About the SALSA Interpretation Guide

This Interpretation Guide is designed to give SALSA Members an important tool for meeting the requirements of the SALSA Standard. It provides further information for each requirement:

- **What should be done to comply with this Requirement?** A detailed explanation is provided, with examples of how to comply
- **How can I demonstrate this?** Explains what evidence you could keep to show that you meet each requirement

As the SALSA Standard is built on legal requirements plus elements of industry ‘best practice’, many SALSA members will have some, or even most, of the requirements for the SALSA Standard already in place. It will not usually be necessary to ‘start from scratch’ and members are encouraged to use their existing systems if they are working well and effectively, and then to use the Interpretation Guide to add, adapt or modify as necessary.

The guidance is not exhaustive and there is an assumption that members are aware of all the food regulations applying to their products (e.g. labelling, weights and measures, general food hygiene regulations, temperature control regulations etc) including any specific requirements applicable to their own operation.

Members are expected to be aware of, and to comply with, any Codes of Practice, Best Practice Guidelines etc, from their sector-specific trade associations. Any other requirements which have been imposed by Local Authorities via Environmental Health or Trading Standards Officers, or other relevant regulatory bodies should also be complied with.

### SALSA offers a range of support services and resources to assist in gaining Approval:

- **Mentoring**
  - SALSA-approved mentors can be found through the Mentors’ Directory on the SALSA website
- **Tools & Tips**
  - Where these exist, they are indicated by the Tools & Tips logo in the Interpretation Guides
- **SALSA Training Courses**
  - Interactive courses aimed at the needs of small businesses - including HACCP, Food Labelling, Allergen Management and Microbiolog
- **Telephone Helpline**
  - ‘In person’ advice available from 9.00-5.30 Mon-Fri

### Success with SALSA

SALSA certification is only granted to small and micro producers who can demonstrate that they are able to produce safe, legal food and drink, and are committed to continually meeting the requirements of the Standard. Joining the SALSA Scheme and implementing the standard, supports the development and maintenance of an effective food safety culture.

**Food Safety Culture** encompasses ‘the attitudes, values and/or beliefs which are prevalent at the site, relating to the importance of product safety and the confidence in the product safety systems, processes and procedures used by the site. This includes;

- Leadership, strategy and a plan to ensure the production of safe food consistently
- Awareness, engagement and commitment of all employees in the importance of safe production and distribution of food
- Clear communication and understanding of roles and responsibilities and their interactions for all employees in the food business
- Maintaining the integrity of the food safety management system, through verifying controls in a timely and efficient manner and documentation is up to date
- Continual improvement of the food safety management system, taking into account changes and developments in science, technology and best practices.
- Availability of sufficient resources and facilities to ensure the consistent, safe and hygienic handling of food.

See SALSA’s guide ‘Success with SALSA - Food Safety Culture’ for more information

Use SALSA’s **Self-Assessment Checklist alongside the Interpretation Guide, Glossary and Tools & Tips**

- As a gap analysis to help you prepare for a first SALSA audit
- To help you prepare for your SALSA renewal audit
- To record your annual Food Safety Systems Review (see SALSA Requirement 3.1.1)
- As a plan to measure and improve your Food Safety Culture
SECTION 1 - PREREQUISITE CONTROLS

Statement of Intent: Prerequisite food safety controls shall be identified, documented, implemented, legally compliant and maintained throughout the business. Staff are aware of the impact they can have on achieving and maintaining SALSA certification. Roles and responsibilities are clear and the business management provides sufficient resource for an effective prerequisite control programme throughout all aspects of the business.

1.1 Training and Supervision
1.2 Personal Hygiene
1.3 Cleaning
1.4 Allergen Management
1.5 Process, Environment and Equipment Control
1.6 Control of Suppliers and Raw Materials
1.7 Stock Control
1.8 Waste Control
1.9 Pest Control
1.10 Equipment
1.11 Maintenance
1.12 Vehicle Management, Storage and Distribution

SECTION 2 - HACCP

Statement of Intent: The business management shall provide resource to enable and maintain the food safety system. All hazards to product safety and legality shall be identified, analysed and assessed for risk. A documented HACCP (Hazard Analysis and Critical Control Point) system, based on Codex Alimentarius HACCP principles, shall be in place and regularly reviewed.

2.1 HACCP Scope and Team
2.2 Product Description
2.3 Intended Use
2.4 Process Flow Diagram
2.5 Hazard Analysis
2.6 Control Measures / Prerequisites
2.7 Risk Assessment
2.8 Critical Control Points
2.9 Critical Limits
2.10 Monitoring Procedures
2.11 Corrective Actions
2.12 Verification
2.13 HACCP Documents and Records
2.14 HACCP Review
2.15 HACCP Personnel

SECTION 3 - MANAGEMENT SYSTEMS AND DOCUMENTATION

Statement of Intent: An effective management system encompassing regular system reviews, procedures for corrective action, complaints, traceability, labelling control, incident management and product testing shall be in place and continuous improvement can be demonstrated. Documented systems, specifications and procedures relating to the business’s food safety and quality systems shall be clear, organised and accessible.

3.1 Food Safety Systems Review
3.2 Non-Conformance Investigation and Corrective Action
3.3 Traceability
3.4 Managing Incidents
3.5 Document Control
3.6 Manufacturing and Finished Product Specifications
3.7 Labelling Control
3.8 Product Shelf-Life and Product Testing

SECTION 4 - PREMISES, LAYOUT AND STRUCTURE

Statement of Intent: Premises and building structure shall be fit for purpose, clean, maintained, designed to minimise the risks of cross contamination, secure and legally compliant, meeting product security, production and staff requirements. Premises shall be registered with, or approved by, the appropriate authority.

4.1 Premises Approval
4.2 External Areas and Product Security
4.3 Site Layout and Methods of Working
4.4 Building Structure, Services and Fabrication
SECTION 1 - PREREQUISITE CONTROLS

Statement of Intent

Prerequisite food safety controls shall be identified, documented, implemented, legally compliant and maintained throughout the business. Staff are aware of the impact they can have on achieving and maintaining SALSA certification. Roles and responsibilities are clear and the business management provides sufficient resource for an effective prerequisite control programme throughout all aspects of the business.

What does a ‘Statement of Intent’ mean?

The Statement of Intent summarises the overall aim of the section that follows. The SALSA auditor will check each requirement during an audit. Should the auditor find that there is a substantial failure to meet the requirements of the section, it is likely that the supplier will also fail to comply with the overall Statement of Intent and result in the audit being converted to a mentoring visit.

1.1 Training and Supervision

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| 1.1 | A training procedure and records shall be in place to provide evidence that all staff can competently carry out their specific job function. | Food handlers and site personnel should be trained and instructed to a level so they can effectively carry out their work activities to make safe food and comply with the standard. You should be able to demonstrate how you achieve this. The documented training procedure should include induction and refresher training for all staff (see 1.1.3). A training matrix may help to show the range of training required. Training requirements should include:  
  • Induction Training  
  • Health Questionnaire / Screening  
  • Personal Hygiene Rules  
  • CCP monitoring - for those responsible for monitoring Critical Control Points (activities crucial to the safety of the product being made - you will have identified your Critical Control Points in Section 2, HACCP).  
  • Working instructions (see 3.6.3)  
  • Allergen management (see 1.4)  
  • Labelling - for those responsible for labelling and packaging controls (see 3.7)  
  • Site GMP Standards (foreign body control, pest control awareness, pest control measures, cleaning standards)  
Consideration should be given to the language skills of food handlers and site personnel. Provide signage and critical information in additional languages if necessary. Retain staff training records for the period of employment plus the shelf life of any product they have been involved with, where the period of employment is shorter than this (see 3.5 Document Control).  
Competency can be demonstrated via observation, short tests or simply by experience for staff monitoring Critical Control Points, labelling controls and allergen management. Records can include: type of training, relevant procedure or work instruction or record sheet used, the training date, name of trainer and trainee, signatures to confirm understanding. | Have a training procedure that covers all the requirements in this section (1.1)  
Keep:  
- records of Induction Training which should include company rules for personal hygiene (1.2) and the legal requirements for health screening.  
- an Induction Checklist that helps to ensure all relevant points are covered.  
- up to date training records to provide evidence that each employee is competent for the tasks assigned.  
- check competency as part of the Housekeeping Check (see 1.3.1) by observing how tasks are performed and records completed. |
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| 1.1.2| Temporary personnel shall be trained commensurate with their activity prior to starting work. Records shall be kept. | All temporary personnel entering a food-handling area should go through induction training prior to entering the production area and/or starting work.  
The amount of training required will depend on the nature of the work activity but in all cases, should include:  
  • Personal Hygiene Rules  
  • Health questionnaire / screening - approval to enter food handling areas is granted based on the responses (see 1.2.12).  
  This training can be simple, from a graphic illustration of the work involved to 1-to-1 training.  
  Training should take account of the protective clothing changing routine expected prior to entering and re-entering any high care/high risk area (see 1.2.4). | Keep:  
  - training records for each temporary member of staff.  
  - completed and signed off site personal hygiene rules and health questionnaires.                                                                                                                                                       |
| 1.1.3| A programme and records of annual refresher training shall be in place for food handlers and key staff. | Training should be viewed as an ongoing activity with planned update/refresher training carried out at specified intervals. You shall review training annually.  
  This may be carried out as part of your Internal System Review (see 3.1.1) and should be carried out after a customer complaint, food safety incident, withdrawal or recall. | Include refresher training in the Training Procedure.  
  Keep:  
  - refresher training records                                                                                                                                                                                                                                               |
| 1.1.4| All personnel shall be adequately supervised throughout the working period. | Supervision should be available and will depend on the size and type of business, the complexity of processes and the level of staff competency.  
  It may be necessary to supervise personnel who are responsible for Critical Control Points (activities crucial to the safety of the product being made), product labelling and allergen management until there is evidence that they are fully competent.  
  Define how supervision is organised in the Training Procedure and see HACCP 2.15. | Keep:  
  - records to show when and where supervision has been required.                                                                                                                                                                                                       |
### 1.2 Personal Hygiene

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| 1.2.1 | A personal hygiene procedure shall be in place with controls to reduce the risk of contamination from personnel and personal items. It shall be evident that these rules are understood and implemented by all personnel to prevent product contamination. | The personal hygiene procedure should include rules for:
- Hand cleaning which should always be performed before handling food, after visiting the toilet and thereafter at a frequency that is appropriate to product risk (see 1.2.6).
- Smoking should be effectively controlled and isolated from production and storage areas. This applies to electronic cigarettes and other smoking apparatus. If smoking is allowed on site, designated smoking areas should be provided, isolated from outside production and storage facilities and legally compliant i.e. walls to be more than 50% open. Protective clothing should be removed before a smoking break.
- All hair, including beards and moustaches, should be fully contained in a hair covering or beard snood to prevent product being contaminated in open food production and storage areas. Establish your definition of a beard and include this in your hygiene rules such as ‘not pinchable’.
- Disposable hair coverings are better than washable versions for hygiene reasons.
- Perfume or aftershave should not be worn; fingernails should be kept short, clean and unvarnished. False fingernails and false eye lashes should not be permitted. Consider also the wearing of make-up which may flake off e.g. face glitter.
- The business should detail how personal items such as essential medicines, keys, mobile phones, devices and tablets are controlled so that they pose no risk of product contamination.
- Jewellery should not be worn other than a plain wedding ring, religious band or medical device.
- If you allow medicines on site, you should make provision for their safe storage and use.
- Work keys and communication devices or scanners should be effectively controlled in production and storage areas.
- All cuts and grazes on exposed skin should be covered by a blue plaster that is business-issued, logged and monitored to ensure safe disposal or return. Blue metal-detectable plasters are easily available.
- There should be a record of plaster issue and checking in place to make sure that all plasters are accounted for and traceable in the event of loss during food handling duties. If a metal detector is used to check finished product, then plasters should be metal detectable and the machine should detect them. | Document the Personal Hygiene Procedure/Hygiene Rules. All of section Personal Hygiene (1.2) can be included in one document.
Use the site plan (4.3.1) to decide who wears what and where.
Train staff in line with these rules and keep records.
Ask staff to sign they have read and understood the Personal Hygiene Rules.
Include personal hygiene rules as part of a daily check sheet.
Observe and record if rules are being followed during the Housekeeping Check (see 1.3.1)
Use signage and/or display the Personal Hygiene Rules.
Log / record of blue plasters issued and monitored. |
### 1.2.2 Suitable workwear shall be worn by employees, visitors, contractors working in, or entering food handling/storage areas. Protective clothing shall be suitable for the food being handled and shall not pose a contamination risk to the product. Clothing shall be changed as necessary and laundered hygienically. Disposable protective clothing, if used, shall be controlled to avoid product contamination.

**What should be done to comply with this Requirement?**

- Workwear (see Glossary of Terms) should be appropriate to the type of products you are handling. Monitor the items to ensure they stay in a clean condition and in good repair.
- Consider how frequently you need to change workwear depending on the risk of contamination to goods from soiled clothing.
- Protective clothing (see Glossary of Terms) including footwear should be appropriate to the type of products you are manufacturing. Monitor protective clothing and footwear to ensure they stay in a clean condition and in good repair. Disposable hair coverings are better than washable versions for hygiene reasons.
- Control changing of protective clothing, an external laundry is preferable. If carried out on site or in staff homes a written procedure should detail the requirements for washing e.g. wash to at least 60°C, using unscented detergent appropriate for food environments. Control drying to avoid (cross) contamination.
- Ensure there are systems and facilities in place for the effective cleaning of footwear, Hi-Viz clothing, outer coats etc.
- Where disposable clothing is used e.g. Hair nets, beard snoods, dust coats, overalls, gloves, sleeves, aprons, protective footwear. Make it clear where to collect it from and where to dispose of it. This can be done with good signage, suitable dispensers, bins.

**How can I demonstrate this?**

- Include rules for workwear and protective clothing and changing in the Personal Hygiene Procedure/Hygiene Rules.
- Use the site plan (see 4.3.1) to decide who wears what and where.
- Observe and record if clothing is being worn correctly during the Housekeeping Check (see 1.3.1).
- Procedure for on-site or home laundry requirements.
- Keep Staff training records.

### 1.2.3 Where protective clothing is required, designated changing facilities shall be provided for all personnel, whether staff, visitor or contractor, prior to entry to food handling/ storage areas. Protective clothing shall be stored physically separate from outdoor clothing.

**Changing facility:**

- Personnel should not change into protective clothing or footwear in the toilet cubicle area, intervening space or the processing/production area. Separate, designated changing room(s) or changing area(s) should be used (see 4.4.4).
- Store protective clothing and footwear physically separate from outdoor clothing.
- Do not store clothing in the toilet cubicle area or intervening space.

**Outline the changing procedure in your Personal Hygiene Procedure/Hygiene Rules and place a notice in the changing room(s) to remind staff about the correct changing procedures and how to wear protective clothing provided.**

To minimise the risk of loose hair falling on protective clothing, hair coverings should be put on before other protective clothing and over ears and removed last.

Use photos and/or signage. Train staff at induction (see 1.1.1 and 1.1.2).

**How can I demonstrate this?**

- Use the site plan 4.3.1 to show location of the changing facilities.
- Procedure for changing into and out of protective clothing / workwear.
- Keep training records.
- Observe and record if clothing is being worn correctly during the Housekeeping Check (see 1.3.1).

### 1.2.4 For the production of High Risk/High Care products, a procedure shall be in place that describes the type of protective clothing to be worn, how to wear it and the order of changing when entering or leaving the designated changing area.

**High risk/High Care businesses (See Glossary of Terms).**

- Include the ‘changing’ procedure in the Personal Hygiene Procedure/Hygiene Rules for the High risk/High care areas.
- Staff training should cover the protective clothing changing routine expected prior to entering and leaving the high risk/high care area.
- Ensure staff understand the changing rules. Photos and signage can help to remind staff about the correct changing procedures and be used for training.

Use the site plan (4.3.1) to understand the people flow in and out of High risk/High care areas.

**How can I demonstrate this?**

- Keep:
  - staff training records
  - signage/photos displayed to remind staff
  - a site plan on which the High risk/High care areas are clearly shown.
  - records to show supervision and monitoring of this procedure.
- Observe and record if clothing is being changed / worn correctly during the Housekeeping Check (see 1.3.1).
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<td>1.2.5</td>
<td>The consumption of food and drink should not be permitted within food production and storage areas.</td>
<td>Rules relating to where food and drink can and cannot be consumed should be included within the personal hygiene procedure. (see 1.4.1 for allergen controls)</td>
<td>Use the site plan (4.3.1) to help clearly identify areas where eating and drinking is and is not permitted and also where product tasting can occur. Keep staff training records for product tasting and competence. Records of tasting / organoleptic testing.</td>
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| 1.2.6 | Hand cleaning shall always be performed before entering production, handling food, after visiting the toilet and thereafter at a frequency that is appropriate to minimise risk to product. | Staff should be trained how to wash their hands. State what hand cleaning is expected. Hands should be washed thoroughly:  
- Before starting work (including after every break)  
- Before handling food  
- After using the toilet  
- After handling raw foods or waste  
- After eating and drinking  
- After smoking/vaping  
- After cleaning  
- After sneezing, coughing and blowing the nose.  
Handwashing can be followed by use of hand sanitisers. Hand sanitisers alone are not as effective as hand washing on dirty or greasy hands and should therefore not be relied upon in isolation. If nailbrushes are used, they should be plastic, in good condition, clean and kept in a sanitising solution which is regularly replaced. Document handwashing as part of the Personal Hygiene Procedure/Hygiene Rules and include in induction training (see 1.1.1 and 1.1.2). Use signage to remind staff. Observe and record if handwashing rules are followed during the Housekeeping Check (see 1.3.1). |
| 1.2.7 | The business shall have a procedure for establishing the health status of food handlers and for the notification by employees, temporary employees, contractors and visitors of any relevant infectious disease or condition with which they may be suffering or have been in contact with. | If a food handler has a condition to notify, this should be recorded by the business and a risk-based decision made as to whether or not the person is fit to work on food handling duties.  
- For anyone entering the site make it clear that a minimum 48-hour period of symptom free quarantine should follow after any gastro-intestinal illness.  
- Seek advice as necessary from a medical practitioner or your local Environmental Health Practitioner if a longer quarantine period is required.  
- It is advisable to monitor food handlers returning to work after infectious illness.  
- Have systems in place to monitor contractors and visitors to the food premises as well as employees and temporary employees.  
The Foods Standards Agency-issued ‘Food Handlers Guidance: Fitness to Work’ (2009) has a suitable questionnaire (last page) to be used for establishing the health status of prospective employees, contractors, visitors and staff returning from abroad. It gives detailed guidance on action to take in the case of a food handler having an infectious disease. Be aware that there are many diseases and infections common in other countries, particularly in developing countries. Document health screening as part of the Personal Hygiene Procedure/Hygiene Rules and include in induction training (see 1.1.1/1.1.2). Keep: - records using a health questionnaire to ensure health screening for new food handlers or visitors prior to entering site which is authorised by a member of staff. - the same or a similar form for ‘return to work’ health screening questionnaire for employees after illness or extended or unauthorised breaks. |
### 1.3 Cleaning

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| 1.3.1 | All areas of the site shall be visually clean and tidy and the standard of cleaning and housekeeping shall be suitable to minimise the potential for contaminating the product. | Each area should be cleaned and checked in accordance with the cleaning schedules.  
- After cleaning, all areas, should be clean, tidy, organised and uncluttered.  
- Where hoses are used, store on hose racks when not in use.  
- Don't forget to include external areas and waste containers.  
- Consider overhead cleaning.  
- Toilet cleaning should be specifically planned with separate cleaning materials such as coloured mop buckets, disinfectant and cloths.  
- If the same cleaner is cleaning both the processing/storage areas and the toilets, toilets should be cleaned at the end of the cleaning time with no return to the processing/storage areas.  
A regular (daily/weekly/monthly) Housekeeping Check should be used to monitor that cleaning schedules are implemented and effective. The Housekeeping Check is also an opportunity to check that staff are following personal hygiene rules (see section 1.2 Personal Hygiene) and are completing tasks correctly as well as a chance to check equipment and building condition. | Carry out a documented routine check of the cleanliness and tidiness of the premises (Housekeeping Check). |

| 1.3.2 | Documented cleaning schedules, procedures and records shall be in place for the building, services, plant and all equipment whether direct or indirect food contact. | Cleaning schedules should be in place for all equipment and production areas including walls, floors, ceilings and food surfaces and cleaning equipment. Depending on the size and complexity of the business, you may need one schedule or a range of schedules.  
Include in these schedules/procedures/records:  
- All areas of the site to be cleaned: equipment, surfaces (including floors, walls, ceilings, doors), own or rented distribution vehicles and load areas.  
- Cleaning methods which are designed and documented to be fit for purpose (easy to understand) and effective. The methodologies of cleaning used should be validated to confirm they are effective i.e. checking the cleaning methods are effective (see 1.3.4).  
- A two-stage cleaning and disinfection process should be in place. Step 1 = cleaning with a detergent or sanitiser and Step 2 = disinfecting using a disinfectant or a sanitiser.  
- Areas to be disinfected should be clearly specified on the cleaning procedures and the type of cleaning should be appropriate to the food safety risk and the equipment in use in that area.  
- Consider more complex equipment and whether this should be dismantled in order to clean effectively.  
- CIP cleaning (Cleaning In Place) methods will need to be validated to ensure that the concentration of cleaning agents, temperatures, flow rates etc. are effective and that there is no residual cleaning chemical.  
- What chemicals are to be used, dilution rates, water temperature, special instructions (e.g. wearing of protective gloves and goggles).  
- Frequency of cleaning (e.g. after each use, daily, weekly, etc). High level surfaces in a bakery or brewery will probably be cleaned less frequently than monthly.  
- Who will carry out the cleaning and what cleaning equipment will be used (e.g. bucket and disposable cloth, sani-wipes, hose, vacuum.  
- Take into account any allergens or cross contamination risks that may be present in the area / equipment concerned and how cleaning methods minimise the risk of cross-contamination of raw materials, products and equipment.  
- Take into account the use of re-useable cleaning equipment, detail how these items are to be kept clean / disinfected.  
- A format for cleaning records that when completed, will demonstrate that cleaning schedules and procedures are followed (see 3.5.2 Document Control). | Use the site plan (4.3.1) to make sure that all areas including building structure and equipment are included in the cleaning schedules, procedures and records.  
Documented method of cleaning for all equipment and areas.  
Validation of cleaning methods used i.e. how you can demonstrate that the cleaning methods are effective.  
Keep copies of completed records to show the schedules are being followed and that evidence of cleaning taking place is available.  
Keep training records for cleaning schedules / procedures (1.1.1) |
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| 1.3.3 | Documented controls shall be in place to detail the safe and effective use of cleaning chemicals to prevent contamination of product. | Cleaning chemicals shall be fit for purpose, stored securely in closed, labelled containers and used safely according to the manufacturer's documentation.  
  - The type of detergents used will depend on the use, but detergents used for food contact surfaces and equipment should be specifically designed for food use.  
  - Detergents, disinfectants and sanitisers for hand washing, machine washing and clean-in-place should be used in the correct dilutions and according to manufacturers' instructions.  
  - Ensure the shelf life of disinfectants / sanitisers once diluted is followed i.e. refer to manufacturer's instructions in regards to shelf life and specific use of products.  
  - Disinfectants and sanitiser products should comply with the BS EN 1276 or BS EN 13697 standards.  
  - Chemicals which have to be decanted should be transferred into containers which are clearly labelled with chemical name and concentration. Remember to check if diluted disinfectants/sanitizers have a limited shelf-life (acid based).  
  - Unlabelled containers, (including spray bottles) are not acceptable.  
  - Avoid scented chemicals which may cause taint.  
  - Cleaning chemicals should be kept in closed containers, and in a secure storage area or lockable cupboard away from production areas except when in use.  
  MSDS or COSHH data sheets should be readily available. The chemical company will provide these or they may be found online. Check that the name/code on the data sheet matches that on the container label. Keep them available in case of accident or to compare when you are considering changing cleaning chemicals.  
  Manufacturers’ instructions and dilution rates should be followed at all times. You should include a documented method of dilution, stating volume of chemical in stated volume of water in your cleaning procedures and recommended frequency of changing any prepared disinfectant / sanitiser solutions (see 1.3.2)  
  Make sure you have a practicable method of ensuring the correct dilution of each chemical in use. Possible options are:  
  - Use of a measured dosing plunger fitted to the top of the bulk chemical container.  
  - Use of an in-line dosing system connected to the water supply. Ensure the accuracy of any automatic dosing system attached to a utensil or tray washing machine. | Use the site plan (4.3.1) to show where chemicals are stored securely when not in use and where they are permitted to be used.  
  Include checks on labelling of all containers, spray bottles etc as part of the Housekeeping Check (see 1.3.1).  
  Keep:  
  - a list of each chemical used (Control of Substances Hazardous to Health - COSHH Regulations)  
  - a record of checks and any alterations made to in-line dosing systems if used to ensure the correct dose is being achieved.  

For waste chemical see section 1.8
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<td>1.3.4</td>
<td>Verification of the effectiveness of cleaning and disinfecting processes shall be routinely completed. Records shall be kept.</td>
<td>In addition to the House Keeping checks (see 1.3.1), monitoring of the cleaning and disinfection processes should be carried out by visual assessment and recorded. Cleaning records should allow for sign-off by: • Cleaning Operative to confirm cleaning has been carried out. • Management/Supervisor to confirm cleaning meets a satisfactory standard. Where in-line dosing systems or portable dosing units are used: • Set up a routine check and a record to verify that the correct dose strength is being delivered by the system. • Your chemical supplier may be able to help with an independent check of your chemical usage. CIP (clean-in-place) of e.g. vessels, tanks and associated piping should be effective with no residual cleaning chemical. In addition to a visual assessment, consider pH testing of final rinse water using either test paper, a pH meter or a conductivity meter. Flow meters may also be used to ensure that the scavenging pump runs at a faster rate than the feed pump. In addition to visual control, periodic microbiological swab testing, either by an external laboratory or rapid in-house methods e.g. protein swabs, ATP (Adenosine Triphosphate) tests, can be used. Remember to monitor whether dishwashers or other cleaning equipment are working correctly. Consider what the cleaning should achieve. This may be more than removal of soiling and microorganisms - see section 1.4 Allergen Management, 3.7.2 provenance/claims, 4.3.2 site layout and segregation. Ensure you are verifying as appropriate. Ideally, complete trending of results/analysis to help identify problem areas. If you use contract cleaning on site, verification of effectiveness should be completed and the results reviewed by management.</td>
<td>Keep: - records for cleaning verification whether visual assessments only or also for microbiology, allergens, species etc - records that results have been reviewed by senior management and corrective actions taken when required.</td>
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| 1.3.5 | An environmental sampling plan shall be in place for High Risk/High Care areas to test for the presence or absence of Listeria species. Records shall be kept with appropriate action detailed. | In High risk/High care areas, microbiological swab testing should include Listeria species in the environment. See Glossary of Terms, for definition of High Risk/High Care. Describe how, when and where you carry out testing of:  
- Floors and drain covers that, if not cleaned properly, can harbour a build-up of food debris and provide an opportunity for Listeria monocytogenes to thrive and contaminate the production environment.  
- Hand and utensil washing, sinks and taps, that can cross-contaminate if not regularly sanitised  
- Trolley wheels, dollies, footwear - see the site plan in 4.3.1  
- Food contact surfaces (consider swabbing during production as well as after cleaning and between production runs/batches)  
Make a plan for your environmental sampling by area and show sampling points to include food contact and non-food contact points. Determine the time you will take the swabs e.g. during production or after production. The frequency for swabbing shall be determined based on consideration of the previous historical results, perceived risk of the product, nature of product (refer to HACCP product description 2.2) and customer base.  
Describe in the environmental sampling plan what happens when Listeria has been detected and the actions required.  
Indicate results on the plan using a scheme such as green, amber and red colour coding.  
When conducting environmental testing, initially test for Listeria species. If these are detected, the lab will carry out further testing to determine if the issue is the pathogen Listeria monocytogenes.  
There shall be a system of reviewing all results from the laboratory by a suitably qualified person who investigates out of specification results, informs the HACCP Team Leader/Senior Management as required, ensures that a documented corrective action plan is implemented (see 3.2) and that any trends are identified.  
Any indication of out of specification results shall be reviewed immediately by the HACCP team, and a documented corrective action plan put in place (see section 3.2 Non-Conformance Investigation and Corrective Action).  
Review the environmental sampling plan regularly and if the site is redesigned, new equipment used, new process flows or layouts are introduced, or if adverse trends and results occur. Document this review. | Keep:  
- an up-to-date site plan (see 4.3.1) to show the areas where environmental sampling occurs.  
- an environmental sampling plan that shows area, sampling point, frequency of swabbing, date of swabs, results.  
- records to show the plan and results have been reviewed  
- records of corrective action taken in case of Listeria spp detected |
1.4 Allergen Management

1.4.1 Identify all allergens handled on site, or brought on to site, and document the risk of cross contamination.

The allergens referred to are those in Food Information for Consumers Regulations (FICR) - labelling legislation. Use a database or spreadsheet (Allergen raw material matrix) to maintain the list of allergens brought onto site and that should be considered in the risk assessment (including factored goods).

- Use supplier specifications and information (see 1.6.1, 1.6.2) to determine which allergens are contained within or may be contained within a raw material.
- Make a note of any allergens that are present in every single product that is produced. Although these will need to be declared on labelling, they will not need to be controlled for cross-contamination because they are in everything and are not therefore ‘of concern’ examples are gluten sources (i.e. wheat, barley) in all recipes in a bakery, milk handling in all products in a dairy.

The 14 allergens required to be considered are:
Cereals containing gluten: (wheat, rye, barley, oats, spelt, khorasan wheat and their hybridised strains), crustaceans, molluscs, fish, egg, milk, soya, peanuts, tree nuts: (almond, hazelnut, walnut, cashew, pecan, brazil, pistachio, macadamia and Queensland nuts), celery, mustard, sesame seed, lupin, sulphur dioxide and sulphites (and products derived from these).

For each process step from goods in through to dispatch, consider the controls and specific handling/storage segregation in place that prevent the cross-contamination of allergens of concern. This can be done as part of the HACCP risk assessment (see 2.7) or you may prefer to do this separately. This may include:
- Specific storage requirements
- Pre-start up checks
- Product changeover
- Planning scheduling (separation of processes by time)
- Specific cleaning requirements
- Cleaning validation
- Segregation (separation of processes by area)
- Consideration of rework
- Designated equipment/utensils (colour-coded boards, scoops, bowls, sieves)
- Designated PPE (colour-coded aprons, gloves, sleeves)
- Staff allergen training

Staff should be trained in line with the allergen management controls which should also include controls for allergens brought onto site by staff to reduce the risk of cross contamination.
- Check items in snack bars and vending machines on site for allergen content
- Discourage staff from bringing foods containing peanuts, nuts and sesame seeds onto site.

Use the allergen raw material matrix and process cross-contamination assessment to prepare a list of products and the allergens they contain (product allergen matrix) due to ingredients in the recipe or to cross contamination risks that cannot be fully controlled.
- You may decide to adapt recipes by removing allergens of concern where cross-contamination cannot be avoided.
- If it is not possible to avoid cross-contamination by allergens on shared surfaces or equipment, then separate handling and production equipment should be used.
- If risks cannot be fully controlled then apply Precautionary Alibi Labelling ('may contain') cross-contamination warning label to product packaging.

Keep:
- an up-to-date list of allergens handled on/brought onto site (ingredient allergen matrix)
- an up-to-date allergen cross-contamination risk assessment for current products and processes on site (see 4.3.1 site plan)
- an up-to-date list of allergens in finished products (finished product allergen matrix)

Include the allergens on site and rules about allergens in the Personal Hygiene Rules and link this to the Visitor Health Questionnaire (see 1.2.7).
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<td>1.4.2</td>
<td>An allergen management procedure and controls shall be implemented to prevent or minimise the potential for cross-contamination at all stages of production and throughout all processes, from intake to despatch. Records shall be kept.</td>
<td>Write an Allergen Management procedure to describe how you have identified the allergens brought onto site, those of concern and controls to prevent cross-contamination to ensure accurate labelling. In the procedure you should refer to: • Allergens considered • Ingredient Allergen Matrix • Cross-contamination risk assessment • Storage requirements, segregation, factory controls • Finished Product Allergen Matrix • Label checks/label controls • Equipment swabbing / finished product allergen analysis Describe how these controls have been implemented and how they are monitored to be sure they are effective. • Staff should be fully trained in allergen management • Records should be reviewed routinely</td>
<td>Keep:  - records of changes that could affect the allergen status of finished products (new ingredients or recipes or equipment)  - equipment swab results and finished product analysis  - staff training records (see 1.1.1)  - visitors (including contractors) allergen aware records</td>
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<td>1.4.3</td>
<td>Allergen information on labels and labelling shall be legal and accurate.</td>
<td>The allergens referred to are those in Food Information for Consumers Regulations (FICR) - labelling legislation (specific allergens to be identified in ingredients lists for pre packed foods). • Use the finished product allergen matrix/information and outcome of the cross-contamination risk assessment to decide allergen information on labels. • Provide allergen information in the ingredients listing and also sign to allergen information for example, using capitals and/or bold type to emphasise the allergens. • Any precautionary labelling should be consistent with the findings of the cross-contamination risk assessment and with information in the finished product specifications (see section 3.6 Manufacturing and Finished Product Specifications and section 3.7 Labelling Control).</td>
<td>Keep:  - a label check list and approved labels (see 3.7.1).  - records of effective controls to make sure the correct labels are used on products (see 3.7.3)  - staff training records (see 1.1.1, 1.1.2)  - test results for product allergen testing</td>
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<td>1.4.4</td>
<td>Where allergen suitability claims are made for a product, information provided on labels and printed packaging shall be determined using validated accredited methods of testing.</td>
<td>Where you are making 'free from' allergen claims you will need to consider in detail the legality and validity of the claim: • Allergen cross-contamination risk assessment (1.4.1) • Control of Suppliers and Raw Materials (section 1.6) • Validate cleaning methods at a risk assessed determined frequency to demonstrate they are effective at removing allergen residues (see 1.3.4 effectiveness of cleaning) • Carry out external laboratory accredited tests on final products to demonstrate that they are free from the stated 'free from' allergen and comply with legal limits of presence. (See 3.8.2 Finished Product Testing). Typically this should be annually. • A legal label check should reflect the outcome of the risk assessment - see Provenance and Claims 3.7.2 and Labelling controls 3.7.3.</td>
<td>Keep:  - a list of claims  - Allergen cross-contamination risk assessment (1.4.1)  - raw material risk assessment (see 1.4.1 / 1.6.4)  - a label check list and approved labels (see 3.7.1)  - risk assessment for cleaning swabbing frequency  - records to show validation of equipment cleaning  - test results on the finished products  - accreditation schedule for the laboratory used</td>
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# 1.5 Process, Environment and Equipment Control

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<td>1.5.1</td>
<td>Documented process controls shall be monitored to ensure products can be made consistently in compliance with the recipes and finished product specifications.</td>
<td>Identify the process controls e.g. cooking, mixing, pH, drying, proving, maturation, grading that are required to ensure products are made within specification and remain safe for the duration of shelf-life. Some of these controls may be CCP's and will be controlled under your HACCP plan (See Section 2 HACCP) but ensure other non-CCP processes are always also under control. Train your staff to carry out the processes correctly and record appropriate checks.</td>
<td>Document process controls and monitoring records. Keep: training records.</td>
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| 1.5.2 | Documented environmental controls shall be monitored to ensure that facilities are adequate to maintain raw materials, work-in-progress, finished products and packaging within a safe temperature range and where applicable, under controlled humidity, atmospheric or other environmental parameters. | Identify and monitor the environmental controls required to ensure appropriate conditions in processing areas and storage. Keep records of the monitoring. There should be a written recognition of the normal and maximum ‘residence’ time of the raw materials, intermediates and finished products in the various areas of the premises in which they are handled.  
- Temperature monitoring records should reflect the required product specification temperature ranges. For example, process details or recipes should include the Critical Limits of temperature ranges necessary.  
- It is essential that temperatures can be taken easily and methodically.  
- If fridges and freezers have external temperature gauges, then they should be checked for accuracy regularly by taking the internal temperature of the cabinets and contents (see 1.5.4).  
- Include any temperature monitoring requirements during distribution.  
- See 1.6.3 for guidance for Incoming Goods.  
- The storage capacity (for ambient, chilled and frozen storage) should be sufficient for the maximum throughput of product you make and handle, as well as making allowances for cleaning, defrosting etc.  
- Ensure packaging storage areas are controlled. | Have a written procedure to specify how you will deal with maintaining control of temperatures and environmental parameters in your business. Check the format of your written recipes or processes to make sure they cover the details of any critical temperatures or other environmental parameters necessary during storage, handling, and distribution. Have monitoring records which illustrate that these parameters have been met. Records may be automated or manual, digital or analogue. Keep: training records |
| 1.5.3 | In the case of equipment failure, procedures shall be in place to establish the safety status of the product prior to release. | Ensure you document what action should be taken when equipment fails:  
- Include how you check whether it is safe for production to continue or not.  
- Document how you ensure product safety has not been compromised, include details of how product will be quarantined if defined limits have been exceeded (see 3.2.2)  
- Examples of equipment to consider are breakdowns or failures of CIP systems, fridges and freezers, chillers, cooking equipment, pasteurisers, heat exchangers, metal detectors, sealers, dehumidifiers, conditioning tanks etc.  
- Where monitoring relies on electronic sensors, there should be a control mechanism for intervention in case of failure. | Identify relevant equipment. Document the procedure you will follow in the event of this equipment failing. Record incidents and Corrective Action taken (see 3.2.1). |
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| 1.5.4 | Where identified as essential for legality and food safety, environment monitoring devices, such as temperature probes and recorders, and process control devices such as weighing equipment and metal detection, shall be calibrated to ensure accuracy within defined parameters at a predetermined frequency. | This refers only to devices and equipment used to ensure legality and food safety. It is aimed at ensuring they are accurate when compared against internationally recognised standards. ‘Calibration’ is the external testing and adjustment of equipment by the manufacturer or qualified agent. Normally evidence of the calibration is by a certificate valid for 12 months. However, if the manufacturer or qualified agent recommends a different frequency this should be adhered to. You should identify all equipment essential for legality and food safety and keep a list. Your Critical Control Points will also indicate equipment that should be calibrated. This may include thermometers, weighing scales, pH meters, water activity meters (Aw), refractometers, pressure or vacuum gauges, chart recorders, data loggers, volumetric measures, templates for measuring container bottles and weights and metal detectors. External calibration companies will usually affix a sticker that identifies the date calibration took place and/or provide a certificate relating to the equipment tested. Certificates of calibration should be held on file as evidence of calibration having taken place. Alongside calibration you will also need a routine in-house verification system to check the accuracy of these monitoring devices to a documented set frequency. Tolerances should be defined and also what happens when these tolerances are exceeded e.g. send for repair or replace. | Keep:  
- a list of measuring devices essential for food safety and legality.  
- records of calibration for all relevant devices.  
- records of routine in-house verification checks. |

| 1.5.5 | Metal control or detection procedures shall be documented and their operation subject to recorded inspection and/or testing. | Document procedures for controlling metal items in production. The HACCP hazard analysis (see 2.5) should identify where metal is a risk to product. Where knives, cutting/dicing/slicing blades, cheese wires, mills or pegs are in use, identify them on a register and regularly check for presence of breakage or damage or signs of wear which could lead to metal contamination of product. Only the minimum number of knives, blades and utensils should be available for use in production areas. Remove all non-essential items. Those available should be controlled and in good condition. If using a metal detector, there should be a detailed procedure for the operation of the machine, challenge testing method including the sizes of test pieces and frequency of testing. The procedure should also state the action to be taken a) if the detector fails to recognise a test piece, and b) if the detector identifies potential metal contamination in product. It is likely that a metal detector will be a Critical Control Point (see HACCP 2.8). Procedures will include the types and sensitivity of test pieces e.g. Ferrous, non-Ferrous, Stainless Steel. | Keep:  
- records of metal control checks (sharps, blades, knives) which could be on a pre-start up check sheet  
- include metal control/condition as part of the routine check of the premises (see 1.3.1, Housekeeping Check)  
- a record of any metal foreign body customer complaints (see 3.2.3)  
- staff training records |
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| 1.5.6 | All measuring devices and equipment (not covered in 1.5.4) used for monitoring production processes and product quality shall have a documented regular check and be adjusted if necessary. | This refers to devices and equipment not used to ensure legality or food safety. Identify all devices and equipment (apart from that for 1.5.4) used for process control, but which are not essential for legal compliance or food safety. This may include the same types of items listed in 1.5.4 such as thermometers, weighing scales, pH meters, brix meters, refractometers, pressure or vacuum gauges, chart recorders, data loggers and automatic chemical dosing equipment, and those where comparison against international standards is not essential. Carry out a routine verification check to confirm that the identified equipment is sufficiently accurate to ensure your process conditions are under adequate control to maintain product quality within specification. In most cases, it would not be expected that verification includes comparison with calibrated equipment. | Keep:  
- a list of measuring devices that are not essential for food safety and legality but are required to ensure process control  
- records of routine in-house verification checks. |
| 1.5.7 | Procedures for quantity control shall be in place to ensure the product complies with Weights and Measures legislative requirements. | Make sure you have up-to-date information about the aspects of legislation relating to Weights and Measures which applies to, and/or which you are using, for your product(s):  
- Minimum weight or volume  
- Average weight or volume  
- Number  
If the quantity of the product is not governed by legislative requirements e.g. bulk quantities, check that the product conforms to the customer's specifications. Document how you are controlling your product quantities including testing and challenging (refer to Tools and Tips). You should document all the checks you make to ensure compliance with average quantity if that applies. You will also need to record the action taken when product does not comply. | Keep:  
- records for weight control  
- staff training records for quantity control (see 1.1.1) |
1.6 Control of Suppliers and Raw Materials

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<td>1.6.1</td>
<td>A procedure shall be in place detailing how all suppliers of raw materials, including packaging and processing aids, are approved. The approved supplier list shall consider the risks relevant to the supplier and raw materials supplied, be kept current and reviewed annually.</td>
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**What should be done to comply with this Requirement?**

- **Approved Supplier List** - Make a list of your suppliers and the raw materials they supply.
  - This may also include sub-contracted service providers e.g. smoke house, maturation, slicing, pasteurisation (HPP for fruit juices), contract packing, transportation.

- **Risk assessment** - Use a risk-based approach for supplier approval by considering the type and range of raw materials to ensure they are safe and legal.
  - The system and methodology you use should be documented and an explanation given.

  - You may consider:
    - **Type of product and its associated risks**
      - microbiological contamination
      - physical (foreign-body) risks
      - chemical contamination
      - allergen contamination (you may prefer to document this separately see 1.4.1)
      - substitution or fraud (you may prefer to document this separately see 1.6.4)
    - **Source or country of origin**
    - **Valid supplier approval certificate** such as GFSI (BRCGS, FSSC 22000, IFS, SQF, Global GAP) or SALSA.
      - Organic, UK Assured Malt scheme, SIBA, Red Tractor Licencing, cross check the supplier has the appropriate scope, manufacturing address and valid certification. Many certification bodies offer online directories for 'live' checking of certification, accreditation and approval status. These online checkers offer greater accuracy and independent verification of a supplier status. Records of these checks may be held digitally.
    - **Valid specification** (see 1.6.2 specification requirements)
    - **Certificate of analysis (CoA) or conformance (CoC)** provided by the supplier

  - Any other risks identified in the supply chain up until the point of receipt by the customer see 1.6.4 for risk of fraud/adulteration.

  - Where provenance, claims or own branding is applied, additional certificates may be required see 3.7.2.

  - All suppliers should be registered with, or approved by the appropriate authority. Where you are not buying from a well-recognised supplier operating to a national Quality Assurance Standard (or buying from a large supermarket, smaller retailer or wholesaler), you should carry out your own investigation to show your raw materials come from a safe source.

  - Non-certified suppliers of products that are deemed higher risk, could be asked to provide inspection reports and should complete a supplier audit questionnaire at least every 3 years.

  - Record keeping and review - Use a database or spreadsheet (supplier matrix) or folder to maintain your list of suppliers. This can include specification status, certification status, country of origin, any supplier complaints etc. You should review your supplier list and how your suppliers have performed, and how you have approved your suppliers annually or when you develop new products or need to find a new supplier of an existing ingredient (see HACCP Review 2.14).
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<td>1.6.2</td>
<td>Specifications shall be held on site and kept current for all raw materials, including food contact packaging and processing aids.</td>
<td>Specifications for all raw materials, including food contact packaging and processing aids should be held either digitally or on paper. Ingredient specifications should detail the safe and legal use of the material and include; legal description, allergen status, storage and shelf-life conditions, claims, nutritional information and safety and quality parameters e.g. pesticides, microbiological limits, particle size. This may be included in a Certificate of analysis (CoA) or conformance (CoC) or letter of guarantee, provided by the supplier. Check that ingredients are accurately reflected in the label declaration of the finished products (see Specifications 3.6.1), especially where claims are made e.g. free from, low sodium, artificial sweeteners, no added sugar, low/no gluten (see Provenance/Claims 3.7.2). Food contact and printed packaging specifications should include a declaration of conformity with the relevant food contact regulations and/or codes of practice and suitability for the intended use e.g. heating in pack, barrier permeability. Processing aids such as release agents, cooked sausage casings, plastic liners, wood chips for smoking should also have specifications to ensure they are food safe. Specifications should be a part of the supplier and raw material approval procedure and obtained before placing an order to purchase. Translations should be reliable. If the supplier cannot provide a suitable specification, or you are not satisfied with the information, ask them to complete your own specification form or compile a specification yourself for the ingredients using on-line data sheets and/or packaging information e.g. branded ketchup from a wholesaler. Specifications should have a date and ideally be authorised by the supplier. As part of the documented HACCP Review (see 2.14), a check should be made to ensure that specifications are available and still valid. Check specifications are consistent with the Certificate of Analysis or Conformance where relevant. A change in recipe or a new supplier may mean a new specification is required. Specification issue dates and review dates can be part of the Approved Supplier List or, you may prefer to keep a separate list. It should be clear when the previous review was and whether any changes have been made to the specification. If you have paper copies, you may prefer to sign them.</td>
<td>Keep: - a list of all raw materials alongside the specification issue date - a record of specification review date - a record of any changes made since the last specification review</td>
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<td>1.6.3</td>
<td>A procedure shall be in place to describe the documented checks required on incoming raw materials including food contact packaging and processing aids.</td>
<td>All incoming goods should be checked on arrival to ensure they are from an approved supplier and meet the agreed specification and/or CoA and/or CoC. The vehicle and the goods should be inspected for cleanliness, off odours/taints, absence of pest infestation, glass breakage, temperature if relevant and damage to packaging. Ensure all goods are suitably labelled or traceable to batch for easy identification; this is the first step in your traceability system. Record these checks and retain any delivery documentation that includes product information e.g. delivery note, invoice, bulk delivery paperwork, vehicle temperature data logger print-outs. Where a certificate of analysis is received with a delivery, check this off against the raw material specification to ensure the delivery meets the requirements of the specification. If product testing is part of goods-intake then there should be a sampling plan and records should be kept. Testing could include: sensory, temperature, functionality, activity, physical, chemical and microbiological criteria. You could make specifications/quality attribute standards available for cross-reference e.g. digital photos. If goods intake checks show any deviation e.g. wrong size, missing CoA/CoC, short shelf-life, then the goods should be clearly marked as awaiting approval/on hold/quarantined and stored to prevent use until approval has been granted. Record any non-conformances or downgrades (see 3.2.1).</td>
<td>Display the approved supplier list in the goods in area. Keep: - a ‘Goods In’ record - delivery paperwork that includes product information - results of product testing and an up-to-date sampling plan - staff training records (see 1.1.1, 1.1.2) - records of non-conformances or downgrades</td>
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<td>1.6.4</td>
<td>A documented risk assessment in relation to food fraud, adulteration or substitution shall be conducted on all raw materials, including food contact packaging and this shall be reviewed annually.</td>
<td>The aim of the risk assessment is not to assess the potential for fraud at the site, but to examine the supply chain for potential concerns or weaknesses and so identify those raw materials that are at particular risk of adulteration or substitution. This will give you the opportunity to put in place appropriate controls to prevent the purchase of adulterated or substituted raw materials. The risk assessment findings should be documented and appropriate procedures and controls implemented. These will include supplier approval (see 1.6.1), agreed specifications (see 1.6.2) and goods intake checks (see 1.6.3). Raw materials may be identified as being at particular risk of adulteration or substitution such as ingredients with variety claims (e.g. Bramley Apples, Maris Otter malted barley), origin claims (e.g. Sicilian lemon) or assurance claims (e.g. sustainable palm oil) or where there are significant differences in the value of similar ingredients (e.g. replacing ground almonds with ground peanut). If additional controls are needed these should be documented e.g. CoA for each delivery, visual checks at intake/delivery, product seal integrity, evidence of pallet tampering and product substitution, checks against what has been ordered with actual delivered goods. The annual review can be done at the same time as the annual HACCP review when changes to suppliers and raw materials are considered. Information on current and emerging Food Fraud concerns can also be gathered from trade associations and Food Standards Agency alerts.</td>
<td>Keep: - an up-to-date risk assessment and show it has been reviewed annually. - records of any additional controls.</td>
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<td>1.6.5</td>
<td>Water supply, including stored mains water or private water supply, shall be potable and shall not present a contamination risk to products.</td>
<td>If mains water is used for processing and cleaning operations without intermediate storage, you should download a copy of the most recent water suppliers’ report for supply to your area. If on a Private Water Supply (PWS), this should be registered with the Local Authority under The Private Water Supply Regulations 2016. The PWS may need to be treated with ultraviolet and or filters, this will need the appropriate maintenance plan to be in place (see 1.11.1). If stored mains water or non-mains water or PSW is used for processing and cleaning operations, whether as ice, liquid water or steam, it is essential to monitor the water quality. Regular testing should be arranged by an accredited laboratory who can advise on acceptable limits. Water test results should be reviewed and used to determine test frequency. There should be an action plan in case of out of specification results (see 3.2.1).</td>
<td>Keep: - records of water testing for stored mains water or non-mains water or private supply - records of any corrective action taken when results are out of specification Download the mains supplier’s report for your area.</td>
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1.7 Stock Control

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| 1.7.1 | Stock rotation shall be controlled to ensure that raw materials and work in progress are used within their allocated shelf-life. | Make sure that all raw materials have a durability date where required and that this is adhered to. Identify when stock was delivered so that you can use stock on a first-in, first-out basis or better still first-expired, first-out.  
If using ingredients with 'Use By' or 'best before' dates without any further processing, make sure that the final date code for your manufactured product does not exceed the 'Use By' date for the ingredient. Include details for actions to be taken if ingredients are past before best before i.e. request an extension from the supplier, or carry out product testing of your own products.  
Check that the shelf-life of 'work in progress' materials is compatible with the shelf-life of your finished product, including 'once opened' dates of raw materials used.  
All ingredients and intermediate materials including rework should be within date when used. Consider pastry ends, sourdough cultures, starter cultures, live brines, coatings.  
Make sure that you have a system which enables you to track the stock used in your finished product and this includes intermediates and rework (see 3.3.2 Traceability). | Keep:  
- records of regular stock checks  
- records of any shelf-life extensions that have been concessioned  
- records of expired stock  
Expired stock should be clearly identified to prevent use  
Include checks on stock shelf-life as part of a routine check of the premises (see Housekeeping Check, 1.3.1). |

1.7.2 Where surplus products, or those that do not meet specification, are sold to staff or passed to other organisations, records shall be kept to show products are fit for consumption, meet legal requirements and are traceable. | If this is sold or perhaps provided at no cost to third parties e.g. charities, food banks, Fair Share then remember that traceability should still be possible and the product safety and legality should be ensured. Surplus customer-branded products should be disposed of in accordance with customer-specific requirements and records of disposal maintained. Customer brand names should be removed before the product enters the supply chain, unless otherwise authorised by the customer. Note: registration under Feed Hygiene legislation is legally necessary before any products can be supplied with the intention that they are fed to animals. | Keep:  
- records of staff sales and deliveries to charitable organisations.  
- records of consent for customer branded products and include whether they want branding removed. |

1.8 Waste Control

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| 1.8.1 | A procedure shall detail how the accumulation of waste in handling and storage areas is kept to a minimum prior to its removal. | Waste should be regularly and effectively removed, with particular attention to food processing areas to avoid any potential for cross-contamination from waste to food. Waste bins in processing areas should be lined and have foot-operated lids to reduce hand contact. Waste bins and the area around bins should be clean and tidy to prevent pest attraction. See 1.7.2 disposal of Surplus products. | Have a written procedure.  
Keep:  
- records of pre-start up checks or start and end of day checks that include waste controls.  
- cleaning records |
| 1.8.2 | Internal and external waste collection containers and compactors shall be clearly identified and managed in such a manner as to minimise risk of contamination and pest harbourage. | Waste containers, both internal and external, should be clearly identified. Where empty ingredient containers are reused as waste containers, they should be clearly labelled. Waste should be suitably packed before being removed to external collection points (usually tied black bin bags). Internal waste areas should be clean, tidy and containers should be lidded or covered to prevent attracting flies or vermin. Make sure that the uplift arrangements are suitably frequent to avoid waste containers being too full to cover properly or from overflowing. Make sure that the waste containers are listed on your cleaning schedules. | Keep:  
- cleaning records.  
- record waste flows and location of waste containers on the site plan (See 4.3.1).  
Include waste control on a routine check of the premises (see Housekeeping Check, 1.3.1) |
### 1.8.3 Products that require specific conditions for disposal shall be separated and disposed of using licensed contractors.

**What should be done to comply with this Requirement?**

Contract arrangements should be in place, with a suitably licensed contractor, which are specific to the type of waste, e.g. oil disposal, dairy, meat and fish waste.

Where disposal is monitored by the Environment Agency, ensure the contractor is authorised to dispose of this waste by keeping a valid copy of the certificate issued by the Environment Agency. Keep a copy of the waste carrier licence and contractual agreement. Make sure that the uplift arrangements are suitably frequent to avoid the build-up of waste.

**How can I demonstrate this?**

- a copy of the waste carrier's licence.
- disposal notes.

### 1.9.1 All premises shall be designed, constructed and maintained so as to minimise the risk of pest infestation.

**What should be done to comply with this Requirement?**

When designing, constructing or altering a building or premises, pest control measures should be included in all aspects of the project. You may wish to involve a pest control contractor for specific advice on pest control measures.

External doors to any storage or production areas should be kept shut when not in use, or suitable protection fitted to the opening to minimise the possibility of pest entry to the premises.

Ensure:

- There are no visible entry ways for pests into the site e.g. holes round external pipework.
- Your pest contractor is made aware of the types of raw materials being stored and used on your premises.
- Raw materials such as flour are susceptible to infestation by crawling insects and moths. To minimise this risk, storage areas should always be kept clean.
- Where 'stored product' pests are considered a risk, appropriate measures should be included in the pest control programme.
- Staff are aware of the actions they need to take to prevent/reduce pest ingress e.g. keep windows and doors closed.
- Staff should be trained in pest control awareness, signs of infestation, communication and actions required.

**How can I demonstrate this?**

- Staff induction and training records for pest awareness
- A pest sighting log

Include pest control on a routine check of the premises (see Housekeeping Check, 1.3.1)
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| 1.9.2| The services of a competent pest control operator shall be contracted for the regular inspection and treatment of premises. The frequency of inspections shall be clearly defined and reflect the activities of the site, and shall be reviewed at least annually. | If setting up a new contract with a pest control organisation/contractor it is recommended that they are given a copy of this Section 1.9 of the Interpretation Guide, so they are fully aware of the SALSA requirements and can quote for the appropriate level of service, visit frequency, methods of monitoring, recording format and trend analysis.  
• Ensure the pest control contract is suitable for the production and the premises, and complies with the requirements of this section. All pest control measures should be located such that there is no risk of product and packaging contamination.  
• The pest control requirements should include the number of visits / inspections, the pests covered and the control measures used.  
• The contract should also indicate if it includes the servicing, tube changing and catch tray counting of any fly-killers and trend analysis for flying insects and other pests.  
• It is good practice to periodically accompany the pest control technician to understand how all areas of the SALSA pest control requirement are being met.  
• Competency of the organisation is supported by certificated membership of the British Pest Control Association (BPCA) or the National Pest Technicians Association (NPTA), and certificates to demonstrate that the individual(s) who carry out the service are suitably trained in pest control for food production businesses.  
• The person(s) responsible for pest control should be able to demonstrate that they have received appropriate training to be able to carry out suitable and effective remedial action for food production premises.  
• There should be adequate liability insurance.  
• In the event that you use your own fully trained member of staff to carry out pest control onsite, you will still be required to meet all parts of section 1.9.  
• It is essential that the premises and products are checked regularly for any sign of pests and appropriate action taken in the event that pests are discovered.  
• The action taken in the event of discovering the presence of a pest may be to call in a pest control organisation. | Keep:  
- a copy of the current contract  
- visit reports  
- BPCA/NPTA competence certificate for the pest control company  
- Qualification certificate for the pest control operator that visits  
All of these records may be digital.                                                                                                                                                                                                                                                                                            |
| 1.9.3| The location of all pest control measures shall be identified on a plan/diagram of the site and reviewed at least annually. | You should have a clear plan / map of all areas of the site (including roof voids, and mezzanine areas) showing where any pest control measures (baits, traps, monitors, indicator boxes, wasp pots, electronic fly-killers etc) are located.  
These measures should be numbered so they can be identified in pest control records and to identify whether baits are toxic or non-toxic.  
This plan should be reviewed at least annually and in case of infestation to ensure it is current, accurate and includes any seasonal pest control measures. | Keep: an up-to-date location plan showing all pest control measures, baits, traps and devices used and the products used, and state if any are toxic.                                                                                                                                                                           |
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| 1.9.4 | Inspections shall be at regular intervals. Inspection records shall be kept to include details of any pest activity and pest control treatments undertaken at individual pest control points and actions taken in meeting recommendations made by the pest control operator / contractor. | Inspections should be at planned regular intervals with a call-out facility available in the event of a pest problem and an agreed follow-up plan in the event of an incident that suggests infestation rather than casual intruders. A report should be created following each pest control visit/inspection.  
- Inspection findings at individual pest control points, including fly-killers, should be recorded in a manner that enables trend analysis to be carried out (see 1.9.5).  
- Any pest control treatments should be recorded and it should be clear what treatments are used at each pest control point.  
- UV tubes in fly killers should be changed at least annually, preferably in the spring. The tubes should be shatterproof and included on the glass and brittle plastic register (see 4.4.6). | Keep: records of pest control inspections and treatments / products used.  
Show that any recommendations have been followed up and closed out effectively and in a timely manner. |
| 1.9.5 | Results of pest control inspections shall be assessed and analysed for trends at least annually. Where trends are identified, corrective action(s) shall be taken to eliminate further risk to product safety. | If trending is included in your pest control contract, either ensure that the contractor is checking for trends on each visit e.g. if there is evidence of a specific pest such as ants or flour moth in the flour store, or that you discuss the results of the visit with the contractor on each occasion to remedy any problems arising.  
It is easiest if the contractor records their findings at each pest control point, including fly-killers and any pheromone traps, in a manner that enables any trends or problems to be easy to see and monitor.  
If you do not have trending included in a pest control contract, then you should be checking for any evidence of trends on a regular basis and at least quarterly. Use the visit report or pie-charts, graphs or tables. | Identify any trends and determine whether anything can be done to prevent activity. |
| 1.9.6 | Baits and other materials such as insecticide sprays or fumigants shall be applied and used according to the documentation on their safe use, which shall be held on site. | Toxic baits and open bait boxes should not be used in food handling or storage areas unless this is required to eradicate a problem.  
Pesticides, if stored on site, should be clearly labelled and stored in locked cupboards accessible for use only by trained personnel. Ensure COSHH (Control of Substances Hazardous to Health) safety data sheets are specifically for the UK, with UK emergency contact numbers.  
If not using a pest control contractor, ensure pest control chemicals used are approved for use in food premises, and used in such a way that they do not pose any risk of contamination of food. | Keep:  
safety data sheets (COSHH/MSDS) for all non-toxic baits and toxic pesticides used on site.  
These can be held digitally. |
### 1.10 Equipment

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| 1.10.1 | Equipment shall be fit for purpose, constructed of appropriate materials, designed to allow hygienic processing and shall not be a source of foreign body contamination. | Equipment should be:  
- Designed to be able to be cleaned effectively.  
- Dead legs should be avoided because they can be a source of contamination.  
- External pipes should be capped to prevent ingress of debris and/or pests.  
- Positioned safely and to provide sufficient access for both use and cleaning. Where permanently sited, equipment shall be properly sealed to the floor.  
- Suitable for the intended purpose.  
- In good repair.  
- Conveyor belts (plastic and metal mesh) should be inspected regularly.  
- Utensils should be fit for purpose e.g. scoops, stirrers, paddles, sieves, whisks.  
- Lifting equipment shall be stored away from food products and food packaging when not in use.  
- Battery charging areas shall be segregated away from product storage areas where not in use.  
- If racking is present then it should be regularly checked to ensure it is in a suitable condition.  
- Where diesel powered handling equipment is used, an appropriate exhaust filter system for particulate removal should prevent any product contamination or damage. | Keep:  
- records of routine equipment inspections  
- evidence of food contact status e.g. manufacturers information, on-line data sheets, CE marking. |

### 1.11 Maintenance

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| 1.11.1 | A programme of planned maintenance shall be in place for premises and equipment. | Maintenance should be a planned activity to prevent product contamination and breakdown. This may be as simple as a visual check, condition monitoring, greasing parts, replacing blades or it may be a scheduled service by an external contractor.  
Make a schedule of all relevant equipment and areas of the premises which need to be kept in good condition/working order e.g. on a spreadsheet with planned dates.  
Consider:  
- Fridge, freezers, blast chillers, pasteurisers, ovens, mixers, depositors, slicing machines, vacuum packers, utensil washing machines  
- Clean in Place (CIP) equipment  
- Filters e.g. for compressed air, water supply, oil.  
- Boilers used for hot water/steam generation  
- Storage racking, roll doors, fork-lift trucks  
- High level light replacements, fan servicing  
- Vehicles - if you carry out your own distribution, ensure vehicles are serviced and where applicable, their refrigeration equipment is included in your maintenance system.  
Maintenance may be done internally by trained staff or by external contractors. | Keep:  
- a list of equipment that requires planned maintenance and include it on a schedule.  
- records of maintenance carried out (see 4.4.1, 4.4.2, 4.4.7). |
### 1.11.2
**Requirement:** The business shall ensure that the safety, legality and quality of product is not jeopardised during maintenance operations. In High Risk/High Care areas tools and equipment shall, wherever possible, be dedicated.

**What should be done to comply with this Requirement?**

- It is important that staff and contractors are aware of their responsibilities in avoiding any possibility of contaminating food when carrying out maintenance.
  - Maintenance should be planned outside of food production hours. If this is not possible, isolate the area under maintenance.
  - If lubricants are used on direct food contact equipment or equipment positioned over products, they should be food grade and not pose a contamination risk.
  - Avoid temporary repairs with materials that can themselves cause contamination e.g. string, cardboard, paper, sticky tape.
  - Keep common tools in a locked toolbox. It is best practice to check these are still present at the end of any maintenance work.
  - For High Risk/High Care areas (See Glossary of Terms) regular tools and equipment necessary for common maintenance work should be designated to these areas.
  - After maintenance work is completed, there should be a record confirming that the area/equipment has been inspected and is clean and free from contamination and can be released back to production.
  - Visitor/Contractor and Staff rules should state what protective clothing they are expected to wear when conducting maintenance work and what lubricants (if any) they are permitted to use.

**How can I demonstrate this?**

- Keep:
  - a record of breakdowns where repairs may impact on product safety. This can be on a daily record or a separate maintenance clearance form.
  - a record to show the area/equipment has been inspected and released back to production.
  - safety data sheets (COSHH/MSDS) for lubricants used for direct food contact equipment or where indirect contact is possible.
  - completed Visitor/Contractor health questionnaires for contracted maintenance workers.

### 1.12 Vehicle Management, Storage and Distribution

**Ref** | **Requirement** | **What should be done to comply with this Requirement?** | **How can I demonstrate this?**
--- | --- | --- | ---
**1.12.1** | Transport used for the distribution of products shall be fit for purpose and capable of maintaining the integrity and safety of the product, including product temperature where applicable. | This may involve checking suitability of outer packaging, mixed loads, vehicle condition, vehicle temperature, transporting times, transfers and personnel involved in distribution. Transport should:
  - Be appropriately maintained, with vehicles interiors that are kept clean and free of potential sources of contamination
  - Be monitored for temperature-controlled deliveries (see 1.5.2). It is advisable to continue monitoring product through storage, loading, transporting and delivery to the customer.
  - Consider the impact on product temperature of minimum and maximum loads.
  - For refrigerated vehicles, calibration records should be maintained for the temperature monitoring equipment.
  - Ensure product temperature requirements are met in all weather conditions, including the warmest and coolest months. Consider the use of freezer blankets used for mixed temperature loads.
  - Have lights in the loading/carrying area that are protected and ideally recessed to avoid potential damage/breakage.
  - Ensure the load carrying area of the vehicle is free from damaged panels, loose projections and is water tight.
  - Include procedures to prevent/mitigate any weather damage to product/packaging.
  - Have a breakdown procedure for vehicles and if applicable, refrigeration units.
  - Inspect packed products prior to 'out' loading to ensure they meet specification (e.g. are not damaged, are in code / in date and for chilled/frozen products are within the correct temperature bands). Keep a record of these checks. | Keep:
  - a 'Goods-Out', 'Out-Loading' or 'Dispatch' procedure and use this to train dispatch and delivery staff.
  - staff training records
  - records of the vehicle checks and the findings on, for example, a ‘Goods Out’ record or the delivery notes and keep copies.
  - records that confirm product has been checked and is in good condition, labelled correctly and if applicable has been temperature checked before loading.
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| 1.12.2 | Procedures for managing the security of the vehicle and load during transit and where appropriate, during loading and unloading shall be documented and understood by drivers and delivery staff. | This requirement relates to protecting the product during transit which is under your own control and not sub contracted, by ensuring vehicle security is managed.  
• Check before and after loading that the products are secured and the vehicle is secure.  
• Load and unload delivery vehicles with awareness for security e.g. Is the area busy with pedestrian traffic? Will the vehicle be left open and unattended? Is delivery behind a gate (e.g. school, hospital)?  
• Keep the vehicle doors closed whenever possible.  
• Document how you maintain vehicle security and product integrity in the case of a breakdown.  
• Vehicles can be secured using padlocks or key pads. Security of the product load could be ensured using tamper-evident seals e.g. security seals on shipping containers, IBC's, tankers, drums.  
• Make sure the driver can be contacted while on route.  
• Check that only trained employees can access products. This also applies to driver helpers, etc.  
• Training records of employees and temporary employees should be up to date. | Keep:  
- a 'Goods-Out', 'Out-Loading' or 'Dispatch' procedure and include vehicle security during transport and loading/off-loading and use this to train appropriate staff.  
- staff training records (see 1.1.1, 1.1.2) |
| 1.12.3 | Where third party hauliers/ distributors and storage facilities are contracted, a documented agreement shall be in place to ensure product integrity and safety is not compromised. | This requirement relates to storage and distribution of product by third parties such as haulage contractors. See also Control of Suppliers and Raw Materials 1.6.1.  
• Have a documented agreement with your third-party distributor/ storage contractor that they will maintain your products in a secure and appropriate manner.  
• Make sure that all aspects of storage conditions, hygiene, cross- contamination control and temperature control relating to your product are checked before loading as part of your goods out procedure and keep records.  
• Approve third-party storage and haulier/distributors and add them to the approved subcontracted service provider list, visiting the premises as required. | Keep:  
- a copy of the agreement which should include all relevant SALSA requirements which relate to the safety of the product (see 1.12.1, 1.12.2). |
| 1.12.4 | Where products are distributed via couriers or the postal service, products shall be suitably packaged to ensure their integrity and safety is not compromised during distribution to the customer. | Most couriers will have terms and conditions on their website covering storage and transport of goods.  
• Check suitability of outer packaging to ensure it is sturdy enough to protect the integrity of your product in transit.  
• For chilled and frozen products, you should be able to demonstrate that the product temperature has been appropriately controlled e.g. by use of ice-blocks (or similar) and use of an insulated container.  
• Approve couriers and add them to the approved subcontracted service provider list.  
• Do a transit check to verify the service does ensure product integrity including temperature. Send goods to an address and check condition on arrival, taking into account seasonal temperature variations. | Keep:  
- a copy of the courier's T&C's where possible  
- records of any transit tests you have carried out on products to demonstrate distribution methods maintain product integrity.  
  See the Food Standards Agency Legal Requirements for Food Sold Online (distance selling, mail order and delivery) |
### 2.1 HACCP Scope and Team

**Ref** Requirement | What should be done to comply with this Requirement? | How can I demonstrate this?
---|---|---
2.1 A documented HACCP system with a scope that describes which products and processes are covered, shall be developed and maintained by a named team or a person. The team or person shall be trained and able to demonstrate competence in the understanding of HACCP principles and their application. | • Those responsible for HACCP (including mentors or consultants) are able to show that they understand and can apply the principles of HACCP to the business. This can be demonstrated by evidence of formal training or relevant industry experience.  
• If you are a member of a sector trade association, they often provide guidance on HACCP for your particular food/drink sector. It is essential that it is adapted to your specific site, product and process.  
• Document the scope of the HACCP study, with reference to the products, processes and potential variabilities that may occur (seasonal changes in product, ingredient, recipe or process) | Keep:  
- a record of the HACCP team list, with details of evidence that training / learning has been undertaken.  
- copies of certificates or relevant industry experience.  
- written HACCP scope

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### 2.2 Product Description

**Ref** Requirement | What should be done to comply with this Requirement? | How can I demonstrate this?
---|---|---
2.2 Product descriptions for each product or product category shall be written that include all relevant safety factors and information for each product group. The business management shall demonstrate that they are aware of the food standards, legal regulations and industry codes of practice applying to the products they produce, trade, handle, store and/or distribute. | • A full description of the product should be developed, including relevant safety information such as composition, origin of ingredients, physical or chemical properties, food safety characteristics, allergen status, product claims, treatment and processing, packaging, storage and distribution, shelf life.  
• Keep evidence to demonstrate you have knowledge of the chemical and physical properties of your product such as aW, pH. These might be sampling records or ComBase computer predictive models, (see 3.6)  
• Key safety parameters may be in the finished product specifications (see 3.6.2) and shelf-life validation (see 3.8.1).  
• For businesses with multiple products or recipes that can be grouped together, it may be more effective to group products with similar characteristics and process steps.  
• The business management should be aware of all the food standards, legal regulations and industry codes of practice applying to their process, product or product category they trade, handle, store and/or distribute and also of their intended consumers and customer base. Consider how your products are intended to be used and consumed safely. Think about how your products may be mis-used deliberately or by accident by customers and/or consumers (see 2.3).  
• You should be able to show how you communicate externally and internally and perhaps use consultants and/or training to ensure food safety and legal compliance of products. | Keep:  
- product descriptions for each product/product category.  
- a list of legal or industry code documents that are relevant to the business and be able to show how this is kept up to date  
- an up to date description of how and by whom your products will be consumed  
- records for new/changed recipes and the results for key safety and quality parameters. (See 3.6.2)
### 2.3 Intended Use

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<td>2.3</td>
<td>Identify the intended use based on the expected uses of each product group by the end user or consumer.</td>
<td>• Document the product use and users, taking into account the final consumer, including the suitability for vulnerable groups (elderly, infants, allergy sufferers). • Describe how the products are sold, stored, displayed, used and consumed and what labelling information is provided e.g. storage, instructions for use once open, cooking / preparation instructions.</td>
<td>Keep: - a description of intended use for each product/product category - include any open shelf-life, storage and preparation for use instructions</td>
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### 2.4 Process Flow Diagram

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<td>2.4</td>
<td>A flow diagram shall be constructed to cover each product or product category and process as outlined in the scope of the SALSA audit. All operational steps shall be covered from raw material receipt through processing, rework, storage and distribution.</td>
<td>• Draw a flow chart showing all the process steps involved in production including any rework (see Glossary of Terms). Process flows can be hand drawn or digitally created. Ensure these are accurate by walking through the process in the factory (verification) then date and sign. • Group together products that use similar process steps as per the product description (2.2/2.3). • The process flow should also be shown on the site plan (see 4.3.1).</td>
<td>Keep: - documented process flows for products or product types and sign and date to show they have been verified against the actual process. - show you have checked the process flow when any changes have been made to building or equipment or processing methods</td>
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### 2.5 Hazard Analysis

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<td>2.5</td>
<td>The HACCP team shall conduct a Hazard Analysis by identifying the cause/source of any microbiological, physical, chemical and allergen hazards that shall be prevented, eliminated, or reduced to acceptable levels at each operational step.</td>
<td>• List all potential hazards and their causes/source that are relevant for your products and processes. • Take each step of your process flow and define which hazards could potentially occur at each step (micro)biological, physical, chemical, allergens) and their likely cause/source. • You may prefer to conduct the allergen hazard analysis separately (see 1.4.1). • Take each step of your process e.g. purchase, storage, preparation through to distribution and identify where contamination or cross-contamination, growth or survival could occur. • If you identify more than one hazard at each step, each one should be considered separately. • Hazards may be intrinsic (inherent) to the raw material e.g. shell, bone or extrinsic due to the process e.g. glass from bottles, metal from mixer/mincer blades, the environment e.g. flaky paint and the staff e.g. hair, open wounds. • There may be no hazards identified at a process step, if so state - no hazard identified</td>
<td>Keep: - a list of relevant (micro)biological, physical, chemical, allergenic hazards that could occur</td>
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### 2.6 Control Measures / Prerequisites

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| 2.6 | Control Measures and/or Prerequisite Controls relating to the hazards at each process step in 2.5 shall be identified. | • Identify what measures are in place, or need to be in place, to control the hazards you have identified in your hazard analysis.  
• Consider process controls from 1.5.1 and other areas within Section 1 Prerequisite Controls.  
• This can be documented as a list of prerequisites and a description of how each is controlled or it could be presented in a table where the prerequisite, control measure(s), relevant procedures and/or records are described. | Keep: a list or table of the pre-requisites and control measures. |

### 2.7 Risk Assessment

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| 2.7 | Conduct a risk assessment for each microbiological, physical, chemical and allergen hazard identified in 2.5 and identify which hazards are significant. | The HACCP team will carry out the risk assessment, then decide which hazards need to be prevented, eliminated or reduced to acceptable levels. This will include consideration for the likelihood/probability of occurrence and which hazards are potentially harmful if they do occur (severity of occurrence). Where control is achieved through prerequisite measures, then this shall be stated in the risk assessment and the effectiveness of the control measures reviewed.  
   - The HACCP team will carry out the risk assessment, then decide which hazards need to be prevented, eliminated or reduced to acceptable levels. This will include consideration for the likelihood/probability of occurrence and which hazards are potentially harmful if they do occur (severity of occurrence).  
   - Where control is achieved through prerequisite measures, then this shall be stated in the risk assessment and the effectiveness of the control measures reviewed.  
   - The likelihood and severity risk assessment can include the following scoring tool where:  
     - Likelihood of a hazard occurring is:  
       • High: likely to happen, could happen often/frequently. Grade as ‘3’  
       • Medium: could happen, but not frequently. Grade as ‘2’  
       • Low: unlikely to happen/rare occurrence/remote chance. Grade as ‘1’  
     - Severity of a hazard occurring is:  
       • High: likely to cause severe injury or death. Grade as ‘3’  
       • Moderate: would cause reversible illness/minor injury. Grade as ‘2’  
       • Negligible: would cause very slight/no injury. Grade as ‘1’  
   - Then, multiply the likelihood by severity to give the risk score: \(L \times S = R\).  
   - Document the risk assessment and include likelihood, severity and the outcome which is the risk score. This assessment identifies significant hazards. A risk score of 4 or higher is significant. Colour can help make these tables easier to read (red, amber, green). | Document the risk assessment scores and outcome that the HACCP team has concluded for the likelihood, severity and risk score where Likelihood (L) x Severity (S) = Risk Score (R). |
### 2.8 Critical Control Points

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| 2.8 | Consider the significant hazards identified in 2.7 and determine which if any shall be identified as Critical Control Points. | Assess the significant hazards from the risk assessment in 2.7 to determine whether the process step is a Critical Control Point (CCP) or not. See Tools & Tips for a more detailed explanation.  
  - A decision tree may assist the determination of CCPs.  
  - CCPs should be at the process step where the controls can be applied to prevent or eliminate or reduce to an acceptable level the hazard identified e.g. cooking, cooling, pasteurisation, metal detection.  
  - CCPs can be listed in a table and/or on the flow chart. | Document how you have determined the Critical Control Points (which method you have used). Identify the CCPs in a table and/or flow chart.                                                                                                                                 |

### 2.9 Critical Limits

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<th>What should be done to comply with this Requirement?</th>
<th>How can I demonstrate this?</th>
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| 2.9 | Critical limits which enable the prevention, elimination or reduction of identified hazards, shall be established for each control measure, at each Critical Control Point and shall be validated. | At a Critical Control Point, the control measures for the specified hazard should work to ensure the food produced at this stage of the process is safe.  
Critical limits establish whether a CCP is in control, and in doing so they can be used to separate acceptable product from unacceptable, i.e. if you do not meet that critical limit your product is not safe. The CCPs should be:  
  - Those points which are required to prevent or eliminate a food safety hazard or reduce it to an acceptable level.  
  - Measurable and/or observable in real time and repeatable (see Tools & Tips for further clarification)  
  - Points for which Critical Limits have been determined that will result in a safe product. If the critical limit is not met then the product is not safe.  
  - Consistently applied across all production. Consider how the critical limit is to be recorded; is this a manual recording, digital reading, chart recorder. Consider also the accuracy and consistency of recording i.e. record to 1 or 2 decimal places, how to read a chart reorder.  
Validate each critical control point limit by preparing a documented justification for the limit and its use. This may include legal requirements e.g. milk pasteurisation temperature and time profile, red and white meat intake and despatch temperature, and industry best practice e.g. metal detection test size, cooking, cooling, pasteurisation parameters, pH, rinse water testing. | Keep:  
  - a list or table of the critical control points that includes the process step, a description of the hazard and the critical limits  
  - documented justification for the critical limits and control measures applied (validation)                                                                                                                                                     |
## 2.10 Monitoring Procedures

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<tr>
<td>2.10</td>
<td>Establish and implement a monitoring procedure and system for each Critical Control Points.</td>
<td>The monitoring method and frequency should be capable of timely detection of any failure to remain within critical limits. Suitable monitoring for CCPs should be able to identify if the product has not met the critical limits in time for it to be corrected before finished product leaves the premises. Determine your method of monitoring to demonstrate that the Critical Control Points are being met. You may also be checking other non-Critical Control Points as well. For example: • Carry out visual checks such as the integrity of a filter or a sieve. • Check temperatures/brix level/pH/metal detector reject settings. The results of all CCP monitoring should be recorded by the trained person carrying out the monitoring e.g. the operator can sign a sieve integrity record; temperature checks could be recorded on a processing check sheet. Records should be dated, timed, signed and reviewed during production by a senior member of staff.</td>
<td>Document the monitoring procedure including method and frequency. Keep: - records of all checks made for each Critical Control Points (paper or digital). - staff training records (see 1.1.1)</td>
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## 2.11 Corrective Actions

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<th>How can I demonstrate this?</th>
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<tr>
<td>2.11</td>
<td>Where monitoring indicates that a Critical Control Limit has not been met, there shall be an effective corrective action plan.</td>
<td>Identify what the Corrective Action Plan is when a Critical Control Limit has not been met. Effective monitoring (see 2.10) will indicate if a critical limit has not been met. For example, if your critical limit for cooking is more than 70°C at the core, but records show repeated readings of 68°C, then what corrective actions are required. Ensure all staff involved in monitoring Critical Control Points limits are trained to know what immediate action to take if the critical control point limit has not been met, and potentially unsafe product is handled appropriately. For example, your pasteurisation temperature control information should list required temperatures and times, how to monitor temperatures and times and what Corrective Actions to take if things go wrong. Fruit juice CCP Pasteurisation with Critical Limit 72°C for 20 mins. If temperatures are consistently below 72°C, the Corrective Action Plan may include: 1. Assess if the product is safe to use. If temperature is below the Critical Limit, answer is no due to risk of vegetative pathogens survival. 2. Immediate re-check of the display temperature. Check to see if water temperature matches the display. If below 72°C, press the booster. 3. When temperature is reached, start the cycle for 20mins. If core temperature is 72°C or greater then product can be released. 4. If the pasteurisation temperatures haven't been reached, product is unsafe and quarantined, notify Management. 5. Further investigation may include, servicing the pasteuriser and using an alternate pasteuriser in the meantime. Samples may be taken for micro analysis. Previous results for the pasteuriser will be reviewed.</td>
<td>Keep: - a detailed description of corrective actions in a list or table - records of when corrective actions have been taken because critical limits were not met - staff training records (see 1.1.1)</td>
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### 2.12 Verification

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| 2.12 | Establish monitoring procedures and records to verify that the critical limits and controls outlined in 2.9 to 2.11 are working effectively on an ongoing basis. | Ensure the verification checks (see Glossary) have been completed correctly, in a timely manner in accordance with the monitoring procedure by trained staff. Confirm that the CCP monitoring systems are being followed consistently and that staff can demonstrate understanding of the CCP checks and recording systems. For example, cooking / cooling profiles temperature can be verified by use of a datalogger, authorisation of records, witnessing of checks being carried out. This verification should confirm that:  
- The checks were carried out correctly at the prescribed frequency/times  
- The results of the checks are within the prescribed limits  
- In the event of either of the above not being compliant, appropriate Corrective Action has been taken and recorded by the operative and/or the supervisor  
- The frequency of these verification checks may be daily or possibly less frequently, but should be such that any ‘at risk’ product should not have left your control or reached the consumer. Monitoring records can be verified if there is a checkbox for supervisor/manager signature/dating e.g. temperature monitoring sheets, cleaning records, delivery/despatch record, and also have a review section for any corrective actions. Finished product testing can also be used to verify that food has been safely produced e.g. microbiological testing on high-risk products and ingredients, moisture content testing of dried foods, testing for presence of undesired allergens in finished products. Carry out regular checks on the prerequisite controls - create a separate checklist for verification such as a daily or weekly check. | Keep:  
- monitoring records  
- corrective action records  
- staff training records (see 1.1.1) |

### 2.13 HACCP Documents and Records

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| 2.13 | Documents and records to demonstrate the effective implementation and monitoring of the HACCP system shall be maintained and commensurate with the nature and size of the business. | • Document the HACCP System and create records for monitoring of critical control points.  
• All documents associated with the development and ongoing application of the HACCP system and associated records should be retained to demonstrate that product safety has been actively managed and achieved.  
• All relevant records and documents should have document control (see 3.5), be legible, completed correctly and be easily accessible for inspection. They may be paper or digital.  
• These records and documents should be included as part of the HACCP review process (see 2.14). | Keep a list of controlled HACCP System related documents and records. |
### 2.14 HACCP Review

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| 2.14 | Complete a documented HACCP system review annually and before any changes in raw materials, recipes, processing, equipment, packaging, storage or distribution are introduced. | Review the HACCP system to ensure that it continues to reflect the current or adjusted practices and that any proposed changes are appropriately reviewed, controlled and monitored. This can be included as part of the Internal Systems Review (see 3.1.1) and by using the HACCP Review form in the Tools & Tips. Consider the following:  
  - Have there been any changes to the way products are made since creation or last review of the HACCP system and do these changes require a change to the process flow diagrams? If they do, then it is likely that the rest of the HACCP system will need some revision.  
  - Have there been any changes to:  
    - Raw materials or suppliers?  
    - Ingredients or recipes?  
    - Processing methods or equipment?  
    - Variations between production shifts (day/night/weekend) / batch runs  
    - Packaging, storage or distribution methods/conditions?  
    - The law or industry codes of practice covering your product?  
  - If the answer to any of these questions is ‘Yes’, then you will need to consider if your HACCP system needs to be changed or adapted.  
  - You should also take the opportunity to consider if any incidents have taken place which might indicate that your HACCP system is not working as effectively or consistently as it should do. Take a look at:  
    - Customer Complaint or enforcement authority records  
    - Incident or Non-compliance records  
    - Product Recall, withdrawal or food safety incidents in your food sector.  
  - Communicate and/or retrain to staff any relevant amendments to the HACCP system and monitoring procedures.  
  - The control measures and monitoring procedures for the prerequisite programmes should also be reviewed at least annually.  
  - SALSA Mentors are available for this task and are listed in the Mentors’ Directory on the SALSA website. | Keep:  
  - records of the HACCP system review including findings and any actions  
  - document control records for any changes to the HACCP System documents (see 3.5.1)  
  - staff training records (see 1.1.1) |

### 2.15 HACCP Personnel

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| 2.15 | At all times during production from intake through to despatch, there shall be at least one person present who can demonstrate understanding of the HACCP plan, controls and corrective action(s). | The level of knowledge expected will depend on the type and size of the business and how production is managed. The responsible staff member should understand the control measures required and know what to do if a Critical Control limit is not met (2.9 - 2.11)  
SALSA Mentors are qualified to give HACCP training and guidance and many are accredited to issue certificates through recognised awarding bodies. Alternatively, you may prefer to enrol relevant staff on an external course, use a SALSA online course, or ask a SALSA HACCP trainer to run a Level 2 or 3 course on your site. | Keep:  
  - CCP records  
  - Corrective action records for when Critical Limits are not met  
  - Staff training records |
**SECTION 3 - MANAGEMENT SYSTEMS AND DOCUMENTATION**

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<th>Statement of Intent</th>
<th>What does a ‘Statement of Intent’ mean?</th>
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<td>An effective management system encompassing regular system reviews, procedures for corrective action, complaints, traceability, labelling control, incident management and product testing shall be in place and continuous improvement can be demonstrated. Documented systems, specifications and procedures relating to the business's food safety and quality systems shall be clear, organised and accessible.</td>
<td>The Statement of Intent summarises the overall aim of the section that follows. The SALSA auditor will check each requirement during an audit. Should the auditor find that there is a substantial failure to meet the requirements of the section, it is likely that the supplier will also fail to comply with the overall Statement of Intent and result in the audit being converted to a mentoring visit.</td>
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### 3.1 Food Safety Systems Review

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| 3.1.1 | A food safety and internal systems review shall be carried out and recorded, at least annually. It shall include all requirements of the SALSA Standard and identify areas for action or improvement. | A documented internal systems review is a detailed assessment of how you are complying with the requirements of the SALSA Standard Interpretation Guide and plus modules if applicable (beer, cheese, ice cream).  
  - The review should be completed annually as a tool to prepare for the SALSA audit, or as GAP analysis to prepare for first time audits.  
  - The review can be carried out by looking at specific areas of the system in the form of an internal audit or GAP analysis. The clauses can be reviewed one at a time or by section, over several months, or by reviewing the whole system annually, in one session.  
  - Where possible the review should be independent to avoid bias. A competent third party such as a business colleague from a local food company, fellow trade association member or an external Food Safety Consultant can assist.  
  - SALSA Mentors are available for this task and are listed in the Mentors' Directory on the SALSA website.  
  - The SALSA Internal Systems Review Checklist is available from the SALSA website. | Keep:  
  - the internal systems review report, including date(s) it was carried out and by whom, detailed findings, action plan, timescales, responsibilities. |
| 3.1.2 | A timetable for completing actions and improvements identified in the food safety systems review shall be in place. | Record the findings from the documented internal systems review and make a clear plan for actions and improvements, with timescales and responsibilities. Include the planned and actual dates of remedial action (see 3.2.1).  
  Every time that actions are identified for compliance or improvement, there is an opportunity to demonstrate Food Safety Culture in the way the business chooses to complete the action effectively. Some may be straightforward to complete e.g. amend a procedure, redesign a record sheet, remove cobwebs from high level. Others may need an investigation to understand how and why they occurred and to try and prevent recurrence e.g. rework with no batch code was used or a quarantined finished product was sent to a customer by mistake.  
  Completion of actions in a timely and preventive way reflects leadership, clearly defined roles and responsibilities and a commitment to provide safe products. | Keep:  
  - the internal systems review report, including date(s) it was carried out and by whom, detailed findings, action plan, timescales, responsibilities  
  - records of actual dates that actions were completed |
### 3.2 Non-Conformance Investigation and Corrective Action

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| 3.2.1 | Controls shall be in place to identify, record and manage non-conforming materials occurring at all stages of production and throughout all processes, from intake to despatch including customer complaints. | • When a material is not up to its specified standard, you need to determine what action to take.  
• Non-conformances may occur due to a raw material behaving differently, process equipment failure or inadequate staff training.  
• Material affected by a non-conformance should be quarantined while an investigation is completed. Priority should always be given to the safety and legality of your products when corrective actions are required.  
• Corrective actions should be documented after any incident leading to product, process or system not conforming to specification or desired manufacturing attribute.  
• Some corrective actions can be predicted and clear guidance can be put in place for staff to follow. For example, what to do in the event of refrigeration breakdown or glass breakage (see 1.5.3 and 4.4.6).  
• Ensure staff are aware of procedures to take if non-conforming materials are identified. | Keep:  
- records of any non-compliances, complaints or incidents and include the action to be taken, responsibility, timescales and date.  
- Use a corrective action report form to capture this information.  
- records to identify cause, determine suitable remedial action, implement and check the action is successful (see 3.1.2, Internal Systems Review). |
| 3.2.2 | Procedures shall be in place to investigate, record and remedy the cause of any product, process or procedural non-conformance. | • This procedure covers any non-conforming material e.g. finished products, semi-finished product, raw materials and packaging items (see 3.2.1) and procedural non-conformances identified in the food Safety Systems Review (see 3.1.1)  
• Use a non-conformance report form to document the investigation. Identify cause, determine suitable remedial action, implement and check the action is successful (see Interpretation Guide for 3.1.2) to prevent recurrence.  
• An action log that includes date, product affected and quantity, reason if known and what happened to the non-conforming materials allows any trends to be identified and possible areas for improvement.  

The FSA Root Cause Analysis Course for Food Businesses free e-learning course may help you to investigate and identify underlying issues and prevent them happening again. | Keep:  
- records of how you dealt with the non-conforming materials  
- a non-conformance log and include the reason if known, the quantity of affected material and what happened to the non-conforming materials |
| 3.2.3 | A procedure shall be in place to ensure product complaints are logged, investigated and responded to. | Every complaint should be recorded. The procedure should include what actions are to be taken in the event of a complaint being received. The actions should specify:  
• Who will handle the complaints procedure?  
• The sequence of actions to be taken e.g. acknowledge complaint in writing, investigate complaint, take any actions necessary to ensure safety of product, respond to customer, refund to customer.  
• Where appropriate, use a non-conformance report form to capture the complaint information, the likely cause and actions that were taken as a result of the investigation.  

Following a justified complaint, you should check your systems to see if there are improvements needed to avoid repeat incidents. Reviewing complaints and incidents on a regular basis can show whether there are any underlying issues relating to your product, process or systems that individual events might not highlight. Keeping a log of complaints can also help to identify trends. | Keep:  
- records of all complaints including the investigation, response and possible areas for improvement  
- records of corrective actions |
### 3.3 Traceability

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<td>3.3.1</td>
<td>A procedure shall be in place that details the traceability system of all raw materials, including food contact packaging, throughout all stages of production from intake forwards to despatch and delivery to customers and backwards from customer to raw material supplier.</td>
<td>The procedure should describe how all raw materials, including food contact packaging, and finished products can be traced from goods in, through production records, to where/who you shipped the product to (buyer / consignee). The procedure should also describe how you trace the finished product back through the process to the raw materials, and to suppliers used (seller / consignor). Ensure that the procedure includes a description of which records or systems are needed to be able to trace and also the key information on each record.</td>
<td>Keep the procedure and records containing trace information up to date.</td>
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<td>3.3.2</td>
<td>The traceability system shall ensure that all raw materials, including food contact packaging and intermediate products are identified and traceable at all stages of production and storage.</td>
<td>In order to meet this requirement, your systems should be able to identify and trace all of your raw materials, processing aids and food contact packaging at all stages of production and storage. • Tracing back to your supplier (to include wholesaler, retailer as required) • Through all your process steps including intermediary stages e.g. maturation, work in progress, semi-finished, and for reprocessed material (rework) added during the process. • To your customers (but not necessarily consumers)</td>
<td>You could include traceability as part of a routine check of the premises (see Housekeeping Check, 1.3.1) by observing and recording that correct labelling is in place on raw materials, intermediate and finished products.</td>
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<td>3.3.3</td>
<td>Traceability of products shall be tested forwards and backwards at least annually, and more frequently if there are known risks in the supply chain.</td>
<td>Carry out a documented test of the traceability system at the frequency required and include: • A forwards test from an ingredient through to all finished products made with that ingredient batch and the customers who received these products. • A backwards test from a finished product back to all ingredients used, processing aids and including food contact packaging. The test should cover the range of ingredients and finished products (not just the easy one every year). Additional, specific trace tests may be required to support claims e.g. Organic or provenance or for legal compliance (see 3.7.2). You may wish to test the traceability of the raw material and supply chain back to farm. When tracing product sent to your customers, you should compare the amount actually produced with the amount traced to customers and that still on site or in transit. This will require you to ensure that your production and/or stock records clearly identify quantities produced. When tracing ingredients used, you should be able to identify the quantity of a traced ingredient used and any still in stock. Use a written summary detailing the trace completed and keep a copy of the actual records you have checked when carrying out the trace test to demonstrate the efficacy of the system. ‘Mass balance’ is a phrase you may see relating to traceability systems. It means being able to account for 100% of raw materials through to finished products, net of normal production yields. SALSA does not require you to complete a mass balance but it is a useful tool to demonstrate complete control over traceability, support claims made and provides yield information.</td>
<td>Keep: • records of trace tests for forward and backwards challenge • Identify and record any shortcomings, corrective actions required and carry out a re-test.</td>
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### 3.4 Managing Incidents

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<td>3.4.1</td>
<td>A procedure shall be in place giving clear guidance on the response to any incident which may compromise the safety and/or legality of a product.</td>
<td>Have guidance in place which specifies what steps you and your key staff should take in the event you have any incident which results in your products being unsafe or illegal (e.g. you have received notification that one of your raw ingredients is contaminated or you have suspected glass contamination in your product or the allergen status of a raw material / finished product has changed or the finished product labelling / packing is found to be not compliant with legislation, threats to the site or factory security, malicious tampering etc see 4.2.3). The procedure shall include up to date details to enable timely customer notification for product withdrawal and, in the event of a product recall, notification to customer, FSA, local authority and SALSA.</td>
<td>Keep incident guidance procedures up to date, including emergency contact details.</td>
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| 3.4.2 | The incident procedure shall be reviewed and tested at least annually to ensure it is effective and records shall be kept. | Test the procedure at least annually to ensure the guidance reflects current practices.  
- Create a test scenario to test the process  
- Check the Recall Team know what they should do and how  
- Make a decision based on your scenario  
- Assess how you will let customers know  
- Assess which customers need to be informed  
- Assess how you would retrieve affected products.  
- Record the exercise and review after the event, to learn any lessons e.g. changes in procedure required.  
- Ensure personnel are aware of their responsibilities and that all contact details, including for your customers, suppliers and local authority are up-to-date. You could combine this test with your annual traceability test (see 3.3.3) | Keep:  
- records of the test and include the test scenario, your findings, decisions, any areas improvement and the corrective actions made as a result. |
| 3.4.3 | Inform SALSA in the event of a product recall / withdrawal, improvement notice or legal proceedings related to the safety and/or legality of a product within 3 working days. Send a summary of the subsequent investigation to SALSA. | Notify SALSA, by email, in the event of recall or withdrawal, improvement or enforcement notice, or other safety, quality or legal proceedings as soon as possible. Notify all relevant customers, government agencies, local authority, third party certification bodies as deemed necessary. Include the wording of this requirement and notification of SALSA and any other organisations in your procedure for 3.4.1. If you supply into public procurement channels you shall notify Micron2 Ltd in the event of any Listeria monocytogenes counts in finished product.  
Conduct a thorough, documented, investigation using root cause analysis techniques to ascertain the reasons behind the recall/withdrawal/legal proceedings, report the corrective and preventive actions taken and send a summary to SALSA.  
Root cause analysis is a useful tool to help with any incident investigation.  
Refer to the FSA guidance and templates: https://www.food.gov.uk/business-guidance/food-incidents-product-withdrawals-and-recalls#undertaking-root-cause-analysis-rca | Keep:  
- a record of how and when you notified SALSA in case of an actual recall, withdrawal, improvement notice or other legal notice  
- SALSA contact details on your emergency contact list or within the procedure 3.4.1. |
### 3.5 Document Control

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| 3.5.1 | A procedure shall detail the control of documents and records relating to the safety, legality and quality of products. | • A list of the current documents and records that relate to the control of food safety, legality and quality should be in place. It is good practice to keep notes of the changes made when the version /issue changes.  
• It is advisable to set up a document control system which is the responsibility of one person in the business (see 2.13 HACCP Documentation).  
• The use of headers and/or footers in a document simplifies this process.  
• This control system can be very simple; a page numbering system, date of issue, issue number and person or department responsible for the issue marked on each document which relates to product safety and legality.  
• It is useful to record the reason why a document and version has been changed/updated.  
• Records should be legible and able to be used by the appropriate personnel. | Keep: - an up-to-date list of documents including last issue/version number and date.  
Check no obsolete documents are being used, perhaps as part of the routine Housekeeping Check (see 1.3.1) or Food Safety Systems Review (see 3.1.1) |
| 3.5.2 | All documents and completed records relating to the safety, legality and quality of products shall be genuine, legible, retained in good condition and stored securely for at least the shelf-life of the products plus one year. | Records should be:  
• Genuine which means completed honestly and in real time  
• Legible with any mistakes clearly visible using e.g. a line through and initial alongside the correction  
• Collected and retained in a way that allows them to be retrieved.  
Storage time of documents should take into account any legal or customer requirements and the use of and possible increased shelf-life of the product(s) such as freezing by the consumer (see 2.2/2.3 HACCP Product description).  
Retain staff training records for the period of employment plus the shelf life of any product they have been involved with, where the period of employment is shorter than this.  
Make arrangements for archiving your records and superseded documents.  
• Storage boxes for paperwork: clearly labelled so documents can be found quickly.  
• A safe, dry, pest-proof place to keep paperwork/boxes.  
• Documents other than records may be archived electronically or by hard copy.  
To prepare for a first time SALSA audit, significant change of scope, additional of new product category or moving to a new premises - there is a minimum period for the food safety systems, manufacturing processes and records to be established.  
To demonstrate compliance with the systems implemented, typically 2-3 months of records, or for seasonally / periodical production a minimum of 30 production days ‘worth of records’ would be expected. If you are not sure you have enough records to demonstrate compliance, you should discuss this concern with your SALSA auditor or the office prior to the audit and they will advise you. | Keep: - records of a trace test (See 3.3.2) on a product at end of shelf-life to check that you can retrieve all retained documents.  
Use the trace test to check that records have been completed correctly and in full.  
You could check that records are completed at the correct time, in full and are readable during the Housekeeping Check (see 1.3.1). |
### 3.6 Manufacturing and Finished Product Specifications

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| 3.6.1 | Specifications for recipes and finished products shall be adequate, accurate and kept current. | Manufacturing specifications - The recipe or product formulation documents may include details of:  
- Ingredients and their weights/volumes per batch or by percentage  
- Details of the processing method required to achieve the desired finished product  
- Date of issue and identity of the person issuing or approving the recipe  
- Details of any ingredients, processes or finished products where process or legal description claims are made e.g. organic, free range, regional produce (cheese, pasties, honey)  
- Any specific legal or customer requirements  

Finished product specifications - In addition, these should include details of:  
- Name of company and name of product  
- Product description including (as appropriate) ingredients list, nutrition information, allergenic ingredients, shelf-life and associated storage temperature information, microbiological information, chemical parameters (especially those for food safety/preservation such as pH), weight/volume content, storage information, food contact and outer packaging (see 2.2/2.3 HACCP product description)  
- See Tools & Tips for an example of a finished product specification.  

When reviewing specifications and recipes, ensure they accurately relate to the products being made and the processing methods being used. If they have changed, the HACCP plan should be reviewed (see 2.14 HACCP Review).  
- Consider any changes made to the products and/or processes and check that these recipes and specifications fully reflect these changes. Don't forget to consider any new raw materials you may be using and their compliance with any special requirements (see 3.7.2 Provenance ).  
- Check that the ingredients are accurately reflected in both the raw material specifications (see 1.6.2) and the label declaration of relevant products (see 3.7 Labelling control).  
- The specifications and recipes may be stored either electronically or on paper.  
- Any changes you have made as a result of the review should be recorded.  
- An appropriate frequency for review is annually.  

Keep:  
- A list of all the products you manufacture, and the recipes and finished product specifications relating to each product  
- Specification review records by signing and dating the list above, or perhaps signing and dating a printed copy of a specification  

Specification and recipes can be reviewed and verified during traceability challenges. | Keep:  
- A list of all the products you manufacture, and the recipes and finished product specifications relating to each product  
- Specification review records by signing and dating the list above, or perhaps signing and dating a printed copy of a specification  

Specification and recipes can be reviewed and verified during traceability challenges. |
### Ref: 3.6.2

**Requirement:** The specifications shall include defined limits for microbiological, physical, chemical parameters where these may affect the safety and/or quality of a finished product.

**What should be done to comply with this Requirement?**

- Finished product specifications should include defined limits for parameters that may affect product safety and/or quality. In many cases this will be microbiological criteria, but there may also be physical or chemical aspects e.g. pH, Aw, salt in moisture, patulin, ABV, the level of allergens like sulphites or the presence of allergens due to cross-contamination that are important or even legally required throughout processing and in the finished product.

- The Product description (see 2.2/2.3 HACCP) and Shelf-life validation (see 3.8.1) should provide relevant details for finished product safety/quality parameters and their limits. You could use microbiological, physical and chemical limits from regulations, codes of practice, or from SALSA Mentors.

- Where claims are made (see section 3.7 Labelling Control), you may justify these by analysis. Allergen related claims e.g. Low Gluten (see 1.4.4 Allergens) may require analysis and again these may also be an important parameter to include in the specification.

- All testing completed routinely and part of the finished product specification should be included on the finished testing programme (see 3.8.2).

- The finished product specification should include relevant details of microbiological, physical and chemical standards, frequency of testing and include defined limits for testing, which may affect the quality or safety of the finished product. (See 2.2/2.3 HACCP Product description).

- You could use microbiological, physical and chemical limits from regulations, codes of practice or from SALSA Mentors.

- Keep all records of sampling results including microbiological testing, chemical property sampling such as pH results, Aw etc, predictive modelling results (see glossary).

- The finished product specifications can include the key quality parameters required for product quality and consistency e.g. colour, flavour, texture, odour, piece size, organoleptic profile (e.g. bitterness and colour for brewing) and how to test for these requirements.

**How can I demonstrate this?**

- Keep: microbiological / physical / chemical test results for finished products.

- Use these to review the key safety / quality / microbiological / physical / chemical limits in the finished product specifications.

### Ref: 3.6.3

**Procedures, working instructions and records shall be clearly legible and readily accessible at all times.**

**What should be done to comply with this Requirement?**

- Ensure accurate procedures, working instructions and records are available for all processes where required. Use these documents as training tools.

- Monitoring procedures, working instructions and records should be in place for all CCPs.

- Ensure staff working at Critical Control Points realise how important it is that they follow set procedures (see 1.1.1 Training and Supervision). You could highlight CCP on relevant records.

- Staff should be familiar with procedures, working instructions and records. These should be easily accessible.

- Instructions could be displayed as a wall poster, kept in an easily accessible file or visible on a computer screen in the relevant workplace.

- Consider having instructions in different languages if this will help your staff understand their responsibilities.

- Ensure that the documents themselves do not become physical hazards for the product e.g. torn or dirty bits of paper.

**How can I demonstrate this?**

- Keep: staff training records (see 1.1.1)

- Detailed quality manual of procedures, work instructions and records

- These can be checked during
  - Food Safety Systems Review (see 3.1.1)
  - HACCP review (see 2.14)
### 3.7 Labelling Control

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| 3.7.1 | Procedures shall be in place to ensure all product labels and labelling information at point of sale, including e-commerce, websites and leaflets, fully conform to legislative and, where specified, customer requirements. | Make sure you have up-to-date information about the aspects of labelling regulations which apply to your product(s) and any points specified by your customer.  
- All label details and claims should be true, clear, accurate and verifiable.  
- Validate claims by checking against raw material specifications (see 1.6.2) and production recipes (see 3.6.1).  
- Check labels again when materials/recipes change.  
- It is mandatory to include Nutrition Information on your labels, except where exemptions exist in the legislation. FSA Nutritional labelling.  
Note: there is a derogation for small businesses which meet the criteria, see: Department of Health Technical Guidance on Nutrition Labelling or Local Authority.  
- If you sell online (e-commerce), check requirements for providing labelling information before sale.  
- All label and labelling information including websites and leaflets should be legal and not misleading e.g. inaccuracies in allergen indication leading to the product being unsafe.  
Using a 'label copy' checklist can be helpful. Keep a completed checklist with the relevant product recipe, finished product specification, a copy of the approved label/outer packaging and a copy of the artwork you have approved. Artwork may be kept digitally rather than printing out. You could keep a copy of delivered labels after checking this against the artwork.  
Make it clear how you have verified that your labels or printed packaging comply with legislation. This could be internally or by using a third-party such as Trading Standards or SALSA.  
Make sure you have up-to-date information about the aspects of labelling regulations which apply to your product(s) and any points specified by your customer.  
Chilled, ready-to-eat products shall indicate ‘store at 5°C or below’ on all primary, retail and outer packaging (if used).  
See Allergen Labelling 1.4.3 | Keep:  
- a completed label check list  
- evidence that supports information and claims used for ecommerce/leaflets and for labelling information made on these platforms and at point of sale  
Check labels/artwork as part of the annual finished product specification review.  
Verify the text against the product recipes or formulations and legal requirements. |
| 3.7.2 | There shall be evidence to support the use of provenance, suitability, production method, nutritional/health claims, or logo claims on finished product labels and labelling information at point of sale, including e-commerce, websites and leaflets. | Where claims are made on product labelling, E commerce, website information or leaflets ensure you are aware of the specific requirements needed to use that claim.  
Ensure certification is valid where products are certified by third party schemes such as Red Tractor Licensing, MSC, Organic, Halal, Kosher, RSPCA, or nutritional/health claims, or use of ingredients with specific provenance e.g. Scottish raspberries, Welsh Lamb, Kentish Bramley apples or Farmhouse cheese. Consider raw material specifications (see 1.6.2) and notes for review on certification 1.6.1)  
Producers wishing to legitimately use a registered Protected Food Name (PFN) are required to have an appropriate independent verification inspection carried out on the product itself e.g. Cornish Pasty, Jersey Royal potatoes. Where PFN ingredients are used, you should ensure that certification is valid, that product is manufactured in accordance with the specification and that labelling is compliant and using the relevant logo.  
If segregation of products, or a process step, is required by a Provenance Scheme, records should show how / where this has been achieved. This can be included on the site plan (see 4.3.1)  
The traceability challenge test (see 3.3.3) can be used to verify claims made | Keep:  
- evidence that raw materials including packaging are fully traceable throughout processing from intake to despatch  
- copies of certification, scheme registration or independent verification reports (PFN) with appropriate scope to scheme, specifications and labelling.  
If segregation of products, or a process step, is required by a Provenance Scheme, records should show how / where this has been achieved. This can be included on the site plan (see 4.3.1)  
The traceability challenge test (see 3.3.3) can be used to verify claims made |
| 3.7.3 | A procedure shall detail how the correct label or printed packaging is applied to product. Records shall be kept. | Consider how to check the correct labels / printed packaging are available before starting production and when changing over to a different product  
You could keep a copy of the label / printed packaging with the production sheet and sign it off/date it to confirm it has been checked. A copy may be kept of any label / sticker with batch code / date coding applied. | Keep:  
- records for labelling / printed packaging controls that cover each production run / batch and that demonstrate the correct controls at - production start-up, change over and end of run |
3.8 Product Shelf-Life and Product Testing

3.8.1 The shelf-life applied to products shall be validated to ensure the safety and quality of the product. Records shall be kept.

The first stage of determining / calculating a product shelf life is to understand the physical, chemical and microbiological parameters affecting the product throughout its shelf life e.g. pH / water activity / salt content / concentration of preservatives / packaging system / pathogen growth / spoilage organisms / organoleptic. These product safety characteristics should be described in the HACCP product description see 2.2, and should inform whether the product is capable of, or likely to support, the growth of pathogens throughout the proposed product shelf life.

Product quality characteristics such as smell, flavour, texture and appearance (organoleptic) should also be evaluated and determined, throughout the proposed product shelf life.

The shelf-life applied to the products should be validated and verified with records kept to demonstrate the techniques used and the results. You should evaluate and determine the factors that affect product safety and quality of your products, considering the reasonably foreseeable conditions of preventing cross contamination, storage, use and distribution.

Other companies’ products may be used as a guide BUT it is a mistake to make any assumption about the shelf-life of your products based on similar products on the market.

Combase predictive modelling systems can be used as a guide to predict shelf life. Keep records of predictive modelling for any micro, chemical or physical testing.

Remember to consider the effect of seasonal variations and different supply chains on shelf life e.g. frozen or chilled produce, imported products versus locally sourced.

A useful Industry guide for determining shelf life is given by CFA

For high-risk and ready-to-eat [RTE] products that may support the survival or growth of pathogens e.g. Listeria monocytogenes e.g. cooked meats, dairy, pasteurised fruit juices, smoothies, sandwiches, you will need to:

- Prove the intended shelf-life is microbiologically safe
- Include testing for the presence or absence of listeria spp during shelf life. Results shall indicate absence of Listeria monocytogenes in a 25g sample.
- Ensure the product does not spoil within the shelf-life.
- Take into account typical consumer storage and use.
- Shelf life testing should be re-validated as a minimum annually.
- You may consider the use of predictive modelling.

For ambient stable products e.g. preserves, soft drinks, snacks, cereal products and for low risk perishables e.g. bakery, hard cheese, the easiest way is to retain reference sample products in the exact packaging format as a standard production runs, look at them and taste them periodically throughout the expected shelf-life, record this. Adjust the shelf life accordingly based on these results.

Depending on the microbiological and chemical stability of the product, you may need to carry out microbiological or chemical testing to verify the shelf life. Regularly review your shelf life by keeping samples from production runs and assessing at end of life.

Remember to ensure your Finished Product Specifications (see 3.6.1) state the shelf-life, and that product labels and printed packaging (see 3.7.1) detail the correct storage conditions, instructions for use and open shelf life where relevant.

Shelf-life, storage conditions, instructions for use should all be part of the HACCP Product description (see 2.2/2.3). Periodic re-testing should be performed throughout the year based on risk assessment, taking into account the nature of the product and previous test results.
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| 3.8.2 | A finished product testing programme shall be in place to ensure compliance with specification. Records shall be kept. | Product testing should consider for example, free from claims, microbiological limits for high risk/high care food, chemical limits e.g. pesticide residues for agricultural products, salt, nitrate/nitrites, patulin for apple juice.  
- Product tasting during production should be in a designated area (see 1.2.5 Personal Hygiene and 4.3.1 site plan).  
- Testing parameters should be included in the finished product specification (see 3.6.2).  
- Organoleptic testing should be conducted at least annually to validate shelf-life.  
- Test results may be available from your supplier.  
- Several product categories e.g. meat, fish, chilled, RTE are governed by specific legislation requiring testing. Verification of the legal criteria for these products may need to be independently tested by an accredited laboratory.  
- Remember that testing results need to be reviewed by a competent person. This could be your SALSA Mentor or competent authority. | Keep:  
- Test schedule (sampling plan) and test results  
- Evidence of review of results, and corrective actions where necessary |
| 3.8.3 | Accredited laboratories shall be used for all tests which are critical to product safety or legality. | All critical product safety and legality testing should be carried out in a laboratory accredited to ISO 17025 or a similar recognised national standard. The laboratory schedule should include the testing being requested, or this may in some cases e.g. water analysis, be outsourced by the laboratory to another accredited laboratory. | Keep:  
- copies of UKAS / CLAS accreditation and schedules, these can be digital |
SECTION 4 - PREMISES, LAYOUT AND STRUCTURE

**Statement of Intent**

Premises and building structure shall be fit for purpose, clean, maintained, designed to minimise the risks of cross contamination, secure and legally compliant, meeting product security, production and staff requirements. Premises shall be registered with, or approved by, the appropriate authority.

What does a ‘Statement of Intent’ mean?

The Statement of Intent summarises the overall aim of the section that follows. The SALSA auditor will check each requirement during an audit. Should the auditor find that there is a substantial failure to meet the requirements of the section, it is likely that the supplier will also fail to comply with the overall Statement of Intent and result in the audit being converted to a mentoring visit.

**4.1 Premises Approval**

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<td>4.1.1</td>
<td>The production site shall be registered with, or approved by, the site's appropriate authority. Documented reports from the appropriate authority shall be made available and held on file for inspection.</td>
<td>If your business is required to register with the local authority, this should be done 28 days before you start trading. If your business requires approval, you should apply to the appropriate authority for approval at the earliest opportunity and be granted approval before you can start trading. Evidence of registration or approval will be required before the first SALSA audit.</td>
<td>Keep: - records of registration and approval - emails/correspondence with the local authority(ies)</td>
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**4.2 External Areas and Product Security**

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<td>4.2.1</td>
<td>External factors affecting the location which may contaminate or affect integrity of products shall be assessed.</td>
<td>• Premises should not be positioned where there is the potential for contamination of the product. • Consider environmental impacts such as type of businesses surrounding the premises e.g. effluent treatment plants, gasworks, contaminated land, airborne pollution, or other food businesses which may have a hazardous impact. • As part of your Food Safety Systems Review (see 3.1.1), include the location of your premises and any external factors which could have become relevant since your last review.</td>
<td>Keep: - a brief description of the surroundings as part of your Food Systems Internal Review</td>
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<td>4.2.2</td>
<td>The perimeter, grounds, drainage, external storage and utilities shall be maintained in good order.</td>
<td>External areas should not create any potential contamination problems: • Areas adjacent to the walls of the premises should be clear of plant growth and soil as this may present a risk of pest harbourage or ingress. Your pest control operator should monitor this during inspections. • Outside areas should not be used for storing raw materials, finished products, packaging or equipment unless items are covered and suitably protected from people, adverse weather, animals and pests. • The entrance and exits from the buildings should be clean and clear and pest-proof. • Bulk storage e.g. silos, tanks should be maintained and secured. • Due regard should be given to Waste Control (see 1.8), Pest Control (see 1.9) and Maintenance (see 1.11). • Drainage should be adequate with no pooling or ground saturation outside premises. Foul drains should connect directly to the sewerage system or septic tank and not connect to any other drains within the premises. • Product waste should comply with all statutory regulations. • Items (e.g. redundant or spare machinery) should not be placed immediately adjacent to external walls as this could offer pest harbourage.</td>
<td>You could include perimeter, grounds, intake points and storage areas on a routine check of the premises (see Housekeeping Check, 1.3.1).</td>
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### 4.2.3 Food Security / Defence Plan

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| 4.2.3  | There shall be a food security / defence plan that describes site and product security threats and how they are controlled. The plan shall always include the security measures and/or practices to ensure only authorised personnel have access to production and storage areas on site. Where digital records are used to demonstrate food safety and legality, how these records are protected in case of digital failure and digital cyber security attacks. | • Use the site plan (4.3.1) to help decide appropriate security controls.  
• Write a food security / defence plan to describe the security threats to and within the site and the security systems / procedures you have put in place.  
• Have a visitor/contractor reporting system in place.  
• Consider activities that may impact product security, risk assess and determine how these can be managed effectively to prevent threats to product security from personnel, visitors, contractors or external sources.  
• Have controlled access points to entrances/exits, food handling and storage areas e.g. key code, swipe card or key fob access from external areas.  
• External storage containers, tanks, silos and any intake pipes with external openings should be secure/locked.  
• Consider the use of CCTV in operation on site.  
• Refer to 1.12.2 for security during transportation.  

It is important that the security of records that demonstrate product safety and legality can be protected. Increasingly, records are stored electronically which may mean they are vulnerable to failure of or attacks against digital cyber security.  

• Information is available for small businesses from the National Cyber Security Centre: Small Businesses - 5 Steps advice about cyber security. NCSC Small business guide: 5 steps for cyber security  
• Back up data, protect against malware, keep smart phones and tablets safe, use passwords to protect data, avoid phishing attacks. | Keep:  
- food security / defence plan  
- a brief description of the security methods as part of your Food Safety Systems Internal Review (3.1.1)  
- Site plan indicating security controls (4.3.1)  
- records for visitor/contractor site visits  
- a google/satellite map to show the site location relative to the surroundings so that any potential risks can be considered. |

### 4.3 Site Layout and Methods of Working

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| 4.3.1  | There shall be a site plan to show how layout and methods of working minimise the potential for unintended physical, chemical, microbiological or allergen contamination of product and packaging at all process steps. | The site layout and process flow should follow a logical sequence to avoid unnecessary overlapping or repetition of process steps:  
• Consider intake, delivery, raw material storage, processing (there may be several steps here), work in progress, maturation, packing, labelling, finished product storage and distribution.  
• Plan production and train staff in their work activities.  
• Consider the potential for cross-contamination from the movement of staff within and around the production area.  
• Consider the potential for cross-contamination caused by the handling of different raw materials within an area, especially allergens.  
• Organise the process flow so that the risk of raw materials - or staff handling raw materials - coming into contact with processed products is prevented.  
• The hygiene zones that may be created should reflect the potential contamination risks to the product. These may be illustrated on the site plan using colour. | Keep an up-to-date site plan on which you map out factory movements to show the process flow of materials, products and people through the storage and processing areas. |
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| 4.3.2 | The factory layout, flow of processes and movement of personnel shall be managed to prevent the risk of cross-contamination and ensure effective segregation between products and ingredients where required. | Where the risk of product cross-contamination is identified, control of cross contamination during all aspects of production and storage should be in place. Examples of production requiring cross contamination controls are; gluten/gluten-free, allergen free from, vegetarian/vegan or dairy / meat and animal by-products, plant based. A detailed procedure should describe how these controls have been implemented and how they are monitored to be sure they are effective.  
- Staff should be fully trained in cross contamination management  
- Records should be reviewed routinely  
- This may include specific cleaning schedules, specific storage requirements and could include the separation of processes by time.  
- If it is not possible to avoid cross-contamination by products on shared surfaces or equipment, then separate handling and production equipment should be used.  
- If physical segregation is necessary, the segregated areas should be clearly identified and movement of materials and people appropriately controlled. | Show any segregated areas on the site plan (see 4.3.1).  
Cross contamination Control procedure  
Use labelling/signage and segregation in designated storage and processing areas.  
If time Segregation is used keep:  
-records of product planning schedules  
-records to show effective cleaning at start-up and product changeover  
-training records (see 1.1.1)  
You could include 'effective segregation' on a routine check (see 1.3.1, Housekeeping Check). |

Where ingredients require specific controls to segregate production between for example different of species of dairy / meat/offal / plant based:  
- Make sure that different ingredients are clearly labelled and well segregated in your storage and processing areas.  

Unless intended to be mixed in a product, controlled ingredients should be processed:  
- In different areas and/or  
- Using different equipment or  
- Using the same equipment at different times with appropriate cleaning and disinfection in between.  

Staff should be able to demonstrate awareness and understanding of any segregation procedures and records (see 1.1.1 Training).
### 4.4 Building Structure, Services and Fabrication

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| 4.4.1| Building structure including walls, ceilings, doors, floors, drains and lighting shall be sound, fit for purpose and regularly maintained. | **The premises and building structure should be suitable for the production of food products and comply with all the legal requirements for the product type.**  
  - **Floors** should be able to meet the demands of the process and withstand cleaning materials and methods. They should be impervious and in good repair.  
  - **Walls, partitions and doors** - in food preparation and open food handling areas should be smooth, washable, in sound repair and impervious and non-absorbent. In other parts of the food business, they should be smooth, washable and in sound repair, effectively proofed against pests and kept closed when not in use.  
  - **Windows** in production areas should be avoided, if they are present they should be shatterproof and if they can be opened, should be pest-proofed. Sills should be washable and clear of clutter (or, preferably, slope downwards).  
  - **Ceilings** should be in sound repair and should be easily cleaned. Ceilings should be provided in all processing areas. Ceilings and overhead fixtures (or where there are no ceilings, the interior surface of the roof) are to be constructed and finished so as to prevent the accumulation of dirt and to reduce condensation, the growth of undesirable mould and the shedding of particles. Where roof voids are present, these should be included in the pest control programme.  
  - **Exposed pipes.** If it is not possible to enclose pipes, it is essential that pipes and ducting can be cleaned easily and effectively, particularly horizontal runs. Pipe insulation should be sealed clean and undamaged. Any passage through walls should be sealed.  
  - **Lighting** should be adequate for safe working and the degree of illumination should comply with legal requirements. Fluorescent tubes in all areas where food or food packaging is stored or handled should be shatterproof or sealed inside diffuser covers to protect against shattering. Suspended lighting should be cleanable.  
  - **Internal drains** (see also Premises, 4.2) and floor drains if present, should be constructed and slope in such a way that waste and cleaning water can drain properly. Waste water should not flow from a contaminated area towards a clean area. The drains should be easy to clean and have grating flush with the floor surface. Any traps should be accessible and easy to clean. Drains from toilets should not present a risk to products. | Include checks of building structure, services and fabrication in a routine check of the premises (see 1.3.1, Housekeeping Check).  
Keep: records for maintenance carried out.                                                                                                                                                                                                 |
| 4.4.2| Building Services such as ventilation, compressed air and steam shall be sound, fit for purpose and regularly maintained. | **Include services in your programme of Planned Maintenance (see 1.11.1).**  
Ventilation should take account of the nature of the product e.g. to avoid excessive powder build up where dry powders are handled, to avoid condensation in wash-up areas or between chillers and ambient areas. Clean areas where air quality is important can be shown on the site plan (see 4.3.1).  
Compressed air that is in direct contact with product should be filtered and monitored to ensure no contamination risk occurs from e.g. dust particles or lubricants.  
Steam in direct contact with products or used to sterilise plant or packaging, should be assessed in case there could be carry-over from boiler water treatment chemicals. Steam generated from potable water without additives is unlikely to present a risk. | Keep:  
- records of maintenance carried out.  
- show any 'clean air' areas on the site plan (see 4.3.1)  
- if steam or compressed air come into direct contact with product, show this on the HACCP process flow  
- food safe certificates for lubricants, boiler additives.                                                                                                                                                                                                 |

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| 4.4.3 | Suitable and sufficient hand cleaning facilities shall be provided. | • Hand washing facilities should be suitable for the type and risk associated with your business.  
• Hand wash basins should be located to enable hand washing when entering the production area and there should be sufficient available throughout all food handling areas to encourage hand washing.  
• If possible, do not use hand-operated taps except perhaps in toilet facilities. If hand-operated taps are used, plan to replace them as part of your ongoing maintenance/upgrading.  
• Temperature-controlled warm running water should be available.  
• An antibacterial liquid hand soap is recommended conforming to BS: EN1499 and hand sanitiser conforming to BS: EN1500.  
• Soap and hygienic hand-drying facilities should be available by hand wash basins. A soap and paper towel dispensers and bin/container for used paper towels should be provided.  
• Bars of soap/washable towels are not recommended.  
• Hot air dryers are not recommended in areas other than toilet facilities because they can disperse aerosols containing microorganisms, especially if hand washing is not thorough or if the drier is not cleaned effectively.  
• Paper towel disposal should not pose a risk of contamination to food or the production environment.  
• If nailbrushes are used, they should be clean, plastic, in good repair and kept in a clean sanitising solution.  
• Hand washing basins should not be used for any other purpose e.g. utensil washing.  
• Staff should be trained in how to use the hand washing facilities. Include this as part of Personal Hygiene Procedure (see 1.2.1). | You could include use of sinks and hand washing on a routine check (see 1.3.1, Housekeeping Check).  
Keep: - staff training records (1.1.1 and 1.1.2).  
- site plan showing position of staff (see 4.3.1) facilities including hand cleaning stations |

| 4.4.4 | Changing facilities shall be provided and sited to avoid external contamination after changing into protective clothing. Toilets shall not open directly into product handling or storage areas. | • Staff should not change into protective clothing in the toilet cubicle area, intervening space or the processing/production area. Separate, designated changing room(s) or changing area(s) should be used.  
• For high risk/high care areas, there should be a clearly identified changing area, ideally positioned in a way to ensure staff pass through this area when leaving the high risk/high care area to go to the toilet. This could involve having two (or more) changing areas on site.  
Toilets and changing areas should:  
• Be adequate for the number of staff likely to use them at any one time.  
• Be easily accessible to staff and should not open directly into any processing, food handling or storage area.  
• Have signs in the toilet area instructing users to wash their hands, provided in additional languages if necessary.  
• Have hand wash basins located in the toilet cubicle or just outside so that users have to directly pass the basins.  
For additional procedural and training requirements for high care/high risk changing of protective clothing prior to using toilets see 1.2.3 Personal Hygiene. | Show changing areas and toilets on the site plan (see 4.3.1).  
Use clear signage / photos. |
<table>
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<td>4.4.5</td>
<td>Facilities for tray and utensil washing and general-purpose cleaning shall, where appropriate, be adequately segregated from product handling and storage.</td>
<td>Consideration should be given to the location of equipment cleaning facilities as this is a 'dirty' process. If the wash-up area cannot be totally separated from the food handling areas, then it should be clear how the process flow operates to avoid the risk of cross-contamination. • Use the site plan to help with this (see 4.3.1). Equipment/utensil sinks should be dedicated and sufficient to enable washing and rinsing and should not be used to wash food. • Small equipment should not be cleaned in hand wash basins or in sinks used for washing food. • Separate sinks or dishwasher/equipment washers should be provided and staff trained in their use (see 1.1.1 Training).</td>
<td>Include checks on the operation of your equipment cleaning facilities in a routine check of the premises (see 1.3.1 Housekeeping Check). Keep: - site plan to show cleaning facilities - staff training records (see 1.1.1)</td>
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<td>4.4.6</td>
<td>Glass and breakables control procedures shall be documented and shall include a list of relevant items and recorded checks.</td>
<td>Document how you will control Glass and Breakables on site and include how you will deal with breakages where there is a risk to product. Control of Glass and Breakables should minimise the risk of product contamination through checking the condition of unavoidable glass, ceramic and brittle plastic items which might, if damaged, cause hazard to the product. Identify and make a list of those glass and brittle plastic items which due to their location, for example, where product is exposed and vulnerable, may constitute a risk to product. Consider if it is possible to remove, replace or relocate any items on the list to minimise the risk. Routinely carry out a check on the condition of the listed items and record the results. The frequency of checking should be based on risk. This might be daily for items at risk in open product areas, weekly for brittle items in production and monthly for other areas. Take appropriate Corrective Action when damage has been identified (see 3.2.1). Dealing with breakages in production and food/packaging storage areas: • Consider the action necessary to remove the risk of glass, ceramic or brittle plastic contamination when a breakage occurs in a given area. • The procedure should define the area affected, equipment to be used e.g. brushes, disposable gloves/cloths, and what product would need to be destroyed as a precaution. • Keep a record of breakage incidents and action taken. • Unless you are packing into glass or ceramic containers, where it is not unusual to deal with broken or chipped glass / ceramic, it is appropriate to dispose of any cleaning equipment used to clear up. • Where frequent breakages may occur e.g. packing into glass containers, it is appropriate to provide dedicated, colour-coded cleaning equipment. • If products are packed into glass containers, there should be a written instruction detailing exactly what action is to be taken when a breakage occurs on, or adjacent to, the filler and/or the capper/lidder. • Keeping a piece of the broken item, in a sealed bag, alongside the breakage report can be useful for further investigation/in case of complaints.</td>
<td>Keep: - procedure for controlling breakages - an up-to-date list of glass and breakable items - records of routine glass and breakables checks - breakage records and any investigative and corrective actions taken (see 3.2.1/3.2.2) - Staff training records (see 1.1.1)</td>
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<td>4.4.7</td>
<td>Cleaning and/or replacing light fittings and glass shall be carried out in a manner to minimise the potential for product contamination.</td>
<td>Carry out any high-level cleaning and bulb replacement outside production times. If this is not possible for bulb replacement, record the control measures taken e.g. stop production and cover line directly under light, also remember to record the date and time (see 1.11.2 Maintenance line clearance).</td>
<td>Include routine light bulb checks/cleaning/ replacement on the Maintenance schedule (see 1.11.1)</td>
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| 4.4.8 | Procedures and controls shall be in place to prevent contamination by foreign bodies including wood and plastic, and from building structure, services and/or fabrication. | Your HACCP and pre requisite documentation should indicate what foreign bodies might be considered as relevant physical hazards such as, extraneous materials in ingredients e.g. shells, bones, raw material packaging, worn equipment, personnel, damaged structures, poor fabrication condition and worn equipment. Foreign bodies inherent to raw materials should be controlled using approved suppliers, specifications and goods in control (see 1.6 Control of suppliers and raw materials). Personnel as a source of foreign bodies and how to control this is described in sections 1.1 Staff Training and 1.2 Personal Hygiene. Metal contamination control is considered in 1.5.5 Metal control or detection. If wood cannot be avoided, then control measures should check condition of the wood:  
• If a food contact wooden surface or implement is essential to the food process, the surface or implement should be sound, capable of being cleaned and disinfected and should be checked frequently (daily/weekly) for cleanliness and condition. Otherwise, ensure that there are no wooden food contact surfaces or implements in use.  
• If wood or wood composite walls, doors, shelving, etc are present in product handling or storage areas, make sure that the wood material is sealed (varnished/painted) and is capable of being washed and disinfected if necessary. Varnish and paint may flake over time and be a foreign body hazard.  
• Wooden pallets used for raw material delivery should be inspected for pest infestation, damage, splinters, dirt etc.  
• Where wooden pallets are used in handling and production areas, the condition of wooden pallets, should be routinely monitored to reduce the risk of contamination from splinters. They should not be used in areas with open product. Plastic is often part of the raw material packaging and staff should be trained to open packaging with a clean cut to prevent plastic contamination during production. Utensils and conveyor belts may be plastic and should be inspected regularly for any damage or missing parts. Clear plastic is a particular hazard since it is difficult to detect visually. | Keep:  
• a list of relevant physical hazards (foreign bodies) in the Hazard Analysis 2.5, and 2.6 Pre Requisite Controls.  
• records of pre-start up checks which include any damaged items  
• show on the site plan (4.3.1) where wooden pallets are permitted  
Check the condition of any wood, plastic surface and the state of equipment and building structure/fabrication as part of the routine check on premises (see 1.3.1 Housekeeping Check)