



The Global Food Safety Initiative  
**GFSI** GUIDANCE DOCUMENT



Sixth Edition

Version 6.3



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This document has been written with input from our stakeholders, including retailers, food manufacturers, food service providers, accreditation bodies, certification bodies and other service providers. GFSI would like to thank all those who have helped with the continuous improvement of this document.



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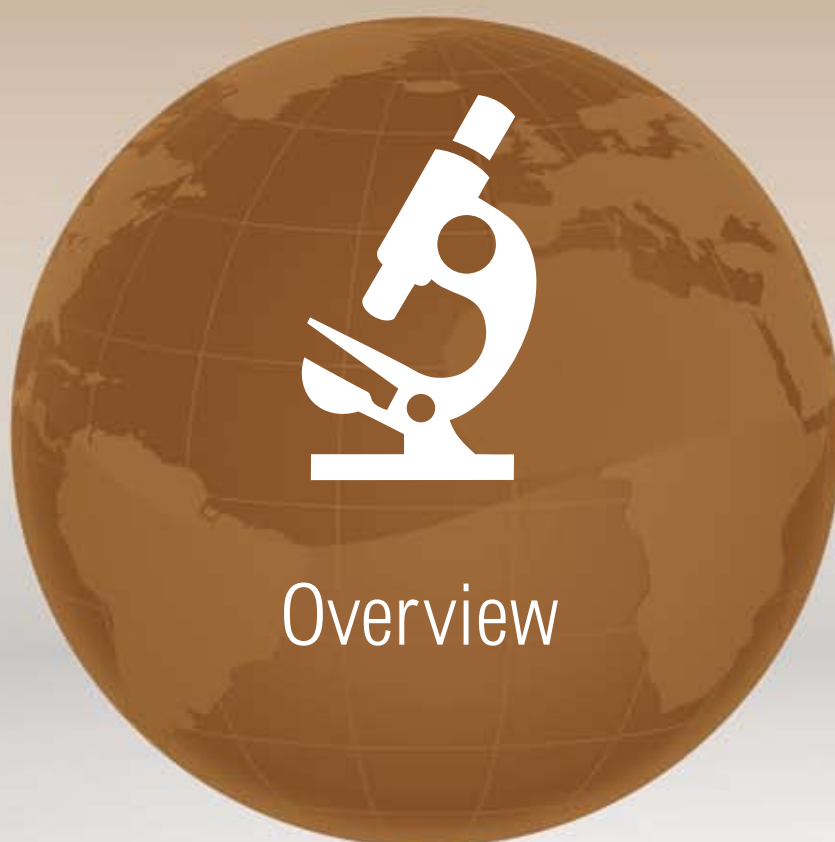
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# Overview

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## OVERVIEW

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# Foreword

## Global Food Safety Initiative

The Global Food Safety Initiative (GFSI) is a non-profit making foundation, created under and governed by Belgian law. The daily management of GFSI is undertaken by The Consumer Goods Forum. The Consumer Goods Forum has endeavoured to ensure that the information in this publication is accurate and The Consumer Goods Forum shall not be held liable for any damages (including, without limitation, damages for loss of business or loss of profits) arising in contract or otherwise from this publication or any information contained in it, or from any action or decision taken as a result of reading this publication or any such information. The fundamental principles underpinning this Guidance Document have resulted from the continuous review of the requirements of food retailers, food suppliers and food service providers. However, this document does not replace the requirement for food businesses to understand and meet the requirements of local and market food safety legislation. This document will be reviewed on a regular basis and revised where considered appropriate.

## Introduction - The Global Food Safety Initiative (GFSI)

The Global Food Safety Initiative (GFSI) is managed by The Consumer Goods Forum and was launched in May 2000. The GFSI Foundation Board of Directors is drawn from major global retailers, manufacturers and food service operators and, together, this group provides the strategic direction for and oversees the daily management of GFSI. Membership of the Board is by invitation only.

**The GFSI Vision is “driving continuous improvement in food safety to strengthen consumer confidence worldwide”.**

**The GFSI Mission is to provide continuous improvement in food safety management systems to ensure confidence in the delivery of safe food to consumers worldwide.**

**The GFSI Objectives are to:**

- ▶ Reduce food safety risks by delivering equivalence and convergence between effective food safety management systems, as outlined in this Guidance Document,
- ▶ Manage cost in the global food system by eliminating redundancy and improving operational efficiency,
- ▶ Develop competencies and capacity building in food safety to create consistent and effective global food systems,
- ▶ Provide a unique international stakeholder platform for collaboration, knowledge exchange and networking.

The GFSI Foundation Board also provides governance to the Technical Working Groups, an international multi-stakeholder group of over 90 food safety experts. The Technical Working Groups are mandated with specific tasks, approved by the GFSI Foundation Board, in order to fulfil the GFSI Mission. The Technical Working Groups are open to all stakeholders by invitation only, subject to approval by the GFSI Board.

The Guidance Document is a tool which fulfils one of the main objectives of GFSI, that of determining equivalency between food safety management systems. GFSI is responsible for the production and maintenance of the Document, which is readily available on the GFSI website ([www.mygfsi.com](http://www.mygfsi.com)). The Guidance Document has undergone consultation with stakeholders and has been approved by the GFSI Board.

After publication the GFSI Guidance Document remains subject to review and revision by the GFSI Technical Working Groups and there are sections of the document which shall be further developed by specific Technical Working Groups on an ongoing basis. Stakeholders are invited to submit comments and proposals for changes, which will in turn be presented to the Technical Working Groups, who will recommend revisions accordingly. A full review of the GFSI Guidance Document will be undertaken at least every 4 years, although addenda may be added at any time with the approval of the GFSI Board.

Through this process of continuous improvement, GFSI provides a recognition process, which can be used by food industry stakeholders. However, it is at the discretion of individual food businesses as to which GFSI benchmarked scheme(s) they choose to apply; the decision shall be dependent on company policy, customer requirements, general regulatory requirements, due diligence obligations and product liability.

## Scope

The GFSI Guidance Document specifies the process by which food safety schemes may gain recognition (*GFSI Guidance Document, Part I – The Benchmarking Process*) and gives guidance to schemes seeking compliance. It also specifies the requirements to be put in place for a food safety scheme seeking recognition by GFSI (*GFSI Guidance Document, Part II – Requirements for the Management of Schemes*) and the key elements for production of safe food or feed, or for service provision in relation to food safety (*GFSI Guidance Document, Part III – Scheme Scope and Key Elements*).

The key elements have been developed by members of the GFSI Technical Working Groups and other experts, who have advised upon sector specific requirements. These key elements can be directly related to the food safety principles laid down by Codex Alimentarius Standards and Guidance, as well as Codes of Practice, where appropriate.

The GFSI Guidance Document, therefore, is not in itself a food safety standard and GFSI is not involved in certification or accreditation activities.

Food safety schemes can apply for recognition against scope(s), which are clearly defined sectors of the food supply chain and are specified in *Part II, Annex 1 – GFSI Scope of Recognition*. The key elements for these sectors are specified in *Part III – Scheme Scope and Key Elements* of the GFSI Guidance Document.

A scheme's standard, auditor competence requirements, certificate audit programme and management system shall be assessed against these requirements by the GFSI Benchmark Committee to verify compliance and, if successful, the scheme shall achieve formal recognition by GFSI.

The requirements within this document shall be reviewed, maintained and updated by GFSI to ensure currency, consistency and integrity.

## Section Overview

### Part I – The Benchmarking Process

This section has been developed and published by GFSI to specify the requirements for the benchmarking of food safety schemes.

The objectives of Part I are to define:

- ▶ the requirements for the key steps in the GFSI benchmarking process,
- ▶ the requirements for selection of GFSI Benchmark Committee members,
- ▶ the systems and procedures relating to the GFSI benchmarking process.

GFSI shall ensure that the process of benchmarking and associated procedures is transparent and open to stakeholder scrutiny. The systems and procedures associated with the GFSI benchmarking process will be reviewed, maintained and updated to ensure consistency and integrity.

## Part II – Requirements for the Management of Schemes

This section has been developed and published by GFSI to specify the requirements for the management and control of food safety schemes.

The objectives of this section are to define:

- ▶ the requirements for eligibility of a food safety scheme to be considered for benchmarking by GFSI,
- ▶ the requirements for food safety scheme ownership and management,
- ▶ the requirements for food safety scheme support systems,
- ▶ the requirements for continuing recognition by GFSI, if recognition status is granted,
- ▶ the requirements for the competence of auditors working for Certification Bodies that have achieved, or are seeking, accreditation for a food safety scheme in relation to one or more GFSI scopes of recognition.

## Part III – Scheme Scope and Key Elements

This section has been developed and published by GFSI to specify the scope requirements for the recognition of food safety schemes.

The objectives of this section are to define:

- ▶ the requirements for the food safety system to be present in the scheme's standard for each GFSI scope of recognition,
- ▶ the requirements for the Good Practice requirements to be present in the scheme's standard for each GFSI scope of recognition,
- ▶ the requirements for HACCP or HACCP-based requirements to be present in the scheme's standard for each GFSI scope of recognition.

GFSI has worked closely with food industry experts to clearly define the requirements that shall be put in place to provide food safety assurance in specific sectors of the food industry and food businesses providing products and services to the food industry. These requirements will differ from sector to sector of the food supply chain.

## Normative References

The following are referenced documents used in determining the application of the GFSI Guidance Document:

- ▶ **ISO/IEC Guide 65:1996** General requirements for bodies operating product certification systems
- ▶ **ISO/IEC 17021:2006** Conformity assessment - Requirements for bodies providing audit and certification of management systems
- ▶ **ISO/IEC 17000:2004** Conformity assessment - Vocabulary and general principles
- ▶ **ISO 9001:2008** Quality management systems - Requirements
- ▶ **ISO/IEC 17011:2004** Conformity assessment - General requirements for accreditation bodies accrediting conformity assessment bodies
- ▶ **ISO 22000:2005** Food safety management systems - Requirements for any organization in the food chain
- ▶ **ISO /TS 22003:2007** Food safety management systems - Requirements for bodies providing audit and certification of food safety management systems
- ▶ **ISO 9000:2005** Quality management systems - Fundamentals and vocabulary
- ▶ **Codex Alimentarius Commission** Recommended International Code of Practice - General Principles of Food Hygiene CAC/RCP1-1969, Rev. 4 -2003
- ▶ **National Advisory Committee on Microbiological Criteria for Foods** Hazard Analysis and Critical Control Point Principles and Application Guidelines, August 1997.



# PART I



## Benchmarking Process

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# THE BENCHMARKING PROCESS

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# Introduction

This section is the first part of the Guidance Document, which has been developed and published by the Global Food Safety Initiative (GFSI) to specify the requirements for the recognition of food safety schemes.

The objectives of Part I are to define:

- ▶ the requirements for the key steps in the GFSI benchmarking process,
- ▶ the requirements for selection for the GFSI Benchmark Committee members,
- ▶ the systems and procedures relating to the GFSI benchmarking process.

GFSI shall ensure that the process of GFSI benchmarking and associated procedures is transparent and open to stakeholder scrutiny. The systems and procedures associated with the GFSI benchmarking process will be reviewed, maintained and updated to ensure consistency and integrity.

## 1. The Benchmarking Process

### 1.1 Introduction

The benchmarking process carried out by GFSI is the method by which a food safety scheme is objectively compared to defined requirements as laid down in the GFSI Guidance Document to determine equivalence.

The comparison is carried out by a Committee of food safety experts appointed by the GFSI Board in order to ascertain whether a scheme can demonstrate conformity with the requirements of the GFSI Guidance Document. This committee will, following the review, make recommendations to the GFSI Board for recognition or non-recognition of the food safety scheme. The review is carried out in a systematic manner, in accordance with the process defined within this document.

The detailed steps, systems and procedures developed by GFSI serve to demonstrate that the GFSI benchmarking process is carried out in an independent, impartial and transparent manner by technically competent food safety experts.

The review is undertaken by directly comparing the applicant scheme requirements (the scheme standard and its supporting systems) with the requirements specified within *GFSI Guidance Document Part II Requirements for the Management of Schemes* and the relevant section(s) of *GFSI Guidance Document Part III Scheme Scope and Key Elements*.

### 1.2 The Key Procedural Steps

The benchmarking process shall be carried out in accordance with the following key procedural steps:

- 1. Preliminary Screening and Benchmarking Application**
- 2. Preliminary Desk Review**
- 3. Benchmark Committee Review**
- 4. GFSI Board Review**
- 5. Annual Assessment**
- 6. Continued Recognition**

The scheme owner may withdraw the application at any stage during the benchmarking process, but this must be confirmed in writing to the GFSI Executive Director.

Throughout the benchmarking process the confidentiality of information shall be respected by both GFSI (and representatives appointed by GFSI) and the scheme owner.

### 1.2.1 Preliminary Screening and Benchmarking Application

The objective of the preliminary screening is to ensure the criteria specified in the GFSI Guidance Document are reviewed and checked for completeness before progressing with the application for benchmarking.

The benchmarking application ensures that the scheme owner has provided all relevant information to GFSI to allow an effective assessment to be undertaken.

The applicant scheme shall provide a dossier of information to confirm compliance with the criteria specified in the GFSI Benchmarking Application (available from the secretariat upon request). The dossier shall be detailed and complete. The scheme owner will clearly define, in their application, the scope of recognition sought and may include one or more scopes within one application, as long as all the necessary information is provided to assess against each scope.

The dossier submitted by the scheme owner shall include a series of documents allowing GFSI to carry out an assessment against the requirements of *GFSI Guidance Document Part II Requirements for the Management of Schemes* and the relevant section(s) of *GFSI Guidance Document Part III Scheme Scope and Key Elements (Reference Annex 1 - Scheme Application Guidelines)*. In the case of an application for an extension to scope, it will be necessary to submit only the documentation relating to *GFSI Guidance Document Part III Scheme Scope and Key Elements*.

The scheme owner shall ensure that the provision of information is not in breach of express confidentiality obligations owed to third parties and is not otherwise restricted by applicable laws.

**The application documentation shall be submitted in the GFSI specified format and will include:**

**(a) A summary of the food safety scheme, its objectives, details of its development and the operating procedures required for the certification system,**

**(b) A clause by clause cross-reference of the scheme's standard, which is seeking compliance with the *GFSI Guidance Document Part III Scheme Scope and Key Elements*. This clause by clause comparison shall also detail the compliance criteria and provide the evidence necessary to justify compliance,**

**(c) The requirements of the food safety scheme's management system must be cross-referenced with *GFSI Guidance Document Part II Requirements for the Management of Schemes*.**

In the case of an application for an extension to scope it will be necessary to submit only the documentation relating to *GFSI Guidance Document Part III Scheme Scope and Key Elements*.

The GFSI shall provide proforma / template documentation to the scheme owner to assist with the preparation of the application dossier upon request.

If, during the course of drafting the application documentation, the scheme owner identifies obvious areas of non-compliance with the Guidance Document, these must be addressed prior to submission of the scheme for benchmarking. The application shall be forwarded to the GFSI Executive Director, who will ensure the application is fully reviewed to assess its acceptability to progress to the benchmarking process. The GFSI Executive Director may request any further information from the scheme owner in support of the application.

#### 1.2.1.1 Methodology – Preliminary Screening and Benchmarking Application (New Scheme)

The requirements specified within this clause shall apply to schemes, which have:

- ▶ not previously undergone benchmarking by the GFSI,
- ▶ been previously recognised by the GFSI, but have had their recognition withdrawn.

The GFSI Executive Director shall appoint a GFSI Benchmark Committee Leader for the scheme application and confirm a benchmark programme in accordance with the procedures specified in Annex 2 - GFSI Benchmark Committee Terms of Reference.

The GFSI Executive Director shall then transfer all appropriate paperwork to the GFSI Benchmark Committee Leader.

Once the GFSI Executive Director accepts the scheme for benchmarking, the benchmarking process will only progress when an Agreement or Memorandum of Understanding has been signed between the applicant scheme owner and GFSI (available from the GFSI secretariat upon request).

Confirmation of this acceptance shall be published on the GFSI website and the benchmarking process will begin.

In the event the scheme does not meet the requirements and is, therefore, not accepted for the benchmarking process, the scheme owner shall inform the GFSI Executive Director of their intention to resubmit the application dossier within a given timescale, or not to continue with the application.

An applicant scheme owner shall be permitted to lodge one application with the GFSI per year, but shall only be permitted to submit one re-submission within a twelve month period, if the initial application is unsuccessful.

#### 1.2.1.2 Methodology – Benchmarking Application (Extensions to scope of recognition)

The requirements specified within this clause shall apply to schemes, which:

- ▶ are applying for a new scope of recognition,
- ▶ are seeking a change in extension within an existing recognised scope, which does not represent a significant change to the scheme governance or ownership, the management system or key elements.

The GFSI Executive Director shall appoint a GFSI Benchmark Committee Leader for the scheme application and confirm a benchmark programme in accordance with the procedures specified in *Annex 2 - GFSI Benchmark Committee Terms of Reference*.

The GFSI Executive Director shall check the information provided in the application dossier (available from the GFSI secretariat upon request) to establish if the requirements specified in the GFSI Guidance Document are complete. The GFSI Executive Director shall then transfer all appropriate paperwork to the GFSI Benchmark Committee Leader.

The GFSI Executive Director shall confirm the acceptance of the application for an extension to scope of recognition to the scheme owner and issue a new Agreement or Memorandum of Understanding. Upon signature, the GFSI Executive Director shall ensure that confirmation of this acceptance is published on the GFSI website.

A scheme shall only be permitted to lodge an application for scope extension if there is existing recognition by GFSI for a specified scope of recognition.

An applicant scheme owner shall be permitted to lodge one application for a specific scope of recognition with GFSI per year (the Initial Application) with an opportunity for one re-submission for that scope of recognition within a twelve month period from the date of the initial application, if the initial application is unsuccessful.

#### 1.2.1.3 Methodology – Benchmarking Application (Re-benchmarking)

The requirements specified within this section of the GFSI Guidance Document shall apply to schemes, which have previously undergone benchmarking by GFSI and have been successful in their application, but:

- ▶ have had significant change to the scheme governance or ownership, the management system or key elements, or...
- ▶ a scheme will anyway be benchmarked on the 4 year anniversary of its original recognition, or...
- ▶ there has been a change in the Guidance Document within the four year revision cycle, or...
- ▶ there has been a suspension of recognition by GFSI

The GFSI Executive Director shall check the information provided in the application dossier (available from the GFSI secretariat upon request) to establish if the requirements specified in the GFSI Guidance Document are complete. The GFSI Executive Director shall appoint the Benchmark Leader and then transfer all appropriate paperwork to the GFSI Benchmark Committee Leader.

The GFSI Executive Director shall confirm the acceptance of the application for an extension to scope of recognition to the scheme owner and issue a new Agreement or Memorandum of Understanding. Upon signature, the GFSI Executive Director shall ensure that confirmation of this acceptance is published on the GFSI website.

### 1.2.2 Desk Review

The objective of the desk review is to assess the submissions made by the scheme owner in relation to the requirements specified within *GFSI Guidance Document Part II Requirements for the Management of Schemes* and the appropriate sections of *GFSI Guidance Document Part III Scheme Scope and Key Elements*.

The GFSI Executive Director will appoint a GFSI Benchmark Committee Leader to manage this process in accordance with the procedures specified in Annex 2 of this document.

The GFSI Executive Director will also nominate, with the agreement of the GFSI Board of Directors, a Board member who will be assigned to the scheme application. This Board member shall be kept informed of all activities by the GFSI Benchmark Committee Leader.

The GFSI Benchmark Committee Leader shall be provided with all the scheme application documentation and any supporting documentation, allowing a detailed desk review to be undertaken.

During the Desk Review, the GFSI Benchmark Committee Leader will be looking for demonstrable evidence of compliance with the GFSI requirements from the information submitted by the scheme owner. The GFSI Benchmark Committee Leader shall use his / her expertise, experience and knowledge to ascertain compliance or non-compliance.

If there is any doubt about compliance, or if insufficient or inappropriate information is provided, the GFSI Benchmark Committee Leader will liaise with the scheme owner to establish if further evidence of compliance can be submitted. Throughout this process full documentation shall be in place to record all communication and any documentation submitted to the GFSI Benchmark Committee Leader.

#### 1.2.2.1 Methodology – Desk Review

The appointed GFSI Benchmark Committee Leader will review the information provided by the scheme owner to establish if the requirements specified in *GFSI Guidance Document Parts II and III* are in place. The GFSI Benchmark Committee Leader will look for demonstrable evidence of compliance with the GFSI requirements from the information submitted by the scheme owner. The GFSI Benchmark Committee Leader shall use his / her expertise, experience and knowledge to ascertain compliance or non-compliance with each requirement.

During the desk review the GFSI Benchmark Committee Leader will document all information in an Assessment Matrix and will record and retain all supporting documentation.

During this review the GFSI Benchmark Committee Leader may request any further information that may be required to carry out effective benchmarking of the scheme. The scheme owner shall cooperate fully with the GFSI Benchmark Committee Leader and make documentation or other evidence requested available in a timely manner.

The GFSI Benchmark Committee Leader shall decide upon the completeness of the Assessment Matrix and any supporting documentation before issuing this documentation to the Benchmark Committee.

The GFSI Benchmark Committee Leader shall provide the scheme owner and all members of the Benchmark Committee with the completed Assessment Matrix and all supporting documentation or other evidence for detailed review.

If, for any reason, the Assessment Matrix cannot be completed to the satisfaction of the GFSI Benchmark Committee Leader within agreed programme timescales, the GFSI Benchmark Committee Leader shall make the GFSI Executive Director aware of the situation and the GFSI Executive Director shall decide upon any necessary action.



### 1.2.3 Benchmark Committee Review

The Benchmark Committee review will objectively compare the applicant scheme requirements against the defined requirements laid down in the GFSI Guidance Document and prepare recommendations for recognition or non-recognition.

The membership of the Benchmark Committee, including the GFSI Benchmark Committee Leader, shall be drawn from a cohort of technically competent personnel or external experts. This cohort shall have undergone selection and appointment by GFSI in accordance with the procedures specified in Section 2 and Annex 2 of this document.

In the event that a suitable Benchmark Committee cannot be formed, the GFSI Executive Director shall inform the GFSI Board who shall, in turn, decide on any further action.

The benchmarking process will be carried out in accordance with the Terms of Reference of the *GFSI Benchmark Committee (Annex 2 - GFSI Benchmark Committee Terms of Reference)*.

#### 1.2.3.1 Methodology – Benchmark Committee Assessment

The GFSI Benchmark Committee Leader shall co-ordinate the activities of the Benchmark Committee.

The members of the GFSI Benchmark Committee shall review the completed Assessment Matrix and supporting documentation provided by the GFSI Benchmark Committee Leader and will use their expertise to individually critically assess this information and make a judgement on compliance or non-compliance against each requirement. The members shall, wherever it is felt necessary, challenge or question the judgement of the GFSI Benchmark Committee Leader and may request more evidence of compliance. All comments and observations of Benchmark Committee members shall be made to the GFSI Benchmark Committee Leader, who will, in turn, record these comments and inform other Benchmark Committee members and the scheme owner.

During this process the GFSI Benchmark Committee Leader shall take any actions necessary to facilitate close cooperation and understanding between the Benchmark Committee members and the scheme owner.

The GFSI Benchmark Committee Leader shall convene a meeting of the Benchmark Committee and the scheme owner representatives whenever direct discussion is deemed necessary to clarify comments and information. Observations from the members of the Benchmark Committee and the scheme owner's representatives shall be collated and made available for meetings between the Benchmark Committee and the scheme owner.

Following the direct or electronic exchange of information and comments, a report shall be drafted by the GFSI Benchmark Committee Leader to be used for stakeholder consultation. The decision to proceed to stakeholder consultation is taken by the GFSI Benchmark Committee Leader. However, before releasing the report to the GFSI Executive Director, the scheme owner shall be provided with a copy of the report and consulted to ensure that they are in agreement that the report is accurate and a true reflection of the process undertaken. The report shall not be provided to the GFSI Executive Director until agreement to release has been confirmed by the scheme owner.

If, for any reason, the report cannot be completed to the satisfaction of the GFSI Benchmark Committee Leader within agreed programme timescales, the GFSI Benchmark Committee Leader shall make the GFSI Executive Director aware of the situation and the GFSI Executive Director shall decide upon any necessary action.

The GFSI Executive Director shall publish the report for stakeholder consultation on the GFSI website for the agreed period. The timescales for the benchmarking process can be found within Tables 1 and 2 of Part 1 of this document.

The GFSI Benchmark Committee Leader shall fully brief the nominated Board member of the content of the report and provide the Board member with all relevant documentation.

Any comments, observations or objections made by stakeholders about the report will be collated by the GFSI Benchmark Committee Leader and put forward for consideration to the Benchmark Committee

members, either electronically or directly in a meeting. The GFSI Benchmark Committee Leader shall ensure that those stakeholders who submit comments during the stakeholder consultation receive feedback from the Benchmark Committee.

Following stakeholder consultation the Benchmark Committee shall review comments received and the GFSI Benchmark Committee Leader shall draft a final report, which will include a recommendation of recognition or non-recognition.

The decision of the GFSI Benchmark Committee to recommend the recognition or non-recognition of a scheme shall be based on consensus. If consensus cannot be reached, then a vote shall be held to determine the recommendation for the recognition or non-recognition of the applicant scheme. In the event that a vote is necessary a two thirds majority shall be required in support of a recommendation for recognition.

The GFSI Benchmark Committee Leader shall ensure that all members of the Benchmark Committee receive a copy of the report prior to sending the report to the GFSI Executive Director.

In the event that any member of the Benchmark Committee deems it necessary to recommend non-recognition and cannot agree with the majority vote, the reasons for the Benchmark Committee member's rejection shall be included in the final report to the GFSI Board.

The GFSI Benchmark Committee Leader shall fully brief the nominated Board member about the content of the final report and provide the Board member with all relevant documentation prior to the Board meeting.

#### 1.2.4 GFSI Board Review

The objective of the GFSI Board review is to decide upon the recognition or non-recognition of applicant schemes, based on the recommendations of the Benchmark Committee.

The decision of the GFSI Board to recognise a scheme shall be based on consensus. If a vote is necessary, the votes of the majority of a quorum of the GFSI Board shall determine the decision.

##### 1.2.4.1 Methodology – GFSI Board Review

The final report and recommendation for recognition or non-recognition of the scheme shall be presented to the GFSI Board by the GFSI Executive Director.

The GFSI Board shall make the decision concerning the recognition or non-recognition of a scheme at a meeting convened for that purpose, or at a GFSI Board meeting. The GFSI Benchmark Committee Leader shall be available at this meeting, at the request of the GFSI Board.

The meeting, in this case, may take the form of a conference call and if voting is required to make a decision during the conference call, this shall be carried out via e-mail, immediately after the closure of the meeting.

The GFSI Board shall consider the recommendation made by the Benchmark Committee and raise any issues that they may have. It is expected that the GFSI Board shall make a decision at the meeting. However, if further information is required, the GFSI Benchmark Committee Leader shall be instructed to ensure that clarifications are provided.

The decision of the GFSI Board to recognise or not recognise a scheme shall be based on consensus. If consensus cannot be reached, then a vote may be held to determine the decision for recognition or non-recognition of the applicant scheme. In the event that a vote is required to reach a decision, a two thirds majority of a quorum of the GFSI Board shall be required in support of recognition. The vote shall be carried out in accordance with the GFSI Foundation Articles of Association.

The GFSI Board decision shall be communicated in writing to the scheme owner by the GFSI Executive Director, as soon as practicable after the GFSI Board decision.

In the event of recognition by the GFSI Board, the GFSI Executive Director shall prepare press notices confirming this decision with the co-operation of the scheme owner. The scheme owner shall also be expected to issue a comparable press release and the time of issue of these press releases shall be agreed by the GFSI Executive Director and the scheme owner.



The GFSI Executive Director shall publish confirmation of the recognition of the scheme on the GFSI website (Conformance Statement). The GFSI website will include a current schedule of all recognised schemes, clearly defining their scope of recognition and expected date for re-benchmarking.

In the event that the decision of the GFSI Board is non-recognition, the reasons for the Board decision shall be clearly documented and the GFSI Executive Director shall make the scheme owner aware of the reasons for the decision. The scheme owner shall have the right of appeal against the GFSI Board decision and the appeal shall be undertaken in accordance with the procedures specified in section 1.2.11 of this document.

Upon the decision of the GFSI Board, the Benchmark Committee for the applicant scheme shall be disbanded.

### 1.2.5 Annual Assessment

The objective of the GFSI annual assessment of GFSI recognised schemes is to assess the continued compliance of the schemes with the GFSI Guidance Document and to maintain the confidence and integrity of GFSI and the GFSI recognised schemes.

#### 1.2.5.1 Methodology – Annual Assessment

A GFSI Assessor shall be appointed by the GFSI Executive Director. The GFSI Assessor has the responsibility for carrying out an assessment of the GFSI recognised scheme's compliance with the GFSI Guidance Document. The appointment shall be made with due consideration to the competence of the assessor, any potential conflict of interest and the activities of the scheme in question.

The review shall be undertaken to assess compliance against the requirements of *GFSI Guidance Document Part II Requirements for the Management of Schemes* and the appropriate sections of *GFSI Guidance Document Part III Scheme Scope and Key Elements* and the GFSI Agreement or Memorandum of Understanding (available from the secretariat upon request). The review shall be conducted on an annual basis on the anniversary of the date of initial GFSI recognition.

The review shall take the form of:

- ▶ an annual self-assessment against defined criteria, or...
- ▶ an office assessment of a scheme's management system and operation to be carried out once within a four year period based on the anniversary of the date of initial GFSI recognition. The date of this review will be at the discretion of the GFSI Board, but the scheme owner will be notified of the date of the review.

With respect to the annual self-assessment, the GFSI Assessor will review the self-assessment documentation and notify the GFSI Executive Director of any issues identified by the review.

With respect to the office assessment the GFSI Assessor shall visit the registered office of the scheme owner and assess objective evidence of compliance of the scheme's management system with the GFSI Guidance Document and the GFSI Agreement or Memorandum of Understanding. The GFSI Assessor shall formally report the findings of the review to the GFSI Executive Director.

In the event that the annual assessment establishes that there are significant concerns with the compliance of the scheme with the GFSI Guidance Document or the GFSI Agreement or Memorandum of Understanding, the nominated GFSI Assessor will make the GFSI Executive Director aware of his / her concerns, so that the agreement of the GFSI Board may be sought as to any appropriate actions.

Action may involve further verification of compliance, assurances of compliance and reassessment and the withdrawal or suspension of recognition. The scheme owner shall have the right of appeal against the GFSI Board decision and the appeal shall be undertaken in accordance with the procedures specified in Annex 3 of this document. In addition to the annual assessment, the scheme owner shall provide an annual report of their activities at the request of GFSI (circulated on an annual basis to all GFSI recognised scheme owners).

## 1.2.6 Continued Recognition

The objective of monitoring a scheme is to assess the continued compliance by the scheme with the GFSI Guidance Document.

### 1.2.6.1 Methodology – Continued Recognition

Unlike an annual assessment, GFSI may, at its discretion, undertake an assessment of the activities of a recognised scheme at any time. This assessment will normally be requested in the event that there is evidence of, or substantive suspicion of, non-compliance of the scheme with the requirements of the GFSI Guidance Document or the GFSI Agreement or Memorandum of Understanding.

If it is deemed necessary by the GFSI Executive Director that an assessment of the scheme's activities should be conducted, the scheme owner shall be informed of the intention to carry out additional assessments and a programme of review shall be agreed upon. The GFSI Executive Director shall make the scheme owner aware of the reasons for the assessment. The assessment may take the form of the requirement to provide GFSI with evidence of compliance or that of an office assessment carried out by an appointed GFSI Assessor.

The GFSI Assessor shall be appointed by the GFSI Executive Director. The appointment shall be made with due consideration to the competence of the assessor, any potential conflict of interest and the activity of the scheme in question.

In the event that the assessment establishes that there are significant concerns about the compliance of the scheme with the GFSI Guidance Document or the GFSI Agreement or Memorandum of Understanding, the nominated GFSI Assessor will make the GFSI Executive Director aware of his / her concerns. The GFSI Executive Director and Board of Directors shall take appropriate action, which may involve further verification of compliance, assurances of continued compliance and the withdrawal or suspension of recognition. The scheme owner shall have the right of appeal against the GFSI Board decision and the appeal shall be undertaken in accordance with the procedures specified in Annex 3 of this document.

## 1.2.7 Documentation

The GFSI Benchmark Committee Leader shall systematically record all information appertaining to the assessment of a scheme during the benchmarking process or annual assessment and this information shall be retained by the GFSI Executive Director for a period of ten years.

## 1.2.8 Dismissal of GFSI Benchmark Committee Leaders and Benchmark Committee Members

The GFSI Executive Director shall have the discretion to remove and replace any member, including the GFSI Benchmark Committee Leader of a Benchmark Committee, at any time if it is deemed necessary to do so. It is also at the discretion of the GFSI Executive Director to remove an individual from the Register of Benchmark Committee Members.

## 1.2.9 The Benchmarking Programmes

The key activities, responsibility for these activities and timescales for completion are specified in the following tables in relation to new applicant schemes and schemes, which require re-benchmarking or an extension to scope of recognition.

Table 1: Process Steps and Timescales for New Scheme Applications

Process Step	Description	Responsibility	Typical Timescale for Activity	Total Timescale
Preliminary Screening & Benchmarking Application	Completion and submission of an application dossier and scheme review documentation	Scheme Owner		<b>5 weeks</b>
Preliminary Screening & Benchmarking Application	Appointment of GFSI Benchmark Committee Leader	GFSI Executive Director	1 week	
Preliminary Screening & Benchmarking Application	Review of application dossier and confirmation of decision to accept the application	GFSI Executive Director	2 weeks	
Preliminary Screening & Benchmarking Application	Issue of GFSI Agreement or Memorandum of Understanding	GFSI Executive Director	Upon confirmation of acceptance of application dossier	
Preliminary Screening & Benchmarking Application	Completion of Agreement or Memorandum of Understanding agreement	GFSI Executive Director and Scheme Owner	2 weeks	
Preliminary Screening & Benchmarking Application	Publication of confirmation of benchmarking of scheme on GFSI website	GFSI Executive Director	Once Agreement or Memorandum of Understanding signed.	
<b>Desk Review</b>	Appointment of nominated Board member	GFSI Executive Director and GFSI Board	1 week	<b>5 weeks</b>
<b>Desk Review</b>	Completion of Desk Review and Assessment Matrix	GFSI Benchmark Committee Leader and Scheme Owner	4 weeks	
<b>Desk Review</b>	Appointment of Benchmark Committee members	GFSI Benchmark Committee Leader and GFSI Executive Director	Within the 4 week period of desk review	
<b>Desk Review</b>	Provision of Assessment Matrix and supporting documentation to Benchmark Committee members and scheme owner	GFSI Benchmark Committee Leader	At the end of the preliminary desk review period	

Process Step	Description	Responsibility	Typical Timescale for Activity	Total Timescale
<b>Benchmark Committee Review</b>	Assessment by the Benchmark Committee	GFSI Benchmark Committee Leader	4 weeks	<b>12 weeks</b>
<b>Benchmark Committee Review</b>	Meeting between the Benchmark Committee and the Scheme Owner to review assessment findings	GFSI Benchmark Committee Leader and Scheme Owner	2 days	
<b>Benchmark Committee Review</b>	Drafting and issuing of report	GFSI Benchmark Committee Leader	1 week	
<b>Benchmark Committee Review</b>	Stakeholder consultation	GFSI Executive Director	4 weeks	
<b>Benchmark Committee Review</b>	Review of consultation feedback	GFSI Benchmark Committee Leader	1 week	
<b>Benchmark Committee Review</b>	Drafting and issuing of final report to include actions resulting from Stakeholder Consultation. Final report and recommendation sent to GFSI Board	GFSI Benchmark Committee Leader	2 weeks	
<b>GFSI Board Review</b>	GFSI Board meeting and decision Schedule Board conference call if necessary (a conference call will be scheduled if no Board Meeting will take place before application close date)	GFSI Board and GFSI Executive Director	1 day	<b>1 week</b>
<b>GFSI Board Review</b>	Communication of the GFSI Board decision	GFSI Executive Director	1 day	

Table 2: Process Steps and Timescales for a Scheme Seeking Re-benchmarking or Extensions to Scope of Recognition

Process Step	Description	Responsibility	Typical Timescale for Activity	Total Timescale
Preliminary Screening & Benchmarking Application	Completion and submission of scheme review documentation	Scheme Owner		5 weeks
Preliminary Screening & Benchmarking Application	Appointment of GFSI Benchmark Committee Leader	GFSI Executive Director	1 week	
Preliminary Screening & Benchmarking Application	Review of application dossier and confirmation of decision to accept the application.	GFSI Executive Director	2 weeks	
Preliminary Screening & Benchmarking Application	Issue of GFSI Agreement or Memorandum of Understanding	GFSI Executive Director	Upon confirmation of acceptance of application	
Preliminary Screening & Benchmarking Application	Completion of Agreement or Memorandum of Understanding agreement	GFSI Executive Director and Scheme Owner	2 weeks	
Preliminary Screening & Benchmarking Application	Publication of confirmation of status on GFSI website	GFSI Executive Director	Once Agreement or Memorandum of Understanding signed	
Desk Review	Completion of Desk Review and Assessment Matrix	GFSI Benchmark Committee Leader and Scheme Owner	2 weeks	2 weeks
Desk Review	Appointment of Benchmark Committee members	GFSI Benchmark Committee Leader and GFSI Executive Director	Within the preliminary desk review period	
Desk Review	Provision of Assessment Matrix and supporting documentation to Benchmark Committee members	GFSI Benchmark Committee Leader	At the end of the preliminary desk review period	

Process Step	Description	Responsibility	Typical Timescale for Activity	Total Timescale
<b>Benchmark Committee Review</b>	Assessment by the Benchmark Committee	GFSI Benchmark Committee Leader	3 weeks	<b>10 weeks</b>
<b>Benchmark Committee Review</b>	Meeting between the Benchmark Committee and the Scheme Owner to review assessment findings	GFSI Benchmark Committee Leader and Scheme Owner	2 days	
<b>Benchmark Committee Review</b>	Drafting and issuing of report	GFSI Benchmark Committee Leader	1 week	
<b>Benchmark Committee Review</b>	Stakeholder consultation	GFSI Executive Director	4 weeks	
<b>Benchmark Committee Review</b>	Review of consultation feedback	GFSI Benchmark Committee Leader	1 week	
<b>Benchmark Committee Review</b>	Drafting and issuing of final report to include actions resulting from Stakeholder Consultation Final report and recommendation sent to GFSI Board	GFSI Benchmark Committee Leader	1 week	
<b>GFSI Board Review</b>	GFSI Board meeting and decision	GFSI Board and GFSI Executive Director	1 day	<b>1 week</b>
<b>GFSI Board Review</b>	Communication of the GFSI Board decision	GFSI Executive Director	1 day	

### 1.2.10 Conformity with the GFSI Guidance Document

The GFSI Executive Director is responsible for the investigation of any complaints or suspected non conformity in relation to the compliance of a GFSI recognised scheme with the requirements specified within the GFSI Guidance Document.

In the event that a complaint or report is received by the GFSI Executive Director regarding the non conformity of a scheme with the GFSI Guidance Document, the Executive Director will promptly acknowledge, in writing, the receipt of the complaint or report to the party concerned.

When a complaint is received, the GFSI Executive Director shall initiate investigative procedures to verify the accuracy and correctness of the complaint (section 1.2.6).

The Executive Director shall ensure that the details of the complaint are clearly understood and documented and that any claims or comments made by the complainant are properly authenticated and appropriately documented. This authentication shall be verified as being accurate and correct by independent sources, in addition to the complaint. It is the responsibility of the complainant to provide information that can be appropriately authenticated. It is at the discretion of the GFSI Executive Director to appoint an independent GFSI Assessor at any stage during the investigation process, but the GFSI Executive Director must ensure impartiality and preserve confidentiality.

If a GFSI Assessor is appointed, he / she shall carry out a thorough investigation of the complaint and, where possible, provide a resolution for the issues, fully document the complaint process and provide a detailed report to the GFSI Executive Director.

In the event that evidence of non conformity against the requirements specified in the GFSI Guidance Document is found by a GFSI Assessor during the annual assessment, the GFSI Executive Director shall promptly contact the scheme owner concerned for comment (*sections 1.2.5 or 1.2.6*).

The GFSI Executive Director shall fully document the process of investigation and decision making.

The GFSI Executive Director shall make a decision after review of the submitted evidence and will either:

- 1. take no action against the scheme owner, or...**
- 2. convene a meeting of GFSI Board members to gain agreement on one of three possible outcomes - continued recognition, suspension of recognition, or the withdrawal of recognition.**

Irrespective of the decision taken by the GFSI Executive Director, all parties involved shall be informed in writing of the decision and the justification for the actions taken.

#### 1.2.10.1 The GFSI Suspension of Recognition Procedure

If, following review of the evidence gathered and submitted by the GFSI Executive Director and consultation with the scheme owner, the GFSI Board considers that a period of suspension of recognition shall be imposed, the scheme owner shall be informed of this decision and any conditions imposed by the GFSI Board to regain recognition status. The period of suspension of recognition and expected outcomes shall be made known to the scheme owner.

The scheme owner shall confirm to the GFSI Board that these conditions can be achieved within the timescales set out by the GFSI Board, when evidence of corrective action can be expected and continued conformity to the requirements of the GFSI Guidance Document can be established.

If the GFSI Board is not satisfied with the commitment of the scheme under suspension to take the appropriate corrective action, they shall withdraw recognition (section 1.2.10.2).

In the event that a period of suspension is imposed, the GFSI website shall clearly specify the details and conditions of the suspension.

#### 1.2.10.2 The GFSI Withdrawal of Recognition Procedure

If, following review of the evidence gathered and submitted by the GFSI Executive Director and consultation with the scheme owner, the GFSI Board considers that a withdrawal of recognition is required, the scheme owner shall be informed of this decision.

In the event that GFSI recognition is withdrawn, GFSI shall issue a press release and the GFSI website shall clearly specify the details and conditions of the withdrawal.



### 1.2.11 The GFSI Appeals Procedure – GFSI Recognition

The scheme owner has a right of appeal against any decision made by the GFSI Board, the GFSI Executive Director or any person contracted to the GFSI in relation to the benchmarking process and associated systems and procedures. The appeal shall be conducted in accordance with the GFSI Appeals Procedure (*Annex 3 – The GFSI Appeals Procedure*). Only the scheme owner to which the decision relates has the right of appeal to the GFSI Board.

The scheme owner shall submit an appeal to the GFSI Executive Director within 30 days of the matter in dispute occurring. The appeal shall be submitted in writing to the GFSI Executive Director and shall clearly describe the reason and the justification for the appeal, together with substantive evidence for the investigation of the appeal.

When the appeal procedure is initiated, the status of the scheme shall be amended on the GFSI website to reflect that the scheme is subject to appeal.

Any appeal shall be heard by a Committee (the Appeals Committee), which is a body specifically assembled by the GFSI Board for the purposes of hearing an individual appeal. The GFSI Board shall ensure that such an Appeals Committee should not include any person or GFSI member of staff involved with the decision, which is being appealed. The Appeals Committee shall be assembled from members of the Advisory Council and shall consist of a minimum of three members of the Council. The GFSI shall ensure that the investigation is conducted in an impartial and professional manner and without any actual or perceived conflict of interest.

The final outcome of the investigation by the Appeals Committee shall be heard by the GFSI Board and the decision made by the Appeals Committee shall be upheld by the GFSI Board.

The decision submitted to the GFSI Board by the Appeals Committee shall be conveyed to the scheme owner raising the appeal. The decision of the Appeals Committee shall be final and the appeal closed.



## 2. The Benchmark Committee

### 2.1 Introduction

A Benchmark Committee is a committee, which is formed to carry out a benchmarking process for a scheme that has applied to the GFSI for formal recognition. A Benchmark Committee will be formed for each accepted application following the decision by the GFSI Executive Director to proceed with the application. The Committee membership will be determined by the GFSI Executive Director having taken advice from an appointed GFSI Benchmark Committee Leader.

The Benchmark Committee shall be made up of suitably qualified persons or organisations that are independent, impartial and technically competent from organisations such as retailers and manufacturers and other appropriate experts.

The Benchmark Committee shall undertake its duties in accordance with the Terms of Reference (*Annex 2 - GFSI Benchmark Committee Terms of Reference*).

### 2.2 Membership

Upon agreement by GFSI to benchmark an applicant scheme, the GFSI Executive Director shall appoint a GFSI Benchmark Committee Leader from a cohort of independent technical experts, who have undergone a selection process and who meet the criteria specified in *Annex 2 - GFSI Benchmark Committee Terms of Reference*.

The GFSI Executive Director shall appoint a GFSI Benchmark Committee Leader for each scheme application.

The GFSI Executive Director shall appoint a GFSI Benchmark Committee Leader for the management of the desk review and the benchmark committee review process. The name of the GFSI Benchmark Committee Leader shall be made known to the scheme owner upon confirmation of the appointment.

#### 2.2.1 Benchmark Committee Membership- New Applicant Schemes

The GFSI Executive Director shall invite technical experts to become members of the Benchmark Committee. The selection of the Committee members shall ensure that the following structure is achieved prior to any work being undertaken on the Assessment Matrix and any supporting documentation:

- ▶ GFSI Benchmark Committee Leader,
- ▶ GFSI representative – Executive Director,
- ▶ 5 representatives of retailers, suppliers or food service companies, who have knowledge and expertise in the application of GFSI recognised schemes (there shall be at least one retailer and one supplier within this group),
- ▶ 1 GFSI Board member,
- ▶ 1 GFSI Advisory Council member (observer).

The retailer, supplier and food service company representatives shall not be committed users of the scheme being considered for recognition.

## 2.2.2 Benchmark Committee Membership – Schemes Seeking Re-benchmarking or Extensions to Scope of Recognition

The GFSI Executive Director and the appointed GFSI Benchmark Committee Leader shall invite technical experts to become members of the Benchmark Committee. The selection of Committee members shall ensure that the following structure is achieved prior to any work being undertaken on the Assessment Matrix and any supporting documentation:

- ▶ GFSI Benchmark Committee Leader,
- ▶ GFSI representative – Executive Director,
- ▶ 1 retailer/food service company representative with knowledge and expertise in the application of GFSI recognised schemes,
- ▶ 1 supplier representative, who has knowledge and expertise in the application of GFSI recognised schemes.

The retailer, supplier and food service company representatives shall not be committed users of the scheme being considered for recognition.

## 2.3 Member Selection

The selection of a Benchmark Committee shall be in accordance with the procedures specified in *Annex 2 - GFSI Benchmark Committee Terms of Reference*.

GFSI shall hold a Register of Benchmark Committee Members, who may be invited to become a member of a GFSI Benchmark Committee. The Register of Benchmark Committee Members shall be publicly available on the GFSI website.

Each member of the Committee shall meet the credentials defined by the GFSI and act in a professional manner at all times (*Annex 2 - GFSI Benchmark Committee Terms of Reference*).

The GFSI Executive Director shall have the discretion to remove and replace a member of a Benchmark Committee at any time if deemed necessary. It is also at the discretion of the GFSI Executive Director to remove an individual from the Register of Benchmark Committee Members.

The GFSI Executive Director has the responsibility to investigate any malpractice or alleged malpractice, which may arise during the benchmarking process and take appropriate action.

# ANNEX 1

## Scheme Application Guidelines



# Scheme Application Guidelines

A scheme owner shall make an application to GFSI using the documentation downloaded from the GFSI website ([www.mygfsi.com](http://www.mygfsi.com)).

The application documentation will differ in relation to the status of the scheme; i.e. a scheme seeking recognition for the first time or a scheme seeking re-benchmarking or an extension to scope of recognition. The application documentation format will also differ to reflect the sector specific requirements within the *GFSI Guidance Document Part III Scheme Scope and Key Elements*.

In the case of a new applicant scheme the application documentation will include a dossier, which, upon completion, will provide demonstrable evidence of the requirements specified in the GFSI Guidance Document.

In all cases the scheme shall, irrespective of its status, complete the application, which will include:

**(a) A summary of the scheme, its objective, details of its development and the operating procedures required for certification,**

**(b) A clause by clause cross-reference of the scheme's standard seeking compliance with the *GFSI Guidance Document Part III Scheme Scope and Key Elements*. This comparison shall also detail the compliance criteria and provide justification of compliance,**

**(c) The requirements of the scheme's management system must be cross-referenced with *GFSI Guidance Document Part II Requirements for Management of Schemes*.**

All documents shall be completed in full, in English and, where references are made, these shall be submitted as text with numerical cross references.

The application documentation shall be submitted to the GFSI Executive Director, who shall at that stage provide the scheme owner with an Agreement or Memorandum of Understanding (available from the secretariat upon request).

The application shall be supported by evidence of compliance with the GFSI Guidance Document requirements and the GFSI Benchmark Committee may request further information or data at any stage during the benchmarking process.



# ANNEX 2

## GFSI Benchmark Committee Terms of Reference





# GFSI Benchmark Committee Terms of Reference

## Introduction

The Global Food Safety Initiative (GFSI) is a non-profit making foundation, created under Belgian law. The daily management is undertaken by The Consumer Goods Forum, the only independent global network for consumer goods retailers and manufacturers worldwide. GFSI is a collaboration between some of the world's leading food safety experts, working to promote the convergence of food safety management schemes through a benchmarking process, thereby improving cost efficiency throughout the food supply chain via the common acceptance of GFSI recognised standards by global retailers.

The GFSI Mission is to provide continuous improvement in food safety management systems to ensure confidence in the delivery of safe food to consumers worldwide.

The GFSI Objectives are to:

- ▶ Reduce food safety risks by delivering equivalence and convergence between effective food safety management systems, as outlined in this Guidance Document,
- ▶ Manage cost in the global food system by eliminating redundancy and improving operational efficiency,
- ▶ Develop competencies and capacity building in food safety to create consistent and effective global food systems,
- ▶ Provide a unique international stakeholder platform for collaboration, knowledge exchange and networking.

## GFSI Governance

The GFSI Board is a body that provides the strategic direction and oversees the daily management of GFSI. It is made up of experienced representatives from major retailer, manufacturer and food service members. Membership of the Board is by invitation only.

The GFSI Board also provides governance to the GFSI Technical Working Groups. The membership of the Technical Working Groups is by invitation of the GFSI Board. The Technical Working Groups work on specific selected projects as designated. The Terms of Reference are approved by the GFSI Board in order to fulfil the GFSI Mission.

The Advisory Council was established for the purposes of providing guidance and further expertise to the GFSI Board in their decision making.

## The Governance of the GFSI Technical Working Groups

The GFSI Technical Working Groups are in place to execute the mandates specified by the GFSI Board within the timeframes provided.

The GFSI Board shall assign two Board members to act as a liaison to each of the Technical Working Groups to ensure that there is effective communication between the Board, the Advisory Council and stakeholders.

Benchmark Committees are individual ad-hoc Working Groups, which are formed upon the acceptance of an application of a scheme by the GFSI Executive Director and are disbanded at the request of the GFSI Board after the benchmarking process has been completed. There may be a number of Benchmark Committees in place at any one time.

## Purpose

The purpose of a GFSI Benchmark Committee is to:

- ▶ ensure an applicant scheme's food safety system, standards and supporting procedures are objectively compared to the requirements laid down in the GFSI Guidance Document in accordance with the procedure defined in the GFSI Guidance Document,
- ▶ ensure the benchmarking process is carried out within an agreed timeframe,
- ▶ ensure the findings of the benchmarking process are clearly and concisely documented,
- ▶ submit recommendations to the GFSI Board for recognition or non-recognition of a scheme by GFSI in a report format.

The role of a GFSI Benchmark Committee Leader and a Benchmark Committee is to provide assessment and not to provide consultative advice to scheme owners.

## Composition of a Benchmark Committee

There are two types of GFSI Benchmark Committee and the roles and responsibilities are dependent upon the status of the applicant scheme (*Section 1.2*)

## Mandates and Duties of a Benchmark Committee

The duty of a Benchmark Committee is to carry out benchmarking procedures in accordance with those defined in the GFSI Guidance Document. These duties will be carried out on a voluntary and non-remunerated basis.

## The Appointment of a GFSI Benchmark Committee Leader

The GFSI Benchmark Committee Leader will be selected by the GFSI Executive Director, with approval from the GFSI Board. The Executive Director shall confirm the qualifications and competence of an individual and their suitability to carry out the duties and responsibilities of a GFSI Benchmark Committee Leader through a process of interviews, the review of objective evidence of relevant information and references.

The GFSI Executive Director shall appoint a GFSI Benchmark Committee Leader for each scheme application.

## The Appointment of a Benchmark Committee Member

The GFSI Executive Director and the appointed GFSI Benchmark Committee Leader shall invite technical experts from the Register of Benchmark Committee Members to become members of a Benchmark Committee. The selection of the members of a Benchmark Committee shall be dependent upon the role of that particular Committee; i.e. the assessment of a new scheme or the re-benchmarking or extension of scopes of recognition and with particular reference to their technical knowledge of product sectors.

The selection process for an expert to be considered for the Register of Benchmark Committee Members shall be carried out by interviews, the review of objective evidence of relevant information and references.

The GFSI shall hold and maintain a Register of individuals (Benchmark Committee Members), who may be invited to become a member of a GFSI Benchmark Committee. This information shall be publicly available on the GFSI website.

In the event that a suitable Benchmark Committee cannot be formed, the GFSI Executive Director shall inform the GFSI Board which shall, in turn, decide on any action to be taken.

## De-registration of a GFSI Benchmark Committee Leader or a Benchmark Committee Member

The GFSI Executive Director shall have the discretion to remove and replace a member of a Benchmark Committee at any time, if it is deemed necessary to do so. It is also at the discretion of the GFSI Executive Director to remove an individual from the Register of Benchmark Committee Members.

The GFSI Executive Director has the responsibility to investigate any malpractice or alleged malpractice, which may have arisen during the benchmarking process and take appropriate action.

The GFSI Board has the authority to dismiss or withdraw registration of any GFSI Benchmark Committee Leader or Benchmark Committee Member at any time.

## Benchmark Committee Structure - New Scheme Application

- ▶ GFSI Benchmark Committee Leader (voting member),
- ▶ GFSI representative – Executive Director (non-voting member),
- ▶ 5 representatives of retailers, suppliers or food service companies, who have knowledge and expertise in the application of GFSI recognised schemes. There should be at least one retailer and one supplier within this group (voting members),
- ▶ 1 GFSI Board member (voting member),
- ▶ 1 GFSI Advisory Council member (observer).

## Benchmark Committee Structure – Extension to Scope of Recognition and Re-benchmarking

- ▶ GFSI Benchmark Committee Leader (voting member),
- ▶ GFSI representative – secretariat (non-voting member),
- ▶ 1 retailer or food service company representative (voting member),
- ▶ 1 supplier representatives (voting member).

## Responsibilities of Benchmark Committee Members

The appointed GFSI Benchmark Committee Leader shall have the following responsibilities:

- ▶ to manage the benchmarking process for a scheme application,
- ▶ to fully document all proceedings of the benchmarking process,
- ▶ to use their experience, expertise and knowledge to provide input into the assessment of a scheme application,
- ▶ to manage communication between the scheme owner, benchmark committee members, the GFSI Executive Director, the appointed GFSI Board member for the scheme application and the GFSI Board,
- ▶ to ensure that the benchmarking programme timescales are achieved,
- ▶ to suspend the benchmarking process in the event that it is deemed that issue resolution will not result in recognition or timescales to achieve recognition are compromised,
- ▶ to manage the annual assessment process,
- ▶ to undertake, at the instruction of the GFSI Board or GFSI Executive Director, any ad hoc review of a recognised scheme's management system,

- ▶ to act in a professional, ethical and impartial manner at all times.

In the event that the Benchmark Committee Leader decides to suspend the benchmarking process for any reason, he / she shall immediately notify the GFSI Executive Director of this decision, who, in turn, will notify the GFSI Board.

The registered Benchmark Committee Members shall have the following responsibilities:

- ▶ to use their experience, expertise and knowledge to provide input into the assessment of a scheme application,
- ▶ to effectively communicate with the GFSI Benchmark Committee Leader or any other party, if requested to do so by the GFSI Benchmark Committee Leader,
- ▶ to ensure assigned activities are undertaken within the agreed timescales,
- ▶ to act in a professional, ethical and impartial manner at all times.

The GFSI Executive Director shall have the following responsibilities with regards to the benchmarking process:

- ▶ to provide administrative support to the GFSI Benchmark Committee Leader,
- ▶ to ensure all events and activities are fully and accurately documented and records retained,
- ▶ to investigate and act upon any issue arising from the performance or possible conflict of interests of Benchmark Committee Members.

## Rules of Procedure for a Benchmark Committee

The GFSI Benchmark Committee Leader and Benchmark Committee members shall carry out their duties in accordance with procedures specified in this document.

The GFSI Benchmark Committee Leader shall publish a programme of activities on the date of the establishment of a Benchmark Committee and this programme will be made known to all members of the Benchmark Committee and the scheme owner. In the event that there are changes to this programme the members of the Benchmark Committee and the scheme owner will be informed of these changes.

The GFSI Benchmark Committee Leader shall ensure correct procedures are undertaken during the benchmarking process and work with the GFSI Executive Director to record and document proceedings and decisions.

The GFSI Benchmark Committee Leader shall ensure, through the GFSI Executive Director, that all information regarding the benchmarking process is clearly and concisely documented and provided to all parties involved in a timely manner. The GFSI Benchmark Committee Leader, with the assistance of the GFSI Executive Director, shall be responsible for the recording, maintenance and retention of this information.

Members of a Benchmark Committee shall commit to participate in or attend meetings convened by the GFSI Benchmark Committee Leader in their entirety and shall also be committed in terms of time and effort to achieve objectives set by the GFSI Board. In the event that a meeting is convened and there is non-attendance of members, the meeting shall only take place if there is a quorum of members present.

**Note:** for the purposes of a GFSI Benchmark Committee meeting benchmarking a new scheme, a quorum is regarded as being 3 members of the Committee. This shall be the GFSI Benchmark Committee Leader and two industry representatives (retailer, manufacturer or food service provider).

**Note:** for the purposes of a GFSI Benchmark Committee meeting re- benchmarking or reviewing for an extension to scope of recognition, a quorum is regarded as being 3 members. This shall be the GFSI Benchmark Committee Leader and two industry representatives (retailer, manufacturer or food service provider).

Members of a Benchmark Committee shall act in a professional, ethical and impartial manner at all times and shall not use any information obtained to commercially promote their own or their organisation's interests. The selection of members of a Benchmark Committee shall ensure that there is no conflict of interest in relation to an individual, organisation or association. However, in the event that there could be a change in the status of this non conflict of interest, the Benchmark Committee member must make the GFSI Executive Director aware of the circumstances and the GFSI Executive Director will take any action necessary to resolve issues that may arise.

If a vote is necessary to decide upon the recommendation to the GFSI Board, only voting members of the Committee will be allowed to vote. The GFSI Benchmark Committee Leader will ensure all members vote on the recommendation to the GFSI Board. For the purposes of re-benchmarking or extension to scope, the GFSI Benchmark Committee Leader shall have the casting vote if an equal number of recognition and non-recognition votes are given by Committee members.

All information provided by a scheme owner shall be regarded as being confidential and the GFSI Benchmark Committee Leader and members of a Benchmark Committee will honour this agreement. At the time of their registration and acceptance of an invitation to become a member of a Benchmark Committee any GFSI Benchmark Committee Leader or Reviewer shall sign a declaration of confidentiality and impartiality.

All information in relation to the benchmarking process shall be regarded as confidential and shall be securely retained by the GFSI Executive Director.

In the event that members are asked to leave a Benchmark Committee during the benchmarking programme, the GFSI Executive Director and GFSI Benchmark Committee Leader shall invite a new member onto the Committee and the GFSI Benchmark Committee Leader shall ensure that the new member is made fully aware of information appertaining to the benchmarking process.

If the GFSI Benchmark Committee Leader leaves or is asked to leave a Benchmark Committee during the benchmarking programme, the GFSI Executive Director will take immediate steps to appoint a new GFSI Benchmark Committee Leader.

The GFSI Executive Director shall have the discretion to remove and replace a member of a Benchmark Committee at any time, if it is deemed necessary to do so. It is also at the discretion of the GFSI Executive Director to remove an individual from the Register of Benchmark Committee Members.

The GFSI Executive Director has the responsibility to investigate any malpractice or alleged malpractice, which may have arisen during the benchmarking process and take appropriate action.

The GFSI Board has the authority to dismiss or withdraw registration of any GFSI Benchmark Committee Leader or Reviewer at any time.

# Benchmark Committee Leader Qualifications, Experience, Knowledge, Skills and Personal Attributes

## Qualifications

A GFSI Benchmark Committee Leader shall have attained, as a minimum, a degree in a food related or bioscience discipline.

A GFSI Benchmark Committee Leader shall have successfully completed a qualification in relation to Lead Auditor status for Quality Management Systems.

## Experience

A GFSI Benchmark Committee Leader shall have a minimum of 10 years full time experience in the food industry in areas such as quality assurance or in a food safety function in food production or manufacturing, retailing, inspection, auditing or enforcement.

A GFSI Benchmark Committee Leader shall have significant food safety auditing experience.

## Knowledge

A GFSI Benchmark Committee Leader shall have:

- ▶ a detailed knowledge of the GFSI Guidance Document,
- ▶ a detailed knowledge of the mission and objectives of GFSI,
- ▶ a detailed knowledge of the GFSI benchmarking process,
- ▶ a detailed knowledge of food safety management systems, applicable procedures or other management systems and documents used as audit criteria,
- ▶ a detailed knowledge of audit principles, procedures and techniques in relation to food safety auditing,
- ▶ a detailed knowledge of general business processes and understand the workings of organisations in relation to size, structure, function and relationships with specific reference to quality management and food safety management,
- ▶ a detailed knowledge of accreditation and certification processes and procedures,
- ▶ a detailed technical knowledge of specific food product sectors,
- ▶ a knowledge of key food legislative requirements.

## Skills

A GFSI Benchmark Committee Leader shall have:

- ▶ good organisational and time management skills,
- ▶ the ability to make correct decisions based on objective and verifiable evidence,
- ▶ the ability to understand and interpret written material with particular reference to system development and operational, food safety and legislative requirements,
- ▶ good, appropriate written communication skills so that communications can be understood by the intended audience,
- ▶ the ability to produce clear and accurate reports of assessment findings and clearly articulate these in relation to GFSI Guidance Document requirements,
- ▶ the ability to understand and interpret verbal material,
- ▶ good, appropriate oral communication skills so that communications can be understood by the intended audience,
- ▶ the ability to effectively control and manage meetings during the assessment process,



- ▶ the ability to effectively and systematically assess situations and information to make informed decisions on objective and verifiable evidence,
- ▶ skills to ensure effective communication between themselves and other people,
- ▶ good people management skills,
- ▶ the ability to provide direction and guidance to the Benchmark Committee members,
- ▶ the ability to prevent and resolve conflicts,
- ▶ the ability to lead the Benchmark Committee members to reach conclusions.

## Personal Attributes

A GFSI Benchmark Committee Leader shall be:

- ▶ fair, truthful, unbiased, sincere, discreet, trustworthy and honest,
- ▶ able to demonstrate a high level of personal integrity,
- ▶ open-minded, reasonable and willing to consider alternative ideas or points of view,
- ▶ tactful in dealings with people, as appropriate to achieve the benchmarking objectives,
- ▶ instinctively aware of and able to understand situations,
- ▶ able to adjust readily to different situations and to effectively resolve conflict and arrive at consensus agreement where possible,
- ▶ persistent and focussed in their approach to achieve objectives,
- ▶ able to reach timely conclusions based on logical reasoning and analysis and, in the case of possible conflict, be confident to manage and control discussions. The individual will assume the leadership role during problematical discussions and situations in order to resolve issues,
- ▶ able to act effectively and function independently,
- ▶ able to be professional and ethical and make decisions even though these actions and decisions may result in disagreement, confrontation or appeal proceedings,
- ▶ courteous, conscientious, discreet and business like in their approach,
- ▶ empathetic, respectful to others and able to engender trust,
- ▶ able to keep relevant information confidential in accordance with non-disclosure or confidentiality agreements,
- ▶ able to communicate confidently and with authority to secure agreement with scheme owner management,
- ▶ able to maintain strict independence from self-interest or personal bias,
- ▶ able to effectively plan, prioritise and adjust the activities of the benchmarking process, as far as possible without adversely affecting the outcome of assessment.

Prior to entry into the Register of Benchmark Committee Members, a GFSI Benchmark Committee Leader shall sign a statement of confidentiality, impartiality and non conflict of interest and provide this to the GFSI Executive Director. In the event that personal circumstances mean that this statement is compromised, the GFSI Benchmark Committee Leader will inform the GFSI Executive Director, who will, in turn, take appropriate steps to ensure that the integrity of GFSI is not compromised.

The Register of GFSI Benchmark Committee Leaders shall be published on the GFSI website within the Register of Benchmark Committee Members.

# Benchmark Committee Member Qualifications, Experience, Knowledge, Skills and Personal Attributes

## Qualifications

A GFSI Benchmark Committee Member shall have attained, as a minimum, a degree in a food related or bioscience discipline.

## Experience

A GFSI Benchmark Committee Member shall have a minimum of 5 years full time experience in the food industry in the sector relevant to the scope of the scheme application, including areas such as quality assurance or in a food safety function in food production or manufacturing, retailing, inspection, auditing or enforcement or the equivalent.

A GFSI Benchmark Committee Member shall have significant food safety auditing experience.

## Knowledge

The GFSI Benchmark Committee member shall have:

- ▶ a detailed knowledge of the GFSI Guidance Document,
- ▶ a detailed knowledge of the mission and objectives of GFSI,
- ▶ a knowledge of the GFSI benchmarking process,
- ▶ a detailed knowledge of food safety management systems, applicable procedures or other management systems and documents used as audit criteria,
- ▶ a detailed knowledge of audit principles, procedures and techniques in relation to food safety auditing,
- ▶ a detailed knowledge of general business processes and an understanding of the workings of organisations in relation to size, structure, function and relationships with specific reference to quality management and food safety management,
- ▶ a knowledge of accreditation and certification processes and procedures,
- ▶ a detailed technical knowledge of specific product sectors,
- ▶ a knowledge of key food legislative requirements.

An applicant for the Register of Benchmark Committee Members shall be trained by GFSI on the GFSI Benchmarking processes and procedures. This training shall be undertaken upon selection and prior to entry into the Register of Benchmark Committee Members.

## Skills

The GFSI Benchmark Committee Member shall have:

- ▶ good organisational and time management skills,
- ▶ the ability to make correct decisions based on objective and verifiable evidence,
- ▶ the ability to understand and interpret written material with particular reference to system development and operational, food safety and legislative requirements,
- ▶ good, appropriate written communication skills so that communications can be understood by the intended audience,
- ▶ the ability to understand and interpret verbal material,
- ▶ good, appropriate oral communication skills so that communications can be understood by the intended audience,



- ▶ the ability to effectively and systematically assess situations and information to make informed decisions using objective and verifiable evidence,
- ▶ skills to ensure effective communication between themselves and other people.

## Personal Attributes

A GFSI Benchmark Committee Member shall be:

- ▶ fair, truthful, unbiased, sincere, discreet, trustworthy and honest,
- ▶ able to demonstrate a high level of personal integrity,
- ▶ open-minded, reasonable and willing to consider alternative ideas or points of view,
- ▶ tactful in dealings with people, as appropriate, to achieve the benchmarking objectives,
- ▶ instinctively aware of and be able to understand situations,
- ▶ able to adjust readily to different situations and to effectively resolve conflict and arrive at consensus agreement, where possible,
- ▶ persistent and focussed in their approach to achieve objectives,
- ▶ able to reach timely conclusions based on logical reasoning and analysis and, in the case of possible conflict, be confident to manage and control discussions,
- ▶ able to act effectively and function independently,
- ▶ professional and ethical and make decisions even though these actions and decisions may result in disagreement, confrontation or appeal proceedings,
- ▶ courteous, conscientious, discreet and business like in their approach,
- ▶ empathetic, respectful to others and able to engender trust,
- ▶ able to keep relevant information confidential in accordance with non-disclosure or confidentiality agreements,
- ▶ able to maintain strict independence from self-interest or personal bias.

Prior to entry into the Register of Benchmark Committee Members, a GFSI Benchmark Committee Member shall sign a statement of confidentiality, impartiality and non-conflict of interest and provide this to the GFSI Executive Director. In the event that personal circumstances mean that this statement is compromised, the GFSI Benchmark Committee Member will inform the GFSI Executive Director, who will, in turn, take appropriate steps to ensure that the integrity of GFSI is not compromised.



# ANNEX 3

The GFSI Appeals Procedure - GFSI Benchmarking



# The GFSI Appeals Procedure - GFSI Benchmarking

## Introduction

The following procedure defines the process steps to be taken in the event that a scheme owner wishes to appeal against a decision taken by the GFSI Board, the GFSI Executive Director or any person contracted to the GFSI in relation to the benchmarking process and the associated systems and procedures. Only the scheme owner to whom the decision relates has the right of appeal to the GFSI Board regarding the status of GFSI recognition and the Appeal Notice shall be submitted by an authoritative person from the scheme management or governing board.

## Procedure

The scheme owner shall submit an Appeal Notice to the GFSI Executive Director within 30 days of the matter in dispute occurring. The Appeal Notice shall be submitted in writing to the GFSI Executive Director and shall clearly describe the reason and the justification for the appeal, together with substantive evidence to assist with the investigation of the appeal.

The Appeal Notice shall clearly state the reason and rationale for the objection, contain documented objective evidence to support the appeal and details of the person responsible within the objecting scheme owner's organisation. The Appeal Notice shall be signed by an authoritative person from the objecting scheme owner and shall include the name, position, signature and date of signature.

The GFSI Executive Director shall formally acknowledge receipt of the Appeal Notice to the objecting scheme owner. This acknowledgement shall take place within 24 hours of receipt of the Appeal Notice. The GFSI Executive Director shall also notify the GFSI Board members within 24 hours of receipt of the Appeal Notice.

The GFSI Executive Director shall review the Appeals Notice with the Chairman of the GFSI Board. If it is deemed that the information provided in the Appeal Notice is insufficient or subjective in nature, he / she shall contact the signatory of the Appeal Notice and make his / her observations known. The scheme owner has the right to resubmit the Appeals Notice with additional information, but should they choose not to do so, the Chairman of the GFSI Board has the authority to reject the appeal at that stage.

In the event that an appeal is deemed not justified, then the scheme owner and the GFSI Board will be informed. The decision concerning the validity of the appeal shall be made within 2 days of the receipt of the Appeal Notice.

The GFSI Executive Director will make the decision known to the scheme owner and GFSI Board members whether or not to take forward or reject the appeal within 2 days of the receipt of the Appeal Notice. In the event that the appeal is not taken forward the reason for the decision will be made known to the scheme owner and GFSI Board members.

When the appeal procedure is initiated, the status of the scheme shall be amended on the GFSI website to reflect that the scheme is subject to appeal.

The appeal shall be considered by an Appeals Committee, which is a committee specifically assembled by the GFSI Board. The GFSI Executive Director shall ask the Chairman of the GFSI Board to invite three members of the Advisory Council to sit on the Committee. The GFSI Executive Director shall ensure that none of the invited members of the Advisory Council has any possible conflict of interest in relation to the scheme owner appealing against the decision of the GFSI. The Appeals Committee shall be appointed within two weeks of confirmation of acceptance by the GFSI Executive Director of taking forward the appeal.

The Chairman of the GFSI Board shall appoint an Appeals Committee Chairman, who will have responsibility to co-ordinate the activities of the Committee, document all actions, comments and decisions appertaining to the appeal and report back to the GFSI Board on their decision to uphold or reject the appeal. The Chairman of the Appeals Committee shall ensure throughout all stages of the appeals process that all proceedings shall

be conducted in an impartial and professional manner.

The GFSI Executive Director shall ensure all members of the Appeals Committee have a complete copy of the Appeal Notice, signed by the scheme owner and any other information related to the appeal. This may include recognition application data, investigative documentation from complaint reviews or documentation relating to continuous assessment.

The Chairman of the Appeals Committee shall decide upon the duration of the review of information submitted by the GFSI Executive Director and make this known to other members of the Committee, the Chairman of the GFSI Board and the GFSI Executive Director. The duration of the investigative phase of the appeal will, however, be no longer than four weeks from receipt of the confirmation of the GFSI Executive Director to take the appeal forward.

During this investigative phase the chairman of the Appeals Committee will liaise with other committee members and the scheme owner to establish the validity of the objection and to collate information and opinions allowing a decision to be made. The liaison with the scheme owner will always be with the signatory of the Appeal Notice.

The Chairman of the Appeals Committee shall ensure a meeting takes place between the Appeals Committee and the scheme owner (signatory of the Appeal Notice and any other parties nominated by the signatory) within six weeks of the acceptance of the appeal by the GFSI Executive Director. The meeting will be fully minuted.

Following the meeting with the objecting scheme owner's representative(s), the Chairman of the Appeals Committee shall convene a meeting of all Appeals Committee members and review the appeal information and any other evidence to decide upon the acceptance or rejection of the appeal. This meeting will take place with two days of the meeting with the objecting scheme owner's representative(s). The meeting will be minuted and these minutes provided to the GFSI Board.

The decision to accept or reject the appeal by the members of the Appeals Committee will be made by consensus and, if a vote is required, the majority vote will decide the outcome of the appeal. Members of the Appeals Committee cannot abstain.

The Chairman of the Appeals Committee will inform the Chairman of the GFSI Board and the GFSI Executive Director of the Committee's decision within one day of the closure of the Appeals Committee meeting. The Chairman of the Appeals Committee shall also provide the GFSI Board with the minutes of the Appeals Committee meeting and any other evidence felt necessary to clarify or support their decision.

The decision made by the Appeals Committee is final and cannot be overturned by the GFSI Board.

If the Appeals Committee feels that an issue is identified that may require further investigation, they shall appoint an ad hoc committee, with clear terms of reference to carry out further work, to provide advice and guidance.

The Chairman of the GFSI Board shall ensure all other Board members are made aware of the decision of the Appeals Committee and he / she will write to the scheme owner making them aware of the status of recognition.

The GFSI Executive Director shall ensure that the status of the scheme is made known on the GFSI website as soon as the scheme owner is informed of the decision of the Appeals Committee by the Chairman of the GFSI Board.

# PART II



## Requirements for the Management of Schemes

Requirements for  
the Management  
of Schemes

Sixth Edition  
Version 6.3





## REQUIREMENTS FOR THE MANAGEMENT OF SCHEMES

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# Introduction

This section is the second part of the Guidance Document, which has been developed and published by the Global Food Safety Initiative (GFSI) to specify the requirements for the recognition of food safety schemes.

The objectives of Part II are to define:

- ▶ the requirements for eligibility of a food safety scheme to be considered for benchmarking by GFSI,
- ▶ the requirements for food safety scheme ownership and management,
- ▶ the requirements for food safety scheme supporting systems,
- ▶ the requirements for continuing recognition by GFSI, if recognition status is granted.

## 1. Requirements for a GFSI Benchmarking Application

### 1.1 Introduction

The purpose of the application for GFSI benchmarking by scheme owners is to initiate the benchmarking process and to ensure that the criteria are in place to meet the GFSI requirements for recognition.

The types of scheme that can be recognised by GFSI are schemes owned by non-governmental bodies or government bodies. Irrespective of ownership, schemes must meet the requirements for application specified in Part II Section 2.

Applicant scheme owners shall submit an application for recognition in accordance with the requirements specified in Part I, Section 1.2. There are three types of scheme application;

- ▶ New Schemes
- ▶ Extension of Scope of Recognition
- ▶ Re-benchmarking

#### 1.1.1 New schemes

A new scheme is defined as a scheme which has:

- ▶ not previously undergone benchmarking by GFSI,
- ▶ been previously recognised by GFSI, but has had recognition withdrawn.

#### 1.1.2 Extension of Scope of Recognition

A scheme seeking an extension of scope is defined as a scheme which is:

- ▶ seeking to apply for a new scope of recognition
- ▶ seeking an extension of an existing recognised scope, which does not represent a significant change to the scheme governance or ownership, the management system or key elements.

#### 1.1.3 Re-benchmarking

A scheme seeking re-benchmarking is defined as a scheme which:

- ▶ has had significant change to the scheme governance or ownership, the management system or key elements, or...
- ▶ is required to be benchmarked on the 4 year anniversary of the original recognition, or...
- ▶ requires benchmarking after a change in the Guidance Document within the four year revision cycle, or...
- ▶ has been subject to suspension by GFSI.

<sup>1</sup> The scheme shall retain GFSI recognition for a period of one year after the publication of a new version of the GFSI Guidance Document.

## 1.2 Requirements for Scheme Application

### 1.2.1 Requirements for Scheme Application – New Scheme

The GFSI will require the applicant scheme owner to:

- a) **have in place a written Agreement or Memorandum of Understanding with GFSI<sup>1</sup>, and...**
- b) **submit an application for recognition for a defined scope(s)<sup>2</sup> and...**
- c) **submit an application for recognition to GFSI together with supporting evidence proving that;**
  - ▶ there is commitment from a minimum of three user organisations representing the retail / food service or producing / manufacturing sectors that use, or are going to use the scheme, and...
  - ▶ there is agreement with one or more Accreditation Bodies for Certification Bodies to operate to ISO/IEC Guide 65 or ISO /IEC 17021:2006 (supplemented by ISO/TS 22003) for the scope of their scheme. The decision as to the most appropriate generic standard to be used to accredit Certification Bodies for the scope of a scheme shall be made in consultation with Accreditation Bodies, but the final decision shall rest with the Accreditation Bodies.

Where the scheme owner has agreements with two or more Accreditation Bodies, the use of the accreditation standard must be the same irrespective of the Accreditation Body and it is incumbent on the scheme owner to ensure that consistency of decision making exists between Accreditation Bodies. The Accreditation Bodies granting accreditation to the scope of the scheme shall be members of the International Accreditation Forum (IAF) and shall be signatories to the Multilateral Recognition Arrangement (MLA), and...

- ▶ there are contractual relationships<sup>3</sup> with at least two Certification Bodies that have accreditation for the scope of the scheme with an Accreditation Body, and...
- ▶ the scheme has in place ten accredited certificates for single site audits (for the relevant scope of the application) issued by Certification Bodies, including at least one certificate issued by each Certification Body during a twelve month period prior to the date of the application, and...
- ▶ the scheme has been operational for a period of twelve months prior to the date of application. During this period, certificates shall be issued to a variety of organisations. A scheme is deemed to become operational on the date on which the first accredited certificate is issued by a Certification Body.

<sup>1</sup> The type of written agreement is subject to GFSI Board discretion (available from the secretariat upon request).

<sup>2</sup> A new application from a scheme owner may be submitted with a number of scopes of recognition. In this event the benchmarking process shall be carried out in accordance with *Part I Section 1.2.1.1, Methodology- Preliminary Screening and Benchmarking Application (New Scheme)* for one scope of recognition and the other scopes of recognition will be addressed in accordance with *Part I Section 1.2.1.2 Methodology - Benchmarking Application (Extensions to scope of recognition)*. The GFSI Benchmarking Committee Leader will assign Benchmark Committee members to ensure the expertise is in place within specific Committees in relation to scope of recognition.

<sup>3</sup> Where it is not possible to establish formal contractual arrangements, there shall be a clearly defined relationship between the scheme owner and Certification Bodies.

### 1.2.2 Requirements for Scheme Application – Extension of Scope of Recognition

GFSI will require the applicant scheme owner to:

- a) **submit an application for recognition for a defined scope(s)<sup>1</sup>, and...**
- b) **submit an application for recognition to GFSI together with supporting evidence proving that;**
  - ▶ there is agreement with one or more Accreditation Bodies for Certification Bodies to operate to ISO/IEC Guide 65 or ISO /IEC 17021:2006 (supplemented by ISO/TS 22003) for the scope of their scheme. The decision as to the most appropriate generic standard to be used to accredit Certification Bodies for the scope of a scheme shall be made in consultation with Accreditation Bodies but the final decision shall rest with Accreditation Bodies.

Where the scheme owner has agreements with two or more Accreditation Bodies, the use of the accreditation standard must be the same irrespective of the Accreditation Body and it is incumbent on the scheme owner to ensure that consistency of decision making exists between Accreditation Bodies. The Accreditation Bodies granting accreditation to the scope of the scheme shall be members of the International Accreditation Forum (IAF) and shall be signatories to the Multilateral Recognition Arrangement (MLA), and...

- ▶ there are contractual relationships with at least two Certification Bodies, that have accreditation for the scope of the scheme with an Accreditation Body, and...
- ▶ the scheme has in place ten accredited certificates (for the relevant scope of the application) issued by Certification Bodies to demonstrate market demand, including at least one certificate issued by each Certification Body during a twelve month period prior to the date of the application, and...
- ▶ the scheme has been operational within a period of twelve months prior to the date of application. A scheme is deemed to become operational on the date on which the first accredited certificate is issued by a Certification Body.

<sup>1</sup> An application for an extension to scope of recognition from a scheme owner may be submitted with a number of scopes of recognition. In this event the benchmarking process shall be carried out in accordance with *Part I Section 1.2.1.2 Methodology - Benchmarking Application (Extensions to scope of recognition)*. The GFSI Benchmarking Committee Leader will assign Benchmark Committee members to ensure the expertise is in place within specific Committees in relation to scope of recognition.

### 1.2.3 Requirements for Scheme Application – Re-benchmarking

GFSI will require the applicant scheme owner to:

**a) submit an application for recognition for a defined scope(s)<sup>1</sup>, and...**

**b) submit an application for recognition to GFSI together with supporting evidence proving that:**

- ▶ there is continued commitment from a minimum of three user organisations representing the retail / food service or producing / manufacturing sectors that use, or are going to use the scheme, and...
- ▶ there is agreement with one or more Accreditation Bodies for Certification Bodies to operate to ISO/IEC Guide 65 or ISO /IEC 17021:2006 (supplemented by ISO/TS 22003) for the scope of their scheme. The decision as to the most appropriate generic standard to be used to accredit Certification Bodies for the scope of a scheme shall be made in consultation with Accreditation Bodies but the final decision shall rest with the Accreditation Bodies.

Where the scheme owner has agreements with two or more Accreditation Bodies, the use of the accreditation standard must be the same irrespective of the Accreditation Body and it is incumbent on the scheme owner to ensure that consistency of decision making exists between Accreditation Bodies. The Accreditation Bodies granting accreditation to the scope of the scheme shall be members of the International Accreditation Forum (IAF) and shall be signatories to the Multilateral Recognition Arrangement (MLA), and...

- ▶ there are contractual<sup>2</sup> relationships with at least two Certification Bodies, that have accreditation for the scope of the scheme with an Accreditation Body, and...
- ▶ the scheme has in place ten accredited certificates (for the relevant scope of the application) issued by Certification Bodies, including at least one certificate issued by each Certification Body during a twelve month period prior to the date of the application.

<sup>1</sup> A scheme owner seeking re-benchmarking may submit an application with a number of scopes of recognition. In this event the benchmarking process shall be carried out in accordance with *Part I Section 1.2.1.3 Methodology - Benchmarking Application (Re-Benchmarking)* for equivalent scopes of recognition. Additional scopes of recognition will be addressed in accordance with *Part I Section 1.2.1.2 Methodology - Benchmarking Application (Extensions to scope of recognition)*. The GFSI Benchmarking Committee Leader will assign Benchmark Committee members to ensure the expertise is in place within specific Committees in relation to scope of recognition.

<sup>2</sup> Where it is not possible to establish formal contractual arrangements, there shall be a clearly defined relationship between the scheme owner and Certification Bodies.

## 2. Requirements for Food Safety Schemes – Ownership and Management

### 2.1 Introduction

The requirements contained in this section are intended to provide confidence in the compliance of a food safety scheme; i.e. the specific scheme standard and its related management system.

### 2.2 Scheme Scope

**2.2.1** The scheme shall have a defined scope in relation to food safety or services directly associated with food safety, which shall be subject to certification by accredited Certification Bodies.

GFSI has clearly defined scopes in relation to products or services for which schemes can seek recognition by GFSI. The scheme shall clearly specify the scope of activity within its application to GFSI (Part I Section 1).

**2.2.2** GFSI has categorised the food supply chain into sectors and sub-sectors for which there has been defined a series of requirements of good practice, dependent upon that sector. These requirements are regarded as food safety criteria associated with Good Agricultural Practice (GAP), Good Manufacturing Practice (GMP), Good Distribution Practice (GDP), Good Catering Practice (GCP) and Good Retail Practice (GRP). These requirements shall be clearly defined in the standard of the applicant's scheme and these shall be assessed against the requirements of the relevant section of the GFSI Guidance Document (*Reference Part III Scheme Scope and Key Elements*).

**2.2.3** GFSI has clearly defined specific requirements in relation to the operation of food safety schemes and the scheme owner shall also, within its normative references, define requirements of the scheme based on best practice of schemes within the sector for which the scheme has applied for recognition. For example, Certification Body operational standards, the competence of Certification Body staff and the accreditation standard. GFSI shall assess these requirements against the relevant section of the GFSI Guidance Document.

**2.2.4** A scheme's standard may incorporate requirements other than those related to food safety, but only those requirements relating to food safety shall be assessed by GFSI for the purpose of recognition and the scheme's standard shall have a significant proportion of its overall requirements as food safety related requirements. For the application process the scheme owner will clearly identify and cross-reference those requirements to be put forward for the scope of GFSI recognition (*Reference Part I Annex 1 - Scheme Application Guidelines*).

In the event that a scheme is recognised by GFSI and the scheme's standard incorporates requirements other than food safety criteria, the scheme owner shall clearly define within any communication the scope of GFSI recognition with respect to food safety.

### 2.3 Scheme Development and Maintenance

**2.3.1** The scheme owner shall be an organisation that is a legal entity, or an organisation which is a partnership of legal entities or a government agency. The scheme cannot be developed, managed or owned by a Certification Body or group of Certification Bodies.

**2.3.2** The scheme shall have been developed and maintained with the participation of technically competent representatives of direct stakeholders, or have been subjected to formal review by such parties and subsequently determined as appropriate. For each scope of recognition, the number and interests of the stakeholder representatives involved with the scheme development shall be reflective of the sector of the food supply chain for which the scope of the scheme is intended.

2.3.3 The scheme, during its development, shall have been subjected to extensive stakeholder consultation and due consideration shall have been given to comments received from stakeholders during the consultation.

2.3.4 The scheme shall consist of a standard (which is recognised by an Accreditation Body as the scope of certification) and a system based on the principles of ISO/IEC Guide 65 or ISO/IEC 17021:2006 (supplemented by ISO/TS 22003). The scheme shall have a clearly defined scope of activity, commensurate to the GFSI scope(s) of recognition and the standard and system shall specify the requirements and supporting systems and procedures to ensure that users are fully aware of compliance obligations. The standard shall be a normative document. The standard and other defined normative documents shall be established by consensus and issued using a formalised and documented approval process.

2.3.5 All of the scheme's normative documents shall be appropriately controlled and publicly available. The normative documents shall be provided in English and their translation appropriately controlled.

2.3.6 There shall be in place a system to ensure that stakeholders and other interested parties can make effective contact with the scheme owner, or authorised authority, to clarify any interpretation.

2.3.7 The scheme shall be subject to formal internal review annually and, where appropriate, revised. The scheme's normative documents shall be reissued at least every four years, or as appropriate, in accordance with the revision of or significant changes to the GFSI Guidance Document requirements. Where the scheme owner makes any changes to the standard or other defined normative documents, these changes shall be brought to the attention of the GFSI Executive Director.

2.3.8 The formal review of the scheme shall be carried out with the involvement of direct stakeholders. The review shall assess the management of the scheme, the currency of the scheme's standard and address any issues of concern raised by stakeholders. The review and any arising actions shall be fully documented.

## 2.4 Scheme Governance

2.4.1 In relation to a scheme that is owned by a non-government organisation, the scheme shall be developed, maintained and administered by a legal entity or an organisation consisting of legal entities, that has a constitution, which clearly defines its activities and responsibilities and has good governance in place. There shall be in place a clearly defined organisational structure, which specifies activities and responsibilities.

The scheme shall have in place a Board or Governance Body, which operates to a defined governance policy specifying the Board or Governance Body election process, Board or Governance Body representation, member categories, income generation or funding processes, an organisational structure, the decision making process, personnel roles (responsibility and authority), standard setting procedures and a conformity assessment programme. The scheme's organisational structure shall name individuals on Boards, committees and in management roles and this shall be publicly available. The scheme's governance shall be such as to ensure that there is no conflict of interest, which could call into question its impartiality and integrity.

2.4.2 In relation to a scheme owned by a government organisation, the scheme shall be developed, maintained and administered by a specified government agency. There shall be in place a named Board, Governance Body or Committee. There shall be in place a defined organisational structure, which specifies activities and responsibilities in relation to other government bodies and other organisations such as Accreditation Bodies.

The scheme shall have in place a clearly defined governance policy, which specifies the representation of organisations and individuals on the Board, Governance Body or Committee, the decision making process, personnel roles (responsibility and authority), standard setting procedures and a conformity assessment programme. The scheme organisational structure shall name individuals on Boards, committees and in management roles and this should be publicly available. The scheme's governance shall be such as to ensure there is no conflict of interest, which could call into question its impartiality and integrity.

2.4.3 The scheme shall have in place a procedure which vets and approves personnel employed by the organisation to ensure their professional integrity, competence and impartiality.



2.4.4 The scheme owner shall have adequate and appropriate arrangements in place to cover any liabilities, which may arise from its activity.

2.4.5 The scheme shall be open and transparent in its governance and operations.

2.4.6 The scheme shall be open, without restriction, to application by any Certification Body and, for the purposes of certification, must be operated in a non-discriminatory manner.

2.4.7 The certification process must not be 'self-promoting' or 'self-expanding' by mandating that a product or service to be certified must contain components, which are certified under a standard owned by the scheme.

2.4.8 The levying of a reasonable fee for the purchase of the scheme, a license fee for its implementation, examination of auditors or a training requirement for the application of the scheme, will not be regarded as a restriction or a limitation.

2.4.9 The scheme owner shall not be directly involved with any activity that could be seen as being a conflict of interest or could bring itself, associated Accreditation Bodies, associated Certification Bodies or the GFSI, into disrepute.

2.4.10 The scheme owner shall ensure that no employees and committee members have a conflict of interest that might influence decisions in relation to the granting of certification to the scheme.

2.4.11 Where the scheme owner has copyright on any normative documents, this shall be held by the legal entity and have systems in place to minimise any risk of breach of the copyright.

## 2.5 Scheme Management

2.5.1 The scheme shall be effectively managed by the scheme owner or management delegated to a competent authority. In the event of the operational management of the scheme being delegated by the scheme owner, the scheme owner shall ensure that the requirements of GFSI are not compromised.

2.5.2 The scheme shall have in place an appropriate number of staff with adequate resources to effectively manage the scheme's day to day operations and there shall be in place a defined organisational and reporting structure, key job descriptions and documented operating procedures.

2.5.3 The scheme owner shall carry out regular reviews of the operation of the scheme and take any necessary action to ensure compliance with GFSI requirements; these reviews shall be part of an internal audit programme.

2.5.4 The management of the scheme shall ensure that all contractual or formal arrangements between the scheme and GFSI are in place at all times.

2.5.5 The scheme owner shall ensure that individual Certification Bodies operating to the scope of their scheme comply with the requirements of the GFSI Guidance Document and are accredited to the scope of an appropriate accreditation standard; i.e. ISO/IEC Guide 65 or ISO/IEC 17021:2006 (supplemented by ISO/TS 22003), which has been granted by an Accreditation Body that is a member of the International Accreditation Forum (IAF) and is a signatory to the IAF Multilateral Recognition Arrangement (MLA).

2.5.6 The scheme owner shall have in place a system of key performance indicators for Certification Bodies, which are monitored by a series of measures including complaints procedures and report screening procedures. There shall also be in place a risk based programme of office audits and announced, but unscheduled, audits of certified organisations. The measurement of key performance indicators shall be carried out according to a risk based programme, which is based on the number, size and complexity of assessments carried out by a Certification Body.

2.5.7 The scheme owner shall have in place adequate controls for the translation and publication of normative documents.



2.5.8 The scheme owner shall have a documented system in place for sanctions against non compliant Certification Bodies.

2.5.9 The scheme owner shall have in place a procedure for dealing with complaints, which shall include requirements for investigation, complaint management documentation and successful resolution of the complaint.

## 2.6 GFSI Relationship

2.6.1 The scheme owner shall sign and be in compliance with a four year Agreement or Memorandum of Understanding between the organisation and the GFSI.

There may be circumstances under which a formal agreement may not be possible; e.g. with a governmental body. Under these circumstances the GFSI Board will make the decision to accept the application for recognition.

2.6.2 The scheme owner shall actively participate in GFSI activities relating to certification and accreditation and shall be co-operative in their dealings. The scheme owner will be expected to actively promote the principles supporting GFSI.

2.6.3 In the event of any significant changes to ownership, management personnel, management structure or constitution, the scheme owner shall inform GFSI in a timely manner. Where the scheme owner is aware of any possible conflict or problems, which could result in bringing their scheme or GFSI into disrepute, GFSI shall be informed and appropriate action shall be taken.

2.6.4 The scheme owner shall provide GFSI with information relating to the GFSI requirements upon request and shall complete an annual report on activities. The annual report will relate to the satisfactory operation of a scheme in accordance to the GFSI requirements (circulated on an annual basis to all GFSI recognised scheme owners).

2.6.5 GFSI shall undertake an annual audit of the scheme owner's system by the process of self-assessment incorporating a review of the results and actions arising from the scheme owner's internal audit (*Reference Part I Section 1.2.5*).

In addition to the self-assessment review an office assessment of the scheme's management system and operation shall be conducted by GFSI within a four year period (*Reference Part I Section 1.2.5.1*)

2.6.6 The scheme owner shall only make claims regarding the conformity in respect of the scope for which recognition to the GFSI Guidance Document has been granted.

2.6.7 The scheme owner shall not allow products produced under the conforming scheme to be labelled, marked or described in a manner, which implies that it meets specific food safety criteria.

2.6.8 The scheme owner shall ensure that it does not use its recognition by GFSI in such a manner as to bring GFSI into disrepute and will not make any statements regarding its conforming status that GFSI may consider misleading or unauthorised.

2.6.9 In the event of suspension of recognition of a scheme all (restricted) advertising or promotional matter that contains any reference to GFSI e.g. logo, name and scheme rules, attendance at meetings and annual report, shall be discontinued and, where required, recalled.

## 3. Requirements for Food Safety Schemes – System

### 3.1 Introduction

The requirements contained in this section describe the requirements that a scheme owner shall have in place in relation to their food safety scheme's system, in order to ensure compliance with the GFSI Guidance Document.

### 3.2 Relationship with Accreditation Bodies

**3.2.1** The scheme owner shall have enforceable arrangements with their respective Accreditation Bodies to ensure compliance with the GFSI Requirements for the Application of ISO /IEC 17011:2004 – Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies (reference Part II Annex 2) or have in place an Agreement with Accreditation Bodies endorsed by the International Accreditation Forum (IAF), which provides equivalence to the GFSI Requirements for the Application of ISO /IEC 17011:2004 – Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies.

The scheme owner shall formally appoint a representative in charge of contact with the Accreditation Body.

**3.2.2** The scheme owner shall ensure that, in the event that a Certification Body has had its accreditation withdrawn or suspended by an Accreditation Body, the scheme owner is informed of this action and of the circumstances surrounding the withdrawal or suspension of accreditation.

### 3.3 Relationship with Certification Bodies

**3.3.1** The scheme owner shall ensure that it has contractual and enforceable arrangements with all Certification Bodies that are approved to operate their scheme.

**3.3.2** Scheme owners shall ensure that all Certification Bodies with which they have contractual arrangements are accredited. The scheme owner will act to ensure that the accreditation standard used by all national Accreditation Bodies for the scope of their scheme is consistent and, where appropriate, will facilitate a harmonised agreement on behalf of the contracted Certification Bodies.

The scheme owner, as part of their contractual arrangements with certification bodies, shall ensure that direct dialogue between the Scheme Owner and the Accreditation Body takes place in the event that a Certification Body has had its accreditation withdrawn or suspended.

**3.3.3** The scheme owner shall ensure that all activities resulting in the issuing of certificates are delivered by Certification Bodies, which are accredited by Accreditation Bodies that are members of the International Accreditation Forum (IAF) in compliance with ISO/IEC Guide 65 or ISO/IEC 17021:2006 (supplemented by ISO/TC 22003) and are signatories to the Multilateral Recognition Arrangement (MLA).

**3.3.4** The scheme owner shall ensure that the scope of accreditation of a Certification Body shall be precisely defined in terms of the category of application reference (e.g. product categories or services) of the conforming food safety scheme, including revision numbers and / or dates and is publicly available. Certification Bodies undertaking audits against food safety schemes, which have been found to be in compliance with this document, must have the named scheme included in their scope of accreditation.

**3.3.5** Under certain circumstances, the Certification Body may have an application for extension of their scope pending with an Accreditation Body. They must, however, have a current accreditation to ISO/IEC Guide 65 or ISO/IEC 17021 (supplemented by ISO/TC 22003). Written notification of such a circumstance from the Certification Body must be held and acknowledged by the scheme owner.

**3.3.6** The range of certification services offered by a Certification Body may be wider than those accredited. In this case the scheme owner shall ensure that the limits and scope of the accreditation shall be made clear by the Certification Body and publicly available. Any ambiguity in relation to the scope of services offered by the Certification Body for a scheme shall be resolved by the scheme owner in consultation with the Certification Body concerned. Services that are outside the scope of the accreditation shall be distinguished from those that are accredited.

**3.3.7** Certification Bodies that are seeking accreditation for the scope of a scheme shall be accredited within one year from the date of application to an Accreditation Body. In the event that accreditation is not granted within this period the scheme owner shall ensure that the Certification Body contract shall be terminated and potential actions reviewed.

**3.3.8** The scheme owner shall have in place an auditor registration system for every scheme specific auditor employed by a Certification Body. The details of the auditor's qualifications, training, experience and scope of activity in relation to the scheme's product categorisation shall be held and maintained within this register. The scheme owner will register approved auditors and shall ensure that the Certification Body has a system to update the auditors' details, where appropriate.

**3.3.9** The scheme owner shall have in place a risk based system of auditor competence assessment, which may consist of examinations, review of performance by documentation review or witnessed audits.

**3.3.10** The scheme owner will have a system in place to ensure that Certification Bodies notify the scheme owner of changes to ownership, management personnel and management structure or constitution in a timely manner. Where the scheme owner is aware of any possible conflict or problems, which could result in bringing their scheme or GFSI into disrepute, the scheme owner and the Certification Body shall agree on appropriate action.

**3.3.11** The scheme owner shall have in place procedures to ensure a Certification Body notifies them of any withdrawal or suspension of certification of a supplier.

**3.3.12** The scheme owner shall ensure that Certification Bodies shall have in place an agreement with certified organisations to ensure that they are informed of any food safety prosecution, significant regulatory food safety non-conformity or any product recall relating to food safety and that the Certification Bodies have procedures in place to ensure the integrity of certification after notification.

**3.3.13** The scheme owners shall ensure that the following criteria are in place:

**3.3.13.1** The Certification Body shall take all steps required to evaluate conformance with the scheme's standard and fully comply with other associated requirements of the certification scheme.

**3.3.13.2** The Certification Body shall operate an effective and fully implemented quality system. The quality system shall be fully documented and used by all relevant Certification Body staff. Within the Certification Body there shall be a designated member of staff responsible for the quality system's development, implementation and maintenance. This designated member of staff will have a reporting role to the organisation's executive and shall also have the responsibility for reporting on the performance of the quality system for the purposes of management review and subsequent system improvement.

**3.3.13.3** The required quality system shall be fully documented in a quality manual, which, in turn, will contain all necessary procedures for compliance. As a minimum, the quality manual shall contain:

I. A quality policy statement,

II. A description of the legal status of the organisation, including ownership and an organisational structure including named individuals, their job titles and the description of their responsibilities. The organisational structure shall include a chart listing each job title and how these functions interrelate through a management structure,

- III. A list of named individuals employed by the organisation, which includes their qualifications and full details of their experience,
- IV. A description of the management of the certification process including its committee structure, terms of reference and procedures.
- V. Details of management review policy and procedures,
- VI. Procedures in relation to documentation control,
- VII. Details of operational and functional responsibilities pertaining to quality and defining individual limits of responsibility and accountability,
- VIII. Recruitment procedures; i.e. selection, initial training, ongoing training and performance assessment for all relevant Certification Body personnel,
- IX. A list of all subcontractors and a detailed procedure for their appointment, assessment and their ongoing management,
- X. Procedures for actions in response to non conformities and the effectiveness of agreed corrective and preventative actions taken,
- XI. Procedures in relation to the use of the certificate and, in the event of a requirement to withdraw or suspend certification, the actions taken by the Certification Body,
- XII. Policies and procedures relating to appeals, complaints and disputes,
- XIII. Procedures for conducting internal audits and for corrective actions arising from internal audits.

3.3.13.4 In the event of significant changes, which could affect the safety of product, changes to the requirement of the certification scheme standard, changes of ownership or management of the supplier or if the Certification Body has reason to believe there could be compliance issues in relation to certification, the Certification Body shall reevaluate the supplier(s) to assess compliance with the certification scheme standard.

3.3.13.5 The Certification Body shall at all times make available the following information:

- I. Authority under which the organisation operates,
- II. A statement in relation to its certification system, including information on rules and procedures for granting, maintaining, extending, suspending and withdrawing certification of its clients,
- III. Evaluation procedures and certification processes in relation to the certification scheme,
- IV. Details of the means of obtaining financial support and fees charged to clients,
- V. Details of the rights and requirements of applicants and clients such as the use of logos and marks and the way in which a client can use information in relation to certification,
- VI. Details of complaints, appeals and disputes procedures,
- VII. A comprehensive list of all clients certificated against the scope of the certification scheme's standard.

3.3.13.6 The Certification Body shall require all staff involved with the certification process to sign a contract or agreement, which clearly commits them to:

- I. Complying with the rules of the organisation with particular reference to confidentiality and independence from commercial or personal interests,
- II. Declaring any issues in relation to personal conflicts of interest.

The Certification Body shall clearly document and make known to its employees all requirements of ISO/IEC Guide 65 or ISO/IEC17021 relating to personnel.

3.3.13.7 The Certification Body shall hold and maintain records regarding the qualifications, training and experience of all staff involved in the certification process. All records shall be dated. The information shall include, as a minimum:

- I. Name and address,
- II. Organisational affiliation and position held,
- III. Educational qualification and professional status,
- IV. Experience and training in the relevant fields of competence in relation to the certification scheme's requirements,
- V. Details of performance appraisal(s).

## 3.4 Certification Body Personnel Competence

### 3.4.1 Certification Body Personnel Competence - General

3.4.1.1 The Certification Body shall employ personnel who have the competence requirements to meet all management, administrative, technical and auditing functions within the organisation.

3.4.1.2 The Certification Body shall maintain up to date personnel records, including relevant qualifications, training, experience, affiliations, professional status, competence and any relevant consultancy services that may have been provided. This includes management and administrative personnel, in addition to those performing technical and auditing activities. The Certification Body shall be mindful of and act upon any issues relating to conflict of interest that may affect personnel performance or impartiality.

### 3.4.2 Auditor Competence - Qualifications, Training, Experience and Personal Attributes

3.4.2.1 Independently of the scope of accreditation, the Certification Body shall have systems and procedures in place to ensure that auditors conducting assessments meet the capabilities described in ISO 19011, ISO 17021, ISO/IEC Guide 65 and ISO 22003 with specific regard to requirements specified by GFSI recognised schemes and all requirements listed in *Part II Sections 3.4.2 to 3.4.10*.

3.4.2.2 The scheme owner shall have in place a clearly defined category of application reference (e.g. product or service) for which Certification Bodies can apply for a scope of accreditation. The auditors employed by the Certification Body shall be able to demonstrate competence in these categories of application. Where a Certification Body applies for a new or an extension to the scope of activity in relation to a category of reference, the scheme owner shall ensure that there is a procedure in place to verify the competence of the auditors of the Certification Body (*reference Part II Section 3.4.7*).

### 3.4.3 Qualification/Education

3.4.3.1 The scheme owner shall clearly define the qualifications and education of auditors as being in accordance with the requirements specified in *Part II Annex 3*.

### 3.4.4 Total Work Experience

3.4.4.1 5 years full time experience in the food or associated industry including at least 2 years work in quality assurance or food safety functions in food production or manufacturing, retailing, inspection or enforcement or the equivalent (*Reference Part II Annex 3*).

This period may be reduced to a total of 2 years experience if the competence of the auditor is assessed by an examination designed and delivered by the scheme owner.

The examination content shall, as a minimum, cover:

- ▶ General knowledge of the scheme,
- ▶ Knowledge of relevant legislative requirements,
- ▶ Knowledge and understanding of specific food processes,
- ▶ Understanding of quality assurance, quality / food safety management and HACCP principles.

### 3.4.5 Formal Auditor Training

3.4.5.1 A formal auditor training programme shall be in place:

- ▶ Auditors shall have successfully completed recognised training in auditing techniques based on QMS or FSMS – duration 1 week / 40hours or equivalent,
- ▶ Auditors shall have successfully completed a training course in HACCP based on the principles of Codex Alimentarius and demonstrate competence in the understanding and application of HACCP principles – minimum duration 2 days or equivalent.
- ▶ Auditors shall have successfully completed training in the scheme being delivered, to the satisfaction of the scheme owners.

### 3.4.6 Initial Training

3.4.6.1 The training programme for each auditor will incorporate:

- ▶ an assessment of knowledge and skills for each product category in which the auditor will be expected to be working,
- ▶ an assessment of knowledge of food safety, HACCP, Pre-Requisite Programmes and the ability to access and be able to apply relevant laws and regulations,
- ▶ a period of supervised training to cover the assessment of quality / food safety management systems and HACCP, specific audit techniques and specific category knowledge,
- ▶ a documented sign off of the satisfactory completion of the training programme by the appointed competent supervisor.

### 3.4.7 Audit Experience

3.4.7.1 Auditing Skills Assessment

Auditors will be assessed on their performance in a combination of 10 audit days and 5 audits in accordance with the Certification Body's written programme and as a pre-requisite to meeting applicable requirements of the GFSI recognised scheme.

3.4.7.2 Maintain Audit Experience

The Certification Body shall have in place an annual programme, which shall include at least 5 on site audits at different organisations against the relevant GFSI approved standard to maintain category and scheme knowledge.

### 3.4.8 Extension of Scope

3.4.8.1 In order to extend scope, an auditor must undergo a programme of training in the new category, conduct supervised audits and must be assessed and signed off as competent by the Certification Body to conduct audits in the new category.

### 3.4.9 Continuous Professional Development

The auditor shall keep up to date with category best practice, food safety and technological developments and have access to and be able to apply relevant laws and regulations and shall maintain written records of all relevant training undertaken.

### 3.4.10 Personal Attributes and Desired Behaviour

The Certification Body shall have a system in place to ensure auditors conduct themselves in a professional manner. The following includes examples of required personal attributes and behaviour:

- ▶ Ethical; i.e. fair, truthful, sincere, honest and discreet,
- ▶ Open minded; i.e. willing to consider alternative ideas or points of view,
- ▶ Diplomatic; i.e. tactful in dealing with people,
- ▶ Observant; i.e. actually aware of physical surroundings and activities,



- ▶ Perceptive; i.e. instinctive, aware of and able to understand situations,
- ▶ Versatile; i.e. adjusts readily to different situations,
- ▶ Tenacious; i.e. persistent, focussed on achieving objectives,
- ▶ Decisive; i.e. timely conclusions based on logical reasoning,
- ▶ Self-reliant; i.e. acts independently whilst interacting effectively with others,
- ▶ Integrity; i.e. aware of need for confidentiality and observes professional code of conduct.

## 3.5 Audit Frequency and Duration

**3.5.1** The scheme owner shall have a clearly defined and documented audit frequency programme, which shall ensure a minimum audit frequency of one audit per year of an organisation's facility and has the scope to assess all elements of the scheme's standard.

The audit frequency programme shall define the frequency of audit for each product category covered by the scope of the scheme. The frequency of audits may be influenced by a number of factors such as previous audit history, concerns about compliance with a scheme's standard, seasonality of product, significant capacity increases, structural changes, changes in product technology or changes in product type. The scheme owner must clearly define the rationale for the determination of frequency within the scheme.

**3.5.2** Irrespective of the defined minimum audit frequency, the Certification Body shall undertake additional surveillance audits in the event that there is evidence or suspicion of non conformity within an organisation.

**3.5.3** Some schemes may have a scope, which includes the growing or production of seasonal products and, therefore, will require some limited flexibility of audit frequency to allow effective auditing of seasonal products. These variations to audit frequency shall be clearly defined.

**3.5.4** The scheme owner shall clearly define the expected duration of audits and the rationale for the determination of the duration of the audit; it is expected that the duration of an on-site audit to be typically 2 days for the manufacture of processed products and 1 day for primary production, in order to effectively assess an organisation's systems and premises in accordance to the scheme's standard and provide confidence in the certification process. There shall be in place clear criteria, which specify the justification for deviation from these typical durations.

The rationale shall include criteria that will ensure effectiveness of the audit such as the level and depth of assessment of management systems and GAP/GMP/GDP requirements and premises / systems assessment (e.g. product lines, products and product categories).

**3.5.5** The scheme owner shall have in place monitoring procedures to ensure that contracted Certification Bodies comply with the defined audit duration criteria and that appropriate actions are taken in the event that a Certification Body does not meet the defined requirements.

## 3.6 Audit Reporting

**3.6.1** The scheme owner shall have in place a clearly defined system for the generation and issue of audit reports.

**3.6.2** Where scoring, ranking and grading systems are applied these shall be clearly explained by the scheme owner and publicly available.

**3.6.3** The audit report shall, in all cases, incorporate details of the duration of the audit and this information shall be monitored by the scheme owner.

**3.6.4** The audit report shall include sufficient detail to ensure that it clearly expresses where the site is in compliance, or not in compliance, with the scheme's standard requirements. In the case where non conformity is identified by the auditor, clear and concise details of the non conformity shall be provided in the audit report.

3.6.5 The scheme owner shall ensure appropriate confidentiality is in place and that the audit report is only released at the discretion of the contracted client. Ownership of the audit report, determination of details made available and authorisation for access shall remain with the contracted client.

## 3.7 The Management of Certification

3.7.1 The scheme owner shall have in place a clearly defined system for the granting, suspension and withdrawal of certification services by Certification Bodies for the scope of their scheme.

3.7.2 Irrespective of the system of the granting of certification, all non conforming organisations shall have corrective action plans and evidence of implementation submitted for the Certification Body to verify that the organisation fully meets the requirement of the scheme's standard. Verification of the corrective action plan by a Certification Body shall take the form of further on-site assessment or the scrutiny of submitted documentation including updated procedures, records and photographs assessed by a technically competent member or group within the Certification Body. All evidence of corrective action shall be returned, completed and verified by the Certification Body, within a timescale defined with the scheme owner, before certification can be awarded.

3.7.3 The scheme owner's system for granting the approval of certification services by Certification Bodies for the scope of their scheme shall include the requirement that each assessment report is given a thorough technical review prior to granting, suspending, withdrawing or renewing certification. For the review process to be effective it shall ensure that:

- ▶ reviewers are impartial and technically capable of understanding the content of reports and that the reports are accurately assessed to demonstrate satisfactory evidence of compliance with the scheme,
- ▶ all requirements of the standard have been fully covered, using any supporting notes made during the assessment by a suitably qualified auditor,
- ▶ the scope of the report covers the scope applied for by the organisation and that the report provides satisfactory evidence that all areas of the scope have been fully investigated,
- ▶ all areas of non conformity have been identified and effective corrective action has been taken to resolve these non conformities.

3.7.4 The Certification Body shall have in place a clearly defined and publicly available appeals procedure.

3.7.5 The scheme owner shall have in place a certificate template, which specifies the information required to be included on a certificate.

## 3.8 Data Management

3.8.1 The scheme owner shall have in place a clearly defined data management system, which will hold and maintain data for the effective management and operation of the scheme.

3.8.2 The data management system shall incorporate data in relation to the requirements of the GFSI Guidance Document.



# ANNEX 1

## GFSI Scope of Recognition

## GFSI Scope of Recognition

The GFSI sector and sub-sector scopes for recognition are as follows;

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Examples of Products / Services and method of production
<b>AI</b>	Farming of Animals for Meat/ Milk/ Eggs/ Honey	Animals (other than fish and seafood) used for meat production, egg production, milk production or honey production Growing, keeping, trapping and hunting (slaughtering at point of hunting)
<b>AlI</b>	Farming of Fish and Seafood	Fish and seafood used for meat production Growing, trapping and fishing (slaughtering at point of capture)
<b>BI</b>	Farming of Plants (other than grains and pulses)	Growing or harvesting of plants (other than grains and pulses) for food
<b>BIII</b>	Farming of Grains and Pulses	Growing or harvesting of grains and pulses for food
<b>C</b>	Animal Conversion	Lairage, slaughter, evisceration, bulk chilling, bulk freezing of animals Gutting, bulk freezing of fish Storage of game
<b>D</b>	Pre-process handling of plant products, nuts and grain	De-shelling of nuts Drying of grain Grading of fruit and vegetables Storage Cleaning, washing, rinsing, fluming, sorting, grading, trimming, bundling, cooling, hydro-cooling, waxing, drenching, packing, re-packing, staging, storing, loading and / or any other handling activity that does not significantly transform the product from its original harvested form.
<b>EI</b>	Processing of perishable animal products	Production of animal products including fish and seafood Meat, eggs, dairy and fish products Deboning, cutting, washing, trimming, grading, pasteurisation, cooking, curing, fermentation, smoking, chilling, freezing, packed in modified atmosphere, packed in vacuum packing

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Examples of Products / Services and method of production
<b>EII</b>	Processing of perishable plant products	Production of plant products (including grains, nuts, and pulses) Washing, slicing, dicing, cutting, shredding, peeling, grading, pasteurisation, cooking, chilling, juicing, pressing, freezing, packed in modified atmosphere, packed in vacuum packing or any other activity that significantly transforms the product from its original whole state
<b>EIII</b>	Processing of perishable animal and plant products(mixed products)	Production of animal and plant products Mixing, cooking, chilling, freezing, packed in modified atmosphere, packed in vacuum packing
<b>EIV</b>	Processing of ambient stable products	Production of food products from any source that are stored and sold at ambient temperature Aseptic filling, baking, bottling, brewing, canning, cooking, distilling, drying, extrusion, fermentation, freeze drying, pressing, frying, hot filling, irradiating, milling, mixing and blending, packed in modified atmosphere, packed in vacuum packing, pasteurising, pickling, roasting, salting and refining
<b>F</b>	Production of feed	Production of feed from a single or mixed food source Drying, cooking, milling, mixing, blending and extrusion
<b>G</b>	Catering	Production of food products from any source for consumption outside the home Cooking, mixing and blending, preparation of component products
<b>H</b>	Retail / Wholesale	Provision of finished food and feed products to a customer Retailing and wholesaling of food and feed
<b>I</b>	Provision of Food Safety Services	Supply of services related to the safe production of food and feed Water Supply Pest Control Cleaning Services Test Laboratories
<b>J</b>	Provision of Storage and Distribution Services	Storage facilities for food and feed Distribution vehicles for food and feed

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Examples of Products / Services and method of production
<b>K</b>	Manufacture of Food Processing Equipment	Production of food and feed processing equipment
<b>L</b>	Production of (Bio) Chemicals (Additives, Vitamins, Minerals, Bio-cultures, Flavourings, Enzymes and Processing aids)	Production of food and feed additives, vitamins, minerals, bio-cultures, flavourings, enzymes and processing aids
<b>M</b>	Production of Food Packaging	Production of food and feed packaging, packaging materials, packaging components in the form of raw materials, part processed, semi converted, converted or fully finished packaging materials and products for use in the supply chain.
<b>N</b>	Food Broker / Agent	The supply of finished food and feed products

# ANNEX 2

## GFSI Requirements for the Application of ISO/IEC 17011:2004

Conformity assessment – General requirements for accreditation  
bodies accrediting conformity assessment bodies



# Introduction

The Consumer Goods Forum (CGF) is a global, parity-based industry network, driven by its members. It brings together the CEOs and senior management of over 650 retailers, manufacturers, service providers and other stakeholders across 70 countries and reflects the diversity of the industry in geography, size, product category and format. Forum member companies have combined sales of EUR 2.1 trillion.

The Forum provides a unique global platform for knowledge exchange and initiatives around five strategic priorities – Emerging Trends, Sustainability, Safety & Health, Operational Excellence and Knowledge Sharing & People Development – which are central to the advancement of today's consumer goods industry.

The Global Food Safety Initiative (GFSI), co-ordinated by the Consumer Goods Forum, was launched in May 2000. The GFSI Board is made up of members drawn from major retailer, manufacturer and food service operators. They provide the strategic direction and oversee the daily management of the Global Food Safety Initiative.

The GFSI Mission is to provide continuous improvement in food safety management systems to ensure confidence in the delivery of safe food to consumers worldwide.

The GFSI Objectives are to:

- ▶ Reduce food safety risks by delivering equivalence and convergence between effective food safety management systems
- ▶ Manage cost in the global food system by eliminating redundancy and improving operational efficiency
- ▶ Develop competencies and capacity building in food safety to create consistent and effective global food systems
- ▶ Provide a unique international stakeholder platform for collaboration, knowledge exchange and networking

The GFSI Foundation Board also provides governance to the GFSI Technical Working Groups, an international multi-stakeholder group of over 90 food safety experts. The GFSI Technical Working Groups work on specific selected projects throughout the year, approved by the GFSI Foundation Board, in order to fulfil the GFSI Mission; these have included projects such as auditor competence, food defence and technical issues relating to emerging and developing markets.

In 2008 the GFSI Foundation Board formed the GFSI Accreditation Task Force whose purpose is to:

- ▶ agree on common areas of concern in relation to the accreditation process, by undertaking a review of current documents from GFSI benchmarked schemes regarding the relationship between Certification Bodies and Accreditation Bodies, in order to identify and define common requirements and individual requirements,
- ▶ gather and collate information from GFSI benchmarked scheme owners on any operational issues regarding the accreditation process and seek their agreement to act on their behalf regarding the development of common requirements,
- ▶ review the agreed common requirements identified against ISO/IEC17011 and put forward areas where ISO/IEC 17011 can be more specific in relation to the requirements of GFSI recognised schemes,
- ▶ develop and agree on a Requirements document defining common requirements for Accreditation Bodies in relation to ISO/IEC 17011 and GFSI recognised schemes,
- ▶ use the agreed Requirements document as the basis for discussion with the International Accreditation Forum and European Accreditation, with a view to gaining recognition of the document by these organisations,
- ▶ agree on implementation criteria for the proposed Requirements documents allowing GFSI to act on behalf of the Accreditation Task Force and GFSI recognised standard owners,
- ▶ undertake the review of the progress of the development and implementation of the Requirements documents and advise the GFSI Foundation Board accordingly.

# The Purpose of the GFSI Requirements for the Application of ISO /IEC 17011

ISO/IEC 17011:2004 is an International Standard, which sets out criteria for conformity assessment for Accreditation Bodies accrediting conformity assessment bodies. There are no specific requirements in relation to those Accreditation Bodies carrying out assessment of conformity assessment bodies working with food safety schemes.

Since 2000 GFSI has worked closely with a number of major stakeholders in the food industry in an attempt to harmonise processes related to food safety schemes and has benchmarked and recognised four post-farm gate schemes.

Over a period of time each of these schemes has developed their own set of criteria in relation to the accreditation process, which has led to a diversity of requirements; this, in turn, has led to complexity of process, increased cost and a lack of clarity. It is believed that with the implementation of this document as part of the GFSI Guidance Document there will be significant benefits for GFSI recognised scheme owners, Accreditation Bodies and Certification Bodies.

The GFSI Accreditation Task Force was formed in February 2008 with the objective of facilitating dialogue between GFSI recognised scheme owners and other interested parties in order to harmonise their approach and minimise the effects that the diversification of requirements has caused.

This document is the culmination of work undertaken by GFSI and the four GFSI recognised scheme owners in 2008 and 2009 to specify harmonised requirements in relation to the accreditation of conformity assessment bodies carrying out product certification to the GFSI recognised schemes.

The document has been entitled 'Requirements' to reflect the fact that this document is not regarded as being notes for guidance and will be the subject of further work with GFSI and the GFSI recognised scheme owners to ensure compliance with the specified requirements by those Accreditation Bodies working with GFSI recognised schemes.

The document has been developed to enhance the robustness of the accreditation process in relation to GFSI recognised schemes and it must be stressed that its use relates only to the requirements of GFSI recognised schemes.

The document has not been developed to revise or amend confidentiality arrangements, which may exist between scheme owners, Certification Bodies and Accreditation Bodies; however, it is meant to promote communication and co-operation between these parties, when consumer health or the integrity of certification has been compromised.

The term 'shall' is used in the document to indicate those provisions, which are regarded as being mandatory. There are requirements within the document, which are specific with respect to parameters of assessment; these shall be regarded as minimum requirements and do not preclude Accreditation Bodies carrying out additional activities in the event that they would wish to, or deem it appropriate to do so.

GFSI wishes to continue to work closely with IAF and its members in a spirit of co-operation to ensure the implementation of these requirements, which will provide enhanced confidence regarding the accreditation of conformity assessment bodies working within the food industry.



# Content of ISO/IEC 17011

- 1** Scope
- 2** Normative references
- 3** Terms and definitions
- 4** Accreditation body
  - 4.1 Legal responsibility
  - 4.2 Structure
    - GFSI Requirements to clause 4.2.4*
    - GFSI Requirements to clause 4.2.6*
  - 4.3 Impartiality
  - 4.4 Confidentiality
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  - 4.5 Liability and financing
  - 4.6 Accreditation activity
    - GFSI Requirements to clause 4.6.1*
    - GFSI Requirements to clause 4.6.2*
- 5** Management
  - 5.1 General
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  - 5.5 Non conformities and corrective actions
  - 5.6 Preventive actions
  - 5.7 Internal audits
    - GFSI Requirements to clause 5.7.2*
  - 5.8 Management reviews
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    - GFSI Requirements to clause 5.9*
- 6** Human resources
  - 6.1 Personnel associated with the accreditation body
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    - GFSI Requirements to clause 6.2.1*
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  - 6.3 Monitoring
  - 6.4 Personnel records

## 7 Accreditation process

- 7.1 Accreditation criteria and information
- 7.2 Application for accreditation
  - GFSI Requirements to clause 7.2.1*
  - GFSI Requirements to clause 7.2.3*
- 7.3 Resource review
- 7.4 Subcontracting the assessment
  - GFSI Requirements to clause 7.4.1*
- 7.5 Preparation for assessment
  - GFSI Requirements to clause 7.5.6*
  - GFSI Requirements to clause 7.5.8*
  - GFSI Requirements to clause 7.5.10*
- 7.6 Document and record review
  - GFSI Requirements to clause 7.6.1*
- 7.7 On-site assessment
  - GFSI Requirements to clause 7.7.2*
  - GFSI Requirements to clause 7.7.3*
- 7.8 Analysis of findings and assessment report
- 7.9 Decision making and granting accreditation
  - GFSI Requirements to clause 7.9.3*
  - GFSI Requirements to clause 7.9.5*
- 7.10 Appeals
- 7.11 Reassessment and surveillance
  - GFSI Requirements to clause 7.11.3*
  - GFSI Requirements to clause 7.11.5*
  - GFSI Requirements to clause 7.11.6*
  - GFSI Requirements to clause 7.11.7*
- 7.12 Extending accreditation
  - GFSI Requirements to clause 7.12*
- 7.13 Suspending, withdrawing or reducing accreditation
  - GFSI Requirements to clause 7.13.2*
  - GFSI Requirements to clause 7.13.3*
- 7.14 Records on CAB's
- 7.15 Proficiency testing and other comparisons for laboratories

## 8 Responsibilities of the accreditation body and the CAB

- 8.1 Obligations of the CAB
  - GFSI Requirements to clause 8.1.2*
- 8.2 Obligations of the accreditation body
  - GFSI Requirements to clause 8.2.3*
  - GFSI Requirements to clause 8.2.4*
- 8.3 Reference to accreditation and use of symbols
  - GFSI Requirements to clause 8.3.2*
  - GFSI Requirements to clause 8.3.3*

### Additional Requirements to ISO 17011

# Requirements for the Application of ISO/IEC 17011:2004

Conformity assessment - General requirements for the accreditation bodies accrediting conformity assessment bodies

## 1 Scope

No additional requirements

## 2 Normative References

No additional requirements

## 3 Terms and definitions

No additional requirements

## 4 Accreditation body

No additional requirements

### 4.1 Legal responsibility

No additional requirements

### 4.2 Structure

GFSI Requirements to clause 4.2.4

*The Accreditation Body shall appoint a responsible person within their organisation with authority for GFSI food schemes.*

GFSI Requirements to clause 4.2.6

*Where there are issues or queries arising during the accreditation process, the Accreditation Body shall consult directly with the GFSI recognised scheme owner's representatives.*

### 4.3 Impartiality

No additional requirements

### 4.4 Confidentiality

GFSI Requirements to clause 4.4

*The Accreditation Body shall share information regarding scheme specific issues with the appropriate representative of each GFSI recognised scheme owner. This information shall be shared **as soon as practicable** and the accreditation body shall be responsible for follow up of the corrective actions in the case of complaints and major non conformities.*

*The list of information to be shared, which is not exhaustive, shall include:*

- ▶ *accreditation status, (suspension, withdrawal, scope reduction or expiry of accreditation),*
- ▶ *complaints that could jeopardise the accreditation status,*
- ▶ *major non conformities (a major non conformity is defined as a non conformity, which has the potential to impact on the validity of a certificate or of certificates issued,*
- ▶ *annual activity summary, which shall be made available to the GFSI recognised scheme owners indicating, as a minimum:*
  - ▶ *General assessment details,*
  - ▶ *Head office assessment: date, location, critical location assessments, numbers of site and auditor files reviewed, Accreditation Body's assessors names, duration, general conclusions,*
  - ▶ *Witness assessment: location, date, field, Accreditation Body assessor, duration, general conclusions,*
- ▶ *CAB name and conclusion of reports - Accreditation Status.*

*The annual activity summary shall be in a standardised format as agreed by GFSI (see appendix).*

*There shall be an agreement regarding confidentiality between the AB and the GFSI recognised standards owners. This agreement shall specify that the information shared shall be made known to all GFSI recognised scheme owners, but shall remain confidential from any other party. There shall also be an agreement between the individual CAB's and the GFSI recognised scheme owners.*

#### 4.5 Liability and financing

No additional requirements

#### 4.6 Accreditation activity

GFSI Requirements to clause 4.6.1

*Normative documents shall include all documentation relevant to a GFSI recognised scheme and shall be issued by a GFSI recognised scheme owner.*

GFSI Requirements to clause 4.6.2

*These GFSI requirements shall be included as part of this process.*

### 5 Management

No additional requirements

#### 5.1 General

No additional requirements

#### 5.2 Management system

GFSI Requirements to clause 5.2.1

*With respect to effective communication, communication channels with interested parties shall be in place and include GFSI and GFSI recognised scheme owners.*

#### 5.3 Document control

No additional requirements

#### 5.4 Records

GFSI Requirements to clause 5.4.2

*Records shall be maintained and accessible for a minimum period of 5 years.*

#### 5.5 Non conformities and corrective actions

No additional requirements

#### 5.6 Preventative actions

No additional requirements

#### 5.7 Internal audits

GFSI Requirements to clause 5.7.2

*The internal audit shall include accreditation activities in relation to GFSI recognised schemes.*

#### 5.8 Management reviews

No additional requirements

#### 5.9 Complaints

GFSI Requirements to clause 5.9

*All complaints associated with any GFSI Scheme shall be investigated and dealt with, as far as possible, within 30 days of receipt. If any complaint puts GFSI recognised scheme certificates / approvals at risk, then the GFSI scheme owner shall be informed immediately and appropriate action taken by the Accreditation Body.*

## 6 Human Resources

No additional requirements

### 6.1 Personnel associated with the accreditation body

No additional requirements

### 6.2 Personnel involved in the accreditation process

GFSI Requirements to clause 6.2.1

*All AB personnel engaged in GFSI recognised scheme accreditation activity shall have sufficient knowledge of each relevant GFSI recognised scheme, the related normative documents and the food industry.*

*The AB shall ensure that the assessment team undertaking witness activities includes personnel who have completed training in the relevant GFSI scheme, successfully completed a HACCP training course and includes an individual with a minimum of two years experience in the food industry sector.*

*The assessment team carrying out office assessments shall include personnel who have specific knowledge of the relevant GFSI schemes being assessed and of the related normative documents.*

*Training in the GFSI recognised scheme shall be recognised by the respective scheme owners.*

GFSI Requirements to clause 6.2.3

*The Accreditation Body shall document information regarding assessors and experts in accordance with the GFSI requirements in section 6.2.1.*

### 6.3 Monitoring

No additional requirements

### 6.4 Personnel records

No additional requirements

## 7 Accreditation process

No additional requirements

### 7.1 Accreditation criteria and information

No additional requirements

### 7.2 Application for accreditation

GFSI Requirements to clause 7.2.1

*The Certification Body shall demonstrate that it has made appropriate contact with the scheme owner during the application procedure.*

GFSI Requirements to clause 7.2.3

*The AB shall inform a GFSI scheme owner when an application is made to accredit against a GFSI recognised scheme.*

### 7.3 Resource review

No additional requirements

### 7.4 Subcontracting the assessment

GFSI Requirements to clause 7.4.1

*If the AB subcontracts an assessment, the assessment shall be carried out in accordance with this document and the individual GFSI scheme owner's requirements. The subcontracted AB shall be a signatory to the IAF MLA for Product Certification and the assessor shall fulfil the competence requirements outlined in this document. Where additional formal agreements exist (e.g. IAF GD 3 Cross Frontier Policy) there shall be compliance with these agreements. The AB using subcontractors shall review compliance with these requirements.*

## 7.5 Preparing for assessment

### GFSI Requirements to clause 7.5.8

*During surveillance and reassessments the following documentation shall be sampled and assessed, as a minimum:*

1. Sample of at least 10 % or 2 auditor files, whichever is greater, for each GFSI scheme,
2. Sample of at least 2 site files, for each GFSI scheme or 2 % of delivered audits, whichever is greater, for each GFSI scheme,
3. Sampling of site files shall be risk based and should be done across country (region), product category and assessor.
4. The site file assessments shall include a review of:
  - ▶ Contracts between the CAB and the client,
  - ▶ Confirmation of audit scope and duration,
  - ▶ Auditor's original notes from audit and evidence of compliance,
  - ▶ Documentary evidence supplied by the client for the non conformities identified,
  - ▶ Final audit report,
  - ▶ Certification Decision and Certificate Conformity.

*Sampling levels shall be increased where evidence of issues is identified during the assessment in order to establish whether the certification body is meeting accreditation requirements.*

*Where objective evidence or complaints are identified between planned surveillance and reassessments, accreditation bodies shall carry out additional assessments.*

### GFSI Requirements to clause 7.5.10

*The AB shall ensure that the GFSI recognised standard owner's documentation is included. The AB shall request, through direct communication with the GFSI recognised standard owner, any feedback or relevant information concerning the CAB in advance of the assessment.*

*The AB shall take into account during the assessment any feedback or relevant information concerning the CAB sent by a GFSI recognised scheme owner. The AB must verify during the assessment that these complaints have been dealt with effectively and any corrective actions put in place.\**

*\*'Appropriate criteria documents' referred to in ISO/IEC 17011 shall include the certification body criteria established by the GFSI recognised scheme owner.*

## 7.6 Document and record review

### GFSI Requirements to clause 7.6.1

*The GFSI requirements specified in relation to clauses 7.7.2 shall apply in addition to those required under clauses 7.2.1 and 7.2.2.*

## 7.7 On-site assessment

### GFSI Requirements for clause 7.7.2

*During the initial assessment against the scope of any GFSI recognised scheme (i.e. an extension to scope, see 7.12), the following documentation shall be sampled and assessed:*

1. Sample of at least 1 auditor file for the GFSI scheme,
2. Sample of at least 1 site file for the GFSI scheme,
3. Sampling of site files should be done across country (region), product category and assessor.
4. The site file assessment shall include a review of:
  - ▶ Contracts between CAB and client,



- ▶ Confirmation of audit scope and duration,
- ▶ Auditor's original notes from audit and evidence of compliance,
- ▶ Documentary evidence supplied by the client for the non-conformities identified,
- ▶ Final audit report,
- ▶ Certification Decision and Certificate Conformity.

5. Evaluation and verification of the effectiveness of the CAB's processes for assessment of auditor competence.

GFSI Requirements to clause 7.7.3

*At least one assessment of the CAB shall be witnessed for initial accreditation for each GFSI recognised scheme. In the event that the CAB wishes to increase its scope with respect to product category this level of sampling shall be increased.*

*If CAB's have more than 20 auditors, then witness assessments shall be carried out at a rate of at least 1 witness assessment per 20 auditors per year, auditing against any of the GFSI recognised schemes. Where international CAB's have geographical spread then the % of witness audits will be proportional to the geographic spread (e.g. 30% overseas means that 1 in 3 witnessed audits will be performed overseas). The witness assessment programme shall be designed to ensure that different auditors and different product categories are assessed at subsequent witnessed assessments.*

## 7.8 Analysis of findings and assessment report

No additional requirements

## 7.9 Decision making and granting accreditation

GFSI Requirements to clause 7.9.3

*If the AB subcontracts an assessment, the assessment shall be carried out in accordance with this document and the individual GFSI scheme owner's requirements. The subcontracted AB shall be a signatory to the IAF MLA for Product Certification and the assessor shall fulfil the competence requirements outlined in this document. Where additional formal agreements exist (e.g. IAF GD 3 Cross Frontier Policy) there shall be compliance with these agreements. The AB using subcontractors shall review compliance with these requirements.*

GFSI Requirements to clause 7.9.5

*The accreditation certificate or schedule shall include the full name and version of the GFSI recognised scheme and the GFSI recognised scheme's designated product categories for which it is approved.*

## 7.10 Appeals

No additional requirements

## 7.11 Reassessment and surveillance

GFSI Requirements to clause 7.11.3

- ▶ Head office shall have an assessment on an annual basis,
- ▶ At least 1 witness assessment per year shall be conducted by the AB for each CAB. All GFSI recognised schemes will be witnessed in a 5 year cycle.
- ▶ If CAB's have more than 20 auditors then witness assessments shall be carried out at a rate of at least 1 witness assessment per 20 auditors per year, auditing against any of the GFSI recognised schemes. Where international CAB's have geographical spread then the % of witness audits will be proportional to the geographic spread (e.g. 30 % overseas means that 1 in 3 witnessed audits will be performed overseas). The witness assessment programme shall be designed to ensure that different auditors and different product categories are assessed at subsequent witnessed assessments.
- ▶ Reassessment shall be undertaken at least every four years.

GFSI Requirements to clause 7.11.5

*The AB shall inform the GFSI scheme owner about any major non conformities. (Ref. clause 4.4; a major non conformity is defined as a non conformity that has the potential to impact on the validity of a certificate or of certificates issue).*

GFSI Requirements to clause 7.11.6

*The AB shall inform the GFSI scheme owner if accreditation is suspended, withdrawn or expired or if scope is reduced.*

GFSI Requirements to clause 7.11.7

*When informed of the identification of issues in a particular market, which could bring the credibility of the certification process into disrepute, the AB shall take any appropriate action including conducting an extraordinary assessment if necessary.*

## 7.12 Extending accreditation

GFSI Requirement to clause 7.12

*Upon an application to extend a scope to include a new GFSI recognised scheme under an accreditation standard the CAB is already accredited for, a full (i.e. on-site and witness assessments) extension assessment shall be undertaken for every GFSI recognised scheme.*

*Upon an application to extend a scope to include a new GFSI recognised scheme under an accreditation standard the CAB is not already accredited for, a full (i.e. on-site and witness assessments) initial assessment shall be undertaken for every GFSI recognised scheme.*

*In the event that the CAB wishes to increase its scope of activity with respect to product category as defined by GFSI recognised scheme owners, the accreditation body shall, as a minimum, undertake an adequate check of documentary evidence to ensure that the requirements of the GFSI recognised standards are in place.*

## 7.13 Suspending, withdrawing or reducing accreditation

GFSI Requirements to clause 7.13.2

*If the GFSI recognised scheme owner's requirements are not met the GFSI scheme owner will inform the AB. The AB shall undertake an investigation of the issues raised by the GFSI recognised scheme owner and shall take appropriate action (e.g. to suspend or withdraw accreditation).*

GFSI Requirements to clause 7.13.3

*If the GFSI recognised scheme owner's requirements are not met, the GFSI scheme owner will inform the AB. The AB shall undertake an investigation of the issues raised by the GFSI recognised scheme owner, who shall take appropriate action (i.e. the decision to reduce the scope of accreditation).*

## 7.14 Records of CAB's

No additional requirements

## 7.15 Proficiency testing and other comparisons for laboratories

No additional requirements

# 8 Responsibilities of the accreditation body and the CAB

No additional requirements

## 8.1 Obligations of the CAB

GFSI Requirements to clause 8.1.2 (f)

*In the event that a GFSI recognised scheme owner suspends or withdraws recognition for a CAB or reduces scope, the scheme owner shall also inform the AB in addition to the notification by the CAB.*

## 8.2 Obligations of the accreditation body

GFSI Requirements to clause 8.2.3

*The AB shall provide this information, where applicable, to GFSI recognised scheme owners.*



#### GFSI Requirements to clause 8.2.4

*In the event of changes or revisions to a GFSI recognised standard, the AB shall collaborate and communicate with the scheme owner to identify the appropriate review process of the CAB and to ensure that the CAB is aware of and meets the additional / changed requirements in relation to accreditation.*

### 8.3 Reference to accreditation and use of symbols

#### GFSI Requirements to clause 8.3.2

*The AB shall verify that 8.3.2, points (a-f), are applied in connection with the usage of the GFSI recognised schemes.*

#### GFSI Requirements to clause 8.3.3

*The AB shall verify that 8.3.2, points (a-f), are applied in connection with the usage of the GFSI recognised schemes and appropriate action taken in the event of incorrect or misleading claims in relation to the use of such information and accreditation status .*

#### Additional Requirements to ISO 17011

##### 1. Activity Summary

*An annual activity summary shall be made available to GFSI for all recognised schemes, indicating as a minimum:*

- ▶ *General assessment details,*
- ▶ *Head office assessment: date, location, critical location assessments, numbers of site and auditor files reviewed, Accreditation Body's assessors names, duration, general conclusions,*
- ▶ *Witness assessment: location, date, field, Accreditation Body's assessor, duration, general conclusions,*
- ▶ *CAB name and conclusion of reports - Accreditation Status.*

##### 2. Signatories to MLA

*AB's wishing to work with the GFSI requirements to ISO 17011 shall be required to be signatories to the IAF MLA with Management system certification and / or Product certification in scope.*



# ANNEX 3

## Auditor Competence - Qualifications, Training and Experience



## Auditor Competence – Qualifications, Training and Experience

The GFSI sector and sub-sector scopes for recognition and the associated competence of auditors are as follows:

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Sector Specific Auditor Qualification and Education	Examples of Sector Specific Work Experience in relation to product categories
<b>AI</b>	Farming of Animals for Meat/ Milk / Eggs / Honey	A degree in a food related or bio- science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	Experience is required of farming in the following sectors; <ul style="list-style-type: none"> <li>▲ Cattle</li> <li>▲ Sheep, goats</li> <li>▲ Pigs</li> <li>▲ Poultry</li> <li>▲ Bees</li> <li>▲ Game</li> <li>▲ Hunting</li> </ul>
<b>AIL</b>	Farming of Fish and Seafood	A degree in a food related or bio- science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	Experience is required of farming in the following sectors; <ul style="list-style-type: none"> <li>▲ Fish Aquaculture</li> <li>▲ Seafood Aquaculture</li> <li>▲ Fishing</li> </ul>
<b>BI</b>	Farming of Plants (other than grains and pulses)	Education in an agricultural / crop based discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	Experience is required in the fresh fruit and vegetable farming sectors; <ul style="list-style-type: none"> <li>▲ Fruit</li> <li>▲ Vegetables</li> <li>▲ Herbs and Spices</li> <li>▲ Grasses (Sugar)</li> </ul>
<b>BII</b>	Farming of Grains and Pulses	Education in an agricultural / crop based discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	Experience is required in the fresh plant farming sectors; <ul style="list-style-type: none"> <li>▲ Grains and cereals</li> <li>▲ Nuts</li> <li>▲ Pulses and legumes</li> <li>▲ Beverage plants</li> </ul>

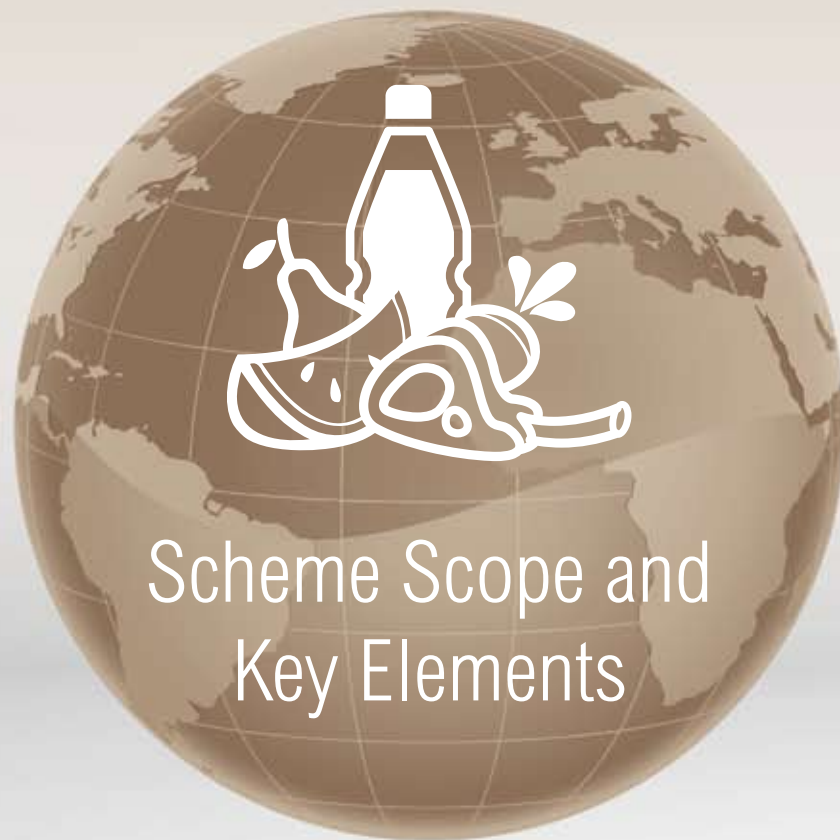
GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Sector Specific Auditor Qualification and Education	Examples of Sector Specific Work Experience in relation to product categories
<b>C</b>	Animal Conversion	A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	<p>Experience is required of farming in the following sectors;</p> <ul style="list-style-type: none"> <li>▶ Cattle</li> <li>▶ Sheep, goats</li> <li>▶ Pigs</li> <li>▶ Poultry</li> <li>▶ Fish</li> <li>▶ Bees</li> <li>▶ Game</li> </ul>
<b>D</b>	Pre-process handling of plant products, nuts and grains	Education in an agricultural /crop based discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	<p>Crop based experience such as the farming and handling of;</p> <ul style="list-style-type: none"> <li>▶ Grains and cereals</li> <li>▶ Nuts</li> <li>▶ Pulses and legumes</li> <li>▶ Beverage plants</li> </ul>
<b>EI</b>	Processing of perishable animal products	A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	<p>Experience is required in the following food industry sectors;</p> <ul style="list-style-type: none"> <li>▶ Red Meat Processing</li> <li>▶ Poultry Processing</li> <li>▶ Fish Processing</li> <li>▶ Seafood Processing</li> <li>▶ Meat Product Processing</li> <li>▶ Fish Product Processing</li> <li>▶ Dairy Technology</li> <li>▶ Egg Processing</li> </ul>
<b>EII</b>	Processing of perishable plant products	A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	<p>Experience is required in the following food industry sectors;</p> <ul style="list-style-type: none"> <li>▶ Fruit and vegetable processing</li> </ul>
<b>EIII</b>	Processing of perishable animal and plant products (mixed products)	A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	<p>Experience is required in the following food industry sectors;</p> <ul style="list-style-type: none"> <li>▶ Meat Product Processing</li> <li>▶ Fish Product Processing</li> <li>▶ Dairy Technology</li> <li>▶ Ready to Eat Food Processing</li> </ul>

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Sector Specific Auditor Qualification and Education	Examples of Sector Specific Work Experience in relation to product categories
<b>EIV</b>	Processing of ambient stable products	A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.	Experience is required in the following food industry sectors; <ul style="list-style-type: none"> <li>▲ Thermal Processing</li> <li>▲ Baking Technology</li> <li>▲ Dairy Technology</li> <li>▲ Brewing Technology</li> <li>▲ Extrusion Technology</li> <li>▲ Vegetable and Animal Fats and Oils</li> <li>▲ Sugar refining</li> <li>▲ Beverage production</li> <li>▲ Alcoholic drink production</li> <li>▲ Drink production</li> </ul>
<b>F</b>	Production of feed	<ul style="list-style-type: none"> <li>▲ Post-secondary education in related field or equivalent by experience.</li> <li>▲ Completed industry recognised HACCP training.</li> <li>▲ Trained on the sector specific risk assessments.</li> <li>▲ Work experience or training in the feed and/ or food sector, and experience in quality management environment in the feed/food sector.</li> </ul>	Experience is required in the following feed industry sectors: <ul style="list-style-type: none"> <li>▲ Compound Feed Production</li> <li>▲ Plant Protein Processing</li> <li>▲ Rendering Technology</li> <li>▲ Fermentation Technology</li> <li>▲ Dry milling Technology</li> <li>▲ Wet Milling Technology</li> <li>▲ Extrusion Technology</li> <li>▲ Dairy Processing Technology</li> <li>▲ Vegetable and Animal Fats and Oils Processing</li> </ul>
<b>G</b>	Catering		
<b>H</b>	Retail / Wholesale		
<b>I</b>	Provision of Food Safety Services		

GFSI Scope of Recognition (Benchmarking Category Code)	Benchmarking Category Name	Sector Specific Auditor Qualification and Education	Examples of Sector Specific Work Experience in relation to product categories
<b>J</b>	Provision of Storage and Distribution Services	<p>A degree in a food related or bio-science discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.                      Completed industry recognised HACCP training.                      Trained on the sector specific risk assessments.</p>	<p>Experience is required in the following industry sectors:</p> <ul style="list-style-type: none"> <li>▲ Perishable food and feed storage and distribution</li> <li>▲ Non-perishable food and feed storage and distribution</li> </ul>
<b>K</b>	Manufacture of Food Processing Equipment		
<b>L</b>	Production of (Bio) Chemicals (Additives, Vitamins, Minerals, Bio-cultures, Flavourings, Enzymes and Processing aids)	<p>A degree in a food related, bio-science or chemical engineering discipline or, as a minimum, has successfully completed a food related or bio-science higher education course or equivalent.</p>	<p>Experience is required in the following industry sectors;</p> <ul style="list-style-type: none"> <li>▲ Fermentation Technology</li> <li>▲ Chemical Engineering</li> <li>▲ Biochemical Engineering</li> </ul>
<b>M</b>	Production of Food Packaging	<p>A primary qualification, a degree or higher certificate in packaging technology and a relevant certificate recognised by the scheme owner in food technology, food hygiene or related science subject OR a primary qualification in food technology, food safety/hygiene or related science subject and a certificate in packaging technology that is recognised by the scheme owner.</p>	<p>Experience is required in the specific sectors of packaging manufacture</p> <ul style="list-style-type: none"> <li>▲ Plastics</li> <li>▲ Paper and board</li> <li>▲ Metal</li> <li>▲ Glass</li> </ul>
<b>N</b>	Food Broker / Agent		



# PART III



## Scheme Scope and Key Elements

Scheme Scope and  
Key Elements

Sixth Edition  
Version 6.3



## REQUIREMENTS FOR THE MANAGEMENT OF SCHEMES CONTENTS

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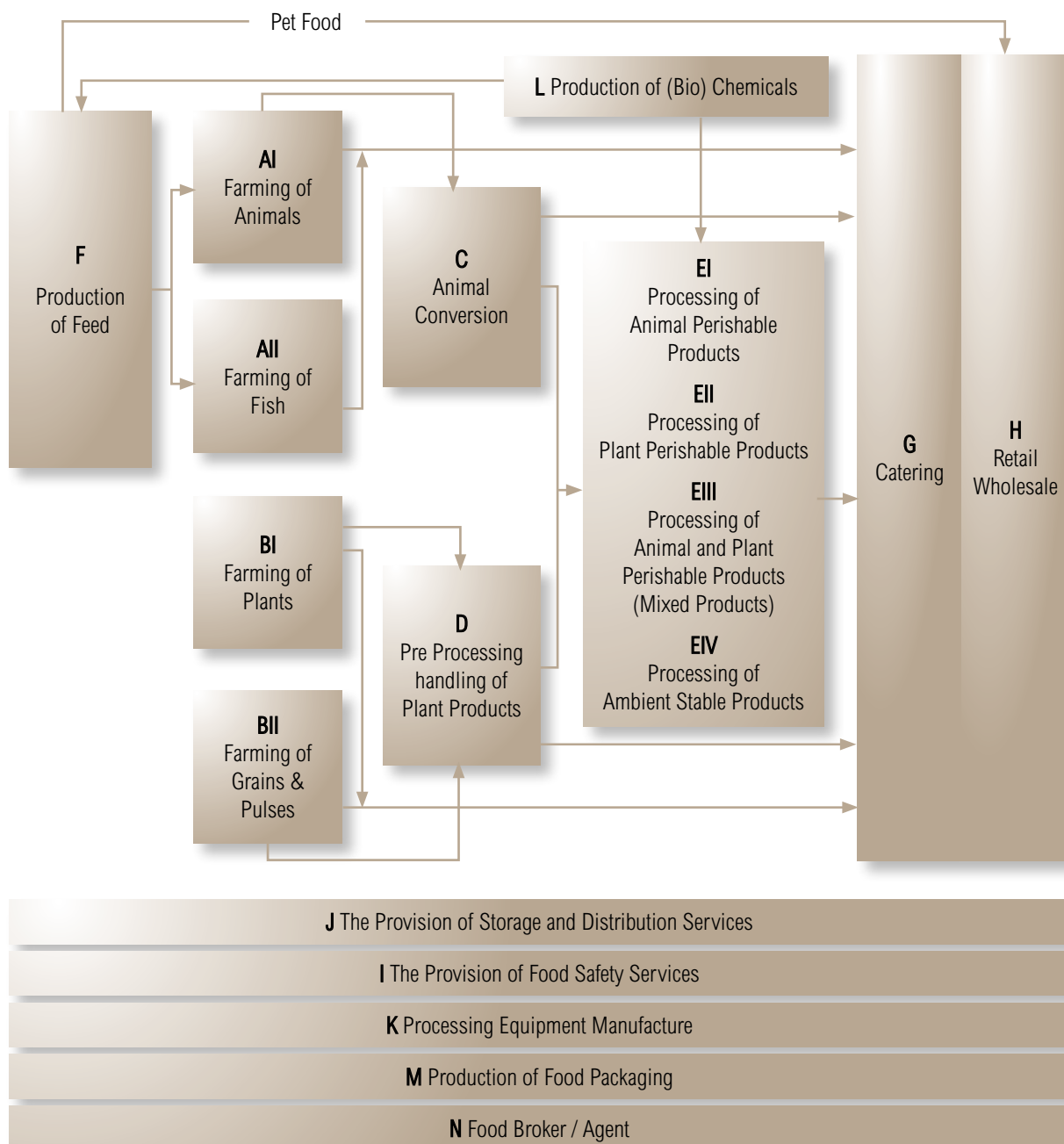
# Introduction

This section is the third part of the Guidance Document, which has been developed and published by the Global Food Safety Initiative (GFSI) to specify the requirements for the recognition of food safety schemes.

The objective of Part III is to define:

- ▶ the requirements for the food safety management systems to be in place in the scheme's standard for each GFSI scope of recognition,
- ▶ the requirements for the Good Practice requirements to be in place in the scheme's standard for each GFSI scope of recognition,
- ▶ the requirements for HACCP or HACCP based requirements to be in place in the scheme's standard for each GFSI scope of recognition
- ▶ the requirements for the acceptance of certification of multi-site based on sampling

GFSI has worked closely with food industry experts to clearly define the requirements that shall be in place to provide food safety assurance in specific sectors of the food industry and for organisations providing services to the food industry. Although the principles are the same, these requirements differ from sector to sector of the food supply chain.



A scheme's standard and other guidance shall provide sufficient detail to ensure that the GFSI requirements in the following tables are met and that, within the benchmarking process, objective evidence of compliance can be found. The requirements for individual scheme standards must be independently developed, based on industry practice and shall not be a direct copy of the GFSI requirements.

The following sections and tables identify the GFSI requirements for specific scopes. Scheme applicants must ensure that all requirements are considered for all scopes included in the application. This will include requirements from more than one table.

### **Section 1: Food and Feed Safety Management Requirements**

**Table I:** Food Safety Management Requirements – Scopes of Recognition AI, AII, BI, BII, C, D, EI, EII, EIII, EIV and L

**Table II:** Food Safety Management Requirements – Additional Specific Requirements AI

**Table III:** Food Safety Management Requirements – Additional Specific Requirements AII

**Table IV:** Food Safety Management Requirements – Additional Specific Requirements BI and BII

**Table V:** Food Safety Management Requirements – Additional Specific Requirements C

**Table VI:** Food Safety Management Requirements – Additional Specific Requirements D, EI, EII, EIII, EIV and L

**Table VII:** Feed Safety Management Requirements – Scope of Recognition F

**Table VIII:** Food and Feed Safety Management Requirements – Scope of Recognition J

**Table IX:** Food and Feed Safety Management Requirements – Scope of Recognition M

### **Section 2: Good Industry Sector Practice Requirements**

**Table I:** Good Agricultural Practice Requirements AI

**Table II:** Good Aquacultural Practice Requirements AII

**Table III:** Good Agricultural Practice Requirements BI

**Table IV:** Good Agricultural Practice Requirements BII

**Table V:** Good Manufacturing Practice Requirements C

**Table VI:** Good Manufacturing Practice Requirements D

**Table VII:** Good Manufacturing Practice Requirements EI, EII, EIII, EIV and L

**Table VIII:** Good Manufacturing Practice Requirements F

**Table IX:** Good Distribution Practice Requirements J

**Table X:** Good Manufacturing Practice Requirements M

### **Section 3: HACCP or Hazard Based Requirements**

**Table I:** HACCP Requirements AI, AII, BI and BII

**Table II:** HACCP Requirements C and D

**Table III:** HACCP Requirements EI, EII, EIII, EIV and L

**Table IV:** HACCP Requirements F

**Table V:** HACCP Requirements J

**Table VI:** HACCP Requirements M

### **Section 4: Certification of Multi-site Organisations Based on Sampling**

**4.1** General

**4.2** Scope of Recognition BI and BII

**4.3** Scope of Recognition J

# Table I – Food Safety Management Requirements

Scopes of Recognition AI, AII, BI, BII, C, D, EI, EII EIII, EIIV and L

# SECTION 1

## FOOD AND FEED SAFETY MANAGEMENT REQUIREMENTS

Clause Number	Clause Name	Requirements
<b>FSM 1</b>	Food safety management general requirements	<p>The standard shall require that the elements of the organisation's Food Safety Management System be documented, implemented, maintained and continually improved. The food safety management system shall:</p> <ol style="list-style-type: none"> <li>identify the processes needed for the food safety management system,</li> <li>determine the sequence and interaction of these processes,</li> <li>determine the criteria and methods required to ensure the effective operation and control of these processes,</li> <li>ensure the availability of information necessary to support the operation and monitoring of these processes,</li> <li>measure, monitor and analyse these processes and implement actions necessary to achieve planned results and continuous improvement.</li> </ol>
<b>FSM 2</b>	Food safety policy	<p>The standard shall require the organisation has a clear, concise and documented food safety policy statement and objectives specifying the extent of the organisation's commitment to meet the safety needs of its products.</p>
<b>FSM 3</b>	Food safety manual	<p>The standard shall require the organisation has a Food Safety Manual or documented system having a scope appropriate to the range of business activities to be covered, including documented procedures or specific reference to them and describing the interaction of the related process steps.</p>
<b>FSM 4</b>	Management responsibility	<p>The standard shall require that the supplier establish a clear organisational structure, which unambiguously defines and documents the job functions, responsibilities and reporting relationships of at least those staff whose activities affect food safety.</p>
<b>FSM 5</b>	Management commitment	<p>The standard shall require that the organisation's senior management provide evidence of their commitment to establish, implement, maintain and improve the food safety system.</p>
<b>FSM 6</b>	Management review	<p>The standard shall require that the organisation's senior management review the verification of the food safety system, HACCP Plan or HACCP based plans, at planned intervals, to ensure their continuing suitability, adequacy and effectiveness. The HACCP Plan shall also be reviewed in the event of any change that impacts food safety. Such a review shall evaluate the need for changes to the food safety system, including the food safety policy and food safety objectives.</p>

Scheme Scope and Key Elements

Clause Number	Clause Name	Requirements
<b>FSM 7</b>	Resource management	The standard shall require that the organisation's senior management determine and provide, in a timely manner, all the resources needed to implement, maintain and improve the food safety system.
<b>FSM 8</b>	General documentation requirements	The standard shall require that documentation procedures are in place to demonstrate compliance with the standard and ensure that all records required to demonstrate the effective operation and control of its processes and its management of food safety are securely stored for a time period required to meet customer or legal requirements, effectively controlled and readily accessible when needed.
<b>FSM 9</b>	Specified requirements	The standard shall require that the organisation ensure that, for all inputs to the process, items and services (including utilities, transport and maintenance) that are purchased or provided and have an effect on product safety, documented specifications are prepared, maintained, securely stored and readily accessible when needed. The standard shall require that a specification review process is in place.
<b>FSM 10</b>	Procedures	The standard shall require that the organisation establish, implement and maintain detailed procedures and instructions for all processes and operations having an effect on food safety.
<b>FSM 11</b>	Internal audit	The standard shall require that the organisation has an internal audit system in place to cover the scope of the food safety system, including the HACCP Plan or the HACCP based plan.
<b>FSM 12</b>	Corrective action	The standard shall require that the organisation has procedures for the determination and implementation of corrective action in the event of any significant non conformity relating to food safety.
<b>FSM 13</b>	Control of non conformity	The standard shall require that the organisation has effective processes in place to ensure that any product, which does not conform to food safety requirements, is clearly identified and controlled to prevent unintended use or delivery. These activities shall be defined in a documented procedure that is securely stored and readily accessible when needed.
<b>FSM 14</b>	Product release	The standard shall require that the organisation prepare and implement appropriate product release procedures.
<b>FSM 15</b>	Purchasing	The standard shall require that the organisation control purchasing processes to ensure that all externally sourced materials and services, which have an effect on food safety, conform to requirements. Where an organisation chooses to outsource any process that may have an effect on food safety, the organisation shall ensure control over such processes. Control of such outsourced processes shall be identified and documented within the food safety system.



Clause Number	Clause Name	Requirements
<b>FSM 16</b>	Supplier performance	The standard shall require that the organisation establish, implement and maintain procedures for the evaluation, approval and continued monitoring of suppliers, which have an effect on food safety. The results of evaluations, investigations and follow up actions shall be recorded.
<b>FSM 17</b>	Outsourcing	The standard shall require that, where an organisation chooses to outsource any process that may affect food safety, the organisation shall ensure control over such processes. Control of such outsourced processes shall be identified, documented and monitored within the food safety management system.
<b>FSM 18</b>	Complaint handling	The standard shall require that the organisation establish, implement and maintain an effective system for the management of complaints and complaint data to control and correct shortcomings in food safety.
<b>FSM 19</b>	Serious incident management	The standard shall require that the organisation establish, implement and maintain an effective incident management procedure, which is regularly tested for all products it supplies and covers planning for product withdrawal and product recall as required.
<b>FSM 20</b>	Control of measuring and monitoring devices	The standard shall require that the organisation identify the measurement of parameters critical to ensure food safety, the measuring and monitoring devices required and methods to assure that the calibration of these measuring and monitoring devices is traceable to a recognised standard.
<b>FSM 21</b>	Food defence	The standard shall require that the organisation has a documented risk assessment procedure in place to address food defence risks and establish, implement and maintain a system to reduce or eliminate the identified risks. The system shall cover Good Agricultural Practices or Good Manufacturing Practices and shall be supported by the food safety system.
<b>FSM 22</b>	Product labelling	The standard shall require that the organisation ensure that all product bears information to enable the safe handling, display, storage and preparation and use of the product within the food supply chain or by the consumer.

Table II – Food Safety Management Requirements

## Additional Specific Requirements AI

Clause Number	Clause Name	Requirements
<b>FSM AI 8.1</b>	General documentation requirements	The standard shall ensure that the organisation keep comprehensive living stock records. The record will detail current living stock on the farm, an overview of recent living stock transactions and the recent loss situation within a population or living stock production unit.
<b>FSM AI 9.1</b>	Specified requirements	The standard shall ensure that the organisation be able to clearly identify living stock (and the records associated with that living stock) that has been treated with veterinary medicines and are within the manufacturer's recommended waiting period for that course of treatment.
<b>FSM AI 15.1</b>	Purchasing	The standard shall ensure that the organisation has in place specific policies for the procurement of feed from approved, certified sources.
<b>FSM AI 15.2</b>	Purchasing	The standard shall ensure that the organisation has in place specific policies for the procurement of approved veterinary medicines.
<b>FSM AI 19.1</b>	Serious incident management	The standard shall ensure that the organisation has the ability to take measures for the containment and quarantine of any living stock found to be infected with a notifiable disease.
<b>FSM AI 19.2</b>	Serious incident management	The standard shall ensure that the organisation has the ability to take measures for the withdrawal and containment of contaminated feedstuffs.
<b>FSM AI 23</b>	Traceability	The standard shall require that the organisation establish, implement and maintain appropriate procedures and systems to ensure: <ul style="list-style-type: none"> <li>▲ Identification of any outsourced production, inputs or services related to food safety; · A complete record of in-process material or final product and packaging throughout the production process,</li> <li>▲ A record of purchaser and delivery destination for all animals and animal products supplied,</li> <li>▲ Product identification that includes, as a minimum, the origin (producer and country) and the date of production or packing,</li> <li>▲ Input product identification including feed and feed additives that includes, as a minimum, the name and address of the producer, Lot or batch number,</li> <li>▲ Identification of any veterinary medication purchases and treatments,</li> <li>▲ A record of all living stock inputs and outputs, movements on and off-site, to either animal or batch, as appropriate to the industry norm for the species.</li> </ul>
<b>FSM AI 24</b>	Analysis of inputs (e.g. water, feedstuffs)	The standard shall require that the organisation prepare and implement a system to ensure that analysis of inputs critical to the confirmation of food safety is undertaken and that such analyses are performed to standards equivalent to ISO 17025.

Table III – Food Safety Management Requirements

Additional Specific Requirements All

Clause Number	Clause Name	Requirements
<b>FSM AII 8.1</b>	General documentation requirements	The standard shall require that the organisation keep comprehensive living stock records. The record will detail current stock on the farm, an overview of recent live stock transactions, including fry purchases and the recent loss situation within a population or stock production unit.
<b>FSM AII 9.1</b>	Specified requirements	The standard shall require that the organisation be able to clearly identify living fish stocks (and the records associated with that stock) that have been treated with veterinary medicines and are within the manufacturer's recommended waiting period for that course of treatment.
<b>FSM AII 15.1</b>	Purchasing	The standard shall require that the organisation has in place specific policies for the procurement of feed from approved certified sources.
<b>FSM AII 15.2</b>	Purchasing	The standard shall require that the organisation has in place specific policies for the procurement of approved veterinary medicines.
<b>FSM AII 19.1</b>	Serious incident management	The standard shall require that the organisation has the ability to take measures for the containment and quarantine of any living stock found to be infected with a notifiable disease, parasite or condition that would compromise food safety.
<b>FSM AII 19.2</b>	Serious incident management	The standard shall require that the organisation has the ability to take measures for the withdrawal and containment of contaminated feedstuffs
<b>FSM AII 23</b>	Traceability	The standard shall require that the organisation establish, implement and maintain appropriate procedures and systems to ensure: <ul style="list-style-type: none"> <li>▶ Identification of any outsourced production, inputs or services related to food safety,</li> <li>▶ A complete record of in-process material or final product and packaging throughout the production process,</li> <li>▶ A record of purchaser and delivery destination for all fish or seafood products,</li> <li>▶ Product identification that includes, as a minimum, the origin (producer and country) and the date of production or packing,</li> <li>▶ Input product identification including feed and feed additives that includes, as a minimum, the name and address of the producer, lot or batch number,</li> <li>▶ identification of any veterinary medication purchases and treatments,</li> <li>▶ A record of all living stock inputs and outputs, movements on and off-site, to either animal or batch as appropriate to the industry norm for the species.</li> </ul>
<b>FSM AII 24</b>	Analysis of inputs (e.g. water, feedstuffs)	The standard shall require that the organisation prepare and implement a system to ensure that analysis of inputs critical to the confirmation of food safety is undertaken and that such analyses are performed to standards equivalent to ISO 17025.
<b>FSM AII 24.1</b>	Analysis of inputs (e.g. water, feedstuffs)	The standard shall require that the production and storage of ice, where used to store or transport at the point of slaughter, shall not compromise food safety.

Table IV – Food Safety Management Requirements

Additional Specific Requirements BI and BII

Clause Number	Clause Name	Requirements
<b>FSM B 23</b>	Traceability	<p>The standard shall require that the organisation establish, implement and maintain appropriate procedures and systems to ensure:</p> <ul style="list-style-type: none"> <li>▶ Identification of any outsourced production, inputs or services related to food safety,</li> <li>▶ Product identification that includes, as a minimum, the name and address of the producer,</li> <li>▶ A record of purchaser and delivery destination for all products supplied.</li> </ul>
<b>FSM B 24</b>	Analysis of inputs (e.g. water, feedstuffs)	<p>The standard shall require that the organisation prepare and implement a system to ensure that analysis of inputs critical to the confirmation of food safety is undertaken and that such analyses are performed to standards equivalent to ISO 17025.</p>

Table V – Food Safety Management Requirements

Additional Specific Requirements C

Clause Number	Clause Name	Requirements
<b>FSM C 15.1</b>	Purchasing	<p>The standard shall require that the organisation has in place specific policies for the procurement of animals, fish and seafood which are subject to control of prohibited substances (e.g. pharmaceuticals, veterinary medicines, heavy metals and pesticides).</p>
<b>FSM C 23</b>	Traceability	<p>The standard shall require that the organisation establish, implement and maintain appropriate procedures and systems to ensure:</p> <ul style="list-style-type: none"> <li>▶ Identification of any outsourced production, inputs or services related to food safety,</li> <li>▶ A complete record of in-process material or final product and packaging throughout the production process,</li> <li>▶ A record of purchaser and delivery destination for all animal, fish or seafood products,</li> <li>▶ Product identification that includes, as a minimum, the origin (producer and country) and the date of production or packing,</li> </ul>

## Table VI – Feed Safety Management Requirements

Additional Specific Requirements D, E1, EII, EIII, EIV and L

Clause Number	Clause Name	Requirements
<b>FSM DEL 23</b>	Traceability	<p>The standard shall require that the organisation establish, implement and maintain appropriate procedures and systems to ensure:</p> <ul style="list-style-type: none"> <li>▶ Identification of any outsourced production, inputs or services related to food safety,</li> <li>▶ Product identification that includes, as a minimum, the name and address of the producer,</li> <li>▶ A record of purchaser and delivery destination for all products supplied.</li> </ul>
<b>FSM DEL 24</b>	Analysis of Inputs (e.g. water, ice)	<p>The standard shall require that the organisation prepare and implement a system to ensure that analysis of inputs critical to the confirmation of product safety is undertaken and that such analyses are performed to standards equivalent to ISO 17025.</p>

## Table VII – Feed Safety Management Requirements

Scope of Recognition F

Clause Number	Clause Name	Requirements
<b>FDSM 1</b>	Feed safety management- general requirements	<p>The standard shall require that the elements of the organisation's feed safety management system be documented, implemented, maintained and continually improved. The feed safety management system shall:</p> <ul style="list-style-type: none"> <li>a) comply with applicable feed safety regulatory requirements,</li> <li>b) identify the processes needed for the feed safety management system,</li> <li>c) determine the sequence and interaction of these processes,</li> <li>d) determine the criteria and methods required to ensure the effective operation and control of these processes,</li> <li>e) ensure the availability of information necessary to support the operation and monitoring of these processes,</li> <li>f) measure, monitor and analyse these processes and implement actions necessary to achieve planned results and continuous improvement,</li> <li>g) include pre-requisite programmes and HACCP based plans.</li> </ul>

Scheme Scope and  
Key Elements

Clause Number	Clause Name	Requirements
<b>FDSM 2</b>	Feed safety policy	The standard shall require the organisation has a clear, concise and documented policy statement and objectives specifying the extent of the organisation's commitment to meet the feed safety needs of its products.
<b>FDSM 3</b>	Feed safety manual	The standard shall require the organisation has a feed safety manual or documented system having a scope appropriate to the range of business activities to be covered, including documented procedures or specific reference to them and describing the interaction of the related process steps.
<b>FDSM 4</b>	Management responsibility	The standard shall require that the organisation establish a clear structure, which unambiguously defines and documents the job functions, responsibilities and reporting relationships of at least those staff whose activities affect feed safety.
<b>FDSM 5</b>	Management commitment	The standard shall require that the organisation's senior management provide evidence of their commitment to establish, implement, maintain and improve the feed safety system.
<b>FDSM 6</b>	Management review and objectives	The standard shall require that the organisation's senior management review the verification of the feed safety system at planned intervals to ensure their continuing suitability, adequacy and effectiveness. The feed safety system shall also be reviewed in the event of any change that impacts feed safety. Such a review shall evaluate the need for changes to the feed safety system, including the feed safety policy and feed safety objectives.
<b>FDSM 7</b>	Resource management	The standard shall require that the organisation's senior management determine and provide, in a timely manner, the resources needed to implement, maintain and improve the feed safety system.
<b>FDSM 8</b>	General documentation	The standard shall require that documentation procedures are in place to demonstrate compliance with the standard and ensure that all records required to demonstrate the effective operation and control of its processes and its management of feed safety are stored for a time period required to meet customer and/or legal requirements, effectively controlled and readily accessible when needed.
<b>FDSM 9</b>	Specified requirements	The standard shall require that the organisation ensure that, for all inputs to the process, items and services that are purchased or provided and have an effect on feed safety, documented specifications are readily accessible when needed. The standard shall require that a specification review procedure is implemented.
<b>FDSM 10</b>	Procedures	The standard shall require that the organisation establish, implement and maintain detailed procedures and instructions for all processes and operations having an effect on feed safety.



Clause Number	Clause Name	Requirements
<b>FDSM 11</b>	Internal audit	The standard shall require that the organisation has an internal audit system in place to cover the scope of the feed safety system.
<b>FDSM 12</b>	Corrective action	The standard shall require that the organisation has procedures for the determination and implementation of corrective action in the event of non conformity relating to feed safety management.
<b>FDSM 13</b>	Control of non conformity	The standard shall require that the organisation has effective procedures in place to ensure that feed, which does not conform to feed safety requirements, is clearly identified and controlled to prevent unintended use or delivery. There shall be a documented procedure regarding the control of non conformity and any activity in relation to the control of non conforming feed shall be recorded.
<b>FDSM 14</b>	Feed release	The standard shall require that the organisation prepare and implement appropriate feed release procedures.
<b>FDSM 15</b>	Purchasing	The standard shall require that the organisation has purchasing procedures to ensure that all raw materials, ingredients and services, which have an effect on feed safety, conform to specified requirements.
<b>FDSM 16</b>	Supplier performance	The standard shall require that the organisation establish, implement and maintain procedures for the evaluation, approval and regular monitoring of suppliers, which have an effect on feed safety. The results of evaluations, investigations and follow up actions shall be recorded.
<b>FDSM 17</b>	Outsourcing	The standard shall require that, where an organisation chooses to outsource processes that may affect feed safety, the organisation shall ensure control over such processes. Control of such outsourced processes shall be identified, documented and monitored within the feed safety management system.
<b>FDSM 18</b>	Complaint handling	The standard shall require that the organisation establish, implement and maintain an effective system for the management of complaints and complaint data.

Clause Number	Clause Name	Requirements
<b>FDSM 19</b>	Incident management	The standard shall require that the organisation establish, implement and maintain an effective incident management procedure, which is regularly tested and covers planning for product withdrawal and recall.
<b>FDSM 20</b>	Control of measuring devices	The standard shall require that the organisation ensures that feed safety measuring devices are calibrated to a recognised standard.
<b>FDSM 21</b>	Food defence	The standard shall require that the organisation has a documented risk assessment procedure in place to address food defence risks and establish, implement and maintain a system to reduce or eliminate the identified risks.
<b>FDSM 22</b>	Feed labelling	The standard shall require that the organisation ensure that all feed provides information to comply with applicable regulatory requirements and assure any necessary information is provided to facilitate safe use of the feed.
<b>FDSM 23</b>	Traceability	The standard shall require that the organisation establish, implement and maintain appropriate procedures and systems to identify the source of raw materials and ingredients, the delivery of feed and their linkages.



Table VIII – Food and Feed Safety Management Requirements

Scope of Recognition J

Clause Number	Clause Name	Requirements
<b>FSM J 1</b>	Food safety management general requirements	<p>The standard shall require that the elements of the organisation's Food Safety Management System be documented, implemented, maintained and continuously improved. The food safety management system shall:</p> <ul style="list-style-type: none"> <li>a) identify the processes needed for the food safety management system,</li> <li>b) determine the sequence and interaction of these processes,</li> <li>c) determine the criteria and methods required to ensure the effective operation and control of these processes,</li> <li>d) ensure the availability of information necessary to support the operation and monitoring of these processes,</li> <li>e) measure, monitor and analyse these processes and implement actions necessary to achieve planned results and continuous improvement.</li> </ul>
<b>FSM J 2</b>	Food safety policy	<p>The standard shall require the organisation has a clear and documented food safety policy statement and objectives specifying the organisation's commitment to the supply of safe food, safe food products and related materials covered under the GFSI supply chain scope. The standard requires that the organisation has a documented food safety policy statement for storage, distribution, transport and handling of product.</p>
<b>FSM J 3</b>	Food safety manual	<p>The standard shall require the organisation has a Food Safety Manual or documented system having a scope covering the range of business activities, including documented procedures or specific reference to them and describing the interaction of the related process steps.</p>
<b>FSM J 4</b>	Management responsibility	<p>The standard shall require that the organisation establish a clear organisational structure, which defines and documents the job functions, responsibilities and reporting relationships of those staff whose activities affect food safety. There shall be a system in place to ensure acceptance and compliance with customer or operator's specifications and/or requirements in relation to product condition and the safe supply of food.</p>
<b>FSM J 5</b>	Management commitment	<p>The standard shall require that the organisation's senior management provide evidence of their commitment to establish, implement, support, maintain and improve the food safety system.</p>
<b>FSM J 6</b>	Management review	<p>The standard shall require that the organisation's senior management review the food safety system at planned intervals, to ensure their continuing suitability, adequacy and effectiveness. The food safety system shall also be reviewed within a defined time frame in the event of any change. Such a review shall evaluate the need for changes in order to maintain the food safety system.</p>

<b>FSM J 7</b>	Resource management	The standard shall require that the organisation's senior management determine and provide, in a timely manner, the resources needed to implement, maintain and improve the food safety system.
<b>FSM J 8</b>	General documentation requirements	Records are required to demonstrate the effective operation and control of processes and management of food safety. Records are securely stored for a time period required to meet customer or legal requirements, effectively controlled and readily accessible as requested.
<b>FSM J 9</b>	Specified requirements	The standard shall require the organisation to specify that all services to the process and/or services (including utilities, transport and maintenance), which are purchased or provided, enable the storage and distribution of safe food. These requirements must be documented or included in service contracts, enacted, effectively controlled, maintained, securely stored and readily accessible when requested. The standard shall require that a contract review process is in place.
<b>FSM J 10</b>	Procedures	The standard shall require that the organisation establish, implement and maintain detailed procedures and instructions for all processes and operations having an effect on food safety.
<b>FSM J 11</b>	Internal audit	The standard shall require that the organisation has an internal audit system in place to cover the scope of the food safety system.
<b>FSM J 12</b>	Corrective action	The standard shall require that the organisation has procedures for the implementation, and verification of corrective actions in the event of any non conformity relating to food safety.
<b>FSM J 13</b>	Control of non conformity	The standard shall require that the organisation has documented processes in place to ensure that any product, which does not conform to food safety requirements (e.g.: held, returned, withdrawn, or recalled), is clearly identified and controlled to prevent cross-contamination, unintended use or delivery, and has a system to control the disposal of non-conforming materials. These requirements shall be defined in a documented procedure that is readily accessible when requested.
<b>FSM J 14</b>	Product release	The standard shall require that the organisation prepare and implement product release procedures.

<b>FSM J 15</b>	Purchasing	The standard shall require that the organisation control purchasing processes to ensure that all externally sourced materials and services, which can have an impact on food safety conform to requirements.
<b>FSM J 16</b>	Supplier performance	The standard shall require that the organisation establish, implement and maintain procedures for the evaluation, approval and monitoring of products and services, which can have an impact on food safety. The results of evaluations, investigations and follow up actions shall be recorded.
<b>FSM J17</b>	Outsourcing	The standard shall require that, where an organisation chooses to outsource any process that may impact food safety, the organisation shall ensure control over such services. Control of such outsourced processes shall be identified, documented and monitored within the food safety Food Safety system.
<b>FSM J18</b>	Complaint handling	The standard shall require that the organisation establish, implement and maintain a system for the management of complaints and complaint data.
<b>FSM J 19</b>	Serious incident and Crisis Management	The standard shall require that the organisation establish, implement and maintain an effective incident management procedure, which is regularly tested and covers planning for product withdrawal and product recall as required.
<b>FSM J 20</b>	Control of measuring and monitoring devices	The standard shall require that the organisation identify the measurement of parameters critical to ensure food safety, the measuring and monitoring devices required and methods to assure that the calibration of these measuring and monitoring devices is traceable to recognised methods and/or standard.
<b>FSM J 21</b>	Food defence	The standard shall require that the organisation has a documented risk assessment procedure in place to address food defence risks and establish, implement and maintain a system to reduce or eliminate the identified risks. The system shall cover good distribution practices, food defence response plans and shall be supported by the food safety system.

Table IX – Food Safety Management Requirements

## Scope of Recognition M

Clause Number	Clause Name	Requirements
<b>FSM M1</b>	Food safety management for packaging materials general requirements	<p>The standard shall require that the elements of the organisation's Food Safety Management System for packaging materials be documented, implemented, maintained and continually improved. The management system shall:</p> <ol style="list-style-type: none"> <li>identify the processes needed for the effects of packaging of Food Safety Management system</li> <li>determine the sequence and interaction of these processes and procedures</li> <li>determine criteria and methods required to ensure the effective operation and control of these processes</li> <li>ensure the availability of information necessary to support the operation and monitoring of these processes</li> <li>measure, monitor and analyse these processes and implement actions necessary to achieve planned results and continual improvement.</li> <li>ensure that packaging used to impart or provide a functional effect on food such as shelf life extension shall be effective within its own specified criteria, where known.</li> <li>validate packaging design and development to ensure food safe and legal manufacture.</li> </ol>
<b>FSM M2</b>	Policy statement	The standard shall require the organisation to have a clear, concise and documented policy statement and objectives that specify the extent of the organisation's commitment to meet the food safety and hygiene needs of packaging materials.
<b>FSM M3</b>	Documented system	The standard shall require the organisation to have a documented system, having a scope appropriate to the range of business activities to be covered, including documented procedures or specific reference to them and describing the interaction of the related process steps.
<b>FSM M4</b>	Management responsibility	The standard shall require the supplier to establish a clear organisational structure, which unambiguously defines and documents job functions, responsibilities and reporting relationships of at least those staff, whose activities affect food safety. The structure effectiveness shall be periodically reviewed by management.
<b>FSM M5</b>	Management commitment	The standard shall require that the organisation's senior management provide evidence of their commitment to establish, implement, maintain and continually improve the food safety system.
<b>FSM M6</b>	Management review	The standard shall require that the organisation's senior management review the verification of the food safety system, HACCP Plan or HACCP based plans, at planned intervals, to ensure their continuing suitability, adequacy and effectiveness. The HACCP Plan shall also be reviewed in the event of any change that impacts food safety. Such a review shall evaluate the need for changes to the food safety system, including the food safety policy and food safety objectives.

Clause Number	Clause Name	Requirements
<b>FSM M7</b>	Resource management	The standard shall require that the organisation's senior management determine and provide, in a timely manner, all the resources needed to implement, maintain and improve the food safety system for packaging materials.
<b>FSM M8</b>	General documentation requirements	The standard shall require that the organisation's documentation procedures are in place to demonstrate compliance with the standard and ensure that all records required to demonstrate the effective operation and control of its processes and its management of food safety for packaging materials, are securely stored for a time period required to meet customer or legal requirements, effectively controlled and readily accessible when needed..
<b>FSM M9</b>	Specified requirements	The standard shall require that the organisation ensures that for all inputs to the process, items and services (including utilities, transport and maintenance) purchased/provided and having an effect on food safety from packaging materials, documented specifications are prepared, effectively controlled, maintained, securely stored and readily accessible when needed. The standard shall require that a specification review process is in place. The standard shall require that the suitability of all packaging materials shall be supported with evidence of compliance for the intended purpose and have legal compliance for the country of use, where known.
<b>FSM M10</b>	Procedures	The standard shall require that the organisation establish, implement and maintain detailed procedures, documents and controls for all processes and operations having an effect on food safety. This may include mutually agreed customer requirements and contracts.
<b>FSM M11</b>	Internal audit	The standard shall require that the organisation has an effective internal audit system in place to ensure compliance to process and operations procedures as well as to cover the scope of the effect of packaging on food safety systems including the Hazard and Risk Management system.
<b>FSM. M12</b>	Corrective action and preventive action	The standard shall require that the organisation has procedures for the timely determination and effective implementation of corrective action in the event of any significant non-conformity relating to food safety.
<b>FSM M13</b>	Control of non conformity	The standard shall require that the organisation ensures that any packaging materials, which do not conform to food safety requirements, are clearly identified, separated and controlled to prevent unintended use or delivery. These activities shall be defined in a documented procedure.
<b>FSM M14</b>	Product release	The standard shall require that the organisation shall prepare, document, control, approve and implement appropriate release procedures.
<b>FSM. M15</b>	Supply management	The standard shall require that the organisation controls the supply management processes to ensure that all externally sourced materials and services, which have an effect on food safe packaging materials, conform to specifier and regulatory requirements.



Clause Number	Clause Name	Requirements
<b>FSM M16</b>	Supplier performance and approval	The standard shall require that the organisation establish, implement and maintain documented procedures for the evaluation, approval and continued monitoring of its suppliers, which may have an effect on food safety through the packaging manufactured, stored, transported and potential use. The results of evaluations, investigations and follow-up actions shall be recorded.
<b>FSM M17</b>	Outsourcing/ sub- contracting	The standard shall require that where an organisation chooses to outsource/sub-contract any process that may affect food safety, the organisation shall ensure control over such processes. Control of such outsourced/ sub-contracted processes shall be identified, documented, and monitored within the effects of packaging on food safety management system.
<b>FSM M18</b>	Complaint handling	The standard shall require that the organisation establish, implement and maintain an effective system for the management of complaints and complaint data to control and correct non conformity.
<b>FSM M19</b>	Incident management	The standard shall require that the organisation establish, implement and maintain an effective incident management procedure for all packaging materials it supplies. This shall cover planning for product withdrawal and product recall which shall be tested on an adequate and specified frequency.
<b>FSM M 20</b>	Control of measuring and monitoring devices	The standard shall require that the organisation identify the measurement of parameters critical to ensure food safety from packaging materials. The measuring and monitoring equipment required shall have an adequate degree of accuracy and methods recognised and validated. Routine calibration of these measuring and monitoring equipment shall be traceable to a recognised standard.
<b>FSM M21</b>	Malicious intervention	The standard shall require that the organisation has a documented risk assessment procedure in place to address food defence risks from packaging and establish, implement and maintain a system to reduce or eliminate the identified risks. The system shall cover Good Manufacturing Practices and shall be supported through the effects of packaging on food safety systems. This may include trademarked materials, site security, personnel selection, manufacturing processes and transport.
<b>FSM M 22</b>	Product labelling	The standard shall require the organisation to ensure that all food packaging materials are suitably labelled/ identified.
<b>FSM M23</b>	Traceability	<p>The standard shall require that the organisation establish, implement and maintain appropriate procedures and systems to ensure:</p> <ul style="list-style-type: none"> <li>▲ The ability to trace or follow a material or article through all stages of manufacture, processing and distribution</li> <li>▲ Identification of any out-sourced product, inputs or service related to food safety;</li> <li>▲ Product identification that includes as a minimum a unique product code and manufacturer's identification logo or mark to identify the batch or individual item as required by the customer.</li> <li>▲ Record of purchaser and delivery destination for all products supplied.</li> <li>▲ Identification of recycled materials and any other materials, from whatever source, that may give rise to food safety issues</li> <li>▲ Implementation shall be timely and information produced shall be accurate</li> </ul> <p>Traceability shall include the material source (one stage back), throughout all production processes, on to internal and external warehousing and the customer (one stage forward).</p>
<b>FSM M24</b>	Packaging material testing	Where external product testing is required it shall be carried out by an accredited test facility or one that follows international test facility guidelines. Where in-house testing is carried out calibration of equipment shall be carried out against national standards or other accurate means.

## Requirements AI

Clause Number	Clause Name	Requirements
<b>GAP AI 1</b>	Agricultural input requirements	The standard shall require that procedures are in place to ensure that agricultural and veterinary inputs are of adequate quality for the intended use, that the application of agricultural and veterinary inputs is managed properly to minimise the potential for microbial or chemical contamination [as defined under the Codex Alimentarius Recommended International Code of Practice – General Principles of Food Hygiene CAC/RCP1-1969, Rev 4 -2003 and specifically Code of Hygienic Practice for Meat CAC/RCP 58-2005] at levels that may adversely affect the safety of Meat / Milk / Eggs / Honey and that the producer is required to take into consideration the WHO guidelines on the safe use of waste water and livestock excreta in agriculture, as appropriate.
<b>GAP AI 2</b>	Water for primary livestock production	The standard shall require that procedures be in place to identify the sources of water used on the farm (municipality, re-used irrigation water, well, open canal, reservoir, rivers, lakes, farm ponds etc.) and to assess its microbial and chemical quality and its suitability for the intended use and identify corrective actions to prevent or minimise contamination (e.g. from livestock, sewage treatment, human habitation). Where necessary, water shall be tested for microbial and chemical contaminants. The frequency of testing will depend on the water source and the risks of environmental contamination including intermittent or temporary contamination (e.g. heavy rain, flooding etc.).
<b>GAP AI 2.1</b>	Water for primary livestock production	The standard shall require that measures are in place to protect agricultural water sources to minimise the risk of contamination. If agricultural water is stored, tanks, containers or cisterns must not be a source of contamination for water or product.
<b>GAP AI 2.2</b>	Water for primary livestock production	The standard shall require that water containing veterinary medicines should be clearly identified, suitably isolated and maintained.
<b>GAP AI 3</b>	Waste water and slurry	The standard shall require that untreated waste water and slurry from sewage plants must not be spread in areas that can be accessed by livestock, or used for the fertilisation of pasture land on which animal feed is growing.
<b>GAP AI 4</b>	Soils used for grazing and production of forage for feedstuffs	The standard shall require that soils be evaluated for hazards and contamination. Control measures shall be implemented to reduce hazards to acceptable levels.
<b>GAP AI 5</b>	Use of medicines and vaccines	The standard shall require that the medicines procured by the farmer must be properly marked by the manufacturer. The farmer must be able to demonstrate proof of purchase of animal medicines at all times through the use of veterinary medicine documentation, receipts from the veterinary pharmacy and copies of veterinary prescriptions or production orders for in-feed medicines. It must be ensured that all documentation is completed or verified by the veterinarian or recognised competent adviser
<b>GAP AI 6</b>	Location, design and layout	The standard shall require that structures be located, designed and constructed to ensure that all adjoining rooms, equipment, facilities and feeding systems are set out in such a way as to facilitate proper cleaning and pest control.

## Scheme Scope and Key Elements

Clause Number	Clause Name	Requirements
<b>GAP AI 6.1</b>	Location, design and layout	The standard shall require that all buildings be marked to indicate that they contain livestock and that there is no entry to unauthorised persons
<b>GAP AI 6.2</b>	Location, design and layout	The standard shall require that the site facility be fenced and the entry points controlled by lockable gates.
<b>GAP AI 6.3</b>	Location, design and layout	The standard shall require that entry and exit points to the site be equipped for cleaning and disinfecting of vehicle wheels.
<b>GAP AI 6.4</b>	Location, design and layout	The standard shall require that entry annex points of the buildings be equipped with cleaning materials and disinfecting footwear.
<b>GAP AI 7</b>	Personnel hygiene and sanitary facilities	The standard shall require that hygienic and sanitary facilities be available and maintained.
<b>GAP AI 7.1</b>	Personnel hygiene and sanitary facilities	The standard shall require that the facilities be located in close proximity to the fields and indoor premises and in sufficient numbers to accommodate personnel.
<b>GAP AI 8</b>	Water supply	The standard shall require that an adequate supply of potable or clean water with appropriate facilities for its storage and distribution be available in indoor, primary production facilities.
<b>GAP AI 9</b>	Drainage and waste disposal	The standard shall require that adequate drainage and waste disposal systems and facilities be provided. Systems shall be designed and constructed to avoid potential for contamination of water courses, highways and neighbouring fields with animal waste and silo seepage.
<b>GAP AI 10</b>	Personnel training	The standard shall require that a system be in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.
<b>GAP AI 11</b>	Personnel health and hygiene	The standard shall require that there be hygiene and health requirements in place to ensure that personnel who come directly into contact with livestock and feedstuffs are not likely to cross-contaminate them. Visitors shall adhere to the other personal hygiene provisions in this section.



Clause Number	Clause Name	Requirements
<b>GAP AI 12</b>	Personal cleanliness	The standard shall require that hand washing procedures be in place to require hand washing and the wearing of protective equipment, which includes training and frequency of hand washing and disinfecting of protective clothing and footwear.
<b>GAP AI 13</b>	Equipment associated with production and feeding and animal health	The standard shall require that equipment and containers coming into contact with livestock and feedstuffs be made of materials that are non-toxic and designed and constructed to ensure that they can be cleaned, disinfected and maintained to avoid contamination.
<b>GAP AI 13.1</b>	Equipment associated with production and feeding and animal health	The standard shall require that an effective calibration programme be followed for all equipment requiring calibration and posing a food safety risk.
<b>GAP AI 13.2</b>	Equipment associated with production and feeding and animal health	The standard shall require that equipment and feedstuffs be stored in designated area(s) so that they do not contribute to the contamination of products.
<b>GAP AI 13.3</b>	Equipment associated with production and feeding and animal health	The standard shall require that veterinary equipment, including disposable medical items used and unused, be stored securely and safely according to the manufacturer's instructions.
<b>GAP AI 13.4</b>	Equipment associated with production and feeding and animal health	The standard shall require that the cleanliness and suitability of medical instruments be ensured.
<b>GAP AI 14</b>	Transport	The standard shall require that all vehicles, including contracted out vehicles, used for the transportation of raw materials (including feedstuffs) be suitable for the purpose and do not contribute to the risk of cross-contamination.
<b>GAP AI 15</b>	Prevention of cross-contamination	The standard shall require that, during production, effective measures be taken to prevent cross-contamination from agricultural inputs, cleaning agents, veterinary medicines or personnel who come directly or indirectly into contact with other sites, animals or agricultural products.
<b>GAP AI 16</b>	Storage and transport	The standard shall require that livestock and products be stored, temporarily housed and transported under conditions, which minimise the potential for microbial, chemical or physical contamination.

## Scheme Scope and Key Elements

Clause Number	Clause Name	Requirements
<b>GAP AI 16.1</b>	Storage and transport	The standard shall require that animal feed be stored securely and handled separately from waste liquids, solid manure, hazardous substances, seeds, animal medication and cleaning chemicals. It must not be contaminated by packaging or other foreign materials.
<b>GAP AI 16.2</b>	Storage and transport	The standard shall require that storage sites for animal feed and animal feed components be checked at regular intervals for cleanliness, fungus, moulds and temperature and the sensory properties of the feed.
<b>GAP AI 16.3</b>	Storage and transport	The standard shall require that the mixing of feeds from different species, growers or manufacturers be avoided by using separate silos and other means of storage. Suitable storage should allow the integrity of batch numbers, lot numbers or the originator's identification marks to be retained.
<b>GAP AI 16.4</b>	Storage and transport	The standard shall require that animal medicine be stored in accordance with the information on the label.
<b>GAP AI 16.5</b>	Storage and transport	The standard shall require that in-feed medicines be stored in such a way that the risk of unintentional feeding to animals is minimised.
<b>GAP AI 16.6</b>	Storage and transport	The standard shall require that equipment for the storage of liquid manure, contaminated yard water and silo seepage liquids be stable and permanently watertight.
<b>GAP AI 17</b>	Cleaning, maintenance and sanitation	The standard shall require that premises be kept in an appropriate state of repair and condition to facilitate cleaning and disinfection. Cleaning materials, veterinary medicines and hazardous substances such as agricultural chemicals shall be specifically identifiable and kept or stored separately in secure storage facilities. Cleaning materials, veterinary medicines and agricultural chemicals shall be used according to the manufacturer's instructions for their intended purpose.
<b>GAP AI 18</b>	Cleaning programmes	The standard shall require that cleaning and disinfection programmes be in place. Cleaning and disinfection systems shall be monitored, measured for effectiveness and shall be regularly reviewed and adapted to reflect changing circumstances and disease risk.
<b>GAP AI 19</b>	Cleaning procedures and methods	The standard shall require that the appropriate cleaning methods and materials be employed. Cleaning procedures will be reflective of the type of production system, its intensity and the animal species.

Clause Number	Clause Name	Requirements
<b>GAP AI 20</b>	Pest control systems	The standard shall require that, when primary production is carried out in indoor establishments, the recommendations of the Codex Alimentarius Recommended International Code of Practice – General Principles of Food Hygiene CAC/RCP 1-1969, Rev 4 -2003, and specifically Code of Hygienic Practice for Meat CAC/RCP 58-2005] shall be followed with respect to pest control.
<b>GAP AI 21</b>	Waste management	The standard shall require that suitable provisions be made for the storage and removal of general waste. Storage areas for waste shall be kept clean.
<b>GAP AI 21.1</b>	Waste management	The standard shall require that suitable provisions be made for the storage and removal of veterinary clinical waste.
<b>GAP AI 21.2</b>	Waste management	The standard shall require that animal carcasses for disposal be stored outside production areas. Carcass disposal companies should not pass through the production facilities to remove carcasses.
<b>GAP AI 21.3</b>	Waste management	The standard shall require that farmyard manure be collected in a fixed location with suitable services fitted with a firm and tidewater impermeable ground slab. Poultry manure is not regarded as solid manure and should be treated accordingly.
<b>GAP AI 21.4</b>	Waste management	The standard shall require that veterinary medicines that have reached their expiry date be disposed of according to the manufacturer's instructions and in compliance with national legislation.

Table II – Good Aquacultural Practice

## Requirements All

Clause Number	Clause Name	Requirements
<b>GAP AII 1</b>	Aquaculture input requirements	The standard shall require that procedures are in place to ensure that agricultural and veterinary inputs are of adequate quality for the intended use, that application of agricultural and veterinary inputs is managed properly to minimise the potential for microbial or chemical contamination [as defined under the <i>Codex Alimentarius Recommended International Code of Practice – General Principles of Food Hygiene CAC/RCP1-1969, Rev 4-2003</i> and specifically <i>Code of practice for fish and fishery products CAC/RCP 52-2003</i> ] at levels that may adversely affect the safety of fish and fishery products.
<b>GAP AII 2</b>	Water for aquaculture production	The standard shall require that procedures be in place to identify the sources of water used for aquaculture production activities and to assess its microbial and chemical quality and its suitability for the intended use and identify corrective actions to prevent or minimise contamination (e.g. from living production stock, human habitation and chemical contaminants). Water shall be tested for microbial and chemical contaminants. The frequency of testing shall depend on the water source and the risks of environmental contamination including intermittent or temporary contamination (e.g. heavy rain, flooding, tidal flows etc.). Watershed water should be tested for potential contaminants such as PCB's and heavy metals based on a site risk assessment.
<b>GAP AII 2.1</b>	Water for aquaculture production	The standard shall require that water containing veterinary medicines or feed additives be clearly identified, suitably isolated and maintained.
<b>GAP AII 3</b>	Waste water and slurry	The standard shall require that waste water and slurry from ponds be disposed of legally and in a manner that prevents contamination of land and water courses.
<b>GAP AII 4</b>	Use of medicines and vaccines	The standard shall require that the medicines procured be legally permitted within that jurisdiction and properly marked by the manufacturer. The farmer must be able to demonstrate proof of purchase of veterinary medicines at all times through the use of veterinary medicine documentation, receipts from the veterinary pharmacy and copies of veterinary prescriptions or production orders for in-feed medicines.
<b>GAP AII 4.1</b>	Use of medicines and vaccines	The standard shall require that all documentation is completed or verified by the veterinarian or recognised competent adviser.

Clause Number	Clause Name	Requirements
<b>GAP AII 4.2</b>	Use of medicines and vaccines	The standard shall require that there be no use of natural or synthetic hormones or antibiotic agents used with the purpose of a growth promoting effect.
<b>GAP AII 5</b>	Location, design and layout of structures and vessels	The standard shall require that structures be located, designed and constructed to ensure that all adjoining rooms, equipment, facilities and feeding systems are set out in such a way as to facilitate proper cleaning and pest control.
<b>GAP AII 5.1</b>	Location, design and layout of structures and vessels	The standard shall require that vessels be designed and constructed to ensure that all catch landing areas facilitate proper cleaning and are free from potential contaminants such as oils, grease, fuels and cleaning chemicals.
<b>GAP AII 5.2</b>	Location, design and layout of structures and vessels	The standard shall require that the aquaculture site facility be fenced and the entry point controlled by lockable gates.
<b>GAP AII 6</b>	Personnel hygiene and sanitary facilities	The standard shall require that hygienic and sanitary facilities be available and maintained.
<b>GAP AII 6.1</b>	Personnel hygiene and sanitary facilities	The standard shall require that the facilities be located in close proximity to the work station and of a sufficient number to accommodate all personnel.
<b>GAP AII 7</b>	Water supply	The standard shall require that an adequate supply of potable or clean water with appropriate facilities for its storage and distribution be available. Where water is supplied and used that is not of potable quality it will be clearly marked.
<b>GAP AII 8</b>	Drainage and waste disposal	The standard shall require that adequate drainage and waste disposal systems and facilities be provided. Systems shall be designed and constructed to avoid the potential for contamination.
<b>GAP AII 9</b>	Personnel training	The standard shall require that a system be in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.

Clause Number	Clause Name	Requirements
<b>GAP AII 10</b>	Personnel health and hygiene	The standard shall require that there be hygiene and health requirements in place to ensure that personnel are not likely to cross-contaminate products. Visitors shall adhere to the other personal hygiene provisions in this section.
<b>GAP AII 11</b>	Personal cleanliness	The standard shall require that hand washing procedures be in place to require hand washing and the wearing of protective equipment, which includes training and frequency of hand washing and disinfecting of protective clothing and footwear.
<b>GAP AII 12</b>	Equipment associated with production and feeding and animal health	The standard shall require that equipment and containers coming into contact with living stock and feedstuffs be made of materials that are non-toxic and designed and constructed to ensure that they can be cleaned, disinfected and maintained to avoid contamination.
<b>GAP AII 12.1</b>	Equipment associated with production and feeding and animal health	The standard shall require that an effective calibration programme be followed for all equipment requiring calibration and posing a food safety risk.
<b>GAP AII 12.2</b>	Equipment associated with production and feeding and animal health	The standard shall require that equipment and feedstuffs be stored in designated area(s) so that they do not contribute to the contamination of products.
<b>GAP AII 12.3</b>	Equipment associated with production and feeding and animal health	The standard shall require that veterinary equipment, including disposable medical items used and unused, be stored securely and safely according to the manufacturer's instructions.
<b>GAP AII 12.4</b>	Equipment associated with production and feeding and animal health	The standard shall require that the cleanliness and suitability of medical instruments be ensured.
<b>GAP AII 13</b>	Transport	The standard shall require that all vehicles, including contracted out vehicles, used for the transportation of raw materials (including ice, feedstuffs and fry) be suitable for the purpose and do not contribute to the risk of cross-contamination.
<b>GAP AII 14</b>	Prevention of cross-contamination	The standard shall require that, during production, effective measures be taken to prevent cross-contamination from inputs, cleaning agents, veterinary medicines or personnel who come directly or indirectly into contact with other sites or vessels.
<b>GAP AII 15</b>	Storage and transport	The standard shall require that aquaculture and fishery products be stored, temporarily stored and transported under conditions, which minimise the potential for microbial, chemical or physical contamination.



Clause Number	Clause Name	Requirements
<b>GAP AII 15.1</b>	Storage and transport	The standard shall require that aquaculture feed be stored securely and handled separately from waste liquids, hazardous substances, veterinary medication and cleaning chemicals. It must not be contaminated by packaging material or other foreign materials.
<b>GAP AII 15.2</b>	Storage and transport	The standard shall require that storage sites for aquaculture feed and aquaculture feed components be checked at regular intervals for cleanliness, fungus, moulds, temperature and other potential contamination.
<b>GAP AII 15.3</b>	Storage and transport	The standard shall require that the mixing of aquaculture feeds from different manufacturers be avoided by using separate silos and other means of storage. Suitable storage should allow the integrity of batch numbers, lot numbers or the originator's identification marks to be retained.
<b>GAP AII 15.4</b>	Storage and transport	The standard shall require that veterinary medicine be stored in accordance with the information on the label.
<b>GAP AII 15.5</b>	Storage and transport	The standard shall require that in-feed medicines be stored in such a way that the risk of the unintentional feeding of fish is minimised.
<b>GAP AII 15.6</b>	Storage and transport	The standard shall require that equipment for the storage of liquid waste products be stable and permanently watertight.
<b>GAP AII 16</b>	Cleaning, maintenance and sanitation	The standard shall require that premises and vessels be kept in an appropriate state of repair and condition to facilitate cleaning and disinfection. Cleaning materials, veterinary medicines and hazardous substances such as chemicals, fuels and lubricants shall be specifically identifiable and kept or stored separately in secure storage facilities. Cleaning materials and veterinary medicines shall be used according to the manufacturer's instructions for their intended purpose.
<b>GAP AII 17</b>	Cleaning programmes	The standard shall require that cleaning and disinfection programmes be in place. Cleaning and disinfection systems shall be monitored, measured for effectiveness and shall be regularly reviewed and adapted to reflect changing circumstances and disease risk.
<b>GAP AII 18</b>	Cleaning procedures and methods	The standard shall require that appropriate cleaning methods and materials be employed. Cleaning procedures shall be reflective of the type of capture and production system, the intensity and the animal species.
<b>GAP AII 19</b>	Pest control systems	The standard shall require that, when primary production is carried out in indoor establishments, the recommendations of the Codex Alimentarius Recommended International Code of Practice – General Principles of Food Hygiene CAC/RCP1-1969, Rev 4 -2003, and specifically Code of practice for fish and fishery products CAC/RCP 52-2003] be adhered to.

Clause Number	Clause Name	Requirements
<b>GAP AII 20</b>	Waste management	The standard shall require that suitable provision be made for the storage and removal of general waste. Storage areas for waste shall be kept clean.
<b>GAP AII 20.1</b>	Waste management	The standard shall require that suitable provision be made for the storage and removal of veterinary clinical waste.
<b>GAP AII 20.2</b>	Waste management	The standard shall require that dead fish for disposal be stored outside production areas. Disposal companies should not pass through the production facilities to remove waste.
<b>GAP AII 20.3</b>	Waste management	The standard shall require that veterinary medicines that have reached their expiry date be disposed of according to the manufacturer's instructions and in compliance with national legislation.

Table III – Good Agricultural Practice

## Requirements BI

Clause Number	Clause Name	Requirements
<b>GAP BI 1</b>	Agricultural input requirements	The standard shall require that procedures be in place to ensure that agricultural inputs are of adequate quality for the intended use, that application of agricultural inputs is managed properly to minimise the potential for microbial or chemical contamination [as defined under the Codex Alimentarius Recommended International Code of Practice – General Principles of Food Hygiene CAC/RCP-1-1969, Rev 4 -2003 ] at levels that may adversely affect the safety of fresh fruits and vegetables and that the producer is required to take into consideration the WHO guidelines on the safe use of waste water and excreta in agriculture as appropriate.
<b>GAP BI 2</b>	Water for primary production	The standard shall require that procedures be in place to identify the sources of water used on the farm (municipality, re-used irrigation water, well, open canal, reservoir, rivers, lakes, farm ponds etc.) and to assess their microbial and chemical quality and suitability for intended use and identify corrective actions to prevent or minimise contamination (e.g. from livestock, sewage treatment, human habitation). Where necessary, water shall be tested for microbial and chemical contaminants. The frequency of testing will depend on the water source and the risks of environmental contamination including intermittent or temporary contamination (e.g. heavy rain, flooding etc.) or periods of drought



Clause Number	Clause Name	Requirements
<b>GAP BI 2.1</b>	Water for primary production	The standard shall require that measures be in place to protect agricultural water sources to minimise the risk of contamination. If agricultural water is stored, tanks, containers or cisterns must not be a source of contamination for water or product.
<b>GAP BI 3</b>	Water for irrigation and harvesting	The standard shall require that water used for agricultural purposes be of suitable quality for its intended use.
<b>GAP BI 4</b>	Water for fertilisers, pest control and other agricultural chemicals	The standard shall require that water used for the application of water-soluble fertilisers and agricultural chemicals in the field and indoors does not contain microbial or chemical contaminants at levels that may adversely affect the safety of fresh fruits and vegetables.
<b>GAP BI 5</b>	Hydroponic water	The standard shall require that water used in hydroponic culture be changed frequently or, if recycled, be treated to minimise microbial and chemical contamination. Water delivery systems shall be maintained and cleaned, as appropriate, to prevent the microbial contamination of water.
<b>GAP BI 6</b>	Manure, bio solids and other natural fertilisers	The standard shall require that there be proper treatment procedures (e.g. composting, pasteurisation, heat drying, UV irradiation, alkali digestion, sun drying, management practices including appropriate delays between application of agricultural inputs and harvesting of the crop or combinations of these) that are designed to reduce or eliminate pathogens in manure, bio solids and other natural fertilisers. As a minimum, the use of untreated bio solids shall be prohibited.
<b>GAP BI 7</b>	Soil	The standard shall require that soils be evaluated for hazards. Control measures shall be implemented to reduce hazards to acceptable levels.
<b>GAP BI 8</b>	Agricultural chemicals	The standard shall require that only agricultural chemicals, which are authorised for the cultivation of the specific fruit or vegetable be used and used according to the manufacturer's instructions, local regulations and for the intended purpose. Residues shall not exceed levels as established by the Codex Alimentarius Commission or local regulatory requirements.
<b>GAP BI 8.1</b>	Agricultural chemicals	The standard shall require that antimicrobial agents not significant to human and animal therapy be used only when unavoidable and in accordance with good agricultural practices and in a manner that achieves this objective.
<b>GAP BI 8.2</b>	Agricultural chemicals	The standard shall require that agricultural workers who apply agricultural chemicals be trained in the proper application procedures.
<b>GAP BI 8.3</b>	Agricultural chemicals	The standard shall require that documentation of agricultural chemical applications be maintained. Records shall include information on the date of application, the chemical used, the crop sprayed, the concentration, method and frequency of application and records on harvesting to verify that the time between application and harvesting is appropriate. Agricultural chemicals shall be legal within the local and market jurisdiction, correctly labelled, stored in a safe, well ventilated place away from production areas, living areas and harvested fruits or vegetables and disposed of in a manner that does not pose a risk of contaminating crops

Clause Number	Clause Name	Requirements
<b>GAP BI 9</b>	Biological control	The standard shall require that only biological controls, which are authorised for the cultivation of the specific fruit or vegetable be used and are used according to the manufacturer's instructions for the intended purpose.
<b>GAP BI 10</b>	Indoor facilities associated with growing and harvesting	The standard shall require that, for operations where fresh fruits and vegetables are grown indoors (greenhouses, hydroponic culture, etc.), facilities be suitable and do not contribute to food safety risks for these products.
<b>GAP BI 11</b>	Location, design and layout	The standard shall require that structures be located, designed and constructed to avoid the contamination of fresh fruits and vegetables and the harbouring of pests such as insects, rodents and birds. Where appropriate, the internal design and layout shall permit compliance with good hygiene practices for the primary production of fresh fruits and vegetables indoors, including protection against cross-contamination between and during operations.
<b>GAP BI 12</b>	Personnel hygiene and sanitary facilities	The standard shall require that hygienic and sanitary facilities be available and maintained to avoid contamination of the growing sites, of fresh fruits and vegetables or of agricultural inputs. These facilities should be located in close proximity to the fields and indoor premises and in sufficient numbers to accommodate personnel.
<b>GAP BI 13</b>	Water supply	The standard shall require that an adequate supply of potable or clean water with appropriate facilities for its storage and distribution be available in indoor primary production facilities.
<b>GAP BI 14</b>	Drainage and waste disposal	The standard shall require that adequate drainage and waste disposal systems and facilities be provided. Systems shall be designed and constructed to avoid the potential for contamination of fresh fruits and vegetables, agricultural inputs or the potable water supply.
<b>GAP BI 15</b>	Personnel training	The standard shall require that a system be in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.
<b>GAP BI 16</b>	Personnel health and hygiene	The standard shall require that there be hygiene and health requirements in place to ensure that personnel who come directly into contact with fresh fruits and vegetables during or after harvesting are not likely to contaminate them. Visitors shall adhere to the other personal hygiene provisions in this section.
<b>GAP BI 17</b>	Health status	The standard shall require that people known, or suspected to be suffering from or to be a carrier of a disease or illness likely to be transmitted through fresh fruits and vegetables, not be allowed to enter any food handling area.
<b>GAP BI 17.1</b>	Health status	The standard shall require that any person so affected immediately report illness or symptoms of illness to the management.

Clause Number	Clause Name	Requirements
<b>GAP BI 18</b>	Personal cleanliness	The standard shall require that hand washing procedures be in place to require hand washing, including training and frequency of hand washing.
<b>GAP BI 19</b>	Personal behaviour	The standard shall require that agricultural workers refrain from behaviour that could result in the contamination of food, for example: smoking, spitting, chewing gum or eating or sneezing or coughing over unprotected fresh fruits and vegetables. Personal effects such as jewellery, 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.
<b>GAP BI 20</b>	Equipment associated with growing, harvesting and storage	The standard shall require that growing and harvesting equipment and containers coming into contact with fresh fruit and vegetables be made of materials that are non-toxic and designed and constructed to ensure that they can be cleaned, disinfected and maintained to avoid the contamination of fresh fruits and vegetables.
<b>GAP BI 20.1</b>	Equipment associated with growing, harvesting and storage	The standard shall require that an effective calibration programme be followed for all equipment requiring calibration and posing a food safety risk.
<b>GAP BI 20.2</b>	Equipment associated with growing, harvesting and storage	The standard shall require that equipment be stored in designated area(s) so that it will not contribute to the contamination of products.
<b>GAP BI 21</b>	Growing and harvesting procedures	The standard shall require that effective and appropriate procedures specific to a given crop be in place to prevent contamination (e.g. hilling potatoes during the growing period to prevent greening, surveying the greenhouse for broken glass panes prior to harvesting etc.)
<b>GAP BI 22</b>	Transport	The standard shall require that all bins, containers and vehicles, including contracted out vehicles, used for the transportation of raw materials (including packaging), field product and packed product be suitable for the purpose and do not contribute to cross-contamination.
<b>GAP BI 23</b>	Prevention of cross-contamination	The standard shall require that, during primary production, effective measures be taken to prevent cross-contamination of fresh fruits and vegetables by agricultural inputs or personnel who come directly or indirectly into contact with fresh fruit and vegetables.
<b>GAP BI 24</b>	Storage and transport from the field to storage facilities	The standard shall require that fresh fruits and vegetables be stored and transported under conditions, which minimise the potential for microbial, chemical or physical contamination.

Table IV – Good Agricultural Practice  
Requirements BII

Clause Number	Clause Name	Requirements
<b>GAP BII 1</b>	Agricultural input requirements	The standard shall require that procedures be in place to ensure that agricultural inputs are of adequate quality for the intended use, that application of agricultural inputs is managed properly to minimize the potential for microbial or chemical contamination [as defined under the Codex Alimentarius Recommended International Code of Practice – General Principles of Food Hygiene CAC/RCP1-1969, Rev 4 -2003.] at levels that may adversely affect the safety of grains and pulses and that the producer is required to take into consideration the WHO guidelines on the safe use of wastewater and excreta in agriculture as appropriate.
<b>GAP BII 2</b>	Water for primary production	The standard shall require that procedures be in place to identify the sources of water used on the farm (municipality, re-used irrigation water, well, open canal, reservoir, rivers, lakes, farm ponds etc.) and to assess its microbial and chemical quality and its suitability for the intended use and identify corrective actions to prevent or minimise contamination (e.g. from livestock, sewage treatment, human habitation). Where necessary, water shall be tested for microbial and chemical contaminants. The frequency of testing will depend on the water source and the risks of environmental contamination including intermittent or temporary contamination (e.g. heavy rain, flooding, etc.).
<b>GAP BII 2.1</b>	Water for primary production	The standard shall require that measures be in place to protect agricultural water sources to minimise the risk of contamination. If agricultural water is stored, tanks, containers or cisterns must not be a source of contamination for water or product.
<b>GAP BII 3</b>	Water for irrigation and harvesting	The standard shall require that water used for agricultural purposes be of suitable quality for its intended use.
<b>GAP BII 4</b>	Water for fertilisers, pest control and other agricultural chemicals	The standard shall require that water used for the application of water-soluble fertilisers and agricultural chemicals in the field and indoors does not contain microbial or chemical contaminants at levels that may adversely affect the safety of grain and pulse crops.
<b>GAP BII 5</b>	Manure, bio solids and other natural fertilisers	The standard shall require that there be proper treatment procedures (e.g. composting, pasteurisation, heat drying, UV irradiation, alkali digestion, sun drying, management practices including appropriate delays between application of agricultural inputs and harvesting of the crop or combinations of these) that are designed to reduce or eliminate pathogens in manure, bio solids and other natural fertilisers. As a minimum, the use of untreated bio solids shall be prohibited.
<b>GAP BII 6</b>	Soil	The standard shall require that soils be evaluated for hazards. Control measures shall be implemented to reduce hazards to acceptable levels.

Clause Number	Clause Name	Requirements
<b>GAP BII 7</b>	Agricultural chemicals	The standard shall require that only agricultural chemicals, which are authorised for the cultivation of the specific grains and pulses be used and used according to the manufacturer's instructions, local regulatory requirements and for the intended purpose. Residues shall not exceed levels as established by the Codex Alimentarius Commission or local regulations.
<b>GAP BII 7.1</b>	Agricultural chemicals	The standard shall require that antimicrobial agents not significant to human and animal therapy be used only when unavoidable and in accordance with good agricultural practices and in a manner that achieves this objective.
<b>GAP BII 7.2</b>	Agricultural chemicals	The standard shall require that agricultural workers who apply agricultural chemicals be trained in proper application procedures.
<b>GAP BII 7.3</b>	Agricultural chemicals	The standard shall require that documentation of agricultural chemical applications be maintained. Records shall include information on the date of application, the chemical used, the crop sprayed, the concentration, method and frequency of application and records on harvesting to verify that the time between application and harvesting meets the required withholding period. Agricultural chemicals shall be stored in a safe, well ventilated place, away from production areas, living areas and harvested crops and disposed of in a manner that does not pose a risk of contaminating crops.
<b>GAP BII 8</b>	Biological control	The standard shall require that only biological controls, which are authorised for the cultivation of the specific grains and pulses be used and are used according to the manufacturer's instructions for their intended purpose.
<b>GAP BII 9</b>	Location, design and layout	The standard shall require that structures be located, designed and constructed to avoid contaminating grains and pulses during handling and storage and to avoid the harbouring pests such as insects, rodents and birds. Where appropriate, the internal design and layout shall permit compliance with good hygiene practices for the production, storage and handling of grains and pulses, including protection against cross-contamination between and during operations.



Clause Number	Clause Name	Requirements
<b>GAP BII 10</b>	Personnel hygiene and sanitary facilities	The standard shall require that hygienic and sanitary facilities be available and maintained to avoid contamination of the growing sites, stored products or agricultural inputs. These facilities should be located in close proximity to the fields and indoor premises and in a sufficient number to accommodate the personnel.
<b>GAP BII 11</b>	Water supply	The standard shall require that an adequate supply of potable or clean water with appropriate facilities for its storage and distribution be available in sanitary facilities.
<b>GAP BII 12</b>	Drainage and waste disposal	The standard shall require that adequate drainage and waste disposal systems and facilities be provided. Systems shall be designed and constructed to avoid potential for the contamination of harvested crops, agricultural inputs or the potable water supply.
<b>GAP BII 13</b>	Personnel training	The standard shall require that a training system be in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.
<b>GAP BII 14</b>	Personnel health and hygiene	The standard shall require that there be hygiene and health requirements in place to ensure that personnel who come directly into contact with crops during or after harvesting are not likely to contaminate them. Visitors shall adhere to the other personal hygiene provisions in this section.
<b>GAP BII 15</b>	Health status	The standard shall require that people known, or suspected to be suffering from, or to be a carrier of a disease or illness likely to be transmitted through grains and pulses, not be allowed to enter any food handling area. Any person so affected shall immediately report illness or symptoms of illness to management.
<b>GAP BII 16</b>	Personal cleanliness	The standard shall require that hand washing procedures be in place to require hand washing, including training and frequency of hand washing.

Clause Number	Clause Name	Requirements
<b>GAP BII 17</b>	Personal behaviour	The standard shall require that agricultural workers refrain from behaviour that could result in the contamination of food, for example: smoking, spitting, chewing gum or eating or sneezing or coughing over unprotected grains and pulses. Personal effects such as jewellery, watches or other items shall not be worn or brought into production and storage areas if they pose a threat to the safety and suitability of the food.
<b>GAP BII 18</b>	Equipment associated with growing, harvesting and storage	The standard shall require that growing, harvesting, and storage equipment and containers coming into contact with grain and pulse crops be made of materials that are non-toxic and designed and constructed to ensure that they can be cleaned, disinfected and maintained to avoid contamination.
<b>GAP BII 18.1</b>	Equipment associated with growing, harvesting and storage	The standard shall require that an effective calibration programme be followed for all equipment requiring calibration and posing a food safety risk.
<b>GAP BII 18.2</b>	Equipment associated with growing, harvesting and storage	The standard shall require that equipment be stored in designated area(s) so that it will not contribute to the contamination of product.
<b>GAP BII 19</b>	Growing and harvesting procedures	The standard shall require that effective and appropriate procedures specific to a given crop be in place to prevent contamination.
<b>GAP BII 20</b>	Transport	The standard shall require that all vehicles, including contracted out vehicles, used for the transportation of raw materials (including packaging) and product be suitable for the purpose and not contribute to cross-contamination.
<b>GAP BII 21</b>	Prevention of cross-contamination	The standard shall require that, during primary production, effective measures be taken to prevent cross-contamination from agricultural inputs or personnel who come directly or indirectly into contact with harvested crops.
<b>GAP BII 22</b>	Storage and transport from the field to storage facilities	The standard shall require that harvested grain and pulse crops be stored and transported under conditions, which minimise the potential for microbial, chemical or physical contamination.

Table V – Good Manufacturing Practice

## Requirements C

Clause Number	Clause Name	Requirements
<b>GMP C 1</b>	Facility environment	The standard shall require that the site or facility be located and maintained so as to prevent contamination and enable the production of safe products.
<b>GMP C 2</b>	Local environment	The standard shall require that all grounds within the site or facility be maintained to an appropriate standard.
<b>GMP C 3</b>	Facility design, construction, layout and product flow	The standard shall require that premises, site and / or plant be designed, constructed and maintained, both the exterior and the interior, to control the risk of product contamination.
<b>GMP C 4</b>	Fabrication (input and material handling, preparation, product handling, packing and storage areas)	The standard shall require that the fabrication of the site, buildings and facilities be suitable for the intended purpose.
<b>GMP C 5</b>	Equipment	The standard shall require that equipment be suitably designed for the intended purpose and shall be used and stored so as to minimise food safety risks.
<b>GMP C 6</b>	Maintenance	The standard shall require that a system of planned maintenance be in place covering all items of equipment, which are critical to product safety.
<b>GMP C 7</b>	Staff facilities	The standard shall require that staff facilities be designed and operated so as to minimise food safety risks.
<b>GMP C 8</b>	Inspection	The standard shall require an inspection process to be in place at lairage and/or at evisceration to ensure animals are fit for human consumption
<b>GMP C 9</b>	Physical and chemical product contamination risk	The standard shall require that appropriate facilities and procedures be in place to control the risk of physical, chemical or biological contamination of products intended for human consumption.



Clause Number	Clause Name	Requirements
<b>GMP C 10</b>	Segregation and cross-contamination	The standard shall require that procedures be in place to prevent contamination and cross-contamination of carcass and parts.
<b>GMP C 11</b>	Stock management	The standard shall require that a system be in place to ensure that materials and ingredients are used in the correct order and within the allocated shelf life.
<b>GMP C 12</b>	Housekeeping, cleaning and hygiene	The standard shall require that appropriate standards of housekeeping, cleaning and hygiene be maintained at all times and throughout all the stages. Cleaning materials shall be suitable for their intended use and stored appropriately.
<b>GMP C 13</b>	Water quality and utility management (including ice)	The standard shall require that the quality of water (including steam and ice) that comes into contact with food, be regularly monitored and shall present no risk to product safety. Water for post-harvest washing shall be potable. Potable water shall be used and checked for contaminants at an appropriate frequency. Where applicable, storage of water and storage and handling of ice shall occur so as to prevent contamination.
<b>GMP C 14</b>	Waste management	The standard shall require that adequate systems be in place for the collation, collection and disposal of waste material.
<b>GMP C 15</b>	Pest control	The standard shall require that a system be in place for controlling or eliminating the risk of pest infestation on the site or in the facilities.
<b>GMP C 16</b>	Post slaughter chilling and freezing	The standard shall require defined post slaughter time /temperature requirements to be in place in relation to the chilling or freezing of product.
<b>GMP C 17</b>	Storage	The standard shall require that product be stored, temporarily stored and transported under conditions, which minimise the potential for microbial, chemical or physical contamination.
<b>GMP C 18</b>	Transport	The standard shall require that all vehicles, including contracted out vehicles, used for the transportation of finished product be suitable for the purpose and do not contribute to the risk of cross-contamination.

Clause Number	Clause Name	Requirements
<b>GMP C 19</b>	Personal hygiene, protective clothing and medical screening	The standard shall require that documented personal hygiene standards based on risk of product contamination be in place and personnel trained in them. Hand washing and toilet facilities shall be provided. Suitable and appropriate protective clothing shall be provided. A medical screening procedure shall be in place. In all cases, these requirements shall also apply to contractors and visitors.
<b>GMP C 20</b>	Training	The standard shall require that a system be in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.

Table VI – Good Manufacturing Practice

Requirements D

Clause Number	Clause Name	Requirements
<b>GMP D 1</b>	Facility environment	The standard shall require that the site or facility be located and maintained so as to prevent contamination and enable the production of safe products.
<b>GMP D 2</b>	Local environment	The standard shall require that all grounds within the site or facility be maintained to an appropriate standard.
<b>GMP D 3</b>	Facility design, construction, layout and product flow	The standard shall require that premises, site and / or plant shall be designed, constructed and maintained, both the exterior and the interior, to control the risk of product contamination.
<b>GMP D 4</b>	Fabrication (input and material handling, preparation, product handling, packing and storage areas)	The standard shall require that the fabrication of the site, buildings and facilities be suitable for the intended purpose.
<b>GMP D 5</b>	Equipment	The standard shall require that equipment be suitably designed for the intended purpose and is used and stored so as to minimise food safety risks.

Clause Number	Clause Name	Requirements
<b>GMP D 6</b>	Maintenance	The standard shall require that a system of planned maintenance be in place covering all items of equipment, which are critical to product safety.
<b>GMP D 7</b>	Staff facilities	The standard shall require that staff facilities be designed and operated so as to minimise food safety risks.
<b>GMP D 8</b>	Physical and chemical product contamination risk	The standard shall require that appropriate facilities and procedures be in place to control the risk of physical, chemical or biological contamination of product.
<b>GMP D 9</b>	Segregation and cross-contamination	The standard shall require that procedures be in place to prevent contamination and cross-contamination of raw materials, packaging and finished product, covering all aspects of food safety including micro-organisms, chemicals and allergens.
<b>GMP D 10</b>	Housekeeping, cleaning and hygiene	The standard shall require that appropriate standards of housekeeping, cleaning and hygiene be maintained at all times and throughout all the stages. Cleaning materials shall be suitable for the intended use and stored appropriately.
<b>GMP D 11</b>	Water quality and utility management (including ice)	The standard shall require that the quality of water (including steam and ice) that comes into contact with food, be regularly monitored and shall present no risk to product safety. Water for post harvest washing shall be potable. Potable water shall be used and checked for contaminants at an appropriate frequency. Where applicable, storage of water and storage and handling of ice shall occur so as to prevent contamination.
<b>GMP D 12</b>	Waste management	The standard shall require that adequate systems be in place for the collation, collection and disposal of waste material.
<b>GMP D 13</b>	Pest control	The standard shall require that a system be in place for controlling or eliminating the risk of pest infestation on the site or in the facilities.
<b>GMP D 14</b>	Transport	The standard shall require that all containers and vehicles, including contracted out vehicles, used for the storage and transportation of raw materials (including packaging), intermediate / semi-processed product and finished product (including packed, fresh product in final packaging) be suitable for the purpose and maintained in good repair and be clean.

Clause Number	Clause Name	Requirements
<b>GMP D 15</b>	Personal hygiene, protective clothing and medical screening	The standard shall require that documented personal hygiene standards based on risk of product contamination be in place and personnel trained in them. Hand washing and toilet facilities shall be provided. Suitable and appropriate protective clothing shall be provided. A medical screening procedure shall be in place. In all cases these requirements shall also apply to contractors and visitors.
<b>GMP D 16</b>	Training	The standard shall require that a system be in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.
<b>GMP D 17</b>	Packing and storage of product	The standard shall require that packaging materials be obtained with knowledge of origin, be appropriate for use and are used and stored so as not to be a source of contamination to product. Product shall be handled, sorted, graded and packed in a manner that minimises sources of biological, chemical and physical contamination. Product shall be held or stored in designated areas and handled under the proper conditions to minimise contamination.

Table VII – Good Manufacturing Practice

Requirements EI, EII, EIII, EIV and L

Clause Number	Clause Name	Requirements
<b>GMP EL 1</b>	Facility environment	The standard shall require that the site or facility be located and maintained so as to prevent contamination and enable the production of safe products.
<b>GMP EL 2</b>	Local environment	The standard shall require that all grounds within the site or facility be maintained to an appropriate standard.
<b>GMP EL 3</b>	Facility design, construction, layout and product flow	The standard shall require that premises, site and / or plant be designed, constructed and maintained, both the exterior and the interior, to control the risk of product contamination.
<b>GMP EL 4</b>	Fabrication (input and material handling, preparation, product handling, packing and storage areas)	The standard shall require that the fabrication of the site, buildings and facilities be suitable for the intended purpose.

Clause Number	Clause Name	Requirements
<b>GMP EL 5</b>	Equipment	The standard shall require that equipment be suitably designed for the intended purpose and shall be used and stored so as to minimise food safety risks.
<b>GMP EL 6</b>	Maintenance	The standard shall require that a system of planned maintenance be in place covering all items of equipment, which are critical to product safety.
<b>GMP EL 7</b>	Staff facilities	The standard shall require that staff facilities be designed and operated so as to minimise food safety risks.
<b>GMP EL 8</b>	Physical and chemical product contamination risk	The standard shall require that appropriate facilities and procedures be in place to control the risk of physical, chemical or biological contamination of product.
<b>GMP EL 9</b>	Segregation and cross-contamination	The standard shall require that procedures be in place to prevent contamination and cross-contamination of raw materials, packaging and finished product, covering all aspects of food safety including micro-organisms, chemicals and allergens.
<b>GMP EL 10</b>	Stock management	The standard shall require that a system be in place to ensure that materials and ingredients are used in the correct order and within the allocated shelf life.
<b>GMP EL 11</b>	Housekeeping, cleaning and hygiene	The standard shall require that appropriate standards of housekeeping, cleaning and hygiene be maintained at all times and throughout all the stages. Cleaning materials shall be suitable for their intended use and stored appropriately.
<b>GMP EL 12</b>	Water quality and utility management (including ice)	The standard shall require that the quality of water (including steam and ice) that comes into contact with food, be regularly monitored and shall present no risk to product safety. Water for post-harvest washing shall be potable. Potable water shall be used and checked for contaminants at an appropriate frequency. Where applicable, storage of water and storage and handling of ice shall occur so as to prevent contamination.
<b>GMP EL 13</b>	Waste management	The standard shall require that adequate systems be in place for the collation, collection and disposal of waste material.

Clause Number	Clause Name	Requirements
<b>GMP EL 14</b>	Pest control	The standard shall require that a system be in place for controlling or eliminating the risk of pest infestation on the site or in the facilities.
<b>GMP EL 15</b>	Transport	The standard shall require that all vehicles, including contracted out vehicles, used for the transportation of raw materials (including packaging), intermediate / semi-processed product and finished product (including packed, fresh product in final packaging) shall be suitable for the purpose, maintained in good repair and be clean.
<b>GMP EL 16</b>	Personal hygiene, protective clothing and medical screening	The standard shall require that documented personal hygiene standards based on risk of product contamination be in place and personnel trained in them. Hand washing and toilet facilities shall be provided. Suitable and appropriate protective clothing shall be provided. A medical screening procedure shall be in place. In all cases, these requirements shall also apply to contractors and visitors.
<b>GMP EL 17</b>	Training	The standard shall require that a system be in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.

## Table VIII – Good Manufacturing Practice

### Requirements F

Clause Number	Clause Name	Requirements
<b>GMP FD 1</b>	Facility environment	The standard shall require that the site and/or facility be located and maintained so as to prevent contamination and enable the production of safe products.
<b>GMP FD 2</b>	Local environment	The standard shall require that all grounds within the site be maintained to ensure feed safety is not compromised.
<b>GMP FD 3</b>	Facility design and construction	The standard shall require that the facility be designed, constructed and maintained, both the exterior and the interior, to control the risk of feed contamination and be suitable for the intended purpose.
<b>GMP FD 4</b>	Equipment	The standard shall require that equipment be suitably designed and constructed for the intended purpose and shall be used and stored so as to minimise feed safety risks.
<b>GMP FD 5</b>	Maintenance	The standard shall require that a system of planned maintenance be in place addressing facility and equipment, which are critical to feed safety.
<b>GMP FD 6</b>	Staff facilities	The standard shall require that staff facilities be designed and operated so as to minimise feed safety risks.
<b>GMP FD 7</b>	Contamination and cross contamination control	The standard shall require that appropriate facilities and procedures be in place to control the risk of physical, chemical or biological contamination and cross contamination of raw materials, ingredients, packaging and feed.
<b>GMP FD 8</b>	Management of medication	Where applicable, the standard shall require procedures and control measures to be in place to manage the use of feed medication.
<b>GMP FD 9</b>	Inventory Management	The standard shall require that a system be in place to ensure raw materials, ingredients and feed are used and/or shipped to minimize feed safety risks.



Clause Number	Clause Name	Requirements
<b>GMP FD 10</b>	Housekeeping, cleaning and hygiene	The standard shall require that appropriate standards of housekeeping, cleaning and hygiene be implemented and maintained using a predetermined and documented cleaning schedule. Cleaning materials shall be suitable for their intended use and stored appropriately.
<b>GMP FD 11</b>	Utilities	The standard shall require a system be in place to manage feed safety risk, where air, compressed air and water (including steam) may come into contact with raw materials, ingredients, packaging and feed.
<b>GMP FD 12</b>	Waste management	The standard shall require that a system be in place for the collection, storage, and disposal of waste material.
<b>GMP FD 13</b>	Pest control	The standard shall require that a system be in place for the control of pests.
<b>GMP FD 14</b>	Transport	The standard shall require that all vehicles used for the transportation of raw materials, ingredients packaging, and feed be suitable for the intended purpose and maintained to minimize feed safety risks.
<b>GMP FD 15</b>	Personal hygiene	The standard shall require that documented personal hygiene standards based on risk of product contamination be in place; these requirements shall also apply to contractors and visitors.
<b>GMP FD 16</b>	Training	The standard shall require that a system be in place to ensure that all employees are adequately trained, instructed and supervised in feed safety principles and practices, commensurate with their activity.
<b>GMP FD 17</b>	Formulation of product	Where applicable the standard shall require that procedures be in place to ensure feed is formulated/designed for the intended use. Use of ingredients that contain substances that can be deleterious to certain classes of animals shall be appropriately managed.
<b>GMP FD 18</b>	Rework control	The standard shall require that procedures be in place to ensure rework is managed as not to compromise feed safety, traceability and regulatory compliance.



Table IX – Good Distribution Practice

Requirements J

Clause Number	Clause Name	Requirements
<b>GDP J 1</b>	Facility and environment	The standard shall require that the site or facility be located and maintained to prevent contamination of the products and enable the safe receipt, storage and distribution of products. The standard shall require that all grounds within and around the site or facility be maintained in such a way to prevent the introduction of potential hazards and maintain product integrity.
<b>GDP J 2</b>	Environmental conditions	The standard shall address time, temperature, humidity and other relevant environmental conditions that affect Food Safety.
<b>GDP J 3</b>	Facility design, construction, layout	The standard shall require that both exterior and interior premises of the site and/or facility shall be designed, laid out, constructed and maintained to prevent the introduction of potential food safety hazards, and maintain required environmental conditions, including temperature and humidity controls. The standard shall require that the materials of construction for the site, buildings and facilities be suitable for the intended purpose.
<b>GDP J 4</b>	Equipment	The standard shall require that equipment is designed for the intended purpose and be used, maintained and stored so as to minimise food safety risks.
<b>GDP J 5</b>	Maintenance	The standard shall require that a system of planned maintenance be in place covering all items of equipment, which are critical to product safety and used to receive, store and distribute products.
<b>GDP J 6</b>	Staff facilities	The standard shall require that staff facilities, such as toilets, lunch facilities, changing/locker rooms are designed and operated to minimise food safety risks.
<b>GDP J 7</b>	Product contamination risk	The standard shall require facilities and procedures be in place to control the risk of product contamination (for example physical, chemical, biological, allergen or other contamination of product.)
<b>GDP J 8</b>	Stock rotation	The standard shall require that a system be in place to ensure that materials and ingredients are used and delivered within the allocated shelf-life.
<b>GDP J 9</b>	Housekeeping, cleaning and hygiene	The standard shall require that criteria for housekeeping, cleaning and hygiene to ensure safe food be defined and maintained throughout all the stages of the process with documentation for the effectiveness of the cleaning. Cleaning materials shall be suitable for intended use and stored appropriately.

Clause Number	Clause Name	Requirements
<b>GDP J 10</b>	Air, water quality and utility management (including ice)	The standard shall require that the quality of air, compressed air and water in any form that comes into direct contact with food or food packaging shall present no risk to product safety. Water suitable for the operation, shall be used. Where applicable, storage of water and storage and handling of ice shall occur so as to prevent contamination. Air flow shall include consideration for environmental contaminants.
<b>GDP J 11</b>	Waste management	The standard shall require that systems be in place for the collection and disposal of waste material for both food and non food waste.
<b>GDP J 12</b>	Pest management	The standard shall require that a system be in place for controlling the risk of pest infestation on the site or in the facilities.
<b>GDP J 13</b>	Distribution (transport and shipping)	The standard shall require that all transport containers be maintained in good repair, secured and at required environmental conditions, and be clean to control the risk product contamination (for example biological, physical, chemical and other allergen contamination of product)
<b>GDP J14</b>	Personal health and hygiene	The standard shall require that documented personal hygiene and health standards based on risk of product contamination shall be in place and personnel trained in them. Hand washing and toilet facilities shall be provided. Procedures shall be in place for contractors and visitors.
<b>GDP J 15</b>	Training	The standard shall require that a system is in place to ensure that all employees are adequately trained, instructed and supervised in hygiene, product condition food safety principles and practices and allergen management, commensurate with their activity. The effectiveness of the training is monitored. Procedures shall be in place for contractors and visitors.
<b>GDP J 16</b>	Product identification	The standard shall require that all products are identified to enable the safe handling, receiving, storage and distribution within the food supply chain.
<b>GDP J 17</b>	Traceability	The standard shall require that the organisation establish, implement and maintain appropriate traceability procedures and systems to include the material source (one stage back) and the customer (one stage forward) and to ensure: <ul style="list-style-type: none"> <li>▲ Product identification includes a unique product identifier</li> <li>▲ Record of purchaser and delivery destination for all products supplied.</li> <li>▲ The system is tested regularly.</li> </ul>

Table X – Good Manufacturing Practice

Requirements M

Clause Number	Clause Name	Requirements
<b>GMP M 1</b>	Facility	The standard shall require that the site or facility shall be located and maintained to prevent contamination of the packaging materials and enable the production of safe products. The standard shall require that the manufacturing process is controlled throughout in order to ensure that the packaging material produced is food safe.
<b>GMP M 2</b>	Local environment	The standard shall require that all grounds within the site or facility shall be maintained to an appropriate standard.
<b>GMP M 3</b>	Facility design, construction, layout and product flow	The standard shall require that premises, site and/or plant shall be designed, constructed and maintained, both exterior and interior, to control the risk of packaging material contamination.
<b>GMP M 4</b>	Fabrication including raw materials intake manufacturing process, storage and dispatch.	The standard shall require that the fabrication of the site, buildings and facilities be suitable for the intended purpose.
<b>GMP M 5</b>	Equipment	The standard shall require that equipment is suitably designed and validated for the intended purpose and be used and stored so as to minimise food safety risks from packaging materials.
<b>GMP M 6</b>	Maintenance	The standard shall require that a system of planned maintenance be in place covering all items of equipment, which is used to produce food safe packaging.
<b>GMP M 7</b>	Staff facilities	The standard shall require that staff facilities, such as toilets, lunch facilities, changing/locker rooms are designed and operated to minimise food safety risks. The standard shall require staff and visitor access definitions and include visitor and contractor control.
<b>GMP M 8</b>	Product contamination risk	The standard shall require that appropriate facilities and procedures be in place to control the risk of physical, chemical, biological or allergen contamination of product.
<b>GMP M 9</b>	Segregation and cross-contamination	The standard shall require that procedures are in place to prevent contamination and cross-contamination of product including the possibility of contamination from recycled materials and mixing of raw materials if the effect of the material gives rise to food safety issues.

Clause Number	Clause Name	Requirements
<b>GMP M 10</b>	Housekeeping, cleaning and hygiene	The standard shall require that appropriate standards of housekeeping, cleaning and hygiene be maintained at all times and throughout all the stages with validation and recording of the effectiveness of the cleaning. Cleaning materials shall be suitable for intended use and stored appropriately.
<b>GMP M 11</b>	Air and water quality management	The standard shall require that the quality of air, compressed air and water (including steam) that comes into contact with packaging material shall present no risk to product safety. Clean water, suitable for the process, shall be used. Where applicable, storage of water shall occur so as to prevent contamination.
<b>GMP M 12</b>	Waste management	The standard shall require that adequate systems be in place for the collation, collection and disposal of waste material.
<b>GMP M 13</b>	Pest control	The standard shall require that a system be in place for controlling or eliminating the risk of pest infestation on the site or in the facilities.
<b>GMP M 14</b>	Transport	The standard shall require that all vehicles, including contracted out vehicles, used for the transportation of raw materials or packaging materials, intermediate/semi processed product and finished product shall be suitable for the purpose, maintained in good repair and be clean. There shall be no potential for contamination from other materials carried on the same vehicle. Hazards and risk shall be considered.
<b>GMP M 15</b>	Personal hygiene, protective clothing/ workwear and medical screening	The standard shall require that documented personal hygiene standards based on risk of product contamination shall be in place. Hand washing and toilet facilities shall be provided. Suitable and appropriate protective clothing shall be provided. A medical screening procedure may be in place. In all cases these requirements shall also apply to contractors and visitors.
<b>GMP M 16</b>	Training	The standard shall require that an effective system is in place to ensure that all employees are adequately trained and instructed and the effectiveness of the training is monitored in packaging hygiene, quality and food safety principles and practices, commensurate with their activity.
<b>GMP M 17</b>	Packaging and storage of product	The standard shall require that packaging material shall be packaged, handled, segregated in a manner that minimizes sources of physical, chemical, biological and allergen contamination. Product shall be held or stored in designated areas and handled under the proper conditions to minimize contamination.
<b>GMP M 18</b>	Trademarked material	The standard shall require that a system be in place to control the disposal of trademarked material.

Clause Number	Clause Name	Requirements
<b>GMP M 19</b>	Product recall/withdrawal	The standard shall require that a system be in place to manage product recall and withdrawal. The system shall be recorded and tested at an appropriate frequency.
<b>GMP M 20</b>	Inventory management	The standard shall require that a system be in place to ensure materials and ingredients are used in the correct order and within the allocated shelf life.
<b>GMP M 21</b>	Allergens	The standard shall require that the use of any known allergens used in packaging manufacture are identified, recorded and labelled accordingly.
<b>GMP M 22</b>	Material claims	The standard shall require that where recycled material, plant based material or functional additives are used there shall be sufficient data to ensure safe food contact and documentation of claims.
<b>GMP M 23</b>	Printed materials management	The standard shall require that where packaging materials are printed with product ingredient list(s), allergens, identification code and other critical information, they shall be managed in a manner that prevents misprinting. The standard shall require that the organisation has controls in place to ensure printed materials are not mixed or intermingled including in-process and re-worked materials.

# SECTION 3

## HACCP OR HAZARD BASED REQUIREMENTS

Table I – HACCP

Requirements AI, All, BI and BII

Clause Number	Clause Name	Requirements
<b>HACCP AB 1</b>	Hazard Analysis and Critical Control Point (HACCP)	<p>The standard shall require that the organisation have in place a HACCP or HACCP based system including pre-requisite programmes. It shall prescribe the measures taken to apply those critical controls to assure, monitor and maintain food safety. The HACCP-based system shall:</p> <ul style="list-style-type: none"> <li>i. Be prepared in accordance with Codex or NACMCF HACCP development methodology and</li> <li>ii. Cover a product or a product grouping and its production and</li> <li>iii. Include documented Standard Operating Practices (SOP's) and Work Instructions (WI's) as required and applicable to the organisation's Scope of Certification. The results of the hazard analysis shall demonstrate food safety management.</li> </ul> <p>The scope of the HACCP or HACCP based system shall be required to be defined per product or product grouping and per production type.</p>

Table II – HACCP

Requirements C and D

Clause Number	Clause Name	Requirements
<b>HACCP CD 1</b>	Hazard Analysis and Critical Control Point (HACCP)	<p>The standard shall require that the organisation have in place a HACCP or HACCP based system including prerequisite programmes, to demonstrate food safety management. The HACCP based system shall be systematic, comprehensive and thorough and shall be based on the Codex Alimentarius HACCP principles or those principles specified by the National Advisory Committee on Microbiological Criteria for Foods (NACMCF). The HACCP based system shall be capable of accommodating change, such as advances in equipment design, processing procedures or technological developments. The hazard analysis, where appropriate, shall include allergens.</p> <p>The 7 Codex Alimentarius HACCP principles and all 12 HACCP implementation steps must be implemented and documented and shall apply for all processes except for some cases of handling where the hazard analysis outcome may show that not all of the HACCP principles are necessary.</p> <p>The scope of the HACCP based system shall be required to be defined per product / product category and per production line / production location.</p>



Table III – HACCP

Requirements EI, EII, EIII, EIV and L

Clause Number	Clause Name	Requirements
<b>HACCP EI 1</b>	Hazard Analysis and Critical Control Point (HACCP)	<p>The standard shall require that the organisation have in place a Hazard Analysis and Critical Control Point system (HACCP) to demonstrate food safety management. The HACCP system shall be systematic, comprehensive and thorough and shall be based on the Codex Alimentarius HACCP principles or those principles specified by the National Advisory Committee on Microbiological Criteria for Foods (NAMCMF). The HACCP system shall be capable of accommodating change, such as advances in equipment design, processing procedures or technological developments. The hazard analysis, where appropriate, shall include allergens.</p> <p>In all cases, the 7 Codex Alimentarius HACCP principles and the 12 step logic sequence for application of HACCP specified in the document, Recommended International Code of Practice – General Principles of Food Hygiene CAC/RCP 1-1969, Rev. 4 -2003, shall apply.</p> <p>The scope of the HACCP system shall be required to be defined per product / product category and per process line / process-location.</p>

Table IV – HACCP

Requirements F

Clause Number	Clause Name	Requirements
<b>HACCP FD 1</b>	HACCP Based System	<p>The standard shall require that the organisation have in place a HACCP based system including prerequisite programmes, to demonstrate food safety management. The HACCP based system shall be based on the Codex Alimentarius HACCP principles. The HACCP based system shall be capable of accommodating change, such as advances in equipment design, processing procedures or technological developments.</p> <p>The scope of the HACCP based system shall be required to be defined per product / product category and per production line / production-location.</p>

Table V – HACCP

Requirements J

Clause Number	Clause Name	Requirements
<b>HACCP J1</b>	Hazard and Risk Management System	The standard shall require that the organisation have in place a Hazard and Risk Management system including pre-requisite programmes. This may be a HACCP based system or another Hazard and Risk Management system that covers the Codex Alimentarius HACCP principles.

Table VI – HACCP

Requirements M

Clause Number	Clause Name	Requirements
<b>HACCP M 1</b>	Hazard and Risk Management System	The standard shall require that the organisation have in place a Hazard and Risk Management system including pre-requisite programmes. This may be a HACCP based system or another Hazard and Risk Management system that covers the Codex Alimentarius HACCP principles. The scope of the Hazard and Risk Management system shall cover all processes of the materials encompassed within the standard to ensure that none of their components parts or the whole material could compromise food safety.



# SECTION 4

## CERTIFICATION OF MULTI-SITE ORGANISATIONS BASED ON SAMPLING

### 4.1 General

The GFSI Guidance Working Group undertook a review of the scopes of recognition, and it has been agreed that only the following scopes of recognition shall be considered for certification of multi-site organizations, based on a sampling of the sites.

These scopes are listed in the following table.

GFSI Scope	Category Name	Comments
AI	Farming of Animals for Meat/ Milk/ Eggs/ Honey	To be agreed
AII	Farming of Fish and Seafood	To be agreed
BI	Farming of Plants (other than grains and pulses)	Agreed
BII	Farming of Grains and Pulses	Agreed
D	Pre-process handling of plant products, nuts and grain	Dependent upon process risk
G	Catering	To be agreed
H	Retail / Wholesale	To be agreed
I	Provision of Food Safety Services	To be agreed
J	Provision of Storage and Distribution Services	Agreed

It must be stressed that certification of multi-site organizations based on sampling is not compulsory for a scheme owner within these scopes of recognition and a scheme owner may opt for single site certification only. However where a scheme owner permits the use of certification of multi-site organizations based on sampling, then the requirements defined in the sector specific sections below shall be in place.

Each sector-specific Working Group shall develop the requirements for certification of multi-site organizations based on sampling as part of their mandate from the GFSI Board, and these shall be incorporated in future versions of the GFSI Guidance Document.

### 4.2 Scope of Recognition BI (Farming of Grains and Pulses) and BII (Farming of Plants [other than grains and pulses])

The scheme owner shall clearly specify the conditions for single or multi-site sampling within their normative documents and may accept both forms of certification. However, where certification of multi-site organisations is accepted, the requirements shall be clearly defined and the following criteria shall be in place in relation to the certification of a multi-site organisation under one certificate (more than one site is named on one certificate):

1. The organisation shall request multi-site sampling in their application to the certification body.
2. The organisation's central controlling organisation or central function shall be contracted to the certification body and not individual sites. The organisation's central controlling organisation or central function shall be part of the organisation's certification programme.
3. All sites shall be located within one country.
4. All sites must be operated under the same food safety management system and under the control of a central controlling organisation or central function, which has a legal or contractual link to the sites.
5. The central controlling organisation or central function shall have in place sufficient management and technical capacity to implement and maintain the internal audit programme.
6. The central controlling organisation or central function shall have authoritative control of the food safety management system of all sites and shall issue, maintain and retain all relevant documents relating to the sites within the sampling programme.
7. The central controlling organisation or central function shall be subject to management review in accordance with scheme requirements and shall be itself be subject to internal audit in accordance with scheme requirements.
8. The central controlling organisation or central function shall be audited by the certification body at least annually and before the certification body undertakes the auditing of sample sites.
9. All sites within a multi-site sampling programme shall have the same risk profile (e.g. product, size of site, shift patterns, management structure and staff numbers). Therefore, it is recognised that an organization could have several multi-site sampling programmes based on different risk profile, but these programmes shall be clearly defined and documented.
10. There must be an internal audit programme for all sites undertaken by the central controlling organisation or central function, which is based on risk profile. Within the internal audit sampling programme **all** sites shall be audited at least annually. The internal audit programme shall have documented procedures and be both practical and feasible in operative terms.
11. The certification body audit sampling programme shall be reviewed and undertaken annually against defined sample size.
12. The sampling size of the certification body audit sampling programme shall be the square root of the number of sites (rounded to the upper whole number) in accordance with principles defined in IAF MD1:2007 and the sample size shall meet the requirements defined in the table below:

No of Sites	Sample Size
20-25	5
26-50	8
51-100	10
101-250	16

No of Sites	Sample Size
251-500	23
501-1000	32
Over 1000	Calculated

The programme shall be partly selective and partly non-selective, but at least 25% of the sample shall be randomly selected from the total number of sites. In relation to the selected sites, these shall be identified by reference to the organisation's internal audit programme findings and the individual site risk profiles (e.g. product, size of site, shift patterns, management structure, complaints, site modification, management changes and staff numbers).

In the event that non conformities are found when auditing sites, which may not jeopardise certification but may raise concerns on conformity of the multi-site organisation, the certification body shall increase the sampling size to ensure adequate confidence in the conformity of the supplier.

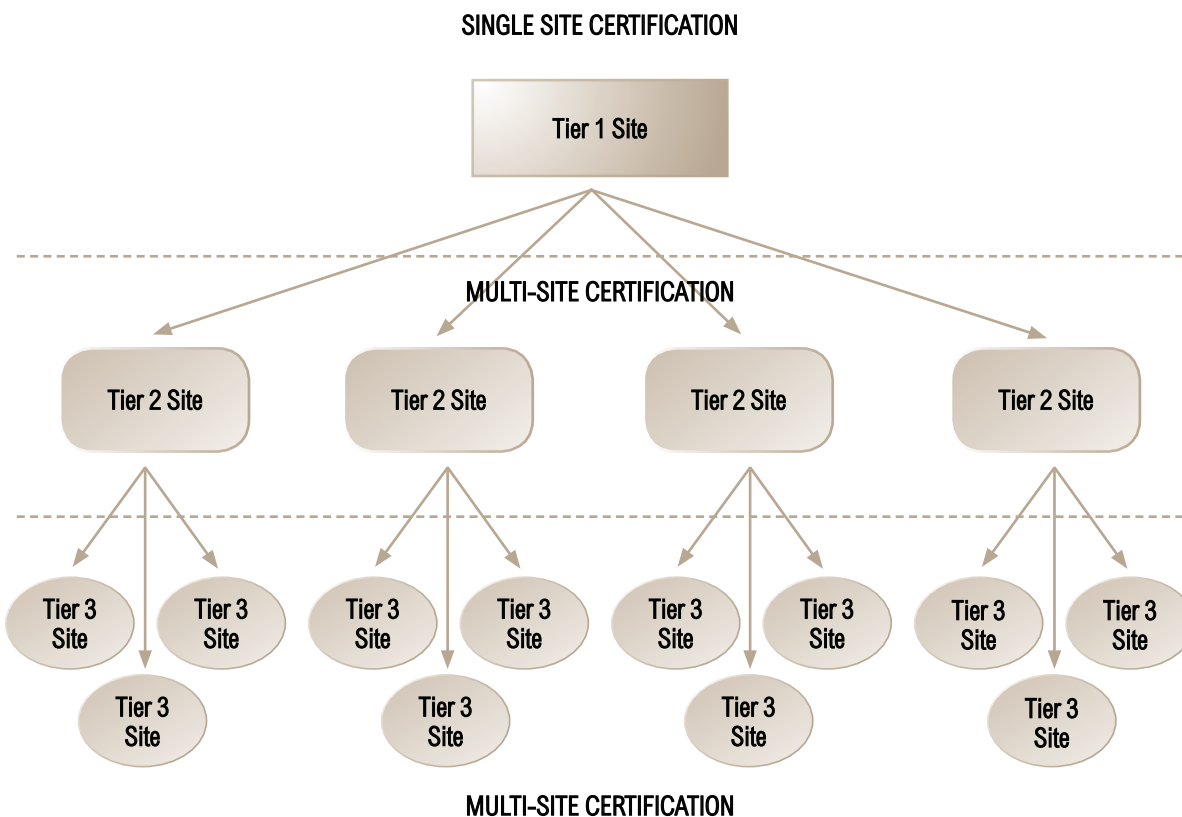
13. Non conformities shall be assessed by the certification body to ascertain if these indicate an overall food safety system deficiency and therefore may be applicable to all or other sites. If non conformities relate to all or other sites, corrective action shall be undertaken and verified both by the central controlling organisation or central function and by the certification body.

14. If the central controlling organisation, central function or any site fails to meet the certification scheme requirements, then the whole multi-site organisation will fail to gain certification. Where certification has previously been in place, this shall initiate the certification body's process to suspend or withdraw its certification.

### 4.3 Scope of Recognition J (Provision of Storage and Distribution Services)

#### Characteristics of the tiers/areas in the Storage and Distribution sector where multi-site certification is applicable

The GFSI Working Group for the Key elements for Storage and Distribution recognised that in the Storage and Distribution sector there is often a hierarchical operational structure within individual organisations, leading to the development of a system or network of satellite sites, which differ in relation to size and function. The Working Group also recognized that given the variability in number, size and complexity of the operations in these satellite sites, a multi-site certification based approach would not only be practical but desirable. For simplification purposes, a typical Storage and Distribution organisational structure has been divided into 'tiers' that represent the size and function of the sites.



These are typically:

**Tier 1 (T1): Main/ National/ Regional Distribution Centres or Central Warehouses [No multi-site sampling option available]**

**Tier 2 (T2) and Tier (T3): Satellite Warehouse, Distribution Hub, Cross Docking site multi-site sampling option available]**

A scheme shall certify each Tier 1 facility site of company's distribution and/or warehouse operations with each T-1 site having its own single certificate. However, a multi-site approach may be used to include all T2 or below (e.g. T3) satellite sites linked to the T-1 organizations' certification.

*NOTE: All sites within the same multi-site sampling programme shall be operating under the same storage conditions (e.g. ambient stable, refrigerated, frozen or combinations of these) **and** have the same risk profile. Therefore, it is recognised that an organization could have several multi-site sampling programmes based on different process and risk profile, but these programmes shall be clearly defined and documented (reference point 9 below).*

The scheme owner shall clearly specify the conditions for single or multi-site sampling within their normative documents and may accept both forms of certification, below Tier 1 sites. However, where certification of multi-site organisations is accepted, the requirements shall be clearly defined and the following criteria shall be in place in relation to the certification of a multi-site organisation under one certificate (more than one site is named on one certificate):

1. The organisation shall request multi-site sampling in their application to the certification body.
2. The organisation's central controlling organisation or central function shall be contracted to the certification body and not individual sites. The organisation's central controlling organisation or central function shall be part of the organisation's certification programme.
3. All sites shall be located within one country.
4. All sites must be operated under the same food safety management system and under the control of a central controlling organisation or central function, which has a legal or contractual link to the sites.
5. The central controlling organisation or central function shall have in place sufficient management and technical capacity to implement and maintain the internal audit programme.
6. The central controlling organisation or central function shall have authoritative control of the food safety management system of all sites and shall issue, maintain and retain all relevant documents relating to the sites within the sampling programme.
7. The central controlling organisation or central function shall be subject to management review in accordance with scheme requirements and shall be itself be subject to internal audit in accordance with scheme requirements.
8. The central controlling organisation or central function shall be audited by the certification body at least annually and before the certification body undertakes the auditing of sample sites.
9. All sites within a multi-site sampling programme shall be operating under the same storage conditions (e.g. ambient stable, refrigerated, frozen or combinations of these) **and** have the same risk profile (e.g. size of site, shift patterns, management structure and staff numbers). Therefore, it is recognised that an organization could have several multi-site sampling programmes based on different process and risk profile, but these programmes shall be clearly defined and documented.
10. There must be an internal audit programme for all sites undertaken by the central controlling organisation or central function, which is based on storage condition and risk profile. Within the internal audit sampling programme **all** sites shall be audited at least annually. The internal audit programme shall have documented procedures and be both practical and feasible in operative terms.
11. The certification body audit sampling programme shall be reviewed and undertaken annually against defined sample size. Within a multi-site sampling programme there shall be a minimum of 20 sites.
12. The sampling size of the certification body audit sampling programme shall be the square root of the number of sites (rounded to the upper whole number) in accordance with principles defined in IAF MD1:2007 and the sample size shall meet the requirements defined in the table below:

No of Sites	Sample Size	No of Sites	Sample Size
20-25	5	251-500	23
26-50	8	501-1000	32
51-100	10	Over 1000	Calculated
101-250	16		

The programme shall be partly selective and partly non-selective, but at least 25% of the sample shall be randomly selected from the total number of sites. In relation to the selected sites, these shall be identified by reference to the organisation's internal audit programme findings and the individual site risk profiles (e.g. size of site, shift patterns, management structure, complaints, site modification, management changes and staff numbers).

In the event that non conformities are found when auditing sites, which may not jeopardise certification but may raise concerns on conformity of the multi-site organisation, the certification body shall increase the sampling size to ensure adequate confidence in the conformity of the supplier.

**13.** Non conformities shall be assessed by the certification body to ascertain if these indicate an overall food safety system deficiency and therefore may be applicable to all or other sites. If non conformities relate to all or other sites, corrective action shall be undertaken and verified both by the central controlling organisation or central function and by the certification body.

**14.** If the central controlling organisation, central function or any site fails to meet the certification scheme requirements, then the whole multi-site organisation will fail to gain certification. Where certification has previously been in place, this shall initiate the certification body's process to suspend or withdraw its certification.

The differing tiers within the Storage and Distribution sector are defined as follows;

**Tier 1 (T1) facility: Main/ National/ Regional Distribution Centres or Central Warehouses:** Food or Feed Distribution or Storage facilities at a single site or location and operating under one food safety management system.

T1 facilities can have T 2 facilities and/or sites (T3) managed by the organization seeking the certification [each site must have a certificate, no multi-site sampling option available].

**Tier 2 (T2) or Tier 3 (T3) Site: Satellite Warehouse or Distribution Hub, Cross Docking site [multi-site sampling option available]:** Food or Feed Distribution or Storage facilities at a single site or location and operating under one food safety management system.

These sites are always linked to a larger T1 Distribution Centre, Storage Warehouse or organization with multiple T1 facilities or in the case of a T3 site via a T2 site. T2 sites and T3 sites are always managed and under the direct control of a T1 facility or an organization with multiple T1 facilities seeking certification [multi-site sampling option available].



# PART IV



## Glossary of Terms

Sixth Edition  
Version 6.3





# Terms and Definitions

For the purposes of this document, the following terms and definitions shall apply:

Term	Definition
<b>Accreditation</b>	A process by which an authoritative body gives formal recognition of the competence of a certification body to provide certification services against an international standard.
<b>Accreditation Body</b>	An agency having jurisdiction to formally recognise the competence of a certification body to provide certification services.
<b>Appeal</b>	A request by a scheme owner for reconsideration of a decision made by the GFSI Board, GFSI employee or person contracted to GFSI.
<b>Application</b>	A document confirming a scheme owner's intention to seek recognition by the GFSI for a scope of recognition.
<b>Assessment Matrix</b>	A document issued by GFSI used by the GFSI Benchmark Committee Leader and the Benchmarking Committee to document information during the benchmarking process.
<b>Audit</b>	A systematic and functionally independent examination to determine whether activities and related results comply with a conforming scheme, whereby all the elements of this scheme should be covered by reviewing the supplier's manual and related procedures, together with an evaluation of the production facilities.
<b>Auditor</b>	A person qualified to carry out audits for or on behalf of a certification body.
<b>Benchmark</b>	A process by which a food safety scheme and food safety related schemes are compared to the GFSI Guidance Document to determine equivalence.
<b>Benchmark Committee</b>	A team of registered technical experts who have been appointed by GFSI to undertake the benchmarking process of a specific food safety scheme.
<b>Benchmark Committee Member</b>	A person who has the required qualifications and experience and has undergone selection for the membership of a Benchmark Committee.
<b>Catering</b>	The preparation and provision of food, which is consumed outside the home, within a defined premises.
<b>Central Controlling Organisation</b>	An organisation which is employed by or is subsidiary of a larger organisation and has the responsibility to plan, control and manage the organisation's food safety management system.
<b>Central Function</b>	An identified central department (but not necessarily the headquarters of the organisation) which has the responsibility to plan, control and manage the organisation's food safety management system.
<b>Certification</b>	A process by which accredited certification bodies, based on an audit, provide written assurance that food safety requirements and management systems and their implementation conform to requirements.
<b>Certification Body</b>	A provider of certification services, accredited to do so by an Accreditation Body.
<b>Certification Decision</b>	The granting, continuing, expanding the scope of, reducing the scope of, suspending, restoring, withdrawing or refusing of certification by a Certification Body.
<b>Committed user</b>	A person or organisation from within the retail/food service or producing/manufacturing sectors that uses, or is going to use a scheme named in the application for GFSI recognition.
<b>Competence</b>	The demonstrated ability to apply knowledge and skills to achieve intended results.
<b>Complaint</b>	A legal document that is an expression of displeasure or dissatisfaction, but is not an appeal.
<b>Complainant</b>	A person, organisation or its representative making a complaint.

Term	Definition
<b>Conformance Statement</b>	A document issued by GFSI to confirm recognition of a scheme.
<b>Conformity Assessment Body</b>	An organisation that performs assessment services and that can be the object of accreditation.
<b>Consensus</b>	General agreement, characterised by the absence of sustained opposition to substantial issues by any important concerned party and by a process that involves seeking to take into account the views of all parties concerned and to reconcile any conflicting arguments. Consensus need not imply unanimity.
<b>Conflict of Interest</b>	Where either a Certification Body or an individual is in a position of trust requiring them to exercise judgement on behalf of others and also have interests or obligations (whether financial or otherwise) of the sort that might interfere with the exercise of that judgment.
<b>Conforming scheme</b>	A food safety scheme that has successfully completed the GFSI Benchmark Process.
<b>Consumer</b>	A person who is a member of the public, takes possession of food, is not functioning in the capacity of an operator of a food establishment or food processing plant, and does not offer the food for resale.
<b>Corrective Action</b>	An action to eliminate the cause of a detected non conformity or other undesirable matters.
<b>Distribution</b>	The movement of products or raw materials through a mode of transport from one location to another. The modes of transportation can include air, rail, road and/or water.
<b>Equipment</b>	An article that is used in the operation of a food or feed establishment which is used to convey or process food or feed
<b>Equivalence</b>	A condition of being similar or identical or essentially equal.
<b>Evaluation</b>	An examination of production facilities or services in order to verify that they conform to requirements.
<b>Expert</b>	A person appointed by GFSI who has demonstrable specific knowledge and expertise with respect to food safety or management systems.
<b>Fabrication</b>	The process and materials used in the construction and up keep of the site or facility
<b>Facility</b>	A building or structure that provides a particular service or is used by a supplier for the manufacturing, packaging, labelling or storage of raw materials, ingredients or food or feed
<b>Feed</b>	Any substance or product, including additives, whether processed, partially processed or unprocessed, intended to be used for oral feeding to animals.
<b>Feed safety</b>	A concept that feed will not cause harm to animals or adversely affect human health when utilised according to its intended purpose
<b>Food</b>	Any substance or product, whether processed, partially processed or unprocessed, intended to be, or reasonably expected to be, ingested by humans. 'Food' includes drink, chewing gum and any substance, including water, intentionally incorporated into the food during its manufacture, preparation or treatment and live animals which are offered to the customer or consumer and intended for preparation and consumption by the consumer.
<b>Food contact surfaces</b>	Those surfaces that contact human food and those surfaces from which drainage onto the food or onto surfaces that contact the food ordinarily occurs during the normal course of operations and include utensils and food-contact surfaces of equipment.
<b>Food defence</b>	The process to ensure the security of food and drink and their supply chains from all forms of intentional malicious attack including ideologically motivated attack leading to contamination or supply failure.
<b>Food Safety</b>	A concept that food will not cause harm to the consumer when it is prepared and / or eaten according to its intended use.

Term	Definition
<b>Food safety scheme</b>	A systematic plan which has been developed, implemented and maintained for the scope of food safety. This shall consist of a standard and food safety system in relation to specified processes or a food safety service to which the same particular plan applies. The food safety scheme should contain at least the following items: <ul style="list-style-type: none"> <li>▶ a standard</li> <li>▶ clearly defined scope</li> <li>▶ a food safety system</li> </ul>
<b>Food Safety Standard</b>	A series of defined requirements developed to ensure the safety of food when effectively implemented.
<b>Food Safety System</b>	A series of defined rules, policies and procedures which are intended to ensure the safe supply of food and protect public health.
<b>Food Supply Chain</b>	A defined sequence of activities in relation to the provision of food and feed from primary production to consumption. In relation to GFSI this involves activities associated with the Food and Feed Industries.
<b>GFSI Assessor</b>	A person, appointed by the GFSI, who is assigned to perform alone or as part of a team, the assessment of compliance of a scheme with the requirements of the GFSI Guidance Document in relation to a complaint or appeal.
<b>GFSI Benchmark Committee Leader</b>	A person, appointed by GFSI, who is assigned to manage the benchmarking process for a specific scheme application. The person shall have overall responsibility for the benchmarking activities for a specific scheme application.
<b>HACCP</b>	Hazard Analysis and Critical Control Point A system which identifies, evaluates, controls and monitors hazards relating to food safety and specified by Codex Alimentarius or the National Advisory Committee on Microbiological Criteria for Foods.
<b>HACCP based system</b>	A written document that delineates the procedures for following the Hazard Analysis Critical Control Point principles specified by Codex Alimentarius or The National Advisory Committee on Microbiological Criteria for Foods.
<b>Impartiality</b>	The actual and perceived presence of objectivity.
<b>Ingredient</b>	A component of a food, feed or packaging that has undergone processing
<b>Incident Management</b>	A process of identifying and managing any event where, based on the information available, there are concerns about threats to the food safety of product that could require intervention to protect consumers interests, such as Isolation and removal from the supply chain.
<b>Legal Entity</b>	Any entity recognized by the law, including both juristic and natural persons.
<b>Monitoring</b>	A planned sequence of observations or measurements to assess compliance with requirements.
<b>Multi-site Certification</b>	Certification covering multi-site organisations including several sites (when applying the square root rule) and where sampling of these sites may be used by a certification body in its conformity assessment work. The scope of certification covers the actual products and processes as defined in the normative documents describing the scheme in question. Every site covered by this certification is mentioned on the main certificate documentation and every site is entitled to get its own sub-certificate.
<b>Multi-site Organisation</b>	An organisation having an identified central function ( a central office, but not necessarily the headquarters of the organisation) at which certain activities are planned, controlled and managed and a network of local offices or branches or sites at which such activities are fully or partially carried out.
<b>Non-conformity</b>	A deviation of product or process from specified requirements, or the absence of, or failure to implement and maintain, one or more required management system elements, or a situation which would, on the basis of available objective evidence, raise significant doubt as to the conformity of what the supplier is supplying.

Term	Definition
<b>Normative Documents</b>	Referenced documents which are indispensable for the correct application of a scheme.
<b>Organisation</b>	A group of people or other legal entity (ies) that is responsible for ensuring that products meet and, if applicable, continue to meet the requirements on which the certification is based.
<b>Outsourcing</b>	A firm, company or individual carrying out a process on products or service on the behalf of the site audited.
<b>Perishable</b>	A food that requires a refrigeration temperature between 5° C (41° F) and 0° C (32° F) to retain its safety and wholesomeness.
<b>Primary Production</b>	Those steps in the food chain up to and including, for example, harvesting, slaughter, milking, fishing, production of agricultural plant/tree crops and agricultural animal livestock. The resulting food products are similar to their natural state, but may have been packed, washed, trimmed (not cut into pieces), or otherwise undergone any process not defined under the definition of 'processed food'.
<b>Process</b>	A set of interrelated or interacting activities which result in an outcome.
<b>Processed food</b>	<p>Food product, which has undergone any of the following processes changing the nature of the food:</p> <ul style="list-style-type: none"> <li>▶ Aseptic filling</li> <li>▶ Baking</li> <li>▶ Bottling</li> <li>▶ Brewing</li> <li>▶ Canning</li> <li>▶ Coating/Breading/Battering</li> <li>▶ Cooking</li> <li>▶ Curing</li> <li>▶ Cutting/Slicing/Dicing</li> <li>▶ Dismembering</li> <li>▶ Distillation</li> <li>▶ Drying</li> <li>▶ Extrusion</li> <li>▶ Fermentation</li> <li>▶ Freeze Drying</li> <li>▶ Freezing</li> <li>▶ Frying</li> <li>▶ Hot Filling</li> <li>▶ Irradiation</li> <li>▶ Microfiltration</li> <li>▶ Microwaving</li> <li>▶ Milling</li> <li>▶ Mixing/Blending</li> <li>▶ Packed in Modified Atmosphere</li> <li>▶ Pack in Vacuum Packing</li> <li>▶ Pasteurisation</li> <li>▶ Pickling</li> <li>▶ Purification</li> <li>▶ Roasting</li> <li>▶ Salting</li> <li>▶ Slaughtering</li> <li>▶ Smoking</li> <li>▶ Steaming Sterilisation</li> <li>▶ Quick Freezing</li> </ul>
<b>Product</b>	A result of a process.
<b>Product Categories</b>	A grouping of products which have a like origin or processing technology involved in the production of the product.
<b>Product re-work (feed only)</b>	The process of re-utilisation of feed, ingredients, or raw materials.
<b>Product re-work (packaging manufacture only)</b>	The process of changing physical properties of, or to sort packaging materials to ensure the said item meets customer requirements.
<b>Product Recall</b>	The removal by a supplier of product from the supply chain that has been deemed to be unsafe and has been sold to the end consumer, or is with retailers or caterers and is available for sale.
<b>Product Withdrawal</b>	The removal by a supplier from the supply chain that has been deemed to be unsafe, which has not been placed on the market for purchase by the end consumer.
<b>Raw material</b>	A component of a food, feed or packaging that has not undergone processing

Term	Definition
<b>Re-benchmarking</b>	The process of benchmarking a scheme that was previously recognised by the GFSI and that is seeking renewed recognition.
<b>Recycled materials (packaging manufacture only)</b>	Materials that have been used to manufacture an item and are being re-structured or re-made so that the material can be processed into a new product.
<b>Retail</b>	The sale of food to the consumer, which is not consumed within defined premises.
<b>Register of Benchmark Committee Members</b>	A document containing the names of experts selected by GFSI, who may carry out benchmarking activities on their behalf.
<b>Review</b>	The systematic, documented process undertaken by GFSI to assess the compliance of a scheme against the requirements of the GFSI Guidance Document.
<b>Risk Based Programme</b>	A documented programme developed by a competent person(s) based on risk assessment principles.
<b>Risk Profile</b>	The result of the process of risk evaluation which has been undertaken by a competent authority, who has considered all appropriate criteria
<b>Safe food</b>	Food which not injurious to health or unfit for human consumption'
<b>Sampling programme</b>	A programme of site audits defined by the scheme owner, but will be determined by the certification body based upon specified criteria
<b>Scheme</b>	A documented food safety scheme, which has specified requirements, specific rules and procedures.
<b>Scheme Owner</b>	An organisation, which is responsible for the development, management and maintenance of a scheme.
<b>Scope extension</b>	The process undertaken by GFSI to assess an application for an additional scope of recognition by a scheme owner that has current recognition.
<b>Scope of Recognition</b>	A specific sector of the food or feed industry, or the provision of related food safety services, defined by GFSI, for which a scheme is seeking recognition.
<b>Service</b>	A result of at least one activity performed at the interface between a supplier and a customer.
<b>Senior management</b>	A person or persons who have the authority and accountability to develop, implement or amend organisational policies and procedures
<b>Site</b>	A permanent location where an organisation carries out work or activity'
<b>Standard</b>	A normative document and other defined normative documents, established by consensus and approved by a body that provide, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context.
<b>Storage</b>	The holding of product or raw materials at a specific location under defined conditions.
<b>Subcontracting</b>	A firm, company or individual carrying out a process on products on the behalf of the site audited.
<b>Supplier</b>	An organisation supplying food, feed or a service.
<b>Surveillance</b>	Follow-up audit(s) to assess compliance with the specific requirements of a scheme's standard and to verify the validity of an issued certificate.
<b>Suspension</b>	The process by which a scheme is temporarily not recognised by GFSI.
<b>Transport containers</b>	Vessel in which the product or raw materials is being placed or held during storage and distribution.
<b>Unfit for human consumption</b>	Food which is unacceptable for human consumption, according to its intended use, for reasons of contamination, whether by extraneous matter or otherwise, or through putrefaction, deterioration or decay'
<b>Unscheduled supplier audit</b>	Audits planned within a defined programme, but without the allocation of a specified programme date.

<b>Validation</b>	An activity to obtain evidence that a requirement is controlled effectively.
<b>Vehicle</b>	Any device used for the conveyance of raw material, ingredients, food, feed or packaging that is capable of being moved upon roadways, railways, waterways or airways. Vehicles can be motorised or non- motorised
<b>Verification</b>	A confirmation, through the review of objective evidence that requirements have been fulfilled.
<b>Wholesale</b>	The sale of food to retailers, to industrial, commercial, institutional, or other professional business users, or to other wholesalers and related subordinated services.
<b>Withdrawal</b>	The process by which a scheme has its recognition by GFSI removed.

# GFSI Guidance Document Sixth Edition

Version 6.3

