

# PART II



## Requirements for the Management of Schemes

Requirements for  
the Management  
of Schemes

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## REQUIREMENTS FOR THE MANAGEMENT OF SCHEMES

### CONTENTS

Introduction.....	59
<b>1. Requirements for a GFSI Benchmarking Application .....</b>	<b>59</b>
1.1 Introduction .....	59
1.2 Requirements for Scheme Application .....	60
<b>2. Requirements for Food Safety Schemes - Ownership and Management .....</b>	<b>62</b>
2.1 Introduction .....	62
2.2 Scheme Scope.....	62
2.3 Scheme Development and Maintenance.....	62
2.4 Scheme Governance .....	63
2.5 Scheme Management.....	64
2.6 GFSI Relationship .....	65
<b>3. Requirements for Food Safety Schemes - System .....</b>	<b>66</b>
3.1 Introduction .....	66
3.2 Relationship with Accreditation Bodies.....	66
3.3 Relationship with Certification Bodies.....	66
3.4 Certification Body Personnel Competence .....	69
3.5 Audit Frequency and Duration .....	71
3.6 Audit Reporting .....	71
3.7 The Management of Certification .....	72
3.8 Data Management .....	72
<b>ANNEX 1: GFSI Scope of Recognition .....</b>	<b>73</b>
<b>ANNEX 2: GFSI Requirements for the Application of ISO /IEC 17011:2004 .....</b>	<b>77</b>
<b>Conformity assessment – General requirements for accreditation bodies     accrediting conformity assessment bodies</b>	
<b>ANNEX 3: Auditor Competence - Qualifications, Training and Experience .....</b>	<b>91</b>

# Introduction

This section is the second part of the Guidance Document, which has been developed and published by the Global Food Safety Initiative (GFSI) to specify the requirements for the recognition of food safety schemes.

The objectives of Part II are to define:

- ▶ the requirements for eligibility of a food safety scheme to be considered for benchmarking by GFSI,
- ▶ the requirements for food safety scheme ownership and management,
- ▶ the requirements for food safety scheme supporting systems,
- ▶ the requirements for continuing recognition by GFSI, if recognition status is granted.

## 1. Requirements for a GFSI Benchmarking Application

### 1.1 Introduction

The purpose of the application for GFSI benchmarking by scheme owners is to initiate the benchmarking process and to ensure that the criteria are in place to meet the GFSI requirements for recognition.

The types of scheme that can be recognised by GFSI are schemes owned by non-governmental bodies or government bodies. Irrespective of ownership, schemes must meet the requirements for application specified in Part II Section 2.

Applicant scheme owners shall submit an application for recognition in accordance with the requirements specified in Part I, Section 1.2. There are three types of scheme application;

- ▶ New Schemes
- ▶ Extension of Scope of Recognition
- ▶ Re-benchmarking

#### 1.1.1 New schemes

A new scheme is defined as a scheme which has:

- ▶ not previously undergone benchmarking by GFSI,
- ▶ been previously recognised by GFSI, but has had recognition withdrawn.

#### 1.1.2 Extension of Scope of Recognition

A scheme seeking an extension of scope is defined as a scheme which is:

- ▶ seeking to apply for a new scope of recognition
- ▶ seeking an extension of an existing recognised scope, which does not represent a significant change to the scheme governance or ownership, the management system or key elements.

#### 1.1.3 Re-benchmarking

A scheme seeking re-benchmarking is defined as a scheme which:

- ▶ has had significant change to the scheme governance or ownership, the management system or key elements, or...
- ▶ is required to be benchmarked on the 4 year anniversary of the original recognition, or...
- ▶ requires benchmarking after a change in the Guidance Document within the four year revision cycle, or...
- ▶ has been subject to suspension by GFSI.

<sup>1</sup> The scheme shall retain GFSI recognition for a period of one year after the publication of a new version of the GFSI Guidance Document.

## 1.2 Requirements for Scheme Application

### 1.2.1 Requirements for Scheme Application – New Scheme

The GFSI will require the applicant scheme owner to:

- a) **have in place a written Agreement or Memorandum of Understanding with GFSI<sup>1</sup>, and...**
- b) **submit an application for recognition for a defined scope(s)<sup>2</sup> and...**
- c) **submit an application for recognition to GFSI together with supporting evidence proving that;**
  - ▶ there is commitment from a minimum of three user organisations representing the retail / food service or producing / manufacturing sectors that use, or are going to use the scheme, and...
  - ▶ there is agreement with one or more Accreditation Bodies for Certification Bodies to operate to ISO/IEC Guide 65 or ISO /IEC 17021:2006 (supplemented by ISO/TS 22003) for the scope of their scheme. The decision as to the most appropriate generic standard to be used to accredit Certification Bodies for the scope of a scheme shall be made in consultation with Accreditation Bodies, but the final decision shall rest with the Accreditation Bodies.

Where the scheme owner has agreements with two or more Accreditation Bodies, the use of the accreditation standard must be the same irrespective of the Accreditation Body and it is incumbent on the scheme owner to ensure that consistency of decision making exists between Accreditation Bodies. The Accreditation Bodies granting accreditation to the scope of the scheme shall be members of the International Accreditation Forum (IAF) and shall be signatories to the Multilateral Recognition Arrangement (MLA), and...

- ▶ there are contractual relationships<sup>3</sup> with at least two Certification Bodies that have accreditation for the scope of the scheme with an Accreditation Body, and...
- ▶ the scheme has in place ten accredited certificates for single site audits (for the relevant scope of the application) issued by Certification Bodies, including at least one certificate issued by each Certification Body during a twelve month period prior to the date of the application, and...
- ▶ the scheme has been operational for a period of twelve months prior to the date of application. During this period, certificates shall be issued to a variety of organisations. A scheme is deemed to become operational on the date on which the first accredited certificate is issued by a Certification Body.

<sup>1</sup> The type of written agreement is subject to GFSI Board discretion (available from the secretariat upon request).

<sup>2</sup> A new application from a scheme owner may be submitted with a number of scopes of recognition. In this event the benchmarking process shall be carried out in accordance with *Part I Section 1.2.1.1, Methodology- Preliminary Screening and Benchmarking Application (New Scheme)* for one scope of recognition and the other scopes of recognition will be addressed in accordance with *Part I Section 1.2.1.2 Methodology - Benchmarking Application (Extensions to scope of recognition)*. The GFSI Benchmarking Committee Leader will assign Benchmark Committee members to ensure the expertise is in place within specific Committees in relation to scope of recognition.

<sup>3</sup> Where it is not possible to establish formal contractual arrangements, there shall be a clearly defined relationship between the scheme owner and Certification Bodies.

### 1.2.2 Requirements for Scheme Application – Extension of Scope of Recognition

GFSI will require the applicant scheme owner to:

- a) **submit an application for recognition for a defined scope(s)<sup>1</sup>, and...**
- b) **submit an application for recognition to GFSI together with supporting evidence proving that;**
  - ▶ there is agreement with one or more Accreditation Bodies for Certification Bodies to operate to ISO/IEC Guide 65 or ISO /IEC 17021:2006 (supplemented by ISO/TS 22003) for the scope of their scheme. The decision as to the most appropriate generic standard to be used to accredit Certification Bodies for the scope of a scheme shall be made in consultation with Accreditation Bodies but the final decision shall rest with Accreditation Bodies.

Where the scheme owner has agreements with two or more Accreditation Bodies, the use of the accreditation standard must be the same irrespective of the Accreditation Body and it is incumbent on the scheme owner to ensure that consistency of decision making exists between Accreditation Bodies. The Accreditation Bodies granting accreditation to the scope of the scheme shall be members of the International Accreditation Forum (IAF) and shall be signatories to the Multilateral Recognition Arrangement (MLA), and...

- ▶ there are contractual relationships with at least two Certification Bodies, that have accreditation for the scope of the scheme with an Accreditation Body, and...
- ▶ the scheme has in place ten accredited certificates (for the relevant scope of the application) issued by Certification Bodies to demonstrate market demand, including at least one certificate issued by each Certification Body during a twelve month period prior to the date of the application, and...
- ▶ the scheme has been operational within a period of twelve months prior to the date of application. A scheme is deemed to become operational on the date on which the first accredited certificate is issued by a Certification Body.

<sup>1</sup> An application for an extension to scope of recognition from a scheme owner may be submitted with a number of scopes of recognition. In this event the benchmarking process shall be carried out in accordance with *Part I Section 1.2.1.2 Methodology - Benchmarking Application (Extensions to scope of recognition)*. The GFSI Benchmarking Committee Leader will assign Benchmark Committee members to ensure the expertise is in place within specific Committees in relation to scope of recognition.

### 1.2.3 Requirements for Scheme Application – Re-benchmarking

GFSI will require the applicant scheme owner to:

**a) submit an application for recognition for a defined scope(s)<sup>1</sup>, and...**

**b) submit an application for recognition to GFSI together with supporting evidence proving that:**

- ▶ there is continued commitment from a minimum of three user organisations representing the retail / food service or producing / manufacturing sectors that use, or are going to use the scheme, and...
- ▶ there is agreement with one or more Accreditation Bodies for Certification Bodies to operate to ISO/IEC Guide 65 or ISO /IEC 17021:2006 (supplemented by ISO/TS 22003) for the scope of their scheme. The decision as to the most appropriate generic standard to be used to accredit Certification Bodies for the scope of a scheme shall be made in consultation with Accreditation Bodies but the final decision shall rest with the Accreditation Bodies.

Where the scheme owner has agreements with two or more Accreditation Bodies, the use of the accreditation standard must be the same irrespective of the Accreditation Body and it is incumbent on the scheme owner to ensure that consistency of decision making exists between Accreditation Bodies. The Accreditation Bodies granting accreditation to the scope of the scheme shall be members of the International Accreditation Forum (IAF) and shall be signatories to the Multilateral Recognition Arrangement (MLA), and...

- ▶ there are contractual<sup>2</sup> relationships with at least two Certification Bodies, that have accreditation for the scope of the scheme with an Accreditation Body, and...
- ▶ the scheme has in place ten accredited certificates (for the relevant scope of the application) issued by Certification Bodies, including at least one certificate issued by each Certification Body during a twelve month period prior to the date of the application.

<sup>1</sup> A scheme owner seeking re-benchmarking may submit an application with a number of scopes of recognition. In this event the benchmarking process shall be carried out in accordance with *Part I Section 1.2.1.3 Methodology - Benchmarking Application (Re-Benchmarking)* for equivalent scopes of recognition. Additional scopes of recognition will be addressed in accordance with *Part I Section 1.2.1.2 Methodology - Benchmarking Application (Extensions to scope of recognition)*. The GFSI Benchmarking Committee Leader will assign Benchmark Committee members to ensure the expertise is in place within specific Committees in relation to scope of recognition.

<sup>2</sup> Where it is not possible to establish formal contractual arrangements, there shall be a clearly defined relationship between the scheme owner and Certification Bodies.

## 2. Requirements for Food Safety Schemes – Ownership and Management

### 2.1 Introduction

The requirements contained in this section are intended to provide confidence in the compliance of a food safety scheme; i.e. the specific scheme standard and its related management system.

### 2.2 Scheme Scope

**2.2.1** The scheme shall have a defined scope in relation to food safety or services directly associated with food safety, which shall be subject to certification by accredited Certification Bodies.

GFSI has clearly defined scopes in relation to products or services for which schemes can seek recognition by GFSI. The scheme shall clearly specify the scope of activity within its application to GFSI (Part I Section 1).

**2.2.2** GFSI has categorised the food supply chain into sectors and sub-sectors for which there has been defined a series of requirements of good practice, dependent upon that sector. These requirements are regarded as food safety criteria associated with Good Agricultural Practice (GAP), Good Manufacturing Practice (GMP), Good Distribution Practice (GDP), Good Catering Practice (GCP) and Good Retail Practice (GRP). These requirements shall be clearly defined in the standard of the applicant's scheme and these shall be assessed against the requirements of the relevant section of the GFSI Guidance Document (*Reference Part III Scheme Scope and Key Elements*).

**2.2.3** GFSI has clearly defined specific requirements in relation to the operation of food safety schemes and the scheme owner shall also, within its normative references, define requirements of the scheme based on best practice of schemes within the sector for which the scheme has applied for recognition. For example, Certification Body operational standards, the competence of Certification Body staff and the accreditation standard. GFSI shall assess these requirements against the relevant section of the GFSI Guidance Document.

**2.2.4** A scheme's standard may incorporate requirements other than those related to food safety, but only those requirements relating to food safety shall be assessed by GFSI for the purpose of recognition and the scheme's standard shall have a significant proportion of its overall requirements as food safety related requirements. For the application process the scheme owner will clearly identify and cross-reference those requirements to be put forward for the scope of GFSI recognition (*Reference Part I Annex 1 - Scheme Application Guidelines*).

In the event that a scheme is recognised by GFSI and the scheme's standard incorporates requirements other than food safety criteria, the scheme owner shall clearly define within any communication the scope of GFSI recognition with respect to food safety.

### 2.3 Scheme Development and Maintenance

**2.3.1** The scheme owner shall be an organisation that is a legal entity, or an organisation which is a partnership of legal entities or a government agency. The scheme cannot be developed, managed or owned by a Certification Body or group of Certification Bodies.

**2.3.2** The scheme shall have been developed and maintained with the participation of technically competent representatives of direct stakeholders, or have been subjected to formal review by such parties and subsequently determined as appropriate. For each scope of recognition, the number and interests of the stakeholder representatives involved with the scheme development shall be reflective of the sector of the food supply chain for which the scope of the scheme is intended.

2.3.3 The scheme, during its development, shall have been subjected to extensive stakeholder consultation and due consideration shall have been given to comments received from stakeholders during the consultation.

2.3.4 The scheme shall consist of a standard (which is recognised by an Accreditation Body as the scope of certification) and a system based on the principles of ISO/IEC Guide 65 or ISO/IEC 17021:2006 (supplemented by ISO/TS 22003). The scheme shall have a clearly defined scope of activity, commensurate to the GFSI scope(s) of recognition and the standard and system shall specify the requirements and supporting systems and procedures to ensure that users are fully aware of compliance obligations. The standard shall be a normative document. The standard and other defined normative documents shall be established by consensus and issued using a formalised and documented approval process.

2.3.5 All of the scheme's normative documents shall be appropriately controlled and publicly available. The normative documents shall be provided in English and their translation appropriately controlled.

2.3.6 There shall be in place a system to ensure that stakeholders and other interested parties can make effective contact with the scheme owner, or authorised authority, to clarify any interpretation.

2.3.7 The scheme shall be subject to formal internal review annually and, where appropriate, revised. The scheme's normative documents shall be reissued at least every four years, or as appropriate, in accordance with the revision of or significant changes to the GFSI Guidance Document requirements. Where the scheme owner makes any changes to the standard or other defined normative documents, these changes shall be brought to the attention of the GFSI Executive Director.

2.3.8 The formal review of the scheme shall be carried out with the involvement of direct stakeholders. The review shall assess the management of the scheme, the currency of the scheme's standard and address any issues of concern raised by stakeholders. The review and any arising actions shall be fully documented.

## 2.4 Scheme Governance

2.4.1 In relation to a scheme that is owned by a non-government organisation, the scheme shall be developed, maintained and administered by a legal entity or an organisation consisting of legal entities, that has a constitution, which clearly defines its activities and responsibilities and has good governance in place. There shall be in place a clearly defined organisational structure, which specifies activities and responsibilities.

The scheme shall have in place a Board or Governance Body, which operates to a defined governance policy specifying the Board or Governance Body election process, Board or Governance Body representation, member categories, income generation or funding processes, an organisational structure, the decision making process, personnel roles (responsibility and authority), standard setting procedures and a conformity assessment programme. The scheme's organisational structure shall name individuals on Boards, committees and in management roles and this shall be publicly available. The scheme's governance shall be such as to ensure that there is no conflict of interest, which could call into question its impartiality and integrity.

2.4.2 In relation to a scheme owned by a government organisation, the scheme shall be developed, maintained and administered by a specified government agency. There shall be in place a named Board, Governance Body or Committee. There shall be in place a defined organisational structure, which specifies activities and responsibilities in relation to other government bodies and other organisations such as Accreditation Bodies.

The scheme shall have in place a clearly defined governance policy, which specifies the representation of organisations and individuals on the Board, Governance Body or Committee, the decision making process, personnel roles (responsibility and authority), standard setting procedures and a conformity assessment programme. The scheme organisational structure shall name individuals on Boards, committees and in management roles and this should be publicly available. The scheme's governance shall be such as to ensure there is no conflict of interest, which could call into question its impartiality and integrity.

2.4.3 The scheme shall have in place a procedure which vets and approves personnel employed by the organisation to ensure their professional integrity, competence and impartiality.

2.4.4 The scheme owner shall have adequate and appropriate arrangements in place to cover any liabilities, which may arise from its activity.

2.4.5 The scheme shall be open and transparent in its governance and operations.

2.4.6 The scheme shall be open, without restriction, to application by any Certification Body and, for the purposes of certification, must be operated in a non-discriminatory manner.

2.4.7 The certification process must not be 'self-promoting' or 'self-expanding' by mandating that a product or service to be certified must contain components, which are certified under a standard owned by the scheme.

2.4.8 The levying of a reasonable fee for the purchase of the scheme, a license fee for its implementation, examination of auditors or a training requirement for the application of the scheme, will not be regarded as a restriction or a limitation.

2.4.9 The scheme owner shall not be directly involved with any activity that could be seen as being a conflict of interest or could bring itself, associated Accreditation Bodies, associated Certification Bodies or the GFSI, into disrepute.

2.4.10 The scheme owner shall ensure that no employees and committee members have a conflict of interest that might influence decisions in relation to the granting of certification to the scheme.

2.4.11 Where the scheme owner has copyright on any normative documents, this shall be held by the legal entity and have systems in place to minimise any risk of breach of the copyright.

## 2.5 Scheme Management

2.5.1 The scheme shall be effectively managed by the scheme owner or management delegated to a competent authority. In the event of the operational management of the scheme being delegated by the scheme owner, the scheme owner shall ensure that the requirements of GFSI are not compromised.

2.5.2 The scheme shall have in place an appropriate number of staff with adequate resources to effectively manage the scheme's day to day operations and there shall be in place a defined organisational and reporting structure, key job descriptions and documented operating procedures.

2.5.3 The scheme owner shall carry out regular reviews of the operation of the scheme and take any necessary action to ensure compliance with GFSI requirements; these reviews shall be part of an internal audit programme.

2.5.4 The management of the scheme shall ensure that all contractual or formal arrangements between the scheme and GFSI are in place at all times.

2.5.5 The scheme owner shall ensure that individual Certification Bodies operating to the scope of their scheme comply with the requirements of the GFSI Guidance Document and are accredited to the scope of an appropriate accreditation standard; i.e. ISO/IEC Guide 65 or ISO/IEC 17021:2006 (supplemented by ISO/TS 22003), which has been granted by an Accreditation Body that is a member of the International Accreditation Forum (IAF) and is a signatory to the IAF Multilateral Recognition Arrangement (MLA).

2.5.6 The scheme owner shall have in place a system of key performance indicators for Certification Bodies, which are monitored by a series of measures including complaints procedures and report screening procedures. There shall also be in place a risk based programme of office audits and announced, but unscheduled, audits of certified organisations. The measurement of key performance indicators shall be carried out according to a risk based programme, which is based on the number, size and complexity of assessments carried out by a Certification Body.

2.5.7 The scheme owner shall have in place adequate controls for the translation and publication of normative documents.

2.5.8 The scheme owner shall have a documented system in place for sanctions against non compliant Certification Bodies.

2.5.9 The scheme owner shall have in place a procedure for dealing with complaints, which shall include requirements for investigation, complaint management documentation and successful resolution of the complaint.

## 2.6 GFSI Relationship

2.6.1 The scheme owner shall sign and be in compliance with a four year Agreement or Memorandum of Understanding between the organisation and the GFSI.

There may be circumstances under which a formal agreement may not be possible; e.g. with a governmental body. Under these circumstances the GFSI Board will make the decision to accept the application for recognition.

2.6.2 The scheme owner shall actively participate in GFSI activities relating to certification and accreditation and shall be co-operative in their dealings. The scheme owner will be expected to actively promote the principles supporting GFSI.

2.6.3 In the event of any significant changes to ownership, management personnel, management structure or constitution, the scheme owner shall inform GFSI in a timely manner. Where the scheme owner is aware of any possible conflict or problems, which could result in bringing their scheme or GFSI into disrepute, GFSI shall be informed and appropriate action shall be taken.

2.6.4 The scheme owner shall provide GFSI with information relating to the GFSI requirements upon request and shall complete an annual report on activities. The annual report will relate to the satisfactory operation of a scheme in accordance to the GFSI requirements (circulated on an annual basis to all GFSI recognised scheme owners).

2.6.5 GFSI shall undertake an annual audit of the scheme owner's system by the process of self-assessment incorporating a review of the results and actions arising from the scheme owner's internal audit (*Reference Part I Section 1.2.5*).

In addition to the self-assessment review an office assessment of the scheme's management system and operation shall be conducted by GFSI within a four year period (*Reference Part I Section 1.2.5.1*)

2.6.6 The scheme owner shall only make claims regarding the conformity in respect of the scope for which recognition to the GFSI Guidance Document has been granted.

2.6.7 The scheme owner shall not allow products produced under the conforming scheme to be labelled, marked or described in a manner, which implies that it meets specific food safety criteria.

2.6.8 The scheme owner shall ensure that it does not use its recognition by GFSI in such a manner as to bring GFSI into disrepute and will not make any statements regarding its conforming status that GFSI may consider misleading or unauthorised.

2.6.9 In the event of suspension of recognition of a scheme all (restricted) advertising or promotional matter that contains any reference to GFSI e.g. logo, name and scheme rules, attendance at meetings and annual report, shall be discontinued and, where required, recalled.

## 3. Requirements for Food Safety Schemes – System

### 3.1 Introduction

The requirements contained in this section describe the requirements that a scheme owner shall have in place in relation to their food safety scheme's system, in order to ensure compliance with the GFSI Guidance Document.

### 3.2 Relationship with Accreditation Bodies

**3.2.1** The scheme owner shall have enforceable arrangements with their respective Accreditation Bodies to ensure compliance with the GFSI Requirements for the Application of ISO /IEC 17011:2004 – Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies (reference Part II Annex 2) or have in place an Agreement with Accreditation Bodies endorsed by the International Accreditation Forum (IAF), which provides equivalence to the GFSI Requirements for the Application of ISO /IEC 17011:2004 – Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies.

The scheme owner shall formally appoint a representative in charge of contact with the Accreditation Body.

**3.2.2** The scheme owner shall ensure that, in the event that a Certification Body has had its accreditation withdrawn or suspended by an Accreditation Body, the scheme owner is informed of this action and of the circumstances surrounding the withdrawal or suspension of accreditation.

### 3.3 Relationship with Certification Bodies

**3.3.1** The scheme owner shall ensure that it has contractual and enforceable arrangements with all Certification Bodies that are approved to operate their scheme.

**3.3.2** Scheme owners shall ensure that all Certification Bodies with which they have contractual arrangements are accredited. The scheme owner will act to ensure that the accreditation standard used by all national Accreditation Bodies for the scope of their scheme is consistent and, where appropriate, will facilitate a harmonised agreement on behalf of the contracted Certification Bodies.

The scheme owner, as part of their contractual arrangements with certification bodies, shall ensure that direct dialogue between the Scheme Owner and the Accreditation Body takes place in the event that a Certification Body has had its accreditation withdrawn or suspended.

**3.3.3** The scheme owner shall ensure that all activities resulting in the issuing of certificates are delivered by Certification Bodies, which are accredited by Accreditation Bodies that are members of the International Accreditation Forum (IAF) in compliance with ISO/IEC Guide 65 or ISO/IEC 17021:2006 (supplemented by ISO/TC 22003) and are signatories to the Multilateral Recognition Arrangement (MLA).

**3.3.4** The scheme owner shall ensure that the scope of accreditation of a Certification Body shall be precisely defined in terms of the category of application reference (e.g. product categories or services) of the conforming food safety scheme, including revision numbers and / or dates and is publicly available. Certification Bodies undertaking audits against food safety schemes, which have been found to be in compliance with this document, must have the named scheme included in their scope of accreditation.

**3.3.5** Under certain circumstances, the Certification Body may have an application for extension of their scope pending with an Accreditation Body. They must, however, have a current accreditation to ISO/IEC Guide 65 or ISO/IEC 17021 (supplemented by ISO/TC 22003). Written notification of such a circumstance from the Certification Body must be held and acknowledged by the scheme owner.

**3.3.6** The range of certification services offered by a Certification Body may be wider than those accredited. In this case the scheme owner shall ensure that the limits and scope of the accreditation shall be made clear by the Certification Body and publicly available. Any ambiguity in relation to the scope of services offered by the Certification Body for a scheme shall be resolved by the scheme owner in consultation with the Certification Body concerned. Services that are outside the scope of the accreditation shall be distinguished from those that are accredited.

**3.3.7** Certification Bodies that are seeking accreditation for the scope of a scheme shall be accredited within one year from the date of application to an Accreditation Body. In the event that accreditation is not granted within this period the scheme owner shall ensure that the Certification Body contract shall be terminated and potential actions reviewed.

**3.3.8** The scheme owner shall have in place an auditor registration system for every scheme specific auditor employed by a Certification Body. The details of the auditor's qualifications, training, experience and scope of activity in relation to the scheme's product categorisation shall be held and maintained within this register. The scheme owner will register approved auditors and shall ensure that the Certification Body has a system to update the auditors' details, where appropriate.

**3.3.9** The scheme owner shall have in place a risk based system of auditor competence assessment, which may consist of examinations, review of performance by documentation review or witnessed audits.

**3.3.10** The scheme owner will have a system in place to ensure that Certification Bodies notify the scheme owner of changes to ownership, management personnel and management structure or constitution in a timely manner. Where the scheme owner is aware of any possible conflict or problems, which could result in bringing their scheme or GFSI into disrepute, the scheme owner and the Certification Body shall agree on appropriate action.

**3.3.11** The scheme owner shall have in place procedures to ensure a Certification Body notifies them of any withdrawal or suspension of certification of a supplier.

**3.3.12** The scheme owner shall ensure that Certification Bodies shall have in place an agreement with certified organisations to ensure that they are informed of any food safety prosecution, significant regulatory food safety non-conformity or any product recall relating to food safety and that the Certification Bodies have procedures in place to ensure the integrity of certification after notification.

**3.3.13** The scheme owners shall ensure that the following criteria are in place:

**3.3.13.1** The Certification Body shall take all steps required to evaluate conformance with the scheme's standard and fully comply with other associated requirements of the certification scheme.

**3.3.13.2** The Certification Body shall operate an effective and fully implemented quality system. The quality system shall be fully documented and used by all relevant Certification Body staff. Within the Certification Body there shall be a designated member of staff responsible for the quality system's development, implementation and maintenance. This designated member of staff will have a reporting role to the organisation's executive and shall also have the responsibility for reporting on the performance of the quality system for the purposes of management review and subsequent system improvement.

**3.3.13.3** The required quality system shall be fully documented in a quality manual, which, in turn, will contain all necessary procedures for compliance. As a minimum, the quality manual shall contain:

I. A quality policy statement,

II. A description of the legal status of the organisation, including ownership and an organisational structure including named individuals, their job titles and the description of their responsibilities. The organisational structure shall include a chart listing each job title and how these functions interrelate through a management structure,

- III. A list of named individuals employed by the organisation, which includes their qualifications and full details of their experience,
- IV. A description of the management of the certification process including its committee structure, terms of reference and procedures.
- V. Details of management review policy and procedures,
- VI. Procedures in relation to documentation control,
- VII. Details of operational and functional responsibilities pertaining to quality and defining individual limits of responsibility and accountability,
- VIII. Recruitment procedures; i.e. selection, initial training, ongoing training and performance assessment for all relevant Certification Body personnel,
- IX. A list of all subcontractors and a detailed procedure for their appointment, assessment and their ongoing management,
- X. Procedures for actions in response to non conformities and the effectiveness of agreed corrective and preventative actions taken,
- XI. Procedures in relation to the use of the certificate and, in the event of a requirement to withdraw or suspend certification, the actions taken by the Certification Body,
- XII. Policies and procedures relating to appeals, complaints and disputes,
- XIII. Procedures for conducting internal audits and for corrective actions arising from internal audits.

3.3.13.4 In the event of significant changes, which could affect the safety of product, changes to the requirement of the certification scheme standard, changes of ownership or management of the supplier or if the Certification Body has reason to believe there could be compliance issues in relation to certification, the Certification Body shall reevaluate the supplier(s) to assess compliance with the certification scheme standard.

3.3.13.5 The Certification Body shall at all times make available the following information:

- I. Authority under which the organisation operates,
- II. A statement in relation to its certification system, including information on rules and procedures for granting, maintaining, extending, suspending and withdrawing certification of its clients,
- III. Evaluation procedures and certification processes in relation to the certification scheme,
- IV. Details of the means of obtaining financial support and fees charged to clients,
- V. Details of the rights and requirements of applicants and clients such as the use of logos and marks and the way in which a client can use information in relation to certification,
- VI. Details of complaints, appeals and disputes procedures,
- VII. A comprehensive list of all clients certificated against the scope of the certification scheme's standard.

3.3.13.6 The Certification Body shall require all staff involved with the certification process to sign a contract or agreement, which clearly commits them to:

- I. Complying with the rules of the organisation with particular reference to confidentiality and independence from commercial or personal interests,
- II. Declaring any issues in relation to personal conflicts of interest.

The Certification Body shall clearly document and make known to its employees all requirements of ISO/IEC Guide 65 or ISO/IEC17021 relating to personnel.

3.3.13.7 The Certification Body shall hold and maintain records regarding the qualifications, training and experience of all staff involved in the certification process. All records shall be dated. The information shall include, as a minimum:

- I. Name and address,
- II. Organisational affiliation and position held,
- III. Educational qualification and professional status,
- IV. Experience and training in the relevant fields of competence in relation to the certification scheme's requirements,
- V. Details of performance appraisal(s).

## 3.4 Certification Body Personnel Competence

### 3.4.1 Certification Body Personnel Competence - General

3.4.1.1 The Certification Body shall employ personnel who have the competence requirements to meet all management, administrative, technical and auditing functions within the organisation.

3.4.1.2 The Certification Body shall maintain up to date personnel records, including relevant qualifications, training, experience, affiliations, professional status, competence and any relevant consultancy services that may have been provided. This includes management and administrative personnel, in addition to those performing technical and auditing activities. The Certification Body shall be mindful of and act upon any issues relating to conflict of interest that may affect personnel performance or impartiality.

### 3.4.2 Auditor Competence - Qualifications, Training, Experience and Personal Attributes

3.4.2.1 Independently of the scope of accreditation, the Certification Body shall have systems and procedures in place to ensure that auditors conducting assessments meet the capabilities described in ISO 19011, ISO 17021, ISO/IEC Guide 65 and ISO 22003 with specific regard to requirements specified by GFSI recognised schemes and all requirements listed in *Part II Sections 3.4.2 to 3.4.10*.

3.4.2.2 The scheme owner shall have in place a clearly defined category of application reference (e.g. product or service) for which Certification Bodies can apply for a scope of accreditation. The auditors employed by the Certification Body shall be able to demonstrate competence in these categories of application. Where a Certification Body applies for a new or an extension to the scope of activity in relation to a category of reference, the scheme owner shall ensure that there is a procedure in place to verify the competence of the auditors of the Certification Body (*reference Part II Section 3.4.7*).

### 3.4.3 Qualification/Education

3.4.3.1 The scheme owner shall clearly define the qualifications and education of auditors as being in accordance with the requirements specified in *Part II Annex 3*.

### 3.4.4 Total Work Experience

3.4.4.1 5 years full time experience in the food or associated industry including at least 2 years work in quality assurance or food safety functions in food production or manufacturing, retailing, inspection or enforcement or the equivalent (*Reference Part II Annex 3*).

This period may be reduced to a total of 2 years experience if the competence of the auditor is assessed by an examination designed and delivered by the scheme owner.

The examination content shall, as a minimum, cover:

- ▶ General knowledge of the scheme,
- ▶ Knowledge of relevant legislative requirements,
- ▶ Knowledge and understanding of specific food processes,
- ▶ Understanding of quality assurance, quality / food safety management and HACCP principles.

### 3.4.5 Formal Auditor Training

3.4.5.1 A formal auditor training programme shall be in place:

- ▶ Auditors shall have successfully completed recognised training in auditing techniques based on QMS or FSMS – duration 1 week / 40hours or equivalent,
- ▶ Auditors shall have successfully completed a training course in HACCP based on the principles of Codex Alimentarius and demonstrate competence in the understanding and application of HACCP principles – minimum duration 2 days or equivalent.
- ▶ Auditors shall have successfully completed training in the scheme being delivered, to the satisfaction of the scheme owners.

### 3.4.6 Initial Training

3.4.6.1 The training programme for each auditor will incorporate:

- ▶ an assessment of knowledge and skills for each product category in which the auditor will be expected to be working,
- ▶ an assessment of knowledge of food safety, HACCP, Pre-Requisite Programmes and the ability to access and be able to apply relevant laws and regulations,
- ▶ a period of supervised training to cover the assessment of quality / food safety management systems and HACCP, specific audit techniques and specific category knowledge,
- ▶ a documented sign off of the satisfactory completion of the training programme by the appointed competent supervisor.

### 3.4.7 Audit Experience

3.4.7.1 Auditing Skills Assessment

Auditors will be assessed on their performance in a combination of 10 audit days and 5 audits in accordance with the Certification Body's written programme and as a pre-requisite to meeting applicable requirements of the GFSI recognised scheme.

3.4.7.2 Maintain Audit Experience

The Certification Body shall have in place an annual programme, which shall include at least 5 on site audits at different organisations against the relevant GFSI approved standard to maintain category and scheme knowledge.

### 3.4.8 Extension of Scope

3.4.8.1 In order to extend scope, an auditor must undergo a programme of training in the new category, conduct supervised audits and must be assessed and signed off as competent by the Certification Body to conduct audits in the new category.

### 3.4.9 Continuous Professional Development

The auditor shall keep up to date with category best practice, food safety and technological developments and have access to and be able to apply relevant laws and regulations and shall maintain written records of all relevant training undertaken.

### 3.4.10 Personal Attributes and Desired Behaviour

The Certification Body shall have a system in place to ensure auditors conduct themselves in a professional manner. The following includes examples of required personal attributes and behaviour:

- ▶ Ethical; i.e. fair, truthful, sincere, honest and discreet,
- ▶ Open minded; i.e. willing to consider alternative ideas or points of view,
- ▶ Diplomatic; i.e. tactful in dealing with people,
- ▶ Observant; i.e. actually aware of physical surroundings and activities,

- ▶ Perceptive; i.e. instinctive, aware of and able to understand situations,
- ▶ Versatile; i.e. adjusts readily to different situations,
- ▶ Tenacious; i.e. persistent, focussed on achieving objectives,
- ▶ Decisive; i.e. timely conclusions based on logical reasoning,
- ▶ Self-reliant; i.e. acts independently whilst interacting effectively with others,
- ▶ Integrity; i.e. aware of need for confidentiality and observes professional code of conduct.

## 3.5 Audit Frequency and Duration

**3.5.1** The scheme owner shall have a clearly defined and documented audit frequency programme, which shall ensure a minimum audit frequency of one audit per year of an organisation's facility and has the scope to assess all elements of the scheme's standard.

The audit frequency programme shall define the frequency of audit for each product category covered by the scope of the scheme. The frequency of audits may be influenced by a number of factors such as previous audit history, concerns about compliance with a scheme's standard, seasonality of product, significant capacity increases, structural changes, changes in product technology or changes in product type. The scheme owner must clearly define the rationale for the determination of frequency within the scheme.

**3.5.2** Irrespective of the defined minimum audit frequency, the Certification Body shall undertake additional surveillance audits in the event that there is evidence or suspicion of non conformity within an organisation.

**3.5.3** Some schemes may have a scope, which includes the growing or production of seasonal products and, therefore, will require some limited flexibility of audit frequency to allow effective auditing of seasonal products. These variations to audit frequency shall be clearly defined.

**3.5.4** The scheme owner shall clearly define the expected duration of audits and the rationale for the determination of the duration of the audit; it is expected that the duration of an on-site audit to be typically 2 days for the manufacture of processed products and 1 day for primary production, in order to effectively assess an organisation's systems and premises in accordance to the scheme's standard and provide confidence in the certification process. There shall be in place clear criteria, which specify the justification for deviation from these typical durations.

The rationale shall include criteria that will ensure effectiveness of the audit such as the level and depth of assessment of management systems and GAP/GMP/GDP requirements and premises / systems assessment (e.g. product lines, products and product categories).

**3.5.5** The scheme owner shall have in place monitoring procedures to ensure that contracted Certification Bodies comply with the defined audit duration criteria and that appropriate actions are taken in the event that a Certification Body does not meet the defined requirements.

## 3.6 Audit Reporting

**3.6.1** The scheme owner shall have in place a clearly defined system for the generation and issue of audit reports.

**3.6.2** Where scoring, ranking and grading systems are applied these shall be clearly explained by the scheme owner and publicly available.

**3.6.3** The audit report shall, in all cases, incorporate details of the duration of the audit and this information shall be monitored by the scheme owner.

**3.6.4** The audit report shall include sufficient detail to ensure that it clearly expresses where the site is in compliance, or not in compliance, with the scheme's standard requirements. In the case where non conformity is identified by the auditor, clear and concise details of the non conformity shall be provided in the audit report.

3.6.5 The scheme owner shall ensure appropriate confidentiality is in place and that the audit report is only released at the discretion of the contracted client. Ownership of the audit report, determination of details made available and authorisation for access shall remain with the contracted client.

## 3.7 The Management of Certification

3.7.1 The scheme owner shall have in place a clearly defined system for the granting, suspension and withdrawal of certification services by Certification Bodies for the scope of their scheme.

3.7.2 Irrespective of the system of the granting of certification, all non conforming organisations shall have corrective action plans and evidence of implementation submitted for the Certification Body to verify that the organisation fully meets the requirement of the scheme's standard. Verification of the corrective action plan by a Certification Body shall take the form of further on-site assessment or the scrutiny of submitted documentation including updated procedures, records and photographs assessed by a technically competent member or group within the Certification Body. All evidence of corrective action shall be returned, completed and verified by the Certification Body, within a timescale defined with the scheme owner, before certification can be awarded.

3.7.3 The scheme owner's system for granting the approval of certification services by Certification Bodies for the scope of their scheme shall include the requirement that each assessment report is given a thorough technical review prior to granting, suspending, withdrawing or renewing certification. For the review process to be effective it shall ensure that:

- ▶ reviewers are impartial and technically capable of understanding the content of reports and that the reports are accurately assessed to demonstrate satisfactory evidence of compliance with the scheme,
- ▶ all requirements of the standard have been fully covered, using any supporting notes made during the assessment by a suitably qualified auditor,
- ▶ the scope of the report covers the scope applied for by the organisation and that the report provides satisfactory evidence that all areas of the scope have been fully investigated,
- ▶ all areas of non conformity have been identified and effective corrective action has been taken to resolve these non conformities.

3.7.4 The Certification Body shall have in place a clearly defined and publicly available appeals procedure.

3.7.5 The scheme owner shall have in place a certificate template, which specifies the information required to be included on a certificate.

## 3.8 Data Management

3.8.1 The scheme owner shall have in place a clearly defined data management system, which will hold and maintain data for the effective management and operation of the scheme.

3.8.2 The data management system shall incorporate data in relation to the requirements of the GFSI Guidance Document.

# ANNEX 1

## GFSI Scope of Recognition

## GFSI Scope of Recognition

The GFSI sector and sub-sector scopes for recognition are as follows;

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Examples of Products / Services and method of production
<b>AI</b>	Farming of Animals for Meat/ Milk/ Eggs/ Honey	Animals (other than fish and seafood) used for meat production, egg production, milk production or honey production Growing, keeping, trapping and hunting (slaughtering at point of hunting)
<b>All</b>	Farming of Fish and Seafood	Fish and seafood used for meat production Growing, trapping and fishing (slaughtering at point of capture)
<b>BI</b>	Farming of Plants (other than grains and pulses)	Growing or harvesting of plants (other than grains and pulses) for food
<b>BII</b>	Farming of Grains and Pulses	Growing or harvesting of grains and pulses for food
<b>C</b>	Animal Conversion	Lairage, slaughter, evisceration, bulk chilling, bulk freezing of animals Gutting and bulk freezing of fish Storage of game
<b>D</b>	Pre-process handling of plant products, nuts and grain	De-shelling of nuts Drying of grain Grading of fruit and vegetables Storage Cleaning, washing, rinsing, fluming, sorting, grading, trimming, bundling, cooling, hydro-cooling, waxing, drenching, packing, re-packing, staging, storing, loading and / or any other handling activity that does not significantly transform the product from its original harvested form.
<b>EI</b>	Processing of perishable animal products	Production of animal products including fish and seafood Meat, eggs, dairy and fish products Deboning cutting, washing, trimming, grading, pasteurisation, cooking, curing, fermentation, smoking, chilling, freezing, packed in modified atmosphere, packed in vacuum packing

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Examples of Products / Services and method of production
<b>EII</b>	Processing of perishable plant products	Production of plant products (including grains, nuts, and pulses) Washing, slicing, dicing, cutting, shredding, peeling, grading, pasteurisation, cooking, chilling, juicing, pressing, freezing, packed in modified atmosphere, packed in vacuum packing or any other activity that significantly transforms the product from its original whole state
<b>EIII</b>	Processing of perishable animal and plant products(mixed products)	Production of animal and plant products Mixing, cooking, chilling, freezing, packed in modified atmosphere, packed in vacuum packing
<b>EIV</b>	Processing of ambient stable products	Production of food products from any source that are stored and sold at ambient temperature Aseptic filling, baking, bottling, brewing, canning, cooking, distilling, drying, extrusion, fermentation, freeze drying, pressing, frying, hot filling, irradiating, milling, mixing and blending, packed in modified atmosphere, packed in vacuum packing, pasteurising, pickling, roasting, salting and refining
<b>FI</b>	Production of single ingredient feed	Production of feed from a single food source Drying, cooking, milling
<b>FII</b>	Production of compound feed	Production of feed from more than one food source Drying, cooking, mixing and blending and extrusion
<b>G</b>	Catering	Production of food products from any source for consumption outside the home Cooking, mixing and blending, preparation of component products
<b>H</b>	Retail / Wholesale	Provision of finished food products to a customer Retailing and wholesaling
<b>I</b>	Provision of Food Safety Services	Supply of services related to the safe production of food Water Supply Pest Control Cleaning Services Test Laboratories

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Examples of Products / Services and method of production
<b>Jl</b>	Provision of Transport and Storage Services Perishable Food and Feed	Storage facilities Distribution vehicles
<b>Jll</b>	Provision of Transport and Storage Services Ambient Stable Food and Feed	Storage facilities Distribution vehicles
<b>K</b>	Manufacture of Food Processing Equipment	Production of food processing equipment
<b>L</b>	Production of (Bio) Chemicals (Additives, Vitamins, Minerals, Bio-cultures, Flavourings , Enzymes and Processing aids)	Production of food additives, vitamins, minerals, bio-cultures, flavourings, enzymes and processing aids
<b>M</b>	Production of Food Packaging	Production of food packaging, packaging materials, packaging components in the form of raw materials, part processed, semi converted, converted or fully finished packaging materials and products for use in the supply chain
<b>N</b>	Food Broker / Agent	The supply of finished food and feed products

# ANNEX 2

## GFSI Requirements for the Application of ISO/IEC 17011:2004

Conformity assessment – General requirements for accreditation  
bodies accrediting conformity assessment bodies

## Introduction

The Consumer Goods Forum (CGF) is a global, parity-based industry network, driven by its members. It brings together the CEOs and senior management of over 650 retailers, manufacturers, service providers and other stakeholders across 70 countries and reflects the diversity of the industry in geography, size, product category and format. Forum member companies have combined sales of EUR 2.1 trillion.

The Forum provides a unique global platform for knowledge exchange and initiatives around five strategic priorities – Emerging Trends, Sustainability, Safety & Health, Operational Excellence and Knowledge Sharing & People Development – which are central to the advancement of today's consumer goods industry.

The Global Food Safety Initiative (GFSI), co-ordinated by the Consumer Goods Forum, was launched in May 2000. The GFSI Board is made up of members drawn from major retailer, manufacturer and food service operators. They provide the strategic direction and oversee the daily management of the Global Food Safety Initiative.

The GFSI Mission is to provide continuous improvement in food safety management systems to ensure confidence in the delivery of safe food to consumers worldwide.

The GFSI Objectives are to:

- ▶ Reduce food safety risks by delivering equivalence and convergence between effective food safety management systems
- ▶ Manage cost in the global food system by eliminating redundancy and improving operational efficiency
- ▶ Develop competencies and capacity building in food safety to create consistent and effective global food systems
- ▶ Provide a unique international stakeholder platform for collaboration, knowledge exchange and networking

The GFSI Foundation Board also provides governance to the GFSI Technical Working Groups, an international multi-stakeholder group of over 90 food safety experts. The GFSI Technical Working Groups work on specific selected projects throughout the year, approved by the GFSI Foundation Board, in order to fulfil the GFSI Mission; these have included projects such as auditor competence, food defence and technical issues relating to emerging and developing markets.

In 2008 the GFSI Foundation Board formed the GFSI Accreditation Task Force whose purpose is to:

- ▶ agree on common areas of concern in relation to the accreditation process, by undertaking a review of current documents from GFSI benchmarked schemes regarding the relationship between Certification Bodies and Accreditation Bodies, in order to identify and define common requirements and individual requirements,
- ▶ gather and collate information from GFSI benchmarked scheme owners on any operational issues regarding the accreditation process and seek their agreement to act on their behalf regarding the development of common requirements,
- ▶ review the agreed common requirements identified against ISO/IEC17011 and put forward areas where ISO/IEC 17011 can be more specific in relation to the requirements of GFSI recognised schemes,
- ▶ develop and agree on a Requirements document defining common requirements for Accreditation Bodies in relation to ISO/IEC 17011 and GFSI recognised schemes,
- ▶ use the agreed Requirements document as the basis for discussion with the International Accreditation Forum and European Accreditation, with a view to gaining recognition of the document by these organisations,
- ▶ agree on implementation criteria for the proposed Requirements documents allowing GFSI to act on behalf of the Accreditation Task Force and GFSI recognised standard owners,
- ▶ undertake the review of the progress of the development and implementation of the Requirements documents and advise the GFSI Foundation Board accordingly.

# The Purpose of the GFSI Requirements for the Application of ISO /IEC 17011

ISO/IEC 17011:2004 is an International Standard, which sets out criteria for conformity assessment for Accreditation Bodies accrediting conformity assessment bodies. There are no specific requirements in relation to those Accreditation Bodies carrying out assessment of conformity assessment bodies working with food safety schemes.

Since 2000 GFSI has worked closely with a number of major stakeholders in the food industry in an attempt to harmonise processes related to food safety schemes and has benchmarked and recognised four post-farm gate schemes.

Over a period of time each of these schemes has developed their own set of criteria in relation to the accreditation process, which has led to a diversity of requirements; this, in turn, has led to complexity of process, increased cost and a lack of clarity. It is believed that with the implementation of this document as part of the GFSI Guidance Document there will be significant benefits for GFSI recognised scheme owners, Accreditation Bodies and Certification Bodies.

The GFSI Accreditation Task Force was formed in February 2008 with the objective of facilitating dialogue between GFSI recognised scheme owners and other interested parties in order to harmonise their approach and minimise the effects that the diversification of requirements has caused.

This document is the culmination of work undertaken by GFSI and the four GFSI recognised scheme owners in 2008 and 2009 to specify harmonised requirements in relation to the accreditation of conformity assessment bodies carrying out product certification to the GFSI recognised schemes.

The document has been entitled 'Requirements' to reflect the fact that this document is not regarded as being notes for guidance and will be the subject of further work with GFSI and the GFSI recognised scheme owners to ensure compliance with the specified requirements by those Accreditation Bodies working with GFSI recognised schemes.

The document has been developed to enhance the robustness of the accreditation process in relation to GFSI recognised schemes and it must be stressed that its use relates only to the requirements of GFSI recognised schemes.

The document has not been developed to revise or amend confidentiality arrangements, which may exist between scheme owners, Certification Bodies and Accreditation Bodies; however, it is meant to promote communication and co-operation between these parties, when consumer health or the integrity of certification has been compromised.

The term 'shall' is used in the document to indicate those provisions, which are regarded as being mandatory. There are requirements within the document, which are specific with respect to parameters of assessment; these shall be regarded as minimum requirements and do not preclude Accreditation Bodies carrying out additional activities in the event that they would wish to, or deem it appropriate to do so.

GFSI wishes to continue to work closely with IAF and its members in a spirit of co-operation to ensure the implementation of these requirements, which will provide enhanced confidence regarding the accreditation of conformity assessment bodies working within the food industry.

# Content of ISO/IEC 17011

- 1 Scope**
- 2 Normative references**
- 3 Terms and definitions**
- 4 Accreditation body**
  - 4.1 Legal responsibility
  - 4.2 Structure
    - GFSI Requirements to clause 4.2.4*
    - GFSI Requirements to clause 4.2.6*
  - 4.3 Impartiality
  - 4.4 Confidentiality
    - GFSI Requirements to clause 4.4*
  - 4.5 Liability and financing
  - 4.6 Accreditation activity
    - GFSI Requirements to clause 4.6.1*
    - GFSI Requirements to clause 4.6.2*
- 5 Management**
  - 5.1 General
  - 5.2 Management system
    - GFSI Requirements to clause 5.2.1*
  - 5.3 Document control
  - 5.4 Records
    - GFSI Requirements to clause 5.4.2*
  - 5.5 Non conformities and corrective actions
  - 5.6 Preventive actions
  - 5.7 Internal audits
    - GFSI Requirements to clause 5.7.2*
  - 5.8 Management reviews
  - 5.9 Complaints
    - GFSI Requirements to clause 5.9*
- 6 Human resources**
  - 6.1 Personnel associated with the accreditation body
  - 6.2 Personnel involved in the accreditation process
    - GFSI Requirements to clause 6.2.1*
    - GFSI Requirements to clause 6.2.3*
  - 6.3 Monitoring
  - 6.4 Personnel records

## 7 Accreditation process

- 7.1 Accreditation criteria and information
- 7.2 Application for accreditation
  - GFSI Requirements to clause 7.2.1*
  - GFSI Requirements to clause 7.2.3*
- 7.3 Resource review
- 7.4 Subcontracting the assessment
  - GFSI Requirements to clause 7.4.1*
- 7.5 Preparation for assessment
  - GFSI Requirements to clause 7.5.6*
  - GFSI Requirements to clause 7.5.8*
  - GFSI Requirements to clause 7.5.10*
- 7.6 Document and record review
  - GFSI Requirements to clause 7.6.1*
- 7.7 On-site assessment
  - GFSI Requirements to clause 7.7.2*
  - GFSI Requirements to clause 7.7.3*
- 7.8 Analysis of findings and assessment report
- 7.9 Decision making and granting accreditation
  - GFSI Requirements to clause 7.9.3*
  - GFSI Requirements to clause 7.9.5*
- 7.10 Appeals
- 7.11 Reassessment and surveillance
  - GFSI Requirements to clause 7.11.3*
  - GFSI Requirements to clause 7.11.5*
  - GFSI Requirements to clause 7.11.6*
  - GFSI Requirements to clause 7.11.7*
- 7.12 Extending accreditation
  - GFSI Requirements to clause 7.12*
- 7.13 Suspending, withdrawing or reducing accreditation
  - GFSI Requirements to clause 7.13.2*
  - GFSI Requirements to clause 7.13.3*
- 7.14 Records on CAB's
- 7.15 Proficiency testing and other comparisons for laboratories

## 8 Responsibilities of the accreditation body and the CAB

- 8.1 Obligations of the CAB
  - GFSI Requirements to clause 8.1.2*
- 8.2 Obligations of the accreditation body
  - GFSI Requirements to clause 8.2.3*
  - GFSI Requirements to clause 8.2.4*
- 8.3 Reference to accreditation and use of symbols
  - GFSI Requirements to clause 8.3.2*
  - GFSI Requirements to clause 8.3.3*

### Additional Requirements to ISO 17011

# Requirements for the Application of ISO/IEC 17011:2004

Conformity assessment - General requirements for the accreditation bodies accrediting conformity assessment bodies

## 1 Scope

No additional requirements

## 2 Normative References

No additional requirements

## 3 Terms and definitions

No additional requirements

## 4 Accreditation body

No additional requirements

### 4.1 Legal responsibility

No additional requirements

### 4.2 Structure

GFSI Requirements to clause 4.2.4

*The Accreditation Body shall appoint a responsible person within their organisation with authority for GFSI food schemes.*

GFSI Requirements to clause 4.2.6

*Where there are issues or queries arising during the accreditation process, the Accreditation Body shall consult directly with the GFSI recognised scheme owner's representatives.*

### 4.3 Impartiality

No additional requirements

### 4.4 Confidentiality

GFSI Requirements to clause 4.4

*The Accreditation Body shall share information regarding scheme specific issues with the appropriate representative of each GFSI recognised scheme owner. This information shall be shared **as soon as practicable** and the accreditation body shall be responsible for follow up of the corrective actions in the case of complaints and major non conformities.*

*The list of information to be shared, which is not exhaustive, shall include:*

- ▶ *accreditation status, (suspension, withdrawal, scope reduction or expiry of accreditation),*
- ▶ *complaints that could jeopardise the accreditation status,*
- ▶ *major non conformities (a major non conformity is defined as a non conformity, which has the potential to impact on the validity of a certificate or of certificates issued,*
- ▶ *annual activity summary, which shall be made available to the GFSI recognised scheme owners indicating, as a minimum:*
  - ▶ *General assessment details,*
  - ▶ *Head office assessment: date, location, critical location assessments, numbers of site and auditor files reviewed, Accreditation Body's assessors names, duration, general conclusions,*
  - ▶ *Witness assessment: location, date, field, Accreditation Body assessor, duration, general conclusions,*
- ▶ *CAB name and conclusion of reports - Accreditation Status.*

*The annual activity summary shall be in a standardised format as agreed by GFSI (see appendix). There shall be an agreement regarding confidentiality between the AB and the GFSI recognised standards owners. This agreement shall specify that the information shared shall be made known to all GFSI recognised scheme owners, but shall remain confidential from any other party. There shall also be an agreement between the individual CAB's and the GFSI recognised scheme owners.*

#### 4.5 Liability and financing

No additional requirements

#### 4.6 Accreditation activity

GFSI Requirements to clause 4.6.1

*Normative documents shall include all documentation relevant to a GFSI recognised scheme and shall be issued by a GFSI recognised scheme owner.*

GFSI Requirements to clause 4.6.2

*These GFSI requirements shall be included as part of this process.*

## 5 Management

No additional requirements

### 5.1 General

No additional requirements

### 5.2 Management system

GFSI Requirements to clause 5.2.1

*With respect to effective communication, communication channels with interested parties shall be in place and include GFSI and GFSI recognised scheme owners.*

### 5.3 Document control

No additional requirements

### 5.4 Records

GFSI Requirements to clause 5.4.2

*Records shall be maintained and accessible for a minimum period of 5 years.*

### 5.5 Non conformities and corrective actions

No additional requirements

### 5.6 Preventative actions

No additional requirements

### 5.7 Internal audits

GFSI Requirements to clause 5.7.2

*The internal audit shall include accreditation activities in relation to GFSI recognised schemes.*

### 5.8 Management reviews

No additional requirements

### 5.9 Complaints

GFSI Requirements to clause 5.9

*All complaints associated with any GFSI Scheme shall be investigated and dealt with, as far as possible, within 30 days of receipt. If any complaint puts GFSI recognised scheme certificates / approvals at risk, then the GFSI scheme owner shall be informed immediately and appropriate action taken by the Accreditation Body.*

## 6 Human Resources

No additional requirements

### 6.1 Personnel associated with the accreditation body

No additional requirements

### 6.2 Personnel involved in the accreditation process

GFSI Requirements to clause 6.2.1

*All AB personnel engaged in GFSI recognised scheme accreditation activity shall have sufficient knowledge of each relevant GFSI recognised scheme, the related normative documents and the food industry.*

*The AB shall ensure that the assessment team undertaking witness activities includes personnel who have completed training in the relevant GFSI scheme, successfully completed a HACCP training course and includes an individual with a minimum of two years experience in the food industry sector.*

*The assessment team carrying out office assessments shall include personnel who have specific knowledge of the relevant GFSI schemes being assessed and of the related normative documents.*

*Training in the GFSI recognised scheme shall be recognised by the respective scheme owners.*

GFSI Requirements to clause 6.2.3

*The Accreditation Body shall document information regarding assessors and experts in accordance with the GFSI requirements in section 6.2.1.*

### 6.3 Monitoring

No additional requirements

### 6.4 Personnel records

No additional requirements

## 7 Accreditation process

No additional requirements

### 7.1 Accreditation criteria and information

No additional requirements

### 7.2 Application for accreditation

GFSI Requirements to clause 7.2.1

*The Certification Body shall demonstrate that it has made appropriate contact with the scheme owner during the application procedure.*

GFSI Requirements to clause 7.2.3

*The AB shall inform a GFSI scheme owner when an application is made to accredit against a GFSI recognised scheme.*

### 7.3 Resource review

No additional requirements

### 7.4 Subcontracting the assessment

GFSI Requirements to clause 7.4.1

*If the AB subcontracts an assessment, the assessment shall be carried out in accordance with this document and the individual GFSI scheme owner's requirements. The subcontracted AB shall be a signatory to the IAF MLA for Product Certification and the assessor shall fulfil the competence requirements outlined in this document. Where additional formal agreements exist (e.g. IAF GD 3 Cross Frontier Policy) there shall be compliance with these agreements. The AB using subcontractors shall review compliance with these requirements.*

## 7.5 Preparing for assessment

### GFSI Requirements to clause 7.5.8

*During surveillance and reassessments the following documentation shall be sampled and assessed, as a minimum:*

1. Sample of at least 10 % or 2 auditor files, whichever is greater, for each GFSI scheme,
2. Sample of at least 2 site files, for each GFSI scheme or 2 % of delivered audits, whichever is greater, for each GFSI scheme,
3. Sampling of site files shall be risk based and should be done across country (region), product category and assessor.
4. The site file assessments shall include a review of:
  - ▶ Contracts between the CAB and the client,
  - ▶ Confirmation of audit scope and duration,
  - ▶ Auditor's original notes from audit and evidence of compliance,
  - ▶ Documentary evidence supplied by the client for the non conformities identified,
  - ▶ Final audit report,
  - ▶ Certification Decision and Certificate Conformity.

*Sampling levels shall be increased where evidence of issues is identified during the assessment in order to establish whether the certification body is meeting accreditation requirements.*

*Where objective evidence or complaints are identified between planned surveillance and reassessments, accreditation bodies shall carry out additional assessments.*

### GFSI Requirements to clause 7.5.10

*The AB shall ensure that the GFSI recognised standard owner's documentation is included. The AB shall request, through direct communication with the GFSI recognised standard owner, any feedback or relevant information concerning the CAB in advance of the assessment.*

*The AB shall take into account during the assessment any feedback or relevant information concerning the CAB sent by a GFSI recognised scheme owner. The AB must verify during the assessment that these complaints have been dealt with effectively and any corrective actions put in place.\**

*\*'Appropriate criteria documents' referred to in ISO/IEC 17011 shall include the certification body criteria established by the GFSI recognised scheme owner.*

## 7.6 Document and record review

### GFSI Requirements to clause 7.6.1

*The GFSI requirements specified in relation to clauses 7.7.2 shall apply in addition to those required under clauses 7.2.1 and 7.2.2.*

## 7.7 On-site assessment

### GFSI Requirements for clause 7.7.2

*During the initial assessment against the scope of any GFSI recognised scheme (i.e. an extension to scope, see 7.12), the following documentation shall be sampled and assessed:*

1. Sample of at least 1 auditor file for the GFSI scheme,
2. Sample of at least 1 site file for the GFSI scheme,
3. Sampling of site files should be done across country (region), product category and assessor.
4. The site file assessment shall include a review of:
  - ▶ Contracts between CAB and client,

- ▶ Confirmation of audit scope and duration,
- ▶ Auditor's original notes from audit and evidence of compliance,
- ▶ Documentary evidence supplied by the client for the non-conformities identified,
- ▶ Final audit report,
- ▶ Certification Decision and Certificate Conformity.

5. Evaluation and verification of the effectiveness of the CAB's processes for assessment of auditor competence.

GFSI Requirements to clause 7.7.3

*At least one assessment of the CAB shall be witnessed for initial accreditation for each GFSI recognised scheme. In the event that the CAB wishes to increase its scope with respect to product category this level of sampling shall be increased.*

*If CAB's have more than 20 auditors, then witness assessments shall be carried out at a rate of at least 1 witness assessment per 20 auditors per year, auditing against any of the GFSI recognised schemes. Where international CAB's have geographical spread then the % of witness audits will be proportional to the geographic spread (e.g. 30% overseas means that 1 in 3 witnessed audits will be performed overseas). The witness assessment programme shall be designed to ensure that different auditors and different product categories are assessed at subsequent witnessed assessments.*

## 7.8 Analysis of findings and assessment report

No additional requirements

## 7.9 Decision making and granting accreditation

GFSI Requirements to clause 7.9.3

*If the AB subcontracts an assessment, the assessment shall be carried out in accordance with this document and the individual GFSI scheme owner's requirements. The subcontracted AB shall be a signatory to the IAF MLA for Product Certification and the assessor shall fulfil the competence requirements outlined in this document. Where additional formal agreements exist (e.g. IAF GD 3 Cross Frontier Policy) there shall be compliance with these agreements. The AB using subcontractors shall review compliance with these requirements.*

GFSI Requirements to clause 7.9.5

*The accreditation certificate or schedule shall include the full name and version of the GFSI recognised scheme and the GFSI recognised scheme's designated product categories for which it is approved.*

## 7.10 Appeals

No additional requirements

## 7.11 Reassessment and surveillance

GFSI Requirements to clause 7.11.3

- ▶ Head office shall have an assessment on an annual basis,
- ▶ At least 1 witness assessment per year shall be conducted by the AB for each CAB. All GFSI recognised schemes will be witnessed in a 5 year cycle.
- ▶ If CAB's have more than 20 auditors then witness assessments shall be carried out at a rate of at least 1 witness assessment per 20 auditors per year, auditing against any of the GFSI recognised schemes. Where international CAB's have geographical spread then the % of witness audits will be proportional to the geographic spread (e.g. 30 % overseas means that 1 in 3 witnessed audits will be performed overseas). The witness assessment programme shall be designed to ensure that different auditors and different product categories are assessed at subsequent witnessed assessments.
- ▶ Reassessment shall be undertaken at least every four years.

GFSI Requirements to clause 7.11.5

*The AB shall inform the GFSI scheme owner about any major non conformities. (Ref. clause 4.4; a major non conformity is defined as a non conformity that has the potential to impact on the validity of a certificate or of certificates issue).*

GFSI Requirements to clause 7.11.6

*The AB shall inform the GFSI scheme owner if accreditation is suspended, withdrawn or expired or if scope is reduced.*

GFSI Requirements to clause 7.11.7

*When informed of the identification of issues in a particular market, which could bring the credibility of the certification process into disrepute, the AB shall take any appropriate action including conducting an extraordinary assessment if necessary.*

## 7.12 Extending accreditation

GFSI Requirement to clause 7.12

*Upon an application to extend a scope to include a new GFSI recognised scheme under an accreditation standard the CAB is already accredited for, a full (i.e. on-site and witness assessments) extension assessment shall be undertaken for every GFSI recognised scheme.*

*Upon an application to extend a scope to include a new GFSI recognised scheme under an accreditation standard the CAB is not already accredited for, a full (i.e. on-site and witness assessments) initial assessment shall be undertaken for every GFSI recognised scheme.*

*In the event that the CAB wishes to increase its scope of activity with respect to product category as defined by GFSI recognised scheme owners, the accreditation body shall, as a minimum, undertake an adequate check of documentary evidence to ensure that the requirements of the GFSI recognised standards are in place.*

## 7.13 Suspending, withdrawing or reducing accreditation

GFSI Requirements to clause 7.13.2

*If the GFSI recognised scheme owner's requirements are not met the GFSI scheme owner will inform the AB. The AB shall undertake an investigation of the issues raised by the GFSI recognised scheme owner and shall take appropriate action (e.g. to suspend or withdraw accreditation).*

GFSI Requirements to clause 7.13.3

*If the GFSI recognised scheme owner's requirements are not met, the GFSI scheme owner will inform the AB. The AB shall undertake an investigation of the issues raised by the GFSI recognised scheme owner, who shall take appropriate action (i.e. the decision to reduce the scope of accreditation).*

## 7.14 Records of CAB's

No additional requirements

## 7.15 Proficiency testing and other comparisons for laboratories

No additional requirements

# 8 Responsibilities of the accreditation body and the CAB

No additional requirements

## 8.1 Obligations of the CAB

GFSI Requirements to clause 8.1.2 (f)

*In the event that a GFSI recognised scheme owner suspends or withdraws recognition for a CAB or reduces scope, the scheme owner shall also inform the AB in addition to the notification by the CAB.*

## 8.2 Obligations of the accreditation body

GFSI Requirements to clause 8.2.3

*The AB shall provide this information, where applicable, to GFSI recognised scheme owners.*

#### GFSI Requirements to clause 8.2.4

*In the event of changes or revisions to a GFSI recognised standard, the AB shall collaborate and communicate with the scheme owner to identify the appropriate review process of the CAB and to ensure that the CAB is aware of and meets the additional / changed requirements in relation to accreditation.*

### 8.3 Reference to accreditation and use of symbols

#### GFSI Requirements to clause 8.3.2

*The AB shall verify that 8.3.2, points (a-f), are applied in connection with the usage of the GFSI recognised schemes.*

#### GFSI Requirements to clause 8.3.3

*The AB shall verify that 8.3.2, points (a-f), are applied in connection with the usage of the GFSI recognised schemes and appropriate action taken in the event of incorrect or misleading claims in relation to the use of such information and accreditation status .*

#### Additional Requirements to ISO 17011

##### 1. Activity Summary

*An annual activity summary shall be made available to GFSI for all recognised schemes, indicating as a minimum:*

- ▶ *General assessment details,*
- ▶ *Head office assessment: date, location, critical location assessments, numbers of site and auditor files reviewed, Accreditation Body's assessors names, duration, general conclusions,*
- ▶ *Witness assessment: location, date, field, Accreditation Body's assessor, duration, general conclusions,*
- ▶ *CAB name and conclusion of reports - Accreditation Status.*

##### 2. Signatories to MLA

*AB's wishing to work with the GFSI requirements to ISO 17011 shall be required to be signatories to the IAF MLA with Management system certification and / or Product certification in scope.*

# ANNEX 3

## Auditor Competence - Qualifications, Training and Experience

## Auditor Competence – Qualifications, Training and Experience

The GFSI sector and sub-sector scopes for recognition and the associated competence of auditors are as follows:

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Sector Specific Auditor Qualification and Education	Examples of Sector Specific Work Experience in relation to product categories
<b>AI</b>	Farming of Animals for Meat/ Milk / Eggs / Honey	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.	Experience is required of farming in the following sectors; · ▲ Cattle ▲ Sheep, goats ▲ Pigs ▲ Poultry ▲ Bees ▲ Game ▲ Hunting
<b>AIL</b>	Farming of Fish and Seafood	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.	Experience is required of farming in the following sectors; · ▲ Fish Aquaculture ▲ Seafood Aquaculture · ▲ Fishing
<b>BI</b>	Farming of Plants (other than grains and pulses)	Education in an agricultural / crop based discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	Experience is required in the fresh fruit and vegetable farming sectors; ▲ Fruit ▲ Vegetables ▲ Herbs and Spices ▲ Grasses (Sugar)
<b>BII</b>	Farming of Grains and Pulses	Education in an agricultural / crop based discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	Experience is required in the fresh plant farming sectors; ▲ Grains and cereals ▲ Nuts ▲ Pulses and legumes ▲ Beverage plants

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Sector Specific Auditor Qualification and Education	Examples of Sector Specific Work Experience in relation to product categories
<b>C</b>	Animal Conversion	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.	Experience is required of farming in the following sectors; <ul style="list-style-type: none"> <li>▲ Cattle</li> <li>▲ Sheep, goats</li> <li>▲ Pigs</li> <li>▲ Poultry</li> <li>▲ Fish</li> <li>▲ Bees</li> <li>▲ Game</li> </ul>
<b>D</b>	Pre-process handling of plant products, nuts and grains	Education in an agricultural /crop based discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	Crop based experience such as the farming and handling of; <ul style="list-style-type: none"> <li>▲ Grains and cereals</li> <li>▲ Nuts</li> <li>▲ Pulses and legumes</li> <li>▲ Beverage plants</li> </ul>
<b>EI</b>	Processing of perishable animal products	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.	Experience is required in the following food industry sectors; <ul style="list-style-type: none"> <li>▲ Red Meat Processing</li> <li>▲ Poultry Processing</li> <li>▲ Fish Processing</li> <li>▲ Seafood Processing</li> <li>▲ Meat Product Processing</li> <li>▲ Fish Product Processing</li> <li>▲ Dairy Technology</li> <li>▲ Egg Processing</li> </ul>
<b>EII</b>	Processing of perishable plant products	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.	Experience is required in the following food industry sectors; <ul style="list-style-type: none"> <li>▲ Fruit and vegetable processing</li> </ul>

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Sector Specific Auditor Qualification and Education	Examples of Sector Specific Work Experience in relation to product categories
<b>EIII</b>	Processing of perishable animal and plant products(mixed products)	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.	Experience is required in the following food industry sectors; <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 Processing</li> </ul>
<b>EIV</b>	Processing of ambient stable products	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.	Experience is required in the following food industry sectors; <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> <li>▶ Alcoholic drink production</li> <li>▶ Drink production</li> </ul>
<b>FI</b>	Production of single ingredient feed		
<b>FII</b>	Production of compound feed		
<b>G</b>	Catering		
<b>H</b>	Retail / Wholesale		

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Sector Specific Auditor Qualification and Education	Examples of Sector Specific Work Experience in relation to product categories
I	Provision of Food Safety Services		
JI	Provision of Transport and Storage Services Perishable Food and Feed		
JII	Provision of Transport and Storage Services Ambient Stable Food and Feed		
K	Manufacture of Food Processing Equipment		
L	Production of (Bio) Chemicals (Additives, Vitamins, Minerals, Bio-cultures, Flavourings, Enzymes and Processing aids)	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.	Experience is required in the following industry sectors; <ul style="list-style-type: none"> <li>▲ Fermentation Technology</li> <li>▲ Chemical Engineering</li> <li>▲ Biochemical Engineering</li> </ul>
M	Production of Food Packaging	A primary qualification, a degree or higher certificate in packaging technology and a relevant certificate recognised by the scheme owner in food technology, food hygiene or related science subject OR a primary qualification in food technology, food safety/ hygiene or related science subject and a certificate in packaging technology that is recognised by the scheme owner	Experience is required in the specific sectors of packaging manufacture <ul style="list-style-type: none"> <li>▲ Plastics</li> <li>▲ Paper and board</li> <li>▲ Metal</li> <li>▲ Glass</li> </ul>
N	Food Broker / Agent		