

GMP+ Feed Safety Assurance scheme

Affreightment of Short Sea Shipping and Inland Waterway Transport

GMP+ B4.2

Version: 1 January 2010
Effective from: 1 January 2010
Identical with version 28 June 2007 of GMP+:2006

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4.2

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INDEX

1	INTRODUCTION	4
1.1	GENERAL	4
1.2	STRUCTURE OF THE GMP+ FEED SAFETY ASSURANCE SCHEMA	4
1.3	SCOPE AND APPLICATION OF THIS STANDARD	5
1.4	THE STRUCTURE OF THIS STANDARD	8
1.5	EXCLUSION OF REQUIREMENTS	9
2	NORMATIVE REFERENCES	10
2.1	GMP+ DOCUMENTS	10
2.2	LEGAL COMPLIANCE	10
3	TERMS AND DEFINITIONS	11
4	FEED SAFETY SYSTEM	12
4.1	REQUIREMENTS FOR THE FEED SAFETY SYSTEM	12
4.2	DOCUMENTATION	13
4.2.1	General	13
4.2.2	Manual *	14
4.2.3	Control of the documentation *	14
4.2.4	Control of records *	14
5	MANAGEMENT RESPONSIBILITY	15
5.1	MANAGEMENT COMMITMENT *	15
5.2	FEED SAFETY POLICY *	15
5.3	PLANNING *	15
5.3.1	Feed safety objectives *	15
5.3.2	Planning of the feed safety system *	15
5.4	RESPONSIBILITY, AUTHORITY AND COMMUNICATION ON FEED SAFETY *	16
5.4.1	Responsibility and authority *	16
5.4.2	Management representative *	16
5.4.3	Internal communication *	16
5.5	MANAGEMENT REVIEW *	16
5.5.1	General *	16
5.5.2	Review input *	16
5.5.3	Review output *	17
6	MANAGEMENT OF RESOURCES	18
6.1	PROVISION OF RESOURCES	18
6.2	PERSONNEL *	18
6.2.1	General *	18
6.2.2	Competence, awareness and training *	18
6.3	INFRASTRUCTURE *	19

6.4	WORK ENVIRONMENT	19
6.5	IDENTIFICATION AND TRACEABILITY	19
7	PROCESS CONTROL	20
7.1	BASIC REQUIREMENTS PROGRAMME *	20
7.2	PLANNING OF THE REALISATION OF A SAFE PRODUCT *	20
7.3	AFFREIGHTMENT REQUIREMENTS	20
7.3.1	Determination of affreightment requirements	20
7.3.2	Assessment of affreightment requirements	21
7.3.3	Communication with customer *	21
7.4	PROCESS INFORMATION *	21
7.5	HAZARD ANALYSIS *	21
7.6	DETERMINATION OF GENERAL AND SPECIFIC CONTROL MEASURES *	21
7.7	STANDARDS *	21
7.8	MONITORING AND MEASURING *	21
7.9	CORRECTIVE ACTIONS *	21
7.10	VALIDATION OF THE HACCP PLAN *	22
7.11	PURCHASING	22
7.11.1	Purchasing process	22
7.12	CHARTERING OF THE SHORT SEA SHIPPING AND INLAND WATERWAY TRANSPORT	22
7.12.1	Control of affreightment	22
7.12.2	Acceptance of the affreightment order	23
7.12.3	Affreightment record	23
7.12.4	Issuing order for the LCI	24
7.12.5	Order processing for carrying out LCI	25
7.12.6	LCI Reporting	25
7.12.7	Corrective actions	26
8	MEASUREMENT, ANALYSIS AND IMPROVEMENT	27
8.1	GENERAL	27
8.2	INTERNAL AUDIT *	27
8.3	ANALYSIS OF DATA *	27
8.4	IMPROVEMENT *	28
8.4.1	Continuous improvement *	28
8.4.2	Corrective measures *	28
8.4.3	Preventative action *	28
8.4.4	Early warning procedure *	28

1 Introduction

1.1 General

The GMP+ Feed Safety Assurance scheme (GMP+ FSA) has been developed since 1992. It was managed from 1992 up until 2009 by the Product Board Animal Feed, The Hague, The Netherlands. Since 2010, this scheme is managed by GMP+ International.

It is a scheme for assuring feed safety in all the links in the feed chain. It is also an international scheme, applicable worldwide.

The establishment and development of the scheme was primarily the result of demand from the subsequent links in the animal production chain for better control of feed safety. Another contributory factor was the damage caused by more and less serious contamination incidents.

In the initial phase the demand arose for better differentiation in an increasingly saturated European sales market for animal products. Since 1999, feed & food safety has been a top issue internationally both politically and commercially, because of serious incidents in the feed sector. Because of this, demonstrable assurance of feed safety has become a sales prerequisite.

The basic principle of the GMP+ FSA scheme is that the feed chain is part of the food production chain. Proper assurance of feed safety worldwide is a high priority. Companies must live up to their responsibilities and respond properly and convincingly to the needs of animal production. The GMP+ Feed Safety Assurance scheme is an aid to realise this.

1.2 Structure of the GMP+ Feed Safety Assurance schema

The documents within the GMP+ FSA scheme are subdivided into a number of series. A description follows of these:

A General (framework) documents	These documents contain the requirements for participation in the certification scheme for companies and certification bodies (framework regulation, the use of logo's, etc.). This series also includes a general list of definitions and abbreviations.
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B
Normative documents.

These documents contain the international standards and additional country notes for use by companies with respect to the various feed products and production phases including cultivation and industrial production, treatment and processing, collection, trade, means of transport, storage and transshipment.

These documents are divided in several subgroups, with a code and a name

Document	Code	Name
⇒ Standard	GMP+ Bxx	e.g. GMP+ B4.2 <i>Affreightment of short Sea shipping and Inland Waterway Transport</i>
⇒ Appendix	GMP+ BAxx	
⇒ Country Note	GMP+ BCNxx	

C
Certification requirements

These documents contain the Rules of Certification including those for the approval of certification bodies and auditors, the frequency of audits, minimum audit time, assessment criteria, checklists, etc. There is also an explanation of how the supervision by certification bodies is implemented and of how GMP+ International supervises the certification process.

D
Interpretations and accompanying texts

In addition to the above-mentioned normative documents, there are also supporting documents in the D series including a list of frequently-asked questions, manuals and guidances with additional information.

All these documents are available through the website of GMP+ International (www.gmpplus.org).

The document in the present case is referred to as standard GMP+ B4.2 *Affreightment of short Sea shipping and Inland Waterway Transport* and is part of the GMP+ FSA scheme.

1.3 Scope and application of this standard

This standard contains the conditions and requirements for the feed safety assurance of Affreightment of short Sea shipping and Inland Waterway Transport.

By 'affreightment of short sea shipping and inland waterway of feed' is meant: all activities related to the organisation of the affreightment of sea-going vessels, including the commissioning of the affreightment, the selection and acceptance of a inland waterway vessel, the inspection order, the carrying out of and reporting on

the inspection, the approval of the vessel and the maintenance of the relevant administration. The physical transportation (loading, carrying and unloading) by inland waterway is not included in this. This is referred to hereafter as 'affreightment'.

The requirements of this standard apply to organisations, irrespective of their type or size, which carry out activities which fall within the scope of this standard. It is not important whether a company carries out these activities on its own account or as a (sub)contractor ('service provider').

The responsibility of the applicant carrying out the transport or organising it, is limited within this standard solely to the affreightment. Other GMP+ standards apply for other forms of transport and physical handling of feed.

Certification for this standard is required for the chartering parties in European short sea shipping (for vessels up to a maximum of 10,000 DWCC) and inland waterways. These parties involved in affreightment may be brokers in short sea shipping and inland waterway transport and clients of short sea shipping and inland waterway transports who themselves act as affreightment party. See the following diagram.

This standard also sets requirements for the affreightment order, the acceptance of the vessel and the order for the Loading Compartment Inspection (LCI). The client of the short sea shipping and inland waterway transport should demonstrably comply with these requirements and should include them in his GMP+ system but does not need separate certification for this standard (see the GMP+ standards GMP+ B1 and GMP+ B3). See the following diagram.

This standard also sets requirements for the execution of the LCI and the LCI reporting. The LCI client, the affreightment party or the short sea shipping or inland waterway transport client, should demonstrate that the execution of the LCI and the reporting complies with the requirements in this standard. See the following diagram.

The affreightment parties in inland waterways may only make use of shippers who demonstrably comply with the Inland Waterway Hygiene Code (GMP+ B4.3).

Activity with respect to sea transport	Certification required for this standard?	Additional requirements:
Affreightment of European short sea shipping and inland waterway vessels for own company (including LCI commissioning)	Yes, certification for GMP+ B4.2	-
Affreightment of European short sea shipping and inland waterway vessels for third parties (including LCI commissioning)	Yes, certification for GMP+ B4.2	-
Giving the order for affreightment (by the client)	No	Demonstrable compliance with section 7.12.1 and guaranteed activity in GMP+ system. Checking by certification body in GMP+ audit.
Approval of the ship before loading (by the client)	No	Demonstrable compliance with section 7.12.1 and guaranteed activity in GMP+ system. Checking by certification body in GMP+ audit.
Giving the order for LCI (by the client)	No	Demonstrable compliance with sections 7.12.4 to 7.12.6 and guaranteed activity in GMP+ system. Checking by certification body in GMP+ audit.
Carrying out LCI (audit organisation)	No	ISO 17020 approved audit company, with LCI scope, in accordance with the requirements of GMP+B4.2, in the scope of the accreditation. See this GMP+ standard.
Execution of the LCI (own loading compartment inspector)	No	A load inspector employed by a GMP+ certified participant. The function is included in the

		GMP+ system of the participant. See this GMP+ standard.
Reception of products from short sea shipping and inland waterway transport (by GMP+ certified customer)	No	LCI reports, in accordance with the requirements of this standard for all received short sea shipping and inland waterway transports should be available or retrievable. Checking by certification body in GMP+ audit.
Physical transport by inland waterway	No	Certification for GMP+ B4.3 – Inland Waterway Hygiene Code.

Each participant must establish the company-specific hazards relating to the safety of feeds and analyse and control them by applying HACCP principles. This standard describes as accurately as possible for activities or feed ingredients which are covered within the scope of this standard what the requirements are with respect to the various risks and what the associated control measures are. A participant may make these control measures part of a prerequisites programme or may implement them as specific measures for controlling a particular critical control point. This standard also provides requirements for inspections and audits.

If a participant carries out activities with feeds which are outside the scope of this standard then it may be necessary to apply another GMP+ standard instead of, or in addition to, this standard.

The participant remains responsible at all times for the safety of the feed ingredients and activities associated with them, as well as for checking on compliance with the requirements. This must be done by the participant himself. By complying with the requirements of this standard and by being certified accordingly, the participant can demonstrate the safety and quality of his services or feed ingredients to third parties.

Irrespective of the obligations arising from this standard, the participant will only place on the market or offer services regarding feeds which are safe for animals and (indirectly) safe for the consumers of the animal products.

The participant may not introduce any feeds to the market which represent a danger to the health of consumers of animal products or animals or to the environment.

1.4 The structure of this standard

This standard is structured after the latest version of the ISO9001-standard. The structure of this standard is (almost) the same as ISO9001 and other GMP+ standards so that organisations which, in addition to the affreightment also produce,

process, transport or trade animal feed, can apply this short shipping and inland waterway affreightment standard fairly easily.

The sections designated with *) have already been completed by the participant through certification under another GMP+ standard. These sections are therefore not detailed further in this standard.

GMP+ Appendices (GMP+ BAxx), to which there are also references, are separate GMP+ documents within the B segment. If there is a reference in this standard then it applies within the framework of this standard. See also Chapter 2.

1.5 Exclusion of requirements

It is possible that certain requirements do not apply to a participant. A participant may exclude these requirements. Exclusions must, however, be justified and recorded. The exclusions may in any event not lead to the participant supplying feeds or offering services which do not comply with feed safety as defined in the GMP+ FSA scheme.

No requirements may be excluded because the participant finds them to be not relevant such as because customers do not ask for them or because compliance with these requirements is not a legal obligation or because the company is small.

2 Normative references

2.1 GMP+ documents

In addition to the requirements listed in this GMP+ standard, the participant must also comply with the requirements included in the GMP+ Appendices (GMP+ BAxx) to which reference is made in this standard.

The participant must also comply with the relevant requirements as recorded in the GMP+ A-documents. These documents can be found on GMP+ International's website (www.gmpplus.org)

2.2 Legal compliance

Special attention was paid when drawing up this standard to the inclusion of the relevant requirements in the applicable feed legislation. Compliance with this standard does not however guarantee that there is compliance with all the legal requirements or mean that feed legislation can then be ignored. It is the participant's own responsibility to comply with the relevant feed legislation.

In addition to the requirements of this standard the participant must also verify and ensure that his product activities and all the feed ingredients that he produces and supplies are in accordance with the applicable legal.

3 Terms and definitions

See GMP+ A2 *Definitions and Abbreviations*. In addition to the terms and definitions in GMP+ A2 *Definitions and Abbreviations*, the following definitions apply in the framework of this supplement:

Agri-Only	Indication that a means of transport has, for an uninterrupted period of at least 6 months, taken part in the transportation of only animal feed and/or animal feed raw materials of vegetable origin.
Affreightment party	<p>A company which is certified as:</p> <ul style="list-style-type: none">• Broker in short sea shipping and inland waterway transport<ul style="list-style-type: none">- In accordance with national legislation and which has been appointed and/or possesses the required permit- And/or- Is established and registered as such as a legal body- And- Does not act as a client nor as an owner of a short sea shipping or an inland waterway means of transport.• The principal for short sea shipping and inland waterway transport who himself acts as the chartering party.
Participant	The company which has a valid GMP+ certificate for this standard.
Principal	The company which issues the order for the transport which means the manufacturer and/or trader.
CO	<p>Control organisation accredited in accordance with ISO 17020 with a specialisation in animal feeds or grains or liquid agri-bulk and/or internationally operating in accordance with a recognised certification system such as ISO 9001:2000 in which there is demonstrable compliance with the requirements of ISO 17020.</p> <p>The qualification Loading Compartment Inspection (LCI) must, in accordance with the requirements of the GMP+ standard, be included in the scope of the relevant accreditation or certification.</p>
Own) Loading Inspector	A load inspector employed by a GMP+ certified participant. These are a position which is held by an employee who on the basis of training and experience has the knowledge and expertise to be able to inspect the load compartment for its suitability for loading with animal feeds.
LCI	Loading Compartment Inspection. There are 2 possibilities the LCI is transferred to a control organisation or an own loading compartment inspector is used for the check.
Short sea Shipping	The transport of goods using means of transport suitable for transportation by sea and coastal waters. This GMP+ standard relates to short sea shipping up to a maximum of 10,000 DWCC.
Carrier	Offering party for transport modality.

4 Feed Safety System

4.1 Requirements for the feed safety system

The participant must set up the feed safety system so that it complies with the requirements of this GMP+ standard. The participant should document this, implement it and maintain it as well as continuously improve its effectiveness

The participant must:

- a. Establish and record the scope of the feed safety system. The scope must at least include the activities related to the affreightment of animal feeds for which the participant is responsible
 1. The participant must specify all affreightments in which he is involved.
 2. The participant must bring all business locations from which affreightment takes place within the scope of the feed safety system.
 3. All other activities, which means the activities which are not able to cover under this or other GMP+ standards should also be described by the participant. The participant must ensure that these activities do not have a negative influence on the safety of the animal feeds.
 4. The participant is permitted to exclude the affreightment of non-GMP+-assured feed from the scope of the feed safety system. This should however be available for checking. The participant will in his records make a clear and demonstrable distinction between the GMP+-assured feed materials and the non-GMP+-assured affreightments.
 5. The participant should control all affreightment activities using his own feed safety system in accordance with the requirements of this standard. This applies to the affreightment of:
 - of own or third-party feeds;
 - of both packaged (including sealed containers) and unpackaged feeds.
 6. If the participant contracts inland waterway affreightment out then the participant must ensure that this activity complies with the requirements of this GMP+ standard. Affreightment may only be contracted out to a company which is GMP+-certified for this. See Section 7.11 and GMP+ BA10 *Minimum Requirements for Purchasing*.
The exceptions may be:
If a participant makes use of an external carrier for the affreightment of packaged products (including sealed containers) then this external carrier does not have to be GMP+ FSA-certified
- b. establish working methods used to carry out the affreightment effectively
- c. make available resources and information required for carrying out the affreightment
- d. monitor and evaluate the working methods
- e. implement measures which are necessary to achieve planned results and continuous improvement of the affreightment.

These working methods must be controlled by the participant in accordance with the requirements of this GMP+ standard.

NOTE:

If at one location several companies carry out activities covered a GMP+ FSA standard, then each of them must hold a certificate for these activities. See the GMP+ A1 *General Regulations*.

4.2 Documentation

4.2.1 General

De documentatie van het voederveiligheidssysteem moet omvatten: The documentation of the feed safety system must include:

- a. documented statements of the involvement of the management the feed safety policy and feed safety objectives;
- b. a manual;
- c. documented procedures required by this GMP+ standard;
- d. documents required by the participant for the achievement of effective planning, implementation and control of the affreightment;
- e. records required by this GMP+ standard (see section 4.2.4);
- f. all relevant legally-required permits, records and certificates under the animal feed legislation.

The participant will maintain a register with the following documentation:

- a. Documentation relating to the affreightment and the checks;
- b. The participant should have a documentation system for the description of the critical points in the affreightment process for short sea shipping and inland waterway transport and for the drawing up and implementation of a quality control plan as laid down in section 7.12;
- c. All these documents should be kept to be able to trace the history of any batch of affreighted animal feed and in the event of complaints to be able to determine responsibility. See also section 4.2.4.

More specifically, the participant and/or the client should control the specific documents within the framework of the LCI (see sections 7.12.4, 7.12.5 and 7.12.6).

In addition the control organisation or the own loading inspector should control the specific documents within the framework of the LCI (see sections 7.12.5 and 7.12.6).

NOTE:

The scope of the documentation of the feed safety system may differ per organisation as a result of:

- a. The size of the organisation;
- b. The nature and complexity of affreightment and the short sea shipping and inland waterway transport;
- c. The expertise of the personnel.

4.2.2 Manual *

The participant must set up and update a manual which includes:

- a. the scope of the feed safety system, including the details of and clear justification for any exclusions;
- b. the documented procedures as required as a minimum under the GMP+ FSA standard(s) which have been laid down for the feed safety system or a reference to them;
- c. a description of the affreightment activities and the relationships among them;
- d. the structure of the documentation.

4.2.3 Control of the documentation *

Documents which are required by the feed safety system must be controlled.

There is a documented procedure in which the authorities related to the approval, issue and control of documents are regulated. Control measures are laid down in this as required to:

- a. approve documents with respect to suitability before they are distributed;
- b. assess documents and update them if necessary and then to re-approve them; as in the event of changes to the animal feed legislation and/or the GMP+ FSA standard;
- c. knowing changes and the current change date of the documents;
- d. having current versions of the documents available at workplaces where affreightment is carried out;
- e. keeping documents legible and easily recognisable;
- f. keeping documents from an external source recognisable as such and controlling their distribution;
- g. prevention of unintended use of lapsed documents and application of suitable identification if it is retained for whatever reason.

Records must comply with the requirements in section 4.2.4.

4.2.4 Control of records *

Records must be established and maintained to provide evidence of compliance with the requirements and of the effective operation of the feed safety system so that the feed safety of the products is guaranteed.

Records must be legible, easily recognisable and retrievable. A well-documented procedure must be established to define the control required for the identification, storage, protection, retrieval, storage period and destruction of records.

The storage period for these records amounts to at least three years unless a longer storage period is required under statutory or other regulations.

5 Management responsibility

5.1 Management commitment *

Top management must demonstrate its involvement in the development and implementation of the feed safety system and the continuous improvement of its effectiveness through:

- a. the making known within the organisation of the importance of compliance with both the requirements of the customer and the legislation and regulations;
- b. establishing the feed safety policy (see section 5.2);
- c. establishing a management statement;
- d. establishing feed safety objectives (see section 5.3.1);
- e. the implementation of management reviews (see section 5.5);
- f. ensuring the availability of resources.

5.2 Feed safety policy *

Top management must ensure that the feed safety policy:

- a. is suitable for the affreightment of inland waterway vessels in such a way that animal feeds can be transported safely;
- b. is matched to the requirements of customers;
- c. prescribes that the company works in accordance with the requirements of the feed safety system;
- d. offers a framework for the establishment and assessment of feed safety objectives;
- e. is made known and is understood within the organisation, and
- f. is assessed for continuing suitability and improvement.

5.3 Planning *

5.3.1 Feed safety objectives *

Top management must ensure that objectives related to the safe transport of animal feeds are established for relevant functions and levels within the organisation. The feed safety objectives must be measurable and consistent with the feed safety policy.

5.3.2 Planning of the feed safety system *

Top management must ensure that

- a. the feed safety system is introduced and maintained correctly in order to comply with both the requirements in 4.1 and the feed safety objectives, and
- b. the operation and cohesion of the feed safety system is retained when changes relating to the feed safety system are planned and implemented.

5.4 Responsibility, authority and communication on feed safety *

5.4.1 Responsibility and authority *

Top management must ensure that the responsibilities and competences are defined and made known in writing within the organisation. The participant will record the responsibility structure in an organisational chart.

5.4.2 Management representative *

Top management will appoint a management representative who, irrespective of other responsibilities, will have the responsibility and authority:

- a. to establish a feed safety system and to implement it and maintain it in accordance with this standard, and
- b. to report to top management on the results of the feed safety system and any need for improvement, and
- c. to ensure that the awareness of the requirements of customers is promoted throughout the whole organisation.

NOTE:

In (small) organisations these responsibilities and competences may lie with the same person.

5.4.3 Internal communication *

Top management must ensure that suitable methods of communication are established within the organisation and that communication takes place with respect to the effectiveness of the feed safety system in order to comply with the GMP+ FSA schem.

5.5 Management Review *

5.5.1 General *

Top management must review the feed safety system at least once per year with regard to effectiveness and whether it is possible to comply with the requirements of this standard. This review must also include the examination of opportunities for improvement as well as the need for changes in the feed safety system, including feed safety policy and feed safety objectives.

Records of management reviews must be kept (see section 4.2.4).

5.5.2 Review input *

The input to the management review must include information on:

- a. results of the internal audits (section 8.2) and the verification (section 8.3);
- b. the assessment and evaluation of the suppliers (including hired carriers, airfreightment parties and auditing organisations) (see section 7.11 and 8.3);
- c. results of external audits;
- d. feedback from customers;

- e. status of preventive and corrective measures;
- f. follow-up measures from previous management reviews;
- g. changes which may influence the feed safety system, and
- h. recommendations for improvement.

5.5.3 Review output *

The output of the management review must consist of the exclusions and measures with respect to:

- a. improvement of the effectiveness of the feed safety system;
- b. improvement of the affreightment with respect to the requirements of customers,
and
- c. requirement for resources.

6 Management of resources

6.1 Provision of resources

The participant must establish which resources are needed and ensure that these resources are available

- a. to implement and maintain the feed safety system and continually to improve its effectiveness;
- b. to increase feed safety through compliance with the requirements of customers with respect to feed safety and with the requirements of the GMP+ Feed Safety Assurance scheme.

6.2 Personnel *

6.2.1 General *

Personnel performing work affecting feed safety must be competent on the basis of appropriate education, training, skills and experience.

The participant must have sufficient personnel with the skills and qualifications which are required for the affreightment of animal feeds.

There must also be an organisational chart and a description of the qualifications (for example diplomas, professional experience) and the responsibilities of the supervisory personnel which must be made available to the competent authorities who are tasked with auditing.

The personnel involved in affreightment must be clearly informed in writing of their tasks, responsibilities and authority, especially in the event of changes, to obtain the desired product quality.

Where appropriate, a qualified person responsible for quality control must be designated. See also section 5.4.3.

6.2.2 Competence, awareness and training *

The participant must:

- a. determine the necessary competence for the personnel performing work which influences the achievement of feed safety;
- b. provide training or take other actions to satisfy these needs;
- c. evaluate the effectiveness of the actions taken;
- d. ensure that its personnel are aware of the importance of their activities with respect to feed safety and how they contribute to the achievement of feed safety objectives;
- e. maintain appropriate records of education, training, skills and experience (see section 4.2.4).

6.3 Infrastructure *

The participant must determine, provide and maintain the infrastructure needed for the safe affreightment of animal feed by way of inland waterway transport. Infrastructure includes, as applicable:

- a. working areas and associated facilities;
- b. process equipment (both hardware and software);
- c. supporting services (for example communication).

6.4 Work environment

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6.5 Identification and traceability

The participant will take suitable measures to ensure that the animal feeds freighted by short sea shipping and inland waterway transport can be traced effectively.

The participant will record all the relevant details of the affreightment so that short sea shipping and inland waterway freight can be traced effectively.

N.B. Registration requirements are also stated in sections 7.12.2 and 7.12.3.

7 Process control

7.1 Basic requirements programme *

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7.2 Planning of the realisation of a safe product *

The participant will ensure the introduction, implementation and maintenance of one or more written procedures which are based on the HACCP principles.

These principles are:

- a. the recognition that any hazard which occurs must be eliminated or reduced to an acceptable level;
- b. the establishment of the critical control points in the stage or stages in which control is essential to prevent or eliminate the hazard or to reduce it to an acceptable level;
- c. the establishment of limit values for the critical control points in order to be able to determine what is and is not acceptable with respect to prevention, elimination or reduction of a recognised hazard;
- d. the establishment and use of effective monitoring procedures at critical control points;
- e. the establishment of corrective measures when monitoring indicates that a critical control point is not fully under control;
- f. the establishment of procedures to verify whether the measures taken under a) to e) are complete and function properly. the drawing up of documents and records which are harmonised to the nature and scope of the organisation which show that the measures described in a) to f) have actually been implemented.

The HACCP principle described above have been worked out generically in this standard for the affreightment of short sea shipping and inland waterway transport of animal feeds and has resulted in specific control measures with respect to the registration of previous loads and the carrying out of Loading Compartment Inspections before the loading of animal feeds. See section 7.12.

7.3 Affreightment requirements

7.3.1 Determination of affreightment requirements

The participant must determine the requirements with respect to affreightment.

These are at least:

- a. the relevant requirements laid down in the GMP+ Feed Safety Assurance scheme and the special requirements of customers;
- b. requirements not established in consultation with customers but which are necessary for the correct carrying out of the affreightment;
- c. statutory and regulatory requirements related to the affreightment and
- d. any additional requirements determined by the participant and which relate to the safe affreightment of feed.

7.3.2 Assessment of affreightment requirements

The participant must review the affreightment requirements. This review must be carried out before the participant accepts an affreightment order and must ensure that:

- a. the affreightment requirements have been established (see section 7.3.1);
- b. a solution is found for requirements from the contract or from orders which deviate from requirements which were made earlier, and
- c. the participant has the ability to meet the defined requirements.

Records of the results of the review and actions arising from the review shall be maintained (see section 4.2.4).

Where the affreightment requirements are changed, the participant shall ensure that the relevant documents are amended and that the relevant personnel are made aware of the changed requirements.

7.3.3 Communication with customer *

The participant must establish and implement effective measures for communication with customers with respect to:

- a. information about affreightment;
- b. enquiries, contracts or order handling including amendments, and
- c. feedback to customers.

The participant should have a system in place for the recording and handling of complaints.

7.4 Process information *

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7.5 Hazard analysis *

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7.6 Determination of general and specific control measures *

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7.7 Standards *

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7.8 Monitoring and measuring *

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7.9 Corrective actions *

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7.10 Validation of the HACCP plan *

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7.11 Purchasing

7.11.1 Purchasing process

The participant must ensure that purchased services comply with the requirements of this standard. Hired affreightment parties (subcontracting) should also be certified for this standard.

The participants may only make use of shippers who demonstrably comply with the GMP+ B4.3 *Inland Waterways Transport*

The participants may only make use of audit bodies which are accredited under ISO 17020 with a specialisation in cattle feed / grains or liquid agribulk and/or internationally operating with a recognised certification system such as ISO9001:2000 or equivalent.

The qualification Loading Compartment Inspection (LCI) must, in accordance with the requirements of the GMP+ FSA scheme, be included in the scope of the relevant accreditation or certification.

7.12 Chartering of the Short Sea Shipping and Inland Waterway Transport

7.12.1 Control of affreightment

The participant and/or the customer should draw up a description of the affreightment activities for which they are responsible. If there is any change to the business process then the participant should review the description and the procedures and modify them if necessary.

The participant and/or the customer should, where applicable, have procedures which offer a satisfactory guarantee that:

- a. Acceptance by the carrier, by way of the transport agreement, of an LCI clause in which he makes himself subject to an LCI by the CO or his own loading inspector
- b. Knowledge is gained with respect to the at least the last three prior bulk loads and the cleaning methods used according to the carrier based on LCI reports
- c. The drawing up of criteria with respect to prior loads based on risk assessments if no guidelines have been included in the prior loads list in the GMP+ B4.3 *Inland Waterways Transport*.
- d. The assessment of the means of transport on the basis of previous loads and the cleaning methods used with respect to feed safety in connection with the carrying out of animal feed transport.
- e. LCI data provided to the producer and/or trader who converts this data in a LCI order to the CO or their own loading inspector
- f. The issuing of an instruction to a CO to proceed with a LCI if the affreightment party has accepted the issuing of an order for the LCI in the affreightment contract.

7.12.2 Acceptance of the affreightment order

The participant will have at least a documented procedure for the acceptance of an order for affreightment. The purpose of this procedure is to affreight a means of transport whereby it may be assumed that it is suitable for the carriage of a load of animal feed products from the loading location to the unloading location within the framework of the pursuit of feed safety.

An order for affreightment should contain at least the following elements which must be subscribed to by the affreightment party (via the carrier) and which should be finally confirmed in the LCI data provision or the LCI order:

- a. goods description (nature, type);
- b. loading compartment cleanliness clause: the carrier will in every respect provide clean, empty, dry and odour-free load compartments which are suitable in every way for the loading and transport of the goods to be affreighted.

7.12.3 Affreightment record

The participant will record the affreightment of a means of transport in such a way that the affreightment record contains all the information which is relevant for guaranteeing feed safety.

An affreightment record should contain at least the following elements which must be subscribed to by the carrier when entering into the transport:

- a. name and nature of means of transport, number(s);
- b. nature and number of the loading compartments intended for the load to be transported;
- c. goods description(s) (nature, type);
- d. quantities;
- e. loading compartment cleanliness clause: the carrier will in every respect provide clean, empty, dry and odour-free load compartments which are suitable in every way for the loading and transport of the batch;
- f. nature / name of at least the last three previous cargoes of the means of transport in question or of the load compartments in question on the designation of the means of transport as well as the description of the last cleaning activity carried out on the loading compartments once the vessel is reported ready for the LCI ;
- g. Loading compartment inspection clause.

The LCI will be carried out by "name of the CO or of the own loading inspector".

Location of the LCI (not necessarily the loading location);

The carrier undertakes to be bound by the findings of the inspection. In the event of a nonconformity relating to the suitability of the load compartments, the carrier undertakes immediately to take the necessary measures at the expense of the means of transport to make the loading compartments suitable for loading and to re-offer the means of transport as quickly as possible for a subsequent LCI.

- h. In the event of sub-loads the carrier should immediately report to the affreightment party if the means of transport is or is going to carry non-GMP-assured

other loads in other loading compartments. *The affreightment party should report this to the customer¹*

If a means of transport is reported by the carrier and designated as agri-only, then the means of transport in question should have taken part for an uninterrupted period of at least 6 months in the transport of dry or liquid (bulk)loads, grains and feed materials of vegetable origin.

In addition to the clauses mentioned above, the clauses typically associated with an affreightment must be added.

7.12.4 Issuing order for the LCI

A participant and/or customer should issue a CO or an own loading inspector with the required information for the carrying out of a LCI in a correct and clear fashion. The information provided must be described in such a way that the CO or own loading inspector is able to carry out the LCI correctly, to take necessary precautions and measures and to report the results of the LCI to his customer in a correct manner

A GMP+ B4.2 *Affreightment of Short Sea Shipping and Inland Waterway Transport*-certified customer who himself acts as affreightment party must entrust the LCI to an external CO. The affreightment party may not undertake LCI.

An LCI order must contain, at minimum, the following components, which must be confirmed by the loading inspector upon acceptance of the order:

- a. location of the LCI;
- b. statement that the order is for an LCI within the framework of the GMP+ Feed Safety Assurance Scheme for the Animal Feed Sector;
- c. goods description(s) and quantities;
- d. nature / name / number(s) of the means of transport, possible additional information: owner;
- e. type of means of transport: "agri-only" or general;
- f. number, designation of the loading compartment(s) intended for the batch;
- g. if applicable directions with respect to:
 1. part loads / part stowage
 2. separate stowage / collective loading
- h. At least the last three previous bulk loads;
- i. The principal must be informed of the report of the results of the LCI immediately after it has been completed with a copy to the carrier.

In addition, an LCI order must contain the standard information which will enable a loading inspector to carry out the order forecast date, LCI location, loading location, connection to the loading location, the supplier and the owner of the means of transport and the destination of the batch.

An LCI order may be part of a total order package, but must be identified as such, where necessary with supplementary information with regard to the batch and specific information related to the means of transport.

¹ If a client receives such a report then he should proceed, on the basis of risk assessments, with further analysis of the possible consequences and take proper measures to solve or avoid possible critical points.

7.12.5 Order processing for carrying out LCI

The participant and/or the customer will ensure that the LCI is carried out by the CO or their own loading inspector in accordance with the following requirements. The participant and/or the customer should record how the LCI is to be carried out. This must be made known to the CO or their own loading inspector.

The LCI should comply with at least the following criteria:

- a. visual assessment of loading compartments for suitability for the storage or transport of the goods to be loaded;
- b. the suitability must be tested, among other things, for the following items:
 1. clean, empty, dry, odourless;
 2. absence of any chance of unfriendly elements for the goods to be loaded such as residues from previous loads and/or cleanings;
 3. the absence of insects and vermin (dead or alive);
 4. closable and complete. A visual check must be made to verify if the means of transport protects the goods to be transported sufficiently against effects from other goods to be transported, and furthermore if it is provided with resources to cover the cargo during loading and transport. This does not refer to nautical inspection or inspection of the technical condition, but a visual assessment of the situation;
- c. what to do in the event of the determination of non-conformities;
- d. recording findings;
- e. reporting to the client.

7.12.6 LCI Reporting

The participant will lay down in a contract with his CO that it will report the findings of the LCI in writing to the customer for the LCI² The participant will lay down in a contract with his CO or loading inspector that the findings of the LCI will be reported in writing to the customer for the LCI.

The final result of the LCI can only be a definitive acceptance or rejection of the load compartments. The LCI report must be unambiguous and contain the information which is relevant to the acceptance of the load compartment.

A report of the findings of the LCI should include at least the following elements:

- a. title: Loading Compartments Inspection Report – GMP+ Feed Safety Assurance scheme;
- b. identity of the means of transport;
- c. location of the LCI;
- d. description of the batch;
- e. name of the client;
- f. confirmation of the order description containing the term “GMP+ Feed Safety Assurance scheme for the Animal Feed Sector – Loading Compartments Inspection”;
- g. confirmation that the designated loading compartments have been inspected;
- h. during this inspection it has been established, insofar as could be visually detected, that the loading compartments:

² While the LCI is being carried out, there are various stages of information exchange, especially with regard to the actual state of affairs, possibly detected non-conformity, the measures taken and the particular findings; these so-called types of information exchange do not make up part of the report referred to but belong to the loading inspector's dossier structure

1. are clean, empty, dry, odourless
 2. are free of harmful insects and vermin (dead or alive)
 3. are complete and closable.
- i. If there is a partial batch and an LCI in a 2nd or next loading port and the batch is additionally loaded in an already partly loaded loading compartment, this must be reported as such.
A confirmation must also be given of the visually established condition of the load already in the loading compartment and the planned manner of stowage and/or separation of the batch reported on;
- j. It must be declared, based on the findings, that the cargo compartment(s) is (are) accepted, partially on the basis of the information regarding previous cargoes, as being clean and dry, and suitable for loading with the batch, in this aspect;
- k. Date and time of the LCI (start to finish, if available).

Within the framework of the agreements between clients and audit companies, the findings of the LCI may be part of a general reporting on the total monitoring of the goods flow.

The contracts of affreightment, if they have been drawn up, remain solely within the control and administration of the freighter. The LCI orders and the LCI reports received must be saved in the administration of the client for a term of three years, at minimum.

7.12.7 Corrective actions

The participant must ensure that non-conformities with respect to the requirements of this standard are established. The control and associated responsibilities and competences for dealing with non-conformities must be recorded in a documented procedure.

The participant must deal with non-conformities in one or more of the following manners:

- a. by taking measures to put an end to the observed non-conformity;
- b. by permitting release or acceptance with the approval of the client and/or the relevant authority.

Records of the nature of non-conformities and any measures taken later, including approvals obtained, must be maintained (see section 4.2.4).

If a non-conformity is corrected then there must be verification again of whether there is compliance with the requirements.

This control shall provide for identification, documentation, evaluation, segregation (when practical), disposal of non-conforming products and for notification to the involved parties, both internal and external.

8 Measurement, analysis and improvement

8.1 General

The participant must plan and implement the required monitoring, measurement, analysis and improvement processes in order to:

- a. demonstrate that the affreightment meets the requirements;
- b. ensure that the feed safety system meets the requirements, and
- c. continuously to improve the effectiveness of the feed safety system.

8.2 Internal audit *

The participant must carry out internal audits at planned intervals to determine whether the feed safety system:

- a. conforms to the planned arrangements (see 7.2), to the requirements of this GMP+ FSA standard and to the requirements of the feed safety system established by the participant, and
- b. is effectively implemented and maintained.

An annual (which means a minimum frequency of 1x per 12 months) audit programme shall be planned and implemented in which all parts of the affreightment process will be addressed. Account shall be taken of the results of the previous audits. The audit criteria, scope, frequency and methods shall be established. Selection of the auditors and the conduct of audits shall ensure the objectivity and impartiality of the audits. Auditors shall not audit their own work.

The responsibilities and requirements for planning and conducting audits, and for reporting results and maintaining records (see section 4.2.4), shall be defined in a documented procedure.

The management responsible for the area being audited shall ensure that actions are taken without undue delay to eliminate detected non-conformities and their causes. Follow-up activities shall include the verification of the actions taken. The participant must also record the verification results.

8.3 Analysis of data *

The participant shall collect and analyse data at least once per year to demonstrate the suitability and effectiveness of the feed safety system and to assess whether continuous improvement in the effectiveness of the feed safety system is feasible. This must include monitoring and measurement data from other relevant sources (including internal/external audits, complaints, records, evaluations).

The analysis of the data must provide information with respect to:

- a. compliance with affreightment requirements (see section 7.3.);
- b. developments in affreightment including the possibility of preventive measures, and
- c. the suppliers.

NOTE: The output of this analysis partly forms the input for the management review (see section 5.5.2)

8.4 Improvement *

8.4.1 Continuous improvement *

The participant shall continually improve the effectiveness of the feed safety system through the use of the feed safety policy, feed safety objectives, audit results, analysis of data, corrective and preventive actions and management review.

8.4.2 Corrective measures *

The participant shall take action to eliminate the cause of non-conformities in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the non-conformities encountered.

A documented procedure shall be established to record requirements for:

- a. reviewing non-conformities (including customer complaints);
- b. determining the causes of these non-conformities;
- d. evaluating the need for action to ensure that non-conformities do not recur;
- e. determining and implementing action needed;
- f. records of the results of action taken (see section 4.2.4), and
- g. reviewing corrective action taken.

8.4.3 Preventative action *

The participant shall determine measures to eliminate the causes of potential non-conformities in order to prevent their occurrence. Preventive actions shall be appropriate to the effects of the potential problems.

A documented procedure shall be established to record requirements for:

- a. determining potential non-conformities and their causes;
- b. evaluating the need for action to prevent non-conformities;
- c. determining and implementing action needed;
- d. records of the results of action taken (see section 4.2.4), and
- e. reviewing preventive action taken.

8.4.4 Early warning procedure *

The participant has a documented procedure for the (early) signalling and treatment of signals which indicate that the safety of an animal feed might not match the statutory norms or the norms laid down in the GMP+ Feed Safety Assurance scheme and which might lead to damage to subsequent links in the chain. Signals are assessed on this basis and if desired control measures will be taken to prevent or to control the hazard which has been signalled.

If there is a potential hazard which can not be controlled by the participant in question and which may also cause damage to others then the participant is obliged to work in accordance with GMP+ BA5 *Minimum Requirements EWS*.