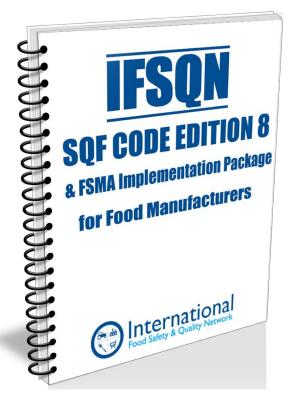


This workbook is provided to assist in the implementation of your IFSQN SQF Code Edition 8 & FSMA Implementation Package. The workbook is divided into 8 steps that are designed to assist you in implementing your food safety management system effectively:

- ✓ Step One: Introducing the SQF Food Safety System
- Step Two: Senior Management Implementation
- ✓ Step Three: Food Safety Management Implementation
- ✓ Step Four: Good Manufacturing Practices Implementation
- ✓ Step Five: Project Planning
- ✓ Step Six: HACCP Implementation
- ✓ Step Seven: Training
- Step Eight: Final Steps to SQF Certification

Note: The IFSQN SQF Code Edition 8 & FSMA Implementation Package includes a Start Up Guide which should be consulted to guide you through the contents of the package.



This Implementation Workbook compliments the IFSQN SQF Code Edition 8 & FSMA Implementation Package for Food Manufacturers which is an ideal package for organisations looking to meet the requirements of the SQF Food Safety Code for Manufacturing Edition 8 and SQFI Guidance for the Implementation of the Preventive Controls for Human Food Rule for SQF Certified Sites.

The IFSQN SQF Code Edition 8 & FSMA Implementation Package includes:

- A comprehensive set of over 70 editable Food Safety Management System Procedures
- ✓ A range of 60 easy to use Record Templates
- ✓ FSMA Module including training, documentation and a Hazard Identification and Preventive Controls Implementation Tool
- ✓ Additional HACCP Manual including the HACCP Calculator
- Introduction to the SQF Food Safety Management System Training Modules
- ✓ Allergen Risk Management Tools
- ✓ Food Fraud Risk Assessment Tool
- ✓ Supplier Risk Assessment Tool
- ✓ Internal Auditor and HACCP Training
- ✓ Verification and Validation Record Templates
- Supplementary Documents and Management Tools
- ✓ Free Technical Support until you achieve certification

As a preliminary to Step 1 we recommend that the you obtain your own copy of the <u>SQF Food Safety Code for</u> <u>Manufacturing Edition 8</u> and the <u>Guidance for the Implementation of</u> <u>the Preventive Controls for Human Food Rule for SQF Certified Sites</u> from the SQFI website (They are free to download)

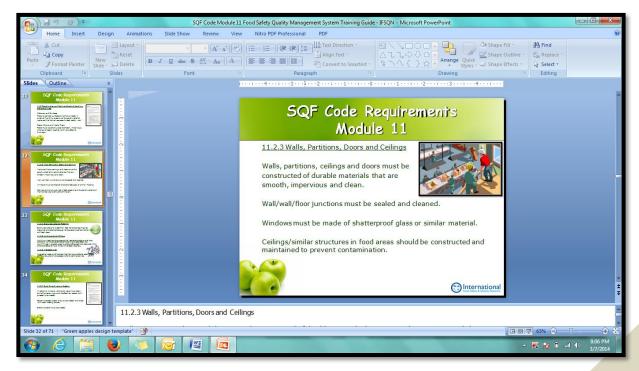
When you download the package, you will find the start-up guide and 14 folders containing the package documents:

🚞 SQF Code Edition 8 & FSMA Implementation Package f
Name
Additional HACCP Documents and Calculator
Allergen Management
Food Safety Management System Tools & Templates
FSMA Hazard Analysis & Preventive Controls
FSMA Module Amended SQF Procedures
FSMS Record Templates
Laboratory Quality Manual
Miscellaneous
Note for FSMA Implementation on Applicable Clauses.txt
Product Development
SQF 8 & FSMA Food Safety Management System Start Up Guide.pdf
SQF Code Implementation Workbook & Tools
Supplier Risk Assessment
Training Presentations
Validation Record Samples
Verification Record Examples

### Step One: Introduction to SQF Food Safety Management System

Training Presentations for Module 2: SQF System Elements for Food Manufacturing and Module 11: Good Manufacturing Practices for Processing of Food Products are provided. The presentations will introduce the SQF Food Safety Management System Package to the management team and explain how to start the process of implementing an SQF compliant Food Safety Management System.





### Step Two: Senior Management Implementation

A Senior Management Implementation checklist is provided that establishes your Food Safety Management System fundamentals including Food Safety Policies and Objectives.

The checklist guides Senior Management:

- ✓ in planning the establishment of the FSMS
- ✓ in providing adequate support to establish the FSMS
- ✓ in ensuring there is adequate infrastructure and work environment
- $\checkmark$  in allocating responsibility and authority

This stage requires the Senior Management to meet and establish the foundations for the Food Safety Management System:

- Formulating a checklist of Customer, Regulatory, Statutory and other relevant Food Safety requirements
- Decide which Food Safety requirements the company should address and develop relevant policies.
- Based on the Food Safety Policy Management Policies establish Food Safety Objectives
- ✓ Define the scope and boundaries of the FSMS
- ✓ Plan the establishment of the FSMS using the project planner
- ✓ Provide adequate support to establish the FSMS
- ✓ Ensure there is adequate infrastructure and work environment
- ✓ Allocate responsibility and authority
- Assess, plan and establish appropriate internal and external communication (including the food chain) channels

A meeting should now be co-ordinated involving all the Senior Management Team.

# Senior Management FSMS Implementation Meeting

Date

<u>Time</u>

<u>Venue</u>

## <u>Agenda</u>

- 1. Formulating a checklist of Customer, Regulatory, Statutory and other relevant Food Safety requirements
- 2. Decide which Food Safety requirements the company should address and develop relevant policies.
- 3. Based on the Food Safety Policy Management Policies establish Food Safety Objectives
- 4. Define the scope and boundaries of the FSMS
- 5. Plan the establishment of the FSMS using the project planner
- 6. Provide adequate support to establish the FSMS
- 7. Ensure there is adequate infrastructure and work environment
- 8. Allocate responsibility and authority
- 9. Assess, plan and establish appropriate internal and external communication (including the food chain) channels

## Attendees:

Senior Management Team			
Job Title	Name Role in Team		
Managing Director		Chairman	
Site Director		Deputy Chair	
Operations Manager		Operations Reporting	
Technical Manager		Food Safety and Quality Reporting Management Representative	
Planning Manager		Planning and Capacity Reporting	
Distribution Manager		Distribution Reporting	
Maintenance Manager		Services and Engineering Provision	
Finance Manager		Financial Reporting	
Human Resources Manager		Resource reporting	

#### Senior Management FSMS Implementation Checklist

The Senior Management FSMS Implementation Meeting should follow the guidelines of the Senior Management Implementation Checklist:

	Senior management formulate a checklist of Customer, Regulatory, Statutory and other relevant Food Safety requirements			
	Customer/Regulatory/Statutory/Other	Record Details		
	XYZ Customer Requires this			
	SQF Code Edition 8 2017			
Action	Food Regulations			
(i)	FSMA Final Rule for Preventive Controls for Human Food			
	Senior Management decides which Food Safety requirements the company should address and develop relevant policies.			
	Requirement	Policy Details		
Action				
Action (ii)				

Senior Management establish and provide Infrastructure and Work Environment Requirements

Senior Management provide the Infrastructure and Work Environment required to establish the Food Safety Management System. Having assessed the resources required to implement, maintain, and improve the Food Safety Management System, these resources should be provided including:

- Building and Maintenance requirements identified in Step 2
- Skilled Personnel
- Suitable materials
- Suitable equipment
- Appropriate Hardware and Software
- Infrastructure
- Information
- Finances
- Audit resource
- Training resource

	Senior management ensure there is adequate infrastructu environment		
	Infrastructure/Work environment requirements	Details	
Action (vii)			
(*")			

# Key Personnel and Nominated Deputies

Job Title	Job Holder	Nominated Deputy
Emergency Response Coordinator		
Food Safety Team Leader		
Management Representative		
Site Director		
Operations Manager		
Production Manager		
Warehouse Manager		
Maintenance Manager		
Factory Safety Manager		
Human Resource Manager		
Quality Manager		
Production Supervisor		
Packing Manager		
Technical Manager		
Planning Manager		
Goods Receipt Manager		
Design and Development Manager		
Planning Manager		
Customer Service Manager		
Laboratory Manager		
Distribution Manager		
Project Manager		

# Senior Management Establish a Product Recall/Crisis Management Team

Crisis Management/Product Recall Team				
Crisis	Name	Crisis Coordinator	Contact Details	
Fire or Site evacuation		Health and Safety Manager		
Utility Supply failure		Maintenance Manager		
IT systems failure		Operations Manager		
Water Supply Contamination		Technical Manager		
Breaches of security		Site Director		
Distribution Failure		Distribution Manager		
Bomb Threat or similar		Site Director		
Bioterrorism		Managing Director		
Extortion or Sabotage		Site Director		
Product quality or safety		Technical Manager		

# Senior Management Establish Food Safety Responsibility & Authority Levels

# Example Key Responsibilities

Process	Responsible Persons	Activity	
Purchases	Purchasing Manager	Purchase ingredients from approved and certified sources Ensure purchase orders comply with applicable specifications	
	Technical Manager	Ensure adequate information on supply application form Ensure suppliers adhere to supply handling practices Perform suppliers audit or review supply status where necessary	
Receiving and warehousing	QA/QC & Store Executives	NecessaryCompare PO and Delivery note or check contracts as per Suppliers Specifications criteria (if applicable) Check receiving temperature, pest infestations, quality, packing conditions and truck hygiene. Observe unloading practices Handle incoming goods as per documented procedures Ensure Good Storage Practices and FIFO rotation principles	
Preparation of Ingredients	QA/QC, Production Manager & Production Executive	Follow safe food preparation and handling practices Check environmental hygiene and safety Check equipment process performance and maintenance Check water quality and safety Check raw materials identification and traceability	
Production	QC/QC, Production Manager, Supervisor & Operators	Maintain product recipes and characteristics Do not modify recipes prior to approval from top management	
Holding and Filling of Processed Food	Production Supervisor & Operators	<ul> <li>Follow safe food holding procedures</li> <li>Hold foods outside the range of danger zone</li> <li>Follow safe food filling procedures into primary</li> <li>packaging</li> </ul>	
Capping, coding and packing	Production Supervisor & Operators	Follow safe capping procedures Ensure food in primary packaging are hygienically located Ensure coding for traceability is performed to procedures Follow secondary packaging procedures to protect	

## For those implementing FSMA Final Rule for Preventive Controls for Human Food at the same time as SQF Code Implementation there are 2 supplementary folders



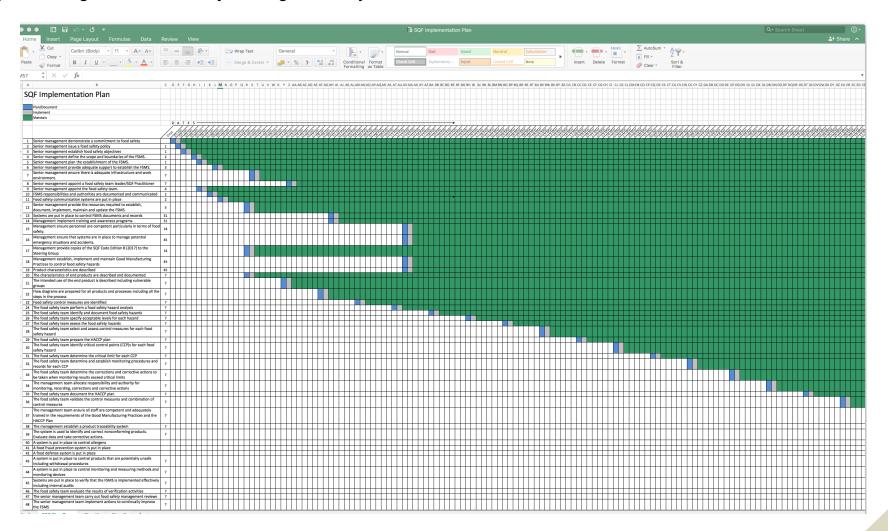
## FSMA Module Amended SQF Procedures Folder

This folder contains amended SQF Procedures based SQFI Guidance for the Implementation of the Preventive Controls for Human Food Rule for SQF Certified Sites. These documents should be used, by those sites implementing SQF Code and FSMA at the same time, in place of the documents in the Food Safety Management System Tools and Templates folder:

🚞 FSMA Module Amended SQF Procedu	ires		
		Q Search	
Name	<ul> <li>Date Modified</li> </ul>	Size	Kind
QM 2.2.3 Record Control SQF FSMA	28 Oct 2018, 10:42	33 KB	Micros(.docx)
QM 2.4.3 Food Safety Plans SQF FSMA	28 Oct 2018, 10:33	76 KB	Micros(.docx)
QM 2.4.3 Food Safety Plans SQF FSMA A	28 Oct 2018, 12:07	701 KB	Micros(.docx)
QM 2.4.4 Approved Supplier Program SQF FSMA	Yesterday, 20:12	565 KB	Micros(.docx)
QM 2.4.7 Product Release SQF FSMA	28 Oct 2018, 12:25	31 KB	Micros(.docx)
QM 2.4.8 Environmental Monitoring SQF FSMA	28 Oct 2018, 12:11	31 KB	Micros(.docx)
QM 2.5.4 Product Sampling, Inspection and Analysis SQF FSMA	28 Oct 2018, 12:22	56 KB	Micros(.docx)
QM 2.6.3 FDA Recall Template.docx	4 Sep 2018, 12:41	26 KB	Micros(.docx)
QM 2.6.3 Product Recall SQF FSMA	27 Oct 2018, 12:51	42 KB	Micros(.docx)
QM 11.1 Premises Construction Location & Approval SQF FSMA	28 Oct 2018, 12:35	39 KB	Micros(.docx)
@ QM 11.2.1 - 11.2.8 Construction of Premises and Equipment SQF FSMA	28 Oct 2018, 12:48	42 KB	Micros(.docx)
QM 11.2.9 Equipment, Utensils and Protective Clothing SQF FSMA	27 Oct 2018, 12:50	33 KB	Micros(.docx)
QM 11.2.10 Premises and Equipment Maintenance SQF FSMA	27 Oct 2018, 12:38	35 KB	Micros(.docx)
QM 11.2.11 Calibration SQF FSMA	27 Oct 2018, 12:49	30 KB	Micros(.docx)
QM 11.2.12 Pest Prevention SQF FSMA	28 Oct 2018, 12:39	36 KB	Micros(.docx)
QM 11.5.1 - 3 Water and Ice Supply SQF FSMA	28 Oct 2018, 12:46	30 KB	Micros(.docx)
💼 QM 11.6.1 - 4 Storage SQF FSMA	28 Oct 2018, 12:54	38 KB	Micros(.docx)
@ QM 11.6.5 - 9 Loading, Transport and Unloading Practices SQF FSMA	28 Oct 2018, 12:57	30 KB	Micros(.docx)
CM 11.7 Separation of Functions SQF FSMA	28 Oct 2018, 11:54	34 KB	Micros(.docx)

#### Project Plan

The Steering Group use the Excel Project Plan developed by Senior Management as a step by step guide to implementing the Food Safety Management System.



	Project Planning Tasks	Responsibility	Comments	Due Date for Completion	Date Completed
1)	Senior management demonstrate a commitment to food safety	Senior Management Team	Completed in Step 2		
2)	Senior management issue a food safety policy	Senior Management Team	Completed in Step 2		
3)	Senior management establish food safety objectives	Senior Management Team	Completed in Step 2		
4)	Senior management define the scope and boundaries of the FSMS.	Senior Management Team	Completed in Step 2		
5)	Senior management plan the establishment of the FSMS.	Senior Management Team	Completed in Step 2		
6)	Senior management provide adequate support to establish the FSMS.	Senior Management Team	Completed in Step 2		
7)	Senior management ensure there is adequate infrastructure and work environment.	Senior Management Team	Completed in Step 2		
8)	Senior management appoint a food safety team leader/SQF Practitioner	Senior Management Team	Completed in Step 2		
9)	Senior management appoint the food safety team.	Senior Management Team	Completed in Step 2		
10)	FSMS responsibilities and authorities are documented and communicated	Senior Management Team	Completed in Step 2		
11)	Food safety communication systems are put in place	Senior Management Team	Completed in Step 2		

Project Task 18 Management establish, implement and maintain Good Manufacturing Practices to assist in controlling food safety hazards: Use documents from Step Four: Good Manufacturing Practices

QM 11.1 Premises Construction Location & Approval QM 11.2.1 - 11.2.8 Construction of Premises and Equipment QM 11.2.9 Equipment, Utensils and Protective Clothing QM 11.2.10 Premises and Equipment Maintenance QM 11.2.11 Calibration QM 11.2.12 Pest Prevention QM 11.2.13 Cleaning and Sanitation QM 11.3.1 Personnel Hygiene and Welfare QM 11.3.2 Hand Washing QM 11.3.3 Clothing QM 11.3.4 Jewellery Policy QM 11.3.5 Visitors QM 11.3.6 - 9 Staff Facilities QM 11.3.10 Lunch Rooms QM 11.4 Hygiene Code of Practice QM 11.4A First Aid QM 11.5.1 - 3 Water and Ice Supply QM 11.5.4 Monitoring Water Microbiology and Quality QM 11.5.5 Air and Gas Quality QM 11.6.1 - 4 Storage QM 11.6.5 - 9 Loading, Transport and Unloading Practices QM 11.7 Separation of Functions QM 11.7.3 Thawing of Food QM 11.7.5 Control of Foreign Matter Contamination QM 11.7.5A Glass Policy QM 11.7.5B Control of Brittle Materials QM 11.7.5C Glass & Brittle Material Breakage Procedure QM 11.7.5D Control of Knives

- QM 11.7.6 Detection of Foreign Objects
- QM 11.8 On-Site Laboratories
- QM 11.9 Waste Disposal
- QM 11.10 Exterior

The Steering Group now need to allocate responsibility to implement and maintain these Good Manufacturing Practices.

### Project Tasks 19 – 36

Project Tasks 19 – 36 are to be completed by the Food Safety Team. Guidelines for these tasks are included in Step 6 HACCP Implementation Section.

19)	Product characteristics are described
20)	The characteristics of end products are described and documented
21)	The intended use of the end product is described including vulnerable groups
22)	Flow diagrams are prepared for all products and processes including all the steps in the process
23)	Food safety control measures are identified
24)	The food safety team perform a food safety hazard analysis
25)	The food safety team identify and document food safety hazards
26)	The food safety team specify acceptable levels for each hazard
27)	The food safety team assess the food safety hazards
28)	The food safety team select and assess control measures for each food safety hazard
29)	The food safety team prepare the HACCP (Food Safety) Plan (Food Safety Plan)
30)	The food safety team identify critical control points (CCP)s for each food safety hazard
31)	The food safety team determine the critical limit for each CCP
32)	The food safety team determine and establish monitoring procedures and records for each CCP
33)	The food safety team determine the corrections and corrective actions to be taken when monitoring results exceed critical
	limits
34)	The management team allocate responsibility and authority for monitoring, recording, corrections and corrective actions
35)	The food safety team document the HACCP (Food Safety) Plan
36)	The food safety team validate the control measures and combination of control measures

#### **Step Six: HACCP Implementation**

Included in the package are QM 2.4.3 Food Safety Plans and supplementary HACCP documents in the Additional HACCP Documents and Calculator Folder including the SQF Hazard Assessment & Critical Control Point Calculator:

Calibri (Body) • 14 • A• A• 🖧 • 🏘 🗄 • 🗄 • 🖉 • 🗐		BCCDDER ABBCCDd ABBCCDdE ABBCCDdE ABBCCDdE ABBCCDdE ABBb( Abbb
B I U + abs X <sub>2</sub> X <sup>2</sup> A + S + A + S ≡ ≡ ≡ ≡ ‡≣ + 4	ABBOCCOG ABBOCCOG ABBOCCOGE ABB	sbCcDdEs AaBbCcDd AaBbCcDdEs AaBb
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$\underset{i \in \mathcal{A}_{1}}{\underset{i \in \mathcal{A}_{1}}}{\underset{i \in L_{1}}}{\underset{i \in L_{1}}}}{\underset{i \in L_{1}}}}$	R.]	
	MRD	MRD
Food Safety Plans	Food Safety Plans	Food Safety Plans
	11. Establish verification procedures GEE PRICINE (I)	food Jahry Franks
introduction	GLT FRANCHEL IS     Localmentation and Record Resping     MAX FRANCHEL II	A core multi-disciplinary team is utilised within the company to develop the Food Safety Management
We are a leading food company committed to producing safe and legal products in line with legalation and to continuously improve our standards of legalene, quality and safety in relation to both our product	MACCE Principles	System and Food Safety Plans. This team includes the SQI practitioner and also personnel with feedmate, production, and experienting straw-ledge of the relevant products and associated processes. The Food Software leads or the SQF Practitioner with is conserted in the understanding of HACEP devices
and to contributionally improve non-traditions of Pagenes, scalar and unders in retaints to both nor product range and the environment in which we manyabilitation that products. It has not of this contributiones, all predicts and presentes used in the manufacture of fload predicts are update to based environ based on the Castor Alamatization/ICCP invision and the manufacture of SIG Code.	MACCP is a system, which identifies specific basands and implements measures for their control. All the	and their application. Food Safety Team Members have knowledge and upper and upper and approximate of HACCP Systems and in developing and implementing a food safety management system.
The fixed fields lifes of descentation due disease of the concess is the effective simples	HACCP's costained in this manual have been developed taking legislation requirements into consideration, following the prescribed preliminary steps and using the seven basic principles detailed	
development and implementation of the food safety management system. These documents are fully concerned to the considerion of a Loost Safety also and the second unsertiled in the mean of for the	belae	Details of qualifications and the Food Safety Team's training records are hold by the SQF Practitioner/Food Safety Team Leader.
monitoring of planned activities, maintenance and verification of control measures and by taking effective actions when non-conference is accessed with food substy henceds, they may reasonable he	Principle 1 Propore a flow diagram of the steps in the process. Conduct a hazard analysis by identifying patential hazards. Assam likel/bood of occurrence of these hazards and identify control options	Expert external assistance is used as an aid, when in-house involvings is limited, but day-to-day reanagement of the food advay system remain the reasonability of the IACCP Team.
expected to occur, are identified by this process and are then fully evaluated and controlled so that our products do not represent a direct or indirect risk to the consumer.	Natards, Assess Ball Pool of occurrence of these Natards and Bennity control options Reserves 2	
The Food Safety Management System is fully supported by established verification procedures and validation of the control measures/continuation of control measures that are implemented through	Identify the Critical Control Points in the process using the decision tree	Team Member HACCP Training Technical Hanager Advanced
validation of the control measured/continuition of control measures that are implemented through good mensfecturing precises or the fixed Safety plan.	Principle 3 Establish critical limits, which must be met to ensure each Critical Control	Technical Manager Advanced
th/CEP.Austication	Point is under control	Frocessing Manager Intermediate
Food safety plans are prepared in accordance with the twelve steps identified in the Codex Alternation Commission GUIDEUNES FOR THE APPLICATION OF THE HACCP SYSTEM CAC/NCP 1-1560, Nex. 4 2003	Principle 4 Establish a mentaning system to ensure control of the Critical Control Point by scheduled feeting or observations	Engineering Manager Internediate
1. Assemble HACCP team 3. Describe enduct	Principle 3	Production Monager Intermediate
Mentfly intended use     A contract Days display	Establish the corrective action to be taken when monitoring indicates that a particular Critical Control Point is nearing out of sammal	2
<ol> <li>Co-rate cardination of flow diagram</li> <li>Lot all promotion hauroids aucocheck with reach step, conduct a hazard analysis, and consider any measures to commut identified hazards.</li> </ol>	Principle 8	The team is supplemented by departmental staff who can contribute expert knowledge of their particular areas.
measures to control identified hazards (ME PRINCIPLE 3) 7. Determine Official Control Prants	Evaluation decumentation concerning all procedures and records appropriate to these principles and their application	The INACCP Team is responsible for:
(SEE PRINCIPLE 2)	Principle 7 Varify that HACOP is working effectively	Following MACCP procedures and constructing the Hood Safety Maxs     Validation and confliction of the HACCP solater
Commission Control and a memory of the CCP     CCCP     CCP	This manual describes the means busilish the site controls and assume fixed relates of the conducts or	<ul> <li>Review of the effects of any factory process or product change on the food Safety</li> </ul>
(SEE PRINCIPLE 4) 20. Establish committee actions CREE PRINCIPLE 5)	product groups included in the scope of the SQF certification and their associated processes.	Management System Updating Road Safety Harn as necessary
Demotest Reference Rel 14 Linea Labor Proc.	Occurrent Reference OM 3.4.3 food Safety Plans	Dazumiet Believers (M 2.4.3 Food Safety Firm
Reyalan 1, 1º Mar 2017 O Avanz by External Marager Auformad By Komping Domitry	Arristen 1 1º May 2017 Owned be: Technical Manager Arbeined By: Menager	Revision 1. 1º Mary 2017 Overed by: Technical Marague Audionical by: Maraging Dimeter
wrateman i'r renefiad connas	Autorian by Kanaging Linette	VA202000 \$1. Wandlind Patients
ABP	NSP	MBR
Food Safety Plans	Food Safety Plans	Food Safety Plans
Food Jahry Han Scope		Product Descration
The HRCCP studies contained within the HRCCP Manual define the potential risks and control measures required to safely manufacture the following products: (Inter products here)		The food safety team document the finished product characteristics, including legal food safety requirements, for the purpose of conducting the Hazard Analysis. The product description includes:
Food Safety Plans cover the process steps from:		<ul> <li>Product same</li> </ul>
- Prografiens - Intrike - Bandge	Other Details	Compaction     What will the purchaser will do with it     Details of the purchaser will do with it
- Processing	3Q/ Code	Presta of the polytopharm on many     Presta of the polytopharm of the many     Presta of the polytopharm of the manufactured     Companytion of the polytopharm     Presta of the polytopharm
Packing Storage		<ul> <li>Chemical characteristics relevant for bodi safety such as pri or Aw</li> <li>Biological characteristics relevant for food safety treatment such as heating, freezing, brising or</li> </ul>
Dispatch Distribution		service     registration
Scope is defined by consideration of the extent of the food chain, product description and parameters, the interview and parameters and and one. The scope souther advant Contemport Parameters		<ul> <li>Amerikan</li> <li>✓ Presched storage temporatums</li> <li>✓ Presched storage temporatums</li> </ul>
the Intended consumer group and end use. The scape considers relevant Castomer, Regulatory, Raturary and other relevant Read Safety requirements.		Presched storage sordElons     Presched son and resundably expected handling     Prestaging
The SQIF Practitioner formulates a full of actional Dustance, Regulatory, Statutory and other released Face Safety requirements to be considered in the VACCP scope	Material Sancifications	Target consumers     Possible unintended miduarding or misuse of the product
Customer Requirements Details	Specifications for all Raw Montrain, including Ingredients and Product Contact Materials, are held in the partbased raw materials Res. Specifications includes sufficient details for the identification and assamment of find and arbity hasness?. Let each itam the apacellication includes:	* Where the preduct is united * How the product is unit * Lakeling motocctom for hundling, preparation and usage
XY2 Customer Registres this		* Prescribed delivery conditions
	Walkgreal, shemical and physical characteristics Composition of formulated ingredients including additives and processing aids Origin	End product descriptions are reviewed and updated If necessary when there is new design or redesign of the food safety management system.
	Method of production Debury method	iviender Uze
	Sterage doh/floors/inspirements Details of packaging Programming and/or handling before use or processing	The food safety team identify all possible users and consumers for each product and process category.
	Proparation and/or handling before use or processing Food Safety Acceptance otheria	Whereafth consumer groups in particular are cansidered for each food safety hazard including inform, the elderly and always software.
Regulatory/Statutory Requirements Details	Interbed use All specifications are maintained, updated and approved by the Yood Safety Team Leader who identifies	The following types of foods can cause reactions in susceptible persons and are cansidered as part of the INICCP shafty
Food Regulations	legal tood safety requirements related to the terms purchased. Raw material specifications are reviewed and updated if necessary when there is new design or redesign of the food safety management system.	f have
		2 Martin
		Descreent Reference QM 2.4.3 Food Safety Plans Revenue 1: 1 <sup>-4</sup> May 2017 Oleventhy Technical Manager
Document Inference (MV 2.6.3 Food Safety Flans Revision 1 1" May 2013	Becommer Reference (2M 2.3.2 Hand Tallety Plans Rovision 1, 1º May 2017	

	Additional HACCP Documents and Calculato
lame	
CCP Procedure Sample Pasteurization	n.docx
CCP Record Sample Pasteurizer Log S	Sheet.docx
CODEX Decision Tree	
💼 Finished Product Summary Sample	
HACCP Definitions	
HACCP Flow Diagram Example	
HACCP Glass Control Verification Rec	cord Sample
HACCP Plan Sample Template	
HACCP Steering Group Review Samp	le
HACCP Validation Record Sample	
HACCP Verification Audit Sample	
💼 Hazard Analysis Prompt	
Product Description Example	
💼 Raw Material Summary Example	
SQF HACCP Calculator Instruction 1.	pdf
SQF HACCP Calculator Instruction 2.	pdf
SQF HACCP Calculator Instruction 3.	pdf
SQF Hazard Assessment & Critical Co	ontrol Point Calculator
Training Guide - HACCP SQF Module.	.pptx

Follow the step by step guide to implementing your HACCP using the document supplied and the SQF Hazard Assessment & Critical Control Point Calculator:

#### <u>Tasks 19 - 21</u>

All raw materials, ingredients, product-contact materials and the characteristics of end products should be described in documents to the extent needed to conduct the hazard analysis.

Specifications for all Raw Materials, including Ingredients and Product Contact Materials should be obtained from all suppliers and held in a purchased raw materials file. Specifications should include sufficient detail for the identification and assessment of food safety hazards. For each item the specification should include includes:

- Biological, chemical and physical characteristics
- Composition of formulated ingredients including additives and processing aids
- Origin
- Method of production
- Delivery method
- Storage conditions/requirements
- Details of packaging
- Preparation and/or handling before use or processing
- Food Safety Acceptance criteria
- Intended use

Use the templates provided in the HACCP Manual to assist you.

The food safety team should use the form to assist in documenting the end product characteristics, including legal food safety requirements, for the purpose of conducting the Hazard Analysis. The product description may include:

- Product name
- Composition
- What will the purchaser will do with it
- Details of the packaging
- How the product is processed or manufactured
- Composition of the product
- Chemical characteristics relevant for food safety such as pH or Aw

Task 26 The food safety team specify acceptable levels for each hazard

For each Food Safety Hazard Identified, the acceptable level of the hazard in the end product is determined, justified and recorded taking into account regulatory requirements, customer food safety requirements, historic information, scientific literature, professional experience and intended use by the customer.

This hazard list is referred to as a preliminary hazard list and covers all hazards that could potentially occur in the product.

Use the templates provided in the HACCP Manual to assist you.

	FC	НАСС	CP Instruction 1	
	540 0.00 g 3000	Prerequisites lling the haze	or Control Measures the ard	at assist in
Step				Prerequisites or Control
Number	Step Name	Category	Hazard	Measures
1	Goods in	Physical	Wood from pallets	Layer pads
2	Goods in	Chemical	Cleaning chemicals on vehicle	Segregation & Pallet Bunds
3	Goods in	Biological	E.coli in raw material	C.O.A/Approved Supplier
4	Goods in	Allergen	Contains peanuts	Sealed in double bags/ Segregated
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
23				

Document Reference HACCP Calculator Instruction 1 Revision 1 8<sup>th</sup> May 2012 Owned by: Technical Manager Authorised By: General Manager



\*\*\*\* FSMA Preventive Controls For Human Food Rule requires §117.126 Food safety plans and §117.135 Preventive controls: (a) (1) You must identify and implement preventive controls to provide assurances that any hazards requiring a preventive control will be significantly minimized or prevented ...

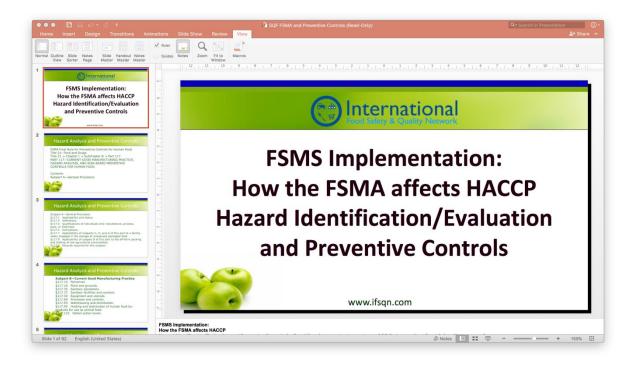
Your team will need to also follow guidelines in the FSMA Hazard Analysis & Preventive Controls Folder and document Preventive Controls and CCPs in a Food Safety Plan.

### FSMA Hazard Analysis & Preventive Controls Folder

This folder contains Sample Procedures, Guidance and Tools for the Implementation of Preventive Controls. These documents should be used, by those sites implementing SQF Code and FSMA at the same time instead of using the documents in the Additional HACCP Documents and Calculator Folder:

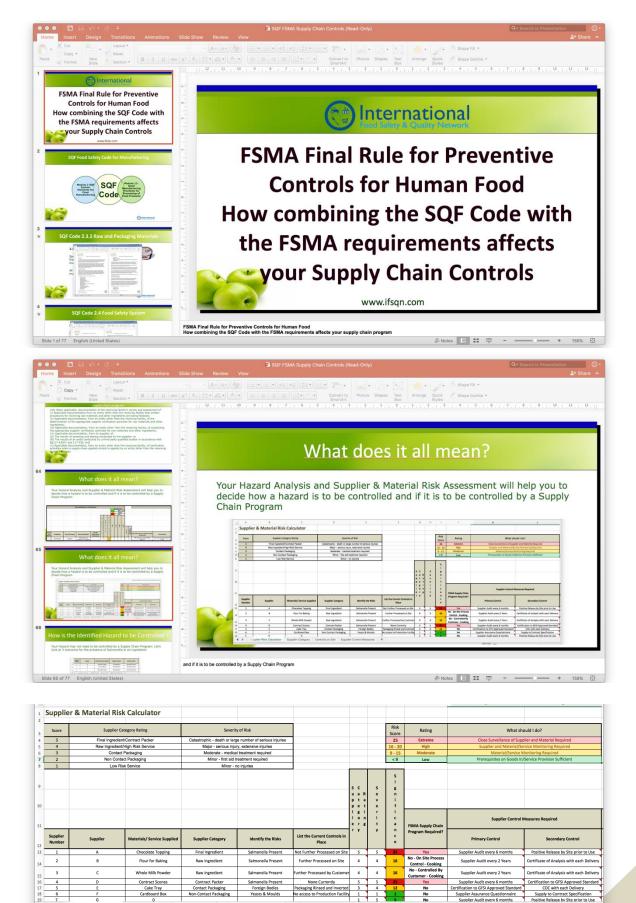
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me	^	Date Modified	Size	Kind
Hazard Identification and Preventive Controls.xlsx		Today, 12:29	139 KB	Micros(.xlsx
Preventive Control Validation Record.docx		4 Sep 2018, 11:36	29 KB	Micros(.doc)
Sample CCP Validation FDA Recommended Pasteurization Time.pdf		25 Oct 2016, 09:57	200 KB	PDF Documer
Sample Corrective Action Request Record.docx		4 Sep 2018, 11:36	25 KB	Micros(.doc)
💼 Sample Critical Control Point Validation Record.docx		4 Sep 2018, 11:41	27 KB	Micros(.doc)
Sample Goods In Inspection Record.docx		4 Sep 2018, 11:37	28 KB	Micros(.doc)
🞼 Sample Goods In QA Clearance Label.docx		4 Sep 2018, 11:38	16 KB	Micros(.doc)
💼 Sample Preventive Control Procedure Raw Material A Acceptance.docx		4 Sep 2018, 11:40	191 KB	Micros(.doc)
Sample QM 1 Pasteurization Procedure.docx		4 Sep 2018, 11:42	32 KB	Micros(.doc)
💼 Sample QMR 1 Pasteurizer Log Sheet.docx		4 Sep 2018, 11:43	30 KB	Micros(.doc)
💼 Sample Raw Material Release Record.docx		4 Sep 2018, 11:40	27 KB	Micros(.doc)
Sample Supplier Register Document.xlsx		4 Sep 2018, 12:19	13 KB	Micros(.xlsx)
SQF FSMA and Preventive Controls Notes		27 Oct 2018, 11:44	12.7 MB	PDF Documer
SQF FSMA and Preventive Controls.pptx		27 Oct 2018, 11:41	19 MB	PowerP(.ppt
SQF FSMA Supply Chain Controls Notes.pdf		Yesterday, 13:34	3.9 MB	PDF Documer
SQF FSMA Supply Chain Controls.pptx		Yesterday, 20:49	11.8 MB	PowerP(.ppt
Supplier & Material Risk Assessment		Yesterday, 12:17	33 KB	Micros(.xlsx)

Guidance and Tools for the Implementation of Preventive Controls



Insert Design Transitions Animations     Insert Design Transitions	· 🖵 Q		×	SMA and Preventive C	Controls (Read-C	Only)							Q+ Sea	rch in Presentation
View Sorter Page Master Master Master Hazard Analysis and Proventive Controls A Critical Control Point has been identified.	11, 12, 11,	Window	(†., (, ř.,. (.)	. <del>.</del> <del>.</del> <del>.</del>	. <del>.</del> <del>.</del>	. 1.,	19	5.15	ł., I.	2.1	ð. (	. 4	1	9 10 11 12
		Haz	ard	Analy	sis a	n	d	Ρ	re	eve	en	t	ve Contr	ols
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	10 Area/ Step	Step Name	Hazard Category	Hazards Identified	Specific Details	i i t v	r i t Y	i c a n c	1	2 3	4	C C P	Preventive measure which controls the	Control Limit
Hazard Analysis and Preventive Controls	11 Number	Raw Material A	Biological	Salmonella spp. (S.	about the Hazard	2	2	-		+		1	Hazard QM 3.5 Supplier and Raw Material	COA on Receipt Salmonella ab
Controls.	12 -	Goods In	Chemical	typhimurium, S. enteriditis Lubricants	Food grade oil used	1	1	1	+	+	+		Approval QM 4.7 Maintenance	in 25g
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S         Marc         Ma	15 4	Handling	Radiological	lodine-131	Risk of Radiation in water source	1	2	2	1	1		+	QM 4.5 Utilities - Water and Air	egg an ergens in sibilage, spir
	16 5	Product Formulation	Physical	Stones	Fruit stones in Cherries	2	3	6					✓ QM 6.1 Control of Operations	Filtration 3mm maximum
Hazard Analysis and Preventive Controls	17 6	Sanitation	Chemical	CIP Chemicals		2	2	4					CM 4.9.1 Chemical Contamination     Control	CIP to specification
The next size is Preventive Controls	18 7	Processing	Biological	Listeria monocytogenes	Present in raw material	3	3	3	Y	¥.		-	QM 6.1 Control of Operations	Pasteurisation > 71.7 * C > 1 seconds
	H-4-9-31	Hazard ID Evaluation	& Control / Hazard Lie	st / Preventive Controls /	Control Limits	Hazard	Catego	γZ	HACCP V	aldati 🚺		1	-	×
	Ltick in the Prever	ntive Control boy wh	en the Significanc	e of a hazard is 3 or o	reater but it is no	taC	CP	-						

# Guidance and Tools for the Implementation of Supply Chain Controls



#### Task 27 The food safety team assess the food safety hazards

Each potential food safety hazard should now be risk assessed by the Food Safety Team to determine whether its elimination or reduction to acceptable levels is required to produce a safe product and also any controls required to achieve the acceptable levels.

For each step grades of impact (severity of adverse health effects) and probability (likelihood of a food safety hazard occurring) need to be allotted and the combined matrix used to judge the severity and priority for elimination or minimisation of the hazard.

The Food Safety Team should identify the hazards that need to be prevented, eliminated or reduced to acceptable levels.

The Food Safety Team need to consider the probability of the hazard occurring, the severity of the hazard on the consumer, the vulnerability of the targeted consumer, the survival and multiplication of any biological hazards and any likely toxin production, the presence of chemicals or foreign bodies, contamination at any stage in the process and possible deliberate contamination or adulteration. This process is assisted using the worksheet Hazard Analysis Calculator:

Taking these factors into account a rating is given for probability and severity. Use the templates provided in the HACCP Manual to assist you.:

Step Number	Step Name	Hazards Identified	Probability	Severity	Significance
1	Delivery of Ingredient A	Bone	1	3	3
1	Delivery of Ingredient A	Campylobacter spp.	2	3	6
1	Delivery of Ingredient A	Contamination with Bacteria from pests	3	3	9
1	Delivery of Ingredient A	Pesticides	3	1	3
1	Delivery of Ingredient A	Salmonella spp. (S. typhimurium, S. enteriditis)	3	3	9
1	Delivery of Ingredient A	Bacteria (spore-forming) General	2	2	4
1	Delivery of Ingredient A	Pest control chemicals	1	1	1

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Firstly, the Food Safety Team assess the likelihood of the hazard occurring:

- 1 for Highly Unlikely
- 2 for Possible
- 3 for Likely

Then the Food Safety Team assess the severity of the hazard:

- 1 for Not Severe
- 2 for Could possibly cause illness
- 3 for Severe (Could be fatal)

The Food Safety team should factor in the vulnerability of the targeted consumer, the survival and multiplication of any biological hazards and any likely toxin production, the presence of chemicals or foreign bodies, contamination at any stage in the process and possible deliberate contamination or adulteration to the severity score to determine all the Significant Food Safety Hazards which score a 9 as highlighted in red.

All of the food safety hazards that score a 9 are regarded as significant and form the Significant Food Safety Hazard List.

The SQF HACCP Calculator provided can be used to assist in this process.

		<b>⊌)</b> - (≅ - ) <del>-</del>			SQF Hazard Assessm	nent & Critical Control Point Calcu	ilator - Microsoft Excel									o x
<u> </u>	Ho	me Insert Page	Layout Formulas D	ata Review 🚺	View Nitro PDF Prof	essional PDF									0	) _ = ×
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3												Decisio	n Tree			
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5											N		Check			
6												=	CCP			_
7								P r o	s	S i g						
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	Step Imber	Step Name	Hazards Identified	Specific Details about the Hazard	contr	ite Programmes which assist in rolling the Hazard	Control Measure	t Y		c e					P P	
11	1	AMF Delivery	cteria (spore-forming) Ger	ieral			Pasteurisation > 71.7 ° C > 15 seconds		3	9	Y	ΓY.				reduce the
2	1	AMF Delivery	Listeria monocytogenes			leaning and Sanitation	Hot Water Disinfection	3	3	9	Y	N		Y for Yes ( t leave bla	r N for No	
3	1	AMF Delivery	Personal effects			nnel Hygiene and Welfare	Filtration 3mm maximum	3	3		Y	N				l becomes c
.4	1	AMF Delivery AMF Delivery	Wood Nuts			Foreign Matter Contamination	Filtration 1mm maximum Filtration 3mm maximum	3	1	3			-			
5	1	AMF Delivery AMF Delivery	Stones			and Packaging Materials and Packaging Materials	Filtration 3mm maximum Filtration 3mm maximum	2	2	3						_
7	1	AMF Delivery	Allergens	•		and Packaging Materials	Hot Water Disinfection	1	1	4	-		-	-+	-	_
8	1	AMF Delivery	Cryptosporidium parvum	•		Water and Ice Supply	Incubation pH Control	3	3		Y	v	-	-+	× *	-
.9	1	AMF Delivery	mination with Bacteria fro			gement of Pests and Vermin	tive Release of Finished product for	3	1	3			-	-	•	1
20	1	AMF Delivery	Antibiotics				tive Release of Finished product for	3	2	6			•	-	-	
21	1	AME Delivery	Staphylococcus aureus		OM 11 7 0	Control of Operations	Cooling to < 5 °C within 2 hours	3	3	9	Y	N	Y	Y	~	<b>┌</b> ▼
		Process Flow Hazar mented by Tony	d Analysis Calculator / H	ACCP Plan / HAC	CP Plan Verification 🖌	HACCP Validation Good M	anufact	_	_		_		80	% 🕞	Ū	

# **Control Measure Validation**

Product Category			
Step Number			
Hazard			
Control Measure			
Validation Methods	Appli	cable	Comments
Valuation Methous	Yes	No	Comments
Third Party Scientific			
Validation			
Historical Knowledge			
Simulated Production			
Conditions			
Collection of Data in normal			
production			
Admissible in industrial			
practices			
Statistical Programmes			
Mathematical Modelling			
C	onclusio	n	
Internal Validation Required?			
If so by which method?			
		1	
CCP Confirmed			
Authorised by(Name):			
Signature:			

At this stage, you will now be able to complete Tasks 38 – 44 using the document templates provided:

Task 38: The management establish a product traceability system - QM 2.6.2 Product Trace

Task 39: The system is used to identify and correct nonconforming products. Evaluate data and take corrective actions. - QM 2.4.5 Control of Non-Conforming Product or Equipment & QM 2.5.3 Corrective Action and Preventative Action

Task 40: A system is put in place to control allergens - QM 2.8.1 Allergen Management

Task 41: A food fraud prevention system is put in place - QM 2.7.2 Food Fraud

Task 42: A food defense system is put in place - QM 2.7.1 Food Defense Plan

Task 43: A system is put in place to control products that are potentially unsafe including withdrawal procedures - QM 2.6.3 Product Withdrawal and Recall

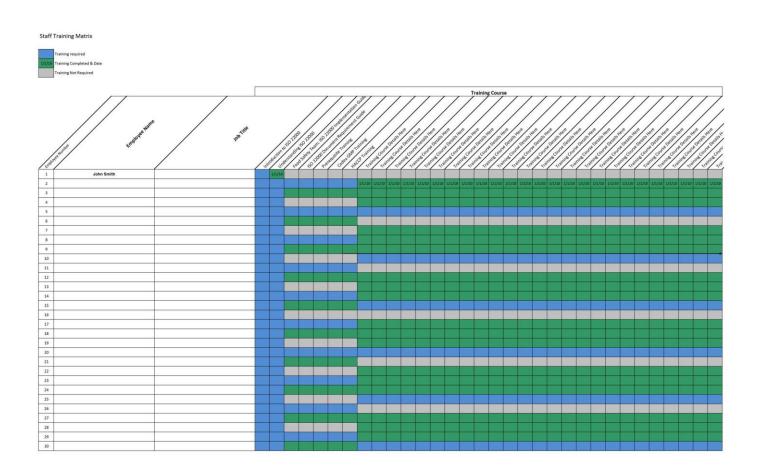
Task 44: A system is put in place to control monitoring and measuring methods and monitoring devices - QM 11.2.11 Calibration



## Step Seven: Training

A significant part of the implementation process is training. Job Descriptions should be available for all staff and they should be briefed and aware of their food safety responsibilities.

A training matrix and plans should be drawn up for all staff and the relevant training given based on responsibility and authority.



We have provided a Staff Training Matrix Template in Microsoft Excel Format.

For each employee and individual training record should be completed. QMR 002 Training Record is provided in the documentation pack as a template:

# QMR 002 Training Record

Name:			Employee Number:			
Company Start	Date:		Position:			
		, Skills & Experience :				
Period Training Required	Det	ails of Internal Training o	r External Training Course	Dates of Training	Signed (Trainee)	Assessed as Competent Signed (Trainer)
Training	Induction		r External Training Course			Competent Signed
Training Required	Induction Food Safety 8	& Quality Policy Briefing	r External Training Course			Competent Signed
Training Required	Induction Food Safety & Food Safety &	& Quality Policy Briefing & Quality Objectives	r External Training Course			Competent Signed
Training Required	Induction Food Safety 8 Food Safety 8 Health and Sa	& Quality Policy Briefing & Quality Objectives afety Procedure	r External Training Course			Competent Signed
Training Required	Induction Food Safety & Food Safety & Health and Sa Records moni	k Quality Policy Briefing k Quality Objectives afety Procedure itoring and control	r External Training Course			Competent Signed
Training Required	Induction Food Safety & Food Safety & Health and Sa Records moni Environment	k Quality Policy Briefing k Quality Objectives afety Procedure itoring and control and Waste Management	r External Training Course			Competent Signed
Training Required	Induction Food Safety & Food Safety & Health and Sa Records moni	& Quality Policy Briefing & Quality Objectives afety Procedure itoring and control and Waste Management edure	r External Training Course			Competent Signed

Basic SQF Code Training should be given to all staff and also include:

- ✓ Job/Task Performance
- ✓ Company Safety and Quality Policies and Procedures
- ✓ Good Manufacturing Practices
- ✓ Cleaning and Sanitation procedures
- ✓ HACCP
- ✓ Bio security and Food Defense
- ✓ Product Quality and Grading
- ✓ Chemical Control
- ✓ Hazard Communication
- ✓ Blood borne Pathogen
- ✓ Emergency Preparedness
- ✓ Employee Safety
- ✓ Safety Regulatory Requirements/Quality Regulatory Requirements

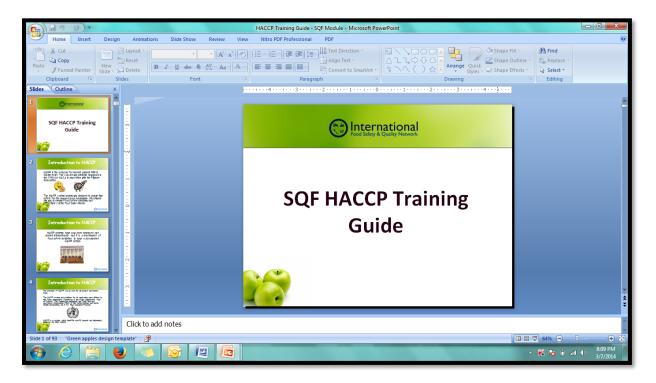
#### The Food Safety Team should receive extra training:

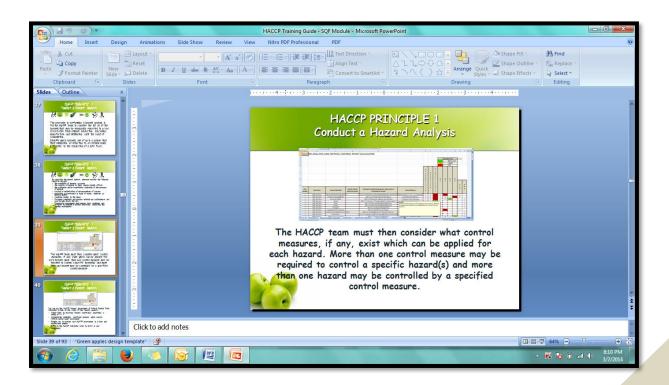
- ✓ Internal Audit Training (Conducted in Step Seven)
- ✓ HACCP Training

Remember all food handlers should receive Basic Food Hygiene Training

#### HACCP Training

An interactive and illustrated PowerPoint HACCP training presentation is supplied to train your food safety team in the preliminary steps to a Hazard analysis, the principles of HACCP and how to utilise the HACCP calculator in implementing your HACCP system.





## Senior Management Review Meeting Notification

Date

<u>Time</u>

<u>Venue</u>

### <u>Agenda</u>

- 1. Review of the Food Safety Policy
- 2. Review of Management Changes
- 3. Minutes and Follow-up actions from previous review meetings
- 4. Outstanding Non-conformances as a result of internal and external audits
- 5. Results of external second and third-party audits
- 6. Trend analysis of Customer and Supplier complaints
- 7. Analysis of the results of verification activities including internal hygiene and HACCP (Food Safety) Plan verification audits
- 8. Quality Key Performance Indicators Review and trend analysis
- 9. Emergencies and Accidents
- 10. Process performance and product conformity
- 11. Corrective and preventive action status
- 12. Food Safety incidents including allergen control and labelling, recalls, withdrawals, safety or legal issues
- 13. Review of planning and development of the processes needed for the realisation of safe products including changes which could affect food safety and the HACCP (Food Safety) Plan (including legislation changes and scientific information)
- 14. Changes to policies and objectives
- 15. Communication activities and effectiveness of communication
- 16. Results of review and system updating
- 17. Review of Resources and effectiveness of Training
- 18. Recommended improvements
- 19. Customer Feedback and Sales levels are reviewed to give an indication of trends
- 20. A.O.B

#### Use the SQF Code Self-Assessment Checklists to assess your Food Safety Management System

We recommend that the SQF Practitioner carries out a pre-certification audit to ensure that you are satisfied that your food safety management system meets the requirements of the SQF Code. The SQF Practitioner should read the relevant section of the SQF Code and assess if you are compliant, making notes on the checklist.

#### Ensure any areas requiring corrective action are addressed

The non-compliances identified in the final self-assessment of compliance with the SQF Code should be logged by the Food Safety Team Leader and the appropriate corrective action allocated and taken:

Date	SQF Code Section	Details of Non- Conformance	Identified by:	Corrective Action Required	Responsibility	Target completion Date	Date Completed