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1. INTRODUCTION

The GFSI Global Markets Programme has been launched in 2008 by the Global Food Safety Initiative for small or less developed companies to help them achieve certification to GFSI recognised food safety schemes and market access.

Objectives:
• Provide a route for small and less developed businesses to achieve accredited certification.
• Support capacity building efforts and improve market access opportunities for small suppliers operating locally.

Aim:
Develop effective food safety management systems through a systematic continuous improvement process.

2. THE TRAINING AND COMPETENCY FRAMEWORK

This framework provides guidance on good practice for delivering training for food companies that are implementing the GFSI Global Markets Programme.

GFSI is not a training organisation and does not develop or deliver any training courses. However, the Global Markets Programme Technical Working Group has developed the following two elements in this framework:

2. The competencies required to achieve the GFSI Global Markets Programme Basic and Intermediate Levels for Food Manufacturing1.

This document defines the roles and responsibilities of the following stakeholders in the training and learning process as they relate to the Global Markets Programme:
• Companies choosing a Training Provider are encouraged to specify that any training plans meet the criteria defined in this framework.
• Training Providers should use this guidance to develop their training programmes.
• Individual Learners should use this document to help them develop their own training plan.

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1 A matching set of competencies for Primary Production is planned for release in 2016
3. BACKGROUND: THE GFSI GLOBAL MARKETS PROGRAMME

Small or less developed businesses, because of their size, lack of technical expertise, economic resources or the nature of their work, may encounter difficulties in implementing food safety management systems in their food business. Successful implementation would allow them to take advantage of emerging market opportunities as the supply chains become more formal with increased rigour.

The programme is based on key requirements extracted from the GFSI Guidance Document, but is primarily based upon the Codex General Principles of Food Hygiene Code of Practice.

- The GFSI Global Markets Programme has published voluntary food safety requirements in the form of a checklist and a protocol that aim to drive a continuous improvement process.

- Buying Companies may choose to use the programme or a business may decide to implement the Programme as part of its business development, both in manufacturing sites and in primary production.

- It is a free access and voluntary programme that businesses can implement internally according to their needs and strategic objectives.

- It is designed as a non-certification assessment process.

- Documents provide guidance to the food businesses, service providers and stakeholders.

Disclaimer:

a. The Board of the Global Food Safety Initiative has no control over the nature of the assessments carried out using the checklist.

b. Any outcome of an assessment against the items in the checklist does not imply a recommendation or endorsement by the Global Food Safety Initiative.

c. This document is provided in English using United Kingdom spelling, in line with all documents from the GFSI. Any translations that may be used have not been provided, recognised or approved by GFSI.

d. This document may be used as a source document by Standard Owners to develop their own version of Global Markets. These may be certification schemes recognised by GFSI or others. Though described as ’Global Markets’ these may be developed and commercialised differently so are not directly comparable with the checklist. There is no benchmarking of such schemes by GFSI. However, the GFSI expects that such schemes developed from this original work will follow the aim and objectives of the GFSI Global Markets Programme.

1 A matching set of competencies for Primary Production is planned for release in 2016.
4. PROGRAMME DOCUMENTS

Global Markets Programme Protocol
Programme structure applicable for both Primary and Manufacturing.

Training and competency framework
Guidance on training to companies, training providers and learners. Includes a framework of competencies mapped against the checklists.

Checklist: Manufacturing
Basic and Intermediate levels for manufacturing

Checklist: Primary production
Basic and Intermediate levels for primary production

Protocol: Encompasses the structure of the GFSI Global Markets Programme and a description of progression through its phases.

Checklists: Outlines the food safety management requirements at Basic and Intermediate Levels for both Food Manufacturing (Edition 2, April 2015) and Primary Production (Edition 1, 2012).

User guidance: Supplementary information for the business and assessors that match the requirements of the checklists and provide further guidance against each clause using three headings:
• What does it mean?
• What do I need to do?
• What will the assessor check for?

Training and Competence Framework: Guidance to businesses, Training Providers and Learners who are interested in using the GFSI Global Markets Programme. It includes competencies mapped against the Global Markets Food Manufacturing Checklist requirements (see section 11) and is aimed at the individuals responsible for managing the food safety requirements. The Primary Production Checklist will be reviewed and re-issued as Edition 2 in 2016.

Access these documents following a short registration process on www.mygfsi.com
There have been many pilot programmes that have used the Global Markets Programme checklists to introduce food safety management systems into smaller and less developed businesses around the world.

The pioneer countries include the Ukraine, China, Japan, Russia, Chile, Malaysia, USA and Zambia. Many of these first steps were taken by retailers and brand manufacturers in partnership with organisations such as the United Nations Industrial Development Organisation (UNIDO) and the International Finance Corporation (IFC). These partnerships have funded training and mentoring programmes to raise awareness and build capacity.

The process begins with a self-assessment followed by a mentor working with the supplier to address capability and compliance gaps. An actual assessment then allows a measurement of progress. Significant improvement has consistently been identified between the two assessments and lessons have been learnt.

One example from a global retailer was that companies that had previously invested in training achieved a 66% pass rate for their first assessment. For those that had not, the pass rate fell to 33%.

GFSI does not control training that is carried out worldwide against the Global Markets Programme. There is no recognition or approval process for service providers. Instead, it is for the Buying Companies, their Suppliers and their Service Providers to work together to build capability and achieve competency. Case studies about implementation featuring training and competency are available on the GFSI website.

However, GFSI does have an objective to “develop competencies and capacity building in food safety to create consistent and effective global food systems”.

As a result, this framework provides guidance and direction to those who are procuring, delivering and receiving such competencies.

- It will help Buying Companies assess training in terms of content and delivery, enabling them to ensure that the training they procure is adequate.
- It will help training service providers to ensure that their offer considers the GFSI competencies and meets the recommended guidelines.
- By matching good practice and improving efficiency, a fundamental principle of this framework will be supported. Consistent delivery will help small and less developed businesses to access high quality training while keeping control of additional costs.

The role of the GFSI

GFSI does not endorse or approve any Training Providers or the Global Markets Programme content training that they deliver.

The use of GFSI logos on training material to imply endorsement or support is prohibited.

Course attendance certificates should not use the GFSI logo to imply any competency or qualification.
### 6. WHO DOES WHAT?

#### Responsibilities and Actions

<table>
<thead>
<tr>
<th>Who?</th>
<th>Business</th>
<th>Learner</th>
<th>Training Provider</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Function</strong></td>
<td>Manufacturer or Grower</td>
<td>Person currently or aspiring to be accountable for production site’s food safety.</td>
<td>External agency or production site staff member if training is internal.</td>
</tr>
<tr>
<td><strong>Design</strong></td>
<td>• What evidence is there of capability from pre-assessment or qualifications? • Identify production site’s training needs to define the appropriate delivery method. • Select Training Provider • Select Learners • Establish success measures.</td>
<td>• Pre-work if applicable. • Complete pre-training assessment to establish baseline.</td>
<td>• Provide structure of training programme. • (Objectives, content, delivery method, venue, etc.) • Identify Business and Learner needs. • Select trainer who will localise and deliver training based on audience profile.</td>
</tr>
<tr>
<td><strong>Delivery</strong></td>
<td>• Receive training.</td>
<td>• Learn and demonstrate competencies. • Measure success</td>
<td>• Course delivery • Knowledge checks • Measure success</td>
</tr>
<tr>
<td><strong>Outcome</strong></td>
<td>• Measure success • Monitor continuous improvement</td>
<td>• Evaluate training and delivery. • Train internally. • Implement Global Markets Programme • Receive mentoring &amp; coaching if applicable • Deliver continuous improvement</td>
<td>• Continual improvement based on feedback • Offer mentoring and coaching if applicable.</td>
</tr>
</tbody>
</table>
Training should be:
• Versatile, scalable and adaptable.
• Localised to the audience and the sector.
• Easily applicable when Learners return to their workplaces.

There are six steps described in this framework:

1. What’s needed?
2. Set the objectives
3. Build the context
4. Who can train?
5. Deliver the training
6. Measure success

Step 1: What’s needed?

Training carried out against the Global Markets Programme is designed to enhance understanding and application of the basic elements of food safety. An objective evaluation of the baseline competency of the Learners being put forward for training is required to deliver a successful training course. The collection of information on the profile of the audience should include:

- Number of Learners taking part
- Gender
- Age
- Job title
- Geographic origin
- Educational background
- Qualifications
- Previous experience
- Literacy level
- The local culture
- The local language
- Other relevant demographic information

Step 2: Set the objectives, which should include the following:

- Learners shall acquire the knowledge and skills to help their business meet the relevant Basic or Intermediate Level requirements.
- Learners shall be able to pass on their improved knowledge and skills to others in the workplace through subsequent in-business training.
- There shall be a subsequent assessment of the Learner’s ability to apply knowledge and skills.
Step 3: Building the content

a. The training content should use practical examples and exercises, tailored to the audience.

b. The content should incorporate all locally applicable regulations, local customs and customer or sectoral requirements.

c. The training is designed for the individual responsible for food safety within their business.

d. The Training Provider should provide training materials e.g. case studies, photographs, flow charts, videos, etc. in local languages and using sector specific examples.

e. The content should provide guidance on how knowledge gained can be passed on through an in-business training programme.
   • Materials should be well produced and in a visual format that provide the Learner with reference documents that can be shared.

f. Use of “knowledge checks,” particularly after each of section of the training, can help Learners to ensure they have fully understood the training, as well as helping trainers to assess whether their messages need to be reinforced.
   • Using a targeted list of questions at the end of each module or section is a useful method of determining if learning objectives are being met. Questions should require Learners to demonstrate understanding of the trained content rather than simply repeating information given in the training content.

g. Learners should also have the opportunity to evaluate the training course and trainer.
   • Feedback mechanisms should be open, objective and anonymous.
   • They should not be linked to incentives such as awarding training certificates or course attendance records.
   • Feedback should seek to explore the quality of the training delivery and course content, as well as identifying any elements that may be missing.
   • While feedback may be particular to the sector or geographical location, it will help the Training Provider with the design and delivery of future training.

Step 4: Who can do the training?

Trainers should possess as a minimum the following technical experience and qualifications:
• A locally recognised educational qualification to an appropriate level and/or industry experience of between three and five years in food safety.
• Communication skills proven by positive references on their previous training experience.

In addition:

a. The trainer should possess an appropriate mix of technical competency and teaching. Experience in the sector is desirable to build credibility with the Learners.

b. Where more than one trainer is used it may be possible to combine skill sets and experiences to enhance the training experience and build the capacity of the training team.

c. The Training Provider should be encouraged to provide up-to-date references from other clients that can testify to the quality of the training provided.
d. Where possible a number of references should be taken up to ensure that the training is of the desired quality.

e. Curriculum Vitae (CVs) or resumes of the trainers should be made available to the client before training is commissioned.

f. Where a Training Provider makes a change to the proposed trainer, agreement should be sought on an alternative.

**Step 5: Delivering the training**

a. Where there are Learners from multiple locations, care should be taken to ensure that there is a similar level of knowledge among the Learners.

b. The duration of the course should be designed to accommodate the balance between absence from the workplace and the time required to train effectively.

c. Companies and Learners should be clearly advised of the time commitment, both in the workplace and externally, that is needed to complete the course.

d. This should consider external reading, coaching and mentoring. The Training Provider should discuss, agree and clearly communicate the anticipated course duration and delivery schedule before training is commissioned and paid for.

e. Information with Learners about pre- and post-course assessments should be considered and clearly communicated by Training Providers.

f. Delivery of the course should be in the local language wherever possible. If the use of translators is unavoidable, ideally they should be technically qualified and/or experienced in food safety management. Delivery of a whole training course through a translator should be avoided where possible by selecting appropriate local Training Providers.

g. Where courses are delivered as e-learning or online training, regular interaction with the trainer through voice, e-mail, messaging, blogs or online written forums is recommended.

h. When selecting delivery modes, it is important to consider the extent to which Learners have access to IT infrastructure.

i. Trainers need to consider the size and format of any materials that will be made available for downloading or online viewing, and ensure that it is accessible to all course participants. IT constraints in developing countries should not interfere with the quality of the training delivered. The Training Provider should therefore use a variety of formats to ensure that all participants have access to the necessary materials and not assume that all Learners have access to the same quality of IT resources.

j. Site and field visits can be used to demonstrate and apply knowledge in the workplace. These visits should be accompanied by comprehensive worksheets clearly explaining the workplace situation, and encouraging Learners to look for examples of best practice or potential problems.
k. There should be adequate provision for the Learners to add their own notes to the prepared material.

l. Additional resources should be provided that complement the training course content, such as appropriate reference materials and case study examples.

m. Learners should be engaged with the training programme before they enter the classroom. The use of pre-course exercises will help Learners make best use of the training. This could include, for example, researching local regulations, reading through case studies, or completing simple exercises such as a risk assessment of a particular process.

n. Training materials often remain the registered intellectual property of the organisation providing the training. However, the Global Markets Programme is based on the principle that Learners will pass on the knowledge and skills to others within their business. The Training Provider should be clear about the options for the business to access, customise and use the materials for subsequent in-house training.

o. Training may be given in a combination of ways:
   • Classroom or workplace
   • Power point and/or written material
   • Online or static distance learning
   • Webinar or interactive instructor led events
   • Blended learning (combination of the above)

Step 6: Measurement of success

Training in support of the Global Markets Programme should be designed to help Learners understand the need for food safety systems and the activities that contribute to safer food. Training should not be designed to teach Learners how to pass assessments or memorise food safety manuals. Therefore, the measurements of success should be:
   • Improved food safety behaviours
   • Effective implementation of food safety systems
   • Passing-on of knowledge to others

a. Whether designing a course for a specific business or a group of them, the Training Provider should work with its client, the companies and relevant stakeholders to identify indicators in their current food safety processes which should be used and emphasised in the training material.

b. To enable objective measurement of progress, the Training Provider should then help the companies to implement procedures that will measure progress against these indicators.

c. Training Providers should consider how individual trainees will be assessed during the programme. Will certificates be issued based on attendance or by achieving a particular level of competency based on the course objectives? If the former, then there will be a trade-off on driving continuous improvement. If the latter, assessment of individual competency could include formal tests, written assignments, or other appropriate methodologies.

d. The Training Provider should be aware that Learners failing to reach the required level may face penalties or sanctions in the workplace so there may be implications of communicating participant assessment results and the principle of anonymity should be in place. However, the wider food safety responsibilities of the business should also be considered when communicating success or failure of Learners.
8. DELIVERY

Mentoring and Coaching

“Mentor” = A wise and trusted guide and advisor

“Coach” = A person who gives private instruction

Mentoring and coaching of Learners is a recommended component of the programme and should extend beyond the training sessions, ideally taking place in the Learner’s work place. This approach will aim to ensure that training not only provides knowledge and skills but also drives changes in practices and behaviour.

Mentoring and coaching could be delivered by the following:
• Customers
• Suppliers
• Non-profit organisations
• Coaching and personal development service providers
• Public bodies including extension services

a. If the mentoring and coaching is carried out by other entities than the Training Provider, then there should be close liaison. Mentors and coaches should work with the same expectations as the trainers and be familiar with the GFSI Global Markets Programme, its Protocol and this Training and Competency Framework.

b. The business should be made aware that an investment in mentoring and coaching will enhance the value of all training and should be considered as an integral part of engagement with the Programme. It should take place in the workplace environment and the business should make provision for the Learner to receive the necessary support and time.

c. Where the business has an in-house training scheme there should be integration to support the Learner’s personal development. Their training against the requirements of the GFSI Global Markets Programme should form a part of their personal training plan.
The stakeholders involved in training against the Global Markets Programme have different expected outcomes.

<table>
<thead>
<tr>
<th></th>
<th><strong>Short Term Outcome</strong></th>
<th><strong>Long Term Outcome</strong></th>
</tr>
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<tbody>
<tr>
<td><strong>Business</strong></td>
<td>• Cross check against the success measures established in the ‘design’ phase.</td>
<td>• Food safety culture/behaviour change</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Progression on the journey to certification against a GFSI recognised scheme.</td>
</tr>
<tr>
<td><strong>Learner</strong></td>
<td>• The Learner will demonstrate an improvement in knowledge and skills.</td>
<td>• Application of knowledge</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Demonstrate skills</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Transfer knowledge to others within the business.</td>
</tr>
<tr>
<td><strong>Trainer</strong></td>
<td>• Number of Learners achieving improvement above baseline.</td>
<td>• Use feedback to improve training materials, delivery and effectiveness of trainer.</td>
</tr>
<tr>
<td></td>
<td>• Feedback on delivery, venue, materials, trainer.</td>
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</tbody>
</table>

**Expected Training Outcomes**

Companies commissioning training programmes are encouraged to carry out post course evaluations to ensure that the knowledge has been transferred and retained by the Learner, and that the training event represented value for money.

Learners should be able to answer questions in a way that demonstrates that they understand the issues, and have the knowledge required to carry out the daily tasks under their responsibility.

The following should be assessed:

- Was knowledge transferred and retained?
- Can the Learners now demonstrate the necessary skills?
- Can the Learners contribute to in-business training to ensure that employees have the necessary knowledge and skills to be able to meet Basic and Intermediate Level requirements?

- In the longer-term, has there been a change in attitudes and behaviour in respect to food safety?

Training outcomes may be measured at several points after the actual training event. Coaching and mentoring after the training has been shown to help Learners retain knowledge for longer, and be more able to apply that knowledge in the workplace. The monitoring of training outcomes should therefore also take into account the mentoring and coaching activities that have taken place since.

The training company should receive feedback from the Learners with regard to the training content, the training delivery, the quality of the trainers, the facilities, and the training materials. Any feedback obtained should be used to modify and continuously improve future courses.
Questions regarding the delivery of the training might include:

- Did the training meet your objectives and expectations?
- Was the trainer a good communicator?
- Did the training meet the design criteria outlined in this document?
- Did you find the training relevant to your workplace?
- Did you find the training materials clear and easy to understand?
- Are the training materials useful to you after the course?
- Was the training appropriate to the audience?
- If translated materials were used, was the terminology used appropriate?

Questions addressing the Learner’s ability to carry out the daily tasks asked of them:

- Was knowledge transferred and retained?
- Do the Learners now have the capacity to demonstrate the skills?
- Can the Learners design an in business training system to ensure the other employees have the necessary knowledge and skills to be able to meet Basic and Intermediate Level requirements?
- In the longer term, was there a changing attitudes and behaviour in respect of food safety?
## 10. Summary Checklist

### Design

<p>| | |</p>
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Is the training programme localised to the audience and sector?</td>
</tr>
<tr>
<td>2</td>
<td>Does the training programme content cover the elements of the Global Markets Programme Basic and Intermediate Levels?</td>
</tr>
<tr>
<td>3</td>
<td>Has information on the profile of the audience been collected?</td>
</tr>
<tr>
<td>4</td>
<td>Does the training contain practical examples and exercises that are tailored to the audience and the work that they do?</td>
</tr>
<tr>
<td>5</td>
<td>Has a post-assessment to measure improvement been planned for the end of the training?</td>
</tr>
<tr>
<td>6</td>
<td>Does the training incorporate all locally applicable national regulations, local customs, and additional customer or sectoral requirements?</td>
</tr>
<tr>
<td>7</td>
<td>Is the training designed for the individual responsible for food safety within their business?</td>
</tr>
<tr>
<td>8</td>
<td>Will the materials be available to access, customise and use them for subsequent in-house training?</td>
</tr>
<tr>
<td>9</td>
<td>Will the training allow for success to be measured via improved food safety behaviours, more effective implementation of food safety systems, and trainees being able to impart that knowledge to others in their organisations?</td>
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### Delivery

<p>| | |</p>
<table>
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<tbody>
<tr>
<td>10</td>
<td>Will pre-course exercises be sent prior to the training course?</td>
</tr>
<tr>
<td>11</td>
<td>Will the course be delivered in the local language?</td>
</tr>
<tr>
<td>12</td>
<td>If delivered online, will there be regular interaction with the trainer through voice, e-mail, messaging, blogs or online written forums?</td>
</tr>
</tbody>
</table>

### Outcome

<p>| | |</p>
<table>
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</thead>
<tbody>
<tr>
<td>13</td>
<td>Does the training have a post-course evaluation to ensure that the knowledge has been transferred and retained by the Learner?</td>
</tr>
<tr>
<td>14</td>
<td>Does the Learner have the opportunity to anonymously evaluate the training course and trainer?</td>
</tr>
</tbody>
</table>
These competencies are written for an individual (or team) responsible for managing the food safety requirements to comply with the Global Markets Programme for Food Manufacturing at Basic and Intermediate Levels.

Note: A matching document for Primary Production is planned for release in 2016.

Items addressed in the Basic Level are referenced with a “B” and highlighted in blue.

Items addressed in the Intermediate Level are referenced with an “I” and highlighted in green.

An individual implementing the Intermediate Level requirements should also have achieved all competencies identified at Basic Level.

<table>
<thead>
<tr>
<th>CODE</th>
<th>REQUIREMENT</th>
<th>CRITERIA</th>
<th>COMPETENCY DEFINITIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>A FOOD SAFETY MANAGEMENT SYSTEMS</td>
<td></td>
</tr>
</tbody>
</table>
| 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. | a) Will describe the principles and reasons for meeting established specifications of raw materials, ingredients, product contact materials and finished goods.  
b) Will know how to access the information necessary to define the legal and customer requirements.  
c) Will explain the process for updating specifications based on changes in legal and customer requirements.  
d) Will maintain knowledge of food safety requirements which will affect specification information.  
e) Will construct written specifications for raw materials, ingredients, product contact materials and finished goods including product release.  
f) Will describe the appropriate procedures before product is released by the business. |
| 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. | a) Will describe the principles, scope and reasons for product traceability.  
b) Will describe their awareness of the regulations and customer requirements associated with product traceability.  
c) Will collate data on origins of raw materials, usage of ingredients and product contact materials.  
d) Will design a system (i.e. lot identification, finished product coding) that identifies the relationship and linkage between finished goods and raw materials, ingredients, rework, product contact materials and process conditions.  
e) Will describe how to manage the system (i.e. implementing and record keeping). |
### 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.

**a)** Will explain the reasons for effective document control.

**b)** Will explain the principles of effective document control.

**c)** Will develop and manage a system to ensure all document control and record retention complies with regulatory and customer requirements including completeness and confidentiality.

**d)** Will explain what food safety and legality regulatory records are required, maintained and retained.

**e)** Will describe how records are safeguarded and made available.

**f)** Will ensure current documents and forms are in place.

**g)** Will address how obsolete documents and records are managed.

### 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.

**a)** Will describe the principles and reasons for incident management.

**b)** Will identify product issues/complaints with respect to consumer safety, as they occur.

**c)** Will analyse the significance of product issues/complaints with respect to consumer safety and determine if it requires action.

**d)** Will explain the actions required in the event that product issues/complaints warrant action by the business.

**e)** Will describe the regulations and customer requirements associated with the management of incidents.

**f)** Will describe how to manage a product quarantine system for product within control of the business.

**g)** Will design a product recall system.

**h)** Will understand how to review and test the incident management system and implement corrective action based on finished product specification.

**i)** Will understand how the incident management system links to control of nonconforming product and the corrective action process.

**j)** Will explain how to manage a product recall system and can demonstrate how it functions.

**k)** Will understand what elements need to be covered in a communications plan with customers and regulatory authorities.
| 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. | a) Will analyse the significance of product issues/complaints with respect to consumer safety and determine if it requires action.  
b) Will design a product recall system.  
c) Will understand how to review and test the incident management system and implement corrective action based on finished product specification.  
d) Will understand how the incident management system links to control of nonconforming product and the corrective action process.  
e) Will explain how to manage a product recall system and can demonstrate how it functions.  
f) Will understand what elements need to be covered in a communications plan with customers and regulatory authorities. |
| 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. | a) Will describe the principles and reasons for control of non-conforming product.  
b) Will describe the regulations and customer requirements for non-conforming product.  
c) Will identify, understand and describe the regulations and customer requirements for control and reporting of non-conforming product.  
d) Will explain and understand the difference between product quality and the food safety significance of product quality in relation to non-conforming product.  
e) Will describe how to analyse the food safety risks associated with non-conforming product.  
f) Will explain the options available for disposal of non-conforming product.  
g) Will explain how to design a product quarantine system within control of the business.  
h) Will explain how to manage a system necessary for proper evaluation and disposal of non-conforming product. |
### B.A.5 Corrective action

| The business shall ensure that corrective action be undertaken as soon as possible to prevent recurrence of non-conformity. |
| a) Will describe the principles and reasons for corrective actions as they relate to process, product and system non-conformities. |
| b) Will describe a process for corrective action that provides links to other system processes. |
| c) Will identify, understand and describe the regulations and customer requirements associated with corrective actions. |
| d) Will identify the possible causes of non-conformities. |
| e) Will identify the options for corrective action based on sound risk-based decision making. |
| f) Will describe how to analyse the significance of food safety risks in determining corrective action. |
| g) Will understand and explain how to check that corrective actions taken have been effective. |
| h) Will explain the difference between correcting a problem and taking corrective action to prevent the problem from reoccurring. |
| i) Will explain how to design and implement a system necessary for effective implementation and documentation of corrective actions. |

### 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. |
| a) Will describe the persons in the business that are responsible for food safety. This includes person(s) who are ultimately responsible for food safety at the facility (e.g. Managers/Directors), those who develop and implement food safety management plans (e.g. Corporate /manufacturing quality & food safety managers), those who are responsible for managing and documenting specific aspects of the company food safety system (e.g. quality & food safety managers) and those responsible for training and education of employees on appropriate food safety practices. |
| b) Will describe and communicate the responsibilities of those persons involved in managing and implementing the food safety system for the business and show where these are documented. |
| c) Will describe how these responsibilities are communicated to staff. |
| d) Will describe and communicate the responsibilities of those persons involved in production and the relevant aspects affecting food safety and legality. |
| I.A.6 Management responsibility | The business shall establish a clear organisational structure, which defines and documents job functions, responsibilities and reporting relationships of at least those staff, whose activities affect product safety. | a) Will identify the persons responsible for executing specific food safety tasks including those who are responsible when key staff are absent from the facility.  
b) Will explain the organisational structure, showing the activities that impact product safety. |
|---------------------------------|-------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------|
| 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. | a) Will explain the reasons for effective document control.  
b) Will explain the principles of effective document control.  
c) Will develop and manage a system to ensure all document control and record retention complies with regulatory and customer requirements including completeness and confidentiality.  
d) Will explain what food safety and legality regulatory records are required, maintained and retained.  
e) Will describe how records are safeguarded and made available.  
f) Will ensure current documents and forms are in place.  
g) Will address how obsolete documents and records are managed. |
| I.A.7 General documentation requirements | The business shall establish and implement procedures to ensure that all documents required demonstrating the effective operation and control of its processes and its management of product safety, are maintained and kept up-to-date. Records shall be retained for a time period required to meet customer and/or legal requirements. | a) Will explain the reasons for effective document control.  
b) Will explain the principles of effective document control.  
c) Will develop and manage a system to ensure all document control and record retention complies with regulatory and customer requirements including completeness and confidentiality.  
d) Will explain what food safety and legality regulatory records are required, maintained and retained.  
e) Will describe how records are safeguarded and made available.  
f) Will ensure current documents and forms are in place.  
g) Will address how obsolete documents and records are managed. |
| B.A.8 | **Control of measuring and monitoring equipment** | Measuring and monitoring devices critical to food safety and regulatory requirements shall be reliable. | a) Will describe the principles and reasons for ensuring the reliability of monitoring and measuring devices.  
b) Will identify and describe monitoring and measuring devices requiring calibration and the frequency of calibration.  
c) Will identify where procedures for calibration are located.  
d) Will identify the frequency of calibrating monitoring and measuring devices.  
e) Will describe the control of monitoring and measuring devices to ensure they are in working order and provide accurate measurements.  
f) Will describe the key elements of a calibration programme including recognised standards.  
g) Will demonstrate that all devices identified as critical to food safety are linked to an appropriate calibration programme.  
h) Will identify what to do with devices and affected product that are found to be out of specified limits, including disposal.  
i) Will identify how procedures deliver a corrective action process. |
|---|---|---|---|
| I.A.8 | **Control of measuring and monitoring equipment** | 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. | a) Will describe the reasons for calibration against a recognised national or international standard.  
b) Will identify which devices are critical to food safety. |
| B.A.9 | **Training** | The business shall ensure that all people are adequately trained in food safety and practices according to their job responsibilities. | a) Will describe the training programme, including who is trained, how often and on what topics.  
b) Will provide documentation of training and explain differences between individual training plans.  
c) Will write and execute an effective training plan for all affected personnel. |
| 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. | a) Will describe the necessary content of an effective training programme.  
b) Will identify measures to evaluate training comprehension. |
| 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. | a) Will describe the rationale for clearly defined procedures to be established, implemented and maintained.  
b) Will identify which procedures are required to be developed.  
c) Will identify the key stakeholders required to be trained and knowledgeable in procedures and frequency of training.  
d) Will describe the key elements of an effective documented procedure (why, who, what, when, how).  
e) Will explain the required criteria for the effective implementation of a procedure.  
f) Will design a system to monitor compliance with procedures.  
g) Will evaluate the effectiveness of procedures. |
| 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. | a) Will describe key elements of an effective complaint management system.  
b) Will describe who is responsible for collecting, communicating and responding to customer complaints.  
c) Will describe requirements for recording complaints, completing corrective action and subsequent follow up with customers on complaint resolution.  
d) Will explain rationale for established time frames, including timely response to customer complaints, corrective action planning and execution including time to resolve customer complaints resolution time.  
e) Will describe internal and external communication requirements for complaint handling, as well as who is responsible and has authority to communicate internally and externally. |
| I.A.12 | Product analysis | The business shall implement a system to ensure that product/ingredient analyses critical to food safety and legal requirements are undertaken and 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). | a) Will describe the principles and reasons for conducting analyses.  
b) Will describe regulations and customer requirements governing analyses.  
c) Will identify analyses critical to food safety and legality of product.  
d) Will identify analyses critical to meeting customer specifications.  
e) Will identify frequency for undertaking analyses. |
| I.A.13 | **Purchasing** | The business shall control purchasing processes to ensure that all externally sourced items and services conform to written requirements. | a) Will explain the rationale for the need of effective control of purchased products and services.  
 b) Will describe the key documents which should be in place for an effective control of purchased products and services.  
 c) Will design and manage a system to ensure all purchased products and services meet current specifications and contractual agreements.  
 d) Will describe actions and responsibility in case of any deviations of purchased products and services. |
|---|---|---|---|
| I.A.14 | **Supplier approval and performance monitoring** | The business shall operate procedures for approval and continued monitoring of all its suppliers whose products or services may affect product safety. The results of evaluations and follow-up actions shall be recorded. | a) Will explain the rationale for clearly defined procedures for supplier approval and performance monitoring to be established, documented, implemented and maintained.  
 b) Will describe clear assessment criteria and responsibility for supplier approval and continued performance monitoring.  
 c) Will design and manage a system based on risk assessment for the evaluation, approval and continued monitoring of suppliers.  
 d) Will define which records should be in place for supplier approval and performance monitoring.  
 e) Will design and manage a system for supplier feedback, internal communications and review based on results of supplier performance monitoring. |
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<th>CODE</th>
<th>REQUIREMENT</th>
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<th>COMPETENCY DEFINITIONS</th>
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<tr>
<td><strong>B. GOOD MANUFACTURING PRACTICE</strong></td>
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<tr>
<td><strong>B.B.1</strong></td>
<td>Personal hygiene</td>
<td>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.</td>
<td>a) Will describe the principles and reasons for effective personal hygiene (i.e. hand washing, personal cleanliness, illness, injury, personal behaviour and visitor control). b) Will identify how to access the regulations and customer requirements governing effective personal hygiene. c) Will understand and describe the regulations and customer requirements governing effective personal hygiene. d) Will understand and explain how and when to apply proper hand washing techniques. e) Will describe symptoms of illness (i.e. fever, vomiting, diarrhoea and sore throat) so they can ensure that potentially ill individuals who might pose a food safety risk are not allowed working with food or food contact materials. f) Will design and operate a system for employees, contractors and visitors to notify the organisation of any symptoms of illness and injury that may preclude them from working in direct contact with food or food contact materials. g) Will design and operate a system to enforce procedures in relation to illness and injury, personal cleanliness, personal behaviour and protective clothing requirements of personnel, contractors and visitors which could result in the contamination of food and food contact materials.</td>
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<tr>
<td><strong>B.B.2</strong></td>
<td>Facility Environment</td>
<td>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.</td>
<td>a) Will describe the principles and reasons for maintaining the site and facility to ensure the production of safe food. b) Will describe regulations and customer requirements governing the facility environment. c) Will describe and assess the site against the criteria to be in place within a food premises to ensure food safety, with particular reference to: power supplies, fuel supplies, lighting, heating/chilling (environmental), toilet provision, washing (personal hygiene) facilities, and fabrication maintenance. d) Will describe and assess the site against the requirements in relation to surfaces and finishes for: work surfaces, food equipment, fittings and utensils, walls, floors and ceilings. e) Will describe and assess the site against the requirements for effective workflow arrangements to avoid cross contamination.</td>
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### B.B.2 Facility Environment

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<td><strong>f)</strong>  Will describe and assess the site against the requirements for regular and reliable maintenance, including prevention of contamination during maintenance.</td>
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<td><strong>g)</strong>  Will describe and assess the site against the need for suitable storage facilities in order to avoid cross contamination and temperature abuse.</td>
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<td><strong>h)</strong>  Will describe and assess the site against the need for suitable access arrangements with particular reference to product incoming and outgoing, worker access, and emergency services.</td>
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<td><strong>i)</strong>  Will describe and assess the site against the need for suitable waste storage and/or disposal facilities.</td>
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<td><strong>j)</strong>  Will communicate on the findings of the assessments and the actions needed to meet the facility design requirements.</td>
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### B.B.3 Cleaning and Disinfection

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<td><strong>a)</strong>  Will describe the principles of and reasons for cleaning and disinfection.</td>
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<td><strong>b)</strong>  Will describe regulations governing cleanliness requirements.</td>
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<td><strong>c)</strong>  Will describe the regulations and customer requirements associated with use of cleaning and sanitizing chemicals.</td>
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<td><strong>d)</strong>  Will describe the appropriate use (i.e. concentration, contact time, temperature, pH, contamination level, microbial targets) of chemicals to ensure appropriate levels of cleanliness.</td>
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<td><strong>e)</strong>  Will design a system for suitable cleaning and disinfection (i.e. who, what, when, frequency, how).</td>
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<td><strong>f)</strong>  Will operate a system to manage (i.e. implementing, monitoring, corrective actions) and maintain (i.e. effectiveness, continuous improvement) a documented operational procedure for identifying that appropriate cleaning and disinfection procedures are in place.</td>
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<td><strong>g)</strong>  Will explain how to assess (i.e. visual, record review, or other methods) the effectiveness of cleaning and disinfection practices that have been applied.</td>
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### B.B.4 Product Contamination Control

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<td><strong>a)</strong>  Will understand and describe the principles and reasons for ensuring product contamination control including but not limited to potential sources of contamination and cross-contamination.</td>
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<td><strong>b)</strong>  Will describe regulations and customer requirements governing the control of product contamination.</td>
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<td><strong>c)</strong>  Will explain the steps taken to prevent or minimise the risk of contamination by physical, chemical and biological contaminants.</td>
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## 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).  

| a) | Will describe regulations and customer requirements relating to pest control. |
| b) | Will explain the hazard posed by specific food pests and the controls required to reduce the risk to the product. |
| c) | Will explain the preferred habitat of relevant food pests with particular reference to the facility. |
| d) | Will explain the use and proper storage of pest control chemicals. |
| e) | Will explain the environmental, physical and chemical methods of preventing and controlling pest infestations of the facility. |
| f) | Will explain the system used to monitor the effectiveness of pest controls and define corrective actions. |
| g) | Will design and operate a system to minimise the risk of pest infestation of the product and facility through the inspection and control of raw materials, factory cleanliness, maintenance and specific control measures. |

## 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 its intended use. All food contact water, ingredient water and water used in cleaning and sanitising operations shall be from a potable source.  

| a) | Will describe the principles and reasons for ensuring the quality of water, ice and steam. |
| b) | Will describe the regulatory and customer requirements associated with the quality of water, ice and steam. |
| c) | Will explain the characteristics of properly constructed water wells (where applicable) and plumbing systems necessary for delivery of potable water, ice and steam. |
| d) | Will design, document and operate a system to ensure the quality of water, ice and steam. |

## B.B.7 Staff facilities

The business shall ensure that staff facilities be designed and operated so as to minimize food safety risks.  

Will describe and assess the site against the following:  

| a) | Criteria to be in place within a food premises to ensure food safety, with particular reference to: power supplies, fuel supplies, lighting, heating/chilling (environmental), toilet provision, washing (personal hygiene) facilities, and fabrication maintenance. |
| b) | Requirements in relation to surfaces and finishes for: work surfaces, food equipment, fittings and utensils, walls, floors and ceilings. |
| c) | Requirements for effective workflow arrangements to avoid cross contamination. |
| d) | Requirements in relation to the need for regular and reliable maintenance, including prevention of contamination during maintenance. |
| e) | Need for suitable storage facilities in order to avoid cross contamination and temperature abuse. |
| B.B.7 | Staff facilities | f) Need for suitable access arrangements with particular reference to product incoming and outgoing, worker access, and emergency services. 
g) The steps necessary to ensure the staff facilities, including separate lunch room facilities, are designed and operated as to minimise food safety risk. 
h) Need for suitable changing rooms and the need for provision of storage for personal items. 
i) The need for suitable toilet areas. 
j) The need for the use of potable water at the appropriate temperature for hand with effective hand drying facilities. |
| --- | --- | --- |
| B.B.8 | Waste management | a) Will explain the rationale for the provision of storage and waste removal suitable for the site. 
b) Will explain the impact of waste management on integrated pest management of the facility. 
c) Will explain the rationale for designating clearly marked containers for different waste products (i.e. inedible, by-products and waste). 
d) Will explain the steps necessary to ensure systems are in place for the collation, collection and disposal of waste. |
| B.B.9 | Storage and transport | a) Will describe the principles and reasons for protecting product, packaging and ingredients during storage. 
b) Will describe the specific food safety risks associated with the storage and transportation of raw materials, intermediate products and finished products, including but not limited to biological, physical, chemical (including allergens). 
c) Will explain regulations and customer requirements governing storage of product and ingredients. 
d) Will describe and assess the site’s storage requirements affecting the safety and integrity of food and ingredients, including but not limited to biological, physical, chemical (including allergens). 
e) Will identify appropriate requirements for cold storage and handling of perishable items. 
f) Will describe the appropriate rotation requirements for raw materials, ingredients and finished product (e.g. First-In-First Out, First-In-First Expired). 
g) Will describe the principles and reasons for ensuring the safe storage and transportation of food (including raw materials, ingredients, and packaging). |
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<th>B.B.9</th>
<th>Storage and transport</th>
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<td></td>
<td>h)</td>
<td>Will describe and assess the site for suitable storage facilities in order to avoid cross contamination and temperature abuse.</td>
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<td>i)</td>
<td>Will describe and assess the site to determine whether product transportation procedures adequately protect the product’s integrity.</td>
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<td>j)</td>
<td>Will design, document and operate a product transportation procedure, which includes maintenance and hygiene procedures.</td>
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<th>I.B.9</th>
<th>Storage and transport</th>
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<tr>
<td></td>
<td>a)</td>
<td>Will design, document and operate a product transportation procedure, which includes maintenance and hygiene procedures.</td>
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<th>I.B.10</th>
<th>Facility and equipment maintenance</th>
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<td></td>
<td>a)</td>
<td>Will describe the principles and reasons for a maintenance programme including preventive maintenance.</td>
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<td></td>
<td>b)</td>
<td>Will identify equipment and site facilities requiring maintenance.</td>
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<td>c)</td>
<td>Will identify who is responsible for site and equipment maintenance.</td>
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<td></td>
<td>d)</td>
<td>Will identify where procedures for maintenance are located.</td>
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<td></td>
<td>e)</td>
<td>Will identify the sources of preventive maintenance procedures and frequencies including manufacturer recommendations, equipment history and experience.</td>
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<td></td>
<td>f)</td>
<td>Will identify the frequency of preventive maintenance activities.</td>
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<td></td>
<td>g)</td>
<td>Will describe the key elements of a preventive maintenance programme.</td>
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<td>h)</td>
<td>Will design a system to assess the effectiveness of the maintenance and design of the site and facilities.</td>
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<td></td>
<td>i)</td>
<td>Will describe the principles and reasons for a hygiene and clearance programme in the event of maintenance activities, including maintenance personnel.</td>
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<td>j)</td>
<td>Will describe the reason for using cleanable materials for all repairs including temporary repairs.</td>
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## C. CONTROL OF FOOD HAZARDS

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<th>COMPETENCY DEFINITIONS</th>
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| 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.  
- 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. | a) Will describe the principles and reasons for controlling food hazards.  
b) Will describe the customer requirements and legislation related to control of food hazards.  
c) Will explain the nature of food safety hazards (biological, chemical, physical) and factors influencing the likelihood of their occurrence (e.g. conditions which influence food safety hazards commonly associated with specific ingredients used, specific processes undertaken, and specific foods produced).  
d) Will conduct and document a hazard analysis which takes into account the nature of food safety hazards (biological, chemical, physical) and factors influencing the likelihood of their occurrence (e.g. conditions which influence food safety hazards commonly associated with specific ingredients used, specific processes undertaken, and specific foods produced).  
e) Will explain the recognised and known control measures and how to apply these to control hazards relevant to specific products while taking into consideration local regulatory compliance and customer requirements.  
f) Will design the monitoring procedures necessary to ensure control of food safety hazards relevant to the product.  
g) Will perform corrective actions when control measures are not achieved.  
h) Will operate a system for maintaining comprehensive records in relation to the control of identified hazards. |
| 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. | a) Will describe the principles and reasons for controlling food allergens.  
b) Will describe regulations and customer requirements governing the presence and control of allergens.  
c) Will identify the potential sources for cross contamination with allergens within the facility from receipt of raw materials through production and shipment.  
d) Will explain the recognised and known control measures and how to apply these to control food allergens within the facility taking into consideration local regulatory compliance and customer requirements. |
| B.C.2 | Control of Allergens | e) Will design and operate the monitoring procedures necessary to ensure control of food allergens.  
  f) Will explain corrective actions when control measures are not achieved.  
  g) Will describe the cleaning procedures to control the potential for contamination with allergens.  
  h) Will describe the process for continuous identification and traceability of allergenic raw materials, ingredients and work in process within the facility  
  i) Will describe the labelling process to correctly identify allergens on the ingredient statement and product label.  
  j) Will operate a system for maintaining comprehensive records in relation to the control of allergens. |
| I.C.3 | HACCP | a) Will explain the rationale for identifying all the products within the scope of the HACCP programme.  
  b) Will explain the elements of a food product description and list factors the HACCP team should consider when developing a comprehensive product description.  
  c) Will explain considerations the HACCP team should consider when describing the intended use of a food product.  
  d) Will explain the rationale for including the flow diagram per product type, including all processing steps.  
  e) Will explain the rationale and steps necessary for ensuring procedures are in place to address all controls measures, whether CCPs or not.  
  f) Will define criteria for assessing record-keeping and the implementation of document procedures.  
  g) Will describe processes needed for evaluating and improving record-keeping and implementation of documentation procedures. |
| I.C.3.1 (HACCP) | **Principle 1:** Is a hazard analysis conducted for each process step in the manufacturing of the food item? | Explain the stages involved in completing a hazard analysis for each product type and their rationale:  
(a) Preparation for hazard analysis.  
(b) Identification and classification of hazards (biological, chemical and physical) and their cause within all processing steps for raw materials, ingredients, food contact packaging and other inputs such as water, air and gas.  
(c) Assessment of significant hazards.  
(d) Effective design of control measures.  
(e) The principles and reasons for controlling food hazards. |
| --- | --- | --- |
| I.C.3.2 (HACCP) | **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 identified as Critical Control Points (CCPs)? | Explain the stages and rationale for Critical Control Point identification:  
(a) Define “Critical Control Point” and describe the general process for determining CCPs in a HACCP plan.  
(b) Discuss examples of CCPs that can prevent or eliminate a hazard or reduce a hazard to an acceptable level.  
(c) Describe the appropriate use of CCP decision trees in developing a HACCP plan.  
(d) Describe how control measures differ when associated to Prerequisite Programmes, CCPs or other control measures.  
(e) Discuss options for categorizing and recording CCPs in a HACCP plan. |
| I.C.3.3 (HACCP) | **Principle 3:** Are Critical Limits established for each CCP? | Explain the rationale for setting Critical Limits:  
(a) Define “Critical Limit” and describe how they are set in a HACCP plan.  
(b) Discuss examples of parameters that might be critical limits in a HACCP plan.  
(c) Define “Deviation” and discuss what it could indicate in a HACCP system.  
(d) Discuss factors the HACCP team should consider when establishing critical limits.  
(e) Define “Operating Limit” and explain it might be used by a food facility.  
(f) Discuss considerations in establishing effective critical limits.  
(g) Describe how to document critical limits in a HACCP plan. |
| I.C.3.4 (HACCP) | **Principle 4:** Are Monitoring procedures established for each CCP? Are the CCPs effectively implemented? | Explain the rationale for testing CCP implementation:  
a) Define criteria for assessing CCP implementation level.  
b) Describe processes needed for evaluating CCP implementation.  
c) Describe processes needed for improving CCP implementation.  
d) Describe how to document evidence of CCPs being effectively implemented. |
| --- | --- | --- |
| I.C.3.5 (HACCP) | **Principle 5:** Are corrective actions established for each CCP in the event critical limits are exceeded? | Explain the rationale for establishing corrective actions:  
a) Define “Corrective Action” and list the three things a corrective action must achieve in a HACCP system.  
b) Discuss considerations when determining and correcting the cause of a deviation in a HACCP system.  
c) Describe the steps taken to identify product subject to a corrective action and the process for determining its final disposition.  
d) Describe how to document corrective actions in a HACCP plan. |
| I.C.3.6 (HACCP) | **Principle 6:** Are verification procedures established? | Explain the rationale for verification procedures:  
a) Define “Validation” in the context of HACCP systems and describe validation procedures in a HACCP system,  
b) Define “Verification” in the context of HACCP systems and describe the two critical issues that HACCP verification procedures address.  
c) List situations that require revalidation and reverification of a HACCP plan.  
d) Discuss verification activities for prerequisite programmes, critical control points and the overall HACCP plan.  
e) List examples of verification records for a HACCP plan. |
| I.C.3.7 (HACCP) | **Principle 7:** Are record-keeping and documentation for HACCP procedures established? | Explain the rationale for ensuring verification procedures are effectively implemented:  
a) Define criteria for assessing verification procedure level.  
b) Describe processes needed for evaluating verification procedure implementation.  
c) Describe processes needed for improving verification procedure implementation.  
d) Describe how to document evidence of verification. Procedures being effectively implemented. |
| 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. | a) Will describe the regulations and customer requirements for food defence in the country of production and (if applicable) destination.  
b) Will describe why food defence is important and why a facility should implement food defence measures.  
c) Will evaluate the facility's physical security (i.e. locks, access to facility, visitor protocol, etc.), personnel and systems to identify any potential gaps.  
d) Will identify the food process steps for the facility.  
e) Will assess each process step for vulnerability against intentional contamination to identify the steps that are most vulnerable.  
f) Will identify the appropriate mitigation measures to protect any process steps identified as vulnerable against intentional contamination.  
g) Will develop a response plan that includes local, state and federal emergency contacts, with supplier, customer and contractor contacts.  
h) Will develop a disposal and decontamination plan for any product that has been contaminated. |