



1 OBJECTIVE

1.1 To document the

- competence required for personnel engaged in the certification activities
- procedure for initial evaluation and monitoring of auditors and technical / legal experts

2 SCOPE

2.1 Applicable to

- Personnel engaged in managing and operating certification activities
- Auditors, Audit Team Leaders and Technical / Legal Experts covering internal and external sources engaged for Audit of organizations as per the applicable schemes for initial Audit and ongoing monitoring of performance.

3 RESPONSIBILITY

3.1 Head-QA is responsible for compliance of this procedure.

4 PROCEDURE

4.1 COC and Head-QA have the requisite competence and have the responsibility to manage and coordinate for operation of TQ Cert activities for the type and range of audit programs and for other CB activities.

4.1.1 Head - QA also has the responsibility and authority for

- Identifying the resources required and obtaining such resources e.g. auditors from internal sources or from external sources and experts (technical and legal)
- Identifying the training needs and organizing training
- Evaluation of auditors, audit team leaders, technical and legal experts, directly or with the assistance of competent personnel.
- Evaluation of audit reports prior to recommendation to COC, when Head - QA is not part of audit team.



- 4.1.2 Initial Competency Analysis for determining the competence criteria for personnel performing certification functions is as follows:
- 4.1.3 Identification of technical areas is carried out. Knowledge and skills required for each technical area and each management system to address the above are considered to determine the competence criteria.
- Refer Annexure III
 - Analysis of each product / service / process in each technical area is carried out to identify the requirements as per the required scheme.
 - The output of the above analysis is presented in Competency Matrix and is used to evaluate auditors and other personnel performing certification functions.
- 4.2 The competence required for TQ Cert personnel involved in the certification process is documented in Annexure III. This includes personnel involved in reviewing the application and audit reports and in making decisions on granting, maintaining, renewing, extending, reducing, suspending or withdrawing certification. A list of personnel meeting the requisite competence is maintained by Head - QA.
- 4.3 TQ Cert has adequate resources to cover all its activities to handle the volume of audit work to be performed. Outsourcing, will be done as per the procedure documented QMS P24. This includes auditors, audit team leaders, technical and legal experts and for office management. Head - QA identifies any need for resources, obtains approvals from COC and arranges for the same.
- 4.4 The duties, responsibilities and authorities as applicable are documented in Annexure -II and communicated to all by Head - QA.
- 4.5 The selection and training of personnel is documented in QMS-P05. Head - QA identifies the need for training based on the following
- For enhancing knowledge or skills
 - For future scopes
 - Performance monitoring
- 4.6 Head - QA arranges for training of CB personnel utilizing internal / external resources to improve the competence of CB personnel in their functions.



4.7 Records of qualification, experience and training provided are maintained by Head - QA.

5 SELECTION OF AUDITORS AND TECHNICAL EXPERTS

5.1 Competence requirements for the auditors, team leaders and experts are detailed in Annexure-III. Methods for evaluation of these personnel are given in Annexure-IV.

5.2 Personnel from external sources for empanelment as auditors or experts - Initial Evaluation

CV is obtained and verified against criteria specified in Annexure-III

For Auditors

- Educational qualifications and work experience
- successfully completed and Qualified as an auditor from an accredited agency
- Knowledge in specific technical areas (Annexure III)as per the scheme requirements
- Initial evaluation before empanelling as an auditor as specified in Annexure - IV

For Experts

- Educational qualifications and work experience
- Involvement in type of processes, products as Technical experts
- Knowledge in Technical areas identified in Annexure III

On satisfactory verification of the above, the auditors/experts are empanelled. It is ensured that the auditors/experts sign the contract agreement (format QMS F 33) scope sector competence matrix is updated accordingly.

5.3 TQ Cert – Personnel

If already qualified as an auditor, criteria for selection as auditor or team leader is as per Annexure-III. Criteria is same as stated above for technical or legal experts

For new resources – Initial, provisional auditor to auditor and from auditor to Lead Auditor

- In order to induct and develop additional resources for audits, personnel with requisite qualifications and experience are identified and deputed for training as lead auditor in their respective schemes by an accredited agency.



- Upon successful completion of training, these auditors participate in audits as provisional auditor to complete the required Man days as specified in Annexure -III
- The first audit by provisional auditor is witnessed on site as specified in Annexure - III and IV and upon successful completion, the provisional auditor can continue as auditor. Auditors are made team leaders based on their work experience.

5.4 If any observations are made during witness or during report scrutiny, actions are taken accordingly to improve the effectiveness of the auditors.

5.5 Auditors, team leaders, technical and legal experts are evaluated and reevaluated and their performance monitored to demonstrate knowledge, skills in effective auditing in their respective technical areas, as documented in as Annexure-IV. Head - QA ensures that auditors and experts as applicable with the requisite competence only are employed for auditing or involved in certification activities.

5.6 Head - QA ensures that the auditors and where needed experts are knowledgeable in its auditing process, certification requirements and any others as applicable. The relevant documents e.g. Quality manual, procedures, forms, any system supplements etc. are made accessible to auditors and experts. These manuals, procedures, supplements and forms are kept up to date.

5.7 All external auditors and technical / legal experts are required to sign an agreement. This agreement covers aspects related to compliance to TQ Cert policies and procedures, confidentiality, independence from commercial and other interests and disclosure of any associations or interest or conflicting situations that exist or can arise.

5.8 Head - QA is responsible for selection of the audit team interacting with the client and team members and communication to client regarding the team constitution.

5.8.1 Criteria for selection of auditors

Guidance is provided to the auditors through work instructions, interactions by providing access to publications etc. A technical or legal expert may be included in the team where the team competence is considered inadequate.

- Refer Annexure III and Competency Matrix

5.8.2 Procedure for Selection of team for a specific audit – for initial, Surveillance and renewal.

- Competence of the auditors/Team leaders/technical experts in the relevant technical area is considered for selection of the team for a specific audit. The initial competency analysis forms the basis of team selections.



- Head - QA ensures that the collective competence of the audit team is sufficient
- to achieve the audit objectives
- Team constitution is communicated to the client and to the team leader. If client has any objection to any of the team members it will be resolved with the client as appropriate.

6 PERFORMANCE MONITORING – ON GOING EVALUATION

6.1 Auditors and experts are monitored for their performance by a competent person nominated by Head - QA. The monitoring is carried out with minimum disturbance from client's activities and to the certification process.

6.2 The above monitoring procedure includes the following.

- On-site observation
- Review of audit reports
- Feedback from clients/market.

6.3 Performance of each auditor on-site is monitored once in 3 years by a competent expert nominated by Head - QA

6.4 Gaps in knowledge/skills of Certification personnel are identified on the basis of above feedback/monitoring and training needs are identified.

7 RECORDS

Head - QA maintains up-to-date records of the following for all CB personnel involved in performing audits and certification, management and administration of certification activities.

- Qualifications
- Training and experience
- Affiliations and professional status
- Competence
- Any consultancy services provided



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REFERENCES

- Procedure for Recruitment and Training - QMS-P05
- Procedure for outsourcing - QMS-P24



ANNEXURE – 1

Competence Requirements – Management, Operational and Administrative Personnel

Sl. No.	Title / Designation	Requirements
1.	Director	Qualification Degree in Business Administration Experience 10 years in managing various business
2.	Chief of Certification (COC)	Qualification Degree in Engineering. Experience Minimum 10 years work experience in manufacturing or quality control / assurance or engineering or Quality management system.
3.	Head Finance	Qualification Chartered Accountant or ICWA Experience Minimum 5 years' experience in finance related activities
4.	Head - QA	Qualification : Degree in Engineering. Experience : Minimum 5 years' experience which includes 2 years in the operation of Quality Assurance / Quality Control. Successfully completed Lead Auditor course.
5.	Contract Executive	Qualification : Degree in Science or Engineering or any education. Experience : Minimum 2 years' experience for graduates and minimum 10 years for others , preferably exposure in the field of preparing, maintaining contract agreements and other documents.
6.	Administrative personnel	Qualification : Degree in any discipline Experience : Minimum 3 years' experience relates to preparing various documents on computer with Windows packages, managing E-mails and maintaining records and documents.



7.	Personnel nominated for review of application and reports – initial ,surveillance , renewal, follow up , and for suspension or withdrawal	Knowledge requirements as per relevant scheme Annexure III
8.	Auditors nominated for monitoring on-site performance	1.Must be qualified auditor 2. Competent for the specific technical area as per initial competency analysis 3.Knowledge in their specific technical areas as per their scheme requirements (Refer Annexure III) .
9.	Scheme Manager	1. Must be qualified auditor in the respective scheme 2. Refer Annex-III



**Annexure – II
Duties, Responsibilities and Authorities**

Activity	Duty	Responsible	Has authority
At HO			
Development of management System documentation	Head QA	Head QA	
Approval of system documentation Quality Manual Lev -1	Head QA	Head QA	COC
Approval of system documentation	Head QA	Head QA	COC
Communication of documents / access to be provided	Head QA	Head QA	Head QA
Communication to clients regarding CB activities	CE	CE	CE
Contract review and processing for certification	CE	CE	
Approval of contract	CE	CE	COC
Interaction with the client for deciding dates for audit – initial , surveillance and renewal and any follow up activities required	Head QA	Head QA	Head QA
Decision on team selection (for all audits) including use of expert – Technical / legal	Head QA	Head QA	Head QA
Communication of team constitution to client and any activities to be specifically covered	Head QA	Head QA	Head QA
Communication to team for carrying out audit	Head QA	Head QA	Head QA
Training needs identification and organizing training	Head QA	Head QA	COC
Review of report for the audits carried out for adequacy	Head QA	Head QA	Head QA
Decision on grant of certificate	Head QA	COC	COC
Issue of certificate	Head QA	Head QA	Head QA
Resolution of complaints / appeals	Head QA	Head QA	COC
Maintaining directory of certified organizations	Head QA	Head QA	Head QA
Initiation of audit process			
Interaction with client for obtaining documentation and review	TL	TL	TL
Communication of documents	Head QA	Head QA	Head QA
Preparation of audit schedule and communication to team members and client	TL	TL	TL
On site activities			
Conduct of audit as specified in procedures	Team	Team	Team
Revision of schedule due to specific reasons	TL	TL	TL
Report preparation and resolution of NCs reported	Team	Team	TL
Submission of audit report to client	TL	TL	TL
Recommendation for grant or resolution of NCs by objective evidence or for follow up or total re-audit	Team	TL	TL



Activity	Duty	Responsible	Has authority
Experts			
Assisting auditor on technical matters	Expert	Auditor	Auditor
Assisting auditor on legal compliance	Expert	Auditor	TL
Auditors			
Keeping abreast with changes and maintain competence	Auditor	Auditor	



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Annexure - III A
Competence Requirements for Conducting FSMS Audits



Role	Education	Work Experience	Training	Audit Experience	Competence (Knowledge and Skills)
Provisional Auditors	a. post-secondary education that includes general microbiology and general chemistry or b. a post-secondary education that includes courses in the food chain industry category in which they conduct FSMS audits.	a. Minimum of five years of full-time work experience in the food-chain-related industry, including at least two years of work in quality assurance or food safety functions within food production or manufacturing, retailing, inspection or enforcement, or the equivalent. Note -The number of years of total work experience may be reduced by one year if the auditor	Successfully completed training in a) HACCP principles, hazard assessment and hazard analysis, and b) food safety management principles including PRPs. c) audit techniques based on ISO 19011, and d) relevant FSMS standards (e.g. ISO 22000).	to perform at least twelve FSMS audit days in at least four organizations under the leadership of a qualified auditor (within the last three years) NOTE FSMS audit days include audit days dealing with ISO 9001 in the food industry or other FSMS audits.	Ability to identify relevant to food chain category(ies); — PRP; — food safety hazards; Ability to apply the application review requirements in ISO/IEC 17021, this Technical Specification, specific scheme rules and certification body procedures, including: — multisite sampling requirements and their application; — audit duration requirements and their application; — evaluate number of applicable HACCP studies; — ability to categorize an organization into a food category Ability to determine if there are: — any specific seasonality



		has completed appropriate post-secondary education.			<p>factors related to the organization and its food category or products;</p> <ul style="list-style-type: none">— specific cultural and social customs related to the categories and geographic areas to be assessed;— specific factors required to audit the FSMS, food product, process or service. <p>Ability to identify the competence required for the audit team, in accordance with this table and certification body procedures.</p> <p>Ability to identify:</p> <ul style="list-style-type: none">— food-borne microbiological hazards;— chemical hazards;— physical hazards;— allergens;— food safety labelling requirements;— food safety regulations that are relevant to the food chain category and their recognized
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					<p>control mechanisms. Ability to evaluate the organization's capacity to identify and meet applicable (country of production/country of destination) food safety regulation and labelling requirements</p>
<p>Auditor</p>				<p>For maintaining the qualification of the auditor, auditors have performed either – a minimum of five external audits per year, including at least two FSMS audits, or – a minimum of four FSMS on-site external audits or ten FSMS audit days per year.</p>	<p>Ability to identify relevant to food chain category(ies): — PRP; — food safety hazards;</p> <p>Ability to apply the application review requirements in ISO/IEC 17021, this Technical Specification, specific scheme rules and certification body procedures, including: — multisite sampling requirements and their application; — audit duration requirements and their application; — evaluate number of applicable HACCP studies;</p>



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					<p>— ability to categorize an organization into a food category</p> <p>Ability to determine if there are: — any specific seasonality factors related to the organization and its food category or products; — specific cultural and social customs related to the categories and geographic areas to be assessed; — specific factors required to audit the FSMS, food product, process or service.</p> <p>Ability to identify the competence required for the audit team, in accordance with this table and certification body procedures.</p> <p>Ability to identify: — food-borne microbiological hazards; — chemical hazards; — physical hazards;</p>
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					<p>— allergens; — food safety labelling requirements; — food safety regulations that are relevant to the food chain category and their recognized control mechanisms. Ability to evaluate the organization's capacity to identify and meet applicable (country of production/country of destination) food safety regulation and labelling requirements</p>
Lead Auditor				<p>Two year experience in Scheme and Minimum 15 mandays of Audit</p>	<p>Ability to identify relevant to food chain category(ies): — PRP; — food safety hazards;</p> <p>Ability to apply the application review requirements in ISO/IEC 17021, this Technical Specification, specific scheme rules and certification body procedures, including: — multisite sampling requirements</p>



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					<p>and their application; — audit duration requirements and their application; — evaluate number of applicable HACCP studies; — ability to categorize an organization into a food category</p> <p>Ability to determine if there are: — any specific seasonality factors related to the organization and its food category or products; — specific cultural and social customs related to the categories and geographic areas to be assessed; — specific factors required to audit the FSMS, food product, process or service.</p> <p>Ability to identify the competence required for the audit team, in accordance with this table and certification body</p>
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					<p>procedures.</p> <p>Ability to identify: — food-borne microbiological hazards; — chemical hazards; — physical hazards; — allergens; — food safety labelling requirements; — food safety regulations that are relevant to the food chain category and their recognized control mechanisms.</p> <p>Ability to evaluate the organization's capacity to identify and meet applicable (country of production/country of destination) food safety regulation and labelling requirements</p>
Contract Executive	Should have the knowledge corresponding to a secondary education	Refer Annexure 1		It is not mandatory for personnel carrying out contract review to have or to maintain audit experience.	<p>Ability to identify relevant to food chain category(ies) :</p> <p>PRP; food safety hazards;</p>



					<p>legal requirements ;</p> <p>Ability to determine if there are: any specific seasonality factors related to the organization and its food category or products; specific cultural and social customs related to the categories and geographic areas to be assessed; specific factors required to audit the FSMS, food product, process or service</p>
Reg Committee Member (Audit Report Reviewer)	education, food safety training, audit training and work experience as required for an auditor in the specific category			It is not required for personnel reviewing reports to maintain audit experience	<p>Ability to identify relevant to food chain category(ies): — PRP; — food safety hazards;</p> <p>Ability to apply the application review requirements in ISO/IEC 17021, this Technical</p>



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Specification, specific scheme rules and certification body procedures, including:
— multisite sampling requirements and their application;
— audit duration requirements and their application;
— evaluate number of applicable HACCP studies;
— ability to categorize an organization into a food category

Ability to determine if there are:
— any specific seasonality factors related to the organization and its food category or products;
— specific cultural and social customs related to the categories and geographic areas to be assessed;
— specific factors required to audit the FSMS, food product, process or service.



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			<p>Ability to identify the competence required for the audit team, in accordance with this table and certification body procedures.</p> <p>Ability to identify: — food-borne microbiological hazards; — chemical hazards; — physical hazards; — allergens; — food safety labelling requirements; — food safety regulations that are relevant to the food chain category and their recognized control mechanisms.</p> <p>Ability to evaluate the organization's capacity to identify and meet applicable (country of production/country of destination) food safety regulation and labelling requirements</p>
COC	education, food safety training, audit training and work experience as required for an auditor in one category	It is not mandatory for personnel granting	Ability to determine if there are: — any specific seasonality



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certification to
have or to
maintain audit
experience

factors related
to the
organization
and its food
category or
products;
— specific
cultural and
social customs
related to the
categories
and geographic
areas to be
assessed;
— specific
factors
required to
audit the FSMS,
food product,
process or
service.

Ability to
identify
relevant to
food chain
category(ies):
— PRP;
— food safety
hazards;
— legal
requirements;

Ability to apply
the application
review
requirements
in ISO/IEC
17021, this
Technical
Specification,
specific
scheme rules
and
certification
body
procedures,
including:
— multisite
sampling
requirements
and their
application;



			<ul style="list-style-type: none"> — audit duration requirements and their application; — evaluate number of applicable HACCP studies; — ability to categorize an organization into a food category and subcategory;
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For extension to a new category, the certification body shall demonstrate that the auditor has the required competences through relevant education, food-safety-related training in the new category, and either

- six months of work experience in the new category, or
- four FSMS audits under the supervision of a qualified auditor in the new category.

<p>Technical Experts</p>	<p>a.Should have work experience in their technical area. b. Should able to demonstrate the ability to provide expertise in their technical area. C. have the knowledge corresponding to a postsecondary education in the food chain industry sector being audited, in the processes being audited Knowledge about the food safety hazards in the applicable sector</p>	<p>Not required to have any audit experience</p>	<p>Ability to identify relevant to food chain category(ies):</p> <ul style="list-style-type: none"> — PRP; — food safety hazards; <p>Ability to apply the application review requirements in ISO/IEC 17021, this Technical Specification, specific scheme rules and certification body procedures, including:</p> <ul style="list-style-type: none"> — multisite sampling requirements and their application; — audit duration requirements
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and their application;
— evaluate number of applicable HACCP studies;
— ability to categorize an organization into a food category

Ability to determine if there are:
— any specific seasonality factors related to the organization and its food category or products;
— specific cultural and social customs related to the categories and geographic areas to be assessed;
— specific factors required to audit the FSMS, food product, process or service.

Ability to identify the competence required for the audit team, in accordance with this table and certification body procedures.

Ability to identify:



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			<ul style="list-style-type: none"> — food-borne microbiological hazards; — chemical hazards; — physical hazards; — allergens; — food safety labelling requirements; — food safety regulations that are relevant to the food chain category and their recognized control mechanisms. Ability to evaluate the organization's capacity to identify and meet applicable (country of production/country of destination) food safety regulation and labelling requirements
<p>Knowledge and Skills</p>	<p>For all the Role stated above, Knowledge in specific technical areas (QMS-P06B)as per requirements -Generic Knowledge &skills required as per table A.1 (ISO 17021:2015)</p>		

Annexure A – QMS-P06A Food Chain Categories

Annexure B – QMS-P06B Knowledge Requirements for Food Chain Categories



**Annexure-III B
Competence Requirements for Conducting BHC Audits**

Role	Education	Work Experience	Training	Audit Experience
Provisional Auditor	a. post-secondary education that includes general microbiology and general chemistry or b. a post-secondary education that includes courses in the food chain industry category in which they conduct FSMS audits.	a. Minimum of five years of full-time work experience in the food-chain-related industry, including at least two years of work in quality assurance or food safety functions within food production or manufacturing, retailing, inspection or enforcement, or the equivalent. Note -The number of years of total work experience may be reduced by one year if the auditor has completed appropriate post-secondary education.	1. Successfully completed training in a) HACCP principles, hazard assessment and hazard analysis, and b) food safety management principles including PRPs. c) audit techniques based on ISO 19011, and d) relevant food safety standards (e.g. ISO 22000) 2. Knowledge in preparation/serving of food or knowledge in food safety of Hospitality Industry	Minimum number of completion of 10 mandays of assessment against any recognised food safety standards
Auditor				Minimum 2 mandays of Audit in a year to maintain the qualification
Lead Auditor				Two year experience in Scheme and Minimum 10 mandays of Audit
Contract Executive				It is not mandatory for personnel carrying out contract review to have or to maintain audit experience.
Reg Committee Member (Audit Report Reviewer)				It is not required for personnel reviewing reports to maintain audit experience
COC				It is not mandatory for personnel granting certification to have or to maintain audit experience



**Annexure-III C
Competence Requirements for Conducting Ayush Audits**

Role	Education	Work Experience	Training	Audit Experience
Provisional Auditor	at least post-secondary education in any stream of science relevant to AYUSH, and knowledge of - basic processes, - good manufacturing and hygienic conditions in the production and testing of AYUSH products	The evaluator shall have at least 5 years of full time post qualification experience in Ayush stream of industry, including at least two years of work in quality assurance within manufacturing, retailing, inspection or enforcement, or the equivalent.	successfully completed training in audit techniques based on ISO 19011	within the last three years, the evaluator has performed at least 12 mandays of Ayush evaluation in at least 4 organizations for Ayush product certification as an observer/trainee, under the leadership of a qualified Evaluator, and this demonstration has met with acceptance of the qualified Evaluator.
Auditor	- WHO Guidelines relating to Ayush - Permissible level of Contaminants	Note - The number of years of total work experience may be reduced by one year if the evaluator has completed appropriate post graduate education in the concerned stream of Ayush.		For maintaining the qualification of the evaluator, the certification body shall ensure that evaluators have performed a minimum of 4 Ayush evaluation mandays per year.
Reg Committee Member (Audit Report Reviewer)				It is not required for personnel reviewing reports to maintain audit experience
COC	The personnel performing the certification decision shall be qualified for their understanding of the certification criteria, certification scheme, regulatory requirements, and their ability to correctly grant or expand the scope of certification (if a scope of certification is used) on the basis that the evaluation activities, information and			



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results are a demonstration of fulfilment of requirements of the certification criteria in accordance with the certification scheme.

Contract Executive

The personnel performing the application review shall be qualified for their understanding of the certification criteria, evaluation methods and the certification scheme.

Technical Experts

shall have the same education and work experience as the evaluator but mat not have audit/evaluation training or experience.

Initially, the certification body may use ISO 9001/ISO 22000 auditors or product certification evaluators as evaluators and experience in GMP/GHP auditing/evaluation in the areas of pharmaceutical or food sector. Whenever such evaluators are used, the evaluation team shall be supplemented by a technical expert.



**Annexure-III D
Competence Requirements for Conducting Global GAP Option-1 Audits**

Role	Education	Work Experience	Training	Audit Experience
Provisional Auditors	Atleast a post high school diploma or equivalent (minimum course duration of 2 years) in discipline related to the scope of Certification	Minimum of 2 Years experience in agricultural industry	a) One Day Practical Inspection Course setting out basic principles of Inspection b) Training in HACCP Principles either as a part of formal qualifications or by the successful completion of a formal course based on the principles of Codex Alimentarius c) Food Hygiene training either as a part of formal qualification or by successful completion of a formal course d) Global GAP online Training, with the successful completion of all online tests and its updates within 3 months after its release on the inspectors language e) For Crop Scope - Plant Protection, fertilizer and IPM Training either as part of formal qualifications, or by the successful completion of a formal course f) other scopes - Refer Global GAP General Regulations edition V4.0-2, March 2013	Internal Procedures
Inspector				to maintain qualification - conducts at least 5 inspections/audits or 10 inspection/audit days, at a number of different producers
Reg Committee Member (Audit Report Reviewer)				It is not required for personnel reviewing reports to maintain audit experience
COC				It is not mandatory for personnel granting certification to have or to maintain audit experience
Contract Executive	The personnel performing the application review shall be qualified for their understanding of the certification criteria, evaluation methods and the certification scheme.			

For scope extension to a new category, proof of a formal course of production practices and sub scope/group specific working experience (i.e.: 1 year working experience or 10 days witness assessments) are required



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Chain of Custody (CoC) - all inspectors who are set to inspect subsequent post-harvest handling against the GG Coc std must be registered as GG online trainees and pass the CoC online exam

In House Trainer – Must attend the Global GAP CB In-House Trainer Training for each scope and pass the exam for each sub-scope the CB issues or plans to issue certificate. The person who attends must comply with atleast inspector qualification requirements for the respective sub-scope. The Training and exam must be repeated for each new standard version. In case of change in personnel the new in-house trainer shall complete the required training within 3 months. If this is not feasible the new person shall register at least within 3 months for an upcoming course.



Annexure-III E
Competence Requirements for Conducting Global GAP Option-2Audits

Role	Education	Work Experience	Training	Audit Experience
Provisional Auditors	Atleast a post high school diploma or equivalent (minimum course duration of 2 years) in discipline related to the scope of Certification	Minimum of 2 Years experience in agricultural industry For CFM, 3 years working experience is required in feed, nutrition or food industry	a) Practical Auditing Experience of minimum 10 days in management systems, eg ISO9K, 14K, 22K, 18K. This does not include witnessing or observing of audits, but includes being witnessed or observed as auditor in training. b). Successful completion of lead assessor training based on 19011 a) Training in HACCP Principles either as a part of formal qualifications or by the successful completion of a formal course based on the principles of Codex Alimentarius c) Food Hygiene training either as a part of formal qualification or by successful completion of a formal course for the Integrated Farm Assurance Standard and Compound Feed Manufacturing Standard d) Global GAP online	Internal Procedures
Inspector				to maintain qualification - conducts at least 5 inspections/audits or 10 inspection/audit days, at a number of different producers
Rag Committee Member (Audit Report Reviewer)				It is not required for personnel reviewing reports to maintain audit experience



<p>COC</p>			<p>Training, with the successful completion of all online tests and its updates within 3 months after its release on the inspectors language e) For Crop Scope - Plant Protection, fertilizer and IPM Training either as part of formal qualifications, or by the successful completion of a formal course f) other scopes - Refer Global GAP General Regulations edition V4.0-2, March 2013</p>	<p>It is not mandatory for personnel granting certification to have or to maintain audit experience</p>
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<p>Contract Executive</p>	<p>The personnel performing the application review shall be qualified for their understanding of the certification criteria, evaluation methods and the certification scheme.</p>
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For scope extension to a new category, proof of a formal course of production practices and sub scope/group specific working experience (i.e.: 1 year working experience or 10 days witness assessments) are required

In House Trainer – Must attend the Global GAP CB In-House Trainer Training for each scope and pass the exam for each sub-scope the CB issues or plans to issue certificate. The person who attends must comply with atleast inspector qualification requirements for the respective sub-scope. The Training and exam must be repeated for each new standard version. In case of change in personnel the new in-house trainer shall complete the required training within 3 months. If this is not feasible the new person shall register at least within 3 months for an upcoming course.



Annexure - III (A)

**COMPETENCE REQUIREMENTS FOR AUDITORS AND AUDIT TEAM LEADER
FOR CONDUCTING QMS AUDITS**

S.No	Parameter	Auditor QMS	Audit Team Leader
1	Education	As per FSMS AN-1	Same as for Auditor
2	Experience	As per FSMS AN-1	Same as for Auditor
3	Work experience in QC/QA/QMS	As per FSMS AN-1	Same as for Auditor
4	Auditor Training	24 hours of specific training (Note 3) in ISO 9001: 2000/2008 and upgraded IOS 9001:2015 or Lead auditor course in ISO 9001: 2015	Same as for Auditor
5	Audit Experience	5 Days of auditing in vendor assessments, plant approval scheme, TPL internal audit (or) warehouse audits. The audits should be completed in the last 3 consecutive years.	1 complete audit for a total of at least 2 days under the guidance of an audit team leader. (Note 1) The audits completed within the last 2 consecutive years to be considered.
6	Personal attributes	To possess the personal attributes such as ethical, open minded, diplomatic, collaborative, observant, perceptive, versatile, tenacious, decisive, self-reliant, professional, morally courageous and organized.	
7	Knowledge and Skills	Knowledge in specific technical areas (FSMS AN-1) as per requirements such as: -Generic Knowledge & skills required as per table A.1 (ISO 17021:2015) -Requirements for QMS auditing as per table A.1 (ISO/IEC TS17021-3 :2013)	



8	Maintenance of Auditing ability	Auditors to maintain the auditing ability by regular participation in audits of quality Management Systems. Auditors to be abreast with the latest changes and revisions in the relevant standard
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Note 1: A complete audit is an audit to cover all steps as (i) document review (ii) Preparing for On-site audit (iii) Conducting onsite audit (iv) Reporting

Note 2: Auditors/ lead auditors of other CBs or IRCA registered and having audited in past three years & fulfilling requirements of CBF46 are used in audits of TQ Cert .

Note 3: If the auditor has training in QMS, EMS & OHSMS total 40 hrs. Training is adequate.



Annexure-IV A
Initial Evaluation of Auditor and Audit Team Leader

S.No	Evaluation Method	Objective
A	Selection	
1	Review of Records (Qualification ,Experience, Assessment training, audit log sheets etc.,)	To verify that the requirements are met as per Annexure– III (Ref: FSMS-F04)
2	Interview if required (direct interaction or telephonic)	To evaluate knowledge, skills and interpersonal skills.
B	Evaluation	
1	Observation (Witness of audits, on the job performance)	To evaluate personal attributes and the ability to apply knowledge and skills.
2	Review of audit report (Verify the report to confirm that elements of the standard are addressed with logical conclusions)	To evaluate the competency for the specific technical areas.
3	Feedback – positive / negative (Discussions with audited organizations, colleagues, surveys, complaints etc.)	To ascertain the perceived performance of the auditor.

Ongoing Evaluation of Auditor and Audit Team Leader and Experts

S.No	Evaluation Method	Objective
A	Evaluation	
1	Observation (Witness of audits, on the job performance)	To evaluate personal attributes and the ability to apply knowledge and skills. Frequency – at least once in 3 years
2	Review of audit report (Verify the report to confirm that elements of the standard are addressed with logical conclusions)	To evaluate the competency



**Annexure-IV B
Frequency of Witnessing**

Auditor Status	Requirement	On job Training/ Witness	Frequency	Responsibility
Candidate Assessors before qualification.	Initial Qualification/ Approval as per the scheme requirement or as documented TQ Cert	1) On job training through one assessment observation	Not Applicable	Witnessing Assessor
		2) One successful completion of assessment by the candidate assessor under the supervision of the witnessing assessor.	Not Applicable	Witnessing Assessor
Qualified Assessors	Maintenance of status and scheme specific sector scopes	One assessment witness by the Witnessing assessor(NABCB/TQ Cert) and review of one audit report.	Once in 3 years	Witnessing Assessor
Qualified Assessors	Extension of Scheme Scope	Either any one or all of the following: 1) On job training through one assessment observation for the proposed scope extension	One assessment under observation and one successful witness audit.	Witnessing Assessor
		2) One successful completion of assessment by the candidate assessor under the supervision of the witnessing assessor (NABCB/TQ Cert) for the proposed scope extension.		
Qualified Assessors	Scope extension from Low risk to high risk category	Minimum 6 months of work experience in the new category or four FSMS audits under the supervision of a qualified auditor in the new category.		Qualified TQ Cert auditor for the relevant scope Submission of positive report from the assessor who supervised the



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Auditor Status	Requirement	On job Training/ Witness	Frequency	Responsibility
				conducting of audit.

**Annexure-V
Competence Requirement of Knowledge and Skills**

Competence (knowledge and skills)	Function				
	Application review	Audit team selection	Audit planning activities	Auditing activities	Certification decision
1. Ability to apply the application review requirements in ISO/IEC 17021, this Technical Specification, specific scheme rules and certification body procedures, including: multisite sampling requirements and their application; audit duration requirements and their application; evaluate number of applicable HACCP studies; ability to categorize an organization into a food category and subcategory, in accordance with Annex A.			X	X	X
2. Ability to identify relevant to food chain category(ies): PRP; food safety hazards; legal requirements;	X	X	X	X	X



<p>3. Ability to determine if there are: any specific seasonality factors related to the organization and its food category or products; specific cultural and social customs related to the categories and geographic areas to be assessed; specific factors required to audit the FSMS, food product, process or service.</p>	X	X	X	X	X
<p>4. Ability to identify the competence required for the audit team, in accordance with this table and certification body procedures.</p>		X			
<p>5. Ability to develop an audit plan that ensures: audit team members audit those product and processes that they are technically competent to audit; audit time is optimized; audit objectives defined in this Technical Specification can be realized; specific FSMS scheme requirements are met.</p>			X	X	

It is not expected that the certification decision function requires competence specific to the food chain category.

Competence (knowledge and skills)	Function				
	Application review	Audit team selection	Audit planning activities	Auditing activities	Certification decision
<p>6. Ability to interpret and apply normative documents relevant to the scope of certification sought and the food chain category (see Annex A), e.g. ISO 22000, ISO/TS 22002 and/or other scheme certification standards. Knowledge shall include all normative references and their technical terms and definitions.</p>				X	



7. Ability to identify:
food-borne microbiological hazards;
chemical hazards;
physical hazards;
allergens;
food safety labelling requirements;
food safety regulations
that are relevant to the food chain
category (see Annex A) and their
recognized control mechanisms.
Ability to evaluate the organization's
capacity to identify and meet applicable
(country of production/country of
destination) food safety regulation and
labelling require- ments.

X

a It is not expected that the certification decision function requires competence specific to the food chain category.

Competence (knowledge and skills)	Function				
	Application review	Audit team selection	Audit plan- ning activities	Auditing activities	Certification decision



8. Ability to apply FSMS, HACCP, hazard assessment and hazard analysis principles as interpreted by ISO 22000, in the food chain category, including:
 Food safety policy requirements;
 Hazard analysis methodologies;
 Verification of the effectiveness of hazard analysis;
 FSMS planning requirements;
 The role of customer specification and government regulation as an input into hazard analysis;
 Food safety team formation and function, including competence and authorities required;
 Selection of appropriate control measures;
 Establishment of acceptable limits;
 Validation methodologies;
 Verification measures;
 FSMS updating requirements;
 Food testing methodologies, and the role of laboratory accreditation in providing confidence in laboratory test results;
 Management of non-conforming product;
 Withdrawal and Recall procedures (country of production, country of destination), including any regulatory reporting requirements;
 Calibration requirements for measurement equipment;
 Traceability requirements (e.g. standard, customer, regulatory);
 Communication (internal and external);
 Management responsibility;
 Emergency preparedness;
 Intentional contamination;
 Competence of personnel;
 Training;
 Supplier selection and management;
 Complaints.

X

X

Competence (knowledge and skills)	Function				
	Application review	Audit team selection	Audit planning activities	Auditing activities	Certification decision



<p>9. Ability to apply food chain category and subcategory practices and vocabulary in relation to: Food chain relationships; Best practice with respect to PRP, OPRP, CCP; Common food chain processes; Production technologies and processing terms; Common equipment; Facility design; Packaging types and attributes; Microbiological terms and names; Chemical terms and names; Good laboratory practices; Local terminology.</p>				X	
<p>10. Ability to apply the requirements for reporting in ISO/ IEC 17021 and this Technical Specification, and any CAB and/or FSMS scheme reporting requirements.</p>				X	X
<p>a It is not expected that the certification decision function requires competence specific to the food chain category.</p>					