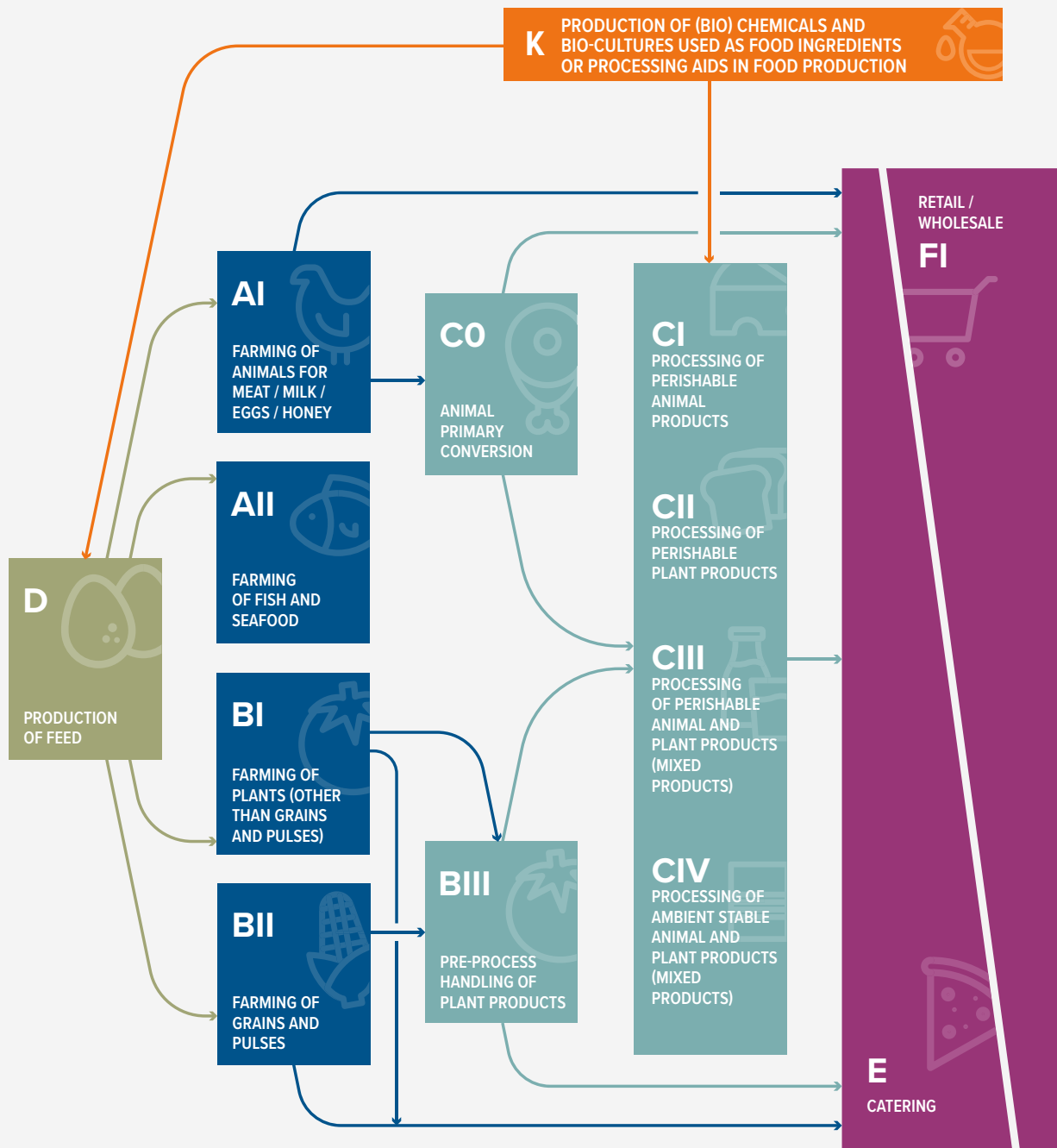




**GFSI** TECHNICAL EQUIVALENCE REQUIREMENTS VERSION 2020

**PART III**  
**REQUIREMENTS  
FOR THE CONTENT  
OF STANDARDS**

***FII*** Food Broker / Agent



- FII** FOOD BROKER / AGENT
- G** PROVISION OF STORAGE AND DISTRIBUTION SERVICES
- H** PROVISION OF FOOD SAFETY SERVICES
- I** PRODUCTION OF FOOD PACKAGING
- Ji** HYGIENIC DESIGN OF FOOD BUILDINGS AND PROCESSING EQUIPMENT (FOR BUILDING CONSTRUCTORS AND EQUIPMENT MANUFACTURERS)
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# Part III - *FII* Food Broker / Agent

Part III of the GFSI Technical Equivalence Requirements defines the key elements required in a Standard in relation to:

- **Hazard and Risk Management Systems** (Hazard Analysis and Critical Control Points (HACCP) or HACCP based systems);
- **Food Safety Management Systems;**
- **Good Industry Practices, Good Manufacturing Practices, Good Agricultural Practices.**

This document applies to Standard Owners applying for the scope of acknowledgement FII - Food Broker / Agent. This scope includes the following product, services and activities:

- **Buying and selling of food, feed and/ or packaging products excluding the production, storage and any physical handling of the product.**

The requirements – named key elements – were identified by a multi-stakeholder group including industry experts to ensure relevance to this scope while ensuring harmonisation of food safety standards across industry. Although the structure of each scope of Part III of the GFSI Technical Equivalence Requirements is aligned, some of the key elements may be specific to the industry included in this scope.

GFSI-acknowledged Standard Owners are required to address each key element outlined in this document. The detailed content of each individual Standard must however be independently developed and is not expected to be a direct copy of the GFSI Technical Equivalence Requirements.

GFSI has defined in a Glossary terms used in key elements. Part IV, the Glossary, is an integrated part of the GFSI Technical Equivalence Requirements and definitions shall be applied accordingly in Standards. In the GFSI Technical Equivalence Requirements, food is used as an umbrella term and refers to the object of each of the scope, i.e. food, feed, packaging as applicable.

The Codex Alimentarius Guidelines on food hygiene and its HACCP annex constitutes an internationally recognised reference for food business operators and competent authorities to oversee food safety. As such, in addition to the following key elements, the Standard Owner shall ensure that the site has knowledge and align their practices to best industry practices and the Codex Alimentarius General Principles of Food Hygiene.

## SECTION 1: HAZARD AND RISK MANAGEMENT SYSTEMS REQUIREMENTS

REFERENCE	ELEMENT	THE STANDARD SHALL REQUIRE THAT
HACCP 1.1.4	Hazard and Risk management system	A hazard and risk management system shall be implemented to identify and control food safety hazards, including allergens. This system shall be systematic, comprehensive and shall take into consideration relevant law.
HACCP 1.2	Hazard and Risk management system	The scope of the Hazard and Risk Management System shall be defined per product / product category and / or per process or production step.
HACCP 1.3	Hazard and Risk management system	The Hazard and Risk Management System shall be applicable to the site's scope of certification.
HACCP 1.4	Hazard and Risk management system	The Hazard and Risk Management System shall be reviewed regularly, and in case of any change that impacts food safety.

## SECTION 2: FOOD SAFETY MANAGEMENT SYSTEMS REQUIREMENTS

REFERENCE	ELEMENT	THE STANDARD SHALL REQUIRE THAT
FSM 1	Management responsibility	A clear organisational structure identifying the job functions and responsibilities of at least those employees whose activities affect food safety shall be established, implemented and maintained.
FSM 2	Management commitment and food safety culture	Evidence of the senior management's commitment to establish, implement, maintain and continuously improve the Food Safety Management System shall be provided. This shall include elements of food safety culture, at a minimum consisting of: communication, training, feedback from employees and performance measurement on food safety related activities.
FSM 3	Management review	The senior management shall review all elements of the Food Safety Management System, including the Hazard and Risk Management System HACCP plan or HACCP-based plans regularly, and in case of any change that impacts food safety, to ensure their continuing suitability and effectiveness.
FSM 4.2	Food safety legislation	Procedures shall be established, implemented and maintained to ensure that suppliers' activities and food comply with applicable legislation (in both countries of production and intended sale).
FSM 5	Food Safety Management system	The elements of the Food Safety Management System shall be established, implemented, maintained and continuously improved and shall have a scope appropriate to the range of business activities to be covered.
FSM 6	Food safety policy and objectives	A clear, concise and documented food safety policy statement shall be in place, as well as measurable objectives specifying the extent of the organisation's commitment to meet the food safety needs.
FSM 7.1	Food defence	A food defence threat assessment procedure shall be established, implemented and maintained to identify potential threats and prioritise food defence measures.

<b>FSM 7.1.1</b>	Food defence	The agent / broker shall ensure that their suppliers have established, implemented and maintained a food defence threat assessment procedure to identify potential threats and prioritise food defence measures.
<b>FSM 7.2.1</b>	Food defence	The agent / broker shall ensure that their suppliers have a documented food defence plan in place specifying the measures implemented to mitigate the public health risks from any identified food defence threats.
<b>FSM 7.3.1</b>	Food defence	The agent / broker shall ensure that their suppliers' food defence plan is supported by the suppliers' Food Safety Management System.
<b>FSM 8.2</b>	Food fraud	A documented food fraud plan shall be in place specifying the measures implemented to mitigate the public health risks from the identified food fraud vulnerabilities.
<b>FSM 8.3</b>	Food fraud	This food fraud mitigation plan shall be supported by the organisation's Food Safety Management System.
<b>FSM 8.4</b>	Food fraud	The agent / broker shall ensure that their suppliers comply to key elements FSM 8.1, 8.2, 8.3.
<b>FSM 9.1</b>	Documentation requirements	A procedure shall be established, implemented and maintained for the management and control of documented information required to demonstrate the effective operation and control of processes and the Food Safety Management System.
<b>FSM 10.1</b>	Specified requirements / Specifications	Specified requirements or specifications shall be established, implemented and maintained for all inputs to the process, including services that are purchased or provided and have an effect on food safety.
<b>FSM 10.2</b>	Specified requirements / Specifications	A review process of the specified requirements or specifications shall be in place.
<b>FSM 11</b>	Procedures	Effective procedures and instructions shall be established, implemented and maintained for all processes and operations having an effect on food safety.
<b>FSM 12</b>	Resource management	The resources needed to establish, implement, maintain, review and improve the Food Safety Management System shall be identified and assigned.

<b>FSM 13.1.2</b>	Purchasing and supplier performance	A purchasing procedure shall be established, implemented and maintained to ensure that all inputs to the process, including externally purchased materials and services which have an effect on food safety, conform to specified requirements or specifications as well as food safety and regulatory requirements.
<b>FSM 13.2.1</b>	Purchasing and supplier performance	A procedure for the evaluation, approval and continued monitoring of suppliers which have an effect on food safety shall be established, implemented and maintained. The procedure shall address procurement in emergency situations to ensure that food still conforms to the documented specified requirements or specifications, and the supplier has been evaluated. The results of evaluations, investigations and follow up actions shall be recorded.
<b>FSM 13.3</b>	Purchasing and supplier performance	Outsourced processes that may have an effect on food safety shall be identified and controlled. Such controls shall be documented in the Food Safety Management System.
<b>FSM 14.1.1</b>	Traceability	Procedures shall be established, implemented and maintained to ensure product identification from the supplier (minimum one step back) through any processes undertaken to the recipient of the food (minimum one step forward).
<b>FSM 14.2</b>	Traceability	Documented tests of the traceability system shall be undertaken to ensure this is operating effectively.
<b>FSM 18.1.1</b>	Product labelling and product information	Finished product shall be labelled to ensure safe use of food, in compliance with the applicable food safety legislation in the country of intended sale.
<b>FSM 18.2</b>	Product labelling and product information	When product is unlabelled, all relevant product information shall be made available to ensure the safe use of the food by the customer or consumer.
<b>FSM 20</b>	Internal audit	An internal audit procedure shall be established, implemented and maintained; it shall cover all elements of the Food Safety Management System.
<b>FSM 21</b>	Complaint handling	A procedure for the management of complaints and complaint data shall be established, implemented and maintained to ensure that complaints are assessed and corrective actions implemented, when necessary.

<b>FSM 22</b>	Serious incident management	An incident management procedure, including product recall and withdrawal, shall be established, implemented and maintained. The recall procedure shall be regularly tested for effectiveness.
<b>FSM 23</b>	Product release	A product release procedure shall be established, implemented and maintained.
<b>FSM 24.1</b>	Control of non-conformity	A procedure shall be established, implemented and maintained to ensure that any non-conformity impacting food safety and any non-conforming products are clearly identified and controlled to prevent unintended use or delivery.
<b>FSM 25</b>	Corrective actions	A procedure shall be established, implemented and maintained for the determination and implementation of corrective actions in the event of any significant non-conformity relating to food safety.