**BRCGS *START!***

**Global Markets – Food Safety**

F816a: BASIC START! Auditor Checklist and Site Self-Assessment Tool

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| **1** | **Senior management commitment** |
| 1.1 | Senior management commitment and continual improvement |
| **Fundamental** **SOI**  | The site’s senior management shall demonstrate they are fully committed to the implementation of the requirements of the Global Standard for Food Safety and to processes which facilitate continual improvement of food safety and quality management. |
| **Clause** | **Requirements**  | **Conforms** | **Comments** |
| **1.1.1** | The site shall have a documented policy which states the site’s intention to meet its obligation to produce safe, legal and authentic products to the specified quality, and its responsibility to its customers. This shall be:* signed by the person with overall responsibility for the site
* communicated to all staff.
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| 1.2 | Organisational structure, responsibilities and management authority |
| **SOI** | The company shall have a clear organisational structure and lines of communication to enable effective management of product safety, legality and quality. |
| **Clause**  | **Requirements** | **Conforms** |  |
| **1.2.1** | The company shall have an organisation chart demonstrating the management structure of the company. The responsibilities for the management of activities which ensure food safety, integrity, legality and quality shall be clearly allocated and understood by the managers responsible. It shall be clearly documented who deputises in the absence of the responsible person. |  |  |
| **1.2.2** | The site’s senior management shall ensure that all employees are aware of their responsibilities. Where documented work instructions exist for activities undertaken, the relevant employees shall have access to these and be able to demonstrate that work is carried out in accordance with the instructions. |  |  |

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| **2** | The food safety plan – HACCP |
| **Fundamental** **SOI** | The company shall have a fully implemented and effective food safety plan incorporating the Codex Alimentarius HACCP principles. |
| **2.1** | The HACCP Food Safety team (equivalent to codex Alimentarius Step 1) |
|  |  | **Conforms** |
| **2.2** | Prerequisite programmes |
|  |  | **Conforms** |
| **2.3** | Describe the product (equivalent to Codex Alimentarius Step 2) |
| **Clause** | **Requirements** | **Conforms** |  |
| **2.3.1** | A full description for each product or group of products shall be developed, which includes all relevant information on food safety. As a guide, this may include the following, although this is not an exhaustive list:* composition (e.g. raw materials, ingredients, allergens, recipe)
* origin of ingredients
* physical or chemical properties that impact food safety (e.g. pH, aw)
* treatment and processing (e.g. cooking, cooling)
* packaging system (e.g. modified atmosphere, vacuum)
* storage and distribution conditions (e.g. chilled, ambient)
* maximum safe shelf life under prescribed storage and usage conditions.
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| **2.5** | Construct a process flow diagram (equivalent to Codex Alimentarius Step 4) |
| **Clause** | **Requirements** | **Conforms** |  |
| **2.5.1** |  | A flow diagram shall be prepared to cover each product, product category or process. This shall set out all aspects of the food process operation within the HACCP or food safety plan scope, from raw material receipt through to processing, storage and distribution. As a guide, this should include the following, although this is not an exhaustive list:* plan of premises and equipment layout
* raw materials, including introduction of utilities and other contact materials (e.g. water, packaging)
* sequence and interaction of all process steps
* outsourced processes and subcontracted work
* potential for process delay
* rework and recycling
* low-risk/high-risk/high-care area segregation

finished products, intermediate/semi-processed products, by-products and waste. |  |  |
| **2.7** | List all potential hazards associated with each process step, conduct a hazard analysis and consider any measures to control identified hazards (equivalent to Codex Alimentarius Step 6, Principle 1) |
| **Clause**  | **Requirements** | **Conforms** |  |
| **2.7.2** | The HACCP food safety team shall conduct a hazard analysis to identify hazards which need to be prevented, eliminated or reduced to acceptable levels. Consideration shall be given to the following:* likely occurrence of hazard
* severity of the effects on consumer safety
* vulnerability of those exposed
* survival and multiplication of micro-organisms of specific concern to the product
* presence or production of toxins, chemicals or foreign bodies
* contamination of raw materials, intermediate/semi-processed product, or finished product.

Where elimination of the hazard is not practical, justification for acceptable levels of the hazard in the finished product shall be determined and documented. |  |  |
| **2.7.3** | The HACCP food safety team shall consider the control measures necessary to prevent or eliminate a food safety hazard or reduce it to an acceptable level. Where the control is achieved through existing prerequisite programmes, this shall be stated and the adequacy of the programme to control the specific hazard validated. Consideration may be given to using more than one control measure. |  |  |
| **2.8** | Determine the critical control points (CCPs) (equivalent to Codex Alimentarius Step 7, Principle 2) |
|  |  | **Conforms** |
| **2.9** | Establish critical limits for each CCP (equivalent to Codes Alimentarius Step 8, Principle 3) |
| **Clause**  | **Requirements** | **Conforms** |  |
| **2.9.2** | The HACCP food safety team shall validate each CCP. Documented evidence shall show that the control measures selected and critical limits identified are capable of consistently controlling the hazard to the specified acceptable level. |  |  |
| **2.10** | Establish a monitoring system for each CCP (equivalent to Codex Alimentarius Step 9, Principle 4) |
| **Clause**  | **Requirements** | **Conforms** |  |
| **2.10.2** | Records associated with the monitoring of each CCP shall include the date, time and result of measurement and shall be signed by the person responsible for the monitoring and verified, when appropriate, by an authorised person. Where records are in electronic form, there shall be evidence that records have been checked and verified. |  |  |
| **2.11** | Establish a corrective action plan (equivalent to Codex Alimentarius Step 10, Principle 5) |
|  |  | **Conforms** |
| **2.12** | Establish verification procedures (equivalent to Codex Alimentarius Step 11, Principle 6) |
|  |  | **Conforms** |
| **2.13** | HACCP documentation and record-keeping (equivalent to Codex Alimentarius Step 12, Principle 7) |
|  |  | **Conforms** |
| **2.14** | Review the HACCP plan |
|  |  | **Conforms** |

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| **3** | **Food safety and quality management system** |
| 3.1 | Food safety and quality manual |
| **SOI** | The company’s processes and procedures to meet the requirements of this Standard shall be documented to allow consistent application, facilitate training, and support due diligence in the production of a safe product. |
| **Clause**  | **Requirements** | **Conforms** |  |
| **3.1.1** | The site’s procedures, working methods and practices shall be collated in the form of a printed or electronic quality manual. |  |  |
| **3.1.2** | The food safety and quality manual shall be fully implemented and the manual or relevant components shall be readily available to relevant staff. |  |  |
| **3.1.3** |  | All procedures and work instructions shall be clearly legible, unambiguous, in appropriate languages and sufficiently detailed to enable their correct application by appropriate staff. This shall include the use of photographs, diagrams or other pictorial instructions where written communication alone is not sufficient (e.g. there are issues of literacy or foreign language). |  |  |
| **3.2** | Document control |
| **SOI** | The company shall operate an effective document control system to ensure that only the correct versions of documents, including recording forms, are available and in use. |
| **Clause** | **Requirements** | **Conforms** |  |
| **3.2.1** | The company shall have a procedure to manage documents which form part of the food safety and quality system. This shall include:* a list of all controlled documents indicating the latest version number
* the method for the identification and authorisation of controlled documents
* a record of the reason for any changes or amendments to documents
* the system for the replacement of existing documents when these are updated.

Where documents are stored in electronic form these shall also be:* stored securely (e.g. with authorised access, control of amendments, or password protected)
* backed up to prevent loss.
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| **3.3** | Record completion and maintenance |
| **SOI** | The site shall maintain genuine records to demonstrate the effective control of product safety, legality and quality. |
| **Clause** | **Requirements** | **Conforms** |  |
| **3.3.2** | Records shall be retained for a defined period with consideration given to:* any legal or customer requirements
* the shelf life of the product.

This shall take into account, where it is specified on the label, the possibility that shelf life may be extended by the consumer (e.g. by freezing).At a minimum, records shall be retained for the shelf life of the product plus 12 months. |  |  |

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| **3.4** | **Internal audits** |
| **Fundamental****SOI** | The company shall be able to demonstrate that it verifies the effective application of the food safety plan and the implementation of the requirements of the Global Standard for Food Safety. |
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| **3.5** | **Supplier and raw material approval and performance monitoring** |
| **3.5.1** | Management of suppliers of raw materials and packaging |
| **Fundamental****SOI** | The company shall have an effective supplier approval and monitoring system to ensure that any potential risks from raw materials (including primary packaging) to the safety, authenticity, legality and quality of the final product are understood and managed. |
| **Clause** | **Requirements** | **Conforms** |  |
| **3.5.1.2** |

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| The company shall have a documented supplier approval procedure to ensure that all suppliers of raw materials, including primary packaging, effectively manage risks to raw material quality and safety and are operating effective traceability processes. The approval procedure shall be based on risk and include either one or a combination of: 1. certification to the applicable BRC Global Standard or GFSI-recognised scheme
2. supplier audits, with a scope to include product safety, traceability, HACCP review and good manufacturing practices, undertaken by an experienced and demonstrably competent product safety auditor or for suppliers assessed as low risk only, a completed supplier questionnaire. Where approval is based on questionnaires, these shall be reissued at least every 3 years and suppliers shall be required to notify the site of any significant changes in the interim.

The site shall have an up-to-date list of approved suppliers. |

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| **3.5.2** | Raw material and packaging acceptance, monitoring and management procedures |
| **SOI** | Controls on the acceptance of raw materials (including primary packaging) shall ensure that these do not compromise the safety, legality or quality of products and where appropriate any claims of authenticity. |
| **3.5.2.1** |  | The company shall have a procedure for the acceptance of raw materials and primary packaging on receipt based upon the risk assessment (clause 3.5.1.1). Acceptance of raw materials (including primary packaging) and their release for use shall be based on either one or a combination of:* product sampling and testing
* visual inspection on receipt
* certificates of analysis (specific to the consignment)
* certificates of conformance.

A list of raw materials (including primary packaging) and the requirements to be met for acceptance shall be available. The parameters for acceptance and frequency of testing shall be clearly defined, implemented and reviewed. |  |  |
| **3.5.3** | Management of suppliers of services |
| **SOI** | The company shall be able to demonstrate that where services are outsourced, the service is appropriate and any risks presented to food safety, legality and quality have been evaluated to ensure effective controls are in place. |
|  |  | **Conforms** |
| **3.5.4** | Management of outsourced processing |
| **SOI** | Where any process step in the manufacture of a product is outsourced to a third party or undertaken at another site, this shall be managed to ensure it does not compromise the safety, legality, quality or authenticity of the product. |
| **Clause** | **Requirements** | **Conforms** |  |
| 3.5.4.3 | Any outsourced processing operations shall:* be undertaken in accordance with established contracts which clearly define any processing and/or packing requirements and product specification
* maintain product traceability.
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| **3.6** | Specifications |
| **SOI** | Specifications shall exist for raw materials (including primary packaging), finished products and any product or service which could affect the integrity of the finished product. |
|  |  | **Conforms** |
| **3.7** | Corrective and preventative actions |
| **Fundamental****SOI** | The site shall be able to demonstrate that it uses the information from identified failures in the food safety and quality management system to make necessary corrections and prevent recurrence. |
|  |  | **Conforms** |
| **3.8** | Control of non-conforming product |
| **SOI** | The site shall ensure that any out-of-specification product is effectively managed to prevent unauthorised release. |
|  |  | **Conforms** |
| **3.9** | Traceability |
| **Fundamental****SOI** | The site shall be able to trace all raw material product lots (including primary packaging) from its suppliers through all stages of processing and dispatch to its customers and vice versa. |
|  |  | **Conforms** |
| **3.10** | Complaint-handling |
| **SOI** | Customer complaints shall be handled effectively and information used to reduce recurring complaint levels. |
| **Clause** | **Requirements** | **Conforms** |  |
| **3.10.1** | All complaints shall be recorded, investigated and the results of the investigation of the issue recorded where sufficient information is provided. Actions appropriate to the seriousness and frequency of the problems identified shall be carried out promptly and effectively by appropriately trained staff. |  |  |
| **3.11** | Management of incidents, product withdrawal and product recall |
| **SOI** | The company shall have a plan and system in place to manage incidents effectively and enable the withdrawal and recall of products should this be required. |
|  |  | **Conforms** |

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| **4** | **Site standards** |
| **4.1** | **External Standards** |
| **SOI** | The production site shall be of suitable size, location and construction, and be maintained to reduce the risk of contamination and facilitate the production of safe and legal finished products. |
|  |  | **Conforms** |
| **4.2** | Site Security and Food Defence |
| **SOI** | Systems shall protect products, premises and brands from malicious actions while under the control of the site. |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.2.1** | The company shall undertake a documented risk assessment (threat assessment) of the potential risks to products from any deliberate attempt to inflict contamination or damage. This threat assessment shall include both internal and external threats.The output from this assessment shall be a documented threat assessment plan. This plan shall be kept under review to reflect changing circumstances and market intelligence. It shall be formally reviewed at least annually and whenever:* a new risk emerges (e.g. a new threat is publicised or identified)
* an incident occurs, where product security or food defence is implicated.
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| **4.2.3** | Areas where a significant risk is identified shall be defined, monitored and controlled. These shall include external storage and intake points for products and raw materials (including packaging).Policies and systems shall be in place to ensure that only authorised personnel have access to production and storage areas, and that access to the site by employees, contractors and visitors is controlled. A visitor recording system shall be in place.Staff shall be trained in site security procedures and food defence. |  |  |
| **4.3** | Layout, product flow and segregation |
| **Fundamental****SOI** | The factory layout, flow of processes and movement of personnel shall be sufficient to prevent the risk of product contamination and to comply with relevant legislation. |
|  |  | **Conforms** |
| **4.4** | Building fabric, raw material handling, preparation, processing, packing and storage areas |
| **SOI** | The fabrication of the site, buildings and facilities shall be suitable for the intended purpose. |
|  |  | **Conforms** |
| **4.5** | Utilities – water, ice, air and other gases |
| **SOI** | Utilities used within the production and storage areas shall be monitored to effectively control the risk of product contamination. |
|  |  | **Conforms** |
| **4.6** | Equipment |
| **SOI** | All food-processing equipment shall be suitable for the intended purpose and shall be used to minimise the risk of contamination of product. |
|  |  | **Conforms** |
| **4.7** | Maintenance |
| **SOI** | An effective maintenance programme shall be in operation for plant and equipment to prevent contamination and reduce the potential for breakdowns. |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.7.1** | There shall be a documented planned maintenance schedule or condition monitoring system which includes all plant and processing equipment. The maintenance requirements shall be defined when commissioning new equipment. |  |  |
| **4.7.2** | In addition to any planned maintenance programme, where there is a risk of product contamination by foreign bodies arising from equipment damage, the equipment shall be inspected at predetermined intervals, the inspection results documented and appropriate action taken. |  |  |
| **4.7.4** | The site shall ensure that the safety or legality of products is not jeopardised during maintenance and subsequent cleaning operations. Maintenance work shall be followed by a documented hygiene clearance procedure.Equipment and machinery shall be inspected by an authorised member of staff to confirm the removal of contamination hazards, before being accepted back into operation. |  |  |
| **4.8** | Staff facilities |
| **SOI** | Staff facilities shall be sufficient to accommodate the required number of personnel, and shall be designed and operated to minimise the risk of product contamination. The facilities shall be maintained in good and clean condition. |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.8.3** | Outdoor clothing and other personal items shall be stored separately from production clothing within the changing facilities. Facilities shall be available to separate clean and dirty production clothing. |  |  |
| **4.8.5** | Toilets shall be adequately segregated and shall not open directly into production or packing areas. Toilets shall be provided with hand-washing facilities comprising:* basins with soap and water at a suitable temperature
* adequate hand-drying facilities
* advisory signs to prompt hand-washing.

Where hand-washing facilities within toilet facilities are the only facilities provided before re-entering production, the requirements of clause 4.8.4 shall apply and signs shall be in place to direct people to hand-washing facilities before entering production. |  |  |
| **4.9** | Chemical and physical product contamination control: raw material handling, preparation, processing, packing and storage areas |
| **SOI** | Appropriate facilities and procedures shall be in place to control the risk of chemical or physical contamination of product. |
| **4.9.1** | Chemical control |
|  |  | **Conforms** |
| **4.9.2** | Metal control |
| **Clause** |  **Requirements** | **Conforms** |  |
| **4.9.2.2** | The purchase of ingredients and packaging which use staples or other foreign-body hazards as part of the packaging materials shall be avoided.Staples, paper clips and drawing pins shall not be used in open product areas.Where staples or other items are present as packaging materials or closures, appropriate precautions shall be taken to minimise the risk of product contamination. |  |  |
| **4.9.3** | Glass, brittle plastic, ceramics and similar materials |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.9.3.4** | Where they pose a risk to product, glass windows shall be protected against breakage. |  |  |
| **4.9.4** | Products packed into glass or other brittle containers |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.9.4.2** | Systems shall be in place to manage container breakages between the container cleaning/inspection point and container closure. This shall include, at a minimum, documented instructions which ensure:* the removal and disposal of at-risk products in the vicinity of the breakage; this may be specific for different equipment or areas of the production line
* the effective cleaning of the line or equipment which may be contaminated by fragments of the container; cleaning shall not result in the further dispersal of fragments, for instance by the use of high-pressure water or air
* the use of dedicated, clearly identifiable cleaning equipment (e.g. colour-coded) for removal of container breakages; such equipment shall be stored separately from other cleaning equipment
* the use of dedicated, accessible, lidded waste containers for the collection of damaged containers and fragments
* a documented inspection of production equipment is undertaken following the cleaning of a breakage to ensure cleaning has effectively removed any risk of further contamination
* authorisation is given for production to restart following cleaning
* the area around the line is kept clear of broken glass.
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| **4.9.5** | Wood |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.9.5.1** | Wood should not be used in open product areas except where this is a process requirement (e.g. maturation of products in wood). Where the use of wood cannot be avoided, the condition of wood shall be continually monitored to ensure it is in good condition and free from damage or splinters which could contaminate products. |  |  |
| **4.10** | Foreign-body detection and removal equipment |
| **SOI** | The risk of product contamination shall be reduced or eliminated by the effective use of equipment to remove or detect foreign bodies |
| **4.10.1** | Selection and operation of foreign-body detection and removal equipment |
| **Clause**  | **Requirements** | **Conforms** |  |
| **4.10.1.4** |  | Where foreign material is detected or removed by the equipment, the source of any unexpected material shall be investigated. Information on rejected materials shall be used to identify trends and, where possible, instigate preventive action to reduce the occurrence of contamination by the foreign material. |  |  |
| **4.10.2** | Filters and sieves |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.10.2.1** | Filters and sieves used for foreign-body control shall be of a specified mesh size or gauge and designed to provide the maximum practical protection for the product. |  |  |
| **4.10.2.2** | Filters and sieves shall be regularly inspected or tested for damage at a documented frequency based on risk. Records shall be maintained of the checks. Where defective filters or sieves are identified this shall be recorded and the potential for contamination of products investigated and appropriate action taken. |  |  |
| **4.10.3** | Metal detectors and X-ray equipment |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.10.3.1** | Metal detection equipment shall be in place unless risk assessment demonstrates that this does not improve the protection of final products from metal contamination. Where metal detectors are not used justification shall be documented. The absence of metal detection would only normally be based on the use of an alternative, more effective method of protection (e.g. use of X-ray, fine sieves or filtration of products). |  |  |
| **4.10.3.2** | The metal detector or X-ray equipment shall incorporate one of the following:* an automatic rejection device, for continuous in-line systems, which shall either divert contaminated product out of the product flow or to a secure unit accessible only to authorised personnel
* a belt stop system with an alarm where the product cannot be automatically rejected (e.g. for very large packs)
* in-line detectors which identify the location of the contaminant to allow effective segregation of the affected product.
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| **4.10.6** | Container cleanliness – glass jars, cans and other rigid containers |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.10.6.1** | Based on risk assessment, procedures shall be implemented to minimise foreign-body contamination originating from the packaging container (e.g. jars, cans and other pre-formed rigid containers). This may include the use of covered conveyors, container inversion and foreign-body removal through rinsing with water or air jets. |  |  |
| **4.11** | Housekeeping and hygiene |
| **Fundamental****SOI** | Housekeeping and cleaning systems shall be in place which ensure appropriate standards of hygiene are maintained at all times and the risk of product contamination is minimised. |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.11.4** | The resources for undertaking cleaning shall be available. Where it is necessary to dismantle equipment for cleaning purposes or to enter large equipment for cleaning, this shall be appropriately scheduled and, where necessary, planned for non-production periods. Cleaning staff shall be adequately trained or engineering support provided where access within equipment is required for cleaning. |  |  |
| **4.12** | Waste/waste disposal |
| **SOI** | Waste disposal shall be managed in accordance with legal requirements and to prevent accumulation, risk of contamination and the attraction of pests. |
| **Clause** |  **Requirements** | **Conforms** |  |
| **4.12.2** | Internal and external waste collection containers and rooms housing waste facilities shall be managed to minimise risk. These shall be:* clearly identified
* designed for ease of use and effective cleaning
* well maintained to allow cleaning and, where required, disinfection
* emptied at appropriate frequencies.

External waste containers shall be covered or doors kept closed as appropriate. |  |  |
| **4.14** | Pest management |
| **SOI** | The whole site shall have an effective preventive pest management programme in place to minimise the risk of infestation and resources shall be available to respond rapidly to any issues which occur to prevent risk to products.Pest management programmes shall comply with all applicable legislation. |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.14.1** | If pest activity is identified, it shall not present a risk of contamination to products, raw materials or packaging.The presence of any infestation on site shall be documented in pest management records and be part of an effective pest control programme to eliminate or manage the infestation so that it does not present a risk to products, raw materials or packaging. |  |  |
| **4.14.2** | The site shall either contract the services of a competent pest management organisation or have appropriately trained staff for the regular inspection and treatment of the site to deter and eradicate infestation.The frequency of inspections shall be determined by risk assessment and shall be documented. The risk assessment shall be reviewed whenever:* there are changes to the building or production processes which could have an impact on the pest management programme
* there has been a significant pest issue.

Where the services of a pest management contractor are employed, the service scope shall be clearly defined and reflect the activities of the site.Service provision regardless of the source shall meet with all applicable regulatory requirements. |  |  |
| **4.14.4** | Pest management documentation and records shall be maintained. At a minimum, this shall include:* an up-to-date plan of the full site, identifying pest control devices and their locations
* identification of the baits and/or monitoring devices on site
* clearly defined responsibilities for the site management and the contractor
* details of pest control products used, including instructions for their effective use and action to be taken in case of emergencies
* any observed pest activity
* details of pest control treatments undertaken.
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| **4.14.5** | Bait stations or other rodent monitoring or control devices shall be appropriately located and maintained to prevent contamination risk to product. Toxic rodent baits shall not be used within production or storage areas where open product is present except when treating an active infestation. Where toxic baits are used, these shall be secured.Any missing bait stations shall be recorded, reviewed and investigated. |  |  |
| **4.14.6** | Insect-killing devices, pheromone traps and/or other insect monitoring devices shall be appropriately sited and operational. If there is a danger of insects being expelled from a fly-killing extermination device and contaminating the product, alternative systems and equipment shall be used. |  |  |
| **4.15** | Storage facilities |
| **SOI** | All facilities used for the storage of raw materials, packaging, in-process products and finished products shall be suitable for purpose. |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.15.3** | Where temperature control is required (e.g. for raw materials, semi-finished materials or final products), the storage area shall be capable of maintaining product temperature within specification and operated to ensure specified temperatures are maintained. Temperature recording equipment with suitable temperature alarms shall be fitted to all storage facilities or there shall be a system of recorded manual temperature checks, typically on at least a 4-hourly basis or at a frequency which allows for intervention before product temperatures exceed defined limits for the safety, legality or quality of products. |  |  |
| **4.15.4** | Where controlled atmosphere storage is required, the storage conditions shall be specified and effectively controlled. Records shall be maintained of the storage conditions. |  |  |
| **4.15.5** | Where storage outside is necessary, items shall be protected from contamination and deterioration. Items shall be checked for suitability before being brought into the factory. |  |  |
| **4.16** | Dispatch and transport |
| **SOI** | Procedures shall be in place to ensure that the management of dispatch and of the vehicles and containers used for transporting products from the site do not present a risk to the safety, security or quality of the products. |
| **Clause** | **Requirements** | **Conforms** |  |
| **4.16.1** | Procedures to maintain product safety and quality during loading and transportation shall be developed and implemented. These may include, as appropriate:* controlling temperature of loading dock areas and vehicles
* the use of covered bays for vehicle loading or unloading
* securing loads on pallets to prevent movement during transit
* inspection of loads prior to dispatch.
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| **4.16.2** | All vehicles or containers used for the transport of raw materials and the dispatch of products shall be fit for purpose. This shall ensure that they are:* in a clean condition
* free from strong odours which may cause taint to products
* in a suitable condition to prevent damage to products during transit
* equipped to ensure any temperature requirements can be maintained throughout transportation.

Records of inspections shall be maintained. |  |  |
| **4.16.3** | Where temperature control is required, the transport shall be capable of maintaining product temperature within specification, under minimum and maximum load. Temperature data-logging devices which can be interrogated to confirm time/temperature conditions or a system to monitor and record at predetermined frequencies the correct operation of refrigeration equipment shall be used and records maintained. |  |  |
| **4.16.4** | Maintenance systems and documented cleaning procedures shall be available for all vehicles and equipment used for loading/unloading. There shall be records of the measures taken. |  |  |

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| **5** | **Product control** |
| **5.1** | Product design/development |
| **SOI** | Product design and development procedures shall be in place for new products or processes and any changes to product, packaging or manufacturing processes to ensure that safe and legal products are produced. |
| **Clause**  | **Requirements** | **Conforms** |  |
| **5.1.2** | All new products and changes to product formulation, packaging or methods of processing shall be formally approved by the HACCP team leader or authorised HACCP committee member. This shall ensure that hazards have been assessed and suitable controls, identified through the HACCP system, are implemented. This approval shall be granted before products are introduced into the factory environment. |  |  |
| **5.2** | Product labelling |
| **SOI** | Product labelling shall comply with the appropriate legal requirements and contain information to enable the safe handling, display, storage and preparation of the product within the food supply chain or by the customer. |
| **Clause** | **Requirements** | **Conforms** |  |
| **5.2.3** | Where a product is designed to enable a claim to be made to satisfy a consumer group (e.g. a nutritional claim, reduced sugar), the company shall ensure that the product formulation and production process are fully validated to meet the stated claim. |  |  |
| **5.3** | Management of allergens |
| **Fundamental****SOI** | The site shall have a system for the management of allergenic materials which minimises the risk of allergen contamination of products and meets legal requirements for labelling in the country of sale. |
| **Clause** | **Requirements** | **Conforms** |  |
| **5.3.2** | The company shall identify and list allergen-containing materials handled on site. This shall include raw materials, processing aids, intermediate and finished products, and any new product development ingredients or products. |  |  |
| **5.3.5** | Where rework is used, or reworking operations are carried out, procedures shall be implemented to ensure rework containing allergens is not used in products that do not already contain the allergen. |  |  |
| **5.3.6** | Where a justified, risk-based assessment demonstrates that the nature of the production process is such that cross-contamination (cross-contact) from an allergen cannot be prevented, a warning should be included on the label. National guidelines or codes of practice shall be used when making such a warning statement. |  |  |
| **5.4** | Product authenticity, claims and chain of custody |
| **SOI** | Systems shall be in place to minimise the risk of purchasing fraudulent or adulterated food raw materials and to ensure that all product descriptions and claims are legal, accurate and verified. |
| **Clause** | **Requirements** | **Conforms** |  |
| **5.4.6** |  | The process flow for the production of products where claims are made shall be documented and potential areas for contamination or loss of identity identified. Appropriate controls shall be established to ensure the integrity of the product claims. |  |  |
| **5.5** | Product Packaging |
| **SOI** | Product packaging shall be appropriate for the intended use and shall be stored under conditions to prevent contamination and minimise deterioration. |
| **Clause** | **Requirements** | **Conforms** |  |
| **5.5.2** | Product liners and bags purchased by the company for use in direct contact with ingredients, or work in process, shall be appropriately coloured (e.g. contrasting colour to the product) and resistant to tearing to prevent accidental contamination. |  |  |
| **5.6** | Product inspection and laboratory testing |
| **SOI** | The company shall undertake or subcontract inspection and analyses which are critical to confirm product safety, legality, integrity and quality, using appropriate procedures, facilities and standards. |
| **5.6.1** | Product inspection and testing |
| **Clause** | **Requirements** | **Conforms** |  |
| **5.6.1.1** | There shall be a scheduled programme of product testing which may include microbiological, chemical, physical and organoleptic testing according to risk. The methods, frequency and specified limits shall be documented. |  |  |
| **5.6.2** | Laboratory testing |
| **Clause** | **Requirements** | **Conforms** |  |
| **5.6.2.2** | Where routine testing laboratories are present on a manufacturing site, they shall be located, designed and operated to eliminate potential risks to product safety. Controls shall be documented, implemented and include consideration of:* design and operation of drainage and ventilation systems
* access and security of the facility
* movement of laboratory personnel
* protective clothing arrangements
* processes for obtaining product samples
* disposal of laboratory waste.
 |  |  |
| **5.6.2.3** | Where the company undertakes or subcontracts analyses which are critical to product safety or legality, the laboratory or subcontractors shall have gained recognised laboratory accreditation or operate in accordance with the requirements and principles of ISO/IEC 17025. Documented justification shall be available where accredited methods are not undertaken. |  |  |
| **5.6.2.4** | Procedures shall be in place to ensure reliability of laboratory results, other than those critical to safety and legality specified in clause 5.6.2.3. These shall include:* use of recognised test methods, where available
* documented testing procedures
* ensuring staff are suitably qualified and/or trained and competent to carry out the analysis required
* use of a system to verify the accuracy of test results (e.g. ring or proficiency testing)
* use of appropriately calibrated and maintained equipment.
 |  |  |
| **5.6.2.5** | The significance of laboratory results shall be understood and acted upon accordingly.Appropriate action shall be taken promptly to address any unsatisfactory results or trends.Where legal limits apply, these shall be understood and appropriate action taken promptly to address any exceedance of these limits. |  |  |
| **5.7** | Product release |
| **SOI** | The site shall ensure that finished product is not released unless all agreed procedures have been followed. |
| **Clause** | **Requirements** | **Conforms** |  |
| **5.7.1** | Where products require positive release, procedures shall be in place to ensure that release does not occur until all release criteria have been completed and the release has been authorised. |  |  |

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| **6** | **Process control** |
| **6.1** | Control of operations |
| **Fundamental****SOI** | The site shall operate to procedures and/or work instructions that ensure the production of consistently safe and legal product with the desired quality characteristics, in full compliance with the HACCP food safety plan. |
| **Clause** |  **Requirements** | **Conforms** |  |
| **6.1.1** | Documented process specifications and work instructions/procedures shall be available for the key processes in the production of products to ensure product safety, legality and quality. The specifications/procedures as appropriate shall include:* recipes – including identification of any allergens
* mixing instructions, speed, time
* equipment process settings
* cooking times and temperatures
* cooling times and temperatures
* labelling instructions
* coding and shelf-life marking
* any additional critical control points identified in the HACCP or food safety plan.

Process specifications shall be in accordance with the agreed finished product specification. |  |  |
| **6.1.5** | Where variation in processing conditions may occur within equipment critical to the safety or quality of products, the processing characteristics shall be validated and verified at a frequency based on risk and performance of equipment (e.g. heat distribution in retorts, ovens and processing vessels; temperature distribution in freezers and cold stores). |  |  |
| **6.2** | Labelling and pack control |
| **Fundamental****SOI** | The management controls of product labelling activities shall ensure that products will be correctly labelled and coded. |
|  |  | **Conforms** |
| **6.3** | Quantity – weight, volume and number control |
| **SOI** | The site shall operate a quantity control system which conforms to legal requirements in the country where the product is sold and any additional industry sector codes or specified customer requirements. |
|  |  | **Conforms** |
| **6.4** | Calibration and control of measuring and monitoring devices |
| **SOI** | The site shall be able to demonstrate that measuring equipment is sufficiently accurate and reliable to provide confidence in measurement results. |
| **Clause** | **Requirements** | **Conforms** |  |
| **6.4.2** | All identified measuring devices, including new equipment, shall be checked and, where necessary, adjusted:* at a predetermined frequency, based on risk assessment
* to a defined method traceable to a recognised national or international standard where possible.

Results shall be documented. Equipment shall be readable and be of a suitable accuracy for the measurements it is required to perform. |  |  |
| **6.4.4** | Procedures shall be in place to record actions to be taken when the prescribed measuring 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 shall be taken to ensure at-risk product is not offered for sale. |  |  |

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| **7** | **Personnel** |
| **7.1** | Training: raw material handling, preparation, processing, packing and storage areas |
| **Fundamental****SOI** | The company shall ensure that all personnel performing work that affects product safety, legality and quality are demonstrably competent to carry out their activity, through training, work experience or qualification. |
| **Clause** | **Requirements** | **Conforms** |  |
| **7.1.4** | All relevant personnel, including engineers, agency-supplied staff, temporary staff and contractors, shall have received general allergen awareness training and be trained in the site’s allergen-handling procedures. |  |  |
| **7.1.6** | Records of all training shall be available. These shall include, at a minimum:* the name of the trainee and confirmation of attendance
* the date and duration of the training
* the title or course contents, as appropriate
* the training provider
* for internal courses, a reference to the material, work instruction or procedure that is used in the training.

Where training is undertaken by agencies on behalf of the company, records of the training shall be available. |  |  |
| **7.1.7** | The company shall routinely review the competencies of its staff. As appropriate, it shall provide relevant training. This may be in the form of training, refresher training, coaching, mentoring or on-the-job experience. |  |  |
| **7.2** | Personal hygiene: raw material handling, preparation, processing, packing and storage areas |
| **SOI** | The site’s personal hygiene standards shall be developed to minimise the risk of product contamination from personnel, be appropriate to the products produced and be adopted by all personnel, including agency-supplied staff, contractors and visitors to the production facility. |
| **Clause** | **Requirements** | **Conforms** |  |
| **7.2.3** | All cuts and grazes on exposed skin shall be covered by an appropriately coloured plaster that is different from the product colour (preferably blue) and contains a metal detectable strip. These shall be site-issued and monitored. Where appropriate, in addition to the plaster, a glove shall be worn. |  |  |
| **7.3** | Medical screening |
| **SOI** | The company shall have procedures in place to ensure that employees, agency staff, contractors or visitors are not a source of transmission of food-borne diseases to products. |
|  |  | **Conforms** |
| **7.4** | Protective clothing: employees or visitors to production areas |
| **SOI** | Suitable site-issued protective clothing shall be worn by employees, contractors or visitors working in or entering production areas. |
| **Clause** | **Requirements** | **Conforms** |  |
| **7.4.4** | Protective clothing shall be changed at an appropriate frequency, based on risk. |  |  |

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| **8** | **High-risk, high-care and ambient high-care production risk zones** |
| **SOI** | Where a site produces products that require handling in high-risk, high-care and/or ambient high-care production facilities (see Appendix 2 for the definition of products that require these facilities), all the relevant requirements from sections 1–7 of the Standard must be fulfilled in addition to the requirements in this section. |
| **8.1** | Layout, product flow and segregation in high-risk, high-care and ambient high-care zones |
| **SOI** | The site shall be able to demonstrate that production facilities and controls are suitable to prevent pathogen contamination of products. |
| **Clause** | **Requirements** | **Conforms** |  |
| **8.1.4** |  | Where ambient high-care areas are required, a documented risk assessment shall be completed to determine the risk of cross-contamination with pathogens. The risk assessment shall take into account the potential sources of microbiological contamination and include:* the raw materials and products
* the flow of raw materials, packaging, products, equipment, personnel and waste
* air flow and quality
* the provision and location of utilities (including drains).

Effective processes shall be in place to protect the final product from microbiological contamination. These processes may include segregation, management of process flow or other controls. |  |  |