

UNITED ACCREDITATION FOUNDATION



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1. ACCREDITATION REQUIREMENTS

ISO/IEC 17021-1 Conformity assessment — Requirements for bodies providing audit and certification of management systems.

2. ADDITIONAL DOCUMENTS

ISO/IEC, IAF and other applicable requirements for accreditation of ISO 22000 certification::

- ISO/TS 22003-1:2022 Food safety management system – Requirements for bodies providing audit and certification of food safety management systems-
- IAF MD 1: Certification of Multiple Sites Based on Sampling
- IAF MD 2: Transfer of Accredited Certification of Management Systems
- IAF MD 4: Use of Computer Assisted Auditing Techniques ("CAAT") for accredited Certification of Management Systems.
- IAF MD 11: Mandatory Document for the application of ISO/IEC 17021 for audits of integrated management systems (IMS).
- IAF MD 23: Control of Entities operating on behalf of Accredited Management Systems Certification Bodies
- IAF MD 28 IAF Mandatory Document for the Upload and Maintenance of Data on IAF Database (Application date October 26, 2024)

3. UAF DOCUMENTS APPLICABLE FOR ACCREDITATION OF ISO 22000 CERTIFICATION

- UAF-GEN-CAB-01-General Accreditation requirements
- UAF-GEN-CAB-02-Conditions for the use of UAF Symbol
- UAF-PL:2014-01: Policy on providing conformity assessment in countries without the country's relevant authority's approval.
- UAF F-31A-Annexure A- Guidance for the addition of countries, locations and critical Locations.

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- UAF-PL:2016-06: UAF Policy for the Collection of Data to Provide Indicators of Management System Certification Bodies' Performance as per IAF MD 15:2014.
- UAF-PL:2018-04: UAF Policy on handling misconduct & unethical practices in the certification process
- UAF-PL:2019-07-01: UAF Policy on accreditation scopes & witnessing activities for accreditation of management system CBs
- UAF-PL:2019-07-02: UAF Policy regarding general administration
- UAF-PL:2020-03-02: UAF Policy for handling extraordinary events or circumstances affecting UAF Accredited CABs on their certified clients/persons.
- UAF-PL:2020-03-03: UAF Policy on Remote Assessment
- UAF-PL:2022-06-01 Transition Policy to ISO 22003-1:2022
- UAF-PL:2023-09-01: UAF Policy for CAB operations in Sanctioned Countries
- UAF-PL:2024-02-01: UAF policy regarding the consideration of climate change within the organizational context of the management system
- UAF-PL 2022-06-01: Transition to ISO 22003-1

4. CERTIFICATION DOCUMENTS

Certification Bodies (CAB) certifying against ISO 22000 – Food safety management systems — Requirements for any organization in the food chain

5. SCOPE

The Scope of accreditation shall be expressed using the food chain categories as detailed at serial number 12 of this document based on Annex A of ISO 22003-1:2022

6. ACCREDITATION ASSESSMENTS

The extent and content of the assessment depend upon the requested Scope of accreditation, the other activities for which the body requests accreditation or is already accredited, and the body's performance during the previous assessments. The Accreditation assessments shall be against ISO/IEC 17021-1 including the requirements of ISO 22003-1. The accreditation documents (e.g. certificate or schedule) shall explicitly state that the accreditation is against ISO/IEC 17021-1 and ISO 22003-1.

7. ASSESSMENTS

- Document Review
- Office Assessments
- Witness Assessments
- Scope Verifications during extraordinary circumstances.

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8. INITIAL OFFICE ASSESSMENTS:

- The certification body's policies and procedures are assessed at their office(s) during the initial assessment.
- During the initial office assessments, for each specific food chain category, the team makes specimens files of certification personnel to assess that:
 - a) The Certification Body has competent personnel to perform the contract review and select the correct food chain category and subcategory (see Annex ISO 22003-1:2022)
 - b) The Certification Body has atleast one competent Auditor in each subcategory defined.
 - c) The Certification Body has competent other certification personnel in each subcategory of the food chain category.
 - d) The Certification Body has established a process giving assurance that accredited certification will be offered only in subcategories where the Certification Body has competent personnel as detailed in b and c above.
 - e) The Certification Body keeps an updated list of the subcategories in which it has competent personnel. This list shall be available to the UAF during office assessment.
 - f) The Certification Body is able to demonstrate that it has at least one active or potential application in the food chain category for which it is seeking accreditation.

9. WITNESS ASSESSMENTS: During Initial Assessment, the following requirements as detailed in MD 7.5.6 of IAF MD 16 shall apply:

- The food chain categories are grouped in the clusters as per ISO 220031:2022 at serial number 12 from the date as detailed in the UAF Policy 202206-01.
- The accreditation for a given food chain category shall be granted after a successful witness assessment in at least one cluster. This criterion is also applicable to the extension of Scope. A witness is mandatory for extensions to categories in a new cluster. For extension inside a cluster, the witness is not a mandated requirement.
- In case of countinuation of the categories H,I and J for the existing CABs accredited as per ISO/TS 22003:2013, a minimum of one witness assessment

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shall be required in each category before November 30, 2024 as per UAF Transition Policy,UAF-PL 2022-06-01.

- The above witnesses are the minimum requirements. UAF will assess every individual case and decide if more witnessing is needed in specific situations based on the outcome of the office assessment, existing food safety management schemes accreditations and process risks.
- A witness of an initial certification audit, including stage 1, should be undertaken as part of the initial accreditation.
- The following additional factors may be considered in deciding the number of witnesses and selection of witnesses during surveillance and reassessment:
 - The CB's overall performance.
 - Factors such as process complexity or legislation, etc., influence the certified organization's ability to demonstrate its ability to meet the intended outcome of the MS.
 - Feedback from interested parties, including complaints about certified organizations.
 - The results of the CB's internal audit(s).
 - Change(s) in CB work patterns – growth of work within a specific region or technical area.
 - The number of clients within the CB's Scope of accreditation.
 - Confidence in the CB's auditor evaluation and approval process.
 - Previous or other office or witnessing assessment results, etc.

10. SURVEILLANCE AND REASSESSMENTS

- Surveillance and reassessment shall include on-site assessment as well as witnessing.
- The surveillance office assessments and witness assessment(s) shall be conducted at least once a year.

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- UAF will witness at least one audit in cluster 2 (if covered by the accredited Scope of the Certification Body) each year and at least one audit in each of the other clusters during the accreditation cycle.
- A single witness assessment could encompass different categories if the activities of the witnessed company and the Certification Body justify it.
- At least one of the witness audits per accreditation cycle should include an initial certification audit.
- Wherever feasible, throughout its accreditation cycle, UAF will ensure that witness assessment are performed in those subcategories (from those covered by the Certification Body scope) with the higher risks of food safety hazards.
- UAF preferably does not witness an audit team witnessed previously in that particular food chain category.
- Witness assessments shall avoid the repeated witnessing of the same Certification Body client company.
- UAF will consider previous results of witnessing to establish its witness strategy.
- UAF may take into account accreditations granted to the Certification Body in other food safety standards or schemes (either management system or product certification schemes) for categories in the same cluster when deciding which witness assessments need to be performed. In these cases, UAF may use witnessing performed in one of such schemes to substitute some but not the majority of the witness assessment activity required. This should be based on the certification activity of clients and the distribution of the CB's auditors.
- The implementation of the ISO 22000 certification system will be verified during each surveillance assessment being conducted by UAF. The files reviewed during the subsequent surveillance and the reassessment in four years (accreditation cycle) shall be as per IAF MD 16. The number of files to be reviewed for each assessment is calculated based on the number of certificates issued since the last assessment and the requirements of IAF MD16 as applicable. This is approximately one-tenth of the square root of the number of certificates, with a maximum of four files and a minimum of one file. The number of files to be reviewed may increase depending on risk-based parameters detailed in the assessment program.

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11. GENERAL REMARKS ON WITNESSING

Generally, two weeks before the witnessing, the CB shall provide the UAF team with the following:

- The CB's contract review records for the selected organization (including qualification records for the auditors used).
- A copy of the ISO 22000 certificate issued by the CB if a surveillance or recertification audit is witnessed.
- The report of the CB's pre-assessment or stage 1 assessment of the organization's MS (or other latest report) and an audit plan.

To select the audits to be witnessed, the CB shall plan for the audits to be conducted in a certain period at the request of UAF. The information on these audits shall include, as a minimum:

- Type of audit (initial, recertification or surveillance).
- Name and address of the auditee.
- Audit standard(s).
- Scope of certification.
- Name(s) of auditors(s) and expert(s).
- Date(s) of the audit.

12. ANNEX A: SCOPES AS PER ISO 22003-1:2022

CLASSIFICATION OF FOOD CHAIN CATEGORIES:

The certification body shall use below Table A.1 for the following purposes: to define the subcategory (or category if no subcategory) within which it wishes to operate; to identify the subcategories (or category if no subcategory) to which the client's scope will be audited or certified; to assess the auditor and audit team competence given in Annex C of ISO-22003-

1:2022 within a particular subcategory of Table A1; to define the audit duration in accordance with Annex B of ISO-22003-1:2022 to identify the appropriate PRPs, if applicable.

The scope of one specific client organization may cover more than one subcategory or category.

NOTE Relevant activities within the category H "services": for operators in the food chain, there are many different types of services that can be provided or called upon. Some of these services can fall outside the scope of a certification that includes FSMS. If the organization/service is susceptible to introduce a food safety hazard within the food chain, the service provider and its operator(s) can be considered within the scope.

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Where a scheme owner has established their own rules for determination for categories/subcategories, the outcome of the scheme rules shall apply provided that the scheme rules are not less than those required in this annex as a common basis.

Table A.1 — Food chain categories					
Cluster ^a	Category		Subcategory		Examples of included activities
Primary production		Farming or handling of animals			Raising animals (other than fish and aquaculture) used for meat production, egg production, milk production or honey production.
			AI	Farming of animals for meat/milk/eggs/honey	
		A			
					Associated temporary packing without modification or processing of the product.



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					Raising fish and seafood used for meat production.
			AII	Farming of fish and seafood	Growing, trapping and fishing (slaughtering at point of capture).
					Associated temporary packing without modification or processing of the product.
Cluster ^a	Category	Subcategory	Examples of included activities		
	B	Farming or handling of plants			Growing or harvesting of plants (other than grains and pulses): horticultural products (fruits, vegetables, spices, mushrooms, etc.) and hydrophytes for food.
			BI	Farming – Handling of plants (other than grains and pulses)	On farm storage of plants (other than grains and pulses), including horticultural products and hydrophytes for food.
			BII	Farming – Handling of grains and pulses	Growing and harvesting of grains and pulses for food. Handling grains and pulses.
					On farm storage of grains and pulses for food.
			BIII	Pre-process handling of plant products	Activities on harvested plants that do not transform the product from original whole form, including horticultural products and hydrophytes for food. These include cleaning, washing, rinsing, fluming, sorting, grading, trimming, bundling, cooling, hydro-cooling, waxing, drenching, aeration preparing for storage or processing, packing, repacking, staging, storing and loading.
			CO	Animal – Primary conversion	Conversion of animal carcasses intended for further processing including lairage, slaughter, evisceration, bulk chilling, bulk freezing, bulk storage of animals and game gutting, bulk freezing of fish and storage of game.
			CI	Processing of perishable animal products	Processing and packaging including fish, fish products, seafood, meat, eggs and dairy requiring chilled or frozen temperature control.
					Processing of pet food from animal products only.
			CII	Processing of perishable plantbased products	Processing and packaging including fruits and fresh juices, vegetables, grains, nuts, pulses, frozen water-based products, plantbased meat and dairy substitutes.
Processing food for humans and animals	C	Food, ingredient and pet food processing			Processing pet food from plant products only.



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					Processing and packaging including pizza, lasagne, sandwiches, dumplings and ready-to-eat meals.
			CIII	Processing of perishable animal and plant – Products (mixed products)	Includes off-site catering kitchens.
					Includes products of industrial kitchens not offered for immediate consumption.
					Processing perishable pet food from mixed products
Cluster ^a		Category		Subcategory	Examples of included activities
					Processing and packaging of products stored and sold at ambient temperature including canned foods, biscuits, snacks, oil, drinking water, beverages, pasta, flour, sugar and food-grade salt.
			CIV	Processing of ambient stable products	Processing ambient stable pet food.
					Processing feed material intended for food and non-food producing animals not kept in households, e.g. meal from grain, oilseeds, by-products of food production.
	D	Feed and animal food processing			Processing feed mixtures, with or without additives, intended for food-producing animals, e.g. premixes, medicated feed, compound feeds.
Catering/food service	E	Catering/food service			Open exposed food activities such as cooking, mixing and blending, preparation of components and products for on-site direct consumer consumption or take away. Examples include restaurants, hotels, food trucks, institutions, work places (school or factory cafeteria), including retail with on-site preparation (e.g. rotisserie chicken). Includes reheating of food, event catering, coffee shops and pubs.
Retail, transport and storage		Trading, retail and e-commerce			Storage and provision of finished products to customers and consumers (retail outlets, shops, wholesalers). Includes minor processing activities, e.g. slicing, portioning, reheating.
	F		FI	Retail/ wholesale	
			FII	Brokering/ trading	Buying and selling products on its own account without physical handling or as an agent for others of any item that enters the food chain.

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					Storage facilities and distribution vehicles for perishable food and feed where temperature integrity shall be maintained.
	G	Transport and storage services			Storage facilities and distribution vehicles for ambient stable food and feed.
					Relabelling/repackaging excluding open exposed product materials.
					Storage facilities and distribution vehicles for food packaging material.
Auxiliary services	H	Services			Services provisioned related to the safe production of food and feed including water supply, pest control, cleaning services and waste disposal.
Packaging material	I	Production of packaging material			Production of packaging material in contact with food, feed and animal food.
					May include packaging produced on-site for use in processing.
Auxiliary equipment	J	Equipment			Equipment for food, feed or packaging processing, vending machines, kitchen equipment, processing utensils, filters, hygienic design of equipment and facilities.
Bio/chemical	K	Chemical and bio-chemical			Production of food and feed processing aids, additives (e.g. flavourings, vitamins), gases and minerals.
					Production of bio-cultures and enzymes.
^a Clusters can be used for accreditation scope of accredited certification bodies, and for accreditation bodies witnessing certification bodies.					
NOTE "Perishable" can be considered as food of a type or condition such that it can spoil and must be preserved in a temperature controlled environment.					

The above food chain categories are grouped into the following clusters:

- Primary production -Farming (A+B)
- Processing food for humans and animals -Food and Feed Processing (C+D)
- Catering/food service- Catering (E)
- Retail, Transport and Storage (F+G)
- Auxiliary Services (H)
- Packing Materials (I)
- Auxiliary Equipment (J) • (Bio) Chemicals (K)