BSI HACCP & GMP Self-Assessment Checklist

Australia and New Zealand Version
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# Table of contents

## Module 1 – Management System

1.1 Management Commitment ................................................................. 4  
1.2 Continual Improvement ................................................................ 4  
1.3 Food Safety Policy ........................................................................ 4  
1.4 Organization Chart & Job Descriptions ....................................... 4  
1.5 Description of How the System Works ....................................... 5  
1.6 Document Control ........................................................................ 5  
1.6.1 Document Register ................................................................ 5  

## Module 2 – HACCP

2.1 Preliminary Steps ........................................................................... 6  
2.2 The HACCP Team ......................................................................... 6  
2.3 Scope and Purpose of the HACCP Plan ........................................ 6  
2.4 Product Description and Intended Use ....................................... 6  
2.5 Flow Diagram ................................................................................ 7  
2.6 Hazard Analysis ............................................................................ 7  
2.7 Determining Critical Control Points .......................................... 8  
2.8 HACCP Audit Table ...................................................................... 8  
2.9 Establish Critical Limits ............................................................... 8  
2.10 Monitoring of CCPs ..................................................................... 8  
2.11 CCP Corrective Actions ............................................................... 9  
2.12 Verification Activities .................................................................. 9  
2.12.1 Food Safety Management System Review ......................... 9  
2.12.2 Internal Audits ....................................................................... 10  
2.12.3 Microbiological & Chemical Testing Schedule .............. 10  
2.12.4 Shelf-Life Testing .................................................................. 10  
2.12.5 Finished Product Assessments ............................................ 11  
2.12.6 Monitoring and Corrective Actions of Verification Activities . 11  
2.12.7 Customer Complaints ............................................................ 11  
2.13 Record Keeping ........................................................................... 12  

## Module 3 – GMP

3.1 Personal Hygiene ........................................................................... 12  
3.2 Cleaning .......................................................................................... 13  
3.2.1 Clean in Place (CIP) Systems .............................................. 13  
3.3 Approved Supplier Program .......................................................... 14  
3.4 Specifications ................................................................................ 14  
3.5 Labelling ......................................................................................... 14  
3.6 Allergen Management Program ................................................... 15  
3.7 Packaging ....................................................................................... 15  
3.8 Control of Non-Conforming Product ........................................ 15  
3.9 Traceability .................................................................................... 16  
3.10 Corrective Action ......................................................................... 16  
3.11 Recall ............................................................................................ 17  
3.12 Premise .......................................................................................... 17  
3.12.1 External Areas ........................................................................ 17  
3.12.2 Layout and Product Flow ..................................................... 17  
3.12.3 Building Fabric ....................................................................... 17  
3.12.4 Staff Amenities ..................................................................... 17  
3.13 Receive & Storage ........................................................................ 18  
3.14 Dispatch and Transport ............................................................... 18  
3.15 Control of Water, Ice, Air and other Gases ............................ 20  
3.15.1 Water ....................................................................................... 20  
3.15.2 Air and other Gases ............................................................... 20  
3.16 Control of Foreign Materials ...................................................... 20  
3.16.1 Metal ....................................................................................... 21  
3.16.2 Glass, Brittle Plastic, Ceramics and Similar Products ....... 21  
3.16.3 Soft Plastics .......................................................................... 21  
3.16.4 Wood ...................................................................................... 21  
3.17 Control of Chemicals ................................................................. 21  
3.18 Maintenance ................................................................................ 22  
3.19 Calibration ................................................................................... 22  
3.20 Training ......................................................................................... 23  
3.21 Waste Management ................................................................. 24  
3.22 Pest Management ........................................................................ 24
# Module 1 – Management System

## 1.1 Management Commitment

What is the scope of the quality management system to be included in the certification?

Has Senior management

i) Demonstrated commitment to the effective implementation of the requirements of HACCP & GMP Certification Criteria - Australia and New Zealand version.

ii) Provided appropriate and trained resources to ensure food safety of the products produced or handled under the scope of certification.

Does the organization have documented:

i) A system in place to ensure it has access to the below for the country in which the product is to be manufactured and sold in:
   a) Appropriate regulatory requirements?
   b) Codes of practice?
   c) Appropriate standards?

ii) How the Food Safety Management System is maintained?

## 1.2 Continual Improvement

Does the organization have a procedure in place for continual improvement?

Does this procedure include a review of the entire Food Safety Management System at least annually?

Have the outcomes of the following (as a minimum) been considered for the continual improvement/review:

i) External audits?
ii) Internal audits?
iii) Corrective actions?
iv) Verification activities?
v) Non-conformances?

## 1.3 Food Safety Policy

Does the organization have a Food Safety Policy in place which has been signed by the senior executive manager?

Does the policy state the organisations commitment and objectives for the supply of safe products that meet:

i) customer expectations?
ii) legal requirements?
iii) Continuous improvement?
iv) Suitable for consumption in the country of manufacture/production and the country of sale?

How is this policy communicated to staff?

Does the organization hold a certificate of currency for public and product liability insurance that is appropriate to the size of the business, local requirements and customer requirements?

## 1.4 Organization Chart & Job Descriptions

Does the organization have a documented organization chart in place which identifies all management and staff positions?
<table>
<thead>
<tr>
<th>HACCP &amp; GMP Criteria requirements</th>
<th>Comments on system status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are position descriptions available for all the positions on the organization chart which have responsibility for food safety and maintenance of the Food Safety Management System?</td>
<td></td>
</tr>
<tr>
<td>Are deputies in place for key roles with responsibilities for food safety?</td>
<td></td>
</tr>
</tbody>
</table>

### 1.5 Description of How the System Works

Does the organization have a written description of the documents that are included in the Food Safety Management System including their inter-relationship?

Does this include the documented scope of the Food Safety Management System?

### 1.6 Document Control

Does the organization have a document control procedure in place for the Food Safety Management System (paper based and electronic) that ensures the most current authorised version is available to all staff?

Does the procedure include:

i) Where documents and records are kept and the processes in place to implement the Food Safety Management System?

ii) Who is responsible for the development and maintenance of all documents within the Food Safety Management System including amending and authorising documents?

iii) What methods of ensuring obsolete documents are removed from use?

iv) Who is responsible for communicating changes to documentation within the Food Safety Management System?

v) What methods are in place to control the security of the paper based and electronic documentation?

vi) What methods are in place for the destruction and control of customer owned / branded / trademarked documentation, product and packaging?

#### 1.6.1 Document Register

Does the organization have a document register in place for the Food Safety Management system?

Does this register include the following:

i) Scope and purpose?

ii) Product description & intended use?

iii) Hazard analysis, including risk assessment?

iv) HACCP Audit Table?

v) Specifications (finished product, chemicals, raw materials and packaging)?

vi) Formulations, standard operating procedures?

vii) Pre-requisite programs?

viii) Polices?

ix) Forms?

x) Work instructions?

xi) Are the date and/or the version number indicated within each document?

Does the organization have access to and control of external documents or references required to maintain the system including relevant industry standards, or guidelines, regulations, recall protocols, codes of practice etc.?
<table>
<thead>
<tr>
<th>HACCP &amp; GMP Criteria requirements</th>
<th>Comments on system status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the organization have an amendment register in place which lists any amendments to documents listed in the documents register?</td>
<td></td>
</tr>
<tr>
<td>Does the amendment register contain as a minimum the reason and date of the change?</td>
<td></td>
</tr>
</tbody>
</table>

**Module 2 – HACCP**

**2.1 Preliminary Steps**

Has the organization developed, documented and implemented HACCP based Food Safety Management System based on Codex Principles as outlined in the application section of the Codex Guideline?

**2.2 The HACCP Team**

(Codex HACCP – Step 1)

Does the organization have a documented HACCP Team?

Does the HACCP Team comprise of individuals within the organization that have the process skills and knowledge to develop and maintain the HACCP Plan? (Note: a multifunctional team is preferable)

Who is the HACCP Team Leader and does this individual hold the following credentials:

1. Has operational accountability within the organization?
2. Has attended a competency-based and assessed training course in the application of HACCP principles or equivalent?

Does the organization employ a consultant to develop and maintain the Food Safety Management System?

If Yes. The organization must ensure and be able to provide evidence the consultant holds appropriate qualifications.

How is the day to day management of the Food Safety Management System demonstrated? E.g. monitoring of CCP records.

**2.3 Scope and Purpose of the HACCP Plan**

(Codex HACCP – Step 1)

Is the scope of the HACCP plan defined and documented including:

1. Start and end point of the processes?
2. Products covered?

Is the purpose of the Food Safety Management System defined and documented including the intent that all food safety hazards will be identified and controlled?

**2.4 Product Description and Intended Use**

(Codex HACCP – Steps 2 & 3)

Have product descriptions been developed and documented for all products included within the scope? (Like products can be grouped together. Products which are processed using different food safety controls, processing techniques or packaging methods require a separate product description).
Does each product description cover the following criteria:
  i) Description of product?
  ii) Composition?
  iii) Physical/Chemical/Microbiological characteristics?
  iv) Method of preservation?
  v) Packaging – primary, secondary and tertiary?
  vi) Storage, handling & distribution methods?
  vii) Shelf life?
  viii) Intended use of the product?
  ix) Labelling requirements including any claims?
  x) Allergens?
  xi) Sensitive consumers?

2.5 Flow Diagram
(Codex HACCP – Steps 4 & 5)

Are documented flow diagrams in place which includes the following:
  i) Rework?
  ii) Inputs (including packaging, chemicals, air, water and steam)?
  iii) Outsourced process steps?
  iv) Waste?

Has the HACCP team verified the flow diagrams on the following occasions and are records of verification available:
  i) Annually?
  ii) If there have been any significant changes to the product or process?

2.6 Hazard Analysis
(Codex HACCP – Steps 6, Principle 1)

Has hazard analysis been undertaken and documented at each step of the process as identified in the flow diagram(s)?

Has a hazard analysis been under taken for each raw material input?

At each step have all potential food safety hazards (biological, chemical and physical) been identified and assessed to identify hazards that need to be prevented, eliminated or reduced to accepted levels?

Have the hazards and the cause of the hazards been documented?

Have all potential allergenic hazards been considered, identified and documented?

Has each hazard been considered as a separate hazard with a separate risk assessment? I.e. hair, metal. These shall not be grouped as foreign material.

Has a risk assessment been undertaken to determine which hazards are significant and which are not? Significance determined by comparing severity of hazard against the likelihood of the hazard occurring.

Have quality hazards been identified? Has the risk assessment for quality hazards been considered separately to the food safety hazards?

For any hazard determined to be significant has at least one
<table>
<thead>
<tr>
<th>HACCP &amp; GMP Criteria requirements</th>
<th>Comments on system status</th>
</tr>
</thead>
<tbody>
<tr>
<td>control measure been determined to prevent it from occurring or reduce to an acceptable level?</td>
<td></td>
</tr>
<tr>
<td>Has the organisation developed a method or utilised one of the standard textbook methodologies for hazard analysis? Whatever method used has it:</td>
<td></td>
</tr>
<tr>
<td>i) Been applied consistently throughout the Food Safety Management System.</td>
<td></td>
</tr>
<tr>
<td>ii) Is the source referenced?</td>
<td></td>
</tr>
<tr>
<td>iii) A copy of the reference shall be included.</td>
<td></td>
</tr>
</tbody>
</table>

**2.7 Determining Critical Control Points**  
(Codex HACCP – Step 7, Principle 2)

Have all hazards deemed to be significant CCPs?

**2.8 HACCP Audit Table**

Has a HACCP Audit Table been developed, documented and applied which includes each step of the process(es)?

Does this table list all the CCPs identified in the Hazard Analysis?

**2.9 Establish Critical Limits**  
(Codex HACCP - Step 8, Principle 3)

Have critical limits for CCPs been established and documented in the HACCP Audit Table?

Are the critical limits measureable and how is it monitored during production?

Are the critical limits guidelines available through industry standards, legislation and codes of practice or published research?

If not:
  i) Has the organization undertaken a validation study to ensure said limits will control the significant hazard?
  ii) Has this validation data been documented and maintained by the organization?

**2.10 Monitoring of CCPs**  
(Codex HACCP - Step 9, Principle 4)

Has the organization documented how each CCP is monitored to ensure it is within the critical limits that have been set?

Are monitoring procedures available to define:
  i) What is being monitored?
  ii) How the monitoring is carried out?
  iii) The frequency of the monitoring and is it sufficient to ensure that the CCP is under control?
  iv) Where the monitoring is to be undertaken?
  v) Who is responsible for undertaking the monitoring?

Is the frequency of monitoring sufficient to ensure that the CCP is under control?

Are staff that conduct monitoring checks on CCPs trained in correct methods and is this training assessed and documented?
HACCP & GMP Criteria requirements | Comments on system status
--- | ---

**2.11 CCP Corrective Actions**
(Codex HACCP - Step 10, Principle 5)

Have CCP corrective Actions been developed, documented and implemented that define the action(s) to be taken when monitoring reveals that the critical limit has not been met?

Are procedures in place that states the action to be taken regarding:

i) The affected product?

ii) Who is responsible?

iii) What action is to be taken regarding the process?

Is root cause analysis undertaken to identify the problem and prevent recurrence?

**2.12 Verification Activities**
(Codex HACCP - Step 11, Principle 6)

Are verification procedures in place to ensure the Food Safety Management System is being followed and is effective?

Do verification activities include the following as a minimum:

i) Internal Audits?

ii) HACCP plan review?

iii) Microbiological and chemical testing (if applicable)?

iv) Shelf life testing (if applicable)?

v) Finished product assessments (Where applicable)?

vi) Review of monitoring records?

vii) Corrective actions records?

Is a documented and maintained verification schedule in place which includes the following:

i) Activity performed?

ii) Frequency conducted?

iii) Personnel responsible?

iv) Records which are maintained?

**2.12.1 Food Safety Management System Review**

How often is the Food Safety Management System reviewed?
(required at least annually)

Does the Food Safety Management System review include:

i) Food Safety Policy?

ii) Organizational chart?

iii) Document control?

iv) Verification activities?

v) Pre-requisite programs?

In addition to annual review is the Food Safety Management System reviewed where any changes occur which could potentially introduce change or application of
<table>
<thead>
<tr>
<th><strong>HACCP &amp; GMP Criteria requirements</strong></th>
<th><strong>Comments on system status</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>the Food Safety Management System?</td>
<td></td>
</tr>
<tr>
<td>Are records of reviews maintained?</td>
<td></td>
</tr>
</tbody>
</table>

### 2.12.2 Internal Audits

Has the organisation have a documented and implemented internal audit procedure?

Are internal audits of the Food Safety Management System (including prerequisite programs) carried out on an annual basis and are sufficient to maintain the effectiveness of the system?

Are internal audit records retained?

Who performs the internal auditor(s) and is suitable training available?

Is there an internal audit schedule in place which indicates:

1. Elements to be audited?
2. Audit scope?
3. Dates to be maintained?

Have GMP inspections been carried out according to the product risk? (Monthly at a minimum)

### 2.12.3 Microbiological & Chemical Testing Schedule

Have microbiological and/or chemical hazards been identified during the hazard analysis process? If Yes:

Is a schedule of testing in place to confirm that CCP(s) are under control?

Is a schedule of testing in place to confirm that products or processes meet regulatory and customer requirements and to ensure quality and food safety parameters?

Are sampling methodologies and test limits documented that include the corrective actions for test results that are outside the limits?

Is testing conducted by suitably trained personnel?

Are test results reviewed by a responsible officer within the organization and within a reasonable timeframe?

Are corrective actions taken when results indicate that limits have been exceeded?

Are records of these corrective actions kept?

### 2.12.4 Shelf-Life Testing

Does the organization produce products with a shelf life of less than two years? If yes:

Is a schedule of shelf life testing documented and maintained?

Does it include the following:

1. Tests to initially establish the shelf life? (which is indicated in the product description)
2. And from initial testing end of shelf life testing to verify that shelf life is being met? (above also applies for product shipped for further processing or rework)
<table>
<thead>
<tr>
<th>HACCP &amp; GMP Criteria requirements</th>
<th>Comments on system status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Are retention samples stored under typical conditions and in the commercial packaging for that product?</td>
<td></td>
</tr>
<tr>
<td>Has end of shelf life testing occurred after the expiry date of the product? (Not to be tested on date of expiry)</td>
<td></td>
</tr>
<tr>
<td>For frozen product has the end of shelf life testing been carried out after the end of the frozen period has been reached?</td>
<td></td>
</tr>
<tr>
<td>Which of the following does the organization include as end of shelf life tests:</td>
<td></td>
</tr>
<tr>
<td>i) Chemical testing?</td>
<td></td>
</tr>
<tr>
<td>ii) Microbiological testing?</td>
<td></td>
</tr>
<tr>
<td>iii) Organoleptic testing?</td>
<td></td>
</tr>
<tr>
<td>iv) Physical testing? (e.g. weight loss during storage)</td>
<td></td>
</tr>
<tr>
<td>Have end of shelf life results demonstrated that the parameters of the product at the end of shelf life continue to meet the finished product specification? (Therefore pathogen testing shall be carried out at the end of shelf life)</td>
<td></td>
</tr>
<tr>
<td>For new products has the process for determining the shelf life and assumptions been clearly documented?</td>
<td></td>
</tr>
<tr>
<td>Does the organization perform accelerated shelf life testing? (If yes, this shall not replace shelf life testing under typical conditions)</td>
<td></td>
</tr>
<tr>
<td>Does the shelf life testing schedule include the following:</td>
<td></td>
</tr>
<tr>
<td>i) Type of testing to be undertaken?</td>
<td></td>
</tr>
<tr>
<td>ii) Testing to be carried out on each product, or product type?</td>
<td></td>
</tr>
<tr>
<td>iii) Testing to be carried out at least annually or when a significant change in the product or process is undertaken?</td>
<td></td>
</tr>
<tr>
<td>Are test results reviewed and signed by a responsible officer within the organization?</td>
<td></td>
</tr>
<tr>
<td>Are corrective actions taken when results indicate that limits have been exceeded?</td>
<td></td>
</tr>
</tbody>
</table>

**2.12.5 Finished Product Assessments**

Is there a developed, documented and implemented schedule for finished product assessments against finished product specifications which includes organoleptic, chemical and physical parameters? E.g. weight check, label check, taste, seal integrity.

Are records of these assessments kept?

**2.12.6 Monitoring and Corrective Actions of Verification Activities**

Does the organization review the results of verification activities?

Is a documented schedule in place for reviewing monitoring activities and corrective actions of verification?

**2.12.7 Customer Complaints**

Does the organization have a developed, documented and implemented process for reviewing customer complaints in
### HACCP & GMP Criteria requirements

<table>
<thead>
<tr>
<th>Comments on system status</th>
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<tbody>
<tr>
<td>relation to food safety and quality issues?</td>
</tr>
<tr>
<td>Is this process reviewed at least annually?</td>
</tr>
<tr>
<td>Does this process include a customer complaints register?</td>
</tr>
<tr>
<td>Are staff that are logging customer complaints suitable trained?</td>
</tr>
<tr>
<td>Are records of review, investigation undertaken and corrective action kept?</td>
</tr>
<tr>
<td>Are corrective actions prompt and appropriate?</td>
</tr>
</tbody>
</table>

#### 2.13 Record Keeping
(Codex HACCP - Step 12, Principle 7)

Does the organization have a documented and controlled record keeping system relevant to the Food Safety Management System?

Are the following records retained:
- Monitoring of CCPs?
- Corrective actions taken regarding CCPs?
- Changes to the Food Safety Management System?
- Pre-Requisite Programs?
- Verification Activities?
- Validation Activities?

Are records retained for a minimum of 12 months or the shelf life of the subject product(s)? (Whichever is the greater)

Are records protected from damage or loss, easily accessible and securely stored?

### Module 3 – GMP

#### 3.1 Personal Hygiene

Has the organization developed, implemented and documented a personal hygiene policy and procedure that covers the following criteria as a minimum:
- Staff illness?
- Eating, drinking & smoking restrictions?
- Hand-washing requirements?
- Sneezing, coughing & blowing of noses?
- Cuts, wounds & bandage requirements?
- Clothing requirements?
- Jewellery restrictions? (including watches)
- Control of personal items including medication and mobile phones?
- False nails (including acrylics) and false eyelashes?
- Staff movement?
- Control of visitors and contractors?
- PPE storage – to ensure no cross contamination between low and high risk PPE?
- Returning to work after breaks?
- Signage?

Are staff hygiene compliance checks undertaken?

What's the frequency of these checks?

Is the frequency defined in the policy?
Are records of checks maintained?

3.2 Cleaning

Has the organization developed, documented and implemented a cleaning program?

Does this program have the following in place:

i) Areas within and outside the building that require cleaning?

ii) Equipment that requires cleaning?

iii) Between batch cleaning?

iv) Method of cleaning?

v) Frequency of cleaning?

vi) Chemicals used?

vii) Chemical concentrations, dwell times and temperatures?

viii) Persons responsible for cleaning?

ix) Records of monitoring of cleaning and pre-op checks?

x) Personnel responsible for review of cleaning records?

xi) Training of cleaners?

How is cleaning monitored?

What is the frequency of monitoring?

What corrective actions will be taken if cleaning monitoring indicates that cleaning is ineffective?

Does the organization have a documented schedule of microbiological swabbing in place for the verification of the cleaning program which includes:

i) Records of swab locations?

ii) Methodology?

iii) Corrective actions?

iv) Retests of swab locations maintained?

Are product contact, non-product contact surfaces and cleaning equipment included in the verification program?

Are steel wool / wire brushes eliminated within the processing areas?

How often and how are cleaning utensils and equipment assessed to ensure any worn utensils and equipment do not pose a risk of cross contamination to the production process?

How are squeegees controlled?

(Applicable to high risk only)

Are squeegees used for condensation control cleaned and sanitised daily?

Is cleaning carried out in a way that does not pose a hazard to food production?

Are high risk hoses used during production or when product is exposed?

3.2.1 Clean in Place (CIP) Systems

Are the CIP systems implemented and documented to ensure product first through the line is free of residual cleaning chemicals?
**3.3 Approved Supplier Program**

Does the organization have a documented and implemented approved supplier program in place?

Does this program include all products and services that could affect food safety or quality of the finished product?

Are the following reviewed as a minimum:

i) Raw ingredients?
ii) Packaging?
iii) Chemicals?
iv) Service providers?
v) Third party contractors?
vi) Outsourced processing activities?

Have the following requirements been defined for each supplier:

i) The selection and approval of suppliers and service providers?
ii) Emergency suppliers/providers?
iii) Removing suppliers/providers?

Does the organization have a documented and maintained approved suppliers list which is reviewed annually at a minimum?

Is the approved supplier program reviewed annually as part of the internal audit program?

Are requirements on suppliers, if applicable, for product verification (domestic and international) documented to ensure compliance to relevant regulatory requirements in the country of manufacture and sale?

Are methods for monitoring incoming products and services documented and implemented and records maintained?

Have suppliers been risk assessed and assigned a risk rating?

Are records of approval evidence maintained?

Including:

i) HACCP Certificates?
ii) Questionnaires?
iii) Formal agreements?
iv) Methods of insurance?
v) Licences for service contractors?

**3.4 Specifications**

Does the organization have specifications available for all raw materials (including packaging) and finished products that are handled on site?

Do these specifications contain appropriate information to ensure compliance to relevant food safety and legislative requirements?

**3.5 Labelling**

Has the organization developed, implemented and documented a procedure for the preparing of and the reviewing of labels?
### HACCP & GMP Criteria requirements

<table>
<thead>
<tr>
<th>Does this procedure include how labels are prepared to comply with:</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) FSANZ Food Standards Code?</td>
</tr>
<tr>
<td>ii) Trade Measurement requirements?</td>
</tr>
<tr>
<td>iii) Other regulations that may apply in certain specific sectors?</td>
</tr>
<tr>
<td>iv) Country of sale?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Are labels reviewed annually if any of the following occur:</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) Changes to laws in relation to labelling?</td>
</tr>
<tr>
<td>ii) Changes in raw materials?</td>
</tr>
<tr>
<td>iii) Changes to recipes including the introduction of ingredients that contain allergens?</td>
</tr>
<tr>
<td>iv) Changes to the labels/packaging are made?</td>
</tr>
<tr>
<td>v) Nutritional Claims on labels/packaging shall be validated?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Are labels checked prior to production commencing for:</th>
</tr>
</thead>
<tbody>
<tr>
<td>i) Correct label?</td>
</tr>
<tr>
<td>ii) Use by/best before date?</td>
</tr>
<tr>
<td>iii) Legibility?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Are records of label reviews maintained?</th>
</tr>
</thead>
</table>

### 3.6 Allergen Management Program

Does the organization have a documented and implemented Allergen Management program which includes a risk assessment for raw materials that includes the following:

| i) Receipt & storage of allergenic raw materials? |
| ii) A list of all allergenic ingredients? |
| iii) Control measures to prevent cross contamination of non-allergenic raw material from allergenic raw material during production? |
| iv) Scheduling of production around allergens? |
| v) Policies relating to the use of allergenic ingredients in rework? |
| vi) Consideration of allergens during product development? |
| vii) Mandatory declaration of allergens on product labels? |
| viii) Allergens claims shall be validated on at least an annual basis? |

| Is staff training available for the Allergen management program? |

### 3.7 Packaging

Have product characteristics been taken into account when the packaging is being developed to ensure that it is fit for the intended use?

| Is packaging stored away from raw materials and finished products? |

| Is packaging protected from contamination? |

### 3.8 Control of Non-Conforming Product

Has the organization developed, documented and implemented a procedure for Control of Non-Conforming Product that defines actions to be taken when monitoring and verification procedures reveal that products do not meet specifications?
### HACCP & GMP Criteria requirements

<table>
<thead>
<tr>
<th>Does the procedure state action to be taken regarding the affected product?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the procedure state action to be taken to determine the root cause of problem and prevent re-occurrence?</td>
</tr>
<tr>
<td>Does the procedure indicate the personal responsible for the control of non-conforming product?</td>
</tr>
<tr>
<td>Are records of non-conforming product from raw material, work in progress, packaging, through all stages of the process maintained to ensure full traceability?</td>
</tr>
</tbody>
</table>

### 3.9 Traceability

Does the organization have a procedure in place for traceability that ensures, for all stages of production from receival through to finished goods, products are clearly identified including:

i) Raw material receival?

ii) Storage?

iii) Work in progress?

iv) Rework?

v) Final product?

vi) On hold product?

vii) Reject product, quarantined / non-conforming product?

viii) Returned product, downgraded/damaged stock?

ix) Pet food/animal feed?

x) Waste product(s)?

xi) Cleaning chemicals?

xii) Packaging?

xiii) Research and development materials?

Does the procedure documented how product is traced one back and one forward?

Are records of traceability maintained?

Is the traceability procedure reviewed annually?

Does this review include a test of the traceability system at least annually?

### 3.10 Corrective Action

Does the organization have a corrective action procedure in place in addition to the corrective action requirements detailed in the HACCP Audit Table and prerequisite programs?

Does the procedure describe how corrective actions are recorded, reviewed and investigated?

Are records of corrective actions maintained?

Does this procedure describe how corrective actions are to be recorded, reviewed and investigated, and how records are maintained?

Can the company demonstrate that they are able to use information from identified failures in the food safety management system to identify the root cause, make necessary corrections and prevent re-occurrence?
Are corrective actions implemented for the following situations:

i) Customer complaints?
ii) Continual product rejections?
iii) Production of unsafe products?
iv) HACCP Food Safety Management System failures?

Who has authority to investigate and address the corrective action?

Are corrective actions completed in a timely manner?

3.11 Recall

Does the organization have a recall procedure in place that complies with the requirements of the current addition of the Food Industry Protocol published by Food Standards Australia and New Zealand (FSANZ)?

Does the procedure contain a current version of the Food Recall Action Officers list published by FSANZ and any industry or customer specific details required to effectively notify of a recall/withdrawal?

Has the organization completed an annual mock recall to demonstrate effectiveness of the recall procedure?

Are clear and accurate records of recalls, withdrawals and mock recalls kept and available?

3.12 Premise

Is the premise suitable for the type of product being manufactured? (Premise must be of appropriate size and design to reduce risk of contamination and ensure the production of safe and legal food stuffs)

Where appropriate, has the organisation been registered with the local council or government department?

Has the organisation have a documented process for monitoring the condition of the premise in place?

Is the monitoring frequency documented?

Are records kept and corrective actions addressed in an appropriate time frame?

3.12.1 External Areas

Are the external areas around the facility maintained in a clean and tidy manner that does not pose a risk to the products?

3.12.2 Layout and Product Flow

Has the premise ensured that the product flow from Recieval to dispatch does not pose a contamination risk to the products?

Is appropriate segregation maintained between areas of low risk, high risk and high care?

3.12.3 Building Fabric

Are walls light in colour, smooth, impervious to water, in good condition and easy to clean?

Are floors smooth, impervious to water, in good condition with and easy to clean?
<table>
<thead>
<tr>
<th>HACCP &amp; GMP Criteria requirements</th>
<th>Comments on system status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is coving in place between the floor and wall joins to facilitate cleaning?</td>
<td></td>
</tr>
<tr>
<td>Are drains in good condition? Flowing water to be directed into drains. Fall of floor shall be to the drains of an appropriate gradient.</td>
<td></td>
</tr>
<tr>
<td>Are ceilings light in colour and easy to clean?</td>
<td></td>
</tr>
<tr>
<td>Do ceilings preclude pest or dust ingress?</td>
<td></td>
</tr>
<tr>
<td>Are windows in processing areas kept closed or have adequate pest proofing?</td>
<td></td>
</tr>
<tr>
<td>Are glass windows kept to a minimum (or eliminated) within the processing areas?</td>
<td></td>
</tr>
<tr>
<td>Are doors close fitting?</td>
<td></td>
</tr>
<tr>
<td>Are doors kept closed at all times?</td>
<td></td>
</tr>
<tr>
<td>Is lighting adequate for the activities being carried out?</td>
<td></td>
</tr>
<tr>
<td>Are lights protected from breakage? (including electric fly killing devices)</td>
<td></td>
</tr>
</tbody>
</table>

### 3.12.4 Staff Amenities

Are staff amenities of a sufficient size to accommodate the number of personnel?

Are the facilities maintained in a clean and tidy manner?

Are toilets designed so they don't open directly to processing areas?

Is the toilet area equipped with hand washing facilities?

Are hand washing stations located in appropriate locations throughout site and are they:

  1) Made of suitable construction? (i.e. not ceramics).
  2) Equipped with a supply of warm, running, potable water with liquid soap and a suitable method of drying hands?

Do hand wash stations in high risk areas have hands free operation?

Are hand sanitisers in place in high risk areas?

Have facilities for eating, drinking and smoking been located away from food production areas?

Is personal outdoor clothing kept separate from protective clothing?

Is there an appropriate amount of personal protective clothing available for staff and visitors?

Are appropriate receptacles available for staff and visitors to place dirty personal protective clothing?

Do lunchrooms have adequate refrigeration facilities available for staff to store perishable food items?

### 3.13 Receival & Storage

Are documented procedures in place for the storage of products?
<table>
<thead>
<tr>
<th>HACCP &amp; GMP Criteria requirements</th>
<th>Comments on system status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does this procedure include:</td>
<td></td>
</tr>
<tr>
<td>i) Stock rotation?</td>
<td></td>
</tr>
<tr>
<td>ii) Allergen management?</td>
<td></td>
</tr>
<tr>
<td>iii) Cleaning stock/inventory control?</td>
<td></td>
</tr>
<tr>
<td>iv) Segregation of non-conforming product?</td>
<td></td>
</tr>
<tr>
<td>v) Handling to minimise stock damage?</td>
<td></td>
</tr>
<tr>
<td>Are facilities for the storage of ingredients, packaging, work in progress and finished product fit for purpose, clean and large enough for use at the busiest time of year?</td>
<td></td>
</tr>
<tr>
<td>Are temperature controlled facilities able to maintain temperatures?</td>
<td></td>
</tr>
<tr>
<td>Are monitoring records of temperature controlled areas maintained?</td>
<td></td>
</tr>
<tr>
<td>Are ingredients, raw materials, work in progress, finished product and packaging are stored in such a manner that they do not pose a food safety (or quality) risk to the product?</td>
<td></td>
</tr>
<tr>
<td>Are receival records maintained?</td>
<td></td>
</tr>
<tr>
<td>If deliveries are unloaded outside the facility, are controls in place to ensure that the product is moved inside as soon as practical?</td>
<td></td>
</tr>
<tr>
<td>Have contingencies for inclement weather been determined?</td>
<td></td>
</tr>
<tr>
<td>Is there a stock rotation system in place that ensures the oldest stock, ingredients and packaging are used first?</td>
<td></td>
</tr>
<tr>
<td>Does the organisation use alternative storage facilities?</td>
<td></td>
</tr>
<tr>
<td>If yes are these included in the HACCP plan and monitoring for GMP?</td>
<td></td>
</tr>
<tr>
<td>Where the alternative facility is owned by a third party are they included in the approved supplier program?</td>
<td></td>
</tr>
<tr>
<td><strong>3.14 Dispatch and Transport</strong></td>
<td></td>
</tr>
<tr>
<td>Have all vehicles used to transport raw materials, packaging, work in progress and/or finished product shall be maintained in a good state of repair and in a clean and hygienic condition?</td>
<td></td>
</tr>
<tr>
<td>Are any vehicles required to transport chilled, frozen or hot food?</td>
<td></td>
</tr>
<tr>
<td>If yes are the following adhered to:</td>
<td></td>
</tr>
<tr>
<td>i) Chilled product transport to maintain temperature at or below 5°C?</td>
<td></td>
</tr>
<tr>
<td>ii) Frozen product transport to maintain temperature of product?</td>
<td></td>
</tr>
<tr>
<td>iii) Hot product transport to maintain temperature at or above 60°C?</td>
<td></td>
</tr>
<tr>
<td>Are records maintained of all cleaning, maintenance (including calibration), inspection and temperature of the vehicle(s)?</td>
<td></td>
</tr>
<tr>
<td>Are there documented security protocols and records of checks maintained for the transportation of interim products that are transported to a 3rd party for part of the process?</td>
<td></td>
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</tbody>
</table>
### HACCP & GMP Criteria requirements

<table>
<thead>
<tr>
<th>Is there an implemented and documented procedure in place for breakdown of transport vehicles?</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Where applicable, are transport vehicles registered with the local authorities?</th>
</tr>
</thead>
</table>

### Comments on system status

#### 3.15 Control of Water, Ice, Air and other Gases

#### 3.15.1 Water

Does the organization have an adequate supply of potable water for use in the following – post harvest washes treatments, hand-washing, cleaning, as an ingredient, or to make ice?

If recirculated water is used for reuse in production, hand-washing and/or cleaning has the water been treated?

How is the treatment effectively monitored?

Is the treated water tested to verify its safety?

Is a water (including ice where applicable) testing program in place that is inclusive of frequency of testing, test methods, limits and action to be taken for results that are outside limits?

Is water (including ice where applicable) tested at least annually?

Is the frequency of testing determined by risk of the product?

Are records of testing maintained?

Is there any source of non-potable water used on-site?

If yes:

- Has this water been risk assessed and monitored to ensure that there is no risk of cross contamination with product?

If ice is manufactured on site is part of the raw material risk assessment?

#### 3.15.2 Air and other Gases

Does the organization use air, steam or any other gas in direct contact with the product?

If yes:

- Are gases food grade?
- Are gases verified annually? (frequency testing, test, test methods, limits and action to be taken for results that are outside limits)
- Are filters and equipment used included in the maintenance and calibration procedures?

#### 3.16 Control of Foreign Materials

Has the HACCP plan considered all foreign material hazards in the plan as separate hazards at each step?

Does the organization have a documented procedure with all equipment that is used for the control of foreign materials (i.e. metal detection, sieves, and optical sensors) listed?

Does this procedure outline the controls and methods that are used for control of foreign materials?

Are these control methods validated and verified?
## HACCP & GMP Criteria requirements

<table>
<thead>
<tr>
<th>Comments on system status</th>
</tr>
</thead>
<tbody>
<tr>
<td>If metal detectors, x-rays, magnets and optical sorters are used, are they serviced at least annually?</td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
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<tbody>
<tr>
<td>Has training for responsible staff been completed for monitoring equipment related to control of foreign material?</td>
<td></td>
</tr>
<tr>
<td>Does the training include:</td>
<td></td>
</tr>
<tr>
<td>i) Use of the equipment?</td>
<td></td>
</tr>
<tr>
<td>ii) Monitoring methods?</td>
<td></td>
</tr>
<tr>
<td>iii) Corrective actions?</td>
<td></td>
</tr>
</tbody>
</table>

### 3.16.1 Metal

Does the organization have a documented policy for the control of metal items including knives, needles, wires, staples and knife sharpening equipment?

### 3.16.2 Glass, Brittle Plastic, Ceramics and Similar Products

Have glass and other brittle plastics where possible been excluded from the processing areas or protected against breakage?

<p>| | |</p>
<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Does the organization have a documented policy for the use of glass and brittle plastic in processing areas which includes handling of breakages?</td>
<td></td>
</tr>
<tr>
<td>Is the final product packed into glass packaging?</td>
<td></td>
</tr>
<tr>
<td>If yes: Are appropriate controls in place for line cleaning following breakages?</td>
<td></td>
</tr>
</tbody>
</table>

### 3.16.3 Soft Plastics

Does the organization have a policy in place for the use and control of soft plastic items?

<p>| | |</p>
<table>
<thead>
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</thead>
<tbody>
<tr>
<td>Are soft plastic items of appropriate gauge to prevent tears and rips and used for the intended purpose? (soft plastic includes but is not limited to gloves, aprons, product liners)</td>
<td></td>
</tr>
<tr>
<td>Where possible are soft plastic items a contrasting colour to the product?</td>
<td></td>
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</tbody>
</table>

### 3.16.4 Wood

Does the organization have a policy in place for the control of wood in processing areas?

<p>| | |</p>
<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>Has wood been excluded from processing areas? (wood is permitted if it is part of the processing equipment)</td>
<td></td>
</tr>
<tr>
<td>Where wooden pallets cannot be excluded from the processing area are adequate controls in place to ensure that the pallets are in good condition and free from damage and dry?</td>
<td></td>
</tr>
</tbody>
</table>

### 3.17 Control of Chemicals

Does the organization have a documented list of chemicals including dilutions and intended use of chemicals?

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Are current Material Safety Data Sheets (MSDS) available for any chemical that is being used or stored on site?</td>
<td></td>
</tr>
<tr>
<td>Is evidence available to demonstrate that the chemical is suitable for use in food premise and appropriate for the intended use by the organization?</td>
<td></td>
</tr>
<tr>
<td>HACCP &amp; GMP Criteria requirements</td>
<td>Comments on system status</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>--------------------------</td>
</tr>
<tr>
<td>Are chemicals stored to manufacturer's instructions and stored in a locked cupboard when not in use?</td>
<td></td>
</tr>
<tr>
<td>Are all chemicals labelled?</td>
<td></td>
</tr>
<tr>
<td>What controls are in place for the dilution of chemicals?</td>
<td></td>
</tr>
<tr>
<td>Are chemicals odour free?</td>
<td></td>
</tr>
<tr>
<td>Have all staff/contractors who handle chemicals received appropriate training?</td>
<td></td>
</tr>
</tbody>
</table>

### 3.18 Maintenance

Is equipment used to produce, prepare, store, process, or pack food suitable for purpose, food grade (if in direct contact with food), easily cleaned and assessed regularly to ensure it is in good working order?

Is maintenance conducted to ensure it does not pose a safety risk to food production?

Where maintenance is to be carried out do all food products, ingredients and packaging get removed from the area of maintenance activity?

Has the organization implemented a planned maintenance procedure and schedule for all food processing plant, equipment, services, premises and surrounds?

Are records kept of equipment inspections, planned maintenance and breakdowns?

Do staff or contractors involved in maintenance activities adhere to the personal hygiene requirements outlined in clause 3.1 Personal Hygiene?

Are temporary repairs controlled to ensure the food safety and legality of the product? Temporary repairs shall be permanently repaired as soon as practicable.

Are measures in place to ensure maintenance staff and contractors use tools that are suitable for a food production and ensure they remove all equipment, utensils when maintenance is completed?

Is the maintenance workshop maintained in a clean and tidy manner and pest proofed?

Has steel wool (if used outside the processing area) been maintained in a good condition?

### 3.19 Calibration

Does the organization have a documented procedure to ensure all equipment used to inspect, measure or test the product is reading accurately so that the results of these readings can be relied upon? (E.g. temperature measuring equipment, pH meters, flow meters, boom sprayers, weighing scales, data loggers, etc.)
<table>
<thead>
<tr>
<th><strong>HACCP &amp; GMP Criteria requirements</strong></th>
<th><strong>Comments on system status</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Is there a calibration schedule available that includes:</td>
<td></td>
</tr>
<tr>
<td>i) A list identifying all equipment that requires calibration?</td>
<td></td>
</tr>
<tr>
<td>ii) Frequency of calibration?</td>
<td></td>
</tr>
<tr>
<td>iii) Method of calibration?</td>
<td></td>
</tr>
<tr>
<td>iv) Acceptable degree of accuracy?</td>
<td></td>
</tr>
<tr>
<td>v) A method for identifying equipment that is out of calibration?</td>
<td></td>
</tr>
<tr>
<td>vi) A method for taking corrective action on product produced whilst equipment was out of calibration?</td>
<td></td>
</tr>
<tr>
<td>vii) Any specific requirement(s) for calibration e.g. calibration to be undertaken by NATA certified service provider, trade certification?</td>
<td></td>
</tr>
<tr>
<td>Have staff who conduct or review calibration been appropriately trained?</td>
<td></td>
</tr>
<tr>
<td>Are records available of all calibrations, calibration checks and any corrective action taken when equipment is found to be out of calibration?</td>
<td></td>
</tr>
</tbody>
</table>

### 3.20 Training

Does the organisation document the responsibility and the process for ensuring that the appropriate personnel have been trained in any changes to legislations and documentation?

Is this documentation reviewed and updated?

Does the organization have an appropriate induction program in place?

Does the organization have a developed a skills and knowledge assessment program to ensure that all staff members whose actions directly or indirectly impact on food safety of the food and/or ingredient, are competent in food safety at a level appropriate to the role they perform?

Does the organization have a training program in place that contains but is not limited to:

i) Food Safety?

ii) HACCP?

iii) Allergens?

iv) Cleaning?

v) GMP/GHP?

Are staff that move into new roles trained in that role?

Are staff who are responsible for an activity that is associated with a CCP or responsible for the implementation of a prerequisite program, competent in that role?

Is refresher training carried out commensurate with the product risk and role at least annually?

Does the food safety skills training program include a review of staff food safety competence as part of the internal audit program and the HACCP Food Safety Management System Review?

Are records of all training and qualifications undertaken by staff and records of competence reviews maintained?

Do these records include a Training Matrix or equivalent for all staff which includes an inventory of skills on site?
### 3.21 Waste Management

Does the organization have a documented waste management system in place?

Is waste removed from processing areas at regular intervals to avoid accumulation?

Are waste receptacles clearly identified from work in progress or rework receptacles?

Do external waste bins have a lid and are they kept closed at all times?

Are external waste bins (including recycling) emptied at an appropriate frequency and is the area kept clean?

Is equipment used in waste management included in the cleaning program?

### 3.22 Pest Management

Does the organization have a pest management program in place that covers the entire premise and includes roof tops?

Does this program include a schedule for the application and frequency of treatments?

Does the program state how monitoring is undertaken, the frequency of monitoring and the corrective action to be taken if monitoring indicates the program is not effective?

Does the program include:

i) Bait maps depicting the type and location of treatments?

ii) Bait stations secured against movement and tampering?

iii) Chemicals used, the concentration and the batch details?

iv) A current Material Safety Data Sheet (MSDS) for any pest control chemical that is being used or stored on site?

v) Chemical storage away from processing areas and chemicals used for production and maintenance purposes?

vi) A copy of the contractor’s current license available and is it valid for the state in which the premise is located if using an external pest control contractor is there?

vii) Suitable training and training records maintained if pest control activities are carried out by internal personnel?

viii) records of monitoring and corrective action?

ix) Suitable chemicals for use on or near food, food packaging, or food contact surfaces?

x) Control of toxic bait stations so they are not located in the production and storage areas?

xi) Staff training to report pest sightings?

xii) Are electronic fly control units used inside food manufacturing areas?