



Walmart  Food Safety & Health

Food Safety Requirements for Pet Food

Providing safe and affordable
food so people can live better.

Walmart 
Save money. Live better.





Food Safety at Walmart

At Walmart Stores, Inc., our commitment to our customers is unparalleled. We strive relentlessly to provide safe, quality foods in our retail operations. As part of our commitment to continuous improvement, we go further than many U.S. retailers in requiring that harmonized, leading-edge food safety standards be adopted throughout the entire food production chain.

To be considered as a potential supplier for Walmart or Sam's Club, the following expectations and criteria must be met. The requirements must be provided to the Walmart Home Office Food Safety & Health department for approval prior to being given an approved supplier agreement. Failure to comply with the requirements listed below will make your company ineligible to supply to Walmart or Sam's Club. Please read the supplier definitions below to determine how your company will be categorized.

- **Private Brand Supplier** - A supplier that manufactures a product that is sold as a Walmart or Sam's Club branded item, that carries a "Distributed by Walmart" or "Distributed by Sam's Club" legend on the label, or is sold at the Sam's Deli.
- **Non-Private Brand Supplier** - A supplier that manufactures a product of their own brand at their own facility. This includes suppliers that deliver products locally or regionally. These products will NOT be sold as a Walmart or Sam's Club branded item.
- **Small & Developing Supplier** - A non-private brand supplier that does not have the capacity to supply product to more than 65 total stores, does not make more than \$2.5 million total annual sales, and does not deliver product beyond a 250 mile radius.
- **Distributors** - A supplier that sells products made by other companies to retail facilities. They do not manufacture products but may warehouse or repack them.
- **Suppliers that use Co-packers** - A supplier whose product is manufactured by another facility. They do not manufacture the products at their facility but may warehouse or repack them.

Please note that Local, State, FDA and USDA inspections will **NOT** be accepted in the place of a food safety assessment. It is strongly suggested that all companies take the time to review the requirements and prepare for the food safety assessments. To learn more about what may be expected at your facility during your audit, please view the [Supplier Food Safety Resources](#)* for educational material, web sites and videos.

After becoming a Walmart or Sam's Club supplier, facilities must pass their food safety assessment annually. Failure to comply with the annual assessment requirements may result in deactivation of your vendor number.

*Document located in the [Appendix](#).





Private Brand Supplier Requirements

(Pages 5-7)

Food Safety Assessment

Walmart Stores, Inc. has aligned with GFSI (Global Food Safety Initiative) and requires all private brand suppliers, regardless of company size or the inherent food safety risks associated with their products, to obtain full GFSI certification. For more information about the certification process, you may review [The Supplier's Guide to Becoming GFSI Certified](#)*. Please visit www.mygfsi.com for a full list of recognized schemes.

FDA Bioterrorism Registration

Suppliers will need to ensure that all facilities that provide product to Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. Each facility that is approved and issued a vendor number is required to have an individual FDA registration. To ensure Compliance, suppliers will provide this number to Walmart upon our request.

AAFCO Registration

Suppliers must meet the AAFCO registration requirements for all pet food and pet treats they provide. AAFCO requirements may include registrations, licenses, tonnage fees or a combination of the three. It is the supplier's responsibility to ensure product is properly registered in each state and registrations kept current. Supplier must also ensure that all registrations, licenses or tonnage fees are completed and paid in full prior to the distribution of their product by Walmart Stores, Inc. For complete AAFCO requirements please visit www.petfood.aafo.org.

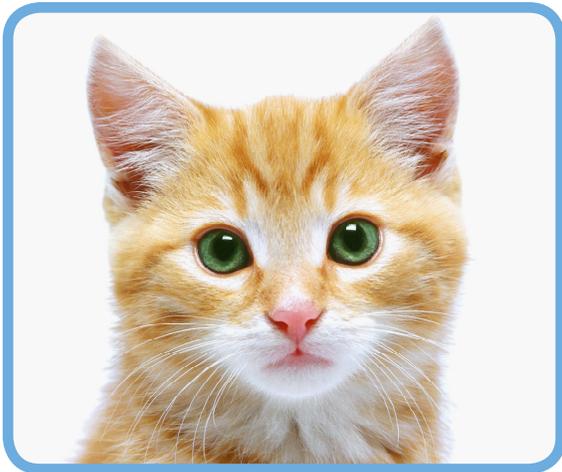


Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the supplier's responsibility to be familiar with the laws and regulations in every state in which their product will be sold. Suppliers will be asked to submit proof of registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed, suppliers are responsible for completing and submitting all licensing and registration forms and paying all licensing and registration fees on or before the annual deadline.

Import Requirements

Suppliers importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements for import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.





Non-Private Brand Supplier Requirements

(Pages 9-11)

Food Safety Assessment

Walmart Stores, Inc. has aligned with GFSI (Global Food Safety Initiative) and requires all non-private brand suppliers, regardless of company size or the inherent food safety risks associated with their products, to obtain full GFSI certification. For more information about the certification process, you may review [The Supplier's Guide to Becoming GFSI Certified](#)*. Please visit www.mygfsi.com for a full list of recognized schemes.

FDA Bioterrorism Registration

Suppliers will need to ensure that all facilities that provide product to Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. Each facility that is approved and issued a vendor number is required to have an individual FDA registration. To ensure Compliance, suppliers will provide this number to Walmart upon our request.

AAFCO Registration

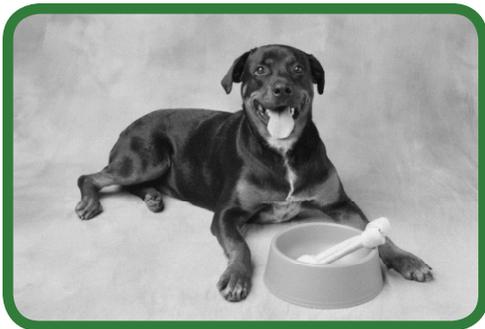
Suppliers must meet the AAFCO registration requirements for all pet food and pet treats they provide. AAFCO requirements may include registrations, licenses, tonnage fees or a combination of the three. It is the supplier's responsibility to ensure product is properly registered in each state and registrations kept current. Supplier must also ensure that all registrations, licenses or tonnage fees are completed and paid in full prior to the distribution of their product by Walmart Stores, Inc. For complete AAFCO requirements please visit www.petfood.aafco.org.

Walmart Stores, Inc. **Food Safety Requirements for Petfood 2013**



Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the supplier's responsibility to be familiar with the laws and regulations in every state in which their product will be sold. Suppliers will be asked to submit proof of registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed,



suppliers are responsible for completing and submitting all licensing and registration forms and paying all licensing and registration fees on or before the annual deadline.

Import Requirements

Suppliers importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements for import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.





Small & Developing Supplier Requirements

(Pages 13-15)

Food Safety Assessment

Walmart Stores, Inc. has aligned with GFSI (Global Food Safety Initiative) and requires all Small & Developing suppliers to pass the Intermediate Global Markets Assessment annually. At Walmart and Sam's Club, we understand that small companies may not have the same resources as larger companies. For that reason we have negotiated reduced rates for these assessments. Please review the [Q&A Document for Processors Required to Obtain Basic or Intermediate Level Assessments](#)* for a list of approved audit companies that can perform this assessment at your facility. After the audit is completed, please submit your passing audit to supaudit@wal-mart.com.

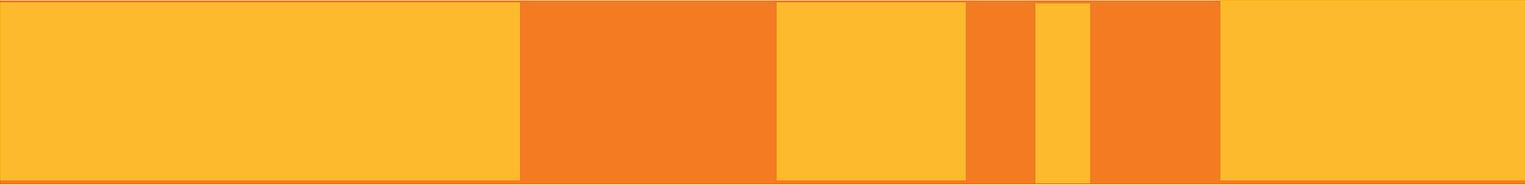
- **Intermediate Global Markets Assessment**

Small & developing suppliers are required to pass the GFSI Intermediate Level Assessment annually. Part of passing this assessment includes correcting all non-conformities of the audit within the specified time line given by their auditor. To properly prepare for this assessment, please review the [Intermediate Level Assessor Guidelines](#)*. This document outlines the elements auditors will use to assess your facility.

To ensure your company meets the criteria for the Small & Developing program or for further clarification of audit requirements please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.

*Documents located in the [Appendix](#).





FDA Bioterrorism Registration

Suppliers will need to ensure that all facilities that provide product to Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. Each facility that is approved and issued a vendor number is required to have an individual FDA registration. To ensure Compliance, suppliers will provide this number to Walmart upon our request.

AAFCO Registration

Suppliers must meet the AAFCO registration requirements for all pet food and pet treats they provide. AAFCO requirements may include registrations, licenses, tonnage fees or a combination of the three. It is the supplier's responsibility to ensure product is properly registered in each state and

registrations kept current. Supplier must also ensure that all registrations, licenses or tonnage fees are completed and paid in full prior to the distribution of their product by Walmart Stores, Inc. For complete AAFCO requirements please visit www.petfood.aafco.org.

Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the supplier's responsibility to be familiar with the laws and regulations in every state in which their product will be sold. Suppliers will be asked to submit proof of registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed, suppliers are

responsible for completing and submitting all licensing and registration forms and paying all licensing and registration fees on or before the annual deadline.

Import Requirements

Suppliers importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements for import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.





Distributor Requirements

(Pages 17-19)

Food Safety Assessment

Walmart Stores, Inc. requires all facilities that manufacture product sold in our stores or clubs to obtain a food safety assessment annually. As a distributor, you must disclose all manufacturing facilities that you source products from to supaudit@wal-mart.com. You must also submit a passing food safety assessment for **each** facility you source product from. The facilities must meet the requirements outlined above for their [specific facility type](#). Walmart will not accept any product from a facility that does not meet the specified requirements.

In addition, suppliers that warehouse product at their own facility or use a third party warehouse will also need to obtain a Distribution Center and Transportation Audit for each warehouse.

- **Distributors that Warehouse Product**

Distributors that have the capacity to supply product to more than 65 total stores, have more than \$2.5 million total annual sales, supply further than a 250 mile radius AND warehouse products must obtain a storage & distribution audit from one of the GFSI scheme holders. Please view the [Private Brand and Non-Private Brand Food Distributor Food Safety Audit Requirements](#)* for a list of accepted audits.

Please note that if you repack items, you must complete the audit requirements for [Non-Private Brand Suppliers](#).





- **Small & Developing Distributors that Warehouse Product**

Distributors that do **NOT** have the capacity to supply product to more than 65 total stores, have **LESS** than \$2.5 million total annual sales, supply **LESS** than a 250 mile radius **AND** warehouse products must obtain a storage & distribution audit from an approved audit company listed on the [Small Food Distributor Food Safety Audit Requirements](#)*.

Please note that if you repack items, you must complete the audit requirements for [Small & Developing Suppliers](#).

*Documents located in the [Appendix](#).

For further clarification of distributor audit requirements please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.

DA Bioterrorism Registration

Distributors will need to ensure that all facilities they source product from and sell to Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. To ensure Compliance, suppliers will provide this number to Walmart upon our request. Compliance, suppliers will provide this number to Walmart upon our request.

AAFCO Registration

Suppliers must meet the AAFCO registration requirements for all pet food and pet treats they provide. AAFCO requirements may include registrations, licenses, tonnage fees or a combination of the three. It is the supplier's responsibility to ensure product is properly registered in each state and registrations kept current. Supplier must also ensure that all registrations, licenses or tonnage

fees are completed and paid in full prior to the distribution of their product by Walmart Stores, Inc. For complete AAFCO requirements please visit www.petfood.aafo.org.

Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the supplier's responsibility to be familiar with the laws and regulations in every state in which their product will be sold. Suppliers will be asked to submit proof of registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed, suppliers are responsible for completing and submitting all licensing and registration forms and paying all licensing and registration fees on or before the annual deadline.

Import Requirements

Distributors importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements for distributors of import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.





Suppliers that use Co-packers

(Pages 21-23)

Food Safety Assessment

Walmart Stores, Inc. requires all facilities that manufacture product sold in our stores or clubs obtain a food safety assessment annually. As a supplier that utilizes a co-packer, you must disclose all manufacturing facilities that make your products to supaudit@wal-mart.com. Suppliers using co-packers must also submit a passing food safety assessment for **each** facility utilized. The facilities must meet the requirements outlined above for their [specific facility type](#). Walmart Stores, Inc. will not accept any product from a facility that does not meet the specified requirements.

In addition, suppliers that warehouse the co-packed product at their own facility or use a third party warehouse will also need to obtain a Distribution Center and Transportation Audit for each warehouse.

- **Suppliers of Co-packed Food Items that Warehouse Product**

Suppliers that have the capacity to supply co-packed product to more than 65 total stores, have more than \$2.5 million total annual sales, supply further than a 250 mile radius AND warehouse product must obtain a storage & distribution audit from one of the GFSI scheme holders. Please view the [Private Brands and Non-Private Brands Food Distributor Food Safety Audit Requirements](#)* for a list of accepted audits.

Please note that if you repack items, you must complete the audit requirements for [Non-Private Brand Suppliers](#).





- **Small & Developing Suppliers of Co-packed Food Items that Warehouse Product**

Suppliers that do **NOT** have the capacity to supply product to more than 65 total stores, have more than \$2.5 million total annual sales, supply further than a 250 mile radius AND warehouse product must obtain a storage & distribution audit from an approved audit company listed on the [Small Food Distributor Food Safety Audit Requirements](#).*

Please note that if you repack items, you must complete the audit requirements for [Small & Developing Suppliers](#).

*Documents located in the [Appendix](#).

For further clarification of audit requirements for suppliers that use co-packers and to confirm that your items are high- or low-risk, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.

FDA Bioterrorism Registration

Suppliers that utilize co-packers will need to ensure that all co-packers used to manufacture product for Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. This does not apply to USDA-inspected facilities. To ensure Compliance, suppliers will provide this number to Walmart upon our request.

AAFCO Registration

Suppliers must meet the AAFCO registration requirements for all pet food and pet treats they provide. AAFCO requirements may include registrations, licenses, tonnage fees or a combination of the three. It is the supplier's

responsibility to ensure product is properly registered in each state and registrations kept current. Supplier must also ensure that all registrations, licenses or tonnage fees are completed and paid in full prior to the distribution of their product by Walmart Stores, Inc. For complete AAFCO requirements please visit www.petfood.aafo.org.

Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the supplier's responsibility to be familiar with the laws and regulations in every state in which their product will be sold. Suppliers will be asked to submit proof of registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed, suppliers are responsible for completing and submitting all licensing and registration forms and paying all licensing and registration

fees on or before the annual deadline.

Import Requirements

Distributors importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements for distributors of import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.





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Supplier Food Safety Resources

The below resources are educational tools that you may use to familiarize yourself with different food safety programs and terminology.

RESOURCES FOR ALL SUPPLIERS:

Full Presentations over Most Audit Sections

Food Safety Knowledge Network & Michigan State (<http://fsknttraining.org/coca-colafoodsafety09/program>)

Laws and Regulations

Please note, you may be held to different city, county, and state standards.

Code of Federal Regulations – FSIS Products (CFR9)

(<http://www.fda.gov/Food/FoodSafety/RetailFoodProtection/FoodCode/FoodCode2009/>)

Sanitation Standard Operating Procedures (SSOPs)

Purdue Extension (<http://www.extension.purdue.edu/extmedia/FS/FS-21-W.pdf>)

Minnesota Department of Agriculture

(<http://www.mda.state.mn.us/en/licensing/inspections/meatpoultryegg/haccp-ssop-resources.aspx>)

Pest Control

Phantom (<http://www.phantomhome.com/pdfs/home/PhanWhitepaper%208.5%20x%2011.pdf>)

Recall/Traceability

Ohio State University Extension (<http://ohioline.osu.edu/aex-fact/0253.html>)

Purdue Extension (<http://www.ces.purdue.edu/extmedia/FS/FS-23-W.pdf>)

The Food Recall Manual (<http://edis.ifas.ufl.edu/pdffiles/FS/FS10800.pdf>)

HACCP

Developing a HACCP plan (<http://www.fao.org/docrep/005/y1390e/y1390e0a.htm>)

HACCP Critical Control Point Decision Tree (<http://meat.tamu.edu/tree.html>)

USDA Guidebooks for Preparation of HACCP Plans and Generic HACCP Models

(http://www.fsis.usda.gov/Science/HACCP_Models/index.asp)

Risk Assessment/Hazard Analysis

University of Florida IFAS Extension (<http://edis.ifas.ufl.edu/fs139>)

Food Defense Plan

University of Missouri Extension (<http://extension.missouri.edu/fooddefense/>)

Supplier Food Safety Resources

PROCESSOR SPECIFIC RESOURCES:

General Resources

AIB Food Safety Essentials Class (<http://www.foodsafetyessentials.net>)

Purdue Extension (<http://www.extension.purdue.edu/extmedia/menu.htm>)

Good Manufacturing Practices (GMPs)

Purdue Extension (<http://www.extension.purdue.edu/extmedia/FS/FS-21-W.pdf>)

US Food and Drug Administration

(<http://www.fda.gov/food/guidancecomplianceregulatoryinformation/currentgoodmanufacturingpracticescgm/ucm110877.htm>)

PRODUCE SPECIFIC RESOURCES:

General Resources

AIB Food Safety Essentials Class (<http://www.foodsafetyessentials.net>)

NSF Agriculture Link (http://www.nsf.org/business/nsf_agriculture/index.asp?program=NSFAgr)

On-Farm Food Safety Project (<http://onfarmfoodsafety.org>)

Penn State Extension (<http://extension.psu.edu/food-safety/farm/resources>)

Purdue Extension (<http://www.extension.purdue.edu/extmedia/menu.htm>)

University of Minnesota (<http://safety.cfans.umn.edu/FSP4U.html>)

Good Agricultural Practices (GAPs)

Food and Agriculture Organization of the United Nations (http://www.fao.org/prods/gap/index_en.htm)

Iowa State Extension (<http://www.extension.iastate.edu/Publications/PM1974a.pdf>)

Commodity Specific Guidelines

US Food and Drug Administration

(<http://www.fda.gov/Food/GuidanceComplianceRegulatoryInformation/GuidanceDocuments/ProduceandPlantProducts/default.htm>)

The Supplier's Guide to Becoming GFSI Certified

Please note that the time needed to prepare for a GFSI certification assessment will vary between companies. The complete process, from choosing a scheme through final assessment, may take between 6-12 months.

Step 1 – Choose a Scheme

Review the [GFSI recognized schemes](#) to determine which best fits your company and the programs currently implemented. Each scheme is linked to the standard owner's website. Here you can learn more about their certification processes and requirements. Please note that the Manufacturing Schemes are for processors while the Primary Production Schemes are for produce suppliers.

Step 2 – Understand the Requirements

Request or download a copy of the scheme's standard. The standard includes all of the requirements your facility will be assessed against. Standards may be ordered or downloaded by visiting the standard owner's website or by contacting the standard owner. Depending on the scheme you move forward with, the cost for the standard could range from \$0 – \$200. Many of the standard owner's offer training courses over their schemes and, although usually not required, these courses may be attended to better understand the requirements. For more information and cost of these training courses, please visit the standard owner's website.

Step 3 – Prepare for the audit

To begin your preparation, it is suggested that your facility perform a gap analysis. A gap analysis is where you assess your facility against the standard's requirements to identify the areas where you do not meet the requirements, or where you have gaps. If your company is familiar with the expectations of the scheme, you may conduct this assessment yourself. If you do not feel comfortable conducting the gap analysis yourself, your company may also hire someone from an approved certification body to perform the gap analysis. Please note that the certification body you use to perform a gap analysis cannot be the same certification body used to perform your final GFSI certification assessment. For more information on certification bodies, please see Step 4.

After you have identified your gaps you will need to complete corrective actions to become compliant with the requirements. It is recommended that your company develop a timeline to complete these corrective actions. This timeline should include scheduled meetings at a pre-determined frequency to ensure that the individual or team that was assigned the corrective action is staying on task as well as a rough estimate of when you will have your final GFSI certification assessment.

Step 4 – Choose a Certification Body & Schedule the Assessment

Certification bodies must demonstrate their knowledge in a scheme and be approved to conduct assessments. This means you must ensure you choose a certification body that is approved to conduct the scheme you have chosen to be certified against.

You may find a list of approved certification bodies at the standard owner's website. Please be advised that due to current GFSI certification demand, certification bodies may be fully booked for two to four months and will not be immediately available to conduct your assessment. Because of this, we recommend that you look at your certification timeline and schedule your assessment a few months before you will be ready for your assessment to be conducted.

Step 5 – Share GFSI Certification with Walmart

Once you obtain your GFSI certification, you will need to send a copy directly to the food safety manager you have worked with or to supaudit@wal-mart.com.

Q&A Document for Processors Required to Obtain Basic or Intermediate Level Assessments

Question: What does this requirement entail?

Answer: This assessment is designed to enhance food safety, ensure consumer protection and to strengthen consumer confidence.

- For basic processor assessments, your company must demonstrate a food safety program including risk assessment, traceability, sanitation, pest control, good manufacturing practices, control of non-conformities with corrective actions, and control systems to address contamination
- For intermediate level processor assessments, your company must demonstrate the basic requirements and the following additional food safety program components: HACCP program, document control, supplier performance monitoring, food defense, and facility maintenance programs with established practices.

Question: Why do I have to have an assessment?

Answer: At Walmart and Sam's Club, our commitment to our customers is unparalleled and we are always working to provide safe and quality foods in our Stores and Clubs. As part of our commitment to continuous improvement, we go further than many U.S. retailers in requiring that harmonized, leading-edge food safety standards be adopted throughout the entire food production chain. We are requiring our suppliers to have this assessment to re-emphasize existing food safety requirements as well as add an additional layer of assurance.

Question: Which auditing companies are available to do the assessment?

Answer:

ASI Food Safety Consultants

Primary Contact:

Contact: Jeanette Huge

Email: jhuge@asifood.com

Phone: (800) 477-0778 x113

Secondary Contact:

Contact: Cortney Person

Email: cperson@asifood.com

Phone: (800) 477-0778 x126

NSF Food Safety Consultant

Contact: Helen Gipple

Email: gipple@nsf.org

Phone: (734) 827-6845

GFSI Global Markets Capacity Building Programme Basic (B) and Intermediate (I) Level Assessor Guideline

A. Food Safety Management Systems

Basic Level Requirement Assessment
B.A 1. Specifications Including Product Release
The business shall ensure that product specifications are adequate, accurate and ensure compliance with relevant safety and legislative requirements and customer requirements. The business shall prepare and implement appropriate product release procedures.
B.A 1.1 Are specifications available for all product inputs (raw materials, ingredients, additives, packaging materials, rework) and finished products?
<ul style="list-style-type: none"> Finished product specifications shall be current, adequate, accurate and compliant with relevant safety and legislative requirements and customer requirements. Finished product specifications shall cover all product inputs (raw materials, ingredients, additives, packaging materials, rework).
B.A 1.2 Are the available specifications compliant with relevant safety and legislative requirements and customer requirements?
<ul style="list-style-type: none"> The competent person drafting specification is aware of the means of obtaining legislative requirements. Systems are in place to ensure finished product released to customers complies with agreed requirements.
B.A 1.3 Are specifications up to date, unambiguous and available to relevant staff?
<ul style="list-style-type: none"> <i>No additional guidance provided for this requirement</i>
B.A 1.4 Are changes to specifications clearly communicated both internally and externally?
<ul style="list-style-type: none"> The person responsible for specifications communicates with the business's suppliers.
B.A 1.5 Is a documented Product Release Programme in place and effective to ensure final product meets the specification?
<ul style="list-style-type: none"> <i>No additional guidance provided for this requirement</i>
B.A 1.6 Is a designated person responsible for controlling specifications?
<ul style="list-style-type: none"> <i>No additional guidance provided for this requirement</i>

Basic Level Requirement Assessment
B.A 2. Traceability
The business shall establish a traceability system, which enables the identification of product lots and their relation to batches of raw materials, primary and consumer unit packaging materials, processing and distribution records. Records shall include
<ul style="list-style-type: none"> Identification of any out sourced product, ingredient or service; Complete records of batches of in-process or final product and packaging throughout the production process. Record of purchaser and delivery destination for all products supplied. Record of annual testing of the traceability system.
B.A 2.1 Is a documented traceability system in place for every product that meets regulatory and

customer requirements? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> The frequency of traceability record keeping shall be appropriate.
<ul style="list-style-type: none"> The responsible person shall ensure identification systems are in place.
<ul style="list-style-type: none"> Personnel responsible for traceability are trained adequately.
<ul style="list-style-type: none"> The person responsible for development and maintenance of the traceability system obtains knowledge of legislative requirements.
<ul style="list-style-type: none"> The responsible person ensures other colleagues are aware of their obligation with respect to traceability and record keeping.
B.A 2.2 Is the traceability system including work in progress, post-treatment and rework fully operational and effective?
<ul style="list-style-type: none"> <i>No additional guidance provided for this requirement</i>
B.A 2.3 Are records of registration and product identification through all production stages (work in progress, post treatment, rework) available for all raw materials, primary and consumer packaging materials, i.e. from purchase through process to the delivery destination?
<ul style="list-style-type: none"> Traceability records are legible, genuine and easily accessible.
B.A 2.4 Is the traceability system tested at least annually and updated as necessary?
<ul style="list-style-type: none"> <i>No additional guidance provided for this requirement</i>
B.A 2.5 Is a clear labelling system ensuring continuous identification of the product at all stages of production and delivery?
<ul style="list-style-type: none"> The product through all production stages, and finished product is clearly labelled or identified.
<ul style="list-style-type: none"> Individual finished products are coded clearly allowing identification.
<ul style="list-style-type: none"> Dispatch documents include finished product codes.

Basic Level Requirement Assessment
B.A 3. Food Safety Incident Management
The business shall have an effective incident management procedure covering incidents reporting, product withdrawal and recall procedure for all products which shall include the provision of information to the customer. Record of annual review, testing and verification of the system shall be available
B.A 3.1 Is a documented Incident Management system in place that addresses incident reporting, product withdrawal and product recall? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> Procedures in relation to incident management are regularly reviewed by a competent person.
<ul style="list-style-type: none"> All relevant staff are aware of their obligations in case of incident management.
B.A 3.2 Is an effective Communication Plan in place with a designated, responsible person identified to provide information to customers, consumers and regulatory authorities?
<ul style="list-style-type: none"> A competent person is responsible for all internal and external communication.
B.A 3.3 Is the Incident Management System reviewed, tested and verified at least once a year? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> Incidents which could lead to unsafe or non conforming product are recorded and assessed in a timely manner to establish their severity and consumer risk.
B.A 3.4 Are all incidents recorded and assessed to establish their severity and consumer risk?

Intermediate Level Assessment

- *No additional guidance provided for this requirement*

Basic Level Requirement Assessment

B.A 4. Control of non-conforming product

The business shall ensure that any product which does not conform to requirements is clearly identified and controlled to prevent unintended use or delivery.

B.A 4.1 Is a documented procedure in place to identify and manage all non-conforming raw materials, product inputs, semi-finished and finished products, processing equipment and packaging materials?

(Required element – Major deduction if missing)

- The procedure covers identification of non conforming product.
- The procedure covers assessment of food safety risk.
- Correctives actions i.e. release, rework, quarantine, rejection/disposal are appropriate.
- Correctives actions i.e. release, rework, quarantine, rejection/disposal are effectively controlled.

B.A 4.2 Is the control of non-conforming product managed by competent personnel?

- *No additional guidance provided for this requirement*

Basic Level Requirement Assessment

A 5. Corrective Action

The business shall ensure that corrective action be undertaken as soon as possible to prevent further occurrence of non-conformity.

B.A 5.1 Is a documented Corrective Action Procedure in place to analyze any complaints and investigate non-conformities to prevent reoccurrence?

- There is a competent person responsible for analysing and investigating non-conformities to establish the procedure to avoid reoccurrence.
- Records of all customer complaints, investigations and corrective actions are maintained.
- A documented system is in place to manage corrective actions.
- The responsibilities of individuals and timescales for corrective actions are clearly defined and documented.
- All documents and records relating to corrective actions are in place.

B.A 5.2 Are corrective actions (i.e. release, rework, quarantine, rejection/disposal) identified and effectively implemented?

- There is a competent person responsible for monitoring and effectiveness of the completion and performance of the agreed corrective actions.
- There is a system of complaint analysis which facilitates the implementation of corrective actions to prevent reoccurrence.

Intermediate Level Requirement Assessment

I.A 1. Management Responsibility

The business shall establish a clear organizational structure which defines and documents job functions, responsibilities and reporting relationships of at least those staff whose activities affect food safety.

I.A 1.1 Is an up-to-date organizational chart outlining the business' structure available?

<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>
I.A 1.2 Are documented, clearly defined responsibilities regarding product safety and legality available and communicated to staff?
<ul style="list-style-type: none"> • Must cover the absence for key staff

Intermediate Level Requirement Assessment
I.A 2. General Documentation Requirements
The business shall establish and implement procedures to ensure that all documents, required to demonstrate the effective operation and control of its processes and its management of product safety, are maintained and kept up-to-date. Records shall be retained for a time period required to meet customer and/or legal requirements.
I.A 2.1 Is a written documentation procedure in place and effectively implemented?
<ul style="list-style-type: none"> • Procedures should cover the control of documents and their revisions • Confidential documents shall be defined and access to them shall be limited • Records shall be retained for a time period required to meet customer and/or legal requirements.

Intermediate Level Requirement Assessment
I.A 3. Procedures
The business shall prepare and implement detailed procedures/instructions for all processes and operations having an effect on product safety.
I.A 3.1 Are detailed procedures developed and effectively implemented for all processes and operations that affect food safety?
<ul style="list-style-type: none"> • Procedures shall be written in a manner that is easily understood by personnel • Documents shall be legible and clearly written to be understood by staff
I.A 3.2 Are procedures clearly communicated to relevant staff?
<ul style="list-style-type: none"> • Documents shall be legible and clearly written to be understood by staff • Relevant staff should be able to demonstrate knowledge of procedures pertinent to their work area or job responsibilities

Intermediate Level Requirement Assessment
I.A 4. Complaint Handling
The business shall prepare and implement an effective system for the management of customer/consumer complaints and complaint data to control and correct shortcomings in food safety.
I.A 4.1 Is a documented complaint management system in place and effectively implemented?
<ul style="list-style-type: none"> • The methods and responsibility for handling and investigating the cause and resolution of complaints from consumers, customers shall be documented and implemented
I.A 4.2 Are records of all customer and consumer complaints, investigations and corrective actions maintained?
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>

Intermediate Level Requirement Assessment
I.A 5. Control of Measuring & Monitoring Devices
The business shall identify measuring and monitoring devices critical to food safety and ensure that they are calibrated and traceable to a recognized standard.

Intermediate Level Assessment

I.A 5.1 Are measuring and monitoring devices critical to food safety identified, calibrated and traceable to recognised standards and are they effectively controlled?

- Measuring and monitoring devices may include: Thermometers, metal detectors, pH meters and Water activity meters

I.A 5.2 Are actions taken and recorded when measuring and monitoring devices are found to be outside of specified limits?

- Current instruments should be in calibration
- Appropriate actions shall consider all product produced since last good calibration as non-confirming product

Intermediate Level Requirement Assessment

I.A 6. Product Analysis

The business shall implement a system to ensure that product/ ingredient analyses critical to food safety and legal requirements are undertaken and the business shall ensure that the methods used provide valid results (e.g. by procedures set forth in ISO 17025 and/or industry recognized methods).

I.A 6.1 Are analysis procedures in place to ensure that all specified product requirements are met, including legal requirements and customer specifications along the whole shelf life?

- Responsibility and criteria for sampling, inspecting and or analyzing raw materials, finished product and work in progress shall be documented and implemented
- Microbiological, physical and chemical analysis required for that purpose shall be performed internally or subcontracted to a qualified service provider
- The analyses and the frequency with which they are carried out shall be based on risk and may include microbiological and chemical factors such as pH and a_w

I.A 6.2 Are methods relevant for food safety used to provide valid results (e.g. by procedures set forth in ISO 17025 and/ or industry recognized methods)?

- If the analyses are performed by a factory internal or non-accredited laboratory, the results shall be verified on a regular basis by an accredited laboratory.

Intermediate Level Requirement Assessment

I.A 7. Purchasing

The business shall control purchasing processes to ensure that all externally sourced items and services conform to written requirements.

I.A 7.1 Do purchased products and services meet current specifications and contractual agreements?

- *No additional guidance provided for this requirement*

Intermediate Level Requirement Assessment

I.A 8. Supplier Approval and Performance Monitoring

The business shall operate procedures for approval and continued monitoring of all its suppliers whose products or services may affect product safety. The results of evaluations and follow-up actions shall be recorded.

I.A 8.1 Is a documented supplier approval programme in place and effectively implemented?

- The programme shall include clear assessment criteria based on risk assessment of suppliers and materials such as:
 - Certificates of Analysis (COAs)

<ul style="list-style-type: none"> • Audits • Required performance standards • Supplier reliability and complaints • Records of the monitoring shall be maintained
<ul style="list-style-type: none"> • The programme shall include the sourcing of all product inputs and services such as: <ul style="list-style-type: none"> • Raw materials • Ingredients and processing aides • Food contact packaging • Cleaning and sanitation chemicals • Pest control chemicals
<ul style="list-style-type: none"> • Verify that product inputs are sourced from approved suppliers
<ul style="list-style-type: none"> • Records of effective supplier approval programme in place
<ul style="list-style-type: none"> • Verify that the appropriate staff is aware of the programme and that it is being followed
I.A 8.2 Is a documented supplier monitoring programme in place and effectively implemented?
<ul style="list-style-type: none"> • Records of effective monitoring should be kept

Intermediate Level Requirement Assessment

I.A 9. Training

The business shall implement a system to ensure that all personnel are adequately trained, instructed and supervised in food safety principles and practices, commensurate with their activity.

I.A 9.1 Is a documented Personnel Training Programme in place and effectively implemented? (Required element – Major deduction if missing)

- The programme shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with:
 - Developing and applying Good Manufacturing Practice and pre-requisite programmes
 - Applying food regulatory requirements
 - Critical steps identified in the hazard analysis
 - Tasks identified as critical to meeting customer specifications and food safety
 - The Personnel Training Programme should be based on responsibilities described and documented as referred in A1 of this document.

I.A 9.2 Is a documented HACCP Training Programme in place? (Required element – Major deduction if missing)

- Must include all staff involved in developing and maintaining HACCP programmes and Food Safety Plans
- Must include personnel responsible for monitoring and verifying control measures.

I.A 9.3 Are adequate training records available?

- Should contain at a minimum:
 - Name of trainee and confirmation of attendance
 - Date and duration of training
 - Title or course contents or task instruction
 - Training Provider

I.A 9.4 Is a Refresher Training Programme documented and implemented?

- A brief description of the refresher training should be available
- Refresher training should be conducted at least annually

B. Good Manufacturing Practices (GMPs)

Basic Level Requirement Assessment
B.B 1. Personal Hygiene
The business shall have processes and procedures in place to ensure the implementation of personnel and visitor hygiene practices. Such practices shall result in sanitary handling and delivery of safe and quality products to customers. The Codex Alimentarius Commission's recommendation on personal hygiene shall be followed.
B.B 1.1 Are personal hygiene requirements in place and applicable to all relevant personnel, contractors and visitors? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> • The personal hygiene requirements are monitored for compliance by a competent person.
<ul style="list-style-type: none"> • Personnel, contractors and visitors shall wash their hands; <ul style="list-style-type: none"> • Upon entering food handling or processing areas • After each visit to the toilet • After using a handkerchief • After handling wash down hoses or contaminated material • After sneezing or coughing; • After smoking, eating or drinking • After handling raw food or any contaminated material, where this could result in contamination of other food items.
<ul style="list-style-type: none"> • Personnel, contractors and visitors should avoid handling ready-to-eat food, where appropriate.
B.B 1.2 Are personal hygiene requirements compliant with legal requirements, if applicable?
<ul style="list-style-type: none"> • The personal hygiene requirements are developed by a competent person.
<ul style="list-style-type: none"> • These requirements are regularly checked for compliance against the local regulatory requirements
B.B 1.3 Are documented communication procedures in place for personnel, contractors and visitors addressing actions to be taken in the case of an infectious disease?
<ul style="list-style-type: none"> • The requirements in relation to the control of infectious diseases cover medical examination, where applicable.
B.B 1.4 Is a qualified person responsible to decide if individuals with a suspect illness may enter food areas and how these individuals are controlled?
<ul style="list-style-type: none"> • Conditions which shall be reported to management/supervisory staff in order to access the need for medical examination and/or possible exclusion from food handling include: <ul style="list-style-type: none"> • Jaundice • Diarrhoea • Vomiting • Fever • Sore throat with fever • Visibly infected skin lesions • Discharges from ears, nose or throat
B.B 1.5 Are personnel, contractors and visitors aware of and complying with the personal hygiene requirements?
<ul style="list-style-type: none"> • The procedure make reference to: <ul style="list-style-type: none"> ○ Smoking ○ Spitting

<ul style="list-style-type: none"> ○ Chewing or eating ○ Sneezing or coughing over unprotected product or packaging ○ Protective clothing ○ Jewellery ○ Hand washing ○ Eating and drinking ○ Actions to be taken in case of cuts or skin abrasions ○ Fingernails ○ Hair and facial hair
<ul style="list-style-type: none"> ● To ensure that those who come directly or indirectly into contact with food: <ul style="list-style-type: none"> ○ Maintain an appropriate degree of personal hygiene; ○ Behave and operate in an appropriate manner.
<p>B.B 1.6 Are personnel, contractors and visitors aware of and complying with the requirements for the wearing and changing of protective clothing in specified work areas?</p>
<ul style="list-style-type: none"> ● There is the provision of sufficient, appropriate, suitable, clean and protective clothing.

<p>Basic Level Requirement Assessment</p>
<p>B.B 2. Facility Environment</p>
<p>The business facilities shall be located and maintained so as to prevent contamination and enable the production of safe products.</p>
<p>B.B 2.1 Is the facility located, designed, constructed and maintained to ensure product safety?</p>
<ul style="list-style-type: none"> ● There is no evidence of any activities carried out near the location of the site that could compromise food safety.
<ul style="list-style-type: none"> ● The design and layout of the facility lends itself to effective maintenance, cleaning and disinfection.
<ul style="list-style-type: none"> ● Grounds and area surrounding the facility are well maintained and kept free of waste or accumulated debris.
<p>B.B 2.2 Is the facility effectively maintained, cleaned and disinfected to prevent physical, chemical and microbiological product contamination?</p>
<ul style="list-style-type: none"> ● Maintenance schedules and records are available. ● Maintenance schedules and records are appropriate.
<p>B.B 2.3 Is the lighting of the appropriate intensity and design to ensure that food safety practice is effective?</p>
<ul style="list-style-type: none"> ● <i>No additional guidance provided for this requirement</i>
<p>B.B 2.4 Are structures, surfaces and materials, particularly those in contact with food easy to maintain, clean and where appropriate disinfect?</p>
<ul style="list-style-type: none"> ● Floors, walls and ceilings are constructed from materials designed to prevent accumulation of dirt, reduce condensation and mould growth. ● Floors, walls and ceilings are constructed from materials designed to facilitate cleaning. ● Equipment locations, drainage and water waste systems are designed and maintained as not to compromise food safety. ● Windows and doors are designed and constructed to prevent the ingress of pests or other contaminants. ● Ventilation and extraction are adequate to provide optimum product storage and processing environments to prevent condensation or excessive dust.
<p>B.B 2.5 Are the drainage and waste water systems of equipment locations designed so as not to</p>

Intermediate Level Assessment

compromise food safety?
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>
B.B 2.6 Are the grounds and surrounding areas of the facility maintained and kept free of waste and accumulated debris?
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>

Basic Level Requirement Assessment
B.B 3. Cleaning & Disinfection
The business shall ensure appropriate standards of cleaning and disinfection be maintained at all times and throughout all the stages.
B.B 3.1 Are documented cleaning and disinfection procedures in place and effective, including verification activities, to ensure the cleanliness of the facility, utilities and equipment?
<ul style="list-style-type: none"> • The procedure makes reference to: <ul style="list-style-type: none"> ○ Personnel responsible for cleaning ○ Defined items and areas to be cleaned ○ Frequency of cleaning ○ Methods of cleaning ○ Cleaning materials to be used and instructions for use • Cleaning and disinfection procedures are developed and monitored by a competent person. • Cleaning records are available for all items and areas.
B.B 3.2 Are cleaning equipment, utensils and chemicals clearly marked, stored in a segregated area away from product, equipment, packaging and suitable for intended use?
<ul style="list-style-type: none"> • The personnel who cleans and disinfects is aware of his/her responsibility and the cleaning procedures.
B.B 3.3 Are qualified, trained personnel used for cleaning and disinfection?
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>

Basic Level Requirement Assessment
B.B 4. Product Contamination Control
The business shall ensure appropriate facilities and procedures are in place to minimise the risk of physical, chemical, or microbiological contamination of product.
B.B 4.1 Are physical barriers or effective procedures in place to reduce and avoid the risk of any potential physical, chemical or microbiological contamination? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> • Inspections are conducted by a competent person to ensure that the facility remains in good condition. • Potential foreign body sources are identified i.e. personnel, raw materials, packaging materials, packaging aids, utensils, machine components, hazardous chemicals. • Product contamination procedures are developed and monitored by a competent person. • The facility's process flow and design, i.e. from receipt to dispatch, ensures that contamination of raw materials, packaging, semi-processed and finished products is avoided.
B.B 4.2 Are working systems in place to reduce the risk of any potential physical, chemical or microbiological contamination?
<ul style="list-style-type: none"> • Product contamination control procedures are developed and monitored by a competent

person.
<ul style="list-style-type: none"> Procedures are in place to in relation to the breakage of glass, including glass packaging and similar material.

Basic Level Requirement Assessment
B.B 5. Pest Control
The business shall ensure controls are in place to reduce or eliminate the risk of pest infestation (including rodents, insects and birds)
B.B 5.1 Is an effective Pest Control Programme in place?
<ul style="list-style-type: none"> Methods of control are developed and monitored by a competent person. The pest control programme is in compliance with legal and customer requirements.
B.B 5.2 Are the controls appropriate in relation to the product, raw materials and facility?
<ul style="list-style-type: none"> Methods of control are reviewed by a competent person. There is no evidence of pest infestation. Raw materials, packaging, semi-processed and finished products are stored so as to minimize the risk of pest infestation.
B.B 5.3 Is the inspection programme undertaken by a competent person at an appropriate frequency and are findings addressed?
<ul style="list-style-type: none"> Detailed records of pest control inspections, recommendations and actions taken are available.

Basic Level Requirement Assessment
B.B 6. Water Quality
The business shall ensure that the quality of water, ice or steam in contact with food product is suitable for intended use at the facility. All food contact water, ingredient water and water used in cleaning and sanitising operations shall be determined to be from a potable source.
B.B 6.1 Are documented procedures in place to ensure that the quality of water, steam and ice does not compromise the food safety of the finished product?
<ul style="list-style-type: none"> Water quality control procedures are developed and monitored by a competent person. Procedures are in place to prevent the cross contamination of potable water by unsafe water. The water complies with nationally or internationally, i.e. WHO Guidelines for drinking water quality, recognised potable water standards.
B.B 6.2 Are documented procedures in place to prevent the cross-contamination of potable water by non-potable water?
<ul style="list-style-type: none"> The procedure refers to the water used: <ul style="list-style-type: none"> For washing, thawing & treating food As an ingredient or food processing aid For cleaning food contact surfaces For the manufacture of ice For the manufacture of steam that will come in contact with food or used to heat water that will come in contact with food

Intermediate Level Assessment

Intermediate Level Requirement Assessment	
I.B 1. Facility and Equipment Maintenance	
The business shall implement a system of planned, preventive and corrective maintenance to ensure an adequate level of food safety in the facility.	
I.B 1.1 Is a documented maintenance programme established?	
<ul style="list-style-type: none"> • Equipment inspection frequencies should be defined • All critical equipment should be covered • Maintenance records shall be maintained • An effective maintenance programme shall be measured by specific indicators such as preventive versus corrective maintenance. 	
I.B 1.2 Is an effective maintenance programme implemented?	
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i> 	
I.B 1.3 Is a documented hygiene and clearance procedure in place for all maintenance activities?	
<ul style="list-style-type: none"> • Must record that product contamination hazards have been removed from machinery and equipment • Must record that the area has been properly cleaned, disinfected and inspected prior to release back into production. 	
I.B 1.4 Are effective hygiene procedures implemented for maintenance activities?	
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i> 	
I.B 1.5 Are all materials used for maintenance and repair appropriate for their intended use?	
<ul style="list-style-type: none"> • Food grade oils, non-toxic paints, etc. • Material Safety Data Sheets shall be available. 	

Intermediate Level Requirement Assessment	
I.B 2 Staff Facilities	
The business shall ensure that staff facilities be designed and operated, so as to minimize food safety risks.	
I.B 2.1 Are suitable changing rooms provided for staff?	
<ul style="list-style-type: none"> • Outdoor clothing and personal items shall be stored separately from work wear within the facility. • Where high risk product the changing rooms shall be sited without direct access to the production area. 	
I.B 2.2 Are toilets adequately segregated from processing/ food handling areas?	
<ul style="list-style-type: none"> • Shall not open directly into storage, processing or production areas. 	
I.B 2.3 Are suitable and sufficient hand-washing facilities provided?	
<ul style="list-style-type: none"> • At appropriate points within production areas. <ul style="list-style-type: none"> • Sufficient quantities of potable water provided at the appropriate temperature • Liquid soap • Single use, hands free towel dispensers or suitably designed hands free air dryers • Signs advising personnel to wash hands prior to entering food processing areas shall be prominently posted in the appropriate languages • Where High risk products are handled the following requirements shall also apply: <ul style="list-style-type: none"> • Hands free operated taps • Hand sanitizers 	
I.B 2.4 Are separate lunch room facilities provided away from production, packaging and storage areas?	

- No food from the lunch room facilities should be taken to production, packaging and storage areas.

Intermediate Level Requirement Assessment

I.B 3 Waste Management

The business shall ensure adequate systems be in place for the collation, collection and disposal of waste material.

I.B 3.1 Are suitable provisions in place for the storage and removal of waste?

- Waste shall not be allowed to accumulate in food handling, food storage and other working areas

I.B 3.2 Are containers designated for inedible products, waste or by-products clearly marked and properly utilized?

- Clearly marked
- Suitably designed
- In good condition
- Easy to clean and where required disinfected
- Emptied at appropriate frequencies
- Covered or doors kept closed as appropriate

Intermediate Level Requirement Assessment

I.B 4. Storage and Transport

The business shall ensure that all raw materials (including packaging), intermediate/ semi processed product and finished product be stored and transported under conditions that protect product integrity. All vehicles, including contracted out vehicles used for the transportation of raw materials (including packaging), rework, intermediate/ semi processed product and finished product shall be suitable for the purpose, maintained in good repair and be clean.

I.B 4.1 Are there adequate facilities for the storage of food and ingredients?

- Where necessary, adequate facilities for the storage of food and ingredients shall be provided.

I.B 4.2 Are the food storage facilities appropriate to be effectively protected from contamination during storage?

- Where appropriate, food storage facilities shall be designed and constructed to enable food to be effectively protected from contamination during storage

I.B 4.3 Is the food storage appropriate to minimize deterioration of food (e.g. by temperature, ventilation and humidity control)?

- Where necessary, provide an environment which minimizes the deterioration of food (e.g. by temperature and humidity control)

I.B 4.4 Is there a documented Product Transport procedure in place?

- Practices applied during loading, transport and unloading of food are documented, implemented and designed to maintain product integrity
- Procedures shall ensure that unloading is completed efficiently and core product temperatures are recorded at the beginning of, and at regular intervals during the unloading process
- Prior to unloading, the load should be checked for signs of temperature abuse (thawing and re-freezing), damage or shifting during transport.
- The programme shall address procedures to follow for non-conforming product arrivals
 - Loading and unloading should be completed under a covered base.
 - Records regarding rejection of loads shall be maintained.

I.B 4.5 Is an effective Product Transport Procedure implemented?

- *No additional guidance provided for this requirement*

I.B 4.6 Is there a documented Transport Vehicle Inspection Programme ?
<ul style="list-style-type: none">• Vehicles used for transporting food shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odours, pest, moulds or other conditions that may impact negatively on the product.• Inspection records shall be available.
I.B 4.7 Is an effective Transport Vehicle Inspection Programme implemented ?
<ul style="list-style-type: none">• <i>No additional guidance provided for this requirement</i>
I.B 4.8 Are there documented maintenance and hygiene procedures for vehicles and equipment used for loading and unloading?
<ul style="list-style-type: none">• Records shall include a registration number of a transport vehicle and a name of a driver.• The equipment for loading or unloading shall be included in the maintenance and sanitisation programme.
I.B 4.9 Are effective vehicle and equipment maintenance and hygiene procedures implemented?
<ul style="list-style-type: none">• <i>No additional guidance provided for this requirement</i>

C. Control of Food Hazards

Basic Level Requirement Assessment
B.C 1. Control of Food Hazards - General and Specific
The business shall reduce the risk of unsafe food by taking preventative measures to assure the safety and suitability of the food at an appropriate stage or stages in their operation by controlling food hazards. The business shall control food hazards through the use of a system such as HACCP. They shall: <ul style="list-style-type: none"> • Undertake a risk analysis to identify all possible hazards • Identify the steps in their operation that are critical to the safety of food • Implement effective procedures with defined limits at those steps as appropriate for food safety • Monitor control procedures to monitor their effectiveness • Maintain records of that monitoring • Review control procedures periodically and whenever the operations change
B.C 1.1 Is a documented food safety control system in place that addresses customer and regulatory requirements? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> • The frequency of recording is carried out continuously and/ or at appropriate intervals. • The food control system is reviewed on a regular basis or when changes occur.
B.C 1.2 Is a risk assessment or hazard analysis conducted for each process step in the manufacturing of the food item? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>
B.C 1.3 Was the risk assessment or hazard analysis conducted by a competent person? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>
B.C 1.4 Does the food control system include appropriate control procedures, monitoring procedures and documentation including the definition of limits regarding food safety? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> • The procedure if limits are out of control is available and is followed. • Records of defined parameters are available. • Appropriate limits regarding food safety are defined.
B.C 1.5 Is documented evidence of monitoring in place (i.e. temperature, time, pressure, chemical properties, etc.) and controlled to ensure that the product is produced within the required process specification? (Required element – Major deduction if missing)
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>

Basic Level Requirement Assessment
B.C 2. Control of Allergens
The business shall ensure that there are adequate control measures in place to prevent cross contamination of allergens. All ingredients known to cause food allergies in the product shall be clearly identified and communicated to the customer.
B.C 2.1 Is a documented Allergen Control programme in place to control allergens and to prevent sources of allergens from contaminating product at all stages of production? (Required element – Major deduction if missing)

Intermediate Level Assessment

<ul style="list-style-type: none"> Procedures for allergen control are developed and monitored by a competent person.
<ul style="list-style-type: none"> Personnel who may handle allergens or product potentially containing allergens are aware of their responsibility to control allergens.
B.C.2.2 Were customer requirements and appropriate legislation addressed in the development of the Allergen Control Programme?
<ul style="list-style-type: none"> <i>No additional guidance provided for this requirement</i>
B.C.2.3 Are potential causes of cross contamination identified and procedures established for the handling of raw materials, intermediate and finished products to avoid cross contamination?
<ul style="list-style-type: none"> The procedure makes reference to: <ul style="list-style-type: none"> Physical or time segregation while allergen-containing materials are being stored, processed or packed The use of identified, dedicated equipment for processing or cleaning A policy for all food brought on site by personnel, contractors and visitors The labelling of raw material , ingredients and semi finished products known to contain or potentially contain allergens The cleaning and sanitation programme is effective to remove all potential allergens from product contact surfaces.
B.C.2.4 Are procedures relating to the cleaning and sanitation of product contact surfaces in place and effective to remove all potential allergens from food contact surfaces?
<ul style="list-style-type: none"> <i>No additional guidance provided for this requirement</i>
B.C.2.5 Is a clear labeling system in place ensuring continuous identification of the product through all stages of production and delivery?
<ul style="list-style-type: none"> <i>No additional guidance provided for this requirement</i>

Intermediate Level Requirement Assessment

I.C 1. HACCP

The business shall perform a hazard analysis of their food manufacturing process as a minimum step in order to determine if there are any hazards associated with the production of their food item. Businesses shall use the HACCP [Hazard Analysis Critical Control Point] tool to accomplish this assessment. Each business shall have performed a hazard analysis, and if hazards are identified within the manufacturing process, it is expected that the business will take appropriate action necessary to develop a HACCP Plan that meets the 7 principles reflected within Codex Alimentarius.

NOTE: For businesses being assessed against the Intermediate Level requirements, there will be significant overlap between the Basic and Intermediate requirements for this section. Both Levels shall be assessed regardless of this overlap.

I.C 1.1 Is there a description for each product?

- There shall be a product description for each product or each type of product.
- Product description shall include where appropriate:
 - Composition, physical/chemical structure (including Aw, pH, etc.)
 - Processing/treatments (heat-treatment, freezing, brining, smoking, etc.)
 - Packaging (food contact)
 - Shelf life
 - Storage conditions
 - Method of distribution.

I.C 1.2 Is the food or ingredient processing illustrated in a flow diagram?

- The diagram should include all steps within the product process flow

I.C 1.3 Principle 1: Is a hazard analysis conducted for each process step in the manufacturing of the food

<p>item? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • Documentation shall address the potential for all chemical (including allergens), microbiological, and physical hazards that could occur within the process • The hazard analysis shall also address the potential hazards (biological, chemical, physical) associated with the production inputs including raw materials and ingredients (including water, steam, ice or gases used as ingredients).
<p>I.C 1.4 Principle 2: If the hazard analysis indicates any hazards present within the food manufacturing process are Critical Control Points (CCPs) identified? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • The determination of a CCP shall be made using a decision tree or other adequate method. • The CCP determination shall be documented • CCPs must eliminate, maintain, or reduce those hazards to an acceptable level.
<p>I.C 1.5 Principle 3: Are Critical Limits established for each CCP? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • The critical limits should apply to the specific operation, product or groups of products being processed • Critical limits should be specified and validated
<p>I.C 1.6 Principle 4: Are Monitoring procedures established for each CCP? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • Monitoring procedures must be able to detect a loss of control in the process • Monitoring records must be evaluated by trained, competent personnel • If monitoring is not continuous, then the assigned frequency must be adequate to ensure that the CCP remains in control • Monitoring records must be signed by the individuals conducting the monitoring and reviewing the records
<p>I.C 1.7 Are CCPs effectively implemented? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>
<p>I.C 1.8 Principle 5: Are corrective actions established for each CCP in the event critical limits are exceeded? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • Corrective actions must ensure that the CCP is brought under control and address actions to be take for the proper disposition of affected product • Product deviations and final disposition must be documented
<p>I.C 1.9 Principle 6: Are verification procedures established? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • The frequency of the verification procedures should ensure that the HACCP system is working effectively • Verification should be conducted by someone other than the personnel responsible for monitoring and corrective actions
<p>I.C 1.10 Are verification procedures effectively implemented? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>
<p>I.C 1.11 Principle 7: Are record-keeping and documentation for HACCP procedures established? (Required element – Major deduction if missing)</p> <ul style="list-style-type: none"> • All established HACCP procedures shall be documented • The record keeping system must be effective and clearly communicated to the appropriate personnel
<p>I.C 1.12 Are all HACCP-related record-keeping and documentation procedures effectively implemented?</p>

Intermediate Level Assessment

(Required element – Major deduction if missing)
<ul style="list-style-type: none"> • Includes preliminary steps, HACCP and pre-requisite programmes (bullet point) • Monitoring records must be maintained
I.C 1.13 Has the business implemented specific control measures for all relevant steps not identified as CCPs?
<ul style="list-style-type: none"> • <i>No additional guidance provided for this requirement</i>

Intermediate Level Requirement Assessment
I.C 2. Food Defence
The business shall assess its ability to prevent intentional product tampering/intentional contamination and put in place the appropriate preventive control measures.
I.C 2.1 Have the threats to the product as a result of intentional product tampering/intentional contamination been assessed?
<ul style="list-style-type: none"> • Intentional product tampering can include acts of sabotage, vandalism or terrorism. • The assessment must be appropriate to the business, the site and the country.
I.C 2.2 Have those points in the process which are vulnerable to intentional product tampering/intentional contamination been identified and subjected to additional access control?
<ul style="list-style-type: none"> • Physical restriction of access may be through the use of locks, electronic key card or other appropriate systems. • Control measures shall cover product, process, personnel, security and systems and where applicable, storage and transportation.
I.C 2.3 Are measures in place to address what to do with the product, if prohibited access took place and the product may have been tampered with/intentionally contaminated?
<ul style="list-style-type: none"> • Measures shall address identifying the incident, identifying potentially affected material, isolation and quarantine of the potentially affected material and appropriate disposition based on the safety of the product.

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Private Brand and Non-Private Brand Food Distributor Food Safety Audit Requirements

Distribution Center Audit Standard Requirements

- [BRC Storage & Distribution](#)
- [International Food Standard Logistics - Storage & Distribution](#)
- [Safe Quality Food 2000 Level I \(Food Sector Category 25\)](#)

OR

(Any GFSI Benchmarked Certification listed below)

- [BRC Food Standard](#)
- [Food Safety System Certification 22000](#)
- [International Food Standard](#)
- [Safe Quality Food 2000 Level II or III](#)
- [Synergy 22000 \(Certification Scheme\)](#)

Note: Audits must be conducted annually PRIOR to the expiration of the current audit

Please click on the name of the standard to be taken to an online version of the standard or to the scheme holder's website.

Providing Audit Documents to Walmart

If you have not previously provided us with a copy of your current food safety audit documentation, please send a copy of the complete audit report and corrective action report to us at:

Email: supaudit@wal-mart.com

OR

Fax: 479.273.1911

Distribution Center Audit Standard Requirements

- [ASI - Distribution & Warehouse Audit](#)
- [Cook & Thurber - Warehouse & Distribution Facility Audit](#)
- [Silliker Labs - Distribution Center Audit](#)
- [SCS - Cold Storage & Distribution](#)
- [SGS - Distribution Center Audit](#)

Other 3rd party distribution audits from firms not listed above may be submitted for consideration

Note: Audits must be conducted annually PRIOR to the expiration of the current audit

Please click on the name of the standard to be taken to the audit provider's website.

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