Introduction to GFSI & SQF

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Agenda

• What is GFSI and advantages to Buyers?
• What are the approved GFSI schemes
• SQF Code and Levels of Certification.
• SQF Guidelines and other auditing modules
• Advantages to Suppliers of SQF vs. GMP audits
• SQF Auditors and SQF Practitioners
• SQF Modules (Effective 7/1/12).
• Exemptions to certain elements
• SQF non-conformances
• Certification Steps for SQF
• SQF Desk/Document Audit and Facility/Site audit
• SQF Registration, Application and Certification Process
• SQF Certification ratings
• SQF Updates including common non-conformances
• Which groups are certified currently?
Global Food Safety Initiative (GFSI)

Started by CIES (The Food Business Forum) in Paris in 2000

- Now called the Consumer Goods Forum (CGF)
- 400 members, 150 countries
- Non-profit making foundation

Focus is a simple set of rules for accepting different standards, establishing harmony between countries & auditing efficiency by:

- benchmarking food safety standards worldwide
- facilitating cooperation between standard owners
- assurance of quality of certification & accreditation

Vision: “Safe Food For Consumers Everywhere”
Initial Companies Involved with GFSI

• Albertson’s
• Campbell’s
• Carrefour
• Danone
• Delhaize (Food Lion, Hannaford)
• Hormel
• Kroger
• Metro AG
• Migros
• Royal Ahold
• Sara Lee
• Tesco (Fresh and Easy)
• Tyson
• Wakefern
• Wal-Mart
Global Food Safety Initiative (GFSI)

The GFSI guidance document sets the minimum requirements for:

- Food Safety Management Systems
- GMPs, GAPs, GDPs
- HACCP
- Delivery of Food Safety Management Systems

All standards to get approved must meet these minimum requirements in the GFSI guidance document.

Standards owners can go above and beyond the requirements to add value.
GFSI Benchmarked and Approved Schemes

BRC: British Retail Consortium
- Global Standard – Food, created in 1998
- Markets global presence, ease of use

IFS: International Food Standard
- Markets rigorous auditor screening & witness audits

FSSC 22000 (Netherlands) (Commonly called F2K).
- Replaced Dutch HACCP

Global Red Meat Standard
- New standard, most certifications in Denmark
GFSI Benchmarked and Approved Schemes

Global GAP
- Globally-recognized, pre-farm gate standard
- Primus Produce agricultural audits.
- Canada GAP.
  - On farm audits conducted mainly in Canada.

Global Aquaculture Alliance.
- Best aquaculture standards (BAP).

SQF: Safe Quality Food
- Developed in Australia in 1994, FMI purchased in 2004
- Markets program control, quality level, US own
GFSI Advantages to Buyers

Globally accepted standards (15% of all food consumed in USA is imported; 65% Produce; 80% Seafood;)

Performed by Certified auditors employed by Accredited Certifying Bodies

Consistent requirements applied for each standard

Based on food safety risk hence HACCP based using scientific validations

All non-conformances have to be corrected
Reasons to choose SQF vs. other standards

More attuned to the North American food industry. (More certificates issued in NA in 2012 for SQF than for any other GFSI standard)

Clearer defined standards removing auditor subjectivity.

More visibility as to
  • Who are the certified auditors in each category.
  • Who are the certified consultants by category.

Standard is readily accessible to everybody at no charge.

Has separate Quality level as well as food safety standards.
SQF CODE

Effective July 1st 2012 there is now only one SQF Code

SQF 1000 and SQF 2000 were merged.

Each type of industry is now covered by

Module 2

Plus another Module specific to your type of business (e.g.)

9 Meat Slaughter and Fabrication
10 Produce Pack Houses
11 Food Processing
12 Food Distribution
13 Food Packaging
SQF Levels of Certification

- Level 3: Quality Plan
- Level 2: Food Safety Plan
- Level 1: Food Safety Fundamentals
SQF

3 Levels of Certification

• **Level 1** Food Safety Fundamentals (Pre-requisite programs) + Building and Equipment.

• **Level 2** adds in the Food Safety Plans (HACCP)  
  Element 2.4.3 *(GFSI Approval level)*

• **Level 3** adds in the Food Quality Plans  
  Element 2.4.4 *(Above GFSI approval requirement)*

(Can use the SQF Logo on product packaging if certified at Level 3)
In addition to providing the SQF Code elements and generic Code guidelines, SQFI has also provided the following Specific Guidance Documents for:

- Shell Egg Processing (Cat 12): Feb 2009
- Produce Pack Houses (Cat 4): Apr 2009
- Food Packaging (Cat 27): Jul 2010
- Brokers (Cat 35): Being developed.
- Pet Food (Module 4) being developed.
- Retail (Module 15) being developed.
SQF

In addition to providing the SQF Code elements and Code guidelines, SQFI has also provided the following

Voluntary modules:

- Responsible Environmental Practice
- Social Responsible Practice
- Ethical Sourcing (Required since 2011 by Wal-Mart).
Checks & Balances

- International Accreditation Forum
  - Conducts Peer Reviews
  - Accreditation Bodies
    - Accredитate the Certification Bodies
      - Certification Bodies
        - ISO/IEC 17011
        - ISO/IEC Guide 65
      - Certify the Suppliers
        - Supplier
        - Supplier
        - Supplier
        - SQF Scheme

Comprised of National Accreditation Bodies
SQF

Uses 2 Accreditation Bodies worldwide (ANSI in USA)

28 Certification Bodies (USA) but for only a few is their Certification business only food related.

Every Certification Body uses the same standardized assessment formats

Auditor training conducted by SQFI only

SQF Practitioner training conducted by Training Centers

SQF conducts periodic “witness audits” at Suppliers

EtQ captures the information and has managed it since July 1st, 2012
Advantages of SQF Certifications vs. GMP Audits

1. Certifications have tight contractual obligations
2. All are performed by Licensed Certification Bodies
3. All Certified Auditors have to be familiar with your type of industry
4. All audits are reviewed by a Technical Assessor
5. Ongoing communications to everybody by CB
6. *International website for Buyers to find Suppliers*
7. *Brand protection for all stakeholders*
SQF Auditor Competency

Experience

• 5 years of food safety or quality in food industry and a college degree to do high risk products

• 160 hours auditing for each high risk category requesting (120 hours auditing for each general risk category)

• Have a technical qualification for each category requesting

Training

• 4 Hour SQF 7th Edition changes

• Either 40 Hour SQF Lead Auditor Course which includes SQF and HACCP and the exams

• Or a 5 day Lead Auditor training and a 16 Hour HACCP Course with certificate
SQF Auditor Competency

Registered with SQFI

- 35 Food Sector Categories (See SQFI website).
- Sign “SQF Auditor Code of Conduct”

On-going each year:

- Conduct a minimum of 6 SQF audits,
- Continue their professional development
- Re-register every year

Be under contract to a licensed Certification Body
SQF Practitioner Competency

Employed by the Supplier
- Full-time at the facility being certified
- In a position to manage the program

HACCP Knowledge
- Have completed a HACCP Course
- Be competent to implement & manage HACCP plans

SQF Code Knowledge
- Be competent to implement & manage SQF Programs
  - Taking “Implementing SQF Systems” Course **highly recommended**
  - Taking and passing the “Implementing SQF Systems” on-line exam **highly recommended**
SQF System Elements

**SQF System Requirements**

(SQF Levels 1, 2 + 3)

**Module 2 of SQF Code.**

- 2.1 Commitment
- 2.2 Document Control & Records
- 2.3 Specifications & Product Development
- 2.4 Attaining Food Safety
- 2.5 SQF System Verification
- 2.6 Product Identification/Trace/withdrawal & Recall
- 2.7 Site Security
- 2.8 Identity Preserved Foods.
- 2.9 Training
SQF System Elements

Food Safety Fundamentals (Pre-requisite Programs. (Module 9, 10, 11, 12 or 13).

- Personnel Practices
- Personnel Processing Practices
- Training of Personnel
- Calibration of Equipment
- Pest Management
- Premise & Equipment Maintenance
- Cleaning & Sanitation
- Monitoring Water Microbiology & Quality
- Control of Physical Contaminants
- Transport & Delivery
- Waste Management
SQF System Elements

Building & Equipment Design
(Module 9, 10, 11, 12 or 13).

- Site requirements and Approval
- Food Handling Areas
- Water and Ice Supply
- Storage Facilities
- Separation of Functions (Raw materials, WIP and Finished products)
- On-site Laboratories
- Staff Amenities
- First Aid Facilities
- Exterior Grounds
SQF System Elements

**SQF Code Exemptions**

Each facility has to determine which elements do not apply to them and this can be determined by

- Level of Certification being applied for (Level 2 vs. 3).
- Whether a facility uses any allergens.
- Whether a facility manufactures high risk or low risk products
- Whether a facility has high risk processes

Use of an SQF Consultant maybe valuable in helping determine what elements do not apply and to discover gaps in other programs, procedures and policies.
SQF Non-conformances

These non-conformances can occur during the Desk (Document) audit or during the Facility (Site) audit. ONLY FACILITY AUDIT IS SCORED.

There are 4 types of non-conformances

• *Critical (Minus 50 points)*
• *Major (Minus 10 points)*
• *Minor (Minus 1 point)*
• *Opportunity for Improvement (Not scored)*.

*Definitions for each of these non-conformances can be found in the annex of the SQF codes.*

*All non-conformances have to be corrected before an SQF Certificate can be issued.*
Certification Steps to be taken by a Supplier

1. Read the SQF Code & the Guidance Document
2. Designate an SQF Practitioner
3. Develop & Implement the SQF System at your facility
4. Conduct Self-Assessments of your SQF system
5. Choose a Certification Body
   • Complete the SQF Certification Application
   • Complete a Contract with the Certifying Body
6. Have a Desk Audit & Correct all non-conformances
7. Have a Site Audit & Correct all non-conformances
8. Certification Decision is then made by the CB
9. Annual Recertification Audits
10. Ongoing Communications with the CB
SQF Desk (Document) Audit

This is a review by the SQF certifying auditor of the documentation of your total SQF Food Safety Management Program comprising of.

Module 2 SQF Systems Requirements plus
Either Module 9, 10, 11, 12 or 13
   Building and Equipment Design and Construction and
   Food Safety Fundamentals (Pre-requisite programs)

Hence this is a review of “What you say you do”.

It is recommended that this review precede your facility (site) audit by sufficient time for you to correct all non-conformances identified before your facility (site) audit starts. (Recommend a minimum of 1 month).

Document Review can be on-site at your facility or at a mutually acceptable off-site location.
SQF Facility (Site) Audit

• This is a review by the SQF certifying auditor of your facility to see the following
• Have you implemented all of your SQF Programs, Policies and Procedures as written?
• Are you following all of these documented programs?
• Are your employees, when interviewed, cognizant of your documented programs?
• Do your Records show that you are producing Safe products?
• Do your Records show you are producing Quality products?

Hence this is a review of

“Do you do what you say” and “Can you prove it”.

All facility (site) non-conformances count in your final grade.
Program Costs

Costs to develop & implement your system.

Audit, typically 3 days (plus 1 day writing the reports and reviewing CAPA), but it depends on several factors.

Annual Registration fee to SQFI depends on annual sales

<table>
<thead>
<tr>
<th>Class</th>
<th>Supplier’s Gross Sales</th>
<th>Annual Fee</th>
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<tr>
<td>A</td>
<td>&lt;$100,000</td>
<td>$100</td>
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<tr>
<td>B</td>
<td>$100,000 - $5 Million</td>
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<td>E</td>
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<tr>
<td></td>
<td>Central-site</td>
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<td></td>
<td>Each Sub-site</td>
<td>$25</td>
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SQF Code Ratings

- **Fail (0-69)**: No certificate
- **Comply (70-85)**: Certificate + surveillance audits
- **Good (86-95)**: Certificate, no surveillance audit
- **Excellent (96-100)**: Certificate, no surveillance audit

Surveillance audits occur every 6 months.
SQF Institute Information

SQF Practitioner Test (7th edition) 60 questions done in 1 hour at $75 cost

SQF has issued an audit length guidance document

SQF Code Version 7 is available on-line

Frank Yiannas, Wal-Mart, is GFSI Vice Chairman

SQF now has a Compliance Manager on staff.

SQF has issued ~5000 certificates in 2012 in North America 3x as many certificates as BRC
Keys to Success

Systems approach to food safety
• Rigorous, integrated & proactive

Really know your Suppliers
• Compliance vs. commitment
• Clearly define your standards and expectations
• Trust but verify

Audit rigorously
• Appropriate to the risk level - classify your Suppliers
• Robust calibration with your auditors
• Own the solution
Common non-conformances 2012

- Business Continuity Plan not tested.
- Business Continuity Plan communication methods not defined.
- Internal audit program not adequate.
- Raw Materials not risk assessed.
- Job descriptions not written or not complete showing back-up.
- HACCP Program not done or not written.
- HACCP Plan not validated.
- PRPs not validated.
- Recall Program does not list a technical expert and/or a legal advisor.
- Contract Services contracts not documented.
- Not notifying CB and SQFI at the time of a Recall.
<table>
<thead>
<tr>
<th>SQF CATEGORY #</th>
<th>SQF PRODUCT TYPE</th>
<th># CERTIFICATES ISSUED</th>
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<td>HONEY</td>
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Losing Certification

Not having re-certification audit within required timeframe.

Getting an “F” rating during a recertification audit.

Failure to close out all non-conformities in the time allowed.
Upcoming SQF Training

www.saiglobal.com/courses

• SQF Internal Auditing
  • May 13-14 – Los Angeles
  • June 3-4 – Toronto

• SQF Code Edition 7 - Implementation Course
  • May 16-17 – Charlotte
  • May 20-21 – Minneapolis
  • May 23-24 – Toronto
  • June 13-14 – Dallas

• SQF Code Overview for Managers
• SQF Code Edition 7 Key Changes

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