

Plant Checklist-Manual

1 Usage of this checklist

- a) There are two types of user for this Checklist: the Buying Company or the Assessor.
- b) This checklist can be used to undertake an assessment of a Supplier.
- c) Once complete, the Supplier and the Buying Company will be able to see how the compliance of their food safety management system matches the items in the checklist, whether at Basic Level, or at Basic and Intermediate Level.
- d) Record credibility is important so the following is recommended:
 - i. The Assessor provides the Supplier with a PDF file as a record of the assessment outcome.
 - ii. The Assessor locks this file once complete before providing it to the Buying Company. Instructions on how this can be done are included in Section 5

2 Scope

- a) This checklist is a standard.
- b) There is no audit process or auditors involved.
- c) The listed items are to be assessed, not audited.
- d) There is no governance and no central record keeping.
- e) No certificate can be issued because there is no accreditation process for the Assessors.

3 Disclaimer

- a) The Board of the Global Food Safety Initiative has no control over the nature of the assessments carried out using this checklist.
- b) Any outcome of an assessment against the items in this checklist does not imply a recommendation or endorsement by the Global Food Safety Initiative.
- c) This document is provided in English using United Kingdom spelling, in line with all documents from the GFSI. Any translations that may be used have not been provided, recognised or approved by GFSI.
- d) This document may be used as a source document by Standard Owners to develop their own version of Global Markets. These may be certification schemes recognised by GFSI or others. Though described as 'Global Markets' these may be developed and commercialised differently so are not directly comparable with this checklist. There is no benchmarking of such schemes by GFSI. However, the GFSI expects that such schemes developed from this original work will follow the aim and objectives of the GFSI Global Markets Programme:
Aim:
 - Develop effective food safety management systems through a systematic continuous improvement process.Objectives:
 - Provide a route for small and less developed businesses to achieve accredited certification.
 - Support capacity building efforts and improve market access opportunities for small suppliers operating locally.

4 Associated documents (these can be downloaded from the GFSI website www.mygfsi.com)

- 1. The Protocol for the Global Markets Programme is an essential accompaniment to this checklist. Before any assessment is started, the Users should familiarise themselves with the contents of the Protocol which includes a flow chart for planning and assessment with detailed user guidance. This can be downloaded from the website of the GFSI.
- 2. The Training and Competency Framework provides guidance on good practice for delivering training for food companies that are implementing the GFSI Global Markets Programme. GFSI is not a training organisation and does not develop or deliver any training courses. However, the Global Markets Programme Working Group has worked on the following two elements in this framework:
- 3. Guidance on the development and delivery of training.
- 4. The competencies required to achieve the GFSI Global Markets Programme Basic and Intermediate Levels.
- 5. Companies choosing a training provider are encouraged to specify that any training plans meet the criteria defined in this framework.
- 6. Training providers should use this guidance to develop their training programmes.
- 7. Individual learners should use this document to help them develop their own training plan.

5 Functionality

- a) This Checklist and its worksheets have been designed without macros and uses only internal Excel formulas in its calculations.
- b) It will work on PC and Mac on all Microsoft Excel systems from 2007 onwards.
- c) Because no macros are included, there are certain processes that will remain manual, such as deleting entries. This means that there is no 'reset' option to return to a blank file.
- d) The scoring system depends on all questions being answered.
- e) The exemption system for Buying Companies allows certain clauses to be removed from the Checklist, though they will still be visible. In the event that an exemption is applied, the scoring system will be adjusted accordingly.
- f) Hyperlinks are provided to go to and from this "How to use this document worksheet" and the specified worksheet for which advice is being provided.
- g) It is advised that once an assessment has been completed, the file is locked to ensure the credibility of the data. This can be done in the following way:

To lock the file from future changes:

Select each of the data sheets with a blue tab in turn and do the following for each of them:

Press the Review tab on the Excel Ribbon

If there a button on the tab called Unprotect Sheet then press it to unlock the sheet.

Press Control+A (Cmd+A on the Mac) twice which selects every cell on the sheet.

Press Control+1 (Cmd+1 on the Mac) which brings up the Format Cells dialog box.

Press the tab called Protection.

Mark the "Locked" option as a full tick and press OK to go back to the sheet.

Press the button on the Review tab called Protect Sheet.

Enter a password (or leave it blank) and press OK. Remember the password.

Once every sheet has been locked, Save and Exit the file.

6 Summary and report worksheet

Company Details	
Name	The name of the company that is to be assessed
Product categories	<p>The category of food production. These are taken from the GFSI Guidance Document Version 6. There is a provision for more than one category for companies, if needed.</p> <p>There are a number of categories from the GFSI Guidance Document Version 6 which are out of scope for this checklist, including: G Catering, H Retail and Wholesale, J Transport and Distribution, M Production of Food Packaging.</p> <p>C Pre-process handling of animal products (<i>Gutting, filleting, bulk freezing of fish; Storage of game</i>)</p> <p>D Pre-process handling of plant products, nuts and grain (<i>De-shelling of nuts, Drying of grain, Grading of fruit and vegetables; Storage, Cleaning, washing, rinsing, fluming, sorting, grading, trimming, bundling, cooling, hydro-cooling, waxing, drenching, packing, re-packing, staging, storing, loading and / or any other handling activity that does not significantly transform the product from its original harvested form</i>)</p> <p>EI Processing of perishable animal products (<i>Production of animal products including fish and seafood; Meat, eggs, dairy and fish products; Slaughter, cutting, washing, trimming, grading, pasteurisation, cooking, curing, fermentation, smoking, chilling, freezing, packed in modified atmosphere, packed in</i></p> <p>EII Processing of perishable plant products (<i>Production of plant products (including grains, nuts, and pulses); Washing, slicing, dicing, cutting, shredding, peeling, grading, pasteurisation, cooking, chilling, juicing, pressing, freezing, packed in modified atmosphere, packed in vacuum packing or any other activity that significantly transforms the product from its original whole state</i>)</p> <p>EIII Processing of perishable animal and plant products (<i>mixed products</i>) (<i>Production of animal and plant products; Mixing, cooking, chilling, freezing, packed in modified atmosphere, packed in vacuum packing</i>)</p> <p>EIV Processing of ambient stable products (<i>Production of food products from any source that are stored and sold at ambient temperature; Aseptic filling, baking, bottling, brewing, canning, cooking, distilling, drying, extrusion, fermentation, freeze drying, pressing, frying, hot filling, irradiating, milling, mixing and blending, packed in modified atmosphere, packed in vacuum packing, pasteurising, pickling, roasting, salting and refining</i>)</p>
Manufacturing activities	This is a free text cell in which the assessor can describe the manufacturing activities and products.
Vendor / Supplier Code	Relevant to the Buying Company.
Representative	The name of the person at the company with accountability for food safety.
Telephone	Include international code.
Email	The email address of the person at the company with accountability for food safety.
Address	Ensure full address including postcode.

Assessor Details	
Name	The name of the person who has actually carried out the assessment.
Company	The name of the assessment company of
Telephone	Include international code.
Email	The email of the person at the company with accountability for the assessment process. This can be the assessor or their coordinator.
Address	Ensure full address including postcode.

Assessment details & checklist settings	
Date	The date of the actual assessment.
Duration	The number of hours that the assessor spent at the company.
Scope	A description of the products and manufacturing activities that were included in the assessment.
Level	<p>a) When a selection of 'Basic' is made, all items for Intermediate level shall be coloured in grey on the Checklist Worksheet.</p> <p>The following instruction will show: "You only need to answer the Basic questions on the checklist sheet. Click the small number 1 at the top left of the Checklist worksheet to only see those questions."</p> <p>By clicking on the small number 1, the items for Intermediate level that have been covered in grey shall all be hidden.</p> <p>b) When a selection of 'Intermediate' is made, all items at Basic and Intermediate may be shown on the Checklist worksheet. The following instruction will show: "You should answer all questions on the Checklist worksheet. Click the small number 2 at the top left of the Checklist worksheet to see all the questions."</p> <p>By clicking on the small number 2 at the top left of the Checklist worksheet, all items shall be visible for assessment.</p>
Buying Company Settings	<p>a) Don't show outcomes yet: By clicking on this box, there is no scoring functionality. However, it is possible to see the Conformity Overview worksheet. <i>This selection is for a Buying Company that does not use the scoring system.</i></p> <p>b) Show Pass/Fail: By clicking on this box, the Buying Company can see whether an assessment has passed or failed against the score that it has assigned. <i>This selection is for a Buying Company that uses a pass/fail approach.</i></p> <p>c) Show score: By clicking on this box, the Buying Company can show just the score. <i>This selection is for a Buying Company that does not use a pass/fail approach, but does want to see a score.</i></p>
Incomplete / Complete	<p>a) This shows whether the assessment has been fully completed.</p> <p>b) It shows the word 'Incomplete' against a red background until all questions have been answered in the Checklist worksheet. It adapts according to whether the assessment is against Basic or Basic and Intermediate Levels.</p> <p>c) It will only change to show the word 'Complete' once all questions have been answered. Once it shows the word 'Complete' the assessment results and scoring system will be generated, depending on the Buying Company settings.</p>
Record of achievement	<p>a) When all selected questions have been answered in the Checklist worksheet, the User will see a summary of the number of nonconformances identified during the assessment.</p> <p>b) The score out of 100 will also be displayed with a list that shows the assignment of points.</p>
Assessment Results	A graph shows the nonconformances with point deductions using a colour coding system against each of the three elements of the checklist: Food Safety Management Systems, Good Manufacturing Practices, and Control of Food Hazards.
Scoring system	a) The scoring system is supplied as an option. Buying Companies may choose to use it or not.

- b) Criticals count as a 100 point deduction, Majors as 10 points and Minors as 2 points.
- c) There is a calculation against the number of clauses assessed to provide a numerical point score, not a percentage.
- d) In the event of a Critical or excessive Majors, the score can be zero. Negative scores are not shown.
- e) Unless set by the Buying Company, there will be no 'pass/fail' except in the event of a Critical nonconformance.
- f) The Excel assessment form has been automated using Excel formulae to deliver this system.

7 Checklist

- a) Items are all uniquely referenced in Column A. To help the Assessor, there is a hyperlink against each Item to the relevant User Guidance. A reverse link is provided to return to the checklist item.
- b) Requirements are referenced in Column B with a statement against the leading item and assessment questions against for each statement.
- c) Comments and Observations are entered in Column C by the Assessor. If a nonconformance is identified, then a comment is required. As an option, if the Assessor wants to make an observation on good practice for suggestions for improvement, they are able to. *Note: as this is not an audit or a standard, the assessor is able to provide advice to the company.*
- d) In Column B there is the question 'Meets requirement?' The Assessor must select one of the options provided in the drop down box. If any of these questions are not answered, then the Summary and report worksheet will show an incomplete assessment.
- e) Column E automatically displays a message based on the response in columns D and C.

8 Conformance Overview

- a) This worksheet option is provided for use for the Buying Company and the Company.
- b) Once the assessment has been complete, users can view the outcome on this worksheet and identify against which items nonconformances have been identified.

9 Nonconformance

Background:

The Assessor will classify nonconformity as Critical, Major and Minor. This will directly impact the site's result whether 'pass/fail' or 'score' option is chosen by the 'Buying Company' reviewing the assessment report.

Critical Nonconformance – Unacceptable. Affects food safety or regulatory compliance directly.

A finding is rated Critical when the factors related to that requirement are not met and as a result the product will be unsafe and/or does not meet regulation.

Note: A Critical Nonconformity will result in a failed assessment.

Major Nonconformance – May affect food safety.

A finding is rated Major when the factors related to that requirement are not met and as a result the product may be unsafe or present an increased food safety risk.

Minor Nonconformance – Is not likely to affect food safety.

A finding is rated Minor when the factors related to that requirement are not met and as a result the product is not likely to be unsafe or present an increased food safety risk.

Conform – Fully meeting a requirement.

Not Applicable (N/A) - When the Assessor decides a specific requirement is not applicable for a company, the assessor shall mark as "N/A" and provide a short explanation/justification in the comments section. For example, a company does not handle allergens therefore the requirements for allergen control do not apply.

Note: the use of N/A as an answer should only be used in agreement with the Buying Company.

9 Exemptions

- a) This worksheet option is provided for use by the Buying Company only.
- b) If no exemption is selected then the Assessor must answer all questions.
- c) Due to variations in legislation, for certain international markets there are two Checklist Items that may be exempted by the Buying Company. These are Items B.C. 2 (Control of allergens) and I.C. 4 (Food defence).
- d) If an exemption is selected, the Item will be highlighted in grey in the Checklist. The assessor will be advised that the item has been exempted and should not make any decisions in Column D.
- e) The scoring system shall be adjusted accordingly.

11 User Guidance

- a) This worksheet option is provided for use by the Company and the Assessor.
- b) Columns A and B are copied from the Checklist worksheet. Column C provides guidance for both the company and the assessor on how each item will be assessed. To help the Assessor, there is a hyperlink against each item to the relevant Checklist item.
- c) There is a standard format that answers three questions for every item.
- d) **What does it mean?** An explanation of the item providing a rationale for its inclusion and a description of how the food safety management system is expected to operate.
- e) **What do I need to do?** A list of what will be expected from the Company to provide evidence of conformance against that item.
- f) **What will the Assessor do?** A series of suggestions for the Assessor on how they may assess compliance against that item. This is not intended to be a checklist for them but will support consistency in assessment for both Company and Assessor.