency of this Program 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.

**1.3.5** This Program does not use scores, rankings, or grade evaluations in the certification audits of organizations and the audits of certification body offices.

#### **1.4 Reference standard documents**

This Program is based on ISO/IEC 17011:2017, Conformity assessment — Requirements for accreditation bodies accrediting conformity assessment bodies (hereinafter referred to as "ISO/IEC 17011"), ISO/IEC 17021-1:2015 Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements (hereinafter referred to as "ISO/IEC 17021-1"), ISO 22003-1:2022 Requirements for bodies carrying out audits and certification of food safety management systems (hereinafter referred to as "ISO 22003-1"), IAF MD4:2018 IAF mandatory document for the use of information and communication technology (ICT) for auditing/assessment purposes (hereinafter referred to as "IAF MD4"), IAF MD 11:2023 IAF Mandatory Document for the Application of ISO/IEC 17021-1 for Audits of Integrated Management Systems (hereinafter referred to as "IAF MD11") and IAF MD25:2022 IAF Mandatory Document on the Evaluation Criteria for Conformity Assessment Schemes (hereinafter referred to as "IAF MD25").

#### **1.5 Standards covered by this Program**

This Program defines the accreditation and certification programs of the JFS-C standard (hereinafter referred to as this Standard). The sectors to which this Standard applies are the " Food Manufacturing Sectors (CI, CII, CIII, CIV)" and " Manufacturing sector of chemical products (K), including biochemical products (Production of chemical products (including biochemical products) and cultures used as food ingredients or processing aids in food production)".

In addition, chemical products here mean a chemical product (including a biochemical product) related to food.

\*Pet food is included in the following food manufacturing sector (C).

The sectors covered by this Standard and Program are based on the GFSI food supply chain sector classification and cover the scope of GFSI approvals.

The target sectors and subsectors are as follows.

Refer to Annex 3 for Scope of certification and Sector activities and products.

The sectors covered by this Standard and Program are based on the GFSI food supply chain sector classification and cover the scope of GFSI approvals. The target sectors and subsectors are as follows.

Table 1 Sector List by GFSI

The following sectors apply to this JFS (Food Safety Management) Standard Document.

※Of the sectors presented by GFSI, the sectors covered by this standard document are enclosed in a box.

| Code | Sector/Subsector  | Code | Sector/Subsector  |
|------|---|------|---|
| AI   | Farming of Animals for Meat/ Milk / Eggs / Honey                    | FI   | Retail / Wholesale  |
| AII  | Farming of Fish and Seafood   | FII  | Food Broker / Agent   |
| BI   | Farming of Plants (other than grains and pulses)                    | H    | Provision of Food Safety Services   |
| BII  | Farming of Grains and Pulses  | G    | Provision of Storage and Distribution Services  |
| BIII | Pre-process handling of plant products                              | I    | Production of Food Packaging  |
| C0   | Animal primary conversion   |      | Hygienic Design of Food Buildings and Processing Equipment (for building constructors and equipment manufacturers)  |
| CI   | Processing of perishable animal products                            | JI   |   |
| CII  | Processing of perishable plant products                             | JII  | Hygienic Design of Food Buildings and Processing Equipment (for building and equipment users)   |
| CIII | Processing of perishable animal and plant products (mixed products) |      |   |
| CIV  | Processing of ambient stable products                               | K    | Manufacture of chemical products (including biochemical products) (Production of chemical products (including biochemical products) and cultures used as food ingredients or processing aids in food production.) |
| D    | Production of feed  |      |   |
| E    | Catering  |      |   |

Reference: The GFSI Benchmarking Requirements version 2020 PART I

## **1.6 Certification program operating organization structure**

**1.6.1** The business organization of JFSM consists of a Board of Directors, a Board of Councilors, inspectors and the JFSM Secretariat. The rules for each entity in the organization are stipulated in the articles of incorporation, and the main functions and authorities of each entity are as follows.

- 1) The Board of Directors resolves matters related to the business execution of JFSM and approves the scheme documents (certification program documents and JFS-C standard documents) and other documents.
- 2) The Board of Councilors resolves important matters related to the operation of JFSM, including the appointment and dismissal of directors and auditors.
- 3) The Inspectors audit the performance of the duties performed by the directors.
- 4) The JFSM Secretariat handles the business affairs of JFSM.

**1.6.2** JFSM may, with the approval of the Board of Directors, establish a working group of experts when deemed necessary to operate the Program. JFSM also establishes a Stakeholder Committee to serve as an advisory body.

**1.6.3** The Board of Directors appoints a representative from among JFSM Secretaries to liaise with accreditation and certification bodies and GFSI, and reports on the appointment to the board of directors.

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

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

This JFS-C Standard and Program are operated and managed by the Japan Food Safety Management Association (JFSM), which is the CPO of this Program. JFSM was established based on the “Act on General Incorporated Associations and General Incorporated Foundations” (Act No.48 of 2006) of Japan.

### **2.2 Role of the CPO in standard development**

**2.2.1** As the CPO of this standard, JFSM continually reviews these standard documents and, if necessary, revises them while taking into account the requests of stakeholders. Revisions include changes required to be consistent with revisions to the GFSI Benchmarking Requirements.

**2.2.2** As the CPO of this standard, JFSM has the authority to develop and revise the JFS standard.

**2.2.3** As the CPO of this standard, JFSM does not perform conformity assessment and certification activities. In addition, this Program shall be developed and managed and owned by JFSM, and shall not be developed or owned by any certification bodies or its affiliated organizations.

**2.2.4** As the CPO of this JFS-C standard, JFSM specifies the requirements for the accreditation bodies to operate this Program in Chapter 4 below.

**2.2.5** As the CPO of this JFS-C standard, JFSM specifies the requirements for the certification bodies to operate this Program in Chapter 5 and Chapter 6 below.

### **2.3 Prohibition on operation of this JFS-C standard by the CPO**

As the CPO, JFSM does not engage in consultation activities related to the Program.

### **2.4 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.



## **2.5 Use of logo mark related to certification by this Program**

This Program is intended to certify the food safety management system of an organization, not the food safety of the product itself. Therefore, even if a product is manufactured at a site certified to this standard, it is not permitted to display a logo mark or description on the product or its product packaging (including primary and secondary packaging) that could mislead consumers into believing that the product has been certified to a food safety management system.

The use of the logo mark related to the certification of this Program is defined in the "Provision for JFS-C Certification Logo Handling".

## **2.6 Multilateral recognition rules for accreditation activities**

JFSM ensures that a certification body that issues certificates accredited by AB who are a member of the International Accreditation Forum (IAF), and has signed the International Multilateral Recognition Regulation (MLA) based on this JFS-C standard and Program. Also, an accreditation body that provides the certification under this Program shall fulfill the requirements of ISO/IEC 17011 and the additional requirements listed in section 4.2 below, be a member of the International Accreditation Forum (IAF), and is a signatory to the IAF International Multilateral Recognition Agreement (MLA) (ISO/TS 22003:2013 compatible with level 4 or ISO 22003-1:2022).

## **2.7 Accreditation scope (target sectors)**

JFSM stipulates that the scope of the certification body's accreditation required by this JFS-C standard and the Program covers the C and K sectors as shown in section 1.5.

## **2.8 Standard and Program name and version**

JFSM ensures that the name of the JFS-C certification program recognized by GFSI and its version number are included in the scope of accreditation.

## **2.9 Translation of standard documents**

JFSM confirms that the certification bodies have a process to publish audit reports in English, the official translation language, or in the language required by the organization.

## **2.10 Business quality management system**

JFSM establishes and implements a business quality management system related to its activities as a CPO, and maintains the system.

## **2.11 JFSM activity report**

JFSM prepares its own activity report once a year and sends it to the members of the Stakeholder Committee, contracted accreditation bodies and contracted certification bodies.

Additionally, an activity report based on the requirements of GFSI will be sent to GFSI.

### **3. Development and revision of JFS-C standard documents and operational integrity**

#### **3.1 JFS-C standard document development and revision process**

- 1) The JFSM Secretariat prepares a draft of the standard document. During the preparation of the draft, the Secretariat obtains the cooperation of a working group if necessary.
- 2) The Secretariat publishes the draft of the standard document on the JFSM website and makes it available for public consultation for at least 2 weeks.
- 3) The Secretariat establishes a forum for discussing the draft standard document under development with the Stakeholder Committee when necessary.
- 4) The Board Chairman consults with the Stakeholder Committee on the draft standard document that has taken into account the comments in 2), and hears the opinions of the Stakeholder Committee.
- 5) The Secretariat takes into account the public comments in 2) and the opinions of the Stakeholder Committee in 3) and reflects them in the draft of the standard document. At that time, the Secretariat will receive the cooperation of the working groups as necessary.
- 6) The Secretariat prepares the final draft of the standard document, taking into account the opinions in 5).
- 7) The final draft of the standard document is enforced by the approval of the Board of Directors.
- 8) The Secretariat publishes the document prepared with the approval of the Board of Directors, translates it appropriately into English, and submits it to GFSI.
- 9) The Secretariat publishes the approved standard document on the JFSM website.
- 10) The Secretariat informs the GFSI and the contracted accreditation bodies and certification bodies of the revisions without delay, and ensures that the accreditation bodies and certification bodies correspond to the revisions decided by JFSM within the time frame specified by JFSM.
- 11) The Secretariat publishes a list of active certification bodies along with the scope of certification.
- 12) JFSM notifies the certification bodies of information related to the Program and the development status. This notification includes revisions to the Program.
- 13) JFSM publishes guidance and requirements regarding version transition for the certification bodies in accordance with the Provision of Document Control, when a new version of the Program takes effect. The information includes the following elements.
  - Terms of the transition period from the old version to the new version
  - Clearly defined transition period
  - Comparison of information in the old version and new version
  - Lead time for the certification bodies to share information with all auditors and certified organizations

## **3.2 Operation and integrity of this Program**

**3.2.1** JFSM engages in regular exchanges and communication with the contracted accreditation bodies (Harmonization Meetings of the CPO, ABs and CBs) and ensures that the accredited certification bodies are accredited in accordance with ISO 22003-1, IAF MD4 and IAF MD25.

**3.2.2** When operating this Program, JFSM requires that all certification bodies conducting certification activities obtain ISO/IEC 17021-1, ISO 22003-1, IAF MD4 and IAF MD25 accreditation and conclude a compulsory contract regarding their applicable certification activities.

**3.2.3** JFSM holds a JFS-C Certification Program Harmonization Meeting with the accreditation bodies and certification bodies at least once a year. The objectives of the Harmonization Meeting are to:

- 1) ensure the consistency of audits and certification processes of this Program,
- 2) hear opinions on the management of this Program and JFS related documents,
- 3) exchange technical information on the competence of auditors
- 4) hold a workshop for improving the competence of auditors.

## **3.3 Review of operational status of this Program**

JFSM reviews the operational status of the Program at least once a year by conducting internal audits and management reviews, and revises the Program as necessary. The review ensures that the standards of the Program are current and take into account any opinions, questions and complaints raised by stakeholders. JFSM documents the results of the review and any action taken.

## **3.4 Regulations for the Stakeholder Committee**

**3.4.1** The Stakeholder Committee is an advisory body that independently provides advice from the viewpoint of expert advice and the stakeholders in response to consultation requests from the Board of Directors or the Board Chairman.

**3.4.2** The Stakeholder Committee consists of the following members, which are appointed and dismissed by the Chairperson with the approval of the Board of Directors.

- 1) Representative(s) of food and food ingredient manufacturing industry
- 2) Representative(s) of the distribution industry
- 3) Representative(s) of consumers
- 4) Representative(s) of certification bodies and accreditation bodies
- 5) Food safety expert(s)

6) Expert(s) on specific issues (technical experts and/or representative(s) of relevant business operators in specific sectors or subsectors, if necessary)

**3.4.3** The Stakeholder Committee shall maintain records of its meetings and provide a written response to consultation requests from the Board of Directors or the Board Chairman.

**3.4.4** The operation of the Stakeholder Committee is defined in the "Stakeholder Committee Operating Regulations".

### **3.5 Response to opinions, questions and complaints from stakeholders**

**3.5.1** JFSM separately stipulates the "Objection Processing Regulations" and establishes a contact point to receive opinions, questions, objections, and complaints from stakeholders such as certified organizations, certification bodies, accreditation bodies, JFSM members, the government, and consumers regarding the operation of this Program, the content of JFS-related documents, the interpretation of requirements, etc.

**3.5.2** The Secretariat responds to complaints and other inquiries received by JFSM in accordance with the established procedures and reports the results of its analysis of the responses to the Board of Directors at least once a year. Handling of complaints is stipulated in the "Complaint Handling Regulations".

### **3.6 Development and implementation of Integrity Program**

**3.6.1** JFSM establishes and implements an Integrity Program to demonstrate that the certification bodies conform to the requirements of the Certification Program and manage their activities effectively.

**3.6.2** JFSM notifies the certification bodies at least once a year about the results of the Integrity Program.

**3.6.3** JFSM implements a risk-based assessment program when conducting a desktop review of certification body audit activities.

**3.6.4** JFSM implements a risk-based certification body office audit program that focuses on the implementation of the Certification Program requirements by the certification bodies.

**3.6.5** JFSM defines key performance indicators (KPIs) for certification body activities in the results of desktop reviews and office audits performed on certification bodies.

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

1) Evaluation of certification activity using the JFSM database

Check whether the audit duration in the audit information entered in the database are appropriate.

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 Program."

**3.6.7** When the results of the activities of the Integrity Program determine that a certification body does not conform to the requirements of this Program (and suspension or withdrawal is indicated), JFSM provides such information to the certification body.

**3.6.8** JFSM carries out the desktop reviews, office audits of certification bodies, evaluation of certification operations through entries in the database, and monitoring of audit reports as described in 3.6.1-3.6.7 as part of its integrity program in surveillance activities. Each program will be a risk-based assessment and risk-based factors are summarized in Annex 4. Details of the implementation of the integrity program are set out in the "Surveillance activity provisions for certification bodies relating to the JFS-C".

### **3.7 Certification body accreditation criteria**

JFSM ensures that the accreditation criteria applied when accrediting a certification body by an accreditation body are consistent among the accreditation bodies and that they are uniform in the accreditation contracts concluded with the certification body.

### **3.8 Scope of certification body accreditation**

**3.8.1** JFSM is in agreement on the process to be conducted by an accreditation body as a certification body expands the scope of its certification activities based on Clause 2.7.

**3.8.2** When a certification body is applying to an accreditation body to extend the scope of its accreditation, the certification body shall inform JFSM, which is the certification program owner.

**3.8.3** When the scope of certification services provided by a certification body includes services outside the scope of its accredited sectors and/or subsectors, JFSM will confirm whether the certification body consistently publishes and recognizes the scope of the sectors and/or subsectors to which the certification body is accredited.

### **3.9 Data management for Program operation**

JFSM has a clearly specified data management system that is used to maintain data for effective management and operation of the Program. This data management system is composed of information that is included on four forms submitted by the certification body ("C certification body registration form", "C auditor registration form", "C certified organization information registration form", and "C detailed audit information registration form").

The data management system also includes the following items related to the GFSI Benchmarking Requirements and annual assessments.

- Number of valid certificates
- Number of certificates issued during the specified period
- Number of qualified auditors
- Number of suspended certifications
- Number of revoked certifications

JFSM registers information on the competence, education, experience and scope of activities of the auditors, and the certification bodies to which they belong, and keeps this information updated.

### **3.10 Confirmation of certificate authenticity**

In order to ensure that the content of a certificate issued by a certification body is accurate, JFSM confirms the information registered in the database, notifies the certification body of the approval decision of the Secretary-General, and after taking necessary measures, authenticates the process by which the certification body issues a certificate.

### **3.11 Switching the GFSI recognized certification program**

The switch from other GFSI recognized certification program is acceptable only if the scope of JFS-C standard is equivalent to current certified scope when certified organization is willing to switch to our standard and the equivalence of both scopes of certifications, audit reports including the previous unannounced audit and audit histories are minimum requirements defined by JFSM. Certification bodies shall decide on the validation and approval of the switching and ensure that JFSM is notified of its approval rationale.

### **3.12 Requirements for ICT-based remote audits**

**3.12.1** For performing remote audits using ICT in the operation of this Program, JFSM separately stipulates the requirements allowing remote audits and the requirements to be confirmed in on-site audits in the "Provision for Remote Audit". Verification of all work in the manufacturing processes operated by the audited organization is required to be performed by an on-site audit based on the food safety management system (including HACCP).

**3.12.2** To ensure the efficiency and completeness of an audit, even if JFSM must unavoidably perform an ICT-based remote audit, the entire period of the audit consisting of both the remote audit and the on-site audit shall be within 30 days in principle.

**3.12.3** In the event that JFSM is required to perform a remote audit using ICT in the operation of this Program, to ensure the efficiency and completeness of the audit if the overall audit duration as specified in section 3.12.2 exceeds 30 days, operation requires the establishment of a process to set a risk assessment for the extension of the entire audit period and an extension deadline according to the result.



## **4. Requirements for accreditation bodies**

### **4.1 Requirements for accreditation bodies**

**4.1.1** Accreditation bodies that accredit certification bodies under this Program shall meet the requirements of ISO/IEC 17011:2017 and the additional requirements listed in section 4.2 below, and be a member of the International Accreditation Forum (IAF). Accreditation bodies shall also be signatories to the International Multilateral Recognition Regulation (MLA) (ISO/TS 22003:2013 compatible with level 4 or ISO 22003-1:2022).

**4.1.2** Accreditation bodies shall report the status of a disposition to JFSM when the disposition suspends or revokes the accreditation of a certification body.

**4.1.3** Accreditation bodies shall mutually recognize the equivalence of certifications based on the JFS-C standard with other accreditation bodies that are contracted with JFSM.

### **4.2 Additional requirements for ISO/IEC 17011:2017**

Accreditation bodies shall conform to the following requirements in addition to ISO/IEC 17011 (2017).

**4.2.1** JFSM stipulates the following requirements for conformity assessment bodies: ISO/IEC17011:2017.

1) Application for accreditation [7.2]

Accreditation bodies shall inform JFSM when a certification body submits an application for accreditation under this Program.

2) Information requirements [8.1, 8.2]

① Accreditation bodies shall conclude a confidentiality agreement with JFSM. The confidentiality agreement shall state that the information shared between the accreditation body and JFSM shall not be disclosed to any third parties.

② Accreditation bodies shall share information on problems related to this Program with JFSM. Accreditation bodies shall provide the information to JFSM as soon as the information regarding the problem with the Program is confirmed, and when the information is related to complaints or serious nonconformities, accreditation bodies shall be responsible for following up on corrective actions.

③ Accreditation bodies shall report to JFSM the following information a) to c) without delay, the information d) when requested by the association, and information e) after completing the assessment.

a) Suspension, withdrawal of accreditation, reduction of sector accreditation

b) Complaints that could compromise the accreditation status

c) Significant nonconformities (nonconformities that may affect the validity of accreditation)

- d) Information on the accreditation assessment conducted for the certification body
  - e) Summary of Accreditation Assessment
- ④ JFSM will provide the following information to accreditation bodies.
- a) Information on certification bodies acquired by JFSM through the Integrity Program described in section 3.6 in this document, including the results of KPI analysis and the results of office audits conducted by JFSM.
  - b) Information regarding changes to this Program and related documentation.
  - c) Other information necessary for certification assessment (including complaints about certification bodies)
- 3) Organizational requirements [5]  
 Accreditation bodies shall appoint one person with authority who is responsible for this Program and notify JFSM.
- 4) Complaint handling [7.12]  
 Accreditation bodies shall consult with JFSM directly if any problems or questions arise during the accreditation process.  
 When possible, accreditation bodies shall investigate and take measures within 30 days of any complaint related to this Program. In the case of a complaint that affects accreditation and/or certification under this Program, accreditation bodies shall immediately notify JFSM and take the appropriate action.
- 5) Appropriate communication  
 Accreditation bodies shall establish an appropriate means of contact with JFSM for effective communication.
- 6) Partnerships for maintaining integrity  
 In order to maintain the integrity of this Program, JFSM may participate as an observer in the accreditation committee related to the certification work of this Program, as an observer in the office audits of the certification bodies conducted by accreditation bodies, and witness accreditation assessments of organizations.  
 If an accreditation body has considered a complaint or objection related to this Program, the accreditation body shall report the results of that consideration to JFSM without delay.  
 JFSM may conduct surveys of accreditation bodies as needed, such as when there are complaints about the accreditation work.
- 7) Resource reviews [7.3]  
 When the requirements stipulated in this Program are changed or revised, accreditation bodies shall cooperate with JFSM to establish an appropriate review process for the certification bodies, and confirm the conformity of the certification bodies with regard to the additions and/or changes of the requirements related to accreditation.
- 8) Record management [9.4]

Accreditation bodies shall retain records relevant to this Program and have the records be readily accessible for at least five years.

9) Internal audits [9.7]

Accreditation bodies shall include their own accreditation activities based on this Program into the scope of their internal audits.

10) Competence of personnel [6.1]

① All personnel engaged in the accreditation activity of this Program shall have proper knowledge of this Program, related documents and food safety.

② Accreditation bodies shall ensure that the team performing assessments includes personnel who have successfully completed the training of this Program and Codex HACCP training courses provided by a training organization, and one of the team members shall have at least two years of experience in the food sector.

③ The team responsible for office audits or on-site audits shall be staffed with personnel who have expertise in this Program and the related Standard documents. Accreditation bodies shall maintain records of the training related to this Program that is given to auditors, and to technical experts, when appropriate. Accreditation bodies shall document information about auditors and technical experts in accordance with the requirements in this section.

11) Items related to accreditation activities [7.1]

① Documents applicable to accreditation

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

② Outsourcing of assessment work [6.4]

If an accreditation body outsources an accreditation assessment to a third party, or if the work is further subcontracted, the requirements of this Program shall be applied for the accreditation assessment. Outsourced or subcontracted accreditation bodies shall be signatories of the IAF International Multilateral Recognition Agreement (IAF MLA), have ISO 22000 approval, and the personnel involved in the accreditation process shall meet the requirements stipulated in section 4.7 of this document.

③ Preparation for assessment [7.4]

1) Accreditation bodies shall provide the requirements set forth in this document to the assessment team.

2) Accreditation bodies shall conduct assessments taking into account the information on certification bodies obtained from JFSM based on 4.22) ④ of this document. When there are complaints about certification bodies, accreditation bodies shall verify in the assessment that the complaints have been effectively dealt with and appropriate corrective actions have been taken.

- 3) The “appropriate criteria documents” described in ISO/IEC17011 shall include the criteria for determining the requirements for certification bodies as stipulated by JFSM.
- ④ On-site assessments (office assessments and witnessed assessments)  
At least one witnessed assessment of the certification body shall be conducted in the initial certification. For certification bodies that wish to be accredited in more than one sector, sampling levels appropriate for those sectors shall be set.
- 12) Reassessment and surveillance [7.11.3, 7.11.5, 7.11.6, 7.11.7]  
Office assessments of the certification body shall be conducted once a year. Accreditation bodies shall conduct witnessed assessments of each certification body at least once a year. Teams conducting witnessed assessments shall include at least one member who has experience in the food sector and/or subsector applicable to the organization.  
Accreditation bodies shall be reassessed according to ISO/IEC17011 so that their accreditation cycle does not exceed five years. When they have knowledge of issues that could undermine the credibility of the certification process, accreditation bodies shall take appropriate steps, such as conducting ad hoc assessments as necessary.
- 13) Extending accreditation [7.10]  
1) If a certification body wishes to extend its scope of activity with respect to a sector defined by JFSM, accreditation bodies shall, at a minimum, thoroughly scrutinize the documentation that confirms conformity with the requirements of the certification standard.
- 14) Suspension, withdrawal or reduction of accreditation [7.11]  
JFSM will notify accreditation bodies when certification bodies do not conform to the requirements of JFSM. Accreditation bodies shall investigate the issues raised by JFSM and take appropriate action (including suspension or withdrawal of accreditation, or reduction of the accreditation scope).
- 15) Accreditation information [7.8]  
Accreditation bodies shall ensure that the accreditation certificate or accreditation statement includes the official name and version of this Program and applicable sector (and subsectors, if any).
- 16) Accreditation citations and use of accreditation symbols [4.3]  
Accreditation bodies shall ensure that ISO/IEC 17011 4.3 is applied in relation with the use of this Program, and that appropriate measures are taken against inaccurate or misleading statements or representations of the status of accreditation.
- 17) Sharing the results of the certification body's confirmation, etc.  
Upon consultation with JFSM, the accreditation body shall check the conformity and effectiveness of the certification body, etc. based on the information (including

KPIs, nonconformities and concerns found in the office audit) provided by JFSM in accordance with 2) ④ a), and provide the results to JFSM.

18) Validation

Prior to the revision of the program document, JFSM requests the accreditation body to verify the validity of the revision of the program document. In this case, the number of days required for the validation by the accreditation body shall be agreed upon through prior consultation between JFSM and the accreditation body.

## **5. Requirements for certification bodies**

### **5.1 Fundamental requirements for certification activities**

#### **5.1.1 Contract conditions with certification bodies**

Certification bodies that perform certification work for this Program shall meet the following prerequisites.

- 1) After undergoing a preliminary office assessment by JFSM and receiving the approval of the Board of Directors, certification bodies shall conclude a contract with JFSM to provide certification activities based on this Program.
- 2) Certification bodies shall be accredited by accreditation bodies contracted with JFSM based on ISO/IEC 17021-1, ISO 22003-1, IAF MD4 and Section 5 (Requirements for certification bodies) of this document.
- 3) Certification bodies shall conduct certification activities of food safety management systems consistently and fairly.
- 4) Certification bodies shall conduct their activities using this entire Program including the scope recognized by GFSI.
- 5) Certification bodies shall notify JFSM in a timely manner when there is a change in their owner, administrator, management structure or organization.
- 6) Certification bodies shall report to JFSM when their accreditation scope is extended.
- 7) Certification bodies shall immediately report to JFSM when the suspension or withdrawal of the organization's certification is in progress.

#### **5.1.2 Contract with JFSM**

- 1) Certification bodies shall receive accreditation within one year from the date of the acceptance of their application by an accreditation body.  
If a certification body is unable to receive accreditation within one year, or if there is a delay, the certification body shall reapply to an accreditation body and submit a written plan to JFSM to obtain accreditation. If this plan is not valid, JFSM will terminate the contract with the certification body.
- 2) When a certification body's accreditation is suspended or revoked, the certification body shall report it to JFSM immediately, and shall allow JFSM and the accreditation body to directly discuss the matter.

#### **5.1.3 Confidentiality**

Certification bodies and JFSM shall agree to confidentiality in the above-mentioned contract. Certification bodies submit information and opinions regarding the operation and functions of this Program to JFSM. At that time, certification bodies shall appropriately process the information to prevent confidential information about the organization from leaking to the outside.

#### **5.1.4 Fees**

- 1) Application to begin certification and application fee  
Certification bodies shall submit application documents to begin the certification to JFSM, and these documents will be specified separately. Certification bodies shall pay JFSM a separate application fee when applying for certification.
- 2) Annual fee  
Certification bodies shall pay JFSM an annual fee that is separately set for each business year.

#### **5.1.5 Information disclosure**

Certification bodies shall make the following information publicly available. However, regarding 2), this information shall be published on the website operated by the certification body.

- 1) Corporate information
- 2) Version of the accredited Program document
- 3) Scope of accredited sectors and version (sectors outside the accreditation scope shall be disclosed separately.)
- 4) Evaluation procedures and accreditation processes related to this Program.
- 5) Certification system including rules and procedures for granting, maintaining, expanding, suspending, and revoking certification
- 6) Audit procedures and certification processes related to this Program
- 7) Rights and obligations of applicant and clients (use of the JFS-C certification logo, how the organization declares its certification)
- 8) Complaint, objection, dispute handling procedures
- 9) List of all organizations certified under this Program

#### **5.1.6 Quality management system**

1) Certification bodies shall operate effective quality management systems. The quality management system shall be documented and utilized by all relevant personnel of the certification body. Personnel responsible for developing, implementing and maintaining the quality management system shall be appointed within the certification body. These designated personnel shall be responsible for reporting to the management of the certification body on the performance of the quality management system and system improvements based on management reviews.

2) The quality management system shall include, at minimum, the following items.

- ① Quality policy
- ② Legal status of the certification body (ownership structure, inter-organizational control structure, functional organization chart (inter-organizational control structure shall indicate how each organization is inter-related through the management structure)

- ③ Management of certification processes, including committee structure, roles and procedures
- ④ Management review policy and procedures
- ⑤ Document control procedures
- ⑥ Responsibilities for quality-related operations and functions (including the scope of authority)
- ⑦ Recruiting procedures (selection, initial training, subsequent training and performance assessments of personnel related to certification)
- ⑧ Lists of outsourced contractors involved in certification and the procedures for managing their assignment and assessment
- ⑨ Procedures for actions against nonconformities, and procedures for confirming the effectiveness of corrective and preventive actions
- ⑩ Procedures for the use of certification, and procedures for revoking or suspending certification
- ⑪ Policies and procedures regarding objections, complaints and disputes
- ⑫ Internal audit procedures (including corrective actions against identified nonconformities)

#### **5.1.7 Notification of certificate format**

Certification bodies shall notify JFSM regarding the format of the certificate to be issued to certified organizations before starting the certification. The certificate shall include the following information:

- 1) JFS-C Standard name and its version
- 2) Name and address of the certified organization
- 3) Sectors and/or subsectors, products, manufacturing processes and manufacturing locations (the manufacturing processes and manufacturing locations shall be specified as necessary)
- 4) Effective date of the certificate
- 5) Expiration date of certificate
- 6) Logo marks of JFSM, accreditation body and certification body
- 7) Signature and title of certification body representative
- 8) The phrase "Conformity to the JFS-C Standard (Sector: CI, CII, CIII, CIV/K)" (Requirements for Organizations).

The certificate shall be issued on a manufacturing site basis.

The certificate shall use the template previously submitted to JFSM.

#### **5.1.8 JFS-C certification logo mark handling regulations**

Certification bodies shall communicate the regulations for using the JFS-C standard logo mark defined in this Program (Provision for JFS-C certification logo mark handling) to the certified organizations to ensure their conformity.



### 5.1.9 Communication between JFSM and certification bodies

#### 1) Information submitted by certification bodies to JFSM

##### ① Information on the structure of the certification body

Immediately after concluding a contract with JFSM, certification bodies shall submit information regarding the structure of the certification body to JFSM by the method specified in ⑤.

When there is a change in the ownership structure of the certification body, management of personnel, management organization, regulations, etc., the certification body shall submit the information to JFSM by the deadline and method specified in ⑤.

##### ② Information on auditors

After concluding a contract with JFSM, certification bodies shall immediately submit information about auditors to JFSM by the method specified in ⑤. This information includes the qualifications of auditors engaged in certification, training history, background, and details on the scope of audit activities related to food. When the information on registered auditors has changed, certification bodies shall submit those changes to JFSM by the deadline and method specified in ⑤. Certification bodies shall verify and update the auditor registration once a year at a minimum. Certification bodies and auditors shall take the action required by JFSM to enable the competence assessment of registered auditors as conducted by JFSM.

##### ③ Information on certified organizations

After a certification body certifies an organization, the certification body shall submit the information on the certified organization to JFSM by the deadline and method specified in ⑤.

##### ④ Audit information

After conducting a certification audit, the certification body shall submit the audit information to JFSM by the deadline and method specified in ⑤.

##### ⑤ Method and deadline for submitting information

Regarding the information from ① to ④ above, the certification body shall submit the data for the current month by the 15th day of the following month in accordance with the "JFSM database system operation manual (for certification bodies)".

Regarding the information in ① and ② above, certification bodies shall submit the information to JFSM in the prescribed format.

#### 2) Consultation between JFSM and certification bodies

When a certification body provides certification services that are beyond the scope of accreditation, JFSM will consult with the certification body to resolve any issues in the certification scope.

When JFSM finds a potential conflict or problem regarding the certification activities that may reduce trust in JFSM or GFSI, JFSM will consult with the relevant certification body, come to mutual agreement on appropriate measures, and notify GFSI of the outcome.

#### **5.1.10 Audits of certification bodies and investigation of certified organizations**

1) JFSM office audits of certification bodies and assessments of certified organizations

To enable JFSM to conduct audits of certification bodies and investigations of certified organizations, the certification bodies shall provide the support and information required by JFSM. To enable JFSM investigations of certified organizations (which may be accompanied by accreditation bodies or certification bodies, or visited by JFSM alone), the certification bodies shall stipulate this in their contract with JFSM.

2) Certification audits witnessed by accreditation bodies

In section 4.2.1 12) of this Program, audits conducted by each certification body shall be witnessed at least once a year as surveillance activities by the accreditation bodies, and for this purpose, the certification bodies shall have the prior agreement of the organizations.

#### **5.1.11 Recommendations to certification bodies**

Certification bodies may accept or reject the recommendations made by JFSM to the certification bodies regarding this Program. If a recommendation from JFSM is not accepted, the certification body shall state the reason and notify JFSM in writing. In this case, JFSM will consider the reason and decide whether to reissue, change or withdraw the recommendation. If the certification body continues to refuse the recommendation, JFSM will determine its response, which may include excluding the certification body from the use of this Program.

#### **5.1.12 Harmonization Meeting**

Certification bodies shall participate in harmonization meetings. Details on the Harmonization Meetings are provided in the "Provision for JFS-C Certification Program Operation Harmonization Meeting".

#### **5.1.13 Changes to this Program**

1) Notification of changes of this Program

Certification bodies shall notify the concerned parties (certified organizations, auditors in the certification body, technical experts, etc.) of changes of this Program (including additions and revisions to various rules specified by JFSM) when announced by JFSM. In addition, the changes shall be reflected in the procedure manuals of the certification bodies as necessary.

2) Transition period for revision of requirements

As a general rule, certification bodies shall respond to the changes of this Program within four months after receiving a notification from JFSM. When the requirements for organizations are changed, the transition period for conforming to the new requirements will be provided by JFSM each time, except when different periods are prescribed by laws or regulations.

#### **5.1.14 Sector extension**

When a certification body wishes to start certification activities in a new sector of this Program, the certification body shall conclude a contract with JFSM for certification activities in the sector and be accredited for the sector by an accreditation body.

## 5.2 Requirements for certification activities

### 5.2.1 Conformity assessments of organizations

Basis of conformity assessment

Certification bodies shall conduct conformity assessments based on the JFS-C Standard (Sectors: CI, CII, CIII, CIV/K) (Requirements for Organizations). In addition, certification bodies shall conduct all steps required for conformity assessment to ensure conformity to all the other requirements related to this Program.

The scope of certification shall be defined for the activity and products based on the Annex 3.

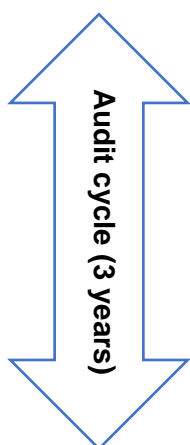
Tools for conformity assessment

Certification bodies shall have tools that enable them to effectively refer to the requirements to assess conformity with the JFS-C Standard (Sectors: CI, CII, CIII, CIV/K) (Requirements for Organizations).

### 5.2.2 Implementation of audits

#### 1) Audit program

Audits in this Standard shall be conducted based on the following certification cycle.



- ✧ Initial audit  
First audit: Audit mainly for the development of the food safety management system
- ✧ Second audit: Audit of operation of the food safety management system  
\*If an organization is determined to be conforming, a certificate valid for a period of three years will be issued by a certification body.
- ✧ Surveillance audit (periodic audit): After certification, an annual audit within the valid period is conducted.
- ✧ Recertification audit (renewal audit): Audit to continue the three-year cycle for another three years

#### 2) Certification bodies shall determine the audit frequency and audit duration and prepare an audit plan according to the following.

- ① Each site shall be audited at least once a year for each sector and/or subsector to be certified to evaluate all requirements of the Standard.
- ② The audit frequency shall be decided with consideration for the past audit history, points of conformity with the Standard, product seasonality, increase in manufacturing capacity, changes to organizational structure, changes in product technology, and changes in product types.
- ③ Regardless of the audit frequency of ① and ②, additional surveillance audits shall be performed when there is evidence or suspicion of nonconformity in the organization.

- ④ The audit duration shall be decided based on the "Audit duration determination procedure manual" as specified in Annex 1.
- ⑤ At least one of the surveillance audits performed up to the recertification audit shall be an unannounced audit. In addition, the audit report shall clearly indicate that the audit conducted was an unannounced audit. Audits of head office functions are not subject to unannounced audits unless the head office functions are located in the same location as the on-site audit. In addition, if it is necessary to conduct an on-site audit with unannounced, and an audit of the head office functions is conducted prior to the on-site audit, It is also desirable to conduct unannounced audits regarding head office functions.
- ⑥ Audit of head office functions is referred to in 8) "Audit of head office functions."

Audits performed outside the normal cycle include extraordinary audits, additional audits, and repeat audits.

#### Extraordinary audit

An audit conducted under conditions such as those in section 5.2.5 of this document. If the result is nonconformity after an audit review, measures such as temporary suspension or withdrawal of the certification may be taken.

#### Additional audit

An audit performed on seasonal products and additional products (extension of product group)

#### Re-audit

An audit performed as described in section 5.2.2 5) ① a) of this document. When there are changes that affect the requirements, such as significant changes that may affect product safety, changes in the management of the organization, etc. within the valid period of the certification, or when the certification body has reason to believe that there may be a conformity problem related to the certification, an extraordinary audit results in a temporary suspension, and this is followed by a re-audit. A re-audit is different from a recertification audit.

### 3) Auditor selection procedure

Certification bodies shall implement procedures for auditor selection, including auditor rotation, such as no more than six consecutive audits at the same site, in order to maintain the impartiality of the audits.

### 4) ICT-based remote audits

- ① The requirements allowing remote audits and the requirements to be confirmed in on-site audits that satisfy the following items when certification bodies conduct remote certification audits using ICT are separately stipulated by JFSM in the "Provision for Remote Audit".

- ② Certification bodies shall plan and conduct audits according to the requirements defined by JFSM that allow remote audits and the requirements to be confirmed in on-site audits. To maintain the efficiency and completeness of audits, at a minimum, on-site audits shall be required for the inspection and physical verification of good manufacturing practices and verification of all operations in the manufacturing processes operated by the audited organization based on its food safety management system (including Codex HACCP).
  - ③ Even if a certification body is unavoidably required to conduct a remote audit using ICT, the certification body shall have the agreement of the organization to be audited to conduct the remote audit.
  - ④ Even if a certification body is unavoidably required to conduct a remote audit using ICT, the entire duration of the audit, consisting of remote audits and on-site audits, shall not exceed 30 days in order to ensure the efficiency and completeness of the audit.
  - ⑤ If a remote audit conducted using ICT is unavoidably required and the total duration of the audit specified in section 5.2.2 of this document exceeds 30 days as described in ④, in order to ensure the efficiency and completeness of the audit, the certification body shall establish a process for a risk assessment of the extension of the entire period and an extension deadline according to the result. Even with this process implemented, the entire audit duration as described in section 5.2.2 4) of this document shall not exceed 90 days.
- 5) Criteria for conformity assessment
- ① Auditors shall assess conformity or nonconformity using the following four levels:
    - a) Critical nonconformity (a direct impact on food safety or nonconformity with laws and regulations that could have a serious impact on food safety).  
\*The result of the audit indicates that conformity to the requirements is not fulfilled, and as a result, the product becomes unsafe and/or the laws and regulations that may seriously affect food safety are not observed.
    - b) Major nonconformity (likely to cause a risk to food safety).  
\*The result of the audit indicates that conformity to the requirements is not fulfilled, and as a result, the product becomes unsafe and/or the risk of food safety may increase.
    - c) Minor nonconformity (less likely to affect food safety)  
\*The result of the audit indicates that conformity to the requirements is not fulfilled, but the product does not become unsafe, and/or the risk of food safety does not increase.
    - d) Conformity (requirements are fully satisfied)
- 6) Deadlines for completion of corrective actions and corrections
- ① Critical nonconformity

If an auditor finds a critical nonconformity in an initial audit, the auditor shall suspend the audit, and after the critical nonconformity is eliminated, the auditor shall conduct another audit. If an auditor finds a critical nonconformity in a surveillance audit or recertification audit, the certification shall be suspended and the organization shall be required to complete corrective actions within six months. After the corrective actions are completed, the auditor shall conduct another audit. Even after the certification deadline has passed, the certification shall expire if the nonconformity cannot be eliminated. Even after the renewal deadline has passed, if the corrective action has been completed within the corrective action deadline and the certification body determines in a renewal audit that the organization is in conformity, the certification can be restored. If the certification is restored in such a case, the valid period of the certification shall be three years from the original renewal deadline.

② Major nonconformity

When a major nonconformity is found in an audit, the auditor shall request the organization to implement correction and corrective action as soon as possible, and, in principle, confirm the completion of the corrective action within 30 days.

③ Minor nonconformity

When a minor nonconformity is found in an audit, the auditor shall request the organization to take correction and establish corrective action plan, and to submit those relevant evidences. Within 30 days from the end of the audit, those completion of correction and efficacy of corrective action plan shall be verified and approved when acceptable. The completion and effectiveness of the corrective action shall be evaluated in the next scheduled audit.

7) Confirmation of corrective actions

Certification bodies shall obtain corrective action plans and evidence of implemented corrective actions from organizations for nonconformities found in the audit to verify that the organization fully conforms to the requirements of the Standard. Verification of the corrective action plan shall be performed not only by the audit team, but also by personnel who are competent in the technical elements that have not fulfilled the requirements.

When confirming that corrective actions have been taken, submitted documents such as updated procedures, records, and photographs shall be inspected, and as required, additional on-site audits or verification of evidence submitted using ICT shall be conducted.

8) Audit of head office functions

① The certification body shall conduct an audit of the head office function (hereinafter referred to as "head office function") and include it in the certification. This audit shall include an interview with the personnel in charge of the head office function. This head office function audit shall be documented.

- ② The auditor shall conduct the head office function audit in the context of the on-site audit of the site. The auditor shall review the requirements or standards established for food safety at the head office function audit and ensure that they have been properly incorporated into site-specific documentation and are currently being implemented at the site's on-site audit.
- ③ In principle, audit of head office functions shall be conducted prior to on-site audits. If on-site audits are conducted without notification, audits of head office functions shall also be conducted without notification, but audits can also be conducted with notification at the request of the audited organization. For both on-site audits and audits of head office functions, the scope of unannounced audits and notified audits shall be stated in the audit report.

### 5.2.3 Audit Reports

#### 1) Preparation of audit reports

- ① The audit report is a record to prove that the auditor has properly conducted the audit and determined the conformity of the organization. The certification body shall have a clear structure for the preparation and production of the audit report. The certification body shall prepare the audit report in accordance with this structure and deliver it to the organization within two weeks after the certification decision or decision to continue certification.

The audit report shall include the following:

- a) Details of audit duration
  - b) Summary of assessment results
  - c) FSM/HACCP/GMP section summary
  - d) Individual evaluation results for all requirements (conformity/nonconformity)
  - e) Details of nonconformity and basis of judgment
  - f) Notable examples of good practices
  - g) Type of audit (announced or unannounced)
  - h) Details required in ISO/IEC 17021-1 9.4.8
  - i) If head office function is reviewed, the information collected in connection with the head office function and the content of objective evidence
  - j) If head office function is reviewed, identification of the function and/or process reviewed
- ② Certification bodies shall handle audit reports as confidential information. The audited organization has the authority to determine whether its audit report may be provided or disclosed to third parties. In principle, certification bodies shall obtain written consent from the audited organization before providing or disclosing the audit report to a third party.
  - ③ The audit report and other documents related to the audit shall be provided to JFSM or disclosed to the GFSI benchmarking team to prove that the auditor properly



performed the audit in accordance with the requirements. Certification bodies shall provide written consent from the audited organization in advance before disclosing the audit report and other documents related to the audit to JFSM and the GFSI benchmarking teams for the purpose of implementing the JFSM reliability maintenance program or for auditing by the GFSI.

## 2) Review of audit reports

Certification bodies shall conduct a thorough technical review of the audit reports prior to deciding to approve, suspend, revoke or renew the certification.

To review effectively, the certification body shall ensure that:

- ① The reviewers are impartial, have the ability to technically understand the content of the audit report, and are able to demonstrate that the audit report conforms to the Program.
- ② The audit was conducted by an appropriately qualified auditor, and that all applicable requirements of the program can be explained by relevant records that were created during the audit,
- ③ The report covers the scope applied for the organization, and evidence that the audit fully covers that scope,
- ④ Nonconformities have been reliably identified, and that effective corrective actions have been taken to resolve those nonconformities.

### **5.2.4 Registration of certified organizations**

After making a decision on the certification of an organization or making changes to the certification, the certification body shall submit the information on the certified organization to JFSM by the 15th of the month following the month in which the certification decision or change was made.

Certification bodies and certified organizations shall be in agreement that the following information will be made public by JFSM:

- 1) Name and address of certified organization (in English)
- 2) Sectors or subsectors, products, manufacturing processes and manufacturing locations (when manufacturing processes and manufacturing locations need to be specified) and head office function (for audit purposes only).
- 3) Effective date of the certificate
- 4) Expiration date of the certification
- 5) Certification status (e.g., suspension or withdrawal, and the date; only if applicable)

### **5.2.5 Notification of information that affects an organization's certification status**

Certification bodies shall make arrangements with certified organizations so that the certification bodies and JFSM are notified if the organization is involved in a serious food safety incident, such as product safety or legal obligations, or if a recall of an organization's product occurs. The organization shall make the notification upon completing the initial

response to these matters at the latest, Certification bodies shall immediately report the certification status of such organizations to JFSM.

Certification bodies shall take appropriate measures such as extraordinary audits to confirm the relationship between the status of the organization and the certification and appropriate action such as suspension of the certification. Certification bodies shall promptly report the status of such organizations to JFSM. Certification bodies shall have procedures in place to ensure the integrity of the certification after receiving such a notification.

When there are changes that affect the requirements, such as significant changes that may affect product safety, changes in the management of the organization, or when the certification body has reason to believe that there may be a conformity problem related to the certification, the certification body shall reassess the organization and audit its conformity.

#### **5.2.6 Registration fees of certified organizations**

In the contract signed with certified organizations, certification bodies shall clearly state that the annual registration fee JFSM charges to the certified organizations is payable to JFSM via the certification bodies. (The amount and payment method of this annual registration fee will be determined separately by JFSM.)

#### **5.2.7 Change and transfer of certification bodies**

Certified organizations can change their certification bodies if the following conditions are met. For the new certification body that is the change destination (the receiving destination), the following items shall be included in the preliminary assessment for the change and transfer of the certified organization.

- 1) The period required to switch and transfer the certification body shall be agreed upon by both the current and new certification bodies, and the remaining valid period of the registered certification shall be the agreed period or longer.
- 2) The completion of the corrective actions shall have been confirmed by the current certification body in the final surveillance audit.
- 3) The reason for changing the certification body shall be recognized by the new certification body. Also, there shall be a record of the reason for the change.
- 4) The scope of certification of the new certification body shall include the food sector classification of the certified organization.
- 5) The audit report on the certified organization prepared by the current certification body shall be reviewed by the new certification body.
- 6) The certified organization shall agree on the certification cycle of the new certification body after the transfer.
- 7) The new certification body shall notify JFSM that the above requirements have been met and that it accepts the transfer of the certified organization.

## **6. Requirements for personnel and auditors**

### **6.1 Requirements for personnel**

#### **6.1.1 Personnel competence**

- 1) Certification bodies shall assign personnel with the necessary competence in management, administration, technical affairs, and auditing work within the organization.
- 2) Regardless of the scope of accreditation, certification bodies shall have systems and procedures in place to ensure that personnel who conduct the certification activities specified in Annex A of ISO/IEC 17021-1 and Annex C of ISO 22003-1 have the competencies described in these Annexes and that the requirements specified by JFSM are met.

#### **6.1.2 Retention and management of personnel records**

The certification bodies shall maintain records on the qualifications, training, and experience of all personnel involved in the certification process, and the records shall be clearly dated. This information shall include at least the following:

- 1) Name and address
- 2) Department and job title in certification body
- 3) Qualifications, education, and work experience as specified in Annex 3.
- 4) Experience and training in the field of competence for the requirements in this Program
- 5) Auditing and consulting experience (describe, if applicable)
- 6) 6 Performance assessments of all personnel

#### **6.1.3 Conflicts of interest**

Certification bodies shall conclude contracts with all personnel involved in the certification activities, including the following:

- 1) Compliance with organizational rules, such as confidentiality and independence from business or personal interests.
- 2) Declaration of all matters related to personal conflicts of interest.

#### **6.1.4 Notifications to personnel**

Certification bodies shall notify the personnel involved in this Program of all relevant requirements (ISO/IEC 17021-1, ISO 22003-1 and IAF MD4 and IAF MD25).

### **6.2 Requirements for auditors**

#### **6.2.1 Auditor competence**

Certification bodies shall have systems and procedures in place to ensure that the auditors conducting audits comply with the competence requirements set forth in ISO/IEC17021-1,

ISO 22003-1 and IAF MD4, and in particular the requirements set by JFSM, regardless of their scope of accreditation.

The Systems and procedures should include:

- 1) Maintain records to ensure that each auditor has the required competence for the sector or sub-sector in which they are registered.
- 2) The qualifications, education and work experience of the auditors required for each sector or sub-sector (as specified in Annex 3)
- 3) The certification body shall re-evaluate the competence of each auditor every three years by attending on-site audits to GFSI recognized certification program.

A witness-assessment on auditor performance by an accreditation body may only be substituted for a witness-assessment on auditor performance by a certification body, only if the report is reviewed and verified as equivalent by witness-assessor of the certification body.

Witness-assessments shall not be carried out on the following assessment occasions

- ① Extraordinary audit
- ② Additional audit
- ③ Re-audit

If there is any doubt about the competence of an auditor, JFSM requests the certification body to provide evidence to support the competence of the auditor. If the certification body is unable to provide evidence of the competence of the auditor for each registered sector or subsector, JFSM deletes the registration of the sector or subsector for which the competence was not recognized.

In addition, certification bodies shall reassess the competence of each auditor every three years in a witnessed on-site audit under the GFSI recognized certification program.

### **6.2.2 Auditor practical experience and training**

Auditors shall conform to the following requirements:

- 1) At least two years of practical experience in the quality assurance or food safety section in food production or manufacturing, retailing, inspection, regulatory body or equivalent industries.
- 2) Qualifications, training and work experience for each sector or subsector as defined in Annex 3.

### **6.2.3 Initial registration requirements for auditors**

The certification body shall apply for registration of the auditor who wishes to be registered at in accordance with the "Provision for JFS-C Auditor Initial Registration".

- 1) Certification bodies shall confirm that auditors wishing to register meet the following requirements prior to their initial registration.

- ① Completion of a training course (40 hours, five days, in principle) to acquire auditing skills and knowledge based on a quality management system or food safety management system and knowledge of related laws and regulations.
  - ② Completion of a training course (minimum of two days) or equivalent training to acquire HACCP (Food Safety Hazard and Risk Assessment) skills and knowledge based on the principles of the Codex Alimentarius Commission.
  - ③ Completion of the training program specified in 6.2.6 1)
- 2) Certification bodies shall record the training history and achievement assessment that support that each auditor has completed the required training.
  - 3) Prior the initial registration of an auditor, Certification bodies shall assess the audit by the auditor in accordance with "Provision for JFS-C Auditor Initial Registration".
  - 4) As long as the effectiveness of the witnessed audit is not impaired, the assessment shall be conducted according to the standard audit plan agreed upon with the certified organization, including the use of ICT when applicable. Part of the audit shall be conducted on-site, and a witnessing auditor shall be present at the site.

#### **6.2.4 Audit performance and assessment program**

##### 1) Auditor performance requirements

An initially registered auditor shall conduct at least five on-site audits to the JFS-C standard per year at different organizations during the first year (from the month of registration to December of that year and one year thereafter) and annually thereafter. If the five audits of the JFS-C standard cannot be met, the auditor shall conduct five GFSI-recognized certification programs of on-site audits among which at least one audit shall be versus the JFS-C standard (all in different organizations) per year.

##### 2) Assessment program for auditors

Certification bodies shall establish and document a program for assessing the audit skills and knowledge of registered auditors from the next fiscal year and after (hereinafter referred to as the assessment program), and assess the personnel based on this assessment program. In addition, certification bodies shall record the results of these assessments. This assessment program shall include the following 3).

When certification bodies are using ICT to assess the skills of auditors as shown in Annex 2, IAF MD4 shall be the criteria for the requirements.

##### 3) Re-assessment of auditor competency

At least once a year JFSM confirms whether each registered auditor meets the requirements of 6.2.4, 1). If any auditor fails to meet this requirement, JFSM will suspend the registration of that auditor.

To cancel the suspension, the certification body may reapply to JFSM for the registration of the auditor by reassessing the auditor's competence in accordance with evaluation of audits based on the requirements of 6.2.3, 3), and recording and submitting the results of the assessment to JFSM.

### **6.2.5 Continuing professional development**

- 1) Certification bodies shall ensure that all auditors have access to information on sector or subsector best practices, food safety, the latest developments in technology, relevant legal and regulatory requirements.

Certification bodies shall maintain records on all relevant training received by the auditors.

- 2) Certification bodies shall urge continuous professional development of auditors in accordance with the step-up flow from R0 auditors to R1 auditors presented by JFSM in the "JFS-C Auditor Initial Registration Provision."

### **6.2.6 Auditor training**

- 1) Certification bodies shall ensure that persons in charge of education and training of auditors at the certification body (hereinafter referred to as "Trainers ") complete the education and training provided by JFSM. The education and training provided by JFSM include the content of educational materials related to the JFS-C standard or certification program.

- 2) Trainers shall establish annual training programs based on the training defined above and conduct the programs for the auditors. The training programs shall include the following.

- a) Knowledge of the JFS-C Standard and the JFS-C Certification Program
- b) Knowledge of revisions of the JFS-C Standard and the JFS-C Certification Program
- c) Knowledge of sector-specific or subsector-specific food safety

- 3) Certification bodies shall assess the degree of understanding of auditors who have completed the training programs of the relevant institutions defined in 2) above by testing, interviews, or other methods.

### **6.2.7 Extension of auditable sectors or subsectors**

In order to expand the scope of auditor audits, certification bodies shall urge auditors to attend training programs in the new sector or sub-sector, and shall ensure that at least three audits of the new sector or sub-sector, as well as the " Provision for JFS-C Auditor Initial Registration" as described in 6.2.3, have been conducted. At least one of these audits shall be a witnessed audit accompanied by an audit instructor capable of assessing the competency of auditors. The certification body shall assess the results of the training and audits, evaluate whether the auditor has the ability to conduct audits in the new sectors or subsectors, and approve the extension of the audit scope.

### **6.3 Competence required for technical reviewers**

Certification bodies shall ensure below competences of technical reviewers, who review audit report technically, and shall record competencies individually.

- 1) Competences required by ISO/IEC 17021-1, ISO 22003-1

- 2) Competence to review the audit report against the requirements of this standard
- 3) Competence to apply the knowledge of auditors for each sector or sub-sector defined in Annex 2.

#### **6.4 Witness-assessors competence**

Certification bodies shall ensure below competences of witness-assessors, who witness onsite audits and evaluate competence of auditors, and shall record competencies individually.

- 1) competence as required by ISO/IEC 17021-1, ISO 22003-1
- 2) competence to assess the assessment against the requirements of this standard
- 3) Competence to apply the knowledge of witness-assessors for each sector or sub-sector defined in Annex 2.

# **Annex 1 (Provision) Procedures for Determining Minimum Audit Duration**

Objective: This document specifies the basis for the procedure of calculation in determining the minimum audit duration and the formula for calculating necessary for the certification audit based on the JFS-C Certification Program document. Certification Body shall calculate the audit duration in accordance with this document.

Reference: ISO 22003-1, ISO/IEC 17021-1, IAF MD11

## **1. General**

### **1.1 Duration for JFS-C standard audit**

The certification body shall ensure the minimum number of on-site audits specified in this procedure manual. In this procedure, "on-site" refers to the location of the site (the address shown on the certificate) and is not limited to the manufacturing facility.

### **1.2 Procedure for determining the Audit Duration**

The certification bodies shall refer to "ISO 22003-1:2022 9.1.4" and consider "1.3 Considerations in determining the Audit Duration" when creating procedures for determining audit duration.

### **1.3 Considerations in determining the Audit Duration**

- 1) 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. HACCP studies shall follow the definition of ISO 22003-1:2022, 3.2.
- 2) The audit duration to audit the organization's HACCP and GMP requirements must be at least 50% of the total minimum onsite audit duration. (Applies to all audit types.)
- 3) 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 certification body.
- 4) The audit duration does not include time spent on audit planning, audit preparation, travel to the site, activities in response to nonconformities, preparation of the audit report, and activities of non-audit personnel (technical experts, translators, interpreters, observers, auditors in training, and report writings).
- 5) If the scheme is integrated with other relevant management systems (Note 1) or food safety



systems (FSS) such as other FSMS standards, FSS standards, GFSI-approved standards, etc., except for audit duration required by JFSM, the audit duration shall be calculated separately for each scheme, and the audit duration of the scheme with the most man-hours shall be followed.

Note 1: "Relevant management systems" refer to quality management systems or food safety management systems that cover the same processes, products and services.

6) ISO 22003-1, Section 9.1.5 (multi-site sampling) and Annex B, B.3.3 (multi-site certification) are not applicable to the document.

7) 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., the additional audit duration for each HACCP studies shall be 0.5 auditor days).

8) 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. Audit Duration

### 2.1 Minimum Audit Duration

The certification body shall calculate the minimum audit duration in accordance with Annex B of ISO 22003-1, using the calculation method specified below.

$$D_s = (T_D + T_H + T_{FTE}) + T_{GMP}$$

$D_s$  is the total minimum audit duration.

$T_D$  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 auditor days to the audit duration for each additional HACCP study. The calculation formula is shown in Table 1.

$T_{FTE}$  is the audit duration based on the number of full-time employees. The number of employees included in any aspect of food safety must be shown as a full-time ("FTE") It must be shown as an equivalent number of employees. If the organization has workers on shift and the product and/or process is similar, the FTE equivalent is calculated based on the number of employees involved in the main shift (including seasonal workers) plus administrative staff. If the scope of the certification audit includes headquarter functions, the headquarter functions are not included in the  $T_{FTE}$  headcount as employees.

$T_{GMP}$  is the audit duration for GMPs.  $T_{GMP}$  shall be 0.5 auditor days or more.

The minimum audit duration shall be 2 auditor days.

#### 2.1.1 Initial Certification Audit

The minimum audit duration for an initial certification audit for a single site for an initial certification audit is calculated by the formula below and expressed in auditor days.

$$(T_D + T_H + T_{FTE}) + T_{GMP}$$

Table 1 shows the minimum audit duration for initial certification in auditor days in case of existing relevant management system.

Table 1 : Parameters for calculating audit durations

| $T_D$ | $T_H$                               | $T_{FTE}$  | $T_{GMP}$ |
|-------|-------------------------------------|--|-----------|
| 2.0   | (Number of HACCP studies - 1) x 0.5 | 1 - 5 = 0<br>6 - 49 = 0.5<br>50 - 99 = 1.0<br>100 - 199 = 1.5<br>200 - 499 = 2.0<br>500 - 999 = 2.5<br>>1000 = 3.0 | 0.5       |

Note:  $T_H$  will be added by 0.5 auditor days per additional HACCP study if there are two or more HACCP studies.

### **2.1.2 Surveillance Audit**

The minimum audit duration for surveillance shall be at least that calculated one-third of the total audit duration ((TD+TH+TFTE) +TGMP) as the initial certification audit minus TGMP, and then plus the deducted TGMP at the end. The minimum audit duration shall be at least 2 auditor days. 0.5 auditor days shall be secured for TGMP.

$$(TD+TH+TFTE) /3 +TGMP$$

### **2.1.3 Recertification Audit**

The minimum audit duration for re-certification shall be at least that calculated two-thirds of the total audit duration ((TD+TH+TFTE) +TGMP) as the initial certification audit minus TGMP, and then plus the deducted TGMP at the end. The minimum audit duration shall be at least 2 auditor days. 0.5 auditor days shall be secured for TGMP.

$$(TD+TH+TFTE) *2/3 +TGMP$$

## **2.2 When part of the processing is conducted in a site other than the main site**

When part of the processing is conducted in a site other than the main site, additional 50% of the total minimum audit duration (Ds) minus TGMP will be added to the total duration to review that subordinate site.

## **2.3 When the head office function is listed on the certificate**

When head office functions are included in the certificate, at least 0.25 auditor days shall be added to the minimum audit duration specified in 2.1 to audit the head office functions.

## **2.4 Deviation from the minimum audit duration**

Only If the minimum audit duration is lower than calculated minimum audit duration due to circumstances such as combined audit, the certification body shall submit the relevant supporting evidence to JFSM and explain the reason for the lower duration for approval.

JFSM shall approve it only when it judges that the validity of duration and audit items is ensured by the risk factors in the integrity program of the audit.

\*Example of calculation of minimum audit duration (reference)

For example, in the case of a food manufacturing plant with HACCP number 2, 99 employees, the minimum audit duration are calculated as follows.

In the following examples, two decimal places are shown to clarify the difference in duration.

| Classification  | Number of Employees | Number of HACCP | TD  | TH  | TFTE |      | TGMP | Minimum Audit Duration |
|-----------------|---------------------|-----------------|-----|-----|------|------|------|------------------------|
| Initial         | 99                  | 2               | 2.0 | 0.5 | 1.0  | X1   | 0.5  | 4.00                   |
| Surveillance    | 99                  | 2               | 2.0 | 0.5 | 1.0  | X1/3 | 0.5  | 1.66                   |
| Recertification | 99                  | 2               | 2.0 | 0.5 | 1.0  | X2/3 | 0.5  | 2.83                   |

## Annex 2 (Provision) Competence of auditors, witness assessors and technical reviewers in the JFS-C standard

### 1. Skills and knowledge of auditors, witness assessors and technical reviewers

| Task   | Knowledge required for auditors, witness assessors and technical reviewers   | Skills required for Auditor  |
|--|--|--|
| <p>1.1<br/>Plan and organize work effectively</p>  | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• terms and definitions applied to auditing of the JFS-C Certification Program</li> <li>• the principles of auditing as outlined in ISO/IEC 17021-1:2011, ISO 19011:2018 and GFSI scheme management guidelines</li> <li>• the objectives and methodology involved in an audit of the JFS-C Certification Program</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 Program</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 Program 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>1.2<br/>Conduct the audit within the agreed timeframe</p> <p>The timeframe for the audit of the JFS-C Certification Program is usually set by the CB. However, the auditor shall have the knowledge and skills to effectively</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 Program as a systematic, independent, and documented process for obtaining relevant audit evidence and evaluating it objectively to determine the extent to which the system criteria are met</li> </ul>  | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• apply time management tools and techniques that identify the individual tasks during the audit to meet the audit objectives</li> <li>• organize audit activities to prioritize matters of significance</li> <li>• prepare for the opening meeting, the audit, and the closing meeting</li> <li>• outline and direct the involvement of technical experts (if applicable) and</li> </ul>  |

|   |   |  |
|---|---|--|
| <p>manage the time within the established timeframe.</p>        |   | <p>auditee contacts within the timetable of audit duration</p> <ul style="list-style-type: none"> <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>1.3<br/>Communicate with auditee personnel at all levels</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> <li>• self-awareness of professional and technical limitations</li> </ul> | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• apply interpersonal and negotiating skills in the context of an audit of the JFS-C Certification Program</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 Program</li> <li>• maintain objectivity during the audit process</li> <li>• assess non-verbal communications</li> <li>• discuss audit findings openly and honestly with auditee personnel, without error or omission</li> <li>• explain technical findings at the</li> </ul> |

|  |  |   |
|--|--|---|
|  |  | <p>appropriate management level within the auditee organization</p> <ul style="list-style-type: none"> <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>   |
| <p>1.4<br/>Collect evidence by conducting interviews</p>   | <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>   |
| <p>1.5<br/>Collect evidence by observation and inquiry</p> | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• observation techniques</li> <li>• verbal and non-verbal behaviors</li> <li>• techniques in use to detect or eliminate food safety hazards</li> <li>• statistical sampling techniques</li> <li>• focused (targeted) sampling (i.e., the concept that sampling will not necessarily be totally random and there will not always be time to take a statistically valid sample)</li> <li>• Understanding of each JFS-C requirement (requirements)</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 Program and food safety risk</li> <li>• identify and evaluate the application of technology for a given purpose</li> <li>• observe and analyze personal behavior and compare to written position descriptions</li> <li>• identify problems or areas of concern and investigate to an acceptable level to establish conformity or nonconformity</li> <li>• apply appropriate sampling techniques to document and record review</li> <li>• adapt or modify sampling based on findings</li> <li>• Collecting evidence of conformity in each section (requirements)</li> <li>• skills that can verify the conformity of the requirements described in each section by observation and reviewing</li> </ul> |

|  |   |   |
|--|---|---|
| <p>1.6<br/>Collect evidence by review of documentation and records</p>               | <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 Program</li> <li>• Understanding of each JFS-C requirement (requirements)</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> <li>• Collecting evidence of conformity in each section (requirements)</li> <li>• skills that can verify the conformity of the requirements described in each section by observation and reviewing</li> </ul>  |
| <p>1.7<br/>Analyze, verify, and consolidate audit evidence and generate findings</p> | <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 Program</li> <li>• Understanding of each JFS-C requirement (requirements)</li> <li>• summarizing the evidence demonstrating conformance of the audited organization in each section of the audit report and a brief description of the observation</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 observed and at closing meeting without offering solution</li> <li>• skills to explain each clause with conforming evidence</li> <li>• Skills to summarize evidence demonstrating the suitability of each section</li> </ul> |



|  |   |  |
|--|---|--|
|  |   | <ul style="list-style-type: none"> <li>• Skills to write a brief explanation about observation</li> <li>• skills that can verify the conformity of the requirements described in each section by reviewing materials and records.</li> </ul>   |
| <p>1.8<br/>Prepare written audit reports, follow-up, and conclusions</p> | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• written communication techniques</li> <li>• knowledge of methods to identify strength as well as nonconformities and opportunities for improvement</li> <li>• negotiation techniques</li> <li>• technical terms and definitions for a given industry sector</li> <li>• scheme standard and audit template</li> <li>• audit template and reporting requirements for the JFS-C Certification Program</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> |

## 2. Technical Skills and Knowledge required for audit or assessment on JFS-C

### 2.1 Food Safety Management (FSM) Requirements

| Tasks  | Knowledge required for auditors, witness assessors and technical reviewers   | Skills required for Auditor   |
|--|--|---|
| FSM 1<br>Top Management Responsibility                     | <p>HACCP knowledge requirements, plus knowledge of:</p> <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> <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>•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> <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> |
| FSM 2<br>Top Management Commitment and Food Safety Culture | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•corporate governance, and the role of senior management in leading a food safety management system</li> <li>•the legal responsibility for management with regard to food safety</li> <li>•food safety objectives and key performance indicators (KPIs) in the context of the overall business performance</li> </ul>  | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•access and communicate with senior management</li> <li>•assess the commitment of facility management to the implementation and maintenance of food safety practices</li> <li>•assess the food safety objectives and key performance indicators (KPIs) in the context of the overall business performance</li> <li>•review and interpret organizational performance measures and in particular food safety measures</li> <li>•analyze and assess the involvement of senior management in reviewing the food safety</li> </ul>   |

|  |  |   |
|--|--|---|
|  |  | <p>management system</p> <ul style="list-style-type: none"> <li>•read and interpret records, including meeting minutes</li> <li>•effectively communicate the lack of management commitment with senior management</li> <li>•document the lack of management commitment in the audit reports</li> <li>•Identify deficiencies, trends that demonstrate a lack of management commitment to the food safety system, including but not limited to the following areas: training, facility maintenance and equipment, resources, monitoring, GMP, operations, essential programs, HACCP, continuous improvement.</li> </ul> <p>Example:</p> <p>Cross-compare the lack of resources provided by senior management with the systemic deficiencies of the training program</p> <p>Effectively discuss her lack of management commitment with senior management</p> <p>Document the lack of management commitment in the audit report</p> |
| FSM 3 Management Review                | <p>Knowledge requirements under FSM 2 Top Management Commitment and Food Safety Culture, plus knowledge of:</p> <ul style="list-style-type: none"> <li>•management system review procedures, including knowledge of scope, input/output frequency, implementation strategy, organizational structure and inter-relationship between positions within the structure</li> </ul>  | <p>Skills requirements under FSM 2 Top Management Commitment and Food Safety Culture, plus the ability to:</p> <ul style="list-style-type: none"> <li>•assess the management system review process</li> <li>•identify gaps in the management review process</li> </ul>  |
| FSM 4 Compliance with food safety laws | <p>HACCP knowledge requirements, plus knowledge of:</p> <ul style="list-style-type: none"> <li>•current industry trends and emerging issues for a given industry sector</li> <li>•applicable knowledge food safety regulations for a given industry sector</li> <li>•food safety principles</li> <li>•applicable food safety regulations for a given industry sector</li> <li>•documented food safety management system requirements for a given industry sector</li> <li>•appropriate techniques for managing documentation</li> <li>•document control systems</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> </ul>  |

|   |   |   |
|---|---|---|
|   |   | <ul style="list-style-type: none"> <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>FSM 5<br/>Food Safety Management System and General Requirements</p> | <p>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</li> <li>• management and for appropriate industry sector</li> <li>• Food safety laws and regulations applicable to a given industry sector</li> <li>• the requirements of a documented food safety management system for a given industry sector</li> <li>• appropriate technologies to manage documentation</li> <li>• document control systems</li> <li>• current industry trends and emerging issues for a given industry sector</li> </ul> | <p>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>• determining the standards and methods necessary to maintain process operation and monitoring</li> <li>• evaluate the provision of information and procedures necessary to maintain process operation and monitoring</li> <li>• evaluate process measurement and analysis</li> <li>• evaluate actions needed to achieve expected results and continue to improve <ul style="list-style-type: none"> <li>• evaluate the adequacy, comprehensiveness, and penetration of food safety manuals in a given industry sector</li> </ul> </li> <li>• evaluate the coverage of the facility's food safety manuals in the supply chain</li> <li>• assess the effective dissemination of food safety documentation at a facility</li> <li>• evaluate if work instructions are aligned with the food safety manual</li> <li>• evaluate the implementation of the food safety manual</li> </ul> |
| <p>FSM 6<br/>Food Safety Policy and Goals</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>FSM 7<br/>Food Defense</p>   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulations and/or industry codes of practice governing food defense, food protection, food security, bioterrorism or sabotage</li> <li>• food defense risk management</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the effectiveness and application of the risk management process used to determine food defense risk</li> <li>• assess the effectiveness, communication, and application of food defense procedures</li> </ul>   |

|   |  |  |
|---|--|--|
|   | <p>methodologies</p> <ul style="list-style-type: none"> <li>• food defense protocols applicable to particular countries, jurisdictions, and industry sector</li> <li>• typical food defense situations</li> </ul>  | <ul style="list-style-type: none"> <li>• review and analyze records of food defense activities</li> <li>• identify gaps in food defense procedures</li> </ul>  |
| FSM 8<br>Food Fraud Prevention  | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• Laws, regulations, and/or industry rules on how to control food fraud.</li> <li>• Methodology of Food Mislabeling Risk Management</li> <li>• Food fraud protocols applicable to specific countries, regions, and industry sectors</li> <li>• Typical Food Fraud Situation</li> </ul>                 | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• Evaluate the effectiveness and application of the risk management process used to determine the risk of food fraud.</li> <li>• Evaluate the effectiveness, awareness, and application of anti-food adulteration procedures.</li> <li>• Review and analyze records of food fraud prevention activities.</li> <li>• Identify gaps in anti-food fraud procedures.</li> </ul>                  |
| FSM 9.1<br>Documentation procedures   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• the requirements of food safety record retention for a given industry sector</li> <li>• record security protocols</li> </ul>   | <p>Ability to:</p> <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>• identify gaps in available documentation</li> </ul>  |
| FSM 9.2<br>Control and storage of documented information                    | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulatory, standard and customer requirements for document control and record retention</li> <li>• the requirements for food safety documentation in the context of process management, language and literacy levels</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• ensure the availability and access of food safety documentation to relevant staff</li> <li>• understand and evaluate records</li> </ul>  |
| FSM 10<br>Specification Control of Purchased or Provided Items and Services | <p>Knowledge of:</p> <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> | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• read and interpret specifications, associate process and procedure requirements</li> <li>• assess the applicability of contracts</li> <li>• identify gaps and omissions in available specifications</li> <li>• verify the effective implementation of specifications and contracts</li> </ul>  |
| FSM 11<br>Procedures and Instructions                                       | <p>Knowledge of:</p> <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>  | <p>Ability to:</p> <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> </ul> |

|  |  |   |
|--|--|---|
|  |  | <ul style="list-style-type: none"> <li>confirm that personnel understand procedures, by interview etc.</li> </ul>   |
| FSM 12<br>Resource<br>Management   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>the inter-relationship of food safety functions with other organizational functions</li> <li>business resources (time, money, and people) required to implement, maintain and improve the food safety system</li> </ul>  | <p>Ability to:</p> <ul style="list-style-type: none"> <li>assess the effectiveness and suitability of the resources applied to food safety</li> <li>identify gaps in the resources applied to food safety</li> </ul>  |
| FSM 13.1<br>Purchasing   | <p>Knowledge of:</p> <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> | <p>Ability to:</p> <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>  |
| FSM 13.2<br>Supplier<br>Performance                                      | <p>As per FSM 13.1 Purchasing, plus the following knowledge requirements:</p> <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>performance monitoring</li> </ul>  | <p>As per FSM 13.1 Purchasing, plus the following skill requirements:</p> <p>Ability to:</p> <ul style="list-style-type: none"> <li>apply performance monitoring techniques</li> </ul>  |
| FSM 13.3<br>Outsourcing  | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>In addition to "FSM5 Food Safety Management System and General Requirements", the following knowledge requirements are added:</li> </ul> <p>Knowledge of the following:</p> <ul style="list-style-type: none"> <li>Contract processing and other services</li> </ul>                     | <p>Ability to:</p> <ul style="list-style-type: none"> <li>In addition to "FSM5 Food Safety Management System and General Requirements", the following skill requirements are added:</li> </ul> <p>Ability to do the following:</p> <ul style="list-style-type: none"> <li>Read the Supplier Agreement and confirm its execution.</li> <li>Review and audit the conformity of test results.</li> <li>Identify gaps or oversights in contract manufacturer procedures.</li> <li>Verify the effectiveness of procedures in place to monitor contract manufacturers.</li> <li>apply performance of monitoring techniques</li> </ul> |
| FSM 14.1<br>Traceability<br><br>FSM 14.2<br>Traceability<br>verification | <p>Knowledge of:</p> <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>   | <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, 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>  |

|   |   |  |
|---|---|--|
| <p>FSM 15<br/>Product Development</p>                         | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• Food safety regulatory requirements/industry regulations for new products or changes in specifications, manufacturing processes, etc.</li> <li>• Customer Requirements</li> <li>• Product design and development procedures</li> </ul>  | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• Evaluate the effectiveness and adequacy of product design and development procedures.</li> <li>• In the above procedures, the adequacy of safety assurance for new products or products with changed manufacturing processes shall be objectively evaluated.</li> <li>• Review and analyze records related to new products or changes in specifications and manufacturing processes.</li> </ul>  |
| <p>FSM 16<br/>Allergen Management</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> <li>• allergen cleaning protocols to remove allergen protein residues</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) chemicals, 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 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> <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> |
| <p>FSM 17<br/>Control of Measuring and Monitoring Devices</p> | <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 that is out of calibration</li> </ul>   |
| <p>FSM 18.1<br/>Product labeling (B-to-C products)</p>        | <p>Knowledge of:</p> <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</li> </ul>  | <p>Ability to:</p> <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> </ul>   |

|  |  |  |
|--|--|--|
|  | labeling   | <ul style="list-style-type: none"> <li>•verify the accuracy of label information</li> </ul>  |
| FSM 18.2<br>Product Labeling<br>(B to B products, work in process, semi-finished products) | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•In addition to "FSM 18.1 Product Labeling (B to C Products)"</li> <li>•Required information for suppliers</li> <li>•Laws and regulations applicable to B to B transactions</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•In addition to "FSM 18.1 Product Labeling (B to C Products)," the ability to do the following</li> <li>•Review and evaluate the content and procedures for providing information to suppliers.</li> <li>•Review and evaluate the content and procedures of controls in line with laws and regulations applicable to B-to-B transactions.</li> </ul>   |
| FSM 19.1<br>Analysis and Inspection  | <p>Knowledge of:</p> <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> | <p>Ability to:</p> <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>  |
| FSM 19.2<br>The food production environment monitoring                                     | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•In addition to HACCP knowledge requirements</li> <li>•Knowledge of the following:</li> <li>•Guidelines for the Preparation of Environmental</li> <li>•Monitoring Programs for Microorganisms, etc.</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•In addition to HACCP skill requirements</li> <li>•Ability to do the following:</li> <li>•Evaluate the content of the environmental monitoring program and its effectiveness and appropriateness in operation.</li> </ul>  |
| FSM 20<br>Internal Audit   | <p>Knowledge of:</p> <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>  | <p>Ability to:</p> <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> |
| FSM 21<br>Complaint Handling   | <p>As per FSM 1 Top Management Responsibility, 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 Top Management Responsibility, 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> </ul>  |



|   |   |  |
|---|---|--|
|   |   | <ul style="list-style-type: none"> <li>•assess the willingness of management and staff to correct and improve shortcomings in food safety</li> </ul>   |
| <p>FSM 22.1<br/>Serious Incident Management</p> <p>FSM 22.2<br/>Verification of food incident management manual</p> | <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>   |
| <p>FSM 23.1<br/>Management of product specifications</p> <p>FSM 23.2<br/>Product Release</p>                        | <p>Knowledge of:</p> <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>   | <p>Ability to:</p> <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>  |
| <p>FSM 24<br/>Identification of nonconformities and control of nonconforming products</p>                           | <p>Knowledge of:</p> <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>   | <p>Ability to:</p> <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>  |
| <p>FSM 25<br/>Corrective Action</p>   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•As per FSM 1 Top Management Responsibility and FSM 5 Food Safety Management System and General Requirements, plus the following knowledge requirements:</li> <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> | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•As per FSM 1 Top Management Responsibility and FSM 5 Food Safety Management System and General Requirements, plus the following skill requirements:</li> <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> |
| <p>FSM 26<br/>Change management</p>   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•Identification of risks due to changes</li> <li>•Establishment of change management process</li> <li>•Evaluation and judgment of changes</li> </ul>  | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•Verify the results of identifying risks due to the implemented changes.</li> <li>•Evaluate established change management processes.</li> </ul>  |

|  |   |   |
|--|---|---|
|  |   | <ul style="list-style-type: none"> <li>•Verify the results of the evaluation and judgment of the implemented changes.</li> </ul>  |
| <p>FSM 27<br/>Utilization of<br/>Kaizen<br/>Suggestions from<br/>personnel</p> | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•In addition to the "FSM2 Top Management Commitment and Food Safety Culture," the following knowledge requirements</li> <li>•Reference case studies in a given industry for a mechanism to appropriately utilize suggestions from employees regarding food safety improvements</li> </ul> | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•In addition to the "FSM2 Top Management Commitment and Food Safety Culture," the following skill requirements</li> <li>•Evaluate the effectiveness and appropriateness of a system to properly utilize suggestions from employees regarding food safety improvements.</li> </ul> |

## 2.2 HACCP Requirements

| Tasks  | Knowledge required for auditors, witness assessors and technical reviewers  | Skills required for Auditor   |
|--|---|---|
| Hazard Analysis and Critical Control Point (HACCP) | <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 CXC 1-1969, Rev. 2022</li> <li>• the preliminary steps in implementing HACCP (scope, team, product description, process flow diagram)</li> <li>• the scope and purpose of a HACCP-based system</li> <li>• the factors influencing food safety that must be included in a product description for a given industry sector</li> <li>• the intended use of a given product</li> <li>• constructing and verifying a process flow diagram</li> <li>• the microbiological, chemical, and physical food safety hazards that may reasonably be expected to occur in a given industry sector</li> <li>• the control measures required to eliminate or minimize the microbiological, chemical, and physical food safety hazards for a given industry sector</li> <li>• risk assessment/hazard analysis methodologies relevant to a given industry sector</li> <li>• determination of CCPs within a HACCP plan</li> <li>• determination and validation of critical limits</li> <li>• determination of monitoring procedures and frequency</li> <li>• the format and content of Standard Operating Practices (SOPs) and Work Instructions (WIs)</li> <li>• determination of appropriate corrective and preventive actions to dispose of affected product and prevent recurrence</li> <li>• verification procedures to ensure the effectiveness of the HACCP-based system</li> </ul> | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the appropriateness of the scope and purpose of the HACCP plan, and the HACCP team</li> <li>• assess the appropriateness of the product description and intended use</li> <li>• evaluate the accuracy of the process flow diagram</li> <li>• assess that all potential food safety hazards have been identified</li> <li>• assess that the hazard analysis and risk management methodologies have been applied correctly and consistently</li> <li>• evaluate the adequacy, application and effectiveness of control measures in place to eliminate or minimize the risk of potential hazards</li> <li>• assess whether CCPs have been correctly identified</li> <li>• assess those critical limits are scientifically validated or justified, and correctly differentiate between safe and unsafe product</li> <li>• assess the application and effectiveness of corrective action procedures in place where food safety control is lost</li> <li>• assess the application and effectiveness of verification procedures in place to ensure the adequacy of the HACCP-based system</li> <li>• evaluate the adequacy, understanding, application and effectiveness of Standard Operating Practices (SOPs) and Work Instructions (WIs)</li> <li>• ensure that the HACCP plan is reviewed periodically or when process changes occur</li> </ul> |

## 2.3 GOOD MANUFACTURING PRACTICE (GMP) REQUIREMENTS

| Tasks  | Knowledge required for auditors, witness assessors and technical reviewers  | Skills required for Auditor   |
|--|---|---|
| GMP 1<br>Facility Environment  | <p>Knowledge of:</p> <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>  | <p>Ability to:</p> <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>  |
| GMP 2<br>Factory premise environment   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•In addition to "GMP 1 Facility and Environment," the following knowledge requirements</li> <li>•Food safety risks outside the site boundary and their impact on the site boundary</li> <li>•Measures to be taken in response to the above impacts</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•In addition to "GMP 1 Facility and Environment," the following skill requirements</li> <li>•Assess food safety risks outside the site boundary and their impact on the site boundary.</li> <li>•Evaluate the effectiveness, adequacy, and appropriateness of response measures in response to the above impacts.</li> </ul>  |
| GMP 3<br>Design, construction, layout of business site and work and product flow lines | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•As per GMP 1, plus the following knowledge requirements:</li> <li>•potential contamination sources</li> <li>•production processes for a given industry sector</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•As per GMP 1, plus the following skill requirements:</li> <li>•evaluate the design and construction measures taken by the site to prevent, minimize or eliminate food safety hazards and risks</li> </ul>  |
| GMP 4.1<br>Cross-contamination (including allergen cross-contact) and isolation        | <p>Others according to HACCP and GMP1, the following knowledge requirements are added:</p> <p>Knowledge of</p> <ul style="list-style-type: none"> <li>•types of materials suitable for building food production and storage facilities</li> <li>•effect of detergents and disinfectants on materials used in manufacturing in food facilities</li> <li>•technologies associated with detection of contaminants including metal detectors, X-ray, sieves, filters, divert valves</li> <li>•calibration requirements for relevant technologies</li> </ul> | <p>Others according to HACCP and GMP1, the following skill requirements are added:</p> <p>Ability to:</p> <ul style="list-style-type: none"> <li>•evaluate potential or actual food safety contamination risks associated with the construction of food manufacturing and storage facilities</li> <li>•identify areas where product contamination or cross-contamination could occur due to building construction</li> <li>•assess the potential or actual food safety contamination risks associated with the design, layout, and condition of production processes</li> </ul> |

|   |  |  |
|---|--|--|
|   | <ul style="list-style-type: none"> <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> <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>   | <ul style="list-style-type: none"> <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> <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> |
| GMP 4.2<br>Control of Hazardous Factors Requiring Enhancement | <p>In addition to GMP 4, knowledge of the following is required :</p> <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• knowledge and understanding of "13.1.3 Consideration of the effectiveness of GHPs" of the International Commission on Food Standards (CODEX) Commission's General Principles of Food Hygiene CXC 1-1969, Rev. 2022</li> </ul>  | <p>In addition to GMP 4, the following skills are required :</p> <p>Ability to:</p> <ul style="list-style-type: none"> <li>• evaluate the implementation of measures in accordance with "13.1.3 Consideration of the effectiveness of GHPs" of the International Commission on Food Standards (CODEX) Committee's General Principles of Food Hygiene CXC 1-1969, Rev. 2022.</li> </ul>   |
| GMP 5<br>Facilities for employees                             | <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> <li>• regulatory requirements concerning</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> <li>• evaluate the application, frequency, appropriateness, and effectiveness of personal hygiene procedures for a given product</li> </ul>  |

|   |  |   |
|---|--|---|
|   | <p>personal hygiene for food handlers</p> <ul style="list-style-type: none"> <li>• human transmission of food pathogens and risk mitigation measures</li> <li>• human transmission of allergenic protein residue and risk mitigation measures</li> <li>• suitability of medical screening procedures for detection of communicable diseases</li> <li>• the risk of traffic and work patterns on product safety</li> <li>• statutory and industry standards for provision and condition of toilet rooms, change rooms, canteens, hand-wash stations, break stations</li> <li>• statutory and industry standards for provision and condition of protective clothing, disposable gloves</li> <li>• risk-based methodologies for verifying the effectiveness of personal hygiene programs</li> </ul>   | <ul style="list-style-type: none"> <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>  |
| <p>GMP 6.1<br/>Personal hygiene criteria for personnel</p> <p>GMP 6.2<br/>Personal Workwear</p> <p>GMP 6.3<br/>Health Management of Personnel</p> <p>GMP 6.4<br/>Application to non-business personnel and visitors</p> | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulatory requirements concerning personal hygiene for food handlers</li> <li>• human transmission of food pathogens and risk mitigation measures</li> <li>• human transmission of allergenic protein residue and risk mitigation measures</li> <li>• suitability of medical screening procedures for detection of communicable diseases</li> <li>• the risk of traffic and work patterns on product safety</li> <li>• statutory and industry standards for provision and condition of toilet rooms, change rooms, canteens, hand-wash stations, break stations</li> <li>• statutory and industry standards for provision and condition of protective clothing, disposable gloves</li> <li>• risk-based methodologies for verifying the effectiveness of personal hygiene programs</li> </ul> | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• evaluate the application, frequency, appropriateness, and effectiveness of personal hygiene procedures for a given product</li> <li>• review the effectiveness of traffic and work patterns on minimizing the risk of product contamination</li> <li>• review the effectiveness of the labor status</li> <li>• analyze environmental and product test results</li> <li>• identify gaps in personal hygiene procedures and verification protocols</li> </ul> |
| <p>GMP 7<br/>Training</p>   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulatory requirements for training of food handlers</li> <li>• competency-based training and assessment methods</li> <li>• the content of position descriptions</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the application and effectiveness of training programs provided to food handlers</li> <li>• assess the effective implementation of position descriptions by food handlers</li> <li>• assess the effective implementation of documented food handlers job functions</li> </ul>  |

|   |   |   |
|---|---|---|
|   |   | <ul style="list-style-type: none"> <li>• assess the effective supervision of food handlers</li> <li>• identify gaps in food safety training procedures</li> </ul>   |
| GMP 8<br>Housekeeping, cleaning, sterilization and disinfection | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•legal requirements for food establishment hygiene</li> <li>•chemical action of detergents and disinfectants</li> <li>•microbiological resistance to disinfectants</li> <li>allergen cleaning protocols to remove allergen protein residues</li> <li>•risk-based disinfection verification methods including cleaning and disinfection techniques for a given industry sector including, but not limited to, wet cleaning, dry cleaning, detergents, in-situ cleaning, and chemical environmental swabbing, pre-operational checks, and product testing</li> <li>•Environmental monitoring program for high-risk areas</li> <li>•Backflow prevention method</li> <li>•How to verify cleaning effectiveness</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> |
| GMP 9<br>Rework   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•Same as FSM 24, GMP 4.1 and GMP 4.2</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•Same as FSM 24, GMP 4.1 and GMP 4.2</li> </ul>   |
| GMP 10<br>Patrols and inspections of the site                   | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>•Same as GMP 3, GMP 4.1, GMP 4.2, GMP 5, GMP 6.1, GMP 6.2, GMP 6.3, GMP 8, GMP 11, GMP 12, GMP 13, GMP 16, GMP 18, GMP 19</li> </ul>  | <p>Ability to:</p> <ul style="list-style-type: none"> <li>•Same as GMP 3, GMP 4.1, GMP 4.2, GMP 5, GMP 6.1, GMP 6.2, GMP 6.3, GMP 8, GMP 11, GMP 12, GMP 13, GMP 16, GMP 18, GMP 19</li> </ul>  |
| GMP 11<br>Air and water management                              | <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 potable and non-potable water supplies</li> <li>•risks associated with cross-connection of water pipes, backflow prevention valves, age and condition</li> <li>•Legal requirements for air (including</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-potable water</li> <li>• identify gaps in the water quality program</li> <li>•Evaluate the adequacy and effectiveness of methods for controlling air (including compressed air), carbon dioxide, nitrogen, and other gases that come into contact with food products.</li> </ul>        |

|   |  |  |
|---|--|--|
|   | <p>compressed air), carbon dioxide, nitrogen and other gases in contact with food</p> <ul style="list-style-type: none"> <li>•Technology and Methods for Air Filtration</li> </ul>   | <ul style="list-style-type: none"> <li>•Interpret the results of air cleanliness testing.</li> </ul>   |
| <p>GMP 12<br/>Waste Management</p>              | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulatory requirements concerning the handling and disposal of waste materials, including environmental regulations governing air-borne, liquid, and solid waste control</li> <li>• potential product contamination sources for a given industry sector</li> <li>• waste handling, storage and disposal practices for a given industry sector</li> <li>• cleaning and housekeeping of waste containers, lines and equipment</li> <li>• personal hygiene requirements following handling of waste materials</li> <li>• management of pests and vermin in waste storage and handling areas</li> </ul> | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• evaluate the application and effectiveness of waste storage, handling, and disposal procedures</li> <li>• identify gaps in waste storage, handling and disposal procedures</li> </ul>  |
| <p>GMP 13<br/>Pest control</p>                  | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• food safety hazards and risks caused by pests and vermin in food premises</li> <li>• legal requirements for pest control, use and handling of pest management chemicals</li> <li>• the use, storage, handling and disposal of pest control chemicals and mechanical pest control technologies</li> <li>• personal hygiene requirements following handling of pests and pest control chemicals</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the suitability and application of contract agreements with pest control contractors</li> <li>• identify the types of pests to be controlled for a given industry sector</li> <li>• assess the in-house ability of businesses to verify the competence of individuals responsible for pest control</li> <li>• evaluate the application and effectiveness of pest management procedures employed</li> <li>• analyze pest management reports</li> <li>• assess the effectiveness of storage requirements for pest control chemicals and equipment</li> <li>• identify gaps in pest management procedures</li> <li>• evaluate whether monitoring and pest control are well coordinated.</li> </ul> |
| <p>GMP 14<br/>Acceptance of Purchased items</p> | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• In addition to FSM 10, FSM 13.1 and FSM 13.2, knowledge of the following is required</li> <li>• Standard acceptance procedures for a given industry</li> </ul> <p>How to verify purchased products</p>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• In addition to FSM 10, FSM 13.1 and FSM 13.2, the following skills are required</li> <li>• Evaluate the adequacy and effectiveness of acceptance procedures.</li> <li>• Evaluate the adequacy and effectiveness of verification methods for purchased products.</li> </ul>   |



|                                       |   |   |
|---------------------------------------|---|---|
| <p>GMP 15<br/>Transport</p>           | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• regulatory requirements relating to food transport vehicles</li> <li>• standards and industry codes of practice concerning sanitary construction and design of food transport vehicles</li> <li>• the cold chain code of practice</li> <li>• the impact of climate (temperature, humidity) on product in transit</li> <li>• risks offered by packaging materials in differing climatic conditions (e.g., chemical migration)</li> <li>• protection by packaging materials in different climatic conditions</li> </ul> | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the potential or actual food safety contamination risks associated with food transport for a given product group or industry sector</li> <li>• validate temperature and climatic logging devices</li> <li>• assess vehicle loading and unloading practices, including holding times</li> <li>• identify gaps in product transport arrangements</li> </ul>  |
| <p>GMP 16<br/>Storage</p>             | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• Specifications for the design and construction of storage facilities necessary for the safe and hygienic storage of food products (raw materials, semi-finished products, work-in-process, reworked products and finished products).</li> <li>• Appropriate food safety management methods for the above storage facilities.</li> </ul>   | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• Review specifications for the design and construction of storage facilities necessary for the safe and sanitary storage of food products (raw materials, semi-finished products, work-in-process, rework and finished products).</li> <li>• The adequacy and effectiveness of the management methods of the above storage facilities shall be evaluated.</li> </ul>   |
| <p>GMP 17<br/>Stock Management</p>    | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• product identification and traceability protocols and practices</li> <li>• stock control, stock rotation and stock management protocols and practices</li> <li>• definition and calculation of shelf life, including regulatory requirements where applicable</li> </ul>  | <p>Ability to:</p> <ul style="list-style-type: none"> <li>• assess the effectiveness, communication, and application of identification and traceability procedures</li> <li>• review records for raw material, packaging, work in progress, finished goods, processing aids, and chemicals</li> <li>• review storage conditions for raw material, packaging, work in progress, finished goods, processing aids, and chemicals</li> <li>• review records that validate shelf life for a given product</li> <li>• identify gaps in stock management and shelf life validation method</li> </ul> |
| <p>GMP 18<br/>Equipment and Tools</p> | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• As per GMP 1 and GMP 3, plus the following knowledge requirements:</li> <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>Ability to:</p> <p>As per GMP 1 and GMP 3, plus the following skill requirements:</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>   |

|                               |  |  |
|-------------------------------|--|--|
| <p>GMP 19<br/>Maintenance</p> | <p>Knowledge of:<br/>As per GMP 1 and GMP 3, plus the following knowledge requirement:</p> <ul style="list-style-type: none"> <li>•effective preventive and corrective maintenance programs for a given industry sector</li> <li>•preventive and corrective maintenance practices and technologies used for preventive maintenance programs</li> </ul> | <p>Ability to:<br/>As per GMP 1 and GMP 3, plus the following skill requirements:</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> |
|-------------------------------|--|--|

### 3. Behavior and Systems Thinking

| Tasks  | Knowledge required for auditors, witness assessors and technical reviewers  | Skills required for Auditor  |
|--|---|--|
| <p>3.1</p> <p>Auditor Conduct and Behavior</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-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 from an audit team</li> <li>• recognize conflict of interest</li> <li>• conduct a self-assessment and develop continuous improvement strategies</li> </ul> |
| <p>3.2</p> <p>Systems Thinking</p> <p>Includes:</p> <p>Problem solving</p> <p>Critical thinking</p> <p>Root cause analysis</p> | <p>Knowledge of:</p> <ul style="list-style-type: none"> <li>• principles of systems thinking – identification of issues as part of an overall system as a whole, rather than reacting to specific parts</li> <li>• system improvement – singular and common causes</li> <li>• the relationship of quality management and productivity to food safety</li> </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> </ul>   |

|   |  |   |
|---|--|---|
|   | <ul style="list-style-type: none"> <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> | <ul style="list-style-type: none"> <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>3.3</p> <p>Organizational Behavior<br/>Includes:<br/>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> |

Note: These competencies of auditors, witness assessors and technical reviewers do not require one by one verification.

## Annex 3 (Provision) Scope of certification, auditor's qualifications, education, and work experience

This annex shows the relationship between the scope of the JFS-C standard and certification program and the qualifications, education, and work experience required for auditors, as follows (See also Table 1.)

1. Sectors/subsectors covered by the JFS-C standard and certification program
2. Examples of activities and products included in 1.
3. Qualifications and education required for auditors conducting certification activities in 1.
4. Examples of work experience required for auditors conducting certification activities in 1.
  - 1) 4. is a food processing area that contains specific hazards in the scope of application described in 1. and 2. and requires special attention to ensure food safety.
  - 2) 4. is the practical experience necessary for the auditor to demonstrate competence in auditing in the scope described in 1. and 2.
  - 3) The auditor does not need to have all the practical experience listed in section 4.1 for each sector/subsector.

Table.1 Scope of certification, auditor qualifications, education and work experience

| Scope of application of JFS-C standards and certification program |  | Auditor qualifications, education, and work experience   |  |
|---|--|--|--|
| 1.  | 2. *1  | 3.   | 4. *2  |
| C I<br>Processing of perishable animal products                   | Activity:<br>Processing and packaging including fish and seafood, meat, eggs, dairy and fish products.<br>Processing of pet food from animal products only.<br><br>Examples of finished products:<br>Fish, meat, poultry, eggs, frozen and/or chilled dairy products and fish/fishery products, and pet food from animal products only | • 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. | ► Red Meat Processing<br>► Poultry Processing<br>► Fish Processing<br>► Seafood Processing<br>► Meat Product Processing<br>► Fish Product Processing<br>► Dairy Technology<br>► Egg Processing |
| C II<br>Processing of perishable                                  | Activity:<br>Processing and packaging including fruits and fresh juices, vegetables, grains, nuts, and pulses.   | • A degree in a food related or bio-science discipline or, as a minimum, has   | ► Fruit and vegetable processing   |

|  |  |   |  |
|--|--|---|--|
| <p>plant products</p>  | <p>Processing pet food from plant products only.</p> <p>Examples of finished products:<br/>Tofu, soy milk, noodles of chilled distribution type (made only from plant-derived ingredients), pickles, fresh fruit, fresh juice, cut vegetables, and pet food from plant products only</p>   | <p>successfully completed a food related or bio-science higher education course or equivalent.</p>  |  |
| <p>C III<br/>Processing of perishable animal and plant products (Mixed products)</p> | <p>Activity:<br/>Processing and packaging including Chilled ready-made foods, bento, dumpling, ready-to-eat meals. Pizza, lasagna, sandwiches, and manufactured in off-site central kitchens away from consumption sites. Production of in-flight meals. Processing perishable pet food from mixed products.</p> <p>Examples of finished products:<br/>Chilled ready-made foods, bento, delicatessen, pizza, lasagna, sandwiches, dumpling (Shumai, gyoza, etc.), ready-to-eat meals, and perishable pet food from mixed products.</p> | <p>• 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.</p> | <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>   |
| <p>C IV<br/>Processing of ambient stable products</p>                                | <p>Activity:<br/>Processing and packaging from any source stored and sold at ambient temperature includes canned foods, biscuits, snacks, oil, drinking water, soft drink, pasta, flour, sugar, and salt.<br/>Processing ambient stable pet food</p> <p>Examples of finished products:<br/>Soy sauce, miso, sake, tea, packaged rice, drinking water, soft drink, confectionery, sauces, mixed seasonings, instant foods, canned</p>   | <p>• 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.</p> | <ul style="list-style-type: none"> <li>▶ Thermal Processing</li> <li>▶ Baking Technology</li> <li>▶ Dairy Technology</li> <li>▶ Brewing Technology</li> <li>▶ Extrusion Technology</li> <li>▶ Vegetable and Animal Fats and Oils</li> <li>▶ Sugar refining</li> <li>▶ Beverage production</li> </ul> |

|  |  |  |  |
|--|--|--|--|
|  | products, bread, oil, alcoholic and non-alcoholic beverages, pasta, flour, sugar, salt, and ambient stable pet food.   |  | ► Alcoholic drink production   |
| K<br>Manufacture of chemical products (including biochemical products) (Manufacture of additives, vitamins, minerals, cultures, flavors, enzymes, processing aids, etc.) | Activity:<br>Production of food and feed additives, flavorings, vitamins, food grade gases, minerals, and processing aids.<br>Production of bio-cultures and enzymes.<br><br>Examples of finished products:<br>Food and feed additives, vitamins, minerals, bio-cultures, artificial flavors, amino acids, enzymes and processing aids, gases and/or filling gases as ingredients. | • 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. | ► Fermentation Technology<br>► Chemical Engineering<br>► Biochemical Engineering |

Not limited to \*1 and \*2.

## Annex 4 (Provision) Risk Factors of Operational Integrity in JFSM

This Annex defines the risk factors to be considered in conducting desktop review, certification body office audits, certification body KPIs, and annual performance analyses. Details of the implementation of the Integrity Program are noted in the "Surveillance activity provisions for certification bodies relating to the JFS-C Certification Program".

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

- \* ○ : Assessable risk factors  
 △ : Risk factors that may be assessable

| Considered as risk factors                                       | Assessment objectives  |
|--|--|
| a) Number of countries in which the certification body is active | To assess the diversity of the scope of the audit activities |
| b) The number of central functions of the certification body     | To assess the diversity of the scope of the audit activities |
| c) Number of active auditors                                     | To assess the balance against the number of reviews          |
| d) Language in which the audit is conducted                      | Differences in the screening environment between regions     |
| e) Number of audits by region                                    | Differences in the screening environment between regions     |
| f) Number of certification registrations                         | Balance with the number of auditors                          |
| g) Number of audits per auditor                                  | Balance of audit activity among auditors                     |
| h) Number of nonconformities by classification                   | Trends and differences by auditor and by certification body  |
| i) Grade and number of nonconformities                           | Variation in judging by auditors                             |



|   |   |
|---|---|
| j) Number of audit duration                                     | Differences and consistency with calculated man-hours                               |
| k) Important product recalls that have an effect on food safety | To assess the certified organizations' audits of conformity with the JFS-C standard |
| l) Number of related complaints                                 | Evaluation of certification activities  |

Disclaimer: This translated document is provided for information purposes only. In the event of a difference of interpretation or a dispute, the original Japanese version of this document is binding.