



Food Manufacturing Requirements Version 2



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INTRODUCTION

The scope of the Woolworths Supplier Excellence Program – Food Manufacturing covers all Woolworths Branded Food and Fresh Food (including; bulk, proprietary and ingredients, as applicable) in each of the following industry categories:

- Bakery style products
- Long-life/grocery
- Cheese
- Deli style products
- Meat
- Seafood
- Meal solutions (including fresh cuts)
- Nuts
- Perishables including Eggs
- Small goods
- Value-added produce

Brokers associated with the above named product categories are required to be audited against the **Industry Standard for Service Provider** as relevant to the scope of their business and products supplied.

This standard applies to businesses which have been nominated by the respective Woolworths Business Teams as part of the contractual requirements for supply. This program is by Woolworths' invitation only and no Supplier can formally engage in any part of the Woolworths Supplier Excellence Program process without Woolworths' consent.

As determined by Woolworths, Suppliers will be required to achieve and maintain certification to the Woolworths Supplier Excellence Program, in addition to any existing regulatory or voluntary audits that may be currently in place (including import/export protocols, where applicable).

Woolworths Supplier Excellence Program is applicable for all food products and the scope of audit will address the products and activities Woolworths deems appropriate base on your current supply.

- All sections of the Standard and supplemental Woolworth Supplier Excellence COPs are relevant and auditable unless demonstrated otherwise by the Supplier for their specific circumstances. As such, policies and procedures must be developed, documented and implemented commensurate with the risk of the product, process, facility and location of manufacture and made available for independent verification by a Woolworths approved Certification Body auditor.
- Where aspects of the standard are not implemented, this must be supported by a documented risk assessment detailing reasons for exclusion which has been agreed in writing with the relevant Woolworths Quality Specialist.

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Irrespective of the above, all products supplied to Woolworths Group Ltd are required to be compliant with all current regulations both in the country of origin and the country of sale.

Photographic evidence is valuable to Woolworths Quality Team to demonstrate compliance/non-compliance to the Woolworths Supplier Excellence Program as well as continuous improvement of their Suppliers. As such, auditors are encouraged to provide photos of operational conditions when reporting audit findings relevant to 'Production Focused Audit' criteria.

Woolworths Supplier Excellence Program certification is site and product specific as nominated by Woolworths. The Supplier must inform Woolworths of any changes in business circumstances e.g. change of address, ownership, use of contractors etc. and Woolworth's approval is required where this change impacts a Woolworths branded product. If a Supplier wishes to supply a new product that is outside the current scope of their Woolworths Supplier Excellence Program certification a request for a product scope upgrade must be directed to the relevant Business team.

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SECTION 1 - Company Commitment

The site's senior management must demonstrate they are fully committed to the implementation of the requirements of the Woolworths Supplier Excellence Program and to the processes which aid the continual improvement of food safety and quality management.

	Clause No	Requirements
1.1 Management Commitment	1.1.1	Senior Management must demonstrate their commitment to the effective implementation of the requirements of the Woolworths Supplier Excellence Program and must provide the resources necessary to achieve quality and food safety objectives and support the development, implementation and continual improvement.
	1.1.2	The Supplier must employ a technically competent staff member(s) who holds responsibility for the day-to-day operation and development of the quality management system.
	1.1.3	The supplier must be familiar with all regulatory requirements associated with the specific product supplied. <ul style="list-style-type: none">• The Supplier must be able to demonstrate understanding of the relevant regulatory requirements for the industry sector in which they operate both in the country of manufacture and the country of sale.• The Supplier must have a system to ensure current information associated with all food safety issues, regulations, scientific and technical developments applicable in the country of production and sale is available, reviewed and implemented where applicable.
1.2 Senior Management Review	1.2.1	<p>A procedure must be developed, documented and implemented to demonstrate how the company completes a review of the Quality & Food Safety Management System and to demonstrate how actions defined are implemented to facilitate continuous improvements.</p> <p>Senior Management must conduct as a minimum a twice yearly review of the Quality & Food Safety Management System. The review must be face to face and must include members of the management team representing production, technical/quality, logistics and sales/marketing (as a minimum) to ensure all areas of the business relating to Woolworths are captured.</p> <p>This will include, at a minimum:</p> <ul style="list-style-type: none">• The quality management system• HACCP Plan/s• Allergen management• Records of internal/external audits• Corrective actions• Pest monitoring and prevention• Customer complaints• Withdrawals and Recalls• Management of cleaning• Foreign object controls• Food Defence and Food Fraud.
	1.2.2	<p>Senior Management must ensure ongoing verification activities are in place to validate the continuing effectiveness of the Quality & Food Safety Management System, to ensure:</p> <ul style="list-style-type: none">• Root cause analysis and corrective action has been completed where required to correct problems identified

1.3 Customer Feedback & Complaints		<ul style="list-style-type: none"> • Verification activities have been routinely conducted and recorded. <p>The supplier shall define an ongoing meeting program (at least monthly) which enables food safety, legality and quality issues to be brought to the attention of senior management.</p>
	1.2.3	<p>Management must participate in the review of corrective actions and ensure the root cause of the failure has been identified and modified or corrected to prevent reoccurrences.</p> <ul style="list-style-type: none"> • The preventative action taken must be documented. • Management must consider resource provision as a potential root cause of system or product failure.
	1.3.1	<p>A procedure for the management of customer feedback must be documented and implemented.</p> <ul style="list-style-type: none"> • This must include a procedure detailing how complaints are managed. • Feedback includes positive comments and complaints. • Complaints must include product rejections from Woolworths as well as individual customer contact.
	1.3.2	<p>Customer complaints may be escalated to product withdrawal and/or recall based on the investigation of the complaint and the trend data.</p> <ul style="list-style-type: none"> • This process must be incorporated into the procedure.
	1.3.3	<p>Complaints must be assessed upon receipt and logged by a trained business representative.</p> <ul style="list-style-type: none"> • Corrective action must be promptly applied appropriate to the severity of the issue. • It must demonstrate every effort has been made to obtain full details of the issue. • Detailed records of communication with both Woolworths and the customer must be retained showing effective and diligent complaint investigation, resolution and corrective action. • Each complaint has a unique reference number and the complaints log includes: <ul style="list-style-type: none"> – Source of complaint (phone, email, social media) – Nature of complaint – Product information – Product code e.g. best-before/use-by – Whether product sample has been requested – Corrective action – Communications.
	1.3.4	<p>Complaint investigations must include analytical and/or destructive product testing and assessment where a sample of the product can be obtained.</p> <ul style="list-style-type: none"> • Retention samples must be utilised as part of the investigation. • Complaint investigations must involve internal and external experts as necessary. • Upon completion of the documented complaint investigation, the document must be signed off by a competent senior manager. • All steps of the complaint investigation must be documented. • The root cause of the complaint should be identified and documented. • Corrective and preventative action must be taken. • A prompt response for the customer must be provided.

	1.3.5	<p>Complaints must be trend analysed by volume produced and complaint category as a minimum, and should include all product produced on site as well as Woolworths branded products.</p> <ul style="list-style-type: none"> • Trend analysis, investigations and details of individual complaints or rejections must be maintained and available to Woolworths upon request. • Corrective action should be applied to individual complaints and root cause(s) in a timely manner to reduce and eliminate reoccurring complaints and implement ongoing improvements to product safety, legality and quality.
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SECTION 2 – HACCP

The company must have a fully implemented and effective food safety and quality plan in accordance with Codex Alimentarius HACCP principles.

	Clause No	Requirements
2.1 The HACCP Food Safety Team – (Codex Step 1)	2.1.1	<p>The business must develop, document and implement an effective and accurate HACCP Plan or Plans as per the Codex Alimentarius HACCP Principles & Guidelines.</p> <p>The HACCP Plan/s must:</p> <ul style="list-style-type: none"> • Incorporate relevant Local, State and Federal legislation, Woolworths Codes of Practice, and Legislation for the country of production and for the country of sale • Identify potential hazards to food safety, product quality and regulatory compliance.
	2.1.2	<p>The HACCP Plan/s must be developed by a multi-disciplinary team.</p> <ul style="list-style-type: none"> • The HACCP Team includes representation from all sections of the business who have Product and or Process knowledge and expertise, including but not limited to: Food Safety/QA, Production, Cleaning, Purchasing, Maintenance, Warehouse, Sales, Senior Management. • The team leader must have an in-depth knowledge of HACCP and be able to demonstrate competence and experience. • The team members must have specific knowledge of HACCP and relevant knowledge of product, process and associated hazards. • In the event of the site not having appropriate in-house knowledge, external expertise may be used, but the day to day management of the food safety system must remain the responsibility of the company.
	2.1.3	A detailed scope for each HACCP plan, including the products and processes covered, must be defined.
2.2 Pre-requisite Programs	2.2.1	<p>The site must establish and maintain environmental and operational programs necessary to create an environment suitable to produce safe and legal food products (<i>These are called Prerequisite Programs</i>).</p> <p>As a guide these may include the following, although this is not an exhaustive list:</p> <ul style="list-style-type: none"> • Prevention of Foreign Object Contamination - WSE Section 6 & COP – Prevention of Foreign Object Contamination • GMP & Control of Product – Production and Storage – WSE Section 6 • Premises & Facility – WSE Section 7 • Equipment & Maintenance – WSE Section 8 • People – Staff Hygiene & Training – WSE Section 12 • Calibration – WSE Section 9 • Allergen Management – WSE Section 6 & Code of Practice – Allergen Management • Cleaning & Sanitation – WSE Section 10 • Pest Prevention – WSE Section 11 <p>The control measures and monitoring procedures for the prerequisite programs must be clearly documented and must be included within the development and reviews of the HACCP.</p>
2.3 Describe the Product – (Codex Step 2)	2.3.1	<p>A full description for each product or group of products must be developed, which includes all relevant information on food safety. As a guide, this may include the following, although this is not an exhaustive list:</p> <ul style="list-style-type: none"> • Composition (e.g. raw materials, ingredients, allergens, recipe) • Origin of ingredients

		<ul style="list-style-type: none"> Physical or chemical properties that impact food safety (e.g. pH, aw) Treatment and processing (e.g. cooking, cooling) Packaging system (e.g. modified atmosphere, vacuum) Storage and distribution conditions (e.g. chilled, ambient) Target safe shelf life under prescribed storage and usage conditions.
	2.3.2	<p>All relevant information needed to conduct the hazard analysis must be collected, maintained, documented and updated. The company will ensure that the HACCP plan is based on comprehensive information sources, which is referenced and available on request.</p> <p>As a guide this may include the following, although this is not an exhaustive list:</p> <ul style="list-style-type: none"> The latest scientific literature Historical and known hazards associated with specific food products Relevant Codes of Practice Recognised guidelines Food safety legislation relevant for the production and sale of products Customer Requirements.
2.4 Identify Intended Use – (Codex Step 3)	2.4.1	The intended use of the product by the customer, and any known alternative use, must be described, defining the consumer target groups, including the suitability of the product for vulnerable groups of the population (e.g. infants, elderly, allergy sufferers).
2.5 Construct a Process Flow Diagram – (Codex Step 4)	2.5.1	<p>A flow diagram must be prepared to cover each product, product category or process. This must set out all aspects of the food process operation within the HACCP scope, from raw material receipt through to processing, storage and distribution. As a guide, this should include the following, although this is not an exhaustive list:</p> <ul style="list-style-type: none"> Plan of premises and equipment layout Raw materials including introduction of utilities and contact materials (e.g. water, packaging) Sequence and interaction of all process steps Outsourced processes and subcontracted work Potential for process delay Reworking and recycling Low-risk/high-risk/high-care area segregation Finished products, intermediate/semi-processed products, by-products and waste.
2.6 Verify Flow Diagram – (Codex Step 5)	2.6.1	The HACCP food safety team shall verify the accuracy of the flow diagrams by on-site audit and challenge at least annually. Daily and seasonal variations must be considered and evaluated. Records of verified flow diagrams must be maintained.
2.7 Conduct a Hazard Analysis – (Codex Principle 1)	2.7.1	<p>The HACCP food safety team must identify and record all potential hazards in regards food safety, quality and regulatory compliance that are reasonably expected to occur at each step in relation to product, process and facilities.</p> <p>This shall include hazards present in raw materials, those introduced during the process or surviving the process steps, and allergen risks. It must also take account of the preceding and following steps in the process chain.</p>

	2.7.2	<p>The HACCP food safety team must conduct a hazard analysis to identify hazards which need to be prevented, eliminated or reduced to acceptable levels. Consideration must be given to the following:</p> <ul style="list-style-type: none"> • Likely occurrence of hazard • Severity of the effects on consumer safety • Vulnerability of those exposed • Survival and multiplication of microorganisms of specific concern to the product • Presence or production of toxins, chemicals or foreign bodies • Contamination of raw materials, intermediate/semi processed product, or finished product. <p>Where elimination of the hazard is not practical, justification for acceptable levels of the hazard in the finished product shall be determined and documented.</p>
	2.7.3	The HACCP food safety team must consider the control measures necessary to prevent or eliminate a food safety hazard or reduce it to an acceptable level. Where the control is achieved through existing prerequisite programs, this shall be stated and the adequacy of the program to control the specific hazard validated. Consideration may be given to using more than one control measure.
2.8 Determine Critical Control Points (CCPs) – (Codex Principle 2)	2.8.1	<p>For each hazard that requires control, control points shall be reviewed to identify those that are critical. This requires a logical approach and may be facilitated by use of a decision tree. Critical control points (CCPs) must be those control points which are required in order to prevent or eliminate a food safety hazard or reduce it to an acceptable level.</p> <p>If a hazard is identified at a step where control is necessary for safety but the control does not exist, the product or process shall be modified at that step, or at an earlier step, to provide a control measure.</p>
2.9 Establish Critical Limits – (Codex Principle 3)	2.9.1	<p>For each CCP, the appropriate critical limits must be defined in order to identify clearly whether the process is in or out of control. Critical limits must be:</p> <ul style="list-style-type: none"> • Measurable wherever possible (e.g. time, temperature, pH) • Supported by clear guidance or examples where measures are subjective (e.g. photographs).
	2.9.2	The HACCP food safety team must validate each CCP. Documented evidence must show that the control measures selected and critical limits identified are capable of consistently controlling the hazard to the specified acceptable level.
2.10 Establish the Monitoring System – (Codex Principle 4)	2.10.1	<p>A monitoring procedure must be established for each CCP to ensure compliance with critical limits. The monitoring system must be able to detect loss of control of CCPs and wherever possible provide information in time for corrective action to be taken. As a guide, consideration may be given to the following, although this is not an exhaustive list:</p> <ul style="list-style-type: none"> • On-line measurement • Off-line measurement • Continuous measurement (e.g. thermographs, pH meters etc.). <p>Where discontinuous measurement is used, the system shall ensure that the sample taken is representative of the batch of product.</p>
	2.10.2	Records associated with the monitoring of each CCP must include the date, time and result of measurement and must be signed by the person responsible for the monitoring and verified, when appropriate, by an authorised person. Where records are in electronic form there shall be evidence that records have been checked and verified.

2.11 Establish a Corrective Action Plan – (Codex Principle 5)	2.11.1	The HACCP food safety team must specify and document the corrective action to be taken when monitored results indicate a failure to meet a control limit, or when monitored results indicate a trend towards loss of control. This must include the action to be taken by nominated personnel with regard to any products that have been manufactured during the period when the process was out of control.
2.12 Establish Verification Procedures – (Codex Principle 6)	2.12.1	<p>Procedures of verification must be established to confirm that the HACCP plan, including controls managed by prerequisite programs, continues to be effective. Examples of verification activities include:</p> <ul style="list-style-type: none"> • Internal audits • Review of records where acceptable limits have been exceeded • Review of complaints by enforcement authorities or customers • Review of incidents of product withdrawal or recall. <p>Results of verification shall be recorded and communicated to the HACCP food system team.</p>
2.13 HACCP Documentation and Records – (Codex Principle 7)	2.13.1	Documentation and record keeping must be sufficient to enable the site to verify that the HACCP controls, including controls managed by prerequisite programs, are in place and maintained.
2.14 Review the HACCP Plan	2.14.1	<p>The HACCP food safety team must review the HACCP plan and prerequisite program at least annually and prior to any changes which may affect product safety. As a guide, these may include the following, although this list is not exhaustive:</p> <ul style="list-style-type: none"> • Change in raw materials or supplier of raw materials • Change in ingredients/recipe • Change in processing conditions, process flow or equipment • Change in packaging, storage or distribution conditions • Change in consumer use • Emergence of a new risk (e.g. known adulteration of an ingredient) • Following a recall • New developments in scientific information associated with ingredients, process or product. <p>Appropriate changes resulting from the review must be incorporated into the HACCP plan and/or prerequisite programs, fully documented and validation recorded.</p>

SECTION 3 - Quality Management System The company's processes and procedures meet the requirements of the Woolworths Supplier Excellence Program and are documented to allow a consistent application, aid in training and support due diligence in the production of safe, legal and quality product.		
	Clause No	Requirements
3.1 Quality Management System	3.1.1	<p>Suppliers must have available access to the current Woolworths Supplier Excellence Program and related documents including relevant "Code of Practice (COP)", Industry Standards and guidance documents.</p> <p>A description of the Quality Management System must be documented within a Quality Manual (printed or electronic) clearly stating the scope of the Quality Management system. This must include:</p> <ul style="list-style-type: none"> • Description of and the interaction of related procedures and processes • Description of how documented procedures, work methods and records are managed • Description of the security of the quality management system (including management of current "backup" copies) • The relevant procedures/records as required by the Woolworths Supplier Excellence Program with respect to the range of activities on the site as covered in the scope. <p>The quality manual and associated documents and work instructions must be easy to access and available to key employees outlining company policies and procedures.</p>
	3.2.1	<p>The site must document a quality policy which outlines the Supplier's objectives and commitment for the supply of legal, safe and quality products that meet the agreed specification as well as meeting the customer expectations.</p> <ul style="list-style-type: none"> • The policy must incorporate the Supplier's commitment to food safety and detail the resulting food safety objectives. • This quality policy must be signed on behalf of the Supplier by the Senior Manager with executive responsibility.
3.3 Organisation Structure	3.3.1	<p>The Supplier must develop and have available an organisation chart. The chart must indicate the job positions within the organisation.</p> <ul style="list-style-type: none"> • Deputies must be designated for positions with responsibility for product safety, quality and legality. • Job descriptions must be documented for each position nominated within the organisation chart, stating the responsibilities for product safety, quality and maintenance of the quality system.
3.4 Document and Records Control	3.4.1	A register of all documents including the quality manual, procedures, work instructions, forms, HACCP Plans, specifications with the date and/or version number must be maintained. Each document must be referenced with sufficient information to enable traceability into the quality management system.
	3.4.2	Where amendments are made to any of those documents listed in the document register they must be recorded and dated. The reason for change must be documented.
	3.4.3	<p>Records for the verification of all of these procedures and any corrective actions to problems identified must be maintained by the organisation.</p> <ul style="list-style-type: none"> • Each record requiring confirmation of a task completion must be documented by way of a signature, not a tick. <p>Tick sheets are not to be used.</p>
3.5 Internal Audit	3.5.1	<p>The organisation must implement an internal audit program which reviews all elements of the Quality Management System and the requirements of the Supplier Excellence Standard.</p> <ul style="list-style-type: none"> • Audits need to be scheduled and conducted at a frequency which represents the level of risk determined for the system or procedure. • Audit of each component of the Quality Management System must be conducted at a minimum annually.

		<ul style="list-style-type: none"> • The audits must be completed by competent internal auditors who are able to assess and communicate the outcomes of the audit process. • Auditors must be able to demonstrate evidence of auditing skill. Responsibilities and frequencies must be defined.
	3.5.2	<p>The results of the internal audit must be communicated to the personnel responsible to establish corrective action and the respective timeline for completion.</p> <ul style="list-style-type: none"> • Corrective actions must be reviewed for completion and effectiveness in resolving the identified problem.
	3.5.3	<p>In addition to the internal audit program, the supplier must undertake documented inspections to ensure that the factory environment and processing equipment is maintained in a suitable condition for food production.</p> <p>These inspections may include, but not limited to:</p> <ul style="list-style-type: none"> • Cleaning and housekeeping conditions • Fabrication inspections to identify risks to the product from the building or equipment. <p>The frequency of these inspections is based on risk though no less than once per month in open product areas.</p>

SECTION 4 – Raw Material Management, Food Fraud & Approved Supplier Program

The company must have an effective supplier approval system which monitors all raw materials and packaging for safety, authenticity, legality and quality.

	Clause No	Requirements
4.1 Raw Material Risk Assessment	4.1.1	<p>A documented risk assessment must be carried out to assess each purchased input (or group of similar inputs) for safety, quality or regulatory hazards.</p> <p>The purchased input and the supplier must be assessed. The risk assessment must consider:</p> <ul style="list-style-type: none">• The level and type of processing that is applied to the purchased input• The format the material is purchased in e.g. a canned product will have a lower microbiological risk than the fresh produce format of the same ingredient• The direct affect the quality of the input has on the quality of the finished product• Risks which may have a direct impact on finished product safety and quality including allergen content or cross contamination, microbiological loading, chemical contamination and foreign object contamination• The volume and/or frequency of the purchased input• The inherent safety of the product or service• The geographical origin of the raw material• Substitution and food fraud.
	4.1.2	<p>Suppliers must demonstrate sufficient knowledge of the raw material supplier's product and process to make a judgment of the risk category.</p> <ul style="list-style-type: none">• The higher risk the product presents to the Supplier's product or process, the more information the Suppliers must be expected to hold.
	4.1.3	<p>Where the raw material risk assessment has identified a purchased input could be a safety, quality or regulatory hazard, a method of controlling the risk must be developed, documented and implemented to control the hazard.</p>
4.2 Food Fraud	4.2.1	<p>Product supplied must meet the product name and/or specification in full.</p> <ul style="list-style-type: none">• Issues such as adulteration, counterfeiting, mislabelling and dilution of product either knowingly or not are considered critical non-conformances.
	4.2.2	<p>The supplier must have processes in place to access information on historical and developing threats to the supply chain which may present a risk of adulteration or substitution of raw materials, such information may come from:</p> <ul style="list-style-type: none">• Trade associations• Government sources• Private resource centres.
	4.2.3	<p>The Supplier must identify any potential or known risks to the integrity of the specific product(s) supplied by conducting a Vulnerability Assessment using a multi-disciplinary team.</p>
	4.2.4	<p>The documented Vulnerability Assessment shall be carried out on raw materials or groups of raw materials to assess the potential risk of adulteration or substitution, including consideration of the following as a minimum:</p> <ul style="list-style-type: none">• Historic incidents• Economic factors/Price fluctuations• Geographic origin

		<ul style="list-style-type: none"> Length & complexity of the supply chain Storage/Distribution Material value/Market size Physical form of the material Emerging concerns Existing controls Availability Ease of access to materials.
	4.2.5	Where a vulnerability is highlighted, the supplier shall introduce appropriate control measures at the steps where there is vulnerability. These may include but are not limited to e.g. monitoring plans, product testing, origin verification, supplier audits and anti-counterfeit technologies.
	4.2.6	The supplier must review the Food Fraud Vulnerability assessment if new products, new processes or any other changes that may affect the Food Fraud Vulnerability assessment are introduced. Vulnerability assessment and improvement plans must be reviewed as a minimum annually.
4.3 Approved Supplier Program	4.3.1	Suppliers must have a documented Approved Supplier Program in place and must ensure all purchased inputs comply with all regulatory requirements of the country of manufacture and sale. <ul style="list-style-type: none"> The Approved Supplier Program includes primary, secondary and contingency suppliers of all key items.
	4.3.2	<p>The Supplier Approval Program must include, at a minimum:</p> <ul style="list-style-type: none"> The approval criteria used for each supplier/purchased input Records of within date certificates and scope of certification where independently audited food safety or quality certification programs are used Records of supplier audits (second party audits), their reviews and closure of corrective actions Evidence of auditor competency where supplier audits are conducted Questionnaires and technical review of the supplier's responses (if used) Methods of review and verification of the results shown on Certificates of Analysis where these are provided by the supplier. Note these must be per delivery/batch purchased Methods for removal of suppliers from the approved supplier program Methods for use of "emergency suppliers", the circumstances in which these are permitted and any specific process controls required Methods for technical review of raw material, finished specifications or the service contract The frequency of review of approval method for each supplier Methods of ensuring suppliers communicate any changes which impact or may impact on a purchased input's safety, quality or regulatory attributes Evidence that suppliers operate effective traceability.
	4.3.3	<p>There shall be a documented procedure for the approval and monitoring of suppliers of services and shall include, as appropriate:</p> <ul style="list-style-type: none"> Pest control Laundry services

		<ul style="list-style-type: none"> Contracted cleaning Contracted servicing and maintenance of equipment Transport and distribution Off-site storage of ingredients, packaging or products Laboratory testing Catering services Waste management.
	4.3.4	Formal agreements must be obtained for any contract service used by the Supplier. These agreements must demonstrate that food safety, quality and regulatory aspects have been addressed with effective control measures documented and implemented where necessary.
	4.3.5	<p>Where raw materials are purchased from agents or brokers, the raw material supplied shall be considered in the raw material risk assessment and the supplier shall know the identity of the manufacturer or packer.</p> <p>Assessment of the agent/broker must be included in the Approved Supplier Program. The imported raw materials verification program must include (based on risk assessment):</p> <ul style="list-style-type: none"> Raw material testing and quality assessment Review of quality management systems Regulatory compliance checking.
	4.3.6	<p>Supply of finished product managed by a brokerage arrangement must be included in the Supplier's approved supplier program.</p> <p>Methods of supplier approval and ongoing assessment must encompass product testing, reviews of quality management systems in place, and regulatory and quality assessment of actual product.</p>
	4.3.7	<p>The process for selection of a new supplier and ongoing approval of an existing supplier must be documented and implemented.</p> <ul style="list-style-type: none"> The approval process may utilise more than one approval method but it must be based on the risk assessment.
	4.3.8	A list of suppliers/products and their current status must be maintained and be accessible at point of receipt of goods or service.
4.4 Raw Material Monitoring & Supplier Performance	4.4.1	<p>A monitoring plan must be developed and implemented to assess compliance of purchased inputs to raw material specifications.</p> <ul style="list-style-type: none"> The methods of assessment must be documented and records of the evaluations maintained. Where incoming goods or services do not meet specification, corrective actions must be documented, and records must be maintained including the resultant action applied to the affected raw materials. The evaluation documentation must include the following: <ul style="list-style-type: none"> Confirmation of compliance to all relevant regulatory requirements in the country of production and the country of sale Assessment and approval in accordance with the approved raw material specification Quantitative parameters of acceptance/rejection criteria (from specification) Methods of assessment of incoming goods, including inspection levels and type of test (destructive, visual, analytical) Collection and use of retention samples Methods of measuring temperature for all potentially hazardous food products. These must be demonstrated to be representative throughout the quantity of goods received. These must be measured and recorded at receipt Code labelling and date marking requirements including date of receipt and stock rotation methods.

	4.4.2	<p>The Supplier must document and implement procedures for performance review of approved suppliers.</p> <ul style="list-style-type: none"> • Records must detail any actions taken (e.g. cease purchase, increase surveillance and monitoring, positive feedback on performance). • Where applicable these must include microbiological, allergen and chemical testing to verify conformance to raw material specifications. • Any review meetings held with suppliers must be documented and actions closed.

SECTION 5 – Specifications

Specifications must exist for raw materials including packaging, finished products and any product or service which could affect the integrity of the finished product. Product packaging shall be appropriate for the intended use and must be stored to prevent contamination and minimise damage.

	Clause No	Requirements
5.1 Legal Responsibility	5.1.1	Product specifications are legal documents which must fully describe the product and its' attributes. Suppliers must ensure that: <ul style="list-style-type: none">• The information contained within the product specification is accurate, complete, and reflects the product supplied and approved for purchase• All products supplied are fully compliant to the specification. This includes all safety, quality and regulatory aspects (including import/export protocols)• They have access to current specifications for every product produced.
	5.1.2	Suppliers are responsible for ensuring all packaging, ingredients and additives used (whether from chemical or natural sources) must be permitted for use with or in the product being supplied. <ul style="list-style-type: none">• This includes any products which may be in contact with the food at any time in the process.• Suppliers must demonstrate the raw materials and/or additives used are permitted in each individual product concerned.
5.2 Specification Review	5.2.1	All specifications must be reviewed whenever the product, ingredients or process changes or at least every 12 months. <ul style="list-style-type: none">• Records of reviews must be maintained.
	5.2.2	Updates must be communicated to Woolworths to allow any changes to be agreed prior to the product being manufactured and/or packed.
5.3 Raw Materials / Purchased Inputs	5.3.1	Current Specifications must be available for all Purchased Inputs (Raw Materials/Ingredients) used to produce the product. The specification must be: <ul style="list-style-type: none">• Document controlled, and part of the quality management system• Reviewed when changes are made to product, supplier or process or at least every 12 months• Show compliance with food safety and legislative requirements. Be agreed between the Supplier and the purchased input supplier.
	5.3.2	The Raw Material/Ingredient specifications must include: <ul style="list-style-type: none">• Product name• Ingredient statement in accordance with labelling laws of the country in which the product is to be sold (where applicable)• Packaging specifications, including tamper protection (where applicable)• Transport, storage and handling criteria• Shelf life (where applicable). All quality, regulatory and safety parameters (including microbiological/chemical/physical criteria and allergen content and cross contamination status).
5.4 Packaging	5.4.1	All packaging must comply with legislation in both the country of manufacture and country of sale, as appropriate and have current specifications available.
	5.4.2	Product packaging must be: <ul style="list-style-type: none">• Appropriate for the intended use and product

		<ul style="list-style-type: none"> • Compliant with relevant food safety/product legislation, including materials in contact with food requirements (<i>see COP - Woolworths Own Brand Products for specific requirements</i>) • Sustainable for the shelf life of the product • Selected and specified with consideration of any foreign object risks presented by the packaging and the environment that the packaging is produced in (e.g. Dust, lack of pest control).
5.5 Work In Progress (WIP)	5.5.1	<p>Where Work In Progress (WIP) is used, the Supplier must:</p> <ul style="list-style-type: none"> • Document internal WIP specifications for all materials which are combined in an assembly step to produce a finished product • Include details of all relevant product safety, quality and regulatory criteria on the WIP specification • Schedule reviews of WIP specifications at least annually or whenever changes to the product or process have occurred.

SECTION 6 - Control of Product

The site must operate to documented procedures that ensure the production of consistently safe and legal product that meets in full the customers' expectations, this must be in full compliance with the HACCP food safety plan.

	Clause No	Requirements
6.1 New Product Design & Development	6.1.1	<p>NPD procedures must be in place for all new products or processes and any changes to product, packaging or manufacturing processes to ensure that safe and legal products are produced.</p> <ul style="list-style-type: none">Please refer to the Code of Practice – Woolworths Own Brand Products for additional detailed Woolworths requirements.
6.2 Product Identification	6.2.1	<p>The Supplier must document and implement procedures to ensure all materials used in or produced by production processes are clearly identified. Identification may be through on-product labelling, coding or IT management systems.</p> <p>Materials used in or produced by production processes include:</p> <ul style="list-style-type: none">Raw materialsProcessing aidsPackaging (Primary and shipper)WIPReworkWaste MaterialsNon-conforming productFinished productsChemicals (including cleaning, pest prevention and agricultural/veterinary)Other food contact materials (e.g. gases/ice).
6.3 Traceability	6.3.1	<p>A procedure must be developed, documented and implemented such that all material and inputs are traceable through all stages of the site's processes.</p> <ul style="list-style-type: none">Quality System records and all relevant production records in relation to the process must be identifiable to specific production.Finished product identification must be through product date marking and/or batch marking.Coding used must enable identification of the retail sale unit and the shipper/carton such that product may be identified and recovered at both consumer level and whilst in distribution.Best Before and Use By date coding must be in accordance with the regulatory requirements of the country of sale.
	6.3.2	<p>All raw material (including packaging) and Work In Progress (WIP) must be forward and backward traceable through all stages of the process.</p> <ul style="list-style-type: none">Each individual raw material and its supplier must be identifiable.
	6.3.3	<p>All finished product (including packaging) must be backwards traceable through all stages of the process to all raw materials and inputs used.</p> <ul style="list-style-type: none">All finished product must be traceable through the product distribution chain until delivered to a Woolworths Ltd store or Distribution Centre.All product must be traceable through information on both the retail sale unit and the shipper packaging.

	6.3.4	<p>The traceability system must be internally audited at a minimum frequency of 12 monthly across the groups of products produced or handled.</p> <ul style="list-style-type: none"> • The internal audit must: <ul style="list-style-type: none"> – Test the system both forwards and backwards – Incorporate a mass-balance check. • The traceability exercise must be completed within 4 hours and records of the audit showing all steps must be maintained, and corrective actions must be applied as required.
	6.3.5	Traceability records must be maintained throughout the storage and delivery process up to receipt at Woolworths.
6.4 Waste, Rework and Work In Progress	6.4.1	Waste, re-work and work in progress must be identified at all times in the process.
	6.4.2	<p>Systems for controlling waste, re-work and work in progress must be documented with records maintained.</p> <ul style="list-style-type: none"> • Systems must prevent product contamination by waste products.
	6.4.3	Procedures for disposing of waste (including food product waste intended for use as animal feed) must meet relevant legislative requirements.
	6.4.4	<p>Waste (including work-in-progress, material out-of-spec and non-conforming product) must be clearly identified and segregated for storage and/or disposal.</p> <ul style="list-style-type: none"> • Controls for handling of waste must include: <ul style="list-style-type: none"> – Process waste – Waste as a result of non-conforming products – Used packaging materials and consumables.
	6.4.5	Waste must be stored such that it is not a source of contamination and frequently removed from site.
	6.4.6	<p>Suitable identifiable waste containers or collection systems must be used in production areas.</p> <ul style="list-style-type: none"> • These containers must be: <ul style="list-style-type: none"> – Cleanable – Leak and spill-proof – Not used for raw material, rework, WIP or finished product handling – Emptied and cleaned by designated staff on a regular basis or as required to prevent a build-up. • The cleaning operation must not pose any contamination risk to product.
	6.4.7	<p>Waste pending collection from site or disposal must be stored in allocated areas.</p> <ul style="list-style-type: none"> • Waste storage capacity on site must be suitable and sufficient for all materials in between collection from site. • The frequency of waste collection must be adequate for the site's needs. • Records must indicate the quantity or volume of waste collected for destruction or secure disposal. • Effective pest prevention methods must be in place for waste handling systems and waste storage areas. • Waste or by-product must not be allowed to accumulate on the floor or any other areas.
6.5 Dropped Product	6.5.1	<p>Control procedures must be documented and implemented for any food product which is:</p> <ul style="list-style-type: none"> • Dropped on the floor • Dropped onto other non-food grade or un-sanitised surface.
6.6 Non-Conforming	6.6.1	The Supplier must develop, document and implement procedures to identify and manage items at any stage of the process which are found to be out of specification.

Product	6.6.2	Assessments and decisions regarding non-conforming product must only be made by authorised, trained and accountable personnel. Records of non-conforming product must be maintained and include: <ul style="list-style-type: none"> • Reason for non-conformance • Investigation to the source of the issue • Corrective actions • Final disposition (re-work, donation to charity, destroyed etc.).
	6.6.3	All non-conforming products (including that to be re-worked) must be clearly identified and securely stored to prevent accidental use.
	6.6.4	All non-conforming products which may have a food safety concern (including material recovered from product recall and its packaging) must be destroyed securely and records of the secure destruction maintained.
6.7 Product Labelling and Coding	6.7.1	The company must ensure that the management of labelling and coding ensures that the finished products will be correctly labelled and coded legibly and legally. <ul style="list-style-type: none"> • Please refer to the Code of Practice - Control & Verification of Packaging, Labelling & Coding for further detailed requirements.
6.8 Control of Chemical Contamination	6.8.1	Procedures for chemical control and prevention of cross contamination from chemicals must be developed, documented and implemented. At a minimum, procedures must include the following: <ul style="list-style-type: none"> • Measures for preventing chemical contamination from cleaning and/or sanitation activities • Measures for preventing chemical contamination from maintenance, building and facilities maintenance, medicines, pest control or other chemicals • Measures for preventing contamination of product with non-permitted food additives or processing aids (e.g. colours/flavours/preservatives).
	6.8.2	Where the use of chemicals which may taint products is unavoidable (e.g. scheduled maintenance or building work) procedures/controls must be implemented to protect product from taint or physical contamination.
	6.8.3	All chemicals used must be permitted for use on the type of product or food contact surface being treated. All chemicals used must: <ul style="list-style-type: none"> • Have current Safety Data Sheets (SDS) available in chemical storage areas and other key locations • Have current documentation that demonstrates suitability for use in a food production environment (if used on food production or handling areas).
6.9 Prevention of Foreign Object Contamination	6.9.1	Appropriate controls must be in place to highlight and control the risk of physical contamination of product. The potential for foreign object contamination is the responsibility of all staff, who should be able to identify any potential for foreign object contamination. <ul style="list-style-type: none"> • Please refer to the Code of Practice - Prevention of Foreign Body Contamination for requirements in regards Foreign Object Risk Assessment and development of controls.
	6.9.2	Please refer to the Code of Practice - Metal Detection & X-Ray Systems where the risk assessment indicates metal detectors or x-ray must be used. <ul style="list-style-type: none"> • Where detection systems are considered unnecessary, this must be supported by a documented risk assessment detailing alternative methods employed which reduce the risk of foreign object contamination further, this must be agreed with and signed off by the Woolworths Quality Specialist.

6.10 Allergen Management	6.10.1	<p>The company must have a system for the management of allergens which minimises the risk of allergen contamination of products and meets the requirements of the country of sale.</p> <ul style="list-style-type: none"> • All sites must comply with the additional requirements in Woolworths Code of Practice - Allergen Control.
6.11 Product Integrity – Identity Preservation	6.11.1	<p>Procedures for control and prevention of cross contamination from other food products must be developed, documented and implemented.</p> <p>As a minimum, procedures must include the following:</p> <ul style="list-style-type: none"> • Separation of raw materials, WIP and finished products • Storage of materials at different stages of process • Separation of utensils used for preparing raw materials and finished product • Prevention of contamination of vegetarian products with animal derived ingredients, directly or indirectly from: <ul style="list-style-type: none"> – Shared equipment – Shared processing lines – Personnel/staff – Raw materials/WIP. • Contamination of products with specific on-pack claims (e.g. free from or organic products) with raw materials, finished products or equipment which has been used to manufacture standard products.
6.12 Weight, Volume, Count	6.12.1	<p>The company must operate a quantity control system which conforms to legal requirements in both the country of sale and the country of manufacture.</p> <ul style="list-style-type: none"> • Please refer to the Code of Practice - Weight Volume & Count for additional Woolworths requirements.
6.13 Stock Rotation	6.13.1	<p>A stock rotation policy and procedures for raw materials, work in progress and finished product must be documented and implemented.</p> <p>Procedures must ensure that:</p> <ul style="list-style-type: none"> • The oldest products or materials are used first • Raw material shelf life does not exceed finished product shelf life unless validation data indicates finished product quality and safety is not compromised • Out of date materials are not used.
6.14 Product Validation & Verification	6.14.1	<p>The company must undertake a program of inspection and analysis which are critical to manage product safety, legality and quality using the appropriate tests and standards.</p> <ul style="list-style-type: none"> • Please refer to the Code of Practice - Woolworths Own Brand Products for additional detailed Woolworths requirements.
6.15 Product Release	6.15.1	<p>The company must ensure that finished product is not released unless all agreed procedures have been followed.</p> <ul style="list-style-type: none"> • Please refer to the Code of Practice - Woolworths Own Brand Products for additional detailed Woolworths requirements.

SECTION 7 - Premises & Facility

The fabric of the site including staff facilities must be suitable for the intended purposes. This includes the construction and layout of the facility, its utilities, storage and production areas, and the external environment and security of the site.

	Clause No	Requirements
7.1 Premises & Facility	7.1.1	The premises must be designed, constructed and maintained commensurate with the risk of the product or process supplied to Woolworths. <ul style="list-style-type: none">• The site must be registered with and approved by the relevant regulatory bodies where required.
	7.1.2	Adequate facilities must be made available to accommodate the number of site personnel, including visitors and contractors. <ul style="list-style-type: none">• The facilities must be managed to prevent cross contamination and be maintained in a clean condition.
	7.1.3	There shall be a site map in place which details the location and flows. This shall include: <ul style="list-style-type: none">• Product• Ingredient and packaging• People• Waste• Work in Progress• Equipment• Water & Ice• Drains• Utility services such as steam or air (that could contaminate factory or product)• Transfer points.
7.2 Staff Facilities	7.2.1	The following facility design aspects are required to be addressed based on product risk: <ul style="list-style-type: none">• Adequate handwashing facilities must be provided throughout the production facility, including staff rest areas and toilet facilities:<ul style="list-style-type: none">– Toilet facilities must not open directly to production facilities– Hand wash stations must be located to facilitate hand washing before starting work– Hand washing taps should have non-contact operation– All hand washing facilities must have antibacterial liquid cleanser, a supply of potable water at a suitable warm temperature (generally 35-40°C) and a clean method of complete hand drying such as single use towels– Towels should be contrast coloured where possible. Bins must be provided for disposing of hand towel waste. Bins must be large enough to accommodate the volume of waste generated, and emptied regularly– Bins must be open or if lids are considered necessary be non-hand operable– Hand sanitisers must be provided.• Clean protective clothing, personal protective equipment (PPE), footwear and hair covering must be available for use prior to entry to the facility where applicable:<ul style="list-style-type: none">– Designated bins or containers must be available for the disposal of soiled protective clothing– PPE must be clean, controlled and not present a product contamination risk– Where hearing protection is required, these items must be controlled or detectable.

		<ul style="list-style-type: none"> • Adequate locker/storage facilities for personal effects including street footwear and clothing must be supplied: <ul style="list-style-type: none"> – The facility must enable outdoor clothing to be stored separately from protective clothing. • Changing facilities should allow direct access to production, storage or packing areas as relevant.
	7.2.2	<p>The following staff facilities must be factored into the premises layout:</p> <ul style="list-style-type: none"> • Adequate designated areas for eating, drinking and rest must be provided • Refrigeration facilities for storage of personal food e.g. lunches must be available. These must be maintained in a clean condition • Designated smoking facilities must be provided as permitted by law and be located away from product handling or storage areas <ul style="list-style-type: none"> – Smoker's areas must be controlled to prevent contamination risk to product – Facilities for handling smoker's waste must be provided in the smoking facility – Hand washing facilities must be available for use after smoking. • Catering facilities must be managed such that the site's product is not contaminated and the food is safe for staff to consume • Where staff have access to outside rest areas these must be maintained in a clean condition.
7.3 Instructional Signage	7.3.1	<p>Signage must be displayed and maintained in a manner which prevents the risk of product contamination, e.g. washable or presented in a cleanable display case.</p> <p>Signage must:</p> <ul style="list-style-type: none"> • Be understandable by everybody on site. This may mean the use of multi-lingual or pictorial/graphical signage • Represent current site procedures • Be dated • Be used to prompt hand washing and to indicate the correct dress up/down and entry/exit procedures to the production area(s).
7.4 External Environment	7.4.1	<p>For the premises' external environment, the following must be considered based on the site location and product risk:</p> <ul style="list-style-type: none"> • The site boundaries must be clearly defined, cleared from potential to harbour pests, and adequate drainage must be in place • Agricultural production and raw sewage flow into irrigation water sources • Previous use of land including chemical applications • Sites assessment for environmental pollutants and likelihood of flooding • Maintenance of the external site surrounds, including driveways and foliage areas • The use of skips, waste bins and provision of covered external waste storage areas • The external storage of plant and equipment. This must be minimised, and if external storage is necessary the site is required to demonstrate how the storage area is effectively managed • Where a risk is identified then controls must be put in place.
7.5 Premises Construction and Layout	7.5.1	<p>The following must be considered as part of premises construction and layout based on the site location and product risk:</p> <ul style="list-style-type: none"> • Design and construction to minimise accumulation of dirt, debris and pests • Walls, floors and ceilings must be impervious, sealed and easily cleaned and maintained to eliminate any risk of contamination • Adequate drainage for the site's activities • Lights must be covered wherever they could shatter and contaminate product. This includes strip light tubes on electric fly killers, where used • Adequate lighting must be provided for clear working visibility • Windows, doors, walls and other openings (both internal and external) linked to storage and production areas must be close fitting and in

		<p>good condition to control dust and prevent pests</p> <ul style="list-style-type: none"> • There must be no external doors in exposed product handling areas, except required fire exits, which must be tamper evident • Adequate ventilation and/or extraction must be provided to minimise condensation or process dust, or these aspects must be otherwise controlled • Suitable and sufficient refrigeration and/or cooling capacity is required to enable cooling to occur, meeting or exceeding food safety regulatory requirements • Offices within production or storage areas must be considered as part of the production area • Flammable materials must be stored in secure areas, properly enclosed and adequately ventilated. Signage must be used to identify the area and materials • Extraction and refrigeration units (where used) must be clean and effective • Condensate pipes from refrigeration units should have adequate fall to enable constant flow, and shall be ducted directly to drain. There should be a trap in the pipe work to prevent a backflow of air from the drains • Floors should be kept dry where possible process water must be channeled direct to drain, or otherwise managed as water must not be allowed to pool in production areas • Elevated walkways adjacent or over production lines designed to prevent contamination, easily cleaned and maintained • All drains and drain covers in wet process areas should be accessible for cleaning. Covered drainage in wet areas must be in place, providing adequate outflow • Heavy equipment must not be sited over drainage, limiting access for cleaning and maintenance • Where natural or artificial light is utilised it must be sufficient to enable safe operations to produce a product which meets the specification • All process and storage areas from receipt to dispatch should be considered with regard to minimising potential for product contamination. This includes accessibility to plant and equipment for cleaning and maintenance.
7.6 Services	7.6.1	<p>All incoming service lines such as gas, electricity, hot and cold water must:</p> <ul style="list-style-type: none"> • Be adequately protected • Clearly identified • Be indicated on a site map of service distribution • If located overhead, be concealed behind a suspended ceiling, if exposed then utility and service pipes must be suitable for cleaning.
7.7 Water Quality	7.7.1	<p>Procedures for water quality management must be documented and implemented in regard to the following:</p> <ul style="list-style-type: none"> • The site shall have reviewed the plan and identified any dead-ends in pipe work, these shall be removed • Where water points are used less frequently the site shall have plans in place to flush water through before use • Potable water is available for post harvest wash treatments • Steam and ice must be made from potable water • All water used for cleaning food contact areas, or as a food ingredient must be potable • Potable water is available for hand washing • Sufficient water quantity must be available for the site's requirements • The quality of water, steam, ice, air, compressed air or gas which comes into contact with food or packaging must be regularly monitored and must be shown to present no risk to product safety, quality or legality.

	7.7.2	Where it is necessary for water to be stored (either to cope with peak demand or as a contingency) the water tanks must be: <ul style="list-style-type: none"> Protected from contamination Monitored to demonstrate ongoing potability at point of use after the storage period Regularly inspected and/or monitored.
	7.7.3	Water used for cleaning and as an ingredient must be tested for chemical and microbiological contamination on a risk assessed schedule which demonstrates suitability for use at defined points of use in factory. <ul style="list-style-type: none"> A map of site water distribution and drainage shall be used to assist in identifying risk areas and sample points e.g. dead legs in pipe work and long pipe runs, infrequently used areas, product contact points, ingredient use and cleaning process . Defined water sampling points must represent the complete risk profile on site. The Microbiological quality of water must be tested at frequency defined by the risk assessment, however all sample points must be tested at least annually.
7.8 Laboratories	7.8.1	Laboratories must have capability for the analyses required and have a Quality Assurance system in place to support their results e.g. NATA, ILAC, or other equivalent validation scheme. <ul style="list-style-type: none"> Laboratory methodologies must be traceable and documented for all analyses carried out on site. Information must be retained to support the method selected. On site laboratories must be segregated from production areas. Good Laboratory Practices (GLP) must be implemented in all on site laboratories.
	7.8.2	Pathogen testing should be contracted off site or must be carried out in areas physically segregated from production areas. A documented risk assessment must be available to support the segregation principles used.
	7.8.3	If an on-site laboratory is used: <ul style="list-style-type: none"> Protective clothing for microbiological laboratory staff must be handled separately to manufacturing facility clothing during <ul style="list-style-type: none"> Clean storage Soiled storage Laundering. Laboratory protective clothing must be identifiable and must not be used in production areas including shoes and boots Laboratory waste and sampled product must be disposed of appropriately Product sampled in a laboratory must not re-enter the food chain. Waste management procedures must be documented and implemented and take account of both hazardous and non-hazardous laboratory waste Where there is a laboratory on site, validation testing shall be undertaken in the form of recognised proficiency program. For example duplicate laboratory testing using same sample The laboratory should have a separate drainage system to the rest of the production and storage areas There must be sufficient storage capacity for sample storage at correct temperature pre, post and during analysis.
7.9 Transport and Storage	7.9.1	All equipment used for transportation and storage of raw materials including packaging, work in progress and finished product to the customer, contract packer or further storage facilities, must be suitable for the purpose and maintained in good repair and in a clean and hygienic condition.
	7.9.2	Refrigeration units for transporting and storage of chilled and frozen foods must be maintained in good repair and regular calibration of temperature gauges must be undertaken and records maintained.

		<ul style="list-style-type: none"> Refrigeration units must be capable of maintaining product at maximum capacity at the required temperature or suitable validated contingencies must be in place. Where temperature control is required as part of the HACCP plan, suitable monitoring activities must be in place. All temperature controlled storage & production facilities should be subject to continuous automated temperature recording and must be suitably alarmed in the event of a breakdown, where this is not in place a suitable frequency of manual temperature checking should be in place to ensure that the parameters required are not being exceeded. Refrigeration units shall be cleaned and maintained to a documented schedule. Defrost and condensation discharge shall be managed to prevent product contamination.
	7.9.3	A procedure for securing of transport of finished product must also be developed and dispatch records maintained of the securing protocols.
	7.9.4	<p>Where product is susceptible to cross contamination, procedures must be in place to minimise the risk of cross contamination.</p> <ul style="list-style-type: none"> Where the material transported is susceptible to taint uptake from other foods or previously transported materials procedures must be in place to prevent the risk of contamination.
	7.9.5	<p>Documented maintenance and hygiene procedures must be in place for all modes of transport used to carry work in progress or finished product.</p> <ul style="list-style-type: none"> Where temperature controlled transport is used, documented procedures must be in place to ensure product temperature requirements are met. Vehicles transporting chilled and frozen products shall be chilled before loading or the required air temperature achieved within a defined time of loading commensurate with maintaining the specified product temperature. Where settings can be adjusted, measures shall be in place to verify temperature settings of vehicles prior to dispatch. Loading and unloading operations shall be undertaken in such a way as to maintain product temperature within the specified limits. Procedures must be in place to ensure product safety and quality in the case of vehicle or refrigeration equipment breakdown. All incidents of vehicle or refrigeration equipment breakdown must be recorded and corrective action documented, including the outcome of the product on the load affected. Where third party contractors are used to transport the product, all of the above requirements must be addressed within a defined contract for the service provided. All third party contractors must be approved within the approved supplier program.
7.10 Food Defense	7.10.1	<p>The supplier shall conduct a documented risk assessment of the security arrangements and identify potential risks to the products from any deliberate attempt to inflict contamination or damage. Identified controls to reduce security risks shall be defined in a Food Defense Plan, be implemented and reviewed at least annually.</p> <p>A scale site plan must be available, showing the site boundaries and area.</p> <ul style="list-style-type: none"> The plan must be sufficiently detailed to show buildings, rooms and process flow. The site perimeter must be defined and must be securely fenced, where possible. CCTV or other monitoring systems may be used if considered necessary or an improvement to security. The use of other photographic or recording technology must be restricted to use authorised by a senior manager of the Supplier and be legally compliant.
	7.10.2	<p>Access to the site must be restricted to employees and accompanied visitors or contractors.</p> <ul style="list-style-type: none"> There must be a method of recording personnel on site at any one time, such as swipe cards, registers or fingerprint technology.

		<ul style="list-style-type: none"> • Staff should be encouraged to challenge people they do not recognise on site. • Procedures for the use of personal items by visitors or contractors e.g. mobile phones must be documented and implemented such that these are no risk to product safety or security.
	7.10.3	<p>Access to all internal and external storage areas including transport trailers and shipping containers must be restricted to authorised personnel.</p> <ul style="list-style-type: none"> • Access to external storage areas including bulk silos, water tanks, chemical storage etc. must be restricted to authorised personnel. • External areas such as demountable units, portable cool rooms or freezers must be fully secure. • Where Contractors/Visitors require access to specific areas e.g. roof spaces this access must be controlled to prevent risk to product.

SECTION 8 – Equipment & Maintenance

All food contact and processing equipment must be suitable for the intended purpose and must be maintained to prevent contamination of product and reduce the potential for breakdowns.

	Clause No	Requirements
8.1 Equipment Design	8.1.1	All equipment used to prepare, process, cook, pack, cool or freeze product must be: <ul style="list-style-type: none">• Suitable for the use in which it is employed• Designed and accessible to facilitate effective cleaning• Maintained and frequently assessed to ensure it is in good condition• Part of a planned preventative maintenance plan• Specified before purchase, commissioned after delivery and validated before commercial use (whether new or reconditioned).
	8.1.2	Equipment in direct contact with processed food products must be constructed of stainless steel or other smooth, impervious and cleanable materials approved and appropriate for food use. <ul style="list-style-type: none">• Welds and joints must be smooth and impervious and must not allow debris to accumulate in crevices.• The placement and welding of in line monitoring equipment shall be completed such that it does not allow for a build-up of contamination.• Equipment should be designed to eliminate the trapping of liquids (including chemical solutions) during the cleaning process.• New equipment must be supplied with information detailing its suitability for food processing.• Conveyor belts shall be fit for purpose, where a belt can be fully removed for cleaning it shall be; the use of metal mesh belts shall be only used where absolutely necessary for the process. The conveyor shall be designed such that full access is available for cleaning and that there are no areas where access is restricted.• Where plastic items are used the plastics must be suitable for food contact use. Plastics must be marked as food contact suitable or documentation must be available to demonstrate suitability.• Parts susceptible to normal wear during use e.g. scrapers, conveyors etc. must be inspected frequently and replaced before signs of wear become evident or a foreign object risk. Details of the equipment and the results of the inspection must be recorded.• Equipment in food processing areas must be stored off the floor on clean racking, shelving, or shadow boards.• If shadow boards are used, the equipment must be stored as high as practicable from the floor.
8.2 Equipment Storage	8.2.1	Equipment must be stored in a clean and safe manner. <ul style="list-style-type: none">• Equipment which is out of use or unsuitable for use must be tagged or labelled as such.• Equipment must be stored in a clean condition and place where it is protected from contamination and pests.• Equipment must be cleaned and disinfected upon re-commissioning.• Food containers must not be used to store chemicals, equipment, parts or tools.
8.3 Maintenance Scheduling	8.3.1	A planned preventative (scheduled) maintenance program must be implemented for all sites, incorporating food process plant, equipment, premises and surrounds. <ul style="list-style-type: none">• A log of all equipment must be developed and maintained.• Where multiple pieces of the same equipment are on site these must be individually identified.• New equipment must be added to the planned maintenance schedule as recommended by the manufacturer.

		<ul style="list-style-type: none"> • The site planned maintenance schedule must be reviewed and adjusted based on the equipment performance. • The maintenance schedule must include equipment condition inspection as well as physical maintenance requirements.
	8.3.2	<p>Where equipment breakdowns occur, the planned maintenance program must be reviewed as part of corrective action.</p> <ul style="list-style-type: none"> • Changes may be made to the program to prevent future breakdowns.
8.4 Maintenance Practices	8.4.1	<p>Maintenance Procedures and methods used must ensure product safety or quality is not affected during maintenance tasks.</p> <ul style="list-style-type: none"> • Contractors and in-house maintenance teams must adhere to company hygiene, clothing and staff movement procedures. • Maintenance contractors must be supervised or their actions otherwise controlled. • The use of temporary screening structures must be used during building works and/or where appropriate during equipment maintenance to prevent product contamination. • Temporary (tape) engineering repairs must be sanitized. These must not affect product safety, quality or legality and the use of temporary fixes must be promptly documented and rectified with permanent solutions as soon as possible and within a defined time.
	8.4.2	<p>Chemicals used in maintenance processes must be identified, stored in a secure area and must not present a risk to product.</p> <ul style="list-style-type: none"> • Machinery lubricants must be suitable for use on food equipment. In most cases this means they are to be approved for food use in the country of sale unless the lubricant or its application can be demonstrated as no risk to product. • Machinery lubricants must be assessed for any allergenic components. • Used lubricant must be disposed of as per local regulations.
	8.4.3	<p>An effective maintenance process must be documented and implemented to ensure:</p> <ul style="list-style-type: none"> • Tools, equipment and materials used or by-products of maintenance are identified and removed prior to re-commencement of manufacture • A physical count/reconciliation of all tools equipment and materials used is undertaken and all items are accounted for prior to re-commencement of manufacture.
	8.4.4	<p>Cleaning must be carried out post-maintenance unless it can be demonstrated there is no risk to product.</p> <ul style="list-style-type: none"> • A suitable operations representative must accept the clean and maintained equipment back from the engineering work and be satisfied it is fit for use in the manufacture of food. • This process is irrespective of whether the maintenance is planned or emergency in nature and must be documented. • A hand-over to and approval by Q.A. representatives is conducted as per procedure.
	8.4.5	<p>Maintenance workshops and engineering stores must be controlled, clean and pest proofed.</p> <ul style="list-style-type: none"> • Maintenance storage areas and workshops must be subject to documented GMP/housekeeping audits. • The frequency must be determined by product risk, size of operation and historical compliance.
	8.4.6	<p>Maintenance debris, waste and surplus parts must be controlled to prevent risk to product; this may include the use of swarf mats on exit of maintenance areas.</p>

SECTION 9 – Calibration

The company must be able to demonstrate that all measuring equipment is accurate and reliable.

	Clause No	Requirements
9.1 Calibration	9.1.1	The Supplier must develop, document and implement a procedure and schedule to ensure all equipment used to inspect, measure or test the product or process is reading accurately at the time of use.
	9.1.2	<p>The calibration procedure must include the following:</p> <ul style="list-style-type: none">• A list identifying all relevant inspection, test and measuring equipment including, but not limited to:<ul style="list-style-type: none">– Thermometers/probes– Temperature gauges– Scales and balances– Temperature controllers/recorders– Metal and foreign object detectors (including optical sorters)– pH meters– Chemical measuring equipment– Colour measuring equipment– Pressure sensors, heat sensors– Auto-dose and/or chemical application equipment (including farm)– Water monitoring– Reference weights– Refractometers.• How the calibration equipment is identified and where it is located• Calibration schedule and procedures includes laboratory equipment• Recognised methods and frequency for calibration and calibration checking based on volume of product produced• Acceptable degree of accuracy• Details of how the calibration equipment is traceable to a known reference standard• Special conditions for the operations, storage or handling of calibration equipment• The identification of equipment when it is found to be out of calibration• Methods for identification and review of product produced whilst equipment has been out of calibration.
	9.1.3	<p>The Supplier must maintain records of calibrations, calibration checks and any corrective actions taken when equipment is found to be out of calibration.</p> <ul style="list-style-type: none">• The records must also show who is responsible for each activity.

SECTION 10 – Cleaning & Sanitation

Housekeeping and cleaning systems must be in place to ensure that the necessary standards of hygiene are maintained at all times and the risk of product cross contamination is minimised.

	Clause No	Requirements
10.1 Cleaning Procedures	10.1.1	<p>Procedures must be developed, documented and implemented for the cleaning and sanitation of the production facility, fixtures and equipment. The implementation of the procedures must result in clean equipment and a clean facility regardless if the cleaning is carried out by contract cleaners or employed staff.</p> <p>The objectives for cleaning must be:</p> <ul style="list-style-type: none">• The removal of physical contamination and debris from the facility, fixtures and equipment• Microbiological cleanliness of the facility, fixtures and equipment• Removal of allergens. <p>A nominated member of the Management Team must be responsible for managing the cleaning program.</p>
	10.1.2	<p>Cleaning work instructions must be developed for the site, documented and implemented. These must include all production and storage areas, fixtures and fittings, all equipment used for food manufacture, all cleaning equipment, amenity areas and transport facilities.</p> <p>The work instructions and associated procedures must include as a minimum:</p> <ul style="list-style-type: none">• The name, location and a specific reference code of the equipment or area (<i>for document reference purposes</i>)• The frequency of cleaning; when the item/area is to be cleaned• Who is responsible for the cleaning• Number of cleaners and approximate time required and acceptable alternatives e.g. at times of peak season• Cleaning equipment required, including equipment required for safety during the cleaning process e.g. working at heights. All cleaning equipment must be identified and captive to the risk area where it is used. Separate equipment must be used for cleaning food contact and non-food contact surfaces• Chemicals required, the concentrations used and contact times• Methodology for the cleaning, including dismantling and strip down and requirements for the use of hot water. Equipment must not be washed on the floor• Methods for the drying and removal of excess water or cleaning solutions from clean equipment and surfaces before production if wet equipment/surfaces may give potential for product contamination• Where equipment washing sinks are used, these must operate with a dirty to clean flow with a multi (2 or 3) sink operation• Tray and crate washing equipment must operate a dirty to clean flow• Reference to safety procedures to be followed during the cleaning process• Reference to records of cleaning completion and key inspection points for cleaning verification• Photos should be used in the documentation as visual aids• Equipment must be stored dry or in a sanitising solution if appropriate• Water must be removed from floors and flat surfaces after wet cleaning in areas where this may result in product contamination

		<ul style="list-style-type: none"> Where there is the risk of aerosol production with high pressure water then the water pressure must be reduced Water hosing must not be carried out in a production area at the same time as production. Where water hoses are used, they must be the shortest practicable length to perform the function Storage points must be available to ensure hose nozzles are not in contact with the floor or parts of the hose line which has contacted the floor.
	10.1.3	<p>Cleaning work instructions must also include requirements for in-between batch cleaning (if this is different to the standard clean).</p> <ul style="list-style-type: none"> Raw materials, work in progress and completed product must be protected from contamination at all times during cleaning processes. Methodology must also be documented and implemented for periodical cleaning (where there is a different level/type of cleaning carried out at a different frequency to the standard clean). The frequency of cleaning must be based on experience, validation and verification data and the equipment manufacturers' recommendations.
	10.1.4	<p>Appropriate cleaning procedures must also be implemented after building work and maintenance activities.</p> <ul style="list-style-type: none"> This includes the introduction of new equipment or equipment modifications. The cleaning procedures must be updated when new equipment is introduced or when equipment is modified.
	10.1.5	<p>All cleaning procedures must be validated.</p> <ul style="list-style-type: none"> The Supplier must demonstrate the cleaning procedures implemented achieve the cleaning objectives.
	10.1.6	<p>Staff cleaning amenity and toilet areas must not clean food manufacturing areas or equipment unless manufacturing areas and equipment are cleaned first.</p>
10.2 CIP Systems	10.2.1	<p>Where in use, CIP operations must be designed, validated and constructed to ensure effective operation. This shall include:</p> <ul style="list-style-type: none"> Validation confirming effective design and operation of the system An up to date schematic diagram of the layout of the CIP System Spray devices, valves and sealing rings used in CIP systems should be removable from the system for specific cleaning or replacement at a frequency derived from risk assessment and experience The flow rate used in the CIP cycle must be based on the largest pipe diameter in the system Pipe work must be identified as raw or heat-treated product CIP systems must be part of the planned preventative maintenance schedule Alterations or additions to the CIP system shall be authorised by a competent person. A record of changes shall be maintained The system shall be revalidated at a frequency based on risk, and following any alteration or addition.
	10.2.2	<p>The CIP systems established must be documented and include definition of:</p> <ul style="list-style-type: none"> Chemicals used and their concentrations, residence or dwell times, temperatures/pressures and flow rate (as applicable). Detergent concentrations shall be checked routinely Where rinse solutions are recovered, and reused, the risk of cross-contamination shall be managed. Recovered solutions shall be monitored for a build-up of carry-over from the detergent Filters, where fitted, shall be cleaned and inspected at a defined frequency The CIP cycle must be verified as complete and residue free before food processing recommences Steam, condensate, final rinse water and 'first off' product must be sampled and tested as part of the CIP validation and verification.

10.3 Cleaning Equipment and Chemicals	10.3.1	<p>Facilities must be provided for the storage of clean cleaning equipment whilst not in use.</p> <ul style="list-style-type: none"> • Floor contact squeegees, brooms and other cleaning equipment must be stored head down, off the floor and ceiling cleaning equipment must be stored head up and off the floor. • Cleaning equipment used on product contact surfaces must be stored clean, head up, off the floor and at least 1 meter above the floor. • Hoses must be stored off the floor.
	10.3.2	<p>All cleaning chemicals used must be selected based on suitability for use and best efficacy for the specific process.</p> <ul style="list-style-type: none"> • All cleaning chemicals used must be suitable for use on food contact surfaces. Expert advice must be sought if needed. • Sanitation chemicals must be applied for the minimum contact time for efficacy as stated in the specification. • Cleaning and sanitation chemicals must be validated on site for the use in which employed. • Dilution rates, contact times and temperatures and storage conditions must be recorded for each cleaning chemical used. • Scented or perfumed hand soaps or sanitisers must not be used as these have the potential to taint products. • Pine fragranced or phenol-based chemicals must not be used as these have potential to taint products. • The use of spray bottles must be documented in the cleaning procedures.
10.4 Cleaning Verification	10.4.1	<p>Cleaning staff (including contract cleaning services) must sign off completion against each individual cleaning work instruction each time cleaning is completed.</p> <ul style="list-style-type: none"> • A management representative must confirm the clean has been completed to the required standard and sign off the record accordingly. • Records must be maintained of all cleaning activities.
	10.4.2	<p>Post cleaning, a detailed independent visual and physical inspection of the finished cleaning standard must be carried out.</p> <ul style="list-style-type: none"> • These inspections must be scheduled. Photography should be used to add value. • The inspection and any corrective actions must be documented. Any issues must be communicated back to the individual(s) responsible for the cleaning task to aid in continuous improvement.
	10.4.3	<p>Pre-operational hygiene inspections must be conducted by suitably qualified staff prior to production commencing/recommencing.</p> <ul style="list-style-type: none"> • The visual inspections must incorporate visual checking and pest inspections. • All areas of the production environment shall be subject to a detailed documented pre operational examination. This shall be a cross functional exercise and shall be documented with corrective actions. • The responsibility for completing any corrective action required must be defined. • Any issues identified must be resolved and verified before the equipment/area is used for production.
10.5 Environmental Monitoring Program	10.5.1	<p>A traditional microbiological EMP must be used as part of the validation of cleaning methods and verification of effectiveness.</p> <ul style="list-style-type: none"> • An environmental sampling and testing schedule for pathogens and spoilage organisms must be developed and defined by risk and historical data. • At a minimum the documented EMP must include details regarding applicable pathogens or indicator organisms to test for that industry, the number of samples to be taken, the frequency of sampling and applicable control limits. • Corrective action, including re-testing, must be applied and documented for any out of specification result or trend of increasing results. • The EMP must be reviewed annually or more frequently if changes to processing conditions, product failure or repetitive result trends, (<i>e.g repeated high counts or repeated negative findings</i>).

SECTION 11 – Pest Prevention

The whole site must be protected by an effective pest prevention program which reduces the risk of infestation.

	Clause No	Requirements
11.1 Pest Prevention Program	11.1.1	<p>The Supplier must develop, document and implement pest prevention and control program for the whole site including the perimeter and storage areas.</p> <p>The program must include prevention and control measures for:</p> <ul style="list-style-type: none">• Insects• Rodents• Birds• Stored product insects (SPI)• Other relevant pests for the geographical area and location of the site. <p>The focus must be on preventing the initial ingress of pests and on effective and prompt control should any issue arise which may present a risk to product.</p>
	11.1.2	<p>The pest prevention provider must meet legal requirements and be licensed where required.</p> <ul style="list-style-type: none">• Evidence of training and credentials are required for each service person to demonstrate suitability for the job.• Access to specialist help must be available when required, including provision for emergency (24/7) call-out.• If a service contractor is used, an employed member of staff must be responsible for the management of the contractor and the overall pest prevention program.• The contractor should be accompanied on at as a minimum one service inspection annually by the site representative, as a verification activity.• Access must be available to all areas for the purpose of pest prevention and control.
11.2 Pest Proofing	11.2.1	<p>The site and buildings must be effectively pest proofed to prevent the ingress of pests into internal areas.</p> <ul style="list-style-type: none">• Specialist advice regarding proofing must be obtained if required.• Methods of pest proofing may include:<ul style="list-style-type: none">– Closed tight fitting doors (self close if required)– Brush strips around door frames and openings– Screens on external windows or openings– Bird netting, spikes and scarers.
	11.2.2	<p>Exposed product and packaging handling areas must be pest proof, pest control products or treatments must not be used in these areas due to the risk of product contamination.</p> <p>Pest prevention and control measures must be taken in surrounding areas to eliminate the necessity of these products in exposed product handling or storage areas.</p>

11.3 Pest Monitoring and Treatment	11.3.1	<p>Monitoring stations must be strategically placed around the site in order to effectively monitor and control pest activity.</p> <ul style="list-style-type: none"> • These include, but are not limited to: <ul style="list-style-type: none"> – Rodent baits (internal and external) – Pheromone (moth) traps – Electric fly killers (EFK)/Flying insect control units (FICU) – Cockroach traps. • Locations must include where relevant: <ul style="list-style-type: none"> – Site perimeter – Roof spaces – Dry goods stores – Maintenance stores/workshops – Staff facilities and ancillary areas.
	11.3.2	<p>Toxic rodent baits must not be used in production/storage areas or areas where food could become contaminated.</p> <ul style="list-style-type: none"> • All bait or monitoring stations must be secured to wall/floor/fixed structure to prevent removal, robust and locked or otherwise tamper proof. • Loose grain/pellet bait must not be used in any production or storage area.
	11.3.3	<p>A schedule of application for chemicals must be documented and records of all pest control activities maintained.</p> <ul style="list-style-type: none"> • Where pest prevention and control products are required to be stored on site, this must be in a locked area with secure access by authorised staff.
	11.3.4	<p>EFK/FICU must be positioned by risk assessment and historical data obtained.</p> <ul style="list-style-type: none"> • The locations of EFK/FICU must not present a risk to product. • EFK/FICU must not be placed in exposed product areas. If this is considered necessary, extra measures must be taken to protect the product. • EFK/FICU must not be placed in high care or high risk areas. • All globes used in EFK/FICU must be shatterproof.
	11.3.5	<p>A full detailed plan of the site must be provided showing the locations, position and type of all EFK/FICU, baits and monitoring stations. This must be updated whenever there is a change.</p> <ul style="list-style-type: none"> • Each physical bait or monitoring station must be numbered or otherwise identified to enable it to be referenced to the map.
11.4 Pest Activity Reporting and Corrective Action	11.4.1	<p>There must be a method of reporting pest sightings by any employee such that action is taken.</p>
	11.4.2	<p>All monitoring stations must be inspected on a regular pre-determined schedule throughout the year.</p> <ul style="list-style-type: none"> • The inspections must be scheduled to account for times of day and year when activity from pests at risk is most likely, and account for seasonal production. • All missing monitoring stations must be investigated. • Each monitoring station must be opened for inspection, cleaned and dated or otherwise on the inside to demonstrate the inspection has taken place. • The levels and types of activity found must be documented and trended. • Pest activity trending must include information per rodent or insect monitoring station and catch tray analysis per EFK/FICU.

	11.4.3	A record must be maintained of inspections, activity and action reports. <ul style="list-style-type: none"> Where chemicals are used these must be identified including: <ul style="list-style-type: none"> Name of chemical, quantity (and concentration, if applicable), batch no., location where used, person applying chemical.
	11.4.4	All corrective action requirements (including proofing requirements, hygiene and housekeeping issues and evidence of pest activity) must be acknowledged, completed as required and signed off on completion by a trained, accountable representative of the Supplier.
	11.4.5	If evidence of infestation is found by a pest prevention inspector or technician, this must be documented and communicated to the nominated representative of the Supplier. <ul style="list-style-type: none"> All potentially affected/contaminated products must be treated as non- conforming
	11.4.6	Corrective action procedures and the follow up schedule requirements must be documented. <ul style="list-style-type: none"> Re-visit inspections must be carried out on a regular defined basis until the infestation or activity is cleared (alternate days with no evidence on three consecutive visits).

SECTION 12 – People

The company must ensure that all staff carrying out work that affects product safety, legality and quality are competent to carry out their role. The site's hygiene standards must minimise the risk of product contamination from personnel. Suitable site-issued protective clothing must be worn by employees, contractors and visitors working or entering production areas.

	Clause No	Requirements
12.1 Staff Hygiene	12.1.1	The staff hygiene rules must be communicated to and implemented by all personnel on site. This includes management, visitors and contractors.
	12.1.2	<p>The procedures and policies regarding eating, drinking and smoking must be developed, documented and implemented commensurate with the product risk in consideration with the following requirements:</p> <ul style="list-style-type: none">• Eating, drinking or smoking must not be permitted in production areas. The only exception to this should be product sampling in designated controlled areas• Eating, drinking and smoking whilst wearing food handling protective clothing must not be allowed• Where water fountains (bubblers) or drinking receptacles are provided (when required for employee health and safety e.g. in hot areas) they must be controlled and must present no risk to product.
	12.1.3	<p>The procedures and policies regarding personal hygiene must be developed, documented and implemented commensurate with the product risk in consideration with the following requirements:</p> <ul style="list-style-type: none">• Spitting must be prohibited• Rules for hand washing frequency, methods and use of sanitisers• Hand wash signage as reminders and with instructions and photographs showing how to wash hands• Unperfumed bactericidal hand soap and hand sanitized• Hand hot water (35-40°C) with non-hand operated taps should be in place e.g. knee operated or with non-direct hand (infra red) operated sensors• Disposable paper towels and a waste bin must be in use. If the waste bin has a lid it must not be hand operated• Fingernails must be short and clean• Nail polish and acrylic/false nails must not be permitted• Appropriate controls must be in place for short-term visitors e.g. the use of gloves and non-handling of product or equipment• Where products such as barrier creams or hand creams are considered necessary these must be provided by the Supplier in suitable locations and present no risk to product• Rules and appropriate controls for acceptable wearing of jewelry; which must be specified and must include rules for plain wedding bands, body jewelry, religious jewelry and medical alert tags• Jewelry with stones or worn in or on exposed parts of the body such as tongue or eyebrow studs or rings should not be allowed.• Wrist watches must not be permitted• The potential for tainting or product contamination through the excessive use of aftershave, perfume and cosmetics• Use of detectable plastic strips (adhesive dressings) to cover minor cuts or abrasions• Rules for the control of personal medicines

		<ul style="list-style-type: none"> • Methods of regularly monitoring compliance to the personal hygiene policy. For food handlers this may include glove and/or hand swabbing • The introduction of allergens to the site through means other than raw materials e.g. through products sold/vended on site or staff lunches.
12.2 Medical Screening, Illness and Injury	12.2.1	<p>The Supplier must identify and document how it handles any employee, contractor or person visiting or working in a production area who is affected by a virus or a communicable disease.</p> <p>This procedure must also include:</p> <ul style="list-style-type: none"> • Corrective action for potentially affected raw materials, packaging and product • Corrective action for potentially affected equipment • Management strategies for potentially affected personnel.
	12.2.2	<p>The Supplier must implement procedures detailing the action to be taken where illness or injury results in a contamination incident. The incident must be documented.</p> <ul style="list-style-type: none"> • A return to work policy must be documented and implemented for staff returning to work after illness.
	12.2.3	<p>Where an employee has cuts, abrasions or other open wounds, the Supplier must document a procedure to ensure the employee does not expose the product to any risk.</p> <ul style="list-style-type: none"> • Specific reference must be made to regulations in country of manufacture and/or sale.
12.3 Protective Clothing	12.3.1	<p>The policy and procedures regarding protective clothing must be developed, documented and implemented commensurate with the product risk and must consider the following aspects:</p> <ul style="list-style-type: none"> • The protection of the product (as well as the person wearing the clothing) in the selection of appropriate protective clothing • Rules for wearing clothing, footwear, hair coverings, beard snoods, and protective head gear • Rules for the use of gloves including areas and/or jobs for which these are required to be worn • Rules for wearing religious or cultural clothing including headgear • Rules for the use of safety personal protective equipment such as hearing protection and high visibility clothing • Procedures for correct order of dress-up (donning of protective clothing) and dress-down (removal of protective clothing) to prevent product contamination must be defined. <p>Protective clothing must be supplied for staff, managers, visitors and contractors and rules for use comply with the following requirements, (as a minimum):</p> <ul style="list-style-type: none"> • Protective clothing worn in production areas must not be worn outside • Protective clothing required for outdoor jobs must be specific to that use and must not be worn in open product handling areas • The use of safety clothing e.g. High visibility jackets must not be a risk to product and their use must be controlled such that there is no cross contamination risk to product • Food handler's protective clothing must not be worn in toilet areas.
	12.3.2	<p>A sufficient number of garments and range of sizes is required on site to ensure a sufficient supply of clean clothing whenever required.</p> <p>Protective garments must:</p> <ul style="list-style-type: none"> • Protective coats must cover from neck to knee and fasten to the top • Protective clothing is used as personal protection only and has no direct food contact or product contact risk • Cover all personal clothing e.g. hoods must be worn inside coat not hanging at back

		<ul style="list-style-type: none"> • Use safe fasteners for coats e.g. enclosed press stud • Not use sewn buttons • Not have external pockets • Where internal pockets are permitted there must be no foreign object risk to product as a result of their use • Sufficient garments should be provided to allow for when a department or site-wide change is required e.g. in the case of a contamination issue or evacuation • Cuffs should be tight at the wrists.
	12.3.3	<p>Procedures for the changing of soiled clothing during production must be implemented. This must include:</p> <ul style="list-style-type: none"> • Coats must not be worn without hair coverings • Minimum frequency for changing clothing • Maintenance staff instructions for where clothing has become soiled due to a maintenance activity • Boiler suits and short jackets must be phased out of use as opportunities arise.
	12.3.4	<p>Where Disposable Protective Clothing is used, a policy must be developed, documented and implemented and must include:</p> <ul style="list-style-type: none"> • Disposable clothing items are changed and disposed of frequently or when contaminated • Areas the items must be used are clearly identified • Actions to be taken if an item is found to be damaged • Disposable protective clothing is of a visibly contrast colour to aid in its detection • All scalp hair must be fully enclosed in a disposable contrast colour or detectable hair covering • Snoods are used by people with beards and/or moustaches • Gloves must be disposed of when soiled or when leaving the production area unless alternative controls are implemented.
	12.3.5	<p>Clean footwear must be suitable to the production area and job and must be selected such that it is suitable for the production environment e.g. the tread pattern must not result in an accumulation of debris.</p> <ul style="list-style-type: none"> • Washable footwear and suitable cleaning facilities must be provided where deemed necessary. • Where mechanical boot wash units and footbaths are used these must be located appropriately, cleaned and monitored regularly to verify they are not a source of cross contamination. • Where footwear cleaning stations are dosed with chemical (automatically or manually) the concentration must be regularly monitored.
12.4 Laundry	12.4.1	<p>Procedures must be developed, documented and implemented to ensure effective methods of segregating clean protective clothing from used or soiled clothing.</p> <ul style="list-style-type: none"> • If a contract laundry facility is used this must be subject to supplier approval and monitoring. • Where protective clothing is laundered on site this must be in a segregated space and the equipment used must be suitable for the volume of clothing used. • The effectiveness of the laundry process must be validated such that all visual and microbial contamination is removed from clothing. This must be verified on a schedule based on volume and risk. • Clean clothing must be protected from contamination. • All new clothing must be laundered before first use.

12.5 People Movement	12.5.1	Any potential risks due to people movement around the site must be identified with a procedure implemented for control of staff movement. This must include: <ul style="list-style-type: none"> • A procedure for documenting and managing personnel movement in and out of the facility based on risk and hazards appropriate to the operation • Access to the site must be restricted to authorised persons. Records of access for staff, contractors and visitors must be maintained • The permitted people movement traffic routes must be defined on a drawing of the site. The plan must also show emergency routes e.g. fire exits.
	12.6.1	Access to the premises by Visitors and Contractors must be documented with records of entry and arrival and departure times.
12.6 Control of Visitors and Contractors	12.6.2	The Supplier must document and implement a procedure for control of visitor and contractor movement. The procedure must include, at a minimum: <ul style="list-style-type: none"> • Visitors and Contractors must be identified and be supervised. Alternative methods may be employed where practicable e.g. long-term contractors • Visitors and Contractors must be made aware of relevant company policies including staff hygiene, movement, clothing and medical rules before access is granted to production or storage areas. This communication must be documented.
	12.7.1	The Supplier must ensure all staff are trained and supervised in the activities which they carry out commensurate with the nature of the risk to product of tasks performed. <ul style="list-style-type: none"> • A management representative must be responsible for co-coordinating the training needs of the site. • Training must meet or exceed legislative requirements where relevant.
12.7 Training	12.7.2	The Supplier must demonstrate understanding of relevant legislative aspects e.g. FSANZ Food Standards Code, Australian Consumer Law (ACL). <ul style="list-style-type: none"> • If necessary, a source of expert advice must be available.
	12.7.3	All new staff, (permanent, casual or agency), visitors and contractors must be trained in food hygiene and site specific procedures including entry procedures, glass breakage, allergen controls, illness and accident reporting as a minimum. <ul style="list-style-type: none"> • All staff must be re-trained in these procedures when any changes are made.
	12.7.4	Activities which directly affect product safety, quality or legality must be identified. Staff (permanent and temporary) performing these tasks must have job specific training or must otherwise demonstrate competency, including (as a minimum), staff with responsibilities for: <ul style="list-style-type: none"> • CCP and QCP monitoring and corrective action activities • Equipment and site maintenance activities, including external contractors • Working with approved chemicals e.g. cleaning chemicals, agricultural chemical, pest control chemicals, maintenance chemicals • Cleaning procedures; application and use of chemicals and equipment • Product release procedures.
	12.7.5	The Supplier must define the job specific skills required for the site. <ul style="list-style-type: none"> • The Supplier must develop a training matrix showing staff competency in site skills. • The information gathered from the training matrix must be reviewed and used to develop a training plan to ensure the site's ongoing needs are met. • The matrix must be kept up to date and reviewed minimum annually. • Refresher training must be carried out for all staff at a suitable frequency irrelevant of length of service or experience.

	12.7.6	Training must be delivered in a language and style appropriate to the Supplier's business such that it is effective i.e. the literacy needs of the people are known and accounted for, e.g. with translated documents or verbal sessions.
	12.7.7	<p>Training can be on or off the job as appropriate to the skill but must be fully documented.</p> <ul style="list-style-type: none"> Records of training of all employees in the relevant procedures to their duties must be documented and maintained. The documentation must include: <ul style="list-style-type: none"> Name of the trainer or training provider and qualification/experience Date and duration of the training session Name of the employee being trained Description of the skill being trained If the training is a new skill or refresher training Acknowledgement (signature) of completion of training by person being trained Identification if further training is required Signature of the trainer.
	12.7.8	<p>The effectiveness of all forms of training must be evaluated. This evaluation must be documented and must include a form of assessment and/or demonstration of competence.</p> <ul style="list-style-type: none"> Retraining must be scheduled if required. Where training is outsourced the Supplier must maintain details of the course/session content. Where an employee moves into a new role the training needs of the employee relevant to the new role must be evaluated and provided as required. The Supplier must have at least one representative formally trained in HACCP. This training must be updated at least every three years. The representative must be able to demonstrate competency in the principles and application of HACCP.

SECTION 13 – Incident Management

The company must have a system in place to manage incidents effectively enabling the withdrawal or recall of identified products should this be necessary.

	Clause No	Requirements
13.1 Incident Management	13.1.1	The Supplier must carry out a risk to business assessment of: <ul style="list-style-type: none">• Man made events e.g. criminal acts, malicious contamination, workplace violence, accidents, fire, bomb threats, terrorism, worker strikes• Natural disasters e.g. earthquakes, floods, bushfires, thunderstorms, sudden deaths, pandemics.
	13.1.2	The Supplier must develop, document and implement an effective incident management plan that must include ways to: <ul style="list-style-type: none">• Reduce the probability of an incident occurring• Respond to a crisis situation• Recover from a crisis.
	13.1.3	The crisis management plan must be developed and documented relevant to each specific business and site. <ul style="list-style-type: none">• The documentation must include the following, as a minimum:<ul style="list-style-type: none">— Key personnel (including crisis team roles, responsibilities and interactions)— 24 hour contact details for key personnel— Key resource provider details, including utilities— Details of internal/external stakeholders and contact details (including current emergency services, key external service contacts, customer contacts, including Woolworths)— Site drawing and evacuation plan— Details for management of people including employees with means and procedure for contacting employee families— Prioritisation of tasks during and post crisis— Data recovery/IT system backup— Communication i.e. employee families, customers, suppliers, media.
	13.1.4	A post incident management briefing must be carried out and documented in both real and test scenarios. <ul style="list-style-type: none">• This must include an assessment of:<ul style="list-style-type: none">— Cause of crisis— Risk of re-occurrence— Identification of system improvements required— Communication to employees and third party stakeholders— Replenishment of emergency supplies— Damage reports— Maintenance.
13.2 Product Withdrawal & Recall	13.2.1	The Supplier must have an appropriate product withdrawal/recall procedure for all products outside the control of the consumer and supplied to customers, including Woolworths. <ul style="list-style-type: none">• This documented procedure must:

		<ul style="list-style-type: none"> — Identify at least one trained staff member and a deputy responsible for co-coordinating product withdrawal/recall — Ensure a trained staff member is available during all business hours — Differentiate procedures between a withdrawal and a recall including: <ul style="list-style-type: none"> • Internal responsibilities • A current list of Customers and Government Authorities • Who to contact (internal and external), including after hours • Personnel responsible for the investigation • How it is investigated • Details of how information is communicated/gathered (including access to online system notification and/or information if applicable) • The process for follow-up meetings with Customers, (including Woolworths) to review required corrective actions and recommencement of supply. — Include a mock recall procedure, to ensure the recall procedure is in place and effective, including requirements for the following as a minimum: <ul style="list-style-type: none"> • A case scenario • Diary of actions • Trace back and contacts • Test via a different mock recall scenario, at least annually.
	13.2.2	Records of the annual mock recall must document who was contacted, what the problem was, who acted upon it and how it was resolved with times for each step or stage from the initiation of the recall through to the closure as well as a determination of its effectiveness.

SECTION 14 – Corrective Action

The site must be able to show that it uses the results from identified failures in any of the food safety and quality management systems to make the necessary corrective actions which prevent a recurrence.

	Clause No	Requirements
14.1 Corrective Action	14.1.1	<p>The Supplier must ensure Corrective Action is taken whenever there is a breakdown or failure identified with the product or the Quality Management System. This includes:</p> <ul style="list-style-type: none">• Customer complaints• Customer rejection of product• Internal rejection of product or downgrades (non-conforming product)• Non conformances identified through internal, second party or third party audit(s)• Any issues communicated by suppliers of raw materials or process inputs.
	14.1.2	<p>Corrective action is required to be documented in all cases.</p> <ul style="list-style-type: none">• This must include a review of the following questions in relation to affected product:<ul style="list-style-type: none">– What went wrong– Why did it go wrong– What was the impact on the product affected– How much product is affected– What will happen to the product affected.• How has the immediate issue been solved such that subsequent production is not affected.
	14.1.3	<p>Procedures must be developed, documented and implemented to ensure:</p> <ul style="list-style-type: none">• Unsafe product is securely disposed (including secure disposal of packaging)• Non-conforming product is identified, disposed, downgraded or reworked such that the product becomes within specification and quality is not compromised• Decisions regarding product are only made by authorised, trained and accountable personnel• Consideration has been given to common product, raw materials, events, equipment and personnel to ensure the scope of the issue has been correctly and fully identified• Corrective action is carried out appropriate to the size and scope of the issue identified. This must include product or material testing where relevant• All corrective action must be verified before final close out• All corrective action must be closed out.