

# BSI Catering Food Safety Certification

## Self-assessment tool



## BSI Catering Food Safety Certification scheme overview:



The BSI Catering Food Safety Certification is a unique, global standard specifically developed by BSI to meet an industry need for appropriate food safety criteria relevant to food prepared for immediate consumption. There are many food safety standards and certifications available however the majority of these have been written for food manufacturing and it's not one size fits all in the food industry.

The activity of 'catering' in this certification scheme covers the preparation, storage and where appropriate, delivery of food for consumption, at the place of preparation or at a satellite unit. A satellite unit is a kitchen where bulk food from a central kitchen is portioned, reheated if needed, and made ready for service. Establishment refers to any building or area in which food is handled and the surroundings are under the control of the same management.

BSI Catering Food Safety Certification takes a common sense, risk-based approach, providing organizations with a clear path towards achieving certification. This new global standard has been designed to meet the gap in current food safety standards between legal compliance and manufacturing based standards. It's based on the internationally recognized requirements of ISO TS 22002-2:2013 Pre-Requisite Programs on Food Safety and ISO 22000:2005, Food Safety Management Systems, with references to Codex Alimentarius HACCP.

This certification criteria covers the essentials for:

- Prerequisite programmes
- HACCP food safety plans
- Process controls
- Document and record keeping

Multi-site certification is not applicable to BSI Catering Food Safety Certification because certification is site specific covering the unique products and process identified within the scope of each site's food safety management system.

## Module 1 – Pre-requisite programmes

Criteria		Reason	Compliance assessment tips
<b>Premises</b>			
1.1	Has the premise ensured that the product flow from receipt to dispatch does not pose a contamination risk to the products?	The intent of this requirement is to avoid cross-contamination of cooked and pre-cooked foods through direct or indirect contact with raw foods in storage or made at an earlier stage of the food handling process.	<p>Walk through your process from receipt and storage of raw ingredients through all stages of preparation and cooking to plating or food display. Look for opportunities to minimize the potential for cross contamination;</p> <ul style="list-style-type: none"> <li>✓ Storage areas including coolrooms, freezer rooms and refrigerators should be well organized and uncluttered</li> <li>✓ Shared work areas should have sufficient space to allow for segregation of raw and cooked products</li> <li>✓ Shared equipment and utensils for different products will need thorough cleaning and disinfection (sanitizing) between use, e.g. food processors and blenders</li> <li>✓ People movement throughout the food preparation area should be organized so that microbiological or allergen risks are not transferred from one area to another</li> </ul>
1.2	Are walls light in colour, smooth, impervious to water, in good condition and easy to clean?	<p>Food handling and storage areas need to be maintained in a clean condition to prevent contamination of food and work areas.</p> <p>Flaking paint could fall onto food handling work areas or equipment and be found in food as foreign matter.</p> <p>Cockroaches, rats and mice may be able to hide in wall cavities.</p>	<ul style="list-style-type: none"> <li>✓ Walk through your premises to check all wall surfaces;</li> <li>✓ Any wall surfaces that are damaged, have holes, flaking paint or unclean surfaces should be repaired prior to your audit.</li> <li>✓ If this is not possible you will need an action plan showing when the wall will be repaired and the controls in place until repairs are completed, e.g. routine inspection for pests, additional cleaning, relocation of food handling activities etc.</li> </ul>
1.3	Are floors smooth, impervious to water, in good condition and easy to clean?	<p>Floor surfaces need to be easy to clean so that the food handling environment can be maintained in a clean and sanitary condition</p> <p>Damaged flooring may allow water to seep under the floor surface and further damage the flooring or create stagnant water which may become a contamination risk that is 'walked' through your kitchen in general people and equipment movement</p>	<ul style="list-style-type: none"> <li>✓ Walk through your premises to check all floor surfaces:</li> <li>✓ Any floors that are damaged (e.g. cracks in concrete or tiles) should be repaired prior to your audit</li> <li>✓ If sections of the floor do not grade to the drain, then additional controls will be needed to remove pooling water (e.g. mop and bucket)</li> </ul>

Criteria		Reason	Compliance assessment tips
1.4	Are drains in good condition?	Drains are required in strategic locations to remove liquids from cleaning, food preparation processes and spills from the food handling area	<p>Walk through your premises to check:</p> <ul style="list-style-type: none"> <li>✓ All drains are fitted with covers to prevent large items flushing down the drain causing blockage</li> <li>✓ Drain covers and removable basket traps are included on a cleaning schedule to ensure they are regularly cleaned and disinfected to prevent the growth of bacteria (especially Listeria) which may be transferred from the floor to work surfaces through unhygienic practices</li> </ul>
1.5	Are ceilings light in colour, easy to clean and preclude pest and dust ingress?	<p>Ceilings should be smooth, with no joins or damages that could allow pests to access food storage and handling areas from the void or roof area</p> <p>Drop panel ceilings are not ideal as the joins between the panels can allow for dust and pests to enter food handling areas</p>	<p>Walk through your premises to check all ceiling surfaces:</p> <ul style="list-style-type: none"> <li>✓ Any damaged ceiling sections should be repaired prior to your audit or a control measure to manage any risks from ceiling damages should be in place</li> <li>✓ If the ceiling is 'drop panel' construction, there should be a plan for routine cleaning to control the risk of dust and to check for the presence of pests</li> </ul>
1.6	Are doors close fitting?	Open doors can allow debris, pests and unauthorized people access to your kitchen	<p>Walk through your premises to check:</p> <ul style="list-style-type: none"> <li>✓ External doors do not have gaps that could allow debris and pests to enter</li> <li>✓ That frequently opened doors are fitted with a self-closing device to ensure that the door is closed when not in use</li> <li>✓ External doors are fitted with a self-closing device to ensure that the door is closed when not in use</li> </ul>

Criteria		Reason	Compliance assessment tips
1.7	Is appropriate segregation maintained between areas of low-risk, high-risk and high-care?	<p>This intent of this requirement is to avoid cross-contamination between people, processes, equipment and products from different areas of risk</p> <p><i>Example: Most institutionalized foodservice kitchens will have a separate high-care area designated for plating meals and for the preparation of ready-to-eat (RTE) foods such as sandwiches, salads and desserts to prevent contamination from raw foods</i></p>	<ul style="list-style-type: none"> <li>✓ Are there segregated areas in your kitchen defined for different food handling activities based on risk?</li> </ul> <p>Walk through your premises to check the adequacy of segregation:</p> <ul style="list-style-type: none"> <li>✓ Are doors or plastic strip dividers intact and in place?</li> <li>✓ Are designated storage areas provided for high-care or high-risk food items?</li> <li>✓ Is outer packaging (cartons) removed in low-risk areas prior to transfer to high-care or high-risk areas?</li> <li>✓ Are there additional hygiene controls for food handlers to move from low-risk to high-care or high-risk areas?</li> <li>✓ Is there a higher standard of housekeeping and hygiene maintained in high-care and high-risk areas?</li> </ul>
1.8	<p>Is lighting adequate for the activities being carried out?</p> <p>Are lights protected from breakage?</p>	<p>Lighting needs to be sufficient for all areas of the premises to be inspected and to allow any contamination or pest infestation to be easily seen</p>	<p>Walk through your premises to check the adequacy of lighting in all areas with a particular focus on:</p> <ul style="list-style-type: none"> <li>✓ Storage areas behind shelving or racking</li> <li>✓ Entry and exit areas</li> <li>✓ The suitability of light protection over exposed food or food handling surfaces (i.e. tables, benches, sinks etc.) as any breakage of light fittings in these areas may directly contaminate food</li> </ul>
1.9	Are staff amenities of a sufficient size to accommodate the number of personnel?	<p>Access to change rooms, toilets, hand washing and storage for personal belongings must be sufficient for the number of staff that need to access these areas</p>	<p>Check the adequacy of staff facilities to confirm suitable access, particularly if these are shared with other organizations</p>
1.10	Are the amenities maintained in a clean and tidy manner?	<p>External areas to food storage and handling areas should not provide harbourage for pests or compromise personal hygiene or environmental hygiene</p>	<p>Check amenities to confirm:</p> <ul style="list-style-type: none"> <li>✓ Housekeeping and hygiene is maintained to a high standard</li> <li>✓ Clean and soiled uniforms are stored separately</li> <li>✓ Staff members' personal belongings (including food) are appropriately stored to avoid attracting pests</li> </ul>

Criteria		Reason	Compliance assessment tips
1.11	Is the toilet area equipped with hand washing facilities?	Hand washing after using toilet facilities is essential to ensure potential food poisoning bacteria is not transferred to food by food handlers	Walk through your premises to check: <ul style="list-style-type: none"> <li>✓ there are hand wash basins in all toilet areas</li> <li>✓ Liquid soap and a suitable method to dry hands are provided and replenished as needed</li> </ul>
1.12	Are hand washing stations located in appropriate locations throughout the site?	Easy access hand wash basins is required to encourage all food handlers to regularly wash their hands	Walk through your premises to check hand wash basins in food production areas are located: <ul style="list-style-type: none"> <li>✓ close to the entrance to the kitchen</li> <li>✓ in areas segregated for high-care or high-risk processes</li> </ul>
1.13	Are hand washing stations made of suitable construction (taps should preferably be activated by foot, knee, elbow or sensor) and are separated from sinks for food use and equipment-cleaning stations?	Hands-free taps are preferred as they reduce the risk of bacteria transfer from unclean hands to hands that have been cleaned	<ul style="list-style-type: none"> <li>✓ Identify hand wash basins that are not 'hands-free' and determine priorities for future upgrade to hands-free taps</li> <li>✓ Upgrades allocated to hand wash basins located in areas segregated for high-care or high-risk food handling activities should carry the highest priority</li> </ul>
1.14	Are hand washing stations equipped with a supply of warm, running, potable water with liquid soap and a suitable method of drying hands?	Hand washing is only effective if soap is used and hands are thoroughly dried after washing	<ul style="list-style-type: none"> <li>✓ Check how often soap and towels (if used) are replenished</li> <li>✓ Confirm who has responsibility to do this</li> </ul>
1.14.1	If warm running water is not available is there an alternative method available e.g. hand sanitizer	Hand sanitizer may be used as an alternative to handwashing however this is only effective if hands are not soiled with food residue or other grime	<ul style="list-style-type: none"> <li>✓ Check the location of hand sanitiser dispensers to confirm suitability</li> <li>✓ Check sanitiser is replenished when needed</li> <li>✓ Confirm who has responsibility to do this</li> </ul>
1.14.2	Does the alternative method include clear instructions for use?	Signage or prompts for the use of hand sanitizer should be provided to mandate use	<ul style="list-style-type: none"> <li>✓ Provide signage or prompts for the use of hand sanitizer</li> </ul>
1.15	Do hygiene facilities for personnel open directly to production, packing or storage areas?	An airlock, (two consecutive doors that close when not in use), is required between a toilet and food storage or handling areas to prevent air-borne contamination	<ul style="list-style-type: none"> <li>✓ Walk through your premises to check all doors to toilet facilities are fitted with a self-closing device to ensure that the door is closed when not in use</li> </ul>
1.15.1	Is there an appropriate amount of personal protective clothing available for staff and visitors?	Protective clothing may include uniforms, aprons, coats etc. The purpose of this is to prevent contamination from personal clothing	<ul style="list-style-type: none"> <li>✓ Ensure arrangements are in place to provide extra laundered or disposable PPE to contractors and/or visitors</li> </ul>
1.15.2	Have adequate changing facilities been provided for personnel?	Access to change rooms, toilets, hand washing and storage for personal belongings must be sufficient for the number of staff who need to access these areas	Walk through your staff facilities to: <ul style="list-style-type: none"> <li>✓ Verify suitable access to change room facilities</li> <li>✓ Identify any additional resource requirements</li> </ul>

Criteria		Reason	Compliance assessment tips
1.15.3	Have changing facilities been located so that personnel handling food can move to the production area in such a way that risk to the cleanliness of their workwear is minimized	Ideally food handlers will not have to walk through external areas to access food handling production areas	<ul style="list-style-type: none"> <li>✓ Confirm controls on uniforms and boots worn in external areas as these could be a source of contamination in the food production area</li> </ul>
1.16	Do lunchrooms have adequate refrigeration facilities available for staff to store perishable food items?	Staff lunches should be appropriately stored to prevent staff becoming ill	<p>Walk through your staff lunchroom to check:</p> <ul style="list-style-type: none"> <li>✓ Correct storage of perishable foods</li> <li>✓ Out of date food is discarded</li> </ul>
1.17	Does the organization have a documented process for monitoring the condition of the premise in place? Is the monitoring frequency included?	<p>This may be referred to as a Good Manufacturing Practice(GMP) or Good Hygiene Practice (GHP) inspection or audit</p> <p>This inspection or audit should check the condition of the building fabric, effectiveness of cleaning, personal hygiene and pest control programs as a minimum</p>	<ul style="list-style-type: none"> <li>✓ Collate a history of inspections or audits that have been completed as these will be reviewed in your audit</li> </ul>
1.18	Are the external areas around the facility maintained in a clean and tidy manner that does not pose a risk to the products?	External areas should be well maintained to prevent harbourage of pests and ensure that litter, cigarette butts and debris from external areas are not a source of contamination	<p>Walk around the external areas of your premises to check:</p> <ul style="list-style-type: none"> <li>✓ Gardens around the building are not overgrown</li> <li>✓ Redundant building materials have been removed</li> <li>✓ Cigarette butts are contained and not loose on the ground where they could be walked into food production areas</li> </ul>
1.18.1	If the external areas are not controlled by the organization, have steps been taken to ensure that the external and shared areas are properly managed e.g. in the contract agreement with the landlord?		<ul style="list-style-type: none"> <li>✓ Bird roosting areas are minimized to avoid bird dropping being walked in to food production areas</li> <li>✓ If the maintenance of these areas is contracted to an external service provider, communicate any issues that need to be addressed prior to your audit to have them rectified or reported for action</li> </ul>



## Water

\* Potable water is water that is suitable for human consumption

Criteria		Reason	Compliance assessment tips
2.1	Is all water used as an ingredient, for cleaning or comes in contact with the product or packaging potable?	Unclean water can be a source of contamination	<ul style="list-style-type: none"> <li>✓ Confirm the source of water is potable (i.e. water authority or municipal supply)</li> <li>✓ Water quality reports may be available free of charge from your local provider</li> </ul>
2.2	Is the water supply at adequate pressure and temperature?	Inadequate pressure or temperature of water will impact on the effectiveness of wet cleaning activities	<ul style="list-style-type: none"> <li>✓ Confirm continuity of hot water supply to hand wash basins and to water used for cleaning purposes</li> </ul>
2.3	Are there suitable facilities available for water storage where required?  Are the water storage facilities cleaned and periodically monitored?	Onsite water storage may include rain water tanks or balance tanks	<ul style="list-style-type: none"> <li>✓ Confirm the frequency of cleaning and monitoring of water quality for any onsite water storage facilities that provide water as an ingredient or for handwashing and cleaning purposes</li> </ul>
2.4	Is steam used in direct contact with food or food contact surfaces made from potable water?	Steam made from unclean water can be a source of contamination	<ul style="list-style-type: none"> <li>✓ Confirm the source of the steam</li> <li>✓ Onsite boilers require routine servicing and chemical dosing to ensure that the water chemistry is suitable to prevent the growth of algae in water used to generate steam. If your organization maintains a boiler, service reports will be reviewed at your audit</li> </ul>
2.5	Is ice that is used in direct contact with food or food contact surfaces made from potable water?	Ice made from unclean water can be a source of contamination	<ul style="list-style-type: none"> <li>✓ Confirm the source of water is potable for supply to ice machines</li> </ul>
2.6	Is ice transported, handled and stored in a manner that protects it from contamination?	Ice may be contaminated during packing and transport and may contaminate food and beverages	<ul style="list-style-type: none"> <li>✓ Check the integrity of packaged ice to check for any signs of damage that may have allowed ice to become contaminated</li> </ul>
2.7	Are the facilities used to make and store ice suitable to prevent contamination?	Ice machines may be a source of contamination	<ul style="list-style-type: none"> <li>✓ If the ice machine is not an enclosed unit, to ensure that ice is only accessible by staff and cannot be contaminated by other customers or other people</li> <li>✓ Ice machines require routine servicing and cleaning of internal surfaces to ensure ice is hygienic</li> <li>✓ Check the arrangements in place to protect ice scoops (i.e. in containers or trays) to prevent contamination when not in use. Utensils used to handle ice should not be stored directly on top of the ice machine uncovered as this allows for contamination from dust and other airborne material which may be transferred to ice during use</li> </ul>
2.8	Are they cleaned, disinfected and maintained in accordance with the manufacturer's instructions?		

Criteria		Reason	Compliance assessment tips
2.9	Is the microbiological quality of the ice tested, whether purchased or made on site?	Ice has been implicated in many cases of food borne illness therefore the quality of ice should be routinely assessed if it is used in direct contact with food or served in beverages	✓ Seek advice from a food analysis laboratory to determine the most suitable microbiological test frequency for ice. If there are several ice machines, a rotational testing schedule to check each ice machine may be recommended
2.10	Are all non-potable water pipes used in refrigeration, steam production, fire control, spilling dilution or other similar activities, thoroughly separated from those carrying potable water, without any transversal connections? Is there any possibility of non-potable water refluxing to potable water pipes?	Contamination of potable water with non-potable water would and result in a serious microbiological contamination risk	✓ A water distribution map of the premises should be provided to check the layout of potable and non-potable water lines
2.11	Are non-potable water pipes clearly identified?	Non-potable water pipes include stormwater and sewage pipes	✓ Check for identification (e.g. stickers) on non-potable water pipes

## Air and Gas

\*A contaminant is any biological or chemical agent, foreign matter, or other substances not intentionally added to food which may compromise food safety or suitability

Criteria		Reason	Compliance assessment tips
3.1	Are all gases, including air, that are used as an ingredient, for cleaning or come in contact with the product or packaging clean/filtered and free from contaminants including microbiological hazards?	Contaminated air and gases can be a source of contamination	<ul style="list-style-type: none"> <li>✓ Compressed air used in direct contact with food should be filtered to prevent contamination</li> <li>✓ Confirm suitability of gases used for any direct food contact (e.g. MAP packing)</li> </ul>
3.2	Is the location of equipment conducive to good hygiene practices?	Compressed air equipment should be easily accessible to allow for cleaning. Hose ends (nozzles) should not be stored in direct contact with the floor	✓ Check hoses used for compressed air are stored on reels with the ends of hoses off the floor



## Maintenance and calibration

Criteria		Reason	Compliance assessment tips
4.1	Is maintenance conducted to ensure equipment does not pose a safety risk to food?	Equipment needs to be maintained to prevent equipment wear and tear from creating the potential for foreign matter contamination	<ul style="list-style-type: none"> <li>✓ Review your preventative maintenance schedule to check that it is up to date and have a copy ready for your audit</li> </ul>
4.2	Where maintenance is to be carried out, are all food products removed from the area of maintenance activity?	Maintenance activities can be a source of microbiological, chemical and foreign matter contamination	<ul style="list-style-type: none"> <li>✓ Check adequacy of controls for maintenance works to prevent contamination of food and food handling areas</li> <li>✓ Confirm instructions and supervision of contractor</li> </ul>
4.3	Has the organization implemented a planned maintenance procedure and schedule for all equipment, services, premises and surrounds?	Equipment needs to be maintained to prevent equipment wear and tear from creating the potential for foreign matter contamination	<ul style="list-style-type: none"> <li>✓ Review your preventative maintenance schedule to confirm it is up to date</li> <li>✓ Have a copy of your preventative maintenance schedule ready for your audit</li> </ul>
4.4	Are records kept of equipment inspections, planned maintenance and breakdowns?	<p>A history of equipment inspections, planned maintenance and breakdowns demonstrates precautions are taken to prevent contamination from equipment issues.</p> <p>Equipment service reports will need to be provided for equipment including coolrooms, freezer rooms, ovens, blast chillers, rethermalisation meal carts, etc.</p>	<ul style="list-style-type: none"> <li>✓ Collate equipment inspection, service and repair records and have these ready for your audit</li> </ul>
4.5	Are temporary repairs controlled to ensure the food safety and legality of the product?	Temporary repairs may use sticky tape, string or rope which may present a foreign matter or microbiological hazard	<ul style="list-style-type: none"> <li>✓ Check adequacy of controls for temporary repairs</li> <li>✓ Best practice is that temporary repairs are dated and reported for permanent repair as a priority</li> </ul>

Criteria		Reason	Compliance assessment tips
4.6	Has the organization developed and implemented a calibration schedule?	Calibration of monitoring equipment is required to confirm accuracy of the results	<ul style="list-style-type: none"> <li>✓ Review your calibration schedule to confirm it is up to date and meets the following requirements:</li> <li>✓ Includes all monitoring equipment currently in use</li> <li>✓ Frequency of calibration is indicated for all equipment</li> <li>✓ Method of calibration (e.g. ice bath or comparison against reference thermometer for probe thermometers)</li> <li>✓ Accuracy required (or tolerance)</li> <li>✓ Method to identify out of calibration equipment (e.g. comparison of coolroom thermometer against an independent probe located in the same position as the thermostat probe)</li> <li>✓ Corrective action to be taken if equipment is found to be out of calibration</li> <li>✓ Check records of calibration match the frequency of calibration indicated in your calibration schedule</li> <li>✓ Confirm records of calibration indicate that the equipment is operating within tolerance (e.g. +/- 1oC for probe thermometers)</li> <li>✓ Have a copy of your calibration schedule ready for your audit</li> </ul>
4.7 – 4.13	<p>Does the implemented calibration schedule include:</p> <ul style="list-style-type: none"> <li>• a list identifying all equipment that requires calibration? (4.7)</li> <li>• the frequency of calibration? (4.8)</li> <li>• method(s) of calibration? (4.9)</li> <li>• the acceptable degree of accuracy? (4.10)</li> <li>• equipment that is out of calibration? (4.11)</li> <li>• a method for taking corrective action on product produced whilst equipment was out of calibration? (4.12)</li> <li>• any specific requirement(s) for calibration (e.g. calibration to be undertaken by a service provider with accreditation or trade certification? (4.13)</li> </ul>		

## Personal hygiene

\* A Food handler is any person who directly handles packaged or unpackaged food, food equipment and utensils, or food contact surfaces and is therefore expected to comply with food hygiene requirements.

Criteria		Reason	Compliance assessment tips
5.1	Has the organization developed, implemented and documented a personal hygiene policy and procedures?	Food handlers are able to contaminate food through poor personal hygiene practices	<ul style="list-style-type: none"> <li>✓ Check your personal hygiene policy and procedure are documented to cover all of the criteria indicated</li> <li>✓ Walk through your facility when food handling operations are performed and visually assess food handlers' compliance to the policy and procedure (this should be done on different shifts to check compliance for all food handlers)</li> <li>✓ Check employees/visitors are not wearing/using strong perfumes/ aftershaves, make-up or nail polish</li> <li>✓ Check training records are present to show food handlers have been trained to understand the personal hygiene policy and procedure</li> </ul>
5.2	Has the organization developed and implemented procedures for staff illness?		
5.3	Is staff illness monitored and registered?		
5.4	Has the organization developed and implemented procedures for eating, drinking & smoking restrictions?		
5.5	Are staff or visitors eating, drinking or smoking in food production areas?		
5.6	Has the organization developed and implemented procedures for hand-washing requirements?		
5.7	Are staff and visitors washing and sanitizing hands as required by the procedure?		
5.8	Has the organization developed procedures for sneezing, coughing and blowing of noses?		
5.9	Has the organization developed and implemented procedures for clothing requirements?		
5.10	Are staff and visitors adhering to the clothing requirements?		
5.11	Has the organization developed procedures for jewellery restrictions (including watches)?		

Criteria		Reason	Compliance assessment tips
5.12	Are watches being worn in food production areas?	Food handlers are able to contaminate food through poor personal hygiene practices	<ul style="list-style-type: none"> <li>✓ Check your personal hygiene policy and procedure are documented to cover all of the criteria indicated</li> <li>✓ Walk through your facility when food handling operations are performed and visually assess food handlers' compliance to the policy and procedure (this should be done on different shifts to check compliance for all food handlers)</li> <li>✓ Check employees/visitors are not wearing/using strong perfumes/ aftershaves, make-up or nail polish</li> <li>✓ Check training records are present to show food handlers have been trained to understand the personal hygiene policy and procedure</li> </ul>
5.13	Has the organization developed and implemented procedures for control of personal items including medication and mobile phones?		
5.14	Are personal items present in food production areas?		
5.15	Has the organization developed and implemented procedures for false nails (including acrylics) and false eyelashes?		
5.16	Are staff and visitors wearing false fingernails/eyelashes?		
5.17	Has the organization developed and implemented procedures for staff movement?	People movement can move micro-biological and allergen contaminants from one area to another. This is especially important if there are segregated areas for different food handling activities between raw and ready-to-eat and low-risk to high-care and/or high-risk	<ul style="list-style-type: none"> <li>✓ Confirm there is a procedure for staff movement (this could also be indicated on a map of the premises layout)</li> <li>✓ Confirm how movement protocols are communicated to staff</li> </ul>
5.18	Are staff and visitors adhering to staff movement procedures?		
5.19	Has the organization developed and implemented procedures for control of visitors and contractors?	Visitors and contractors may be a source of contamination	<ul style="list-style-type: none"> <li>✓ Confirm there is a procedure for control of visitors and contractors</li> <li>✓ Confirm implementation of the procedure for control of visitors and contractors</li> <li>✓ If visitors and contractors are required to sign in prior to entry to the food production area, check this register against known visitors and contractors to confirm implementation and/or effectiveness of the process</li> </ul>
5.20	Are visitors and contractors controlled?		
5.21	Has the organization developed and implemented procedures for Personal Protective Equipment (PPE) storage?  Personal Protective Equipment (PPE)	PPE refers to hair nets, beard nets or snoods, gloves, disposable aprons and ear plugs. These items may become potential foreign matter if not used or stored correctly.	<ul style="list-style-type: none"> <li>✓ Confirm there is a procedure for the storage of PPE</li> <li>✓ Check dispensaries used for PPE to confirm that they are clean and tidy</li> </ul>
5.22	Is PPE stored appropriately?		

Criteria		Reason	Compliance assessment tips
5.23	Has the organization developed and implemented procedures for returning to work after breaks?	Handwashing and re-application of PPE is required when food handlers return from breaks	<ul style="list-style-type: none"> <li>✓ Check your personal hygiene policy and procedures are documented to cover all of the criteria indicated</li> <li>✓ Walk through your facility when food handlers return from a scheduled break and check compliance to handwashing and PPE requirements (this should be done on different shifts to check compliance for all food handlers)</li> </ul>
5.24	Are staff returning to work following procedure?		
5.25	Has the organization developed and implemented procedures for signage?	Signage may be used to as a prompt to food safety behaviour and culture, however the signage must be maintained in good condition to prevent it becoming a potential foreign matter contaminant.	<ul style="list-style-type: none"> <li>✓ Walk through your facility and check the condition of all signage</li> <li>✓ Remove or replace any damaged signage</li> </ul>
5.26	Is signage displayed as procedure requires?		
5.27	Are staff hygiene and compliance checks undertaken and is the frequency defined in the policy?	Compliance is a driver for good food safety culture	<ul style="list-style-type: none"> <li>✓ Check your personal hygiene policy and procedures are documented to cover all of the criteria indicated</li> <li>✓ Walk through your facility when food handling operations are performed and visually assess food handlers' compliance to the policy and procedure (this should be done on different shifts to check compliance for all food handlers)</li> </ul>

## Storage

Criteria		Reason	Compliance assessment tips
6.1	Are documented procedures in place for the storage of products and packaging?	<p>Storage practices will impact food safety.</p> <ul style="list-style-type: none"> <li>• Dry goods need to be protected to ensure they do not become infested with stored product pests</li> <li>• Perishable foods require refrigeration or freezing to prevent the growth of pathogenic or spoilage bacteria</li> </ul> <p>Packaging and non-food items should be stored in a separate area to food items.</p>	<ul style="list-style-type: none"> <li>✓ Confirm there is a procedure for the storage of products and packaging</li> </ul>

Criteria		Reason	Compliance assessment tips
6.2	Does the procedure include stock rotation? First In/First Out (FIFO)/ First Expiry/First Out (FEFO)	<p>Food past the use by date (UBD) is not safe to eat</p> <p>Food past the best before date (BBD) may have quality defects</p>	<ul style="list-style-type: none"> <li>✓ Confirm the process used by staff to restock food items includes a system to rotate stock and ensure that all food is within the UBD prior to use</li> <li>✓ Walk through storage areas and randomly check the UBD and BBD dates on products to confirm the effectiveness of stock rotation practices</li> </ul>
6.3	Does the procedure include allergen management?	<p>Many countries have legal requirements for allergens to be declared in food to ensure the correct allergen status of a food is known and communicated to a consumer on request</p> <p>The level of allergen management required will depend on the foodservice requirements, however if there is a requirement to provide meals for special dietary purposes such as meals without allergens (e.g. gluten, milk, egg, peanut, tree nut, fish etc.) the organization will need to assess all steps in their process to maintain the allergen free status of the meal to prevent contamination.</p> <p>Communication protocols between foodservice staff and customers are also required to ensure clear communication on allergen requests and the provision of the correct meal to the allergenic customer</p>	<ul style="list-style-type: none"> <li>✓ Allergens need to be identified, segregated and handled with care to prevent cross-contact (cross-contamination) with non allergic foods</li> <li>✓ Have all steps from sourcing, to storage, ingredient preparation, production and display and/or plating processes been assessed to determine suitable controls to prevent contamination of meal and meal components prepared for special dietary purposes?</li> </ul>
6.4	Does the procedure include cleaning stock/inventory control?	Inventory control is needed to ensure adequate supplies of cleaning materials (cleaning chemicals and cloths) and ingredients are maintained for the continuity of production processes.	<ul style="list-style-type: none"> <li>✓ Confirm procedure details cleaning stock / inventory control</li> </ul>
6.5	Does the procedure include segregation of non-conforming product?	Non-conforming product may be unsafe to consume and should be segregated to prevent accidental use.	<ul style="list-style-type: none"> <li>✓ Confirm procedure details the process for segregation of non-conforming product</li> </ul>
6.6	Does the procedure include handling of stock to minimize damage?	Damage to stock and/or packaging may allow products to become contaminated or infested with pests.	<ul style="list-style-type: none"> <li>✓ Confirm procedure details handling of stock to minimize damage</li> </ul>
6.7	Are facilities for storage fit for purpose, clean and large enough for use at the busiest time of year?	Inadequate space can allow for pest infestation in dry store (pantry areas) and will not allow air circulation for refrigerated and frozen foods to maintain temperature.	<ul style="list-style-type: none"> <li>✓ Walk through the storage areas for dry goods, refrigerated and frozen foods to check there is adequate space in all storage areas to allow inspection for pests in dry store (pantry) areas and circulation of air in refrigerated or frozen storage</li> </ul>

Criteria		Reason	Compliance assessment tips
6.8	Are temperature controlled facilities able to maintain temperatures?	Correct storage temperatures are necessary to maintain shelf life for product safety and quality	<ul style="list-style-type: none"> <li>✓ Collate records of temperature checks completed for refrigerators, coolrooms, freezers, Bain Mariés, etc., as these will be reviewed at your audit to confirm correct storage temperatures and to assess the capability of equipment to maintain the required temperatures</li> </ul>
6.9	Are monitoring records of temperature controlled areas maintained?	Proof of compliance is required to demonstrate that food is stored at the correct temperature and the equipment used for food is capable of maintaining the correct storage temperatures.	
6.10	Are products stored in such a manner that they do not pose a food safety (or quality) risk to the product?  Are receipt records maintained?	<p>Correct storage conditions are required to ensure that food is safe to eat and that quality is maintained.</p> <p>Sensitive products such as ready to eat cakes have been checked to ensure the safety and quality. Desserts may require special handling to preserve quality.</p> <p>Receipt records are required to provide traceability to suppliers and the receipt checks completed to confirm acceptance by the organization</p>	<ul style="list-style-type: none"> <li>✓ Check that stored foods are protected from possible contamination (i.e. sealed, enclosed). Look for any opened bags that have not been resealed or decanted to protect from contamination and/or infestation from pests</li> <li>✓ Collate receipt records as these will need to be reviewed at your audit</li> </ul>
6.11	If deliveries are unloaded outside the facility, are controls in place to ensure that the product is moved inside as soon as practical?	Food handled in external areas may be contaminated with pests and/or will not maintain temperature. Packaging may also be damaged in external areas in the event of rain.	<ul style="list-style-type: none"> <li>✓ Talk to staff to confirm arrangements for receiving stock in external areas and how they manage rain, excessive heat etc. to assess if the controls in place are consistently applied and/or adequate to prevent damage to food</li> </ul>

## Transport

Criteria		Reason	Compliance assessment tips
7.1	Are all vehicles used to transport products maintained in a good state of repair and in a clean and hygienic condition?	Food transport vehicles can be a source of contamination if they are not maintained in a clean condition.	<ul style="list-style-type: none"> <li>✓ Check inside food transport vehicles and look for any accumulation of debris or spillages that have not been cleaned as this may indicate the need for more frequent cleaning</li> </ul>
7.2	If vehicles are used to transport frozen, chilled or hot food are the temperature parameters adhered to?	Temperature control during transport is required to maintain food safety and quality. Some countries permit perishable foods to be stored for a limited amount of time out of temperature. Check your local country regulatory requirements.	<ul style="list-style-type: none"> <li>✓ Confirm the capability of transport vehicles to maintain product temperature during transit</li> <li>✓ Temperatures during transport may be validated by using a data logger inserted into a representative food sample with the time and temperature measured throughout the transport process</li> </ul>



Criteria		Reason	Compliance assessment tips
7.3	Are records maintained of all cleaning, maintenance (including calibration), inspection and temperature of the vehicle(s)?	Proof of compliance is required to demonstrate that the organization transports food in a suitable vehicle and the correct temperature is maintained.	<ul style="list-style-type: none"> <li>✓ Collate records of cleaning, maintenance (including calibration) and inspection as these will need to be reviewed at your audit</li> </ul>
7.4	Where there are no regional or national requirements available, is the transfer time between the transportation means (e.g. truck) and the storage facility less than 20 min if there are no methods to control temperature?		<ul style="list-style-type: none"> <li>✓ Determine the time out temperature for the worst case scenario or the longest delivery run</li> <li>✓ If time out of temperature exceeds 20 minutes, temperature support may be required (e.g., ice packs for perishable foods or hot packs for hot food)</li> </ul>

### Cleaning and disinfection

\*Cleaning is the removal of soil, food residues, dust, grease or other objectionable matter.

\*Disinfection is the reduction, by means of chemical agents and/or physical methods, of the number of microorganisms in the environment, to a level that does not compromise food safety or suitability.

Criteria		Reason	Compliance assessment tips
8.1	Has the organization developed, documented and implemented a cleaning program?	Unclean utensils, equipment and food preparation areas can contaminate food through poor cleaning and disinfection (sanitation) practices	<ul style="list-style-type: none"> <li>✓ Check your cleaning program is documented to cover all of the criteria indicated</li> </ul>
8.2	Does the cleaning program include areas within and outside the building that require cleaning?		<ul style="list-style-type: none"> <li>✓ Walk through your facility at the end of cleaning operations and inspect the cleanliness of utensils, equipment and the environment</li> </ul>
8.3	Are the inside and outside of the buildings considered clean?		<ul style="list-style-type: none"> <li>✓ Are all blenders/mixers involved in pureeing food clean and disinfected prior to use?</li> </ul>
8.4	Does the cleaning program include equipment that requires cleaning?		<ul style="list-style-type: none"> <li>✓ Surfaces should look clean and be 'clean to touch' with no greasy residue or debris evident. This should be done on different shifts to check compliance across all shifts</li> </ul>
8.5	Is all equipment clean?		<ul style="list-style-type: none"> <li>✓ Check training records are present to show staff have been trained in cleaning methods, correct use of cleaning chemicals and the completion of records to demonstrate that cleaning has been completed</li> </ul>
			<ul style="list-style-type: none"> <li>✓ Collate records completed for pre-op inspections as these will be reviewed at your audit</li> </ul>

Criteria		Reason	Compliance assessment tips
<p><b>8.6 – 8.13</b></p> <p>Does the cleaning program include:</p> <ul style="list-style-type: none"> <li>• Method(s) of cleaning? (8.6)</li> <li>• Frequency of cleaning? (8.7)</li> <li>• The chemicals to be used? (8.8)</li> <li>• Chemical concentrations, dwell times and temperatures? (8.9)</li> <li>• Persons responsible for cleaning? (8.10)</li> <li>• Records of monitoring of cleaning and pre-op checks? (8.11)</li> <li>• Personnel responsible for review of cleaning records? (8.12)</li> <li>• Training of cleaners? (8.13)</li> </ul>	<p>Unclean utensils, equipment and food preparation areas can contaminate food through poor cleaning and disinfection (sanitation) practices</p>	<ul style="list-style-type: none"> <li>✓ Check your cleaning program is documented to cover all of the criteria indicated</li> <li>✓ Walk through your facility at the end of cleaning operations and inspect the cleanliness of utensils, equipment and the environment</li> <li>✓ Are all blenders/mixers involved in pureeing food clean and disinfected prior to use?</li> <li>✓ Surfaces should look clean and be 'clean to touch' with no greasy residue or debris evident. This should be done on different shifts to check compliance across all shifts</li> <li>✓ Check training records are present to show staff have been trained in cleaning methods, correct use of cleaning chemicals and the completion of records to demonstrate that cleaning has been completed</li> <li>✓ Collate records completed for pre-op inspections as these will be reviewed at your audit</li> </ul>	

## Hazardous substances

Criteria		Reason	Compliance assessment tips
<p><b>9.1</b></p> <p>Are current Material Safety Data Sheets (MSDS) available for any chemical that is being used or stored on site?</p>	<p>Hazardous substances can contaminate food through poor storage conditions and incorrect use</p>	<ul style="list-style-type: none"> <li>✓ Check Material Safety Data Sheets (MSDS) are available for all chemicals used or stored on site and confirm currency with your chemical supplier</li> <li>✓ Walk through your facility to confirm that all chemicals, (e.g. cleaning chemicals, pest control chemicals), stored in bulk and/or decanted for ease of use are labelled and securely stored when not in use. Any chemicals that have not been approved for use should be discarded</li> <li>✓ Check training records are present to show staff have been trained the correct use of chemicals used by the organization</li> </ul>	
<p><b>9.2</b></p> <p>Is evidence available to demonstrate that chemicals are suitable for the intended use by the organization (food grade)?</p>			
<p><b>9.3</b></p> <p>Are chemicals stored to manufacturer's instructions and stored in a locked cupboard when not in use?</p>			
<p><b>9.4</b></p> <p>Are all chemicals labelled?</p>			
<p><b>9.5</b></p> <p>Have all staff/contractors who handle chemicals received appropriate training?</p>			

## Waste management

Criteria		Reason	Compliance assessment tips
10.1	Is the direct environment conducive to good hygiene practices or are potential contaminants controlled and periodically reviewed?	Waste can contaminate food through poor storage conditions and may attract pests and prevent effective cleaning	<ul style="list-style-type: none"> <li>✓ Check your waste management program is documented to cover all of the criteria indicated</li> <li>✓ Walk through your facility to check the adequacy of waste storage bins, the frequency of emptying and the hygiene around waste collection and storage areas</li> <li>✓ External bins should have lids to prevent attracting pests to the area</li> </ul>
10.2	Does the organization have a documented waste management system in place?		
10.3	Do external waste bins have a lid and are they kept closed at all times?		
10.4	Are external waste bins (including recycling) emptied at an appropriate frequency and is the area kept clean?		

## Pest control

Criteria		Reason	Compliance assessment tips
11.1	Does the organization have a pest management program in place that covers the entire premise?	Pests including rats, mice, cockroaches, flying insects, ants, stored product pests and birds can contaminate food, packaging and your premises	<ul style="list-style-type: none"> <li>• Check your pest management program is documented to cover all of the criteria indicated</li> </ul>
11.2 to 11.12	Does the program include: <ul style="list-style-type: none"> <li>• Bait maps depicting the type and location of treatments? (11.2)</li> <li>• Bait stations secured against movement and tampering? (11.3)</li> <li>• Chemicals used, the concentration and the batch details? (11.4)</li> <li>• Current Material Safety Data Sheet (MSDS) for any pest control chemical that is being used or stored on site? (11.5)</li> <li>• A copy of the contractor's current license and is it valid for the state in which the premise is located if using an external pest control contractor? (11.6)</li> </ul>		

Criteria		Reason	Compliance assessment tips
<p><b>11.2 to 11.12</b></p> <ul style="list-style-type: none"> <li>• Suitable training and training records maintained if pest control activities are carried out by internal personnel? (11.7)</li> <li>• Records of monitoring and corrective action? (11.8)</li> <li>• Suitable chemicals for use on or near food, food contact surfaces and food packaging? (11.9)</li> <li>• Control of toxic bait stations so they are not located in storage areas? (11.10)</li> <li>• The absence of domestic animals? (11.11)</li> <li>• Staff training to report pest sightings? (11.12)</li> </ul>		<p>If pest inspection and servicing is contracted, check:</p> <ul style="list-style-type: none"> <li>✓ Does the contract cover all pests?</li> <li>✓ Is the bait station map current?</li> <li>✓ Is a copy of the contractor's current valid pest license provided?</li> <li>✓ Are records of all inspections and services provided?</li> <li>✓ Are the treatments provided by the contracted service effective to prevent or treat pests?</li> <li>✓ Collate all pest service records ready for review at your audit</li> <li>✓ Review pest sightings recorded by staff to confirm the reporting process is used and that action is taken to address pest sightings</li> </ul>	

### Approved supplier programme

Criteria		Reason	Compliance assessment tips
<p><b>12.1</b></p> <p>Does the organization have a documented and implemented approved supplier program in place?</p>	<p>Suppliers need to be assessed to ensure they are capable of supplying safe, quality products</p>	<ul style="list-style-type: none"> <li>✓ Check your approved supplier program is documented to cover all of the criteria indicated</li> <li>✓ Collate records of supplier assessments, information on supplier certification and any service contracts ready for review at your audit</li> </ul>	
<p><b>12.2</b></p> <p>Does the program include all raw materials, products, packaging and services that could affect food safety or quality of the finished product?</p>			
<p><b>12.3 – 12.7</b></p> <p>Are records of approval evidence maintained, including:</p> <ul style="list-style-type: none"> <li>• HACCP or similar certificates? (12.3)</li> <li>• questionnaires or similar? (12.4)</li> <li>• formal agreements? (12.5)</li> <li>• methods of insurance? (12.6)</li> <li>• licenses for service contractors? (12.7)</li> </ul>			

## Traceability and recall procedure

Criteria		Reason	Compliance assessment tips
13.1	Does the organization have an implemented procedure in place for traceability that ensures, for all stages, products are clearly identified?	Traceability is required to ensure that unsafe food is able to be removed from sale or service.  In some food service organizations the potential for recall may be limited if the food is cook-fresh as the meal may have been consumed prior to the organization identifying a reason for recall.  Mock recall should be completed on any pre-packed food that is sold by the organization.	<ul style="list-style-type: none"> <li>✓ Check your procedure for traceability details how products will be identified at all stages of handling from receipt, storage, preparation, cooking, plating or display and is documented to cover all of the criteria indicated</li> <li>✓ Check that your procedure for recall covers all of the criteria indicated and confirm that all contacts for notification are current</li> <li>✓ Mock recall should be completed on any pre-packed food that is sold by the organization</li> <li>✓ Collate records of mock recalls (crisis drill for recall) for review at your audit</li> </ul>
13.2 – 13.6	Does the implemented traceability procedure include: <ul style="list-style-type: none"> <li>• Storage? (13.2)</li> <li>• On-hold product? (13.3)</li> <li>• Reject, quarantined and non-conforming product? (13.4)</li> <li>• Returned, downgraded and damaged product? (13.5)</li> <li>• Waste products? (13.6)</li> </ul>		
13.7	Are records of traceability maintained?		
13.8	Does the organization have a recall procedure in place that complies with the requirements of local legislation applicable in their jurisdiction?		
13.8.1	Does the recall procedure include a mock recall? Are records of the mock recall available?		
13.10	Does the procedure state action(s) to be taken to determine the root cause of problem and prevent re-occurrence?		

## Module 2 – Hazard Analysis and Critical Control Point (HACCP)

### HACCP

Criteria		Reason	Compliance assessment tips
14.1	<p>A <b>Food Safety Team</b> shall be appointed. The team shall have a combination of multi-disciplinary knowledge and experience in developing and implementing food safety management systems. This includes, but need not be limited to: the organization's products, processes, equipment and food safety hazards within the scope of the food safety management system.</p> <p>Records shall be maintained that demonstrate that the food safety team has the required knowledge and experience.</p>	<p>A risk based food safety assessment covering all products and all steps in the process is required to identify preventative food safety controls.</p>	<ul style="list-style-type: none"> <li>✓ Record the names of your HACCP team members together with their knowledge and skills as this will be reviewed in your audit</li> </ul>
14.2	<p>All raw materials, ingredients and product-contact materials shall be described in documents to the extent needed to conduct the hazard analysis.</p>	<p>The HACCP plan may be based on processes however products covered in each process will need to be identified, e.g. wet dishes, baked foods, cook-chill, ready-to-eat foods etc.</p>	<ul style="list-style-type: none"> <li>✓ Prepare a list of all finished products and their grouping to be covered in the HACCP plan</li> </ul>
14.3	<p>The organization shall identify statutory and regulatory food safety requirements related to the above.</p>	<p>Regulatory requirements will provide the minimum criteria that need to be met by your food organization</p>	<ul style="list-style-type: none"> <li>✓ Document a list of applicable regulatory references</li> </ul>
14.4	<p><b>Flow Diagrams</b> shall provide a basis for evaluating the possible occurrence, increase or introduction of food safety hazards.</p> <p>Flow diagrams shall be clear, accurate and sufficiently detailed.</p>	<p>Flow diagrams are essential to risk assess every step in the food handling process for each product group.</p>	<ul style="list-style-type: none"> <li>✓ Physically walk through each flow diagram and the process to ensure that all steps have been included and that the steps are in the correct order and sequence</li> <li>✓ Keep a record of the date of review and any changes made</li> </ul>
14.5	<p>A <b>Hazard Analysis</b> shall identify and record all food safety hazards that are reasonably expected to occur in relation to the type of product, type of process and actual processing facilities.</p> <p>For each of the food safety hazards identified, the acceptable level of the food safety hazard in the end product shall be determined whenever possible. The determined level shall take into account established statutory and regulatory requirements and customer food safety requirements.</p> <p>Each food safety hazard shall be evaluated according to the possible severity of adverse health effects and the likelihood of their occurrence.</p>	<p>All hazards should have a control measure identified, with hazards determined to be significant, controlled by a CCP.</p> <p>Each CCP must have a critical limit defined with a corresponding monitoring action, corrective action to be taken (if monitoring indicates that the critical limit has not been met), a record of monitoring activity and verification that the CCP has been effectively implemented.</p>	<ul style="list-style-type: none"> <li>✓ The hazard risk assessment needs to be documented and should include all potential hazards and the risk assessment methodology used to determine significant hazards</li> <li>✓ Potential hazards that are not identified as significant, should have a pre-requisite program identified as a control measure</li> </ul>

Criteria		Reason	Compliance assessment tips
14.5	<p>The methodology used shall be described, and the results of the food safety hazard assessment shall be recorded.</p> <p>Based on the hazard assessment, an appropriate combination of control measures capable of preventing, eliminating or reducing these food safety hazards to defined acceptable levels shall be selected.</p>		
14.6	<p>A <b>HACCP Plan</b> shall be documented and shall include the following information for each identified critical control point (CCP):</p> <ol style="list-style-type: none"> <li>Food safety hazard(s) to be controlled at the CCP</li> <li>Control measure(s)</li> <li>Critical limit(s)</li> <li>Monitoring procedure(s)</li> <li>Corrections and corrective action(s) to be taken if critical limits are exceeded</li> <li>Responsibilities and authorities</li> <li>Record(s) of monitoring</li> </ol>	<p>Regulatory requirements for time and temperature control will typically be referenced as the critical limits for many food service operations. Critical limits based on regulatory requirements do not need validation to prove that they are the correct limits, however you will need to demonstrate that your process is capable of achieving these limits</p>	<p>This information may be summarized in a HACCP Audit Table to provide:</p> <ul style="list-style-type: none"> <li>✓ An overview of each CCP</li> <li>✓ The step at which the significant hazard is controlled,</li> <li>✓ The critical limit(s)</li> <li>✓ Monitoring activity (what, where, when, who)</li> <li>✓ Corrective actions (product and process)</li> <li>✓ Completed monitoring records and verification of the associated activity</li> </ul>
14.7	<p><b>Actions</b> when monitoring results exceed critical limits.</p> <p>Planned corrections and corrective actions to be taken when critical limits are exceeded shall be specified in the HACCP plan. The actions shall ensure that the cause of the nonconformity is identified, that the parameter(s) controlled at the CCP is (are) brought back under control and that recurrence is prevented.</p>	<p>Predetermined corrective actions for product and process need to be identified to ensure non-conforming or unsafe product is not sold and the food production process is corrected or modified to prevent production of unsafe food.</p>	<ul style="list-style-type: none"> <li>✓ Check every CCP has both a product and process action to be taken if critical limits are not met</li> <li>✓ A process action of 'contact supervisor' may not be adequate as the supervisor will need to know what actions to take. This may be documented in the HACCP plan or in a cross referenced corrective action document to ensure consistency of actions taken</li> </ul>
14.8	<p><b>HACCP Review</b></p> <p>Does the organisation review the HACCP study at least annually or when changes occur?</p>	<p>The HACCP will need review when there are any changes to products, processes, significant change in volume of food produced, change in premises, customer complaints of food poisoning or new information regarding food safety.</p>	<ul style="list-style-type: none"> <li>✓ Add annual review of your HACCP plan to your internal audit schedule</li> <li>✓ Keep a record of HACCP review activities and the changes made to the plan so that they can be easily communicated to staff</li> <li>✓ A wide variety of information should be referenced in the HACCP plan review including information on actual or emerging food safety incidents relevant to your industry, customer complaints and advice from equipment suppliers (e.g. meal rethermalization carts etc.)</li> </ul>



## Module 3 – Specific Pre-requisite Programs for ISO TS 22002-2- 2013

### Specific pre-requisite programs

Criteria		Reason	Compliance assessment tips
15.1.1	<b>Thawing:</b> Are pre-prepared products kept under refrigeration or frozen conditions, properly protected and identified in an appropriate manner before they're used or prepared?	Thawing temperatures and time need to be controlled to avoid storing the food in the temperature danger zone between 5 – 60°C which will allow for the growth of food poisoning bacteria or spoilage bacteria.	✓ Check your procedure and practices for thawing meet the criteria indicated
15.1.2	Are raw materials and ingredients that are not used entirely properly packaged and identified? (E.g. product description, date of fractioning, date of validity after opening or withdrawal of the original packaging depending on the raw materials and ingredients.)	Traceability of ingredient batch and UBD or BBD is essential to maintain product traceability in the event of any food contamination incident that may require recall.	
15.1.3	Is food maintained in sealed containers, wrappers or protective packages during the thawing process?	Food needs to be protected during thawing to prevent contamination and also to prevent juices from thawed products contaminating other products.	
15.1.4	Is thawing conducted in conditions which ensure that no part of the food reaches a temperature above 4°C?	Thawing temperatures and time need to be controlled to avoid storing the food above 4°C which will allow for the growth of food poisoning bacteria or spoilage bacteria.	
15.2.1	<b>Preparation:</b> Is the preparation of fresh fruits and vegetables conducted under suitable conditions? Are they labelled as required?	Handling of fruit and vegetables need to be controlled to maximize shelf life and minimize surface contamination.	Check your procedure and practices for the handling of fruit and vegetables meet the criteria indicated
15.2.2	Depending on the product and its intended use are pre-cut fruits and vegetables: <ul style="list-style-type: none"> <li>• Washed with potable water, with added disinfectant where appropriate and legally permitted</li> <li>• Rinsed with potable water (where appropriate and legally required).</li> </ul>	Sanitation of fruit and vegetables may be required in institutionalized food service to reduce the presence of <i>Listeria Monocytogenes</i>	

Criteria		Reason	Compliance assessment tips
15.3	<b>Cooking:</b> Are the cooking time and temperature of adequate duration at specified minimum temperature to ensure the destruction of vegetative cells of pathogenic microorganism that may be present in food.	Correct cooking times and temperatures are required to ensure that food poisoning bacteria likely to be present in the food is reduced to safe levels.	<ul style="list-style-type: none"> <li>✓ Check your procedure and practices for cooking meet the criteria indicated</li> <li>✓ Check the practices that staff use to confirm products are correctly cooked. If probe thermometers are used, confirm that they are sanitized before use and placed in the thickest section of the food to measure the internal temperature</li> <li>✓ Check the types of cooking oil used to confirm they are suitable for use and that they are changed regularly to prevent the use of rancid oil</li> </ul>
15.3.1	In frying operations, are cooking fats and oils manufactured for that purpose used?  Where cooking fats and oils are reused, are they assessed to ensure they are fit for purpose?		
15.4	<b>Portioning:</b> When portioning refrigerated products, are they portioned in a refrigerated area or held out of refrigeration for no more than 30 min?	Portioning activities can be time consuming, especially when plating multiple meals. Time out of temperatures needs to be minimized to prevent the growth of food poisoning bacteria.	<ul style="list-style-type: none"> <li>✓ Check your procedure and practices for portioning meet the criteria indicated</li> </ul>
15.5	Where cooked and refrigerated food cannot be divided into portions within 30 mins, is the portioning carried out in a separate area with an air temperature of 15°C or below?	Extended plating periods (institutionalised food service) may require a temperature controlled room to minimise time out of temperature.	
15.6	Is there a system in place for indicating preparation and due dates and the identification of the portions?	Traceability of preparation and due dates is essential to ensure correct UBD or BBD dates are applied for consumer use.  This is especially important in institutionalized foodservice where there may be strict guidelines for food to be consumed within 24 or 48 hours of preparation.	<ul style="list-style-type: none"> <li>✓ Check your procedure and practices for portioning meet the criteria indicated</li> </ul>
15.7	<b>Cooling and storage:</b> Is there a documented cooling procedure in place?	The cooling of hot food to extend shelf life or for food service needs to be carefully controlled to ensure food poisoning bacteria or bacterial spores do not grow to levels that would cause food poisoning.  A blast chiller is ideal, however coolrooms, refrigerators and freezers can be used.	Check your procedure and practices for cooling meet the criteria indicated
15.7.1	Where there are no regional or national requirements available, does the cooling procedure ensure that the core temperature of the product is lowered to 10°C within 2 hours?		

Criteria		Reason	Compliance assessment tips
15.7.2	<p>Has the organization ensured that the product temperature has not exceeded 4°C at any point?</p> <p>The product temperature shall be maintained until end use.</p> <p>The storage temperature of the product shall be periodically verified.</p>	<p>The cooling of hot food to extend shelf life or for food service needs to be carefully controlled to ensure food poisoning bacteria or bacterial spores do not grow to levels that would cause food poisoning.</p> <p>A blast chiller is ideal, however coolrooms, refrigerators and freezers can be used.</p>	<p>Check your procedure and practices for cooling meet the criteria indicated</p>
15.7.3	<p>The storage temperature of the product shall be periodically verified.</p>	<p>Correct storage temperatures are essential to maintain the safety and quality of food.</p>	<p>✓ Validation of storage temperatures can be assessed using a data logger inserted into a representative sample. Time and temperatures can be assessed over an extended period of time to confirm that food cooling and storage are within the required time and temperature limits</p>
15.7.4	<p><b>Reheating:</b> Are there regional or national requirements for reheating?</p> <p>Where no regional or national requirements are available, is the food heated to above 75°C within 1 hour?</p>	<p>Food should be rapidly reheated to minimize the amount time in the temperature danger zone (4 – 60°C) to prevent the growth of food poisoning bacteria.</p> <p>A pie warmer or Bain Marie is not suitable to reheat foods as this equipment is designed to maintain food temperatures rather than rapidly heat food.</p>	<p>✓ Check your procedure and practices for portioning meet the criteria indicated</p>
15.8	<p><b>Food Service:</b> Is food stored at the correct temperatures for service?</p>	<p>Correct storage temperatures are required to ensure that food is palatable and that food poisoning bacteria are not able to grow.</p>	<p>✓ Check your procedure and practices for foodservice meet the criteria indicated</p>
15.8.1	<p>Is food intended for self-service protected from possible contamination?</p>	<p>Food on display needs to be protected from contamination from people and the environment.</p>	
15.8.2	<p>Are food service and dining areas maintained in a clean condition?</p>		
15.8.3	<p>Is the organization ensuring that any decorations or plants can't contaminate the exposed foods?</p>		
15.9	<p>Identification and hygiene control system. Is there a label indicating the preparation date, food type, manufacturing establishment name, instructions for use, conservation, and "consume before" date present?</p>	<p>Correct product information is required to be communicated to the consumer.</p> <p>Minimum labelling requirements are defined in regulatory requirements for most countries.</p>	<p>✓ Check the standard information printed on food labels provides the required information</p> <p>✓ Confirm packaged products for sale have the correct labels attached</p>
15.9.1	<p>Does the organization have a procedure in place for testing the microbiological integrity of finished products?</p>	<p>Microbiological testing of food will validate the processes used in food production.</p>	<p>✓ Seek advice from a food analysis laboratory to determine the most suitable microbiological testing to validate your production processes</p> <p>✓ Collate any past analytical results to be reviewed in your audit</p>

## Document and record control

Criteria		Reason	Compliance assessment tips
16.1	Does the organization have a documented system in place to ensure it has access to the appropriate regulatory standards for the country in which the product is to be produced and sold?	Access to the appropriate regulatory standards for the country in which the product is to be produced and sold in are essential to ensure regulatory compliance.	<ul style="list-style-type: none"> <li>✓ Document a list of applicable regulatory references</li> </ul> <p>Check your documentation procedure covers all of the criteria indicated:</p> <ul style="list-style-type: none"> <li>✓ Collate records of mock recalls (crisis drill for recall) for review at your audit</li> <li>✓ Check hardcopy records are correctly completed, no use of Liquid Paper/Whiteout/Tipp-Ex or pencil for recording</li> <li>✓ Check records are signed or initialled by the person completing the task(s) and verified by management</li> </ul>
16.2	Does the organization have a documented system in place to ensure it has access to codes of practice and appropriate standards for the country in which the product is to be produced and sold?	A system for documents and records is required to provide a history of compliance as evidence of due diligence.	
16.3	Are records retained for corrective actions regarding CCP's?		
16.4	Are records retained for validation activities for critical limits?		
16.5	Are records protected from damage or loss? Are they easily accessible and securely stored?		

# Why BSI?



BSI believes the world should be supplied with food that has been produced to an industry recognized food safety standard. We offer a broad range of food safety certification and risk management services to help all organizations in the food supply chain achieve compliance and industry best practice to grow their business.

We're a leading food safety and certification provider with extensive auditing capacity and the capability to conduct integrated audits for a wide range of food safety standards across the entire food and beverage supply chain – including GFSI-recognized standards.

Our service solution for food safety includes certification, training, assessment and supply chain software, providing you and your customer's assurance and enabling you to manage risk more effectively.



## Our products and services

We provide a unique combination of complementary products and services, managed through our three business streams; Knowledge, Assurance and Compliance.

### Knowledge

The core of our business centres on the knowledge that we create and impart to our clients. In the standards arena we continue to build our reputation as an expert body, bringing together experts from industry to shape standards at local, regional and international levels. In fact, BSI originally created eight of the world's top 10 management system standards.

### Assurance

Independent assessment of the conformity of a process or product to a particular standard ensures that our clients perform to a high level of excellence. We train our clients in world-class implementation and auditing techniques to ensure they maximize the benefits of our standards.

### Compliance

To experience real, long-term benefits, our clients need to ensure ongoing compliance to a regulation, market need or standard so that it becomes an embedded habit. We provide consultancy services and differentiated management tools to facilitate this process.



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