



# SQF Code

A HACCP-Based Supplier Assurance  
Code for the Food Industry

**Edition 7.1**

**MAY 2013**

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## Introduction to Edition 7.1

The SQF Code was updated and released April 1, 2013 to be implemented July 1, 2013.

Key additions to the SQF Code found in edition 7.1 include:

- Module 3: Food Safety Fundamentals – Good Manufacturing Practices for Animal Feed Production, for those facilities seeking certification for animal feed operations.
- Module 4: Food Safety Fundamentals – Good Manufacturing Practices for Processing of Pet Food Products, for those facilities seeking certification for pet food operations.
- Module 7H: Food Safety Standard – Good Agriculture Practices for Farming of Plant Products (the United Fresh Harmonized Produce Standard), incorporates those elements developed by the Harmonized Produce technical committee for produce food safety for use by those growers who desire to provide product to customers produced under these Standards.

Other edits and changes are summarized in the document, *Summary of Code Changes, edition 7.1* available on the SQFI website (sqfi.com).

SQF Code edition 7.1 is applicable to all certification and recertification audits conducted after July 1, 2013. Those suppliers with an existing SQF certification will be required to upgrade their Systems to meet the requirements of Edition 7.1 for certifications or re-certifications on or after that date.

## Introduction to Edition 7

Welcome to edition 7 of the SQF Code. The SQF Code was redesigned in 2012 for use by all sectors of the food industry from primary production to transport and distribution. It replaced the SQF 2000 Code edition 6 and the SQF 1000 Code edition 5.

The SQF Code is a process and product certification standard. It is a Hazard Analysis Critical Control Points (HACCP)-based food safety and quality management system that utilizes the National Advisory Committee on Microbiological Criteria for Food (NACMCF) and the CODEX Alimentarius Commission HACCP principles and guidelines, and is intended to support industry or company branded product and to offer benefits to suppliers and their customers. Products produced and manufactured under the SQF Code certification retain a high degree of acceptance in global markets.

First developed in Australia in 1994, the SQF program has been owned and managed by the Food Marketing Institute (FMI) since 2003, and was recognized (at level 2) in 2004 by the Global Food Safety Initiative (GFSI)\* as a standard that meets its benchmark requirements. The SQF Code level 3 exceeds the requirements of the GFSI benchmark documents.

The main feature of the SQF Code is its emphasis on the systematic application of HACCP for control of food quality hazards as well as food safety. The implementation of an SQF management system addresses a buyer's food safety and quality requirements and provides the solution for businesses supplying local and global food markets.

Certification of an SQF System by a certification body licensed by the Safe Quality Food Institute (SQFI) is not a statement that the certification body guarantees the safety of a supplier's food or service, or meets all food safety regulations at all times. However, it is an assurance that the supplier's food safety plans have been implemented in accordance with the HACCP method and applicable regulatory requirements and that they have been verified and determined effective to manage food safety. It is also a statement of the supplier's commitment to

1. produce safe, quality food,
2. comply with the requirements of the SQF Code, and
3. comply with applicable food legislation.

Edition 7 of the SQF Code is applicable to all certification and surveillance audits conducted after June 30, 2012. Those suppliers with an existing SQF certification will be required to upgrade their systems to meet the requirements of Edition 7 by that date.

This reference document is published in English, but is also available in other languages. Where there is any divergence between the translated version and the reference document, the reference document will prevail.

For further definition of words used in this document, please refer to *Appendix 2: Glossary*.

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\*The Global Food Safety Initiative (GFSI) is a private organization established by the international trade association, the Consumer Goods Forum. The GFSI maintains a scheme to benchmark food safety standards for manufacturers as well as farm assurance standards.

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Suggestions for improvements to this Code are encouraged from all parties. Written comments are to be sent to SQFI at 2345 Crystal Drive, Suite 800, Arlington, VA, 22202, USA.

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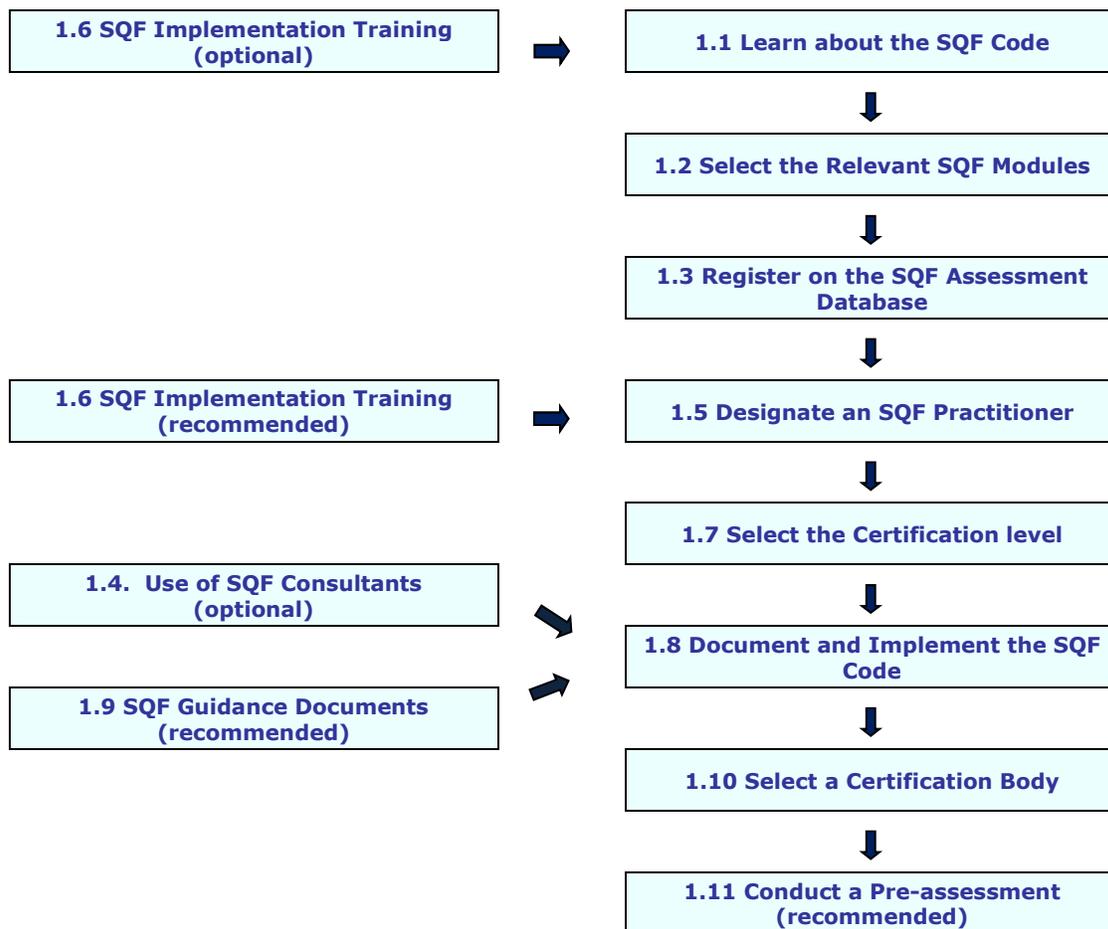
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# Part A: Implementing and Maintaining the SQF Code

## 1. Preparing for SQF Certification

Figure 1: Steps in Preparing for SQF Certification



### 1.1 Learn about the SQF Code

There are several ways to learn how to implement the SQF Code within your food business. The following options are available:

- Attend an "Implementing SQF Systems" training course (refer to 1.6) through a licensed SQF Training Center (recommended);
- Take the online "Implementing SQF Systems" training course available from sqfi.com;
- Train yourself by downloading the SQF Code from sqfi.com free of charge, and read how to apply it to your industry sector;
- and/or demonstrate knowledge of the Code by taking the Implementing SQF Systems online exam.

## 1.2 Select the Relevant SQF Modules

SQFI recognizes that food safety practices differ depending on the food safety risk to the product and the process, and has designed the Code to meet the individual requirements of each industry sector. The supplier can select the relevant modules by visiting the SQF website (sqfi.com), and selecting the most current version of the *SQF Code, Ed. 7* and choose the relevant industry sector(s). Note that *Module 2: SQF System Elements* applies to all industry sectors.

The SQF food sector categories and applicable modules are listed in Table 1. A more detailed list with description, examples, level of risk, and the relationship with the GFSI industry scopes, is provided in Appendix 1.

Table 1: SQF Food Sector Categories and Applicable Modules

SQF Food Sector Category (FSC)	Category (Supplier Scope of Certification)	Applicable SQF Code Modules
1	<b>Production, Capture and Harvesting of Livestock and Game Animals</b>	Module 2: System elements Module 5: GAP for farming of animal products
2	<b>Growing and Harvesting of Animal Feeds</b>	Module 2: System elements Module 3: GMP for animal feed production
3	<b>Growing and Production of Fresh Produce</b>  3A: Fresh produce that will undergo further processing  3B: Ready-to-eat (RTE) produce	Module 2: System elements Module 7: GAP for farming of plant products (fruit and vegetables) Or Module 7H: GAP for farming of plant products
4	<b>Fresh Produce Packhouse Operations</b>	Module 2: System elements Module 10: GMP for pre-processing of plant products
5	<b>Extensive Broad Acre Agriculture Operations</b>	Module 2: System elements Module 8: GAP for farming of grains and pulses
6	<b>Harvest and Intensive Farming of Fish</b>	Module 2: System elements Module 6: GAP for farming of fish
7	<b>Slaughterhouse, Boning and Butchery Operations</b>	Module 2: System elements Module 9: GMP for pre-processing of animal products
8	<b>Processing of Manufactured Meats and Poultry</b>	Module 2: System elements Module 11: GMP for processing of food products
9	<b>Seafood Processing</b>	Module 2: System elements Module 11: GMP for processing of food products
10	<b>Dairy Food Processing</b>	Module 2: System elements Module 11: GMP for processing of food products
11	<b>Honey Processing</b>	Module 2: System elements Module 11: GMP for processing of food products
12	<b>Egg Processing</b>	Module 2: System elements Module 11: GMP for processing of food products
13	<b>Bakery and Snack Food Processing</b>	Module 2: System elements Module 11: GMP for processing of food products
14	<b>Fruit and Vegetable Processing</b>	Module 2: System elements Module 11: GMP for processing of food products
15	<b>Canning, Pasteurizing (except dairy), UHT and Aseptic Operations</b>	Module 2: System elements Module 11: GMP for processing of food products
16	<b>Ice, Drink and Beverage Processing</b>	Module 2: System elements Module 11: GMP for processing of food products
17	<b>Confectionary Manufacturing</b>	Module 2: System elements Module 11: GMP for processing of food products
18	<b>Preserved Foods Manufacture</b>	Module 2: System elements Module 11: GMP for processing of food products

SQF Food Sector Category (FSC)	Category (Supplier Scope of Certification)	Applicable SQF Code Modules
19	<b>Food Ingredient Manufacture</b>	Module 2: System elements Module 11: GMP for processing of food products
20	<b>Recipe Meals Manufacture</b>	Module 2: System elements Module 11: GMP for processing of food products
21	<b>Oils, Fats, and the Manufacture of Oil or Fat-based Spreads</b>	Module 2: System elements Module 11: GMP for processing of food products
22	<b>Processing of Cereal Grains and Nuts</b>	Module 2: System elements Module 11: GMP for processing of food products
23	<b>Food Catering and Food Service Operations</b>	Not available <sup>1</sup>
24	<b>Food Retailing</b>	Not available <sup>1</sup>
25	<b>Fresh Produce Wholesaling and Distribution</b>	Module 2: System elements Module 12: GMP for transport and distribution of food products
26	<b>Food Wholesaling and Distribution</b>	Module 2: System elements Module 12: GMP for transport and distribution of food products
27	<b>Manufacture of Food Sector Packaging Materials</b>	Module 2: System elements Module 13: GMP for production of food packaging
28	<b>Provision of Crop Spray Services</b>	Not available <sup>1</sup>
29	<b>Provision of Field Harvest Services</b>	Not available <sup>1</sup>
30	<b>Provision of Sanitation and Hygiene Services</b>	Not available <sup>1</sup>
31	<b>Manufacture of Dietary Supplements</b>	Module 2: System elements Module 11: GMP for processing of food products
32	<b>Manufacture of Pet Food</b>	Module 2: System elements Module 4: GMP for processing of pet food products
33	<b>Manufacture of Agricultural Chemicals and Food Processing Aides</b>	Module 2: System elements Module 11: GMP for processing of food products
34	<b>Manufacture of Animal Feeds</b>	Module 2: System elements Module 3: GMP for animal feed production
35	<b>Broker or Agent</b>	Module 2: System elements Module 14: GMP for brokers or agents

<sup>1</sup> These modules will be completed when the GFSI Guidance becomes available

Some suppliers are vertically integrated businesses and may include primary production and processing. For example, aquaculture sites that both produce and process seafood, would select FSC 6, and 9, and be required to implement the following modules if they require certification across the entire process:

- Module 2: System elements
- Module 6: GAP for farming of fish
- Module 11: GMP for processing of food products

However if the supplier is only processing seafood, FSC 9 is the relevant industry sector, and the site will implement the requirements of the following modules:

- Module 2: System elements
- Module 11: GMP for processing of food products

### **1.3 Register in the SQF Assessment Database**

To be considered for SQF certification, suppliers are required to register in the SQF assessment database. The database can be accessed from the SQFI website (sqfi.com).

Registration is annual, and there is a fee per supplier site payable at registration and renewal. The fee scale is dependent on the size of the site as determined by gross annual sales revenue. The fee scale is available on sqfi.com.

Suppliers must register with SQFI prior to achieving certification, and must remain registered at all times to retain their certification. If the supplier fails to maintain registration, the supplier certificate will be invalid until the facility is properly registered in the assessment database.

### **1.4 Use of SQF Consultants**

Suppliers can choose to develop and implement their SQF System using their own qualified resources or they can utilize the services of an SQF consultant. All SQF consultants are registered by the SQFI to work in specific food sector categories (refer Table 1 and Appendix 1). They are issued with an identity card indicating the food sector categories in which they are registered. Suppliers are encouraged to confirm an SQF consultant's registration details at sqfi.com before engaging their services. The criteria outlining the requirements necessary to qualify as an SQF consultant and the application forms are available at sqfi.com. The SQF Consultant Code of Practice outlines the practices expected of SQF consultants.

### **1.5 Designate an SQF Practitioner**

Whether or not an SQF consultant is used, the SQF Code requires that every supplier have a suitably qualified SQF practitioner on site to validate and verify the food safety fundamental requirements, food safety plans (at level 2) and food quality plans (at level 3). The requirements for an SQF practitioner are described in 2.1.2.4 and 2.1.2.5 of the SQF Code. Some sites may choose to have more than one SQF practitioner to meet shift and operational requirements.

### **1.6 SQF Implementation Training**

A two-day "Implementing SQF Systems" training course is available through the SQFI network of licensed training centers. Employees who are responsible for designing, implementing and maintaining the requirements of the SQF Code are encouraged to participate in a training course. Details about the training centers and the countries in which they operate are available at sqfi.com. The dates and locations of the courses can be obtained by contacting the training centers on sqfi.com.

The "Implementing SQF Systems" training course is not mandatory for SQF practitioners, but is strongly recommended.

The SQFI also has an "Implementing SQF Systems" online training course which can be accessed from the SQFI website (sqfi.com). The online training solution is a web-based education portal where staff can enroll and complete SQF Systems training in their own time and at their own pace.

Training in other food industry disciplines, such as HACCP, Good Agriculture/Aquaculture/Manufacturing Practices (GAP/GMP), and Internal Auditing may also be required and training centers can provide details of the other training courses they provide.

### **1.7 Select the Certification Level**

The supplier must choose one of three levels of certification, based on the needs of their customer and the stage of development of the supplier's food safety and quality management system. The three levels of certification are:

Level 1 Food Safety Fundamentals: An entry level for new and developing businesses covering only GAP/GMP/GDP requirements and basic food safety elements (Module 2);

Level 2 Certified HACCP Based Food Safety Plans: Incorporates all Level 1 system requirements and additionally requires that a food safety risk analysis of the product and its associated processes has been completed to identify the hazards and the action taken to eliminate, prevent or reduce their occurrence. System elements in Module 2 at level 2 are required;

Level 3 Comprehensive Food Safety and Quality Management System: Incorporates all Level 1 and Level 2 system elements and indicates that a food quality risk analysis of the product and its associated process has been completed, that the actions taken to prevent the incidence of poor quality have been implemented. System elements in Module 2 at level 3 are required.

### **1.8 Document and Implement the SQF Code**

To achieve SQF certification, the supplier must document and implement the relevant modules of the SQF Code, at the level required (refer to 1.7). This requires a two stage process:

**Document the SQF System** – prepare policies, procedures, work instructions and specifications that meet the relevant modules of the SQF Code. In other words, “say what you do.”

**Implement the SQF System** – implement the prepared policies, procedures, work instructions and specifications, and keep records to demonstrate compliance to the relevant modules of the SQF Code. In other words, “do what you say.” SQFI recommends that a minimum of two months of records be available before a site audit is conducted.

### **1.9 SQF Guidance Documents**

Guidance documents are available for some SQF modules and food sector categories from the SQFI website (sqfi.com). These documents are available to help the supplier interpret the requirements of the SQF Code and assist with documenting and implementing an SQF System. The documents are developed with the assistance of food sector technical experts.

The guidance documents are available to assist the supplier, but are not auditable documents. Where there is a divergence between the guidance document and the SQF Code, the SQF Code (English) prevails.

### **1.10 Select a Certification Body**

Certification bodies are licensed by SQFI to conduct SQF audits and issue the SQF certificate of registration. SQFI licensed certification bodies are required to be accredited to the international standard ISO/IEC 17065 and be subject to annual assessments of their certification activities by SQFI licensed accreditation bodies.

The supplier is required to have an agreement with a certification body in place at all times which outlines the SQF audit and certification services provided. These include as a minimum:

- i. The scope of the audit and expected time to conduct and finalize the audit and the reporting requirements;
- ii. The certification body’s fee structure;
- iii. The conditions under which the SQF certificate be issued, withdrawn or suspended; and
- iv. The certification body’s appeals, complaints and disputes procedure.

A current list of licensed certification bodies is available on the SQFI website (sqfi.com) and includes their countries of operation. Certification bodies are also listed in the SQF assessment database and suppliers can request a quote or select a certification body online once they have registered.

### **1.11 Conduct a Pre-assessment Audit**

A pre-assessment audit is not mandatory, but is recommended to provide a ‘health check’ of the supplier’s implemented SQF System. A pre-assessment audit can assist in identifying gaps in the supplier’s SQF System so that corrective action can occur before engaging the selected certification body for a full certification audit. It can be conducted using internal resources, an SQF consultant, or an SQF auditor.

Suppliers that have registered in the SQF assessment database can download an assessment checklist free of charge to utilize in a pre-assessment audit.

## **2. The Initial Certification Process**

### **2.1 Selection of the SQF Auditor(s)**

SQF auditors must be employed by or contracted to an SQFI licensed certification body, and must be registered with the SQFI.

The certification body selects the most appropriate qualified SQF auditor for the supplier's SQF certification audit. The SQF auditor must be registered for the same food sector category (ies) as the supplier. The certification body shall ensure no SQF auditor conducts audits of the same supplier for more than three consecutive certification cycles.

The certification body must advise the supplier of the name of the SQF auditor at the time that the SQF audit is scheduled. The supplier may check the registration and food sector category (ies) of the SQF auditor on the register at sqfi.com.

### **2.2 Identifying the Scope of Certification**

SQF certification is site and product specific. When activities are carried out in different premises but are overseen by the same senior, operational, and technical management, and are covered by the one SQF System, the site can be expanded to include those premises.

The scope of certification forms part of the certificate of registration. It describes the food sector categories (refer to Appendix 1) and the products processed and handled on that site. The certificate of registration outlines the location of the site and nature and extent of the supplier SQF certification.

If the supplier elects to exclude processes or products from the scope of certification, the excluded products shall not be listed on the certificate of registration, and must not be promoted as being covered by the certification. Instances where promotion of excluded products or processes are identified and substantiated (either by regular audit or by other means) shall result in immediate withdrawal of the SQF certification.

### **2.3 The Certification Audit**

The SQF certification audit consists of two stages:

- i. The desk audit is undertaken to verify that the supplier's SQF System documentation meets the requirements of the SQF Code.
- ii. The facility audit is conducted on site and determines the effective implementation of the supplier's documented SQF System.

Where a supplier operates under seasonal conditions (a period in which the major activity is conducted over five (5) consecutive months or less) the certification audit shall be completed within thirty (30) days from the start of the season.

### **2.4 Identifying the Scope of the Audit**

The supplier and the certification body shall agree on the audit scope before the certification audit begins. The scope of the audit shall cover the required level of certification (refer to Module 2), the food sector categories, and the products listed under the scope of certification for a site. The audit scope shall cover all processes under the control of the supplier including from raw material receipt to shipment of finished product.

Once the audit scope is agreed between the supplier and the certification body, it cannot be changed once the audit has commenced.

### **2.5 Audit Duration Guide**

Once the certification body and supplier have agreed on the scope of certification, the number of different processes and products manufactured and handled on the site, the certification body shall provide the supplier with an estimate of the time it will take to complete the certification audit.

The audit times will vary according to the size and complexity of the site operations. Factors that can impact on the audit duration includes:

- i. The scope of the audit;
- ii. The size of the site and the design of product and people flows;
- iii. The number and complexity of product lines and the overall process;

- iv. Whether the product is high or low risk;
- v. The complexity of the SQF System design and documentation;
- vi. The level of mechanization and labor intensiveness;
- vii. The ease of communication with company personnel (consider different languages spoken);
- viii. The cooperation of the supplier's personnel.

Tables 2 and 3 provide a guide to the duration of an SQF certification audit. Justification is required if the certification body deviates from this guide by greater than thirty (30) percent.

**Table 2: Desk Audit Duration Table**

Standard	Basic duration (days)
SQF Level 1	0.5 days
SQF Level 2	1.0 days
SQF Level 3	1.0 days

**Table 3: Facility Audit Duration Table**

Step 1	Step 2	Step 3	
Standard	Basic duration (days) (includes three HACCP plans)	Additional Days based on Number of employee	Additional Days based on Size of Facility
SQF Level 1	1.0	1 to 200 = 0 201 to 400 = 0.5	0 – 200,000 ft <sup>2</sup> = 0 (0 – 19,000 m <sup>2</sup> = 0)
SQF Level 2	1.5	401 to 600 = 1.0 601 to 1000 = 1.5	200,000 – 300,000 ft <sup>2</sup> = 0.5 (19,000 – 27,000 m <sup>2</sup> = 0.5)
SQF Level 3	2.0	1001 to 2500 = 2.0 2501 to 4000 = 2.5 > 4,000 = 3.0	300,000 – 500,000 ft <sup>2</sup> = 1.0 (27,000 – 46,000 m <sup>2</sup> = 1.0)
			> 500,000 ft <sup>2</sup> = 2.0 (> 46,000 m <sup>2</sup> = 2.0)
Additional time for each HACCP plan(s) (where there are multiple / different plans)	0.5 day per additional 3 HACCP plans or 3 additional production/manufacturing processes		

In addition to audit time, the certification body shall provide the supplier with the time and expected costs for planning, travel, report writing, and close out of non-conformities.

## 2.6 The Desk Audit

An independent desk audit is conducted by the certification body for initial certification. The desk audit is conducted by a registered SQF auditor appointed by the certification body, and ensures:

- i. An appropriately qualified SQF practitioner is designated;
- ii. The food safety plan (at level 2) and the associated Critical Control Point (CCP) determinations, validations and verifications are appropriately documented and endorsed by the SQF practitioner;
- iii. The food quality plan (at level 3) and the associated Critical Quality Point (CQP) determinations, validations and verifications are appropriately documented and endorsed by the SQF practitioner;
- iv. The documented system is relevant to the scope of certification and the products processed there under.

The certification body shall notify the supplier of corrections or corrective action, or any aspects of the SQF System that require improvement or adjustment. The certification body will also verify that all corrections or corrective action for major and minor non-conformances have been addressed before proceeding with a facility audit.

## 2.7 The Facility Audit

The facility audit is conducted on site by the SQF auditor appointed by the certification body. It is conducted at a time agreed between the supplier and the certification body, when the main processes are operating, and/or during the main part of the season (if applicable). The facility audit must include a review of the entire facility, including the inside and outside of the building, regardless of the scope of certification. The facility audit determines if the SQF System is effectively implemented as documented. It establishes and verifies the:

- i. Effectiveness of the SQF System in its entirety;
- ii. Food safety hazards (level 2) and food quality hazards (level 3) are effectively identified and controlled;
- iii. Effective interaction between all elements of the SQF System; and
- iv. Level of commitment demonstrated by the supplier to maintaining an effective SQF System and to meeting their food safety regulatory and customer requirements.

## 2.8 System Elements

All applicable elements of Module 2 and the relevant GAP/GMP module(s) shall be checked as part of the certification audit. Where an element is not applicable and appropriately justified, it shall be stated so by the auditor in the audit report.

Within module 2 the elements listed below are mandatory elements that cannot be reported as "not applicable" or "exempt" and must be audited and compliance/non-compliance reported. The mandatory elements are:

- 2.1.1 Management Policy
- 2.1.2 Management Responsibility
- 2.1.3 Food Safety and Quality Management System
- 2.1.4 Management Review
- 2.2.1 Document Control
- 2.2.2 Records
- 2.4.1 Food Legislation
- 2.4.2 Food Safety Fundamentals
- 2.4.3 Food Safety Plan (at level 2, 3)
- 2.4.4 Food Quality Plan (at level 3)
- 2.4.8 Product Release
- 2.5.2 Validation and Effectiveness
- 2.5.4 Verification and Monitoring
- 2.5.5 Corrective and Preventative Action
- 2.5.7 Internal Audit
- 2.6.1 Product Identification
- 2.6.2 Product Trace
- 2.6.3 Product Withdrawal and Recall
- 2.7.1 Food Defense
- 2.9.2 Training Program

Mandatory elements are designated with an "M" in Module 2 of the SQF Code.

## 2.9 Non-conformities

Where the SQF auditor finds deviations from the requirements of relevant modules of the SQF Code, the auditor shall advise the supplier of the number, description, and extent of the non-conformities. Non-conformities may also be referred to as non-conformances. Non-conformities against the SQF Code shall be graded as follows:

- **A minor non-conformity** is an omission or deficiency in the SQF System that produces unsatisfactory conditions that if not addressed may lead to a risk to food safety and quality but not likely to cause a System element breakdown.
- **A major non-conformity** is an omission or deficiency in the SQF System producing unsatisfactory conditions that carry a food safety or quality risk and likely to result in a System element breakdown.

- **A critical non-conformity** is a breakdown of control(s) at a critical control point, a pre-requisite program, or other process step and judged likely to cause a significant public health risk and/or where product is contaminated.
- **A critical non-conformity** is also raised if the supplier fails to take effective corrective action within the timeframe agreed with the certification body, or if the certification body deems that there is systemic falsification of records relating to food safety controls and the SQF System.

Critical non-conformities cannot be raised at desk audits.

Timelines for the resolution of corrective actions are addresses in *Part A: 3.2 Facility Corrective Actions*

## **2.10 Opportunities for Improvement**

Opportunities for improvement are observations made by the auditor during a facility audit that identify issues that are not non-conformances but recognize that the practices conducted by the supplier are not industry best practice. They do not require a corrective action response by the supplier, but provide the supplier with an opportunity to improve their SQF System.

## **2.11 The Audit Report**

The SQFI provides the certification body with the electronic audit checklist to be used by the SQF auditors when conducting SQF audits. The audit checklist is available from the SQF assessment database and is customized for SQF level and industry sector. The SQF checklist is designed to ensure the uniform application of SQF audit requirements. It is used by SQF auditors to record their findings and determine the extent to which supplier operations comply with stated requirements.

Mandatory elements (refer to 2.8 above) must be reported for the audit report to be submitted.

Deviations identified during the SQF audit shall be accurately described in the audit report and corrective action requests raised which fully describe the clause of the SQF Code and the reason for the non-conformity.

The electronic audit report must be completed by the SQF auditor and uploaded to the certification body for technical review.

The certification body shall make the audit report available to the supplier within ten (10) calendar days from the last day of the audit.

The SQF audit report shall remain the property of the certification body's client (the supplier) and shall not be distributed to other parties without the permission of that client.

### 3. The Initial Certification Decision

#### 3.1 Responsibility for the Certification Decision

It is the responsibility of the certification body to ensure that audits undertaken by their SQF auditors are thorough, that all requirements are fulfilled, and the audit report is complete. The certification decision shall be taken by the certification body based on the evidence of compliance and non-conformity collected by the SQF auditor during the SQF audit. Although SQFI provides guidance on certification, the certification body is responsible for deciding whether or not certification is justified and granted.

Any certification decisions that are made outside the scope of this *Section 3: The Certification Decision* requires the certification body to provide written justification to SQFI.

#### 3.2 Facility Audit Corrective Actions

All non-conformities and their resolution shall be documented by the SQF auditor.

A minor non-conformity shall be corrected, verified and closed out within thirty (30) calendar days of the completion of the facility audit. Extensions may be granted by the certification body where there is no immediate threat to product safety and quality, and alternative, temporary methods of control are initiated. The supplier shall be advised of the extended timeframe. Extended timeframes for close out of minor non-conformities shall not impede and delay certificate issuance.

A major non-conformity shall be corrected and appropriate corrective action verified and closed out within fourteen (14) calendar days of the completion of the facility audit.

In circumstances where the corrective action involves structural change or cannot be corrected due to seasonal conditions or installation lead times, this period can be extended provided the corrective action time frame is acceptable to the certification body and temporary action is taken by the supplier to mitigate the risk to product safety or quality. In such cases, the non-conformity shall be closed out on the SQF database and the auditor shall document all details of justification of the extension, how the risk is being controlled, and the agreed completion date.

If the SQF auditor considers that a critical non-conformity exists during a facility audit, the auditor shall immediately advise the supplier and notify the certification body. A critical non-conformity raised at a certification audit results in an automatic failure of the audit, and the supplier must re-apply for certification (refer to 3.5 below).

#### 3.3 Audit Score and Rating

Based on the evidence collected by the SQF auditor, each applicable aspect of the SQF facility audit is automatically scored when the audit report is uploaded to the SQF assessment database. Desk audits are not scored.

The calculation uses the following factors:

0	aspect meets the criteria
1	aspect does not meet the criteria due to minor variations (minor non-conformity)
10	aspect does not meet the criteria (major non-conformity)
50	aspect does not meet the criteria (critical non-conformity)

A single rating is calculated for the facility audit as  $(100 - N)$  where N is the sum of the individual rating criteria allocated. The rating provides an indication of the overall condition of the supplier's site against the SQF Code, and also provides a guideline on the required level of surveillance by the certification body. The audit frequency at each rating level is indicated as follows:

Score	Rating	Certification <sup>1</sup>	Audit Frequency
96 - 100	E - Excellent	Certificate issued	12 monthly re-certification audit
86 - 95	G - Good	Certificate issued	12 monthly re-certification audit
70 - 85	C - Complies	Certificate issued	6 monthly surveillance audit
0 - 69	F - Fails to comply	No certificate issued	Considered to have failed the SQF audit

<sup>1</sup> Certification also requires that all major non-conformities are closed out within fourteen (14) calendar days and minor non-conformities within thirty (30) calendar days, or an agreed extended timeline (refer to 3.2 above).

### **3.4 Granting Certification**

Certification of SQF System shall be awarded to suppliers that achieve a "C - complies" audit rating or greater with no outstanding non-conformities. The certification decision shall be made within forty-five (45) calendar days of the last day of the facility audit. Once SQF certification is granted, the SQFI issues a unique certification number which is specific to that supplier's site.

Within ten (10) calendar days of granting certification, the certification body shall provide an electronic and/or hard copy of the supplier's certificate of registration to the supplier. The certificate of registration is valid for twelve (12) months from the date the certification decision was taken, and shall be in a form approved by the SQFI.

The certificate of registration shall include:

- i. The name, address and logo of the certification body;
- ii. The logo of the accreditation body, and the certification body's accreditation number;
- iii. The heading "Certificate of Registration;"
- iv. The phrase "(Supplier name) is registered as meeting the requirements of the SQF Code, edition 7;"
- v. The level of certification and the description;
- vi. The scope of registration – food sector category (ies) and products;
- vii. Dates of audit (last day), date of next re-certification audit, date of certificate issue, and date of certificate expiry;
- viii. Signatures of the authorized officer and issuing officer;
- ix. SQF quality shield (level 3) and logo.

For level 3 suppliers, the certification body shall provide an electronic copy of the SQF quality shield containing the certification body name and the supplier certification number.

### **3.5 Failure to Comply**

Where a supplier achieves an "F – fails to comply" rating at a certification audit, the supplier is considered to have failed the SQF audit. The supplier must then re-apply for another facility audit.

When the supplier's re-application occurs within six (6) months of the last audit date, and with the same certification body, a facility audit shall be scheduled but a desk audit is not required. If the re-application occurs after six (6) months from the last audit date, or with a new certification body, then a desk audit and facility audit are required.

## **4 Surveillance and Recertification**

### **4.1 Maintaining Certification**

To maintain SQF certification, a supplier is required to attain a "C - complies" audit rating or greater at re-certification audits, ensure that surveillance and/or re-certification audits occur within the required timeframe, ensure that no critical non-conformities are raised at surveillance or re-certification audits, and that all major and minor non-conformities are corrected within the time frame specified.

### **4.2 Surveillance Audit**

The surveillance audit is conducted when the supplier attains a "C - complies" rating at a certification audit or re-certification audit. The surveillance audit shall be conducted within thirty (30) calendar days either side of the six (6) month anniversary of the last day of the previous certification or re-certification audit. There is no score or rating calculated for surveillance audits.

The purpose of the surveillance audit is to:

- i. Verify the continued efficacy of corrections and corrective actions closed out at previous audits;
- ii. Verify that the SQF System continues to be implemented as documented;
- iii. Consider and take appropriate action where changes to the supplier's operations are made and the impact of those changes on the supplier's SQF System;
- iv. Confirm continued compliance with the requirements of the SQF Code;
- v. Verify all critical steps remain under control; and
- vi. Contribute to continued improvement of the supplier's SQF System and business operation.

Major or minor non-conformities raised at the surveillance audit shall be closed out as indicated in section 3.2. The supplier's certificate of registration shall be suspended by the certification body if:

- i. The supplier fails to permit the surveillance audit within the required timeframe;
- ii. A critical non-conformity is raised at the surveillance audit, or
- iii. The supplier fails to close out major or minor non-conformities within the agreed timeframe.

### **4.3 Recertification Audit**

The re-certification audit of the SQF System is undertaken to verify the continued effectiveness of the supplier's SQF System in its entirety.

The re-certification audit shall be conducted within thirty (30) calendar days either side of the anniversary of the last day of the initial certification audit. The re-certification audit score is calculated in the same way as the initial certification audit, and the same rating applied (refer to 3.3 above).

In exceptional circumstances such as operational or seasonal requirements, the re-certification date may be moved earlier than the anniversary by mutual agreement between the supplier and the certification body, and the new recertification date fixed as the new initial certification audit date.

The purpose of the re-certification audit is to:

- i. Verify the continued efficacy of corrections and corrective actions closed out at previous audits;
- ii. Verify that the SQF System continues to be implemented as documented;
- iii. Consider and take appropriate action where changes to the supplier's operations are made and the impact of those changes on the supplier's SQF System;
- iv. Verify all critical steps remain under control and the effective inter-action between all elements of the SQF System;
- v. Verify the overall effectiveness of the SQF System in its entirety in the light of changes in operations;
- vi. Verify that the supplier continues to demonstrate a commitment to maintaining the effectiveness of the SQF System and to meeting regulatory and customer requirements; and
- vii. Contribute to continued improvement of the supplier's SQF System and business operation.

#### 4.4 Variations to the Re-certification Process

The requirements for the re-certification audit are the same as those described in sections 2.1 – 3.4 for the certification audit, with the following exceptions:

- i. An independent desk audit is not required as part of a re-certification audit. However an integrated desk and facility audit shall be conducted at each re-certification. The supplier's documentation shall be reviewed as necessary as part of the facility audit.
- ii. If the supplier fails to permit the re-certification audit within the agreed timeframe, the certification body shall immediately suspend the supplier's certificate of registration.
- iii. If the supplier receives an "F – fails to comply" rating at the re-certification audit or a critical non-conformity at a surveillance audit, the certification body shall immediately suspend the supplier's certificate of registration.

If the supplier fails to close out non-conformities within the agreed timeframe, the certification body shall immediately suspend the supplier's certificate of registration.

#### 4.5 Suspending Certification

The certification body shall suspend the SQF certificate of registration where the supplier receives an "F – fails to comply" rating, or where the supplier fails to take corrective action within the timeframe specified.

Where the supplier's certificate of registration is suspended, the certification body shall immediately amend the supplier details on the SQFI database to a suspended status indicating the reason for the suspension and the date of effect; and in writing:

- i. Inform the supplier of the reasons for the action taken and the date of effect;
- ii. Copy the senior technical director of SQFI on the notice of suspension sent to the supplier,
- iii. Request that the supplier provides to the certification body, within forty-eight (48) hours of receiving notice of the suspension, a detailed corrective action plan outlining the corrective action to be taken.

When the supplier's certificate of registration is suspended, the certification body shall upon receipt of the detailed corrective action plan:

- iv. Verify that the immediate correction has been taken by the means of an on-site audit and within thirty (30) calendar days of receiving the corrective action plan;
- v. When corrective action has been successfully implemented, re-instate the supplier status on the SQFI database and give written notice to the supplier that their certificate of registration is no longer suspended;
- vi. Not more than six (6) months after suspension, the certification body shall conduct a surveillance audit to verify the effective implementation of the corrective action plan and that the supplier SQF System is achieving stated objectives (Seasonal clients may delay their surveillance audit until the commencement of the new season.); and
- vii. Copy SQFI on the notice indicating lifting of the suspension sent to the supplier.

When a certification body has suspended a supplier's SQF certificate of registration, for the duration of suspension, the supplier shall not represent itself as holding an SQF certificate of registration.

Level 3 suppliers must comply with *Reference Appendix 3: SQF Quality Shield and Logo Rules of Use*.

#### 4.6 Withdrawing Certification

The certification body shall withdraw the certificate of registration when the supplier:

- i. Has been placed under suspension and fails to submit approved corrective action plans as defined by the certification body, or take approved corrective action as determined by the certification body within the time frames specified;
- ii. Has falsified its records;
- iii. Fails to comply with the certificate of registration; or
- iv. Has an administrator, receiver, receiver and manager, official manager or provisional liquidator appointed over its assets or where an order is made or a resolution passed for the closure of the supplier (except for the purposes of amalgamation or reconstruction) or the supplier ceases to carry

on business or becomes bankrupt, applies to take the benefit of any law for the relief of bankrupt or insolvent debtors or makes any arrangement or composition with its creditors.

In addition, a level 3 supplier shall comply with *Reference Appendix 3: SQF Quality Shield and Logo Rules of Use*.

When the supplier's certificate of registration is withdrawn, the certification body shall immediately amend the supplier's details on the SQF assessment database to a "withdrawn" status indicating the reason for the withdrawal and the date of effect; and in writing:

- i. Inform the supplier that the SQF certificate of registration has been withdrawn, the reason for such action and the date of effect; and
- ii. Copy SQFI on the notice of suspension sent to the supplier,
- iii. Instruct the supplier to return the certificate of registration;

In addition, for level 3 suppliers, the certification body must comply with *Reference Appendix 3: SQF Quality Shield and Logo Rules of Use*.

A supplier that has their certificate of registration withdrawn must re-apply for certification.

## 5 Obligations of Suppliers and Certification Bodies

### 5.1 Changing the Scope of Certification

When a supplier desires to add food sector categories or products to their scope of certification, the supplier shall request the increased scope of certification in writing to the certification body. The certification body shall determine whether or not an audit of the additional process or products is required. This will depend on the product risk, similarities to existing processes and products, and proximity to the next scheduled audit date.

Based on this determination, the certification body shall either issue a new certificate of registration, or advise the supplier in writing why the new certificate cannot be issued.

When a new certificate of registration is issued, the certification body shall make the appropriate changes to the supplier record on the SQFI database.

### 5.2 Changing the Certification Body

A supplier can change its certification body after one certification cycle and only when there has been closure of all outstanding non-conformities, provided that the certification is not suspended or under threat of suspension or withdrawal.

When a supplier is on a "C - complies" rating and a surveillance audit is required, the change of certification body can only occur after the surveillance audit is conducted.

When a supplier changes certification bodies, the certificate of registration issued by the old certification body remains valid until the expected expiration date. The certification number and re-certification date are transferred with the supplier to the new certification body.

The new certification body shall undertake a pre-transfer review of the supplier's certification to:

- i. Confirm the certificate of registration is current, valid and relates to the SQF System so certified.
- ii. Confirm the supplier's food sector category falls within the new certifier's scope of accreditation.
- iii. Confirm any complaints received are actioned;
- iv. Review the supplier's audit history (where the supplier can demonstrate such history to the satisfaction of the new certifier by way of copies of audit reports completed by any former certifier) and the impact of any outstanding non-conformities.
- v. Confirm the stage of the current certification cycle.

### 5.3 Notification of Product Recalls and Regulatory Infringements

Upon identification that a certified supplier initiates a food safety event that requires public notification (such as Class I or Class II recall, or the receipt of a regulatory warning letter), the supplier shall notify the certification body and the SQFI in writing at [foodsafetycrisis@sqfi.com](mailto:foodsafetycrisis@sqfi.com) within twenty-four (24) hours of the event. The supplier's selected certification body and the SQFI shall be listed in the supplier's essential contacts lists as defined in Module 2, element 2.6.3 of the SQF Code.

The certification body shall notify the SQFI within a further forty-eight (48) hours of any action they intend to take to ensure the integrity of the certification.

### 5.4 Change of Ownership

When a certified supplier's business has been sold and the business name is retained, the new owner shall, within thirty (30) calendar days of the change of ownership, notify the certification body and apply to retain the SQF certification and the existing certification number. In cases where the ownership of a certified supplier changes but the staff with major responsibility for the management and oversight of the SQF System has been retained, the certification body may retain the existing audit frequency status. In making this application, the certification body shall determine that staff with major responsibility for the management and oversight of the SQF System has been retained.

If there are significant changes in site management and personnel, the certification body shall complete a certification audit and issue a new certificate of registration and a new certification number. The audit frequency applicable to a new certification shall apply.

### **5.5 Relocation of Premises**

When a certified supplier relocates the business premises, the supplier's certificate of registration is no longer valid until a successful re-certification of the new premises is conducted.

### **5.6 Use of a Technical Expert**

Technical experts may be used to assist SQF auditors in audits where the auditor is SQF registered but not in the supplier's food sector category, or in high risk audits where the audit would benefit from expert technical advice.

The use of a technical expert to assist an SQF auditor in the performance of an SQF audit is permitted provided the supplier has been notified before the audit and accepts their participation. The technical expert must sign a confidentiality agreement with the certification body.

Before the audit, the certification body must submit the technical qualifications of the technical expert and the justification for use of the technical expert to the senior technical director, SQFI.

### **5.7 Language**

The certification body shall ensure that the SQF auditor conducting the audit can competently communicate in the oral and written language of the supplier being audited.

In circumstances where a translator is required, the translator shall be provided by the certification body and shall have knowledge of the technical terms used during the audit; be independent of the supplier being audited and have no conflict of interest. The supplier shall be notified of any increase in audit duration and cost associated with the use of a translator.

For the purpose of resolving a conflict, the English version of the SQF Code shall be the deciding reference.

### **5.8 Conflict of Interest**

The certification body shall ensure that all certification activities are separately controlled and managed (including the development of policy and practices) from any consulting activity. It shall preclude any prospective SQF auditor from undertaking any audit in relation to the certification of SQF System that constitute a conflict of interest as outlined below or any other condition that could lead to a conflict of interest.

SQF auditors shall not audit anywhere they have participated in a consulting role involving the supplier in question, or anybody related to the supplier, within the last two (2) years (considered to be participating in an active and creative manner in the development of the SQF System to be audited, including the development of food safety plans). Consulting includes, but is not limited to, activities such as:

- i. Producing or preparing food safety plans, food quality plans, manuals, handbooks or procedures.
- ii. Participating in the decision making process regarding SQF System.
- iii. Giving advice – as a consultant or otherwise – toward the design, documentation, development, validation, verification, implementation or maintenance of SQF System; and
- iv. Deliver or participate in the delivery of an "in-house" training service at which advice and instruction on the development and implementation of food safety plans and SQF System for eventual certification is provided.

The certification body shall ensure that an SQF auditor discloses any existing, former or proposed link between themselves or their organization and the supplier.

The certification body shall ensure through organizational structure that no potential conflict of interest, consulting, or training occurs from auditors contracted or employed by the certification body to existing or potential supplier within the SQF program.

A supplier can refuse the service of an SQF auditor when they consider the auditor has a conflict of interest, or for other reasons. In such circumstances the supplier shall outline the reasons in writing to the certification body.

### **5.9 Complaints, Appeals and Disputes**

The certification body shall document its procedure for handling and resolving appeals, complaints and disputes made by a supplier, or made by another party about a supplier.

When a supplier has cause to register a complaint about a certification body's activities, or appeals or disputes a decision made by a certification body, including the activities and decisions of its auditors, the certification body

shall investigate and resolve these matters without delay and keep a record of all complaints, appeals and disputes and their resolution.

When a certification body receives a complaint about a supplier from other parties, the certification body is required to investigate and resolve the matter without delay and keep a record of all complaints, appeals and disputes and their resolution.

Appeals regarding decisions on the suspension and/or withdrawal of the SQF certification by a certification body shall not delay the decision to suspend or withdraw the certification.

When upon investigation of a complaint it is determined that there has been a substantiated breakdown of a supplier's SQF System or any other condition not in accordance with the SQF Code and/or other supporting documents, the certification body shall suspend certification as outlined in section 4.4 above.

Where a complaint is registered about the conduct or behavior of an auditor or certification body personnel, the certification body shall investigate and resolve the complaint without delay and keep a record of all complaints and their resolution.

Records of complaints and investigations shall be available to the SQFI upon request. Where a complaint, appeal or dispute cannot be satisfactorily resolved between the supplier and the certification body, the matter shall be referred to the SQFI complaints and appeals procedure.

## Part B: The SQF Code

### Module 1: Scope, References and Definitions

#### a) Scope

The SQF Code outlines the requirements for a supplier involved in the primary production, manufacture, processing, transport, storage, distribution or retailing of food products and food-contact packaging.

The SQF Code describes the auditable requirements that must be met by the supplier to achieve certification to the SQF Code. It is divided into modules that must be met, commensurate with the producer or food supplier's food industry sector.

**Module 2: SQF System Elements:** This module defines the food safety management requirements for all suppliers throughout the supply chain. Module 2 can be certified at three levels by SQFI licensed certification bodies accredited to ISO 17065:2011. The levels are:

**Level 1** is an entry level for new and developing businesses. Covering only GAP/GMP/GDP requirements and basic food safety elements, suppliers that comply with the SQF Code certification requirements at level 1 receive an accredited certificate from an SQFI licensed certification body.

**Level 2** recognizes suppliers that have implemented a HACCP food safety plan in addition to food safety fundamentals. Suppliers that comply with the SQF Code certification requirements at level 2 receive an accredited certificate from an SQFI licensed certification body.

**Level 3** recognizes suppliers that have implemented a HACCP food quality plan in addition to a food safety plan and food safety fundamentals. Suppliers that comply with the SQF Code certification requirements at level 3 receive an accredited certificate from an SQFI licensed certification body.

**Modules 3 – 15:** GAP/GMP/GDP requirements applicable to various food industry sectors. Producer/supplier must meet the requirements of the module or modules applicable to their food industry sector.

**Module 16** defines the requirements for SQF multi-site programs managed by a central site.

#### b) References

The SQF Code makes reference to the current edition of the CODEX Alimentarius Commission Guidelines for the Application of the Hazard Analysis and Critical Control Point (HACCP) System and the National Advisory Committee on Microbiological Criteria for Foods (NACMCF) Hazard Analysis and Critical Control Point Principles and Application Guidelines, adopted August 14, 1997.

#### c) Definitions

For the purpose of this Code the definitions outlined in *Appendix 2: Glossary of Terms* apply.

<b>LEVEL 1 Food Safety Fundamentals</b> (accredited certification)	<b>LEVEL 2 Food Safety Plan</b> (accredited certification, GFSI recognition)	<b>LEVEL 3 Food Quality Plan</b> (accredited certification, GFSI + Quality Management)
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## Module 2: SQF System Elements

(M) indicates mandatory elements (refer Part A: 2.8)

“Food” can also be taken to mean “feed,” “pet food,” or “food contact packaging materials.” “Food safety” can be taken to mean “feed safety,” or “pet food safety.” “Food safety plan” can be taken to mean “feed safety plan” or “pet food safety plan” and “food quality plan” can also mean “feed quality plan,” or “pet food quality plan.”

2.1 Management Commitment	2.1 Management Commitment	2.1 Management Commitment
<p>The producer/supplier shall provide evidence of its commitment to implement and maintain an effective SQF System and to support its ongoing improvement.</p>	<p>The producer/supplier shall provide evidence of its commitment to implement and maintain an effective SQF System and to support its ongoing improvement.</p>	<p>The producer/supplier shall provide evidence of its commitment to implement and maintain an effective SQF System and to support its ongoing improvement.</p>
2.1.1 Management Policy (M)	2.1.1 Management Policy (M)	2.1.1 Management Policy (M)
<p>2.1.1.1 Senior management shall prepare and implement a policy statement that outlines as a minimum the:</p> <ul style="list-style-type: none"> <li>i. Organization’s commitment to supply safe food;</li> <li>ii. Methods used to comply with its customer and regulatory requirements, and</li> <li>iii. Organizations commitment to establish and review food safety objectives.</li> </ul>	<p>2.1.1.1 Senior management shall prepare and implement a policy statement that outlines as a minimum the:</p> <ul style="list-style-type: none"> <li>i. Organization’s commitment to supply safe food;</li> <li>ii. Methods used to comply with its customer and regulatory requirements and continually improve its food safety management system; and</li> <li>iii. Organizations commitment to establish and review food safety objectives.</li> </ul> <p>2.1.1.2 The policy statement shall be:</p> <ul style="list-style-type: none"> <li>i. Signed by senior management;</li> <li>ii. Made available in language understood by all staff; and</li> <li>iii. Displayed in a prominent position and effectively communicated to all staff.</li> </ul>	<p>2.1.1.1 Senior management shall prepare and implement a policy statement that outlines as a minimum the:</p> <ul style="list-style-type: none"> <li>i. Organization’s commitment to supply safe food;</li> <li>ii. Methods used to comply with its customer and regulatory requirements and continually improve its food safety and quality management system; and</li> <li>iii. Organizations commitment to establish and review food safety and quality objectives.</li> </ul> <p>2.1.1.2 The policy statement shall be:</p> <ul style="list-style-type: none"> <li>i. Signed by senior management;</li> <li>ii. Made available in language understood by all staff; and</li> <li>iii. Displayed in a prominent position and effectively communicated to all staff.</li> </ul>
2.1.2 Management Responsibility (M)	2.1.2 Management Responsibility (M)	2.1.2 Management Responsibility (M)
<p>2.1.2.1 The organizational reporting structure describing those who have responsibility for food</p>	<p>2.1.2.1 The organizational reporting structure describing those who have responsibility for food</p>	<p>2.1.2.1 The organizational reporting structure describing those who have responsibility for food</p>

<p><b>LEVEL 1 Food Safety Fundamentals (accredited certification)</b></p>	<p><b>LEVEL 2 Food Safety Plan (accredited certification, GFSI recognition)</b></p>	<p><b>LEVEL 3 Food Quality Plan (accredited certification, GFSI + Quality Management)</b></p>
<p>safety shall be defined and communicated within the organization.</p> <p>2.1.2.2 The senior management shall make provision to ensure fundamental food safety practices are adopted and maintained.</p> <p>2.1.2.3 The senior management shall ensure adequate resources are available to support the development, implementation, maintenance and ongoing improvement of the SQF System.</p> <p>2.1.2.4 The senior management shall designate an SQF practitioner for each site with responsibility and authority to:</p> <ul style="list-style-type: none"> <li>i. Lead the development and implementation of food safety fundamentals outlined in 2.4.2.</li> <li>ii. Oversee the development, implementation, review and maintenance of the SQF System; and</li> <li>iii. Take appropriate action to ensure the integrity of the SQF System.</li> </ul> <p>2.1.2.5 The SQF practitioner shall:</p> <ul style="list-style-type: none"> <li>i. Be employed by the supplier as a company employee on a full-time basis;</li> <li>ii. Hold a position of responsibility in relation to the management of the supplier’s SQF System;</li> <li>iii. Have completed a HACCP-based training course;</li> <li>iv. Be competent to implement and maintain food safety fundamentals; and</li> <li>v. Have an understanding of the SQF Code level 1 and the requirements to implement and maintain SQF System relevant to the supplier scope of certification.</li> </ul> <p>2.1.2.6 The responsibility for establishing and implementing the training needs of the organization shall be defined and documented.</p> <p>2.1.2.7 All staff shall be informed of their responsibility to report food safety problems to personnel with authority to initiate action.</p>	<p>safety shall be defined and communicated within the organization.</p> <p>2.1.2.2 The senior management shall make provision to ensure fundamental food safety practices are adopted and maintained.</p> <p>2.1.2.3 The senior management shall ensure adequate resources are available to achieve food safety objectives and support the development, implementation, maintenance and ongoing improvement of the SQF System.</p> <p>2.1.2.4 The senior management shall designate an SQF practitioner for each site with responsibility and authority to:</p> <ul style="list-style-type: none"> <li>i. Oversee the development, implementation, review and maintenance of the SQF System, including food safety fundamentals outlined in 2.4.2, and the food safety plan outlined in 2.4.3.</li> <li>ii. Take appropriate action to ensure the integrity of the SQF System; and</li> <li>iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.</li> </ul> <p>2.1.2.5 The SQF practitioner shall:</p> <ul style="list-style-type: none"> <li>i. Be employed by the supplier as a company employee on a full-time basis;</li> <li>ii. Hold a position of responsibility in relation to the management of the supplier’s SQF System;</li> <li>iii. Have completed a HACCP training course;</li> <li>iv. Be competent to implement and maintain HACCP based food safety plans; and</li> <li>v. Have an understanding of the SQF Code level 2 and the requirements to implement and maintain SQF System relevant to the supplier scope of certification.</li> </ul> <p>2.1.2.6 The responsibility for establishing and implementing the training needs of the organization’s personnel to ensure they have the</p>	<p>safety and quality and their interrelationship shall be defined and communicated within the organization.</p> <p>2.1.2.2 The senior management shall make provision to ensure fundamental food safety and quality practices are adopted and maintained.</p> <p>2.1.2.3 The senior management shall ensure adequate resources are available to achieve food safety and quality objectives and to support the development, implementation and maintenance and ongoing improvement of the SQF System.</p> <p>2.1.2.4 The senior management shall designate an SQF practitioner for each site with responsibility and authority to:</p> <ul style="list-style-type: none"> <li>i. Oversee the development, implementation, review and maintenance of the SQF System, including food safety fundamentals outlined in 2.4.2, the food safety plan outlined in 2.4.3 and the food quality plan outlined in 2.4.4;</li> <li>ii. Take appropriate action to maintain the integrity of the SQF System; and</li> <li>iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.</li> </ul> <p>2.1.2.5 The SQF practitioner shall:</p> <ul style="list-style-type: none"> <li>i. Be employed by the supplier as a company employee on a full-time basis;</li> <li>ii. Hold a position of responsibility in relation to the management of the supplier’s SQF System;</li> <li>iii. Have completed a HACCP training course;</li> <li>iv. Be competent to implement and maintain HACCP based food safety plans and food quality plans; and</li> <li>v. Have an understanding of the SQF Code Level 3 and the requirements to implement and maintain SQF System relevant to the supplier scope of certification.</li> </ul>

<b>LEVEL 1 Food Safety Fundamentals</b> <b>(accredited certification)</b>	<b>LEVEL 2 Food Safety Plan</b> <b>(accredited certification, GFSI recognition)</b>	<b>LEVEL 3 Food Quality Plan</b> <b>(accredited certification, GFSI + Quality Management)</b>
	<p>required competencies to carry out those functions affecting products, legality, and safety shall be defined and documented.</p> <p>2.1.2.7 All staff shall be informed of their responsibility to report food safety problems to personnel with authority to initiate action.</p> <p>2.1.2.8 Job descriptions for those responsible for food safety shall be documented and include provision to cover for the absence of key personnel.</p> <p>2.1.2.9 The senior management shall establish processes to improve the effectiveness of the SQF System to demonstrate continuous improvement.</p>	<p>2.1.2.6 The responsibility for establishing and implementing the training needs of the organization's personnel to ensure they have the required competencies to carry out those functions affecting product, legality, safety, and quality shall be defined and documented.</p> <p>2.1.2.7 All staff shall be informed of their responsibility to report food safety and quality problems to personnel with authority to initiate action.</p> <p>2.1.2.8 Job descriptions for those responsible for food safety and quality shall be documented and include provision to cover for the absence of key personnel.</p> <p>2.1.2.9 The senior management shall establish processes to improve the effectiveness of the SQF System to demonstrate continuous improvement.</p>
<p><b>2.1.3 Food Safety Management System (M)</b></p>	<p><b>2.1.3 Food Safety Management System (M)</b></p>	<p><b>2.1.3 Food Safety and Quality Management System (M)</b></p>
<p>2.1.3.1 A food safety manual shall be documented, maintained in either electronic and/or hard copy form, and made available to relevant staff and include:</p> <ul style="list-style-type: none"> <li>i. The policy statement and organization chart;</li> <li>ii. The scope of the certification;</li> <li>iii. A list of the products covered under the scope of certification; and</li> <li>iv. Include or reference the written procedures, pre-requisite programs and other documentation necessary to support the development and the implementation, maintenance and control of the SQF System.</li> </ul>	<p>2.1.3.1 A food safety manual shall be documented and maintained in either electronic and/or hard copy form. It shall outline the methods the organization will use to meet the requirements of this Standard, be made available to staff and include:</p> <ul style="list-style-type: none"> <li>i. A summary of the organization's food safety policies and the methods it will apply to meet the requirements of this standard;</li> <li>ii. The policy statement and organization chart;</li> <li>iii. The scope of the certification; and</li> <li>iv. A list of the products covered under the scope of certification.</li> </ul> <p>2.1.3.2 A food safety manual shall be documented, maintained, made available to relevant staff and include or reference the written procedures, pre-requisite programs, food safety plans and other documentation necessary to support the development and the implementation, maintenance</p>	<p>2.1.3.1 A food safety and quality manual shall be documented and maintained in either electronic and/or hard copy form. It shall outline the methods the organization will use to meet the requirements of this standard, be made available to staff and include:</p> <ul style="list-style-type: none"> <li>i. A summary of the organization's food safety and quality policies and the methods it will apply to meet the requirements of this standard;</li> <li>ii. The policy statement and organization chart;</li> <li>iii. The scope of the certification; and</li> <li>iv. A list of the products covered under the scope of certification.</li> </ul> <p>2.1.3.2 A food safety manual shall be documented, maintained, made available to relevant staff and include or reference the written procedures, pre-requisite programs, food safety plans and other documentation necessary to</p>

<b>LEVEL 1 Food Safety Fundamentals (accredited certification)</b>	<b>LEVEL 2 Food Safety Plan (accredited certification, GFSI recognition)</b>	<b>LEVEL 3 Food Quality Plan (accredited certification, GFSI + Quality Management)</b>
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and control of the SQF System.

support the development and the implementation, maintenance and control of the SQF System.

2.1.3.3 A quality manual shall be documented, maintained, made available to relevant staff and include or reference the written procedures, standard operating practices, work instructions, and food quality plans and other documentation necessary to support the development and the implementation, maintenance and control of the SQF System. The quality manual may be combined and integrated with the food safety manual.

**2.1.4 Management Review (M)**

2.1.4.1 The senior management shall be responsible for reviewing the SQF System including the policy statement.

2.1.4.2 The SQF System in its entirety shall be reviewed at least annually.

2.1.4.3 Food safety fundamentals shall be reviewed when any changes implemented have an impact on the supplier’s ability to deliver safe food.

2.1.4.4 The SQF practitioner shall be responsible for validating changes to food safety fundamentals that have an impact on the supplier’s ability to deliver safe food.

2.1.4.5 Records of all reviews, validations and changes to the SQF System shall be maintained.

**2.1.4 Management Review (M)**

2.1.4.1 The senior management shall be responsible for reviewing the SQF System and documenting the review procedure. Reviews shall include:

- i. The policy manual;
- ii. Internal and external audit findings;
- iii. Corrective actions and their investigations and resolution; and
- iv. Customer complaints and their resolution and investigation.

2.1.4.2 The SQF System in its entirety shall be reviewed at least annually.

2.1.4.3 Food safety fundamentals and food safety plans shall be reviewed when any changes implemented have an impact on the supplier’s ability to deliver safe food.

2.1.4.4 The SQF practitioner shall be responsible for validating changes to food safety fundamentals and food safety plans that have an impact on the supplier’s ability to deliver safe food.

2.1.4.5 Records of all reviews and reasons for amending documents, validations and changes to the SQF System shall be maintained.

**2.1.4 Management Review (M)**

2.1.4.1 The senior management shall be responsible for reviewing the SQF System and documenting the review procedure. Reviews shall include:

- i. The policy manual;
- ii. Internal and external audit findings;
- iii. Corrective actions and their investigations and resolution; and
- iv. Customer complaints and their resolution and investigation.

2.1.4.2 The SQF System in its entirety shall be reviewed at least annually.

2.1.4.3 Food safety fundamentals, food safety plans and food quality plans shall be reviewed when any changes implemented have an impact on the supplier’s ability to deliver safe, quality food.

2.1.4.4 The SQF practitioner shall be responsible for validating changes to food safety fundamentals, food safety plans and food quality plans that have an impact on the supplier’s ability to deliver safe, quality food.

2.1.4.5 Records of all reviews and reasons for amending documents, validations and changes to the SQF System shall be maintained.

**2.1.5 Complaint Management**

This clause is not applied at level 1.

**2.1.5 Complaint Management**

2.1.5.1 The methods and responsibility for

**2.1.5 Complaint Management**

2.1.5.1 The methods and responsibility for

<b>LEVEL 1 Food Safety Fundamentals</b> (accredited certification)	<b>LEVEL 2 Food Safety Plan</b> (accredited certification, GFSI recognition)	<b>LEVEL 3 Food Quality Plan</b> (accredited certification, GFSI + Quality Management)
	<p>handling and investigating the cause and resolution of complaints from customers and authorities shall be documented and implemented.</p> <p>2.1.5.2 Trends of customer complaint data shall be investigated and analyzed by personnel knowledgeable about the incidents.</p> <p>2.1.5.3 Corrective action shall be implemented commensurate with the seriousness of the incident and as outlined under 2.5.5.</p> <p>2.1.5.4 Records of customer complaints and their investigations shall be maintained.</p>	<p>handling and investigating the cause and resolution of complaints from customers and authorities shall be documented and implemented.</p> <p>2.1.5.2 Trends of customer complaint data shall be investigated and analyzed by personnel knowledgeable about the incidents.</p> <p>2.1.5.3 Corrective action shall be implemented commensurate with the seriousness of the incident and as outlined under 2.5.5.</p> <p>2.1.5.4 Records of customer complaints and their investigations shall be maintained.</p>
<p><b>2.1.6 Business Continuity Planning</b></p> <p>This clause is not applied at level 1.</p>	<p><b>2.1.6 Business Continuity Planning</b></p> <p>2.1.6.1 A business continuity plan based on the understanding of known food safety threats to a business shall be prepared by senior management outlining the methods and responsibility the organization will implement to cope with a business crisis that may impact on the ability of the supplier to deliver safe food.</p> <p>2.1.6.2 The business continuity plan shall include as a minimum:</p> <ul style="list-style-type: none"> <li>i. A senior manager responsible for decision making, oversight and initiating actions arising from a crisis management incident;</li> <li>ii. The nomination and training of a crisis management team;</li> <li>iii. The controls implemented to ensure a response does not compromise product safety;</li> <li>iv. The measures to isolate and identify product affected by a response to a crisis;</li> <li>v. The measures taken to verify the acceptability of food prior to release;</li> <li>vi. The preparation and maintenance of a current crisis alert contact list;</li> <li>vii. Sources of legal and expert advice; and</li> <li>viii. The responsibility for internal communications and communicating with</li> </ul>	<p><b>2.1.6 Business Continuity Planning</b></p> <p>2.1.6.1 A business continuity plan based on the understanding of known threats to a business shall be prepared by senior management outlining the methods and responsibility the organization will implement to cope with a business crisis that may impact on the ability of the supplier to deliver safe, quality food.</p> <p>2.1.6.2 The business continuity plan shall include as a minimum:</p> <ul style="list-style-type: none"> <li>i. A senior manager responsible for decision making, oversight and initiating actions arising from a crisis management incident;</li> <li>ii. The nomination and training of a crisis management team;</li> <li>iii. The controls implemented to ensure a response to a crisis does not compromise product safety and quality;</li> <li>iv. The measures to isolate and identify product affected by a response to a crisis;</li> <li>v. The measures taken to verify the acceptability of food prior to release;</li> <li>vi. The preparation and maintenance of a current crisis alert contact list;</li> <li>vii. Sources of legal and expert advice; and</li> <li>viii. The responsibility for internal communications and communicating with</li> </ul>

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	<p>authorities, external organizations and media.</p> <p>2.1.6.3 The business continuity plan shall be reviewed, tested and verified at least annually.</p> <p>2.1.6.4 Records of reviews and verification of the business continuity plan shall be maintained.</p>	<p>authorities, external organizations and media.</p> <p>2.1.6.3 The business continuity plan shall be reviewed, tested and verified at least annually.</p> <p>2.1.6.4 Records of reviews and verification of the business continuity plan shall be maintained.</p>
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<b>2.2 Document Control and Records</b>	<b>2.2 Document Control and Records</b>	<b>2.2 Document Control and Records</b>
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<b>2.2.1 Document Control (M)</b>	<b>2.2.1 Document Control (M)</b>	<b>2.2.1 Document Control (M)</b>
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<p>2.2.1.1 A register of current SQF System documents and amendments to documents shall be maintained.</p> <p>2.2.1.2 Documents shall be safely stored and readily accessible.</p>	<p>2.2.1.1 The methods and responsibility for maintaining document control and ensuring staff have access to current documents shall be documented and implemented.</p> <p>2.2.1.2 A register of current SQF System documents and amendments to documents shall be maintained.</p> <p>2.2.1.3 Documents shall be safely stored and readily accessible.</p>	<p>2.2.1.1 The methods and responsibility for maintaining document control and ensuring staff have access to current documents shall be documented and implemented.</p> <p>2.2.1.2 A register of current SQF System documents and amendments to documents shall be maintained.</p> <p>2.2.1.3 Documents shall be safely stored and readily accessible.</p>
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<b>2.2.2 Records (M)</b>	<b>2.2.2 Records (M)</b>	<b>2.2.2 Records (M)</b>
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<p>2.2.2.1 All records shall be legible and suitably authorized by those undertaking monitoring activities that demonstrate inspections, analyses and other essential activities have been completed.</p> <p>2.2.2.2 Records shall be readily accessible, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or regulations.</p>	<p>2.2.2.1 The methods and responsibility for undertaking monitoring activities, verifying, maintaining and retaining records shall be documented and implemented.</p> <p>2.2.2.2 All records shall be legible and suitably authorized by those undertaking monitoring activities that demonstrate inspections, analyses and other essential activities have been completed.</p> <p>2.2.2.3 Records shall be readily accessible, retrievable, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or regulations.</p>	<p>2.2.2.1 The methods and responsibility for undertaking monitoring activities, verifying, maintaining and retaining records shall be documented and implemented.</p> <p>2.2.2.2 All records shall be legible and suitably authorized by those undertaking monitoring activities that demonstrate that inspections, analyses and other essential activities have been completed.</p> <p>2.2.2.3 Records shall be readily accessible, retrievable, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or regulations.</p>
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<b>LEVEL 1 Food Safety Fundamentals</b> (accredited certification)	<b>LEVEL 2 Food Safety Plan</b> (accredited certification, GFSI recognition)	<b>LEVEL 3 Food Quality Plan</b> (accredited certification, GFSI + Quality Management)
<b>2.3 Specification and Product Development</b>	<b>2.3 Specification and Product Development</b>	<b>2.3 Specification and Product Development</b>
<b>2.3.1 Product Development and Realization</b>	<b>2.3.1 Product Development and Realization</b>	<b>2.3.1 Product Development and Realization</b>
<p>This clause is not applied at level 1.</p>	<p>2.3.1.1 The methods and responsibility for designing, developing and converting product concepts to commercial realization shall be documented and implemented.</p> <p>2.3.1.2 Product formulation, manufacturing processes and the fulfillment of product requirements shall be validated by facility trials, shelf life trials and product testing.</p> <p>2.3.1.3 Shelf life trials where necessary shall be conducted to establish and validate a product's:</p> <ul style="list-style-type: none"> <li>i. Handling, storage requirements including the establishment of "use by" or "best before dates";</li> <li>ii. Microbiological criteria; and</li> <li>iii. Consumer preparation, storage and handling requirements.</li> </ul> <p>2.3.1.4 A food safety plan shall be validated and verified for each new product and its associated process through conversion to commercial production and distribution, or where a change to ingredients, process, or packaging occurs that may impact food safety.</p> <p>2.3.1.5 Records of all product design, process development, shelf life trials and approvals shall be maintained.</p>	<p>2.3.1.1 The methods and responsibility for designing, developing and converting product concepts to commercial realization shall be documented and implemented.</p> <p>2.3.1.2 Product formulation, manufacturing processes and the fulfillment of product requirements shall be validated by facility trials, shelf life trials and product testing.</p> <p>2.3.1.3 Shelf life trials where necessary shall be conducted to establish and validate a product's:</p> <ul style="list-style-type: none"> <li>i. Handling, storage requirements including the establishment of "use by" or "best before dates";</li> <li>ii. Microbiological criteria; and</li> <li>iii. Consumer preparation, storage and handling requirements.</li> </ul> <p>2.3.1.4 A food safety plan and food quality plan shall be validated and verified for each new product and its associated process through conversion to commercial production and distribution, or where a change to ingredients, process, or packaging occurs that may impact food safety or quality.</p> <p>2.3.1.5 Records of all product design, process development, shelf life trials and approvals shall be maintained.</p>
<b>2.3.2 Raw and Packaging Materials</b>	<b>2.3.2 Raw and Packaging Materials</b>	<b>2.3.2 Raw and Packaging Materials</b>
<p>2.3.2.1 Specifications for raw materials and packaging materials including, but not limited to ingredients, additives, hazardous chemicals and processing aids, that impact on finished product safety shall be documented, comply with relevant legislation, and kept current.</p>	<p>2.3.2.1 Specifications for all raw and packaging materials, including, but not limited to ingredients, additives, hazardous chemicals and processing aids that impact on finished product safety shall be documented and kept current.</p> <p>2.3.2.2 All raw and packaging materials and ingredients shall comply with the relevant</p>	<p>2.3.2.1 Specifications for all raw and packaging materials, including, but not limited to ingredients, additives, hazardous chemicals and processing aids that impact on finished product safety and quality shall be documented and kept current.</p> <p>2.3.2.2 All raw and packaging materials and ingredients shall comply with the relevant legislation.</p>

<b>LEVEL 1 Food Safety Fundamentals</b> (accredited certification)	<b>LEVEL 2 Food Safety Plan</b> (accredited certification, GFSI recognition)	<b>LEVEL 3 Food Quality Plan</b> (accredited certification, GFSI + Quality Management)
	<p>legislation.</p> <p>2.3.2.3 The methods and responsibility for developing and approving detailed raw material, ingredient, and packaging specifications shall be documented.</p> <p>2.3.2.4 Raw and packaging materials and ingredients shall be validated to ensure product safety is not compromised and the material is fit for its intended purpose. Validation of raw materials and ingredients shall include Certificate of conformance; or certificate of analysis; or sampling and testing.</p> <p>2.3.2.5 Validation of packaging materials shall include:</p> <ul style="list-style-type: none"> <li>i. Certification that all packaging that comes into direct contact with food meets either regulatory acceptance or approval criteria. Documentation shall either be in the form of a declaration of continued guarantee of compliance, a certificate of conformance, or a certificate from the applicable regulatory agency.</li> <li>ii. In the absence of a certificate of conformance, certificate of analysis, or letter of guarantee, tests and analyses to confirm the absence of potential chemical migration from the packaging to the food contents shall be conducted and records maintained.</li> </ul> <p>2.3.2.6 Product labels shall be accurate, comply with the relevant legislation and be approved by qualified company personnel.</p> <p>2.3.2.7 A register of raw and packaging material specifications and labels shall be maintained and kept current.</p>	<p>2.3.2.3 The methods and responsibility for developing and approving detailed raw material, ingredient, and packaging specifications shall be documented.</p> <p>2.3.2.4 Raw and packaging materials and ingredients shall be validated to ensure Product safety and quality is not compromised and the material is fit for its intended purpose. Validation of raw materials and ingredients shall include certificate of conformance; or certificate of analysis; or sampling and testing.</p> <p>2.3.2.5 Validation of packaging materials shall include:</p> <ul style="list-style-type: none"> <li>i. Certification that all packaging that comes into direct contact with food meets either regulatory acceptance or approval criteria. Documentation shall either be in the form of a declaration of continued guarantee of compliance, a certificate of conformance, or a certificate from the applicable regulatory agency.</li> <li>ii. In the absence of a certificate of conformance, certificate of analysis, or letter of guarantee, tests and analyses to confirm the absence of potential chemical migration from the packaging to the food contents shall be conducted and records maintained.</li> </ul> <p>2.3.2.6 Product labels shall be accurate, comply with the relevant legislation and be approved by qualified company personnel.</p> <p>2.3.2.7 A register of raw and packaging material specifications and labels shall be maintained and kept current.</p>
<p><b>2.3.3 Contract Service Providers</b></p> <p>This clause is not applied at level 1.</p>	<p><b>2.3.3 Contract Service Providers</b></p> <p>2.3.3.1 Specifications for contract services that have an impact on finished product safety shall be documented, current, include a full description of the service to be provided and detail relevant training requirements of contract personnel.</p>	<p><b>2.3.3 Contract Service Providers</b></p> <p>2.3.3.1 Specifications for contract services that have an impact on finished product safety and quality shall be documented, current, include a full description of the service to be provided and detail relevant training requirements of contract</p>

<b>LEVEL 1 Food Safety Fundamentals</b> <b>(accredited certification)</b>	<b>LEVEL 2 Food Safety Plan</b> <b>(accredited certification, GFSI recognition)</b>	<b>LEVEL 3 Food Quality Plan</b> <b>(accredited certification, GFSI + Quality Management)</b>
	<p>2.3.3.2 A register of all contract service specifications shall be maintained.</p>	<p>personnel. 2.3.3.2 A register of all contract service specifications shall be maintained.</p>
<p><b>2.3.4 Contract Manufacturers</b></p> <p>This clause is not applied at level 1.</p>	<p><b>2.3.4 Contract Manufacturers</b></p> <p>2.3.4.1 The methods and responsibility for ensuring all agreements relating to customers product requirements and its realization and delivery are specified and agreed shall be documented and implemented.</p> <p>2.3.4.2 The supplier shall:</p> <ul style="list-style-type: none"> <li>i. Verify all customer requirements are being met at all times; and</li> <li>ii. Ensure changes to contractual agreements are approved by both parties and communicated to relevant personnel.</li> </ul> <p>2.3.4.3 Records of all contract reviews and changes to contractual agreements and their approvals shall be maintained.</p>	<p><b>2.3.4 Contract Manufacturers</b></p> <p>2.3.4.1 The methods and responsibility for ensuring all agreements relating to customers product requirements and its realization and delivery are specified and agreed shall be documented and implemented.</p> <p>2.3.4.2 The supplier shall:</p> <ul style="list-style-type: none"> <li>i. Verify all customer requirements are being met at all times; and</li> <li>ii. Ensure changes to contractual agreements are approved by both parties and communicated to relevant personnel.</li> </ul> <p>2.3.4.3 Records of all contract reviews and changes to contractual agreements and their approvals shall be maintained.</p>
<p><b>2.3.5 Finished Product</b></p> <p>2.3.5.1 Finished product specifications shall be documented, current, approved by the supplier and their customer, accessible to relevant staff and may include:</p> <ul style="list-style-type: none"> <li>i. Microbiological and chemical limits; and</li> <li>ii. Labeling and packaging requirements.</li> </ul>	<p><b>2.3.5 Finished Product</b></p> <p>2.3.5.1 Finished product specifications shall be documented, current, approved by the supplier and their customer, accessible to relevant staff and may include:</p> <ul style="list-style-type: none"> <li>i. Microbiological and chemical limits; and</li> <li>ii. Labeling and packaging requirements.</li> </ul> <p>2.3.5.2 A register of finished product specifications shall be maintained.</p>	<p><b>2.3.5 Finished Product</b></p> <p>2.3.5.1 Finished product specifications shall be documented, current, approved by the supplier and their customer, accessible to relevant staff and may include:</p> <ul style="list-style-type: none"> <li>i. Microbiological and chemical limits;</li> <li>ii. Labeling and packaging requirements; and</li> <li>iii. Product quality attributes.</li> </ul> <p>2.3.5.2 A register of finished product specifications shall be maintained.</p>
<b>2.4 Attaining Food Safety</b>	<b>2.4 Attaining Food Safety</b>	<b>2.4 Attaining Food Safety</b>
<p><b>2.4.1 Food Legislation (Regulation) (M)</b></p> <p>2.4.1.1 The organization shall ensure that, at the time of delivery to its customer, the food supplied</p>	<p><b>2.4.1 Food Legislation (Regulation) (M)</b></p> <p>2.4.1.1 The organization shall ensure that, at the time of delivery to its customer, the food supplied</p>	<p><b>2.4.1 Food Legislation (Regulation) (M)</b></p> <p>2.4.1.1 The organization shall ensure that, at the time of delivery to its customer, the food supplied</p>

<b>LEVEL 1 Food Safety Fundamentals (accredited certification)</b>	<b>LEVEL 2 Food Safety Plan (accredited certification, GFSI recognition)</b>	<b>LEVEL 3 Food Quality Plan (accredited certification, GFSI + Quality Management)</b>
<p>shall comply with the legislation that applies to the food and its production in the country of its origin and destination. This includes compliance with legislative requirements applicable to food safety, packaging, product description and nutritional and additive labeling, and to relevant established industry codes of practice.</p>	<p>shall comply with the legislation that applies to the food and its production in the country of its origin and destination. This includes compliance with legislative requirements applicable to maximum residue limits, food safety, packaging, product description, nutritional, allergen and additive labeling, and to relevant established industry codes of practice.</p> <p>2.4.1.2 The methods and responsibility for ensuring the organization is kept informed of changes to relevant legislation, scientific and technical developments and relevant industry codes of practice shall be documented and implemented.</p>	<p>shall comply with the legislation that applies to the food and its production in the country of its origin and destination. This includes compliance with legislative requirements applicable to maximum residue limits, food safety, trade weights and measures, packaging, product description, nutritional, allergen and additive labeling, and to relevant established Industry codes of practice.</p> <p>2.4.1.2 The methods and responsibility for ensuring the organization is kept informed of changes to relevant legislation, scientific and technical developments and relevant industry codes of practice shall be documented and implemented.</p>
<p><b>2.4.2 Food Safety Fundamentals (M)</b></p>	<p><b>2.4.2 Food Safety Fundamentals (M)</b></p>	<p><b>2.4.2 Food Safety Fundamentals (M)</b></p>
<p>2.4.2.1 The premises, buildings and equipment shall be located, constructed, designed and maintained to facilitate the hygienic manufacture, handling, storage and/or delivery of safe food</p> <p>2.4.2.2 The supplier shall ensure the food safety fundamentals described in the relevant subsequent modules of this Code (i.e. modules 3 – 15) are applied or excluded according to a detailed risk analysis outlining the justification for exclusion or evidence of the effectiveness of alternative control measures to ensure that food safety is not compromised.</p>	<p>2.4.2.1 The property, buildings and equipment shall be located, constructed, designed and maintained to facilitate the hygienic production, manufacture, handling, storage and/or delivery of safe food.</p> <p>2.4.2.2 The supplier shall ensure the food safety fundamentals described in the relevant subsequent modules of this Code (i.e. modules 3 – 15) are applied, or excluded according to a detailed risk analysis outlining the justification for exclusion or evidence of the effectiveness of alternative control measures to ensure that food safety is not compromised.</p> <p>2.4.2.3 Those pre-requisite programs applicable to the scope of certification that outline the means by which food safety is controlled and assured shall be documented and implemented.</p> <p>2.4.2.4 The effectiveness of the pre-requisite programs shall be verified as described in 2.5.4.</p>	<p>2.4.2.1 The property, buildings and equipment shall be located, constructed, designed and maintained to facilitate the hygienic production, manufacture, handling, storage and/or delivery of safe, quality food.</p> <p>2.4.2.2 The supplier shall ensure the food safety fundamentals described in the relevant subsequent modules of this Code (i.e. modules 3 – 15) are applied, or excluded according to a detailed risk analysis outlining the justification for exclusion or evidence of the effectiveness of alternative control measures to ensure that food safety and quality are not compromised.</p> <p>2.4.2.3 Those pre-requisite programs applicable to the scope of certification that outline the means by which food safety is controlled and assured shall be documented and implemented.</p> <p>2.4.2.4 The effectiveness of the pre-requisite programs shall be verified as described in 2.5.4.</p>
<p><b>2.4.3 Food Safety Plan</b></p>	<p><b>2.4.3 Food Safety Plan (M)</b></p>	<p><b>2.4.3 Food Safety Plan (M)</b></p>
<p>This clause is not applied at level 1.</p>	<p>2.4.3.1 A food safety plan shall be developed, effectively implemented, and maintained and outline the means by which the organization controls and assures food safety. The food safety</p>	<p>2.4.3.1 A food safety plan shall be developed, effectively implemented, and maintained and outline the means by which the organization controls and assures food safety. The food safety</p>

<b>LEVEL 1 Food Safety Fundamentals</b> (accredited certification)	<b>LEVEL 2 Food Safety Plan</b> (accredited certification, GFSI recognition)	<b>LEVEL 3 Food Quality Plan</b> (accredited certification, GFSI + Quality Management)
	plan shall: <ul style="list-style-type: none"> <li>i. Be prepared in accordance with the steps identified in the Codex Alimentarius Commission or NACMCF HACCP guidelines. Primary producers and feed manufacturers may utilize a HACCP-based reference food safety plan developed by a responsible authority.</li> <li>ii. Cover a product or product group and the associated processes.</li> <li>iii. Describe the methodology and results of a hazard analysis conducted to identify food safety hazards associated with all inputs and process steps including rework. Animal feed and pet food safety plans must include hazards associated with animal safety as well as the safety of consumers of animal products.</li> <li>iv. Prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food safety.</li> <li>v. Include process controls at control points in production to monitor product safety, identify when a process is deviating from set parameters and make corrections to keep a process under control; and</li> <li>vi. Include documented Standard Operating Procedures (SOPs) and Work Instructions (WI) applicable to the organization’s scope of certification.</li> </ul>	plan shall: <ul style="list-style-type: none"> <li>i. Be prepared in accordance with the steps identified in the Codex Alimentarius Commission or NACMCF HACCP guidelines. Primary producers and feed manufacturers may utilize a HACCP-based reference food safety plan developed by a responsible authority.</li> <li>ii. Cover a product or product group and the associated processes.</li> <li>iii. Describe the methodology and results of a hazard analysis conducted to identify food safety hazards associated with all inputs and process steps including rework. Animal feed and pet food safety plans must include hazards associated with animal safety as well as the safety of consumers of animal products.</li> <li>iv. Prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food safety.</li> <li>v. Process controls at control points in production to monitor product safety, identify when a process is deviating from set parameters and make corrections to keep a process under control; and</li> <li>vi. Include documented Standard Operating Procedures (SOPs) and Work Instructions (WI) applicable to the organization’s scope of certification.</li> </ul>
<p><b>2.4.4 Food Quality Plan</b></p> <p>This clause is not applied at level 1.</p>	<p><b>2.4.4 Food Quality Plan</b></p> <p>This clause is not applied at level 2.</p>	<p><b>2.4.4 Food Quality Plan (M)</b></p> <p>2.4.4.1 A food quality plan shall be developed, effectively implemented, and maintained in accordance with the HACCP method to outline the means by which the organization controls and assures food quality and legality. The food quality plan shall:</p> <ul style="list-style-type: none"> <li>i. Outline the results of a food quality risk</li> </ul>

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- analysis conducted to identify threats to achieving and maintaining product and process quality.
- ii. Prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food quality.
- iii. Include process controls at quality points in production to monitor product quality, identify when a process is deviating from set parameters and make corrections to keep a process under control;
- iv. Cover a food or food group and the associated processes; and
- v. Include documented Standard Operating Procedures (SOPs) and Work Instructions (WI) applicable to the organizations scope of certification.

2.4.4.2 Use of the SQF quality shield shall follow the requirements outlined in Appendix 3: SQF Quality Shield and Logo Rules of Use.

**2.4.5 Incoming Goods and Services**

2.4.5.1 Raw materials, ingredients, packaging materials and services that impact on finished product safety shall be supplied by an approved supplier or inspected or analyzed before use.

2.4.5.2 Inspections and analyses shall conform to standard reference methods.

2.4.5.3 Records of inspections and analyses shall be maintained.

**2.4.5 Incoming Goods and Services**

2.4.5.1 Raw materials, ingredients, packaging materials, and services that impact on finished product safety shall be supplied by an approved supplier.

2.4.5.2 The receipt of raw materials, ingredients, and packaging materials received from non-approved supplier shall be acceptable in an emergency situation provided they are inspected or analyzed before use.

2.4.5.3 The responsibility for selecting, evaluating, approving and monitoring an approved supplier shall be documented and implemented.

2.4.5.4 The approved supplier program shall be based on the prior performance of a supplier and the risk level of the raw materials ingredients, packaging materials, and services supplied, and shall contain as a minimum:

- i. Agreed specifications;

**2.4.5 Incoming Goods and Services**

2.4.5.1 Raw materials, ingredients, packaging materials, and services that impact on finished product safety and quality shall be supplied by an approved supplier.

2.4.5.2 The receipt of raw materials, ingredients, and packaging materials received from non-approved supplier shall be acceptable in an emergency situation provided they are inspected or analyzed before use.

2.4.5.3 The responsibility for selecting, evaluating, approving and monitoring an approved supplier shall be documented and implemented.

2.4.5.4 The approved supplier program shall be based on the prior performance of a supplier and the risk level of the raw materials ingredients, packaging materials, and services supplied, and shall contain as a minimum:

- i. Agreed specifications;

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	<ul style="list-style-type: none"> <li>ii. Reference to the rating of the level of risk applied to a raw material ingredients, packaging materials and services and the approved supplier;</li> <li>iii. A summary of the food safety controls implemented by the approved supplier;</li> <li>iv. Methods for granting approved supplier status;</li> <li>v. Methods and frequency of monitoring approved suppliers;</li> <li>vi. Details of the certificates of conformance if required, and</li> <li>vii. Methods and frequency of reviewing approved supplier performance and status.</li> </ul> <p>2.4.5.5 A register of approved supplier and records of inspections and audits of approved suppliers shall be maintained.</p>	<ul style="list-style-type: none"> <li>ii. Reference to the rating of the level of risk applied to a raw material ingredients, packaging materials and services and the approved supplier;</li> <li>iii. A summary of the food safety and quality controls implemented by the approved supplier;</li> <li>iv. Methods for granting approved supplier status;</li> <li>v. Methods and frequency of monitoring approved suppliers;</li> <li>vi. Details of the certificates of conformance if required; and</li> <li>vii. Methods and frequency of reviewing approved supplier performance and status.</li> </ul> <p>2.4.5.5 A register of approved supplier and records of inspections and audits of approved suppliers shall be maintained.</p>
<p><b>2.4.6 Non-conforming Product or Equipment</b></p> <p>2.4.6.1 Non-conforming product, raw material, ingredient, work-in-progress, packaging or equipment shall be quarantined, handled and disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product.</p> <p>2.4.6.2 Records of the handling and disposal of non-conforming product shall be maintained.</p>	<p><b>2.4.6 Non-conforming Product or Equipment</b></p> <p>2.4.6.1 The responsibility and methods outlining how non-conforming product, raw material, ingredient, work-in-progress, packaging or equipment detected during receipt, storage, processing, handling or delivery is handled shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> <li>i. Non-conforming product is quarantined, identified, handled and disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; and</li> <li>ii. Non-conforming equipment is effectively repaired or disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; and</li> </ul>	<p><b>2.4.6 Non-conforming Product or Equipment</b></p> <p>2.4.6.1 The responsibility and methods outlining how non-conforming product, raw material, ingredient, work-in-progress, packaging or equipment detected during receipt, storage, processing, handling or delivery is handled shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> <li>i. Non-conforming product is quarantined, identified, handled and disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; and</li> <li>ii. Non-conforming equipment is effectively repaired or disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; and</li> </ul>

<b>LEVEL 1 Food Safety Fundamentals (accredited certification)</b>	<b>LEVEL 2 Food Safety Plan (accredited certification, GFSI recognition)</b>	<b>LEVEL 3 Food Quality Plan (accredited certification, GFSI + Quality Management)</b>
	<ul style="list-style-type: none"> <li>iii. All relevant staff is aware of the organization's quarantine and release requirements applicable to equipment or product placed under quarantine status.</li> <li>iv. For producers, the procedure must document the grower, field name, quantity and final disposition of the unacceptable materials when applicable.</li> </ul> <p>2.4.6.2 Quarantine records, and records of the handling, corrective action, or disposal of non-conforming product or equipment shall be maintained.</p>	<ul style="list-style-type: none"> <li>iii. All relevant staff is aware of the organization's quarantine and release requirements applicable to equipment or product placed under quarantine status.</li> <li>iv. For producers, the procedure must document the grower, field name, quantity and final disposition of the unacceptable materials when applicable.</li> </ul> <p>2.4.6.2 Quarantine records, and records of the handling, corrective action, or disposal of non-conforming product or equipment shall be maintained.</p>
<p><b>2.4.7 Product Rework</b></p> <p>2.4.7.1 Rework (recycle or recoup) activities shall be controlled and traceability ensured.</p>	<p><b>2.4.7 Product Rework</b></p> <p>2.4.7.1 The responsibility and methods outlining how the product is reworked (recycled or recouped) shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> <li>i. Reworking operations are supervised by qualified personnel;</li> <li>ii. Reworked product is clearly identified and traceable;</li> <li>iii. Each batch of reworked product is inspected or analyzed as required before release;</li> <li>iv. Inspections and analyses shall conform to the requirements outlined in element 2.5.6; and</li> <li>v. Release of reworked product shall conform to element 2.4.8.</li> </ul> <p>2.4.7.2 Records of all reworking operations shall be maintained.</p>	<p><b>2.4.7 Product Rework</b></p> <p>2.4.7.1 The responsibility and methods outlining how the product is reworked (recycled or recouped) shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> <li>i. Reworking operations are supervised by qualified personnel;</li> <li>ii. Reworked product is clearly identified and traceable;</li> <li>iii. Each batch of reworked product is inspected or analyzed as required before release;</li> <li>iv. Inspections and analyses shall conform to the requirements for verification outlined in element 2.5.6; and</li> <li>v. Release of reworked product shall conform to element 2.4.8.</li> </ul> <p>2.4.7.2 Records of all reworking operations shall be maintained.</p>
<p><b>2.4.8 Product Release (M)</b></p> <p>This clause is not applied at level 1.</p>	<p><b>2.4.8 Product Release (M)</b></p> <p>2.4.8.1 The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released:</p>	<p><b>2.4.8 Product Release (M)</b></p> <p>2.4.8.1 The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released:</p>

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	<ul style="list-style-type: none"> <li>i. By authorized personnel; and</li> <li>ii. Once all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met.</li> </ul> <p>2.4.8.2 Records of all product release shall be maintained.</p>	<ul style="list-style-type: none"> <li>i. By authorized personnel;</li> <li>ii. Once all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met; and</li> <li>iii. Once sensory analysis and other evaluations are satisfactorily completed to verify customer specifications have been met.</li> </ul> <p>2.4.8.2 Records of all product release shall be maintained.</p>
<b>2.4.9 Stock Rotation</b>	<b>2.4.9 Stock Rotation</b>	<b>2.4.9 Stock Rotation</b>
2.4.9.1 Effective stock rotation principles shall be applied.	2.4.9.1 The responsibility and methods for ensuring effective stock rotation principles are applied shall be documented and implemented.	2.4.9.1 The responsibility and methods for ensuring effective stock rotation principles are applied shall be documented and implemented.
<b>2.5 SQF System Verification</b>	<b>2.5 SQF System Verification</b>	<b>2.5 SQF System Verification</b>
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<b>2.5.1 Responsibility, Frequency and Methods</b>	<b>2.5.1 Responsibility, Frequency and Methods</b>	<b>2.5.1 Responsibility, Frequency and Methods</b>
<p>2.5.1.1 Validation and verification activities shall be the responsibility of the SQF practitioner.</p> <p>2.5.1.2 The frequency and methods used to validate and verify critical limits established for those hazards associated with the source, storage and use of production inputs, and the application of pre-requisite programs shall be documented and implemented.</p> <p>2.5.1.3 Records of all verification activities shall be maintained.</p>	<p>2.5.1.1 Validation and verification activities shall be the responsibility of the SQF practitioner.</p> <p>2.5.1.2 The frequency and methods used to validate and verify food safety fundamentals, critical limits, and other food safety controls identified in food safety plans shall be documented and implemented and meet their intended purpose.</p> <p>2.5.1.3 Records of all verification activities shall be maintained.</p>	<p>2.5.1.1 Validation and verification activities shall be the responsibility of the SQF practitioner.</p> <p>2.5.1.2 The frequency and methods used to validate and verify food safety fundamentals, critical limits, and other food safety and quality controls identified in food safety plans and food quality plans shall be documented and implemented and meet their intended purpose.</p> <p>2.5.1.3 Records of all verification activities shall be maintained.</p>
<b>2.5.2 Validation &amp; Effectiveness (M)</b>	<b>2.5.2 Validation &amp; Effectiveness (M)</b>	<b>2.5.2 Validation &amp; Effectiveness (M)</b>
2.5.2.1 The methods, responsibility and criteria for ensuring the effectiveness of pre-requisite programs to ensure they achieve their intended purpose shall be documented and implemented.	2.5.2.1 The methods, responsibility and criteria for ensuring the effectiveness of pre-requisite programs, and validating critical food safety limits to ensure they achieve their intended purpose shall be documented and implemented. The methods applied shall ensure that:	2.5.2.1 The methods, responsibility and criteria for ensuring the effectiveness of pre-requisite programs, and validating critical food safety and quality limits to ensure they achieve their intended purpose shall be documented and implemented. The methods applied shall ensure that:

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	<ul style="list-style-type: none"> <li>i. Pre-requisite programs are confirmed to ensure they achieve the required result.</li> <li>ii. Critical limits are selected to achieve the designated level of control of the identified food safety hazard(s); and</li> <li>iii. All critical limits and control measures individually or in combination effectively provide the level of control required.</li> <li>iv. Changes to the processes or procedures are assessed to ensure controls are still effective.</li> <li>v. Critical food safety limits are re-validated at least annually.</li> </ul> <p>2.5.2.2 Records of all validation activities shall be maintained.</p>	<ul style="list-style-type: none"> <li>i. Pre-requisite programs are confirmed to ensure they achieve the required result.</li> <li>ii. Critical limits are selected to achieve the designated level of control of the identified food safety hazard(s) or threat to the achievement of food quality; and</li> <li>iii. All critical limits and control measures individually or in combination effectively provide the level of control required.</li> <li>iv. Changes to the processes or procedures are assessed to ensure controls are still effective.</li> <li>v. Critical food safety and quality limits are re-validated at least annually.</li> </ul> <p>2.5.2.2 Records of all validation activities shall be maintained.</p>
<p><b>2.5.3 Verification Schedule</b></p> <p>2.5.3.1 A verification schedule outlining the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented.</p>	<p><b>2.5.3 Verification Schedule</b></p> <p>2.5.3.1 A verification schedule outlining the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented.</p>	<p><b>2.5.3 Verification Schedule</b></p> <p>2.5.3.1 A verification schedule outlining the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented.</p>
<p><b>2.5.4 Verification of Monitoring Activities (M)</b></p> <p>2.5.4.1 Monitoring activities associated with pre-requisite programs and other food safety controls shall be verified.</p>	<p><b>2.5.4 Verification of Monitoring Activities (M)</b></p> <p>2.5.4.1 The methods, responsibility and criteria for verifying the effectiveness of monitoring pre-requisite programs critical control points and other food safety controls identified shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each record verified.</p> <p>2.5.4.2 Records of the verification of monitoring activities shall be maintained.</p>	<p><b>2.5.4 Verification of Monitoring Activities (M)</b></p> <p>2.5.4.1 The methods, responsibility and criteria for verifying the effectiveness of monitoring pre-requisite programs, critical control points, critical quality points and other food safety and quality controls identified shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities authorize each record verified.</p> <p>2.5.4.2 Records of the verification of monitoring activities shall be maintained.</p>

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<p><b>2.5.5 Corrective and Preventative Action (M)</b></p> <p>2.5.5.1 Corrective action shall be undertaken to resolve non-compliance.</p> <p>2.5.5.2 Records of corrective action shall be maintained.</p>	<p><b>2.5.5 Corrective and Preventative Action (M)</b></p> <p>2.5.5.1 The responsibility and methods outlining how corrections and corrective actions are investigated, resolved, managed and controlled, including the identification of the root cause and resolution of non-compliance of critical food safety limits, and deviations from food safety requirements, shall be documented and implemented.</p> <p>2.5.5.2 Records of all investigation and resolution of corrections and corrective action shall be maintained.</p>	<p><b>2.5.5 Corrective and Preventative Action (M)</b></p> <p>2.5.5.1 The responsibility and methods outlining how corrections and corrective actions are investigated, resolved, managed and controlled, including the identification of the root cause and resolution of non-compliance of critical food safety and quality limits, and deviations from food safety and quality requirements, shall be documented and implemented.</p> <p>2.5.5.2 Records of all investigation and resolution of corrections and corrective action shall be maintained.</p>
<p><b>2.5.6 Product Sampling, Inspection and Analysis</b></p> <p>This clause is not applied at level 1.</p>	<p><b>2.5.6 Product Sampling, Inspection and Analysis</b></p> <p>2.5.6.1 The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work in progress shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> <li>i. Inspections and analyses are completed at regular intervals as required and to agreed specification and legal requirements;</li> <li>ii. Inspections are conducted to ensure raw materials, work in process and finished products comply with the relevant specification, regulatory requirements and are true to label; and</li> <li>iii. All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods.</li> <li>iv. Where external laboratories are utilized to conduct input or product analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard.</li> </ul> <p>2.5.6.2 Records of all inspections and analyses shall be maintained.</p>	<p><b>2.5.6 Product Sampling, Inspection and Analysis</b></p> <p>2.5.6.1 The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work in progress, and for analyzing and assessing product quality and sensory attributes shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> <li>i. Inspections and analyses are completed at regular intervals as required and to agreed specification and legal requirements;</li> <li>ii. Inspections are conducted to ensure raw materials, work in process and finished products comply with the relevant specification, regulatory requirements, are true to label and comply with weights and measure requirements after shelf life trials are completed; and</li> <li>iii. All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods.</li> <li>iv. Where external laboratories are utilized to conduct input or product analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard.</li> <li>v. Sensory analysis and evaluations are completed after shelf life trials, as</li> </ul>

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		appropriate, and at intervals designed to demonstrate the products sensory characteristics are consistently being achieved; vi. Sensory evaluations comply with the relevant product sensory attributes specified by the customer; and vii. Sensory evaluations are conducted by trained personnel in accordance with established methods or as specified by the customer. 2.5.6.2 Records of all inspections, analyses, sensory evaluations and actions arising from inspections, analyses and sensory evaluations shall be maintained.
<b>2.5.7 Internal Audits (M)</b>	<b>2.5.7 Internal Audits (M)</b>	<b>2.5.7 Internal Audits (M)</b>
2.5.7.1 Regular inspections of the facility and equipment shall be planned and carried out to verify the effectiveness of the SQF System. The supplier shall: <ul style="list-style-type: none"> <li>i. Take correction and corrective action; and</li> <li>ii. Maintain records of inspections and any corrective action taken.</li> </ul>	2.5.7.1 The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System including facility and equipment inspections, pre-requisite programs, food safety plans and legislative controls shall be documented and implemented. The methods applied shall ensure: <ul style="list-style-type: none"> <li>i. An internal audit schedule is prepared detailing the scope and frequency of internal audits;</li> <li>ii. Correction and corrective action of deficiencies identified during the internal audits are undertaken;</li> <li>iii. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions; and</li> <li>iv. Records of internal audits and any corrections and corrective action taken as a result of internal audits shall be maintained.</li> </ul> 2.5.7.2 Staff conducting internal audits shall be trained in internal audit procedures. 2.5.7.3 Where possible staff conducting internal	2.5.7.1 The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System including facility and equipment inspections, pre-requisite programs, food safety plans, food quality plans and legislative controls shall be documented and implemented. The methods applied shall ensure: <ul style="list-style-type: none"> <li>i. An internal audit schedule is prepared detailing the scope and frequency of internal audits;</li> <li>ii. Correction and corrective action of deficiencies identified during the internal audits is undertaken;</li> <li>iii. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying corrective actions; and</li> <li>iv. Records of internal audits and any corrections and corrective action taken as a result of internal audits shall be maintained.</li> </ul> 2.5.7.2 Staff conducting internal audits shall be trained in internal audit procedures. 2.5.7.3 Where possible staff conducting internal

<b>LEVEL 1 Food Safety Fundamentals</b> (accredited certification)	<b>LEVEL 2 Food Safety Plan</b> (accredited certification, GFSI recognition)	<b>LEVEL 3 Food Quality Plan</b> (accredited certification, GFSI + Quality Management)
	Audits shall be independent of the function being audited.	audits shall be independent of the function being audited.
<b>2.6 Product Identification, Trace, Withdrawal and Recall</b>	<b>2.6 Product Identification, Trace, Withdrawal and Recall</b>	<b>2.6 Product Identification, Trace, Withdrawal and Recall</b>
<b>2.6.1 Product Identification (M)</b> 2.6.1.1 A product identification system shall be implemented to ensure: <ul style="list-style-type: none"> <li>i. Product is clearly identified during all stages of receipt, production, storage and dispatch; and</li> <li>ii. Finished product is labeled to the customer specification and/or regulatory requirements.</li> </ul> 2.6.1.2 Product identification records shall be maintained.	<b>2.6.1 Product Identification (M)</b> 2.6.1.1 The methods and responsibility for identifying products during all stages of production and storage shall be documented and implemented. The product identification system shall be implemented to ensure: <ul style="list-style-type: none"> <li>i. Raw materials, work in progress and finished product are clearly identified during all stages of receipt, production, storage and dispatch; and</li> <li>ii. Finished product is labeled to the customer specification and/or regulatory requirements.</li> </ul> 2.6.1.2 Product identification records shall be maintained.	<b>2.6.1 Product Identification (M)</b> 2.6.1.1 The methods and responsibility for identifying products during all stages of production and storage shall be documented and implemented. The product identification system shall be implemented to ensure: <ul style="list-style-type: none"> <li>i. Raw materials, work in progress and finished product are clearly identified during all stages of receipt, production, storage and dispatch; and</li> <li>ii. Finished product is labeled to the customer specification and/or regulatory requirements.</li> </ul> 2.6.1.2 Product identification records shall be maintained.
<b>2.6.2 Product Trace (M)</b> 2.6.2.1 A product trace system shall be implemented to ensure: <ul style="list-style-type: none"> <li>i. Finished product is traceable to the customer (one up) and provides traceability through the process to raw materials, food contact packaging and materials and other inputs (one back);</li> <li>ii. Traceability is maintained where product is reworked; and</li> <li>iii. The effectiveness of the product trace system shall be tested at least annually.</li> </ul> 2.6.2.2 Records of raw and packaging material receipt and use, and product dispatch and destination shall be maintained.	<b>2.6.2 Product Trace (M)</b> 2.6.2.1 The responsibility and methods used to trace product shall be documented and implemented to ensure: <ul style="list-style-type: none"> <li>i. Finished product is traceable to the customer (one up) and provides traceability through the process to the supplier and date of receipt of raw materials, food contact packaging and materials and other inputs (one back);</li> <li>ii. Traceability is maintained where product is reworked; and</li> <li>iii. The effectiveness of the product trace system shall be tested at least annually.</li> </ul>	<b>2.6.2 Product Trace (M)</b> 2.6.2.1 The responsibility and methods used to trace product shall be documented and implemented to ensure: <ul style="list-style-type: none"> <li>i. Finished product is traceable to the customer (one up) and provides traceability through the process to the supplier and date of receipt of raw materials, food contact packaging and materials and other inputs (one back);</li> <li>ii. Traceability is maintained where product is reworked; and</li> <li>iii. The effectiveness of the product trace system shall be tested at least annually.</li> </ul>

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	2.6.2.2 Records of raw and packaging material receipt and use, and product dispatch and destination shall be maintained.	2.6.2.2 Records of raw and packaging material receipt and use, and product dispatch and destination shall be maintained.
<p><b>2.6.3 Product Withdrawal and Recall (M)</b></p> <p>2.6.3.1 The supplier shall outline the methods and responsibility for notifying their customers and other essential bodies where circumstances arise that require product to be withdrawn or recalled from distribution.</p>	<p><b>2.6.3 Product Withdrawal and Recall (M)</b></p> <p>2.6.3.1 The responsibility and methods used to withdraw or recall product shall be documented and implemented. The procedure shall:</p> <ul style="list-style-type: none"> <li>i. Identify those responsible for initiating, managing and investigating a product withdrawal or recall;</li> <li>ii. Describe the management procedures to be implemented including sources of legal and expert advice; and</li> <li>iii. Outline a communication plan to inform customers, consumers, authorities and other essential bodies in a timely manner appropriate to the nature of the incident.</li> </ul> <p>2.6.3.2 Investigation shall be undertaken to determine the root cause of a withdrawal or recall and details of investigations and any action taken shall be documented.</p> <p>2.6.3.3 The product withdrawal and recall system shall be reviewed, tested and verified as effective at least annually.</p> <p>2.6.3.4 Records of all product withdrawals and recalls shall be maintained.</p>	<p><b>2.6.3 Product Withdrawal and Recall (M)</b></p> <p>2.6.3.1 The responsibility and methods used to withdraw or recall product shall be documented and implemented. The procedure shall:</p> <ul style="list-style-type: none"> <li>i. Identify those responsible for initiating, managing and investigating a product withdrawal or recall;</li> <li>ii. Describe the management procedures to be implemented including sources of legal and expert advice; and</li> <li>iii. Outline a communication plan to inform customers, consumers, authorities and other essential bodies in a timely manner appropriate to the nature of the incident.</li> </ul> <p>2.6.3.2 Investigation shall be undertaken to determine the root cause of a withdrawal or recall and details of investigations and any action taken shall be documented.</p> <p>2.6.3.3 The product withdrawal and recall system shall be reviewed, tested and verified as effective at least annually.</p> <p>2.6.3.4 Records of all product withdrawals and recalls shall be maintained.</p>
<b>2.7 Site Security</b>	<b>2.7 Site Security</b>	<b>2.7 Site Security</b>
<p><b>2.7.1 Food Defense (M)</b></p> <p>2.7.1.1 The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident shall be documented, implemented and maintained.</p> <p>2.7.1.2 A food defense protocol shall be prepared and include:</p>	<p><b>2.7.1 Food Defense (M)</b></p> <p>2.7.1.1 The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident shall be documented, implemented and maintained.</p> <p>2.7.1.2 A food defense protocol shall be prepared and include:</p>	<p><b>2.7.1 Food Defense (M)</b></p> <p>2.7.1.1 The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident shall be documented, implemented and maintained.</p> <p>2.7.1.2 A food defense protocol shall be prepared and include:</p>

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<ul style="list-style-type: none"> <li>i. The name of the senior management person responsible for food defense;</li> <li>ii. The methods implemented to ensure only authorized personnel have access to manufacturing and storage areas through designated access points;</li> <li>iii. The methods implemented to protect sensitive processing points from intentional adulteration;</li> <li>iv. The measures taken to ensure the secure storage of raw materials, packaging, equipment and hazardous chemicals;</li> <li>v. The measures implemented to ensure finished product is held under secure storage and transportation conditions; and</li> <li>vi. The methods implemented to record and control access to the premises by employees, contractors, and visitors.</li> </ul>	<ul style="list-style-type: none"> <li>i. The name of the senior management person responsible for food defense;</li> <li>ii. The methods implemented to ensure only authorized personnel have access to crops, production equipment and vehicles, manufacturing and storage areas through designated access points;</li> <li>iii. The methods implemented to protect sensitive processing points from intentional adulteration;</li> <li>iv. The measures taken to ensure the secure storage of raw materials, packaging, equipment and hazardous chemicals;</li> <li>v. The measures implemented to ensure harvested crop and/or finished product is held under secure storage and transportation conditions; and</li> <li>vi. The methods implemented to record and control access to the premises by employees, contractors, and visitors.</li> </ul>	<ul style="list-style-type: none"> <li>i. The name of the senior management person responsible for food defense;</li> <li>ii. The methods implemented to ensure only authorized personnel have access to crops, production equipment and vehicles, manufacturing and storage areas through designated access points;</li> <li>iii. The methods implemented to protect sensitive processing points from intentional adulteration;</li> <li>iv. The measures taken to ensure the secure storage of raw materials, packaging, equipment and hazardous chemicals;</li> <li>v. The measures implemented to ensure harvested crop and/or finished product is held under secure storage and transportation conditions; and</li> <li>vi. The methods implemented to record and control access to the premises by employees, contractors, and visitors.</li> </ul>

<b>2.8 Identity Preserved Foods</b>	<b>2.8 Identity Preserved Foods</b>	<b>2.8 Identity Preserved Foods</b>
<b>2.8.1 General Requirements for Identity Preserved Foods</b>	<b>2.8.1 General Requirements for Identity Preserved Foods</b>	<b>2.8.1 General Requirements for Identity Preserved Foods</b>
<p>This clause is not applied at level 1.</p>	<p>This clause is not applied at level 2.</p>	<p>2.8.1.1 The methods and responsibility for the identification and processing of Kosher, HALAL, organic, Genetically Modified Organisms (GMO) food and other products requiring the preservation of their identity preserved status shall be documented and implemented.</p> <p>2.8.1.2 Identification shall include a statement of the product's identity preserved status of all ingredients, including additives, preservatives, processing aids and flavorings.</p> <p>2.8.1.3 Raw material and ingredient specifications to identity preserved foods shall include requirements for their handling, transport, storage and delivery prior to use.</p>

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		<p>2.8.1.4 Assurances concerning the raw material or ingredient’s identity preserved status shall be by agreement with the supplier.</p> <p>2.8.1.5 The process description shall allow for a product’s identity preserved status to be maintained during manufacturing.</p> <p>2.8.1.6 The processing of identity preserved foods shall be conducted under controlled conditions such that:</p> <ul style="list-style-type: none"> <li>i. Ingredients are physically separated from ingredients identified as incompatible with the identity preserved food;</li> <li>ii. Processing is completed in separate rooms; or scheduled as the first production run; or carried out after the completion of a thorough sanitation of the area and equipment; and</li> <li>iii. Finished product is stored and transported in separate units or isolated by a physical barrier from non-specialty product.</li> </ul> <p>2.8.1.7 The identity preserved status shall be declared in accordance with current legal requirements.</p> <p>2.8.1.8 Customer requirements concerning identity preserved foods shall be included in the finished product specification described in 2.3.5, or label register, and implemented by the supplier.</p>
<p><b>2.8.2 Allergen Management</b></p>	<p><b>2.8.2 Allergen Management</b></p>	<p><b>2.8.2 Allergen Management</b></p>
<p>2.8.2.1 The responsibility and methods used to control allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen management program shall include:</p> <ul style="list-style-type: none"> <li>i. A risk analysis of those raw materials, ingredients and processing aids, including food grade lubricants, that contain allergens;</li> <li>ii. A register of allergens which is applicable in the country of manufacture and the</li> </ul>	<p>2.8.2.1 The responsibility and methods used to control allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen management program shall include:</p> <ul style="list-style-type: none"> <li>i. A risk analysis of those raw materials, ingredients and processing aids, including food grade lubricants, that contain allergens;</li> <li>ii. A register of allergens which is applicable in the country of manufacture and the</li> </ul>	<p>2.8.2.1 The responsibility and methods used to control allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen management program shall include:</p> <ul style="list-style-type: none"> <li>i. A risk analysis of those raw materials, ingredients and processing aids, including food grade lubricants, that contain allergens;</li> <li>ii. A register of allergens which is applicable in the country of manufacture and the</li> </ul>

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<p>country(ies) of destination;</p> <ul style="list-style-type: none"> <li>iii. A list of allergens which is accessible by relevant staff.</li> <li>iv. The hazards associated with allergens and their control shall be identified</li> <li>v. Instructions on how to identify, handle, store and segregate raw materials containing allergens provided to staff responsible for receiving those target raw materials.</li> <li>vi. Provision to clearly identify and segregate foods that contain allergens</li> <li>vii. Cleaning and sanitation of product contact surfaces between line changeovers shall be effective, appropriate to the risk and legal requirements, and sufficient to remove all potential allergens from product contact surfaces, including aerosols as appropriate, to prevent cross contact.</li> <li>viii. Based on risk assessment, procedures for verification of the effectiveness of the cleaning and sanitation of areas and equipment in which allergens are used shall be effectively implemented.</li> <li>ix. Separate handling and production equipment where satisfactory line hygiene and clean-up or segregation is not possible.</li> </ul> <p>2.8.2.2 The product identification system shall make provision for clear identification and labeling in accordance with regulatory requirements of those products produced on production lines and equipment on which foods containing allergens were manufactured.</p> <p>2.8.2.3 The product trace system shall take into consideration the conditions under which allergen containing foods are manufactured and ensure full trace back of all ingredients used.</p> <p>2.8.2.4 Re-working of product containing allergen causing agents shall be conducted under conditions</p>	<p>country(ies) of destination;</p> <ul style="list-style-type: none"> <li>iii. A list of allergens which is accessible by relevant staff.</li> <li>iv. The hazards associated with allergens and their control incorporated into the food safety plan.</li> <li>v. Instructions on how to identify, handle, store and segregate raw materials containing allergens provided to staff responsible for receiving those target raw materials.</li> <li>vi. Provision to clearly identify and segregate foods that contain allergens.</li> <li>vii. Cleaning and sanitation of product contact surfaces between line changeovers shall be effective, appropriate to the risk and legal requirements, and sufficient to remove all potential target allergens from product contact surfaces, including aerosols as appropriate, to prevent cross contact.</li> <li>viii. Based on risk assessment, procedures for validation and verification of the effectiveness of the cleaning and sanitation of areas and equipment in which allergens are used shall be effectively implemented.</li> <li>ix. Separate handling and production equipment where satisfactory line hygiene and clean-up or segregation is not possible.</li> </ul> <p>2.8.2.2 The product identification system shall make provision for clear identification and labeling in accordance with regulatory requirements of those products produced on production lines and equipment on which foods containing allergens were manufactured.</p> <p>2.8.2.3 The product trace system shall take into consideration the conditions under which allergen containing foods are manufactured and ensure full</p>	<p>country(ies) of destination;</p> <ul style="list-style-type: none"> <li>iii. A list of allergens which is accessible by relevant staff.</li> <li>iv. The hazards associated with allergens and their control incorporated into the food safety plan.</li> <li>v. Instructions on how to identify, handle, store and segregate raw materials containing allergens provided to staff responsible for receiving those target raw materials.</li> <li>vi. Provision to clearly identify and segregate foods that contain allergens,</li> <li>vii. Cleaning and sanitation of product contact surfaces between line changeovers shall be effective, appropriate to the risk and legal requirements, and sufficient to remove all potential target allergens from product contact surfaces, including aerosols as appropriate, to prevent cross contact.</li> <li>viii. Based on risk assessment, procedures for validation and verification of the effectiveness of the cleaning and sanitation of areas and equipment in which allergens are used shall be effectively implemented.</li> <li>ix. Separate handling and production equipment where satisfactory line hygiene and clean-up or segregation is not possible.</li> </ul> <p>2.8.2.2 The product identification system shall make provision for clear identification and labeling in accordance with regulatory requirements of those products produced on production lines and equipment on which foods containing allergens were manufactured.</p> <p>2.8.2.3 The product trace system shall take into consideration the conditions under which allergen containing foods are manufactured and ensure full</p>

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<p>that ensure product safety and integrity is maintained. Re-worked product containing allergens shall be clearly identified and traceable.</p>	<p>trace back of all ingredients used.                      2.8.2.4 Re-working of product containing allergen causing agents shall be conducted under conditions that ensure product safety and integrity is maintained. Re-worked product containing allergens shall be clearly identified and traceable.</p>	<p>trace back of all ingredients used.                      2.8.2.4 Re-working of product containing allergen causing agents shall be conducted under conditions that ensure product safety and integrity is maintained. Re-worked product containing allergens shall be clearly identified and traceable.</p>
<p><b>2.9 Training</b></p>	<p><b>2.9 Training</b></p>	<p><b>2.9 Training</b></p>
<p><b>2.9.1 Training Requirements</b></p>	<p><b>2.9.1 Training Requirements</b></p>	<p><b>2.9.1 Training Requirements</b></p>
<p>2.9.1.1 Appropriate training shall be provided for personnel carrying out the tasks critical to the effective implementation of the SQF level 1 System and the maintenance of food safety and regulatory requirements.</p>	<p>2.9.1.1 Appropriate training shall be provided for personnel carrying out the tasks critical to the effective implementation of the SQF level 2 System and the maintenance of food safety and regulatory requirements.</p>	<p>2.9.1.1 Appropriate training shall be provided for personnel carrying out the tasks critical to the effective implementation of the SQF level 3 System and the maintenance of food safety, regulatory requirements, and quality.</p>
<p><b>2.9.2 Training Program (M)</b></p>	<p><b>2.9.2 Training Program (M)</b></p>	<p><b>2.9.2 Training Program (M)</b></p>
<p>2.9.2.1 An employee training program shall be documented and implemented. It shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with:</p> <ul style="list-style-type: none"> <li>i. Developing and applying Good Agricultural Practices, Good Aquaculture Practices, or Good Manufacturing Practices (as appropriate).</li> <li>ii. Applying food regulatory requirements;</li> </ul>	<p>2.9.2.1 An employee training program shall be documented and implemented. It shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with:</p> <ul style="list-style-type: none"> <li>i. Developing and applying Good Agricultural Practices, Good Aquaculture Practices, or Good Manufacturing Practices (as appropriate).</li> <li>ii. Applying food regulatory requirements;</li> <li>iii. Steps identified by the hazard analysis and/or other instructions as critical to effective implementation of the food safety plan and the maintenance of food safety; and</li> <li>iv. Tasks identified as critical to meeting the effective implementation and maintenance of the SQF System.</li> </ul>	<p>2.9.2.1 An employee training program shall be documented and implemented. It shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with:</p> <ul style="list-style-type: none"> <li>i. Developing and applying Good Agricultural Practices, Good Aquaculture Practices, or Good Manufacturing Practices (as appropriate).</li> <li>ii. Applying food regulatory requirements;</li> <li>iii. Steps identified by the hazard analysis and other instructions as critical to effective implementation of the food safety plan and the maintenance of food safety;</li> <li>iv. Steps identified as critical to effective implementation of the food quality plan and the maintenance of food quality; and</li> <li>v. Tasks identified as critical to meeting the effective implementation and maintenance of the SQF System.</li> </ul>

<b>LEVEL 1 Food Safety Fundamentals (accredited certification)</b>	<b>LEVEL 2 Food Safety Plan (accredited certification, GFSI recognition)</b>	<b>LEVEL 3 Food Quality Plan (accredited certification, GFSI + Quality Management)</b>
<p><b>2.9.3 Instructions</b></p> <p>2.9.3.1 Instructions shall be available explaining how all tasks related to food safety and regulatory compliance are to be performed.</p>	<p><b>2.9.3 Instructions</b></p> <p>2.9.3.1 Instructions shall be available explaining how all tasks critical to meeting regulatory compliance, the maintenance of food safety and process efficiency are to be performed.</p>	<p><b>2.9.3 Instructions</b></p> <p>2.9.3.1 Instructions shall be available explaining how all tasks critical to meeting customer specifications, regulatory compliance, the maintenance of food safety, quality and process efficiency are to be performed.</p>
<p><b>2.9.4 HACCP Training Requirement</b></p> <p>This clause is not applied at level 1.</p>	<p><b>2.9.4 HACCP Training Requirement</b></p> <p>2.9.4.1 HACCP training shall be provided for staff involved in developing and maintaining food safety plans.</p>	<p><b>2.9.4 HACCP Training Requirement</b></p> <p>2.9.4.1 HACCP training shall be provided for staff involved in developing and maintaining food safety plans and food quality plans.</p>
<p><b>2.9.5 Language</b></p> <p>2.9.5.1 Training materials and the delivery of training shall be provided in language understood by staff.</p>	<p><b>2.9.5 Language</b></p> <p>2.9.5.1 Training materials and the delivery of training shall be provided in language understood by staff.</p>	<p><b>2.9.5 Language</b></p> <p>2.9.5.1 Training materials and the delivery of training shall be provided in language understood by staff.</p>
<p><b>2.9.6 Refresher Training</b></p> <p>2.9.6.1 The training program shall include provision for identifying and implementing the refresher training needs of the organization.</p>	<p><b>2.9.6 Refresher Training</b></p> <p>2.9.6.1 The training program shall include provision for identifying and implementing the refresher training needs of the organization.</p>	<p><b>2.9.6 Refresher Training</b></p> <p>2.9.6.1 The training program shall include provision for identifying and implementing the refresher training needs of the organization.</p>
<p><b>2.9.7 Training Skills Register</b></p> <p>2.9.7.1 A training skills register describing who has been trained in relevant skills shall be maintained.</p>	<p><b>2.9.7 Training Skills Register</b></p> <p>2.9.7.1 A training skills register describing who has been trained in relevant skills shall be maintained. The register shall indicate the:</p> <ul style="list-style-type: none"> <li>i. Participant name;</li> <li>ii. Skills description;</li> <li>iii. Description of the training provided;</li> <li>iv. Date training completed;</li> <li>v. Trainer or training provider; and</li> <li>vi. Supervisor’s verification the training was completed and that the trainee is competent to complete the required tasks.</li> </ul>	<p><b>2.9.7 Training Skills Register</b></p> <p>2.9.7.1 A training skills register describing who has been trained in relevant skills shall be maintained. The register shall indicate the:</p> <ul style="list-style-type: none"> <li>i. Participant name;</li> <li>ii. Skills description;</li> <li>iii. Description of the training provided;</li> <li>iv. Date training completed;</li> <li>v. Trainer or training provider; and</li> <li>vi. Supervisor’s verification the training was completed and that the trainee is competent to complete the required tasks.</li> </ul>

## Module 3: Animal Feed Safety Fundamentals – Good Manufacturing Practices for Animal Feed Production (GFSI Scope F)

This module covers the Good Manufacturing Practices requirements for the manufacture of both single ingredient animal feeds and animal feeds from more than one source.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable sector categories (FSCs) are:

FSC 34: Manufacture of animal feeds

This module applies to the manufacture of animal feed, which is any single or multiple materials, whether processed, semi-processes, or raw, which is intended to be fed directly to food producing animals.

### 3.1 Site Requirements and Approval

#### 3.1.1 Premises Location

3.1.1.1 The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

3.1.1.2 Measures shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.

#### 3.1.2 Construction and Operational Approval

3.1.2.1 The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.

### 3.2 Construction and Control of Product Handling and Storage Areas

#### 3.2.1 Materials and Surfaces

3.2.1.1 Product contact surfaces and those surfaces not in direct contact with feed in feed handling areas, raw material storage, and packaging material storage, shall be constructed of materials that will not contribute a feed safety risk.

#### 3.2.2 Floors, Drains and Waste Traps

3.2.2.1 Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

3.2.2.2 When water is used, floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or waste water under normal working conditions.

3.2.2.3 Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

3.2.2.4 Waste trap System shall be located away from any feed handling area or entrance to the premises.

#### 3.2.3 Walls, Partitions, Doors and Ceilings

3.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be impervious and shall be kept clean (refer to element 3.2.13.1).

3.2.3.2 Wall to wall and wall to floor junctions shall be designed to be cleaned and sealed to prevent the accumulation of debris.

3.2.3.3 Ducting, conduit and pipes that convey services such as steam or water shall be designed and constructed so as to allow ease of cleaning.

3.2.3.4 Doors, hatches and windows and their frames shall be of a material and construction which meets the same functional requirements for internal walls and partitions.

i. Doors and hatches shall be of solid construction; and

ii. Windows shall be made of shatterproof glass or similar material.

3.2.3.5 Feed shall be processed and handled in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of products.

3.2.3.6 Drop ceilings shall be additionally constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.

#### 3.2.4 Stairs, Catwalks and Platforms

3.2.4.1 Stairs, catwalks and platforms in feed processing and handling areas shall be designed and constructed so as not to present a product contamination risk, and shall be kept clean (refer to element 3.2.13.1).

#### 3.2.5 Lighting and Light Fittings

3.2.5.1 Lighting in feed manufacturing and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

3.2.5.2 Light fittings in processing areas, inspection stations, ingredient and packaging storage areas, and all areas where the product is exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers.

3.2.5.3 Light fittings in warehouses and other areas where the product is protected shall be designed such as to prevent breakage and product contamination.

### **3.2.6 Inspection Area**

3.2.6.1 A suitable area with sufficient lighting and access to hand washing facilities shall be provided for the inspection of the product if required.

### **3.2.7 Dust, Fly and Vermin Prevention**

3.2.7.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed

3.2.7.2 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to the product, packaging, containers or processing equipment. Poison shall not be used inside ingredient or feed storage areas or processing areas.

### **3.2.8 Ventilation**

3.2.8.1 Adequate ventilation shall be provided in enclosed manufacturing and feed handling areas.

3.2.8.2 Extractor fans and/or canopies shall be provided in areas where cooking operations are carried out or a large amount of steam is generated.

### **3.2.9 Premises and Equipment Maintenance**

3.2.9.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented, planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

3.2.9.2 Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any feed processing, handling or storage area:

- i. Routine maintenance of plant and equipment shall be performed according to a maintenance-control schedule and recorded;
- ii. Failures of plant and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule;
- iii. Compliance with the personnel and process hygiene requirements (refer to elements 3.3.1, 3.3.2, 3.3.3, 3.3.4) by maintenance staff and contractors;
- iv. Ensure facility supervisors are notified when maintenance or repairs are to be undertaken in any feed handling area;
- v. Inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times;
- vi. Remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.

3.2.9.3 The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality.

3.2.9.4 Lubricants shall be fit for purpose, meet regulatory requirements, and be food grade where there is potential of direct contact with animal feed.

3.2.9.5 Paint used in a feed handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface.

### **3.2.10 Calibration**

3.2.10.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in pre-requisite program, feed safety plans and feed quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

3.2.10.2 Procedures shall be documented and implemented to address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state.

3.2.10.3 Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.

3.2.10.4 Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.

3.2.10.5 Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

3.2.10.6 Calibration records shall be maintained.

### **3.2.11 Management of Pests and Vermin**

3.2.11.1 The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounding areas, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

- 3.2.11.2 The pest and vermin management program shall:
- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
  - ii. Identify the target pests for each pesticide application;
  - iii. Outline the methods used to prevent pest problems;
  - iv. Outline the pest elimination methods;
  - v. Outline the frequency with which pest status is to be checked;
  - vi. Include on a site map the identification, location, number and type of bait stations set;
  - vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
  - viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station;
  - ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and
  - x. Measure the effectiveness of the program to verify the elimination of applicable pests.
- 3.2.11.3 Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.
- 3.2.11.4 Records of all pest control applications shall be maintained.
- 3.2.11.5 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 3.6.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of feed and feed contact surfaces.
- 3.2.11.6 Pest control contractors shall be:
- i. Licensed and approved by the local relevant authority;
  - ii. Use only trained and qualified operators who comply with regulatory requirements;
  - iii. Use only approved chemicals;
  - iv. Provide a pest control management plan (see Contract Services 2.3.3) which will include a site map indicating the location of bait stations and traps;
  - v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments; and
  - vi. Provide a written report of their findings and the inspections and treatments applied.
- 3.2.11.7 The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that:
- i. Empty chemical containers are not reused;
  - ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and
  - iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

### **3.2.12 Equipment, Utensils and Protective Clothing**

- 3.2.12.1 Equipment and utensils shall be designed, constructed, installed, operated and operated so as to be fit for purpose, constructed to facilitate cleaning and maintenance, and not pose a contamination threat to feed products.
- 3.2.12.2 Waste and overflow water from tubs, tanks and other equipment shall be discharged direct to the floor drainage system.
- 3.2.12.3 Protective clothing, where used, shall be manufactured from material that is not likely to contaminate feed and easily cleaned.
- 3.2.12.4 When protective clothing is used, racks shall be provided for the temporary storage of protective clothing when staff leaves the processing area and shall be provided in close proximity or adjacent to the hand washing facilities.

### **3.2.13 Cleaning and Sanitation**

- 3.2.13.1 The methods and responsibility for the cleaning of feed handling and processing equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to:
- i. What is to be cleaned;
  - ii. How it is to be cleaned;
  - iii. When it is to be cleaned;
  - iv. Who is responsible for the cleaning;
  - v. Methods used to confirm the correct concentrations of detergents and sanitizers, and

- vi. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.
- 3.2.13.2 Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing.
- 3.2.13.3 Suitably equipped areas shall be designated for cleaning product containers, knives, and other utensils and for cleaning of protective clothing used by staff. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or product. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.
- 3.2.13.4 The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.
- 3.2.13.5 Detergents and sanitizers shall be suitable for use in a feed manufacturing environment, and purchased in accordance with applicable legislation. The organization shall ensure:
- i. An inventory of all chemicals purchased and used shall be maintained;
  - ii. Detergents and sanitizers are stored as outlined in element 3.6.4;
  - iii. Material Safety Data Sheets (MSDS) are provided for all detergents and sanitizers purchased; and
  - iv. Only trained staff handles sanitizers and detergents.
- 3.2.13.6 The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that:
- i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use;
  - ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and
  - iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.
- 3.2.13.7 A record of hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.

### 3.3 Personnel Hygiene and Welfare

#### 3.3.1 Personnel

- 3.3.1.1 Personnel suffering from infectious diseases or are carriers of any infectious disease shall not engage in product handling or processing operation.
- 3.3.1.2 Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing feed or handling primary packaging materials or feed contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a bandage or an alternative suitable waterproof dressing.
- 3.3.1.3 Smoking, chewing, eating, drinking or spitting is not permitted in any feed processing or feed handling areas.

#### 3.3.2 Hand Washing

- 3.3.2.1 Hand wash basins shall be provided.
- 3.3.2.2 Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with:
- i. A potable water supply at an appropriate temperature;
  - ii. Liquid soap contained within a fixed dispenser;
  - iii. Paper towels in a hands free cleanable dispenser; and
  - iv. A means of containing used paper towels.
- 3.3.2.3 A sign advising people to wash their hands, and in appropriate languages, shall be provided in a prominent position.
- 3.3.2.4 Hands shall be washed by all personnel, including staff, contractors and visitors:
- i. On entering feed handling or processing areas;
  - ii. After each visit to a toilet;
  - iii. After using a handkerchief;
  - iv. After smoking, eating or drinking; and
  - v. After handling contaminated material.
- 3.3.2.5 When gloves are used, personnel shall maintain the hand washing practices outlined above.

#### 3.3.3 Clothing

- 3.3.3.1 Clothing worn by staff engaged in handling feed shall be maintained, stored, laundered and worn so as not to present a contamination risk to products.

### 3.3.4 Jewelry and Personal Effects

3.3.4.1 Jewelry and other loose objects shall not be worn or taken into a feed handling or processing operation or any area where feed is exposed. The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted.

### 3.3.5 Visitors

3.3.5.1 All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any feed processing or handling area.

3.3.5.2 All visitors shall be required to remove jewelry and other loose objects.

3.3.5.3 Visitors exhibiting visible signs of illness shall be prevented from entering areas in which feed is handled or processed.

3.3.5.4 Visitors shall enter and exit feed handling areas through the proper staff entrance points and comply with all hand washing and personnel practice requirements.

### 3.3.6 Staff Amenities

3.3.6.1 Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of feed.

### 3.3.7 Change Rooms

3.3.7.1 Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.

3.3.7.2 Change rooms shall be provided for staff engaged in the processing of feeds or processing operations in which clothing can be soiled.

3.3.7.3 Provision shall be made for staff to store their street clothing and personal items separate from feed contact zones and feed and packaging storage areas.

3.3.7.4 Where required, a sufficient number of showers shall be provided for use by staff.

### 3.3.8 Sanitary Facilities

3.3.8.1 Toilet rooms shall be:

- i. Designed and constructed so that they are accessible to staff and separate from any feed processing and handling operations;
- ii. Sufficient in number for the maximum number of staff;
- iii. Constructed so that they can be easily cleaned and maintained; and
- iv. Kept clean and tidy.

3.3.8.2 Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system.

3.3.8.3 Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 3.3.2.2.

### 3.3.9 Lunch Rooms

3.3.9.1 Separate lunch room facilities shall be provided away from a feed contact/handling zone.

3.3.9.2 Lunch room facilities shall be:

- i. Ventilated and well lit;
- ii. Provided with adequate tables and seating;
- iii. Equipped with a sink serviced with hot and cold potable water for washing utensils; and
- iv. Kept clean and free from waste materials and pests.

3.3.9.3 Signage in appropriate languages instructing people to wash their hands before entering the feed processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

### 3.3.10 First Aid

3.3.10.1 First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

## 3.4 Processing Practices

### 3.4.1 Staff Engaged in Feed Handling and Processing Operations

3.4.1.1 All personnel engaged in any feed handling, preparation or processing operations shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination. They shall comply with the following processing practices:

- i. Personnel entry to processing areas shall be through the personnel access doors only;
- ii. Packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor;
- iii. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate.

### 3.4.2 Product Formulation

3.4.2.1 Feed product formulations shall be developed by authorized persons to ensure that they meet the designated need. The formulations should include all manufacturing instructions with regard to flushing, sequencing, special instructions and cleanout procedures.

3.4.2.2 Procedures shall be documented and implemented to ensure that feed is manufactured to approved product formulations, and uses only materials and ingredients that are fit for purpose. Attention shall be paid to assuring raw materials prohibited from use in the manufacture of animal feed are not introduced into the product.

### 3.4.3 Application of Medicines

3.4.3.1 Medication shall be purchased from an approved supplier in accordance with applicable legislation, and be correctly labeled by the manufacturer.

3.4.3.2 All medicines included in animal feed must be added in accordance with label instructions.

3.4.3.3 Access to medications shall be restricted to trained and authorized personnel.

3.4.3.4 An inventory of all animal medications purchased and used shall be maintained. The supplier shall provide proof of purchase for all animal medications included in the inventory and used within the facility. Animal medications shall be subject to proper rotation based on expiration date. Expired medications shall not be used.

3.4.3.5 The supplier shall dispose of unused animal medications, expired medications, and empty containers in accordance with regulatory requirements and ensure that empty containers are not re-used; and are isolated and securely stored while awaiting disposal.

## 3.5 Water and Air Supply

### 3.5.1 Water Supply

3.5.1.1 Adequate supplies of potable water drawn from a known clean source shall be provided for use during processing operations, as an ingredient and for cleaning the premises and equipment.

3.5.1.2 Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

### 3.5.2 Monitoring Water Microbiology and Quality

3.5.2.1 Water used for

- i. washing and treating feed;
- ii. an ingredient or feed processing aid;
- iii. cleaning feed contact surfaces, and
- iv. the manufacture of steam that will come in contact with feed or used to heat water that will come in contact with feed

shall comply with local, national or internationally recognized potable water microbiological and quality standards as required.

### 3.5.3 Water Delivery

3.5.3.1 The delivery of water within the premises shall ensure potable water is not contaminated.

3.5.3.2 The use of non-potable water shall be controlled such that:

- i. There is no cross contamination between potable and non-potable water lines;
- ii. Non-potable water piping and outlets are clearly identified.

### 3.5.4 Water Treatment

3.5.4.1 Where appropriate, water treatment methods, equipment and materials shall be designed, installed and operated to ensure water receives an effective treatment.

3.5.4.2 Water treatment equipment shall be monitored regularly to ensure it remains serviceable.

3.5.4.3 Treated water shall be regularly monitored to ensure it meets the indicators specified.

### 3.5.5 Analysis

3.5.5.1 Microbiological analysis of water used in manufacturing shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.

3.5.5.2 Water shall be analyzed using reference standards and methods.

### 3.5.6 Air Quality

3.5.6.1 Compressed air that comes into contact with animal feed shall be clean and present no risk to feed safety.

3.5.6.2 Compressed air that comes into contact with animal feed shall be regularly monitored for purity.

## 3.6 Storage and Transport

### 3.6.1 Cold Storage, Freezing and Chilling

3.6.1.1 The supplier shall provide confirmation of the effective operational performance of freezing, chilling and cold storage facilities. Chillers, blast freezers and cold storage rooms shall be:

- i. Designed and constructed to allow for the hygienic and efficient refrigeration of feed; and

ii. Easily accessible for inspection and cleaning.

3.6.1.2 Sufficient refrigeration capacity shall be available to chill, freeze, store chilled or store frozen the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.

3.6.1.3 Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.

3.6.1.4 Freezing, chilling and cold storage rooms shall be fitted with temperature monitoring equipment and located so as to monitor the warmest part of the room and be fitted with a temperature measurement device that is easily readable and accessible.

### **3.6.2 Storage of Dry Ingredients, Packaging, and Finished Product**

3.6.2.1 Rooms used for the storage of product ingredients, packaging, and other dry goods shall be designed and constructed to protect the product from contamination and deterioration.

3.6.2.2 Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent packaging from becoming a harborage for pests or vermin.

3.6.2.3 Vehicles used in feed contact, handling or processing zones or in cold storage rooms shall be designed and operated so as not to present a feed safety hazard.

3.6.2.4 Medications for use in feed manufacture shall be stored in securable, dedicated storage, or area dedicated for such purpose, and in accordance with regulatory requirements or in the absence of regulatory requirements, manufacturers' instructions.

### **3.6.3 Storage of Equipment and Containers**

3.6.3.1 Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

### **3.6.4 Storage of Hazardous Chemicals and Toxic Substances**

3.6.4.1 Hazardous chemicals and toxic substances with the potential for feed contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored or transported.

3.6.4.2 Processing utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.

3.6.4.3 Daily supplies of chemical used for continuous sanitizing of water or as a processing aid, or for emergency cleaning of feed processing equipment or surfaces in feed contact zones, may be stored within or in close proximity to a processing area provided access to the chemical storage facility is restricted to authorized personnel.

3.6.4.4 Pesticides, rodenticides, fumigants and insecticides shall be stored separate from sanitizers and detergents. All chemicals shall be stored in their original containers.

3.6.4.5 Hazardous chemical and toxic substance storage areas shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be adequately ventilated;
- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be designated and restrict access only to those personnel with formal training in the handling and use of hazardous chemicals and toxic substances;
- v. Have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in close proximity to the storage area;
- viii. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- ix. Be equipped with spillage kits and cleaning equipment.

### **3.6.5 Alternative Storage and Handling of Goods**

3.6.5.1 Where goods described in 3.6.1 to 3.6.4 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on feed safety and quality.

### **3.6.6 Loading, Transport and Unloading Practices**

3.6.6.1 The practices applied during loading, transport and unloading of feed shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Feed shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

### **3.6.7 Loading**

3.6.7.1 Vehicles (trucks/vans/containers) used for transporting feed shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from conditions that may impact negatively on the safety of the product.

3.6.7.2 Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity.

### 3.6.8 Unloading

3.6.8.1 Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity.

## 3.7 Separation of Functions

### 3.7.1 Process Flow

3.7.1.1 The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the process. The flow of personnel shall be managed such that the potential for contamination is minimized

### 3.7.2 Receipt of Raw and Packaging Materials and Ingredients

3.7.2.1 Dry ingredients and packaging shall be received and stored separately from frozen and chilled raw materials to ensure there is no cross contamination. Unprocessed raw materials shall be received and segregated to ensure there is no cross contamination.

### 3.7.3 Thawing of Product

3.7.3.1 Thawing of materials and ingredients shall be undertaken in equipment and rooms appropriate for the purpose.

3.7.3.2 Equipment for water thawing shall be continuous flow to ensure the water exchange rate and temperature does not contribute to product deterioration or contamination. Water overflow shall be directed into the floor drainage system and not onto the floor.

3.7.3.3 Air thawing facilities shall be designed to thaw the product under controlled conditions at a rate and temperature that does not contribute to product deterioration or contamination.

3.7.3.4 Provision is to be made for the containment and regular disposal of used cartons and packaging from thawed product so that there is no risk to the product.

### 3.7.4 Control of Foreign Matter Contamination

3.7.4.1 The responsibility and methods used to prevent foreign matter contamination of the feed shall be documented, implemented and communicated to all staff.

3.7.4.2 Inspections shall be performed to ensure plant and equipment remains in good condition and is effective in preventing foreign matter contamination.

3.7.4.3 The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

3.7.4.4 Preventative measures shall be implemented to prevent glass contamination.

3.7.4.5 Wooden pallets and other wooden utensils used in feed handling/contact zones shall be dedicated for that purpose, clean, maintained in good order. Their condition is subject to regular inspection.

3.7.4.6 Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

3.7.4.7 Knives and cutting instruments used in processing and packaging operations shall be controlled, and kept clean and well maintained.

### 3.7.5 Detection of Foreign Objects

3.7.5.1 The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented.

3.7.5.2 Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected.

3.7.5.3 Records shall be maintained of the inspection by foreign object detection devices, and their verification.

### 3.7.6 Managing Foreign Matter Contamination Incidents

3.7.6.1 In cases of foreign matter contamination the affected batch or item shall be evaluated, inspected and appropriately disposed of.

3.7.6.2 In circumstances where glass or similar material breakage occurs, the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.

## 3.8 On-Site Laboratories

### 3.8.1 Location

3.8.1.1 On site laboratories shall be located separate from any feed processing or handling activity and designed to limit access only to authorized personnel.

3.8.1.2 Provisions shall be made to isolate and contain all laboratory waste held on the premises and manage it separately from feed waste. Laboratory waste water outlet shall as a minimum be down stream of drains that service feed processing and handling areas.

3.8.1.3 Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel.

### **3.9 Waste Disposal**

#### **3.9.1 Dry and Liquid Waste Disposal**

3.9.1.1 The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.

3.9.1.2 Waste shall be removed on a regular basis and not build up in feed handling or processing areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

3.9.1.3 Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.

3.9.1.4 Adequate provision shall be made for the disposal of all solid processing waste including trimmings, and used packaging. Waste held on site prior to disposal shall be stored so as not to present a hazard.

3.9.1.5 Adequate provision shall be made for the disposal of all liquid waste from processing and feed handling areas. Liquid waste shall be either removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal so as not to present a hazard.

3.9.1.6 Reviews of the effectiveness of waste management will form part of routine hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

### **3.10 Exterior**

#### **3.10.1 Grounds and Roadways**

3.10.1.1 The grounds and area surrounding the premises shall be maintained and kept free of waste or accumulated debris so as not to attract pests and vermin.

3.10.1.2 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the feed safety operation of the premises.

## Module 4: Pet Food Safety Fundamentals – Good Manufacturing Practices for Processing of Pet Food Products (GFSI Scope F)

This module covers the Good Manufacturing Practices requirements for the manufacture of pet food which is any substance intended for consumption by domestic animals and specialty pets. It includes dry and moist pet foods and treats, semi-raw, canned, chilled, or frozen product.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

FSC 32: Manufacture of pet food

### 4.1 Site Requirements and Approval

#### 4.1.1 Premises Location

4.1.1.1 The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

4.1.1.2 Measures shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.

#### 4.1.2 Construction and Operational Approval

4.1.2.1 The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.

### 4.2 Construction and Control of Product Handling and Storage Areas

#### 4.2.1 Materials and Surfaces

4.2.1.1 Product contact surfaces and those surfaces not in direct contact with pet food in pet food handling areas, raw material storage, packaging material storage, and cold storage areas shall be constructed of materials that will not contribute a food safety risk.

#### 4.2.2 Floors, Drains and Waste Traps

4.2.2.1 Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

4.2.2.2 Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or waste water under normal working conditions.

4.2.2.3 Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

4.2.2.4 Waste trap systems shall be located away from any pet food handling area or entrance to the premises.

#### 4.2.3 Walls, Partitions, Doors and Ceilings

4.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish, and shall be kept clean (refer to element 4.2.13.1).

4.2.3.2 Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of pet food debris.

4.2.3.3 Ducting, conduit and pipes that convey services such as steam or water shall be designed and constructed so as to allow ease of cleaning.

4.2.3.4 Doors, hatches and windows and their frames shall be of a material and construction which meets the same functional requirements for internal walls and partitions.

i. Doors and hatches shall be of solid construction; and

ii. Windows in product zones shall be made of shatterproof glass or similar material.

4.2.3.5 Pet food shall be processed and handled in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of products.

4.2.3.6 Drop ceilings, where present, shall be additionally constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.

#### 4.2.4 Stairs, Catwalks and Platforms

4.2.4.1 Stairs, catwalks and platforms in pet food processing and handling areas shall be designed and constructed so as not to present a product contamination risk, and shall be kept clean (refer to element 4.2.13.1).

#### 4.2.5 Lighting and Light Fittings

4.2.5.1 Lighting in pet food processing and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

4.2.5.2 Where product, ingredients or packaging is exposed in processing areas, inspection stations, ingredients and packaging storage areas, light fittings shall be manufactured with a shatterproof covering or fitted with protective covers.

4.2.5.3 Light fittings in warehouses and other areas where the product is protected shall be designed such as to prevent breakage and product contamination.

#### 4.2.6 Inspection Area

4.2.6.1 A suitable area with sufficient lighting and easy access to hand cleaning/sanitizing stations shall be provided for the inspection of the product if required.

#### 4.2.7 Dust, Fly and Vermin Prevention

4.2.7.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.

4.2.7.2 Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.

4.2.7.3 External doors, including overhead dock doors in pet food handling areas, used for product, pedestrian or truck access shall be fly-proofed by at least one or a combination of the following methods:

- i. A self-closing device;
- ii. An effective air curtain;
- iii. A fly-proof screen;
- iv. A fly-proof annex;
- v. Adequate sealing around trucks in docking areas.

4.2.7.4 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to the product, packaging, containers or processing equipment. Poison bait shall not be used inside ingredient or pet food storage areas or processing areas.

#### 4.2.8 Ventilation

4.2.8.1 Adequate ventilation shall be provided in enclosed processing and pet food handling areas. Extractor fans and/or canopies shall be provided in areas where cooking operations are carried out or a large amount of steam is generated.

#### 4.2.9 Premises and Equipment Maintenance

4.2.9.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented, planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

4.2.9.2 Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any pet food processing, handling or storage area:

- i. Routine maintenance of plant and equipment shall be performed according to a maintenance-control schedule and recorded;
- ii. Failures of plant and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule;
- iii. Compliance with the personnel and process hygiene requirements (refer to elements 4.3.1, 4.3.2, 4.3.3, 4.3.4) by maintenance staff and contractors;
- iv. Ensure facility supervisors are notified when maintenance or repairs are to be undertaken in any pet food handling area;
- v. Inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times;
- vi. Remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.

4.2.9.3 The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality.

4.2.9.4 Lubricants shall be fit for purpose, meet regulatory requirements, and be food grade where there is potential of direct contact with pet food.

4.2.9.5 Paint used in a pet food handling or contact zone shall be in good condition and shall not be used on any product contact surface.

#### 4.2.10 Calibration

4.2.10.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in pre-requisite program, pet food safety plans and pet food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

4.2.10.2 Procedures shall be documented and implemented to address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state.

4.2.10.3 Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.

4.2.10.4 Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.

4.2.10.5 Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

4.2.10.6 Calibration records shall be maintained.

#### **4.2.11 Management of Pests and Vermin**

4.2.11.1 The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounding areas, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

4.2.11.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the pest elimination methods;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets, MSDS, made available);
- viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station;
- ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and
- x. Measure the effectiveness of the program to verify the elimination of applicable pests.

4.2.11.3 Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.

4.2.11.4 Records of all pest control applications shall be maintained.

4.2.11.5 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 4.6.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of pet food and pet food contact surfaces.

4.2.11.6 Pest control contractors shall be:

- i. Licensed and approved by the local relevant authority;
- ii. Use only trained and qualified operators who comply with regulatory requirements;
- iii. Use only approved chemicals;
- iv. Provide a pest control management plan (see Contract Services 2.3.3) which will include a site map indicating the location of bait stations and traps;
- v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments; and
- vi. Provide a written report of their findings and the inspections and treatments applied.

4.2.11.7 The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not reused;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

#### **4.2.12 Equipment, Utensils and Protective Clothing**

4.2.12.1 Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to products.

4.2.12.2 Benches, tables, conveyors, mixers, minces, graders and other mechanical processing equipment shall be hygienically designed and located for appropriate cleaning.

4.2.12.3 Product containers, tubs, bins for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious and readily cleaned. Bins used for inedible material shall be clearly identified.

4.2.12.4 Waste and overflow water from tubs, tanks and other equipment shall be discharged direct to the floor drainage system.

4.2.12.5 Protective clothing shall be manufactured from material that is not liable to contaminate pet food and easily cleaned.

4.2.12.6 Racks shall be provided for the temporary storage of protective clothing when staff leaves the processing area and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

#### **4.2.13 Cleaning and Sanitation**

4.2.13.1 The methods and responsibility for the cleaning of the pet food handling and processing equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;
- ii. How it is to be cleaned;
- iii. When it is to be cleaned;
- iv. Who is responsible for the cleaning;
- v. Methods used to confirm the correct concentrations of detergents and sanitizers, and
- vi. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

4.2.13.2 Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing.

4.2.13.3 Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils and for cleaning of protective clothing used by staff. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or product. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.

4.2.13.4 Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure pet food processing areas, product contact surfaces, equipment, staff amenities and sanitary facilities and other essential areas are clean before the commencement of production.

4.2.13.5 The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.

4.2.13.6 Detergents and sanitizers shall be suitable for use in a pet food manufacturing environment, and purchased in accordance with applicable legislation. The organization shall ensure:

- i. An inventory of all chemicals purchased and used shall be maintained;
- ii. Detergents and sanitizers are stored as outlined in element 4.6.4;
- iii. Material Safety Data Sheets (MSDS) are provided for all detergents and sanitizers purchased; and
- iv. Only trained staff handles sanitizers and detergents.

4.2.13.7 The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use;
- ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

4.2.13.8 A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.

### **4.3 Personnel Hygiene and Welfare**

#### **4.3.1 Personnel**

4.3.1.1 Personnel suffering from infectious diseases or are carriers of any infectious disease shall not engage in product handling or processing operation.

4.3.1.2 Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing products or handling primary packaging materials or pet food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a colored bandage containing a metal strip or an alternative suitable waterproof and colored dressing.

4.3.1.3 Smoking, chewing, eating, drinking or spitting is not permitted in any pet food processing or pet food handling areas.

#### **4.3.2 Hand Washing**

4.3.2.1 Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout pet food handling and processing areas as required.

4.3.2.2 Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with:

- i. A potable water supply at an appropriate temperature;
- ii. Liquid soap contained within a fixed dispenser;
- iii. Paper towels in a hands free cleanable dispenser;
- iv. A means of containing used paper towels; and
- v. Hand sanitizers.

4.3.2.3 A sign advising people to wash their hands, and in appropriate languages, shall be provided in a prominent position.

4.3.2.4 Hands shall be cleaned by all personnel, including staff, contractors and visitors:

- i. On entering pet food handling or processing areas;
- ii. After each visit to a toilet;
- iii. After using a handkerchief;
- iv. After smoking, eating or drinking; and
- v. After handling wash down hoses, dropped product or contaminated material.

4.3.2.5 When gloves are used, personnel shall maintain the hand washing practices outlined above.

#### **4.3.3 Clothing**

4.3.3.1 Clothing worn by staff engaged in handling pet food shall be maintained, stored, laundered and worn so as not to present a contamination risk to products.

4.3.3.2 Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area and not on packaging, ingredients, product or equipment.

#### **4.3.4 Jewelry and Personal Effects**

4.3.4.1 Jewelry and other loose objects shall not be worn or taken into a pet food handling or processing operation or any area where pet food is exposed. The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted.

#### **4.3.5 Visitors**

4.3.5.1 All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any pet food processing or handling area.

4.3.5.2 All visitors shall be required to remove jewelry and other loose objects.

4.3.5.3 Visitors exhibiting visible signs of illness shall be prevented from entering areas in which pet food is handled or processed.

4.3.5.4 Visitors shall enter and exit pet food handling areas through the proper staff entrance points and comply with all hand washing and personnel practice requirements.

#### **4.3.6 Staff Amenities**

4.3.6.1 Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of product.

#### **4.3.7 Change Rooms**

4.3.7.1 Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as appropriate.

4.3.7.2 Change rooms shall be provided for staff engaged in the processing of high risk pet foods or processing operations in which clothing can be soiled.

4.3.7.3 Provision shall be made for staff to store their street clothing and personal items separate from pet food contact zones and pet food and packaging storage areas.

4.3.7.4 Where appropriate, a sufficient number of showers shall be provided for use by staff.

#### **4.3.8 Laundry**

4.3.8.1 Provision shall be made for the laundering and storage of clothing working by staff engaged in high risk processes in which clothing can be heavily soiled.

#### **4.3.9 Sanitary Facilities**

4.3.9.1 Toilet rooms shall be:

- i. Designed and constructed so that they are accessible to staff and separate from any processing and pet food handling operations;
- ii. Accessed from the processing area via an airlock vented to the exterior or through an adjoining room;
- iii. Sufficient for the maximum number of staff;
- iv. Constructed so that they can be easily cleaned and maintained; and
- v. Kept clean and tidy.

4.3.9.2 Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system in accordance with regulations.

4.3.9.3 Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 4.3.2.2.

#### **4.3.10 Lunch Rooms**

4.3.10.1 Separate lunch room facilities shall be provided away from a pet food contact or handling zone.

4.3.10.2 Lunch room facilities shall be:

- i. Ventilated and well lit;

- ii. Provided with adequate tables and seating;
- iii. Equipped with a sink serviced with hot and cold potable water for washing utensils;
- iv. Kept clean and free from waste materials and pests.

4.3.10.3 Signage in appropriate languages instructing people to wash their hands before entering the pet food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

#### 4.3.11 First Aid

4.3.11.1 First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

### 4.4 Personnel Processing Practices

#### 4.4.1 Staff Engaged in Pet food Handling and Processing Operations

4.4.1.1 All personnel engaged in any pet food handling, preparation or processing operations shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination. They shall comply with the following processing practices:

- i. Personnel entry to processing areas shall be through the personnel access doors only;
- ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required;
- iii. The wearing of false fingernails or fingernail polish is not permitted when handling pet food;
- iv. Writing instruments and other loose items are not permitted in outer garments where they could contaminate product;
- v. Packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor;
- vi. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate;
- vii. Staff shall not eat or taste any product being processed in the pet food handling/contact zone, except as noted in element 4.4.1.2.

4.4.1.2 In circumstances where it is necessary to undertake sensory evaluations in a pet food handling/contact zone the supplier shall implement proper controls and procedures to ensure:

- i. Pet food safety is not compromised;
- ii. Sensory evaluations are conducted by authorized personnel;
- iii. A high standard of personal hygiene is practiced by personnel conducting sensory evaluations;
- iv. Sensory evaluations are conducted in areas equipped for the purpose; and
- v. Equipment used for sensory evaluations is sanitized, maintained and stored separate from processing equipment.

4.4.1.3 All hoses shall be stored on hose racks after use and not left on the floor.

#### 4.4.2 Product Formulation

4.4.2.1 Pet food product formulations shall be developed by authorized persons to ensure that they meet the intended use.

4.4.2.2 Procedures shall be documented and implemented to ensure that pet food is manufactured to approved product formulations, and uses only materials and ingredients that are fit for purpose.

4.4.2.3 Raw and finished product grain and mineral specifications shall meet the appropriate state and federal requirements and regulatory limits for mycotoxins, pesticides or industrial contaminants such as heavy metals.

4.4.2.4 Approved raw materials suppliers shall notify changes in product composition where it could have an impact on product formulation (examples include protein content, moisture, amino acid profiles, contaminant levels and/or other parameters that may be variable by crop or by season).

### 4.5 Water and Air Supply

#### 4.5.1 Water Supply

4.5.1.1 Adequate supplies of potable water drawn from a known clean source shall be provided for use during processing operations, as an ingredient and for cleaning the premises and equipment.

4.5.1.2 Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

#### 4.5.2 Monitoring Water Microbiology and Quality

4.5.2.1 Water used for

- i. washing, thawing and treating pet food;
- ii. an ingredient or pet food processing aid;
- iii. cleaning pet food contact surfaces;
- iv. the manufacture of steam that will come in contact with pet food or used to heat water that will come in contact with pet food

shall comply with national or internationally recognized potable water microbiological and quality standards as required.

#### 4.5.3 Water Delivery

- 4.5.3.1 The delivery of water within the premises shall ensure potable water is not contaminated.
- 4.5.3.2 The use of non-potable water shall be controlled such that:
  - i. There is no cross contamination between potable and non-potable water lines;
  - ii. Non-potable water piping and outlets are clearly identified.

#### 4.5.4 Water Treatment

- 4.5.4.1 Water treatment methods, equipment and materials shall be designed, installed and operated to ensure water receives an effective treatment.
- 4.5.4.2 Water treatment equipment shall be monitored regularly to ensure it remains serviceable.
- 4.5.4.3 Treated water shall be regularly monitored to ensure it meets the indicators specified.

#### 4.5.5 Analysis

- 4.5.5.1 Microbiological analysis of the water and ice, if used, supply shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.
- 4.5.5.2 Water shall be analyzed using reference standards and methods.

#### 4.5.6 Air Quality

- 4.5.6.1 Compressed air used in the manufacturing process shall be clean and present no risk to pet food safety;
- 4.5.6.2 Compressed air used in the manufacturing process shall be regularly monitored for purity.

### 4.6 Storage and Transport

#### 4.6.1 Cold Storage, Freezing and Chilling of Pet Foods and Pet Food Ingredients

- 4.6.1.1 The supplier shall provide confirmation of the effective operational performance of freezing, chilling and cold storage facilities. Chillers, blast freezers and cold storage rooms shall be:
  - i. Designed and constructed to allow for the hygienic and efficient refrigeration of pet food; and
  - ii. Easily accessible for inspection and cleaning.
- 4.6.1.2 Sufficient refrigeration capacity shall be available to chill, freeze, store chilled or store frozen the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.
- 4.6.1.3 Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.
- 4.6.1.4 Freezing, chilling and cold storage rooms shall be fitted with temperature monitoring equipment and located so as to monitor the warmest part of the room and be fitted with a temperature measurement device that is easily readable and accessible.
- 4.6.1.5 Loading and unloading docks shall be designed to protect the product during loading and unloading.

#### 4.6.2 Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods

- 4.6.2.1 Rooms used for the storage of product ingredients, packaging, and other dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.
- 4.6.2.2 Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent packaging from becoming a harborage for pests or vermin.
- 4.6.2.3 Vehicles used in pet food contact, handling or processing zones or in storage rooms shall be designed and operated so as not to present a pet food safety hazard.

#### 4.6.3 Storage of Equipment and Containers

- 4.6.3.1 Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

#### 4.6.4 Storage of Hazardous Chemicals and Toxic Substances

- 4.6.4.1 Hazardous chemicals and toxic substances with the potential for pet food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored or transported.
- 4.6.4.2 Processing utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.
- 4.6.4.3 Daily supplies of chemical used for continuous sanitizing of water or as a processing aid, or for emergency cleaning of pet food processing equipment or surfaces in pet food contact zones, may be stored within or in close proximity to a processing area provided access to the chemical storage facility is restricted to authorized personnel.
- 4.6.4.4 Pesticides, rodenticides, fumigants and insecticides shall be stored separate from sanitizers and detergents. All chemicals shall be stored in their original containers.
- 4.6.4.5 Hazardous chemical and toxic substance storage facilities shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be adequately ventilated;
- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of hazardous chemicals and toxic substances;
- v. Have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in close proximity to the storage area;
- viii. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- ix. Be equipped with spillage kits and cleaning equipment.

#### **4.6.5 Alternative Storage and Handling of Goods**

4.6.5.1 Where goods described in 4.6.1 to 4.6.4 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on pet food safety and quality.

#### **4.6.6 Loading, Transport and Unloading Practices**

4.6.6.1 The practices applied during loading, transport and unloading of pet food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Pet food shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

4.6.6.2 Raw materials and ingredient suppliers shall provide documentation on transportation equipment controls utilized to prevent cross contamination.

#### **4.6.7 Loading**

4.6.7.1 Vehicles (trucks/vans/containers) used for transporting pet food shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product.

4.6.7.2 Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity.

4.6.7.3 Vehicles/containers shall be secured from tampering using a seal or other agreed upon, acceptable device or system.

#### **4.6.8 Transport**

4.6.8.1 Refrigerated units shall maintain the pet food at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate.

4.6.8.2 The refrigeration unit shall be operational at all times and checks completed of the unit's operation, the door seals and the storage temperature checked at regular intervals during transit.

#### **4.6.9 Unloading**

4.6.9.1 Prior to opening the doors, the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded.

4.6.9.2 Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

4.6.9.3 Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity.

### **4.7 Separation of Functions**

#### **4.7.1 Process Flow and Performance**

4.7.1.1 The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the process. The flow of personnel shall be managed such that the potential for contamination is minimized.

4.7.1.2 Mixing and blending equipment, where appropriate, shall be operated in a manner as to produce a homogenous product that prevents, eliminates, or reduces identified food safety hazards related to process variation.

#### **4.7.2 Receipt of Raw and Packaging Materials and Ingredients**

4.7.2.1 Dry ingredients and packaging shall be received and stored separately from frozen and chilled raw materials to ensure there is no cross contamination. Unprocessed raw materials shall be received and segregated to ensure there is no cross contamination.

#### 4.7.3 Thawing of Ingredients and Product

4.7.3.1 Thawing of ingredients and product shall be undertaken in equipment and rooms appropriate for the purpose.

4.7.3.2 Equipment for water thawing shall be continuous flow to ensure the water exchange rate and temperature does not contribute to product deterioration or contamination. Water overflow shall be directed into the floor drainage system and not onto the floor.

4.7.3.3 Air thawing facilities shall be designed to thaw the product and ingredients under controlled conditions at a rate and temperature that does not contribute to product deterioration or contamination.

4.7.3.4 Provision is to be made for the containment and regular disposal of used cartons and packaging from thawed product and ingredients so that there is no risk to the product.

#### 4.7.4 High Risk Processes

4.7.4.1 The Processing of high risk pet food shall be conducted under controlled conditions such that:

- i. Sensitive areas in which high risk pet food has undergone a "kill" step, a "pet food safety intervention" or is subject to post process handling, are protected/segregated from other processes, raw materials or staff who handle raw materials to ensure cross contamination is minimized;
- ii. An environmental monitoring program shall be in place for high risk areas. At a minimum, a written procedure detailing the applicable pathogens or indicator organisms to test for that industry, the number of samples to be taken and the frequency of sampling and corrective actions shall be documented. The responsibility and methods shall be documented and implemented. A sampling schedule shall be prepared.

#### 4.7.5 Control of Foreign Matter Contamination

4.7.5.1 The responsibility and methods used to prevent foreign matter contamination of the product shall be documented, implemented and communicated to all staff.

4.7.5.2 Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated.

4.7.5.3 The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

4.7.5.4 The following preventative measures shall be implemented where applicable to prevent glass contamination:

- i. All glass, hard plastic objects or similar material in pet food handling or contact zones shall be listed in a foreign matter register including details of their location;
- ii. Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where the product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in pet food processing /contact zones;
- iii. Conduct regular inspections of pet food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register; and
- iv. Inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.

4.7.5.5 Wooden pallets and other wooden utensils used in pet food handling/contact zones shall be dedicated for that purpose, clean, maintained in good order. Their condition is subject to regular inspection.

4.7.5.6 Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

4.7.5.7 Knives and cutting instruments used in processing and packaging operations shall be controlled, and kept clean and well maintained.

#### 4.7.6 Detection of Foreign Objects

4.7.6.1 The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented.

4.7.6.2 Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected.

4.7.6.3 Records shall be maintained of the inspection by foreign object detection devices, and their verification.

#### 4.7.7 Managing Foreign Matter Contamination Incidents

4.7.7.1 In suspect cases of foreign matter contamination the affected batch or item shall be evaluated, inspected and appropriately disposed of.

4.7.7.2 In circumstances where glass or similar material breakage occurs, the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.

## **4.8 On-Site Laboratories**

### **4.8.1 Location**

4.8.1.1 On site laboratories shall be located separate from any pet food processing or handling activity and designed to limit access only to authorized personnel.

4.8.1.2 Provisions shall be made to isolate and contain all laboratory waste held on the premises and manage it separately from pet food waste. Laboratory waste water outlet shall as a minimum be down stream of drains that service pet food processing and handling areas.

4.8.1.3 Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel.

## **4.9 Waste Disposal**

### **4.9.1 Dry and Liquid Waste Disposal**

4.9.1.1 The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.

4.9.1.2 Waste shall be removed on a regular basis and not build up in pet food handling or processing areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

4.9.1.3 Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.

4.9.1.4 Adequate provision shall be made for the disposal of all solid processing waste including trimmings, inedible material and used packaging. Waste held on site prior to disposal shall be stored in a separate storage area and contained so as not to present a hazard.

4.9.1.5 Adequate provision shall be made for the disposal of all liquid waste from processing and pet food handling areas. Liquid waste shall be either removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal so as not to present a hazard.

4.9.1.6 Reviews of the effectiveness of waste management will form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

## **4.10 Exterior**

### **4.10.1 Grounds and Roadways**

4.10.1.1 The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.

4.10.1.2 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the pet food safety operation of the premises.

4.10.1.3 Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.

## Module 5: Food Safety Fundamentals – Good Agricultural Practices for Farming of Animal Products (GFSI AI)

This Module covers the Good Agricultural Practices requirements for the production of animals (other than fish or seafood) used for meat production, egg production, milk production, or honey production.

Supplier implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

- FSC 1: Production, capture, and harvesting of livestock and game animals
- 1A: Free range animal production
  - 1B: Intensive animal production
  - 1C: Dairy farming
  - 1D: Game animals
  - 1E: Apiculture

### 5.1 Site Requirements

#### 5.1.1 Property Location

5.1.1.1 The farm and facilities shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations on the property.

5.1.1.2 A soil map shall be prepared and risk assessment conducted to evaluate and document the risk to forage or livestock associated with prior land use, adjacent land use, and other environmental factors including structures and equipment. Consideration shall be given to the following:

- i. History of land use.
- ii. Topography.
- iii. Adjacent land use.
- iv. Other factors that may impact on the ability to supply safe products.

5.1.1.3 The analysis shall be re-evaluated in the event of any circumstance or change that may impact on the production of safe products.

5.1.1.4 Where risks are identified, control measures shall be implemented to reduce the identified hazards to an acceptable level.

### 5.2 Secure Housing of Livestock and Feed

#### 5.2.1 Site Access and Security

5.2.1.1 Fields, yards, and other open areas where livestock are housed shall be fenced. The site entry point shall be controlled by a lockable gate.

5.2.1.2 Where electric fences are employed, they shall be controlled to avoid stress or discomfort to fenced livestock.

#### 5.2.2 Pens and Yards

5.2.2.1 Pens, yards and lairage shall be designed, located, constructed and maintained so as to minimize stress, injury or disease and have minimal impact on the surrounding area and natural resources.

5.2.2.2 Where animals are held for extended periods in pens and yards, adequate supplies of water and food shall be provided.

5.2.2.3 Fences, gates, and other surfaces in pens and yards shall be free from paints, dips, sanitizers and other materials that are likely to cause contamination through ingestion, inhalation, or contact.

#### 5.2.3 Intensive Housing System

5.2.3.1 The design, location and construction of intensive housing system shall be fit for purpose, protect the animals in expected extremes of climate, and provide sufficient space to enable the animals to lie down and allow freedom of movement and have minimal impact on the surrounding area and natural resources.

5.2.3.2 Buildings used to house animals shall be signed as such, and forbid entry of unauthorized persons.

5.2.3.3 Buildings used to house animals shall be adequately ventilated to promote a satisfactory living environment and designed to enable effective drainage and a firm footing.

5.2.3.4 Provisions shall be made for sufficient supplies of water and food and for cleaning and waste removal.

5.2.3.5 Animal housing shall be maintained in a clean and sanitary condition.

#### 5.2.4 Laneways, Races, Entrances, Exits and Loading/Unloading Ramps

5.2.4.1 Laneways, races, entrances, exits and loading/unloading ramps shall be designed to take advantage of the social behavior and movement of the species and be designed and maintained to prevent any potential injury points to animals. All flooring in laneways, races, exits and loading/unloading ramps shall be non-slip to prevent slips and falls. All facilities must be well maintained.

5.2.4.2 Laneways, races, entrances, exits, and loading/unloading ramps shall be designed, constructed, and maintained of materials that do not contaminate animals through ingestion, inhalation, or contact, and shall be free from sharp objects that may damage animals.

#### **5.2.5 Buildings for Storage of Feed, Agricultural Chemicals, and Equipment**

5.2.5.1 All buildings used to store equipment, veterinary and agricultural chemicals, or animal feed shall be designed and constructed so as to permit compliance to good hygiene practices and avoid product contamination. They shall be kept clean.

5.2.5.2 Silos used to store feed shall be constructed of approved materials and designed to remain dry, clean and free from any dirt residues, so they remain fit for purpose, in an acceptable condition, enable safe fumigation practices and prevent the invasion of pests.

5.2.5.3 Storage rooms shall be designed and constructed to allow for the separate, hygienic storage of feedstuffs, veterinary chemicals, and containers and equipment used to dispense feed and veterinary chemicals, away from farm machinery, hazardous chemicals and other toxic substances.

5.2.5.4 Veterinary medicines and medical equipment shall be stored in a secure area and accessed only by authorized personnel.

#### **5.2.6 Farm Machinery, Conveyors, Harvesting and Processing Rigs Construction and Storage**

5.2.6.1 Product contact surfaces on conveyors, harvesting and processing rigs shall be designed and constructed to allow for the efficient handling of products and those surfaces in direct contact with products shall be constructed of materials that will not contribute a food or feed safety risk.

5.2.6.2 Provisions shall be made for the washing and storage of processing rigs, equipment, conveyors, totes, trays containers and utensils.

5.2.6.3 Provisions shall be made to store farm machinery separate from feed conveyors, harvesting and processing rigs.

#### **5.2.7 Vehicles, Equipment and Utensils**

5.2.7.1 Equipment, tools, utensils used for animal health shall be suitable for use, non-toxic, kept clean and sanitized, and stored in such a way as to avoid contamination.

5.2.7.2 Equipment, tools, utensils and other items or materials that are used for feeding of livestock or animal health shall be kept in good repair, kept clean, and stored in such a way as to avoid contamination.

5.2.7.3 Veterinary equipment, including disposable medical items, shall be fit for purpose and maintained in a clean and serviceable condition, and stored in a clean, safe, and secure store.

5.2.7.4 Water tanks and troughs shall be cleaned at a sufficient frequency so as not be a source of contamination.

5.2.7.5 A documented procedure regarding the inspection of forage harvest containers and pallets shall be implemented. The procedure shall include the type and construction of harvest containers and packing materials.

5.2.7.6 The use of harvest containers for non-harvest purposes shall be clearly identified and not returned to use for harvest without thorough cleaning and inspection.

5.2.7.7 Vehicles used for the transport of feedstuffs shall be fit for purpose and shall not be used to carry waste materials, manure, chemicals or other hazardous substances that could cause feed contamination without thorough cleaning and inspection.

5.2.7.8 Entry and exit points to the site shall be equipped for cleaning and sanitizing of vehicle wheels.

#### **5.2.8 Maintenance Protocol**

5.2.8.1 The methods and responsibility for maintenance of equipment and buildings shall be planned, scheduled and carried out in a manner that prevents any risk of contamination of products or equipment.

#### **5.2.9 Calibration of Equipment**

5.2.9.1 The methods and responsibility for the calibration of application, measuring, test and inspection equipment used for feed application, chemical application, and veterinary medicines shall be documented and implemented.

5.2.9.2 Such equipment shall be calibrated against national or international reference standards and methods. In cases where such standards are not available, the producer shall indicate and provide evidence to support the calibration reference method applied.

5.2.9.3 Calibration shall be undertaken to an established schedule, to recognized standards or to accuracy appropriate to use.

5.2.9.4 Calibration records shall be maintained.

#### **5.2.10 Pest and Vermin Management**

5.2.10.1 The methods for controlling pest and vermin infestation on the site or facilities shall be documented and implemented. The property, animal housing facilities, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

5.2.10.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;

- iii. Outline the methods used to prevent pest problems;
- iv. Outline the methods used to eliminate pests when found;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
- viii. Outline the methods used to make employees aware of the bait control program and the measures to take when they come in contact with a bait station; and
- ix. Outline the requirements for employee awareness and training in the use of pest and vermin control chemicals and baits.

5.2.10.3 Records of pest inspections and pest applications shall be maintained.

#### **5.2.11 Animal Control**

5.2.11.1 The operation shall have a written risk assessment on animal activity in and around the production of feed or food crops that has been implemented and monitored.

5.2.11.2 Measures shall be in place to exclude domestic and wild animals from feed cultivation and from production animals.

5.2.11.3 Where working dogs are used to muster production animals, the producer shall maintain and monitor the health of the working dogs.

#### **5.2.12 Cleaning and Sanitation**

5.2.12.1 The methods and responsibility for the cleaning of animal housing, pens, yards, lairages, feed contact equipment, animal health equipment, and sanitary facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;
- ii. How it is to be cleaned;
- iii. When it is to be cleaned; and
- iv. Who is responsible for the cleaning, and
- v. Who is responsible for the evaluation of the cleaning?

5.2.12.2 A verification schedule shall be prepared indicating the frequency of verifying the effectiveness the cleaning of animal housing, pens, yards, lairages, feed contact equipment, animal health equipment, and sanitary facilities, and indicating who is responsible for completing the verification activities.

5.2.12.3 The effectiveness of cleaning and sanitation programs shall be regularly reviewed and adapted as needed based on environmental factors or disease risk.

5.2.12.4 A record of cleaning and sanitation activities shall be maintained.

### **5.3 Personal Hygiene and Welfare**

#### **5.3.1 Personnel Practices**

5.3.1.1 Personnel engaged in the handling of livestock and feedstuffs shall observe appropriate personal practices. Corrective actions shall be implemented for personnel who violate food safety practices.

5.3.1.2 Personnel suffering from, or are carriers of, an infectious zoonotic disease shall not engage in handling of livestock or feedstuffs.

5.3.1.3 A medical screening procedure shall be in place for all employees, and will also be applicable to all visitors and contractors.

5.3.1.4 A written policy shall be in place that specifies the procedures for handling livestock feed, and feed contact surfaces that have been in contact with blood or other bodily fluids.

#### **5.3.2 Sanitary Facilities and Hand Washing**

5.3.2.1 Toilet facilities shall be provided and designed, constructed and located in a manner that minimizes the potential risk for product contamination.

- i. Toilets shall cater for the maximum number of employees and be constructed so that they can be easily cleaned and maintained.
- ii. Hand wash basins with clean water, hand soap, disposable towels or effective hand drying device, waste bins and a tank that captures used hand wash water for disposal shall be provided inside or adjacent to toilet facilities;
- iii. Signage in appropriate languages shall be provided adjacent to hand wash basins instructing people to wash their hands after each toilet visit.
- iv. Racks for protective clothing used by farm employees shall be provided;
- v. Toilets shall be located so as to provide easy access for farm workers;
- vi. Toilet and wash stations shall be maintained in a clean and sanitary condition.

5.3.2.2 Personnel shall have clean hands and hands shall be washed by all personnel:

- i. After each visit to a toilet;
- ii. After handling dirty or contaminated material; and
- iii. After smoking, eating or drinking.

### **5.3.3 Protective Clothing**

5.3.3.1 Protective clothing shall be effectively, maintained, stored, laundered and worn so as to protect products from risk of contamination.

5.3.3.2 Where applicable, clothing, including footwear, shall be effectively cleaned and sanitized, and worn so as to protect products from risk of contamination.

5.3.3.3 If rubber or disposable gloves are used, the operation shall have a glove use policy and personnel shall adhere to the hand washing practices outlined above.

5.3.3.4 Entry annex points of the buildings shall be equipped with materials for cleaning and sanitizing footwear.

### **5.3.4 Jewelry and Personal Effects**

5.3.4.1 Jewelry and other loose objects that pose a threat to livestock safety shall not be worn or taken onto any livestock handling or feed storage operations.

### **5.3.5 Visitors**

5.3.5.1 All visitors (including management and maintenance employees) shall be required to remove jewelry and other loose objects and wear suitable protective clothing.

5.3.5.2 Visitors exhibiting visible signs of illness shall be prevented from entering any livestock handling, feed storage, or field operations.

5.3.5.3 Visitors must follow all personnel practices as designated by company for employees within fields, pens, yards, sheds, or storage locations.

5.3.5.4 Children shall not be permitted to enter any animal handling or storage area and must be supervised at all times while on site.

### **5.3.6 Amenities**

5.3.6.1 Provisions shall be made to store employee personal belongings away from livestock, crops, harvesting and field processing operations, and processing equipment.

5.3.6.2 Areas for meal breaks shall be designated and located away from animal or feed contact/handling zones and processing equipment.

5.3.6.3 Potable drinking water shall be available to all field employees.

### **5.3.7 First Aid**

5.3.7.1 First aid facilities shall be available and maintained to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

5.3.7.2 First aid kits shall be kept in a sanitary and usable condition.

## **5.4 Field and Animal Husbandry Practices**

### **5.4.1 Field Handling Practices**

5.4.1.1 Appropriate personnel practices shall be employed by field packing employees which include:

- i. Aprons and gloves shall be kept clean;
- ii. Aprons and gloves shall not be left on products, work surfaces, equipment or packaging material but hung on apron and glove racks provided;
- iii. All products and packaging material shall be kept off the ground and the floor of the transport vehicle;
- iv. Waste shall be contained in the bins identified for this purpose. Waste shall not come in contact with livestock or feed and be removed on a regular basis and not left to accumulate.

5.4.1.2 Measures shall be implemented to prevent cross-contamination of livestock or feed product from chemicals, oils and lubricants, and /or personnel.

### **5.4.2 Animal Husbandry Practices**

5.4.2.1 The producer shall apply good animal husbandry practices for the type of animal under their care and shall ensure that the basic needs of animals, whether held under an extensive grazing, close confinement or intensive housing conditions, are maintained.

5.4.2.2 Employees responsible for the care and management of animals shall be trained and competent in animal handling and welfare. They shall be able to recognize the early signs of distress and disease and ensure stress to animals is minimized.

5.4.2.3 A written procedure regarding the handling of livestock shall be implemented and maintained. The policy shall assure that employees handling livestock ensure that:

- i. Animals have an adequate source of clean feed and uncontaminated water at all times;
- ii. Animals are herded and housed in such a way as to avoid damage or stress to the animals;
- iii. Animal manure and contaminated yard water is regularly removed and stored;
- iv. Measures to inspect for physical hazards and procedures to remove physical hazards are in place;

- v. Diseased or medicated animals are segregated from healthy animals;
  - vi. Personnel dealing with or treating diseased animals do not come into contact with healthy animals.
- 5.4.2.4 Materials and equipment that comes in contact with production animals shall be clean and in good repair.

## 5.5 Water Management

### 5.5.1 Water for Livestock Production

5.5.1.1 Water for livestock production shall be drawn from a known clean source or treated to make it suitable for use.

5.5.1.2 The producer shall conduct an analysis of the hazards to the water supply from source through to application, establish acceptance criteria for the monitoring of water and validate and verify the integrity of the water used to ensure it is fit for the purpose.

5.5.1.3 Where water for livestock production is stored in tanks or troughs, the producer shall ensure that the tanks or troughs are not a source of contamination.

5.5.1.4 Waste System intended to convey human or animal waste shall be separated from conveyances utilized to deliver water for livestock production.

### 5.5.2 Treatment of Water for Livestock Production

5.5.2.1 In circumstances where water for livestock production is treated to render it acceptable, the water, after treatment shall conform to the microbiological standards as outlined in element 5.5.3.

### 5.5.3 Water Management Plan

5.5.3.1 Water used for livestock production, mixing feeds, cleaning feed and veterinary equipment, and mixing sanitizer solutions shall comply with potable water microbiological and chemical standards in the country of production. Separate criteria shall be established for irrigation and other agricultural water, as applicable, based on the hazard analysis and any application legislation, if applicable.

The water management plan shall include the following:

- i. Preventive controls;
- ii. Monitoring and verification procedures
- iii. Corrective actions
- iv. Documentation

5.5.3.2 Where necessary, water testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or regulations for the commodity being produced. Water analysis, if applicable, shall be undertaken by an approved laboratory accredited to ISO 17025 or equivalent.

5.5.3.3 Water quality shall be monitored to verify it complies with the established standard or criteria. A verification schedule shall be prepared indicating the location and frequency of monitoring, which shall be decided by the hazard analysis, or applicable legislation.

### 5.5.4 Corrective Actions

5.5.4.1 When monitoring shows that water for livestock production (or other uses identified under element 5.5.3.1) does not meet established criteria or standard, the producer shall have a corrective action plan developed which may include additional treatment for water, additional sources for water, livestock identification and disposition or other alternative actions to adequately control the identified hazards.

## 5.6 Storage and Transport

### 5.6.1 Storage of Livestock, Animal Feed and Veterinary Medicines

5.6.1.1 Livestock shall be housed and transported under conditions that minimize the risk of microbiological or chemical contamination, physical damage, or distress.

5.6.1.2 The producer shall implement measures to prevent cross-contamination of livestock, animal feed or feeding utensils from agricultural chemicals, cleaning agents, waste materials, or personnel.

5.6.1.3 Animal feed shall be stored securely in clean, dry silos or sheds and handled separately from waste materials, animal medication, and hazardous chemicals.

5.6.1.4 Animal feed sourced from different species, growers or manufacturers shall be stored separately by using separate silos or storage areas.

5.6.1.5 Animal feed shall be checked regularly for cleanliness, temperature, suitability, and freedom from molds and fungus. A record shall be maintained of feed checks.

5.6.1.6 Veterinary vaccines and medications shall be stored in secure, lockable storage, and in accordance with regulatory requirements or, in the absence of regulatory requirements, manufacturer's instructions.

### 5.6.2 Storage of Hazardous Chemicals, Toxic Substances, and Petroleum Products

5.6.2.1 Hazardous chemicals, toxic substances, and petroleum products shall be specifically identified and stored so as not to present a hazard to employees, products, product handling equipment or areas in which livestock is handled, stored or transported.

5.6.2.2 Product contact chemicals such as pesticides and herbicides; rodenticides, fumigants and insecticides; sanitizers and detergents shall be stored separately and in their original containers.

5.6.2.3 Chemical storage sheds shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be ventilated to the exterior;
- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of chemicals;
- v. Have instructions on the safe handling of hazardous chemicals readily accessible to employees;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in the storage area;
- viii. Have emergency shower and/or wash facilities available in the event of an accidental spill; and
- ix. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- x. Be equipped with spillage kits and cleaning equipment.

5.6.2.4 Petroleum fuels, oils, grease and other lubricants shall be stored separate from other storage areas.

5.6.2.5 The storage of hazardous chemicals, toxic substances and petroleum products in areas (separate lockable or otherwise contained) inside feed handling areas, or livestock holding areas is not acceptable.

### **5.6.3 Transport**

5.6.3.1 The practices applied during loading, transport and unloading of livestock shall be documented, implemented and designed to minimize damage and distress.

5.6.3.2 Employees involved in loading, transport and unloading livestock shall be appropriately trained.

## **5.7 Purchase and Use of Medications, Animal Feeds, and Agricultural Chemicals**

### **5.7.1 Purchasing Vaccines and Medications**

5.7.1.1 Vaccines and medications shall be purchased from an approved supplier in accordance with applicable legislation, and be correctly labeled by the manufacturer.

5.7.1.2 An inventory of all animal medications purchased and used shall be maintained, including in-feed medications. The producer shall provide proof of purchase for all animal medications included in the inventory and used within the facility.

### **5.7.2 Application of Animal Medicines**

5.7.2.1 An animal health plan indicating the use of a vaccine or medication for a target disease shall be prepared and implemented. All vaccines and medicines must be used in accordance to label instructions, including withholding periods.

5.7.2.2 Off label use of medications shall be approved by a registered veterinarian.

5.7.2.3 The person making decisions on administering a vaccination medication shall:

- i. Demonstrate knowledge of, and access to, information regarding medications and the maximum residue levels allowable in destination markets;
- ii. Demonstrate competence and knowledge of the various methods of administering medications and compliance with withholding periods; and
- iii. Maintain a current medication register and keep records of all medication purchased and used.

5.7.2.4 Where veterinary medication is required to be dispensed in feed, medicated feed shall be separately identified and stored.

5.7.2.5 Where veterinary medication is required to be dispensed in water, medicated water shall be separately identified and stored.

5.7.2.6 The producer shall dispose of unused animal medications, expired medications, empty containers and disposable instruments in accordance with regulatory requirements and ensure that empty containers, used needles and disposable instruments are not re-used; and are isolated and securely stored while awaiting disposal.

5.7.2.7 Where some or all of the living stock are found to be infected with a notifiable disease, the producer shall have a system in place to quarantine the affected stock and take appropriate action to treat or dispose of the affected stock.

### **5.7.3 Feed Management Plan**

5.7.3.1 When the producer selects to purchase animal feed, it shall be purchased from an approved supplier in accordance with applicable legislation and an agreed specification. A record of all animal feed purchased shall be maintained.

5.7.3.2 The producer shall implement a feed management plan to maintain the safety and integrity of all animal feed, whether purchased, or produced on site. Animal feed shall meet regulatory requirements and be managed to minimize the potential for microbiological or chemical contamination.

The feed management plan shall include the following:

- i. Preventive controls;
- ii. Monitoring and verification procedures
- iii. Corrective actions
- iv. Documentation

Feed quality shall be tested to verify that it complies with the established microbiological and chemical standard or criteria. Feed analysis shall be undertaken by an approved laboratory accredited to ISO 17025 or equivalent.

5.7.3.3 Where animal feed is found to be contaminated or otherwise unsuitable for use, the producer shall have a process in place to contain and remove the contaminated feed so as not to pose a food safety risk to livestock and other farm products, and to clean and sanitize contaminated silos and equipment.

#### **5.7.4 Soil Amendment**

5.7.4.1 No raw untreated manure shall be used. Soil amendment treatment and application methods shall be documented and implemented and designed to prevent contamination of products.

5.7.4.2 Soil amendment protocol shall outline the methods used to treat manure and other untreated organic fertilizers ensuring:

- i. The treatment methods applied inactivate pathogens in organic soil amendments;
- ii. A hazard analysis of organic soil amendments treatment methods is conducted before use;
- iii. Treatment methods are validated and treatments of organic soil amendments are verified as being in compliance with the method applied;
- iv. Records of the validation and verification of organic soil amendment treatments are maintained.

5.7.4.3 Soil amendment protocol shall outline the methods to ensure organic soil amendment applications are timed to pose minimum risk to product safety and human health including:

- i. All applications of soil amendments are in accordance with national or local guidelines, best practices and codes of Good Agricultural Practices;
- ii. Equipment used for soil amendment application is maintained in good condition and calibrated to ensure accurate application;
- iii. Records of all equipment maintenance and calibration are maintained;
- iv. Signage complies with national & local codes of practice; and
- v. Sufficient data is recorded to provide a detailed record of soil amendment applications.

#### **5.7.5 Agricultural Chemicals**

5.7.5.1 Chemicals shall be purchased from an approved supplier in accordance with applicable legislation. An inventory of all chemicals purchased and used shall be maintained.

5.7.5.2 A crop protection action plan indicating the applications used for a target pest or disease and the threshold levels that initiate application shall be prepared and implemented.

5.7.5.3 If the product is intended for export, agricultural chemical use shall consider requirements in the intended country of destination.

5.7.5.4 The person making decisions on chemical application shall:

- i. Demonstrate knowledge of, and access to, information regarding chemical applications and the maximum residue limits allowable in destination markets;
- ii. Use only chemicals approved for use in the intended market;
- iii. Demonstrate competence and knowledge of chemical application and crop withholding periods;
- iv. Ensure crop applications and application rates for target pests and diseases comply with label recommendations;
- v. Demonstrate the timing between chemical application and harvest complies with the approved harvest interval for the chemical applied.
- vi. Maintain a current chemical register and keep records of all chemicals use.

5.7.5.5 The producer shall dispose of chemical waste and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not re-used;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection;
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

## **5.8 Stock Identification and Traceability**

### **5.8.1 Living Stock Records**

5.8.1.1 All livestock shall be identified by an individual or batch identification system, and be traceable back to the farm of birth.

5.8.1.2 The producer shall maintain a living stock record which includes current living stock on farm, stock movement, stock transactions, and stock losses.

5.8.1.3 Records shall be maintained of living stock treated with approved veterinary medications and shall include the application date and the withholding period for that medication.

#### **5.8.2 Feed Identification and Traceability**

5.8.2.1 All animal feed and feed additives shall be identified by a batch identification system and be traceable back to the source, including name and address of the supplier and the batch number or manufacturer's identification mark.

5.8.2.2 The producer shall maintain records of the use of feed and feed additives.

### **5.9 Waste Disposal**

#### **5.9.1 Dry, Liquid Waste Disposal**

5.9.1.1 Waste materials shall be regularly removed from the farm, field, pens, yards, livestock housing sheds and the surrounding areas so as not to pose a food safety risk to livestock and other farm products.

5.9.1.2 The responsibility and methods for the effective and efficient disposal of all solid waste including inedible material and disused packaging, and liquid and unsanitary waste shall be documented and implemented.

5.9.1.3 Areas where solid farm waste materials are stored shall be kept clean.

5.9.1.4 Animal carcasses for disposal shall be stored outside production areas. Carcass disposal companies shall not pass through the production facilities to remove carcasses.

#### **5.9.2 Liquid Waste**

5.9.2.1 Drainage and waste disposal areas shall be designed and constructed so as to avoid contamination of water courses and neighboring properties.

5.9.2.2 Untreated waste water and slurry from sewage plants shall be contained so that it does not contaminate animal holding areas, pasture, crop cultivation, and water courses.

5.9.2.3 Liquid manure shall be stored in specially designed and constructed watertight containers, so as not to pose a food safety risk to livestock and other farm products.

## Module 6: Food Safety Fundamentals – Good Aquaculture Practices for Farming of Fish (GFSI All)

This Module covers the Good Aquaculture Practices requirements for the production of fish or seafood used for food production.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

- FSC 6: Harvest and intensive farming of fish
- 6A: Wild caught fish
  - 6B: Aquaculture and RTE fish

### 6.1 Location and Layout of Structures and Vessels

#### 6.1.1 Aquaculture Sites

6.1.1.1 Aquaculture farms shall comply with local and national regulations and demonstrate legal authority for land use, water use and effluent discharge.

6.1.1.2 Aquaculture farms shall be such that adjacent and adjoining buildings, operations and land use do not interfere with the safe and hygienic operations on the property.

6.1.1.3 A risk assessment shall be conducted to evaluate and document the risk to products associated with prior land use, adjacent land use, and other environmental factors including structures and equipment. Consideration shall be given to the following:

- i. History of land use
- ii. Topography
- iii. Adjacent land use
- iv. Soil permeability
- v. Other factors that may impact on the ability to supply safe products.

6.1.1.4 The analysis shall be re-evaluated in the event of any circumstance or change that may impact on the production of safe products.

6.1.1.5 Where risks are identified, control measures shall be implemented to reduce the identified hazards to an acceptable level.

#### 6.1.2 Vessels and Structures

6.1.2.1 Vessels, catch landing areas and land structures shall be designed and constructed to ensure that adjacent buildings or operations do not interfere with their safe and hygienic operation.

6.1.2.2 Vessels, catch landing areas and land structures shall be designed and constructed so as to facilitate cleaning and pest control, and be free of oil, grease or other contaminants.

### 6.2 Secure Housing of Fish Stock, Feed, and Equipment

#### 6.2.1 Site Access and Security

6.2.1.1 Aquaculture farms shall be fenced and the entry points controlled by lockable gates. Only authorized persons may gain entry to aquaculture farms and access to products, feedstock, and water supply.

6.2.1.2 Wild catch harvest, both on vessel and landed, are to be held in clean containers and protected from unauthorized access or contamination sources.

#### 6.2.2 Buildings used for Storage of Feed, Chemicals, and Equipment

6.2.2.1 All buildings used to store equipment, veterinary and aquaculture chemicals, or feedstock shall be designed and constructed so as to permit compliance to good hygiene practices and avoid product contamination.

6.2.2.2 Buildings designated to store equipment, veterinary and aquaculture chemicals, or feedstock shall be kept clean.

6.2.2.3 Silos used to store feed shall be constructed of approved materials and designed to remain dry, clean and free from any dirt residues, so they remain fit for the purpose, in an acceptable condition, enable safe fumigation practices and prevent the invasion of pests.

6.2.2.4 Storage rooms shall be designed and constructed to allow for the separate, hygienic storage of feedstuffs, veterinary chemicals, and containers and equipment used to dispense feed and veterinary chemicals, away from machinery, hazardous chemicals and other toxic substances.

6.2.2.5 Veterinary medicines and medical equipment shall be stored in a secure area and accessed only by authorized personnel.

### 6.2.3 Machinery, Conveyors, Harvesting and Processing Equipment Construction and Storage

6.2.3.1 Product contact surfaces on conveyors, harvesting and processing equipment on vessels or on aquaculture farms shall be designed and constructed to allow for the efficient handling of products and those surfaces in direct contact with products shall be constructed of materials that will not contribute a food or feed safety risk.

6.2.3.2 Provisions shall be made for the washing and storage of harvesting and processing equipment, conveyors, totes, trays containers and utensils.

6.2.3.3 Provisions shall be made to store nonfood-contact equipment separately from harvesting and processing equipment.

### 6.2.4 Vehicles, Equipment and Utensils

6.2.4.1 Feed processing equipment including knives, totes, trays, conveyors, containers and other equipment, including equipment used for animal health, shall be suitable for use and constructed from materials that are non-toxic, smooth, impervious and easily cleaned and sanitized.

6.2.4.2 Equipment, tools, utensils and other items or materials that are used for feeding of fish stock or fish health shall be kept in good repair, kept clean and sanitized, and stored in such a way as to avoid contamination.

6.2.4.3 Veterinary equipment, including disposable medical items, shall be fit for purpose and maintained in a clean and serviceable condition, and stored in a clean, safe, and secure store.

6.2.4.4 Water tanks shall be cleaned at a sufficient frequency so as not be a source of contamination.

6.2.4.5 Vehicles used for the transport of fish stock, feedstuffs, and ice shall be fit for purpose and shall not be used to carry waste materials, chemicals or other hazardous substances that could cause contamination without thorough cleaning and inspection.

### 6.2.5 Maintenance Protocol

6.2.5.1 The methods and responsibility for maintenance of vessels, equipment and buildings shall be planned, scheduled and carried out in a manner that prevents any risk of contamination of products or equipment.

### 6.2.6 Calibration of Equipment

6.2.6.1 The methods and responsibility for the calibration and re-calibration of application, measuring, test and inspection equipment used for measuring and monitoring feed application, chemical application, and veterinary medicines shall be documented and implemented.

6.2.6.2 Equipment shall be calibrated against national or international reference standards and methods. In cases where such standards are not available, the producer shall indicate and provide evidence to support the calibration reference method applied.

6.2.6.3 Calibration shall be undertaken to an established schedule, to recognized standards or to accuracy appropriate to use.

6.2.6.4 Calibration records shall be maintained.

### 6.2.7 Pest and Vermin Management

6.2.7.1 The methods for controlling pest and vermin infestation on the vessel, site or facilities shall be documented and implemented. The property, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

6.2.7.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the methods used to eliminate pests when found;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
- viii. Outline the methods used to make employees aware of the bait control program and the measures to take when they come in contact with a bait station; and
- ix. Outline the requirements for employees' awareness and training in the use of pest and vermin control chemicals and baits.

6.2.7.3 Records of pest inspections and pest applications shall be maintained.

### 6.2.8 Animal Control

6.2.8.1 The operation shall have a written risk assessment on animal activity in and around the production of feed, living stock, or wild catch that has been implemented and monitored.

### 6.2.9 Cleaning and Sanitation

6.2.9.1 The methods and responsibility for the cleaning of vessels, containers, fish contact equipment, animal health equipment, and sanitary facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;

- ii. How it is to be cleaned;
- iii. When it is to be cleaned; and
- iv. Who is responsible for the cleaning, and
- v. Who is responsible for the evaluation of the cleaning?

6.2.9.2 A verification schedule shall be prepared indicating the frequency of verifying the effectiveness the cleaning of vessels, containers, fish contact equipment, animal health equipment, and sanitary facilities, and indicating who is responsible for completing verification activities.

6.2.9.3 The effectiveness of cleaning and sanitation programs shall be regularly reviewed and adapted as needed based on environmental factors or disease risk.

6.2.9.4 A record of cleaning and sanitation activities shall be maintained.

## **6.3 Personal Hygiene and Welfare**

### **6.3.1 Personnel Practices**

6.3.1.1 Personnel engaged in the handling of living stock, wild catch and feedstuffs shall observe appropriate personal practices. Corrective actions shall be implemented for personnel who violate food safety practices.

6.3.1.2 Personnel suffering from, or are carriers of, an infectious disease which can be carried with food as a vehicle shall not engage in handling of living stock, wild catch and feedstuffs.

6.3.1.3 A medical screening procedure shall be in place for all employees, and will also be applicable to all visitors and contractors.

6.3.1.4 Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing of product. Minor cuts or abrasions on exposed parts of the body shall be covered with a suitable waterproof dressing.

6.3.1.5 A written policy shall be in place that specifies the procedures for handling living stock, wild catch, feed and product contact surfaces.

6.3.1.6 Smoking, chewing, eating, drinking (except for water), spitting is not permitted in any product or feed handling areas.

### **6.3.2 Sanitary Facilities and Hand Washing**

6.3.2.1 Toilet facilities shall be provided and designed, constructed and located in a manner that minimizes the potential risk for product contamination.

- i. Toilets shall cater for the maximum number of employees and be constructed so that they can be easily cleaned and maintained;
- ii. Hand wash basins with clean water, hand soap, disposable towels or effective hand drying device, waste bins and a tank that captures used hand wash water for disposal shall be provided inside or adjacent to toilet facilities;
- iii. Signage in appropriate languages shall be provided adjacent to hand wash basins instructing people to wash their hands after each toilet visit;
- iv. Racks for protective clothing used by employees shall be provided;
- v. Toilets shall be located so as to provide easy access for workers;
- vi. Toilet and wash stations shall be maintained in a clean and sanitary condition.

6.3.2.2 Personnel shall have clean hands and hands shall be washed by all personnel:

- i. Before handling living stock, wild catch or feed;
- ii. After handling living stock, wild catch or feed;
- iii. After each visit to a toilet;
- iv. After using a handkerchief;
- v. After handling dirty or contaminated material; and
- vi. After smoking, eating or drinking.

### **6.3.3 Protective Clothing**

6.3.3.1 Protective clothing shall be effectively maintained, stored, laundered and worn so as to protect product from risk of contamination.

6.3.3.2 Where applicable, clothing including footwear shall be effectively maintained, cleaned and sanitized, and worn so as to protect product from risk of contamination.

6.3.3.3 If rubber or disposable gloves are used, the operation shall have a glove use policy and personnel shall adhere to the hand washing practices outlined above.

### **6.3.4 Jewelry and Personal Effects**

6.3.4.1 Jewelry and other loose objects that pose a threat to the safety of living stock shall not be worn or taken onto any product handling or feed storage operations.

### **6.3.5 Visitors**

6.3.5.1 All visitors (including management and maintenance employees) shall be required to remove jewelry and other loose objects and wear suitable protective clothing.

6.3.5.2 Visitors exhibiting visible signs of illness shall be prevented from entering any living stock, wild catch or feed handling areas.

6.3.5.3 Visitors must follow all personnel practices as designated by company for employees within aquaculture farms and or wild catch landing, storage and or handling areas.

#### **6.3.6 Amenities**

6.3.6.1 Provision shall be made to store employee personal belongings away from living stock, wild catch or feed handling areas.

6.3.6.2 On-board accommodation for vessel employees shall meet regulatory requirements (where applicable) and shall be clean and dry.

6.3.6.3 Areas for meal breaks shall be designated and located away from living stock, wild catch or feed handling areas.

6.3.6.4 Potable drinking water shall be available to all employees.

#### **6.3.7 First Aid**

6.3.7.1 First aid facilities shall be available and maintained to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

6.3.7.2 First aid kits shall be kept in a sanitary and usable condition.

### **6.4 Aquaculture and Fish Handling Practices**

#### **6.4.1 Product Handling Practices**

6.4.1.1 Appropriate personnel practices shall be employed by employees working in feed handling, living stock or wild catch areas which include:

- i. Aprons and gloves shall be kept clean;
- ii. Aprons and gloves shall not be left on product, work surfaces, equipment or packaging material but hung on apron and glove racks provided;
- iii. All product and packaging material shall be kept off the ground and the floor of the vessel, holding area or transport vehicle;
- iv. Waste shall be contained in the bins identified for this purpose. Waste shall not come in contact with product and be removed on a regular basis and not left to accumulate.

6.4.1.2 Measures shall be implemented to prevent cross-contamination of living or harvested product from feed, chemicals, oils and lubricants, and /or personnel.

#### **6.4.2 Aquaculture Practices**

6.4.2.1 The producer shall apply good husbandry practices for the living stock under their care and shall ensure that the basic needs of the species under their control are maintained.

6.4.2.2 Employees responsible for the care and management of living stock shall be trained and competent in aquaculture practices. They shall be able to recognize the early signs of distress and disease and ensure stress to living stock is minimized.

6.4.2.3 A written procedure regarding the handling of living stock shall be implemented and maintained. The policy shall assure that employees handling living stock ensure that:

- i. Living stock has an adequate source of clean feed and uncontaminated water at all times;
- ii. Measures to inspect for physical hazards and procedures to remove physical hazards are in place;
- iii. Diseased or medicated stock is segregated from healthy living stock;
- iv. Personnel dealing with or treating diseased stock do not come into contact with healthy stock.

6.4.2.4 Materials and equipment that comes in contact with living stock shall be clean and in good repair.

### **6.5 Water Management**

#### **6.5.1 Water for Aquaculture**

6.5.1.1 Water for production of living stock shall be drawn from a known clean source or treated to make it suitable for use.

6.5.1.2 Water for aquaculture shall be sourced from a location and in a manner that is compliant with prevailing regulations.

6.5.1.3 The producer shall conduct an analysis of the hazards to the water supply from source through to application, establish acceptance criteria for the monitoring of water and validate and verify the integrity of the water used to ensure it is fit for the purpose.

6.5.1.4 Where water for production of living stock is stored in tanks, the producer shall ensure that the tanks are not a source of contamination.

6.5.1.5 Waste system intended to convey human or animal waste shall be separated from conveyances utilized to deliver water for the production of living stock, cleaning of equipment, or ice production.

## 6.5.2 Water Treatment

6.5.2.1 In circumstances where water for production of living stock is treated to render it acceptable, the water, after treatment shall conform to the microbiological standards as outlined in element 6.5.3.

## 6.5.3 Water Management Plan

6.5.3.1 Water used for production of living stock, mixing feeds, cleaning feed and veterinary equipment, and production of ice shall comply with potable water microbiological and chemical standards in the country of production. Where necessary, water used for aquaculture shall also be tested for heavy metals and polychlorinated biphenyls (PCBs).

The water management plan shall include the following:

- i. Preventive controls;
- ii. Monitoring and verification procedures;
- iii. Corrective actions;
- iv. Documentation.

6.5.3.2 Water and ice testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or regulations for the commodity being produced. Water analysis shall be undertaken by an approved laboratory accredited to ISO 17025 or equivalent.

6.5.3.3 Water and ice quality shall be monitored to verify it complies with the established water microbiological and chemical standard or criteria established. A verification schedule shall be prepared indicating the location and frequency of monitoring, which shall be decided by the hazard analysis, best practices within country of production, or applicable legislation.

## 6.5.4 Corrective Actions

6.5.4.1 When monitoring shows that water for the production of living stock (or other uses identified under 6.5.3.1) does not meet established criteria or standard, the producer shall have a corrective action plan developed which may include additional treatment for water, additional sources for water, livestock identification and disposition or other alternative actions to adequately control the identified hazards.

## 6.5.5 Water/Ice used In Cleaning, Storage, and Transport

6.5.5.1 Standard Operating Procedures (SOPs) shall be developed for all uses of water during wild catch, cleaning, and ice production. The SOPs shall address:

- i. The microbial quality of water or ice that directly contacts the product, is used on product contact surfaces.
- ii. The treatment of re-circulated water, if used.
- iii. The condition and maintenance of water-delivery system.
- iv. The control of wash water temperature.

6.5.5.2 A standard operating procedure that includes water-change schedules shall be developed for all uses of water during harvesting.

## 6.6 Storage and Transport

### 6.6.1 Storage of Harvested Stock, Feed and Veterinary Medicines

6.6.1.1 Harvested stock shall be housed and transported under conditions that minimize the risk of microbiological or chemical contamination or physical damage.

6.6.1.2 The producer shall implement measures to prevent cross-contamination of living stock, wild catch, or feedstock from chemicals, cleaning agents, oils and grease, other chemicals, waste materials, or personnel.

6.6.1.3 Feed shall be stored securely in clean, dry silos or containers and handled separately from waste materials, animal medication, and hazardous chemicals.

6.6.1.4 Feed sourced from different species, growers or manufacturers shall be stored separately by using separate silos or storage areas.

6.6.1.5 Aquaculture feed shall be checked regularly for cleanliness, temperature, suitability, and freedom from molds and fungus. A record shall be maintained of feed checks.

6.6.1.6 Veterinary vaccines and medications shall be stored in secure, lockable storage, and in accordance with regulatory requirements or, in the absence of regulatory requirements, manufacturer's instructions.

### 6.6.2 Storage of Hazardous Chemicals, Toxic Substances, and Petroleum Products

6.6.2.1 Hazardous chemicals, toxic substances, and petroleum products shall be specifically identified and stored so as not to present a hazard to employees, product, product handling equipment or areas in which harvested product is handled, stored or transported.

6.6.2.2 Product contact chemicals such as pesticides and herbicides; rodenticides, fumigants and insecticides; sanitizers and detergents shall be stored separately and in their original containers.

6.6.2.3 Chemical storage rooms or sheds shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be ventilated to the exterior;

- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of chemicals;
- v. Have instructions on the safe handling of hazardous chemicals readily accessible to employees;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in the storage area;
- viii. Have emergency shower and/or wash facilities available in the event of an accidental spill; and
- ix. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- x. Be equipped with spillage kits and cleaning equipment.

6.6.2.4 Petroleum fuels, oils, grease and other lubricants shall be stored separate from other storage areas.

6.6.2.5 The storage of hazardous chemicals, toxic substances and petroleum products in areas (separate lockable or otherwise contained) inside product holding areas is not acceptable.

### 6.6.3 Transport

6.6.3.1 The practices applied during loading, transport and unloading of harvested stock shall be documented and implemented.

6.6.3.2 Employees involved in loading, transport and unloading of harvested stock shall be appropriately trained.

## 6.7 Purchase and Use of Medications, Aquaculture Feeds, and Aquaculture Chemicals

### 6.7.1 Purchasing Medications

6.7.1.1 Vaccines and medications shall be purchased from an approved supplier in accordance with applicable legislation, and be correctly labeled by the manufacturer.

6.7.1.2 No medications shall be purchased or used with the purpose of promoting growth.

6.7.1.3 An inventory of all aquaculture medications purchased and used shall be maintained, including in-feed medications. The producer shall provide proof of purchase for all medications included in the inventory and used within the facility.

### 6.7.2 Application of Aquaculture Medicines

6.7.2.1 A plan indicating the use of a medication for a target disease shall be prepared and implemented. All vaccines and medicines must be used in accordance to label instructions, including withholding periods.

6.7.2.2 Off label use of medications shall be approved by a registered veterinarian.

6.7.2.3 The person making decisions on administering a vaccination medication shall:

- i. Demonstrate knowledge of, and access to, information regarding medications and the maximum residue levels allowable in destination markets;
- ii. Demonstrate competence and knowledge of the various methods of administering medications and compliance with withholding periods; and
- iii. Maintain a current medication register and keep records of all medication purchased and used.

6.7.2.4 Where veterinary medication is required to be dispensed in feed, feed shall be separately identified and stored.

6.7.2.5 Where veterinary medication is required to be dispensed in water, medicated water shall be separately identified and stored.

6.7.2.6 The producer shall dispose of unused animal medications, expired medications, empty containers and disposable instruments in accordance with regulatory requirements and ensure that they are not re-used; and are isolated and securely stored while awaiting disposal.

6.7.2.7 Where some or all of the living stock is found to be infected with a notifiable disease, the producer shall have a system in place to quarantine the affected stock and take appropriate action to treat or dispose of the affected stock.

### 6.7.3 Feed Management Plan

6.7.3.1 Where the producer selects to purchase aquaculture feed, it shall be purchased from an approved supplier in accordance with applicable legislation and an agreed specification. An inventory of all aquaculture feed purchased and used shall be maintained.

6.7.3.2 The producer shall implement a feed management plan to maintain the safety and integrity of all aquaculture feed, whether purchased, or produced on site. Aquaculture feed shall meet regulatory requirements and be managed to minimize the potential for microbiological or chemical contamination.

The feed management plan shall include the following:

- i. Preventive controls;
- ii. Monitoring and verification procedures;

- iii. Corrective actions;
- iv. Documentation.

Feed quality shall be tested to verify that it complies with the established microbiological and chemical standard or criteria. Feed analysis shall be undertaken by an approved laboratory accredited to ISO 17025 or equivalent.

6.7.3.3 Where aquaculture feed is found to be contaminated or otherwise unsuitable for use, the producer shall have a process in place to contain and remove the contaminated feed so as not to pose a food safety risk to living or harvested stock, and to clean and sanitize contaminated silos and equipment.

#### **6.7.4 Purchase and Use of Chemicals**

6.7.4.1 Chemicals shall be purchased from an approved supplier in accordance with applicable legislation. An inventory of all chemicals purchased and used shall be maintained.

6.7.4.2 The producer shall dispose of chemical waste and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not re-used;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection;
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

### **6.8 Stock Identification and Traceability**

#### **6.8.1 Living Stock Records**

6.8.1.1 The aquaculture producer shall maintain a living stock record which includes current living stock on farm, stock movement, stock transactions, and stock losses.

6.8.1.2 Records shall be maintained of living stock purchased and sold by the producer.

6.8.1.3 Records shall be maintained of living stock treated with approved veterinary medications and shall include the application date and the withholding period for that medication.

#### **6.8.2 Feed Identification and Traceability**

6.8.2.1 All animal feed and feed additives shall be identified by a batch identification system and be traceable back to the source, including name and address of the supplier and the batch number or manufacturer's identification mark.

6.8.2.2 The producer shall maintain records of the use of feed and feed additives.

#### **6.8.3 Harvested Stock Records**

6.8.3.1 Records shall be maintained of all harvested fishery products, including the delivery destination, vendor, species, lot or batch number, and date of production.

### **6.9 Waste Disposal**

#### **6.9.1 Dry Waste Disposal**

6.9.1.1 Waste materials shall be regularly removed from the farm, vessel, catch landing areas, fishery storage areas surrounds so as not to pose a food safety risk to livestock and other farm products.

6.9.1.2 The responsibility and methods for the effective and efficient disposal of all solid waste including inedible material and disused packaging, and liquid and unsanitary waste shall be documented and implemented.

6.9.1.3 Areas where solid waste materials are stored shall be kept clean.

6.9.1.4 Dead fish shall be stored outside production areas. Disposal companies shall not pass through the production facilities to remove carcasses.

#### **6.9.2 Liquid Waste**

6.9.2.1 Waste water and slurry from ponds shall be disposed of legally and so as to avoid contamination of water courses and neighboring properties.

6.9.2.2 Untreated waste water and slurry from sewage plants shall be contained so that it does not contaminate farm ponds and water courses.

6.9.2.3 Liquid waste shall be stored in specially designed and constructed watertight containers, so as not to pose a food safety risk to living stock and other farm products.

## Module 7: Food Safety Fundamentals – Good Agricultural Practices for Farming of Plant Products (GFSI BI)

This module covers the Good Agricultural Practices requirements for the growing and harvesting of plants, other than grains and pulses, for food.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

- FSC 3: Growing and production of fresh produce
- 3A: Fresh produce that will undergo further processing
  - 3B: Ready-to-eat (RTE) produce

### 7.1 Site Requirements

#### 7.1.1 Property Location

7.1.1.1 The farm and facilities shall be such that adjacent and adjoining buildings, operations and land use do not interfere with the safe and hygienic operations on the property.

7.1.1.2 A soil map shall be prepared and risk assessment conducted to evaluate and document the risk to crops due to prior land use, adjacent land use, and other environmental factors including structures and equipment.

Consideration shall be given to the following:

- i. History of land use.
- ii. Topography.
- iii. Adjacent land use.
- iv. Other factors that may impact on the ability to supply safe product.

7.1.1.3 The analysis shall be re-evaluated in the event of any circumstance or change that may impact on the production of safe product.

7.1.1.4 Where risks are identified, control measures shall be implemented to reduce the identified hazards to an acceptable level.

### 7.2 Product Handling and Storage Areas and Equipment

#### 7.2.1 Field and Storage Buildings

7.2.1.1 All buildings used to store equipment, field chemicals, field packing materials, or field product shall be designed and constructed so as to permit compliance to good hygiene practices and avoid product contamination.

7.2.1.2 Buildings designated to store field product or field product packing materials shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish and shall be kept clean.

7.2.1.3 Field product contact surfaces shall be constructed of materials that do not constitute a food safety risk.

#### 7.2.2 Glasshouses, Hydroponics

7.2.2.1 Facilities that grow produce indoors shall be designed so that there is no food safety risk to the product.

7.2.2.2 A procedure for handling of glass or hard plastic breakages in glasshouses shall be documented and implemented (refer also 7.8.2).

#### 7.2.3 Chillers and Cold Storage

7.2.3.1 The producer shall provide confirmation of construction approvals and the effective operational performance of any chilling and chill storage facility.

7.2.3.2 Floors shall be constructed of smooth, dense impact resistant material that is impervious to liquid and easily cleaned. Floors shall be effectively graded, to allow the effective removal of all overflow or waste water under normal conditions.

7.2.3.3 Wall, ceilings, doors, frames and hatches shall be of a solid construction. Internal surfaces shall be smooth and impervious with a light colored finish.

7.2.3.4 Lighting shall be shatter-proof or provided with protective covers.

7.2.3.5 Sufficient refrigeration and controlled atmosphere capacity shall be available to chill or store the maximum anticipated throughput of product with allowance for periodic cleaning of storage rooms.

7.2.3.6 Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.

7.2.3.7 Chilling and cold storage facilities shall be fitted with temperature monitoring equipment or suitable temperature monitoring device that is located so as to monitor the warmest part of the room and is fitted with a temperature gauge that is easily readable and accessible.

7.2.3.8 Chill and cold storage loading dock areas shall be appropriately sealed, drained and graded.

#### **7.2.4 Storage of Dry Ingredient, Packaging and Utensils**

7.2.4.1 Silos used to store seed or food crops shall be constructed of approved materials and designed to remain dry, clean and free from any dirt residues, so they remain fit for the purpose, in an acceptable condition, enable safe fumigation practices and prevent the invasion of pests.

7.2.4.2 Storage rooms shall be designed and constructed to allow for the separate, hygienic storage of harvesting and packing utensils away from farm machinery and hazardous chemicals and toxic substances.

#### **7.2.5 Farm Machinery, Conveyors, Harvesting and Processing Rigs Construction and Storage**

7.2.5.1 Product contact surfaces on conveyors, harvesting and processing rigs shall be designed and constructed to allow for the efficient handling of product and those surfaces in direct contact with product shall be constructed of materials that will not contribute a food or feed safety risk.

7.2.5.2 Food processing equipment including knives, totes, trays, conveyors, containers and other equipment shall be constructed of materials that are non-toxic, smooth, impervious and easily cleaned.

7.2.5.3 Provision shall be made for the washing and storage of processing rigs, equipment, conveyors, totes, trays containers and utensils.

7.2.5.4 Provision shall be made to store farm machinery separate from food conveyors, harvesting and processing rigs.

#### **7.2.6 Vehicles, Equipment and Utensils**

7.2.6.1 Equipment, vehicles, tools, utensils and other items or materials used in farming operations that may contact produce are identified and are in good repair, kept clean and sanitized, and stored in such a way as to avoid contamination.

7.2.6.2 Water tanks shall be cleaned at a sufficient frequency so as not be a source of contamination.

7.2.6.3 A documented procedure regarding the inspection of food contact harvest containers and pallets shall be implemented. The procedure shall include the type and construction of harvest containers and packing materials.

7.2.6.4 The use of harvest containers for non-harvest purposes will be clearly identified and not returned to use for harvest.

7.2.6.5 Vehicles used for the transport of foodstuffs shall be fit for purpose and shall not be used to carry waste materials, manure, chemicals or other hazardous substances that could cause feed contamination without thorough cleaning and inspection.

7.2.6.6 Tractors, harvesters, field packing equipment and machinery driven over ground crops shall be fitted with drip trays to prevent contamination of the crop by lubricants and oils.

#### **7.2.7 Maintenance Protocol**

7.2.7.1 The methods and responsibility for maintenance of equipment and buildings shall be planned, scheduled and carried out in a manner that prevents any risk of contamination of product or equipment.

#### **7.2.8 Calibration of Equipment**

7.2.8.1 The methods and responsibility for the calibration and re-calibration of chemical application, measuring, test and inspection equipment used for monitoring pre-requisite program and other process controls shall be documented and implemented.

7.2.8.2 Equipment shall be calibrated against national or international reference standards and methods. In cases where such standards are not available the producer shall indicate and provide evidence to support the calibration reference method applied.

7.2.8.3 Calibration shall be undertaken to an established schedule, to recognized standards or to accuracy appropriate to use.

7.2.8.4 Calibration records shall be maintained.

#### **7.2.9 Pest and Vermin Management**

7.2.9.1 The methods for controlling pest and vermin infestation on the site or facilities shall be documented and implemented. The property, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

7.2.9.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the methods used to eliminate pests when found;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
- viii. Outline the methods used to make employees aware of the bait control program and the measures to take when they come into contact with a bait station; and

- ix. Outline the requirements for employee awareness and training in the use of pest and vermin control chemicals and baits.

7.2.9.3 Records of pest inspections and pest applications shall be maintained.

#### **7.2.10 Animal Control**

7.2.10.1 The operation shall have a written risk assessment on animal activity in and around the production of food or feed crops that has been implemented and monitored.

7.2.10.2 Measures shall be in place that excludes domestic and wild animals from growing fields, glasshouses, pack houses and all storage areas.

#### **7.2.11 Cleaning and Sanitation**

7.2.11.1 The methods and responsibility for the cleaning of product contact surfaces, field processing equipment and sanitary facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;
- ii. How it is to be cleaned;
- iii. When it is to be cleaned; and
- iv. Who is responsible for the cleaning, and
- v. Who is responsible for the evaluation of the cleaning.

7.2.11.2 A schedule shall be prepared indicating the frequency of verifying the effectiveness of the cleaning of product contact surfaces, field processing equipment and sanitary facilities and indicating who is responsible for completing verification activities.

7.2.11.3 A record of cleaning and sanitation activities shall be maintained.

### **7.3 Personal Hygiene and Welfare**

#### **7.3.1 Personnel Practices**

7.3.1.1 Personnel engaged in the handling of product shall observe appropriate personal practices. Corrective actions shall be implemented for personnel who violate food safety practices.

7.3.1.2 Personnel suffering from, or are carriers of, an infectious disease which can be carried with food as a vehicle shall not engage in growing or product handling or field processing operation.

7.3.1.3 A medical screening procedure shall be in place for all employees, and will also be applicable to all visitors and contractors.

7.3.1.4 Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing product. Minor cuts or abrasions on exposed parts of the body shall be covered with a suitable waterproof dressing.

7.3.1.5 A written policy shall be in place that specifies the procedures for handling product or product contact surfaces that have been in contact with blood or other bodily fluids.

7.3.1.6 Smoking, chewing, eating, drinking (except for water) or spitting is not permitted in any growing areas including on field processing rigs and during harvesting and packing operations.

#### **7.3.2 Sanitary Facilities and Hand Washing**

7.3.2.1 Toilet facilities shall be provided and designed, constructed and located in a manner that minimizes the potential risk for product contamination.

- i. Toilets shall cater for the maximum number of employees and be constructed so that they can be easily cleaned and maintained;
- ii. Hand wash basins with clean water, hand soap, disposable towels or effective hand drying device, waste bins and a tank that captures used hand wash water for disposal shall be provided inside or adjacent to toilet facilities;
- iii. Signage in appropriate languages shall be provided adjacent to hand wash basins instructing people to wash their hands after each toilet visit;
- iv. Racks for protective clothing used by field packing employees shall be provided;
- v. Toilets shall be located so as to provide easy access on farms for field workers;
- vi. Toilet and wash stations shall be maintained in a clean and sanitary condition.

7.3.2.2 Personnel shall have clean hands and hands shall be washed by all personnel:

- i. Before handling product;
- ii. After each visit to a toilet;
- iii. After using a handkerchief;
- iv. After handling dirty or contaminated material; and
- v. After smoking, eating or drinking.

#### **7.3.3 Protective Clothing**

7.3.3.1 Protective clothing shall be effectively maintained, stored, laundered and worn so as to protect product from risk of contamination.

7.3.3.2 Where applicable, clothing, including footwear, shall be effectively maintained, cleaned and sanitized, and worn so as to protect product from risk of contamination.

7.3.3.3 If rubber or disposable gloves are used, the operation shall have a glove use policy and personnel shall adhere to the hand washing practices outlined above.

#### **7.3.4 Jewelry and Personal Effects**

7.3.4.1 Jewelry and other loose objects that pose a threat to the safety of the product shall not be worn or taken onto any growing, product handling or storage operations.

#### **7.3.5 Visitors**

7.3.5.1 All visitors (including management and maintenance employees) shall be required to remove jewelry and other loose objects and wear suitable protective clothing around product growing, harvesting, or storage areas.

7.3.5.2 Visitors exhibiting visible signs of illness shall be prevented from entering any growing or product handling or field processing operation.

7.3.5.3 Visitors must follow all personnel practices as designated by company for employees within various areas of fields, sheds, packing facilities or storage locations.

7.3.5.4 Unsupervised children shall not be permitted to enter any harvesting, packing, or food storage areas.

#### **7.3.6 Amenities**

7.3.6.1 Provision shall be made to store employee personal belongings away from crops, harvesting and field processing and packing operations, and processing equipment.

7.3.6.2 Areas for meal breaks shall be designated and located away from a food contact/handling zones and processing equipment.

7.3.6.3 Drinking water shall be available to all field employees.

#### **7.3.7 First Aid**

7.3.7.1 First aid facilities shall be available and maintained to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

7.3.7.2 First aid kits shall be kept in a sanitary and usable condition.

### **7.4 Field Packaging and Handling Practices**

#### **7.4.1 Field Packing Personal Practices**

7.4.1.1 Appropriate personnel practices shall be employed by field packing employees which include:

- i. Fingernail polish shall not be permitted where product is handled with bare hands;
- ii. Aprons and gloves shall be kept clean;
- iii. Aprons and gloves shall not be left on product, work surfaces, equipment or packaging material but hung on apron and glove racks provided;
- iv. All product and packaging material shall be kept off the ground and the floor of the transport vehicle;
- v. Waste shall be contained in the bins identified for this purpose. Waste shall not come in contact with produce and be removed on a regular basis and not left to accumulate.

7.4.1.2 A written policy regarding the handling and field packaging of produce, specific to the commodity, shall be implemented and maintained. The policy shall assure that:

- i. Damaged or decayed produce is not harvested or culled;
- ii. Produce that contacts the ground shall not be harvested (unless that product typically contacts the ground);
- iii. Measures to inspect for physical hazards and procedures to remove physical hazards are in place;
- iv. Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce.

7.4.1.3 Packaging materials shall be appropriate for their intended use and stored in a manner that prevents contamination. A written policy shall be in place that identifies how packing materials are permitted in direct contact with soil.

7.4.1.4 Materials that come in contact with the produce shall be clean and in good repair.

### **7.5 Water Management**

#### **7.5.1 Water System Description**

7.5.1.1 A water description plan shall be prepared that describes the water sources and the production blocks they serve, and shall include one or more of the following: maps, photographs, drawings, or other means to communicate the location of the water sources, permanent fixtures and the flow of the water system.

7.5.1.2 Agricultural water shall be sourced from a location and in a manner that is compliant with prevailing regulations.

7.5.1.3 Water system intended to convey untreated human or animal waste shall be separated from conveyances utilized to deliver agricultural water.

### 7.5.2 Irrigation Water

7.5.2.1 Agricultural water shall be drawn from a known clean source or treated to make it suitable for use. The producer shall conduct an analysis of the hazards to the irrigation water supply from source through to application, establish acceptance criteria for the monitoring of water and validate and verify the integrity of the water used to ensure it is fit for the purpose.

### 7.5.3 Treatment of Irrigation Water

7.5.3.1 In circumstances where irrigation water is treated to render it acceptable, the water, after treatment shall conform to the microbiological standards as outlined in element 7.5.5.

### 7.5.4 Water System Risk Assessment

7.5.4.1 An initial risk assessment shall be performed and documented that takes into consideration the historical testing results of the water source, the characteristics of the crop, the stage of the crop, and the method of application.

### 7.5.5 Water Management Plan

7.5.5.1 Water used for washing and treating product, cleaning food contact surfaces and mixing sanitizer solutions shall comply with potable water microbiological and chemical standards in the country of production. Separate criteria will be established for irrigation water, frost control, humidifying, pesticide application, etc. as applicable, based on the hazard analysis, best practices within country of production and any applicable legislation.

The water management plan shall include the following:

- i. Preventive controls;
- ii. Monitoring and verification procedures;
- iii. Corrective actions;
- iv. Documentation.

Water testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or regulations for the commodity being grown.

7.5.5.2 Water quality shall be monitored to verify it complies with the established water microbiological and chemical standard or criteria established. A verification schedule shall be prepared indicating the location and frequency of monitoring, which shall be decided by the hazard analysis, best practices within country of production, or applicable legislation. Water analysis shall be undertaken by an approved laboratory accredited to ISO 17025 or equivalent.

7.5.5.3 Water used for hydroponics culture shall be frequently changed and procedures shall be implemented that minimizes microbial or chemical contamination. Delivery system shall be designed so they can be maintained and cleaned.

### 7.5.6 Corrective Actions

7.5.6.1 When monitoring shows that water does not meet established criteria or standard, producer will have a corrective action plan developed which could include additional treatment for water, additional sources for water, product identification and disposition or other alternative actions to adequately control the identified hazards.

### 7.5.7 Ice

7.5.7.1 The producer shall verify that any ice used is made from water that meets the microbiological and quality standards as specified in element 7.5.5.

### 7.5.8 Harvest Assessment Water/Ice

7.5.8.1 Standard Operating Procedures (SOPs) shall be developed for all uses of water during harvesting of food or feed products. The SOPs shall address:

- i. The microbial quality of water or ice that directly contacts the harvested crop, is used on food contact surfaces or used to deliver agricultural chemicals;
- ii. The treatment of re-circulated water, if used;
- iii. The condition and maintenance of water-delivery system;
- iv. The control of wash water temperature.

7.5.8.2 An SOP that includes water-change schedules shall be developed for all uses of water during harvesting.

## 7.6 Storage and Transport

### 7.6.1 Storage of Hazardous Chemicals, Toxic Substances, and Petroleum Products

7.6.1.1 Hazardous chemicals, toxic substances, and petroleum products shall be stored so as not to present a hazard to employees, product, product handling equipment or areas in which product is handled, stored or transported.

7.6.1.2 Product contact chemicals such as pesticides and herbicides; rodenticides, fumigants and insecticides; sanitizers and detergents shall be stored separately and in their original containers.

7.6.1.3 Chemical storage sheds shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be ventilated to the exterior;

- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of chemicals;
- v. Have instructions on the safe handling of hazardous chemicals readily accessible to employees;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in the storage area;
- viii. Have emergency shower and/or wash facilities available in the event of an accidental spill; and
- ix. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- x. Be equipped with spillage kits and cleaning equipment.

7.6.1.4 Petroleum fuels, oils, grease and other lubricants shall be stored separate from other storage areas.

7.6.1.5 The storage of hazardous chemicals, toxic substances and petroleum products in areas (separate lockable or otherwise contained) inside food handling areas, product and ingredient and packaging storage rooms is not acceptable.

### **7.6.2 Transport**

7.6.2.1 The practices applied during loading, transport and unloading of crops shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity.

7.6.2.2 Crops shall be transported under conditions suitable to maintain integrity and to prevent cross contamination and spoilage.

7.6.2.3 Employees involved in loading, transport and unloading events shall be appropriately trained.

### **7.6.3 Transport from Field to Packhouse**

7.6.3.1 A written procedure and checklist to verify cleanliness and functionality of shipping units shall be implemented.

7.6.3.2 Loading and unloading procedures shall include provisions to minimize damage and prevent contamination to produce.

## **7.7 Soil Management**

### **7.7.1 Use of Fertilizers (Soil Amendments)**

7.7.1.1 Inorganic (chemical) and organic (manure) soil amendments shall be isolated and stored separately so as not to pose a food safety risk.

7.7.1.2 Provision shall be made for the storage of concentrated and diluted liquid soil amendments in bunded tanks designed to retain at least 110% of total volume.

7.7.1.3 Soil amendments shall be stored separate from crop, field or irrigation water sources such that contamination from run off is avoided either by locating of the soil amendment a suitable distance from the crop or by the utilization of other physical barriers.

7.7.1.4 An inventory of all organic and inorganic soil amendment storage and use shall be maintained.

### **7.7.2 Soil Amendment**

7.7.2.1 No raw untreated manure shall be used. Soil amendment treatment and application methods shall be documented and implemented and designed to prevent contamination of product.

7.7.2.2 Soil amendment protocol shall outline the methods used to treat manure and other untreated organic fertilizers ensuring:

- i. The treatment methods applied inactivate pathogens in organic soil amendments;
- ii. A hazard analysis of organic soil amendments treatment methods is conducted before use;
- iii. Treatment methods are validated and treatments of organic soil amendments are verified as being in compliance with the method applied;
- iv. Records of the validation and verification of organic soil amendment treatments are maintained.

7.7.2.3 Soil amendment protocol shall outline the methods to ensure organic soil amendment applications are timed to pose minimum risk to product safety and human health including:

- i. All applications of soil amendments are in accordance with national or local guidelines, best practices and codes of Good Agricultural Practice;
- ii. Equipment used for soil amendment application is maintained in good condition and calibrated to ensure accurate application;
- iii. Records of all equipment maintenance and calibration are maintained;
- iv. Signage complies with national and local codes of practice; and
- v. Sufficient data is recorded to provide a detailed record of soil amendment applications.

### 7.7.3 Purchasing Chemicals

7.7.3.1 Chemicals shall be purchased from an approved supplier in accordance with applicable legislation. An inventory of all chemicals purchased and used shall be maintained.

### 7.7.4 Agricultural Chemicals

7.7.4.1 A crop protection action plan indicating the applications used for a target pest or disease and the threshold levels that initiate application shall be prepared and implemented.

7.7.4.2 If product is intended for export, agricultural chemical use shall consider requirements in the intended country of destination.

7.7.4.3 The person making decisions on chemical application shall:

- i. Demonstrate knowledge of, and access to, information regarding chemical applications and the maximum residue limits allowable in destination markets;
- ii. Use only chemicals approved for cultivation of specific fruits and vegetables, and approved for use in the intended market;
- iii. Demonstrate competence and knowledge of chemical application and crop withholding periods;
- iv. Ensure crop applications and application rates for target pests and diseases comply with label recommendations;
- v. Demonstrate the timing between chemical application and harvest complies with the approved harvest interval for the chemical applied;
- vi. Maintain a current chemical register and keep records of all chemicals use. Records of chemical use shall include the date of application, the chemical used, the crop sprayed, the concentration, method and frequency of application.

7.7.4.4 Only biological controls that are authorized for the cultivation of the specific fruit or vegetable shall be used, and in accordance with label instructions.

7.7.4.5 The producer shall dispose of chemical waste and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not re-used;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection;
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

## 7.8 Harvesting

### 7.8.1 Pre-harvest Assessment

7.8.1.1 A pre-harvest risk assessment procedure shall be in place that describes when the assessment is performed and identifies those conditions that may be reasonably likely to result in physical, chemical, or biological contamination.

7.8.1.2 Knives and cutting instruments used in harvesting operations shall be controlled, and kept clean and well maintained.

7.8.1.3 A written policy regarding the storage of harvesting containers shall be implemented and maintained.

### 7.8.2 Foreign Matter and Glass Procedures

7.8.2.1 The methods used to prevent foreign matter and glass contamination of product shall be documented and implemented.

7.8.2.2 Containers, equipment and other utensils made of glass, porcelain, ceramics, brittle plastic or other like material shall not be permitted where exposed product is handled unless an effective foreign material and glass protocol is documented and implemented.

7.8.2.3 Regular inspections shall be conducted to ensure food handling/contact zones areas are free of glass and brittle plastic and employees are to be made aware of their responsibility to adhere to the organization's Foreign Matter and Glass Protocol.

7.8.2.4 Glass covered instrument dial covers shall be checked at the start and finish of each shift to ensure their covers have not been damaged.

## 7.9 Waste Disposal

### 7.9.1 Dry, Liquid and Unsanitary Waste Disposal

7.9.1.1 Waste shall be regularly removed from the farm, field, packing facility and the surrounds so as not to pose a food safety risk to finished product or growing, harvesting and packing operations.

7.9.1.2 The responsibility and methods for the effective and efficient disposal of all solid waste including inedible material and disused packaging, and liquid and unsanitary waste shall be documented and implemented.

## Module 7H: Food Safety Standard – Good Agriculture Practices for Farming of Plant Products (GFSI BI)

This module incorporates the Harmonized Produce Standards whose development was facilitated by United Fresh and includes those elements developed by the Harmonized Produce technical committee for produce food safety, for those growers who wish to provide customers product produced under these Standards.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

- FSC3: Growing and production of fresh produce
- 3A: Fresh produce that will undergo further processing
- 3B: Ready-to-eat (RTE) produce

### 7H.1 Field Production

#### 7H.1.1 Field History and Assessment

7H.1.1.1 The food safety plan shall, initially and at least annually thereafter, evaluate and document the risks associated with land use history and adjacent land use including equipment and structures.

7H.1.1.2 When land use history or adjacent land use indicates a possibility of physical, chemical or biological contamination, preventive controls shall be performed and documented to mitigate food safety risk.

7H.1.1.3 The assessment is re-performed, and documented, at least annually for environmental conditions or risk awareness that has changed since the last assessment. The assessment shall include indoor growing facilities and structures such as green houses and hydroponics.

7H.1.1.4 For indoor growing and field storage facilities, facility shall be designed, constructed and maintained in a manner that prevents contamination of produce

7H.1.1.5 Facility and equipment structures and surfaces (floors, walls, ceilings, doors, frames, hatches, etc) shall be constructed in a manner that facilitates cleaning and sanitation and does not serve as harborage for contaminants or pests.

#### 7H.1.2 Cold Storage and Air

7H.1.2.1 Chill and cold storage loading dock areas shall be appropriately sealed, drained and graded. Fixtures, ducts, pipes and overhead structures shall be installed and maintained so that drips and condensation do not contaminate produce, raw materials or food contact surfaces. Water from refrigeration drip pans shall be drained and disposed of away from product and product contact surfaces.

7H.1.2.2 Drip pans and drains shall be designed to assure condensate does not become a source of contamination.

7H.1.2.3 Air intakes shall not be located near potential sources of contamination.

#### 7H.1.3 Toilet/Handwashing Facilities

7H.1.3.1 Operation shall have a policy for toilet, hygiene, and health. Each operation shall establish written policies for their specific operations, which shall be compliance with prevailing regulations for Worker Health and Hygiene Practices.

7H.1.3.2 Employees and visitors shall follow all personal hygiene practices as designated by the operation.

7H.1.3.3 Operation's hygiene policies shall apply to all employees, contractors, visitors, buyers, product inspectors, auditors, and other personnel in the field.

7H.1.3.4 The operation shall designate competent supervisory personnel to ensure compliance by all workers, visitors, and field personnel with the requirements in this section.

7H.1.3.5 Toilet facilities shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination and are directly accessible for servicing.

7H.1.3.6 Toilet and handwashing facilities are situated during operation and servicing, and maintained so as not to pose a hazard to the produce or other opportunity for contamination.

7H.1.3.7 Toilet facilities shall be of adequate number, easily accessible to employees and in compliance with applicable regulation. The operation will have verification that the number of toilet facilities and their location relative to employees meets the more stringent of federal, state or local regulations.

7H.1.3.8 Toilet and wash stations shall be maintained in a clean and sanitary condition. Toilet paper shall be available in toilet facility. Wash stations shall be located with the field sanitation units and include:

- i. Hand wash facilities with water that meets the microbial standard for drinking water,
- ii. Hand soap, disposable towels or other hand drying device,
- iii. Towel disposal container, and
- iv. A tank that captures used hand wash water for disposal.

These stations shall be provided inside or adjacent to toilet facilities.

7H.1.3.9 Personnel shall wash their hands at any time when their hands may be a source of contamination. Personnel shall wash their hands:

- i. Prior to start of work,
- ii. After each visit to a toilet,
- iii. After using a handkerchief/tissue
- iv. After handling contaminated material,
- v. After smoking, eating, or drinking,
- vi. After breaks and prior to returning to work, and
- vii. Any other time when their hands may have become a source of contamination.

7H.1.3.10 Signage requiring handwashing is posted. Signage in applicable languages and/or pictures shall be provided adjacent to hand wash facilities requiring people to wash their hands after each toilet visit.

## **7H.2 Worker Health/Hygiene**

### **7H.2.1 Protective Clothing**

7H.2.1.1 Clothing, including footwear, shall be effectively maintained and worn so as to protect product from risk of contamination. Operation shall have a policy that employee clothing shall be clean at the start of the day and appropriate for the operation.

7H.2.1.2 If gloves are used, the operation shall have a glove use policy. If rubber, disposable, cloth or other gloves are used in contact with product, the operation shall have a glove use policy that specifies how and when gloves are to be used, cleaned, replaced and stored. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.

7H.2.1.3 Protective clothing, when required, shall be maintained, stored, laundered and worn so as to protect product from risk of contamination. If protective clothing is used in proximity to product, the operation shall have a policy or procedures for how and when protective clothing are to be used, cleaned, replaced and stored. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.

7H.2.1.4 When appropriate, racks and/or storage containers or designated storage areas for protective clothing and tools used by employees shall be provided. When employees wear protective clothing, such as aprons and gloves, the Operation shall have a policy for how the clothing and tool shall be stored when not in use so as to avoid potential contamination.

### **7H.2.2 Jewelry and Personnel Effects**

7H.2.2.1 The wearing of jewelry, body piercing and other loose objects (e.g. false nails) shall be in compliance to company policy and applicable regulation. Operation shall have a policy that personal effects such as jewelry, watches or other items shall not be worn or brought into fresh fruit and vegetable production areas if they pose a threat to the safety and suitability of the food. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.

7H.2.2.2 The use of hair coverings shall be in compliance to company policy and applicable regulation.

7H.2.2.3 The Operation shall have a policy that addresses use of hair coverings (e.g., hair nets, beard nets, caps), which is in compliance with prevailing regulation.

7H.2.2.4 Employee's personal belongings shall be stored in designated areas. Operation shall have a policy for when and how employee's personal belongings shall be stored so as not to be a source of product contamination.

7H.2.2.5 Smoking, chewing, eating, drinking (other than water), urinating, defecating or spitting is not permitted in any growing areas.

7H.2.2.6 Operation shall have policy prohibiting smoking, eating, chewing gum or tobacco, drinking other than water except in designated areas. Such areas shall be designated so as not to provide a source of contamination.

7H.2.2.7 Operation shall have policy prohibiting urinating or defecating in any growing area.

### **7H.2.3 Amenities**

7H.2.3.1 Operation shall have a written policy that break areas are located so as not to be a source of product contamination.

7H.2.3.2 Break areas shall be designated and located away from food contact/handling zones and production equipment.

7H.2.3.3 Drinking water shall be available to all field employees. Drinking water, which meets drinking water standards, shall be easily accessible to field personnel and in compliance with applicable regulation.

7H.2.3.4 Bottled water or potable drinking water stations with single-use cups and a trash receptacle shall be available to all field employees.

### **7H.2.4 Personnel Practices**

7H.2.4.1 Workers and field personnel who show signs of illness shall be restricted from direct contact with product of food contact surfaces. Operation shall have a written policy that restricts personnel who show signs of illness (e.g., vomiting, jaundice, and diarrhea) from contact with product or food contact surfaces. Policy shall require that any person so affected immediately report illness or symptoms of illness to the management.

7H.2.4.2 Personnel with exposed cuts, sores or lesions shall not be engaged in handling product.

7H.2.4.3 Minor cuts or abrasions on exposed parts of the body are acceptable if covered with a non-permeable covering, bandage or glove. Bandages on hands shall be covered with gloves in compliance with operation's glove policy.

7H.2.4.4 Operation shall have a blood and bodily fluids policy. There shall be a written policy specifying the procedures for the handling/disposition of food or product contact surfaces that have been in contact with blood or other bodily fluids.

### **7H.2.5 First Aid**

7H.2.5.1 First aid kits shall be accessible to all personnel. The kits shall be readily available in the vicinity of field work and maintained in accordance with prevailing regulation. The kit materials shall be kept in a sanitary and usable condition.

## **7H.3 Field Handling and Equipment**

### **7H.3.1 Agricultural Chemicals/Plant Protection Products**

7H.3.1.1 Use of agricultural chemicals shall comply with label directions and prevailing regulation. Agricultural chemicals, including post-harvest chemicals such as biocides, waxes and plant protection products, must be registered for such use as required by prevailing regulation, and used in accordance with label directions including:

- i. Application rates,
- ii. Worker protection standards,
- iii. Personal protection equipment,
- iv. Container disposal,
- v. Storage, and
- vi. All requirements specified for the chemical or compound.

Records of agricultural use are maintained.

7H.3.1.2 If product is intended for export, agricultural chemical use, including post-harvest chemicals, shall consider requirements in the intended country of destination. The operation shall have procedures, such as pre-harvest interval and application rate, sufficient to meet the MRL entry requirements of the country (ies) in which the product is intended to be traded, if known during production.

7H.3.1.3 Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulation.

7H.3.1.4 Operation maintains records demonstrating that all personnel responsible for chemical applications are trained and/or licensed personnel, in compliance with prevailing regulation.

7H.3.1.5 Water used with agricultural chemicals shall not be a source of product or field contamination. Water used to dilute or deliver agricultural chemicals shall be from a source in compliance with the water system risk assessment and water management plan, consistent with current industry practices or regulatory requirements for that commodity.

7H.3.1.6 Agricultural chemical disposal shall not be a source of product or field contamination. Operation shall have procedures for disposal of waste agricultural chemicals and for cleaning of application equipment that protects against contamination of product and growing areas.

### **7H.3.2 Animal Control**

7H.3.2.1 The operation has a written risk assessment on animal activity in and around the production area. There shall be a written assessment of the growing fields and adjacent land, prior to each growing season, focusing on domestic and wild animal activity including grazing and feeding operations, noting crop characteristics, type and approximate number of animals, proximity to the growing field, water sources, and other relevant factors.

7H.3.2.2 The operation routinely monitors for animal activity in and around the growing area during the growing season.

7H.3.2.3 There shall be scheduled monitoring of growing fields and adjacent land for evidence of animal activity. A frequency of monitoring and assessment shall be established based on production factors, such as the crop, geography, and other conditions.

7H.3.2.4 Based on the risk assessment, there shall be measures to prevent or minimize the potential for contamination from animals, including domestic animals used in farming operation. The operation shall have risk-appropriate actions to prevent or minimize the potential for contamination of produce with pathogens from animal feces, including from domestic animals used in farming operations.

7H.3.2.5 There shall be a written record of any mitigation or corrective actions. Preventive measures and corrective actions shall comply with all local, state and federal regulations concerning animal control and natural resource conservation.

### **7H.3.3 Soil Amendments**

7H.3.3.1 The food safety plan shall address soil amendment risk, preparation use, and storage.

7H.3.3.2 If animal-based soil amendments or bio solids are used, records of composition, dates of treatment, methods utilized and application dates must be documented. Evidence of processing adequate to eliminate pathogens of human concern shall be documented, such as

- i. Letter of guarantee,
- ii. Certificate of analysis (COA) or any test results, or
- iii. Verification data (e.g., time and temperature) demonstrating compliance with process, or

iv. Microbial standards.

Such soil amendments must be produced and applied in accordance with applicable federal, state, or local regulations.

7H.3.3.3 If a soil amendment containing raw or incompletely treated manure is used, it shall be used in a manner so as not to serve as a source of contamination of produce. If such a product is used, there shall be documentation of the composition, and time and method of application. Such use will be consistent with current industry practices or regulatory restrictions for that commodity.

#### 7H.3.4 Vehicles, Equipment, Tools and Utensils

7H.3.4.1 Equipment, vehicles, tools utensils and other items or materials used in farming operations that may contact produce are identified. Operation maintains a list of equipment, vehicles, tools, utensils and other items or materials that may pose a risk of produce contamination during normal use.

7H.3.4.2 Equipment, vehicles, tools and utensils used in farming operations which come into contact with product are in good repair, and are not a source of contamination of produce. The operation shall develop, implement, and schedule repair, cleaning, sanitizing, storage and handling procedures of all food contact surfaces to reduce and control the potential for contamination. As necessary for food safety, vehicles and equipment shall be properly calibrated, operated, maintained, and used as intended.

7H.3.4.3 Equipment traffic flow is prevented from traveling through an untreated manure area into the harvesting field. These procedures shall be documented.

7H.3.4.4 Product contact tools, utensils and equipment shall be made of materials that can be cleaned and sanitized. Procedures include equipment and vehicles that are in the field infrequently.

7H.3.4.5 Vehicles, equipment, tools and utensils shall be controlled so as not to be

- i. A source of chemical hazards, and/or
- ii. A source of physical hazards.

Operation shall have:

- i. A written procedure to address the spills and leaks (fuel, oil, hydraulic fluids) which might occur during equipment operation in the field, and/or
- ii. A glass and brittle plastic policy that addresses glass on production equipment and in growing area.

7H.3.4.6 Inspections performed in compliance with the policy shall be documented.

#### 7H.3.5 Cleaning and Sanitation

7H.3.5.1 Cleaning and sanitizing procedures do not pose a risk of product contamination.

7H.3.5.2 Equipment cleaning and sanitizing operations shall be conducted away from the product and other equipment to reduce the potential for contamination.

7H.3.5.3 Water used for cleaning and sanitizing shall meet the microbial standards for drinking water.

7H.3.5.4 Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination. There shall be a written procedure for cleaning water tanks, such as those used for dust control, the water from which may contact produce in the field.

### 7H.4 Agricultural Water

#### 7H.4.1 Water System Description

7H.4.1.1 A water system description shall be available for review.

7H.4.1.2 Water sources and the production blocks they may serve shall be documented and current. The description shall include one or more of the following:

- i. Maps,
- ii. Photographs,
- iii. Drawings (hand drawings are acceptable), or other means to communicate the location of water sources,
- iv. Permanent fixtures and the flow of the water system (including holding systems, reservoirs or any water captured for re-use). Permanent fixtures include wells, gates, reservoirs, valves returns and other above ground features that make up a complete irrigation system shall be documented in such a manner as to enable location in the field.

7H.4.1.3 The water source shall be in compliance with prevailing regulations. Agricultural water shall be sourced from a location and in a manner that is compliant with prevailing regulations.

7H.4.1.4 Agricultural water systems shall not be cross-connected with human or animal waste systems.

7H.4.1.5 Water systems intended to convey untreated human or animal waste shall be separated from conveyances utilized to deliver agricultural water.

#### 7H.4.2 Water System Risk Assessment

7H.4.2.1 An initial risk assessment shall be performed and documented that takes into consideration:

- i. The historical testing results of the water source,
- ii. The characteristics of the crop,
- iii. The stage of the crop, and
- iv. The method of application.

7H.4.2.2 A review or new assessment shall be conducted seasonally and any time there is a change made to the system or a saturation occurs that could introduce an opportunity to contaminate the system. The risk assessment shall address potential physical, chemical, and biological hazards and hazard control procedures for the water distribution system.

#### **7H.4.3 Water Management Plan**

7H.4.3.1 There shall be a water management plan to mitigate risks associated with the water system on an ongoing basis. The water management plan shall include the following:

- i. Preventive controls,
- ii. Monitoring and verification procedures,
- iii. Corrective actions, and
- iv. Documentation.

The plan shall be reviewed following any changes made to the water system risk assessment and adjusted accordingly to incorporate such changes.

7H.4.3.2 Training and/or retraining of personnel having oversight or performance duties shall be documented.

7H.4.3.3 Water testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or prevailing regulations for the commodities being grown.

7H.4.3.4 As required, there shall be a written procedure for water testing during the production and harvest season, which includes frequency of sampling, who is taking the samples, where samples is taken, how the sample is collected, type of test and acceptance criteria.

7H.4.3.5 If all agricultural water is sourced from a municipal source, the municipal testing shall suffice. The frequency of testing and point of water sampling shall be determined based on the risk assessment and current industry standards for commodities being produced.

7H.4.3.6 The testing program shall be implemented consistent with the water management plan. Testing shall be performed and documented according to procedures described in the water management plan.

### **7H.5 Harvesting**

#### **7H.5.1 Preharvest Assessment**

7H.5.1.1 A preharvest risk assessment shall be performed. The Operation shall have a preharvest assessment procedure, which describes when the assessment is performed and that it includes an evaluation of conditions that may be reasonably likely to result in physical, chemical, or biological contamination of the produce, and demonstrates that the operation is in compliance with the food safety plan.

7H.5.1.2 Results of the evaluation shall be documented.

#### **7H.5.2 Water/Ice**

7H.5.2.1 Operation has procedures for water used in contact with product of food contact surfaces. Standard Operating Procedures (SOPs), including water-change schedules, shall be developed for all uses of water.

7H.5.2.2 Microbial and/or physical/chemical (e.g., test strips) testing shall be performed, as appropriate to the specific operation, to demonstrate that acceptance criteria have been met.

7H.5.2.3 Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food-contact surfaces. If water or ice directly contacts the harvested crop or is used on food-contact surfaces, such as in the field, as the final wash step prior to consumer packaging, or as a cooling aid in a consumer package, operation's water use SOP requires that water or ice when applied meets the microbial standards meets the microbial standards for drinking water, as defined by prevailing regulation.

7H.5.2.4 Water may be treated (e.g., with chlorine) to achieve the microbial standards or to prevent cross-contamination. Ice and water shall be sourced/manufactured, transported, and stored under sanitary conditions.

7H.5.2.5 Special considerations or variances may be appropriate for some crops, e.g. cranberries and watercress, where deliberate flooding of the field is part of production and harvest practices.

7H.5.2.6 Water use SOPs shall:

- i. Address treatment of re-circulated water, if used.
- ii. Require re-circulated water to be treated using an approved antimicrobial to prevent it from becoming a source of contamination, according to prevailing regulation or industry specific standards for the commodity.
- iii. Address condition and maintenance of water-delivery system, which shall be maintained so as not to serve as a source of contamination of produce, water suppliers or equipment with pathogens, or to create an unsanitary condition.
- iv. Control of wash water temperature, if applicable.

7H.5.2.7 For produce demonstrated as being susceptible to microbial infiltration from wash water, wash water temperature differentials during immersion shall be considered.

#### **7H.5.3 Container, Bins and Packaging Materials**

7H.5.3.1 Operation has written policy regarding:

- i. Storage of harvesting containers
- ii. Inspection of food contact containers prior to use
- iii. Acceptable harvesting containers

- iv. Prohibiting use of harvest containers for non-harvest purpose

7H.5.3.2 Harvesting containers shall be stored in a manner so as not to serve as a source of contamination to the extent feasible and appropriate.

7H.5.3.3 Food-contact totes, bins, packing materials, other harvest containers, and pallets shall be visually inspected, clean, intact and free of any foreign materials prior to use. Containers shall be sufficiently maintained so as not to become a source of contamination.

7H.5.3.4 Food-contact totes, bins and other harvest containers designated for harvesting shall not be used for other purposes unless clearly marked or labeled for that purpose.

7H.5.3.5 The types and construction of harvest containers and packing materials shall be appropriate to the commodity being harvested and suited for their intended purpose.

#### **7H.5.4 Field Packaging and Handling**

7H.5.4.1 Operation shall have a written policy that damaged or decayed produce is not harvested, or is culled.

7H.5.4.2 Employees are trained that only sound produce appropriate for the intended use is harvested, and that produce that has been damaged to an extent that it poses a microbial food safety hazard is not harvested or is culled.

7H.5.4.3 Product that contacts the ground shall not be harvested unless the product normally grows in contact with the ground. Operation has considered and developed written policies regarding produce that comes in contact with the soil (e.g., drops). Policy shall be consistent with industry standards or prevailing regulations.

7H.5.4.4 Harvest procedures shall include measures to inspect for and remove physical hazards. Operation shall have procedure to detect glass/plastic breakage and remove possible physical contamination such as glass, metal, rocks, or other hazardous items, during harvesting operations.

7H.5.4.5 Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe product. Operation shall not use cloths or other cleaning materials to clean produce, unless there is a procedure to prevent cross-contamination.

7H.5.4.6 Packaging materials shall be appropriate for their intended use. The product contact packaging shall be:

- i. Appropriate to the commodity being harvested and suited for its intended purpose,
- ii. Stored in a manner that prevents contamination.

Packaging storage shall be designed to maintain packaging dry, clean and free from dirt or residues so it remains fit for the purpose.

7H.5.4.7 Particular care shall be taken to prevent packaging from becoming a harborage for rodents and other vermin. Packaging shall be stored separately from hazardous chemicals, toxic substances and other sources of contamination.

7H.5.4.8 Operation has written policy regarding whether packing materials are permitted in direct contact with the soil. If produce is packed in field, operation has considered and developed written policies regarding placement of packing materials directly on the soil, or whether a physical buffer (e.g., buffer bin or slip sheet) is required. Policy shall be consistent with industry standards.

#### **7H.5.6 Postharvest Handling and Storage**

7H.5.6.1 Harvested produce is handled in a manner such that it is not likely to become contaminated. Operation has a policy, in compliance with current industry practices or regulatory requirements for that commodity, regarding handling, walking, stepping, or lying on harvested produce, food contact surfaces or packaging materials, that may result in contamination.

7H.5.6.2 Materials that come in contact with the produce shall be clean and in good repair. Operation has a policy that pallets, produce bins, totes and materials that come in contact with the produce or the containers during handling or storage shall be cleaned, if practicable, sanitized sufficient so as not to be a source of contamination.

7H.5.6.3 Harvested produce shall be stored separately from chemicals which may pose a food safety hazard. Chemicals, including cleaning and maintenance compounds shall be stored in an area separate from harvested produce.

### **7H.6 Transportation (Field to Storage or Packinghouse)**

#### **7H.6.1 Equipment Sanitation and Maintenance**

7H.6.1.1 The operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).

7H.6.1.2 Shipping units shall be clean, functional and free of objectionable odors before loading, in compliance with current industry practices or regulatory requirements for that commodity.

7H.6.1.3 Refrigeration units, if used, must be in working order.

#### **7H.6.2 Loading/Unloading**

7H.6.2.1 Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce. Personnel responsible for the loading and unloading of produce shall take steps to minimize the potential of physical damage to produce, which can introduce and/or promote the growth of pathogens.

7H.6.2.2 Loading/unloading equipment shall be clean and well maintained and of suitable type to avoid contamination of produce.

7H.6.2.3 Trash shall not come in contact with produce. The operation shall have a procedure describing how trash shall be handled and transported out of the field in a manner that does not pose a food safety risk.

## Module 8: Food Safety Fundamentals – Good Agricultural Practices for Farming of Grains and Pulses (GFSI BII)

This module covers the Good Agricultural Practices requirements for the growing and harvesting of grains and pulses for food.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

FSC 5: Extensive broad acre agriculture operations

### 8.1 Site Requirements

#### 8.1.1 Property Location

8.1.1.1 The farm and facilities shall be such that adjacent and adjoining buildings, operations and land use do not interfere with the safe and hygienic operations on the property.

8.1.1.2 A soil map shall be prepared and risk assessment conducted to evaluate and document the risk to crops due to prior land use, adjacent land use, and other environmental factors including structures and equipment. Consideration shall be given to the following:

- i. History of land use.
- ii. Topography.
- iii. Adjacent land use.
- iv. Other factors that may impact on the ability to supply safe product.

8.1.1.3 The analysis shall be re-evaluated in the event of any circumstance or change that may impact on the production of safe product.

8.1.1.4 Where risks are identified, control measures shall be implemented to reduce the identified hazards to an acceptable level.

### 8.2 Product Handling and Storage Areas and Equipment

#### 8.2.1 Field and Storage Buildings

8.2.1.1 All buildings used to store equipment, field chemicals, field packing materials, or field product shall be designed and constructed so as to permit compliance to good hygiene practices and avoid product contamination.

8.2.1.2 Buildings designated to store field product or field product packing materials shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish and shall be kept clean.

8.2.1.3 Field product contact surfaces shall be constructed of materials that do not constitute a food safety risk.

#### 8.2.2 Storage of dry ingredient, packaging and utensils

8.2.2.1 Silos used to store seed or food crops shall be constructed of approved materials and designed to remain dry, clean and free from any dirt residues, so they remain fit for the purpose, in an acceptable condition, enable safe fumigation practices and prevent the invasion of pests.

8.2.2.2 Storage rooms shall be designed and constructed to allow for the separate, hygienic storage of harvesting and packing utensils away from farm machinery and hazardous chemicals and toxic substances.

#### 8.2.3 Farm Machinery, Conveyors, Harvesting and Processing Rigs Construction and Storage

8.2.3.1 Product contact surfaces on conveyors, harvesting and processing rigs shall be designed and constructed to allow for the efficient handling of product and those surfaces in direct contact with product shall be constructed of materials that will not contribute a food or feed safety risk.

8.2.3.2 Processing equipment including knives, totes, trays, conveyors, containers and other equipment shall be constructed of materials that are non-toxic, smooth, impervious and easily cleaned.

8.2.3.3 Provision shall be made for the washing and storage of processing rigs, equipment, conveyors, totes, trays containers and utensils.

8.2.3.4 Provision shall be made to store farm machinery separate from food conveyors, harvesting and processing rigs.

#### 8.2.4 Vehicles, Equipment and Utensils

8.2.4.1 Equipment, vehicles, tools, utensils and other items or materials used in farming operations that may contact produce are identified and are in good repair, kept clean and sanitized, and stored in such a way as to avoid contamination.

8.2.4.2 Water tanks shall be cleaned at a sufficient frequency so as not be a source of contamination.

8.2.4.3 A documented procedure regarding the inspection of food contact harvest containers and pallets shall be implemented. The procedure shall include the type and construction of harvest containers and packing materials.

8.2.4.4 The use of harvest containers for non-harvest purposes will be clearly identified and not returned to use for harvest.

8.2.4.5 Vehicles used for the transport of seed or foodstuffs shall be fit for purpose and shall not be used to carry waste materials, manure, chemicals or other hazardous substances that could cause feed or food contamination without thorough cleaning and inspection.

8.2.4.6 Tractors, harvesters, field packing equipment and machinery driven over ground crops shall be fitted with drip trays to prevent contamination of the crop by lubricants and oils.

### **8.2.5 Maintenance Protocol**

8.2.5.1 The methods and responsibility for maintenance of equipment and buildings shall be planned, scheduled and carried out in a manner that prevents any risk of contamination of product or equipment.

### **8.2.6 Calibration of Equipment**

8.2.6.1 The methods and responsibility for the calibration and re-calibration of chemical application, measuring, test and inspection equipment used for monitoring pre-requisite program and other process controls shall be documented and implemented.

8.2.6.2 Equipment shall be calibrated against national or international reference standards and methods. In cases where such standards are not available the producer shall indicate and provide evidence to support the calibration reference method applied.

8.2.6.3 Calibration shall be undertaken to an established schedule, to recognized standards or to accuracy appropriate to use.

8.2.6.4 Calibration records shall be maintained.

### **8.2.7 Pest and Vermin Management**

8.2.7.1 The methods for controlling pest and vermin infestation on the site or facilities shall be documented and implemented. The property, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

8.2.7.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the methods used to eliminate pests when found;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
- viii. Outline the methods used to make employees aware of the bait control program and the measures to take when they come in contact with a bait station; and
- ix. Outline the requirements for employees' awareness and training in the use of pest and vermin control chemicals and baits.

8.2.7.3 Records of pest inspections and pest applications shall be maintained.

### **8.2.8 Animal Control**

8.2.8.1 The operation shall have a written risk assessment on animal activity in and around the production of food or feed crops that has been implemented and monitored.

8.2.8.2 Measures shall be in place that excludes domestic and wild animals from crop fields, and all storage areas.

### **8.2.9 Cleaning and Sanitation**

8.2.9.1 The methods and responsibility for the cleaning of product contact surfaces, field processing equipment and sanitary facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;
- ii. How it is to be cleaned;
- iii. When it is to be cleaned; and
- iv. Who is responsible for the cleaning; and
- v. Who is responsible for the evaluation of the cleaning.

8.2.9.2 A schedule shall be prepared indicating the frequency of verifying the effectiveness the cleaning of product contact surfaces, field processing equipment and sanitary facilities and indicating who is responsible for completing verification activities.

8.2.9.3 A record of cleaning and sanitation activities shall be maintained.

## **8.3 Personal Hygiene and Welfare**

### **8.3.1 Personnel Practices**

8.3.1.1 Personnel engaged in the handling of product shall observe appropriate personal practices. Corrective actions shall be implemented for personnel who violate food safety practices.

8.3.1.2 Personnel suffering from, or are carriers of, an infectious disease which can be transmitted by food shall not engage in growing or product handling or field processing operation.

8.3.1.3 A medical screening procedure shall be in place for all employees, and will also be applicable to all visitors and contractors.

8.3.1.4 Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing product. Minor cuts or abrasions on exposed parts of the body shall be covered with a suitable waterproof dressing.

8.3.1.5 A written policy shall be in place that specifies the procedures for handling product or product contact surfaces that have been in contact with blood or other bodily fluids.

8.3.1.6 Smoking, chewing, eating, drinking (except for water), spitting is not permitted in any growing areas including on field processing rigs and during harvesting and packing operations.

### **8.3.2 Sanitary Facilities and Hand Washing**

8.3.2.1 Toilet facilities shall be provided and designed, constructed and located in a manner that minimizes the potential risk for product contamination.

- i. Toilets shall cater for the maximum number of employees and be constructed so that they can be easily cleaned and maintained;
- ii. Hand wash basins with clean water, hand soap, disposable towels or effective hand drying device, waste bins and a tank that captures used hand wash water for disposal shall be provided inside or adjacent to toilet facilities;
- iii. Signage in appropriate languages shall be provided adjacent to hand wash basins instructing people to wash their hands after each toilet visit;
- iv. Racks for protective clothing used by field packing employees shall be provided;
- v. Toilets shall be located so as to provide easy access on farms for field workers;
- vi. Toilet and wash stations shall be maintained in a clean and sanitary condition.

8.3.2.2 Personnel shall have clean hands and hands shall be washed by all personnel:

- i. Before handling product;
- ii. After each visit to a toilet;
- iii. After using a handkerchief;
- iv. After handling dirty or contaminated material; and
- v. After smoking, eating or drinking.

### **8.3.3 Protective Clothing**

8.3.3.1 Protective clothing shall be effectively, maintained, stored, laundered and worn so as to protect product from risk of contamination.

8.3.3.2 Where applicable, clothing, including footwear, shall be effectively maintained, cleaned and sanitized, and worn so as to protect product from risk of contamination.

8.3.3.3 If rubber or disposable gloves are used, the operation shall have a glove use policy and personnel shall adhere to the hand washing practices outlined above.

### **8.3.4 Jewelry and Personal Effects**

8.3.4.1 Jewelry and other loose objects that pose a threat to the safety of the product shall not be worn or taken onto any growing, product handling or storage operations.

### **8.3.5 Visitors**

8.3.5.1 All visitors (including management and maintenance employees) shall be required to remove jewelry and other loose objects and wear suitable protective clothing around product growing, harvesting, or storage areas.

8.3.5.2 Visitors exhibiting visible signs of illness shall be prevented from entering any growing or product handling or field processing operation.

8.3.5.3 Visitors must follow all personnel practices as designated by company for employees within various areas of fields, sheds, packing facilities or storage locations.

8.3.5.4 Unsupervised children shall not be permitted to enter any harvesting, packing, or food storage areas.

### **8.3.6 Amenities**

8.3.6.1 Provision shall be made to store employee personal belongings away from crops, harvesting and field processing and packing operations, and processing equipment.

8.3.6.2 Areas for meal breaks shall be designated and located away from a food contact/handling zones and processing equipment

8.3.6.3 Drinking water shall be available to all field employees

### **8.3.7 First Aid**

8.3.7.1 First aid facilities shall be available and maintained to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

8.3.7.2 First aid kits shall be kept in a sanitary and usable condition.

## 8.4 Field Packaging and Handling Practices

8.4.1.1 Appropriate personnel practices shall be employed by field packing employees which include:

- i. Aprons and gloves shall be kept clean;
- ii. Aprons and gloves shall not be left on product, work surfaces, equipment or packaging material but hung on apron and glove racks provided;
- iii. All product and packaging material shall be kept off the ground and the floor of the transport vehicle;
- iv. Waste shall be contained in the bins identified for this purpose. Waste shall not come in contact with produce and be removed on a regular basis and not left to accumulate.

8.4.1.2 A written policy regarding the handling and field packaging of produce, specific to the commodity, shall be implemented and maintained. The policy shall assure that:

- i. Damaged or decayed produce is not harvested or culled;
- ii. Measures to inspect for physical hazards and procedures to remove physical hazards are in place;
- iii. Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce.

8.4.1.3 Packaging materials shall be appropriate for their intended use and stored in a manner that prevents contamination. A written policy shall be in place that identifies how packing materials are permitted in direct contact with soil.

8.4.1.4 Materials that come in contact with the produce shall be clean and in good repair.

## 8.5 Water Management

### 8.5.1 Water System Description

8.5.1.1 A water description plan shall be prepared that describes the water sources and the production blocks they serve, and shall include one or more of the following: maps, photographs, drawings, or other means to communicate the location of the water sources, permanent fixtures and the flow of the water system.

8.5.1.2 Agricultural water shall be sourced from a location and in a manner that is compliant with prevailing regulations.

8.5.1.3 Waste System intended to convey untreated human or animal waste shall be separated from conveyances utilized to deliver agricultural water.

### 8.5.2 Irrigation Water

8.5.2.1 Agricultural water shall be drawn from a known clean source or treated to make it suitable for use. The producer shall conduct an analysis of the hazards to the irrigation water supply from source through to application, establish acceptance criteria for the monitoring of water and validate and verify the integrity of the water used to ensure it is fit for the purpose.

### 8.5.3 Treatment of Irrigation Water

8.5.3.1 In circumstances where irrigation water is treated to render it acceptable, the water, after treatment shall conform to the microbiological standards as outlined in element 8.5.5.

### 8.5.4 Water System Risk Assessment

8.5.4.1 An initial risk assessment shall be performed and documented that takes into consideration the historical testing results of the water source, the characteristics of the crop, the stage of the crop, and the method of application.

### 8.5.5 Water Management Plan

8.5.5.1 Water used for washing and treating product, cleaning food contact surfaces and mixing sanitizer solutions shall comply with potable water microbiological and chemical standards in the country of production. Separate criteria will be established for irrigation water, frost control, humidifying, pesticide application, etc. as applicable, based on the hazard analysis, best practices within country of production and any applicable legislation.

The water management plan shall include the following:

- i. Preventive controls;
- ii. Monitoring and verification procedures;
- iii. Corrective actions;
- iv. Documentation.

Water testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or regulations for the commodity being grown.

8.5.5.2 Water quality shall be monitored to verify it complies with the established water microbiological and chemical standard or criteria established. A verification schedule shall be prepared indicating the location and frequency of monitoring, which shall be decided by the hazard analysis, best practices within country of production, or applicable legislation. Water analysis shall be undertaken by an approved laboratory accredited to ISO 17025 or equivalent.

### 8.5.6 Corrective Actions

8.5.6.1 When monitoring shows that water does not meet established criteria or standard, the producer will have a corrective action plan developed which could include additional treatment for water, additional sources for water, product identification and disposition or other alternative actions to adequately control the identified hazards.

## 8.6 Storage and Transport

### 8.6.1 Storage of Hazardous Chemicals, Toxic Substances, and Petroleum Products

8.6.1.1 Hazardous chemicals, toxic substances, and petroleum products shall be stored so as not to present a hazard to employees, product, product handling equipment or areas in which product is handled, stored or transported.

8.6.1.2 Product contact chemicals such as pesticides and herbicides; rodenticides, fumigants and insecticides; sanitizers and detergents shall be stored separately and in their original containers.

8.6.1.3 Chemical storage sheds shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be ventilated to the exterior;
- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of chemicals;
- v. Have instructions on the safe handling of hazardous chemicals readily accessible to employees;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in the storage area;
- viii. Have emergency shower and/or wash facilities available in the event of an accidental spill; and
- ix. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- x. Be equipped with spillage kits and cleaning equipment.

8.6.1.4 Petroleum fuels, oils, grease and other lubricants shall be stored separate from other storage areas.

8.6.1.5 The storage of hazardous chemicals, toxic substances and petroleum products in areas (separate lockable or otherwise contained) inside food handling areas, product and ingredient and packaging storage rooms is not acceptable.

### 8.6.2 Transport

8.6.2.1 The practices applied during loading, transport and unloading of crops shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity.

8.6.2.2 Crop shall be transported under conditions suitable to maintain integrity and to prevent cross contamination and spoilage.

8.6.2.3 Employees involved in loading, transport and unloading events shall be appropriately trained.

### 8.6.3 Transport from Field

8.6.3.1 A written procedure and checklist to verify cleanliness and functionality of transport units shall be implemented.

8.6.3.2 Loading and unloading procedures shall include provisions to minimize damage and prevent contamination to produce.

## 8.7 Soil Management

### 8.7.1 Use of Fertilizers (Soil Amendments)

8.7.1.1 Inorganic (chemical) and organic (manure) soil amendments shall be isolated and stored separately so as not to pose a food safety risk.

8.7.1.2 Provision shall be made for the storage of concentrated and diluted liquid soil amendments in banded tanks designed to retain at least 110% of total volume.

8.7.1.3 Soil amendments shall be stored separate from crop, field or irrigation water sources such that contamination from run off is avoided either by locating of the soil amendment a suitable distance from the crop or by the utilization of other physical barriers.

8.7.1.4 An inventory of all organic and inorganic soil amendment storage and use shall be maintained.

### 8.7.2 Soil Amendment

8.7.2.1 No raw untreated manure shall be used. Soil amendment treatment and application methods shall be documented and implemented and designed to prevent contamination of product.

8.7.2.2 Soil amendment protocol shall outline the methods used to treat manure and other untreated organic fertilizers ensuring:

- i. The treatment methods applied inactivate pathogens in organic soil amendments;
  - ii. A hazard analysis of organic soil amendments treatment methods is conducted before use;
  - iii. Treatment methods are validated and treatments of organic soil amendments are verified as being in compliance with the method applied;
  - iv. Records of the validation and verification of organic soil amendment treatments are maintained.
- 8.7.2.3 Soil amendment protocol shall outline the methods to ensure organic soil amendment applications are timed to pose minimum risk to product safety and human health including:
- i. All applications of soil amendments are in accordance with national or local guidelines, best practices and codes of Good Agricultural Practice;
  - ii. Equipment used for soil amendment application is maintained in good condition and calibrated to ensure accurate application;
  - iii. Records of all equipment maintenance and calibration are maintained;
  - iv. Signage complies with national and local codes of practice; and
  - v. Sufficient data is recorded to provide a detailed record of soil amendment applications.

### **8.7.3 Purchasing Chemicals**

8.7.3.1 Chemicals shall be purchased from an approved supplier in accordance with applicable legislation. An inventory of all chemicals purchased and used shall be maintained.

### **8.7.4 Agricultural Chemicals**

8.7.4.1 A crop protection action plan indicating the applications used for a target pest or disease and the threshold levels that initiate application shall be prepared and implemented.

8.7.4.2 If product is intended for export, agricultural chemical use shall consider requirements in the intended country of destination.

8.7.4.3 The person making decisions on chemical application shall:

- i. Demonstrate knowledge of, and access to, information regarding chemical applications and the maximum residue limits allowable in destination markets;
- ii. Use only chemicals approved for cultivation of specific grains or pulses, and approved for use in the intended market;
- iii. Demonstrate competence and knowledge of chemical application and crop withholding periods;
- iv. Ensure crop applications and application rates for target pests and diseases comply with label recommendations;
- v. Demonstrate the timing between chemical application and harvest complies with the approved harvest interval for the chemical applied.
- vi. Maintain a current chemical register and keep records of all chemicals use. Maintain a current chemical register and keep records of all chemicals use. Records of chemical use shall include the date of application, the chemical used, the crop sprayed, the concentration, method and frequency of application.

8.7.4.4 Only biological controls that are authorized for the cultivation of the specific grains or pulses shall be used, and in accordance with label instructions.

8.7.4.5 The producer shall dispose of chemical waste and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not re-used;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection;
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

## **8.8 Harvesting**

### **8.8.1 Pre-harvest Assessment**

8.8.1.1 A pre-harvest risk assessment procedure shall be in place that describes when the assessments performed and identifies those conditions that may be reasonably likely to result in physical, chemical, or biological contamination.

8.8.1.2 Knives and cutting instruments used in harvesting operations shall be controlled, and kept clean and well maintained.

8.8.1.3 A written policy regarding the storage of harvesting containers shall be implemented and maintained.

### **8.8.2 Foreign Matter and Glass Procedures**

8.8.2.1 The methods used to prevent foreign matter and glass contamination of product shall be documented and implemented.

8.8.2.2 Containers, equipment and other utensils made of glass, porcelain, ceramics, brittle plastic or other like material shall not be permitted where exposed product is handled unless an effective foreign material and glass protocol is documented and implemented.

8.8.2.3 Regular inspections shall be conducted to ensure food handling/contact zones areas are free of glass and brittle plastic and employees are to be made aware of their responsibility to adhere to the organization's Foreign Matter and Glass Protocol.

8.8.2.4 Glass covered instrument dial covers shall be checked at the start and finish of each shift to ensure their covers have not been damaged.

## **8.9 Waste Disposal**

### **8.9.1 Dry, Liquid and Unsanitary Waste Disposal**

8.9.1.1 Waste shall be regularly removed from the farm, field, packing facility and the surrounds so as not to pose a food safety risk to finished product or growing, harvesting and packing operations.

8.9.1.2 The responsibility and methods for the effective and efficient disposal of all solid waste including inedible material and disused packaging, and liquid and unsanitary waste shall be documented and implemented.

## Module 9: Food Safety Fundamentals – Good Manufacturing Practices for Pre-processing of Animal Products (GFSI C)

This module covers the Good Manufacturing Practices requirements for the pre-process handling of animal products.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

FSC 7: Slaughterhouse, boning, and butchery operations

7A: Red meat

7B: Poultry meat

### 9.1 Site Requirements and Approval

#### 9.1.1 Premises Location

9.1.1.1 The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

9.1.1.2 Measures shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.

#### 9.1.2 Construction and Operational Approval

9.1.2.1 The construction and on-going operation of the premises on the site shall be approved by the relevant authority.

### 9.2 Construction and Control of Product Handling and Storage Areas

#### 9.2.1 Housing of Livestock

9.2.1.1 Pens, yards and lairage shall be designed, located, constructed and maintained so as to minimize stress, injury or disease and have minimal impact on the surrounding area and natural resources.

9.2.1.2 Fences, gates, and other surfaces in pens and yards shall be free from paints, dips, sanitizers and other materials that are likely to cause contamination through ingestion, inhalation, or contact.

9.2.1.3 Animal housing shall be maintained in a clean and sanitary condition.

9.2.1.4 Laneways, races, entrances, exits and loading/unloading ramps shall be designed to take advantage of the social behavior and movement of the species and be designed and maintained to prevent any potential injury points to animals.

9.2.1.5 Laneways, races, entrances, exits, and loading/unloading ramps shall be free from sharp objects that may damage animals, and shall be free from chemicals other than those approved by the relevant authority for use on livestock.

#### 9.2.2 Facility Materials and Surfaces

9.2.2.1 Product contact surfaces and those surfaces not in direct contact with product in product handling areas, raw material storage, packaging material storage, and cold storage areas shall be constructed of materials that will not contribute a food safety risk.

#### 9.2.3 Floors, Drains and Waste Traps

9.2.3.1 Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

9.2.3.2 Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or waste water under normal working conditions.

9.2.3.3 Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

9.2.3.4 Waste trap system shall be located away from any food handling area or entrance to the premises.

#### 9.2.4 Walls, Partitions, Doors and Ceilings

9.2.4.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish, and shall be kept clean (refer to element 9.2.14.1).

9.2.4.2 Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.

9.2.4.3 Ducting, conduit and pipes that convey services such as steam or water shall be designed and constructed so as to allow ease of cleaning.

9.2.4.4 Doors, hatches and windows and their frames shall be of a material and construction which meets the same functional requirements for internal walls and partitions.

- i. Doors and hatches shall be of solid construction; and
- ii. Windows shall be made of shatterproof glass or similar material.

9.2.4.5 Products shall be handled and stored in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of products.

9.2.4.6 Drop ceilings shall be additionally constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.

### **9.2.5 Stairs, Catwalks and Platforms**

9.2.5.1 Stairs, catwalks and platforms in produce storage and handling areas shall be designed and constructed so as not to present a product contamination risk, and shall be kept clean (refer to element 9.2.14.1)

### **9.2.6 Lighting and Light Fittings**

9.2.6.1 Lighting in product processing and packing, storage and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

9.2.6.2 Light fittings in processing areas, inspection stations, and all areas where product is exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling. Where fittings cannot be recessed, structures must be protected from accidental breakage, manufactured from cleanable materials and addressed in the cleaning and sanitation program.

9.2.6.3 Light fittings in warehouses and other areas where product is protected shall be designed such as to prevent breakage and product contamination.

### **9.2.7 Inspection Area**

9.2.7.1 A suitable area within the processing and packing area shall be provided for the inspection of products if required.

9.2.7.2 The inspection area shall be provided with facilities that are suitable for examination of the style of product being processed. The inspection area shall have:

- i. Easy access to hand washing facilities; and
- ii. Sufficient lighting intensity to enable as thorough inspection of the product as required.

### **9.2.8 Dust, Fly and Vermin Proofing**

9.2.8.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.

9.2.8.2 Personnel access doors shall be provided. They shall be effectively fly proofed and fitted with a self-closing device.

9.2.8.3 External doors, including overhead dock doors in food handling areas, used for product, pedestrian or truck access shall be fly-proofed by at least one or a combination of the following methods:

- i. A self-closing device;
- ii. An effective air curtain;
- iii. A fly-proof screen; and
- iv. A fly-proof annex;
- v. Adequate sealing around trucks in docking areas.

9.2.8.4 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to product, packaging, containers or processing equipment. Poison bait shall not be used inside ingredient or food storage areas or processing areas.

### **9.2.9 Ventilation**

9.2.9.1 Adequate ventilation shall be provided in enclosed processing and product storage and handling areas.

9.2.9.2 Product and product contact equipment shall be protected to avoid contamination from condensation.

### **9.2.10 Premises and Equipment Maintenance**

9.2.10.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

9.2.10.2 Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any product processing, packaging, handling or storage area:

- i. Routine maintenance of plant and equipment shall be performed according to a maintenance-control schedule and recorded;
- ii. Failures of plant and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule;
- iii. Compliance with the personnel and process hygiene requirements (refer to elements 9.3.1, 9.3.2, 9.3.3, 9.3.4) by maintenance staff and contractors;
- iv. Ensure facility supervisors are notified when maintenance or repairs are to be undertaken in any product handling area;
- v. Inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times;
- vi. Remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.

9.2.10.3 The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality.

9.2.10.4 Equipment located over product or product conveyors shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of product.

9.2.10.5 Paint used in a product handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface.

#### **9.2.11 Calibration**

9.2.11.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in the pre-requisite program, food safety plans and food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

9.2.11.2 Procedures shall be documented and implemented to address the disposition of potentially affected Product should measuring, test and inspection equipment be found to be out of calibration state.

9.2.11.3 Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.

9.2.11.4 Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.

9.2.11.5 Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

9.2.11.6 Calibration records shall be maintained.

#### **9.2.12 Management of Pests and Vermin**

9.2.12.1 The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounds, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

9.2.12.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the pest elimination methods;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
- viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station;
- ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and
- x. Measure the effectiveness of the program to verify the elimination of applicable pests.

9.2.12.3 Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.

9.2.12.4 Records of all pest control applications shall be maintained.

9.2.12.5 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 9.6.6 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.

9.2.12.6 Pest control contractors shall be:

- i. Licensed and approved by the local relevant authority;
- ii. Use only trained and qualified operators who comply with regulatory requirements;
- iii. Use only approved chemicals;
- iv. Provide a pest control management plan (see Contract Services 2.3.3) which will include a site map indicating the location of bait stations and traps;
- v. Report to a responsible senior management person on entering the premises and after the completion of inspections or treatments; and
- vi. Provide a written report of their findings and the inspections and treatments applied.

9.2.12.7 The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not reused;

- ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

#### **9.2.13 Equipment, Utensils and Protective Clothing**

9.2.13.1 Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to product.

9.2.13.2 Stunning, killing equipment, benches, tables, conveyors, and other mechanical equipment shall be easily dismantled for cleaning where appropriate or per manufacturer's recommendations, and located so as not pose a hindrance to the cleaning of the premises. Equipment surfaces shall be smooth, impervious and free from cracks or crevices.

9.2.13.3 Product containers, knives, tubs, bins for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious and readily cleaned. Bins used for inedible material shall be clearly identified.

9.2.13.4 Waste and overflow water from tubs, tanks and other equipment shall be discharged direct to the floor drainage system.

9.2.13.5 Protective clothing shall be manufactured from material that is not liable to contaminate food and easily cleaned.

9.2.13.6 Racks shall be provided for the temporary storage of protective clothing when staff leaves the processing or packing areas and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

#### **9.2.14 Cleaning and Sanitation**

9.2.14.1 The methods and responsibility for the cleaning of the product handling equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;
- ii. How it is to be cleaned;
- iii. When it is to be cleaned;
- iv. Who is responsible for the cleaning;
- v. Methods used to confirm the correct concentrations of detergents and sanitizers; and
- vi. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

9.2.14.2 Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing.

9.2.14.3 Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils and for protective clothing used by cleaning staff. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or product. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.

9.2.14.4 Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure food processing areas, product contact surfaces, equipment, staff amenities and sanitary facilities and other essential areas are clean before the commencement of production.

9.2.14.5 The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.

9.2.14.6 Detergents and sanitizers shall be suitable for use in a food manufacturing environment, and purchased in accordance with applicable legislation. The organization shall ensure:

- i. An inventory of all chemicals purchased and used shall be maintained;
- ii. Detergents and sanitizers are stored as outlined in element 9.6.6;
- iii. Material Safety Data Sheets (MSDS) are provided for all detergents and sanitizers purchased; and
- iv. Only trained staff handles sanitizers and detergents.

9.2.14.7 The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use;
- ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

9.2.14.8 Where automated equipment is used to sterilize knives and tools, the temperature must be documented.

9.2.14.9 A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.

## 9.3 Personnel Hygiene and Welfare

### 9.3.1 Personnel

9.3.1.1 Personnel suffering from infectious diseases or who are carriers of any infectious disease shall not engage in product handling or processing operation.

9.3.1.2 Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing products or handling primary packaging materials or food contact surfaces.

9.3.1.3 Minor cuts or abrasions on exposed parts of the body shall be covered with a colored bandage containing a metal strip or an alternative suitable waterproof and colored dressing.

9.3.1.4 Smoking, chewing, eating, drinking or spitting is not permitted in any food processing or food handling areas.

### 9.3.2 Hand Washing

9.3.2.1 Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout product handling, processing and packaging areas as required.

9.3.2.2 Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with:

- i. A potable water supply at an appropriate temperature;
- ii. Liquid soap contained within a fixed dispenser;
- iii. Paper towels in a hands free cleanable dispenser; and
- iv. A means of containing used paper towels.

9.3.2.2.3 The following additional facilities shall be provided in high risk areas:

- i. Hands free operated taps; and
- ii. Hand sanitizers.

9.3.2.4 A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position.

9.3.2.5 Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors:

- i. On entering food handling or processing areas;
- ii. After each visit to a toilet;
- iii. After using a handkerchief;
- iv. After smoking, eating or drinking; and
- v. After handling wash down hoses, dropped product or contaminated material.

9.3.2.6 When gloves are used, personnel shall maintain the hand washing practices outlined above.

### 9.3.3 Clothing

9.3.3.1 Clothing worn by staff engaged in handling products shall be maintained, stored, laundered and worn so as not to present a contamination risk to the products.

9.3.3.2 Staff engaged in high risk areas shall change into clean clothing when entering high risk areas.

9.3.3.3 Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition. Excessively soiled uniforms shall be changed where they present a product contamination risk.

9.3.3.4 Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area and when damaged.

9.3.3.5 Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area and not on packaging, ingredients, product or equipment.

### 9.3.4 Jewelry and Personal Effects

9.3.4.1 Jewelry and other loose objects shall not be worn or taken into a product handling or processing operation or any area where food is exposed. The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted, however the supplier will need to consider their customer requirements and the applicable food legislation.

### 9.3.5 Visitors

9.3.5.1 All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food processing or handling area.

9.3.5.2 All visitors shall be required to remove jewelry and other loose objects.

9.3.5.3 Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or processed.

9.3.5.4 Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personal practice requirements.

### **9.3.6 Staff Amenities**

9.3.6.1 Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of products.

### **9.3.7 Change Rooms**

9.3.7.1 Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.

9.3.7.2 Change rooms shall be provided for staff engaged in the processing or packaging operations.

9.3.7.3 Provision shall be made for staff to store their street clothing and personal items separate from product contact zones and product and packaging storage areas.

9.3.7.4 Where required a sufficient number of showers shall be provided for use by staff.

### **9.3.8 Laundry**

9.3.8.1 Provision shall be made for the laundering and storage of clothing worn by staff engaged in high risk processes and for staff engaged in processing operations in which clothing can be heavily soiled.

### **9.3.9 Sanitary Facilities**

9.3.9.1 Toilet rooms shall be:

- i. Designed and constructed so that they are accessible to staff and separate from any processing and food handling operations;
- ii. Accessed from the processing area via an airlock vented to the exterior or through an adjoining room;
- iii. Sufficient in number for the maximum number of staff;
- iv. Constructed so that they can be easily cleaned and maintained; and
- v. Kept clean and tidy.

9.3.9.2 Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewer system.

9.3.9.3 Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in element 9.3.2.2.

### **9.3.10 Lunch Rooms**

9.3.10.1 Separate lunch room facilities shall be provided away from a product contact/handling zone.

9.3.10.2 Lunch room facilities shall be:

- i. Ventilated and well lit;
- ii. Provided with adequate tables and seating to cater for the maximum number of staff at one sitting;
- iii. Equipped with a sink serviced with hot and cold potable water for washing utensils;
- iv. Equipped with refrigeration and heating facilities enabling them to store or heat food and to prepare non-alcoholic beverages if required, and
- v. Kept clean and free from waste materials and pests.

9.3.10.3 Signage in appropriate languages instructing people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

### **9.3.11 First Aid**

9.3.11.1 First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

## **9.4 Site Practices**

### **9.4.1 Animal Husbandry**

9.4.1.1 Ante mortem inspections by a qualified person shall be carried out to ensure animals are free from disease and fit for human consumption.

9.4.1.2 Animals that are subject to the control of prohibited substances such as veterinary medicine, heavy metals or pesticides shall be identified and procedures implemented for their segregation and processing.

9.4.1.3 Animals for slaughter shall have uncontaminated water at all times, and clean feed if held in lairage for extended periods.

9.4.1.4 Employees responsible for the care and management of animals ante mortem shall be trained and competent in animal handling and welfare. They shall be able to recognize the early signs of distress and disease and ensure pain and stress to animals is minimized.

9.4.1.5 Animals deemed to be diseased or otherwise unfit for human consumption must be segregated from healthy animals and condemned or otherwise excluded from processing.

9.4.1.6 The supplier shall implement measures to prevent cross contamination of animals for slaughter from agricultural or cleaning chemicals, waste materials, or other materials that could contaminate the animals.

### **9.4.2 Slaughtering and Butchering**

9.4.2.1 Only slaughtering methods that are humane and approved for use for a given species by national or international regulations shall be used.

9.4.2.2 Where a two stage process is used, the time interval between stunning and killing shall not exceed regulatory requirements. The use of direct air injection is not permitted.

9.4.2.3 The facility shall have a pathogen control program that addresses known biological hazards and demonstrates compliance to regulations or customer standards.

9.4.2.4 Knives and tools used for skinning shall be cleaned and sterilized between each carcass. Knives and tools that become contaminated shall be cleaned and sterilized prior to use on edible tissue.

9.4.2.5 Procedures shall be documented and implemented to maintain the hygienic condition of the carcass and avoid contamination. Fecal matter shall be removed at the slaughter floor and the carcass shall be inspected by an authorized person post mortem for signs of disease or contamination.

9.4.2.6 Where applicable, procedures shall be in place for the grading of carcasses.

9.4.2.7 Cooling processes shall have defined time and temperature requirements and be regularly monitored and recorded.

9.4.2.8 Procedures shall be in place for the safe and hygienic evisceration and primal cutting of the carcass and the identification of edible and non-edible parts.

9.4.2.9 Edible parts of the carcass shall be processed, and stored using clean, sanitized tools and containers and protected from contamination. They shall be covered when not in process.

9.4.2.10 All edible parts of the carcass shall be identified through the post mortem inspection process and traceable back to the animal and date and time of slaughter.

9.4.2.11 Slaughter and butchering hygiene shall be regularly monitored for, at minimum, fecal pathogens. Testing shall include swabbing of tables, benches, and tools, and product microbiological analysis. Risk-based species-specific microbiological analysis shall also be in place

9.4.2.12 All wash down hoses shall be stored on hose racks after use and not left on the floor.

#### **9.4.3 Staff Engaged in Product Handling, Processing and Packaging Operations**

9.4.3.1 All personnel engaged in any product handling, processing or packaging operations shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination.

9.4.3.2 All personnel engaged in any product handling, processing or packaging operations shall comply with the following processing practices:

- i. Personnel entry to processing areas shall be through the personnel access doors only;
- ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required;
- iii. Packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor;
- iv. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate;

## **9.5 Water Supply**

### **9.5.1 Water Supply**

9.5.1.1 Adequate supplies of potable water drawn from a known clean source shall be provided for use during processing operations, and for cleaning the premises and equipment.

9.5.1.2 Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

### **9.5.2 Monitoring Water Microbiology and Quality**

9.5.2.1 Water used for washing and treating product; and for cleaning product contact surfaces, shall comply with local, national or internationally recognized potable water microbiological and quality standards as required.

### **9.5.3 Water Delivery**

9.5.3.1 The delivery of water within the premises shall ensure potable water is not contaminated.

9.5.3.2 The use of non-potable water shall be controlled such that:

- i. There is no cross contamination between potable and non-potable water lines;
- ii. Non-potable water piping and outlets are clearly identified.

### **9.5.4 Water Treatment**

9.5.4.1 Water treatment methods, equipment and materials shall be designed, installed and operated to ensure water receives an effective treatment.

9.5.4.2 Water treatment equipment shall be monitored regularly to ensure it remains serviceable.

9.5.4.3 Treated water shall be regularly monitored to ensure it meets the indicators specified.

### **9.5.5 Ice Supply**

9.5.5.1 Where ice is required, adequate supplies of ice derived from water that complies with element 9.5.2.1 shall be provided for use during processing operations or as a processing aid or an ingredient.

9.5.5.2 Ice rooms and receptacles shall be constructed of materials as outlined in elements 9.2.2, 9.2.3, and 9.2.4 and designed to minimize contamination of the ice during storage and distribution.

### **9.5.6 Analysis**

9.5.6.1 Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.

9.5.6.2 Water and ice shall be analyzed using reference standards and methods.

### **9.5.7 Air Quality**

9.5.7.1 Compressed air used in the production process shall be clean and present no risk to food safety;

9.5.7.2 Compressed air used in the production process shall be regularly monitored for purity.

## **9.6 Storage and Transport**

### **9.6.1 Animal Transport**

9.6.1.1 Vehicles used for transport of animals for slaughter shall be fit for purpose and clean. Vehicles shall be inspected and a record kept of the inspection.

9.6.1.2 Transport times for animals for slaughter shall be kept to a minimum and times recorded.

### **9.6.2 Pens and Yards**

9.6.2.1 Where animals are held for extended periods in pens and yards, adequate supplies of water and fodder shall be provided.

### **9.6.3 Chilling of Product, Cool Storage, and Cold Storage**

9.6.3.1 The supplier shall provide confirmation of the effective operational performance of freezing, chilling, and cold storage facilities, and cool rooms. Chillers, blast freezers, and cold storage rooms shall be:

- i. Designed and constructed to allow for the hygienic and efficient refrigeration and storage of food; and
- ii. Easily accessible for inspection and cleaning.

9.6.3.2 Sufficient refrigeration capacity shall be available to chill, freeze, store chilled, or store frozen product at the maximum anticipated throughput with allowance for periodic cleaning of storage rooms.

9.6.3.3 Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.

9.6.3.4 Freezing, chilling, and cold storage rooms shall be fitted with temperature monitoring equipment and located so as to monitor the warmest part of the room and be fitted with measurement devices that are easily readable and accessible.

9.6.3.5 Loading and unloading docks shall be designed to protect product during loading and unloading.

### **9.6.4 Storage of Dry Ingredient, Packaging, and Shelf Stable Packaged Goods**

9.6.4.1 Rooms used for the storage of product ingredients, packaging, and other dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.

9.6.4.2 Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent packaging becoming a harborage for pests or vermin.

9.6.4.3 Vehicles used in food contact, handling or processing zones or in cool storage rooms shall be designed and operated so as not to present a food safety hazard.

### **9.6.5 Storage of Equipment and Containers**

9.6.5.1 Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

### **9.6.6 Storage of Hazardous Chemicals and Toxic Substances**

9.6.6.1 Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which product is handled, stored or transported.

9.6.6.2 Utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.

9.6.6.3 Daily supplies of chemical used for continuous sanitizing of water or as a processing aid, or for emergency cleaning of equipment or surfaces in product contact zones, may be stored within or in close proximity to a processing or packaging area provided access to the chemical storage facility is restricted to authorized personnel.

9.6.6.4 Pesticides, rodenticides, fumigants and insecticides shall be stored separate from sanitizers and detergents. All chemicals shall be stored in their original containers.

9.6.6.5 Hazardous chemical and toxic substance storage facilities shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be adequately ventilated;
- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of hazardous chemicals and toxic substances;

- v. Have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in close proximity to the storage area;
- viii. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- ix. Be equipped with spillage kits and cleaning equipment.

#### **9.6.7 Alternative Storage and Handling of Goods**

9.6.7.1 Where goods described in elements 9.6.1 to 9.6.6 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality.

#### **9.6.8 Loading, Transport and Unloading Practices**

9.6.8.1 The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Product shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

#### **9.6.9 Loading**

9.6.9.1 Vehicles (trucks/vans/containers) used for transporting products shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the products.

9.6.9.2 Loading practices shall be designed to minimize unnecessary exposure of product to conditions detrimental to maintaining product and package integrity.

#### **9.6.10 Transport**

9.6.10.1 Refrigerated units shall maintain the product at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate.

9.6.10.2 The refrigeration unit shall be operational at all times and checks completed of the units operation, the door seals and the storage temperature checked at regular intervals during transit.

#### **9.6.11 Unloading**

9.6.11.1 Prior to opening the doors the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

9.6.11.2 Unloading practices shall be designed to minimize unnecessary exposure of product to conditions detrimental to maintaining product and package integrity.

### **9.7 Separation of Functions**

#### **9.7.1 Process Flow**

9.7.1.1 The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the processing and packaging area. The flow of personnel shall be managed such that the potential for contamination is minimized

#### **9.7.2 Receipt of Raw and Packaging Materials and Ingredients**

9.7.2.1 Dry ingredients and packaging shall be received and stored separately from chilled raw materials to ensure there is no cross contamination. Product shall be received and stored separately to ensure there is no cross contamination.

#### **9.7.3 High Risk Areas**

The processing of high risk food shall be conducted under controlled conditions such that:

- i. High risk areas are protected/segregated from other processes, raw materials or staff who handle raw materials to ensure cross contamination is minimized;
- ii. High risk areas are only serviced by staff dedicated to that function;
- iii. Staff access points are located, designed and equipped to enable staff to don distinctive protective clothing and to practice a high standard of personal hygiene to prevent product contamination;
- iv. Product transfer points are located and designed so as not to compromise high risk segregation and to minimize the risk of cross contamination; and
- v. An environmental monitoring program shall be in place for high risk areas. As a minimum, a written procedure detailing the applicable pathogens or indicator organisms to test for (for that industry), the number of samples to be taken, and the frequency of sampling and corrective actions shall be documented. The responsibility and methods shall be documented and implemented. A sampling schedule shall be prepared.

#### **9.7.4 Control of Foreign Matter Contamination**

9.7.4.1 The responsibility and methods used to prevent foreign matter contamination of product shall be documented, implemented and communicated to all staff.

9.7.4.2 Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated.

9.7.4.3 The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

9.7.4.4 The following preventative measures shall be implemented where applicable to prevent glass contamination:

- i. All glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location;
- ii. Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing/contact zones;
- iii. Conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register; and
- iv. Inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.

9.7.4.5 Wooden pallets and other wooden utensils used in food handling/contact zones shall be dedicated for that purpose, clean, maintained in good order and their condition subject to regular inspection.

9.7.4.6 Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

9.7.4.7 Knives and cutting instruments used in processing and packaging operations shall be controlled, and kept clean and well maintained.

#### **9.7.5 Detection of Foreign Objects**

9.7.5.1 The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented.

9.7.5.2 Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective products and indicate when it is rejected.

9.7.5.3 Records shall be maintained of the inspection by foreign object detection devices, and their verification.

#### **9.7.6 Managing Foreign Matter Contamination Incidents**

9.7.6.1 In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of.

9.7.6.2 In circumstances where glass or similar material breakage occurs the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.

### **9.8 On-Site Laboratories**

9.8.1.1 On site laboratories shall be located separate from any food processing or handling activity and designed to limit access only to authorized personnel.

9.8.1.2 Provision shall be made to isolate and contain all laboratory waste held on the premises and manage it separately from food waste. Laboratory waste water outlet shall as a minimum be down stream of drains that service food processing and handling areas.

9.8.1.3 Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel.

### **9.9 Waste Disposal**

#### **9.9.1 Dry and Liquid Waste Disposal**

9.9.1.1 Procedures shall be documented and implemented for the collection and removal of animal waste materials via authorized waste disposal contractors.

9.9.1.2 The responsibility and methods used to collect and handle dry, wet and liquid waste (other than animal waste) and store prior to removal from the premises shall be documented and implemented.

9.9.1.3 Waste shall be removed on a regular basis and not build up in food handling areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

9.9.1.4 Waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.

9.9.1.5 Adequate provision shall be made for the disposal of all liquid waste from processing and food handling areas. Liquid waste shall be either removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal so as not to present a hazard.

9.9.1.6 Reviews of the effectiveness of waste management shall form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

## **9.10 Exterior**

### **9.10.1 Grounds and Roadways**

9.10.1.1 The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.

9.10.1.2 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises.

9.10.1.3 Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.

9.10.1.4 Paths from amenities leading to facility entrances are required to be effectively sealed.

## Module 10: Food Safety Fundamentals – Good Manufacturing Practices for Pre-processing of Plant Products (GFSI D)

This module covers the Good Manufacturing Practices requirements for the pre-process handling of plant products, nuts, and grains.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

FSC 4: Fresh produce pack house operations

FSC 5A: Seed production (mung bean seeds, alfalfa seeds, watercress seeds)

### 10.1 Site Requirements and Approval

#### 10.1.1 Premises Location

10.1.1.1 The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

10.1.1.2 Measures shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.

#### 10.1.2 Construction and Operational Approval

10.1.2.1 The construction and on-going operation of the premises on the site shall be approved by the relevant authority.

### 10.2 Construction and Control of Product Handling and Storage Areas

#### 10.2.1 Materials and Surfaces

10.2.1.1 Product contact surfaces and those surfaces not in direct contact with produce in produce handling areas, raw material storage, packaging material storage, and cold storage areas shall be constructed of materials that will not contribute a food safety risk.

#### 10.2.2 Floors, Drains and Waste Traps

10.2.2.1 Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

10.2.2.2 Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or waste water under normal working conditions.

10.2.2.3 Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

10.2.2.4 Waste trap System shall be located away from any food handling area or entrance to the premises.

#### 10.2.3 Walls, Partitions, Doors and Ceilings

10.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish, and shall be kept clean (refer to element 10.2.13.1)

10.2.3.2 Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.

10.2.3.3 Ducting, conduit and pipes that convey services such as steam or water shall be designed and constructed so as to allow ease of cleaning.

10.2.3.4 Doors, hatches and windows and their frames shall be of a material and construction which meets the same functional requirements for internal walls and partitions.

i. Doors and hatches shall be of solid construction; and

ii. Windows shall be made of shatterproof glass or similar material.

10.2.3.5 Produce shall be handled and stored in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of product.

10.2.3.6 Drop ceilings shall be additionally constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.

#### 10.2.4 Stairs, Catwalks and Platforms

10.2.4.1 Stairs, catwalks and platforms in produce storage and handling areas shall be designed and constructed so as not to present a product contamination risk, and shall be kept clean (refer to element 10.2.13.1)

#### 10.2.5 Lighting and Light Fittings

10.2.5.1 Lighting in produce processing and packing, storage and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

10.2.5.2 Light fittings in processing areas, inspection stations, and all areas where product is exposed, shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling. Where fittings cannot be recessed, structures must be protected from accidental breakage, manufactured from cleanable materials and addressed in the cleaning and sanitation program.

10.2.5.3 Light fittings in warehouses and other areas where product is protected shall be designed such as to prevent breakage and product contamination.

#### **10.2.6 Inspection Area**

10.2.6.1 A suitable area within the processing and packing area shall be provided for the inspection of product if required.

10.2.6.2 The inspection area shall be provided with facilities that are suitable for examination of the style of product being processed. The inspection area shall have:

- i. Easy access to hand washing facilities; and
- ii. Sufficient lighting intensity to enable as thorough inspection of the product as required.

#### **10.2.7 Dust, Fly and Vermin Proofing**

10.2.7.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.

10.2.7.2 Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.

10.2.7.3 External doors, including overhead dock doors in food handling areas, used for product, pedestrian or truck access shall be fly-proofed by at least one or a combination of the following methods:

- i. A self-closing device;
- ii. An effective air curtain;
- iii. A fly-proof screen; and
- iv. A fly-proof annex.
- v. Adequate sealing around trucks in docking areas

10.2.7.4 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to product, packaging, containers or processing equipment. Poison bait shall not be used inside ingredient or food storage areas or processing areas.

#### **10.2.8 Ventilation**

10.2.8.1 Adequate ventilation shall be provided in enclosed processing and product storage and handling areas.

#### **10.2.9 Premises and Equipment Maintenance**

10.2.9.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

10.2.9.2 Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any product processing, packaging, handling or storage area:

- i. Routine maintenance of plant and equipment shall be performed according to a maintenance-control schedule and recorded;
- ii. Failures of plant and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule;
- iii. Compliance with the personnel and process hygiene requirements (refer to elements 10.3.1, 10.3.2, 10.3.3, 10.3.4) by maintenance staff and contractors;
- iv. Ensure facility supervisors are notified when maintenance or repairs are to be undertaken in any food handling area;
- v. Inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times;
- vi. Remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.

10.2.9.3 The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance if product safety and quality.

10.2.9.4 Equipment located over product or product conveyors shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of product.

10.2.9.5 Paint used in a product handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface.

#### **10.2.10 Calibration**

10.2.10.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in pre-requisite program, food safety plans and food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

10.2.10.2 Procedures shall be documented and implemented to address the disposition of potentially affected product should measuring, test and inspection equipment be found to be out of calibration state.

10.2.10.3 Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.

10.2.10.4 Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.

10.2.10.5 Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

10.2.10.6 Calibration records shall be maintained.

#### **10.2.11 Management of Pests and Vermin**

10.2.11.1 The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounds, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

10.2.11.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the pest elimination methods;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
- viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station;
- ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and
- x. Measure the effectiveness of the program to verify the elimination of applicable pests.

10.2.11.3 Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.

10.2.11.4 Records of all pest control applications shall be maintained.

10.2.11.5 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in 10.6.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.

10.2.11.6 Pest control contractors shall be:

- i. Licensed and approved by the local relevant authority;
- ii. Use only trained and qualified operators who comply with regulatory requirements;
- iii. Use only approved chemicals;
- iv. Provide a pest control management plan (see contract services in section 2.3.3) which will include a site map indicating the location of bait stations and traps;
- v. Report to a responsible senior management person on entering the premises and after the completion of inspections or treatments; and
- vi. Provide a written report of their findings and the inspections and treatments applied.

10.2.11.7 The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not reused;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

#### **10.2.12 Equipment, Utensils and Protective Clothing**

10.2.12.1 Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to products.

10.2.12.2 Benches, tables, conveyors, graders, packers and other mechanical equipment shall be hygienically designed and located for appropriate cleaning. Equipment surfaces shall be smooth, impervious and free from cracks or crevices.

10.2.12.3 Product containers, tubs, bins for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious and readily cleaned. Bins used for inedible material shall be clearly identified.

10.2.12.4 Waste and overflow water from tubs, tanks and other equipment shall be discharged direct to the floor drainage system.

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10.2.12.5 Protective clothing shall be manufactured from material that is not liable to contaminate food and easily cleaned.

10.2.12.6 Racks shall be provided for the temporary storage of protective clothing when staff leaves the processing or packing areas and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

### 10.2.13 Cleaning and Sanitation

10.2.13.1 The methods and responsibility for the cleaning of the product handling equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;
- ii. How it is to be cleaned;
- iii. When it is to be cleaned;
- iv. Who is responsible for the cleaning;
- v. Methods used to confirm the correct concentrations of detergents and sanitizers, and
- vi. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

10.2.13.2 Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing.

10.2.13.3 Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils and for protective clothing used by cleaning staff. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or products. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.

10.2.13.4 Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure food processing areas, product contact surfaces, equipment, staff amenities and sanitary facilities and other essential areas are clean before the commencement of production.

10.2.13.5 The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.

10.2.13.6 Detergents and sanitizers shall be suitable for use in a food manufacturing environment, and purchased in accordance with applicable legislation. The organization shall ensure:

- i. An inventory of all chemicals purchased and used shall be maintained;
- ii. Detergents and sanitizers are stored as outlined in 10.6.4;
- iii. Material Safety Data Sheets (MSDS) are provided for all detergents and sanitizers purchased; and
- iv. Only trained staff handles sanitizers and detergents.

10.2.13.7 The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use;
- ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

10.2.13.8 A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.

## 10.3 Personnel Hygiene and Welfare

### 10.3.1 Personnel

10.3.1.1 Personnel suffering from infectious diseases or are carriers of, any infectious disease shall not engage in product handling or processing operation.

10.3.1.2 Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing products or handling primary packaging materials or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with colored bandage containing a metal strip or an alternative suitable waterproof and colored dressing.

10.3.1.3 Smoking, chewing, eating, drinking or spitting is not permitted in any food processing or food handling areas.

### 10.3.2 Hand Washing

10.3.2.1 Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout product handling, processing and packaging areas as required.

10.3.2.2 Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with:

- i. A potable water supply at an appropriate temperature;

- ii. Liquid soap contained within a fixed dispenser;
  - iii. Paper towels in a hands free cleanable dispenser; and
  - iv. A means of containing used paper towels.
- 10.3.2.3 The following additional facilities shall be provided in high risk areas:
- i. Hands free operated taps; and
  - ii. Hand sanitizers.
- 10.3.2.4 A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position.
- 10.3.2.5 Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors:
- i. On entering food handling or processing areas;
  - ii. After each visit to a toilet;
  - iii. After using a handkerchief;
  - iv. After smoking, eating or drinking; and
  - v. After handling wash down hoses, dropped products or contaminated material.
- 10.3.2.6 When gloves are used, personnel shall maintain the hand washing practices outlined above.

### **10.3.3 Clothing**

- 10.3.3.1 Clothing worn by staff engaged in handling products shall be maintained, stored, laundered and worn so as not to present a contamination risk to products.
- 10.3.3.2 Staff engaged in high risk areas shall change into clean clothing when entering high risk areas.
- 10.3.3.3 Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition. Excessively soiled uniforms shall be changed where they present a product contamination risk.
- 10.3.3.4 Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area and not on packaging, ingredients, products or equipment.

### **10.3.4 Jewelry and Personal Effects**

- 10.3.4.1 Jewelry and other loose objects shall not be worn or taken into a product handling or processing operation or any area where food is exposed. The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted, however the supplier will need to consider their customer requirements and the applicable food legislation.

### **10.3.5 Visitors**

- 10.3.5.1 All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food processing or handling area.
- 10.3.5.2 All visitors shall be required to remove jewelry and other loose objects.
- 10.3.5.3 Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or processed.
- 10.3.5.4 Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personal practice requirements.

### **10.3.6 Staff Amenities**

- 10.3.6.1 Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of product.

### **10.3.7 Change Rooms**

- 10.3.7.1 Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.
- 10.3.7.2 Change rooms shall be provided for staff engaged in the processing or packaging of high risk foods or processing or packaging operations in which clothing can be soiled.
- 10.3.7.3 Provision shall be made for staff to store their street clothing and personal items separate from product contact zones and product and packaging storage areas.
- 10.3.7.4 Where required a sufficient number of showers shall be provided for use by staff.

### **10.3.8 Laundry**

- 10.3.8.1 Provision shall be made for the laundering and storage of clothing worn by staff engaged in high risk processes and for staff engaged in processing operations in which clothing can be heavily soiled.

### **10.3.9 Sanitary Facilities**

- 10.3.9.1 Toilet rooms shall be:
- i. Designed and constructed so that they are accessible to staff and separate from any processing and food handling operations;
  - ii. Accessed from the processing area via an airlock vented to the exterior or through an adjoining room;

- iii. Sufficient in number for the maximum number of staff;
- iv. Constructed so that they can be easily cleaned and maintained; and
- v. Kept clean and tidy.

10.3.9.2 Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system.

10.3.9.3 Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 10.3.2.2.

#### **10.3.10 Lunch Rooms**

10.3.10.1 Separate lunch room facilities shall be provided away from a product contact/handling zone.

10.3.10.2 Lunch room facilities shall be:

- i. Ventilated and well lit;
- ii. Provided with adequate tables and seating to cater for the maximum number of staff at one sitting;
- iii. Equipped with a sink serviced with hot and cold potable water for washing utensils;
- iv. Equipped with refrigeration and heating facilities enabling them to store or heat food and to prepare non-alcoholic beverages if required, and
- v. Kept clean and free from waste materials and pests.

10.3.10.3 Signage in appropriate languages instructing people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

#### **10.3.11 First Aid**

10.3.11.1 First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

### **10.4 Personnel Processing Practices**

#### **10.4.1 Staff Engaged in Product Handling, Processing and Packaging Operations**

10.4.1.1 All personnel engaged in any food handling, preparation or processing operations shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination. They comply with the following processing practices:

- i. Personnel entry to processing areas shall be through the personnel access doors only;
- ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required;
- iii. The wearing of false fingernails or fingernail polish is not permitted when handling food;
- iv. Packaging material, products, and ingredients shall be kept in appropriate containers as required and off the floor;
- v. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate;
- vi. Staff shall not eat or taste any product being processed in the food handling/contact zone, except as noted in section 10.4.1.2.

10.4.1.2 In circumstances where it is necessary to undertake sensory evaluations in a product handling/contact zone, the supplier shall implement proper controls and procedures to ensure:

- i. Food safety is not compromised;
- ii. Sensory evaluations are conducted by authorized personnel;
- iii. A high standard of personal hygiene is practiced by personnel conducting sensory evaluations;
- iv. Sensory evaluations are conducted in areas equipped for the purpose; and
- v. Equipment used for sensory evaluations is sanitized, maintained and stored separate from processing equipment.

10.4.1.3 All wash down hoses shall be stored on hose racks after use and not left on the floor.

### **10.5 Water, Ice, and Air Supply**

#### **10.5.1 Water Supply**

10.5.1.1 Adequate supplies of potable water drawn from a known clean source shall be provided for use during processing operations, as an ingredient and for cleaning the premises and equipment.

10.5.1.2 Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

#### **10.5.2 Monitoring Water Microbiology and Quality**

10.5.2.1 Water used for

- i. Washing and treating food;
- ii. An ingredient or food processing aid;

- iii. Cleaning product contact surfaces;

shall comply with local, national or internationally recognized potable water microbiological and quality standards as required.

#### **10.5.3 Water Delivery**

10.5.3.1 The delivery of water within the premises shall ensure potable water is not contaminated.

10.5.3.2 The use of non-potable water shall be controlled such that:

- i. There is no cross contamination between potable and non-potable water lines;
- ii. Non-potable water piping and outlets are clearly identified; and

#### **10.5.4 Water Treatment**

10.5.4.1 Water treatment methods, equipment and materials shall be designed, installed and operated to ensure water receives an effective treatment.

10.5.4.2 Water treatment equipment shall be monitored regularly to ensure it remains serviceable.

10.5.4.3 Treated water shall be regularly monitored to ensure it meets the indicators specified.

#### **10.5.5 Ice Supply**

10.5.5.1 Ice provided for use during processing operations or as a processing aid or an ingredient shall comply with 10.5.2.1.

10.5.5.2 Ice rooms and receptacles shall be constructed of materials as outlined in elements 10.2.1, 10.2.2, and 10.2.3, and designed to minimize contamination of the ice during storage and distribution.

#### **10.5.6 Analysis**

10.5.6.1 Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.

10.5.6.2 Water and ice shall be analyzed using reference standards and methods.

#### **10.5.7 Air Quality**

10.5.7.1 Compressed air used in the production process shall be clean and present no risk to food safety.

10.5.7.2 Compressed air used in the production process shall be regularly monitored for purity.

### **10.6 Storage and Transport**

#### **10.6.1 Cold Storage, Controlled Atmosphere Storage and Chilling of Foods**

10.6.1.1 The supplier shall provide confirmation of the effective operational performance of coolers, controlled atmosphere facilities, and cool rooms. They shall be:

- i. Designed and constructed to allow for the hygienic and efficient refrigeration and storage of food; and
- ii. Easily accessible for inspection and cleaning.

10.6.1.2 Sufficient refrigeration and controlled atmosphere capacity shall be available to chill or store the maximum anticipated throughput of products with allowance for periodic cleaning of storage rooms.

10.6.1.3 Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.

10.6.1.4 Cool and controlled atmosphere rooms shall be fitted with temperature and atmosphere monitoring equipment and located so as to monitor the warmest part of the room and be fitted with measurement devices that are easily readable and accessible.

10.6.1.5 Loading and unloading docks shall be designed to protect products during loading and unloading.

#### **10.6.2 Storage of Dry Ingredient, Packaging and Shelf Stable Packaged Goods**

10.6.2.1 Rooms used for the storage of product ingredients, packaging, and other dry goods shall be located away from wet areas and constructed to protect the products from contamination and deterioration.

10.6.2.2 Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent packaging from becoming a harborage for pests or vermin.

10.6.2.3 Vehicles used in food contact, handling or processing zones or in cool storage rooms shall be designed and operated so as not to present a food safety hazard.

#### **10.6.3 Storage of Equipment and Containers**

10.6.3.1 Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

#### **10.6.4 Storage of Hazardous Chemicals and Toxic Substances**

10.6.4.1 Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored or transported.

10.6.4.2 Utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.

10.6.4.3 Daily supplies of chemical used for continuous sanitizing of water or as a processing aid, or for emergency cleaning of equipment or surfaces in product contact zones, may be stored within or in close proximity

to a processing or packaging area provided access to the chemical storage facility is restricted to authorized personnel.

10.6.4.4 Pesticides, rodenticides, fumigants and insecticides shall be stored separate from sanitizers and detergents. All chemicals shall be stored in their original containers.

10.6.4.5 Hazardous chemical and toxic substance storage facilities shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be adequately ventilated;
- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of hazardous chemicals and toxic substances;
- v. Have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in close proximity to the storage area;
- viii. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- ix. Be equipped with spillage kits and cleaning equipment.

#### **10.6.5 Alternative Storage and Handling of Goods**

10.6.5.1 Where goods described in 10.6.1 to 10.6.4 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality.

#### **10.6.6 Loading, Transport and Unloading Practices**

10.6.6.1 The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Products shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

##### **10.6.7 Loading**

10.6.7.1 Vehicles (trucks/vans/containers) used for transporting products shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product.

10.6.7.2 Loading practices shall be designed to minimize unnecessary exposure of product to conditions detrimental to maintaining product and package integrity.

##### **10.6.8 Transport**

10.6.8.1 Refrigerated units shall maintain the product at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate.

10.6.8.2 The refrigeration unit shall be operational at all times and the unit's operation, the door seals and the storage temperature checked at regular intervals during transit.

##### **10.6.9 Unloading**

10.6.9.1 Prior to opening the doors, the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

10.6.9.2 Unloading practices shall be designed to minimize unnecessary exposure of products to conditions detrimental to maintaining the product and package integrity.

## **10.7 Separation of Functions**

### **10.7.1 Process Flow**

10.7.1.1 The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the processing and packaging area. The flow of personnel shall be managed such that the potential for contamination is minimized.

### **10.7.2 Receipt of Raw and Packaging Materials and Ingredients**

10.7.2.1 Dry ingredients and packaging shall be received and stored separately from field product or chilled materials to ensure there is no cross contamination. Unprocessed field product shall be received and segregated to ensure there is no cross contamination.

### **10.7.3 High Risk Processes**

10.7.3.1 The processing of high risk food shall be conducted under controlled conditions such that:

- i. Sensitive areas in which high risk food has undergone a “kill” step, a “food safety intervention” or is subject to post process handling, are protected/segregated from other processes, raw materials or staff who handle raw materials to ensure cross contamination is minimized;
- ii. Areas in which high risk processes are conducted are only serviced by staff dedicated to that function;
- iii. Staff access points are located, designed and equipped to enable staff to wear distinctive protective clothing and to practice a high standard of personal hygiene to prevent product contamination;
- iv. Product transfer points are located and designed so as not to compromise high risk segregation and to minimize the risk of cross contamination; and
- v. An environmental monitoring program shall be in place for high risk areas. As a minimum, a written procedure detailing the applicable pathogens or indicator organisms to test for (for that industry), the number of samples to be taken, and the frequency of sampling and corrective actions shall be documented. The responsibility and methods shall be documented and implemented. A sampling schedule shall be prepared.

#### **10.7.4 Control of Foreign Matter Contamination**

10.7.4.1 The responsibility and methods used to prevent foreign matter contamination of products shall be documented, implemented and communicated to all staff.

10.7.4.2 Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated.

10.7.4.3 The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

10.7.4.4 The following preventative measures shall be implemented where applicable to prevent glass contamination:

- i. All glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location;
- ii. Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing /contact zones;
- iii. Conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register; and
- iv. Inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.

10.7.4.5 Wooden pallets, wooden field bins, and other wooden utensils used in food handling/contact zones shall be dedicated for that purpose. Their condition is subject to regular inspection and shall be clean and maintained in good order.

10.7.4.6 Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

10.7.4.7 Knives and cutting instruments used in processing and packaging operations shall be controlled, kept clean and well maintained.

#### **10.7.5 Detection of Foreign Objects**

10.7.5.1 The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented.

10.7.5.2 Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective products and indicate when it is rejected.

10.7.5.3 Records shall be maintained of the inspection by foreign object detection devices. These devices need verification.

#### **10.7.6 Managing Foreign Matter Contamination Incidents**

10.7.6.1 In all cases of foreign matter contamination, the affected batch or item shall be isolated, inspected, reworked or disposed.

10.7.6.2 In circumstances where glass or similar material breakage occurs, the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.

### **10.8 On-Site Laboratories**

10.8.1.1 On site laboratories shall be located separate from any food processing or handling activity and designed to limit access only to authorized personnel.

10.8.1.2 Provisions shall be made to isolate and contain all laboratory waste held on the premises and manage it separately from food waste. Laboratory waste water outlet shall (as a minimum) be down stream of drains that service food processing and handling areas.

10.8.1.3 Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel.

## **10.9 Waste Disposal**

### **10.9.1 Dry and Liquid Waste Disposal**

10.9.1.1 The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.

10.9.1.2 Waste shall be removed on a regular basis and not build up in product handling areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

10.9.1.3 Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.

10.9.1.4 Adequate provision shall be made for the disposal of all solid processing waste including trimmings, inedible material and used packaging. Waste held on site prior to disposal shall be stored in a separate storage facility and suitably fly proofed and contained so as not to present a hazard.

10.9.1.5 Adequate provision shall be made for the disposal of all liquid waste from processing and food handling areas. Liquid waste shall be either removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal so as not to present a hazard.

10.9.1.6 Reviews of the effectiveness of waste management shall form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

## **10.10 Exterior**

### **10.10.1 Grounds and Roadways**

10.10.1.1 The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.

10.10.1.2 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises.

10.10.1.3 Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.

10.10.1.4 Paths from amenities leading to facility entrances are required to be effectively sealed.

## Module 11: Food Safety Fundamentals – Good Manufacturing Practices for Processing of Food Products (GFSI EI, EII, EIII, EIV and L)

This module covers the Good Manufacturing Practices requirements for the processing of perishable animal products, perishable plant products, processing of animal and plant perishable products, processing of ambient stable products, and production of bio-chemicals.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

- FSC 8: Processing of manufactured meats and poultry
- FSC 9: Seafood processing (including 9A, 9B, 9C)
- FSC 10: Dairy processing
- FSC 11: Honey processing
- FSC 12: Egg processing
- FSC 13: Bakery and snack food processing
- FSC 14: Fruit and vegetable processing
- FSC 15: Canning, pasteurization, UHT and aseptic operations (includes 15A, 15B)
- FSC 16: Ice, drink, and beverage processing
- FSC 17: Confectionery manufacturing
- FSC 18: Preserved foods manufacture
- FSC 19: Food ingredient manufacture
- FSC 20: Recipe meals manufacture
- FSC 21: Oils, fats and the manufacture of fat-based spreads
- FSC 22: Processing of cereals, grains, and nuts

### 11.1 Site Requirements and Approval

#### 11.1.1 Premises Location

11.1.1.1 The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

11.1.1.2 Measures shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.

#### 11.1.2 Construction and Operational Approval

11.1.2.1 The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.

### 11.2 Construction and Control of Product Handling and Storage Areas

#### 11.2.1 Materials and Surfaces

11.2.1.1 Product contact surfaces and those surfaces not in direct contact with food in food handling areas, raw material storage, packaging material storage, and cold storage areas shall be constructed of materials that will not contribute a food safety risk.

#### 11.2.2 Floors, Drains and Waste Traps

11.2.2.1 Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

11.2.2.2 Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or waste water under normal working conditions.

11.2.2.3 Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

11.2.2.4 Waste trap system shall be located away from any food handling area or entrance to the premises.

#### 11.2.3 Walls, Partitions, Doors and Ceilings

11.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish, and shall be kept clean (refer to element 11.2.13.1)

11.2.3.2 Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.

11.2.3.3 Ducting, conduit and pipes that convey services such as steam or water shall be designed and constructed so as to allow ease of cleaning.

11.2.3.4 Doors, hatches and windows and their frames shall be of a material and construction which meets the same functional requirements for internal walls and partitions.

- i. Doors and hatches shall be of solid construction; and
- ii. Windows shall be made of shatterproof glass or similar material.

11.2.3.5 Food shall be processed and handled in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of products.

11.2.3.6 Drop ceilings shall be additionally constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.

#### **11.2.4 Stairs, Catwalks and Platforms**

11.2.4.1 Stairs, catwalks and platforms in food processing and handling areas shall be designed and constructed so as not to present a product contamination risk, and shall be kept clean (refer to element 11.2.13.1).

#### **11.2.5 Lighting and Light Fittings**

11.2.5.1 Lighting in food processing and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

11.2.5.2 Light fittings in processing areas, inspection stations, ingredient and packaging storage areas, and all areas where the product is exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling. Where fittings cannot be recessed, structures must be protected from accidental breakage, manufactured from cleanable materials and addressed in the cleaning and sanitation program.

11.2.5.3 Light fittings in warehouses and other areas where the product is protected shall be designed such as to prevent breakage and product contamination.

#### **11.2.6 Inspection Area**

11.2.6.1 A suitable area within the processing area shall be provided for the inspection of the product if required.

11.2.6.2 The inspection area shall be provided with facilities that are suitable for examination of the style of product being processed. The inspection area shall have:

- i. Easy access to hand washing facilities; and
- ii. Sufficient lighting intensity to enable as thorough inspection of the product as required.

#### **11.2.7 Dust, Fly and Vermin Proofing**

11.2.7.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.

11.2.7.2 Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.

11.2.7.3 External doors, including overhead dock doors in food handling areas, used for product, pedestrian or truck access shall be fly-proofed by at least one or a combination of the following methods:

- i. A self-closing device;
- ii. An effective air curtain;
- iii. A fly-proof screen;
- iv. A fly-proof annex.
- v. Adequate sealing around trucks in docking areas

11.2.7.4 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to the product, packaging, containers or processing equipment. Poison bait shall not be used inside ingredient or food storage areas or processing areas.

#### **11.2.8 Ventilation**

11.2.8.1 Adequate ventilation shall be provided in enclosed processing and food handling areas.

11.2.8.2 Extractor fans and canopies shall be provided in areas where cooking operations are carried out or a large amount of steam is generated and shall have the following features:

- i. Capture velocities shall be sufficient to prevent condensation build up and to evacuate all heat, fumes and other aerosols to the exterior via an exhaust hood positioned over cooker;
- ii. Fans and exhaust vents shall be fly proofed and located so as not to pose a contamination risk; and
- iii. Where appropriate, positive air-pressure system shall be installed to prevent airborne contamination.

#### **11.2.9 Premises and Equipment Maintenance**

11.2.9.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented, planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

11.2.9.2 Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any food processing, handling or storage area:

- i. Routine maintenance of plant and equipment shall be performed according to a maintenance-control schedule and recorded;
- ii. Failures of plant and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule;

- iii. Compliance with the personnel and process hygiene requirements (refer to elements 11.3.1, 11.3.2, 11.3.3, 11.3.4) by maintenance staff and contractors;
- iv. Ensure facility supervisors are notified when maintenance or repairs are to be undertaken in any food handling area;
- v. Inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times;
- vi. Remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.

11.2.9.3 The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality.

11.2.9.4 Equipment located over product or product conveyors shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of the product.

11.2.9.5 Paint used in a food handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface.

#### **11.2.10 Calibration**

11.2.10.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in pre-requisite program, food safety plans and food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

11.2.10.2 Procedures shall be documented and implemented to address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state.

11.2.10.3 Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.

11.2.10.4 Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.

11.2.10.5 Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

11.2.10.6 Calibration records shall be maintained.

#### **11.2.11 Management of Pests and Vermin**

11.2.11.1 The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounding areas, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

11.2.11.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the pest elimination methods;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
- viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station;
- ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and
- x. Measure the effectiveness of the program to verify the elimination of applicable pests.

11.2.11.3 Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.

11.2.11.4 Records of all pest control applications shall be maintained.

11.2.11.5 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 11.6.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.

11.2.11.6 Pest control contractors shall be:

- i. Licensed and approved by the local relevant authority;
- ii. Use only trained and qualified operators who comply with regulatory requirements;

- iii. Use only approved chemicals;
- iv. Provide a pest control management plan (see Contract Services 2.3.3) which will include a site map indicating the location of bait stations and traps;
- v. Report to a responsible authorized person on entering the premises and after the completion of inspections or treatments; and
- vi. Provide a written report of their findings and the inspections and treatments applied.

11.2.11.7 The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not reused;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

#### **11.2.12 Equipment, Utensils and Protective Clothing**

11.2.12.1 Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to products.

11.2.12.2 Benches, tables, conveyors, mixers, mincers, graders and other mechanical processing equipment shall be hygienically designed and located for appropriate cleaning. Equipment surfaces shall be smooth, impervious and free from cracks or crevices.

11.2.12.3 Product containers, tubs, bins for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious and readily cleaned. Bins used for inedible material shall be clearly identified.

11.2.12.4 Waste and overflow water from tubs, tanks and other equipment shall be discharged direct to the floor drainage system.

11.2.12.5 Protective clothing shall be manufactured from material that is not liable to contaminate food and easily cleaned.

11.2.12.6 Racks shall be provided for the temporary storage of protective clothing when staff leaves the processing area and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

#### **11.2.13 Cleaning and Sanitation**

11.2.13.1 The methods and responsibility for the cleaning of the food handling and processing equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;
- ii. How it is to be cleaned;
- iii. When it is to be cleaned;
- iv. Who is responsible for the cleaning;
- v. Methods used to confirm the correct concentrations of detergents and sanitizers, and
- vi. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

11.2.13.2 Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing.

11.2.13.3 Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils and for cleaning of protective clothing used by staff. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or product. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.

11.2.13.4 Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure food processing areas, product contact surfaces, equipment, staff amenities and sanitary facilities and other essential areas are clean before the commencement of production.

11.2.13.5 The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.

11.2.13.6 Detergents and sanitizers shall be suitable for use in a food manufacturing environment, and purchased in accordance with applicable legislation. The organization shall ensure:

- i. An inventory of all chemicals purchased and used shall be maintained;
- ii. Detergents and sanitizers are stored as outlined in element 11.6.4;
- iii. Material Safety Data Sheets (MSDS) are provided for all detergents and sanitizers purchased; and
- iv. Only trained staff handles sanitizers and detergents.

11.2.13.7 The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use;

- ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

11.2.13.8 A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.

## **11.3 Personnel Hygiene and Welfare**

### **11.3.1 Personnel**

11.3.1.1 Personnel suffering from infectious diseases or are carriers of any infectious disease shall not engage in product handling or processing operation.

11.3.1.2 Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing products or handling primary packaging materials or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a colored bandage containing a metal strip or an alternative suitable waterproof and colored dressing.

11.3.1.3 Smoking, chewing, eating, drinking or spitting is not permitted in any food processing or food handling areas.

### **11.3.2 Hand Washing**

11.3.2.1 Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout food handling and processing areas as required.

11.3.2.2 Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with:

- i. A potable water supply at an appropriate temperature;
- ii. Liquid soap contained within a fixed dispenser;
- iii. Paper towels in a hands free cleanable dispenser; and
- iv. A means of containing used paper towels.

11.3.2.3 The following additional facilities shall be provided in high risk areas:

- i. Hands free operated taps; and
- ii. Hand sanitizers.

11.3.2.4 A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position.

11.3.2.5 Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors:

- i. On entering food handling or processing areas;
- ii. After each visit to a toilet;
- iii. After using a handkerchief;
- iv. After smoking, eating or drinking; and
- v. After handling wash down hoses, dropped product or contaminated material.

11.3.2.6 When gloves are used, personnel shall maintain the hand washing practices outlined above.

### **11.3.3 Clothing**

11.3.3.1 Clothing worn by staff engaged in handling food shall be maintained, stored, laundered and worn so as not to present a contamination risk to products.

11.3.3.2 Staff engaged in high risk areas shall change into clean clothing or don temporary protective outerwear when entering high risk areas.

11.3.3.3 Clothing including shoes, shall be clean at the commencement of each shift and maintained in a serviceable condition. Excessively soiled uniforms shall be changed where they present a product contamination risk.

11.3.3.4 Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area and not on packaging, ingredients, product or equipment.

### **11.3.4 Jewelry and Personal Effects**

11.3.4.1 Jewelry and other loose objects shall not be worn or taken into a food handling or processing operation or any area where food is exposed. The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted, however the supplier will need to consider their customer requirements and the applicable food legislation.

### **11.3.5 Visitors**

11.3.5.1 All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food processing or handling area.

11.3.5.2 All visitors shall be required to remove jewelry and other loose objects.

11.3.5.3 Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or processed.

11.3.5.4 Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personnel practice requirements.

#### **11.3.6 Staff Amenities**

11.3.6.1 Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of product.

#### **11.3.7 Change Rooms**

11.3.7.1 Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.

11.3.7.2 Change rooms shall be provided for staff engaged in the processing of high risk foods or processing operations in which clothing can be soiled.

11.3.7.3 Provision shall be made for staff to store their street clothing and personal items separate from food contact zones and food and packaging storage areas.

11.3.7.4 Where required, a sufficient number of showers shall be provided for use by staff.

#### **11.3.8 Laundry**

11.3.8.1 Provision shall be made for the laundering and storage of clothing worn by staff engaged in high risk processes and for staff engaged in processing operations in which clothing can be heavily soiled.

#### **11.3.9 Sanitary Facilities**

11.3.9.1 Toilet rooms shall be:

- i. Designed and constructed so that they are accessible to staff and separate from any processing and food handling operations;
- ii. Accessed from the processing area via an airlock vented to the exterior or through an adjoining room;
- iii. Sufficient in number for the maximum number of staff;
- iv. Constructed so that they can be easily cleaned and maintained; and
- v. Kept clean and tidy.

11.3.9.2 Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system.

11.3.9.3 Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 11.3.2.2.

#### **11.3.10 Lunch Rooms**

11.3.10.1 Separate lunch room facilities shall be provided away from a food contact/handling zone.

11.3.10.2 Lunch room facilities shall be:

- i. Ventilated and well lit;
- ii. Provided with adequate tables and seating to cater for the maximum number of staff at one sitting;
- iii. Equipped with a sink serviced with hot and cold potable water for washing utensils;
- iv. Equipped with refrigeration and heating facilities enabling them to store or heat food and to prepare non-alcoholic beverages if required, and
- v. Kept clean and free from waste materials and pests.

11.3.10.3 Signage in appropriate languages instructing people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

#### **11.3.11 First Aid**

11.3.11.1 First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

### **11.4 Personnel Processing Practices**

#### **11.4.1 Staff Engaged in Food Handling and Processing Operations**

11.4.1.1 All personnel engaged in any food handling, preparation or processing operations shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination. They shall comply with the following processing practices:

- i. Personnel entry to processing areas shall be through the personnel access doors only;
- ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required;
- iii. The wearing of false fingernails or fingernail polish is not permitted when handling food;
- iv. Packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor;
- v. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate;

- vi. Staff shall not eat or taste any product being processed in the food handling/contact zone, except as noted in section 11.4.1.2.

11.4.1.4 In circumstances where it is necessary to undertake sensory evaluations in a food handling/contact zone the supplier shall implement proper controls and procedures to ensure:

- i. Food safety is not compromised;
- ii. Sensory evaluations are conducted by authorized personnel;
- iii. A high standard of personal hygiene is practiced by personnel conducting sensory evaluations;
- iv. Sensory evaluations are conducted in areas equipped for the purpose; and
- v. Equipment used for sensory evaluations is sanitized, maintained and stored separate from processing equipment.

11.4.1.3 All wash down hoses shall be stored on hose racks after use and not left on the floor.

## **11.5 Water, Ice and Air Supply**

### **11.5.1 Water Supply**

11.5.1.1 Adequate supplies of potable water drawn from a known clean source shall be provided for use during processing operations, as an ingredient and for cleaning the premises and equipment.

11.5.1.2 Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

### **11.5.2 Monitoring Water Microbiology and Quality**

11.5.2.1 Water used for

- i. washing, thawing and treating food;
- ii. an ingredient or food processing aid;
- iii. cleaning food contact surfaces;
- iv. the manufacture of ice; and
- v. the manufacture of steam that will come in contact with food or used to heat water that will come in contact with food

shall comply with local, national or internationally recognized potable water microbiological and quality standards as required.

### **11.5.3 Water Delivery**

11.5.3.1 The delivery of water within the premises shall ensure potable water is not contaminated.

11.5.3.2 The use of non-potable water shall be controlled such that:

- i. There is no cross contamination between potable and non-potable water lines;
- ii. Non-potable water piping and outlets are clearly identified.

### **11.5.4 Water Treatment**

11.5.4.1 Water treatment methods, equipment and materials shall be designed, installed and operated to ensure water receives an effective treatment.

11.5.4.2 Water treatment equipment shall be monitored regularly to ensure it remains serviceable.

11.5.4.3 Treated water shall be regularly monitored to ensure it meets the indicators specified.

### **11.5.5 Ice Supply**

11.5.5.1 Ice provided for use during processing operations or as a processing aid or an ingredient shall comply with 11.5.2.1.

11.5.5.2 Ice rooms and receptacles shall be constructed of materials as outlined in elements 11.2.1, 11.2.2 and 11.2.3 and designed to minimize contamination of the ice during storage and distribution.

### **11.5.6 Analysis**

11.5.6.1 Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.

11.5.6.2 Water and ice shall be analyzed using reference standards and methods.

### **11.5.7 Air Quality**

11.5.7.1 Compressed air used in the manufacturing process shall be clean and present no risk to food safety;

11.5.7.2 Compressed air used in the manufacturing process shall be regularly monitored for purity.

## **11.6 Storage and Transport**

### **11.6.1 Cold Storage, Freezing and Chilling of Foods**

11.6.1.1 The supplier shall provide confirmation of the effective operational performance of freezing, chilling and cold storage facilities. Chillers, blast freezers and cold storage rooms shall be:

- i. Designed and constructed to allow for the hygienic and efficient refrigeration of food; and

- ii. Easily accessible for inspection and cleaning.

11.6.1.2 Sufficient refrigeration capacity shall be available to chill, freeze, store chilled or store frozen the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.

11.6.1.3 Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.

11.6.1.4 Freezing, chilling and cold storage rooms shall be fitted with temperature monitoring equipment and located so as to monitor the warmest part of the room and be fitted with a temperature measurement device that is easily readable and accessible.

11.6.1.5 Loading and unloading docks shall be designed to protect the product during loading and unloading.

#### **11.6.2 Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods**

11.6.2.1 Rooms used for the storage of product ingredients, packaging, and other dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.

11.6.2.2 Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent packaging from becoming a harborage for pests or vermin.

11.6.2.3 Vehicles used in food contact, handling or processing zones or in cold storage rooms shall be designed and operated so as not to present a food safety hazard.

#### **11.6.3 Storage of Equipment and Containers**

11.6.3.1 Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

#### **11.6.4 Storage of Hazardous Chemicals and Toxic Substances**

11.6.4.1 Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored or transported.

11.6.4.2 Processing utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.

11.6.4.3 Daily supplies of chemical used for continuous sanitizing of water or as a processing aid, or for emergency cleaning of food processing equipment or surfaces in food contact zones, may be stored within or in close proximity to a processing area provided access to the chemical storage facility is restricted to authorized personnel.

11.6.4.4 Pesticides, rodenticides, fumigants and insecticides shall be stored separate from sanitizers and detergents. All chemicals shall be stored in their original containers.

11.6.4.5 Hazardous chemical and toxic substance storage facilities shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be adequately ventilated;
- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of hazardous chemicals and toxic substances;
- v. Have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in close proximity to the storage area;
- viii. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- ix. Be equipped with spillage kits and cleaning equipment.

#### **11.6.5 Alternative Storage and Handling of Goods**

11.6.5.1 Where goods described in 11.6.1 to 11.6.4 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality.

#### **11.6.6 Loading, Transport and Unloading Practices**

11.6.6.1 The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Foods shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

#### **11.6.7 Loading**

11.6.7.1 Vehicles (trucks/vans/containers) used for transporting food shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product.

11.6.7.2 Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity.

#### **11.6.8 Transport**

11.6.8.1 Refrigerated units shall maintain the food at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate.

11.6.8.2 The refrigeration unit shall be operational at all times and checks completed of the unit's operation, the door seals and the storage temperature checked at regular intervals during transit.

#### **11.6.9 Unloading**

11.6.9.1 Prior to opening the doors, the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

11.6.9.2 Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity.

### **11.7 Separation of Functions**

#### **11.7.1 Process Flow**

11.7.1.1 The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the process. The flow of personnel shall be managed such that the potential for contamination is minimized.

#### **11.7.2 Receipt of Raw and Packaging Materials and Ingredients**

11.7.2.1 Dry ingredients and packaging shall be received and stored separately from frozen and chilled raw materials to ensure there is no cross contamination. Unprocessed raw materials shall be received and segregated to ensure there is no cross contamination.

#### **11.7.3 Thawing of Food**

11.7.3.1 Thawing of food shall be undertaken in equipment and rooms appropriate for the purpose.

11.7.3.2 Equipment for water thawing shall be continuous flow to ensure the water exchange rate and temperature does not contribute to product deterioration or contamination. Water overflow shall be directed into the floor drainage system and not onto the floor.

11.7.3.3 Air thawing facilities shall be designed to thaw food under controlled conditions at a rate and temperature that does not contribute to product deterioration or contamination.

11.7.3.4 Provision is to be made for the containment and regular disposal of used cartons and packaging from thawed product so that there is no risk to the product.

#### **11.7.4 High Risk Processes**

11.7.4.1 The processing of high risk food shall be conducted under controlled conditions such that:

- i. Sensitive areas in which high risk food has undergone a "kill" step, a "food safety intervention" or is subject to post process handling, are protected/segregated from other processes, raw materials or staff who handle raw materials to ensure cross contamination is minimized;
- ii. Areas in which high risk processes are conducted are only serviced by staff dedicated to that function;
- iii. Staff access points are located, designed and equipped to enable staff to don distinctive protective clothing and to practice a high standard of personal hygiene to prevent product contamination;
- iv. Product transfer points are located and designed so as not to compromise high risk segregation and to minimize the risk of cross contamination; and
- v. An environmental monitoring program shall be in place for high risk areas. At a minimum, a written procedure detailing the applicable pathogens or indicator organisms to test for that industry, the number of samples to be taken and the frequency of sampling and corrective actions shall be documented. The responsibility and methods shall be documented and implemented. A sampling schedule shall be prepared.

#### **11.7.5 Control of Foreign Matter Contamination**

11.7.5.1 The responsibility and methods used to prevent foreign matter contamination of the product shall be documented, implemented and communicated to all staff.

11.7.5.2 Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated.

11.7.5.3 The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

11.7.5.4 The following preventative measures shall be implemented where applicable to prevent glass contamination:

- i. All glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location;

- ii. Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where the product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing /contact zones;
- iii. Conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register; and
- iv. Inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.

11.7.5.5 Wooden pallets and other wooden utensils used in food handling/contact zones shall be dedicated for that purpose, clean, maintained in good order. Their condition is subject to regular inspection.

11.7.5.6 Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

11.7.5.7 Knives and cutting instruments used in processing and packaging operations shall be controlled, and kept clean and well maintained.

#### **11.7.6 Detection of Foreign Objects**

11.7.6.1 The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented.

11.7.6.2 Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected.

11.7.6.3 Records shall be maintained of the inspection by foreign object detection devices, and their verification.

#### **11.7.7 Managing Foreign Matter Contamination Incidents**

11.7.7.1 In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of.

11.7.7.2 In circumstances where glass or similar material breakage occurs, the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.

### **11.8 On-Site Laboratories**

#### **11.8.1 Location**

11.8.1.1 On site laboratories shall be located separate from any food processing or handling activity and designed to limit access only to authorized personnel.

11.8.1.2 Provisions shall be made to isolate and contain all laboratory waste held on the premises and manage it separately from food waste. Laboratory waste water outlet shall as a minimum be down stream of drains that service food processing and handling areas.

11.8.1.3 Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel.

### **11.9 Waste Disposal**

#### **11.9.1 Dry and Liquid Waste Disposal**

11.9.1.1 The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.

11.9.1.2 Waste shall be removed on a regular basis and not build up in food handling or processing areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

11.9.1.3 Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.

11.9.1.4 Adequate provision shall be made for the disposal of all solid processing waste including trimmings, inedible material and used packaging. Waste held on site prior to disposal shall be stored in a separate storage facility and suitably fly proofed and contained so as not to present a hazard.

11.9.1.5 Adequate provision shall be made for the disposal of all liquid waste from processing and food handling areas. Liquid waste shall be either removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal so as not to present a hazard.

11.9.1.6 Reviews of the effectiveness of waste management will form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

### **11.10 Exterior**

#### **11.10.1 Grounds and Roadways**

11.10.1.1 The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.

11.10.1.2 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises.

11.10.1.3 Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.

11.10.1.4 Paths from amenities leading to facility entrances are required to be effectively sealed.

## Module 12: Food Safety Fundamentals – Good Distribution Practices for Transport and Distribution of Food Products (GFSI JI, and JII)

This module covers the Good Distribution Practice requirements for the transport and storage of perishable and non-perishable food and feed products.

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Module 12 is for distribution facilities that do not process or repackage. Those facilities that process food such as slicing, dicing, relabeling, and repackaging of products (i.e. a case of cucumbers that is received and repackaged and relabeled into smaller cases) must use the applicable module (i.e. module 10).

Applicable food sector categories (FSCs) are:

FSC 25: Fresh produce wholesaling and distribution

FSC 26: Food wholesaling and distribution

### 12.1 Site Requirements and Approval

#### 12.1.1 Premises Location

12.1.1.1 The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

#### 12.1.2 Construction and Operational Approval

The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.

### 12.2 Construction and Control of Product Handling and Storage Areas

#### 12.2.1 Materials and Surfaces

In warehouses where food products are recouped or exposed, product contact surfaces shall be constructed of materials that will not contribute a food safety risk.

#### 12.2.2 Floors, Drains and Waste Traps

12.2.2.1 Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

12.2.2.2 Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

#### 12.2.3 Walls, Partitions, Doors and Ceilings

12.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious, and shall be kept clean (refer to element 12.2.11.1)

12.2.3.2 Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.

12.2.3.3 Doors shall be of solid construction; and windows shall be made of shatterproof glass or similar material.

#### 12.2.4 Lighting and Light Fittings

12.2.4.1 Lighting in warehouses where food product is recouped or exposed shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

12.2.4.2 Light fittings in areas where food product is recouped or exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling.

12.2.4.3 Light fittings in other areas where product is protected shall be designed such as to prevent breakage and product contamination.

#### 12.2.5 Dust, Fly and Vermin Proofing

12.2.5.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.

12.2.5.2 Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.

12.2.5.3 External doors, including overhead dock doors, used for product, pedestrian or truck access shall be fly-proofed by at least one or a combination of the following methods:

- i. A self-closing device;
- ii. An effective air curtain;
- iii. A fly-proof screen; and
- iv. A fly-proof annex.
- v. Adequate sealing around trucks in docking areas

12.2.5.4 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to product, packaging, containers or processing equipment.

#### **12.2.6 Ventilation**

12.2.6.1 Adequate ventilation shall be provided in enclosed storage and food handling areas.

#### **12.2.7 Premises and Equipment Maintenance**

12.2.7.1 The methods and responsibility for the maintenance and repair of food storage areas, equipment and buildings shall be documented planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

12.2.7.2 Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any handling or storage area:

- i. Routine maintenance of food storage areas and equipment shall be performed according to a maintenance-control schedule and recorded;
- ii. Failures of facility and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule;
- iii. Compliance with the personnel and process hygiene requirements (refer to elements 12.3.1, 12.3.2, 12.3.3, 12.3.4) by maintenance staff and contractors;
- iv. Ensure warehouse supervisors are notified when maintenance or repairs are to be undertaken in any food handling area;
- v. Inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside processing times;
- vi. Remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.

12.2.7.3 The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality.

12.2.7.4 Equipment located over exposed product or product conveyors shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of product.

12.2.7.5 Paint used in a food handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface.

#### **12.2.8 Calibration**

12.2.8.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in the pre-requisite program, food safety plans and food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

12.2.8.2 Procedures shall be documented and implemented to address the disposition of potentially affected product should measuring, test and inspection equipment be found to be out of calibration state.

12.2.8.3 Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.

12.2.8.4 Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the supplier shall provide evidence to support the calibration reference method applied.

12.2.8.5 Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

12.2.8.6 Calibration records shall be maintained.

#### **12.2.9 Management of Pests and Vermin**

12.2.9.1 The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounds, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

12.2.9.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the pest elimination methods;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);

- viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station;
  - ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and
  - x. Measure the effectiveness of the program to verify the elimination of applicable pests.
- 12.2.9.3 Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.
- 12.2.9.4 Records of all pest control applications shall be maintained.
- 12.2.9.5 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 12.5.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.
- 12.2.9.6 Pest control contractors shall be:
- i. Licensed and approved by the local relevant authority;
  - ii. Use only trained and qualified operators who comply with regulatory requirements;
  - iii. Use only approved chemicals;
  - iv. Provide a pest control management plan (see Contract Services 2.3.3) which will include a site map indicating the location of bait stations and traps;
  - v. Report to a responsible senior management person on entering the premises and after the completion of inspections or treatments; and
  - vi. Provide a written report of their findings and the inspections and treatments applied.
- 12.2.9.7 The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that:
- i. Empty chemical containers are not reused;
  - ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and
  - iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

#### **12.2.10 Equipment, Utensils and Protective Clothing**

- 12.2.10.1 Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to the product.
- 12.2.10.2 Protective clothing in areas where food product is recouped or exposed shall be manufactured from material that is not liable to contaminate food and easily cleaned.
- 12.2.10.3 In areas where food product is recouped or exposed, racks shall be provided for the temporary storage of protective clothing when staff leaves the processing area and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

#### **12.2.11 Cleaning and Sanitation**

- 12.2.11.1 The methods and responsibility for the cleaning of the food handling and storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to:
- i. What is to be cleaned;
  - ii. How it is to be cleaned;
  - iii. When it is to be cleaned;
  - iv. Who is responsible for the cleaning; and
  - v. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.
- 12.2.11.2 Provision shall be made for the effective cleaning of equipment, utensils and protective clothing.
- 12.2.11.3 Suitably equipped areas shall be designated for cleaning product containers, utensils and protective clothing that are used by cleaning staff in cleaning, sanitizing, and maintaining the facility. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.
- 12.2.11.4 Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure food handling and storage areas, staff amenities and sanitary facilities and other essential areas are clean
- 12.2.11.5 The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.
- 12.2.11.6 Detergents and sanitizers that are used to clean, sanitize and maintain the facility shall be purchased in accordance with applicable legislation. The organization shall ensure:
- i. An inventory of all chemicals purchased and used shall be maintained;
  - ii. Detergents and chemicals are stored as outlined in 12.5.4;
  - iii. Material safety data sheets (MSDS) are provided for all detergents and sanitizers purchased; and

- iv. Only trained staff handles sanitizers and detergents.

12.2.11.7 The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use;
- ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

12.2.11.8 A record of pre-operational hygiene inspections, cleaning and sanitation activities, and verification activities shall be maintained.

## **12.3 Personnel Hygiene and Welfare**

### **12.3.1 Personnel**

12.3.1.1 Personnel suffering from infectious diseases or are carriers of, any infectious disease are not permitted to work in the distribution center or in the transportation of food, and shall not engage in food handling operations, or be permitted access to storage areas where the product is exposed.

12.3.1.2 Personnel with exposed cuts, sores or lesions shall not be engaged in handling exposed product or handling packaging materials or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with colored bandage, or an alternative suitable waterproof and colored dressing.

12.3.1.3 Smoking, chewing, eating, drinking or spitting is not permitted in any food handling or storage areas where the product is exposed.

### **12.3.2 Hand Washing**

12.3.2.1 Hand wash basins shall be provided, and in accessible locations throughout the facility as required.

12.3.2.2 Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with:

- i. A potable water supply at an appropriate temperature;
- ii. Liquid soap contained within a fixed dispenser;
- iii. Paper towels or effective hand dryer; and
- iv. A means of containing used paper towels.

12.3.2.3 A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position adjacent to hand wash stations.

12.3.2.4 Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors:

- i. After each visit to a toilet;
- ii. After smoking, eating or drinking; and
- iii. After handling wash down hoses or contaminated material.

12.3.2.5 When gloves are used, personnel shall maintain the hand washing practices outlined above.

### **12.3.3 Clothing**

12.3.3.1 Clothing worn by staff engaged in handling food shall be maintained, stored, laundered and worn so as not to present a contamination risk to product.

12.3.3.2 Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition.

### **12.3.4 Jewelry and Personal Effects**

12.3.4.1 Jewelry and other loose objects shall not be worn or taken into a food handling area or any area where food is recouped. The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted, however the supplier will need to consider their customer requirements and the applicable food legislation.

### **12.3.5 Visitors**

12.3.5.1 All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food handling area.

12.3.5.2 All visitors shall be required to remove jewelry and other loose objects.

12.3.5.3 Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or exposed.

12.3.5.4 Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personal practice requirements.

### **12.3.6 Staff Amenities**

12.3.6.1 Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of product.

### 12.3.7 Change Rooms

12.3.7.1 Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.

12.3.7.2 Provision shall be made for staff to store their street clothing and personal items separate from food contact zones and food and packaging storage areas.

### 12.3.8 Sanitary Facilities

12.3.8.1 Toilet rooms shall be:

- i. Designed and constructed so that they are accessible to staff and separate from any food handling operations;
- ii. Accessed from the warehouse or product handling area via an airlock vented to the exterior or through an adjoining room;
- iii. Sufficient in number for the maximum number of staff;
- iv. Constructed so that they can be easily cleaned and maintained; and
- v. Kept clean and tidy.

12.3.8.2 Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system. Procedure shall be documented and implemented to properly manage sewage back-ups in order to minimize the potential for contamination.

12.3.8.4 Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 12.3.2.2.

### 12.3.9 Lunch Rooms

12.3.9.1 Separate lunch room facilities shall be provided away from a food handling or storage areas. Lunch rooms shall be kept clean and tidy and free from waste materials and pests.

12.3.9.2 Signage in appropriate languages instructing people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

### 12.3.10 First Aid

12.3.10.1 First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

## 12.4 Personnel Processing Practices

### 12.4.1 Staff Engaged in Food Handling Operations

12.4.1.1 All personnel engaged in the direct handling of exposed food shall comply with the following practices:

- i. Personnel entry to food handling areas shall be through the personnel access doors only;
- ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or stock transfer;
- iii. The wearing of false fingernails or fingernail polish is not permitted when handling food;
- iv. Packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor;
- v. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate;
- vi. Staff shall not eat or taste any product being processed in the food handling/contact zone.

12.4.1.2 All personnel engaged in storage, transport and handling of packaged products and materials shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination.

## 12.5 Water, Ice and Air Supply

### 12.5.1 Water Supply

12.5.1.1 Adequate supplies of water drawn from a known clean source shall be provided for use during holding or storage and for cleaning the premises and equipment.

12.5.1.2 Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

### 12.5.2 Monitoring Water Microbiology and Quality

12.5.2.1 Water used for

- i. Product contact or food packaging materials;
- ii. cleaning food contact surfaces; and
- iii. the manufacture of ice

shall be suitable to the operation and comply with local, national or internationally recognized potable water microbiological and quality standards as required.

### 12.5.3 Water Delivery

- 12.5.3.1 The delivery of water within the premises shall ensure potable water is not contaminated.
- 12.5.3.2 The use of non-potable water shall be controlled such that:
  - i. There is no cross contamination between potable and non-potable water lines;
  - ii. Non-potable water piping and outlets are clearly identified.

### 12.5.4 Ice Supply

- 12.5.4.1 Ice provided to maintain product temperature shall comply with 12.5.2.
- 12.5.4.2 Ice rooms and receptacles shall be constructed of materials as outlined in elements 12.2.1, 12.2.2 and 12.2.4 and designed to minimize contamination of the ice during storage and distribution.

### 12.5.5 Analysis

- 12.5.5.1 Microbiological analysis of the water and ice supply identified in 12.5 shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.
- 12.5.5.2 Water and ice shall be analyzed using reference standards and methods.

### 12.5.6 Air Quality

- 12.5.6.1 Air, including compressed air used in the distribution facility shall be clean and present no risk to product safety.
- 12.5.6.2 Air used in the facility shall be regularly monitored for environmental contaminants.

## 12.6 Storage and Transport

### 12.6.1 Cold and Chilled Storage

- 12.6.1.1 The supplier shall provide confirmation of the effective operational performance of cold and chilled storage facilities. Cold and chilled storage rooms shall be:
  - i. Designed and constructed to allow for the hygienic and efficient refrigeration of food; and
  - ii. Easily accessible for inspection and cleaning.
- 12.6.1.2 Sufficient refrigeration capacity shall be available to store chilled or frozen food at the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.
- 12.6.1.3 Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.
- 12.6.1.4 Cold and chilled storage rooms shall be fitted with temperature monitoring equipment and located so as to monitor the warmest part of the room and be fitted with a temperature measurement device that is easily readable and accessible.
- 12.6.1.5 Loading and unloading docks shall be designed to protect product during loading and unloading.

### 12.6.2 Storage of Shelf Stable Packaged Goods

- 12.6.2.1 Rooms used for the storage of dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.
- 12.6.2.2 Racks provided for the storage of food products shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent food products becoming a harborage for pests or vermin.
- 12.6.2.3 Vehicles used in storage rooms shall be designed and operated so as not to present a food safety hazard.

### 12.6.3 Storage of Equipment and Containers

- 12.6.3.1 Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

### 12.6.4 Storage of Hazardous Chemicals and Toxic Substances

- 12.6.4.1 Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored or transported.

### 12.6.5 Alternative Storage and Handling of Goods

- 12.6.5.1 Where goods described in 12.5.1 to 12.5.4 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality.

### 12.6.6 Loading, Transport and Unloading Practices

- 12.6.6.1 The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Foods shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

### 12.6.7 Loading

- 12.6.7.1 Vehicles (trucks/vans/containers) used for transporting food shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product.

12.6.7.2 Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product integrity.

#### **12.6.8 Transport**

12.6.8.1 Refrigerated units shall maintain the food at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate.

12.6.8.2 The refrigeration unit shall be operational at all times and checks completed of the unit's operation, the door seals and the storage temperature checked at regular intervals during transit.

12.6.8.3 The refrigeration unit shall be monitored for environmental contaminants.

#### **12.6.9 Unloading**

12.6.9.1 Prior to opening the doors the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

12.6.9.2 Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining product and package integrity.

### **12.7 Control of Foreign Matter Contamination**

#### **12.7.1 Control of Foreign Matter**

12.7.1.1 The responsibility and methods used to prevent foreign matter contamination of product shall be documented, implemented and communicated to all staff.

12.7.1.2 Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated. The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

12.7.1.3 The following preventative measures shall be implemented where applicable to prevent glass contamination:

- i. All glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location;
- ii. Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing /contact zones;
- iii. Conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register; and
- iv. Inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.

12.7.1.4 Wooden pallets and other wooden utensils used in food handling and storage shall be dedicated for that purpose, clean, maintained in good order and their condition subject to regular inspection.

12.7.1.5 Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

#### **12.7.2 Managing Foreign Matter Contamination Incidents**

12.7.2.1 In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of.

12.7.2.2 In circumstances where glass or similar material breakage occurs the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.

### **12.8 Waste Disposal**

#### **12.8.1 Dry and Liquid Waste Disposal**

12.8.1.1 The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.

12.8.1.2 Waste shall be removed on a regular basis and not build up in food handling or storage areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

12.8.1.3 Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.

12.8.1.4 Reviews of the effectiveness of waste management will form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

## **12.9 Exterior**

### **12.9.1 Grounds and Roadways**

12.9.1.1 The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.

12.9.1.2 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises.

12.9.1.3 Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.

## Module 13: Food Safety Fundamentals – Good Manufacturing Practices for Production of Food Packaging (GFSI Scope M)

This module covers the Good Manufacturing Practices requirements for the production of food packaging.

Supplier implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

FSC 27: Production of food packaging

### 13.1 Site Requirements and Approval

#### 13.1.1 Premises Location

13.1.1.1 The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

#### 13.1.2 Construction and Operational Approval

13.1.2.1 The construction and on-going operation of the premises on the site shall be approved by the relevant authority.

### 13.2 Construction and Control of Product Handling and Storage Areas

#### 13.2.1 Materials and Surfaces

13.2.1.1 In facilities where food contact packaging is manufactured, product contact surfaces shall be constructed of materials that will not contribute a food safety risk.

#### 13.2.2 Floors, Drains and Waste Traps

13.2.2.1 Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

13.2.2.2 Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

13.2.2.3 Waste trap system shall be located away from any food and material handling area or entrance to the premises.

#### 13.2.3 Walls, Partitions, Doors and Ceilings

13.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction and fit for purpose.

13.2.3.2 Wall to wall and wall to floor junctions shall be designed to be easily cleaned and sealed to prevent the accumulation of food debris.

13.2.3.3 Doors shall be of solid construction and windows shall be made of shatterproof glass or similar material.

#### 13.2.4 Lighting and Light Fittings

13.2.4.1 Lighting in premises where food contact packaging is manufactured shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

13.2.4.2 Light fittings in such areas shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling.

13.2.4.3 Light fittings in other areas where product is stored shall be designed such as to prevent breakage and product contamination.

#### 13.2.5 Dust, Fly and Vermin Proofing

13.2.5.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.

13.2.5.2 Personnel access doors shall be provided. They shall be effectively fly-proofed and fitted with a self-closing device.

13.2.5.3 External doors, including overhead dock doors, used for product, pedestrian or truck access shall be fly-proofed.

13.2.5.4 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to packaging, or manufacturing equipment.

#### 13.2.6 Ventilation

13.2.6.1 Adequate ventilation shall be provided in areas where food contact packaging is manufactured and stored.

#### 13.2.7 Premises and Equipment Maintenance

13.2.7.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

13.2.7.2 Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any handling or storage area:

- i. Routine maintenance of plant and equipment shall be performed according to a maintenance-control schedule and recorded;
- ii. Failures of plant and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule;
- iii. Compliance with the personnel and process hygiene requirements (refer to elements 13.3.1, 13.3.2, 13.3.3, 13.3.4) by maintenance staff and contractors;
- iv. Ensure area supervisors are notified when maintenance or repairs are to be undertaken in any packaging manufacturing area;
- v. Inform the maintenance supervisor and the facility supervisor if any repairs or maintenance that pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance is to be conducted outside manufacturing times;
- vi. Remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed prior to the commencement of facility operations.

13.2.7.3 The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality.

13.2.7.4 Equipment located over product or product conveyors shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of the product. Machinery lubricant controls shall be in place to prevent contamination of packaging materials from gear box oils, bearing lubricants, hydraulics, or any other source.

13.2.7.5 Paint used in a production area shall be suitable for use and in good condition and shall not be used on any product contact surface.

#### **13.2.8 Calibration**

13.2.8.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in the pre-requisite program, food safety plans and food quality plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

13.2.8.2 Procedures shall be documented and implemented to address the disposition of potentially affected product should measuring, test and inspection equipment be found to be out of calibration state.

13.2.8.3 Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment.

13.2.8.4 Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available the supplier shall provide evidence to support the calibration reference method applied.

13.2.8.5 Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

13.2.8.6 Calibration records shall be maintained.

#### **13.2.9 Management of Pests and Vermin**

13.2.9.1 The methods and responsibility for integrated pest management shall be documented and effectively implemented. The premises, its surrounds, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

13.2.9.2 The pest and vermin management program shall:

- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
- ii. Identify the target pests for each pesticide application;
- iii. Outline the methods used to prevent pest problems;
- iv. Outline the pest elimination methods;
- v. Outline the frequency with which pest status is to be checked;
- vi. Include on a site map the identification, location, number and type of bait stations set;
- vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
- viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station;
- ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits; and
- x. Measure the effectiveness of the program to verify the elimination of applicable pests.

13.2.9.3 Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.

13.2.9.4 Records of all pest control applications shall be maintained.

13.2.9.5 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 13.6.3 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food contact packaging.

13.2.9.6 Pest control contractors shall be:

- i. Licensed and approved by the local relevant authority;
- ii. Use only trained and qualified operators who comply with regulatory requirements;
- iii. Use only approved chemicals;
- iv. Provide a pest control management plan (see Contract Services 2.3.3) which will include a site map indicating the location of bait stations and traps;
- v. Report to a responsible senior management person on entering the premises and after the completion of inspections or treatments; and
- vi. Provide a written report of their findings and the inspections and treatments applied.

13.2.9.7 The supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not reused;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

### **13.2.10 Equipment, Utensils and Protective Clothing**

13.2.10.1 Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to the product.

13.2.10.2 Protective clothing shall be manufactured from material that is not liable to contaminate food and can be easily cleaned.

13.2.10.3 Racks shall be provided for the temporary storage of protective clothing when staff leaves the processing area and shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

### **13.2.11 Cleaning and Sanitation**

13.2.11.1 The methods and responsibility for the cleaning of manufacturing and storage areas, staff amenities and toilet facilities shall be documented and implemented.

13.2.11.2 Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing.

13.2.11.3 Suitably equipped areas shall be designated for cleaning product containers, utensils and cleaning staffs protective clothing. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.

13.2.11.4 Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure manufacturing and storage areas, staff amenities and sanitary facilities and other essential areas are clean.

13.2.11.5 The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.

13.2.11.6 Detergents and sanitizers shall be purchased in accordance with applicable legislation. The organization shall ensure:

- i. An inventory of all chemicals purchased and used shall be maintained;
- ii. Detergents and chemicals are stored as outlined in element 13.6.3;
- iii. Material Safety Data Sheets (MSDS) are provided for all detergents and sanitizers purchased; and
- iv. Only trained staff handles sanitizers and detergents.

13.2.11.7 The supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use;
- ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

## **13.3 Personnel Hygiene and Welfare**

### **13.3.1 Personnel**

13.3.1.1 Personnel suffering from infectious diseases or are carriers of, any infectious disease shall not engage in the manufacture of food contact packaging, or storage areas where food contact packaging is exposed.

13.3.1.2 Personnel with exposed cuts, sores or lesions shall not be engaged in handling product or handling packaging materials. Minor cuts or abrasions on exposed parts of the body shall be covered with colored bandage containing a metal strip or an alternative suitable waterproof and colored dressing.

13.3.1.3 Smoking, chewing, eating, drinking or spitting is not permitted in any food handling or storage areas where product is exposed.

### **13.3.2 Hand Washing**

13.3.2.1 Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout manufacturing area as required.

13.3.2.2 Hand wash basins shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with:

- i. A potable water supply at an appropriate temperature;
- ii. Liquid soap contained within a fixed dispenser;
- iii. Paper towels or effective hand dryer; and
- iv. A means of containing used paper towels.

13.3.2.3 A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position adjacent to hand wash stations.

13.3.2.4 Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors:

- i. On entering product contact areas;
- ii. After each visit to a toilet;
- iii. After using a handkerchief;
- iv. After smoking, eating or drinking; and
- v. After handling contaminated material.

13.3.2.5 When gloves are used, personnel shall maintain the hand washing practices outlined above.

### **13.3.3 Clothing**

13.3.3.1 Clothing worn by staff engaged in handling food contact packaging shall be maintained, stored, laundered and worn so as not to present a contamination risk to products.

13.3.3.2 Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition. Excessively soiled uniforms shall be changed where they present a product contamination risk.

### **13.3.4 Jewelry and Personal Effects**

13.3.4.1 Jewelry and other loose objects shall not be worn or taken into a product handling area or any area where packaging is exposed.

13.3.4.2 The wearing of plain bands with no stones and medical alert bracelets that cannot be removed can be permitted, however the supplier will need to consider their customer requirements and the applicable food legislation.

### **13.3.5 Visitors**

13.3.5.1 All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any packaging handling or storage area.

13.3.5.2 Visitors shall enter and exit packaging handling or storage area through the proper staff entrance points and comply with all hand washing and personal practice requirements.

### **13.3.6 Staff Amenities**

13.3.6.1 Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and storage of food contact packaging.

### **13.3.7 Change Rooms**

13.3.7.1 Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.

13.3.7.2 Provision shall be made for staff to store their street clothing and personal items separate from packaging handling or storage areas.

### **13.3.8 Sanitary Facilities**

13.3.8.1 Toilet rooms shall be:

- i. designed and constructed so that they are accessible to staff and separate from any packaging handling or storage operations;
- ii. accessed from the manufacturing area via an airlock vented to the exterior or through an adjoining room;
- iii. sufficient in number for the maximum number of staff;
- iv. constructed so that they can be easily cleaned and maintained; and
- v. kept clean and tidy.

13.3.8.2 Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system. Procedure shall be documented and implemented to properly manage sewage back-ups in order to minimize the potential for contamination.

13.3.8.3 Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 13.3.2.3.

#### **13.3.9 Lunch Rooms**

13.3.9.1 Separate lunch room facilities shall be provided away from packaging handling or storage areas. Lunch rooms shall be kept clean and tidy and free from waste materials and pests.

13.3.9.2 Signage in appropriate languages instructing people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

#### **13.3.10 First Aid**

13.3.10.1 First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

### **13.4 Personnel Practices**

#### **13.4.1 Staff Engaged in Handling of Food Contact Packaging**

13.4.1.1 All personnel engaged in any packaging handling and storage operations shall comply with the following practices:

- i. Personnel entry to manufacturing areas shall be through the personnel access doors only;
- ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required;
- iii. Packaging material shall be kept in appropriate containers as required and off the floor;
- iv. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate.

13.4.1.2 The manufacturing process shall be controlled such that the packaging material produced is food safe and free from contamination. Procedures shall be in place to prevent cross contamination of food contact packaging from raw materials, recycled materials, or chemicals.

13.4.1.3 All personnel engaged in the manufacture, storage, transport and handling of packaging materials shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination.

### **13.5 Water and Air Supply**

#### **13.5.1 Water Supply**

13.5.1.1 Adequate supplies of clean water shall be provided for use during manufacturing operations, as an ingredient and for cleaning the premises and equipment.

13.5.1.2 Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

#### **13.5.2 Monitoring Water Microbiology and Quality**

13.5.2.1 Water used for

- i. The manufacture of food contact packaging;
- ii. Cleaning product contact surfaces;
- iii. The manufacture of steam that will come in contact with packaging;

shall comply with local, national or internationally recognized potable water microbiological and quality standards as required.

#### **13.5.3 Water Delivery**

13.5.3.1 The delivery of water within the premises shall ensure potable water is not contaminated.

13.5.3.2 The use of non-potable water shall be controlled such that:

- i. There is no cross contamination between potable and non-potable water lines;
- ii. Non-potable water piping and outlets are clearly identified; and

#### **13.5.4 Air Quality**

13.5.4.1 Compressed air used in the manufacturing process shall be clean and present no risk to food safety;

13.5.4.2 Compressed air used in the manufacturing process shall be regularly monitored for purity.

### **13.6 Storage and Transport**

#### **13.6.1 Storage of Food Contact Packaging**

13.6.1.1 Rooms used for the storage of food contact packaging shall be located away from wet areas and constructed to protect the product from contamination and deterioration.

13.6.1.2 Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room.

13.6.1.3 Vehicles used in storage rooms shall be designed and operated so as not to present a food safety hazard.

#### **13.6.2 Storage of Equipment**

13.6.2.1 Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment.

#### **13.6.3 Storage of Hazardous Chemicals and Toxic Substances**

13.6.3.1 Hazardous chemicals and toxic substances with the potential for contamination of packaging materials shall be stored so as not to present a hazard to staff, packaging, or areas in which packaging is handled, stored or transported.

#### **13.6.4 Alternative Storage and Handling of Goods**

13.6.4.1 Where goods described in 13.6.1 to 13.6.3 are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality.

#### **13.6.5 Loading, Transport and Unloading Practices**

13.6.5.1 The practices applied during loading, transport and unloading of food contact packaging shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Packaging shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

#### **13.6.6 Loading/Unloading**

13.6.6.1 Vehicles (trucks/vans/containers) used for transporting of food contact packaging shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product.

13.6.6.2 Loading practices shall be designed to minimize unnecessary exposure of product to conditions detrimental to maintaining product integrity.

### **13.7 Separation of Function**

#### **13.7.1 Process Flow**

13.7.1.1 The process flow shall be designed to prevent cross-contamination and organized so that there is a continuous flow of product through the process.

13.7.1.2 The flow of personnel shall be managed such that the potential for contamination is minimized.

#### **13.7.2 Control of Foreign Matter**

13.7.2.1 The responsibility and methods used to prevent foreign matter contamination of product shall be documented, implemented and communicated to all staff.

13.7.2.2 Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated. The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

13.7.2.3 The following preventative measures shall be implemented where applicable to prevent glass contamination:

- i. All glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location;
- ii. Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing /contact zones;
- iii. Conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register; and
- iv. Inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.

13.7.1.4 Wooden pallets and other wooden utensils used in packaging handling and storage shall be dedicated for that purpose, clean, maintained in good order and their condition subject to regular inspection.

13.7.2.5 Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

#### **13.7.3 Managing Foreign Matter Contamination Incidents**

13.7.3.1 In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of.

13.7.3.2 In circumstances where glass or similar material breakage occurs the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations.

## **13.8 Waste Disposal**

### **13.8.1 Dry and Liquid Waste Disposal**

13.8.1.1 The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.

13.8.1.2 Waste shall be removed on a regular basis and not build up in food handling or storage areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

13.8.1.3 Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract pests and other vermin.

13.8.1.4 A documented procedure shall be in place for the controlled disposal of trademarked or other printed materials. Where a contracted disposal service is used, the disposal process shall be reviewed regularly to confirm compliance.

13.8.1.5 Reviews of the effectiveness of waste management will form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

## **13.9 Exterior**

### **13.9.1 Grounds and Roadways**

13.9.1.1 The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.

13.9.1.2 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises.

13.9.1.3 Surroundings shall be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises.

## **Module 14: Food Safety Fundamentals – Good Manufacturing Practices for Food Brokers and Agents (GFSI Scope N)**

This module covers the Good Manufacturing Practices requirements for the brokers or agents supplying finished food or feed products

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

FSC 35: Broker or agent

**Available Soon**

## **Module 15: Food Safety Fundamentals: - Good Manufacturing Practices for Food Catering, Wholesale and Retail (GFSI G, H)**

This module covers the Good Manufacturing Practices requirements for retail or wholesale supply of food products and food catering operations

Suppliers implementing this module must also meet the requirements of Module 2: SQF System Elements.

Applicable food sector categories (FSCs) are:

FSC 24: Food retail

FSC 23: Food catering and food service operations

**Available Soon**

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## Module 16: Requirements for SQF Multi-site Programs Managed by a Central Site

### 16.1 Scope

16.1.1 This module outlines the requirements for establishing and maintaining certification of a multi-site program that is managed by an SQF certified central site.

### 16.2 Definitions

16.2.1 An SQF multi-site program is comprised of a central site under which activities are planned to manage and control the food safety and quality management systems of a network of sub-sites under a legal or contractual link.

16.2.2 For the purpose of this Code the definitions outlined in *Appendix 2: Glossary of Terms* and the following definitions apply.

16.2.3 Central-site is an entity certified to the SQF Code (i.e. manufacturer, packer, warehouse), or eligible for such certification, that has a network of primary producer sub-sites that are eligible for certification to the SQF Code and are all involved in the same production activity.

### 16.3 Eligibility Criteria for the Multi-site Organization

16.3.1 The central site is the entity responsible for the SQF multi-site program.

16.3.2 Sub-sites shall be linked to the central site by a legal or contractual arrangement.

16.3.3 Central sites shall implement an SQF System that includes management of the sub-sites and internal audit of the sub-sites. The central site shall be at the same level as the sub-sites, or a higher level.

16.3.4 Sub-sites shall implement a common, SQF System which is subject to continuous surveillance by the central site. All sub-sites shall be at the same level.

16.3.5 The central site shall implement corrective actions when needed in any sub-site. This shall be laid down in the contract between the central site and the sub-sites.

16.3.6 The product(s) supplied by each of the sub-sites shall be substantially of the same kind and produced according to the same fundamental methods and procedures.

16.3.7 The central site shall establish and maintain SQF Certification for the duration of the SQF multi-site program.

16.3.8 The central site's SQF management system shall be administered under a centrally controlled plan and be subject to central management review.

16.3.9 The central site shall demonstrate an ability to collect and analyze data from all sites, including the central site, and have the authority and ability to initiate organizational change if required.

16.3.10 The central administration function and the sub-sites shall be subject to the central site's internal audit program and shall be audited in accordance with that program and prior to the certification audit.

### 16.4 Internal Audits

16.4.1 The central site shall document its internal audit procedure which shall include an internal audit schedule and outline the method of conducting audits of sub-sites and the central site administrative function.

16.4.2 An internal audit which includes all relevant elements of module 2, and the GAP or GMP module(s) applicable to the food sector category, shall be conducted at least once per year, and during periods of peak activity.

### 16.5 Internal Audit Personnel

16.5.1 Personnel conducting internal audits shall:

- i. Successfully complete the Implementing SQF Systems training course
- ii. Attend internal auditor training
- iii. Have competence in the same food sector category as the internal audit

16.5.2 Personnel reviewing the internal audits of the multi-site organization and evaluating the results of those internal audits shall be separate from personnel conducting the internal audits and be trained in internal audit procedures and be registered as an SQF consultant or an SQF auditor.

16.5.3 It is acceptable for the central site to contract out the internal audit function provided the contractor is registered as an SQF consultant or an SQF auditor.

16.5.4 Where the internal audit function is contracted out the central site shall be accountable for the actions and effectiveness of the work completed by the contractor.

16.5.5 Contract arrangements shall comply with 2.3.3 of the SQF Code.

## 16.6 Auditing and Certifying the Multi-site Organization

16.6.1 Audits and certification of an SQF multi-site organization shall be completed by SQF licensed and accredited certification bodies. The third party audit involves:

- i The certification audit (including desk and facility audit);
- ii Surveillance audits; and
- iii Re-certification audits.

16.6.2 The, certification audit and subsequent surveillance and re-certification audits of the multi-site organization shall be centered on the SQF central site, the central site's internal audit function and a sample of the sub-sites.

## 16.7 Audit Frequency

16.7.1 For low risk foods, the certification audit of the central site and a sample (refer to element 16.10) of sub-sites are conducted every twelve months.

16.7.2 Re-certification audits for each site are conducted on the anniversary of the last day of the last certification audit, plus or minus 30 calendar days.

16.7.3 Surveillance audits are conducted for any site in the multi-site program that receives a 'C' rating. Surveillance audits are conducted six (6) months from the last day of the last certification audit, plus or minus 30 calendar days

16.7.4 If the central site or any one of the sampled sub-sites is identified as having a critical non-conformity at audit, or otherwise achieves only an "F" – Fails to comply" rating, the certificates for the central site and all sub-sites shall be suspended until such time as a "C – Complies" rating or better is achieved at a further round of audits at the central site and a sample of sub-sites.

## 16.8 Selecting the Sub-site

16.8.1 The selection of the sample is the responsibility of the certification body.

16.8.2 The sample is partly selective based on the factors set out below and partly non-selective, and shall result in a range of different sub-sites being selected, without excluding the random element of sampling. At least 25% of the sub-sites selected shall be based on random selection.

16.8.3 The sample of sub-sites shall be selected so that the differences among the selected sub-sites over the period of validity of the certificate of registration are as large as possible.

16.8.4 The sub-site selection criteria shall include among others the following aspects:

- i Results of internal audits or previous certification assessments;
- ii Records of complaints and other relevant aspects of correction and corrective action;
- iii Significant variations in the size of the sub-sites;
- iv Variations in the work procedures;
- v Modifications since the last certification assessment; and
- vi Geographical dispersion.
- vii New growers added into the program

16.8.5 The central site shall be informed of the sub-sites that will comprise the sample and be allowed adequate time to prepare for the audit.

16.8.6 The central site's SQF System, including its sub-site internal audit procedure, shall be assessed during the certification audit and each surveillance (if applicable) and re-certification audit.

## 16.9 Determining the Size of the Sub-sites Sample

16.9.1 The certification body shall record the justification for applying a sample size outside that described in this clause.

16.9.2 For low risk activity at each sub-site, the minimum number of sub-sites to be audited at a certification audit, re-certification audit, or surveillance audit (if required) is the square root of the number of sub-sites with 1.5 as a co-efficient ( $y=1.5\sqrt{x}$ ), rounded to the higher whole number.

16.9.3 For high risk activity at each sub-site, the minimum number of sub-sites to be audited at a certification audit, re-certification audit, and surveillance audit is the square root of the number of sub-sites with 2.0 as a co-efficient ( $y=2\sqrt{x}$ ), rounded to the upper whole number.

16.9.4 The size of sample shall be increased where the certification body's risk analysis of the activity covered by the management system subject to certification indicates special circumstances in respect of factors like:

- i Major variations in processes undertaken at each sub-site;
- ii Records of complaints and other relevant aspects of correction and corrective action;
- iii Indication of an overall breakdown of food safety controls; or

iv Inadequate internal audits or action arising from internal audit findings.

### 16.10 Additional Sub-sites

16.10.1 On the application of a new group of sub-sites to join an already certified SQF multi-site program, each new group of sub-sites shall be considered as an independent set for the determination of the sample size. After inclusion of the new group in the certification, the new sub-sites shall be cumulated to the previous ones for determining the sample size for future surveillance or re-certification audits.

### 16.11 Dealing with Non-conformities

16.11.1 When non-conformities are found at any individual sub-site through the central site's internal auditing, investigation shall take place to determine whether the other sub-sites may be affected. The certification body shall require evidence that the central site has taken action to rectify all non-conformities found during internal audits and that all non-conformities are reviewed to determine whether they indicate an overall system deficiency applicable to all sub-sites or not. If they are found to do so, appropriate corrective action shall be taken both at the central site and at the individual sub-sites. The central site shall demonstrate to the certification body the justification for all follow-up action.

16.11.2 When non-conformities are found at the central site or at any individual sub-site through auditing by the certification body, action shall be taken by the certification body as outlined in Part A, 3.2.

16.11.3 When non-conformities are found at the central site, the certification body shall increase its sampling frequency until it is satisfied that control has been re-established by the central site.

16.11.4 At the time of the initial certification and subsequent re-certification a certificate of registration shall not be issued to the central site and sub-sites until satisfactory corrective action is taken to close out all Non-conformances.

16.11.5 It shall not be admissible that, in order to overcome the obstacle raised by the existence of non-conformity at a single sub-site, the central site seeks to exclude from the scope of certification the "problematic" sub-site during the certification, surveillance or re-certification audit.

### 16.12 Certificate Issued for a Multi-site Organization

16.12.1 A certificate of registration shall be issued to the central site and all sub-sites within the SQF multi-site program. The central site's certificate of registration shall include an appendix listing all sub-sites participating in the multi-site program. The sub-site certification shall state within its scope of certification that it is part of a multi-site certification. The format for the certificate of registration and the appendix list is provided by the SQF Institute.

16.12.2 The certification date for the central site and sub-sites shall be the date of the last audit conducted in that certification cycle. The certificate expiry date shall be based on the certificate decision of the last date of the sub-site audit.

16.12.3 The certificate of registration will be withdrawn in its entirety, if the central site or any of the sub-sites do not fulfill the necessary criteria for the maintaining of the certificate of registration.

16.12.4 The list of sub-sites shall be kept updated by the central site. The central site shall inform the certification body about the closure of any of the sub-sites or the addition of new sub-sites. Failure to provide such information will be considered by the certification body as a misuse of the certificate of registration, and the multi-site organization's certificate of registration shall be suspended until the matter is corrected to the satisfaction of the certification body.

16.12.5 Additional sub-sites shall be added to an existing certification as the result of surveillance or re-certification audits.

16.12.6 Where a primary sub-site has 4 or more secondary sites (e.g. growing areas), the primary location shall be audited and 50% of the secondary sites. More than 50% can be audited if there is evidence that there are grounds to justify the further audit time.

16.12.7 Surveillance audits are only required if a central site receives a "C - Complies" rating. If any sub-site fails the audit, all certificates, including the central-site certificate, will be withheld or suspended/withdrawn if already issued. Suspension or withdrawal would remain in effect until all sub-sites within the group are certified.

### 16.13 Quality Shield Issued for a Multi-site Organization

16.13.1 The SQF quality shield is issued by the certification body to level 3 certified multi-sites. The central site and all sub-sites will be issued a logo referencing the central site's certification number. Reference *Appendix 3: SQF Quality Shield and Logo Rules of Use*.

16.13.2 If any site within the multi-site has their certificate suspended or withdrawn, all sites within the multi-site must comply with clause 5 and 6 of the SQF Quality Shield section of *Appendix 3: SQF Quality Shield and Logo Rules of Use*.

## Appendix 1: SQF Food Sector Categories

No.	Category (Supplier Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
1	<b>Production, Capture and Harvesting of Livestock and Game Animals:</b> Free Range Animal Production Intensive Animal Production Dairy farming Game Animals Apiculture	AI: Farming of Animals	Module 2: System elements Module 5: GAP for farming of animal products	Applies to the capture, transport, holding, intensive animal husbandry and free range farming of animals, but does not include fish.	Includes: Deer, cattle, goats, sheep, pigs, poultry, ostrich, emu, egg, etc. Cattle, veal, lamb, pigs, poultry, eggs Cattle, sheep and goats Buffalo, wild pigs, emu Bees	Low risk
2	<b>Growing and Harvesting of Animal Feeds</b>	FI: Production of Single Ingredient Feed	Module 2: System elements Module 3: GAP for animal feed production	Applies to the production, harvesting, transport and storage of all non-processed sources of animal feeds. <i>Excludes manufactured animal feed.</i>	Includes pasture, silage and hay.	Low risk
3	<b>Growing and Production of Fresh Produce:</b> Fresh produce that will undergo further processing Ready-to-Eat (RTE) Produce	BI: Farming of Plant Products	Module 2: System elements Module 7: GAP for farming of fruit and vegetable products	Applies to the production, harvesting, preparation, field packing, transport and controlled temperature storage of fresh whole fruit and vegetables. Includes all products grown under broad acre and intensive horticulture production System, including orchards, viticulture, and hydroponics production and nursery operations.	All fruit and vegetable varieties including: Tropical and temperate tree fruits, carrots, beets, potatoes, wine grapes Table grapes, strawberries, raspberries, blueberries, all forms of leafy greens, spring mix, tomatoes, peppers, herbs and spices and tomatoes, green onions, baby spinach, lettuce, melons etc.	Generally low risk. Some products are classified as high risk
4	<b>Fresh Produce Pack house Operations</b>	D: Pre-processing of Plant Products	Module 2: System elements Module 10: GMP for pre-processing of plant products	Applies to the packing, sorting, grading, cleaning, controlled atmosphere temperature storage and transport of fresh and pre-packaged whole unprocessed fruits and vegetables for retail sale or further processing.	Includes all fruit and vegetable varieties which are packed in pack houses and which may undergo controlled atmosphere storage and transport.	Low risk
5	<b>Extensive Broad Acre Agriculture Operations and Seed Production</b>	BI: Farming of Grains and Pulses	Module 2: System elements Module 8: GAP for farming of grains and pulses	Applies to the production, harvesting, preparation, transport and storage of cereal and other grains.	All grain and cereal varieties including but not limited to wheat, oats, pulse crops, soy, legumes, maize, corn and cotton Mung bean seeds, alfalfa seeds, Watercress seeds.	Generally low risk, although some products and processes are classified as high risk.

No.	Category (Supplier Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
6	<b>Harvest and Intensive Farming of Fish</b> Wild Caught Fish Aquaculture and RTE fish.	All: Farming of Fish and Seafood	Module 2: System elements Module 6: GAP for farming of fish	Applies to the harvest and wild capture and intensive farming of freshwater and marine fishes and shellfish, including purification, transport and storage and extends to gilling, gutting, shucking and chilling operations at sea.	All fresh and salt water fish and shellfish species including: Tuna, abalone, lobster, shrimp, salmon, snapper and other finfish spp. Tuna, oysters, mussels, salmon, tilapia, shrimp, bass, catfish etc.	Generally low risk, although some products and processes are classified as high risk.
7	<b>Slaughterhouse, Boning and Butchery Operations:</b> Red Meat Poultry Meat	C: pre-process handling of animal products	Module 2: System elements Module 9: GMP for pre-processing of animal products	Applies to the slaughtering, dressing, processing, transport, storage, chilling, freezing and wholesaling of all animal species and game animals for consumption and extends to all meat cuts.	Includes uncooked poultry, pork and red meat animal species prepared in retail butcher shops, boning rooms and meat wholesale markets, including ground (minced) meats. Bone in and whole muscle fillet for pork and red meat species including ground (minced) red meat. Bone in and whole muscle poultry fillet and ground (minced) poultry meat.	Low risk
8	<b>Processing of Manufactured Meats and Poultry</b>	EI: Processing of Perishable Animal Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, manufacture, transport and storage operations where meat (all red meat species and poultry) is the major ingredient including all value-adding operations (i.e. cook-chill, crumbing, curing, smoking, cooking, drying, fermenting and vacuum packing) and chilling and freezing operations, but not canning of meat or poultry product.	Includes poultry, pork and red meats blends and raw heat-treated and fermented poultry, pork and red meats including salami, hot dogs, sausages, bacon, pepperoni, and meat pastes etc.	High risk product and process knowledge required
9	<b>Seafood Processing:</b> Raw fish and fishery products Uncooked RTE Fish Cooked RTE Fish	EI: Processing of Perishable Animal Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, manufacture, transport and storage of all fish species and extends to value-adding operations including dismembering, fermenting, crumbing, smoking, cooking freezing, chilling, drying and vacuum packing, but not canning of fish product.	Includes: Whole fish, fish fillets, reformed fish cakes, coated fish portions uncooked fish product Sashimi, sushi and raw uncooked shellfish such as oyster and mussels Includes, surimi smoked cooked fish products chilled or frozen that require no further cooking prior to consumption.	Some products are classified high risk. Uncooked RTE product is high risk and process knowledge required
10	<b>Dairy Food Processing</b>	EI: Processing of Perishable Animal Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of food products from all species used for milk collection and extends to all value-adding operations including freezing, pasteurizing, ultra filtration, evaporation/concentration, fermentation, clarification, culturing and spray drying of	Includes all milk collection and includes milk and cream, butter, cottage cheese, sour cream, all forms of cheese, yogurt, ice cream and dried milk. Includes milk substitutes such as soymilk and tofu (where the process and technology is essentially the same). Also includes	High risk product and process knowledge required

No.	Category (Supplier Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
				milk but not UHT operations. (refer FSC 15)	infant formula.	
11	<b>Honey Processing</b>	EI: Processing of Perishable Animal Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of food products from all species used for honey collection including value-added operations. Includes clarifying and treatment operations.	Includes honeycomb; pollen and royal jelly	Some high risk process knowledge required
12	<b>Egg Processing</b>	EI: Processing of Perishable Animal Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of food products from all species used for egg collection and processing.	Fresh shell eggs including value-added products where egg is the major ingredient.	High risk product; Generally low risk process
13	<b>Bakery and Snack Food Processing</b>	EIV: Processing of Ambient Stable Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of extruded snack foods and cake mix formulations and extends to all bakery operations.	Includes baked items such as meat pies, custard pies, bread, cookies, cakes and mixes and all varieties of snack food.	Some high risk process knowledge required
14	<b>Fruit and Vegetable Processing</b>	EII: Processing or Perishable Plant Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, transport, storage and distribution of all processed fruit and vegetable varieties including freezing, fermenting drying, slicing, dicing, cutting, and modified atmosphere processing of all fruits and vegetables. Does not include fruit or vegetable juice manufacture or the canning of fruits and vegetables.	Includes frozen. Fermented, dried, sliced, diced, cut, and modified atmosphere packaged (MAP) fruit and vegetable products including prepared and deli salads.	Some high risk process knowledge required
15	<b>Canning (except dairy), Pasteurizing, UHT and Aseptic Operations</b>	EIV: Processing of Ambient Stable Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of low acid canned foods, and sterilization (retorting) UHT, or other high temperature processes not covered elsewhere and the manufacture of the associated hermetically sealed containers.	Includes: The commercial sterilization of fish, meats, fruits and vegetables and other low acid soups and sauces in metal or glass containers or retort pouches. Pasteurized juice. The UHT treatment of <ul style="list-style-type: none"> <li>• Pasteurized canned and chilled crab meat;</li> <li>• Milk or milk products; or</li> <li>• Egg or egg products; or</li> <li>• Fruit or vegetable juices.</li> </ul>	High risk product and process knowledge required
16	<b>Ice, Drink and Beverage Processing</b>	EIV: Processing of Ambient Stable Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to fermentation, concentration aseptic filling or drying operations processes. Excludes powdered milk and pasteurization and UHT treatment of milk or milk products or fruit and vegetable juicing operations.	Includes unpasteurized fruit or vegetable juice cordial, carbonated soft drinks, carbonated and non-carbonated waters, mineral water, ice, wine, beer and other alcoholic beverages, powdered beverage formulations and tea and coffee products.	Some high risk process knowledge required
17	<b>Confectionary</b>	EIV: Processing of	Module 2: System elements	Applies to the preparation, transport and	Includes all confectionary products	Some high risk

No.	Category (Supplier Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
	<b>Manufacturing</b>	Ambient Stable Products	Module 11: GMP for processing of food products	storage of all types of confectionary and extends to all chocolate and imitation chocolate-based processing.	which undergo refining, conching, starch molding, compression, extrusion and vacuum cooking.	process knowledge required
18	<b>Preserved Foods Manufacture</b>	EIV: Processing of Ambient Stable Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of all foods preserved under high temperature processes not covered elsewhere, compositionally preserved foods that are not high temperature processed or other alternative acceptable methods not covered elsewhere.	Includes dressings, mayonnaise, sauces, marinades, pickled foods, peanut butter, mustards, jams and fillings.	Some high risk process knowledge required
19	<b>Food Ingredient Manufacture</b>	L: Production of Bio-chemicals	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, blending, re-packaging transport and storage of dry food ingredients including cultures and yeast, but excludes dairy products, fermented meats or other fermented products mentioned elsewhere.	Includes starter cultures used in cheese, yogurt and wine manufacture and cultures used in the baking industry and other products such as vinegar used for the preservation of foods. Other additional products include additives, preservatives, flavorings, colorings, soup mixes, sauces, dehydrated culinary products, salt, sugar, spices and other condiments.	Some high risk process knowledge required
20	<b>Recipe Meals Manufacture</b>	EIII: Processing of Perishable Animal and Plant Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing, receipt, controlled temperature storage and transport of foods prepared from a range of ingredients (mixed foods) that require cooking or heating prior to serving.	Includes RTE chilled meals and deserts, frozen meals, pizza, frozen pasta, soups, and meal solutions, sous vide products, and freeze-dried and dehydrated meals.	High risk product and process knowledge required
21	<b>Oils, Fats, and the Manufacture of oil or fat-based spreads</b>	EIII: Processing of Perishable Animal and Plant Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the manufacture of all animal and vegetable oils and fats and to the manufacture of margarine. Includes clarifying and refining processes.	Includes shortening (animal and vegetable), oils (olive, peanut, corn, vegetable, sunflower, safflower, canola, nut, seed), and oil-based spreads such as margarine and oil based spreads.	Low risk
22	<b>Processing of Cereal Grains and Nuts</b>	EII: Processing of Perishable Plant Products	Module 2: System elements Module 11: GMP for processing of food products	Applies to the processing of cereals and nuts of all varieties, including sorting, grading, picking, handling of bulk grains, milling, and extruding and the roasting, drying, cutting, and grinding processing of nuts.	Includes wheat, maize, rice, barley, oats, millet, nut butters/pastes, pasta, breakfast cereals, and sliced, chopped, and ground nuts.	Some high risk process knowledge required
23	<b>Food Catering and Food Service Operations</b>	G: Catering	Not applicable at this time	Applies to all food preparation and service activities, including transport, storage, and distribution undertaken with of prepared mixed foods that are ready to eat and do not require further treatment or processing by the consumer.	Includes food service caterers, retail delicatessen/self-serve facilities, restaurants, fast food outlets, delicatessens, school cafeterias (canteens), hospital/institution meal services, childcare centers, and mobile and home delivery food services.	High risk product and process knowledge required
24	<b>Food Retailing</b>	H: Retail/	Not applicable at this time	Applies to the receipt, handling, storage and	Includes all foods distributed and sold	Low risk

No.	Category (Supplier Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
		Wholesale		display at retail level of stable or pre-processed and packaged foods and/or food intended for further preparation by the consumer.	through retail outlets that are not considered high-risk foods.	
25	<b>Fresh Produce Wholesaling and Distribution</b>	Jl: Provision of Transport and Storage Services – Perishable Food and Feed	Module 2: System elements Module 12: GDP for transport and distribution of food products	Applies to the receipt, controlled temperature storage, display, consolidation and distribution of all perishable fresh produce at wholesale level.	Includes transportation, storage and delivery of all varieties of fresh unprocessed fruits and vegetables and repacking of protected (i.e. skin-on) product but not repacking of exposed product or any processing operations.	Low risk
26	<b>Food Wholesaling and Distribution</b>	Jll: Provision of Transport and Storage Services – Ambient Stable Food and Feed	Module 2: System elements Module 12: GDP for transport and distribution of food products	Applies to the receipt, storage, display, consolidation and distribution of general food lines including dry goods, stable or pre-processed and packaged foods and/or food intended for further preparation by the consumer at wholesale level.	Includes all transportation, storage and delivery of all foods sold through retail and foodservice facilities that are low and high-risk foods and recouping or repacking of outer (secondary) packaging, but not repacking of exposed product or any processing operations.	Low risk
27	<b>Manufacture of Food Sector Packaging Materials</b>	M: Production of Food Packaging	Module 2: System elements Module 13: GMP for production of food packaging	Applies to the manufacture, storage and transport of food sector packaging materials.	Includes all food-grade packaging materials including flexible films, paperboard based containers, metal containers, flexible pouches, glass containers, plastic and foam containers (PET, polystyrene, etc.), and single-use foodservice products,	Low risk
28	<b>Provision of Crop Spray Services</b>	I: Provision of Food Safety Services	Not applicable at this time	Applies to the provision of a spray service on field crops.	Includes pesticides and fertilizers administered dry or in aqueous solution.	High risk activity depending on the method and time of application.
29	<b>Provision of Field Harvest Services</b>	I: Provision of Food Safety Services	Not applicable at this time	Applies to the provision of manual labor and equipment to provide a field harvesting service.	Includes fresh fruit and vegetable pickers, rice-pickers, and nut pickers.	High risk activity for some crops.
30	<b>Provision of Sanitation and Hygiene Services</b>	I: Provision of Food Safety Services	Not applicable at this time	Applies to the provision of sanitation and hygiene facilities and the servicing and maintenance of these facilities on site or in the field.	Includes stationary and portable lavatories, hand-washing stations, and foot baths and contract cleaning services.	Low risk
31	<b>Manufacture of Dietary Supplements</b>	L: Production of Bio-chemicals	Module 2: System elements Module 11: GMP for processing of food products	Applies to the manufacture, blending, transport and storage of dietary supplements.	Includes vitamins, probiotics and label supplements.	High risk product and process knowledge required
32	<b>Manufacture of Pet Food</b>	Fll: Production of Compound Feed	Module 2: System elements Module 4: GMP for processing of	Applies to the manufacture, of pet food intended for consumption by domestic animals and specialty pets.	Includes dry and moist pet foods and treats, semi-raw, canned, chilled, or frozen product.	Some high risk process knowledge required

No.	Category (Supplier Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
				pet food products		
33	<b>Manufacture of Agricultural Chemicals and Food Processing Aides</b>	L: Production of Bio-chemicals	Module 2: System elements Module 11: GMP for processing of food products	Applies to the manufacture, storage and transport of chemicals and aides used in the agricultural and processing sectors.	Includes food grade lubricants, post-harvest waxes and spray treatments and chemicals for clean-in-place systems.	Low risk
34	<b>Manufacture of Animal Feed</b>	FI: Production of Single Ingredient Feed	Module 2: System elements Module 3: GMP for animal feed production	Applies to the manufacture, blending, transport and storage of animal feeds.	Includes compounded and medicated feeds.	Some high risk process knowledge required
35	<b>Broker or Agent</b>	N: Broker or Agent	Module 2: System elements Module 14: GMP for brokers or agents	Applies to entities that source all types of food through domestic and import channels; procuring and assembling consignments according to a buyer specification. The broker/agent acts as a link between the producer/manufacturer and the buyer. In some instances a broker/agent may never see or handle the product	All foods and beverages	Low risk

## Appendix 2: Glossary of Terms

<b>Accreditation</b>	Verification by an accreditation body confirming that the management system of a certification body complies with the ISO/IEC Guide 65: 1996 and the general requirements and that the certification body is suitable to be granted a license to provide the service in the territory and that the certification body is suitable to continue to provide the service.
<b>Airlock</b>	A space which permits the passage of people between one environment and another with two doors in series which do not open simultaneously, thus minimizes the transfer of pests, dust, odors, or air from one area to another.
<b>Approved Supplier(s)</b>	An entity that has implemented a management system, approved by its customer. The management system shall document the controls, verification procedures and product analysis, and include all records necessary to satisfy the customer's food safety and quality requirements.
<b>Audit</b>	A systematic and independent examination of a supplier's SQF System by an SQF auditor to determine whether food safety, hygiene and management activities are undertaken in accordance with that system documentation and comply with the requirements of the SQF Code, as appropriate, and to verify whether these arrangements are implemented effectively.
<b>Audit Checklist</b>	The list of audit questions, customized by SQF level and audit scope, downloaded for the SQF auditor to use when conducting an SQF audit.
<b>Auditor</b>	A person registered by the SQFI to audit a supplier's SQF System. An auditor must work for a licensed certification body. SQF auditor and SQF sub-contract auditor shall have the same meaning.
<b>Business Crisis</b>	An event (e.g., a flood, a drought, a fire, etc.) that adversely affects the supplier's ability to provide continuity of supply of safe, quality food, and requires a crisis management (business continuity) plan.
<b>Central Site</b>	An SQF certified supplier at which activities are planned to control and manage a network of sub-site SQF certified supplier within an SQF multi-site program (refer to module 16).
<b>Certificate of Registration</b>	A certificate which includes a registration schedule (in a format provided by the SQFI), issued to a supplier by a licensed certification body following the successful completion of a certification audit and/or a re-certification audit.
<b>Certification</b>	Certification by a certification body of a supplier's SQF System as complying with the SQF Code, as appropriate, following a certification audit or re-certification audit. Certify, certifies and certified shall have a corresponding meaning under the SQF program.
<b>Certification Audit</b>	An audit of a supplier's whole SQF System, including a desk audit, where the supplier's SQF System: a) has not been previously certified; or b) has been previously certified but requires certification as the earlier certification has been revoked or voluntarily discontinued by the supplier.
<b>Certification Body</b>	An entity which has entered into a license agreement with the FMI SQFI authorizing it to certify its supplier's SQF System in accordance with the ISO / IEC Guide 65: 1996 and general requirements.
<b>Certification Number</b>	A unique numerical number provided by the SQFI and included on the certificate of registration and issued to a supplier that has successfully completed a certification audit.
<b>Children</b>	Children are defined under the United Nations Convention on the Rights of the Child as "human beings below the age of 18 years unless majority is attained earlier under the applicable laws of a given country."
<b>Codex Alimentarius Commission</b>	The internationally recognized entity whose purpose is to guide and promote the elaboration and establishment of definitions, standards and requirements for foods, and to assist in their harmonization and, in doing so, to facilitate international trade. The Commission Secretariat comprises staff from the Food and Agriculture Organization and the World Health Organization.
<b>Correction</b>	Action to eliminate a detected non-conformity and corrected shall have the same meaning
<b>Corrective Action</b>	Action to eliminate the cause of a detected non-conformity or other undesirable situation. Corrective action shall include: a) Determine / document any immediate action required / taken i. Determine the cause of the problem ii. Evaluate action needed on the identified cause

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	<ul style="list-style-type: none"><li>i. Determine if the problem exists elsewhere in the system and implement actions needed</li><li>b) Document the results of the action taken<ul style="list-style-type: none"><li>iii. Review/verify and document effectiveness of action taken with objective evidence</li></ul></li></ul>
<b>Desk Audit</b>	A review of the supplier's SQF System documentation, forming part of and being the initial stage of the certification audit to ensure the system documentation substantially meets the requirements of the SQF Code, as appropriate.
<b>Environmental Monitoring Program</b>	A program which includes pathogen swabbing to detect risk in the sanitary conditions in the processing environment. A verification of the effectiveness of the pathogen controls that a management facility has in place for high risk foods.
<b>Exempt</b>	A term applied to elements of the SQF Code that the supplier does not wish to be included in the SQF System, and has submitted a written request to the certification body to exclude, prior to commencement of any scheduled audit activity.
<b>Facility Audit</b>	The second part of a certification audit that reviews the supplier's products and processes on-site to determine the effective implementation of the supplier's documented SQF System.
<b>Facility</b>	The supplier's premises. The production, manufacturing, or storage area where product is produced, processed, packaged, and/or stored, and includes the processes, equipment, environment, materials and personnel involved. The facility must be managed and supervised under the same operational management. The facility is the site audited during an on-site audit. (refer "site").
<b>Feed</b>	Any single or multiple materials, whether processed, semi-processes, or raw, which is intended to be fed directly to food producing animals.
<b>Feed Safety</b>	The principles and practices applied to feed production and manufacturing to ensure that feed does not cause harm to animals or humans.
<b>Food</b>	Any substance, usually of animal or plant origin, intentionally consumed by humans, whether processed, partially processed or unprocessed. May include water, alcoholic and non-alcoholic drinks, chewing gum, non-prescription medicines (i.e., over-the-counter drugs), materials included in a processed food product and any other substance identified by regulation (legislation) as a food.
<b>FMI</b>	The Food Marketing Institute, a not-for-profit corporation, having its principal offices at 2345 Crystal Drive, Suite 800, Arlington, VA 22202, United States of America.
<b>Food Quality Plan</b>	As described in level 3 of the relevant SQF Code. It shall be based on the HACCP method, include process controls at quality points in production to monitor product quality, identify deviations from control parameters and define corrections necessary to keep the process under control.
<b>Food Safety Fundamentals</b>	Good Agricultural or Aquaculture Practices (GAPs), Good Manufacturing Practices (GMPs). Or Good Distribution Practices (GDPs) that define the essential elements that must be implemented to meet relevant legislative and customer food safety requirements.
<b>Food Safety Plan</b>	A described in the SQF Code. It shall be prepared based on the HACCP Method, include process controls at control points in production to monitor product safety, identify deviations from control parameters and define corrections necessary to keep the process under control.
<b>Food Sector Category</b>	A classification scheme established to assist in a uniform approach to management of the SQF program and means those food industry, manufacturing, production, processing, storage, wholesaling, distribution, retailing and food service activities and other food sector services as defined by the SQFI.
<b>General Requirements</b>	The current edition of the document entitled "Criteria for Certification Bodies: SQF Guidance on the Application of ISO/IEC Guide 65: 1996, General Requirements for Certification Bodies", published by FMI SQFI.
<b>Good Agricultural Practices (GAPs)</b>	Practices on farms which define the essential elements for the development of best-practice for production, incorporating integrated crop management, integrated pest management, and integrated agricultural hygienic practices.
<b>Good Aquaculture Practices</b>	Practices on aquaculture farms and wild catch fisheries which define the essential elements for the development of best-practice for production, incorporating integrated water quality, veterinary and growth practices, and handling and hygienic practices.
<b>Good Manufacturing</b>	The combination of management and manufacturing practices designed to ensure food products are consistently produced to meet relevant legislative and customer

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<b>Practices (GMPs)</b>	specifications.
<b>HACCP</b>	<p>The Hazard Analysis Critical Control Point and refers to the following two universally accepted guidelines and definitions contained therein:</p> <ul style="list-style-type: none"><li>a) HACCP guidelines developed and managed by the Food and Agriculture Organization's CODEX Alimentarius Commission. Hazard Analysis and Critical Control Point (HACCP) System and  Guidelines for its Application – Annex to CAC/RCP 1 – 1969, Rev. 4-2003), – “A system, which identifies, evaluates and controls hazards which are significant for food safety.”</li><li>b) HACCP guidelines developed and managed by the National Advisory Committee on Microbiological Criteria for Foods (NACMCF). Hazard Analysis and Critical Control Point Principles and application Guidelines, Adopted August 14, 1997. “A systematic approach to the identification, evaluation, and control of food safety hazards” together referred to as the HACCP Guidelines.</li></ul>
<b>HACCP Method</b>	The implementation of pre-requisite programs and the application of HACCP principles in the logical sequence of the twelve steps as described in the current edition of the CODEX Alimentarius Commission Guidelines, or the current edition of the HACCP guidelines developed and managed by the NACMCF. The SQF Code utilizes the HACCP method to control food safety hazards and other quality threats in the segment of the food chain under consideration.
<b>HACCP Plan</b>	A document prepared in accordance with the HACCP method to ensure control of hazards which are significant for food safety in the segment of the food chain under consideration.
<b>HACCP Training</b>	<p>Training that meets the CODEX guidelines outlined in the WHO (1996). Training aspects of the Hazard Analysis Critical Control Point system (HACCP). Report of a Workshop on Training in HACCP with the participation of FAO, Geneva, 1–2 June 1995. Geneva, World Health Organization”. And this training is:</p> <ul style="list-style-type: none"><li>1. Recognized as a HACCP training course used extensively in a country.</li><li>2. Administered and delivered by an institution recognized as a food safety training center of excellence.</li><li>3. Shall be a minimum of two days (16 hrs.) in duration, or equivalent.</li><li>4. Shall be examinable.</li></ul>
<b>Hazardous Chemicals and Toxic Substances</b>	Solids, liquids or gasses that are radioactive, flammable, explosive, corrosive, oxidizing, asphyxiating, pathogenic, or allergenic, including but not restricted to detergents, sanitizers, pest control chemicals, lubricants, paints, processing aids, bio-chemical additives, which if used or handled incorrectly or in increased dosage may cause harm to the handler and/or consumer. Hazardous or toxic chemicals may be prescribed by regulation as 'dangerous goods' and may carry a 'poison', 'Hazmat' or 'Hazchem' label depending on the jurisdiction.'
<b>High Risk Area</b>	A segregated room or area where high risk food processes are performed, and which require a higher level of hygienic practice is required to prevent contamination of high risk food by pathogenic organisms.
<b>High Risk Food</b>	A food that may contain pathogenic microorganisms and will support formation of toxins or growth of pathogenic microorganisms, and has a significant likelihood of growth causing illness or injury to a consumer if not properly produced, processed, distributed and/or prepared for consumption. It may also apply to a food that is deemed high risk by a customer, declared high risk by the relevant food regulation or has caused a major foodborne illness outbreak.
<b>High Risk Food Process(es)</b>	The production, handling, storage, processing, manufacturing and/or preparation of high risk food.
<b>Industry Code of Practice</b>	Industry norms, rules or protocols established by industry groups which provide practical, industry specific guidelines on meeting regulations whilst meeting industry needs.
<b>Legality</b>	Legality refers to national federal, state and local regulations in the country of manufacture and intended markets.
<b>Licensed Certification Body (LCB)</b>	An entity which has entered into a license agreement with FMI authorizing it to manage the auditing and certification of SQF System.
<b>Low Risk Food</b>	A food that is not classified as high risk.
<b>Mandatory</b>	Elements of module 2 that must be applied and audited for a supplier to achieve SQF

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<b>Elements</b>	certification.
<b>Maximum Residue Limits</b>	Or MRLs, generally set by local regulation or Codex Alimentarius Commission, and applies to maximum allowable trace levels of agricultural and veterinary chemicals in agricultural produce, particularly produce entering the food chain.
<b>Multi-site Program</b>	An SQF multi-site program is comprised of a central-SQF certified site under which activities are planned to manage and control the food safety and quality management systems of a network of sub-sites under a legal or contractual link (refer to module 16).
<b>NACMCF</b>	The National Advisory Committee on Microbiological Criteria for Foods of the United States of America.
<b>Non conformity (or Non-conformance)</b>	Refers to the following definitions: Critical non-conformity includes but is not limited to: <ul style="list-style-type: none"><li>i) A break-down of control(s) at a critical control point, pre-requisite program or other process step and judged likely to cause a significant public health risk whereby product safety is compromised and judged likely to result in a Class 1 or Class 2 recall and effective corrective action is not taken.</li><li>ii) Falsification of records relating to food safety controls and the SQF System.</li></ul> Major non-conformity means a lack or deficiency in the SQF System producing unsatisfactory conditions that carry a food safety or quality risk and likely to result in a System element breakdown. Minor non-conformity means a lack or deficiency in the SQF System that produces unsatisfactory conditions that if not addressed may lead to a risk to food safety and quality but not likely to cause a System element breakdown.
<b>Opportunity for Improvement (OIP)</b>	An observation made by the auditor during a site audit that identifies an issue that is not a non-conformity but recognizes that the practices conducted by the supplier are not industry best practice. It does not require a corrective action response by the supplier, but provides the supplier with an opportunity to improve their SQF System.
<b>Pet Food</b>	Any substance intended for consumption by domestic animals and specialty pets. It includes dry and moist pet foods and treats, semi-raw, canned, chilled, or frozen product.
<b>Pre-requisite Program</b>	A procedural measure that when implemented reduces the likelihood of a food safety hazard or a food quality threat occurring, but one that may not be directly related to activities taking place during production.
<b>Primary Producer or Producer</b>	A sole entity involved in the pre-farm gate production, field packing, storage and supply of food produced and/or harvested under their exclusive control.
<b>Processing</b>	The processing of food through one or more steps in which the nature of the food is changed. Processing includes but is not limited to repacking, over bagging and re-labeling of food, slaughtering, dismembering, sorting, grading, cleaning, treating, drying, salting, smoking, cooking, canning, purifying and the pasteurization of food.
<b>Product</b>	Those products that apply to a specific food sector category as defined by the SQFI.
<b>Purity</b>	The absence of contaminants that could cause a food safety hazard.
<b>Re-certification</b>	A re-certification by a certification body of a supplier's SQF System as a result of a re-certification audit, and re-certified shall have a corresponding meaning.
<b>Re-certification Audit</b>	An audit of the supplier's SQF System within 30 calendar days of the anniversary of certification.
<b>Recoup</b>	Product that is intact and requires no further processing or handling but is repackaged for distribution. For example, mixing of partial cases to build one complete case. May also be referred to as 'repack.'
<b>Registration Schedule</b>	The portion of the certificate of registration setting out the scope of and the nature and extent of the rights of use of the quality shield granted to the supplier.
<b>Rules</b>	The rules and procedures contained in this document, and include the schedule and any modification, variation or replacement of this document.
<b>Rules of Use</b>	The rules and procedures contained in the <i>Reference Appendix 3: SQF Quality Shield and Logo Rules of Use</i> and includes the Certificate Schedule and any modification, variation or replacement of the SQF Trademark Rules of Use.
<b>Scope of Certification</b>	The food sector categories and those products to be covered by the certificate of registration.
<b>Season or Seasonal</b>	A period in which the major activity is conducted over not more than five consecutive months in a calendar year, for example harvesting and packing during the apple season.

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<b>Site</b>	The actual street address of the supplier's premises.
<b>SQF Auditor</b>	The same meaning as auditor.
<b>SQF Logo</b>	Means the SQF Code and the logo depicted in <i>Schedule 2</i> in the <i>Reference Appendix 3: SQF Quality Shield and Logo Rules of Use</i> .
<b>SQF Quality Shield</b>	Means the SQF Code and the shield depicted in <i>Schedule 1</i> in the <i>Reference Appendix 3: SQF Quality Shield and Logo Rules of Use</i> .
<b>SQF System</b>	A risk management and preventive system that includes a food safety plan and food quality plan at level 3 implemented and operated by a supplier to assure food safety and quality (level 3). It is developed by an SQF practitioner with the assistance of an SQF consultant if so desired, audited by an SQF auditor and certified by a licensed certification body as meeting the requirements relevant to the SQF Code.
<b>SQF Consultant</b>	A person who is registered by the SQFI to assist in the development, validation, verification, implementation and maintenance of SQF System on behalf of client supplier and in the food industry categories appropriate to their scope of registration.
<b>SQF Practitioner</b>	An individual, designated by a producer/supplier to develop, validate, verify, implement and maintain that producer's/supplier's own SQF System. The SQF practitioner details shall be verified by the SQF auditor as meeting the following requirements: <ol style="list-style-type: none"><li>Be employed by the company as a permanent full time employee and hold a position of responsibility in regard to the management of the company's SQF System;</li><li>Have completed a HACCP training course and be experienced and competent to implement and maintain HACCP-based food safety plans;</li><li>Have an understanding of the SQF Code and the requirements to implement and maintain SQF System relevant to the company's scope of certification. Successful completion of the "Implementing SQF System Training Course Exam" would meet this requirement.</li></ol>
<b>SQF Program</b>	The SQF Code and all associated System, rules, quality shield, intellectual property and documents.
<b>SQFI</b>	The SQF Institute, a division of the Food Marketing Institute (FMI).
<b>SQF Trainer</b>	An individual contracted to an SQF licensed training center that has applied and met the requirements listed in the "Application for SQF Trainers" published by FMI SQFI and upon approval is registered under the SQFI to provide a consistent available source of training on the SQF program.
<b>Sub-site</b>	An SQF certified supplier which operates under a contractual link to an SQF certified central site within an SQF multi-site program (refer to module 16).
<b>Supplier</b>	Any food business involved in the production, manufacture, processing, transport, storage, distribution or sale of food, beverages, packaging or fiber, or providing support services to the food sector and run by a person, company, cooperative, partnership, joint venture, business or other organization who has, or agrees to have, a certification body carry out audits and certification of its SQF System.
<b>Supplier Assessment Database</b>	The online databases, accessed via the SQF website, which is used to manage supplier registrations, supplier audits, close out of corrective actions, and supplier certification.
<b>Surveillance Audit</b>	A six monthly audit (or more frequently as determined by the certification body) of part of a supplier's SQF System where that system has previously been certified or re-certified and whose certification is current. Multi-site certification requires surveillance audits every six months at a minimum.
<b>Technical Expert</b>	An individual engaged by a certification body to provide a high level of technical support to the audit team. The technical expert shall demonstrate a high degree of expertise and technical competence in the food sector category under study, a sound knowledge and understanding of the HACCP method and where possible be registered as an SQF consultant.
<b>Trademarks</b>	All certification and service marks filed or registered in the name of FMI and the licensor in relation to the SQF program.
<b>Training Center</b>	An entity which has entered into a license agreement with the SQFI to deliver SQF System training.
<b>Validation</b>	As defined in the NACMCF Hazard Analysis and Critical Control Point Principles and Application Guidelines, Adopted August 14, 1997 as amended from time to time and the

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	Food and Agriculture CODEX Alimentarius Commission Hazard Analysis and Critical Control Point (HACCP) – Guidelines for Implementation and Use, ALINORM 97/13A as amended from time to time. Essentially validation as applied to control limits seeks to prove that the intended result was achieved and that it actually worked.
<b>Verification</b>	As defined in the NACMCF Hazard Analysis and Critical Control Point Principles and Application Guidelines, Adopted August 14, 1997 as amended from time to time and the Food and Agriculture CODEX Alimentarius Commission Hazard Analysis and Critical Control Point (HACCP) – Guidelines for Implementation and Use, ALINORM 97/13A as amended from time to time. Essentially verification as applied to control measures seeks to prove that the control measure was done according to its design.
<b>Verification Schedule</b>	A schedule outlining the frequency and responsibility for carrying out the methods, procedures or tests additional to those used in monitoring, to determine that the HACCP study was completed correctly, that the relevant SQF System is compliant with the relevant food safety and food quality plan and that it continues to be effective.
<b>Water Treatment</b>	The microbiological, chemical, and/or physical treatment of water for use in processing or cleaning, to ensure its potability and suitability for use.

## Appendix 3: SQF Quality Shield and Logo Rules of Use

### SQF Quality Shield

#### 1 Introduction

- 1.1 The SQF quality shield is owned by SQFI.
- 1.2 Suppliers will have the right to use the SQF quality shield upon and for the duration of certification. There will be no fee payable by Suppliers for the right to use the SQF quality shield, other than fees payable to obtain and maintain certification.
- 1.3 Suppliers obtain no property rights in the SQF quality shield.
- 1.4 Suppliers may only use the SQF quality shield in accordance with these rules of use, which are designed to protect the integrity and enhance the value of the SQF quality shield.
- 1.5 SQFI delegates any or all of its functions described herein to a licensed Certification Body (CB) as stipulated in the "SAFE QUALITY FOOD INSTITUTE CERTIFICATION BODY LICENSE AGREEMENT, 2012-2014 Term, Section 4, Subsection 4.1 clause (s)."
- 1.6 These rules of use regulate the use of the SQF quality shield by suppliers only. These rules of use do not regulate the use of the SQF quality shield by SQFI, CBs or other entities licensed by SQFI to use them, unless otherwise provided for in this or another instrument.

#### 2 Conditions for Use

- 2.1 A supplier shall, for the duration of its certification, prove to the satisfaction of SQFI and the CB that its quality system satisfies the requirements set forth in the current edition of the SQF Code, at level 3; and
- 2.2 A supplier must only use the SQF quality shield in accordance with its certificate of registration and these rules of use.

#### 3 Reproduction

- 3.1 If a supplier wishes to reproduce the SQF quality shield, it must do so strictly in accordance with the requirements and specifications set out in Schedule 1.

#### 4 Obligations of a Supplier for Use

- 4.1 A supplier must:
  - a) comply fully with these rules of use;
  - b) where it deals with both certified and uncertified goods, must ensure that the SQF quality shield is only used in respect to certified goods and that certified goods are clearly distinguished from uncertified goods.. For example, if a certified market agent or retailer receives uncertified packaged apples from supplier A and certified packaged apples from supplier B, these must be clearly distinguished at the point of sale;
  - c) direct any queries regarding their intended use of the SQF quality shield to the CB who issued the certificate of registration;
  - d) discontinue any use of the SQF quality shield to which SQFI or certifying CB who issued the certificate of registration reasonably objects;

- e) operate entirely within the scope of its certificate of registration, including the certification schedule. Subsidiary companies and site addresses not included on the certificate of registration are not certified to use the SQF quality shield;
- f) give SQFI, a CB and/or their agents access to examine the goods, products, wraps, packaging, containers, stationery, publicity material and all other such items bearing or indicating the SQF quality shield for the purpose of confirming compliance with these rules of use and the certificate of registration; and
- g) pay within the specified time any fees set by SQFI.

## **5 Suspension or Withdrawal of Approval to Use the SQF Quality Shield**

5.1 The permission for a supplier to use the SQF quality shield shall be:

- a) suspended if the supplier's certification is suspended; all use of the SQF quality shield in the manufacturing process must cease upon certificate suspension.
- b) withdrawn if the supplier's certification is withdrawn, relinquished or not renewed.
- c) A supplier's permission to use the SQF quality shield may be withdrawn or suspended at SQFI's sole discretion for the following reasons: if the Supplier fails to comply with these rules of use;
- d) if the supplier fails to use the SQF quality shield in accordance with its certificate of registration, including the certification schedule;
- e) if the supplier uses the SQF quality shield in a way that, in the opinion of SQFI or the certification body, is detrimental to the SQF quality shield or the SQF program as a whole, is misleading to the public or contrary to law; or
- f) if the supplier ceases to carry on business or has an administrator, receiver, receiver manager or liquidator appointed over its assets for the purpose of the winding up of the Supplier's assets.

## **6 Withdrawn Certification**

6.1 A supplier whose certificate has been withdrawn must:

- a. submit and receive permission from SQFI to use up product in commerce that has the SQF quality shield; and
- b. conceal the SQF quality shield logo on remaining SQF quality shield packaging supplies, products and all other printed materials. In lieu of concealing the SQF quality shield, a withdrawn supplier may destroy all remaining SQF quality shield supplies.

## **7 Disclaimer**

7.1 SQFI may from time to time alter these rules of use or make new rules but no such alteration or new rule shall affect the use of the SQF quality shield by a supplier until twelve (12) months have expired from the date the alteration or new rules of use are first published by SQFI website [sqfi.com](http://sqfi.com) unless specified by SQFI.

**SCHEDULE 1: REPRODUCTION REQUIREMENTS FOR THE SQF QUALITY SHIELD**

**Introduction**

Suppliers who achieve and maintain level 3 certification are granted permission by their certifying certification body to use the SQF quality shield, subject to the rules of use and the conditions set out hereunder **per level 3 certified site**.

The **certification body name** and **certificate number** must be identified in conjunction with the logo in the following form. The certification body name or certificate number does not need to be included on the shield when on the SQF certificate.



Electronic SQF quality shield logo files are to be obtained from the supplier’s certifying certification body.

Color Format	For Use On
<p>Full Color Reproduction: see PMS color format set out at Schedule 1 Clause 2.</p>	<ul style="list-style-type: none"> <li>• brochures, advertisements, press releases, company website and/or</li> <li>• stationary including business cards and letterheads, signage, flags and vehicles associated with SQF certified services such as transport and delivery.</li> <li>• goods or products for public display, (when product is presented for promotional or retail purposes) e.g.                             <ul style="list-style-type: none"> <li>i.) as a sticker or other label affixed to the goods or product; or</li> <li>ii.) a product wrap.</li> </ul> </li> <li>• non-recyclable packaging or containers for goods or products intended for retail display e.g. boxes, crates or the like.</li> </ul>
<p>Single Color Reproduction: black and white.</p>	<ul style="list-style-type: none"> <li>• goods or products for public display, (when product is presented for promotional or retail purposes)                             <ul style="list-style-type: none"> <li>i. as a sticker or other label affixed to the goods or product; or</li> <li>ii. a product wrap.</li> </ul> </li> <li>• non-recyclable packaging or containers for goods or products intended for retail display e.g. boxes, crates or the like</li> </ul>

### Color Reproduction of the SQF Quality Shield

Reproduction of the SQF quality shield is to be clear, precise and of the highest standard. The following guidelines govern full color reproduction.



PMS 7463 C  
CMYK: C=40 M=13.6 Y=0 K=0.8



40% Tint of PMS 3005C  
CMYK: C=100 M=43 Y=0 K=65

Font type of the SQF Quality Shield must be Chaparral Pro Semibold.

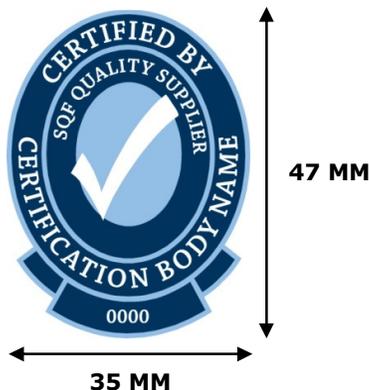
### Wording In Lieu of the SQF Quality Shield

A supplier may use the following wording in lieu of the SQF quality shield: "(Insert Supplier name from Certificate of Registration)" – an SQF Level 3 Quality Certified Supplier No. (Insert number issued by the CB) and Certified by (Insert name of Certification Body)."

The words must appear in the dominant font color of the packaging.

### Dimensions

The dimensions of the SQF quality shield are 47mm high by 35mm wide, as shown.



Variation to these dimensions is permitted provided that any such variation is proportional to the above dimensions and the letters and numerals on the logo remain clear and legible.

### Certification Numbers

The individual Certification Number issued to suppliers must always be included as part of the SQF quality shield as follows:



### Special Cases

Where it is demonstrated that alternative reproduction of the SQF quality shield or wording in lieu of the SQF quality shield enhances the status of the SQF quality shield and/or SQFI, then the alternative is permitted provided it is approved by the certifying certification body. All requests must be provided in writing **per certified site** to the certifying certification body and SQFI.

## SQF Logo

### 1 Introduction

- 1.1 The SQF logo is owned by SQFI.
- 1.2 Suppliers at all levels of certification will have the right to use the SQF logo upon and for the duration of certification. There will be no fee payable by suppliers for the right to use the SQF logo, other than fees payable to obtain and maintain certification.
- 1.3 Suppliers obtain no property in the SQF logo.
- 1.4 Suppliers may only use the SQF logo in accordance with these rules of use, which are designed to protect the integrity and enhance the value of the SQF logo.
- 1.5 SQFI delegates any or all of its functions described herein to a licensed Certification Body (CB).
- 1.6 These rules of use regulate the use of the SQF logo by suppliers only. These rules of use do not regulate the use of the SQF logo by SQFI, CBs or other entities licensed by SQFI to use them, unless otherwise provided for in this or another instrument.

### 2 Conditions for Use

- 2.1 A supplier shall, for the duration of its certification, prove to the satisfaction of SQFI and the CB that its quality system satisfies the requirements set forth in the current edition of the SQF Code, at level 2 or level 3; and
- 2.2 A supplier must only use the SQF logo in accordance with its certificate of registration and these rules of use.

### 3 Reproduction

- 3.1 If a supplier wishes to reproduce the SQF logo it must do so strictly in accordance with the requirements and specifications set out in Schedule 2.

### 4 Obligations of a Supplier

- 4.1 A supplier must:
  - a) comply fully with these rules of use;
  - b) direct any queries regarding their intended use of the SQF logo to the certifying CB who issued the certificate of registration;
  - c) discontinue any use of the SQF logo to which SQFI or the certifying CB reasonably objects;
  - d) operate entirely within the scope of its certificate of registration, including the certification schedule. Subsidiary companies and site addresses not included on the certificate of registration are not certified to use the SQF logo;
  - e) give SQFI, a CB and/or their agents access to examine publicity material and all other such items bearing or indicating the SQF logo for the purpose of confirming compliance with these rules of use and the certificate of registration; and

- f) pay within the specified time any fees set by SQFI.

## **5 Grounds for Suspending or Ceasing Use of the SQF Logo**

- 5.1 The permission for a supplier to use the SQF logo will:
  - a) be suspended if the supplier's certification is suspended; all efforts must be made to suspend in the manufacturing process of the use of the SQF logo upon certificate suspension.
  - b) cease to be used within the operation if the supplier's certification is withdrawn, relinquished or not renewed.
- 5.2 Conditions for suspending or ceasing a supplier's permission to use the SQF logo, to be notified by the certifying CB, include (but are not necessarily limited to):
  - a) suspended if the supplier breaches or fails to comply with these rules of use;
  - b) suspended if the supplier fails to use the SQF logo in accordance with its certificate of registration, including the certification schedule;
  - c) ceased if the supplier uses the SQF logo in a way that, in the opinion of SQFI or the CB, is detrimental to the SQF logo or the SQF program as a whole, is misleading to the public or otherwise contrary to law; or
  - d) ceased if the supplier has an administrator, receiver, receiver and manager, official manager or provisional liquidator appointed over its assets or where an order is made or a resolution passed for the winding up of the supplier (except for the purpose of amalgamation or reconstruction) or the supplier ceases to carry on business or becomes bankrupt, applies to take the benefit of any law for the relief of bankrupt or insolvent debtors or makes any arrangement or composition with its creditors

## **6 Disclaimer**

- 6.1 SQFI may from time to time alter these rules of use or make new rules but no such alteration or new rule shall affect the use of the SQF logo by a supplier until six (6) months have expired from the date the alteration or new rules of use are first published by SQFI on its website (sqfi.com) unless specified by SQFI.

**SCHEDULE 2: REPRODUCTION REQUIREMENTS FOR THE SQF LOGO**

**Introduction**

Suppliers who achieve and maintain level 2 or 3 certification are granted permission by their certifying CB to use the SQF logo, subject to the rules of use and the conditions set out hereunder **per level 2 or level 3 certified site**.



Electronic SQF logo files are to be obtained from the certifying CB.

Color Format	For Use On
Full Color Reproduction: see PMS color format set out at Schedule 2 Clause 2.	<ul style="list-style-type: none"> <li>• brochures, flyers, advertisements, press releases, company website</li> <li>• internal documents and training materials</li> </ul>
Single Color Reproduction: black and white.	<ul style="list-style-type: none"> <li>• brochures, flyers, advertisements, press releases, company website</li> <li>• internal documents and training materials</li> </ul>

**Color Reproduction of the SQF Logo**

Reproduction of the SQF logo is to be clear, precise and of the highest standard. The following guidelines govern full color reproduction.



PMS 3005C  
CMYK: C=100, M=34, Y=0, K=2

**Dimensions**

To ensure readability, do not reproduce the SQF logo smaller than indicated below. Larger variation to these dimensions is permitted provided that any such variation is proportional to the dimensions given below.



### **Special Cases**

Where it is demonstrated that alternative reproduction of the SQF logo enhances the status of the SQF logo and/or SQFI, then the alternative is permitted provided it is approved by the certifying CB. All requests must be provided in writing **per certified site** to the certifying CB and SQFI.