
# Code of Practice for Cold and Dry Stores

## Part 2: Good Operating Practice

**Prelims**

Amendment 0

December 2006

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## Disclaimer

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Every effort has been made to ensure the information in this report is accurate.

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A copy of this document can be found at: http://www.nzfsa.govt.nz/animalproducts/index.htm

## Review of Code of Practice

This code of practice will be reviewed, as necessary, by the New Zealand Food Safety Authority. Suggestions for alterations, deletions or additions to this code of practice, should be sent, together with reasons for the change, any relevant data and contact details of the person making the suggestion, to:

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**Amendment Record**

It is important that this publication is kept up-to-date by the prompt incorporation of amendments.

To update this publication when you receive an amendment, remove the appropriate outdated pages, destroy them, and replace them with the pages from the new issue. Complete instructions will be given on the covering letter accompanying the amendment. File the covering letter at the back of the publication and sign off and date this page.

If you have any queries, please ask your local verifier.

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# 1 Introduction

Amendment 0

December 2006

## 1.1 Purpose and scope

This code of practice (COP) has been developed by the New Zealand Food Safety Authority (NZFSA), in consultation with an industry working group, to assist store operators meet the requirements of the Animal Products Act 1999 and produce products for human or animal consumption that are fit for their intended purpose. It applies to cold and dry stores whose primary operation is the storage of animal products, including dairy.

Part 2 covers Good Operating Practice (GOP). It provides guidance on hygienic practices and process control procedures. Compliance with these GOP measures will assist operators meet the requirements of the Animal Products Act 1999, particularly the current versions of the Animal Products (Specifications for Products Intended for Human Consumption) Notice and the Animal Products (Dairy Processing Specifications) Notice.

GOP is the foundation for Hazard Analysis and Critical Control Point (HACCP) and of risk management programmes (RMPs). The HACCP approach applied in Part 3 of this COP is based on the expectation that GOP is effectively being implemented prior to the application of HACCP principles.

## 1.2 Layout of Part 2

Part 2 is divided into several GOP programmes that cover hygiene and sanitation, process control, and other RMP requirements. The GOP programmes are laid out with the following subheadings:

***Purpose and Scope***

This describes the purpose of the GOP programme and its scope of application.

***Sources of Hazards***

This section identifies the sources of hazards that are controlled under the particular GOP programme, and it gives examples of hazards associated with each source. It does not apply to those GOP programmes that do not directly address a particular source of hazard (e.g. inventory control, calibration).

***Mandatory Requirements***

These requirements are mandated by legislation, and must be met or complied with by the operator. The mandatory requirements are not always directly quoted from legislation. Some of them have been reworded to make them easier to understand. The specific legislation from which each requirement has been derived is cited to assist those who may wish to read the actual piece of legislation referred to. Actual legislation will always take precedence and it is the operator's responsibility to check for changes to legislation.

The abbreviations used for legislation cited in this document are:

AP Reg – the current version of the Animal Product Regulations

Dairy Reg – the current version of the Animal Products (Dairy) Regulations

HC Spec - the current version of the Animal Products (Specifications for Products Intended for Human Consumption) Notice

Dairy Processing Spec – the current version of the Animal Products (Dairy Processing Specifications) Notice

RMP Spec – the current version of the Animal Products (Risk Management Programme Specifications) Notice

Dairy RMP Spec – the current version of the Animal Products (Dairy Risk Management Programme Specifications) Notice

AC Spec – the current version of the Animal Products (Specifications for Products Intended for Animal Consumption) Notice

***Procedures***

The procedures given are the accepted or industry agreed means of achieving or complying with the mandated requirements. These procedures cover control, monitoring, corrective action, and verification. The operator must comply with the procedures that are applicable to their product and process.

There may be cases when the operator may decide to use an alternative process, procedure or parameter that is not provided for in this COP (e.g. when new technology becomes available). The operator must be able to demonstrate the effectiveness of any alternative to consistently meet all relevant regulatory requirements and produce products that are fit for their intended purpose. Confirmation of the effectiveness of any alternative process, procedure or parameter may involve the collection and analysis of evidence by the operator (e.g. data from testing or trials, published scientific information, report from an expert). A protocol for the collection of data should be prepared by the operator as discussed in the Risk Management Programme Manual.

This COP will be reviewed, as necessary, and the inclusion of any alternative process, procedure or parameter will be considered as part of this review.

The GOP programmes covering hygiene and sanitation (e.g. pest control, design and construction), and RMP requirements (e.g. product recall) are expected to apply to the processing and storage of all types of animal products. However, the process control procedures given in Part 2 only cover further chilling from preservation or storage temperatures (e.g. further reduction of meat product temperature from 7°C to 4°C), freezing of chilled products, and storage of animal products. Other types of processing that may occur in cold or dry stores such as thawing, packing, and chilling to preservation temperature (e.g. cooling of meat to 7°C) are not adequately covered. The operator will, therefore, need to write their own process control procedures for these other types of processes.

**It is important to note that some mandatory requirements (e.g. those that are specific and clear in their intent) are not repeated or expanded further in relevant sections under Procedures. Operators must ensure that they read and comply with all requirements given under Mandatory Requirements and Procedures that are relevant to their operation.**

***Guidance***

Guidance material is presented in a box under relevant requirements in the Procedures section of each GOP programme. It provides explanatory information and options for achieving a particular outcome or requirement. Operators may use alternative methods or measures to those set out in the guidance material provided they do not in any way compromise GOP and the achievement of regulatory requirements. Justification is not needed when deviating from guidance.

***Records***

This section gives the list of records that must be kept by the operator.

## 1.3 Documentation of GOP

### 1.3.1 Legal requirement

The operator must document sufficient procedures to ensure that GOP is applied. These procedures must cover:

- the control measures to be used to control hazards and other risk factors;
- any parameters to be met;
- any monitoring procedures that are to be carried out; and
- any corrective action procedures that are to be applied in the event of loss of control; including restoration of control, identification and disposition of affected animal material or animal product, and any measures to be taken to prevent reoccurrence of the loss of control.

The GOP programmes or supporting systems needed for an RMP for a typical cold or dry store operation are already documented in this COP. Instead of the operator writing these systems, they can be incorporated into their RMP by reference (refer to the RMP template in Part 4). Therefore, most store operators will only need to document certain procedures that are specific to their operation and which cannot be covered in this COP.

When the COP does not cover a particular procedure required for the operator's RMP, the operator will need to write their own procedures.

### 1.3.2 Contents of supporting systems

When it is necessary for the operator to document supporting systems, it is recommended that they contain the following details:

- Purpose and scope
- Authorities and responsibilities
- Procedures (covering control measures, monitoring, corrective action and operator verification)
- Records
- References to other relevant documents, as applicable.

# 2 Design, Construction and Maintenance of Buildings, Facilities and Equipment

## 2.1 Purpose and scope

To ensure that all buildings, facilities and equipment are designed, constructed, installed and operated in a manner that prevents or minimises contamination of animal products, packaging, equipment, and the storage environment.

## 2.2 Sources of hazards

The sources of hazards controlled under this programme are summarised in the table below.

| Source | Examples of hazards |
|---|---|
| Facilities, equipment | Bacterial pathogens, e.g. *Listeria monocytogenes, Salmonella*<br>Chemical residues, e.g. heavy metals from equipment<br>Physical hazards, e.g. metal, glass |
| Maintenance compounds (e.g. lubricating fluids) | Chemical residues |
| Environmental contaminants (e.g. dust, fumes, pollutants, sewage) | Microbiological pathogens, e.g. *Salmonella*, *E. coli* spp., *Clostridium* spp.<br>Chemical residues, e.g. agricultural chemicals |

## 2.3 Mandatory requirements

### 2.3.1 AP Reg 10; Dairy Reg 9 and Dairy Processing Spec 33 (2)

The premises, facilities, equipment and essential services must be:

- located, designed, and constructed to enable suitability of the animal material to be maintained, and the fitness for intended purpose of the animal product to be achieved and maintained; and
- operated to minimise and manage the exposure of any animal material or animal product or associated things (e.g. packaging, equipment, and the processing environment) to hazards and other risk factors.

### 2.3.2 HC Spec 5 (1); AC Spec 9 (1)

Any material or exposed internal surface finish used in the building, or maintenance of facilities, equipment, or internal structures, that may affect the suitability for processing or the fitness for intended purpose of any animal material or product, must:

- be impervious, non-absorbent, and free from depressions, pits, cracks, and crevices that may harbour contaminants;
- be easily cleaned and sanitised;
- be unaffected by any corrosive substance with which it is likely to come into contact, to the extent necessary to ensure that it will not harbour contaminants and is not a source of contamination;
- be durable, resistant to fracture, and capable of withstanding repeated exposure to normal cleaning and sanitising;
- in the case of surfaces (other than those used for walking or standing on during operations), be smooth and minimise the accumulation of condensation; and
- in the case of materials lining the walls, floors, and ceilings, be of a colour that does not disguise contaminants having regard to the lighting arrangements.

### 2.3.3 HC Spec 5 (2); Dairy Processing Spec 33 (2); AC Spec 9 (2)

The facilities, equipment, and internal structures, that may affect the suitability for processing or the fitness for intended purpose of any animal material or animal product, must be of sanitary design.

### 2.3.4 HC Spec 20

Equipment and storage areas that are used to store or contain waste must:

- be clearly identified, and if equipment is permanently installed and in an identified storage area then either the equipment or storage area may be identified; and
- not be a source of contamination to any animal product.

### 2.3.5 HC Spec 7; AC Spec 11

Lighting must be of a sufficient intensity and quality to enable satisfactory performance of all operations.

### 2.3.6 HC Spec 6 (3); AC Spec 10 (3)

Temperature controlled rooms and equipment must be operated within their design capability and capacity, and must consistently deliver any temperature specified in legislation or in the risk management programme.

### 2.3.7 HC Spec 6 (4); Dairy Processing Spec 33 (2); AC Spec 10 (5)

Cleaning and sanitation facilities, and equipment, must be provided to ensure that the hygiene of personnel, equipment and the premises or place can be maintained.

### 2.3.8 HC Spec 6 (5)

Access to facilities that are sufficient for official assessors and Animal Product Officers to perform their role must be provided.

### 2.3.9 HC Spec 19 (1)

Equipment or storage areas used to store or contain any animal, animal material or animal product that is not suitable for processing or not fit for human consumption, but is suitable or fit for some other purpose, must be clearly identified and not be a source of contamination to any other animal material or animal product that is intended for human consumption.

## 2.4 Procedures

### 2.4.1 Location

2.4.1.1 Premises must be located away from:

a. environmentally polluted areas and industrial activities which pose a serious threat of contaminating animal material or animal product;

b. areas subject to flooding, unless sufficient safeguards are provided;

c. areas prone to infestation of pests; and/or

d. areas where wastes, either solid or liquid, cannot be effectively removed.

2.4.1.2 Transport access ways, and areas between and around buildings, must be constructed and maintained so that they drain surface water, and minimise dust and other environmental contamination.

### 2.4.2 Design and layout

2.4.2.1 The internal design and layout of premises must permit good hygienic practices, including protection against contamination of animal material and animal product between and during operations.

2.4.2.2 Adequate working space must be provided to allow for the hygienic performance of all operations, access of personnel, installation of equipment, effective cleaning, and effective monitoring and verification of activities.

### 2.4.3 Facilities and internal structures

2.4.3.1 Adequate facilities must be provided for the storage of animal material or animal product, packaging, and non-food chemicals (e.g. cleaning materials, lubricants, and fuels).

2.4.3.2 Separate compartments or rooms, as appropriate to the stored items, must be provided for foods and items liable to taint or otherwise contaminate each other.

2.4.3.3 Food storage facilities must be designed and constructed to:

a. permit adequate maintenance and cleaning;

b. avoid pest access and harbourage;

c. enable food to be effectively protected from contamination during storage; and

d. where necessary, provide an environment that minimises the deterioration of food (e.g. by temperature and humidity control).

2.4.3.4 The surfaces of walls, partitions and floors that are subject to wet cleaning must be constructed of impervious material, be easily and effectively cleaned, and facilitate the drainage or removal of water.

2.4.3.5 Walls and partitions must have a smooth surface up to a height appropriate to the operation.

2.4.3.6 Ceilings and overhead fixtures must be constructed to minimise the build-up of dirt and condensation, and the shedding of particles.

2.4.3.7 Windows must be easy to clean, constructed to minimise the build-up of dirt and, where necessary, fitted with removable and cleanable insect-proof screens. Where necessary, windows must be fixed.

2.4.3.8 Doors must have smooth, non-absorbent surfaces, and must be easy to clean and, where necessary, disinfect.

2.4.3.9 Lights and light fixtures over any exposed animal material or animal product must be of a safety type, or otherwise be protected to prevent contamination of products in the event of breakage.

2.4.3.10 Adequate means of natural or mechanical ventilation must be provided to:

a. minimise air-borne contamination of food, e.g. from aerosols and condensation droplets;

b. control ambient temperatures;

c. control odours which might affect the suitability of food; and

d. control humidity, where necessary, to ensure the safety and suitability of food.

2.4.3.11 Facilities must be designed to provide separation, by partition, location, or other effective means, between animal material or product and other materials that may cause contamination of any animal material or product (e.g. cleaning materials, hazardous substances, non-food materials, waste).

### 2.4.4 Refrigeration facilities and equipment

2.4.4.1 Refrigeration facilities must be designed for the maximum capacity likely to be processed or held on the premises at any one time.

2.4.4.2 Facilities for chilling or freezing animal products must be designed and constructed to enable animal products to be reduced to the temperature, within a prescribed time, appropriate to the product and process.

2.4.4.3 Refrigeration facilities must be designed and constructed to ensure that condensation drip on to products or equipment is minimised.

2.4.4.4 Rails and conveyors on which unprotected products (e.g. carcasses, whole fish) are transported or held must be designed and constructed to preclude contact of conveyed product with walls, floors, ceilings, structures, fittings, equipment and other products.

2.4.4.5 Equipment for the control and accurate monitoring of temperatures and other refrigeration parameters (e.g. humidity, air-flow) must be provided and must operate at all times while refrigeration facilities are in use.

2.4.4.6 Temperature sensors must be maintained so they accurately monitor the temperature within a room using a sufficient number to monitor the temperature range in different parts of the room. If only one temperature sensor is used, it must be located in the return air flow to the evaporator unit, as this usually has the highest temperature.

2.4.4.7 Chiller and cold store temperatures must be monitored by calibrated automatic temperature recording equipment.

For chillers, the room temperature should be recorded at intervals of no greater than 1 hour. For cold stores, the interval should be no greater than 4 hours.

2.4.4.8 Cold stores must be designed, constructed and operated to ensure that frozen animal products, except fish and fish products, are maintained at -12°C or colder during storage and loading. Frozen fish and fish products must be maintained at -18°C or colder.

2.4.4.9 Chillers or freezers using a common refrigerated air supply with cold stores must comply with the following requirements:

a. cold stores must be physically separated from the chiller or freezer by floor to ceiling walls;

b. insulation must be adequate to minimise heat transfer between the chiller or freezer and the cold store;

c. when a chiller or freezer is used to refrigerate unprotected animal products, the inlet air from the cold store, if used to store packaged food, must be adequately filtered to remove any dust/contaminants prior to release into the chiller or freezer;

d. exhaust air from the chiller or freezer must not be released directly back into the cold store; and

Exhaust air can be dealt with one of the following techniques:

- discarded directly to the exterior environment;

- ducted directly to the air inlet of the evaporator unit in the cold store room;

- reduced to the temperature of the cold store room via a heat exchanger prior to return to the cold store room.

e. the design and performance of the refrigeration system must be validated by an independent refrigeration consultant.

### 2.4.5 Loading facilities

Loading facilities must be designed and constructed to protect food from environmental hazards and to ensure maintenance of the temperature of food during load in or load out.

Loading facilities for protected food should be provided with a canopy.

Protection for unprotected food should be provided by means of sealed docking bays or fully enclosed environmental loading facilities.

### 2.4.6 Detain facilities

Clearly identified detain facilities must be provided for the secure handling of detained refrigerated and non-refrigerated animal product, when required.

### 2.4.7 Amenities

2.4.7.1 The following amenities must be provided for employees' use:

- changing facilities;
- personnel hygiene facilities; and
- dining facilities.

2.4.7.2 Amenities must be located so as not to jeopardise the hygienic processing and storage of animal products.

2.4.7.3 Amenities must be designed, constructed and maintained in a manner that facilitates cleanliness and tidiness.

## 2.5 Repairs and maintenance

**2.5.1** A maintenance programme must be documented and implemented to ensure that equipment and facilities are maintained in good working condition and do not cause any contamination of any animal product.

**2.5.2** All alterations, repairs and maintenance work on buildings, facilities and equipment must be done in a manner that minimises exposure of products to hazards introduced by this work.

## 2.6 Records

The operator must keep the following records:

- repairs and maintenance records;
- any equipment specifications and manufacturer's instructions;
- any building reports;
- refrigeration validation reports;
- corrective action reports; and
- internal audit reports.

# 3 Potable Water

## 3.1 Purpose and scope

To ensure that adequate supply of potable water is available for hygienic operations so as to minimise contamination and maintain the fitness for intended purpose of animal products.

## 3.2 Sources of hazards

The sources of hazards controlled under this programme are summarised in the table below.

| **Source** | **Examples of hazards** |
|---|---|
| Faecal material (e.g. animal droppings, sewage) | Pathogenic microorganisms – *E. coli* spp, *Campylobacter* spp, *Crysptosproium, Giardia,* viruses |
| Agricultural chemicals (e.g. fertiliser, pesticides) | Nitrate |
| Soil | Pathogenic microorganisms – *E. coli spp, Campylobacter spp, Crysptosproium, Giardia,* viruses<br>Toxic chemicals, e.g. arsenic, boron |
| Pipes and tanks | Copper |
| Roof paint for roof collected water | Lead |

## 3.3 Mandatory requirements

### 3.3.1 HC Spec 8, 9, 10, 11, 12, Schedule 1

3.3.1.1 Water that comes into direct contact or indirect contact with any animal product for human consumption must be potable water at the point of use.

3.3.1.2 The operator must implement a reticulation management plan for potable water used within a premises or place.

3.3.1.3 In addition to 3.3.1.2 operators must implement a water management plan if:

- water is supplied by an independent supplier and is subjected to any treatment by the operator;
- or water is supplied by the operator solely for the operator's use.

3.3.1.4 In addition to 3.3.1.2 and 3.3.1.3, operators that supply their own water must comply with the requirements of Schedule 1 of the current version of the Animal Products (Specifications for Products Intended for Human Consumption) Notice, including completing the Water Supply Assessment Checklist for water that comes into direct or indirect contact with any animal product.

## 3.4 Procedures

### 3.4.1 Supply

Adequate supply of potable water must be available and used for:

- cleaning of product contact equipment and surfaces;
- cleaning and sanitation of reused packaging;
- washing of hands of personnel involved in the handling of any animal product, packaging, and product contact equipment; and
- any other activity wherein water comes into direct or indirect contact with any animal product.

### 3.4.2 Criteria for potable water

The criteria for potable water are given in Table 1.

**Table 1: Quality of Potable Water**

| Measurement | Criteria |
|---|---|
| Faecal coliforms | Must not be detectable in any 100 ml sample |
| Chlorine (when chlorinated) | Not less than 0.2mg/l (ppm) free available chlorine with a minimum of 20 minutes contact time |
| pH (when chlorinated) | 6.5 to 8 |
| Turbidity | Should not routinely exceed 1 NTU, must not exceed 5 NTU |

### 3.4.3 Summary of requirements for water from different sources

| Source | Requirements |
|---|---|
| Town supply or other independent supply with no additional treatment[1] by operator | Management of reticulation system – Section 3.4.4.1<br>Procedures for non-complying water – Section 3.4.4.2<br>Handling and disposition of contaminated materials – Section 3.4.4.3 |
| Town supply or other independent supply with additional treatment[1] by operator | Management of reticulation system – Section 3.4.4.1<br>Procedures for non-complying water – Section 3.4.4.2<br>Handling and disposition of contaminated materials – Section 3.4.4.3<br>Water management plan, including water sampling and testing – Section 3.4.5 |
| Operator's own supply (e.g. water sourced from a bore, river, stream, roof) | Management of reticulation system – Section 3.4.4.1<br>Procedures for non-complying water – Section 3.2.4.2<br>Handling and disposition of contaminated materials – Section 3.4.4.3<br>Water management plan – Section 3.4.6.1<br>Water sampling and testing – Section 3.4.6.2<br>Assessment[2] and reassessment of water supply status – Sections 3.4.6.1 and 3.4.6.3, and Schedule 1 |

1. Examples of additional treatment are chlorination, filtration, boiling, ultraviolet radiation and reverse osmosis.

2. Assessment based on the completed Water Supply Assessment Checklist from Schedule 1 of the current version of the Animal Products (Specifications for Products Intended for Human Consumption) Notice.

### 3.4.4 Requirements for water from any source

The requirements given under this section applies to water from an independent supplier (e.g. council or town supply) and water supplied by the operator for their own use (e.g. roof water, river water, water from a bore).

An operator who uses potable water supplied by an independent supplier without additional treatment only needs to comply with the requirements given in this section 3.4.4.

3.4.4.1 Management of reticulation system (i.e. reticulation management plan)

a. The water reticulation system within the premises must be designed, installed and operated in such a manner that prevents:

- cross connections between potable and non-potable water;
- stagnant water (i.e. no dead ends and unused pipes); and
- back flow that may cause contamination of the water supply.

b. Water pipes, storage tanks and other parts of the reticulation system must be maintained in good condition.

c. The reticulation system must be flushed (i.e. taps are opened at point-of-use to allow a significant flow of water to occur) when water is not used for an extended period, and after any repairs to the system, to ensure that stagnant water, rust, scale or other material is flushed out of the system.

3.4.4.2 Procedures for non-complying water

All operations requiring the use of potable water must cease when:

- the independent supplier (e.g. local council) advises the operator that the water is not fit for drinking without additional treatment, or the operator has reason to believe that the water is not fit for use, and the operator has no other means described in the risk management programme to ensure the water is potable at the point of use; or

- if water used is supplied by the operator, and the operator fails to comply with any of the requirements of the water management plan (including corrective actions), and has no other means described in the risk management programme to ensure the water meets the original standard at the point of use.

3.4.4.3 Handling and disposition of contaminated materials

a. When contamination with non-potable water occurs, the following actions must be carried out:

- affected animal product must not be used for human consumption;
- affected product contact surfaces must be cleaned and sanitised prior to reuse; and
- affected packaging materials that cannot be effectively cleaned and sanitised must not be used for packing of any animal product.

b. The requirements and procedures for non-complying products (also referred to as non-conforming products) given in section 12 and 14 must be complied with.

### 3.4.5 Additional requirements for water from an independent supply with additional treatment.

In addition to the requirements given in section 3.4.4 of this document, a water management plan must be documented and implemented for water from an independent supply (e.g. council or town supply) that is further treated by the operator. Most cold or dry stores are unlikely to apply additional treatment to water sourced from an independent supply.

| |
|---|
| Examples of additional treatment that may be applied by the operator for water from an independent supply are: chlorination, ultraviolet treatment, heating and filtration. The operator should discuss with the supplier of the particular treatment, the types and frequency of water testing necessary to confirm the effectiveness of the treatment and ensure that it does not adversely affect the quality of the water (e.g. clogging of filters). |

If necessary, the water management plan must include:

- information on any additional treatments (including type of treatment; parameters; procedures for control, monitoring/testing; acceptable limits);
- a water sampling and testing programme for monitoring the effectiveness of the specific water treatment applied (as indicated in Table 2 or as necessary for the effective monitoring of any specific water treatment applied); and
- corrective action procedures when the water source is found to be unsatisfactory based on the results of any test done.

### 3.4.6 Additional requirements for water supplied by the operator for own use

3.4.6.1 Water management plan

In addition to the requirements given in section 3.4.4 of this document, a water management plan must be documented and implemented for water that is supplied by the operator for their own use (e.g. water sourced from a bore, stream, river or roof). It must include:

- an initial assessment of the water supply status by the operator by completing the *Water Supply Assessment Checklist* given in Schedule 1 of the current version of the Animal Products (Specifications for Products Intended for Human Consumption) Notice; and
- documentation of a water management plan, if required. The checklist provides a simple way of documenting the water management plan.

A copy of the checklist is available in Appendix 1, which is provided as a separate document to this Part for ease of downloading and use. This checklist is used to determine whether the water source is secure or satisfactory, and if additional treatment and/or other corrective action must be applied by the operator.

Guidance on ways to keep roof water safe is provided in *Water Collection Tanks and Safe Household Water*, Ministry of Health, August 1999 (code 10148). Guidance on protecting bore and well water is provided in *Secure Ground Water (Bores and Wells) For Safe Household Water*, Ministry of Health, March 2000 (code 1129). Both documents are available from www.moh.govt.nz under the section on Information for the Public.

For more information on water safety and tank installation, read *Household Water Supplies* (code 4602), available from your local public health service or your local authority (council).

If you are concerned about your water supply, contact a Health Protection Officer at your local public health service or an Environment Health Officer at your local council. They will be able to recommend a local water testing laboratory.

3.4.6.2 Water sampling and testing

a. Potable water at the point of use must meet the criteria set out in Table 1. The minimum testing frequency required is given in Table 2.

b. Microbiological testing must be done by an LAS (Laboratory Accredited Scheme) laboratory registered for the required analysis, or a laboratory with persons who are accredited as signatories for the required analysis. A list of LAS approved laboratories, including authorised representatives & general categories, is available on the NZFSA Animal Products web site under “Registers & Lists”.

c. Water samplers must be trained by or receive instruction on how to correctly sample water from the laboratory selected.

d. Chlorine, pH and turbidity measurements must be performed by a suitably skilled person using documented methodologies (including calibration procedures) and/or calibrated equipment.

**Table 2: Frequency of Testing**

| Daily water use | Microbiological testing | Turbidity testing | pH testing (for chlorinated water) | Chlorine testing (for chlorinated water) |
|---|---|---|---|---|
| < 100 $m^3$/day and product packaged at all times | 1 per 6 months | 1 per 6 months | 1 per 6 months | Daily |
| 100-1000 $m^3$/day and product packaged at all times | 1 per 3 months | 1 per 3 months | 1 per 3 months | Daily |
| < 2000 $m^3$/day | 1 every month | 1 every month | 1 every month | Daily |
| 2000- 10,000 $m^3$/day | 1 every 2 weeks | 1 every 2 weeks | 1 every 2 weeks | Daily |
| > 10,000 $m^3$/day | 1 every week | 1 every week | 1 every week | Daily |

3.4.6.3 Reassessment of the status of operator supplied water

The potable water supply must be reassessed by operators who supply their own water by completing the *Water Supply Assessment Checklist* at least once every 3 years and within the time specified as follows:

- in the case of a new source of water being used (that is, the source changes or a new source is added), the checklist is completed prior to use of the water; and
- in the case of any changes to the environment on or around the water source that may affect the water quality, the checklist is completed within 1 month.

### 3.4.7 Monitoring

Compliance with these procedures must be regularly checked by the responsible person.

### 3.5 Documents and Records

The operator must keep records containing the following information:

- completed *Water Supply Assessment Checklist* (for operator supplied water)
- water management plan, if applicable
- water testing results, if applicable
- observations from monitoring, any water treatment applied, and any corrective action taken.

# 4 Cleaning and Sanitation

## 4.1 Purpose and scope

To ensure the effective maintenance, cleaning and sanitation of the premises, facilities and equipment so as to prevent or minimise the contamination of animal products.

## 4.2 Sources of hazards

The sources of hazards controlled under this programme are summarised in the table below.

| Source | Examples of hazards |
|---|---|
| Facilities and equipment | Bacterial pathogens, e.g. *Listeria* spp., *E.coli* spp. |
| Waste | Bacterial pathogens, e.g. *E. coli* spp., *Salmonella* spp. |
| Cleaning chemicals | Chemical residues |
| Cleaning implements (e.g. mops, rags) | Bacterial pathogens, e.g. *Listeria* spp., *E.coli* spp. |

## 4.3 Mandatory requirements

### 4.3.1 AP Reg 11, Dairy Reg 10

All operators must establish and carry out procedures to:

- ensure appropriate and adequate maintenance, cleaning, and sanitation of processing premises, facilities, essential services, and equipment (including conveyances); and
- manage waste.

### 4.3.2 HC Spec 21(1)

Only approved maintenance compounds may be used during processing operations or in the maintenance of processing areas, facilities and equipment.

## 4.4 Procedures

**4.4.1** All areas within the physical boundaries of the Risk Management Programme must be kept clean and tidy at all times to:

- enable the effective implementation of the RMP; and
- prevent direct or indirect contamination of animal products from pest, wastes, chemicals and other environmental contaminants.

**4.4.2** The operator must develop a documented cleaning and sanitation programme that covers the cleaning of equipment, facilities (including chiller and freezers), and the internal and external environment of the premises.

**4.4.3** The cleaning and sanitation programme must include the following information:

- areas, facilities or equipment to be cleaned;
- cleaning procedures, including chemicals to be used;
- frequency of cleaning; and
- people responsible for cleaning.

**4.4.4** Cleaning must be carried out in such a manner that will prevent the contamination of any animal product, packaging material; or previously cleaned areas, facilities or equipment.

**4.4.5** Workers must be adequately trained on the handling of cleaning chemicals and the implementation of the cleaning programme.

**4.4.6** Adequate space must be available to allow effective cleaning in storage areas.

**4.4.7** Refrigeration units, including fans and evaporators, must be cleaned and sanitised periodically.

**4.4.8** Dry stores must be kept dry and must be cleaned regularly by sweeping or vacuuming.

**4.4.9** Amenities must be cleaned regularly and maintained in a hygienic condition.

**4.4.10** Cleaning implements and equipment must be maintained in a hygienic condition so that they do not provide a source of direct or indirect contamination to any animal product, packaging or product contact surface.

**4.4.11** Waste must be collected in identified waste containers and disposed of regularly.

### 4.5 Monitoring

Compliance to documented procedures and the effectiveness of the cleaning programme must be regularly checked by the responsible person.

### 4.6 Records

Cleaning records must be kept by the operator.

# 5 Personnel Competency, Health and Hygiene

## 5.1 Purpose and scope

To ensure that all personnel are competent and medically fit to perform their duties, and that they comply with good hygienic practices. Personnel include all workers, contractors providing services, and visitors.

## 5.2 Sources of hazards

The sources of hazards controlled under this programme are summarised in the table below.

| **Source** | **Hazard** |
|---|---|
| Person | Bacterial pathogens, e.g. *Salmonella* spp*, E. coli* spp*., Staphylococcus aureus*<br>Hepatitis A virus |
| Clothing/footwear | Bacterial pathogens, e.g. *Salmonella* spp*, E. coli* spp*., Clostridium* spp*.* |
| Personal items (e.g. jewellery, pens, hair clips,) | Metal objects |

## 5.3 Mandatory requirements

### 5.3.1 RMP Spec 13 (2)

The operator must document the competencies needed by:

- the day-to-day manager;
- those persons authorising all or part of the risk management programme; and
- those persons performing key tasks under the risk management programme including monitoring, corrective action, and operator verification.

### 5.3.2 RMP Spec 13(3)

The operator must keep records demonstrating that the competencies mentioned in 5.3.1 have been achieved and maintained.

### 5.3.3 AP Reg 12; Dairy Reg 11

The operator must ensure that all personnel, including visitors, whose presence or action within the premises may result in contamination of animal product:

- wear appropriate protective clothing, where necessary;
- follow an appropriate personal hygiene routine; and
- behave in such a manner as necessary to minimise contamination of animal product, other inputs, packaging and the processing environment.

### 5.3.4 HC Spec 23(1); Dairy Reg 12; AC Spec 22

The operator must take reasonable measures to ensure that a person (including any visitor or contractor) who is:

- infected with, or a carrier of, an infectious disease in a communicable form as described in Section A, Part 1, of the First Schedule of the Health Act 1956, and that is likely to be transmitted through animal products or associated things; or
- suffering from acute respiratory infection; or
- suffering from boils, sores, infected wounds, or any other condition that cannot be adequately prevented from becoming a source of contamination;

does not work as a product handler in, or enter, an area where he or she may adversely affect the fitness for intended purpose of animal product.

### 5.3.5 HC Spec 23(2)

A product handler suffering from an illness described in HC Spec 23 (1) must provide a certificate from a registered medical practitioner confirming that he/she is no longer likely to be a source of contamination, prior to resuming work involving the handling of exposed product and food contact materials.

### 5.3.6 HC Spec 23(3)

A product handler suffering from boils, sores or infected wounds or any other condition that cannot be adequately prevented from being a source of contamination must be assessed by a suitably skilled person to confirm that the worker is no longer likely to be a source of contamination, or he/she is adequately protected from being a source of contamination, before being allowed to work involving the handling of animal product and product contact materials.

## 5.4 Procedures

### 5.4.1 Competencies

5.4.1.1 The day-to-day manager or person authorising all or part of the RMP must be familiar with the documented risk management programme and have the following competencies:

- have knowledge in food safety, and hygienic procedures and practices documented in this code of practice;
- have knowledge in regulatory requirements, including responsibilities, related to the effective development and implementation of the RMP;
- have technical knowledge and experience in the particular operation; and
- able to liaise and communicate effectively with workers and the regulator.

5.4.1.2 Workers performing key tasks including monitoring, corrective action, and operator verification must have the following competencies:

- have knowledge and skill in executing the particular task; and
- be familiar and able to consistently comply with hygienic practices and procedures.

### 5.4.2 Induction and on-going supervision of workers

5.4.2.1 New workers must be informed of their job description, health requirements, and hygienic practices and procedures before starting work.

5.4.2.2 Ongoing supervision and/or training must be provided to ensure that new workers are adequately trained on their specific tasks and on hygienic practices and procedures.

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| Where appropriate, clear instructions on hygienic practices (e.g. hand washing, use of protective clothing) and on operational tasks should be posted in the premises to re-enforce the procedures. |

### 5.4.3 Health of workers

5.4.3.1 Workers must inform the person responsible for operations if he/she is suffering from diarrhoea, acute respiratory infection; or is diagnosed with illness caused by *Salmonella*, *Shigella* spp., *E. coli* spp., *Campylobacter*, Hepatitis A virus infection.

5.4.3.2 Any injury, wound, or cut must be treated immediately and dressed with a secure waterproof dressing to prevent the contamination of any product, packaging or equipment with blood or other fluid discharge. The dressing must be maintained in a sanitary condition and adequately secured to avoid dislodgement.

### 5.4.4 Hygienic practices

5.4.4.1 All personnel must thoroughly wash and dry hands and exposed portions of the arms with hand detergent and water:

- before handling any exposed product or food contact material;
- after using the toilet;
- after handling or coming into contact with waste and contaminated surfaces or material; or
- after hand contamination from coughing, sneezing, and blowing the nose.

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| When a water source is impractical to have within a certain area, alternative options for sanitising workers' hands may be considered. |

5.4.4.2 The following activities are not allowed inside processing or storage areas:

- eating or drinking of any food;
- smoking;
- spitting; or
- any other activity that may cause the contamination of any product and product contact surfaces.

5.4.4.3 Workers involved in the handling of exposed animal product must not wear any jewellery except plain wedding bands (i.e. no stone). Plain wedding bands may be worn provided they cannot be easily dislodged and they can be effectively cleaned in the same manner as hands.

### 5.4.5 Visitors and contractors

5.4.5.1 Visitors and contractors must report to the responsible person on arrival at the premises. They must be supervised by an assigned staff while within the premises. It is the responsibility of the assigned staff to ensure that hygienic practices and procedures are followed by the visitor or contractor.

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| Visitors and contractors who will enter a processing or packing area should sign a visitor's logbook on arrival. |

5.4.5.2 Visitors and contractors must not be allowed to handle exposed product in processing and storage areas unless they have complied with all the hygiene requirements for product handlers.

### 5.4.6 Handling and disposition of contaminated materials

a. When contamination from a worker's injury, wound or cut (e.g. blood) occurs, the following actions must be carried out:

- affected product must be considered unfit for human or animal consumption;
- affected product contact surfaces must be cleaned and sanitised prior to reuse; and
- affected packaging materials that cannot be effectively cleaned and sanitised must not be used for packing of any animal product.

b. The requirements and procedures for non-complying products (also referred to as non-conforming products) given in section 12 and 14 must be complied with.

### 5.4.7 Monitoring

Compliance to documented procedures must be regularly checked by the responsible person.

### 5.5 Records

Records giving the following information must be kept by the operator:

- any medical certificates
- induction and training of personnel
- monitoring records of compliance to hygienic practices and/or of any problems observed and any corrective action taken (including restoration of control, product disposition and prevention of recurrence).

# 6 Control of Chemicals

## 6.1 Purpose and scope

To ensure the proper use and storage of maintenance compounds so as to prevent or minimise the contamination of animal material or product, packaging, equipment, and the processing or storage environment. Maintenance compounds are chemicals used for cleaning, sanitation, fumigation, treating water, pest control, and the repairs and maintenance of equipment.

## 6.2 Sources of hazards

The sources of hazards controlled under this programme are summarised in the table below.

| Source | Examples of hazards |
|---|---|
| Maintenance compounds (e.g. cleaning agents, pesticides, lubricants) | Chemical residues |
| Chemical containers | Chemical residues |

## 6.3 Mandatory requirements

### 6.3.1 HC Spec 21(1)

Only approved maintenance compounds may be used during processing operations or in the maintenance of processing areas, facilities and equipment.

### 6.3.2 HC Spec 21 (2)

All containers of chemicals held and used within the premises must be labelled with the name of the chemical as they appear in the list of approved maintenance compounds contained in specifications.

### 6.3.3 AP Reg 11(3)

Chemicals must be stored, handled, and used in a manner that minimises contamination of animal material or animal product, other inputs, packaging, equipment, and the processing environment.

## 6.4 Procedures

**6.4.1** A list of all approved maintenance compounds used and held in the premises must be maintained.

**6.4.2** Chemicals must be stored in a designated area (e.g. shelf, cupboard, room) and kept separate from animal material or products, ingredients, and packaging.

**6.4.3** All chemicals must be used according to the directions of the manufacturer and the conditions of the NZFSA approval. Directions for use must be readily available to the user (e.g. given in the label, posted on the wall or in product information data sheets).

**6.4.4** Chemicals must be handled and used by or under the supervision of suitably trained or experienced personnel.

**6.4.5** Products and exposed packaging must be removed from the area or kept protected (e.g. covered) prior to the use of chemicals which may result to their contamination.

**6.4.6** Equipment and other product contact surfaces must be cleaned by thorough washing after exposure to any chemical (i.e. after spraying with insecticide is completed).

**6.4.7** Empty chemical containers must be disposed of in accordance with manufacturer's instructions and must not be re-used for any other purpose within the premises.

### 6.4.8 Handling and disposition of contaminated materials

a. When chemical contamination occurs, the following actions must be carried out:

- affected products must be assessed by a competent person as to their fitness for human or animal consumption;
- affected product contact surfaces must be cleaned and sanitised prior to reuse; and
- affected packaging materials that cannot be effectively cleaned and sanitised must not be used for packing of any animal product.

b. The requirements and procedures for non-complying products (also referred to as non-conforming products) given in section 12 and 14 must be complied with.

**6.4.9** Compliance to documented procedures must be regularly checked by the responsible person.

## 6.5 Records

Records giving the following information must be kept by the operator:

- list of approved maintenance compounds used and held in the premises; and
- records of any non-compliance or problems detected, and any corrective action taken (including restoration of control, product disposition and prevention of recurrence).

# 7 Pest Control

## 7.1 Purpose and scope

To ensure the effective control of pests so as to prevent or minimise the contamination of animal products, packaging, other inputs, equipment, and the processing environment. Pests include rodents, birds, insects, dogs and cats.

## 7.2 Sources of hazards

The sources of hazards controlled under this programme are summarised in the table below.

| Source | Examples of hazards |
|---|---|
| Insects, rodents, birds, cats and dogs | Bacterial pathogen, e.g. *Salmonella*, *Campylobacter* spp., *E.coli* spp., *Listeria monocytogenes* |
| Pesticides | Chemical residues |

## 7.3 Mandatory requirements

### 7.3.1 AP Reg 11 (2) (3); Dairy Reg 10 (2); Dairy Processing Spec 31(2)

Effective procedures must be established and carried out to minimise the exposure of animal product, packaging, other inputs, equipment, and the processing environment to hazards associated with pests.

### 7.3.2 AP Reg 10

Premises, facilities, equipment and essential services must be designed, constructed, located and operated to minimise the exposure of animal product to hazards and other risk factors from pests.

### 7.3.3 AP Reg 11(3); Dairy Processing Spec 31(1)

Chemicals must be stored, handled, and used in a manner that minimises contamination of animal product, other inputs, packaging, equipment, and the processing environment.

## 7.4 Procedures

The operator may employ a pest control person or agency to develop and implement a pest control system (e.g. set up traps, spraying programme) and monitor the premises. The operator is responsible for ensuring that the person or agency responsible is competent to perform the task.

### 7.4.1 Pest control programme

The operator must document a pest control programme which includes the following information:

- the person or agency responsible for undertaking pest control activities;
- pest control procedures (e.g. prevention, monitoring, corrective action);
- frequency of inspection or monitoring; and
- location of bait stations and other pest traps.

### 7.4.2 Prevention of infestation and access of pests

7.4.2.1 Buildings and storage facilities (including water storage tanks) must be kept in good repair and condition to prevent pest access and to eliminate potential breeding sites.

7.4.2.2 Holes, drains and other places where pests are likely to gain access must be kept sealed, or provided with screens or similar materials that prevent the entry of pests.

Mesh screens should be used on windows, doors, ventilators and other openings in processing areas that may be kept open during operations, to prevent the entry of insects, birds, and other pests.

7.4.2.3 External doors that are not screened must be kept closed at all times when not in use.

7.4.2.4 Internal and external areas of the premises must be kept clean and tidy. The external environment must be checked regularly and kept free of any food source and breeding sites (e.g. long grass, bird's nest).

Areas that are likely to attract flies and other insects should be sprayed, as necessary.

7.4.2.5 Waste materials must be kept in covered pest-proof containers, and regularly collected and disposed of.

### 7.4.3 Use of pesticides

7.4.3.1 Pest control chemicals (rodenticides and insecticides) must be handled, used and stored according to the control procedures given in Section 6: Control of Chemicals.

7.4.3.2 Insecticides that have any residual activity or are dispensed as continuous aerosols must not be used in any processing or storage area in a manner that could cause the contamination of animal product or product contact surfaces.

7.4.3.3 Animal products and exposed packaging must be removed from the area or kept protected (e.g. covered) prior to the use of chemicals which may result to their contamination. Equipment and other product contact surfaces must be cleaned by thorough washing after exposure to any chemical (i.e. after spraying with insecticide is completed).

### 7.4.4 Use of pest traps

7.4.4.1 Pest traps (including rodent boxes, bait stations and electric insect traps) must be located where they do not present a risk of contamination to the product.

7.4.4.2 Bait stations must not be located inside any processing area or in areas where exposed product is held.

| |
|---|
| The location of pest traps should be identified on a site or building plan, or other suitable record. |

7.4.4.3 Rodenticides must be used only in enclosed bait boxes.

7.4.4.4 Bait stations must be checked regularly for the following:

- correct location as indicated in the plan or record, and presence of bait. The box should be cleaned and rebaited with an approved rodent bait, as necessary;
- evidence of pest activity (e.g. nibbled bait, bait missing, droppings); and
- boxes are in good working condition.

| |
|---|
| The frequency for monitoring of traps should be determined relative to the type of trap and the degree of pest activity noted. Increased monitoring and appropriate corrective actions should be implemented when increased rodent activity is observed. |

7.4.4.5 Insect traps, which include ultra-violet lamps, pheromone traps and any form of attractant device, must:

- be constructed so they catch and secure insects in a suitable drawer, tray or adhesive mat which facilitates the capture and removal of insects;
- not cause any air-borne contamination; and

- be sited so there is no contamination from insects falling on to exposed animal product, packaging, or product contact surfaces.

### 7.4.5 Handling and disposition of contaminated materials

a. Where there is evidence of contamination from pests, the following actions must be carried out:

- the affected product must be considered unfit for human consumption;
- the affected product contact surfaces must be cleaned and sanitised prior to reuse; and
- affected packaging materials that cannot be effectively cleaned and sanitised must not be used for packing any animal product.

b. The requirements and procedures for non-complying products (also referred to as non-conforming products) given in section 12 and 14 must be complied with.

### 7.4.6 Monitoring

Ongoing compliance to documented procedures and the effectiveness of the pest control programme must be regularly checked by the responsible person.

## 7.5 Records

Records containing the following information must be kept by the operator:

- observations from monitoring, including any evidence of pests;
- list of approved maintenance compounds used;
- name, amount and point of use of any pesticides used; and
- any corrective action taken (including restoration of control, product disposition and prevention of recurrence).

# 8 Calibration

## 8.1 Purpose and scope

To ensure that thermometers and other measuring devices are properly calibrated and maintained.

## 8.2 Mandatory Requirements

### 8.2.1 AP Reg 14; Dairy Reg 13

All specified persons must ensure that measuring equipment that is used to carry out a critical measurement is properly calibrated and functions as intended.

### 8.2.2 HC Spec 28 (1)

Measuring equipment, such as scales, thermometers, pH meters, and flow meters (whether stand alone or forming part of a piece of equipment), that is used to provide critical measurements, must:

- have the accuracy, precision, and conditions of use appropriate to the task performed; and
- be calibrated against a reference standard showing traceability of calibration to a national or international standard of measurement (where available), or (if no such standard exists) be calibrated on a basis that is documented in, or incorporated by reference into, the risk management programme; and
- be uniquely identified to enable traceability of the calibrations and to identify calibration status.

### 8.2.3 HC Spec 28 (2)

Minimum frequencies of calibration must be specified in the risk management programme for each piece of measuring equipment used to provide critical measurements, or used as reference standards, taking into consideration the following (as appropriate):

- the stability of the piece of equipment; and
- the nature of the measurement; and
- the manufacturer's instructions.

### 8.2.4 HC Spec 28 (3)

Safeguards must be in place to prevent unauthorised adjustments to the calibration of the measuring equipment, including movement of the equipment where this may invalidate the calibration.

## 8.3 Procedures

**8.3.1** The operator must document a calibration programme for measuring devices, including any hand-held thermometers, chiller and freezer thermometers, and weighing scales.

**8.3.2** The calibration programme must include the following information:

- a description of each equipment (e.g. type of equipment, model);
- a means of identifying each equipment (e.g. serial numbers, indelible tags or other permanent means of identification);
- frequency of calibration required for each piece of equipment;
- calibration schedule (i.e. when the equipment was last calibrated and when the next calibration is due); and
- the accredited calibrating agency or testing facility.

### 8.4 Monitoring

Compliance to documented procedures must be regularly checked by the responsible person.

### 8.5 Records

The operator must keep records giving the following information:

- identification and calibration status of equipment; and
- calibration certificates showing traceability to appropriate standard measurement.

# 9 Process Control

## 9.1 Purpose and scope

To ensure that process control procedures are developed and implemented so that animal product is processed and stored in a manner that minimizes its contamination and deterioration, and maintains its fitness for intended purpose.

## 9.2 Mandatory Requirements

### 9.2.1 AP Reg 9; Dairy Processing Spec 36 (1)

The operator must ensure that animal products in their charge are processed and stored in a manner that minimizes:

- the risks of contamination, spoilage or deterioration;
- the proliferation of pathogenic microorganisms; and
- the development of toxins.

### 9.2.2 HC Spec 76 (1); AC Spec 66

Any chilling and freezing must be conducted without unnecessary delay and in a manner that minimizes any potential microbial proliferation and contamination of animal material or product.

### 9.2.3 HC Spec 76 (2); HC Specs 83 (2); HC Specs 90 (2); HC Specs 98 (2); HC Spec 104 (2)

Animal material and animal product that is preserved primarily by refrigeration must be reduced to the maximum chilled or frozen temperatures, validated at the thermal centre of the animal material or product, as specified in Table 1, prior to release from any primary processing premises.

**Table 1: Maximum Critical Preservation (Loadout) Temperatures**

| Product Type | Chilling/Freezing temperature |
|---|---|
| Chilled mammals, ostriches, emus and poultry | 7°C |
| Frozen mammals, ostriches, emus and poultry | -12°C |
| Shucked paua intended for canning in New Zealand | 6°C |
| Chilled whole fish | -1 to 1°C |
| Chilled fish product | -1°C to 4°C |
| Frozen fish or fish product (including shellfish) | -18°C |
| Brine frozen fish | -15°C |

### 9.2.4 AC Spec 31

An operator must ensure transportation outers containing animal material or product for animal consumption when leaving the premises are labeled to clearly identify:

- the contents are not intended for human consumption;
- the animal material or product name or description;
- storage directions where necessary to maintain the fitness for its intended purpose,
- lot identification, where applicable; and
- the name and address of the operator.

### 9.2.5 HC Spec Part 7; Dairy Reg 18; AC Spec Part 3

Product labels are usually applied by the manufacturer or supplier of the animal product. However, store operators may be asked by the supplier to apply certain labels on certain products (e.g. in transportation outers). The operator must comply with the relevant regulatory requirements mentioned above considering the type of product, packaging and label.

### 9.2.6 HC Spec 30 (3)

If the packaging is damaged such that suitability for processing of animal material or fitness for intended purpose of animal product may be affected, the animal material or product must be:

- handled in a manner that minimizes contamination and the damage to the packaging rectified; or
- appropriately disposed of.

## 9.3 Procedures

### 9.3.1 Documented procedures

9.3.1.1 The operator must document procedures for process control and hygienic handling of products, and established parameters for products received, processed and held in the store.

9.3.1.2 The documented procedures must cover:

- control measures (i.e. operating procedures);
- monitoring procedures;
- corrective action to be taken when non-compliance occurs (including disposition of affected products); and
- records to be kept.

### 9.3.2 Receiving of products

9.3.2.1 All documentation accompanying incoming products, including information necessary for the effective identification, traceability and inventory control of products, must be checked for completeness and accuracy.

9.3.2.2 All consignments must have a unique identification and/or label to enable traceability to be maintained.

9.3.2.3 All consignments must be entered in the inventory control system.

9.3.2.4 All incoming products must be checked for the presence of any visible contaminants, damage, and other relevant characteristics (e.g. temperature) appropriate to the nature of the product and any agreed specifications.

### 9.3.3 Transfer and conveyance of products

9.3.3.1 Incoming refrigerated products must be transferred without unnecessary delay to appropriate chiller/freezer or cold stores to ensure that required product temperatures are maintained.

9.3.3.2 Products must be transferred or conveyed in a manner that minimises any contamination or damage (e.g. forklift damage) to products.

9.3.3.3 Products with damaged packaging must be handled in manner that will minimise:

- the exposure or spillage of the product (e.g. products can be wrapped and sealed);
- contamination or deterioration of the product; and
- contamination of other products and the storage environment.

### 9.3.4 Chilling or freezing

This section only covers the further chilling (e.g. chilling of meat from 7°C to 4°C) or freezing of animal products that have already been chilled or frozen by the supplier and are received at the store in a refrigerated state. It does not cover the cooling or chilling of animal products to the required preservation temperature (e.g. cooling of meat and meat products, and poultry from slaughter temperature to 7°C; cooling of heat treated dairy products to refrigerated temperature).

9.3.4.1 The chiller or freezer must be operated within the capacity that it has been validated for.

9.3.4.2 Equipment for the control and monitoring of temperatures and other parameters (e.g. airflow) must be operating at all times while refrigeration facilities are in use.

9.3.4.3 The required temperature must be achieved as quickly as necessary to maintain the fitness for intended purpose of the product.

The required preservation temperatures for non-dairy animal products for human consumption (e.g. meat, poultry, seafood) are specified in the Human Consumption Specification (refer to section 9.2.3 of this document).

There are no regulatory requirements for preservation temperatures for dairy products. The required temperatures are likely to be set by the supplier, and will vary depending on the type of dairy material or product.

There are also no specified preservation temperatures for non-dairy animal products for animal consumption. It is common practice to use the specified preservation temperatures for animal products for human consumption as the default temperatures.

9.3.4.4 Condensation drip on to products or equipment must be minimised.

9.3.4.5 Products that may taint or contaminate other animal products must be kept separately or be prevented from contaminating other products by other effective means.

### 9.3.5 Refrigerated or ambient storage

9.3.5.1 The required temperature of the product must be maintained during refrigerated storage.

9.3.5.2 Products that may taint or contaminate other animal products must be stored separately or be prevented from contaminating other products by other effective means.

9.3.5.3 Products must be stored in such a manner that:

- minimises deterioration of products;
- minimises damage to packaging;
- facilitates effective cleaning; and
- facilitates effective inventory control.

| |
|---|
| The use of racking systems in stores has been found to be advantageous to avoid stack damage to packaging, and for the maintenance of the integrity of the product. |

### 9.3.6 Labelling

9.3.6.1 Products must be labelled in compliance with relevant regulatory requirements and agreed customer specifications.

The labelling requirements for non-dairy animal product for human consumption are specified in Part 7 of the Human Consumption Specification.

The labelling requirements for animal products for animal consumption are specified in Part 3 of the Animal Consumption Specification.

9.3.6.2 Products must be labelled in a manner that enables traceability to be maintained.

### 9.3.7 Loading out of products

9.3.7.1 Refrigerated products must be dispatched and loaded into refrigerated vehicles without unnecessary delay after removal from the cold store to ensure that required product temperatures are maintained.

9.3.7.2 Products must be adequately protected from the elements and environmental contaminants during loading.

9.3.7.3 All documentation accompanying outgoing products must be complete and accurate, and provide the necessary information for the effective identification and traceability of the products.

### 9.4 Monitoring

Compliance to documented procedures must be regularly checked by the responsible person.

### 9.5 Records

The operator must keep the following records:

- monitoring checksheets
- documentation accompanying incoming and outgoing consignments
- corrective action reports.

# 10 Document Control and Record Keeping

## 10.1 Purpose and scope

To ensure that all RMP documents, including records, are managed under a document control system that meets the requirements of the Animal Products Act 1999.

## 10.2 Mandatory requirements

### 10.2.1 AP RMP Spec 16 (1); Dairy RMP Spec 15(1)

Every document or part of a document that forms part of a risk management programme must be:

a. legible;

b. dated or marked to identify its version;

c. clearly indicate any changes made to the programme;

d. be identified as part of the programme;

e. authorised (signed) prior to use, either directly or within the document control system, by:

   i. the operator,

   ii. the day-to-day manager of the programme, or

   iii. a person nominated to do so in the programme's document control system; and

f. made available when required to any person with responsibilities under the programme.

### 10.2.2 RMP Spec 16 (2); Dairy RMP Spec 15 (3 and 4)

The operator must have procedures for effective control of the documents that form the risk management programme including how:

a. significant and minor amendments are made to the risk management programme so that the programme is current and reflects the actual operation;

b. the amendments, or the nature of the amendments to the programme are identified or described; and

c. documents are authorised prior to issue and use; and

d. all amended parts of the risk management programme are replaced with the current versions at all distribution points without unnecessary delay after authorisation and, where necessary, registration in accordance with section 25 of the Act.

### 10.2.3 RMP Spec 16(3); Dairy RMP Spec 15 (5); AC Spec 34(2)

The operator must retain for four years, one copy of all obsolete documents from a registered risk management programme in a manner that protects the documents from damage, deterioration or loss, and prevents confusion with current documents.

### 10.2.4 RMP Spec 16(4); Dairy RMP Spec 15 (2); AC Spec 34(2)

The operator must ensure that the registered risk management programme and all reference material relating to the risk management programme, and any archived documents are readily accessible, or can be retrieved and made available within two working days of any request to:

a. recognised persons; and

b. animal product officers; and

c. the Director-General; and

d. persons authorised by the Director-General.

### 10.2.5 RMP Spec 17 (1); Dairy RMP Spec 16(1); AC Spec 34(2)

The operator must include record keeping procedures in the risk management programme to ensure that all records necessary to demonstrate compliance with the documented programme are

a. legible, and

b. stored for four years in a manner which protects the records from damage, deterioration or loss and can be retrieved and made available to persons defined in clause 17(3) within two working days of any request; and

c. in the case of electronic records, managed to ensure that all data is protected and preserved.

### 10.2.6 RMP Spec 17(2); Dairy RMP Spec 16(2)

Records relating to the risk management programme's monitoring, corrective action and operator verification activities must include:

a. the date and time of the activity or observation;

b. subject and description of the activity or observation; and

c. corrective action undertaken; and

d. a means to identify the person(s) who performed the activity; and

e. any other information required under the risk management programme as applicable.

### 10.2.7 RMP Spec 17(3); Dairy RMP Spec 16(4)

The operator must make all records relevant to the risk management programme available to the following persons as required:

a. recognised persons;

b. animal product officers;

c. the Director-General; and

d. persons authorised by the Director-General.

### 10.2.8 Dairy RMP Spec 16(3)

Where monitoring and corrective action records for the risk management programme have been subject to operator verification, the signature of the operator verifier must be recorded on those records, or on records generated by the operator verification activities.

### 10.2.9 Dairy RMP Spec 16(5)

The operator must as soon as practicable, provide any reports relevant to the operation of the risk management programme to the Director-General, as required.

## 10.3 Procedures

**10.3.1** The operator must keep a register of all RMP documents showing the current version and/or date of issue.

**10.3.2** The operator must maintain an amendment record with the following information:

- document and specific part being amended;
- details of the amendment;
- reason for the amendment;
- date of change;
- person approving the amendment.

**10.3.3** Electronic copies of RMP documents and records must be backed up and protected from corruption, damage or loss.

**10.3.4** Any alterations on records must be made alongside the original entry and initialled by the person amending the record.

The use of white out products (such as Twink ™) is not acceptable as it is not possible to see what the original entry was.

Consideration should also be given to the paper on which records are kept and its durability (pen does not write well on wet paper), its suitability for storage (thermal papers can fade over time). Pencil is not suitable for recording information because it is easy to erase or alter.

### 10.4 Records

The operator must keep the following records:

- amendment records;
- up to date list of documents; and
- record forms.

# 11 Traceability and Inventory Control

## 11.1 Purpose and Scope

To ensure that traceability and inventory control systems are developed and implemented effectively.

## 11.2 Mandatory Requirements

### 11.2.1 AP Reg 18 (10); Dairy Reg 17 (1)

All operators of risk management programmes, all exporters, and all other categories of person required by specifications to do so, must have a tracking system that:

- allows for the identification of animal material and animal product; and
- enables the movement of the animal material and animal product to be traced from the supplier and the operator's business premises to the next recipient of the animal material or product.

### 11.2.2 HC Spec 34(3)

An inventory control programme must be documented for animal material and product, and records maintained.

- Dairy Spec 36(1) (v)

A risk management programme in respect of the storage or transport of dairy material must provide for the maintenance of the following records for all dairy material processed:

- the source of the dairy material and when it was received; and
- the destination of the dairy material and when it left or was delivered.

### 11.3 Procedures

**11.3.1** The operator must document systems for tracking and control of inventory of animal products processed and/or stored within the boundaries of the RMP.

**11.3.2** Inventories must be maintained for all incoming and outgoing products, and products held in the premises, including non-compliant animal materials and products.

**11.3.3** All outgoing products must be clearly identified and accompanied by appropriate documentation.

### 11.4 Monitoring

Compliance to documented procedures must be regularly checked by the responsible person.

### 11.5 Records

Records containing the following information must be kept:

- traceability and inventory records
- records of receipt and dispatch of products
- observations from monitoring and any corrective action taken (including restoration of control, product disposition and prevention of recurrence).

# 12 Handling of Non-complying Products, and Recall

## 12.1 Purpose and scope

To ensure that non-complying products (also referred to as non-conforming products) are handled in a manner that facilitates their identification and traceability, and prevents contamination and deterioration of other products.

To ensure a system is in place for the recall of products that are not fit for intended purpose from distribution or sale.

## 12.2 Mandatory requirements

### 12.2.1 RMP Spec 12 (1)

Where, due to the nature of the animal product, it is possible to recall it from trade, distribution or from consumers, the operator must document a recall procedure, including:

- the criteria for deciding when a recall will be initiated; and
- how retrieval and disposition of the relevant animal product will be managed.

For stores, it is likely that the owners of the stored animal products will initiate and implement the recall. When this is the case, the store operator will only need to document the specific activities that the store will be involved in (e.g. identification and isolation of affected products, inventory of affected products, communication with owners and the regulator).

### 12.2.2 RMP Spec 12(2)

The operator must document a system for notifying the following people as soon as possible when animal product is recalled from trade, distribution or from consumers because it is not or may not be suitable for processing or fit for its intended purpose:

- the Director-General; and
- the accredited risk management programme verifier or recognised risk management programme verifying agency.

### 12.2.3 AP RMP Spec 27 (a)

The operator must notify the recognised risk management programme verifying agency in writing, without unnecessary delay, when there is any significant concern about the fitness for intended purpose of any animal product.

## 12.3 Procedures

**12.3.1** Non-complying products (e.g. damaged, spoiled, deteriorated or contaminated products) must be handled and stored in a manner that prevents contamination and deterioration of other products, and contamination of the storage environment.

**12.3.2** Non-complying products, including those that may be involved in a product recall, must be clearly identified, separated from other products, and held within the premises until disposition is determined by the operator or, in certain cases, by the regulator.

Non-complying products may be separated from other products by holding them in a separate room or cage, or by wrapping the products with plastic.

**12.3.3** Other requirements for non-conforming products that are specific to dairy are given in section 14.2.1.

**12.3.4** For recall procedures, refer to "Recall Guidance Material" available from the NZFSA website.

# 13 Operator Verification and Other Operational Requirements

## 13.1 Purpose and scope

To verify compliance to documented procedures and to confirm the effectiveness of the RMP by ensuring that operator verification, including internal audits, are undertaken at the required frequencies.

To ensure that other operational requirements (i.e. notification, amendments) are met by the operator.

## 13.2 Mandatory requirements

### 13.2.1 AP RMP Spec 14; Dairy RMP Spec 23(1)

The operator must document a system in the risk management programme that covers all the components of operator verification including:

a. the operator verification activities to be undertaken, and their required frequency;

b. any actions to be undertaken when corrective actions are not effective;

c. any actions to be undertaken when all or part of the risk management programme is not effective; and

d. any recording and reporting requirements.

### 13.2.2 Dairy RMP Spec 23(2)

All operator verification activities must be transparent and traceable, and undertaken by suitably skilled person nominated by the operator.

### 13.2.3 Dairy RMP Spec 23(3)

Persons carrying out operator verification activities must be independent of the process or operation monitoring and corrective action activities being verified and familiar with the contents of the risk management programme, including its expected outcomes.

### 13.2.4 AP RMP Spec 25; Dairy RMP Spec 22

The operator must notify the Director-General in writing, without unnecessary delay, of any change to the name or position or designation of the person(s) responsible for the day-to-day management of the risk management programme.

### 13.2.5 AP RMP Spec 26; Dairy RMP Spec 24

The operator must notify the Director-General of any emerging, new or exotic biological hazards or new chemical hazards that come to the operator's attention in relation to the risk management programme without unnecessary delay.

### 13.2.6 Dairy RMP Spec 25; RMP spec 12(2)

The operator must notify the Director-General and the recognised verifying agency, without unnecessary delay, when any animal product is recalled from trade, distribution or consumers because it is not or may not be fit for its intended purpose.

### 13.2.7 AP RMP Spec 27

The operator must document procedures for notifying the recognised risk management programme verifying agency in writing, without unnecessary delay, of the following issues relating to the operation of the risk management programme:

a. any significant concern about fitness for intended purpose of any animal product:

b. where the cumulative effect of minor amendments necessitates the registration of a significant amendment to the risk management programme as provided in section 25 of the Act:

c. where the risk management programme is considered to be no longer effective:

d. where the premises are not or no longer suitable for their use:

e. where anything within the physical boundaries of the risk management programme is used for additional purposes or by other operators and the risk management programme has not adequately considered relevant hazards or other risk factors.

### 13.2.8 AP RMP Spec 28 (1); Dairy RMP Spec 27

The following activities that result in changes to the risk management programme require registration as an amendment in accordance with section 25 of the Act except where they are done on a trial basis and the affected animal product is not traded:

a. making major alterations to the processing facilities or equipment:

b. relocating processing operations to a new physical address (except where this is already permitted for mobile premises and vessels):

c. processing animal material or animal product that is not covered by the risk management programme, except:

- where the product and process are similar, and
- a documented risk factor identification and hazard analysis has shown that all risk factors associated with that animal material or animal product are already adequately addressed by the risk management programme:

d. setting up a new process or process modification that is not covered by the risk management programme, except:

- where the process or process modification is similar to existing processes, and
- a documented risk factor identification and hazard analysis has shown that all risk factors associated with that process are already adequately addressed by the risk management programme:

e. making any other changes that introduce new risk factors, or adversely impact on existing risk factors:

f. merging two or more registered risk management programmes:

g. splitting a registered risk management programme into two or more risk management programmes:

h. adding a business to a multi-business risk management programme except where the Director-General's approval under section 17A of the Act applies to a type of business, premises or place rather than to specific businesses.

i. Permanently ceasing to process a particular type of dairy material or dairy product; and

j. Changes to outcomes or introduction of new outcomes for dairy materials or dairy products.

| Sections 11.2.8 (i) and (j) are unlikely to apply to stores. |
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### 13.2.9 AP RMP Spec 28 (2), Dairy RMP Spec 27(2)

The operator must, when making an amendment, consider whether consequential amendments to other components of the risk management programme are necessary.

## 13.3 Procedures

### 13.3.1 Internal audits

13.3.1.1 Internal audits must be undertaken by the person responsible at an appropriate frequency to ensure compliance with the documented RMP, including GOP and process control procedures, and to identify and correct any problems.

13.3.1.2 A review of the RMP must be undertaken at least annually and when:

- significant changes in the product, process or premises are made; or
- the RMP is not working effectively.

13.3.1.3 Observations made during the internal audit and corrective actions taken must be recorded.

a) Internal audits should consist of a review of records, reality checks, and confirmation that deficiencies or non-compliances identified from the last audit have been rectified.

b) Records should be reviewed for:

- completeness and accuracy of required information;
- documentation of corrective actions;
- any trends, new hazards, recurring problems; and
- compliance with documented control procedures.

c) Reality checks should include observation of:

- workers' performance and compliance with documented hygienic procedures and operating procedures,
- compliance with process parameters such as processing times and temperatures, and
- hygienic status of the premises internal and external environment, facilities and equipment.

d) All deficiencies found at previous audits should be followed up.

13.3.1.4 When ongoing or recurring non-compliances occur, the following actions must be taken:

a. investigate to determine possible causes of non-compliance;

b. take appropriate corrective actions to regain control and prevent recurrence of the problem;

c. increase surveillance of the system; and

d. review the RMP or the relevant GMP programme and make necessary changes.

13.3.1.5 Significant amendments to the RMP must be evaluated and registered.

### 13.3.2 Notification procedures

13.3.2.1 The day-to-day manager of the RMP must contact the NZFSA (Attention Programme Manager, Production and Processing, Approvals and ACVM Standards) without delay when it is necessary to notify the Director-General for reasons specified in AP RMP Spec 25 and 26, and Dairy RMP Spec 22 and 24 (refer to sections 11.2.4 and 11.2.5 of this document).

13.3.2.2 The day-to-day manager of the RMP must notify the recognised risk management programme verifying agency in writing (e.g. by email or letter) as required by and for reasons specified in RMP Spec 27 (refer to section 11.2.7 of this document).

## 13.4 Records

Records giving the following information must be kept by the operator:

- internal audit reports;
- other information or evidence relating to operator verification activities (e.g. test results);
- copies of any communication sent to the NZFSA or the recognised RMP verifying agency; and
- any corrective action taken (including restoration of control, product disposition and prevention of recurrence).

# 14 Other Requirements Specific to Dairy

## 14.1 Purpose and Scope

To ensure that operators comply with other legal requirements which are specific to dairy.

## 14.2 Mandatory Requirements

### 14.2.1 Non-Conforming Dairy Material and Dairy Product [Dairy Processing Spec 5]

1. A risk management programme registered by the Director-General must describe the procedures that ensure any dairy material or dairy product that is non-conforming is identified and detained, and disposed of in accordance with the written consent or instruction of the Director-General.

2. All non-conforming dairy material or dairy product must be reported to the recognised agency responsible for verification of the risk management programme by the operator of the programme without delay.

3. All testing of non-conforming dairy material and dairy product must be done in a recognised dairy laboratory that is recognised in the appropriate category for the required test, using the test methods as specified in the Animal Products (Dairy Recognised Agency and Recognised Persons Specifications) Notice 2005.

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| Non-conforming in relation to dairy material and dairy product, means any dairy material or product that is suspected or known not to meet regulatory requirements or not to have been processed in accordance with regulatory requirements. |

### 14.2.2 Non-compliant Processing Operations [Dairy Processing Spec 6]

1. The risk management programme must describe procedures that ensure any non-compliance suspected or known to have occurred is reported to the recognised agency responsible for verification of the risk management programme by the operator of the programme without delay.

2. Any dairy material or dairy product that is or is suspected to be affected under clause 6 (1) is non-conforming and must be managed in accordance of Dairy Processing Spec 5.

Non-compliance means any failure to comply with requirements under the Act. For further details on the reporting requirements refer to Animal Products (Dairy): Approved Criteria for General Dairy Processing.

### 14.2.3 Non-Operating Dairy Stores [Dairy Processing Spec 32 (1) and (2)]

1. All premises under a registered risk management programme are assumed to be operating with their risk management programme in full effect until the Director-General registers an amendment to the programme following application by the operator of the risk management programme under section 25 of the Act, or until the Director-General withdraws registration.

2. To maintain registration of a non-operating premises under the risk management programme, the company shall either;

- maintain the premises in an operational state under a registered and verified risk management programme; or
- prepare a specific “non-operational” risk management programme which includes any special arrangements made for mothballing, and make application to the Director-General for registration of an amendment in accordance with section 25 of the Act.

For further details on the requirements for non-operating dairy stores, refer to Animal Products (Dairy): Approved Criteria for Storage and Transportation of Dairy Material and Products clause 11.

### 14.2.4 Transport of Dairy Material or Product [Dairy Processing Spec 36]

1. A risk management programme in respect of the transport of dairy material must provide for the following:

i. keeping dairy material and dairy product clean;

ii. handling dairy material and dairy product so as to minimise;

- the risks of contamination, spoilage or deterioration;
- the proliferation of pathogenic microorganisms; and
- the development of toxins;

iii. ensuring the cleanliness and suitability for the transport of dairy material or dairy products of that class or description or form to ensure the fitness for the intended purpose is maintained;

iv. maintaining the following records for all dairy material processed:

- the source of the dairy material and when it was received; and
- the destination of the dairy material and when it left or was delivered.

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| For further details on the requirements for non-operating dairy stores, refer to AP (Dairy) Approved Criteria for Storage and Transportation of Dairy Material and Products. |