Australian Government
Department of Agriculture and Water Resources

GUIDELINES

APPROVED ARRANGEMENT

POULTRY MEAT AND POULTRY MEAT PRODUCTS

These guidelines are subject to amendment from time to time.

Please ensure that you refer to the most recent version of the guideline.

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1	Export Meat Program	18 May 2018

Disclaimer

The information provided in this document is intended as guidance only and should not be taken as definitive or exhaustive. The *Export Control Act 1982* and the *Export Control (Poultry Meat and Poultry Meat Products) Orders 2010* provide the legal reference to these guidelines. This document includes agreed department and industry interpretations where necessary. While all reasonable efforts are made to ensure the information provided is accurate, the Commonwealth will not accept liability for any loss resulting from reliance on information contained in this document.

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Preface

Under the *Export Control (Poultry Meat and Poultry Meat Products) Orders 2010* (EC(PM&PMP)Os), it is the responsibility of the occupier to develop, implement and maintain an approved arrangement that meets food safety, product integrity, animal welfare and market access requirements.

The approved arrangement needs to demonstrate that the objectives of the EC(PM&PMP)Os are met to ensure that poultry meat and poultry meat products intended for export:

a) are wholesome, or are identified for further processing to be fit for human consumption

b) are derived from animals that were treated humanely prior to and during slaughter

c) are traceable and their integrity is assured

d) can be recalled if required

e) meet the importing country requirements necessary to maintain market eligibility

f) meet the requirements for accurate trade description.

These guidelines outline the factors to be considered by industry in the documentation of management practices, hygienic operations and export certification processes. For the regulator, they provide the framework for an inspection, verification and certification system that meets the requirements of all stakeholders including government, customers, producers, processors, and Australia's trading partners.

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Date: 18 / May /2018

1. Definitions

This table includes definitions which supplement those in the *Export Control Act 1982* (ECA), EC(PM&PMP)Os and the Australian Poultry Meat Standard.

Term	Definition
Ante-mortem inspection	Any procedure or test conducted by a competent person on live poultry for the purpose of judgement on disposition and suitability of poultry for slaughter for human consumption.
Authorised signatory	A person in management and control of the establishment who declares that the contents of a Meat Transfer Certificate (MTC) or Request For Permit (RFP) are true and the product meets requirements of the EC(PM&PMP)Os.
Competency	The consistent application of knowledge and skill to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to different situations.
Control (verb)	To take all necessary actions to ensure and maintain compliance with criteria established in the Hazard Analysis Critical Control Point Plan (HACCP).
Control (noun)	The state wherein correct procedures are being followed and criteria are being met.
Control measure	Any action and activity that can be used to prevent or eliminate a food safety hazard or reduce it to an acceptable level.
Corrective Action	Action taken to address non-compliance (immediate) and action taken to ensure that the chance of repeat non-compliance is prevented or minimised (long term or preventive).
Critical Control Point (CCP)	A point, procedure, operation or stage in the food chain, including raw materials, at which control can be applied and is essential to prevent or eliminate a hazard or reduce it to an acceptable level.
Electronic Legislation, Manuals and Essential References (ELMER)	The departmental website containing information for exporting product from Australia.
Employee	A worker that is paid a salary
Export Documentation System (EXDOC)	The computer system controlled by the department for processing export documentation.
Export Permit	A permit issued by the department for the export of poultry meat or poultry meat products.
Fit and proper person	A person listed in management and control of an export registered establishment that has been deemed fit and proper, based on information provided and assessed by the department as meeting export legislation requirements.
Flow diagram	A systematic representation of the sequence of steps or operations used in the production or manufacture of a particular product.
Food Standard Australia New Zealand (FSANZ)	A statutory authority in the Australian Government Health portfolio that develops food standards for Australia and New Zealand.

Term	Definition
Good Hygienic Practice (GHP)	All practices regarding the conditions and measures necessary to ensure the safety and suitability of food at all stages of the food chain.
Hazard Analysis Critical Control Point (HACCP) Plan	A document prepared in accordance with the principles of HACCP to ensure control of hazards which are significant for food safety in the segment of the food chain under consideration.
Humane slaughtering	A manner of slaughter that minimises handling and stress. Acceptable slaughter methods for poultry include electrical stunning followed by bleeding out, neck dislocation, approved inert gas or decapitation.
Inedible Meat Transfer Certificate (IMTC)	A form approved by the Secretary for use with the transport of animal food or pharmaceutical material between registered establishments or from registered establishments to animal food manufacturers or to premises handling pharmaceutical material. This form may be electronic.
Meat Transfer Certificate (MTC)	A form approved by the Secretary for use when export eligible meat and meat products, including poultry meat and poultry meat products, are transferred between export registered establishments. This form may be electronic.
Manual of Importing Country Requirements (MICoR)	A departmental website that sets out the requirements that exporters and the department must meet for products and commodities to be accepted for import into specific overseas countries.
Non-export poultry meat	Poultry meat that is not produced in accordance with the Orders (including poultry meat and poultry meat products that have lost their eligibility for export).
Notice of Intention to export	A Notice of Intention to export is issued for prescribed goods being exported from Australia for which an Export Permit must be issued.
Organoleptic Inspection	Using the senses of sight, touch, taste and smell for identification of diseases and defects.
Post-mortem Inspection	Inspection and assessment of poultry carcases and carcase parts by company employees, who are suitably trained or who hold recognised qualifications, ensuring that only wholesome poultry meat is passed for human consumption.
Poultry Meat Hygiene	All the conditions and measures necessary to ensure the safety and suitability of food at all stages of the food chain.
Pre-requisite Programs	General sanitation, hygiene, testing and maintenance programs applied prior to the application of HACCP, ensuring that the HACCP process can focus on issues directly related to food safety and including the Sanitation Standard Operating Procedure.
Raising Claim	For the purposes of this guideline, is a claim made in the trade description or export documentation about the poultry or supply chain specifically relating to poultry raising conditions, feeding, handling, drug treatments and/or geographical references.
Request for Permit (RFP)	The electronic version of the Notice of Intention for export. When it is validated it automatically generates the export permit.
Sanitation Standard Operating Procedure (SSOP)	A documented system for assuring that personnel, facilities, equipment and utensils are clean and where necessary, sanitised to specified levels during operations.
Staff	Contracted workers for the establishment

Term	Definition
Standard Operating Procedure (SOP)	A document describing the way an activity, process or service is delivered.
State Regulatory Authority (SRA)	State authorities that have entered into service delivery arrangements with the department in relation to the regulatory oversight of export poultry establishments.
Withholding Period (WHP)	The minimum period that must elapse between last administration or application of a veterinary medicine, including treated feed, and the slaughter of the animal for human consumption.
Work Instruction (WI)	A written job description; in-line specification; work procedure.

2. Approved Arrangement

2.1 Purpose

The EC(PM&PMP)Os require that the occupier of an establishment engaged in the preparation of poultry meat and poultry meat products for export has an Approved Arrangement (AA).

The purpose of the AA is to clearly describe those processes and practices that will underpin the departmental certification of poultry meat and poultry meat products for export.

The AA describes how occupiers will meet legislative requirements, including assuring compliance with:

a) sourcing of poultry

b) good hygienic practices (GHP) to ensure that food is wholesome

c) the application of Hazard Analysis Critical Control Point (HACCP) principles for food safety

d) the maintenance of product integrity, through the application of product identification, segregation, and traceability practices, ensuring that product is accurately described and maintains relevant importing country identification

e) importing country requirements

f) animal welfare requirements.

International standards recognise that food safety and suitability is based upon a systematic whole of chain approach. These guidelines contribute to this approach by providing requirements for communication pathways from the establishment.

2.2 Scope

These guidelines are applicable to all registered establishments processing and storing poultry meat and poultry meat products for export. Table 1 outlines the suggested scope of the AA for poultry establishments. If the poultry meat and meat products will be further processed, the establishment's AA should detail all relevant information.

Table 1: Suggested Scope of AA for Poultry Establishments

System support	Slaughter	Boning	Processing	Cold storage	Freight forwarder	Dry storage	Container depot
Policy objectives and commitment	m	m	m	m	m	m	m
Organisational structure	m	m	m	m	m	m	—
Management review	m	m	m	m	m	m	—
Internal audit	m	m	m	m	m	m	—
Corrective action	m	m	m	m	m	m	—
Training	m	m	m	m	m	m	—
Document control	m	m	m	m	m	m	—

Process control: Sanitation Standard Operating Procedure (SSOP)	Slaughter	Boning	Processing	Cold storage	Freight forwarder	Dry storage	Container depot
Pre operational sanitation	m	m	m	m	—	—	—
Operational sanitation	m	m	m	m	m	m	—
Personal hygiene	m	m	m	m	—	—	—

Process control: Standard Operating Procedure (SOP)	Slaughter	Boning	Processing	Cold storage	Freight forwarder	Dry storage	Container depot
Waste	m	m	m	—	—	—	—
Vermin control	m	m	m	m	m	m	—
Water	m	m	m	m	—	—	—
Hazardous substances	m	m	m	m	m	m	—
Structure and maintenance	m	m	m	m	—	—	—
Calibration	m	m	m	m	m	—	—
Sourcing of Poultry (Poultry Inspection Certificate, Form 2016/2406)	m	—	—	—	—	—	—
Slaughter	m	—	—	—	—	—	—
Inspection	m	–	–	–	–	–	–
Boning	—	m	—	—	—	—	—
Processing	—	—	m	—	—	—	—
Refrigeration	m	m	m	m	m	—	m
Sampling programs	m	m	m	—	—	—	—
Animal welfare	m	—	—	—	—	—	—

Process control: HACCP	Slaughter	Boning	Processing	Cold storage	Freight forwarder	Dry storage	Container depot
HACCP	m	m	m	m	m	—	—

Product integrity/certification	Slaughter	Boning	Processing	Cold storage	Freight forwarder	Dry storage	Container depot
Traceability and recall	m	m	m	m	m	m	m
Trade description	m	m	m	—	—	—	—
Halal *	m	m	m	m	m	m	-
Security / Product Integrity (MTC)	m	m	m	m	m	m	m
Control of official marks	m	m	m	m	m	m	—

Product integrity/certification	Slaughter	Boning	Processing	Cold storage	Freight forwarder	Dry storage	Container depot
Importing Country requirements	m	m	m	m	m	m	—
Export documentation (RFP)	m	m	m	m	m	m	—

[m] - Indicates mandatory components of the AA for each establishment.

* Halal SOP only required if establishment is producing or storing Halal poultry meat and poultry meat products.

2.3 Sections of the AA

The three fundamental components that may comprise an AA at an establishment are shown in Figure 1.

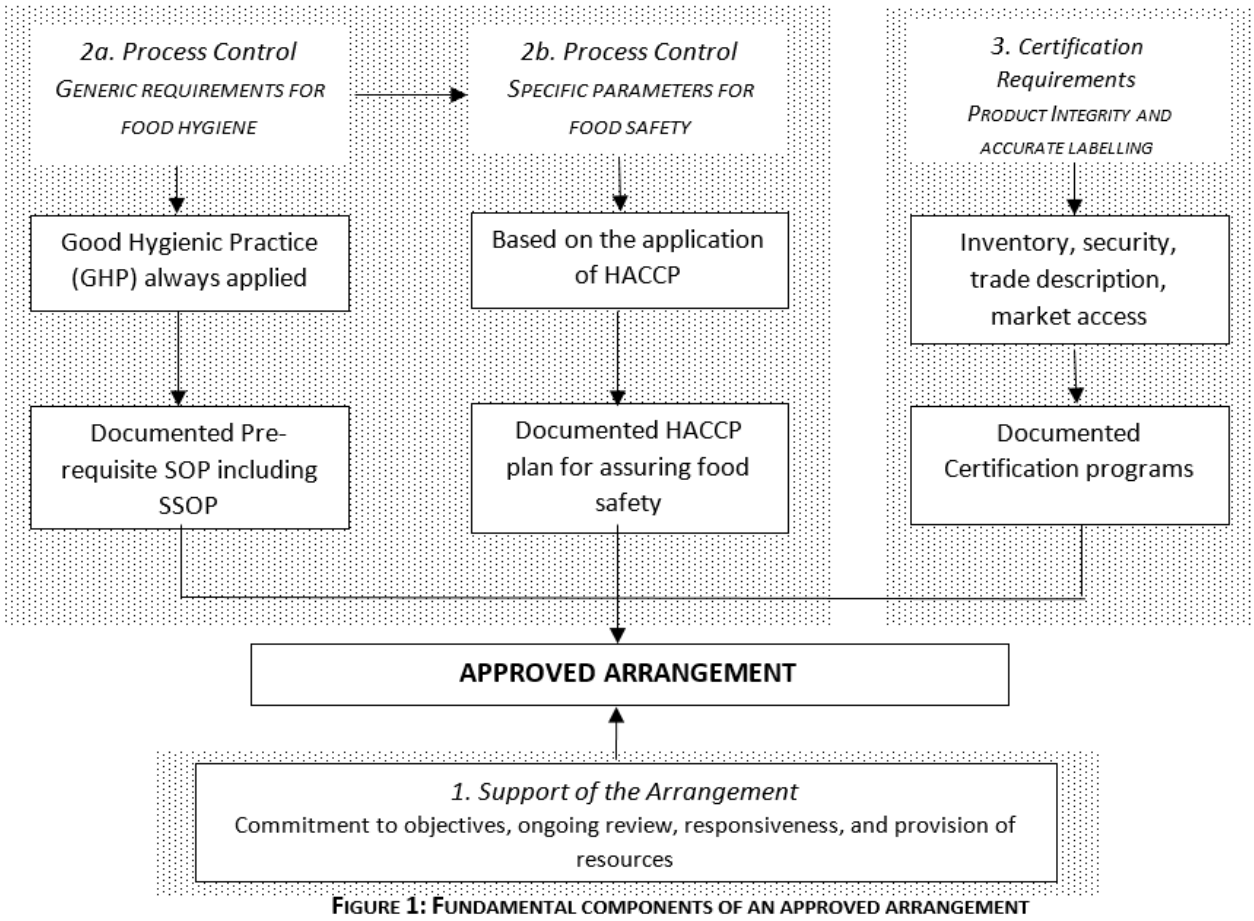


FIGURE 1: FUNDAMENTAL COMPONENTS OF AN APPROVED ARRANGEMENT

Part 1: Support of the Arrangement - sets out objectives for product wholesomeness and integrity and outlines procedures, including review and audit practices, required to underpin the quality management framework of an AA.

Part 2: Process Control - describes:

a) The procedures required to ensure food wholesomeness and the programs needed to form the basis of GHP at an establishment.

b) The application of HACCP principles to underpin food safety.

HACCP principles must be applied for the identification, evaluation and control of food safety hazards. The HACCP approach described in these guidelines is based on the principles of HACCP published by the Joint Food and Agriculture Organisation / World Health Organisation Codex Alimentarius Commission.

Part 3: Certification Requirements - describes the procedures required to ensure product integrity and accurate labelling to underpin export certification.

3. Structure of these guidelines

These guidelines have been developed by the department in consultation with the poultry industry and the State Regulatory Authorities to describe an approach to develop, implement and maintain an AA. They are designed to:

a) Provide advice to occupiers on principles to be addressed while developing arrangements.

b) Provide advice to the department regarding principles to be addressed in the assessment of an arrangement.

c) Describe the AA framework to trading partners and commercial customers.

d) Provide a tool to guide the on-going verification of an AA.

The format and framework provided is advisory only. The arrangement may take any form provided that the objectives and requirements of importing countries and the EC(PM&PMP)Os are met.

3.1. Review process

It is intended that these guidelines will be reviewed every three years or as required by the department in conjunction with the poultry industry and State Regulatory Authorities responsible for poultry.

Variations may be initiated by the department in response to changing requirements and will be undertaken in consultation with the poultry industry. These must be approved by the Secretary of the department or their delegate.

3.2. Interpreting this guideline

Each section of this guideline will require documented procedures, based on performance requirements, to be developed that address the relevant activities for each establishment type.

Documented procedures may be in the form of Standard Operating Procedures (SOP) and/or Sanitation Standard Operating Procedures (SSOP) where identified in the introduction for each section. This format for SOP or SSOP (Appendix 1) meets most overseas market requirements.

3.3. Performance indicators for procedures

The performance indicators provided can be utilised for the development of procedures to address management practices, hygienic operations and other requirements for export certification. They describe the actions or procedures that need to be undertaken to demonstrate compliance.

3.4. Checklists for each procedure

The checklists relate to the performance indicators and provide a tool to develop SOPs and/or work instructions (WI). They may be utilised for internal audit and monitoring purposes, and for verification by establishment management.

3.5. Targets for each procedure

The targets indicate the level of performance expected. Wherever possible, targets have been identified to address specific legislative requirements. There are two types of targets:

1. Mandatory (^{m}) targets – reflect the requirements under the ECA and subordinate legislation where they relate directly to the procedures required under the AA. Where targets are mandatory they are identified with an '^{m}' symbol and must be met in the AA.

2. Good management/hygienic practice targets – reflect the current industry practices implemented to meet a requirement. These targets are intended as a guide to assist industry in achieving the required outcome of legislative requirements. While these targets are not compulsory, operators need to ensure the outcomes of the applicable legislative requirements are met.

3.6. Alternative compliance

Establishments may develop alternative procedures, with alternative targets, provided the performance indicators and outcomes are validated under the AA framework.

3.7. Using this guideline to verify the AA

Verification activities through audit, and through microbiological and residue testing by both the industry/processors and by the department, further underpin the provision of export certification.

Unless agreed with the establishment, the scope of the verification undertaken by or on behalf of the department will be limited to matters that relate to compliance with the ECA, subordinate legislation and the current Australian Poultry Meat Standard.

4. Supporting documentation

The following references are recommended for the development and maintenance of an AA at a registered establishment:

4.1. Policy and legislative references

a) *Export Control (Poultry Meat and Poultry Meat Products) Orders 2010*

b) *Export Control Act 1982*

c) *Export Control (Prescribed Goods – General) Orders 2005*

d) Australian Poultry Meat Standard (Australian Standard for Construction of Premises and Hygienic Production of Poultry Meat for Human Consumption, AS 4465:2005)

e) Policy for registration of an establishment -

http://www.agriculture.gov.au/export/from-australia/documentation-registration-licensing/

f) Food Standards Code - www.foodstandards.gov.au.

g) *Electronic Transactions Act 1991*

h) *National Measurements Act 1960*

4.2. Other guidelines and industry recommendations

a) The department's Construction and Equipment Guidelines for Export Meat

b) Model Code of Practice for the Welfare of Animals: Domestic Poultry, Fourth Edition - http://www.publish.csiro.au/pid/3451.htm

c) Guidelines on the Use and Control of Electronic Records for Statutory Compliance - http://www.agriculture.gov.au/export/controlled-goods/meat/elmer-3/self-audit-checklist

d) Model Code of Practice for the Welfare of Animals Livestock at Slaughtering Establishments (SCARM Report 79) - http://www.publish.csiro.au/ebook/download/pdf/2975

e) Industry Advice Notices e.g. Meat Notices and Market Access Advices

f) Bacterial testing of work surfaces - CSIRO publishing 1993 - http://www.meatupdate.csiro.au/data/Bacterial_testing_surfaces_01-93.pdf

g) General Principles of Food Hygiene (CAC/RCP 1-1969) – Codex Alimentarius website

h) A Guide to the implementation and auditing of HACCP– (SCARM Report 60) - www.publish.csiro.au/nid/18/pid/1498.htm

i) Australian Government Department of Education and Training (myskills.gov.au) - AHC30516 - Certificate III in Poultry Production

j) Australian Meat Industry (MTM11, Release 4.0) Training Package competency criteria (training.gov.au)

k) AMPX420 - Participate in the ongoing development and implementation of a HACCP and Quality Assurance system (Release 1) (training.gov.au)

l) Australian Drinking Water Guidelines - https://www.nhmrc.gov.au/guidelines/publications/eh52

PART 1

SYSTEM SUPPORT

Introduction

Outcome

Management systems sustain product wholesomeness, safety and integrity, and staff have the resources to effectively implement the approved arrangement.

The EC(PM&PMP)Os and Australian Poultry Meat Standard require the occupiers of export poultry meat establishments to demonstrate commitment to ongoing assessment and review of the management and production systems against the objectives and requirements of the legislation.

This section requires that:

1. The establishment, through the most senior manager on site, commits formally to the AA and to compliance with legislation and importing country requirements. The occupier defines the organisation's objectives, including performance management and commitment to the preparation of wholesome products and maintenance of product integrity.

2. The occupier documents an organisational chart (showing lines of communication) of management and personnel with AA related responsibilities.

3. The occupier documents procedures for:

    a) management review

    b) internal audit

    c) corrective actions

    d) training

    e) document control.

Appendix 1 provides a recommended format for procedures. However, it is not mandatory for procedures to be developed in this format.

1. Policy Objectives and Commitment

Outcome
The occupier demonstrates commitment to the approved arrangement.

Performance Indicators

1.1 Management is to develop, publish and formally commit to a quality policy that describes their compliance to producing poultry meat and poultry meat products that are:

a) produced using GHP and HACCP principles to maintain product integrity

b) wholesome

c) accurately described

d) meeting the requirements of the ECA and its subordinate legislation, and relevant importing country requirements

e) traceable

f) derived from animals that were treated humanely prior to and during slaughter.

Table 2: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
1.1	Management has developed a quality policy describing their commitment to compliance with: • Good Hygienic Practice • HACCP • Product integrity • Animal welfare requirements • The ECA and subordinate legislation • The Australian Poultry Meat Standard and any relevant importing country requirements.

Table 3: Target

Item	Target	Reference
1.1	[m] A management statement is made by the most senior establishment representative on-site.	EC(PM&PMP)Os – 1.03 (1) & Schedule 2, Clause 1 AS 4465 – 14 (a) 4.1

2. Organisational Structure

Outcome
The organisational structure and responsibilities of personnel in positions of control are described.

Performance Indicators

2.1 A profile of the establishment and its resources is provided.

2.2 The responsibilities of each position in management and supervision are described.

2.3 The positions that include the authority to recall or withdraw product are described.

Table 4: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
2.1	A profile of the establishment and its resources is provided?
2.2	Responsibilities for each position in management and supervision are described?
2.3	Positions that have the authority to withdraw and recall product due to non-compliance are described?

Table 5: Target

Item	Target	Reference
2.1	Plant profile outlining process type, production capacity. *Note: flow charts and plant layouts are also useful, see HACCP and Structure and Maintenance sections*	AS 4465 - 14 (a)
2.2	[m] Organisational chart or list. Alternative positions/personnel for decision making should be specified.	EC(PM&PMP)Os – Schedule 2, Clause 2 AS 4465 – 14 (a) 4.1
2.3	[m] Positions with authority to initiate functions such as product withdrawal and recall are identified.	EC(PM&PMP)Os – Schedule 2, Clause 2 AS 4465 – 14 (a) 4.8, 4.13

3. Management Review

Outcome
The approved arrangement is suitable, adequate and effective.

Performance Indicators

3.1. The review process is supported by senior management.

3.2. The review follows a defined process, and is documented and conducted at planned intervals to assess compliance with the AA and legislative requirements:

a) Whether the operations have met the expected outcomes of the AA.

b) Confirmation that the AA is current.

c) The continued suitability, adequacy and effectiveness of the AA.

Table 6: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
3.1	Reviews are conducted at planned intervals to provide the following: • An assessment of whether the operations have met expected outcomes of the AA • Confirmation that the AA is current.
3.2	The inputs to management review includes information on: • Results of audits • Status of corrective actions • Customer feedback • Process performance and product conformance • Follow-up action from previous management reviews • Changes that could affect the AA • Recommendations for improvement • Verification of HACCP (see Part 2, Process Control).
3.3	The outputs from the management review records decisions and actions related to: • Improvement of the effectiveness of the AA and its processes • Improvement of product, related to legislative and customer requirements • Resource needs • Any non-compliance of the AA with legislation and importing country requirements.

Table 7: Target

Item	Target	Reference
3.1	[m] Inputs to Management Review are described.	EC(PM&PMP)Os - Schedule 2, Clause 5.1 AS 4465 - 14 (a) 4.1
3.2	[m] Conduct Management Review in line with written procedures.	EC(PM&PMP)Os - Schedule 2, Clause 5.1; AS 4465 - 14 (a) 4.1

Item	Target	Reference
3.3	[m] Outputs of Management Review are recorded.	EC(PM&PMP)Os - Schedule 2, Clauses 5.1 & 5.2 AS 4465 - 14 (a) 4.1

4. Internal Audit

Outcome
An internal audit verifies compliance with the approved arrangement.

Performance Indicators

4.1 The audit schedule covers all elements of the AA (including fully covering elements of the HACCP plan).

4.2 There is a nominated frequency for the audit of each element (each element of the AA must be audited at least annually).

4.3 An audit procedure is developed and followed.

4.4 Competent personnel independent of the element, will conduct the audit.

Note: Establishments operating with up to 3 people may replace the internal audit with a management review to ensure the AA is operating effectively.

Table 8: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
4.1	The audit schedule covers all elements of the AA?
4.2	Each element is audited at least annually?
4.3	There is a defined audit procedure followed?
4.4	Personnel conducting the audit are competent and independent?

Table 9: Target

Item	Target	Reference
4.1	[m] Scope covers all stages of the operations.	EC(PM&PMP)Os - Schedule 2, Clause 5.1 AS 4465 – 14 (a) 4.1
4.2	Each element is audited at least annually.	EC(PM&PMP)Os - Schedule 2, Clauses 5.1, 5.2 AS 4465 – 14 (a) 4.1 AS 4465 – 14 (a) 4.17
4.3	A defined audit process is followed. The use of checklists, audit summaries, non-compliance reports and observations, and records are kept including corrective actions.	EC(PM&PMP)Os - Schedule 2, Clauses 5.1 & 5.2; AS 4465 - 14 (a) 4.1

Item	Target	Reference
		AS 4465 – 14 (a) 4.17 EC(PM&PMP)Os - Schedule 2, Clause 7.1
4.4	[m] The personnel conducting the audit are competent and independent of the element being audited.	EC(PM&PMP)Os - Schedule 2, Clause 5 AS 4465 - 14 (a) 4.17 & 4.18
4.5	[m] The internal audit findings are clearly documented and corrective action taken where appropriate. Outcomes are reviewed as part of the management review process.	EC(PM&PMP)Os - Schedule 2, Clause 4.3, 5.1, 5.2 & 7.1

5. Corrective Action

Outcome

Corrective actions are taken to ensure food safety, wholesomeness, product integrity, animal welfare and importing country requirements are met.

Performance Indicators

5.1 Corrective actions are specified where possible.

5.2 Corrective actions address underlying cause/s of failure (including short and long term preventive activities).

Note: It is recommended there be a corrective action procedure to cover those elements not specifically covered in process control i.e. external non-compliances/complaints (e.g. customer complaints against regulatory audit results etc.).

Table 10: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
5.1	The general principles relating to corrective actions are covered?
5.2	Corrective actions for specific procedures (SSOP and SOP) are detailed to address predictable non-compliances?
5.3	Corrective actions are applied for both internal and external reports of non-compliances?
5.4	Corrective actions address both defective products and processes?
5.5	Corrective actions address actions that prevent any underlying failure?
5.6	Records of corrective actions are kept?

Table 11: Target

Item	Target	Reference
5.1	The corrective action process is described and includes: • Investigation of cause • [m] Applies corrective action (directed to product and process reduces chance of recurrence) • [m] Verification of effectiveness of corrective actions.	EC(PM&PMP)Os - Schedule 2, Clause 4.1 EC(PM&PMP)Os - Schedule 2, Clause 4.1 (a) EC(PM&PMP)Os - Schedule 2, Clause 4.1 (b)
5.2	[m] Corrective actions are specified in advance where possible.	EC(PM&PMP)Os - Schedule 2, Clause 4.3 AS 4465 - 14 (a) 4.14

Item	Target	Reference
5.3	Actions should be taken for non-compliances identified by employees or second and third parties.	EC(PM&PMP)Os - Schedule 2, Clause 4.1 AS 4465 - 14 (a) 4.14
5.4	[m] Corrective Action addresses product and processes.	EC(PM&PMP)Os - Schedule 2, Clause 4.1 AS 4465 - 14 (a) 4.14
5.5	[m] Corrective Action is applied to prevent or minimise recurrence.	EC(PM&PMP)Os - Schedule 2, Clause 4.1(a) AS 4465 - 14 (a) 4.14
5.6	[m] Records are kept.	EC(PM&PMP)Os - Schedule 2, Clause 4.3

6. Training

Outcome
Staff and employees are competent.

Performance Indicators

6.1 Staff and employees are assessed for competence in relevant tasks.

Reference

Australian Meat Industry (MTM11, Release 4.0) Training Package competency criteria (training.gov.au)

Table 12: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
6.1	Staff and employees are assessed for task competency in terms of the relevant work instruction?
6.2	The training needs of staff and employees are regularly identified and addressed?
6.3	Training programs are available, and new and existing staff and employees participate as required?
6.4	All new staff and employees undertake an induction training program as required?
6.5	Records of training and assessment are maintained for staff and employees?

Table 13: Target

Item	Target	References
6.1	[m] Occupier ensures staff and employees are competent in their responsibilities outlined in the AA. [m] Establishment system for assessing competence is required to verify compliance. Occupier may use induction training and process control assessments as part of the process.	EC(PM&PMP)Os - Schedule 2 AS 4465 - 14 (a) 4.18
6.2	[m] Training is available for all tasks for staff and employees. Recognised training has been successfully completed for personnel who develop and reassess HACCP plans (co-ordinator).	EC(PM&PMP)Os - Schedule 2 AS 4465 - 14 (a) Clause 4.18

Item	Target	References
		AMPX420 or equivalent - Participate in the ongoing development and implementation of a HACCP and Quality Assurance system (Release 1)
6.3	Records of competency assessment and training are kept.	EC(PM&PMP)Os - Schedule 2 Clause 7.1

7. Document Control

Outcome
The approved arrangement documentation is maintained.

Performance Indicators

7.1 The version of the AA in use is current and approved.

7.2 Relevant people have access to the current version of the AA.

7.3 Auditable records are maintained.

Note: Electronic manuals/records must comply with the Guide for the Use and Control of Electronic Records for Statutory Compliance. Documents and records may be in either manual or electronic form.

Reference

Guide for the Use and Control of Electronic Records for Statutory Compliance (www.agriculture.gov.au)

Table 14: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
7.1	There is a procedure for amending the AA?
7.2	There are records of amendments to the AA?
7.3	The version of the AA is current and approved?
7.4	No variations that could adversely affect the arrangement (i.e. those that effect wholesomeness or integrity, or compliance with the EC(PM&PMP)Os)) are implemented prior to approval by the ATM?
7.5	Controlled copies of the AA are available to relevant people?
7.6	Staff and employees have access to the parts of the AA, regulations and any other advice that are relevant to them, including the departmental meat notices, master lists of chemicals, master list of references, or HACCP references?
7.7	Electronic Manuals/Records comply with the Guide for the Use and Control of Electronic Records for Statutory Compliance?

Table 15: Target

Item	Target	Reference
7.1	[m] AA amendment procedure involves developing the amendment, obtaining internal establishment approval and providing a submission to the department or State Regulatory Authority auditors.	EC(PM&PMP)Os - Schedule 1, Part 2, Division 2.2 AS 4465 - 14 (a) 4.5
7.2	[m] Records of amendments.	EC(PM&PMP)Os - Schedule 1, Clause 14.2

Item	Target	Reference
	After formal approval, the amendment is recorded on the amendment register providing evidence of superseded documents. ***Note**: previous HACCP plans and their supporting documents must be kept (see HACCP section)*	
7.3	[m] Version of the AA is current and approved.	EC(PM&PMP)Os – Part 3, Clause 3.02
7.4	[m] No variations that could adversely affect the arrangement are implemented prior to approval by the department.	EC(PM&PMP)Os - Schedule 1, Clause 15.1
7.5	[m] Access to the current documentation is provided.	AS 4465 - 14 (a) 4.5
7.6	[m] Access to the AA and other important information is provided.	EC(PM&PMP)Os - Schedule 2, Clause 2
7.7	[m] Where the AA document is to be kept in electronic form, approval is based on a controlled process that includes the following activities: • [m] A copy of the most current version supplied to the department is available in an electronic storage format (e.g. CD ROM) with the recorded segments "closed" (i.e. date and time stamped). • [m] A summary of the current revision status of the sections of the manual is printed to show the current version status. • [m] Use of a departmental electronic signature (refer to Guidelines on the Use and Control of Electronic Records for Statutory Compliance). [m] For electronic records, the system to maintain the guidelines needs to comply with the Guidelines on the Use and Control of Electronic Records for Statutory Compliance. Companies will need to develop procedures for the management of the complete electronic documentation system. [m] For records that are required to demonstrate compliance, printed versions complete with signatures from person(s) in a position of management and control signifying their accuracy, can be provided. For example, weekly printouts of computerised temperature records of storage chambers signed by the Quality Assurance (QA) manager. [m] Where necessary to demonstrate compliance, records are made. Relevant records, either made or acquired, are kept for at least 2 years.	*Electronic Transaction Act,* Part 2, Division 2 Guide to the use and control of electronic records for statutory compliance. www.agriculture.gov.au EC(PM&PMP)Os, Part 10 EC(PM&PMP)Os - Schedule 2, Clause 7.1

PART 2

PROCESS CONTROL

Section A: Good Hygienic Practice

Section B: Hazard Analysis Critical Control Point (HACCP)

Introduction

The occupier is required to demonstrate effective process control through all phases of production of poultry meat and poultry meat products, to ensure they are wholesome and produced safely by the application of GHP and HACCP.

Section A of this part covers pre-requisite programs designed to underpin the following outcome:

Outcome
Processing operations do not jeopardise product wholesomeness.

An internationally accepted method of presentation is Sanitation Standard Operating Procedure (SSOPs) and Standard Operating Procedures (SOPs). (See Appendix 1 for recommended format).

Examples of documented GHPs that are relevant to the Process Control requirement of the AA are:

Table 16

Sanitation Standard Operating Procedures
• *Pre-operational sanitation* • *Operational sanitation* • *Personal hygiene*

Standard Operating Procedures
• *Waste disposal* • *Water supply* • *Pest and vermin control* • *Structure and maintenance* • *Control of hazardous substances* • *Approved suppliers* • *Calibration* • *Sourcing of poultry* • *Animal welfare (where required)* • *Dressing* • *Boning* • *Temperature control* • *Sampling programs* • *Animal food material* • *Inspection* • *Further processing*

Section B of this part covers a HACCP designed to achieve the following outcome:

Outcome
The production of safe food.

The application of the steps and principles described in this section will assist the occupier in developing and implementing a HACCP plan that underpins the production of safe food.

SECTION A: Good Hygienic Practice

1. Pre-Operational Sanitation

Outcome

The establishment and equipment are not a source of contamination to poultry meat and poultry meat products.

Performance Indicators

1.1 Procedures are in place to ensure that, prior to commencement of operations, any part of the establishment and equipment that could contact the product, either directly or indirectly, are cleaned and sanitised.

1.2 Other areas of the establishment, including storage areas, amenities and establishment environs are kept in a suitable sanitary state.

1.3 Work instructions are written that are current, and detail the actions necessary to achieve the above requirements.

Reference

Bacterial testing of work surfaces - CSIRO publishing 1993.

Table 17: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
1.1	The establishment has a documented procedure for pre-operational sanitation?
1.2	The procedure (at a minimum) addresses the cleaning of food contact surfaces, equipment and utensils?
1.3	The procedure also addresses non-contact surfaces?
1.4	The procedure addresses monitoring?
1.5	The procedure addresses corrective action?
1.6	The procedure addresses verification of monitoring and corrective action?
1.7	The procedure addresses the frequency of the tasks including monitoring and verification?
1.8	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
1.9	The records of these procedures and corrective action taken are being maintained?

Table 18: Target

Item	Target	Reference
1.1	[m] Documented procedure.	EC(PM&PMP)Os - Schedule 2, Clause 11.1 AS 4465 – 14 (a) 4.2 AS 4465 – 14 (a) 4.5
1.2	[m] Processes for sanitation of production areas and equipment, personal issue equipment, are described. Equipment is disassembled for cleaning and cleaning in place (CIP) processes are described where required. [m] Chemicals used in cleaning and sanitation are used, stored and handled in accordance with instructions specified on the label by the manufacturer.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 – 15.1 to 15.4 AS 4465 – 8.1, 9.1, 9.2, 15.9 AS 4465 – 15.150 to 15.153
1.3	[m] Procedures are developed and followed for sanitation of all other facility areas, including overheads, chiller units, walls, amenities and storage.	EC(PM&PMP)Os - Schedule 2, Clause 11.1 AS 4465 – 14 (a) 4.2 AS 4465 - 14 (a) 4.5
1.4	[m] Prior to commencement of operations, production areas and equipment are subject to organoleptic assessment inspection (i.e. looks clean, feels clean, smells clean) ensuring: • [m] attention is paid to contact surfaces • [m] personal issue equipment is checked • [m] areas containing packaging where packaging may come into contact with product are checked • [m] sterilisers are checked (temperature 82°C) • [m] hand-wash facilities are adequate and temperatures are checked (30°C to 50°C) • [m] overhead structures should not have the potential to contaminate edible product or contact surfaces by being a source of falling contamination • equipment assembled from multiple components, in which particles or residues could accumulate, is left disassembled for monitoring • [m] Ancillary areas/equipment (e.g. amenities, surrounds, storage areas etc.) are monitored • Times of monitoring should be recorded.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - Appendix A AS 4465 – 14 (a) 4.10 AS 4465 – 14 (b) 4 AS 4465 – 8.3 (a) AS 4465 – 15.16 AS 4465 – 8.2
1.5	[m] Defects on contact surfaces must be cleaned prior to commencement of operations (spot cleaning). Overhead contamination (including condensation) that has the potential to contaminate edible product is removed prior to commencement (or continuation) of operations. Feedback of reports of any sanitation deficiencies identified from monitoring and verification are made to the cleaning supervisor. [m] Effectiveness of actions should be verified.	AS 4465 – 5.11 (a) and (c) AS 4465 – 15.150
1.6	[m] Verification procedures are in place that include:	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 – 14 (b) 6

Item	Target	Reference
	• microbiological testing of product contact surfaces including personal issue equipment to verify the organoleptic assessment • verification of cleaning in place • [m] review of the monitoring records • [m] checks of the monitoring procedures • [m] review of corrective actions.	AS 4465 - 13.1, 15.17 AS 4465 - Appendix A
1.7	[m] Pre-operational assessment prior to the start of production is conducted daily. The frequency of checks of ancillary areas is specified. Records are verified daily.	AS 4465 - 15.3
1.8	[m] The individuals responsible for the tasks are identified.	AS 4465 - 14 (a) 4.1
1.9	[m] Records of monitoring, corrective action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

2. Operational Sanitation

Outcome

The establishment and equipment are not a source of contamination to poultry and poultry meat.

Performance Indicators

2.1 During operations production areas and equipment, including contact surfaces, are kept in a suitable sanitary state.

2.2 Procedures are in place to ensure that edible, inedible and condemned material are identified, handled and kept separate during production.

2.3 Written work instructions are current and detail the actions necessary to achieve the above requirements.

Table 19: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
2.1	The establishment has a documented procedure for operational sanitation?
2.2	The procedure (at a minimum) addresses the ongoing sanitation of food contact surfaces?
2.3	The procedure addresses other areas critical to the production of safe food?
2.4	The procedure addresses separation of edible, inedible and condemned material?
2.5	The procedure addresses monitoring?
2.6	The procedure addresses corrective action?
2.7	The procedure addresses verification of monitoring corrective action?
2.8	The procedure addresses the frequency of the tasks including monitoring and verification?
2.9	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
2.10	The records of these procedures and corrective action taken are being maintained?

Table 20: Target

Item	Target	Reference
2.1	[m] Sanitation procedures are documented.	EC(PM&PMP)Os - Schedule 2, Clause 11.1 AS 4465 - 14 (a) 4.5
2.2	[m] Work instructions are developed and followed for operational sanitation of product contact surface including personal issue equipment (saws, knives, sterilisers, gloves, aprons):	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 15.1 to 15.4

Item	Target	Reference
	• [m] between carcases prior to post mortem (PM) or when contaminated if more frequent • [m] entering rooms and leaving (if kept in refrigerated room may not be necessary) • [m] build-up and contamination on surfaces after PM and between shifts • [m] when contaminated. [m] Hand-washing to be performed with liquid soap: • [m] hands to be washed when entering and leaving edible product production areas • [m] hands to be washed when they become contaminated. [m] Maintenance of steriliser temperatures (minimum temperature 82°C). [m] Maintenance of hand-washing facilities (liquid soap, temperature between 35°C and 45°C). [m] Ongoing cleaning does not jeopardise other poultry meat and poultry meat products. [m] Floor cleaners don't contact poultry meat, poultry meat products or product contact surfaces. [m] Personnel working in potentially contaminated areas of the establishment are distinguishable from those working in edible poultry meat and poultry meat product areas. [m] Personnel working in potentially contaminated areas must only enter edible areas or handle edible goods after a suitable clean-up and a change of protective clothing.	AS 4465 - 8.1, 8.2, 9.1, 9.2, 15.9 AS 4465 - 15.133, 15.135 (f) AS 4465 - 15.150 to 15.153 AS 4465 - 4.2 (a) AS 4465 - 17.1 Construction & Equipment Guidelines – 16.25 & 5.9.1
2.3	[m] Procedures are developed and followed for operational sanitation in other critical areas such as: • [m] condensation (removed without cross contamination) • [m] adequate ventilation • [m] dropped poultry meat pieces (external surfaces completely trimmed or other approved method) • [m] dropped carcases (contaminated side is completely trimmed or other approved method).	EC(PM&PMP)Os - Schedule 2, Clause 11.1 AS 4465 - 14 (a) 4.5 AS 4465 - 5.19, 5.20
2.4	[m] Procedures include: identification, handling and separation of edible, inedible and condemned material in operations and in storage. [m] Different categories of workers are identified.	AS 4465 - 14 (a) 4.1
2.5	[m] Monitoring covers facilities, sterilisers, as well as practices. [m] On re-entry to work areas personal issue equipment should pass organoleptic assessment.	EC(PM&PMP)Os - Schedule 2, Clause 3

Item	Target	Reference
	[m] Where equipment is required to be sanitised time of monitoring should be recorded.	AS 4465 - 14 (a) 4.10
2.6	[m] Defects on contact surfaces must be cleaned prior to continuation of operations (spot cleaning – must not cause cross contamination). Feedback of reports of any sanitation deficiencies identified from monitoring and verification are made to the supervisor. [m] Effectiveness of actions must be verified.	AS 4465 - 15.3, 15.4 AS 4465 - 15.150
2.7	[m] Verification procedures include: • [m] review of the monitoring records • [m] checks of the monitoring procedures • [m] review of deficiencies.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10
2.8	Check personnel, issued equipment and hand washing on return from breaks. [m] Production and related areas are checked at least daily. Sampling of sterilisers at commencement of each production run and during operations. Records are verified daily.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10
2.9	[m] The individuals responsible for the tasks are identified.	AS 4465 - 14 (a) 4.1
2.10	[m] Records of monitoring, corrective/preventative action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

3. Personal Hygiene

Outcome
Personnel are not a source of contamination to poultry meat and poultry meat products.

Performance Indicators

3.1 Persons handling edible product, or working in or entering edible product handling areas, are wearing clean protective outer clothing and medically fit for purpose.

3.2 Personal hygiene practices ensure that poultry meat and poultry meat products are not contaminated.

3.3 Work instructions are written that are current and detail the actions necessary to achieve the above requirements.

Table 21: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
3.1	The establishment has a documented procedure for Personal Hygiene?
3.2	The procedure addresses edible, inedible and maintenance workers and visitors?
3.3	The procedure addresses personal health?
3.4	The procedure addresses the issue and maintenance of clean outer clothing?
3.5	The procedure addresses monitoring?
3.6	The procedure addresses corrective action?
3.7	The procedure addresses verification of monitoring and corrective action?
3.8	The procedure addresses the frequency of the tasks including monitoring and verification?
3.9	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
3.10	The records of these procedures and corrective action taken are being maintained?

Table 22: Target

Item	Target	References
3.1	[m] Document Personal Hygiene procedures.	EC(PM&PMP)Os –Schedule 2, Clause 11.1 AS 4465 - 14 (a) 4.1, 4.5

Item	Target	References
3.2	[m] Scope is defined.	AS 4465 - 14 (a) 4.1, 4.5
3.3	For procedures addressing personal health, the following are included: • Medical clearance is obtained in order to commence work (doctor's certificate) • After any specific period of absence there is a medical clearance to recommence work (registered nurse minimum) • [m] Surveillance of health of workers is carried out.	AS 4465 - 15.133 to 15.141
3.4	For clothing and footwear: • [m] clean protective clothing must be worn (not to be worn off site and must be cleaned when contaminated or soiled) • [m] clean footwear must be worn (cleaned when contaminated or soiled) • [m] hairnets (all hair is enclosed including beard and moustache) and gloves worn as required.	AS 4465 - 15.133 to 15.141
3.5	[m] Monitoring procedures also cover personal hygiene practices of personnel.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
3.6	Corrective actions to include the following activities: • [m] Deficiencies in practice must be rectified immediately. • Feedback of reports of any deficiencies identified from monitoring and verification are made to the relevant supervisor. • [m] Verification of effectiveness of actions.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
3.7	[m] Verification procedures are in place for monitoring and review that include: • [m] review of the monitoring records • [m] checks of the monitoring procedures • [m] Review of deficiencies.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
3.8	The following tasks and their frequency are identified: • check personnel clothing on return from breaks • production and related areas are checked daily • records are verified daily.	AS 4465 - 14 (a) 4.10
3.9	[m] The individuals responsible for the tasks are identified.	AS 4465 - 14 (a) 4.1
3.10	[m] Records of monitoring, corrective action, verifications of those actions and verification are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

4. Waste Disposal

Outcome

The handling of waste does not jeopardise the wholesomeness of poultry meat and poultry meat products.

Performance Indicators

4.1 The waste disposal system is sufficient to handle and treat (as required) all the waste produced at the premises originating from product handling areas.

4.2 Contamination of edible product, product contact materials, product contact surfaces and product handling personnel by waste material is prevented.

4.3 Written work instructions are current and detail the actions necessary to achieve the above requirements.

Table 23: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
4.1	The establishment has a documented procedure for waste disposal?
4.2	The waste disposal system is sufficient to handle and treat (as required) all the waste produced at the premises originating from product handling areas?
4.3	The procedure addresses the potential for contamination of edible product, contact surfaces and personnel who handle product?
4.4	The procedure addresses monitoring?
4.5	The procedure addresses corrective action?
4.6	The procedure as written and practised addresses the frequency of the tasks including monitoring and verification?
4.7	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
4.8	The records of these procedures and corrective action taken are being maintained?

Table 24: Target

Item	Target	Reference
4.1	Documented procedure for waste disposal.	EC(PM&PMP)Os – Part 3, Clause 3.02 AS 4465 - 14 (a) 4.1
4.2	Waste disposal should be specified for: • sanitary facilities, amenities, laboratories, livestock yards and surrounds • drip lines and drainage • solid and liquid waste • pipelines (identification) • systems for stormwater drainage, sanitary drainage and production or trade waste • all waste liquids and solids must be treated where necessary.	AS 4465 - 5.9 and 5.10 AS 4465 - 5.42 to 5.44 AS 4465 - 15.143 to 15.147 Construction and Equipment Guidelines for Export Meat Local by-laws AS 4465 - 4.2 (c)

Item	Target	Reference
4.3	The procedure addresses potential cross contamination issues.	AS 4465 - 5.9, 5.15 (c), 5.20, 5.25, 5.27, 5.40, 5.42 (a), 9.3, 15.23, 15.25
4.4	The monitoring procedure should cover waste control.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
4.5	Corrective actions to include the following activities: • Deficiencies in practice should be rectified immediately. • Feedback of reports of any deficiencies identified from monitoring and verification are made to the relevant supervisor. • Effectiveness of actions should be verified.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
4.6	The following tasks and their frequency are identified: • Production and related areas are checked daily • Records are verified daily.	AS 4465 - 14 (a) 4.10
4.7	[m] The individuals responsible for the tasks are identified.	AS 4465 - 14 (a) 4.1
4.8	[m] Records of monitoring, corrective/preventative action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

5. Water Supply

Outcome
Water does not contaminate poultry meat and poultry meat products.

Performance Indicators

5.1 Water supply and distribution is mapped for hot and cold water.

5.2 Potable water is tested as required to confirm its potability.

5.3 The potable supply is protected from contamination up to the point of use.

5.4 Water is treated where necessary to ensure potability.

5.5 Work instructions are written that are current and detail the actions necessary to achieve the above requirements.

Table 25: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
5.1	The establishment has a documented procedure for the supply of water?
5.2	The procedure addresses on plant treatment where necessary?
5.3	The procedure addresses the protection of the potable supply from contamination?
5.4	The procedure addresses monitoring?
5.5	The procedure addresses corrective action?
5.6	The procedure addresses verification of monitoring and corrective action?
5.7	The procedure addresses the frequency of the tasks including monitoring and verification?
5.8	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
5.9	The records of these procedures and corrective action taken are being maintained?

Table 26: Target

Item	Target	Reference
5.1	[m] Documented procedure that includes: • a water distribution map • sufficient hot and cold potable water supplied under pressure.	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 4, Part 1 AS 4465 - 14 (a) 4.1 AS 4465 - 15.13 - 15.16 AS 4465 - 4.2 (a)
5.2	Where water is treated on plant to ensure potability: • [m] A chlorine alarm must be fitted.	Australian Drinking Water Guidelines

<table>
<tr><th>Item</th><th>Target</th><th>Reference</th></tr>
<tr><td></td><td>• [m] A contact time of no less than 20 mins must be maintained for chlorine with the water prior to use.
• [m] A free residue chlorine level of not less than 0.25ppm is maintained.
• [m] Pre-chlorination micro tests should be conducted.</td><td>Construction & Equipment Guidelines – 5.4
EC(MMP)O Schedule 4, Clause 1
AS 4465 - 15.13</td></tr>
<tr><td>5.3</td><td>[m] The following actions are completed to protect potable supply from contamination:
• [m] Tanks are covered
• Tanks are cleaned
• Tanks are locked
• [m] Pipes are identified as per potable water standard
• [m] Anti-back siphonage devices are fitted.</td><td>EC(PM&PMP)Os - Schedule 4, Clause 2

AS 4465 - 15.13 to 15.16

Construction & Equipment Guidelines</td></tr>
<tr><td>5.4</td><td>[m] Where water is chlorinated on site, free residual chlorine is monitored.

Where water is used as an ingredient in poultry meat products it must be demonstrably potable i.e. a trace of chlorine should be detectable if poor history of potability.</td><td>EC(PM&PMP)Os - Schedule 4, Clause 1

AS 4465 - 15.13</td></tr>
<tr><td>5.5</td><td>Corrective actions to include the following activities:
• [m] Deficiencies in practice must be rectified immediately.
• [m] Reasons for non-compliance must be identified and rectified to prevent or minimise recurrence.
• [m] Effectiveness of actions must be verified, including a microbiological retest of the supply.
• Notify the department/competent authority of potability failures.</td><td>EC(PM&PMP)Os - Schedule 2, Clause 4
AS 4465 - 14 (a) 4.14
AS 4465 - 14 (b) 5

EC(PM&PMP)Os - Schedule 2, 10</td></tr>
<tr><td>5.6</td><td>For verification purposes:
• On site chlorinated water supplies should be free from Coliforms and E. coli in any 100ml sample.
• Other supplies should be free of E. coli and not have Coliforms in two successive tests or in more than 10% of samples annually.
• Physical and chemical properties to be tested.
• Water will be assessed against the following table:
<table>
<tr><td>Coliforms/100ml</td><td>E. coli type 1/100ml</td><td>Rating</td></tr>
<tr><td>0-2</td><td>0</td><td>Satisfactory</td></tr>
<tr><td>3-10</td><td>0</td><td>Suspicious</td></tr>
<tr><td>>10</td><td>0</td><td>Unsatisfactory</td></tr>
<tr><td></td><td>1 or more</td><td>Unsatisfactory</td></tr>
</table></td><td>EC(PM&PMP)Os - Schedule 4, 1

AS 4465 - 15.14</td></tr>
<tr><td>5.6</td><td>Verification procedures are in place for monitoring and review that include:
• Review of the monitoring records
• Checks of the monitoring procedure
• Review of deficiencies.</td><td>EC(PM&PMP)Os - Schedule 2, Clause 3
AS 4465 - 14 (a) 4.10
AS 4465 - 14 (b) 6</td></tr>
<tr><td>5.7</td><td>[m] The following tasks and their frequency are identified:
[m] <u>For all establishments:</u>
• [m] Physicochemical properties must be tested annually (council or similar tests on the same supply will suffice).
[m] <u>Verification testing for Coliforms and E. coli must be as follows:</u></td><td>EC(PM&PMP)Os - Schedule 2, Clause 3

AS 4465 - 14 (a) 4.10
AS 4465 - 14 (b) 6</td></tr>
</table>

Item	Target	Reference
	• [m] 2 sites tested each month for structurally integrated complexes, structurally independent processing establishments and cooked poultry meat establishments • [m] 2 tests each month for cooling water at canneries and cooked poultry meat establishments • [m] 1 test in ice used in edible products • [m] 2 sites tests every three months for structurally independent cold-stores. [m] **For establishments that chlorinate water:** • [m] The free residual chlorine is measured prior to start and every 2 hours that the system is operating. • [m] Pre-chlorination testing must be conducted annually. Cleaning of tanks conducted annually.	Australian Drinking Water Guidelines
5.8	[m] The individuals responsible for the tasks are identified.	AS 4465 - 14 (a) 4.1
5.9	[m] Records of monitoring, corrective/preventative action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

6. Pest Control

Outcome
Pests do not jeopardise the wholesomeness of poultry meat and poultry meat products.

Performance Indicators

6.1 Physical barriers are used to control pest access.

6.2 Pest populations outside buildings are reduced where possible.

6.3 Monitoring programs identify when pests have breached access points.

6.4 Written work instructions are current and detail the actions necessary to achieve the above requirements.

Table 27: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
6.1	The establishment has a documented procedure for pest control?
6.2	Potential pests have been identified?
6.3	The procedure addresses potential access points to the building?
6.4	The procedure addresses potential harbourage and breeding sites?
6.5	The procedure addresses controlling the numbers of pests immediately outside of the plant?
6.6	The procedure addresses monitoring?
6.7	The procedure addresses corrective action?
6.8	The procedure addresses verification of monitoring and corrective action?
6.9	The procedure addresses the frequency of the tasks including monitoring and verification?
6.10	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
6.11	The records of these procedures and corrective action taken are being maintained?

Table 28: Target

Item	Target	Reference
6.1	[m] A pest control program.	AS 4465 - 15.155
6.3	[m] Procedure includes pest and vermin control for access points, including doorways, (in relation to personnel, equipment, product, packaging), windows, vents etc.	AS 4465 - 4.3, 5.4 (a) & (b), 5.12, 5.16, 11.1, 15.154
6.4	[m] Procedures include actions to ensure that surrounds are clean, rubbish is removed, old equipment is cleaned and stored so as	AS 4465 - 4.3, 5.4 (b) & (c) AS 4465 - 15.155

Item	Target	Reference
	not to become a harbourage for pests and vermin, grass is mowed, etc.	
6.5	Procedures include a baiting program (where any toxic baits in bait boxes are protected from interference and the weather). [m] Chemicals are not stored or used in a manner that could jeopardise the wholesomeness of poultry meat and poultry meat products.	AS 4465 - 15.156 AS 4465 - 9.3, 15.157 AS4465 – 15.154
6.6	[m] Monitoring activities include: • [m] Condition of controls at access points must be checked regularly. • [m] Evidence confirming there are no pests inside of production and production related areas, at the commencement of production and during production. • [m] A method of detecting presence inside of plant. • [m] Toxic baits not allowed inside areas associated with edible production. • [m] Indicator baits are checked prior to the start of production (in case there is activity). • [m] External baits are checked for activity. • [m] Conditions of the surrounds (not harbouring pests).	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 – 14 (a) 4.10 AS 4465 – 14 (b) 4 AS 4465 – 15.155 AS 4465 – 15.154
6.7	[m] Where vermin are detected inside the plant, involved areas are checked for contamination of product, product contact equipment and packaging material: • [m] Contaminated products and packaging material are condemned. • [m] Contaminated equipment is cleaned and sanitised. • [m] Identification and repair of pest access points and cleaning up harbourage and breeding sites. • [m] Review of pest control procedures. • [m] The effectiveness of corrective action is verified.	AS 4465 – 14 (a) 4.14
6.8	[m] Procedure addresses verification of monitoring and corrective action.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 6
6.9	[m] Frequency of activities: • [m] Indicator baits and traps located inside the plant are checked daily prior to production commencing. • [m] External baits are checked frequently to ensure that increases in vermin activity are detected before they become a problem to the production areas of the plant (suggest minimum of monthly when minimal activity).	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
6.10	[m] The individuals responsible for the tasks are identified.	AS 4465 - 14 (a) 4.1
6.11	[m] Records of monitoring, corrective/preventative action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

7. Structure and Maintenance

Outcome

Premises and equipment are constructed and maintained to ensure that they do not jeopardise the wholesomeness of the poultry meat and poultry meat products.

Performance Indicators

7.1 A plan of the establishment showing equipment layout and product flow.

7.2 Defects jeopardising the wholesomeness of poultry meat are identified and corrected immediately.

7.3 There is a structured preventive maintenance program and carried out in a timely manner.

7.4 All repairs are carried out so that they do not jeopardise sanitary operation or the wholesomeness of poultry meat or poultry meat products.

7.5 Written work instructions are current and detail the actions necessary to achieve the above requirements.

Table 29: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
7.1	The establishment has a documented procedure for structure and maintenance?
7.2	There is a floor plan of the establishment?
7.3	The procedure addresses monitoring?
7.4	The procedure addresses corrective action?
7.5	The procedure addresses the frequency of the tasks including monitoring and verification?
7.6	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
7.7	The records of these processes and corrective action taken are being maintained?

Table 30: Target

Item	Target	Reference
7.1	[m] Documented procedure. [m] Premises and equipment are maintained in good condition.	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Order 4.07 EC(PM&PMP)Os - Schedule 3, Clause 1 AS 4465 - 14 (a) 4.1, 4.2, 4.5 AS 4465 - 15.1
7.2	The floor plan shows major equipment layout product and people flow. Structural and equipment alterations will need to be treated as an amendment to the AA (including new floor plan as required). As a guide, it may be useful to auditors to show	AS 4465 - 5.2 AS 4465 - 14 (b) 2 CEGEM

Item	Target	Reference
	the physical locations of CCPs (this could be addressed using HACCP Plan Flow chart).	
7.3	There is a structured monitoring program in place: • Processing areas may use the sanitation monitoring process, or this procedure may be supplemented by an independent monitoring program. • [m] Critical defects are identified before they can jeopardise the wholesomeness of poultry meat and poultry meat products. • Defects are identified and rectified before they become critical (preventive maintenance).	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4 AS 4465 - 15.1
7.4	[m] Corrective actions ensure that: • [m] critical defects rectified before product wholesomeness is jeopardised • [m] other defects identified and rectified before product wholesomeness is jeopardised • [m] process of rectification does not jeopardise the wholesomeness of poultry meat and poultry meat products • the adequacy of repairs (particularly to critical defects) is verified.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
7.5	[m] Frequency of monitoring.	AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
7.6	[m] The individuals responsible for the tasks are identified.	AS 4465 - 14 (a) 4.1
7.7	[m] Records of monitoring, corrective/preventative action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

8. Control of Hazardous Substances

Outcome

Hazardous substances do not jeopardise the wholesomeness of poultry meat and poultry meat products.

Performance Indicators

8.1 The establishment has documented information on all hazardous substances used.

8.2 The hazardous substances are:

a. fit for purpose and used in accordance with the manufacturer's directions for use

b. identified

c. stored, used and handled in a way that doesn't jeopardise the wholesomeness of poultry meat and poultry meat products.

8.3 The access to hazardous chemicals is controlled.

8.4 Written work instructions are current and detail the actions necessary to achieve the above requirements.

Table 31: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
8.1	The establishment has a documented procedure for the control of hazardous substances?
8.2	The hazardous substances are fit for use and used in accordance with the directions for use?
8.3	The hazardous substances are identified?
8.4	The hazardous substances are stored, used and handled in a way that doesn't jeopardise the wholesomeness of poultry meat and poultry meat products?
8.5	Access to hazardous chemicals is controlled?
8.6	The procedure addresses corrective action?
8.7	The procedure addresses the frequency of the tasks including verification?
8.8	The procedure identifies the individuals responsible for the tasks including verification?
8.9	The records of these procedures and corrective action taken are being maintained?

Table 32: Target

Item	Target	Reference
8.1	[m] Documented procedure includes the following:	EC(PM&PMP)Os - Order 3.02 AS 4465 - 14 (a) 4.1

Item	Target	Reference
	• Master list of chemicals on site (name, location, category of use, expiry date etc.) • Material Safety Data Sheets (MSDS) • [m] Instructions for use.	
8.2	[m] Hazardous substances are verified to be fit for use and used in accordance with directions. The following provides examples: • Departmental acceptances for use • [m] FSANZ approval • Generic approval (as per the department's website) • [m] Used in accordance with manufacturers' directions.	AS 4465 - 15.9, 15.31, 15.86, 15.88, 15.91,
8.3	[m] Hazardous substances (containers) are obviously labelled.	AS 4465 - 9.4
8.4	[m] Measures are taken to ensure storage, handling or use doesn't jeopardise the wholesomeness of poultry meat and poultry meat products.	AS 4465 - 9.3
8.5	[m] Access to hazardous substances is limited to persons who are responsible and competent in handling those substances. In some cases, other regulations may require physical security of hazardous substances.	AS 4465 - 14 (a) 4.1
8.6	[m] Corrective actions ensure appropriate handling and disposition of contaminated product.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
8.7	Monitoring and verification of the use, handling and storage of hazardous substances should be conducted at least weekly.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
8.8	[m] The individuals responsible for the tasks are identified.	AS 4465 - 14 (a) 4.1
8.9	[m] Records of monitoring, corrective/preventative action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

9. Sourcing and Transport of Poultry

Outcome

Poultry presented for slaughter are sourced and transported from properties where the management of poultry does not jeopardise wholesomeness of derived poultry meat and poultry meat products.

Performance Indicators

9.1 Only wholesome poultry carcases are processed.

9.2 Written work instructions are current and detail the actions necessary to achieve the above requirements.

Table 33: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance Checklist
9.1	The occupier has a documented procedure for the sourcing of poultry for slaughter? This procedure is to ensure: a) Only poultry suitable for human consumption are processed. b) Poultry birds are not sourced from areas subject to an official prohibition for the presence of any communicable diseases such as avian influenza. c) The person responsible for the sourcing of birds ensures that the poultry is not fed with any prohibited chemicals or veterinary drugs before slaughter or not within the withholding (or export slaughter interval) period that can jeopardise the wholesomeness of poultry meat and poultry meat products. d) Poultry within a withholding period (WHP) are not processed for human consumption. e) Poultry are identified to their last holding up until the resultant carcase is passed fit for human consumption.
9.2	An Ante Mortem Certificate is available for each lot of poultry?
9.3	The procedure addresses corrective/preventive action?
9.4	The procedure addresses the frequency of the tasks including monitoring and verification?
9.5	The procedure identifies the individuals responsible for the tasks including the tasks of monitoring or verification?
9.6	Records of the procedures, monitoring, verification and any corrective/preventive actions taken are maintained?

Table 34: Target

Item	Target	References
9.1	[m] There is a poultry sourcing program, that ensures: • The last holding is identified. • [m] Poultry do not have residues in excess of permitted levels or been fed banned feeds or substances. • [m] On a consignment basis poultry is covered by correctly completed relevant parts of the Poultry Inspection Certificate, dated and time of dispatch, which include necessary country eligibility to cover. • [m] No poultry is submitted for slaughter where it is still subject to a withholding period (WHP). • [m] Poultry is not submitted for slaughter if affected by any disease or abnormality that could jeopardise the wholesomeness of poultry meat and poultry meat products, or the slaughter and processing could contaminate other poultry meat.	EC(PM&PMP)Os - Order 3.02 AS 4465 - 14 (a) 4.2, 4.8 AS 4465 - 15.18 (d) AS 4465 - 13.4 Meat Notice 2016/06
9.2	[m] Relevant information available at ante mortem e.g. movement permits.	AS 4465 - 16
9.3	[m] The procedure addresses corrective/preventive action for any non-compliance.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5 AS 4465 - 14 (d) (iii)
9.4	[m] The procedure addresses the frequency of the tasks.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
9.5	[m] The procedure identifies those responsible for the tasks.	AS 4465 - 14 (a) 4.1
9.6	[m] Verification procedures are in place for monitoring and review that include: • [m] Review of the monitoring records • [m] Checks of the monitoring procedures • [m] Review of deficiencies.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
9.7	[m] Records of incoming declarations, waybills, kill sheets, corrective action, verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

10. Approved Suppliers

Outcome

Ingredients, processing aids and packaging do not contaminate poultry meat and poultry meat products.

Performance Indicators

10.1 The ingredients, processing aids, labels, tags, printing inks and packaging material are fit for purpose and their handling are not a source of contamination to poultry meat and poultry meat products.

10.2 Written work instructions are current and detail the actions necessary to achieve the above requirements.

Table 35: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
10.1	There is a procedure for the sourcing of ingredients, processing aids, labels, tags, printing inks and packaging material?
10.2	Ingredients, processing aids, labels, tags, printing inks and packaging material are not a source of contamination to poultry meat and poultry meat products?
10.3	The handling of ingredients, processing aids, labels, tags, printing inks and packaging material are not a source of contamination to poultry meat and poultry meat products?
10.4	Ingredients, processing aids, labels, tags, printing inks and packaging material are fit for purpose?

Table 36: Target

Item	Target	Reference
10.1	[m] Documented sourcing procedure for ingredients, processing aids, labels, tags, printing inks and packaging material.	EC(PM&PMP)Os - Order 3.02 AS 4465 - 14 (a) 4.6
10.2	[m] Ingredients, processing aids, labels, tags, printing inks and packaging material (e.g. plastic wraps) that may come into contact with poultry meat and poultry meat products are not a source of contamination (letters of compliance with standards, FSANZ approval, etc).	AS 4465 - 15.115, 15.116
10.3	[m] The handling of ingredients, processing aids, labels, tags, printing inks and packaging material (e.g. cartons) is not a source of contamination to poultry meat and poultry meat products.	AS 4465 - 15.115, 15.116
10.4	[m] Under conditions of use ingredients, processing aids, labels, tags and printing inks remain fit for purpose and packaging material protects poultry meat and poultry meat products from contamination.	AS 4465 - 15.115
10.5	[m] Procedure includes corrective/preventive action for any non-compliance. [m] Records of the procedure, including any monitoring, verification and any corrective/preventative action are kept.	AS 4465 - 14 (d) (iii) EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7.

11. Animal Welfare

Outcome

Procedures are in place to ensure the humane treatment of the poultry and animal welfare requirements not compromised.

Performance Indicators

11.1 Live poultry are treated humanely.

11.2 Machinery and equipment used for handling live poultry should be inspected and serviced regularly, to ensure minimum risk to poultry health and welfare.

11.3 All equipment is effectively maintained.

11.4 Staff who conduct handling, shackling, stunning and sticking (manual or automatic) are trained and assessed as competent in work instructions related to the animal welfare.

11.5 Written work instructions are current and detail the actions necessary to achieve the above requirements.

Table 37: Performance Checklist

Can the enterprise demonstrate that:

Item	Target
11.1	The occupier has documented procedures for animal welfare?
11.2	These procedures address management of poultry on a daily basis, as well as the appropriate planning activities that need to take place and contingencies for emergencies to minimise risks to animal welfare?
11.3	Facilities and equipment for poultry are well-designed, maintained and operated to ensure minimal interference or stress is incurred*?*
11.4	All personnel responsible for the management or handling of poultry are competent in their tasks?
11.5	Weak, ill, injured, moribund poultry are identified and treated in a humane manner?
11.6	Contingency plans for slaughter or accommodation are available in the event of an industrial dispute, processing plant failure or closure?
11.7	Poultry is slaughtered in a manner that minimises handling and stress?

Item	Target
11.8	Poultry is rendered unconscious by an electric current, approved inert gas, or dislocation of the head, or a method that has been approved by the controlling authority? The poultry must not regain consciousness before slaughter?
11.9	[m] Moribund, unhealthy or rejected poultry shall be immediately humanely slaughtered?
11.10	[m] Procedure includes corrective/preventive action for any non-compliance?
11.11	Records of these procedures, monitoring, verification and corrective/preventive action taken are maintained?

Table 38: Target

Item	Target	Reference
11.1 and 11.2	Procedures include: • A quality policy stating commitment to animal welfare. • Standard operating procedures for stunning and slaughter to ensure the animal welfare is not compromised. • [m] Contingency plans are available for an industrial dispute and to ensure the poultry is neither waiting in crates nor shackled for unduly long periods due to mechanical breakdowns. • Poultry handling practices and details of specific tasks including washing, stunning, sticking and euthanasia.	EC(PM&PMP)Os - Order 3.02 AS 4465 - 14 (a) 4.1 AS 4465 - 14 (a) 4.2 AS 4465 - 15.21, 15.24, 15.26, 16.2 (a), 16.4 SCARM Report 79 - 3.3
11.3	Facilities are designed and maintained to ensure minimal stress to poultry. Holding areas for live poultry are sheltered, paved, drained and provided with adequate ventilation and cooling. [m] Weak, ill, injured and moribund birds are identified and treated in a humane manner. [m] Poultry must be protected from direct sunlight, radiant and reflected heat and adverse weather conditions such as rain or wind. [m] Ensure there is adequate ventilation for the poultry. [m] Adequate facilities are available to cool holding areas. Consignments of poultry awaiting slaughter are inspected at hourly intervals to ensure the welfare is adequate. [m] Due care is taken to ensure poultry is not subject to health or welfare problems during or following holding, prior to slaughter.	AS 4465 - 5.1 (a), 6.2, 6.3, 15.1, 15.21, 15.24, 15.25, 15.26 AS 4465 - 16.2 (a), 16.4 SCARM Report No. 79 - 3

Item	Target	Reference
	Crates, coops and cages used to transport live poultry shall be kept in good repair, be clean and should be sanitised after each use.	
11.4	Staff competencies are maintained and recorded. Staff that are undergoing training or are assisting and not yet assessed as competent in a particular task, are supervised at all times. Personnel involved in stunning are trained and competent in recognising the effectiveness of the procedure. A system is in place to assess: • [m] effectiveness of the stun • [m] maintenance of insensibility following sticking.	AS 4465 - 14 (a) 4.1, 4.18 AS 4465 - 15.24 to 15.26 EC(PM&PMP)Os - Schedule 5, Clause 1
11.5	[m] Moribund, unhealthy or rejected poultry shall be immediately humanely slaughtered.	AS 4465 - 15.21, 15.22, 15.25 AS 4465 - 16.2 (a), 16.4
11.6	Daily management procedures for birds are in place to ensure: • [m] Holding areas for live poultry are provided with adequate ventilation and cooling. • [m] An efficient and humane method of restraint is provided to prevent the escape of poultry during shackling.	AS 4465 - 4.4 AS 4465 - 6.2
11.7	For restraint, stun and slaughter: • [m] Facilities and operations should enable birds to be caught and shackled or placed in a bleeding cone humanely. • The shackling of birds is humane and in a darkened, purpose built zone. • [m] Approved stunning procedures must be in place • Stunning produce immediate insensibility of the bird to pain and suffering. Where electrical stunning is carried out the current is sufficient to render birds unconscious immediately. Effectiveness of electrical stunning is judged on the basis of the poultry undergoing a characteristic electroplectic fit.	AS 4465 - 15.24, 15.25, 15.26, 15.30 SCARM Report No. 79 - 3.4, 3.5

Item	Target	Reference
	Stunning equipment should be monitored regularly. Stunning is not considered necessary if poultry are killed by decapitation. Back-up stunning equipment is available and operational. [m] If using a reversible stun, sticking is applied to ensure that birds do not regain sensibility. [m] Management systems must be in place to ensure effective stunning and slaughter that include: • Training • [m] Equipment monitoring/maintenance • [m] Verification of effectiveness of the stunning and sticking processes.	
11.10	[m] Procedure includes corrective/preventive action for any non –compliance.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
11.11	[m] Records of the procedures, including monitoring and any corrective/preventative action are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

12. Slaughter

Outcome

Slaughter processes ensure the wholesomeness and integrity of poultry meat and poultry meat products.

Performance Requirements

12.1 Animal health surveillance and disease detection systems should be in place to ensure only the healthy poultry are presented for slaughter.

12.2 Poultry carcases and carcase parts are identified and traceable back to the property of origin.

12.3 Identification of poultry carcases and carcase parts are maintained until the post-mortem disposition is made.

12.4 All tasks involving the dressing of poultry carcases are detailed in written work instructions and personnel are competent in the application of these instructions.

12.5 All carcases and carcase parts declared fit for human consumption have undergone post-mortem inspection by a suitably trained personnel.

Table 39: Performance Checklist

Can the enterprise demonstrate that:

Item	Target
12.1	The occupier has a documented procedure for slaughter including: a. poultry that are dead before the commencement of processing are not processed b. moribund, unhealthy or rejected birds are not processed c. the presence of a notifiable (including exotic) disease, when present, is detected.
12.2	Poultry, carcases and carcase parts are identified and traceable back to the last holding until final post-mortem disposition is made?
12.3	Contamination and cross contamination is prevented?
12.4	The procedure addresses monitoring?
12.5	The procedure addresses preparation of material for inspection and disposition and/or clearing retained carcases and carcase parts (where relevant)?
12.6	The procedure addresses corrective/preventive action?
12.7	The procedure addresses verification?
12.8	The procedure addresses the frequency of the tasks including monitoring and verification?

Item	Target
12.9	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
12.10	Records of these procedures and corrective/preventive action taken are maintained?

Table 40: Target

Item	Target	References
12.1	[m] The occupier has a documented procedure for slaughter encompassing description of: • humane stunning and killing technique • bleeding of suspended poultry • scalding temperature, times and the use of approved wetting agents • defeathering and feet removal is done in a way to avoid contamination of the product or the processing area.	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 2, Clause 11.1 AS 4465 - 14 (a) 4.5 AS 4465 - 15.24 - 15.44
12.2	[m] Each task of the slaughter process has a work instruction and the personnel are competent in their application.	EC(PM&PMP)Os - Schedule 2, Part 2, Clause 11.1 (a) AS 4465 - 14 (a) 4.9 AS 4465 - 4.2 (a)
12.3	[m] Various poultry slaughtering procedures must be performed hygienically to avoid contamination and cross-contamination such as scalding, defeathering and feet removal, evisceration, washing, spin washing. Procedures include: • Equipment used to convey poultry carcases is kept clean and washed regularly to prevent the contamination of poultry meat. • The inner and outer surface is individually washed with potable water (water volume is to be monitored to ensure effectiveness). • The temperature of the wash water is not to exceed 18°C at any time. • Carcases immersed for more than 15 minutes are to be in water of less than 4°C. • Where spin washing is followed by immersion and/or air chilling, the temperature of the water in the spin wash is not to exceed 10°C. • The process is such that the poultry carcases proceed to clean water at the discharge end. • Chlorinated water is to have detectable chlorine levels at the discharge point or approved chemicals used as sanitisers at concentrations approved by the controlling authority.	EC(PM&PMP)Os - 4.14 EC(MMP)O Schedule 5 – Part 1, Clauses 1-3 AS 4465 - 15.27 to 15.87, 15.99

Item	Target	References
	• Draining of poultry carcases is not to cause cross contamination from the water from other carcases. • The product integrity is maintained.	
	[m] Post-mortem inspection is performed hygienically by an adequate number of suitably trained personnel and dispositions made as appropriate. The post mortem disposition of carcases and their parts determines that they are: • passed for human consumption • fit for animal food or • condemned	EC(MMP)O Schedule 5 – Part 1, Clause 4 AS 4465 - 15.67, 15.68 AS 4465 – 17, Appendix B
12.4	[m] Where appropriate, control discharge of gastro-intestinal contents. Evisceration is performed after washing with sprays of potable water and without contamination of the carcase within 1 hour of slaughter. Edible offal contact surfaces and water used in the collection process shall not be contaminated by splashes from hand wash water and from other sources, and separated immediately after removal from the body. Prevent contamination and cross contamination by: • Washing and sterilisation of all equipment between carcases prior to post-mortem inspection. • [m] Hands washing between carcases prior to post-mortem inspection. • [m] Sterilisation of equipment when it becomes contaminated during dressing. • [m] Hand washing when they become contaminated. • [m] Cleaning and sterilising equipment after processing restricted slaughter. • [m] Removing contamination caused by faeces, ingesta, urine and pus from poultry carcases and poultry meat by trimming or by methods approved in the arrangement. • Removing other forms of contamination by trimming or by methods approved in the arrangement. • Ensuring the eviscerating equipment is performing its functions without contaminating the carcases and is clean. • Ensuring edible offal pieces are being separated from the remainder of the eviscerated material immediately following removal from the carcase.	AS 4465 - 15.45 to 15.68 AS 4465 – 15.70

Item	Target	References
	Refer also to 'Operational Sanitation'.	
12.5	The procedure addresses the frequency of the tasks including monitoring such as: • Stunning, slaughtering, bleeding, scalding and defeathering • monitoring of carcase spray washing temperatures and level of chlorine in the water • verification by the individuals responsible for those tasks to ensure that the processes does not contaminate the product or the processing area.	EC(PM&PMP)Os - Schedule 2, Clause 3, 5.1 & 5.2 AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4 and 5
12.5a	Monitoring of carcase washing is performed to ensure that carcases are: • not contaminated by intestinal content • individually washed with spray water <18°C, before spin washing or placing in a non-agitated immersion tank (at <4°C if period is >15 minutes) • drained without cross contamination from other carcases and sources. Only potable water is used in the washing process.	EC(PM&PMP)Os – Schedule 2 Clauses 5.1 & 5.2 AS 4465 – 14(b)5
12.6	The procedure addresses corrective action when: • stunning and slaughtering is incomplete • bleeding is incomplete • scalding is inadequate to provide effective defeathering • carcases are contaminated with intestinal content • carcases are not individually washed in spray washes • the wash water is not potable • the temperature of the water is >18°C or >4°C if period is >15 minutes • cross contamination of carcases occurs. [m] The corrective actions ensure appropriate handling and disposition of contaminated product.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5 AS 4465 – 15.81
12.7	[m] Microbiological testing for process verification and monitoring of critical control points in production.	EC(PM&PMP)Os - Schedule 2, Clause 8 AS 4465 - 15.17 AS 4465 - Appendix A
12.8	[m] The procedure addresses the frequency of the tasks.	AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
12.9	[m] The procedure identifies those responsible for the tasks.	AS 4465 - 14 (a) 4.1
12.10	[m] Records of monitoring, corrective/preventive action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

13. Inspection

Outcome

Only the poultry fit for slaughter are used in the production of poultry meat and poultry meat products and unwholesome poultry meat is excluded from the human food chain.

Performance Indicators

a) The system of poultry inspection is described. This involves establishment (occupier) employed suitably trained inspection staff under the occupier's or departmental supervision (On Plant Veterinarians (OPVs) or Food Safety Meat Assessors (FSMAs)).

b) All poultry presented for slaughter must undergo ante mortem and post mortem inspection.

Table 41: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
13.1	The occupier has a documented procedure for inspection?
13.2	Carcases and carcase parts are aggregated in a way that disposition at post-mortem can be applied effectively?
13.3	The procedure addresses the inspection and disposition and/or clearing retained carcases and carcase parts (where relevant)?
13.4	The procedure addresses monitoring?
13.5	The procedure addresses corrective/preventive action?
13.6	The procedure addresses verification?

Table 42: Target

Item	Target	References
13.1	Procedure describes the system of poultry inspection: • for animal health surveillance and disease detection systems in place to ensure that the only healthy poultry are presented for slaughter • for aggregation of carcase parts • for dispositions to be applied at post mortem inspection.	EC(PM&PMP)Os - Part 8, Division 8.1 EC(PM&PMP)Os - Schedule 2, Clause 11.1 EC(PM&PMP)Os - Schedule 5, Clauses 2 & 4 AS 4465 - 16 & 17 ECA section 22.1

Item	Target	References
13.2	Animals and carcases are inspected by suitably trained personnel, or who hold recognised qualifications relevant to such inspection. [m] Records of ante and post mortem inspections are kept.	EC(PM&PMP)Os – Schedule 5, Clause 3 AS 4465 - 14 (a) 4.12, 14 (c), 15.67, 16 & 17
13.3	[m] The procedure addresses the monitoring and verification of the inspection.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4
13.4	The procedure addresses corrective/preventive action.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
13.5	[m] The procedure identifies those responsible for the inspection.	AS 4465 - 14 (a) 4.1
13.6	[m] Records of monitoring, corrective/preventive action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

14. Boning/Further Processing

Outcome

Boning/further processing does not jeopardise the wholesomeness and integrity of poultry meat and poultry meat products.

Performance Indicators

14.1 All tasks involving the boning/processing of poultry meat are detailed in written work instructions and personnel are competent in the application of these instructions.

14.2 Product and processes are assessed for compliance.

Table 43: Performance Checklist

Can the enterprise demonstrate that:

Item	Target
14.1	The occupier has a documented procedure for the boning/further processing of poultry meat?
14.2	Contamination and cross contamination is prevented?
14.3	The procedure addresses monitoring?
14.4	The procedure addresses corrective action?
14.5	The procedure addresses verification?
14.6	The procedure addresses the frequency of the tasks including monitoring and verification?
14.7	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
14.8	Records of these procedures, including monitoring and verification, and corrective action taken are maintained?

Table 44: Target

Item	Target	References
14.1	The documented procedures for boning/further processing include: • [m] A work instruction for each task and the personnel are competent in their application. • Specific tasks, that may include: o inspection o dropped poultry meat (refer to operational sanitation procedure).	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 2, Clause 11.1 AS 4465 - 14 (a) 4.5

Item	Target	References
14.2	The procedures ensure that: • Australian Poultry Meat Standard and Food Standards Code requirements are met. • Further processing of poultry meat products is controlled through an approved HACCP program. • Cutting and deboning is performed in a separate room if it is not continuum of the process. • The room air temperature is not to exceed 10°C. • The core temperature of the product is reduced to 5°C within 3 hours of boning. • Cooking of poultry meat is carried out in a room separate from where raw product is handled. • Canning of product at minimum of F_0 value of 2.8. • Sachets that are enclosed within bagged or wrapped poultry are of an approved material and stored and handled in a hygienic manner. • Uncooked vegetables are washed thoroughly and derived from commercial sources. • Stuffing mix basting liquids, dry, and liquid materials consist of wholesome ingredients from approved sources, stored and handled in a hygienic manner. • Personnel handling stuffing mix are to wear approved gloves.	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Order 4.10 EC(PM&PMP)Os - Schedule 2, Clause 11.1 AS 4465 - 14 (a) 4.5 AS 4465 - 15.100 to 15.109 Food Standards Code
14.3	[m] Contamination and cross contamination is prevented.	AS 4465 - 15.23, 15.48, 15.64, 15.134
14.4	Monitoring ensures that: • Room temperatures are maintained as required. • Segregation of processes are adequate. • Approved additives and condiments in use, are hygienically handled. • [m] Temperature of cooked product is monitored at the slowest heating point in the cooking vessel. • [m] Food safety parameters, particularly critical limits, and other limits essential for wholesomeness are complied with as required. • Hermetic seals are checked. Food safety must be addressed through a HACCP plan and this procedure therefore focuses on GHP.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4 AS 4465 – 15.103, 15.104

Item	Target	References
14.5	The procedure addresses corrective/preventive action when the: • Room temperature exceeds 10°C. • Product temperature is not reduced to 5°C within 3 hours of boning. • Processes are not segregated. • Workers are not correctly attired for their allotted task. • The process has resulted in the integrity of the product being compromised.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
14.6	[m] The procedure addresses verification such as: • Review of the monitoring records • Review of deficiencies • Checks of the monitoring procedures • The effectiveness of corrective actions. Product must meet the standards set out in the Food Standards Code where required.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 6
14.7	[m] The procedure addresses the frequency of the tasks.	AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
14.8	[m] The procedure identifies those responsible for the tasks.	EC(PM&PMP)Os - Schedule 2 Clause 2 AS 4465 - 14 (a) 4.1
14.9	[m] Records of monitoring, corrective/preventive action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

15. Temperature Control

Outcome
Chilling and freezing practices maintain and do not jeopardise the wholesomeness of poultry meat and poultry meat products.

Performance Indicators

15.1 All tasks involving the temperature control of poultry carcases are detailed in written work instructions and personnel are competent in the application of these instructions.

Table 45: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance Checklist
15.1	The occupier has a documented procedure for temperature control?
15.2	Poultry meat produced, is chilled in a manner that achieves the Refrigeration Index Criteria or is frozen?
15.3	Chilled and frozen poultry meat is stored and transported at temperatures that will not jeopardise its wholesomeness?
15.4	The procedure addresses monitoring?
15.5	The procedure addresses corrective/preventive action?
15.6	The procedure addresses verification?
15.7	The procedure addresses the frequency of the tasks including monitoring and verification?
15.8	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
15.9	Records of these procedures, including monitoring and verification, and corrective/preventive action taken are maintained?

Table 46: Target

Item	Target	References
15.1	[m] Documented procedures for temperature control include the following: • [m] For product and processing rooms and transport (where required). • [m] For active refrigeration, adequate refrigeration is applied to all goods in the chamber to ensure they all meet the relevant requirements.	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 2, Clause 11.1 AS 4465 - 14 (a) 4.5 AS 4465 - 15.81 to 15.98, 15.101, 15.103,

Item	Target	References
	• [m] Processed poultry meat must meet the temperature controls specified in the Australian Poultry Meat Standard. • [m] Standard refrigeration cycles, set points, defrosts and alarm settings are documented.	AS 4465 - 15.103 and 15.110 to 15.113 AS 4465 - 15.126 to 15.131
15.2	The refrigeration for poultry meat and poultry meat products must comply with the requirements set out in the Australian Poultry Meat Standard.	EC(PM&PMP)Os - Schedule 5, Clause 6 AS 4465 - 10
15.3	[m] The storage and transport temperatures ensure that the product is wholesome during all stages of storage and transport including at the point of export i.e. chilled and frozen poultry meat and poultry meat product are: • Stored or transported at a temperature of not more than 5°C for chilled product and not more than -15°C for frozen product. • Transported in an accredited food transport vehicle that is refrigerated.	EC(PM&PMP)Os - Schedule 3, Clause 6.1 EC(PM&PMP)Os - Schedule 5, Clauses 7 (d), 10.1 (d) AS 4465 - 10; 15.96 to 15.129
15.4	Monitoring of refrigeration is performed to ensure that the temperatures of the product meet the requirements for both chilled and frozen. [m] For monitoring of product under active cooling to a temperature of 5°C or below: • [m] Measurements are taken from the slowest cooling point of microbiological concern or a significant number of samples e.g. surface of carcases, thermal centre in cartons. • [m] Measurements are taken of product and/or air, whichever is appropriate. • [m] Measurement represents the lot - all product represented by the monitoring. • [m] There is an effective system which demonstrates refrigerated rooms (and/or transport chambers) continuously meet temperatures given in the AA.	EC(PM&PMP)Os - Schedule 2, Clause 3 (a) AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4 & 5
15.5	[M] For corrective actions, all product represented by the monitoring is included, such as: • Where boning room air temperature exceeds 10°C while boning process is being untaken. • Poultry products not meeting specification may be assessed for wholesomeness.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5
15.6	[m] The procedure addresses verification that includes: • review of the monitoring records	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.12

Item	Target	References
	• review of deficiencies • checks of the monitoring procedures • the effectiveness of corrective actions.	AS 4465 - 14 (b) 6
15.7	[m] The procedure addresses the frequency of the tasks including: • Temperature checks of chilled product • Temperature checks of frozen product • Temperature of product at load out • Ensuring product is only loaded into approved transport vehicles with active refrigeration.	AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
15.8	[m] The procedure identifies those responsible for the tasks, and are trained to follow the appropriate work instructions for their tasks.	AS 4465 - 14 (a) 4.1
15.9	[m] Records of monitoring, corrective/preventive action, and verifications of those actions are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

16. Calibration

Outcome
Measuring equipment is maintained, calibrated and accurate.

Performance Indicators

16.1 Measuring equipment is identified and manufacturer specifications listed.

16.2 Measuring equipment is calibrated in accordance with manufacturer specifications.

16.3 Where equipment is outside appropriate calibration status, risk assessments are conducted on the product and appropriate actions are taken and recorded.

16.4 All tasks involving the calibration of measuring equipment are detailed in written work instructions and personnel are competent in the application of these instructions.

Table 47: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
16.1	The establishment has a documented procedure for calibrating measuring equipment?
16.2	The procedure addresses corrective action?
16.3	The procedure addresses the frequency of the tasks?
16.4	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
16.5	The records of these procedures and corrective/preventative actions are being maintained?

Table 48: Target

Item	Target	References
16.1	[m] The procedure for calibrating monitoring equipment ensures that: • Measuring equipment is identified. • The manufacturer's specification for the equipment is available. • Measuring equipment is calibrated in accordance with manufacturer's directions to verify its accuracy. • Standard instruments are used to calibrate from. • Where necessary correction factors are used or equipment is corrected.	EC(PM&PMP)Os - Order 3.02 AS 4465 - 14 (a) 4.2, 4.11 *National Measurements Act 1960*

Item	Target	References
16.2	[m] Equipment is recalibrated as required by the manufacturer's directions. [m] Determination is made as to whether out of specification measuring equipment resulted in incorrect product assessment for food safety, wholesomeness, load-out or transport.	EC(PM&PMP)Os - Schedule 3, Clause 2 AS 4465 - 15.1
16.3	[m] The procedure addresses the frequency of the tasks. See manufacturer's specifications.	AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
16.4	[m] The procedure identifies those responsible for the tasks.	AS 4465 - 14 (a) 4.1
16.5	[m] Records are kept of measuring and test equipment.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 – 14 (a) 4.11 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

Note: This relates only to those pieces of equipment that measure compliance with a particular requirement of the Act, Orders or Standard.

17. Sampling Programs

Outcome
Results from sampling programs are valid.

Performance Indicators

17.1 Surveillance, sampling, monitoring and testing programs are developed and complied with for microbiological status of poultry meat and residue status of incoming poultry.

17.2 The departmental approved laboratories are used where testing is required for certification purposes.

Table 49: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance Checklist
17.1	Surveillance, sampling, monitoring and testing programs are developed and complied with for microbiological status of poultry meat, and residue status of incoming poultry?

Table 50: Target

Item	Target	References
17.1	[m] Laboratories used for testing programs required for certification are approved by the department, and use testing methodology approved by the department. Where 'test and hold' specification is required all product in the affected lot is appropriately identified and retained.	EC(PM&PMP)Os - Schedule 2, Clause 8 AS 4465 - 15.17 to 15.19

SECTION B

1. Hazard Analysis and Critical Control Point

Outcome
The production of poultry meat and poultry meat products that are safe.

See Appendix 3 – The HACCP System

Performance Requirements

1. The HACCP plan is dated and signed by a responsible establishment official.

   Note: This can be a specific commitment in the establishment's policy statement

2. The HACCP plan is complied with.

Table 51: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance Checklist
1.1	A HACCP team was assembled, and described the product and its distribution (preliminary step 1, 2)?
1.2	The analysis considers the composition of, the intended use of, or the consumers of the finished product(s) (preliminary step 3)?
1.3	The establishment has a flow chart that describes the process steps and product flow, and has been verified (preliminary step 4, 5)?
1.4	The establishment has conducted a hazard analysis that includes food safety hazards likely to occur (principle 1)?
1.5	There is a written HACCP plan for each product where the hazard analysis revealed one or more food safety hazard(s) are reasonably likely to occur (principle 2)?
1.6	All hazards identified in the analysis are included in the HACCP plan; the plan lists a Critical Control Point (CCP) for each food safety hazard identified (principle 2)?
1.7	The HACCP plan specifies critical limits, monitoring procedures, and the monitoring frequency performed for each CCP (principles 3, & 4)?
1.8	The plan describes corrective actions taken when a critical limit is exceeded (principle 5)?
1.9	The HACCP plan was validated using multiple data inputs and outputs including monitoring and/or verification results (principle 6)?
1.10	The HACCP plan lists the establishment's procedures to verify that the plan is being effectively implemented and functioning and the frequency for these procedures (principle 6)?
1.11	The establishment is performing daily record review (principle 6)?
1.12	The HACCP plan has been reassessed at least annually (principle 6)?

Item	Performance Checklist
1.13	The HACCP plan's record-keeping system documents the monitoring of CCPs and/or includes records with actual values and observations (principle 7)?
1.14	The HACCP plan is dated and signed by a responsible establishment official (can be a specific commitment in the occupier's policy statement)?
1.15	The HACCP plan is being complied with?
1.16	Procedures are in place to manage any non-compliance?

Table 52: Target

Item	Target	References
1.1	Establishment must have a documented HACCP plan and meet the HACCP requirements (see below 1.2 - 1.17).	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 2, Clause 12
1.2	[m] HACCP Team: • Co-ordinator should be competent • Members should understand the process • Should record and describe product. [m] Distribution: • [m] Transport and storage conditions • [m] Intended consumers including [m] average person, immuno-compromised [m].	AS 4465 - 14 (a) 4.1 AS 4465 - 14 (b) 1
1.3	[m] Intended use: • [m] Raw (to be cooked), cooked, ready to eat (RTE) product.	AS 4465 - 14 (b) 1
1.4	[m] Product flow that has been verified: • [m] Each step for each product type, side chains.	AS 4465 - 14 (b) 1
1.5	[m] Hazard Analysis. [m] Hazard identification: • At each process step. • Must consider chemical, physical and biological hazards. [m] Hazard evaluation: • [m] Identify significant hazards. [m] Records of the analysis are kept.	AS 4465 - 14 (b) 1 and 2
1.6	[m] Identify Critical Control Points: • [m] Use Critical Control Point decision tree.	AS 4465 - 14 (b) 2
1.7	[m] List Critical Limits:	AS 4465 - 14 (b) 3

Item	Target	References
	• [m] Must be measurable.	
1.8	[m] Monitoring: • [m] Must be described - how, frequency, who, where, when. • [m] Records are kept for each item monitored (dashes or gaps are not acceptable).	EC(PM&PMP)Os - Schedule 2, Clause 3 (a) AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4
1.9	[m] Corrective action: • Control affected product (lot) – identified, segregated, retained until corrected or condemned. • [m] Apply corrective action to lot represented by the monitoring. • [m] Apply corrective and preventive action to eliminate or reduce chance of reoccurrence. • Effectiveness of the corrective action is verified. [m] The department is notified in accordance with the approved HACCP plan.	AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5 EC(PM&PMP)Os - Schedule 2, Clause 4
1.10	[m] The Critical Control Points have been validated.	AS 4465 - 14 (b) 3, 6 MICoR
1.11	[m] Verification of monitoring of critical limits to ensure compliance with HACCP plan should describe: • How, frequency, who, where, when • Part of the verification that includes a direct check of the CCP monitoring procedure including verifying accuracy of records made and any necessary corrective action (check the checker, etc).	EC(PM&PMP)Os - Schedule 2, Clause 3 and 4.3 AS 4465 – 14 (b) 6
1.12	[m] Verification: • How, frequency, who, where, when is described • Calibration of measuring equipment is included. Prior to the batch leaving control of the occupier: • records of CCP monitoring are verified. • records of necessary corrective action applied are verified. Records are reviewed regularly to identify trends.	AS 4465 - 14 (b) 6
1.13	[m] Annually reassessed. [m] Reassessed if changes occur.	AS 4465 - 14 (b) 6 Food Standards Code
1.14	[m] Records of: • [m] Hazard analysis, current plan, superseded plans, monitoring, verification, corrective/preventive action.	AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7 EC(PM&PMP)Os - Schedule 2, Clause 7.1

Item	Target	References
	• CCP monitoring verifications that are dated – timed in the case of direct observations of CCP monitoring – and initialled or signed. • Verification of CCP and corrective/preventive action records conducted prior to the batch leaving the control of the establishment are dated, timed and signed.	
1.15	[m] HACCP plan is signed and dated by the responsible establishment official/s.	AS 4465 – 14 (b)
1.16	[m] HACCP plan is implemented as approved.	EC(PM&PMP)Os – Schedule 2, Clause 12 AS 4465 - 14 (b)
1.17	[m] Procedures are in place to manage any non-compliance.	EC(PM&PMP)Os – Schedule 2, Clauses 2, 3, 4 & 7

PART 3

Product Integrity and Certification Requirements

Introduction

To meet legislative requirements for export certification, a system to maintain product integrity must be developed that is based upon a sound foundation of product identification, security, and traceability and recall procedures.

Outcome
Product integrity is assured and certification is accurate and complete.

1. The occupier:
   a) Has a system in place for inventory controls, product security, and trade description and to ensure market requirements are met and maintained.
   b) Ensures that the system supports accurate certification.
   c) Maintains a product withdrawal and recall procedure to ensure that any product can be readily traced and recalled if required.

2. Procedures addressing product integrity include:
   a) Product traceability and recall
   b) Trade description
   c) Export security/integrity
   d) Control of official marks
   e) Importing country requirements
   f) Export Documentation (EXDOC).

Note: *Within an establishment's AA, a number or all, of these procedures may be related and could be addressed with a single procedure. This could for example be based around product identification and inventory controls.*

1. Arrangements during Exceptional Circumstances

Outcome
All product biosecurity is maintained during exceptional circumstances.

This section may be addressed in part or total in previous sections of the document however all elements of this section do need to be addressed in the AA. The intention is to highlight requirements that may be considered to comply with the requirements of other regulatory authorities that may audit establishment documents.

Performance Indicators

1. Aspects of exceptional circumstances are addressed, and a procedure and plan is in place to ensure product biosecurity is maintained during exceptional circumstances.

Table 53: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance Checklist
1.1	The occupier has developed a plan to ensure control of product biosecurity is maintained under exceptional circumstances?
1.2	The occupier has a documented procedure for managing product biosecurity under exceptional circumstances? **Note**: Exceptional circumstances include but are not limited to allergen risk management, breakdowns, refrigeration failures, fire and emergency, water and sewerage breakdowns that may cause adulteration or contamination of product.
1.2	The procedure addresses monitoring and corrective action?
1.4	The procedure addresses verification of monitoring and corrective action?
1.5	The procedure addresses the frequency of the tasks including monitoring and verification by the individuals responsible for those tasks?
1.6	All tasks involving the biosecurity of poultry meat and poultry meat products are detailed in instructional material and personnel are competent in the application of these instructions?
1.7	Records of these procedures and corrective action taken are maintained?

Table 54: Target

Item	Target	References
1.1	The plan to ensure control of product biosecurity under exceptional circumstances includes: • Identification of possible exceptional circumstances and of contingency management. • Identification of those responsible and their responsibility. • Revision timeframe to ensure exceptional circumstance plan is current.	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 2, Clause 11.1 (a) AS 4465 - 14 (a) 4.1 and 4.5
1.2	Documented procedures are in place to: • Manage product biosecurity under exceptional circumstances. • Monitor, verify and take corrective action as needed to ensure product biosecurity and integrity is maintained. • Ensure that relevant authorities are advised where necessary. • Implement corrective action and/or preventive action if product Biosecurity is compromised.	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 2, Clause 11.1 (a) AS 4465 - 14 (a) 4.1 and 4.5
1.3	Records of these procedures and corrective action taken are maintained.	EC(PM&PMP)Os Schedule 2, 7.1 AS 4465 - 14 (a) 4.16

2. Product Traceability, Withdrawal and Recall

Outcome

All incoming products are traceable back to the place of supplier and poultry meat and poultry meat products can be traced forward to facilitate recall if necessary.

Performance Requirements

2.1 Product is identifiable at each stage of production.

2.2 Poultry carcases are identified at each stage of production to the point of post mortem inspection.

2.3 Product and ingredients are traceable.

2.4 Product can be withdrawn and/or recalled.

2.5 All tasks involving the traceability, withdrawal and recall of poultry meat and or poultry meat products are detailed in written work instructions and personnel are competent in the application of these instructions.

Table 55: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance Checklist
2.1	The occupier has a documented procedure for trace back of incoming poultry?
2.2	The establishment has a documented procedure for tracing product forward for withdrawal or recall?
2.3	Poultry meat and poultry meat products are identified at each stage of production?
2.4	The procedure addresses corrective/preventive action?
2.5	The procedure addresses the frequency of the tasks including verification?
2.6	The procedure identifies the individuals responsible for the tasks including verification?
2.7	Records of these procedures, including monitoring and verification, and corrective/preventive action taken are maintained?

Table 56: Target

Item	Target	References
2.1	[m] Documented procedure requiring products to be traceable (one step forward one step backward) i.e. to the immediate customer and from the immediate supplier. In general: • [m] Product is to be withdrawn or recalled if un-wholesome.	EC(PM&PMP)Os - Order 3.02 AS 4465 - 14 (a) 4.8 AS 4465 - 15.18 (c) AS 4465 - 15.125

Item	Target	References
	• Tracing to consider batching systems and batch identification (production runs). • For product integrity market requirements – i.e. labelling / may be diverted to another market if those requirements have been met.	EC(PM&PMP)Os - Order 1.03 (iii)
2.2	[m] Recall procedures are developed and tested annually. [m] The department must be immediately notified in the event of a recall.	AS 4465 - 15.125 Food Standards Code EC(PM&PMP)Os Part 5 - 5.04 EC(PM&PMP)Os - Schedule 2, Clause 10
2.3	[m] Product is identified to the extent necessary at each stage of production to enable a particular description to be applied. [m] The auditable inventory system provides (may correspond with system in export security and integrity sections): • [m] Description of the inventory system, identification of the batch (include definition of batch). • [m] Identification of products including description, quantities, origin and location.	EC(PM&PMP)Os - Order 4.14 EC(PM&PMP)Os - Schedule 7, Clause 1, 2, 3 AS 4465 - 14 (a) 4.8
2.4	[m] Corrective/preventive actions i.e. product loses market eligibility where market requirements can't be verified.	AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 5 EC(PM&PMP)Os - Schedule 2, Clause 4
2.5	[m] The procedure addresses: • verification of the tasks • frequency of the tasks.	EC(PM&PMP)Os- Schedule 2, Clause 3 AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 6 AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
2.6	[m] The procedure identifies those responsible for the tasks.	AS 4465 - 14 (a) 4.1
2.7	[m] Records of inventory including product movements in and out of the establishments, corrective/preventative action and verifications are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

3. Trade Description

Outcome
Product is accurately and permanently identified.

Performance Indicators

3.1 Product is accurately described at each stage of production.

3.2 All tasks involving the application of a trade description to poultry meat and poultry meat products are detailed in work instructions that are current and personnel are competent in the application of these instructions.

Table 57: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance Checklist
3.1	The occupier has a documented procedure for applying trade description?
3.2	Product is identified at each stage of production?
3.3	Final trade description is accurate and complete?
3.4	The procedure addresses monitoring and verification?
3.5	The procedure addresses corrective/preventive action?
3.6	The procedure addresses the frequency of the tasks including monitoring and verification?
3.7	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
3.8	Records of these procedures, including monitoring and verification, and corrective/preventive action taken are maintained?

Table 58: Target

Item	Target	References
3.1	[m] Documented procedure that covers trade description.	EC(PM&PMP)Os - Order 4.12 EC(PM&PMP)Os - Schedule 6, Clause 5 AS 4465 - 14 (a) 4.8
3.2	[m] There must be enough information available to be able to apply the final trade description including any optional information.	EC(PM&PMP)Os - Schedule 7, Clause 1 (a) AS 4465 - 14 (a) 4.8

Item	Target	References
		AS 4465 - 15.125, 15.130, 15.132
3.3	[m] As a minimum, edible product is identified by: • [m] Name of product (full description of the poultry meat or poultry meat products) • [m] Species of poultry (can be in ingredients list in poultry meat products) • [m] Basic categories • [m] Net weight • [m] Country of origin • [m] Registration number of establishment where product was last packed • [m] Identity of poultry meat business (name and address) where they are packed or of exporter or consignee • [m] Date of packaging • [m] Refrigeration requirements • [m] List of ingredients (in the case of poultry meat products) • [m] Identity of the batch • [m] Establishment and product content description in the case of canned products • [m] for cans containing poultry meat or poultry meat products: the establishment registration number preceded by the letters 'EX'; the date or dates on which the can is closed, and the description of the contents in the can. [m] In addition, identification requirements may be specified by Food Standards Code and Importing Country Requirements.	EC(PM&PMP)Os - Schedule 6, Clause 1.2, 4 EC(PM&PMP)Os - Order 1.09 (1)
3.4	[m] Monitoring of assessment and application of trade descriptions.	EC(PM&PMP)Os - Schedule 2, Clause 3 (a) AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4
3.5	[m] Corrective/preventive actions are applied for non-compliance with a trade description.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 6
3.6	[m] The procedure addresses the frequency of the tasks.	AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
3.7	[m] The procedure identifies those responsible for the tasks.	AS 4465 - 14 (a) 4.1
3.8	[m] Records of trade description monitoring, corrective/preventive action and verification are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1

Item	Target	References
		AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

4. Export Security and Integrity

Outcome

Edible poultry meat maintains its integrity and is kept separate from inedible and condemned poultry meat and poultry by-products.

See Appendix 2 – Product Integrity and Certification Procedures.

Performance Requirements

4.1 The market eligibility of poultry meat can be readily ascertained at all times during processing and storage.

4.2 There is sufficient identification and segregation during processing and storage to preclude mixing of products i.e. the products with different eligibility, inedible and/or condemned product.

4.3 Inventory systems enable the eligibility of product to be verified.

4.4 Access to inedible and condemned material is controlled.

4.5 Transfer certificates are used for product (edible or inedible) transfers between export registered establishments.

4.6 All tasks involving the security and integrity of poultry meat and poultry meat products are detailed in work instructions that are current and personnel are competent in the application of these instructions.

Table 59: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
4.1	The occupier has a documented procedure for export security and product integrity, including product traceability and market access eligibility, and meets legislative requirements?
4.2	There is an auditable inventory system?
4.3	Edible product is segregated from inedible and condemned product?
4.4	Meat Transfer Certificates (MTCs) and Inedible Meat Transfer Certificates (IMTCs) are used and reconciled?
4.5	The procedure addresses monitoring?
4.6	The procedure addresses corrective action?
4.7	The procedure addresses the frequency of the tasks including monitoring and verification?
4.8	The procedure identifies the individuals responsible for the tasks including monitoring, verification and MTC completion?
4.9	Records of these procedures, including monitoring and verification, and corrective/preventive action taken are maintained?

Table 60: Target

Item	Target	Reference
4.1	[m] Documented procedure.	EC(PM&PMP)Os - Order 1.09 (3) EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 2, Clause 11.1 (a) AS 4465 - 14 (a) 4.1 and 4.5 EC(PM&PMP)Os - Schedule 7,
4.2	[m] The auditable inventory system (as in section 2: product traceability, withdrawal and recall) allows for reconciliation in accordance with: • [m] post-mortem disposition • [m] trade description • [m] market eligibility • [m] receiving, current storage/holding areas, and dispatch of poultry and/or product.	EC(PM&PMP)Os - Schedule 2, Clause 6
4.3	[m] Edible product is segregated from inedible product. [m] Edible poultry meat of differing market access eligibilities may require segregation. [m] Any retained poultry meat (poultry meat pending disposition) can be physically secured when required by the occupier or the department. [m] Must be a visual system to identify inedible and condemned goods until packaged and labelled (see Appendix 2). Product is segregated from edible product by space and signage. Condemned poultry meat should be physically secured until denatured.	EC(PM&PMP)Os - Schedule 7, Part 1 AS 4465 - 14 (a) 4.8
4.4	[m] Inter-establishment transfer of poultry meat requirements are: • [m] Transport vehicle to comply with the refrigeration requirements • [m] MTC completed correctly and information verified as true and correct • [m] Signed by designated establishment signatory	EC(PM&PMP)Os - Order 4.11 EC(PM&PMP)Os - Schedule 7, Part 2 AS 4696 - Part 8

Item	Target	Reference
	• [m] Signed MTC copy returned to consigning establishment within 21 days by receiving establishment • [m] Reconciled. [m] Inedible Meat Transfer certificates are used between registered establishments, or to State Government approved heat processors for animal food. [m] Non-prescribed goods should use approved transfer certificates e.g. blood serum transfer certificate. http://www.agriculture.gov.au/export/controlled-goods/non-prescribed-goods/transfer-certifcates-npg Unsatisfactory reports used when product has been received that is either non-compliant or the certificate is non-compliant.	AS 4465 - 15.126 to 15.129
4.5	[m] Monitoring of segregation and identification.	EC(PM&PMP)Os - Schedule 2, Clause 3 (a) AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4
4.6	[m] Corrective action. [m] In the event product integrity is compromised the department must be contacted. [m] Should product integrity be compromised, the occupier must take action to secure the product and preserve evidence until advice is obtained from the department.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 6
4.7	[m] The procedure addresses the frequency of the tasks, including monitoring and verification.	AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
4.8	[m] The procedure identifies those responsible for the tasks • [m] Persons who sign MTCs and IMTCs need to be identified in the AA. • MTC signatories must be listed on the Establishment register (ER) as authorised signatories.	AS 4465 - 14 (a) 4.1
4.9	[m] Records of monitoring, corrective action and product transfers.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

5. Control of Official Marks

Outcome

Official marks are only applied to eligible product and official marks and seals are only used in accordance with the EC(PM&PMP)Os.

See Appendix 2 – Product Integrity and Certification Procedures.

Performance Requirements

5.1 Official marks are only applied to product that has been passed as fit for human consumption.

5.2 Access to and application of official marks and forms is controlled.

5.3 Application of official marks, marking devices and official (accountable) forms are accounted for and only applied by nominated personnel.

5.4 All tasks involving the control of Official Marks for poultry meat and poultry meat products are detailed in work instructions and personnel are competent in the application of these instructions.

Table 61: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
5.1	The occupier has a documented procedure for the use and control of official marks and other accountable forms?
5.2	There is an ordering system for accountable items?
5.3	There is a daily use and reconciliation process?
5.4	Official marks are applied correctly?
5.5	Official marks are defaced where appropriate?
5.6	The procedure addresses monitoring?
5.7	The procedure addresses corrective action?
5.8	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
5.9	Records of these procedures/processes, monitoring, verification and corrective/preventive action taken are maintained?

Table 62: Target

Item	Target	References
5.1	[m] There is a documented procedure for the use and control of official marks. [m] Where there is no defined procedure the department shall control the official marks in the following way: • [m] Computerised labelling systems must operate in accordance with a departmental approved code of practice. • [m] The occupier may control this equipment if they hold a departmental approved code of practice and the AA covers this operation (application of the mark is linked to an auditable inventory system). • [m] For pre-printed serially numbered official marks, a reconciliation system accounts for their daily use and relates to the inventory control system. • [m] Resemblances if used are addressed in the AA.	EC(PM&PMP)Os - Order 4.13 EC(PM&PMP)Os - Part 7 EC(PM&PMP)Os - Schedule 6, Part 2
5.2	[m] The department's approval is required for the ordering and supply of all official mark. [m] The department's approval is obtained prior to installation of computer generated marking devices (including software).	EC(PM&PMP)Os - Order 7.04
5.3	[m] See Appendix 2 for daily control and reconciliation. Container bolt seals and official carton seals must be reconciled daily to show use and remaining seals on hand. [m] See Appendix 2 for replacement label procedures. [m] Where official marks have been incorrectly applied to product, they must be removed/defaced as soon as is practical and a record is kept.	EC(PM&PMP)Os - Order 7.07 EC(PM&PMP)Os - Schedule 6, Part 2, Clause 13
5.4	[m] For edible products official marks are only applied to eligible product. [m] Marks must be applied correctly (clearly, legibly, to eligible product).	EC(PM&PMP)Os - Order 7.01 (1) EC(PM&PMP)Os - Schedule 6, Part 2, Clause 11, 12
5.5	Only fit and proper persons may order official marks and forms. [m] Official mark order forms must be countersigned by a departmental officer.	EC(PGG)Os, Clause 4.05 EC(PM&PMP)Os - Schedule 1, Part 1, Clause 5.2 (b)

Item	Target	References
	[m] People responsible for daily use of official marks, marking devices and forms must be nominated in the AA. [m] The nominated person is responsible for official marks when not secured. [m] An identified establishment person secures all marks and marking devices when not in use. A fit and proper person should be responsible for the reconciliation of use of the official marks and forms.	EC(PM&PMP)Os - Order 7.03, 7.04, 7.06
5.6	[m] Defacement - See Appendix 2 for directions.	EC(PM&PMP)Os - Order 7.01 EC(PM&PMP)Os - Schedule 6, Part 2, Clause 13
5.7	[m] Monitoring of control in processing areas, defacement and replacement.	EC(PM&PMP)Os - Schedule 2, Clause 3 (a) AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4
5.8	[m] Corrective/preventive action including: • [m] In the event product integrity, including market eligibility, is compromised the department must be contacted. • [m] Should product integrity be compromised, the occupier must take action to secure the product and preserve evidence until advice is obtained from the department.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 6
5.9	[m] Records of use and reconciliations of official marks are maintained. [m] Records of monitoring, verification and corrective/ preventive action taken are maintained.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 EC(PM&PMP)Os - Order 7.07 EC(PM&PMP)Os - Order 10.08 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7 EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 6

6. Importing Country Requirements

Outcome
Product intended for a particular market complies with all the requirements for that market.

Performance Requirements

6.1 Importing country requirements are met before certification can be requested.

6.2 Procedures within the AA reflect the market listing held by the establishment.

6.3 All tasks involving the importing country requirements for Poultry meat and Poultry meat products are detailed in work instructions and personnel are competent in the application of these instructions.

Table 63: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
6.1	The occupier has documented procedures to identify the necessary importing country requirements?
6.2	The occupier can comply with importing country requirements listed in MICoR prior to production and export to a specific market?
6.3	Procedures are in place to maintain product identification, segregation for different country eligibility and product integrity?
6.4	The procedure addresses monitoring and verification?
6.5	The procedure addresses corrective/preventive action?
6.6	The procedure addresses the frequency of the tasks including monitoring and verification?
6.7	The procedure identifies the individuals responsible for the tasks including monitoring and verification?
6.8	Records of the procedures for monitoring, verification and corrective/preventive action taken are maintained?

Table 64: Target

Item	Target	References
6.1	AA reflects current market requirements to ensure processes are operationally compliant. When changes to the importing country requirements occur and notified through Meat Notices, Market Access Advices or MICoR updates, the AA is assessed and suitable amendments made.	EC(PM&PMP)Os - Order 3.02 EC(PM&PMP)Os - Schedule 2, Clause 11.1 (a) AS 4465 - 14 (a) 4.1 and 4.5
6.2	[m] Establishments must comply with importing country requirements listed in MICoR for a specific market. Some importing countries may require application for listing and a foreign official visit. Verification of applications should use the internal audit procedure prior to submission to the department.	EC(PM&PMP)Os - Order 3.06 EC(PM&PMP)Os - Schedule 7, Clause 5
6.3	[m] Segregation of differing market eligibilities must be specified.	EC(PM&PMP)Os - Schedule 7, Clause 5
6.4	[m] Monitoring of identification and segregation systems.	EC(PM&PMP)Os - Schedule 2, Clause 3 (a) AS 4465 - 14 (a) 4.12 AS 4465 - 14 (b) 4
6.5	[m] Corrective/preventive action including: • [m] Should the product integrity procedure be compromised, the occupier must take action to secure the product and preserve evidence until advice is obtained from the department. • [m] When product becomes ineligible for a market, all marks indicating eligibility are removed and inventory is amended to reflect the loss of eligibility.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 6
6.6	[m] The procedure addresses the frequency of the tasks, including monitoring and verification.	AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
6.7	[m] The procedure identifies those responsible for the tasks.	AS 4465 - 14 (a) 4.1
6.8	[m] Records of monitoring and verification and inventory are kept.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

7. Export Documentation

Outcome

Poultry meat and poultry meat products are exported from Australia when certification requirements are accurately met.

Performance Indicators

7.1 Request for Permits (RFPs) sent to the department must be accurate and complete.

7.2 All poultry meat and poultry meat products exported have a valid export permit prior to departure from Australia.

7.3 All tasks involving the importing country requirements for poultry meat and poultry meat products are detailed in work instructions that are current and personnel are competent in the application of these instructions.

Table 65: Performance Checklist

Can the enterprise demonstrate that:

Item	Performance checklist
7.1	The occupier has documented procedures for generating and validating export documentation?
7.2	RFP validation is an independent process to that which generated the RFP?
7.3	The procedure addresses corrective/preventive action?
7.4	The procedure addresses the frequency of the tasks, including monitoring and verification?
7.5	The procedure identifies the individuals responsible for the tasks, and their accessibility to EXDOC?
7.6	The records of these procedures and corrective/preventive action taken are being maintained?

Table 66: Target

Item	Target	Reference
7.1	[m] The exporter must apply for an export permit (Request For Permit – RFP). [m] Occupier at last establishment that inspects the goods may validate Export Permits. [m] The occupier's AA must describe: • The system by which RFP fields are completed including where the information in each field is derived from. • The process for appointing and training Authorised signatories and RFP Validators.	EC(PM&PMP)Os - Schedule 8, Clause 1, 3 and 5

Item	Target	Reference
	• Procedures for Authorised signatories to complete the RFP and submit to the department declaring the information is true, correct and meets export legislation and importing country requirements. • The procedures used to validate export permits, including load out inspection.	
7.2	[m] RFP validation process verifies the information in the RFP (different process to application). [m] There is an auditable and documented trail of information to lead to RFP validation.	EC(PM&PMP)Os - Schedule 8, Clause 3, 4 and 5
7.3	[m] Corrective/preventive action including: • [m] In the event products are identified to be unwholesome, or their integrity, including market eligibility, is compromised the department must be contacted. • [m] Should product be identified to be unwholesome or its integrity is compromised, the occupier must take action to secure the product and preserve evidence until advice is obtained from the department.	EC(PM&PMP)Os - Schedule 2, Clause 4 AS 4465 - 14 (a) 4.14 AS 4465 - 14 (b) 6
7.4	[m] The procedure addresses the frequency of the tasks, including monitoring and verification.	EC(PM&PMP)Os - Schedule 2, Clause 3 AS 4465 - 14 (a) 4.10 AS 4465 - 14 (b) 4
7.5	[m] The procedure identifies those responsible for the tasks. [m] EXDOC user IDs and passwords are strictly confidential and must not be shared.	EC(PM&PMP)Os - Schedule 2, Clause 2 EC(PM&PMP)Os - Schedule 8, Clause 5.2 (b) AS 4465 - 14 (a) 4.1
7.6	[m] Records of these procedures, including load out, RFP validation, monitoring, verification and corrective/preventive action taken are maintained.	EC(PM&PMP)Os - Schedule 2, Clause 7.1 AS 4465 - 14 (a) 4.16 AS 4465 - 14 (b) 7

Appendix 1
Documentation of Procedures

A) Sanitation Standard Operating Procedure and Standard Operating Procedure

It is recommended that the documentation of procedures be in a recognised Standard Operating Procedure (SOP) format. This format (as follows) is not mandatory but alternative approaches must be able to demonstrate their adequacy and effectiveness. Where there are elements common to a number of procedures, these can be documented in a single section.

- Refer to MINTRAC website (mintrac.com.au) for further information on development of SOPs and WIs.
- The procedures should include references to how the establishment manages risk where relevant.

The development of each element of a procedure (e.g. scope, monitoring, corrective action, verification etc) must reference the requirements mentioned in these guidelines.

Title of procedure

1. Purpose

What is the procedure trying to achieve? Include the circumstances under which the procedure will be implemented.

2. Scope

What does the procedure cover? Include who needs to understand and follow it, which activities it covers, where it applies and the extent of control.

3. Definitions

Include any definitions relevant to the procedure.

4. Background

Include any relevant background information to assist with understanding the procedure.

5. References

Include any reference material relevant to the procedure, including legal references. This may be best achieved by the use of a master list.

6. Actions

Give details of the process i.e.

a. how is it done (specify stages)
b. when is it done and how often
c. where is it done (location/area).

7. Monitoring

The monitoring method(s), monitoring frequency and how the monitoring is recorded need to be described with any measurements or observations to assess whether the process is operating within defined limits (how is it done, when is it done, how often is it done). This must be specific and state the pass/fail criteria. The frequency of monitoring must be defined. It cannot be described 'as necessary' or random.

8. Responsibility

This section identifies the roles (e.g. job title) of those responsible for the activities under the SOP and should include:

a) Any specific requirements for responsibility that the department requires e.g. stamps, seals, RFP validation?

b) individuals responsible for implementing, monitoring and maintaining records of activities under the SOP

    - This should also help when writing specific job and task work instructions.

9. Corrective action

Describe actions taken when the results of monitoring indicate a loss of control. These actions:

a) should bring the process back under control

b) should include any non-conforming product produced in the production lot, either returning non-conforming product to acceptable specification or condemn

c) should describe immediate corrective and longer-term preventive action

d) should also pick up corrective action that relates to problems at verification

e) Should specify segregation process e.g. mixing export poultry meat with non-export poultry meat makes it all non-export poultry meat.

10. Records

Identify various forms by name or number for the written records to be used for monitoring, corrective action and verification.

11. Verification

This is the continual review of process control systems to ensure that regulatory and/or specified requirements are met:

a. It is necessary to specify all activities required to verify the procedure is effective – periodic review of monitoring documentation, internal audit and management review of internal audit documentation.
b. It needs to include methodology and any necessary action.
c. Verification may use a different test to monitoring e.g. microbiology. Are there any specific items that the department requires e.g. surface microbiology to verify sanitation? There is a need to describe what is done, when it is done, how often it is done.

In all cases Internal Audit and Management Reviews are verifications.

12. Version History Detail

The details of version number, publication dates, any amendments and names of SOP owner and reviewers need to be included to ensure document control and transparency of changes.

Date Published	Version	Detail reason for issue or amendments	Document Owner Reviewer(s)
—	—	—	—

Note:

- This format may not be applicable to the system support area.
- When developing procedures, each section of the Approved Arrangement Guideline may contain content specific to the procedure that is in addition to the generic requirements stated above.
- When developing the arrangement each section of these Guidelines must be read in conjunction with the relevant sections of the EC(PM&PMP)Os and Australian Poultry Meat Standard.

B) Work Instruction

A work instruction is a more detailed document defining work processes or practices and sits under a SOP. Under a SOP, there may be a number of work instructions that should cover the details of the tasks to be done in a process such as scalding, defeathering, evisceration, trimming etc. There should also be detailed work instructions covering monitoring, corrective action and verification activities.

The extent to which an occupier addresses the elements of the AA is dependent upon the scope of poultry meat and poultry meat product processing activities, markets that the occupier is listed to access and relevant aspects of the business environment.

The EC(PM&PMP)Os also provides industry the opportunity to implement scientifically validated alternative procedures following departmental approval.

Appendix 2
Product Integrity and Certification Procedures

A) Export security and integrity

1. Inter-establishment transfer:

The EC(PM&PMP)Os require that integrity of poultry meat and poultry meat products is maintained during transport. To achieve this, the AA must describe the occupier's procedures for product traceability and documentation, including:

- Practices for effective segregation and identification according to trade description and market eligibility for transport.
- Procedures for responding to reports of unsatisfactory transfer of poultry meat and poultry meat products from other establishments.
- Procedures for reporting to other establishments when unsatisfactory transfers of poultry meat and poultry meat products are received.
- Corrective/preventive action procedures in place to manage any non-compliance.

To ensure that transport integrity is maintained between the establishments, a Meat Transfer Certificate (MTC) must accompany each load during transport. Pre-printed MTCs are available from the department. The department may approve electronic systems that cover the required information.

The MTC must contain the following information:

- A full description of the poultry meat and poultry meat products, including storage conditions.
- The details of the dispatching establishment (name, address, establishment number).
- The details of the receiving establishment (name, address, establishment number).
- The details of the establishments where the goods were prepared, including date/s of slaughter and preparation.
- The quantities and kinds of packages.
- The identification of vehicle transporting the poultry meat, and description of security applied to the poultry meat.
- Any markets/countries the poultry meat is eligible for.
- A declaration that:
    - the goods being transferred comply with the conditions and restrictions for export
    - importing country requirements have been met

- all the information given on MTC is true and complete.

All necessary information on the MTC needs to be verified either at the time of load-out or before.

Declarations on MTCs are signed by a designated signatory, who is a person in management or control at the establishment. The AA must detail procedures for appointment and training of MTC designated signatories, as well as the procedures for the removal of persons no longer acting in this capacity. The MTC designated signatories must:

a. Have knowledge and understanding of the ECA and its subordinate legislation, importing country requirements and the importing country listings of the establishment.
b. Be capable of keeping auditable records used in the MTC completion and signing process.
c. Understand how the information in all the MTC fields is obtained.

The designated signatory is responsible for the accuracy of all information in the MTC. There are penalties if false declarations are made.

The AA must document the process of MTC verification to be followed by the MTC designated signatory, which should cover:

a. How the results of product inspections are provided to the MTC designated signatory (if not present).
b. Obtaining relevant establishment records relating to the product intended to be transferred.
c. Checking the product details on the MTC against the product information records to verify accuracy.
d. The procedures to be followed when the MTC information is not accurate or the product is not eligible for the intended destination.

The AA must detail what records will be used by the MTC designated signatory as the basis of verifying the information in the MTC (e.g. load-out reports, product scan reports, product source documents (incoming MTCs), results of any required product tests for specific markets).

The receiving establishment must return the duplicate copy of the MTC to the consigning establishment after completing the relevant portion of the MTC (bottom part named as “Attestation of Receiving Official”).

2. Non-export poultry meat

The EC(PM&PMP)Os require that integrity of poultry meat and poultry meat product for export is maintained. Product not eligible for export can be handled provided that the following conditions are met:

a. Non-export poultry meat is not received, stored or processed unless provided for in the AA.
b. Nomination of type, species and use on establishment of non-export goods.
c. Identification, segregation and inventory systems covering receipt, processing, storage and despatch:
    i. A diagram of the site identifying storage areas may be necessary.
    ii. Storage areas should be capable of being locked.
d. Identification of secured storage areas for non-export goods.
e. Unidentified poultry meat at a minimum must be segregated by time or structure.

f. Packaged and identified poultry meat at a minimum must be segregated by time or structure or space.
g. Clear differentiation between non-export and export packaging in a processing/boning plant.

Some markets may require the departmental presence or lock-up security at establishments processing and storing export and non-export poultry meat.

3. Imported poultry meat or poultry meat products for further processing and export

Imported poultry meat may be stored, processed and/or despatched to other countries provided that the following conditions are met:

a. The goods are accompanied by an official certificate from the exporting country.
b. The goods are identified and segregated from other poultry meat through receival, storage, processing and re-export.
c. Some markets permit product to be produced from both Australian and New Zealand poultry meat.
d. Imported poultry meat that is for domestic use is treated like non-export poultry meat.

4. Condemned material:

Condemned material must not jeopardise the integrity of poultry meat and poultry meat products for export. Establishments handling condemn material must include procedures with the AA to ensure:

a. Once it is moved out of the direct control of a Meat Safety Inspector, it is effectively segregated until made inedible by rendering or chemical denaturation.
b. The segregated area is controlled sufficiently to prevent direct or indirect contamination of edible poultry meat and poultry meat products.

5. Animal food material:

Material for use as animal food must not jeopardise the integrity of poultry meat and poultry meat products for export. Establishments handling material for use as animal food must include procedures with their AA to ensure:

a. Once it is moved out of the direct control of a Food Safety Meat Assessor, it is effectively segregated from edible poultry meat and poultry meat product until packaged, labelled and, if necessary, stained (refer *Australian Standard for the Hygienic Rendering of Animal Products,* and *Australian Standard for the Hygienic Production of Pet Meat).*
b. It is adequately handled to meet animal food standards and its hygiene and integrity is protected from contamination by condemned or inedible material.
c. The animal food area is controlled sufficiently to prevent direct or indirect contamination of edible poultry meat and poultry meat products.
d. Material designated as animal food is not left in an area unsecured or unsupervised.
e. An inventory system is implemented for animal food at the establishment.
f. Clearly labelled as animal food and is segregated in storage.
g. It is despatched to other registered establishments or approved heat processors or received onto the establishment using IMTC
    - If the receiving establishment fails to return the duplicate IMTC, the occupier should contact the department.
h. A valid export permit.

B) Official Marks and Marking Devices

Official marks must be kept under the control by the occupier and/or authorised officer to ensure that they are only applied to poultry meat and poultry meat products that are eligible for that mark. The Export Control (Prescribed Goods General) Orders (EC(PGG)O) specifies the sizes for official marks that must be used on poultry meat and poultry meat product.

1. Resemblances

To enable industry to utilise resemblances, the sizes below are to be used. Unless otherwise required by an importing country, resemblances can be controlled through general departmental supervision and verification activities.

It is important that resemblances:

a. Are not used for the primary mark that is applied to carcases, tags or cartons, unless it is in accordance with an importing country requirement.
b. Have a documented procedure for and a record of ordering and receival of resemblances.

Table 67: Sizes of resemblances

Description	Dimension of Resemblance	Large Size	Small Size
Australia Inspected	1. Resemblance of mark specified in Order 13.02 of the EC(PGG)O as amended	(mm)	(mm)
	(a) Breadth of Oval	45	18 or less
	(b) Height of Oval	35	12 or less
Australia Approved	2. Resemblance of mark specified in Order 13.12 to the EC(PGG)O as amended	(mm)	(mm)
	(a) Breadth of Oval	40	18 or less
	(b) Height of Oval	30	12 or less

The letters and registered establishment number shall be clear and legible.

2. Defacement

Official marks must be defaced under certain circumstances. Official marks, other than resemblances, must be defaced when:

a) A product ceases to be fit for human consumption.
b) Loses a market eligibility as defined by that mark:
   - Product may lose its market eligibility when the specific market procedure is not adhered to
c) The intention to export is abandoned.

Note: For packaged poultry meat this only applies to the mark on the main panel or tag

d) The carton, label or tag on which the mark is applied is damaged and is being replaced:
   - The replacement must be recorded in the inventory control system.
   - Where there is a regular departmental presence on site these replacements should only occur with their approval or verification.
   - The AA must have procedures for notifying the department when this occurs.
e) The occupier must have corrective/preventive action procedures in place to manage any non-compliance.

3. Official Security seals

Official container bolt seals and tamper-indicative strap seals must be controlled and accounted for. Where the establishment has a security arrangement as part of their AA; the following is required:

3.1. Official container seals

a) Orders must be made directly to the departmental Regional Office.
b) The person placing the order must be nominated on the registration as a fit and proper person.
c) Once received, the boxes of seals must be checked to ensure that the number and serial number range of the seals are consistent with the department's despatch documents.
d) A register must be kept which shows the number and serial numbers of seals received, those on hand and those issued for use at the establishment each work day
    - Details of specific use of particular seals must be recorded
    - These records may be kept in the seal register or with records completed at the place of use (e.g. at container sealing), provided each seal can be accounted for.
e) Damaged, unusable and broken seals must be accounted for.
f) All seals must be under the direct control of the persons nominated by the occupier to secure and issue them, or the persons nominated to receive and use them. The seals must be under lock-up security when not under the direct supervision of these persons.
g) Seals currently on the establishment and seal registers must be made available to the departmental auditors on request.
h) The occupier must have corrective/preventive action procedures in place to manage any non-compliance.

- **Official tamper-evident strap seals and container seals** are only available through the department's regional office.
- **Tamper-evident strap** are not usually issued to occupiers of establishments, however, in cases where they may be, the occupier's control procedures must be the same as for official container seals.

C) Export Documentation (EXDOC)

Exporters must have an export permit for poultry meat and poultry meat products before the product can be exported. An application for an export permit to export poultry meat and poultry meat products must be made by or on behalf of the person who intends to export the poultry meat and should be provided prior to export. A Request for Permit (RFP) is submitted through the EXDOC system, and requires an RFP Validator for generation of the information as well as a signatory to independently confirm truth and accuracy.

When a RFP is submitted to the department through the EXDOC system:

1. Ensure that the computer-based system for RFP generation conforms to the EXDOC Exporter System Interface Specification.
2. The RFP details the information required for verification such as:
    a) Header
    b) RFP reference
    c) Exporter and consignee identification
    d) Discharge country and port
    e) Destination country and city

f) Name of vessel, voyage number, date of shipment

g) Health certificate print controls and identifiers

h) Forward and transfer indicators

i) Inspection establishment and date

j) Line (per product parcel)

k) Product inspection description and health certificate description

l) Slaughter and packing dates

m) Periods of product processing

n) Product packaging, quantity, shipping marks

o) Quota references

p) Container and seal numbers

q) Slaughtering and packing establishments (including registration numbers).

The RFP is generated by an authorised signatory, who is a person designated by the occupier and authorised by the department.

3. The RFP is validated by:

   a) A person designated by the occupier where provided for under the AA, and authorised by the department as a RFP validator

      or

   b) The departmental officer when the officer has supervised the loading and has reasonable grounds to believe that the information provided in the RFP is true and accurate.

4. An 'RFP Validator' verifies that:

   a) The information in the RFP is correct prior to validating it.

   b) The product being validated meets legislative requirements.

5. The RFP Validator must:

   a) Have knowledge and understanding of the ECA and relevant subordinate legislation.

   b) Have knowledge and understanding the overseas listings of the establishment and the specific importing country requirements for those listed countries.

   c) Understand and be able to explain how all relevant information for an RFP is obtained.

   d) Be able to confirm that correct inspection of products intended for export is undertaken, including being aware of who conducts the inspections, how the inspections are done and how the results are recorded.

   e) Maintain their ability to use the required information systems technology.

   f) Keep EXDOC user ID's and passwords strictly confidential.

g) Keep auditable records of the verification activities they have undertaken to support their validating of the export permit.

h) Accept legal responsibility for the accuracy of the information provided in the RFP and that the goods being certified comply with the Orders and any required importing country requirements. There are penalties if false declarations are made.

i) The Export Permit Validator should initial or sign documents used to verify the information in the RFP. These records should be kept with a copy of the validated RFP.

6. Should occupiers or exporters become aware of inaccuracies in export documentation or become aware that the goods may not meet export requirement, they should immediately inform the relevant departmental Regional Office to seek amendments, obtain clarification and follow instructions. If necessary, this may involve cessation of transport or loading on ship. The departmental on plant officers must also be informed at the same time if available.

7. An RFP Validator is responsible for the accuracy of all the information on an RFP including the compliance of the goods being validated against the relevant Australian legislation and any relevant importing country requirements.

8. It is an **offence** to export poultry meat and poultry meat products unless an Export Permit has been issued by the department.

9. It is an **offence** for an RFP Validator to provide their EXDOC password to any other person.

10. Once an Export Permit has been issued, the departmental Regional Offices will make available the necessary importing country Government Certificates. Using control fields in the RFP, the exporter may request the EXDOC system to produce the export documentation any time after the RFP has been authorised. A number of importing countries require a health certificate to be printed and dated prior to product leaving Australia.

11. The exporter shall ensure that the poultry meat or poultry meat product consignments are not exported unless an Export Permit has been issued for the goods and Government Certificates are forwarded to importing country authorities as appropriate.

12. Above procedure does not apply to non-prescribed goods.

***Note**: Establishments should satisfy themselves that the products being produced are non-prescribed if they do not want to follow this procedure.*

Appendix 3

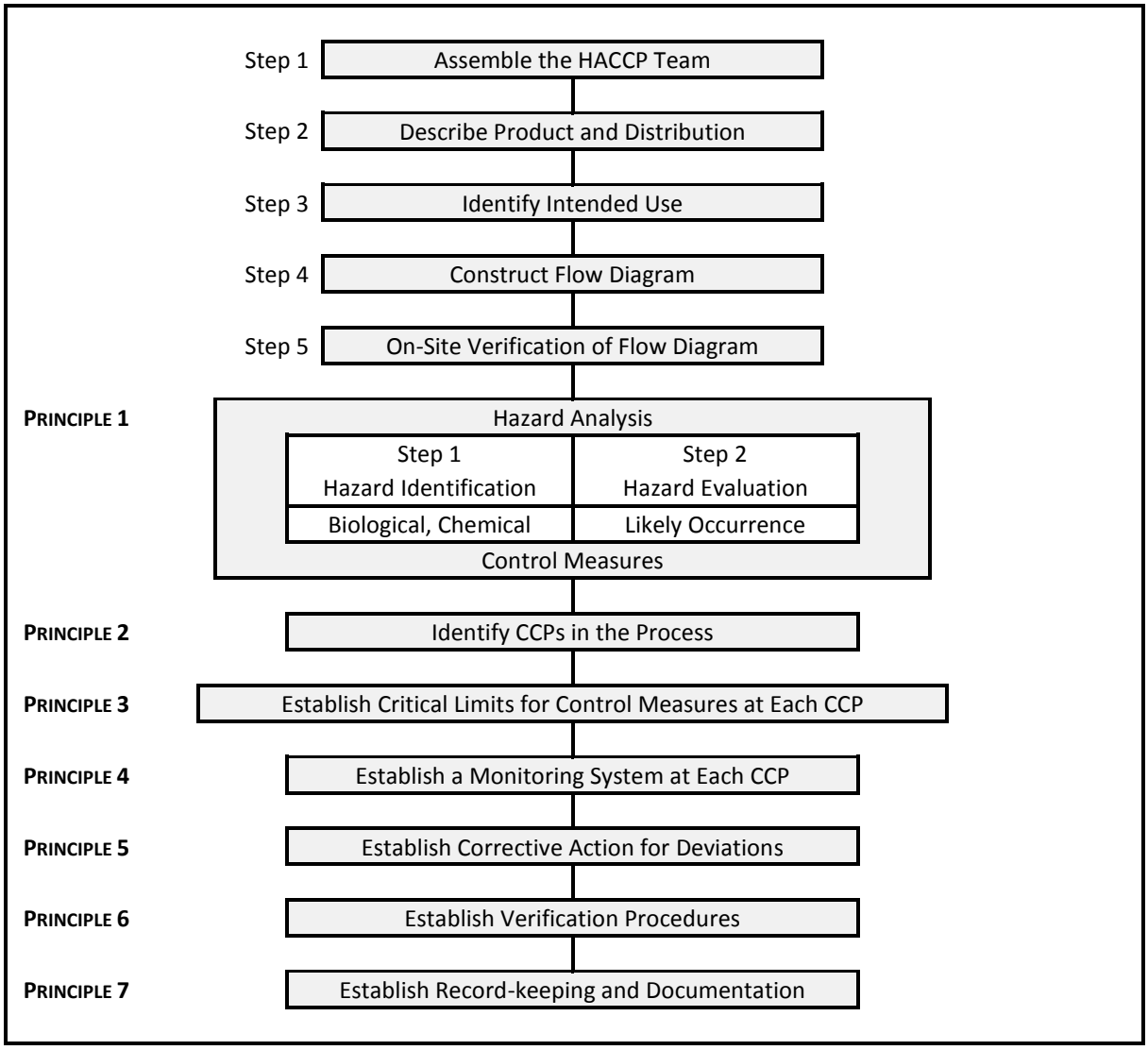
The HACCP System

The HACCP method describes a system for the identification, evaluation and control of hazards that are significant for food safety. The HACCP approach described in this Part is based on the principles of HACCP published by the Joint FAO/WHO Codex Alimentarius Commission.

A. Principles of HACCP

HACCP applies a systematic logic sequence to the identification, evaluation and control of food safety hazards based on seven principles (Figure 2) and five preliminary steps.

Figure 2: Logic Sequence for Developing a HACCP Plan



B. Developing the HACCP plan

The following five preliminary steps must be addressed initially:

1. Assemble the HACCP team.

2. Describe the product and the method of distribution.

3. Identify the intended use and consumers of the product.

4. Construct a flow diagram which describes the process.

5. Confirm the flow diagram.

In addressing each of these steps, documentation must be created which provides evidence of the completion of these steps.

Preliminary Step 1: Assemble the HACCP team

The team:

1. Requires people with knowledge and experience appropriate to the product and process.

2. Is responsible for developing each step of the HACCP plan.

3. Requires a leader or coordinator, who possesses recognised qualifications in the application of HACCP.

Preliminary Step 2: Describe the Product

A description of the product includes information such as composition, physical/chemical structure (including water activity A_w, pH, etc.), preservation status (heat-treated, frozen, smoked, etc.), packaging, durability, storage conditions and method of distribution.

Preliminary Step 3: Identify the Intended Use and Consumers of the product

Consumers may be the general public or a particular segment of the population, including infants, elderly and the immunologically compromised. It is important that the intended use of the product by consumers be identified. For example, it should be clearly stated whether the product is to be consumed raw or partially cooked.

Preliminary Step 4: Construct a flow diagram

A flow diagram should provide a clear, simple description of the steps in a production process from receipt of raw materials to final loading of finished products. There should be a sufficient detail to enable hazard identification, but not so much as to overburden the plan with less important points. For example, dividing steps into their individual tasks within the flow chart should be avoided.

Preliminary Step 5: Confirm the Flow diagram

The accuracy and completeness of the flow diagram is confirmed and the diagram signed and dated by the person(s) confirming the flow.

Principle No. 1: Conduct the Hazard Analysis

1. The hazard analysis identifies those hazards significant to food safety and their control measures.

2. A hazard analysis is conducted for each product or process type.

3. The likelihood of occurrence and the potential severity for public health are evaluated in determining the significance of hazards in a product type.

4. Control measure(s) are assigned to each significant hazard identified by the hazard analysis.

Principle No. 2: Determine the Critical Control Points

1. Critical control point(s) (CCP) are determined at point(s) in the process where significant hazards can be controlled and are essential to prevent or eliminate the hazard or reduce it to an acceptable level.

2. The determination of a CCP can be assisted by the application of decision trees in risk matrix. The decision tree approach is not mandatory, however the thought process can be useful.

   Note: some markets require the use of the decision tree as part of the process.

Principle No. 3: Establish Critical Limits at Each CCP

1. Critical limit(s) are set for the control measure(s) at each CCP.

2. Critical limits relate to the control measure at the CCP for the significant hazard.

3. The measurement of critical limits is made from the product or from processing agents or from equipment (such as air temperatures in cooking vessels or refrigeration chambers).

4. Operating limits can be established at a level before the critical limit is breached to allow early intervention before deviation from the critical limit.

Principle No. 4: Establish Monitoring Procedures

1. Monitoring is scheduled to measure the critical limit at a CCP. The procedure specifies fully how, when and by whom the monitoring is performed.

2. Continuous monitoring is more reliable and is designed to detect shifts from operational limits, thereby allowing correction before deviation from the critical limit.

3. Where monitoring is not continuous, the amount and frequency of monitoring should be sufficient to assure that the CCP is under control.

4. Personnel must be adequately trained in the monitoring procedures for the CCP for which they are responsible.

Principle No. 5: Establish Corrective Action

1. Corrective action is defined for deviations from the critical limit at each critical control point.

2. Corrective action must address the following principles:

   a) The identification and correction of the cause of the deviation (including preventive action).

   b) The identification, isolation, treatment and disposition of affected product (lot or batch).

   c) The records that document the incident and the action taken.

3. The personnel responsible for taking corrective action and for releasing affected product after corrective action has been taken are identified.

Principle No. 6: Establish Verification Procedures

Verification determines the effectiveness of the HACCP Plan and that the system is operating according to the Plan.

1. Validation

    - Initial validation is conducted during the development and implementation of the HACCP to determine that the plan is scientifically sound, is complete and that hazards are effectively controlled.

2. Verification

    - Verification shows whether the HACCP system is functioning effectively on an ongoing basis.
    - Verification procedures include:

        a) Review of monitoring and corrective action records for each CCP

        b) Calibration of measuring equipment used in the monitoring of critical limits

        c) Review of the monitoring procedure at critical control points

        d) Microbiological analysis of product samples: for some product: hazard combinations testing may be prescribed either by the Controlling Authority or by importing countries.

3. Reassessment

    - Reassessment of the HACCP plan is undertaken at least annually to revalidate the HACCP plan.

- The HACCP plan will also be reassessed when there have been alterations to the process, where the HACCP plan has failed, where new hazards are identified, or the intended use of the product has changed.

Principle No. 7: Establish Record Keeping Procedures

1. The HACCP Plan and associated records are available as part of the AA.
2. The records from the HACCP Plan include:

    a) The HACCP team

    b) The description of the product, distribution, consumer and intended use

    c) The verified and signed flow diagram

    d) Hazard analysis including the rationale and references for determining significant hazards and their control measures

e) CCP determination and technical basis of critical limits

f) HACCP table for each CCP identifying activities for the control of the significant hazard

g) CCP monitoring activities

h) Deviations and related corrective action

i) Verification including validation, daily verification and reassessment

j) Modifications to the HACCP plan.

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