



# Control safety

## BRCGS Food Safety checklist

Are you ready for your audit?

### CHECKLIST

## Use our checklist and find out if you are sufficiently prepared for certification.

This tool is designed to help you assess your systems and processes against the requirements of the BRCGS Food Safety standard to help you prepare for your audit.

The checklist may be used to check your site's compliance with the standard's requirements, add comments, and identify areas of improvement.

This checklist is based on the structure of BRCGS Food Safety Version 9.

### Important disclaimer

## Section 1 - Senior management commitment and continual improvement

### 1.1 Senior management commitment and continual improvement

Statement of Intent: The site's senior management shall demonstrate that they are fully committed to implementing the requirements of the Global Standard Food Safety and to processes which facilitate continual improvement of food safety, quality management, and the site's food safety and quality culture.

### 1.2 Organisational structure, responsibilities, and management authority

Statement of Intent: The company shall have a clear organisational structure and lines of communication to enable effective management of product safety, legality and quality.

## Section 2- The food safety plan – HACCP

Statement of Intent: The company shall have a fully implemented and effective food safety plan incorporating the Codex Alimentarius HACCP principles.

- 2.1 The HACCP Food Safety team (equivalent to codex Alimentarius Step 1)
- 2.2 Prerequisite programmes
- 2.3 Describe the product (equivalent to Codex Alimentarius Step 2)
- 2.4 Identify intended use (equivalent to Codex Alimentarius Step 3)
- 2.5 Construct a process flow diagram (equivalent to Codex Alimentarius Step 4)
- 2.6 Verify flow diagram (equivalent to Codex Alimentarius Step 5)
- 2.7 List all potential hazards associated with each process step, conduct a hazard analysis and consider any measures to control identified hazards (equivalent to Codex Alimentarius Step 6, Principle 1)
- 2.8 Determine the critical control points (CCPs) (equivalent to Codex Alimentarius Step 7, Principle 2)
- 2.9 Establish validated critical limits for each CCP (equivalent to Codex Alimentarius Step 8, Principle 3)
- 2.10 Establish a monitoring system for each CCP (equivalent to Codex Alimentarius Step 9, Principle 4)
- 2.11 Establish a corrective action plan (equivalent to Codex Alimentarius Step 10, Principle 5)
- 2.12 Validate the HACCP plan and establish verification procedures (equivalent to Codex Alimentarius Step 11, Principle 6)
- 2.13 HACCP documentation and record-keeping (equivalent to Codex Alimentarius Step 12, Principle 7)

## Section 3 - Food safety and quality management system

- 3.1 Food safety and quality manual

Statement of Intent: The company's processes and procedures to meet the requirements of this Standard shall be documented to allow effective, consistent application, facilitate training, and support due diligence in producing a safe product.

3.2 Document control

Statement of intent: The company shall operate an effective document control system to ensure that only the correct versions of documents, including recording forms, are available and in use.

3.3 Record completion and maintenance

Statement of intent: The site shall maintain genuine records to demonstrate the effective control of product safety, legality, and quality.

3.4 Internal audits

Statement of intent: The company shall be able to demonstrate that it verifies the effective application of the food safety plan and the implementation of the requirements of the Global Standard Food Safety and the site's food safety and quality management system.

3.5 Supplier and raw material approval and performance monitoring

3.5.1 Management of suppliers of raw materials and packaging

Statement of intent: The company shall have an effective supplier approval and monitoring system to ensure that any potential risks from raw materials (including primary packaging) to the final product's safety, authenticity, legality and quality are understood and managed.

3.5.2 Raw material and packaging acceptance, monitoring and management procedures

Statement of intent: Controls on the acceptance of raw materials (including primary packaging) shall ensure that these do not compromise the safety, legality, or quality of products and, where appropriate, any claims of authenticity.

3.5.3 Management of suppliers of services

Statement of intent: The company shall be able to demonstrate that where services are outsourced, the service is appropriate, and any risks presented to food safety, authenticity, legality, and quality have been evaluated to ensure effective controls are in place.

3.5.4 Management of outsourced processing

*Outsourced processing is defined as where intermediate production, processing, storage, or any intermediate step in the manufacture of a product is completed at another company or another site.*

*It should be noted that outsourced processing refers to an intermediate step – therefore, during outsourced processing, the product or partly processed product leaves the site being audited for the completion of the outsourced processing before returning to the site. The audited site may or may not complete additional packing or processing steps on the product.*

*Where there is additional storage or processing of raw materials prior to their initial arrival on site, this is not considered outsourced processing but should be managed by the site using supplier approval, raw material risk assessments and raw material specifications.*

*Where a product leaves the site and does not return to it, this is not outsourced processing, and the activities completed off-site are outside the scope of the audit.*

*Statement of intent: Where any intermediate process step (including production, processing or storage) in the manufacture of a product is outsourced to a third party or undertaken at another site and subsequently returned to the site, this shall be managed to ensure it does not compromise the product safety, authenticity, legality or quality.*

3.6 Specifications

Statement of intent: Specifications shall exist for raw materials (including primary packaging), finished products and any product or service which could affect the integrity of the finished product.

3.7 Corrective and preventive actions

Statement of intent: The site shall be able to demonstrate that it uses the information from identified issues in the food safety and quality management system (e.g., non-conforming products, internal audits, complaints, product recalls, product testing, second- and third-party audits and online reviews) to complete necessary corrective actions and prevent recurrence.

3.8 Control of non-conforming product

Statement of intent: The site shall ensure that any out-of-specification product is effectively managed to prevent unauthorised release.

3.9 Traceability

Statement of intent: The site shall be able to trace all raw material product lots (including primary packaging) from its suppliers through all stages of processing and dispatch to its customers and vice versa.

3.10 Complaint-handling

Statement of intent: Customer complaints shall be handled effectively, and information used to reduce recurring complaint levels.

3.11 Management of incidents, product withdrawal and product recall

Statement of intent: The company shall have a plan and system in place to manage incidents effectively and enable the withdrawal and recall of products should this be required.

## Section 4 - Site standards

4.1 External standards and site security

Statement of intent: The production site shall be of suitable size, location and construction and be maintained to reduce the risk of contamination and facilitate the production of safe and legal finished products.

4.2 Food Defence

Statement of intent: Systems shall protect products, premises, and brands from malicious actions while under the control of the site.

#### 4.3 Layout, product flow and segregation

Statement of intent: The factory layout, flow of processes and movement of personnel shall be sufficient to prevent the risk of product contamination and to comply with relevant legislation.

#### 4.4 Building fabric, raw material handling, preparation, processing, packing and storage areas

Statement of intent: The fabrication of the site, buildings and facilities shall be suitable for the intended purpose.

#### 4.5 Utilities – water, ice, air and other gases

Statement of intent: Utilities used within the production and storage areas shall be monitored to effectively control the risk of product contamination.

#### 4.6 Equipment

Statement of intent: All production and product-handling equipment shall be suitable for the intended purpose and shall be used to minimise the risk of contamination of product.

#### 4.7 Maintenance

Statement of intent: An effective maintenance programme shall be in operation for plant and equipment to prevent contamination and reduce the potential for breakdowns.

4.8 Staff facilities

Statement of intent: Staff facilities shall be sufficient to accommodate the required number of personnel and shall be designed and operated to minimise the risk of product contamination. The facilities shall be maintained in good and clean condition.

4.9 Chemical and physical product contamination control: raw material handling, preparation, processing, packing and storage areas.

Statement of intent: Appropriate facilities and procedures shall be in place to control the risk of chemical or physical contamination of product.

4.9.1 Chemical control

4.9.2 Metal control

4.9.3 Glass, brittle plastic, ceramics, and similar materials

4.9.4 Products packed into glass or other brittle containers

4.9.5 Wood

4.9.6 Other physical contaminants

4.10 Foreign-body detection and removal equipment

Statement of intent: The risk of product contamination shall be reduced or eliminated by the effective use of equipment to remove or detect foreign bodies.

4.10.1 Selection and operation of foreign-body detection and removal equipment

4.10.2 Filters and sieves

4.10.3 Metal detectors and X-ray equipment

4.10.4 Magnets

4.10.5 Optical sorting equipment

4.10.6 Container cleanliness – glass jars, cans and other rigid containers

4.10.7 Other foreign-body detection and removal equipment

#### 4.11 Housekeeping and hygiene

Fundamental

Statement of intent: Housekeeping and cleaning systems shall be in place to ensure appropriate hygiene standards are maintained at all times and the risk of product contamination is minimised.

#### 4.11.7 Cleaning in place (CIP)

#### 4.11.8 Environmental monitoring

Statement of intent: Risk-based environmental monitoring programmes shall be in place for relevant pathogens or spoilage organisms. At a minimum, these shall include all production areas with open and ready-to-eat products.

#### 4.12 Waste and waste disposal

Statement of intent: Waste disposal shall be managed in accordance with legal requirements and to prevent accumulation, risk of contamination and the attraction of pests.

#### 4.13 Management of surplus food and products for animal feed

Statement of intent: Effective processes shall be in place to ensure the safety and legality of by-products of the primary processing activity of the site.





#### 4.14 Pest management

Statement of intent: The whole site shall have an effective preventive pest management programme in place to minimise the risk of pest presence, and resources shall be available to respond rapidly to any issues which occur to prevent risk to products.

Pest management programmes shall comply with all applicable legislation.



#### 4.15 Storage facilities

Statement of intent: All facilities used for the storage of raw materials, packaging, in-process products and finished products shall be suitable for purpose.



#### 4.16 Dispatch and transport

Statement of intent: Procedures shall be in place to ensure that the management of dispatch and of the vehicles and containers used for transporting products from the site do not present a risk to the safety, security, or quality of the products.

## Section 5 - Product control



#### 5.1 Product design/development

Statement of intent: Product design and development procedures shall be in place for new products or processes and any changes to product, packaging or manufacturing processes to ensure that safe and legal products are produced.



#### 5.2 Product labelling

Statement of intent: Product labelling shall comply with the appropriate legal requirements and contain information to enable the safe handling, display, storage and preparation of the product within the food supply chain or by the customer.



### 5.3 Management of allergens

*Pet food and animal feed manufacturers certificated to the Standard are required to meet the appropriate allergen management legislation in the country of intended sale of the products. Therefore, if there is no legislation relating to pet food/animal feed allergens, this section of the Standard may be considered 'not applicable' for pet food or animal feed destined for those countries.*

*In some parts of the world, allergen claims (e.g., gluten- or dairy-free) are made on pet food or animal feed products. Therefore, where a site makes an allergen claim on a pet food or animal feed, it is required to meet all of the requirements within section 5.3.*

Statement of intent: The site shall have a system for the management of allergenic materials which minimises the risk of allergen contamination (cross-contact) of products and meets legal requirements for labelling in the country of sale.



### 5.4 Product authenticity, claims and chain of custody

Statement of intent: Systems shall be in place to minimise the risk of purchasing fraudulent or adulterated food raw materials and to ensure that all product descriptions and claims are legal, accurate and verified.



### 5.5 Product Packaging

Statement of intent: Product packaging and processes for the purchase of product packaging shall be appropriate for the intended use. Packaging shall be stored under conditions to prevent contamination and minimise deterioration.



### 5.6 Product inspection, on-site product testing and laboratory analysis

Statement of intent: The company shall undertake or subcontract inspection and analyses, which are critical to confirm product safety, authenticity, legality, and quality, using appropriate procedures, facilities and standards.



### 5.7 Product release

Statement of intent: The site shall ensure that finished product is not released unless all agreed procedures have been followed.



### 5.8 Pet food and animal feed

*Where a site produces pet food or animal feed, all the relevant requirements from sections 1-7 of the Standard must be fulfilled in addition to the requirements in this section.*

Statement of intent: The site shall ensure that pet food and animal feed products are safe and fit for intended use.



### 5.9 Animal primary conversion

*Where a site completes animal primary conversion (e.g. for red meat, poultry or fish), the following requirements apply in addition to those within the rest of the Standard.*

Statement of intent: For animal primary conversion, the site shall operate controlled processes that ensure products are safe and fit for intended use.

## Section 6 - Process control



### 6.1 Control of operations

Statement of intent: The site shall operate to process specifications and work instructions/procedures that ensure the production of consistently safe and legal product with the desired quality characteristics, in full compliance with the HACCP or food safety plan.



### 6.2 Labelling and pack control

Statement of intent: The management controls of product labelling activities shall ensure that products will be correctly labelled and coded.

### 6.3 Quantity – weight, volume and number control

Statement of intent: The site shall operate a quantity control system which conforms to legal requirements in the country where the product is sold and any additional industry sector codes or specified customer requirements.

### 6.4 Calibration and control of measuring and monitoring devices

Statement of intent: The site shall be able to demonstrate that measuring equipment is sufficiently accurate and reliable to provide confidence in measurement results.

## Section 7 - Personnel

### 7.1 Training: raw material handling, preparation, processing, packing and storage areas.

Statement of intent: The company shall ensure that all personnel performing work that affects product safety, legality and quality are demonstrably competent to carry out their activity through training, work experience or qualification.

### 7.2 Personal hygiene: raw material handling, preparation, processing, packing and storage areas.

Statement of intent: The site's personal hygiene standards shall be developed to minimise the risk of product contamination from personnel, be appropriate to the products produced and be adopted by all personnel, including agency-supplied staff, contractors and visitors to the production facility.

### 7.3 Medical screening

Statement of intent: The company shall have procedures in place to ensure that staff, agency staff, contractors or visitors are not a source of transmission of infections, diseases (including food-borne diseases) or conditions to products.

7.4 Protective clothing: staff or visitors to production areas

Statement of intent: Suitable site-issued protective clothing shall be worn by staff, contractors or visitors working in or entering production areas.

## Section 8 - Production risk zones – high risk, high care, and ambient high care

*Where a site produces products where the production process, or part of it, requires high-risk, high-care and ambient high-care production zones (see clause 4.3.1 for this assessment and Appendix 2 for the definition of these production zones), all the relevant requirements from sections 1–7 of the Standard must be fulfilled in addition to the requirements in this section.*

Statement of intent: The site shall be able to demonstrate that production facilities and controls are suitable to prevent pathogen contamination of products.

- 8.1 Layout, product flow and segregation in high-risk, high-care and ambient high-care zones
- 8.2 Building fabric in high-risk and high-care zones
- 8.3 Equipment and maintenance in high-risk and high-care zones
- 8.4 Staff facilities for high-risk and high-care zones
- 8.4 Staff facilities for high-risk and high-care zones
- 8.5 Housekeeping and hygiene in high-risk and high-care zones
- 8.6 Waste and waste disposal in high-risk, high-care zones
- 8.7 Protective clothing in high-risk and high-care zones

## Section 9 - Requirements for traded products

*Traded products are defined as food products that would normally fall within the scope of the Standard and are stored at the facilities of the site being audited but that are not manufactured, processed, reworked, packed, or labelled at that site.*

*The site's management of these products is covered by the requirements in this section.*

*All the relevant requirements from sections 1 to 8 must also be fulfilled in addition to the requirements outlined in this section.*

*Where a site wishes to be audited against section 9 of the Standard, all the food products and food raw materials traded must be included in the audit scope. It is not permitted to include some traded food products or food raw materials and exclude others.*

*Non-conformities against clauses within section 9 of the Standard will be recorded on the audit report and included in the calculation of the site's grade.*

*Where a site has traded food products or food raw materials on site but wishes them to be excluded from the scope of the audit, this will be recorded as an exclusion from scope on the audit report.*

### 9.1 The food safety plan – HACCP

Statement of intent: The site shall operate a HACCP or food safety plan for the processes for which it is responsible.

### 9.2 Approval and performance monitoring of manufacturers/packers of traded food products

Statement of intent: The company shall operate procedures for approval of the last manufacturer or packer of food products which are traded to ensure that traded food products are safe, legal, and manufactured in accordance with any defined product specifications.

### 9.3 Specifications

Statement of intent: Specifications or information to meet legal requirements and assist customers in the safe usage of the product shall be maintained and available to customers.



#### 9.4 Product inspection and laboratory testing

Statement of intent: The site shall operate processes to ensure that the products received comply with buying specifications and that the supplied product is in accordance with any customer specification.



#### 9.5 Product legality

Statement of intent: The company shall have processes in place to ensure that the food products traded comply with the legal requirements in the country of sale where known.



#### 9.6 Traceability

Statement of intent: The company shall be able to trace all product lots back to the last manufacturer and forward to the customer of the company.

**For more information about BRCGS Food Safety certification and training services go to our website**



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**Fresh  
thinking**

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