WOOLWORTHS LIMITED

WQA

QUALITY ASSURANCE STANDARD

SUPPLIER DEVELOPMENT

Version 1

countdown shop smarter

THOMAS DUX Grocer

Woolworths Australia's fresh food people

Dear Supplier,

Since 1996 Woolworths has operated its own, independently third party audited, Quality Assurance Standard. The standard came into being as WVQMS and has been regularly reviewed along its journey through the conversion into and through the versions of WQA. During the review of each version with the Woolworths business, the Standard is benchmarked against recognised global standards. The latest version of WQA, Version 8, was released in March 2013.

The Woolworths business is continually focused on the Customer. In order to continue delighting our Customers and providing them with new choices we are launching a new Supplier Assurance program specifically for small, new Vendors. This program is designed to be used by small businesses who have been identified as being able to supply specialty, boutique or local products to a small number of Woolworths Limited stores. Food safety and quality are a given for Woolworths, and it is anticipated this Standard will be an accessible, entry level option for eligible Suppliers. This Standard, with its associated audits, intends to offer a pathway for eligible Suppliers to follow either for continued small supply, or as the business grows and the Supplier chooses to increase volume, a stepping stone to becoming a larger Supplier with full WQA certification.

Vendors supplying Woolworths Ltd are expected to maintain certification to the full WQA Standard. The "Supplier Development" Standard is only intended for use by Suppliers who meet the "Supplier Development" criteria. All other Vendors are required to continue to meet the certification requirements of the relevant full WQA Standard. If a Supplier is unsure if they meet the criteria of the Supplier Development program, they should contact the Woolworths Group Quality Assurance team.

The certification process to all versions of the WQA Standard remain ongoing, focusing on continuous improvement.
WQA Certification continues to operate specific to product supplied and manufacturing or processing facility and remains a condition of trade with Woolworths Limited. Scope upgrades and adjustments continue to be required should the scope of supply change.

Woolworths Ltd looks forward to your support of this exciting new initiative and further development of the WQA standard.

Group Quality Assurance Manager

NB: Conditions of Supply
As a condition of supply, Woolworths Ltd requires vendors to comply with their legal obligations in all respects. ***The WQA Standard is not intended to operate as a substitute for the vendor ensuring compliance with all statutory and regulatory product safety, compositional and labeling requirements.*** *By providing this Standard, Woolworths does not release the vendor from their obligation to comply in all respects with all statutory requirements.*

WQA Supplier Development Standard Contents

Scope and Approval to Trade

- **SUPPLIER DEVELOPMENT DEFINITION AND ELIGIBILITY**

A Supplier eligible to participate in the Supplier Development program is a single site business providing Woolworths Ltd with goods and / or services to less than or equal to 30 stores. These suppliers may be new Vendors who have not previously supplied products or services to Woolworths Ltd, or other small businesses where Woolworths have agreed participation in the Supplier Development Standard in order to meet the contractual requirements of the Woolworths business.
Supplier Development is relevant to Australian and / or New Zealand manufactured product supplied under brands owned by the Vendor.
All Vendors, contract packers, manufacturers and brokers supplying Woolworths Ltd brands (own brand) do not qualify to participate in the Supplier Development Standard (exception: Thomas Dux brand, exclusively sold in Thomas Dux stores).
Some Suppliers identified as low risk may be able to meet the requirements of the Supplier Development Standard through independent HACCP certification; however this is subject to written approval by the Woolworths Group QA team.
Eligible Suppliers are required to participate in the WQA Supplier Development Standard; however, upon Woolworths' agreement, Suppliers may choose to obtain certification to the relevant full WQA Food Standard.
Unlike full WQA, the Supplier Development Standard is not a certification standard, and a certificate of compliance will not be issued. Instead, documentation confirming approval to trade will be provided.
Participation in the Woolworths WQA program is by Woolworths' invitation only and no Vendor can formally engage in any part of the WQA audit process without Woolworths' consent.

- **SCOPE OF THE SUPPLIER DEVELOPMENT STANDARD**

The WQA Supplier Development Standard scope covers all Food and Fresh Food (including bulk, serviced products, ingredients and chilled or frozen products) which are produced in Australia and New Zealand for local market.
The scope of audit shall address the products and activities Woolworths deems appropriate for the Suppliers' current supply.

The scope of the quality system required shall cover all aspects of the supply chain managed by the Supplier relating to the Woolworths business. The following shall also be captured by the audit process for manufacturing operations:

- Producing and harvesting (primary production).
- Procurement (including raw materials), receival, inspection, processing, manufacturing, packing and all associated storage, warehousing and transportation at any point in the supply chain.
- Contractors / Packers / Processors engaged in the management of the above activities for products intended to be supplied to Woolworths: Consideration shall be given to these operations regarding their direct involvement with the Supplier Development or full WQA Audit process.

WQA Supplier Development Approval is site and product specific as nominated by Woolworths. The Supplier shall inform Woolworths of any change in business circumstance *e.g. change of address, change of ownership and use of contract packers or manufacturers.*
If a Supplier wishes to supply a new line to Woolworths outside the current scope of the Approval the request for a product scope upgrade shall be directed to the relevant Business Team. If the scope does not meet the Woolworths Supplier Development definition the Vendor shall be required to become certified to the relevant full WQA Food Standard.

- **REGULATORY OBLIGATIONS**

All products and processes are required to be compliant with all current regulations. As determined by Woolworths, Suppliers participating in the Supplier Development program shall be required to achieve and maintain Approval to the Standard in addition to any existing regulatory or voluntary audits that may be currently in place (including import / export protocols where applicable *e.g. importing of ingredient raw materials*).

- **RISK ASSESSMENT AND RELEVANCE**

Policies, procedures and risk assessments shall be developed, documented and implemented **appropriate to the risk** of the product, process, facility and location of manufacture. Records shall be maintained.

Consideration shall be given to the scope, risk and nature of the Supplier's business when interpreting the requirements of the Supplier Development Standard. The Supplier's resources and expertise should be taken into account, however this does not override the Supplier's obligations to supply safe, legal product of a consistent agreed quality.

Policies and procedures shall include all elements of HACCP plans and this Standard. These shall incorporate personnel, premises, surrounds, equipment, services, and any other inputs or outputs which may impact on the safety, quality and legality of the food, service or product being supplied to Woolworths Ltd.

All sections of the Standard (including this section) are relevant unless demonstrated otherwise by the Supplier for their specific circumstances. Where aspects of the Standard are not implemented this should be supported by a documented risk assessment detailing reasons for exclusion.

For further reading, the relevant full WQA Food Standard, How To and Guideline documents may assist the Supplier with further information and / or ideas for consideration when implementing the Supplier Development Standard.

- **AUDIT DATA AND CONFIDENTIALITY**

The process of an audit involves asking questions and gathering information for evaluation. The Supplier is required to facilitate this process and provide access to records and production / storage areas as required. The Auditor is required by their accreditation to maintain confidentiality of any data obtained as a result of the audit. Intellectual Property (IP) of the Supplier's process shall be respected and not used except where required in the audit process.
Audit data is securely stored via a controlled access database, only accessible to authorised staff at Woolworths and at the Certification Body. This includes photography (see below).

- **PHOTOGRAPHY**

Photography is valuable to Woolworths to demonstrate both compliance and non-compliance to the Supplier Development Standard. The Supplier Development Standard requires photography to be taken during audits to show both non-compliant practices and to demonstrate good practices with respect to the Standard. Photography is also a valuable way of demonstrating continuous improvement. Photography should be incorporated into the audit report.

- **SPECIAL AND/OR UNANNOUNCED AUDITS**

The Supplier agrees in advance if at any time Woolworths has concerns their Quality Management System does not comply with the requirements of the Supplier Development Standard, Woolworths, acting reasonably, may direct a Certification Body to carry out a Special Audit. The scope of the Special Audit shall be at the discretion of Woolworths and the cost shall be borne by the Supplier. The scope of a Special Audit may extend to include Ethical Audit requirements if a risk is identified. Special Audits shall be unannounced or announced at Woolworths' discretion and may be conducted by any Certification Body nominated by Woolworths.

1. Company Commitment and Customer Focus

1.1 GENERAL

The business proprietor shall demonstrate their commitment to the effective implementation of the requirements of the Supplier Development Standard and shall provide appropriate resources to meet the requirements of the Standard. This shall include evidence of commitment to product safety, quality and legality of all product supplied to Woolworths Ltd.

The Supplier shall be familiar with all regulatory requirements associated with the specific product supplied. The Supplier shall be able to demonstrate understanding of the relevant regulatory requirements for the industry sector in which they operate.

1.2 MANAGEMENT REVIEWS

- The proprietor (or authorised delegate) should review the quality management system, and the records of internal audits, corrective actions, customer complaints and policy objectives at least 6 monthly. Suppliers who supply less than 12 months of the year should implement an equivalent review schedule.
- Management reviews should include key members of the management team from at least production, technical/quality, logistics and sales/marketing (where applicable). Alternatively it should be demonstrated these functions have been considered to ensure all areas of the business relating to Woolworths are considered.

The procedure should ensure activities are in place to check and establish the effectiveness of the whole Supplier Development Quality Management System. Any problems identified shall be immediately corrected, or a timetable implemented to address the issue. Note: Potential food safety issues shall be resolved prior to product being supplied to Woolworths.

1.3 COMPLAINT HANDLING

The Supplier should have a system for documenting all product complaints. Responses should be available for complaints received. Complaint information may lead to product withdrawal / recall actions if Woolworths believes the product constitutes a safety risk.
The Supplier should have a system in place to assess emerging or historical patterns of complaints received and amend or improve their Quality Systems to prevent further complaints.

2. Quality Management System (Quality Manual)

2.1 GENERAL

The Supplier shall have available access to the current Woolworths Quality Assurance Supplier Development Standard and related documents. The Supplier shall develop, document and implement a Quality Manual with respect to the range of activities on the site as covered by the scope. This manual shall detail or reference procedures explaining how the Supplier complies with all relevant requirements of the Supplier Development Standard. These procedures shall be accessible by relevant staff when needed.

The Supplier should have a system to ensure current information associated with all food safety issues, regulations and technical developments are available, reviewed and implemented where applicable.

The Quality Manual shall include:

- A Quality Policy signed on behalf of the Supplier by the Proprietor or equivalent. This should give details of how the importance of meeting statutory, legal and customer requirements is communicated to staff.
- The business structure and brief job descriptions for all positions which identify responsibilities for product safety, quality and legality.
- A list of all documents required by the Quality Management System. When amends are required, a record of these should be maintained.

The relevant regulations for the specific category shall be identified and documented or be readily available, such as via known internet sites.

Each record requiring confirmation of a task completed should be documented by way of a signature or identifiable initial, not a tick.
The systems implemented shall be included on the internal audit (review) schedule and there shall be procedures for reviewing all documents (including HACCP plans) where any changes occur.

Where records are documented electronically, there shall be a system in place in the event of system failure.

2.2 CHEMICALS AND MATERIAL SAFETY DATA SHEETS (MSDS)

Current MSDS for all cleaning, pest prevention and other chemicals shall be obtained and maintained on site at all times. Records of chemical usage and traceability should be maintained, including type of chemical, application rate and location used.

2.3 INSURANCE

A current certificate evidencing Product and Public Liability Insurance# shall be available as a controlled record.
The value of the insurance shall be suitable for the scale of the business and the product concerned.

#this insurance may not cover costs associated with a recall and this should be discussed with your insurer, product recall insurance is a separate component to this insurance.

2.4 FOOD FRAUD

The Supplier shall identify any potential or known risks to the integrity of the specific product(s) supplied. Examples are adulteration, counterfeiting, mislabeling and dilution of product. Procedures shall be developed and implemented to control any identified risks. These issues are considered critical non-conformances.

3. Process Control (HACCP)

3.1 GENERAL

Suppliers shall develop, document and implement a HACCP Plan(s) which shall:

- Identify potential hazards to food safety and regulatory criteria. It may include quality criteria.
- Put in place effective control measures to identify, eliminate and reduce the hazards to a safe level or to eliminate the hazards.
- Establish documentation concerning all procedures and records appropriate to the HACCP principles and their application.
- Be third party audited by a registered Certification Body and Auditor authorised by Woolworths.

The preliminary steps to the Codex HACCP principles shall be documented covering:

3.2 THE HACCP TEAM

If the Supplier does not have the required expertise to nominate an internal HACCP team, external credible experts shall be sought and used to develop and review the HACCP system. The day to day management of the HACCP Plan remains the responsibility of the Supplier. There shall be at least one person on site for all production who can demonstrate competence in HACCP principles and their application.

3.3 SCOPE

The scope of the HACCP plan shall be defined describing the boundaries of the HACCP study. The HACCP scope shall include the scope of this Standard, as described on page 5.

3.4 PURPOSE

The purpose of the HACCP Plan shall be defined describing the general classes of hazards to be addressed. This shall include product safety and regulatory hazards, and should include quality.

3.5 PRODUCT DESCRIPTION AND INTENDED USE

A document shall be developed identifying the following aspects: (this may group like products and/or processes)

- Description – product or process groups.
- Composition – full ingredient statements or reference to specifications.
- Method of preservation *e.g. heat treatment, refrigeration, water activity, pH, brining.*
- Packaging – primary and secondary.
- Storage, handling and distribution method.
- Shelf life.
- Intended use including sensitive consumers *e.g. ready to eat, cook from frozen etc*
- Special labelling –.any criteria outside Food Standards Code or industry requirements, *e.g.refrigerate after opening, wash before use, etc.*

3.6 FLOW CHART

All major steps in the process shall be identified in a flow chart along with the inputs where they occur. Process inputs may include water, packaging, chemicals, preservatives, re-work and ingredient additions. The flow diagram shall be checked by the HACCP team for accurate representation.

The documentation shall cover the **seven principles of HACCP:**

3.7 PRINCIPLE 1: TO CONDUCT A HAZARD ANALYSIS

This assessment shall be documented and identify all potential regulatory, biological, physical and chemical (including allergen hazards). Quality issues associated with products and processes at each step in the flow diagram should be considered. These hazards shall then be assessed for significance. Whenever a significant hazard is identified, effective control measures shall be developed. Emerging hazards should be considered.

3.8 PRINCIPLE 2: DETERMINE THE CRITICAL CONTROL POINTS

For each significant hazard the Supplier shall determine which of the control measures developed is the critical point for control of the hazard.

3.9 PRINCIPLE 3: ESTABLISH CRITICAL LIMIT(S)

The limits for each food safety or regulatory Critical Control Point (CCP) shall be established and documented. Where quality hazards are considered, these shall also be quantified. Where these limits are not available through industry standards or published research the Supplier shall undertake a validation study to ensure the limits set are controlling the significant hazard. Validation data shall be maintained.

3.10 PRINCIPLE 4: ESTABLISH A SYSTEM TO MONITOR CONTROL OF THE CCP

Procedures for monitoring the CCP shall be developed, documented, implemented and reviewed. These shall include details of what is being measured or monitored, how this is to be carried out, the frequency at which measurements will be undertaken, where the monitoring activity is to be undertaken and who is responsible for monitoring. Monitoring activities shall be undertaken at a frequency such that any deviations can be detected in-line and corrected immediately.
Records of monitoring of CCPs (and quality hazards, where used) shall be maintained and shall be signed by the persons responsible for the monitoring activity and by a responsible reviewing official of the business. These records shall be retrievable.

3.11 PRINCIPLE 5: DEVELOP AND DOCUMENT CORRECTIVE ACTION PROCEDURES

Where monitoring indicates a deviation from critical limits and therefore a particular CCP is not under control, corrective action procedures shall be developed, documented and implemented to bring the process back under control. These procedures shall detail who is responsible for the corrective action. The procedures shall also include disposal of any product affected by the deviation and identify who is responsible for assessing product. Records of both the process correction and product disposal shall be maintained as part of the HACCP records.

3.12 PRINCIPLE 6: ESTABLISH PROCEDURES FOR VALIDATION AND VERIFICATION

These procedures shall confirm the HACCP system is designed and working effectively. The review shall be documented and include the following procedures and activities:

- A schedule of microbiological, chemical, physical and organoleptic testing (as applicable) to confirm CCPs are in control for all products. The schedule shall include the type of testing and the frequency of testing. This will be influenced by the risk nature of the products and processes. Records of all testing shall be maintained.
- A schedule of shelf-life verifications covering microbiological, chemical and organoleptic testing (as applicable). The schedule shall include the type of testing and frequency of testing. Records of all testing shall be maintained.
- A schedule of physical product evaluations against specifications. Methods for assessment, responsibilities and frequency of assessment shall be defined. Records of assessments shall be maintained.
- A schedule for reviewing monitoring and corrective action records.
- A schedule for reviewing customer complaints relating to food safety and quality.
- A schedule for internal audits, to be conducted on an annual basis or equivalent.

3.13 PRINCIPLE 7: RECORD KEEPING

Documentation shall be established concerning all procedures and records appropriate to these principles and their application. Records shall be retained for minimum 5 years.

3.14 HACCP REVIEW

Any changes to process, production or inputs may introduce new hazards or changes to the significance of existing hazards. The HACCP plan shall be reviewed in the event of any changes to establish the significance of these changes. Where changes are significant, the implemented procedures shall be adjusted to maintain control of the CCP.

4. Specifications, Packaging and Labelling

4.1 SPECIFICATIONS

Specifications shall be available for all raw materials used in the process as well as for each finished product. This includes packaging, processing aids, additives, chemicals and intermediate products (work in progress), and contracts for services provided *e.g. transport providers.*
These specifications shall adequately describe the product and its safety and quality parameters and be regularly reviewed *e.g. 12 monthly* unless the supply changes. The Supplier is responsible for all products being supplied to the specification, and for ensuring all materials used are legally permitted to be used in the product being supplied.
All specifications shall be agreed between supplier and purchaser, and demonstrate compliance with food safety and legislative requirements.

4.2 PACKAGING

All packaging used shall comply with legislation, including food contact packaging being minimum food grade. Packaging shall be suitable to protect the product for the duration of its shelf life. Packaging used shall be selected with consideration for minimising any foreign object risks.

4.3 PRODUCT LABELLING

All labelling shall be legible and indelible. Product labelling shall be compliant to regulatory requirements and shall include:

- Product name (prescribed name where required and defined by legislation).
- Ingredient statement.
- Country of origin statement.
- Allergen statement.
- Transport, storage and handling information.
- Information for use, including cooking or reheating instructions.
- Shelf life / traceability statement (best before, use by and / or a batch number as appropriate).
- Nutritional statement (NIP).
- Trade measurement statement (net weight / volume, number of units).

Imported product shall also include a lot code and the name and address of the importer.

The Supplier shall ensure product label information (including information provided for self service product) is regularly reviewed *e.g. 12 monthly* as well as being reviewed if ingredients, process or suppliers change. This should be documented and available on request. Care should be taken with respect to changes in allergen status.

4.4 PRODUCT IDENTIFICATION AND TRACEABILITY

The Supplier shall document and implement procedures effective to ensure all materials are adequately identified and traceable at all times. This includes re-work and packaging.
There shall be effective documented methods for tracing finished product to Woolworths Ltd. *e.g. as required in the event of a product withdrawal or recall.* This should include saleable unit (where relevant) as well as shipper packaging.
There shall be effective documented methods for tracing all materials back to their suppliers.
The effectiveness of the traceability system shall be tested minimum annually.

Procedures shall be documented to ensure product is packed into the correct packaging. This should include procedures for storage of unused packaging.

5. Control of Product

5.1 WASTE CONTROL

Waste and re-work shall be identified at all times. Waste includes process waste, consumables and non-conforming product waste. Dropped product should be considered as waste.
Waste disposal procedures shall meet legislative requirements.
There shall be adequate system for disposal of waste, these systems shall prevent product contamination with waste materials, and shall be secure where the material is unfit for consumption.
Storage containers and facilities shall be available for the collection and disposal of waste materials.
Waste materials shall be frequently removed from site and where specific disposal conditions are required this shall be carried out by an appropriately licensed provider.
Waste storage areas shall be managed to minimise pest activity.

5.2 NON-CONFORMING PRODUCT

Effective documented processes shall control and identify product or materials which are out of specification. This should include the reason for the non-conformance.
Corrective action should be applied where possible; if this leads to the re-use of the material this shall be documented. Preventative action shall be considered to prevent re-occurrences.

5.3 STOCK ROTATION

All materials shall be marked with a date or a date code to enable stock rotation and to prevent material being used out of date.
A "first in – first out" process should be applied to facilitate stock rotation.
Out of date raw materials shall not be used. The shelf life of the finished product shall not exceed the shelf life of the raw materials unless the product has been through an additional process step *e.g. cooking.*

5.4 PREVENTION AND CONTROL OF CROSS-CONTAMINATION

Effective documented procedures shall be developed to control cross contamination of product.
Examples of cross contamination which should be considered include:

- Physical contamination with undeclared ingredients, foreign objects or packaging.
- Chemical contamination with allergens, additives, cleaning, maintenance or pest control chemicals.
- Current Material Safety Data Sheets (MSDS) should be available for all chemicals used.

5.5 CALIBRATION

All equipment used to measure CCPs shall be measured against a known reference and adjusted if found to be outside of an acceptable tolerance *e.g. temperature probes, weigh scales.* Records shall be maintained. Any equipment outside the acceptable tolerance shall be taken out of use.
All equipment requiring calibration should be identified.

5.6 TRADE MEASUREMENT (QUANTITY CONTROL)

The relevant trade measure shall be clearly stated on the product in accordance with legislative requirements. This may be weight or volume, depending on the product.
All individual units shall meet the minimum declared weight on the package. Sample plans shall be implemented to confirm compliance. These sample plans shall include the 12 sample protocol.

5.7 PRODUCT RELEASE

All product produced shall be assessed for compliance to the specification. The assessment frequency and sample size should be defined, based on product risk, complaint levels, historical compliance etc.
All assessments shall be documented.

6. Approved Supplier Program

6.1 SUPPLIER APPROVAL

Vendors should have a documented Approved Supplier Program for all suppliers of product or providers of a service. All materials and services shall comply with all regulatory requirements. Where the HACCP Plan or a risk assessment has identified a potential source of a safety or quality hazard, a control shall be put in place, or an alternative supplier sought.

Processes which should be considered for supplier approval include:

- The volume and inherent safety of the material.
- Frequency of purchase.
- HACCP certification or equivalent.
- Compliance to an independently audited food safety certification program.
- Certificate of analysis of the material purchased.
- Supplier audit.

The supplier approval process should result in a list of suppliers who are approved for use.

6.2 MONITORING INCOMING PURCHASED INPUTS

A monitoring plan should be developed to monitor compliance of incoming goods to the raw material specification.
Methods of assessment should be defined, such as inspection level, type of testing etc.
Temperatures of all potentially hazardous food products shall be recorded at receipt.

Where incoming goods or services do not meet specification, corrective actions shall be documented, and records shall be maintained including the resultant action applied to the affected product.

6.3 ONGOING SUPPLIER PERFORMANCE MONITORING

The vendor should document and implement procedures detailing ongoing review of supplier performance.
Any actions taken as a result of this review shall be documented.

6.4 ANIMAL WELFARE

Woolworths recognises Animal Welfare is an integral part of our corporate responsibility to our customers and therefore is extending our quality system throughout our entire supply chain.
Suppliers are required to maintain compliance to all regulatory and code of practice requirements for animal welfare related to their industry, where relevant.
Animal Welfare criteria shall be considered where a primary processed product from animal materials is being handled.

7. Premises / Facility

7.1 GENERAL

The premises where food is manufactured shall be registered with, and approved by the relevant regulatory authority, where required.
The premises shall be maintained adequately to prevent contamination of safe product. The business shall consider the activities of its neighbours or any other external location factors which may result in product contamination.

7.2 STAFF FACILITIES

Staff facilities shall be provided and sited to avoid contamination after changing into protective clothing. Staff personal effects shall be stored outside the production areas.
Toilet facilities shall be available to meet the needs of the number of people, and shall not open directly to production facilities. Adequate hand washing facilities shall be provided throughout the production facility, including toilet areas.
Staff rest areas shall be provided outside the production areas. A facility shall be provided for smokers and used as permitted by law. Smoking areas shall be located away from production areas.
Suitable signage shall be used to remind all staff of site hygiene rules (pictorial or multi-lingual if necessary).

7.3 EXTERNAL ENVIRONMENT

Premises external areas shall be maintained and adequate drainage shall be in place.
A facility shall be provided for external storage of waste prior to collection if required. Waste storage areas shall be controlled and not present a risk to pest activity.

7.4 INTERNAL ENVIRONMENT

The internal premises shall be fit for purpose and managed so as there is no risk to product contamination or an identified risk shall be effectively controlled. The building shall be constructed from cleanable materials. Drainage shall be provided in wet areas or areas requiring wet cleaning.
Sufficient refrigeration and / or cooling capacity shall be available where relevant for the quantity of product handled.
Where on site laboratories exist, these shall not include pathogen analyses in their test suite. Any pathogen work required shall be contracted off site. Laboratory waste shall be disposed of so it does not become a product contamination risk.

7.5 WATER QUALITY

Water shall be supplied from a reliable source, meeting legal requirements, and be monitored to demonstrate drinking water quality where it is used for hand washing, as an ingredient in a food product, as water, ice or steam or where it is used to clean food contact surfaces.
Potable water shall be used for primary processing operations post harvest wash treatment.

7.6 TRANSPORT AND STORAGE

All transport and storage facilities shall be fit for purpose, maintained in good repair, in a clean and hygienic condition and not pose any contamination risk to product.
A procedure for securing of transport of finished product shall also be developed and implemented.
Where temperature controlled transport is used, documented procedures shall be in place to ensure product temperature requirements are met. Procedures shall be in place to ensure product safety and quality in the case of vehicle or refrigeration equipment breakdown.

7.7 SITE SECURITY

The site shall be secured against unauthorised access. Visitors or contractors should be accompanied.
Any non-manned external storage areas or facilities *e.g. transport trailers, silos, portable cool rooms etc*. shall be locked.

8. Equipment and Maintenance

8.1 EQUIPMENT SUITABILITY, INSTALLATION AND STORAGE

All equipment used for food production or processing shall be suitable for the use in which it is employed, be durable and constructed of appropriate cleanable materials such that the risk of product contamination is minimised.

Equipment shall be used in the way originally designed, any modifications shall be authorised.

Equipment should be designed and sited to allow ease of access for cleaning and maintenance servicing. There should be access to undersides of equipment including at floor level. Equipment should be moveable for cleaning underneath or cleanly and completely sealed to the floor.
All equipment which is out of use shall be stored in a clean condition and in a place to prevent pest activity or other contamination risks. Equipment shall be cleaned prior to use.

8.2 MAINTENANCE PROCEDURES

A system of planned maintenance shall be in place for all items essential for the production or processing of the product, or which impact on food safety, quality or legality.

It shall be recognised effective maintenance reduces the risk of contamination of the product by foreign objects associated with the premises and its equipment. Maintenance systems shall be used to minimise this risk.

Maintenance operations or methods shall not impact food safety or quality or increase the contamination risk of the product. Planned maintenance shall be carried out during times of no production, or outside of production areas.

Production or processing equipment shall be cleaned after maintenance, before use.

Maintenance shall be conducted by trained staff or contractors trained in food safety.

Maintenance storage and workshop areas shall be clean and controlled in an organised manner such that equipment or tools do not add a contamination risk to the product. Maintenance tools shall be clean and in good condition.

Where risk materials are required to be handled, such as glass fittings inside covered lights, this shall be risk assessed and risk mitigation procedures implemented.

9. People

9.1 STAFF PROCEDURES

The staff hygiene rules shall be communicated to and implemented by all people in the facility, including management, visitors, contractors, maintenance. The hygiene rules shall be developed to reduce product contamination risk.
The procedures used for the staff facilities shall take into account minimisation of foreign object risks.

9.2 PROTECTIVE CLOTHING

Protective clothing shall be provided with consideration of protection of the product foremost. Sufficient quantity of clean clothing shall be available to allow for changes minimum daily and whenever soiled. Footwear should be washable in wet production or processing areas. Personal protective equipment (PPE) shall also be provided where these items are required for personal safety. Methods for controlling and cleaning PPE shall be defined.

All scalp hair shall be contained within a disposable hair covering when in production, processing or storage areas. Beard snoods shall be provided where required.
All disposable clothing shall be controlled and durable for the length of time it is worn.
Protective clothing shall be removed prior to visiting the toilet or smoking.

If protective clothing is required to be worn outside, appropriate controls shall be implemented.
Procedures shall be implemented for the effective laundering of protective clothing.

9.3 STAFF HYGIENE

Rules shall be implemented for the wearing of jewellery. Jewellery with stones shall not be permitted where product is being handled or is exposed. Other personal items such as medical alert tags, mobile phones and keys shall also be considered.
Perfume, aftershave or other potentially tainting products shall not be worn or used.
Hand washing shall be carried out prior to handling any food or food contact equipment, when soiled in the course of the job, after visiting the toilet, eating, drinking or smoking or after coughing etc.
Minor cuts and grazes shall be covered by a coloured plastic strip (adhesive dressing) that is issued by the business.
False fingernails, nail polish or excessive cosmetic use shall not be permitted.
The business shall implement a procedure for the notification by any person visiting or working in a production area who has been either directly or indirectly in contact with a communicable disease.
Visitors to the facility shall be briefed on food safety procedures, and their visit documented.

9.4 TRAINING

All staff shall be trained, instructed and supervised in line with the activity being undertaken. This includes induction training prior to starting any work. Temporary staff should be trained prior to commencing duties. Staff should be able to demonstrate competency in their role or job being undertaken.
All employees shall be trained in food allergens and the site procedures for allergen management, where relevant.
All staff responsible for operating or monitoring a CCP shall be trained in the importance of the CCP in relation to the sites HACCP plans, as a minimum.
Training for working with approved chemicals *e.g. cleaning chemicals and pesticides* shall be carried out where required.
All employees shall be trained in the risks of product contamination and prevention procedures implemented.
Training records should be maintained of all staff training.
Refresher training should be carried out where identified necessary through competency assessments and whenever practices are updated.

10. Prevention of Product Contamination

10.1 GENERAL

All products shall be free of contamination by physical contaminants (foreign objects) and chemical contaminants (including unintended allergen contamination). All steps shall be taken to eliminate or reduce the risk of product contamination, including microbiological contamination (where it is not a desired characteristic of the product).
Procedures shall be developed, documented and implemented to control the risk of these contaminants.
The process employed, together with the raw materials, equipment used and process flows shall protect the product as much as possible from contamination; this includes the use of physical or time segregation where cross contamination is a risk, *e.g. Separation of raw and cooked product.*

10.2 ALLERGEN MANAGEMENT

All allergens defined by legislation in the country of sale shall be included in scope. Suppliers should be aware different countries have different definitions of allergens. The scope shall include allergens brought onto site by staff, visitors and contractors. The Supplier shall be aware of all products handled which contain allergens either directly or through cross contact.

Procedures shall be developed to prevent allergen containing products from contaminating non-allergen containing products.
Any equipment which has come into contact with a material containing an allergen shall be fully cleaned before being used for a non-allergen containing product. Physical segregation or dedicated equipment should be used where possible.
Products containing allergens should be produced after non-allergen containing products in a production shift / day. Protective clothing should be changed after handling allergen containing products. Laundering of protective clothing shall remove all traces of allergen.
There shall be a procedure for allergen spills and clean up which prevents contamination of other materials.
Allergen containing products should be stored in dedicated spaces.

10.3 PHYSICAL PRODUCT CONTAMINATION

A list of all items required to be used in processing areas should be developed; and all other items should be eliminated to reduce the risk of contamination.
Procedures for control of glass and plastics shall be developed, documented and implemented.
Soft plastics shall be strong enough for use in the specific process. Methods of the plastic use should reduce the risk of contamination, *e.g. use of contrast coloured products, loose knot bag closures and clean cut opening as opposed to tearing.*
Glass and materials glass like in nature *e.g. Perspex* should be minimised, but if present there shall be a procedure to protect the product if a breakage occurs where a product is or could be placed at risk.
Where the product is packed into glass packaging, specific procedures shall be used to control breakages which occur before the product is safely enclosed in packaging, or breakages which occur during the sealing process.

The use of wood should be eliminated within product processing, production or packing areas wherever possible. Controls shall be implemented where its use is unavoidable.
Control procedures shall be documented and implemented for any food product which is dropped on the floor or other non-food grade or un-sanitised surface. Waste or by-product shall not be allowed to accumulate on the floor or other areas.
Foreign object detection devices such as filters, sieves, magnets, x-ray and metal detectors should be used where a benefit is identified. If detection devices are used, they shall be monitored and shall not be a substitute for good manufacturing practices.

All incidences of actual product contamination shall be logged and procedures or processes improved to prevent future reoccurrences.

11. Cleaning

11.1 CLEANING PROCEDURES AND CHEMICAL USE

Procedures for housekeeping and cleaning shall be implemented, including the requirements for the use of hot water. Cleaning shall be effective and reduce the risk of microbiological and allergen contamination. Cleaning chemicals such as detergents and disinfectants shall be industrial, food grade, fit for purpose and used at the correct dilution. All chemicals shall be identified, securely stored and not present a contamination risk to product.

11.2 CLEANING PROCEDURES AND FREQUENCY

The frequency and depth of cleaning shall be adequate to maintain a clean environment. Cleaning shall include premises, processing and handling equipment, services and equipment used in the cleaning process. Staff responsible for cleaning shall be trained in the methods of cleaning, and also in the prevention of recontamination of clean surfaces.

Ongoing regular cleaning *e.g. dishwashing* shall operate a dirty to clean flow. Clean items shall be stored in a way to prevent recontamination before they are reused in the process.

Separate cleaning equipment shall be used for cleaning food contact and non-food contact surfaces.

Equipment and facilities for utensil and equipment washing shall be adequately segregated from product and storage areas.

The cleaning equipment used e.g. squeegies, shovels, hoses etc shall be maintained in good condition and effectively cleaned on a regular basis.

A record shall be maintained of all cleaning tasks completed.

11.3 VERIFICATION

The cleaning processes shall result in a clean facility and clean equipment.
Prior to production re-commencing, the proprietor or a delegate shall confirm completion of cleaning to the required standard. This inspection shall be documented.

12. Pest Prevention

12.1 GENERAL

The Supplier shall take responsibility for minimising the risk of pest activity on the premises. The scope shall include insects, rodents, birds, stored product insects (SPI) and all other pests relevant to the geographical area and location of the site. The focus shall be on preventing the initial ingress of pests and on effective and prompt control should any issue arise which may present a risk to product.

12.2 PEST PREVENTION PROVIDER

The Supplier shall contract the services of a competent licensed pest control service provider if the appropriate skill is not available within the business. If pest control is managed internally, there shall be evidence of training and competence of the individual(s) responsible. Where a contractor is used, a service contract shall specify the services provided to the Supplier.

12.3 PROOFING

The site and buildings shall be pest proofed to prevent the risk of internal activity. All products shall be stored to minimise the risk of activity.

12.4 MONITORING STATIONS

Pest control products such as bait, electric fly killers and moth traps shall be identified individually and on a site plan and regularly monitored, with levels of activity documented. Recommendations and actions requested by the pest prevention service provider shall be documented and undertaken. Pest control products shall be securely stored and shall not present a contamination risk to products.

12.5 INSPECTION AND REPORTING

Incoming goods shall be inspected for the presence of pest activity.

Staff should be encouraged to report any potential pest sightings or activity.

Woolworths shall be informed if a pest activity or infestation places the product at risk.

13. Validation and Verification

13.1 VALIDATION

Validation processes shall demonstrate the identified CCPs in the process used are suitable and capable of controlling identified hazards at worst case scenario.
E.g. the cook process for short life (less than 10 days) chilled products shall be a minimum "Listeria cook" i.e. 70°C held for 2 minutes minimum. The validation process would demonstrate the product reached the required temperature throughout its core (not the air temperature) and is maintained for the required time when placed in the coldest part of the oven; when the oven is at start of shift (just warmed up) and is fully loaded at maximum capacity. The product tested would need to include the largest piece size used, as it usually follows the bigger pieces cook slower than smaller pieces.

The process used shall be re-validated at a suitable frequency and whenever any changes, no matter how small, are made to the process.

Validation processes should be completed before verification processes can commence. (Validation happens before Verification).

Validation processes shall also be completed where claims are made on packaging *e.g. Gluten free etc.* It is the Supplier's responsibility to validate all packaging claims, however for further guidance please contact the Woolworths Group QA team.
If a product claim cannot be validated, it shall not appear on pack.

13.2 VERIFICATION

Verification processes shall be ongoing, with a schedule documented. The schedule shall be derived from the risk of the product and the results obtained.
Verification processes include:

- Analytical product testing (microbiological, chemical and physical) at occasions throughout shelf life.
- Physical product comparisons to specifications and / or reference samples.
- Analysis of complaints.
- Review of non-conformances and ongoing concerns.

Product should also be assessed for compliance to permitted MRL (Maximum Residue Limits) and any Food Standards Code product requirements.

13.3 RETENTION SAMPLES

A schedule shall be implemented for the retention of production samples up to and over the end of shelf life. These should be used for assessments of product stability and consistency and be available in the event of an investigation of potential safety, quality or regulatory compliance.
Retention samples are in addition to any samples taken for routine product testing and / or evaluations.
All retention samples shall be assessed at end of shelf life against the specification before disposal.

13.4 INTERNAL AUDITS

An annual schedule should be implemented for the assessment of all procedures relating to the implementation of this Standard, including HACCP.
All internal audits should be objective assessments, and shall be documented.

The objective of internal audits shall be to assess compliance and to find ways for continuous system improvement, where practical.

Corrective actions shall be agreed between the responsible staff. Results of corrective action shall be followed up at a suitable frequency agreed with the responsible person.

14. Corrective and Preventative Action

14.1 OPPORTUNITY FOR CORRECTIVE ACTION

The Supplier shall ensure Corrective Action occurs whenever there is a breakdown or failure identified with the product or the Quality Management System. This includes:

- Customer complaints.
- Customer rejection of product.
- Internal rejection of product or downgrades (non-conforming product).
- Non conformances identified through internal, second party or third party audit(s).
- Any issues communicated by suppliers of raw materials or process inputs.

Corrective action is required to be documented in all cases. This shall include a review of the following questions in relation to affected product:

- What went wrong?
- Why did it go wrong?
- What was the impact on the product affected?
- How much product is affected?
- What shall happen to the product affected?
- How has the immediate issue been solved such that subsequent production is not affected?
- Identification of preventative action.

14.2 CORRECTIVE ACTION PROCEDURE

The following should be considered when carrying out corrective action:

- Unsafe product is securely disposed (including secure disposal of packaging).
- Non-conforming product is identified, disposed, downgraded or reworked such that the product becomes within specification and quality is not compromised.
- Decisions regarding product are only made by authorised, trained and accountable personnel.
- Consideration has been given to common product, raw materials, events, equipment and personnel to ensure the scope of the issue has been correctly and fully identified.
- Corrective action is carried out appropriate to the size and scope of the issue identified. This shall include product or material testing where relevant.
- Corrective action is carried out in a timely manner as required by the size and scope of the issue or by the instigating body.
- All corrective action shall be verified before final close out.
- All corrective action shall be closed out.
- Preventative action shall be implemented to avoid a re-occurrence.

14.3 REPORTING

The Woolworths Group QA Team shall be informed of issues regarding product safety, quality or regulatory compliance where other Woolworths' products or Vendors could be affected.

The Supplier is required to undertake any mandatory reporting to regulatory authorities in addition to the above reporting to Woolworths.

Where Woolworths has informed the vendor of a safety, quality or regulatory compliance issue appropriate action shall be implemented and documented. Documentation of all non conformances and corrective action investigations shall be available to Woolworths upon request.

14.4 PRODUCT WITHDRAWAL / RECALL PROCEDURE

The Woolworths Group QA Team shall be informed of issues regarding product safety, quality or regulatory compliance or where appropriate actions include product withdrawal or recall.

The Supplier shall have an appropriate product withdrawal/recall procedure for all products outside the control of the consumer and supplied to Woolworths Limited. This documented procedure shall:

- Require communication to Woolworths of any quality/safety/regulatory issues which may lead to a product withdrawal/recall and advise Woolworths within 60 minutes of the decision to withdraw / recall.
- Differentiate procedures between a withdrawal and a recall (including internal responsibilities, who to contact (both internal and Woolworths (including after hours)), personnel responsible for the investigation, how it is investigated, details of how information is communicated/gathered (including access to online system notification and/or information if applicable), a current list of Customers and Government Authorities and any required subsequent follow-up meetings with Woolworths to review corrective actions and way forward.
- Include a mock recall procedure - all Suppliers shall ensure the recall procedure is in place to effectively demonstrate case scenario, diary, trace back and contacts, by performing a different mock recall at least annually. These are to be internal only and Woolworths shall not be contacted. Records of these mock recalls shall be maintained and be available on request by Woolworths. The mock recall procedure shall be undertaken on a product supplied to Woolworths; and consideration should be given to complexity of the end to end supply chain as part of the mock recall procedure.
- A prior notification process is required to Woolworths QA if any other product or like product, which is supplied by the Vendor (but not supplied to Woolworths) is affected by a recall.

Definitions

ALLERGEN
A material or product when introduced to sensitive populations causes a negative health effect (allergic reaction) to the consumer. These health effects can be potentially life threatening. Product labelling of allergens is mandatory and is defined by the Food Standards Code.

AUDIT
A systematic and independent evaluation against a standard to determine whether specified activities have been implemented. The audit also assesses compliance, and if the activities are suitably designed to achieve food safety / quality / legal objectives.

AUDIT – FIRST PARTY (INTERNAL)
An audit carried out of the businesses' own Quality Management System and associated procedures. It is usually carried out by an employee but may be contracted out if expertise is not available. The main purpose of internal audits is identification of continuous improvement opportunities.

AUDIT - SECOND PARTY (SUPPLIER AUDIT)
An audit carried by or on behalf of a purchasing business of its' raw material suppliers or service providers. The results are shared between the two parties and often form part of the business' approved supplier program.

AUDIT - THIRD PARTY
An audit conducted by an independent auditing company (certification body) to the scope of a published standard.

CERTIFICATION BODY (CB)
An independent third party auditing company. Woolworths approve certain companies to conduct the WQA auditing services. Registered companies within Australia / New Zealand hold JAS-ANZ (Joint Accreditation System of Australia and New Zealand) accreditation.

COMMUNICABLE DISEASE
A disease transmitted through environmental factors such as people, animals, foods or air. Can also be known as an infectious disease.

CORRECTIVE ACTION REQUEST (CAR)
A CAR is issued by the Auditor on behalf of the Certification Body during an audit when a non-compliance is identified in reference to this Standard. Appropriate and effective corrective action is required to be carried out by the Supplier to rectify the non-conformance identified.
This can also be known in the industry as a NCR.

CRITICAL CONTROL POINT (CCP)
A point in the process where loss of control leads to an unacceptable product safety risk.

ETHICAL AUDIT
An audit focusing on compliance to ethical criteria, e.g. child labour, discrimination, disciplinary practices, working hours etc.

FOREIGN OBJECT
Any object which should not be present in the product. These include extrinsic objects such as plastic not associated with the product as well as intrinsic by products of a process not allowed by the specification e.g. bone presence in a boneless meat product.

HAZARD ANALYSIS CRITICAL CONTROL POINT (HACCP)
Codex Alimentarius Commission (CODEX) HACCP: A systematic review of potential hazards in the process undertaken, risk assessing these hazards and applying effective controls at process points crucial for the product safety. The controls are monitored, and all results are documented.

MATERIAL SAFETY DATA SHEET (MSDS)
A specific document for each chemical which identifies any potential risk to human health from exposure and appropriate first aid procedures for treating harmful exposure.

MAXIMUM RESIDUE LIMIT (MRL)
A defined amount of a chemical which is allowed to be present in a food. These levels are prescribed by law, and are considered safe for consumption.

NON-CONFORMANCE
An identified problem which is not in compliance with a standard. Non-conformances may be classified into Critical, Major and Minor depending on their severity. A Non-Conformance resulting from an audit to this Standard results in a critical, major or minor CAR being issued to the Supplier.

NUTRITIONAL INFORMATION PANEL (NIP)
The table of data present on a package of food (or available at point of sale) indicating quantities of certain nutrients e.g. fat, protein, carbohydrate, present in a known quantity of a food product.

ORGANOLEPTIC
The food product characteristics which can be assessed by the senses: Taste, sight, smell and touch.

PATHOGEN(S)
Bacteria, viruses or mould capable of causing harm to human health. Commonly known food pathogens include *Salmonella* and certain species of *Listeria.*

POTABLE WATER
Water of a quality suitable for drinking.

PRIMARY PROCESS
The first stage of process applied to a product from its' original source, where it is grown or reared. The term can refer to grading and washing of produce, meat slaughter and dressing, fish gutting and cleaning etc.

PROCESS INPUT
Also known as a raw material, a process input is any item or service purchased from a supplier which is used in the process. E.g. packaging, ingredients, transport services.

PRODUCT RECALL
Actions taken to recover product from customers which is capable of causing actual or potential harm.

PRODUCT WITHDRAWAL
A temporary or permanent removal of a product from sale. Product affected may be a particular batch or total stock.

PROTECTIVE CLOTHING
Includes protective clothing and equipment supplied by the business for the purpose of protecting the product from contamination and / or the individual from contamination or hazards. Personal Protective Equipment (PPE) is included in the definition of protective clothing, but relates to the items worn for personal safety rather than product protection e.g. ear defenders.

QUALITY MANUAL
A document or group of documents detailing the policies and procedures implemented in a business to achieve it's quality objectives.

QUALITY MANAGEMENT SYSTEM (QMS)
A group of policy and procedure documents which together manage the business' food safety, quality and legality.

QUALITY POLICY
A concise document stating the business' commitment to food safety, quality and legality. The document is authorised by the proprietor or most senior manager.

RE-WORK
Product which is recognised as being out of specification but which is capable of being re-processed or re-graded to a product which does meet its specification.

RISK ASSESSMENT
A documented decision made by the business describing their thoughts and justifications in relation to the perceived adverse outcome in relation to a control point. Where the risk assessment recognises an unacceptable outcome, an effective control is implemented.

RISK NATURE
The inherent safety risk of a product. Some products present a higher risk than others depending on how they are treated by the customer, how they are processed, the form in which they are consumed, and the typical microbiological profile. E.g. mould ripened soft cheese has a higher risk nature than canned beans.

SALEABLE UNIT
The individual unit as presented for self service selection in a store e.g. a bottle of a beverage. Also referred to as a retail pack.

SHELF LIFE
The defined finite period of time during which the product is safe to consume (use by product) or retains its specified quality (best before product).

SHIPPER
The outer packaging (box, crate or similar) which contains a number of smaller packs or individual units which are offered for sale. The shipper is usually used for protecting the product during distribution.

STORED PRODUCT INSECT (SPI)
The group of insects such as weevils, moths and beetles which attack and are capable of survival and reproduction in products commonly stored for extended periods e.g. grain and cereal crops.

SUPPLIER
A business supplying product to Woolworths Ltd, working with the Supplier Development Standard as a means of Supplier Assurance for Woolworths.

TRADE MEASUREMENT
The mark applied via packaging or a label to a retail packed or serviced product declaring the net product weight or volume contained within the package. It may be expressed in grams, millilitres, kilograms etc as appropriate. The net measurement is the product only without any associated packaging. The presence of a trade measurement statement is required by legislation.

VALIDATION
Methods of ensuring the production process undertaken works. Validation is required to demonstrate the process undertaken is capable of achieving its aims under worst case scenario. Validation is in contrast to verification (the terms are different).

VERIFICATION
Verification processes examine the results of a (previously) validated process. Verification assessments are ongoing and demonstrate the process used is actually achieving its aims.

WOOLWORTHS QUALITY ASSURANCE (WQA)
WQA is the term given to the supplier quality management process implemented at Woolworths. Every eligible vendor is audited to a published standard (the WQA Standard).

WORST CASE SCENARIO
The name given to the extreme of possible process variation which would more likely result in process failure. E.g. A produce washing step - the smallest piece size (largest surface area) washed in solution with the lowest concentration of chemical for the shortest time.