



Information and Certification Requirements

BSI HACCP and GMP



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Revision History

Rev No	Revision Date	Page No	Sec. No	Brief Description of Change
1	August 2021	All	All	Relaunch of BSI HACCP and GMP Certification Criteria including updates to <i>General Principles of Food Hygiene issued by the Codex Alimentarius Commission of the World Health Organization (WHO) and Food & Agriculture Organization (FAO) of the United Nations (CXC-1-1969, revised 2020)</i> .
2	October 2024	All	All	Redesign and update of BSI Global webpage for the alignment of Food Schemes

1 Scope

This information requirements document sets out terms which satisfy the related Accreditation and Scheme requirements and forms part of the Service Agreement between client and BSI as indicated in the SRF (Service Request Form) which is completed by your organization when applying for the BSI HACCP and GMP Scheme Certification.

The requirements included in this document does not cover all Scheme rules and therefore the complete Scheme requirements shall be found in the related BSI HACCP and GMP Scheme documents and followed at all times.

For more information about the Scheme please visit the BSI HACCP and GMP website available [here](#). Certification to this criteria is unaccredited. Where an organization requires an accredited standard (for example when exporting product), BSI offers a range of suitable alternative standards. These options can be discussed with BSI.

2 General Scheme description

The HACCP and GMP certification scheme outlines the requirements for the audit and certification of food safety management systems of organizations in the food supply chain. The Scheme is based on the publicly available CXC-1-1969, revised 2020 (General Principles of Food Hygiene issued by the Codex Alimentarius Commission of the World Health Organization (WHO) and Food & Agriculture Organization (FAO) of the United Nations).

2.1 Related normative requirements

- BSI HACCP and GMP Certification Criteria September 2021;
- BSI HACCP & GMP Self-Assessment Checklist;
- CXC-1-1969, revised 2020, General Principles of Food Hygiene issued by the Codex Alimentarius Commission of the World Health Organization (WHO) and Food & Agriculture Organization (FAO) of the United Nations

3 BSI scope coverage

BSI's certification scope for HACCP and GMP covers the following scope.

Scope	Example of included activities and products
Farming of animals for meat/ milk/ eggs/ honey	Raising animals (other than fish and aquaculture) used for meat production, egg production, milk production or honey production. Growing, keeping, trapping and hunting (slaughtering at point of hunting). Associated temporary packing without modification or processing of the product.
Farming of fish and seafood	Raising fish and seafood used for meat production. Growing, trapping and fishing (slaughtering at point of capture). Associated temporary packing without modification or processing of the product.
Farming – Handling of plants (other than grains and pulses)	Growing or harvesting of plants (other than grains and pulses): horticultural products (fruits, vegetables, spices, mushrooms, etc.) and hydrophytes for food. On farm storage of plants (other than grains and pulses), including horticultural products and hydrophytes for food.
Farming – Handling of grains and pulses	Growing and harvesting of grains and pulses for food. Handling grains and pulses. On farm storage of grain and pulses for food.
Pre-process handling of plant products	<p>Pre-process of harvested plant products</p> <p><u>Activities / Processes examples:</u> Pre-process handling of harvested plant products includes plant products that are not transformed from original whole form. These include cleaning, washing, rinsing, fluming, sorting, grading, trimming, bundling, cooling, hydro-cooling, waxing, drenching, aeration, preparing for storage or processing, packing, repacking, staging, storing and loading.</p> <p><u>Final product examples:</u> fruit and vegetable packhouses, where only minimal processing which does not alter the form of the product may occur, horticultural products and hydrophytes for food.</p>
Animal – Primary conversion	<p>Conversion of animal carcasses</p> <p><u>Activities / Processes examples:</u> Conversion of animal carcasses intended for further processing including lairage, slaughter, evisceration, bulk chilling & freezing, bulk storage of animals and game gutting, bulk freezing of fish and storage of game.</p> <p><u>Final product examples:</u> animal carcasses for further processing.</p> <p>Note: This applies to a slaughterhouse which further processes the carcasses by cutting into parts or portions. The same applies to fish. It also applies if the organization de-heads, de-guts, as well as further processes into fillets.</p>
Processing of perishable animal products	<p>Processing and packaging of animal products</p> <p><u>Activities / Processes examples:</u> Deboning, cutting, sorting, washing, pasteurizing, trimming, curing, fermentation, smoking, freezing, chilling, cooling, scalding.</p> <p><u>Final product examples:</u> fish, fish/seafood products, meat, poultry, eggs, and dairy products requiring chilled or frozen temperature control and pet food from animal products only.</p>

Scope	Example of included activities and products
<p>Processing of perishable plant-based products</p>	<p>Processing and packaging of plant-based products</p> <p><u>Activities / Processes examples:</u> De-shelling, cutting, dicing, slicing, pasteurizing, roasting, scalding, peeling, de-husking, chilling, freezing and final product.</p> <p><u>Final product examples:</u> fruits and fresh juices, vegetables, grains, nuts and pulses, plant-based meat and dairy substitutes, frozen water-based products, pet food from plant products only.</p>
<p>Processing of perishable animal and plant products (mixed products)</p>	<p>Processing and packaging of mixed animal and plant products</p> <p><u>Activities / Processes examples:</u> Mixing, cooking, packing, ensemble cooling, chilling, freezing</p> <p><u>Final product examples:</u> mixed products, pizza, lasagna, sandwich, dumplings, ready-to eat meals. Includes off-site catering kitchens, products of industrial kitchens not offered for immediate consumption and pet food from mixed products.</p>
<p>Processing of ambient stable products</p>	<p>Processing and packaging of food products from any source that are stored and sold at ambient temperature.</p> <p><u>Activities / Processes:</u> Mixing, cooking, packing, bottling, brewing, drying, pressing, milling, blending, roasting, refining, ensemble, distilling, drying, canning, pasteurizing, sterilization.</p> <p><u>Final product examples:</u> canned products, biscuits, bread, snacks, oil, drinking water, beverages alcoholic and non-alcoholic, pasta, flour, sugar, food-grade salt, dairy products with long shelf life, margarines, ambient stable pet food.</p>
<p>Catering/ food service</p>	<p>Open exposed food activities such as cooking, mixing and blending, preparation of components and products for on-site direct consumer consumption or take away.</p> <p><u>Examples include</u> restaurants, hotels, food trucks, institutions, workplaces (school or factory cafeteria), including retail with on-site preparation (e.g., rotisserie chicken). Includes reheating of food, event catering, coffee shops and pubs.</p>
<p>Processing of feed and animal food</p>	<p>Processing feed material intended for food and non-food producing animals not kept in households, e.g., meal from grain, oilseeds, by-products of food production. Processing feed mixtures, with or without additives, intended for food-producing animals, e.g., premixes, medicated feed, compound feeds.</p>
<p>Retail / Wholesale</p>	<p>Storage and provision of finished products to customers and consumers (retail outlets, shops, wholesalers). Includes minor processing activities, e.g. slicing, portioning, reheating.</p>
<p>Brokering / Trading</p>	<p>Buying and selling products on its own account without physical handling or as an agent for others of any item that enters the food chain.</p>
<p>Transport and Storage services</p>	<p>Storage facilities and distribution vehicles for: perishable food and feed where temperature integrity shall be maintained, for ambient stable food and feed and for food packaging material. Relabelling/repackaging. Manufacturers, caterers, or retailers/wholesalers who also provide storage and/or transport activities to organizations other than their own site.</p>

Scope	Example of included activities and products
Services	<p>Services provisioned related to the safe production of food and feed, including water supply, pest control, cleaning services and waste disposal.</p> <p><i>Note: There are many different types of services that can be provided in the food chain. Some of these services can fall outside the scope of a certification that includes FSMS. If the organization/ service is susceptible to introduce a food safety hazard within the food chain, the service can be considered within the scope.</i></p>
Production of Food Packaging and Packaging Material	<p>Production of packaging material in contact with food, feed and animal food. May include packaging produced on-site for use in processing.</p>
Equipment	<p>Equipment for food, feed or packaging processing, vending machines, kitchen equipment, processing utensils, filters, hygienic design of equipment and facilities.</p>
Production of Bio/chemicals	<p>Production of food and feed processing aids, additives (e.g. flavourings, vitamins), gases and minerals. Production of bio-cultures and enzymes.</p> <p>Products OUTSIDE of the scope of the standard: Intended Non-food/feed use is not covered by HACCP and GMP such as pesticides, drugs, fertilizers and cleaning agents. If the product is classified as a pharmaceutical or medical product under the legislation, then it is outside the food scope.</p>

Note about hemp products: Where a (hemp-derived) product is legally permitted to be manufactured and sold as a food/feed/packaging product or an ingredient, it is allowed to be certified to HACCP and GMP. Products produced for medicinal or therapeutic use are excluded from the scope of certification. BSI shall determine the scope of organizations manufacturing (hemp-based) products before certification to ensure that they fall within the HACCP and GMP scope of certification and meet any related legal requirements.

4 Application process

BSI will require completion of an official application form PP1285 BSI Service Request Form – Food and Retail Supply Chain signed by an authorized representative of the applicant site. It is the responsibility of the applicant site to ensure that adequate and accurate information is shared with BSI about the details of the applicant site.

5 Certification agreement

BSI will have a legally enforceable agreement with your organization for the provision of the BSI HACCP and GMP certification activities in accordance with the relevant requirements.

6 Audit planning

Your site is required to make all necessary arrangements to allow the certification activities to take place in accordance with the Scheme requirements.

7 Certification cycle

A 3-year certification cycle shall be applied to HACCP and GMP. The audit frequency shall be annual surveillance audits with a three yearly recertification audit.

The first 3-year certification cycle begins with the initial certification decision. Subsequent cycles begin with the recertification decision. Surveillance audits shall be conducted within the calendar year following the audit month (Recurring audit month RAM) for which the certification took place.

Recertification audits shall take place following RAM and in a timely manner (when RAM deviation is needed) allowing enough time for the certification process to be completed prior to the expiry of the certificate.

If your operation is seasonal, the certification audit is required to be completed during the seasonal production so that processes and product/s can be verified onsite.

The RAM is determined by counting 4 months before expire certificate date. When needed, RAM deviation may be applied provided that the requirements of this scheme for planning the audits are followed.

8 Certification and audit process

HACCP & GMP certification cannot be transferred from one certification body to another because the audit criteria between certification bodies are different.

The HACCP and GMP audit criteria include the requirements as below. They are described in detail on PP142 HACCP and GMP certification Criteria. [BSI HACCP Certification and GMP Certification | BSI Australia \(bsigroup.com\)](#)

There are three types of certification available:

- HACCP and GMP
- HACCP (only)
- GMP (only)

For organizations requiring certification to HACCP only or GMP only compliance to the modules and clauses are listed in Table 1 below.

Table 1 – HACCP and GMP Modules

HACCP & GMP Certification	HACCP certification (only)	GMP certification (only)
<ul style="list-style-type: none"> • Module 1 • Module 2 • Module 3 	<ul style="list-style-type: none"> • Module 1 • Module 2 • Including additional elements of (but not limited to) – • 3.3 Approved Supplier Program • 3.4 Specifications • 3.5 Labelling • 3.11 Recall • 3.20 Training 	<ul style="list-style-type: none"> • Module 3 (only) • Including additional elements for – • 1.1 Management Commitment • 1.5 Document Control

BSI certifies conformance to a management system standard (HACCP and GMP) which includes requirements for compliance with legislation and regulatory requirements, however BSI is not conducting a compliance audit and, therefore, cannot certify legal compliance.

8.1 Pre-certification assessment (not mandatory)

Pre-certification assessment is an optional assessment which can be requested to audit elements of your system prior to the HACCP and GMP certification audit. It does not contribute and is not part of the certification process, being obligatory be kept independent from the certification process.

8.2 Initial and continuing certification activity

The purpose of an initial certification audit is to evaluate the implementation, including effectiveness, of your organization's system. The certification audit is an on-site audit, and it will include the auditing of: all HACCP and GMP requirements; performance monitoring, measuring, reporting and reviewing against key performance objectives and targets, the management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements; operational control of the client's processes; internal auditing and management review and management responsibility for policies.

For initial certification audits, it is necessary to assess all groups of products with different processing systems. Ideally at least three (3) months of production records will be available for an auditor to review to determine the implementation of the Food Safety Management System.

Each annual surveillance audit is a full audit. Surveillance audits will be conducted within the calendar year to ensure that your organization's management system continues to fulfil the requirements and that certification integrity is maintained.

A re-certification audit is a full audit to confirm the continued conformity and effectiveness of the system against HACCP and GMP requirements and its continued relevance and applicability for the scope of HACCP and GMP certification.

The re-certification activity will include the review of previous surveillance audit reports, consider the performance of the system over the most recent certification cycle and address the following: effectiveness of the system in its entirety in context of internal and external changes to the client's organization and its continued relevance and applicability to the scope of certification; effectiveness of the system with regard to achieving the certified client's objectives and the intended results of the respective FSMS; demonstrated commitment to maintain the effectiveness and improvement of the system in order to enhance overall performance.

Where your organization seeks to exclude any products processed or handled on site, the request for exclusion must be submitted to BSI in writing prior to the certification audit (or reduction of scope audit), explaining the reason for exclusion. If approved, the product excluded shall be listed in the audit reports.

8.3 Unannounced program

There is no unannounced audit requirement for HACCP and GMP certification. Unless HACCP and GMP is completed with multi standard integrated audits (GFSI or ISO 22000) which have the unannounced requirement.

8.4 Non-conformance management

All non-conformances raised in a HACCP and GMP audit shall be addressed by your organization. A copy of the nonconformance summary will be provided to your organization at the closing meeting. All non-conformances will be clearly stated, identifying the objective evidence on which the nonconformance is based and be supported/justified, clearly identifying why the requirement has not been met.

The non-conformances will be graded in 3 levels being minor, major and critical.

Note: Observations may be raised during HACCP and GMP audits. Observation is statement of fact made by the auditor referring to a weakness or potential deficiency in the system related to scope being certified which, if not improved, may lead to a nonconformity in the future.

Level of NC	Non-conformance definitions and required actions
<p>Minor</p>	<p>Minor non-conformances are where the requirements of the standard have partially not been met. It could be that a procedure has not been fully documented or implemented or during the premise inspection issues may have been identified that do not present a direct risk to the product.</p> <p>The CAP for minor shall be submitted within 21 calendar days (from the last day of the audit) by the client and the BSI auditor shall approved it within 28 calendar days (from the last day of the audit). The completion/effectiveness of the actions will be verified at the next audit.</p>
<p>Major</p>	<p>Major non-conformances are raised where the requirements of the standard have not been met. It could be that a procedure has not been documented or implemented, there have been CCP failures that have not been identified or during the premise inspection issues were identified where there is a direct risk to the product. This may be one incident or the combination of several lesser issues.</p> <p>These shall be closed out within 28 calendar days of completion of the on-site audit to enable certification to be granted or continued. Major non-conformances may require the auditor to return to your site to verify implementation of the organization's corrective action. A major non-conformance can only be closed out when the auditor has seen objective evidence that the corrective action has been taken.</p> <p>Note: your Organization must submit the CAP within 21 calendar days (from the last day of the audit).</p>
<p>Critical</p>	<p>A critical non-conformance is raised if issues directly relating to the legality of the product is identified (i.e. undeclared allergen or preservative level above the legal limit or positive pathogen result in product).</p> <p>Certificate shall be suspended when Critical NC are raised.</p> <p>The CAP shall be submitted within 14 calendar days (from the last day of the audit) and the BSI auditor shall approved the proposed CAP within 21 days.</p> <p>Your organization has the suspension period to implement the proposed actions. The suspension can only be lifted once the CAP is fully implemented.</p> <p>Depending on the nature of the non-conformance, BSI may be obliged to notify local/country health authorities, regulatory agencies or associated bodies. This process will be communicated with your organization to ensure that the process and the ramifications at the time of the audit are understood.</p>

9 Audit reporting requirements

BSI auditors complete a checklist while on site. This documents the objective evidence that has been sighted during the audit and provides guidance for the auditor to ensure that all areas of the standard are covered. At the conclusion of the audit the auditor will present the findings and will leave a copy of the non-conformances. This may be in either hard or soft copy.

BSI undertakes an extensive technical review of audit reports and there may be occasions when the grading of a non-conformance is revised based upon discussions with the BSI Technical and Compliance Department.

The audit report shall contain objective evidence of all activities in the scope statement. The audit report is to be treated confidentially by BSI but can be made available to the relevant food safety authorities when requested and upon approval by your organization.

Both the procedural and operational conditions of the Food Safety Management System (FSMS) shall be verified, to assess the effectiveness of the FSMS meeting the HACCP and GMP requirements and reported.

The audit report shall provide an accurate, concise, and clear record of the outcome of the evaluation to enable an informed certification decision to be made. In addition, audit findings, will reference evidence and conclusions consistent with the requirements of the type of audit.

In exceptional cases, certain requirements can be deemed to be N/A. Where a requirement is deemed to be N/A then a suitable justification shall be recorded in the relevant section of the audit report.

10 Certification decision

BSI is responsible for, and retain authority for, its decisions relating to certification, including the granting, refusing, maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring following suspension, or withdrawing of certification.

11 Certificate and audit report ownership

A (certified) organization is the owner of an audit report (regarding the decision about who the report may be shared with), whilst BSI is responsible for the report data and therefore holds the ownership of the audit report content.

A (certified) organization is the certificate holder, not the owner. BSI is the data owner of the certificate data.

12 Auditing and certification status information

BSI may have to share the information of your organization relating to the certification and auditing process with the governmental authorities when required.

13 Other persons attending the audit

It is a condition of undertaking an audit that the auditor may be accompanied by other personnel for training, assessment or calibration purposes. This activity may include:

- training of new auditors by BSI;
- witness audits by BSI;
- use of technical expert and/or translator and/or observers.

By accepting the BSI contract your organization agrees to cooperate with such process.

14 Scheme Owner platform/database management

BSI maintains a register of certified sites and its status of certification. This register is publicly available on the [BSI website](#).

15 BSI audits and communication

BSI reserves the right to conduct additional audits (once certified) in response to complaints and/or as part of the routine Scheme Owner compliance activity to ensure the integrity of the Scheme. Such visits may be announced or unannounced. The certification status may be affected in the event that access to any parts of the site or process or requests is unreasonably refused.

BSI may contact your site directly in relation to its certification status or for feedback on BSI performance or investigation into reported issues.

16 Communication obligations

Your organization has the obligation to communicate with BSI within three working days the following:

- any significant changes that affect the compliance with the Scheme requirements and obtain advice from BSI in cases where there is doubt over the significance of a change;
 - Serious events that impact the certified system, legality and/or the integrity of the certification, including situations that pose a threat to food safety or certification integrity as a result of Force majeure, natural or man-made disasters (e.g., war, strike, terrorism, crime, flood, earthquake, malicious computer hacking, etc.). BSI shall be contacted within three working days through critical.food@bsigroup.com.
 - Changes to organization name, contact address and site details;
 - Changes to organization (e.g., legal, commercial, organizational status or ownership) and management (e.g., key managerial, decision-making, or technical staff);
 - Major changes to the certified system, scope of operations and product categories covered by the certified scope (e.g. new products, new processing lines, etc.);
 - Any other change that renders the information on the certificate inaccurate.
- Any claim or threatened claim against BSI, any member or auditor has performed or is in the course of performing an Audit.
 - Serious situations where the integrity of the certification is at risk and/or where BSI can be brought into disrepute. These include, but are not limited to:
 - notice and actions imposed by regulatory authorities as a result of a food safety issue(s), where additional monitoring or forced shutdown of production is required;
 - legal proceedings, prosecutions, malpractice, and negligence; and
 - fraudulent activities and corruption.
 - food safety events/product safety incidents (e.g., recalls, withdrawals, calamities, food safety outbreaks etc.).
 - In case your organization is affected by a product safety incident, BSI shall be notified within 03 working days through food.recall@bsigroup.com from the date of the incident.
 - The information related to the product incident will be evaluated and BSI will decide the course of action regarding action needed as well as the status of the certification.
 - Related definition as follows:
 - Product safety incident: Food safety, authenticity or legality incidents, including product recalls, regulatory notice, food safety-related withdrawals or any other incidents affecting the safety of product.
 - Product Recall: The removal by a supplier of product from the supply chain that has been deemed to be unsafe and has been sold to the end consumer or is with retailers or caterers and is available for sale (Ref: GFSI Benchmarking Requirements _Version 2020.1).
 - Regulatory notice: Any notice (related to the scope of the certification), filing or other documentation required to be submitted to an Applicable Authority with respect to any Regulatory Clearance.
 - Product Withdrawal: The removal of product by a supplier from the supply chain that has been deemed to be unsafe, which has not been placed on the market for purchase by the end consumer (Ref: GFSI Benchmarking Requirements _Version 2020.1)

Notifiable product safety incidents: Any product safety incidents related to a product which is within the scope of your site's certification that will be communicated to BSI as described in the following section. It includes cases where the product has already been consumed and therefore the client cannot recall/ withdraw the product.

17 Complaints and appeals

Please refer to BSI website for information related to complaints and appeals, including timeline and communication channel: [Complaints and appeals](#).

18 BSI Impartiality

Impartiality is the governing principle of how BSI provides its services. Impartiality means acting fairly and equitably in its dealings with people and in all business operations. It means decisions are made free from any engagements of influences which could affect the objectivity of decision making.

Find detailed information [here](#).

19 Misleading statement

Your organization is not permitted to use its certification in a manner that could bring BSI or scheme owner into disrepute. This includes making misleading or unauthorized statements.

20 BSI Mark of Trust and BSI HACCP and GMP Logo rules

The guideline related to access the marks and the related rules for logo use is available [here](#).

Contact us
[bsigroup.com](https://www.bsigroup.com)

