consumer goods council of south africa

USER GUIDELINES

CONSUMER GOODS COUNCIL OF SOUTH AFRICA-
GLOBAL FOOD SAFETY INITIATIVE GLOBAL MARKETS PROGRAMME

CGCSA-GFSI GLOBAL MARKETS PROGRAMME – USER GUIDELINES

This document provides guidance for the *assessor* to carry out an unaccredited assessment of a *supplier* against the Basic and Intermediate Level Checklists. It also provides guidance for the implementation of the Basic and Intermediate Level food safety requirements to enable suppliers to gradually implement a food safety programme and to enable full certification against a GFSI recognised scheme.

The details in the 'guidance' section of this document are guidelines and any requirement left out is not intentional. It is the responsibility of the supplier to ensure that all legal requirements, relevant to the product(s) are met.

It is recommended that the following supplementary documents are considered and applied by the supplier when implementing the programme:

1. All Acts and Regulations pertaining to the type of food products produced, mandated under the jurisdiction of the Department of Health (DOH), the Department of Agriculture, Forestry and Fisheries (DAFF) and the Department of Trade and Industry (DTI)
2. All applicable Compulsory Specifications enforced by the National Regulator for Compulsory Specifications (NRCS)
3. All food sector applicable standards, including but not limited to the following:
    a) SANS 241-2, SANS 241-1: 1 Drinking water Part 1: Microbiological, physical, aesthetic and chemical determinants and SANS 241-2: Drinking water Part 2: Application of SANS 241-1.
    b) SANS 289 – Labelling requirements for pre-packed products.
    c) SANS documents relevant to a specific product, i.e. SANS 1679 – Pasteurised milk, SAN 1678 – Sterilised milk, SANS 1735 – Cheese and processed cheese products – Determination of fat content, SANS 885 – Processed meat products, SANS 1875 – Edible oils, SANS 449 – Manufacture of soft drinks and concentrates, SANS 1199 – Production of mageu, etc.
    d) SANS 10049 - Food safety management — Requirements for prerequisite programmes (PRPs)
    e) SANS 10330 - Requirements for a Hazard Analysis and Critical Control Point (HACCP) system
    f) ISO 22000 – Food Safety Management Systems – Requirements for any organization in the food chain
    g) ISO/TS 22002-1 - Prerequisite programmes on food safety Part 1: Food manufacture and/or parts of ISO/TS 22002 relevant to the specific food sector
    h) PAS 96 - Defending Food and Drink.

Definitions	
Allergen Control Programme	A programme for the identification and control of allergenic ingredients and for the prevention of allergen cross-contamination, at every stage of the manufacturing process, from harvesting through to packaging and retailing (R146)
Batch	A definite quantity of a commodity produced essentially under the same conditions, not exceeding 24hrs (R146)
Calibration	An operation, that under specified conditions in a first step, establishes a relation between the quantity values with measurement uncertainties provided by measurement standards and corresponding indications with associated measurement uncertainties and, in a second step, uses this information to establish a relation for obtaining a measurement result from an indication
Certificate of Acceptability (CoA)	CoA is a legal document issued after an inspection of the facility has taken place and the relevant health official is satisfied that the facility is fit to handle foodstuffs
Cleaning	The removal of soil, food residue, dirt, grease or other objectionable matter (Codex)
Competent Person	A person who is capable, experienced, knowledgeable and/or received the relevant training
Corrective Action	Action to eliminate ***the cause*** of a detected nonconformity or other undesirable situation
Contaminant	Any biological or chemical agent, foreign matter, or other substances not intentionally added to food which may compromise food safety or suitability (Codex)
Contamination	Occurrence of any undesirable matter in food or in the food environment from a contaminating source which can be physical, chemical, biological or allergenic (SANS 10049)
Critical Control Points (CCPs)	A point or step at which control can be applied and is essential to prevent or eliminate a food safety hazard or reduce it to an acceptable level
Critical Equipment	All equipment or technical systems, in case of malfunction or failure can lead to a food safety nonconforming situation
Critical Limit	A criterion which separates acceptability from unacceptability
Disinfection	The reduction, by means of chemical agents and/or physical methods, of the number of micro-organisms in the environment, to a level that does not compromise food safety or suitability (Codex)
Evidence	To make clear or demonstrate or provide proof, therefore evidence is the availability of records that demonstrate that a successful traceability exercise is tested annually
Food allergen	Any substance that causes an allergic or other adverse immune response (R146)
Food Safety	Food which will not harm the consumer so long as intended use guidelines are followed when it is prepared or eaten (ISO 22000)
Food Safety Policy	'Statement of commitment' or 'Pledge' or 'Promise' or 'Obligation'
Food Safety Hazard	Biological, chemical or physical agent in food, or condition of food, with the potential to cause an adverse health effect (SANS 10049)
Hazard Analysis	Is the process used by the HACCP team to determine which potential hazards present a significant health risk to consumers
Hazard Analysis Critical Control Point (HACCP)	HACCP is a methodology used to identify, prevent, and control food safety hazards. (ISO 22000/SANS 10330)
Hazard Identification	The identification of biological, chemical, and physical agents capable of causing adverse health effects and which may be present in a particular food or group of foods (Codex)

Definitions	
Incident	An event that occurred that may result in the production or supply of unsafe, illegal or non-conforming products.
Monitoring	The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a CCP is under control
Non-Conforming Products	Food product produced during a loss of control that necessitates a correction, it includes all products back to the last valid determination that the process was under control.
Pest	Is an animal which is capable of contaminating food directly or indirectly, rats, mice, insects (cockroaches, flies, ants), stored products pests (larder beetles, weevils, flour moths), reptiles (lizards), birds, animals attached by pests (cats & dogs)
Procedure	A way of carrying out a process or activity
Process	A set of activities that uses resources to transform inputs into outputs. Essentially, a process describes the way things get done
Qualified person	Someone who is competent, capable, experienced, knowledgeable and may or may not have a formal qualification
Rework	Clean, unadulterated food intended for consumption that has been removed from processing for reasons other than insanitary conditions or that has been successfully reconditioned by reprocessing and that is suitable for use as food.
Risk Assessment	A scientifically based process consisting of the following steps: (I) hazard identification, (ii) hazard characterization, (iii) exposure assessment, and (iv) risk characterization (Codex)
Specification	A document that explicitly states essential technical attributes/requirements for a product and procedures to determine that the product's performance meets its requirements/attributes
Traceability system	A system that enables the identification of product batches, in relation to batches of incoming materials, processes and distribution
Training	Refers to the acquisition of knowledge and skills, as a result of the teaching of vocational or practical skills and knowledge that relate to specific useful competencies
Validation	Obtaining evidence through the provision of objective evidence that a control measure if properly implemented is capable of a specified outcome
Verification	The application of methods, procedures, tests and other evaluations, in addition to monitoring, to determine compliance with the HACCP plan

Conformity overview

The table below gives a summary of the Basic Level and Intermediate Level requirements which are explained in this document.

Basic Level		Intermediate Level	
A. Food Safety Management Systems		**A. Food Safety Management Systems**	
B.A.1	Specifications including product release		
B.A.2	Traceability	I.A 2	Traceability
B.A.3	Food Safety Incident Management	I.A 3	Food Safety Incident Management
B.A.4	Control of non-conforming product		
B.A.5	Corrective Action		
B.A.6	Management Responsibility	I.A 6	Management Responsibility
B.A.7	Record Keeping Requirements	I.A 7	General Documentation Requirements
B.A.8	Control of Measuring & Monitoring Devices	I.A 8	Control of Measuring & Monitoring Devices
B.A.9	Training	I.A 9	Training
		I.A 10	Procedures
		I.A 11	Complaint Handling
		I.A 12	Product Analysis
		I.A 13	Purchasing
		I.A 14	Supplier Approval and Performance Monitoring
B. Good Manufacturing Practices (GMP)		**B. Good Manufacturing Practices (GMP)**	
B.B 1	Personal Hygiene		
B.B 2	Facility Environment		
B.B 3	Cleaning & Disinfection		
B.B 4	Product Contamination Control		
B.B 5	Pest Control		
B.B 6	Water Quality		
B.B 7	Staff Facilities		
B.B 8	Waste Management		
B.B 9	Storage and Transport	I.B 9	Storage and Transport
		I.B 10	Facility and Equipment Maintenance
C. Control of Food Hazards		**C. Control of Food Hazards**	
B.C 1	Preliminary tasks		
B.C. 2	Control of Allergens		
		I.C 3	HACCP
		I.C 4	Food Defence

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
A. Food Safety Management Systems			
B.A 1	**Specifications including product release**		
The business shall ensure that product specifications are adequate, accurate and ensure compliance with relevant safety, legislative and customer requirements. The business shall prepare and implement appropriate product release procedures.			
B.A 1.1	Are specifications available for all product inputs (raw materials, ingredients, additives, packaging materials, rework) and finished products?	WHAT DOES IT MEAN? a) Specifications on all product ingredients should be appropriate to ensure compliance with relevant safety, legislative and customer requirements. b) Specifications will be managed and controlled by a designated person and should be up-to-date, clear, communicated within the business and with customers to ensure transparency. c) A clear procedure for product release should be documented, communicated and implemented to ensure released product meets the agreed specifications. WHAT DO I NEED TO DO? a) You need to ensure there is an accountable person who is responsible for the control of specifications, which should be up-to-date, appropriate and communicated to relevant people. This person will also manage all changes. b) The specifications for all ingredients should meet relevant safety, legislative and customer requirements and be agreed with each supplier. c) Finished product specifications should be available so that the documented product release procedure ensures the product is either properly released or held back due to being out-of-specification. WHAT WILL THE ASSESSOR DO? The Assessor will: - Discuss the control of specifications with the accountable person. - Check that specifications for all ingredients and finished products are appropriate, clear and ensure conformance with relevant safety, legislation and customer requirements. - Check that the specifications are up-to-date and clearly communicated to relevant people with responsibility for food safety and quality.	• Certificate of Analysis (CoA) and Material Standards Data Sheets (MSDS) should be available for processing aids. • Specifications should be signed off by all relevant parties, if applicable. • Specifications should be current, reviewed at least every three years, or when there are input/ process/ equipment changes. • The date of the last review should be recorded. • Specifications should be available to relevant staff and stored in a location where staff can easily access it.
B.A 1.2	Are the available specifications compliant with relevant safety, legislative and customer requirements?		No additional guidance given.
B.A 1.3	Are specifications up to date, unambiguous and available to relevant staff?		No additional guidance given.
B.A 1.4	Are changes to specifications clearly communicated both internally and externally?		• Changes to any specification (formulation, packaging size, process, labelling etc.) should be communicated internally to all relevant staff (this may be through emails, posting signs or verbally at meetings) and recorded. • Changes to formulations should be communicated externally. • All communication should be recorded.
B.A 1.5	Is there a documented product release procedure in place? Does it effectively ensure that the final product meets the specification?		• A documented program should be in place to ensure that the final product meets specifications (prior to release) • Only authorised persons should be release final product. • Records indicating what tests have been done to release product (visual inspection, laboratory

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		- Discuss the product release procedure with relevant people to ensure that their actions establish effectively whether a finished product is either acceptable or out-of-specification.	tests, batch testing, sensory and shelf life testing) should be in place (CoA) • Stock control of all incoming materials and finished product should be effective. • Records of temperature control, humidity control, etc. should be maintained to verify specification compliance.
B.A 1.6	Is there a designated person with responsibility for controlling specifications?		• A designated person should be responsible for controlling specifications. • All changes made regarding product specifications should be recorded and documented. • Changes should be authorised prior to communication.
B.A 2	**Traceability**		
The business shall establish a traceability system which enables the identification of product lots and their relation to batches of raw materials, primary and final packaging materials, processing and distribution records. Records shall include: • Identification of any out sourced product, ingredient or service. • Records of batches of in process or final product and packaging throughout the production process. • Records of purchaser and delivery destination for all products supplied.			
B.A 2.1	Is a documented traceability system in place for every product that meets regulatory and customer requirements?	WHAT DOES IT MEAN? a) Food manufacturers are obliged to prove to the authorities the source and buyers of the raw materials used to produce each of their products. b) The source and destination of any packaging materials that come into direct contact with the product shall also be proven. WHAT DO I NEED TO DO? a) All locations should have documented procedures to maintain traceability throughout all phases of product conversion from receiving incoming materials through production, packaging and dispatch. This includes hold orders, rework etc. b) Labelling of lots, including those that are partially finished, should be made during actual packing to ensure clear traceability. c) Where goods are also labelled later, there should be specific lot labelling for temporary batches.	• A traceability system should be established which should enable the identification of product batches and their relation to batches of raw materials, primary and consumer unit packaging materials, processing and distribution records. • Staff members responsible for traceability should be competent as they should have undergone sufficient and required training. • A system should be in place to enable a one step forward and one step back approach. • Where rework or any reworking operation is performed, traceability should be maintained Note: • Document/records examples will include ingredients, raw materials, packaging , production (including reworking operations), verification, shelf life, dispatch and transport, etc.

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B.A 2.2	Is the traceability system, including work in progress, post-treatment and rework, fully operational and effective?	d) The batch sizes that are selected depends on your readiness to assume risk in the case of quarantine or a recall. e) Legal and customer requirements can be satisfied if you are able to provide credible, controlled documents as evidence. f) In the event of a product recall you have a duty to inform the authorities and provide complete documentation quickly. WHAT WILL THE ASSESSOR DO? The Assessor will: - Inspect your traceability system expecting to see effective and documented procedures from receipt to dispatch. - Review whether the effectiveness of the system can be proven using documented test runs. - Use current or retained samples to establish whether all responsible persons are delivering traceability procedures. - Look for evidence that there is complete labelling of all batches, partial batches, raw materials, etc.	• The traceability system should be fully functional, effective and demonstrable through an appropriate example.
B.A 2.3	Are records enabling product identification available through all production stages: stock / inventory, work in progress, post processing, rework. Are records available from purchase through production and to immediate destination for all raw materials and packaging materials (primary and final product)?		• A supplier has evidence that the traceability system is tested annually. • Annual test of traceability system reports the percentage recovery of finished product produced and the duration of the traceability test. • The supplier should provide all relevant records (tests, results, production records) to support the traceability system. Note: It is recommended that the supplier also chooses a batch of an ingredient and is able to show a final product batch affected along with traceability back to the supplier.
B.A 2.4	Are there clear labelling procedures that ensure continuous identification of the product through all stages of production and delivery?		• The product and containers through all production stages from beginning to finished products should be clearly identified. • All batch/lot numbers/date codes should be recorded throughout the production process for traceability purposes.
I.A 2	**Traceability**		
The business shall establish a traceability programme which enables the identification of product lots and their relation to batches of raw materials, primary and consumer unit packaging materials, processing and distribution records. The business shall ensure the traceability programme is tested at least annually and updated as necessary. Records shall include • Records of annual testing of the traceability system. • Records of updating the system as applicable.			
I.A 2.5	Is the traceability system tested at least annually? Is the system updated as necessary and records maintained?	WHAT DOES IT MEAN? a) The goal is to test the traceability programme and identify elements which might limit the effectiveness or efficiency of a recall. b) Effective lot identification as a part of a functional traceability programme provides a cornerstone in controlling and minimising both food safety risks and the financial impact of product withdrawals and recalls.	For (a) and (b) it is the food safety team that must meet to assess the traceability system and make necessary changes

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		WHAT DO I NEED TO DO? a) At least annually, simulated recalls are required to ensure that the traceability programme works and testing should include: • Identification of item traced (i.e. ingredient or finished product). • Time for completion and percentage of product traced, according to both regulatory or customer requirements. • Key learnings, gaps, system improvement opportunities. • Receipt and dispatch discrepancy and reconciliation. b) All staff are to be trained in the procedures and improvements that are identified and implemented. c) The results should be summarised and reported to provide evidence of system verification. d) The expectation is that key findings, gaps and improvement opportunities are addressed. WHAT WILL THE ASSESSOR DO? The Assessor will: - Inspect your full traceability programme throughout the assessment process. - Expect that the documents will show a traceable process that is tested systematically. - Review whether the effectiveness can be proven using documented test runs. - Use either current or retained samples to establish whether responsible people are delivering traceability procedures.	

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B.A 3	**Food Safety Incident Management**		
The business shall demonstrate the ability to withdraw and recall affected product, contact relevant customers and maintain records of these incidents.			
B.A 3.1	Can the business withdraw and recall affected product?	WHAT DOES IT MEAN? a) An incident is an event that has occurred which results in the production or supply of unsafe, illegal or non-conforming product. b) A procedure should be defined, implemented and maintained for the management of incidents and of resulting emergency situations that impact food safety, legality and quality. c) This includes as a minimum: The nomination and training of a crisis team, an alert contact list including suppliers and customers, sources of legal advice, the availability of internal contacts and a communication plan that includes information to consumers. WHAT DO I NEED TO DO? a) The feasibility, effectiveness and timeliness of implementation of the withdrawal procedure should be subject to regular internal testing, based on hazard analysis and assessment of associated risks but carried out at least once a year. b) This should be carried out in a manner to ensure the effective implementation and operation of the procedure. c) A person of the business, with the authority to initiate the incident management process, should be permanently available. d) Records to be available: • Product involved, sizes, manufacturing location. • Quantity of product affected. • Details of product affected - codes, lots, pallets, batches. • Production and quality control records. • Quantity distributed and location. e) Updated emergency contact details (such as names and phone numbers of suppliers, customers and competent authorities) should be available. WHAT WILL THE ASSESSOR DO? The Assessor will: - Inspect the relevant process throughout the entire assessment. - Expect when reviewing the documents that you are able to show a documented procedure that fulfils all requirements. - Use current or retained samples to identify whether responsible people are engaged with these procedures.	• Incident management training records should be in place Incident means an event that has occurred that may result in the production or supply of unsafe, illegal or non-conforming product. • A list with contact details, including contact numbers of storage facilities, distribution centres, customers and regulatory authorities should be available and maintained. • It is recommended that after business hours contact details are maintained and • that a deputy or back up person is made responsible for all internal and external communication, should the responsible person be unavailable.
B.A 3.2	Are records of incidents maintained?		• A supplier should provide evidence that they tested the Incident Management System at least once a year, for example by conducting a mock recall. This should include the communication plan to verify contact details. • A supplier should have evidence or records illustrating the following: • all incidents have been reviewed; • the supplier has a procedure in place defining the method to determine the severity of incidents and to determine consumer risk(s). • the severity and consumer risk(s) have been taken into consideration when a final decision has been made i.e. release to retail or destroy. • The corrective action was completed.

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		- Review whether effectiveness of the procedure can be proven using documented test runs.	
I.A 3	**Food Safety Incident Management**		
The business shall have an effective incident management procedure for all products including reporting, communicating with customers, product withdrawal and recall. Records of annual review, testing and verification of the system shall be available.			
I.A 3.3	Is a documented incident management system in place that addresses incident reporting, product withdrawal and product recall?	<u>WHAT DOES IT MEAN?</u> a) An incident is defined as any situation, which, if not properly managed, has the potential to develop into a crisis. b) If a crisis or a incident occurs (e.g. food product contamination, illegal ingredients or negative reporting in the press), it is important that you are able to do the following: • To survey the situation in your business as fast as possible. • To reach all persons (internal and external) who are able to help solve the problem. • To communicate effectively, including making sure that only named representatives speak for the business (note: serious incidents attract the press in no time. Any of your people may be approached for comment). Frequent, clear and accurate communication can pre-empt or reduce the scale or complexity of a crisis. <u>WHAT DO I NEED TO DO?</u> a) There are two stages in defining a threat: first in terms of its severity and imminence, second in terms of its topic. No matter how insignificant an event seems, it could develop into a major, business-threatening crisis if it is ignored. It is important that every incident is treated as a full-blown crisis until you can be certain that it is not. b) To develop, implement and maintain a crisis management procedure to include the following: • Detail about the steps to be taken to manage a crisis. • The nomination and training of a crisis team, an alert contact list, sources of legal advice (if necessary), contacts availability, customer information and a communication plan, including information to your people, customers and consumers. c) Communications is not a tactical option, it's a strategic necessity and a core responsibility of the Crisis Team. Controlling and targeting of information to internal audiences can make or break a crisis.	No additional guidance given.
I.A 3.4	Is an effective communication plan in place with a designated, responsible person identified to provide information to customers, consumers and regulatory authorities?		No additional guidance given.
I.A 3.5	Is the incident management system reviewed, tested and verified at least once a year?		No additional guidance given.
I.A 3.6	Are all incidents recorded and assessed to establish their severity and consumer risk?		No additional guidance given.

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		Colleagues need to be informed and external stakeholders need to be notified and reassured. d) The incident management system should be tested at least annually. It is important that these processes are reviewed, practiced and mastered with a broad base of employees. WHAT WILL THE ASSESSOR DO? The Assessor will: - Check for a procedure that describes the approach to such situations - Review the emergency contact list of all relevant persons. Check it is up to date and available to all that need it. - Interview people to establish that they are aware of their responsibility, at least in part (e.g. when serious process failures occur, instant information to superiors, receipt of serious complaints, and instant information to the crisis team).	
B.A 4	**Control of non-conforming product**		
The business shall ensure that any product which does not conform to requirements is clearly identified and controlled to prevent unintended use or delivery.			
B.A 4.1	Is a documented procedure in place to identify and manage all non-conforming raw materials, product inputs, semi-finished and finished products, processing equipment and packaging materials?	WHAT DOES IT MEAN? a) Standard operating procedures are required to ensure that substandard material or finished product is labelled and controlled so that it does not contaminate other products or get released for sale or consumption. WHAT DO I NEED TO DO? a) Establish and document procedures for the management of non-conforming materials or finished product. b) Ensure that relevant people understand the procedure and that there are defined responsibilities for making decisions about the use or disposal of non-conforming product, as appropriate to the issue. c) These procedures would include reporting, labelling, isolation, disposal and corrective actions. WHAT WILL THE ASSESSOR DO? The Assessor will: - Review documents and compare records to establish that procedures exist and are followed when appropriate. - Look for evidence that non-conforming product is effectively identified and segregated pending decisions on use or disposal.	• Non-conformances can occur in raw ingredients, intermediary products and in packaging materials. These should not be used and relevant corrective action procedures should be followed.
B.A 4.2	Is the control of non-conforming product managed by competent people?		• A competent person should be authorised to manage the non-conforming product and understands the process. Such a person should also be familiar with the specifications of the raw materials, ingredients, packaging materials and process specifications as well as equipment specifications and finished product specifications. • It is recommended that a deputy or back up person is made responsible to manage non-conforming product. • Proof of how the competent person was appointed should be available. (Competence of the person could be assessed through interviews and/or observations).

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B.A 5	**Corrective Action**		
The business shall ensure that corrective action be undertaken as soon as possible to prevent further occurrence of non-conformity.			
B.A 5.1	Is a documented corrective action procedure in place to analyse any complaints and investigate non-conformities to prevent reoccurrence?	WHAT DOES IT MEAN? a) When an issue occurs regarding non-conforming materials, finished products or procedures, a process is followed to understand the root cause of the non-conformity and actions are taken to correct the problem so that there are no further occurrences. WHAT DO I NEED TO DO? a) Establish and document procedures for identifying non-conformities and problem solving activities to determine how the non-conformities occurred. WHAT WILL THE ASSESSOR DO? The Assessor will: - Review documentation that corrective action procedures exist, are effectively communicated and followed when required.	• There is a designated person with sufficient knowledge and authority to initiate a corrective action. • Corrective actions implemented are appropriate. • Non-conformities can occur in raw ingredients, intermediary products and in packaging materials. These shall not be used and relevant corrective action procedures should be followed.
B.A 5.2	Are corrective actions (i.e. release, rework, quarantine, rejection/disposal) identified and effectively implemented?		• Actions can be related to product, systems, equipment, etc. • It is recommended that the date of completion of corrective action is recorded to prove it is complete.
B.A 6	**Management Responsibility**		
The business shall ensure there is management commitment to provide the resources to develop, implement and comply with their food safety programme.			
B.A 6.1	Is there evidence that management is committed to provide the resources to implement and comply with their food safety programme?	WHAT DOES IT MEAN? a) There should be clear accountability for the production management team. b) The team should demonstrate commitment to provide the appropriate amount of resources to develop, implement and ensure compliance with the food safety programme. c) Although development of many of these activities may be conducted by quality assurance and food safety people, the production management team should be actively involved in the support and leadership of these activities. d) The food safety programme should not be a "Quality owned activity". Instead, management should show active leadership to ensure a food safety culture. WHAT DO I NEED TO DO? a) The production management team should have systematic documented discussions about the food safety programme as part of its periodic staff meetings where non-conformance trend analysis,	No additional guidance given.

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		resources allocation, corrective action and strategy for continuous improvement will be actively discussed. b) Management should show that food safety is as important as production and people's health and safety and operates with an adequate budget. WHAT WILL THE ASSESSOR DO? The Assessor will: - Check for evidence that food safety programme elements are discussed and documented in production management team staff meetings, looking for prominent discussions and follow-up activities. - Interview the quality team about management commitment for appropriate resources, support for their activities and to ensure that those employees with responsibility for food safety activities are held accountable for compliance. - Ask production operations people about management commitment, seeking to establish whether management are receptive to continuous improvement suggestions.	
I.A 6	**Management Responsibility**		
The business shall ensure there is management commitment to provide the resources to develop, implement and comply with their food safety programme. The business shall establish a clear organizational structure with job descriptions, responsibilities and reporting relationships of at least those staff whose activities affect product safety.			
I.A 6.2	Is an up-to-date organizational chart outlining the business' structure available?	WHAT DOES IT MEAN? a) In addition to those items already identified in Requirement B. A. 6, production management should document the organizational structure which supports the food safety programme and the activities that impact product safety. Documented job descriptions and reporting relationships should be included. WHAT DO I NEED TO DO? a) A clear organizational chart should be created and kept updated. b) Employees whose activities and responsibilities support the food safety programme should be identified. c) These documented responsibilities should be shared with and discussed with relevant employees to ensure understanding of their accountabilities.	• An organizational chart indicating the reporting structure should be available. • The supplier should have evidence that this chart is reviewed at least once a year and updated, should staff changes occur. • Job functions and responsibilities for food safety should be indicated on the organizational chart
I.A 6.3	Are documented, clearly defined responsibilities regarding product safety and legality available and communicated to staff?		• A supplier should have a document defining key staff member's responsibilities, regarding food safety and legalities, when applicable. • A supplier should have evidence that the responsibilities have been communicated to all relevant staff.

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		WHAT WILL THE ASSESSOR DO? The Assessor will: - Check for evidence of production management's commitment to the food safety programme - Check to ensure the organizational chart is up-to-date and will look for documents (such as job descriptions) which define individuals responsibilities that support the food safety programme. - Discuss how production management supports and has communicated the responsibilities.	
B.A 7	**Record Keeping Requirements**		
The business shall ensure that records are available to prove the business is complying with the food safety system which includes all relevant regulatory and customer food safety requirements.			
B.A 7.1	Are records available to support the business' compliance with the food safety system which includes regulatory and customer food safety requirements that apply?	WHAT DOES IT MEAN? a) The business needs to prove it is meeting both regulatory and customer requirements that apply to its product and process. b) Records provide legal proof that you did what you said you were going to do to manufacture, store and distribute products. c) You need to identify when records will be completed and who will complete them. d) These records are kept for a period of time (this is 'record retention'). The period of time will be mandated by law or by customers and will depend on the type of products, processes and product liability. e) Identify which of these time periods is longest to decide on your record retention policy. f) You can set the same retention policy for all of your records or have different time periods for specific records. g) These records can be in paper form or they can be electronic and should be factual and genuine. WHAT DO I NEED TO DO? a) You need to identify the requirements within the food safety system for which you need to prove compliance, including both customer and regulatory b) Some of these records may come from your suppliers (e.g., letter of conformity, specification, etc.). c) You will also need to create forms which will allow you to record your own information.	A Document control policy is necessary
B.A 7.2	Has the business set timescales for record retention which comply with regulatory or customer requirements?		No additional guidance given.

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		WHAT WILL THE ASSESSOR DO? The Assessor will: - Check whether you have identified the records that you need to retain and set the timescales for retention. - Review a sample of your records to prove they exist and that they are available for the set period of time.	
I.A 7	**General Documentation Requirements**		
The business shall establish and implement procedures to ensure that all documents are maintained and kept up to date. These documents are required to demonstrate the effective operational control of its processes and its management of product safety.			
I.A 7.1	Is a written documentation procedure in place and effectively implemented?	WHAT DOES IT MEAN? a) Documents provide instruction for people so they can do their job and deliver a safe and consistent product. b) Documents also provide records so that the business is able to collect data and provide evidence to show that it is meeting customer and regulatory requirements as well as the requirements of this checklist. c) They should be maintained, kept up to date and controlled so to ensure that only correct documents are used. d) Usage of out of date documents by people may not only resulting a product that is out of conformance with specifications but also that the appropriate data to prove compliance is not gathered. WHAT DO I NEED TO DO? a) You need to document and implement a procedure for keeping documents up to date and assuring out of date documents are not used. b) You should appoint an individual to be responsible for documents with accountability for approving documents. c) Only authorised people are able to replace existing documents so they should be protected against unauthorised change. d) As procedures change there should be a way to control and archive obsolete documents. WHAT WILL THE ASSESSOR DO? The Assessor will: - Check there is a procedure there has been implemented effectively for document control.	• Records should be retained for a time period required to meet customer requirements/or duration of shelf-life; the strictest (longest) time period required is applicable. • Review of all documents should be done when there is a change in the process, product, etc. • All documents relating to food safety and products should be readily available and stored in a manner to avoid deterioration. • Obsolete documentation should be clearly identified and a procedure should be is in place to avoid usage of obsolete documentation. Note: • Additional info in training not under this criteria • Documented procedures should be established to define the controls needed to: • approve documents for adequacy prior to issue, • review and update documents as necessary, and re-approve documents, • ensure that changes and the current revision status of documents are identified, • ensure that relevant versions of applicable documents are available at points of use, • ensure that documents remain legible and readily identifiable,

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		- Check procedures and forms during the assessment looking for correct usage including issues such as dates, signatures and frequency of recording.	• ensure that relevant documents of external origin are identified and their distribution controlled to prevent the unintended use of obsolete documents, and also to ensure that they are suitably identified as such. • Documents of external origin should be controlled and identified if they are retained for any purpose. • A documented procedure should be established to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records
B.A 8	**Control of Measuring & Monitoring Devices**		
Measuring and monitoring devices critical to food safety and regulatory requirements shall be reliable.			
B.A 8.1	Are measuring and monitoring devices critical to food safety and regulatory requirements reliable?	WHAT DOES IT MEAN? a) The business should identify the critical control points in their process that may create a food safety issue. b) Once those points have been identified you should have a means to measure and monitor the process using appropriate devices. c) Those devices should be verified on a regular basis to ensure their reliability. d) For example, to ensure destruction of all pathogenic microorganisms in raw milk, time and temperature combinations of the pasteurization process should be regulated. A manufacturer will need to ensure that the device used to measure and monitor the time and temperature is accurate and reliable. WHAT DO I NEED TO DO? a) Create a master list of all measuring and monitoring devices required to control the food safety of your food and list the method and frequency for calibration and maintenance. b) Each measuring and monitoring unit should have a unique identifier and the acceptable variance range identified. c) Examples of measuring and monitoring devices critical to food safety include thermometers and metal detectors WHAT WILL THE ASSESSOR DO? The Assessor will:	No additional guidance given.

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		- check that the measuring and monitoring device is accurately measuring the required parameters - select a measuring and monitoring device and check that there is evidence that it is calibrated to a recognised standard.	
I.A 8	**Control of Measuring & Monitoring Devices**		
The business shall identify measuring and monitoring devices critical to food safety, ensure that they are calibrated and traceable to a recognised national or international standard.			
I.A 8.2	Are measuring and monitoring devices critical to food safety identified, calibrated and traceable to recognised standards and are they effectively controlled?	WHAT DOES IT MEAN? a) In addition to those items already identified in Requirement B. A. 7, the business shall ensure that calibration of measuring and monitoring devices that are critical to food safety is undertaken against a recognised national or international standard. WHAT DO I NEED TO DO? a) Create a master list of all measuring and monitoring devices, ensure there is unique identification for each and that the acceptable variance range is identified. b) Examples of measuring and monitoring devices critical to food safety include: Thermometers, Metal detectors, X-Ray units, pH and water activity meters, scales, oven speeds and other important processing measuring and monitoring units. c) Develop Standard Operating Procedures (SOP) for each listed device to provide detailed, written instructions that will achieve uniformity of performance. d) Each SOP should list what the device is, why it is needed, how it is used, who is authorised to use it and when it is to be calibrated. e) Each SOP should include requirements for documented corrective action and remediation in the event of deviation to standards. f) Maintain and retain records of the following activities: calibration, service providers with contact information; maintenance records, monitoring frequency signed by approved operator, deviation and corrective action. g) Implement a training programme to ensure all relevant people are adequately trained. WHAT WILL THE ASSESSOR DO? The Assessor will:	• Accuracy of devices should be verified. • Aspects covered should include method, person responsible and frequency. Calibration frequency is associated with the product and food safety risk. • All records should be maintained. • Calibration service should be only be obtained from South African National Accreditation System (SANAS) accredited service providers.
I.A 8.3	Are actions taken and recorded when measuring and monitoring devices are found to be outside of specified limits?		• Procedures should be in place to record actions to be taken when the prescribed measuring and monitoring devices are found not to be operating within specified limits. Where the safety or legality of products is based on equipment found to be inaccurate, action should be taken to ensure that the product that is at risk is not offered for sale. • All records should be maintained.

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		- Check for procedures for the operation of measuring and monitoring devices critical to food safety. - Check the calibration and maintenance log to validate that devices are maintained and calibrated against in recognised national or international standard as recommended by the manufacturer. - Review samples of signed operator logs for accuracy and to verify corrective action and remediation for any documented deviations. - Check training records for the relevant people, looking for evidence that they have been adequately trained.	
B.A 9	**Training**		
The business shall ensure that all people are adequately trained in food safety and practices according to their job responsibilities.			
B.A 9. 1	Have all new people been effectively trained?	WHAT DOES IT MEAN? a) All new people performing work that affects product safety, legality and quality shall have the required competence by education, work experience and training that matches their work, based on risk assessment. b) Training should address both personal health and safety as well as relevant food safety issues with a focus on avoiding contamination. c) All people (management, full-time, part-time, or temporary) shall receive relevant training. d) Each qualification or competency related to best practise and food safety shall be systematically "refreshed" and confirmed. WHAT DO I NEED TO DO? a) Ensure that people are aware and understand the consequences of improper food handling. b) Make sure that induction training of new employees is targeted towards their future duties in your business. c) For members of the management team, create an induction programme that takes into account all relevant processes and departments. d) Training should be conducted regularly and the contents should be adapted to current business conditions such as incidents, improvements and current legal situation. e) For simple tasks create a check list with relevant topics that can be efficiently communicated. f) You will need to provide evidence about training topics, including hygiene and safety in the workplace, with participating employees and refresher training.	No additional guidance given.
B.A 9.2	Have all relevant people received refresher training?		Record-keeping of the type of training and participating employees is essential

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		WHAT WILL THE ASSESSOR DO? The Assessor will: - Check whether you can prove that all your people have undergone relevant training, with special attention to induction for temporary and part-time people. - Interview people and ask them about the training they have received and how appropriate it was for the job that they must do. - Check that you can prove that you have delivered refresher training to all relevant people. - Review whether the refresher training content has been adapted to current business conditions such as incidents, improvements and current legal situation.	
I.A 9	**Training**		
The business shall implement a system to ensure that all people are adequately trained, instructed and supervised in food safety principles and practices that matches their work.			
I.A 9.3	Is a people training programme in place and effectively implemented?	WHAT DOES IT MEAN? a) All people performing work that affects product safety, legality and quality should have the required competence by education, work experience and training, that matches their work, based on hazard analysis and risk assessment. b) A training programme should apply to all people, including part-time and temporary workers. c) Before starting work, they should be trained in accordance with the training programme. WHAT DO I NEED TO DO? a) The business should implement a training programme relevant to the product requirements and the training needs of the people which should include: • training content • training frequency • people's tasks • relevant language • qualified trainer • evaluation methodology b) There should be a procedure that proves the effectiveness of training.	• It is the management's responsibility to ensure that all relevant personnel, including temporary staff and contractors, are appropriately trained and assessed prior to commencing work and supervised throughout the working period. • Training should be provide staff with competencies required to perform their functions.

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		c) The contents of the training programme should be reviewed and updated systematically to take into account specific issues, food safety, food related legal requirements and product and process modifications. d) You will need to prove what training topics have been delivered for each individual. e) Training topics include HACCP, hygiene and safety in the workplace. WHAT WILL THE ASSESSOR DO? The Assessor will: - Check for evidence that there is a training programme and that all people have undergone relevant training. - Will interview people and ask them about the training they have received and how appropriate it was for the job that they do. - Will examine training records for individual people to verify that the training programme has achieved its objectives. - Will pay special attention to the training of all new employees, temporary workers and part-time employees. - Will check that the procedure for review of the training programme is implemented and results in improvements.	
I.A 9.4	Is a HACCP training programme in place?	WHAT DOES IT MEAN? a) Those responsible for the development and maintenance of the HACCP plan should have an internal team leader and received adequate training. b) The production people in charge of the monitoring of CCP's should have received specific training. c) All training should be documented and managed through a HACCP training programme where content, frequency, tasks and evaluation methodology are defined. WHAT DO I NEED TO DO? a) The business should ensure the training programme includes HACCP training for relevant staff. b) The training content should be reviewed and updated regularly with consideration of business specific issues, food safety, food related legal requirements and product and process modifications. c) You will need to prove what training topics have been delivered for relevant people.	• HACCP team members should receive training. The team leader must have acquired an external HACCP training certificate.

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		WHAT WILL THE ASSESSOR DO? The Assessor will: - Check for evidence that those responsible for the development and maintenance of the HACCP plan have undergone a HACCP training programme. - Interview people and ask them about the HACCP training they have received and how appropriate it was for the job that they do. - Look for evidence of training topics and participating employees. - Check that the procedure for review of the HACCP training programme is implemented and results in improvements.	
I.A 9.5	Are adequate training records available?	WHAT DOES IT MEAN? a) There should be evidence that training has been carried out. WHAT DO I NEED TO DO? a) Records should be available of all training events, stating: – list of participants (this should include their signature) – date – duration – contents of training – name of trainer/tutor. WHAT WILL THE ASSESSOR DO? The Assessor will:- Check the availability, accuracy and adequacy of the training records.	No additional guidance given.
I.A 9.6	Is a refresher training programme documented and implemented?	WHAT DOES IT MEAN? a) Each qualification or competency related to best practice and food safety should be systematically "refreshed" and confirmed. b) This programme should be documented and implemented according to a predefined plan. WHAT DO I NEED TO DO? a) Develop a refresher training programme where activities, roles and responsibilities are defined. b) Training activities should be documented. WHAT WILL THE ASSESSOR DO? The Assessor will: - Check the documentation of the refresher training programme to confirm that planned training is delivered and the outcomes are monitored. - Assess the efficacy of this programme through a comparison of the procedures and the records.	• Refresher training should be conducted when a need arises and records should be kept.

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I.A 10	**Procedures**		
The business shall prepare and implement detailed procedures and instructions for all processes and operations having an effect on product safety.			
I.A 10.1	Are detailed procedures developed and effectively implemented for all processes and operations that affect food safety?	WHAT DOES IT MEAN? a) Procedures are controlled documents that provide instruction for people so they can consistently deliver the particular process as defined. b) A procedure may include instructions on using particular equipment, how to carry out specific tests, follow a recipe, repair equipment or other essential steps in manufacturing a product. c) Procedures are important training tools as new staff members are inducted or for refresher training. d) Procedures can be made available for staff either as paper copies, in a reference manual or in electronic format. WHAT DO I NEED TO DO? a) Ensure all processes and instructions used to manufacture, test, store and ship the product have been documented in paper or electronic format, that relevant staff are trained against these and always have them available. b) Ensure that procedures are communicated in a consistent manner, either because they are new or because they have been changed or as a part of refresher training. This can happen during production meetings, management review meetings etc. WHAT WILL THE ASSESSOR DO? The Assessor will: - Collect a sample of procedures, check how people use them through observation or interview and determine whether actual usage reflects the stated intentions.	• Procedures should be effectively implemented for all processes and operations affecting food safety.
I.A 10.2	Are procedures clearly communicated to relevant staff?		No additional guidance given.
I.A 11	**Complaint Handling**		
The business shall prepare and implement an effective programme for the management of customer and consumer complaints. Data shall be controlled and managed to ensure that there are corrective actions for compliance and food safety issues.			
I.A 11.1	Is a documented complaint management programme in place and effectively implemented?	WHAT DOES IT MEAN?	• Customer and consumer complaints should be trended and analysed.

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I.A 11.2	Are records of all customer and consumer complaints, investigations and corrective actions maintained?	a) Customer and consumer complaints can identify whether the finished product achieved the specification requirements or otherwise resulted in non-conformance. b) The business needs to ensure the complaint and its cause is resolved which may require further investigation using root cause analysis (which is a process of solving the fundamental causes of an incident). c) Once the non-conformance is accurately understood, corrective action can be taken so that the risk of recurrence is minimised. WHAT DO I NEED TO DO? a) Complaints should be recorded, investigated and resolved. Resolution is also referred to as corrective action. b) Create a method of requesting, capturing and investigating customer complaints. c) Ensure staff are made aware of their responsibilities for handling the complaints and investigations. d) Ensure that complaints, their investigations and resolutions are recorded. WHAT WILL THE ASSESSOR DO? The Assessor will: - Will check that a procedure is in place for receiving, documenting and acting on customer complaints. - Check if records of complaints are readily available. - Will select a sample of records of complaints and compare them against the procedure from receipt to resolution. - Interview those with responsibilities in the complaints process. - Will look for evidence of resulting activities which may be affected. These may include staff training, testing, management of non-conforming product, etc.	• Records should be readily available, up to date and signed off by a staff member authorised to maintain all records.
I.A 12	**Product Analysis**		
The business shall implement a programme to ensure that analysis of products and ingredients is systematically undertaken for issues that are identified as being critical to food safety and legal requirements as well as customer specifications. The business shall ensure that the methods used provide valid results (e.g. by procedures set forth in ISO 17025 and/or industry recognised methods).			
I.A 12.1	Are analysis procedures in place to ensure that all specified product requirements are met, including legal	WHAT DOES IT MEAN? a) You need to be able to provide evidence that the food safety, legality and customer issues that you have identified during a risk	• A Certificate of Analysis (COA) may accompany incoming goods in which case the responsibility for ensuring compliance resides internally. Examples -

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	requirements and customer specifications throughout the whole shelf life?	assessment are being critically analysed for compliance with agreed limits. b) The business should have a risk based procedure to ensure that you are analysing relevant issues. WHAT DO I NEED TO DO? a) This procedure will ensure that you are able to demonstrate you are evaluating and meeting food safety, legal requirements and customer specifications. b) The test methodology that you use will need to ensure the accuracy and precision of the results obtained. c) You should determine which are the relevant tests that complement your HACCP plan and its associated prerequisite programmes to ensure you are meeting food safety, legal requirements and customer specifications. d) The tests should be carried out to produce credible and accurate results. WHAT WILL THE ASSESSOR DO? The Assessor will: - Will check your risk assessment to see whether your testing procedure has successfully in a review to demonstrate that you meet food safety, legal requirements and customer specifications. - Will review whether your testing has been done by laboratories with ISO 17025 certification or instead you can provide credible evidence of industry recognised methods.	can include microbiological, shelf-life and residue testing
I.A 12.2	Are methods, relevant for food safety, used to provide valid results (e.g. by procedures set forth in ISO 17025 and/or industry recognised methods)?		•The methods should be recognised ISO and/or industry methods. •Analysis which is critical to food safety and legal requirements should be performed by the supplier internally and/or by an accredited laboratory. When performed internally, the testing activities should be compared on a regular basis with an accredited laboratory testing activities / methodologies.
I.A 13	**Purchasing**		
The business shall control purchasing processes to ensure that all externally sourced items and services conform to written requirements.			
I.A 13.1	Do purchased products and services meet current specifications and contractual agreements?	WHAT DOES IT MEAN? a) A food business relies on its suppliers because achieving both product safety and deliveries on time depends on their level of conformance to your requirements, which should be written and mutually agreed through specifications and contracts.	• A supplier should established documented purchasing requirements for products and/or services used for the handling of food and conforms to these. • Purchasing requirements should be established based on the impact of products or services on food safety. • A list of approved suppliers and service providers should be maintained.

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		WHAT DO I NEED TO DO? a) Your purchasing procedures should include agreed specifications for raw materials, ingredients, packaging and services which may impact the safety and quality of the product. b) Determine which risks are relevant to the product or service. With this information, decide the relevant criteria for evaluating each supplier and implement appropriate procedures for quality control and service level (Service level is a calculation of the volume of goods provided to specification against goods ordered, expressed as a percentage). c) Inform your suppliers both systematically and reactively on their performance, highlighting issues where they can make improvements. WHAT WILL THE ASSESSOR DO? The Assessor will: - Review your specifications, ensuring these are up-to-date and looking for evidence of approval such as signatures or e-mails. - Check your quality control records and compare them with your procedures for product and service evaluation. - Review how you have dealt with supplier non-conformance, from receipt to resolution.	
I.A 14	**Supplier Approval and Performance Monitoring**		
The business shall operate procedures for approval and monitoring of all its suppliers whose products or services may affect product safety and quality. The results of evaluations and follow-up actions shall be recorded.			
I.A 14.1	Is a documented supplier approval programme in place and effectively implemented?	WHAT DOES IT MEAN? a) A risk based programme should be developed and implemented to effectively manage and monitor the approval of suppliers. b) The resulting activities related to each supplier should be based on your risk assessment, such as supplier capability assessments, supplier visits, quality control for incoming materials, etc. c) If visiting isn't practical, alternative means of capability assessment would include the up-to-date evidence of certification to a food safety management scheme. d) Monitoring their performance against your requirements will provide you with data to assess their performance and ongoing capability.	No additional guidance given.
I.A 14.2	Is a documented supplier monitoring programme in place and effectively implemented?		• Suppliers' food safety assessments should be scheduled and/or monitored by the company as defined. • Records of the supplier evaluations should be maintained. o Records should include corrective actions when required and • Verify that the appropriate staff members are aware of the programme, and that it is being followed.

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		WHAT DO I NEED TO DO? a) There should be a supplier management programme in place for the approval and monitoring of suppliers who may have an impact on food safety and quality. b) The programme should be able to demonstrate that it is effective, with evidence that objective decisions are made about supplier capability. c) For approved suppliers there should be evidence that there is an ongoing systematic approach to maintain approval. WHAT WILL THE ASSESSOR DO? The Assessor will: - Will evaluate the procedures of the supplier management programme to determine the effectiveness of the approval and monitoring process. - Confirm that there is evidence that the relevant procedures are implemented and reviewed. - Check your approved supplier list looking for evidence that you have considered and assessed their capability and that you have a systematic approach to maintain approval.	
B. Good Manufacturing Practices (GMPs)			
B.B 1	**Personal Hygiene**		
The business shall ensure the implementation of appropriate hygiene practices for all its people and visitors. Such practices shall result in sanitary handling and delivery of safe and quality products to customers. The Codex Alimentarius Commission's recommendation on personal hygiene shall be followed.			
B.B 1.1	Are personal hygiene requirements in place and applicable to all relevant people, contractors and visitors?	WHAT DOES IT MEAN? a) All food businesses should manage and control the personal hygiene requirements of its people and visitors to the site. b) There should be documented personal hygiene requirements to include the following: the use of protective clothing, hand washing and disinfection, eating and drinking, controls over smoking, actions to be taken in case of cuts or skin abrasions, control over fingernails, jewellery, perfume, personal belongings and the control of hair and beards. c) The resulting procedures must match any legal requirements.	• A Personal Hygiene programme should be in place, documented and communicated to all staff, visitors and contractors. • Personnel, contractors and visitors should avoid handling ready-to-eat (RTE) food. • Short and clean nails, no false nails or nail polish should be allowed. • No person handling food should wear any jewellery or accessories that may come into contact with food or poses foreign object risk unless it is suitably covered.

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B.B 1.2	Are personal hygiene requirements compliant with legal requirements, if applicable?	<u>WHAT DO I NEED TO DO?</u> a) A risk analysis should be conducted to determine the appropriate personal hygiene requirements. The outcomes of this analysis should be implemented as appropriate to your product and process. b) The resulting procedures that will enforce the personal hygiene requirements should apply to all relevant people, contractors and visitors, all of whom should be made aware their responsibilities. • Hand cleaning should be performed on entry to the production areas and that the frequency that is appropriate to minimise the risk of product contamination. • People with infectious diseases should not enter the production areas. • People who have been in contact with others with infectious diseases should identify themselves and may be excluded from entering production areas. • Visible jewellery, including piercing and watches, should not be worn. • Any exceptions that may be granted should have been comprehensively evaluated by hazard analysis and assessment of associated risks in relation to product and process. • Cuts and skin abrasions should be covered by a coloured plaster or bandage that shows a different colour to the product and where appropriate contains a metal strip to enable metal detection. • For hand injuries, in addition to a plaster or bandage, a single use glove should be worn. • Protective clothing, which should not leave the site, should be provided and used by all people and visitors. • In production areas where wearing headgear and beard snood (coverings) is required, the hair should be covered completely so that product contamination is prevented. c) All of these procedures should be enforced by a qualified person within the business. d) Compliance should be effectively managed and checked systematically. <u>WHAT WILL THE ASSESSOR DO?</u> The Assessor will: - Check for a risk analysis and the related implementation of appropriate procedures.	• Personal hygiene requirements should be monitored for compliance against the local regulatory requirements. • Personnel, contractors and visitors should wash their hands thoroughly with soap and water or clean them in another effective manner. • No person should be allowed to handle food without wearing suitable protective clothing.
B.B 1.3	Are communication procedures in place for people, contractors and visitors addressing actions to be taken in the case of an infectious disease?		• A supplier should have a documented communications procedure in place to let employees, contractors and visitors know what the hygiene policy of the company is and what procedure should be followed. • A questionnaire should be completed by visitors and contactors upon entering the facility.
B.B 1.4	Is a qualified person responsible to decide if individuals with a suspect illness may enter food areas and how these individuals are controlled?		No additional guidance given.
B.B 1.5	Are people, contractors and visitors aware of and complying with the personal hygiene requirements?		No additional guidance given.
B.B 1.6	Are people, contractors and visitors aware of and complying with the requirements for the wearing and changing of protective clothing in specified work areas?		• Sufficient, suitable and clean protective clothing should be available. • Protective clothing should be used as defined in the policy/procedure for different areas. • The washing or laundering of other types of protective clothing should be done by an external service provider, or in a designated area away from storage areas and food processing areas. • Workers should not be allowed to remove work clothing from the premises for laundering. • Protective clothing should be changed as often as is deemed necessary and is hygienically laundered such as through thermal or chemical disinfection.

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		- Interview people to evaluate their understanding and implementation of the personal hygiene requirements. - Check that there is a procedure for systematic review of the outcomes with appropriate testing	• Where gloves are used, a suitable management system should be in place.
B.B 2	**Facility Environment**		
The business facilities shall be located and maintained so as to reduce the risk of contamination and enable the production of safe and legal products.			
B.B 2.1	Is the facility located, designed, constructed and maintained to ensure product safety?	WHAT DOES IT MEAN? a) Facilities where food ingredients, raw materials, packaging materials, semi-processed products and finished products are stored should be designed and constructed so that food safety is ensured. WHAT DO I NEED TO DO? a) Inspect the storage areas, considering contamination risk: temperature fluctuations, humidity, pests, dusts, odours, splintering objects (wood pallets, glass, etc.). b) Optimize the storage conditions. If necessary, arrange for structural alterations or new facilities. c) Walls should be designed and constructed to prevent the accumulation of dirt as well as to reduce condensation and mould growth. d) The surfaces of walls and floors should be in good condition, impervious, wear resistant and easy to clean. e) The junctions between walls, floors and ceilings should be easy to clean. f) Waste water and other liquids should reach drainage easily with no possibility of puddles. g) In food handling areas, machinery and piping should be arranged so that waste liquids go directly into a drain. h) Drainage systems should be in good condition, easy to clean and designed to minimise the risk of product contamination (e.g. ingress of pests, etc.). i) Ceilings (or, where no ceilings exist, the inside of roofs) and overhead fixtures, such as piping, cables and lighting, should be constructed to minimise the accumulation of dirt and should not pose any risk of physical or microbiological contamination. Where false ceilings are used, access to the void should be provided to allow cleaning, maintenance and pest control inspections. j) Windows and other openings should be designed and constructed to avoid the accumulation of dirt.	• Relevant legislation and/or compulsory specifications should be applied.
B.B 2.2	Is the facility effectively maintained, cleaned and disinfected to prevent physical, chemical and microbiological product contamination?		• Relevant regulations and/or compulsory specifications should be applied. Refer to Annexure C of Regulation 962.
B.B 2.3	Is the lighting of the appropriate intensity and design to ensure that food safety practice is effective?		• Relevant legislation and/or compulsory specifications should be applied.
B.B 2.4	Are structures, surfaces and materials, those in contact with food easy to maintain, clean and where appropriate disinfect?		No additional guidance given.
B.B 2.5	Are the drainage and waste water systems of equipment locations designed so as not to compromise food safety?		• Drains and waste water systems must have a backflow preventer. • Drains must have a suitable grid or sieve and floor must be sloped to aid drainage. • Drains must be cleaned and disinfected as per the cleaning schedule. • There is no stagnant water to indicate that the drains are not working.
B.B 2.6	Are the grounds and surrounding areas of the facility maintained and kept free of waste and accumulated debris?		• Grounds and surrounding areas should be kept free from waste and debris, as well as pest harbourage sites, vegetation, and stagnant water. • Areas where waste or refuse containers are kept prior to the removal should be impervious, curbed and drained. • The containers should be enclosed or fitted with tight fitting lids.

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		k) Where there is risk of contamination, windows and roof glazing should remain closed and fixed during production. l) Where windows and roof glazing are designed to be opened for ventilation purposes, they should be fitted with easily removable, good condition pest screens or other measures in order to prevent contamination. m) In areas where unpackaged product is handled, windows should be protected against breakage. n) Doors and gates should be in good condition and easy to clean (e.g. no splintering parts, flaking paints or corrosion). o) External doors and gates should be constructed to prevent the entry of pests. If possible, they should be self-closing. p) All working areas should have adequate lighting. q) All lighting equipment should be protected by shatter proof covers and installed to minimise the risk of breakage. r) Adequate natural and/or artificial ventilation should exist in all areas. s) If ventilation equipment is installed, filters and other ingredient which require cleaning or replacement should be easily accessible. t) Air conditioning equipment and artificially generated airflow should not lead to any product safety or quality risks. u) Dust extraction equipment should be installed in areas where considerable amounts of dust are generated. v) Water which is used as an ingredient in the production process, or for cleaning, should be of potable quality and supplied in sufficient quantity. This also applies to steam and ice used within the food handling area. A supply of potable water should be available at all times. w) Recycled water which is used in the process should not pose a contamination risk. In such cases, the water should comply with applicable legal requirements for potable water; records of compliance testing should be available. x) The quality of water, steam or ice should be monitored following a risk based sampling plan. y) Non-potable water should be transported in separate, properly marked piping. Such piping should not be connected to the drinking water system, or allow the possibility of flowing back to contaminate potable water sources or the food handling area environment.	• Containers should be suitably and clearly identified.

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		z) The surrounding areas of the facility should be maintained and kept free of waste and accumulated debris. This will help to minimise risk of pest activity. WHAT WILL THE ASSESSOR DO? The Assessor will: - Check the adequacy of the storage facilities for ensuring food safety and if every food, ingredient, raw material, semi-processed and finished product is stored under conditions ensuring food safety. - Inspect the fabrication of the facility both externally and internally, looking for any risks of contamination that may adversely affect the production of safe and legal finished products.	
B.B 3	**Cleaning & Disinfection**		
The business shall ensure appropriate standards of cleaning and disinfection shall be maintained at all times and throughout all production stages.			
B.B 3.1	Are documented cleaning and disinfection procedures in place and effective, including verification activities, to ensure the cleanliness of the facility, utilities and equipment?	WHAT DOES IT MEAN? a) The business should ensure that raw materials, ingredients, packaging materials and finished products are stored in a sanitary environment so that the finished product will be safe and legal. To achieve this, the aim is to at all times operate and maintain a clean and hygienic environment, using clean equipment and with an expectation and understanding of hygiene and cleanliness from your people. b) An unsanitary environment will result in finished products that are not safe, not suitable for consumption and with reduced shelf-life. c) Put simply, a food facility that does not constantly strive to achieve the highest level of cleanliness is a risk to its owners, its people, customers and its consumers. d) A systematic cleaning programme with comprehensive cleaning instructions and schedule will be required. There should be procedures, a definition of acceptable cleaning, well-trained people and the appropriate resources and equipment. Monitoring of sanitary standards will provide evidence of compliance and identify areas for improvement. WHAT DO I NEED TO DO?	No additional guidance given.
B.B 3.2	Are cleaning equipment, utensils and chemicals clearly marked, stored in a segregated area away from product, equipment, packaging and suitable for intended use?		• MSDS for all cleaning chemicals should be available. • Technical Datasheets and evidence that only food grade chemicals are used should be available. • No household or fragranced chemicals should be used.
B.B 3.3	Are qualified, trained people used for cleaning and disinfection?		• Designated cleaning and disinfection, personnel should be trained in the proper cleaning

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		a) You need to document and implement a cleaning programme and schedule. The programme will consist of cleaning instructions (Standard Sanitary Operating Procedures [SSOPs]) that provide comprehensive detail about everything that is cleaned including equipment and the environment (e.g., floors, walls, ceilings, etc.). It will also include a cleaning schedule. b) The SSOPs will be used to train people and will include details of the materials that are used, the personal protective equipment that must be worn, who is responsible for cleaning and for checking before the area is used for production. c) The programme will establish cleaning thresholds, training procedures including health and safety, supervision controls, records to be maintained, monitoring checks and a process for review. d) The programme will establish how to deal with significant changes in production process or equipment. e) The cleaning schedule will identify what is to be cleaned, when, by whom and to which SSOP. f) The business needs to ensure specified chemicals and cleaning equipment are suitable for their intended use and properly stored. g) Specified chemicals should be appropriate for the application and not pose a risk of contamination such as having strong odours or leaving any residue after rinsing. • They should come with a safety data sheet which addresses how to safely handle the chemical and steps to take in the event of accidental exposure. • They should be stored in labelled containers and have instructions on their safe and proper use in a food production application. • They should be stored safely to minimise risk of reaction with other chemicals, avoid contamination of product, ingredients or equipment and not put people at risk. h) Verification activities are those which prove the cleaning and sanitation activities have been carried our as per the specified procedure. <u>WHAT WILL THE ASSESSOR DO?</u> The Assessor will: - Observe the production, handling and storage environment and inspect the production and cleaning equipment.	techniques and concentration of chemicals to use, when applicable. This includes frequency of cleaning. • Chemical dilutions should be verified.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		- In the event that production is in progress during the assessment, the assessor will look for physical evidence that a production area and its equipment is being maintained in a sanitary state. - Check documents including the cleaning programme, schedule, training records, cleaning records and SSOPs procedures, monitoring records and employee training records.	
B.B 4	**Product Contamination Control**		
The business shall ensure appropriate facilities and procedures are in place to minimise the risk of physical, chemical, or microbiological contamination of product.			
B.B 4.1	Are physical barriers or effective procedures in place to reduce and avoid the risk of any potential physical, chemical or microbiological contamination?	WHAT DOES IT MEAN? a) The business should have in place procedures to prevent, control and detect contamination. Measures to prevent physical, allergen and microbiological contamination should be included. b) Allergens are a known component of food which causes physiological reactions due to an immunological response, such as nuts or shellfish. WHAT DO I NEED TO DO? a) All production and processing procedures should be systematically analysed to identify any potential hazards (physical, chemical and biological) that could occur with consideration of the susceptibility of the raw materials, ingredients and the final product. The hazards should be described and the most appropriate preventive and corrective actions implemented. In particular, consider these issues: b) Microbiological: • Separation of raw from finished or ready to eat products. •Structural segregation such as physical barriers, walls and separate buildings. • Access controls with requirements to change into required work wear. • Traffic patterns within the production area and equipment segregation: people, materials, equipment and the use of dedicated tools. • Air pressure differentials. c) Allergen: • Products should be protected from unintended allergen cross contact by effective cleaning and comprehensive line change-over practices and product sequencing.	• Appropriate records should be available

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		• The manufacturing of products which contain allergens that require labelling should be carried out as to ensure cross contamination is minimized. d) Metal: • Where metal detectors are required, they should be installed to ensure maximum efficiency of detection and to avoid any subsequent contamination. • Detectors should be subjected to regular maintenance and calibration to avoid malfunction. e) Glass: • Remove glass wherever possible from production facilities. • Create a complete glass register, including location. • Inspect or glass locations systematically and record all breakages. <u>WHAT WILL THE ASSESSOR DO?</u> The Assessor will: - Inspect areas where there is potential for microbiological cross contamination due to airborne or traffic patterns within the production facility. - Check the use of chemicals, looking for evidence that they are suitable for their intended use. - Will assess the potential for foreign material contamination from glass, metal, wood and plastic as well as the controls that are in place to minimise risk. - Examine procedures for line changeover, looking for evidence that contamination risks between different products or through cleaning processes have been addressed with appropriate procedures for control that will minimise risk. - Interview people to establish whether they understand about contamination hazards and have been trained on how they can reduce risks. - Look for the presence of allergens within the facility and if present, examine evidence of how they are controlled and contamination risks are minimised.	

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
B.B 5	**Pest Control**		
The business shall ensure controls are in place to reduce or eliminate the risk of pest infestation (including rodents, insects and birds).			
B.B 5.1	Is there evidence of pest infestation?	WHAT DOES IT MEAN? a) Pests and vermin can introduce bacteria and filth into the production and storage environment making the product unsuitable for use. They want to enter the facility to get access to food, water, bedding and to breed and should be excluded. b) Effective pest and vermin control is not just eliminating them once they appear. Good practice in pest control addresses a broad range of issues including attraction, places of refuge, access to the site and to food and monitoring. WHAT DO I NEED TO DO? a) The business should have an effective preventive pest control programme that will minimise the risk of infestation. There should be someone with competence and responsibility. All activities will be monitored and verified. It should competently deal with any issues which occur so that risk to product is prevented. b) External areas should be kept free of waste, debris and food sources. c) A 0.5m perimeter around all buildings should be maintained that is completely clear and provides no place of refuge. d) Out of use equipment, construction debris and any other redundant materials should not be stored close to the site. e) All doors and windows are to be kept closed whenever possible and when closed should provide no gaps that would allow access. f) Ensure that the cleaning schedule removes all food debris with resulting proper waste containment and management. g) Monitor or target pest and vermin species with the appropriate equipment outside (e.g. bait stations) and inside (e.g. electronic fly killers, rodent catch traps, pheromone traps etc.). h) Bait stations should not be used inside the facility as there is a risk of rodents having contact with raw materials, ingredients, finished products, equipment etc. i) Monitoring devices should not be positioned where their operation or checking may cause contamination. j) A map should be maintained which shows all pest control stations, each of which should be numbered and monitored.	Staff must be trained to report evidence of pest infestation to management immediately
B.B 5.2	Is an effective pest control programme in place?		• Records should be available • The pest control service provider should be registered in accordance with the legislative requirements • The following should be obtained from the service provider: o Registration certificate o Business licence o Liability insurance o Valid pest control operator certificate o Site map indicating pest control devices o Material Safety Datasheets o Sample labels used for all pesticides.
B.B 5.3	Are the controls appropriate in relation to the product, raw material and facility?		No additional guidance given.
B.B 5.4	Is the inspection programme undertaken by a competent person at an appropriate frequency and are findings addressed?		No additional guidance given.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		k) Monitoring will provide data about typical pests in the area, with consideration for seasonality and the possibility that pests enter with incoming goods. l) It is good practice to appoint a third party pest control specialist that is licensed by the local regulatory authority. m) If your own people are undertaking pest and vermin control activity, they should be trained and properly licensed. n) Check with the local regulatory authority to ensure your monitoring and corrective action are appropriate and recognised. o) All monitoring activities need to be identified, planned, carried out and recorded. WHAT WILL THE ASSESSOR DO? The Assessor will: - Check the site for active infestations and evidence of pest activity (live or dead pests or vermin, droppings, etc.). - Check that there is someone responsible for pest control (whether internal or external) and examine evidence of their activities. - Look for a map identifying pest monitoring and control devices, considering whether there is proper placement and looking for evidence that each one is numbered and regularly monitored. - Look at records of monitoring activities and pesticide applications. - Check the external areas for potential refuge and breeding areas. - Check opportunities for pest and vermin access to the facility (doors, windows, bay doors, exhaust fans and structural deficiencies).	
B.B 6	**Water Quality**		
The business shall ensure that the quality of water, ice or steam in contact with food product is suitable for is intended use. All food contact water, ingredient water and water used in cleaning and sanitising operations shall be from a potable source.			
B.B 6.1	Are there processes in place to ensure that the quality of water, steam and ice does not compromise the food safety of the finished product?	WHAT DOES IT MEAN? a) Water, ice or steam used within your facility can be a source of microbial and chemical contamination for your equipment or product. b) As a food manufacturer it is your responsibility to ensure that sufficient measures are taken to ensure its suitability for use within your operation and that your procedures ensure that water, ice or steam used within your operations meet the required water quality standards. c) Procedures for water quality, including the identification of chemical and microbial elements that should be included in required water	• Results should comply with relevant legislation and/or compulsory specifications/industry requirements. • The type of analysis and frequency of testing should depend on the risk assessment and/or client requirements • Water that comes into contact or has the potential to come into contact with products in the form of water, steam or ice should be tested for chemical compliance at least annually.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		analysis, the frequency of analysis and sampling points should be based on a risk analysis that takes into account the water source (i.e. municipal water source, well, etc.), previous sample history and any on-site storage. WHAT DO I NEED TO DO? a) Ensure that a risk analysis has been completed in relation to the water used within your operations which will provide the basis for your water quality procedures and policies. b) Ensure that water used for either the washing, thawing and treating of food or as a food ingredient complies with local, national or internationally recognised potable water quality and microbiological standards. c) Your sources of water, steam or ice should be tested at least annually by your local water authority or by an independent, university or government laboratory. These records should be retained. d) If you purchase and use ice from an outside source, you should require them to provide annual verification that the ice meets the required standards and a copy of the report should be retained. e) Procedures should be established to ensure that water is not a source of contamination for your facility or product. f) Employees should be trained to ensure they understand the established procedures established in your operations. g) If your operations have in-house water treatment equipment you should ensure that the equipment is included in your preventative maintenance programme and treated water is monitored to ensure that it meets your established standards. Maintenance and testing records should be retained. WHAT WILL THE ASSESSOR DO? The Assessor will: - Check your procedures and policies addressing water quality - Examine your training documentation, - Review annual water quality reports for your water, ice & steam - Check the preventative maintenance documentation for any water treatment equipment you may use	• Analysis must be done by an accredited laboratory • Test results from the municipality may be used, if the water is supplied by the municipality. • Non-potable water should have a separate supply system that is labelled and not connected to the potable water system.
B.B 6.2	Are there processes in place to prevent the cross-contamination of potable water by non-potable water?		No additional guidance given.

Items	Requirement	Guidance	
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		- Inspect the signage or other visual identification (such as colour coding) to confirm that any non-potable water piping or outlets is clearly identified.	
B.B 7	**Staff Facilities**		
The business shall ensure that staff facilities be designed and operated so as to minimize food safety risks.			
B.B 7.1	Are suitable changing rooms provided for staff?	WHAT DOES IT MEAN? a) Staff facilities, such as toilets, changing rooms and eating areas should be designed and operated to make sure that employees using these facilities do not accidently create a food safety hazard. WHAT DO I NEED TO DO? a) Establish and document rules and procedures for staff facilities to ensure that the employee activities in these facilities are separated from the food handling area to reduce food safety risk. WHAT WILL THE ASSESSOR DO? The Assessor will: - Inspect the facilities to ensure they are fit for the purpose. - Review documentation and procedures to show that the staff facilities are regulated to minimize food safety risk.	• Adequate changing facilities for all personnel should be available. • Storage space for personal items and protective clothing should be adequate. • Protective clothing should be stored above personal items to minimise the risk of cross contamination, thus if protective clothing is not stored in a separate area. • Food should be not be stored in the change rooms.
B.B 7.2	Are toilets provided, operational, accessible and adequately segregated from processing/ food handling areas?		In compliance with SA Food Hygiene regulations
B.B 7.3	Are suitable and sufficient hand-washing facilities provided and accessible?		• Liquid soap and sanitizer should be stored in dispensers or spray-on devices. • Hands-free taps should be provided; these are operated with the knees, feet or elbows, or work with sensors; • Hand operated taps should be closed with paper towel and a procedure should be maintained to ensure effectiveness.
B.B 7.4	Are separate lunch room facilities provided away from production, packaging and storage areas?		• Separate eating and drinking facilities should be available and away from storage, processing and packaging areas. • Eating and drinking facilities should be managed to ensure that housekeeping and hygiene standards are adhered to. • Personnel should not enter these facilities with protective clothing.
B.B 8	**Waste Management**		
The business shall have a programme in place for the collection and disposal of waste material.			
B.B 8.1	Are suitable provisions in place for the storage and removal of waste?	WHATS DOES IT MEAN:	• Waste containers should be stored in locations away from raw materials, packaging, semi-

Items	Requirement	Guidance	
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		a) If handled incorrectly, waste materials can accumulate and become a source of contamination or a refuge for pests. b) Food facilities should have procedures for waste management that include the allocation of responsibility and the methods used to collect, handle and remove waste materials. c) These procedures should also address any legal requirements. WHAT DO I NEED TO DO? a) Establish procedures that address the responsibility for and methods used to collect handle and remove waste materials from the facility. These procedures should include the following: • Detailed cleaning practices associated with waste containers and waste storage areas. In both cases, these should be easy to clean, covered or kept closed (as appropriate) and included in the cleaning programme. • Waste containers should only be used for the storage of waste. • Procedures for waste collection containers and waste storage areas including handling, marking, usage and colour coding. • The exact usage and marking or visual identification of containers that are designated to be used for inedible food waste materials. • Required waste management training for employees. • Actions to take if procedures are not followed. WHAT WILL THE ASSESSOR DO? The Assessor will: - Review the waste management programme and associated procedures. - Review adherence to waste management procedures for containers including handling, markings, usage and colour coding. - Observe the usage and marking or visual identification of containers designated for use for inedible, waste materials or by products (e.g. animal feed) - Observe if signage clearly informs people about the colour code system. - Check training records verifying that people have been trained in waste management procedures. - Check sanitation records for waste containers and waste storage areas, assessing whether planned cleaning has been carried out according to procedures.	processed product and finished product to avoid cross contamination. • Waste containers should be closed and situated in demarcated areas. • Adequate numbers of waste containers should be available in all applicable areas. • Waste containers should be situated in such a manner that they cannot attract pests. • Certificates submitted by external waste service providers should be maintained and be readily available.
B.B 8.2	Are containers designated for inedible products, waste or by-products clearly marked and properly utilised?		• Containers should be covered and hands-free lids are provided. • Containers should be away from the walls and lifted from the floor to allow access for cleaning, inspection and pest control. • Separate containers are available for general waste, product waste, packaging waste etc. • A system is maintained to ensure containers remain in designated areas and is not moved between areas. • Chemical waste should be handled in accordance with customer requirements and national legislation. • Food products intended to be supplied for animal feed should be in segregated containers, separate from waste and managed in accordance with relevant legislative requirements. If unsafe products or substandard trademarked materials are transferred to a third party for destruction or disposal, that third party should be a specialist in waste product and should provide records, which include the quantity of waste collected for destruction or disposal.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
B.B 9	**Storage and Transport**		
The business shall ensure that all raw materials (including packaging), semi processed product and finished product be stored and transported under conditions that protect the product.			
B.B 9.1	Are there adequate facilities for the storage of food and ingredients?	WHAT DOES IT MEAN? a) During the storage and transportation of food products all relevant contamination and deterioration parameters (such as temperature, humidity etc.) should be evaluated. b) All necessary measures should be taken to avoid contamination and deterioration. WHAT DO I NEED TO DO? a) Before loading food for delivery, the condition of the vehicle (e.g. odours, dust, adverse humidity, cleanliness, pests, mould) should be checked. If required, action should be taken. b) Adequate hygienic requirements for all transport vehicles and for the equipment used for loading and unloading should be in place. There should be records of the measures taken. c) Procedures to prevent contamination during transport should be implemented (food should not be mixed with other types of goods). d) Where goods should be transported at certain temperatures, before loading, the temperature inside the vehicle should be checked and documented. e) Where goods should be transported at certain temperatures, the maintenance of an adequate range of temperatures during transport should be checked and documented. f) Loading and unloading areas should be of appropriate construction or have equipment in place to protect transported products from contamination, adverse temperature conditions etc. g) In the event that food goods are transferred during their journey, there should be procedures that ensure protection against contamination or deterioration. h) Where a business hires a third-party transport service provider, all the requirements specified above should be defined in the respective contract. i) Security of transport vehicles should be appropriately maintained.	• External storage facilities should be managed by means of a contract (if not managed internally) or Service Level Agreement. • These facilities should be audited/ inspected regularly to verify compliance and records are maintained.
B.B 9.2	Are the food storage facilities constructed to effectively protect materials and finished product from contamination during storage?		• The storage facilities should be designed to allow for easy cleaning and disinfection. • No products should be stored outside. • Doors to storage facilities should be kept closed when not in use. • Raw materials, packaging materials, work-in-progress and final products should be adequately segregated. • Food and non-food items should be stored together. • Cleaning chemicals should be locked in a room or cage, completely separated from food.
B.B 9.3	Is the food transport appropriate to minimize deterioration of food (e.g., by temperature and humidity control).		• Records of temperatures and hygiene verification should be maintained. • Storage facilities are separate for different products, if applicable.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		WHAT WILL THE ASSESSOR DO? The Assessor will: - check if the above mentioned requirements are fulfilled for minimizing any possible contamination or deterioration of food. - Observe arrangements for storage and transport, looking at storage areas, vehicles, loading bays and equipment. - Inspect third-party service contracts as relevant, assessing whether the necessary requirements for food protection are formally agreed.	
I.B 9	**Storage and Transport**		
The business shall ensure that all raw materials (including packaging), semi processed product and finished product be stored and transported under conditions that protect product integrity. All vehicles, including contracted vehicles used for the transportation of raw materials (including packaging), rework, semi processed product and finished product shall be suitable for the purpose, maintained in good repair and be clean.			
I.B 9.1	Is there a product transport procedure and is it effectively implemented?	WHAT DOES IT MEAN? a) The business should ensure that all raw materials (including packaging), semi processed product and finished product be transported under conditions that protect product integrity. b) A procedure should be implemented that assigns roles and responsibilities, control processes and a corrective action plan. WHAT DO I NEED TO DO? a) The product storage and transport procedure should provide full details so that people with responsibility will understand the relevant principles of the quality and food safety management system. b) The procedure will include the following: • identification of the required processes with a definition of the sequence and interaction • the criteria and methods required to ensure effective operation and control • the availability of information necessary to support both operation and monitoring • measure, monitor and analyse the procedure, implementing any necessary action to achieve planned results and drive improvement.	• Seal/ lock numbers should be recorded. • Product should not be sorted directly on the floor of the trailer and should be stored to prevent damages during transportation. The procedure should include criteria for hygiene and temperature monitoring if applicable
I.B 9.2	Is there a transport vehicle procedure and is it effectively implemented?		• Service Level Agreements should be in place if subcontractors are used. • The procedure should define actions to be taken when and if a breakdown is experienced and/or temperature during transportation is not meeting requirements.
I.B 9.3	Are there maintenance and hygiene processes for vehicles and equipment used for loading and unloading? Are very effectively implemented?		• Operation and practices maintained should not pose a risk of contamination i.e. battery charge area is separate from the storage area and identified; no diesel fork lifts are used etc. • Diesel forklifts fitted with a catalytic converter should be allowed for use in areas where product is already packed and closed for protection against atmosphere. • Records of an effective vehicle and equipment maintenance and hygiene procedures should be implemented and records should be maintained.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		WHAT WILL THE ASSESSOR DO? The Assessor will: - Check the relevant procedures and the instructions concerning their implementation, compare with the associated records and assess whether the procedures are affected. - Interview relevant staff to confirm their understanding of the requirements for storage and transport. - Check training records.	• Trucks should be washed at a designated truck wash area, or in such a way that washing does not pose a risk to products or operations.
I.B 10	**Facility and Equipment Maintenance**		
The business shall implement a system of planned, preventive and corrective maintenance to ensure an adequate level of food safety in the facility.			
I.B 10.1	Is a documented maintenance programme established?	WHAT DOES THIS MEAN: A process for maintenance and repair needs to be created and followed to ensure all critical equipment is functioning properly to maintain food safety standards. WHAT DO I NEED TO DO? Identify the critical processing equipment and develop procedures for the inspection and maintenance of critical equipment. Maintenance programmes need to be developed which inspects and repairs equipment before a food safety failure occurs. WHAT WILL THE ASSESSOR DO? The Assessor will: Documentation of the preventative maintenance programme, key pieces of equipment identified, frequency of inspection, inspection findings, corrective actions taken.	No additional guidance given.
I.B 10.2	Is an effective maintenance programme implemented?		• The maintenance programme is measured by specific indicators such as preventative versus corrective maintenance and downtime.
I.B 10.3	Is a documented hygiene and clearance procedure in place for all maintenance activities?		• An independent competent person should "release" equipment after maintenance had been done, to verify hygiene standards have been complied with.
I.B 10.4	Are effective hygiene procedures implemented for maintenance activities?		• Effective hygiene procedures should be developed by a competent person. • Records should be readily available to demonstrate that the affected area has been cleaned, disinfected and inspected prior to release back into production.
I.B 10.5	Are all materials used for maintenance and repair appropriate for their intended use?		• Oils, lubricants etc. should be food grade and records of evidence should be maintained. • Paint should be is non-toxic, lead free and record of evidence is maintained.
C. Control of Food Hazards			
B.C 1	**Preliminary tasks**		
The business shall identify and comply with regulatory and customer requirements related to the product and to the product category. For all products, the following shall be included: • Task 1: Establish a multi-disciplinary food safety team. • Task 2: Describe the product and product category of all ingredients (including raw materials, packaging, finished product) and the required conditions for storage and distribution.			

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
• Task 3: Describe the intended use of the product and identify the target consumer. • Task 4: Describe all of the steps taken to produce the product in a process flow diagram. • Task 5: Compare the process flow diagram with the production process to ensure it is accurate.			
		WHAT DOES THIS MEAN? a) The effective control of food hazards require the business to fully understand their products and product categories and how they are manufactured. b) This understanding must be accurately described and maintained in the event of change. c) A multidisciplinary team with decision-making authority should be formed that can jointly research and answer the following questions: • What legal and customer requirements apply? • How is the finished product described? • Who will consume the specific products? • How are the products manufactured? WHAT DO I NEED TO DO? a) Develop and implement a procedure to check that the relevant legal and customer requirements are reviewed and that the business is in conformity with those requirements. b) Form a multi-disciplinary team, with knowledge and experience in manufacturing, food safety, engineering, procurement and distribution. c) Authorise the team to make decisions on topics related to food safety. d) Develop and maintain accurate and detailed descriptions of each product or groups of products that considers the following: raw materials, packaging, processes and their parameters, characteristics of product, finished product, conditions for storage and distribution, and others (see the list provided in B.C 1.3). e) Develop and maintain specifications about who can consume the products, how it should be used, how it should be consumed and to whom it is not recommended. f) Develop and maintain a comprehensive flowchart that reliably represents the processes or stages of manufacture of the products or product groups. WHAT WILL THE ASSESSOR DO? The Assessor will:	No additional guidance given.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		- Check that there is a system in place to identify legal and customer requirements that apply to the products or product categories, that these are reviewed and that the business is in conformity with those requirements. - Check that there is an internal multi-disciplinary team in place, with responsibilities defined, that they are knowledgeable and competent and have the capacity and authority to make decisions and implement change. - Review the detailed description of each product (as per B.C 1.3); checking that there is information about shelf life, nutritional analysis and other relevant food safety issues. - Check finished product labels, confirming there is identification of the intended use of the product with accompanying description of any consumer groups that may be at risk - Check the production flowcharts and confirmed that they compare accurately with the manufacturing process.	
B.C 1.1	Has the business identified and complied with regulatory and customer requirements related to the product and product categories?	Supplementary guidance. You should: • Define the principles on which the production of a safe product is based. • Identify the specifications or any agreement relating to the product has been agreed with all customers. • Define which specific regulations are applicable and are assured by the procedure. • In the event of export, identify regulations of the destination country, specifically for labelling. • Ensure a systematic and appropriate approach to recording key information, with frequency and responsibility defined. • Ensure the food safety management system is reviewed on a regular basis or when changes occur	No additional guidance given.
B.C 1.2	Has a team with different responsibilities for food safety undertaken the tasks described in this section of the checklist (Tasks 2-5)?	Supplementary guidance. You should: • Developed a multi-disciplinary team with members from the following areas: food safety, production, engineering, procurement, distribution. • Ensure that the team member representing food safety has appropriate qualifications and can provide evidence of their education and advanced training topics.	No additional guidance given.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		• In the event that there are no such qualified people, the business should have a service contract with an external expert who can provide evidence of their expertise.	
B.C 1.3	Is there a complete product description available of the product/product category including all ingredients including raw materials, packaging, finished product and conditions for stage and distribution?	Supplementary guidance. You should: a) Generate an accurate and complete hazard analysis by the preparation and maintenance of comprehensive information about your products ('product descriptions') and processes ('process descriptions'). b) The specifications designated for this purpose should include the following information: • Composition • Ingredients • Physical, sensory, chemical, and microbiological parameters • Methods of treatment • Packaging procedures and materials • Shelf life • Storage and transport conditions. c) The business should consider: • Allergenic ingredients • Genetically modified materials • The purpose of the product, from the point of view of the end consumer (e.g. baby food, dietary products, nutritional supplements, etc.). d) From the point of view of the manufacturer, it should be pre-emptively determined how the products change when used as intended. For this purpose, the business should consider: • list of ingredients (where applicable fresh, frozen) • packaging type • chemical analysis • nutritional information • storage information • warnings • suggestions for preparation • suitability of the packaging for heating or freezing • quantitative restrictions, e.g. for especially vulnerable consumer groups.	No additional guidance given.
B.C 1.4	Has the intended use of the product been described and the target consumer been identified?	Supplementary guidance. You should:	No additional guidance given.

Items	Requirement	Guidance	
		GFSI	CGCSA - TWG
		• Accurately document the intended use describing how it will be prepared, consumed and whether there are any guidelines required to ensure that it is safe for consumption. • For products where additional preparation is required, described what should be done with the product once opened, how long it can be stored and in what conditions and what are the recommended portion sizes. • For intended use, identify how to prevent misuse that could cause harm to the consumer. • Describe the target consumer. Who can consume the product and to whom it is not recommended. Consider vulnerable groups, such as children, infants, the elderly, pregnant women, people with food intolerance, allergies, diabetes etc.	
B.C 1.5	Have all of the process steps taken to produce the product been described in a process flow diagram?	Supplementary guidance. You should: • Develop and maintain a flow chart that shows all stages of the manufacturing process, including any rework. • Describe in the flowchart relevant inputs and outputs of each process (raw materials, ingredients, packaging material, rework, nonconforming product, process aids, finished goods, etc.)	No additional guidance given.
B.C 1.6	Has the process flow diagram(s) been compared to assure it accurately reflects the process?	Supplementary guidance. You should: • Having defined your flowchart, the multidisciplinary team must verify that their analysis accurately represents the manufacturing of the product. • The process of verification should be recorded with all team members committing in writing to the credibility of the flowchart. o Verification should be repeated systematically.	No additional guidance given.
B.C 2	**Control of Allergens**		
The business shall ensure that there are adequate control measures in place to prevent cross contamination of allergens All ingredients known to cause food allergies in the product shall be clearly identified and communicated to the customer.			

Items	Requirement	Guidance	
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B.C 2.1	Is a documented programme in place to control allergens and prevent cross-contamination of product through all stages of production?	<u>WHAT DOES IT MEAN?</u> a) An allergen is a known component of food which causes physiological reactions due to an immunological response (e.g. nuts and others identified in the legislation relevant to the country of production or sale). b) Allergens can lead to allergic reactions that may pose considerable health hazards for consumers such as skin reactions, shock and even death. c) You should identify, manage and control all allergens that are present on the site whether as ingredients or through process cross-contamination. d) The labelling of allergens contained in manufactured food products should be done on the basis of the hazard analysis. e) The manufacturing of products which contain allergens that require labelling should be carried out as to ensure that any risk of cross contamination is minimised. <u>WHAT DO I NEED TO DO?</u> a) You should determine which allergens are relevant to your product or process. b) Once this is achieved, you will be able to determine the risk and your options to eliminate, minimise and/or control their presence. c) During risk identification, consider customer requirements and regulations in country of production and of sale. d) Once allergens are identified, develop and maintain a list of all relevant raw materials and ingredients. e) For ingredients and raw materials identified as allergens, you should write specifications that include the following: risk analysis, mitigation, control procedures and their implementation including analytical results and final product labelling. f) For products that contain allergens requiring labelling, the manufacturing process should be carried out to minimise cross contamination with close attention to cleaning and sanitation. g) Finished products that contain allergens and require labelling should be declared in accordance with legal requirements in the country of sale. h) For any accidental and unintentional presence, the labelling of legally declared allergens should be based on hazard analysis and risk assessments.	No additional guidance given.
B.C 2.2	Were regulations and appropriate customer requirements addressed in the development of the allergen control programme?		• Customer requirements and national legislation were addressed in the development of the Allergen Control Programme.
B.C 2.3	Are potential causes of cross contamination identified and procedures established for the handling of raw materials, intermediate and finished products to avoid cross contamination?		• It is recommended that effective cleaning with an allergen swab system/scientific approach is verified.
B.C 2.4	Are procedures relating to the cleaning and sanitation of product contact surfaces in place and effective to remove all potential allergens from food contact surfaces?		No additional guidance given.
B.C 2.5	Is a clear labelling system in place ensuring continuous identification of the product through all stages of production and delivery?		• All containers and products containing allergens are clearly identified from incoming materials to finished product delivery. • Declaration of allergens included in the final product must comply with the regulatory requirements.

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		WHAT WILL THE ASSESSOR DO? The Assessor will: - Confirm that comprehensive and relevant risk analysis has been carried out and that its outcomes are included in relevant procedures. - Check if the programme for allergen control is documented and implemented. - Assess the delivery of the programme in the food handling area, examine records and review manufacturing and storage practices.	
I.C 3	**HACCP**		
The business shall perform a hazard analysis of their food manufacturing process as a minimum step in order to determine if there are any hazards associated with the production of their food item. The business shall use the HACCP [Hazard Analysis Critical Control Point] tool to accomplish this assessment. If hazards are identified within the manufacturing process, it is expected that the business will take appropriate action necessary to develop a HACCP Plan that meets the 7 principles reflected within Codex Alimentarius.			
		WHAT DOES THIS MEAN? a) For each manufacturer of food products, the Hazard Analysis and Critical Control Point (HACCP) concept is a fundamental element of the business's internal food safety management system. b) HACCP is an internationally recognised instrument for controlling food safety in the manufacturing process. It enables the recognition and control of potential consumer risks by implementing suitable preventative measures. c) Control measures may be identified which are critical to maintaining product safety and will minimise the potential for biological, chemical and physical hazards which if not properly controlled may produce illness, injury or death to the consumer. These will be identified as Critical Control Points (CCPs), with critical limits and monitoring processes established. d) Corrective actions will be established which are designed to ensure if the critical limits are violated. In such cases, the finished product does not leave the facility. e) There should be records of monitoring the CCPs and corrective action taken. WHAT DO I NEED TO DO?	No additional guidance given.

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		a) It is not sufficient to just define a CCP and implement inspections. An effective HACCP concept, with adequate documentation, requires the following: • a systematic approach. • an expert multi-disciplinary team. • a comprehensive analysis of all products and procedures. • a risk analysis with definition of CCPs and critical limits. • a demonstrable system for corrective measures with a regular, systematic review of effectiveness. b) Codex Alimentarius provides 12 steps with seven principles for implementing HACCP and the business needs to follow these. c) The following principles should govern your HACCP system: • Principle 1 - Develop a hazard analysis for each level of the flow charts. • Principle 2 - Determine the CCPs within the scope of your HACCP plan. • Principle 3 - Determine critical limit values for all CCPs. • Principle 4 - Develop a system for inspecting and controlling the CCPs. • Principle 5 - Determine corrective measures and implement them when necessary. • Principle 6 - Regularly review the effectiveness of your HACCP programme. • Principle 7 - Create documentation for all steps of the concept including processes and procedures. d) Begin by defining where your process starts and where it ends. This is the scope of your system as it relates to your departments and products. e) Define the area of application by establishing which production departments, products, product and packaging lines, storage areas and transport routes should be considered, including the following: • Number of production lines and differentiation of product categories. • Existing hygiene, production, and control standards f) Evaluate the risk of harm to consumers as result of consumption of your food product using: literature data, objective and proven values, market observations, effects of customer complaints and assessment of residual risk. <u>WHAT WILL THE ASSESSOR DO?</u>	

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		The Assessor will: - Check for evidence that HACCP principles 1-7 have been developed and implemented. - Assess your documentation, looking to establish that it is complete, current, correct, and sufficiently known to all responsible people. - Check that there is an internal multi-disciplinary team in place, with responsibilities defined, that they are knowledgeable and competent and have the capacity and authority to make decisions and implement change.	
I.C 3.1	Principle 1: Is a hazard analysis conducted for each process step in the manufacturing of the food item?	Supplementary guidelines. You should: • Consider in your hazard analysis the potential for all chemical (including allergens), microbiological, and physical hazards that could occur within the process. • Address the potential hazards (biological, chemical, physical) associated with the production inputs from raw materials and ingredients (including water, steam, ice or gases used as ingredients). • Undertake hazard analysis for each process step, considering chemical, microbiological and physical hazards each time. • Undertake risk analysis for all product groups including consideration of potential harm and likelihood.	No additional guidance given.
I.C 3.2	Was the hazard analysis conducted by a competent team?	Supplementary guidelines. You should: • Create a multidisciplinary team to include members with knowledge and experience from food safety, production, engineering, procurement and design. • Ensure that team members have been trained in the principles of HACCP based on Codex Alimentarius • Ensure that the team member representing food safety has appropriate qualifications and can provide evidence of their education and advanced training topics. • Ensure that in the event that there is no such qualified person, the business should have a service contract with an external expert who can provide evidence of their food safety expertise.	No additional guidance given.
I.C 3.3	Principle 2: If the hazard analysis indicates any significant hazards not minimised or eliminated by Good Manufacturing Practices (GMPs) that are present within the food manufacturing process, are they	Supplementary guidelines. You should: • When determining that there is a CCP, used a decision tree or other adequate method and documented the process. • Consider on your defined CCPs whether the existing process can be influenced to prevent, eliminate or reduce a food safety hazard. • Identify associated control points and existing controls that are in place.	No additional guidance given.

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	identified as Critical Control Points (CCPs)?	• CCPs are defined with consideration of many 'pre-requisite measures' that are associated with Good Manufacturing Practice, such as cleaning and training programmes. When defining a CCP, such considerations should be documented.	
I.C 3.4	Principle 3: Are Critical Limits established for each CCP?	Supplementary guidelines. You should: • Apply critical limits only to the specific operation, product or groups of products being processed. • Only apply critical limits that have been specified and validated. • Define the critical limit for each CCP.	• Validation records are maintained.
I.C 3.5	Principle 4: Are monitoring procedures established for each CCP?	Supplementary guidelines. You should: • Be able to detect a loss of control in the process through your monitoring procedures. •Ensure that your monitoring records are evaluated by a trained and competent people. • Assign a frequency that is adequate to ensure that the CCP remains in control in the event that monitoring is not continuous. • Ensure that monitoring records are signed by individuals that are conducting the monitoring and reviewing the records. • Ensure that monitoring records are documented and include: date, time, responsible person and result. • Ensure that monitoring records are retained in line with business procedures.	• Monitoring procedures are established.
I.C 3.6	Are CCPs effectively implemented?		• CCPs are effectively implemented. • CCPs are identified in the plant and identification is visible. • Personnel responsible for monitoring of CCPs and processing/manufacturing the product are informed and competent.
I.C 3.7	Principle 5: Are corrective actions established for each CCP in the event critical limits are exceeded?	Supplementary guidelines. You should: • Ensure that any corrective actions resulting in return to control of the CCP and that affected products are disposed of in accordance with waste management procedures. • Ensure that product deviations and final disposal is documented. • Ensure that monitoring is understood as defined in Codex Alimentarius ("The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a CCP is under control").	• The non-conformance procedure is followed when product is affected.

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I.C 3.8	Principle 6: Are verification procedures established?	Supplementary guidelines. You should: • Ensure that the frequency of the verification procedures establishes that the HACCP system is working effectively. • Ensure that verification is undertaken by someone other than the people responsible for monitoring and corrective actions.	• Verification records are maintained.
I.C 3.9	Are verification procedures effectively implemented?		• Evidence that verification procedures are effectively implemented.
I.C 3.10	Principle 7: Are record keeping and documentation for HACCP procedures established?	Supplementary guidelines. You should: • Ensure that all established HACCP procedures have been documented, including preliminary steps and pre-requisite programmes. • Ensure that the record-keeping is effective and clearly communicated to the relevant people.	No additional guidance given.
I.C 3.11	Are all HACCP-related record-keeping and documentation procedures effectively implemented?		No additional guidance given.
I.C 3.12	Has the business implemented specific control measures for all relevant steps not identified as CCPs?	Supplementary guidelines. You should: ○ Ensure that pre-requisite measures have been taken and documented for other control points.	• All significant risks not identified as CCPs are controlled as CPs/OPRPs. • Records are maintained.
I.C 4	**Food Defence**		
The business shall assess its ability to prevent intentional product tampering/intentional contamination and put in place the appropriate preventive control measures.			
		WHAT DOES IT MEAN? a) Food defence is the means of preventing, protecting, and responding to the deliberate contamination of food by bacterial agents, toxins, chemicals, radiation or a physical object. b) Threats to food defence might occur at any level in the business's food-supply chain. c) The most important aspect of a food defence programme is prevention. d) This is a regulatory requirement for food exports into the USA. WHAT DO I NEED TO DO? a) Develop and implement a procedure for conducting a facility vulnerability assessment. b) Develop and implement a food defence plan based on the result of the vulnerability assessment that includes methods, responsibility and	No additional guidance given.

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		criteria for preventing food adulteration or contamination caused by deliberate acts of sabotage. c) The food defence plan should include the following key elements: ○ A designated member of senior management with responsibility for food defence ○ Policies and procedures for recording and controlling access to areas of the facility by employees, contractors and visitors. • Procedures for secure storage and transportation of raw materials, equipment, packaging material, hazardous chemicals and finished food products. • Facility physical security. • A process for managing food, packaging and equipment that has been intentionally adulterated. • Training programme. • An effective recall programme. WHAT WILL THE ASSESSOR DO? The Assessor will: - Review your documented food defence plan. - Check to see that the production has conducted a vulnerability assessment and identified sensitive areas - Review your training programme and interview people to establish their knowledge of the food defence plan.	
I.C 4.1	Have the threats to the product as a result of intentional product tampering or intentional contamination been assessed?		No additional guidance given.
I.C 4.2	Have those points in the process which are vulnerable to intentional product tampering/intentional contamination been identified and subjected to additional access control?		• Assessments/ inspections are conducted regularly to verify identified points are controlled and corrective actions are taken if required. • Records related to food defence are maintained.
I.C 4.3	Are measures in place to address what to do with the product, if prohibited access took place and the product may have been tampered with or intentionally contaminated?		No additional guidance given.