



SQF

Safe Quality Food Food Safety Certification

Gary M. Smith
Technical Director
SQF Institute

Discussion Points



- Overview of SQF
- Getting started with SQF
- Details on the Certification Bodies in SQF
- SQF Technology

How SQF evolved



The SQF Codes

Both Standards have been
benchmarked against the GFSI
ARE NOT AUDIT CHECKLISTS
Benchmarking Document at
Level 2



SQF 1000 – HACCP
based supplier
assurance standard
for primary producers



SQF 2000 – A HACCP
supplier assurance
standard for the
manufacturing sector

The Codes in Outline



Primary Producer



Manufacturer

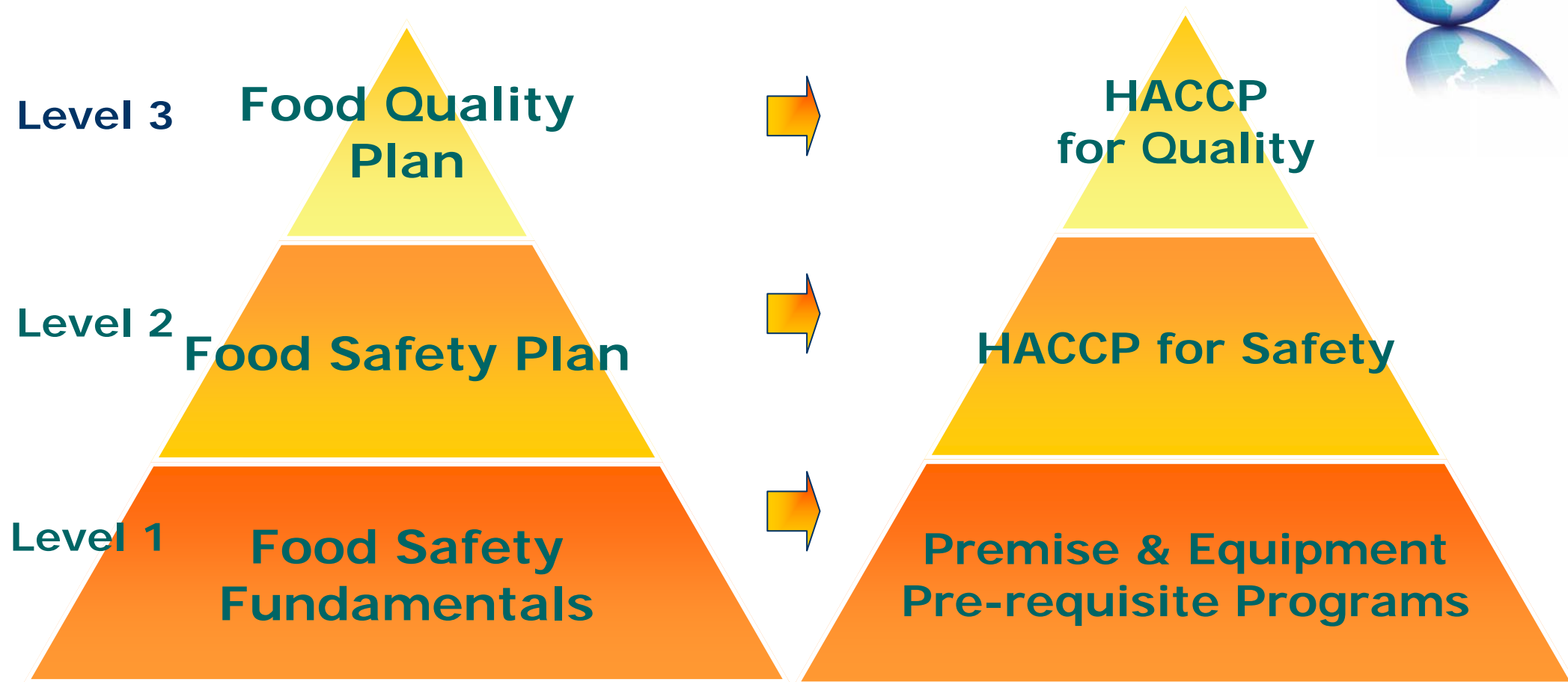


- **4.0 SQF System Requirements**
 - 4.1 Commitment
 - 4.2 Documentation and Records
 - 4.3 Specification and Product Development
 - 4.4 Attaining Food Safety
 - 4.5 Verification
 - 4.6 ID/Trace/Recall
 - 4.7 Site Security
 - 4.8 Identity Preserved Foods
- 5.0 Food Safety Fundamentals
- 6.0 Pre-requisite Programs
- 7.0 Requirements for Hermetically sealed containers
- (SQF 2000 only)

Three levels of certification



The SQF Program



Management of SQF Program



- SQF Program is owned by Food Marketing Institute (FMI)
- SQF Program is operated by the SQF Institute, a division of FMI
- Stakeholder input and oversight
 - Technical Advisory Council (TAC) – made up of segments from all stakeholders in industry (retailers, foodservice, suppliers, service providers)
 - Technical Sub-committees – stakeholder groups which develop documents for review by the TAC

Recent Updates to SQF



- Strong Growth in 2009
 - Growth of certifications in North America has grown by over 400% in 2009 to over 2500 certificates
 - Australia growth at over 20% to over 1800 registrations
 - Overall growth at 130% globally
 - SQF certificates now in 29 countries
 - SQF has now registered 357 auditors
- Improvements in Audit Reports
 - Timelines – audit reports now due to supplier in 5 days, certificates in 45 days
 - Comments – every question must have justification of rating given

SQF Program Updates (cont)



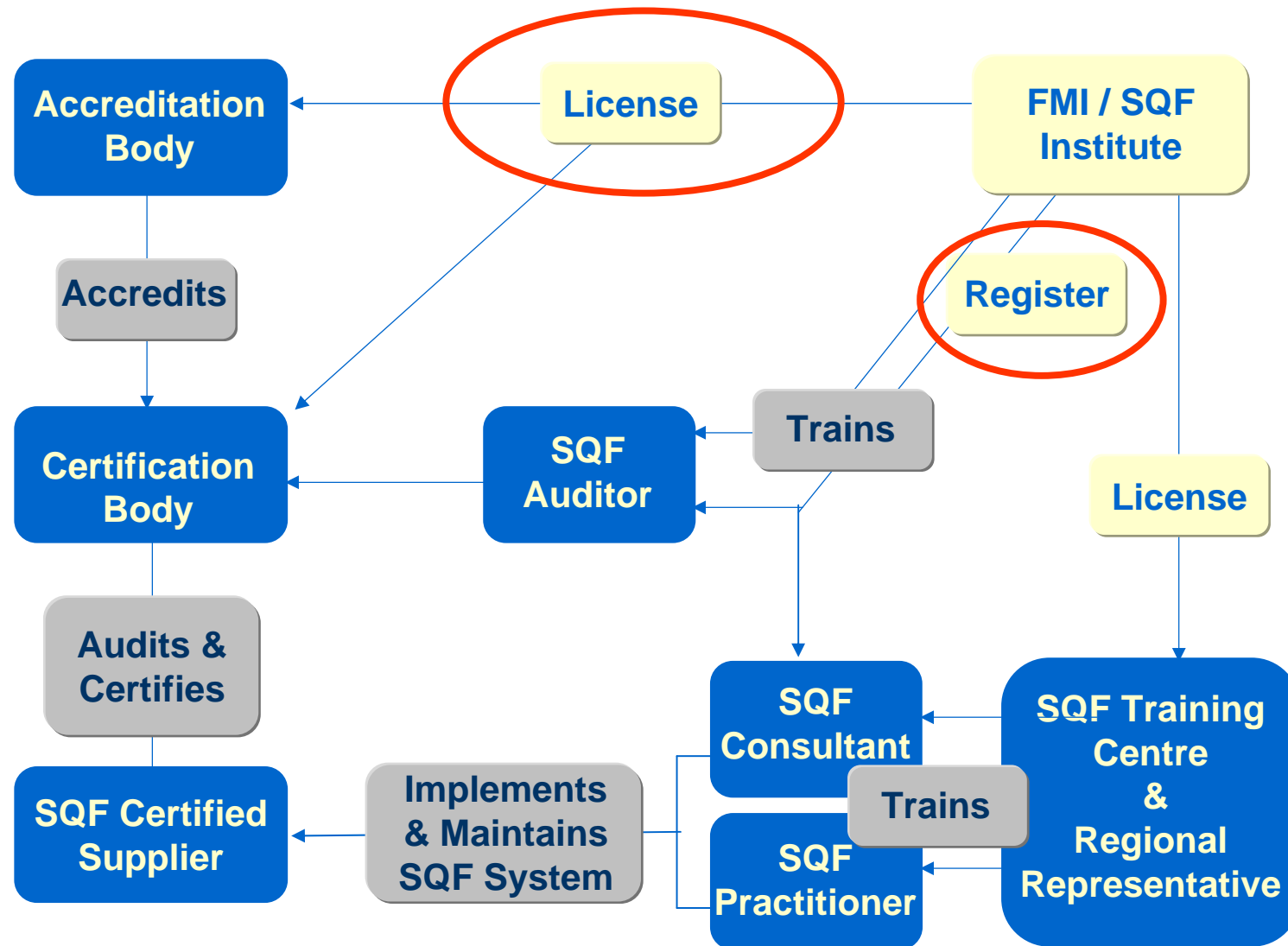
- SQF 1000 5th edition posted August, 2009
 - Category 4 available for both 1000 and 2000
- Final Criteria Document for Certification Bodies posted August, 2009
 - Working with both ABs on uniform assessment tool
- ICIX Interface – executive summary
 - March 2010

SQF Program Updates (cont)



- On-line Training / Exams
 - Implementing SQF 2000 Systems available
- Electronic application submission
 - September 1st launched for all individual registrations and re-registrations
- Ethical Sourcing Module – available March 2010

Managing the SQF Program



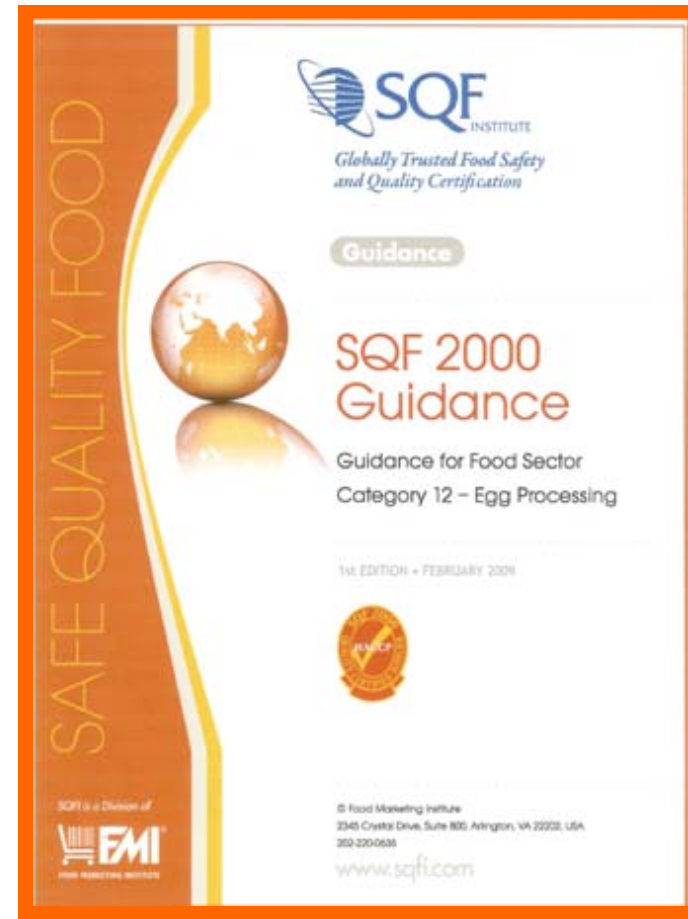
Food Sector Categories (FSC)



- For registration purposes, we have divided the food industry into 35 food sector categories (FSC)
- SQF registers auditors and consultants based on their work experience and expertise in specific food sector categories
 - Example: Auditor - 5 years work experience or 20 audit days in high risk processes per FSC
- This ensures that only auditors and consultants with demonstrated expertise can perform requested service

Guidance Documents for SQF

- General Processing Requirements
- Produce Packing House (FSC 4)
- Shell Egg (FSC 12)
- Transport and Distribution (FSC 25 & 26)
- Packaging (FSC 27)
- To begin in Q1 of 2010
 - Dairy (FSC 10)
 - Brokers (FSC 35)



Solution for Sustainability – SQF Modules



- Responsible Social Practices
- Responsible Environmental Practices
- Ethical Sourcing
- Food Defense



Certification Bodies for SQF in NA



- AIB
- Cert - ID
- DNV
- Eagle Registrations
- GFTC
- NCSI
- NSF International
- QMI SAI Global
- SCS
- SGS
- Siliker
- Stertiech
- TUV SUD America

SQF Technology Updates



- User friendly web-site
- On-line examination
- On-line training materials
- SQF application submission and processing
- SQF Quickfire (audit database)



To find more details on SQF program, visit www.sqfi.com

SQF On-line Training



- SQF Exams
 - SQF Core
 - SQF Auditor
 - SQF Implementing 2000
 - SQF Implementing 1000 (under development)
- SQF On-line Courses
 - SQF Core Modules
 - SQF Implementing 2000
 - SQF Implementing 1000 (under development)

SQF Core Modules On-line Training



SQF Systems Training Course (02:29 / 07:44) | ATTACHMENTS | EXIT

Outline | Notes

- Course Introduction
- Before You Begin
- Welcome
- Purpose
- Overview of the Core Modules Training Sessions
- SQF
- Training Goals
- Pre-Requisite Course Requirements
- Evaluation of the Training Program
- SQF On-line Exams
- Training Sessions Exams
- Current Exams Available
- Good Luck

Overview of the Core Modules Training Sessions

C-1 Introduction & Overview of the Course

C-2 About Quality, Customers & the Cost of Quality

C-3 The SQF Codes, Food Sector Categories, SQF Vocabulary, Use of the Logo, SQF Practitioner/Consultant

C-4 Implementing and Maintaining SQF Systems

C-5 Auditing & Certification of SQF Systems – a Supplier Overview

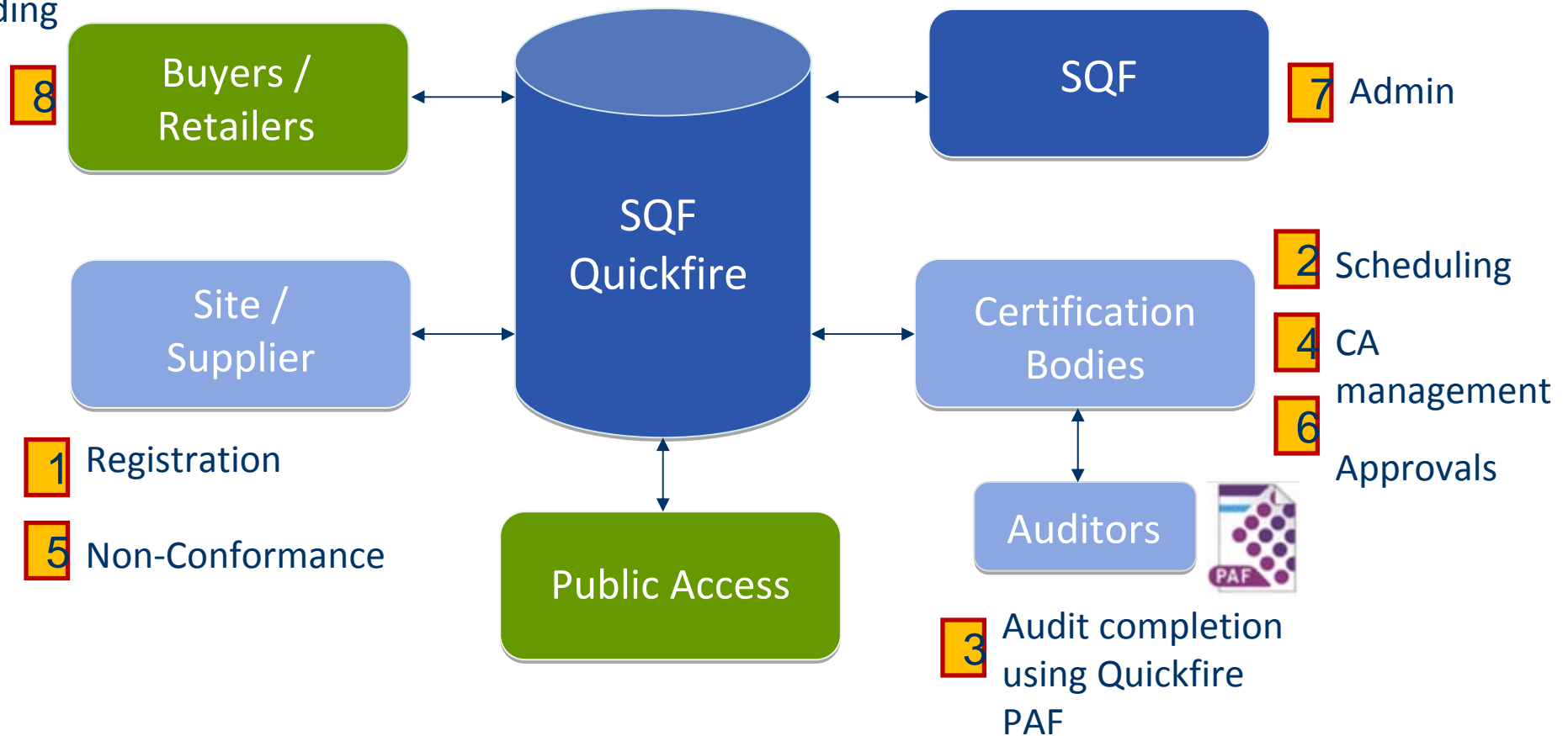
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SLIDE 5 OF 13 | PLAYING | 00:19 / 00:58

Done

Stakeholder Access to SQF Quickfire

Audit Results
visibility
Data analysis
and trending



My Work

My Work - [IE 7.0] - Windows Internet Explorer

http://quickfireonline.mbdevweb:100/FrmWork.aspx

My Work - [IE 7.0] Audit Groups - [IE 7.0]

Welcome, sysadmin

SQFi Quickfire [Beta 1]

My Work

My Work

- My Work
- Admin
- Assessors [11]
- Sites [4]
- Workshops [0]
- Cert. Bodies [7]
- Reports [1]
- Training [0]

Status	Total
Not Started	0
In Progress	1
Under Review	1
Total	2

Status	Total
Not Started	0
In Progress	0
Under Review	2
Total	2

Response	Total
Critical	1
Major	2
Minor	2
Total	5

Status	Total
Other	0
Pending	2
Suspended	0
Withdrawn	0
Renewals Due	2

Status	Total

Workshop	Required	Available

QF6_TEST1 [MBDEVWEB] | MBDEVWEB | #20

BETA 1.0

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PAF Reader > SQF Audit

Quickfire PAF Reader [SQF 2000 Document Audit L3 v1.0.paf]

File English

Submit

(SQF2-DA 0173) SQF2000 Document Audit L3 v1.0

4.2 Specifications

4.2.2 Incoming Goods and Services

4.2.2.i Is raw material that impacts on finished product

4.2.2.ii-iv Is there a documented procedure outlining who is responsible for raw material ingredient inspection and analyses, evaluation, approval, monitoring and follow up action related to Approved Suppliers and do methods of analysis conform to recognized standards?

4.2.2.v Does the procedure further outline the responsibility for raw material inspection and analyses, evaluation, approval, monitoring and follow up action related to Approved Suppliers?

4.2.2.vii Has a register of Approved Suppliers been prepared and maintained?

4.2.3 Finished Product Specifications

4.2.3.i Are finished product specifications provided and maintained?

4.2.3.ii-iii Are finished product specifications updated as required?

4.2.3.iv Do the finished product specifications include a full description of the product?

4.2.3.v Are the physical and packaging attributes of the product specified?

4.2.1 Supplier Specifications

4.2.1.i Are supplier specifications for raw materials and finished products provided and maintained?

4.2.1.ii Do Supplier specifications include a full description of the product?

4.2.1.iii-iv Do specifications include relevant food quality requirements?

4.5 Document Control and Records

4.5.2 Records

4.5.2.i Does the documented procedure outline the method of record keeping?

4.5.1 Document Control

4.6 Product Identification, Trace and Recall

4.4 Verification

4.1 Commitment

4.3 Control of Production

Start Page Response Corrective Actions Site Details Reports

(Other)

4.2.2.ii-iv Is there a documented procedure outlining who is responsible for raw material ingredient inspection and analyses, evaluation, approval, monitoring and follow up action related to Approved Suppliers and do methods of analysis conform to recognized standards?

☐ Compliant

☐ Compliant with OIP

☐ Minor

☐ Major

☐ Critical

☐ Not Audited

Methods do not conform to recognized standards

No documented procedure

Responsibility for raw material ingredient inspection and analyses not outlined

Responsibility for Approved Supplier approval not outlined

Responsibility for monitoring not outlined

Responsibility for evaluations not outlined

Responsibility for follow-up action not outlined

Guidance Observation

Code Requirement: ii. Records of inspections and analyses shall be maintained. iii. The Supplier shall document a procedure outlining the; a. Responsibility for raw material inspection and analyses; and b. Evaluation, approval, monitoring and follow up action related to Approved Suppliers. iv. All methods of analysis shall conform to recognized standards. Guidance: You must require raw material Suppliers to verify they are complying with your specifications by providing results of analyses (microbiological, chemical, etc.) of the products they supply to you. You are required to demonstrate that methods of analyses conform to recognized industry standards. The

Question

Primary Response

Secondary Responses

Guidance

Navigation Tree

PAF Reader > Corrective Actions

Quickfire PAF Reader [SQF 2000 Document Audit L3 v1.0.paf]

File English

Submit

(SQF2-DA 0173) SQF2000 Document Audit L3 v1.0

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4.3 Control of Production

Start Page Response Corrective Actions Site Details Reports

Assignee Position Technical Director

Site Accepts ☐

Deadline 05/11/2008

Assign To David Shultz

Priority 1

Action Point

Records of inspections and analyses MUST be maintained. iii. The Supplier MUST document a procedure outlining the Responsibility for raw material inspection and analyses.

Site > List of Non Conformances

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Google

http://quickfireonline.mbdevweb:100/FrmSiteNonconf...

Welcome, sysadmin

 SQFi Quickfire [Beta 1]

RGB Foods International

My Work > Sites > Site Details > Non-conformances

Non-conformances

- My Work
- Back
- Reports [1]
- Training [0]

Actions ▼

<input type="checkbox"/>	Audit Ref ▲ ▼	Audit Date	Audit Text ▼	Question Number	Question Category	Response ▼
<input checked="" type="checkbox"/>	SQF2-DA 0173	01/Oct/2008	SQF2000 Document Audit L3	4.2.2.ii-iv	Other	Minor
<input checked="" type="checkbox"/>	SQF2-DA 0173	01/Oct/2008	SQF2000 Document Audit L3	4.6.3.i	Other	Critical
<input type="checkbox"/>	SQF2-DA 0173	01/Oct/2008	SQF2000 Document Audit L3	4.3.1.ia-b	Other	Major
<input type="checkbox"/>	SQF2-DA 0173	01/Oct/2008	SQF2000 Document Audit L3	4.2.2.i	Other	Major
<input type="checkbox"/>	SQF2-DA 0173	01/Oct/2008	SQF2000 Document Audit L3	4.2.1.iii-iv	Other	Minor

Page Size 10 Page Select 1 of 1

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Site Details > Non-conformance > Details

Details - [IE 7.0] - Windows Internet Explorer

http://devsbv01/QuickfireOfficeWeb/FrmSiteNonconformanceDetails.aspx

Details - [IE 7.0]

Welcome, sysadmin

SQFi Quickfire [Beta 1]

Details

[My Work](#) > [Audit Groups](#) > [Non-conformances](#) > Details

Details

- My Work
- Back
- Reports [1]
- Training [0]

Actions ▼

Non-conformance Details

Audit Type:	SQF2000 Document Audit L3	Section:	Management Policy
Section Observation:	[No section observation]		
Question Number:	4.1.1.iii	Question Category:	Other
Question:	Does the Policy Statement further outline the Supplier's commitment to food quality and continuous improvement which is relevant to the Supplier's goals and customer requirements, to make the resources available to achieve this and support the development		
Primary Response:	Critical		
Secondary Response:	<ul style="list-style-type: none">Resources not availableContinuous improvement not addressed		
Observation	Raw material inspection process is poor and needs addressing.		
Action Point	The Policy Statement shall further outline The Supplier's commitment to a Food quality and continuous improvement which is relevant to the Supplier's goals and customer requirements and make the resources available to achieve this.		

QF6_TEST1 [localhost] | DEVSBV01 | #110

BETA 1.0

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INSTITUTE

SQF Quickfire Updates



- Buyer Module for SQF Quickfire
 - Buyer profile in Quickfire
 - Buyer access to supplier data once supplier chooses buyer
 - Buyer automatic notification of supplier certification status change
- ICIX interface
- SQF 2000 audit checklists available in Spanish

SQF Buyer Module - Reports



- SQFI Audit Report
 - Scored audit report (document review or facility assessment)
 - Ability to filter audit reports
 - Show entire report
 - Show only non-conformances
- Audit Response Details
 - Raw data of the audit report
 - Exportable to excel for data management

Buyer Report – SQFI Audit Report



https://quickfire-online.muddyboots.biz/SQFIReporting/CustomPage/2.aspx - Windows Internet Explorer

https://quickfire-online.muddyboots.biz/SQFIReporting/CustomPage/2.aspx

File Edit View Favorites Tools Help

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Welcome g.m.smith

SQF INSTITUTE

Language: English (United States) | Site: A & H Fruit Supply | Audit Type: SQF2000 Document Audit Level 3 | TreatUnansweredAs: Unanswered | Show Details: Yes | Show Unanswered: No | Show Secondary: Yes | Audit Ref: 1/2009 A&H Fruit Doc : 5/20/2009 | Audit Responses: (Select All), Compliant, Compliant with OIP, Critical, Exempt, Major, Minor | View Report

Buyer Reports

- SQFI Audit Report
- Audit Response D
- Corrective Action
- Full Audit Report

Site Reports

- SQFI Audit Report
- Audit Response D
- Audit Checklist
- Corrective Action
- Full Audit Report

CB \ Auditor Reports

- SQFI Audit Report
- Audit Response D
- Audit Checklist
- Corrective Action
- Audit Activity Sun
- Full Audit Report

Admin Reports

- Audits Frequency

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2.aspx

Start | FMI Remote Desktop - re... | My Work - Windows Inte... | https://quickfire-onli... | Internet 100% 2:51 PM

SQF Buyer Module – Reports (cont)



- Corrective action plan
 - Access all corrective action responses from supplier
 - Track status of all correction actions
 - Exportable to excel for data management

Buyer Report – Corrective Action Plan



Microsoft Excel - V6%5FML%5FCorrective_Action_Plan[1]

File Edit View Insert Format Tools Data Window Help

Type a question for help

Arial 10 B I U

	A	B	C	D	E	F	G	H	J	K	L
	Question No	Action Point	Action taken	Assign To	Required Completion Date	Actual Completion Date	Priority	Status			
2	5.2.2.2	Prepare an action plan against a timeline showing the incremental improvement of the drains.	See action plan attached.	Brent Frier	5/8/2009		100	Closed			
3	5.2.3.1	Prepare an action plan against a timeline showing the incremental improvement of the walls or covers.	See action plan attached.	Brent Frier	5/8/2009		100	Closed			
4	5.2.3.2	Prepare an action plan against a timeline showing the incremental improvement of the floor/wall joints.	See action plan attached.	Brent Frier	5/8/2009		100	Closed			
5	5.2.8.1	Prepare an action plan against a timeline showing the incremental improvement of the ventilation system.	Employees were informed of the good practices to use with the stand-up fans. An internal notice was transmitted to the line supervisors.	Brent Frier - Marie-Eve Lalonde	5/8/2009		100	Closed			
6			An action plan was created by Brent Frier for the ventilation system.								
7	5.2.9.2	Add appropriate work stations at the said site, identify if there is need in other processing areas and correct accordingly.		Brent Frier - Marie-Eve Lalonde	5/8/2009		100	Closed			
8	5.2.12.1	Install necessary number of racks (or similar apparats).	Added shelves on several places in the plant (near the sinks, for the gloves) and racks to hang protective clothing in areas were used.	Brent Frier - Marie-Eve Lalonde	5/8/2009		100	Closed			
9	5.2.12.2	Install necessary number of racks (or similar apparats).	Added shelves near the sinks to put the gloves when not used. Also added racks for the employees to hang their protective clothing when they leave the production zones.	Brent Frier - Marie-Eve Lalonde	5/8/2009		100	Closed			
10	5.4.1.3	In short term empty out the water from cooler and dry the area. In long term introduce necessary slope and drains in the cooler.	New cooler is in process to be built. Ingredients will be transferred in the new cooler. The old cooler will be used to store apples. A drain will be added. See action plan attached.	Brent Frier.	5/8/2009		100	Closed			
	5.4.5.3.i	Introduce required elements in the chemical	Chemical storage room will be rebuilt and	Brent Frier -	5/8/2009		100	Closed			

Sheet1 Sheet2

Ready

NUM

Start FMI Remote Deskto... My Work - Windows... https://quidfire-onl... SQF - Intertek pres... SQF - McDonalds U... Microsoft Excel - ... 3:15 PM

Getting Started with SQF



1. Learn about the Standard – attend a classroom “Implementing SQF 2000 Systems” training (optional)
2. Designate an employee as the SQF Practitioner – this will be the internal expert on SQF
3. Obtain proposals from potential Certification Bodies (CBs)
4. Conduct a pre-assessment – either a CB auditor or your SQF Practitioner can identify the “gaps” between your program and the desired level of SQF certification (optional)
5. Choose CB, define scope of certification (products)
6. CB conducts initial certification audits:
 - Document Review
 - Facility Assessment

SQF Initial Certification Audit



- Document Review
 - Done on-site or off-site
 - ½ day to full day
 - All policies, documents, and procedures are to be assessed, even those managed by corporate
- Facility Assessment
 - Generally 1-3 day audits, depending on scope and size of facility
 - Auditors must spend 80% of time in the facility, focus on interviews of key personnel, GMPs, implementation of programs reviewed, validations and records

What Makes SQF Unique?



- Accreditation / Certification process
 - Oversight by Accreditation Bodies / Standard Owner
- Auditor qualification / registration process
- Audit standards / guidance documents all free for download from www.sqfi.com
- Standard Risk Based – Not Prescriptive
 - Supplier always has the option to conduct risk assessment to determine applicable controls to address hazard based on risk
- Produce Quality Management System – certified product quality at level 3 certification
- Audit frequency based on supplier performance

Annual Costs to Suppliers for SQF



Registration Fee for Certified Suppliers

- A** Suppliers with a gross sales >\$50Million
- B** Suppliers with a gross sales >\$25Million<\$50Million
- C** Suppliers with a gross sales >\$5Million<\$25Million
- D** Suppliers with a gross sales >\$1Million<\$5Million
- E** Suppliers with a gross sales >\$100,000<\$1Million
- F** Suppliers with a gross sales <\$100,000

\$500
\$400
\$300
\$200
\$100
\$25



Questions?

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202-220-0665