



GFSI TECHNICAL EQUIVALENCE
GFSI GUIDANCE DOCUMENT VERSION 7.2

PART III - *D*
**PRE-PROCESSING
HANDLING
OF PLANT
PRODUCTS**

Part III - *D* Pre-processing handling of plant products

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 – D – Pre-Processing Handling of Plant Products** is to define:

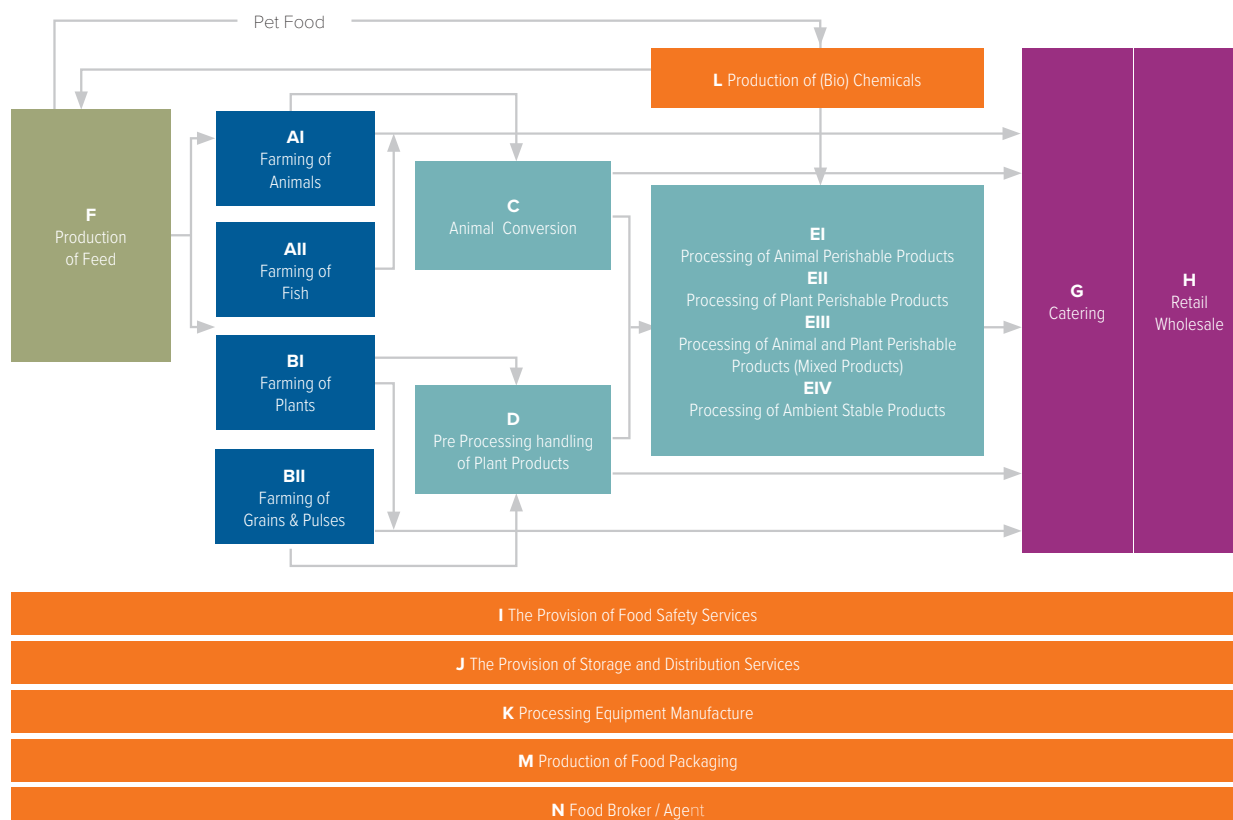
- the requirements for the food safety management systems to be in place in the Certification Programme's standard for GFSI scope of recognition **D – Pre-Processing Handling of Plant Products**,
- the requirements for the Good Practice requirements to be in place in the Certification Programme's standard for GFSI scope of recognition **D – Pre-Processing Handling of Plant Products**,
- 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 **D – Pre-Processing Handling of Plant Products**.

GFSI scope of recognition **D – Pre-processing handling of plant products** includes the following products, services, or methods of production:

- De-shelling of nuts, drying of grain, grading of fruit and vegetables, storage.
- Cleaning, washing, rinsing, fluming, sorting, grading, trimming, bundling, cooling, hydro-cooling, waxing, drenching, packing, repacking, staging, storing, loading / or any other handling activity that does not significantly transform the product from its original harvested form

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 MANUFACTURING Practice Requirements

SECTION 1: HACCP OR HAZARD BASED REQUIREMENTS

Table I: HACCP

CLAUSE NUMBER	CLAUSE NAME	REQUIREMENTS
HACCP D 1.1	Hazard Analysis and Critical Control Point (HACCP)	The standard shall require that the organisation has a HACCP or HACCP based system in place including pre-requisite programmes.
HACCP D 1.2	Hazard Analysis and Critical Control Point (HACCP)	The standard shall require that the HACCP or HACCP based system shall prescribe the measures taken to apply those critical controls to assure, monitor and maintain food safety.

HACCP D 1.3	Hazard Analysis and Critical Control Point (HACCP)	The standard shall require that the HACCP or HACCP-based system shall be prepared in accordance with Codex Alimentarius HACCP principles and the relevant law.
HACCP D 1.4	Hazard Analysis and Critical Control Point (HACCP)	The standard shall require that the HACCP or HACCP-based system shall cover a product or a product grouping and its production.
HACCP D 1.5	Hazard Analysis and Critical Control Point (HACCP)	The standard shall require that the HACCP or HACCP based system shall include documented Standard Operating Practices (SOPs) and Work Instructions (WIs) as required and applicable to the organisation's scope of certification.

SECTION 2: FOOD SAFETY MANAGEMENT REQUIREMENTS

Table I: Food Safety Management Requirements

CLAUSE NUMBER	CLAUSE NAME	REQUIREMENTS
FSM D 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 D 2	Food safety policy	The standard shall require the organisation to have 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 C 3	Food safety manual	The standard shall require the organisation to 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.
FSM D 3	Management responsibility	The standard shall require that the organisation establishes a clear organisational structure, which unambiguously defines and documents the job functions and responsibilities of at least those employees whose activities affect food safety.

FSM D 4	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 System.
FSM D 5.1	Management review	The standard shall require that the organisation's senior management review the verification of the Food Safety System, HACCP plan or HACCP based plans, at planned intervals, to ensure their continuing suitability, adequacy and effectiveness.
FSM D 5.2	Management review	The standard shall require that the HACCP plan and food safety programmes (or prerequisite programmes) shall also be reviewed in the event of any change that impacts food safety. Such a review shall evaluate the need for changes to the Food Safety System, including the food safety policy and food safety objectives.
FSM D 6	Resource management	The standard shall require that the organisation's senior management determines and provides, in a timely manner, the qualified resources (including suitably qualified personnel) needed to implement, maintain, review and improve the Food Safety System.
FSM D 7.1	General documentation requirements	The standard shall require that documentation procedures are in place to demonstrate compliance with the standard.
FSM D 7.2	General documentation requirements	The standard shall require that documentation 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.
FSM D 7.3	General documentation requirements	The standard shall require that the documentation procedures described under FSM D 7.1 and FSM D 7.2 are securely stored for the time period required to meet customer or legal requirements, effectively controlled and are readily accessible when needed.
FSM D 8.1	Specified requirements	The standard shall require that the organisation ensures that documented specifications or requirements 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 product safety.

FSM D 8.2	Specified requirements	The standard shall require that a specification review process is in place.
FSM D 9	Procedures	The standard shall require that the organisation establishes, implements and maintains documented and detailed procedures and instructions for all processes and operations having an effect on food safety.
FSM D 10	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.
FSM D 11	Corrective action	The standard shall require that the organisation has procedures in place for the determination and implementation of corrective action in the event of any significant non-conformity relating to food safety.
FSM D 12	Control of non conformity	The standard shall require that the organisation has effective and documented processes in place to ensure that any product which does not conform to food safety requirements is clearly identified and controlled to prevent unintended use or delivery.
FSM D 13	Product release	The standard shall require that the organisation prepares and implements appropriate product release procedures.
FSM D 14.1	Purchasing	The standard shall require that the organisation controls purchasing processes to ensure that all externally sourced materials and outsourced services which have an effect on food safety, conform to food safety requirements.
FSM D 14.2	Purchasing	The standard shall require that control of outsourced processes that may have an effect on food safety shall be identified and documented in the Food Safety System.
FSM D 14.3	Purchasing (non-approved supplier)	Use of non-approved suppliers shall be acceptable in an emergency situation provided the facility has been assessed and the product meets the specification.
FSM D 15	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.

FSM D 16	Complaint handling	The standard shall require that the organisation establishes, implements and maintains an effective system for the management of complaints and complaint data in order to control and correct shortcomings in food safety.
FSM D 17	Serious incident management	The standard shall require that the organisation establishes, implements and maintains an effective incident management procedure, which is regularly tested for all products it supplies and covers planning for product withdrawal and product recall as required.
FSM D 18.1	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.
FSM D 18.2	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.
FSM D 18.3	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.
FSM D 19.1	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.
FSM D 19.2	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.
FSM D 19.3	Food defence plan	The standard shall require that the organization's Food defence plan shall be supported by the organisation's Food Safety Management System.
FSM D 20	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.

FSM D 21.1	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.
FSM D 21.2	Food fraud mitigation plan	The standard shall require that the organisation's food fraud mitigation plan shall be supported by the organisation's Food Safety Management System.
FSM D 22.1	Traceability	The standard shall require that the organisation establishes, implements and maintains appropriate procedures and systems to ensure an identification of any outsourced production, inputs or services related to food safety.
FSM D 22.2	Traceability	The standard shall require that the organisation establishes, implements and maintains appropriate procedures and systems to ensure that the product identification enables traceability to the producer.
FSM D 22.3	Traceability	The standard shall require that the organisation establishes, implements and maintains appropriate procedures and systems to ensure a record of purchaser and delivery destination for all products supplied. This refers to one step forward and one step backward as a minimum.
FSM D 23	Analysis of Inputs (e.g. water, ice)	The standard shall require that analysis be performed by a competent laboratory when it is critical to the verification of food safety is undertaken.
FSM D 24	Product Labelling	The standard shall ensure that finished product is labelled according to the applicable food regulations in the country of intended sale.
FSM D 25	Allergen Management	The standard shall require that an allergen management plan is in place in all food manufacturing facilities. This shall include a risk assessment of allergen cross contact and implemented controls to reduce or eliminate the risk of cross contact.
FSM D 26	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 manufacture and the country of destination.

FSM D 27	Environmental monitoring	The standard shall require that a risk-based environmental monitoring programme be in place.
FSM D 28	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 manufacturing as well as the country of known destination.

SECTION 3: GOOD INDUSTRY SECTOR PRACTICE REQUIREMENTS

Table I: Good Manufacturing Practice Requirements

CLAUSE NUMBER	CLAUSE NAME	REQUIREMENTS
GMP D 1	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 production of safe products.
GMP D 2	Local environment	The standard shall require that all grounds within the site or facility are maintained so as to prevent contamination and enable the production of safe products.
GMP D 3	Facility design, construction, layout and product flow	The standard shall require that premises, site and / or plant shall be designed, constructed and maintained, both the exterior and the interior, to control the risk of product contamination.
GMP D 4	Fabrication (input and material handling, preparation, product handling, packing and storage areas)	The standard shall require that the material used within the site buildings and facilities are suitable for the intended purpose.
GMP D 5	Equipment	The standard shall require that equipment is suitably designed for the intended purpose and is used and stored so as to minimise food safety risks.
GMP D 6	Maintenance	The standard shall require that a system of planned maintenance is in place covering all aspect of the facility which are critical for food safety.

GMP D 7	Employee facilities	The standard shall require that employee facilities are designed and operated so as to minimise food safety risks.
GMP D 8	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.
GMP D 9	Segregation and cross-contamination	The standard shall require that procedures are in place to prevent contamination and cross-contamination of raw materials, packaging and finished product, covering all aspects of food safety.
GMP D 10.1	Housekeeping, cleaning and hygiene	The standard shall require that documented standards of housekeeping, cleaning and hygiene are maintained at all times and throughout all the stages.
GMP D 10.2	Housekeeping, cleaning and hygiene	The standard shall require that cleaning materials shall be suitable for their intended use and stored appropriately.
GMP D 11	Stock management	The standard shall require that a system is in place to ensure that materials and ingredients are used in the correct order and within the allocated shelf life.
GAP D 12	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 are regularly monitored and shall present no risk to food safety.
GAP D 13	Water for primary production	The standard shall require that, if agricultural water is stored, tanks, containers or cisterns must not be a source of contamination for water or product.
GAP D 14	Waste management	The standard shall require that adequate systems are in place for the collation, collection and disposal of waste material.
GAP D 15	Pest control	The standard shall require that a system is in place for controlling or eliminating the risk of pest infestation at the site or in the facilities.

GMP D 16	Transport	The standard shall require that all containers and vehicles, including contracted out vehicles, used for the storage and transportation of raw materials (including packaging), intermediate / semi-processed product and finished product (including packed, fresh product in final packaging) are suitable for the purpose, are maintained in good repair and are clean.
GMP D 17.1	Personal hygiene, protective clothing and medical screening	The standard shall require that documented personal hygiene standards based on risk of product contamination are in place and personnel are trained in them.
GMP D 17.2	Personal hygiene, protective clothing and medical screening	The standard shall require that hand washing and toilet facilities shall be provided.
GMP D 17.3	Personal hygiene, protective clothing and medical screening	The standard shall require that suitable and appropriate protective clothing shall be provided.
GMP D 17.4	Personal hygiene, protective clothing and medical screening	The standard shall require that a medical screening procedure shall be in place to identify conditions impacting food safety subject to legal restrictions in the country of operation.
GMP D 17.5	Personal hygiene, protective clothing and medical screening	The standard shall require that in all cases the requirements described under GMP D 17.1, 17.2, 17.3 and 17.4 shall also apply to contractors and visitors.
GMP D 18	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.
GMP D 19.1	Packing and storage of product	The standard shall require that packaging materials are obtained with knowledge of the manufacturer, are appropriate for use and are used and stored so as not to be a source of contamination to product.
GMP D 19.2	Packing and storage of product	The standard shall require that products shall be handled, sorted, graded and packed in a manner that minimises sources of biological, chemical and physical contamination.
GMP D 19.3	Packing and storage of product	The standard shall require that products shall be held or stored in designated areas and handled under the proper conditions to minimise contamination.