Understanding the New SQF Fundamentals Code:

How to Ensure Compliance

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Jeff Chilton, *VP of Consulting*, Alchemy

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Today's Speakers

Frank Schreurs
Regional Representative

Jeff Chilton
VP of Consulting Services

Agenda

1. SQF Food Safety Codes
2. Implementing the SQF Fundamentals Program
3. Available Resources for Compliance
4. Questions?

SQF Food Safety Codes

Why Need a Food Safety Program?

1. Control of Food Safety Risks throughout the Supply Chain
   - Recalls (McDonald's Salads)
   - Foodborne Illness
     - U.S. - 1 in 6 and 3000 deaths annually
     - Globally – 1 in 10 and 420,000 annually
2. Brand Protection
   - Company brand & business
   - Customer brand

Preventing Food Safety Risks

1. Common Causes of Food Safety Hazards
2. Food Safety Plans
3. Approved Suppliers
4. Personal Hygiene
5. Temperature Control
6. Sanitation

Common Causes of Food Safety Hazards

- Globally, the most common causes of foodborne illness include:
  - Contaminated water, ingredients or raw materials
  - Cross-contamination between contaminated and uncontaminated product via hands or surfaces
  - Improperly cooked or held product

Food Safety Plans (HACCP)

- Food Safety team
- Risk assessment of process and production flows
- Identifying hazards that need to be controlled
- Control though clear monitoring and corrective actions when things go wrong

Approved Suppliers

1. Identify the necessary & approved suppliers to your site (Create a register)
2. Identify the risk of the ingredients purchased
3. Select suppliers using various risk-based tools
4. Determine a “Plan B” for approved suppliers in the case of an emergency
5. Conduct annual reviews of approved suppliers to be sure they continue to meet your criteria

Personal Hygiene

1. Health status – medical screening, infectious disease & bodily fluids
2. Illness and injuries – Employee sickness, cuts, wounds, bandages
3. Personal cleanliness – Handwashing and wash stations
4. Personal behavior – Smoking, eating, chewing & drinking are not permitted
5. Visitors – Control and access

Temperature Control (If Applicable)

- Product that is not cooked thoroughly or held at the right temperature can cause foodborne illness
- To prevent this from happening
  - Cook food to regulatory mandated temperatures and measure internal temperature with a calibrated thermometer
  - Don’t leave cooked food at ambient temperatures
  - Promptly refrigerate unused cooked food or keep it very hot
  - Refrigerate perishable food items

Sanitation

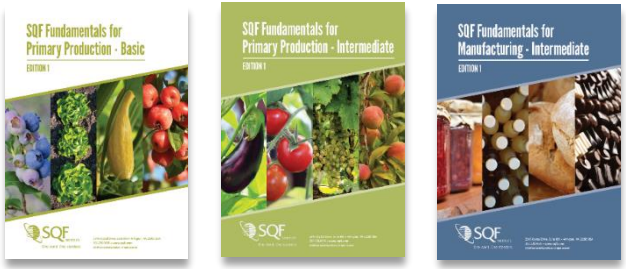
- Housekeeping:
  - Cleanliness and neatness of a work area, storage area and surrounding environment with the designation of a proper place for everything and everything in its proper place
  - Housekeeping includes support areas such as engineering shops, lunch rooms, locker rooms and toilets

Sanitation (Cont'd)

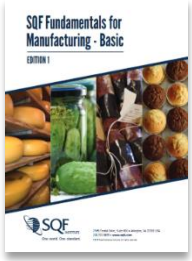
- Cleaning
  - Master list of areas and equipment
  - Cleaning instructions (SSOP's)
  - Effectiveness verification
  - Records

The SQF Codes

SQF Fundamentals
Edition 1

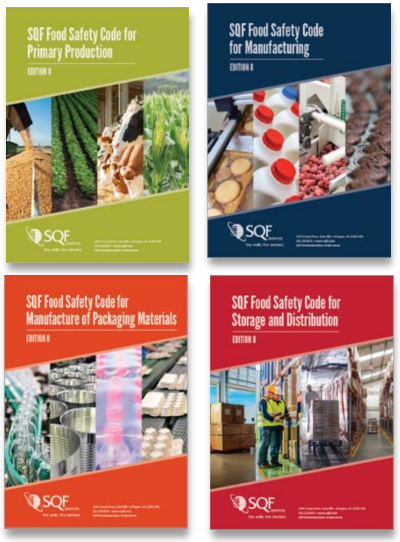


- Based on Global Markets Program
- Regulatory Compliance
- HACCP based



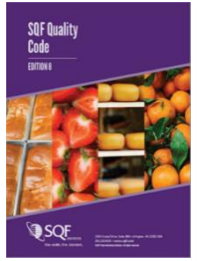
- Based on Global Markets Program
- Basic plus food safety management systems
- HACCP following CODEX

SQF Food Safety Codes
Edition 8



- GFSI benchmarked
- Intermediate plus CODEX HACCP
- Accredited certification

SQF Quality Code
Edition 8



- Integrated Quality Management System
- Builds on the Food Safety Code
- HACCP to manage quality threats

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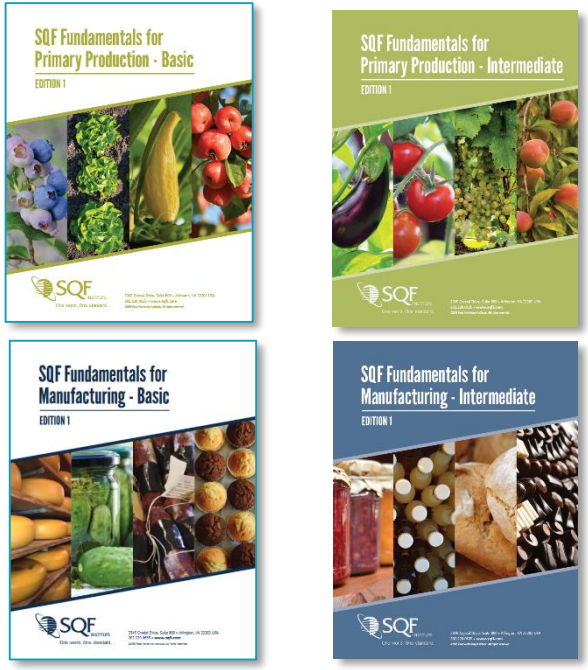
SQF Fundamentals Program

The food safety solution for small to medium enterprises



- ✓ Focus is more implementing food safety; less about documentation
- ✓ Set up to meet the GFSI Global Marketing Program and retailer requirements
- ✓ Two levels to get you started with implementing food safety
- ✓ Builds into the other SQF Food Safety Codes
- ✓ Specialized training to help get you started

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SQF Certification Journey

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What is GFSI?

The Global Food Safety Initiative (GFSI) is an international organization of food manufacturers and retailers that brings experts together to address emerging issues on food safety. It is the organization that benchmarks the certification programs such as SQF to a set of food safety requirements.

Global Markets Program

The GFSI Global Markets Program sets out how companies who lack or have underdeveloped food safety systems can meet the challenge of food safety, while simultaneously reducing hazards in global food supply chains and working towards market access through certification to a GFSI-recognized certification program.

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What Code Do You Need?

IF	THEN
You need a program that is approved for small, medium sites and meets the GFSI Global Markets Program.	Use one of the following SQF Fundamentals Programs: • SQF Fundamentals for Primary Production, Basic • SQF Fundamentals for Primary Production, Intermediate • SQF Fundamentals for Manufacturing, Basic • SQF Fundamentals for Manufacturing, Intermediate
You need a program that is GFSI-benchmarked.	Use one of the following SQF Food Safety Codes: • Primary Production • Manufacturing • Storage and Distribution • Manufacture of Food Packaging
You need a GFSI-benchmarked program that includes quality.	Use one of the SQF Food Safety Codes AND the SQF Quality Code
You don't have a buyer requirement, but want a program to measure your food safety fundamental program that is HACCP based.	Use the SQF Fundamentals Program, Basic
If you don't have a buyer requirement, but want a program that measures your food safety program based on HACCP.	Use the SQF Fundamentals Program, Intermediate
If you don't have a buyer requirement but want a program that measures your food safety program based on HACCP and includes more rigorous food safety standards.	Use one of the SQF Food Safety Codes: • Primary Production • Manufacturing • Storage and Distribution • Manufacture of Food Packaging

How do I get started?

7 steps to SQF INSTITUTE certification

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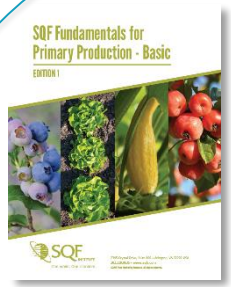
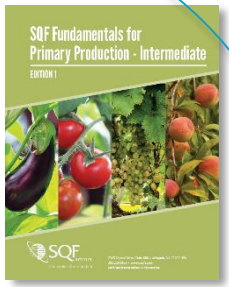
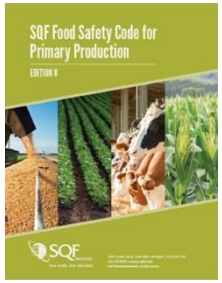
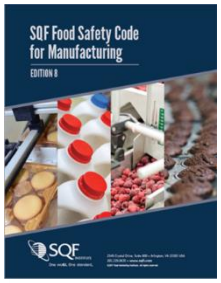
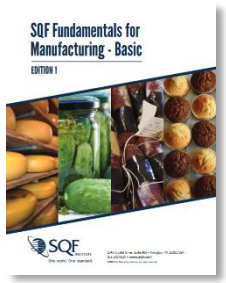
Step 1: Learn about SQFI and the SQF Code

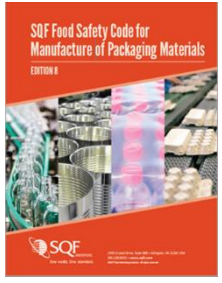


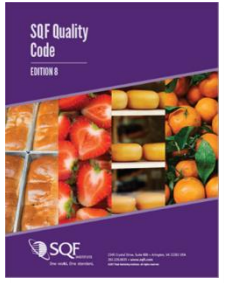












- Based on Global Markets Program
- Regulatory compliance
- HACCP based

- Based on Global Markets Program
- Basic plus food safety management system
- HACCP following CODEX

- GFSI benchmarked
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- Integrated Quality Management System
- Builds on the Food Safety Code
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SQF Fundamentals Training

- Three-pronged approach to training:
  - Instructor-led course:
    - Available via licensed SQF training centers
  - Online course:
    - Available via Alchemy Academy
  - Tip Sheets:
    - Available via the SQFI website

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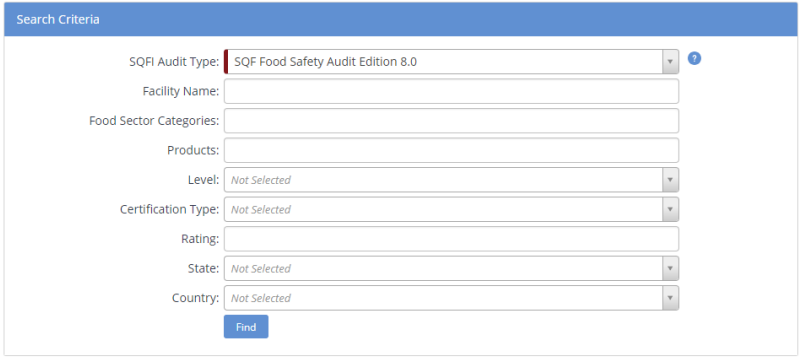
Step 2: Register on the SQFI Assessment Database

- To be considered for SQF certification, sites are required to register in the SQFI assessment database
- Registration is annual and there is a fee per site, payable at registration and renewal

Classification	Description of Classification	Fee USD
F	**Any site audited against the Fundamentals Program**	**$150**
A	Primary Producers (farms, ranches, orchards, etc) with a gross sales < $100,000 USD	$150
B	Suppliers with a gross sales < $5 million USD	$300
C	Suppliers with a gross sales > 5 million USD < 25 million USD	$400
D	Suppliers with a gross sales > 25 million USD < 50 million USD	$550
E	Suppliers with a gross sales > 50 million USD	$650



Step 3: Find your Relevant Food Sector Category

Jams - FSC 18 – Modules 2 and 11

Cheese – FSC 10 – Modules 2 and 11

Apple Packing – FSC 4 Module 2 and 10 or 11 House

Step 4: Building your Food Safety Team

Who will be your dedicated person for food safety/SQF Practitioner?

- The responsibility of food safety doesn't fall solely on the shoulders of the SQF Practitioners or the person in charge of food safety
- Build a well rounded team and consider different departments:
  - Maintenance
  - Purchasing
  - Production
  - Sanitation

At some sites this may be the same person!

Step 5: Implement & Document the SQF Code Requirements

- The code is broken up into two parts
  - Part A & Part B
- Part A is the Code Methodology (how it works)
- Part B is the Technical Requirements
  - Start by focusing on Part B

System Elements

1. Management Commitment
2. Document Control and Records
3. Specification and Product Development
4. Food Safety System
5. SQF System Verification
6. Product Identification, Trace, Withdrawal and Recall
7. Food Defense and Food Fraud
8. Allergen Management
9. Training

GMPs

1. Site Location and Construction
2. Construction of Premises and Equipment
3. Personnel Hygiene and Welfare
4. Personnel Processing Practices
5. Water, Ice and Air Supply
6. Storage and Transport
7. Separation of Functions
8. On-Site Laboratories
9. Waste Disposal
10. Exterior

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Step 6: Select a Certification Body

SQF has over 30 Certified Body's that operate in all areas of the world

eurofins

EAGLE Certification Group
SERVICE • INTEGRITY • VALUE

NSF

DNV·GL

intertek
Total Quality. Assured.

CERTIFICATION & AUDITING SERVICES
Mérieux NutriSciences

WQS
World Quality Services

FSNS®
Food Safety Net Services

ASI
Food Safety

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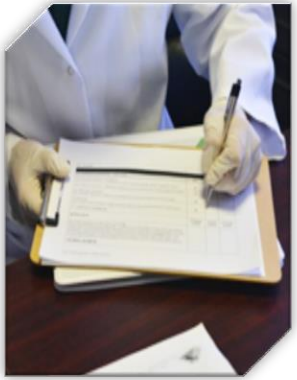
SQF 7: Conduct a Pre-assessment

- Define your objectives
- Formalize the audit process
- Communicate
- Treat this as its own program
- Close out the non-conformances



Now you're ready for an audit!

- Schedule your audit with your Certification Body
- Confirm your scope of certification

Opening Meeting → Walking through the site → Interviewing of Employees → Reviewing of Documents and Records → Closing Meeting

- The Auditor will leave you with a list of the non-conformances and timeframe for closing
- Within 10 fays you will receive a technically reviewer audit report from your Certification Body

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Congratulations!

- Once you have successfully closed out your non-conformities in the appropriate timeframe you will receive your SQF Certificate
- You will now appear on the SQF Public Search and be able to market your site as a manufacturer of SQF Certified Product

FACILITY	FOOD SECTOR CATEGORIES	RATING	EXPIRATION DATE	ADDRESS	
642765 - Andrews Meat Industries / Creative Food Solutions (13780) Andrews Meat Industries / Creative Food Solutions (46805)	15. Canning, UHT and Aseptic Operations 20. Recipe Meals Manufacture	Good	05/29/2019	38 Birnie Ave Lidcombe Sydney, 2141	Action
639754 - Angie's Kettle Corn (8340) Angie's Kettle Corn (44472)	13. Bakery and Snack Food Processing	Excellent	05/05/2019	1918 Lookout Dr North Mankato, MN 56003	Action
Anthony & Sons Bakery - Anthony & Sons Bakery (13078) Anthony & Sons Bakery (46438)	13. Bakery and Snack Food Processing	Good	06/28/2019	20 Luger Road Denville, NJ 07834	Action
632010 - Antico International Pty Ltd (8904) Antico International Pty Ltd (44884)	4. Fresh Produce and Nuts Packhouse Operations 26. Food Storage and Distribution	Excellent	07/06/2019	Shed 1, WH G Sydney Markets, 2129	Action
642597 - Antonina's & Artisan Bakery (13755) Antonina's & Artisan Bakery (46780)	13. Bakery and Snack Food Processing	Good	11/16/2019	5501 West Valley HWY E #A101 Sumner, WA 98390	Action
639182 - Aphrodite Divine Confections (4903) Aphrodite Divine Confections (42157)	13. Bakery and Snack Food Processing	Excellent	07/01/2019	2677 Forest Lane Garland, TX 75042	Action
640969 - Appeeling Fruit, Inc. (9832) Appeeling Fruit, Inc. (45572)	14. Fruit, Vegetable and Nut Processing, and Fruit Juices	Good	04/14/2019	1149 Railroad Road Dauberville, PA 19533	Action

Certification Body Address
1234 Street Address
City, State Zip Code

Certificate Of Registration

Sinclair's Snacks
2345 Crystal Dr. Suite 800
Arlington, Virginia, 22202

is registered as meeting the requirements of the

SQF Food Safety Code for Manufacturing, Edition 8

Certification Details:

Date of Decision: 4/17/2018
Date of Audit: 3/15/2018
Certificate Number: 112233

Date of Expiry: 6/17/2018
Date of Next Audit: 4/3/2018
Certification Type: **Unannounced**

Registration Schedule:

Scope of Registration (Food Sector Categories and Products)

FSC 13: Bakery and Snack Food Processing
Cakes, Pastries and Doughnuts

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SQF Institute is a division of the Food Marketing Institute (FMI).

Authorized by

Issuing Officer

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Best Practices for Implementing SQF Fundamentals

SQF Fundamentals Code Implementation Best Practices

- Determine which Code you want to be certified to
- Complete a Gap Analysis
- Prepare the Documentation and Facility
- Complete an Internal Audit
- Start Your Roadmap To GFSI Certification
- Resources

Complete a Gap Analysis

- Designate a SQF Practitioner and Food Safety Team
- Download the right SQF Code Checklist
- Assess compliance line by line
- Start a Corrective Action Register
- Complete Corrective Actions as needed
- Manage the process with regular team meetings

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Audit Preparation – Programs & Facility

Programs

System Elements

1. Management Commitment (Foundation for success, Resources)
2. Document Control and Records (Method and Registers)
3. Specification and Product Development (Raw and Finished; R&D)
4. Food Safety System (Documented, implemented, validated)
5. SQF System Verification (Verification Schedule and methods)
6. Product Identification, Trace, Withdrawal and Recall (Procedures, Methods, Mock Recalls)
7. Food Defense and Food Fraud (Programs and Assessments)
8. Allergen Management (Cross contact prevention; Labeling)
9. Training (Training Topics, Schedule and Register)
   - Implement all record keeping requirements
   - Minimum 60 days history to demonstrate implementation

Facility

GMPs

1. Site Location and Construction (Suitable area and facility)
2. Construction of Premises and Equipment (Condition)
3. Personnel Hygiene and Welfare (GMP Compliance)
4. Personnel Processing Practices (Product Handling)
5. Water, Ice and Air Supply (Potability and Purity Tests)
6. Storage and Transport (Procedures, Dock Door Seals)
7. Separation of Functions (Prevent cross contamination)
8. On-Site Laboratories (Separated, Signage, Waste)
9. Waste Disposal (Housekeeping, No build up)
10. Exterior (Roadways, No weeds, limbs touching bldg.)
    - Complete facility inspection to assess compliance

Complete an Internal Audit & Coaching

- Generally completed 60 days after implementation
- Complete SQF Code Checklist again to verify compliance
- Complete a new Corrective Action Register if any issues are identified
- Coach personnel that will be interviewed to prepare for questions and answer
- Coach Senior Management and Food Safety Team
- Consider using a 3rd Party to help with or verify compliance
- Proceed with your audit schedule once confident you are ready

Road Map to GFSI Certification & Continuous Improvement

- Take the SQF Fundamentals Training
- Make the Tip Sheets your best friend
- Assure your programs have been fully implemented with records
- Assure the Facility meets Code requirements
- Remember – Say What You Do, Do What You Say and Prove It!
- Pass the audit and Celebrate Success!
- Sustain the system with ongoing internal audits and meetings
- Determine next steps and target dates to step up to GFSI certification.

Available Resources for Compliance

Provide Engaging Training

- Create content in employee's primary language
- Base content on employee's role (HACCP, GMPs, GAPs)
- Ensure comprehension with open discussions and educational games

Familiar, site-specific images increase relevance for workers and improve comprehension.

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Reinforce Critical Concepts

Mobile Coach App

- Increase supervisor/employee interaction & communication
- Validate employee understanding

Huddle Talk Guides

- Blueprint to engage & instruct workers
- Time-saving tool for supervisors & trainers

Digital Signage

- Reinforce key training topics
- Improve control & message quality to entire company

Coordinated Posters

- Reinforce discussion topics with strategically placed posters
- Make an emotional impact

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Ensure Audit-Readiness

Leverage technology to verify:

- **Training attendance**
- **Training comprehension**
- **Correct application of training**
- **On-the-floor reinforcement and corrective actions**

Eliminate time-consuming record keeping!

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Alchemy SQF Consulting Services

- ✓SQF Gap Analysis
- ✓SQF Program Development
- ✓SQF Internal Audit
- ✓SQF Corrective Action Assistance
- ✓SQF Audit Support

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100% Client Satisfaction Rate

Educate Yourself with Online Training

SQFI has exclusively partnered with Alchemy to develop the Implementing SQF Fundamentals Code for Manufacturing eLearning Course.

- ✓ **Save time and money**
  Save travel costs and hassles by learning online
- ✓ **Build a pathway to certification**
  Developed using the GFSI Global Markets Toolkit
- ✓ **Increase credibility**
  Facilitate retailer acceptance & ensure food safety security

Get Started Today

Learn more at: https://academy.alchemysystems.com/implementing-sqf-fundamentals-code-for-manufacturing/

THANK YOU

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