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HKCAS Supplementary Criteria No. 6

Accreditation Programme for Food Safety Related Management System Certification

1 INTRODUCTION

- 1.1 HKAS accreditation for food safety related management system certification is provided under Hong Kong Certification Body Accreditation Scheme (HKCAS) and is open for voluntary application from any certification body offering a third-party certification service on food safety management system to ISO 22000 for area(s) described in Appendix A or food safety related management system in respect of a certification scheme. The certification scheme shall satisfy the criteria set out in HKCAS SC-11.
- 1.2 The accreditation criteria for food safety related management system certification include HKAS 002, HKCAS 003: 2015, ISO/TS 22003: 2013, HKCAS SC-04, the relevant HKAS and HKCAS Supplementary Criteria, the relevant IAF and PAC requirement documents and the current edition of this document which serves to amplify the accreditation requirements in the above documents.
- 1.3 The normative documents listed in Appendix B of this document form part of the accreditation requirements. For dated references, only the edition cited applies. For undated references, the latest editions (including any amendments) apply.
- 1.4 HKAS operates its accreditation process in accordance with IAF MD 16, Annex AA of HKCAS 003: 2015 and Appendix C of this document. IAF MD 16 is exclusively for accreditation of certification bodies offering third-party certification services on food safety management system to ISO 22000. Applicant or accredited certification bodies should take note of the process and requirements applicable to them.
- 1.5 Details of the HKCAS accreditation for an accredited certification body are given in

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its current scope of accreditation. For an accredited certification body offering certification service(s) in respect of certification scheme(s), the details include identification of the certification scheme(s), a brief description of each scheme such as certification criteria, normative references, evaluation and surveillance regime.

- 1.6 Fees for application, assessment and other accreditation services are charged in accordance with HKCAS 006.
- 1.7 Accreditation of a certification body for a particular management system certification is an attestation that the certification body is competent in offering a third-party certification service on that management system certification for which it is accredited in accordance with the accreditation criteria. An accredited certification body shall comply with the relevant accreditation criteria at all times for maintaining accreditation. Nevertheless, accreditation is not a guarantee that an accredited certification body will carry out its accredited activities in accordance with the relevant accreditation criteria all the time. Furthermore, accreditation is not a guarantee that any organisation certified by an accredited certification body is in conformity with all certification requirements. HKAS does not endorse, sanction or approve in any way, any organisation certified by any accredited certification body. Conversely, failure to obtain certification by an accredited certification body does not imply that HKAS has refused to endorse, sanction or approve in any way the applicant organisation to be certified.

2 TERMS AND DEFINITIONS

- 2.1 For the purposes of this document, the terms and definitions given in ISO/TS 22003: 2013 apply. For applicant and accredited certification bodies offering certification services to ISO 22000, the terms and definitions given in ISO 22000: 2005 also apply.
- 2.2 The term “assessment” refers to the process in which HKAS Executive assesses the competence of a certification body while the term “audit” refers to the process in which a certification body evaluates the conformity of an organisation with

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certification criteria.

- 2.3 The term “shall” is used throughout this document to indicate those provisions which are mandatory. The term “should” is used to indicate guidance which, although not mandatory, is provided by HKAS as a recognised means of meeting the requirements.
- 2.4 In this document, the term “lead auditor” is used. It has the same meaning as the term “audit team leader” which is used in HKCAS 003: 2015 and ISO/TS 22003: 2013.

3 RESOURCE REQUIREMENTS

Lead auditor and auditor

- 3.1. A lead auditor or an auditor shall have at least an associate degree or higher diploma qualification in an engineering, technology or science discipline from a recognised educational institution in Hong Kong, or equivalent qualification.
- 3.2. An applicant or accredited certification body shall evaluate the performance of every lead auditor and auditor on-site at least once every 3 years. The evaluation shall cover all aspects of the activities that the auditors have been authorised by the certification body to perform. Corrective actions shall be taken if there is any doubt on their competence.

Technical expert

- 3.3. Technical experts may be included in the audit team. They provide technical support to the audit team. Technical experts need not be trained on auditing techniques but must have the required qualification, experience and technical knowledge on the technical areas to be audited. During an audit, technical experts shall work under the direction and close supervision of an auditor or a lead auditor.

Personnel for making certification decision

- 3.4. Certification decisions may be made by a staff member or a committee. In case the certification decision is made by a committee, an applicant or accredited certification body shall ensure that the committee members who make the decision on

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granting/withdrawing a certification shall have a level of knowledge and experience sufficient for making a sound decision based on the results or information obtained from the auditing processes. The certification body shall also have documented procedures and criteria for the committee to make certification decisions and the committee members are conversant with the procedures and criteria. It may be necessary to provide appropriate training to committee members for such conversance. Detailed records of the factors considered by the committee and the deliberation shall be kept.

Training

- 3.5. An applicant or accredited certification body shall identify and evaluate training needs for its personnel and provide them the necessary training in accordance with ISO/TS 22003: 2013 requirements. After training, the competence of the personnel involved in certification activities of food safety related management system shall be evaluated and records kept.

Work instruction

- 3.6. An applicant or accredited certification body shall provide adequate and up-to-date documented work instructions to its lead auditors and auditors to ensure that all processes and activities have been performed according to the requirements of HKCAS 003: 2015 and the certification body.

4. INFORMATION REQUIREMENTS

- 4.1. An applicant or accredited certification body shall include all names and geographic locations of a certified organisation covered by the certification in a certification document. The activities carried out in each geographic location covered by the certification shall also be clearly recorded in the certification documents.

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5. PROCESS REQUIREMENTS

- 5.1. An applicant or accredited certification body shall specify the information to be provided by an applicant organisation which applies for its certification such as relevant information of the applicant organisation, desired scope of the certification, copies of valid appropriate licence(s)/permit(s) issued by the relevant government departments/bureaux, documents describing the process lines (e.g. flow diagram of the production process, detailed process description, operation procedure etc.) and quality assurance measures, all outsourced processes, HACCP studies, the number of shifts and information concerning the use of consultancy relating to the management system. Upon receiving an application, the certification body shall review and check whether sufficient information has been provided by the organisation and ask for supplementary information if necessary. To ensure that essential information will not be missed out, the certification body should design an application form which lists all the information required for use by the organisations.
- 5.2. There shall also be a contract signed between an applicant or accredited certification body and its applicant organisation to legally bind the latter to the agreed obligations according to relevant HKCAS accreditation criteria. This must be executed before formal certification documentation can be issued.
- 5.3. An applicant and accredited certification body shall determine the interval between stage 1 and stage 2 audits and shall only conduct stage 2 audit after the findings identified in the stage 1 audit have been adequately resolved by the applicant organisation. As in general, applicant organisations may take some time to adequately resolve findings identified in the stage 1 audit, scheduling the stage 1 and stage 2 audits back-to-back is not recommended. The interval between stage 1 and stage 2 audits and its justification shall be recorded. The certification body should repeat stage 1 audit if changes to an applicant organisation's food safety related management system have rendered the information collected in the original stage 1 audit invalid.
- 5.4. Where an applicant or accredited certification body offers multi-site certification, sampling is allowed in accordance with ISO/TS 22003: 2013. Surveillance audits

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shall be performed on the sampled sites which are selected randomly.

- 5.5. The details of the process in establishing the PRPs and the hazard analysis, identification of critical control points, and the effectiveness of the PRPs, operational PRPs and HACCP plan shall be the major focus of audit for food safety management system certification to ISO 22000. An applicant or accredited certification body shall ensure that auditors are competent in these aspects.

Scope of certification

- 5.6. For food safety management system certification to ISO 22000, an applicant or accredited certification body shall include the scope of certification in certification documents and can present the scope of certification in a table form or in text, for examples:

	Category	Subcategory	Specified products / activities
	Food Manufacturing	Processing of perishable animal products	Vacuum packed sausage
	Production of Food Packaging and Packaging Material	--	Food contact plastic film packaging materials for food manufacturing industry

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Appendix A
(normative)
SCOPE OF ACCREDITATION

Accreditation for food safety management system certification to ISO 22000 will be granted by area. Reference is made to the classification of food chain categories defined in Annex A of ISO/TS 22003: 2013 for the areas.

Area No.	Description
1	Farming of Animals
2	Farming of Plants
3	Food Manufacturing
4	Animal Feed Production
5	Catering
6	Distribution
7	Provision of Transport and Storage Services
8	Services
9	Production of Food Packaging and Packaging Material
10	Equipment Manufacturing
11	Production of (Bio) Chemicals

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Appendix B
(normative)

NORMATIVE DOCUMENTS

- B.1. HKAS 002, Regulations for HKAS accreditation
- B.2. HKAS SC-01, Use of HKAS accreditation symbols and claims of accreditation status
- B.3. HKAS SC-02, Non-conformities and their grading
- B.4. HKAS SC-04, Intervals between reassessments and surveillance visits
- B.5. HKAS SC-06, Code of Conduct
- B.6. HKCAS 003: 2015, Technical Criteria for Accreditation of Management System Certification bodies
- B.7. HKCAS SC-04, Accreditation regulations specific for HKCAS – certification body
- B.8. HKCAS SC-11, HKAS policy on product and management system certification schemes (for certification body offering certification services in respect of a certification scheme only)
- B.9. ISO/TS 22003: 2013, Food safety management systems – Requirements for bodies providing audit and certification of food safety management systems
- B.10. IAF MD 16: 2014, Application of ISO/IEC 17011 for the accreditation of food safety management systems (FSMS) certification bodies (for certification body offering certification services to ISO 22000 only)

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Appendix C
(informative)

HKAS ASSESSMENT PROCESS

- C.1. HKAS operates its accreditation process in accordance with IAF MD 16, Annex AA of HKCAS 003: 2015 and this appendix. IAF MD 16 is exclusively for accreditation of certification bodies offering third-party certification services on food safety management system to ISO 22000. Emphasis of HKAS assessment will be given to whether an applicant or accredited certification body has the necessary expertise in food safety related management system, for examples, relevant food laws and regulations, PRPs, operational PRPs, HACCP plan, production and other related processes relevant to its certified organisations, and the robustness and reliability of its auditing process.
- C.2. HKAS Executive will conduct a preliminary visit for an applicant certification body which has not been accredited previously under HKCAS. If an applicant certification body has already been accredited for another certification service under HKCAS, e.g., QMS or product certification, the application for accreditation of food safety related management system certification will be treated as an extension into a new certification service. No pre-assessment visit will be covered by the application fee. However, as food safety related management system certification is carried out in accordance with HKCAS 003: 2015 and ISO/TS 22003: 2013 which is different from the standard used for product certification, it is strongly recommended that the applicant certification body requests the HKAS Executive to conduct a preliminary visit at an additional fee.
- C.3. For an applicant certification body offering certification services to ISO 22000, a HKAS assessment team will interview auditors of those areas not assessed through witnessing visits in order to assess their competence in the initial assessment. For an accredited certification body to extend its accreditation to a non-accredited cluster, at least one witnessing assessment in the cluster shall be performed. For extension within an accredited cluster, the HKAS assessment team will conduct either an on-site witnessing assessment or interview the auditors at the discretion of HKAS Executive.