FIAS Standard – General Requirements

G1 Introduction – Scope of FIAS

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G1.1

FIAS covers the assurance of all fertilisers intended for agriculture, horticulture, forestry, amenity and any other such commercial use. It does not apply to fertilisers packaged for home garden use. The issues and risks vary according to the type of fertiliser and therefore the scheme uses a business process risk assessment approach to achieve the necessary level of assurance.

FIAS has been developed in a joint exercise between the UK Government and devolved nations and the UK Fertiliser industry in order to:

- give regulators confidence in the product stewardship exercised by the fertiliser industry.
- ensure the supply of fertiliser is managed such that products can be used only for legitimate purposes.
- ensure that the UK fertiliser supply chain is managed at all stages with regard to security, public safety and the environment.

The scheme covers the entire supply chain of fertiliser from sourcing through to delivery of finished products to final user and all related activities. FIAS assures compliance of each stage to the following principles.

Legislation
Specific legal compliance – businesses must meet all regulations applicable to their activities.

Security
Prevention of unauthorised access to and/or removal of the product and ensuring that fertiliser is only supplied to legitimate businesses.

Traceability
Identification of batches of raw materials to origin.
Identification of batches of finished product to user.

Safety
Product complies with the legislative safety requirements.

Good Practice
Effective management controls to ensure that the requirements of this standard, environmental measures and relevant fertiliser industry Codes of Practice are implemented.

All companies certified under FIAS will be subject to an independent external audit of their compliance with the standard under a scheme accredited to the international product certification standard ISO 17065.

G1.2 Basis of the scheme

The standard is divided into sections:

- General
- Manufacture and packing
- Storage
- Product sales and delivery /Merchanting
- Transport

The FIAS standard must be read in conjunction with the FIAS Scheme Rules.

G1.3 Participant responsibility

FIAS participants must ensure that they adhere to the Scheme Rules, General section and the relevant section(s) for the scope of their declared business activities.
The owner of the goods at each and every stage of the supply chain, is the responsible party for ensuring compliance with the FIAS standard.

G2 Management commitment

G2.1

Clause	Requirement	Guidance
G2.1	The Company senior management must be committed to the implementation and maintenance of the FIAS Standard/Certification.	

G2.2

Clause	Requirement	Guidance
G2.2	The Company shall have a signed and dated policy statement that commits the Company to comply with FIAS. The policy must be communicated to all Company employees involved in fertiliser related activities and be reviewed as part of the management review or as a result of Company changes to make sure it remains current. [R] [T]	The policy statement can be a brief document that is prepared and endorsed by a senior person in the Company, for example, Managing Director. It is acceptable for the Company to use and adapt existing systems, documents, manuals and forms etc. to comply with FIAS.

G3 Management review

G3.1

Clause	Requirement	Guidance
G3.1	Senior management shall carry out an annual review of systems and procedures including: • policy statement (G2.2) • risk assessments • external and internal audits (G17 and G18) • incidents and corrective action • training and processes • internal procedures Record of the annual management review must be documented. [R] [T]	"Annual" means within a 12 month period.

G4 Designated person

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G4.1

Clause	Requirement	Guidance
G4.1	The Company shall appoint a designated person who must have authority and responsibility for the implementation and maintenance of the requirements of the FIAS standard.	This member of staff may have other duties but must have clearly defined responsibility for ensuring the Company has a system to comply with FIAS

G5 Organisation

G5 Organisation

G5.1

Clause	Requirement	Guidance
G5.1	All employees that could affect fertiliser product security, safety, legality, traceability and environmental impact shall be made aware of their responsibilities, the levels/limits to their authority and the organisational structure of the Company. [R]	Job descriptions and a diagram of the Company structure may be helpful. Consider full time and temporary staff.

G6 Personnel and training

G6.1

Clause	Requirement	Guidance
G6.1	The Company shall ensure that all personnel, full-time, part-time and temporary employees and agency staff, are trained and competent to carry out their roles and responsibilities related to FIAS. Records of training and competence shall be kept. [R] Training records shall show: • date • signature and printed name of trainee • trainer information and/or content details	Training records could show: • topics covered • certificates (where held) from internal/external training organisations • self-assessment reports where appropriate • competency records

G6.2

Clause	Requirement	Guidance
G6.2	As a minimum, a designated person must complete the relevant AIC i-learning module or equivalent training package (e.g. Driver CPC, internal training).	AIC i-learning modules for Driver, Transport Manager, Merchant and Store are available from www.agindustries.org.uk/fias-scheme Contact uk.fias@kiwa.com, 01423 878875/878873 for log in details and FIAS Driver CPC training information.

G6.3

Clause	Requirement	Guidance
G6.3	The Company shall undertake security screening of staff in relation to FIAS activities and products. [R]	Staff screening guidance for businesses on ‘Reducing the Insider Risk’ , ‘Pre- Employment Screening’ and additional Personnel Security is available from www.cpni.gov.uk/reducing-insider-risk

G7 Procedures

G7.1

Clause	Requirement	Guidance
G7.1	The Company shall have working procedures and detailed instructions to control activities to meet the FIAS standard.	

G8 Communication with Certification Body

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G8.1

Clause	Requirement	Guidance
G8.1	The Company must promptly advise the Certification Body of any significant changes or occurrences within the business that materially affect compliance with the standard such as: • business ownership • scope of operations • change of designated person • addition or closure of sites • being subject to a relevant formal investigation by an external body regarding fertiliser safety and/or security	

G9 Legislation

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G9.1

Clause	Requirement	Guidance
G9.1	The Company shall have an effective means of ensuring that: • they are aware of all relevant legislation and appropriate systems are in place to ensure full compliance. • they have a means of identifying any changes in legislation	Sources could include trade associations, government departments, professional bodies and trade journals.

G9.2

Clause	Requirement	Guidance
G9.2	The Company shall ensure that authorities are notified and approvals obtained for products held at their sites, where relevant. [R]	COMAH/NAMOS Regulations See Appendix 1 and Appendix 7.

G10 Business process risk assessment

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G10.1

Clause	Requirement	Guidance
G10.1	The Company shall undertake and document a thorough business process risk assessment of its operations in the manufacturing, merchanting, storage and transport of fertilisers in order to identify the hazards and risks related to legal compliance, security, product safety and traceability within those operations. [R] [T] The assessment shall: • be carried out by a person or team who have a breadth of knowledge and expertise of all aspects of the operation and are competent in the understanding and practical application of risk assessment principles • define the scope of the fertiliser operations to be considered and lists or charts the process steps. Include all business processes that have an impact on the assessment criteria, such as sales orders, recruitment etc • identify hazards in the areas of legal compliance, product safety, security and traceability at every step of the business process • evaluate the risk associated with the hazard(s) • identify and implement controls required to prevent or reduce any identified risks to an acceptable level • establish corrective action procedures to be implemented when identified risks are deemed to be out of control	In the case of a small business with limited management resources, the FIAS designated person would be expected to have the appropriate experience and knowledge to undertake the business process assessment. External expertise may be required. Ideally the assessment leader should have attended a recognised training course. Note: when considering safety, make sure this relates to product safety and not occupational health and safety. Guidance on completing a FIAS business process risk assessment, example forms and further information are available on the AIC website, www.agindustries.org.uk/fias-checklists/ FIAS i-learning modules include information on business process assessment and risk levels.

G11 Review of business process risk assessment

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G11.1

Clause	Requirement	Guidance
G11.1	The business process risk assessment shall be reviewed by the assessment team/designated person annually and in response to any changes in products, processes, legislation or any other factors that may affect the safety and security of the finished product. The business process assessment review shall be recorded and findings implemented. [R]	The outcomes of the business process risk assessment review should be included in the management review required in G3.1.

G12 Purchasing, selection and assessment of suppliers, contractors and merchants

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G12.1

Clause	Requirement	Guidance
G12.1	The Company shall ensure when purchasing goods and services that all relevant FIAS and statutory requirements are satisfied.	Services may include contract manufacturing, storage, transport, product handling, merchanting.

G13 Purchasing of raw materials, packaging and finished products

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G13.1

Clause	Requirement	Guidance
G13.1	The Company shall ensure that: • all purchased raw materials, and finished products are obtained from business approved suppliers [R] • raw materials, packaging and finished products are purchased against specifications which comply with applicable Statutory requirements and enable it to meet its FIAS obligations [R] • records are kept of all purchased goods [R]	Material or product specifications may include: • description of material or product • technical parameters • safety data • packaging • quantity • storage information

G14 Contracted services – manufacturing, blending and packing

G14.1

Clause	Requirement	Guidance
G14.1	Businesses contracted to manufacture, blend, pack or otherwise change the nature or format of a product must be FIAS certified.	

G15 Contracted services – storage, transport and merchanting

G15.1

Clause	Requirement	Guidance
G15.1	The Company shall ensure that businesses contracted to provide storage, transport, or merchanting of fertiliser product supplied by the Company are FIAS certified to the relevant standard. [R]	

G16 Derogation for use of non FIAS certified contractors and merchants

In this section “Contractor” refers to businesses providing services for storage and transport.

G16.1

Clause	Requirement	Guidance
G16.1	A derogation from G15 is available where the Company wishes to use non-FIAS certified contractors for storage and transport or merchant customers for onward sales of fertilisers and Explosive Precursors where used as a fertiliser product (as defined within FIAS scheme rules 1.1).	

G16.2

Clause	Requirement	Guidance
G16.2	To qualify for this derogation, before first use of the contractor or sales to the merchant customer, the Company must undertake an initial audit of the contractor's or merchant's systems, processes and past operating performance (where available) covering all aspects of the relevant FIAS standard. For storage operations this audit must include an inspection of the storage facilities. The findings of this audit shall be submitted to the Certification Body in a written report for review to determine whether or not the contractor or merchant can be authorised for use in accordance with Clause G15.1. Where granted, authorisation will be confirmed to the Company in writing. [R]	The audit should be carried out by a competent person, either within the Company or an external auditor. Audit checklists are available on the AIC website, www.agindustries.org.uk/fias-checklists/ [T]

G16.3

Clause	Requirement	Guidance
G16.3	To maintain on-going authorisation to use the contractor or merchant services, the Company shall undertake an annual audit of the contractor's /merchant's performance and inspection of storage facilities as part of its FIAS internal audit programme. This audit shall cover all relevant aspects of the FIAS Standard. Audit findings including non-conformances and corrective actions taken shall be recorded. [R] The Company shall review FIAS performance of the contractor or merchant annually and include in the management review. [R]	

G16.4

Clause	Requirement	Guidance
G16.4	The Company's annual FIAS audit will include review of the contractor or merchant audit reports and schedule.	

G16.5

Clause	Requirement	Guidance
G16.5	It is NOT permitted for the approved non- FIAS contractor to further subcontract storage and/or transport of Company owned product or in the case of approved merchants, to undertake wholesale sales to third parties.	

G16.6

Clause	Requirement	Guidance
G16.6	Where there are approved non-FIAS contractors or merchants providing services for more than one FIAS certified Company, they should be expected and encouraged to join the FIAS scheme.	Annual volumes and location should be taken into account.

G16.7

Clause	Requirement	Guidance
G16.7	A list of the Company's current non-FIAS contractors and merchants approved under this derogation, will be held by the Certification Body. Details may be provided on request to UK authorities. The Company must notify the Certification Body of any removals from the list.	The derogation applies to the Company and its approved non-FIAS contractors / merchants only. The approval is not valid for the non-FIAS contractor / merchant with any other FIAS company. The current FIAS status of a company may be checked on the AIC Trade Assurance Checker: www.agindustries.org.uk/trade-assurance-checker. Approval status of a contractor/merchant may be checked by contacting the Certification Body, 01423 878873 or uk.fias@kiwa.com

G17 Audits and assessments of suppliers and contractors

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G17.1

Clause	Requirement	Guidance
G17.1	When the Company conducts an audit of a supplier of goods or services, they must ensure that: • the audit is completed at a defined frequency based on risk assessment and supplier performance with the exception of approved non-FIAS storage and transport contractors and merchant customers who must undergo an audit initially and annually as per clause G16 • the audit covers all relevant aspects of the FIAS Standard • an audit report that records findings against each clause of the relevant standard is produced and retained • the supplier provides evidence that all non compliances have been resolved • supplier performance in respect of FIAS requirements forms part of the annual management review	The FIAS certification body will require evidence that the audit has been completed competently and records demonstrate that the supplier will and does comply with the relevant FIAS standard and Company requirements. Audit templates are provided on the AIC website, www.agindustries.org.uk/fias-checklists/. [T]

G18 Internal audits

G18 Internal audits

G18.1

Clause	Requirement	Guidance
G18.1	The Company shall plan and conduct internal audits as a means of determining compliance with safety, security, legal, FIAS and Company requirements.	An internal audit may be carried out by a competent person, either within the Company or an external auditor. Audit checklists are available on the AIC website, www.agindustries.org.uk/fias-checklists/ . [T]

G18.2

Clause	Requirement	Guidance
G18.2	Audit findings, including any non-conformances, shall be recorded and acted upon in a timely manner [R].	

G19 Document control and record keeping

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G19.1

Clause	Requirement	Guidance
G19.1	The Company must ensure that only the current versions of documents are in use. [R]	This may be achieved by adding: • a document reference number • issue date • version number • archiving system

G19.2

Clause	Requirement	Guidance
G19.2	Documents and records (handwritten or electronic) must be designed and prepared such that: • their title and purpose are clear • they are dated • inadvertent use of superseded documents is prevented (G19.1) • records are legible • handwritten records are in ink • the name of the person making any entry, alteration or deletion is identifiable	

G19.3

Clause	Requirement	Guidance
G19.3	All records must be retained for a period not less than two years, or as required by legislation and be available to auditors at the next FIAS audit. Records must be legible and kept in suitable conditions that allow ready retrieval and prevent deterioration.	FIAS records required are listed in Appendix 4.

G20 Management of incidents and emergencies

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G20.1

Clause	Requirement	Guidance
G20.1	The Company shall have a documented procedure that outlines the actions to be taken in the event of a product related incident where it is established that product safety, legality, security or traceability has been compromised. The management procedures must be reviewed or practiced annually to ensure details remain up to date and effective. [R]	This relates to all sectors of the FIAS supply chain, and should cover foreseeable incidents such as: • fire • theft/loss • major spills • flood

G20.2

Clause	Requirement	Guidance
G20.2	The Company shall have a documented procedure that outlines the actions to be taken in the event of any suspicious or unusual activity.	It is essential that the Company reports any suspicious activity to the Police or other enforcement agency as soon as possible. It is **mandatory** to report to the authorities, suspicious activities relating to fertilisers containing Ammonium Nitrate (>16%N), Potassium Nitrate, Sodium Nitrate, Calcium Nitrate and Calcium Ammonium Nitrate and other substances listed in the Poisons Act 1972 (Explosive Precursors) legislation. See Appendix 5 Contact details for the Anti-Terrorist Hotline: Tel 0800 789321.

G20.3

Clause	Requirement	Guidance
G20.3	The Company shall record actions taken in the event of an incident, emergency or suspicious activity. [R]	

G21 Product recall

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G21.1

Clause	Requirement	Guidance
G21.1	All parts of the fertiliser supply chain shall understand and support the requirements of a product recall. Responsibility for initiation and implementation of product recall lies with the product supplier i.e. the manufacturer or merchant. Transport and storage companies shall support the recall process as required by provision of traceability records or data. [R]	Transport and storage operators are not expected to complete a recall exercise but shall be able to supply evidence that they have traceability records.

G21.2

Clause	Requirement	Guidance
G21.2	The Company supplying product shall have a document recall procedure.	This should be sufficiently detailed to explain the recall process and identify the management function responsible for implementing the procedure.

G21.3

Clause	Requirement	Guidance
G21.3	The Company shall take prompt action to advise and inform those affected by a product recall.	Depending on the nature of the product incident, this may include suppliers, customers and end users.

G21.4

Clause	Requirement	Guidance
G21.4	The Company shall plan for the recovery and final disposal or use of affected product and stock reconciliation.	

G21.5

Clause	Requirement	Guidance
G21.5	The Company shall test their product recall procedures at least annually and in a way that ensures their effective operation. Results of the test should be used to review the recall procedures and implement improvements, as necessary.	A recall test is a theoretical exercise which does not require the physical return of product. It should confirm that all aspects of the procedure work e.g. staff awareness of responsibilities, correctness of contact details, where to find traceability information.

G21.6

Clause	Requirement	Guidance
G21.6	All product recalls and tests of the procedure shall be documented and form part of the Company's management review. [R]	

G21.7

Clause	Requirement	Guidance
G21.7	Storage and transport participants shall at all times maintain comprehensive records to demonstrate traceability of product whilst in their possession. Such records shall be accessible and retained as specified by the contracting Company and in accordance with FIAS requirements.	The traceability records may be required during a product recall or recall test by the product supplier.

G22 Customer complaints

G22 Customer complaints

G22.1

Clause	Requirement	Guidance
G22.1	The Company shall establish and implement a system for recording customer complaints.	

G22.2

Clause	Requirement	Guidance
G22.2	All complaints shall be reviewed promptly and appropriate action taken. The review shall consider the potential effect of the problem on other products or services.	

G22.3

Clause	Requirement	Guidance
G22.3	The Company shall keep records of the complaint review and any actions taken. [R]	

G23 Security

G23 Security

G23.1

Clause	Requirement	Guidance
G23.1	Suitable and sufficient security measures shall be put in place for the Company site(s) and operations. These shall be determined by risk and threat assessment including consideration of: • unauthorised access • theft/loss • terrorism • insider threat	Appropriate and proportionate security measures need to be implemented to control access and prevent theft or loss of the product commensurate to the risk and threat identified. These measures may include physical security, site access control, CCTV, control of visitors/contractors etc. Guidance is available from NaCTSO website: www.gov.uk/government/publications/se cure-your-fertiliser/secure-your-fertiliser or alternatively from the CPNI www.cpni.gov.uk.

G23.2

Clause	Requirement	Guidance
G23.2	Data and Cyber Security The Company shall ensure that data computers, networks, servers, mobile devices and electronic IT systems are protected from unauthorised access and malicious attacks.	Guidance on cybersecurity is available from www.ncsc.gov.uk.

G24 Product sourced from overseas

G24.1

Clause	Requirement	Guidance
G24.1	A formal contract must exist between all parties to the transaction. This must clearly lay down the terms on which the product is purchased. [R]	This will typically be under current INCO Terms.

G24.2

Clause	Requirement	Guidance
G24.2	The Company shall ensure that fertiliser imports meet the agreed requirements of customer, user, Company and legal product and packaging specifications. [R] The Company shall comply with all relevant legislative and FIAS requirements for the import of fertiliser.	For example, a manufacturer or merchant importing fertiliser materials for processing or sale, is responsible for ensuring that the receipt, unloading of those materials at port and subsequent storage and transport of those materials until used or sold, meet the requirements of FIAS.

G25 Detonation Resistance Test (DRT) certificates

G25.1

Clause	Requirement	Guidance
G25.1	A DRT certificate is required for material containing AN (including mixtures) in which the nitrogen content from AN exceeds 28% by weight. Quantities less than 500 kg and material classified as an explosive are exempt. An audit trail for the product from manufacture to final user must be maintained, evidenced by certificates and/or transaction records. These must be retained for a period of at least 2 years after the date of supply. [R]	Refer to: Appendix 1 Where AN is not being used as a fertiliser, an exemption certificate must be granted by HSE as per clause 10 of SI1082/2003.