**BUSINESS / SITE INFORMATION**

|  |  |  |  |
| --- | --- | --- | --- |
| **Business / site name:** | | | |
| **Address:** | | | |
| **Crops produced:** | | | |
| **Location of any additional growing / processing / storage sites:** | | | |
| **Intended use of crops / products by customers and end consumer (select applicable response):** | | | |
| Products undergo a **cook process** within a BRC GS or SALSA certified site before sale to consumer | **ALL** | **SOME** | **NONE** |
| Products undergo a **decontamination process (e.g. washing)** within a BRC GS or SALSA certified site before sale to consumer | **ALL** | **SOME** | **NONE** |
| Products are **cooked by the consumer** before consumption | **ALL** | **SOME** | **NONE** |
| Products have an **inedible skin or peel** that is removed before consumption | **ALL** | **SOME** | **NONE** |
| **Record any further processing factors, usage considerations or inherent characteristics which may influence the level of risk present:** | | | |

**RISK ASSESSMENT TEAM**

|  |  |
| --- | --- |
| **RISK ASSESSMENT LEAD** | |
| NAME: | JOB TITLE: |
| EXPERIENCE & SPECIALIST KNOWLEDGE: | |
| RISK ASSESSMENT TRAINING: | |
| **RISK ASSESSMENT TEAM MEMBERS** | |
| NAME: | JOB TITLE: |
| EXPERIENCE / KNOWLEDGE / TRAINING: | |
| NAME: | JOB TITLE: |
| EXPERIENCE / KNOWLEDGE / TRAINING: | |
| NAME: | JOB TITLE: |
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| EXPERIENCE / KNOWLEDGE / TRAINING: | |
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| EXPERIENCE / KNOWLEDGE / TRAINING: | |

**PROCESS FLOW DIAGRAM**

Construct a **Process Flow Diagram** for each type of crop production. Where systems are identical for different crops, one diagram may be used. The template below is provided as an example. It can be modified for use or replaced with an alternative.

**CROPS COVERED:** <add text>

**PRE-REQUISITE PROGRAMMES**

Pre-requisite programmes are a foundation of Good Agricultural Practice (GAP) and Good Hygiene Practice (GHP). These are basic expectations and supporting systems that underpin the safe production of food and help ensure that the Risk Assessment process is effective. Select all that apply to your business and add any additional pre-requisites that are relevant to the list.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **REF** | **PRE-REQUISITE** | **RELEVANT** | | **COMMENT** |
| 1 | Agreements for all service providers and contractors | **YES** | **NO** |  |
| 2 | BASIS / FACTS qualified agronomist | **YES** | **NO** |  |
| 3 | Cleaning/ hygiene programme | **YES** | **NO** |  |
| 4 | Complaint management | **YES** | **NO** |  |
| 5 | Cool chain/ temperature control | **YES** | **NO** |  |
| 6 | COSSH | **YES** | **NO** |  |
| 7 | Health & Safety Policy | **YES** | **NO** |  |
| 8 | Hygiene policy for all food handlers | **YES** | **NO** |  |
| 9 | Integrated Pest Management | **YES** | **NO** |  |
| 10 | Pest control | **YES** | **NO** |  |
| 11 | Planned Preventative Maintenance of equipment and premises | **YES** | **NO** |  |
| 12 | Pollution Prevention Management | **YES** | **NO** |  |
| 13 | Provision of PPE | **YES** | **NO** |  |
| 14 | Qualified spray operators | **YES** | **NO** |  |
| 15 | Record keeping (2 year minimum) | **YES** | **NO** |  |
| 16 | Rented land – field history requirements agreed with landlords | **YES** | **NO** |  |
| 17 | Site housekeeping schedules | **YES** | **NO** |  |
| 18 | Soil Management Plan | **YES** | **NO** |  |
| 19 | Sprayer maintenance and testing | **YES** | **NO** |  |
| 20 | Traceability systems | **YES** | **NO** |  |
| 21 | Transport controls | **YES** | **NO** |  |
| 22 | Water risk assessment/ Red Tractor Water Matrix | **YES** | **NO** |  |
| 23 | Worker supervision and review | **YES** | **NO** |  |
| 24 | Worker training systems | **YES** | **NO** |  |
| 25 |  |  |  |  |
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**HAZARD ANALYSIS**

For each **Process Flow Diagram** completed, identify all **hazards (physical, chemical, microbiological or allergenic)** that could occur at each process stage. Use one line for each hazard identified. Referring to **Annex 1 (Assessing Risk Significance)**, determine the **significance** of risk present. Identify any relevant **pre-requisites** and any **context considerations** that ensure **general control measures** are in place to manage risk. An example is shown for illustrative purposes – the **Hazard Analysis** must be tailored to your own circumstances and multiple pages may be needed to cover all relevant hazards.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **PROCESS STAGE** | **HAZARD** | **HAZARD TYPE** | **LIKELIHOOD** | **SEVERITY** | **RISK SIGNIFICANCE** | **GENERAL CONTROL MEASURES** |
| *Harvest*  (**Example**) | *Contamination of crop by food handlers* | *Microbiological*  *Physical* | *1* | *3* | *Medium* | * *Hygiene policy* * *Return-to-work policy* * *Worker training systems* |
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**HAZARD ANALYSIS**

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| --- | --- | --- | --- | --- | --- | --- |
| **PROCESS STAGE** | **HAZARD** | **HAZARD TYPE** | **LIKELIHOOD** | **SEVERITY** | **RISK SIGNIFICANCE** | **GENERAL CONTROL MEASURES** |
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**PREVENTATIVE ACTION PLAN**

Where **medium** or **high** significance risks are identified in the **Hazard Analysis**, a specific **preventative action** is needed (in addition to pre-requisite programmes) to ensure the risk is being managed effectively. Referring to **Annex 2 (CCP Decision Tree)** determine if any preventative actions need to be managed as a Critical Control Point (CCP). This plan will ensue preventative actions are in place for all medium and high significance risks and monitoring systems and responsibilities are defined.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **PROCESS STAGE** | **HAZARD** | **HAZARD TYPE** | **RISK SIGNIFICANCE** | **CCP** | **PREVENTATIVE ACTION** | **RESPONSIBILITY** |
| *Harvest*  (**Example**) | *PPP residues on crop if harvested before harvest interval has expired* | *Chemical* | *Medium* | *No* | *Harvest interval sign-off procedure* | * *Agronomist* * *Operations Manager* * *Harvest Supervisor* |
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**PREVENTATIVE ACTION PLAN**

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| --- | --- | --- | --- | --- | --- | --- |
| **PROCESS STAGE** | **HAZARD** | **HAZARD TYPE** | **RISK SIGNIFICANCE** | **CCP** | **PREVENTATIVE ACTION** | **RESPONSIBILITY** |
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**CRITICAL CONTROL POINT SUMMARY**

Where the **Preventative Action Plan** identifies that an action should be managed as a **Critical Control Point (CCP)\*** this shall be recorded below. **Critical limits** for CCPs, **monitoring systems**, **corrective actions in the event of a failure of a CCP** and **verification** must also be defined and records kept. A **target** level should also be set where practical to allow for corrective action to be taken if the level of control has declined. All personnel responsible for implementation of a CCP shall receive specific **training** in completing this task.

**\*Please note that many Fresh Produce businesses have no CCPs and – where accurate – this is entirely appropriate**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **CCP No.** | **DESCRIPTION** | **CRITICAL LIMIT/S** | **TARGET** | **MONITORING** | **CORRECTIVE ACTION IN EVENT OF FAILURE** | **VERIFICATION** |
| *1*  (**Example**) | *UV treatment of irrigation water* | *1/ Bulb running hours and water pump running hours are equal (+/- 5%)*  *2/ Turbidity monitor is orange or green* | *1/ Bulb running hours and water pump running hours are equal (+/- 2%)*  *1/ Turbidity monitor is green* | *Checked at start of irrigation and at hourly intervals using document: CCP1 Monitoring Record – UV Treatment.* | *Stop irrigation, inform line manager and implement CCP1: UV Treatment Failure Procedure* | *Pre and post treatment water tested monthly to verify E. coli level on post treatment water is <100 cfu/100ml* |
|  |  |  |  |  |  |  |

**PERSON/S RESPONSIBLE FOR IMPLEMENTATION OF CCP**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **CCP No.** | **DESCRIPTION** | **TRAINING PROVIDED** | **NAME** | **TRAINER** | **DATE** |
| *1*  (**Example**) | *UV treatment of irrigation water* | *Training against following procedures:*  *CCP1: UV Treatment Procedure*  *CCP1: UV Treatment Failure Procedure* | *Dave Smith* | *Michael Brown* | *01.10.21* |
|  |  |  |  |  |  |

**CRITICAL CONTROL POINT SUMMARY**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **CCP No.** | **DESCRIPTION** | **CRITICAL LIMIT/S** | **TARGET** | **MONITORING** | **CORRECTIVE ACTION IN EVENT OF FAILURE** | **VERIFICATION** |
|  |  |  |  |  |  |  |
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**PERSON/S RESPONSIBLE FOR IMPLEMENTATION OF CCP**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **CCP No.** | **DESCRIPTION** | **TRAINING PROVIDED** | **NAME** | **TRAINER** | **DATE** |
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**WATER RISK ASSESSMENT**

A Water Risk Assessment shall be completed for **each water source** used. Risks associated with water may vary based upon source, application method, distribution system and crop type. This assessment is designed to help ensure these factors are considered, situation specific risks are identified and that testing is completed in accordance with the **Red Tractor Water Matrix** and with reference to the highest risk use. Use multiple sheets where there is more than one source.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **NAME OF SOURCE:** | | | | | **TYPE OF WATER SOURCE:** | | |
| **USE** | | **RELEVANT** | | | **RISK CAT (0, 1, 2, 3)** | **DETAIL** | |
| **DIRECT CONTACT WITH EDIBLE PORTION OF CROP** | | **YES** | **NO** | |  |  | |
| **INDIRECT CONTACT WITH EDIBLE PORTION OF CROP** | | **YES** | **NO** | |  |  | |
| **POST-HARVEST USE** | | **YES** | **NO** | |  |  | |
| **PROCESS STEP** | **RISKS** | | | | | | **PREVENTATIVE ACTIONS** |
| **WATER SOURCE** |  | | | | | |  |
| **DISTRIBUTION SYSTEM** |  | | | | | |  |
| **APPLICATION METHOD** |  | | | | | |  |
| **HOLDING TANKS** |  | | | | | |  |
| **MAXIMUM E. COLI LEVEL PERMITTED** | | | |  | | | |
| **TESTING FREQUENCY REQUIRED** | | | |  | | | |
| **HISTORY OF ISSUES / COMMENTS:** | | | | | | | |

**RISK ASSESSMENT REVIEW RECORD**

The Risk Assessment shall be reviewed whenever there is a change in process, products or new information becomes available, indicating a review is needed. **As a minimum, a review is completed annually.**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **DATE:**  **REASON FOR REVIEW:**  **CHAIR OF REVIEW:**  **OTHER PERSONS PRESENT:** | | | | | | | |
| **SECTION** | **REVIEWED** | | | | | **COMMENTS** | |
| **BUSINESS / SITE INFORMATION** | **YES** | **NO** | | **N/A** | |  | |
| **RISK ASSESSMENT TEAM** | **YES** | **NO** | | **N/A** | |  | |
| **PROCESS FLOW** | **YES** | **NO** | | | **N/A** |  | |
| **PRE-REQUISITE PROGRAMME** | **YES** | **NO** | | | **N/A** |  | |
| **HAZARD ANALYSIS** | **YES** | **NO** | | | **N/A** |  | |
| **PREVENTATIVE ACTIONS** | **YES** | **NO** | | | **N/A** |  | |
| **CCP SUMMARY** | **YES** | **NO** | | | **N/A** |  | |
| **WATER RISK ASSESSMENT** | **YES** | **NO** | | | **N/A** |  | |
| **OTHER CONSIDERATIONS** | | | | | | | |
| **COMPLAINTS** | **YES** | **NO** | | | **N/A** |  | |
| **RESULTS FROM TESTING** | **YES** | **NO** | | | **N/A** |  | |
| **OTHER INFORMATION** | **YES** | **NO** | | | **N/A** |  | |
| **ACTIONS AGREED:** | | | | | | | |
| **COMMENTS:** | | | | | | | |
| **SIGNATURE OF CHAIR** | | | **NAME OF CHAIR (PRINT)** | | | | **DATE** |
|  | | |  | | | |  |

**ANNEX 1: ASSESSING RISK SIGNIFICANCE**

**Hazard:** something that has the potential to cause harm

**Risk:** the **likelihood** that a hazard will cause harm and the **severity** of the harm that could occur

Hazard Analysis identifies hazards that are present in the process. The tool below can be used to assess **likelihood** and **severity** and produce an overall **risk significance** rating.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| LIKELIHOOD | 3 |  |  |  |
| 2 |  |  |  |
| 1 |  |  |  |
|  |  | 1 | 2 | 3 |
|  |  | SEVERITY | | |

**SEVERITY**

1 – Low level harm

2 – Medium

3 – Significant harm possible

**LIKLELIHOOD**

1 – Unlikely

2 – Possible

3 – Likely

**RISK SIGNIFICANCE**

2-3: risk significance is **LOW**

4: risk significance is **MEDIUM**

5-6: risk significance is **HIGH**

**ANNEX 2: CRITICAL CONTROL POINT (CCP) DECISION TREE**

This CCP decision tree has been designed specifically for use in a farm setting. A variety of other CCP decision trees are also available, including the **Codex decision tree** and **Campden BRI decision tree**. Select the one that works best for your business.

