



*Dairy Industry Act 1952*

# Dairy HACCP Plan Standard - DRAFT

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## 1.0 Executive Summary

The draft NZFSA Standard D110.2, "Dairy HACCP Plans" specifies the minimum requirements for Dairy HACCP (Hazard Analysis Critical Control Points) Plans to address the requirements of the *Dairy Industry Regulations 1990* for safe and wholesome dairy products.

This draft Standard has been developed over the last 12 to 18 months by an Industry Working Group focussing on Dairy HACCP Plans.

This paper proposes the following:

- The draft D110.2, "Dairy HACCP Plans" be adopted.
- The Standard will recognise the requirements for product sold in New Zealand, product exported and specific market access requirements where appropriate.
- A phase-in period of 12 months from the date of effect (assumed to be April 2003) is provided.

## 2.0 Scope

This paper outlines the background and issues relating to the use of HACCP Plans in the dairy industry.

A HACCP Plan established according to the D110.2, "Dairy HACCP Plans" satisfies the requirements of the *Dairy Industry Regulations 1990* for product safety in relation to the manufacturing process. It is based on the use of the Codex Guidelines for HACCP.

The draft D110.2 defines the HACCP requirements that must be included in or referenced by a dairy manufacturer's PSP.

It is proposed that the draft D110.2 will apply to all dairy product manufacturers and have the same scope as the dairy industry legislation. This means that this Standard will apply to all dairy products:

- unless the product is under the scope of the *Food Act 1981* and its associated regulations and standards, for dairy products sold in New Zealand; or
- the product leaves New Zealand territory (as export).

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<sup>1</sup> "Hazard Analysis Critical Control Points"

## 3.0 Purpose

This discussion document provides background information relating to Dairy HACCP Plans for people who are affected by the changes proposed, or who are interested in the topic.

## 4.0 Proposal

With regards to Dairy HACCP Plans, the following are proposed:

- that the draft Standard D110.2, "Dairy HACCP Plans" be adopted;
- that the draft Standard D110.2, "Dairy HACCP Plans" details Dairy HACCP Plan criteria in order to satisfy the requirements of the *Dairy Industry Act 1952*;
- that this draft Standard comes into force twelve months from date of promulgation.

## 5.0 Draft Standard

Draft NZFSA Standard D110.2, "Dairy HACCP Plans", has been drafted based on the findings and recommendations of this discussion document. Copies of the draft Standard can be obtained from NZFSA's website [www.nzfsa.govt.nz](http://www.nzfsa.govt.nz) or by contacting NZFSA: Dairy and Plant Products Group.

## 6.0 Consultation

The draft Standard is of relevance to dairy product manufacturers, stores and transporters in the New Zealand dairy industry. Internal and external consultation will be conducted according to the NZFSA: Dairy & Plants Consultation Policy. The deadline for public submissions is **24 March 2003**. Guidance for making submissions is provided in Section 12.0 of this document and with the draft Standard.

## 7.0 Risk Assessment

A risk assessment is not required for the purpose of developing this Standard.

## 8.0 Background

### 8.1 History

HACCP is a system adopted by the Codex Alimentarius Commission, involving the systematic identification and assessment of hazards and the measures for their control to ensure the safety of food. It focuses on prevention rather than end product testing. A HACCP Plan applies directly to food manufacturing processes and the principles must be used in the development of all new product safety programs.

As HACCP principles elaborated by Codex are a relatively new concept, there are no references to it in the *Dairy Industry Regulations 1990*.

In 1996, an amendment to the *Food Act 1981* allowed food manufacturers in New Zealand to obtain an exemption from the *Food Hygiene Regulations 1974*, by developing Food Safety Programmes using the principles of HACCP. The scope of the *Animal Products Act 1999*, which is based on the use of HACCP as a component of Risk Management Programmes for industries processing animal products, currently does not include dairy products. As the dairy industry is part of the food industry and processes animal products, the use of a HACCP Plan as part of a Product Safety Programme ensures a consistent approach across all aspects of the food processing industry.

The first version of “Dairy HACCP Plans” Standard (D110.1) was promulgated in 1999. This Standard is based on the Codex document, “Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its Application, Codex Alimentarius”, Supplement to Volume 1B, Annex to CAC/RCP 1-1969, Rev. 3 (1997).

The draft version of D110.2 which is now presented for consultation was developed, by the Industry HACCP Working Group in response to a review of the previous version of this Standard (D110.1).

### 8.2 Current Status

The current “Dairy HACCP Plans” Standard (D110.1) specifies how the Hazard Analysis Critical Control Point (HACCP) principles and guidelines must be used in the development of all new Product Safety Programmes (PSPs).

### 8.3 New Zealand’s Legal Requirements

The *Dairy Industry Act 1952* and *Dairy Industry Regulations 1990* require dairy industry operators to function under a PSP. It is a requirement that a PSP must contain or reference a HACCP Plan(s).

### 8.4 International Standards and Guidelines,

The Codex “General Principles of Food Hygiene” (CAC/RCP 1–1969 Rev 3 1997) recommend a HACCP-based approach as a means to enhance food safety.

The Joint FAO/WHO Food Standards Programme, Codex Committee on Food Hygiene, “Proposed Draft Code of Practice for Milk and Milk Products” (CX/FH 98/5 July 1998) recommends the application of the HACCP principles to control food hazards.

The internationally accepted document on the application of HACCP is the Codex document “Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its Application, Codex Alimentarius”, Supplement to Volume 1B, Annex to CAC/RCP 1-1969, Rev. 3 (1997).

## 8.4 Importing Country Requirements

HACCP is now firmly established worldwide as the foremost means of managing food safety, and implementation of HACCP systems is becoming an important component of safety assurances for food in international trade.

Several countries have mandated (or are considering mandating) HACCP requirements into their national legislation, and are specific in their HACCP requirements for particular sectors of their domestic food industries. There is an obvious expectation that exporting countries will meet the same requirements for internationally traded foods, or endeavour to demonstrate an equivalent programme according to the provisions of the World Trade Organisation, "Sanitary and Phytosanitary (SPS) Agreement". New Zealand is a signatory to this agreement.

In Australia, HACCP became mandatory for meat processing establishments in December 1996. HACCP is currently voluntary for dairy processors.

In Canada the Food Safety Enhancement Program, based on HACCP, was introduced in 1991, with the goal of having voluntary implementation across all federally registered establishments processing agri-food products, including dairy, by October 1996.

In the USA, the Food Safety and Inspection Service and US Department of Agriculture initiated the Pathogen Reduction (HACCP) Systems in July 1997. This required all meat and poultry processing establishments to have a HACCP programme by the end of 2000. The US Food and Drug Administration required a HACCP Programme in all seafood processing establishments, including all imports into the US, by December 1997.

The following emerging trends can be readily identified for foods in international trade:

- reliance on well documented prerequisite programmes which ensure compliance with importing countries' expectations;
- a need for more narrowly focused, scientifically justified and pragmatic HACCP systems that do not merely represent a "translation" of Good Manufacturing Practice requirements;
- integration of HACCP Plans for parts of a food chain with farm-to-table, risk-based, food safety goals;
- establishment of food safety objectives (FSOs) that provide a "target" for achievement of expected food safety goals;
- restriction of critical control points to those that are necessary and validated as achieving FSOs;
- validation of HACCP Plans as achieving FSOs;
- recognition of the urgent need for a framework to judge the equivalence of food control systems in different countries.

## 9.0 Issues

### 9.1 Differences between D110.1, “Dairy HACCP Plans” and draft D110.2, “Dairy HACCP Plans”

The following points have been identified as noteworthy differences between the requirements of D110.1, “Dairy HACCP Plans” and those of the draft D110.2, “Dairy HACCP Plans”.

#### 9.1.1 Requirements for determining Product Safety and Testing

The draft D110.2, “Dairy HACCP Plans” includes requirements for determining product safety sampling and testing. This was previously contained in D109.1, “Dairy Product Conformance”. It is proposed that D109.1 will be revoked with the implementation of D110.2.

There have been many issues with D109 that have led to this proposal. Many of the testing frequencies specified in D109.1 are based on historically accepted sampling frequencies for larger dairy processors, rather than on a HACCP based approach to proof of food safety (or verification of the effectiveness of the HACCP plan). It was felt that the current approach was not in keeping with the true application of HACCP techniques, which includes the requirement for developing a suitable level of finished product testing.

For many operators, especially smaller operators, a meaningful level of testing is better developed as part of the HACCP Plan rather than being specified.

#### 9.1.2 Prerequisite Programmes and other Systems

The draft D110.2 includes the requirement for prerequisite programme(s) and other systems that form part of the HACCP Plan, but do not directly control food safety hazards. The prerequisite programmes, which an operator must have in place before beginning the HACCP Plan, are used to control common hazards that apply across the whole operation.

#### 9.1.3 Product Outcomes

The draft D110.2 introduces the concept of product outcomes. The product outcome is defined as “the expected level of hazard control relating to dairy product resulting from implementation of the Hazard Identification and Analyses or HACCP Plan”. Product outcomes are the level of food safety that the PSP holder aims to achieve as the outcome of the HACCP Plan. These product outcomes should be determined as part of the development of the HACCP Plan, based on the hazards identified in the process, and the level of control achieved by the HACCP Plan. Importing Country Requirements (ICRs) and/or regulatory requirements may influence the product outcomes.

#### 9.1.4 Food Safety Objectives (FSOs)

The draft D110.2 removes the concept of Food Safety Objectives (FSOs). Food Safety Objectives are a government issue, based on the Acceptable Level of Protection (ALOP) for a population for a particular food safety hazard. FSOs are outside the scope of a HACCP Plan.

### **9.1.5 Clarification of difference between “Hazard Identification and Analyses” and “HACCP Plans”**

The draft D110.2 clarifies of the difference between “Hazard Identification and Analyses” and “HACCP Plans”. This clarification recognises that dairy processes covered by a PSP vary widely in complexity and consist of significantly different hazards. The draft Standard D110.2 proposes that the level of development of HACCP Identification and Analysis/HACCP Plans depend on the complexity of the operation and the hazards identified within that operation.

## **9.2 Specialist Manufacturers**

It is acknowledged that developing a HACCP Plan can take considerable time and requires a certain level of technical expertise, which small operations may not have. In The Netherlands, where HACCP has been mandatory since 1995, more than 20 codes of practice have been developed for specific sectors of the dairy industry. NZFSA is currently involved in the development of Codes of Practice for both Ice Cream and Specialist Cheese Makers, respectively.

# **10.0 Implementation**

## **10.1 Mechanism for Implementing**

It is anticipated that compliance with this Standard will be assessed as part of the normal assessment of the PSP in accordance with the compliance dates given in Section 4.0 of this document.

It is anticipated that existing PSP holders will use the routine assessments prior to the compliance dates to identify and initiate the changes required for compliance to D110.2, “Dairy HACCP Plans”.

## **10.2 Changes Required For Implementation**

### **10.2.1 By NZFSA**

To ensure a smooth transition in the implementation of the draft D110.2, “Dairy HACCP Plans”, NZFSA will provide:

- communication with affected parties of issues relating to the implementation of the draft D110.2, “Dairy HACCP Plans”;
- guidance material to assist in compliance with the draft D110.2, “Dairy HACCP Plans”.

### **10.2.2 By Dairy Manufacturers, Stores and Transporters**

These parties will be required to review PSPs to ensure that the requirements of the draft D110.2, “Dairy HACCP Plans” are complied with.

### 10.2.3 By Third Party Agencies (TPAs)

In accordance with the implementation requirements detailed in section 4.0, audit procedures are required to verify that PSPs meet the requirements of the draft D110.2, "Dairy HACCP Plans".

## 11.0 References

- *Dairy Industry Act 1952*
- *Dairy Industry Regulations 1990*
- "Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its Application," Codex Alimentarius, Supplement to Volume 1B. Annex to CAC/RCP 1-1969, Rev.3 (1997) (see [ftp://ftp.fao.org/codex/standard/en/CXP\\_001e.pdf](ftp://ftp.fao.org/codex/standard/en/CXP_001e.pdf))
- "Proposed Draft Code of Practice for Milk and Milk Products," the Joint FAO/WHO Food Standards Programme, Codex Committee on Food Hygiene (CX/FH 98/5, July 1998).

## 12.0 Invitation to Comment

The draft D110.2, "Dairy HACCP Plans" has been prepared by the NZFSA: Dairy and Plant Products Group for comment by the interested parties. The following points may be of assistance in preparing comments:

- Wherever possible, comment should be specific to a particular section of the document. All major sections are numbered and these numbers should be used to link comments to the document.
- Omissions should be clearly and separately indicated.
- Comments should be to the point and, where possible, reasons and data to support comment are requested.
- The use of examples to illustrate particular points is encouraged.
- As a number of copies may be made of your comments, please use good quality type, or make sure the comments are clearly hand-written in black or blue ink.

Please include the following information in your submission:

- the title of the discussion document;
- your name and title (if applicable);
- your contact details;
- your organisation's name (if applicable);

- your address; and
- the number(s) of the sections you are commenting on.

Please note the deadline for submissions, which is **5pm on 24 March 2003**. **Late submissions will not be accepted.**

**Comments should be sent to:**

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