This workbook is provided to assist in the implementation of your IFSQN SQF Code Edition 9 & FSMA Implementation Package. The workbook is divided into 8 steps that are designed to assist you in implementing your food safety management system effectively:

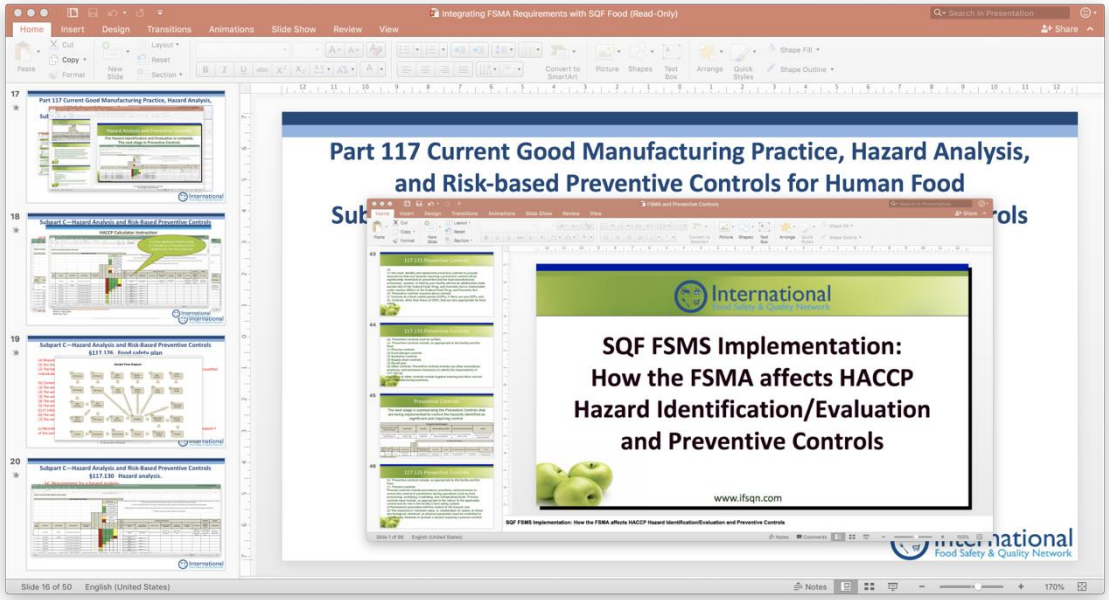
- ✓ Step One: Introducing the SQF Food Safety System
- ✓ Step Two: Senior Management Implementation
- ✓ Step Three: Food Safety Management Implementation
- ✓ Step Four: Good Manufacturing Practices Implementation
- ✓ Step Five: Project Planning
- ✓ Step Six: HACCP Implementation
- ✓ Step Seven: Training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

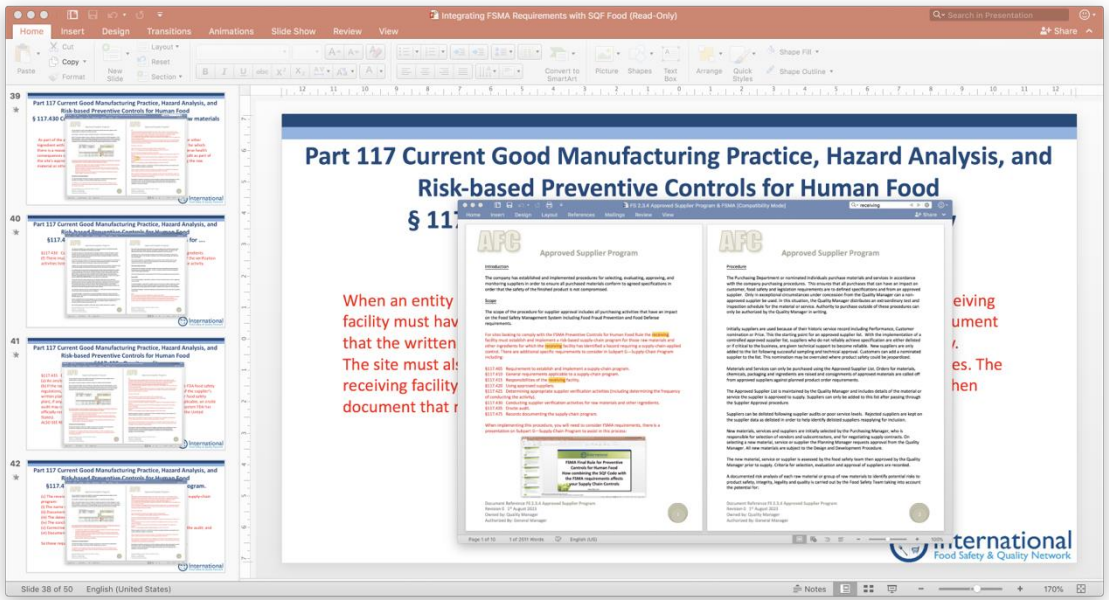
The Implementation Workbook compliments the IFSQN SQF Food Safety Management System Implementation Package which is an ideal package for organizations looking to meet the requirements of the SQF Food Safety Code: Food Manufacturing Edition 9 and the SQF Addendum for the Preventive Controls for Human Food Rule. This version has been updated in accordance with CODEX Recommended International Code of Practice General Principles of Food Hygiene 2022 Edition HACCP System and Guidelines for its Application.

Step One: Introduction to the SQF & FSMA Food Safety Management System Implementation Package

Training Presentations for SQF System Elements for Food Manufacturing, Module 11: Good Manufacturing Practices for Processing of Food Products and Integrating FSMA Requirements with SQF Food are provided. The presentations will introduce the package to the management team and explain how the Food Safety Management System Tools & Templates match and comply with the SQF Food Safety Code and additional requirements in the FSMA SQF Addendum for the Preventive Controls for Human Food Rule.


Integrating FSMA Requirements with SQF Food (Read-Only)
International Food Safety & Quality Network
Integrating FSMA Requirements into your SQF Food Safety Management System
International Food Safety & Quality Network


Integrating FSMA Requirements with SQF Food (Read-Only)
Part 117 Current Good Manufacturing Practice, Hazard Analysis, and Risk-based Preventive Controls for Human Food
International
SQF FSMS Implementation:
How the FSMA affects HACCP
Hazard Identification/Evaluation
and Preventive Controls
www.ifsqn.com
International Food Safety & Quality Network


Integrating FSMA Requirements with SQF Food (Read-Only)
Part 117 Current Good Manufacturing Practice, Hazard Analysis, and Risk-based Preventive Controls for Human Food
Approved Supplier Program
International Food Safety & Quality Network

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.

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

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

	Implementation Steering Group	
Action (ix)	Senior management assess plan and establish appropriate internal and external communication (including the food chain) channels	
	Communication required	Details
Action (x)	Senior management Plan to lead and support a food safety culture within the site	
	Action required	Details

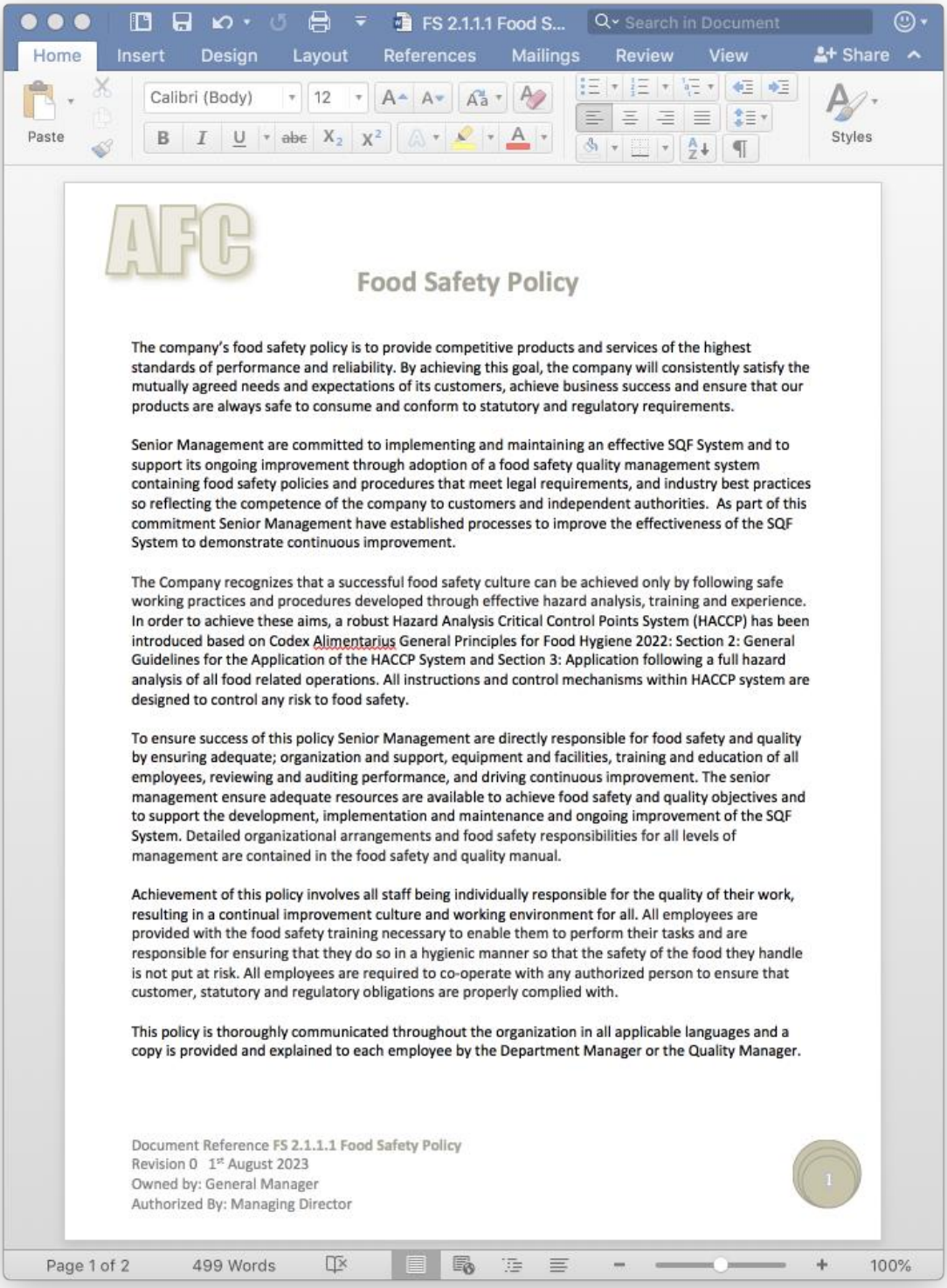
At a later stage, Senior Management will be required to carry out a management review		
After implementation and verification Senior Management take action to continually improve the FSMS		

The outputs from this meeting will be:

- ✓ Food Safety Policy
- ✓ Food Safety Objectives
- ✓ Defined Scope
- ✓ A Developed Project Planner
- ✓ Support Plan for Implementation/Training
- ✓ Plans for Infrastructure/Work Environment
- ✓ Allocation of Responsibility/Authority including the appointment of an SQF Practitioner
- ✓ Defined Communication Channels
- ✓ An Action Plan to lead and support a food safety culture within the site

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

Food Safety Policy and Objectives



AFC

Food Safety Policy

The company's food safety policy is to provide competitive products and services of the highest standards of performance and reliability. By achieving this goal, the company will consistently satisfy the mutually agreed needs and expectations of its customers, achieve business success and ensure that our products are always safe to consume and conform to statutory and regulatory requirements.

Senior Management are committed to implementing and maintaining an effective SQF System and to support its ongoing improvement through adoption of a food safety quality management system containing food safety policies and procedures that meet legal requirements, and industry best practices so reflecting the competence of the company to customers and independent authorities. As part of this commitment Senior Management have established processes to improve the effectiveness of the SQF System to demonstrate continuous improvement.

The Company recognizes that a successful food safety culture can be achieved only by following safe working practices and procedures developed through effective hazard analysis, training and experience. In order to achieve these aims, a robust Hazard Analysis Critical Control Points System (HACCP) has been introduced based on Codex Alimentarius General Principles for Food Hygiene 2022: Section 2: General Guidelines for the Application of the HACCP System and Section 3: Application following a full hazard analysis of all food related operations. All instructions and control mechanisms within HACCP system are designed to control any risk to food safety.

To ensure success of this policy Senior Management are directly responsible for food safety and quality by ensuring adequate; organization and support, equipment and facilities, training and education of all employees, reviewing and auditing performance, and driving continuous improvement. The senior management ensure adequate resources are available to achieve food safety and quality objectives and to support the development, implementation and maintenance and ongoing improvement of the SQF System. Detailed organizational arrangements and food safety responsibilities for all levels of management are contained in the food safety and quality manual.

Achievement of this policy involves all staff being individually responsible for the quality of their work, resulting in a continual improvement culture and working environment for all. All employees are provided with the food safety training necessary to enable them to perform their tasks and are responsible for ensuring that they do so in a hygienic manner so that the safety of the food they handle is not put at risk. All employees are required to co-operate with any authorized person to ensure that customer, statutory and regulatory obligations are properly complied with.

This policy is thoroughly communicated throughout the organization in all applicable languages and a copy is provided and explained to each employee by the Department Manager or the Quality Manager.

Document Reference FS 2.1.1.1 Food Safety Policy
Revision 0 1st August 2023
Owned by: General Manager
Authorized By: Managing Director

Senior Management Define the Scope of the Food Safety Management System:

The scope of the Food Safety Management System includes all product categories, processes and activities conducted on site. These requirements are aligned with the policies and objectives of the site and include those of the SQF Food Safety Code for Manufacturing Edition 9.

The scope of the Food Safety Management System includes all customer, statutory and regulatory documents applicable to the business:

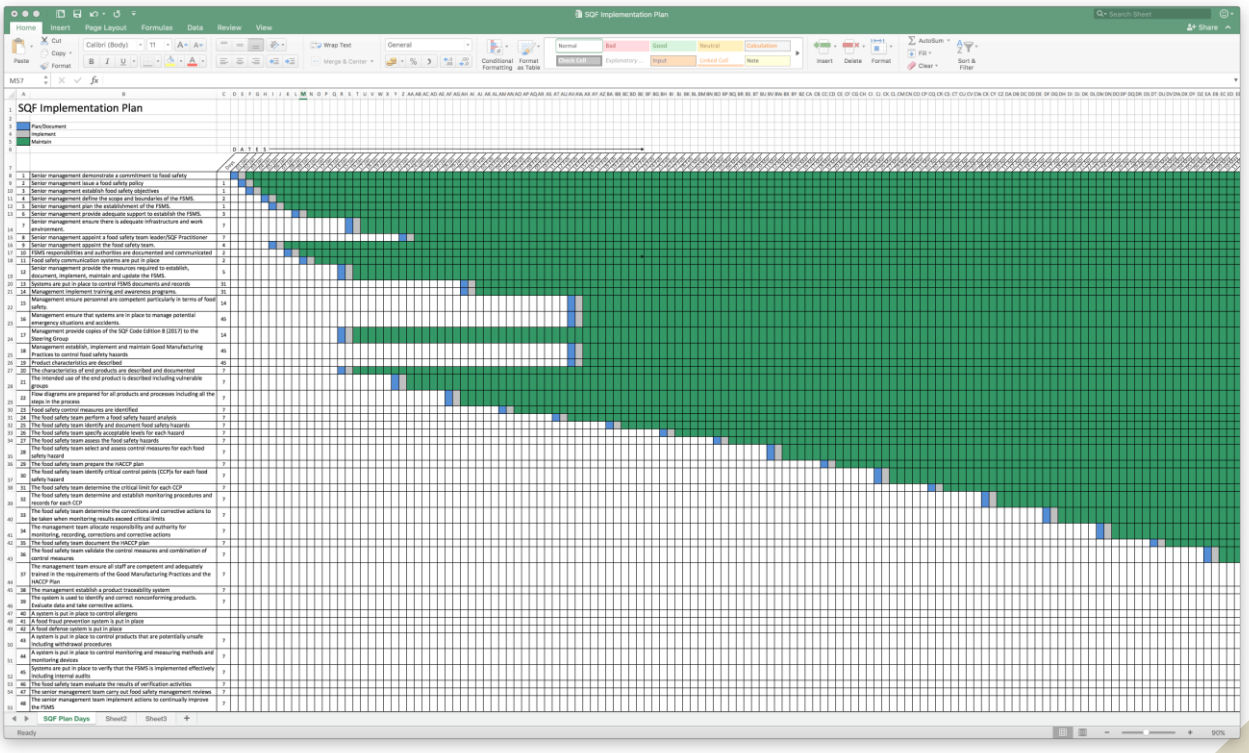
- Food Regulations
- National/International Standards
- Customer Codes of Practice
- Food Safety Modernization Act (FSMA) Rules

The company has a system in place through the Industry Federation to ensure that it is kept informed of all relevant legislation, food safety issues, legislative scientific and technical developments and Industry Codes of Practice applicable in the country of production and, where known, the country where the product will be sold. This information is used for reference and Hazard Analysis.

Where products or services are outsourced the organization assumes full control of this process.

Senior Management Establish the Project Plan

Using the Excel Project Planner Senior Management adapt the template supplied with the system to establish a Project Plan.



Senior Management provide adequate support to establish the FSMS

Senior management establish and provide adequate support to establish the FSMS including the resource required to complete the implementation plan, establish, implement and maintain the Food Safety Management System, conduct Internal Audits and Monitor & Measure.

Action (vi)	Senior management provide adequate support to establish the FSMS	
	Resource requirement	Details
	Food Safety Team Leader/SQF Practitioner/PCQI	
	Food Safety Team	
	FSMS Steering Group	
	Trainers	
	Internal Auditors	

Remember the SQF Practitioner is verified by the SQF Auditor at each Audit to ensure:

- ✓ *They are employed by the Supplier as a permanent full time employee and hold a position of responsibility in managing of the Food Safety Management System*
- ✓ *Have completed a HACCP Training Course and be experienced and competent to implement and maintain HACCP Plans*
- ✓ *Have an understanding of the* SQF Food Safety Code for Manufacturing Edition 9 *(Completion of the "Implementing SQF Systems Training Course Exam" would meet this requirement)*

The SQF Practitioner is also likely to be the PCQI: Preventive controls qualified individual means a qualified individual who has successfully completed training in the development and application of risk-based preventive controls at least equivalent to that received under a standardized curriculum recognized as adequate by FDA or is otherwise qualified through job experience to develop and apply a food safety system.

Key Personnel and Nominated Deputies

Job Title	Job Holder	Nominated Deputy
Emergency Response Coordinator		
Food Safety Team Leader		
General Manager		
Operations Manager		
Production Manager		
Warehouse Manager		
Maintenance Manager		
Factory Safety Manager		
Human Resource Manager		
Quality Manager		
Production Supervisor		
Packing Manager		
Distribution Manager		
Planning Manager		
Goods Receipt Manager		
Design and Development Manager		
Purchasing Manager		
Customer Service Manager		
Laboratory 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		Quality Manager	
Breaches of security		General Manager	
Distribution Failure		Distribution Manager	
Extortion or Sabotage		General Manager	
Product Safety or Quality		Quality 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 Leads Food Fraud Team Develops Food Fraud Mitigation Plans
	Quality Manager	Supplier Approval Ensure adequate information on supply application form Ensure suppliers adhere to supply handling practices Perform supplier audits and review supply status where necessary
Receiving and warehousing	QA/QC & Store Executives	Compare Purchase Order 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 Report Non-conformances at Receipt and in Storage
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 Follow safe food handling practices Ensure Good Manufacturing Practices are adhered to Follow cleaning and sanitation standards and procedures Follow the handling standards of raw and processed foods
Holding and Filling of Processed Food	Production Supervisor & Operators	Follow safe food holding procedures Hold foods outside the range of danger zone Follow safe food filling procedures into primary packaging
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

Senior Management Establish Food Safety Responsibility & Authority Levels

Process	Responsible Persons	Activity

- Results of Customer visits
- Results of Inspections by Regulatory Authorities
- Preventive actions
- Serious complaints
- Product withdrawal
- New product launches
- Changes in raw materials, ingredients and services
- Changes in processes, production systems, packaging, equipment and/or products
- Changes in cleaning and disinfection procedures
- Customers or customer requirement changes
- Changes in production premises, equipment (including location), storage systems, distribution systems and the surrounding environment
- Management Changes and changes in levels of responsibility and authority

The following additional key information should be communicated promptly to the food safety team so that they can ensure the information is included in updating the food safety management system where appropriate:

- Results of Inspections by Regulatory Authorities and any changes in regulatory requirements
- New information regarding Food Safety Hazards and Control Measures
- Food Safety Issues and Health Hazards associated with the product
- Anything else considered likely to have an impact on food safety

By communicating effectively with all employees all employees will be able to contribute to the effectiveness of the Food Safety Quality Management System.

Senior management assess plan and establish appropriate internal and external communication (including the food chain) channels		
Communication required	Details	Responsibility

Step Three: Food Safety Management System

The SQF & FSMA 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:

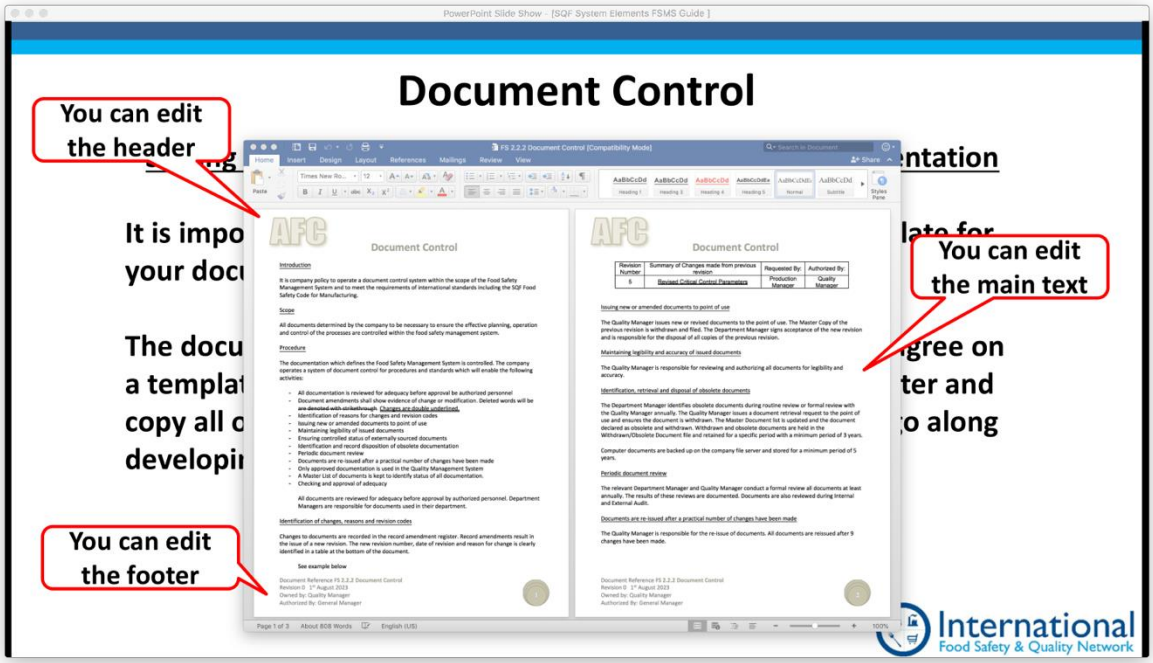
Food Safety Management System Elements Procedures

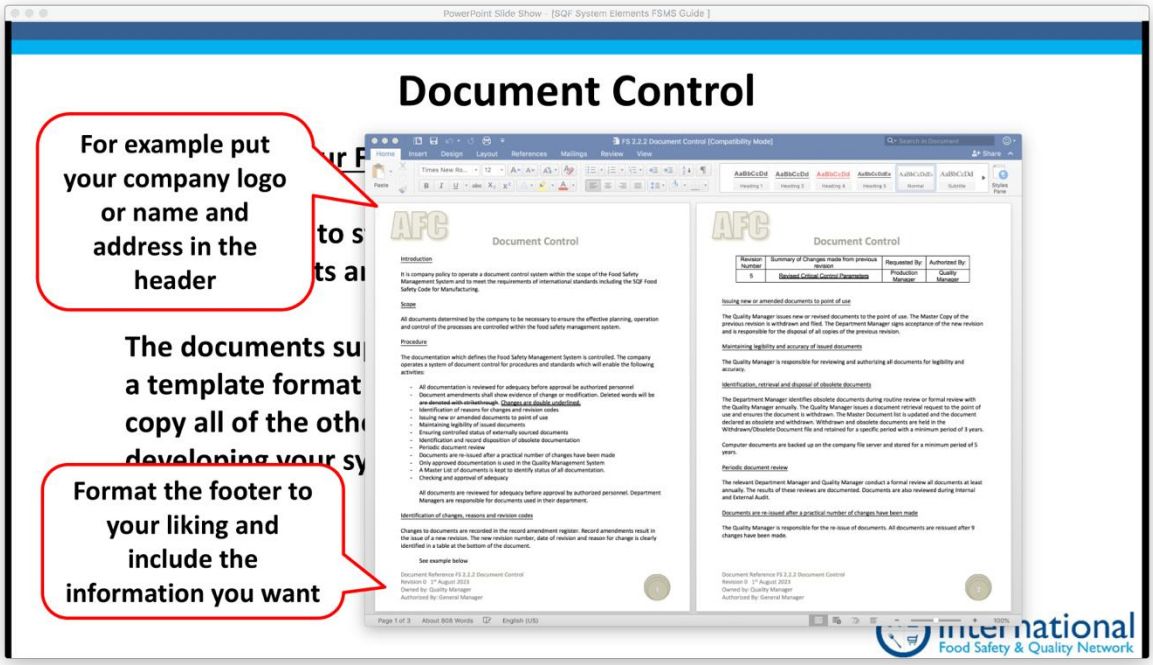
FS 2.1 Management Commitment
FS 2.1.1.1 Food Safety Policy
FS 2.1.1.1A Food Safety Objectives
FS 2.1.1.2 Food Safety Culture
FS 2.1.1.2A Food Safety Culture Planning Matrix
FS 2.1.1.2 Food Safety Culture - Expected Behaviors
FS 2.1.1.3 Responsibility and Authority
FS 2.1.1.3A Appendix Organizational 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 2.3.2A Material Acceptance Record
FS 2.3.3 Contract Manufacturers
FS 2.3.4 Approved Supplier Program
FS 2.3.4A Supplier & Material Risk Assessment
FS 2.4.1 Food Legislation
FS 2.4.2 Good Manufacturing Practices
FS 2.4.3 Food Safety Plans
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 Control of Non-Conforming Materials and Product
FS 2.4.6 Product Rework
FS 2.4.7 Product Release
FS 2.4.8 Environmental Monitoring
FS 2.4.8A Appendix Environmental Monitoring
FS 2.5.1 Validation and Effectiveness
FS 2.5.2 Verification Activities
FS 2.5.3 Corrective and Preventative Action
FS 2.5.3A Root Cause Analysis
FS 2.5.3B Corrective Action Request

Setting Up Your Food Safety Management System Documentation

It is important to start off your project with an agreed template for your documents and records.

The documents supplied in the package are easy to edit so agree on a template format that you want and then use this as a master and copy all of the other documents into your template as you go along developing your system.





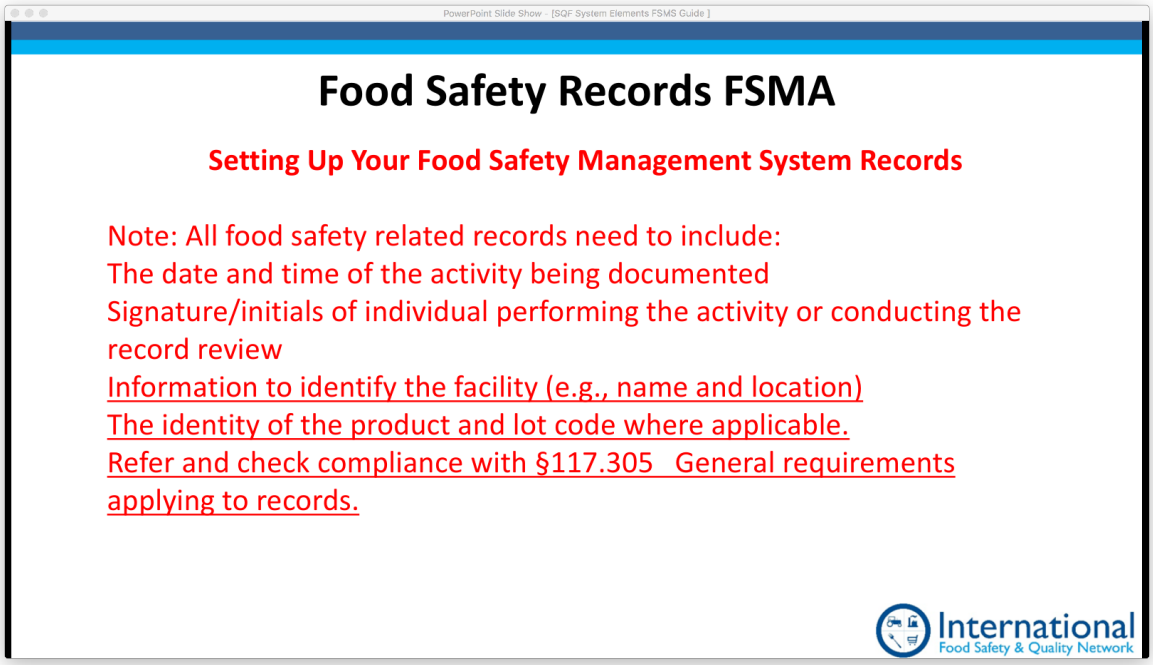
Food Safety Management System Record Templates

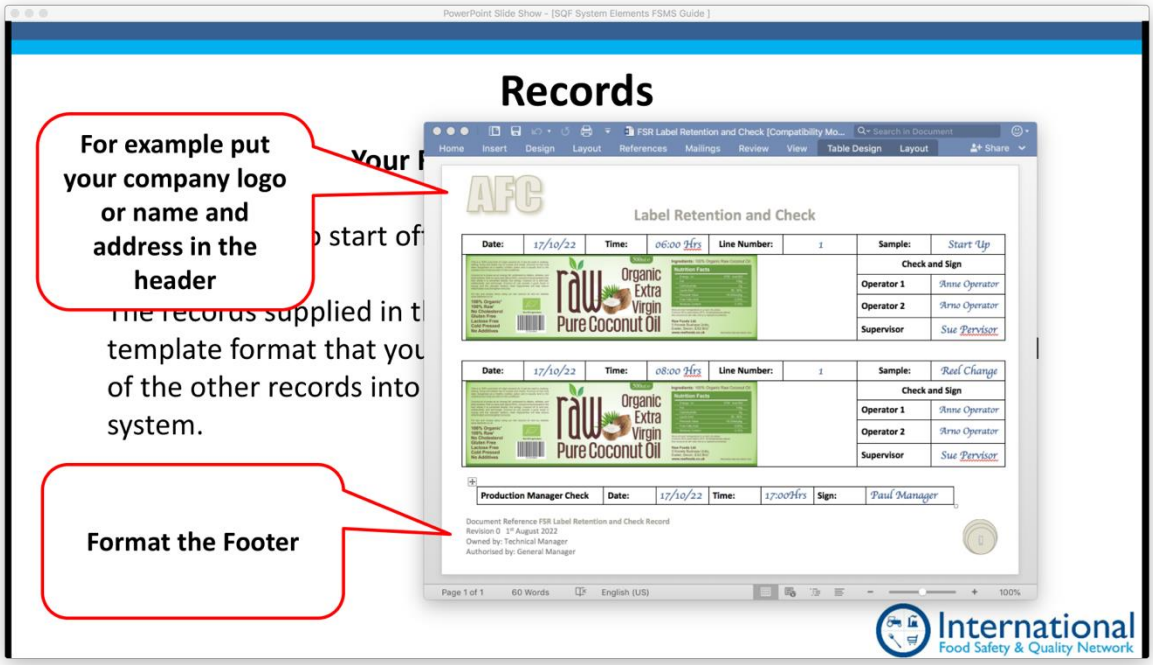
A range of sample food safety record templates are included in the package:

Setting Up Your Food Safety Management System Records

It is important to start off your project with an agreed template for your records.

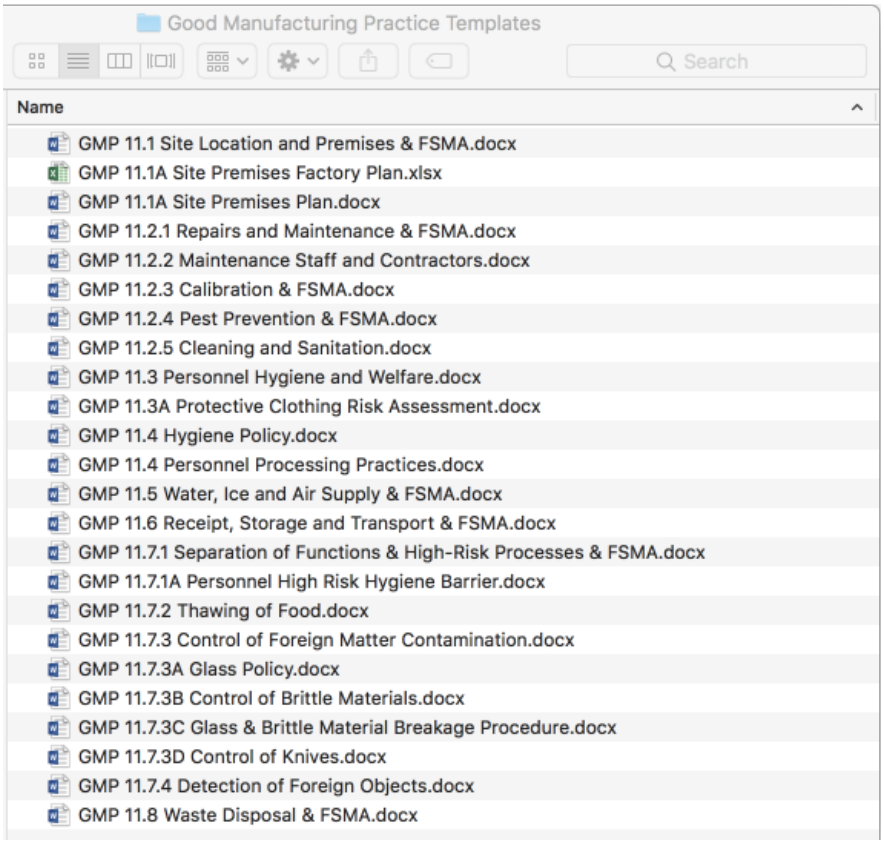
The sample record templates supplied in the package are easy to edit so agree on a template format that you want and then use this as a master and copy all of the other records into your template as you go along developing your system.



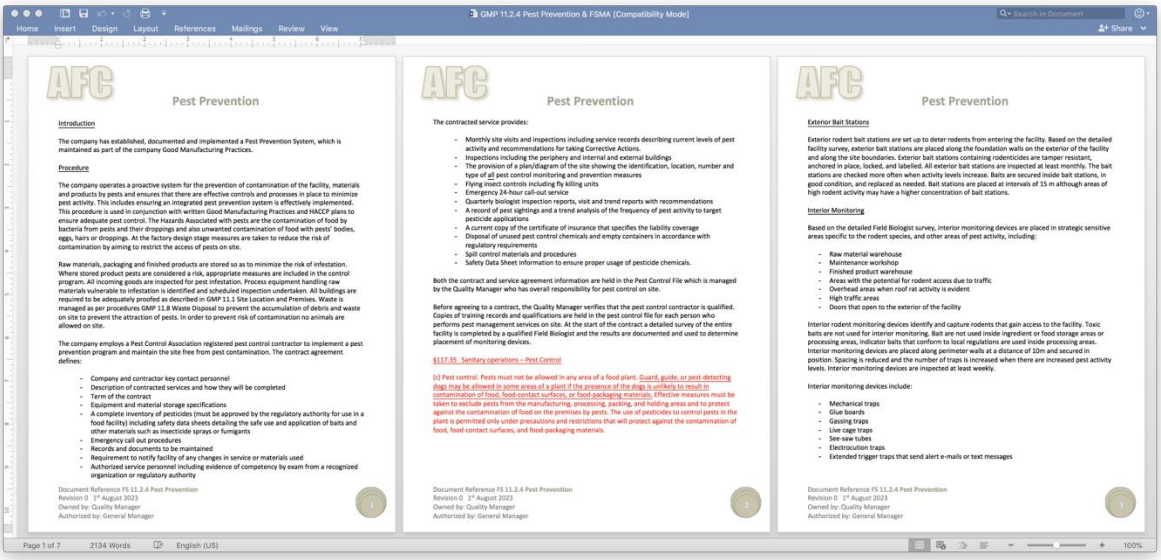


Step Four: Good Manufacturing Practices Implementation

The SQF & FSMA Food Safety Management System Implementation Package contains a comprehensive Good Manufacturing Practice procedural templates so you don't have to spend 1,000's of hours writing compliant procedures:



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



Step Five: Project SQF Implementation

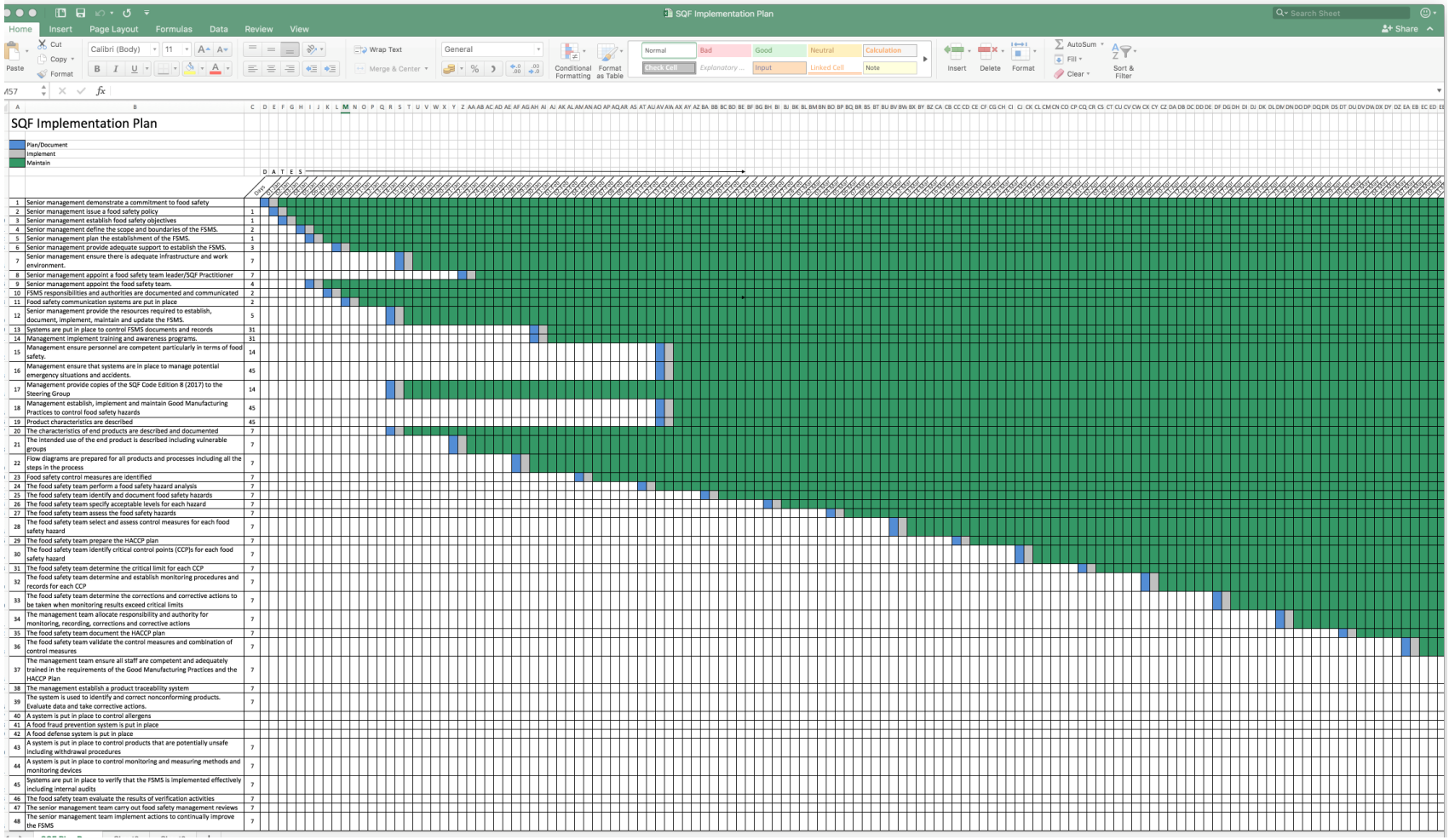
The package contains project tools to assist in achieving SQF certification. In this part of the package you will need to:

- ✓ 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			

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.



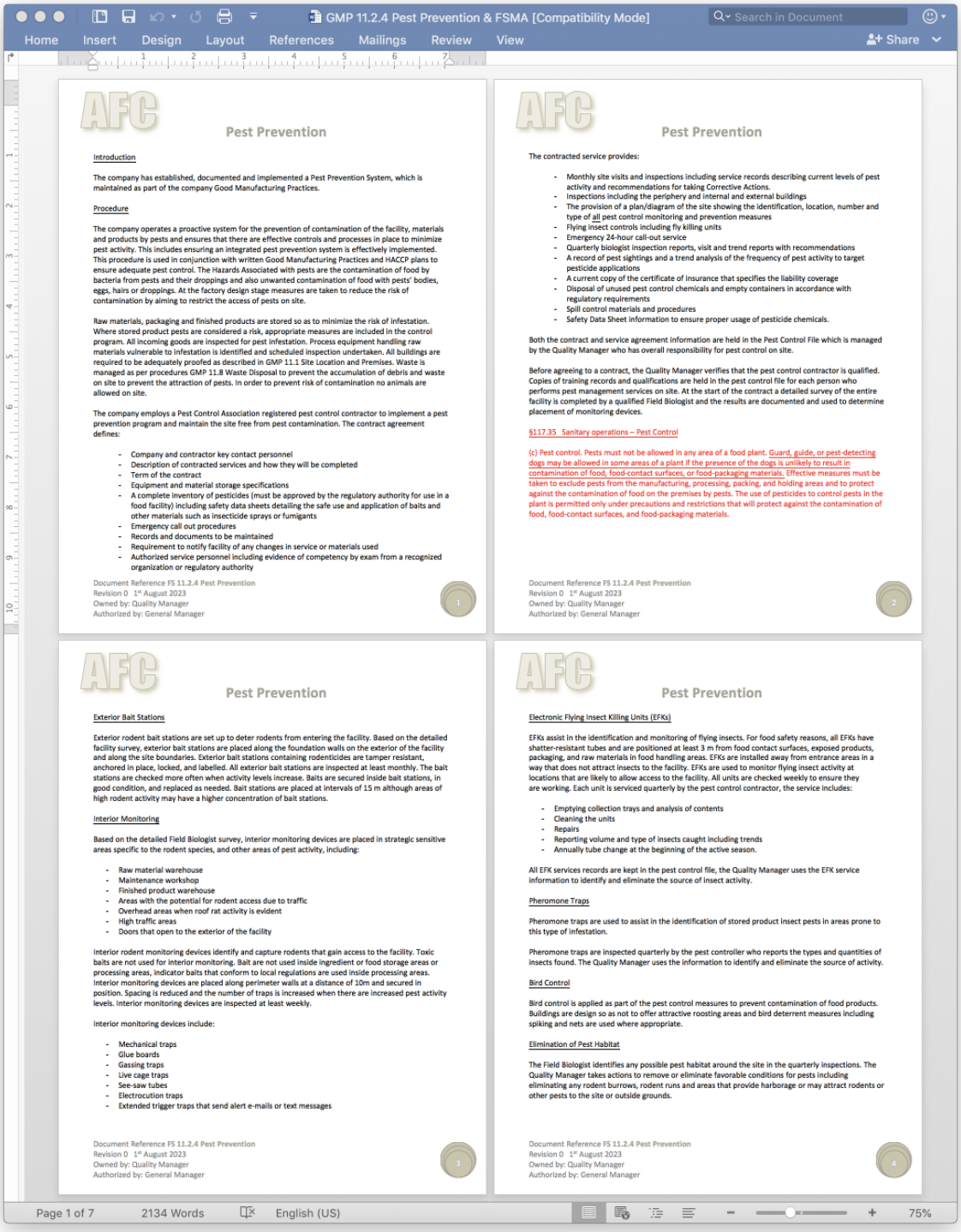
Project Planning Tasks		Responsibility	Comments	Due Date for Completion	Date Completed
1)	Senior management demonstrate a commitment to food safety	Senior Management Team	Completed in Step 2		
2)	Senior management issue a food safety policy and objectives	Senior Management Team	Completed in Step 2		
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		
12)	Senior management provide the resources required to establish, document, implement, maintain and update the FSMS.	Senior Management Team	Completed in Step 2		
13)	Systems are put in place to control FSMS documents and records	Steering Group	Use FS 2.2.2 Document Control & FS 2.2.3 Record Control		

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 (samples are shown on the next three pages

GMP 11.1.1 Site Location and Premises including:
Building Materials
Lighting and Light Fittings
Inspection/Quality Control Area
Dust, Insect, and Pest Proofing
Ventilation
Equipment and Utensils
Grounds and Roadways
GMP 11.1A Site Premises Plan
GMP 11.2.1 Repairs and Maintenance
GMP 11.2.2 Maintenance Staff and Contractors
GMP 11.2.3 Calibration
GMP 11.2.4 Pest Prevention
GMP 11.2.5 Cleaning and Sanitation
GMP 11.3 Personnel Hygiene and Welfare including:
Hand Washing, Clothing and Personal Effects, Visitors, Staff Amenities
GMP 11.3A Protective Clothing Risk Assessment
GMP 11.4 Hygiene Policy
GMP 11.4 Personnel Processing Practices
GMP 11.5 Water, Ice and Air Supply including:
Air and Other Gasses
GMP 11.6 Receipt, Storage and Transport including:
Receipt, Storage and Handling of Goods
Cold Storage, Freezing and Chilling of Foods
Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods
Storage of Hazardous Chemicals and Toxic Substances
Loading, Transport and Unloading Practices
GMP 11.7.1 Separation of Functions & High-Risk Processes
GMP 11.7.1A Personnel High Risk Hygiene Barrier
GMP 11.7.2 Thawing of Food
GMP 11.7.3 Control of Foreign Matter Contamination
GMP 11.7.3A Glass Policy
GMP 11.7.3B Control of Brittle Materials
GMP 11.7.3C Glass & Brittle Material Breakage Procedure
GMP 11.7.3D Control of Knives
GMP 11.7.4 Detection of Foreign Objects
GMP 11.8 Waste Disposal

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

GMP 11.2.4 Pest Prevention



GMP 11.2.4 Pest Prevention & FSMA [Compatibility Mode]

Pest Prevention

Introduction

The company has established, documented and implemented a Pest Prevention System, which is maintained as part of the company Good Manufacturing Practices.

Procedure

The company operates a proactive system for the prevention of contamination of the facility, materials and products by pests and ensures that there are effective controls and processes in place to minimize pest activity. This includes ensuring an integrated pest prevention system is effectively implemented. This procedure is used in conjunction with written Good Manufacturing Practices and HACCP plans to ensure adequate pest control. The Hazards Associated with pests are the contamination of food by bacteria from pests and their droppings and also unwanted contamination of food with pests' bodies, eggs, hairs or droppings. At the factory design stage measures are taken to reduce the risk of contamination by aiming to restrict the access of pests on site.

Raw materials, packaging and finished products are stored so as to minimize the risk of infestation. Where stored product pests are considered a risk, appropriate measures are included in the control program. All incoming goods are inspected for pest infestation. Process equipment handling raw materials vulnerable to infestation is identified and scheduled inspection undertaken. All buildings are required to be adequately proofed as described in GMP 11.1 Site Location and Premises. Waste is managed as per procedures GMP 11.8 Waste Disposal to prevent the accumulation of debris and waste on site to prevent the attraction of pests. In order to prevent risk of contamination no animals are allowed on site.

The company employs a Pest Control Association registered pest control contractor to implement a pest prevention program and maintain the site free from pest contamination. The contract agreement defines:

- Company and contractor key contact personnel
- Description of contracted services and how they will be completed
- Term of the contract
- Equipment and material storage specifications
- A complete inventory of pesticides (must be approved by the regulatory authority for use in a food facility) including safety data sheets detailing the safe use and application of baits and other materials such as insecticide sprays or fumigants
- Emergency call out procedures
- Records and documents to be maintained
- Requirement to notify facility of any changes in service or materials used
- Authorized service personnel including evidence of competency by exam from a recognized organization or regulatory authority

Document Reference FS 11.2.4 Pest Prevention
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized by: General Manager

Pest Prevention

The contracted service provides:

- Monthly site visits and inspections including service records describing current levels of pest activity and recommendations for taking Corrective Actions.
- Inspections including the periphery and internal and external buildings
- The provision of a plan/diagram of the site showing the identification, location, number and type of all pest control monitoring and prevention measures
- Flying insect controls including fly killing units
- Emergency 24-hour call-out service
- Quarterly biologist inspection reports, visit and trend reports with recommendations
- A record of pest sightings and a trend analysis of the frequency of pest activity to target pesticide applications
- A current copy of the certificate of insurance that specifies the liability coverage
- Disposal of unused pest control chemicals and empty containers in accordance with regulatory requirements
- Spill control materials and procedures
- Safety Data Sheet information to ensure proper usage of pesticide chemicals.

Both the contract and service agreement information are held in the Pest Control File which is managed by the Quality Manager who has overall responsibility for pest control on site.

Before agreeing to a contract, the Quality Manager verifies that the pest control contractor is qualified. Copies of training records and qualifications are held in the pest control file for each person who performs pest management services on site. At the start of the contract a detailed survey of the entire facility is completed by a qualified Field Biologist and the results are documented and used to determine placement of monitoring devices.

§117.35 Sanitary operations – Pest Control

(c) Pest control. Pests must not be allowed in any area of a food plant. Guard, guide, or pest-detecting dogs may be allowed in some areas of a plant if the presence of the dogs is unlikely to result in contamination of food, food-contact surfaces, or food-packaging materials. Effective measures must be taken to exclude pests from the manufacturing, processing, packing, and holding areas and to protect against the contamination of food on the premises by pests. The use of pesticides to control pests in the plant is permitted only under precautions and restrictions that will protect against the contamination of food, food-contact surfaces, and food-packaging materials.

Document Reference FS 11.2.4 Pest Prevention
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized by: General Manager

Pest Prevention

Exterior Bait Stations

Exterior rodent bait stations are set up to deter rodents from entering the facility. Based on the detailed facility survey, exterior bait stations are placed along the foundation walls on the exterior of the facility and along the site boundaries. Exterior bait stations containing rodenticides are tamper resistant, anchored in place, locked, and labelled. All exterior bait stations are inspected at least monthly. The bait stations are checked more often when activity levels increase. Baits are secured inside bait stations, in good condition, and replaced as needed. Bait stations are placed at intervals of 15 m although areas of high rodent activity may have a higher concentration of bait stations.

Interior Monitoring

Based on the detailed Field Biologist survey, interior monitoring devices are placed in strategic sensitive areas specific to the rodent species, and other areas of pest activity, including:

- Raw material warehouse
- Maintenance workshop
- Finished product warehouse
- Areas with the potential for rodent access due to traffic
- Overhead areas when roof rat activity is evident
- High traffic areas
- Doors that open to the exterior of the facility

Interior rodent monitoring devices identify and capture rodents that gain access to the facility. Toxic baits are not used for interior monitoring. Bait are not used inside ingredient or food storage areas or processing areas, indicator baits that conform to local regulations are used inside processing areas. Interior monitoring devices are placed along perimeter walls at a distance of 10m and secured in position. Spacing is reduced and the number of traps is increased when there are increased pest activity levels. Interior monitoring devices are inspected at least weekly.

Interior monitoring devices include:

- Mechanical traps
- Glue boards
- Gassing traps
- Live cage traps
- See-saw tubes
- Electrocution traps
- Extended trigger traps that send alert e-mails or text messages

Document Reference FS 11.2.4 Pest Prevention
Revision 0 1st August 2023
Owned by: Quality Manager
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Pest Prevention

Electronic Flying Insect Killing Units (EFKs)

EFKs assist in the identification and monitoring of flying insects. For food safety reasons, all EFKs have shatter-resistant tubes and are positioned at least 3 m from food contact surfaces, exposed products, packaging, and raw materials in food handling areas. EFKs are installed away from entrance areas in a way that does not attract insects to the facility. EFKs are used to monitor flying insect activity at locations that are likely to allow access to the facility. All units are checked weekly to ensure they are working. Each unit is serviced quarterly by the pest control contractor, the service includes:

- Emptying collection trays and analysis of contents
- Cleaning the units
- Repairs
- Reporting volume and type of insects caught including trends
- Annually tube change at the beginning of the active season.

All EFK services records are kept in the pest control file, the Quality Manager uses the EFK service information to identify and eliminate the source of insect activity.

Pheromone Traps

Pheromone traps are used to assist in the identification of stored product insect pests in areas prone to this type of infestation.

Pheromone traps are inspected quarterly by the pest controller who reports the types and quantities of insects found. The Quality Manager uses the information to identify and eliminate the source of activity.

Bird Control

Bird control is applied as part of the pest control measures to prevent contamination of food products. Buildings are design so as not to offer attractive roosting areas and bird deterrent measures including spiking and nets are used where appropriate.

Elimination of Pest Habitat

The Field Biologist identifies any possible pest habitat around the site in the quarterly inspections. The Quality Manager takes actions to remove or eliminate favorable conditions for pests including eliminating any rodent burrows, rodent runs and areas that provide harborage or may attract rodents or other pests to the site or outside grounds.

Document Reference FS 11.2.4 Pest Prevention
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized by: General Manager

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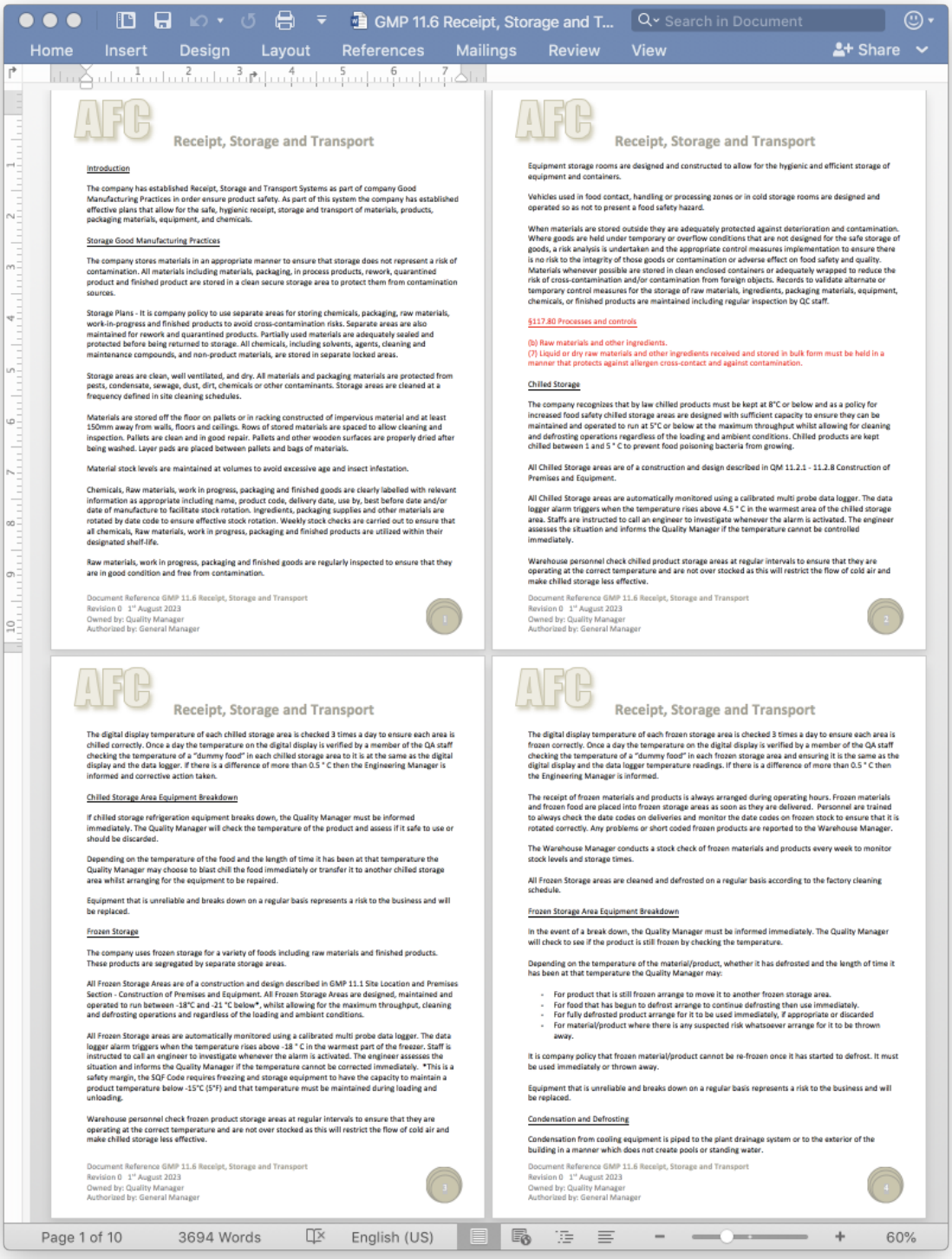
GMP 11.6 Receipt, Storage and Transport



GMP 11.6 Receipt, Storage and T...

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Receipt, Storage and Transport

Introduction

The company has established Receipt, Storage and Transport Systems as part of company Good Manufacturing Practices in order ensure product safety. As part of this system the company has established effective plans that allow for the safe, hygienic receipt, storage and transport of materials, products, packaging materials, equipment, and chemicals.

Storage Good Manufacturing Practices

The company stores materials in an appropriate manner to ensure that storage does not represent a risk of contamination. All materials including materials, packaging, in process products, rework, quarantined product and finished product are stored in a clean secure storage area to protect them from contamination sources.

Storage Plans - It is company policy to use separate areas for storing chemicals, packaging, raw materials, work-in-progress and finished products to avoid cross-contamination risks. Separate areas are also maintained for rework and quarantined products. Partially used materials are adequately sealed and protected before being returned to storage. All chemicals, including solvents, agents, cleaning and maintenance compounds, and non-product materials, are stored in separate locked areas.

Storage areas are clean, well ventilated, and dry. All materials and packaging materials are protected from pests, condensate, sewage, dust, dirt, chemicals or other contaminants. Storage areas are cleaned at a frequency defined in site cleaning schedules.

Materials are stored off the floor on pallets or in racking constructed of impervious material and at least 150mm away from walls, floors and ceilings. Rows of stored materials are spaced to allow cleaning and inspection. Pallets are clean and in good repair. Pallets and other wooden surfaces are properly dried after being washed. Layer pads are placed between pallets and bags of materials.

Material stock levels are maintained at volumes to avoid excessive age and insect infestation.

Chemicals, Raw materials, work in progress, packaging and finished goods are clearly labelled with relevant information as appropriate including name, product code, delivery date, use by, best before date and/or date of manufacture to facilitate stock rotation. Ingredients, packaging supplies and other materials are rotated by date code to ensure effective stock rotation. Weekly stock checks are carried out to ensure that all chemicals, Raw materials, work in progress, packaging and finished products are utilized within their designated shelf-life.

Raw materials, work in progress, packaging and finished goods are regularly inspected to ensure that they are in good condition and free from contamination.

Document Reference GMP 11.6 Receipt, Storage and Transport
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Authorized by: General Manager

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Receipt, Storage and Transport

Equipment storage rooms are designed and constructed to allow for the hygienic and efficient storage of equipment and containers.

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

When materials are stored outside they are adequately protected against deterioration and contamination. Where goods are held under temporary or overflow conditions that are not designed for the safe storage of goods, a risk analysis is undertaken and the appropriate control measures implementation to ensure there is no risk to the integrity of those goods or contamination or adverse effect on food safety and quality. Materials whenever possible are stored in clean enclosed containers or adequately wrapped to reduce the risk of cross-contamination and/or contamination from foreign objects. Records to validate alternate or temporary control measures for the storage of raw materials, ingredients, packaging materials, equipment, chemicals, or finished products are maintained including regular inspection by QC staff.

§117.80 Processes and controls

(b) Raw materials and other ingredients.
(7) Liquid or dry raw materials and other ingredients received and stored in bulk form must be held in a manner that protects against allergen cross-contact and against contamination.

Chilled Storage

The company recognizes that by law chilled products must be kept at 8°C or below and as a policy for increased food safety chilled storage areas are designed with sufficient capacity to ensure they can be maintained and operated to run at 5°C or below at the maximum throughput whilst allowing for cleaning and defrosting operations regardless of the loading and ambient conditions. Chilled products are kept chilled between 1 and 5 ° C to prevent food poisoning bacteria from growing.

All Chilled Storage areas are of a construction and design described in QM 11.2.1 - 11.2.8 Construction of Premises and Equipment.

All Chilled Storage areas are automatically monitored using a calibrated multi probe data logger. The data logger alarm triggers when the temperature rises above 4.5 ° C in the warmest area of the chilled storage area. Staffs are instructed to call an engineer to investigate whenever the alarm is activated. The engineer assesses the situation and informs the Quality Manager if the temperature cannot be controlled immediately.

Warehouse personnel check chilled product storage areas at regular intervals to ensure that they are operating at the correct temperature and are not over stocked as this will restrict the flow of cold air and make chilled storage less effective.

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Receipt, Storage and Transport

The digital display temperature of each chilled storage area is checked 3 times a day to ensure each area is chilled correctly. Once a day the temperature on the digital display is verified by a member of the QA staff checking the temperature of a "dummy food" in each chilled storage area to it is at the same as the digital display and the data logger. If there is a difference of more than 0.5 ° C then the Engineering Manager is informed and corrective action taken.

Chilled Storage Area Equipment Breakdown

If chilled storage refrigeration equipment breaks down, the Quality Manager must be informed immediately. The Quality Manager will check the temperature of the product and assess if it safe to use or should be discarded.

Depending on the temperature of the food and the length of time it has been at that temperature the Quality Manager may choose to blast chill the food immediately or transfer it to another chilled storage area whilst arranging for the equipment to be repaired.

Equipment that is unreliable and breaks down on a regular basis represents a risk to the business and will be replaced.

Frozen Storage

The company uses frozen storage for a variety of foods including raw materials and finished products. These products are segregated by separate storage areas.

All Frozen Storage Areas are of a construction and design described in GMP 11.1 Site Location and Premises Section - Construction of Premises and Equipment. All Frozen Storage Areas are designed, maintained and operated to run between -18°C and -21 °C below*, whilst allowing for the maximum throughput, cleaning and defrosting operations and regardless of the loading and ambient conditions.

All Frozen Storage areas are automatically monitored using a calibrated multi probe data logger. The data logger alarm triggers when the temperature rises above -18 ° C in the warmest part of the freezer. Staff is instructed to call an engineer to investigate whenever the alarm is activated. The engineer assesses the situation and informs the Quality Manager if the temperature cannot be corrected immediately. *This is a safety margin, the SQF Code requires freezing and storage equipment to have the capacity to maintain a product temperature below -15°C (5°F) and that temperature must be maintained during loading and unloading.

Warehouse personnel check frozen product storage areas at regular intervals to ensure that they are operating at the correct temperature and are not over stocked as this will restrict the flow of cold air and make chilled storage less effective.

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Receipt, Storage and Transport

The digital display temperature of each frozen storage area is checked 3 times a day to ensure each area is frozen correctly. Once a day the temperature on the digital display is verified by a member of the QA staff checking the temperature of a "dummy food" in each frozen storage area and ensuring it is the same as the digital display and the data logger temperature readings. If there is a difference of more than 0.5 ° C then the Engineering Manager is informed.

The receipt of frozen materials and products is always arranged during operating hours. Frozen materials and frozen food are placed into frozen storage areas as soon as they are delivered. Personnel are trained to always check the date codes on deliveries and monitor the date codes on frozen stock to ensure that it is rotated correctly. Any problems or short coded frozen products are reported to the Warehouse Manager.

The Warehouse Manager conducts a stock check of frozen materials and products every week to monitor stock levels and storage times.

All Frozen Storage areas are cleaned and defrosted on a regular basis according to the factory cleaning schedule.

Frozen Storage Area Equipment Breakdown

In the event of a break down, the Quality Manager must be informed immediately. The Quality Manager will check to see if the product is still frozen by checking the temperature.

Depending on the temperature of the material/product, whether it has defrosted and the length of time it has been at that temperature the Quality Manager may:

- For product that is still frozen arrange to move it to another frozen storage area.
- For food that has begun to defrost arrange to continue defrosting then use immediately.
- For fully defrosted product arrange for it to be used immediately, if appropriate or discarded
- For material/product where there is any suspected risk whatsoever arrange for it to be thrown away.

It is company policy that frozen material/product cannot be re-frozen once it has started to defrost. It must be used immediately or thrown away.

Equipment that is unreliable and breaks down on a regular basis represents a risk to the business and will be replaced.

Condensation and Defrosting

Condensation from cooling equipment is piped to the plant drainage system or to the exterior of the building in a manner which does not create pools or standing water.

Document Reference GMP 11.6 Receipt, Storage and Transport
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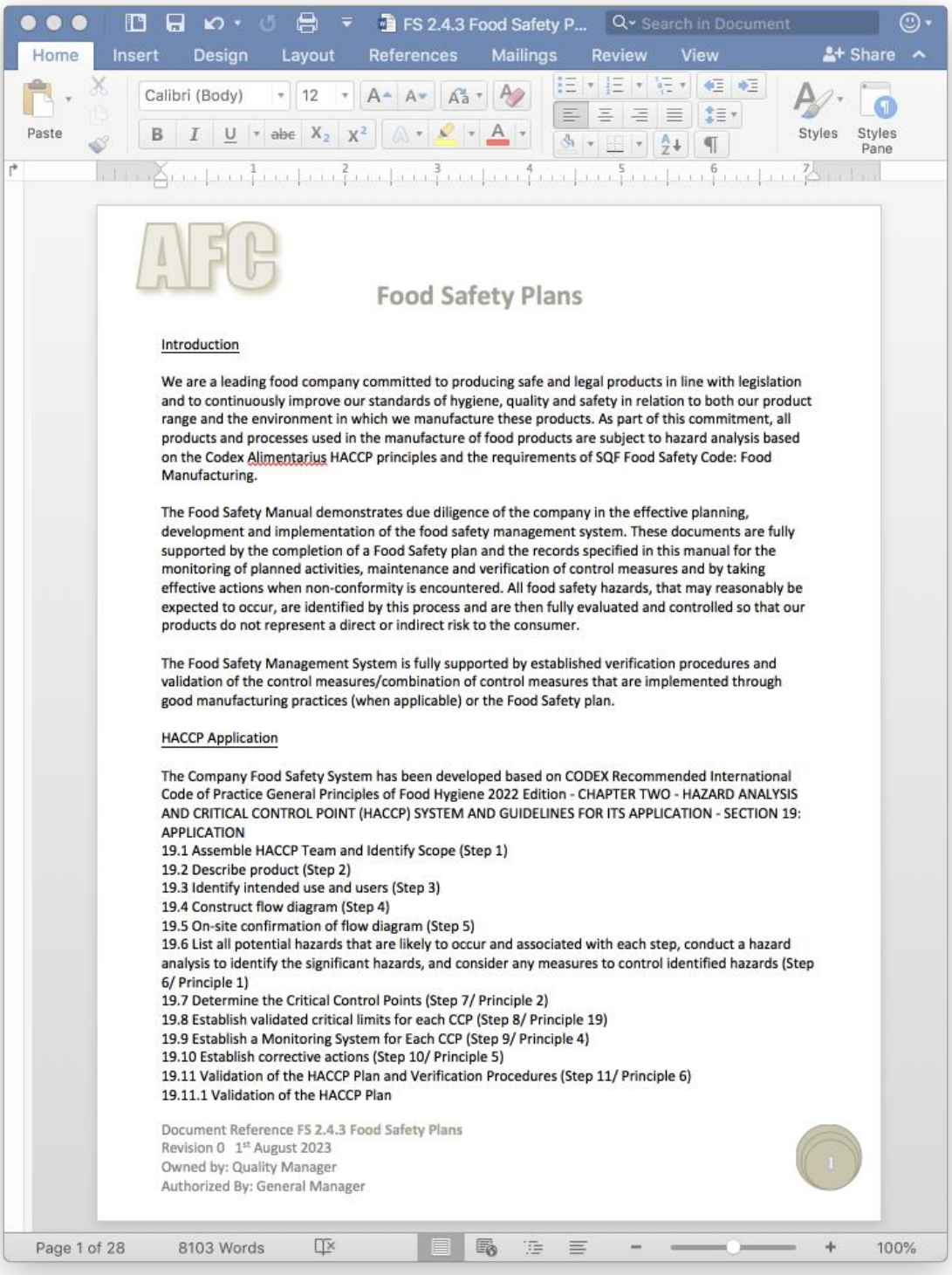
Project Tasks 19 – 33

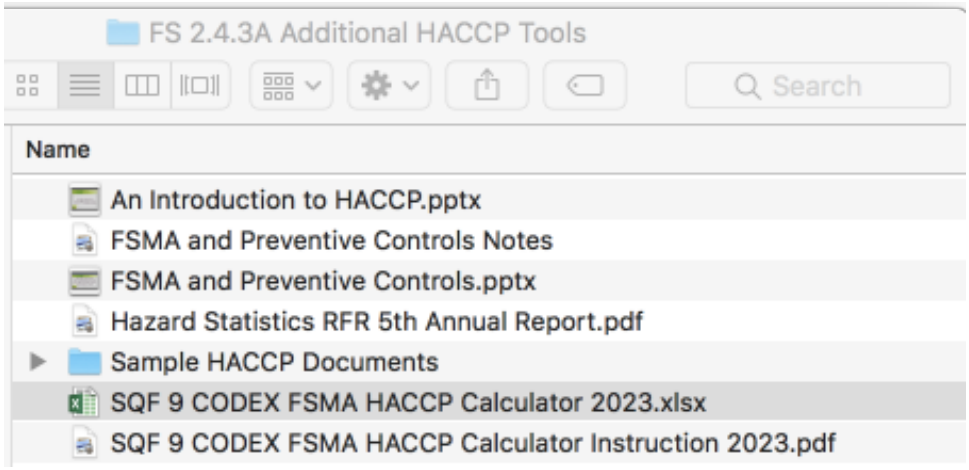
Project Tasks 19 – 33 are to be completed by the Food Safety Team. Guidelines for these tasks are included in Step 6 HACCP Implementation Section.
The tasks are based on CODEX Recommended International Code of Practice General Principles of Food Hygiene 2022 Edition - HAZARD ANALYSIS AND CRITICAL CONTROL POINT (HACCP) SYSTEM AND GUIDELINES FOR ITS APPLICATION - SECTION 19: APPLICATION, FSMA Preventive Controls for Human Food Rule and the requirements of the SQF Food Safety Code.

19)	Assemble HACCP Team and Identify Scope (Step 1)
20)	Describe product (Step 2)
21)	Identify intended use and users (Step 3)
22)	Construct flow diagram (Step 4)
23)	On-site confirmation of flow diagram (Step 5)
24)	List all potential hazards that are likely to occur and associated with each step (Step 6/ Principle 1)
25)	Conduct a hazard analysis to identify the significant hazards (Step 6/ Principle 1)
Note: FSMA Preventive Controls for Human Food Rule requires §117.126 Food safety plans and §117.135 Preventive controls	
26)	Consider any measures to control identified hazards (Step 6/ Principle 1)
27)	Determine the Critical Control Points (Step 7/ Principle 2)
28)	Establish validated critical limits for each CCP (Step 8/ Principle 19)
29)	Establish a Monitoring System for Each CCP (Step 9/ Principle 4)
30)	Establish corrective actions (Step 10/ Principle 5)
31)	Validation of the HACCP Plan (Step 11/ Principle 6)
32)	Establish Verification Procedures
33)	Establish Documentation and Record Keeping (Step 12/ Principle 7)

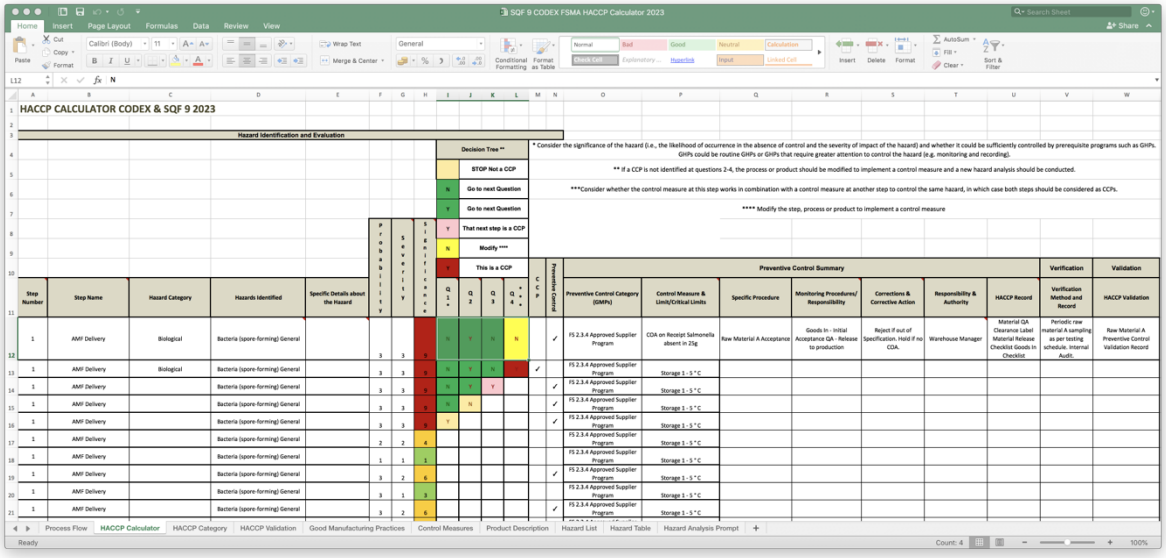
Step Six: HACCP Implementation Guide

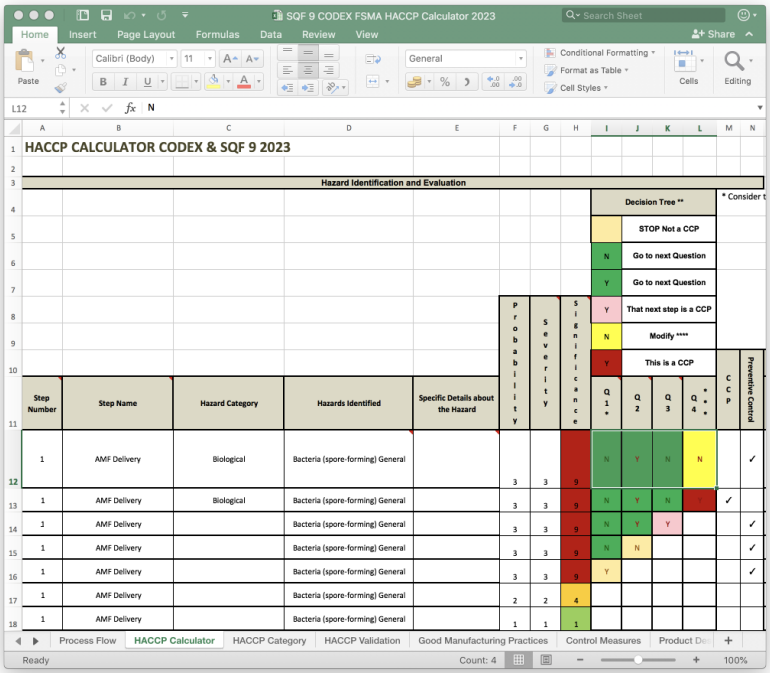
Included in the package are FS 2.4.3 Food Safety Plan and supplementary HACCP documents in the Additional HACCP Tools Folder including the SQF 9 CODEX FSMA HACCP Calculator New 2023 and Instructions:





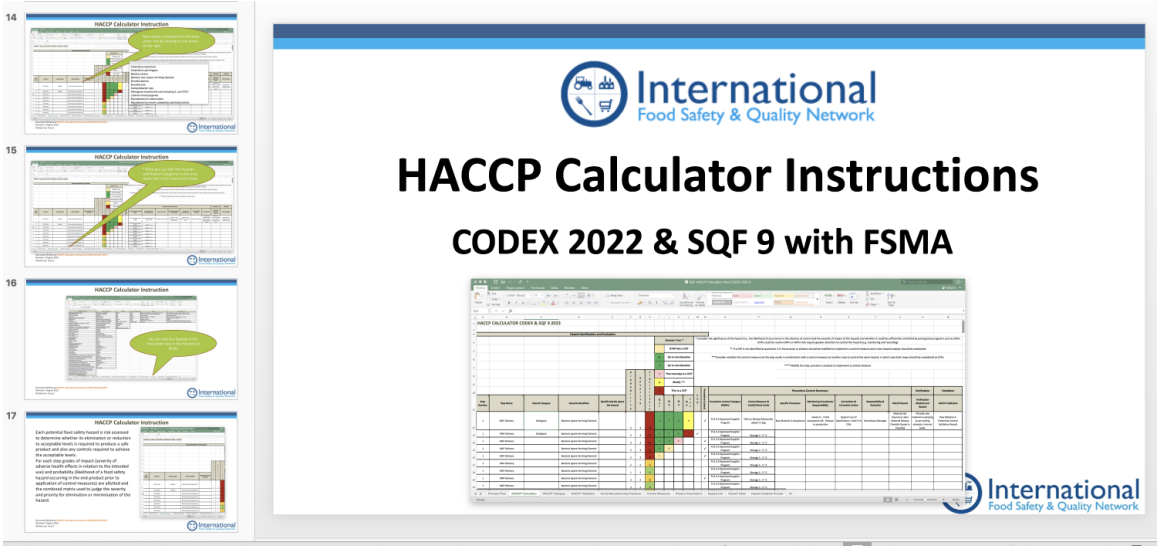
The main tool here is the SQF 9 CODEX FSMA HACCP Calculator 2023





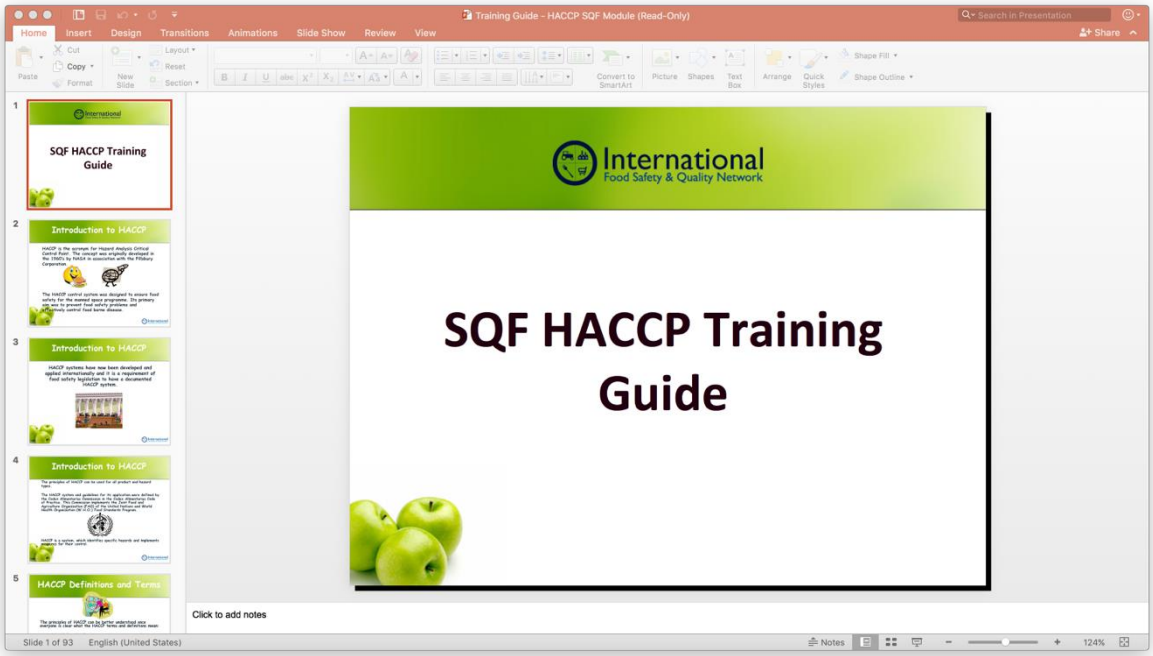
The SQF 9 CODEX FSMA HACCP Calculator 2023 Instructions

These instructions need to be read and understood and used in conjunction with this Implementation Workbook



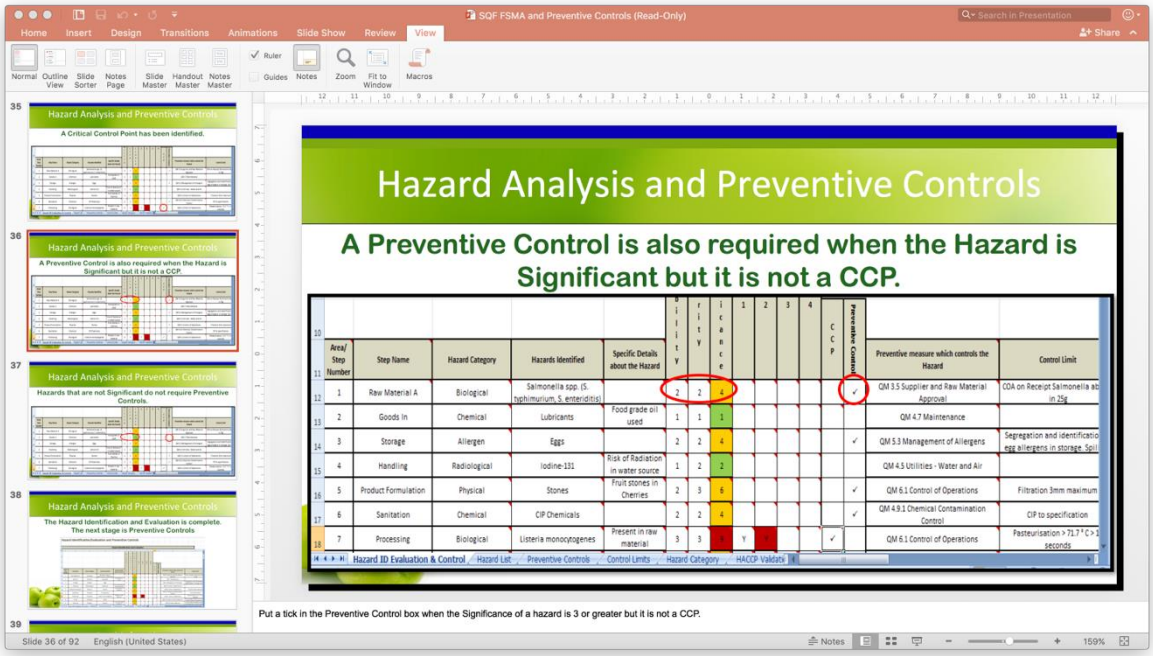
HACCP Training PowerPoint Presentation

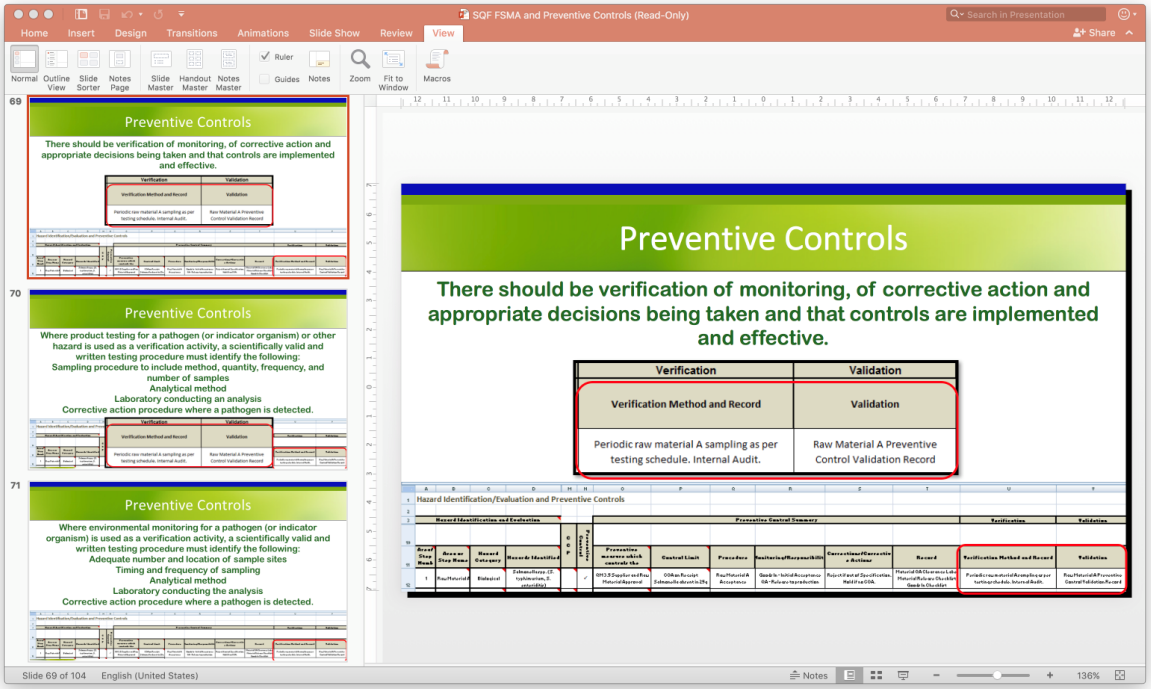
This folder also contains an Introduction to HACCP Training PowerPoint Presentation which is supplied to introduce your food safety team in the preliminary steps to a Hazard analysis, the principles of HACCP and how to utilize the HACCP Calculator in implementing your HACCP system.



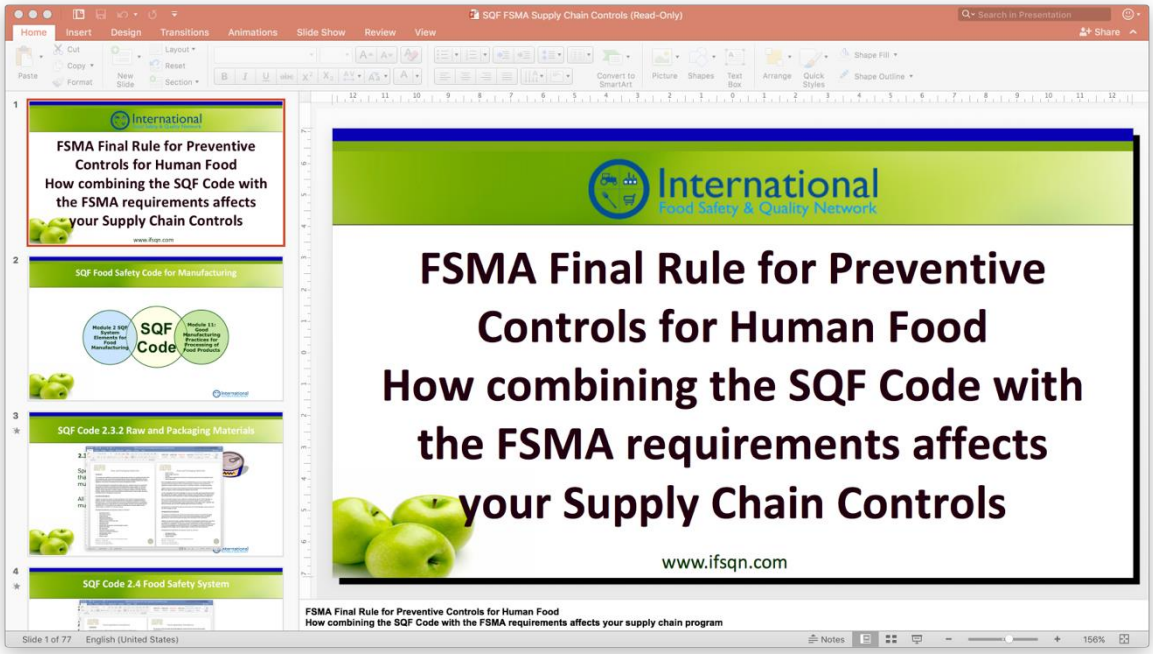
FSMA & Preventive Controls Presentation

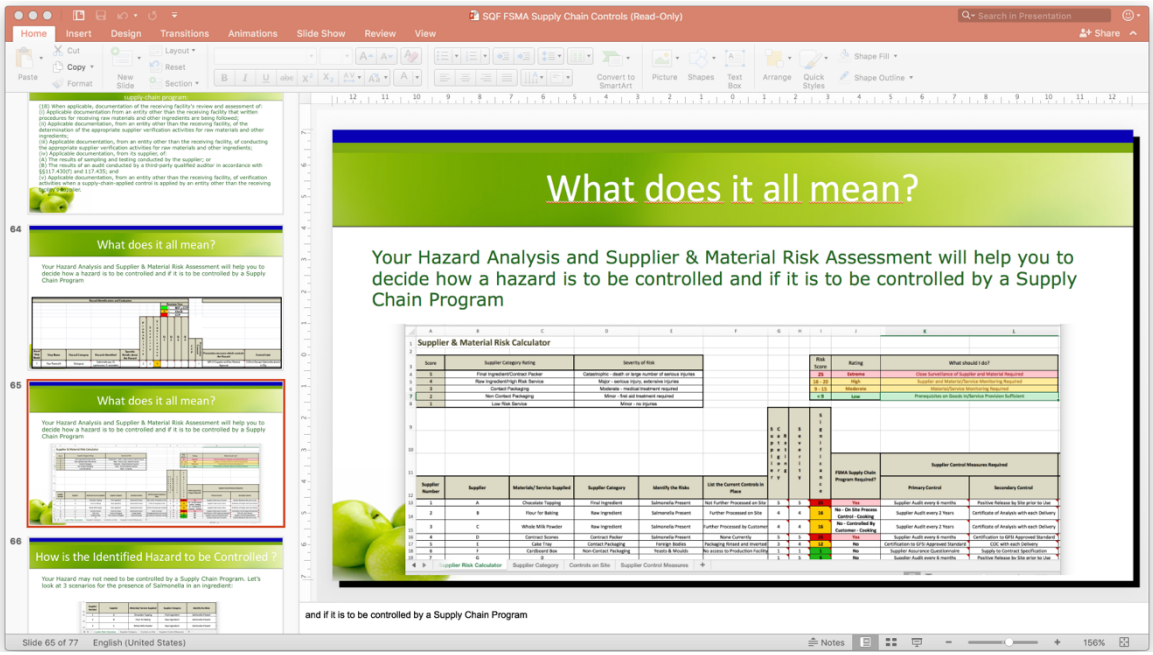
There is also Guidance for the Implementation of the Preventive Controls for Human Food





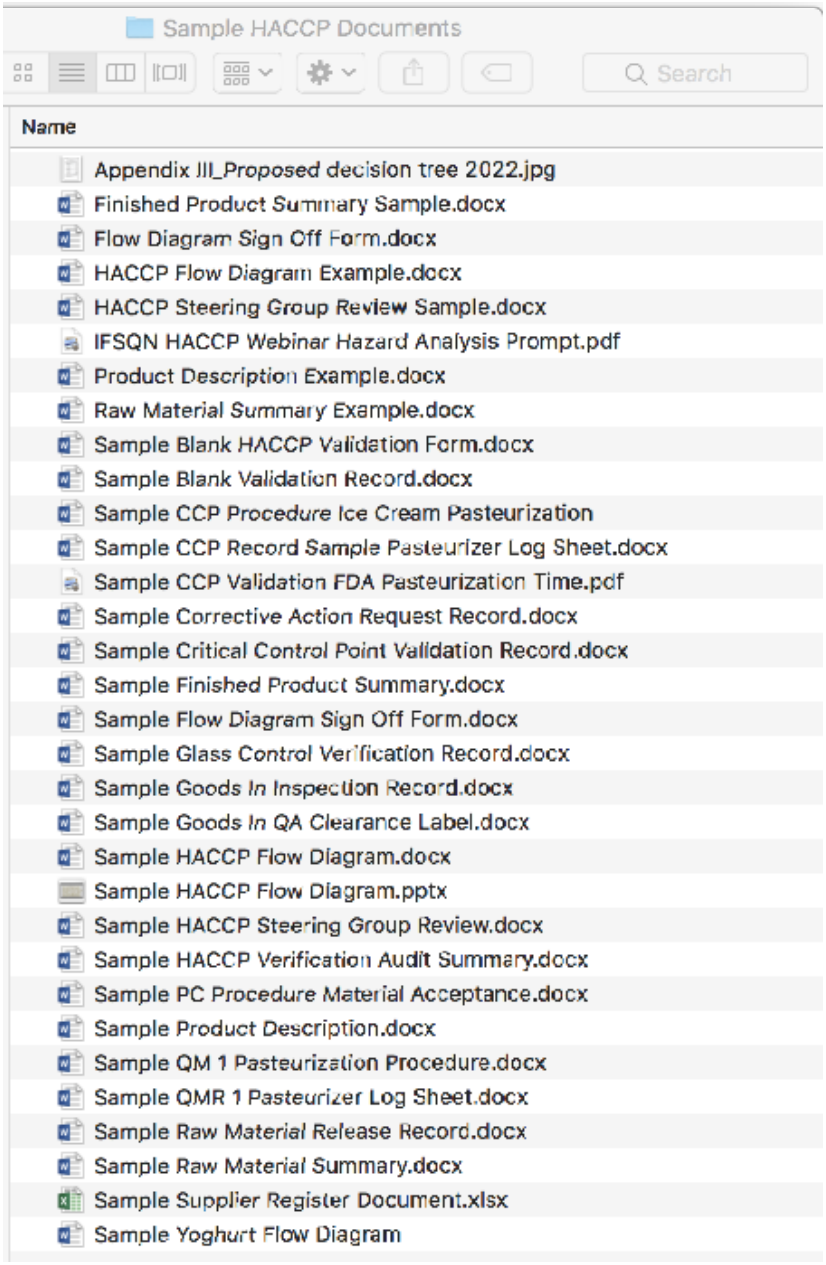
Also note when developing your food safety plans that you will need to include supply chain controls as appropriate.
There is the FS 2.3.4 SQF FSMA Supply Chain Controls Presentation - Guidance and Tools for the Implementation of Supply Chain Controls which should be viewed and used in conjunction with FS 2.3.4 Approved Supplier Program & FSMA. Both are in the Food Safety Management System Templates Folder.





Follow the step by step guide to implementing your HACCP/Food Safety Plans using the documents supplied and the SQF 9 CODEX FSMA HACCP Calculator 2023.

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 9 CODEX FSMA HACCP Calculator 2023.

HACCP Application

The Food Safety System needs to be developed based on CODEX Recommended International Code of Practice General Principles of Food Hygiene 2022 Edition - CHAPTER TWO - HAZARD ANALYSIS AND CRITICAL CONTROL POINT (HACCP) SYSTEM AND GUIDELINES FOR ITS APPLICATION - SECTION 19: APPLICATION
19.1 Assemble HACCP Team and Identify Scope (Step 1)
19.2 Describe product (Step 2)
19.3 Identify intended use and users (Step 3)
19.4 Construct flow diagram (Step 4)
19.5 On-site confirmation of flow diagram (Step 5)
19.6 List all potential hazards that are likely to occur and associated with each step, conduct a hazard analysis to identify the significant hazards, and consider any measures to control identified hazards (Step 6/ Principle 1)
19.7 Determine the Critical Control Points (Step 7/ Principle 2)
19.8 Establish validated critical limits for each CCP (Step 8/ Principle 19)
19.9 Establish a Monitoring System for Each CCP (Step 9/ Principle 4)
19.10 Establish corrective actions (Step 10/ Principle 5)
19.11 Validation of the HACCP Plan and Verification Procedures (Step 11/ Principle 6)
19.11.1 Validation of the HACCP Plan
19.11.2 Verification Procedures
19.11.3 Establish Documentation and Record Keeping (Step 12/ Principle 7)
19.12 Training

Task 19 Assemble HACCP Team and Identify Scope

The Food Safety Team is confirmed and trained and the HACCP Scope is defined

Food Safety Team

A core multi-disciplinary team needs to be utilized to develop the Food Safety Management System and Food Safety Plans. This team must include a Food Safety Team Leader (Normally the SQF practitioner) and technical, production, and engineering personnel with knowledge of the relevant raw materials, packaging, processing aids, products and associated processes.

The Food Safety (HACCP) Team Leader is required to have an in-depth knowledge of CODEX HACCP Principles, developing HACCP (food safety) plans and must be able to demonstrate competence, experience and training. Where there is a legal requirement for specific training, the HACCP Team Leader is required to have received this training/qualification.

Expert external assistance may be used as an aid, when in-house knowledge is limited, but day-to-day management of the food safety system remains the responsibility of the HACCP Team.

Confirmation of the Food Safety Team and Training

Team Member	HACCP Training
Quality Manager SQF Practitioner PCQI	Advanced

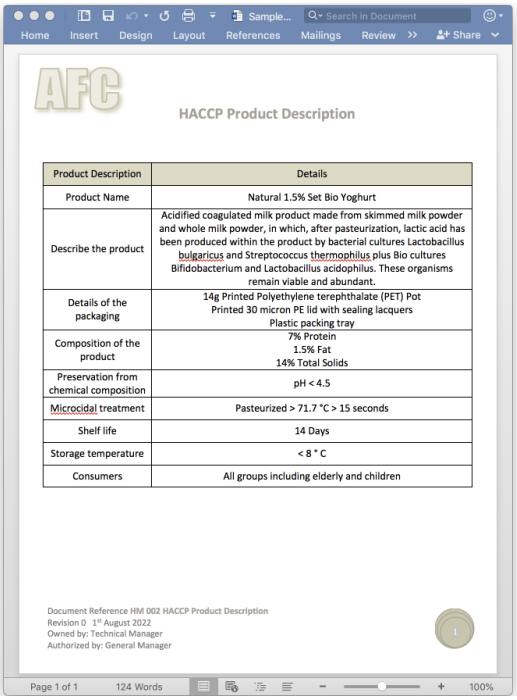
Customer, Regulatory, Statutory and other relevant Food Safety Requirements

The Food Safety Team Leader needs to formulate a list of all relevant Customer, Regulatory, Statutory and other relevant Food Safety Requirements to be considered in the HACCP scope.

Customer Requirements	**Details**
XYZ Customer Requires this	
Regulatory/Statutory Requirements	**Details**
Food Regulations	
FSMA Preventive Controls for Human Food Rule	
Other	**Details**
SQF Code	

Developing a 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?	

Use the templates provided in the Sample HACCP Documents to assist you.



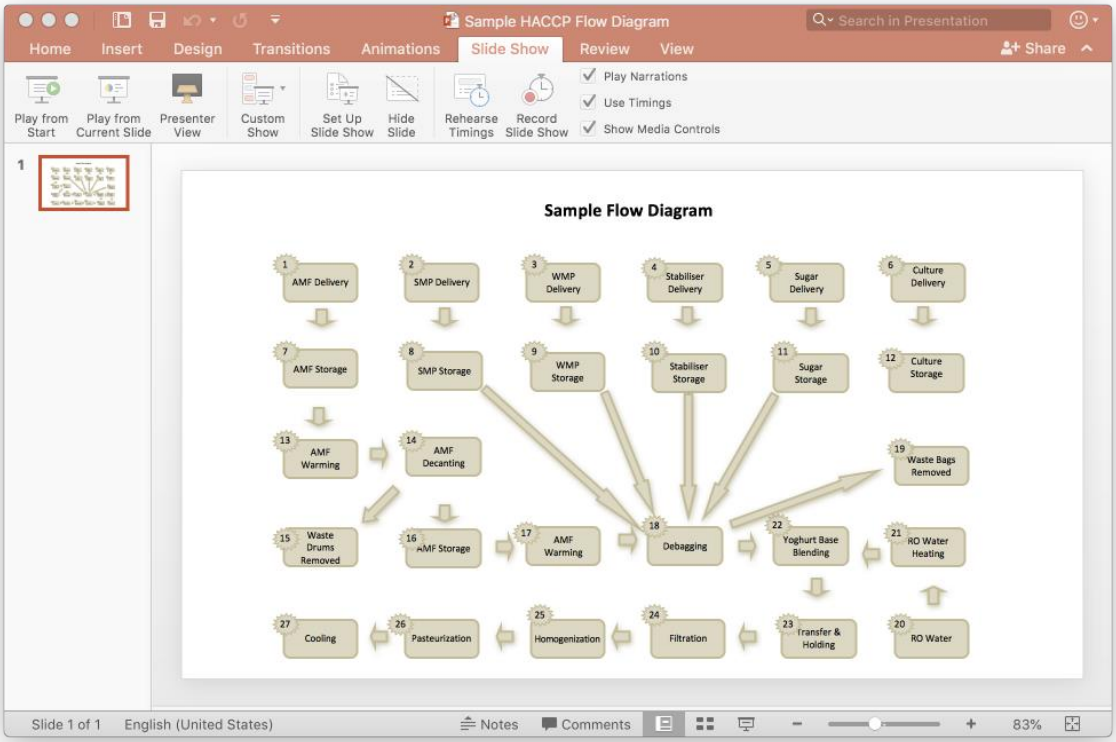
AFC

HACCP Product Description

Product Description	Details
Product Name	Natural 1.5% Set Bio Yoghurt
Describe the product	Acidified coagulated milk product made from skimmed milk powder and whole milk powder, in which, after pasteurization, lactic acid has been produced within the product by bacterial cultures Lactobacillus bulgaricus and Streptococcus thermophilus plus Bio cultures Bifidobacterium and Lactobacillus acidophilus. These organisms remain viable and abundant.
Details of the packaging	14g Printed Polyethylene terephthalate (PET) Pot Printed 30 micron PE lid with sealing lacquers Plastic packing tray
Composition of the product	7% Protein 1.5% Fat 14% Total Solids
Preservation from chemical composition	pH < 4.5
Microcidal treatment	Pasteurized > 71.7 °C > 15 seconds
Shelf life	14 Days
Storage temperature	< 8 ° C
Consumers	All groups including elderly and children

Document Reference HM 002 HACCP Product Description
Revision 0 1st August 2022
Owned by: Technical Manager
Authorized by: General Manager

Sample HACCP Flow Diagram PPT is included in the package documents and can be edited

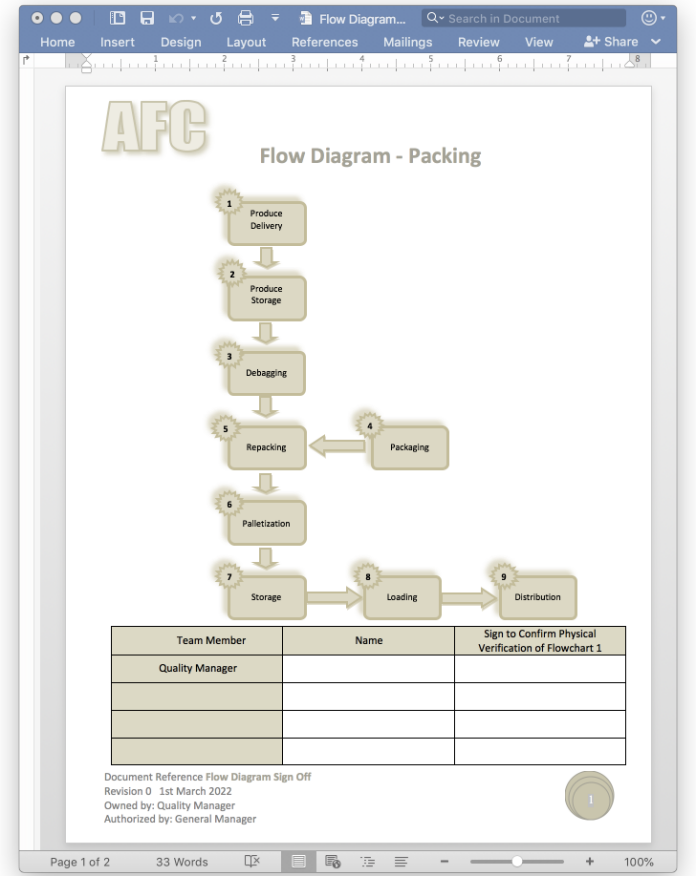


The steps in the process should be logged:

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

Task 23 On-site confirmation of flow diagram

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.



Task 24 List all potential hazards that are likely to occur and associated with each step

The Food Safety Team should now identify and list all the potential hazards that are likely to occur and associated with each step for each product and process category.

The Food Safety Team should identify hazards taking into account the steps preceding and following the specified operation, process equipment, process service and surroundings and preceding and following links in the food chain.

The Food Safety Team should record the food safety hazards that are reasonably likely to occur for each product and process category in each process facility as identified by the information gathered in the steps so far:

- HACCP Scope
- Raw Materials
- Product Description
- Intended Use
- HACCP Flow charts
- Description of Process Steps

International Food Safety & Quality Network

Hazard Analysis Prompt

Hazard Analysis Prompt	Answers in Detail
Are the raw materials, ingredients or food contact packaging likely to have chemical, biological or physical hazards present?	
Are there any characteristics in the composition of the food during which can prevent a hazard? E.g. Preservatives, pH, Water Activity	
Does the food permit survival or multiplication of pathogens and at which stages?	
Does the process include a controllable step that destroys pathogens or their toxins? (Consider spores)	
Is it possible the product could be subject to recontamination?	
Is product contamination (consider direct and indirect contamination) with hazardous microbiological organisms from equipment, process environment or personnel likely to occur?	
Is product contamination (consider direct and indirect contamination) with hazardous chemical substances from equipment, process environment or personnel likely to occur?	
Is product contamination (consider direct and indirect contamination) with hazardous physical objects from equipment, process environment or personnel likely to occur?	
Is it likely that the food contains viable spore forming pathogens?	
Is it likely that the food contains viable non-spore forming pathogens?	
What is the normal microbial content of the food stored under proper conditions?	
Does the microbial population increase during the time the food is stored before consumption?	
Does that increase in microbial population alter the safety of the food?	
Does the layout of the facility provide an adequate separation of raw materials from ready-to-eat foods?	
Will the equipment provide the time and temperature control that is necessary to meet critical limits?	
Is the equipment reliable or is it prone to frequent breakdowns?	

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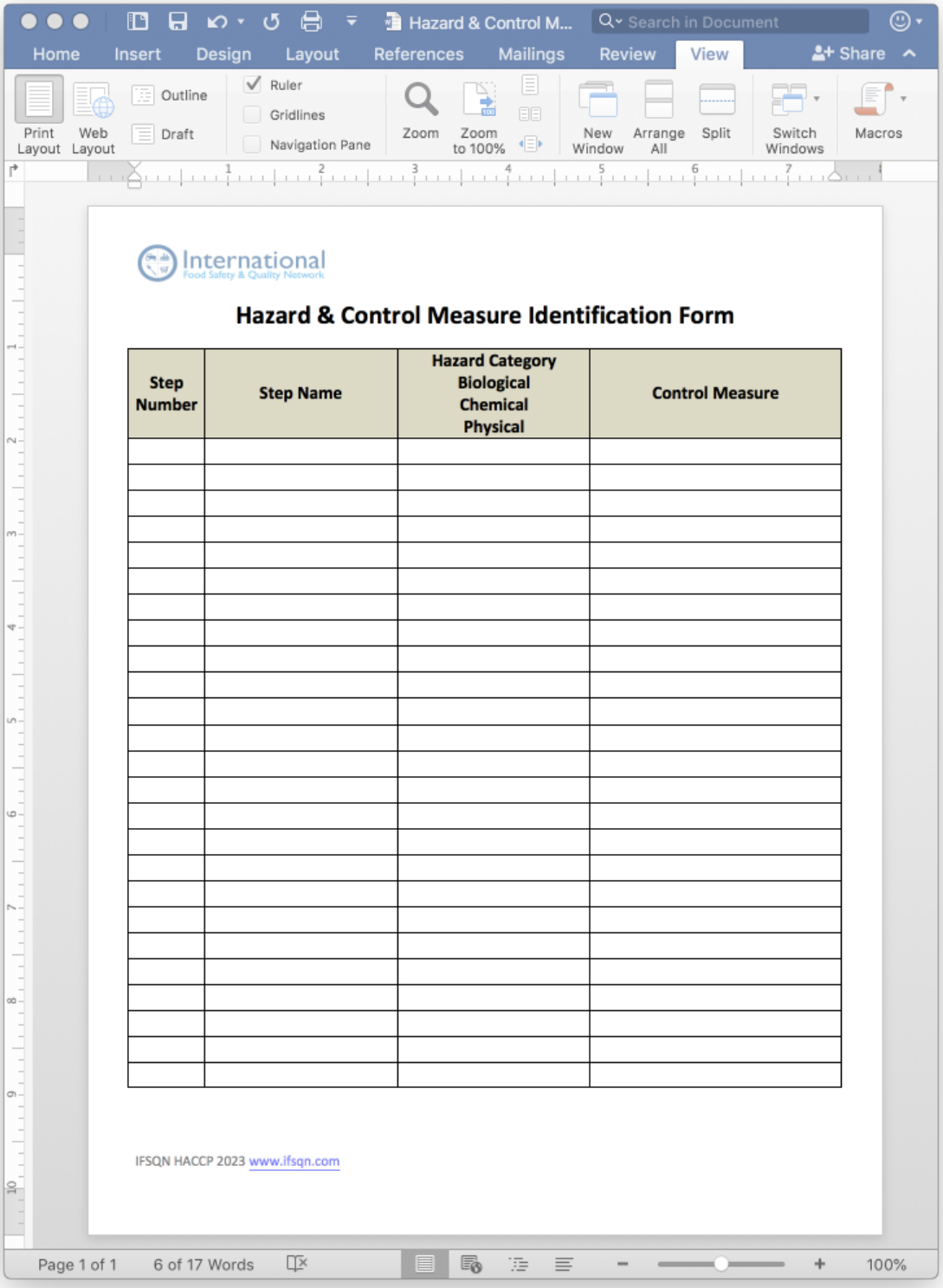
The food safety team can also use the Hazard & Control Measure Identification Form included in the Sample HACCP Documents Folder to log Hazards & Control Measures:



**** 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 …

Task 25 Conduct a hazard analysis to identify the significant hazards

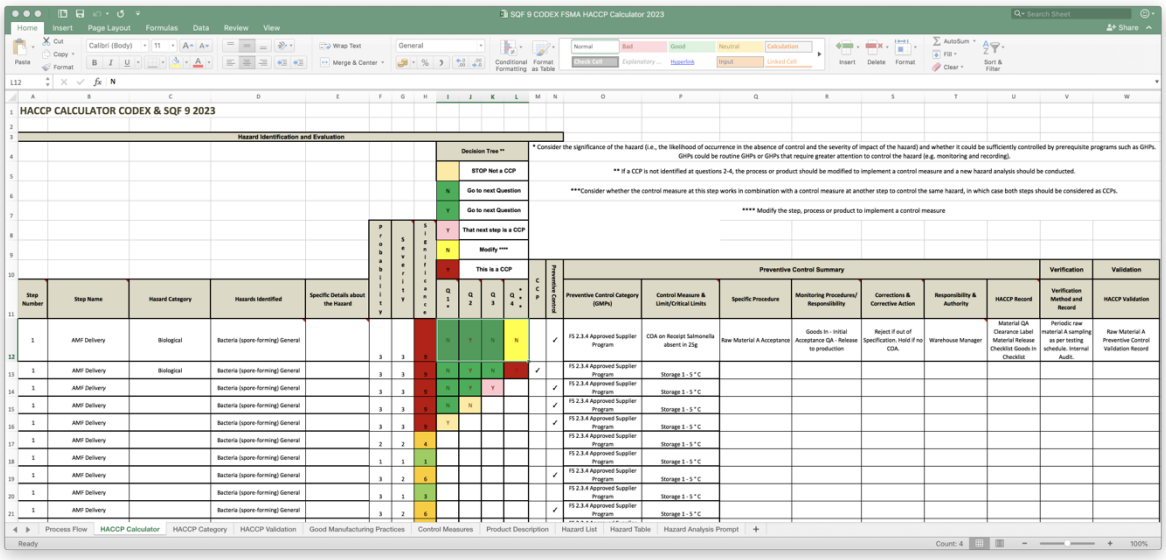
The food safety team perform a food safety hazard analysis to identify and document significant food safety hazards

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.

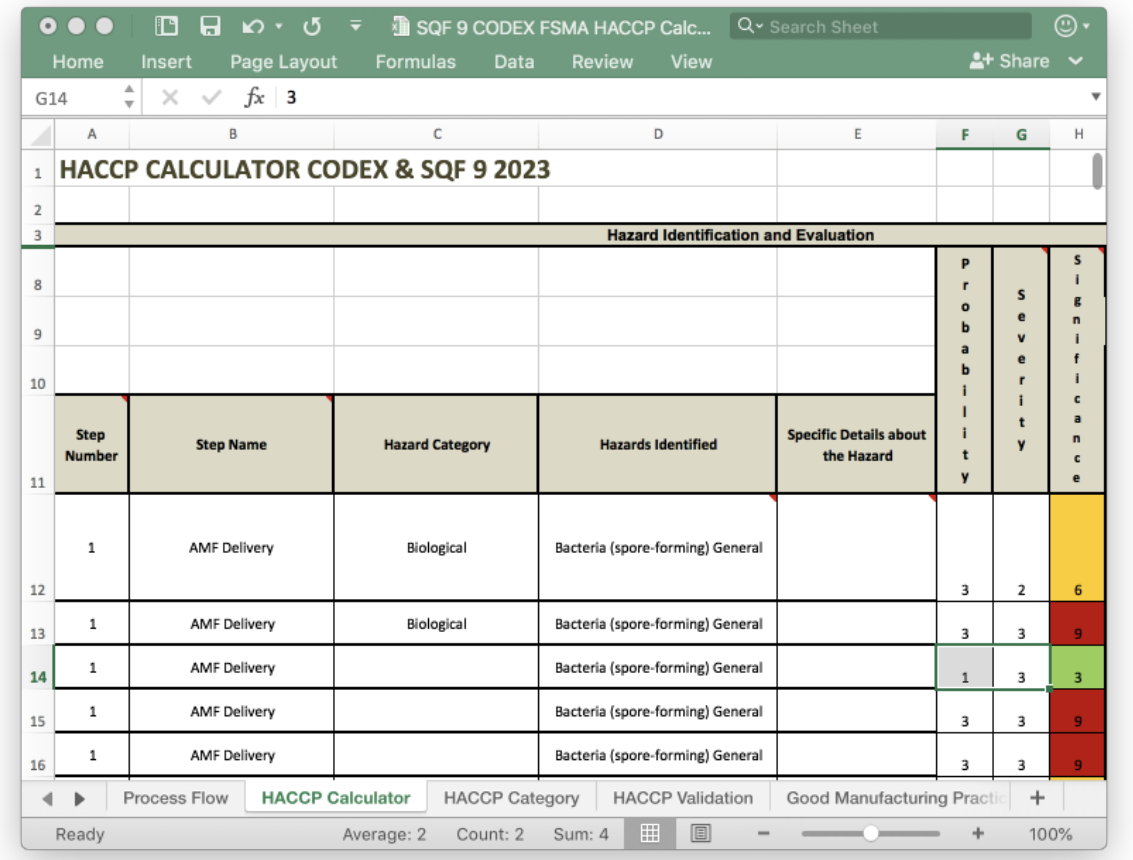
§117.130 Hazard analysis.
(a) Requirement for a hazard analysis.
(1) You must conduct a hazard analysis to identify and evaluate, based on experience, illness data, scientific reports, and other information, known or reasonably foreseeable hazards for each type of food manufactured, processed, packed, or held at your facility to determine whether there are any hazards requiring a preventive control.
(2) The hazard analysis must be written regardless of its outcome.

Step Number	Step Name	Hazards Identified
1	Delivery of Material A	Stones
1	Delivery of Material A	Campylobacter spp.
1	Delivery of Material A	Contamination with Bacteria from pests
1	Delivery of Material A	Pesticides

This information can be logged in the SQF 9 CODEX FSMA HACCP Calculator 2023:



This process is assisted using the worksheet Hazard Calculator of SQF 9 CODEX FSMA HACCP Calculator 2023:



Taking these factors into account a rating is given for probability and severity. Use the SQF 9 CODEX FSMA HACCP Calculator 2023 to assist

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

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

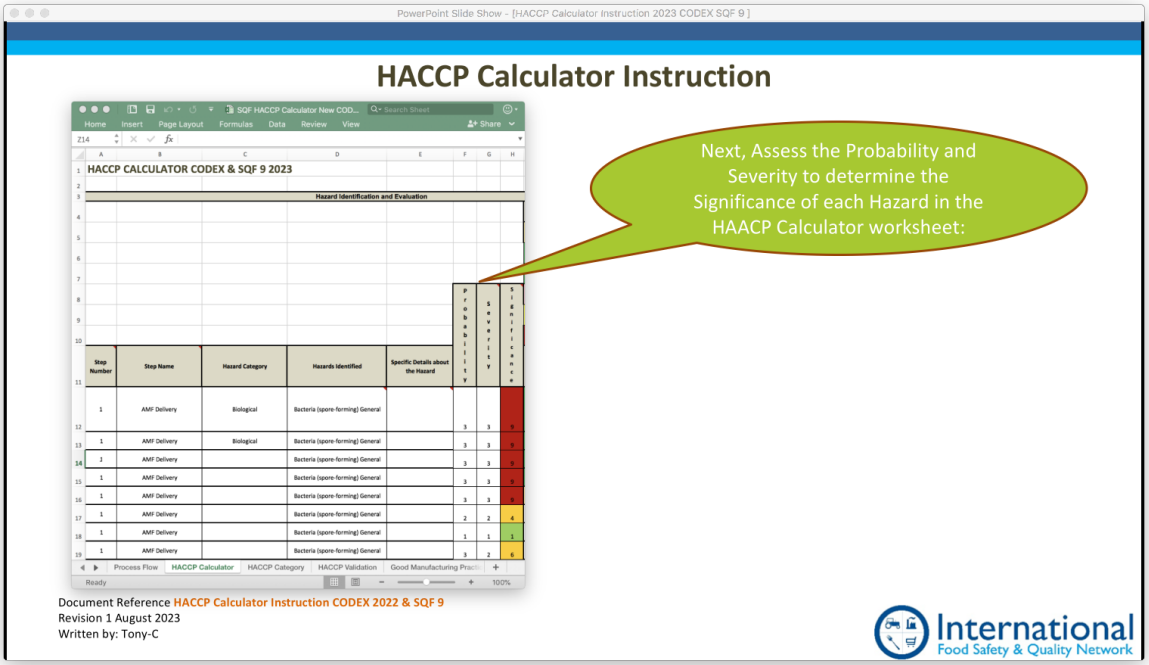
Then the Food Safety Team assess the severity of the hazard:

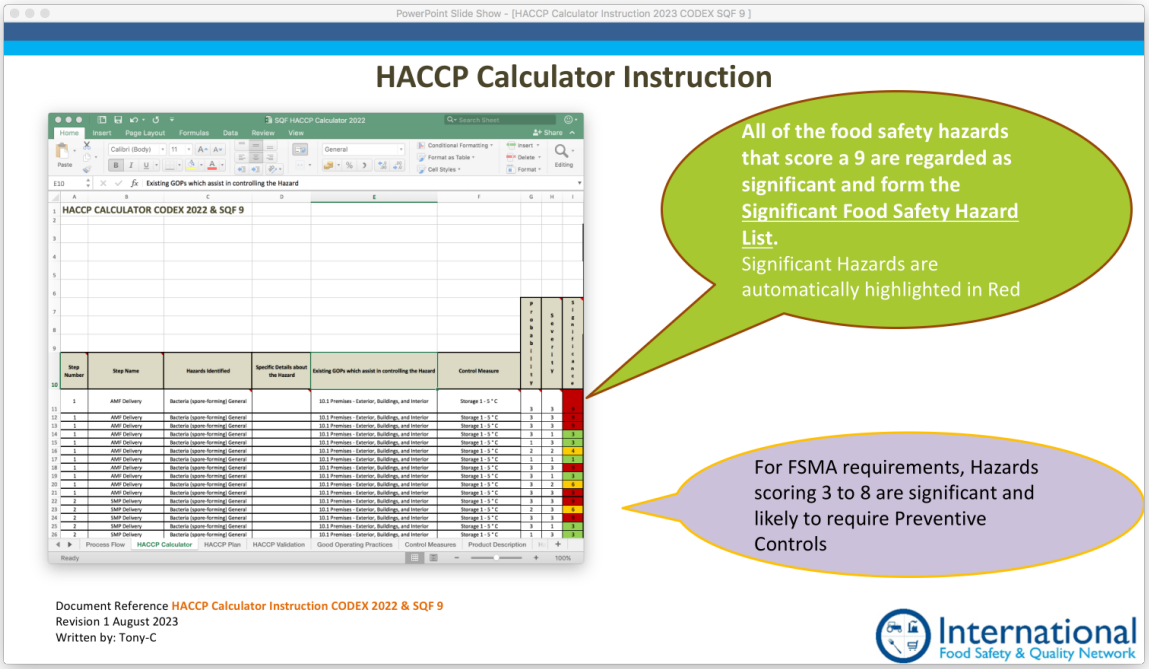
- 1 for Not Severe
- 2 for Could possibly cause illness
- 3 for Severe (Could be fatal)

The Food Safety team should 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.

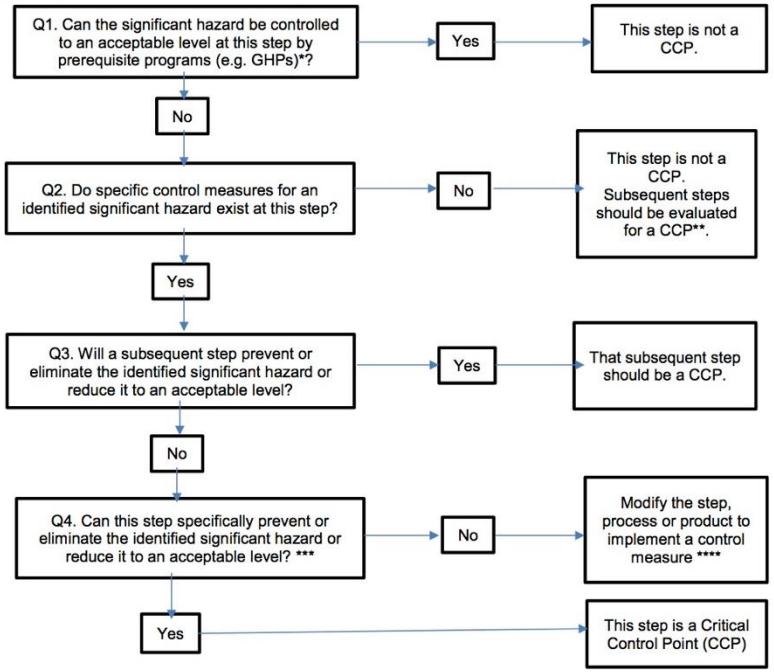
The SQF HACCP Calculator provided can be used to assist in this process.





Task 27 The food safety team identify critical control points (CCP)s for significant food safety hazards

Hazard Assessment is carried out using the HACCP decision tree. Hazards identified at critical control points by the decision tree are controlled in the Food Safety/HACCP Plan. Significant hazards that are not critical are also validated.



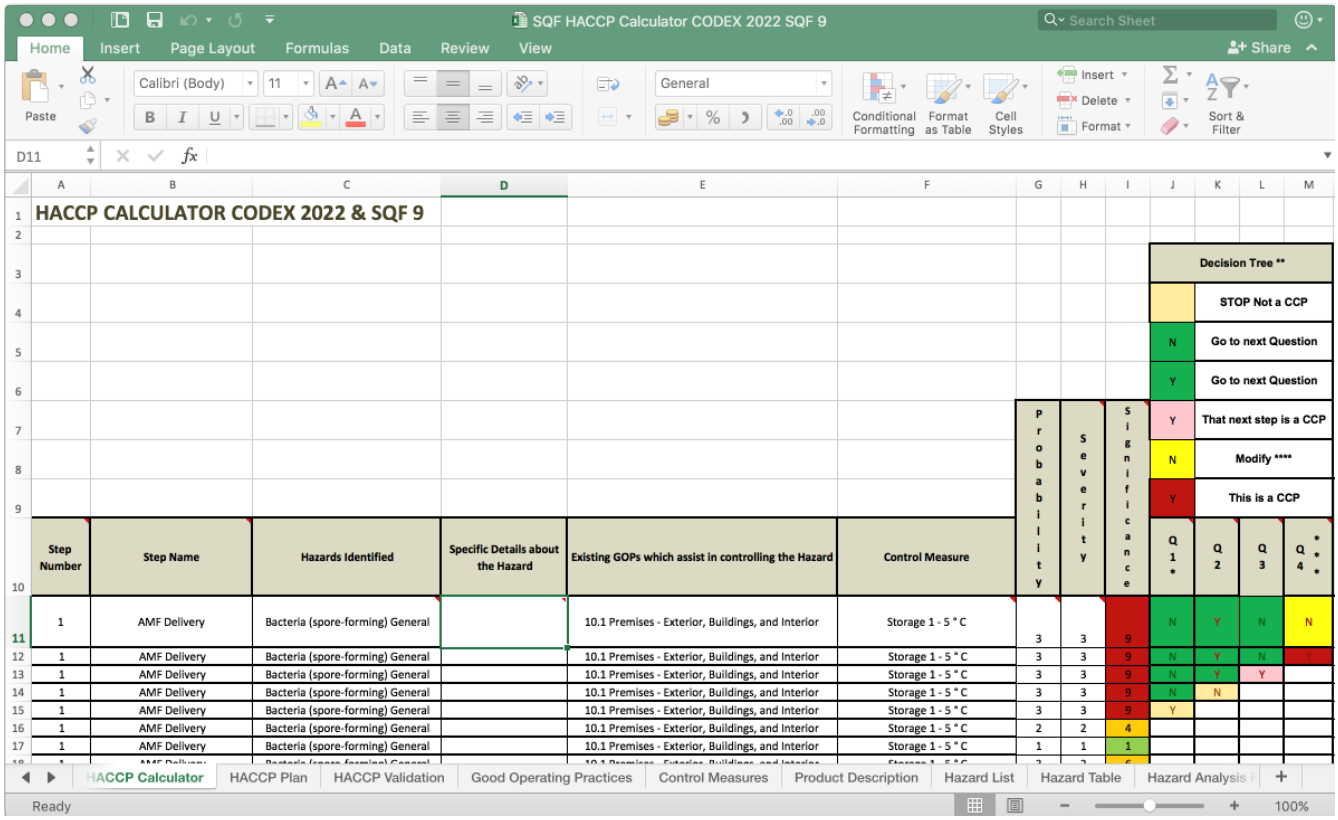
* Consider the significance of the hazard (i.e., the likelihood of occurrence in the absence of control and the severity of impact of the hazard) and whether it could be sufficiently controlled by prerequisite programs such as GHPs. GHPs could be routine GHPs or GHPs that require greater attention to control the hazard (e.g. monitoring and recording).
** If a CCP is not identified at questions 2-4, the process or product should be modified to implement a control measure and a new hazard analysis should be conducted.
***Consider whether the control measure at this step works in combination with a control measure at another step to control the same hazard, in which case both steps should be considered as CCPs.
****Return to the beginning of the decision tree after a new hazard analysis.

Task 27 The food safety team identify critical control points (CCP)s for each food safety hazard

Critical Control Points are established using the decision tree as the latest step in the flow path where controls can be effectively administered for a particular Significant Food Safety Hazards.

The Hazard Assessment is conducted using the HACCP Calculator (SQF 9 CODEX FSMA HACCP Calculator 2023 xlsx file) to answer the decision tree questions and indicate the critical control points.

The Hazard Analysis:



The HACCP Calculator highlights significant hazards and critical control points in dark red.

Control of GMP(s)

GMP(s) for significant hazards are documented by the HACCP Team and include details of the Hazards to be controlled, the control measures applied, the monitoring procedures (parameters, frequency and records), corrections and corrective actions to be taken when outside acceptable limits. For each control measure and GMP(s) responsibility and authority is defined.

If a significant hazard is identified at a step in the process, but no control measure exists, then the process has to be modified to include an appropriate control measure.

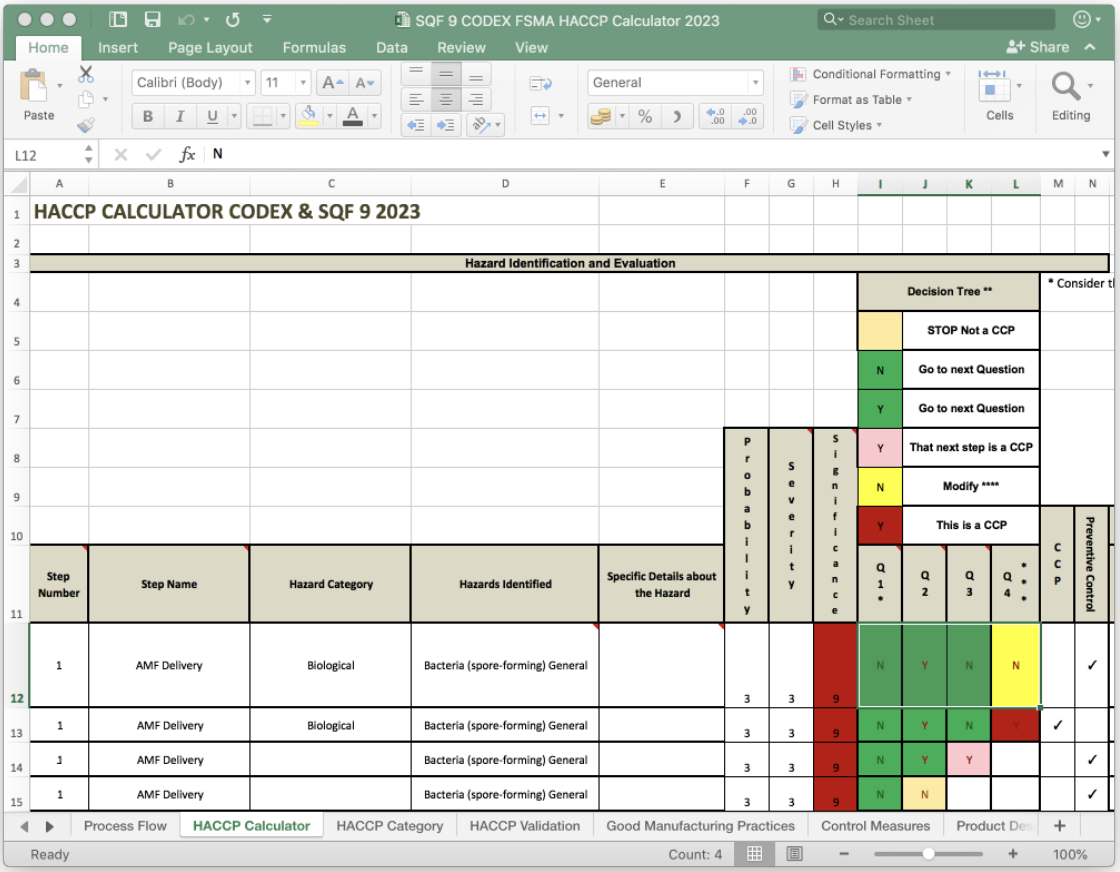
Control Measure Validation

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:			

**** 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 and Preventive Controls Presentation and the SQF 9 CODEX FSMA HACCP Calculator Instructions 2023, then document Preventive Controls and CCPs in a Food Safety Plan.

Use SQF 9 CODEX FSMA HACCP Calculator 2023 Excel file:



HACCP CALCULATOR CODEX & SQF 9 2023

Hazard Identification and Evaluation

Decision Tree **

	STOP Not a CCP
N	Go to next Question
Y	Go to next Question
Y	That next step is a CCP
N	Modify ****
Y	This is a CCP

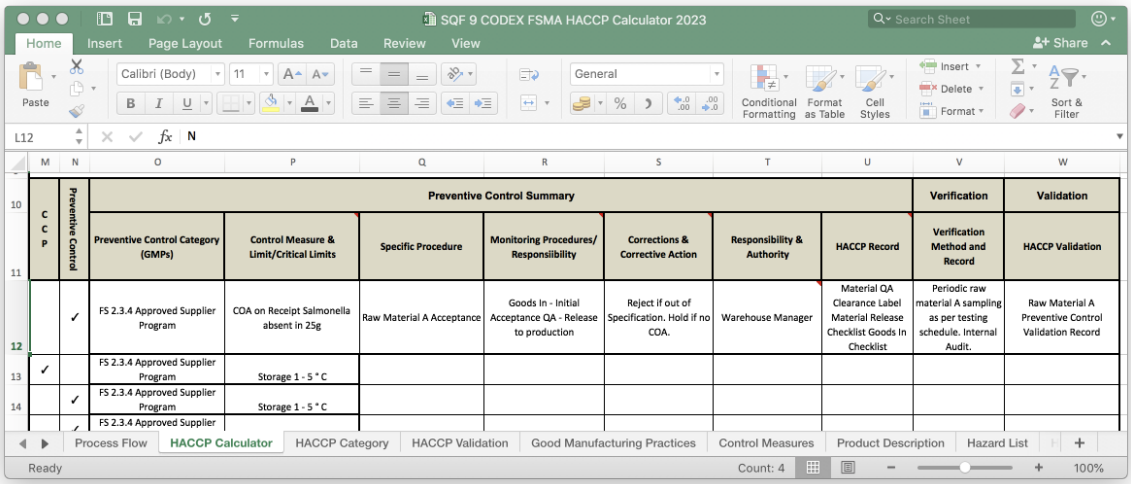
* Consider t

Step Number	Step Name	Hazard Category	Hazards Identified	Specific Details about the Hazard	Probability	Severity	Significance	Q 1 *	Q 2	Q 3	Q 4 * * *	CCP	Preventive Control
1	AMF Delivery	Biological	Bacteria (spore-forming) General		3	3	9	N	Y	N	N		✓
1	AMF Delivery	Biological	Bacteria (spore-forming) General		3	3	9	N	Y	N	Y	✓	
1	AMF Delivery		Bacteria (spore-forming) General		3	3	9	N	Y	Y			✓
1	AMF Delivery		Bacteria (spore-forming) General		3	3	9	N	N				✓

Process Flow | HACCP Calculator | HACCP Category | HACCP Validation | Good Manufacturing Practices | Control Measures | Product Des

Ready Count: 4 100%

Hazards requiring a Preventive Control need to be in the Food Safety Plan:

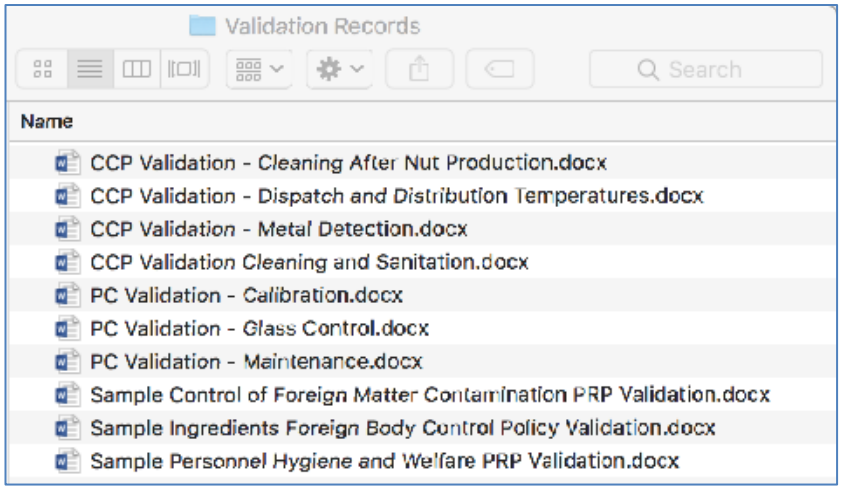


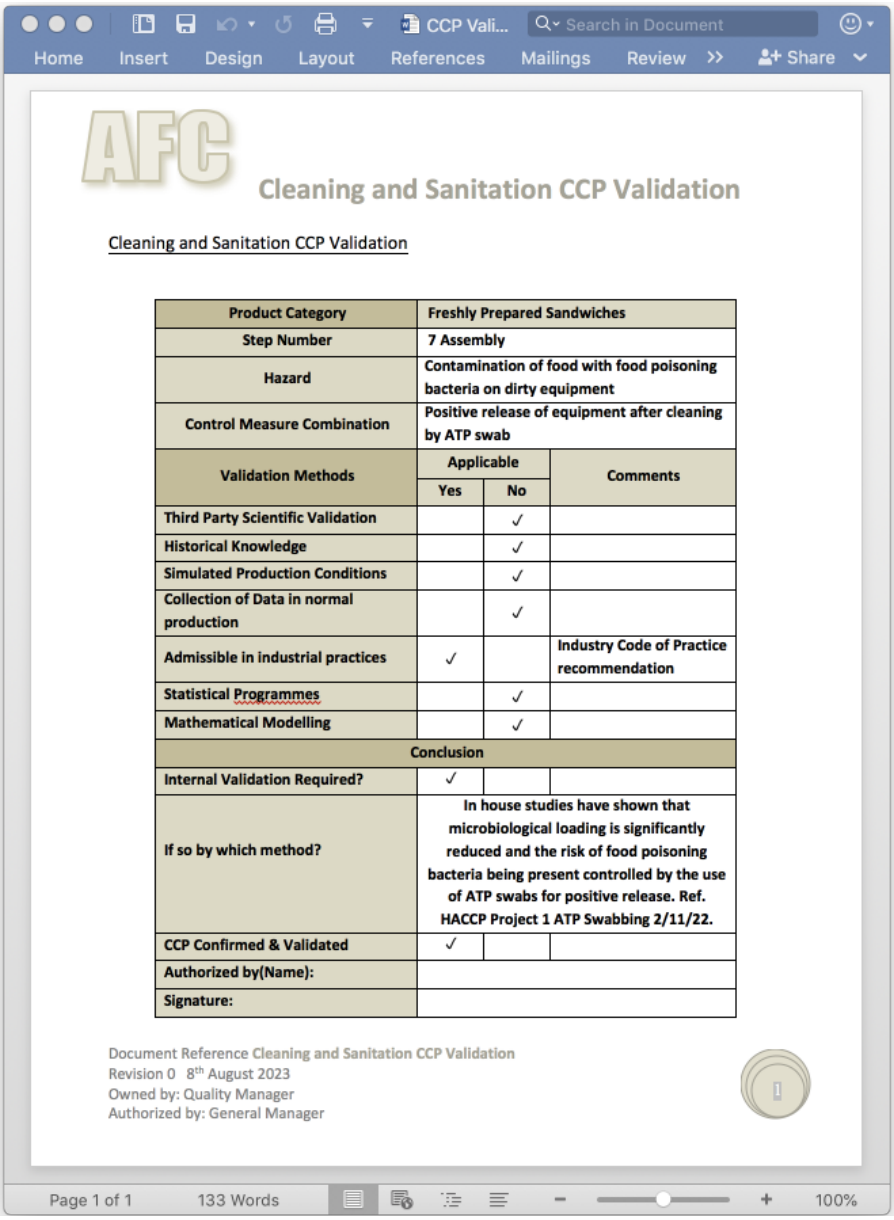
CCP	Preventive Control	Preventive Control Summary: Preventive Control Category (GMPs)	Control Measure & Limit/Critical Limits	Specific Procedure	Monitoring Procedures/ Responsibility	Corrections & Corrective Action	Responsibility & Authority	HACCP Record	Verification: Verification Method and Record	Validation: HACCP Validation
	✓	FS 2.3.4 Approved Supplier Program	COA on Receipt Salmonella absent in 25g	Raw Material A Acceptance	Goods In - Initial Acceptance QA - Release to production	Reject if out of Specification. Hold if no COA.	Warehouse Manager	Material QA Clearance Label Material Release Checklist Goods In Checklist	Periodic raw material A sampling as per testing schedule. Internal Audit.	Raw Material A Preventive Control Validation Record
✓		FS 2.3.4 Approved Supplier Program	Storage 1 - 5 °C							
	✓	FS 2.3.4 Approved Supplier Program	Storage 1 - 5 °C							
		FS 2.3.4 Approved Supplier								

Process Flow | HACCP Calculator | HACCP Category | HACCP Validation | Good Manufacturing Practices | Control Measures | Product Description | Hazard List

Ready Count: 4 100%

Remember there are sample Validation Records included in the package





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Cleaning and Sanitation CCP Validation

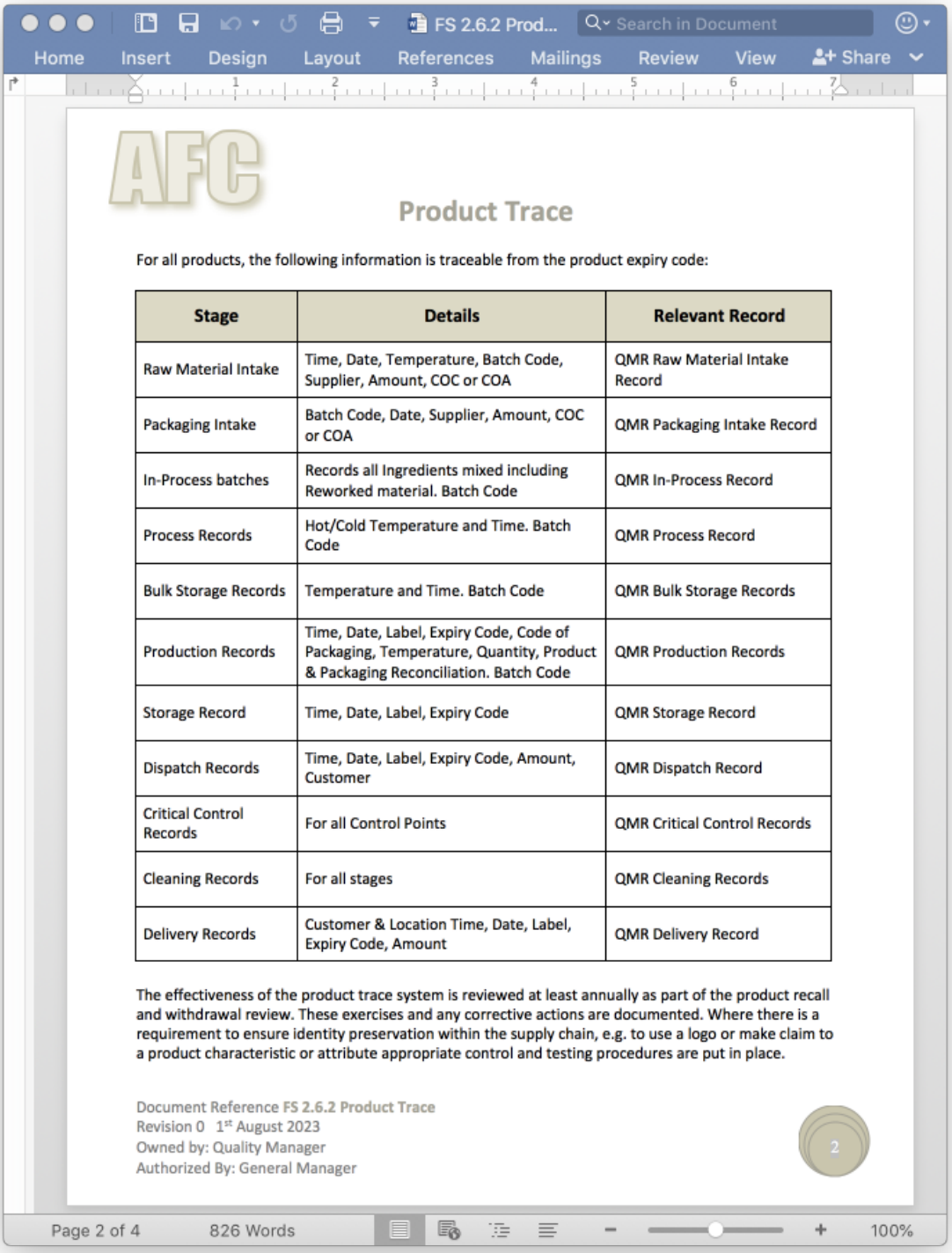
Cleaning and Sanitation CCP Validation

Product Category	Freshly Prepared Sandwiches		
Step Number	7 Assembly		
Hazard	Contamination of food with food poisoning bacteria on dirty equipment		
Control Measure Combination	Positive release of equipment after cleaning by ATP swab		
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	✓		Industry Code of Practice recommendation
Statistical Programmes		✓	
Mathematical Modelling		✓	
Conclusion			
Internal Validation Required?	✓		
If so by which method?	In house studies have shown that microbiological loading is significantly reduced and the risk of food poisoning bacteria being present controlled by the use of ATP swabs for positive release. Ref. HACCP Project 1 ATP Swabbing 2/11/22.		
CCP Confirmed & Validated	✓		
Authorized by(Name):			
Signature:			

Document Reference Cleaning and Sanitation CCP Validation
Revision 0 8th August 2023
Owned by: Quality Manager
Authorized by: General Manager

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

Task 35: The management establish a product traceability system - FS 2.6.2 Product Trace



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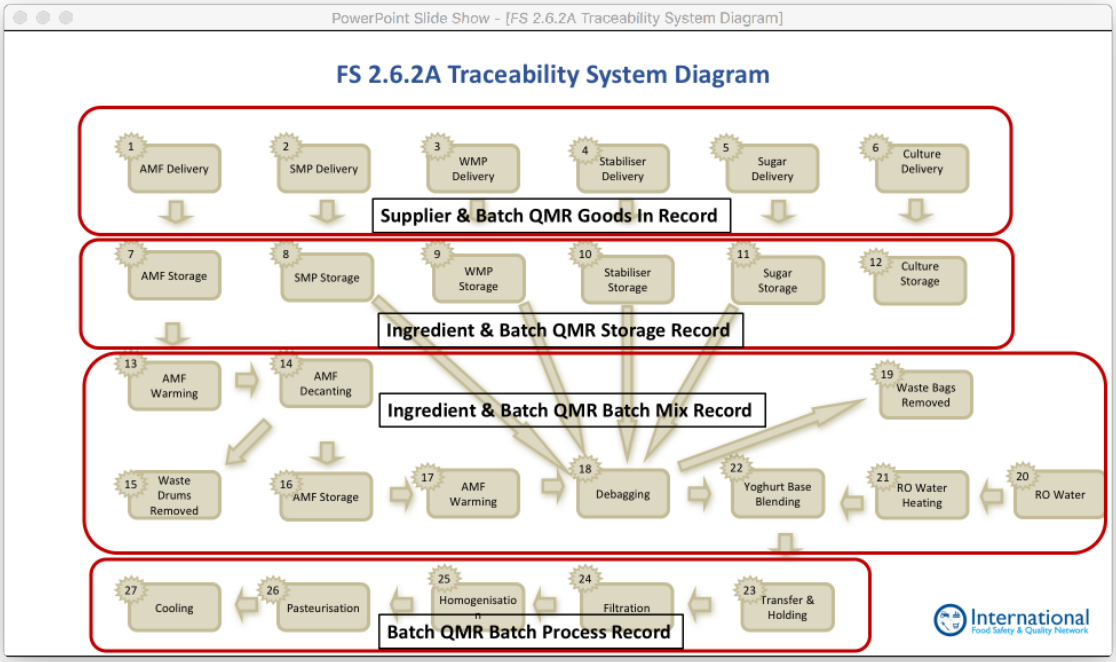
Product Trace

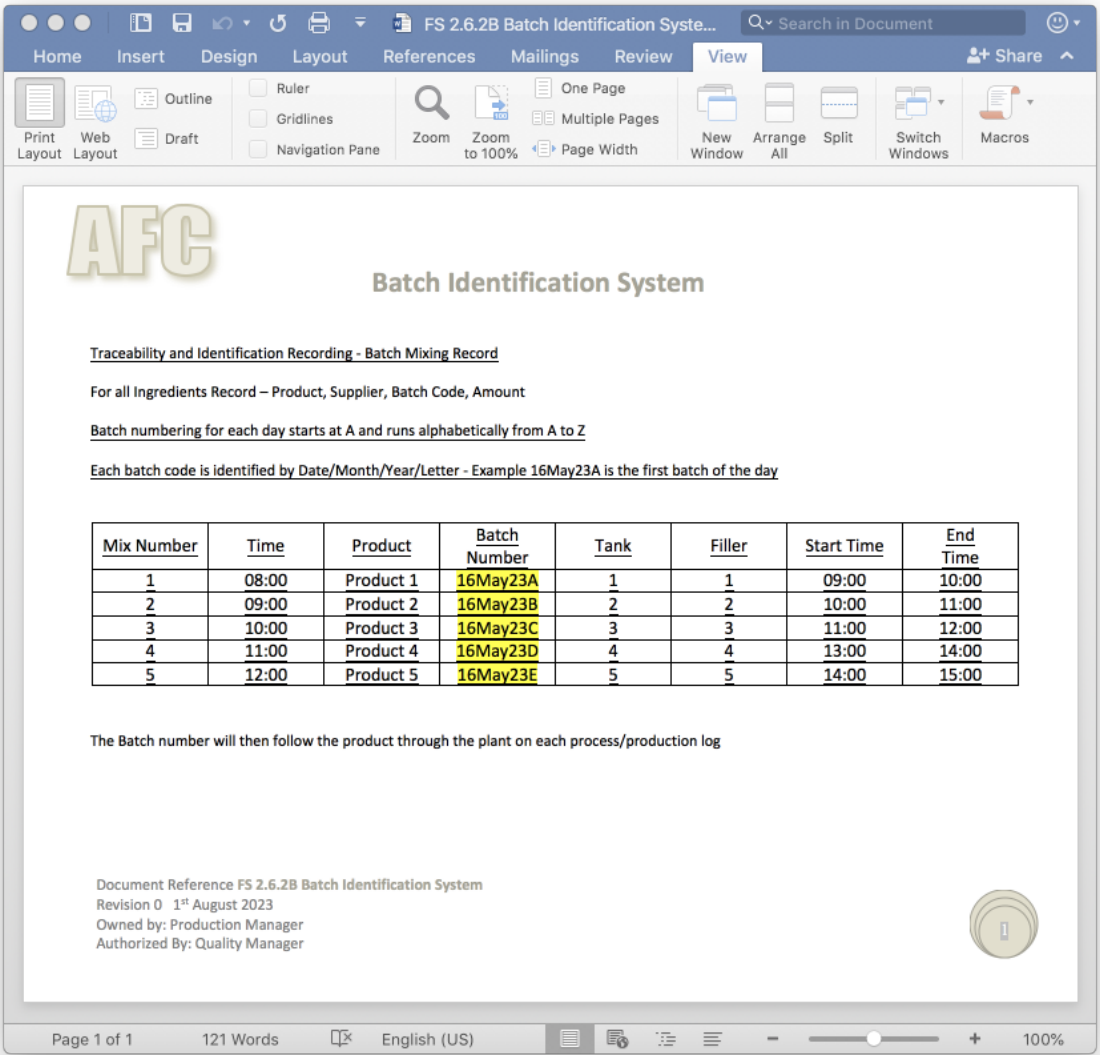
For all products, the following information is traceable from the product expiry code:

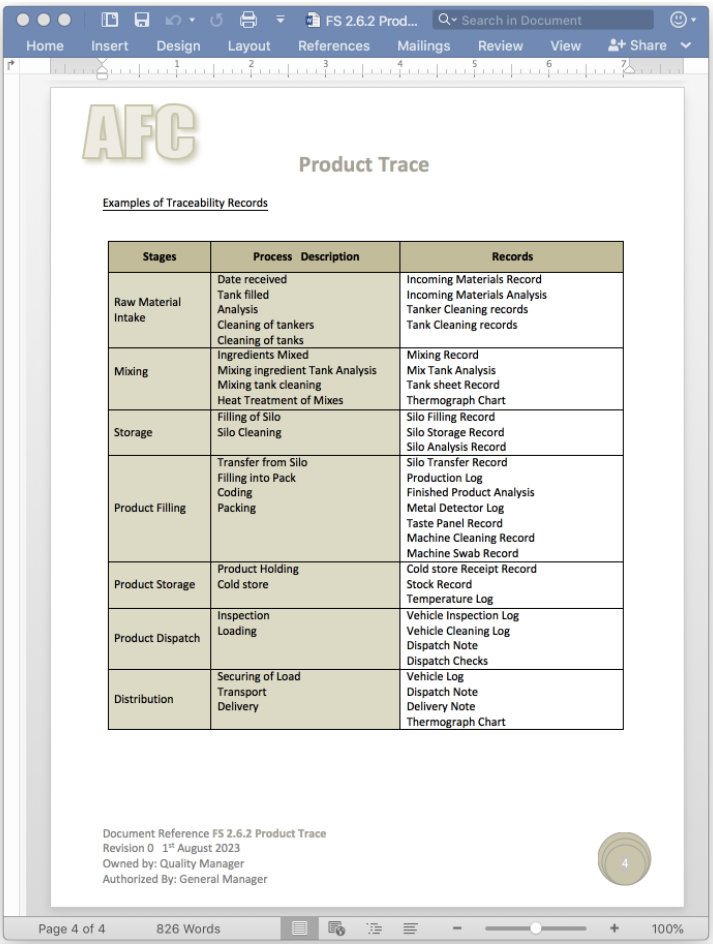
Stage	Details	Relevant Record
Raw Material Intake	Time, Date, Temperature, Batch Code, Supplier, Amount, COC or COA	QMR Raw Material Intake Record
Packaging Intake	Batch Code, Date, Supplier, Amount, COC or COA	QMR Packaging Intake Record
In-Process batches	Records all Ingredients mixed including Reworked material. Batch Code	QMR In-Process Record
Process Records	Hot/Cold Temperature and Time. Batch Code	QMR Process Record
Bulk Storage Records	Temperature and Time. Batch Code	QMR Bulk Storage Records
Production Records	Time, Date, Label, Expiry Code, Code of Packaging, Temperature, Quantity, Product & Packaging Reconciliation. Batch Code	QMR Production Records
Storage Record	Time, Date, Label, Expiry Code	QMR Storage Record
Dispatch Records	Time, Date, Label, Expiry Code, Amount, Customer	QMR Dispatch Record
Critical Control Records	For all Control Points	QMR Critical Control Records
Cleaning Records	For all stages	QMR Cleaning Records
Delivery Records	Customer & Location Time, Date, Label, Expiry Code, Amount	QMR Delivery Record

The effectiveness of the product trace system is reviewed at least annually as part of the product recall and withdrawal review. These exercises and any corrective actions are documented. Where there is a requirement to ensure identity preservation within the supply chain, e.g. to use a logo or make claim to a product characteristic or attribute appropriate control and testing procedures are put in place.

Document Reference FS 2.6.2 Product Trace
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized By: General Manager


PowerPoint Slide Show - [FS 2.6.2A Traceability System Diagram]
FS 2.6.2A Traceability System Diagram
1 AMF Delivery
2 SMP Delivery
3 WMP Delivery
4 Stabiliser Delivery
5 Sugar Delivery
6 Culture Delivery
Supplier & Batch QMR Goods In Record
7 AMF Storage
8 SMP Storage
9 WMP Storage
10 Stabiliser Storage
11 Sugar Storage
12 Culture Storage
Ingredient & Batch QMR Storage Record
13 AMF Warming
14 AMF Decanting
Ingredient & Batch QMR Batch Mix Record
19 Waste Bags Removed
15 Waste Drums Removed
16 AMF Storage
17 AMF Warming
18 Debagging
22 Yoghurt Base Blending
21 RO Water Heating
20 RO Water
27 Cooling
26 Pasteurisation
25 Homogenisation
24 Filtration
23 Transfer & Holding
Batch QMR Batch Process Record
International


FS 2.6.2B Batch Identification Syste...
Search in Document
Home Insert Design Layout References Mailings Review View
Share
Print Layout
Web Layout
Outline
Draft
Ruler
Gridlines
Navigation Pane
Zoom
Zoom to 100%
One Page
Multiple Pages
Page Width
New Window
Arrange All
Split
Switch Windows
Macros
AFC
Batch Identification System
Traceability and Identification Recording - Batch Mixing Record
For all Ingredients Record – Product, Supplier, Batch Code, Amount
Batch numbering for each day starts at A and runs alphabetically from A to Z
Each batch code is identified by Date/Month/Year/Letter - Example 16May23A is the first batch of the day
Mix Number | Time | Product | Batch Number | Tank | Filler | Start Time | End Time
1 | 08:00 | Product 1 | 16May23A | 1 | 1 | 09:00 | 10:00
2 | 09:00 | Product 2 | 16May23B | 2 | 2 | 10:00 | 11:00
3 | 10:00 | Product 3 | 16May23C | 3 | 3 | 11:00 | 12:00
4 | 11:00 | Product 4 | 16May23D | 4 | 4 | 13:00 | 14:00
5 | 12:00 | Product 5 | 16May23E | 5 | 5 | 14:00 | 15:00
The Batch number will then follow the product through the plant on each process/production log
Document Reference FS 2.6.2B Batch Identification System
Revision 0 1st August 2023
Owned by: Production Manager
Authorized By: Quality Manager
Page 1 of 1
121 Words
English (US)
100%



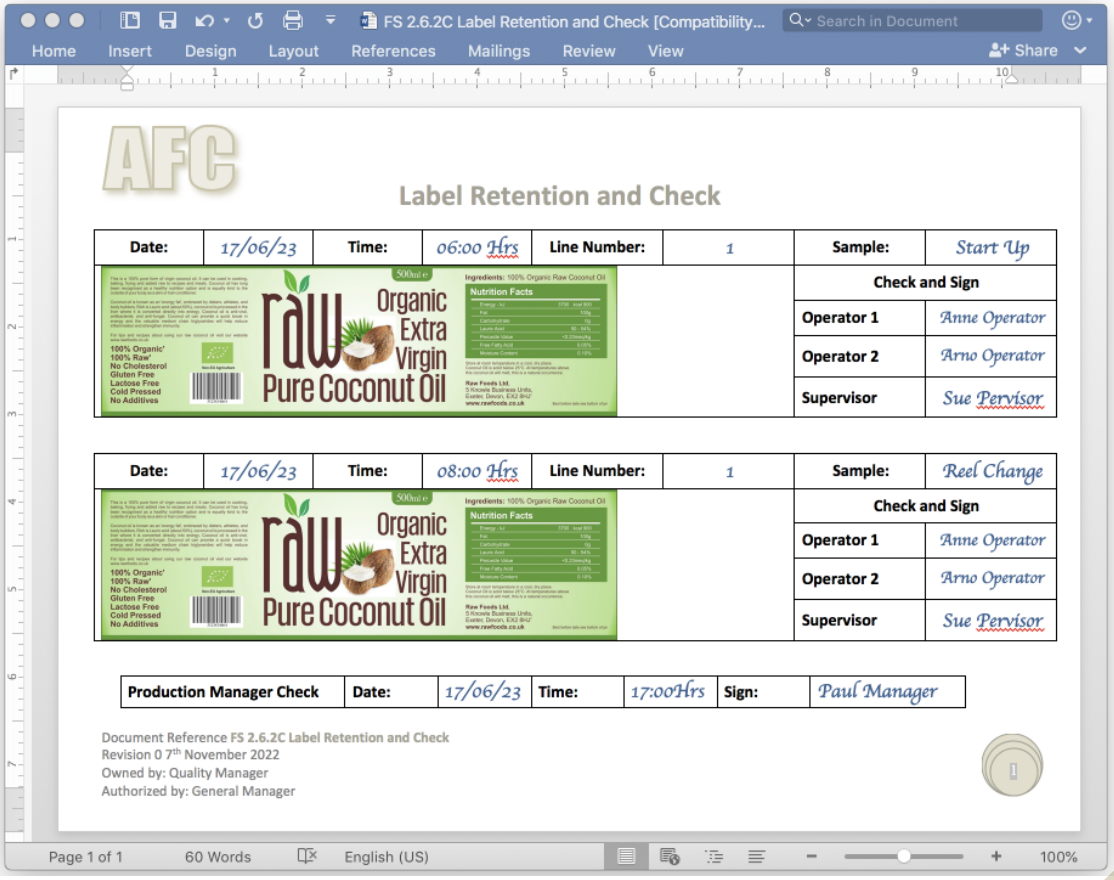
AFC

Product Trace

Examples of Traceability Records

Stages	Process Description	Records
Raw Material Intake	Date received Tank filled Analysis Cleaning of tankers Cleaning of tanks	Incoming Materials Record Incoming Materials Analysis Tanker Cleaning records Tank Cleaning records
Mixing	Ingredients Mixed Mixing ingredient Tank Analysis Mixing tank cleaning Heat Treatment of Mixes	Mixing Record Mix Tank Analysis Tank sheet Record Thermograph Chart
Storage	Filling of Silo Silo Cleaning	Silo Filling Record Silo Storage Record Silo Analysis Record
Product Filling	Transfer from Silo Filling into Pack Coding Packing	Silo Transfer Record Production Log Finished Product Analysis Metal Detector Log Taste Panel Record Machine Cleaning Record Machine Swab Record
Product Storage	Product Holding Cold store	Cold store Receipt Record Stock Record Temperature Log
Product Dispatch	Inspection Loading	Vehicle Inspection Log Vehicle Cleaning Log Dispatch Note Dispatch Checks
Distribution	Securing of Load Transport Delivery	Vehicle Log Dispatch Note Delivery Note Thermograph Chart

Document Reference FS 2.6.2 Product Trace
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized By: General Manager



AFC

Label Retention and Check

Date:	17/06/23	Time:	06:00 Hrs	Line Number:	1	Sample:	Start Up
						Check and Sign	
						Operator 1	Anne Operator
						Operator 2	Arno Operator
						Supervisor	Sue Pervisor

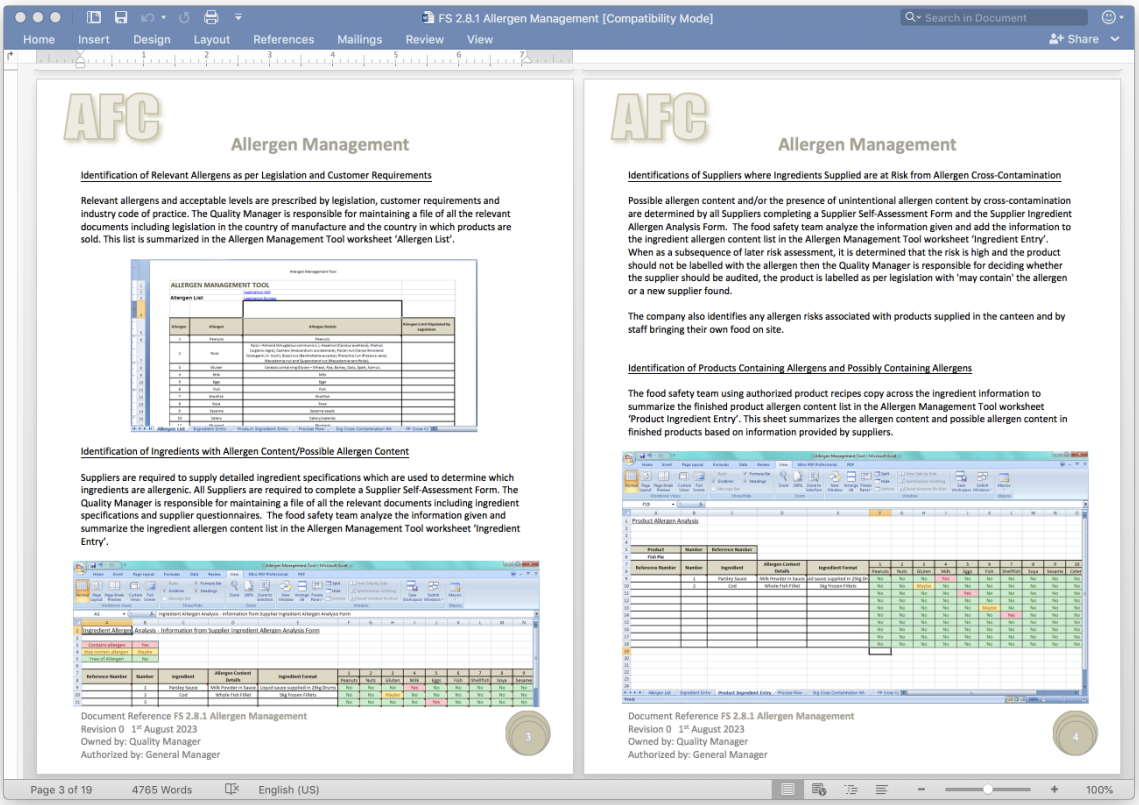
Date:	17/06/23	Time:	08:00 Hrs	Line Number:	1	Sample:	Reel Change
						Check and Sign	
						Operator 1	Anne Operator
						Operator 2	Arno Operator
						Supervisor	Sue Pervisor

Production Manager Check	Date:	17/06/23	Time:	17:00Hrs	Sign:	Paul Manager

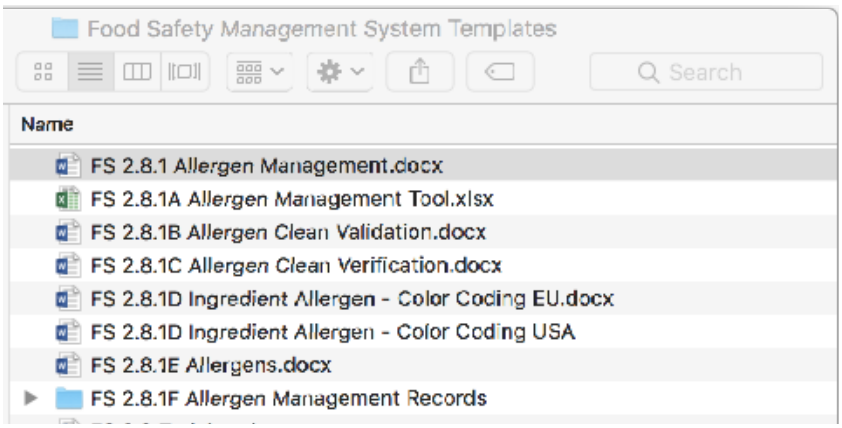
Document Reference FS 2.6.2C Label Retention and Check
Revision 0 7th November 2022
Owned by: Quality Manager
Authorized by: General Manager

Task 37 A system is put in place to control allergens

A comprehensive Allergen Management procedure is included – Use FS 2.8 Allergen Management as a document template.

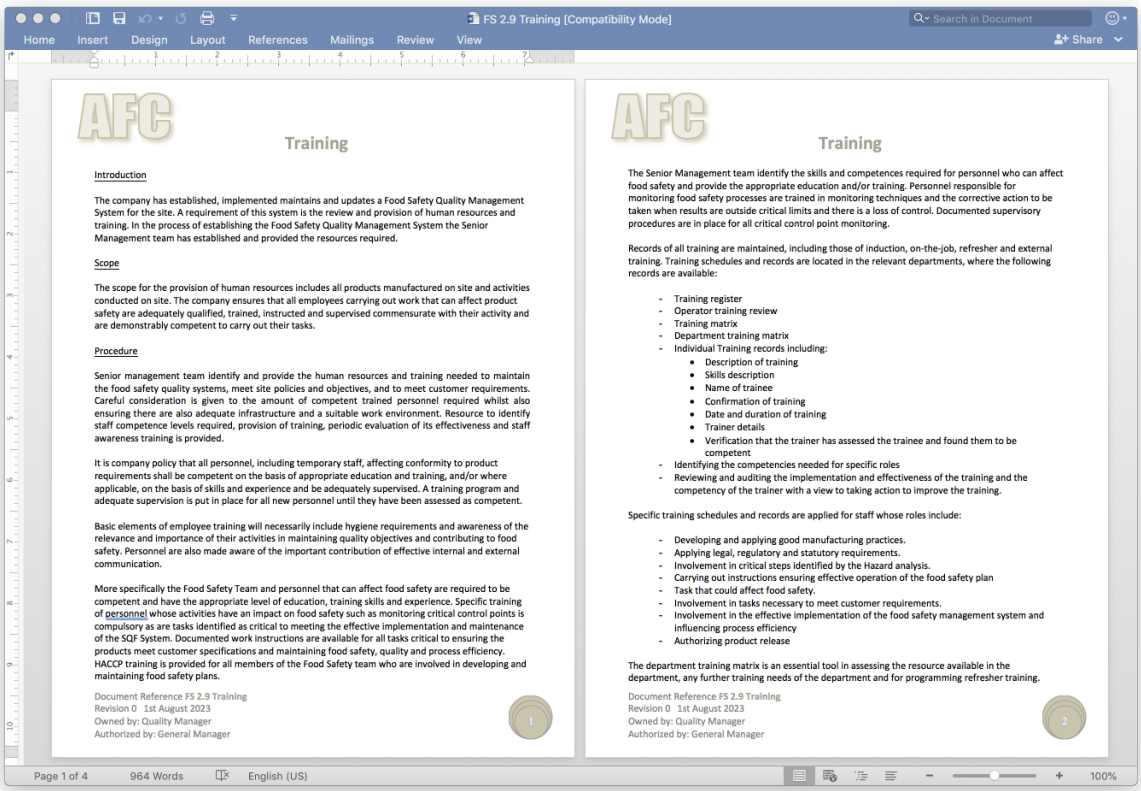


Other documents tools in the package for allergen management include:
FS 2.7.2A Food Fraud Assessment Template
FS 2.8 Allergen Management
FS 2.8.1A Allergen Management Tool
FS 2.8.1B Allergen Clean Validation
FS 2.8.1C Allergen Clean Verification
FS 2.8.1D Appendix Ingredient Allergen Management - Color Coding
FS 2.8.1E Allergens
FS 2.8.1F Allergen Management Records



Step Seven: Training

A significant part of the implementation process is training. FS 2.9 Training procedure template is provided.



FS 2.9 Training [Compatibility Mode]

AFC

Training

Introduction

The company has established, implemented maintains and updates a Food Safety Quality Management System for the site. A requirement of this system is the review and provision of human resources and training. In the process of establishing the Food Safety Quality Management System the Senior Management team has established and provided the resources required.

Scope

The scope for the provision of human resources includes all products manufactured on site and activities conducted on site. The company ensures that all employees carrying out work that can affect product safety are adequately qualified, trained, instructed and supervised commensurate with their activity and are demonstrably competent to carry out their tasks.

Procedure

Senior management team identify and provide the human resources and training needed to maintain the food safety quality systems, meet site policies and objectives, and to meet customer requirements. Careful consideration is given to the amount of competent trained personnel required whilst also ensuring there are also adequate infrastructure and a suitable work environment. Resource to identify staff competence levels required, provision of training, periodic evaluation of its effectiveness and staff awareness training is provided.

It is company policy that all personnel, including temporary staff, affecting conformity to product requirements shall be competent on the basis of appropriate education and training, and/or where applicable, on the basis of skills and experience and be adequately supervised. A training program and adequate supervision is put in place for all new personnel until they have been assessed as competent.

Basic elements of employee training will necessarily include hygiene requirements and awareness of the relevance and importance of their activities in maintaining quality objectives and contributing to food safety. Personnel are also made aware of the important contribution of effective internal and external communication.

More specifically the Food Safety Team and personnel that can affect food safety are required to be competent and have the appropriate level of education, training skills and experience. Specific training of personnel whose activities have an impact on food safety such as monitoring critical control points is compulsory as are tasks identified as critical to meeting the effective implementation and maintenance of the SQF System. Documented work instructions are available for all tasks critical to ensuring the products meet customer specifications and maintaining food safety, quality and process efficiency. HACCP training is provided for all members of the Food Safety team who are involved in developing and maintaining food safety plans.

Document Reference FS 2.9 Training
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized by: General Manager

1

AFC

Training

The Senior Management team identify the skills and competences required for personnel who can affect food safety and provide the appropriate education and/or training. Personnel responsible for monitoring food safety processes are trained in monitoring techniques and the corrective action to be taken when results are outside critical limits and there is a loss of control. Documented supervisory procedures are in place for all critical control point monitoring.

Records of all training are maintained, including those of induction, on-the-job, refresher and external training. Training schedules and records are located in the relevant departments, where the following records are available:

- Training register
- Operator training review
- Training matrix
- Department training matrix
- Individual Training records including:
  - Description of training
  - Skills description
  - Name of trainee
  - Confirmation of training
  - Date and duration of training
  - Trainer details
  - Verification that the trainer has assessed the trainee and found them to be competent
- Identifying the competencies needed for specific roles
- Reviewing and auditing the implementation and effectiveness of the training and the competency of the trainer with a view to taking action to improve the training.

Specific training schedules and records are applied for staff whose roles include:

- Developing and applying good manufacturing practices.
- Applying legal, regulatory and statutory requirements.
- Involvement in critical steps identified by the Hazard analysis.
- Carrying out instructions ensuring effective operation of the food safety plan
- Task that could affect food safety.
- Involvement in tasks necessary to meet customer requirements.
- Involvement in the effective implementation of the food safety management system and influencing process efficiency
- Authorizing product release

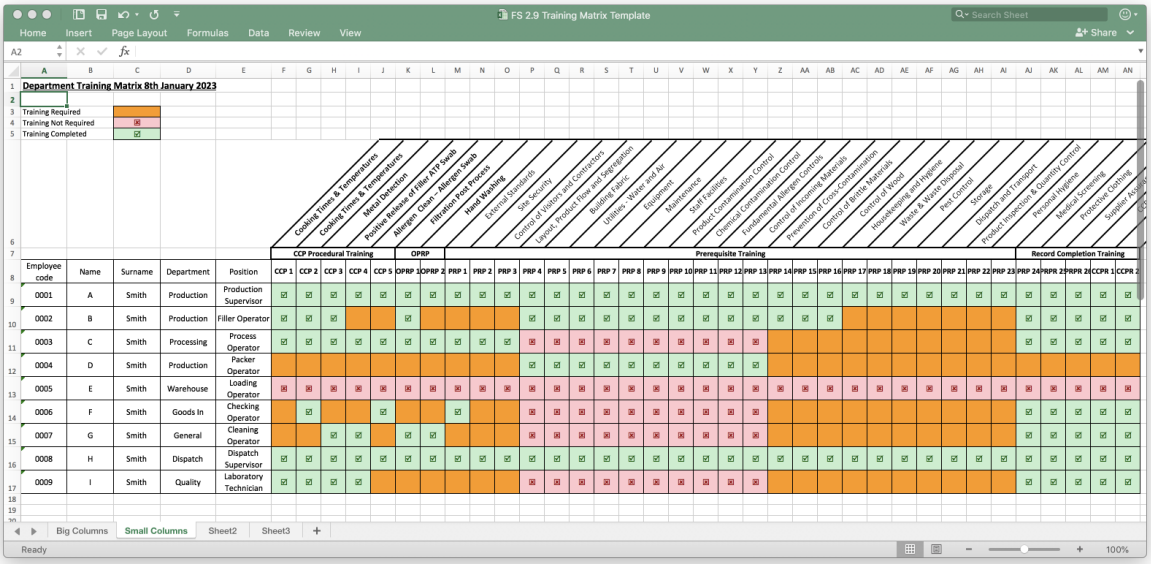
The department training matrix is an essential tool in assessing the resource available in the department, any further training needs of the department and for programming refresher training.

Document Reference FS 2.9 Training
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized by: General Manager

2

Page 1 of 4 964 Words English (US) 100%

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



FS 2.9 Training Matrix Template

Department Training Matrix 8th January 2023

Training Required
Training Not Required ☒
Training Completed ☑

CCP Procedural Training: Cooking Times & Temperatures; Cooling Times & Temperatures; Metal Detection; Positive Release // Filler ATP Swab; Allergen Clean - Allergen Swab; Filtration Post Process
OPRP: Hand Washing
Prerequisite Training: External Standards; Site Security; Control of Visitors and Contractors; Layout, Product Flow and Segregation; Building Fabric; Utilities - Water and Air; Equipment; Maintenance; Staff Facilities; Product Contamination Control; Chemical Contamination Control; Fundamental Allergen Controls; Control of Incoming Materials; Prevention of Cross-Contamination; Control of Brittle Materials; Control of Wood; Housekeeping and Hygiene; Waste & Waste Disposal; Pest Control; Storage; Dispatch and Transport; Product Inspection & Quantity Control; Personal Hygiene; Medical Screening; Protective Clothing; Supplier Approval
Record Completion Training

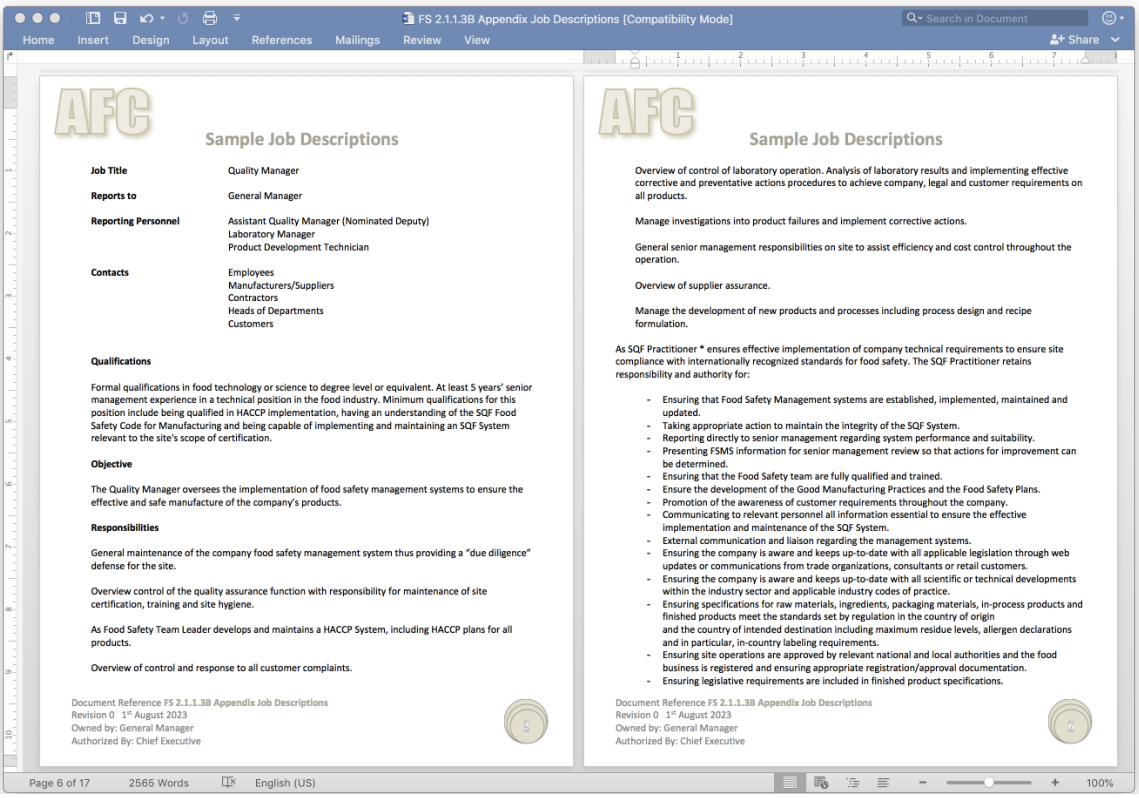
Employee code	Name	Surname	Department	Position	CCP 1	CCP 2	CCP 3	CCP 4	CCP 5	OPRP 1	OPRP 2	PRP 1	PRP 2	PRP 3	PRP 4	PRP 5	PRP 6	PRP 7	PRP 8	PRP 9	PRP 10	PRP 11	PRP 12	PRP 13	PRP 14	PRP 15	PRP 16	PRP 17	PRP 18	PRP 19	PRP 20	PRP 21	PRP 22	PRP 23	PRP 24	PRP 25	PRP 26	CCP 1	CCP 2
0001	A	Smith	Production	Production Supervisor	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑
0002	B	Smith	Production	Filler Operator	☑	☑	☑			☑					☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑								☑	☑	☑	☑	☑
0003	C	Smith	Processing	Process Operator	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒										☑	☑	☑	☑	☑	☑
0004	D	Smith	Production	Packer Operator											☑	☑	☑	☑	☑	☑	☑	☑	☑	☑															
0005	E	Smith	Warehouse	Loading Operator	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒
0006	F	Smith	Goods In	Checking Operator		☑			☑			☑			☒	☒	☒	☒	☒	☒	☒	☒	☒	☒										☑	☑	☑	☑	☑	☑
0007	G	Smith	General	Cleaning Operator			☑	☑		☑	☑				☒	☒	☒	☒	☒	☒	☒	☒	☒	☒										☑	☑	☑	☑	☑	☑
0008	H	Smith	Dispatch	Dispatch Supervisor	☑	☑	☑	☑	☑	☑	☑	☑	☑	☑	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒	☒
0009	I	Smith	Quality	Laboratory Technician	☒	☒	☒	☒							☒	☒	☒	☒	☒	☒	☒	☒	☒	☒										☑	☑	☑	☑	☑	☑

Big Columns | Small Columns | Sheet2 | Sheet3

Ready 100%

We have provided a FSR 2.9 Training Matrix Template in Microsoft Excel Format.

Job Descriptions should be available for staff with responsibility for food safety & legality. All staff should be briefed and aware of their responsibilities. FS 2.1.1.3B Appendix Job Descriptions template gives sample Management Job Descriptions.



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Sample Job Descriptions

Job Title Quality Manager

Reports to General Manager

Reporting Personnel Assistant Quality Manager (Nominated Deputy)
Laboratory Manager
Product Development Technician

Contacts Employees
Manufacturers/Suppliers
Contractors
Heads of Departments
Customers

Qualifications

Formal qualifications in food technology or science to degree level or equivalent. At least 5 years' senior management experience in a technical position in the food industry. Minimum qualifications for this position include being qualified in HACCP implementation, having an understanding of the SQF Food Safety Code for Manufacturing and being capable of implementing and maintaining an SQF System relevant to the site's scope of certification.

Objective

The Quality Manager oversees the implementation of food safety management systems to ensure the effective and safe manufacture of the company's products.

Responsibilities

General maintenance of the company food safety management system thus providing a "due diligence" defense for the site.

Overview control of the quality assurance function with responsibility for maintenance of site certification, training and site hygiene.

As Food Safety Team Leader develops and maintains a HACCP System, including HACCP plans for all products.

Overview of control and response to all customer complaints.

Document Reference FS 2.1.1.3B Appendix Job Descriptions
Revision 0 1st August 2023
Owned by: General Manager
Authorized By: Chief Executive

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Sample Job Descriptions

Overview of control of laboratory operation. Analysis of laboratory results and implementing effective corrective and preventative actions procedures to achieve company, legal and customer requirements on all products.

Manage investigations into product failures and implement corrective actions.

General senior management responsibilities on site to assist efficiency and cost control throughout the operation.

Overview of supplier assurance.

Manage the development of new products and processes including process design and recipe formulation.

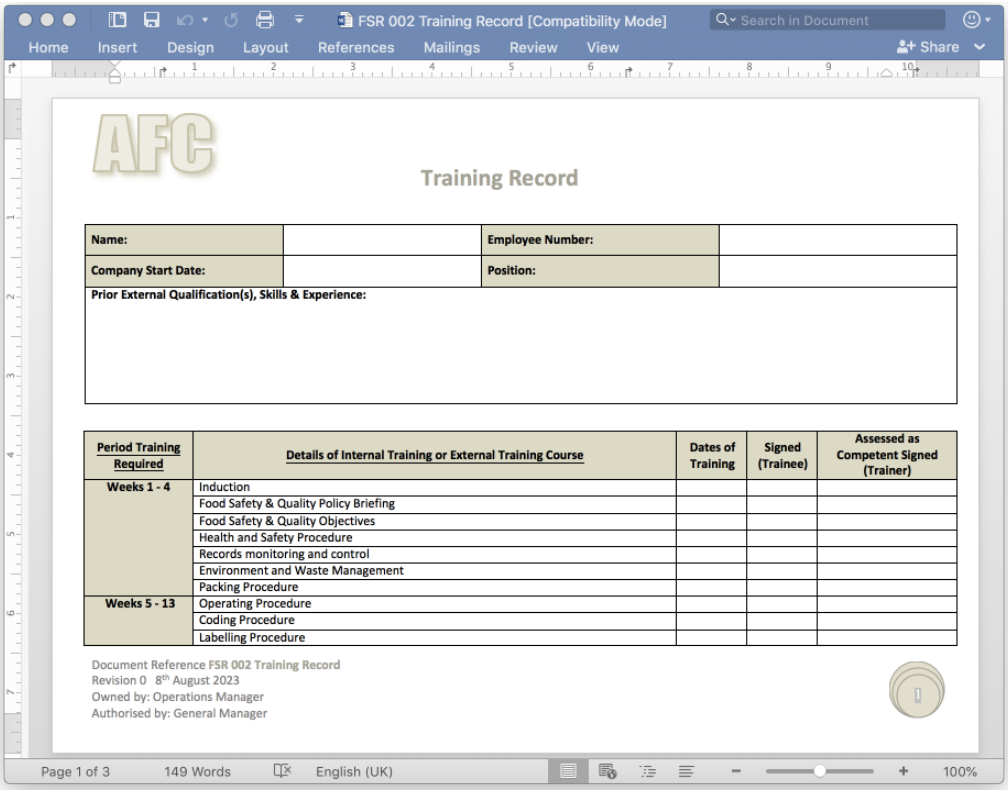
As SQF Practitioner * ensures effective implementation of company technical requirements to ensure site compliance with internationally recognized standards for food safety. The SQF Practitioner retains responsibility and authority for:

- Ensuring that Food Safety Management systems are established, implemented, maintained and updated.
- Taking appropriate action to maintain the integrity of the SQF System.
- Reporting directly to senior management regarding system performance and suitability.
- Presenting FSMS information for senior management review so that actions for improvement can be determined.
- Ensuring that the Food Safety team are fully qualified and trained.
- Ensure the development of the Good Manufacturing Practices and the Food Safety Plans.
- Promotion of the awareness of customer requirements throughout the company.
- Communicating to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.
- External communication and liaison regarding the management systems.
- Ensuring the company is aware and keeps up-to-date with all applicable legislation through web updates or communications from trade organizations, consultants or retail customers.
- Ensuring the company is aware and keeps up-to-date with all scientific or technical developments within the industry sector and applicable industry codes of practice.
- Ensuring specifications for raw materials, ingredients, packaging materials, in-process products and finished products meet the standards set by regulation in the country of origin and the country of intended destination including maximum residue levels, allergen declarations and in particular, in-country labeling requirements.
- Ensuring site operations are approved by relevant national and local authorities and the food business is registered and ensuring appropriate registration/approval documentation.
- Ensuring legislative requirements are included in finished product specifications.

Document Reference FS 2.1.1.3B Appendix Job Descriptions
Revision 0 1st August 2023
Owned by: General Manager
Authorized By: Chief Executive

Page 6 of 17 2565 Words English (US) 100%

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



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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			
	Environment and Waste Management			
	Packing Procedure			
Weeks 5 - 13	Operating Procedure			
	Coding Procedure			
	Labelling Procedure			

Document Reference FSR 002 Training Record
Revision 0 8th August 2023
Owned by: Operations Manager
Authorised by: General Manager

Page 1 of 3 149 Words English (UK) 100%

In Task 34 The management team ensure all staff are competent and adequately trained in the requirements of the Good Manufacturing Practices and the Food Safety HACCP Plan

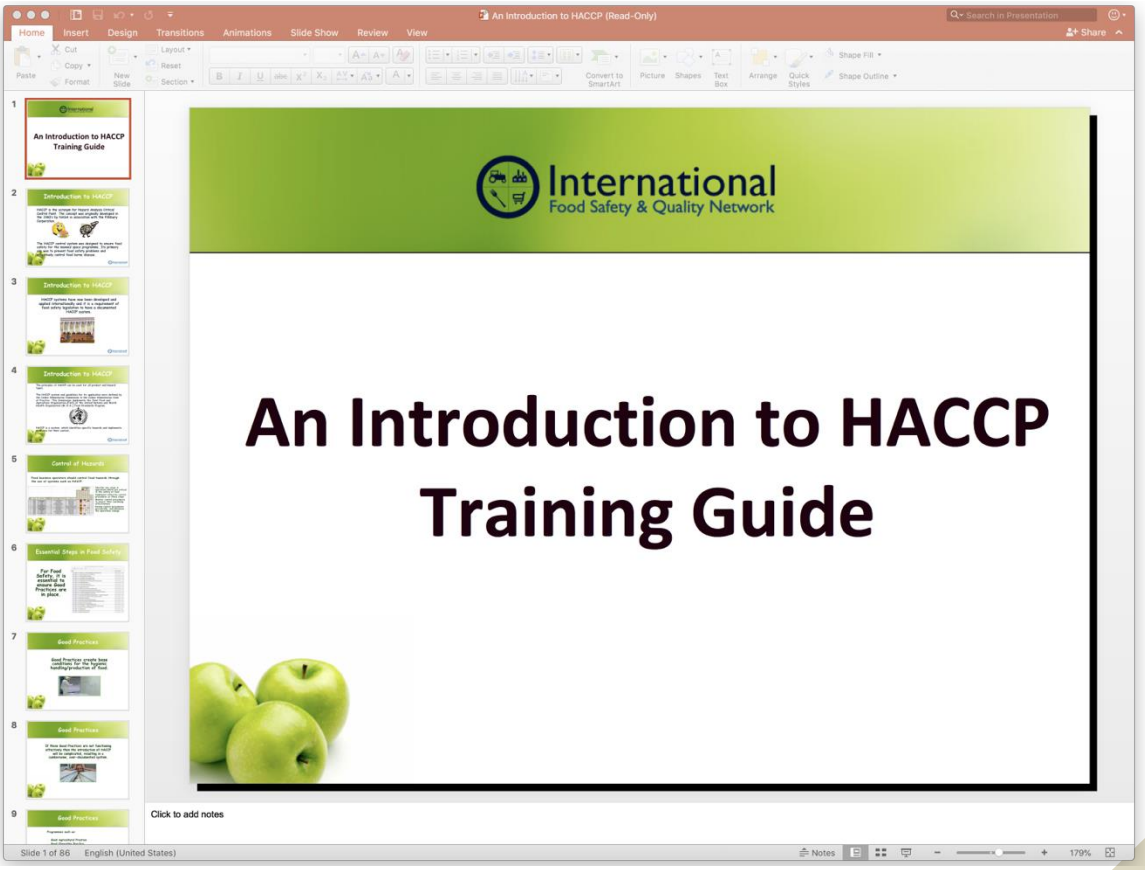
Basic Site Training should be given to all staff and also training in:

- ✓ Implementing HACCP for staff involved in developing and maintaining food safety plans;
- ✓ Monitoring and corrective action procedures for all staff engaged in monitoring preventive controls and critical control points (CCPs);
  Personal hygiene for all staff involved in the handling of food products and food contact surfaces;
  Good Manufacturing 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.

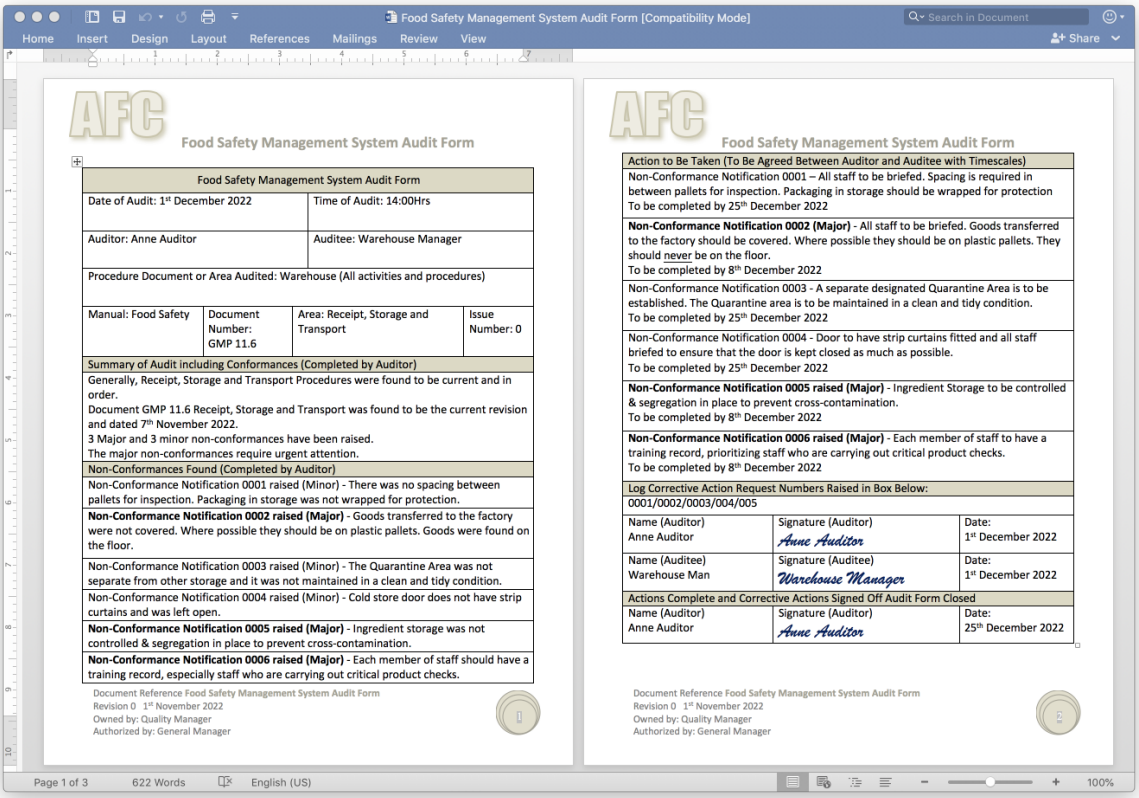
Remember all food handlers should receive Basic Food Hygiene Training

The Food Safety Team should receive extra training

HACCP Training – Previously mentioned



Example Internal Auditing Forms & Checklists are included



Food Safety Management System Audit Form [Compatibility Mode]

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Food Safety Management System Audit Form

Food Safety Management System Audit Form			
Date of Audit: 1st December 2022		Time of Audit: 14:00Hrs	
Auditor: Anne Auditor		Auditee: Warehouse Manager	
Procedure Document or Area Audited: Warehouse (All activities and procedures)			
Manual: Food Safety	Document Number: GMP 11.6	Area: Receipt, Storage and Transport	Issue Number: 0

Summary of Audit including Conformances (Completed by Auditor)
Generally, Receipt, Storage and Transport Procedures were found to be current and in order. Document GMP 11.6 Receipt, Storage and Transport was found to be the current revision and dated 7th November 2022. 3 Major and 3 minor non-conformances have been raised. The major non-conformances require urgent attention.
Non-Conformances Found (Completed by Auditor)
Non-Conformance Notification 0001 raised (Minor) - There was no spacing between pallets for inspection. Packaging in storage was not wrapped for protection.
Non-Conformance Notification 0002 raised (Major) - Goods transferred to the factory were not covered. Where possible they should be on plastic pallets. Goods were found on the floor.
Non-Conformance Notification 0003 raised (Minor) - The Quarantine Area was not separate from other storage and it was not maintained in a clean and tidy condition.
Non-Conformance Notification 0004 raised (Minor) - Cold store door does not have strip curtains and was left open.
Non-Conformance Notification 0005 raised (Major) - Ingredient storage was not controlled & segregation in place to prevent cross-contamination.
Non-Conformance Notification 0006 raised (Major) - Each member of staff should have a training record, especially staff who are carrying out critical product checks.

Document Reference Food Safety Management System Audit Form
Revision 0 1st November 2022
Owned by: Quality Manager
Authorized by: General Manager

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Food Safety Management System Audit Form

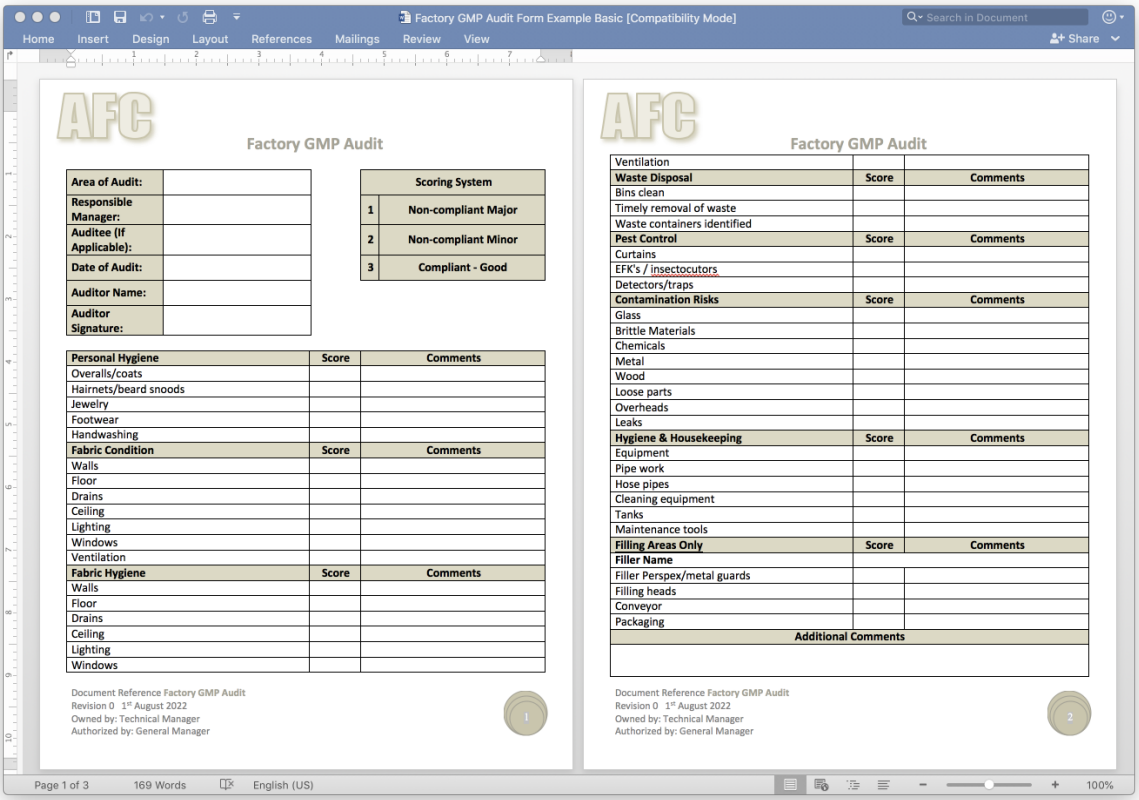
Action to Be Taken (To Be Agreed Between Auditor and Auditee with Timescales)
Non-Conformance Notification 0001 – All staff to be briefed. Spacing is required in between pallets for inspection. Packaging in storage should be wrapped for protection To be completed by 25th December 2022
Non-Conformance Notification 0002 (Major) - All staff to be briefed. Goods transferred to the factory should be covered. Where possible they should be on plastic pallets. They should never be on the floor. To be completed by 8th December 2022
Non-Conformance Notification 0003 - A separate designated Quarantine Area is to be established. The Quarantine area is to be maintained in a clean and tidy condition. To be completed by 25th December 2022
Non-Conformance Notification 0004 - Door to have strip curtains fitted and all staff briefed to ensure that the door is kept closed as much as possible. To be completed by 25th December 2022
Non-Conformance Notification 0005 raised (Major) - Ingredient Storage to be controlled & segregation in place to prevent cross-contamination. To be completed by 8th December 2022
Non-Conformance Notification 0006 raised (Major) - Each member of staff to have a training record, prioritizing staff who are carrying out critical product checks. To be completed by 8th December 2022
Log Corrective Action Request Numbers Raised in Box Below:
0001/0002/0003/004/005

Name (Auditor) Anne Auditor	Signature (Auditor) *Anne Auditor*	Date: 1st December 2022
Name (Auditee) Warehouse Man	Signature (Auditee) *Warehouse Manager*	Date: 1st December 2022
Actions Complete and Corrective Actions Signed Off Audit Form Closed		
Name (Auditor) Anne Auditor	Signature (Auditor) *Anne Auditor*	Date: 25th December 2022

Document Reference Food Safety Management System Audit Form
Revision 0 1st November 2022
Owned by: Quality Manager
Authorized by: General Manager

2

Page 1 of 3 622 Words English (US) 100%



Factory GMP Audit Form Example Basic [Compatibility Mode]

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Factory GMP Audit

Area of Audit:	
Responsible Manager:	
Auditee (If Applicable):	
Date of Audit:	
Auditor Name:	
Auditor Signature:	

Scoring System	
1	Non-compliant Major
2	Non-compliant Minor
3	Compliant - Good

Personal Hygiene	Score	Comments
Overalls/coats		
Hairnets/beard snoods		
Jewelry		
Footwear		
Handwashing		
Fabric Condition	**Score**	**Comments**
Walls		
Floor		
Drains		
Ceiling		
Lighting		
Windows		
Ventilation		
Fabric Hygiene	**Score**	**Comments**
Walls		
Floor		
Drains		
Ceiling		
Lighting		
Windows		

Document Reference Factory GMP Audit
Revision 0 1st August 2022
Owned by: Technical Manager
Authorized by: General Manager

1

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Factory GMP Audit

Ventilation		
Waste Disposal	**Score**	**Comments**
Bins clean		
Timely removal of waste		
Waste containers identified		
Pest Control	**Score**	**Comments**
Curtains		
EFK's / insectocutors		
Detectors/traps		
Contamination Risks	**Score**	**Comments**
Glass		
Brittle Materials		
Chemicals		
Metal		
Wood		
Loose parts		
Overheads		
Leaks		
Hygiene & Housekeeping	**Score**	**Comments**
Equipment		
Pipe work		
Hose pipes		
Cleaning equipment		
Tanks		
Maintenance tools		
Filling Areas Only	**Score**	**Comments**
Filler Name		
Filler Perspex/metal guards		
Filling heads		
Conveyor		
Packaging		
Additional Comments		

Document Reference Factory GMP Audit
Revision 0 1st August 2022
Owned by: Technical Manager
Authorized by: General Manager

2

Page 1 of 3 169 Words English (US) 100%

Stage Eight: Final Steps to SQF Certification

There 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 Manufacturing 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-On-Site Audit Document Review
- ✓ On-Site Audit
- ✓ Audit Review
- ✓ Certification Body Review
- ✓ Celebrate!
- ✓ Communicate your success!

Task 45 Systems are put in place to verify that the Food Safety Management System is implemented effectively including internal audits

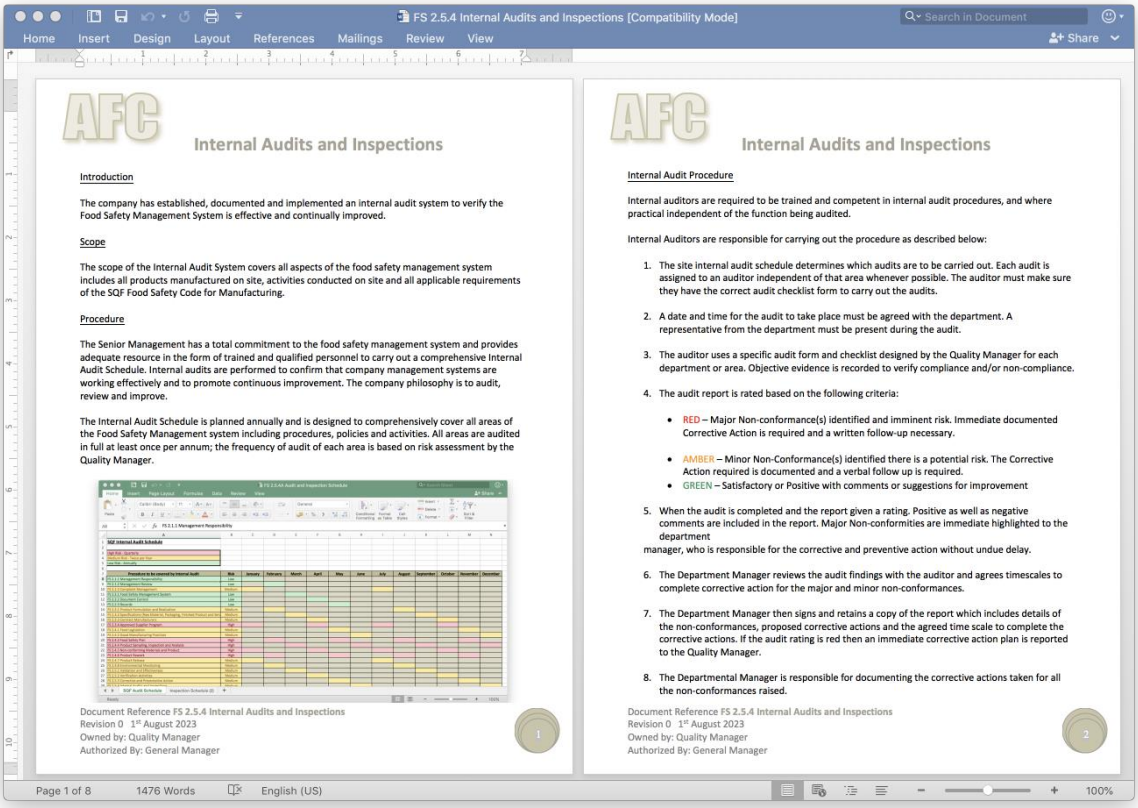
First of all, make sure that your Internal Auditors are trained. At least one auditor should be a site expert and we recommend that they undertake a recognized Internal Audit Team Leader Course.

The Food Safety Team should define the methods, frequencies and responsibilities for verification activities.

Verification activities should put in place by the Food Safety Team to confirm the effective operation of the Food Safety Management System as well as internal audits verification can be Laboratory Analysis of End Products, Final Product Inspection and similar activities.

After training the Food Safety Team Leader/SQF Practitioner should schedule Internal Audits.

Refer to the Internal Audits Procedure as a guide.



FS 2.5.4 Internal Audits and Inspections [Compatibility Mode]

Internal Audits and Inspections

Introduction

The company has established, documented and implemented an internal audit system to verify the Food Safety Management System is effective and continually improved.

Scope

The scope of the Internal Audit System covers all aspects of the food safety management system includes all products manufactured on site, activities conducted on site and all applicable requirements of the SQF Food Safety Code for Manufacturing.

Procedure

The Senior Management has a total commitment to the food safety management system and provides adequate resource in the form of trained and qualified personnel to carry out a comprehensive Internal Audit Schedule. Internal audits are performed to confirm that company management systems are working effectively and to promote continuous improvement. The company philosophy is to audit, review and improve.

The Internal Audit Schedule is planned annually and is designed to comprehensively cover all areas of the Food Safety Management system including procedures, policies and activities. All areas are audited in full at least once per annum; the frequency of audit of each area is based on risk assessment by the Quality Manager.

Document Reference FS 2.5.4 Internal Audits and Inspections
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized By: General Manager

Internal Audits and Inspections

Internal Audit Procedure

Internal auditors are required to be trained and competent in internal audit procedures, and where practical independent of the function being audited.

Internal Auditors are responsible for carrying out the procedure as described below:

1. The site internal audit schedule determines which audits are to be carried out. Each audit is assigned to an auditor independent of that area whenever possible. The auditor must make sure they have the correct audit checklist form to carry out the audits.
2. A date and time for the audit to take place must be agreed with the department. A representative from the department must be present during the audit.
3. The auditor uses a specific audit form and checklist designed by the Quality Manager for each department or area. Objective evidence is recorded to verify compliance and/or non-compliance.
4. The audit report is rated based on the following criteria:
   - RED – Major Non-conformance(s) identified and imminent risk. Immediate documented Corrective Action is required and a written follow-up necessary.
   - AMBER – Minor Non-Conformance(s) identified there is a potential risk. The Corrective Action required is documented and a verbal follow up is required.
   - GREEN – Satisfactory or Positive with comments or suggestions for improvement
5. When the audit is completed and the report given a rating. Positive as well as negative comments are included in the report. Major Non-conformities are immediate highlighted to the department manager, who is responsible for the corrective and preventive action without undue delay.
6. The Department Manager reviews the audit findings with the auditor and agrees timescales to complete corrective action for the major and minor non-conformances.
7. The Department Manager then signs and retains a copy of the report which includes details of the non-conformances, proposed corrective actions and the agreed time scale to complete the corrective actions. If the audit rating is red then an immediate corrective action plan is reported to the Quality Manager.
8. The Departmental Manager is responsible for documenting the corrective actions taken for all the non-conformances raised.

Document Reference FS 2.5.4 Internal Audits and Inspections
Revision 0 1st August 2023
Owned by: Quality Manager
Authorized By: General Manager

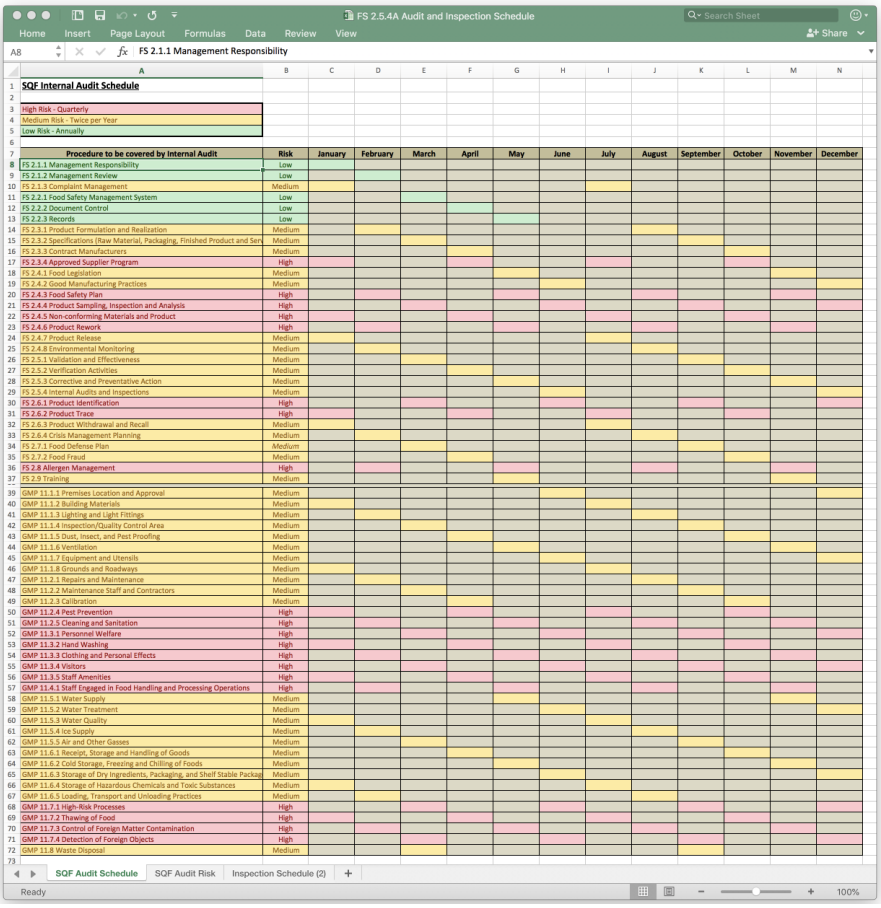
Page 1 of 8 1476 Words English (US) 100%

The Internal Audit Schedule should be planned annually and designed to comprehensively cover all areas of the Food Safety Quality Management system including procedures, policies and activities.

The Food Safety Team Leader/SQF Practitioner should draw up the Internal Audit Schedule based on the following criteria as applicable:

- Risk associated with the procedure or activity
- Results of Previous Audits
- Number of Corrective Actions raised or outstanding
- Customer Complaint Analysis
- Number of Preventative Actions raised or outstanding
- Results of the Management Review

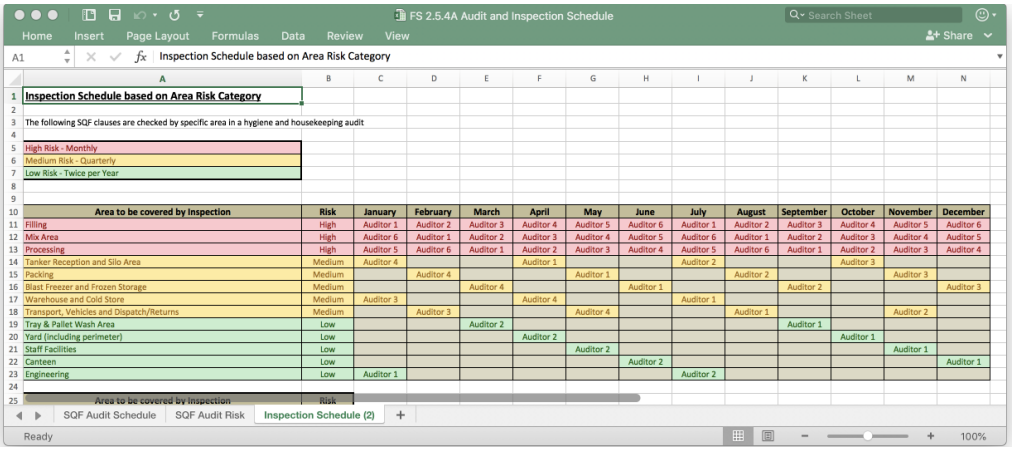
FS 2.5.4A Audit and Inspection Schedules is provided



SQF Internal Audit Schedule

High Risk - Quarterly
Medium Risk - Twice per Year
Low Risk - Annually

Procedure to be covered by Internal Audit	Risk	January	February	March	April	May	June	July	August	September	October	November	December
FS 2.1.1 Management Responsibility	Low												
FS 2.1.2 Management Review	Low												
FS 2.1.3 Complaint Management	Medium												
FS 2.2.1 Food Safety Management System	Low												
FS 2.2.2 Document Control	Low												
FS 2.2.3 Records	Low												
FS 2.3.1 Product Formulation and Realization	Medium												
FS 2.3.2 Specifications (Raw Material, Packaging, Finished Product and Ser	Medium												
FS 2.3.3 Contract Manufacturers	Medium												
FS 2.3.4 Approved Supplier Program	High												
FS 2.4.1 Food Legislation	Medium												
FS 2.4.2 Good Manufacturing Practices	Medium												
FS 2.4.3 Food Safety Plan	High												
FS 2.4.4 Product Sampling, Inspection and Analysis	High												
FS 2.4.5 Non-conforming Materials and Product	High												
FS 2.4.6 Product Rework	High												
FS 2.4.7 Product Release	Medium												
FS 2.4.8 Environmental Monitoring	Medium												
FS 2.5.1 Validation and Effectiveness	Medium												
FS 2.5.2 Verification Activities	Medium												
FS 2.5.3 Corrective and Preventative Action	Medium												
FS 2.5.4 Internal Audits and Inspections	Medium												
FS 2.6.1 Product Identification	High												
FS 2.6.2 Product Trace	High												
FS 2.6.3 Product Withdrawal and Recall	Medium												
FS 2.6.4 Crisis Management Planning	Medium												
FS 2.7.1 Food Defense Plan	Medium												
FS 2.7.2 Food Fraud	Medium												
FS 2.8 Allergen Management	High												
FS 2.9 Training	Medium												
GMP 11.1.1 Premises Location and Approval	Medium												
GMP 11.1.2 Building Materials	Medium												
GMP 11.1.3 Lighting and Light Fittings	Medium												
GMP 11.1.4 Inspection/Quality Control Area	Medium												
GMP 11.1.5 Dust, Insect, and Pest Proofing	Medium												
GMP 11.1.6 Ventilation	Medium												
GMP 11.1.7 Equipment and Utensils	Medium												
GMP 11.1.8 Grounds and Roadways	Medium												
GMP 11.2.1 Repairs and Maintenance	Medium												
GMP 11.2.2 Maintenance Staff and Contractors	Medium												
GMP 11.2.3 Calibration	Medium												
GMP 11.2.4 Pest Prevention	High												
GMP 11.2.5 Cleaning and Sanitation	High												
GMP 11.3.1 Personnel Welfare	High												
GMP 11.3.2 Hand Washing	High												
GMP 11.3.3 Clothing and Personal Effects	High												
GMP 11.3.4 Visitors	High												
GMP 11.3.5 Staff Amenities	High												
GMP 11.4.1 Staff Engaged in Food Handling and Processing Operations	High												
GMP 11.5.1 Water Supply	Medium												
GMP 11.5.2 Water Treatment	Medium												
GMP 11.5.3 Water Quality	Medium												
GMP 11.5.4 Ice Supply	Medium												
GMP 11.5.5 Air and Other Gasses	Medium												
GMP 11.6.1 Receipt, Storage and Handling of Goods	Medium												
GMP 11.6.2 Cold Storage, Freezing and Chilling of Foods	Medium												
GMP 11.6.3 Storage of Dry Ingredients, Packaging, and Shelf Stable Packag	Medium												
GMP 11.6.4 Storage of Hazardous Chemicals and Toxic Substances	Medium												
GMP 11.6.5 Loading, Transport and Unloading Practices	Medium												
GMP 11.7.1 High-Risk Processes	High												
GMP 11.7.2 Thawing of Food	High												
GMP 11.7.3 Control of Foreign Matter Contamination	High												
GMP 11.7.4 Detection of Foreign Objects	High												
GMP 11.8 Waste Disposal	Medium												



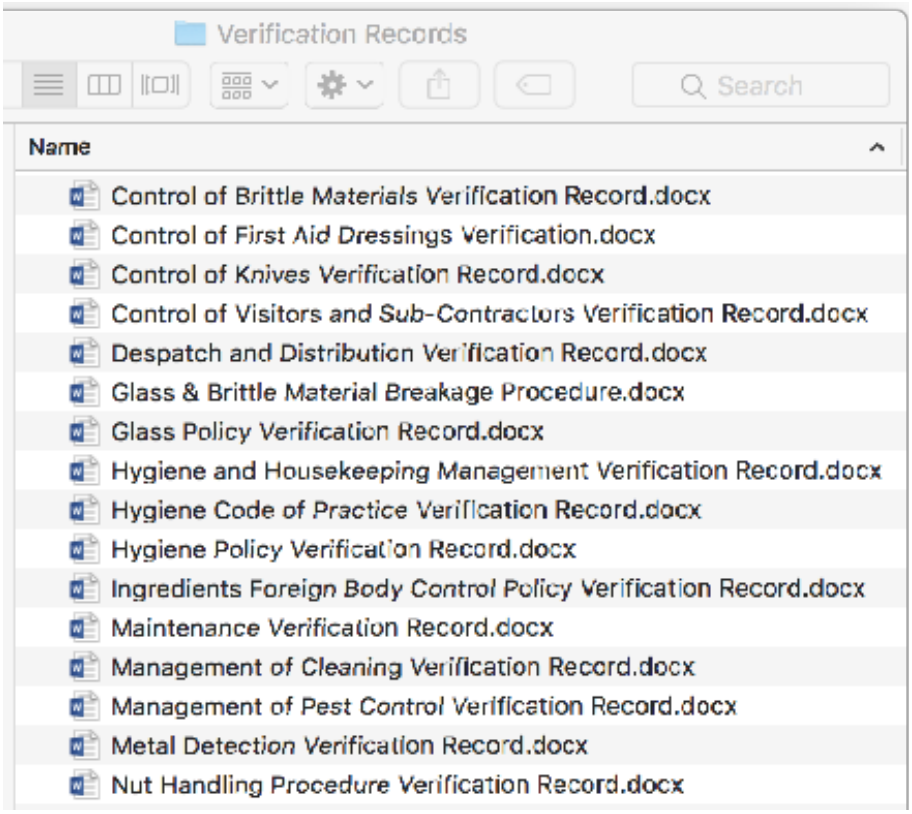
Inspection Schedule based on Area Risk Category

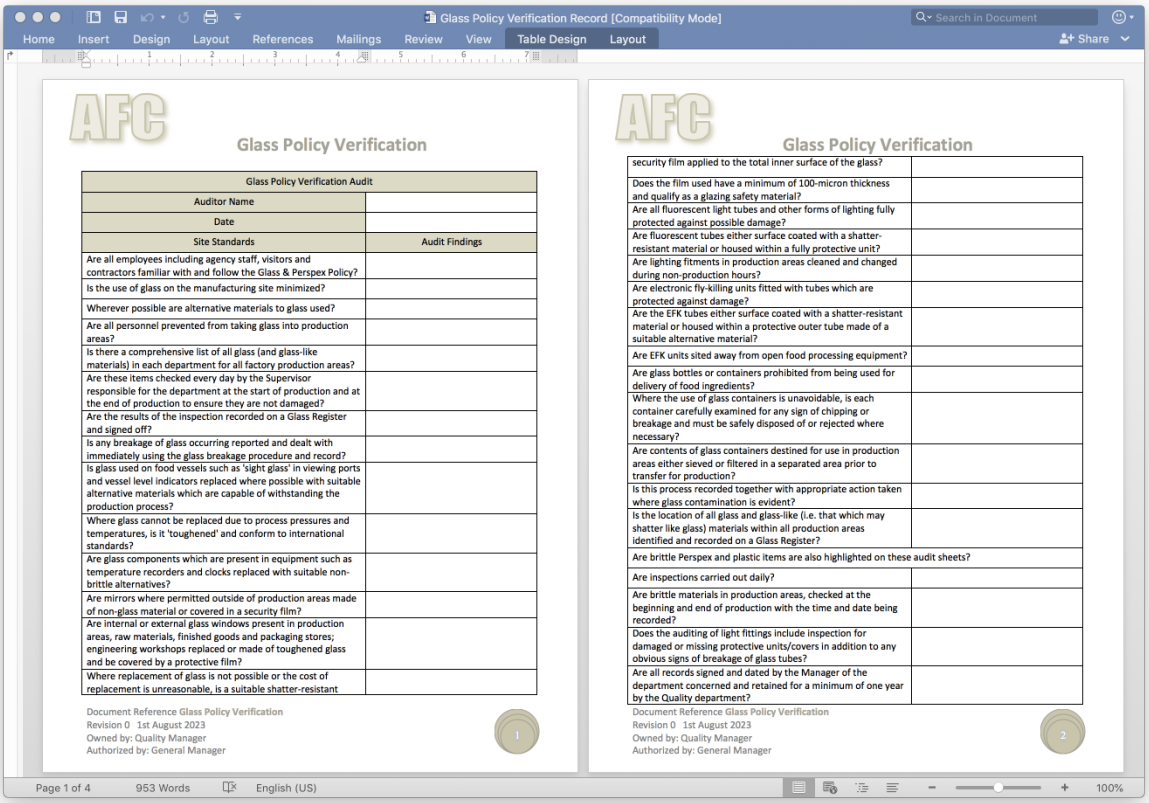
The following SQF clauses are checked by specific area in a hygiene and housekeeping audit

High Risk - Monthly
Medium Risk - Quarterly
Low Risk - Twice per Year

Area to be covered by Inspection	Risk	January	February	March	April	May	June	July	August	September	October	November	December
Filling	High	Auditor 1	Auditor 2	Auditor 3	Auditor 4	Auditor 5	Auditor 6	Auditor 1	Auditor 2	Auditor 3	Auditor 4	Auditor 5	Auditor 6
Mix Area	High	Auditor 6	Auditor 1	Auditor 2	Auditor 3	Auditor 4	Auditor 5	Auditor 6	Auditor 1	Auditor 2	Auditor 3	Auditor 4	Auditor 5
Processing	High	Auditor 5	Auditor 6	Auditor 1	Auditor 2	Auditor 3	Auditor 4	Auditor 5	Auditor 6	Auditor 1	Auditor 2	Auditor 3	Auditor 4
Tanker Reception and Silo Area	Medium	Auditor 4			Auditor 1			Auditor 2			Auditor 3		
Packing	Medium		Auditor 4			Auditor 1			Auditor 2			Auditor 3	
Blast Freezer and Frozen Storage	Medium			Auditor 4			Auditor 1			Auditor 2			Auditor 3
Warehouse and Cold Store	Medium	Auditor 3			Auditor 4			Auditor 1					
Transport, Vehicles and Dispatch/Returns	Medium		Auditor 3			Auditor 4			Auditor 1			Auditor 2	
Tray & Pallet Wash Area	Low			Auditor 2						Auditor 1			
Yard (including perimeter)	Low				Auditor 2						Auditor 1		
Staff Facilities	Low					Auditor 2						Auditor 1	
Canteen	Low						Auditor 2						Auditor 1
Engineering	Low	Auditor 1						Auditor 2					

Several Verification Record templates are provided as examples of checklists:





Senior Management Review Meeting Notification

Date/ Time/Venue

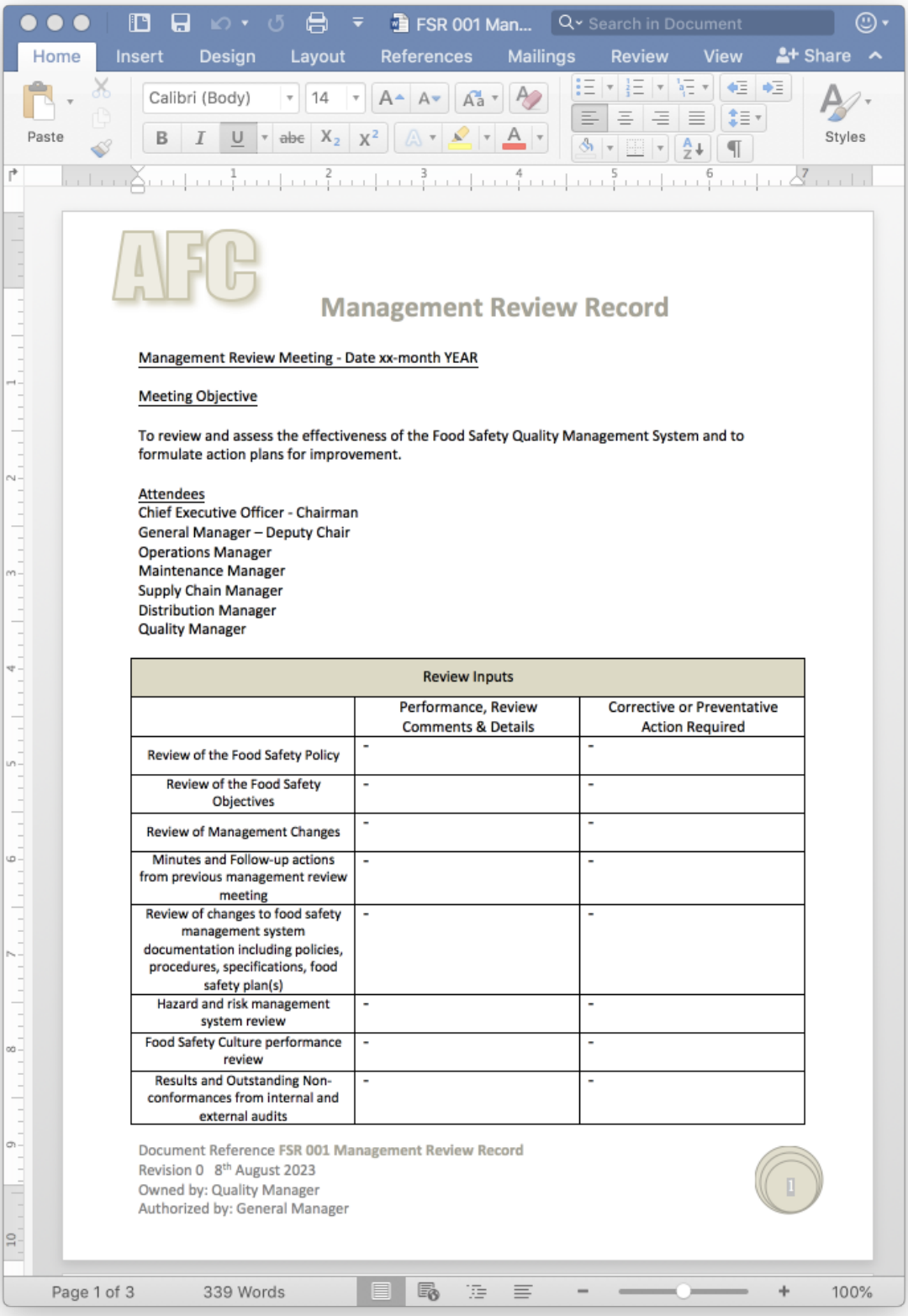
Agenda

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

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

Template FSR 2.1.2 Management Review Meeting Minutes



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.

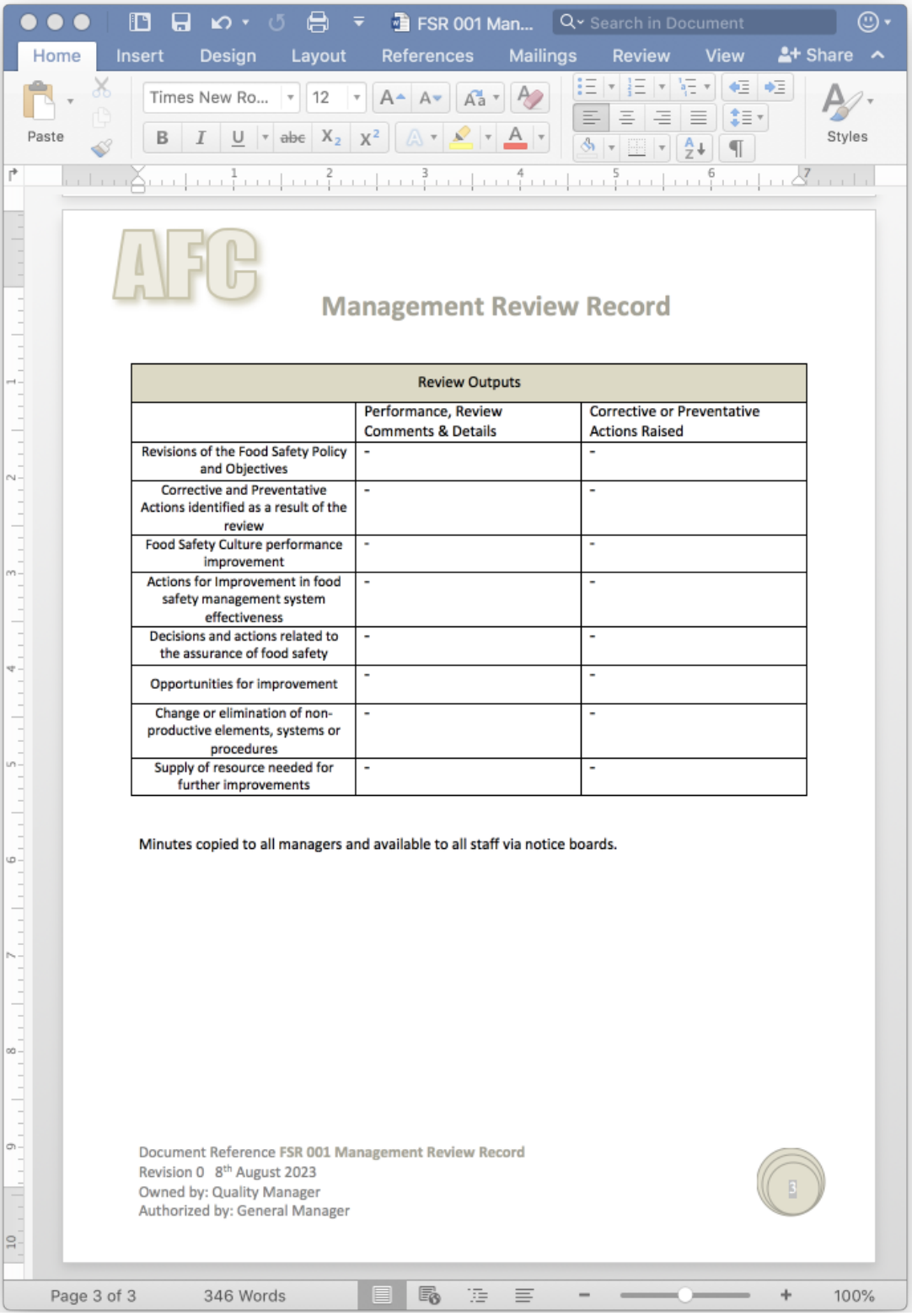
Attendees
Chief Executive Officer - Chairman
General Manager – Deputy Chair
Operations Manager
Maintenance Manager
Supply Chain Manager
Distribution Manager
Quality Manager

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 001 Management Review Record
Revision 0 8th August 2023
Owned by: Quality Manager
Authorized by: General Manager

Task 48: The senior management team implement actions to continually improve the FSMS

Senior Management should implement actions to improve the Food Safety Management System. This will normally be as outputs from the Management Review:



AFC

Management Review Record

Review Outputs		
	Performance, Review Comments & Details	Corrective or Preventative Actions Raised
Revisions of the Food Safety Policy and Objectives	-	-
Corrective and Preventative Actions identified as a result of the review	-	-
Food Safety Culture performance improvement	-	-
Actions for Improvement in food safety management system effectiveness	-	-
Decisions and actions related to the assurance of food safety	-	-
Opportunities for improvement	-	-
Change or elimination of non-productive elements, systems or procedures	-	-
Supply of resource needed for further improvements	-	-

Minutes copied to all managers and available to all staff via notice boards.

Document Reference FSR 001 Management Review Record
Revision 0 8th August 2023
Owned by: Quality Manager
Authorized by: General Manager

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