



REQUIREMENTS FOR CERTIFICATION BODIES in respect of

SCOPE OF ACTIVITIES, EXPERTISE and CERTIFICATION PERSONNEL.

INTRODUCTION:

This document stipulates the requirements for certification bodies and their personnel.

These requirements have been drawn up by the (Dutch) National Board of Experts HACCP (NBE-HACCP) and apply to all certification bodies which are associated to the NBE-HACCP and are authorised to grant certificates in accordance with the 'Requirements for a HACCP based Food Safety System'.

These requirements are an explanation of the clauses in the accreditation standards EN 45012 and ISO/IEC Guide 62, in particular the requirements relating to scope of activities and competence.

These requirements shall form an integral part of the internal rules and regulations of the certification body.

These requirements relate to the following aspects:

- the scope (field of work) of the accreditation
- the audit team and auditors
- staff personnel
- Participate Harmonisation Committee

1. Scope of the accreditation

The 'Requirements for a HACCP based Food Safety System' apply in the food preparation and food processing industries/organisations, including the primary sector and the transport and storage of foodstuffs and beverages.

The certification bodies are to be accredited on the basis of the standard EN 45012:1998 or ISO/IEC Guide 62:1996.

With regards to the scope, the certification body can be accredited for one or more sectors:

A Primary sector

(agricultural and horticultural produce, cattle-breeding)

B Food processing industry

(preparation, processing and treatment)

C Supporting activities

i.e. transport, warehousing, distribution and/or sales and trade.



A body that has been accredited for sector B will also be accredited for sector C; because the level of competency which is necessary to carry out HACCP analysis also extends to transport and storage. However, the reverse is not considered; a body accredited for sector C is required to qualify separately for sectors A and/or B.

For certification bodies accredited for sector A, accreditation also includes sector C, but this is restricted to activities, which are directly related to transport, warehousing, distribution and/or sales/trade of primary products.

For sector C accredited certification bodies, a more specific definition, for example, transport or distribution may apply, depending on the level of proven competency with the certification body.

Service activities; such as cleaning of processing equipment or supply companies (e.g. manufacturing packaging materials) do NOT fall under sector C.

When applying for accreditation as well as association with the (Dutch) National Board of Experts HACCP, the certification body must specify the required sector, related to its competence and experience.

Note. A contract with the certification body will only be entered after it has been accredited for HACCP system certification in accordance with the requirements of the NBE-HACCP.
The applicant certification body will be given written authorisation enabling it to use the 'Requirements for a HACCP based Food Safety System' for the accreditation procedure.

Since the certification bodies are required to specify to the Dutch Council for Accreditation or the accreditation body in question whom of its auditors is qualified for the specified sub-sectors (see section 2 of this document), the specific expertise is sufficiently defined.

It is compulsory for the certification bodies that an up to date specification is given to the Dutch Council for Accreditation or the accreditation body in question.

However, the Dutch Council for Accreditation or the accreditation body in question will not publish or communicate on request the sub-sectors for which a certification body has notified expertise.



2. The requirements of HACCP auditors

These requirements relate to the appointment of HACCP auditors and/or HACCP audit teams. With respect to the expertise necessary in specific sectors, the NBE-HACCP has made the following subdivision per sector:

Subdivision per sector:

A Primary sector:

- agriculture produce (growing of crops)
- horticultural produce (including nuts, herbs and spices)
- cattle(game)-breeding (meat)
- primary animal produce (milk, honey and eggs)
- fish breeding

B Food processing industry

- alcoholic beverages, soft drinks, fruit juices;
- bakery goods, confectionery, "dry" snacks, potato products, nuts and chocolate (processed);
- eggs and egg based products;
- grain and flour based products, starch based products and sugar;
- fruit and vegetables, herbs and spices, nuts (non-processed);
- catering, canteens, restaurants, kitchens (institution-related);
- ready to serve meals, refrigerated salads;
- additives, including vitamins and flavourings;
- margarine, oils, fats and sauces, cocoa (non-processed);
- meat, meat products and meat snacks;
- fish, crustaceans and shell fish;
- dairy products, including ice cream and desserts.

C Supporting activities

- transport
- storage
- distribution
- sales or trade.

Note: If an organisation has been audited in a sector not specified in this subdivision, but is included in the sector, it is the responsibility of the certification body to consider an appropriate application.

Requirement of Notification:

For the time being, NBE-HACCP does not intend to set up or require a central register of HACCP auditors. It is up to the certification bodies themselves to register the competence levels of auditors per individual sub-sector. However, they must notify the Dutch Council for Accreditation beforehand of each sub-sector for which they have qualified auditors employed/under contract.

It is compulsory for the certification bodies that an up to date specification is given to the Dutch Council for Accreditation or the accreditation body in question.



If for a certain branch auditors/experts haven't been registered by the Dutch Council for accreditation or at the accreditation body in question, they can only be put in action in that branch.

This notification requirement is only intended for verification purposes by the Dutch Council for Accreditation or the accreditation body in question and shall not be utilised to answer to market-based enquiries.

No information about the limitation of the competence of the certification body to sub-sectors will be made public.

2.1 General requirements

The following underlying principles have been established for the selection of suitable HACCP auditors (see ISO 19011):

- a. training qualifications as an auditor
- b. system related knowledge
This relates to knowledge of the quality management systems and knowledge of organisations.
- c. subject matter related competence
This relates to expertise of the sub-sectors, the products and production processes as well as an understanding of contamination aspects (chemical, biological and physical).
Areas of expertise include:
 - technology
 - microbiology
 - raw materials
 - knowledge of products.

Depending on the sub-sector, one or more of the specified areas of expertise will be dominant with the qualification and assignment of the auditor. In general, the auditor should be capable of judging the hazards, which might arise within a particular sub-sector with regards to the raw materials, products and processes used, and to have a sound understanding of the potential risks.

Experience, technical expertise and an analytical capacity are of vital importance. The auditor must have an understanding of any codes of practice which could be applicable within the sub-sector (Hygiene and GMP's).

The auditor shall be aware of the verification practices of these codes by third parties. The auditor shall consider the application and/or results of these verifications when conducting the HACCP audit.



2.2 Specific requirements with respect to the HACCP auditor

The HACCP (lead) auditor:

- shall be aware of the safety principles embodied in the HACCP based Food Safety Systems and the food safety requirements that are mandatory;
- shall have knowledge of the certification scheme of his/her own body;
- shall have experience in conducting HACCP system assessments (at least four system audits, of which two are HACCP system audits);
- a supplementary requirement for the lead auditor: at least eight system audits, of which four HACCP system audits;
- shall have qualifications in management-(assurance) system auditing, which explicitly meet the requirements stipulated for such training courses by the IACTA;
- shall have relevant knowledge of the food-processing sector at academic level;
- shall possess good communicative skills;
- shall communicate effectively through personal linguistic skills, both in writing and verbally;
- has been employed for at least five years in a relevant food-processing sector/sub-sector, two of which have been in the field of Quality Assurance/HACCP;
- shall possess sector/sub-sector related expertise in the field of technology, microbiology, raw materials and products in at least one sub-sector of the food processing industry.
- for qualification in each of the above-mentioned branches two years work experience in quality assurance/HACCP in that branch is minimally necessary.

In exceptional, individual cases it is possible to justify before the accreditation body that a system of specific education/training, experience and observing/enforcing audits is equivalent to two years. Audit experience only is not sufficient for that justification.

In case of a dispute over the appraisal, the CCvD-HACCP can give a binding pronouncement in a case made anonymous.

The sub-sector related expertise requirements might be relaxed in case the organisation audited only transports, stores and/or distributes foodstuffs (sector C).

In cases where there is an insufficient level of competence within the audit team regarding the sub-sectors to be audited, this competence shall be acquired by conducting an oral information/instructional meeting ('briefing'). However, the following additional conditions are applied:

- a. Expertise within the audit team must extend to at least two of the sectors specified in the sub-sectors;
- b. In case products are transported, stored and/or distributed in the following sub-sectors
 - primary animal products
 - refrigerated transport
 - chopped vegetables and fruit
 - meat and meat products (non-packaged and refrigerated)
 - fish, crustaceans and shell fish
 - cattle-breeding
 - eggs and egg-based products
 - cooled served salads
 - dairy products

sub-sector specific expertise shall be present in the audit team for each of these sub-sectors. When packed, conditioned and unconditioned products are relevant, the requirement is limited to two sub-sectors of the stated sectors in the sub-sector division and one assessment of the risk-analysis by a qualified auditor.



2.3 Specific requirements for the HACCP audit team

With regards to the audit team, the following applies:

- at least half the participating HACCP auditors must possess the relevant sub-sector-specific expertise, obtained through minimally two years work experience in quality assurance/HACCP;
- if not all auditors have the relevant sub-sector-specific expertise, the lead auditor must arrange for an oral briefing for the team prior to the audit;
- have documented knowledge of the applicable national legislation;
- the assessment and recommendations with regard to the classification of any of the non conformities revealed, as conducted by the auditor with the sub-sector-specific expertise, shall be communicated to the certification decision maker. This also applies to review of the sub-sector specific auditor/expert of the audit team's recommendations for certification.

3. Requirements of staff personnel

The certification body shall include the following positions within their organisation: (co-ordination) officer and decision maker(s). These can be one and the same individual, but the decision maker(s) shall not be part of the audit team that has conducted the assessment in question.

Criteria have been established by the NBE-HACCP for each of these positions:

3.1 (Co-ordination) Officer

The certification body shall have at least one officer who has the following duties:

- execution of the contract review
- selection, training and briefing of audit teams
- participation in Harmonisation Committee discussions
- contact person for the NBE-HACCP.

The (cumulative) requirements for this official are:

- be employed by the certifying body (no on-the-job contracting; not necessarily full-time);
- meet the requirements with respect to 'lead auditor', as specified in section 2 of this document;
- have a minimum of five years' working experience in one or more of the following 'sensitive' sectors:
 - primary animal products
 - cattle breeding
 - other primary sectors
 - egg-producing and egg products
 - chopped fruit and vegetables
 - meat and meat products (unpacked and refrigerated)
 - fish, crustaceans and shell fish;
 - dairy products

For certification bodies, which have only been accredited for Sector A, only the first three 'sensitive' sectors apply. In this case, other 'sensitive' sectors are not considered.



3.2. Decision maker(s)

The decision maker(s) responsible for granting, extending, maintaining, suspending and withdrawing HACCP certificates are required to satisfy each of the following criteria:

- be employed by a certifying body (no on-the-job contracting), which is an integral part of the organisational structure of the certifying body.meet the requirements with respect to 'lead auditor', as specified in the section 2 of this document.
- The requirement related to audit experience in order to maintain the qualification can be withdrawn.
- have a minimum of five years working experience in one or more of the following 'sensitive' sectors:
 - primary animal products
 - cattle breeding
 - other primary sectors
 - egg-producing and egg products
 - chopped fruit and vegetables
 - meat and meat products (unpacked and refrigerated)
 - fish, crustaceans and shell fish;
 - dairy products .

For certification bodies, which have only been accredited for Sector A, only the first three 'sensitive' sectors apply. In this case, other 'sensitive' sectors are not considered.

4. Re-Qualification of Certification personnel

The in paragraph two mentioned certification personnel will be re-qualified every three years.

For re-qualification as auditor at least four (auditor) or eight (lead auditor) audits for the HACCP food safety systems in the past three years must performed. Audits (third party) for other management systems, such as ISO 9000 en ISO 14001 may count as one of the audits, however at least one audit for the HACCP food safety system is necessary.

At least one report (not older than three years) of an attending of an audit for the HACCP food safety system trough the concerned auditor must be given.

It is required that the witnessing auditor isn't part of the audit team and strictly observes.

For the re-qualification to a branch the knowledge must transparently been kept up to standard. This can only be done by means of specific audit- or inspection experience, practical experience, professional literature, seminars, workshops or otherwise.

Each (lead) auditor must at least once every three years participate actively on the HACCP auditors harmonisation day, which is organised by the Harmonisation- committee.

It is also necessary to participate actively the internal harmonisation activities.

5. Harmonisation Committee

The certification body is obliged to participate in the Harmonisation- committee. This committee must take place once every half year.

In principle the co-ordination officer (see below 3.1) represents the certification body in this committee.

In the harmonisation committee cases will be brought in for discussion.



Each certification body in their own HACCP auditors/experts shall discuss the cases and the results of the Harmonisation- committee

A regulation can be set up for the Harmonisation- committee.

The Dutch National Board of Experts HACCP approved these requirements on 15 June 2006.