KENAS
Delivering Trust

KENYA
ACCREDITATION
SERVICE

ACC-CD-18-01

Criteria for Food Safety Management Systems

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1 Background Information

1.1 Purpose

This document sets out the Accreditation criteria for Certification Bodies providing certification for 'Food Safety Management Systems Requirements' based on ISO/IEC 17021-1:2015, ISO/TS 22003:2013 and IAF MD 16:2015.

Accreditation of Food Safety Management System under KENAS is based on Classification of food chain categories as captured in Annex A Table A.1 of ISO/TS 22003:2013.

We acknowledge the participation of the Management Systems Certification Technical Committee in the development of this document.

1.2 Scope

1.2.1 This document spells out the additional requirements to **ISO/IEC 17021-1** and outlines unique Kenyan requirements for third-party certification bodies accredited by KENAS. The criteria in this document will be applied in conjunction with those in the **Assessor Guide and Terms of Reference ACC-CD-02-01**, procedure for **Management and Reporting of Assessments ACC-PR-07-01**, **Sampling during Assessment and Internal Quality Audits ACC-PR-03-01**, **Policy for Management of Extraordinary Events PL-13-01**, **Policy for dealing with objection of assessors/experts PL-30-01** and the relevant IAF Mandatory Documents. Accreditation shall be on the basis of demonstrated competence of the Certification Body in line with IAF sector codes and the NACE sub codes.

1.2.2 This document specifies the requirements that a certification body operating Food Safety Management System Certification shall meet for accreditation by KENAS.

1.2.3 The determination of the scope of accreditation will be defined as per Classification of Food Categories in Annex A Table A.1 of ISO/TS 22003:2013.

1.2.4 The scope of certification for the Food safety management system shall be defined in the certification documents to include the Category, the subcategory and specified activities as captured in Annex A, Table A.1 of ISO/TS 22003:2013.

1.3 Role(s) and Responsibility

Role	Responsibility
Certification Department	Process owner
SCBO	Reviewer

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CMIV	Recommender
CEO	Approval
Certification Bodies	Compliance

2 Terms and Definitions

For the purpose of this manual, the following terms and definitions shall apply in addition to those given in ISO/IEC 17000 and the Kenya Accreditation Service Act 2019.

2.1 Acronyms and Abbreviations

AB	Accreditation Body
CEO	Chief Executive Officer
CB	Certification Body
CMIV	Chief Manager, Inspection and Verification
HACCP	Hazard Analysis and Critical Control Point
IEC	International Electrotechnical Commission
ISO	International Organization for Standardization
KENAS	Kenya Accreditation Service
SCBO	Senior Accreditation Officer, Certification
FSMS	Food Safety Management System

2.2 Definition of Terms

2.2.1 Accreditation

Third-party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks.

2.2.2 Scope of accreditation

The specific conformity assessment services for which accreditation is sought or has been granted.

2.2.3 Assessment

The process in which KENAS assesses the competence of a certification body Refers to the process in which KENAS assesses the competence of a certification body.

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2.2.4 Audit

Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled (Clause 3.9.1 ISO 9000:2005).

2.2.5 Certification system

The totality of the certification service provided by a certification body and the management system, resources and the knowledge that the certification body uses to provide such service.

3 Criteria

3.1 Requirements of Accreditation

The requirements for management system implemented by the certification body including requirements for management system manual; document and record control; preventive actions, nonconformities and corrective actions; internal audits; management reviews; complaints shall be as outlined in ISO/IEC 17021-1

3.2 Requirements of Personnel involved in the accreditation process

3.2.1 The knowledge and skills that KENAS applies for specific accreditation activities in the accreditation of an FSMS Certification Body is as described in **Annex 1**.

3.3 Personnel involved in the certification activities

3.3.1 The certification body shall have processes to ensure that all personnel involved in application review, audits and certification activities are competent and have appropriate knowledge for their assigned duties in accordance with **ISO/TS 22003:2013 Annex C Table C.1**.

3.3.2 The audit of an applicant organization in food chain shall be performed by an audit team consisting of a lead auditor and where necessary, auditor(s) and technical expert(s). The team shall have sufficient knowledge and expertise required to audit the adequacy of all relevant FSMS elements in accordance with ISO/TS 22003:2013, e.g. HACCP principles, PRPs, operational PRPs and local food related laws and regulatory requirements. In many cases, technical expert are required to provide expertise to the audit team in the specific food chain sector being audited.

3.3.3 The audit team may include a trainee auditor but the responsibility assigned to him/her for auditing of the applicant organization in the food chain should be limited. In addition, the trainee auditor shall work under close supervision of an auditor or a lead auditor.

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3.3.4 An applicant/accredited certification body shall provide and maintain a working environment under which its personnel can work free from any undue pressure from internal and external parties. The certification body shall also implement a system to uphold integrity of their staff working at premises of the applicant's organization or other location outside its offices. The certification body must make known to their applicant organization its policy in this aspect and ask them to comply with the policy as part of the contract for providing FSMS certification service. The certification body may also instruct its auditors to ask a representative of the applicant organization to sign to acknowledge the integrity policy statement on all significant interaction occasions between an auditor and staff of the applicant organization. The certification body shall also issue a code of conduct to all its representatives of the applicant organization and other parties.

3.3.5 To extend the competence of an auditor to a new food chain category, the food safety related training shall be provided to meet the competence requirements of ISO/TS 22003:2013

3.3.6 Auditors, lead auditors, technical experts, staff making FSMS certification decision and personnel carrying out contract review shall be qualified through an appraisal system set up by the applicant/accredited certification body to ensure competence in the assigned activities

3.3.7 An applicant/accredited certification body shall implement a system to monitor the performance of its lead auditors, auditors and technical experts. On-site performance evaluation shall be performed for every auditor and lead auditor once every three years. The evaluation shall cover all aspects of the activities that the auditors have been authorised by the certification body to perform. Corrective action shall be taken if there is doubt on their competence.

3.3.8 A technical expert provides technical support to an auditor or lead auditor. A technical expert need not to be trained on auditing techniques but must have the required qualification, experience and technical knowledge for the auditing activities to be carried out. A technical expert shall work under the direction and close supervision of an auditor or lead auditor.

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3.3.9 Certification decision may be made by a staff or a committee. In case the certification decision is made by a committee, the applicants/accredited certification body shall ensure that the members who make the decision on granting/withdrawing a certificate shall have knowledge and experience sufficient for making a sound decision based on the results or information obtained from the auditing process. The certification body shall also have a documented procedure for the committee to make sound certification decisions and the committee members are conversant with the decision criteria. It may be necessary to provide appropriate training to committee members. Detailed records of the factors considered by the committee and the deliberation shall be kept.

3.4 Accreditation process requirements

3.4.1 Accreditation assessments for FSMS certifications shall be based on ISO 17021-1 and ISO/TS 22003 requirements.

3.4.2 KENAS shall carry out an onsite assessment and witnessing for each assessment planned for the certification body including initial, surveillance and reaccreditation assessment. The onsite assessments shall take into consideration aspects as captured in Clause 7.7.2 of IAF MD16:2015

3.4.3 Witnessing of audits shall be based on the food chain categories in Table A.1 in Annex A in ISO/TS 22003 grouped in the following clusters;

a) Farming (A+B)
b) Food and Feed Processing (C+D)
c) Catering (E)
d) Retail, Transport and Storage (F+G)
e) Auxiliary Industries (H+I+J)
f) (Bio) Chemicals (K)

3.4.4 For KENAS to grant accreditation for a given food cluster at least one witnessing shall be performed within the cluster. For extensions of scope within the cluster witnessing shall not be mandatory. However, for extensions to categories in a new cluster witnessing shall be mandatory.

3.4.5 KENAS shall plan for and undertake witnessing of audits as captured in Clause 7.5.6 of IAF MD16:2015.

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3.5 FSMS certification process requirement

3.5.1 The Certification Body shall specify the information to be provided by an applicant organization when applying for certification, such as relevant information of the applicants organization, desired scope of certification in terms of food categories and sectors, copies of valid appropriate licences/permits issued by relevant government departments, documents describing the process lines(e.g. flow diagram of production process, detail process description, operation procedure etc.) and quality assurance measures, all outsourced processes, HACCP studies, the number of shifts and information concerning the use of consultancy relating to the management systems that applicants must provide when submitting an application. Upon receiving an application, the certification body shall review and check whether sufficient information has been provided by the applicant organization in accordance with ISO/IEC 17021-1:2015 and ISO /TS 22003;2013 requirements.

3.5.2 The certification body shall carry out initial certification stage 1 and 2 audits in accordance with the procedure specified in ISO/IEC 17021-1:2015 and ISO/TS 22003: 2013. The certification body shall determine the interval between stage 1 and 2 audits and the certification body shall only conduct stage 2 after the findings identified in stage 1 audit have been adequately resolved by the applicant organization.

3.5.3 Where a certification body offers a multi-site certification, sampling will be done in accordance with ISO/TS 22003:2013. Surveillance audits shall be performed on the sampled sites which are selected randomly.

3.5.4 The depth of the process of establishing the prerequisite programmes and the Hazard analysis, identification of critical control points, and the effectiveness of the prerequisite programmes, operational prerequisite programmes and HACCP plan shall be the major focus of audit. The certification body shall ensure that auditors are competent in these aspects.

3.6 Auditor Time Determination

3.6.1 The certification body shall determine the required audit time in accordance with Annex B of ISO/TS 22003:2013. The certification body shall record the audit duration and their justification for both stage 1 and sage 2 certification audits.

3.6.2 If the audit only covers FSMS, the audit time calculated in accordance with Annex B of ISO/TS 22003:2013 shall not be reduced.

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3.6.3 For determination of audit time for a combined audit covering two or more management systems standards e.g. FSMS, QMS and EMS, the certification body may calculate the required audit time for each of the management system separately before adjusting the time for the combined audit. The maximum allowable audit time reduction for the combined audit shall be calculated in accordance with IAF MD 5 and ISO/IEC 17023.

3.6.4 The certification body shall include all names and geographical locations of the certified organization covered by the certification in the certification document. The certification body shall clearly specify the activities carried out in each geographic location

4 Associated Documents

Ref	Document Identifier	Document Title
1.	ISO/IEC 17021-1: 2015	Conformity assessment - Requirements for bodies providing audit and certification of management systems Part 1 - Requirements
2.	ISO/TS 22003: 2013	Food safety management systems -- Requirements for bodies providing audit and certification of food safety management systems
3.	ISO/TS17023: 2013	Conformity assessment- Guidelines for determining the duration of management system certification audits
4.	ISO/IEC 17000: 2004	Conformity assessment - Vocabulary and general principles
5.	IAF MD 16: 2016	Application of ISO/IEC 17011 for the Accreditation of Food Safety Management Systems (FSMS) Certification Bodies

5 Revision/ Amendment Record

Date	Ver	Revised By	Reason for Revision
10/10/2022	01	CER	Newly developed/formatted document

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Annex 1: KENAS knowledge and skills for accreditation activities

The following table specifies the knowledge and skills that KENAS shall apply for specific accreditation activities in the accreditation of an FSMS Certification Body.

X: Personnel has general level of knowledge and skills

X+: Personnel has a deeper level of knowledge and skills gained through practical experience or other approaches

Accreditation functions / Competency (Note 1)	Document Review	Onsite assessment	Witness assessment	Accreditation decisions	Scheme management
Knowledge of and ability to apply assessment principles, practices and techniques		X+	X+	X	X
Knowledge of and ability to apply the requirements of ISO/IEC 17021 and ISO/TS 22003	X	X+	X+	X	X
Knowledge of CAB certification processes	X	X+	X+	X	X
Knowledge of and ability to apply ISO 22000 or other FSMS certification standards	X	X+	X+	X	
Knowledge of and ability to apply the following in relation to food safety management systems: • HACCP • Food safety management including PRPs • Legal framework	X	X+	X+	X	

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Accreditation functions / Competency (Note 1)	Document Review	Onsite assessment	Witness assessment	Accreditation decisions	Scheme management
Knowledge of and ability to apply (in the food chain sector being assessed) • current principles of HACCP • relevant PRPs • identification of food safety hazards • control measures • products, processes and practices • related legal requirements(note 2)			**X**		
Knowledge of CAB's client business sector			**X**		
Knowledge of cultural and social customs related to the categories and geographic areas to be assessed		**X**	**X**		

Note 1: where a team is conducting the assessment, the competencies required are to be held within the team as a whole and not every individual member of the team. However where an individual is undertaking the assessment that person must have all competencies listed.

Note 2: Legal requirements identified here is an understanding of those regulations that the organisation that is subject of the witness would be expected to comply with for either the food industry sector or country/state/province within which they operate.

Note 3: When a group reviews assessment reports and makes accreditation decisions, the knowledge required is to be held within the group as a whole and not by each individual member of the group.

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