

The Global Food Safety Initiative

GFSI Guidance Document

Fourth Edition

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Contact address:
Global Food Safety Initiative
7, rue de Madrid
75008 Paris
France
globalfoodsafety@ciesnet.com

This document has been written with the input from many retailers, food manufacturers, accreditation bodies, certification bodies and others. GFSI would like to thank everybody who has helped us with the continuous improvement of this Document.

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Part I

Requirements for Food Safety Schemes

1. Introduction - The Global Food Safety Initiative (GFSI)

The Global Food Safety Initiative (**GFSI**) co-ordinated by CIES - The Food Business Forum, was launched in May 2000. It is a retail-led network of over 50 food safety experts and their trade associations world-wide. Membership of **GFSI** is non-exclusive and is open to any interested retail company involved in the food business.

The objectives of the Global Food Safety Initiative are to:

- Enhance food safety
- Ensure consumer protection
- Strengthen consumer confidence
- Benchmark requirements of food safety management schemes
- Improve cost efficiency throughout the food supply chain.

The principles of **GFSI** for benchmarking food safety management schemes are:

- Consistency and objectivity in the benchmarking process
- Direct stakeholder participation must be promoted during development
- Be open transparent and compliant with fair trading legislation
- Minimise any duplication of evaluation
- Encourage "local" evaluation
- Control and maintenance must be reliant on the international accreditation process
- Correct delivery must be seen to be controlled
- The identification and promotion of best practice through a continuous review of scheme and process.

The application of these principles by **GFSI** through facilitating a benchmarking process will:

- Build a common forum for participants in the food supply chain where knowledge can be shared and the delivery of food safety can be continually improved.

GFSI is not involved in certification or accreditation activities, but has produced this Guidance Document as a benchmarking tool for food safety management schemes.

2. Scope

The **GFSI** Guidance Document sets out the key elements for production of food under the Global Food Safety Initiative as requirements for food safety management schemes and gives guidance on how to seek compliance with this Document of such a scheme. It is a framework in which food safety management schemes can be benchmarked as appropriate and effective. The **GFSI** Guidance Document therefore is not a standard by itself.

Furthermore, it sets out the requirements for the delivery of conforming schemes. It also contains guidance on the operation of certification processes. It sets out the process for annual reporting to the **GFSI** of scheme delivery against this document and the process for reviewing schemes against new versions of this document.

The conforming food safety management schemes can be applied by food suppliers in the whole supply chain. It is at the discretion of retailers and suppliers for which products the schemes will be applied. Over the world this will differ depending on:

- Company policies
- General regulatory requirements
- Product liability and due diligence regulations.

GFSI is responsible for the production and maintenance of this Guidance Document. New editions of this document will be produced at a minimum of once every three years. All stakeholders are invited to submit comments and proposals for changes to this document. Drafts of new editions will be circulated among stakeholders.

GFSI will produce an annual report.

3. Definitions

Accreditation

Procedure by which an authoritative body gives formal recognition of the competence of a certification body to provide certification services, against an international standard.

Accreditation body

Agency having jurisdiction to formally recognise the competence of a certification body to provide certification services.

Allergen

Food causing an adverse reaction that is mediated by an immunological response.

Audit

Systematic and functionally independent examination to determine whether activities and related results comply with a conforming scheme, whereby all the elements of this scheme should be covered by reviewing the suppliers' manual and related procedures, together with an evaluation of the production facilities.

Auditor

Person qualified to carry out audits for or on behalf of a certification body.

Benchmark

Procedure by which a food safety-related scheme is compared to the **GFSI** Guidance Document.

Certification

Procedure by which accredited certification bodies, based on an audit, provide written or equivalent assurance that food safety management systems and their implementation conform to requirements.

Certification body

Provider of certification services, accredited to do so by an accreditation body.

Certification scheme

Scheme consisting of a certification standard and certification system as related to specified processes to which the same particular scheme applies. The certification scheme should contain the following items (amongst others):

- a standard
- a clearly defined scope
- a certification system, including:
 - requirements for the qualifications of auditors
 - a statement of approximate duration and frequency of visits
 - the minimum content of the audit report.

Certification standard

A normative document, established by consensus and approved by a recognised body, that provides, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context.

Certification system

A system that has its own rules of procedure and management for carrying out certification.

Conforming scheme

A food safety management scheme that has successfully completed the Benchmark Procedure.

Evaluation

Examination of production facilities, in order to verify that they conform to requirements.

Food safety management scheme

Certification scheme aimed at enhancing food safety.

Food safety management standard

Certification standard aimed at enhancing food safety.

Non-conformity

Deviation of product or process from specified requirements, or the absence of, or failure to implement and maintain, one or more required management systems elements, or a situation which would, on the basis of available objective evidence raise significant doubt as to the conformity of what the supplier is supplying.

Primary production

Food product that is similar in nature to its natural state, but may have been

- Packed
- Washed
- Trimmed (not cut into pieces)
- Undergone any process not defined under the definition of ‘processed food’

Processed food

Food product, which has undergone any of the following processes changing the nature of the food:

- Aseptic filling
- Baking
- Bottling
- Brewing
- Canning
- Coating/Breading/Battering
- Cooking
- Curing
- Cutting/Slicing/Dicing
- Dismembering
- Distillation
- Drying
- Extrusion
- Fermentation
- Freeze Drying
- Freezing
- Frying
- Hot Filling
- Irradiation
- Microfiltration
- Microwaving
- Milling
- Mixing/Blending
- Packed in modified atmosphere
- Pasteurisation/Sterilisation
- Pickling
- Roasting
- Smoking
- Steaming
- Packed in Vacuum Packing
- Pasteurisation
- Purification
- Salting
- Slaughtering
- Smoking

Surveillance

Follow-up audit to verify the validity of an issued certificate.

4. Overview of the GFSI Guidance Document

Part I Requirements for food safety management schemes

4.1. Contents

Besides an introduction of the Global Food Safety Initiative and the aim, scope and definitions of the **GFSI** Guidance Document, this part of the **GFSI** Guidance Document contains the Procedure for the application and benchmarking of food safety management schemes.

Part II Requirements for a conforming food safety management standard

4.2 Basis for the Key Elements

The Key Elements cover the whole range of food safety management standard criteria to be complied with for a conforming food safety management standard:

- Food Safety Management Systems
- Good Practices and
- Hazard Analysis and Critical Control Point (hereafter, HACCP) principles, like the ones defined by the Codex Alimentarius Commission or the National Advisory Committee on Microbiological Criteria for Foods (NACMCF).

Elaboration of Key Elements

A further elaboration of the 'Good Practices' Key Element can be found in Annex I of Part II. An elaboration of Good Practices requirements is given as an example of how this can be done.

In addition, any food safety management system needs to comply with the requirements in Part III.

Part III Requirements for the delivery of food certification systems.

The requirements for the delivery of Food Certification Systems can be found in Part III.

The Key Elements (Part II) and the Requirements for the delivery of Food Certification Systems (Part III) together form the reference basis for the Benchmark procedure of food safety management schemes and are in addition to any legal requirements for food in the country of production and consumption. They are not intended to replace the requirement of any legislation, whereby this legislation requires a higher standard. Compliance with these requirements does not constitute compliance with national legislative requirements concerning food safety and does not replace the need to comply with the approval/permitting or other requirements in any relevant market or jurisdiction.

The Key Elements structure has been developed by **GFSI** with the assistance of retailers, manufacturers and other relevant stakeholders. These Key Elements will be periodically reviewed in the light of new scientific knowledge so as to ensure a regime of continuous improvement.

5. Procedure for the application and benchmark of food safety management schemes

5.1 Introduction

The requirements contained in this chapter are written, above all, to provide reliability and confidence in the compliance of a specified standard and its related certification system to the **GFSI** Guidance Document.

5.2 Scope

This procedure specifies the general requirements that a food safety management scheme owner operating specified standards and other normative documents shall follow, if the scheme is to be benchmarked against the relevant requirements of the **GFSI** Guidance Document.

The main requirement is that the conforming scheme shall be publicly available in all cases, and its use for certification purposes, without restriction by membership or other limitation, to certification bodies (see clause 5.7.3).

5.3 References

References applicable to this procedure are:

- ISO 19011 Guidelines for quality and/or environmental management systems auditing
- ISO/IEC Guide 7 – 1994 Guidelines for drafting standards suitable for use of conformity assessments
- ISO/IEC Guide 65 – 1996 General requirements for bodies operating product certification systems
- ISO/IEC Guide 2– 1996 General terms and their definitions concerning standardization and related activities
- ISO 8402– 1994 Quality management and quality assurance - vocabulary

For the purpose of this procedure, the relevant definitions given in these documents apply.

5.4 Conforming certification system

A certification system of a conforming scheme must be operated by individual certification bodies that have achieved accreditation directly for the scope of that conforming scheme.

5.5 Guidance Document Owner

5.5.1 Maintenance of the Key Elements

GFSI will maintain the Key Elements and other requirements in this document in order to comply with the requirements of ISO/IEC Guide 65 Clause 4.1 and 4.2, in so far as these clauses relate to the criteria for the development of standards and the required organisational structure.

5.5.2 Maintenance of the requirements for the delivery of food safety management systems

5.5.2.1 **GFSI** has also set the requirements for the delivery of food safety management systems. Each certification body, operating a conforming scheme must be accredited by an accreditation body which is a member of the International Accreditation

Forum (IAF), and which is also signed up to the Multi Lateral Arrangement (MLA) of ISO/IEC Guide 65 for as far as such MLA exists.

5.5.2.2 **GFSI** will maintain in its Guidance Document requirements as set out in ISO/IEC Guide 65 clause 5.2 for certification body personnel qualification criteria and clause 13 for surveillance.

5.5.2.3 **GFSI** will ensure that clear, unambiguous and objective guidance is given on interpretation of the **GFSI** Guidance Document.

5.6 Conforming Scheme

The owner of a submitted scheme will ensure that the scheme (standard and certification system) has been developed in compliance with the requirements of ISO/IEC Guide 65.

5.7 Benchmark Procedure

GFSI will operate the following procedures to ascertain whether a standard and its certification system can demonstrate compliance with the **GFSI** Guidance Document.

GFSI will ensure that the Benchmark Procedure is implemented under independent, impartial, technically competent and transparent procedures.

5.7.1 Procedure for applications

5.7.1.1 **GFSI** shall provide applicants with the **GFSI** Guidance Document and the pro forma documentation that must be submitted as part of the Benchmark Procedure (see Part I, Annex 1), the latest version of which is available at www.ciesnet.com.

5.7.1.2 **GFSI** shall require that the conforming scheme owner:

- (a) Have documented arrangements with individual certification bodies operating the conforming scheme that ensure that the certification body operates in compliance with all the requirements of the **GFSI** Guidance Document and ISO/IEC Guide 65
- (b) Make claims regarding the conformity only in respect of the scope for which compliance to the **GFSI** Guidance Document has been granted
- (c) Does not use its compliance in such a manner as to bring **GFSI** into disrepute and does not make any statement regarding its conforming status which the **GFSI** Guidance Document may consider misleading or unauthorised
- (d) Upon suspension or cancellation of the conforming status discontinues to use all (restricted) advertising matter that contains any reference to **GFSI** and returns any documents as required.

5.7.2. Application by a scheme owner

5.7.2.1 When seeking compliance for a scheme, the application must be made directly by the scheme owner to **GFSI** in English, accompanied by a statement from an official translator where applicable.

5.7.2.2 The scheme owner shall provide a report in a standard **GFSI** approved format outlining the following information:

- (a) A summary of the standard, its objective, details of its development and the operating procedures required of the certification system
- (b) A clause by clause cross-reference to the standard seeking compliance to the **GFSI** Guidance Document against Part II, Requirements for a conforming Food Safety Management Standard (Key Elements). This clause-by-clause comparison should

also detail the compliance criteria and give any argument necessary to justify compliance (see Part I, Annex 2)

- (c) The requirements of the certification system seeking compliance must be cross-referenced with the requirements of part III Requirements for the delivery of food certification systems and demonstrate the equivalent or higher rigour of third party auditing elements and the associated certification elements of the scheme seeking compliance.

5.7.3 Requirements of a conforming scheme

The scheme shall:

- (a) have been developed with the participation of technically competent representatives of direct stakeholders, or have been subjected to formal review by such parties and subsequently revised as appropriate
- (b) be reviewed and updated, at least every three years, with the involvement of representatives of direct stakeholders (see clause 5.11)
- (c) have copyright which is held by an identified legal entity, or have made appropriate application for such copyright
- (d) be clear and precise in its wording and phraseology to facilitate accurate and uniform interpretation, and allow for the evaluation of compliance of an applicant. Terms such as “sufficient” and “adequate” should be avoided
- (e) have credibility with industry, appropriate regulatory authorities or relevant professional groups. Any new schemes for benchmarking against the **GFSI** Guidance Document must be supported by the written support of two retailers.
- (f) be publicly available for implementation, and its use for certification purposes, without restriction by membership or other limitation. The levying of a reasonable fee for the purchase of the scheme, a license fee for its implementation, or a training requirement for the application of the scheme, will not be regarded as a restriction or a limitation;
- (g) not allow products produced under the conforming scheme to be labelled, marked or described in a manner which implies that they meet a standard or specification for a particular product.

5.7.4 Technical Review

GFSI will appoint a Technical Review Committee, made up of suitable technical persons from within or outside the **GFSI** Task Force that are independent, impartial and technically competent persons or organisations with no direct connections with a certification body or a scheme owner, which will complete a preliminary screening to ensure that the application meets all the requirements as defined by **GFSI**. These technical persons must have experience in conformity assessment, and shall have a minimum of five years experience relevant to the food industry (this shall involve work in quality assurance or food safety functions within manufacture, retailing, inspection or enforcement).

If the application is accepted, the submitted application will be reviewed in detail. This independent Technical Review will include a written consultation with the Task Force and stakeholders including primary producers, manufacturers, wholesaler distributors, and representatives of accreditation bodies and certification bodies operating the submitted scheme. If needed, an explanatory meeting with the applicant can also be organised.

This independent review will summarise all the consultation responses, the application itself and produce a detailed report with one of the following recommendations:

- (i) compliance is accepted

- (ii) compliance is not accepted until modifications recommended by the Technical Review Committee have been made by the scheme owner
- (iii) rejection of the application.

In the case of acceptance after modifications the scheme owner should provide the Technical Review Committee with a written justification on how to implement the modifications in the existing scheme within a mutually accepted time frame. In cases where the conforming scheme is already in use, the scheme owner should also provide information as to how the modifications will be implemented at already certified suppliers.

GFSI, through its Advisory Group, will review the Independent Technical Review Report and will decide to accept, accept after modifications or reject the application. Written justification must be provided if the Advisory Group does not accept the recommendations or in case of dispute.

5.7.5 Compliance statement

If the Advisory Group decides positively, a compliance statement will be issued. Written procedures will be in place to notify applicants of the outcome of the benchmark process. The time period to complete this process from application to decision should not be any more than three months after the date of submission. The compliance statement should be publicly available and clearly indicate:

- a) The **GFSI** Guidance Document and its edition number
- b) The conforming scheme including all normative documents involved with their revision number or date.

5.7.6 Contractual arrangements

There shall be contractual arrangements in place between **GFSI** and the owner of a conforming scheme. This contract will detail (non-exhaustive list):

- Termination
- Dispute procedures.

5.8 Appeals

GFSI will have written procedures for an independent, impartial and technically competent Appeals Panel to be set up if required and the applicant will have the right to appeal.

5.9 Transparency

The operation of all procedures in connection with the benchmark will be conducted in a transparent way and all documents will be available to applicants, stakeholders and **GFSI** at the end of the procedure in case of a compliance statement.

In the circumstance that an application is not successful, this will only take place in a direct communication with the applicant only.

5.10 Costs

The applicant may be charged for the Benchmark Procedure covering the administrative procedures of **GFSI** at a maximum rate of €5,000.

5.11 Review and updates to the GFSI Guidance Document and benchmarked schemes

All changes to a conforming scheme require re-submission to **GFSI**. After re-submission, the procedure described in clauses 5.7.4 and 5.7.5 will be followed again. If anomalies are found, the scheme owner needs to implement the modifications in the existing scheme within a mutually accepted time frame of no more than one year, to maintain the compliance status of the scheme.

A conforming scheme owner shall update his conforming scheme in line with updates incorporated into the **GFSI** Guidance Document within one year of the publication thereof, to maintain the compliance status of the scheme.

GFSI will have systems in place to ensure that the status of the conforming schemes is reviewed not less than every 3 years.

5.12 Review of the delivery of conforming schemes

GFSI shall require conforming standard owners to submit an annual report on the delivery of their food safety management system.

Part II

Requirements for a conforming Food Safety Management Standard (Key Elements)

6.0 Requirements for a conforming food safety management standard (Key Elements)

Any food safety management standard shall be in compliance with all requirements of this chapter, as appropriate with either Good Agricultural Practices, Good Manufacturing Practices or Good Distribution Practices.

6.1 KEY ELEMENT: FOOD SAFETY MANAGEMENT SYSTEMS

6.1.1. General Requirements

The conforming standard (hereafter the standard) shall require that the elements of the supplier's Food Safety Management System be documented, implemented, maintained and continually improved. The food safety management system shall:

- a) identify the processes needed for the food safety management system
- b) determine the sequence and interaction of these processes
- c) determine criteria and methods required to ensure the effective operation and control of these processes
- d) ensure the availability of information necessary to support the operation and monitoring of these processes
- e) measure, monitor and analyse these processes, and implement action necessary to achieve planned results and continual improvement.

6.1.2. Food Safety Policy

The standard shall require the supplier to have a clear, concise and documented food safety policy statement and objectives, that specifies the extent of the organisation's commitment to meet the safety needs of its products.

6.1.3. Food Safety Manual

The standard shall require the supplier to have a Food Safety Manual or documented system, having a scope appropriate to the range of business activity to be covered, including documented procedures or specific reference to them, and describing the interaction of the related processes.

6.1.4. Management Responsibility

The standard shall require the supplier to establish a clear organisational structure, that unambiguously defines and documents job functions, responsibilities and reporting relationships of at least those staff, whose activities affect product safety.

6.1.5. Management Commitment

The standard shall require that the supplier's senior management demonstrate their commitment to the development and improvement of the food safety management system.

6.1.6. Management Review (including HACCP Verification)

The standard shall require that the supplier's senior management will review the verification of the food safety management system and HACCP Plan, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. Such a review shall evaluate the need for changes to the supplier's food safety management system, including the food safety policy and food safety objectives.

6.1.7. Resource Management

The standard shall require that the supplier's senior management determine and provide, in a timely manner, all the resources needed to implement and improve the processes of the food safety management system, and to address customer satisfaction.

6.1.8. General Documentation Requirements

The standard shall require that the supplier prepare documented procedures to demonstrate compliance with the specified standard and will ensure that all records required to demonstrate the effective operation and control of its processes and its management of product safety, are securely stored, effectively controlled, and readily accessible when needed.

6.1.9. Specifications

The standard shall require that the supplier ensure that for all items and services purchased/provided and having effect on product safety, documented specifications are prepared, securely stored and readily accessible when needed.

6.1.10. Procedures

The standard shall require that the supplier will prepare and implement detailed procedures/instructions for all processes and operations having an effect on product safety.

6.1.11. Internal Audit

The standard shall require that the supplier have an internal audit system in place in relation to all systems and procedures, which are critical to product safety.

6.1.12. Corrective Action

The standard shall require that the supplier will ensure that procedures for the determination and implementation of corrective action in the event of any significant non-conformity relating to product safety are prepared and documented and that all such documentation is securely stored and readily accessible when needed.

6.1.13. Control of Non-conformity

The standard shall require that the supplier ensure that any product, which does not conform to requirements, is clearly identified and controlled to prevent unintended use or delivery. These activities shall be defined in a documented procedure that is securely stored and readily accessible when needed.

6.1.14. Product Release

The standard shall require that the supplier will prepare and implement appropriate product release procedures to ensure that product is not released until all specified requirements are met.

6.1.15. Purchasing

The standard shall require that the supplier controls purchasing processes to ensure that all externally sourced items conform to requirements.

6.1.16. Supplier Performance Monitoring

The standard shall require that the supplier operate procedures for approval and continued monitoring of its suppliers. The results of evaluations and follow-up actions shall be recorded.

6.1.17. Traceability

The standard shall require that the supplier develop and maintain appropriate procedures and systems to ensure:

- Identification in any case through a code marking on container and product, to identify the source of any out-sourced product, ingredient or service;
- Record of purchaser and delivery destination for all product supplied.

6.1.18. *Complaint Handling*

The standard shall require that the supplier prepare and implement an effective system for the management of complaints and the use thereof to control and correct evidence of shortcomings in food safety.

6.1.19. *Product Recall*

The standard shall require that the supplier prepare and implement an effective product recall procedure for all products it supplies, which is tested regularly.

6.1.20. *Control of Measuring and Monitoring Devices*

The standard shall require that the supplier identify the measurements critical to food safety and the measuring and monitoring devices required to assure product safety and methods to assure calibration and accuracy.

6.1.21. *Product Analysis*

The standard shall require that the supplier prepare and implement a system to ensure that product/ingredient analyses critical to the confirmation of product safety is undertaken and required and that such analyses conforms to publicly recognised standards.

6.2 KEY ELEMENT : GOOD AGRICULTURAL PRACTICES, GOOD MANUFACTURING PRACTICES, GOOD DISTRIBUTION PRACTICES.

6.2.1. *Introduction*

This clause sets out the requirements of good practice with the goal of ensuring food safety in agriculture (Good Agricultural Practices, hereafter GAP), manufacturing (Good Manufacturing Practices, hereafter, GMP) and distribution (Good Distribution Practices, hereafter GDP). An example of more detailed requirements can be found in Part II, Annex 1. The standard shall include consideration of the following items in relation to GAP/GMP/GDP where appropriate.

6.2.2. *Facility Environment*

The site or facility shall be located and maintained so as to prevent contamination and enable the production of safe (primary) products (GAP/GMP/GDP).

6.2.3. *Local Environment*

All grounds within the site or facility shall be finished and maintained to an appropriate standard (GAP/GMP/GDP).

6.2.4 *Facility Layout and Product Flow*

Premises, site and/or plant shall be designed, constructed and maintained to control the risk of product contamination (GAP/GMP/GDP).

6.2.5 *Fabrication (raw material handling, preparation, processing, packing and storage areas)*

The fabrication of the site, buildings and facilities shall be suitable for the intended purpose (GAP/GMP/GDP)

6.2.6. *Equipment*

Equipment shall be suitably designed for the intended purpose and shall be used so as to minimise food safety risks (GAP/GMP/GDP).

6.2.7. *Maintenance*

A system of planned maintenance shall be in place covering all items of equipment, which are critical to product safety (GAP/GMP/GDP).

6.2.8. *Staff Facilities*

Staff facilities shall be designed, and should be operated, so as to minimise food safety risks (GAP/GMP/GDP).

6.2.9. *Physical and Chemical Product Contamination Risk*

Appropriate facilities and procedures shall be in place to control the risk of physical, chemical, or biological contamination of (primary) product (GAP/GMP/GDP).

6.2.10. *Segregation and Cross-contamination*

Procedures shall be in place to prevent contamination and cross-contamination of raw materials, packaging and finished product (GAP/GMP/GDP).

6.2.11. *Stock Management (rotation)*

Procedures shall be in place to ensure materials and (primary) products are used in the correct order and within the allocated shelf life (GAP/GMP/GDP).

6.2.12. Housekeeping, Cleaning and Hygiene

Appropriate standards of housekeeping, cleaning and hygiene shall be maintained at all times and throughout all the stages (GAP/GMP/GDP).

6.2.13. Water Quality Management

The quality of water that comes into contact with food, shall be regularly monitored and shall present no risk to product safety (GAP/GMP):

Extra GAP: Water for post harvest washing shall be potable.

Extra GMP: Potable water shall be used and checked for contaminants at an appropriate frequency.

6.2.14. Waste Management

Adequate systems shall be in place for the collation, collection and disposal of waste material (GAP/GMP/GDP).

6.2.15. Pest Control

A system shall be in place for controlling or eliminating the risk of pest infestation on the site or facilities (GAP/GMP/GDP).

6.2.16. Veterinary medicine

The utilized drugs shall be appropriate to their purpose and should not be banned in the destination country (GAP).

6.2.17. Pesticide, Herbicide and Fungicide Control

An Integrated Crop Management or equivalent system shall be in place for the judicious use of these chemicals during growing and post harvest treatment and to control residues (GAP).

6.2.18. Transport

All vehicles used for the transportation of raw materials (including packaging), intermediate/semi processed (primary) product and finished (primary) product shall be suitable for the purpose, maintained in good repair and be clean (GDP).

6.2.19. Personal Hygiene, Protective Clothing and Medical Screening

Documented and trained hygiene standards based on risk of product contamination shall be in place. Hand washing and toilet facilities shall be provided. Suitable and appropriate protective clothing shall be provided. A medical screening procedure shall be in place. In all cases this shall also apply to contractors and visitors (GAP/GMP/GDP).

6.2.20. Training

A system shall in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity (GAP/GMP/GDP).

6.3 KEY ELEMENT HAZARD ANALYSIS AND CRITICAL CONTROL POINT (HACCP)

The submitted standard requires a Hazard Analysis and Critical Control Point (hereafter, HACCP) system, or equivalent, to demonstrate food safety management. The described HACCP system shall be systematic, comprehensive and thorough and shall be based on or be equivalent to the Codex Alimentarius HACCP principles or the ones from the National Advisory Committee on Microbiological Criteria for Foods (NACMCF). The hazard analysis, where appropriate, shall include allergens. The 7 HACCP-principles shall apply to all suppliers. Any supplier who is not a primary producer shall additionally comply with the guidelines for its application in formulating its HACCP plan in reference with these guidelines.

The scope of the HACCP-system shall be required to be defined per product, per process line/or process-location and the position within the food chain.

The supplier's HACCP-system shall be able to demonstrate management commitment and shall be supported through the supplier's food safety management system.

Note: The principles of the HACCP system as adopted by the Codex Alimentarius Commission and guidelines for its application can be found in Codex Alimentarius as an Annex to CAC/RCP 1-1969.

Part III

Requirements for the delivery of food safety management systems

7. Requirements for the delivery of food safety management systems.

7.1 Introduction

In recognition that the procedures and methodology for evaluation and certification are pre-established, the purpose of this chapter is to identify a minimum number of requirements for the management of certification bodies, necessary to focus the certification process on food safety.

In addition, for convenience, an annex gives guidance for certification bodies seeking accreditation to ISO/IEC Guide 65 for the scope of a Global Food Safety Initiative conforming food safety management scheme.

7.2 Auditor qualifications, training and experience

Qualifications

The auditor shall have the minimum personal attributes, knowledge and skills and education as described in chapter 7 of ISO 19011, for as far as relevant for food safety management.

Training

The auditor shall have successfully completed a Quality Management Systems lead assessor course or recognised equivalent and have undergone a supervised period of training in practical evaluation. He or she shall also have successfully completed training in HACCP based on the principles from Codex Alimentarius (Alinorm 97/13) or from the National Advisory Committee on Microbiological Criteria for Foods (NACMCF) and be able to demonstrate competence in the understanding and application of HACCP principles.

Note: The training course should be recognised by the industry (and its stakeholders) as being appropriate and relevant. For example, approval or certification by an independent body with the relevant expertise can provide some assurance that a course meets specified criteria.

Experience

The auditor shall have a minimum of five years experience relevant to the food industry, or two years when auditing against farm assurance standards. This should involve work in Quality Assurance or food safety functions within food production or manufacturing, retailing, inspection or enforcement.

An auditor shall perform a minimum of five relevant audits per year to maintain his qualification.

Training and experience for specific categories

Certification bodies shall be able to demonstrate that every auditor has appropriate training and experience for the particular categories for which they are considered competent. Competence shall be recorded (clause 5.5.c of ISO 19011) at least at the level of each category as indicated in chapter 7.5.

It is difficult to be prescriptive as to the specific training required in the absence of nationally recognised training modules. Necessary training and experience shall be judged on the risk and the particular technical demands of the category.

7.3 List of minimum requirements for audit reports

An audit report shall contain the following as a minimum.

1.	General information	
	- Name of the company	
	- EAN.UCC Global Location Number (GLN) if available	
	- Address	
	- Name of certification body	
	- Accreditation details of certification body	
	- Address	
	- Name of factory or farm	
	- Address	
	- Date(s) of audit	
	- Date of previous audit	
	- Name and version of the food safety management scheme	
	- Scope of audit (detailed description processes / products)	
	- Product category	
	- List of key personnel present at audit	
	- Name/signature company representative	
	- Name/signature assessor	
2.	Summary of results	
	- Description HACCP/food safety management system	
	- Details of existing certificates	
	- Overview of assessed processes	
	- Conclusion of the audit	
	- Expiry date of certificate	
3.	List of non-conformities	
4.	Detailed evaluation report/sampled items	
	- HACCP requirements	- Results per key element
	- Food safety Management System requirements	- Results per key element
	- GMP/GAP/GDP requirements	- Results per key element
	- Other relevant remarks	

7.4 Guidance for the management of certification bodies

The general requirements for accreditation are laid down in the International Standard ISO/IEC Guide 65 – General requirements for bodies operating product certification systems. These requirements apply to all types of certification and therefore need to be interpreted in respect of food safety requirements and the categories of food technology concerned.

7.4.1 Accreditation

Food safety management systems seeking compliance with this document must ensure that all activities resulting in the issuing of certificates are delivered by Certification Bodies, which are accredited by members of the IAF, in compliance with ISO/IEC Guide 65. Standard owners shall actively engage with the Accreditation Bodies to monitor and verify that accreditation is consistent.

7.4.2. Scope of Accreditation

The scope of accreditation shall be precisely defined in terms of the category of application and reference to the relevant standard(s) of the conforming food safety management scheme including revision numbers and/or dates. Certification Bodies undertaking audits against food safety management schemes, which have been found to be in compliance with this document, must have the named scheme included in their scope of accreditation.

Under certain circumstances, the Certification Body may have an application for extension of their scope pending with an Accreditation Body. They will however, have a current accreditation to ISO/IEC Guide 65. Written notification of such a circumstance from the food safety management scheme owner must be held by the Certification Body.

The range of certification services offered by a body may be wider than those accredited. In this case the limits of the accreditation shall be made clear. Services that are outside the scope of the accreditation shall be distinguished from those that are accredited.

7.5 Food certification - categories

Categories

Categories have been identified as listed below, in which raw meat and fish have been divided into sub-categories. Organisations applying for accreditation or extensions of scope should use these categories in their applications.

Manufacturing:

1. Egg
2. Red Meat ~ Chilled and Frozen
3. Poultry ~ Chilled and Frozen
4. Fish - Chilled and frozen
5. Produce
6. Dairy
7. Meat products and preparations
8. Fish products and preparations
9. Ambient Stable Hermetically Sealed Packs
10. Ready to eat or heat Foods
11. Beverages
12. Bakery and Baked Products
13. Dried Goods
14. Confectionery
15. Snacks and Breakfast Cereals
16. Oils & Fats
17. Food Ingredients

Agriculture:

1. Production, capture and harvesting of livestock and game animals
2. Animal feed production
3. Growing and production of fresh produce
4. Fresh produce pack house operations
5. Extensive broad acre agricultural operations
6. Growing and production of coffee
7. Harvest and intensive farming of fish

7.6 Management of the food certification system

7.6.1 Initial visits

The duration of an initial visit has to be determined by the certification body with due regard to:

- The type of process used to manufacture the product;
- The conditions under which the product is stored and sold;
- The method of preparation of the food by the consumer;
- The number of sites and products;
- The number of employees related to food safety

During the initial visit it should be determined whether activities and related results comply with the standard of a conforming scheme. Therefore all the elements of such standard should be covered by reviewing the supplier's manual and related procedures, together with an inspection of the production facilities. The initial visit should be executed in two phases, where phase one contains the document review and an inspection of the premises and the production facilities, and phase two contains the evaluation of the actual implementation.

7.6.2 Surveillance visit

Surveillance visits should be executed at a minimum of once per year.

During a surveillance visit the certification body should provide written assurance that food control systems are still conforming to requirements.

The duration of a surveillance visit has to be determined by the certification body with due regard to:

- The method of preparation of the food by the consumer;
- The number of sites and products;
- The number of employees related to food;
- The size of the random sampling;

The number of outstanding non conformities.

Depending on the grading and the number of non-conformities the certification body should have a provision for surveillance visits on a short interval base.

7.6.3 Audit frequency

Frequency of audits shall be clearly defined. A risk-based approach based on performance can be used.

7.6.4 Legality

The scheme owner shall have legal advice available on all matters associated with liability and competition issues.

7.6.5 Relationship with certification bodies

As indicated in clause 5.7.3(f), the scheme owner shall operate a system, which allows free access to the certification market for companies, which can satisfy all technical requirements.

7.6.6 Standard governance

The scheme owner shall ensure that governance of the scheme is a formal process, which allows direct stakeholders to participate as advisors.

7.6.7 Auditor competence

Requirements for auditors shall be clearly defined. This **GFSI** Guidance Document sets out minimum qualifications in chapter 7.2. The scheme owner will identify the management processes, which will enable the identification in auditor performance by sector.

7.6.8 Non-conformity definitions

The definition of ISO/IEC Guide 61:1996 for non-conformities is to be used. (also see chapter 3)

7.6.9 Ranking and scoring systems

A ranking and scoring system, when used, must ensure that the fundamental issue of whether a site is in compliance with a standard is clearly expressed.

7.6.10 Corrective actions

A system must be in place to ensure that all corrective actions have been satisfactorily closed within agreed timescales, and with full reference to the requirements of ISO/IEC Guide 65.

7.6.11 Certification decision

All decisions concerning the issuing of a certificate shall be made with full reference to ISO/IEC Guide 65. In particular, the record of any site undergoing certification shall be complete, and will include details of all work done by all certification bodies.

7.6.12 Audit reports

Process and format shall be clearly defined by the Standard Owner, in compliance with chapter 7.3.

7.6.13 Distribution of audit reports

All audit reports shall be made available to authorised parties. Authorisation for access shall remain with the site, but once a party has been authorised, the full record of all certification activity and all reports shall be made available.

PART I, ANNEX 1: BLANK BENCHMARK MATRIX SCHEME OWNERS

TO BE FILLED IN BY SCHEME OWNERS

SUBMITTED SCHEME:		
5.7.2.2	The scheme owner shall provide a report in a standard GFSI approved format outlining the following information	
(a)	A summary of the standard, its objective, details of its development and the operating procedures required of the certification system	
(b)	A clause by clause cross-reference to the standard seeking compliance to the Guidance Document against Part II, Requirements for a conforming Food Safety Standard (Key Elements). This clause-by-clause comparison should also detail the compliance criteria and give any argument necessary to justify compliance	<i>(See Part I, Annex 2: Cross reference table)</i>
(c)	The requirements of the certification system seeking compliance must be cross-referenced with the requirements of part III Requirements for the delivery of food certification systems and demonstrate the equivalent or higher rigour of third party auditing elements and the associated certification elements of the scheme seeking compliance	<i>(Auditor qualifications, training and experience; Minimum requirements for audit reports; Duration and frequency of visits)</i>

SUBMITTED STANDARD:		
5.7.3	Requirements of a conforming scheme. The scheme shall:	
(a)	have been developed with the participation of technically competent representatives of direct stakeholders, or have been subjected to formal review by such parties and subsequently revised as appropriate	
(b)	be reviewed and updated, at least every three years, with the involvement of representatives of direct stakeholders	
(c)	have copyright which is held by an identified legal entity, or have made appropriate application for such copyright	<i>(Name of legal entity)</i>
(d)	be clear and precise in its wording and phraseology to facilitate accurate and uniform interpretation, and allow for the assessment of compliance of an applicant. Terms such as “sufficient” and “adequate” should be avoided	
(e)	have credibility with industry, appropriate regulatory authorities or relevant professional groups. Any new schemes for benchmarking against the GFSI Guidance Document must be supported by the written support of two retailers.	
(f)	be publicly available for implementation, and its use for certification purposes, without restriction by membership or other limitation. The levying of a reasonable fee for the purchase of the scheme, a license fee for its implementation, or a training requirement for the application of the scheme, will not be regarded as a restriction or a limitation	
(g)	not allow products produced under the conforming standard to be labelled, marked or described in a manner which implies that they meet a particular product standard or specification for a particular product	

PART I, ANNEX 2: CROSS REFERENCE LIST SCHEME OWNERS

Section 6.1 Key Element: food safety management systems			
GFSI protocol (rev 2)	SUBMITTED STANDARD:	GFSI protocol (rev 2)	SUBMITTED STANDARD:
6.1.1		6.1.12	
6.1.2		6.1.13	
6.1.3		6.1.14	
6.1.4		6.1.15	
6.1.5		6.1.16	
6.1.6		6.1.17	
6.1.7		6.1.18	
6.1.8		6.1.19	
6.1.9		6.1.20	
6.1.10		6.1.21	
6.1.11			
Section 6.2: Key Elements for GAP, GMP, GDP			
GFSI protocol (rev 2)		GFSI protocol (rev 2)	
		6.2.11	
6.2.2		6.2.12	
6.2.3		6.2.13	
6.2.4		6.2.14	
6.2.5		6.2.15	
6.2.6		6.2.16	
6.2.7		6.2.17	
6.2.8		6.2.18	
6.2.9		6.2.19	
6.2.10		6.2.20	
Section 6.3: Key Elements for HACCP			
7. Requirements for the delivery of Food Certification System			
7.1		7.6.5	
7.2		7.6.6	
7.3		7.6.7	
7.4.1		7.6.8	
7.4.2		7.6.9	
7.6.1		7.6.10	
7.6.2		7.6.11	
7.6.3		7.6.12	
7.6.4		7.6.13	

Part II, Annex 1 – KEY ELEMENT GOOD AGRICULTURAL PRACTICES, GOOD MANUFACTURING PRACTICES, GOOD DISTRIBUTION PRACTICES

The following Good Agricultural Practices (GAP), Good Manufacturing Practices (GMP), or Good Distribution Practices (GDP) are an example of how they could be developed under the requirement of the related Key Element (Chapter 6.2). This is therefore a non-exhaustive list.

Facility Environment

GAP	GMP	GDP
Facility should be appropriate for the purpose	Adequate security arrangements should be in place	Adequate security arrangements should be in place
Uncontrolled sewage water flow into irrigation facilities and other water basins should be prohibited.	Site boundaries should be clearly defined	Site boundaries should be clearly defined
	Pest control of the periphery should be in place	Pest control of the periphery should be in place
	Adequate drainage should be in place	Adequate drainage should be in place

Local Environment

GAP	GMP	GDP
All new sites should be risk assessed for environmental pollutants and flooding	All new sites should be risk assessed for environmental pollutants and flooding	All new sites should be risk assessed for environmental pollutants and flooding
Periodic assessment of potential food safety impact from and to local environment should be performed	Periodic assessment of potential food safety impact from and to local environment should be performed	Periodic assessment of potential food safety impact from and to local environment should be performed

Facility Layout and Product Flow

GAP	GMP	GDP
Process flow should be documented in case of on farm packing	Process flow should be logical and a one way flow system	Process flow should be logical
	High/low risk production areas should be suitably segregated	Process flow should be designed to prevent contamination
	There should be dedicated chill and freeze facilities where appropriate	
Process flow should be designed to prevent contamination	Process flow should be designed to prevent contamination	
	There should be segregated equipment washing facilities	
	On site laboratory, where there is a potential food safety risk, should be sited away from production areas	

Fabrication

GAP	GMP	GDP
Design and construction to minimise accumulation of dirt/debris should be in place in case of on farm packing	Design and construction to minimise accumulation of dirt/debris should be in place	Design and construction to minimise accumulation of dirt/debris should be in place
Walls, floors and ceilings should have easy access and be easy to clean and impervious in case of on farm packing	Walls, floors and ceilings should have easy access and be easy to clean and impervious	Walls, floors and ceilings should be easy to clean and impervious
	False ceilings should have adequate access to void for cleaning and pest management	
	Adequate covered drainage should be in place, which flows away from high risk areas	Adequate covered drainage should be in place
	Lights should be protected, preferably glass should be absent	Lights should be protected, preferably glass should be absent
	Windows in production areas to be avoided but where present should be protected and secured if designed to be opened Air should be filtered where necessary	Windows to be avoided but where present should be protected and secured if designed to be opened
	Pressure differentials should exist between high and low risk production areas	
	Adequate ventilation should be in place to prevent condensation	
	Adequate dust control where necessary	
Adequate lighting should be provided in case of on farm packing	Adequate lighting should be provided	Adequate lighting should be provided
	External doors linked to production areas need to be close fitting and adequately proofed	External doors should be close fitting and adequately proofed

Equipment

GAP	GMP	GDP
Equipment should be designed for purpose intended and easily cleaned	Equipment should be designed for the purpose intended and easily cleaned	Not Applicable
	Equipment should be sited to allow ease of access for cleaning and maintenance	
Condition of equipment should be frequently assessed	Condition of equipment should be frequently assessed	

Maintenance

GAP	GMP	GDP
Planned maintenance programme should be in place.	Planned maintenance programme should be in place	Planned maintenance programme should be in place
Contractors and in-house maintenance teams should be aware of and adhere to company hygiene standards	Contractors and in-house maintenance teams should be aware of and adhere to company hygiene standards	Contractors and in-house maintenance teams should be aware of and adhere to company hygiene standards

Staff Facilities

GAP	GMP	GDP
Staff facilities should be suitably sited for direct entry to production areas, with the exception of toilets in case of on farm packing	Staff facilities should be suitably sited for direct entry to production areas, with the exception of toilets	
	Adequate lockers/storage facilities should be provided	Adequate lockers/storage facilities should be provided
	Adequate hand wash facilities should be provided	Adequate hand wash facilities should be provided
	Appropriate protective clothing, footwear and head gear should be provided	Appropriate protective clothing, footwear and head gear should be provided
Rest areas and catering facilities should be provided in case of on farm packing	Rest areas and catering facilities should be provided	Rest areas and catering facilities should be provided
	Smoking should only be permitted in designated areas	Smoking should only be permitted in designated areas
Toilets and hand washing facilities should be available	Toilets should be available, but not open directly into production areas	Toilets should be available but not open directly into warehouse areas
	Entry to high risk production areas should be via a specifically designated changing facility and follow specified procedures	

Foreign body/ Chemical Contamination Risk

GAP	GMP	GDP
	Systems to control hazards should be in place	Systems to control hazards should be in place
	Metal detection should be in place where there is risk	
	If metal detector is used, it should have automated rejection into a locked container	
	Issue of knives/blades should be controlled and their condition regularly checked	
	Glass control and breakage procedures should be in place	Glass control and breakage procedures should be in place
	Glass register should be available and inspected appropriate to risk	Glass register should be available and inspected appropriate to risk
	Filters and sieves should be inspected regularly	Maintenance sign off procedures should be in place
	Maintenance sign off procedures should be in place	
	Incoming goods should be inspected based on risk of contamination	Incoming goods should be inspected based on risk for contamination risks
	Rework should be controlled	
	Chemicals should be stored in a secure area	Chemicals should be stored in a secure area
Chemicals used on mechanical equipment should be managed and controlled	Chemicals should be used by trained personnel	Chemicals should be used by trained personnel
	Where feasible, wood should be avoided in production areas	
	All measures in place should be carried out at an appropriate frequency and fully documented	All measures in place should be carried out at an appropriate frequency and fully documented

Housekeeping, Cleaning and Hygiene

GAP	GMP	GDP
Where appropriate, relevant cleaning schedules and records should be in place	Cleaning schedules and records should be available	Cleaning schedules and records should be available in place
Chemicals used should be appropriate for the purpose intended	Chemicals used should be appropriate for the purpose intended	Chemicals used should be appropriate for the purpose intended
	Methods for verification of cleaning and corrective action procedures should be in place	Hygiene inspections should be carried out and recorded
	Where appropriate, cleaning equipment should be clearly identified and segregated	

Water Quality Management

GAP	GMP	GDP
Irrigation water should be suitable and controlled		
Potable water for post harvest washing should be available	Potable water should be used and where appropriate checked for contaminants at an appropriate frequency	Not Applicable
	Adequate ventilation to minimise condensation build up should be in place	
	Quality of ice, when used in processing, should be managed to prevent cross-contamination	

Waste Management

GAP	GMP	GDP
Waste should be controlled to prevent contamination of water and soil	Systems should be in place to minimise waste	Systems should be in place to minimise waste
A programme for the adequate disposal of waste and chemical containers should be in place	Waste management should be effective	Waste management should be effective
	External waste containers should be covered and removed at appropriate frequencies	External waste containers should be covered and removed at appropriate frequencies
	Waste containers for internal and external purposes should be clearly identified and cleaned regularly	

Pest Control

GAP	GMP	GDP
The effect of chemicals used in previous harvests on soil and water should be assessed		
Pest control should be carried out by a reputable organisation or by trained in-house personnel	Pest control should be carried out by a reputable organisation or by trained in-house personnel	Pest control should be carried out by a reputable organisation or by trained in-house personnel
	Inspections should include the periphery and internal and external buildings	Inspections should include the periphery and internal and external buildings
	A bait map should be available	A bait map should be available
	Inspections should be carried out to a frequency based on risk	Inspections should be carried out to a frequency based on risk
	Inspections, recommendations and corrective action should be documented	Inspections, recommendations and corrective action should be documented
	Where appropriate correctly sited, permanently operational electric fly killers should be in place	Where appropriate correctly sited, permanently operational electric fly killers should be in place
	All incoming goods should be inspected for pest infestation	All incoming goods should be inspected for pest infestation
	The building should be adequately proofed	The building should be adequately proofed

Personal Hygiene

GAP	GMP	GDP
Documented hygiene standards, based on risk should be in place	Documented and trained hygiene standards, based on risk, should be in place for all persons entering the facility and should include: <ul style="list-style-type: none"> • Hand washing • Cuts, grazes and boils • Dedicated smoking areas • Eating and drinking in segregated areas • Jewellery and watches • Cosmetics • Medical screening procedures Also see: protective clothing	Documented and trained hygiene standards, based on risk, should be in place for all persons entering the facility and should include: <ul style="list-style-type: none"> • Hand washing (unwrapped products) • Cuts, grazes and boils (unwrapped products) • Dedicated smoking areas • Eating and drinking in segregated areas • Medical screening procedures (unwrapped products) Also see: protective clothing
Staff must be properly trained against the documented hygiene standards		
Adequate covering of cuts, grazes and boils should be in place		
Adequate hand washing should be required		
Medical screening procedures, to prevent ill workers from entering the premises until non-contagious, should be in place		

Training

GAP	GMP	GDP
Adequate training for the required skills should be established	Personnel, including temporary staff, should be trained commensurate with their responsibilities/activities	Personnel, including temporary staff, should be trained commensurate with their responsibilities/activities
	Verification of training should be in place	Verification of training should be in place
	Review of training needs should be in place	Review of training needs should be in place
	Training records should be kept	Training records should be kept
	Adequate supervision of new personnel should be in place	Adequate supervision of new personnel should be in place

Protective Clothing

GAP	GMP	GDP
When applicable, appropriate protective clothing should be provided for personnel	Appropriate protective clothing should be provided for personnel, contractors and visitors	Appropriate protective clothing should be provided for personnel, contractors and visitors
	Clean protective clothing should be used and changed at an appropriate frequency	Clean protective clothing should be used and changed at an appropriate frequency
	Protective clothing should be hygienically laundered	Protective clothing should be hygienically laundered internally or by an approved contractor
	Protective clothing should be designed to prevent product contamination	
	Captive footwear should be worn in high risk production areas	

Cross-Contamination Risks

GAP	GMP	GDP
Cross-contamination by extraneous packaging should be avoided	There should be separation of raw and cooked products and utensils in high/low risk production areas	Not Applicable
	Nuts and other allergens should be identified and controlled to prevent cross contamination	
	Rework should be controlled	
	Appropriate measures should be taken to avoid cross-contamination by personnel, contractors and visitors	

Segregation

GAP	GMP	GDP
Product types should be segregated to avoid cross contamination risks	Product types should be segregated to avoid cross contamination risks. There should be a quarantine area for all reject/on hold products	Product types should be segregated to avoid cross contamination risks. There should be a quarantine area for all reject/on hold products

Stock Management (rotation)

GAP	GMP	GDP
Where appropriate health certificates for purchased nursery stock should be available	Raw materials, work in progress, packaging and finished goods should be adequately labelled to allow effective stock rotation based on first in first out principle	Products should be despatched on a first in first out principle
There should be control of harvested crop to ensure correct rotation	Raw materials, work in progress, packaging and finished goods should be checked for micro-biological contamination to be within agreed levels	

Medical Screening

GAP	GMP	GDP
When appropriate, a medical screening procedure should be in place for employees and contractors	A medical screening procedure should be in place. This should also apply to contractors and visitors	A medical screening procedure should be in place. This should also apply to contractors and visitors
Where appropriate, sickness reporting and return to work procedures should be in place	Where appropriate, sickness reporting and return to work procedures should be in place	Where appropriate, sickness reporting and return to work procedures should be in place

Veterinary Medicine

GAP	GMP	GDP
The drugs utilized should be appropriate for the treatment/control required and used in the prescribed quantities under veterinary supervision or veterinary approval	Not Applicable	Not Applicable
Veterinary medicines should be stored in a locked room or cupboard		
Record of all drugs administered should be maintained		
Drugs that are banned in the destination country should not be used		
Protection against diseases and pests should be achieved with minimal amount of drugs		
Adherence to withdrawal periods prior to slaughter should be demonstrated		

Pesticide / Herbicide/ Fungicide Control

GAP	GMP	GDP
Integrated Crop Management techniques or equivalent should be in place for the judicious use of these chemicals during growing and post harvest treatment to control residues	Not Applicable	Not Applicable
When appropriate, training for the administering and use of pesticides, herbicides and fungicides should be in place		

Post Harvest Treatment

GAP	GMP	GDP
The chemicals utilized should be appropriate for the treatment/control required	Not Applicable	Not Applicable
Potable water should be used		

Feedstuff

GAP	GMP	GDP
Materials not released for human consumption should be avoided	Not Applicable	Not Applicable
Fresh ingredients should be heat treated before use		
The composition of feed should be regularly assessed		

Part III, Annex 1

Guidance for certification bodies seeking accreditation to ISO/IEC Guide 65 for the scope of a Global Food Safety Initiative conforming food safety management scheme

Introduction

The general requirements for accreditation to the scope of a **GFSI** conforming food safety management scheme are laid down in the International Standard ISO/IEC Guide 65 – IAF (International Accreditation Forum) Guidance on the Application of General Requirements for Bodies Operating Product Certification Systems. These requirements apply to all types of certification and therefore need to be interpreted in respect of food safety requirements and the fields of food technology concerned.

This annex provides general guidance on the application of ISO/IEC Guide 65 to food certification. It does not cover all the requirements of ISO/IEC Guide 65 but where necessary it provides amplification of ISO/IEC Guide 65. A reference to the related clause in ISO/IEC Guide 65 is given between brackets where appropriate.

1. Scope

- 1.1 The guidance below is intended to apply to the certification of the ‘process’, which supplies food products to assure their safety. The term ‘process’ is used in the widest sense and should include all the processes and services, which together make up the end user food product. This requires the adoption of the elements of a documented food safety management system, control of GAP (Good Agricultural Practices) / GMP (Good Manufacturing Practices) / GDP (Good Distribution Practices) standards and the HACCP principles or equivalent.
- 1.2 The **GFSI** conforming scheme used by a Certification Body shall have undertaken the **GFSI** Benchmark Procedure, which includes the key elements defined by **GFSI**, the auditor qualifications, training and experience, the assessment reporting format, duration of initial and surveillance visits and guidance for the management of certification bodies.

2. Definitions

- 2.1 Certification and Certification Body are defined in Part I, chapter 3 of the Guidance Document. Clarification is given below on some other terms, some of which have gained common usage in the food industry in a way that conflicts with the Accreditation definition.

2.2.1 Accreditation

The International Accreditation Forum, Inc. (IAF) brings together a number of bodies from around the world with the aim of providing global accreditation coverage, in this case for process certification. Further information on member bodies with an MLA-status of the IAF can be obtained by contacting the IAF Secretariat at the address detailed in the back of ISO/IEC Guide 65.

2.2.2 Scope of Accreditation

The scope of accreditation shall be precisely defined in terms of the field of application and reference to the relevant standard(s) of the conforming food safety management scheme including revision numbers and/or dates.

2.2.3 Categories

Specific area of the food chain. Sub-divisions are indicated in chapter 7.5

3. Certification Body

3.1 General Provisions

(Reference 4.1.3) The criteria against which the process of a supplier is evaluated shall be those outlined in the standards in compliance with the Guidance Document. A full list of conforming standards is available at www.ciesnet.com.

3.2 Operations

(Reference 4.3) The certification body shall evaluate the process on the basis of a site visit in compliance with the guidelines of chapter 7.6. The evaluation shall encompass all the elements of the conforming food safety management scheme. Personnel conducting the evaluation shall be recognised as competent by the certification body within the requirements defined in chapter 7.2.

4. Certification Body personnel/Qualification criteria

(Reference 5) The minimum relevant criteria for the competence of personnel as defined by the certification body shall be in accordance with the qualifications, training and experience defined in chapter 7.2 of this document.

5. Preparation for evaluation

- 5.1 (Reference 9.2) The certification body shall prepare and monitor the plan for any certification activity to include:
- a) A proposal for a site visit date, mutually acceptable to client and certification body
 - b) A proposal for an auditor to undertake a site visit, mutually acceptable to client and certification body
 - c) The duration and frequency of the site visits according to the guidelines mentioned in chapter 7.6.

6. Audit Report

(Reference 11) The audit report shall be prepared by the auditor and include all the requirements listed in chapter 7.3. The report shall be submitted to the certification body for review. Corrective action proposals are considered and the Certification Body shall inform the client of the non-conformities that need to be discharged in order to comply with the certification scheme requirements. Verification of corrective action undertaken by the client must be demonstrated in writing to the certification body.