



*GMP+ Feed Safety Assurance scheme*

## **Rail Transport Affreightment**

### **GMP+ B4.5**

Version: January 1<sup>st</sup>, 2012

**B**

**4.5**

**EN**

© GMP+ International B.V.

All rights reserved. The information in this publication may be consulted on the screen, downloaded and printed as long as this is done for your own, non-commercial use. For other desired uses, prior written permission should be obtained from the GMP+ International B.V.

Stadhoudersplantsoen 12  
2517 JL The Hague  
The Netherlands

Tel: +31 (0)70 370 86 70  
Fax: +31 (0)70 370 86 71

[info@gmplus.org](mailto:info@gmplus.org)  
[www.gmplus.org](http://www.gmplus.org)

## History of the document

Revision no. / Date of approval	Amendment	Concerns	Final implementation date
0.0 / 09-2010	Transfer of the document from PDV to GMP+ International	Entire document	01-01-2011
	Requirements for ISO 9001:2008 certified control organisation	Section 3	01-01-2011
0.1 / 09-2011	Introduction has been updated	1.1/1.2	01-01-2012
	The last three previous loads (bulk or packaged product) must be mention in the LCI order.	7.12.4, h	01-01-2012

## INDEX

<b>1</b>	<b>INTRODUCTION</b>	<b>5</b>
1.3	SCOPE AND APPLICATION OF THIS STANDARD	6
1.4	THE STRUCTURE OF THIS STANDARD	8
1.5	EXCLUSION OF REQUIREMENTS	8
<b>2</b>	<b>NORMATIVE REFERENCES</b>	<b>9</b>
2.1	GMP+ DOCUMENTS	9
2.2	LEGAL COMPLIANCE	9
<b>3</b>	<b>TERMS AND DEFINITIONS</b>	<b>10</b>
<b>4</b>	<b>FEED SAFETY SYSTEM</b>	<b>11</b>
4.1	REQUIREMENTS FOR THE FEED SAFETY SYSTEM	11
4.2	DOCUMENTATION	11
4.2.1	General	11
<b>5</b>	<b>MANAGEMENT RESPONSIBILITY</b>	<b>12</b>
5.1	MANAGEMENT COMMITMENT	12
5.2	FEED SAFETY POLICY	12
5.3	PLANNING	12
5.4	RESPONSIBILITY, AUTHORITY AND COMMUNICATION ON FEED SAFETY	12
5.5	MANAGEMENT REVIEW	12
<b>6</b>	<b>MANAGEMENT OF RESOURCES</b>	<b>13</b>
6.1	PROVISION OF RESOURCES	13
6.2	PERSONNEL	13
6.3	INFRASTRUCTURE	13
6.4	WORK ENVIRONMENT	13
6.5	IDENTIFICATION AND TRACEABILITY	13
<b>7</b>	<b>PROCESS CONTROL</b>	<b>14</b>
7.1	BASIC REQUIREMENTS PROGRAMME	14
7.2	PLANNING OF THE REALISATION OF A SAFE PRODUCT	14
7.3	REQUIREMENTS FOR THE ANIMAL FEED	14
7.4	PROCESS INFORMATION	14
7.5	HAZARD ANALYSIS	14
7.6	DETERMINATION OF GENERAL AND SPECIFIC CONTROL MEASURES	14
7.7	STANDARDS	14
7.8	MONITORING AND MEASURING	14

7.9	CORRECTIVE ACTIONS	14
7.10	VALIDATION OF THE HACCP PLAN	14
7.11	PURCHASING	15
7.11.1	Purchasing process	15
7.12	AFFREIGHTMENT OF THE RAIL TRANSPORT	15
7.12.1	Control of affreightment	15
7.12.2	Giving the order for chartering	15
7.12.3	Affreightment record	16
7.12.4	Issuing the order for the LCI	16
7.12.5	Order processing for carrying out the LCI	17
7.12.6	LCI Reporting	18
<b>8</b>	<b>MEASUREMENT, ANALYSIS AND IMPROVEMENT</b>	<b>20</b>
8.1	GENERAL	20
8.2	INTERNAL AUDIT	20
8.3	ANALYSIS OF DATA	20
8.4	IMPROVEMENT	20

# 1 Introduction

## 1.1 General

The GMP+ Feed Safety Assurance Scheme (GMP+ FSA scheme) was initiated and developed in 1992 by the Dutch feed industry in response to various more or less serious incidents involving contamination in feed materials. Although it started as a national scheme, it has developed to become an international scheme that is managed by GMP+ International in collaboration with various international stakeholders.

The GMP+ FSA scheme is a complete scheme for the assurance of feed safety in all the links of the feed chain. Demonstrable assurance of feed safety is a 'license to sell' in many countries and markets and participation in the GMP+ FSA scheme can facilitate this excellently.

The basic principle of the GMP+ FSA scheme is that the feed chain is part of the food production chain. Proper quality assurance of feed safety throughout the feed chain has a high priority. It is important that companies take their responsibilities in this respect by responding in a proper and convincing way to the need for safe feed materials in the food production chain.

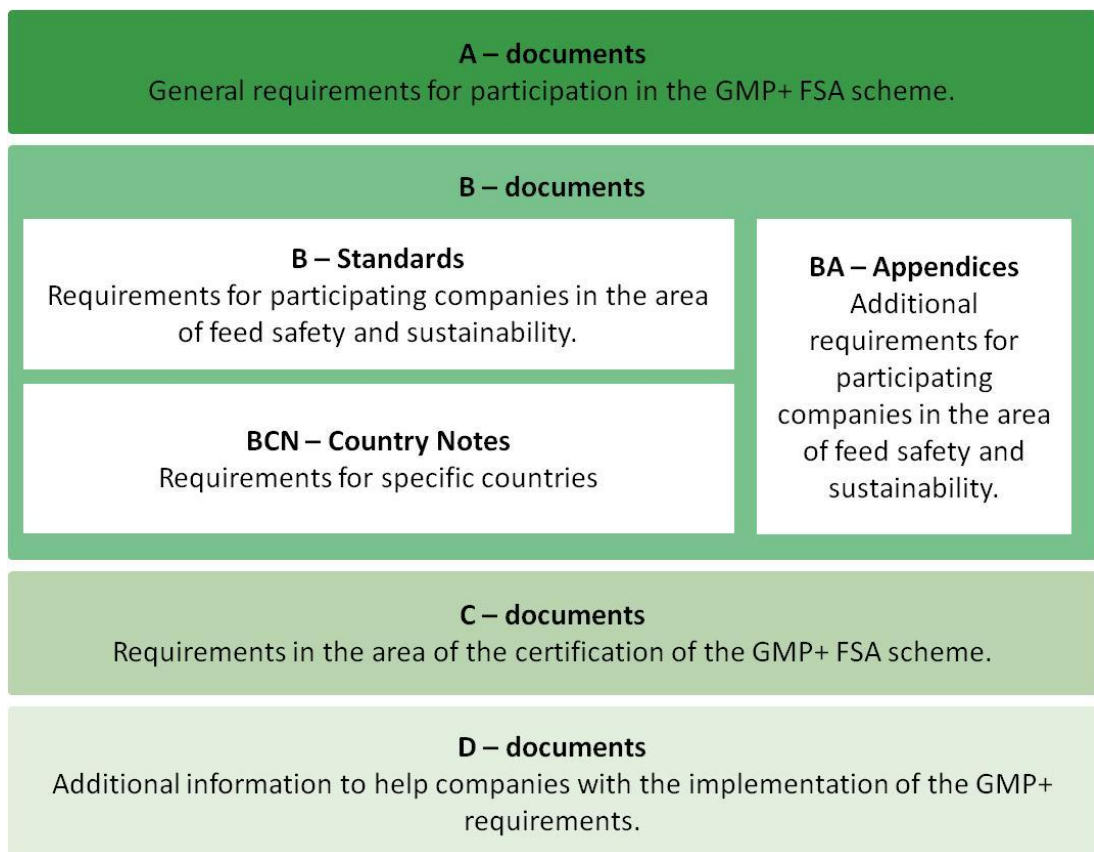
Based on needs in practice, multiple components have been integrated into the GMP+ FSA scheme, such as requirements for the quality management system (ISO 9001), HACCP, product standards, traceability, monitoring, prerequisites programmes, chain approach and the Early Warning System.

Together with the GMP+ partners, GMP+ International transparently sets clear requirements so that feed safety is guaranteed and certification bodies are able to carry out GMP+ certification independently.

GMP+ International supports the GMP+ participants with useful and practical information by way of its various databases, newsletters, Q&A lists and seminars.

## 1.2 Structure of the GMP+ Feed Safety Assurance scheme

The documents within the GMP+ FSA scheme are subdivided into a number of series. The next page shows a schematic representation of the contents of the GMP+ FSA scheme:



All these documents are available via the website of GMP+ International ([www.gmpplus.org](http://www.gmpplus.org)).

This document is referred to as GMP+ B4.5 *Rail Transport Affreightment* 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 GMP+ Feed Safety Assurance scheme of affreightment of rail transport of feed.

By ‘affreightment of rail transport of feed’ is meant: all activities related to the organisation of the affreightment of rail and/or tracked transport, including the commissioning of the affreightment, the selection and acceptance of a wagon (loading compartment), the inspection order, the carrying out of and reporting on the inspection, the approval of the loading compartment and the maintenance of the relevant administration. The physical transportation (loading, carrying and unloading) by rail 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 are covered 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 rail transport affreightment. Other GMP+ standards apply for other forms of transport and physical handling of feed.

Certification is obligatory for GMP+-certified participants who act as the client for rail transport. This standard can only be certified in combination with certification for another GMP+ standard. See the following diagram.

This standard also sets requirements for the execution of the LCI and the LCI reporting. The client of the LCI should demonstrate that the execution of and the reporting on the LCI comply with the requirements of this standard. See the following diagram.

Activity with respect to rail transport	Certification required for this standard?	Additional requirements:
Issuing order for rail transport	Yes, certification for GMP+ B4.5	-
Affreightment in the rail transport	No, not possible	-
Carrying out LCI (audit organisation)	No	ISO 17020 approved audit company, with LCI scope, in accordance with the requirements of GMP+ B4.5, in the scope of the accreditation. See this 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 standard.
Reception of products from rail transport (by GMP+-certified customer)	No	LCI reports, in accordance with the requirements of this standard for all received rail transports should be available or retrievable. Checking by certification body in GMP+ audit.

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.

For exact details is referred to GMP+ C1 *Approval Requirements and Procedure for Certification Bodies*, Appendix 1

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 feed ingredients which are healthy, sound and of normal trading quality.

The participant may not introduce any feed ingredients to the market which represent a danger to the health of humans or animals or to the environment.

#### **1.4 The structure of this standard**

This standard is structured according to 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 rail transport affreightment standard fairly easily.

This standard is a supplement to other GMP+ standards and can only be certified in combination with another GMP+ standard. 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+ B<sub>Axx</sub>), 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 the GMP+ International's website ([www.gmpplus.org](http://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 affreightment activities are in accordance with the applicable legal requirements.

### 3 Terms and definitions

See GMP+ A2 *Definitions and Abbreviations* In addition to the terms and definitions in GMP+ A2, 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 feed and/or feed ingredients of vegetable origin.
Client	The GMP+-certified company which issues the order for the transport by rail which means the manufacturer and/or trader.
CO	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 9001:2008 where the inspection of loading compartments is demonstrable mentioned as a part of the certified scope.
(Own)Loading Inspector	A loading inspector employed by a GMP+-certified applicant. 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 feed.
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.
Carrier	Offering party for transport modality.

## 4 Feed safety system

### 4.1 Requirements for the feed safety system

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

The applicant 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 feed for which the applicant is responsible.
  1. The applicant must specify all affreightments in which he is involved.
  2. The applicant 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 must also be described by the applicant. The applicant must ensure that these activities do not have a negative influence on the safety of the feed.
  4. The applicant is permitted to exclude the affreightment of non-GMP<sup>+</sup>-assured feed from the scope of the feed safety system. This should however be available for checking. The applicant will in his records make a clear and demonstrable distinction between the GMP<sup>+</sup>-assured affreightments and the non-GMP<sup>+</sup>-assured affreightments.
- 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 applicant in accordance with the requirements of this GMP+ standard.

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

### 4.2 Documentation

#### 4.2.1 General

The applicant must 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 must control the specific documents within the framework of the LCI (see sections 7.12.5 and 7.12.6).

## **5 Management responsibility**

### **5.1 Management commitment**

--

### **5.2 Feed safety policy**

--

### **5.3 Planning**

--

### **5.4 Responsibility, authority and communication on feed safety**

--

### **5.5 Management review**

--

## **6 Management of resources**

### **6.1 Provision of resources**

--

### **6.2 Personnel**

--

### **6.3 Infrastructure**

--

### **6.4 Work environment**

--

### **6.5 Identification and traceability**

The applicant will take suitable measures to ensure that the feed freighted by rail transport can be traced effectively.

The applicant will record all the relevant details of the affreightment so that rail transport of animal feed 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**

--

### **7.2 Planning of the realisation of a safe product**

The HACCP principles have been worked out generically in this standard for the affreightment of rail transport of feed and have resulted in specific control measures with respect to the registration of previous loads and the carrying out of a Loading Compartment Inspection before the loading of feed. See section 7.12.

### **7.3 Requirements for the animal feed**

--

### **7.4 Process information**

--

### **7.5 Hazard analysis**

--

### **7.6 Determination of general and specific control measures**

--

### **7.7 Standards**

--

### **7.8 Monitoring and measuring**

--

### **7.9 Corrective actions**

--

### **7.10 Validation of the HACCP plan**

--

## **7.11 Purchasing**

### **7.11.1 Purchasing process**

The applicant may only make use of control organisations which are accredited under ISO 17020 with a specialisation in 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+ standard, be included in the scope of the relevant accreditation or certification.

## **7.12 Affreightment of the rail transport**

### **7.12.1 Control of affreightment**

The applicant should draw up a description of the affreightment activities for which he is responsible. If there is any change to the business process then the applicant should review the description and the procedures and modify them if necessary.

The applicant must have procedures which offer a satisfactory guarantee with respect to:

- 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 previous loads on the basis of risk assessments.
- 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. The issuing of an instruction to a CO or their own loading inspector to proceed with an LCI.

### **7.12.2 Giving the order for chartering**

The applicant must 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 must contain at least the following elements which must be subscribed to via the carrier and which should be finally confirmed in the transport agreement and the LCI data provision or the LCI order:

- a. products 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 products to be affreighted.

### 7.12.3 Affreightment record

The applicant 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. products 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 client<sup>1</sup>.

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 the order for the LCI

The applicant must issue the CO or an own loading inspector with the required information for the carrying out of a LCI in a correct and clear fashion. The informa-

---

<sup>1</sup> 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.

tion 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 client in a correct manner.

A GMP+ B4.5 *Rail Transport Affreightment* 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
- c. products 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 client 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.

#### 7.12.5 Order processing for carrying out the LCI

The applicant will ensure that the LCI is carried out by the CO or their own loading inspector in accordance with the following requirements.

They should record how the LCI should 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 products to be loaded.
- b. the suitability must be tested, among other things, for the following items:
  1. clean, empty, dry, odourless
  2. absence of possible unfriendly elements for the products 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 applicant 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 LCI<sup>2</sup>. The applicant 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” – 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:
  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 a 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.

---

<sup>2</sup> 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

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 control organisations, the findings of the LCI may be part of a general reporting on the total monitoring of the products flow.

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

## **8 Measurement, analysis and improvement**

### **8.1 General**

--

### **8.2 Internal audit**

--

### **8.3 Analysis of data**

--

### **8.4 Improvement**

--