

OnTrak Webinar Series Presents

SQFI Edition 9 Updates: Tips, Tactics & Document Management

January 14, 2021



Frank Schreurs

SQFI
fschreurs@fmi.org



Karen Sickles

ReposiTrak
ksickles@repositrak.com

Quick Poll

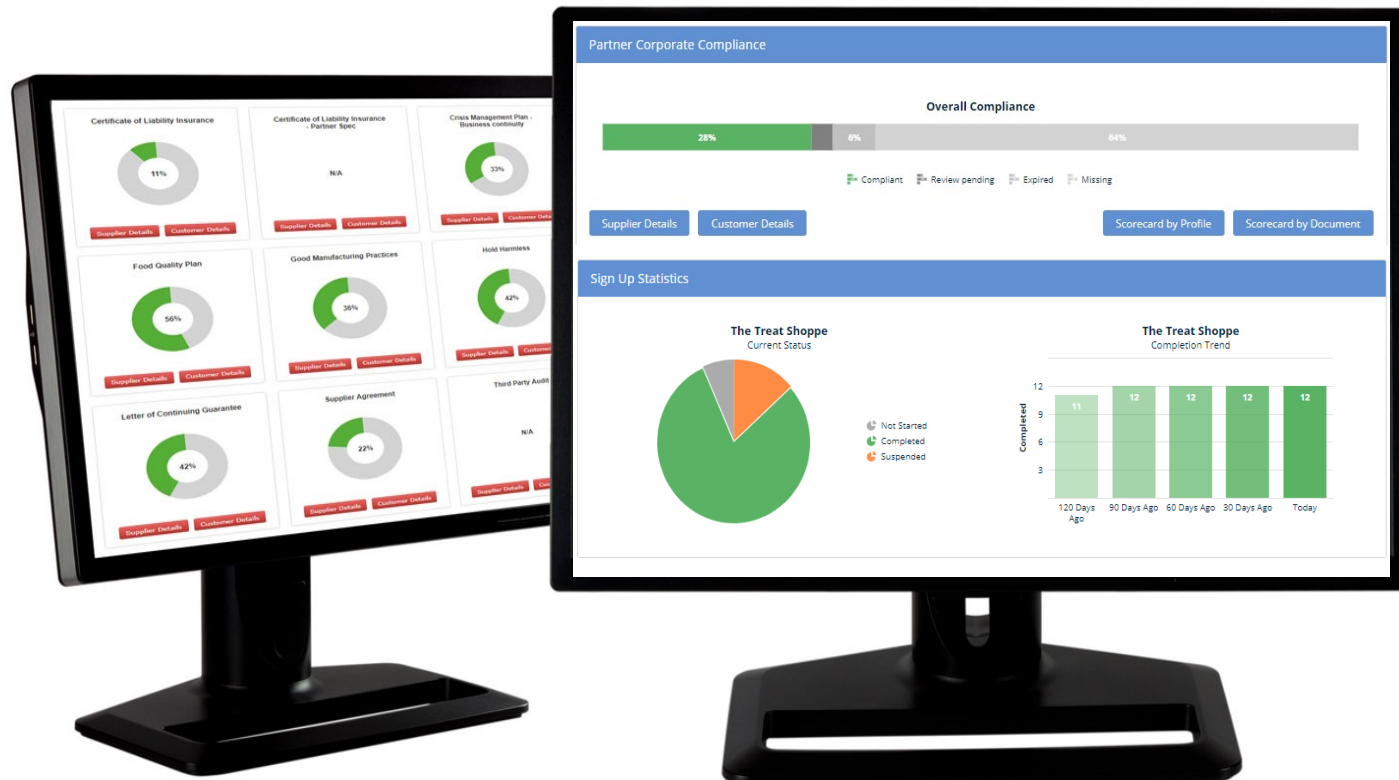


To give presenters an idea of today's live audience, what is your role?

- A. Corporate Quality Assurance
- B. Onsite SQFI Practitioner
- C. Purchaser/Buyer
- D. Other

World's Largest Network of Supply Chain Partners Sharing Documents & Data

*Improve Product Safety, and Reduce Cost & Risk
using ReposiTrak Compliance Management*



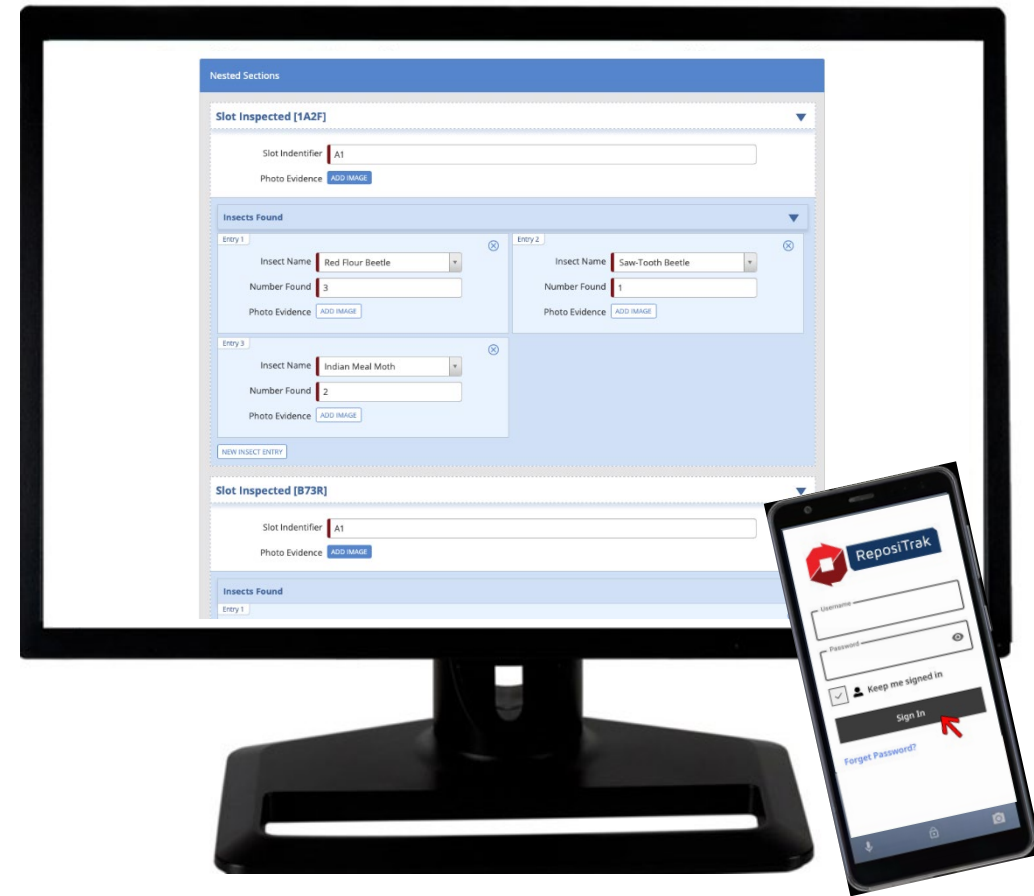
More than **100,000** connections
in the ReposiTrak network
used in
100+ countries!

Many of you and your suppliers
are likely already using ReposiTrak
to share documents with
customers

Introducing ReposiTrak Active QMS

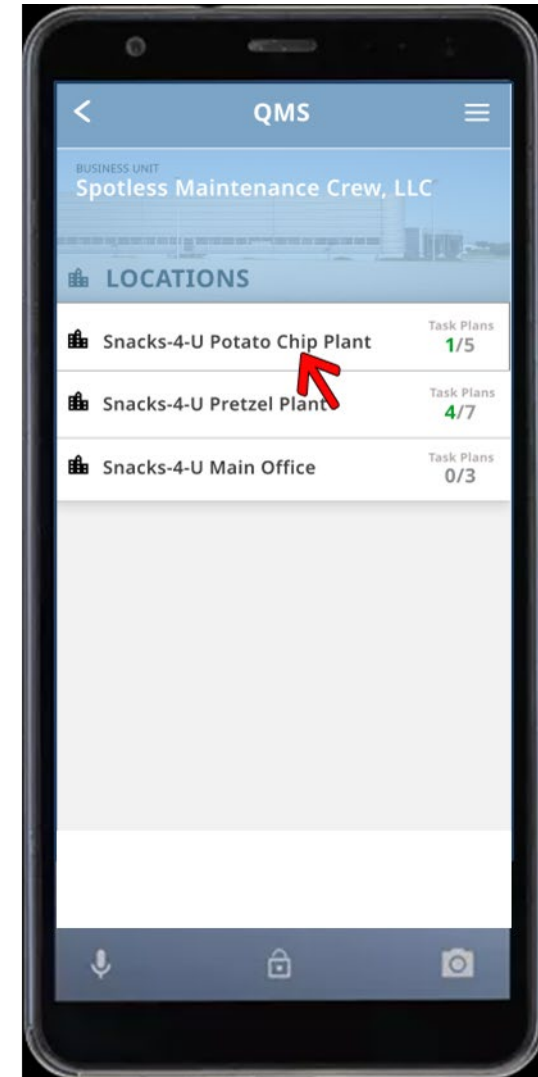
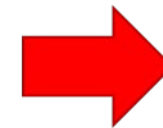
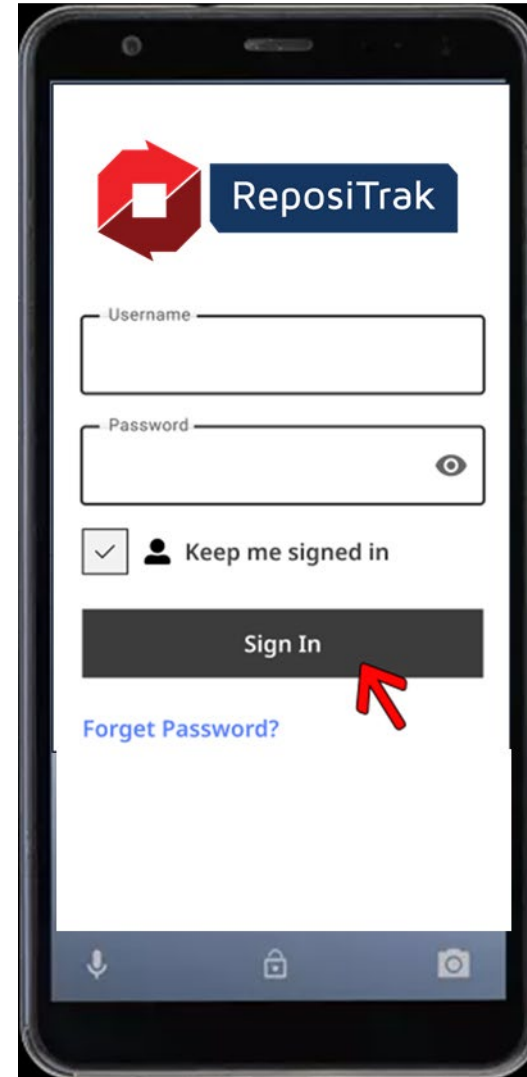
QMS Automation Via Smartphone & The ReposiTrak Platform

- Improve quality control and safety
- Save thousands of hours of time
- Reduce reliance on costly paper records



Task Management and Record Keeping in the Palm of Your Hand

The new Active QMS smartphone app from ReposiTrak makes it **fast and easy** to create records for QMS processes and protocols, such as temperature checks, swab testing, sanitation & pest control and equipment inspections.



Quick Poll



How do you currently use ReposiTrak today?

- A. For my SQF audits only
- B. Share documents with customers
- C. Both A&B, plus for compliance with my OWN suppliers
- D. Not sure



Frank Schreurs

More than 30 years of management and leadership experience in the food and beverage industry.

Began career in food manufacturing with Kellogg Co.

20 years as executive, trainer, auditor and consultant

Currently Business Development Lead, North America and Technical Team member with SQFI





Karen Sickles

Responsible for strategy, development and execution of written and digital educational programs for ReposiTrak.

More than 20 years experience in the food and beverage industry executing strategic initiatives along the supply network including scan-based trading, improved ordering and food safety compliance.

Prior experience in business development and managing strategic educational programs for a health system network of hospitals, faculty practices and a school of medicine.



In Today's Session:

- Learn about major changes to the SQF Codes for Edition 9.
- Discover how ReposiTrak can be used to manage the changes.
- See how ReposiTrak can assist in remote audits and audit efficiency.

As the administrator of the **SQF Program**, SQFI develops, monitors, manages a leading, **global food safety**, and **quality** certification and management system.

The SQFI **mission** is to deliver consistent, globally-recognized food safety and quality certification programs based on sound **scientific principles**, applied across all **industry sectors** and valued by all **stakeholders**.

The SQF Program is the **solution** for food manufacture and production sites to **protect** their brands, **strengthen** partner relationships, and **expand** trading partnership opportunities.

The network of sites certified to the SQF Program extends across the globe, with a community of **10,000+ certified sites** in over **40 countries across 6 continents**.

Initial Objectives and Outcomes

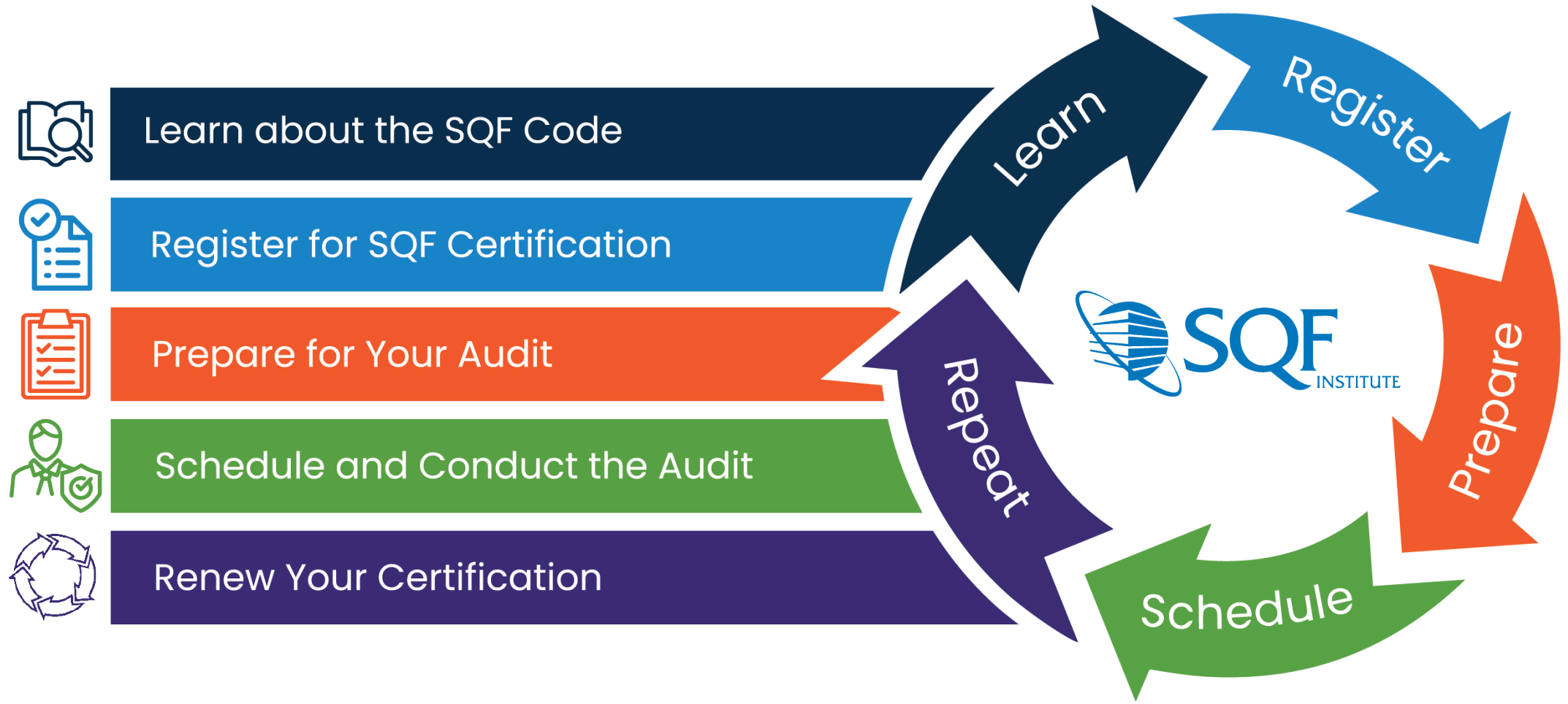


Objectives

- Improve the architecture and structure of the Codes
 - Re-evaluate the FSCs
 - Reduce number of elements in all Codes
- Meet GFSI requirements (GFSI 2020)
- Stakeholder input
 - Stakeholder survey
 - Retailer input
 - TWGs
- Review auditor, consultants, trainer, technical reviewer and witness auditor assessor and witness audits criteria
- Review audit protocol. Focused audit

- Livestock, aquaculture, primary plant production, animal production, dietary supplements, pet food, and animal feed separated out to better address the risks to each industry scope.
- Commonly used food sector categories incorporated into one Code making for an easier understanding and application of the Code requirements.
- Designed to meet GFSI 2020 requirements.
- All improvements and enhancements build to a better audit experience creating value and confidence in the SQF certificate.

Getting Certified with SQF



SQF Food Safety & Quality Codes



Comprised of 13 industry specific codes, the SQF family of codes provide step by step instruction for production and manufacture sites to become SQF Certified.

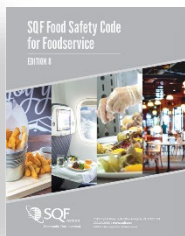
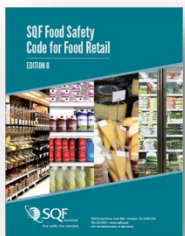
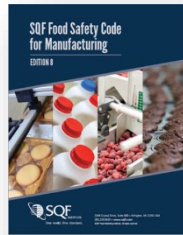
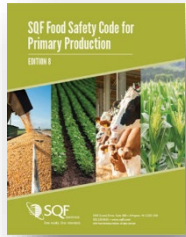
SQF Code Edition 9:

- Primary Plant Production
- Primary Animal Production
- Aquaculture
- Food Manufacturing
- Pet Food Manufacturing
- Animal Product Manufacturing
- Animal Feed Manufacturing
- Dietary Supplements Manufacturing
- Manufacture of Food Packaging
- Storage and Distribution
- Food Retail *
- Foodservice *
- Quality



*Benchmarked to SQF Code Edition 8.1

Edition 8.1



Edition 9



	Primary Animal Production	Primary Plant Production	Aquaculture		
FSC:	1	2, 3, 4, 5	6		
	Animal Product Manufacturing	Food Manufacturing	Dietary Supplements	Pet Food	Animal Feed
FSC:	7, 8, 9	10-22, 25, 33	31	32	34
	Storage and Distribution	Food Packaging			
FSC:	26	27			
	Quality Code				
	Any GFSI Recognized Standard				
	Food Retail (23)				
	Foodservice (24)				
	Fundamentals				
	No Changes				

- Primary Codes divided into three different Codes.
- Pre-packing of produce (module 10) has been removed and is now with Primary Plant products.
- Processing of animal products, pet food and animal feed have been removed from the Manufacturing Code into separate Codes.
- No changes to Food Retail, Foodservice, or Fundamentals Program.

Streamlined Content



Contents

PART A: Implementing and Maintaining the SQF Food Safety Code for Manufacturing.....6

A1: Which SQF Code is Right for You?.....7

A2: Steps to Achieving SQF Certification (Steps 1 – 10).....10

Step 1: Register on the SQF database.....12

Step 2: Designate an SQF Practitioner.....13

Step 3: Determine the Scope of Certification.....15

Step 4: Document Your SQF System.....14

Step 5: Implement Your SQF System.....16

Step 6: Pre-assessment Audit (optional).....16

Step 7: Select a Certification Body.....18

Step 8: The Initial Certification Audit.....17

Step 9: Audit Reporting and Close-out.....19

Step 10: Ongoing Certification.....22

A3: Maintaining your SQF certification (Steps 11 – 16).....25

Step 11: Recertification.....26

Step 12: Non-conformances.....27

Step 13: Withdrawal of Audit or Certification.....28

Step 14: Suspension of Audit or Certification.....29

Step 15: Revocation of Audit or Certification.....30

Step 16: Reinstatement of Audit or Certification.....31

SQF Food Safety Code for Manufacturing, Edition 9

A

Implementing and Maintaining the SQF Food Safety Code for Manufacturing

SQF Food Safety Code for Manufacturing, Edition 9

B

The SQF Food Safety Code for Manufacturing

SQF Food Safety Code for Manufacturing, Edition 9

PART A: Implementing and Maintaining the SQF Food Safety Code for Manufacturing

Step 1: Register on the SQF database

To be considered for SQF certification, you are required to register your site on the SQF assessment database. The database can be accessed at sqf.com.

There is a fee for each site, whether at registration and annual renewal. The fee scale is dependent on the size of the site, as determined by gross annual sales revenue and by industry sector. The fee scale is available on sqf.com.

You need to register your site with SQF prior to the start of the initial certification audit and remain registered all time to remain your active location. If you do not maintain registration, the site will have to be re-audited. The site is properly registered on the SQF assessment database.

Step 2: Designate an SQF Practitioner

The SQF Food Safety Code for Manufacturing requires that every certified site has a qualified person (SQF Practitioner) to oversee the development, implementation, review, and maintenance of the SQF system, including the system elements: Food Safety, Quality, and Environmental. The SQF Practitioner must be qualified in the system elements, per 2.1.1.4 and 2.1.5.

You may choose to have more than one SQF Practitioner to meet your operational requirements.

An alternate staff member should also be identified to manage the SQF system in the absence of the designated SQF Practitioner.

2.1 Training (optional)

All implementing SQF System Practitioners (SQF Practitioner) shall complete the SQF training course. The SQF Practitioner shall also complete the SQF training course. The SQF Practitioner shall also complete the SQF training course. The SQF Practitioner shall also complete the SQF training course.

SQF Practitioners are required to successfully complete SQF training that is a minimum of 16 hours in duration and content.

Training in other food industry disciplines, Good Manufacturing Practices (GMP), and Internal Auditing may also be beneficial, and licensed SQF training centers can provide details about the other training courses they provide.

SQF Food Safety Code for Manufacturing, Edition 9

PART B: The SQF Food Safety Code for Manufacturing – System Elements

Before using food that requires a review of applicable aspects of the SQF system (refer to 2.3.3).

2.5 Product Traceability and Crisis Management

2.5.1 Product Identification (Mandatory)

2.5.1.1 The methods and responsibility for identifying raw materials, ingredients, packaging, work-in-progress, process inputs, and finished products during all stages of production and storage shall be documented and implemented to ensure:

- 1. Accurate identification, including, when applicable, processing, and finished products are clearly identified during all stages of production, storage, or distribution.
- 2. Finished products are labeled to be customer-specific and/or regulatory requirements.

2.5.1.2 Product start-up, product changeover, and packaging changeover (including label changes) procedures shall be documented and implemented to ensure that the correct product is in the correct container and with the correct label and that the changeover is approved and approved by an authorized person. Procedures shall be implemented to ensure that label use is controlled and any inaccuracies investigated and resolved. Product changeover and label revalidation records shall be maintained.

2.5.2 Product Trace (Mandatory)

2.5.2.1 The responsibility and methods used to trace product shall be documented and implemented to ensure:

- 1. Finished product to be traced at least one step backwards to the customer and at least one step forward to the customer to be traced.
- 2. The methods used to trace raw materials, ingredients, packaging, work-in-progress, and other inputs are recorded (refer to 2.5.1.1 for traceability of storage containing raw materials).
- 3. Finished products are labeled to be customer-specific and/or regulatory requirements.
- 4. The identification and validation systems to be used at each stage, as per the product, work-in-progress, and finished product.

2.5.2.2 Records of work and packaging materials received and use and finished product disposal and destruction shall be maintained.

2.5.3 Product Withdrawal and Recall (Mandatory)

2.5.3.1 The responsibility and methods used to withdraw or recall product shall be documented and implemented. The procedure shall:

- 1. Identify those responsible for initiating, managing, and investigating a product withdrawal or recall.
- 2. Ensure that the management procedure is implemented, including review of legal, regulatory, and customer-related, and essential traceability information.

SQF Food Safety Code for Manufacturing, Edition 9

APPENDIX 3: SQF Logo Rules of Use

1 Introduction

1. The SQF logo is owned by SQF. It is either a property of the SQF logo.
2. It is not to be used in any other way, unless otherwise specified in the SQF logo rules of use.
3. There are three types of SQF logos: the SQF logo, the SQF logo with the SQF logo, and the SQF logo with the SQF logo.

2 Conditions for Use

- 2.1 The SQF logo is not to be used in a way that is misleading or that is likely to cause confusion.
- 2.2 The SQF logo is not to be used in a way that is likely to cause confusion.
- 2.3 The SQF logo is not to be used in a way that is likely to cause confusion.
- 2.4 The SQF logo is not to be used in a way that is likely to cause confusion.
- 2.5 The SQF logo is not to be used in a way that is likely to cause confusion.

3 Reproduction

- 3.1 The SQF logo is not to be reproduced in a way that is likely to cause confusion.

Color Format	File Type
CMYK	AI, EPS, PDF, PNG, JPEG, GIF
RGB	AI, EPS, PDF, PNG, JPEG, GIF
High Resolution	AI, EPS, PDF, PNG, JPEG, GIF
Low Resolution	AI, EPS, PDF, PNG, JPEG, GIF

SQF Food Safety Code for Manufacturing, Edition 9

Edition 9 Key Changes:

Part A

- Scoring changed to from 10 point for a major to 5 points.
- Removed requirement for stage one desk audit for initial certifications.
- Included the option for remote activities.
- Audit duration table has been removed. Reference GFSI duration guide.
- Clarification for activities when a site is suspended or fails an audit (New If/Then table)

Most Frequently Commented Code Requirements



2.1.1.2 Food Safety Culture was the most frequently commented on.

- Biggest concern was how the auditor will audit against it.

11.5.5.3 Ambient air testing required for all sites.

- Feedback to why would it apply to all sites? Resulted in change to move it to High Risk – NEW 11.7.1.2.

2.3.3.3 Contract Manufacturers for third party storage and distribution business.

- Clarification regarding the use of other GFSI benchmarked standards and how it should apply.

2.4.4.2 Requirement for internal laboratories used for product analysis, sampling and testing methods shall be in accordance with 17025.

- GFSI mandated requirement and can't be removed but based on public comment specific guidance or tip sheet will be developed

2.6.1.2 Requirements for label reconciliation.

- Comments regarding how and where additional checks for label would apply.

ReposiTrak Supports Requirements



2.2 Document Control and Records:

All documents related to the Food Safety Management System can be created and maintained in ReposiTrak.

Documents				
DOCUMENT	PARTNER	STATUS	EFFECTIVE PERIOD	
California Proposition 65	Laila's Treats (Manufacturer) (118404) (TREAT-103)	Compliant	05/01/2019 04/30/2020	Action ▾
Food Quality Plan for facility 1 - WV one	Laila's Treats (Manufacturer) (118404) (TREAT-103)	Compliant	05/01/2019 04/30/2020	Action ▾
Good Manufacturing Practices for facility 1 - WV one	Laila's Treats (Manufacturer) (118404) (TREAT-103)	Compliant	05/01/2019 N/A	Action ▾

Edition 9 Key Changes:

Food Safety Culture

2.1.1.2 Senior site management shall lead and support a food safety culture within the site that ensures at a minimum:

- i. The establishment, documentation, and communication to all relevant staff of food safety objectives and performance measures;
- ii. Adequate resources are available to meet food safety objectives;
- iii. Food safety practices and all applicable requirements of the SQF System are adopted and maintained;
- iv. Staff are informed and held accountable for their food safety and regulatory responsibilities;
- v. Staff are positively encouraged and required to notify management of actual or potential food safety issues; and
- vi. Staff are empowered to act to resolve food safety issues within their scope of work.

Edition 9 Key Changes:

Internal Laboratories

2.4.4.2 Product analyses shall be conducted to nationally recognized methods or company requirements, or alternative methods which are validated as equivalent to the nationally recognized methods.

Where internal laboratories are used to conduct input, environmental or product analysis, sampling and testing methods shall be in accordance with the applicable requirements of ISO/IEC 17025, including annual proficiency testing for staff conducting analyses.

External laboratories shall be accredited to ISO/IEC 17025 or equivalent international standard and included on the site's contract service specifications list (refer 2.3.2.11).

ReposiTrak Supports Requirements



2.9 Training

Training matrix and employee specific training needs can be tracked to support 2.1.1.2, 2.4.4.2 & 2.1.1.6

The screenshot displays the ReposiTrak search interface. At the top, a blue header reads "Filter By". Below it are three input fields: "Document Name:" (empty), "Containing Text:" (empty with a help icon), and "Hashtags:" (containing "lab" with a help icon). Below the fields are radio buttons for "In Effect" (selected) and "Not In Effect", and a blue "Find" button. To the right of the filter section is a blue "Add" button. Below the filter is a blue header for "Results" with a "Sort By:" dropdown menu set to "Document Name: A to Z". The results are shown in a table with columns for "DESCRIPTION", "VERSION", and "CREATION DATE EFFECTIVE PERIOD". A single result is visible: "Internal Laboratory Training Certification" with version "1.0" and creation date "01/06/2021 11:14:52 AM". An "Action" button is next to the result. At the bottom right of the results area is a blue "Export to Excel" button.

DESCRIPTION	VERSION	CREATION DATE EFFECTIVE PERIOD
Internal Laboratory Training Certification	1.0	01/06/2021 11:14:52 AM 01/01/2021 - N/A

Flexible and fast.

Upload and store documents for internal use.










Add hashtags for easy retrieval.

ReposiTrak Supports Requirements

2.9 Training

Training matrix and employee specific training needs can be tracked to support 2.1.1.2, 2.4.4.2 & 2.1.1.6

“... QA and QC food safety people are performing clerical tasks instead of thought tasks, such as designing more effective processes to ensure safety and compliance in their businesses” -Randy Fields, CEO, ReposiTrak

NAME	EMAIL ADDRESS	WORK PHONE NUMBER	ENROLLMENT ADMIN	PROFILE COMPLETION
 Swift, Sue	sueswift@rtxfoodco.com	(801) 987-2828	Yes	100%
 Gross, Mark	markgross@rtxfoodco.com			
 Miles, Chuck	chuckmiles@rtxfoodco.com			
 Forrestor, Laura	lauraforrestor@rtxfoodco.com			
 Daniels, Harley	hareleydaniels@rtxfoodco.com			
 Ricks, Chris	chrisricks@rtxfoodco.com			
 Seavers, Sharon	sharonseavers@rtxfoodco.com			
 Lewis, Sammy	sammylewis@rtxfoodco.com			
 Davis, Pat	patdavis@rtxfoodco.com			

NAME	TARGET	TASK	EFFECTIVE DATE
2.5MM Metal Detector Log	1 - North Plant	Metal Detector Task	11/01/2020
2.5MM Metal Detector Log	2 - South Plant	Metal Detector Task	12/01/2020
Conveyor Preventative Maintenance	1 - North Plant	Conveyor PM	12/25/2020
Metal Detector Task - 2.5MM Metal Detector Log	2 - South Plant	Metal Detector Task	12/24/2020
Metal Detector Task - 2.5MM Metal Detector Log	1 - North Plant	Metal Detector Task	12/24/2020
Quality Sampling Task - 2.5MM Metal Detector Log	1 - North Plant	Quality Sampling Task	12/25/2020
Quality Sampling Task - 2.5MM Metal Detector Log	2 - South Plant	Quality Sampling Task	12/28/2020



The screenshot shows the ReposiTrak dashboard with the following components:

- Header:** ReposiTrak logo, navigation menu (Home, Compliance Center, My Company, My Partners, Manage Documents, Audit Compliance), and a "Welcome!" message.
- Partner Corporate Compliance:** A progress bar showing 94% completion. Legend: Compliant (94%), Review Pending (1%), Expired (2%), Missing (3%).
- Buttons:** Supplier Details, Customer Details, Scorecard by Profile, Scorecard by Document.
- Sign Up Statistics:**
 - ABC Company, Inc. Current Status:** A pie chart showing Not Started (grey), Completed (green), and Suspended (orange).
 - ABC Company, Inc. Completion Trend:** A bar chart showing completion counts over time: 120 Days Ago (0), 90 Days Ago (15), 60 Days Ago (33), 30 Days Ago (38), and Today (55).

Edition 9 Key Changes:

Primary Plant Production

- GFSI additions in Primary Plant Products – licensing & review process for plant/hybrids, HACCP-based model applied to Packhouses, “significant” incident CAPA.
- Environment monitoring added for indoor ag & packhouses.
- GFSI – Chemical label compliance, visitor cross-contamination, waste system design.
- Water quality – CAFO add in for leafy greens.
- Commodity specific SOP’s for harvesting.

Edition 9 Key Changes:

Animal Feed Manufacturing

- HACCP based programs to include reference to preventive controls.
- Removed CIP reference
- Removed sensory evaluation.
- Removed Ice.
- 3.6.2 Cold Storage and thawing reference applicable to ingredients not feed.

Edition 9 Key Changes:

Pet Food Manufacturing

- Changed allergens to “Identity Preserved Foods.” This better identifies the hazards to pests (i.e. grain free) and includes allergen requirements (not mandatory).

ReposiTrak Supports Requirements



2.4 Food Safety System: Food Safety Plan

Easily view the status and updates to Food Safety Plans or include the model HACCP plan that a site is referencing or using.

Documents					
	DOCUMENT	STATUS	EFFECTIVE PERIOD	CUSTOMER	
	Food Safety Plan Confirmation 1 - WV one	Compliant	01/01/2021 01/01/2022	Karen's Company (Supplier/T2 Hub, frmly My Treats) (118670)	Action▼
	Food Safety Plan Confirmation LF1 - London Facility	Compliant	01/01/2021 01/01/2022	Karen's Company (Supplier/T2 Hub, frmly My Treats) (118670)	Action▼

Edition 9 Key Changes:

Food Packaging

A large, light gray circular icon containing a stylized illustration of a backpack and a rectangular container, representing food packaging.

- Clarified language to food sector packaging.
- Added requirement regarding quarantined product.
 - 2.4.5.2 Finished product returned from a customer shall be quarantined until authorized for release for use or re-shipment.
- Modified environmental monitoring to be less prescriptive. Previously, the requirement was written to paper packaging.
- Clarified language around using other materials such as recycle material.
 - 2.3.2.4 All raw materials including those made with recycled material, plant based material or additional additives, shall be suitable for the intended use, food contact compliance where applicable, and shall comply with the relevant legislation in the country of manufacture and country of destination, if known.

Edition 9 Key Changes:

Storage and Distribution

- Storage & Distribution followed food manufacturing with customized language for DCs.
- HACCP based food safety plan and includes reference to preventive controls.
- Added: 12.6.2.5 Procedures are in place to identify the methods and responsibilities used to ensure that processes applied to materials prior to distribution (e.g. thawing, slacking, labeling) do not pose a risk to product safety or loss of traceability.

ReposiTrak Supports Requirements



Direct monitoring or verification activity input & real time

All routine monitoring for such as critical control points, sanitation, maintenance and pest control can be **recorded and maintained.**

Business Unit Select > Application Selection > Manage Documents > Safety & Quality Records > Safety & Quality Record

Record Information

Record Requirement: Daily Sanitation Checklist for facility 02 - Perishable / 02CDN - Cold Dock North

Task Continuously Performed

Start Time: 5:00 AM 08/13/2019

End Time: 6:00 AM 08/13/2019

Affiliated Foods
Daily Sanitation Checklist
North Dock

Details

Cigarette Vault (1)

Pickup Trash ,wood, plastic, sticker backs: Yes No ?

Need to get under any pallet affected and get affected product to the damage room.

Mop spills as soon as found: Yes No ?

Clean all guard rails and bumpers: Yes No ?

SQFI.com: Free Resources



[Download SQF Code Edition 9](#)

[Watch Edition 9 Food Safety Culture Webinar](#)

[SQF Certified Site Directory](#)

[Free Resource Downloads](#)

Quick Poll



I'd like to learn more about...

- A. ...automating my QMS needs.
- B. ...new certifications through SQF.
- C. ...my compliance management needs as a current user.
- D. ...nothing currently.

Questions?

Thank You for Your Support.

Contact Us

info@sqfi.com | 202.220.0635

