

**Raad voor Accreditatie
(Dutch Accreditation Council RvA)**

**Specific Accreditation
Protocol for Certification of
Food Safety Management
Systems**

Document code:

RvA-SAP-C001-UK

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A Specific Accreditation Protocol (SAP) describes the assessment service for a specific accreditation. It should be read in conjunction with the generic RvA regulations and policy documents. A current version of the SAP is available through the website of the RvA. (www.rva.nl).

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1 Relevant documents

1.1 Accreditation requirements

- ISO/IEC 17021, Conformity assessment - Requirements for bodies providing audit and certification of management systems.
- ISO/TS 22003; Food safety management systems - Requirements for bodies providing audit and certification of food safety management systems.

1.2 Additional documents

- RvA-T033; Assessment of Conformity Assessment Schemes.
- IAF ID 8; Transition of Food Safety Management System Accreditation to ISO/TS 22003: 2013 from ISO/TS 22003: 2007.
- IAF MD 1; Certification of Multiple Sites Based on Sampling.
- IAF MD 2; Transfer of Accredited Certification of Management Systems.
- IAF MD 3; Advanced Surveillance and Recertification Procedures (ASRP).
- IAF MD 4; Use of Computer Assisted Auditing Techniques ("CAAT") for accredited Certification of Management Systems.
- IAF MD 10; IAF Mandatory Document for Assessment of Certification Body Management of Competence in Accordance with ISO/IEC 17021: 2011.
- IAF MD 11; IAF Mandatory Document for the Application of ISO/IEC 17021 for Audits of Integrated Management Systems.
- IAF MD 12; Assessment of Certification Activities for Cross-Frontier Accreditation.
- IAF MD 16; Application of ISO/IEC 17011 for the Accreditation of Food Safety Management Systems (FSMS) Certification Bodies (mandatory from 8 October 2015).
- EA-3/11, Food Safety Management Systems Scope of Accreditation.

The current versions of these document can be obtained from the website of the relevant organisation: IAF (www.iaf.nu), EA (www.european-accreditation.org), ISO (www.iso.org), RvA (www.rva.nl).

1.3 Documents related to the conformity assessments to be carried out

- EN-ISO 22000: 2005
- Other standards for food safety management systems (FSMS) are possible.

If the Conformity Assessment Body (CAB) intends to certify against a different standard than EN-ISO 22000, the normative document with the requirements for the food safety management system should be clearly identified and include the HACCP requirements from the Codex Alimentarius (Joint FAO/WHO Codex Alimentarius Commission, 1993, "Hazard Analysis Critical Control Points (HACCP) System and Guidelines for its Application", Annex to CAC/RCP 1-1969, Rev. 4 (2003) and from the "General Principles of Food Hygiene, CAC/RCP 1-1969, Rev. 4 (2003).

When the scheme does not comply with the above requirements, RvA will perform an additional assessment, to establish whether the RvA is capable to offer accreditation for this scheme.

1.4 Specific requirements from legislation and regulations

Relevant food safety legislation and regulations on national level.

2 Scope of accreditation

The generic rules for defining the scope have been defined by RvA in RvA Policy rule RvA-BR003. For this accreditation, the scope will be defined as formulated in Annex 1.

3 Accreditation assessments

3.1 Documents to be submitted

For the RvA assessments, its assessors should be given access to the relevant documents. Specifically for this accreditation, the documents as specified in the table below are required.

Documents to be submitted <i>(additional to the documents mentioned in RvA-F001a, F105, F006-2 and annex 1 to RvA-BR005) (in Dutch or English)</i>	<i>Pre - assessment</i>	<i>Initial or re- assessment</i>	<i>Surveillance</i>	<i>Scope extension¹⁾</i>
- Documented certification regulation, including requirements for the use of the certification mark	√	√	√	√
- List of qualified auditors for each subcategory	√	√	√	√
- Directory of certified clients		√	√	√

In case of a witness assessment the CAB should, additional to the documents mentioned in annex 1 of RvA-BR005, submit the same documents as the audit team has received from the CAB, but at least the following documents:

1. the auditee's HACCP Manual (top tier, including organisation chart), including a brief description of the organization's activities and product groups/lines;
2. the results of the auditee's hazard analysis and their subsequent list of CCP's and control measures;
3. information demonstrating the performance of contract review (at least justification for assignment of the audit team and calculation of audit duration);
4. certificate of client (for surveillance and re-assessment audits).

3.2 The type and content of assessments

In addition to the generic regulations for the type and content of RvA assessments as defined in RvA-BR002 and RvA-BR005, for this specific accreditation the requirements from the following table apply. The type and size of the assessment depend on the requested scope of accreditation, other accreditations possibly existing and the functioning of the CAB in the past (where relevant).

<i>Assessment method</i>	<i>Pre-assessment</i>	<i>Initial or re- assessment</i>	<i>Surveillance (refer to RvA- BR005 for the general policy)</i>	<i>Scope extension¹⁾</i>
Document review	√	√		√
Office assessment	√ (optional)	√	annual	√
Witnessing of audits	See below for specified policy concerning witnessing for the various types of assessment			
1) Based upon the requested scope extension (in RvA- F105), the RvA will determine the assessment method				

Policy concerning witnessing:

Table A.1 in Annex A of ISO/TS 22003 (also see table in Annex 1 of this document) can be aggregated into the following clusters. These clusters are only meant for the accreditation process and are not suitable to be used by CAB's in their certification processes.

Clusters (with an indication of the relevant categories):

1. Farming (A+B)
2. Food and Feed Processing (C+D)
3. Catering (E)
4. Retail, Transport and Storage (F+G)
5. Auxiliary Industries (H+I+J)
6. (Bio) Chemical (K)

Criteria for witnessing:

Initial accreditation:

- witness of a least one complete (stage 1 and 2) certification audit.

Initial accreditation or extension of the accreditation:

- at least one witness performed in each cluster, preferably for an activity with higher food safety risks (indicated in bold typeface in annex 2 of this document);
- for extension within a cluster, a witness is not mandatory.

Per accreditation cycle:

- one witness annually in cluster 2 (if covered by the scope of accreditation). During the accreditation cycle, a witness in each category of cluster 2 (within the scope of accreditation) will be performed;
- at least one witness in each of the other clusters;
- at least one witness of a complete initial audit (stage 1 and 2).

The requirements above are minimum requirements for witnessing (exceptions may be possible where witnesses have been performed related to other food safety schemes). Based on specific situations it may be decided that more witnessing is needed.

In principle, a significant part of the RvA witness assessments will be performed during initial or re-certification audits.

Other criteria for the selection audits to be witnessed:

- During the accreditation cycle witnesses will mainly be selected for activities with higher food safety risks (see table in annex 2). Other accredited certification scheme activities in the same category may be taken into account.
- In principle, an audit team of which the auditors haven't been witnessed before in that particular field of competence will be witnessed.
- In principle, a witness will not be performed twice at the same customer or the same location.
- Results of previous assessments / witnesses may influence the selection of witnesses.
- Witnesses for other food safety schemes (preferably management system). Witness performed for such schemes, may substitute some, but not the majority of witness assessments. These cases shall be fully documented and justified.
- The countries in which the CAB is active are also relevant for the selection of witnesses.
- Critical locations are also relevant for the selection of witnesses.

4 Specific issues for the RvA assessment

Focal points for initial and extension assessments:

1. The certification body has competent personnel to perform the contract review and select the correct category and subcategory (see annex C of ISO/TS 22003).

2. The certification body has established technical criteria to describe the competence for auditors in each subcategory (see annex A, table A.1 and annex C in ISO/TS 22003).
3. The certification body has competent auditors in at least one subcategory of the relevant category.
4. The certification body has established a process giving assurance that accredited certification will only be offered for subcategories for which the certification body has competent auditors.
5. The certification body keeps an updated list of subcategories for which it has competent auditors. This list shall be available to the accreditation body upon request.
6. The certification body must be able to demonstrate that it has at least one active application for the category for which it is seeking accreditation.
7. The certification body has established a procedure how to handle applications for a new subcategory (subcategory for which the certification body does not yet have competent auditors).

Additional focal points, also applicable during surveillance and re-assessments:

- scheme specific requirements (related to ISO/IEC 17021 and ISO/TS 22003) laid down by scheme owners (e.g. Scheme Regulations from the (Dutch) NBE HACCP, such as surveillance frequencies (Certification regulation, article 7));
- supervision of impartiality: the structure as meant in ISO/IEC 17021, paragraph 6.2, shall include interested parties relevant for FSMS certification;
- FSMS auditor competence: CAB shall demonstrate continuous training and competence evaluations in accordance with provisions of ISO/TS 22003, cl. 7.1 and annex C;
- competence of personnel involved in certification: the CAB shall demonstrate competence evaluation in accordance with ISO/TS 22003, cl. 7.1 and annex C;
- participation in training / harmonization activities of scheme owners as well as internal training / harmonization activities;
- audit methodology: CAB shall implement stage 1 and 2 methodology appropriately (ISO/TS 22003, 9.2.3.1);
- the CAB shall define its scopes of certification in such a way that it shall not be a source for misunderstandings, incomprehension or misleading claims or (EN-ISO 22000:4.1, EN-ISO/IEC 17021: 8.1.2 and 8.2.3, ISO/TS 22003: 9.1.1);
- time allocation: the CAB shall allocate adequate time for the on-site audit, in accordance with the provisions of ISO/TS 22003, annex B, 9.1.4 and 9.1.5. This evaluation shall be justified and recorded.

For schemes managed by the (Dutch) NBE HACCP, additional to the provisions of the Certification regulation, the surveillance frequency also depends on the type of company. It is at the discretion of the CAB whether for companies producing seasonal products a deviation from the half yearly surveillance is possible. The surveillance frequency for this type of companies remains at least yearly, just as for the categories A and B (primary sector) and category H and J (auxiliary industries). The RvA will explicitly pay attention to the motivation if the CAB decides to deviate from the half yearly surveillance regime.

5 Other information

The RvA shall inform scheme owners about the status of the accreditation for the schemes under their management.

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Transition to new scopes in line with ISO/TS 22003:2013:

At the first assessment after September 1, 2015, the RvA shall convert the scope of the CAB from the ISO/TS 22003:2007 categories to the new ISO/TS 22003:2013 clusters and categories. The new scoping system is formulated in broader clusters than the previously indicated categories. In principle, the current scope of accreditation (in categories) will be converted into the clusters and categories indicated in annex 3. If the CAB currently does not have all categories of that cluster on the scope, the CAB should indicate whether:

- 1 it wishes to operate in the whole (22003:2013) cluster; in that case the CAB will have to apply for an extension of scope;
- 2 it wishes to continue operating in the current categories in the (new) cluster; in that case the scope will be converted in such a way that the limitation to those categories within the cluster is indicated.

6 Changes with regard to the previous version

Compared to version 3 the following significant modifications have been made:

- consequences of the introduction of ISO/TS 22003:2013;
- inclusion of guidance document IAF ID8;
- inclusion of guidance document IAF MD16;
- annex 1: examples of scopes of accreditation adapted to ISO/TS 22003:2013;
- documents required in case of witness added;
- reference to RvA BR005 included because of reference to documents to be submitted in 3.1;
- change of format.

ANNEX 1: Examples of scopes of Accreditation

Normative document	Certification scheme
EN-ISO 22000	<p>Certification of Food Safety Management Systems for the clusters and categories:</p> <ol style="list-style-type: none"> 1. Farming: <ul style="list-style-type: none"> - category A, Animals - category B, Plants 2. Food and feed Processing: <ul style="list-style-type: none"> - category C, Food production - category D, Feed production 3. Catering: <ul style="list-style-type: none"> - category E, Catering 4. Retail, transport and storage: <ul style="list-style-type: none"> - categories F, Distribution - category G, Transport and storage 5. Auxiliary services: <ul style="list-style-type: none"> - category H, Services - category I, Production of food packaging and packaging materials - category J, Equipment manufacturing 6. (Bio)chemical: <ul style="list-style-type: none"> - category K, Production of (bio)chemicals <p>Accreditation granted in accordance with ISO/TS 22003:2013.</p>
The requirements for a HACCP based Food Safety System, (June 2012)	<p>Certification of Food Safety Management Systems for the clusters and categories:</p> <ol style="list-style-type: none"> 1. Farming: <ul style="list-style-type: none"> - category A, Animals - category B, Plants 2. Food and feed Processing: <ul style="list-style-type: none"> - category C, Food production 3. Catering: <ul style="list-style-type: none"> - category E, Catering 4. Retail, transport and storage: <ul style="list-style-type: none"> - categories F, Distribution - category G, Transport and storage 6. (Bio)chemical: <ul style="list-style-type: none"> - category K, Production of (bio)chemicals <p>Accreditation granted in accordance with ISO/TS 22003:2013. (S222)</p>

<p>EN-ISO 22000 ISO/TS 22002-1 Additional FSSC 22000 requirements</p>	<p>Certification of food safety management systems 22000 (FSSC 22000) for the clusters and categories:</p> <p>2. Food and feed Processing:</p> <ul style="list-style-type: none"> - category C, Food production <p>6. (Bio)chemical:</p> <ul style="list-style-type: none"> - category K, Production of (bio)chemicals <p>Accreditation granted in accordance with ISO/TS 22003:2013.</p>
<p>EN-ISO 22000 ISO/TS 22002-4 Additional FSSC 22000 requirements</p>	<p>Certification of food safety management systems 22000 (FSSC 22000) for the clusters and categories:</p> <p>5. Auxiliary services:</p> <ul style="list-style-type: none"> - category I, Production of food packaging and packaging materials <p>Accreditation granted in accordance with ISO/TS 22003:2013.</p>
<p>EN-ISO 22000 PAS 222 Additional FSSC 22000 requirements</p>	<p>Certification of food safety management systems 22000 (FSSC 22000) for the clusters and categories:</p> <p>2. Food and feed Processing:</p> <ul style="list-style-type: none"> - category D, Feed production (functional feed ingredients, special feed supplements, special dietary feed supplements) <p>Accreditation granted in accordance with ISO/TS 22003:2013.</p>
<p>FAMI-QS Code of Practice (2009)</p>	<p>Certification of the animal feed safety system for additives and pre-mixtures (FAMI-QS) for the clusters and categories:</p> <p>2. Food and feed Processing:</p> <ul style="list-style-type: none"> - category D, Feed production (functional feed ingredients, special feed supplements, special dietary feed supplements) <p>4. Retail, transport and storage:</p> <ul style="list-style-type: none"> - categories F, Distribution <p>6. (Bio)chemical:</p> <ul style="list-style-type: none"> - category K, Production of (bio) chemicals (animal feed additives and pre-mixes) <p>Accreditation granted in accordance with ISO/TS 22003:2013.</p>

Annex 2: Scopes of accreditation for activities with higher food safety risks.

Activities with higher food safety risks are shown in ***bold and italics***.

EA-3/11 Clusters (see 3.2)	Category codes of Table A.1 in Annex A of ISO/TS 22003	Categories	Examples of activities (derived from Table A.1 in Annex A of ISO/TS 22003)
Cluster 1	A	Farming of animals	<p><i>Raising animals (other than fish and seafood) used for the production of meat, egg production, milk production or honey production</i></p> <p>Growing, keeping, trapping and hunting (slaughtering at point of hunting) Associated farm packing and storage</p> <p><i>Raising fish and seafood used for 'meat' production</i></p> <p>Growing, trapping and fishing (slaughtering at point of capture) Associated farm packing and storage</p>
	B	Farming of plants	<p>Growing or harvesting of plants (other than grains and pulses): horticultural products (fruits, vegetables, spices, mushrooms, etc.) and hydrophytes for food</p> <p>Associated farm packing and storage</p> <p>Growing or harvesting of grains and pulses for food</p> <p>Associated farm packing and storage</p>
Cluster 2	C	Food manufacturing	<p><i>Production of animal products including fish and seafood, meat, eggs, dairy and fish products</i></p> <p><i>Production of plant products including fruits and fresh juices, vegetables, grains, nuts, and pulses</i></p> <p><i>Production of mixed animal and plant products including pizza, lasagne, sandwich, dumpling, ready-to-eat meals</i></p> <p>Production of food products from any source that are stored and sold at ambient temperature, including canned foods, biscuits, snacks, oil, drinking water, beverages, pasta, flour, sugar, food-grade salt</p>
	D	Animal feed production	<p><i>Production of feed from a single or mixed food source, intended for food-producing animals</i></p> <p><i>Production of feed from a single or mixed food source, intended for non-food producing animals</i></p>
Cluster 3	E	Catering	<i>Preparation, storage and, where appropriate, delivery of food for consumption, at the place of preparation or at a satellite unit</i>

Cluster 4	F	Distribution	Provision of finished food products to a customer (retail outlets, shops, wholesalers) Buying and selling food products on its own account or as an agent for others Associated packaging
	G	Provision of transport and storage services	Storage facilities and distribution vehicles for the storage and transport of perishable food and feed Associated packaging Storage facilities and distribution vehicles for the storage and transport of ambient stable food and feed Associated packaging
Cluster 5	H	Services	Provision of services related to the safe production of food, including water supply, pest control, cleaning services, waste disposal.
	I	Production of food packaging and packaging material	Production of Food Packaging material
	J	Equipment manufacturing	Production and development of food processing equipment and vending machines
Cluster 6	K	Production of (bio)chemicals	Production of food and feed additives, vitamins, minerals, bio-cultures, flavourings, enzymes and processing aids Pesticides, drugs , fertilizers, cleaning agents

For further information regarding the terminology used see Table A.1 of ISO/TS 22003:2013

Annex 3: Table for the transition of scopes from ISO/TS 22003:2007 to ISO/TS 22003:2013

Scope under ISO/TS 22003:2007		Scope under ISO/TS 22003:2013		
Indication	Category	Indication	Cluster	Including categories
A	Farming 1 (Animals)	1	Farming	A Animals
B	Farming 2 (Plants)	1	Farming	B Plants
C	Processing 1 (Perishable animal products) including all activities after farming, e.g. slaughtering	2	Food and feed processing	C Food manufacturing
D	Processing 2 (Perishable vegetal products)	2	Food and feed processing	C Food manufacturing
E	Processing 3 (Products with long shelf life at ambient temperature)	2	Food and feed processing	C Food manufacturing
F	Feed production	2	Food and feed processing,	D Feed production
G	Catering	3	Catering	E Catering
H	Distribution	4	Retail, transport and storage	F Distribution
I	Services	5	Auxiliary services	H Services
J	Transport and storage	4	Retail, transport and storage	G Provision of transport and storage services
K	Equipment manufacturing	5	Auxiliary services	J Equipment manufacturing
L	(Bio)chemical manufacturing	6	(Bio)chemical	K Production of (bio)chemicals
M	Packaging material manufacturing	5	Auxiliary services	I Production of food packaging and packaging materials