

HKCAS SC-06
Issue No. 7
Issue Date: 16 October 2023
Implementation Date: 16 October 2023
Page 1 of 7

# HKCAS Supplementary Criteria No. 6

## Accreditation Programme for Food Safety Management System Certification

### 1 INTRODUCTION

- 1.1 HKAS accreditation for Food Safety Management System (FSMS) 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 FSMS to ISO 22000 for area(s) described in Appendix A or FSMS in respect of a certification scheme. The certification scheme shall satisfy the criteria set out in HKCAS SC-11 and Appendix B of this document.
- 1.2 Specific accreditation criteria for FSMS certification include HKCAS 003: 2015, ISO 22003-1: 2022 and HKCAS SC-06.
- 1.3 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.

HKCAS SC-06
Issue No. 7
Issue Date: 16 October 2023
Implementation Date: 16 October 2023
Page 2 of 7

## **2 TERMS AND DEFINITIONS**

- 2.1 For the purposes of this document, the terms and definitions given in HKCAS 003: 2015 and ISO 22003-1: 2022 apply. For applicant and accredited certification bodies offering a certification service to ISO 22000, the terms and definitions given in ISO 22000 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 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 22003-1: 2022.

## **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.

HKCAS SC-06
Issue No. 7
Issue Date: 16 October 2023
Implementation Date: 16 October 2023
Page 3 of 7

### **Personnel for making certification decision**

3.3 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 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.

## **4 PROCESS REQUIREMENTS**

4.1 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 (Hazard Analysis and Critical Control Point) 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.

4.2 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

HKCAS SC-06
Issue No. 7
Issue Date: 16 October 2023
Implementation Date: 16 October 2023
Page 4 of 7

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.

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HKCAS SC-06
Issue No. 7
Issue Date: 16 October 2023
Implementation Date: 16 October 2023
Page 5 of 7

**Appendix A**  
(normative)  
**SCOPE OF ACCREDITATION**

Accreditation for FSMS 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 22003-1: 2022 for the areas.

Area No.	Description
1	Farming or Handling of Animals
2	Farming of Handling of Plants
3	Food, Ingredient and Pet Food Processing
4	Feed and Animal Food Processing
5	Catering/Food Service
6	Trading, Retail and E-commerce
7	Transport and Storage Services
8	Services
9	Production of Packaging Material
10	Equipment
11	Chemical and Bio-chemical

HKCAS SC-06
Issue No. 7
Issue Date: 16 October 2023
Implementation Date: 16 October 2023
Page 6 of 7

## **Appendix B**

(normative)

### **HKAS POLICY ON CERTIFICATION SCHEME**

- B.1. HKAS accreditation shall only be provided to certification body offering a third-party certification service on FSMS in respect of a certification scheme that satisfies the criteria set out in HKCAS SC-11 and this appendix.
- B.2. The classification of food chain clusters, categories and sub-categories of the certification scheme shall be in line with Annex A of ISO 22003-1: 2022. Where the certification scheme has established its own rules for determination for clusters/categories/subcategories, the scheme rules shall not be less than those required in Annex A of ISO 22003-1: 2022 as a common basis.
- B.3. Annex B of ISO 22003-1: 2022 specifies the methodology of determining the audit duration. Where the certification scheme has established its own rules for determination for audit duration, the scheme rules shall not be less than those required in Annex B of ISO 22003-1: 2022 as a minimum.

HKCAS SC-06
Issue No. 7
Issue Date: 16 October 2023
Implementation Date: 16 October 2023
Page 7 of 7

**Appendix C**  
(informative)

**SPECIFIC GUIDELINES IN HKAS ASSESSMENT PROCESS**

- C.1. HKAS operates its accreditation process in accordance with IAF MD 16 and this appendix. Emphasis of HKAS assessment will be given to whether an applicant or accredited certification body has the necessary expertise in FSMS, for examples, relevant food laws and regulations, PRPs, operational PRPs, HACCP study, CCPs, 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 FSMS certification will be treated as an extension into a new certification service. No preliminary visit will be covered by the application fee. However, as FSMS certification is carried out in accordance with HKCAS 003: 2015 and ISO 22003-1: 2022 which is different from the standard used for other management system certification and 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 a certification service to ISO 22000, a HKAS assessment team, at its discretion, 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, at its discretion, will conduct either an on-site witnessing assessment or interview the auditors.