

## GFSI Global Markets Capacity Building Programme Basic (B) and Intermediate (I) Level Assessor Guideline

### A. Food Safety Management Systems

<b>Basic Level Requirement Assessment</b>
<b>B.A 1. Specifications Including Product Release</b>
The business shall ensure that product specifications are adequate, accurate and ensure compliance with relevant safety and legislative requirements and customer requirements. The business shall prepare and implement appropriate product release procedures.
<b>B.A 1.1 Are specifications available for all product inputs (raw materials, ingredients, additives, packaging materials, rework) and finished products?</b>
<ul style="list-style-type: none"> <li>• Finished product specifications shall be current, adequate, accurate and compliant with relevant safety and legislative requirements and customer requirements.</li> <li>• Finished product specifications shall cover all product inputs (raw materials, ingredients, additives, packaging materials, rework).</li> </ul>
<b>B.A 1.2 Are the available specifications compliant with relevant safety and legislative requirements and customer requirements?</b>
<ul style="list-style-type: none"> <li>• The competent person drafting specification is aware of the means of obtaining legislative requirements.</li> <li>• Systems are in place to ensure finished product released to customers complies with agreed requirements.</li> </ul>
<b>B.A 1.3 Are specifications up to date, unambiguous and available to relevant staff?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<b>B.A 1.4 Are changes to specifications clearly communicated both internally and externally?</b>
<ul style="list-style-type: none"> <li>• The person responsible for specifications communicates with the business's suppliers.</li> </ul>
<b>B.A 1.5 Is a documented Product Release Programme in place and effective to ensure final product meets the specification?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<b>B.A 1.6 Is a designated person responsible for controlling specifications?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>

<b>Basic Level Requirement Assessment</b>
<b>B.A 2. Traceability</b>
The business shall establish a traceability system, which enables the identification of product lots and their relation to batches of raw materials, primary and consumer unit packaging materials, processing and distribution records. Records shall include <ul style="list-style-type: none"> <li>• Identification of any out sourced product, ingredient or service;</li> <li>• Complete records of batches of in-process or final product and packaging throughout the production process.</li> <li>• Record of purchaser and delivery destination for all products supplied.</li> <li>• Record of annual testing of the traceability system.</li> </ul>
<b>B.A 2.1 Is a documented traceability system in place for every product that meets regulatory and</b>

<b>customer requirements?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>The frequency of traceability record keeping shall be appropriate.</li> </ul>
<ul style="list-style-type: none"> <li>The responsible person shall ensure identification systems are in place.</li> </ul>
<ul style="list-style-type: none"> <li>Personnel responsible for traceability are trained adequately.</li> </ul>
<ul style="list-style-type: none"> <li>The person responsible for development and maintenance of the traceability system obtains knowledge of legislative requirements.</li> </ul>
<ul style="list-style-type: none"> <li>The responsible person ensures other colleagues are aware of their obligation with respect to traceability and record keeping.</li> </ul>
<b>B.A 2.2 Is the traceability system including work in progress, post-treatment and rework fully operational and effective?</b>
<ul style="list-style-type: none"> <li><i>No additional guidance provided for this requirement</i></li> </ul>
<b>B.A 2.3 Are records of registration and product identification through all production stages (work in progress, post treatment, rework) available for all raw materials, primary and consumer packaging materials, i.e. from purchase through process to the delivery destination?</b>
<ul style="list-style-type: none"> <li>Traceability records are legible, genuine and easily accessible.</li> </ul>
<b>B.A 2.4 Is the traceability system tested at least annually and updated as necessary?</b>
<ul style="list-style-type: none"> <li><i>No additional guidance provided for this requirement</i></li> </ul>
<b>B.A 2.5 Is a clear labelling system ensuring continuous identification of the product at all stages of production and delivery?</b>
<ul style="list-style-type: none"> <li>The product through all production stages, and finished product is clearly labelled or identified.</li> </ul>
<ul style="list-style-type: none"> <li>Individual finished products are coded clearly allowing identification.</li> </ul>
<ul style="list-style-type: none"> <li>Dispatch documents include finished product codes.</li> </ul>

<b>Basic Level Requirement Assessment</b>
<b>B.A 3. Food Safety Incident Management</b>
The business shall have an effective incident management procedure covering incidents reporting, product withdrawal and recall procedure for all products which shall include the provision of information to the customer. Record of annual review, testing and verification of the system shall be available
<b>B.A 3.1 Is a documented Incident Management system in place that addresses incident reporting, product withdrawal and product recall?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>Procedures in relation to incident management are regularly reviewed by a competent person.</li> </ul>
<ul style="list-style-type: none"> <li>All relevant staff are aware of their obligations in case of incident management.</li> </ul>
<b>B.A 3.2 Is an effective Communication Plan in place with a designated, responsible person identified to provide information to customers, consumers and regulatory authorities?</b>
<ul style="list-style-type: none"> <li>A competent person is responsible for all internal and external communication.</li> </ul>
<b>B.A 3.3 Is the Incident Management System reviewed, tested and verified at least once a year?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>Incidents which could lead to unsafe or non conforming product are recorded and assessed in a timely manner to establish their severity and consumer risk.</li> </ul>
<b>B.A 3.4 Are all incidents recorded and assessed to establish their severity and consumer risk?</b>

- *No additional guidance provided for this requirement*

<b>Basic Level Requirement Assessment</b>
<b>B.A 4. Control of non-conforming product</b>
The business shall ensure that any product which does not conform to requirements is clearly identified and controlled to prevent unintended use or delivery.
<b>B.A 4.1 Is a documented procedure in place to identify and manage all non-conforming raw materials, product inputs, semi-finished and finished products, processing equipment and packaging materials?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• The procedure covers identification of non conforming product.</li> <li>• The procedure covers assessment of food safety risk.</li> <li>• Correctives actions i.e. release, rework, quarantine, rejection/disposal are appropriate.</li> <li>• Correctives actions i.e. release, rework, quarantine, rejection/disposal are effectively controlled.</li> </ul>
<b>B.A 4.2 Is the control of non-conforming product managed by competent personnel?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>

<b>Basic Level Requirement Assessment</b>
<b>A 5. Corrective Action</b>
The business shall ensure that corrective action be undertaken as soon as possible to prevent further occurrence of non-conformity.
<b>B.A 5.1 Is a documented Corrective Action Procedure in place to analyze any complaints and investigate non-conformities to prevent reoccurrence?</b>
<ul style="list-style-type: none"> <li>• There is a competent person responsible for analysing and investigating non-conformities to establish the procedure to avoid reoccurrence.</li> <li>• Records of all customer complaints, investigations and corrective actions are maintained.</li> <li>• A documented system is in place to manage corrective actions.</li> <li>• The responsibilities of individuals and timescales for corrective actions are clearly defined and documented.</li> <li>• All documents and records relating to corrective actions are in place.</li> </ul>
<b>B.A 5.2 Are corrective actions (i.e. release, rework, quarantine, rejection/disposal) identified and effectively implemented?</b>
<ul style="list-style-type: none"> <li>• There is a competent person responsible for monitoring and effectiveness of the completion and performance of the agreed corrective actions.</li> <li>• There is a system of complaint analysis which facilitates the implementation of corrective actions to prevent reoccurrence.</li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.A 1. Management Responsibility</b>
The business shall establish a clear organizational structure which defines and documents job functions, responsibilities and reporting relationships of at least those staff whose activities affect food safety.
<b>I.A 1.1 Is an up-to-date organizational chart outlining the business' structure available?</b>

<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<b>I.A 1.2 Are documented, clearly defined responsibilities regarding product safety and legality available and communicated to staff?</b>
<ul style="list-style-type: none"> <li>• Must cover the absence for key staff</li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.A 2. General Documentation Requirements</b>
The business shall establish and implement procedures to ensure that all documents, required to demonstrate the effective operation and control of its processes and its management of product safety, are maintained and kept up-to-date. Records shall be retained for a time period required to meet customer and/or legal requirements.
<b>I.A 2.1 Is a written documentation procedure in place and effectively implemented?</b>
<ul style="list-style-type: none"> <li>• Procedures should cover the control of documents and their revisions</li> <li>• Confidential documents shall be defined and access to them shall be limited</li> <li>• Records shall be retained for a time period required to meet customer and/or legal requirements.</li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.A 3. Procedures</b>
The business shall prepare and implement detailed procedures/instructions for all processes and operations having an effect on product safety.
<b>I.A 3.1 Are detailed procedures developed and effectively implemented for all processes and operations that affect food safety?</b>
<ul style="list-style-type: none"> <li>• Procedures shall be written in a manner that is easily understood by personnel</li> <li>• Documents shall be legible and clearly written to be understood by staff</li> </ul>
<b>I.A 3.2 Are procedures clearly communicated to relevant staff?</b>
<ul style="list-style-type: none"> <li>• Documents shall be legible and clearly written to be understood by staff</li> <li>• Relevant staff should be able to demonstrate knowledge of procedures pertinent to their work area or job responsibilities</li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.A 4. Complaint Handling</b>
The business shall prepare and implement an effective system for the management of customer/consumer complaints and complaint data to control and correct shortcomings in food safety.
<b>I.A 4.1 Is a documented complaint management system in place and effectively implemented?</b>
<ul style="list-style-type: none"> <li>• The methods and responsibility for handling and investigating the cause and resolution of complaints from consumers, customers shall be documented and implemented</li> </ul>
<b>I.A 4.2 Are records of all customer and consumer complaints, investigations and corrective actions maintained?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.A 5. Control of Measuring &amp; Monitoring Devices</b>
The business shall identify measuring and monitoring devices critical to food safety and ensure that they are calibrated and traceable to a recognized standard.

<b>I.A 5.1 Are measuring and monitoring devices critical to food safety identified, calibrated and traceable to recognised standards and are they effectively controlled?</b>
<ul style="list-style-type: none"> <li>Measuring and monitoring devices may include: Thermometers, metal detectors, pH meters and Water activity meters</li> </ul>
<b>I.A 5.2 Are actions taken and recorded when measuring and monitoring devices are found to be outside of specified limits?</b>
<ul style="list-style-type: none"> <li>Current instruments should be in calibration</li> <li>Appropriate actions shall consider all product produced since last good calibration as non-confirming product</li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.A 6. Product Analysis</b>
The business shall implement a system to ensure that product/ ingredient analyses critical to food safety and legal requirements are undertaken and the business shall ensure that the methods used provide valid results (e.g. by procedures set forth in ISO 17025 and/or industry recognized methods).
<b>I.A 6.1 Are analysis procedures in place to ensure that all specified product requirements are met, including legal requirements and customer specifications along the whole shelf life?</b>
<ul style="list-style-type: none"> <li>Responsibility and criteria for sampling, inspecting and or analyzing raw materials, finished product and work in progress shall be documented and implemented</li> <li>Microbiological, physical and chemical analysis required for that purpose shall be performed internally or subcontracted to a qualified service provider</li> <li>The analyses and the frequency with which they are carried out shall be based on risk and may include microbiological and chemical factors such as pH and <math>a_w</math></li> </ul>
<b>I.A 6.2 Are methods relevant for food safety used to provide valid results (e.g. by procedures set forth in ISO 17025 and/ or industry recognized methods)?</b>
<ul style="list-style-type: none"> <li>If the analyses are performed by a factory internal or non-accredited laboratory, the results shall be verified on a regular basis by an accredited laboratory.</li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.A 7. Purchasing</b>
The business shall control purchasing processes to ensure that all externally sourced items and services conform to written requirements.
<b>I.A 7.1 Do purchased products and services meet current specifications and contractual agreements?</b>
<ul style="list-style-type: none"> <li><i>No additional guidance provided for this requirement</i></li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.A 8. Supplier Approval and Performance Monitoring</b>
The business shall operate procedures for approval and continued monitoring of all its suppliers whose products or services may affect product safety. The results of evaluations and follow-up actions shall be recorded.
<b>I.A 8.1 Is a documented supplier approval programme in place and effectively implemented?</b>
<ul style="list-style-type: none"> <li>The programme shall include clear assessment criteria based on risk assessment of suppliers and materials such as: <ul style="list-style-type: none"> <li>Certificates of Analysis (COAs)</li> </ul> </li> </ul>

<ul style="list-style-type: none"> <li>• Audits</li> <li>• Required performance standards</li> <li>• Supplier reliability and complaints</li> <li>• Records of the monitoring shall be maintained</li> </ul>
<ul style="list-style-type: none"> <li>• The programme shall include the sourcing of all product inputs and services such as: <ul style="list-style-type: none"> <li>• Raw materials</li> <li>• Ingredients and processing aides</li> <li>• Food contact packaging</li> <li>• Cleaning and sanitation chemicals</li> <li>• Pest control chemicals</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>• Verify that product inputs are sourced from approved suppliers</li> </ul>
<ul style="list-style-type: none"> <li>• Records of effective supplier approval programme in place</li> </ul>
<ul style="list-style-type: none"> <li>• Verify that the appropriate staff is aware of the programme and that it is being followed</li> </ul>
<p><b>I.A 8.2 Is a documented supplier monitoring programme in place and effectively implemented?</b></p>
<ul style="list-style-type: none"> <li>• Records of effective monitoring should be kept</li> </ul>

<p><b>Intermediate Level Requirement Assessment</b></p>
<p><b>I.A 9. Training</b></p>
<p>The business shall implement a system to ensure that all personnel are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.</p>
<p><b>I.A 9.1 Is a documented Personnel Training Programme in place and effectively implemented?</b> <b>(Required element – Major deduction if missing)</b></p>
<ul style="list-style-type: none"> <li>• The programme shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with: <ul style="list-style-type: none"> <li>• Developing and applying Good Manufacturing Practice and pre-requisite programmes</li> <li>• Applying food regulatory requirements</li> <li>• Critical steps identified in the hazard analysis</li> <li>• Tasks identified as critical to meeting customer specifications and food safety</li> <li>• The Personnel Training Programme should be based on responsibilities described and documented as referred in A1 of this document.</li> </ul> </li> </ul>
<p><b>I.A 9.2 Is a documented HACCP Training Programme in place?</b> <b>(Required element – Major deduction if missing)</b></p>
<ul style="list-style-type: none"> <li>• Must include all staff involved in developing and maintaining HACCP programmes and Food Safety Plans</li> </ul>
<ul style="list-style-type: none"> <li>• Must include personnel responsible for monitoring and verifying control measures.</li> </ul>
<p><b>I.A 9.3 Are adequate training records available?</b></p>
<ul style="list-style-type: none"> <li>• Should contain at a minimum: <ul style="list-style-type: none"> <li>• Name of trainee and confirmation of attendance</li> <li>• Date and duration of training</li> <li>• Title or course contents or task instruction</li> <li>• Training Provider</li> </ul> </li> </ul>
<p><b>I.A 9.4 Is a Refresher Training Programme documented and implemented?</b></p>
<ul style="list-style-type: none"> <li>• A brief description of the refresher training should be available</li> </ul>
<ul style="list-style-type: none"> <li>• Refresher training should be conducted at least annually</li> </ul>

## B. Good Manufacturing Practices (GMPs)

<b>Basic Level Requirement Assessment</b>
<b>B.B 1. Personal Hygiene</b>
The business shall have processes and procedures in place to ensure the implementation of personnel and visitor hygiene practices. Such practices shall result in sanitary handling and delivery of safe and quality products to customers. The Codex Alimentarius Commission's recommendation on personal hygiene shall be followed.
<b>B.B 1.1 Are personal hygiene requirements in place and applicable to all relevant personnel, contractors and visitors?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• The personal hygiene requirements are monitored for compliance by a competent person.</li> </ul>
<ul style="list-style-type: none"> <li>• Personnel, contractors and visitors shall wash their hands;             <ul style="list-style-type: none"> <li>• Upon entering food handling or processing areas</li> <li>• After each visit to the toilet</li> <li>• After using a handkerchief</li> <li>• After handling wash down hoses or contaminated material</li> <li>• After sneezing or coughing;</li> <li>• After smoking, eating or drinking</li> <li>• After handling raw food or any contaminated material, where this could result in contamination of other food items.</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>• Personnel, contractors and visitors should avoid handling ready-to-eat food, where appropriate.</li> </ul>
<b>B.B 1.2 Are personal hygiene requirements compliant with legal requirements, if applicable?</b>
<ul style="list-style-type: none"> <li>• The personal hygiene requirements are developed by a competent person.</li> </ul>
<ul style="list-style-type: none"> <li>• These requirements are regularly checked for compliance against the local regulatory requirements</li> </ul>
<b>B.B 1.3 Are documented communication procedures in place for personnel, contractors and visitors addressing actions to be taken in the case of an infectious disease?</b>
<ul style="list-style-type: none"> <li>• The requirements in relation to the control of infectious diseases cover medical examination, where applicable.</li> </ul>
<b>B.B 1.4 Is a qualified person responsible to decide if individuals with a suspect illness may enter food areas and how these individuals are controlled?</b>
<ul style="list-style-type: none"> <li>• Conditions which shall be reported to management/supervisory staff in order to access the need for medical examination and/or possible exclusion from food handling include:             <ul style="list-style-type: none"> <li>• Jaundice</li> <li>• Diarrhoea</li> <li>• Vomiting</li> <li>• Fever</li> <li>• Sore throat with fever</li> <li>• Visibly infected skin lesions</li> <li>• Discharges from ears, nose or throat</li> </ul> </li> </ul>
<b>B.B 1.5 Are personnel, contractors and visitors aware of and complying with the personal hygiene requirements?</b>
<ul style="list-style-type: none"> <li>• The procedure make reference to:             <ul style="list-style-type: none"> <li>○ Smoking</li> <li>○ Spitting</li> </ul> </li> </ul>

<ul style="list-style-type: none"> <li>○ Chewing or eating</li> <li>○ Sneezing or coughing over unprotected product or packaging</li> <li>○ Protective clothing</li> <li>○ Jewellery</li> <li>○ Hand washing</li> <li>○ Eating and drinking</li> <li>○ Actions to be taken in case of cuts or skin abrasions</li> <li>○ Fingernails</li> <li>○ Hair and facial hair</li> </ul>
<ul style="list-style-type: none"> <li>● To ensure that those who come directly or indirectly into contact with food: <ul style="list-style-type: none"> <li>○ Maintain an appropriate degree of personal hygiene;</li> <li>○ Behave and operate in an appropriate manner.</li> </ul> </li> </ul>
<p><b>B.B 1.6 Are personnel, contractors and visitors aware of and complying with the requirements for the wearing and changing of protective clothing in specified work areas?</b></p>
<ul style="list-style-type: none"> <li>● There is the provision of sufficient, appropriate, suitable, clean and protective clothing.</li> </ul>

<p><b>Basic Level Requirement Assessment</b></p>
<p><b>B.B 2. Facility Environment</b></p>
<p>The business facilities shall be located and maintained so as to prevent contamination and enable the production of safe products.</p>
<p><b>B.B 2.1 Is the facility located, designed, constructed and maintained to ensure product safety?</b></p>
<ul style="list-style-type: none"> <li>● There is no evidence of any activities carried out near the location of the site that could compromise food safety.</li> </ul>
<ul style="list-style-type: none"> <li>● The design and layout of the facility lends itself to effective maintenance, cleaning and disinfection.</li> </ul>
<ul style="list-style-type: none"> <li>● Grounds and area surrounding the facility are well maintained and kept free of waste or accumulated debris.</li> </ul>
<p><b>B.B 2.2 Is the facility effectively maintained, cleaned and disinfected to prevent physical, chemical and microbiological product contamination?</b></p>
<ul style="list-style-type: none"> <li>● Maintenance schedules and records are available.</li> <li>● Maintenance schedules and records are appropriate.</li> </ul>
<p><b>B.B 2.3 Is the lighting of the appropriate intensity and design to ensure that food safety practice is effective?</b></p>
<ul style="list-style-type: none"> <li>● <i>No additional guidance provided for this requirement</i></li> </ul>
<p><b>B.B 2.4 Are structures, surfaces and materials, particularly those in contact with food easy to maintain, clean and where appropriate disinfect?</b></p>
<ul style="list-style-type: none"> <li>● Floors, walls and ceilings are constructed from materials designed to prevent accumulation of dirt, reduce condensation and mould growth.</li> <li>● Floors, walls and ceilings are constructed from materials designed to facilitate cleaning.</li> <li>● Equipment locations, drainage and water waste systems are designed and maintained as not to compromise food safety.</li> <li>● Windows and doors are designed and constructed to prevent the ingress of pests or other contaminants.</li> <li>● Ventilation and extraction are adequate to provide optimum product storage and processing environments to prevent condensation or excessive dust.</li> </ul>
<p><b>B.B 2.5 Are the drainage and waste water systems of equipment locations designed so as not to</b></p>



<b>compromise food safety?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<b>B.B 2.6 Are the grounds and surrounding areas of the facility maintained and kept free of waste and accumulated debris?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>

<b>Basic Level Requirement Assessment</b>
<b>B.B 3. Cleaning &amp; Disinfection</b>
The business shall ensure appropriate standards of cleaning and disinfection be maintained at all times and throughout all the stages.
<b>B.B 3.1 Are documented cleaning and disinfection procedures in place and effective, including verification activities, to ensure the cleanliness of the facility, utilities and equipment?</b>
<ul style="list-style-type: none"> <li>• The procedure makes reference to: <ul style="list-style-type: none"> <li>○ Personnel responsible for cleaning</li> <li>○ Defined items and areas to be cleaned</li> <li>○ Frequency of cleaning</li> <li>○ Methods of cleaning</li> <li>○ Cleaning materials to be used and instructions for use</li> </ul> </li> <li>• Cleaning and disinfection procedures are developed and monitored by a competent person.</li> <li>• Cleaning records are available for all items and areas.</li> </ul>
<b>B.B 3.2 Are cleaning equipment, utensils and chemicals clearly marked, stored in a segregated area away from product, equipment, packaging and suitable for intended use?</b>
<ul style="list-style-type: none"> <li>• The personnel who cleans and disinfects is aware of his/her responsibility and the cleaning procedures.</li> </ul>
<b>B.B 3.3 Are qualified, trained personnel used for cleaning and disinfection?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>

<b>Basic Level Requirement Assessment</b>
<b>B.B 4. Product Contamination Control</b>
The business shall ensure appropriate facilities and procedures are in place to minimise the risk of physical, chemical, or microbiological contamination of product.
<b>B.B 4.1 Are physical barriers or effective procedures in place to reduce and avoid the risk of any potential physical, chemical or microbiological contamination?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• Inspections are conducted by a competent person to ensure that the facility remains in good condition.</li> <li>• Potential foreign body sources are identified i.e. personnel, raw materials, packaging materials, packaging aids, utensils, machine components, hazardous chemicals.</li> <li>• Product contamination procedures are developed and monitored by a competent person.</li> <li>• The facility's process flow and design, i.e. from receipt to dispatch, ensures that contamination of raw materials, packaging, semi-processed and finished products is avoided.</li> </ul>
<b>B.B 4.2 Are working systems in place to reduce the risk of any potential physical, chemical or microbiological contamination?</b>
<ul style="list-style-type: none"> <li>• Product contamination control procedures are developed and monitored by a competent</li> </ul>

person.
<ul style="list-style-type: none"> <li>Procedures are in place to in relation to the breakage of glass, including glass packaging and similar material.</li> </ul>

<b>Basic Level Requirement Assessment</b>
<b>B.B 5. Pest Control</b>
The business shall ensure controls are in place to reduce or eliminate the risk of pest infestation (including rodents, insects and birds)
<b>B.B 5.1 Is an effective Pest Control Programme in place?</b>
<ul style="list-style-type: none"> <li>Methods of control are developed and monitored by a competent person.</li> <li>The pest control programme is in compliance with legal and customer requirements.</li> </ul>
<b>B.B 5.2 Are the controls appropriate in relation to the product, raw materials and facility?</b>
<ul style="list-style-type: none"> <li>Methods of control are reviewed by a competent person.</li> <li>There is no evidence of pest infestation.</li> <li>Raw materials, packaging, semi-processed and finished products are stored so as to minimize the risk of pest infestation.</li> </ul>
<b>B.B 5.3 Is the inspection programme undertaken by a competent person at an appropriate frequency and are findings addressed?</b>
<ul style="list-style-type: none"> <li>Detailed records of pest control inspections, recommendations and actions taken are available.</li> </ul>

<b>Basic Level Requirement Assessment</b>
<b>B.B 6. Water Quality</b>
The business shall ensure that the quality of water, ice or steam in contact with food product is suitable for intended use at the facility. All food contact water, ingredient water and water used in cleaning and sanitising operations shall be determined to be from a potable source.
<b>B.B 6.1 Are documented procedures in place to ensure that the quality of water, steam and ice does not compromise the food safety of the finished product?</b>
<ul style="list-style-type: none"> <li>Water quality control procedures are developed and monitored by a competent person.</li> <li>Procedures are in place to prevent the cross contamination of potable water by unsafe water.</li> <li>The water complies with nationally or internationally, i.e. WHO Guidelines for drinking water quality, recognised potable water standards.</li> </ul>
<b>B.B 6.2 Are documented procedures in place to prevent the cross-contamination of potable water by non-potable water?</b>
<ul style="list-style-type: none"> <li>The procedure refers to the water used: <ul style="list-style-type: none"> <li>For washing, thawing &amp; treating food</li> <li>As an ingredient or food processing aid</li> <li>For cleaning food contact surfaces</li> <li>For the manufacture of ice</li> <li>For the manufacture of steam that will come in contact with food or used to heat water that will come in contact with food</li> </ul> </li> </ul>

Intermediate Level Requirement Assessment
<b>I.B 1. Facility and Equipment Maintenance</b>
The business shall implement a system of planned, preventive and corrective maintenance to ensure an adequate level of food safety in the facility.
<b>I.B 1.1 Is a documented maintenance programme established?</b>
<ul style="list-style-type: none"> <li>• Equipment inspection frequencies should be defined</li> <li>• All critical equipment should be covered</li> <li>• Maintenance records shall be maintained</li> <li>• An effective maintenance programme shall be measured by specific indicators such as preventive versus corrective maintenance.</li> </ul>
<b>I.B 1.2 Is an effective maintenance programme implemented?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<b>I.B 1.3 Is a documented hygiene and clearance procedure in place for all maintenance activities?</b>
<ul style="list-style-type: none"> <li>• Must record that product contamination hazards have been removed from machinery and equipment</li> <li>• Must record that the area has been properly cleaned, disinfected and inspected prior to release back into production.</li> </ul>
<b>I.B 1.4 Are effective hygiene procedures implemented for maintenance activities?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<b>I.B 1.5 Are all materials used for maintenance and repair appropriate for their intended use?</b>
<ul style="list-style-type: none"> <li>• Food grade oils, non-toxic paints, etc.</li> <li>• Material Safety Data Sheets shall be available.</li> </ul>

Intermediate Level Requirement Assessment
<b>I.B 2 Staff Facilities</b>
The business shall ensure that staff facilities be designed and operated, so as to minimize food safety risks.
<b>I.B 2.1 Are suitable changing rooms provided for staff?</b>
<ul style="list-style-type: none"> <li>• Outdoor clothing and personal items shall be stored separately from work wear within the facility.</li> <li>• Where high risk product the changing rooms shall be sited without direct access to the production area.</li> </ul>
<b>I.B 2.2 Are toilets adequately segregated from processing/ food handling areas?</b>
<ul style="list-style-type: none"> <li>• Shall not open directly into storage, processing or production areas.</li> </ul>
<b>I.B 2.3 Are suitable and sufficient hand-washing facilities provided?</b>
<ul style="list-style-type: none"> <li>• At appropriate points within production areas. <ul style="list-style-type: none"> <li>• Sufficient quantities of potable water provided at the appropriate temperature</li> <li>• Liquid soap</li> <li>• Single use, hands free towel dispensers or suitably designed hands free air dryers</li> <li>• Signs advising personnel to wash hands prior to entering food processing areas shall be prominently posted in the appropriate languages</li> </ul> </li> <li>• Where High risk products are handled the following requirements shall also apply: <ul style="list-style-type: none"> <li>• Hands free operated taps</li> <li>• Hand sanitizers</li> </ul> </li> </ul>
<b>I.B 2.4 Are separate lunch room facilities provided away from production, packaging and storage areas?</b>

- No food from the lunch room facilities should be taken to production, packaging and storage areas.

<b>Intermediate Level Requirement Assessment</b>
<b>I.B 3 Waste Management</b>
The business shall ensure adequate systems be in place for the collation, collection and disposal of waste material.
<b>I.B 3.1 Are suitable provisions in place for the storage and removal of waste?</b>
<ul style="list-style-type: none"> <li>• Waste shall not be allowed to accumulate in food handling, food storage and other working areas</li> </ul>
<b>I.B 3.2 Are containers designated for inedible products, waste or by-products clearly marked and properly utilized?</b>
<ul style="list-style-type: none"> <li>• Clearly marked</li> <li>• Suitably designed</li> <li>• In good condition</li> <li>• Easy to clean and where required disinfected</li> <li>• Emptied at appropriate frequencies</li> <li>• Covered or doors kept closed as appropriate</li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.B 4. Storage and Transport</b>
The business shall ensure that all raw materials (including packaging), intermediate/ semi processed product and finished product be stored and transported under conditions that protect product integrity. All vehicles, including contracted out vehicles used for the transportation of raw materials (including packaging), rework, intermediate/ semi processed product and finished product shall be suitable for the purpose, maintained in good repair and be clean.
<b>I.B 4.1 Are there adequate facilities for the storage of food and ingredients?</b>
<ul style="list-style-type: none"> <li>• Where necessary, adequate facilities for the storage of food and ingredients shall be provided.</li> </ul>
<b>I.B 4.2 Are the food storage facilities appropriate to be effectively protected from contamination during storage?</b>
<ul style="list-style-type: none"> <li>• Where appropriate, food storage facilities shall be designed and constructed to enable food to be effectively protected from contamination during storage</li> </ul>
<b>I.B 4.3 Is the food storage appropriate to minimize deterioration of food (e.g. by temperature, ventilation and humidity control)?</b>
<ul style="list-style-type: none"> <li>• Where necessary, provide an environment which minimizes the deterioration of food (e.g. by temperature and humidity control)</li> </ul>
<b>I.B 4.4 Is there a documented Product Transport procedure in place?</b>
<ul style="list-style-type: none"> <li>• Practices applied during loading, transport and unloading of food are documented, implemented and designed to maintain product integrity</li> <li>• Procedures shall ensure that unloading is completed efficiently and core product temperatures are recorded at the beginning of, and at regular intervals during the unloading process</li> <li>• Prior to unloading, the load should be checked for signs of temperature abuse (thawing and re-freezing), damage or shifting during transport.</li> <li>• The programme shall address procedures to follow for non-conforming product arrivals <ul style="list-style-type: none"> <li>• Loading and unloading should be completed under a covered base.</li> <li>• Records regarding rejection of loads shall be maintained.</li> </ul> </li> </ul>
<b>I.B 4.5 Is an effective Product Transport Procedure implemented?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>

<b>I.B 4.6 Is there a documented Transport Vehicle Inspection Programme ?</b>
<ul style="list-style-type: none"><li>• Vehicles used for transporting food shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odours, pest, moulds or other conditions that may impact negatively on the product.</li><li>• Inspection records shall be available.</li></ul>
<b>I.B 4.7 Is an effective Transport Vehicle Inspection Programme implemented ?</b>
<ul style="list-style-type: none"><li>• <i>No additional guidance provided for this requirement</i></li></ul>
<b>I.B 4.8 Are there documented maintenance and hygiene procedures for vehicles and equipment used for loading and unloading?</b>
<ul style="list-style-type: none"><li>• Records shall include a registration number of a transport vehicle and a name of a driver.</li><li>• The equipment for loading or unloading shall be included in the maintenance and sanitisation programme.</li></ul>
<b>I.B 4.9 Are effective vehicle and equipment maintenance and hygiene procedures implemented?</b>
<ul style="list-style-type: none"><li>• <i>No additional guidance provided for this requirement</i></li></ul>

## C. Control of Food Hazards

<b>Basic Level Requirement Assessment</b>
<b>B.C 1. Control of Food Hazards - General and Specific</b>
The business shall reduce the risk of unsafe food by taking preventative measures to assure the safety and suitability of the food at an appropriate stage or stages in their operation by controlling food hazards. The business shall control food hazards through the use of a system such as HACCP. They shall: <ul style="list-style-type: none"> <li>• Undertake a risk analysis to identify all possible hazards</li> <li>• Identify the steps in their operation that are critical to the safety of food</li> <li>• Implement effective procedures with defined limits at those steps as appropriate for food safety</li> <li>• Monitor control procedures to monitor their effectiveness</li> <li>• Maintain records of that monitoring</li> <li>• Review control procedures periodically and whenever the operations change</li> </ul>
<b>B.C 1.1 Is a documented food safety control system in place that addresses customer and regulatory requirements?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• The frequency of recording is carried out continuously and/ or at appropriate intervals.</li> <li>• The food control system is reviewed on a regular basis or when changes occur.</li> </ul>
<b>B.C 1.2 Is a risk assessment or hazard analysis conducted for each process step in the manufacturing of the food item?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<b>B.C 1.3 Was the risk assessment or hazard analysis conducted by a competent person?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<b>B.C 1.4 Does the food control system include appropriate control procedures, monitoring procedures and documentation including the definition of limits regarding food safety?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• The procedure if limits are out of control is available and is followed.</li> <li>• Records of defined parameters are available.</li> <li>• Appropriate limits regarding food safety are defined.</li> </ul>
<b>B.C 1.5 Is documented evidence of monitoring in place (i.e. temperature, time, pressure, chemical properties, etc.) and controlled to ensure that the product is produced within the required process specification?</b> <b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>

<b>Basic Level Requirement Assessment</b>
<b>B.C 2. Control of Allergens</b>
The business shall ensure that there are adequate control measures in place to prevent cross contamination of allergens. All ingredients known to cause food allergies in the product shall be clearly identified and communicated to the customer.
<b>B.C 2.1 Is a documented Allergen Control programme in place to control allergens and to prevent sources of allergens from contaminating product at all stages of production?</b> <b>(Required element – Major deduction if missing)</b>

<ul style="list-style-type: none"> <li>Procedures for allergen control are developed and monitored by a competent person.</li> </ul>
<ul style="list-style-type: none"> <li>Personnel who may handle allergens or product potentially containing allergens are aware of their responsibility to control allergens.</li> </ul>
<p><b>B.C.2.2 Were customer requirements and appropriate legislation addressed in the development of the Allergen Control Programme?</b></p>
<ul style="list-style-type: none"> <li><i>No additional guidance provided for this requirement</i></li> </ul>
<p><b>B.C.2.3 Are potential causes of cross contamination identified and procedures established for the handling of raw materials, intermediate and finished products to avoid cross contamination?</b></p>
<ul style="list-style-type: none"> <li>The procedure makes reference to: <ul style="list-style-type: none"> <li>Physical or time segregation while allergen-containing materials are being stored, processed or packed</li> <li>The use of identified, dedicated equipment for processing or cleaning</li> <li>A policy for all food brought on site by personnel, contractors and visitors</li> <li>The labelling of raw material , ingredients and semi finished products known to contain or potentially contain allergens</li> </ul> </li> <li><b>The cleaning and sanitisation programme is effective to remove all potential allergens from product contact surfaces.</b></li> </ul>
<p><b>B.C.2.4 Are procedures relating to the cleaning and sanitation of product contact surfaces in place and effective to remove all potential allergens from food contact surfaces?</b></p>
<ul style="list-style-type: none"> <li><i>No additional guidance provided for this requirement</i></li> </ul>
<p><b>B.C.2.5 Is a clear labeling system in place ensuring continuous identification of the product through all stages of production and delivery?</b></p>
<ul style="list-style-type: none"> <li><i>No additional guidance provided for this requirement</i></li> </ul>

<p><b>Intermediate Level Requirement Assessment</b></p>
<p><b>I.C 1. HACCP</b></p>
<p>The business shall perform a hazard analysis of their food manufacturing process as a minimum step in order to determine if there are any hazards associated with the production of their food item. Businesses shall use the HACCP [Hazard Analysis Critical Control Point] tool to accomplish this assessment. Each business shall have performed a hazard analysis, and if hazards are identified within the manufacturing process, it is expected that the business will take appropriate action necessary to develop a HACCP Plan that meets the 7 principles reflected within Codex Alimentarius.</p>
<p><b>NOTE:</b> For businesses being assessed against the Intermediate Level requirements, there will be significant overlap between the Basic and Intermediate requirements for this section. Both Levels shall be assessed regardless of this overlap.</p>
<p><b>I.C 1.1 Is there a description for each product?</b></p>
<ul style="list-style-type: none"> <li>There shall be a product description for each product or each type of product.</li> <li>Product description shall include where appropriate: <ul style="list-style-type: none"> <li>Composition, physical/chemical structure (including Aw, pH, etc.)</li> <li>Processing/treatments (heat-treatment, freezing, brining, smoking, etc.)</li> <li>Packaging (food contact)</li> <li>Shelf life</li> <li>Storage conditions</li> <li>Method of distribution.</li> </ul> </li> </ul>
<p><b>I.C 1.2 Is the food or ingredient processing illustrated in a flow diagram?</b></p>
<ul style="list-style-type: none"> <li>The diagram should include all steps within the product process flow</li> </ul>
<p><b>I.C 1.3 Principle 1: Is a hazard analysis conducted for each process step in the manufacturing of the food</b></p>

<p><b>item?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• Documentation shall address the potential for all chemical (including allergens), microbiological, and physical hazards that could occur within the process</li> <li>• The hazard analysis shall also address the potential hazards (biological, chemical, physical) associated with the production inputs including raw materials and ingredients (including water, steam, ice or gases used as ingredients).</li> </ul>
<p><b>I.C 1.4 Principle 2: If the hazard analysis indicates any hazards present within the food manufacturing process are Critical Control Points (CCPs) identified?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• The determination of a CCP shall be made using a decision tree or other adequate method.</li> <li>• The CCP determination shall be documented</li> <li>• CCPs must eliminate, maintain, or reduce those hazards to an acceptable level.</li> </ul>
<p><b>I.C 1.5 Principle 3: Are Critical Limits established for each CCP?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• The critical limits should apply to the specific operation, product or groups of products being processed</li> <li>• Critical limits should be specified and validated</li> </ul>
<p><b>I.C 1.6 Principle 4: Are Monitoring procedures established for each CCP?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• Monitoring procedures must be able to detect a loss of control in the process</li> <li>• Monitoring records must be evaluated by trained, competent personnel</li> <li>• If monitoring is not continuous, then the assigned frequency must be adequate to ensure that the CCP remains in control</li> <li>• Monitoring records must be signed by the individuals conducting the monitoring and reviewing the records</li> </ul>
<p><b>I.C 1.7 Are CCPs effectively implemented?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<p><b>I.C 1.8 Principle 5: Are corrective actions established for each CCP in the event critical limits are exceeded?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• Corrective actions must ensure that the CCP is brought under control and address actions to be take for the proper disposition of affected product</li> <li>• Product deviations and final disposition must be documented</li> </ul>
<p><b>I.C 1.9 Principle 6: Are verification procedures established?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• The frequency of the verification procedures should ensure that the HACCP system is working effectively</li> <li>• Verification should be conducted by someone other than the personnel responsible for monitoring and corrective actions</li> </ul>
<p><b>I.C 1.10 Are verification procedures effectively implemented?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>
<p><b>I.C 1.11 Principle 7: Are record-keeping and documentation for HACCP procedures established?</b> <b>(Required element – Major deduction if missing)</b></p> <ul style="list-style-type: none"> <li>• All established HACCP procedures shall be documented</li> <li>• The record keeping system must be effective and clearly communicated to the appropriate personnel</li> </ul>
<p><b>I.C 1.12 Are all HACCP-related record-keeping and documentation procedures effectively implemented?</b></p>



<b>(Required element – Major deduction if missing)</b>
<ul style="list-style-type: none"> <li>• Includes preliminary steps, HACCP and pre-requisite programmes (bullet point)</li> <li>• Monitoring records must be maintained</li> </ul>
<b>I.C 1.13 Has the business implemented specific control measures for all relevant steps not identified as CCPs?</b>
<ul style="list-style-type: none"> <li>• <i>No additional guidance provided for this requirement</i></li> </ul>

<b>Intermediate Level Requirement Assessment</b>
<b>I.C 2. Food Defence</b>
The business shall assess its ability to prevent intentional product tampering/intentional contamination and put in place the appropriate preventive control measures.
<b>I.C 2.1 Have the threats to the product as a result of intentional product tampering/intentional contamination been assessed?</b>
<ul style="list-style-type: none"> <li>• Intentional product tampering can include acts of sabotage, vandalism or terrorism.</li> <li>• The assessment must be appropriate to the business, the site and the country.</li> </ul>
<b>I.C 2.2 Have those points in the process which are vulnerable to intentional product tampering/intentional contamination been identified and subjected to additional access control?</b>
<ul style="list-style-type: none"> <li>• Physical restriction of access may be through the use of locks, electronic key card or other appropriate systems.</li> <li>• Control measures shall cover product, process, personnel, security and systems and where applicable, storage and transportation.</li> </ul>
<b>I.C 2.3 Are measures in place to address what to do with the product, if prohibited access took place and the product may have been tampered with/intentionally contaminated?</b>
<ul style="list-style-type: none"> <li>• Measures shall address identifying the incident, identifying potentially affected material, isolation and quarantine of the potentially affected material and appropriate disposition based on the safety of the product.</li> </ul>

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