

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

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

Document code:

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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).

Content

INTRODUCTION	4
1 Relevant documents	4
1.1 Standard used for accreditation	4
1.2 Additional standards	4
1.3 Additional documents (indirectly applicable)	4
1.4 Documents related to the conformity assessment to be carried out	4
1.5 Specific requirements from legislation and regulations	4
2 Scope of accreditation	4
3 Accreditation assessments	5
3.1 Documents to be submitted	5
3.2 The nature and content of the assessments	5
4 Specific issues for the RvA assessments	7
5 Other information	8
6 Changes compared to the previous version of this document	8
ANNEX 1: Scopes of accreditation for activities with higher food safety risks.	9

INTRODUCTION

This SAP should be read in conjunction with SAP-C000, Specific Accreditation Protocol for ISO/IEC 17021-1. This means that certain paragraph numbers can be missing in this SAP (if all relevant information is already included in SAP-C000)

1 Relevant documents

1.1 Standard used for accreditation

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

1.2 Additional standards

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

1.3 Additional documents (indirectly applicable)

- IAF MD 16; Application of ISO/IEC 17011 for the Accreditation of Food Safety Management Systems (FSMS) Certification Bodies.

The current versions of these document can be obtained from the website of the relevant organisation: IAF (www.iaf.nu).

1.4 Documents related to the conformity assessment to be carried out

- ISO 22000: Food safety management systems – Requirements for organizations in the food chain
- European Code to good practice for the industrial manufacture of safe feed materials (EFISC)
- FAMI-QS Code of Practice
- Food Safety System Certification 22000 (FSSC 22000)
- GMP+ Feed Certification Scheme
- HACCP Certificatieschema betreffende de eisen voor een op HACCP gebaseerd voedselveiligheidssysteem

1.5 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.

The versions for the schemes to which this SAP applies, are listed in the BR010-lijst (Dutch) on the RvA website.

3 Accreditation assessments

3.1 Documents to be submitted

For the RvA assessments, its assessors should be given access to the relevant documents. This concerns the documents as mentioned in the BR002 and the BR005 and related forms. In addition to this documentation, the documents as specified in the table below must be supplied.

Documents to be submitted <i>(additional to the documents mentioned in RvA-F001a, F105, F006-2 and annex 1 to RvA-BR005)</i> <i>(in Dutch or English)</i>	Pre - assessment	Initial or re-assessment	Surveillance	Scope extension
List of qualified auditors for each subcategory or self-defined technical sectors ^(*)	√	√	√	√
List of certified clients for each subcategory or self-defined technical sectors ^(*)		√	√	√

^(*) As defined in ISO/TS 22003 and IAF-MD16.

In case of a witness assessment the CAB should, in addition to the above documents, submit the same documents as the audit team has received from the CAB, but at least also the following documents:

- A brief description of the organization's activities and product groups/lines, including the flow diagram(s) of the production process(es) and the relevant CCP's and oPRP's;
- the results of the auditee's hazard analysis and their subsequent list of CCP's and control measures;

3.2 The nature and content of the assessments

In addition to the generic rules for the type and content of RvA assessments as defined in RvA-BR002, RvA-BR005 and SAP-C000, for this specific accreditation the requirements from the following table apply. The type, extent and content 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).

Assessment method	Pre-assessment	Initial or re-assessment	Surveillance	Scope extension
Office assessment	√ (optional)	At least 1 file per category ⁽¹⁾	Annually at least 1 file per cluster ⁽¹⁾	At least 1 file per category ⁽¹⁾
Witnessing of audits	See below for specified policy concerning witnessing for the various types of assessment			

⁽¹⁾ As defined in ISO/TS 22003 and IAF-MD16.

Policy concerning witnessing

3.2.1 Witnessing HACCP, ISO22000, FAMI-QS, GMP+ and EFISC

The following policy applies to the schemes listed under 1.4, **with the exception of FSSC22000**.

Table A.1 in Annex A of ISO/TS 22003 (also see table in Annex A of this document) can, in accordance with MD16, 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 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 A of this document);
- for extension within a cluster, a witness is not mandatory, with the exception of cluster 2, category D (as a result of legislation and regulations)

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 (C + D)(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).
- at least one witness in each FSMS scheme within the scope of accreditation

The requirements above are minimum requirements for witnessing. 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 A). Other accredited certification scheme activities in the same category may be taken into account.
- For extensions within a cluster, the assessment will be based on document review (competence requirements, qualification auditors and customer file (s)) and no witnessing is required, except

for cluster 2 category D.- if applicable for the scheme, an unannounced audit can be selected to attend.

3.2.2 Witnessing FSSC

For FSSC22000 the following policy applies to witness assessments

During the 4-year accreditation cycle, all categories for which the CAB is accredited must be attended.

The witness assessments resulting from this paragraph are supplementary to section 3.2.1 and can't replace the witnesses in the concerning paragraph.

4 Specific issues for the RvA assessments

Focal points for initial and extension assessments:

- 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).
- 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).
- The certification body has competent auditors in at least one subcategory of the relevant category.
- 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.
- The certification body keeps an updated list of subcategories for which it has competent auditors. This list shall be available to the accreditation body.
- 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.
- 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));
- evaluation of the risk assessment process with regard to identification and consultation with stakeholders, relevant for food safety system certification as referred to in ISO / IEC 17021-1, §5.2.3;
- 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.
- the audit and reporting on the hazard analyses by the customer
- meet scheme specific requirements and their control
- the CAB has (if applicable for the scheme) established a process for dealing with unannounced audits
- if applicable for the scheme, the CAB must demonstrate how additional scheme requirements are applied

5 Other information

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

6 Changes compared to the previous version of this document

In order to align the version of this document with the Dutch version, this will be version 6.

Compared to the version 4 of 24 April 2015 the following significant modifications have been made:

- removal Annex A (examples of scopes of accreditation) and Annex C (Table for the transition of scopes from ISO/TS 22003:2007 to ISO/TS 22003:2013)
- rename Annex B to Annex 1
- addition consequences implementation ISO/TS 22003:2013;
- addition requirements IAF-MD16;
- 1.3 additional documents (indirectly applicable) added;
- 1.4 documents related to the conformity assessment to be carried out (former 1.3) changed;
- 3.1 documents to be submitted changed;
- policy regarding witnessing changed;
- improvements regarding references to RvA policy rules;
- 4 Specific issues for the RvA assessments changed

ANNEX 1: 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	<p><i>Preparation, storage and, where appropriate, delivery of food for consumption, at the place of preparation or at a satellite unit</i></p>

Cluster 4	F	Distribution	<p>Provision of finished food products to a customer (retail outlets, shops, wholesalers)</p> <p>Buying and selling food products on its own account or as an agent for others</p> <p>Associated packaging</p>
	G	Provision of transport and storage services	<p>Storage facilities and distribution vehicles for the storage and transport of perishable food and feed</p> <p>Associated packaging</p> <p>Storage facilities and distribution vehicles for the storage and transport of ambient stable food and feed</p> <p>Associated packaging</p>
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	<p>Production of food and feed additives, vitamins, minerals, bio-cultures, flavourings, enzymes and processing aids</p> <p>Pesticides, drugs, fertilizers, cleaning agents</p>