Start by opening the Implementation Assistance folder:

The main document in the folder is the **Implementation Workbook**

This workbook is provided to assist in the implementation of your SQF Food Safety Management System Package.
In this folder, you will find the **SQF 9 & FSMA Implementation Plan** which can be used to by Senior Management to plan the development of your SQF Food Safety Management System.
There are three sub-folders in the Implementation Tools Folder: SQF FSMS Training Presentations, Unannounced Audit Protocol and Training for Internal Auditors.

<table>
<thead>
<tr>
<th>Name</th>
<th>Implementation Assistance</th>
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<tr>
<td>A. Senior Management Implementation Workbook Forms</td>
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<tr>
<td>B. SQF 9 &amp; FSMA Food Implementation Workbook – IFSQN.pdf</td>
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<tr>
<td>C. SQF 9 &amp; FSMA Implementation Plan.xlsx</td>
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<tr>
<td>D. SQF FSMS Training Presentations</td>
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<td>E. Training for Internal Auditors</td>
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<tr>
<td>F. Unannounced Audit Protocol</td>
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SQF FSMS Training Presentations Sub-Folder

There are PowerPoint training presentations that explain how the Food Safety Management System Tools & Templates match and comply with System Elements and Module 11 Good Manufacturing Practices for Processing of Food Products of the SQF Food Safety Code for Manufacturing.
We also provide completed examples of corresponding Internal Audit and Good Manufacturing Practice Audit/Inspection Forms:
The next folder to open is the **Food Safety Management System Templates folder**

<table>
<thead>
<tr>
<th>Name</th>
<th>Description</th>
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<tbody>
<tr>
<td>FS 2.1.1 Food Safety Policy.docx</td>
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<td>FS 2.1.1.1A Appendix Food Safety Objectives.docx</td>
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<tr>
<td>FS 2.1.1.2 Food Safety Culture.docx</td>
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<tr>
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<td>FS 2.1.1.3A Appendix Organizational Chart.xlsx</td>
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<td>FS 2.1.1.3B Appendix Job Descriptions.docx</td>
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<td>FS 2.1.2 Management Review.docx</td>
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<td>FS 2.1.2A Management Review Record.docx</td>
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<td>FS 2.1.3 Complaint Management.docx</td>
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<tr>
<td>FS 2.1.3A Annual Complaints Analyzer.xlsx</td>
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<tr>
<td>FS 2.1.3B Annual Complaints Analyzer Instruction</td>
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<tr>
<td>FS 2.2.1 Food Safety Management System.docx</td>
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<tr>
<td>FS 2.2.2 Document Control.docx</td>
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<td>FS 2.2.3 Record Control.docx</td>
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<td>FS 2.3.1 Product Development.docx</td>
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<td>FS 2.3.1A Development Supplementary Documents</td>
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<td>FS 2.3.2 Specifications.docx</td>
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<tr>
<td>FS 2.3.2A Material Acceptance Record.xlsx</td>
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<td>FS 2.3.3 Contract Manufacturers.docx</td>
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<td>FS 2.3.4A Supplier &amp; Material Risk Assessment.xlsx</td>
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<td>FS 2.4.3 Food Safety Plans.docx</td>
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<tr>
<td>FS 2.4.3A Additional HACCP Tools</td>
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<td>FS 2.4.4 Product Sampling, Inspection and Analysis.docx</td>
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<td>FS 2.4.4A Laboratory Quality Manual.docx</td>
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<td>FS 2.4.4B Product Sampling Supplementary Documents</td>
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<td>FS 2.4.5 Control of Non-Conforming Materials and Product.docx</td>
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<td>FS 2.4.6 Product Rework.docx</td>
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<td>FS 2.4.7 Product Release.docx</td>
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<td>FS 2.4.8 Environmental Monitoring.docx</td>
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<td>FS 2.4.8A Appendix Environmental Monitoring.pptx</td>
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<td>FS 2.5.1 Validation and Effectiveness.docx</td>
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<td>FS 2.5.3A Root Cause Analysis.docx</td>
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<td>FS 2.5.3B Corrective Action Request</td>
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<td>FS 2.5.3C Preventative Action Request</td>
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<td>FS 2.5.4A Audit and Inspection Schedule.xlsx</td>
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<td>FS 2.6.2A Traceability System Diagram.pptx</td>
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<td>FS 2.6.2B Batch Identification System.docx</td>
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<td>FS 2.6.3 Product Withdrawal and Recall.docx</td>
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<td>FS 2.6.3A Recall Template.docx</td>
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<td>FS 2.6.4 Crisis Management Planning.docx</td>
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<td>FS 2.7.1A Food Defense Threat Assessment.xlsx</td>
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<tr>
<td>FS 2.7.2A Food Fraud Assessment Template.xlsx</td>
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<td>FS 2.8.1D Allergen Clean Verification.docx</td>
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<td>FS 2.8.1F Allergen Management Records</td>
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<td>FS 2.9.0 Training.docx</td>
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<tr>
<td>FS 2.9A Sample Work Instruction.docx</td>
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</tbody>
</table>
These Food Safety Management System Templates match the clauses of the SQF Code and comply with System Elements for Food Manufacturing. The Food Safety Management System procedure templates form the foundations of your Food Safety Management System 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.
Setting Up Your Food Safety Management System Documentation

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

The documents supplied in the package are easy to edit so decide 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.
Note: When there are additional FSMA requirements to the SQF Code based on SQF Addendum for the Preventive Controls for Human Food Rule these requirements are identified in red text:

### AFC

**Food Safety Plans**

Details of qualifications and the Food Safety Team’s training records are held by the SQF Practitioner/Food Safety Team Leader.

Expert external assistance is 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.

<table>
<thead>
<tr>
<th>Team Member</th>
<th>HACCP Training</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality Manager</td>
<td>Advanced</td>
</tr>
<tr>
<td>SQF Practitioner</td>
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<tr>
<td>PCQI</td>
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<tr>
<td>Manager</td>
<td>Intermediate</td>
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<tr>
<td>Manager</td>
<td>Intermediate</td>
</tr>
<tr>
<td>Supervisor</td>
<td>Intermediate</td>
</tr>
</tbody>
</table>

The team is supplemented by departmental staff who can contribute expert knowledge of their particular areas.

The HACCP Team is responsible for:

- Following HACCP procedures and constructing the Food Safety Plans
- Validation and verification of the HACCP system
- Review of the effects of any factory process or product change on the Food Safety Management System
- Updating Food Safety Plans as necessary

The HACCP team leader is the Preventive Controls Qualified Individual (PCQI) and is able to demonstrate competence in the understanding of HACCP principles and their application. The PCQI is responsible for developing the food safety plan, validating preventive controls, reviewing the records, and reanalyzing the plan.

The 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.

Document Reference FS 2.4.3 Food Safety Plans
Revision 0 1st August 2013
Owned by: Quality Manager
Authorized By: General Manager
The Procedures included in the **Food Safety Management System Templates** folder are numbered to match the clauses of the SQF Code and are as follows:

**System Elements for Food Manufacturing**

- FS 2.1 Management Commitment
  - FS 2.1.1.1 Food Safety Policy
  - FS 2.1.1.1A Food Safety Objectives
  - FS 2.1.1.2 Food Safety Culture
  - FS 2.1.1.2A Food Safety Culture Planning Matrix
  - FS 2.1.1.3 Responsibility and Authority
  - FS 2.1.1.3A Appendix Organizational Chart
  - FS 2.1.1.3B Appendix Job Descriptions
  - FS 2.1.2 Management Review
  - FS 2.1.3 Complaint Management
    - FS 2.1.3 Note - How to reduce your Complaint levels
  - FS 2.1.3A Annual Complaints Analyzer
  - FS 2.1.3B Annual Complaints Analyzer Instruction
  - FS 2.2.1 Food Safety Management System
  - FS 2.2.2 Document Control
  - FS 2.2.3 Records
  - FS 2.3.1 Product Formulation and Realization
    - FS 2.3.1A Development Supplementary Documents
  - FS 2.3.2 Specifications (Raw Materials, Finished Product and Services)
    - 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 Plan
    - FS 2.4.3A Additional HACCP Tools
  - FS 2.4.4 Product Sampling, Inspection and Analysis
    - FS 2.4.4A Laboratory Quality Manual
  - FS 2.4.4B Product Sampling Supplementary Documents
  - FS 2.4.5 Non-conforming Materials and Product
  - FS 2.4.6 Product Rework
  - FS 2.4.7 Product Release
  - FS 2.4.8 Environmental Monitoring
    - FS 2.4.8A Appendix Environmental Monitoring
  - FS 2.5.1 Validation and Effectiveness
  - FS 2.5.2 Verification Activities
Note: There are additional folders for supplementary and advanced documents and records for Product Development, HACCP, Product Sampling and Allergen Management.

Open the **FS 2.4.3A Additional HACCP Tools** Folder

This folder contains supplementary documentation to **FS 2.4.3 Food Safety Plans** (21page HACCP procedural template)
FSMA & Preventive Controls Presentation

There is also Guidance for the Implementation of the Preventive Controls for Human Food
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.
Product Development Assistance

The package contains documentation and tools that supplement FS 2.3.1 Product Development in the FS 2.3.1A Development Supplementary Documents Folder.
Allergen Management Assistance

The package contains allergen management documentation to supplement a comprehensive FS 2.8.1 Allergen Management Procedure and an Allergen Management Tool:
Laboratory Management Assistance

The package contains a supplementary comprehensive Laboratory Quality Manual compliant with the requirements of ISO/IEC 17025 to compliment FS 2.4.4 Product Sampling, Inspection and Analysis.

In Edition 9, the SQF Code requires internal laboratories that are used to conduct input, environmental, or product analyses, sampling and testing methods to be in accordance with the applicable requirements of ISO/IEC 17025.

The Laboratory Quality Manual will prove very useful to Laboratories that are new to the requirements of ISO/IEC 17025.
There are also supplementary Laboratory Documents included:

- Enumeration of Total Viable Counts Micro 001.docx
- LABR 001 Laboratory Audit Form.docx
- LABR 002 Laboratory Training Form.docx
- LABR 003 Laboratory Autoclave Record.docx
- LABR 004 Microbiological Sample Plan.docx
- LABR 005 Filler Sample Plan.docx
- LABR 006 QA Sample Plan.docx
- LABR 007 Factory Sample Plan.docx
- LABR 008 Daily Balance Calibration Sheet.docx
- LABR 009 Laboratory Exception Report.docx
- LABR 010 QC Online Check Sheet.docx
- LPOL 001 Laboratory Quality Policy.docx
- LPPRO 001 Laboratory Operating Procedure for the Autoclave.docx
The next folder to open is the Good Manufacturing Practice Templates folder

These Good Manufacturing Practice Templates match the clauses of the SQF Code and comply with Module 11 Good Manufacturing Practices for Processing of Food Products.

Procedures included in the folder are numbered to match the clauses of the SQF Code and are as follows:

Good Manufacturing Practices for Processing of Food Products

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
## Introduction

The company has established, documented and implemented an IPC/IPC System, as recognized and required by the California Code of Regulations, Title 9, Section 10760.4.5, as well as the California Food Code, Section 11388. This system is designed to ensure the implementation, enforcement, and monitoring of food safety and quality control programs. The system is intended to reduce the risk of foodborne illnesses and other food safety hazards, as well as to ensure compliance with applicable laws and regulations.

### Procedure

The company operates a systematic approach for the prevention of contamination of the facility, equipment, and food products, and for the control and correction of contamination hazards. This includes the implementation of an integrated food safety system (IFS) that requires rigorous and effective control measures to ensure food safety and quality. The system is designed to ensure compliance with regulatory requirements and to prevent the occurrence of foodborne illnesses and other food safety hazards.

### Pest Prevention

The company maintains a pest control program that includes physical barriers, mechanical controls, and chemical treatments to prevent the entry and spread of pests. The program is designed to reduce the risk of pest infestations and to ensure that food products are safe for consumption. The program is reviewed and updated on a regular basis to ensure that it is effective in preventing pest infestations.

### The contracted service provider:

- **Scope of work:** Pest inspections including service records over both current and historic levels of pest activity and recommendations for taking corrective actions.
- **Equipment:** Inspection equipment including pest control tools and pest control chemicals.
- **Training:** Training on pest control procedures and pest identification.
- **Inspections:** Regular inspections to ensure compliance with all applicable laws and regulations.
- **Reports:** Written reports documenting the results of the pest control services.

### Pest identification:

- **Insects:** Ants, cockroaches, flies, and rodents.
- **Arthropods:** Spiders, bed bugs, and ticks.

### Pest control methods:

- **Physical barriers:** Exclusion devices such as screens, guards, and traps.
- **Mechanical controls:** Bait stations, traps, and barriers.
- **Chemical treatments:** Insecticides, rodenticides, and herbicides.

### Pest control program:

- **Prevention:** Regular inspections to identify potential pest infestations.
- **Inspection:** Pest inspections using certified pest control professionals.
- **Treatment:** Application of pest control treatments as necessary.

### Pest control records:

- **Records:** Pest control records documenting the results of pest control services.
- **Reports:** Written reports documenting the results of pest control services.

### Pest control program evaluation:

- **Evaluation:** Regular evaluation of the pest control program to ensure effectiveness.
- **Adjustments:** Adjustments to the pest control program as necessary.

### Pest control training:

- **Training:** Regular training for personnel on pest control procedures and pest identification.
- **Certification:** Certification of pest control professionals.

### Pest control supplies:

- **Supplies:** Pest control supplies including pest control tools and pest control chemicals.
- **Inventory:** Regular inventory checks to ensure adequate supplies are available.

### Pest control program documentation:

- **Records:** Pest control records documenting the results of pest control services.
- **Reports:** Written reports documenting the results of pest control services.

### Pest control program reporting:

- **Reporting:** Regular reporting of pest control activities and results.
- **Audits:** Regular audits of the pest control program to ensure effectiveness.

### Pest control program monitoring:

- **Monitoring:** Regular monitoring of pest control activities and results.
- **Adjustments:** Adjustments to the pest control program as necessary.

### Pest control program compliance:

- **Compliance:** Regular compliance checks to ensure adherence to all applicable laws and regulations.
- **Inspections:** Regular inspections to ensure compliance with all applicable laws and regulations.

### Pest control program evaluation:

- **Evaluation:** Regular evaluation of the pest control program to ensure effectiveness.
- **Adjustments:** Adjustments to the pest control program as necessary.

### Pest control program training:

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### Pest control program reporting:

- **Reporting:** Regular reporting of pest control activities and results.
- **Audits:** Regular audits of the pest control program to ensure effectiveness.

### Pest control program monitoring:

- **Monitoring:** Regular monitoring of pest control activities and results.
- **Adjustments:** Adjustments to the pest control program as necessary.

### Pest control program compliance:

- **Compliance:** Regular compliance checks to ensure adherence to all applicable laws and regulations.
- **Inspections:** Regular inspections to ensure compliance with all applicable laws and regulations.

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The documents are provided in Microsoft Word English (US) format and are easily edited to suit your organization.
The next folder to open is the **FSMS Record Templates** Folder

There are a range of easy to use food safety record templates:
The records are provided in Microsoft Word English (US) format and are easily edited to suit your organization.
There is also a **Validation Records** Sub-Folder

Here there are a range of sample validation records.
There is also a Verification Records Sub-Folder

There are a range of sample verification records.
Setting Up Your Food Safety Management System 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.

Food Safety Records FSMA

Setting Up Your Food Safety Management System Records

Note: All food safety related records need to include:
The date and time of the activity being documented
Signature initials of individual performing the activity or conducting the record review
Information to identify the facility (e.g., name and location)
The identity of the product and lot code where applicable.
Refer and check compliance with §117.305 General requirements applying to records.
**Free Online Technical Support**

Finally, a reminder.

One of the unique features of our packages is that we provide technical support.

This package includes online technical support and expertise to answer your questions and assist you in developing your SQF 9 & FSMA Food Safety and Management System until you achieve certification.

The contact email is support@ifsqn.com without the space.