



# Requirements for Food Safety and HACCP Certification

*Hazard Analysis Critical Control Point*

Prepared by:  
Food Safety Plus® Pty Ltd  
22<sup>nd</sup> November 2016

## Expertise

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We are a leading provider of professional food safety auditing. We provide both expert knowledge and experience to ensure your organisation's goals are achieved both efficiently and effectively.

## Service focused

2

We are friendly, approachable and listen to you. We work to develop an ongoing relationship with our clients, with services provided on an agreed schedule that best meets your needs.

## Understanding

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Our services are based on a practical and helpful approach that supports business improvement. We provide you with increased confidence in the quality and performance of your food safety practices.

## Part 1: Terms and Conditions

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### 1.1 Food Safety Plus HACCP Certification Criteria

Food Safety Plus has developed HACCP criteria for food producers, manufacturers and food service organisations that do not require international recognition of their food safety management system, but which need to demonstrate to their suppliers and customers that they have implemented a system of food safety hazard controls based on the principles and practice outlined in *Hazard Analysis Critical Control Point (HACCP) System and Guidelines for its Application*, issued by the Codex Alimentarius Commission.

### 2.1 General

Food Safety Plus certification services are based on a practical and helpful approach that supports business improvement and profitability. It provides you and the community with increased confidence in the quality and performance of Food Safety Plus certified businesses.

Certification by Food Safety Plus of your HACCP System provides recognition that your business complies with the Codex Guidelines. Ongoing periodic and independent review by Food Safety Plus assists client organisations to improve business performance.

### 2.2 Hazard Analysis and Critical Control Points (HACCP) Certification

*'HACCP is a system which identifies, evaluates, and controls hazards which are significant for food safety.'*

HACCP (Hazard Analysis Critical Control Point) is a process control technique which is used internationally to provide assurance that food is safe for consumption. Implementation of HACCP requires identification, assessment and control of food hazards, including identification of critical control points, establishment of critical limits in key characteristics, monitoring of procedures, and a corrective action plan to be used when limits are exceeded. Like any management system, there are requirements for document and record keeping to ensure that the system is meeting its goals.

The international guideline for all HACCP-based food safety management systems is the seven HACCP Principles and twelve application steps outlined in *Hazard Analysis Critical Control Point (HACCP) System and Guidelines for its Application*, issued by the Codex Alimentarius Commission of the World Health Organisation (WHO) and Food & Agriculture Organisation (FAO) of the United Nations (Alinorm 97/13A, Appendix II).

The Codex HACCP Guideline can be downloaded from the Codex web-site [www.codexalimentarius.net](http://www.codexalimentarius.net). It is referred to throughout this publication as "Codex HACCP".

### 2.3 FOOD SAFETY PLUS HACCP Certification Criteria

Food Safety Plus's HACCP System Criteria requires that your organisation considers and controls all food safety hazards that could affect the products or services that are produced, stored, or supplied to another part of the food supply chain. It includes all potential food safety and quality hazards at every step in every process.

In addition to the requirements set out in this system, the organisation is first required to ensure that it meets its food safety obligations in terms of relevant legislation, standards, codes of practice, and guidelines.

If there is a discrepancy between the requirements of the Food Safety Plus HACCP Criteria and those of any relevant legal requirement, then the legal requirement(s) override the criteria outlined in this document.

For certification to HACCP Criteria, you are required to implement a system based on Codex HACCP.

Your organisation is also required to meet local food safety regulations. Within the Australian food industry, this means the requirements of the following Australian Food Standards (as applied within each state and territory):

- Standard 3.2.1 of the Australian Food Standards Code – *Food Safety Programs*
- Standard 3.2.2 of the Australian Food Standards Code - *Food Safety Practices & General Requirements*.
- Standard 3.2.3 of the Australian Food Standards Code - *Food Premises and Equipment*
- Food Industry Recall Protocol published by Food Standards Australia & New Zealand (FSANZ).

These Standards can be down-loaded from the FSANZ website [www.foodstandards.gov.au](http://www.foodstandards.gov.au).

## Food Safety Plus HACCP Certification Requirements

### 3.1 Initial Inquiry

Food Safety Plus will on receipt of adequate details, prepare a quotation for HACCP Certification.

### 3.2 Application for Certification

The Application for Certification and associated documents form the contract between your organisation and Food Safety Plus. When your organisation is ready to apply for certification with Food Safety Plus, complete the application form included at the end of this document, and forward it to the Food Safety Plus National Office in Perth.

The Application Forms requires the nomination of an *Authorised Representative* to represent your organisation in all matters relevant to its certification by Food Safety Plus (There may be a number of additional contacts for multi-site businesses). The Authorised Representative does not need to have responsibility for maintenance of the HACCP system, but must have sufficient authority to discuss and make agreements with Food Safety Plus on matters associated with Food Safety Plus.

It is also important that your organisation keeps Food Safety Plus informed of any changes in Authorised Representative.

On receipt of your organisation's Application Form a Client Manager is appointed to look after your certification requirements. The Client Manager is your primary point of contact with Food Safety Plus and is responsible for ensuring that our certification services are delivered to your organisation in the most effective manner possible.

### 3.3 The Audit and Certification Process

Following the initial inquiry, it is a 3 step process to becoming certified to the Food Safety Plus HACCP Criteria:

#### Step 1. Document Review.

Prior to the certification audit, Food Safety Plus undertakes a comprehensive review of your organisation's management system documentation, including policy manuals, procedures and other relevant supporting documentation.

This step gives the organisation the opportunity to demonstrate that all required documentation has been prepared, is controlled where necessary, and is monitored and updated as required. Your organisation can either send your documentation to Food Safety Plus's office for review or it can be done on site. Following this review, Food Safety Plus provides a detailed report on the documentation reviewed highlighting any deficiencies relevant to the certification standard, as well as any opportunities for improvement. Significant deficiencies raised in this report must be addressed before conduct of the certification audit.

#### Step 2. On Site Audit

The purpose of the onsite audit is to establish whether your organisation's food safety management system has been implemented and complies with HACCP Criteria. This is done by examining actual practices, documentation and records and comparing them against the organisations policies and procedures and the standard. The audit process is, effectively, an undertaking to establish that your documented policies and practices are understood by your personnel and have been implemented.

The audit date and time is selected to ensure the Food Safety Plus Food Safety Auditor is able to assess the application of the organisation's food safety management system over the maximum number of products, processes and activities included in the scope.

At the conclusion of the audit, the auditor prepares a written report of the audit findings and presents these findings to your organisation's senior management at the exit meeting. The audit findings include a summary of the overall compliance of your management system with the requirements of the relevant food safety management standard(s).

#### Step 3. Certification Decision

Once the on-site systems and verification audit has been completed and if no non-conformances are raised, the findings and recommendations made in the audit report are subject to an internal review process prior to certification being granted.

If your organisation is issued with one or more non conformances, certification is withheld until such time as all critical and major non-conformance(s) are closed out or downgraded to minor non-conformance(s), and corrective actions are indicated for all minor non-conformances. This may involve a follow up visit by the food safety auditor.

Once your organisation has achieved the requirements for Food Safety Plus certification your organisation is issued with a HACCP certificate.

The certificate includes the following information:

- Food Safety Plus details and certification mark (refer Section 5: *Use of the Food Safety Plus Certification Marks*);
- Trading name, names and addresses of the certified business;
- Products and/or processes included in the scope of certification; scope;

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## Food Safety Plus HACCP Certification Requirements

- Certificate issue date;
- Certificate expiry date;
- Authorising name;
- The Food Safety Plus corporate logo.

Certificates for Food Safety Plus HACCP Criteria remain valid for twelve (12) months, subject to the outcome of periodic surveillance audits.

### 3.4 Levels of Non-conformances

The Food Safety Plus Auditor will issue non-conformances if it is found that your organisation is not complying with the Food Safety Management System, has poor hygiene practices in place, does not comply with regulations or the safety of the product is at risk. Non-conformances are classified as Critical, Major or Minor.

The auditor and a representative from your organisation may agree in writing what action is to be taken to close out the non-conformance. The non-conformance can only be closed out or downgraded when the auditor has seen evidence of this action having been taken. The auditor cannot close-out, or downgrade corrective actions based on expectation of actions or plans. Definitions of non-conformances are:

**Critical:** There is a serious system failure that is likely to cause an imminent public health or consumer risk. Organisations that are already certified have their certification withdrawn or suspended until such time as the critical non-conformance is corrected, and affected product disposed of.

Critical non-conformities require on-site verification of corrective action, and will result in a surveillance audit within 6 months.

**Major:** There is a substantial system failure that may, if unchecked, cause a consumer or public health risk sometime in the future, or a serious breach of food safety regulations

Major non-conformances shall be corrected to the satisfaction of the Food Safety Plus Auditor within 14 days of notification.

Certification is withheld until all major non-conformances are closed out. If your organisation is already certified and fails to close out major non-conformances within the required period, certification is suspended until such time as the major non-conformance(s) is downgraded or closed out by the Food Safety Plus auditor. Major non-conformances will result in a surveillance audit within 6 months.

**Minor:** There is either a relatively minor system or product failure, which if not addressed may lead to a risk to food safety, or a relatively minor breach of food safety regulations

Minor non-conformances shall be closed out within 30 days; otherwise they may be upgraded to Major Non-conformances.

### 3.5 Extensions of Time for CAR Closures

Your organisation is required to close out Major non-conformances within 30 days, or you may risk your certification or have your certification withdrawn.

Extensions of time may be granted at the discretion of Food Safety Plus.

### 3.6 Refusal of Certification

In the event that your organisation is unable to comply with the requirements of the HACCP Certification Criteria, Food Safety Plus may refuse to grant certification. The decision to refuse certification, and the grounds for that decision, will be communicated to your organisation in writing.

### 3.7 Appeals and Complaints

Appeals against certification decisions made by Food Safety Plus, and complaints against the service provided by Food Safety Plus, may be made in writing to the Managing Director of Food Safety Plus.

### 3.8 Confidentiality

You agree and authorise Food Safety Plus to publish details of your organisations name, scope and details of certification, and your organisations corporate mark or logo on our website or promotional material. All other information relating to an applicant or a certified organisation is treated as privileged information.

## 4. POST-CERTIFICATION ACTIVITIES

### 4.1 Obligations of Certified Organisations

Following certification, there are a number of managerial responsibilities which your organisation needs to observe to maintain Food Safety Plus Pty Limited certification. These include:

- compliance with the Food Safety Plus Pty Ltd Certification Criteria (refer Section 8);
- conduct of regular internal reviews of your management system, with appropriate records of such reviews and of any subsequent corrective actions;
- notification to Food Safety Plus of any significant changes in the structure and operations of your organisation.

### 4.2 Audit and Review Activities

After certification, Food Safety Plus will conduct on-site surveillance audits of your organisations certified HACCP system at periodic intervals. The frequency of these audits varies depending on the risk and the confidence held by Food Safety Plus in the effectiveness of the food safety management system.

	Recertification	Surveillance
FOOD SAFETY PLUS HACCP	12 months	6 months*

\* Organisations with low food safety risk and no critical or major non-conformances may be granted annual surveillance audits.

Dates and times for these visits are negotiated and agreed with your organisation, and an audit plan forwarded to your organisation prior to the audit. When these audit dates and times have been agreed and confirmed via the letter forwarding the audit program, Food Safety Plus will have committed resources to conduct the audit. If circumstances arise such that your organisation feels that the audit should be postponed, these circumstances must be advised to the Food Safety Plus Client Manager for your organisation as soon as practicable to enable the audit to be rescheduled and the resources utilised elsewhere. Food Safety Plus reserves the right to charge clients for any costs or loss of income associated with the cancellation or postponement of an audit.

Any changes required to your organisations scope of certification can be processed in conjunction with the ongoing audit program.

### 4.3 Suspension or Withdrawal of Certification

Food Safety Plus may suspend or withdraw certification if your organisation's food safety management system has persistently been ineffective or failed to meet certification requirements, or your organisation does not allow surveillance or re-certification audit at the required frequency.

## 5. USE OF THE FOOD SAFETY PLUS CERTIFICATION MARKS

### 5.1 Introduction

After an organisation is granted certification by Food Safety Plus, it becomes eligible to use the appropriate Food Safety Plus certification marks to promote the fact that the organisation is certified.

### 5.2 How the Marks may be used

The certification marks can be used to convey the organisation's certification to clients and the public. It can be used on:

- corporate letterhead, advertising material, corporate brochures, corporate signs, business cards, motor vehicles, packaging (under certain conditions - see below), other promotional material

The Mark must only be used by organisations certified by Food Safety Plus. It cannot be used by:

- a) a parent or subsidiary company<sup>↑</sup>;
- b) another company<sup>↑</sup> that has any connection with the certified company (e.g. a supplier, a purchaser, a consultant to the company, a franchise, etc);
- c) a company whose Food Safety Plus Pty Limited certification has been withdrawn or suspended.

The Mark must be used in a manner that:-

- d) relates directly to the physical locations, products, services, or activities detailed in the Scope of Certification issued by Food Safety Plus; and

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<sup>↑</sup> Unless the parent, subsidiary or other company has also gained Food Safety Plus Pty Ltd HACCP Certification.

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- e) does not imply or suggest that the certification cover physical locations, products, services or activities that are not detailed in the Scope of Certification issued by Food Safety Plus.

The certification marks must not be used in any manner that implies or creates the impression that Food Safety Plus certifies a particular product. Where the certification marks are used on packaging materials (including labels attached to packaging) it is recommended that wording similar to the following be included adjacent to the marks, where practicable, when they are used on packaging:

*"Manufactured under a certified HACCP management system"*

### 5.3 Food Safety Plus Certification Marks

The following certification marks may be used to identify organisations certified to FOOD SAFETY PLUS HACCP Criteria:



## 6. CONDITIONS OF CERTIFICATION

The Managing Director (the MD) of Food Safety Plus has approved the following conditions for maintenance of certification of organisations certified under its HACCP Programme

- Upon granting of certification, the MD will issue the organisation with a 'HACCP certificate' and publish the fact along with full details of the certification. The scope of activities for which certification has been granted is documented within the certificate.
- The 'HACCP certificate' remains the property of Food Safety Plus and must be returned promptly to Food Safety Plus on request or termination of certification.
- The certified organisation shall not in any way use the fact that certification has been granted to provide customers with misleading information regarding applicability of the certification outside the scope for which certification has been granted.
- The certified organisation indemnifies Food Safety Plus and agrees to keep it indemnified against all costs and expenses which may be sustained and incurred by Food Safety Plus because the certified organisation uses the certification in any manner that implies or creates the impression that Food Safety Plus certifies a particular product, activity or service.
- The certified organisation indemnifies Food Safety Plus and agrees to keep it indemnified against all costs and expenses which may be sustained and incurred by the certified organisation.
- For continuance of certification, the MD shall be satisfied that the following conditions are met:
  - (a) continued compliance with these conditions of certification;
  - (b) continued compliance of the organisation's management system with the Food Safety Plus HACCP Criteria against which certification is held;
  - (c) conduct by a certified organisation which, in the opinion of the MD, is consistent with maintenance of the standing and reputation of Food Safety Plus; and
  - (d) payment by the prescribed dates of all fees set by the MD for continuance of certification.
- Following certification, the certified organisation shall:
  - (a) maintain the management system in accordance with the scope of certification;
  - (b) maintain a controlled copy, or provide copies on request, of relevant policy manual and procedures for use by Food Safety Plus in performing ongoing audit surveillance and periodic reassessment;
  - (c) make personnel, records, and facilities available for audit by Food Safety Plus staff on the dates and at the times agreed and confirmed in writing by Food Safety Plus;
  - (d) maintain records of all complaints that reflect on the integrity of the certified HACCP system, including as appropriate complaints regarding product quality and safety, and consequent corrective action to the management system.

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- Following certification, Food Safety Plus will:
  - (a) conduct audits of the certified organisation's management system at approximately six or twelve monthly intervals and conduct reassessments as indicated (refer 4.2)
  - (b) consider requests from the certified organisation for changes to the scope of the certification and evaluate such requests during audits and reassessments subject to payment of any additional costs associated with this evaluation process;
  - (c) notify the certified organisation in writing of any changes in the scope of certification;
  - (d) notify the certified organisation in writing of any audit or reassessment findings that require corrective action to maintain the certification.
- The certified organisation shall, in a time frame agreed with Food Safety Plus, rectify any deficiencies found during audits or reassessment that impact on the scope of certification or compliance of the management system with the relevant standard.
- Certified organisations may use the Food Safety Plus HACCP Certification Marks subject to compliance with the following conditions:
  - (a) the certification mark may be used on correspondence, advertising and promotional material in conjunction with the certified organisation's name or emblem, and shall not be used in connection with goods, services, activities or locations not covered by the scope of certification;
  - (b) the certification mark shall only be reproduced in the style and colours approved by the MD;
  - (c) the certification mark shall not be used in any manner that implies approval of a product or service;
  - (d) on notification in writing, the certified organisation shall discontinue any use of the mark that is unacceptable to the MD and any form of statement used in conjunction with the mark that may be misleading. The certified organisation shall also undertake any other action requested by the MD with regard to unacceptable use of the mark;
  - (e) upon termination of certification, the certified organisation undertakes to discontinue immediately use of the mark.
- In the event that an applicant organisation fails to comply with the requirements of Terms and Conditions, or in the event that a certified organisation fails to comply with the Certification Requirements (criteria) or is unable to maintain compliance with the Certification Requirements (criteria), Food Safety Plus may:
  - (a) refuse certification;
  - (b) suspend certification;
  - (c) reduce the scope of certification;
  - (d) withdraw certification.Such decisions and the grounds for them will be communicated to the organisation in writing.
- When an organisation's certification is suspended, the organisation shall, for the period of suspension:
  - i) withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organisation is certified;
  - ii) ensure that all copies of certificates and scopes of certification are removed from areas of public display;
  - iii) cease to use the certification mark on stationery and other documents that are circulated to existing and potential clients, or in the public domain;
  - iv) advise Food Safety Plus in writing of action taken with respect to the requirements listed in section (a) ii) above;
  - (a) Food Safety Plus shall advise the organisation in writing of the certification processes that will need to be completed to restore certification;
  - (b) during the period of suspension the organisation shall continue to pay all fees levied by the MD.
- When an organisation's scope of certification is reduced, Food Safety Plus shall issue revised certificates and scopes of certification as appropriate and the certified organisation shall:
  - (a) return all superseded certificates;
  - (b) ensure that use of the certification mark is adjusted to reflect the reduced scope of certification; and

## Food Safety Plus HACCP Certification Requirements

- (c) ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification.
- When an organisation's certification is withdrawn, the organisation shall immediately:
  - (a) Withdraw cease any advertising and promotional activities and materials that promote the fact that the organisation holds certification; and
  - (b) cease to use the certification mark in any way to promote the fact that the organisation holds certification.
- The granting of management systems certification by the MD in no way implies that products, activities or services included in the scope of certification are approved by the Accreditation Board of the Joint Accreditation System of Australia and New Zealand (JAS-ANZ).
- Certification may be withdrawn at the sole discretion on the Managing Director of Food Safety Plus

## 7. FOOD SAFETY PLUS TRADING TERMS

Receipt by us of the completed Application Form and payment of the application fee signifies acceptance of the Food Safety Plus standard fee structure (or formal proposal). It also signifies agreement by your organisation to comply with the requirements of the Food Safety Plus *"Food Safety Certification Requirements"*.

We reserve the right to vary our fees in accordance with acceptable business practice. Unless otherwise indicated, travel expenses will be charged at cost, or the current ATO specified rate. The fees quoted in any formal proposal submitted by Food Safety Plus are based on the scope of work defined in the proposal and are subject to change if the scope of work changes.

To protect the credibility of Food Safety Plus, we reserve the right to:-

- vary the frequency and duration of audits in line with the level of confidence that Food Safety Plus holds in the effectiveness of the certified HACCP system, and to charge additional fees accordingly;
- suspend or withdraw certification if the Food Safety Plus terms, conditions and requirements are not fully complied with; and
- make such certification decisions without liability under any contractual requirement specified elsewhere.

Food Safety Plus may, at its discretion, charge for all non-refundable costs associated with the cancellation of audits by the client. Unless otherwise stated, the fees quoted **do not** include GST.



## Part 2: HACCP Certification Requirements

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### 8. FOOD SAFETY PLUS HACCP CERTIFICATION CRITERIA

#### 8.1 Introduction to the Food Safety Certification Criteria

Our Food Safety Certification Criteria has three principle components. The first concentrates on Management System requirements which contain those elements common to any good business system - food safety policy, organisational structure and responsibilities, document & record control procedures. The second element is the requirement for the development of a Food Safety Plan based on the seven principles of HACCP as developed by the Codex Alimentarius Commission and applied through FSANZ Food Standard 3.2.1 *Food Safety Programs*. The third element of the system is for practices which are collectively known as prerequisite programs, support programs, Good Manufacturing Practices (GMP), or Good Hygiene Practices (GHP), and include elements such as staff hygiene policies, approved supplier programs, cleaning programs, recall procedures, etc. These practices are specified in FSANZ Food Safety Standard 3.2.2 *Food Safety Practices and General Requirements* and 3.2.3 *Premises and Equipment*.

Certification of a Food Safety System is not a guarantee by Food Safety Plus or any organisation there will be no food safety hazards caused by the certified organisation, or that legislative requirements and codes of practice will always be met. Certification is a statement of compliance with our Criteria at the time of certification, and a statement of the assessed overall ability of the organisation to identify and manage potential food safety hazards.

#### 8.2 Management System Requirements

Your organisation shall develop, document and implement the following management system elements to support your HACCP Food Safety System:

##### 8.2.1 Food Safety Policy

Your organisation shall develop and support a policy which states the business intent for the supply of safe products that meet customer expectations and legal requirements. The policy shall outline the business' commitment to continuous improvement, include a commitment to produce safe and legal food products and be signed by the senior executive manager. The policy shall be communicated to all staff within the business.

##### 8.2.2 Organisational Chart & Job Descriptions

A current and accurate organisational chart shall be available which identifies all the management and staff positions within your organisation.

Position descriptions shall be available for all positions on the organisational chart which have responsibility for food safety and maintenance of the HACCP system.

##### 8.2.3 Document Control (Principle 7)

Your organisation shall establish a written procedure describing how all documents within the HACCP System are controlled to ensure only the most current and authorised version is available to staff. The date and/or version number shall be indicated within each document.

External documents required to maintain the system including relevant industry standards, guidelines, regulations, etc shall be retained and controlled.

A Document register shall be maintained where amendments are made to the documents listed in the register this shall be recorded

##### 8.2.6 Record Control (Principle 7)

Records shall be retained for a minimum of 1 year or longer as required by legislation.

### **8.2.7 Food Safety Review by Management (Food Standard 3.2.1 clause 3)**

The Food Safety System shall be reviewed at least annually including the Food Safety Policy, organisational chart, document control, internal and external feedback, corrective and preventive actions, verification activities and pre-requisite programs. Where any changes occur which could potentially introduce change to the content or application of the food safety program an additional review shall be undertaken.

Records of such reviews shall be maintained.

## **8.3 Food Safety Program**

Your organisation shall develop, document, and implement a food safety plan based on Codex HACCP Principles. You shall consider all food safety hazards, as well as quality hazards (where applicable).

### **8.3.1 The HACCP Team (Step 1 of Codex HACCP)**

The organisation shall identify and document the members of the organisation who have knowledge to develop and maintain the HACCP Plan. At least one operationally accountable team member shall have attended an industry recognised training course in the application of food safety. Where applicable, this course shall meet legal requirements.

### **8.3.2 Product Description and Intended Use. (Steps 2 and 3 of Codex HACCP)**

A Product Description shall be developed and documented for all products included within your product scope. 'Like' products that are processed in similar ways may be grouped together in the one Product Description. Products that are processed differently require a separate Product Description. Each Product Description shall cover the following criteria:

- Description of product
- Composition
- Packaging – primary & secondary
- Storage, handling & distribution methods
- Shelf life (where applicable)
- Intended Use of the product(s);
- Sensitive consumers such as vulnerable persons including aged and infants.

If your organisation already has finished product specifications including recipes and menus that cover the same information as outlined above, then the specifications may satisfy this requirement.

### **8.3.3 Flow Diagram (Steps 4, 5 of Codex HACCP)**

All the major steps in the process (or processes) shall be identified and documented on a flow diagram. If there are any significant inputs at a particular step, they shall also be identified on the flow diagram. Examples of inputs include water, rework etc. Once developed, the Food Safety Team shall verify the accuracy of the Flow Diagram on site.

### **8.3.4 Hazard Identification, Analysis and Control (Step 6, Principle 1 of Codex HACCP)**

A hazard analysis shall be undertaken and documented at each step identified in the flow diagram (refer 8.3.3). At each step, all possible food safety and quality hazards shall be considered and documented, and the cause of the hazard should also be documented.

Once all hazards have been identified, a risk assessment shall be undertaken to determine which hazards are significant for your organisation and which ones are not. Significance is to be determined by comparing severity of the hazards against the likelihood of the hazard occurring. There is no specific methodology required to be used to determine significance. However once determined, the method shall be consistently applied.

For all hazards that are determined to be significant, at least one control measure shall be determined to prevent it from occurring or reduce it to an acceptable level.

### **8.3.5 Determining Critical Control Points (Step 7, Principle 2 of Codex HACCP)**

A Critical Control Point (CCP) is a step in the process at which control shall be applied to eliminate a food safety hazard or reduce it to an acceptable level. A CCP is an action taken as part of the process flow. There is no limit to the number of CCPs in a process and there is no specific methodology required to be used to determine CCPs. Your organisation may develop the method or utilise the Codex HACCP decision tree. However the CCP determination shall identify all the process steps where control is necessary to eliminate or reduce a food safety hazard, and shall be applied consistently to all process steps.

### **8.3.6 HACCP Audit Table**

A HACCP Audit Table shall be developed, documented and applied which includes each step of the process(es). It shall list all the CCPs identified in the Hazard Analysis, and shall include the following requirements:

#### **8.3.6.1 Establish Critical Limits (Step 8, Principle 3 of Codex HACCP)**

For all CCPs, critical limits shall be established and documented in the HACCP Audit Table. Critical Limits establish the difference between safe and unsafe (good quality and poor quality product). If the critical limit for a CCP is exceeded a hazard may exist.

Where critical limits are not available through industry standards, legislation, codes of practice or published research, it is the responsibility of your organisation to undertake a validation study to ensure that the limits will control the significant hazard. Validation data shall be documented and maintained by your organisation.

#### **8.3.6.2 Monitoring of CCPs (Step 9, Principle 4 of Codex HACCP)**

Your organisation shall document how each CCP is to be monitored to ensure it is within the critical limits that have been set. Monitoring procedures shall define what is being monitored, how the monitoring is done, the frequency of the monitoring, where the monitoring is to be undertaken and who is responsible for undertaking the monitoring.

When determining the frequency of monitoring, it shall be sufficient to ensure that the CCP is under control.

Records of monitoring of CCPs shall be maintained and be signed by the person responsible for the monitoring and by a responsible reviewing officer unless that is the same person.

#### **8.3.6.3 CCP Corrective Actions (Step 10, Principle 5)**

CCP Corrective Actions shall be developed; documented and implemented that defines the action(s) to be taken when monitoring reveals that the critical limits have not been met

The procedures shall state what action is to be taken regarding the affected product and what procedures are undertaken to determine the root cause of the problem and prevent its recurrence.

#### **8.4 Verification Activities (Step 11. Principle 6 of Codex HACCP)**

Verification procedures are required to ensure that the HACCP System is being followed and is effective. As a minimum, the verification activities that shall be undertaken include: internal audits, food safety plan review, microbiological and chemical testing (where applicable), finished product assessments (where applicable), and review of monitoring and corrective action records.

##### **8.4.1 Internal Audits**

An internal audit of the entire HACCP Food Safety System shall be carried out on a (minimum) annual basis, and sufficient to maintain the effectiveness of the system. Records of internal audits shall be retained. This may be conducted as part of Management Review (refer 8.2.7) and may include Food Safety Plan Review (refer 8.4.2)

##### **8.4.2 Food Safety Plan Review**

The food safety system shall be reviewed at least annually, and when changes in formulation, equipment, processes or procedures occur which could potentially introduce new hazards or change the significance of existing hazards. Appropriateness of the system should be reviewed and verified by the HACCP team. (See also 8.2.7 and 8.4.1)

##### **8.4.3 Microbiological & Chemical Testing Schedule (where applicable)**

Where microbiological and/or chemical hazards have been identified as important during the hazard analysis process, a schedule of testing shall be included to confirm that CCPs and QCPs are under control.

##### **8.4.4 Finished Product Assessments**

A schedule of assessments of finished product against your finished product specifications shall be developed, documented and implemented. Finished Product Assessments are required by the business to ensure the product is edible and legal. Records of these assessments shall be kept.

##### **8.4.5 Customer Complaints**

A process for reviewing customer complaints that relate to food safety and quality issues shall be developed, documented and implemented.

##### **8.4.6 Records of Verification and Activities**

Records of all verification and monitoring activities shall be maintained by your organisation.

#### **8.5 Prerequisite (Supporting) Programs**

The following prerequisite (sometimes referred to as “supporting”) programs shall be included in your Food Safety System. The extent to which they apply will vary with the type of business and food safety risk. However they shall all be considered and applied where appropriate

##### **8.5.1 Staff Hygiene (Food Standard 3.2.2 clauses 13-18)**

A staff hygiene policy and procedure shall be developed, documented and implemented that covers all the relevant sections of Food Standard 3.2.2 *Food Safety Practices & General Requirements*. As a minimum, the following criteria shall be included:

- Staff illness and reporting
- Eating, drinking & smoking restrictions
- Hand-washing requirements
- Sneezing, coughing & blowing of noses
- Cuts, wounds & bandage requirements
- Clothing requirements
- Jewellery restrictions
- Staff facilities provided by the organisation. This is to include, but not limited to, areas for staff to keep personal belongings, hand-washing & drying facilities, areas for eating drinking and smoking
- Staff movement restrictions

### **8.5.2 Housekeeping Practices and Stock Control (Food Standard 3.2.2 clauses 5-10)**

A Housekeeping and Stock Control policy and practices shall be documented, including, as a minimum:

- The organisation shall ensure that the oldest stock and ingredients are used first.
- Ingredients, raw materials, work in progress, finished product and packaging shall be stored in such a manner that they do not pose a safety or quality risk to the product.
- The organisation shall ensure measures are taken to prevent glass, wood, hard plastic and ceramic from entering the product.
- The organisation shall discard product that may have come into contact with the floor or any other unsanitised surface.
- The organisation shall ensure non-food items including chemicals that could pose a risk to the safety and or quality of the products, are stored.
- Premises Construction & Layout shall meet the requirements of Standard 3.2.3 of the Australian Food Standards Code - *Food Premises and Equipment*
- An adequate supply of potable water shall be available to ensure the safety & suitability of the products supplied. Only potable water is permitted to be used for the following activities - post harvest wash treatments, hand-washing, cleaning, as an ingredient, to make ice.
- All vehicles used to transport raw materials, packaging, work in progress and/or finished product shall be maintained in a good state of repair and in a clean & hygienic condition. The transport vehicle(s) required to transport chilled food shall be able to maintain that food at or below 5°C, maintain the temperature of frozen food, and where required to transport hot food, can maintain a temperature at or above 60°C.
- The organisation shall ensure for all stages of production from receipt through to finished goods, products are clearly identified. This shall include raw material receipt, storage, work in progress, rework, final product; reject product, quarantined product, downgraded/damaged stock, and waste product(s).

Housekeeping and Stock Control checks are required to be undertaken and records of these checks maintained. The frequency of the checks is to be determined by the organisation and defined within the policy.

### **8.5.3 Approved Supplier Program (Food Standard 3.2.2 clause 5)**

An Approved Supplier Program is required for all products and services that could affect the safety or quality of your organisations finished product. Your organisation shall determine and document the requirements for approving each supplier and service provider and the means to discontinue trade with the supplier. The following suppliers/providers shall be included:

- Raw Ingredients & Finished Goods Suppliers
- Packaging Suppliers
- Chemical Suppliers
- Service Providers

An annual review of all approved suppliers shall be undertaken to verify their performance. Records of the reviews shall be maintained.

### **8.5.4 Skills and Training Policy (Food Standard 3.2.2 clause 3)**

The organisation shall also develop a skills and knowledge policy to ensure that all staff members whose actions directly or indirectly impact on the safety of the food and/or ingredient, are competent in food safety at a level appropriate to the role they perform.

The policy shall include a review of staff food safety competence as part of the internal audit program. Records of all training and qualifications undertaken by staff and records of competence reviews shall be maintained.

#### **8.5.5 Cleaning and sanitation (Food Standard 3.2.2 clauses 19 – 20)**

The organisation shall develop, document and implement a cleaning program. The program shall identify the following:

- Areas within and outside the premises that require cleaning.
- Equipment that requires cleaning
- Between batch cleaning
- Method of cleaning
- Frequency of cleaning
- Chemicals used (if applicable). All cleaning chemicals that either directly or indirectly come into contact with food shall be food grade. Where required by the auditor, evidence that all cleaning chemicals on site are food grade shall be provided
- Person(s) responsible for the cleaning
- Records of cleaning

The cleaning program shall state how monitoring of cleaning is undertaken, the frequency of monitoring, and corrective action to be taken if monitoring reveals that the cleaning is not effective

#### **8.5.6 Pest Management (Food Standard 3.2.2 clause 24)**

The organisation shall have in place a documented pest management program which includes a schedule for the application and frequency of treatments. The program shall also include:

- A site maps depicting the type and location of treatments and baits
- A current Material Safety Data Sheets (MSDS) shall be maintained for any pest control chemical that is being used on site.
- Where an external pest control contractor is used, you shall obtain a copy of the contractor's licence and insurance,
- Records of treatments and corrective action shall be maintained.

Chemicals used to control pests on or near food, food packaging, or food contact surfaces shall be food grade.

#### **8.5.7 Maintenance (Food Standard 3.2.2 clause 21)**

Equipment used to produce, prepare, store, process, or pack food shall be suitable for purpose, food grade (if in contact with food), easily cleaned, and assessed regularly to ensure it is in good condition.

Your organisation shall have in place a planned maintenance process for all food processing plant, equipment, services, premises and surrounds.

A record shall be kept of equipment inspections and planned maintenance.

Personnel involved in conducting maintenance, whether staff or contractors, shall adhere to the staff hygiene policies.

#### **8.5.8 Calibration of temperature measuring devices (Food Standard 3.2.2 clause 22)**

Your organisation shall have in place a process to ensure that all thermometers used to inspect, measure or test the product is reading accurately so that the results of these readings can be relied upon. The process shall include the following:

- A list identifying all the thermometers on site (except where there is only one)
- Frequency of calibration
- Method of calibration
- A degree of accuracy to +/- 1°C.
- A method of identifying equipment that is out of calibration
- A method for taking corrective action on product produced whilst equipment was out of calibration.

Records shall be available of all calibrations or checks and any corrective action taken when equipment is found to be out of calibration.

#### 8.5.9 Food Disposal (Food Standard 3.2.2 clause 11)

Your organisation shall have in place a process to ensure that food that:

- is subject to recall
- has been returned
- is not safe or suitable; or
- is reasonably suspected of not being safe or suitable.

can be clearly identified and kept separate until it can returned to the supplier, destroyed or otherwise made safe.

#### 8.5.10 Notification of Allergens

Your organisation shall develop and implement a process for the preparing of foods to persons who have notified you that they suffer adversely to allergens. Recipes shall be reviewed at least annually and more frequently if any of the following occur:

- Changes to laws in relation to labelling
- Changes to recipes including the introduction of ingredients that contain allergens
- Changes to the labels/packaging are made

#### 8.5.11 Recall

Your organisation shall have a recall procedure in place that complies with the requirements of the current edition of the Food Industry Recall Protocol published by Food Standards Australia and New Zealand (FSANZ). The procedure shall contain a current version of the Food Recall Action Officers list published by FSANZ.

Your organisation shall undertake an annual mock recall to verify the effectiveness of the recall procedure and demonstrate actions taken as a result of that recall. Records of the mock recall shall be kept and available.

#### 8.5.12 Corrective Action of the HACCP System

You shall have in place a corrective action process in addition to the corrective action requirements detailed on the food safety plan and prerequisite programs. The purpose of Corrective Action is to help identify the root cause of problems and system faults as they occur, and to help prevent re-occurrence of the situation.

The Corrective Action Procedure shall be implemented for the following situations:

- Customer complaints
- Continual product rejections
- Production of unsafe products
- HACCP Food Safety System failures.

Corrective actions are to be reviewed and investigated, and records shall be maintained.



## 9. Agreement Form

ORGANISATION DETAILS			
Registered Business Name:			
ABN:			
Trading name:			
Name of Proprietor(s) or Executive Manager responsible for food safety:			
Located at:			
Address of site seeking certification:			
Postal Address:			
Telephone:		Email:	
<b>Fees:</b>			
<b>Scope:</b>			
<b>Payment terms</b>			
1. Payment terms are net 30 days from date of issue of the invoice.			
2. Cancellation of services accepted in this proposal must be made in writing. If your cancellation is received less than seven (7) calendar days from the agreed date of commencement of services, the full service fee will be charged.			
3. This proposal is valid for one month from the proposal date.			
<b>Agreement for HACCP Certification</b>			
I hereby accept the proposal and agree to the terms of the Food Safety Plus "Food Safety Certification Requirements". I represent this organisation in all matters affecting HACCP certification and have the authority to commit the organisation to compliance with all certification and indemnity requirements.			
Signature:	Date:		
.....	.....		
Name:	Position:		
.....	.....		