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HACCP & GMP Self-assessment checklist

bsi HACCP & GMP Food Safety Management CERTIFIED

By Royal Charter

BSI HACCP & GMP Self-assessment checklist

Module 1: Management System

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
1.1 Management commitment				
1.1.1	Senior management shall demonstrate commitment to safe food production and handling through: The promotion of food safety awareness throughout the organization; facilitation of communication relating to food safety issues and incidents; and the provision of adequate resources to fully implement the HACCP system to achieve compliance to the BSI HACCP & GMP Certification Criteria.	These are the minimum expectations for management commitment to food safety.	Senior management shall demonstrate commitment to implementation, maintenance and improvements to the HACCP system.	
1.1.2	Senior management shall provide appropriate and trained resources to ensure the safety and suitability of the food products covered under the scope of certification.	Senior management need to provide sufficient and appropriately trained resources to support the implementation and maintenance of the food safety system.	Identify the resources (infrastructure, equipment and people) required to maintain and implement the HACCP plan. Ensure that the appropriate training and supervision are in place for personnel.	
1.2 Continual improvement				
1.2.1	The effectiveness and continual improvement of the HACCP system shall be demonstrated through the review of internal verification activities, non-conforming product actions, corrective actions and the results of external audits. New scientific developments, advances in technology and industry best practice should also be considered.	To continually review the effectiveness and identify any need for improvement to the HACCP system based on the results of monitoring and verification.	On a defined frequency, review and report to the organization's senior management how the system is performing and evaluate with senior management.	
1.3 Food safety policy				
1.3.1	The organization shall develop a policy which states the organization's commitment and measurable objectives for the supply of safe and suitable food products that meet customer expectations and legal requirements in the country of manufacture and the country of sale.	For the organization to develop a documented policy for the commitment to the general food operation including testing, manufacturing and monitoring to ensure safe food products are produced.	Ensure compliance with relevant regulatory requirements and encourage continual improvement, including consideration of developments in science, technology and regulatory updates.	

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1.3.2	A programme to measure and improve food safety culture shall be established and maintained.	HACCP will support the food safety culture of an organization. However, HACCP on its own does not guarantee a strong food safety culture.	Develop and implement a policy or programme to build a positive food safety culture by demonstrating commitment to providing safe and suitable food and encouraging appropriate food safety practices.	
1.4 Roles, responsibilities and authorities				
1.4.1	Roles, responsibilities and authorities with an impact on food safety shall be clearly communicated in the organization.	Identify the resources required to maintain and implement the HACCP plan.	Identify and assign the roles and responsibilities to those authorized to impact food safety.	
1.4.2	Position descriptions or equivalent, should be available for all positions that have a responsibility for food safety and maintenance of the HACCP system.	All positions shall have good knowledge of the product and processes within their organization.	Document position descriptions including roles and responsibilities for those authorized to impact food safety.	
1.5 Controls for documented information				
1.5.1	A system to manage documented information (electronic and hardcopy) shall be implemented to ensure the currency of documentation in use and provide a system for records to be retained and readily retrieved. Documentation and record keeping should be appropriate to the nature and size of the organization and sufficient to verify that the HACCP controls are in place and being maintained. This may include, but is not limited to: • The responsibilities for the development, maintenance and authorization of all documentation within the HACCP system • Methods of ensuring obsolete documents are removed from use • Responsibilities for the communication of changes to documentation within the HACCP food safety system • Methods for ensuring the security of the documented HACCP food safety system • The method of destruction and control of customer-owned/branded/trademarked documentation, product and packaging	These are requirements for having documented information of the food safety system (i.e. hardcopy and digital documents and records).	Implement a system for managing all documentation related to the maintenance of the HACCP food safety system in the following areas: • Control and issue • Communication on updates • Removing obsolete documents • Control of customer-facing materials	

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1.6 Document register				
1.6.1	A document register (list) of the documents referenced in the HACCP system shall be developed. This may include, but is not limited to the following: • HACCP team composition • Product description and intended use • Hazard analysis, including risk assessment and associated scientific references • CCP determination • Critical limit validation • HACCP audit table • Specifications (raw materials and finished product) • Formulations (recipes) • Pre-requisite programmes • Standard operating procedures and work instructions • Policies • Forms	These are requirements for having a document register of all information required for the food safety system.	The document register acts as a system to organize the management of all food safety documents required.	
1.6.2	The organization shall have access to, and control of, external documents or references required to maintain the HACCP system. This may include but is not limited to food safety statutory and regulatory requirements, codes of practice, guidelines and standards appropriate to the country in which the food products are manufactured and sold.	The organization needs to have access to external resource documents and references to support ongoing.	The organization and its HACCP team shall show evidence of how they are using external resources to keep the HACCP food safety system up to date on an ongoing basis.	

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Module 2: HACCP

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
2.1 HACCP system				
2.1.1	The organization shall develop, document and implement a HACCP system based on the Codex Alimentarius General Principles of Food Hygiene.	Develop and implement HACCP-based food safety system based on Codex Principles as outlined in the application section of the Codex Guideline.	Ensure the HACCP-based food safety system is documented.	
2.2 The HACCP team				
2.2.1	The organization shall identify and document the members of the HACCP team.	Assemble members of the HACCP team.	Document the members of the HACCP team and their responsibilities.	
2.2.2	The HACCP team shall comprise those within the organization who have the skills and knowledge to develop and maintain the HACCP plan. It is preferable to have a multi-functional HACCP team.	Sufficient expertise is required within the HACCP team to understand and apply HACCP preliminary steps, principles and methodology.	It is preferable to have the HACCP team represented by several functional departments of the organization.	
2.2.3	Where a consultant has been engaged by the organization to assist in the development and ongoing maintenance of the HACCP system, the organization shall ensure that the consultant holds appropriate qualifications.	The consultant needs to be appropriately trained.	A copy of the consultant's qualifications shall be kept on record.	
2.2.4	The organization shall demonstrate they are responsible for the day-to-day management of the HACCP system.	The responsibilities shall be reflected in the job descriptions for those who manage the HACCP system.	Document the members of the HACCP team and their responsibilities for the day-to-day management of the HACCP system.	
2.3 Scope and purpose of the HACCP plan				
2.3.1	The scope of the HACCP plan shall be defined and documented to define the start and end point of the process(es) under consideration and the products covered in the HACCP system.	Define the scope of the HACCP plan including: i) Start and end point of the processes ii) Products covered	Document the scope of the HACCP plan within the HACCP system.	

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2.3.2	The purpose of the HACCP system shall include the intent that all food safety hazards will be identified and controlled. Food safety hazards may include but are not limited to: biological, chemical, physical (foreign matter), allergen and radiological hazards as appropriate to the products in the scope of the HACCP plan.	Apply the awareness of specific hazards for raw materials, production or preparation process, and environment in which the food is handled.	Define the purpose of the HACCP plan.	
2.4 Product description and intended use				
2.4.1	A product description shall be developed and documented for all products included within the scope of the HACCP system.	A product description needs to be developed for each product.	Document a product description, intended use and identify consumers for each product category.	
2.4.2	'Like' products that are processed in similar ways may be grouped together in one product description. Products that are processed using different food safety controls, processing techniques or packaging methods shall have a separate product description.	'Like' products may exist under one HACCP study or HACCP family.	Determine if any "like" products can be grouped under one HACCP family or HACCP study. Include "like" products when developing product descriptions.	

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2.4.3	A product description for each product or group of products shall detail the following information: • Composition (e.g. formulation/ingredients) • Physical and chemical characteristics (e.g. final product aW, pH, addition of preservatives) • Production methods and technologies (e.g. heat treatment, high pressure processing (HPP), freezing, drying, brining, etc.) • Primary and secondary packaging (e.g. type of packaging used, durability, functional effect on food safety such as extension of shelf life etc.) • Storage, handling and distribution methods (e.g. refrigerated/ambient transport requirements) • Shelf life (including best-before or use-by date coding) • Intended use of the product(s) Labelling requirements including any claims as per local legislation in the country of sale • Allergens as per local legislation in the country of sale • Sensitive consumers Some or all of this information may be contained within finished product specifications	These are the minimum requirements (but not limited to) to develop product description, intended use and identify consumers.	Document a product description, intended use and identify consumers for each product or product category.	

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2.5 Process flow diagram				
2.5.1	A process flow diagram shall be documented for each product or group of products. Every step in the process(es) shall be identified and be sufficiently detailed to include the sequence and interaction of steps, inputs, outsourced processes, intermediate products, rework, end products, waste and by-products relevant to the process. Complex manufacturing operations may be broken into a series of linked flow diagrams to provide a clear and accurate represen-tation of the process flow.	The HACCP team needs to understand the specific process steps, inputs and technologies used by the organization for each product and/or product group.	HACCP team should construct and document a process flow diagram for each product or product category.	
2.5.2	Once developed, the HACCP team shall verify the accuracy of the flow diagram through a physical walk-through of the process at least annually, or when there are significant changes to the product or process.	The HACCP team needs to verify the process flow diagram by 'walking-the-talk' at the required frequency.	Document the evidence of the verification process.	
2.5.3	Records of this verification activity shall be kept.	The HACCP team may record this in the form of an internal audit or as a record on each process flow diagram.	Document the evidence of the verification process.	
2.6 Hazard analysis and control measures				
2.6.1	A hazard analysis shall be undertaken and documented for each step of the process and process inputs as identified in the flow process. The HACCP team shall reference the verified process flow diagram in the hazard analysis to identify all potential food safety hazards (as identified in the purpose of the HACCP plan) which need to be prevented, eliminated or reduced to accepted levels.	The HACCP team needs to identify potential food safety hazards (allergen, regulatory, quality, chemical, microbiological and other).	The HACCP team needs to identify potential food safety hazards for product (or product category) and process(es) in the form of a documented hazard analysis.	
2.6.2	Both the hazard and the cause of the hazard shall be documented.	A hazard is identified by a hazard analysis, as reasonably likely to occur at an unacceptable level in the absence of control, and for which control is essential given the intended use of the food.	Consider all potential hazards for the product and process and determine the cause of each hazard.	

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2.6.3	Identification and assessment of hazards are not to be grouped (e.g. foreign matter which shall be separated into wood splinters, packaging materials, hair, etc.). The identification of potential hazards should also take into consideration hazards reported in food recalls and outbreaks of foodborne illness as appropriate to the product, process and global supply chains.	Types of hazards shall not be grouped together because the control measure will need to be specific to that individual type of hazard.	Consider all individual hazards for the product and process and determine the cause of each hazard to identify the appropriate control measure for each.	
2.6.4	The HACCP team shall evaluate the hazards to identify the hazards that are essential to prevent, eliminate or reduce to acceptable levels for the production of safe food (i.e. identify significant hazards).	The significance of potential hazards will be dependent on the severity or consequence of the hazard if it occurs and the likelihood of the hazard occurring. Severity/consequence is normally fixed, however the likelihood of the hazard occurring will change depending on the effectiveness of the control measures for each hazard.	The HACCP team shall show evidence that they have applied the HACCP food safety risk assessment methodology to the products and processes to facilitate safe food production and meet compliance requirements of food safety standards.	
2.6.5	Hazards that are reasonably likely to occur in the absence of control and reasonably likely to cause illness or injury if present shall be identified and controlled by measures designed to prevent or eliminate these hazards or reduce them to an acceptable level.	Types of hazards shall be specific to the control measure.	Determine a control measure which is specific to the cause of the hazard.	
2.6.6	Where the organization has included quality hazards in the HACCP plan, these are to be identified in the risk assessment. These hazards shall be considered separately to the food safety hazards.	The HACCP team needs to identify potential food safety hazards (allergen, regulatory, quality, chemical, microbiological and other).	Where the organization has identified quality hazards to be included, assess these separately to the safety hazards.	

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2.6.7	When determining significant hazards, the HACCP team shall consider the following as applicable to the product and process: • Hazards known to be associated with the type of food, ingredients used in the product and process steps • Likelihood of occurrence of hazards, taking into consideration pre-requisite programmes, in the absence of additional control • Likelihood and severity of adverse health effects associated with the hazards in the food in the absence of control • Identified acceptable levels of the hazards in the food (e.g. permissible additives and maximum residue limits defined by regulations in the country of sale) • The food-handling environment and equipment used to produce the food product • The likelihood of survival and/or growth of pathogenic micro-organisms • The potential for the presence of toxins (e.g. mycotoxins), chemicals (e.g. pesticides, drug residues) or foreign matter (e.g. glass, metal, soft plastic) • The intended use and/or probability of the product being mishandled by potential consumers that may cause the food to become unsafe Guidance note: There is no specific methodology required to be used to determine the significance of hazards.	The HACCP team needs to apply risk assessment methodology to assign levels of severity and likelihood of occurrence and identify the control measures that reduce the likelihood of a hazard occurring.	Determine significance of potential hazards using a severity and likelihood methodology which is documented in the form of a hazard analysis.	

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2.6.8	For all hazards determined to be significant, there shall be at least one control measure designed to prevent or eliminate the hazard, or reduce the hazard to an acceptable level. Control measures may reference the application of a pre-requisite programme to reduce, prevent or eliminate a significant hazard (e.g. cleaning of equipment to prevent cross contact of food allergens from one food to another food that does not contain that allergen). In other instances, the control measures shall be applied within the process at critical control points (CCPs).	Identify control measures for all hazards and determine critical control points (CCPs) for significant hazards.	Document a relevant control measure to be applied for each CCP.	
2.7 Critical control points				
2.7.1	The HACCP team shall determine the critical control points for hazards identified in the hazard analysis as significant hazards. CCPs shall be established at steps where control is essential to safe food production and where a deviation could result in potentially unsafe food. There may be more than one CCP in a process at which control is applied to address the same hazard. If no control measures exist at any step for an identified significant hazard, then the product or process should be modified. Guidance note: There is no specific methodology required to be used to determine CCPs.	The HACCP team shall determine CCPs which have specific food safety control measures which are appropriate to the process and product.	CCPs need to be relevant to the control measure that is controlling the type of hazard.	
2.8 HACCP audit table				
2.8.1	A HACCP audit table shall be developed, documented and applied which includes all steps of the process where CCPs have been identified. The corresponding monitoring activities, corrective actions in the case of deviations and verification activities shall be documented for each CCP.	Develop and apply a HACCP audit table which includes all steps of the process where CCPs have been identified.	Document the HACCP audit table which includes all steps of the process where CCPs have been identified; detail monitoring, corrective actions and records.	

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2.9 Validated critical limits				
2.9.1	Validated critical limits shall be determined for each CCP to separate acceptable products from unacceptable products.	The HACCP team needs to identify and validate critical limits and procedures for monitoring and verification.	Establish records of validation for each critical limit.	
2.9.2	Critical limits shall be measurable or observable. There may be multiple critical limits identified for a CCP, (e.g. heat treatments may include critical limits for time at temperature). Critical limits for control measures at each CCP should be specified and scientifically validated to obtain evidence that they are capable of controlling hazards to an acceptable level if properly implemented. Guidance note: Critical limit criteria may include minimum and/or maximum values (e.g. temperature, time, pH, available chlorine, contact time, conveyor belt speed, flow rate, etc.).	The critical limit needs to be a criterion which is observable or measurable, relating to a control measure at a CCP which separates acceptability from unacceptability of the food.	Justify critical limits by performing tests or obtaining evidence from research to demonstrate that the control measure and limits are effective to control the hazards.	
2.9.3	Validation of critical limits shall consider if the appropriate critical limit has been determined and the capability of the organization to consistently achieve the limit(s). Validation data shall be documented. Guidance note: validation data may include, but is not limited to: regulations, industry codes of practice, guidance from competent authorities, studies conducted by equipment manufacturers and site-specific information confirming their capability to consistently achieve the critical limit(s).	Validation of the critical limits is required prior to implementation to ensure that the plan is capable of ensuring control of the significant hazards relevant to the HACCP plan.	Obtain evidence that a control measure or combination of control measures, if properly implemented, is/are capable of controlling the hazard to a specified outcome.	

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2.10 System to monitor control of CCPs				
2.10.1	A monitoring system for each CCP shall be established. Guidance note: monitoring of CCPs is the scheduled measurement or observation at a CCP relative to its critical limits.	To conduct a planned sequence of observations or measurements to assess whether a CCP is under control and to produce an accurate record for future use in verification.	Keep a record of monitoring and corrective actions to prove that the HACCP plan was followed.	
2.10.2	Monitoring procedures shall define what is being monitored, how the monitoring is carried out, the frequency of monitoring, where the monitoring is to take place and who is responsible for undertaking the monitoring.	Develop, implement and verify procedures for monitoring critical limits. The monitoring procedure must be related to the CCP control.	Document the monitoring procedures for each CCP to outline what is being monitored, how the monitoring is carried out, the frequency of monitoring, where the monitoring is to take place and who is responsible for undertaking the monitoring.	
2.10.3	The monitoring procedures for CCPs shall be capable of timely detection of a deviation from the critical limit to allow non-conforming products to be isolated. The monitoring of CCPs should be continuous, where possible. If monitoring is not continuous, then the frequency of monitoring shall be sufficient to ensure that the CCP is under control (e.g. critical limits based on observation such as the application of the correct label to a product containing allergens, needs a monitoring frequency based on the capability of the organization to prevent distribution of non-conforming product). Guidance note: physical and chemical measurements are usually preferred to microbiological testing because physical and chemical tests can be done rapidly and can often indicate the control of microbial hazards associated with the product and/or the process.	Control measures which should be scientifically validated are essential to achieve an acceptable level of food safety.	A record of the monitoring activity indicates that the CCP has been effectively implemented.	

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2.10.4	The organization shall also ensure that personnel who conduct monitoring checks are trained in the correct method and that training for CCP monitoring activities is assessed and documented.	All personnel in food safety and HACCP who are undertaking monitoring checks must have appropriate training.	Train the personnel who are undertaking the CCP monitoring checks and document the training record.	
2.10.5	Records of CCP monitoring shall be maintained to demonstrate a history of compliance to critical limits.	Records of CCP monitoring will be used for HACCP reviews, food safety management reviews and audits.	Keep a record of monitoring and corrective actions to prove that the HACCP plan was followed.	
2.10.6	All CCP records shall be signed or initialled by the person performing the monitoring and shall report the results and timing of the monitoring activity.	CCP records need to be signed or initialled by the trained personnel conducting the monitoring.	Ensure the person who does the monitoring are signs or initials each CCP record.	
2.11 CCP corrective actions				
2.11.1	Specific written corrective actions shall be developed for each CCP in the event that critical limits are not achieved to prevent the release of potentially unsafe food. Actions shall be taken to segregate the affected product and assess the safety of the food product to ensure the appropriate disposition.	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.	Check every CCP has both product and process actions to be taken if critical limits are not met.	
2.11.2	The procedures shall state what action is to be taken regarding the affected product, who is responsible and what action is to be taken regarding the process.	A process action of 'contact supervisor' (for example) 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.	Document corrective action procedures which are appropriate and relevant to deviations that have occurred to fix the immediate deviation and prevent from recurrence.	
2.11.3	A root cause analysis should be conducted to identify and correct the cause(s) of the deviation to prevent recurrence.	The procedures need to state what action is to be taken regarding the affected product, the process for root cause analysis and what will be done to prevent recurrence.	CCP data needs to be collected and reported, including: monitoring records, corrective actions taken when monitoring indicates critical limits haven't been met and verification of monitoring records.	

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2.12 Validation of the HACCP plan and procedures for verification				
2.12.1 Verification procedures				
2.12.1	Validation of the entire HACCP plan shall be completed prior to implementation to ensure the elements of the HACCP plan are capable of ensuring control of the significant hazards. This includes validation of the identified hazards, critical control points, critical limits, control measures, frequency and type of monitoring of CCPs, corrective actions, frequency and type of verification and the type of information to be recorded. Guidance note: validation of control measures and their critical limits is completed during the development of the HACCP plan. Validation may include a review of scientific literature, in-house validation studies, and/or using guidance developed by external authorities.	Establish and identify the activities, other than monitoring, that determine the validation of the HACCP plan and that the system is operating according to the plan.	Validation data shall be documented and maintained by the organization.	
2.12.2	Verification procedures shall be established to confirm that the HACCP system is working effectively. These include procedures to verify that the HACCP plan is being followed, that the HACCP system is able to control hazards on an ongoing basis and show that the control measures are effective to control the hazards as intended.	Verification is a programme separate from monitoring to ensure that the HACCP system is achieving the expected food safety performance. The verification procedures will confirm that the critical limits are relevant and that the corresponding monitoring and corrective action activities remain suitable.	A verification schedule including the activity performed, frequency, personnel responsible and records to be kept shall be documented and maintained.	

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2.12.2 HACCP system review				
2.12.2.1	Verification activities shall be completed on a planned, ongoing basis to ensure that the HACCP system remains capable of safe food production. Verification activities may include but are not limited to: • Review of monitoring records to confirm that CCPs are under control • Review of corrective action records, including specific deviations, product disposition and root cause to determine the cause(s) of the deviation • Calibration or confirmation of the accuracy of instruments used for monitoring and/or verification activities • Observation to confirm control measures are conducted in accordance with the HACCP plan • Product sampling and analysis (e.g. microbiological hazards such as pathogen testing, chemical hazards such as mycotoxins or physical/foreign matter hazards such as metal fragments), to verify product safety • Environmental monitoring (e.g. Listeria and/or Salmonella) • Review of the HACCP system, including the hazard analysis and the HACCP plan (e.g. internal and/or third-party audits)	Verification is necessary to assess the compliance and effectiveness of the HACCP system, in other words, it is working correctly. These verification activities confirm that there are no additional significant hazards and that CCPs were correctly selected and/or whether other processing steps would be more appropriately defined as CCPs.	A record of monitoring activity and verification that the CCP has been effectively implemented.	

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2.12.2.2	Verification shall include a comprehensive review of the HACCP system annually or when changes occur, to confirm the efficacy of all elements of the HACCP system. The review of the HACCP system shall confirm the following: • Appropriate significant hazards have been identified • Control measures and critical limits are adequate to control the hazards • Monitoring and verification activities occur as planned and are capable of identifying deviations • Corrective actions are appropriate for deviations that have occurred Guidance note: this review can be carried out by individuals within a food business or by external experts.	The HACCP system is expected to improve over time with continued experience in application of HACCP and the inclusion of new information. Periodic verification helps improve the plan by highlighting weaknesses and ineffective control measures.	The review of the HACCP system should confirm: • The appropriate significant hazards have been identified • Control measures and critical limits are adequate to control the hazards • Monitoring and verification activities are occurring in accordance with the plan and are capable of identifying deviation • Corrective actions are appropriate for deviations that have occurred	
2.12.2.3	Records shall be maintained for HACCP system reviews.	Maintain records of monitoring, improvement measures, verification activities, testing and inspection.	Maintain documented evidence of records for the review.	
2.12.2.4	Verification shall be carried out by a person other than the individual(s) responsible for performing the monitoring and corrective actions. Verification activities may be performed by external experts or qualified third parties.	The person conducting the verification cannot be the same person who performed the monitoring activity (and corrective action).	Records of verification and records of monitoring shall reflect different persons undertaking such activities.	
2.12.2.5	The organization shall monitor the pre-requisite programmes and control measures applied to control hazards. Procedures may include a description of the monitoring methods, responsible personnel, frequency and sampling (as applicable) and monitoring records to be kept. The frequency of monitoring should be appropriate to ensure consistent process control.	Pre-requisite programmes such as good hygienic practices are required to control food safety hazards in the product and the processing environment prior to the application of HACCP. Properly applied pre-requisite programmes, which include GMPs, should provide the foundation for an effective HACCP system.	Establish documented procedures for pre-requisite programmes, including Good Manufacturing Practices that address operational conditions providing the foundation for the HACCP system.	

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2.12.2.6	The organization shall undertake verification activities to confirm that GMP procedures have been effectively implemented and that monitoring is occurring as planned, and appropriate corrective actions are taken when requirements are not met. Examples of verification activities may include but are not limited to the following: • Review of GMP procedures, monitoring, corrective actions and records • Review when any changes occur to the product, process and other operations associated with the organization • Validation of the cleaning programme to meet the required cleaning standards • Records of GMP verification activities shall be retained	These verification activities challenge and confirm that the critical limits are relevant and that the corresponding monitoring and corrective action activities remain suitable.	Review the effectiveness of the HACCP plan through verification activities to confirm the HACCP plan has worked.	
2.12.3 Microbiological and chemical testing				
2.12.3.1	The sampling methodology and test limits shall be documented and include the corrective actions for test results that are outside the limits.	Microbiological and chemical testing of food will validate the processes used in food production.	Seek advice from a food analysis laboratory to determine the most suitable testing to validate your production processes. Collate any past analytical results to be reviewed in your audit.	
2.12.3.2	Testing shall be conducted by suitably trained personnel or by an external laboratory that holds laboratory accreditation for the tests being completed.	Personnel conducting the internal testing shall be trained in the methods or employ an external accredited laboratory for the test methods required.	Maintain training records for laboratory personnel and/or obtain accreditation certification from the external laboratory.	
2.12.3.3	Results of the tests shall be reviewed by a trained and responsible person within the organization and within an appropriate timeframe with respect to the purpose of the test (e.g. product clearance to release product on hold).	Reviewing test results can only be done by a trained and responsible person with authority. Test results need to be reviewed within the appropriate timeframe for the outcome or purpose of testing.	Document review of test results by trained person.	

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2.12.3.4	Corrective action shall be taken when results indicate that limits have been exceeded. Appropriate actions shall be taken to identify and isolate the product as per clause 3.8 Control of Non-Conforming Product.	When tests results are reviewed and deemed to have exceeded specification limits, appropriate corrective action shall be followed.	Evidence of the corrective action taken shall be documented.	
2.12.4.5	Records of test results and corrective actions shall be kept.	Maintain records of test results and corrective actions for the life of the product manufactured.	Evidence of the results and corrective action(s) taken shall be documented.	
2.12.4 Shelf-life testing				
2.12.4.1	New and re-developed products with a shelf life of less than two (2) years, shall have a schedule of shelf-life testing documented and implemented. The shelf-life testing schedule shall include the type of testing to be undertaken and shall be carried out after the expiry date of the product (i.e. not on the date of expiry). Considerations for shelf-life testing may include, but are not limited to the following: • Where the product can be frozen, as part of the storage instructions, the end of shelf-life testing shall be carried out after the end of the frozen period has been reached • Shelf-life tests may include chemical, microbiological, organoleptic and physical testing (e.g. weight loss during storage) • Where shelf-life limits are being established for new products, the process for determining the shelf life and any assumptions shall be clearly documented • End of shelf-life testing results shall demonstrate that the parameters of the product at the end of shelf life continue to meet the finished product specification. If this is not met, corrective action shall be taken	Establish a procedure for shelf-life determination and ongoing shelf-life testing parameters to meet the desired shelf life for the product's label.	Document records of processing, production and distribution retained for the purpose of shelf-life validation and testing.	

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2.12.5 Finished product assessments				
2.12.5.1	A schedule of finished product assessments against the finished product specifications including organoleptic, biological, chemical and physical parameters shall be developed, documented and implemented.	Finished products need to be assessed against their specifications to determine if the products' parameters have been met.	Document a record of each finished product assessment.	
2.12.5.2	Results of finished product assessments shall be reviewed by a suitably trained and knowledgeable person within the organization to identify the need for changes to the HACCP system. Records of the results shall be maintained.	A suitably trained and knowledgeable person needs to review all results of finished product assessments to determine if any changes are required to modify the HACCP system.	Records of the finished product assessment results shall be maintained.	
2.12.6 Monitoring and corrective actions of verification activities				
2.12.6.1	An organization shall review the results from HACCP verification activities to ensure that the HACCP system is under control.	The organization needs to review the verification activity results and any required corrective actions.	Records of the review of results shall be maintained.	
2.12.6.2	The scheduled verification/review processes shall be documented to include the monitoring of corrective actions taken to address findings from verification activities.	Plan a scheduled review of all verification results and any corrective action.	Gathering evidence for all corrective actions to demonstrate the review process of all verification activities.	
2.12.7 Customer complaints				
2.12.7.1	Customer complaints relating to food safety issues shall be recorded and managed by suitably trained personnel to ensure adequate investigation and consideration of the issue in the context of the HACCP system.	Trained personnel is required to manage customer complaints including the investigation and corrective action process.	Implement a process for the management of customer complaints handling, processing, investigating and implementing corrective action(s).	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
2.13 Establish HACCP plan documentation				
2.13.1	A system of record keeping relevant to the HACCP system shall be documented and implemented. All records associated with the HACCP system shall be retained including: • Monitoring of CCPs • Corrective actions taken regarding CCPs • Changes to the HACCP system • Pre-requisite programmes • Procedures for verification • Validation of critical limits	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. A system for documents and records is required to provide a history of compliance as evidence of due diligence.	Document a list of applicable regulatory references. Check your documentation procedure covers all of the criteria indicated: • Collate records of mock recalls (crisis drill for recall) for review at your audit • Check hardcopy records are correctly completed, no use of Liquid paper/ Whiteout/Tippex or pencil for recording • Check records are signed or initialled by the person completing the task(s) and verified by management	
2.13.2	Records shall be retained for a minimum of 12 months, or the shelf life of the subject product(s), whichever is the greater.	It is a legal requirement to keep all food safety records.	Maintain food safety records for the shelf life (or greater) of products.	
2.13.3	Hardcopy and electronic records shall be protected from damage or loss, easily accessible and securely stored.	Records need to be protected so that they are legible, accessible when required and securely stored for protection of information.	Records shall be protected for a required amount of time which may be based on legal requirements and/or according to the shelf life of products.	

BSI HACCP & GMP Self-assessment checklist

Module 3: Good Manufacturing Practices (GMP)

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.1 Personal hygiene				
3.1.1	A personal hygiene policy and procedure shall be developed, documented and implemented. As a minimum, the following elements shall be included: Personnel illness and injury (it may be appropriate for personnel to be excluded for a specific time after symptoms resolve or to obtain medical clearance before returning to work): • Eating, drinking, smoking and vaping restrictions • Hand-washing requirements • Hygienic behaviours when sneezing, coughing and blowing of nose • Protection of cuts and wounds and bandage requirements • Clothing and Personal Protective Equipment (PPE) requirements • Jewellery restrictions (including watches and piercings) • Control of personal items including medication and mobile phones • False nails (including acrylics) and false eyelashes • Personnel movement restrictions • Control of visitors and contractors • Procedures to ensure the storage of protective clothing worn in areas of different hygiene risks is not contaminated • Protocols for returning to work after breaks • Use of signs in the language spoken by employees, located in prominent and sensible locations and made of suitable materials to prevent the risk of product contamination	People handling food need to take measures to ensure that they are not a likely source of contamination.	Specific documented requirements shall be detailed for (but are not limited to): health status, illness/injuries, personal cleanliness, personal behaviour and visitors and other persons from outside the establishment.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.2 Cleaning				
3.2.1	The organization shall develop, document, implement and maintain a cleaning programme to remove food residues which may be a source of contamination, including allergens. Cleaning may be carried out using wet or dry cleaning methods, (e.g. heat, scrubbing, turbulent flow, vacuum) and chemical methods using solutions of detergents, alkalis or acids. Cleaning methods and materials shall be appropriate to the food type and the surface to be cleaned.	To maintain an effective cleaning programme to remove soil, food residue, dirt, grease or other objectional matter (such as allergens).	Implement a full cleaning programme which covers the cleaning requirements including but not limited to - all processing areas, equipment, amenities, staff facilities.	
3.2.2	The programme shall identify the following (where appropriate): • Areas within and outside the building that require cleaning • Equipment that requires cleaning (including cleaning equipment and waste) • Between batch cleaning • Method of cleaning and, where required, sanitation (disinfection) • Frequency of cleaning • Chemicals used, if applicable (all cleaning chemicals shall be approved for use within a food production facility) • Chemical concentrations, contact time and temperature • Persons responsible for cleaning • Records of the monitoring of cleaning • Appropriate training for cleaning personnel	The cleaning programmes are required to ensure a suitable food storage and processing environment.	Specific requirements are detailed for cleaning, sanitation and/or disinfection methods and procedures including the monitoring of effectiveness.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.2.3	The cleaning programme shall state how monitoring of cleaning is undertaken, the frequency of monitoring and corrective action to be taken if monitoring reveals that the cleaning is not effective. Guidance note: Micro-organisms may become tolerant to sanitizing (disinfecting) agents over time. A periodic review with the organization's chemical supplier(s) should be completed to ensure the sanitizer(s) (disinfectant(s)) used are effective to ensure inactivation of different types of micro-organisms (e.g. bacteria and fungi).	The documented cleaning programme shall include detail specific to each item or requirement for cleaning.	The cleaning procedures shall detail: • how monitoring of cleaning is undertaken • the frequency of monitoring • corrective action to be taken if monitoring reveals that the cleaning is not effective.	
3.2.4	The condition of cleaning utensils and equipment shall be assessed regularly to ensure any worn equipment or utensils do not pose a risk of cross contamination to the production process.	The condition of cleaning utensils and equipment need to be inspected regularly to eliminate any potential for physical contamination to the process and product.	Implement regular inspections as part of GMP audits or checks prior to commencement of cleaning or at the finish of cleaning.	
3.2.5	Environmental monitoring (e.g. protein and allergen test swabs or microbiological testing for indicator organisms) to validate the effectiveness of the cleaning programme should be undertaken commensurate with product and process risk. Records of sampling locations, methodology, corrective actions and retests of sampling locations shall be maintained.	Cleaning should be in line with food hygiene practice and the environmental control limits set out by the organization for its processes.	Document procedures for the environmental monitoring programme. Records of sampling locations, methodology, corrective actions and retests of sampling locations shall be maintained.	
3.2.6	Where required, clean in place (CIP) systems shall have procedures documented and implemented to ensure there are no residual cleaning chemicals in products.	Implement procedures for the use of CIP systems.	Document procedures for each CIP system or machine.	
3.2.7	Validation of the CIP system shall be completed to ensure that the system is capable of removing soiling and preventing contamination of food products. The frequency of validation should be based on product and process risk.	The CIP system method needs to be validated to determine the process capability for effectiveness of cleaning.	Validation data needs to be recorded for the CIP system at a regular defined frequency which is determined based on product and risk.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.2.8	Housekeeping and cleaning standards shall be maintained in all areas to prevent environmental contamination.	Check your cleaning programme is documented to cover all of the areas required for cleaning and housekeeping.	Collate records of cleaning and housekeeping.	
3.3 Approved supplier programme				
3.3.1	An approved supplier programme shall be documented and implemented for products and services (ingredients, packaging, chemicals, outsourced processes and third-party contractors) that may affect the food safety or quality of the finished product.	Develop and document a programme for the use of approved suppliers for supplying inputs and services to the organization.	Check your approved supplier programme is documented to cover all of the criteria indicated.	
3.3.2	The approved supplier programme should include criteria for: • Selecting and approving suppliers and service providers • Emergency suppliers/providers • Removing suppliers/providers • Records of approval may include evidence of regulatory compliance, certificates of food safety certification, supplier questionnaires and other formal agreements	Suppliers need to be assessed to ensure they are capable of supplying inputs for the production of safe, quality products.	Collate records of supplier assessments, information on supplier certification and any service contracts ready for review at your audit.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.3.3	The method of monitoring incoming products and services shall be documented and implemented and records maintained. Methods of monitoring may include but are not limited to: • Visual inspection to check for packages damaged during transportation, sufficient use-by-date or best-before-date, contamination with foreign matter or allergens during transit and correct temperature for refrigerated and frozen foods • Receipt of a Certificate of Analysis or other details of compliance to specification • Reconciliation of purchasing documentation for supplier details, date of receipt and quantity • Incoming materials that do not meet food safety criteria should not be accepted by the organization	Receival records are required to provide the receival checks of suppliers completed to confirm acceptance by the organization, including the criteria of acceptance.	Collate receival records for all incoming inspections of raw materials and inputs.	
3.4 Specifications				
3.4.1	Documented specifications shall be available for all raw materials (including packaging) and finished products to ensure compliance with relevant food safety and legislative requirements for food products handled by the site.	Microbiological, chemical or physical specifications supported by monitoring procedures, analytical methods and action limits, (where appropriate) shall be made available by suppliers and/or internal specifications developed by the organization.	Maintain a register of all specifications for raw materials, packaging and finished products (including WIP where required).	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.5 Labelling				
3.5.1	The organization shall ensure there is a process for the preparation and review of labels which includes: • Confirmation that the information on the label complies with food safety regulations and other applicable regulations that may apply to specific industry sectors in the country of sale • Confirmation that clear instructions have been provided to enable the next person in the food chain to handle, display, store and use the product safely • Review of label information in the event of the following: 1. Changes in labelling laws and regulations 2. Changes in raw materials and recipes including the introduction of ingredients that contain allergens applicable in the country of sale 3. Changes in processing that may impact food safety of the finished product (e.g. change from pasteurization to high-pressure processing) • The label shall be checked prior to production commencing to confirm the correct label, correct date coding for use by/best before date and legibility.	Labels on food products need to meet the legal requirements for the country of sale.	Document a procedure for the checking and approval of labels.	
3.5.2	Records of labelling reviews shall be maintained.	Conduct label reviews for all products (and new products in development) on a defined regular basis.	Keep records of all label reviews.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.6 Allergen management programme				
3.6.1	An allergen management programme shall be documented and implemented to ensure the effective management of allergenic materials to prevent contamination and cross contact. This programme shall include but is not limited to: • A documented risk assessment of ingredients containing allergens (this may form part of the raw material food safety risk assessment) • Receipt and storage practices for ingredients containing allergens • A list of all allergenic ingredients on site • Control measures to prevent contamination and cross contact of allergens in products that do not contain the allergen • Scheduling of production to prevent contamination and cross contact of allergens through shared equipment and processing areas • Policies relating to the use of allergenic ingredients in rework • Consideration of allergens during product development • Mandatory declaration of allergens on product labels as required in the country of sale • Allergen 'free from' claims shall be validated and reviewed on an annual basis • Validation and verification procedures for cleaning and maintenance programmes	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. The level of allergen management required will depend on the requirements.	Allergens need to be identified, segregated and handled with care to prevent cross-contact contamination with non-allergenic foods.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.6.2	Employees and contractors shall be trained in the allergen management programme.	All personnel accessing the site need to be trained in the allergen management programme. This includes contractors (such a maintenance, cleaners, etc).	Maintain evidence of documented training records for all employees and contractors.	
3.6.3	Compliance to the site allergen management programme shall be maintained in all areas of operation.	The organization will need to assess all steps in their process to maintain the management of allergens.	Have all steps from sourcing, to storage, ingredient preparation and production assessed to determine suitable controls for the allergen management programme.	
3.7 Packaging				
3.7.1	All packaging shall be fit-for-purpose taking into consideration the product characteristics and handling in the supply chain.	Packaging materials used in the manufacture / processing of food products need to be fit for purpose and food grade.	Obtain specifications for packaging materials to demonstrate they are fit for purpose.	
3.7.2	Packaging shall be protected from contamination when in storage. Packaging should be stored in a designated area separate to food ingredients, finished products and non-food chemicals (including cleaning materials, lubricants).	Rooms needed for storage of packaging for the manufacture of food products shall be separated or segregated from other storage areas.	Maintain designated storage areas of packaging and monitor compliance during GMP audits.	
3.8 Control of non-conforming product				
3.8.1	Controls for non-conforming product shall be developed, documented and implemented. As a minimum, non-conforming product shall be segregated and identified to prevent accidental release or use.	Non-conforming product may be unsafe to consume and should be segregated to prevent accidental use.	Confirm procedure details for the process for segregation of non-conforming product.	
3.8.2	The procedures shall state what action is to be taken regarding the affected product, who has responsibility for the action, the need for root cause analysis and what actions should be taken to prevent recurrence.	Pre-determined 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.	Check every CCP has both a product and process action to be taken if critical limits are not met. This may be documented in the HACCP plan or in a cross-referenced corrective action document to ensure consistency of actions taken Implement a general corrective action process for non-conforming products procedure.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.8.3	Records of non-conforming product for raw materials and through all stages of the process including rework shall be maintained to ensure full traceability. Records may include product hold, corrective actions and disposal.	All non-conforming product records need to include details of the non-conforming issue and the product/material.	Maintain all records relating to non-conforming materials and products.	
3.9 Traceability				
3.9.1	The organization shall have a documented procedure that ensures, for all stages of production from receival through to finished goods, products are clearly identified. This shall include (where applicable): • Raw material receival • Storage • Work in progress • Rework • Final product • On hold product • Reject product, quarantined/non-conforming product • Returned product, downgraded/damaged stock • Food waste designated to animal feed • Waste product(s) • Cleaning chemicals and • Packaging • New product development materials	Suitable information is required for the next person in the food chain to handle, store, process, prepare and display the product safely and correctly.	Document this procedure to identify how all inputs will be traced and recorded throughout production.	
3.9.2	The procedure shall document how product is traced to the customer (one forward) and back to the supplier (one back).	Suitable information is required for the next person in the food chain to handle, store, process, prepare and display the product safely and correctly.	Specific requirements are detailed for: lot Identification and traceability, product information, product labelling and consumer education.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.9.3	Records of traceability shall be maintained.	Records are required to enable traceability of products for a recall.	Keep records of lot identification and traceability to facilitate potential product recall and stock rotation. All food must have information to identify the producer and the lot and records of this information shall be maintained.	
3.10 Corrective action				
3.10.1	The organization shall demonstrate that they are able to use information from identified failures in the HACCP system to identify the root cause, make necessary corrections and prevent re-occurrence.	The organization needs to identify the root cause, make necessary corrections and prevent re-occurrence for failures in the HACCP system and food safety system.	Document all corrective action records.	
3.11 Recall				
3.11.1	The organization shall have a documented recall procedure in place that complies with the requirements of the local legislation in the country of sale.	An implemented recall programme is required to meet local legislation requirements in the country of sale. Recalls are conducted by food businesses to ensure that potentially hazardous or unsafe foods are not consumed.	Ensure the recall programme is documented including records of all events or actions taken to remove from sale, distribution and consumption foods which may pose a safety risk to consumers.	
3.11.2	The annual review shall include a test of the traceability process on at least an annual basis. This may be performed as a component of the mock recall and should include a test of the forwards and backwards traceability (this makes up part of the product traceability exercise referred to in clause 3.9 of this Criteria document).	Food safety incidents and recalls provide valuable information on the issues that need to be controlled to ensure production of safe food.	Information on food safety incidents and near misses are also useful to review.	
3.11.3	Clear and accurate records of the recalls, withdrawals and mock recalls shall be maintained.	Ensure records are maintained for food safety incidents, near misses, withdrawals and recalls.	Ensure records are maintained for withdrawals and recalls.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.12 Design of facilities and equipment				
3.12.1 Facility requirements				
3.12.1.1	The facility design and construction shall be suitable for the type of food products handled at the site.	Appropriate design, construction, location and provision of adequate facilities are required to prevent and manage contamination risks to food.	Prepare documentation that covers: location and structure; (design and layout, internal structures and fittings, temporary/ mobile food establishments and vending machines), facilities (drainage and waste disposal facilities, cleaning facilities, personal hygiene facilities, temperature, air quality and ventilation, lighting and storage) and food control and monitoring equipment.	
3.12.1.2	The facility shall be of an appropriate size and layout to reduce the risk of contamination and ensure the production of safe and legal food products.	The facility needs to be of appropriate size and layout in relation to its production activities to produce safe and legal food.	Inspect your facility's layout and size with respect to production usage.	
3.12.1.3	A process for monitoring the condition of the facility shall be implemented. The frequency of monitoring processes shall be determined based on risk and shall be documented. Records of monitoring activities shall be retained.	Implement a process to monitor the condition of the facility based on frequency and risk.	Document and record the monitoring process.	
3.12.2 External areas				
3.12.2.1	The external areas around the facility shall be maintained in a clean condition with no over-grown vegetation that could compromise preventative pest controls.	External areas should be well maintained to prevent harbourage of pests and ensure that litter and debris from external areas are not a source of contamination for pests.	Check to make sure that gardens around the building are not overgrown for potential harbourage and that redundant building materials have been removed for potential harbourage.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.12.2.2	Smokers waste shall be controlled to prevent potential contamination of food products stored and handled by the facility.	External areas should be well maintained to prevent harbourage of litter such as cigarette butts.	Inspect for cigarette butts in smoking areas being contained within receptacles and not loose on the ground where they could be walked into food production areas.	
3.12.3 Layout, product flow and segregation				
3.12.3.1	The layout of premises and the flow of operations, including the movement of personnel, raw materials, utensils, packaging rework and/or waste shall not compromise the food safety of products.	The layout of the premises and the flow of production must not compromise the food safety of the end products and inputs along the way.	Walk through production to assess the process flow diagram and layout to identify any points of compromise.	
3.12.3.2	Food handling areas that have different levels of hygiene control (e.g. low-risk vs. high-risk area) shall have appropriate segregation to minimize cross-contamination. Segregation may include walls, partitions and/or allocation of areas within an open production area and separation in time as appropriate to product and process risks.	The intent of this requirement is to avoid cross-contamination between people, processes, equipment and products from different areas of risk.	Address the following: • Are there segregated areas in your facility defined for different food processing activities based on risk? • Walk through your premises to check the adequacy of segregation • Are doors or plastic strip dividers intact and in place? • Are designated storage areas provided for high-care or high-risk food items? • Is outer packaging (cartons) removed in low-risk areas prior to transfer to high-care or high-risk areas? • Are there additional hygiene controls for food handlers to move from low-risk to high-care or high-risk areas? • Is there a higher standard of housekeeping and hygiene maintained in high-care and high-risk areas?	
3.12.4 Building fabric and equipment				
3.12.4.1	The fabrication of the buildings shall be suitable for the intended purpose and constructed of durable materials that are able to be maintained, effectively cleaned and where appropriate, sanitized (disinfected). Building materials should be constructed of non-toxic materials according to intended use and normal operating conditions.	The condition of the building fabric, its suitability for a food premise and its effectiveness of cleaning is a minimum requirement.	During construction of new areas, check for the materials intended for use prior to building. Ongoing checks for building fabrication and its condition can be monitored.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.12.4.2	Walls shall be impervious to moisture, maintained in good condition and easy to clean and maintain clean.	Food handling and storage areas need to be maintained in a clean condition to prevent contamination of food and work areas. Flaking paint could fall onto food handling work areas or equipment and be found in food as foreign matter. Cockroaches, rats and mice may be able to hide in wall cavities.	Any wall surfaces that are damaged, have holes, flaking paint or unclean surfaces should be repaired prior to your audit. 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.	
3.12.4.3	Floors shall be impervious to moisture, maintained in good condition and easy to clean and maintain clean. Where required, floors shall be graded to drains to prevent pooling.	Floor surfaces need to be easy to clean so that the food handling environment can be maintained in a clean and sanitary condition. 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 facility by the movement of peole and equipment.	Address the following: • Repair any floors that are damaged (e.g. cracks in concrete or tiles) prior to your audit • If sections of the floor do not slope towards the drain, then additional controls will be needed to remove pooling water (e.g. mop and bucket)	
3.12.4.4	Where required for wet cleaning operations, coving between the floor and wall should be used to facilitate cleaning.	The coving needs to be smooth between floor and wall so that there are no gaps for water to pool and remain stagnant for bacteria to thrive.	Check all walls and floors and ensure coving is in place.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.12.4.5	Drains shall be in maintained in good condition and easy to clean and maintain clean. Drain grates and basket traps should be removable to allow for ease of cleaning.	Drains must be installed in the required locations to remove liquids from cleaning, food preparation processes and spills from the food handling area.	Address the following: • Are all drains are fitted with covers to prevent large items flushing down the drain causing blockage? • Are drain covers and removable basket traps included on a cleaning schedule to ensure they are regularly cleaned and disinfected to prevent the growth of bacteria (which may be transferred from the floor to work surfaces through unhygienic practices)?	
3.12.4.6	In facilities where there is segregation between areas of different hygiene controls (e.g. low and high-risk areas), wastewater shall not drain from low-risk to high-risk areas.	An assessment of the suitability of water used where it may pose a hazard, for example, for crop irrigation or rinsing activities.	Assess and document this requirement annually as part of internal audit requirements.	
3.12.4.7	Ceilings (including false ceilings) shall be smooth, impervious to moisture, easy to clean and maintain clean and not allow for the entry of pest or dust ingress.	Inspect for the structural condition and ongoing physical condition of ceilings and their surfaces.	Ensure ongoing inspection and maintenance of ceiling structures in GMP audits.	
3.12.4.8	Windows located in production areas with open and exposed products shall be kept closed or have adequate pest proofing or screens.	Windows in working areas shall have sealed structure or screens for pest proofing.	Ensure ongoing inspection and maintenance of window structures in GMP audits.	
3.12.4.9	Doors into production areas shall be close-fitting to prevent pest and dust ingress.	Doors leading into working areas shall be close-fitting to prevent ingress of pests and dust.	Ensure ongoing inspection in GMP audits and maintenance of doors leading into production areas	
3.12.4.10	Doors (including rapid roller doors) shall be kept closed at all times when not in use. Doors that operate as an airlock should not allow for both doors to be open at the same time as this would compromise airlock controls intended to minimize contamination.	Rapid roller doors shall be kept closed at all times when not in use. Doors operating within airlocks should not allow for the opening of both doors at same time to maintain the integrity, effectiveness and performance of the airlock.	In GMP audits, ensure ongoing inspection and maintenance of air locks and rapid roller doors within production areas.	
3.12.4.11	Light fittings shall be protected to ensure food is not contaminated by breakage. The replacement of light fittings above open product areas should be scheduled to occur when production is not in process.	Lighting fixtures in working areas shall have a protection covering to prevent potential contamination of materials and products with falling materials or potential dispersion of fragments (upon breakage).	In GMP audits, ensure ongoing inspection and maintenance of light fittings.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.12.4.12	Glass windows shall be protected to prevent glass contamination in the event of a breakage.	In case of breakage, glass windows shall be protected so that the glass breakage does not contaminate the working areas of production.	In GMP audits, ensure ongoing inspection and maintenance of glass windows.	
3.12.4.13	Equipment used for thermal processes or to chill/freeze food should be designed to achieve the process requirements to ensure food safety and suitability. Where necessary, equipment should also be designed to allow for temperature monitoring.	Equipment shall have a system to maintain appropriate conditions (freezing or refrigeration condition) for products.	Purchase the correct equipment for the purpose of use.	
3.12.4.14	Equipment used in food processes must be industry standard and maintained in a suitable condition.	All equipment used shall be maintained in a suitable condition to assure contamination control.	Check condition of equipment with reasonable frequency.	
3.12.5 Employee amenities				
3.12.5.1	Employee amenities shall be suitably located and include as required, designated areas for employees to keep personal belongings, changerooms, toilets, hand-washing and drying facilities as well as areas for eating, drinking and smoking. These facilities shall not be used for other purposes such as storage of food or items that contact food.	Employee amenities need to be suitably located within the facility and have adequate functional areas.	Walk through your premise and inspect the employee amenities and ensure GMP policies are being adhered to.	
3.12.5.2	Hand-washing stations shall be located in appropriate locations throughout the site, made of suitable materials and in good condition and have a supply of warm, running, potable water, with liquid soap and a suitable method of drying hands.	Easy access hand wash basins are 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 close to the entrance of production in areas segregated for high-care or high-risk processes.	
3.12.5.3	Hand-washing facilities shall be of an appropriate hygienic design and should have hands-free taps; where this is not possible appropriate measures are required to minimize contamination from taps should be in place.	Hands-free taps are preferred as they reduce the risk of bacteria transfer from unclean hands to hands that have been cleaned.	Identify hand wash basins that are not 'hands-free' and determine priorities for future upgrade to hands-free taps; prioritize upgrades for wash basins located in areas segregated for high-care or high-risk food handling activities.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.12.5.4	Where personal protective clothing and footwear is required for employees, contractors and visitors, there shall be suitable provisions provided (e.g. this may require multiple sizes of protective clothing and footwear to be maintained).	Protective clothing may include uniforms, aprons, coats etc. The purpose of this is to prevent contamination from personal clothing.	Ensure arrangements are in place to provide extra laundered or disposable PPE to contractors and/or visitors in multiple sizes.	
3.12.5.5	Lunchrooms shall have adequate refrigeration space for personnel to store perishable food items and be of suitable size for the number of personnel using the lunchroom at the same time.	Staff lunches should be appropriately stored to prevent staff from becoming ill and prevent contamination within staff facilities.	Walk through your staff lunchroom to check perishable foods are correctly stored and out-of-date food is discarded.	
3.13 Receival and storage				
3.13.1	Procedures for the safe and suitable storage of products shall be implemented. These procedures shall include reference to allergen management, cleaning, stock/ inventory control, segregation of non-conforming product and handling to minimize stock damage and cross contamination.	Establish and implement procedures for safe and suitable storage practices which should encompass requirements to control allergen management, stock rotation, cleaning, minimal stock damage and cross contamination and the handling of non-conforming product for segregation.	Document procedures for receival and storage and walk through your process from receival and storage of raw ingredients through all stages of production. Look for opportunities to minimize the potential for cross contamination: • Storage areas including cool rooms, freezer rooms and refrigerators should be well organized and uncluttered • Shared work areas should have sufficient space to allow for segregation of raw and cooked products • Shared equipment and utensils for different products will need thorough cleaning and disinfection (sanitizing) between use, e.g. food processors and blenders • People movement throughout the food preparation area should be organized so that microbiological or allergen risks are not transferred from one area to another	
3.13.2	Facilities for the storage of ingredients, packaging, work in progress and finished product shall be fit for purpose, clean and large enough for use at peak times of production.	Adequate facilities need to be available onsite for storage of all inputs. These facilities shall be clean, fit for purpose and suitably large for capacity (for busy production periods of the year).	Inspect and maintain areas of storage facility.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.13.3	Ingredients, raw materials, work in progress, finished product and packaging shall be stored in such a manner that they do not pose a food safety (or quality) risk to the product.	Raw materials and other materials shall be stored in spaces or areas separate from that for storage of products.	Inspect and maintain areas of storage facility.	
3.13.4	Climate controlled (temperature and humidity) storage areas shall be monitored with records of monitoring activities maintained.	If storage conditions are specified, raw materials and other materials shall be stored at refrigerating or freezing temperatures appropriate for such specified storage conditions.	Implement monitoring procedures and document records to control temperature and humidity.	
3.13.5	Deliveries and receivals that are unloaded in external areas shall be protected from environmental damage and contamination (e.g. rain and dust) with products moved to covered and protected areas as soon as practicable.	Stock that's unloaded externally needs to be relocated as soon as possible to a covered and protected area to minimize contamination from the external environment.	Inspect external areas where stock may be received or unloaded or despatched regularly.	
3.13.6	A process for stock rotation shall be in place and based on First in/First out (FiFo) or First expiry/First out (FeFo) principle for raw materials and finished products.	Raw materials and other materials used in the manufacture/processing of food products shall be used according to the principle of "first-in, first-out".	Implement and maintain stock principles and inspect regularly for rotation of stock.	
3.13.7	Where offsite storage facilities under the direct control of the organization are used, these shall be included in the HACCP system and monitored for compliance to GMP requirements.	Include offsite storage requirements as part of the approved supplier programme for any contracted storage warehouse.	Check if offsite storage is used and include these service providers in the approved supplier programme.	
3.13.8	Where storage of raw materials or finished products is contracted to a third-party service provider they shall be included in the approved supplier programme.	Include storage requirements as part of the approved supplier programme for any contracted storage warehouse.	Check if third-party storage is used and include these service providers in the approved supplier programme.	
3.14 Dispatch and transport				
3.14.1	The transport vehicle(s) required to transport temperature controlled foods shall be able to maintain appropriate temperatures.	Food should be adequately protected during transport to prevent contamination and have suitable conditions maintained during transportation to ensure the safety and suitability of the food.	Implement controls on the transport of food to protect food from contamination including allergen cross contact during distribution.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.14.2	The methods for securing transport for the transportation of products (including the transport of interim products that are transported to a third party for part of the process) shall be documented and records of checks maintained.	Controls for the security of the load shall be considered from the perspective of food security, food fraud and food defence.	Implement ways of securing transport loads and monitor and record the traceability of all secured loads.	
3.14.3	Procedures shall be documented and implemented for the breakdown of transport vehicles used to transport food products requiring temperature, humidity, atmosphere and other conditions necessary to protect food from microbial growth and deterioration.	Specific requirements are detailed for design and construction of transport and bulk containers as well as their use and maintenance.	Implement procedures for the monitoring of loads and product during breakdown.	
3.14.4	Contingencies for loading and dispatching product in adverse weather shall be documented and implemented as required.	Specific requirements are detailed for the management of loads during adverse weather conditions to protect products.	Implement contingency procedures for loading and dispatch in adverse weather conditions.	
3.15 Control of water, ice, air and other gases				
3.15.1	An adequate supply of potable water shall be available to ensure the safety and suitability of the products supplied. Potable water shall be used for post-harvest wash treatments, hand-washing, cleaning, ingredient, making and drinking water.	Control of water quality to minimize the presence of potential water borne hazards (e.g. biological, chemical, physical).	Water used in food-handling facilities shall be suitable for human consumption from a mains source of potable supply.	
3.15.2	Water recirculated for reuse and recovered water (e.g. water recovered from food production operations, evaporation and/or filtration) shall be treated where necessary to ensure the safety and suitability of food is not compromised.	Re-use of water, in whatever form, shall be controlled and monitored for its safety and quality so that it is fit for purpose and use.	Recirculated water and water recovered from the processing of food may be permitted for use, provided its use does not constitute a risk to the safety and suitability of food. This needs to be validated with ongoing monitoring and verification.	
3.15.3	Water, ice and steam shall be fit for the intended purpose. This may require a risk-based testing programme to be documented and implemented.	An assessment of the suitability of water, ice and steam used as inputs where it may pose a hazard, for example, crop irrigation, rinsing activities, etc.	Implement an assessment of the inputs and their purpose for use so the HACCP team can determine a risk-based testing programme for the inputs.	
3.15.4	Where a risk-based water testing programme is required, the programme shall include the frequency of testing, test method, limits and action to be taken for results that are outside of limits.	If implementing a risk-based testing programme for the inputs of water, ice and steam, identify frequency of testing, test method, limits and action to be taken for results that are outside of limits.	A verification programme for the testing of inputs (water, ice, steam) and its methods shall be in place.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.15.5	Air, steam and other gases used directly in contact with food product shall be suitable and not present a contamination risk.	Contaminated air and gases can be a source of contamination.	Ensure compressed air used in direct contact with food is filtered to prevent contamination. Confirm suitability of gases used for any direct food contact (e.g. MAP packing).	
3.16 Control of foreign materials				
3.16.1	Controls for foreign materials in food handling areas (e.g. glass, metal, hard and soft plastics, wood splinters, jewellery) shall include suitable prevention strategies including preventative maintenance and regular inspection of equipment. Procedures for the control of foreign materials shall be documented, with appropriate records of compliance to procedures retained.	Manufacture/processing of food products shall be controlled in a manner of avoiding contamination with potential foreign materials (both intrinsic and extrinsic).	Procedures for the control of foreign materials shall be documented, with appropriate records of compliance, to procedures retained.	
3.16.2	Personnel responsible for monitoring equipment related to control of foreign material shall be trained in the use of the equipment, monitoring methods and corrective actions.	Ensure personnel are competent according to their responsibilities.	Identify these personnel in a training matrix and ensure training records are documented.	
3.16.3	Controls for metal items including, but not limited to, knives, needles, wires, staples and knife sharpening equipment shall be implemented to manage the potential contamination risk from these items.	Document policy for the control of metal items.	Implement a procedure for the control of metal items permitted for use.	
3.16.4	Where possible, glass and brittle materials shall be excluded from food handling areas or protected against breakage.	Implemented policy should intend to exclude glass and brittle materials.	Examine and inspect all areas, surfaces and equipment containing glass and brittle materials with intent to eliminate, replace or monitor for permitted use.	
3.16.5	There shall be a documented and implemented policy on the use of glass, brittle plastics, ceramics and similar materials in food handling areas.	Document policy for the control of glass, brittle plastics, ceramics and similar materials.	Implement procedure for the control of glass, brittle plastics, ceramics and similar materials.	
3.16.6	Where the final product is packed into glass packaging there shall be appropriate controls and documented procedures in place for line cleaning following breakages.	Document policy for the control of glass breakages.	Implement procedure for the control of glass breakages and how to effectively remove broken glass so that the food remains suitable for use.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.16.7	A policy for the use and control of soft plastic items shall be documented and implemented.	Document policy for the control of soft plastics and outline the permitted use and controls.	Examine and inspect all areas, surfaces and equipment containing glass and brittle materials with intent to eliminate, replace or monitor for permitted use.	
3.16.8	Soft plastic items shall be of an appropriate gauge to prevent tears and rips and used for the intended purpose.	Be able to minimize potential damage of soft plastic items.	During procurement, ensure the type of soft plastic items are suitable.	
3.16.9	Where possible, the soft plastic item shall be a contrasting colour to the product.	Be able to easily identify contrast in colour in case of physical contamination.	For ease of identification in case of contamination, all soft plastics shall be a different colour to that of product(s).	
3.16.10	A wood policy outlining the control of wood within the processing environment shall be documented and implemented. Wood shall be excluded from the processing areas unless the wood is part of the processing equipment.	Document policy for the control of wood and outline the permitted use and controls.	Implement control of wood policy.	
3.16.11	Where wooden pallets cannot be excluded from the processing area, adequate controls shall be in place to ensure that the pallets are dry, in good condition and free from damage.	Only wooden pallets which are dry, in good condition and free from damage are permitted for use in certain areas of production.	Inspect incoming condition of wooden pallets in the permitted area. Ensure pallets of bad condition are removed from point of use and do not re-enter production for use.	
3.17 Control of chemicals				
3.17.1	A procedure outlining the control of chemicals used on the site shall be documented. This procedure shall include the identification and secure storage of chemicals used in maintenance, cleaning and CIP activities.	Chemical substances can contaminate food through poor storage conditions and incorrect use.	Implement a programme to control the chemicals being used onsite by identifying: • Purpose for use • Approved intended use (food grade) • Approved application (dosing) • Method of use and safety of use • Supplier of chemical	
3.17.2	A list of chemicals stored and used on the site and the intended use for each chemical should be documented.	Implement a system for all approved chemicals and their intended purpose of use.	Develop and regularly update a register of approved chemicals.	

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3.17.3	Evidence shall be available to demonstrate that the chemicals are suitable for use in a food premise and appropriate for the intended use by the organization.	Cleaning agents, disinfectants and other chemicals used in working area(s) shall be handled and used for their intended purpose.	Keep a register of safety data sheets (SDS or MSDS) for chemicals that are used or stored on site. For chemical handling safety, also keep copies of MSDS at point of use.	
3.17.4	Chemicals (e.g. cleaning materials, non-food grade lubricants, chemical residues from pesticides and veterinary drugs such as antibiotics) shall not present any direct contamination risks to the process and/or product.	Cleaning agents, disinfectants and other chemicals used in working area(s) shall be stored and controlled in a place separate from those for handling of food products.	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.	
3.17.5	All personnel and contractors who handle chemicals on the site shall have appropriate training.	Ensure personnel are competent and trained appropriately to their chemical handling responsibilities.	Maintain documented evidence of records and content of training.	
3.18 Maintenance				
3.18.1	The organization shall have in place a documented preventative maintenance programme covering the premises, equipment, services and external areas. Maintenance activities shall not pose a food safety risk to the products.	Equipment needs to be maintained to prevent equipment wear and tear from creating the potential for foreign matter contamination.	A preventive maintenance programme shall be documented and implemented according to procedure.	
3.18.2	The preventative maintenance schedule shall be implemented.	A preventive maintenance schedule shall identify all necessary inputs (e.g. machinery, equipment) which require regular scheduled maintenance requirements.	A preventive maintenance schedule shall be documented and implemented according to plan.	
3.18.3	Temporary repairs shall be controlled to ensure the food safety and legality of the product. Temporary repairs shall be permanently repaired as soon as practicable.	Temporary repairs may use sticky tape, string or rope which may present a foreign matter or microbiological hazard.	Check adequacy of controls for temporary repairs and be mindful that best practice is that temporary repairs are dated and reported for permanent repair as a priority.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.18.4	Maintenance employees and contractors shall take measures to ensure all tools are suitable for food production areas and that measures are in place to ensure tools and maintenance debris is removed when maintenance activities are completed. This is critical for intrusive maintenance activities where maintenance tools and debris will not be visible to production employees following maintenance activities.	Maintenance activities can be a source of microbiological, chemical and foreign matter contamination.	Check adequacy of controls for maintenance works to prevent contamination of food and food handling areas. Confirm instructions and supervision of contractors. Where maintenance is to be carried out, ensure all food products are removed from the area of maintenance activity.	
3.18.5	Food products, ingredients and packaging shall be removed from the immediate area where there is a risk of contamination while maintenance is to be carried out.	Maintenance activities can be a source of microbiological, chemical and foreign matter contamination, therefore protect or remove food products, ingredients and packaging in the immediate area.	Check adequacy of controls for maintenance works to prevent contamination of food and food handling areas. Confirm instructions and supervision of contractors and service providers.	
3.18.6	The area/equipment undergoing maintenance should be checked to ensure the area and equipment has been cleaned and sanitized, tools and materials used or any swarf or shavings have been removed and that equipment has been reassembled correctly.	Maintenance activities can be a source of microbiological, chemical and foreign matter contamination.	Where areas/equipment are subject to maintenance, check that all materials have been removed and that area/equipment has been cleaned and sanitized before reassembling the equipment correctly to return to use.	
3.18.7	Maintenance workshops shall be maintained in a clean condition and pest-proofed.	Maintenance workshops are considered part of the site's premise and facility under its GMP policy.	Maintenance workshops, like all other facilities of the site's premise, need to be maintained in clean and pest-proof condition.	
3.18.8	A record shall be kept of planned maintenance and breakdown maintenance.	A history of equipment inspections planned maintenance and breakdowns demonstrates precautions are taken to prevent contamination from equipment issues.	Collate equipment inspection, service and repair records. Equipment service reports will need to be provided for all equipment.	
3.18.9	Equipment used in direct contact with food products shall be constructed of suitable food grade materials and capable of being cleaned and maintained clean.	Equipment and utensils used in the manufacture/processing of food products, shall be fit for use (food grade), maintained and controlled in a sanitary manner.	Include inspection of condition of equipment in internal audits or GMP audits, etc.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.18.10	Equipment inspections to ensure continued food safety suitability (e.g. inspection of sieves, screens and filters) shall be completed.	Such equipment shall be in good repair and order so as not to shed fragments of contamination.	Include inspection of the condition of equipment in internal audits or GMP audits, etc.	
3.18.11	Steel wool and wire brushes, where required, shall be maintained in good condition to minimize the risk of foreign matter contamination.	Steel wool and wire brushes and such like equipment shall be in good repair and order so as not to shed fragments of contamination.	Include inspection of condition of equipment in internal audits or GMP audits, etc.	
3.19 Calibration				
3.19.1	The organization shall have in place a documented procedure to ensure that all equipment used to inspect, measure or test the product is reading accurately so that the results are valid.	Calibration of monitoring equipment is required to confirm accuracy of the results.	Machinery, analytical equipment, measuring and testing apparatus shall be periodically calibrated.	
3.19.2	Personnel conducting calibrations and reviewing calibration records shall be appropriately trained.	Personnel conducting internal calibrations need to be appropriately trained on the methods of calibration.	Ensure that the training plan or matrix includes the training of personnel conducting calibrations and maintain training records.	
3.19.3	Records shall be available for all calibrations, calibration checks and any corrective action taken when equipment is found to be out of calibration.	If such calibration is conducted by the organization, calibration results shall be recorded and maintained. If calibration is outsourced to external calibration laboratories or service providers, calibration documents shall be obtained and retained.	Check records of calibration match the frequency of calibration indicated in your calibration schedule. Confirm records of calibration indicate that the equipment is operating within tolerance. Have a copy of your calibration schedule ready for your audit.	
3.20 Training				
3.20.1	A food safety training programme shall be implemented to ensure personnel handling food have the necessary knowledge and skills. The training programme should consider the food safety knowledge required for the product and process risks including: • Type of food safety hazards known to be associated with the food products handled by site (e.g. growth of pathogenic or spoilage micro-organisms, foreign matter containments, allergens) • The production and packing processes used by the organization	People handling food need to take measures to ensure that they are not a likely source of contamination. Control of food contact surfaces by cleaning to remove bacterial contaminants, including foodborne pathogens, and allergens.	Procedures and policies for food handler practices and hygiene shall be documented and monitored to prevent potential foodborne communicable diseases. Check training records are present to show food handlers have been trained to understand the personal hygiene policy and procedures.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.20.2	The training programme shall include, but is not limited to; environmental and personal hygiene practices (GMP), preventative controls for food safety (HACCP), allergen controls, cleaning and prevention of food contamination.	Training is fundamentally important to any food hygiene system and the competence of personnel.	Ensure adequate hygiene training, and/or instruction and supervision of all personnel involved in food-related activities contribute to ensuring the safety of food and its suitability for consumption is available and documented. Specific requirements are detailed for awareness and responsibilities and refresher training.	
3.20.3	Personnel in a role that directly or indirectly impacts food safety shall be competent in food safety at a level appropriate to the role they perform.	Staff responsible for an activity that is associated with a CCP or the implementation of a pre-requisite programme need to be competent in their role.	Adequate competency requirements need to be identified and met for personnel in a role that directly or indirectly impacts food safety. Maintain records of competency achieved for these personnel.	
3.20.4	Any personnel responsible for an activity that is associated with a CCP, or responsible for the implementation of a pre-requisite programme, shall be competent in that activity or programme.	Staff who are responsible for an activity that is associated with a CCP or responsible for the implementation of a pre-requisite programme need to be competent in that role.	Maintain records of training achieved for these personnel.	
3.20.5	Personnel moving into new roles shall be appropriately trained in the new role.	Personnel moving into new roles need to be trained.	Maintain records of training achieved for new personnel or personnel who change roles.	
3.20.6	Records of all training, qualifications and competence reviews undertaken by personnel shall be maintained.	Demonstrate evidence of training, qualifications and competence reviews.	Maintain suitable training and training records maintained for all personnel.	
3.20.7	Refresher training shall be carried out at a suitable frequency commensurate with the product risk and role of personnel; regardless of their competency or length of employment.	The organization shall establish and implement education and training plans for personnel to perform their duties effectively.	Personnel shall be periodically trained in their activities and training records shall be maintained.	
3.21 Waste management				
3.21.1	Waste shall be removed from the processing area at regular intervals and not allowed to accumulate.	Waste shall not be kept on site for longer periods of time to avoid accumulation of debris.	Ensure that waste is removed and disposed of at regularly scheduled intervals to minimize accumulation, build up, odour and potential physical contamination.	
3.21.2	Waste receptacles shall be clearly identified and visually different from product, work in progress or rework receptacles.	There should be a point of differentiation with the receptacles being used for waste so that there is no cross contamination.	Equipment used for containing waste shall be separate from those for processing of food products.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.21.3	External waste bins shall have a lid which is kept closed when not in use.	Equipment used for containing wastes shall have lid closure always in place.	Ensure all waste receptacles have lids and maintain close lids on all waste receptacles to eliminate odours and contamination from waste storage.	
3.21.4	External waste bins (including recycling) shall be emptied at an appropriate frequency with the area kept clean.	External waste bins (including recycling) need to be emptied on a regular basis of appropriate frequency to keep the area clean.	Maintain a regular schedule for the emptying of external waste bins and inspect area for cleanliness.	
3.21.5	Equipment used in waste management shall be included in the cleaning programme.	Ensure that equipment being used for waste management is also being cleaned.	Include waste management equipment within the cleaning schedule.	
3.22 Pest management				
3.22.1	The organization shall have a documented pest management programme in place which includes a schedule for the application and frequency of treatments.	The pest management programme shall include rats, mice, cockroaches, flying insects, ants, stored product pests and birds which can contaminate food, packaging and your premises.	Check your pest management programme is documented to cover all of the criteria indicated.	
3.22.2	The programme shall cover all areas of the premise up to and including the boundary, maintenance areas and roof spaces (if appropriate).	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.	Bird roosting areas are minimized to avoid bird droppings being walked into food production areas. If the maintenance of these areas is contracted to an external service provider, communicate any issues that need to be addressed to have them rectified or reported for action.	
3.22.3	The programme shall state how monitoring is undertaken, the frequency of monitoring and the corrective action to be taken if monitoring indicates the programme is not effective.	Implement and maintain a full pest control programme (whether internal or external) which is monitored, including appropriate corrective action where required.	Check your pest management programme is documented to cover all of the criteria indicated.	

BSI HACCP & GMP Certification Criteria (July 2021)		Reason	Compliance assessment tips	Finding
3.22.4	The programme shall also include: • Bait maps depicting the type and location of treatments • Bait stations shall be secured against movement and tampering • Records of the chemicals used and the concentration • Where required by local regulations, current information for pest control chemicals used or stored on site • If pest control chemicals are stored on site, these shall be stored in a separate area away from food handling areas and chemicals used for production or maintenance purposes • Where an external pest control contractor is used, evidence of their competency to perform pest inspection and treatment activities shall be maintained • Where pest control activities are carried out by internal personnel, these personnel shall be suitably trained and records of training retained	Implement and maintain a full pest control programme.	If pest inspection and servicing is contracted, check: • The contract(s) cover all pests • The bait station map is current and that a copy of the contractor's current valid pest license has been provided • That records of all inspections and services have been provided • The treatments provided by the contracted service are effective to prevent or treat pests • All pest service records are available for review at your audit • Pest sightings by staff have been reviewed and confirm the reporting process is used and that action is taken to address pest sightings	
3.22.5	The facility must be maintained free of pest infestation and/or pest harbourage.	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 for pests.	Inspect and address the following: • Gardens around the building must not be overgrown for potential harbourage. • Redundant building materials have been removed for potential harbourage. • Cigarette butts are contained within receptacles and not loose on the ground where they could be walked into food production areas	

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