

12	Question	Conform	Non Conform class			Not applicable	References	For the audit
			A	B	C			

1 COCERAL GTP version November 2008 - Applicable as from 1st Jan. 2009 - CHECK LIST - Ver 02 April 2009

3	Company Name:	total NC "C" <input type="text"/>	Certification body:
4	Number of Personnel:		Auditor:
5	Person in Charge:		Audit date:
6	Products and Quantities:		Scope of certification:
7			

13 1. GENERAL CONDITIONS

14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	
	1.2 Commercial conditions																				
	Are raw materials producers or suppliers identified?									List of suppliers (Farmer files)											
	Do raw materials suppliers operate according to a certified system?									Recognized system (eg GMP, GTP, CFS) integrating HACCP. If certification is pending, the company must be registered on the corresponding public list and must have conducted reception tests according to the HACCP (eg sampling, analysis)											
	Are product specifications determined in a contract or agreement between the parties?									There must systematically be a contract or agreement between the two parties (eg delivery slips, commercial contract), with measurable and available criteria											
	Are these specifications clear and unambiguous?									There should be technological (eg varieties, qualities) and/or sanitary criteria, if available											
	Does the operator ensure that the products delivered meet the contractual specifications?																				
	Are specific measures applied for products with special status such as GMO and organic farming (eg separation, inspection, handling and storage)?																				
	1.2 Traceability																				
	Are suppliers and customers identified by the operator?																				
	Can this information be made available to the competent authorities on request?									In France, the competent authority is the DGCCRF (Feed) or DGAL (Food)											
	Is food or feed labelled or identified?																				
	Does the operator keep a clear administration record that efficiently traces products with the appropriate data?																				
	Do these records indicate:																				
	- Seller's and buyer's name and address?																				
	- Product loading and unloading point?																				
	- Product type and quantity?																				
	- Identification of the transport company used?																				
	- Identification of the boat (hold or tank), vehicles (including trailer reference) etc.?																				
	- Identification of the storage company used?																				
	- Identification of the means of storage used (eg warehouse, silo)?																				
	- Are the above records kept for three years?																				

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35	1.3 Records and documentation							
36	Is the operator's registration available?						Art. 6 of EC regulation 852/2004 and Art. 9 of EC regulation 183/2005	
37	How does the organization stay up-to-date on the latest EU legal requirements?						How does the organization keep up with regulatory changes? They may call on professional federations or service providers that keep watch on EU regulations.	
38	Have the necessary records and documentation procedures for complying with this Guide been implemented?						Document management procedure, supplier list, etc.	
39	Is there a clear manual detailing measurements, procedures, instructions and actions?						Quality Manual	
40	Does it include the documentation required by HACCP principles?						Technical specifications, product hygiene, diagram of operations. Risk evaluation: prior study (PRP), dangers, determination of CCP. Corrective and control methods. Surveillance and verification methods.	
41	Is the manual updated and accessible to personnel?							
42	Does it clearly define Management responsibilities with respect to hygiene rules, tasks, responsibilities and the authority of the personnel in charge of implementation of the Guide?						Quality Manual	
43								
44	1.4 Labeling and attached documents							
45	1.4.1 Labeling							
46	a Does the labeling comply with EU legislation (country of origin and destination)?						for instance GMOs	
47	b Are labels and/or accompanying documents clear and unambiguous?							
48	c Are ingredients and/or additives stated?							
49								
50	1.4.2 Certificates of analysis and or conformity							
51	Does the operator keep the documents and/or samples corroborating the information given on the labels and/or accompanying documents?							
52	Does the period of validity of these documents and/or samples comply with regulations in force as well as any national/sector and contractual agreements?							
53								
54	1.5 Personnel							
55	Is the personnel trained for their respective position?						Records of training, diplomas, etc...	
56	Is there an organisational chart identifying the obligations and responsibilities of the personnel?						Functional and hierarchical organizational chart	
57	Are ongoing training programmes organised to maintain the personnel knowledge of food and feed safety?						Internal training courses should also be recorded	
58								

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59	2. RISK ANALYSIS (HACCP) AND CONTROL PROCEDURES							
60								
61	2.1 Hazard analysis (HACCP)							
62	Is a risk assessment carried out according to HACCP method as defined by Codex Alimentarius?							
63								
64	2.1.1 Summary of the main stages							
65	Is the HACCP operator's manual based on the seven principles of HACCP?					Quality Manual		
66	2.1.2 Implementation procedures							
67	a Is there a team in charge of evaluating sanitary hazards? If so, has it defined the scope of the HACCP plan?							
68	b Have the hazards been identified?					Possible use of detailed CFS hazard list		
69	c Are the hazards recorded?							
70	d Is there a complete list of products traded? If so, does it include safety information?							
71	e Has the team drawn up a flow diagram?					Process diagram. Possible use of detailed CFS hazard list		
72	f Are the hazards for each stage of operations listed? Has a hazard analysis been conducted?							
73	g Are CCPs identified? Evaluated? Hierarchy? Analyzed? Recorded?							
74	h Are limits established for CCPs?							
75	i Are appropriate procedures applied with regard to internal controls and consumer information?							
76								
77	2.2 Control, verification and revision procedures							
78	Are the following procedures detailed in an HACCP plan:							
79	a Are there biological contaminant control and monitoring procedures?							
80	b Are there physical contaminant control and monitoring procedures?							
81	c Are there chemical contaminant control and monitoring procedures?							
82	d Are CCPs detailed in the monitoring plan ?							
83	e Is the system verified?					Verification procedures, including sampling and random analysis		
84	f Are the risk assessment arrangements and the monitoring system revised at least once year?					The criticality of the point should be reassessed at least once a year.		
85	g Are all actions taken recorded?							
86								
87	2.3 Contaminants and undesirable substances							
88	Do all the products comply with EU legislation?					Stay up to date with regulations such as Art 11, 12 and 13 of EC Regulation 178/2002		
89	If MLR's are exceeded or in case of non-conformity of a traded product, are the competent authorities informed?							
90	In case of biological or technical contamination, are there special procedures for monitoring, sampling or analysis as required by regulations?							
91	Do any corrective treatments and/or disinfectants used comply with regulations in force?							
92	If no MRL's exist, does the product comply with the Codex Alimentarius?							

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93	2.4 Sampling and analysis							
94	2.4.1 Sampling							
95	Are sampling and analysis methods based on the HACCP monitoring or control plan as described in the manual?							
96	Do the procedures meet the requirements of methods and rules defined at European, international or sector/domestic level?					Keep close watch on changes in regulations		
97	Do procedures fit the objectives and types of hazards?							
98	Are sampling, measuring and analysis instruments regularly tested?							
99	Is sampling done by trained internal staff or by competent third party?					It is important to record internal training or to obtain a copy of the outside organization's certification or accreditation		
100	2.4.2 Analysis							
101	Are analyses carried out by a competent laboratory?					Idem for internal staff. Use an accredited lab if necessary		
102								
103	3. SPECIFIC CONDITIONS							
104								
105	The points below are all required if the operator is responsible for transport, storage or transshipment of products for identified customers							
106	3.1 Transport							
107	Are suitable actions taken to ensure transport complies with legal requirements?					Keep watch on EC and international regulations		
108								
109	3.1.1 Common Transport minimum requirements							
110	Are bulk products transported in accordance with Transport annex of the GTP guide or equivalent recognised standards? Especially:							
111	Different levels of cleaning?							
112	Categorization of previous loads?							
113	Sequences recommended for transport and any cleaning/disinfection required?							
114	Is food safety maintained during transport?							
115	Are precautions taken to prevent contamination with other products?							
116	Is it ensured that rain and spray do not enter the receptacle during transport?							
117	Are empty receptacles protected with clean tarpaulins from rain and bird droppings?							
118	Are compartments empty, clean, dry and odour-free before loading?							
119	Is there a check to ensure compartments are free from pests and rodents?							
120	Is there a check to ensure compartments are free from residues from previous loads and/or cleaning products?							
121	Is there a visual inspection that the transport compartments are closed units which sufficiently protect products transported?							
122	For compartments which have been used to transport dangerous and/or risky products during the previous three loads, is a risk analysis carried out?							
123	In case of a proven hazard, has a verification and certification been performed by an approved person or inspection company?							
124	Is information for the last 3 cargoes available? (except in case of use of dedicated means of transport)							
125	Is cleaning procedure for the last cargo indicated /detailed ?							
126	Has a cleaning been done before loading in case no proof is available for the last cargo which required washing / cleaning?							

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127	Are transport documents kept during a minimum of 3 years ?							
128								
129	3.1.2 Road transport							
130	Does the operator perform road transport in compliance with a food and feed safety system?						Internal fleet: The transport part is integrated into the HACCP plan, as defined in the GTP and its Appendix 1	
131	Do external transport companies perform road transport in compliance with a food and feed safety system?						External fleet: If the customer so stipulates in the contract, the transporter must be certified (eg transport GMP, Qualimat). Otherwise, GTP code requirements apply to transporter specs	
132	Before loading are all visible residues from the previous load removed?						Outside: including chassis	
133	Are loading compartments identified?							
134	For each truck, does the driver have up-to-date records including:							
135	Designation and type of load?							
136	History of last three loads?							
137	Cleaning/decontamination operations?							
138	Results of loading compartment inspections?							
139	Are the records transcribed in a register at the transporter's headquarters?						Records to be kept by the transporter for 3 years or more depending on local legislation	
140								
141	3.1.3 Transport by sea, waterways and rail							
142	Is a load compartment inspection (LCI) or the issuing of a hold cleanliness certificate (including a description of the available three previous loads) carried out before each loading operation?							
143	Are measures taken to maintain safety during loading operations?							
144	Is LCI or cleanliness certification carried out by:							
145	a recognised inspection company?							
146	a qualified person recognised as a qualified loading inspector?							
147	Are the results of the LCI and three previous loads recorded?							
148	Are the previous three loads known (vessel or railway) before loading?							
149	Are the types of the last three trainloads known and registered if the rail transporter provides them?						In case the 3 previous loads cannot be given, the railway operator or an inspection company has to confirm that those wagons are only used for agricultural products of vegetable origin.	
150								

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151	3.2 Elevation and Storage							
152	All operations covered by this section must be carried out according to legal requirements and recognized rules						Regulatory watch	
153								
154	3.2.1 Warehouse and silo design							
155	Are warehouses/silos entrance provided with a sufficiently clean hard standing to minimise that humidity and mud are brought in?							
156	Are warehouses/silos protected against bad weather?							
157	Are warehouses/silos protected against birds, pests and rodents by nets or other suitable systems?						Double-check vents, windows, etc	
158	Is dry merchandise kept dry? Are gutters, drains and pipes kept in good condition?							
159	Outside of loading and unloading periods, are warehouse/silo doors kept closed?						Except for heavy shipping and receiving periods	
160	Is there a detailed warehouse plan clearly identifying warehouses, silos, containers, tanks and bays (by name, number or letter)?							
161	Are products stored separately in order to prevent contamination in the warehouse?							
162	If livestock were previously kept at this location, has the operator performed and recorded steam cleaning and disinfection?							
163	Are animal protein meal and fish meal stored separately in specific sheds separated from each other?							
164	Have other feeding stuffs including minerals been stored in the same shed but kept physically separated?						Need not be stored in a separate warehouse	
165	Is waste water, rain water, drainage and other waste properly removed and/or treated according to regulations?							
166	Have construction materials, joints and coatings been carefully selected to prevent contamination?						Avoid asphalt flooring	
167								
168	3.2.2 Warehouse and silo cleaning							
169	Are floors regularly cleaned to prevent contamination by the wheels of vehicles?							
170	Are access roads and entrances to warehouses kept clean at all times?							
171	Is there a cleaning programme to ensure that all dry products warehouses are regularly cleaned and dusted?						This also concerns dust traps: cornices, overhangs, beams, ceilings, etc... This must be recorded.	
172	In case of major change to the nature of the products stored in a bay or cell, is appropriate cleaning done according to a specific risk assessment?							
173	Do cleaning, disinfection and fumigation products, insecticides and any other means to combat pests and rodents comply with regulations in force and contractual requirements of the buyer?							
174	Has the personnel concerned been trained for this purpose?						Training plan and records of in-house or outside training	
175								
176	3.2.3 Elevation and storage maintenance							
177	Is handling equipment suitable, clean and has no visible sign of leakage?						Spillage to be correctly managed and treated according to waste rules- Special care in case of LMO	
178	Is it free of traces of previous products?							
179	Are rooms and equipment accessible to supervise the operation taking place?							
180	Is weighing equipment checked and calibrated regularly?							
181	In case of different operations carried out at the same time, are circuits and equipment strictly kept apart to avoid any mixing?							
182	In case of bad weather conditions, are there appropriate measures to prevent any damage to products?							
183	Are specific measures taken for the handling of special-status products such as GMO and organic and IP products?							
184	Are all operations recorded?							

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185	Are European Union warehouses/silos registered in compliance with regulations in force?						In France, operators are registered with regard to hygiene under their SIRET number	
186								
187	4. AUDIT AND CERTIFICATION							
188								
189	Does the operator have and apply the latest version of the GTP Guide?						Effective 1 January 2009, the November 2008 version is now certified	
190	Does the operator carry out an annual internal audit?							
191	If the operator has chosen to be audited and certified, is the certifying body accepted by the national COCERAL organization for that country?						In France, certification boards are accepted by the FNA, awaiting finalization of EA accreditation. See if present on the list at the site Negoce-Village.com	
192								
193								