

Approved Supplier Management

Approved Supplier Criteria, Selection and Management

Development

To define detail, scope and purpose.

Development

This information can be used to develop food safety and quality programs that meet the requirements of modern Regulatory, Customer and Industry Standards:

- We explain the expectations and requirements of food safety and quality compliance as they relate to your food safety and quality programs.
- You may choose to use our Premium Resources to build, enhance or upgrade your food safety and quality program.
- We encourage you to share this webpage with any food compliance associates and peers who may benefit from our commitment to providing user-friendly information and resources that support a strong food compliance culture.
- We welcome your suggestions for additions of general or specific content through the haccp.com Contact Page.

Key Definitions for Approved Supplier Management

- amfori BSCI: Business Social Compliance Initiative, being an international business association program that supports companies to monitor and improve social performance in their supply chains.
- Approved Service Provider: A business that supplies a “service” into a food business and has been assessed and approved against the food business’s criteria.
- Approved Supplier: A business that supplies a “physical” element into a food business and has been assessed and approved against the food business’s criteria.
- CCP: Critical Control Point, being a step at which control can be applied and is essential to prevent or eliminate a food safety hazard, or reduce it to an acceptable level.
- COA: Certificate of Analysis, being a document issued by a supplier or laboratory that reports the test results for a specific batch of product against its specification.
- Codex: Codex Alimentarius (“food code”), being the collection of international food standards, guidelines and codes of practice developed by the Codex Alimentarius Commission, a joint body of the Food and Agriculture Organization (FAO) and the World Health Organization (WHO).
- Desk Audit: A review of a supplier’s documented systems, records and certificates conducted without visiting the supplier’s site.
- Ethical Sourcing: The responsible sourcing of goods and services in a manner that respects people, wildlife and the environment.
- ETI: Ethical Trading Initiative, being an alliance of companies, trade unions and non-government organisations that promotes respect for workers’ rights around the globe.
- GFSI: Global Food Safety Initiative, being an industry-led collaboration that benchmarks food safety certification schemes.
- GMP: Good Manufacturing Practice, being the practices and conditions applied to food premises, equipment, processes, and personnel to ensure food is consistently safe and suitable.
- HACCP: Hazard Analysis Critical Control Point or HACCP is a science-based risk management system, relying on identification and recognition of specific hazards and nominating measures for their control to ensure the safety of food.
- Non-conformance: A failure to meet a specified requirement.
- Organoleptic: Relating to the sensory properties of a food, being its appearance, aroma, taste and texture.
- SCAR: Supplier Corrective Action Request, being a formal request for a supplier to investigate a

non-conformance, identify the cause and implement corrective and preventative action.

- SMETA: Sedex Members Ethical Trade Audit, being a widely used social audit methodology for assessing labour standards, health and safety, environment and business ethics.
- TACCP: Threat Assessment Critical Control Point, being a process used to identify and control threats such as deliberate contamination or sabotage.
- VACCP: Vulnerability Assessment Critical Control Point, being a process used to identify and control vulnerabilities to food fraud.

Approved Supplier Management Development

When considering the development, documentation, and implementation of Approved Supplier Management within food safety and quality management systems, the following information should be considered to ensure effective outcomes:

About Approved Supplier Management



Approved supplier management gives a food business control over the materials that enter its storage and production areas.

Approved supplier management programs are implemented to ensure a food business has control of the materials and services supplied to it. An effectively implemented approved supplier management program provides confidence that supplied materials or services will not negatively affect the safety or quality of finished products.

In a modern age where information is readily available, bad news travels at speed. Customers of food businesses play a leading role in ensuring that the raw materials and services used to manufacture their products meet defined expectations. Ethical Sourcing Standards often influence whether a food business is selected and retained within established food supply chains, and Approved Supplier Management is a primary way of demonstrating them.

About Ethical Sourcing Standards



Ethical sourcing considers the working conditions and environmental practices behind each supplier.

Ethical Sourcing Standards are applied across international food industries to ensure sourcing is carried out responsibly, to ensure suppliers continually improve their social and environmental practices, and to protect retailer and brand confidence.

Ethical Sourcing Standards are a general expectation of consumers who, over time, have become increasingly aware of purchasing goods and services that are sourced in a manner that does not exploit humans, wildlife or the environment, and does not represent a danger to the health or safety of humans, wildlife or the environment.

To provide food items and general merchandise at competitive prices, retailers continually source items from a variety of international locations, including lower-income countries. Exposed instances of poor working conditions and environmental degradation have, over time, led retail businesses to develop and implement targeted social responsibility requirements for their suppliers.

Common elements of Ethical Sourcing Standards policies implemented by progressive retail businesses include:

- Using suppliers that source, manufacture and package their products responsibly;
- Working with suppliers to improve their social and environmental practices.

The basis of Ethical Sourcing Standards is commonly linked to recognised Ethical Trading and Labour Initiatives, which are often used to define the guidelines mandated by retail companies. Examples include the Ethical Trading Initiative (ETI) Base Code, Sedex and its SMETA audit, and amfori BSCI. Many countries also have modern slavery legislation, such as the United Kingdom Modern Slavery Act 2015 and the Australian Modern Slavery Act 2018, which require larger businesses to assess and report on supply chain risks. Requirements vary by jurisdiction, so confirm those that apply to your business.

Suppliers or Service Providers

Within modern food businesses, there is generally a clear distinction between suppliers of raw materials and service providers.

Suppliers are businesses that supply a “physical” element into a food business, including but not limited to:

- Ingredients;
- Finished products;
- Packaging;
- Chemicals;
- Onsite testing equipment;
- Onsite analytical testing supplies;
- Equipment and utensils;
- Premises construction.

Service Providers are generally classed as businesses that supply a “service” into a food business, including but not limited to:

- Analytical testing;
- Calibration of measuring and testing equipment;

- Consulting;
- Pest control;
- Cleaning and sanitation;
- Maintenance and repairs;
- Sub-contract manufacturers;
- Sub-contract processors;
- Sub-contract packers;
- Transport providers;
- Logistics and storage providers.

Within the following content, we use the term “suppliers”, and the requirements should be considered equally for both product suppliers and service providers.

Procurement Protocols



Product information and specifications should be obtained and reviewed before purchasing agreements begin.

Before purchasing agreements are initiated with specified suppliers, it is important to obtain as much information as possible about the products and raw materials to be supplied. Product information from the pending or existing supplier will outline basic product specifications. It is also important to consider any additional details that may affect the potential of the product to become unsafe for use within your business.

The following factors may be considered:

- The shelf life of the product: Will the product be used before organoleptic (sensory), chemical and microbiological changes render the item unsafe or unacceptable for use?
- The product availability: Will the product be available for the duration for which it is required by your business?
- The product specifications: Are your specifications for the product maintainable? Is a record of specifications for the items supplied kept within your business? (See Specifications Management.)

Procurement Process: Logical Sequence

1. Supplier Invitation: Provide potential suppliers with a questionnaire regarding their products and services. The supplier questionnaire must include questions regarding product safety, product traceability, HACCP plan review, and Good Manufacturing Practices;
2. Supplier Input: The potential supplier provides samples and information for assessment. Samples, information and supplier quality details are reviewed;
3. Supplier Technical Review: Purchasing team members review all materials submitted by the potential supplier and indicate conditions of supply, including audit schedules and hazard rating. At this step, ensure that the proposed products or services are suitable for their intended scope and use for foodstuffs;
4. Supplier Price Review: The potential supplier's products and services are compared with those of current or other potential suppliers regarding quality and price;
5. Supplier Acceptance: The supplier is accepted and added to the nominated supplier listing. A file should be created for the supplier if one does not exist;
6. Use of Supplier: The procurement process is complete. Continue use of approved suppliers and initiate reviews

and auditing as scheduled.

The Approved Supplier Management and Procurement Processes are commonly managed on an ongoing basis with scheduled verification activities and reviews to ensure the effectiveness and currency of the established systems.

Approved Supplier Program

The suppliers that you choose to use for your business should:

- Demonstrate, as a minimum, a proactive commitment to currently recognised good manufacturing practices;
- Meet all relevant certification criteria as suppliers for their nominated range of products;
- Have made a commitment to a minimum of HACCP-based food safety within the entirety of their business operations.

Confirming Supplier Suitability



A desk audit and supplier questionnaire help confirm a supplier's suitability before approval.

The following methods may be considered when assessing a prospective or existing supplier for approval:

- A desk audit of the suppliers' quality and food safety programs regarding adequacy and suitability. The aim is to locate essential components of recognised GMP and HACCP-based food safety, and the associated identification and control of significant food safety hazards;
- The risk category of the goods being supplied and the supplier's reputation for quality service;
- Reports of microbiological analysis of the suppliers' potentially hazardous products from accredited sources that show adherence to legislative and/or internationally recognised microbiological guidelines;
- Ongoing random testing of delivered items by appropriate methods to confirm microbiological safety and suitability;
- Confirmation that all relevant staff have undergone personal and food hygiene training appropriate to their duties;
- Auditing of the supplier (including the gathering of objective evidence by a suitable person from your business or a reputable third party), including the ability of the suppliers' operations to identify and control significant food safety hazards, and compliance with GMP and HACCP guidelines. The outcomes of such auditing should result in the close-out of any non-conformances rated above minor (that is, major or critical) before proceeding with supplier approval;
- Current and relevant certification of the supplier by an accredited certification body, such as a certification scheme benchmarked by GFSI (for example BRCGS, FSSC 22000 or SQF).

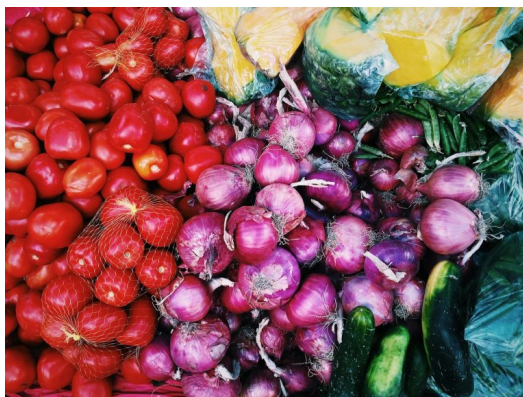
Should an approved supplier fail to do any of the following:

- Adhere to the seven HACCP principles as set out in the Codex HACCP guidelines;
- Maintain internationally accepted food industry GMP;
- Maintain sufficient control over monitoring and corrective actions at any CCP within their food safety program;

there may be sufficient grounds to remove that supplier from the approved supplier program, based on the objective

evidence of the non-conformances above. Records of supplier performance must be maintained.

Commodity-Based Supplier Risk Assessment Criteria



Raw plant foods with a history of foodborne disease may require stricter supplier approval criteria.

It is important to consider the varieties of foods being supplied regarding their potential to contain or cause food safety hazards. The acceptance of suppliers and their products should be approached accordingly, applying different approval criteria for different levels of food risk.

Suppliers with products that contain:

- Food of animal origin, including red meat, poultry, fish, shellfish, crustaceans, eggs, milk and dairy products;
- Food of plant origin that has been heat-treated and has a history of foodborne disease, including potatoes, squash, pumpkin, rice, processed beans, mushrooms, onions and tofu;
- Untreated food of plant origin with a history of foodborne disease, including seed sprouts, cut fruits or vegetables, cut leafy greens, cut melons and unpasteurised juices;
- Processed fruits or vegetables, including variations of marination, drying or cooking;
- Composite or manufactured foods, including cream-based and custard-type fillings.

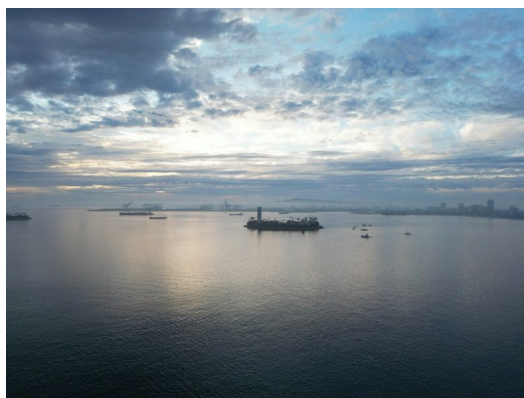
Foods that are potentially hazardous and not generally subjected to further cooking may require more scrutiny for approval than foods with a lower risk of contamination.

Foods of lower risk are those that do not have a history of contamination or the normal ability to support the growth of microbiological pathogens. They include grains, nuts, confectionery, carbonated and alcoholic beverages, jams and preserves, and commercially canned and bottled products. Lower risk does not mean no risk: grains and nuts, for example, can still present Salmonella, mycotoxin and allergen concerns.

Whilst traditionally “High Risk” foods are of major concern within Approved Supplier Management systems, it is of utmost importance that suppliers of all raw materials and services are assessed for risk and treated accordingly.

Packaging variants should also be considered within risk-based assessments of suppliers. The origin and “food grade status” confirmations for packaging should be defining factors within any risk assessment process. It is important to confirm that packaging will conform to the legal requirements of the country in which the packaged products will be sold.

Geography- or Status-Based Supplier Risk Assessment Criteria



Contamination events in one country can affect suppliers of similar products around the globe.

Within modern food industries, information moves rapidly across borders. This provides substantial opportunities to manage approved supplier systems by considering issues that arise in similar products or food industry sectors in other parts of the globe.

Using awareness of foodborne illness or contamination in other countries or continents to apply additional requirements or controls to existing suppliers of materials or services is increasingly common practice. Supplier status, such as certification status, regulatory standing or audit history, can be assessed in the same way. The following example shows a logical sequence for geography-based supplier assessment:

1. You review an email news report stating that a contaminant has been identified in a vegetable product manufactured and packaged in country “X”;
2. You receive a similar vegetable product from an approved supplier. Although it is not the same brand as the contaminated product, you review your product specifications to confirm the country of origin;
3. You see that the country of origin for your supplied vegetable product is country “X”, the same as the contaminated product;
4. You immediately discuss this detail with the relevant persons within your food business;
5. Because you are not confident that the vegetable product you are receiving is free from contamination, you contact the supplier or manufacturer and request testing results to confirm that their product is not contaminated;
6. You receive and review the testing results and decide whether to continue use based on the outcomes.

This scenario highlights the importance of “real-time” interactions within your Approved Supplier Management systems, so that decisions are made on current information.

Supplier Assessment Considerations

As part of a supplier assessment, it is necessary to address all information appropriate and relevant to the capability of the supplier to consistently supply products to the required standards.

Information that may substantiate the supplier’s claims includes:

A certified food safety and quality management system, which may include:

- Certification registration number;
- Certification standard;
- Agreement to grant access to quality records at any time for inspection and verification of the supplier’s quality system;
- Substantiation by a certification certificate and capability statement from a government authority or third party;
- A letter of Substantial Implementation, or equivalent written confirmation, from an appropriate government authority or third party. Relevant details may be substantiated by a copy of the letter.

Details of a documented and operational quality system that may gain a letter of Substantial Implementation (or equivalent) after auditing, which may include:

- Details of quality system elements that are currently documented and operational;

- Details of target dates for the certification of each of the above-nominated elements;
- Details of the quality standard on which the elements are based;
- Details of the suppliers' suppliers, being the suppliers of input materials into the processing and production of items supplied to your business. Do they have documented and operational quality systems in place?

Copies of the suppliers' quality system documents, which may include:

- Quality Manual;
- Quality System Procedures;
- Internal and external quality audit schedule;
- Contact details for the quality system contact;
- Details of external consultants, if applicable;
- Documented specifications, including all critical product formulation, organoleptic and physical parameters.

Supplier packaging and labelling requirements, which may include:

- Packaging and labelling of goods to appropriate legislative standards and/or to specifications of the buyer;
- Delivery of goods in appropriate condition, free from damage and easily inspected upon receipt;
- Sufficient labelling and invoice details to include batch/lot number, use-by/best-before date, purchase order number and other relevant information;
- Substantiated ability to comply with all appropriate legislation and guidelines as a carrier of food items;
- Appropriate identification of allergenic ingredients and allergen cross-contact (cross-contamination) risks, with allergen information and controls confirmed (see Allergen Management).

Risk and property, which may include:

- Title of goods passing to your business only upon acceptance at the point of delivery;
- Insurance of the goods and delivery capabilities with a reputable insurer to the full value of the goods, including product liability and public liability insurance covering damage or injury to the staff or property of your business during delivery.

These terms are commercial and legal matters. Seek legal advice when drafting supply agreements (see Contract Review).

Supplier guarantee, which may include:

- That all goods supplied will be new upon delivery;
- That all goods supplied will be of agreed and acceptable quality;
- That all goods supplied will be fit for their intended use;
- That all goods supplied will conform to any specifications or sample provided by the supplier;
- That all goods supplied will be free from defects in materials and workmanship;
- That all goods supplied will conform to applicable product standards.

Mutually Beneficial Supplier Relationships



Structured, mutually beneficial supplier relationships support long-term supply security.

Businesses rely on their suppliers to provide the products and services required to produce outputs. Together with other inputs, this gives the business the ability to generate income, which is the primary objective of most commercial businesses.

The benefits of mutually beneficial supplier relationships include:

- Increased and maintained market share through strategic and beneficial supplier relationships;
- The ability to optimise the use of budget and resources to create “added value” for both the food business and its suppliers;
- Capability to balance short-term gains with long-term opportunities;
- Opportunities to share resources, technical expertise and beneficial partnerships with suppliers through structured interactions.

Approved Supplier and Commodity List

A document containing all approved supplier details and the goods that they supply should be readily accessible. Hazard ratings (such as high, medium or low) for each commodity, approval status, and audit or approved supplier review dates should also be recorded. Consider including nominated alternative suppliers for emergency supply.

If your food business supplies foodstuffs manufactured to a customer’s specifications, it is important to consider any specific Approved Supplier Management Development requirements in relation to their items.

Approved Supplier Management Development Key Points

- Approved Supplier Management programs must be developed to meet relevant Regulatory, Industry, and Customer standards and requirements;
- The Senior Management of your business facilitates a commitment to ensuring adequate resources to the development of your Approved Supplier Management program;
- Should you require additional resources for the development of Approved Supplier Management program elements, please discuss this with the relevant Senior Management representative;
- A properly developed Approved Supplier Management program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly developed Approved Supplier Management program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Documentation

To establish the developed detail in a viewable format to facilitate information.

Documentation

Document: A document provides guidance and/or direction for performing work, making decisions, or rendering judgments that affect the safety or quality of the products or services that customers receive.

Documented policies, procedures, work instructions, and schedules form the basis of any food safety and quality management system. The following documentation formats may be considered to ensure ongoing compliance with specified requirements for Approved Supplier Management:

- Approved Supplier Management policy;
- Approved Supplier Management development procedures;
- Approved Supplier Management implementation procedures and work instructions;
- Approved Supplier Management monitoring procedures;
- Approved Supplier Management corrective and preventative action procedures;
- Approved Supplier Management verification schedule;
- Approved Supplier Management verification procedures;
- Approved Supplier Management validation schedule;
- Approved Supplier Management validation procedures;
- Approved Supplier Management training procedures;
- Approved Supplier Management raw materials supplier listing, including details of contacts, justification for supplier approval, review details and emergency supplier options;
- Approved Supplier Management service provider listing, including details of contacts, justification for supplier approval, review details and emergency service provider options;
- Approved Supplier Management audit schedule and supplier audit reports;
- Supplier specifications and supply agreements or letters of guarantee.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Approved Supplier Management Documentation requirements in relation to their items.

You may wish to visit the Approved Supplier Management Templates section of haccp.com for examples of Approved Supplier Management documentation, record, and resource formats commonly applied within food safety and quality systems.

Approved Supplier Management Documentation Key Points

- Approved Supplier Management programs must be documented to meet relevant Regulatory, Industry, and Customer standards and requirements;
- All documented Approved Supplier Management program elements must be controlled to ensure compliance;
- Key documented Approved Supplier Management program elements should be available to your business team at all times to ensure they can facilitate required tasks;
- A properly documented Approved Supplier Management program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly documented Approved Supplier Management program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Implementation

To facilitate the application of the documentation.

Implementation

Implementation: Implementation is the application of documented food safety and quality system elements into the actual business operation.

The implementation of Approved Supplier Management within any food business requires genuine commitment

from senior management, staff, contractors and visitors to ensure the nominated goals of implementation are achievable on an ongoing basis. It is a step that requires significant planning and consideration of general and specific food business circumstances to ensure the outcomes of Approved Supplier Management do not negatively affect the safety and quality of the food items dispatched from the business.

Implementation of Approved Supplier Management must include a clear definition of responsibilities and authorities for all levels of participation by senior management, staff, contractors and visitors to the site.

When implementing Approved Supplier Management within food safety and quality systems, you may wish to consider the following requirements before completion:

- Communication and display of the Approved Supplier Management policy;
- Completion of Verification and Validation of Approved Supplier Management development procedures;
- Availability of Approved Supplier Management implementation procedures and work instructions;
- Availability of Approved Supplier Management monitoring procedures and record templates (where applicable);
- Availability of Approved Supplier Management corrective and preventative action procedures and record templates (where applicable);
- Availability of the Approved Supplier Management verification schedule;
- Availability of Approved Supplier Management verification procedures;
- Availability of the Approved Supplier Management validation schedule;
- Availability of Approved Supplier Management validation procedures;
- Completion of Approved Supplier Management training procedures;
- Completion of product design and development requirements related to Approved Supplier Management;
- Completion of process design and development requirements related to Approved Supplier Management;
- Completion of training for team members who have responsibilities and involvement within Approved Supplier Management;
- Completion of competency approval for team members who have responsibilities and involvement within Approved Supplier Management.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Approved Supplier Management Implementation requirements in relation to their items.

Approved Supplier Management Implementation Key Points

- Approved Supplier Management programs must be implemented to meet relevant Regulatory, Industry, and Customer standards and requirements;
- Your Approved Supplier Management program must be fully implemented as per relevant documented Policies, Procedures, and Work Instructions;
- The implementation of Approved Supplier Management requires a commitment to the provision of resources by the Senior Management of your business;
- A properly implemented Approved Supplier Management program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly implemented Approved Supplier Management program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Monitoring

To review, confirm and document evidence of the implementation against documented limits.

Monitor

Monitoring: Monitoring is the act of reviewing and confirming measurable parameters of a defined process or product status.

Monitoring requirements within food industry sectors are generally identified against limits of acceptability defined

within HACCP plans, implementation procedures, and work instructions. Monitoring usually includes some element of record-keeping, which may be maintained manually or through digital systems. Advancements in technology have produced many systems and processes that are self-monitored or self-adjusted when variances are identified. Regardless of the system used, the goal of any monitoring activity is to provide sufficient evidence that any limit of acceptability has been met.

Traditional Approved Supplier Management monitoring requirements include manual recording and the application of corrective actions when the results of monitoring are found to be outside acceptable limits. Corrective actions should also be strongly linked to the monitoring process to ensure full traceability of the applied actions.

The following examples of monitoring activities and record formats may apply to Approved Supplier Management:

- Approved Supplier Management raw materials supplier listing, including details of contacts, justification for supplier approval, review details and emergency supplier options;
- Approved Supplier Management service provider listing, including details of contacts, justification for supplier approval, review details and emergency service provider options;
- Approved Supplier Management supplier questionnaire, including prompts for gathering critical information required by your business as relevant to each specific approved supplier;
- Approved Supplier Management service provider questionnaire, including prompts for gathering critical information required by your business as relevant to each specific approved service provider;
- Copies of approved supplier and service provider validation certifications, including HACCP, quality, religious (for example halal or kosher), regulatory or industry certificates, insurance certificates of currency (current insurance certificates), and product specifications where applicable;
- Goods receipt inspection records, including checks of temperature, packaging integrity, labelling and documentation against specifications;
- Certificates of analysis (COA) for supplied batches, where required by specification;
- Supplier scorecards or performance records;
- Trends in complaints and non-conformances associated with each supplier.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Approved Supplier Management Monitoring requirements in relation to their items.

You may wish to visit the Approved Supplier Management Templates section of haccp.com for examples of Approved Supplier Management documentation, record, and resource formats commonly applied within food safety and quality systems.

Approved Supplier Management Monitoring Key Points

- Monitoring provides real-time confirmation and evidence that your risk-based FS&Q Controls are effectively implemented;
- Approved Supplier Management programs must be monitored to meet relevant Regulatory, Industry, and Customer standards and requirements;
- Monitoring of Approved Supplier Management must be facilitated as per relevant documented Policies, Procedures and Work Instructions;
- Nominated monitoring records for Approved Supplier Management must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- A properly monitored Approved Supplier Management program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly monitored Approved Supplier Management program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Corrective Action and Preventative Action

To apply “real time” interventions to documented monitoring limits.

Corrective Action

Corrective Action: Corrective action is mandatory action to be taken when a deviation to the Quality System occurs, particularly in relation to a Critical Control Point.

Preventative Action: At any step in the process where a hazard has been identified, preventative action must be put into place to prevent recurrence.

Corrective Action and Preventative Action are implemented to ensure identified non-conformances are documented, investigated, and rectified within appropriate timeframes.

Corrective action is any action applied to regain control over a product, process, policy, or procedure that has been identified as being non-conforming or outside nominated limits of acceptability.

Preventative action is any action applied to prevent any identified non-conformance from recurring.

The outcomes of corrective and preventative actions should result in regained process control after effective application. Specified corrective actions are commonly linked to the HACCP Plans and the food business certification process.

Common Corrective Action and Preventative Action examples which may be associated with Approved Supplier Management related non-conformances include:

- Review of the Approved Supplier Management policy;
- Review of Approved Supplier Management development procedures;
- Review of Approved Supplier Management implementation procedures and work instructions;
- Review of Approved Supplier Management monitoring procedures;
- Review of Approved Supplier Management corrective and preventative action procedures;
- Review of the Approved Supplier Management verification schedule;
- Review of Approved Supplier Management verification procedures;
- Review of the Approved Supplier Management validation schedule;
- Review of Approved Supplier Management validation procedures;
- Review of Approved Supplier Management training procedures;
- Re-training in Approved Supplier Management;
- Review of management review activities to include Approved Supplier Management as an agenda item;
- Initiation of “product hold” procedures where safety or quality may be compromised;
- Initiation of a product withdrawal or recall where investigations show a substantial safety and/or quality risk to released product (see Product Recall and Product Withdrawal);
- Consideration of suspending approved supplier status, based on risk, for any supplier implicated in non-conformances until investigations have been completed;
- Where possible, involving approved suppliers in the Corrective Action and Preventative Action processes, which may include raising a Supplier Corrective Action Request (SCAR) against an approved supplier for identified non-conformances;
- Permanent or temporary removal of uncooperative or repeatedly non-conforming approved suppliers from the Approved Supplier Management program. It is generally considered best practice to notify suppliers in writing of the reason for the withdrawal of their approved supplier status;
- Contacting stakeholders, including customers, regarding any confirmed or potential Approved Supplier Management concerns involving their product.

If your food business supplies foodstuffs manufactured to a customer’s specifications, it is important to consider any specific Approved Supplier Management Corrective Action requirements in relation to their items.

You may wish to visit the Corrective Action and Preventative Action section of haccp.com for examples of best practice applications for this food safety and quality system element.

Approved Supplier Management Corrective Action and Preventative Action Key Points

- The implementation of Corrective Action and Preventative Action provides confidence that your FS&Q Program is effectively implemented and that FS&Q criteria are being met;
- Where deviations or variations are observed, Corrective Action and Preventative Action must be facilitated to meet relevant Regulatory, Industry, and Customer standards and requirements;
- Corrective Action and Preventative Action of Approved Supplier Management must be facilitated as per relevant documented Policies, Procedures and Work Instructions;
- Records of Corrective Action and Preventative Action must be maintained for Approved Supplier Management as per relevant documented Policies, Procedures and Work Instructions;
- Proper application of Corrective Action and Preventative Action for your Approved Supplier Management program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- Poor application of Corrective Action and Preventative Action for your Approved Supplier Management program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Verification

To review and confirm documented monitoring and corrective actions against documented parameters.

Verify

Verification: The act of reviewing, inspecting, testing, checking, auditing, or otherwise establishing and documenting whether items, processes, services, or documents conform to specified requirements.

Verification is the detailed review of all food safety and quality system elements to confirm that they are effectively developed, documented, implemented, monitored, and reviewed. All food safety and quality system elements, including documented policies, procedures, training, HACCP plans, and their operational applications must be verified on an ongoing scheduled basis. The verification process commonly includes a defined schedule for which verification activities are required, how often they are conducted, who is responsible, and detailed documented procedures for each nominated verification activity.

The general goal of an established verification process is to ensure any systemic non-conformances are identified and rectified within an appropriate timeframe. When non-conformances are identified through the verification process, Corrective Actions and Preventative Actions should be implemented to ensure they do not affect the effectiveness of the food safety and quality system.

The following examples of verification activities may be applicable to Approved Supplier Management:

- Review of the Approved Supplier Management policy;
- Review of Approved Supplier Management development procedures;
- Review of Approved Supplier Management implementation procedures and work instructions;
- Review of Approved Supplier Management monitoring procedures;
- Review of Approved Supplier Management monitoring records;
- Review of Approved Supplier Management corrective and preventative action procedures;
- Review of the Approved Supplier Management verification schedule;
- Review of Approved Supplier Management verification procedures;
- Review of the Approved Supplier Management validation schedule;
- Review of Approved Supplier Management validation procedures;
- Review of Approved Supplier Management training procedures;
- Review of Approved Supplier Management performance since the last review and historically;
- Analytical testing of product or process to ensure the effectiveness of Approved Supplier Management;
- Inclusion of Approved Supplier Management as an agenda item within the Management Review Process.

It is generally considered best practice for approved supplier listings to be reviewed at least annually, with higher-risk suppliers reviewed more frequently and lower-risk suppliers reviewed on a schedule justified by risk. As an element of this process, validation certifications should be requested and updated within the Approved Supplier Management systems.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Approved Supplier Management Verification requirements in relation to their items.

You may wish to visit the Verification Activities section of haccp.com for examples of best practice applications for this food safety and quality system element.

Approved Supplier Management Verification Key Points

- Your verification program provides evidence that your FS&Q Controls have worked;
- Approved Supplier Management programs must be verified to meet relevant Regulatory, Industry, and Customer standards and requirements;
- The verification of Approved Supplier Management must be facilitated as per relevant documented Policies, Procedures and Work Instructions;
- Nominated verification records for Approved Supplier Management must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- A properly verified Approved Supplier Management program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly verified Approved Supplier Management program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Validation

To confirm the documented monitoring or procedural limits.

Validate



Analytical testing helps validate the limits set for supplied materials.

Validation: The process of gathering evidence to provide a scientific basis for the documented act of demonstrating that a procedure, process, and activity will consistently lead to the expected results. It often includes the qualification of systems and equipment.

Validation is the provision of evidence to support the limits of control or acceptability for food safety or quality parameters nominated within systemic elements. Limits of control or acceptability are commonly included within documented food safety and quality systems elements such as procedures, HACCP plans, and specifications.

Common sources of validation include regulatory and legislative standards, finished product specifications and customer requirements, industry codes of practice and guidelines, verified and validated research, historical product and process control outcomes, and analytical testing.

The general goal of an established validation process is to ensure any inappropriate limits of control or acceptability

are identified and rectified within an appropriate timeframe. When non-conformances are identified through the validation process, Corrective Actions and Preventative Actions should be implemented to ensure they do not affect the effectiveness of the food safety and quality system.

Validation activities are commonly defined within the verification schedules and procedures of established food safety and quality management systems.

The following examples may be applicable to the validation of the limits of control or acceptability for Approved Supplier Management:

- Purchasing and receiving raw materials or services from approved suppliers or service providers are commonly linked to the critical limits nominated within HACCP Plans at purchasing and receipt steps. In this context, it is important to ensure the defined critical limits are written as a “measurable” parameter. For example, if a HACCP Plan requires you to ensure received ingredients are from an approved supplier, your Approved Supplier Management system should ensure that there is a clear definition and distinction of what exactly an approved supplier is;
- Confirmation of nominated food safety and food quality control limits for Approved Supplier Management. These limits may apply to regulatory, industry, customer, or finished product specifications;
- Confirmation of analytical testing methods being used to confirm the effectiveness of Approved Supplier Management and ensure the accuracy of outcomes.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Approved Supplier Management Validation requirements in relation to their items.

You may wish to visit the Validation Activities section of haccp.com for examples of best practice applications for this food safety and quality system element.

Approved Supplier Management Validation Key Points

- Your validation program provides evidence that your FS&Q Controls will work;
- Approved Supplier Management programs must be validated to meet relevant Regulatory, Industry, and Customer standards and requirements;
- The validation of Approved Supplier Management must be facilitated as per relevant documented Policies, Procedures and Work Instructions;
- Nominated validation records and supporting documentation for Approved Supplier Management must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- A properly validated Approved Supplier Management program will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- A poorly validated Approved Supplier Management program will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.

Training, Competency and Resources

Skills, knowledge and competency requirements to facilitate development, documentation, implementation, monitoring, corrective action, verification and validation of every Food Safety and Quality System Element.

Skills and Knowledge



Team members with Approved Supplier Management responsibilities need ongoing training and competency review.

Skills and Knowledge: Skills and knowledge are attributes of human interactions commonly linked to competency within any specified job-related task.

Training and competency requirements for Approved Supplier Management must be ongoing, including regularly scheduled reviews to ensure the effectiveness of training and competency outcomes.

Team members who have defined responsibilities regarding Approved Supplier Management should have knowledge including:

- Basic Approved Supplier Management requirements;
- Positive outcomes of Approved Supplier Management;
- Negative outcomes of a lack of Approved Supplier Management;
- Current Approved Supplier Management procedures, methods, and techniques;
- General operational, corporate, and social awareness regarding Approved Supplier Management;
- Regulatory, industry, and customer requirements regarding Approved Supplier Management.

Team members who have defined responsibilities regarding Approved Supplier Management should have skills including:

- Competency regarding basic Approved Supplier Management;
- Effective application of current Approved Supplier Management procedures, methods, and techniques;
- The basic development, documentation, and implementation of HACCP and Prerequisite Programs within the food industry sector.

Team members who have defined responsibilities regarding Approved Supplier Management should have access to resources including:

- Approved Supplier Management training;
- Approved Supplier Management associations and events;
- Regulatory standards, industry and customer information and updates regarding Approved Supplier Management;
- Incidents within the food industry sector regarding Approved Supplier Management;
- Commitment to Approved Supplier Management by senior management;
- Suitably qualified food industry professionals with verified experience in Approved Supplier Management;
- Effective communication systems including email, internet, and phone through which Approved Supplier Management information can be sent and received within suitable timeframes.

If your food business supplies foodstuffs manufactured to a customer's specifications, it is important to consider any specific Approved Supplier Management Training, Competency, and Resources requirements in relation to their items.

You may wish to visit the Training, Competency, and Resources section of haccp.com for examples of best practice applications for this food safety and quality system element.

Approved Supplier Management Training, Skills, and Knowledge Key Points

- Your Training, Skills, and Knowledge program ensures all participating personnel, contractors and visitors have the required skills and knowledge to effectively facilitate the requirements of your FS&Q Program;
- Training, Skills and Knowledge programs for Approved Supplier Management must be facilitated to meet relevant Regulatory, Industry, and Customer standards and requirements;
- Training, Skills and Knowledge programs for Approved Supplier Management must be facilitated as per relevant documented Policies, Procedures, and Work Instructions;
- Training, Skills, and Knowledge records for Approved Supplier Management must be maintained as per relevant documented Policies, Procedures, and Work Instructions;
- Properly applied Training, Skills and Knowledge programs for Approved Supplier Management will provide a strong framework for your business to maintain compliance with relevant Regulatory, Industry, and Customer standards and requirements;
- Poorly applied Training, Skills, and Knowledge programs for Approved Supplier Management will not fully support your business and may contribute to significant non-compliance against Regulatory, Industry, and Customer standards and requirements.



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