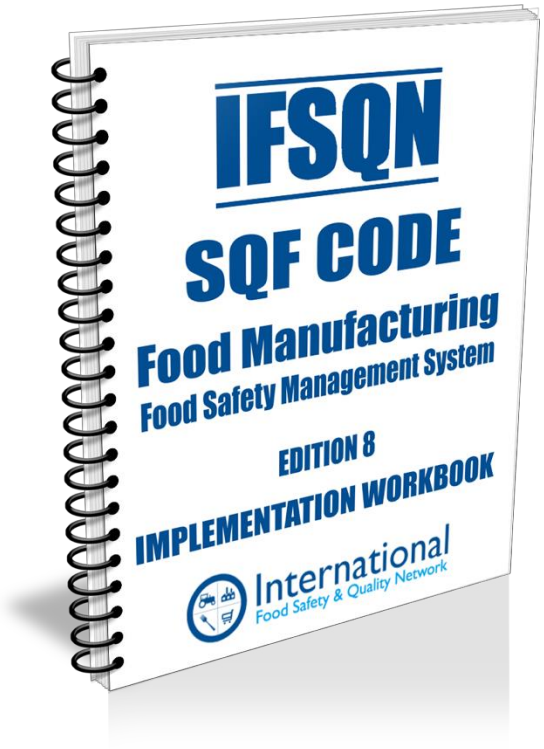
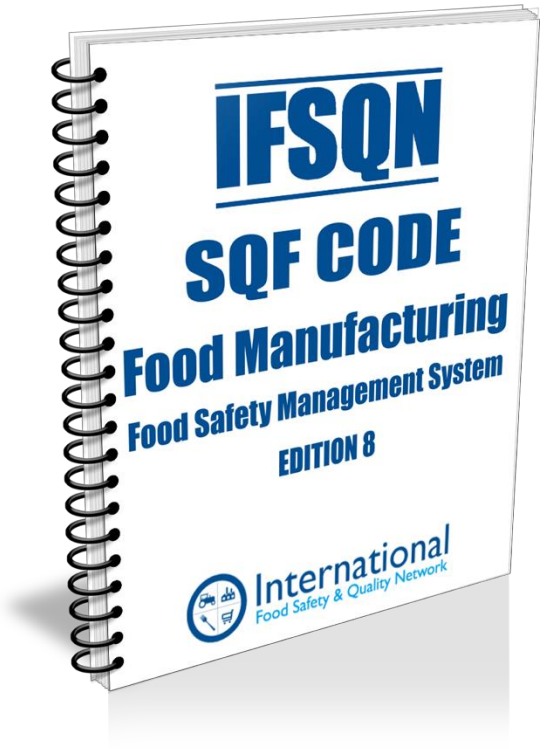


This workbook is provided to assist in the implementation of your SQF Food Safety Management System Package. The workbook is divided into 8 steps that are designed to assist you in implementing your food safety management system effectively:

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

Note: The IFSQN SQF Food Safety Management System Package includes a Start Up Guide which should be consulted to guide you through the contents of the package.



This Implementation Workbook compliments the IFSQN SQF Food Safety Management System Package which is an ideal package for organisations looking to meet the requirements of the SQF Food Safety Code for Manufacturing Edition 8

The IFSQN SQF Food Safety Management System Package contains:

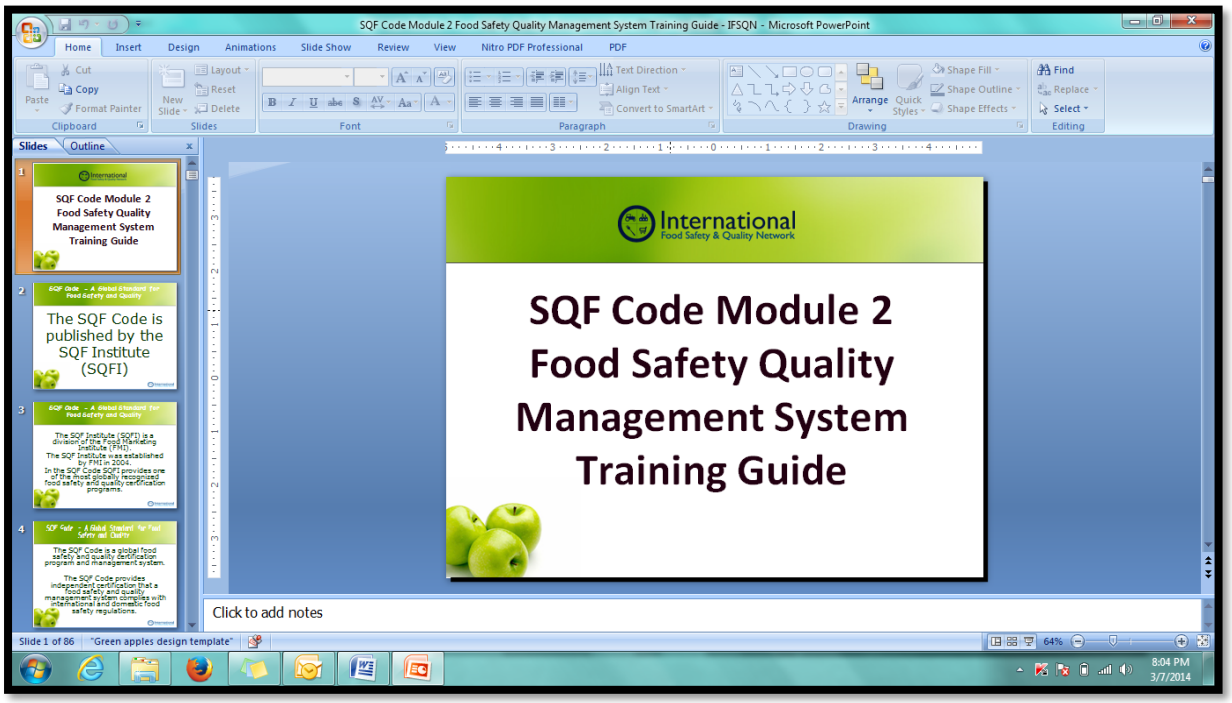
- ✓ A comprehensive set of over 70 editable Food Safety Management System Procedures
- ✓ A range of 60 easy to use Record Templates
- ✓ Additional HACCP Manual including the HACCP Calculator
- ✓ Introduction to the SQF Food Safety Management System Training Modules
- ✓ Allergen Risk Management Tools
- ✓ Food Fraud Risk Assessment Tool
- ✓ Supplier Risk Assessment Tool
- ✓ Internal Auditor Training
- ✓ HACCP Training

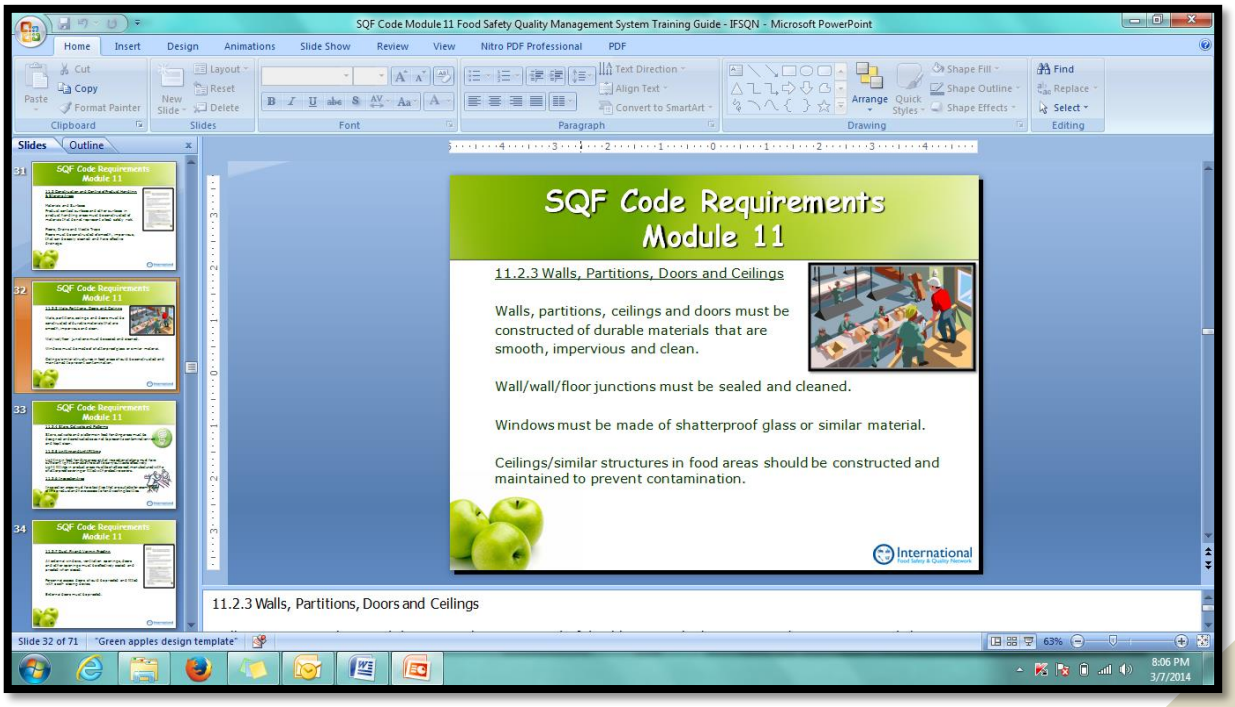
And much more !

As a preliminary to Step 1 we recommend that the you obtain a copy of the SQF Food Safety Code for Manufacturing Edition 8

Step One: Introduction to SQF Food Safety Management System

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





Step Two: Senior Management Implementation

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

The checklist guides Senior Management:

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

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

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

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

Senior Management FSMS Implementation 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 8 2017	
	Food Regulations	
Action (ii)	Senior Management decides which Food Safety requirements the company should address and develop relevant policies.	
	Requirement	Policy Details

Senior Management establish and provide Infrastructure and Work Environment Requirements

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

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

Action (vii)	Senior management ensure there is adequate infrastructure and work environment	
	Infrastructure/Work environment requirements	Details

Senior Management allocate Responsibility and Authority Requirements

Senior Management establish responsibility and authority levels. The scope of the defined responsibility and authority will include all staff, both full time and temporary. Staff responsibilities will include contributing to achieving site objectives and continuous improvement. The level of responsibility and authority of sub-contractors is defined in the procedure for the control of sub-contractors.

Responsibilities and authorities of all personnel should be communicated to them via induction and role training.

An organisational chart should be drawn to demonstrate the company structure with deputies for each management position. The identity of deputies should be communicated to all employees.

All Managers will need to have agreed and signed job descriptions for their individual roles which include responsibility and authority.

General Job descriptions including levels of responsibility and authority should be made available for all roles on site. All personnel should be required to sign the relevant general job description which is held with their individual training records. Responsibility for reporting any problems with the food safety quality management system should be detailed in individual job descriptions. The job descriptions include details of staff responsibility and authority to initiate and record corrective actions.

Specific responsibilities for key processes are to be documented within operational procedures. Individual objectives are cascaded in staff appraisals.

The Management Representative (SQF Practitioner) for Quality and Food Safety is the Technical Manager, who retains responsibility and authority for:

- Ensuring that Quality and Food Safety Management systems are established, implemented, maintained and updated.
- Reporting directly to senior management regarding system performance and suitability
- Presenting FSQMS information for senior management review so that actions for improvement can be determined.

Senior Management Establish Food Safety Responsibility & Authority Levels

Process	Responsible Persons	Activity

Step Three: Food Safety Management System

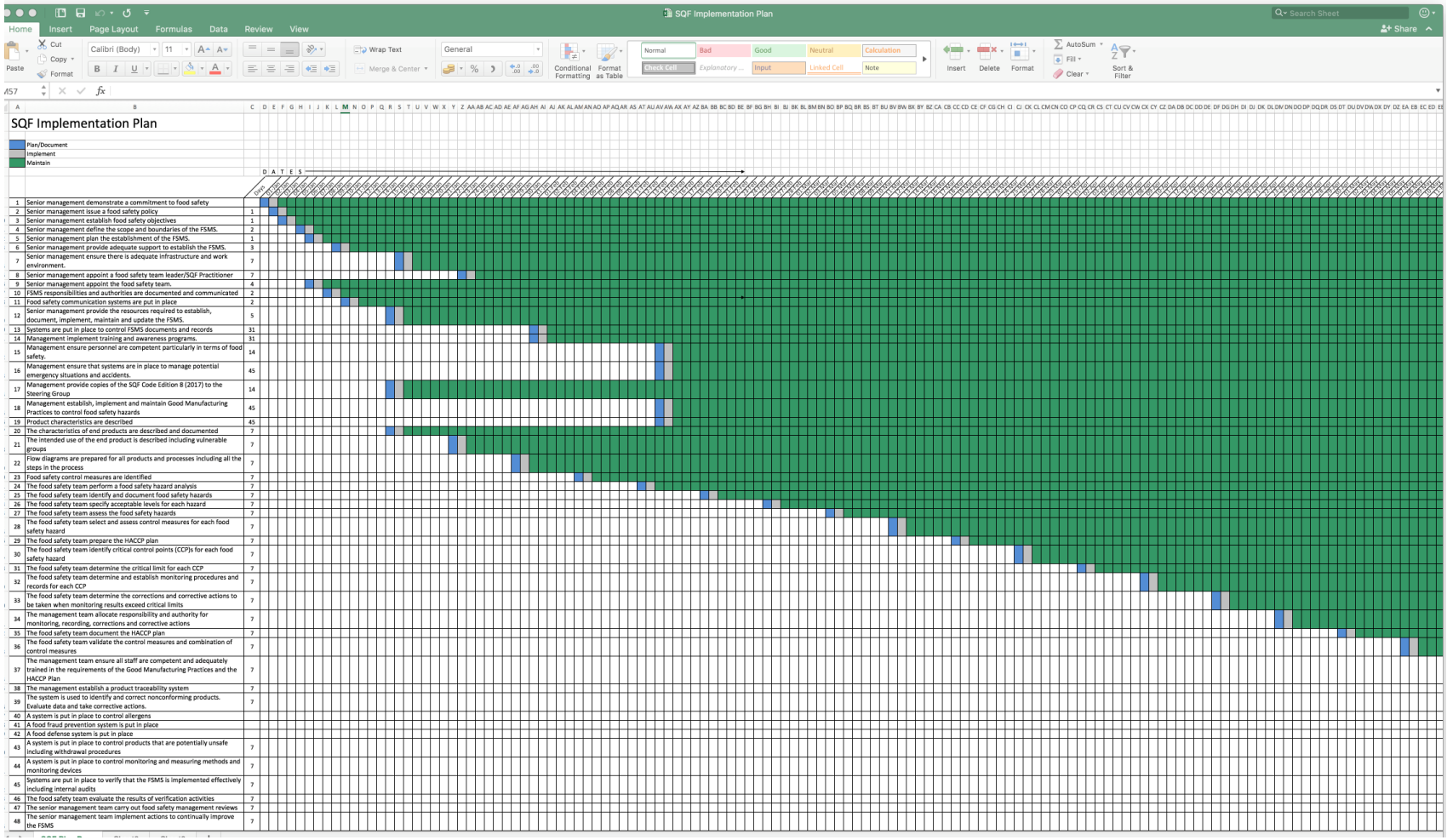
The SQF Food Safety Management System Package contains a comprehensive top level Food Safety Management procedures templates that form the foundations of your Food Safety Management System so you don't have to spend 1,000's of hours writing compliant procedures:

Food Safety Quality Management System Procedures

QM 2.1.1 Food Safety and Quality Policy
QM 2.1.1A Appendix Food Safety and Quality Objectives
QM 2.1.2 Management Responsibility
QM 2.1.2A Appendix Organizational Chart
QM 2.1.2B Appendix Job Descriptions
QM 2.1.3 Management Review
QM 2.1.4 Complaint Management
QM 2.1.5 Crisis Management Planning
QM 2.2.1 Food Safety Management System
QM 2.2.2 Document Control
QM 2.2.3 Record Control
QM 2.3.1 Product Development
QM 2.3.2 Raw and Packaging Materials
QM 2.3.3 Contract Services
QM 2.3.4 Contract Manufacturers
QM 2.3.5 Finished Product Specifications
QM 2.4.1 Compliance with Food Legislation
QM 2.4.2 Good Manufacturing Practices
QM 2.4.3 Food Safety Plans
QM 2.4.4 Approved Supplier Program
QM 2.4.5 Control of Non-Conforming Product or Equipment
QM 2.4.6 Product Rework
QM 2.4.7 Product Release
QM 2.4.8 Environmental Monitoring
QM 2.5.1 Validation and Effectiveness
QM 2.5.2 Verification Activities
QM 2.5.3 Corrective Action and Preventative Action
QM 2.5.4 Product Sampling, Inspection and Analysis
QM 2.5.5 Internal Audits
QM 2.6.1 Product Identification
QM 2.6.2 Product Trace
QM 2.6.2A Identification and Traceability System – Appendix
QM 2.6.3 Product Withdrawal and Recall

Project Plan

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

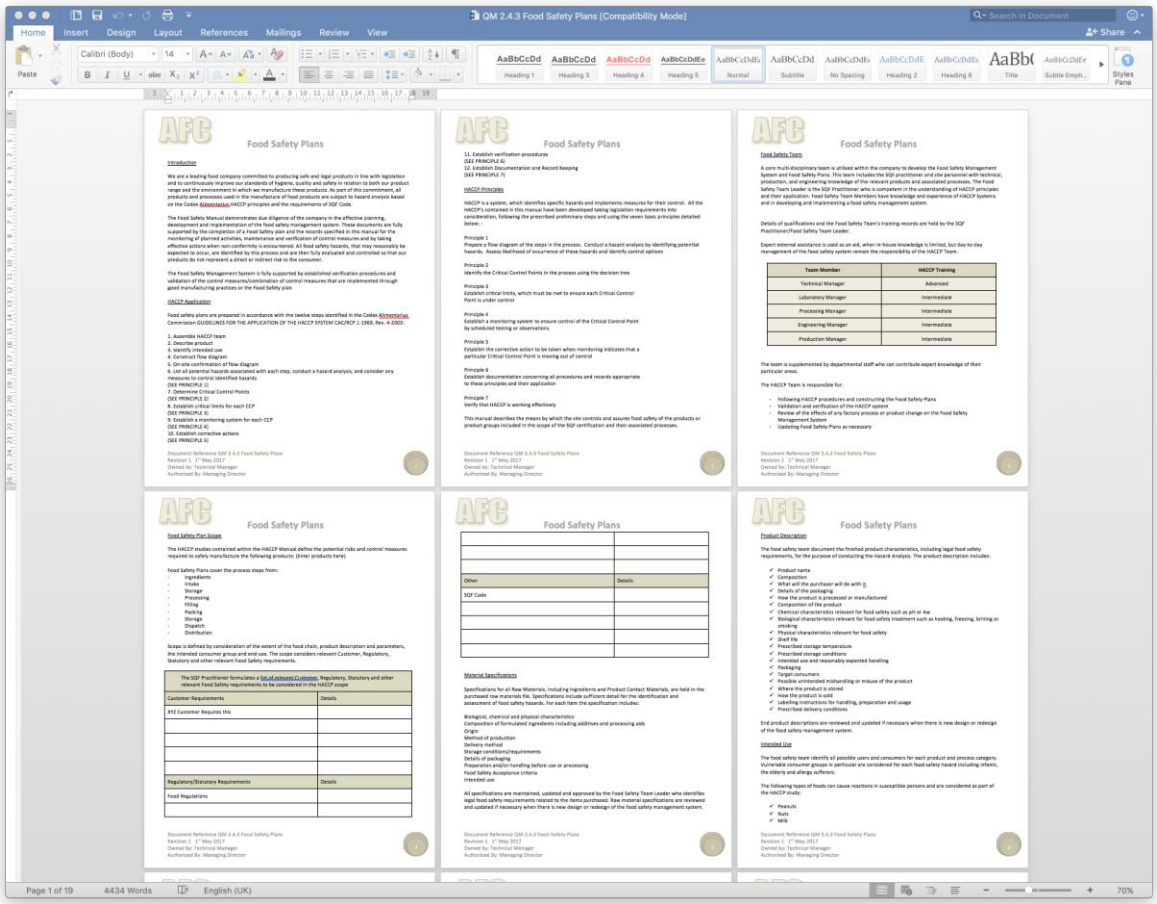


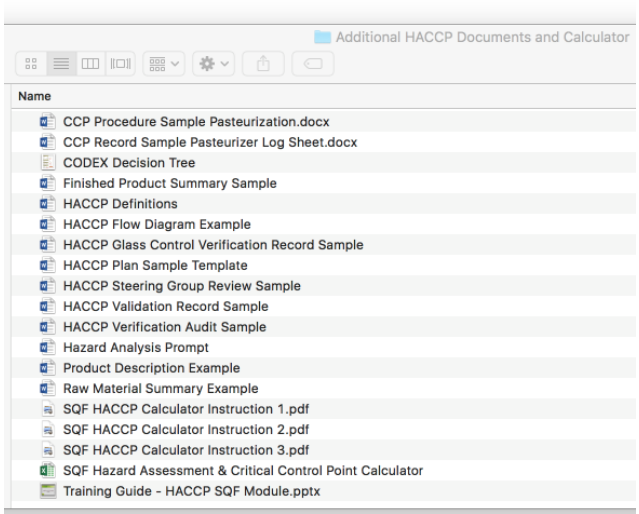
Project Planning Tasks		Responsibility	Comments	Due Date for Completion	Date Completed
1)	Senior management demonstrate a commitment to food safety	Senior Management Team	Completed in Step 2		
2)	Senior management issue a food safety policy	Senior Management Team	Completed in Step 2		
3)	Senior management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

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 QM 2.2.2 Document Control & QM 2.2.3 Record Control		
14)	Management implement training and awareness programs.	Senior Management Team	Completed in Step 7		
15)	Management ensure personnel are competent particularly in terms of food safety.	Senior Management Team	Completed in Step 7		
16)	Management ensure that systems are in place to manage potential emergency situations and accidents.	Steering Group	Use QM 2.1.5 Crisis Management Planning		
17)	Management provide copies of the SQF Code to the Steering Group. The Steering Group establish Top Level FSMS documents.		Access from SQF Website. Use documents from Step Three: Food Safety Management System		
18)	Management establish, implement and maintain infrastructure and maintenance Good Manufacturing Practices to assist in controlling food safety hazards		Use documents from Step Four: Good Manufacturing Practices		

Step Six: HACCP Implementation Guide

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





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

Tasks 19 - 21

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

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

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

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

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

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

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

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

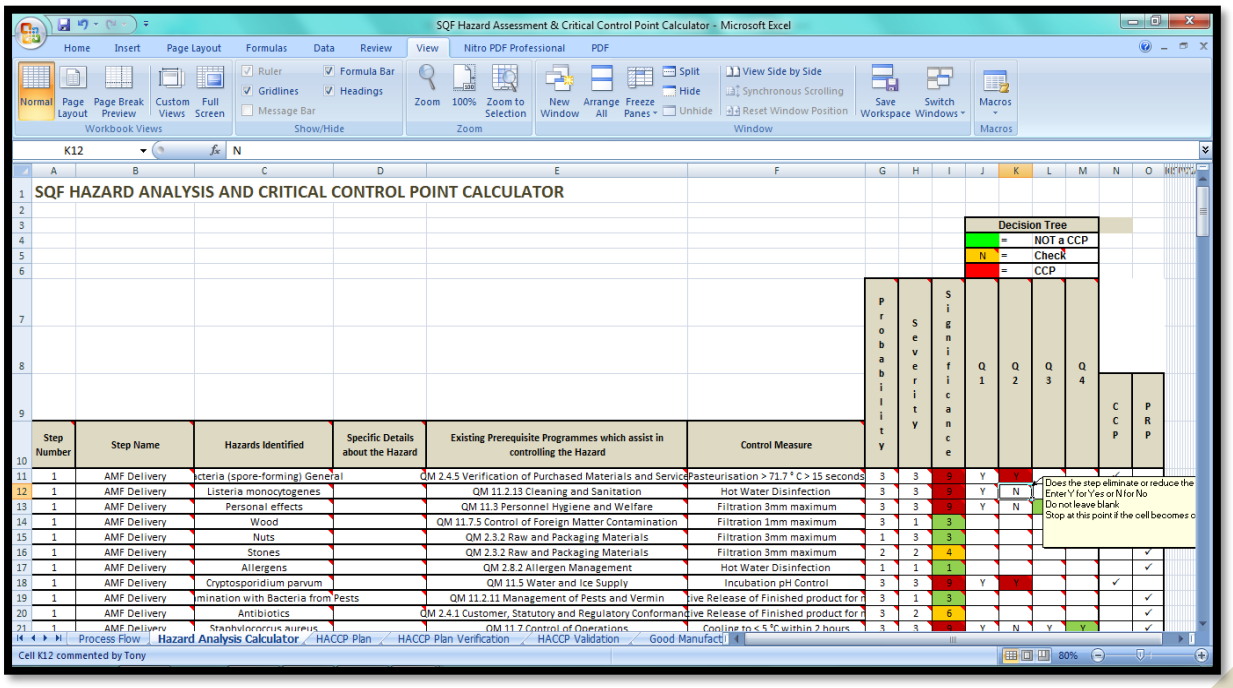
Then the Food Safety Team assess the severity of the hazard:

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

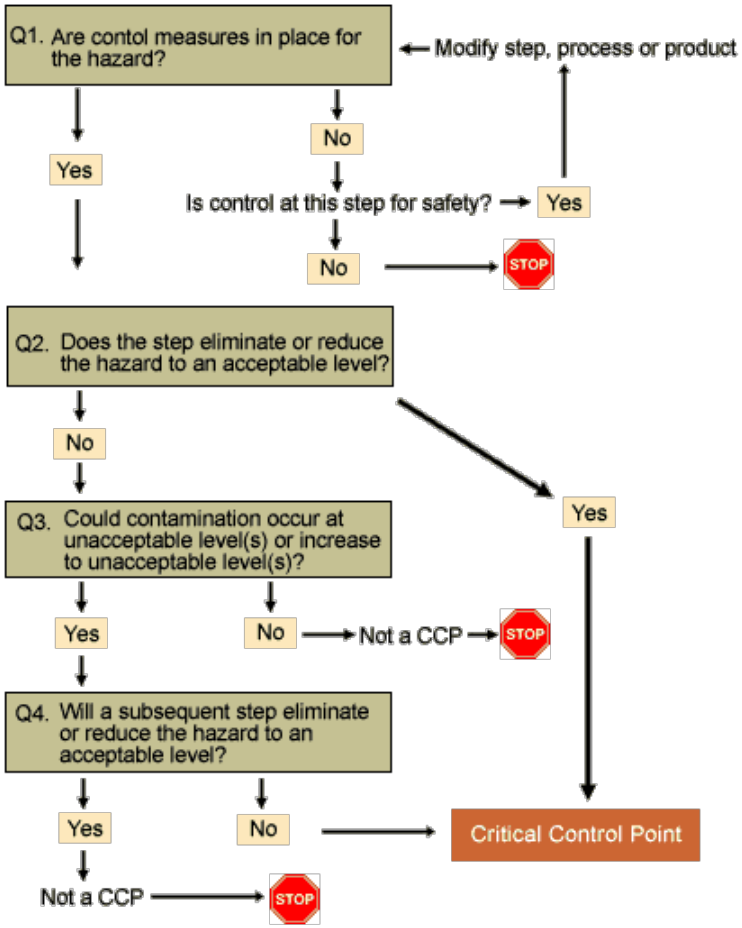
The Food Safety team should factor in the vulnerability of the targeted consumer, the survival and multiplication of any biological hazards and any likely toxin production, the presence of chemicals or foreign bodies, contamination at any stage in the process and possible deliberate contamination or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

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

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



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



Task 35 The food safety team document the HACCP plan

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

Critical Limits	Monitoring Procedures	Corrective Action	Responsibility	HACCP Record
Minimum / Maximum acceptable levels to ensure condition is in control	- measurements to be taken (or observations) method of measurement - devices used (including applicable calibration procedures) - frequency of monitoring - responsibility and authority for monitoring and evaluation of the monitoring results	Action to be taken when outside of critical limits to regain control and ensure unsafe product is controlled	Who is taking the action	Where is it recorded

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

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

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

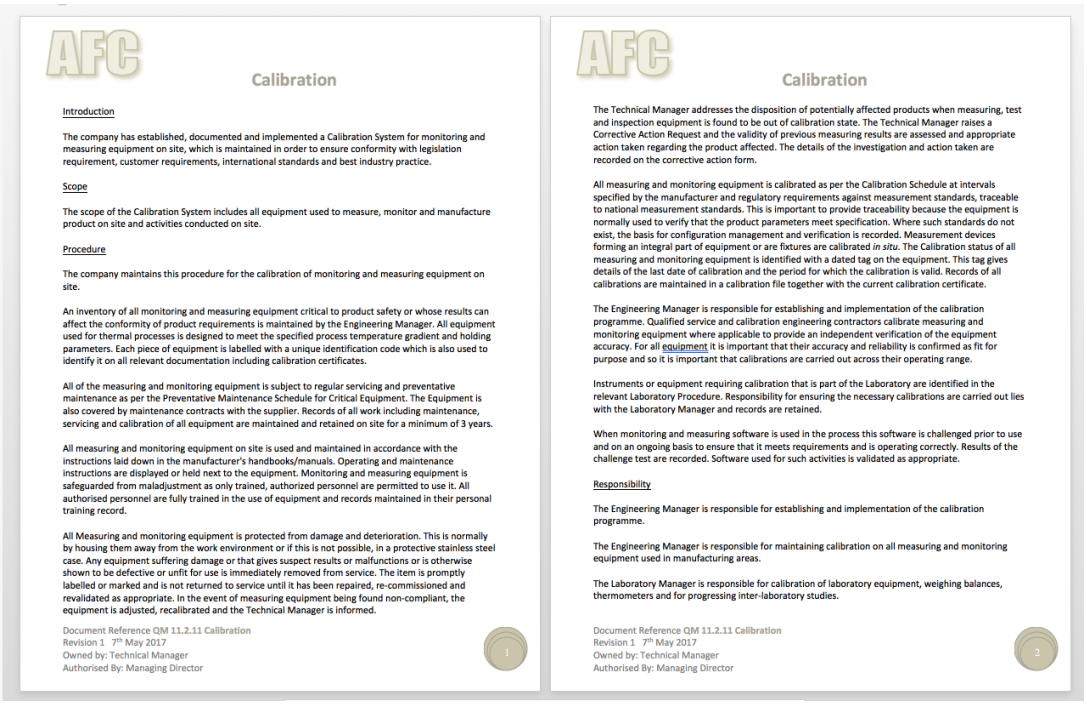
Task 40: A system is put in place to control allergens - QM 2.8.1 Allergen Management

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

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

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

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



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Calibration

Introduction

The company has established, documented and implemented a Calibration System for monitoring and measuring equipment on site, which is maintained in order to ensure conformity with legislation requirement, customer requirements, international standards and best industry practice.

Scope

The scope of the Calibration System includes all equipment used to measure, monitor and manufacture product on site and activities conducted on site.

Procedure

The company maintains this procedure for the calibration of monitoring and measuring equipment on site.

An inventory of all monitoring and measuring equipment critical to product safety or whose results can affect the conformity of product requirements is maintained by the Engineering Manager. All equipment used for thermal processes is designed to meet the specified process temperature gradient and holding parameters. Each piece of equipment is labelled with a unique identification code which is also used to identify it on all relevant documentation including calibration certificates.

All of the measuring and monitoring equipment is subject to regular servicing and preventative maintenance as per the Preventative Maintenance Schedule for Critical Equipment. The Equipment is also covered by maintenance contracts with the supplier. Records of all work including maintenance, servicing and calibration of all equipment are maintained and retained on site for a minimum of 3 years.

All measuring and monitoring equipment on site is used and maintained in accordance with the instructions laid down in the manufacturer's handbooks/manuals. Operating and maintenance instructions are displayed or held next to the equipment. Monitoring and measuring equipment is safeguarded from maladjustment as only trained, authorized personnel are permitted to use it. All authorised personnel are fully trained in the use of equipment and records maintained in their personal training record.

All Measuring and monitoring equipment is protected from damage and deterioration. This is normally by housing them away from the work environment or if this is not possible, in a protective stainless steel case. Any equipment suffering damage or that gives suspect results or malfunctions or is otherwise shown to be defective or unfit for use is immediately removed from service. The item is promptly labelled or marked and is not returned to service until it has been repaired, re-commissioned and revalidated as appropriate. In the event of measuring equipment being found non-compliant, the equipment is adjusted, recalibrated and the Technical Manager is informed.

Document Reference QM 11.2.11 Calibration
Revision 1 7th May 2017
Owned by: Technical Manager
Authorised By: Managing Director

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Calibration

The Technical Manager addresses the disposition of potentially affected products when measuring, test and inspection equipment is found to be out of calibration state. The Technical Manager raises a Corrective Action Request and the validity of previous measuring results are assessed and appropriate action taken regarding the product affected. The details of the investigation and action taken are recorded on the corrective action form.

All measuring and monitoring equipment is calibrated as per the Calibration Schedule at intervals specified by the manufacturer and regulatory requirements against measurement standards, traceable to national measurement standards. This is important to provide traceability because the equipment is normally used to verify that the product parameters meet specification. Where such standards do not exist, the basis for configuration management and verification is recorded. Measurement devices forming an integral part of equipment or are fixtures are calibrated *in situ*. The Calibration status of all measuring and monitoring equipment is identified with a dated tag on the equipment. This tag gives details of the last date of calibration and the period for which the calibration is valid. Records of all calibrations are maintained in a calibration file together with the current calibration certificate.

The Engineering Manager is responsible for establishing and implementation of the calibration programme. Qualified service and calibration engineering contractors calibrate measuring and monitoring equipment where applicable to provide an independent verification of the equipment accuracy. For all equipment it is important that their accuracy and reliability is confirmed as fit for purpose and so it is important that calibrations are carried out across their operating range.

Instruments or equipment requiring calibration that is part of the Laboratory are identified in the relevant Laboratory Procedure. Responsibility for ensuring the necessary calibrations are carried out lies with the Laboratory Manager and records are retained.

When monitoring and measuring software is used in the process this software is challenged prior to use and on an ongoing basis to ensure that it meets requirements and is operating correctly. Results of the challenge test are recorded. Software used for such activities is validated as appropriate.

Responsibility

The Engineering Manager is responsible for establishing and implementation of the calibration programme.

The Engineering Manager is responsible for maintaining calibration on all measuring and monitoring equipment used in manufacturing areas.

The Laboratory Manager is responsible for calibration of laboratory equipment, weighing balances, thermometers and for progressing inter-laboratory studies.

Document Reference QM 11.2.11 Calibration
Revision 1 7th May 2017
Owned by: Technical Manager
Authorised By: Managing Director

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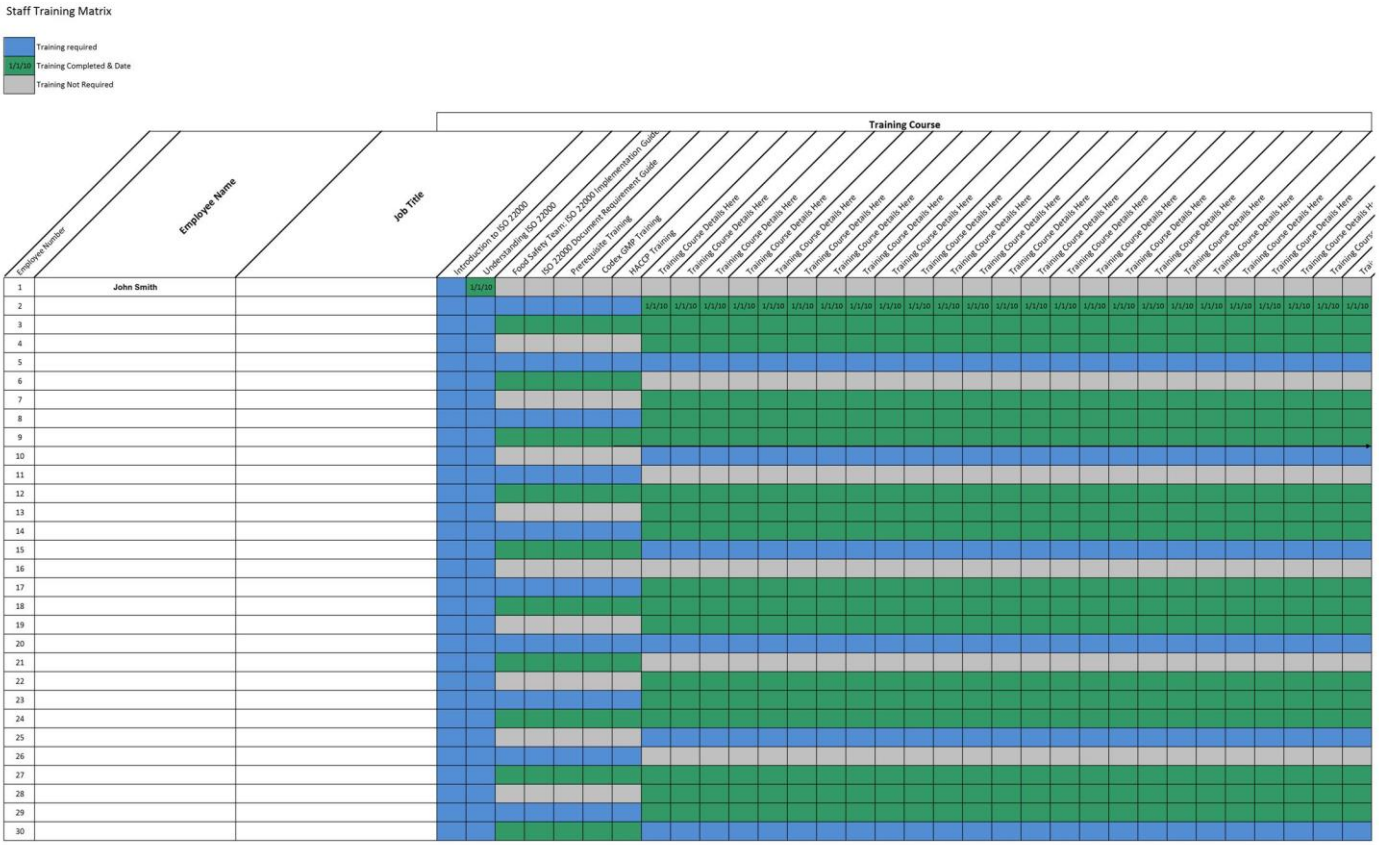
Step Seven: Training

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

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



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

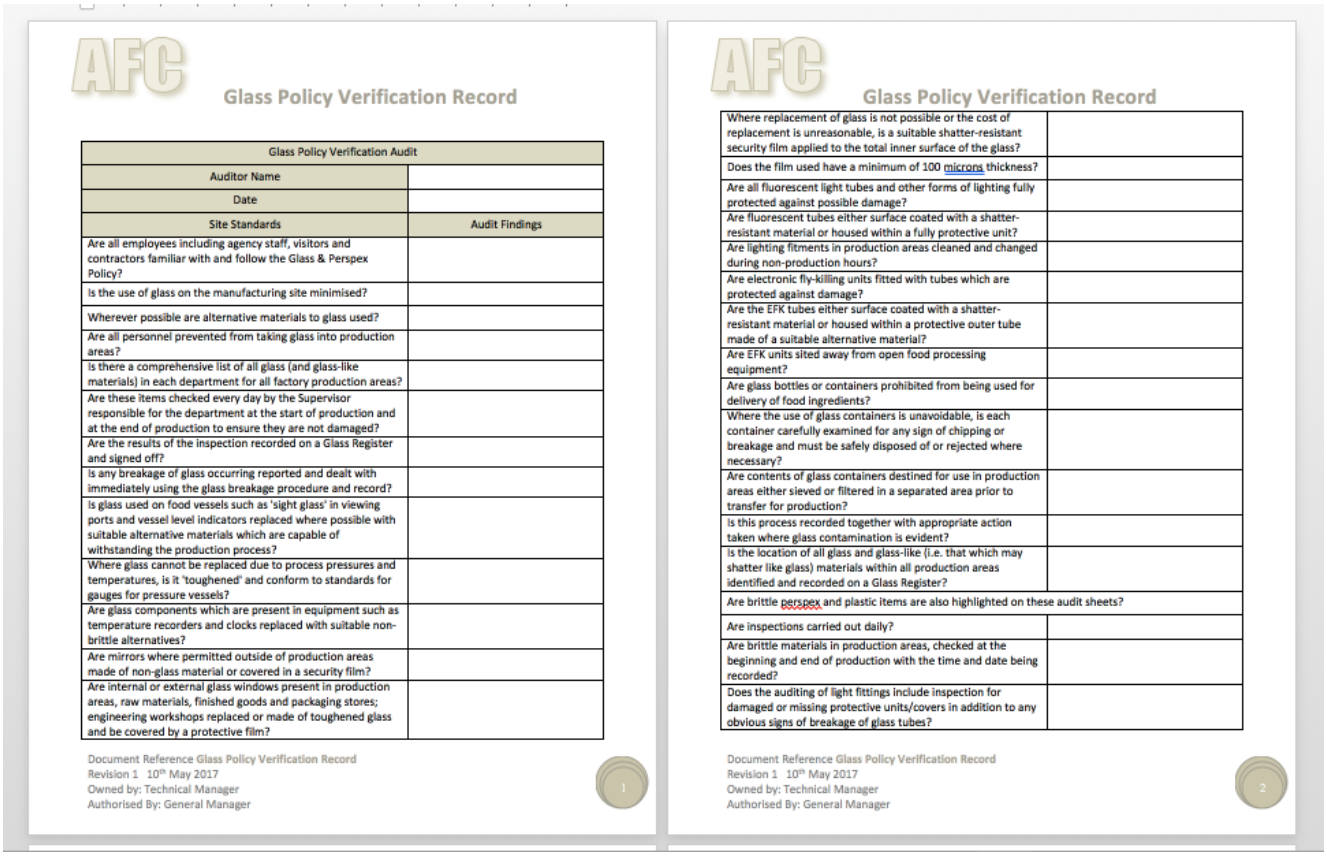
For each employee and individual training record should be completed. QMR 002 Training Record is provided in the documentation pack as a template:

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

Verification Record Example



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Glass Policy Verification Record

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

Document Reference Glass Policy Verification Record
Revision 1 10th May 2017
Owned by: Technical Manager
Authorised By: General Manager

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Glass Policy Verification Record

Where replacement of glass is not possible or the cost of replacement is unreasonable, is a suitable shatter-resistant security film applied to the total inner surface of the glass?	
Does the film used have a minimum of 100 microns thickness?	
Are all fluorescent light tubes and other forms of lighting fully protected against possible damage?	
Are fluorescent tubes either surface coated with a shatter-resistant material or housed within a fully protective unit?	
Are lighting fitments in production areas cleaned and changed during non-production hours?	
Are electronic fly-killing units fitted with tubes which are protected against damage?	
Are the EFK tubes either surface coated with a shatter-resistant material or housed within a protective outer tube made of a suitable alternative material?	
Are EFK units sited away from open food processing equipment?	
Are glass bottles or containers prohibited from being used for delivery of food ingredients?	
Where the use of glass containers is unavoidable, is each container carefully examined for any sign of chipping or breakage and must be safely disposed of or rejected where necessary?	
Are contents of glass containers destined for use in production areas either sieved or filtered in a separated area prior to transfer for production?	
Is this process recorded together with appropriate action taken where glass contamination is evident?	
Is the location of all glass and glass-like (i.e. that which may shatter like glass) materials within all production areas identified and recorded on a Glass Register?	
Are brittle perspex and plastic items are also highlighted on these audit sheets?	
Are inspections carried out daily?	
Are brittle materials in production areas, checked at the beginning and end of production with the time and date being recorded?	
Does the auditing of light fittings include inspection for damaged or missing protective units/covers in addition to any obvious signs of breakage of glass tubes?	

Document Reference Glass Policy Verification Record
Revision 1 10th May 2017
Owned by: Technical Manager
Authorised By: General Manager

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

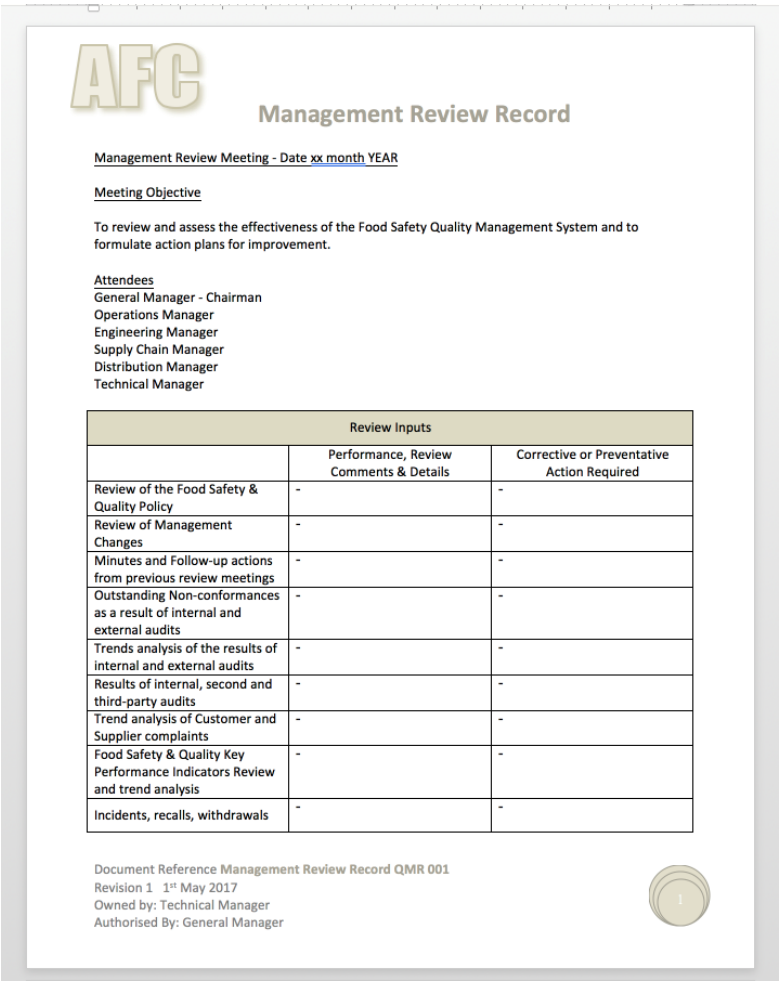
The Food Safety Team should define the methods, frequencies and responsibilities for verification activities. Verification activities should be put in place by the Food Safety Team to confirm the effective operation of the Food Safety Management System.

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

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

Attendees:

Senior Management Team		
Job Title	**Name**	**Role in Team**
Managing Director		Chairman
Site Director		Deputy Chair
Operations Manager		Operations Reporting
Technical Manager		Food Safety and Quality Reporting 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



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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
General Manager - Chairman
Operations Manager
Engineering Manager
Supply Chain Manager
Distribution Manager
Technical Manager

Review Inputs		
	Performance, Review Comments & Details	Corrective or Preventative Action Required
Review of the Food Safety & Quality Policy	-	-
Review of Management Changes	-	-
Minutes and Follow-up actions from previous review meetings	-	-
Outstanding Non-conformances as a result of internal and external audits	-	-
Trends analysis of the results of internal and external audits	-	-
Results of internal, second and third-party audits	-	-
Trend analysis of Customer and Supplier complaints	-	-
Food Safety & Quality Key Performance Indicators Review and trend analysis	-	-
Incidents, recalls, withdrawals	-	-

Document Reference Management Review Record QMR 001
Revision 1 1st May 2017
Owned by: Technical Manager
Authorised 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