



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

# **PART III - J**

# **PROVISION OF STORAGE AND DISTRIBUTION SERVICES**

# Part III - J Provision of Storage and Distribution Services

## 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 – J – Provision of Storage and Distribution Services** is to define:

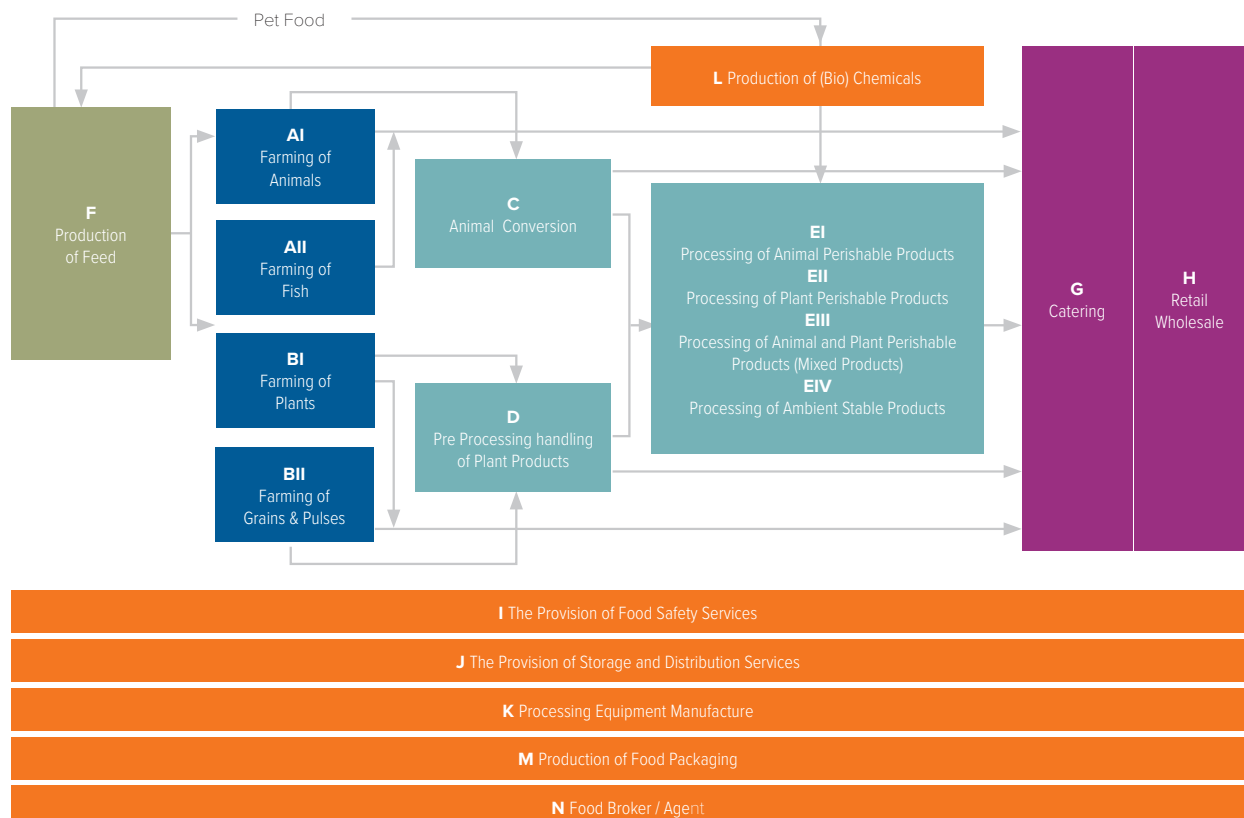
- the requirements for the Food Safety Management Systems to be in place in the Certification Programme's standard for GFSI scope of recognition **J – Provision of Storage and Distribution Services**,
- the requirements for the Good Practice requirements to be in place in the Certification Programme's standard for GFSI scope of recognition **J – Provision of Storage and Distribution Services**,
- 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 **J – Provision of Storage and Distribution Services**.

- the requirements for the acceptance of certification of multi-site based on sampling for GFSI scope of recognition **J – Provision of Storage and Distribution Services**.
- The requirements for the acceptance of certification of multi-site based on sampling for GFSI scope of recognition **J – Provision of Storage and Distribution Services**.

GFSI scope of recognition J – Provision of Storage and Distribution Services includes the following products, services, or methods of production:

- Perishable food and feed storage and distribution
- Non-perishable food and feed storage and distribution



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 OR FEED SAFETY MANAGEMENT REQUIREMENTS

Table I: Food Safety Management Requirements

## SECTION 3: GOOD INDUSTRY SECTOR PRACTICE REQUIREMENTS

Table I: Good DISTRIBUTION Practice Requirements

## SECTION 4: CERTIFICATION OF MULTI-SITE ORGANISATIONS BASED ON SAMPLING

# SECTION 1: HACCP OR HAZARD BASED REQUIREMENTS

Table I: HACCP REQUIREMENTS

CLAUSE NUMBER	CLAUSE NAME	REQUIREMENTS
HACCP J 1	Hazard and Risk Management System	The standard shall require that the organisation has a Hazard and Risk Management System in place including prerequisite programmes. 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 J 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 continuously improved.
FSM J 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 J 3	Food safety manual	The standard shall require the organisation has a food safety manual or documented system having a scope appropriate to the range of business activities to be covered, including documented procedures or specific reference to them.
FSM J 4	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 J 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 System.
FSM J 6.1	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.

<b>FSM J 6.2</b>	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.
<b>FSM J 7</b>	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.
<b>FSM J 8.1</b>	General documentation requirements	The standard shall require that documentation procedures are in place to demonstrate compliance with the standard.
<b>FSM J 8.2</b>	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.
<b>FSM J 8.3</b>	General documentation requirements	The standard shall require that the documentation procedures described under FSM J 8.1 and FSM J 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 J 9.1</b>	Specified requirements	The standard shall require that the organisation ensures that documented storage and handling 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.
<b>FSM J 9.2</b>	Specified requirements	The standard shall require that a specification review process is in place.
<b>FSM J 10</b>	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.

<b>FSM J 11</b>	Internal audit	The standard shall require that the organisation has an internal audit system in place to cover the scope of the Food Safety Management System.
<b>FSM J 12</b>	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.
<b>FSM J 13.1</b>	Control of non-conformity	The standard shall require that the organisation has effective processes in place to ensure that any product, which does not conform to food safety requirements, is clearly identified and controlled to prevent unintended use or delivery.
<b>FSM J 13.2</b>	Control of non-conformity	The standard shall require that the processes described under FSM J 13.1 shall be defined in a documented procedure that is securely stored and readily accessible when needed.
<b>FSM J 14</b>	Product release	The standard shall require that the organisation prepares and implements appropriate product release procedures.
<b>FSM J 15.1</b>	Purchasing	The standard shall require that the organisation controls purchasing processes to ensure that all externally sourced materials and services, which have an effect on food safety, conform to food safety management.
<b>FSM J 15.2</b>	Purchasing	The standard shall require that where an organisation chooses to outsource any processes that may have an effect on food safety, the organisation shall ensure control over such processes.
<b>FSM J 15.3</b>	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.
<b>FSM J 15.4</b>	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.

<b>FSM J 16</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 J 17</b>	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.
<b>FSM J 18</b>	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.
<b>FSM J 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 J 19.2</b>	Control of measuring and monitoring devices	The standard shall require that the organisation identifies the measuring and monitoring devices required.
<b>FSM J 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 J 20.1</b>	Food defence threat assessment	The standard shall require that the organisation has a documented food defence threat assessment procedure in place to identify potential threats and prioritise food defence measures.
<b>FSM J 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 J 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.

FSM J 21	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 J 22.1	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 J 22.2	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 J 23	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(ies) of operation as well as the country of known destination.

## SECTION 3: GOOD INDUSTRY SECTOR PRACTICE REQUIREMENTS

**Table I: Good Distribution Practice Requirements**

CLAUSE NUMBER	CLAUSE NAME	REQUIREMENTS
GDP J 1.1	Facility and environment	The standard shall require that the site or facility be located and maintained to prevent contamination of the products and enable the safe receipt, storage and distribution of products.
GDP J 1.2	Facility and environment	The standard shall require that all grounds within and around the site or facility be maintained in such a way to prevent the introduction of potential hazards and maintain product integrity.



<b>GDP J 2</b>	Environmental conditions	The standard shall address time, temperature, humidity and other relevant environmental conditions that affect food safety.
<b>GDP J 3.1</b>	Facility design, construction, layout	The standard shall require that both exterior and interior premises of the site and / or facility shall be designed, laid out, constructed and maintained to prevent the introduction of potential food safety hazards, and maintain the required environmental conditions, including temperature and humidity controls.
<b>GDP J 3.2</b>	Facility design, construction, layout	The standard shall require that the fabrication of the site, buildings and facilities are suitable for the intended purpose.
<b>GDP J 4</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>GDP J 5</b>	Maintenance	The standard shall require that a system of planned maintenance is in place covering all items of equipment, which are critical to product safety and used to receive, store and distribute products.
<b>GDP J 6</b>	Employee facilities	The standard shall require that employee facilities such as toilets, lunch facilities, changing / locker rooms are designed and operated to minimise food safety risks.
<b>GDP J 7</b>	Product contamination risk	The standard shall require that facilities and procedures are in place to control the risk of product contamination (for example physical, chemical, biological, allergen or other contamination of product).
<b>GDP J 8</b>	Stock rotation	The standard shall require that a system is in place to ensure that materials and ingredients are used and delivered within the allocated shelflife.
<b>GDP J 9.1</b>	Housekeeping, cleaning and hygiene	The standard shall require that criteria for housekeeping, cleaning and hygiene to ensure safe food are defined and maintained throughout all the stages of the process with documentation for the effectiveness of the cleaning.

<b>GDP J 9.2</b>	Housekeeping, cleaning and hygiene	The standard shall require that cleaning materials shall be suitable for their intended use and stored appropriately.
<b>GDP J 10.1</b>	Air, water quality and utility management (including ice)	The standard shall require that the quality of air and water in any form that comes into direct contact with food or food packaging shall present no risk to product safety.
<b>GDP J 10.2</b>	Air, water quality and utility management (including ice)	The standard shall require that water suitable for the operation shall be used.
<b>GDP J 10.3</b>	Air, water quality and utility management (including ice)	The standard shall require that, where applicable, storage of water and storage and handling of ice shall occur so as to prevent contamination.
<b>GDP J 10.4</b>	Air, water quality and utility management (including ice)	The standard shall require that air flow shall include consideration for environmental contaminants.
<b>GDP J 11</b>	Waste management	The standard shall require that systems are in place for the collection and disposal of waste material for both food and non food waste.
<b>GDP J 12</b>	Pest management	The standard shall require that a system is in place for controlling the risk of pest infestation on the site or in the facilities.
<b>GDP J 13</b>	Distribution (transport and shipping)	The standard shall require that all transport containers are maintained in good repair, secured and at required environmental conditions, and be clean to control risk of product contamination (for example biological, physical, chemical and other allergen contamination of product).
<b>GDP J 14.1</b>	Personal health and hygiene	The standard shall require that documented personal health and hygiene standards based on risk of product contamination shall be in place and personnel shall be trained in them.
<b>GDP J 14.2</b>	Personal health and hygiene	The standard shall require that hand washing and toilet facilities shall be provided.
<b>GDP J 14.3</b>	Personal health and hygiene	The standard shall require that procedures shall be in place for contractors and visitors.

<b>GDP J 15.1</b>	Training	The standard shall require that a system is in place to ensure that all employees are adequately trained, instructed and supervised in hygiene, product condition food safety principles and practices and allergen management, commensurate with their activity.
<b>GDP J 15.2</b>	Training	The standard shall require that the effectiveness of the training is monitored.
<b>GDP J 15.3</b>	Training	The standard shall require that procedures shall be in place for contractors and visitors.
<b>GDP J 16.1</b>	Product identification	The standard shall require that all products are identified to enable the safe handling, receiving, storage and distribution within the food supply chain.
<b>GDP J 16.2</b>	Product identification	The standard shall require that products should be identified to facilitate allergen management.
<b>GDP J 17.1</b>	Traceability	The standard shall require that the organisation establishes, implements and maintains appropriate traceability procedures and systems to include the material source (one stage back) and the customer (one stage forward) and to ensure that the product identification includes a unique product identifier.
<b>GDP J 17.2</b>	Traceability	The standard shall require that the organisation establishes, implements and maintains appropriate traceability procedures and systems to include the material source (one stage back) and the customer (one stage forward) and to ensure that the record of purchaser and delivery destination for all products is supplied.
<b>GDP J 17.3</b>	Traceability	The standard shall require that the organisation establishes, implements and maintains appropriate traceability procedures and systems to include the material source (one stage back) and the customer (one stage forward) and to ensure that the system is tested regularly.

## SECTION 4: CERTIFICATION OF MULTI-SITE ORGANISATIONS BASED ON SAMPLING

### 4.1 General

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

These scopes are listed in the following table.

GFSI SCOPE	CATEGORY NAME
AI	FARMING OF ANIMALS FOR MEAT / MILK / EGGS/ HONEY
AII	FARMING OF FISH AND SEAFOOD
BI	FARMING OF PLANTS (OTHER THAN GRAINS AND PULSES)
BII	FARMING OF GRAINS AND PULSES
J	PROVISION OF STORAGE AND DISTRIBUTION SERVICES

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

For scopes of recognition that do not yet have agreed multisite requirements, Certification Programme Owners shall maintain and follow the current approach in their standard until such time as GFSI requirements are agreed and published.

Certification Programmes requiring Certification Bodies to operate to ISO / IEC 17021 shall meet or exceed the requirements of Clause 9.1.5 of ISO / TS 22003 with regard to multi-site certification. Multi-site certification shall only apply to organisations with more than 20 sites operating similar processes.

Certification Programmes that require Certification Bodies to operate under ISO / IEC 17065 shall meet or exceed the principles defined in IAF MD1, and must, as a minimum, apply the guidance provided in section 4.2 (below).

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

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

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

These are typically:

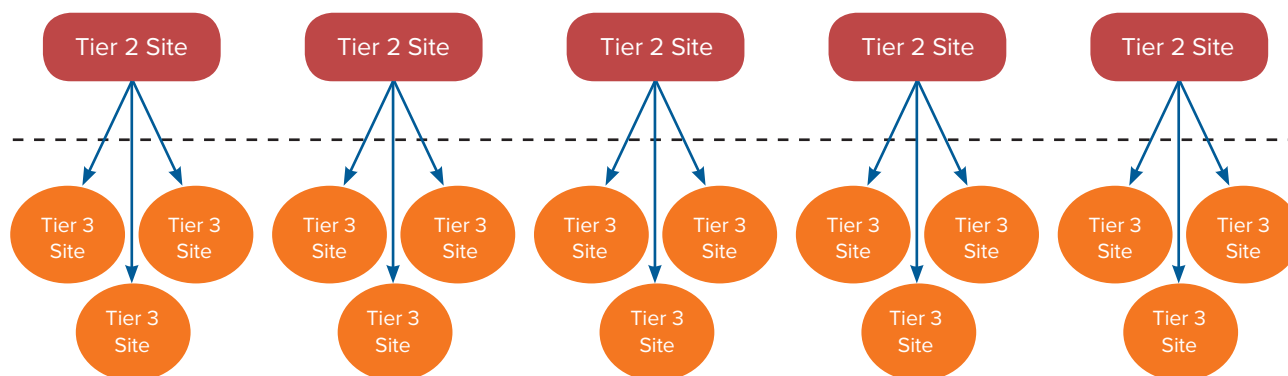
**Tier 1 (T1): Main / National / Regional Distribution Centres or Central Warehouses (No multi-site sampling option available)**

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

## Single Site Certification

Tier 1 Site

## Multi-Site Certification



## Multi-Site Certification

A Certification Programme shall certify each Tier 1 facility site of a company's distribution and / or warehouse operations with each T1 site having its own single certificate. However, a multi-site approach may be used to include all T2 or below (e.g T3) satellite sites linked to the T1 organisations' certification.

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

1. The organisation shall request multi-site sampling in their application to the Certification Body.
2. The organisation's central controlling organisation or central function shall be contracted to the Certification Body and not individual sites. The organisation's central controlling organisation or central function shall be part of the organisation's Certification Programme. All sites must be operated under the same Food Safety Management System and under the control of a central controlling organisation or central function, which has a legal or contractual link to the sites.

3. The central controlling organisation or central function shall have in place sufficient management and technical capacity to implement and maintain the internal audit programme.
4. The central controlling organisation or central function shall have authoritative control of the Food Safety Management System of all sites and shall issue, maintain and retain all relevant documents relating to the sites within the sampling programme.
5. The central controlling organisation or central function shall be subject to management review in accordance with Certification Programme requirements and
6. shall itself be subject to internal audit in accordance with Certification Programme requirements.
7. The central controlling organisation or central function shall be audited by the Certification Body at least annually and before the Certification Body undertakes the auditing of sample sites.
8. All sites within a multi-site sampling programme shall be operating under the same storage conditions (e.g. ambient stable, refrigerated, frozen or combinations of these) and have the same risk profile (e.g. size of site, shift patterns, management structure and employee numbers). Therefore, it is recognised that an organisation could have several

multi-site sampling programmes based on different process and risk profile, but these programmes shall be clearly defined and documented.

9. There must be an internal audit programme for all sites undertaken by the central controlling organisation or central function, which is based on storage condition and risk profile. Within the internal audit sampling programme all sites shall be audited at least annually. The internal audit programme shall have documented procedures and be both practical and feasible in operative terms.
10. The Certification Body audit sampling programme shall be reviewed and undertaken annually against defined sample size. Within a multi-site sampling programme there shall be a minimum of 20 sites.
11. The sampling size of the Certification Body audit sampling programme shall be the square root of the number of sites (rounded to the upper whole number) in accordance with principles defined in IAF MD1:2007 and the sample size shall meet the requirements defined in the table below.

NO OF SITES	SAMPLE SIZE
20-25	5
26-50	8
51-100	10
101-250	16
251-500	23
501-1000	32
Over 1000	Calculated

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

complaints, site modification, management changes and employee numbers).

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

1. Non conformities shall be assessed by the Certification Body to ascertain if these indicate an overall Food Safety System deficiency and therefore may be applicable to all or other sites. If non conformities relate to all or other sites, corrective action shall be undertaken and verified both by the central controlling organisation or central function and by the Certification Body.
2. If the central controlling organisation, central function or any site fails to meet the Certification Programme requirements, then the whole multi-site organisation will fail to gain certification. Where certification has previously been in place, this shall initiate the Certification Body's process to suspend or withdraw its certification.

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

**Tier 1 (T1) Facility: Main / National / Regional Distribution Centres or Central Warehouses: Food or Feed Distribution or Storage Facilities, at a single site or location and operating under one Food Safety Management System.**

T1 facilities can have T2 facilities and / or sites (T3) managed by the organisation seeking the certification (each site must have a certificate, no multi-site sampling option available).

**Tier 2 (T2) or Tier 3 (T3) Site: Satellite Warehouse or Distribution Hub, Cross Docking Site (multi-site sampling option available): Food or Feed Distribution or Storage Facilities, at a single site or location and operating under one Food Safety Management System.**

These sites are always linked to a larger T1 distribution centre, storage warehouse or organisation with multiple T1 facilities or in the case of a T3 site via a T2 site. T2 sites and T3 sites are always managed and under the direct control of a T1 facility or an organisation with multiple T1 facilities seeking certification (multi-site sampling option available).