



**GFSI** TECHNICAL EQUIVALENCE  
GFSI GUIDANCE DOCUMENT VERSION 7.2

# PART III - *H* **RETAIL AND WHOLESALE**

# Part III - *H* Retail and Wholesale

## Certification Programme Scope and Key Elements

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

The objective of **Part III – H – Retail and Wholesale** is to define:

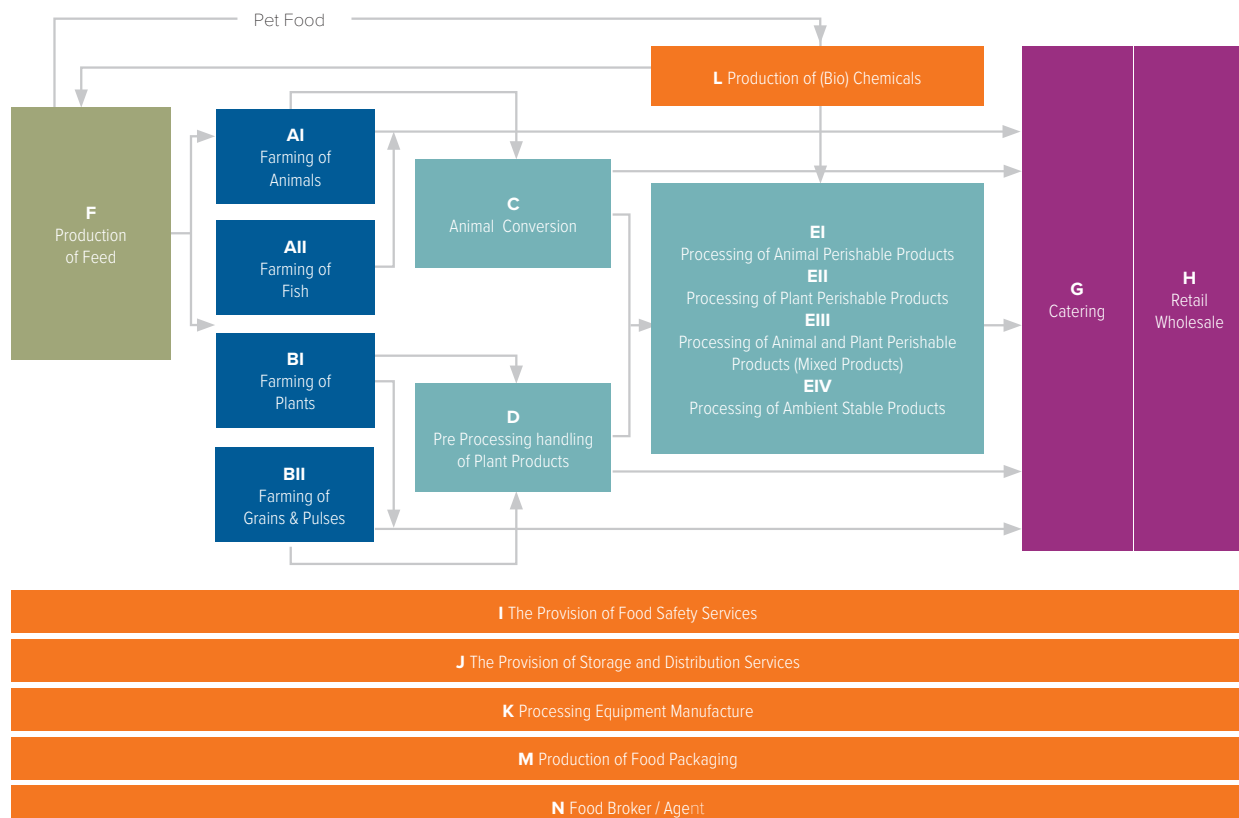
- the requirements for the Food Safety Management Systems to be in place in the Certification Programme's standard for GFSI scope of recognition **H – Retail and Wholesale**,
- the requirements for the Good Practice requirements to be in place in the Certification Programme's standard for GFSI scope of recognition **H – Retail and Wholesale**,
- the requirements for Hazard Analysis and Critical Control Points (HACCP) or HACCP based requirements to be in place in the Certification Programme's standard for GFSI scope of recognition **H – Retail and Wholesale**.

GFSI scope of recognition **H – Retail and Wholesale** includes the following products, services, or methods of production:

- Provision of finished food and feed products to a customer
- Retailing and wholesaling of food and feed
- Packing and processing of food for consumption in the consumer's home, and this is not the main activity of the business

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

A Certification Programme's standard and other guidance shall provide sufficient detail to ensure that the GFSI requirements in the following tables



are met and that, within the benchmarking process, objective evidence of compliance can be found. The requirements for individual Certification Programme standards must be independently developed based on industry practice and it is not expected that a Certification Programme's standard shall be a direct copy of the GFSI requirements.

GFSI expects all benchmarked Certification Programmes to meet the Food Safety Management, Good Industry Practice, and HACCP requirements for the applicable sectors outlined in Part III.

However, Certification Programmes requiring Certification Bodies to operate to ISO / IEC 17021-1 must also ensure that they meet or exceed the requirements of ISO 22000.

For those Certification Programmes, where there is any divergence between the requirements of the GFSI Benchmarking Requirements and ISO 22000, the requirements of ISO 22000 shall prevail.

Certification Programmes requiring Certification Bodies to operate to ISO / IEC 17065 shall meet the requirements for applicable sectors outlined in Part III.

The following sections and tables identify the GFSI requirements for this scope. Certification Programme Applicants must ensure that all requirements are considered for all scopes included in the application. This may include requirements from more than one Part III document.

## SECTION 1: HACCP OR HAZARD BASED REQUIREMENTS

Table I: HACCP Requirements

## SECTION 2: FOOD SAFETY MANAGEMENT REQUIREMENTS

Table I: Food Safety Management Requirements

## SECTION 3: GOOD INDUSTRY SECTOR PRACTICE REQUIREMENTS

Table I: Good RETAIL Practice Requirements

# SECTION 1: HACCP OR HAZARD BASED REQUIREMENTS

Table I: HACCP REQUIREMENTS

CLAUSE NUMBER	CLAUSE NAME	REQUIREMENTS
HACCP H 1	Hazard Analysis and Critical Control Point (HACCP)	The standard shall require that the organisation has in place a Hazard and Risk Management System including a prerequisite programme. This may be a HACCP based system or another hazard and risk management system that covers the Codex Alimentarius HACCP principles.

## SECTION 2: FOOD SAFETY MANAGEMENT REQUIREMENTS

**Table I: Food Safety Management Requirements**

CLAUSE NUMBER	CLAUSE NAME	REQUIREMENTS
FSM H 1	Food safety management general requirements	The standard shall require that the elements of the organisation's Food Safety Management System be documented, implemented, maintained and continually improved.
FSM H 2	Food safety policy	The standard shall require the organisation has a clear, concise and documented food safety policy statement and measurable objectives specifying the extent of the organisation's commitment to meet the safety needs of its products.
FSM H 3	Food safety manual	The standard shall require the organisation have a food safety manual or documented system having a scope appropriate to the range of business activities to be covered, including documented procedures or specific reference to them and describing the interaction of the related process steps.
FSM H 4	Management responsibility	The standard shall require that the organisation establishes a clear organisational structure, which defines and documents the job functions, responsibilities and reporting relationships of at least those employees whose activities affect food safety.
FSM H 5	Management commitment	The standard shall require that the organisation's senior management provides evidence of their commitment to establish, implement, maintain and improve the Food Safety Management System.
FSM H 6.1	Management review	The standard shall require that the organisation's senior management review the Food Safety Management System at planned intervals, to ensure their continuing suitability, adequacy and effectiveness.

<b>FSM H 6.2</b>	Management review	The standard shall require that the senior management shall ensure that Food Safety Management Systems are reviewed within a defined time frame in the event of any change affecting food safety. Such a review shall evaluate the need for changes in order to maintain the Food Safety Management System.
<b>FSM H 7</b>	Resource management	The standard shall require that the organisation's senior management determine and provide, in a timely manner, the resources needed to implement, maintain and improve the Food Safety Management System.
<b>FSM H 8.1</b>	General documentation requirements	The standard shall require that the required documentation procedures are in place to demonstrate compliance with the standard.
<b>FSM H 8.2</b>	General documentation requirements	The standard shall require that documented procedures are in place to ensure that all records required to demonstrate the effective operation and control of its processes and the management of food safety are securely stored.
<b>FSM H 8.3</b>	General documentation requirements	The standard shall require that the documentation procedures described under FSM G 8.1 and FSM G 8.2 are securely stored for the time period required to meet customer or legal requirements, effectively controlled and readily accessible when needed.
<b>FSM H 9.1</b>	Specified requirements	The standard shall require the organisation to ensure that agreements are prepared, maintained, securely stored and readily accessible when needed, for all inputs to the process, items and services (including utilities, transport and maintenance) that are purchased or provided and have an effect on food safety.
<b>FSM H 9.2</b>	Specified requirements	The standard shall require that an agreement review process is in place.
<b>FSM H 10</b>	Procedures	The standard shall require that the organisation establishes, implements and maintains appropriate procedures and / or instructions for all processes and operations having an effect on food safety.
<b>FSM H 11</b>	Internal audit	The standard shall require that the organisation has an internal audit system in place to cover the scope of the Food Safety Management System.

<b>FSM H 12</b>	Corrective action	The standard shall require that the organisation has procedures for the determination, implementation and verification of corrective action in the event of any significant non-conformity relating to food safety.
<b>FSM H 13.1</b>	Control of non-conformity	The standard shall require that the organisation has effective processes in place to ensure that any identified product, which does not conform to food safety requirements, is clearly controlled to prevent unintended offering, use or delivery.
<b>FSM H 13.2</b>	Control of non-conformity	The standard shall require that the processes described under FSM H 13.1 shall be defined in a documented procedure that is securely stored and readily accessible when needed.
<b>FSM H 14.1</b>	Purchasing	The standard shall require that the organisation controls purchasing processes for all externally sourced products and services which have an effect on food safety, so that they conform to the purchasing requirements and the requirements of the Food Safety Management System.
<b>FSM H 14.2</b>	Purchasing	The standard shall require that control of outsourced processes that may have an effect on food safety are identified and documented in the Food Safety Management System
<b>FSM H 14.3</b>	Purchasing (non-approved suppliers)	Use of non-approved suppliers shall be acceptable in an emergency situation provided the facility has been assessed and the product meets the specification.
<b>FSM H 15</b>	Supplier performance	The standard shall require that the organisation establishes, implements and maintains procedures for the evaluation, approval and continued monitoring of suppliers, which have an effect on food safety. The results of evaluations, investigations and follow up actions shall be recorded.
<b>FSM H 16</b>	Outsourcing	The standard shall require that the organisation ensures control over outsourced processes that may affect food safety. Control of such outsourced processes shall be identified, documented and monitored within the Food Safety Management System.

<b>FSM H 17</b>	Complaint handling	The standard shall require that the organisation establishes, implements and maintains a system for the management and remediation of complaints and complaint data related to food safety.
<b>FSM H 18</b>	Serious incident management	The standard shall require that the organisation establishes, implements and maintains an incident management procedure, which is regularly reviewed for effectiveness. This includes planning for product withdrawal and product recall.
<b>FSM H 19.1</b>	Control of measuring and monitoring devices	The standard shall require that the organisation identifies the equipment used to measure parameters critical to ensure food safety.
<b>FSM H 19.2</b>	Control of measuring and monitoring devices	The standard shall require that the organisation identifies the required monitoring of measuring devices critical to ensure food safety.
<b>FSM H 19.3</b>	Control of measuring and monitoring devices	The standard shall require that the organisation identifies methods to assure that the calibration of these measuring and monitoring devices is traceable to a recognised standard or method.
<b>FSM H 20.1</b>	Food defence threat assessment	The standard shall require that the organisation have a documented food defence threat assessment procedure in place to identify potential threats and prioritise food defence measures.
<b>FSM H 20.2</b>	Food defence plan	The standard shall require that the organisation has a documented plan in place that specifies the measures the organisation has implemented to mitigate the public health risks from any identified food defence threats.
<b>FSM H 20.3</b>	Food defence plan	The standard shall require that the organisation's food defence plan shall be supported by the organisation's Food Safety Management System.
<b>FSM H 21</b>	Product information	The standard shall require that the organisation make all relevant product information available to enable the safe use of the food product by the customer or consumer.
<b>FSM H 22</b>	Food fraud vulnerability assessment	The standard shall require that the organisation has a documented food fraud vulnerability assessment procedure in place to identify potential vulnerability and prioritise food fraud mitigation measures.

<b>FSM H 23.1</b>	Food fraud mitigation plan	The standard shall require that the organisation has a documented plan in place that specifies the measures the organisation has implemented to mitigate the public health risks from the identified food fraud vulnerabilities.
<b>FSM H 23.2</b>	Food fraud mitigation plan	The standard shall require that the organisation's food fraud mitigation plan shall cover the relevant GFSI scope and shall be supported by the organisation's Food Safety Management System.
<b>FSM H 24</b>	Traceability	The standard shall require that the organisation establish, implement and maintain appropriate traceability procedures and systems to include: product origin (one stage back) destination when the customer is known (one stage forward)
<b>FSM H 30</b>	Analysis of input	The standard shall require that analyses critical to the verification of food safety are performed by a competent laboratory.
<b>FSM H 25</b>	Product labelling	The standard shall ensure that finished product is labelled according to the applicable food regulations in the country of operation.
<b>FSM H 26</b>	Allergen management	The standard shall require that an allergen management plan is in place in all facilities. This shall include a risk assessment of allergen cross contact and implemented controls to reduce or eliminate the risk of cross-contamination.
<b>FSM H 27</b>	Allergen labelling	The standard shall require that all finished products intentionally or potentially containing allergenic materials are labelled according to the allergen labelling regulations in the country of destination.
<b>FSM H 28</b>	Environmental monitoring	The standard shall require that a risk-based environmental monitoring programme be in place
<b>FSM H 29</b>	Food safety legislation	The standard shall require that the organisation establishes, implements and maintains detailed procedures and instructions for all processes and operations having an effect on food safety to be compliant in the country of operation.



## SECTION 3: GOOD INDUSTRY SECTOR PRACTICE REQUIREMENTS

**Table I: Good Retail Practice Requirements**

CLAUSE NUMBER	CLAUSE NAME	REQUIREMENTS
<b>GMP H 1</b>	Facility environment	The standard shall require that the site or facility is located and maintained so as to prevent contamination and in order to enable the offering of safe products.
<b>GMP H 2</b>	Local environment	The standard shall require that all grounds within the site or facility are maintained so as to prevent contamination and enable the offering of safe products.
<b>GMP H 3</b>	Facility design, construction, layout and product flow	The standard shall require that premises, site and / or plant are designed, constructed and maintained, both the exterior and the interior, to control the risk of product contamination.
<b>GMP H 4</b>	Fabrication (input and material handling, preparation, product handling, packing and storage areas)	The standard shall require that the fabrication of the site, buildings and facilities are suitable for the intended purpose.
<b>GMP H 5</b>	Equipment	The standard shall require that equipment is suitably designed and selected for the intended purpose and shall be used and stored so as to minimise food safety risks.
<b>GMP H 6</b>	Maintenance	The standard shall require that a system is in place to ensure that all equipment is properly maintained to ensure food safety.
<b>GMP H 7</b>	Employee and public facilities	The standard shall require that employee and public facilities be designed and operated so as to minimise food safety risks.
<b>GMP H 8</b>	Physical, chemical and biological product contamination risk	The standard shall require that appropriate facilities and procedures are in place to control the risk of physical, chemical or biological contamination of product.

<b>GMP H 9</b>	Segregation and cross-contamination	The standard shall require that procedures be in place to prevent contamination and cross-contamination of raw materials, packaging and finished food product, covering all aspects of food safety including microorganisms, physical contaminants and chemicals.
<b>GMP H 10</b>	Stock management	The standard shall require that a system be in place to ensure that materials, ingredients and food products are used and offered within the allocated shelf life with respect to food safety.
<b>GMP H 11.1</b>	Housekeeping, cleaning and hygiene	The standard shall require that appropriate standards of housekeeping, cleaning and hygiene be maintained and documented at all times. Cleaning materials shall be suitable for their intended use and stored appropriately.
<b>GMP H 11.2</b>	Housekeeping, cleaning and hygiene	The standard shall require that cleaning materials are suitable for their intended use and stored appropriately.
<b>GMP H 12</b>	Water quality and utility management (including ice)	The standard shall require that the quality of water (including steam and ice) that comes into contact with food is regularly monitored and shall present no risk to food safety.
<b>GMP H 13</b>	Waste management	The standard shall require that adequate systems be in place for the collation, collection and disposal of waste material.
<b>GMP H 14</b>	Pest control	The standard shall require that a system is in place for controlling or eliminating the risk of pest infestation on the site or in the facilities.
<b>GMP H 15</b>	Salvage operations / reclamation	The standard shall require that a system be in place to maintain product integrity and regulatory compliance regarding the disposal, resale, donation, restocking or reuse of product being salvaged or reclaimed.
<b>GMP H 16</b>	Transport	The standard shall require that a system is in place to ensure that product food safety is not compromised in transport and delivery.
<b>GMP H 17</b>	Product damage or returns	The standard shall require that a system be in place to maintain product safety when determining future use or disposition of products that are found to be damaged and / or returned.

<b>GMP H 18</b>	Storage	The standard shall require that product is stored, temporarily stored and transported under conditions which minimise the potential for microbial, chemical or physical contamination.
<b>GMP H 19</b>	Receiving products	The standard shall require that appropriate procedures for reception of goods are in place to assure that only goods that meet food safety requirements are accepted and made available to the customer and / or consumer.
<b>GMP H 20</b>	Personal hygiene, protective clothing and health standards	The standard shall require that documented personal hygiene, protective clothing and health standards based on food safety risk shall be in place and implemented. Procedures shall be in place for contractors and visitors.
<b>GMP H 21</b>	Training	The standard shall require that a system is in place to ensure that all employees are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.
<b>GMP H 22.1</b>	Packing and storage of Product	The standard shall require that packaging materials are obtained with knowledge of the manufacturer, be appropriate for use and are used and stored so as not to be a source of contamination to the product.
<b>GMP H 22.2</b>	Packing and storage of Product	The standard shall require that the product shall be handled, sorted, graded and packed in a manner that minimises sources of biological, chemical and physical contamination.
<b>GMP H 22.3</b>	Packing and storage of Product	The standard shall require that the product shall be held or stored in designated areas and handled under the proper conditions to minimise contamination.