



ACCREDITATION REQUIREMENTS OF CERTIFICATION BODIES FOR FOOD SAFETY MANAGEMENT SYSTEMS (FSMS)

*(HACCP and ISO 22000 based Food Safety
Management Systems)*

DAC-REQ-07

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FOREWORD

Dubai is a rapidly expanding Emirate, and the Government places great emphasis on providing quality services. The main role of DM is to formulate the Emirate's urban strategic plans as well as the provision of essential infrastructure, environmental and health services for the continued development of Dubai as a modern, safe and dynamic Emirate. The DM, through its Dubai Accreditation Department (DAC) undertakes assessment and accreditation of various Conformity Assessment Bodies (CABs) according to International Standards, guidelines and world best practices.

The requirements for accreditation of Certification Bodies (CB) of management systems are basically the ISO/ IEC Guide 62: 1996⁽¹⁾ "General requirement for bodies operating assessment and certification/registration of quality systems" (here in after referred to as Guide 62) until 15 September 2008. The criteria are based on Guide 62 to facilitate harmonization of certification process in Dubai and signing of mutual/multilateral agreements with other countries, regional and international forums.

This document DAC-Req-07 describes the requirements that a third party CB operating a Food Safety Management Systems (FSMS) Certification program shall meet if it is to be recognized by DAC as competent and reliable in the operation of FSMS Certification. This accreditation program is being implemented in order to provide a means of assessing and accrediting the competence of the certification bodies to carry out certifications and related activities for the requirements of Dubai Municipality pursuant to the local order 11/2003.

This document should be read in conjunction with the International ISO/IEC Guide 62: 1996, IAF (International Accreditation Forum) publication IAF GD 2: 2003 Guidance on the Application of ISO/IEC Guide 62:1996 and DAC document DAC-Req-01, Accreditation Requirements.

DAC-Req-07 has been produced by DAC in cooperation with the Food Control Department of Dubai Municipality, the Environment, Health and Safety of the Port Customs & Free Zone Corporation and the Certification Bodies of FSMS operating in Dubai.

DAC-Req-07 shall be used for accreditation of Certification Bodies performing certification of FSMS. It is also intended to assist employers of certification bodies to select 'competent personnel' for the purposes of FSMS certification according to ISO 22000 requirements.

¹ This applicable for FSMS Certification Bodies who has already an established QMS according to ISO/IEC Guide 62: 1996 prior to applying for DAC Accreditation. However, those FSMS Certification Bodies which QMS is not documented as per ISO/IEC Guide 62: 1996 prior to DAC Accreditation are expected to prepare and document it according to the new standard ISO/IEC 17021: 2006 "Conformity Assessment Requirement for Bodies Providing Audit and Certification of Management Systems".



While accreditation will normally be an indication of the quality of services offered by the certification bodies, it should not be regarded as a guarantee that the CB will always maintain a particular level of performance. It shall not, in any way, diminish the contractual obligation between the CB and its clients. It is subject to revision periodically when deemed necessary. It is the responsibility of the CB to ensure that the latest version of this document is available for reference and implementation.



1 DEFINITIONS

The purpose of this section is to define the general and technical terminology that is used throughout this document.

1.1 Certification Body

For the purpose of this accreditation, a certification body is an independent impartial body, government or non-government, possessing the necessary competence and reliability to operate a certification system and in which those with an interest in the process of certification are represented without any single interest predominating.

1.2 Shall

The term “shall” is used throughout this document to indicate those provisions which, reflecting the requirements of DAC Criteria (Based on Guide 62), are mandatory.

1.3 Should

The term “should” is used to indicate guidance which, although not mandatory, is provided by DAC as a recognized means of meeting the requirements.

1.4 Food Safety

Assurance that food will not cause harm to the consumer when it is prepared and/or eaten according to its intended use.

1.5 Food Safety Hazards

Biological, chemical or physical agent in food, or condition of food, with potential to cause an adverse health effect.

1.6 Food Organization

Any organization regardless of size, which is involved in any aspect of the food chain to provide consistently safe products and should demonstrate its ability to control food safety hazards in order to ensure that food is safe at the time of human consumption.

1.7 Food Sector

Includes food organizations that are directly or indirectly involved in food products include, but are not limited to, feed producers, harvesters, farmers, producers of ingredients, food manufacturers, retailers, food services, catering services, organizations providing cleaning and sanitation services, transportation, storage and distribution services. Other organization that are indirectly involved include, but not limited to, suppliers of equipment, cleaning and sanitizing agents, packaging material, and other food contact materials.



1.8 Food Chain

Sequence of the stages and operations involved in the production, processing, distribution, storage and handling of food and its ingredients, from primary production to consumption.

1.9 Food Safety Management System (FSMS)

A system which identifies specific hazard(s) and preventive measures for their control.

1.10 Accreditation Body Logo

Logo used by an accreditation body to identify itself.

1.11 Accreditation Symbol²

A symbol issued by an accreditation body to be used by accredited CBs to indicate their accredited status. The symbol may be a combination of an accreditation body logo in association with the accreditation number and identification of the type of accreditation.

1.12 Nonconformity

The absence of, or the failure to implement and maintain, one or more FSMS requirements, or a situation which would, on the basis of available objective evidence, raise significant doubt as to the safety of what the food organization is supplying. The CB is free to define different grades of deficiency and areas for improvement (e.g. Major and Minor Nonconformities, Observations, etc.).

1.13 Pre-requisite Programs (PRPs)

Basic conditions and activities that are necessary to maintain hygiene environment throughout the food chain suitable for the production, handling and provision of safe end products and safe food for human consumptions.

1.14 Critical Control Points (CCPs)

Step at which control can be applied and is essential to prevent or eliminate a food safety hazard or reduce it to an acceptable limit.

1.15 Related Authority

Dubai Municipality (DM) – Food Control Department (FCS) and Environment, Health and Safety of the Ports Customs & Free zone Corporation (EHS, PCFC). The relevant authority varies according to the area of jurisdiction; namely it is FCS in DM if the CB & food organization involved were operating in Dubai outside the Jebel Ali free zone, otherwise, if they are operating in the Jebel Ali free zone then it is EHS, PCFC.

² The word symbol is used instead of Mark since “Mark” is to be reserved to indicate conformity of a product.



2 SCOPE

2.1 Fields of Applicability

- 2.1.1 This document is applicable to certification bodies which are certifying FSMS in organizations (here in after referred to as food organizations) which are involved directly³ or indirectly⁴ in any aspect of the food chain and want to implement systems that consistently provide safe products. Such organizations may be active in various sectors such as, but not limited to, agriculture, fishing, food products, beverages and tobacco, water supply, hotels and restaurants, transport, storage and communication and other services.
- 2.1.2 DAC accredits certification bodies as per this document in three main sectors, namely; Food stuff processing sector, agriculture& fishing sector and service sector (e.g. transportation, distribution, retail, or trade).
- 2.1.3 DAC accepts the criteria that the certification bodies are using for certifying the FSMS as either the HACCP principles only or ISO 22000 (which includes also HACCP principles). In the near future the only certification criteria accepted would be ISO 22000; the date of shift of requirement from HACCP principles only to ISO 22000 will be decided by DM-FCS and the EHS-PCFC.

2.2 Subcontracting

- 2.2.1 Where the CB decides to subcontract work related to certification, such as auditing, for part or all of its certification activities for unforeseen extra work load or any other reasons there must be identifiable member(s) of the management personnel sufficiently knowledgeable in those technical activities being subcontracted, to be able to:
- Define the problem adequately and resources needed to enable the subcontractor to offer appropriate services and personnel;
 - Choose an appropriate subcontractor and to assess its technical competence (e.g. methods and personnel);
 - Interpret the results supplied by the subcontractor and relate those results properly to the service originally requested or problem originally defined. Evaluation of the audit report and the decision on certification shall be made only by the CB itself, and not by any other 'subcontracted' CB. Where joint

³ Such as but not limited to feed producers, harvesters, farmers, producers of ingredients, food manufacturers, retailers, food services, catering services, organizations providing cleaning and sanitation services, transportation, storage and distribution services.

⁴ Such as but not limited to suppliers of equipment, cleaning and sanitizing agents, packaging material, and other food contact materials.



audits are undertaken, each CB shall satisfy itself that the whole of the audit has been satisfactorily undertaken by competent auditors.

2.2.2 CB may issue certificates of FSMS according to HACCP principles/ ISO 22000 requirements on the basis of an audit carried out by another body provided that the agreement with the subcontracted body requires it to comply with all the relevant requirements of this document (Based on Guide 62).

2.2.3 Audits carried out by subcontracted CBs shall give the same confidence as audits carried out by the CB itself. If the CB subcontracts any part of its DAC accredited activities covered in the scope of this document, the subcontractor must be accredited by DAC.

3 GENERAL REQUIREMENTS

3.1 The CB applying for accreditation as per this program must have a management system, which includes the following as minimum:

3.1.1 Proper Documentation of its policies, procedures and operations starting from receiving the application for certification, carrying out contract review, preparing for auditing, performing auditing, reporting audit results and up to the issuance of the certificate in accordance with the documentation requirements of Guide 62 and any additional requirements set by DAC here within this document and other related documents.

3.1.2 Employ the suitable and qualified technical and administrative staff in the CB (see 4.1 also).

3.2 The CB shall operate in accordance with the requirements of Guide 62 and the relevant methods and procedures of certification according to which it would be accredited as well as any additional regulatory requirements set by the related authority.

3.3 Before applying for accreditation, the applicant CB must have met the following conditions:

- a) Completed at least two initial certification audits including the decision making process.
- b) Should have carried out minimum one internal audit against the applicable criteria of accreditation and one management review.

3.4 The CB shall prepare audit program for its audits and surveillance activities with a frequency suitable to its nature of work. Copy of the program shall be sent to the related authority at least one week in advance of the due date of the first audit in the program. The information in the program is used for scheduling the witnessing



of the HACCP audits on food organizations as per the related authority requirements.

3.5 The CB shall have clear rules for the fees charged for the certification Services and for the issuance of the Certificate; and the terms of payments for each. Fees charged by the CB shall be for the Certification Services and not for the sake of issuing a Certificate; the fee shall be chargeable even if a certificate is withheld.

3.6 In order to avoid biases in the certification process and conflict of interest the CB shall not act as a consultant for any of the services in which it is active, DAC will remove the CB from the list of accredited FSMS CBs if the CB, proven by evidence, violating the requirement of this clause. Removing the CB from the list shall deprive the CB from providing certification services within Dubai.

4 SPECIFIC CRITERIA OF COMPETENCE

4.1 Requirements for Technical Competence of Staff

4.1.1 The CB shall use personnel to carry out certification of FSMS who have the qualifications, training, experience and knowledge with respect to all functions it performs leading to the certification of FSMS in food organizations.

4.1.2 CB shall have personnel competent to:

- a) Assess applications and conduct contract reviews;
- b) Select auditors and verify their competence;
- c) Brief auditors and arrange any necessary training for them;
- d) Implement audit, surveillance and re-certification/ re-audit procedures;
- e) Decide on the granting, maintaining, withdrawing, suspending, extending, or reducing of certifications;
- f) Set up and operate appeals, complaints and disputes procedures.

4.1.3 Across the whole of its accredited scope (or that part in which it operates) the CB shall be able to conduct audits using resources under its own control which meet the requirements of ISO 19011. The term "resources under its own control" includes individual auditors who work for the CB on a contract basis, or other external resources.

The CB shall be in a position to manage, control and be responsible for the performance of all its resources and maintain comprehensive records controlling the suitability of all the staff it uses in particular areas, whether they are employees, employed on contract or provided by external bodies.

4.1.4 The CB shall be able to demonstrate that it has performed an initial competence analysis (determination of competence requirements in response to evaluated



needs) for each technical area in which it operates. In particular, the management shall be able to demonstrate that the CB has the competence to perform the following activities:

- a) Identify the major processes associated with each technical area in which it operates
- b) Identify the major requirements relevant to each technical area in which it operates
- c) Define the competence needed in the CB to certify food organizations in each technical area in which it operates (this includes the competence of auditors and of those responsible for conducting contract reviews, selecting audit teams and making certification decisions).

4.1.5 In addition to performing competence analysis of technical areas of activity of food organizations subject to its certification, the CB should have the competence to understand the business practices and structures of the food organizations subject to certification.

4.1.6 The management of certification bodies should have appropriate knowledge to undertake certification in the different countries in which the CB performs certification. The CB should be able to demonstrate the effectiveness of how it deals with questions of language, culture and the business environment.

4.1.7 In order to undertake a specific contract, based on the above analysis, the management of the CB shall:

- a) Confirm that personnel with the required competencies, as analyzed above, will be available
- b) Approve procedures for determining the length of time needed to complete the audit in accordance with general requirements of Guide 62.

4.1.8 The CB shall make clear to each person concerned their duties, responsibilities and authorities.

4.1.9 The CB shall ensure that auditors and, where needed, technical experts (who accompany auditors during certification/ surveillance audits), decision makers and other persons involved in the certification activities (e.g. committee members, etc) are familiar with certification activities, certification requirements, audit methodology (for auditors) and other relevant requirements. The CB shall give auditors and technical experts access to an up-to-date set of documented procedures giving audit instructions and all relevant information on the certification activities.



- 4.1.10 The CB shall use auditors and technical experts only for those certification activities where they have demonstrated competence, in particular regarding the type of products/service audited.
- 4.1.11 The CB shall identify training needs and shall offer or provide access to specific training to make its auditors, technical experts, and other persons involved in the certification activities, knowledgeable of certification requirements and processes.
- 4.1.12 The group or individual which takes the decision on granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification shall have knowledge and experience sufficient to evaluate the audit processes and related recommendations of the audit team.
- 4.1.13 The CB shall ensure the satisfactory performance of all personnel involved in the audit and certification activities. There shall be documented procedures and criteria for monitoring and measurement of the performance of all persons involved based on the frequency of their usage and the level of risk linked to their activities. In particular, the CB shall review the competence of its personnel in the light of their performance in order to identify training needs.
- 4.1.14 The CB shall require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and procedures as defined by the CB. The agreement shall address aspects relating to confidentiality and to independence from commercial and other interests, and require the external auditors and external technical experts to notify the CB of any existing or prior association with any food organization they may be assigned to audit.

Note:

Use of individual auditors and technical experts under such agreements does not constitute subcontracting.

- 4.1.15 No auditors and technical experts and other persons involved in the certification activities is allowed to perform auditing/certification independently without having appropriate qualification and training. The CB shall only authorize personnel to carry out certification/auditing of FSMS if these are within the designated competence of those personnel and if those personnel hold the category of qualification necessary to perform their assigned tasks as defined in section 4.1.17.
- 4.1.16 The CB shall maintain records to show how and when, each personnel was authorized to perform specific certification/ auditing activities, the scope for which he/ she is authorized and the sample of his/ her signature. These records shall, as a minimum, indicate the evidence of fulfilling the criteria defined below.



4.1.17 Qualification criteria for auditors, technical experts, decision makers and other persons involved in the certification activities:

4.1.17.1 The management of the CB shall have the resources to enable it to determine whether or not, and procedures to ensure that, all categories of its personnel are competent for the tasks they are required to perform within the scope of certification in which they are operating. The competence of the personnel may be established by verified background experience, specific training or briefing. The initial competence evaluation of an auditor shall include observing an on-site audit undertaken by the person being evaluated. The CB shall assess the competence of all categories of its personnel and this assessment shall cover relevant knowledge of the tasks they are assigned to perform, the relevant laws, local & admin orders and codes of practice. DAC shall be given the opportunity to review the means and records of such an assessment.

4.1.17.2 The management of the CB shall define the requirements for establishing the competence of the auditors and technical experts that the CB uses to conduct audits, whether they are employees, employed on contractual basis or provided by external bodies. These requirements shall incorporate the relevant criteria for assessing an auditor competence in ISO 19011 (which has superseded the ISO 10011 series of standards referred to in Guide 62).

Notes:

- (1) The audit team of a CB has to be led by a Team Leader who is qualified as a team leader for FSMS and meets the above requirements.
- (2) For audits involving sole or solitary auditor, the auditor has to be qualified for FSMS and meets the above requirements.
- (3) Qualification of auditors can be done internally by the CB or by an external auditor certification body.
- (4) Guide 62 does not require auditors to be certified by an auditor certification body but such certification may be used as part of the evidence that auditors meet defined levels of competence (e.g. certification of auditors by IRCA).

4.1.17.3 The CB shall employ or have access to a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed.

4.1.17.4 The CB shall have defined processes for selecting, training, formally authorizing and monitoring auditors and technical experts and for selecting committee members and other experts used in the certification activity (see also clause 4.2).

4.1.17.5 The CB shall have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge as well as skills and knowledge appropriate for auditing in



specific technical areas. This process shall be based on the guidance provided in ISO 19011 transformed into appropriate documented requirements (in particular clause 7 of ISO 19011).

4.1.17.6 The documented monitoring procedures shall include a combination of on-site observation⁵, review of audit reports and feedback from clients or from the market and shall be based on the guidance provided in ISO 19011 transformed into appropriate documented requirements. This monitoring shall be designed in such a way as to minimize the disturbance of the normal processes of certification, especially from the client's viewpoint.

The CB shall establish the frequency of witnessing activities to take account of the criticality and volume of the work being undertaken, the experience and performance history of the auditors/technical experts and any data obtained from other types of monitoring activity such as review of audit reports and market feedback.

4.1.17.7 The FSMS auditors:

- (i) The CB shall ensure that its auditors used for FSMS audits possess the following qualifications as minimum:
 - a) Education:
Qualifications of minimum graduation or equivalent with food related discipline (Diploma/ B.Sc. degree in Food Science and / or Technology).
 - b) Work Experience:
5 years work experience in food sector including minimum of 2 years full time work experience with food/hygiene and food safety programs and risk management or HACCP principles applicable to the industry sector in a technical, professional or supervision position plus ability to demonstrate competence in specific technical processes used within the industry sector (where applicable).

Note:

The work experience requirement may be 4 years in case of educational qualifications above B.Sc. degree level.

- c) Audit Experience:
For auditors; minimum of 4 FSMS audits within a 2-year period with a minimum total duration of 20 audit days.
For lead auditors: Minimum of 5 FSMS audits as team leader within a 2-year period with a minimum total duration of 10 audit days.
- d) Audit Training:

⁵ The CB shall periodically observe the performance of each auditor on-site. The frequency of on-site observations shall be based on need determined from all monitoring information available.

Each FSMS auditor shall also have successfully completed training in HACCP principles based on the Codex Alimentarius guidelines and/or ISO 22000 requirements (or equivalent) and be able to demonstrate competence in the understanding and application of HACCP principles and/or ISO 22000 requirements.

Each FSMS auditor shall also have successfully completed the three days HACCP principles IRCA registered auditor course and/or ISO 22000 auditor course (or equivalent).

e) Personal Attributes:

The minimum personal attributes, knowledge and skills as described in clause 7 of ISO 19011, for as far as relevant for FSMSs.

f) Other Qualification:

Have knowledge of current regulatory requirements (e.g. Local Order 11/2003) and other applicable Codes of Practice.

(ii) Registration of FSMS Auditors in DM database:

The CB shall continuously notify DAC of the names and qualifications of any new auditors it intends to use in FSMS audits before authorizing them to conduct such audits independently on food organizations. Along with this notification it shall send the CV of the auditor and full documentation of his/her educational and work experience qualifications that provide sufficient evidence of fulfilling the minimum criteria for auditors as defined in clause 4.1.17.7 (i) above. Auditors meeting the said criteria will be added to the FSMS Auditors database maintained by DAC. Records for their continuous developments and monitoring of performance will be frequently checked and verified by DAC for adequacy as a condition for maintaining their names in the database. They will also be interviewed and evaluated during nearest assessment/ surveillance visit made by DAC after their registration in the database, to verify their competence.

4.1.17.8 The decisions makers and other experts involved in the certification activities shall have:

a) Education:

Qualifications of minimum graduation or equivalent with food related discipline (Diploma/ B.Sc. degree in Food Science and / or Technology).

b) Work Experience:

8 years work experience in food sector including minimum of 5 years full time work experience with food/hygiene and food safety programs and risk management or HACCP principles applicable to the industry sector in a technical, professional and managerial position plus ability to demonstrate competence in specific technical processes used within the industry sector (where applicable).

Note:

The work experience requirement may be 7 years in case of educational qualifications above B.Sc. degree level.

c) Training:

Shall also have successfully completed training in HACCP principles based on the Codex Alimentarius guidelines and/or ISO 22000 requirements (or equivalent) and be able to demonstrate competence in the understanding and application of HACCP principles and/or ISO 22000 requirements.

d) Personal Attributes:

Shall possess managerial skills including analytical skills, decision making capabilities, time management and planning skills.

e) Other Qualification:

Have knowledge of current regulatory requirements (e.g. Local Order 11/2003) and other applicable Codes of Practice.

4.1.17.9 The FSMS auditor, decisions makers and other experts involved in the certification activities shall show competencies in the application of ISO 22000 requirements including PRPs and HACCP principles to ensure the production of safe food. This includes but is not limited to:

- a) Understanding the current principles of HACCP and PRPs;
- b) Identifying biological, chemical (including allergens) and physical hazards;
- c) Assessing methodologies used for determining food safety hazard control measures;
- d) Ability to assess potential food safety hazards linked to the food supply chain;
- e) Ability to evaluate the relevance of the applicable PRPs and to establish or select an appropriate evaluation method or guide for these PRPs;
- f) Knowledge of the relevant regulatory requirements;
- g) Technical knowledge of the products, processes and practices of the specific food industry sector being audited;
- h) Demonstrating knowledge of FSMSs.

Annex 1 gives skills needed for the different types of audits performed by the CB.

4.1.18 Continual Training and Further Development:

4.1.18.1 Each FSMS auditor, decisions makers and other experts involved in the certification activities shall undertake appropriate continual training according to his or her specific qualification requirements. Certification bodies shall annually review a targeted training plan for their auditors and other categories of personnel on HACCP principles and/or ISO 22000 requirements, FSMSs, PRPs, audit techniques (for auditors only), and in particular on the competence items a) to f) mentioned under 4.1.17.9 above.

4.1.18.2 This training shall:

- a) Be planned as the result of an analysis of needs on the subjects and competence items given above,
- b) Be recorded,
- c) Include audit practical case studies, for auditors only,
- d) Be supported by a case and standard interpretation database (for instance: FAQ, workshop records, standard correction on case studies) freely accessible to the trainees,
- e) Be evaluated according to training purpose, training planning and related requirements, and certification bodies shall take appropriate action on the base of the training result, and
- f) Be performed by qualified training teacher.

4.1.18.3 The CB shall be able to demonstrate that every auditor has appropriate training and experience for the particular categories for which they are considered competent. Competence shall be recorded (clause 5.5.c of ISO 19011) at least at the level of each category as indicated in Annex 1 and show evidence that the auditor has sufficient knowledge of the raw materials, processes, products, PRP's, potential hazards and control measures of that category.

4.1.18.4 The CB shall maintain up to date records of relevant qualifications, training, experience, affiliations, professional status and competence of each person involved in the certification activity.

4.1.18.5 Maintenance of Auditors Qualification (once every 3 years).

The FSMS auditors shall perform a minimum of 4 audits of 15 man days including on sites, during 3 years period to maintain their auditing capability. For lead auditors at least 2 of these audits shall be as team leader.

4.1.19 DAC Assessment of auditors and technical experts for the purpose of accreditation:

DAC will assess auditors and technical experts of the CB by witnessing their performance in the field. Not all auditors and technical experts may be assessed during the first visit but all auditors and technical experts will be assessed within the 3-year validity period of the accreditation.

4.2 Requirements for Selection Procedure of Auditors

4.2.1 The CB shall have defined processes for selecting its auditors, if a CB uses technical experts, its systems shall include procedures for their selection and how their technical knowledge is assured on a continuing basis. The CB may rely on help, for example, from industry or professional institutions.



4.2.2 The CB procedures shall ensure that staff employed to audit food organizations are competent in the field in which they are operating. Staff responsible for managing audits shall be identified and their qualifications documented.

4.3 Certification Process

The CB shall ensure that its certification process is designed in such a way that fulfils the following requirements as minimum.

4.3.1 Pre-certification procedure and document review:

4.3.1.1 As criteria for certifying food organizations, the CB shall use the HACCP principles⁶ or ISO 22000 standard or any equivalent up-to-date FSMS standards (which are designed to ensure the safety of foodstuff during preparation, processing, manufacturing, packaging, storage, transportation, distribution, handling or offering for sale or supply in any sector of the food chain). It is the responsibility of the CB to ensure that the requirements of this document and relevant food safety standards are available at the CB offices.

4.3.1.2 Document Review and Pre-audit Procedures

- i. The auditors of the CB shall review the following documents, prior to the audit on-site of the food organization:
 - a) HACCP and/or ISO 22000 Manual;
 - b) List of applicable legal requirements;
 - c) Product data;
 - d) Process flow charts including Site layout plan and HACCP plans; and
 - e) Other procedures and work instructions including recall procedures required by the food organization.

Two copies of each of these documents, after being audited, shall be submitted by the CB to the relevant authority after the on-site audit.

- ii. The auditors of the CB shall conduct a site tour to the food organization under certification to understand the processes, products and activities undertaken by the food organization aimed at identifying Pre-requisite Programs (PRPs), Critical Control Points (CCPs) and applicable legal requirements associated with these processes, products and activities.

- iii. The auditors shall review the process adopted by the food organization for the identification of food safety hazards and the determination of CCPs.

⁶ Codex Alimentarius Food Hygiene Basic Texts.



HACCP plans shall be examined to ensure that the plan is compatible with level of identification of food safety hazards.

- iv. The auditors shall review the basis, including validation of control measures, for all CCPs, and confirm that monitoring and measurement for these control measures are established.
- v. The auditors shall review the establishment of PRPs.

4.3.2 Certification Audit and Surveillance Visits:

- i. The auditors shall conduct a thorough audit to determine that the HACCP plans have been implemented effectively including any corrective actions.
- ii. The auditors shall audit the food organization's implementation of its PRPs, including audit on site.
- iii. The auditors shall audit the effective implementation of all the food safety procedures including the recall procedure. The auditors shall audit the monitoring system of the CCPs.
- iv. During each certification period, the CB shall audit in sufficient depth, CCPs targeted for auditing and any new CCPs established by the food organization.
- v. The CB shall audit all CCPs and all sites of the food organization covered by certification at least once during each certification period.

4.3.3 Assignment for a specific audit:

- 4.3.3.1 The CB's procedures shall ensure that audit teams meet the competence criteria that have been defined by the CB for the audits to which they are assigned. The audit team may consist of one person provided that this person conforms to the overall competence requirements for an audit team.
- 4.3.3.2 The audit team shall have the collective competence required to perform an effective audit of the food organization subject to certification and the ability to trace evidence of failures in its products or services back to the relevant requirements of the FSMS. The CB shall appropriately assign the team members according to their competence. Where the audit of a particular activity on site requires specific competence requirements, the team leader shall assign the audit team members accordingly.
- 4.3.3.3 In certain instances, particularly where there are critical requirements and special procedures, the background knowledge of the audit team may be supplemented



by briefing, specific training or experts in attendance. The CB may attach technical experts to their audit teams. If a CB does use technical experts, its systems shall include details of how technical experts are selected and how their technical knowledge is assured on a continuing basis. The CB may rely on outside help, for example, from industry or professional institutions.

4.3.3.4 The requirements for audit team competence apply not only to initial certification audit but also to surveillance and re- certification audit. In assigning the team for a surveillance activity, the management of the CB shall ensure that the members of the team have the appropriate competence to assess the activities scheduled for surveillance, and to understand how their findings may relate to the overall operation of the FSMS.

4.3.3.5 The audit team needs a background to ensure that the members understand the requirements relating to the system they are auditing. Each audit team shall have a general understanding and background in each sector in which it operates. It shall be able to determine whether the design and implementation of the system is such that the food organization has the capability of systematically meeting agreed requirements for any product or service supplied within the scope of the certification, and adequately complies with the requirements of the FSMS standard.

4.3.3.6 The above requires that the audit team, deployed in each case by a CB to conduct an audit of a food organization's FSMS, needs to know what requirements applicable to the processes and procedures, are essential to provide the product or the service in question. A requirement is essential if failure of a FSMS to deal with it in a correct manner presents an unacceptable risk that the products or services will not meet specified requirements. The audit team shall have the necessary competence, including if necessary sector scheme credentials, to determine whether the system covers these essential requirements in a manner that gives adequate confidence that the products or services supplied can be assured to meet specified requirements.

4.3.3.7 The competencies required of the audit team shall be judged using the following as guidance:

- Identification of scope of certification;
- The products produced by the food organization;
- The processes used by the food organization;
- The relevant regulatory requirements; and
- The typical hazards and critical control points associated with that combination of industry, product and process.



4.4 Internal Quality Audits

- 4.4.1 Besides covering the activities of the quality management system and their results, the internal quality audit program shall also include the on-site audit/ witnessing of the auditors of the CB while they are performing auditing of FSMS of food organizations.
- 4.4.2 On-site internal audit shall be carried out by personnel with the relevant technical qualifications and experience who have been trained in internal auditing and who are sufficiently independent to carry out the audit objectively.
- 4.4.3 The CB's internal quality audit program for on-site audit/ witnessing of auditors shall be designed so that within each cycle of the program at least one auditor is audited/ witnessed thoroughly on-site. The program shall also ensure that each of the auditors engaged in auditing is audited/ witnessed at least once within a period of 3 years for each of the fields in which they are active.
- 4.4.4 The audit program shall ensure that where certifications are managed from locations other than a central location e.g. Branch Offices, including those located overseas, the audit program encompasses these different locations in a systematic way over the 3 year period of validity of accreditation.
- 4.4.5 The records of the internal quality audits produced must be in such a way that will enable the CB to verify the previous works (audits and certification decisions). CBs must describe this point in their Quality Management System Documentation.

4.5 Certificate Awarded for FSMS of Food Organizations

- 4.5.1 After a CB has completed a certification audit of FSMS for a food organization and found no significant issues the CB must issue a Certificate for the FSMS of this food organization.
- 4.5.2 The CB shall produce a Certificate for FSMS which fulfills the client's needs, the related authority requirements and the applicable clauses of Guide 62.
- 4.5.3 Besides the applicable clauses of Guide 62 particularly the requirements of the clause 3.5.3 of Guide 62, the certificate shall include the following information as a minimum:
- i. Title of Certificate,
 - ii. Identification of the type of certification (if the CB is active in more than one type; i.e. product certification, personnel certification, etc),
 - iii. Industry sectors, and product categories, where relevant, for which certification has been granted,
 - iv. Identification number and code of the certificate (i.e. unique identity of the certified food organization),



- vi. The name, identity and logo of the CB,
- vi. All premises from which one or more key activities are performed and which are covered by the certification,
- vii. Signature of authorized signatory/ies of the CB,

Certificates issued by CBs that fail to give any of the above details will be liable to rejection by the relevant authority in Dubai.

- 4.5.4 In the case there is an adverse health effect caused to humans involving food organization certified by accredited CB and as a result of the official investigation it was determined that it was intentional or due to negligence or lack of competence, the relevant authority shall immediately notify the CB which certified the food organization which in turn shall carry out immediate special audit to determine whether the CB has to reconsider the validity of the FSMS certificate granted to the food organization or not. The actions taken by the CB in this regard has to be notified to DAC and to the relevant authority without delay. Failure to do that may subject the CB to suspension and subsequently relevant clauses of DAC-REQ-01 related to suspension will be applicable with immediate effect, particularly in case the adverse human effect was serious (e.g. becoming diseased) or was fatal.
- 4.5.5 The CB shall establish measures for defining the validity period of the issued FSMS certificates to the food organization and the terms for which the certification is valid. Each FSMS Certificate may be subject to evaluation as determined by the relevant authority.
- 4.5.6 The designated signatories shall only be authorized by the CB to sign FSMS Certificates. The designated signatory must assume responsibility for the technical validity and accuracy of all information contained in the Certificate.

5 WITNESS AUDITS

At least one certification audit of each of the following group shall be witnessed by DAC assessment team for the corresponding scope during accreditation assessment of certification bodies for FSMS (ISO 22000). DAC uses category approach of Annex A of ISO/TS 22003 in the description of the scope of accreditation for the certification bodies for ISO 22000 while for the scope of accreditation for HACCP the approach is based on NACE/ EA codes as per IAF GD 2: 2005.

S. No	Scope Group based on ISO/TC 22003 category approach
1	A Farming 1 (Animals) B Farming 2 (Plants) C Processing 1 (Perishable animal products) including all activities after farming, e.g.



	slaughtering D Processing 2 ((Perishable vegetal products) E Processing 3 (Products with long shelf life at ambient temperature) F Feed Production
2	G Catering
3	H Distribution I Services J Transport and services
4	K Equipment manufacturing L (Bio) chemical manufacturing M Packaging material manufacturing

6 ACCREDITATION CERTIFICATE

The Accreditation Certificate issued by DAC for FSMS CB shall be valid for a period of three years. A Scope of Accreditation detailing the activities for which the CB has been granted accreditation will supplement the certificate.

7 SURVEILLANCE

7.1 Planned Announced Surveillance Visits

The accredited CB shall be subject to planned surveillance visits that will be carried out at least once per year. The purpose of the surveillance visits is to ensure that the CB is continuing to comply with the accreditation program requirements.

7.2 Planned Unannounced Surveillance Visits

7.2.1 Additional planned special surveillance visits may be carried out at the discretion of DAC and as the need arises without giving prior notifications to the accredited CB. Such visits are planned and carried out as per the DAC document DAC-G2-07 “Code of Conduct of the Unannounced Surveillance Visits”.

7.2.2 For the purpose of planning sufficient unannounced visits to the accredited CBs, the CBs shall submit to DAC quarter reports on their certification and auditing activities they perform within the accreditation scope. These reports shall contain sufficient information such as the names and contact details of the food organizations receiving the service, full description of the scope of activities performed within the quarter, the dates of the audits or surveillance visits or certificates granted, identification numbers of the issued audit reports or FSMS certificates issued (or both if applicable).



8 ACCREDITATION FEES

The accreditation fees shall be charged in accordance with the DAC-G2-03 “Accreditation Fee Structure”.

9 OTHER RELEVANT ACCREDITATION REQUIREMENTS

The relevant provisions of the DAC-Req-01 “Accreditation Requirements” shall apply to the accredited Certification Bodies unless otherwise superseded by the provisions of this document.

10 REFERENCES

- 10.1 Local Order 11/2003, Concerning Public Health and Community Safety in the Emirate of Dubai.
- 10.2 ISO/ IEC Guide 62:1996 General requirement for bodies operating assessment and certification/registration of quality systems.
- 10.3 IAF GD 2: 2003 Guidance on the Application of ISO/IEC Guide 62:1996.
- 10.4 Accreditation Criteria – FSMS Certification BCB 106-Mar 2006, National Accreditation Board for Certification Bodies,
- 10.5 Guidance On The Application Of NABCB Criteria (Based On ISO / IEC Guide 62:1996) General Requirements For Bodies Operating Assessment and Certification / Registration Of Food Safety Management Systems, BCB 115g-April 2006.
- 10.6 Singapore Accreditation Council (SAC), HACCP DOCUMENT NO 1, Requirements for HACCP Auditing Methodology and Criteria for Auditors, September 2005.
- 10.7 Singapore Accreditation Council (SAC), HACCP DOCUMENT NO 2, Management of Food Safety based on HACCP (Hazard Analysis and Critical Control Point) – Requirements for HACCP based Food Management System, September 2005.
- 10.8 DAC-Req-01 Accreditation Requirements.
- 10.9 DAC-Req-05 Conditions for using DAC symbol.
- 10.10 DAC-G2-03 ‘Accreditation Fee Structure’.
- 10.11 DAC- G2-07 ‘Code of Conduct of the Unannounced Surveillance Visits’.
- 10.12 ISO 22000: 2005, Food Safety Management Systems- Requirements for Any organization in the Food Chain.
- 10.13 ISO 19011: 2002 Guidelines for Quality and/or Environmental Management System Auditing.
- 10.14 Codex Alimentarius Food Hygiene Basic Texts, Food and Agricultural organization of the United Nations, World Health Organization, Rome, 2001.
- 10.15 ISO/ IEC 17011: 2004 Conformity Assessment- General Requirements for Accreditation Bodies Accrediting Conformity Assessment Bodies.

ANNEX 1

Skills Needed for Different Types of Audits Performed by the CB

Skills	Pre-certification audit	Certification audit	Surveillance	Re-certification audit
Understanding the current principles of HACCP and PRPs	X			X
Identifying biological, chemical (including allergens) and physical Hazards	X			X
Assessing methodologies for controlling food safety hazards	X	X		X
Ability to assess potential food safety defects linked to the food supply chain	X	X	X	X
Ability to evaluate the relevance of the applicable PRPs and to establish and/or select an appropriate evaluation method or guide for these PRPs	X	X	X	X
Understanding the relevant appropriate food laws and regulations	X	X	X	X
Pertaining knowledge to the food industry sector being audited	X	X	X	X
Demonstrating operational experience in food safety management systems	X	X		X