

SAFE QUALITY FOOD



*Globally Trusted Food Safety
and Quality Certification*

Standards



SQF 2000 Code

A HACCP-Based Supplier
Assurance Code for the
Food Manufacturing and
Distributing Industries

6th EDITION • AUGUST 2008



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SQF 2000 Code
A HACCP Based Supplier Assurance Code for the Food Industry
6th Edition - Issued August 2008
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Preface

The Safe Quality Food (SQF) 2000 Code provides for the Food Supplier a food safety and quality management certification program that is tailored to their needs. It enables them to meet product trace, regulatory, food safety and commercial quality criteria in a structured and cost effective manner.

In 1994 the Code was developed and pilot programs implemented to ensure its applicability to the food industry. It was prepared with the assistance of experts in quality management, food safety, food regulation, food processing, agriculture production systems, food retailing, food distribution and the Hazard Analysis Critical Control Point (HACCP) Guidelines.

The Food Marketing Institute (FMI) acquired the rights to the SQF Program in August 2003 and has established the SQF Institute (SQFI) Division to manage the Program. The SQF 2000 Code is recognized* by the Global Food Safety Initiative** as a standard that meets its benchmark requirements.

The SQFI Technical Advisory Council reviews and makes recommendations on changes to the Code in line with the current requirements and expectations of the global food sector and other comments received from stakeholders. This review is completed, and amendments to the Code made by the 3rd anniversary date of the previous Edition. If an amendment to the Code is required to reflect the inclusion of a significant food safety requirement, or quality systems development prior to the end of the three year review cycle, then that amendment will generally be included as an amendment to the current Edition.

The SQF 2000 Code*** as posted on the SQFI web site is the reference document. Notification of reviews and changes to the Code will be posted on the SQFI web site. ****Suppliers are required to implement any new editions and amendments to the Code within six months of the new edition or amendment being posted or as otherwise directed by the SQFI.

Suggestions for improvements to the Code are encouraged from all users. They should be submitted in writing and be sent to SQFI, 2345 Crystal Drive, Suite 800, Arlington, VA, 22202, USA.

**Recognition is at Level 2. The SQF 2000 Code Level 3 exceeds the requirements of the GFSI benchmark documents.*

***The GFSI is a private organization established by the European based retail trade association, the CIES – Food Business Forum. The GFSI maintains a scheme to benchmark food safety standards (for private label products) as well as farm assurance standards.*

****The reference document is published in English.*

*****Audits of this Edition 6 for new Suppliers will be implemented two months after its release date. Those Suppliers with existing SQF 2000 Certification will be required to upgrade their Systems to meet the requirements of this Edition within six months of the release date.*

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Introduction

The SQF 2000 Code is designed for use by all sectors of the food industry. The Code is a HACCP quality management system that utilizes NACMCF and CODEX HACCP Principles and Guidelines, proven methods used by the food industry to reduce the incidence of unsafe food reaching the marketplace. It is designed to support industry or company branded product and to offer benefits to Suppliers and their customers at all links in the food supply chain. The Supplier and the customer first agree to a finished product specification. The Supplier then develops plans for its products and processes to cover controls necessary to ensure food safety and quality. Products produced and manufactured under the SQF 2000 Code certification retain a high degree of acceptance in global markets.

The main feature of the Code is its emphasis on the systematic application of the HACCP Guidelines (see Appendix 2). The implementation of an SQF 2000 management system addresses a buyer's food safety and quality requirements and provides the solution for businesses supplying local and global food markets.

Certification of SQF 2000 Systems by a Certification Body is not a statement that the Certification Body guarantees the safety of a Supplier's food or service. It is not a guarantee that all food safety regulations are being met, or will continue to be met, at all times. It is a statement that the Supplier's Food Safety Plans have been implemented in accordance with the HACCP Method and applicable regulatory requirements and that they have been validated and verified and determined effective to manage food safety. It is also a statement of the Supplier's commitment to:

1. Produce safe, quality food
2. Comply with the requirements of the SQF 2000 Code
3. Comply with applicable food legislation

The development of the SQF 2000 Code emphasizes the importance of independent third party assurance of food safety and quality by all sectors of the food industry.

The SQF 2000 Code is divided into three Certification levels. An explanation of each level is provided in Appendix 1. Each Level is designed to indicate the level of development of a Producer's food safety and quality management system as follows:

Level 1 Food Safety Fundamentals

Level 2 Certified HACCP Food Safety Plans

Level 3 Comprehensive Food Safety and Quality Management Systems

This document outlines the requirements to achieve SQF 2000 Certification at each certification level. The word "shall" is used throughout this document to indicate mandatory provisions.



| LEVEL 1 | LEVEL 2 (GFSI Recognition Level) | LEVEL 3 (GFSI & Quality Management) |
|--|---|---|
| <p>1. Scope</p> <p>The SQF 2000 Code Level 1 outlines the general food safety management system requirements applied by a Supplier involved in the production, manufacture, processing, transport and storage of food.</p> <p>Where any requirement(s) of this Code cannot be applied due to the type of production or product (a raw material that will be subject to further Processing), this can be considered for exclusion. Exclusions must be justified in writing to the Certification Body and must not affect the Supplier's ability, or responsibility, to supply product that meets the intent of this Code and customer and regulatory requirements.</p> <p>The document "Guidance for Developing, Documenting and Implementing an SQF 2000 System" published by the SQF Institute provides detailed guidance on how to implement an SQF 2000 System.</p> | <p>1. Scope</p> <p>The SQF 2000 Code Level 2 outlines the general food safety management system requirements applied by a Supplier involved in the manufacture, processing, transport, storage, distribution of raw materials and ingredients, food products and processed or prepared foods and beverages.</p> <p>Where any requirement(s) of this Code cannot be applied due to the type of production or product (a raw material that will be subject to further Processing), this can be considered for exclusion. Exclusions must be justified in writing to the Certification Body and must not affect the Supplier's ability, or responsibility, to supply product that meets the intent of this Code and customer and regulatory requirements.</p> <p>The document "Guidance for Developing, Documenting and Implementing an SQF 2000 System" published by the SQF Institute provides detailed guidance on how to implement an SQF 2000 System.</p> | <p>1. Scope</p> <p>The SQF 2000 Code Level 3 outlines the general food safety and quality management system requirements applied by a Supplier involved in the manufacture, processing, transport, storage, distribution and supply of raw materials and ingredients, food products and processed or prepared foods and beverages or supplying contract services related to food manufacturing, processing or distribution activities.</p> <p><i>Note: The supply of raw materials and ingredients, food products and processed or prepared foods and beverages includes broker and agent activities. The supply of contract services includes e.g. the provision of contract sanitation services or food transport, storage and distribution services.</i></p> <p>Where any requirement(s) of this Code cannot be applied due to the type of production or product (a raw material that will be subject to further Processing), this can be considered for exclusion. Exclusions must be justified in writing to the Certification Body and must not affect the Supplier's ability, or responsibility, to supply product that meets the intent of this Code and customer and regulatory requirements.</p> <p>The document "Guidance for Developing, Documenting and Implementing an SQF 2000 System" published by the SQF Institute provides detailed guidance on how to implement an SQF 2000 System.</p> |
| <p>2. References</p> <p>The Code makes reference to the current edition of the CODEX Alimentarius Commission Guidelines for the Application of the Hazard Analysis and Critical Control Point (HACCP) System and the National Advisory Committee on Microbiological Criteria for Foods (NACMCF) Hazard Analysis and</p> | <p>2. References</p> <p>The Code makes reference to the current edition of the CODEX Alimentarius Commission Guidelines for the Application of the Hazard Analysis and Critical Control Point (HACCP) System and the National Advisory Committee on Microbiological Criteria for Foods (NACMCF) Hazard Analysis and</p> | <p>2. References</p> <p>The Code makes reference to the current edition of the CODEX Alimentarius Commission Guidelines for the Application of the Hazard Analysis and Critical Control Point (HACCP) System and the National Advisory Committee on Microbiological Criteria for Foods (NACMCF) Hazard Analysis and</p> |



| LEVEL 1 | LEVEL 2 (GFSI Recognition Level) | LEVEL 3 (GFSI & Quality Management) |
|--|--|--|
| Critical Control Point Principles and Application Guidelines, adopted August 14, 1997. | Critical Control Point Principles and Application Guidelines, adopted August 14, 1997. | Critical Control Point Principles and Application Guidelines, adopted August 14, 1997. |
| 3. Definitions | 3. Definitions | 3. Definitions |
| For the purpose of this Code the definitions outlined in "SQF Program – Vocabulary" apply. <i>Note: Words starting with a Capital Letter indicates that the word is further defined in this Vocabulary.</i> | For the purpose of this Code the definitions outlined in "SQF Program – Vocabulary" apply. <i>Note: Words starting with a Capital Letter indicates that the word is further defined in this Vocabulary.</i> | For the purpose of this Code the definitions outlined in "SQF Program – Vocabulary" apply. <i>Note: Words starting with a Capital Letter indicates that the word is further defined in this Vocabulary.</i> |



Section 4: SQF 2000 System Requirements

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| LEVEL 1 | LEVEL 2 (GFSI Recognition Level) | LEVEL 3 (GFSI & Quality Management) |
|---|---|--|
| 4. SQF 2000 System Requirements | 4. SQF 2000 System Requirements | 4. SQF 2000 System Requirements |
| 4.1 Commitment | 4.1 Commitment | 4.1 Commitment |
| The Supplier shall provide evidence of its commitment to implement and maintain an effective SQF 2000 System and to support its ongoing improvement. | The Supplier shall provide evidence of its commitment to implement and maintain an effective SQF 2000 System and to support its ongoing improvement. | The Supplier shall provide evidence of its commitment to implement and maintain an effective SQF 2000 System and to support its ongoing improvement. |
| 4.1.1 Management Policy | 4.1.1 Management Policy | 4.1.1 Management Policy |
| 4.1.1.1 Senior Management shall, in a Policy Statement, outline the organization's commitment to supply safe food and define the methods used to comply with its customer and regulatory requirements. The Policy Statement shall be: <ul style="list-style-type: none"> i. Signed by Senior Management; ii. Made available in language understood by all staff; and iii. Displayed in a prominent position and communicated to all staff. | 4.1.1.1 Senior Management shall, in a Policy Statement, outline the organization's commitment to supply safe food and define the methods used to comply with its customer and regulatory requirements and to continually improve its food safety management systems. The Policy Statement shall be: <ul style="list-style-type: none"> i. Signed by Senior Management; ii. Made available in language understood by all staff; and iii. Displayed in a prominent position and communicated to all staff. | 4.1.1.1 Senior Management shall prepare and implement a Policy Statement that outlines as a minimum the: <ul style="list-style-type: none"> i. Organization's commitment to supply safe, quality food; ii. Methods used to comply with its customer and regulatory requirements and continually improve its food safety and quality management system; and iii. Organizations commitment to establish and review food safety and quality objectives. 4.1.1.2 The Policy Statement shall be: <ul style="list-style-type: none"> i. Signed by Senior Management; ii. Made available in language understood by all staff; and iii. Displayed in a prominent position and effectively communicated to all staff. |
| 4.1.2 Management Responsibility | 4.1.2 Management Responsibility | 4.1.2 Management Responsibility |
| 4.1.2.1 The organizational reporting structure describing those who have responsibility for food safety shall be defined and communicated within the organization. 4.1.2.2 Senior Management shall ensure adequate resources are available to support the development, implementation, maintenance and ongoing improvement of the SQF 2000 System. Senior Management shall designate an SQF Practitioner with responsibility and authority to: <ul style="list-style-type: none"> i. Lead the development and implementation of Food Safety Fundamentals outlined in 4.4.2; | 4.1.2.1 The organizational reporting structure describing those who have responsibility for food safety shall be defined and communicated within the organization. 4.1.2.2 Senior Management shall ensure adequate resources are available to support the development, implementation, maintenance and ongoing improvement of the SQF 2000 System. Senior Management shall designate an SQF Practitioner with responsibility and authority to: <ul style="list-style-type: none"> i. Lead the development and implementation of Food Safety Fundamentals outlined in 4.4.2 and the Food Safety Plan outlined in | 4.1.2.1 The organizational reporting structure describing those who have responsibility for food safety and quality and their interrelationship shall be defined and communicated within the organization. 4.1.2.2 Senior Management shall ensure adequate resources are available to achieve its food safety and quality objectives and to support the development, implementation and maintenance and ongoing improvement of the SQF 2000 System. Senior Management shall designate an SQF Practitioner with responsibility and authority to: |



| LEVEL 1 | LEVEL 2 (GFSI Recognition Level) | LEVEL 3 (GFSI & Quality Management) |
|--|---|---|
| <p>ii. Oversee the development, implementation, review and maintenance of the SQF 2000 System; and</p> <p>iii. Take appropriate action to ensure the integrity of the SQF 2000 System.</p> <p>4.1.2.3 The responsibility for establishing and implementing the training needs of the organization shall be defined and documented.</p> <p>4.1.2.4 All staff shall be informed of their responsibility to report food safety problems to personnel with authority to initiate action.</p> | <p>4.4.3;</p> <p>ii. Oversee the development, implementation, review and maintenance of the SQF 2000 System;</p> <p>iii. Take appropriate action to ensure the integrity of the SQF 2000 System; and</p> <p>iv. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF 2000 System.</p> <p>4.1.2.3 The responsibility for establishing and implementing the training needs of the organization's personnel to ensure they have the required competencies to carry out those functions affecting product legality and safety shall be defined and documented.</p> <p><i>Note: Legality refers to national federal, state and local regulations in the country of manufacture and intended markets.</i></p> <p>4.1.2.4 All staff shall be informed of their responsibility to report food safety problems to personnel with authority to initiate action.</p> <p>4.1.2.5 Job descriptions for those responsible for food safety shall be documented and include provision to cover for the absence of key personnel.</p> | <p>i. Lead the development and implementation of Food Safety Fundamentals outlined in 4.4.2, the Food Safety Plan outlined in 4.4.3 and the Food Quality Plan outlined in 4.4.4;</p> <p>ii. Oversee the development, implementation, review and maintenance of the SQF 2000 System;</p> <p>iii. Take appropriate action to maintain the integrity of the SQF 2000 System; and</p> <p>iv. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF 2000 System.</p> <p>4.1.2.3 The responsibility for establishing and implementing the training needs of the organization's personnel to ensure they have the required competencies to carry out those functions affecting product legality, safety and quality shall be defined and documented.</p> <p><i>Note: Legality refers to national federal, state and local regulations in the country of manufacture and intended markets.</i></p> <p>4.1.2.4 All staff shall be informed of their responsibility to report food safety and quality problems to personnel with authority to initiate action.</p> <p>4.1.2.5 Job descriptions for those responsible for food safety and quality shall be documented and include provision to cover for the absence of key personnel.</p> |
| 4.1.3 Food Safety Management System | 4.1.3 Food Safety Management System | 4.1.3 Food Safety and Quality Management System |
| <p>4.1.3.1 A Food Safety Manual shall be documented, maintained made available to relevant staff and include:</p> <p>i. The Policy Statement and Organization Chart;</p> <p>ii. The Scope of the Certification;</p> <p>iii. A list of the products covered under the Scope of Certification; and</p> <p>iv. Include or reference the written</p> | <p>4.1.3.1 A Food Safety Manual shall be documented, maintained, made available to relevant staff and include:</p> <p>i. The Policy Statement and Organization Chart;</p> <p>ii. The Scope of the Certification;</p> <p>iii. A list of the products covered under the Scope of Certification; and</p> <p>iv. Include or reference the written</p> | <p>4.1.3.1 A Policy Manual shall be documented. It shall outline the methods the organization will use to meet the requirements of this Standard, be made available to staff and include:</p> <p>i. A summary of the organizations food safety and quality policies and the methods it will apply to meet the requirements of this standard;</p> <p>ii. The Policy Statement and Organization</p> |



| LEVEL 1 | LEVEL 2 (GFSI Recognition Level) | LEVEL 3 (GFSI & Quality Management) |
|---|---|--|
| <p>procedures, Pre-requisite Programs and other documentation necessary to support the development and the implementation, maintenance and control of the SQF 2000 System.</p> | <p>procedures, Pre-requisite Programs, Food Safety Plans and other documentation necessary to support the development and the implementation, maintenance and control of the SQF 2000 System.</p> | <p>Chart; iii. The Scope of the Certification; and iv. A list of the products covered under the Scope of Certification.</p> <p>4.1.3.2 A Food Safety Manual shall be documented, maintained, made available to relevant staff and include or reference the written procedures, Pre-requisite Programs, Food Safety Plans and other documentation necessary to support the development and the implementation, maintenance and control of the SQF 2000 System.</p> <p>4.1.3.3 A Quality Manual shall be documented, maintained, made available to relevant staff and include or reference the written procedures, standard operating practices, work instructions, and Food Quality Plans and other documentation necessary to support the development and the implementation, maintenance and control of the SQF 2000 System.</p> |
| <p>4.1.4 Management Review</p> | <p>4.1.4 Management Review</p> | <p>4.1.4 Management Review</p> |
| <p>4.1.4.1 Senior Management shall be responsible for reviewing the SQF 2000 System including the Policy Statement.</p> <p>4.1.4.2 The SQF 2000 System in its entirety shall be reviewed at least annually.</p> <p>4.1.4.3 Food Safety Fundamentals outlined in 4.4.2 shall be reviewed when any changes implemented have an impact on the Supplier's ability to deliver safe food.</p> <p>4.1.4.4 The SQF Practitioner shall be responsible for validating changes to Food Safety Fundamentals outlined in 4.4.2 that have an impact on the Suppliers ability to deliver safe food.</p> <p><i>Note: The Supplier can utilize the services of an SQF Consultant to assist with the validation activities outlined in 4.1.4.3.</i></p> <p>4.1.4.5 Records of all reviews, validations and changes to the SQF System shall be maintained.</p> | <p>4.1.4.1 Senior Management shall be responsible for reviewing the SQF 2000 System and documenting the review procedure. Reviews shall include:</p> <ul style="list-style-type: none"> i. The policies outlined in the Policy Statement; ii. Internal and external audit findings; iii. Corrective Actions and their investigations and resolution; and iv. Customer complaints and their resolution and investigation. <p>4.1.4.2 The SQF 2000 System in its entirety shall be reviewed at least annually.</p> <p>4.1.4.3 Food Safety Fundamentals outlined in 4.4.2 and Food Safety Plans shall be reviewed when any changes implemented have an impact on the Supplier's ability to deliver safe food.</p> <p>4.1.4.4 The SQF Practitioner shall be responsible for validating changes to Food Safety Fundamentals outlined in 4.4.2 and Food Safety Plans that have an impact on the Suppliers ability to deliver safe food.</p> | <p>4.1.4.1 Senior Management shall be responsible for reviewing the SQF 2000 System and documenting the review procedure. Reviews shall include:</p> <ul style="list-style-type: none"> i. The policies outlined in the Policy Statement; ii. Internal and external audit findings; iii. Corrective Actions and their investigations and resolution; and iv. Customer complaints and their resolution and investigation. <p>4.1.4.2 The SQF 2000 System in its entirety shall be reviewed at least annually.</p> <p>4.1.4.3 Food Safety Fundamentals outlined in 4.4.2, Food Safety Plans and Food Quality Plans shall be reviewed when any changes implemented have an impact on the Supplier's ability to deliver safe, quality food.</p> <p>4.1.4.4 The SQF Practitioner shall be responsible for validating changes to Food Safety Fundamentals outlined in 4.4.2, Food Safety Plans and Food Quality Plans that have an impact on the</p> |



| LEVEL 1 | LEVEL 2 (GFSI Recognition Level) | LEVEL 3 (GFSI & Quality Management) |
|--|---|--|
| | <p><i>Note: The Supplier can utilize the services of an SQF Consultant to assist with the validation activities outlined in 4.1.4.4.</i></p> <p>4.1.4.5 Records of all reviews and reasons for amending documents, validations and changes to the SQF System shall be maintained.</p> | <p>Suppliers ability to deliver safe, quality food.</p> <p><i>Note: The Supplier can utilize the services of an SQF Consultant to assist with the validation activities outlined in 4.1.4.4.</i></p> <p>4.1.4.5 Records of all reviews and reasons for amending documents, validations and changes to the SQF System shall be maintained.</p> |
| 4.1.5 Complaint Management | 4.1.5 Complaint Management | 4.1.5 Complaint Management |
| This Clause is not applied at this Level 1 | <p>4.1.5.1 The methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities shall be documented and implemented.</p> <p>4.1.5.2 Complaints shall be analyzed by personnel knowledgeable about the incident.</p> <p>4.1.5.3 Corrective Action shall be implemented commensurate with the seriousness of the incident and as outlined under 4.4.6.</p> <p>4.1.5.4 Records of customer complaints and their investigations shall be maintained.</p> | <p>4.1.5.1 The methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities shall be documented and implemented.</p> <p>4.1.5.2 Complaints shall be analyzed by personnel knowledgeable about the incident.</p> <p>4.1.5.3 Corrective Action shall be implemented commensurate with the seriousness of the incident and as outlined under 4.4.6.</p> <p>4.1.5.4 Records of customer complaints and their investigations shall be maintained.</p> |
| 4.1.6 Business Continuity Planning | 4.1.6 Business Continuity Planning | 4.1.6 Business Continuity Planning |
| This Clause is not applied at this Level 1 | <p>4.1.6.1 A business continuity plan based on the understanding of known food safety threats to a business shall be prepared by Senior Management outlining the methods and responsibility the organization will implement to cope with a business crisis that may impact on the ability of the supplier to deliver safe food.</p> <p>4.1.6.2 The business continuity plan shall include as a minimum:</p> <ol style="list-style-type: none"> i. A Senior Management responsibility for decision making, oversight and initiating actions arising from a crisis management incident; ii. The nomination and training of a crisis management team; iii. The controls implemented to ensure a response does not compromise product safety; iv. The measures to isolate and identify product affected by a response to a crisis; v. The measures taken to verify the | <p>4.1.6.1 A business continuity plan based on the understanding of known threats to a business shall be prepared by Senior Management outlining the methods and responsibility the organization will implement to cope with a business crisis that may impact on the ability of the supplier to deliver safe, quality food.</p> <p>4.1.6.2 The business continuity plan shall include as a minimum:</p> <ol style="list-style-type: none"> i. A Senior Management responsibility for decision making, oversight and initiating actions arising from a crisis management incident; ii. The nomination and training of a crisis management team; iii. The controls implemented to ensure a response to a crisis does not compromise product safety and quality; iv. The measures to isolate and identify product affected by a response to a crisis; v. The measures taken to verify the |



| LEVEL 1 | LEVEL 2 (GFSI Recognition Level) | LEVEL 3 (GFSI & Quality Management) |
|--|---|--|
| | <p>acceptability of food prior to release</p> <p>vi. The preparation and maintenance of a current crisis alert contact list;</p> <p>vii. Sources of legal and expert advice; and</p> <p>viii. The responsibility for internal communications and communicating with authorities, external organizations and media.</p> <p>4.1.6.3 The business continuity plan shall be reviewed, tested and verified at least annually.</p> <p>4.1.6.4 Records of reviews and verification of the business continuity plan shall be maintained.</p> <p>4.1.6.5 Incidents involving product withdrawal and recall shall be handled as outlined in 4.6.3.</p> | <p>acceptability of food prior to release;</p> <p>vi. The preparation and maintenance of a current crisis alert contact list;</p> <p>vii. Sources of legal and expert advice; and</p> <p>viii. The responsibility for internal communications and communicating with authorities, external organizations and media.</p> <p>4.1.6.3 The business continuity plan shall be reviewed, tested and verified at least annually.</p> <p>4.1.6.4 Records of reviews and verification of the business continuity plan shall be maintained.</p> <p>4.1.6.5 Incidents involving product withdrawal and recall shall be handled as outlined in 4.6.3.</p> |
| 4.2 Document Control and Records | 4.2 Document Control and Records | 4.2 Document Control and Records |
| 4.2.1 Document Control | 4.2.1 Document Control | 4.2.1 Document Control |
| <p>4.2.1.1 A register of current SQF 2000 System documents and amendments to documents shall be maintained. Documents shall be safely stored and readily accessible.</p> | <p>4.2.1.1 The methods and responsibility for ensuring personnel have access to current documents and maintaining document control shall be documented and implemented.</p> <p>4.2.1.2 A register of current SQF 2000 System documents and amendments to documents shall be maintained. Documents shall be safely stored and readily accessible.</p> | <p>4.2.1.1 The methods and responsibility for ensuring personnel have access to current documents and maintaining document control shall be documented and implemented.</p> <p>4.2.1.2 A register of current SQF 2000 System documents and amendments to documents shall be maintained. Documents shall be safely stored and readily accessible.</p> |
| 4.2.2 Records | 4.2.2 Records | 4.2.2 Records |
| <p>4.2.2.1 All records shall be legible and signed and dated by those undertaking monitoring activities that demonstrate inspections, analyses and other essential activities have been completed.</p> <p>4.2.2.2 Records shall be readily accessible, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or legislation (regulation).</p> <p><i>Note: Initials are acceptable provided a master sheet is provided to align an initial to a signature.</i></p> | <p>4.2.2.1 The methods and responsibility for undertaking monitoring activities, verifying, maintaining and retaining records shall be documented and implemented.</p> <p>4.2.2.2 All records shall be legible and signed and dated by those undertaking monitoring activities that demonstrate inspections, analyses and other essential activities have been completed.</p> <p>4.2.2.3 Records shall be readily accessible, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or legislation (regulation).</p> <p><i>Note: Initials are acceptable provided a master sheet is provided to align an initial to a signature.</i></p> | <p>4.2.2.1 The methods and responsibility for undertaking monitoring activities, verifying, maintaining and retaining records shall be documented and implemented.</p> <p>4.2.2.2 All records shall be legible and signed and dated by those undertaking monitoring activities that demonstrate that inspections, analyses and other essential activities have been completed.</p> <p>4.2.2.3 Records shall be readily accessible, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or legislation (regulation).</p> <p><i>Note: Initials are acceptable provided a master sheet is provided to align an initial to a signature.</i></p> |



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| 4.3 Specification and Product Development | 4.3 Specification and Product Development | 4.3 Specification and Product Development |
| 4.3.1 Product Development and Realization | 4.3.1 Product Development and Realization | 4.3.1 Product Development and Realization |
| This Clause is not applied at this Level 1. | This Clause is not applied at this Level 2. | <p>4.3.1.1 The methods and responsibility for designing, developing and converting product concepts to commercial realization shall be documented and implemented.</p> <p>4.3.1.2 Product formulation, manufacturing processes and the fulfillment of product requirements shall be validated by facility trials, shelf life trials and product testing.</p> <p>4.3.1.3 Shelf life trials where necessary shall be conducted to establish and validate a products:</p> <ul style="list-style-type: none"> i. Handling, storage requirements including the establishment of "use by" or "best before dates"; ii. Microbiological criteria; and iii. Consumer preparation, storage and handling requirements. <p>4.3.1.4 A Food Safety Plan and a Food Quality Plan shall be validated and verified for each new product and its associated process through conversion to commercial production and distribution.</p> <p>4.3.1.5 Records of all product design, process development, shelf life trials and approvals shall be maintained.</p> |
| 4.3.2 Raw Materials | 4.3.2 Raw Materials | 4.3.2 Raw Materials |
| <p>4.3.2.1 Specifications for raw materials and ingredients that impact on finished product safety shall be documented and kept current.</p> <p><i>Note: Raw materials include but are not limited to food additives, hazardous chemicals and processing aids.</i></p> | <p>4.3.2.1 Specifications for raw materials and ingredients that impact on finished product safety shall be documented and kept current.</p> <p>4.3.2.2 A register of raw material specifications shall be maintained.</p> <p><i>Note: Raw materials include but are not limited to food additives, hazardous chemicals and processing aids.</i></p> | <p>4.3.2.1 Specifications for raw materials and ingredients that impact on finished product safety and quality shall be documented and kept current.</p> <p>4.3.2.2 A register of raw material specifications shall be maintained.</p> <p><i>Note: Raw materials include but are not limited to additives, hazardous chemicals and processing aids.</i></p> |
| 4.3.3 Packaging | 4.3.3 Packaging | 4.3.3 Packaging |
| 4.3.3.1 Specifications for all packaging materials that impact on finished product safety shall be | 4.3.3.1 Specifications for all packaging materials that impact on finished product safety shall be | 4.3.3.1 Specifications for all packaging materials that impact on finished product safety and quality |



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| provided, comply with the relevant legislation and kept current. | provided and comply with the relevant legislation. 4.3.3.2 The functionality of packaging materials shall be validated to ensure product safety is not compromised and the material is fit for its intended purpose and suitable for use. Validation shall include: <ul style="list-style-type: none"> i. Certificates of conformance for all packaging in direct contact with food; and ii. Tests and analyses to confirm the absence of potential chemical migration from the packaging to the food contents. 4.3.3.3 A register of packaging specifications and label approvals shall be maintained and kept current. | shall be provided and comply with the relevant legislation. 4.3.3.2 The methods and responsibility for developing and approving detailed specifications and labels for all packaging shall be documented. 4.3.3.3 The functionality of packaging materials shall be validated to ensure product safety and quality is not compromised and the material is fit for its intended purpose and suitable for use. Validation shall include: <ul style="list-style-type: none"> i. Certificates of conformance for all packaging in direct contact with food; and ii. Tests and analyses to confirm the absence of potential chemical migration from the packaging to the food contents. 4.3.3.4 A register of packaging specifications and label approvals shall be maintained and kept current. |
| 4.3.4 Contract Service Providers | 4.3.4 Contract Service Providers | 4.3.4 Contract Service Providers |
| This Clause is not applied at this Level 1. | 4.3.4.1 Specifications for contract services that impact on finished product safety shall be documented, current, include a full description of the service to be provided and detail relevant training requirements of contract personnel. 4.3.4.2 A register of all contract service specifications shall be maintained. <i>Note: Contract Services include but are not limited to pest control and sanitation services and storage and transport contractors.</i> | 4.3.4.1 Specifications for contract services that impact on finished product safety and quality shall be documented, current, include a full description of the service to be provided and detail relevant training requirements of contract personnel. 4.3.4.2 A register of all contract service specifications shall be maintained. <i>Note: Contract Services include but are not limited to pest control and sanitation services and storage and transport contractors.</i> |
| 4.3.5 Contract Manufacturers | 4.3.5 Contract Manufacturers | 4.3.5 Contract Manufacturers |
| This Clause is not applied at this Level 1. | This Clause is not applied at this Level 2. | 4.3.5.1 The methods and responsibility for ensuring all agreements relating to customers product requirements and its realization and delivery are specified and agreed shall be documented and implemented. 4.3.5.2 The Supplier shall: <ul style="list-style-type: none"> i. Verify all customer requirements are being met at all times; and ii. Ensure changes to contractual agreements are approved by both parties and communicated to relevant personnel. |



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| | | <p>4.3.5.3 Records of all contract reviews and changes to contractual agreements and their approvals shall be maintained.</p> <p><i>Note: This clause relates to those Suppliers manufacturing under contract for a customer. Written contracts include basic orders of conditions of purchase and supply.</i></p> |
| <p>4.3.6 Finished Product</p> <p>4.3.6.1 Finished product specifications shall be documented, current, approved by the supplier and their customer, accessible to relevant staff and include:</p> <ul style="list-style-type: none"> i. Microbiological and chemical limits; and ii. Labeling and packaging requirements. | <p>4.3.6 Finished Product</p> <p>4.3.6.1 Finished product specifications shall be documented, current, approved by the supplier and their customer, accessible to relevant staff and include:</p> <ul style="list-style-type: none"> i. Microbiological and chemical limits; and ii. Labeling and packaging requirements. <p>4.3.6.2 Product labels shall be accurate, comply with the relevant legislation and be approved by qualified personnel.</p> <p>4.3.6.3 A register of finished product specifications shall be maintained.</p> | <p>4.3.6 Finished Product</p> <p>4.3.6.1 Finished product specifications shall be documented, current, approved by the supplier and their customer, accessible to relevant staff and include:</p> <ul style="list-style-type: none"> i. Microbiological and chemical limits; ii. Labeling and packaging requirements; and iii. Product quality attributes. <p>4.3.6.2 Product labels shall be established for new and existing products as required. They shall be accurate, comply with the relevant legislation and be approved by qualified company personnel.</p> <p>4.3.6.3 A register of finished product specifications shall be maintained.</p> |
| <p>4.4 Attaining Food Safety</p> <p>4.4.1 Food Legislation (Regulation)</p> <p>4.4.1.1 The organization shall ensure that, at the time of delivery to its customer, the food supplied shall comply with the legislation that applies to the food and its production in the country of its origin and destination.</p> <p><i>Note: In addition to meeting food safety standards outlined in the legislation suppliers will also need to demonstrate compliance with legislative requirements applicable to trade weights and measures, packaging, product description and nutritional and additive labeling and where necessary adherence to specific religious certification requirements and allergen controls and related labeling declarations.</i></p> | <p>4.4 Attaining Food Safety</p> <p>4.4.1 Food Legislation (Regulation)</p> <p>4.4.1.1 The organization shall ensure that, at the time of delivery to its customer, the food supplied shall comply with the legislation that applies to the food and its production in the country of its origin and destination.</p> <p><i>Note: In addition to meeting food safety standards outlined in the legislation suppliers will also need to demonstrate compliance with legislative requirements applicable to trade weights and measures, packaging, product description and nutritional and additive labeling and where necessary adherence to specific religious certification requirements and allergen controls and related labeling declarations.</i></p> <p>4.4.1.2 The methods and responsibility for ensuring the organization is kept informed of</p> | <p>4.4 Attaining Food Safety</p> <p>4.4.1 Food Legislation (Regulation)</p> <p>4.4.1.1 The organization shall ensure that, at the time of delivery to its customer, the food supplied shall comply with the legislation that applies to the food and its production in the country of its origin and destination.</p> <p><i>Note: In addition to meeting food safety standards outlined in the legislation suppliers will also need to demonstrate compliance with legislative requirements applicable to trade weights and measures, packaging, product description and nutritional and additive labeling and where necessary adherence to specific religious certification requirements and allergen controls and related labeling declarations.</i></p> <p>4.4.1.2 The methods and responsibility for ensuring the organization is kept informed of</p> |



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| | changes to relevant legislation, scientific and technical developments and relevant industry codes of practice shall be documented and implemented. | changes to relevant legislation, scientific and technical developments and relevant industry codes of practice shall be documented and implemented. |
| 4.4.2 Food Safety Fundamentals | 4.4.2 Food Safety Fundamentals | 4.4.2 Food Safety Fundamentals |
| <p>4.4.2.1 Senior Management shall make provision to ensure fundamental food safety practices are adopted and maintained.</p> <p>4.4.2.2 The premises, buildings and equipment shall be located, constructed and designed to facilitate the proper manufacture, handling, storage and delivery of safe food.</p> <p><i>Note 1: The requirements outlined in 4.4.2.2 are further described in detail under Section 5.0.</i></p> <p>4.4.2.3 The Supplier shall ensure the premises are maintained structurally sound and operated in a hygienic manner.</p> <p>4.4.2.4 Those Pre-requisite Programs applicable to the Scope of Certification shall be documented and implemented.</p> <p><i>Note 2: The Pre-requisite Program requirements outlined in 4.4.2.4 are further described in detail under Section 6.0.</i></p> <p>4.4.2.5 Pre-requisite Programs shall be validated and verified as described in 4.5.</p> <p><i>Note 3: The Supplier can utilize the services of an SQF Consultant to assist with the validation and verification activities outlined in 4.4.2.5.</i></p> | <p>4.4.2.1 Senior Management shall make provision to ensure fundamental food safety practices are adopted and maintained.</p> <p>4.4.2.2 The premises, buildings and equipment shall be located, constructed and designed to facilitate the proper manufacture, handling, storage and delivery of safe food.</p> <p><i>Note 1: The requirements outlined in 4.4.2.2 are further described in detail under Section 5.0.</i></p> <p>4.4.2.3 The Supplier shall ensure the premises are maintained structurally sound and operated in a hygienic manner.</p> <p>4.4.2.4 Those Pre-requisite Programs applicable to the Scope of Certification shall be documented and implemented.</p> <p><i>Note 2: The Pre-requisite Program requirements outlined in 4.4.2.4 are further described in detail under Section 6.0.</i></p> <p>4.4.2.5 Pre-requisite Programs shall be validated and verified as described in 4.5.</p> <p><i>Note 3: The Supplier can utilize the services of an SQF Consultant to assist with the validation and verification activities outlined in 4.4.2.5.</i></p> | <p>4.4.2.1 Senior Management shall make provision to ensure fundamental food safety practices are adopted and maintained.</p> <p>4.4.2.2 The premises, buildings and equipment shall be located, constructed and designed to facilitate the proper manufacture, handling, storage and delivery of safe, quality food.</p> <p><i>Note 1: The requirements outlined in 4.4.2.2 are further described in detail under Section 5.0.</i></p> <p>4.4.2.3 The Supplier shall ensure the premises are maintained structurally sound and operated in a hygienic manner.</p> <p>4.4.2.4 Those Pre-requisite Programs applicable to the Scope of Certification shall be documented and implemented.</p> <p><i>Note 2: The Pre-requisite Program requirements outlined in 4.4.2.4 are further described in detail under Section 6.0.</i></p> <p>4.4.2.5 Pre-requisite Programs shall be validated and verified as described in 4.5.</p> <p><i>Note 3: The Supplier can utilize the services of an SQF Consultant to assist with the validation and verification activities outlined in 4.4.2.5.</i></p> |
| 4.4.3 Food Safety Plan | 4.4.3 Food Safety Plan | 4.4.3 Food Safety Plan |
| This Clause is not applied at this Level 1 | <p>4.4.3.1 A Food Safety Plan shall be prepared to outline the means by which the organization will control and assure food safety. The Food Safety Plan shall outline the results of a hazard analysis conducted to identify food safety hazards. It shall prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food safety. The Food Safety Plans shall:</p> <ol style="list-style-type: none"> i. Be prepared in accordance with the HACCP Method; | <p>4.4.3.1 A Food Safety Plan shall be prepared to outline the means by which the organization will control and assure food safety. The Food Safety Plan shall outline the results of a hazard analysis conducted to identify food safety hazards. It shall prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food safety. The Food Safety Plans shall:</p> <ol style="list-style-type: none"> i. Be prepared in accordance with the HACCP Method; |



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| | <p>ii. Include process controls at control points in production to monitor product safety, identify when a process is deviating from set parameters and make Corrections to keep a process under control ; and</p> <p>iii. Cover a food or food group and the associated process.</p> <p>4.4.3.2 Food Safety Plans shall be effectively developed, implemented and maintained; and validated and verified as described in 4.5.</p> <p><i>Note: The Supplier can utilize the services of an SQF Consultant to assist with the validation and verification activities outlined in 4.4.3.2.</i></p> | <p>ii. Include process controls at control points in production to monitor product safety, identify when a process is deviating from set parameters and make Corrections to keep a process under control; and</p> <p>iii. Cover a food or food group and the associated process.</p> <p>4.4.3.2 Food Safety Plans shall be effectively developed, implemented and maintained; and validated and verified as described in 4.5.</p> <p><i>Note: The Supplier can utilize the services of an SQF Consultant to assist with the validation and verification activities outlined in 4.4.3.2.</i></p> |
| <p>4.4.4 Food Quality Plan</p> | <p>4.4.4 Food Quality Plan</p> | <p>4.4.4 Food Quality Plan</p> |
| <p>This Clause is not applied at this Level 1.</p> | <p>This Clause is not applied at this Level 2.</p> | <p>4.4.4.1 A Food Quality Plan which outlines the means by which food quality will be controlled and assured shall be documented. The Food Quality Plan shall outline the results of a food quality risk analysis conducted to identify threats to achieving and maintaining product and process quality and prescribe those measures taken to apply the controls implemented that are critical to assuring, monitoring and maintaining food quality. The Food Quality Plans shall:</p> <ul style="list-style-type: none"> i. Be based on the HACCP Method; ii. Include process controls at quality points in production to monitor product quality, identify when a process is deviating from set parameters and make Corrections to keep a process under control; iii. Cover a food or food group and the associated processes; and iv. Include documented standard operating practices (SQPs) and/or work instructions (WIs) applicable to the organizations Scope of Certification. <p>4.4.4.2 Food Quality Plans, SOPs and WIs shall be effectively developed, implemented and maintained; and validated and verified as described in 4.5.</p> <p><i>Note: The Supplier can utilize the services of an</i></p> |



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| | | <i>SQF Consultant to assist with the validation and verification activities outlined in 4.4.4.2.</i> |
| 4.4.5 Incoming Goods and Services | 4.4.5 Incoming Goods and Services | 4.4.5 Incoming Goods and Services |
| <p>4.4.5.1 Raw materials and services that impact on finished product safety shall be supplied by an Approved Supplier or inspected or analyzed before use.</p> <p>4.4.5.2 Inspections and analyses shall conform to the standard reference methods.</p> <p>4.4.5.3 Records of inspections and analyses shall be maintained.</p> | <p>4.4.5.1 Raw materials and services that impact on finished product safety shall be supplied by an Approved Supplier.</p> <p>4.4.5.2 The receipt of raw materials received from non Approved Suppliers shall be acceptable in an emergency situation provided they are inspected or analyzed before use.</p> <p>4.4.5.3 Inspections and analyses shall conform to the requirements outlined in 4.5.4.</p> <p>4.4.5.4 The selection, approval and monitoring of Approved Suppliers shall conform to the requirements outlined in 6.10.</p> | <p>4.4.5.1 Raw materials and services that impact on finished product safety and quality shall be supplied by an Approved Supplier.</p> <p>4.4.5.2 The receipt of raw materials received from non Approved Suppliers shall be acceptable in an emergency situation provided they are inspected or analyzed before use.</p> <p>4.4.5.3 Inspections and analyses shall conform to the requirements outlined in 4.5.4.</p> <p>4.4.5.4 The selection, approval and monitoring of Approved Suppliers shall conform to the requirements outlined in 6.10.</p> |
| 4.4.6 Corrective and Preventive Action | 4.4.6 Corrective and Preventive Action | 4.4.6 Corrective and Preventive Action |
| <p>4.4.6.1 Corrective Action shall be undertaken to resolve non-compliance.</p> <p>4.4.6.2 Records of Corrective Action shall be maintained.</p> | <p>4.4.6.1 The responsibility and methods outlining how Corrections and Corrective Actions are investigated, resolved, managed and controlled, including the identification of the cause and resolution of non-compliance of critical food safety limits, shall be documented and implemented.</p> <p>4.4.6.2 Records of all investigation and resolution of Corrections and Corrective Action shall be maintained.</p> | <p>4.4.6.1 The responsibility and methods outlining how Corrections and Corrective Actions are investigated, resolved, managed and controlled, including the identification of the cause and resolution of non-compliance of critical food safety and quality limits, shall be documented and implemented.</p> <p>4.4.6.2 Records of all investigation and resolution of Corrections and Corrective Action shall be maintained.</p> |
| 4.4.7 Non-conforming Product or Equipment | 4.4.7 Non-conforming Product or Equipment | 4.4.7 Non-conforming Product or Equipment |
| <p>4.4.7.1 Non-conforming product or equipment shall be quarantined, handled and disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product.</p> <p>4.4.7.2 Records of the handling and disposal of non-conforming product shall be maintained.</p> | <p>4.4.7.1 The responsibility and methods outlining how non-conforming product or equipment detected during receipt, storage, processing, handling or delivery is handled shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Non-conforming product or equipment is quarantined, identified, handled and disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; and | <p>4.4.7.1 The responsibility and methods outlining how non-conforming product or equipment detected during receipt, storage, processing, handling or delivery is handled shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Non-conforming product or equipment is quarantined, identified, handled and disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product; and |



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| | <ul style="list-style-type: none"> ii. All relevant staff is aware of the organizations quarantine and release requirements applicable to equipment or product placed under quarantine status. <p>4.4.7.2 Quarantine records, and records of the handling and disposal of non-conforming product or equipment shall be maintained.</p> | <ul style="list-style-type: none"> ii. All relevant staff is aware of the organizations quarantine and release requirements applicable to equipment or product placed under quarantine status. <p>4.4.7.2 Quarantine records, and records of the handling and disposal of non-conforming product or equipment shall be maintained.</p> |
| 4.4.8 Product Rework | 4.4.8 Product Rework | 4.4.8 Product Rework |
| This Clause is not applied at this Level 1. | <p>4.4.8.1 The responsibility and methods outlining how product is reworked shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Reworking operations are supervised by qualified personnel; ii. Reworked product is clearly identified and traceable; iii. Each batch of reworked product is inspected or analyzed as required before release; iv. Inspections and analyses shall conform to the requirements outlined in 4.5.4; and v. Release of reworked product shall conform to the requirements outlined in 4.4.9. <p>4.4.8.2 Records of all reworking operations shall be maintained.</p> | <p>4.4.8.1 The responsibility and methods outlining how product is reworked shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Reworking operations are supervised by qualified personnel; ii. Reworked product is clearly identified and traceable; iii. Each batch of reworked product is inspected or analyzed as required before release; iv. Inspections and analyses shall conform to the requirements outlined in 4.5.4; and v. Release of reworked product shall conform to the requirements outlined in 4.4.9. <p>4.4.8.2 Records of all reworking operations shall be maintained.</p> |
| 4.4.9 Product Release | 4.4.9 Product Release | 4.4.9 Product Release |
| This Clause is not applied at this Level 1. | <p>4.4.9.1 The responsibility and methods for releasing product shall be documented and implemented. The methods applied shall ensure product is released:</p> <ul style="list-style-type: none"> i. By authorized personnel; and ii. Only after all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met. <p>4.4.9.2 Records of all product release shall be maintained.</p> <p><i>Note: The successful completion of in-line process control checks to demonstrate product complies with specified requirements is acceptable provided those control measure are outlined.</i></p> | <p>4.4.9.1 The responsibility and methods for releasing product shall be documented and implemented. The methods applied shall ensure product is released:</p> <ul style="list-style-type: none"> i. By authorized personnel; ii. Once all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met; and iii. Once sensory analysis and evaluations are satisfactorily completed to verify customer specifications have been met. <p>4.4.9.2 Records of all product release shall be maintained.</p> |



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| | | <i>Note: The successful completion of in-line process control checks to demonstrate product complies with specified requirements is acceptable provided those control measure are outlined.</i> |
| 4.4.10 Stock Rotation | 4.4.10 Stock Rotation | 4.4.10 Stock Rotation |
| Effective stock rotation principles shall be applied. | 4.4.10.1 The responsibility and methods for ensuring effective stock rotation principles are applied shall be documented and implemented. | 4.4.10.1 The responsibility and methods for ensuring effective stock rotation principles are applied shall be documented and implemented. |
| 4.5 Verification | 4.5 Verification | 4.5 Verification |
| 4.5.1 Responsibility, Frequency and Methods | 4.5.1 Responsibility, Frequency and Methods | 4.5.1 Responsibility, Frequency and Methods |
| 4.5.1.1 Validation and verification activities outlined in 4.5 shall be the responsibility of the SQF Practitioner. | 4.5.1.1 Validation and verification activities outlined in 4.5 shall be the responsibility of the SQF Practitioner. | 4.5.1.1 Validation and verification activities outlined in 4.5 shall be the responsibility of the SQF Practitioner. |
| 4.5.1.2 The frequency and methods used to validate and verify critical limits established for those hazards associated with the source, storage and use of production inputs, and the application of Pre-requisite Programs shall be documented and implemented. | 4.5.1.2 The frequency and methods used to validate and verify critical limits established for those hazards associated with the source, storage and use of production inputs, and the application of Pre-requisite Programs shall be documented and implemented. | 4.5.1.2 The frequency and methods used to validate and verify critical limits established for those hazards associated with the source, storage and use of production inputs, and the application of Pre-requisite Programs shall be documented and implemented. |
| 4.5.1.3 Records of all verification activities shall be maintained. | 4.5.1.3 The frequency and methods used to verify that each critical control point and other food safety controls identified in Food Safety Plans achieve their intended purpose, and are controlled as designated shall be documented and implemented. | 4.5.1.3 The frequency and methods used to verify that each critical control point and other food safety and quality controls identified in Food Safety Plans and Food Quality Plans achieve their intended purpose, and are controlled as designated shall be documented and implemented. |
| | 4.5.1.4 Verification shall include those activities outlined under 4.5.2 to 4.5.6. | 4.5.1.4 Verification shall include those activities outlined under 4.5.2 to 4.5.6. |
| 4.5.2 Validation | 4.5.2 Validation | 4.5.2 Validation |
| This Clause is not applied at this Level 1. | 4.5.2.1 The methods, responsibility and criteria for validating Pre-requisite Programs and critical food safety limits to ensure they achieve their intended purpose shall be documented and implemented. The methods applied shall ensure that: <ul style="list-style-type: none"> i. Critical limits are selected to achieve the designated level of control of the identified food safety hazard(s); and ii. All Critical limits and control measures individually or in combination effectively provide the level of control required. | 4.5.2.1 The methods, responsibility and criteria for validating Pre-requisite Programs and critical food safety and quality limits to ensure they achieve their intended purpose shall be documented and implemented. The methods applied shall ensure that: <ul style="list-style-type: none"> i. Critical limits are selected to achieve the designated level of control of the identified food safety hazard(s) or threat to the achievement of food quality; and ii. All Critical limits and control measures individually or in combination effectively |



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| | 4.5.2.2 Records of all validation activities shall be maintained. | provide the level of control required. 4.5.2.2 Records of all validation activities shall be maintained. |
| 4.5.3 Verification of Monitoring Activities | 4.5.3 Verification of Monitoring Activities | 4.5.3 Verification of Monitoring Activities |
| This Clause is not applied at this Level 1. | <p>4.5.3.1 The methods, responsibility and criteria for verifying the effectiveness of monitoring Pre-requisite Programs, critical control points and other food safety controls identified shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Personnel with responsibility for verifying monitoring records sign and date each record verified. <p>4.5.3.2 Records of the verification of monitoring activities shall be maintained.</p> <p><i>Note: A master sheet may be required to clearly align the signature to a persons name and position.</i></p> | <p>4.5.3.1 The methods, responsibility and criteria for verifying the effectiveness of monitoring Pre-requisite Programs, critical control points, critical quality points and other food safety and quality controls identified shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Personnel with responsibility for verifying monitoring records sign and date each record verified. <p>4.5.3.2 Records of the verification of monitoring activities shall be maintained.</p> <p><i>Note: A master sheet may be required to clearly align the signature to a persons name and position.</i></p> |
| 4.5.4 Product Sampling, Inspection and Analysis | 4.5.4 Product Sampling, Inspection and Analysis | 4.5.4 Product Sampling, Inspection and Analysis |
| This Clause is not applied at this Level 1. | <p>4.5.4.1 The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work in progress shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Inspections and analyses are completed at regular intervals as required and to agreed specification and legal requirements; ii. Inspections are conducted to ensure raw materials, work in process and finished products comply with the relevant specification, regulatory requirements and are true to label; and iii. All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods. <p>4.5.4.2 Records of all inspections and analyses shall be maintained.</p> | <p>4.5.4.1 The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work in progress shall be documented and implemented. The methods applied shall ensure:</p> <ul style="list-style-type: none"> i. Inspections and analyses are completed at regular intervals as required and to agreed specification and legal requirements; ii. Inspections are conducted to ensure raw materials, work in process and finished products comply with the relevant specification, regulatory requirements, are true to label and comply with weights and measure requirements after shelf life trials are completed; and iii. All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods. <p>4.5.4.2 Records of all inspections and analyses</p> |



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shall be maintained.

4.5.4.3 The methods, responsibility and criteria for analyzing and assessing product quality and sensory attributes shall be documented and implemented. The methods applied shall ensure:

- i. Sensory analysis and evaluations are completed after shelf life trials, as appropriate, and at intervals designed to demonstrate the products sensory characteristics are consistently being achieved;
- ii. Sensory evaluations comply with the relevant product sensory attributes specified by the customer; and
- iii. Sensory evaluations are conducted by trained personnel in accordance with established methods or as specified by the customer.

4.5.4.4 Records of all sensory evaluations and actions arising as a result of sensory evaluation shall be maintained.

| 4.5.5 Internal Audits | 4.5.5 Internal Audits | 4.5.5 Internal Audits |
|------------------------------|------------------------------|------------------------------|
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4.5.5.1 Regular inspections of the facility and equipment shall be planned and carried out to verify the effectiveness of the SQF System. The Supplier shall:

- i. Take Correction and Corrective Action; and
- ii. Maintain records of inspections and any Corrective Action taken.

Note: Facility inspections will include as a minimum the staff amenities, workplace safety, product and process controls, plant sanitation, the detection of potential foreign body hazards and personal hygiene practices.

4.5.5.1 The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF 2000 System including facility and equipment inspections Pre-requisite Program, Food Safety Plans and legislative controls shall be documented and implemented. The methods applied shall ensure:

- i. An internal audit schedule is prepared detailing the scope and frequency of internal audits;
- ii. Correction and Corrective Action is taken;
- iii. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying Corrective Actions; and
- iv. Records of internal audits and any Corrections and Corrective Action taken as a result of internal audits shall be maintained.

4.5.5.1 The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF 2000 System including facility and equipment inspections, Pre-requisite Program, Food Safety Plans, Food Quality Plans and legislative controls shall be documented and implemented. The methods applied shall ensure:

- i. An internal audit schedule is prepared detailing the scope and frequency of internal audits;
- ii. Correction and Corrective Action is taken;
- iii. Audit results are communicated to relevant management personnel and staff responsible for implementing and verifying Corrective Actions; and
- iv. Records of internal audits and any Corrections and Corrective Action taken as a result of internal audits shall be maintained.



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| | <p>4.5.5.2 Staff conducting internal audits shall be trained in internal audit procedures.</p> <p>4.5.5.3 Where possible staff conducting internal audits shall be independent of the function being audited.</p> <p><i>Note: Facility inspections will include as a minimum the staff amenities, product and process controls, plant sanitation, the detection of potential foreign body hazards and personal hygiene practices.</i></p> | <p>4.5.5.2 Staff conducting internal audits shall be trained in internal audit procedures.</p> <p>4.5.5.3 Where possible staff conducting internal audits shall be independent of the function being audited.</p> <p><i>Note: Facility inspections will include as a minimum the staff amenities, product and process controls, plant sanitation, the detection of potential foreign body hazards and personal hygiene practices.</i></p> |
| 4.5.6 Verification Schedule | 4.5.6 Verification Schedule | 4.5.6 Verification Schedule |
| 4.5.6.1 A schedule outlining the frequency and responsibility for verification and inspection activities shall be prepared and implemented. | 4.5.6.1 A Verification Schedule describing the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented. | 4.5.6.1 A Verification Schedule describing the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented. |
| 4.6 Product Identification, Trace, Withdrawal and Recall | 4.6 Product Identification, Trace, Withdrawal and Recall | 4.6 Product Identification, Trace, Withdrawal and Recall |
| 4.6.1 Product Identification | 4.6.1 Product Identification | 4.6.1 Product Identification |
| <p>4.6.1.1 A product identification system shall be implemented to ensure:</p> <ul style="list-style-type: none"> i. Product is clearly identifiable during all stages of receipt, production, storage and dispatch; and ii. Finished product is labeled to the customer specification and/or regulatory requirements. <p>4.6.1.2 Product identification records shall be maintained.</p> | <p>4.6.1.1 The methods and responsibility for identifying product during all stages of production and storage shall be documented and implemented. The product identification system shall be implemented to ensure:</p> <ul style="list-style-type: none"> i. Product is clearly identifiable during all stages of receipt, production, storage and dispatch; and ii. Finished product is labeled to the customer specification and/or regulatory requirements. <p>4.6.1.2 Product identification records shall be maintained.</p> | <p>4.6.1.1 The methods and responsibility for identifying product during all stages of production and storage shall be documented and implemented. The product identification system shall be implemented to ensure:</p> <ul style="list-style-type: none"> i. Product is clearly identifiable during all stages of receipt, production, storage and dispatch; and ii. Finished product is labeled to the customer specification and/or regulatory requirements. <p>4.6.1.2 Product identification records shall be maintained.</p> |
| 4.6.2 Product Trace | 4.6.2 Product Trace | 4.6.2 Product Trace |
| <p>4.6.2.1 A product trace system shall be implemented to ensure:</p> <ul style="list-style-type: none"> i. Finished product is traceable to the customer (one up) and provides traceability through the process to raw materials, food contact packaging and | <p>4.6.2.1 The Senior Management responsibility and methods used to trace product shall be documented and implemented to ensure:</p> <ul style="list-style-type: none"> i. Finished product is traceable to the customer (one up) and provides traceability through the process to raw | <p>4.6.2.1 The Senior Management responsibility and methods used to trace product shall be documented and implemented to ensure:</p> <ul style="list-style-type: none"> i. Finished product is traceable to the customer (one up) and provides traceability through the process to raw |



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| <p>materials and other inputs (one back);</p> <p>ii. Traceability is maintained where product is reworked; and</p> <p>iii. The effectiveness of the product trace system shall be tested at least annually.</p> <p>4.6.2.2 Records of product dispatch and destination shall be maintained.</p> | <p>materials, food contact packaging and materials and other inputs (one back);</p> <p>ii. Traceability is maintained where product is reworked; and</p> <p>iii. The effectiveness of the product trace system shall be tested at least annually.</p> <p>4.6.2.2 Records of product dispatch and destination shall be maintained.</p> | <p>materials, food contact packaging and materials and other inputs (one back);</p> <p>ii. Traceability is maintained where product is reworked; and</p> <p>iii. The effectiveness of the product trace system shall be tested at least annually.</p> <p>4.6.2.2 Records of product dispatch and destination shall be maintained.</p> |
| 4.6.3 Product Withdrawal and Recall | 4.6.3 Product Withdrawal and Recall | 4.6.3 Product Withdrawal and Recall |
| <p>4.6.3.1 The Supplier shall outline the methods and responsibility for notifying their customers and other essential bodies where circumstances arise that require product to be withdrawn or recalled from distribution.</p> | <p>4.6.3.1 The Senior Management responsibility and methods used to withdraw or recall product shall be documented and implemented. The procedure shall:</p> <ul style="list-style-type: none"> i. Identify those responsible for initiating, managing and investigating a product withdrawal or recall; ii. Describe the management procedures to be implemented including sources of legal and expert advice; and iii. Outline a communication plan to inform customers, consumers, authorities and other essential bodies in a timely manner appropriate to the nature of the incident. <p>4.6.3.2 Investigation shall be undertaken to determine the cause of a withdrawal or recall and details of investigations and any action taken shall be documented.</p> <p>4.6.3.3 The product withdrawal and recall system shall be reviewed tested and verified at least annually.</p> <p>4.6.3.4 Records of all product withdrawals and recalls shall be maintained.</p> | <p>4.6.3.1 The Senior Management responsibility and methods used to withdraw or recall product shall be documented and implemented. The procedure shall:</p> <ul style="list-style-type: none"> i. Identify those responsible for initiating, managing and investigating a product withdrawal or recall; ii. Describe the management procedures to be implemented including sources of legal and expert advice; and iii. Outline a communication plan to inform customers, consumers, authorities and other essential bodies in a timely manner appropriate to the nature of the incident. <p>4.6.3.2 Investigation shall be undertaken to determine the cause of a withdrawal or recall and details of investigations and any action taken shall be documented.</p> <p>4.6.3.3 The product withdrawal and recall system shall be reviewed tested and verified at least annually.</p> <p>4.6.3.4 Records of all product withdrawals and recalls shall be maintained.</p> |
| 4.7 Site Security | 4.7 Site Security | 4.7 Site Security |
| 4.7.1 Food Defense | 4.7.1 Food Defense | 4.7.1 Food Defense |
| <p>4.7.1.1 The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist like incident shall be documented, implemented and maintained.</p> | <p>4.7.1.1 The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist like incident shall be documented, implemented and maintained.</p> | <p>4.7.1.1 The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist like incident shall be documented, implemented and maintained.</p> |



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| <p>4.7.1.2 A food defense protocol shall be prepared and include:</p> <ul style="list-style-type: none"> i. The name of the Senior Management person responsible for Food Defense; iii. The methods implemented to ensure only authorized personal have access to manufacturing and storage areas through designated access points; iv. The methods implemented to protect sensitive processing points from intentional adulteration; v. The measures taken to ensure the secure storage of raw materials, packaging, equipment and hazardous chemicals; vi. The measures implemented to ensure finished product is held under secure storage and transportation conditions; and vii. The methods implemented to record and control access to the premise by employees, contractors, and visitors. | <p>4.7.1.2 A food defense protocol shall be prepared and include:</p> <ul style="list-style-type: none"> i. The name of the Senior Management person responsible for Food Defense; ii. The methods implemented to ensure only authorized personal have access to manufacturing and storage areas through designated access points; iii. The methods implemented to protect sensitive processing points from intentional adulteration; iv. The measures taken to ensure the secure storage of raw materials, packaging, equipment and hazardous chemicals; v. The measures implemented to ensure finished product is held under secure storage and transportation conditions; and vi. The methods implemented to record and control access to the premise by employees, contractors, and visitors. | <p>4.7.1.2 A food defense protocol shall be prepared and include:</p> <ul style="list-style-type: none"> i. The name of the Senior Management person responsible for Food Defense; ii. The methods implemented to ensure only authorized personal have access to manufacturing and storage areas through designated access points; iii. The methods implemented to protect sensitive processing points from intentional adulteration; iv. The measures taken to ensure the secure storage of raw materials, packaging, equipment and hazardous chemicals; v. The measures implemented to ensure finished product is held under secure storage and transportation conditions; and vi. The methods implemented to record and control access to the premise by employees, contractors, and visitors. |

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|-------------------------------------|-------------------------------------|-------------------------------------|
| 4.8 Identity Preserved Foods | 4.8 Identity Preserved Foods | 4.8 Identity Preserved Foods |
|-------------------------------------|-------------------------------------|-------------------------------------|

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|-----------------------------------|-----------------------------------|-----------------------------------|
| 4.8.1 General Requirements | 4.8.1 General Requirements | 4.8.1 General Requirements |
|-----------------------------------|-----------------------------------|-----------------------------------|

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| <p>This Clause is not applied at this Level 1.</p> | <p>This Clause is not applied at this Level 2.</p> | <p>4.8.1.1 The methods and responsibility for the identification and processing of products requiring the preservation of their identity preserved status shall be documented and implemented.</p> <p>4.8.1.2 Identification shall include a statement of the products identity preserved status of all ingredients, including additives, preservatives, processing aids and flavorings.</p> <p>4.8.1.3 Raw material and ingredient specifications to identity preserved foods shall include requirements for their handling, transport, storage and delivery prior to use.</p> <p>4.8.1.4 Assurances concerning the raw material or ingredients identity preserved status shall be by agreement with the supplier as described under 4.3.5.</p> <p>4.8.1.5 The process description shall allow for a</p> |
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| | | <p>products identity preserved status to be maintained with manufacturing carried out in line with the controls described in 5.5.5.</p> <p>4.8.1.6 The identity preserved status shall be declared in accordance with current legal requirements.</p> <p>4.8.1.7 Customer requirements concerning identity preserved foods shall be included in the finished product specification described in 4.3.6 and implemented by the Supplier.</p> <p><i>Note: Identity preserved foods include but are not limited to Kosher, HALAL, ingredients containing allergen and sensitizing agents, organic and Genetically Modified Organisms.</i></p> |



Section 5: Food Safety Fundamentals - Building and Equipment Design and Construction

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5. Food Safety Fundamentals: Building and Equipment Design and Construction

This Section 5 provides detail of the Building and Equipment Construction and Design Requirements referred to in 4.4.1.

Note: Exclusions to these requirements or alternative methods of control are permitted however they are to be supported by a detailed risk analysis outlining the basis for any exclusion or alternative control measure to demonstrate food safety and quality (level 3) is not compromised.

5.1 Site Requirements and Approval

5.1.1 Premises Location

5.1.1.1 The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations.

5.1.1.2 Where measures have been established to maintain a suitable external environment the efficiency of the established measures shall be validated, monitored and periodically reviewed.

Note: An example includes the maintenance of dusty environments.

5.1.2 Construction and Operational Approval

The construction and ongoing operation of the premises on the site shall be approved by the relevant authority.

5.2 Food Handling Areas

5.2.1 Materials and Surfaces

Product contact surfaces and those surfaces not in direct contact with food shall be constructed of materials that will not contribute a food safety risk.

5.2.2 Floors, Drains and Waste Traps

5.2.2.1 Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned.

5.2.2.2 Floor Drainage

Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or waste water under normal working conditions.

5.2.2.3 Drains

Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

5.2.2.4 Waste Traps

Waste trap systems shall be located away from any food handling area or entrance to the premises.

5.2.3 Walls, Partitions, Doors and Ceilings

5.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish.

5.2.3.2 Wall Junctions

Wall to wall and wall to floor junctions shall be designed to be easily cleaned, sealed and rounded to prevent the accumulation of food debris.

5.2.3.3 Ducting, Conduits and Pipes

Ducting, conduit and pipes that convey services such as steam or water shall be recessed into walls or ceilings; suspended from ceilings to service processing operations or mounted a sufficient distance from walls or ceilings to allow ease of cleaning.

Note: Extended runs of piping are an unavoidable in some operations such as dairies and beverage processing and the application of 5.2.3.2 needs to be considered in the context of those operations.

5.2.3.4 Doors, Hatches and Windows

Doors, hatches and windows and their frames shall be of a material and construction which meets the same functional requirements for internal walls and partitions.

- i. Doors and hatches shall be of solid construction; and
- ii. Windows shall be made of shatterproof glass or similar material.

5.2.3.5 Ceilings

Food shall be processed and handled in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of product.



5.2.4 Stairs, Catwalks and Platforms

5.2.4.1 Stairs, catwalks and platforms in food processing and handling areas shall be designed and constructed so as not to present a product contamination risk.

5.2.5 Lighting and Light Fittings

5.2.5.1 Sufficient lighting shall be provided in food processing and handling areas.

5.2.5.2 Lighting Intensity

Lighting in processing areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

5.2.5.3 Light Fittings

Light fittings shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and/or recessed into or fitted flush with the ceiling.

Note: Suspending a light fitting from the ceiling is acceptable provided the material used to suspend the lights is non-corrodible and the fittings are accessible for cleaning.

5.2.6 Inspection Area

5.2.6.1 A suitable area within the processing area shall be provided for the inspection of product if required.

5.2.6.2 Facilities

The inspection area shall be provided with facilities that are suitable for examination of the style product being processed. The inspection area will have:

- i. Easy access to hand washing facilities; and
- ii. Sufficient lighting intensity to enable as thorough inspection of the product as required.

5.2.7 Dust, Fly and Vermin Proofing

5.2.7.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and flies.

5.2.7.2 Personnel Access

Personnel access doors shall be provided. They shall be effectively fly proofed and fitted with a self closing device.

5.2.7.3 Other Access Points

External doors used for product access shall be fly-proofed by at least one or a combination of the following methods:

- i. A self-closing device;
- ii. An effective air curtain;
- iii. A fly-proof screen; and
- iv. A fly-proof annex.

5.2.7.4 Pest Control Devices

Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to product, packaging, containers or processing equipment.

5.2.8 Ventilation

5.2.8.1 Adequate ventilation shall be provided in enclosed processing and food handling areas.

5.2.8.2 Cooking Areas

Extractor fans and canopies shall be provided in areas where cooking operations are carried out or a large amount of steam is generated and shall have the following features:

- i. Capture velocities shall be sufficient to prevent condensation build up and to evacuate all heat, fumes and other aerosols to the exterior via an exhaust canopy positioned over cooker;
- ii. Fans and exhaust vents shall be fly proofed and located so as not to pose a contamination risk; and
- iii. Where appropriate, positive air-pressure systems shall be installed to prevent air-borne contamination.

5.2.9 Equipment, Utensils and Protective Clothing

5.2.9.1 Equipment and utensils shall be designed, constructed, installed, operated and maintained so as not to pose a contamination threat to product.

5.2.9.2 Processing Equipment

Benches, tables, conveyors, mixers, minces, graders and other mechanical processing equipment shall be easily dismantled for cleaning and located so as not pose a hindrance to the cleaning of the premises.

- i. Equipment surfaces shall be smooth, impervious and free from cracks or crevices.

5.2.9.3 Utensils

Product containers, tubs, bins for edible and inedible material shall be constructed of materials that are non toxic, smooth, impervious and readily cleaned. Bins used for inedible material shall be clearly identified.



5.2.9.4 Equipment Drainage

Waste and overflow water from tubs, tanks and other equipment shall be discharged direct to the floor drainage system.

5.2.9.5 Protective Clothing

Protective clothing shall be manufactured from material that is non toxic and easily cleaned.

Note: Protective clothing refers to aprons, gloves (rubber or wire mesh), boots, hard hats, arm guards and sleeves etc., and other items designed to prevent contamination or injury.

5.2.10 Cleaning of Processing Equipment, Utensil and Protective Clothing

5.2.10.1 Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing.

5.2.10.2 Utensils and Protective Clothing

Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils and for cleaning staffs protective clothing. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or product.

- i. Racks and containers for storing cleaned utensils and protective clothing shall be provided as required.

5.2.11 Hand Washing Facilities

5.2.11.1 Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout food handling and processing areas as required.

5.2.11.2 Hand Wash Stations

Hand wash basins shall be constructed of stainless steel or similar non-corrodible material and as a minimum supplied with:

- i. A potable water supply at an appropriate temperature;
- ii. Liquid soap contained within a fixed dispenser;
- iii. Paper towels in a hands free cleanable dispenser; and
- iv. A means of containing used paper towels.

5.2.11.3 The following additional facilities shall be provided in circumstances where foods are exposed, processed or considered High Risk:

- v. Hands free operated taps; and
- vi. Hand sanitizers.

5.2.11.4 Signage

A sign advising people to wash their hands, and in appropriate languages, shall be provided in a prominent position adjacent to hand wash stations.

5.2.12 Protective Clothing Racks

5.2.12.1 Racks shall be provided for the temporary storage of protective clothing when staff leaves the processing area.

5.2.12.2 Location of Protective Clothing Racks

Protective clothing racks shall be provided in close proximity or adjacent to the personnel access doorways and hand washing facilities.

5.2.13 Vehicles

5.2.13.3 Vehicles used in food contact, handling or processing zones or in cold storage rooms shall be designed and operated so as not to present a food safety hazard.

5.3 Water and Ice Supply

5.3.1 Water Supply

5.3.1.1 Adequate supplies of potable water drawn from a known clean source shall be provided for use during processing operations, as an ingredient and for cleaning the premises and equipment.

5.3.1.2 Hot and Cold Water

Supplies of hot and cold water shall be provided as required to enable the effective cleaning of the premises and equipment.

5.3.2 Water Delivery

5.3.2.1 The delivery of water within the premises shall ensure potable water is not contaminated.

5.3.2.2 Non-potable Water

The use of non-potable water shall be controlled such that:

- i. There is no cross contamination between potable and non-potable water lines;



- ii. Non-potable water piping and outlets are clearly identified; and
- iii. Non-return devices are installed in non-potable water lines to prevent back flow.

5.3.3 Ice Supply

5.3.3.1 Adequate supplies of ice derived from potable water shall be provided for use during processing operations or as a processing aid or an ingredient.

5.3.3.2 Ice Storage

Ice rooms and receptacles shall be constructed of materials as outlined in 5.4.1 and designed to minimize contamination of the ice during storage and distribution.

5.3.4 Water Treatment

5.3.4.1 Treatment Methods, Equipment and Materials

Water treatment methods, equipment and materials shall be designed, installed and operated to ensure water receives an effective treatment.

5.4 Storage Facilities

5.4.1 Cold Storage, Freezing and Chilling of Foods

5.4.1.1 Performance

The Supplier shall provide confirmation of the effective operational performance of freezing, chilling and cold storage facilities. Chillers, blast freezers and cold storage rooms shall be:

- i. Designed and constructed to allow for the hygienic and efficient refrigeration of food; and
- ii. Easily accessible for inspection and cleaning.

5.4.1.2 Refrigeration Capacity

Sufficient refrigeration capacity shall be available to chill, freeze, store chilled or store frozen the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas.

5.4.1.3 Floors

Floors shall be constructed of smooth, dense impact resistant material that is impervious to liquid and easily cleaned. Floors shall be effectively graded, to allow the effective removal of water under normal conditions.

5.4.1.4 Wall, Ceilings, Doors, Frames and Hatches

Wall, ceilings, doors, frames and hatches shall comply with the requirements outlined in 5.2.3.

5.4.1.5 Light Fittings

Light fittings shall comply with the requirements outlined in 5.2.5.2.

5.4.1.6 Defrost and Condensate Lines

Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.

5.4.1.7 Temperature Monitoring Equipment

Freezing, chilling and cold storage rooms shall be fitted with temperature monitoring equipment and located so as to monitor the warmest part of the room and be fitted with a temperature recording device that is easily readable and accessible.

5.4.1.8 Loading and Unloading Areas

Loading and unloading docks shall be designed to protect product during loading and unloading.

5.4.2 Storage of Dry Ingredient and Other Shelf Stable Packaged Goods

5.4.2.1 Rooms used for the storage of product ingredients and other dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration.

5.4.2.2 Light Fittings

Light fittings shall comply with the requirements outlined in 5.2.5.2.

5.4.3 Storage of Packaging

5.4.3.1 Storage Rooms

Storage of food packaging materials shall be separate and located away from wet areas and constructed to protect packaging from contamination and deterioration.

5.4.3.2 Light Fittings

Light fittings shall comply with the requirements outlined in 5.2.5.2.

5.4.3.3 Storage Racks

Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent packaging becoming a harborage for rats, mice or other vermin.



5.4.4 Storage of Equipment and Receptacles

5.4.4.1 Storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and receptacles.

5.4.4.2 Separation

Processing utensils and packaging shall not be stored in areas used to store hazardous chemicals and toxic substances.

5.4.5 Storage of Hazardous Chemicals and Toxic Substances

5.4.5.1 Hazardous Chemicals and Toxic Substances shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which product is handled, stored or transported.

Note: Daily supplies of chemical used for continuous sanitizing of water or as a processing aid, or for emergency cleaning of food processing equipment or surfaces in food contact zones, may be stored within or in close proximity to a processing area provided access to that storage facility is restricted to authorized personnel.

5.4.5.2 Separation

Pesticides, rodenticides, fumigants and insecticides shall be stored separate from sanitizers and detergents. All chemicals shall be stored in their original containers.

5.4.5.3 Storage Facilities

Hazardous Chemical and Toxic Substance storage facilities shall:

- i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;
- ii. Be adequately ventilated;
- iii. Be provided with appropriate signage indicating the area is a hazardous storage area;
- iv. Be secure and lockable to restrict access only to those personnel with formal training in the handling and use of hazardous chemicals and toxic substances;
- v. Have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff;
- vi. Be equipped with a detailed and up-to-date inventory of all chemicals contained in the storage facility;
- vii. Have suitable first aid equipment and protective clothing available in close proximity to the storage area;
- viii. In the event of an accidental spill have emergency shower and wash facilities available in close proximity to the storage area;
- ix. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and
- x. Be equipped with spillage kits and cleaning equipment.

5.4.6 Alternative Storage and Handling of Goods

5.4.6.1 Where goods described in 5.4.1 to 5.4.5 are held under alternative storage conditions a risk analysis shall be undertaken to ensure there is no risk to the integrity of those goods or contamination or adverse affect on food safety and quality.

5.5 Separation of Functions

5.5.1 Process Flow

5.5.1.1 The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the process.

5.5.2 Receipt of Raw Materials

5.5.2.1 Dry ingredients and packaging shall be received and stored separately from frozen and chilled raw materials to ensure there is no cross contamination. Unprocessed raw materials shall be received and segregated to ensure there is no cross contamination.

5.5.3 Thawing of Product

5.5.3.1 Thawing of product shall be undertaken in equipment and rooms appropriate for the purpose.

5.5.3.2 Water Thawing

Equipment for water thawing shall be continuous flow to ensure the water exchange rate and temperature does not contribute to product deterioration or contamination. Water overflow shall be directed into the floor drainage system and not onto the floor.

5.5.3.3 Air Thawing

Air thawing facilities shall be designed to thaw product under controlled conditions at a rate and temperature that does not contribute to product deterioration or contamination.



5.5.3.4 Used Cartons and Packaging

Provision is to be made for the containment and regular disposal of used cartons and packaging so that there is no risk to product.

5.5.4 High Risk Processes

5.5.4.1 High Risk Foods

The processing of High Risk Food shall be conducted under controlled conditions such that:

- i. Sensitive areas in which High Risk Food has undergone a "kill" step, a "food safety intervention" or is subject to post process handling, are protected/segregated from other processes, raw materials or staff who handle raw materials to ensure cross contamination is minimized;
- ii. Areas in which High Risk Processes are conducted are only serviced by staff dedicated to that function;
- iii. Staff access points are located, designed and equipped to enable staff to don distinctive protective clothing and to practice a high standard of personal hygiene to prevent product contamination; and
- iv. Product transfer points are located and designed so as not to compromise high risk segregation and to minimize the risk of cross contamination.

5.5.5 Other Processes

5.5.5.1 Identity Preserved Foods

The processing of specialty foods shall be conducted under controlled conditions such that:

- i. Ingredients are physically separated from ingredients identified as incompatible with the specialty food;
- ii. Processing is completed in separate rooms; or scheduled as the first production run; or carried out after the completion of a thorough sanitation of the area and equipment; and
- iii. Finished product is stored and transported in separate units or isolated by a physical barrier from non-specialty product.

Note: The conditions outlined under 5.5.5 apply to specialty foods that require segregation. E.g. The segregation of Kosher foods from non-Kosher foods or HALAL foods from non-HALAL foods; or segregation of food and ingredients containing allergen causing agents; or segregation of organic foods; and segregation of foods that require the maintenance of their GMO free status.

5.6 On-Site Laboratories

5.6.1 Location

5.6.1.1 On site laboratories shall be located separate from any food processing or handling activity and designed to limit access only to authorized personnel.

5.6.1.2 Laboratory Waste

Provision shall be made to isolate and contain all laboratory waste held on the premises. Laboratory waste water outlet shall as a minimum be down stream of drains that service food processing and handling areas.

5.6.1.3 Laboratory Signage

Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel.

5.7 Staff Amenities

5.7.1 General

5.7.1.1 Staff amenities supplied with appropriate lighting and ventilation shall be made available for the use of all persons engaged in the handling and processing of product.

5.7.2 Change Rooms

5.5.2.1 Staff and Visitors

Facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required.

5.5.2.2 Processing Personnel

Change rooms shall be provided for staff engaged in the processing of High Risk Foods or processing operations in which clothing can be soiled.

5.5.2.3 Storage of Clothing and Personal Items

Provision shall be made for staff to store their street clothing and personal items separate from food contact zones and food and packaging storage areas.

5.7.3 Showers

5.7.3.1 Where required a sufficient number of showers shall be provided for use by staff.



5.7.4 Laundry

5.7.4.1 Provision shall be made for the laundering and storage of clothing worn by staff engaged in High Risk Processes and for staff engaged in processing operations in which clothing can be heavily soiled.

Note: Clothing can be laundered either on the premises, by a contract laundry service or other suitable means. In circumstances where clothing is laundered off site the cleaned clothing is to be transported to the facility in clean containers.

5.7.5 Sanitary Facilities

5.7.5.1 Sanitary facilities shall be designed, constructed and located so that they are easily accessible to staff and separate from any processing and food handling operations.

5.7.5.2 Toilet Rooms

Toilet rooms shall be designed so that they:

- i Are not directly accessible from any processing or food handling area;

Note: Access to toilet rooms from the processing area is via an airlock vented to the exterior or through an adjoining room.

- ii Cater for the maximum number of staff; and
- iii Are constructed so that they can be easily cleaned and maintained.

5.7.5.3 Sanitary Drainage

Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system.

5.7.5.4 Hand Wash Basins

Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 5.2.11.1.

5.7.5.5 Signage

Signage in appropriate languages advising people to wash their hands shall be provided in a prominent position at the exit of each toilet room and over each hand wash basin.

5.7.6 Lunch Rooms

5.7.6.1 Separate lunch room facilities shall be provided away from a food contact/handling zone.

5.7.6.2 Lunch Room Facilities

Lunch room facilities shall be:

- i. Ventilated and well lit;
- ii. Provided with adequate tables and seating to cater for the maximum number of staff at one sitting;

Note: Patio style facilities are acceptable provided the area is sealed, protected from the weather and maintained to prevent contamination from birds and other vermin and access from the area to the processing room is via a sealed path.

- iii. Equipped with a sink serviced with hot and cold potable water; and
- iv. Equipped with refrigeration and heating facilities enabling them to store or heat food and to prepare non-alcoholic beverages if required.

5.7.6.3 Signage

Signage in appropriate languages advising people to wash their hands before entering the food processing areas shall be provided in a prominent position in lunch rooms and at lunch room exits.

5.8 First Aid Facilities

5.8.1 Access to First Aid

5.8.1.1 First aid facilities shall be provided to treat minor injuries and suitable arrangements shall be provided in circumstances when a patient requires more specialized care.

5.9 Waste Disposal

5.9.1 Dry and Liquid Waste Disposal

5.9.1.1 Waste shall be effectively, efficiently and regularly removed from the premises and the surrounds and not pose a threat to the hygienic operation of the premises.

5.9.1.2 Dry Waste

Adequate provision shall be made for the disposal of all solid processing waste including trimmings, inedible material and disused packaging. Waste held on site prior to disposal shall be stored in a separate storage facility and suitably fly proofed and contained so as not to present a hazard.



5.9.1.3 Liquid Waste

Adequate provision shall be made for the disposal of all liquid waste from processing and food handling areas. Liquid waste shall be either removed from the processing environment continuously or held in a designated storage area in lidded containers prior to disposal so as not to present a hazard.

5.10 Exterior

5.10.1 Grounds and Roadways

5.10.1.1 The grounds and area surrounding the premises shall be maintained to minimize dust and be kept free of waste or accumulated debris so as not to attract pests and vermin.

5.10.1.2 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises.

Note: Surroundings are required to be kept neat and tidy and not present a hazard to the hygienic and sanitary operation of the premises. Paths from amenities leading to facility entrances are required to be effectively sealed. It is common practice for surroundings associated with the storage of waste and loading and unloading areas to be sealed and properly maintained, graded and drained to allow for effective cleaning.



Section 6: Food Safety Fundamentals – Pre-requisite Programs

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6. Food Safety Fundamentals – Pre-requisite Programs

This Section 6 provides detail of the Pre-requisite Programs referred to in 4.4.2.

Note: Exclusions to these requirements or alternative methods of control are permitted however they are to be supported by a detailed risk analysis outlining the basis for any exclusion or alternative control measure to demonstrate food safety is not compromised.

6.1 Personnel Practices

6.1.1 Personnel

Personnel engaged in the handling of product shall observe appropriate personal practices including:

6.1.1.1 Personal Health

Personnel suffering from infectious diseases or are carriers of, any infectious disease shall not engage in product handling or processing operation.

Note: The employer and the employee are responsible for ensuring only healthy personnel are engaged in food handling activities. Where appropriate, personnel may be required to complete a health questionnaire and a medical screening test before appointment.

6.1.1.2 Handling Cuts and Lesions

Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing product. Minor cuts or abrasions on exposed parts of the body shall be covered with colored *band-aid containing a metal strip* or an alternative suitable waterproof and colored dressing.

Note: The color of the band-aid or dressing must be distinct from the color of the product. In the case of hand injuries it is appropriate to use a single use glove in addition to the dressing.

6.1.1.3 Personal Practices

Smoking, chewing, eating, drinking or spitting is not permitted in any food processing or food handling areas.

Note: An exception for eating in a food processing or food handling area is described under 6.2.1.7.

6.1.1.4 Hand Washing

Personnel shall have clean hands and hands shall be washed by all personnel:

- i. On entering food handling or processing areas;
- ii. After each visit to a toilet;
- iii. After using a handkerchief;
- iv. After handling wash down hoses or contaminated material; and
- v. After smoking, eating or drinking.

6.1.1.5 Using Gloves

When gloves are used, personnel shall maintain the hand washing practices outlined above.

6.1.2 Clothing

6.1.2.1 Clothing worn by staff engaged in handling food shall be maintained, stored, laundered and worn so as not to present a contamination risk to product. Staff engaged in the processing of High Risk Foods or processing operations in which clothing can be soiled shall not wear the clothing off the premises.

Note: Clothing includes work clothing, overalls, head coverings, hair nets, smocks, beard snoods and coats.

6.1.2.2 Condition

Clothing shall be clean at the commencement of each shift and maintained in a serviceable condition. Excessively soiled uniforms shall be changed where they present a product contamination risk.

6.1.2.3 Using Gloves and Aprons

Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area and not on product or machinery.

Note: Disposable gloves and aprons are designed to be single-use only and disposed of after each use.

6.1.3 Jewelry and Personal Effects

6.1.3.1 Jewelry and other loose objects shall not be worn or taken into a food handling or processing operation or any area where food is exposed.

Note: The wearing of wedding rings and medical alert bracelets (plain bands with no stones) that cannot be removed can be permitted however the supplier will need to consider their customer requirements and the applicable food legislation.

6.1.4 Visitors

6.1.4.1 All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food processing or handling area.



6.1.4.2 Jewelry and Other Loose Objects

All visitors shall be required to remove jewelry and other loose objects.

6.1.4.3 Screening

Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or processed.

6.1.4.4 Visitor Access

Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personal practice requirements as outlined in 6.1.1.

6.2 Personnel Processing Practices

Note: Appropriate personnel processing practices employed by line operators, supervisory and other staff engaged in handling food are an essential part of any food processing operation.

6.2.1 Staff Engaged in Food Handling and Processing Operations

6.2.1.1 All personnel engaged in any food handling, preparation or processing operations shall comply with the following processing practices:

- i. Personnel entry to processing areas shall be through the personnel access doors only;
- ii. All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or product/ingredient/packaging receipt is required;
- iii. All personnel shall wash their hands on entering the processing area;
- iv. The wearing of false fingernails or fingernail polish is not permitted when handling food;
- v. Packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor;
- vi. Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate;
- vii. Staff shall not "eat" or "taste" any product being processed in the food handling/contact zone; and
 - a. In circumstances where it is necessary to undertake sensory evaluations in a food handling/contact zone the Supplier shall implement proper controls and procedures to ensure:
 - Food safety is not compromised;
 - Sensory evaluations are conducted by authorized personnel;
 - A high standard of personal hygiene is practiced by personnel conducting sensory evaluations;
 - Sensory evaluations are conducted in areas equipped for the purpose; and
 - Equipment used for sensory evaluations is sanitized, maintained and stored separate from processing equipment.

6.2.1.2 All wash down hoses shall be stored on hose racks after use and not left on the floor.

6.3 Training of Personnel

6.3.1 Training Requirements

6.3.1.1 Appropriate training shall be provided for personnel carrying out the tasks critical to the effective implementation of the SQF 2000 System and the maintenance of food safety and quality.

6.3.2 Training Program

6.3.2.1 An Employee Training Program shall be documented and implemented. It shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with:

- i. Developing and applying Good Manufacturing Practice and Pre-requisite Programs;
- ii. Applying food regulatory requirements;
- iii. Critical steps identified by the hazard analysis and other instructions critical to effective implementation of the Food Safety Plan and the maintenance of food safety; and
- iv. Tasks identified as critical to meeting customer specifications and process efficiency and the effective implementation and maintenance of the SQF 2000 System.

6.3.3 Instructions

6.3.3.1 Instructions shall be available setting out how all tasks critical to meeting customer specifications, the maintenance of food safety, quality and process efficiency is to be performed.

6.3.4 HACCP Training Requirement

6.3.4.1 HACCP training shall be provided for staff involved in developing and maintaining Food Safety Plans and Food Quality Plans.



6.3.5 Language

6.3.5.1 Training materials and the delivery of training shall be provided in language understood by staff.

6.3.6 Refresher Training

6.3.6.1 The training program shall include provision for identifying and implementing the refresher training needs of the organization.

6.3.7 Training Skills Register

6.3.7.1 A training skills register describing who has been trained in relevant skills shall be maintained. The register shall indicate the:

- i. Participant name;
- ii. Skills description;
- iii. Description of the training provided;
- iv. Date training completed;
- v. Trainer or training provider; and
- vi. Supervisor's verification the training was completed and that the trainee is competent to complete the required tasks.

6.4 Calibration of Equipment

6.4.1 Calibration Methods

6.4.1.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities outlined in Pre-requisite Program, Food Safety Plans and Food Quality Plans and other process controls, or to demonstrate compliance with customer specifications shall be documented and implemented.

6.4.2 Calibration Standards

6.4.2.1 Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available the Supplier shall provide evidence to support the calibration reference method applied.

6.4.3 Calibration Schedule

6.4.3.1 Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule.

6.4.4 Records

6.4.4.1 Calibration records shall be maintained.

6.5 Management of Pests and Vermin

6.5.1 Requirements

6.5.1.1 The methods and responsibility for integrated pest management shall be documented and implemented. The premises, its surrounds, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

6.5.2 Pest and Vermin Management Program

- 6.5.2.1 The pest and vermin management program shall:
- i. Describe the methods and responsibility for the development, implementation and maintenance of the pest and vermin management program;
 - ii. Identify the target pests for each pesticide application;
 - iii. Outline the methods used to prevent pest problems;
 - iv. Outline the methods used to eliminate pests when found;
 - v. Outline the frequency with which pest status is to be checked;
 - vi. Include on a site map the identification, location, number and type of bait stations set;
 - vii. List the chemicals used (they are required to be approved by the relevant authority and their Material Safety Data Sheets (MSDS) made available);
 - viii. Outline the methods used to make staff aware of the bait control program and the measures to take when they come in contact with a bait station; and
 - ix. Outline the requirements for staff awareness and training in the use of pest and vermin control chemicals and baits.

6.5.2.2 Inspections

Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present.



6.5.2.3 Records

Records of all pest control applications shall be maintained.

6.5.3 Using Pest Control Chemicals

6.5.3.1 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in 5.4.5 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces.

6.5.4 Pest Control Contractors

6.5.4.1 Pest control contractors shall be:

- i. Licensed and approved by the local relevant authority;
- ii. Use only trained and qualified operators who comply with regulatory requirements;
- iii. Use only approved chemicals;
- iv. Provide a pest control management plan (see Contract services 4.3.2) which will include a site map indicating the location of bait stations and traps;
- v. Report to a responsible Senior Management person on entering the premises and after the completion of inspections or treatments; and
- vi. Provide a written report of their findings and the inspections and treatments applied.

6.5.5 Disposal of Unused Pest Control Chemicals

6.5.5.1 The Supplier shall dispose of unused pest control chemicals and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty chemical containers are not reused;
- ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

6.6 Premises and Equipment Maintenance

6.6.1 Maintenance Program

6.6.1.1 The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented planned and carried out in a manner that minimizes the risk of product, packaging or equipment contamination.

6.6.2 Instructions to Maintenance Personnel and Contractors

6.6.2.1 Maintenance staff and contractors shall observe the following practices when undertaking maintenance and repairs in any food processing, handling or storage area:

- i. Routine maintenance of plant and equipment shall be performed according to a maintenance-control schedule and documented;
- ii. Failures of plant and equipment shall be documented, reviewed and their repair incorporated into the maintenance control schedule;
- iii. Compliance with the personnel and process hygiene requirements (see 6.1 and 6.2) by maintenance staff and contractors;
- iv. Ensure facility supervisors are notified when maintenance or repairs are to be undertaken in any food handling area;
- v. Remove all tools and debris from any maintenance activity once it has been completed and inform the area Supervisor so appropriate hygiene and sanitation can be completed;
- vi. Inform the maintenance supervisor and the facility supervisor if any repairs or maintenance pose a potential threat to product safety i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings. When possible, maintenance is to be conducted outside processing times;
- vii. Notify the maintenance supervisor and the facility supervisor in the event of any breakage or damage that could cause a food safety risk; and
- viii. Notify the maintenance supervisor when work has been completed to enable appropriate and effective clean up measures prior to the commencement of facility operations.

6.6.3 Maintenance Schedule

6.6.3.1 The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance if product safety and quality.

6.6.4 Equipment Lubrication and Paints

6.6.4.1 Lubricants

Equipment located over product or product conveyors shall be lubricated with food grade lubricants.

Note: It is good practice to fit drip trays under equipment to collect lubricant that may drip from machinery.



6.6.4.2 Paints

Non toxic paint shall be used in a food handling or contact zone and not on any product contact surface.

6.7 Cleaning and Sanitation

6.7.1 Cleaning and Sanitation Program

6.7.1.1 The methods and responsibility for the cleaning of the food handling and processing environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. Consideration shall be given to:

- i. What is to be cleaned;
- ii. How it is to be cleaned;
- iii. When it is to be cleaned;
- iv. Who is responsible for the cleaning; and
- v. The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program.

6.7.2 Evaluating the Effectiveness of Cleaning

6.7.2.1 Pre-operational Hygiene Inspections

Pre-operational hygiene and sanitation inspections shall be conducted by qualified personnel to ensure food processing areas, product contact surfaces, equipment, staff amenities and sanitary facilities and other essential areas are clean before the commencement of production.

6.7.2.2 Verifying the Effectiveness of Cleaning

The responsibility and methods used to verify the effectiveness of the cleaning procedures shall be documented and implemented. A verification schedule shall be prepared.

6.7.3 Purchasing, Storage and Use of Detergents and Sanitizers

6.7.3.1 Detergents and sanitizers shall be purchased in accordance with applicable legislation. The organization shall ensure:

- i. An inventory of all chemicals purchased and used shall be maintained;
- ii. Detergents and chemicals are stored as outlined in 5.4.5;
- iii. Material safety data sheets are provided for all detergents and sanitizers purchased; and
- iv. Only trained staff handles sanitizers and detergents.

6.7.4 Disposal of Unused Detergents and Sanitizers

6.7.4.1 The Supplier shall dispose of unused detergents and sanitizers and empty containers in accordance with regulatory requirements and ensure that:

- i. Empty detergent and sanitizer containers are appropriately cleaned, treated and labeled before use;
- ii. Empty detergent and sanitizer containers are labeled, isolated and securely stored while awaiting collection; and
- iii. Unused and obsolete detergents and sanitizers are stored under secure conditions while waiting authorized disposal by an approved vendor.

6.8 Monitoring Water Microbiology and Quality

6.8.1 Standard

6.8.1.1 Water:

- i. Used for washing, thawing and treating food;
- ii. Used as an ingredient or food processing aid;
- iii. For cleaning food contact surfaces;
- iv. For the manufacture of ice; and
- v. For the manufacture of steam that will come in contact with food or used to heat water that will come in contact with food

shall comply with national or internationally recognized potable water microbiological and quality standards as required.

6.8.2 Water Treatment

6.8.2.1 Monitoring of Water Treatment Equipment

Water treatment equipment shall be monitored regularly to ensure it remains serviceable.

6.8.2.2 Monitoring of Treated Water

Treated water shall be regularly monitored to ensure it meets the indicators specified.



6.8.3 Analysis

6.8.3.1 Microbiological analysis of the water and ice supply shall be conducted to verify the cleanliness of the supply, the monitoring activities and the effectiveness of the treatment measures implemented.

6.8.3.2 Water and ice shall be analyzed using reference standards and methods.

6.9 Control of Physical Contaminants

6.9.1 Foreign Matter

6.9.1.1 The responsibility and methods used to prevent foreign matter contamination of product shall be documented, implemented and communicated to all staff.

Note: All personnel are to be encouraged to report sources of potential physical contaminants to management.

6.9.1.2 Prevention

Inspections shall be performed to ensure plant and equipment remains in good condition and potential contaminants have not detached or become damaged or deteriorated. The use of temporary fasteners such as string, wire or tape to fix or hold equipment shall not be permitted.

6.9.1.3 Glass

The following preventative measures shall be implemented:

- i. All glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location;
- ii. Doors and offices within or adjacent to food handling and contact zones shall be fitted with shatterproof glass or have glass panels covered with a protective film to prevent shatter if broken;
- iii. Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing/contact zones;
- iv. Conduct regular inspections of food handling/contact zones to ensure they are free of glass or other like material and to establish no changes to the condition of the objects listed in the glass register; and
- v. Inspect glass instrument dial covers on processing equipment and MIG thermometers at the start and finish of each shift to confirm they have not been damaged.

6.9.1.4 Wood

Wood pallets used in food handling/contact zones shall be dedicated for that purpose, clean, maintained in good order and their condition subject to regular inspection.

Note: The use of clean slip sheets to cover wood pallets and plastic pallets is recommended in high risk food handling areas and "wet processing" areas.

6.9.1.5 Metal

Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard.

6.9.2 Detection of Foreign Objects

6.9.2.1 Responsibility and Methods

The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented.

6.9.2.2 Metal Detectors

Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected.

6.9.3 Managing Foreign Matter Contamination Incidents

6.9.3.1 In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of.

6.9.3.2 Glass Breakage

In circumstances where glass or similar material breakage occurs the affected area is to be isolated, cleaned and thoroughly inspected and cleared by a suitably responsible person prior to the commencement of operations.

6.10 Supplier Approval

6.10.1 Selecting and Approving Suppliers

6.10.1.1 The responsibility and methods for selecting, evaluating, approving and monitoring an Approved Supplier shall be documented and implemented. A register of Approved Suppliers and records of inspections and audits of Approved Suppliers shall be maintained.



6.10.2 Approved Supplier Program

6.10.2.1 The Approved Supplier Program shall contain as a minimum:

- i. Agreed specifications;
- ii. Reference to the rating of the level of risk applied to a raw material and the Approved Supplier;
- iii. A summary of the food safety and quality controls implemented by the Approved Supplier;
- iv. Methods for granting Approved Supplier status;
- v. Methods and frequency of monitoring Approved Suppliers;
- vi. Details of the certificates of analysis if required;
- vii. A contingency plan for dealing with emergency/unforeseen situations when a raw material cannot be sourced from an Approved Supplier; and
- viii. Methods and frequency of reviewing Approved Supplier performance and status.

6.10.3 Monitoring Approved Suppliers

6.10.3.1 The monitoring of Approved Suppliers shall be based on the prior good performance of a supplier and the risk level of the raw materials supplied.

Note: The monitoring and assessment of Approved Suppliers can include:

- i. *The inspection of raw materials received;*
- ii. *The provision of certificates of analysis;*
- iii. *Third party certification of an Approved Supplier; or*
- iv. *The completion of 2nd party supplier audits.*

6.10.4 Register

6.10.4.1 A register of Approved Suppliers shall be maintained.

6.10.5 Records

6.10.5.1 Records of inspections and audits of Approved Suppliers shall be maintained.

6.11 Transport and Delivery

6.11.1 Loading, Transport and Unloading Practices

6.11.1.1 The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Foods shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination.

6.11.2 Loading

6.11.2.1 Vehicles (trucks/vans/containers) used for transporting food shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product.

6.11.2.2 Loading practices shall be designed to minimize unnecessary exposure of product to conditions detrimental to maintaining product and package integrity.

6.11.3 Transport

6.11.3.1 Refrigerated units shall maintain the food at required temperatures and the unit's temperature settings shall be set, checked and recorded before loading and core product temperatures recorded at regular intervals during loading as appropriate.

Note: Use clean equipment when taking core product temperatures and open outer packaging to access units in the middle of larger cartons. In circumstances where it is difficult to core test product, or if core testing destroys the serviceability of the packaging, alternative methods of determining a products temperature can be used. Prior to loading it is good practice to pre-chill refrigeration units.

6.11.3.2 The refrigeration unit shall be operational at all times and checks completed of the unit's operation, the door seals and the storage temperature at regular intervals during transit.

Note: Care should be taken to transport food at its appropriate storage temperature. It is recommended that the refrigeration units air temperatures be recorded at regular intervals during shipment and this can be accomplished by the use of data logger temperature recording devices. Appropriate temperature requirements for chilled food range between 0°C - 4°C (32°F - 40°F) and for frozen foods ≤ -18°C (≤ 0°F).

6.11.4 Unloading

6.11.4.1 Prior to opening the doors the refrigeration unit's storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and core product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading.

Note: Prior to unloading the load is to be checked for signs of temperature abuse (thawing and refreezing), damage or shifting during transport.



6.12 Waste Management and Disposal

6.12.1 Dry, Wet and Liquid Waste

6.12.1.1 The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented.

6.12.2 Removal from Food Handling and Processing Areas

6.12.2.1 Waste shall be removed on a regular basis and not build up in food handling or processing areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until such time as external waste collection is undertaken.

6.12.3 Maintaining Waste Removal Equipment and Areas

6.12.3.1 Trolleys, vehicles waste disposal equipment, collection bins and storage areas shall be maintained in a serviceable condition and cleaned and sanitized regularly so as not to attract flies and other vermin.

6.12.4 Monitoring Waste Removal

6.12.4.1 Reviews of the effectiveness of waste management will form part of daily hygiene inspections and the results of these inspections shall be included in the relevant hygiene reports.

6.13 Allergen Control

6.13.1 Allergen Control Program

6.13.1.1 The responsibility and methods used to control allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen control program shall include the following detail.

6.13.2 Risk Assessment

6.13.2.1 Those raw materials that contain allergen causing agents shall identify through a risk analysis and included on a list which is accessible by relevant staff.

6.13.2.2 The hazards associated with allergens and their control shall be incorporated into the Food Safety Plan.

6.13.3 Receiving and Storing Raw Materials

6.13.3.1 Instructions on how to identify, handle store and segregate raw materials containing allergen causing agents shall provided to staff responsible for receiving those target raw materials.

6.13.4 Storing Product Containing Allergen Causing Agents

6.13.4.1 Provision shall be made to clearly identify and segregate foods that contain allergen causing agents.

6.13.5 Sanitation of Processing Area and Equipment

6.13.5.1 Cleaning and sanitation of product contact surfaces between line changeovers shall be effective and sufficient to remove all potential allergens from product contact surfaces, including aerosols, to prevent cross contamination.

6.13.5.2 Verification of the effectiveness of the cleaning and sanitation of areas and equipment in which allergen causing agents are used shall be part of the requirements outlined in 6.7.2.2.

Note: The practice of dedicating sanitation equipment for cleaning of areas and equipment used for the manufacture of allergen containing product is recommended to minimize cross contamination.

6.13.5.3 Separate handling and production equipment shall be utilized where satisfactory line hygiene and cleanup or segregation is not possible.

6.13.6 Batch Identification and Trace

6.13.6.1 The product identification system (see 4.6.1) shall make provision for clear identification and labeling (in accordance with regulatory requirements) of those products produced on production lines and equipment on which foods containing allergen causing agents were manufactured.

6.13.6.2 The product trace system (see 4.6.2) shall take into consideration the conditions under which allergen containing foods are manufactured and ensure full trace back of all ingredients used.

6.13.7 Re-working Product Containing Allergen Causing Agents

6.13.7.1 Re-working of product containing allergen causing agents shall be conducted under conditions that ensure product safety and integrity is maintained. Re-worked product containing allergen causing agents shall be clearly identified and traceable.



Section 7: Requirements for Foods Contained in Hermetically Sealed Rigid, Flexible or Semi Rigid Containers

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7. Requirements for Foods Contained in Hermetically Sealed Rigid, Flexible or Semi Rigid Containers

7.1 Canning Operations

The following section outlines additional requirements for premises manufacturing foods packed in hermetically sealed rigid, semi-rigid or flexible containers.

7.1.1 Canning Equipment

General note: The equipment and procedures used for retorting must be designed to ensure each unit in a batch receives the same sterilizing treatment. To achieve this, the heating medium must be delivered uniformly to all units in the batch and its composition and temperature must be known and controlled. Safe processing depends on the equipment and instrumentation being properly built, installed, maintained and operated to produce product that is commercially sterile.

7.1.1.1 Closers

Closing and seaming equipment for rigid, semi-rigid or flexible containers shall be designed, built, installed, maintained and operated to ensure:

- i. That each unit is sealed to the container makers specification; and
- ii. Seaming and sealing overhauls and rebuilds are performed to the manufacturer's specifications and procedures using only genuine or equivalent fabricated parts.

7.1.1.2 Sterilizing and Pasteurizing Equipment

Sterilizing and pasteurizing equipment shall be designed, built, installed, maintained and operated to ensure:

- i. That product and each unit in the batch receives the same sterilizing treatment;
- ii. The heating medium is delivered uniformly to all units in the batch and its composition and temperature must be known;
- iii. Individual equipment is equipped with appropriate pressure gauges and temperature recording equipment; and
- iv. Sterilizing equipment shall be equipped with an Indicating Mercury-in-Glass thermometer with gradients in 0.5deg C (1.0deg F) or an equivalent Temperature-Indicating Device; an accurate timing device easily observed by the operator; and a continuous recording device to record the scheduled process applied to each batch.

7.1.2 Establishing the Scheduled Processes

7.1.2.1 Competent Person

Scheduled processes shall be determined by competent persons having expert knowledge of pasteurization or thermal processing as the case may be and who have access to appropriate facilities and equipment for making measurements and calculations. Scheduled processes shall be based on:

- i. The temperature history of the slowest heating point in the container as determined when establishing the scheduled process;
- ii. The composition of the food;
- iii. The likely number and type of possible spoilage micro-organisms; and
- iv. And the conditions the product is likely to encounter during storage and distribution.

Note: Variations in any of these factors may render the scheduled process inadequate and result in the growth of micro-organisms that survive the process resulting in potential food safety risk or food spoilage.

7.1.2.2 Records of Scheduled Processes

Detailed records of the establishment of all scheduled processes shall be maintained.

7.1.2.3 Critical Factors for Determining Scheduled Processes

The scheduled process shall take into account established critical factors. For conventionally sterilized canned foods the scheduled process shall include:

- i. The product code, name, form or style and packing medium;
- ii. The composition, type, size and internal dimensions of the container;
- iii. The product formulation, weight distribution and viscosity of components;
- iv. Net weight and volume of contents including liquor where appropriate;
- v. Gross weight of container;
- vi. pH of solid and liquid components;
- vii. Matting tendency;
- viii. Rehydration of components where appropriate;
- ix. Minimum initial temperature (not frozen or containing ice crystals);
- x. The type and characteristics of the sterilizing or pasteurizing system;
- xi. The process temperature and time; and
- xii. The method of cooling the containers.



7.1.3 Thermal Processing

7.1.3.1 General

Only properly determined scheduled processes shall be used to complete sterilization or thermal processing of foods. In addition:

- i. Scheduled processes and venting procedures for each product and container shall be displayed in a prominent position in the retorting area and easily accessible to the retort operator; and
- ii. Thermal processes and associated processes shall be performed and supervised only by suitably trained personnel.

7.1.3.2 Application of Thermal Processes

Frequent process control checks shall be completed of those critical factors, characteristics of the product that may influence the temperature history of the slowest heating point in the container to ensure they are within the limits specified in the scheduled process. Those critical factors include but are not limited to:

- i. The products initial temperature;
- ii. Maximum net or drained weight;
- iii. Minimum headspace;
- iv. Consistency of the product;
- v. The style of the product; and
- vi. Minimum closing vacuum (in vacuum-packed products).

Note: Instances where stratification or layering of components in the container affects the rate of heat penetration during thermal processing must be considered.

7.1.3.3 Retorting

Retorting procedures shall include the following:

- i. Retorting shall be commenced as soon as possible after can closure;
- ii. A container on the top of baskets or crates of un-retorted product shall be clearly marked with a heat sensitive indicator;
- iii. Vents shall be fully opened to permit the rapid and total removal of air from steam processing equipment before the pressure vessels are brought to operating temperatures;
- iv. Retorts shall be operated according to the makers specification;
- v. All scheduled process times shall be taken from the clock in the processing area;
- vi. After completion of the scheduled process, containers shall be rapidly cooled **through** the range of 60deg. C (140 deg. F) to 40deg. C (104 deg. F); and
- vii. Cooling water shall be introduced in a manner that minimizes the risk of deformation, breakage (glass jars) and leakage of containers.

Note: Prolonged exposure of canned product within the temperature range (60deg. C to 40deg. C) can compromise product safety and promote the development of heat resistant thermophiles resulting in product spoilage.

7.1.3.4 Cooling Water

Cooling water shall be of suitable microbiological quality, chlorinated and maintained at a measurable level of residual chlorine or otherwise suitably treated to render the water acceptable for container cooling operations. In addition:

- i. Re-circulated cooling water shall be filtered and suitably treated or re-chlorinated;
- ii. Chlorinated cooling water shall be tested after each cooling cycle to verify the existence of a residual chlorine level in the cooling water;
- iii. In circumstances where cooling water is treated by other means the water treatment methods, equipment and materials shall comply with 5.3.4 and the cooling water microbiology and quality monitored as outlined in 6.8; and
- iv. Records of cooling water treatment tests shall be maintained.

7.1.3.5 Post Processing Operations

Container cooling and drying practices shall be designed, implemented and maintained to prevent post process contamination. After completion of the scheduled process the following practices shall be observed as a minimum:

- i. Thermally processed product shall be handled so as not to compromise product safety while seams and seals are wet;
- ii. Manual handling of containers shall be avoided and the containers protected from mechanical shock;
- iii. Conveyors used for handling thermally processed containers shall be kept clean, disinfected and dry;
- iv. Where it is not possible to keep conveyors dry they shall be disinfected on a continuous or semi-continuous basis; and
- v. Heat sensitive indicators shall remain attached to baskets or crates and removed when the product is decreted.

7.1.4 Seam and Seal Integrity

7.1.4.1 Seams and seals shall be examined by a competent person at regular intervals during can closing operations.

7.1.4.2 Records of all seam and seal evaluations, and Corrections and Corrective Actions taken, shall be maintained.



7.1.5 Quality Assurance

7.1.5.1 Procedure

The methods and responsibility for ensuring thermal processes are properly established, documented, correctly applied and supervised shall be documented.

7.1.5.2 Verification of the Scheduled Process

Verification of scheduled processes shall comply with the requirements outlined in 4.5 and no later than the next working day after processing include:

- i. The review and verification of all relevant production and processing records, tests, inspections, analyses and the scheduled processes applied to ensure they are complete and that all products received the correct scheduled process.

7.1.5.3 Dealing With an Incomplete Scheduled Process

Where an incomplete scheduled process has been detected the SQF Practitioner shall ensure that any amendment to the scheduled process is determined by an approved person and detailed records of all amended scheduled processes are maintained. Product suspected of being under processed shall be:

- i. Segregated and retained for further evaluation; and
- ii. Where is established a safe thermal process has not been applied, under processed product shall be destroyed under supervision by physical means.

7.1.5.4 Records

Records of all relevant production activities, tests, inspections, analyses, incubations, evaluations and records of all scheduled processes applied to each batch and actions taken in relation to under processed foods shall be maintained.



8: Implementing an SQF 2000 System

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8. Implementing an SQF 2000 System

8.1 Introduction

A Supplier can choose to develop and implement their SQF 2000 System themselves or they can use a SQF Consultant. The SQF 2000 Code requires that the Suppliers SQF 2000 System, including Food Safety Fundamental requirements, Food Safety Plans and Food Quality Plans, be validated and verified by an SQF Practitioner. The Supplier is required to designate a suitably qualified staff member as a SQF Practitioner.

Figure 1 Steps to implementing an SQF 2000 System



8.2 SQF Practitioner

8.2.1 The SQF Practitioner is an individual, designated by a Supplier who is responsible for the validation and verification of the Suppliers own SQF 2000 System. The SQF Practitioner details shall be verified by the SQF Auditor at each Audit as meeting the following requirements:

- i. Be employed by the Supplier as a permanent full time company employee and hold a position of responsibility in relation to the management of the Suppliers SQF 2000 System;
- ii. Have completed a HACCP Training Course and be experienced and competent to implement and maintain HACCP based Food Safety Plans; and
- iii. Have an understanding of the SQF 2000 Code and the requirements to implement and maintain SQF 2000 Systems relevant to the Suppliers Scope of Certification.

Note: Successful completion of the on-line "Implementing SQF 2000 Systems Training Course Exam" would meet the requirement outlined in 8.2.1 iii. More information on the exam can be found at www.sqfi.com.

Table 1 outlines the information to be provided when designating an SQF Practitioner.



Table 1 SQF Practitioner details

| SQF Practitioner Details | | |
|--------------------------|--|--|
| 1 | SQF Practitioner name | |
| 2 | Position title | |
| 3 | Company name | |
| 4 | Company site address | |
| 5 | Individual's e-mail address | |
| 6 | Details of HACCP training and experience | |
| 7 | Evidence of Knowledge of SQF 2000 Systems Requirements | |
| 8 | Food Sector Categories | |

8.3 Resources

8.3.1 Training

The SQFI makes available an Implementing SQF 2000 Systems Training Course through its network of licensed training centers. These institutions are recognized as a food safety training centre of excellence. Their trainers have extensive knowledge of the food industry as well as a sound knowledge of how to implement an SQF system. Those responsible for designing, implementing and maintaining their SQF system are encouraged to participate in a training course that is made available in various locations. Details of the training centers and the countries in which they operate are available at www.sqfi.com. The dates and locations of the courses can be obtained by contacting the training centers through this web link.

The SQFI also provides the Implementing SQF 2000 Systems e-learning Training Course via www.sqfi.com. The online training solution is a web based education portal where staff will be able to enroll and complete SQF 2000 Systems training in their own time and at their own pace.

Training in other food industry disciplines, such as HACCP, may also be required and the training centers can provide details of other training courses they provide.

8.3.2 Guidance Documents

The SQFI will prepare and release guidance documents to help Suppliers with their interpretation of the requirements of the SQF 2000 Code and assist with documenting and implementing their SQF 2000 System.

The SQF Institute will release guidance for various industry sectors as required. The General Food Processing Guidance document outlines guidance to cover most food processing operations and can be used where no specific industry sector guidance is available.

The Guidance documents are available at www.sqfi.com.

8.3.3 Self Assessment Checklists

In addition to the SQF 2000 training and the guidance documents provided the SQFI provides a self assessment checklist that Suppliers can use to determine what systems and procedures they already in place and establish the gap (if any) between what already exists and what needs to be developed to meet the SQF requirements.

The Self Assessment Checklist is available at www.sqfi.com.

8.3.4 SQF Consultant

8.3.4.1 A Supplier can engage the services of an SQF Consultant to assist with the design, development, implementation, validation and verification of their SQF System. All SQF Consultants are registered by the SQFI to work in specific Food Sector Categories. They are issued with an identity card indicating the Food Sector Categories in which they are registered and Suppliers are encouraged to confirm a SQF Consultant's registration details at www.sqfi.com before engaging their services. The criteria outlining the requirements necessary to qualify as a SQF Consultant and the application forms are available at www.sqfi.com.

Figure 2 Example SQF Consultant ID card





8.3.4.2 An "SQF Consultant Code of Practice" outlines the practices expected of SQF Consultants and to assist SQF Consultants in the delivery of their services. A copy of the Code of Practice and a list of SQF Consultants are available on the SQFI web site. It is a Supplier's responsibility to exercise appropriate due diligence when selecting and engaging the services of an SQF Consultant.

8.4 Certification Levels

8.4.1 The Supplier can choose between three levels of Certification. Each level is designed to indicate the stage of development of a Supplier's food safety and quality management system. It is advisable that the Supplier choose a level that is acceptable to its customer and which in line with food regulatory requirements. The attainment of a particular level indicates the stage of development of the Supplier's SQF 2000 System. The three levels of Certification are:

Level 1 Food Safety Fundamentals: Indicates that Pre-requisite Programs and fundamental food safety controls have been implemented to provide a sound foundation for the further development of the Supplier's management system.

Level 2 Certified HACCP Based Food Safety Plans: Incorporates all Level 1 system requirements and indicates that a food safety risk analysis of the crop, its production and harvest has been completed to identify the hazards and the action taken to eliminate, prevent or reduce their occurrence.

Level 3 Comprehensive Food Safety and Quality Management System: Incorporates all Level 1 and Level 2 system requirements and indicates that a food quality risk analysis of the product and its associated process has been completed, that the actions taken to prevent the incidence of poor quality have been implemented and the remaining quality management system procedures have been implemented.

8.5 Change of Ownership

8.5.1 Where a Certified Supplier's sells their business and the new owner wishes to retain the business name and continue with SQF Certification the new owner, within thirty days of the change of ownership, is required to apply to a Certification Body to retain the SQF Certification and the existing Certification Number. In such cases the Certification Body is required complete a Certification Audit.

8.5.2 Suppliers are encouraged to contact a Licensed Certification Body who will provide more detail on the conditions relating to a change of ownership.

8.6 Appeals, Complaints and Disputes

8.6.1 Where a Supplier has cause to register a complaint about a Certification Bodies activities, or appeal or dispute a decision made by a Certification Body, including the activities and decisions of its Auditors, the Certification Body is required to investigate and resolve these matters without delay and keep a record of all complaints, appeals and disputes and their resolution

8.6.2 Where a Certification Body receives a complaint about a Supplier from other parties the Certification Body is required to investigate and resolve the matter without delay and keep a record of all complaints, appeals and disputes and their resolution.

8.6.3 Where after investigation of a complaint outlined in 8.6.2 it is determined that there has been a substantiated breach of the Suppliers Scope of Certification or breakdown of a Supplier's SQF System or any other condition not in accordance with the SQF 2000 Code and/or other supporting documents the Certification Body shall implement action outlined in Section 10 – 10.18.3/4.

8.7 Certification Performance Survey

8.7.1 Once an SQF Audit is completed, the SQFI will email to the Supplier a survey designed to capture and record their impression of the service provided by the SQF Consultant, the Auditor, the Audit process and the service provided by the Certification Body. The SQF Institute will evaluate the data received to improve the SQF Program, and provide feedback to Consultants, Auditors and Certification Body's as required.



9. Principles & Application of HACCP

Table 1 A description of the 12 HACCP steps that comprise the HACCP Method

(Adapted from Codex Alimentations Commission – Recommended International Code of Practice General Principles of Food Hygiene, CAC/RCP 1-1969, Rev. 4-2003)

| | | |
|--------------------------|---|---|
| Preliminary Steps | | <ol style="list-style-type: none"> 1. Assemble HACCP team with expertise in product and processes 2. Describe product 3. Identify intended use 4. Construct flow diagram 5. Confirm flow diagram against process in operation (or planned process) |
| HACCP Principle | | HACCP Application |
| 1 | Conduct a hazard analysis | 6. List all potential hazards associated with each step and consider any measures to control identified hazards |
| 2 | Determine Critical Control Points (CCPs) | 7. Determine CCPs |
| 3 | Establish critical limit(s) | 8. Establish critical limits and tolerance levels. Determine at what point critical limit is exceeded based on known limits or risk assessment if unknown |
| 4 | Establish system to monitor control of CCP(s) | 9. Establish a monitoring system for CCP that is able to detect loss of control i.e. when critical limits are exceeded. Consider continuous monitoring and/or periodic audit |
| 5 | Establish Corrective Action to be taken when monitoring indicates CCP(s) are not under control | 10. Establish Corrective Actions that are able to deal with loss of control when it occurs and is capable of determining when CCP has been brought under control |
| 6 | Establish procedures for verification to confirm that the HACCP system is working effectively | 11. Establish procedures for verification or audit that include review of HACCP system and records, records of deviations and actions taken in order to confirm that CCPs are kept under control |
| 7 | Establish documentation covering all procedures and records appropriate to these principles and their application | 12. Documentation and record keeping should be appropriate to the nature and scale of the operation |



Section 10: Certifying SQF 2000 Systems

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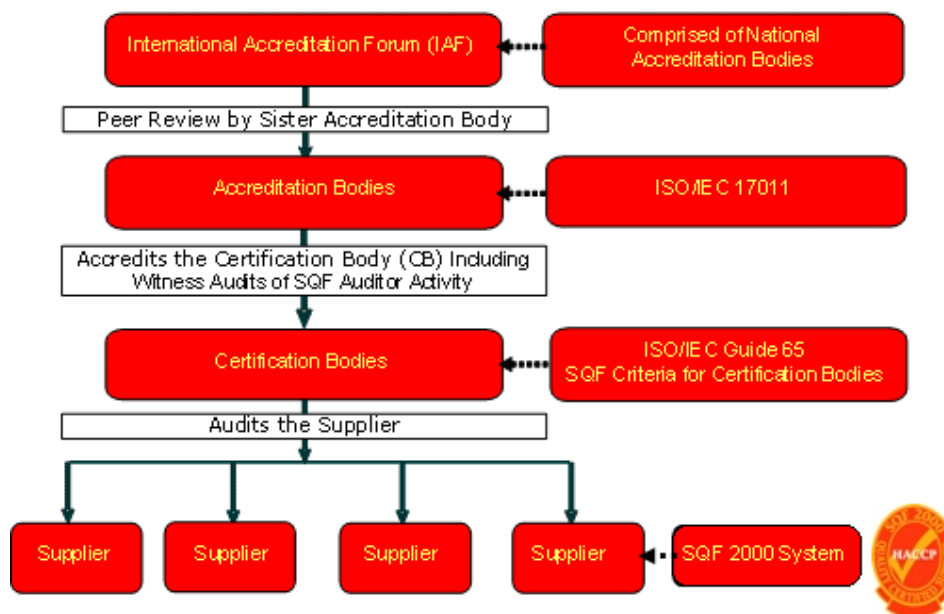


10. Certifying SQF 2000 Systems

10.1 Introduction

10.1.1 Certification of a SQF 2000 System is conducted by Certification Body's (also known as Inspection Companies or Registrars) licensed by the SQF Institute and accredited under international accreditation norms. The SQFI has prepared a document, "SQFI Guidance on the Application of ISO/IEC Guide 65:1996 General Requirements for Certification Body's for Certification of SQF Systems" to outline the requirements that SQF Certification Body's must comply with.

Figure 3 A description of the application of international accreditation and certification norms and the relationships between the parties involved.



10.2 Requirements for Accreditation Body's

10.2.1 Accreditation Body's are licensed by the SQF Institute. They are required to maintain Accreditation in compliance with the international standard ISO/IEC 17011. Accreditation Body's shall assess the activities and procedures of the SQF Certification Body to ensure they are in compliance with ISO/IEC Guide 65 and the SQF Criteria for Certification Body's.

10.3 Requirements for Certification Body's

10.3.1 Certification Body's are licensed by the SQF Institute to conduct the SQF audit and issue the SQF certification. They are required to use SQF auditors who are registered by the SQF Institute. A list of Licensed Certification Body's is available at www.sqfi.com.

10.3.2 Certification Body's shall be Accredited to the international standard ISO/IEC Guide 65 and be subject to regular assessments of their certification and audit activities by SQFI licensed Accreditation Body's. Assessments are conducted at the head office of the Certification Body and it's Key Locations at least annually.

10.3.3 The service provided by Certification Body's in countries aligned to a Key Locations is also subject to assessment.

10.3.4 When conducting Assessments of a Certification Body's activity the Accreditation Body is required to complete witness assessments of selected SQF Auditors.

10.3.5 The Certification Body is required to ensure that their auditors shall not audit SQF Systems that relate to or include Food Industry Categories that the Auditor is not registered to Audit.



10.4 Appointing the Certification Body

10.4.1 A Supplier is required to have a Certification Body appointed at all times.

10.4.2 A contract shall exist between the Supplier and the Certification Body outlining the conditions under which the SQF Audit and Certification service is provided. The contract shall include as a minimum:

- i. The scope of the audit and expected time to conduct and finalize the audit and the reporting requirements;
- ii. The Certification Body's fee structure;
- iii. The conditions under which the SQF Certificate be issued, withdrawn or suspended; and
- iv. The Certification Body's appeals, complaints and disputes procedure.

10.5 Changing the Certification Body

10.5.1 A Supplier can change its Certification Body after one Certification cycle and only when there has been closure of all outstanding Non-Conformities and provided the Certification is not suspended or under threat of suspension or withdrawal.

Note: Certification Body's can make available to Supplier their procedures outlining the conditions under which a change of Certification Body can proceed.

10.6 Scope of Certification

10.6.1 SQF 2000 Certification is "site" and product specific. Where activities are carried out in different premises in close proximity to one another, and those activities are overseen by the same Senior Management, the "site" can be expanded to include those premises.

10.6.2 The **Scope of Certification** forms part of the Certificate of Registration. It describes the Food Sector Categories (see Appendix 5) and the products processed and handled on that "site". The Certificate of Registration outlines the location of the "site" and nature and extent of the Suppliers SQF 2000 Certification.

Note 1: The "site" is the actual street address of the premises.

Note 2: Suppliers need to be aware that products not listed under the Scope of Certification should not be promoted as being covered by the Certification. Instances where this is identified and substantiated (either by regular Audit or by other means) may result in immediate withdrawal of the SQF 2000 Certification.

10.7 Changing the Scope of Certification

10.7.1 Where the Scope of Certification is changed (i.e. expanded or reduced by the addition or removal of additional Food Sector Categories or products), a new Certificate of Registration shall be issued. Expansions of Scope require verification by the Certification Body has by site Audit that the changes comply with the SQF 2000 Code requirements, the relevant legislation and any customer requirements.

10.7.2 The Certification Body shall make the appropriate changes to the Suppliers record on the SQFI database.

10.8 Identifying the Scope of the Audit

10.8.1 The Supplier and the Certification Body shall agree the Audit scope before any Audit (including the Document Review) is commenced. The scope shall cover the Food Sector Categories and the products listed under the Scope of Certification for a "site". The Audit scope shall cover all processes under the control of the Supplier including from raw material receipt to shipment of finished product.

10.9 Requirements for SQF Auditors

10.9.1 SQF Auditors are registered with the SQF Institute. The SQF Institute has established specific criteria that SQF Auditors must meet including a requirement that Auditors demonstrate they are competent to Audit the Food Sector Category they apply for.

10.9.2 SQF Auditors are required to sign a contract with a licensed SQF Certification Body. They are required to:

- i. Maintain their SQF Auditor registration;
- ii. Maintain an audit log; and
- iii. Sign and comply with the Code of Conduct for SQF Auditors.

Note: SQF Auditors who are full time staff employees are deemed to be under contract with their employee. SQF Contract Auditors are required to have a contract with their Certification Body.

10.9.3 Certification Body's are required to use only registered SQF Auditors and Suppliers are encouraged to verify the SQF Auditors identification (see Figure 4) before the Audit. The SQF Auditor Criteria and a list of registered SQF Auditors are available on the SQFI web site at www.sqfi.com.


10.10 Rotation of Auditors

10.10.1 The Certification Body shall ensure no SQF Auditor conducts Audits of the same Supplier for more than three consecutive Certification Cycles.



Figure 4 Example SQF Auditor ID card

| SQF AUDITOR | | |
|------------------------|--------------------------------------|----------------|
| Reg. No | Expiry Date | Licensed Since |
| 00000 | 7 Nov. 2008 | 7 Nov. 1994 |
| Food Sector Categories | 3, 4, 14, 25 | |
| 1 st Name | Surname | |
| Marion | JONES | |
| Address | 35 Plum Tree Rd. YAKIMA WA USA | |



10.11 Technical Experts

10.11.1 In circumstances where a Technical Expert is used to assist an SQF Auditor in the performance of an SQF Audit the Supplier shall be notified in advance and retains the option of accepting or rejecting their participation where a conflict of interest is demonstrated. The Technical Expert shall sign a confidentiality agreement with the Certification Body.

10.11.2 Prior to participating in any Audit activity a Technical Expert shall be registered with the SQF Institute and observe the Conflict of Interest provisions included at 10.13.

10.12 Language

10.12.1 The Certification Body shall ensure that the SQF Auditor conducting the Audit can competently communicate in the oral and written language of the Supplier being Audited.

10.12.2 In circumstances where a translator is required that translator shall be provided by the Certification Body and shall have knowledge of the technical terms used during the Audit; be independent of the Supplier being Audited and have no conflict of interest. The Supplier shall be notified of any increase in Audit duration and cost associated with the use of a translator.

10.12.3 For the purpose of resolving a conflict, the English version of the SQF 2000 Code shall be the deciding reference.

10.13 Conflict of Interest

10.13.1 Conflict of interest provisions form part of internationally accepted procedures and standards to ensure the impartiality of the auditor is maintained and to maintain the integrity of the third party audit. The SQF Auditor must disclose to the Certification Body any existing, former or proposed link between themselves or their organization and the Supplier (client).

10.13.2 The SQF Program outlines requirements for SQF Auditors and Certification Body's to ensure that there is no conflict of interest in regard to the way in which SQF Auditors undertake audits of SQF Systems. Accordingly, SQF Auditors shall not Audit an SQF System where they have participated in a consulting role involving the Supplier in question, or any body related to the Supplier, within the last two years.

10.13.3 Consulting is considered to be participating in an active and creative manner in the development of the SQF System to be audited and would include activities such as:

- i. Producing or preparing Food Safety Plans, manuals, handbooks or procedures;
- ii. Participating in the decision making process regarding SQF Systems;
- iii. Giving advice - as a consultant or otherwise - toward the design, development, validation, verification, implementation or maintenance of SQF Systems; and
- iv. Deliver or participate in the delivery of an "in house" training service at which advice and instruction on the development and implementation of a Food Safety Plan and SQF Systems for eventual certification is provided.

10.13.4 A Supplier can refuse to the service of an SQF Auditor where they consider the Auditor may have a conflict of interest, or for other reasons. In such circumstances the Supplier shall outline the reasons in writing to the Certification Body.

10.14 The Certification Process

10.14.1 The **Document Review** is undertaken to verify that the Supplier's SQF System documentation meets the requirements of the SQF Code. It shall establish and ensure:

- i. An appropriately qualified SQF Practitioner is designated;
- ii. The Food Safety Plan and the associated CCP determinations and validations and verifications are appropriately documented and endorsed by the SQF Practitioner; and
- iii. That the documented System is relevant to the Scope of Certification and the products processed there under.

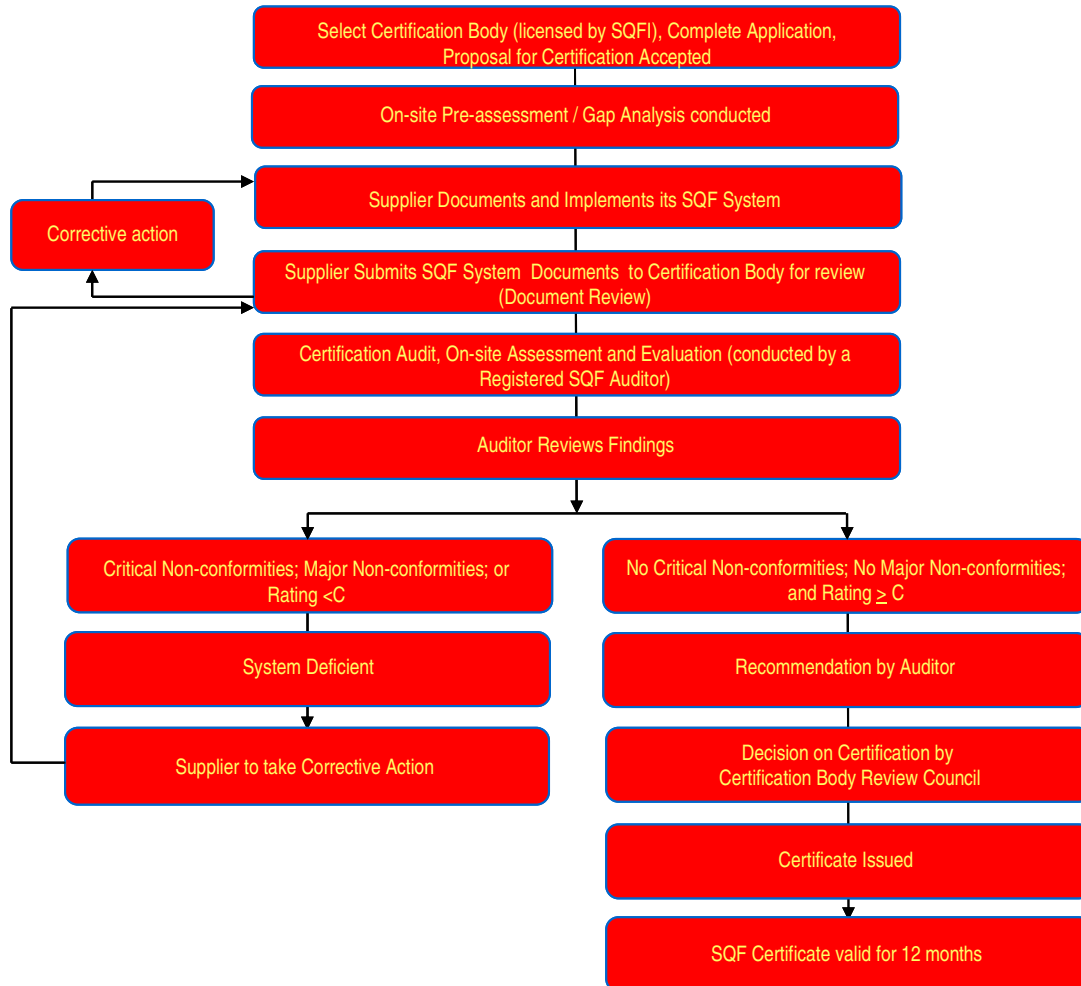


10.14.2 The Certification Body shall notify the Supplier of Corrections or Corrective Action, or any aspects of the SQF System that require improvement or adjustment and verify that all Corrections or Corrective Action has been addressed before proceeding with a Certification Audit.

10.14.3 The **Certification Audit** is conducted on-site and where applicable during the main part of the season. It determines the SQF System is implemented as documented. It establishes and verifies the:

- i. Effectiveness of the SQF System in its entirety;
- ii. Effective inter-action between all elements of the SQF System; and
- iii. Supplier has demonstrated a commitment to maintaining an effective SQF System and to meeting their regulatory and customer requirements.

Figure 5 Steps to achieving SQF 2000 Certification



10.14.4 **The Surveillance Audit** is conducted when the results of a Certification or Re-certification Audit do not support an annual Audit frequency. The purpose of the Surveillance Audit is to:

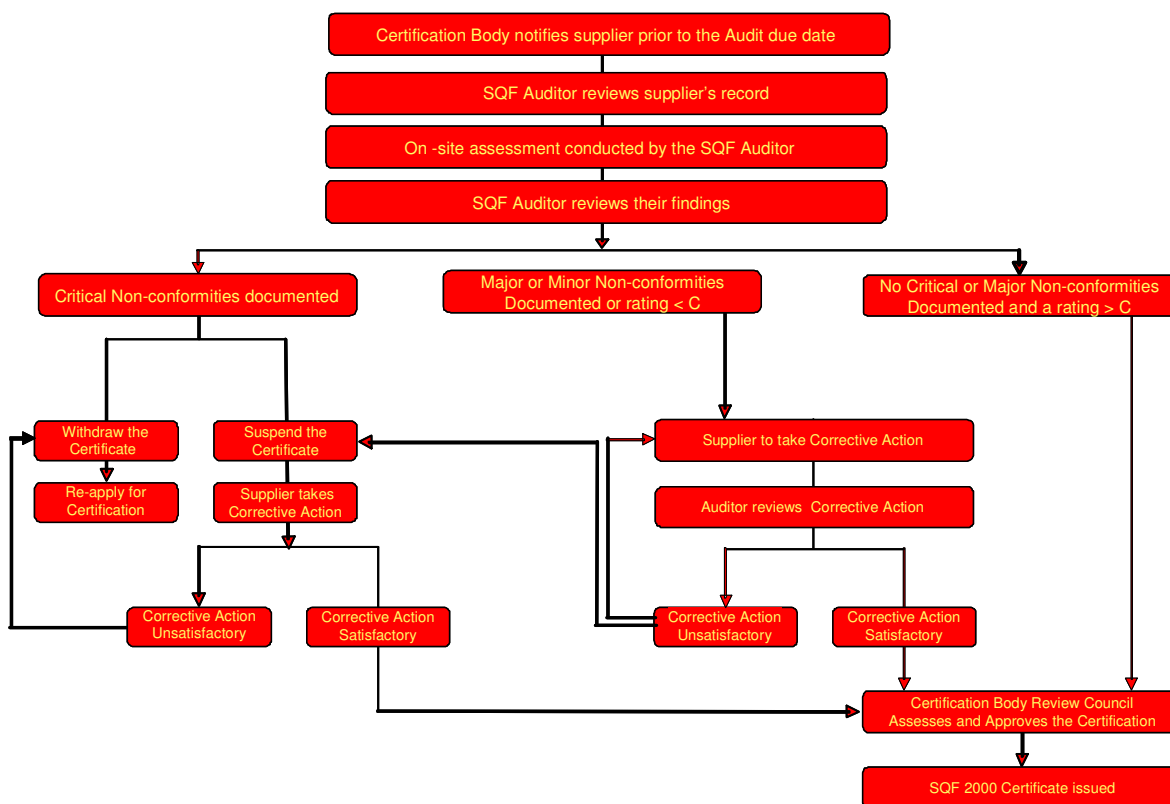
- i. Verify outstanding Corrections and Corrective Actions have been appropriately addressed and to close-out outstanding Non-conformance;
- ii. Verify that the SQF System continues to be implemented as documented;
- iii. Consider and take appropriate action where changes to the Supplier's operations are made and the impact of those changes on the Supplier's SQF System;
- iv. Confirm continued compliance with the requirements of the relevant SQF Code;
- v. Verify all critical steps remain under control; and
- vi. Contribute to continued improvement of the Supplier's SQF System and business operation.



10.14.5 **The Re-certification Audit** of the SQF System is undertaken to verify the continued effectiveness of the Supplier's SQF System in its entirety. The Re-certification Audit shall provide for a review of past performance of the SQF System and is conducted annually on the anniversary date of the issue of the initial Certification. The purpose of the Re-certification Audit is to:

- i. Verify outstanding Corrections and Corrective Actions have been appropriately addressed and to close-out outstanding Non-conformance;
- ii. Verify that the SQF System continues to be implemented as documented;
- iii. Consider and take appropriate action where changes to the Supplier's operations are made and the impact of those changes on the Supplier's SQF System;
- iv. Verify all critical steps remain under control and the effective inter-action between all elements of the SQF System;
- v. Verify the overall effectiveness of the SQF System in its entirety in the light of changes in operations;
- vi. Verify the Supplier continues to demonstrate a commitment to maintaining the effectiveness of the SQF System and to meeting regulatory and customer requirements; and
- vii. Contribute to continued improvement of the Supplier's SQF System and business operation.

Figure 6 Diagram showing the Re-certification Process



10.15 Time Taken to Conduct the SQF Audit

10.15.1 A third party food safety audit involves a number of stages. Audit preparation includes reviewing past reports and once the on-site audit is conducted the time to prepare the audit report and follow up outstanding Corrective Actions must be considered.

10.15.2 Once the Certification Body has the details of the Scope of the Certification, the number of different processes and products manufactured and handled on the site, they will be able to provide an estimate of the time it will take to complete the Audit.

10.15.3 The Audit times will vary according to the size and complexity of the site operations.

10.15.4 Audit costs are generally calculated on hourly rates. The Certification Body shall provide estimates of the number of hours required to Audit your SQF system. Factors that can impact on the audit duration include:

- i. The Scope of the Audit;
- ii. Dealing with issues from previous audits;
- iii. The size of the site and the design of product and people flows;
- iv. The number and complexity of product lines and the overall process;



- v. Whether the product is high or low risk;
- vi. The complexity of the SQF System design and documentation
- vii. The level of mechanization and labor intensive operations;
- viii. The ease of communication with company personnel (different languages spoken);
- ix. The skill of the Auditor; and
- x. The co-operation of the Supplier's personnel.

10.15.5 In addition to the above consideration must be given to the cost incurred for travel, car hire accommodation and other expenses associated with getting the Auditor to the site.

Note: Details of how a Supplier can prepare for an efficient SQF 2000 Systems Audit are covered in the Implementing SQF 2000 Systems Training Course. This training will provide the Supplier with information on how to efficiently document their SQF 2000 system so that is easy to follow, implement, amend and contribute to an efficient third party audit.

10.16 The Audit Report

10.16.1 Introduction

10.16.1.2 The SQFI provides the Certification Body with the audit checklist to be used by their Auditors when conducting SQF Audits. These audit checklists are designed to assist with the uniform application of SQF Audit requirements. A sample of the Audit report summary is provided as Appendix 4.

10.16.2 Guidelines

10.16.2.1 These explanatory notes are provided to assist in the uniform Audit of SQF Systems. Customer requirements will vary and it is the responsibility of the Certification Body to ensure that Audits undertaken by their SQF Auditors are thorough, that all requirements are fulfilled and the report is complete. The audit report is used by SQF Auditors to record their findings in determining the extent to which Supplier operations comply with stated requirements.

10.16.2.2 Each aspect of a Suppliers SQF System is assessed and the following criteria are used:

- 4** - Does not meet the criteria (Critical Non-conformity)
- 3** - Does not meet the criteria (Major Non-conformity)
- 2** - Does not meet the criteria because of minor variations (Minor Non-conformity)
- 1** - Opportunity for improvement
- 0** - Meets the criteria

10.16.2.3 A rating is calculated for the premises as a whole. It provides a basis for comparing the overall condition of the premises against the standards. The rating is determined as follows:

$$\frac{A - B}{A} \times 100 = \text{Rating}$$

10.16.2.4 Where A is the product of multiplying the number of aspects assessed by 4; and B is the sum of the individual rating criteria allocated.

10.16.2.5 Defects and Corrections listed in the report are to be accurately described by the SQF Auditor on a Corrective Action Request (CAR).

10.16.2.6 To achieve and maintain SQF Systems Certification a Supplier shall achieve a minimum rating of **C** and have no Critical or Major Non-conformity identified during a Certification or Re-certification Audit. The following rating represents the standard of the premises. It can also be used to rate areas within the premises:

| | | | | |
|----|---|-----|----------|---------------------------------------|
| 0 | - | 59 | F | FAILS TO COMPLY |
| 60 | - | 75 | M | CONSIDERED MARGINAL (Does not comply) |
| 76 | - | 85 | C | CONSIDERED TO COMPLY |
| 86 | - | 95 | G | CONSIDERED GOOD |
| 96 | - | 100 | E | CONSIDERED EXCELLENT |

10.16.2.7 The SQF Audit report shall remain the property of the Certification Body's client and shall not be distributed to other parties without the permission of that client.

10.17 Non-conformance

10.17.1 Minor Non-conformance

Minor Non-conformance means a lack or deficiency in the SQF System that produces unsatisfactory conditions that if not addressed may lead to a risk to food safety and quality but not likely to cause a systems element breakdown.



10.17.1.1 Dealing with a Minor Non-conformity

A Minor Non-conformity shall be Corrected, verified and closed out within 30 days of the completion of the on-site Audit. In circumstances where there is no immediate threat to product safety or quality, extensions may be granted by the Certification Body but a Minor Non-conformity shall be Corrected and appropriate Corrective Action verified by the SQF Auditor before or at the next Surveillance or Re-certification Audit.

10.17.2 Major Non-conformance

Major Non-conformance means a lack or deficiency in the SQF System producing unsatisfactory conditions that carry a food safety or quality risk and likely to result in a systems element breakdown.

10.17.2.1 Dealing with a Major Non-conformity

A Major Non-conformity shall be Corrected and appropriate Corrective Action verified and closed out within 14 days of the completion of the on-site Audit. In circumstances where the Corrective Action involves structural change or where the Major Non-conformity cannot be Corrected due to seasonal conditions, or where there is no immediate threat to product safety or quality this period can be extended provided the Corrective Action time frame is acceptable to the Certification Body. In such cases the Auditor shall document all details of justification of the extension and how the risk is being controlled. The Major Non-conformity shall be Corrected and appropriate Corrective Action verified by the SQF Auditor before or at the next Surveillance or Re-certification Audit.

10.17.3 Critical Non-conformance

Critical Non-conformance means a breakdown of control(s) at a critical control point a Pre-requisite Program or other process step and judged likely to cause a significant public health risk whereby product safety is compromised and judged likely to result in a Class 1 or Class 2 recall and effective Corrective Action is not taken and falsification of records relating to food safety controls and the SQF System.

10.17.3.1 Dealing with a Critical Non-conformity

Where a Critical Non-conformity is detected at Audit the Certification Body shall suspend or withdraw the SQF 2000 Certificate of Registration. The criteria for dealing with suspensions and withdrawals of Certification are outlined in 10.18.4 and 10.18.5 below.

Note: Corrective Action to rectify Non-conformities involving food safety shall be implemented as outline by the SQF Auditor. Recommendations to suspend production and isolate product may be necessary if defects cannot be rectified immediately. Correction of these defects shall be made to ensure product is not at risk. All Non-conformities and their resolution shall be documented by the SQF Auditor.

10.18 Decisions on Certification

10.18.1 Granting Certification

10.18.1.1 Certification of SQF Systems shall be awarded to Suppliers who achieve a "C" Audit rating or greater with no outstanding Non-conformities.

10.18.1.2 Once SQF 2000 Certification is granted the SQF Institute issues a unique Certification Number which is specific to that Site.

10.18.1.3 Within fourteen (14) days of granting Certification the Certification Body shall provide to the Supplier:

For Level 1 and Level 2

- i. A Certificate of Registration in the form set out in Appendix 6;
- ii. A statement detailing the duration of the Certification and the grounds upon which Certification may be suspended or withdrawn;
- iii. The Audit Report including the Audit rating; and
- iv. The requirements for undertaking Surveillance Audits and Re-Certification Audits and their frequency.

For Level 3

- v. In addition to items i. to iv. above the Certification Body shall provide an electronic copy of the SQF 2000 Certification Trade Mark containing the Certification Body name and the Suppliers Certification number.

10.18.2 Maintaining Certification

10.18.2.1 To maintain SQF 2000 Certification a Supplier is required to attain a "C" Audit rating or greater, ensure the number and type of Non-conformances detected at Audit does not exceed the threshold level (see Table 5) and ensure all Non-conformities are Corrected within the time frame specified.

10.18.3 Suspending Certification

10.18.3.1 The Certification Body shall suspend the SQF Certificate of Registration where a Critical Non-conformity is detected at Audit or where a Supplier fails to take Corrective Action within the time frame specified.



10.18.3.2 Where the Supplier's Certificate of Registration is suspended the Certification Body shall immediately amend the Suppliers details on the SQFI database to a "suspended" status indicating the reason for the suspension and the date of effect; and in writing:

- i. Inform the Supplier of the reasons for the action taken and the date of effect; and
- ii. Request the Supplier to provide to the Certification Body, within 48 hours of receiving notice of the suspension, a detailed Corrective Action Plan outlining the Corrective Action to be taken.

10.18.3.3 Where the Supplier's Certificate of Registration is suspended the Certification Body shall upon receipt of the detailed Corrective Action Plan:

- i. By the means of an on-site Audit and within thirty (30) days of receiving the Corrective Action Plan verify that the immediate Correction has been taken;
- ii. Not more than three (3) months after suspension the Certification Body shall verify by site Audit the effective implementation of the Corrective Action Plan and that the Suppliers SQF System is achieving stated objectives; and
- iii. Where Corrective Action has been successfully taken re-instate the Suppliers status on the SQFI database and give written notice to the Supplier that their Certificate of Registration is no longer suspended.

10.18.3.4 Where a Certification Body has suspended a Supplier's SQF Certificate of Registration, for the duration of suspension the Supplier shall not represent itself as holding a SQF Certificate of Registration.

For Level 3

10.18.3.5 In addition to 10.18.3.4 above not apply the SQF 2000 Certification Trade Mark to any goods, product or packaging while under suspension.

10.18.4 Withdrawing Certification

10.18.4.1 The Certification Body shall withdraw the Certificate of Registration where the Supplier:

- i. Having been placed under suspension fails to take Corrective Action within the time frame specified;
- ii. Has falsified its records;
- iii. Fails to have the required Audit conducted within 30 days of the due date;
- iv. Fails to comply with the Certificate of Registration; or
- v. Has an administrator, receiver, receiver and manager, official manager or provisional liquidator appointed over its assets or where an order is made or a resolution passed for the winding up of the Supplier (except for the purposes of amalgamation or reconstruction) or the Supplier ceases to carry on business or becomes bankrupt, applies to take the benefit of any law for the relief of bankrupt or insolvent debtors or makes any arrangement or composition with its creditors.

For Level 3

- vi. In addition to 10.18.4.1 i. to v. above uses the SQF 2000 Certification Trade Mark while under suspension; and
- vii. Uses the SQF 2000 Certification Trade Mark inappropriately and not in accordance with the document entitled "SQF 2000 Certification Trade Mark - Rules for Use" without a valid reason

10.18.4.2 Where the Supplier's Certificate of Registration is withdrawn the Certification Body shall immediately amend the Suppliers details on the SQFI database to a "withdrawn" status indicating the reason for the withdrawal and the date of effect; and in writing:

- i. Inform the Supplier that the SQF Certificate of Registration has been withdrawn, the reason for such action and the date of effect; and
- ii. Instruct the Supplier to return the Certificate of Registration and the electronic copy of the Certification Trade Mark.

For Level 3

- iii. In addition to 10.18.4.2 i. and ii. inform the Supplier that all packaging, stationary and other means that may indicate the Supplier holds SQF Certification or which contain a Certification Trade Mark. Such materials shall be treated as outlined section 6 of the "SQF 2000 Certification Trade Marks - Rules for Use".

10.18.4.3 The Certification Body is responsible for initiating the suspension and withdrawal of the SQF 2000 Certificate.

10.19 SQF 2000 Audit Frequency

10.19.1 General Requirements

In general Audits of SQF 2000 systems are conducted annually. A 60 day period (30 days either side of the Certification anniversary date) is provided to enable the Certification Body sufficient time to complete the Audit. In this time period the Supplier is required to Correct any Non-conformances found at Audit and the Certification Body is required to close out those Non-conformances and post the Suppliers Certification details on the SQFI database.

10.19.2 Seasonal Conditions

Where a Supplier operates under Seasonal conditions (a period in which the major processing activity is conducted over not more than five consecutive months) the Certification Audit and the Re-certification Audit shall be



completed within thirty (30) days after the start of the main part of the season. In such circumstances a Surveillance Audit shall not apply.

10.19.3 Audit Frequency

10.19.3.1 The Audit frequency is determined by the Suppliers SQF System rating and the type/number of Non-conformances detected during a Certification or Re-certification Audit.

Table 4 Determining the Audit Frequency (Audit Rating: **E** = Excellent; **G** = Good; **C** = Comply)

| Audit Rating | Type of Non Conformance | | | Action | Audit Frequency |
|--------------|-------------------------|-----------|------------|--|--|
| | Critical | Major | Minor | | |
| C | - | - | - | Supplier to Correct all Non-conformances identified. Certification Body to verify Non-conformances are Corrected before issuing the SQF 2000 Certificate of Registration. | 6 months Surveillance until an appropriate Audit result is achieved |
| G | 0 | 0 | ≤15 | Supplier to Correct Non-conformance. Certification Body to verify Non-conformances are Corrected before issuing the SQF 2000 Certificate of Registration. | 12 months; otherwise 6 months surveillance until an appropriate Audit result is achieved |
| G | 0 | ≤1 | ≤5 | Supplier to Correct Non-conformance. Certification Body to verify Non-conformances are Corrected before issuing the SQF 2000 Certificate of Registration. | 12 months; otherwise 6 months surveillance until an appropriate Audit result is achieved |
| E | 0 | 0 | ≤20 | Supplier to Correct Non-conformance. Certification Body to verify Non-conformances are Corrected before issuing the SQF 2000 Certificate of Registration. | 12 months; otherwise 6 months surveillance until an appropriate Audit result is achieved |
| E | 0 | ≤1 | ≤10 | Supplier to Correct Non-conformance. Certification Body to verify Non-conformances are Corrected before issuing the SQF 2000 Certificate of Registration. | 12 months; otherwise 6 months surveillance until an appropriate Audit result is achieved |
| E | 0 | ≤2 | ≤0 | Supplier to Correct Non-conformance. Certification Body to verify Non-conformances are Corrected before issuing the SQF 2000 Certificate of Registration. | 12 months; otherwise 6 months surveillance until an appropriate Audit result is achieved |

10.19.3.2 Once Certified the Audit frequency shall be amended depending on the type/number of Non-conformances detected at a Re-certification Audit and the overall rating achieved. The Suppliers Certificate of Registration shall be maintained provided the required conditions are met and the number of Non-conformances does not exceed the threshold level requiring the suspension (see 10.18.3) or withdrawal (see 10.18.4) of the Certificate of Registration.

10.19.3.3 The Audit frequency is further adjusted when a Suppliers Certificate is suspended or withdrawn as outlined in Table 5.

Table 5 Determining the impact of Non-conformance on the Audit frequency.

| Audit Rating | Type of Non Conformance | | | Action | Audit Frequency |
|--------------|-------------------------|-----------|------------|---|--|
| | Critical | Major | Minor | | |
| C/G/E | 1 | 0 | 0 | Withdraw Certification <i>(depending on the nature of the Critical Non-conformance see 10.19)</i> | Re-apply for Certification 3 month review; then 6 months for two audit periods; then 12 monthly if the appropriate Audit result is achieved |
| | | | | Suspend Certification | 3 month review; then 6 months for two audit periods; then 12 monthly if the appropriate Audit result is achieved |
| C/G/E | 0 | ≥4 | 0 | Suspend Certification | 3 month review; then 6 months for two audit periods; then 12 monthly if the appropriate Audit result is achieved |
| C/G/E | 0 | ≥3 | ≥10 | Suspend Certification | 3 month review; then 6 months for two audit periods; then 12 monthly if the appropriate Audit result is achieved |
| C/G/E | 0 | ≥2 | ≥20 | Suspend Certification | 3 month review; then 6 months for two audit periods; then 12 monthly if the appropriate Audit result is achieved |
| C/G/E | 0 | ≥1 | ≥30 | Suspend Certification | 3 month review; then 6 months for two audit periods; then 12 monthly if the appropriate Audit result is achieved |



Section 11: The SQFI Audit and Certification Management System and Supplier Database

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11. The SQFI Audit and Certification Management System and Supplier Database

11.1 Introduction

11.1.1 The SQF Institute provides stakeholders with details of SQF Certification Bodies, auditors, consultants and training providers through an online database. This online portal also utilizes the latest data collection technology to capture suppliers' certification details and audit results.

11.1.2 Suppliers, Buyers and the Certifiers, the three main users of the SQF program, will have password protected access to information contained in the database that is relevant to their needs and will ensure efficient and effective communication and information flows.

11.1.3 This innovative technology will be available by October 2008. Supported by SQFI partners Muddy Boots and Agentrics, it will enable Suppliers, through password protected access, to manage information about their SQF Certification and make it available to their customers.

11.2 SQF Audit and Certification Management

11.2.1 The main features of the SQF Audit and Certification Management system include:

- i. Anywhere data collection and input – Auditors will use mobile devices, such as laptops or tablet PCs, equipped with unique software known as the SQFI Quickfire PAF (portable audit format) application to capture audit data, eliminating a manual, paper-based process;
- ii. Faster audit processing – Simplifying and automating input will speed the audit process and improve audit reporting by 50%;
- iii. Task management – Corrective Actions and follow ups are automatically scheduled and prioritized during the audit to ensure outstanding tasks are managed effectively. Certification Bodies can upload Audit reports; and
- iv. Permission-based online access – Suppliers will access and manage their audit results; notify auditors when Corrective Action has been completed and enable them to share Audit results and information with their customers. This will support continuous improvement and build greater customer confidence.

11.3 SQFI Online Database

11.3.1 Details about a supplier's certification status and audit results will be made available online at www.sqfi.com according to four different permission-based levels.

Public Access Level 1: Level one provides public access to basic details of a supplier's SQF Certification status. Access will alert current and potential customers of a Suppliers achievement thus raising customer confidence and support. *Detail provided at level 1 will include the Supplier name, state/province, country, Certificate type and number, Certification level, Certification expiry date, Food Sector Category(s) and Product(s) list.*

11.3.2 Access to the remaining three levels is controlled by the Supplier. Varying levels of information about a Certification is provided to customers via password-protected access to the requested levels outlined below.

Customer Access Level 2: Buyers will have access to more detail about the Supplier's Certification record and will include the *Suppliers name, state/province, country, Certificate type and number, Certification level, Certification renewal date, Food Sector Category(s), Product(s) list, Company representative name and contact details, SQF Practitioner name, Audit rating, Name of the Certification Body, Auditor name SQFI registration number, Audit frequency, date of last Audit and the date of next Audit.*

Customer Access Level 3: Buyers will have access to a summary of the audit report.

Customer Access Level 4: Buyers will have access to the complete audit findings.

11.3.3 If a Supplier is not listed on the SQFI database it shall not be considered a Certified SQF Supplier.

Note: The Certification Body is responsible for ensuring its clients SQF Certification details are listed on the SQFI database. Once Certified, Suppliers are encouraged to check that their Certification status is correctly listed and contact their Certification Body if discrepancies are identified.

11.4 Features and Benefits for Buyers:

- i. Instant Access – Buyers can quickly access supplier information including audit details, certification status and updates on conformance progress measures;
- ii. Increased Accuracy – New mobile data collection systems, developed by Muddy Boots Inc., will ensure that audit information is more accurate and timely; and
- iii. Supplier Sourcing – Buyers can easily search for new, SQF-certified sources of supply.

11.5 Features and Benefits for Suppliers:

- i. Enhanced Market Access – Suppliers will be able to share their certification status and audit information to market themselves to potential customers;
- ii. Supplier Task Management – Allows suppliers to track progress and maintain auditing schedules and processes; and
- iii. Supplier Profile Management – Suppliers determine the permitted level of access for their customers and manage their own profile.



12. SQF 2000 Certification Trade Mark – Rules for Use

The SQF 2000 Certification Trade Mark can be used by a Supplier **that has achieved SQF Certification at Level 3 only**. The mark can be used on product and on documents that are used for public display. The SQFI has prepared a document “**SQF Programs: SQF 2000 Certification Trade Mark - Rules for Use**” to outline how the Certification Trade Mark is to be used and is available on the SQF website, www.sqfi.com.



Section 13: Requirements for a Multi-site Organization

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13. Requirements for a Multi-site Organization

13.1 Scope

13.1.1 This Appendix outlines the requirements for establishing and maintaining Certification of a Multi-site Organization under the SQF Program.

13.2 References

13.2.1 The following references apply:

ISO/IEC 17021: 2006, General Requirements for Bodies Operating Assessment and Certification/Registration of Quality Systems.

IAF Guidance on the Application of ISO/IEC Guide 62: 1996, General Requirements for Bodies Operating Assessment and Certification/Registration of Quality Systems, Issue 4, 15 December 2002.

13.3 Definitions

13.3.1 For the purpose of this Code the definitions outlined in "SQF Program – Vocabulary" and the following definitions apply.

13.3.1.1 Central-site is an entity Certified to the SQF 2000 Code, or eligible for such Certification, that has;

i. A network of Primary Producer Sub-sites that are eligible for Certification to the SQF 1000 Code; or

Note: Examples of SQF 1000 Sub-sites include a group of:

- *Beef producers who supply animals under contract to a Slaughterhouse;*
- *Fruit growers supplying fruit under contract to pack-house or processor;*
- *Grain Producers who supply grain under contract for further processing or for storage and consolidation prior to bulk shipment;*
- *Fishermen who supply fish under contract to a processor for further processing; or*
- *Dairy farmers supplying milk under contract to a cheese manufacturer.*

ii. A network of restaurant or fast food outlet Sub-sites eligible for Certification to the SQF 2000 Code supplied with meal components ready for assembly or cooking from a SQF 2000 Central-site master/central kitchen.

13.3.1.2 Multi-site Organization is comprised of a Central-site under which activities are planned to manage and control the food safety and quality management systems of a network of Sub-sites under a legal or contractual link.

13.4 Eligibility Criteria for the Multi-site Organization

13.4.1 The Central-site is the entity responsible for the Multi-site Organization.

13.4.2 Sub-sites shall be linked to the Central-site by a legal or contractual arrangement.

13.4.3 SQF 1000 Sub-sites shall implement a common SQF 1000 management system that includes as a minimum SQF 1000 Code elements as outlined in Appendix 1 and which is established at each Sub-site and which is subject to continuous surveillance by the Central-site.

13.4.4 SQF 2000 Sub-sites shall implement a common SQF 2000 management system that includes as a minimum SQF 2000 Code elements as outlined in Appendix 2 and which is established at each Sub-site and which is subject to continuous surveillance by the Central-site.

13.4.5 The Central-site shall implement Corrective Actions when needed in any Sub-site. This shall be laid down in the contract between the Central-site and the Sub-sites.

13.4.6 The product(s) supplied by Sub-sites shall be substantially of the same kind and produced according to the same fundamental methods and procedures.

13.4.7 The Central-site shall establish and maintain SQF 2000 Certification for the duration of the multi-site arrangement.

13.4.8 The Central-site's SQF 2000 management system shall be administered under a centrally controlled plan and be subject to central management review.

13.4.9 The Central-site shall demonstrate an ability to collect and analyze data from all sites, including the Central-site, and have the authority and ability to initiate organizational change if required.

13.4.10 The central administration function and the Sub-sites shall be subject to the Central-site's internal audit program and shall be audited in accordance with that program and prior to the Certification Audit.

13.5 Internal Audits

13.5.1 The Central-site shall document its internal audit procedure which shall include an internal audit schedule and outline the method of conducting audits of Sub-sites and the Central-site administrative function.

13.5.2 All Sub-sites and the Central-site administrative function shall be subject to a minimum of one internal audit per year. Internal audits of Sub-sites shall be conducted during periods of peak activity.



13.6 Internal Audit Personnel

13.6.1 Personnel conducting internal audits of the Multi-site Organization and evaluating the results of those internal audits shall be trained in internal audit procedures and be registered as an SQF Consultant or an SQF Auditor.

13.6.2 It is acceptable for the Central-site to contract out the internal audit function provided the contractor fully complies with these requirements and the requirements outlined in 13.4.2 and 13.4.3.

13.6.3 Where the internal audit function is contracted out the Central-site shall be accountable for the actions and effectiveness of the work completed by the contractor.

13.6.4 Contract arrangements shall comply with 4.3.4 of this Code.

13.7 Auditing and Certifying the Multi-site Organization

13.7.1 Audits and Certification of a SQF Multi-site Organization are completed by SQF licensed and Accredited Certification Bodies. The third party Audit involves:

- i The Document Review (completed prior to the Certification Audit and whenever major changes to the Multi-site Organization System documentation is made);
- ii The Certification Audit;
- iii Surveillance Audits; and
- iv Re-certification Audits.

13.7.2 The Document Review, Certification Audit and subsequent Surveillance and Re-certification Audits of the Multi-site Organization shall be centered on the SQF 2000 Central-site, the Central-sites internal audit function and a sample of the Sub-sites.

13.8 Audit Frequency

13.8.1 A Multi-site Organization is Audited each six months.

13.8.2 After successful completion of a Certification Audit and subsequent Re-certification Audits, the Multi-site Organization shall be subject to a 6 monthly Surveillance Audit.

13.8.3 The Multi-site Organization shall not qualify for reduced Audit frequency under Section 10, Clause 10.19.3 of this document.

13.9. Selecting the Sub-site

13.9.1 The selection of the sample is the responsibility of the Certification Body.

13.9.2 The sample is partly selective based on the factors set out below and partly non-selective, and shall result in a range of different Sub-sites being selected, without excluding the random element of sampling.

13.9.3 At least 25% of the sample shall be selected at random.

13.9.4 Taking into account the criteria mentioned hereafter, the remainder shall be selected so that the differences among the Sub-sites selected over the period of validity of the Certificate of Registration is as large as possible.

13.9.5 The Sub-site selection criteria shall include among others the following aspects:

- i Results of internal Audits or previous Certification assessments;
- ii Records of complaints and other relevant aspects of Correction and Corrective Action;
- iii Significant variations in the size of the Sub-sites;
- iv Variations in the work procedures;
- v Modifications since the last Certification assessment; and
- vi Geographical dispersion.

13.9.6 The Central-site shall be informed of the Sub-sites that will comprise the sample and be allowed adequate time to prepare for the Audit.

13.9.7 The Central-site's SQF 2000 System, including its Sub-site internal Audit procedure, shall be assessed during the Certification Audit and each Surveillance and Re Certification Audit.

13.10 Determining the Size of the Sub-sites Sample

13.10.1 The Certification Body shall record the justification for applying a sample size outside that described in this clause.

13.10.2 For **low risk activity** at each Sub-site the minimum number of Sub-sites to be visited per Audit is:

- i. **Certification Audit:** The sample size equals the square root of the number of Sub-sites with 1.5 as a co-efficient ($y=1.5\sqrt{x}$), rounded to the upper whole number.
- ii. **Surveillance Audit:** The sample size equals the square root of the number of Sub-sites ($y=\sqrt{x}$), rounded to the upper whole number.
- iii. **Re-certification Audit:** The sample size equals the square root of the number of Sub-sites with 1.5 as a co-efficient ($y=1.5\sqrt{x}$), rounded to the upper whole number.

13.10.3 For **high risk activity** at each Sub-site the minimum number of Sub-sites to be visited per Audit is:



- i. **Certification Audit:** The sample size equals the number of Sub-sites with 2.0 as a co-efficient ($y=2\sqrt{x}$), rounded to the upper whole number.
- ii. **Surveillance Audit:** The sample size equals the square root of the number of Sub-sites with 1.5 as a co-efficient ($y=1.5\sqrt{x}$), rounded to the upper whole number.
- iii. **Re-certification Audit:** The sample size equals the square root of the number of Sub-sites with 2.0 as a co-efficient ($y=2.0\sqrt{x}$), rounded to the upper whole number.

13.10.4 The size of sample shall be increased where the Certification Body's risk analysis of the activity covered by the management system subject to Certification indicates special circumstances in respect of factors like:

- i. Major variations in processes undertaken at each Sub-site;
- ii. Records of complaints and other relevant aspects of Correction and Corrective Action;
- iii. Indication of an overall breakdown of food safety controls; or
- iv. Inadequate internal audits or action arising from internal audit findings.

13.11 Additional Sub-sites

13.11.1 On the application of a new group of Sub-sites to join an already certified Multi-site Organization, each new group of Sub-sites shall be considered as an independent set for the determination of the sample size. After inclusion of the new group in the Certification, the new Sub-sites shall be cumulated to the previous ones for determining the sample size for future Surveillance or Re-Certification Audits.

13.12 Dealing with Non-conformities

13.12.1 When Non-conformities are found at any individual Sub-site through the Central-site's internal auditing, investigation shall take place to determine whether the other Sub-sites may be affected. The Certification Body shall require evidence that the Central-site has taken action to rectify all non-conformities found during internal audits and that all non-conformities are reviewed to determine whether they indicate an overall system deficiency applicable to all Sub-sites or not. If they are found to do so, appropriate Corrective Action shall be taken both at the Central-site and at the individual Sub-sites. The Central-site shall demonstrate to the Certification Body the justification for all follow-up action.

13.12.1 When Non-conformities are found at the Central-site, the internal audit function or at any individual Sub-site through Auditing by the Certification Body action shall be taken by the Certification Body as outlined in Appendix 3, clause 3.18.

13.12.2 The Certification Body shall increase its sampling frequency until it is satisfied that control has been re-established by the Central-site.

13.12.3 At the time of the initial Certification and subsequent Re-certification a Certificate of Registration shall not be issued to the Multi-site Organization until satisfactory Corrective Action is taken to close out all Non-conformances.

13.12.4 It shall not be admissible that, in order to overcome the obstacle raised by the existence of Non-conformity at a single Sub-site, the Central-site seeks to exclude from the Scope of Certification the "problematic" Sub-site during the Certification, Surveillance or Re-Certification Audit.

13.13 Certificate Issued for a Multi-site Organization

13.13.1 A Certificate of Registration shall be issued to the Central-site only. The Central-site's Certificate of Registration shall include an appendix listing all Sub-sites participating in the Multi-site Organization. The format for the Certificate of Registration and the appendix list is provided by the SQF Institute.

13.13.2 The Central-site may issue a letter to the Sub-site indicating its participation in the Multi-site Organization. In such cases the letter shall be written on the Central-sites letterhead, signed by senior management and include the following:

- i. Header: SQF Multi-site Organization – Participating SQF 1000 Sub-site details;
- ii. The statement:
"This letter outlines the participation of (name and site address of Sub-site) in the Multi-site Organization administered by (name and Certification Number of Central-site). Participation in the Multi-site Organization is valid for 1 year subject to satisfactory surveillance and provided the Sub-site remains a member of the Multi-site Organization";
- iii. SQF 1000 Certification Number;
- iv. SQF 1000 Certification - Level (insert level of Certification - either level 1, 2 or 3);
- v. Sub-site Registration Schedule:
 - Scope of Registration (Food Sector Category)
 - Product(s)
- vi. Date of Audit;
- vii. Date of issue;
- viii. Date of expiry; and
- ix. Name of Certification Body.

13.13.3 The Certificate of Registration will be withdrawn in its entirety, if the Central-site or any of the Sub-sites does not/do not fulfill the necessary criteria for the maintaining of the Certificate of Registration (see 13.4.8/9/10 above).



13.13.4 The list of Sub-sites shall be kept updated by the Central-site. The Central-site shall inform the Certification Body about the closure of any of the Sub-sites or the addition of new Sub-sites. Failure to provide such information will be considered by the Certification Body as a misuse of the Certificate of Registration, and the Multi-site Organization's Certificate of Registration shall be suspended until the matter is Corrected to the satisfaction of the Certification Body.

13.13.5 Additional Sub-sites shall be added to an existing Certification as the result of Surveillance or Re Certification Audits.

13.14 Certification Trade Mark Issued for a Multi-site Organization

13.14.1 The SQF 2000 Certification Trade Mark is issued by the Certification Body to the Central-site for use by the Central-site only and in accordance with the Certification Trade Marks Rules for Use.

13.14.2 The SQF 1000 Certification Trade Mark is issued to the Central-site by the Certification Body. The Central-site shall be responsible for issuing this Mark to each Sub-site and for monitoring the use of the SQF 1000 Certification Trade Mark in accordance with the Certification Trade Marks Rules for Use.

****End of text****



Appendix 1 Elements and Sub-elements of the SQF 1000 Code Required by a Sub-site under a Multi-site Organization

Note: The level of Certification will also determine the applicability of a Sub-element.

| Clause No. | Element | Sub-element No. | Sub-element | Degree of Application |
|------------|---|-----------------|---|--|
| 4.1 | Commitment | 4.1.1 | Management Policy | Not required - addressed as a condition of supply in the Central-sites supply contract |
| | | 4.1.2 | Management Responsibility | Required |
| | | 4.1.3 | Food Safety and Quality Management System | Required (Quality Management System - Level 3 only) |
| | | 4.1.4 | Management Review | Not required - Central-site responsibility |
| | | 4.1.5 | Customer Complaints (N/A) | Not required - Central-site responsibility |
| 4.2 | Document Control and Records | 4.2.1 | Document Control | Central-site design; Sub-site implementation |
| | | 4.2.2 | Records | Central-site design; Sub-site implementation |
| 4.3 | Specifications | 4.3.1 | Raw Materials | Central-site design; Sub-site implementation |
| | | 4.3.2 | Contract Services | Central-site design; Sub-site implementation |
| | | 4.3.3 | Finished Product | Provided by the Central-site as part of the contract to supply |
| 4.4 | Attaining Food Safety | 4.4.1 | Food Legislation (Regulations) | Required |
| | | 4.4.2 | Food Safety Fundamentals | Central-site design; Sub-site implementation |
| | | 4.4.3 | Food Safety Plan | Central-site design; Sub-site implementation |
| | | 4.4.4 | Food Quality Plan | Central-site design; Sub-site implementation |
| | | 4.4.5 | Corrective and Preventive Action | Central-site design; Sub-site implementation |
| | | 4.4.6 | Non-Conforming Product | Central-site design; Sub-site implementation |
| 4.5 | Verification | 4.5.1 | Frequency and Methods | Not required - Central-site responsibility |
| | | 4.5.2 | Internal Audits | Not required - Central-site responsibility |
| | | 4.5.3 | Verification Schedule | Not required - Central-site responsibility |
| 4.6 | Product Identification, Trace and Recall | 4.6.1 | Product Identification | Central-site design; Sub-site implementation |
| | | 4.6.2 | Product Trace | Central-site design; Sub-site implementation |
| | | 4.6.3 | Product Recall | Not required - Central-site responsibility |
| 4.7 | Site Security | 4.7.1 | Food Defense | Central-site design; Sub-site implementation |
| 5 | Food Safety Fundamentals: Site Requirements, Facilities and Production Inputs | 5.1-5.6 | Clauses relevant to each industry sector | Central-site design; Sub-site implementation |
| 6 | Food Safety Fundamentals: Pre-requisite Programs - (Good Agriculture Practice) | 6.1-6.16 | Clauses relevant to each industry sector | Central-site design; Sub-site implementation |



Appendix 2 Elements and Sub-elements of the SQF 2000 Code Required by a Sub-site under a Multi-site Organization

Note: The level of Certification will also determine the applicability of a Sub-element.

| Clause No. | Element | Sub-element No. | Sub-element | Degree of Application |
|------------|---|-----------------|---|---|
| 4.1 | Commitment | 4.1.1 | Management Policy | Addressed as a condition of supply in the Central-sites supply contract |
| | | 4.1.2 | Management Responsibility | Required |
| | | 4.1.3 | Food Safety and Quality Management System | Required. (Quality Management System - Level 3 only) |
| | | 4.1.4 | Management Review | Not required - Central-site responsibility |
| | | 4.1.5 | Complaint Management | Central-site design; some Sub-site application |
| | | 4.1.6 | Business Continuity Planning | Not required - Central-site responsibility |
| 4.2 | Document Control and Records | 4.2.1 | Document Control | Central-site design; Sub-site implementation |
| | | 4.2.2 | Records | Central-site design; Sub-site implementation |
| 4.3 | Specifications and Product Development | 4.3.1 | Product Development and Realization | Central-site design; Sub-site implementation |
| | | 4.3.2 | Raw Materials | Central-site design; Sub-site implementation |
| | | 4.3.3 | Packaging | Central-site design; Sub-site implementation |
| | | 4.3.4 | Contract Service Providers | Central-site design; Sub-site implementation |
| | | 4.3.5 | Contract Manufacturers | Not required - Central-site responsibility |
| | | 4.3.6 | Finished Product | Central-site design; Sub-site implementation |
| 4.4 | Attaining Food Safety | 4.4.1 | Food Legislation (Regulations) | Required |
| | | 4.4.2 | Food Safety Fundamentals | Central-site design; Sub-site implementation |
| | | 4.4.3 | Food Safety Plan | Central-site design; Sub-site implementation |
| | | 4.4.4 | Food Quality Plan | Central-site design; Sub-site implementation |
| | | 4.4.5 | Incoming Goods and Services | Central-site design; Sub-site implementation |
| | | 4.4.6 | Corrective and Preventive Action | Central-site design; Sub-site implementation |
| | | 4.4.7 | Non-Conforming Product and Equipment | Central-site design; Sub-site implementation |
| | | 4.4.8 | Product Rework | Central-site design; Sub-site implementation |
| | | 4.4.9 | Product Release | Central-site design; Sub-site implementation |
| | | 4.4.10 | Stock Rotation | Central-site design; Sub-site implementation |
| 4.5 | Verification | 4.5.1 | Frequency and Methods | Not required - Central-site responsibility |
| | | 4.5.2 | Validation | Not required - Central-site responsibility |
| | | 4.5.3 | Verification of Monitoring Activities | Not required - Central-site responsibility |
| | | 4.5.4 | Product Sampling, Inspection and Analysis | Not required - Central-site responsibility |
| | | 4.5.5 | Verification Schedule | Not required - Central-site responsibility |
| 4.6 | Product Identification, Trace & Recall | 4.6.1 | Product Identification | Central-site design; Sub-site implementation |
| | | 4.6.2 | Product Trace | Central-site design; Sub-site implementation |
| | | 4.6.3 | Product Recall | Central-site design; Sub-site implementation |
| 4.7 | Site Security | 4.7.1 | Food Defense | Central-site design; Sub-site implementation |
| 4.8 | Identity Preserved Foods | 4.8.1 | General Requirements | Central-site design; Sub-site implementation |
| 5 | Food Safety Fundamentals: Building and Equipment Design and Construction | 5.1-5.6 | Clauses relevant to each industry sector | Central-site design; Sub-site implementation |
| 6 | Food Safety Fundamentals: Pre-requisite Programs | 6.1-6.16 | Clauses relevant to each industry sector | Central-site design; Sub-site implementation |
| 7 | NOT APPLICABLE | | | |



Appendix 3 Food Sector Categories

| Food Sector Categories: Processing and Manufacture – SQF 2000 Code | | | |
|---|--|---|--|
| No. | Category (Suppliers Scope of Certification) | Description | Example Products |
| 4 | Fresh Produce Pack house Operations | Applies to the packing, sorting, grading, cleaning, controlled atmosphere temperature storage and transport of fresh and pre-packaged whole unprocessed fruits and vegetables for retail sale or further processing. | Includes all fruit and vegetable varieties which are packed in pack houses and which may undergo controlled atmosphere storage and transport. |
| 7 | Slaughterhouse, Boning and Butchery Operations | Applies to the slaughtering, dressing, processing, transport, storage, chilling, freezing and wholesaling of all animal species and game animals for consumption and extends to all meat cuts. | Includes uncooked poultry and red meat animal species prepared in retail butcher shops, boning rooms and meat wholesale markets, including ground (minced) meats. |
| 7A | Red Meat | | Bone in and whole muscle fillet for red meat species including ground (minced) red meat. |
| 7B | Poultry Meat | | Bone in and whole muscle poultry fillet and ground (minced) poultry meat. |
| 8 | Processing of Manufactured Meats and Poultry | Applies to the processing, manufacture, transport and storage operations where meat (all red meat species and poultry) is the major ingredient including all value-adding operations (e.g. cook-chill, crumbing, curing, smoking, cooking, drying, fermenting and vacuum packing) and chilling and freezing operations, but not canning of meat or poultry product. | Includes poultry, red meats blends, raw heat-treated and fermented poultry and red meats including salami, hot dogs, sausages, bacon, pepperoni, and meat pastes etc. |
| 9 | Seafood Processing | Applies to the processing, manufacture, transport and storage of all fish species and extends to value-adding operations including dismembering, fermenting, crumbing, smoking, cooking freezing, chilling, drying and vacuum packing, but not canning of fish product. | Includes: |
| 9A | Raw Fish and Fishery Products | | Whole fish, fish fillets, reformed fish cakes, coated fish portions uncooked fish product |
| 9B | Uncooked RTE Fish | | Sashimi, sushi and raw uncooked shellfish such as oyster and mussels |
| 9C | Cooked RTE Fish | | Includes surimi smoked cooked fish products chilled or frozen that require no further cooking prior to consumption. |
| 10 | Dairy Food Processing | Applies to the processing, transport and storage of food products from all species used for milk collection and extends to all value-adding operations including freezing ultra filtration, evaporation/concentration, fermentation, clarification, culturing and spray drying of milk but not pasteurization or UHT operations. | Includes all milk collection and includes milk, cream, butter, cheese, yoghurt, ice cream and dried milk. Includes milk substitutes such as soymilk (where the process and technology is essentially the same). Also includes infant formula. |
| 11 | Honey Processing | Applies to the processing, transport and storage of food products from all species used for honey collection including value-added operations. Includes clarifying and treatment operations. | Includes honeycomb, pollen and royal jelly |
| 12 | Egg Processing | Applies to the collection processing, packing, transport and storage of fresh shell eggs from all species. | Fresh shell eggs |
| 13 | Bakery and Snack Food Processing | Applies to the processing, transport and storage of extruded snack foods and cake mix formulations and extends to all bakery operations. | Includes baked items such as meat pies, custard pies, bread, biscuits (cookies), cakes and mixes and all varieties of snack food. |
| 14 | Fruit and Vegetable Processing | Applies to the processing, transport, storage and distribution of all processed fruit and vegetable varieties including freezing, fermenting drying, slicing, dicing, cutting, and modified atmosphere processing of all fruits and vegetables. Does not include fruit or vegetable juice manufacture or the canning of fruits and vegetables. | Includes frozen. Fermented, dried, sliced, diced, cut and modified (MAP) packaged fruit and vegetable products including prepared salads. |
| 15 | Canning, Pasteurizing, UHT and Aseptic Operations | Applies to the processing, transport and storage of low acid canned foods, and pasteurization, sterilization (retorting) UHT, other high temperature processes not covered elsewhere and the manufacture of the associated hermetically sealed containers. | Includes: |
| 15A | Foods Contained in Hermetically Sealed Rigid, Flexible or Semi Rigid Containers | | The commercial sterilization of fish, meats, fruits and vegetables and other low acid soups and sauces in metal or glass containers or retort pouches. |
| 15B | Pasteurizing and UHT Operations | | The pasteurization and UHT treatment of <ul style="list-style-type: none"> • Pasteurized canned and chilled crab meat; • Milk or milk products; • Egg or egg products; or • Fruit or vegetable juices. |



Appendix 3 Food Sector Categories (cont'd)

| Food Sector Categories: Processing and Manufacture – SQF 2000 Code | | | |
|---|---|--|---|
| No. | Category (Suppliers Scope of Certification) | Description | Example Products |
| 16 | Ice, Drink and Beverage Processing | Applies to fermentation, concentration aseptic filling or drying operations processes. Excludes powdered milk and pasteurization and UHT treatment of milk or milk products or fruit and vegetable juicing operations. | Includes un-pasteurized fruit and vegetable juice, cordial, carbonated soft drinks, carbonated and non carbonated waters, mineral water, ice, wine, beer and other alcoholic beverages, powdered beverage formulations and tea and coffee products. |
| 17 | Confectionary Manufacturing | Applies to the preparation, transport and storage of all types of confectionary and extends to all chocolate and imitation chocolate-based processing. | Includes all confectionary products which undergo refining, conching, starch moulding, compression, extrusion and vacuum cooking. |
| 18 | Preserved Foods Manufacture | Applies to the processing, transport and storage of all foods preserved under high temperature processes not covered elsewhere, compositionally preserved foods that are not high temperature processed or other alternative acceptable methods not covered elsewhere. | Includes dressings, mayonnaise, sauces, marinades, pickled foods, peanut butter, mustards, jams and fillings. |
| 19 | Food Ingredient Manufacture | Applies to the processing, blending, re-packaging transport and storage of dry food ingredients including cultures and yeast, but excludes dairy products, fermented meats or other fermented products mentioned elsewhere. | Includes starter cultures used in cheese, yoghurt and wine manufacture and cultures used in the baking industry and other products such as vinegar used for the preservation of foods. Other additional products include additives, preservatives, flavorings', colorings', soup mixes, sauces, dehydrated culinary products, salt, sugar, spices and other condiments. |
| 20 | Recipe Meals Manufacture | Applies to the processing, receipt, controlled temperature storage and transport of foods prepared from a range of ingredients (mixed foods) that require cooking or heating prior to serving. | Includes RTE chilled meals and deserts, frozen meals, pizza, soups, and meal solutions, sous vides products, and freeze-dried, tofu, dehydrated meals and meat analog products. |
| 21 | Oils, Fats and the Manufacture of oil or fat-based spreads | Applies to the manufacture of all animal and vegetable oils and fats and to the manufacture of margarine. Includes clarifying and refining processes. | Includes shortening (animal and vegetable), oils (olive, peanut, corn, vegetable, sunflower, safflower, canola, nut, seed) and oil-based spreads such as margarine and oil based spreads. |
| 22 | Processing of Cereal Grains and Nuts | Applies to the processing of cereals and nuts of all varieties, including sorting, grading, picking, handling of bulk grains, milling, and extruding and the roasting, drying, cutting, and grinding processing of nuts. | Includes wheat, maize, rice, barley, oats, millet, nut butters/pastes, pasta, breakfast cereals and sliced, chopped and ground nuts. |
| 23 | Food Catering and Food Service Operations | Applies to all food preparation and service activities, including transport, storage, and distribution undertaken with of prepared mixed foods that are ready to eat and do not require further treatment or processing by the consumer. | Includes food service caterers, retail delicatessen/self serve facilities, restaurants, fast food outlets, delicatessens, school cafeterias (canteens), hospital/institution meal services, childcare centers and mobile and home delivery food services. |
| 24 | Food Retailing | Applies to the receipt, handling, storage and display at retail level of stable or pre-processed and packaged foods and/or food intended for further preparation by the consumer. | Includes all foods distributed and sold through retail outlets that are not considered high-risk foods. |
| 25 | Fresh Produce Wholesaling and Distribution | Applies to the receipt, controlled temperature storage, display, consolidation and distribution of all perishable fresh produce at wholesale level. | Includes all varieties of fresh unprocessed fruits and vegetables. |
| 26 | Food Wholesaling and Distribution | Applies to the receipt, storage, display, consolidation and distribution of general food lines including dry goods, stable or pre-processed and packaged foods and/or food intended for further preparation by the consumer at wholesale level. | Includes all foods distributed and sold through retail outs that are not considered high-risk foods. |
| 30 | Provision of Hygiene and Sanitation Services | Applies to the provision of a hygiene and sanitation cleaning service. | All equipment and premises in which food is handled, processed, transported or stored including the cleaning of personnel amenities and sanitary facilities. |
| 31 | Manufacture of Dietary Supplements | Applies to the manufacture, blending, transport and storage of dietary supplements. | Includes vitamins, probiotics and label supplements. |
| 34 | Manufacture of Animal Feeds | Applies to the manufacture, blending, transport and storage of animal feeds. | Includes compounded and medicated feeds. |
| 35 | Broker or Agent | Applies to entities that source all types of foods through domestic and import channels; procuring and assembling consignments according to a buyer specification. The broker/agent acts as a link between the producer/manufacture and the buyer. In some instances a broker/agent may never see or handle the product. | All foods and beverages. |



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