



Food Safety Plus™ Pty Ltd

HACCP Certification Terms and Conditions

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1.1 Food Safety Plus HACCP Certification Criteria

Food Safety Plus has developed HACCP criteria for food producers, manufacturers and food service organisations that do not require international recognition of their food safety management system, but which need to demonstrate to their suppliers and customers that they have implemented a system of food safety hazard controls based on the principles and practice outlined in *Hazard Analysis Critical Control Point (HACCP) System and Guidelines for its Application*, issued by the Codex Alimentarius Commission.

2.1 General

Food Safety Plus certification services are based on a practical and helpful approach that supports business improvement and profitability. It provides you and the community with increased confidence in the quality and performance of Food Safety Plus certified businesses.

Certification by Food Safety Plus of your HACCP System provides national recognition that your business complies with the Codex Guidelines. Ongoing periodic and independent review by Food Safety Plus assists client organisations to improve business performance.

2.2 Hazard Analysis and Critical Control Points (HACCP) Certification

'HACCP is a system which identifies, evaluates, and controls hazards which are significant for food safety.'

HACCP (Hazard Analysis Critical Control Point) is a process control technique which is used internationally to provide assurance that food is safe for consumption. Implementation of HACCP requires identification, assessment and control of food hazards, including identification of critical control points, establishment of critical limits in key characteristics, monitoring of procedures, and a corrective action plan to be used when limits are exceeded. Like any management system, there are requirements for document and record keeping to ensure that the system is meeting its goals.

The international guideline for all HACCP-based food safety management systems is the seven HACCP Principles and twelve application steps outlined in *Hazard Analysis Critical Control Point (HACCP) System and Guidelines for its Application*, issued by the Codex Alimentarius Commission of the World Health Organisation (WHO) and Food & Agriculture Organisation (FAO) of the United Nations (Alinorm 97/13A, Appendix II).

The Codex HACCP Guideline can be downloaded from the Codex web-site www.codexalimentarius.net. It is referred to throughout this publication as "Codex HACCP".

2.3 FOOD SAFETY PLUS HACCP Certification Criteria

Food Safety Plus's HACCP System Criteria requires that your organisation considers and controls all food safety hazards that could affect the products or services that are produced, stored, or supplied to another part of the food supply chain. It includes all potential food safety and quality hazards at every step in every process.

In addition to the requirements set out in this system, the organisation is first required to ensure that it meets its food safety obligations in terms of relevant legislation, standards, codes of practice, and guidelines.

If there is a discrepancy between the requirements of the Food Safety Plus HACCP Criteria and those of any relevant legal requirement, then the legal requirement(s) override the criteria outlined in this document.

For certification to HACCP Criteria, you are required to implement a system based on Codex HACCP.

Your organisation is also required to meet local food safety regulations. Within the Australian food industry, this means the requirements of the following Australian Food Standards (as applied within each state and territory):

- Standard 3.2.1 of the Australian Food Standards Code – *Food Safety Programs*
- Standard 3.2.2 of the Australian Food Standards Code - *Food Safety Practices & General Requirements*.
- Standard 3.2.3 of the Australian Food Standards Code - *Food Premises and Equipment*
- Food Industry Recall Protocol - 6th Edition, published by Food Standards Australia & New Zealand (FSANZ).

These Standards can be down-loaded from the FSANZ website www.foodstandards.gov.au.

3.1 Initial Inquiry

Before contacting Food Safety Plus regarding certification, food businesses should ensure that at least one person from the organisation has attended formal HACCP training, and the organisation has implemented a Food Safety Management System that meets the requirements of Food Safety Plus HACCP Criteria.

Food Safety Plus will on receipt of adequate details, prepare a quotation for HACCP Certification.

3.2 Application for Certification

The Application for Certification and associated documents form the contract between your organisation and Food Safety Plus. When your organisation is ready to apply for certification with Food Safety Plus, complete the application form included at the end of this document, and forward it to the Food Safety Plus National Office in Perth.

The Application Forms requires the nomination of an *Authorised Representative* to represent your organisation in all matters relevant to its certification by Food Safety Plus (There may be a number of additional contacts for multi-site businesses). The Authorised Representative does not need to have responsibility for maintenance of the HACCP system, but must have sufficient authority to discuss and make agreements with Food Safety Plus on matters associated with Food Safety Plus.

It is also important that your organisation keeps Food Safety Plus informed of any changes in Authorised Representative.

On receipt of your organisation's Application Form along with the cheque for the application fee (or invoicing instructions), a Client Manager is appointed to look after your certification requirements. The Client Manager is your primary point of contact with Food Safety Plus and is responsible for ensuring that our certification services are delivered to your organisation in the most effective manner possible.

3.3 The Audit and Certification Process

Following the initial inquiry, it is a 4 step process to becoming certified to the Food Safety Plus HACCP Criteria:

Step 1. Gap Audit (optional)

The purpose of this visit is to determine the status of management system implementation and to identify areas of concern for rectification prior to the initial assessment. A preliminary audit is only undertaken if the applicant organisation requests it, and audit findings are reported on the day of the audit.

A designated Food Safety Plus Food Safety Auditor visits the organisation and reviews existing documentation, work practices and standard of premises. Following this visit, the auditor provides you with a detailed report on what is required to achieve certification. This step is a recommendation only and need not be undertaken by the business. The choice is yours and depends on the confidence you have in your preparation for a certification audit. However, if any part of the food safety management system audited during the preliminary audit is determined to be fully implemented, that part does not need to be re-audited at the first certification audit.

Step 2. Document Review.

Prior to the certification audit, Food Safety Plus undertakes a comprehensive review of your organisation's management system documentation, including policy manuals, procedures and other relevant supporting documentation.

This step gives the organisation the opportunity to demonstrate that all required documentation has been prepared, is controlled where necessary, and is monitored and updated as required. Your organisation can either send your documentation to Food Safety Plus's office for review or it can be done on site. Following this review, Food Safety Plus provides a detailed report on the documentation reviewed highlighting any deficiencies relevant to the certification standard, as well as any opportunities for improvement. Significant deficiencies raised in this report must be addressed before conduct of the certification audit.

Step 3. On Site Verification and Certification Assessment

The purpose of the certification assessment is to establish whether your organisation's food safety management system has been implemented and complies with HACCP Criteria. This is done by examining actual practices, documentation and records and comparing them against the organisations policies and procedures and the standard. The audit process is, effectively, an undertaking to establish that your documented policies and practices are understood by your personnel and have been implemented.

The certification assessment is conducted by an Food Safety Plus Food Safety Auditor or Audit Team (depending on the size of the facility) and includes verification that your organisation's Food Safety Management System is controlling all identified food safety hazards.

The audit date and time is selected to ensure the Food Safety Plus Food Safety Auditor or Audit Team is able to assess the application of the organisation's food safety management system over the maximum number of products, processes and activities included in the scope.

At the conclusion of the audit, the auditor prepares a written report of the audit findings and presents these findings to your organisation's senior management at the exit meeting. The audit findings include a summary of the overall compliance of your management system with the requirements of the relevant food safety management standard(s).

Step 4. Certification Decision

Once the on-site systems and verification audit has been completed and if no non-conformances are raised, the findings and recommendations made in the audit report are subject to an internal review process prior to certification being granted.

If your organisation is issued with one or more non conformance, certification is withheld until such time as all critical and major non-conformance(s) are closed out or downgraded to minor non-conformance(s), and corrective actions are indicated for all minor non-conformances. This may involve a follow up visit by the food safety auditor.

Once your organisation has achieved the requirements for Food Safety Plus certification for compliance with the relevant food safety management systems standard(s), your organisation is issued with the appropriate certificate and scopes of certification.

The certificate includes the following information:

- Food Safety Plus details and certification mark (refer Section 5: *Use of the Food Safety Plus Certification Marks*);
- Trading name, names and addresses of the certified business;
- Products and/or processes included in the scope of certification; scope;
- Certificate issue date;
- Certificate expiry date;
- Authorising name;
- The Food Safety Plus corporate logo.

Certificates for Food Safety Plus HACCP Criteria remain valid for twelve (12) months, subject to the outcome of periodic surveillance audits.

3.4 Levels of Non-conformances

The Food Safety Plus Auditor will issue non-conformances if it is found that your organisation is not complying with the Food Safety Management System, has poor hygiene practices in place, does not comply with regulations or the safety of the product is at risk. Non-conformances are classified as Critical, Major or Minor.

The auditor and a representative from your organisation may agree in writing what action is to be taken to close out the non-conformance. The non-conformance can only be closed out or downgraded when the auditor has seen evidence of this action having been taken. The auditor cannot close-out, or downgrade corrective actions based on expectation of actions or plans. Definitions of non-conformances are:

Critical: There is a serious system failure that is likely to cause an imminent public health or consumer risk. Organisations that are already certified have their certification withdrawn or suspended until such time as the critical non-conformance is corrected, and affected product disposed of.

Critical non-conformities require on-site verification of corrective action, and will result in a surveillance audit within 6 months.

Major: There is a substantial system failure that may, if unchecked, cause a consumer or public health risk sometime in the future, or a serious breach of food safety regulations

Major non-conformances shall be corrected to the satisfaction of the Food Safety Plus Auditor within 14 days of notification.

Certification is withheld until all major non-conformances are closed out. If your organisation is already certified and fails to close out major non-conformances within the required period, certification is suspended until such time as the major non-conformance(s) is downgraded or closed out by the Food Safety Plus auditor. Major non-conformances will result in a surveillance audit within 6 months.

Minor: There is either a relatively minor system or product failure, which if not addressed may lead to a risk to food safety, or a relatively minor breach of food safety regulations

Minor non-conformances shall be closed out within 30 days; otherwise they may be upgraded to Major Non-conformances.

3.5 Extensions of Time for CAR Closures

Your organisation is required to close out Majors within non-conformances within 30 days, or you may risk your certification or have your certification withdrawn.

Extensions of time may be granted at the discretion of Food Safety Plus.

3.6 Refusal of Certification

In the event that your organisation is unable to comply with the requirements of the HACCP Certification Criteria, Food Safety Plus may refuse to grant certification. The decision to refuse certification, and the grounds for that decision, will be communicated to your organisation in writing.

3.7 Appeals and Complaints

Appeals against certification decisions made by Food Safety Plus, and complaints against the service provided by Food Safety Plus, may be made in writing to the Managing Director of Food Safety Plus.

3.8 Confidentiality

With the exception of publishing details of specific certifications and their scope, all information relating to an applicant or a certified organisation is treated as privileged information by Food Safety Plus Pty Ltd.

4. POST-CERTIFICATION ACTIVITIES

4.1 Obligations of Certified Organisations

Following certification, there are a number of managerial responsibilities which your organisation needs to observe to maintain Food Safety Plus Pty Limited certification. These include:

- compliance with the Food Safety Plus Pty Ltd Certification Criteria (refer Section 8);
- conduct of regular internal reviews of your management system, with appropriate records of such reviews and of any subsequent corrective actions;
- notification to Food Safety Plus of any significant changes in the structure and operations of your organisation.

4.2 Audit and Review Activities

After certification, Food Safety Plus will conduct on-site surveillance audits of your organisations certified HACCP system at periodic intervals. The frequency of these audits varies depending on the risk and the confidence held by Food Safety Plus in the effectiveness of the food safety management system.

	Recertification	Surveillance
FOOD SAFETY PLUS HACCP	12 months	6 months*

* Organisations with low food safety risk and no critical or major non-conformances may be granted annual surveillance audits.

Dates and times for these visits are negotiated and agreed with your organisation, and an audit plan forwarded to your organisation prior to the audit. When these audit dates and times have been agreed and confirmed via the letter forwarding the audit program, Food Safety Plus will have committed resources to conduct the audit. If circumstances arise such that your organisation feels that the audit should be postponed, these circumstances must be advised to the Food Safety Plus Client Manager for your organisation as soon as practicable to enable the audit to be rescheduled and the resources utilised elsewhere. Food Safety Plus reserves the right to charge clients for any costs or loss of income associated with the cancellation or postponement of an audit.

Any changes required to your organisations scope of certification can be processed in conjunction with the ongoing audit program.

4.3 Suspension or Withdrawal of Certification

Food Safety Plus may suspend or withdraw certification if your organisation's food safety management system has persistently been ineffective or failed to meet certification requirements, or your organisation does not allow surveillance or re-certification audit at the required frequency.

5. USE OF THE FOOD SAFETY PLUS CERTIFICATION MARKS

5.1 Introduction

After an organisation is granted certification by Food Safety Plus, it becomes eligible to use the appropriate Food Safety Plus certification marks to promote the fact that the organisation is certified.

5.2 How the Marks may be used

The certification marks can be used to convey the organisation's certification to clients and the public. It can be used on:

- corporate letterhead, advertising material, corporate brochures, corporate signs, business cards, motor vehicles, packaging (under certain conditions - see below), other promotional material

The Mark must only be used by organisations certified by Food Safety Plus. It cannot be used by:

- a) a parent or subsidiary company[↑];
- b) another company[↑] that has any connection with the certified company (e.g. a supplier, a purchaser, a consultant to the company, a franchise, etc);
- c) a company whose Food Safety Plus Pty Limited certification has been withdrawn or suspended.

The Mark must be used in a manner that:-

- a) relates directly to the physical locations, products, services, or activities detailed in the Scope of Certification issued by Food Safety Plus; and
- b) does not imply or suggest that the certification cover physical locations, products, services or activities that are not detailed in the Scope of Certification issued by Food Safety Plus.

The certification marks must not be used in any manner that implies or creates the impression that Food Safety Plus certifies a particular product. Where the certification marks are used on packaging materials (including labels attached to packaging) it is recommended that wording similar to the following be included adjacent to the marks, where practicable, when they are used on packaging:

"Manufactured under a certified HACCP management system"

5.3 Food Safety Plus Certification Marks

The following certification marks may be used to identify organisations certified to FOOD SAFETY PLUS HACCP Criteria:



6. CONDITIONS OF CERTIFICATION

The Managing Director (the MD) of Food Safety Plus has approved the following conditions for maintenance of certification of organisations certified under its HACCP Programme

- Upon granting of certification, the MD will issue the organisation with a management system certificate and publish the fact along with full details of the certification. The scope of activities for which certification has been granted is documented within the certificate.
- The management system certificate remains the property of Food Safety Plus and must be returned promptly to Food Safety Plus on request or termination of certification.
- The certified organisation shall not in any way use the fact that certification has been granted to provide customers with misleading information regarding applicability of the certification outside the scope for which certification has been granted.
- The certified organisation indemnifies Food Safety Plus and agrees to keep it indemnified against all costs and expenses which may be sustained and incurred by Food Safety Plus because the certified organisation uses the certification in any manner that implies or creates the impression that Food Safety Plus certifies a particular product, activity or service.
- The certified organisation indemnifies Food Safety Plus and agrees to keep it indemnified against all costs and expenses which may be sustained and incurred by the certified organisation.

[↑] Unless the parent, subsidiary or other company has also gained Food Safety Plus Pty Ltd HACCP Certification.

- For continuance of certification, the MD shall be satisfied that the following conditions are met:
 - (a) continued compliance with these conditions of certification;
 - (b) continued compliance of the organisation's management system with the Food Safety Plus HACCP Criteria against which certification is held;
 - (c) conduct by a certified organisation which, in the opinion of the MD, is consistent with maintenance of the standing and reputation of Food Safety Plus; and
 - (d) payment by the prescribed dates of all fees set by the MD for continuance of certification.
- Following certification, the certified organisation shall:
 - (a) maintain the management system in accordance with the scope of certification;
 - (b) maintain a controlled copy, or provide copies on request, of relevant policy manual and procedures for use by Food Safety Plus in performing ongoing audit surveillance and periodic reassessment;
 - (c) make personnel, records, and facilities available for audit by Food Safety Plus staff on the dates and at the times agreed and confirmed in writing by Food Safety Plus;
 - (d) maintain records of all complaints that reflect on the integrity of the certified HACCP system, including as appropriate complaints regarding product quality and safety, and consequent corrective action to the management system.
- Following certification, Food Safety Plus will:
 - (a) conduct audits of the certified organisation's management system at approximately six or twelve monthly intervals and conduct reassessments as indicated (refer 4.2)
 - (b) consider requests from the certified organisation for changes to the scope of the certification and evaluate such requests during audits and reassessments subject to payment of any additional costs associated with this evaluation process;
 - (c) notify the certified organisation in writing of any changes in the scope of certification;
 - (d) notify the certified organisation in writing of any audit or reassessment findings that require corrective action to maintain the certification.
- The certified organisation shall, in a time frame agreed with Food Safety Plus, rectify any deficiencies found during audits or reassessment that impact on the scope of certification or compliance of the management system with the relevant standard.
- Certified organisations may use the Food Safety Plus HACCP Certification Marks subject to compliance with the following conditions:
 - (a) the certification mark may be used on correspondence, advertising and promotional material in conjunction with the certified organisation's name or emblem, and shall not be used in connection with goods, services, activities or locations not covered by the scope of certification;
 - (b) the certification mark shall only be reproduced in the style and colours approved by the MD;
 - (c) the certification mark shall not be used in any manner that implies approval of a product or service;
 - (d) on notification in writing, the certified organisation shall discontinue any use of the mark that is unacceptable to the MD and any form of statement used in conjunction with the mark that may be misleading. The certified organisation shall also undertake any other action requested by the MD with regard to unacceptable use of the mark;
 - (e) upon termination of certification, the certified organisation undertakes to discontinue immediately use of the mark.
- In the event that an applicant organisation fails to comply with the requirements of the relevant certification standard, or in the event that a certified organisation fails to comply with these conditions of certification or is unable to maintain compliance with the relevant certification standard, Food Safety Plus may:
 - (a) refuse certification;
 - (b) suspend certification;
 - (c) reduce the scope of certification;
 - (d) withdraw certification.

Such decisions and the grounds for them will be communicated to the organisation in writing.

- (a) When an organisation's certification is suspended, the organisation shall, for the period of suspension:
 - i) withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organisation is certified;
 - ii) ensure that all copies of certificates and scopes of certification are removed from areas of public display;
 - iii) cease to use the certification mark on stationery and other documents that are circulated to existing and potential clients, or in the public domain.
- (b) the organisation shall advise Food Safety Plus in writing of action taken with respect to the requirements listed in section (a) ii) above;
- (c) Food Safety Plus shall advise the organisation in writing of the certification processes that will need to be completed to restore certification;
- (d) during the period of suspension the organisation shall continue to pay all fees levied by the MD.
- When an organisation's scope of certification is reduced, Food Safety Plus shall issue revised certificates and scopes of certification as appropriate and the certified organisation shall:
 - (a) return all superseded certificates;
 - (b) ensure that use of the certification mark is adjusted to reflect the reduced scope of certification; and
 - (c) ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification.
- When an organisation's certification is withdrawn, the organisation shall immediately:
 - (a) Withdraw cease any advertising and promotional activities and materials that promote the fact that the organisation holds certification; and
 - (b) cease to use the certification mark in any way to promote the fact that the organisation holds certification.
- The granting of management systems certification by the MD in no way implies that products, activities or services included in the scope of certification are approved by the Accreditation Board of the Joint Accreditation System of Australia and New Zealand (JAS-ANZ).
- Certification may be withdrawn at the sole discretion of the Managing Director of Food Safety Plus

7. FOOD SAFETY PLUS TRADING TERMS

Receipt by us of the completed Application Form and payment of the application fee signifies acceptance of the Food Safety Plus standard fee structure (or formal proposal). It also signifies agreement by your organisation to comply with the requirements of the Food Safety Plus *"Conditions of Certification"*.

We reserve the right to vary its fees in accordance with acceptable business practice but undertake not to vary the time quoted in formal proposals required to perform each task, unless the scope of work changes, without prior negotiation and agreement with the client.

Unless otherwise indicated, travel expenses will be charged at cost, or the current ATO specified rate. The fees quoted in any formal proposal submitted by Food Safety Plus are based on the scope of work defined in the proposal and are subject to change if the scope of work changes.

To protect the credibility of Food Safety Plus, we reserve the right to:-

- vary the frequency and duration of audits in line with the level of confidence that Food Safety Plus holds in the effectiveness of the certified management system, and to charge additional fees accordingly;
- suspend or withdraw certification if the Food Safety Plus *"HACCP Certification Criteria"* are not fully complied with; and
- make such certification decisions without liability under any contractual requirement specified elsewhere.

Food Safety Plus may, at its discretion, charge for all costs associated with the cancellation of audits (or other visits) by the client within 10 working days of the agreed audit (or visit) date. Unless otherwise stated, the fees quoted **do not** include GST.