GHANA STANDARDS AUTHORITY

CERTIFICATION SCHEME FOR HAZARD ANALYSIS AND CRITICAL CONTROL POINT (HACCP)

GUIDELINES FOR HACCP CERTIFICATION

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FOREWORD

The Ghana Standards Authority (GSA), a Conformity Assessment Body (CAB), has established a Management Systems Certification Scheme (MSCS) to provide certification services in accordance with the requirement of the international standards ISO/IEC 17021:2011 and ISO/TS 22003:2013.

The Ghana Standards Authority Management System Certification Scheme (GSA-MSCS) for Hazard Analysis and Critical Control Point (HACCP) system has been developed to provide a uniform certification scheme for HACCP-based food safety system for Food Business Operator (FBO) and service providers in the Food Industry.

The scheme consists of certification and surveillance activities of the HACCP-based food safety system and provides formal recognition to food premises that have effectively implemented the HACCP-based food safety system. With the introduction of the scheme, Ghana Standards Authority hopes to encourage the implementation of HACCP-based food safety system in FBOs and Food Industries in line with global trends in food safety.

The primary aim of the scheme is to enhance the production of safe food. This will promote the acceptance of food in the domestic and international market.

Head or Manager of Scheme
GSA-MSCS
April 2013

1. INTRODUCTION

Food safety is a global concern. Not only because of the continuing importance for public health, but also because of its impact on international trade. Effective Food Safety Systems aims at managing and ensuring the safety and suitability of foodstuffs. In many countries world-wide, legislation on the safety and suitability of foodstuffs requires, as minimum, the implementation of "HACCP" by any food business or organization carrying out any or all of the following activities: preparation, processing, manufacturing, packaging, storage, transportation, distribution, and handling or offering for sale or supply of foodstuffs.

HACCP is a risk management tool recognized internationally for use in the proactive management of food safety issues.

The Ghana Standards Authority Management System Certification Scheme (GSA-MSCS) for Hazard Analysis and Critical Control Point (HACCP) system describes procedures which apply to food premises in gaining HACCP certification. The scheme is intended to meet as a minimum requirement, the Codex Alimentarius Commission General principles of Food Hygiene and HACCP. It requires the food premises to set up and implement a HACCP system that meets the GSA-MSCS HACCP scheme's criteria, followed by the application and granting of the certification. The applicable reference documents to the "Requirements" of this scheme have been specified in Chapter 6 (e).

The certification process includes, but not limited to adequacy, compliance and any follow-up audits by appointed certified auditors. The GSA-MSCS shall verify the maintenance of the certified HACCP system through surveillance audits.

2 SCOPE OF APPLICATION

In this document, requirements have been specified to be used during the assessment of an operational HACCP system (HACCP-based Food Safety Systems) which ensures the safety of foodstuffs during preparation, processing, manufacturing, packaging, storage, transportation, distribution, handling or offering for sale or supply in any sector of the food chain. The "Requirements" are basically applicable to all food businesses or organizations.
These "Requirements" are not intended for application by suppliers and / or service companies to food businesses, like suppliers of packaging materials, food equipment, industrial cleaning services, etc.

2 DEFINITIONS

For the purpose of this scheme, the following definitions shall apply:

2.1 Adequacy audit
A desk-top/document audit to examine the contents of the HACCP Manual and supportive document submitted and to verify that all elements of the GSA-MSCS HACCP have been addressed.

2.2 Audit
An independent, systematic examination of objective evidence, performed by trained personnel, to determine whether the activities of the HACCP systems and the related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve food safety objectives.

2.3 Auditor[s]
Person[s] technically competent in the HACCP system and audit, and in a particular food processing technology or field, formally appointed by the scheme (GSA-MSCS).

2.4 Checklist
A list that contains points/elements that needs to be considered during assessment. It is used as *aide-memoire* to promote uniformity in assessment.

2.5 Certification
The process by which, GSA-MSCS as an officially recognized certification body in ISO 22000:2005, provide written assurance that the HACCP-based food safety control and management systems of a FBO conform to the GSA-MSCS HACCP requirements.

2.6 Compliance
Compliance means the HACCP plan and pre-requisites and their implementation meet GSA-MSCS HACCP requirements.

2.7 Compliance audit
An activity to obtain evidence that the seven HACCP principles have been effectively applied and the HACCP plan and pre-requisites correctly implemented and that the system can be maintained. It includes adequacy, on-site and follow-up audits. Compliance audit is conducted by means of an independent, impartial and objective audit to ascertain full compliance with GSA-MSCS HACCP criteria and requirements.

2.8 Conformance
Conformance means activities are carried out according to the established procedures as laid out in the HACCP Plan and the PRP documents.

2.9 Non-Conformance Report (NCR)

Non-conformances documented request by the auditor which must be satisfactorily addressed or corrected by the auditee. All NCRs must be closed before a recommendation for the HACCP Certification can be made.

2.10 Categories of non-conformance

a. **Minor** - A deviation of the HACCP-based system relative to HACCP procedures and facility sanitation or others which are not likely to reduce materially the facility's ability to meet acceptable sanitation requirements or ensure food safety.

b. **Major** - A significant deviation from planned requirements, such that maintenance of safety is inhibited. Major non-conformance represents an unacceptable safety risk without constituting an overall system failure in the area concerned.

c. **Serious** - A severe deviation from planned requirements such that maintenance of safety is impacted. Serious non-conformance represents a very significant omission or failure in the food safety system, one that has a direct and adverse effect on the safety of the product.

d. **Observation** - A recommendation given to affect an improvement.

2.11 Follow-up audit

The follow-up activity to obtain evidence that the non-conformances given as NCR report are being satisfactorily corrected and implemented and that the HACCP system has been maintained. The follow-up audit can be on-site or document audit.

2.12 **Food business operator (FBO)**

The person or persons responsible for ensuring that the requirements the food legislation are met within the food business under his/their control

2.13 Food premises

Any building or factory used for or in connection with the preparation, preservation, packaging, storage, conveyance, distribution or sale of any food, or re-labelling, re-processing or re-packing or re-conditioning of any food.

2.14 Food Safety

Concept that food will not cause harm to the consumer when it is prepared and/or eaten according to its intended use

2.15 Food Safety Policy

Overall intentions and directions of an organization related to food safety (2.14) as formally expressed by top management

2.16 **HACCP (Hazard Analysis and Critical Control Point)**

A system which identifies, evaluates, and controls hazards which are significant for food safety.

2.17 HACCP Plan

A document describing the activities developed in accordance with the principles of HACCP to ensure control of hazards which are significant for food safety in the product under consideration and its intended use.

2.18 Implementation of the HACCP Plan

The ongoing execution and maintenance of the HACCP plan.

2.19 On site-audit

An audit that is conducted at the auditee's premises.

2.20 Non-conformance (NC)

Non-conformance means activities carried out are not in accordance to the established procedures.

2.21 Pre-requisite programmes (PRP)

[Food safety] basic conditions and activities that is necessary to maintain a hygienic environment throughout for the food chain suitable for the production, handling and provision of safe end products and safe food for human consumption

2.18 Surveillance audit

On-site audit of HACCP certified food premises by surveillance auditor(s) to verify the effective and continuous maintenance of HACCP system.

3 OBJECTIVE OF SCHEME

The objective of the scheme is to grant formal recognition to FBOs, and food premises that have effectively implemented and maintained a HACCP-based food safety system as a demonstration of their commitment to food safety.

4 BENEFITS

The benefits of a certified HACCP system are as follows:

4.1 To enhance the safety of food produced by FBOs, Food Industries/ premises.

4.2 To fulfill global requirements on food safety including the application for Approval Number for the exporting of fish and fishery products to European Union.

4.3 To promote the acceptance, both in Ghana and overseas, of food produced from food premises with certified HACCP system.

4.4 To improve marketability of the certified product.

4.5 To gain recognition by use of the HACCP logo upon certification.

4.6 To help continually monitor and improve the food safety system through regular assessment.

5 HACCP SYSTEM REQUIREMENTS

5.1 Management responsibility

The food business operator is responsible for the safety (and suitability) of the produced food. Therefore, the food business operator shall include the policy with respect to food safety in the policy of the organization. The food business operator has ultimate responsibility for the policy of the organization and shall document, support and communicate this policy. Periodically, the Food business operator shall verify the implementation of the policy and review the outcome.

The management shall ensure that

- customer requirements, and
- the requirements of laws and regulations on food safety are determined.

The HACCP system enables the food business operator to demonstrate his commitment and his responsibility with respect to the supply of safe products. The HACCP system ensures that all required activities are effectively defined, implemented and maintained.

5.1.1 Policy

The food business operator shall define and document (in writing) the policy of the organization with regards to food safety. It will demonstrate the commitment of the organization to safe food. The policy shall demonstrate that the organization is fully aware of its position in the food chain. It will reflect the "farm-to-fork" approach, starting with the purchase and acceptance of raw materials. The policy shall be focused on the safety of foodstuffs and shall respond to the expectations and needs of its customers and consumers. The policy shall include concrete objectives (proposed actions) to ensure and improve food safety for the period under consideration. The food business operator shall ensure that the policy is understood, implemented and maintained at all levels in the organization.

5.1.2 Scope of the HACCP system

The food business operator shall define the extent (the scope) of the HACCP system. The scope shall comprise that part of the food chain and those activities of the food business for which the food operator is responsible and can be held liable:

- The part of the food chain for which the food business operator is responsible begins where the responsibility of the suppliers of raw materials and ingredients ends; the responsibility of the food business operator ends where another food business in the food chain takes over the responsibility. The scope shall therefore conform with purchase and sales contracts;
- All locations and process lines where food is manufactured and/or stored by the food business shall be properly indicated and be available for assessment;
- All products which are supplied to the market by the food business, whether processed or handled, shall be properly specified;
- All subcontracted activities (outsourced services, like packaging, storage, transport) shall be properly dealt with.

A key principle is that no part of the operation of the food business can be excluded from the scope of the HACCP system; all activities must be available for assessment.

5.1.3 Tasks, responsibilities and authorities

The food business operator shall establish clear job descriptions with respect to the tasks, responsibilities and authorities of food business operator's employees who are in positions which involve handling food and/or controlling and ensuring the safety and suitability of the food.

An organization chart and the organization's reporting structure shall be documented.

Where the assistance of an external expert is required for the development, implementation, execution or review of the food safety system a written agreement in which the responsibilities and authorities of this external expert are described shall be included.

5.1.4 HACCP team(s)

The food business operator shall assemble a HACCP team. The HACCP team shall develop, implement and maintain the HACCP system. The organization shall demonstrate that the members of the HACCP team have the knowledge, expertise and different disciplines available which are required to develop, implement and maintain a HACCP system covering the total scope of the HACCP system. Minimum qualification criteria, including required expertise, shall be defined and documented for all members of the HACCP team. In addition, the assignment (including tasks, responsibilities and authorities) shall be documented for the team members.

5.1.5 Resources

The food business operator shall examine the requests and provide, in a timely manner, all the resources needed by the HACCP team to develop, implement and maintain the HACCP system. When corrective actions, verification procedures or customers indicate that operational improvements are necessary, the food business operator shall examine the issues and provide appropriate resources to ensure food safety.

5.1.6 Management Review

The food business operator shall review the HACCP system at planned intervals, of no more than 12 months, to ensure continuing suitability, adequacy and effectiveness. The HACCP verification (5.13) shall be used as input for this review. The review shall evaluate the need for changes to the HACCP system, including product safety, policy and objectives. The

review shall provide evidence of the commitment to improve the HACCP system and its performance.

5.2 Product Information

5.2.1 Product Characteristics

Each product shall be fully specified and documented, including its sensitivity to and potential for safety risks. This description of the safety of the product shall encompass the food chain, ranging from raw materials used to the distribution of the finished products.

The traceability of the raw materials up to and including final supply shall be described.

An extensive specification of the end products is required to ensure a comprehensive assessment of the food safety procedures. This specification shall clearly define the following product characteristics:

- A general product description;
- Raw materials and ingredients used (composition);
- General product specifications such as appearance, weight, etc.;
- Specific product specifications such as chemical (including allergens), microbiological and physical characteristics;
- Specific requirements such as appropriate legislation, customer requirements;
- General control of (chemical, microbiological and physical) safety;
- Packaging, storage conditions, labelling (shelf life, product identification);
- Identification of potential mishandling of the product.

5.2.2 Intended use

The intended use of the product shall be identified and documented since it has a direct influence on the required product characteristics. For instance, the product may require:

- Additional preparation methods (e.g. heating) before consumption, and/or
- Cooling and storage at specific temperatures, and/or
- An indication of the ultimate day of use, especially after breaking the packaging, and/or
- The product may be intended for use by specific (vulnerable) groups of the population, such as babies and children, pregnant women, elderly people, allergenic or sick people.

The intended use of the product shall be reviewed, where necessary, in accordance with relevant legislation and regulations. These changes shall be documented.

If mishandling or misuse of the product can result in unsafe products the products shall bear appropriate information to ensure that adequate and accessible information is available to the next persons in the food chain to enable them to handle, store, process, prepare and display the product safely and correctly. It shall be easy to identify the lot or batch when recall is required.

The food business operator shall demonstrate that it has evaluated whether the intended use or misuse should include Critical Control Points such as storage conditions and preparation before consumption.

5.3 Process information

5.3.1 Flow Diagrams

The food business operator shall make available a complete and actual description of the operation in the form of flow diagrams (process steps) and layouts (production facilities). When applying HACCP to a given operation, consideration shall be given to steps preceding and following the specified operation. These descriptions shall be drawn up and verified by the HACCP team.

The flow diagrams provide a schematic overview of the operation and shall describe all the steps in sufficient detail to provide the HACCP team with adequate information for the HACCP. The flow diagrams shall take into account all relevant process steps, such as the manufacturing of the product, including critical points like:

- Buffer and interim storage;
- Transport pipes, distribution valves, etc.;
- Loops for reworking and recycling;
- Facilities for cleaning and disinfection of equipment and tools, including cleaning-in-place;
- Provision for start-up / shut down / emergency stops, etc.

5.3.2 Layout

All facilities which are part of the infrastructure of the food business, such as the production lines, storage areas and personnel facilities shall be depicted in a layout plan.

In the layout the following items shall be indicated:

- The routing of products, personnel and air flows (in the case of 'high risk' zones);

- ❖ The areas where cross contamination of and incidental contact with in-process and finished products by raw materials, allergens, additives, lubricants, cooling agents, personnel, packaging, pallets and containers, cannot be excluded;
- ❖ The areas and facilities for personnel use.

5.3.3 Control and Verification of Process Information

Prior to the execution of changes in the production process and layout that could adversely affect food safety, these changes shall be reported to the HACCP team in order to evaluate potential hazards to food safety and take preventive actions accordingly.

In any case the accuracy and actuality of the flow diagrams and layout shall be verified by the HACCP team for compliance with the documented situation. This verification shall be repeated periodically (at least annually) in order to identify and document modifications to the process installation and layout.

These periodic verifications shall be part of the verification procedure.

5.4 Pre-requisite program

The food business operator shall make available a complete and actual description of the pre-requisite program (PRP) of the organization. The procedures belonging to the PRP shall be well established (appropriately specified and documented), fully operational and integrated in the HACCP system, and be verified. Establishment of the PRP shall be in line with clause 7.2 of ISO 22000:2005 and the Codex General Principles of Food Hygiene.

5.5 Hazard Analysis

The food business operator (HACCP team) shall identify, analyse and evaluate all potential (biological,chemical and physical) hazards that can have an adverse effect on the safety of the products. Whenever the food business operation changes in a manner that could adversely affect food safety all relevant steps of the Hazard Analysis shall be up-dated.

5.5.1 Hazard identification

The food business operator (HACCP team) shall identify and register all potential (biological, chemical and physical) hazards that can have an adverse effect on the safety of

the products. The identification shall include all aspects of the operations within the scope of the HACCP system.

The operations to be evaluated include all products as well as processes.

The hazard identification shall include aspects like:

- raw materials and ingredients
- the steps preceding and following the specified operation
- the process equipment, utilities/services and surroundings
- the preceding and following links in the food chain

For each of the identified food safety hazards acceptable levels shall be determined and recorded for the food safety hazard in the end product. The level must meet the requirements with respect to food safety as laid down in laws and regulations and defined by customers.

5.5.2 HACCP - hazard analysis

The food business operator (HACCP team) shall conduct a HACCP hazard analysis to identify which hazards are of such a nature that their elimination or reduction and control at acceptable levels is essential to the production of safe food. In conducting the HACCP hazard analysis, the following shall be included:

- the likely occurrence of hazards and severity of their adverse health effects;
- the qualitative and/or quantitative evaluation of the presence of hazards;
- the survival or multiplication of micro-organisms of concern;
- the development or the presence of contaminants including persistence of toxins, chemicals or physical contaminants in foods;
- cross contamination with allergens
- the conditions leading to the above.

The method used must be documented and the outcome of the hazard analysis must be recorded. The motivation / substantiation in the process of weighting/estimating the risks shall be clearly indicated.

The food business operator shall define permissible levels of risks. These levels (concentrations, product or process criteria) must comply, as a minimum, with legal requirements. When conducting the HACCP hazard analysis, practical experiences, experimental data, professional literature, etc., shall be taken into account and be documented.

5.6 Specific Control Measures

The HACCP team shall identify and document all the control measures that are to be implemented when the hazard identification and hazard analysis concludes that the risk associated with each step in the process of an identified hazard is significant for controlling food safety. Identified control measures must be implemented effectively.

The HACCP team must conduct an assessment for each control measure, for example by means of a decision tree (see annex III), to determine whether it is a CCP. The substantiation must be registered. More than one control measure may be required to control a hazard and more than one hazard may be controlled by a control measure.

Control measures related to CCP's shall be classified as specific control measures intended to avoid or eliminate hazards, or to reduce and control these hazards to an acceptable level.

5.7 Establishing the operational prerequisite programmes (PRPs)

The operational PRPs shall be documented and shall include the following information for each programme:

a) food safety hazard(s) to be controlled by the programme ;
b) control measure(s) ;
c) monitoring procedures that demonstrate that the operational PRPs are implemented;
d) corrections and corrective actions to be taken if monitoring shows that the operational PRPs are not in control;
e) responsibilities and authorities;
f) record(s) of monitoring.

5.8 Identification of critical control points (CCPs)

For each hazard that is to be controlled by the HACCP plan, CCP(s) shall be identified for the control measures identified.

The HACCP team must conduct an assessment for each control measure, for example by means of a decision tree, to determine whether it is a CCP. The substantiation must be documented.

5.9 Determination of critical limits for critical control points

The food business operator (HACCP team) shall determine critical limits for the monitoring established for each CCP.

Critical limits shall be established to ensure that the identified acceptable level of the food safety hazard in the end product is not exceeded.

Critical limits shall be measurable.

The rationale for the chosen critical limits shall be documented.

Critical limits based on subjective data (such as visual inspection of product, process, handling, etc.) shall be supported by instructions or specifications and/or education and training.

5.10 System for the monitoring of critical control points

A monitoring system shall be established for each CCP to demonstrate that the CCP is in control. The system shall include all scheduled measurements or observations relative to the critical limit(s).

The monitoring system shall consist of relevant procedures, instructions and records that cover the following:

a) measurements or observations that provide results within an adequate time frame;
b) monitoring devices used;
c) applicable calibration methods ;
d) monitoring frequency;
e) responsibility and authority related to monitoring and evaluation of monitoring results;
f) record requirements and methods.

The monitoring methods and frequency shall be capable of determining when the critical limits have been exceeded in time for the product to be isolated before it is used or consumed.

5.11 Corrective Actions and Corrections

5.11.1 Corrective Actions and Corrections

For each Critical Control Point, the food business operator shall document the corrections and corrective actions to be taken in case a critical limit is exceeded. The procedure shall include the process to investigate the cause of the deviation.

A documented justification for the corrective action to be taken shall be available, including the responsibilities and authorities of the personnel which is involved.

All corrective actions taken, the causes and consequences, and the individuals involved in the corrective actions shall be recorded. The effectiveness of the corrective actions, for both the process and the product, shall be evaluated.

Products resulting from the process while the critical limit has been exceeded shall be treated as nonconforming products. The corrective actions may include:
With respect to the product:

- Actions ranging from blockades to product recall;
- Temporary hold of the product/batch;
- Identification of non-conforming products;
- Re-work of the product;
- Disposal/destruction of the product/batch.

With respect to the process:

- Adjusting the process;
- Adjustment/correction of process conditions.

5.11.2 Product release

Products can only be released when non conformities of products are absent and no corrective actions are necessary.

5.11.3 Product Recall

The food business operator shall establish arrangements that provide procedures for recall of the products from the market place and/or from end consumers.

Actions and provisions with respect to product withdrawal and recall as defined in 5.11.1 and 5.11.2 shall be tested for effectiveness at a predetermined frequency but at least annually.

5.11.4 Tracking & Tracing

The Organization must ensure an effective tracking & tracing procedure. Products and parties must be registered and identified in order to assure that traceability and recall is possible (General Principles of Food Hygiene, Codex Alimentarius).

5.12 Validation

5.12.1 General

The HACCP team shall plan and implement the processes needed to validate control measures and/or control measure combinations, and to verify and improve the food safety system.

5.12.2 Validation of the hazard identification and risk assessment

Validation of the identification and evaluation of risk to food safety shall be performed by demonstrating that:

- The established list of potential hazards is based on sound scientific data and has included all hazards;
- The questions used to assess the significance are answered using sound scientific and technical knowledge.

5.12.3 Validation of specific control measures

Validation is demonstrated by means of documented evidence that:

- all related, critical measurement and process equipment is properly installed and functioning properly;
- the installed process and measurement equipment is functioning properly under all circumstances permitted;
- for process indicators limits have been established within which the process is regarded as being controlled ("challenge" tests, worst case conditions);
- the control measures are effective and thus prevent unsafe product being released or provide evidence that the situation can be corrected immediately.

5.12.4 Modifications

The hazard identification and evaluation and thus the validation must be updated every time the organization introduces changes that could have a potential effect on food safety. Such changes could include changes in control measures, raw materials, processes, characteristics of the finished product or the intended use of the product.

5.13 Verification

5.13.1 General

The food business operator shall establish, document and implement procedures for verification of the HACCP system. The main purpose of verification is to determine compliance with the specifications of the HACCP system and to confirm that the HACCP system is working effectively through the application of (auditing) methods, procedures, tests (including random sampling and analysis) and other evaluations, in addition to monitoring.

Procedures for verification shall be documented and shall include as a minimum:

- Purpose;
- Methods, standard operating procedures or tests applied;
- Tasks and responsibilities;
- Frequency;
- Records.

The verification procedure shall address, as a minimum, the following topics:

- Review of the HACCP system and its corresponding records;
- Analysis of recalls and product dispositions;
- Assessment of all specific control measures, non conformities and corrective actions taken to seek confirmation of implementation and effective control of CCP's;
- Compliance of the actual flow diagrams and layout with the documented situation;
- Evaluation of the implementation (practice) and effectiveness of the pre-requisites program ;
- Analysis of customer and consumer complaints related to hygiene and food safety;
- Review of analytical outcome of random sampling and analysis of products;
- Evaluation of conformity with applicable legislation and regulations (as well as conformity to foreseeable changes in legislation and regulations) and identification of changes in legislation and regulations concerning food safety;

- ❖ Review of gaps between current and desired level of knowledge, awareness and training of staff with respect to hygiene and food safety, resulting in effective (on-the-job) training sessions;
- ❖ Consistency of the current documentation;
- ❖ Results of internal audits.

5.13.2 Internal audit

The food business operator shall determine whether the HACCP system:

- ❖ Conforms with the planned arrangements:
  - o with the "Requirements for a HACCP-based Food Safety System" and
  - o with the requirements established by the food business operator itself.
- ❖ Is effectively implemented and maintained.

The food business operator shall plan an internal audit scheme, taking into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. The audit criteria, scope, frequency and methods shall be defined.

Selection of auditors and the conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work. The responsibilities and requirements for planning and conducting audits, for reporting results and maintaining records shall be defined in a documented procedure.

5.13.3 Management review

The food business operator shall review and evaluate the results of the entire verification process at planned intervals, of no more than 12 months. Therefore, the frequency of verification and internal audits shall be such that the food business operator can ensure continuing suitability, adequacy and effectiveness of the HACCP-based Food Safety System.

The food business operator shall collect and analyse the resulting data to evaluate where improvement is needed. The food business operator shall ensure that preventive actions are taken without undue delay to eliminate the causes of (potential) non conformities in order to prevent recurrence (occurrence). The preventive actions shall be appropriate to the effects of the (potential) non conformities encountered. Follow-up actions shall include the verification and review of actions taken.

5.14 Documentation and records

5.14.1 Documents and document control

The food business operator shall establish a documented HACCP system and shall maintain the HACCP system and corresponding documentation in order to ensure conformity with the requirements of this specification and the applicable legislation and regulations.

Documentation should be appropriate to the nature and size of operation.

The food business operator shall establish and maintain a HACCP manual that includes:

- The policy of the food business operator with respect to food safety and the scope of the HACCP-based Food Safety System.
- The documented specifications, procedures and instructions established for the HACCP-based Food Safety System, or reference to them.
- A description how the food business operator has fulfilled the requirements of this Specification. If any requirement of this Specification is considered as inapplicable to the operator, justification shall be provided in the HACCP manual.

Documents required by the HACCP-based Food Safety System shall be controlled. A documented procedure shall be established to define the controls needed:

- to approve documents for adequacy prior to issue,
- to review and update as necessary and re-approve documents,
- to ensure that changes and the current revision status of documents are identified,
- to ensure that relevant versions of applicable documents are available at points of use,
- to ensure that documents remain legible and readily identifiable,
- to ensure that documents of external origin are identified and their distribution controlled,
- to prevent the unintended use of obsolete documents, and to suitably identify them if they are retained for any purpose.

5.14.2 Records

Efficient and accurate record-keeping is essential to the application of a HACCP system.

Records shall be established and maintained to provide evidence of conformity with the requirements and with the effective operation of the HACCP-based Food Safety System and

the functioning of other control measures. Records shall remain legible, readily identifiable and retrievable. A documented procedure shall be established to define the controls needed for identification, storage, protection, retrieval, retention time and disposal of records.

Records shall include:

- Records to demonstrate that the members of the HACCP team have adequate knowledge, expertise and different disciplines available;
- Records concerning management reviews and, if needed, related actions;
- Records of the hazard analysis and information sources (legislation, standards, literature, hygiene codes, GMP, Codex) used by the HACCP teams to identify and evaluate the hazards and risks;
- Records of the assessment of the management measures and the determination of the Specific Control Measures (CCPs);
- Monitoring reports (dated and signed) of the Specific Control Measures to demonstrate the control of the related CCP's;
- Records of non conformities occurred (exceeded critical limits) of the Specific Control Measures and the corrective actions taken;
- Records of non conformities and actions taken in case of deviations of the prerequisite program.
- Records of the results of calibration and verification and measures to be taken to process/product in case of non conformities
- Records related to the verification program (including internal audits) and their evaluation;
- Records that are relevant to ensure traceability of foodstuffs;
- Records regarding registration of complaints, handling of complaints and corrective actions undertaken.

6 REQUIREMENTS FOR APPLICATION

Food business operators applying for HACCP Certification shall fulfill the following requirements:

a. Food premises shall have been licensed.

b. Company is registered with the Registrar Generals (RG) Department.

c. Pre-requisite programmes shall be in place and documented.

d. The HACCP Manual shall be available with the minimum content as stated in

Appendix 1. The Manual shall be duly signed and dated by the company management with executive responsibility

e. The HACCP system shall be developed based on

i. The Joint FAO/WHO Codex Alimentarius Commission describes a series of steps, including the seven (7) HACCP principles, giving guidance for the application of the HACCP system
ii. Codex Alimentarius: Recommended International Code of Practice - General Principles of Food Hygiene CAC/RCP 1-1969, Rev 4-2003
iii. ISO 22000:2005, clause 7
iv. Any other requirements imposed by the importing country/countries.

f. The HACCP system should have been implemented for a minimum of six [6] months prior to application.

7 APPLICATION PROCESS

7.1 Submission of Application

7.1.1 The application must be made using the prescribed Application Form GSA-MSCS HACCP Application form (Appendix 2) and sent to:

The Head of Scheme,
Management System Certification Scheme,
Ghana Standards Authority [Head office]
P. O. Box MB 245
Accra.
Location: Okponglo, Off Legon-Madina Road.

7.1.2 Application on-line is also available via e-HACCP at http://www.gsa.gov.gh or

a. Email: gsa.systemscertification@gmail.com

7.2 Acceptance of Application

Upon receipt of the application, GSA-MSCS will verify to completeness of the application as described in Appendix 3. Once satisfied, the applicant will be requested to make payment of fees and sign the certification contract. The application procedure is described in *Appendix 4*.

7.3 Time Allocation and Fees for HACCP Audits (Certification Fees)

7.3.1 Audit man-days

Time allocated for HACCP audits (audit man-days) shall be determined in accordance with the provisions in ISO/TS 22003:3013 and GSA-MSCS procedures.

7.3.2 Certification Fees

The applicant shall pay the required fee as determined by the scheme in accordance with the audit man-days calculation. The rates shall be determined in accordance with the size and nature of operation(s), travel mileage, number of sites, etc. All fees shall be made payable to "**The Scheme's Accountant, GSA-MSCS, Ghana Standards Authority.**" Payment shall be made by personal / company cheque or cash.

7.4 Other Expenditure

Other cost incurred for compliance and follow-up onsite auditing, out-station accommodation, feeding and other cost shall be borne by the client.

8 AUDITING PROCEDURES

The initial certification audit will be conducted in accordance with the two stage methodology as outlined in ISO/TS 22003:2013, 9.2.3 . Both stages are to be conducted at the company site. During stage 1 the audit team will investigate the system documentation, especially the process, thoroughness and correctness of the hazard analysis and HACCP-analysis (risk), the HACCP-plan and the validation of this plan.

The stage 1 audit will consist of a documentation investigation, a company survey and a planning of the stage 2 audit. The interval between stage 1 and stage 2 audits is expected to be not longer than 6 months. The stage 1 audit should be repeated if a longer interval is needed.

During the stage 2 audit, the audit team will evaluate the implementation including the effectiveness of the Food Safety System.

This assessment will also include a check if any non-conformities, reported in stage 1 during the onsite inspection, are discontinued and arrangements to the Food Safety System to do so, are assessed.

During surveillance visits, the implementation of the system and effective control of the Processes / products will be reviewed by sampling. In the three year period ALL CCPs shall be assessed with full depth.

All sites of the certified legal entity shall be audited at least once during the three-year period.

8.1 Follow-up audit

Follow-up audits (FUA) shall be carried out within two (2) weeks of a request by the auditee which can be on-site or document audit. The FUA consists of entry meeting, plant visit, document audit comments and exit meeting. New NCRs will be issued [if necessary] during the exit meeting besides closing of the completed NCRs. The company shall respond to unsatisfactory corrective actions on previous NCRs and new NCR issued [if any] within two (2) weeks after the FUA. A report will be sent to the company within two (2) weeks after receipt of NCR response. The company shall respond to all of the corrective action requests and submit the updated document within the agreed timeframe for consideration or any further action. When all NCRs have been closed out, the lead auditor prepares final recommendation report to the GSA-MSCS with a copy to the company concerned within one (1) week.

The company is given a maximum of one (1) month after stage 2 audits for all corrective action(s) to be closed out. If the one (1) month period is exceeded, the company would have to reapply [unless valid justification can be provided].

9 AUDITOR REQUIREMENTS

As a general rule, where no additional requirements are specified, the requirements given in ISO/TS 22003 shall be applied to the appointment of HACCP auditors and/or HACCP audit teams.

The following underlying principles have been established for the selection and qualification of suitable HACCP auditors:

Subject matter related competence:

This relates to expertise of the sub-sectors, the products and production processes as well as an understanding of contamination aspects (chemical and physical).

Areas of expertise include:

- technology
- microbiology
- raw materials

- ❖ knowledge of products.

10 EVALUATION PROCESS

A Committee comprising of personnel with the requisite expertise in food safety issues (from the GSA-MSCS Scheme) shall take decisions on the granting of certificate based on the report of the HACCP audit.

Certification awarded shall be valid for **three [3] years.**

During the initial certification period of three years a regime of annual surveillance audit will be in force.

11 MAINTENANCE OF THE CERTIFIED HACCP SYSTEM

During the initial certification period of three years The GSA-MSCS shall conduct surveillance audits of the certified food premises at least once in **twelve [12] months**, to determine whether the HACCP system is being maintained. However, the frequency of the audits will vary according to the need and more frequent audit will be conducted based on the recommendation of the compliance audit report and on cases such as rejection of products by importing countries and customer complaints on products. The following action will be taken if the certified HACCP system is not maintained:

11.1 Minor Non-conformance (NC)

For minor NC, NCR will be issued and action shall be taken within the stated period as agreed upon during the exit meeting. A follow-up audit [FUA] will be conducted according to the stated agreed period. The NCR will be closed out when it is satisfactorily rectified. Failure to rectify the NC shall affect the renewal of the HACCP certificate.

11.2 Major non-conformance

For major NC, NCR will be issued and immediate corrective action shall be taken by the company. A FUA shall be conducted to verify that the corrective action has been taken. If corrective action taken is not satisfactory, the HACCP certificate shall be suspended. Failure to rectify the NC within an agreed time frame shall result in withdrawal of the HACCP certificate. The CAR will be closed when corrective action taken is satisfactory.

11.3 Serious non-conformance

For serious NC, the HACCP certification will be suspended immediately. Corrective action shall be taken within the suspended period as agreed in the exit meeting. A FUA shall be conducted to verify the corrective action taken. Failure to rectify the NC shall result in withdrawal of the HACCP certification.

12 RE-APPLICATION

Re-application for certification shall be necessary, if:

12.1 there is a delay of more than six (6) months on the part of the applicant to agree with the date for compliance audit from the issuance of the adequacy audit report; **or**

12.2 the findings of the compliance audit indicate total failure of the HACCP system (failure to address all the seven HACCP principles) **or**;

12.3 any of the NCRs is not closed out within one (1)month, without a valid justification, from the date of the stage 2 audit.

13 APPEAL

The GSA-MSCS appeals committee shall make decisions on any appeal lodged against any application or certification. The appeal panel consists of members who are independent of the certification process, to ensure impartiality and prevent conflict of interest.

14 RENEWAL

Certification is subject to renewal every three (3) years. Renewal or recertification, which takes place on expiration of these three years, is conducted in accordance with the initial certification assessment.

Application for renewal of certification is to be made on Application Form as specified in *Appendix 2*. A renewal fee as deem appropriate will be charged upon acceptance of application. The recommendation for renewal will be based on the reports of the surveillance audit team throughout the year. The Certification Committee will then decide on the approval for renewal.

15 CONFIDENTIALITY

It is the policy of GSA-MSCS to require its staff members and auditors to maintain confidentiality of information and documentation belonging to any applicant. No auditor will be allowed to carry out audits unless he/she has signed an official letter of agreement on confidentiality. In addition, auditors are also required to abide by the GSA-MSCS Code of Ethics for Auditors.

16 ENQUIRY

Further information on this scheme and application forms can be obtained from:

The Head of Scheme,
Management System Certification Scheme,
Ghana Standards Authority
[Head office]
P. O. Box MB 245
Accra.
Location: Okponglo, Off Legon-Madina Road
Tel: +233-0302-500065/ 500066/ 506992-6
Ext: 4282, 4427
Website: www.gsa.gov.gh
Email: gsa.systemscertification@gmail.com; gsadir@gsa.gov.gh

16 REFERENCES

- *Codex Basic Food Hygiene Texts*/Annex to CAC/RCP 1-1969, Rev 4-2003
- Codex Alimentarius (1997).
- *Guidance on Regulatory Assessment of HACCP* Report of a Joint FAO/WHO Consultation on the Role of Government Agencies in Assessing HACCP, Geneva (1998).

Appendix 1

Minimum Contents of HACCP Manual and Supportive Documents

A 1 **Company & Food Safety Policy**

1.1 Company profile – including plant location, products(s)/scope to be certified and export market (if applicable)
1.2 Organization chart – indicating line of responsibilities of team members and the link to top management
1.3 Food safety management policy
1.4 Plant layout – indicating material flow, employee traffic flow and sanitary facilities

3 HACCP Team & Responsibilities
List the name of each team member, their position in the company, academic/technical qualification and their HACCP job function. Identify the HACCP coordinator/leader who will coordinate/lead the team.

4 Scope of HACCP Plan & Food Safety Objective(s)

5 Product Description & Intended Consumer
4.1 Product name (indicate process type)
4.2 Important Product characteristics (also indicate sensitive ingredients)
4.3 Storage
4.4 Packaging
4.5 Shelf-life
4.6 Intended use & consumer
4.7 Where the product will be sold
4.8 Labelling instructions for consumer (if applicable)
4.9 Special distribution control (if applicable)

5 Process Flow Chart

6 Hazard Analysis Worksheet

7 HACCP Plan

8 Overall Verification Activities & Schedule – including Management Review, Internal Audit, Update and Review

9 Pre-requisite Programmes

B 1 Supportive Documents to HACCP Manual

1.1 Standard Operating Procedure (SOP)
1.2 Training Policy and Plan
1.3 Customer Complaints Procedure
1.4 Product Recall Procedure
1.5 Relevant regulatory and statutory requirements
1.6 Any other relevant supportive documents

Appendix 2

QUESTIONNAIRE FOR OBTAINING PRELIMINARY INFORMATION FROM THE APPLICANT FOR OBTAINING CERTIFICATE FOR HACCP SYSTEM

1. DETAILS OF THE COMPANY

1.1. Name of the Firm:

_____

1.2. Address of the Registered Office:

_____

_____

Telephone _____ Mobile_____Fax:_____
E-mail: _____Web Site_____

1.3. Exact Location of Factory (Give a vivid description to include landmarks, etc):

_____

_____

Telephone _____ Mobile_____Fax:_____

1.4. Contact Person (Management Representative)

(Name:_____ Designation:_____
Telephone _____ Mobile_____Fax:_____
E-mail: _____Web Site_____

1.5. Number of employees:

Indicate the effective number of employees who will be present at the time of audit i.e. employees refers to all individuals whose work activities support the scope of the certification:

No	Sites (Single/Multi-sites) & Location	Permanent	Temporary	Total

1.6. No of shifts: _____

1.7. Status of the Unit/ Organization

Large: _____

Medium: _____

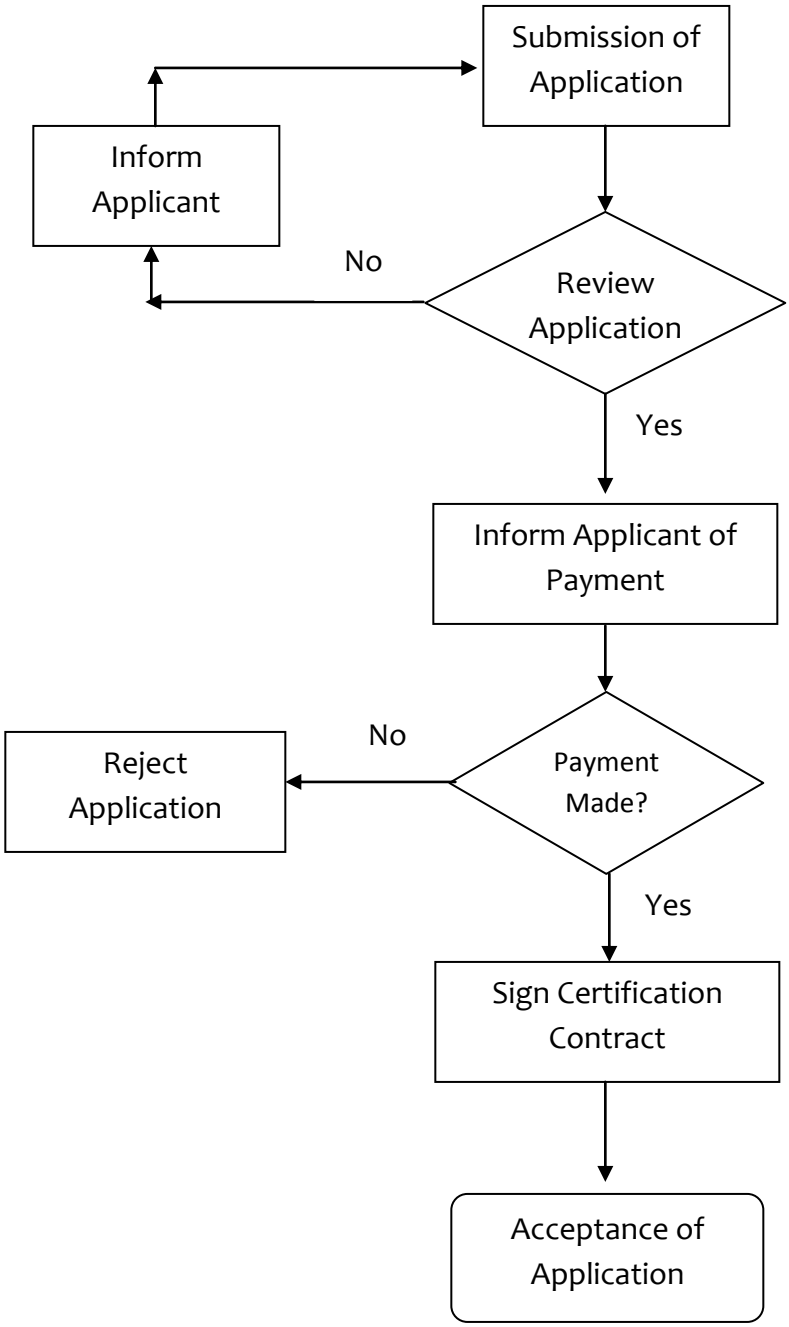
Small: _____

1.8. Description of category of products or processes for which certificate is sought:

No	Food Categories	Products/ Processes	Number of HACCP plans in this category	
			CCPs	oPRPs

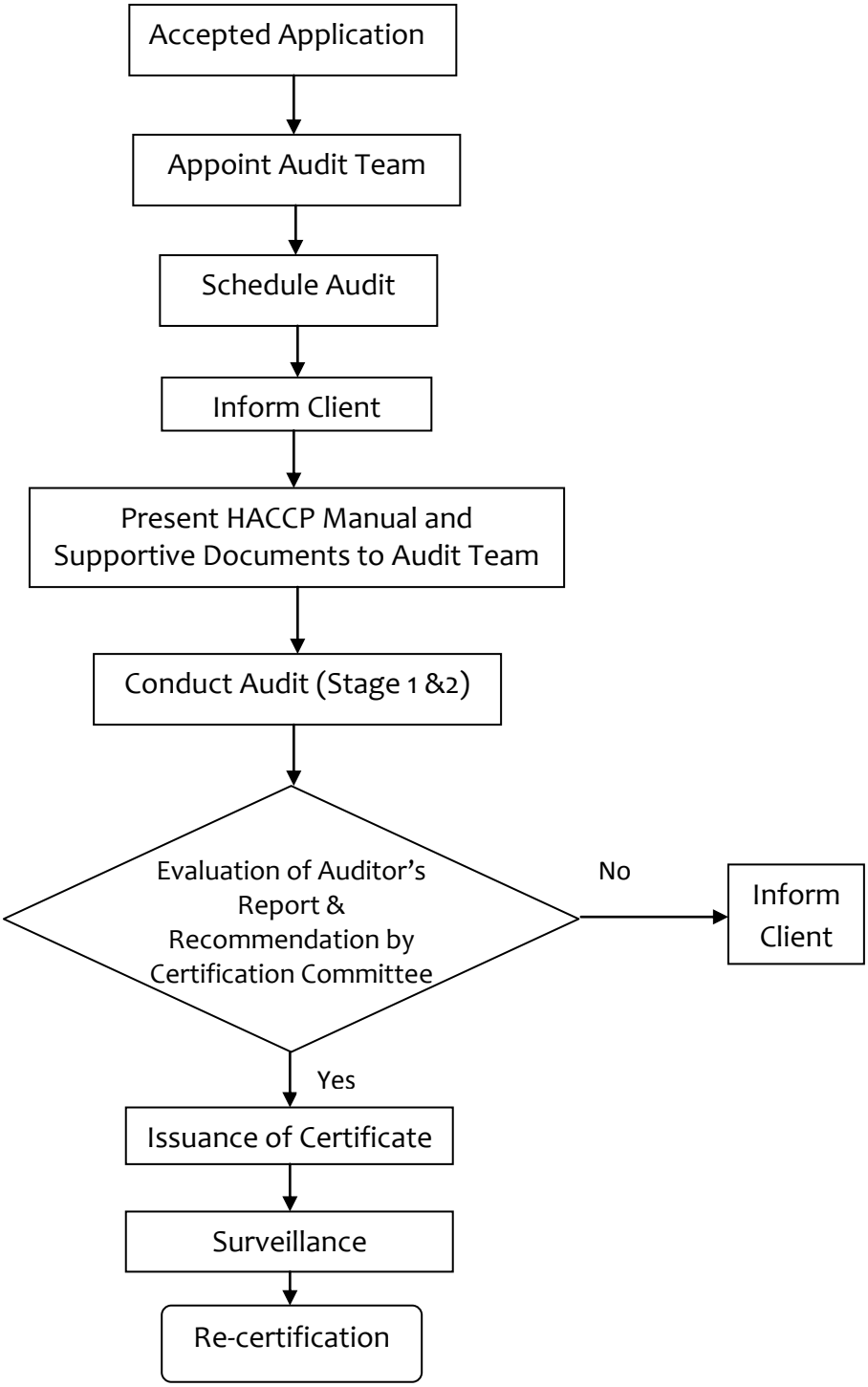
Appendix 3

APPLICATION PROCEDURE FLOW CHART



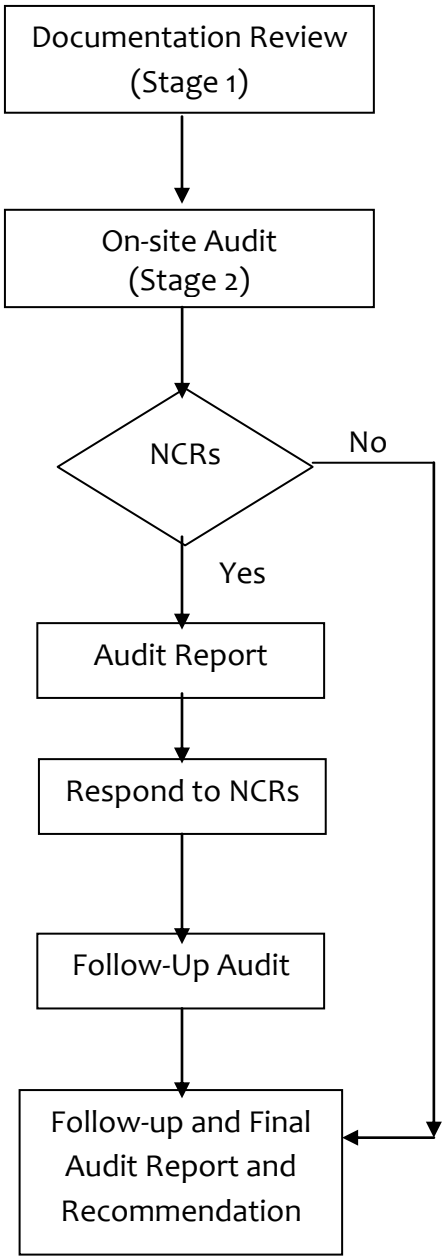
Appendix 4

CERTIFICATION FLOW PROCEDURE



Appendix 5

COMPLIANCE AUDIT FLOW CHART



Audit conducted within two (2) weeks after adequacy audit as agreed with auditee.

Auditee to respond within two (2) weeks and completion of NCR within three (3) months

Auditee contacted within two (2) weeks after completing NCR to agree on date for follow-up audit

Audit report presented within two (2) weeks after closed-out of all NCRs