



# **BRITISH ORNAMENTAL PLANT PRODUCERS CERTIFICATION SCHEME**

## **Growing Media Producers Standard**

**Version 1  
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## **INTRODUCTION**

This Standard has been produced to provide retailers and growers with the assurance that the operations of growing media manufacturers meet high standards of quality, safety and service. The British Ornamental Plant Producers (BOPP) scheme has developed the Standard to meet the specific requirements of the Growing Media Association.

The assistance of the Growing Media Association and the Horticultural Trades Association is acknowledged in the funding and establishment of this scheme.

The Standard covers aspects of quality, safety and service that are appropriate for factory operations that may be sourcing raw materials from national or international suppliers.

The Standard is separated into the following main sections:-

- 1) Process and Product Control**
- 2) Customer Considerations**
- 3) Strategic Issues**

In addition to the core Standard annexes have been added to address employment issues and sub-contractor supplier audits.

Each compliance criteria has been categorised as either 'Major' or 'Minor'.

Failure to comply with the criteria categorised as 'Major' would be considered as a major non-conformity. Failure to comply with the criteria categorised as 'Minor' would be considered as a minor non-conformity. See the BOPP Scheme Rules for further details.

## 1.0 **PROCESS AND PRODUCT CONTROL**

### 1.1 **QUALITY MANAGEMENT SYSTEM (QMS)**

COMPLIANCE CRITERIA	MAJOR	MINOR
1.1 <b>Quality Management System</b>	1.1.1 The company shall have a clearly defined, well communicated and regularly reviewed quality policy statement that outlines the company quality ethos and its intentions to meet customer requirements in terms of quality, safety and legality. The policy shall be understood by all key personnel.	
	1.1.2 The Quality Manual shall identify the processes and steps within the business and how these interact. It shall have a clearly defined method for managing quality in each of the identified processes.	
	1.1.3 There shall be documented evidence that the practices described in the Quality Manual are actually carried out. Records shall be legible and there shall be clear procedures for collating, reviewing, storing and retrieving appropriate records. Any amendments shall be appropriately authorised and recorded.	
	1.1.4 There shall be effectively controlled documentation with only current and approved documents in use. Changes to documentation shall be recorded and there shall be procedures in place for replacing obsolete documentation.	
	1.1.5 The Quality Manual shall be easily accessible by key staff.	
	1.1.6 There shall be a clearly defined and documented organisational structure showing jobs, responsibilities and reporting structure. Listed staff shall be aware of their roles and responsibilities within the business including their responsibilities to the QMS. This shall be documented by way of job descriptions.	

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>1.1 Quality Management System continued</b>	1.1.6 continued There shall be procedures in place to cover the absence of staff listed in the organisational structure.	
	1.1.7 There shall be evidence of management commitment to the setting of quality objectives, implementation of these objectives and the monitoring of progress	
	1.1.8 There shall be regular documented reviews of the QMS (including audit results, customer queries, the status of existing procedures and management review minutes) by senior management with a view to continual improvement of the QMS. There shall be evidence that actions from the review have been implemented and that adequate resource is available to do this	
	1.1.9 There shall be a documented process for internal audits with frequency dependent on the level of identified risk. Auditors shall be competent and results shall be disclosed to those affected by the audit. Corrective actions and timescales shall be agreed, documented and signed off.	
		1.1.10 There shall be clear reference as to how the business keeps up-to-date with the new developments and legislation changes affecting their business.

## 1.2 PRODUCT SAFETY

COMPLIANCE CRITERIA	MAJOR	MINOR
1.2.1 Principles of HACCP	1.2.1 The principles of HACCP (Hazard Analysis Critical Control Point) shall be used to develop a system for controlling product safety and quality risk, supported by senior management and understood by key personnel.	
1.2.2 HACCP System	1.2.2 The system shall include:-	
	1.2.2.1 <ul style="list-style-type: none"> <li>• Hazard analysis</li> <li>• The establishment of critical limits</li> <li>• A system to monitor CCPs (Critical Control Points)</li> <li>• Agreement of corrective actions for when CCPs are not controlled</li> <li>• A clear assessment of risk (likely occurrence and severity of hazards)</li> </ul> Therefore the hazard analysis shall contain <ul style="list-style-type: none"> <li>• Raw material controls</li> <li>• Critical control points</li> <li>• Product contents control</li> <li>• Foreign body control points</li> <li>• Final product quality assessment</li> </ul>	
	1.2.2.2 <ul style="list-style-type: none"> <li>• Validation and verification that the HACCP system is working effectively</li> <li>• Appropriate documentation for all the procedures and records developed as part of the HACCP system</li> </ul>	
	1.2.2.3 <ul style="list-style-type: none"> <li>• Specific staff members with responsibility for the HACCP</li> </ul>	
	1.2.2.4 <ul style="list-style-type: none"> <li>• A programme of regular review</li> <li>• Records of conformance, non-conformity and corrective actions</li> </ul>	



COMPLIANCE CRITERIA	MAJOR	MINOR
1.2.2 HACCP System continued	1.2.2.5 The process flow within the factory shall be arranged in a way that prevents product contamination from the surrounding environment	
1.2.3 HACCP review	1.2.3 The HACCP plan shall be developed, reviewed and managed by a cross-section of personnel involved in the factory operation.	

The HACCP plan should be based on the *Codex Alimentarius* HACCP principles (ISBN 92-5-104021-4)

### 1.3 SITE

COMPLIANCE CRITERIA	MAJOR	MINOR
1.3.1 Location	1.3.1 The factory shall be protected from sources of contamination from weed seeds and vermin depending on risk assessment.	
1.3.2 Factory		1.3.2.1 The factory shall be well laid out with enough space for storage and for process operations (including the use of machinery) to be carried out in a safe, hygienic and efficient manner.
		1.3.2.2 Equipment shall be accessible for cleaning and servicing and shall be adequately maintained and serviced. Equipment maintenance operations shall not jeopardise machinery safety or product quality. The risk of product contamination during the cleaning or replacing of light fittings and glass shall be addressed.
		1.3.2.3 The factory building shall be of sound construction with sound walls and roof and a solid sealed floor. The materials used for construction shall be able to be cleaned and shall be kept clean to maintain a safe and hygienic working environment for both staff and product.
		1.3.2.4 The factory shall have adequate, well maintained drainage and waste water shall not be able to accumulate on the floor.

COMPLIANCE CRITERIA	MAJOR	MINOR
<b>1.3.2 Factory continued</b>		
		1.3.2.5 The factory shall have adequate lighting, ventilation and heating that provides comfortable working conditions and ensures product does not deteriorate.
		1.3.2.6 Drinking water supplies suitable for staff shall be clearly marked.
<b>1.3.3 Security</b>		1.3.3.1 There shall be at least one person responsible for site security.
		1.3.3.2 Security procedures shall be such that they avoid supply problems.
		1.3.3.3 All visitors shall be instructed to report to the office, the location of which shall be clearly signed. No visitor shall be allowed access to the factory areas unaccompanied unless agreed by prior arrangement.
		1.3.3.4 Night time security of the factory premises shall be adequate.
		1.3.3.5 Information stored on computers shall be backed up on a regular basis and stored securely.

#### 1.4 HYGIENE AND FOREIGN BODY CONTROL

COMPLIANCE CRITERIA	MAJOR	MINOR
<b>1.4.1 Factory</b>	1.4.1 Cleaning procedures, schedules and monitoring processes shall be in place, with clearly defined responsibilities, to maintain clean premises.	
<b>1.4.2 Vermin</b>	1.4.2 Any pests such as mice, rats, birds and rabbits shall be kept under control using legal methods. This shall either be done by the use of a pest control contractor or trained staff. Any traps and baits shall be clearly signed, inspected regularly and kept covered. There shall be a	

COMPLIANCE CRITERIA	MAJOR	MINOR
<b>1.4.2 Vermin continued</b>	record of the trapping / bait sites and inspections. Any contracts held with a pest control contractor shall be clearly defined and reflect the activities of the factory.	
<b>1.4.3 Glass and other contaminants</b>	1.4.3.1 There shall be clear procedures for managing glass, including the handling of glass or hard plastic breakages.	
	1.4.3.3 Unauthorised glassware shall not be allowed in to production or dispatch areas.	
	1.4.3.4 Broken glass shall be logged and glass removed from the area, along with contaminated product. The log shall state the date and location of the incident, the reason for damage, the degree of contamination and the follow up action taken.	
	1.4.3.5 There shall be procedures for preventing contaminants such as tree roots, concrete etc. from entering the production process	
<b>1.4.4 Knives and scissors</b>	1.4.4.1 There shall be a clear procedure for knife and scissor control.	
	1.4.4.2 All knives and scissors shall be accounted for each day and procedures shall be in place for when one goes missing.	
		1.4.4.3 A metal detection system may be appropriate depending on the hazard analysis / risk assessment.
<b>1.4.5 Delivered product</b>		1.4.5 Product shall be despatched on shrink-wrapped pallets, Intermediate Bulk Carriers (IBCs) or in bulk in covered vehicles as appropriate. Bulk delivery vehicles shall be swept out and visually inspected between deliveries.
<b>1.4.6 Production and packaging materials</b>		1.4.6.1 Raw materials shall ideally be kept in suitable covered storage. Where this is not possible, a full written risk assessment shall be carried out to justify any uncovered storage and action taken to reduce the associated risks.
		1.4.6.2 Packaging shall be stored in a location away from rodent, bird, physical and chemical contamination. Part used packaging shall be adequately covered before being returned to the

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>1.4.6 Production and packaging materials continued</b>		storage area. Where items likely to cause contamination are used then measures shall be in place to prevent product contamination
		1.4.6.3. Reusable containers such as IBCs shall be cleaned (based on a cleaning schedule) to ensure they are free from contamination. Evidence of risk assessment is required.
		1.4.6.4 Water tanks shall be covered.
<b>1.4.7 Visitor arrangements</b>		1.4.7.1 Customers and other visitors shall be encouraged to make appointments so that an appropriate member of staff can accompany them.
		1.4.7.2 The office, reception or contact point shall be clearly indicated, where applicable.
		1.4.7.3 Car Parking shall be available.
<b>1.4.8 Staff arrangements and facilities</b>	1.4.8.1 Staff shall be aware of the hygiene rules and practices, which shall be written down and prominently displayed.	
	1.4.8.2 Where staff need to wear specific clothing (e.g. protective clothing or high visibility jackets) changing facilities and clothing storage shall be provided.	
	1.4.8.3 Smoking, eating and drinking shall only be permitted in appropriately signed areas.	
	1.4.8.4 The company policy on smoking shall be clearly stated, understood and displayed.	
	1.4.8.5 Cuts and grazes on exposed skin shall be covered by a plaster.	
	1.4.8.6 Adequate and clean staff canteen, toilet and washing facilities shall be provided.	
		1.4.8.8 Personal belongings shall be kept in designated staff areas.
		1.4.8.9 Clothing and footwear shall be appropriate for the operations being undertaken in terms of personal and product safety.
		1.4.8.10 There shall be suitable storage facilities for food brought on to the premises by staff.
		1.4.8.12 Where there are staffed canteen facilities there shall be hygiene procedures in place.

## 1.5 PROCESS MONITORING, ROUTINE CHECKING, CALIBRATION AND RECORDING

COMPLIANCE CRITERIA	MAJOR	MINOR
<b>1.5.1 Process monitoring</b>	1.5.1.1 The process control system shall be able to consistently assure the required process and product standard as well as conformity to specification, this shall take into account the demand for product in seasonal peaks.	
	1.5.1.2 The process shall be fully documented and controlled by designated staff.	
	1.5.1.3 Quality control samples shall be taken from every batch of product. Labelled 2 litre samples shall be stored in cool dry conditions for 12 months (for analysis at a later date if required e.g. following customer complaint).	
	1.5.1.4 Monitoring shall involve measurement and recording of pH, electrical conductivity (EC) and moisture content of each batch.	
		1.5.1.5 If customers require extra testing (e.g. for E coli, Salmonella, Listeria) this shall be done per batch.
		1.5.1.6 Any proposed changes to equipment shall be evaluated using HACCP principles.
		1.5.1.7 Processes shall be routinely reviewed.
<b>1.5.2 Calibration and verification</b>	1.5.2.1 Equipment, control systems and alarms used for controlling CCPs shall be routinely calibrated according to risk. This equipment shall be prevented from adjustment by unauthorised staff and protected from damage, deterioration and mis-use.	
	1.5.2.2 Records of calibration, verification, non-conformity and corrective actions shall be kept. Records of calibration shall include dosing equipment which adds fertiliser/lime/pesticides to the bulk ingredients where in-line mixing is used. Tolerances for each item of equipment shall be clearly defined.	

COMPLIANCE CRITERIA	MAJOR	MINOR
<b>1.5.2 Calibration and verification continued</b>		1.5.2.3 Where laboratory analysis is used then laboratories shall be accredited to 'Good Laboratory Practice' (GLP) standards.
		1.5.2.4 Weighing scales and weighbridges shall be tested and certified annually by a competent person or external contractor, with recorded in-house checks at least twice a year.
		1.5.2.5 pH and EC meters shall be calibrated weekly.
	1.5.2.6 Volume measurement shall be in accordance with GMA Code of Practice for Quantity Measurement. Bulk density determination shall comply with BS EN 12580:2000	
<b>1.5.3 Storage conditions</b>	1.5.3.1 There shall be documented standards for storage conditions for raw materials and evidence of monitoring. Bulk materials shall be stored in separate bays.	
	1.5.3.2 Ammonium nitrate fertiliser storage shall comply with HSE guidance. Ammonium nitrate bags shall be stored separately from organic materials such as peat and bark, with a 5 metre gap or fire resistant wall, away from sources of heat and flammable materials and secured to prevent theft.	
	1.5.3.3 If more than 150 tonnes of ammonium nitrate-based fertiliser are stored at the factory the Notification of Installations Handling Hazardous Substances Regulations shall apply and evidence of conformation shall be demonstrated	
	1.5.3.4 Fertilisers shall be stored in accordance with Safety Data Sheets	
		1.5.3.5 Finished product shall be stored for the minimum amount of time where "use by" dates are implicated (CRF use) as per customer or in-house specification.

COMPLIANCE CRITERIA	MAJOR	MINOR
1.5.4 Traceability	<p>1.5.4.1 There shall be a full traceability system throughout the supply chain to include:-</p> <ul style="list-style-type: none"> <li>• Bulk raw ingredients (&gt;10% by volume of any one product)</li> <li>• Fertilisers</li> <li>• Lime</li> <li>• Wetting agents</li> <li>• Pesticides</li> <li>• Bio-stimulants</li> <li>• Other minor ingredients such as loam, grit, sand, perlite</li> </ul> <p>Bulk raw ingredients include: peat, bark, coir, manufactured woodfibre, composted woodfibre, green compost.</p> <p>It shall be possible to demonstrate availability of details of all inputs, where applicable, and all aspects of the traceability system shall be verified.</p>	
	<p>1.5.4.2 For peat the year of harvest and place of origin shall be recorded (peat bog/zone of bog for larger bogs). Green compost used shall comply with PAS100 and a more stringent specification (e.g. WRAP guidelines) shall be used for compost used in growing media products.</p>	
	<p>1.5.4.3 There shall be a traceability label per batch as a minimum. If a batch is divided then each part shall be labelled.</p>	

## 1.6 PRODUCT QUALITY

COMPLIANCE CRITERIA	MAJOR	MINOR
1.6.1 Specifications	1.6.1.1 There shall be a specification for each product manufactured. Where bespoke products are manufactured for professional growers the agreed specification must be reviewed annually with the customer and signed by both parties.	
	1.6.1.2 The specification for a soil improver/mulch product shall include the following: <ul style="list-style-type: none"> <li>• Grade or particle size as appropriate</li> <li>• PH</li> </ul>	
	1.6.1.3 The specification for a topsoil/planting compost shall include: <ul style="list-style-type: none"> <li>• % by volume of each bulk ingredient (&gt;10% of total)</li> <li>• pH and EC</li> </ul>	
	1.6.1.4 The specification for a retail growing medium shall include: <ul style="list-style-type: none"> <li>• % by volume of each bulk ingredient (&gt;10% of total)</li> <li>• % peat by volume if required by customer</li> <li>• pH and EC</li> </ul>	
	1.6.1.5 The specification for a professional growing medium shall include: <ul style="list-style-type: none"> <li>• % by volume of each bulk raw ingredient, including % by volume of each peat grade/type used in the mix and type/grade of bark if used</li> <li>• % by volume of minor ingredients e.g. clay minerals/grit if used</li> <li>• pH of end product</li> <li>• Fertiliser type(s) and rate(s), including details of the controlled release product used if appropriate</li> <li>• Wetting agent name and rate if used</li> <li>• Pesticides name and rate if used</li> <li>• Biostimulant name and rate if used</li> </ul>	



COMPLIANCE CRITERIA	MAJOR	MINOR
1.6.1 Specifications continued	1.6.1.6 The quality of product despatched (including imported product) shall be checked and comply with legal and customer specification requirements. There shall be proof that quality specifications are adhered to.	
1.6.2 Supplier approval and goods intake	1.6.2.1 Existing suppliers of bulk raw materials that constitute more than 10% of the content of any finished product shall be inspected every 3 years and new suppliers inspected as they are brought on stream. Supplier audit form shall be used for external suppliers and internal audit form for material supplied from the company's own resources.	
	1.6.2.2 The self-assessment and audit report sheets shall be available for inspection. Supplier auditing is not required where sub-contractors are certificated to BOPP or an RHP benchmarked scheme. Where specific customer requirements exceed this then there shall be evidence of the further auditing requested.	
	1.6.2.3 The Company shall have clear procedures in place for assessing the ethical trading standards of suppliers contributing more than 10% of the content of the finished product. This shall be via a process of risk assessment, using a supplier self-assessment audit. This shall be based on the Ethical Trade Initiative Base Code, as a minimum, and verified within 3 years either by a third party audit or by an audit from the factory. Where specific customer requirements exceed this then there shall be evidence of the further auditing requested.	
	1.6.2.4 There shall be clear specifications for bought-in raw materials (e.g. bulk materials, fertilisers, packaging) used in the factory.	
	1.6.2.5 There shall be evidence that the supplier is aware of the specification of the product that they are supplying.	
	1.6.2.6 Authorised staff shall follow a documented	

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>1.6.2 Supplier approval and goods intake continued</b>	goods intake procedure and check incoming product against the specification before receiving the product into the factory. Raw materials shall be inspected for weed contamination and quality and there shall be recording procedures signed for by the member of staff responsible, within an agreed time from point of receipt. Records shall be available for inspection. Where it is not possible to check all product then a statistically based sampling system shall be used.	
	1.6.2.7 Product deemed to be 'out of specification' at goods intake shall be clearly identified and kept separate from other raw materials.	
<b>1.6.3 Stock Rotation</b>		1.6.3 The factory shall be able to demonstrate good stock rotation practice through the use of receipt documents and / or product labelling for all products. Where there is any doubt about the quality of the product procedures shall be in place for the product to be inspected by an independent expert and a short report produced.
<b>1.6.4 New product development</b>		1.6.4 New products shall be checked throughout the product development process to ensure that they comply with any legal requirements and that they meet acceptable performance, quality and safety (using hazard analysis) levels for the end user. This shall be documented.

## **2.0 CUSTOMER CONSIDERATIONS**

### **2.1 LABELLING**

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>2.1.1 Traceability labelling</b>	2.1.1.1 This is required for traceability procedures and shall be the means whereby all relevant production information can be traced for each batch manufactured.	
	2.1.1.2 All 'human readable' parts of the label shall be checked against the specification and evidence	

COMPLIANCE CRITERIA	MAJOR	MINOR
<b>2.1.1 Traceability labelling continued</b>	shall be available to show this is carried out. Barcodes shall be scanned and verified. A print-out of the barcode shall be checked against the specification.	
<b>2.1.2 Consumer labelling</b>	2.1.2 This is intended for retail customers and shall be accurate, whether generic or specific, and shall have a minimum of one label per unit sold. Labelling shall give all appropriate safety information and product ingredients, where applicable.	
<b>2.1.3 Professional user labelling</b>	2.1.3 This is intended for products for professional use. Information shall be accurate, whether generic or specific, and shall have a minimum of one label per unit. Labelling shall give all appropriate safety information and product ingredients, where applicable. There shall be procedures in place for ensuring similar information is available for bulk deliveries.	

## 2.2 TRANSPORT

COMPLIANCE CRITERIA	MAJOR	MINOR
There shall be written procedures in place to cover the following:-		
<b>2.2.1 Third party transport and own transport</b>		2.2.1 It shall be the responsibility of the factory to ensure that the product arrives at the customer's designated site in good condition, and there shall be adequate insurance arrangements.
<b>2.2.2 Delivery records and invoicing</b>		2.2.2.1 There shall be positive written release of 'made up' orders from the factory to avoid incomplete orders being despatched.
		2.2.2.2 Each delivery shall be accompanied by a delivery note. This shall include a detailed description of the load and transport used, along with details on the dates of loading and delivery and numbers of pallets, IBCs etc. There shall be space on the form for the driver and the customer to write any comments.

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>2.2.2 Delivery records and invoicing continued</b>		2.2.2.3 Appropriate invoicing procedures shall be in place. Invoices shall tie in with delivery notes.
<b>2.2.3 Delivery conditions</b>		2.2.3 Bulk loads shall be covered.

## **2.3 CUSTOMER QUERIES**

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>2.3.1 Complaints policy</b>	2.3.1.1 There shall be a written complaints policy, with nominated staff who are responsible for ensuring the policy and procedures are carried out.	
	2.3.1.2 All complaints and actions taken shall be recorded.	
<b>2.3.2 Query / complaint procedures</b>		2.3.2.1 Nominated personnel shall be available to deal with verbal or written / electronic queries or Complaints. Out-of-hours procedures shall be in place.
		2.3.2.2 Complaints shall be acknowledged within 24 hours of their receipt and the customer given a date when the supplier will report back.
<b>2.3.3 Complaint review</b>		2.3.3 The company shall demonstrate that they regularly discuss the outcome of all complaints received and modify practices if necessary.
<b>2.3.4 Out of specification product</b>		2.3.4.1 There shall be a written policy regarding credits and out of specification products. There shall be designated responsibility for returned product. This shall include customer returns and internal rejects.
		2.3.4.2 Corrective actions shall be implemented to avoid recurrence of the problem leading to the returns. Action shall be taken and documented.
<b>2.3.5 Serious incidents</b>		2.3.5.1 There shall be clear guidelines in place for personnel as to what type of event constitutes a 'serious incident' and a clear procedure in place to deal with such incidents.

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
		2.3.5.2 There shall be clear procedures in place to deal with major product recalls that may result in injury or illness to the end customer or customer's property.
		2.3.5.3 Where appropriate, customers shall be provided with 24-hour telephone numbers of staff that can be contacted in the event of a serious incident.

## **2.4 TRADING CONDITIONS**

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>2.4.1 Insurance</b>		2.4.1.1 Each factory shall take out Public Indemnity Insurance.
		2.4.1.2 There shall be documented crisis management / contingency plan in the event of a major loss e.g. factory damage or major product loss due to equipment failure. This shall include:- a) Insurance, where considered viable b) Procedure for identifying and contacting potential alternative suppliers who could meet customer requirements c) Procedures for instituting repairs, rebuilding etc. d) Procedures for providing additional facilities at short notice
<b>2.4.2 Terms and conditions</b>		2.4.2.1 The terms and conditions under which the company trades shall be supplied to all suppliers.
		2.4.2.2 Where applicable, terms and conditions shall be supplied and agreed with customers.

## 3.0 STRATEGIC ISSUES

### 3.1 HEALTH AND SAFETY

COMPLIANCE CRITERIA	MAJOR	MINOR
3.1.1 COSHH assessment	3.1.1.1 All operations shall be assessed for potential hazardous substances and appropriate control measures put into place. Special measures shall be in place to minimise dust hazards.	
	3.1.1.2 Storage and handling of all fertilisers and pesticides shall comply with all relevant regulations and instructions on Product Safety Data Sheets.	
	3.1.1.3 A written copy of the assessment shall be readily available to all staff.	
	3.1.1.4 The assessment shall be reviewed on an annual basis.	
3.1.2 Health and safety policy and assessment	<p><b>3.1.2</b></p> <p><b>a) Policy</b> There shall be a written Health and Safety policy. It shall state management's attitude to health and safety matters and indicate how the business is organised to address the issue.</p> <p><b>b) Assessment</b> Specific risks shall be assessed including:- manual handling (i.e. bagged materials); working with machinery; forklift use; vehicle movements; electrical maintenance; staff hygiene. The assessment shall be reviewed on an annual basis.</p>	
3.1.3 First Aid	3.1.3.1 The business shall have a nominated person to take charge in an emergency.	
	3.1.3.2 An adequate number of trained first aiders must be available based on a risk assessment of the business. E.g. a 'medium risk' business employing 20 to 100 staff, the recommended ratio is one first aider for every 50 staff employed.	
	3.1.3.3 First aiders shall have received the correct	

COMPLIANCE CRITERIA	MAJOR	MINOR
<b>3.1.3 First Aid continued</b>	HSE approved training and possess a valid 'first aid at work' certificate.	
	3.1.3.4 A trained first aider shall be available to all staff at all times.	
	3.1.3.5 An adequate number of first aid boxes shall be available and notices shall be put up informing staff where the first aid box (es) is / are located and the appointed first aider (s).	
	3.1.3.6 Accident and emergency procedures shall be displayed and understood by all employees and a first aid book shall accurately record all accidents.	

### 3.2 ENVIRONMENTAL POLICIES

COMPLIANCE CRITERIA	MAJOR	MINOR
	The business shall have an environmental policy and practise efficient resource management for both environmental and commercial reasons.	
<b>3.2.1 Environmental Codes of Practice</b>	3.2.1 Manufacturers shall, where appropriate, comply with the GMA Environmental Code of Practice and FSC codes or standards. Latest versions shall be readily available to staff.	
<b>3.2.2 Peat and its alternatives</b>	3.2.2.1 Peat shall be sourced from non-SSSI sites. Written evidence of this shall be required.	
	3.2.2.2 Peat shall be extracted only from sites that are subject to up-to-date planning permissions (reviewed under the Renewal of Old Minerals Permissions [ROMPS] process in the UK).	
	3.2.2.3 Peat shall be extracted only from sites with an agreed environmentally sound and socially responsible after-use plan.	
	3.2.2.4 Peat shall be extracted only from sites operated to protect un-worked adjacent peat areas and to maintain water tables to enable them to act as refuges for peatland flora and fauna.	
	3.2.2.5 Sites shall be operated to leave a layer of peat of at least 50cm on worked areas to facilitate	

COMPLIANCE CRITERIA	MAJOR	MINOR
<b>3.2.2 Peat and its alternatives continued</b>	the re-establishment of bog flora and fauna.	
		3.2.2.6 Reasonable alternative materials shall be trialed and customers informed of cultural, environmental and financial implications of their use.
<b>3.2.3 Energy use</b>		3.2.3.1 The factory shall have completed an energy audit in order to demonstrate an understanding of energy use and to develop an action plan to improve efficiency. Areas to be assessed shall include the following :- Review of current fuel usage (electricity, oil, gas etc.) Maintenance of plant and machinery. Insulation of buildings. Road transport vehicles used in the UK.
<b>3.2.4 Environmental pollution</b>		3.2.3.2 The audit shall be reviewed annually. 3.2.4.1 A pollution audit shall be carried out to assess the impact of the business on the local environment e.g. light, pollution, noise, smoke, dust, etc. and peat extraction if appropriate.
<b>3.2.5 Recycling</b>	3.2.5.1 Businesses who are part of the packaging chain, have an annual turnover greater than £2 million and handle more than 50 tonnes of obligated packaging, material shall conform to The Producer Responsibility Obligations (Packaging Waste) Regulations 1997.	3.2.4.2 The audit shall be reviewed annually.
		3.2.5.2 Recycled and recyclable materials shall be used, where possible.
		3.2.5.3 Waste material e.g. plastic (hard plastics and films), cardboard and metal shall be recycled wherever possible.
<b>3.2.6 Waste and waste disposal</b>	3.2.6.1 General waste that cannot be recycled shall be regularly disposed of into licensed tips. The duty of care shall be legally passed to the contractor.	
		3.2.6.2 Composting on site of materials designated as waste shall be licensed by the Environment Agency.



<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>3.2.6 Waste and waste disposal continued</b>		3.2.6.3 A waste audit shall be carried out to document all possible waste products. This shall include a plan for reducing wastage and evidence that actions have been carried out.
		3.2.6.4 The audit shall be reviewed annually.

### **3.3 STAFF TRAINING AND EMPLOYMENT REQUIREMENTS**

<b>COMPLIANCE CRITERIA</b>	<b>MAJOR</b>	<b>MINOR</b>
<b>3.3.1 Staff training and appraisals</b>		3.3.1.1 The business shall have a written training policy and procedures programme and shall keep training records.
		3.3.1.2 All staff shall be given training, as appropriate, to carry out their tasks and staff shall be physically and mentally capable of carrying out their allocated tasks.
		3.3.1.3 Formal on-going training shall be given to staff operating dangerous or complex equipment. Training can be both in-house or external.
		3.3.1.4 Reviews or appraisals shall be carried out for key members of staff on a regular basis.
		3.3.1.5 Where temporary staff and contractors are employed this shall be from a named agency with agency responsibilities clearly defined in a contract.

**ANNEX I**

The following compliance criteria are designed to give an indication only of how the business covers employment requirements. It is NOT an Ethical Audit and should not be treated as such. Businesses are encouraged to have an independent Third Party Ethical Audit.

COMPLIANCE CRITERIA	MAJOR	MINOR
<p><b>3.3.2 Employment legislation</b>            There is a wide range of employment legislation that impacts upon recruitment and the way people are managed during employment.</p> <p>Some legislation will depend on the number of people employed by the business and on the length of service of the employee.</p>		
	<p>3.3.2.1 At least one person shall be assigned to deal with human resource issues and given the facility to obtain professional advice when required.</p>	
	<p>3.3.2.2 The current legislation which shall be taken into account includes:-</p> <ul style="list-style-type: none"> <li>a) Equal Opportunities legislation during recruitment and employment (including:- The Sex Discrimination Act, The Race Discrimination Act and The Disability Discrimination Act)</li> <li>b) Working Time Regulations</li> <li>c) National Minimum Wage</li> <li>d) Employment Relations Act</li> <li>e) Human Rights Act</li> <li>f) Asylum and Immigration Act</li> <li>g) Equal Pay Act</li> <li>h) Part-time Workers Regulations</li> <li>i) Stakeholders Pensions (for businesses with 5 or more employees)</li> <li>j) Rehabilitation of Offenders Act</li> <li>k) Health and Safety legislation</li> </ul>	
	<p>3.3.2.3 Evidence of compliance shall be available.</p>	

COMPLIANCE CRITERIA	MAJOR	MINOR
3.3.3 Employment documentation	3.3.3.1 <b>Statutory requirements</b> All staff shall receive a Statement of Particulars of Employment within 8 weeks of commencing employment, the statement shall be signed by both the employer and employee.	
	3.3.3.2 All staff shall receive an itemised pay slip.	
	3.3.3.3 A record shall be kept of all staff that work over 48 hours per week. It is advisable that these members of staff shall be asked to sign a Working Time Directive 'Opt-out' form.	
	3.3.3.4 If 20 or more staff are employed a disciplinary policy and procedure shall be in place.	
	3.3.3.5 If 5 or more staff are employed provision for stakeholder pensions shall be in place.	
	3.3.3.6 An employer shall ensure that all workers are legally entitled to work in the UK.	
		3.3.3.7 <b>Good practice</b> A policy covering the following areas shall be in place:- a) Recruitment / Development b) Induction c) Staff training d) Staff appraisal e) Absence f) Discipline (if less than 20 employees) g) Redundancy

#### 4.0 USEFUL SOURCES OF INFORMATION

Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its application. Published in Codex Alimentarius Food Hygiene Basic Texts, ISBN 92-5-104021-4.

Pesticides: Code of Practice for Using Plant Protection Products. Available from DEFRA Publications or on Defra and PSD websites.

Codes of Good Agricultural Practice for the Protection of Air (The Air Code 1998), Water (The Water Code 1998), and Soil (The Soil Code 1998). All available from DEFRA Publications.

The UK Pesticide Guide. Published annually by CABI Publishing and BCPC.

Essentials of Health and Safety at Work. HSE Books. ISBN 0-7176-0716-X.

First Aid at Work, your questions answered. HSE Leaflet IND(G)214L 3/97 C500.

Control of Substances Hazardous to Health Regulations 2002. Approved Code of Practice. HSE Books. ISBN 0-11-042919-2.

The Producer Responsibility Obligations (Packaging Waste) Regulations amended 2002. Available from DEFRA Publications.

GMA Environmental Code and GMA Code of Practice for Quantity Measurement. Available on GMA website – [www.growing-media.org.uk](http://www.growing-media.org.uk)

Wise Use of Mires and Peatlands. Available on [www.mirewiseuse.com](http://www.mirewiseuse.com)

Forest Stewardship Council. [www.fsc.org](http://www.fsc.org)

**ANNEX II****External Supplier Audit Form**

<b>BUSINESS NAME:</b>
<b>BUSINESS ADDRESS:</b>
<b>NAME OF CONTACT:</b>
<b>NAME OF ASSESSOR:</b>
<b>DATE OF INSPECTION:</b>
<b>PRODUCTS / SCOPE OF INSPECTION:</b>

<b>SECTION</b>	<b>NON-CONFORMANCE</b>	<b>AGREED ACTION PLAN</b>
	<b>SIGNATURE</b>	<b>DATE</b>
<b>ASSESSOR</b>		
<b>AUDITEE</b>		

<b>ASSESSORS EVALUATION CHECK SHEET</b>
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To be completed by the Assessor to ensure all areas have been covered

<b>OPENING MEETING</b>	<b>Tick</b>	<b>CLOSING MEETING</b>	<b>Tick</b>
<b>Introductions</b>		<b>Reason and scope of the visit</b>	
<b>Reason for scope of the visit</b>		<b>Non-conformances</b> - Category - Timescales for rectification	
<b>Confirm the auditee is aware of the Standards required</b>		<b>Copy of summary of non-conformances left</b>	
<b>Explain the structure of the evaluation</b> - opening meeting - documentation review - site inspection - further documentation review - closing meeting		<b>Agree corrective actions and timescale</b>	
<b>Explain about the need to take notes</b>		<b>Implications of inspection (if any)</b>	
<b>The difference between 'major' and 'minor' non-conformances</b>			

	Check	Major / Minor	Tick / cross	Comments
<b>1.0 PROCESS AND PRODUCT CONTROL</b>				
<b>1.1 Quality Management System (QMS)</b>				
1.1.1 Quality policy	Policy statement	MAJ		
1.1.2 Quality manual	Processes and steps	MAJ		
1.1.3 Practices carried out	Records	MAJ		
1.1.4 Documentation control	Records	MAJ		
1.1.5 Accessible to key staff	Manual accessible to staff	MAJ		
1.1.6 Organisational structure	Organogram and job descriptions	MAJ		
1.1.7 Quality objectives	Management commitment	MAJ		
1.1.8 QMS reviews	Reviews and actions	MAJ		
1.1.9 Internal audits	Documentation	MAJ		
1.1.10 Legislation changes	Procedure	MIN		
<b>1.2 Product Safety</b>				
1.2.1 Principles of HACCP	Principles used	MAJ		
1.2.2 HACCP system	Hazard analysis and CCPs	MAJ		
	Verification of HACCP system	MAJ		
	Staff members responsible	MAJ		
	Records of corrective actions	MAJ		
	Process flow	MAJ		
1.2.3 HACCP Review	Personnel and records	MAJ		

	Check	Major / Minor	Tick / cross	Comments
<b>1.0 PROCESS AND PRODUCT CONTROL (CONT.)</b>				
<b>1.3 Site</b>				
1.3.1 Location	Free from contamination	MAJ		
1.3.2 Factory	Layout	MIN		
	Equipment	MIN		
	Sound construction	MIN		
	Adequate drainage	MIN		
	Adequate lighting	MIN		
	Drinking water for staff	MIN		
1.3.3 Security	Person responsible	MIN		
	Visitor arrangements	MIN		
	Computer data	MIN		
<b>1.4 Hygiene and foreign body control</b>				
1.4.1 Factory	Cleaning procedures	MAJ		
1.4.2 Vermin	Control methods	MAJ		
1.4.3 Glass and other contaminants	Glass policy	MAJ		
	Broken glass log	MAJ		
	Other contaminant procedures	MAJ		
1.4.4 Knives and scissors	Procedure and records	MAJ		
	Metal detection	MIN		
1.4.5 Delivered product	Despatch systems	MIN		



	Check	Major / Minor	Tick / cross	Comments
<b>1.0 PROCESS AND PRODUCT CONTROL (CONT.)</b>				
1.4.6 Production and packaging materials	Raw material storage	MIN		
	Packaging storage	MIN		
	Re-usable containers	MIN		
	Water tank covers	MIN		
1.4.7 Visitor arrangements	Arrangements/signs	MIN		
1.4.8 Staff arrangements & facilities	Hygiene standards	MAJ		
	Facilities	MAJ		
	Clothing	MIN		
<b>1.5 Process monitoring, routine checking, calibration and recording</b>				
1.5.1 Process monitoring	Procedure	MAJ		
	Quality samples	MAJ		
	Monitoring records	MAJ		
1.5.2 Calibration and verification	Calibration records	MAJ		
	Volume measurement	MAJ		
1.5.3 Storage conditions	Bulk raw materials	MAJ		
	Fertiliser storage	MAJ		
	Finished product	MIN		
1.5.4 Traceability	Records of bulk raw ingredients	MAJ		
	Peat source	MAJ		
	Labelling	MAJ		

	Check	Major / Minor	Tick / cross	Comments
<b>1.0 PROCESS AND PRODUCT CONTROL (CONT.)</b>				
<b>1.6 Product quality</b>				
1.6.1 Specifications	Records for each product	MAJ		
	Quality control	MAJ		
1.6.2 Supplier approval and goods intake	Supplier audit records	MAJ		
	ETI records of suppliers	MAJ		
	Intake procedure and records	MAJ		
1.6.3 Stock rotation	Procedures	MIN		
1.6.4 New product development	Records	MIN		
<b>2.0 CUSTOMER CONSIDERATIONS</b>				
<b>2.1 Labelling</b>				
2.1.1 Traceability labelling	Check labels	MAJ		
2.1.2 Consumer labelling	Check labels	MAJ		
2.1.3 Professional user labelling	Check labels	MAJ		
<b>2.2 Transport</b>				
2.2.1 Third party transport and own transport	Procedures	MIN		
2.2.2 Delivery records and invoicing	Positive written release	MIN		
	Delivery notes	MIN		
	Invoices	MIN		
2.2.3 Delivery conditions	Covered loads	MIN		

	Check	Major / Minor	Tick / cross	Comments
<b>2.0 CUSTOMER CONSIDERATIONS (CONT.)</b>				
<b>2.3 Customer queries</b>				
2.3.1 Complaints policy	Written policy	MAJ		
	Actions recorded	MAJ		
2.3.2 Query/complaint procedures	Personnel and acknowledgment	MIN		
2.3.3 Complaint review	Management review	MIN		
2.3.4 Out of specification product	Policy and corrective actions	MIN		
2.3.5 Serious incidents	Procedure	MIN		
<b>2.4 Trading conditions</b>				
2.4.1 Insurance	Certificate displayed	MIN		
	Contingency plan	MIN		
2.4.2 Terms and conditions	Terms and conditions	MIN		
<b>3.0 STRATEGIC ISSUES</b>				
<b>3.1 Health and safety</b>				
3.1.1 COSHH assessment	Assessment and action plan	MAJ		
	Evidence of review	MAJ		
3.1.2 Health and safety policy and assessment	Policy	MAJ		
	Assessment and action plan	MAJ		
3.1.3 First aid	Nominated person	MAJ		
	Training certificates	MAJ		
	Boxes and accident book	MAJ		
	Accident procedures	MAJ		

	Check	Major / Minor	Tick / cross	Comments
<b>3.0 STRATEGIC ISSUES (CONT.)</b>				
<b>3.2 Environmental policies</b>				
3.2.1 Environmental codes of practice	Codes available	MAJ		
3.2.2 Peat and its alternatives	Source (non-SSSI sites)	MAJ		
	Alternatives	MIN		
3.2.3 Energy use	Energy audit	MIN		
3.2.4 Environmental pollution	Pollution audit	MIN		
3.2.5 Recycling	Producer Responsibility Obligations	MAJ		
	Recycling policy	MIN		
3.2.6 Waste and waste disposal	Procedure	MAJ		
	Waste audit	MIN		
<b>3.3 Staff training and appraisals</b>				
3.3.1 Staff training and appraisals	Training policy	MIN		
	Training records	MIN		
3.3.2 Employment legislation	Nominated HR representative	MAJ		
	Legislation compliance	MAJ		
3.3.3 Employment documentation	Records	MAJ		