

August 2016

BSI HACCP & GMP Self-Assessment Checklist



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Module 1: Management System

1.1 Management Commitment

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

Has Senior management

- i) Demonstrated commitment to the effective implementation of the requirements of HACCP & GMP Certification Criteria?
- ii) Provided appropriate and trained resources to ensure food safety of the products produced or handled under the scope of certification?

Does the organization have documented:

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

1.2 Continual Improvement

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

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

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

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

Are records maintained of continual improvement activities?

1.3 Food Safety Policy

Does the organisation have a documented Food Safety Policy?

Does the policy cover:

- i) Organisational commitment?
- ii) Measurable objectives for the supply of safe food products that meet customer expectations?
- iii) Legal requirements?
- iv) Suitability for consumption in the country of manufacture/production and the country of sale?
- v) Continuous improvement?

Is the Food Safety Policy in place signed by the senior executive manager?

Is the policy communicated effectively to all staff within the business?

HACCP & GMP Criteria requirements	Comments on system status
<p data-bbox="108 197 225 226">Excellence</p> <p data-bbox="108 226 686 282">Does the organization hold a certificate of currency for public and product liability insurance?</p> <p data-bbox="108 304 686 360">Is the value of the insurance appropriate for the size of the business, local and customer requirements?</p> <p data-bbox="95 387 649 421">1.4 Organization Chart & Job Descriptions</p> <p data-bbox="95 443 686 524">Does the organization have a documented organization chart in place which identifies all management and staff positions?</p> <p data-bbox="95 548 695 654">Are position descriptions available for all the positions on the organization chart which have responsibility for food safety and maintenance of the Food Safety Management System?</p> <p data-bbox="108 680 225 710">Excellence</p> <p data-bbox="119 710 691 763">Are deputies in place for key roles with responsibilities for food safety?</p> <p data-bbox="95 837 381 871">1.5 Document Control</p> <p data-bbox="95 896 703 1001">Does the organization have a document control procedure in place for the Food Safety Management System (paper based and electronic) that ensures the most current authorised version is available to all staff?</p> <p data-bbox="95 1025 387 1055">Does the procedure include:</p> <ul style="list-style-type: none"> <li data-bbox="142 1055 703 1135">i) Where documents and records are kept and the processes in place to implement the Food Safety Management System? <li data-bbox="142 1135 699 1240">ii) Who is responsible for the development and maintenance of all documents within the Food Safety Management System including amending and authorising documents? <li data-bbox="142 1240 691 1294">iii) What methods of ensuring obsolete documents are removed from use? <li data-bbox="142 1294 718 1375">iv) Who is responsible for communicating changes to documentation within the Food Safety Management System? <li data-bbox="142 1375 718 1429">v) What methods are in place to control the security of the paper based and electronic documentation? <li data-bbox="142 1429 721 1534">vi) What methods are in place for the destruction and control of customer owned / branded / trademarked documentation, product and packaging? <p data-bbox="95 1608 394 1641">1.6 Document Register</p> <p data-bbox="95 1666 721 1724">Does the organization have a document register in place for the Food Safety Management system?</p> <p data-bbox="95 1747 509 1776">Does this register include the following:</p> <ul style="list-style-type: none"> <li data-bbox="142 1776 405 1805">i) Scope and purpose? <li data-bbox="142 1805 571 1834">ii) Product description & intended use? <li data-bbox="142 1834 647 1863">iii) Hazard analysis, including risk assessment? <li data-bbox="142 1863 402 1892">iv) HACCP Audit Table? <li data-bbox="142 1892 687 1946">v) Specifications (finished product, chemicals, raw materials and packaging)? <li data-bbox="142 1946 676 1975">vi) Formulations, standard operating procedures? <li data-bbox="142 1975 445 2004">vii) Pre-requisite programs? <li data-bbox="142 2004 285 2033">viii) Policies? <li data-bbox="142 2033 272 2063">ix) Forms? <li data-bbox="142 2063 391 2092">x) Work instructions? 	

HACCP & GMP Criteria requirements	Comments on system status
<p>xi) Date and/or the version number indicated within each document?</p> <p>Does the organization have access to and control of external documents or references required to maintain the system including relevant industry standards, or guidelines, regulations, recall protocols, codes of practice etc.?</p> <p>Does the organization have an amendment register in place which lists any amendments to documents listed in the documents register?</p> <p>Does the amendment register contain as a minimum the reason and date of the change?</p>	
<p>Module 2: HACCP</p> <p>2.1 Preliminary Steps</p> <p>Has the organization developed, documented and implemented a HACCP based Food Safety Management System?</p> <p>Is the Management System based on Codex Principles as outlined in the application section of the Codex Guideline?</p> <p>2.2 The HACCP Team (Codex HACCP – Step 1)</p> <p>Does the organization have a documented HACCP Team?</p> <p>Does the HACCP team comprise of individuals within the organization that have the process skills and knowledge to develop and maintain the HACCP Plan? (Note: a multifunctional team is preferable).</p> <p>Who is the HACCP Team Leader and does this individual hold the following credentials:</p> <ul style="list-style-type: none"> i) Has operational accountability within the organization? ii) Has attended a competency-based and assessed training course in the application of HACCP principles or equivalent? <p>Does the organization employ a consultant to develop and maintain the Food Safety Management System? If yes, the organization must ensure and be able to provide evidence the consultant holds appropriate qualifications.</p> <p>How is the day to day management of the Food Safety Management System demonstrated? E.g. monitoring of CCP records.</p> <p>2.3 Scope and Purpose of the HACCP Plan (Codex HACCP – Step 1)</p> <p>Is the scope of the HACCP plan defined and documented including:</p> <ul style="list-style-type: none"> i) Start and end point of the process(es)? ii) Products covered? <p>Is the purpose of the HACCP plan defined and documented in the Food Safety Management System?</p> <p>Does this purpose also include the intent that all food safety hazards will be identified and controlled?</p> <p>2.4 Product Description and Intended Use (Codex HACCP – Steps 2 & 3)</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Have product descriptions been developed and documented for all products included within the scope? (Like products can be grouped together. Products which are processed using different food safety controls, processing techniques or packaging methods require a separate product description).</p> <p>Does each product description cover the following criteria:</p> <ul style="list-style-type: none"> i) Description of product? ii) Composition? iii) Physical/Chemical/Microbiological characteristics? iv) Method of preservation? v) Packaging – primary, secondary and tertiary? vi) Storage, handling & distribution methods? vii) Shelf life? viii) Intended use of the product? ix) Labelling requirements including any claims? x) Allergens? xi) Sensitive consumers? <p>2.5 Flow Diagram (Codex HACCP – Steps 4 & 5)</p> <p>Are documented flow diagrams in place which includes the following:</p> <ul style="list-style-type: none"> i) Rework? ii) Inputs (including packaging, chemicals, air, water and steam)? iii) Outsourced process steps? iv) Waste? <p>Has the HACCP team verified the flow diagrams on the following occasions :</p> <ul style="list-style-type: none"> i) Annually? ii) If there have been any significant changes to the product or process? <p>Are records of these activities verified and maintained?</p> <p>2.6 Hazard Analysis (Codex HACCP – Steps 6, Principle 1)</p> <p>Has hazard analysis been undertaken and documented at each step of the process as identified in the flow diagram(s)?</p> <p>At each step have all potential food safety hazards (biological, chemical and physical) been identified and assessed to identify hazards that need to be prevented, eliminated or reduced to accepted levels?</p> <p>Have the hazards and the cause of the hazards been documented?</p> <p>Has each hazard been considered as a separate hazard with a separate risk assessment? i.e. hair, metal. These shall not be grouped as foreign material.</p> <p>Have global hazard which may or may not be present in the country of manufacture or sale been identified and documented?</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>(i.e. Avian Flu, Melamine contamination, species adulteration).</p> <p>Has consideration be given to food poisoning outbreaks in the same or similar industry? (i.e. Salmonella in peanuts US in 2009).</p> <p>Has a risk assessment been undertaken to determine which hazards are significant and which are not? (Significance determined by comparing severity of hazard against the likelihood of the hazard occurring)</p> <p>Have quality hazards been identified?</p> <p>Has the risk assessment for quality hazards been considered separately to the food safety hazards?</p> <p>For any hazard determined to be significant, has at least one control measure been determined to prevent it from occurring or reduce to an acceptable level?</p> <p>Has the organisation developed a method or utilised one of the standard text book methodologies for hazard analysis? Whatever method used has it:</p> <ul style="list-style-type: none"> i) Been applied consistently throughout the Food Safety Management System. ii) Is the source referenced? <p>2.7 Determining Critical Control Points (Codex HACCP – Step 7, Principle 2)</p> <p>Have all CCPs been identified?</p> <p>Have control measures been identified to reduce the likelihood of all significant hazards?</p> <p>2.8 HACCP Audit Table</p> <p>Has a HACCP Audit Table been developed, documented and applied which includes each step of the process(es)?</p> <p>Does this table list all the CCPs identified in the Hazard Analysis?</p> <p>2.9 Establish Critical Limits (Codex HACCP - Step 8, Principle 3)</p> <p>Have critical limits for CCPs been established and documented in the HACCP Audit Table?</p> <p>Are the critical limits measurable and how is it being monitored?</p> <p>Are the guidelines for critical limits available through industry standards, legislation and codes of practice or published research? If not:</p> <ul style="list-style-type: none"> i) Has the organization undertaken a validation study to ensure said limits will control the significant hazard? ii) Has this validation data been documented and maintained by the organization? <p>2.10 Monitoring of CCPs (Codex HACCP - Step 9, Principle 4)</p> <p>Has the organization documented how each CCP is monitored to ensure it is within the critical limits that have</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>been set?</p> <p>Are monitoring procedures available to define:</p> <ul style="list-style-type: none"> i) What is being monitored? ii) How the monitoring is carried out? iii) The frequency of the monitoring? iv) Where the monitoring is to be undertaken? v) Who is responsible for undertaking the monitoring? <p>Is the frequency of monitoring sufficient to ensure that the CCP is under control?</p> <p>Are staff that conduct monitoring checks on CCPs trained in correct methods?</p> <p>Is this training assessed and documented?</p> <p>Are records of monitoring of CCPs</p> <ul style="list-style-type: none"> i) Maintained? ii) Signed by the person responsible for the monitoring? iii) Signed by a responsible reviewing officer? (Shall not be the same person responsible for the monitoring). <p>2.11 CCP Corrective Actions (Codex HACCP - Step 10, Principle 5)</p> <p>Have CCP corrective actions been developed, documented and implemented?</p> <p>Are procedures in place that states the action to be taken regarding:</p> <ul style="list-style-type: none"> i) The affected product? ii) Who is responsible? iii) What action is to be taken regarding the process? <p>Are root cause analysis undertaken to identify the problem and prevent recurrence?</p> <p>2.12 Verification Activities (Codex HACCP - Step 11, Principle 6)</p> <p>2.12.1 Verification Procedures</p> <p>Are verification procedures in place to ensure the Food Safety Management System is being followed and is effective?</p> <p>Do verification activities include the following as a minimum:</p> <ul style="list-style-type: none"> i) Internal Audits? ii) HACCP plan review? iii) Microbiological and chemical testing (if applicable)? iv) Shelf life testing (if applicable)? v) Finished product assessments (Where applicable)? vi) Review of monitoring records? vii) Review of corrective action records? <p>Is a documented and maintained verification schedule in place which includes the following:</p> <ul style="list-style-type: none"> i) Activity performed? ii) Frequency conducted? iii) Personnel responsible? iv) Records which are maintained? 	

HACCP & GMP Criteria requirements	Comments on system status
<p>2.12.2 Food Safety Management System Review</p> <p>Is the Food Safety Management System reviewed at least annually?</p> <p>Does the Food Safety Management System review include:</p> <ul style="list-style-type: none"> i) Food Safety Policy? ii) Organizational chart? iii) Document control? iv) Verification activities? v) Pre-requisite programs? <p>In addition to annual review is the Food Safety Management System reviewed where any changes occur which could potentially introduce change or application of the Food Safety Management System?</p> <p>Are records of reviews maintained?</p> <p>2.12.3 Internal Audits</p> <p>Has the organisation documented and implemented an internal audit procedure?</p> <p>Are internal audits of the Food Safety Management System (including prerequisite programs) carried out on an annual basis and are sufficient to maintain the effectiveness of the system?</p> <p>Are internal audit records retained?</p> <p>Who performs the internal audits and is suitable training available for the internal auditors?</p> <p>Is there an internal audit schedule in place which indicates:</p> <ul style="list-style-type: none"> i) Elements to be audited? ii) Audit scope? iii) Dates to be maintained? <p>Are internal auditors suitably competent?</p> <p>Are internal auditors independent from the process being audited?</p> <p>Does the internal audit program include documented GMP inspections to ensure that the factory environment, processing equipment and external areas to ensure that these areas are appropriately maintained.</p> <p>Have GMP inspections been carried out at a frequency according to the product risk?</p> <p>2.12.4 Microbiological & Chemical Testing Schedule</p> <p>Have microbiological and/or chemical hazards been identified during the hazard analysis process? If Yes: Is a schedule of testing in place to confirm that CCP(s) are under control?</p> <p>Is a schedule of testing in place to confirm that products or processes meet regulatory and customer requirements and to ensure quality and food safety parameters?</p> <p>Are sampling methodologies and test limits documented that include the corrective actions for test results that are</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>outside the limits?</p> <p>Is testing conducted by suitably trained personnel?</p> <p>Are test results reviewed by a responsible officer within the organization and within a reasonable timeframe?</p> <p>Are corrective actions taken when results indicate that limits have been exceeded?</p> <p>Have appropriate actions been taken to identify and isolate non-conforming product?</p> <p>Are records of these corrective actions kept?</p> <p>2.12.5 Shelf-Life Testing</p> <p>Does the organisation produce products with a shelf life of less than two (2) years?</p> <p>Is a documented schedule of shelf-life testing available?</p> <p>Does the shelf-life testing schedule cover:</p> <ul style="list-style-type: none"> i) Type of testing to be undertaken? ii) Cover each new product? iii) or product type and where a significant change in product or process is undertaken? <p>Has end of shelf life testing occurred after the expiry date of the product? (Not to be tested on date of expiry)</p> <p>For frozen product has the end of shelf life testing been carried out after the end of the frozen period has been reached?</p> <p>Which of the following does the organization include as end of shelf life tests:</p> <ul style="list-style-type: none"> i) Chemical testing? ii) Microbiological testing? iii) Organoleptic testing? iv) Physical testing? (e.g. weight loss during storage) <p>Have end of shelf life results demonstrated that the parameters of the product at the end of shelf life continue to meet the finished product specification? (Therefore pathogen testing shall be carried out at the end of shelf life)</p> <p>For products where biological hazards have been identified (refer 2.12.4) does a schedule exist for pathogen testing for products at the end of shelf life?</p> <p>For new products has the process for determining the shelf life and assumptions been clearly documented?</p> <p>Does the organization perform accelerated shelf life testing? (If yes, this shall not replace shelf life testing under typical conditions)</p> <p>Does the shelf life testing schedule include the following:</p> <ul style="list-style-type: none"> i) Type of testing to be undertaken? ii) Testing to be carried out on each product, or product type? iii) Testing to be carried out at least annually or when a significant change in the product or process is undertaken? <p>Are test results reviewed and signed by a responsible officer within the organization?</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Are records of the results maintained?</p> <p>Are corrective actions taken when results indicate that limits have been exceeded?</p> <div style="border: 1px solid red; padding: 5px;"> <p>Excellence</p> <p>Are retention samples stored under typical conditions and in the commercial packaging for that product?</p> <p>Is a schedule of shelf life testing documented and maintained?</p> <p>Does it include the following:</p> <ul style="list-style-type: none"> i) Tests to initially establish the shelf life? (which is indicated in the product description) ii) And from initial testing end of shelf life testing to verify that shelf life is being met? (above also applies for product shipped for further processing or rework) </div> <p>2.12.6 Finished Product Assessments</p> <p>Does a schedule exist of finished product assessments against the finished product specifications?</p> <p>Are the assessments documented?</p> <p>Do the assessment cover organoleptic, chemical and physical parameters? E.g. weight check, label check, taste, appearance, seal integrity etc.</p> <p>Are records of these assessments kept?</p> <p>2.12.7 Monitoring and Corrective Actions of Verification Activities</p> <p>Does the organization review the results of verification activities?</p> <p>Is a documented schedule in place for reviewing monitoring activities and corrective actions of verification activities?</p> <p>2.12.8 Customer Complaints</p> <p>Does the organization have a developed, documented and implemented process for reviewing customer complaints in relation to food safety (and quality) issues?</p> <p>Is this process reviewed at least annually?</p> <p>Does this process include a customer complaints register?</p> <p>Are staff that are logging customer complaints suitably trained?</p> <p>Are complaint records, records of review, investigation undertaken and corrective action kept?</p> <p>Are corrective actions prompt and appropriate?</p> <p>2.13 Record Keeping (Codex HACCP - Step 12, Principle 7)</p> <p>Does the organization have a documented and controlled</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>record keeping system relevant to the Food Safety Management System?</p> <p>Are the following records retained:</p> <ul style="list-style-type: none"> i) Monitoring of CCPs? ii) Corrective actions taken regarding CCPs? iii) Changes to the HACCP System? iv) Pre-Requisite Programs? v) Verification Activities? vi) Validation Activities? <p>Are records retained for a minimum of 12 months or the shelf life of the subject product(s)? (whichever is the greater)</p> <p>Are records protected from damage or loss, easily accessible and securely stored?</p> <p>Module 3: GMP</p> <p>3.1 Personal Hygiene</p> <p>Has the organization developed, implemented and documented a personal hygiene policy and procedure that covers the following criteria as a minimum:</p> <ul style="list-style-type: none"> i) Staff illness? ii) Eating, drinking & smoking restrictions? iii) Hand-washing requirements? iv) Sneezing, coughing & blowing of noses? v) Cuts, wounds & bandage requirements? vi) Clothing requirements? vii) Jewellery restrictions? (including watches) viii) Control of personal items including medication and mobile phones? ix) False nails (including acrylics) and false eyelashes? x) Staff movement restrictions? xi) Control of visitors and contractors? xii) Storage of protective clothing to ensure no cross contamination between low and high risk protective clothing? xiii) Returning to work after breaks? xiv) Signage? Are displayed signs maintained and understandable, placed in prominent and sensible locations, and made of suitable material to prevent the risk of product contamination? <div style="border: 1px solid red; padding: 5px; margin-top: 20px;"> <p>Excellence</p> <p>Are staff hygiene compliance checks undertaken? What's the frequency of these checks? Is the frequency defined in the policy?</p> <p>Are records of checks maintained?</p> </div> <p>3.2 Cleaning</p> <p>Has the organization developed, documented, implemented and maintained a cleaning program?</p> <p>Does this program have the following in place:</p> <ul style="list-style-type: none"> i) Areas within and outside the building that require cleaning? ii) Equipment that requires cleaning? iii) Between batch cleaning? iv) Method of cleaning? v) Frequency of cleaning? 	

HACCP & GMP Criteria requirements	Comments on system status
<ul style="list-style-type: none"> vi) Chemicals used (if applicable)? vii) Chemical concentrations, dwell times and temperatures? viii) Persons responsible for cleaning? ix) Records of monitoring of cleaning and pre-op checks? x) Personnel responsible for review of cleaning records? xi) Training of cleaners? <p>Is there a documented verification program for the cleaning program?</p> <p>Is the frequency of verification determined by the organization?</p> <p>Does the cleaning program cover:</p> <ul style="list-style-type: none"> i) How monitoring of cleaning is undertaken? ii) The frequency of monitoring? iii) What corrective action will be taken if monitoring reveals that the cleaning is not effective? <p>Does the organization have a documented schedule of microbiological swabbing in place for the verification of the cleaning program which includes:</p> <ul style="list-style-type: none"> i) Records of swab locations? ii) Methodology? iii) Corrective actions? iv) Retests of swab locations maintained? <p>Are product contact, non-product contact surfaces and cleaning equipment included in the verification program?</p> <p>How often and how are cleaning utensils and equipment assessed to ensure any worn utensils and equipment do not pose a risk of cross contamination to the production process?</p> <p>How are squeegees controlled? (Applicable to high risk only)</p> <p>Are squeegees used for condensation control cleaned and sanitised daily?</p> <p>Is cleaning carried out in a way that does not pose a hazard to food production?</p> <p>Are high pressure hoses used during production or when product is exposed?</p>	
<p>Excellence</p> <p>Are steel wool / wire brushes eliminated within the processing areas?</p> <p>Is verification by microbiological swabbing undertaken proportional with product and process risk?</p> <p>Are records of swab locations, methodology, corrective action and retests maintained?</p> <p>Are the CIP systems implemented and documented to ensure product first through the line is free of residual cleaning chemicals?</p> <p>Is verification of the CIP system carried out? (required at least annually)</p>	
<p>3.3 Approved Supplier Program</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Does the organization have a documented and implemented approved supplier program in place?</p> <p>Does this program include all products and services that could affect food safety or quality of the finished product?</p> <p>Are the following reviewed as a minimum:</p> <ul style="list-style-type: none"> i) Raw ingredients? ii) Packaging? iii) Chemicals? iv) Service providers? v) Third party contractors? vi) Outsourced processing activities? <p>Are processes and procedures in place to control any outsourced processing activity ?</p> <p>Have the following requirements been defined for each supplier:</p> <ul style="list-style-type: none"> i) The selection and approval of suppliers and service providers? ii) Emergency suppliers/providers? iii) Removing suppliers/providers? <p>Does the organization have a documented and maintained approved suppliers list which is reviewed annually at a minimum?</p> <p>Is the approved supplier program reviewed annually to verify the performance of suppliers?</p> <p>Are methods for monitoring incoming products and services documented and implemented and records maintained?</p> <p>Are records of approval evidence maintained? These may include:</p> <ul style="list-style-type: none"> i) HACCP Certificates? ii) Questionnaires? iii) Formal agreements? iv) Methods of insurance? v) Licences for service contractors? 	
<div style="border: 1px solid red; padding: 5px;"> <p>Excellence</p> <p>Are requirements on suppliers, if applicable, for product verification (domestic and international) documented to ensure compliance to relevant regulatory requirements in the country of manufacture and sale?</p> <p>Have suppliers been risk assessed and assigned a risk rating?</p> </div>	
<p>3.4 Specifications</p> <p>Does the organization (including further processors and re-packers) have specifications available for all raw materials (including packaging) and finished products that are handled on site?</p> <p>Are up to date finish product specifications maintained for other categories? (i.e. Brokers)</p> <p>Do these specifications contain appropriate information to ensure compliance to relevant food safety and legislative requirements?</p> <p>3.5 Labelling</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Has the organization developed, implemented and documented a procedure for the preparing of and the reviewing of labels?</p> <p>Does this procedure include how labels are prepared to comply with:</p> <ul style="list-style-type: none"> i) FSANZ Food Standards Code? ii) Trade Measurement requirements? iii) Other regulations that may apply in certain specific sectors? iv) Country of manufacture and sale? <p>Are labels reviewed annually if any of the following occur:</p> <ul style="list-style-type: none"> i) Changes to laws in relation to labelling? ii) Changes in raw materials? iii) Changes to processing equipment? iv) Changes to recipes including the introduction of ingredients that contain allergens? v) Changes to the labels/packaging are made? vi) Nutritional, health or related claims on labels/packaging shall be validated? <p>Are labels checked prior to production commencing for:</p> <ul style="list-style-type: none"> i) Correct label? ii) Use by/best before date? iii) Legibility? <p>Are records of label reviews maintained?</p> <p>3.6 Allergen Management Program</p> <p>Does the organisation have a documented and implemented Allergen Management Program?</p> <p>Does the program include:</p> <ul style="list-style-type: none"> i) A documented risk assessment for raw materials? Is the risk assessment considered as part of the Approved Supplier Program, product development, production scheduling cleaning procedures? ii) Receipt and storage of allergenic raw materials? iii) A list of all allergenic ingredients on site? iv) Control measures to prevent cross contamination of non-allergenic raw material from allergenic raw material during production? v) Scheduling of production around allergens? vi) Policies relating to the use of allergenic ingredients in rework? vii) Consideration of allergens during product development? viii) Mandatory declaration of allergens on product labels? ix) Allergen claims shall be validated on at least an annual basis? x) Validation and verification procedures? <p>Are staff trained in the Allergen management program?</p> <p>3.7 Packaging</p> <p>Have product characteristics been taken into account when the packaging is being developed to ensure that it is fit for the intended use?</p> <p>Is packaging stored away from raw materials and finished</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>products?</p> <p>Is packaging protected from contamination?</p> <p>3.8 Control of Non-Conforming Product</p> <p>Has the organization developed, documented and implemented a procedure for Control of Non-Conforming Product that defines actions to be taken when monitoring and verification procedures reveal that products do not meet specifications?</p> <p>As a minimum non-conforming product segregation and identification is applied?</p> <p>Does the procedure state action to be taken regarding the affected product?</p> <p>Does the procedure state action to be taken to determine the root cause of problem and prevent re-occurrence?</p> <p>Does the procedure indicate the personal responsible for the control of non-conforming product, including the decision for release, rework or discarding?</p> <p>Are records of non-conforming product from raw material, work in progress, packaging, through all stages of the process maintained to ensure full traceability (including quarantine records, corrective action and disposal)?</p> <p>3.9 Traceability</p> <p>Does the organization have a procedure in place for traceability that ensures, for all stages of production from receipt through to finished goods, products are clearly identified including:</p> <ul style="list-style-type: none"> i) Raw material receipt? ii) Storage? iii) Work in progress? iv) Rework? v) Final product? vi) On hold product? vii) Reject product, quarantined / non-conforming product? viii) Returned product, downgraded/damaged stock? ix) Pet food/animal feed? x) Waste product(s)? xi) Cleaning chemicals? xii) Packaging? xiii) Research and development materials? <p>Does the procedure documented how product is traced to the customer (one forward) and back to the supplier (one back)?</p> <p>Are records of traceability maintained?</p> <p>Is the traceability procedure reviewed annually?</p> <p>Does this review include a test of the traceability system at least annually?</p> <p>3.10 Corrective Action</p> <p>Does the organization have a corrective action procedure in place in addition to the corrective action requirements detailed in the HACCP Audit Table and prerequisite programs?</p>	

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<p>Can the company demonstrate that they are able to use information from identified failures in the food safety management system to identify the root cause, make necessary corrections and prevent re-occurrence?</p> <p>Are corrective actions implemented for the following situations:</p> <ul style="list-style-type: none"> i) Customer complaints? ii) Continual product rejections? iii) Production of unsafe products? iv) HACCP Food Safety Management System failures? <p>Does the procedure cover who has authority to investigate and address the corrective actions?</p> <p>Are corrective actions completed in a timely manner?</p> <p>Does the procedure describe how corrective actions are to be recorded, reviewed and investigated, and how records are maintained?</p> <p>Are records of corrective actions maintained?</p> <p>Are appropriate action(s) taken to ensure that non-conforming products are identifiable, and isolated as per clause 3.8 Control of Non-Conforming Product?</p> <p>3.11 Recall</p> <p>Does the organisation have a documented recall procedure that complies with local legislation in the country of sale?</p> <p>Has the organization completed an annual mock recall to demonstrate effectiveness of the recall procedure?</p> <p>Are clear and accurate records of recalls, withdrawals and mock recalls kept and available?</p> <p>3.12 Premise</p> <p>3.12.1 Premise Requirements</p> <p>Is the premise suitable for the type of product being manufactured?</p> <p>Is the premise of appropriate size and design to reduce risk of contamination and ensure the production of safe and legal food stuffs?</p> <p>Does the organisation have a documented process for monitoring the condition of the premise in place?</p> <p>Are the monitoring frequency documented?</p> <p>Are records kept and corrective actions addressed in an appropriate time frame?</p> <p>Where applicable, has the organisation been registered with the local council or government department?</p> <p>3.12.2 External Areas</p> <p>Are the external areas around the facility maintained in a clean and tidy manner that does not pose a risk to the products?</p> <p>3.12.3 Layout, Product Flow and Segregation</p> <p>Has the premise ensured that the product flow and movement (relating to people, utensils, packaging rework</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>and/or waste) from receipt to dispatch does not pose a contamination risk to the products?</p> <p>Is appropriate segregation maintained between areas of low risk and high risk?</p> <p>3.12.4 Building Fabric</p> <p>Are the fabrication of the buildings and facilities suitable for the intended use?</p> <p>Are the walls:</p> <ul style="list-style-type: none"> i) Easy to clean and in good condition? ii) Light in colour? iii) Smooth? iv) Impervious to water? <p>Are the floors:</p> <ul style="list-style-type: none"> i) Easy to clean? ii) In good condition with no pooling water areas? iii) Smooth? iv) Impervious to water? <p>Is coving in place between the floor and wall joints to facilitate cleaning?</p> <p>Are drains in good condition?</p> <p>Is flowing water being directed into drains?</p> <p>Fall of floor shall be to the drains of an appropriate gradient?</p> <p>No waste water drainage from low risk to high risk areas?</p> <p>Are ceilings (including false ceilings):</p> <ul style="list-style-type: none"> i) Light in colour? ii) Easy to clean? iii) Preclude pest or dust ingress? <p>Are windows in processing areas kept closed or have adequate pest proofing?</p> <p>Are doors in close fitting into production areas?</p> <p>Are doors kept closed at all times?</p> <p>Is lighting adequate for the activities being carried out?</p> <p>Is glass including lights laminated to minimise and contain any breakage?</p>	
<div style="border: 1px solid red; padding: 5px;"> <p>Excellence</p> <p>Are glass windows kept to a minimum (or eliminated) within the processing areas?</p> </div>	
<p>3.12.5 Staff Amenities</p> <p>Staff amenities include areas for staff to keep personal belongings, toilets, hand-washing and drying facilities, areas for eating drinking and smoking.</p> <p>Are staff amenities of a sufficient size to accommodate the number of personnel?</p> <p>Are the facilities maintained in a clean and tidy manner?</p> <p>Are toilets designed so they don't open directly to</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>processing areas?</p> <p>Are the toilet area equipped with hand washing facilities?</p> <p>Are hand washing stations located in appropriate locations throughout site and are they:</p> <ul style="list-style-type: none"> i) Made of suitable construction? (i.e. not ceramics). ii) In good condition? iii) Equipped with a supply of warm, running, potable water? iv) Contain liquid soap? v) Have a suitable method of drying hands? <p>Do hand wash stations in high risk areas have hands free operation?</p> <p>Are hand sanitisers in place in high risk areas?</p> <p>Have facilities for eating, drinking and smoking been located away from food production areas?</p> <p>Is personal outdoor clothing kept separate from protective clothing?</p> <p>Is there an appropriate amount of personal protective clothing available for staff and visitors?</p> <p>Are appropriate receptacles available for staff and visitors to place dirty personal protective clothing?</p> <p>Do lunchrooms have adequate refrigeration facilities available for staff to store perishable food items and is suitable for the number of staff using the lunchroom at the same time?</p> <p>3.13 Receival & Storage</p> <p>Are documented procedures in place for the storage of products?</p> <p>Does the procedure include:</p> <ul style="list-style-type: none"> i) Stock rotation? ii) Allergen management? iii) Cleaning? iv) Stock/inventory control? v) Segregation of non-conforming product? vi) Handling to minimise stock damage vii) Handling to minimise cross contamination? <p>Are facilities for the storage of ingredients, packaging, work in progress and finished product fit for purpose, clean and large enough for use at the busiest time of year?</p> <p>Are temperature controlled facilities able to maintain temperatures and free from ice?</p> <p>Are monitoring records of temperature controlled areas maintained?</p> <p>Are ingredients, raw materials, work in progress, finished product and packaging are stored in such a manner that they do not pose a food safety (or quality) risk to the product?</p> <p>Are temperature control monitoring records of storage areas maintained?</p> <p>Are receival records maintained?</p> <p>If deliveries are unloaded outside the facility, are controls in</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>place to ensure that the product is moved inside as soon as practical?</p> <p>Have contingencies for inclement weather been determined, documented and implemented?</p> <p>Is there a stock rotation system in place that ensures first in first out principle for ingredients and packaging?</p> <p>Does the organisation use alternative storage facilities?</p> <p>If yes, are these included in the HACCP plan and monitoring for GMP?</p> <p>Where the alternative facility is owned by a third party are they included in the approved supplier program?</p>	
<p>3.14 Dispatch and Transport</p> <p>Are all vehicles used for transporting (raw materials, packaging, work in progress and/or finished product)</p> <ul style="list-style-type: none"> i) Maintained in a good state of repair? ii) Clean? iii) Kept in a hygienic condition? <p>Are transport vehicle(s) required to transport temperature controlled foods able to maintain appropriate temperatures during transporting?</p> <p>Are records maintained of all cleaning, maintenance (including calibration), inspection and temperature of the vehicle(s)?</p> <p>Are there documented security protocols and records of checks maintained for the transportation of interim products that are transported to a third party for part of the process?</p> <p>Is there an implemented and documented procedure in place for breakdown of transport vehicles?</p> <p>Where applicable, are transport vehicles registered with the local authorities?</p> <p>Are contingencies documented and implemented for dispatching product in bad weather?</p>	
<p>3.15 Control of Water, Ice, Air and other Gases</p> <p>3.15.1 Water</p> <p>Is an adequate supply of potable water available to ensure the safety and suitability of the products supplied?</p> <p>Does the organisation have adequate supply of potable water available for the following activities:</p> <ul style="list-style-type: none"> i) Post-harvest wash treatments? ii) Hand-washing? iii) Cleaning? iv) As an Ingredient? v) Making and drinking water? vi) Or to make ice? <p>If recirculated ice water is used for reuse in production, hand-washing and/or cleaning has the water been treated?</p> <p>Is the treatment effectively monitored and treated water tested to verify its safety(potability)?</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Is the frequency of testing determined by risk of the product and/or process?</p> <p>Does the organisation have a documented water testing program (including ice where applicable)?</p> <p>Does the program include:</p> <ul style="list-style-type: none"> i) Frequency of testing? ii) Test method limits? iii) And actions to be taken for results that are outside of limits? <p>Is the frequency of testing determined by risk of the product and if the water or ice is used in the process?</p> <p>Is water (including ice where applicable) tested at least annually?</p> <p>Are records of testing maintained?</p> <p>Is there any source of non-potable water used on-site? If yes:</p> <ul style="list-style-type: none"> i) Has this water been risk assessed and monitored to ensure that there is no risk of cross contamination with product? <p>If ice is manufactured on site, is ice part of the raw material risk assessment?</p>	
<p>3.15.2 Air and other Gases</p> <p>Does the organization use air, steam or any other gas in direct contact with the product? If yes:</p> <ul style="list-style-type: none"> i) Are gases food grade? <p>Are filters and equipment used included in the maintenance and calibration procedures?</p>	
<div style="border: 1px solid red; padding: 5px;"> <p>Excellence</p> <p>Does the organization use air, steam or any other gas in direct contact with the product? If yes:</p> <ul style="list-style-type: none"> i) Are gases food grade? ii) Are gases verified annually? (frequency testing, test, test methods, limits and action to be taken for results that are outside limits iii) Are filters and equipment used included in the maintenance and calibration procedures? <p>Does a document program exist which includes frequency of testing, tests, test method(s), and actions taken for result outside of limits?</p> </div>	
<p>3.16 Control of Foreign Materials</p> <p>3.16.1 General</p> <p>Does the organisation have a documented and implemented procedure for the control of foreign materials (i.e. metal detection, sieves, magnets, optical sorters)?</p> <p>Has the HACCP plan considered all foreign material hazards in the plan as separate hazards at each step?</p> <p>Does the organisation register all equipment that is used</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>for the control of foreign materials (i.e. metal detection, sieves, optical sorters)?</p> <p>Are the control methods validated and verified?</p> <p>Are metal detectors, X-rays, magnets and/or optical sorters if used, serviced at least annually or as recommended by the equipment manufacturer?</p> <p>Are documented operating parameters for the equipment in accordance to manufacturer's instructions?</p> <p>Has training for responsible staff been completed for monitoring equipment related to control of foreign material?</p> <p>Does the training cover:</p> <ul style="list-style-type: none"> i) Use of the equipment? ii) Monitoring methods? iii) Corrective actions? <p>3.16.2 Metal</p> <p>Does the organization have a documented policy for the control of metal items including knives, needles, wires, staples and knife sharpening equipment?</p> <p>3.16.3 Glass, Brittle Plastic, Ceramics and Similar Products</p> <p>Have glass and other brittle plastics where possible been excluded from the processing areas or protected against breakage?</p> <p>Does the organization have a documented policy for the use of glass, brittle plastics, ceramics and similar in processing areas which includes handling of breakages?</p> <p>Is the final product packed into glass packaging?</p> <p>If yes:</p> <p>Are appropriate controls in place for line cleaning following breakages?</p> <div style="border: 1px solid red; padding: 5px;"> <p>Excellence</p> <p>3.16.4 Soft Plastics</p> <p>Does the organization have a policy in place for the use and control of soft plastic items?</p> <p>Are soft plastic items of appropriate gauge to prevent tears and rips and used for the intended purpose? (soft plastic includes but is not limited to gloves, aprons, product liners)</p> <p>Where possible are soft plastic items a contrasting colour to the product?</p> </div> <p>3.16.5 Wood</p> <p>Does the organization have a documented policy in place for the control of wood in processing areas?</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Has wood been excluded from processing areas? (wood is permitted if it is part of the processing equipment)</p>	
<p>Where wooden pallets cannot be excluded from the processing area are adequate controls in place to ensure that the pallets are in good condition and free from damage and dry?</p>	
<p>3.17 Control of Chemicals</p>	
<p>Does the organisation have a documented procedure that outlines the control of chemicals used on the site?</p>	
<p>Is the MSDS within expiry date of five (5) years from the date of issue?</p>	
<p>Does this document cover a list of chemicals, including dilutions and intended use of chemicals available?</p>	
<p>Are current Material Safety Data Sheets (MSDS) available for all chemical that is being used or stored on site?</p>	
<p>Is evidence available to demonstrate that the chemical is suitable for use in a food premise and appropriate for the intended use by the organization?</p>	
<p>Are chemicals being stored according to the manufacturers' instructions and stored in a locked cupboard when not in use?</p>	
<p>Are controls in place for the dilution of chemicals?</p>	
<p>Are all chemicals labelled?</p>	
<p>Are the chemical(s) in use fit for purpose and do not pose any direct contamination to the process and/or product?</p>	
<p>Have all staff/contractors who handle chemicals received appropriate training?</p>	
<p>3.18 Maintenance</p>	
<p>Does the organisation have in place a documented preventative maintenance procedure and schedule for all food processing plant, equipment, services, premises and surrounds?</p>	
<p>Is the preventative maintenance schedule implemented?</p>	
<p>Are maintenance activities conducted in a way to ensure it does not pose a food safety risk to the products?</p>	
<p>Are all personnel (staff or contractors) involved in maintenance activities trained to adhere to the personal hygiene requirements outlined in section 3.1?</p>	
<p>Are temporary repairs controlled to ensure the food safety and legality of the product?</p>	
<p>Are temporary repairs being permanently repaired as soon as practicable?</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Are measures in place to ensure maintenance staff and contractors use tools that are suitable for a food production and ensure they remove all equipment, utensils when maintenance is completed?</p> <p>Where maintenance is to be carried out do all food products, ingredients and packaging get removed from the area of maintenance activity?</p> <p>Are area(s) and or equipment undergoing maintenance checked by a staff member with appropriate authority prior to use?</p> <p>Is the maintenance workshops maintained in a clean and tidy manner?</p> <p>Are record kept of planned maintenance and breakdown maintenance?</p> <p>Is equipment used to produce, prepare, store, process, or pack food shall be suitable for purpose, food grade (if in direct contact with food), easily cleaned, and assessed regularly to ensure it is in good condition?</p> <div style="border: 1px solid red; padding: 5px;"> <p>Excellence Are records kept of equipment inspections?</p> <p>Is the maintenance workshop maintained in a clean and tidy manner and pest proofed?</p> <p>Has steel wool (if used outside the processing area) been maintained in a good condition?</p> </div>	
<p>3.19 Calibration</p> <p>Does the organization have a documented procedure to ensure all equipment used to inspect, measure or test the product is reading accurately so that the results of these readings can be relied upon? (E.g. temperature measuring equipment, pH meters, flow meters, boom sprayers, weighing scales, data loggers, etc.)</p> <p>Is there a calibration schedule available that includes:</p> <ul style="list-style-type: none"> i) A list identifying all equipment that requires calibration? ii) Frequency of calibration? iii) Method of calibration? iv) Acceptable degree of accuracy? v) A method of identifying equipment that is out of calibration? vi) A method for taking corrective action on product produced whilst equipment was out of calibration? vii) Any specific requirement(s) for calibration e.g. calibration to be undertaken by NATA certified service provider, trade certification? <p>Have staff who conduct or review calibration been appropriately trained?</p> <p>Are records available of all calibrations, calibration checks and any corrective action taken when equipment is found to be out of calibration?</p> <p>3.20 Training</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Has the organization developed and implemented a skills and knowledge training program?</p> <p>Does a training program exist which includes but not be limited to;</p> <ul style="list-style-type: none"> i) Food safety, ii) HACCP, iii) Allergens, iv) Cleaning, and v) GMP/GWP. <p>Are all staff members whose actions directly or indirectly impact food safety competent in food safety at a level appropriate to the role they perform?</p> <p>Are staff members aware of the policies on hygiene practices and inducted at the beginning of their employment at a level appropriate to the role they perform?</p> <p>Are staff member(s) who are responsible for an activity that is associated with a CCP or responsible for the implementation of a prerequisite program, competent in that program?</p> <p>Are staff that move into new roles trained in that role?</p> <p>Does the food safety skills and knowledge training program include a review of staff competence as part of the Internal Audit program (section 2.12.3) and the HACCP & GMP Food Safety Management System Review (section 2.12.2)?</p> <p>Are records of all training, qualifications and competence reviews undertaken by staff maintained?</p> <p>Do these records include a Training Matrix or equivalent for all staff which includes an inventory of skills on site?</p> <p>Does the organisation document and maintain a training matrix which includes the skills required and the individual competencies for each skill?</p>	
<div style="border: 1px solid red; padding: 5px;"> <p>Excellence</p> <p>Does the organisation document the responsibility and the process for ensuring that the appropriate personnel have been trained in any changes to legislations and documentation?</p> <p>Is refresher training carried out at a suitable frequency commensurate with the product?</p> </div>	
<p>3.21 Waste Management</p> <p>Does the organization have a documented waste management system in place?</p> <p>Is waste removed from processing areas at regular intervals to avoid accumulation?</p> <p>Are waste receptacles clearly identified from work in progress or rework receptacles?</p>	

HACCP & GMP Criteria requirements	Comments on system status
<p>Do external waste bins have a lid and are they kept closed at all times?</p>	
<p>Are external waste bins (including recycling) emptied at an appropriate frequency and is the area kept clean?</p>	
<p>Is equipment used in waste management included in the cleaning program?</p>	
<p>3.22 Pest Management</p>	
<p>Does the organization have a pest management program in place that covers the entire premise and includes roof tops?</p>	
<p>Does this program include a schedule for the application and frequency of treatments?</p>	
<p>Does the program cover all areas of the premise up to and including the boundary, maintenance areas and roof spaces (if appropriate)?</p>	
<p>Does the program state how monitoring is undertaken, the frequency of monitoring and the corrective action to be taken if monitoring indicates the program is not effective?</p>	
<p>Does the program include:</p>	
<p>i) Bait maps depicting the type and location of treatments?</p>	
<p>ii) Bait stations secured against movement and tampering?</p>	
<p>iii) Chemicals used, the concentration and the batch details?</p>	
<p>iv) A current Material Safety Data Sheet (MSDS) for any pest control chemical that is being used or stored on site?</p>	
<p>v) Chemical stored away from processing areas and chemicals used for production and maintenance purposes?</p>	
<p>vi) A copy of the contractor's current license available and is it valid for the state or territory in which the premise is located if using an external pest control contractor is there?</p>	
<p>vii) Suitable training and training records maintained if pest control activities are carried out by internal personnel?</p>	
<p>viii) Records of monitoring and corrective action?</p>	
<p>ix) Suitable chemicals for use on or near food, food packaging, or food contact surfaces?</p>	
<p>x) Control of toxic bait stations so they are not located in the production and storage areas?</p>	
<p>xi) Staff training to report pest sightings?</p>	
<p>xii) Are electronic fly control units used inside food manufacturing areas where they pose a risk to the product, packaging or processing equipment?</p>	