

This workbook is provided to assist in the implementation of your SQF Food Safety Management System 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 Operating Practices Implementation
- ✓ Step Five: Project Planning
- ✓ Step Six: HACCP Implementation
- ✓ Step Seven: Training
- ✓ Step Eight: Final Steps to SQF Certification

Note: This IFSQN SQF Food Safety Management System 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 Food Safety Management System Package which is an ideal package for organizations looking to meet the requirements of the SQF Food Safety Code for Pre-processing of Plant Products Edition 9

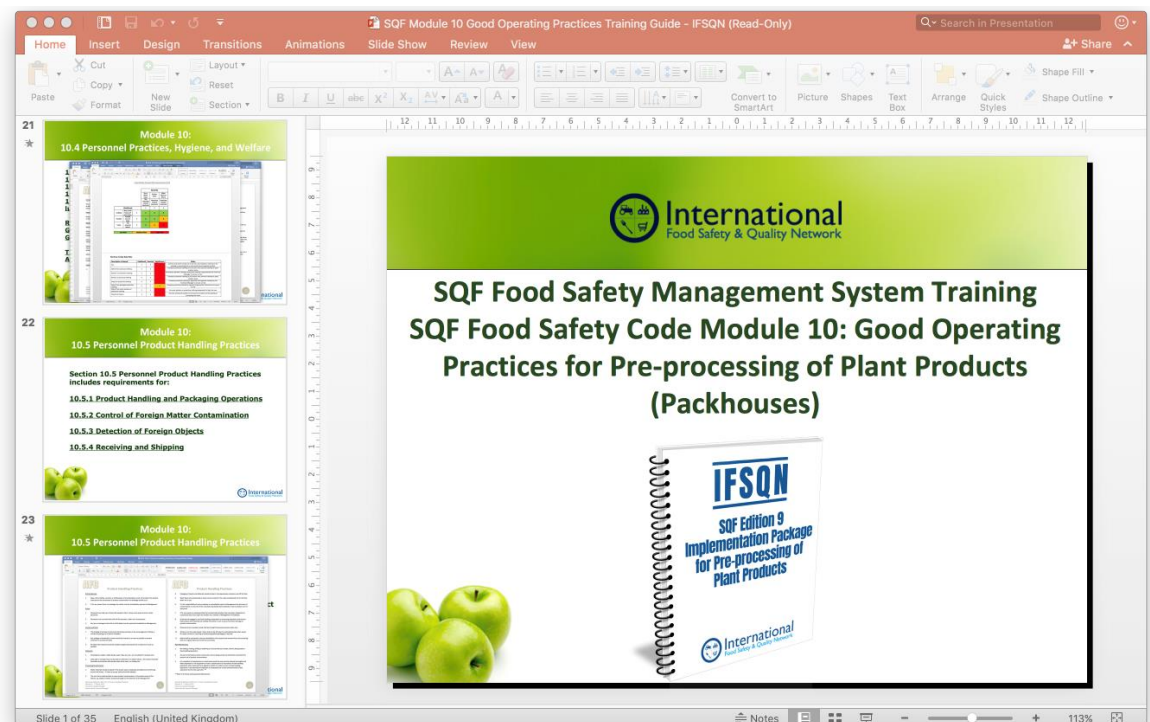
The IFSQN SQF Food Safety Management System Package contains:

- ✓ A comprehensive set of editable Food Safety Management System Procedures
- ✓ A comprehensive set of editable Good Operating Practice Procedures
- ✓ A range of easy to use Record Templates
- ✓ Additional HACCP Manual including the HACCP Calculator
- ✓ Introduction to the SQF Food Safety Management System Training
- ✓ Allergen Risk Management Tools
- ✓ Food Fraud Risk Assessment Tool
- ✓ Supplier Risk Assessment Tool
- ✓ Internal Auditor Training
- ✓ HACCP Training

As a preliminary to Step 1 we recommend that the you obtain a copy of the [SQF Food Safety Code Edition 9](#) from the SQFI website

Step One: Introduction to SQF Food Safety Management System

Training Presentations for SQF Food Safety Code Module 2: SQF System Elements and Module 10: Good Operating Practices for Pre-processing of Plant Products (Pack houses) are provided. The presentations will introduce the SQF Food Safety Management System Package to the management team and explain how the Food Safety Management System Tools & Templates match and comply with the SQF Food Safety Code modules.



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
- ✓ 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
- ✓ Plan to establish a food safety culture

A meeting should now be coordinated involving all the Senior Management Team.

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Senior Management FSMS Implementation Meeting

Date

Time

Venue

Agenda

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
10. Plan to establish a food safety culture

Attendees:

Senior Management Team		
Job Title	Name	Role in Team
Managing Director		Chairman
Operations Manager		Operations Reporting
Quality Manager		Food Safety Reporting
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

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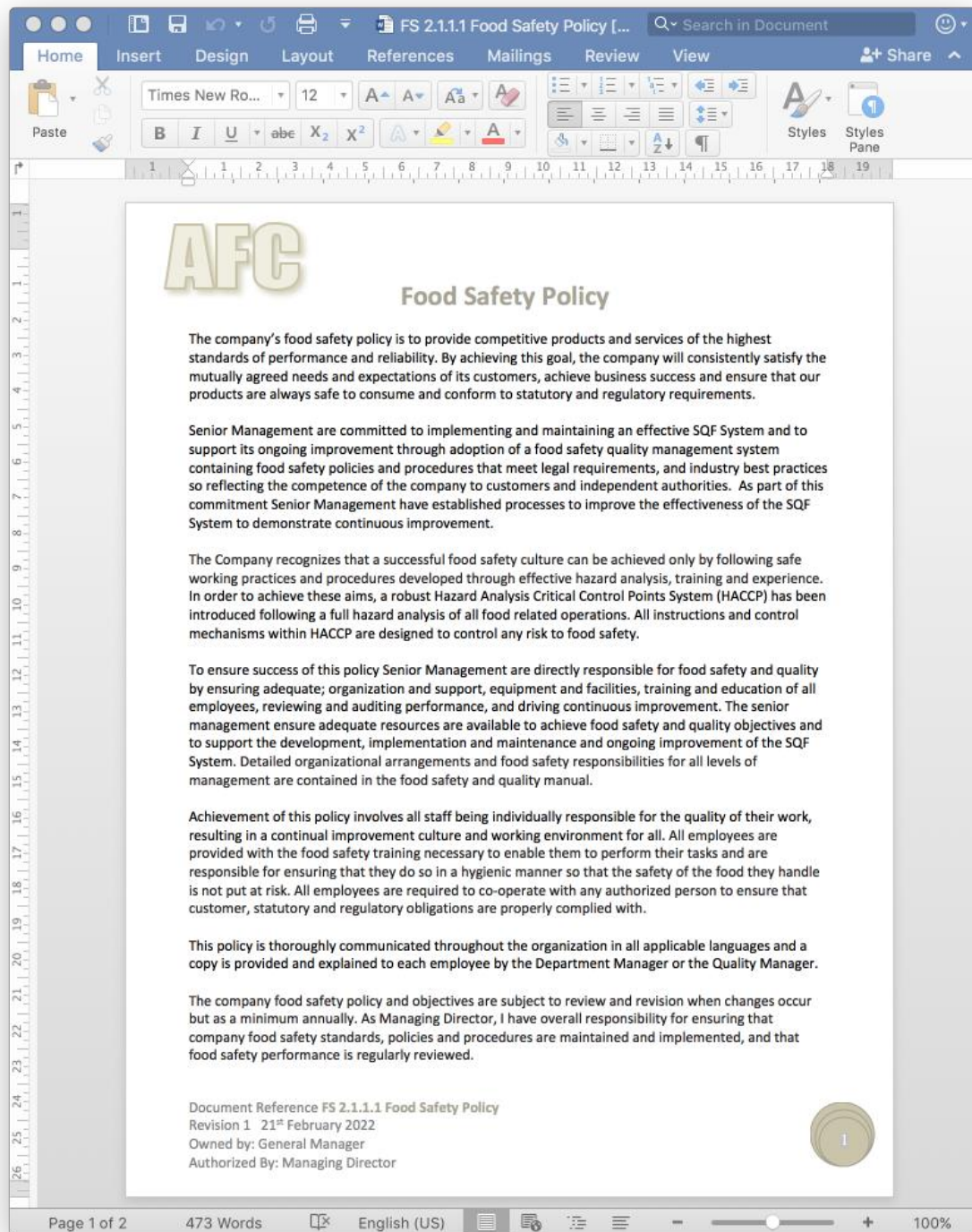
Senior Management FSMS Implementation Checklist

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

Action (i)	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 9	
	Food Regulations	
	FSMA Preventive Controls Rule for Human Food	
Action (ii)	Senior Management decides which Food Safety requirements the company should address and develop relevant policies.	
	Requirement	Policy Details

Senior Management can choose/adapt the templates supplied with the system to assist in documenting policies and objectives:

Food Safety Policy and Objectives



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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		Quality Manager	
Breaches of security		Managing Director	
Distribution Failure		Distribution Manager	
Extortion or Sabotage		General Manager	
Product quality or safety		Quality Manager	

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Senior Management Establish Food Safety Responsibility & Authority Levels

Example Key Responsibilities

Process	Responsible Persons	Activity
Purchases	Purchasing Manager	Purchase ingredients, materials and produce from approved and certified sources Ensure purchase orders comply with applicable specifications
	Quality 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	Compare Purchase Order (PO) and Delivery Note (DN) 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 Produce	QA/QC, Pre-processing Manager	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/produce identification and traceability
Packing	QC/QC, Packing Manager, Supervisor & Operators	Maintain product quality and safety Follow safe food handling practices Ensure Good Operating Practices are adhered to Follow cleaning and sanitation standards and procedures Follow the handling standards of raw and pre-processed foods
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

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Senior Management Establish Food Safety Responsibility & Authority Levels

Process	Responsible Persons	Activity

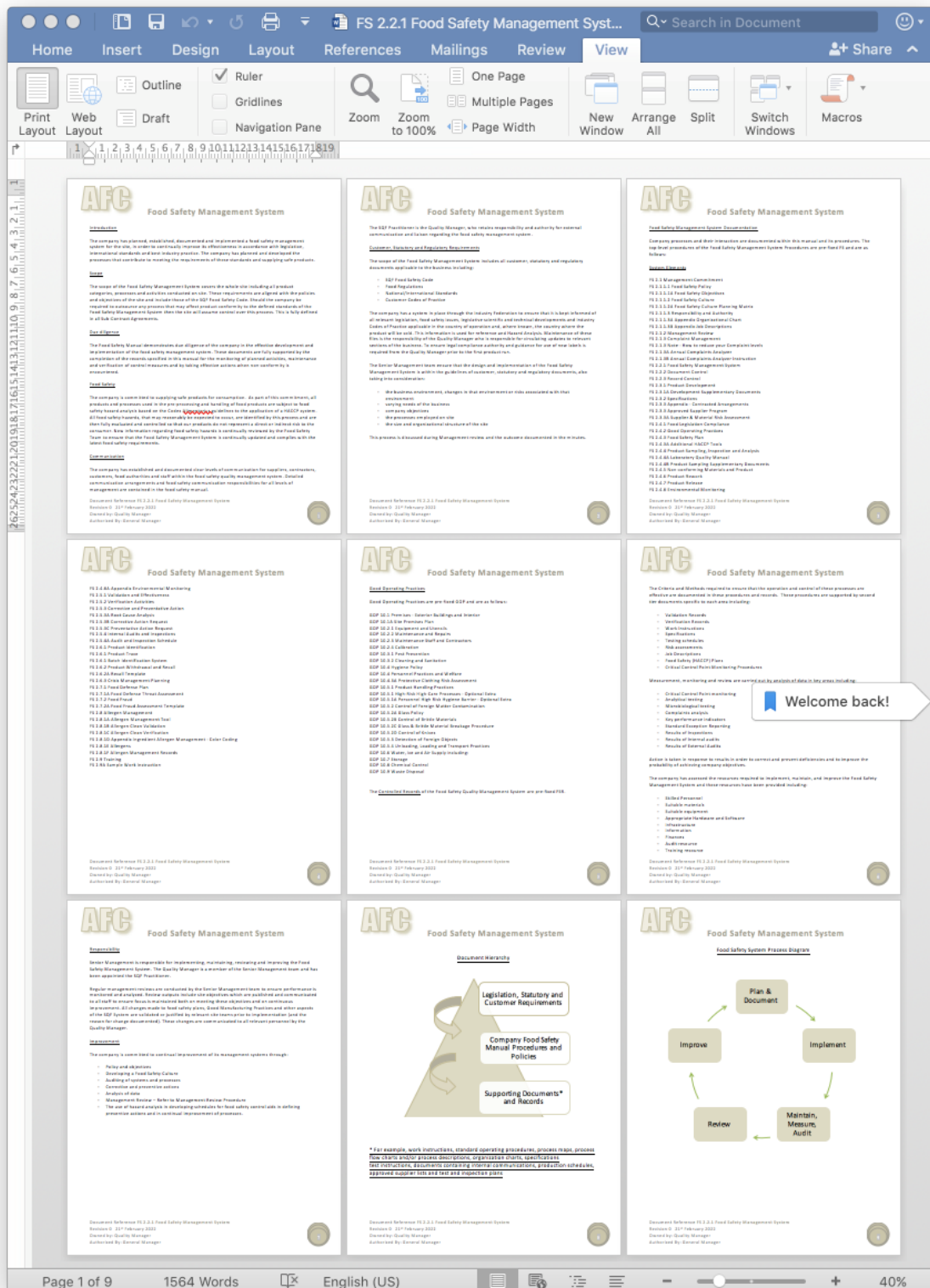
Step Three: Food Safety Management System

The SQF Food Safety Management System Package contains a comprehensive top level Food Safety Management procedures templates that form the foundations of your Food Safety Management System so you don't have to spend 1,000's of hours writing compliant procedures:

Food Safety Management System Elements Procedures

- FS 2.1 Management Commitment
 - FS 2.1.1.1 Food Safety Policy
 - FS 2.1.1.1A Food Safety Objectives
 - FS 2.1.1.2 Food Safety Culture
 - FS 2.1.1.2A Food Safety Culture Planning Matrix
 - FS 2.1.1.3 Responsibility and Authority
 - FS 2.1.1.3A Appendix Organizational Chart
 - FS 2.1.1.3B Appendix Job Descriptions
 - FS 2.1.2 Management Review
 - FS 2.1.3 Complaint Management
 - FS 2.1.3 Note - How to reduce your Complaint levels
 - FS 2.1.3A Annual Complaints Analyzer
 - FS 2.1.3B Annual Complaints Analyzer Instruction
- FS 2.2.1 Food Safety Management System
- FS 2.2.2 Document Control
- FS 2.2.3 Record Control
- FS 2.3.1 Product Development
 - FS 2.3.1A Development Supplementary Documents
- FS 2.3.2 Specifications
- FS 2.3.3 Appendix - Contracted Arrangements
- FS 2.3.3 Approved Supplier Program
 - FS 2.3.3A Supplier & Material Risk Assessment
- FS 2.4.1 Food Legislation Compliance
- FS 2.4.2 Good Operating Practices
- FS 2.4.3 Food Safety Plan
 - FS 2.4.3A Additional HACCP Tools
- FS 2.4.4 Product Sampling, Inspection and Analysis
 - FS 2.4.4A Laboratory Quality Manual
 - FS 2.4.4B Product Sampling Supplementary Documents
- FS 2.4.5 Non-conforming Materials and Product
- FS 2.4.6 Product Rework
- FS 2.4.7 Product Release
- FS 2.4.8 Environmental Monitoring

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The documents are provided in Microsoft Word English (US) format and are easily edited to suit your organization.

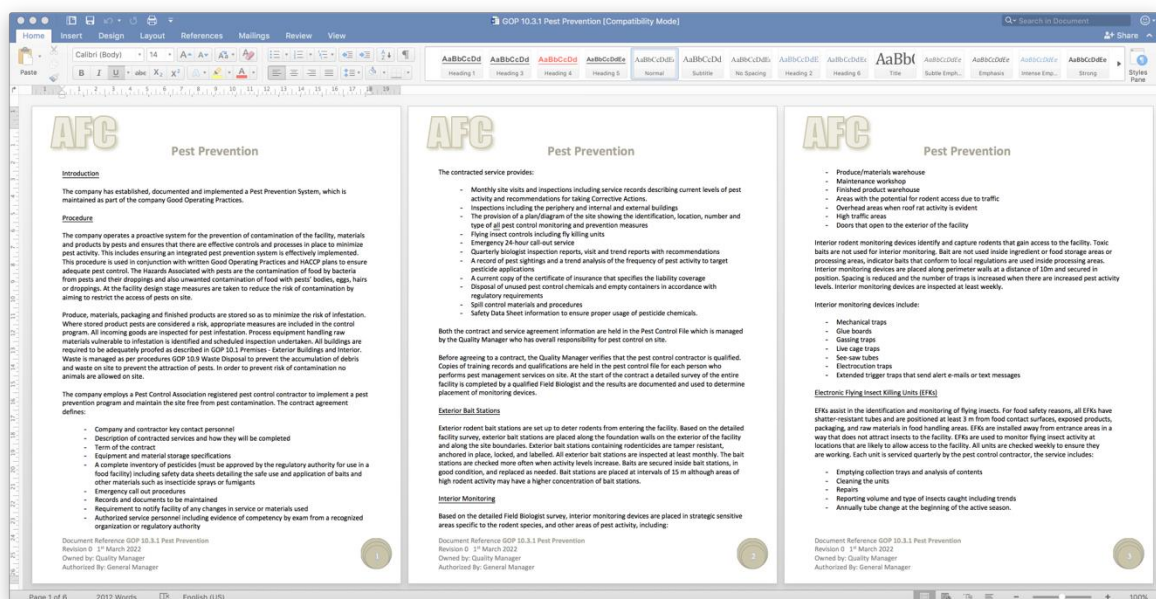
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Step Four: Good Operating Practices Implementation

The SQF Food Safety Management System Package contains a comprehensive Good Operating Practice procedural templates that form the foundations of your Food Safety Management System so you don't have to spend 1,000's of hours writing compliant procedures:

Good Operating Practice Templates				
Name	Date Modified	Size	Kind	
GOP 10.1 Premises - Exterior Buildings and Interior.docx	25/02/2022	49 KB	Micros...(docx)	
GOP 10.1A Site Premises Factory Plan.xlsx	25/02/2022	12 KB	Micros...(xlsx)	
GOP 10.1A Site Premises Plan.docx	25/02/2022	29 KB	Micros...(docx)	
GOP 10.2.1 Equipment and Utensils.docx	25/02/2022	34 KB	Micros...(docx)	
GOP 10.2.2 Maintenance and Repairs.docx	25/02/2022	35 KB	Micros...(docx)	
GOP 10.2.3 Maintenance Personnel and Contractors.docx	25/02/2022	30 KB	Micros...(docx)	
GOP 10.2.4 Calibration.docx	25/02/2022	31 KB	Micros...(docx)	
GOP 10.3.1 Pest Prevention.docx	26/02/2022	37 KB	Micros...(docx)	
GOP 10.3.2 Cleaning and Sanitation.docx	26/02/2022	31 KB	Micros...(docx)	
GOP 10.4 Hygiene Policy.docx	26/02/2022	30 KB	Micros...(docx)	
GOP 10.4 Personnel Practices and Welfare.docx	26/02/2022	45 KB	Micros...(docx)	
GOP 10.4.3A Protective Clothing Risk Assessment.docx	26/02/2022	174 KB	Micros...(docx)	
GOP 10.5.1 High-Risk High-Care Processes - Optional Extra.docx	27/02/2022	33 KB	Micros...(docx)	
GOP 10.5.1 Product Handling Practices.docx	26/02/2022	38 KB	Micros...(docx)	
GOP 10.5.1A Personnel High Risk Hygiene Barrier - Optional Extra.docx	27/02/2022	555 KB	Micros...(docx)	
GOP 10.5.2 Control of Foreign Matter Contamination.docx	26/02/2022	29 KB	Micros...(docx)	
GOP 10.5.2A Glass Policy.docx	26/02/2022	30 KB	Micros...(docx)	
GOP 10.5.2B Control of Brittle Materials.docx	26/02/2022	29 KB	Micros...(docx)	
GOP 10.5.2C Glass & Brittle Material Breakage Procedure.docx	26/02/2022	29 KB	Micros...(docx)	
GOP 10.5.2D Control of Knives.docx	26/02/2022	155 KB	Micros...(docx)	
GOP 10.5.3 Detection of Foreign Objects.docx	26/02/2022	143 KB	Micros...(docx)	
GOP 10.5.4 Unloading, Loading and Transport Practices.docx	26/02/2022	31 KB	Micros...(docx)	
GOP 10.6 Water, Ice and Air Supply.docx	26/02/2022	32 KB	Micros...(docx)	
GOP 10.7 Storage.docx	01/03/2022	38 KB	Micros...(docx)	
GOP 10.8 Chemical Control.docx	27/02/2022	32 KB	Micros...(docx)	
GOP 10.9 Waste Disposal.docx	27/02/2022	31 KB	Micros...(docx)	

The documents are provided in Microsoft Word English (US) format and are easily edited to suit your organization.



Step Five: Project SQF Implementation

The package contains project tools to assist in achieving SQF certification. In this part of the package you will need to:

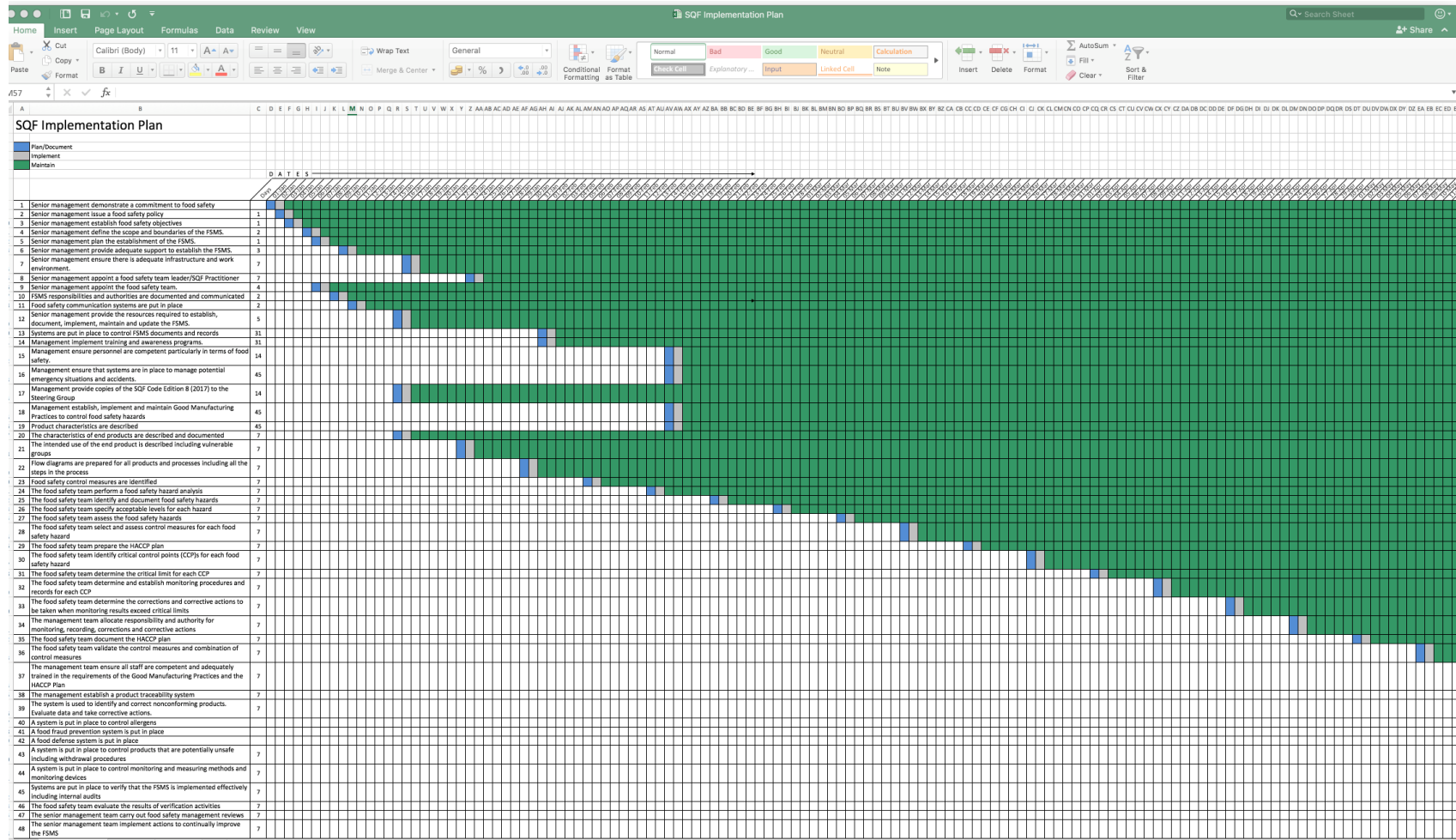
- ✓ Make sure that the Steering Group are established and briefed
- ✓ Make sure that the Steering Group take control of the Project Plan established by Senior Management

Food Safety Management System Steering Group			
FSMS Team Member	Name	Position	Qualification
FSMS Team Leader			
FSMS Assistant Leader			
FSMS Team Members			

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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.



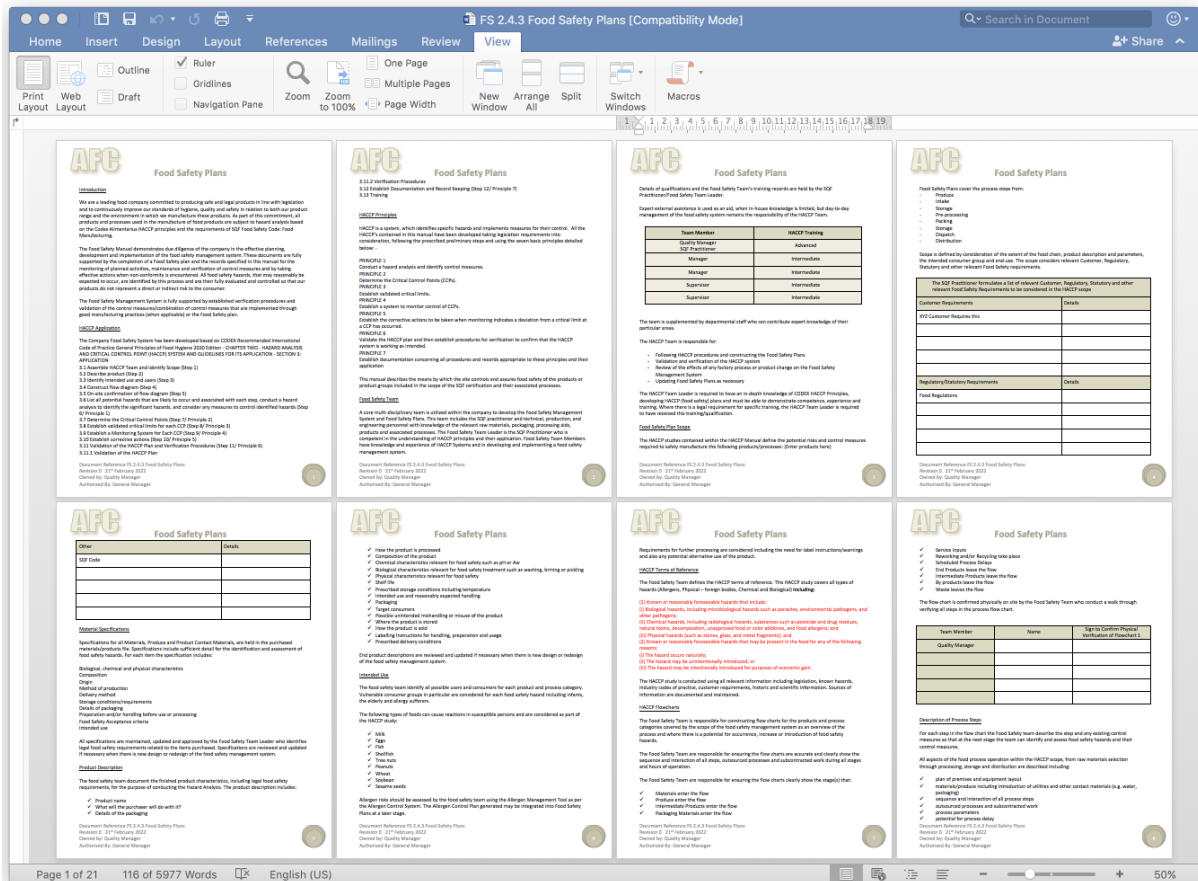
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Project Planning Tasks		Responsibility	Comments	Due Date for Completion	Date Completed
1)	Senior management demonstrate a commitment to food safety	Senior Management Team	Completed in Step 2		
2)	Senior management issue a food safety policy and objectives	Senior Management Team	Completed in Step 2		
3)	Senior management plan to establish a food safety culture	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		

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Step Six: HACCP Implementation Guide

Included in the package are FS 2.4.3 Food Safety Plan and supplementary HACCP documents in the Additional HACCP Tools Folder including the SQF Hazard Assessment & Critical Control Point Tool:



FS 2.4.3A Additional HACCP Tools				
Name	Date Modified	Size	Kind	
An Introduction to HACCP.pptx	10/03/2022	18.8 MB	PowerPoint Pr...ntation (.pptx)	
Sample HACCP Documents	22/02/2022	--	Folder	
SQF HACCP Calculator CODEX 2022 SQF 9.xlsx	Yesterday	87 KB	Microsoft Exc...orkbook (.xlsx)	
SQF HACCP Calculator Instruction CODEX 2022 SQF 9.pdf	Yesterday	9.7 MB	Portable Document Format	

The Food Safety (HACCP Team) should follow procedure FS 2.4.3 Food Safety Plan in conjunction with the guidelines in this workbook.

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The main tools here are the SQF HACCP Calculator and Instructions:

HACCP Calculator

The screenshot displays the 'HACCP CALCULATOR CODEx 2022 & SQF 9' spreadsheet. The interface includes a standard Excel ribbon at the top with tabs for Home, Insert, Page Layout, Formulas, Data, Review, and View. The spreadsheet is organized into several functional areas:

- HACCP CALCULATOR CODEx 2022 & SQF 9:** This section contains introductory text and instructions for using the calculator. It includes a 'Decision Tree' diagram with steps like 'STOP Me a CCP', 'Go to next Question', and 'That next step is a CCP'. It also provides a table of 'Critical Limits' and 'Monitoring Procedures'.
- Hazard Analysis:** This section contains a table for recording hazard analysis. The table has columns for Step Number, Step Name, Hazard Identified, Specific Details about the Hazard, Existing CCPs which assist in controlling the Hazard, Control Measure, Critical Limits, Monitoring Procedures, Corrections & Corrective Action, Responsibility & Authority, HACCP Record, and HACCP Validation. The table is currently empty, with only the first row (Step 1) partially filled.
- Control Measures:** This section contains a table for recording control measures. It has columns for Step Number, Step Name, Hazard Identified, Specific Details about the Hazard, Existing CCPs which assist in controlling the Hazard, Control Measure, Critical Limits, Monitoring Procedures, Corrections & Corrective Action, Responsibility & Authority, HACCP Record, and HACCP Validation. The table is currently empty, with only the first row (Step 1) partially filled.
- Hazard Analysis Prompt:** This section contains a table for recording hazard analysis prompts. It has columns for Step Number, Step Name, Hazard Identified, Specific Details about the Hazard, Existing CCPs which assist in controlling the Hazard, Control Measure, Critical Limits, Monitoring Procedures, Corrections & Corrective Action, Responsibility & Authority, HACCP Record, and HACCP Validation. The table is currently empty, with only the first row (Step 1) partially filled.

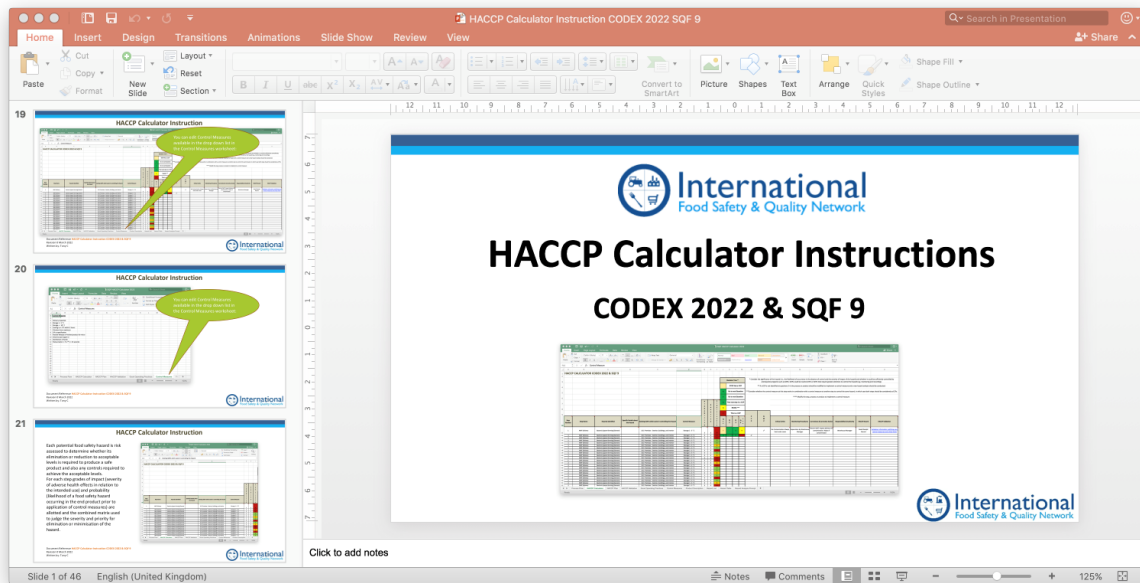
The spreadsheet is designed to help users identify hazards, assess their significance, and implement control measures to ensure food safety. It includes a 'Decision Tree' to guide users through the process of identifying hazards and implementing control measures. The 'Hazard Analysis' and 'Control Measures' tables are used to record the results of the hazard analysis and the control measures implemented. The 'Hazard Analysis Prompt' table is used to record the results of the hazard analysis prompts.

Microsoft Excel interface showing the HACCP Calculator Codex 2022 & SQF 9 spreadsheet. The spreadsheet is divided into several sections:

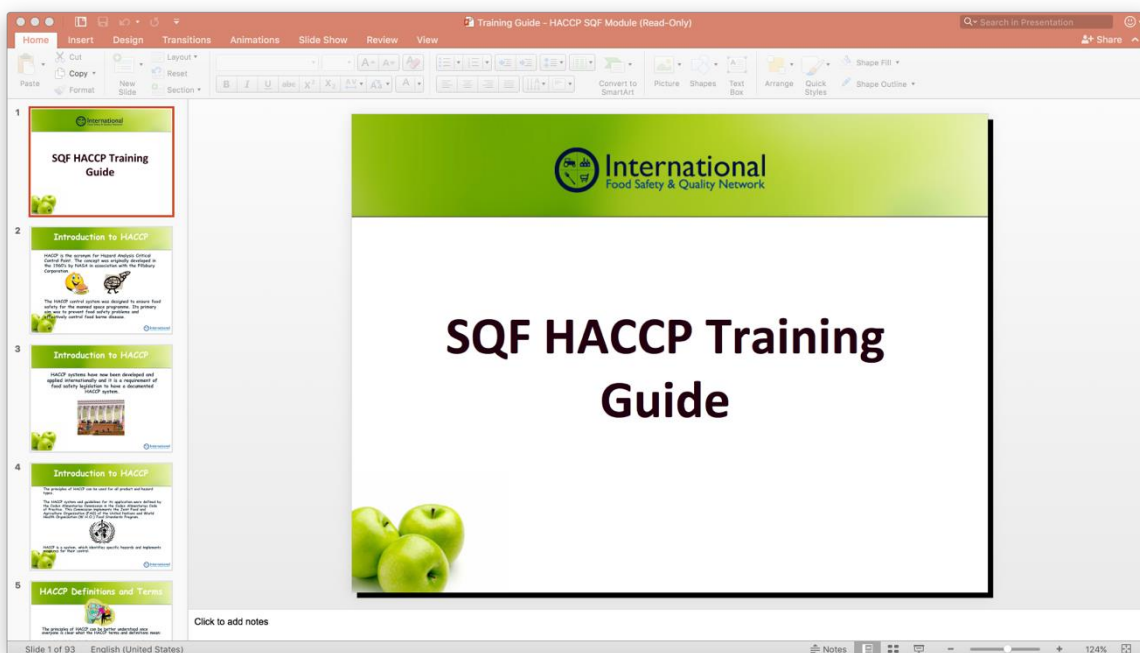
- Header Section:** Contains the title "HACCP CALCULATOR CODEx 2022 & SQF 9" and a "Decision Tree" section with instructions like "STOP Not a CCP", "Go to next Question", and "That next step is a CCP".
- Main Table:** A large table with columns for Step Number, Step Name, Hazards Identified, Specific Details about the Hazard, Existing GOPs which assist in controlling the Hazard, Control Measure, and a series of risk assessment columns (Q1, Q2, Q3, Q4).
- Footer Section:** Includes a "Ready" status bar and a "100%" zoom level.

The table contains multiple rows of data, including steps for AMF Delivery, SMP Delivery, and WMP Delivery, each with associated hazards and control measures. The risk assessment columns (Q1, Q2, Q3, Q4) are color-coded (green, yellow, red) to indicate the level of risk.

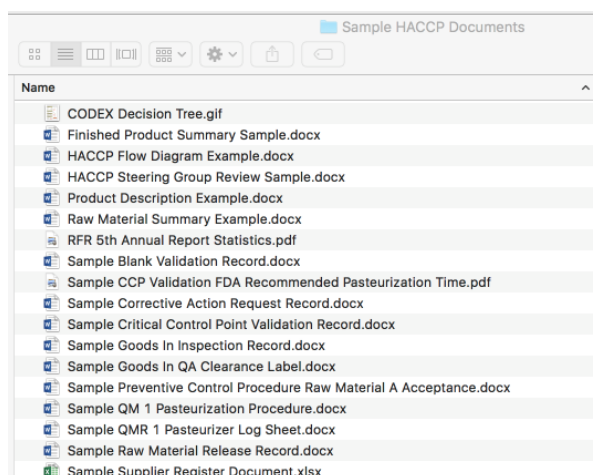
HACCP Calculator Instructions



This folder also contains a HACCP Training PowerPoint Presentation which is supplied to train your food safety team in the preliminary steps to a Hazard analysis, and the principles of HACCP as per the requirements of CODEX Recommended International Code of Practice General Principles of Food Hygiene (2020) Chapter Two HAZARD ANALYSIS AND CRITICAL CONTROL POINT (HACCP) SYSTEM AND GUIDELINES FOR ITS APPLICATION.



There is a Sample HACCP Documents Sub-Folder



These are supplementary documents and examples that you might find useful when implementing your Food Safety Plans

Follow the step by step guide to implementing your HACCP using the documents supplied and the SQF HACCP Calculator.

Tasks 19 - 21

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

Product Description

Product Description Questions	Details
What is the product name?	
What will the purchaser do with it?	
Details of the packaging?	
How is the product processed or manufactured?	
What is the composition of the product?	
Is there preservation from chemical composition such as pH or Aw?	
Does the product receive microcidal treatment such as heating, freezing, brining or smoking?	
What is the Shelf life?	
What is the prescribed storage temperature?	
What are the prescribed storage conditions?	
Who are the target consumers?	
Where is the product stored?	
How is the product sold?	
Labelling Instructions?	
Prescribed delivery conditions?	

The steps in the process should be logged:

Step Number	Step Name
1	Delivery of Ingredient A
2	Delivery of Ingredient B
3	Delivery of Ingredient C
4	Delivery of Ingredient D
5	Packaging Removed
6	Filtration
7	Batch Mixing
8	Standardization
9	Filtration

The flow diagram should be confirmed physically on site by the Food Safety team who should conduct a walk through verifying all steps in the process flow chart.

The food safety team can also use our hazard analysis prompt to identify potential food safety hazards:

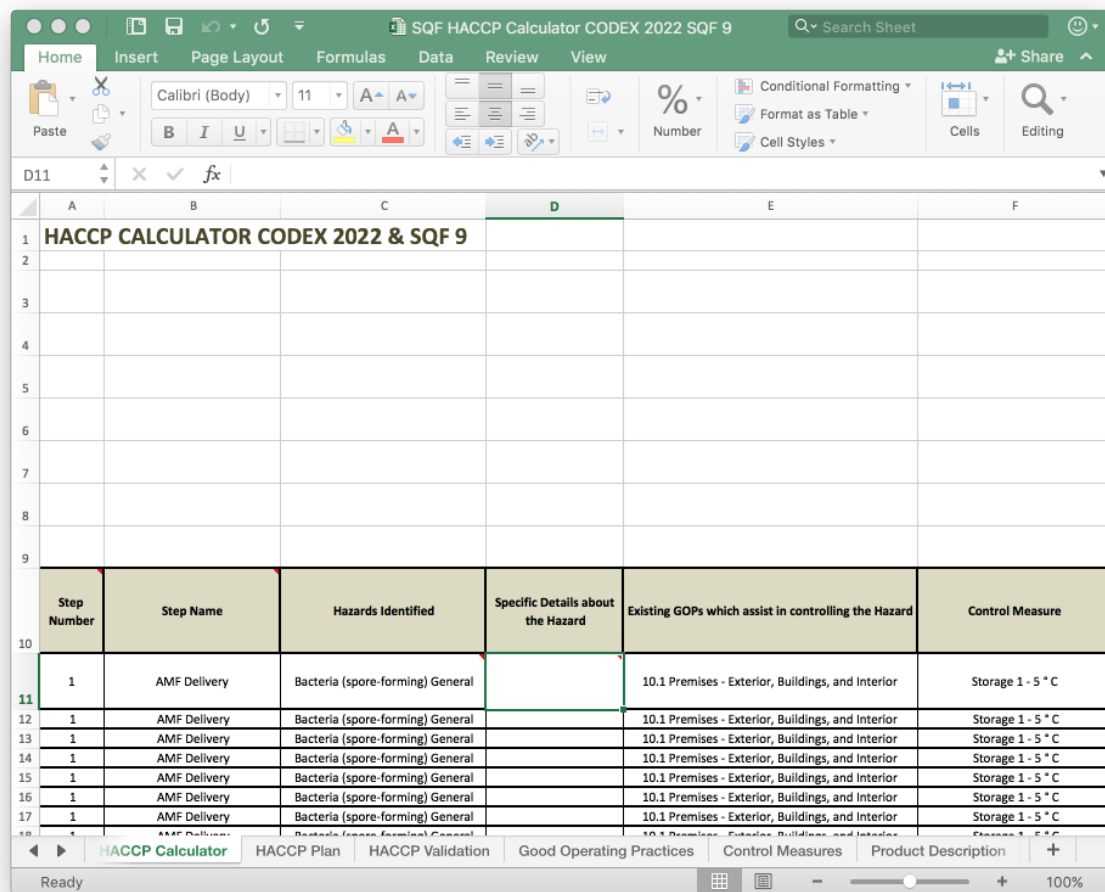
Food Safety Hazard Analysis Prompt	
1	Are the raw materials, ingredients or food contact packaging likely to have microbiological hazards present? (Refer to Hazards worksheet)
2	Are the raw materials, ingredients or food contact packaging likely to have chemical hazards present? (Refer to Hazards worksheet)
3	Are the raw materials, ingredients or food contact packaging likely to have physical hazards present? (Refer to Hazards worksheet)
4	Are there any characteristics in the composition of the food during which can prevent a hazard? E.g. Preservatives, pH, Water Activity
5	Does the food permit survival or multiplication of pathogens and at which stages?
6	Does the process include a controllable step that destroys pathogens or their toxins? (Consider spores)
7	Is it possible the product could be subject to recontamination?
8	Is product contamination (consider direct and indirect contamination) with hazardous microbiological organisms from equipment, process environment or personnel likely to occur?
9	Is product contamination (consider direct and indirect contamination) with hazardous chemical substances from equipment, process environment or personnel likely to occur?
10	Is product contamination (consider direct and indirect contamination) with hazardous physical objects from equipment, process environment or personnel likely to occur?
11	Will the food be heated by the consumer?
12	Is it likely that the food contains viable spore forming pathogens?
13	Is it likely that the food contains viable non-spore forming pathogens?
14	What is the normal microbial content of the food stored under proper conditions?
15	Does the microbial population increase during the time the food is stored before consumption?
16	Does that increase in microbial population alter the safety of the food?
17	Does the layout of the facility provide an adequate separation of raw materials from ready-to-eat foods?

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.



The screenshot shows a Microsoft Excel spreadsheet titled "SQF HACCP Calculator CODEX 2022 SQF 9". The spreadsheet is set to the "Home" tab. The main table is titled "HACCP CALCULATOR CODEX 2022 & SQF 9" and is located in the range D11:F18. The table has six columns: "Step Number", "Step Name", "Hazards Identified", "Specific Details about the Hazard", "Existing GOPs which assist in controlling the Hazard", and "Control Measure". The table contains data for steps 1 through 18, all of which are "AMF Delivery" steps. The hazards identified are "Bacteria (spore-forming) General". The existing GOPs are "10.1 Premises - Exterior, Buildings, and Interior". The control measure is "Storage 1 - 5 °C".

Step Number	Step Name	Hazards Identified	Specific Details about the Hazard	Existing GOPs which assist in controlling the Hazard	Control Measure
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C
1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C

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

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

	A	B	C	D	E	F	G
1	HACCP CALCULATOR CODEX 2022 & SQF 9						
2							
6							
7							
8							
9							
	Step Number	Step Name	Hazards Identified	Specific Details about the Hazard	Existing GOPs which assist in controlling the Hazard	Control Measure	Probability
10	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
11	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
12	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
13	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
14	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
15	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
16	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	2
17	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	1
18	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
19	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
20	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3
21	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	2
22	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	2
23	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	2
24	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	1

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)

	A	B	C	D	E	F	G	H
1	HACCP CALCULATOR CODEX 2022 & SQF 9							
2								
6								
7								
8								
9								
	Step Number	Step Name	Hazards Identified	Specific Details about the Hazard	Existing GOPs which assist in controlling the Hazard	Control Measure	Probability	Severity
10	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	3
11	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	3
12	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	3
13	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	3
14	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	3
15	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	3
16	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	2	2
17	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	1	1
18	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	2
19	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	1
20	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	3	2
21	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	2	3
22	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	2	3
23	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	2	3
24	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 °C	1	3

SQF 9 Food Safety Management System Implementation Workbook

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.

	A	B	C	D	E	F	G	H	I
1	HACCP CALCULATOR CODEX 2022 & SQF 9								
2									
6									
7									
8									
9									
10	Step Number	Step Name	Hazards Identified	Specific Details about the Hazard	Existing GOPs which assist in controlling the Hazard	Control Measure	P r o b a b i l i t y	S e v e r i t y	S i g n i f i c a n c e
11	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	3	3	9
12	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	3	3	9
13	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	3	3	9
14	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	3	3	9
15	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	3	3	9
16	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	2	2	4
17	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	1	1	1
18	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	3	2	6
19	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	3	1	3
20	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	3	2	6
21	1	AMF Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	2	3	6
22	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	2	3	6
23	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	2	3	6
24	2	SMP Delivery	Bacteria (spore-forming) General		10.1 Premises - Exterior, Buildings, and Interior	Storage 1 - 5 ° C	1	3	3

Task 28 The food safety team select and assess control measures for each food safety hazard

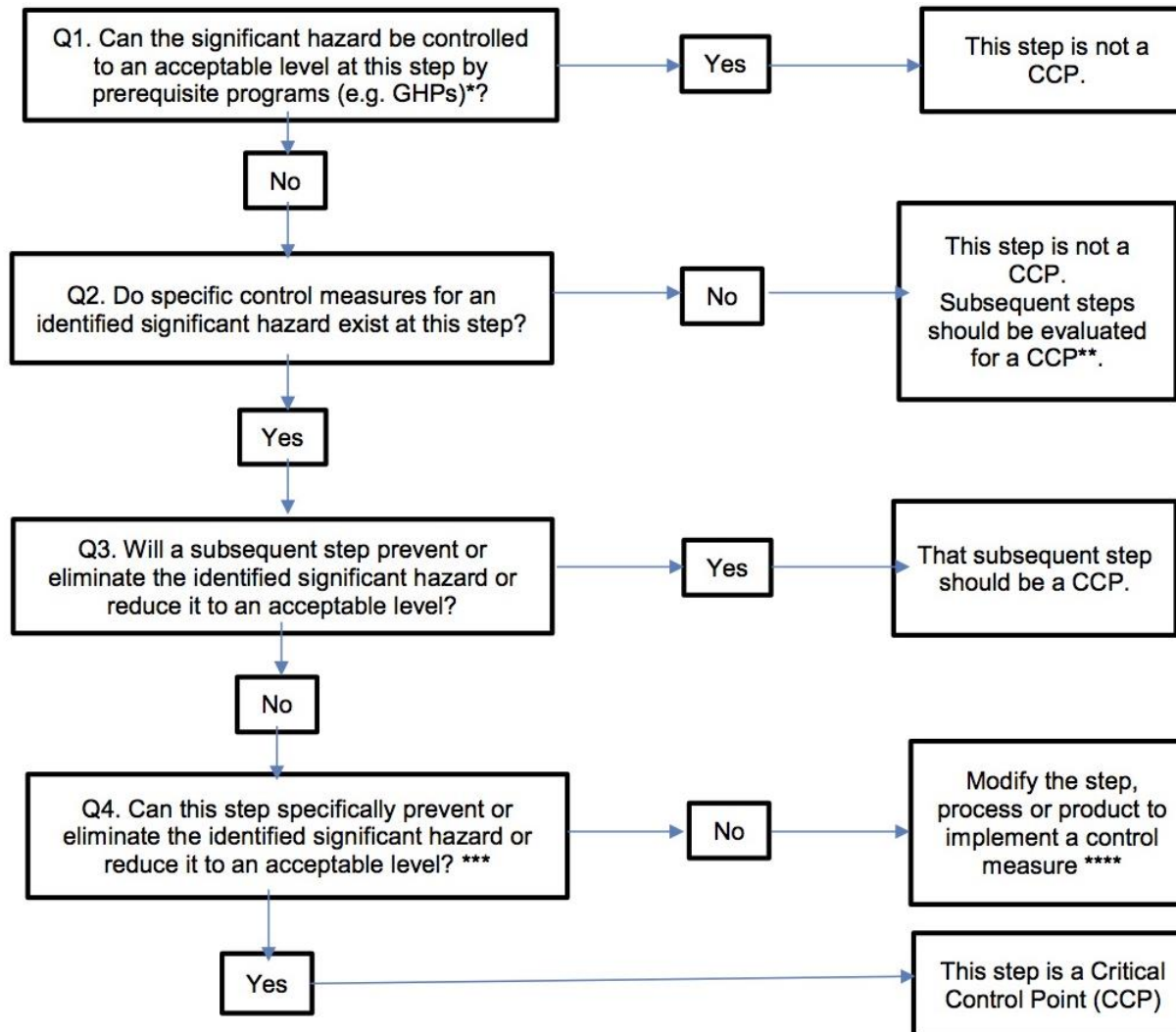
Identification and Assessment of Control Measures

Each hazard on the Significant Food Safety Hazard list must be controlled by a control measure (or combination of control measures) that prevent, eliminate or reduce the hazard to the defined acceptable levels. The Food Safety Team should review the effectiveness of the control measures on the Significant Food Safety Hazards and determines whether they should be managed through the HACCP Plan.

This process involves assessing the effect on the Significant Food Safety Hazard in combination with the degree of control measure applied, feasibility of timely monitoring, position in flow relative to other control measures and severity of the consequences if the control measure fails.

SQF 9 Food Safety Management System Implementation Workbook

This is carried out using the HACCP decision tree. Hazards identified at critical control points by the decision tree are controlled in the HACCP plan.



Task 35 The food safety team document the HACCP plan

The Food Safety Team should complete the relevant columns in the HACCP Plan Sheet:

Critical Limits	Monitoring Procedures	Corrective Action	Responsibility	HACCP Record
Minimum / Maximum acceptable levels to ensure condition is in control	<ul style="list-style-type: none">- measurements to be taken (or observations) method of measurement- devices used (including applicable calibration procedures)- frequency of monitoring- responsibility and authority for monitoring and evaluation of the monitoring results	Action to be taken when outside of critical limits to regain control and ensure unsafe product is controlled	Who is taking the action	Where is it recorded

SQF 9 Food Safety Management System Implementation Workbook

The Food Safety Team should use the following Validation record as a template:

Control Measure Validation

Product Category			
Step Number			
Hazard			
Control Measure			
Validation Methods	Applicable		Comments
	Yes	No	
Third Party Scientific Validation			
Historical Knowledge			
Simulated Production Conditions			
Collection of Data in normal production			
Admissible in industrial practices			
Statistical Programs			
Mathematical Modelling			
Conclusion			
Internal Validation Required?			
If so by which method?			
CCP Confirmed			
Authorized by(Name):			
Signature:			

SQF 9 Food Safety Management System Implementation Workbook

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 - FS 2.6.1 Product Trace

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

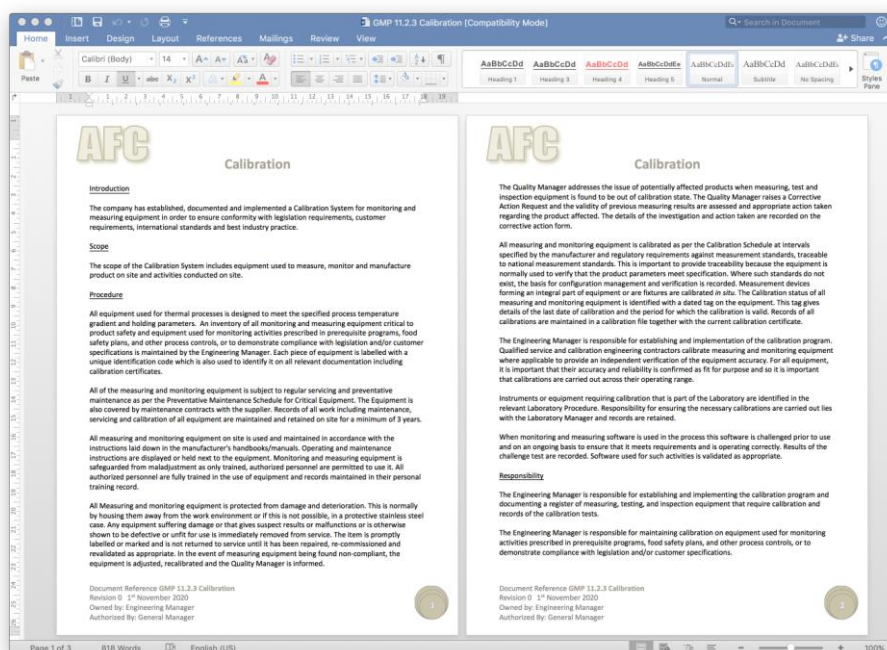
Task 40: A system is put in place to control allergens - FS 2.8 Allergen Management

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

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

Task 43: A system is put in place to control products that are potentially unsafe including withdrawal procedures - FS 2.6.2 Product Withdrawal and Recall

Task 44: A system is put in place to control monitoring and measuring methods and monitoring devices - GMP 11.2.3 Calibration



QMR 002 Training Record

AFC Training Record

Name: _____ Employee Number: _____

Company Start Date: _____ Position: _____

Prior External Qualification(s), Skills & Experience:

Period Training Required	Details of Internal Training or External Training Course	Dates of Training	Signed (Trainee)	Assessed as Competent Signed (Trainer)
Weeks 1 - 4	Induction			
	Food Safety & Quality Policy Briefing			
	Food Safety & Quality Objectives			
	Health and Safety Procedure			
	Records monitoring and control			
Weeks 5 - 13	Environment and Waste Management			
	Packing Procedure			
	Operating Procedure			
	Coding Procedure			
	Labelling Procedure			

Document Reference Training Record QMR 002
Revision 0 1st November 2020
Owned by: Quality Manager
Authorized By: General Manager

Basic Site Training should be given to all staff and also training in:

- ✓ Implementing HACCP for staff involved in developing and maintaining food safety plans;
- ✓ Monitoring and corrective action procedures for all staff engaged in monitoring critical control points (CCPs);
- Personal hygiene for all staff involved in the handling of food products and food contact surfaces;
- Good Operating Practices and work instructions for all staff engaged in food handling, food processing, and equipment;
- ✓ Sampling and test methods for all staff involved in sampling and testing of raw materials, packaging, work-in-progress, and finished products;
- ✓ Environmental monitoring for relevant staff;
- ✓ Allergen management, food defense, and food fraud for all relevant staff; and
- ✓ Tasks identified as critical to meeting the effective implementation and maintenance of the SQF code.

SQF 9 Food Safety Management System Implementation Workbook

The Food Safety Team should receive extra training:

- ✓ Internal Audit Training
- ✓ HACCP Training – Previously mentioned

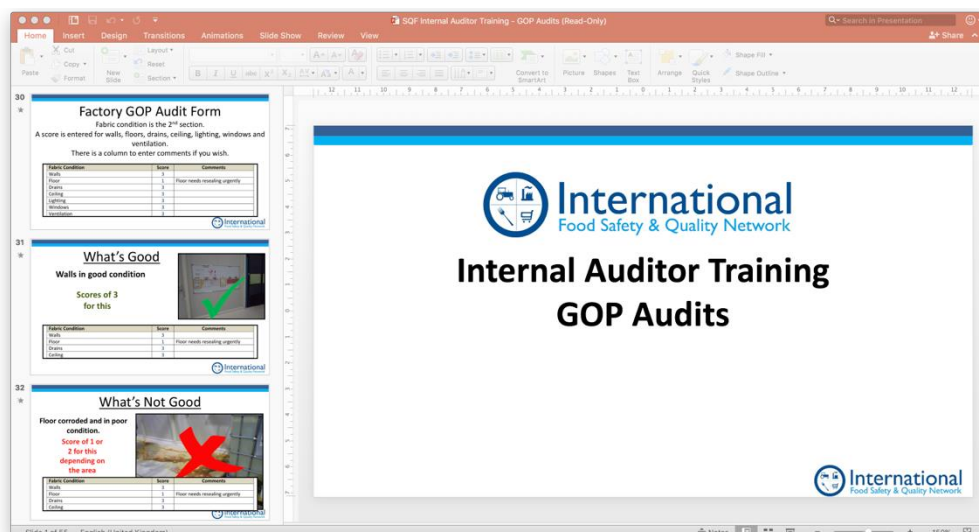
Remember all food handlers should receive Basic Food Hygiene Training

Internal Auditing Training & Checklists

Internal Auditor Training - An interactive and illustrated Internal Audit training presentation to train your Internal Audit procedure.



There is also a GOP audit training presentation provided.




Stage Eight: Final Steps to SQF Certification

There are a few final steps to achieving SQF Certification:

- ✓ Verify that the FSMS is implemented effectively including internal audits
- ✓ Evaluate the results of verification activities
- ✓ Carry out Management Reviews
- ✓ Carry out an assessment of your system to make sure that it meets the requirements of the SQF Code and have the appropriate Good Operating Practices using the [SQF System Self-Assessment Checklists for Suppliers](#)
- ✓ Ensure any areas requiring corrective action are addressed
- ✓ Choose your Certification Body
- ✓ Agree a Contract with a Certification Body
- ✓ Pre-audit Document Review
- ✓ On-Site Audit
- ✓ Audit Review
- ✓ Certification Body Review
- ✓ Celebrate!
- ✓ Communicate your success!

Verification Record Example




Glass Policy Verification

Glass Policy Verification Audit	
Auditor Name	
Date	
Site Standards	Audit Findings
Are all employees including agency staff, visitors and contractors familiar with and follow the Glass & Perspex Policy?	
Is the use of glass on the manufacturing site minimized?	
Wherever possible are alternative materials to glass used?	
Are all personnel prevented from taking glass into production areas?	
Is there a comprehensive list of all glass (and glass-like materials) in each department for all factory production areas?	
Are these items checked every day by the Supervisor responsible for the department at the start of production and at the end of production to ensure they are not damaged?	
Are the results of the inspection recorded on a Glass Register and signed off?	
Is any breakage of glass occurring reported and dealt with immediately using the glass breakage procedure and record?	
Is glass used on food vessels such as 'sight glass' in viewing ports and vessel level indicators replaced where possible with suitable alternative materials which are capable of withstanding the production process?	
Where glass cannot be replaced due to process pressures and temperatures, is it 'toughened' and conform to international standards?	
Are glass components which are present in equipment such as temperature recorders and clocks replaced with suitable non-brittle alternatives?	
Are mirrors where permitted outside of production areas made of non-glass material or covered in a security film?	
Are internal or external glass windows present in production areas, raw materials, finished goods and packaging stores; engineering workshops replaced or made of toughened glass and be covered by a protective film?	
Where replacement of glass is not possible or the cost of replacement is unreasonable, is a suitable shatter-resistant	

Document Reference Glass Policy Verification
Revision 1: 11th May 2019
Owned by: Quality Manager
Authorized By: Managing Director

1



Glass Policy Verification

security film applied to the total inner surface of the glass?	
Does the film used have a minimum of 100-micron thickness and qualify as a glazing safety material?	
Are all fluorescent light tubes and other forms of lighting fully protected against possible damage?	
Are fluorescent tubes either surface coated with a shatter-resistant material or housed within a fully protective unit?	
Are lighting fittings in production areas cleaned and changed during non-production hours?	
Are electronic fly-killing units fitted with tubes which are protected against damage?	
Are the EFK tubes either surface coated with a shatter-resistant material or housed within a protective outer tube made of a suitable alternative material?	
Are EFK units sited away from open food processing equipment?	
Are glass bottles or containers prohibited from being used for delivery of food ingredients?	
Where the use of glass containers is unavoidable, is each container carefully examined for any sign of chipping or breakage and must be safely disposed of or rejected where necessary?	
Are contents of glass containers destined for use in production areas either sieved or filtered in a separated area prior to transfer for production?	
Is this process recorded together with appropriate action taken where glass contamination is evident?	
Is the location of all glass and glass-like (i.e. that which may shatter like glass) materials within all production areas identified and recorded on a Glass Register?	
Are brittle Perspex and plastic items are also highlighted on these audit sheets?	
Are inspections carried out daily?	
Are brittle materials in production areas, checked at the beginning and end of production with the time and date being recorded?	
Does the auditing of light fittings include inspection for damaged or missing protective units/covers in addition to any obvious signs of breakage of glass tubes?	
Are all records signed and dated by the Manager of the department concerned and retained for a minimum of one year by the Technical department?	

Document Reference Glass Policy Verification
Revision 1: 11th May 2019
Owned by: Quality Manager
Authorized By: Managing Director

2

Task 46 The food safety team evaluate the results of verification activities

The Food Safety Team should define the methods, frequencies and responsibilities for verification activities. Verification activities should be put in place by the Food Safety Team to confirm the effective operation of the Food Safety Management System.

The aim of the evaluation of the results of verification activities by the Food Safety Team is to confirm that:

- ✓ HACCP plan is implemented and effective
- ✓ GOP(s) are implemented and effective
- ✓ Infrastructure and Maintenance standards are satisfactory
- ✓ Hazards are below identified acceptable levels
- ✓ All other procedures required for the effective operation of the Food Safety Management System are implemented and effective.

Senior Management Review Meeting Notification

Date

Time

Venue

Agenda

Review of the Food Safety Policy
Review of the Food Safety Objectives
Review of Management Changes
Minutes and Follow-up actions from previous management review meeting
Review of changes to food safety management system documentation including policies, procedures, specifications, food safety plan(s)
Hazard and risk management system review
Food Safety Culture performance review
Results and Outstanding Non-conformances from internal and external audits
Review and trend analysis of Customer and Supplier complaints
Analysis of the results of validation and verification activities
Key Performance Indicators Review
Emergencies and Accidents
Process and product conformity
Corrective and preventive action status
Food Safety incidents including allergen control and labelling non-conformances, recalls, withdrawals, safety or legal issues
Review of changes to legislation and food safety related scientific information
Review of Resources and effectiveness of Training
Recommended Improvements
Customer feedback and Sales levels are reviewed to give an indication of trends
A.O.B

SQF 9 Food Safety Management System Implementation Workbook

Attendees:

Senior Management Team		
Job Title	Name	Role in Team
Chief Executive		Chairman
General Manager		Site Performance Reporting
Operations Manager		Operations Reporting
Quality Manager		Food Safety Reporting SQF Practitioner
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

AFC Management Review Record

Management Review Meeting - Date xx-month YEAR

Meeting Objective

To review and assess the effectiveness of the Food Safety Quality Management System and to formulate action plans for improvement.

Attendees

Chief Executive Officer - Chairman
 General Manager - Deputy Chair
 Operations Manager
 Engineering Manager
 Supply Chain Manager
 Distribution Manager
 Quality Manager

Review Inputs		
	Performance, Review Comments & Details	Corrective or Preventative Action Required
Review of the Food Safety Policy	-	-
Review of the Food Safety Objectives	-	-
Review of Management Changes	-	-
Minutes and Follow-up actions from previous management review meeting	-	-
Review of changes to food safety management system documentation including policies, procedures, specifications, food safety plan(s)	-	-
Hazard and risk management system review	-	-
Food Safety Culture performance review	-	-
Results and Outstanding Non-conformances from internal and external audits	-	-

Document Reference FSR 2.1.2 Management Review Record
 Revision 0 1st November 2020
 Owned by: General Manager
 Authorized By: Chief Executive Officer