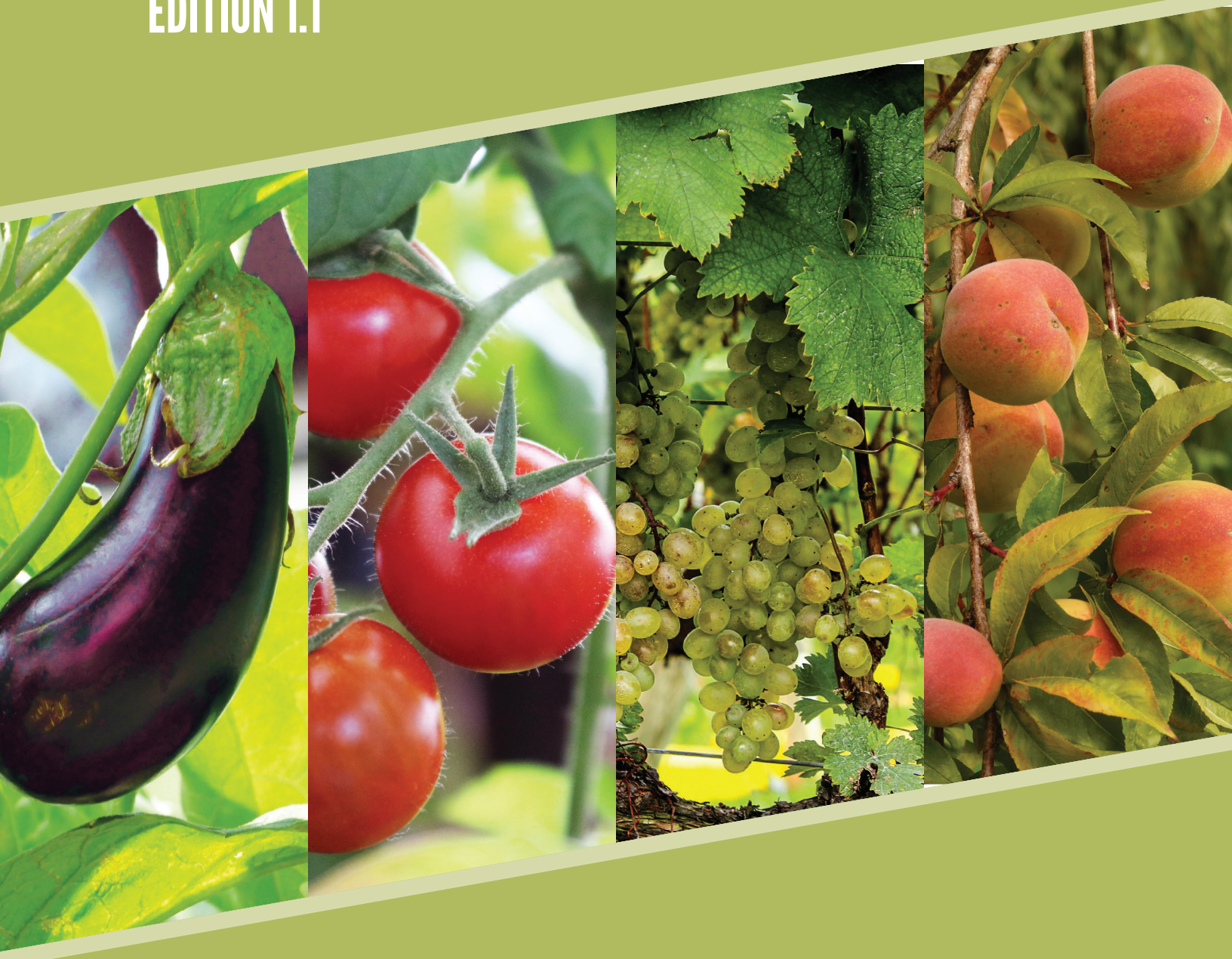
SQF Fundamentals for Primary Production - Intermediate

EDITION 1.1



SQF INSTITUTE

One world. One standard.

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Suggestions for improvements to this Code are encouraged from all parties. Written comments are to be sent to SQFI at 2345 Crystal Drive, Suite 800, Arlington, VA, 22202, USA.

Introduction

A message from SQF
Congratulations! By using the SQF Program you are joining many thousands of sites globally, that create, build and assess their food safety program to meet the food safety standards set by regulators and buyers requirements. SQF can help you identify and address the food safety risks to your operation and build a culture of food safety in your organization.

What is SQF?
The Safe Quality Food (SQF) program is recognized by retailers, foodservice providers and buyers around the world as a rigorous, credible food safety management system. The program follows the requirements outlined by internationally recognized organizations such as Global Food Safety Initiative (GFSI). SQFI uses stakeholder feedback to develop programs that help protect your brand. SQF has a food safety solution for all industries and commodities, no matter where you are on your food safety journey. As a division of the Food Marketing Institute (FMI), the SQF program is the preferred program among retailers.

How to use the Fundamentals Program?
Welcome to edition 1.1 of *SQF Fundamentals for Primary Production*. The SQF Fundamentals Code was developed using the GFSI Global Markets toolkit. That toolkit meets retailers and buyers requirements for small and medium enterprises. The SQF Fundamentals for Manufacturing provides the essential requirements for building a robust food safety management system. This program can assist you as you create a culture of food safety at your site including the implementation of a written food safety plan and good industry practices.

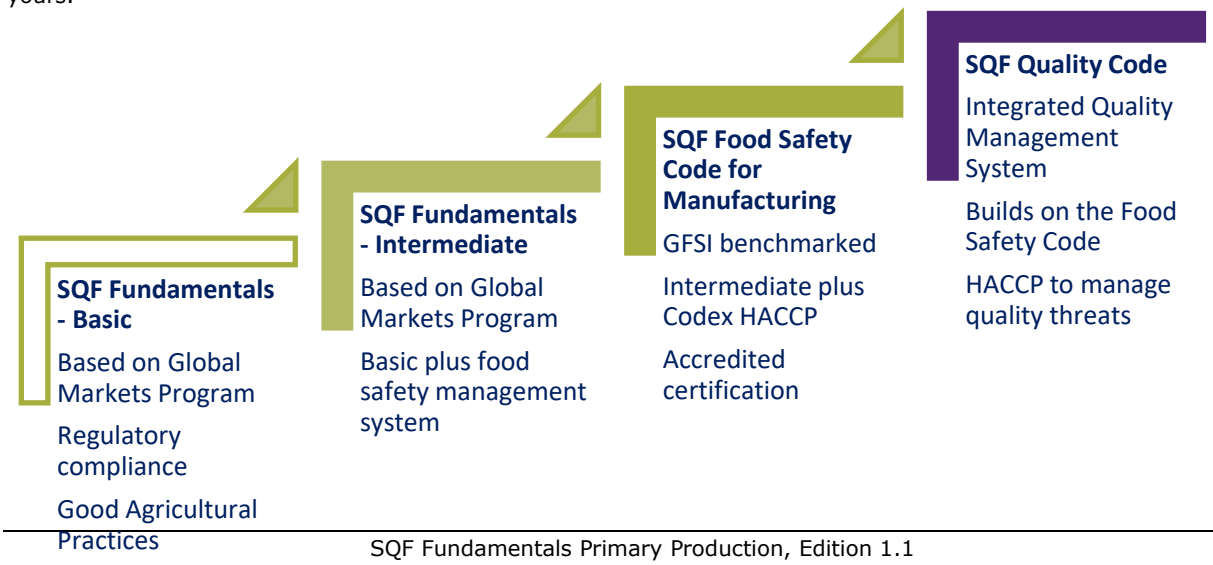
For more information on the GFSI and GFSI Global Markets toolkit please visit the GFSI webpage at www.mygfsi.com.

The Fundamentals Program is in two separate codes; Basic and Intermediate. Both programs include essential food safety requirements, however, Basic SQF Fundamentals focuses on developing good implementation tools for food safety, and Intermediate SQF Fundamentals builds on the Basic code, includes implementation tools and adds more requirements regarding documentation.

Building continuous improvement
Food safety is a continuous improvement journey and your retailer or buyer may not want you to stop once you have achieved Fundamental level certification. The SQF Codes were built to assist you as you improve your food safety management system. The SQF Basic and Intermediate Fundamental Codes align with the full set of SQF Food Safety Codes including the section headings and numbering, easing you into a food safety management system that is fully benchmarked by GFSI.

What is My Pathway to Certification?
SQF has a series of Codes to help you achieve the level of food safety certification that you need. Each Code builds on the previous one to provide a continuous improvement certification pathway.

You can join the pathway at a level that best suits your business needs and those of your market. The choice is yours.



The table below can guide you on where you should begin your road to SQF certification. Good luck on your food safety journey!

IF	THEN
You need a program that is approved for small, medium sites and meets the GFSI Global Markets Program	Use one of the following SQF Fundamentals Program: • SQF Fundamentals for Primary Production, Basic • SQF Fundamentals for Primary Production, Intermediate
You need a program that is GFSI benchmarked	Use one of the following SQF Food Safety Codes: • Primary Production • Manufacturing • Storage and Distribution • Manufacture of Food Packaging
You need a GFSI benchmarked program that includes quality	Use one of the SQF Food Safety Codes AND the SQF Quality Code
You don't have a buyer requirement but want a program to measure your food safety program that is risk based	Use the SQF Fundamentals Program, Basic
If you don't have a buyer requirement but want a program that measures your food safety program based on HACCP following CODEX	Use the SQF Fundamentals Program, Intermediate
If you don't have a buyer requirement but want a program that measures your food safety program based on HACCP following CODEX and includes more rigorous food safety standards	Use one of the SQF Food Safety Codes: • Primary Production • Manufacturing • Storage and Distribution • Manufacture of Food Packaging

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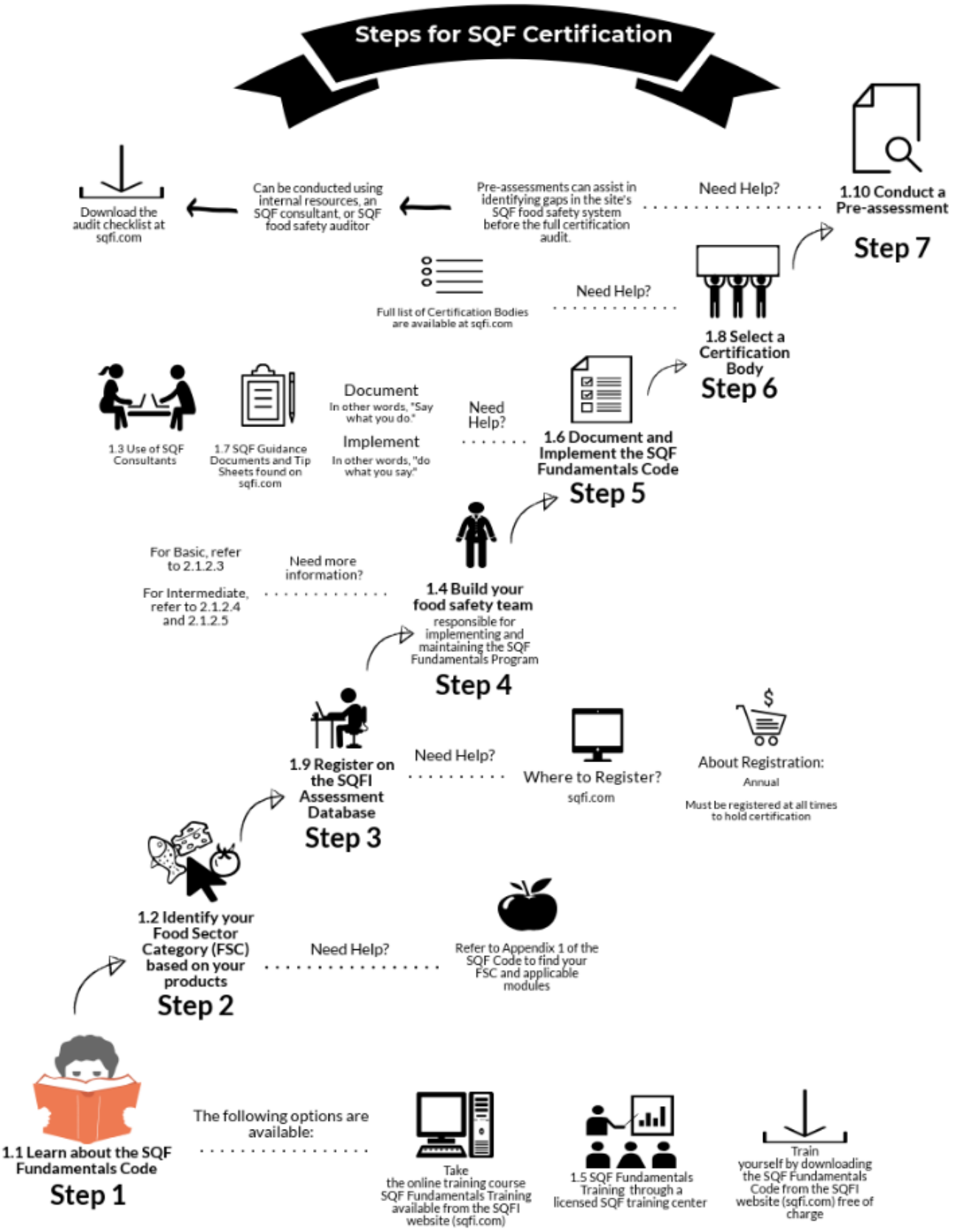


Part A: SQF Fundamentals for Primary Production Code Protocols

1. Preparing for Certification

1.1 Learn about the SQF Basic and Intermediate Fundamentals

There are several ways to learn how to implement the SQF Fundamentals Code within your site. The following options are available:

- Attend a training course SQF Fundamentals Training (refer Part A, 1.6) through a licensed SQF training center (recommended);
- Take the online training course SQF Fundamentals Training available from the SQFI website (sqfi.com);
- Train yourself by downloading the SQF Codes from the SQFI website (sqfi.com) free of charge, and read how to apply it to your industry sector.

1.2 Select the Relevant SQF Food Sector Categories

SQFI recognizes that food safety practices differ depending on the food safety risk to the product and the process, and has designed the SQF Codes to meet the individual requirements of each industry sector.

The SQF food sector categories and applicable modules are listed in full in Appendix 1. It includes a more detailed description with examples, level of risk, and the relationship with the GFSI industry scopes outlined in the GFSI Requirements Document.

However the following provides a guide to the SQF Codes and modules that apply to each food sector or groups of industry sectors. If your FSC is not in the table below you can still use the Fundamentals Program. Reference Appendix 1 in the back of this Code to determine your FSC and relevant module. You would be required to use the system elements (module 2) in the Fundamentals Code with the relevant module in the Food Safety Code for your FSC.

SQF Food Sector Category (FSC) and applicable module		
FSC	**Category**	**Applicable GMP Modules**
3	Growing and Production of Fresh Produce and Nuts	Module 2 – System Elements and Module 7: GAP for farming of plant products (fruit and vegetables)

1.3 Use of SQF Consultants

Sites can choose to develop and implement their SQF Code using their own qualified resources or they can utilize the services of a registered SQF consultant. All SQF consultants are registered by the SQFI to work in specific food sector categories (refer Appendix 1). They are issued with an identity card indicating the food sector categories in which they are registered. Sites are encouraged to confirm an SQF consultant's registration details on the SQFI website (sqfi.com) before engaging their services. The criteria outlining the requirements necessary to qualify as an SQF consultant and the application forms are available on the SQFI website (sqfi.com). The SQF Consultant Code of Conduct outlines the practices expected of SQF consultants.

1.4 Food Safety Responsibility

Whether or not an SQF consultant is used, the SQF Code requires that every site has a suitably qualified employee or consultant to oversee the development, implementation, review and maintenance of the SQF System, including the Good Agricultural Practices (GAP). The requirements for a qualified person responsible for implementing and maintaining the SQF system are described in the system element, 2.1.1.3.

Some sites may choose to have more than one person responsible for the SQF System to meet shift and operational requirements.

1.5 SQF Fundamentals Training

Employees who are responsible for designing, implementing and maintaining the requirements of the SQF Food Safety Fundamentals Code are encouraged to participate in a training course to learn how to best implement the SQF Fundamentals Code. Training is available online or through the SQFI network of licensed training centers.

The SQF Fundamentals training options can be accessed from the SQFI website (sqfi.com). The online training solution is a web-based education portal where staff can enroll and complete SQF Systems training in their own time and at their own pace. Details about the training centers and the countries in which they operate are available on the SQFI website (sqfi.com). The dates and locations of the courses can be obtained by contacting the training centers.

The SQF Fundamentals Training is not mandatory for the person responsible for implementing and maintaining the SQF Code, but is strongly recommended.

1.6 Document and Implement the SQF Code

To achieve SQF certification, the site must document and implement the system elements and the relevant GMP Modules of the SQF Code (refer Part A, 1.2). This requires a two stage process:

Document the SQF System – prepare policies, procedures, work instructions and specifications that meet the system elements and Good Agricultural Practices (GAP) modules of the SQF Code. In other words, "say what you do."

Implement the SQF System – implement the prepared policies, procedures, work instructions and specifications, and keep records to demonstrate compliance to the relevant modules of the SQF Code. In other words, "do what you say." SQFI recommends that a minimum of two months of records be available before a site audit is conducted.

1.7 SQF Guidance Documents and Tip Sheets

Guidance documents and tip sheets are available for some SQF modules and food sector categories from the SQFI website (sqfi.com). These documents are available to help the site interpret the requirements of the SQF Code and assist with documenting and implementing an SQF System. The documents are developed with the assistance of food sector technical experts.

The guidance documents and tip sheets are available to assist the site, but are not auditable documents. Where there is a divergence between the guidance document and/or the tip sheet and the SQF Code, the SQF Code in English prevails.

1.8 Select a Certification Body

The SQF Fundamentals Code can only be conducted by certification bodies that are licensed by SQFI to conduct SQF audits and issue the SQF certificate.

The site is required to have an agreement with a certification body in place at all times which outlines the SQF audit and certification services provided. These include as a minimum:

i. The scope of certification (refer Part A, 2.2);

ii. The expected time to conduct and finalize the audit and the reporting requirements;

iii. The certification body's fee structure;

iv. The conditions under which the SQF certificate is issued, withdrawn or suspended; and

v. The certification body's appeals, complaints and disputes procedure.

A current list of licensed certification bodies is available on the SQFI website (sqfi.com). Certification bodies are also listed in the SQFI assessment database and sites can request a quote or select a certification body online once they have registered.

1.9 Register on the SQF Database

To be considered for SQF certification, sites are required to register in the SQFI assessment database. The database can be accessed from the SQFI website (sqfi.com).

Registration is annual, and there is a fee per site payable at registration and renewal. The fee is available on the SQFI website (sqfi.com).

Sites must register with SQFI prior to achieving certification, and must remain registered at all times to retain their certification. If the site fails to maintain registration, the certificate will be invalid until the site is properly registered in the SQFI assessment database.

1.10 Conduct a Pre-assessment Audit

A pre-assessment audit is not mandatory, but is recommended to provide an overview of the site's implemented SQF food safety System. A pre-assessment audit can assist in identifying gaps in the site's SQF food safety system so that corrective action can occur before engaging the selected certification body for a full certification audit. It can be conducted using internal resources, a registered SQF consultant, or a registered SQF fundamentals auditor.

2. The Initial Certification Process

2.1 Selection of the SQF Auditor(s)

The SQF Fundamentals auditors must be employed by or contracted to an SQFI licensed certification body, and must meet the criteria of the SQF Fundamentals auditor or be registered with the SQFI as an SQF Food Safety Auditor.

The certification body is responsible for ensuring all auditors meet the criteria established by SQFI for the SQF Fundamentals auditor and shall select the most appropriate qualified SQF food safety auditor(s) for the site's SQF certification audit, including vertically integrated sites. The certification body shall ensure no SQF food safety auditor conducts audits of the same site for more than three (3) consecutive certification cycles.

The certification body must advise the site of the name of the SQF Fundamentals auditor at the time that the SQF audit is scheduled. The site may check the credentials provided by the certification body or the registration and food sector category (ies) of the SQF food safety auditor in the register on the SQFI website (sqfi.com).

2.2 Identifying the Scope of Certification

The scope of certification shall be clearly identified and agreed upon between the site and certification body prior to the initial certification audit and included in the scope of the initial certification audit and all subsequent audits (refer Part A, 2.4). The scope of certification shall determine the relevant system elements and GMP modules to be documented and implemented by the site and audited by the certification body, and cannot be changed during or immediately following a certification or re-certification audit.

For requirements on changing the scope of certification, refer Part A, 5.1.

The scope of certification shall include:

> **The site.** SQF certification is site specific. The entire site, including all premises, support buildings, silos, tanks, loading and unloading bays and external grounds must be included in the scope of certification. Where a site seeks to exempt part of the premises, the request for exemption must be submitted to the certification body in writing prior to the certification audit, detailing the reason for exemption. If approved by the certification body, exemptions shall be listed in the site description in the SQFI assessment database and in audit report(s). However, all parts of the premises and process that are involved with the production, processing and storage of products included in the scope cannot be exempted.

When activities are carried out in different premises but are overseen by the same senior, operational, and technical management, and are covered by the one SQF System, the site can be expanded to include those premises.

Exempted parts of the site must not be promoted as being covered by the certification. Instances where promotion of exempted equipment or areas of the site are identified and substantiated (either by regular audit or by other means) shall result in immediate withdrawal of the SQF certification.

> **The products.** SQF certification is product specific. The food sector category (ies) and products processed and handled on site shall be identified and agreed in the scope of certification. Where a site seeks to exempt any products processed or handled on site, the request for exemption must be submitted to the certification body in writing prior to the certification audit, explaining the reason for exemption. If approved by the certification body, product exemptions shall be listed in the site description in the SQFI assessment database and in audit report(s).

2.3 Identifying the Scope of the Audit

The site and the certification body shall agree on the audit scope before the certification audit begins. The scope of the audit shall include:

- The agreed scope of certification including any approved exemptions (refer Part A, 2.2);
- The version of the SQF Fundamentals Code, – Primary Production, and the applicable GMP Modules;
- The audit duration (refer Part A, 2.4);
- The designated SQF fundamentals auditor; and
- The certification body's fees structure including travel time, report writing, ancillary costs, and costs for close-out of non-conformities.

Once the audit scope is agreed between the site and the certification body, it cannot be changed once the audit has commenced.

2.4 Audit Duration Guide

Once the certification body and site have agreed on the scope of certification, and relevant information to support the scope, the certification body shall provide the site with an estimate of the time it will take to complete the certification audit.

The audit times will vary according to the size and complexity of the site operations. Factors that can impact on the audit duration include:

i. The scope of the audit;

ii. The size of the site and the design of product, and/or people flows;

iii. The number and complexity of product lines and the overall process;

iv. Whether the product is high or low risk;

v. The complexity of the SQF System design and documentation;

vi. The level of mechanization and labor intensiveness;

vii. The ease of communication with company personnel (consider different languages spoken);

viii. The cooperation of the site's personnel.

Tables 1 and 2 provide a guide to the duration of an SQF certification audit. Justification is required if the certification body deviates from this guide by greater than thirty (30) percent.

This is a guide only, and the certification body must determine the duration of each certification audit based on the scope of certification, the food safety risk, and the complexity of the processes.

Table 1: SQF Basic Fundamental Primary Production Site Audit Duration Table

Step 1	Step 2	Step 3
	Duration (days) (includes up to three commodities/animal species)	Additional Days based on Number of employees
Farm business employing less than 10 people	.25	1 to 50 = 0 51 to 100 = 0.25 101 to 500 = .5 > 500 = .75
All other farm businesses	.5	
Additional time for greater than 3 commodities/animal species	0.25 day per additional 3 HACCP plans or 3 crops/commodities/animal species	

Table 2: SQF Intermediate Fundamentals Primary Production Site Audit Duration Table

Step 1	Step 2	Step 3
	Duration (days) (includes up to three commodities/animal species)	Additional Days based on Number of employees
Farm business employing less than 10 people	.33	1 to 50 = 0 51 to 100 = 0.33 101 to 500 = .75 > 500 = 1.0
All other farm businesses	.75	
Additional time for greater than 3 commodities/animal species	0.33 day per additional 3 HACCP plans or 3 crops/commodities/animal species	

In addition to audit time, the certification body shall provide the site with the time and expected costs for planning, travel, report writing, and close out of non-conformities.

2.5 The Site Audit

The site audit is conducted on site by the SQF fundamentals auditor appointed by the certification body. It is conducted at a time agreed between the site and the certification body when the main processes are operating. The site audit must include a review of the entire site, including the inside and outside of the building, regardless of the scope of certification and agreed exemptions. The site audit shall include a review of all operational and cleaning shifts and pre-operational inspections, where applicable.

The site audit determines if the SQF Code is effectively implemented as documented. It establishes and verifies the:

i. Effectiveness of the SQF food safety system in its entirety;

ii. Food safety hazards are effectively identified and controlled;

iii. Level of commitment demonstrated by the site to maintaining an effective SQF system and to meeting their food safety regulatory and customer requirements; and

iv. The exempted products or areas of the site do not pose a food safety risk to the products covered under certification.

2.6 Seasonal Production

Initial certification audits for sites involved in seasonal production (i.e. a period in which the major production activity is conducted over not more than five consecutive months) shall be conducted during the peak operational part of the season.

Where sites seek to include products from more than one season within their scope of certification, the site and certification body shall agree to conduct the initial certification audit during the highest risk and/or highest volume production operation. Documentation and records for other seasonal production shall be reviewed as part of the certification audit.

2.7 Non-conformities

Where the SQF fundamentals auditor finds non-conformities from the requirements of relevant modules of the SQF Code, the SQF fundamentals auditor shall advise the site of the number, description, and extent of the non-conformities. Non-conformities may also be referred to as non-conformances.

Non-conformities against the SQF Code shall be graded as follows:

- **A minor non-conformity** is an omission or deficiency from the SQF Code that produces unsatisfactory conditions that if not addressed may lead to a risk to food safety but not likely to cause a system element breakdown.
- **A major non-conformity** is an omission or deficiency from the SQF Code producing unsatisfactory conditions *that carry a food safety risk and are likely* to result in a system element breakdown.
- **A critical non-conformity** is a breakdown of control(s) at a critical control point, a pre-requisite program, or other process step and judged likely to cause a significant public health risk and/or where product is contaminated.

A critical non-conformity is also raised if the site fails to take effective corrective action within the timeframe agreed with the certification body, or if the certification body deems that there is systemic falsification of records relating to food safety controls and the SQF System.

Timelines for the resolution of corrective actions are addressed in Part A, 3.2.

2.8 Audit Evidence Record and Audit Report

The SQFI provides the certification body with the electronic audit checklist to be used by the SQF fundamentals auditors when conducting SQF Code audits. The SQF audit checklist is available from the SQFI assessment database and is customized for SQF industry sector. The SQF checklist is designed to ensure the uniform application of SQF audit requirements. It is used by SQF fundamentals auditors to record their findings and determine the extent to which site operations comply with stated requirements (i.e. the audit evidence record).

Good Agricultural Practices (GAP) module(s) shall be assessed as part of the SQF Basic/Intermediate Fundamentals audit. Where an element is not applicable and appropriately justified, it shall be stated as "not applicable" (N/A) by the SQF fundamentals auditor in the audit report.

Non-conformities identified during the SQF audit shall be accurately described in the SQF audit report and shall fully describe the clause of the SQF Code and the reason for the non-conformity. Non-conformity reports shall be left provided to the site by the SQF fundamentals auditor before the close of the site audit.

The electronic audit evidence record shall be completed by the SQF fundamentals auditor and provided to the certification body for technical review.

The certification body shall review and approve the audit evidence record and make it available to the site within ten (10) calendar days from the last day of the audit. A final audit report, with completed and approved corrective actions shall be made available to the site before the final certification decision is made forty-five (45) calendar days from the last day of the site audit (refer Part A, 3.4).

The SQF audit reports shall remain the property of the site and shall not be distributed to other parties without the permission of the site.

3. The Initial Certification Decision

3.1 Responsibility for the Certification Decision

It is the responsibility of the certification body to ensure that audits undertaken by their SQF food safety auditors are thorough, that all requirements are fulfilled, and the audit report is complete. The audit report is in draft form and the audit evidence is only recommended until technically reviewed and approved by the authorized certification manager of the certification body.

The certification decision shall be made by the certification body based on the evidence of compliance and non-conformity recommended by the SQF fundamentals auditor during the SQF audit. Although SQFI provides guidance on certification, the certification body is responsible for deciding if certification is justified and granted based on the objective evidence provided by the SQF fundamentals auditor.

Any certification decisions that are made outside the scope of this clause require the certification body to provide written justification to SQFI.

3.2 Site Audit Corrective Actions

All non-conformities and their resolution shall be documented by the SQF fundamentals auditor. The close-out timeframes are for major and minor non conformities are identified below. **A minor non-conformity** shall be corrected, verified and closed out by the SQF fundamentals auditor within thirty (30) calendar days of the completion of the site audit. Extensions may be granted by the certification body where there is no immediate threat to product safety, and alternative, temporary methods of control are initiated. The site shall be advised of the extended timeframe. Where an extension is granted, the non-conformity shall still be closed out and the SQF fundamentals auditor shall document all details of justification of the extension, how the risk is being controlled, and the agreed completion date.

- **A major non-conformity** shall be corrected and appropriate corrective action verified and closed out within thirty (30) calendar days of the completion of the site audit.

  In circumstances where the corrective action involves structural change or cannot be corrected due to seasonal conditions or installation lead times, this period can be extended provided the corrective action time frame is acceptable to the certification body and temporary action is taken by the site to mitigate the risk to product safety. However, in such cases, the non-conformity shall be closed out and the SQF fundamentals auditor shall document all details of justification of the extension, how the risk is being controlled, and the agreed completion date.

- If the SQF fundamentals auditor considers that a critical non-conformity exists during a certification audit, the SQF fundamentals auditor shall immediately advise the site and notify the certification body. A critical non-conformity raised at an initial certification audit results in an automatic failure of the audit, and the site must re-apply for certification (refer Part A, 3.5).

3.3 Audit Score and Rating

There is no scoring or rating issued for SQF Basic or Intermediate Fundamentals Primary Production Code audits. The score and ratings that apply to SQF Food Safety certification audits do not extend to the SQF Fundamentals Primary Production certification audit. Where a score or audit rating is required by site customers then the certification body will apply the scoring/rating system used for SQF Food Safety Codes (see appropriate SQF Food Safety Codes available on the SQFI website (sqfi.com)).

3.4 Granting Certification

Sites are deemed to have successfully implemented the SQF Basic or Intermediate Fundamentals Primary Production Code if:

- The site closes out all non-conformities within thirty (30) days.

The certification decision shall be made within forty-five (45) calendar days of the last day of the SQF Code audit. The site's unique certification number shall apply to their fundamentals certification of completion.

Within ten (10) calendar days of granting fundamental certification, the certification body shall provide an electronic and/or hard copy of the site's fundamental certificate of completion. The certificate is valid for seventy-five (75) days beyond the anniversary of the initial certification audit date. The certificate shall be in a form approved by the SQFI and include:

i. The name, address and logo of the certification body;

ii. The heading "certificate of completion;"

iii. The phrase "(site name) is registered as meeting the requirements of the SQF Fundamentals for Primary Production, Basic or Intermediate, edition 1;"

iv. The food sector categories and products included in the scope of registration;

v. Dates of audit (last day), date of next re-certification audit, date of certification decision, and date of certificate expiry;

vi. The SQF logo; and

vii. Signatures of the authorized officer and issuing officer.

Certified sites information shall be posted to the SQFI website (sqfi.com).

3.5 Failure to Comply

Where a site fails to close out non-conformities within the required timeframe or receives a Critical non-conformity, the site is considered to have failed the SQF Code certification audit. The site must then re-apply for another site audit.

4. Surveillance and Re-certification

4.1 Maintaining Certification

To maintain SQF certification sites must ensure that surveillance and/or re-certification audits occur within the required timeframe, ensure that no critical non-conformities are raised at surveillance or re-certification audits, and that all major and minor non-conformities are corrected within the time frame specified.

4.2 Surveillance Audit

The surveillance audit is conducted when the site has any of the following number and type of non-conformances raised as a certification or re-certifications:

i. 2 or more majors

ii. 1 major and 4 or more minors or

iii. 14 or more minors

(Note that all non-conformities must be closed out within thirty (30) days to achieve or maintain certification. Refer Part A, 3.4).

The surveillance audit shall be conducted within forty-five (45) calendar days either side of the six (6) month anniversary of the last day of the previous certification or re-certification audit.

The surveillance audit is intended to:

i. Verify the continued efficacy of corrections and corrective actions closed out at previous food safety audits;

ii. Verify that the SQF Code continues to be implemented as documented;

iii. Consider and take appropriate action where changes to the site's operations are made and the impact of those changes on the site's GMPs and any applicable food safety plans;

iv. Confirm continued compliance with the requirements of the SQF Code;

v. Verify all critical process and food safety steps remain under control; and

vi. Contribute to continued improvement of the site's GMPs and business operation.

Major or minor non-conformities raised at the surveillance audit shall be closed out as indicated in Part A, 3.2.

The site's certificate shall be suspended by the certification body if:

i. The site fails to permit the surveillance audit within the required timeframe; or

ii. The site fails to close out non-conformities, raised at the surveillance audit within the agreed timeframe.

4.3 Surveillance Audit – Seasonal Operations

Seasonal operations are sites whose major activity is conducted over not more than five consecutive months in any calendar year.

Where the due surveillance audit date falls within the operational season, the surveillance audit shall occur within forty-five (45) days either side of the six (6) month anniversary of the last day of the previous certification or re-certification audit.

Where the due date of the surveillance audit falls outside the operational season, the certification body shall conduct a pre-operational audit no less than thirty (30) days prior to the next season. The pre-operational audit shall comprise a full review of corrective actions from the last audit, and preparedness for the next re-certification audit.

4.4 Re-certification Audit

The re-certification audit of the SQF System is undertaken to verify the continued effectiveness of the site's SQF System in its entirety.

The re-certification audit shall be conducted within forty-five (45) calendar days either side of the anniversary of the last day of the initial certification audit.

Written approval by the SQF Compliance Manager is required to issue a temporary extension to a site's re-certification audit timeframe and certificate expiry date including instances in extreme circumstances such as acts of nature or extreme weather. Seasonal sites shall refer to Part A, 4.5.

Situations that require a permanent change to the re-certification audit date require written approval by the SQF Compliance Manager and the site's new re-certification date may be moved earlier than the anniversary and the new re-certification date fixed as the new initial certification audit date.

All extension requests shall come from the certification body that issued the site's SQF certificate.

The purpose of the re-certification audit is to:

i. Verify the continued efficacy of corrections and corrective actions closed out at previous audits;

ii. Verify that the SQF Code continues to be implemented as documented;

iii. Verify that internal audits, annual reviews of the crisis and food defense plans and recall system, and management reviews have been effectively completed;

iv. Verify that corrective and preventative actions have been taken on all non-conformities;

v. Consider and take appropriate action where changes to the site's operations are made and the impact of those changes on the site's GMPs;

vi. Verify all critical steps remain under control and the effective inter-action between all elements of the SQF Code;

vii. Verify the overall effectiveness of the SQF System in its entirety in the light of changes in operations;

viii. Verify that the site continues to demonstrate a commitment to maintaining the effectiveness of the SQF System and to meeting regulatory and customer requirements; and

ix. Contribute to continued improvement of the site's SQF System and business operation.

4.5 Re-certification Audit – Seasonal Operations

The re-certification audit of seasonal operations shall follow the requirements of Part A, 4.4. However, where there is a significant change in seasonal operations whereby the re-certification audit ninety (90) day window cannot be met, the certification body and site shall temporarily reset the re-certification audit date so that it falls during the peak operational part of the season.

If the site wishes to permanently change the re-certification audit date due to seasonal conditions, the request must be made to the SQF Compliance Manager in writing as per Part A, 4.4.

4.6 Suspending Certification

The certification body shall suspend the SQF certificate if the site:

i. fails to permit the re-certification or surveillance audit;

ii. fails to take corrective action within the timeframe specified for major non-conformities;

iii. receives a critical non-conformity on a re-certification or surveillance audit; and

iv. where in the opinion of the certification body, the site fails to maintain the requirements of the SQF Code.

Where the site's certificate is suspended, the certification body shall immediately amend the site details on the SQFI assessment database to a "suspended" status indicating the reason for the suspension and the date of effect; and in writing:

i. inform the site of the reasons for the action taken and the date of effect;

ii. copy the SQF Compliance Manager on the notice of suspension sent to the site; and

iii. request that the site provides to the certification body, within forty-eight (48) hours of receiving notice of the suspension, a detailed corrective action plan outlining the corrective action to be taken.

When the site's certificate is suspended, the certification body shall upon receipt of the detailed corrective action plan:

i. Verify that the immediate correction has been taken by the means of an on-site visit within thirty (30) calendar days of receiving the corrective action plan;

ii. When corrective action has been successfully implemented, re-instate the site status on the SQFI assessment database and give written notice to the site that their certificate is no longer suspended;

iii. Not more than six (6) months after suspension, the certification body shall conduct a site visit to verify the effective implementation of the corrective action plan and that the site's SQF System is achieving stated objectives; and

iv. Copy SQFI on the notice indicating lifting of the suspension sent to the site.

When a certification body has suspended a site's SQF certificate, for the duration of suspension, the site shall not represent itself as holding an SQF certificate.

4.7 Withdrawing Certification

The certification body shall withdraw the certificate when the site:

i. Has been placed under suspension and fails to submit approved corrective action plans as defined by the certification body within forty-eight (48) hours of receiving notice of the suspension, or fails to take approved corrective action as determined by the certification body within the time frames specified;

ii. Has falsified its records;

iii. Fails to maintain the integrity of the SQF certificate; or

iv. Has an administrator, receiver, receiver and manager, official manager or provisional liquidator appointed over its assets or where an order is made or a resolution passed for the closure of the site (except for the purposes of amalgamation or reconstruction) or the site ceases to carry on business or becomes bankrupt, applies to take the benefit of any law for the relief of bankrupt or insolvent debtors or makes any arrangement or composition with its creditors.

When the site's certificate is withdrawn, the certification body shall immediately amend the site's details on the SQFI assessment database to a "withdrawn" status indicating the reason for the withdrawal and the date of effect; and in writing:

i. Inform the site that the SQF certificate has been withdrawn, the reason for such action and the date of effect;

ii. Copy SQFI on the notice of withdrawal sent to the site; and

iii. Instruct the site to return the certificate within thirty (30) days of notification.

A site that has their certificate withdrawn will not be permitted to apply for certification for twelve (12) months from the date the certificate was withdrawn by the SQFI certification body. The withdrawn site will be posted on the SQFI website (sqfi.com) for twelve (12) months.

5. Obligations of Sites and Certification Bodies

5.1 Changing the Scope of Certification

When a site wishes to add food sector categories or new products to their scope of certification, the site may request the increased scope of certification in writing to the certification body.

The certification body shall conduct a site audit of the additional process or products and shall either issue a new certificate, or advise the site in writing why the new certificate cannot be issued.

An audit for an increase in scope shall not change the re-certification date or certificate expiry date. When a new certificate is issued, the re-certification audit date and certificate expiry date shall remain as per the original certificate.

The certification body shall make the appropriate scope changes to the site record in the SQFI assessment database.

Where the scope change is a new process or a major change to an existing process, a new product line, commodity or a significant change in personnel, raw materials, packing materials or ingredients, the certification body shall be advised in writing.

Where the request is received within forty-five (45) days prior to the re-certification audit window, the certification body shall defer the scope extension to the next re-certification audit and shall advise the site. No new certificate shall be issued until after a successful re-certification audit.

5.2 Changing the Certification Body

A site can change its certification body after one certification cycle and only when there has been closure of all outstanding non-conformities, provided that the certification is not suspended or under threat of suspension or withdrawal.

Sites that require a surveillance audit are permitted to change certification bodies only after the surveillance audit is conducted or by written approval from the SQFI Compliance Manager.

When a site changes certification bodies, the certificate issued by the previous certification body remains valid until the expected expiration date.

The certification number and re-certification date are transferred with the site to the new certification body.

The new certification body shall undertake a pre-transfer review of the site's certification to:

i. Confirm the certificate is current, valid and relates to the SQF System so certified;

ii. Confirm the site's food sector category falls within the new certification body's scope of accreditation;

iii. Confirm any complaints received are actioned;

iv. Review the site's audit history (where the site can demonstrate such history to the satisfaction of the new certification body by way of copies of audit reports completed by any previous certification body) and the impact of any outstanding non-conformities; and

v. Confirm the stage of the current certification cycle.

5.3 Notification of Product Recalls and Regulatory Infringements

Upon identification that a certified site initiates a food safety event that requires public notification (such as Class I or Class II recall, or the receipt of a regulatory warning letter), the site shall notify the certification body and the SQFI in writing at foodsafetycrisis@sqfi.com within twenty-four (24) hours of the event.

The site's certification body and SQFI shall be listed in the site's essential contacts lists as defined in system element 2.6.3.2 of the SQF Code.

The certification body shall notify the SQFI within a further forty-eight (48) hours of any action it intends to take to ensure the integrity of the certification.

5.4 Compliance and Integrity Program

To meet the requirements of SQFI's Compliance and Integrity Program, SQFI may from time to time monitor the activities of the certification bodies and their auditors. These monitoring techniques include, but are not limited to validation audits and/or witness audits. While conducting these additional monitoring activities, sites shall be required to allow additional SQFI-authorized representatives, staff or auditors into their site during the audit or after the audit has taken place. The attendance of an SQFI representative shall not interfere with operations, or result in

additional audit time or non-conformities, and will not increase the cost charged by the certification body for the audit.

5.5 Change of Ownership

When a certified site's business has been sold and the business name is retained, the new owner shall, within thirty (30) calendar days of the change of ownership, notify the certification body and apply to retain the SQF certification and the existing certification number. In cases where the ownership of a certified site changes, but the staff with major responsibility for the management and oversight of the SQF System has been retained, the certification body may retain the existing audit frequency status. In making this application, the certification body shall determine that staff with major responsibility for the management and oversight of the SQF System has been retained.

If there are significant changes in site management and personnel, the certification body shall complete a certification audit and issue a new certificate and a new certification number. The audit frequency applicable to a new certification shall apply.

5.6 Relocation of Premises

When a certified site relocates their business premises, the site's certification does not transfer to the new site. A successful certification of the new premises must be conducted. Although the site's certificate number shall remain the same, an initial certification audit of the new premise shall apply.

5.7 Language

The certification body shall ensure that the SQF fundamentals auditor conducting the audit can competently communicate in the oral and written language of the site being audited.

In circumstances where a translator is required, the translator shall be provided by the certification body and shall have knowledge of the technical terms used during the audit; be independent of the site being audited and have no conflict of interest. The site shall be notified of any increase in audit duration and cost associated with the use of a translator.

For the purpose of resolving a conflict, the English version of the SQF Code shall be the deciding reference.

5.8 Conflict of Interest

The certification body shall ensure that all certification activities are separately controlled and managed (including the development of policy and practices) from any consulting activity. It shall preclude any prospective SQF fundamentals auditor from undertaking any audit in relation to the certification of SQF System that constitute a conflict of interest as outlined below or any other condition that could lead to a conflict of interest.

SQF food safety auditors shall not audit anywhere they have participated in a consulting role involving the site in question, or anybody related to the site, within the last two (2) years (considered to be participating in an active and creative manner in the development of the SQF System to be audited, including the development of food safety plans). Consulting includes, but is not limited to, activities such as:

i. Producing or preparing food safety plans, manuals, handbooks or procedures;

ii. Participating in the decision making process regarding SQF System;

iii. Giving advice – as a consultant or otherwise – toward the design, documentation, development, validation, verification, implementation or maintenance of SQF System; and

iv. Delivering or participating in the delivery of an "in-house" food safety training service at which advice and instruction on the development and implementation of food safety plans and SQF system for eventual certification is provided.

The certification body shall ensure that an SQF fundamentals auditor discloses any existing, former or proposed link between themselves or their organization and the site.

The certification body shall ensure through organizational structure that no potential conflict of interest, consulting, or training occurs from auditors contracted or employed by the certification body to existing or potential sites within the SQF Program.

A site can refuse the service of an SQF fundamentals auditor when they consider the auditor has a conflict of interest, or for other reasons. In such circumstances, the site shall outline the reasons in writing to the certification body.

5.9 Complaints, Appeals and Disputes

The certification body shall document, and provide to the site, its procedure for handling and resolving appeals, complaints and disputes made by a site, or made by another party about a site.

When a site has cause to register a complaint about a certification body's activities, or appeals or disputes a decision made by a certification body, including the activities and decisions of its auditors, the certification body shall investigate and resolve these matters without delay and keep a record of all complaints, appeals and disputes and their resolution.

When a certification body receives a complaint about a site from other parties, the certification body is required to investigate and resolve the matter without delay and keep a record of all complaints, appeals and disputes and their resolution.

Appeals regarding decisions on the suspension and/or withdrawal of the SQF certification by a certification body shall not delay the decision to suspend or withdraw the certification.

When upon investigation of a complaint it is determined that there has been a substantiated breakdown of a site's SQF System or any other condition not in accordance with the SQF Fundamentals Program and/or other supporting documents, the certification body shall suspend certification as outlined in Part A, 4.6.

Where a complaint is registered about the conduct or behavior of an auditor or certification body personnel, the certification body shall investigate and resolve the complaint without delay and keep a record of all complaints and their resolution.

Records of complaints made to certification bodies and their investigations shall be available to the SQFI upon request. Where a complaint, appeal or dispute cannot be satisfactorily resolved between the site and the certification body, the matter shall be referred to the SQFI complaints and appeals procedure via the SQF website (sqfi.com). Complaints and comments about the SQF Code, the SQF assessment database, SQF training centers and consultants can also be registered at this address.

Part B: The SQF System Elements for SQF Fundamentals for Primary Production, Intermediate

2.1 Management Responsibility

2.1.1 Management Responsibility

2.1.1.1 The senior site management shall be responsible for reviewing, verifying and documenting the completion of:

i. An annual review of the SQF System to ensure control measures for identified hazards have been completed and are appropriate;

ii. A policy statement that states the commitment to supply safe food; and

iii. Corrective actions and/or records that support compliance to relevant food legislation in the country of its origin and destination.

2.1.1.2 The senior site management shall ensure adequate resources are available to achieve food safety objectives and support the development, implementation, maintenance and ongoing improvement of the SQF System.

2.1.1.3 Senior site management shall designate a person who shall be employed or contracted and:

i. Be responsible for the development, implementation and maintenance of the food safety system; and

ii. Have an understanding of the SQF Fundamental Code for Primary Production and the requirements to implement and maintain the SQF System relevant to the site's scope of certification.

2.2 Document Control and Records

2.2.1 Document Control and Records

2.2.1.1 Documents shall be controlled in a manner that ensures employees use up to date and current policies, procedures, and forms when documenting food safety related activities.

2.2.1.2 All records shall be legible, suitably authorized and/or signed by those undertaking activities to demonstrate that inspections, analyses and other essential activities have been completed.

2.2.1.3 Records shall be readily accessible, retrievable, and securely stored to prevent damage and deterioration. Records shall be retained in accordance for periods specified by a customer or regulations.

2.3 Specification and Supplier/Input Approval

2.3.1 Specification and Supplier/Input Approval

2.3.1.1 Specifications for agricultural inputs and packaging materials including, but not limited to agricultural chemicals, hazardous chemicals, propagation products, soil amendments and intermediate or final products from suppliers, that impact on finished product safety shall be documented, comply with relevant legislation, and kept current.

2.3.1.2 Finished product specifications shall be documented, current, approved by the site and their customer (if applicable), accessible to relevant staff and may include:

i. Microbiological and chemical limits; and

ii. Labeling and packaging requirements.

2.3.1.3 Agricultural inputs, packaging materials, and services that impact on finished product safety shall meet the agreed specifications and be supplied by an approved supplier (see also 7.7.3 Purchasing Chemicals).

2.4 Food Safety System

2.4.1 Food Safety Plan

2.4.1.1 A description of the products, processes, packaging and conditions of storage and handling shall be documented for the scope of operations at the farm location.

2.4.1.2 A risk assessment (hazard analysis) shall be completed for the operation that identifies all food safety hazards that can reasonably occur during the production of agricultural products. Hazards that pose a significant risk to products shall have control measures applied that eliminates or reduces the hazards to acceptable levels. The risk assessment (HACCP-based Food Safety Plan or specific Good Agricultural Practices) shall be completed by a multidisciplinary team, documented and reviewed on an annual basis or when significant changes occur.

2.5 System and Product Verification

2.5.1 Corrective and Preventative Action

2.5.1.1 The responsibility and methods for corrective actions resulting from food safety non-conformities and complaints, generated either internally or from customers, shall be documented and implemented. Records shall be maintained to include the issue or complaint, the cause of food safety incident and resulting corrective action.

2.5.2 Non-conforming Product or Equipment

2.5.2.1 Non-conforming product, inputs, work-in-progress, packaging or equipment shall be quarantined, handled, re-worked or disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product. Records of the handling and disposal of non-conforming product shall be maintained.

2.5.3 Product Sampling, Inspection and Analysis

2.5.3.1 The sampling, inspecting and/or analyzing and release of finished product shall be documented and implemented. The procedures applied shall ensure:

i. Inspections and analyses are completed at regular intervals as required and to agreed specification (e.g. MRL's as per 2.3.2) and regulatory and labeling requirements;

ii. All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods;

iii. Release of products to customers is approved by authorized personnel;

iv. On-site personnel that conduct product testing shall participate in an applicable proficiency testing program at least annually to ensure accuracy of results; and

v. Where external laboratories are utilized to conduct input or product analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard.

2.5.4 Internal Audits

2.5.4.1 The methods and responsibility for scheduling and conducting self-assessment and/or internal audits to verify the effectiveness of Good Agricultural Practices shall be documented and implemented. Internal audits or self-assessment shall be conducted at least annually. The methods applied shall ensure:

i. Self-assessment is conducted during production periods and includes harvesting practices, buildings, storage and equipment; and

ii. Records of self-assessment and any corrections and corrective action taken shall be maintained.

2.6 Product Identification, Traceability, Withdrawal and Recall/Crisis Management

2.6.1 Product Identification

2.6.1.1 A product identification system shall be implemented to ensure:

i. Product is clearly identified during all stages of receipt, production/harvesting, storage and dispatch;

ii. Finished product is labeled to the customer specification and/or regulatory requirements; and

iii. Product identification records are maintained.

2.6.2 Product Trace

2.6.2.1 A documented and implemented product trace system shall ensure:

i. Finished product is traceable to the customer (one up) and provides traceability throughout the process starting from the date of receipt of inputs and food contact packaging and materials (one back);

ii. The effectiveness of the product trace system is reviewed and tested at least annually; and

iii. Records of inputs and packaging material receipt and use, and finished product dispatch and destination shall be maintained.

2.6.3 Product Withdrawal and Recall

2.6.3.1 The site (farm) shall outline the methods (plan & contact lists) and responsibility for notifying their customers and other essential bodies where circumstances arise that require product to be withdrawn or recalled from distribution. This could include failures in food safety system or a crisis caused by unplanned events, such as floods, water advisory, fire etc.

2.6.3.2 SQFI and the certification body shall be notified in writing within 24 hours upon identification of a food safety event that requires public notification. SQFI shall be notified at foodsafetycrisis@sqfi.com.

2.6.3.3 Records of all product withdrawals, recalls and mock recalls shall be maintained.

2.7 Food Defense

2.7.1 Food Defense Plan

2.7.1.1 The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident shall be documented, implemented and maintained. A food defense plan shall include:

i. The name of the senior site management person responsible for food defense;

ii. The methods implemented to ensure only authorized personnel have access to equipment, vehicles, operations and storage areas through designated access points;

iii. The methods implemented to protect sensitive operational points from intentional adulteration;

iv. The measures taken to ensure the secure receipt and storage of Agricultural/aquaculture inputs, packaging, equipment and hazardous chemicals;

v. The measures implemented to ensure agricultural/aquaculture inputs, packaging materials, work-in progress and finished products are held under secure storage and transportation conditions; and

vi. The methods implemented to record and control access to the premises by employees, contractors, and visitors.

2.7.1.2 The food defense plan shall be reviewed and challenged at least annually and appropriately documented.

2.8 Allergen Management

Not applicable for SQF Fundamentals for Primary Production - Intermediate

2.9 Training

2.9.1 Training Requirements

2.9.1.1 An employee training program shall be documented and implemented. It shall outline the necessary competencies for specific duties and the training methods to be applied for those staff carrying out tasks associated with:

i. Developing and applying Good Agricultural Practices;

ii. Personal hygiene; and

iii. Applying food regulatory requirements.

2.9.1.2 Instructions and training materials shall be available in the languages relevant to the staff that explain how all tasks critical to meeting regulatory compliance, the maintenance of food safety and hygiene practices are met.

2.9.1.3 The training program shall include provision for identifying the refresher training needs of the organization which shall include all temporary, seasonal and full time employees/contractors Refresher training shall minimally include personal hygiene, allergen awareness, and site security. Records of attendance must be completed for all training conducted.

Module 7: SQF Fundamentals for Primary Production, Intermediate - Good Agricultural Practices for Farming of Plant Products

This section covers the Good Agricultural Practices requirements for the growing and harvesting of fruits and vegetables and nuts.

Applicable food sector categories (FSCs) are:

FSC 3: Growing and production of fresh produce and nuts

All applicable elements of this section shall be implemented. Where an element is not applicable a request for exemption must be appropriately justified and submitted to the certification body in writing before the audit.

7.1 Site Requirements

7.1.1 Property Location

7.1.1.1 The farm and facilities shall be such that adjacent and adjoining buildings, operations and land use do not interfere with the safe and hygienic operations on the property. Where risks are identified, control measures shall be implemented to reduce the identified hazards to an acceptable level and risk analysis shall be re-evaluated in the event of any circumstance or change that may impact on the production of safe product.

7.1.1.2 Production and growing sites shall have a risk assessment conducted to evaluate and document the risk to crops due to prior land use, adjacent land use, and other environmental factors including structures and equipment. Consideration shall be given to the following:

i. History of land use;

ii. Topography;

iii. Adjacent land use; and

iv. Other factors that may impact on the ability to supply safe product.

7.1.1.3 Records shall be maintained for each production site that indicates what crops have been planted and harvested.

7.2 Buildings, Storage and Equipment

7.2.1 Field and Storage Buildings

7.2.1.1 All buildings used to store equipment, field chemicals, field packaging materials or field product shall be designed and constructed so as to permit compliance to good hygiene practices and avoid product contamination.

7.2.1.2 Buildings designated to store field product or field product packaging materials shall be of durable construction. Internal surfaces shall be smooth and impervious with a light colored finish and shall be kept clean.

7.2.1.3 Storage rooms shall be designed and constructed to allow for the separate, hygienic storage of harvesting and packing utensils, harvesting rigs, equipment, conveyors, totes, trays containers and utensils away from farm machinery and hazardous chemicals and toxic substances.

7.2.2 Greenhouses, Hydroponics and Mushrooms

7.2.2.1 Sites that grow produce indoors shall be designed so that there is no food safety risk to the product, including control of glass and other foreign objects.

7.2.3 Controlled Temperature and Atmosphere Storage

7.2.3.1 Chilling, cold storage and controlled atmosphere facilities shall be of suitable size, construction and design and is capable of effective operational and temperature control performance. This shall ensure that sufficient refrigeration and controlled atmosphere capacity shall be available to chill or store the maximum anticipated throughput of product with allowance for periodic cleaning of storage rooms.

7.2.3.2 Floors shall be constructed of smooth, dense impact resistant material that is impervious to liquid and easily cleaned. Floors shall be effectively graded, to allow the effective removal of all overflow or waste water under normal conditions.

7.2.3.3 Wall, ceilings, doors, frames and hatches shall be of a solid construction. Internal surfaces shall be smooth and impervious with a light colored finish.

7.2.3.4 Lighting shall be shatter-proof or provided with protective covers.

7.2.3.5 Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system.

7.2.3.6 Chilling, cold storage and controlled atmosphere facilities shall be fitted with temperature monitoring equipment or suitable temperature monitoring device that is located so as to monitor the warmest part of the room and is fitted with a temperature gauge that is easily readable and accessible.

7.2.3.7 Chill, cold storage and controlled atmosphere loading dock areas shall be appropriately sealed, drained and graded.

7.2.4 Storage of Hazardous Chemicals, Toxic Substances, and Petroleum Products

7.2.4.1 Hazardous chemicals, toxic substances, and petroleum products shall be stored so as not to present a hazard to employees, product, product handling equipment or areas in which product is handled, stored or transported.

7.2.4.2 Product contact chemicals such as pesticides and herbicides; rodenticides, fumigants and insecticides; sanitizers and detergents shall be stored separately and in their original containers.

7.2.4.3 The storage of hazardous chemicals, toxic substances and petroleum products in areas (separate lockable or otherwise contained) shall not occur inside food handling areas, product and packaging storage rooms.

7.2.5 Vehicles, Product Handling Equipment and Utensils

7.2.5.1 Equipment, vehicles, tools, utensils and other items or materials used in farming operations that may contact produce are identified and are in good repair, kept clean and sanitized, and stored in such a way as to avoid contamination.

7.2.5.2 The use of harvest containers for non-harvest purposes will be clearly identified and not returned to use for harvest.

7.2.5.3 Vehicles used for the transport of produce shall be adequate for its purpose and shall not be used to carry waste materials, manure, chemicals or other hazardous substances that could cause produce contamination without thorough cleaning and inspection.

7.2.5.4 Tractors, harvesters, field packing equipment and machinery driven over ground crops shall be fitted with drip trays to prevent contamination of the crop by lubricants and oils.

7.2.6 Maintenance and Calibration

7.2.6.1 The maintenance of equipment and buildings shall be planned, scheduled and carried out in a manner that prevents any risk of contamination of product or equipment and to ensure good working condition.

7.2.6.2 The calibration and re-calibration of chemical application, measuring, test and inspection equipment used in the growing and harvesting process shall be completed at least annually.

7.2.7 Animal Control

7.2.7.1 Measures shall be implemented and monitored that control domestic and wild animals in the growing fields and does not allow the presence of domestic or wild animals in greenhouses and all storage and product handling areas.

7.2.8 Pest Prevention

7.2.8.1 The property adjacent to buildings, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin.

7.2.8.2 Buildings and storage facilities used in product handling, product storage or food packaging storage shall be equipped with pest prevention devices such as traps and bait stations.

7.2.8.3 Harvested products and food contact packaging materials shall be free of evidence of pest and vermin infestation.

7.2.9 Cleaning and Sanitation

7.2.9.1 The cleaning and sanitizing (if necessary) of product contact surfaces, field harvesting equipment and sanitary facilities shall be completed at a frequency sufficient to minimize occurrences of product contamination. The documented and implemented sanitation procedure shall include:

i. What is to be cleaned;

ii. How it is to be cleaned;

iii. When it is to be cleaned;

iv. Who is responsible for the cleaning (see 2.9.1 for training and qualification), and

v. Who is responsible for the evaluation of cleaning activities.

A record of cleaning and sanitation activities shall be maintained.

7.2.9.2 Cleaning chemicals shall be approved for use on food equipment and contact surfaces and must be stored separately to prevent contamination of products. (see also 7.2.4)

7.2.9.3 A schedule shall be prepared indicating the frequency of verifying the effectiveness of the cleaning of product contact surfaces, field harvesting equipment and sanitary facilities and indicating who is responsible for completing verification activities.

7.3 Personal Hygiene

7.3.1 Personnel Practices

7.3.1.1 A documented and implemented personal hygiene procedure shall ensure that personnel engaged in the handling of product observe appropriate personal practices. The procedure shall include:

i. Jewelry and other loose objects that pose a threat to the safety of the product shall not be worn or taken onto any growing, product handling or storage operations.

ii. Fingernail polish, artificial nails, and long nails, shall not be permitted where product is handled with bare hands;

iii. False eyelashes and eyelash extensions shall not be permitted; and

iv. Smoking, chewing, eating, drinking (except for water) or spitting is not permitted in any growing areas including on field harvesting rigs and during harvesting and packing operations.

Personnel and visitor practices shall be routinely monitored for compliance and any resulting corrective actions shall be implemented and recorded for personnel who violate food safety practices.

7.3.1.2 Personnel suffering from, or are carriers of, an infectious disease, which can be carried with food as a vehicle, shall not engage in growing, product handling or field harvesting operations.

7.3.1.3 A medical screening procedure shall be in place for all employees who handle product or food contact materials.

7.3.1.4 Personnel with exposed cuts, sores or lesions shall not be engaged in handling product or food contact materials. Minor cuts or abrasions on exposed parts of the body shall be covered with a suitable waterproof dressing and dispensed from readily accessible and stocked first aid kit.

7.3.1.5 Procedures shall be in place for the handling of product or product contact surfaces that have been in contact with blood or other bodily fluids.

7.3.2 Sanitary Facilities and Hand Washing

7.3.2.1 Toilet facilities shall be provided and designed, constructed and located in a manner that minimizes the potential risk for product contamination.

i. Toilets shall cater for the maximum number of employees and be constructed so that they can be easily cleaned and maintained;

ii. Hand wash basins with clean, potable water, hand soap, disposable towels or effective hand drying device, waste bins and a tank that captures used hand wash water for disposal (if not connect to drains) shall be provided inside or adjacent to toilet facilities;

iii. Signage in appropriate languages shall be provided adjacent to hand wash basins instructing people to wash their hands after each toilet visit;

iv. Racks for protective clothing used by farm employees shall be provided;

v. Toilets shall be located so as to provide easy access for farm workers; and

vi. Toilet and wash stations shall be maintained in a clean and sanitary condition.

7.3.2.2 Personnel shall have clean hands and hands shall be washed by all personnel:

i. Before handling product;

ii. Before putting on gloves;

iii. After each visit to a toilet;

iv. After using a handkerchief, handling dirty or contaminated material; and

v. After smoking, eating or drinking.

7.3.3 Protective Clothing

7.3.3.1 Protective clothing shall be effectively maintained, stored, laundered and worn so as to protect product from risk of contamination.

7.3.3.2 Where applicable, clothing (any outer garment), including footwear, shall be effectively maintained, cleaned and sanitized, and worn so as to protect product from risk of contamination.

7.3.3.3 If rubber or disposable gloves are used, the operation shall have a glove use policy and personnel shall adhere to the hand washing practices outlined above.

7.3.4 Visitors

7.3.4.1 All visitors shall be required to remove jewelry and other loose objects and wear suitable protective clothing when entering product growing, harvesting, or storage areas.

7.3.4.2 Visitors exhibiting visible signs of illness shall be prevented from entering any growing or product handling or field harvesting operation.

7.3.4.3 Visitors must follow all personnel practices as designated by the site for employees within various areas of fields, sheds, packing facilities or storage locations.

7.3.4.4 Unsupervised children shall not be permitted to enter any harvesting, packing, or food storage areas.

7.3.5 Amenities

7.3.5.1 Provision shall be made to store employee personal belongings away from crops, harvesting, field and packing operations, and harvesting equipment.

7.3.5.2 Areas for meal breaks shall be designated and located away from a food contact/handling zones and harvesting equipment.

7.3.5.3 Drinking water that is available to field employees shall not pose a risk to the product.

7.4 Harvesting, Field Packaging, Product Handling Practices and Transport

7.4.1 Harvesting and Field Packing Personal Practices

7.4.1.1 Appropriate personnel practices shall be employed by field packing employees, which include:

i. Aprons and gloves shall be kept clean;

ii. Aprons and gloves shall not be left on product, work surfaces, equipment or packaging material but hung on apron and glove racks provided;

iii. All product and packaging material shall be kept off the ground and the floor of the transport vehicle; and

iv. Waste shall be contained in the bins identified for this purpose. Waste shall not come in contact with produce and be removed on a regular basis and not left to accumulate.

7.4.1.2 Commodity specific handling and field packaging of produce shall assure that:

i. Damaged or decayed produce is not harvested or culled;

ii. Product that contacts the ground shall not be harvested (unless that product typically contacts the ground or is specially designated for further processing and is approved for use by the customer);

iii. Measures to inspect for physical hazards and procedures to remove physical hazards are in place;

iv. Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce;

v. The use and storage of harvesting containers minimizes food safety hazards; and

vi. Knives and cutting instruments used in harvesting operations shall be controlled, and kept clean and well maintained.

7.4.1.3 Packaging materials shall be appropriate for their intended used and stored in a manner that prevents contamination. A written policy shall be in place that identifies how packing materials are permitted in direct contact with soil.

7.4.1.4 Materials that come in contact with the produce shall be clean and in good repair. Food contact harvest containers and pallets shall be inspected prior to and during harvesting to ensure they do not pose a risk to food safety.

7.4.2 Transport

7.4.2.1 The loading, transport and unloading of crops shall ensure that product integrity is maintained. Practices include:

i. Verification of cleanliness and functionality of shipping units;

ii. Appropriate storage conditions during transportation to final destination;

iii. Prevention of cross contamination with other hazards and spoilage; and

iv. Appropriate stock rotation and traceability practices.

7.4.3 Product Handling Areas

7.4.3.1 Lighting in product handling areas shall be covered or be of shatter-proof materials and be of adequate intensity to allow for inspection, handling and sanitation activities. Glass breakage procedures shall be documented and implemented that describes the prevention of glass contamination.

7.5 Water Management

7.5.1 Water Systems

7.5.1.1 The sources of all water used on site and at various production blocks and distribution systems used to convey water to its end use or storage shall be maintained and/or treated to prevent contamination and ensure appropriateness for its purpose.

7.5.1.2 An annual risk assessment shall be performed and documented that takes into consideration the historical testing results of the water source, water system control and protection, the characteristics of the crop, the stage of the crop, and the method of application. Where risks have been identified, corrective actions to reduce the risks have been documented and implemented.

7.5.1.3 Agricultural water shall be sourced from a location and in a manner that is compliant with prevailing regulations.

7.5.1.4 Water system intended to convey untreated human or animal waste shall be separated from conveyances utilized to deliver agricultural water.

7.5.2 Irrigation Water

7.5.2.1 Agricultural water shall be drawn from a known clean source or treated to make it suitable for use.

7.5.2.2 In circumstances where irrigation water is treated to render it acceptable, the water, after treatment shall conform to the microbiological standards as outlined in element 7.5.3.

7.5.2.3 Water used for hydroponics culture shall be frequently changed to minimize microbial or chemical contamination. Delivery systems shall be designed so they can be maintained and cleaned.

7.5.3 Water Management

7.5.3.1 Water used for washing and treating product, producing ice that directly contacts product, cleaning food contact surfaces, mixing sanitizer solutions and washing hands shall comply with potable water microbiological and chemical standards in the country of production and destination.

7.5.3.2 Water testing shall comply with current industry standards or regulations for the commodity being grown. Water quality testing shall:

i. Be monitored, at least annually, to verify it complies with the established water microbiological and chemical standard or criteria established and includes production (making) of ice;

ii. Have a verification schedule prepared indicating the location and frequency of monitoring, which shall be decided by the risk assessment, best practices within country of production, or applicable legislation;

iii. Be analyzed by an approved laboratory accredited to ISO 17025 or equivalent; and

iv. Have a corrective action plan developed when monitoring shows that water does not meet established criteria or standards. The plan can include additional treatment for water, additional sources for water, product identification and disposition or other alternative actions to adequately control the identified hazards.

7.6 Soil Management

7.6.1 Fertilizer Management

7.6.1.1 Inorganic (chemical) and organic (manure) soil amendments shall be identified, assessed for risk, isolated and stored separately so as not to pose a food safety risk or cross contamination with agricultural chemicals. Storage locations shall consider:

i. Provisions for the storage of concentrated and diluted liquid soil amendments in tanks designed to retain at least 110% of total volume or as per local regulations; and

ii. Storage separate from crop, field or irrigation water sources such that contamination from run off is avoided either by locating of the soil amendment a suitable distance from the crop or by the utilization of other physical barriers.

7.6.1.2 Organic and inorganic soil amendment applications shall be shall be recorded and include:

i. Date of application;

ii. Type of amendment;

iii. Operator or applicator details;

iv. Method of treatment and application (see 7.7.2) (see 7.2.8 for equipment calibration); and

v. Field, orchard or greenhouse where application took place.

7.6.2 Soil Amendment Treatment and Application

7.6.2.1 A soil amendment procedure shall be documented, implemented and designed to prevent contamination of product. The treatment of manure and other untreated organic fertilizers shall ensure:

i. Treatment methods applied inactivate pathogens in organic soil amendments and are verified as being in compliance with approved or recommended methods; and

ii. No raw untreated manure or human sewage is used unless local regulations allow its use and it does not pose a food safety risk.

7.6.2.2 Organic soil amendment applications are timed to pose minimum risk to product safety and human health including:

i. All applications of soil amendments are in accordance with national or local guidelines best practices and codes of Good Agricultural Practice;

ii. Signage complies with national and local codes of practice; and

iii. Recording of soil amendment applications as per 7.6.1.2.

7.6.3 Purchasing Chemicals

7.6.3.1 Only chemicals approved for use in the country of production and the country of destination shall be purchased. Purchased chemicals shall be labeled with the active ingredient(s), applicable dosage rates, and application instructions. Where no regulations or partial regulations govern the use of chemicals, the site shall have a documented risk assessment on the justification for use of non-regulated chemicals.

7.6.3.2 Chemicals that are specifically banned for use in the country of production or the country of destination shall not be purchased or stored.

7.6.3.3 A current inventory of all chemicals purchased and used shall be maintained.

7.6.4 Agricultural Chemicals

7.6.4.1 A spray or crop protection program indicating the applications used for a target pest or disease and the threshold levels that initiate application shall be documented and implemented.

7.6.4.2 The person making decisions on chemical application of agricultural chemicals shall:

i. Demonstrate knowledge of, and access to, information regarding chemical applications and the maximum residue limits allowable in destination markets;

ii. Use only chemicals approved for cultivation of the specified products, and approved for use in the intended market;

iii. Demonstrate competence and knowledge of chemical application (minimally as per label instruction) and crop withholding periods; and

iv. Ensure application equipment is calibrated and accurate (see 7.2.6) and that surplus application mix and/or tank washing is disposed of as per 7.8.1.

7.6.4.3 Records of all chemical applications shall be maintained and include:

i. The specific chemical used;

ii. The crop sprayed;

iii. The concentration;

iv. The date, method and frequency of application; and

v. Evidence that the timing between chemical application and harvest complies with the approved harvest interval for the chemical application.

7.6.4.4 Biological controls that are approved for the cultivation of the specified products shall be used in accordance with instructions or as per expert recommendations.

7.7 Waste Disposal

7.7.1 Dry, Liquid and Unsanitary Waste Disposal

7.7.1.1 Waste shall be regularly removed from the farm, field, packing facility and the surrounds so as not to pose a food safety risk to finished product or growing, harvesting and packing operations.

7.7.1.2 A written procedure shall be documented and implemented that describes the effective and efficient disposal of all solid waste, including inedible material, unusable packaging, including trademarked material, and liquid and unsanitary waste.

7.7.1.3 Inedible waste designated for animal feed shall be stored and handled so as to not cause a risk to the animal or further processing for human consumption.

Appendix 1: SQF Food Sector Categories

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
1	**Production, Capture and Harvesting of Livestock and Game Animals:** Free Range Animal Production Intensive Animal Production Dairy farming Game Animals Egg Production	AI: Farming of Animals	System elements Module 5: GAP for farming of animal products	Applies to the capture, transport, holding, intensive animal husbandry and free range farming of animals, but does not include seafood.	Includes: Deer, cattle, goats, sheep, pigs, poultry, ostrich, emu, etc. Cattle, veal, lamb, pigs, poultry, eggs Cattle, sheep and goats Buffalo, wild pigs, emu	Low risk
2	**Not in use**					
3	**Growing and Production of Fresh Produce and Nuts:** Fresh fruit, vegetables and nuts Ready-to-Eat (RTE) Produce and nuts	BI: Farming of Plant Products	System elements Module 7: GAP for farming of plant products	Applies to the production, harvesting, preparation, field packing, transport and controlled temperature storage of fresh whole fruit, vegetables and nuts. Includes all products grown under broad acre and intensive horticulture production system, including orchards, viticulture, and hydroponics production and nursery operations.	All fruit and vegetable and nut varieties including: Tropical and temperate tree fruits, carrots, beets, potatoes, wine grapes Table grapes, strawberries, raspberries, blueberries, all forms of leafy greens, spring mix, tomatoes, peppers, herbs and spices and tomatoes, green onions, baby spinach, lettuce, melons, etc.	Generally low risk. Some products are classified as high risk
4	**Fresh Produce and Nuts Pack house Operations**	D: Pre-processing of Plant Products	System elements Module 10: GMP for pre-processing of plant products	Applies to the cleaning, shelling, packing, sorting, grading, controlled atmosphere temperature storage and transport of fresh and pre-packaged whole unprocessed fruits, vegetables and nuts for retail sale or further processing.	Includes all fruit, vegetable and nut varieties which are packed in pack houses and which may undergo controlled atmosphere storage and transport.	Low risk
5	**Extensive Broad Acre Agriculture Operations**	BII: Farming of Grains and Pulses	System elements Module 8: GAP for farming of grains and pulses	Applies to the production, harvesting, preparation, transport and storage of broad-acre crops including pulses, cereal and other grains. Also includes growing and harvesting of animal feed crops.	All grain and cereal varieties for human consumption and animal feed including but not limited to wheat, oats, pulse crops, soy, legumes, maize, corn, cotton, pasture, silage and hay.	Generally low risk, although some products and processes are classified as high risk.

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
6	**Harvest and Intensive Farming of Seafood** Wild Caught Fish Aquaculture and RTE seafood.	All: Farming of Fish and Seafood	System elements Module 6: GAP for farming of seafood	Applies to the harvest and wild capture and intensive farming of freshwater and marine fishes and shellfish, including purification, transport and storage and extends to gilling, gutting, shucking and chilling operations at sea.	All fresh and salt water fish and shellfish species including: Tuna, salmon, snapper, bass, catfish and other fish spp. Oysters, mussels, shrimp, lobster, crab, and other shellfish spp.	Generally low risk, although some products and processes are classified as high risk.
7	**Slaughterhouse, Boning and Butchery Operations:** Red Meat Poultry Meat	C: pre-process handling of animal products	System elements Module 9: GMP for pre-processing of animal products	Applies to the slaughtering, dressing, processing, transport, storage, chilling, freezing and wholesaling of all animal species and game animals for consumption and extends to all meat cuts.	Includes uncooked poultry, pork and red meat animal species prepared in retail butcher shops, boning rooms and meat wholesale markets, including ground (minced) meats. Bone in and whole muscle fillet for pork and red meat species including ground (minced) red meat. Bone in and whole muscle poultry fillet and ground (minced) poultry meat.	Low risk
8	**Processing of Manufactured Meats and Poultry**	EI: Processing of Perishable Animal Products	System elements Module 11: GMP for processing of food products	Applies to the processing, manufacture, transport and storage operations where meat (all red meat species and poultry) is the major ingredient including all value-adding operations (i.e. cook-chill, crumbing, curing, smoking, cooking, drying, fermenting and vacuum packing) and chilling and freezing operations, but not canning of meat or poultry product.	Includes poultry, pork and red meats blends and raw heat-treated and fermented poultry, pork and red meats including salami, hot dogs, sausages, bacon, pepperoni, and meat pastes etc.	High risk product and process knowledge required
9	**Seafood Processing:** Raw seafood and seafood products Uncooked RTE seafood Cooked RTE seafood	EI: Processing of Perishable Animal Products	System elements Module 11: GMP for processing of food products	Applies to the processing, manufacture, transport and storage of all fish and seafood species and extends to value-adding operations including dismembering, fermenting, crumbing, smoking, cooking freezing, chilling, drying and vacuum packing, but not canning of seafood product.	Includes: Whole fish, fish fillets, reformed fish cakes, coated fish portions uncooked fish product. sashimi, sushi and raw uncooked shellfish such as oyster and mussels, surimi smoked cooked fish products chilled or frozen that require no further cooking prior to consumption.	Some products are classified high risk. Uncooked RTE product is high risk and process knowledge required
10	**Dairy Food Processing**	EI: Processing of Perishable Animal Products	System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of food products from all species used for milk collection and extends to all value-adding operations including freezing, pasteurizing, ultra-filtration, evaporation/concentration, fermentation, clarification, culturing and spray drying of milk but not UHT operations. (refer to FSC 15).	Includes all milk collection and includes milk and cream, butter, cottage cheese, sour cream, all forms of cheese, yogurt, ice cream and dried milk. Also includes milk substitutes such as soymilk and tofu, and infant formula.	High risk product and process knowledge required

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
				Includes milk substitutes where the technology is essentially the same.		
11	**Apiculture and Honey Processing**	EI: Processing of Perishable Animal Products	System elements Module 11: GMP for processing of food products	Applies to apiculture and the processing, transport and storage of food products from all species used for honey collection including value-added operations. Includes clarifying and treatment operations.	Includes apiculture, honey, honeycomb; pollen and royal jelly.	Some high risk process knowledge required
12	**Egg Processing**	EI: Processing of Perishable Animal Products	System elements Module 11: GMP for processing of food products	Applies to the, grading, cleaning, processing, transport and storage of food products from all species used for egg collection and processing.	Fresh shell eggs including value-added products where egg is the major ingredient.	High risk product; Generally low risk process
13	**Bakery and Snack Food Processing**	EIV: Processing of Ambient Stable Products	System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of extruded snack foods and cake mix formulations and extends to all bakery operations.	Includes baked items such as meat pies, custard pies, bread, cookies, cakes and mixes and all varieties of snack food.	Some high risk process knowledge required
14	**Fruit, Vegetable and Nut Processing, and Fruit Juices**	EII: Processing or Perishable Plant Products	System elements Module 11: GMP for processing of food products	Applies to the processing, transport, storage and distribution of all processed fruit and vegetable varieties including freezing, fermenting drying, slicing, dicing, cutting, and modified atmosphere processing of all fruits and vegetables, and the roasting, drying, and cutting of nuts. Does not include canning of fruits and vegetables.	Includes frozen. fermented, dried, sliced, diced, cut, and modified atmosphere packaged (MAP) fruit, vegetable and nut products including prepared and deli salads. Includes fresh and pasteurized fruit and vegetable juices.	Some high risk process knowledge required
15	**Canning, UHT and Aseptic Operations**	EIV: Processing of Ambient Stable Products	System elements Module 11: GMP for processing of food products	Applies to the processing, of low acid canned foods, and sterilization (retorting) UHT, or other high temperature or high pressure processes (HPP) not covered elsewhere and the manufacture of the associated hermetically sealed containers.	Includes: The commercial sterilization of fish, meats, fruits and vegetables and other low acid soups and sauces in metal or glass containers or retort pouches. Does not include pasteurization of dairy, fruit or vegetable juices, but does include UHT treatment of • Pasteurized canned and chilled crab meat; • Milk or milk products; or • Egg or egg products; or • Fruit or vegetable juices. • Canned pet food	High risk product and process knowledge required
16	**Ice, Drink and Beverage Processing**	EIV: Processing of Ambient Stable Products	System elements Module 11: GMP for processing of food products	Applies to fermentation, concentration aseptic filling or drying operations processes. Does not include powdered milk and pasteurization and UHT treatment of milk or	Includes carbonated soft drinks, carbonated and non-carbonated waters, mineral water, ice, wine, beer and other alcoholic beverages.	Some high risk process knowledge required

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
				milk products or fruit and vegetable juicing operations. Does not apply to dry beverage ingredients (e.g. tea, coffee).		
17	**Confectionary Manufacturing**	EIV: Processing of Ambient Stable Products	System elements Module 11: GMP for processing of food products	Applies to the preparation, transport and storage of all types of confectionary and extends to all chocolate and imitation chocolate-based processing.	Includes all confectionary products which undergo refining, conching, starch molding, compression, extrusion and vacuum cooking.	Some high risk process knowledge required
18	**Preserved Foods Manufacture**	EIV: Processing of Ambient Stable Products	System elements Module 11: GMP for processing of food products	Applies to the processing, transport and storage of all foods preserved under high temperature processes not covered elsewhere, compositionally preserved foods that are not high temperature processed or other alternative acceptable methods not covered elsewhere.	Includes dressings, mayonnaise, sauces, marinades, pickled foods, peanut butter, mustards, jams and fillings.	Some high risk process knowledge required
19	**Food Ingredient Manufacture**	L: Production of Bio-chemicals	System elements Module 11: GMP for processing of food products	Applies to the processing, blending, re-packaging transport and storage of dry food ingredients, cultures and yeast, but does not include dairy products, fermented meats or other fermented products mentioned elsewhere.	Includes starter cultures used in cheese, yogurt and wine manufacture and cultures used in the baking industry and other products such as vinegar used for the preservation of foods. Other additional products include additives, preservatives, flavorings, colorings, soup mixes, sauces, dehydrated culinary products, salt, sugar, spices and other condiments. Applies to dried tea and coffee products.	Some high risk process knowledge required
20	**Recipe Meals Manufacture**	EIII: Processing of Perishable Animal and Plant Products	System elements Module 11: GMP for processing of food products	Applies to the processing, receipt, controlled temperature storage and transport of foods prepared from a range of ingredients (mixed foods) that require cooking, heating, freezing, or refrigerated storage prior to serving. Includes sandwiches, wraps, and high-risk desserts for distribution to food service (If they are made on site and RTE, then fsc 23 applies).	Includes RTE chilled meals and deserts, frozen meals, pizza, frozen pasta, soups, and meal solutions, sous vide products, and freeze-dried and dehydrated meals. Includes sandwiches, wraps, and high-risk desserts for distribution to food service.	High risk product and process knowledge required
21	**Oils, Fats, and the Manufacture of oil or fat-based spreads**	EIII: Processing of Perishable Animal and Plant Products	System elements Module 11: GMP for processing of food products	Applies to the manufacture of all animal and vegetable oils and fats and to the manufacture of margarine. Includes clarifying and refining processes.	Includes shortening (animal and vegetable), oils (olive, peanut, corn, vegetable, sunflower, safflower, canola, nut, seed), and oil-based spreads such as margarine and oil based spreads.	Low risk

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
22	**Processing of Cereal Grains**	EII: Processing or Perishable Plant Products	System elements Module 11: GMP for processing of food products	Applies to the processing of cereals of all varieties, including sorting, grading, picking, handling of bulk grains, milling, and extruding.	Includes wheat, maize, rice, barley, oats, millet, pasta, breakfast cereals.	Some high risk process knowledge required
23	**Food Catering and Food Service Operations**	G: Catering	System Elements Module 15: GRP for Retail	Applies to all on-site food preparation and service activities, including transport, storage, and distribution undertaken with mixed foods that are ready-to-eat and do not require further treatment or processing by the consumer. Only applies to products prepared on site that are RTE.	Includes food service caterers, retail delicatessen/self-serve facilities, restaurants, fast food outlets, delicatessens, school cafeterias (canteens), hospital/institution meal services, childcare centers, and mobile and home delivery food services. Includes sandwiches, wraps, and high-risk desserts that are prepared on site and are RTE.	High risk product and process knowledge required
24	**Food Retailing**	H: Retail/ Wholesale	System Elements Module 15: GRP for Retail	Applies to the receipt, handling, storage and display at retail level of stable or pre-processed and packaged foods and/or food intended for further preparation by the consumer. Retailers that prepare RTE foods shall include fsc 23 as well.	Includes all foods distributed and sold through retail outlets. Does not include foods that are prepared on site and are RTE.	Low risk
25	**Repackaging of products not manufactured on site.**	EIV: Processing of Ambient Stable Products	System elements Module 11: GMP for processing of food products	Assembling of whole produce and packaged products (e.g. nuts, hard candy, dried fruit, and beef jerky) that are manufactured elsewhere (e.g. gift baskets, etc.). Applies to products not covered elsewhere.	Includes gift baskets, Christmas hampers, and presentation packs.	Low risk
26	**Food Storage and Distribution**	JII: Provision of Transport and Storage Services – Ambient Stable Food and Feed	System elements Module 12: GDP for transport and distribution of food products	Applies to the receipt, storage, display, consolidation and distribution of perishable fresh produce and general food lines including chilled, frozen, dry goods, stable or pre-processed and packaged foods and/or food intended for further preparation by the consumer at wholesale level.	Includes all transportation, storage and delivery of perishable and shelf-stable foods sold through markets, retail and foodservice facilities.. Includes transportation, storage and delivery of all varieties of fresh unprocessed fruit, vegetable and nut products.	Low risk
27	**Manufacture of Food Packaging**	M: Production of Food Packaging	System elements Module 13: GMP for manufacture of food packaging	Applies to the manufacture, storage and transport of food sector packaging materials. Includes items that may be used in food manufacturing or food service facilities, including paper towel, napkins, disposable food containers, straws, stirrers.	Includes all food-grade packaging materials including flexible films, paperboard based containers, metal containers, flexible pouches, glass containers, plastic and foam containers (PET, polystyrene, etc.), and single-use foodservice products (eg paper towel, napkins, disposable food containers, straws, stirrers).	Low risk
28	**Not in use**					

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
29	**Not in use**					
30	**Not in use**					
31	**Manufacture of Dietary Supplements**	L: Production of Bio-chemicals	System elements Module 11: GMP for processing of food products	Applies to the manufacture, blending, transport and storage of dietary supplements.	Includes vitamins, probiotics and label supplements.	High risk product and process knowledge required
32	**Manufacture of Pet Food**	FII: Production of Compound Feed	System elements Module 4: GMP for processing of pet food products	Applies to the manufacture, of pet food intended for consumption by domestic animals and specialty pets.	Includes dry and moist pet foods and treats, semi-raw, chilled, or frozen product. Does not include canned pet food.	Some high risk process knowledge required
33	**Manufacture of Food Processing Aides**	L: Production of Bio-chemicals	System elements Module 11: GMP for processing of food products	Applies to the manufacture, storage and transport of chemicals and aides used in the food processing sectors.	Includes food grade lubricants, processing aides, and chemicals for clean-in-place systems.	Low risk
34	**Manufacture of Animal Feed**	FI: Production of Single Ingredient Feed	System elements Module 3: GMP for animal feed production	Applies to the manufacture, blending, transport and storage of animal feeds.	Includes compounded and medicated feeds.	Some high risk process knowledge required
35	**Not in use**					

Appendix 2: Glossary

Accreditation	Approved by an accreditation body confirming that the management system of a certification body complies with the ISO/IEC 17065:2012 and the Criteria for SQF Certification Bodies requirements and that the certification body is suitable to be granted a license by SQFI to provide the service in the licensed territory (ies).
Airlock	A space which permits the passage of people between one environment and another with two doors in series which do not open simultaneously, and thus minimizes the transfer of pests, dust, odors, or air from one area to the other.
Approved Supplier (s)	Suppliers that have been assessed and approved by a site based on risk assessment as capable of meeting the sites food safety and quality requirements for goods and services supplied.
Audit	A systematic and independent examination of a site's SQF food safety and/or quality System by an SQF food safety and/or quality auditor to determine whether food safety, quality systems, hygiene and management activities are undertaken in accordance with that system documentation and comply with the requirements of the SQF food safety and/or quality Code, as appropriate, and to verify whether these arrangements are implemented effectively.
Audit Checklist	The list of SQF food safety and/or quality Code elements, customized for the site's audit scope, and available for use by the SQF food safety and/or quality auditor when conducting an SQF food safety and/or quality audit.
Auditor	A person registered by the SQFI to audit a site's SQF food safety and/or quality System. An auditor must work on behalf of a licensed certification body. The terms "SQF auditor" and "SQF sub-contract auditor" shall have the same meaning.
Central Site	An SQF certified site at which activities are planned to control and manage a network of SQF certified sub-sites within an SQF multi-site program (refer to SQFI's multi-site program requirements).
Certificate	A certificate which includes a registration schedule (in a format approved by the SQFI), issued to a site by a licensed certification body following the successful completion of an SQF food safety and/or quality certification audit and/or a re-certification audit.
Certification	Certification by a licensed SQF certification body of a site's SQF food safety and/or quality System as complying with the SQF food safety and/or quality Code, as appropriate, following a certification audit or re-certification audit. The terms, "certify," "certifies" and "certified" shall have a corresponding meaning under the SQF Program.
Certification Audit	An audit of a site's whole SQF System, including a desk audit, where the site's SQF System: a) has not been previously certified; or b) has been previously certified but requires certification as the earlier certification has been revoked or voluntarily discontinued by the site.
Certification Body	An entity which has entered into a license agreement with the SQFI authorizing it to certify a site's SQF System in accordance with the ISO / IEC 17065:2012 and the Criteria for SQF Certification Bodies.
Certification Cycle	The annual period between a site's certification/re-certification audits.
Certification Number	A unique numerical provided by the SQFI and included on the certificate, issued to a site that has successfully completed an SQF Food Safety or Quality certification audit.
Children	Children are defined under the United Nations Convention on the Rights of the Child as "human beings below the age of 18 years unless majority is attained earlier under the applicable laws of a given country."
Codex Alimentarius Commission	The internationally recognized entity whose purpose is to guide and promote the elaboration and establishment of definitions, standards and requirements for foods, and to assist in their harmonization and, in doing so, to facilitate international trade. The Commission Secretariat comprises staff from the Food and Agriculture Organization and

	the World Health Organization. The Codex Alimentarius Commission adopted the principles of the Hazard Analysis and Critical Control Point (HACCP) system in 1997.
Contract Manufacturer (or co-man, co-manufacturer)	Facilities that are contracted by the SQF certified site to produce, process, pack and /or store part of or all of one or more products included in the site's SQF scope of certification. In some cases, a product may be manufactured interchangeably at the certified site and by the contract manufacturer. In other cases, a contract manufacturer may only be used intermittently to fulfill or supplement the certified site's production. Contract manufacturers must follow the requirements outlined in the SQF Food Safety Code.
Corporate	An entity that does not manufacture or handle product but oversees and contributes to the food safety and/or quality management system at an SQF certified site.
Correction	Action to eliminate a detected non-conformity. Shall have the same meaning as "corrected."
Corrective Action	Action to eliminate the cause of a detected non-conformity or other undesirable situation. Corrective action shall include: a) Determine / document any immediate action required / taken i. Determine the cause of the problem ii. Evaluate action needed on the identified cause iii. Determine if the problem exists elsewhere in the system and implement actions needed b) Document the actions taken and the results of the action taken. i. Review/verify and document effectiveness of action taken with objective evidence.
Crisis Management	The process by which a site manages an event (e.g., a flood, a drought, a fire, etc.) that adversely affects the site's ability to provide continuity of supply of safe, quality food, and requires the implementation of a crisis management plan.
Customer	A buyer or person that purchases goods or services from the SQF certified site.
Desk Audit	A review of the site's SQF System documentation, forming part of and being the initial stage of the certification audit to ensure the System documentation substantially meets the requirements of the SQF Food Safety and/or Quality Code, as appropriate.
Deviation	A non-conformity raised against the SQF Quality Code. Deviations are graded as follows: A minor quality deviation is an omission or deficiency in the quality system that produces unsatisfactory conditions that if not addressed may lead to a quality threat but not likely to cause a system element breakdown. A major quality deviation is an omission or deficiency in the quality system producing unsatisfactory conditions that carry a significant quality threat and are likely to result in a system element breakdown. No critical deviations are raised at a quality systems audit. Timelines for the resolution of corrective actions are addressed in Part A, 3.2.
Environmental Monitoring Program (EMP)	A program which includes pathogen or indicator swabbing as appropriate to detect risk in the sanitary conditions in the processing environment. A verification of the effectiveness of the pathogen controls that a management facility has in place for high risk foods.
Exempt	A term applied to elements of the SQF Food Safety and Quality Code that the site does not wish to be included in the SQF System audit, and has submitted a written request to the certification body to exclude, prior to commencement of any scheduled audit activity. In the SQF Food Safety Code, mandatory elements of the system elements cannot be exempted. The certification body will confirm the reasons for exemption as part of the site audit. The term also applies to products, processes or areas of the site that the site wishes to exclude from the audit. A request is to be submitted to the certification body in writing

	prior to the audit activity, and shall be listed in the site description in the SQFI assessment database.
Facility	The site's premises at its street address. The production, manufacturing, or storage area where product is produced, processed, packaged, and/or stored, and includes the processes, equipment, environment, materials and personnel involved. The facility must be managed and supervised under the same operational management. The facility is the site audited during an on-site audit (refer to "site").
Feed	Any single or multiple materials, whether processed, semi-processes, or raw, which is intended to be fed directly to food-producing animals.
Feed Safety	The principles and practices applied to feed production and manufacturing to ensure that feed does not cause harm to animals or humans.
Food	Any substance, usually of animal or plant origin, intentionally consumed by humans, whether processed, partially processed or unprocessed. May include water, alcoholic and non-alcoholic drinks, materials included in a processed food product and any other substance identified by regulation (legislation) as a food.
Food Defense	As defined by the US Food and Drug administration, the efforts to prevent intentional food contamination by biological, physical, chemical or radiological hazards that are not reasonably likely to occur in the food supply.
Food Fraud	As defined by Michigan State University, a collective term used to encompass the deliberate and intentional substitution, addition, tampering, or misrepresentation of food, food ingredients, or food packaging; or false or misleading statements made about a product, for economic gain.
FMI	The Food Marketing Institute, a not-for-profit corporation, having its principal offices at 2345 Crystal Drive, Suite 800, Arlington, VA 22202, United States of America.
Food Packaging	The finished article used to package food.
Food Quality Plan	As described in the SQF Quality Code. It shall be based on the CODEX HACCP method, include process controls at quality points in production to monitor product quality, identify deviations from control parameters and define corrections necessary to keep the process under control.
Food Safety Certification Program Owner	As defined by the Global Food Safety Initiative, a systematic plan which has been developed, implemented and maintained for the scope of food safety. It consists of a standard and food safety system in relation to specified processes or a food safety service to which the same particular plan applies. The food safety program should contain at least a standard, a clearly defined scope, and a food safety system.
Food Safety Fundamentals	An entry level Code for new and developing businesses that covers basic Good Agricultural or Aquaculture Practices (GAPs), Good Manufacturing Practices (GMPs), or Good Distribution Practices (GDPs) and defines the essential elements that must be implemented to meet relevant legislative and customer food safety requirements. Sites that comply with the SQF Code certification requirements for the Food Safety Fundamentals Code receive an accredited certificate from an SQFI licensed certification body.
Food Safety Plan	As described in the SQF Food Safety Code. The plan shall be prepared based on the CODEX HACCP method, include process controls at control points in production to monitor product safety, identify deviations from control parameters and define corrections necessary to keep the process under control.
Food Sector Category (FSC)	A classification scheme established to assist in a uniform approach to management of the SQF Program and means those food industry, manufacturing, production, processing, storage, wholesaling, distribution, retailing and food service activities and other food sector services and auditor and consultant registration as defined by the SQFI.

General Requirements	The current edition of the document entitled "Criteria for SQF Certification Bodies: SQF Guidance on the Application of ISO/IEC 17065:2012, General Requirements for Certification Bodies," published by The SQFI.
Good Agricultural Practices (GAPs)	Practices on farms which define the essential elements for the development of best-practice for production, incorporating integrated crop management, integrated pest management, and integrated agricultural hygienic practices.
Good Aquaculture Practices (GAPs)	Practices on aquaculture farms and wild catch fisheries which define the essential elements for the development of best-practice for production, incorporating integrated water quality, veterinary and growth practices, and handling and hygienic practices.
Good Manufacturing Practices (GMPs)	The combination of management and manufacturing practices designed to ensure food products are consistently produced to meet relevant legislative and customer specifications.
HACCP	The Hazard Analysis Critical Control Point (HACCP) system and refers to the HACCP guidelines developed and managed by the Food and Agriculture Organization's CODEX Alimentarius Commission. Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its Application – Annex to CAC/RCP 1 – 1969, Rev. 4-2003), – "A system, which identifies, evaluates and controls hazards which are significant for food safety."
HACCP Method	The implementation of pre-requisite programs and the application of HACCP principles in the logical sequence of the twelve steps as described in the current edition of the CODEX Alimentarius Commission Guidelines. The SQF Food Safety and Quality Codes utilize the HACCP method to control food safety hazards and quality threats in the segment of the food chain under consideration..
HACCP Plan	A document prepared in accordance with the CODEX HACCP method to ensure control of hazards which are significant for food safety or the identification of quality threats for the product under consideration.
HACCP Training	Training that meets the guidelines outlined in the Food and Agriculture Organization's CODEX Alimentarius Commission. Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its Application – Annex to CAC/RCP 1 – 1969, Rev. 4-2003), – "A system, which identifies, evaluates and controls hazards which are significant for food safety." And this training shall be: 1. Recognized as a HACCP training course used extensively in a country. 2. Administered and delivered by an institution recognized as a food safety training center of excellence. 3. A minimum of two days (16 hours) in duration, or equivalent. 4. The acquired knowledge of the candidate shall be assessed as part of the training program.
Hazardous Chemicals and Toxic Substances	Solids, liquids or gasses that are radioactive, flammable, explosive, corrosive, oxidizing, asphyxiating, pathogenic, or allergenic, including but not restricted to detergents, sanitizers, pest control chemicals, lubricants, paints, processing aids, bio-chemical additives, which if used or handled incorrectly or in increased dosage may cause harm to the handler and/or consumer. Hazardous or toxic chemicals may be prescribed by regulation as "dangerous goods" and may carry a "poison," "Hazmat" or "Hazchem" label depending on the jurisdiction.
High Risk Area	A segregated room or area where high risk food processes are performed, and which require a higher level of hygienic practice is required to prevent contamination of high risk food by pathogenic organisms.
High Risk Food	Food or food product with known attributes for microbiological growth, physical or chemical contamination, or which due to a process type may allow for the survival of pathogenic microbial flora or other contamination which, if not controlled, may contribute to illness of the consumer. It may also apply to a food that is deemed high risk by a customer, declared high risk by the relevant food regulation or has caused a major foodborne illness outbreak.

High Risk Food Process(es)	A process that requires specific controls and/or a higher level of hygienic practice to prevent food contamination from pathogens.
Industry Code of Practice	Industry norms, rules or protocols established by industry groups which provide practical, industry specific guidelines on meeting regulations while meeting industry needs.
Inspection Area	A designated station close to the process for the purpose of monitoring food safety and/or quality attributes and parameters.
Legality	Legality refers to national federal, state and local regulations applicable to the certified product in the country of manufacture and intended markets.
Licensed Certification Body (LCB)	An entity which has entered into a license agreement with the SQFI authorizing it to manage the auditing and certification of site's SQF System.
Low Risk Food	A food containing high acid that is not known to support the growth of pathogens; a food that is subject to a full cook prior to consumption.
Mandatory Elements	System elements that must be implemented and audited for a site to achieve SQF certification; system elements that cannot be exempted during a certification/re-certification audit.
Maximum Residue Limits (MRLs)	Generally set by local regulation or CODEX Alimentarius Commission, and applies to maximum allowable trace levels of agricultural and veterinary chemicals in agricultural produce, particularly produce entering the food chain.
Multi-site Certification	Multi-site certification involves the designation and certification of a central site (i.e. manufacturer, packer, warehouse) into which a network of certified sub-sites all performing the same function feed into. The central site and all sub-sites are all located in the one country and operate under the same food safety legislation (refer to SQFI's multi-site program requirements).
Multi-site Program	An SQF multi-site program is comprised of a central-SQF certified site under which activities are planned to manage and control the food safety management systems of a network of sub-sites under a legal or contractual link (refer to SQFI's multi-site program requirements).
Multi-site Sampling Program	As defined by the Global Food Safety Initiative Requirements Document, a program of sub-site audits defined by the certification program owner, but will be determined by the certification body based upon specified criteria.
Non conformity (or Non-conformance)	Refers to the following definitions: A minor non-conformity is an omission or deficiency in the SQF System that produces unsatisfactory conditions that if not addressed may lead to a risk to food safety and/or quality but not likely to cause a system element breakdown. A major non-conformity is an omission or deficiency in the SQF System producing unsatisfactory conditions that carry a food safety and/or quality risk and likely to result in a system element breakdown. A critical non-conformity is a breakdown of control (s) at a critical control point, a pre-requisite program, or other process step and judged likely to cause a significant public health risk and/or where product is contaminated. A critical non-conformity is also raised if the site fails to take effective corrective action within the timeframe agreed with the certification body, or if the certification body deems that there is systemic falsification of records relating to food safety controls and the SQF System. Critical non-conformities cannot be raised at desk audits.
N/A	Stands for "not applicable" and may be reported during the SQF food safety and/or quality audit by the food safety and/or quality auditor when an element does not apply immediately but the site is still responsible for the element.

	N/A may also be reported to avoid double debiting, for example where a non-conformity has been raised against a similar, but more appropriate element. In this case, the element will be reported as "N/A."
On-site Laboratories	A designated and enclosed area in the site in which chemical, microbiological and other product testing is conducted and if not controlled could lead to contamination and requires the use of good laboratory practices.
Pests	Vermin, including birds, rodents, insects, or other unwanted species that can carry disease and pose a risk to packaging, feed or food.
Pet Food	Any substance intended for consumption by domestic animals and specialty pets. It includes dry and moist pet foods and treats, semi-raw, canned, chilled, or frozen product.
Plan	As defined by ISO 9001, a document(s) used to establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organization's policies. (refer to Food Safety Plan, Food Quality Plan).
Potable	Water that is safe to drink.
Pre-requisite Program	A procedural measure that when implemented reduces the likelihood of a food safety hazard or a food quality threat occurring, but one that may not be directly related to activities taking place during production.
Primary Producer or Producer	A sole entity involved in the pre-farm gate production, field packing, storage and supply of food produced and/or harvested under their exclusive control.
Processing	The processing of food through one or more steps in which the nature of the food is changed. Processing includes but is not limited to repacking, over bagging and re-labeling of food, slaughtering, dismembering, sorting, grading, cleaning, treating, drying, salting, smoking, cooking, canning, purifying and the pasteurization of food.
Product	Those products that apply to a specific food sector category as defined by the SQFI.
Program	A plan(s) used to establish the objectives and processes necessary to deliver results in accordance with customer requirements and the organization's policies." Examples include allergen management program or an environmental monitoring program.
Purity	The absence of contaminants that could cause a food safety hazard.
Quality	A measure of exceeding customer or corporate expectations and a state of being free from defects, deficiencies and significant variation.
Quality Threat	See threat.
Re-certification	A re-certification by a certification body of a site's SQF food safety or quality System as a result of a re-certification audit, and re-certified shall have a corresponding meaning.
Re-certification Audit	An audit of the site's SQF food safety or quality System within thirty (30) calendar days of the anniversary of certification.
Recoup	Product that is intact and requires no further processing or handling but is repackaged for distribution. For example, mixing of partial cases to build one complete case. May also be referred to as "repack."
Registration Schedule	The portion of the certificate setting out the scope of and the nature and extent of the rights of use of the quality shield granted to the site.
Rework	Food, materials, and ingredients, including work in progress that has left the normal product flow and requires action to be taken on it before it is acceptable for release and is suitable for reuse within the process.
Rules of Use	The rules and procedures contained in SQF Logo and/or Quality Shield Rules of Use and includes the certificate schedule and any modification, variation or replacement of the SQF trademark rules of use.

Scope of Certification The food sector categories and those products to be covered by the certificate.

Season or Seasonal A period in which the major activity is conducted over not more than five consecutive months in a calendar year; for example, harvesting and packing during the apple season.

SQFI Select Site Recognition stated on the SQFI certificate for sites who have undergone an annual unannounced recertification audit.

Senior Site Management Individuals at the highest level on site responsible for the business operation and implementation and improvement of the food safety and quality management system.

Site Any food business involved in the production, manufacture, processing, transport, storage, distribution or sale of food, beverages, packaging, animal feed, or pet food, or providing support services to the food sector and run by a person, company, cooperative, partnership, joint venture, business or other organization who has, or agrees to have, a licensed SQF certification body carry out audits and certification of its SQF System.

Site Audit The second part of a certification audit that reviews the site's products and processes on-site to determine the effective implementation of the site's documented SQF food safety or quality System.

SQF Auditor The same meaning as auditor.

SQF Consultant A person who is registered by the SQFI to assist in the development, validation, verification, implementation and maintenance of SQF System on behalf of client site in the food industry categories appropriate to their scope of registration.

SQF Logo Means the SQF logo depicted in SQF Logo Rules of Use.

SQF Practitioner An individual designated by a site to oversee the development, implementation, review and maintenance that site's own SQF System. The SQF practitioner qualification details will be verified by the SQF food safety or quality auditor during the certification/re-certification audit as meeting the following requirements:

i. Oversee the development, implementation, review and maintenance of the SQF System, including food safety fundamentals outlined in 2.4.2, and the food safety plan outlined in 2.4.3.

ii. Take appropriate action to ensure the integrity of the SQF food safety and/or quality System.

iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF food safety and/or quality System.

iv. Ensure that site personnel have the required competencies to carry out those functions affecting products, legality, and safety.

The SQF quality practitioner shall also have responsibility and authority to oversee the development, implementation, review and maintenance of the SQF Quality Code, including the food quality plan.

SQF Program The SQF Food Safety and/or Quality Code and all associated System, rules, quality shield, intellectual property and documents.

SQF Quality Shield Means the SQF shield depicted in SQF Quality Shield Rules of Use.

SQF System A risk management and preventive system that includes a food safety plan or food quality plan implemented and operated by a site to assure food safety or quality. It is implemented and maintained by an SQF practitioner, audited by an SQF food safety or quality auditor and certified by a licensed certification body as meeting the requirements relevant to the SQF Food Safety or Quality Code.

SQF Trainer An individual contracted to a licensed SQF training center that has applied and met the requirements listed in the "Criteria for SQF Trainers" published by SQFI and, upon

	approval, is registered under the SQFI to provide consistent training on the SQF Program.
SQFI	The SQF Institute, a division of the Food Marketing Institute (FMI).
SQFI Assessment Database	The online database used by the SQFI to manage site registration, site audits, close out of corrective actions, and site certification.
System Elements	The SQF food safety management requirements applied by all sites throughout the supply chain for SQF certification.
Standard	A normative document and other defined normative documents, established by consensus and approved by a body that provide, for common and repeated use, rules, guidelines or characteristics for activities or their results, aimed at the achievement of the optimum degree of order in a given context.
Sub-site	An SQF certified site which operates under a contractual link to an SQF certified central site within an SQF multi-site program (refer to SQFI's multi-site program requirements).
Supplier	The entity that provides a product or service to the SQF certified site.
Surveillance Audit	A six (6) monthly audit (or more frequently as determined by the certification body) of part of a site's SQF System where that system has previously been certified or re-certified and whose certification is current. Multi-site certification requires surveillance audits every six (6) months at a minimum.
Technical Expert	An individual engaged by a licensed SQF certification body to provide a high level of technical support to the certification audit team. The technical expert shall be approved by the SQFI prior to the certification/re-certification audit, demonstrate a high degree of expertise and technical competence in the food sector category under study, a sound knowledge and understanding of the HACCP method and where possible be registered as an SQF consultant.
Threat	An identified risk that has the potential, if not controlled, to affect the quality of a product.
Trademarks	A recognizable label, logo, or mark which identifies a raw material or finished product with a particular producer, manufacturer, or retailer.
Training Center	An entity which has entered into a license agreement with the SQFI to deliver SQFI-licensed training courses, including the "Implementing SQF Systems," "Quality Systems for Manufacturing" and "Advanced SQF Practitioner" training courses.
Unannounced Audit	A re-certification audit that is conducted once at a minimum within every three (3) certification cycles and thirty (30) days on either side the initial certification anniversary date without prior notice to the SQF certified site. A site may forgo the three-year certification cycle requirement and voluntarily elect to have annual unannounced recertification audits. Sites with annual unannounced recertification audits shall be recognized on the SQFI certificate as an "SQFI select site."
Validation	As defined in the Food and Agriculture Organization's CODEX Alimentarius Commission. Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its Application – Annex to CAC/RCP 1 – 1969, Rev. 4-2003), – "A system, which identifies, evaluates and controls hazards which are significant for food safety. Essentially validation as applied to control limits seeks to prove that the intended result was achieved and that it actually worked.
Verification	As defined in the Food and Agriculture Organization's CODEX Alimentarius Commission. Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its Application – Annex to CAC/RCP 1 – 1969, Rev. 4-2003), – "A system, which identifies, evaluates and controls hazards which are significant for food safety. Essentially verification as applied to control measures seeks to prove that the control measure was done according to its design.
Verification Schedule	A schedule outlining the frequency and responsibility for carrying out the methods, procedures or tests additional to those used in monitoring, to determine that the HACCP

	study was completed correctly, that the relevant SQF System is compliant with the relevant food safety and/or food quality plan and that it continues to be effective.
Vision and Mission Statement	A statement issued by senior site management outlining the site's quality goals and objectives. It may be combined with, or separate from the site's food safety policy.
Water Treatment	The microbiological, chemical, and/or physical treatment of water for use in processing or cleaning, to ensure its potability and suitability for use.

Appendix 3: SQF Logo Rules of Use

1 Introduction

1.1 The SQF logo is owned by SQFI.

1.2 Sites at all levels of certification will have the right to use the SQF logo upon and for the duration of certification. There will be no fee payable by sites for the right to use the SQF logo, other than fees payable to obtain and maintain certification.

1.3 Sites obtain no property in the SQF logo.

1.4 Sites may only use the SQF logo in accordance with these rules of use, which are designed to protect the integrity and enhance the value of the SQF logo.

1.5 SQFI delegates any or all of its functions described herein to a SQFI licensed certification body (CB).

1.6 These rules of use regulate the use of the SQF logo by certified sites only. These rules of use do not regulate the use of the SQF logo by SQFI, CBs or other entities licensed by SQFI to use them, unless otherwise provided for in this or another instrument.

2 Conditions for Use

2.1 A site shall, for the duration of its certification, prove to the satisfaction of SQFI and the CB that its SQF System satisfies the requirements set forth in the current edition of the SQF Food Safety and/or Quality Code or that it meets the requirements spelled out in the SQF Food Safety Fundamentals; and

2.2 A site must only use the SQF logo in accordance with its certificate and these rules of use.

3 Reproduction

3.1 If a site wishes to reproduce the SQF logo it must do so strictly in accordance with the requirements and specifications set out in Schedule 2.

4 Obligations of a Site

4.1 A site must:

a) comply fully with these rules of use;

b) direct any queries regarding their intended use of the SQF logo to the certifying CB who issued the certificate;

c) discontinue any use of the SQF logo to which SQFI or the certifying CB reasonably objects;

d) operate entirely within the scope of its certificate, including the certification schedule. Subsidiary companies and site addresses not included on the certificate of registration are not certified to use the SQF logo;

e) give SQFI, a CB and/or their agents access to examine publicity material and all other such items bearing or indicating the SQF logo for the purpose of confirming compliance with these rules of use and the certificate; and

f) pay within the specified time any fees set by SQFI.

5 Grounds for Suspending or Ceasing Use of the SQF Logo

5.1 The permission for a site to use the SQF logo will:

a) be suspended if the site's certification is suspended; all efforts must be made to suspend in the manufacturing process of the use of the SQF logo upon certificate suspension;

b) cease to be used within the operation if the site’s certification is withdrawn, relinquished or not renewed.

5.2 Conditions for suspending or ceasing a site’s permission to use the SQF logo, to be notified by the certifying CB, include (but are not necessarily limited to):

a) suspended if the site breaches or fails to comply with these rules of use;

b) suspended if the site fails to use the SQF logo in accordance with its certificate, including the certification schedule;

c) ceased if the site uses the SQF logo in a way that, in the opinion of SQFI or the CB, is detrimental to the SQF logo or the SQF program as a whole, is misleading to the public or otherwise contrary to law; or

d) ceased if the site has an administrator, receiver, receiver and manager, official manager or provisional liquidator appointed over its assets or where an order is made or a resolution passed for the winding up of the site (except for the purpose of amalgamation or reconstruction) or the site ceases to carry on business or becomes bankrupt, applies to take the benefit of any law for the relief of bankrupt or insolvent debtors or makes any arrangement or composition with its creditors.

6 Disclaimer

6.1 SQFI may from time to time alter these rules of use or make new rules but no such alteration or new rule shall affect the use of the SQF logo by a site until six (6) months have expired from the date the alteration or new rules of use are first published by SQFI on its website (sqfi.com) unless specified by SQFI.

SCHEDULE 1: REPRODUCTION REQUIREMENTS FOR THE SQF LOGO

Introduction

Sites who achieve and maintain certification to the SQF Food Safety Fundamentals or the SQF Food Safety Code and/or the SQF Quality Code are granted permission by their certifying CB to use the SQF logo, subject to the rules of use and the conditions set out hereunder per site.

Electronic SQF logo files are to be obtained from the certifying CB.

Color Format	For Use On
Full Color Reproduction: see PMS color format set out at Schedule 2 Clause 2.	• brochures, flyers, advertisements, press releases, company website, email signature lines • internal documents and training materials
Single Color Reproduction: black and white.	• brochures, flyers, advertisements, press releases, company website, email signature lines • internal documents and training materials

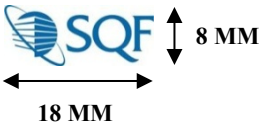
Color Reproduction of the SQF Logo

Reproduction of the SQF logo is to be clear, precise and of the highest standard. The following guidelines govern full color reproduction.

PMS 3005C
CMYK: C=100, M=34, Y=0, K=2

Dimensions

To ensure readability, do not reproduce the SQF logo smaller than indicated below. Larger variation to these dimensions is permitted provided that any such variation is proportional to the dimensions given below.



Special Cases

Where it is demonstrated that alternative reproduction of the SQF logo enhances the status of the SQF logo and/or SQFI, then the alternative is permitted provided it is approved by the certifying CB. All requests must be provided in writing **per certified site** to the certifying CB and SQFI.