



A commitment to safe, quality food.

SQF 1000 CODE

SQF 1000 CODE

A HACCP BASED SUPPLIER ASSURANCE CODE
FOR THE PRIMARY PRODUCER

5TH EDITION - ISSUED NOVEMBER 2005



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655 15th Street, N.W.
Washington, DC 20005, USA



Preface

The SQF (Safe Quality Food) 1000 Code provides for the Primary Producer a food safety and quality management certification program that is tailored to their needs. It enables them to meet product trace, regulatory, food safety and commercial quality criteria in a structured and cost effective manner.

In 1997 the Code was developed and pilot programs implemented to ensure its applicability to the primary production sector. It was prepared with the assistance of Primary Producers and experts in quality management, food safety, food regulation, food processing, agriculture production systems, food retailing, food distribution and HACCP.

The Food Marketing Institute (FMI) acquired the rights to the SQF Program in August 2003 and has established the SQF Institute (SQFI) Division to manage the Program. The SQF 1000 Code is recognized* by the Global Food Safety Initiative** as a standard that meets its benchmark requirements.

The SQFI Technical Committee reviews and makes recommendations on changes to the Code in line with the current requirements and expectations of the global food sector and other comments received from stakeholders. This review is completed, and amendments to the Code made by the 3rd anniversary date of the previous Edition. If an amendment to the Code is required to reflect the inclusion of a significant food safety requirement, or quality systems development prior to the end of the three year review cycle, then that amendment will be included as an amendment to the current Edition. The SQF 1000 Code as posted on the SQFI web site is the reference document. Notification of reviews and changes to the Code will be posted on the SQFI web site. Suppliers are required to implement any amendments to the Code within six months of the amendment being posted or as otherwise directed by the SQFI. Suggestions for improvements to the Code are encouraged from all users. They should be submitted in writing and be sent to SQFI, 655 15th St., N.W., Washington DC, 20005, USA.

**Recognition is at Level 3*

***The Global Food Safety Initiative (GFSI) is a private organization established by the European based retail trade association, the CIES – Food Business Forum. The GFSI maintains a scheme to benchmark food safety standards (for private label products) as well as farm assurance standards.*

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Introduction

Consumers throughout the world are demanding access to safe, quality food. This increased demand can be attributed to more affluent and mobile populations and a growing awareness of food safety, public health and other social issues.

Government has traditionally been responsible for ensuring consumer health through inspection of the safety and quality of the food supply. However, due to an increase of food safety incidents worldwide, there has been a weakening of consumer confidence in the capacity of regulators to adequately assure safe food. In response, the export, import, retail, food service, hotel and hospitality and major manufacturing sectors are now turning increasingly to the use of third party certification services to audit Supplier management systems and to assure the integrity, traceability, safety and quality of the food purchased is increasing.

The SQF 1000 Code is for use by Primary Producers. It enables a Primary Producer to demonstrate that they can supply food that is safe and it meets the quality specified by a customer. The process involves the producer and the customer first agreeing to the specification of the product to be supplied. The SQF 1000 Code provides an opportunity for Primary Producers to implement a management system that covers multiple products and is ideally suited for Producers supplying retailers and agents, or other immediate customers who have implemented the SQF 2000 Code.

Certification of SQF Systems by a Certification Body is not a statement that the Certification Body guarantees the safety of a Supplier's food or service. It is also not a guarantee that all food safety regulations are being met, or will continue to be met, at all times. It is a statement that the Supplier's food safety plans have been implemented in accordance with the HACCP Method and applicable regulatory requirements, and that the validation and verification of the Food Safety Plan has been evaluated and determined effective to manage food safety. It is also a statement of the Supplier's commitment to:

1. Produce safe, quality food.
2. Comply with the requirements of the SQF Code.
3. Comply with applicable food legislation.

The main feature of the Code is that it is based on the Hazard Analysis and Critical Control Point (HACCP) system, a proven method used by the food industry to minimize food safety risks and reduce the incidence of unsafe food reaching the marketplace. The Code also provides a solution for Primary Producers in developing countries seeking to effectively enter the global food market to implement a food safety and quality management system that addresses the needs of their customers.

The development of the SQF 1000 Code has been a significant move towards the recognition of the importance of independent third party assurance of food safety and quality by all sectors of the food industry. The SQF 1000 Code focuses on the benefits to both industry and the customer, whereby assured safety and improved product quality enhances marketability and profitability.

The SQF 1000 Code is divided into three Certification levels. An explanation of each level is provided in Appendix 1. Each Level is designed to indicate the level of development of a Producer's food safety and quality management system as follows:

- | | |
|----------------|--|
| Level 1 | <u>Food Safety Fundamentals</u> |
| Level 2 | <u>Certified HACCP Based Food Safety Plans</u> |
| Level 3 | <u>Comprehensive Food Safety and Quality Management System</u> |

The word "shall" is used throughout this document to indicate mandatory provisions.

1. Scope

The SQF 1000 Code outlines the general food safety and quality system requirements applied by a **Primary Producer** for:

1. Field packing of fresh produce; and
2. Pre-farm gate production, harvesting and preparation of primary products intended for further processing.

Where any requirement(s) of this Code cannot be applied due to the type of production or product (a raw material that will be subject to further Processing), this can be considered for exclusion. Exclusions to Clauses 4.4.4 and 4.6.3 are particularly relevant to Producers that supply bulk product (e.g., grain, livestock, fish, milk etc intended for further processing). Exclusions may also include other Clauses. Exclusions must be justified in writing to the Certification Body and must not affect the Producer’s ability, or responsibility, to supply product that meets the intent of this Code and customer and regulatory requirements.

The document “Guidance for Developing, Documenting and Implementing a SQF 1000 System” published by the SQF Institute provides detailed guidance which must be followed when implementing a SQF 1000 System.

High Risk Foods: Where a product is deemed High Risk Food the Producer shall be required to implement a SQF 1000 System at Level 2. In such cases the Producer shall, at Level 2., 4.3.1 iv., implement a Food Safety Plan which is prepared in accordance with the HACCP Method and which is specific to the processes that apply at each individual site for each individual High Risk Food. Examples of High Risk Food include but are not limited to;

1. Food Sector Category 3; Growing and production of Fresh Produce (raw seed sprouts including bean sprouts and alfalfa sprouts); and
2. Food Sector Category 6; Harvest and Intensive Farming of Fish (oysters and mussels).

Alternatively the Producer may elect to implement an SQF 2000 System.

2. References

The Code makes reference to the current edition of the CODEX Alimentarius Commission Guidelines for the Application of the Hazard Analysis and Critical Control Point (HACCP) System and the National Advisory Committee on Microbiological Criteria for Foods (NACMCF) Hazard Analysis and Critical Control Point Principles and Application Guidelines, adopted August 14, 1997. It also makes reference to the SQF 2000 Code.

3. Definitions

For the purpose of this Code, the following definition and the relevant definitions outlined in “SQF Program – Vocabulary” apply.

- 3.1 SQF 1000 Plan** includes the Food Safety Plan and the Food Quality Plan as outlined in clause 4.3 of the SQF 1000 Code.

4. SQF 1000 System Requirements

4.1 Commitment

4.1.1 Management Policy

The Producer shall define their commitment to food safety and quality and make resources available to achieve these objectives in a Policy Statement, which is relevant to the Producer’s goals and customer requirements. It shall be signed by the Producer or the most senior person, documented in a Policy Manual and communicated to all staff.

Level 1	Level 2	Level 3
i. The Producer shall prepare and sign a Policy Statement outlining their commitment to supply safe food and to make resources available to achieve this. It shall be: <ol style="list-style-type: none"> a. Signed by the Producer; b. Reviewed at least annually; c. Displayed in a prominent position; and d. Available in language understood by staff and communicated to all staff. 	ii. The Policy Statement shall further outline the Producer’s commitment to make resources available to support the development, implementation and maintenance of the Level 2 Food Safety Plan.	iii. The Policy Statement shall further outline the Producer’s commitment to: <ol style="list-style-type: none"> a. Food quality which is relevant to the Producer’s goals and customer requirements and make the resources available to achieve this; and iv. Support the development, implementation and maintenance of the Level 3 Food Quality Plan.

4.1.2 Policy Manual

A Policy Manual, which outlines the methods the Producer will use to meet the requirements of this Code, shall be documented.

Level 1	Level 2	Level 3
i. A Policy Manual shall be prepared and it shall: <ol style="list-style-type: none"> a. Outline the methods the Producer shall use to meet the requirements of Level 1 and reference where those methods are documented; b. Include the Policy Statement; and 	ii. The Policy Manual shall outline the methods used to meet the requirements of Level 2 .	iii. The Policy Manual shall further outline the organizational and managerial provisions implemented to meet the requirements of Level 3.

c. Be readily available to key staff.		
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4.1.3 Organizational Structure

The organizational reporting structure shall be outlined in the Policy Manual. It shall describe those who have functional responsibility for food safety and quality and their interrelationship. Job descriptions for these positions shall be documented.

Level 1	Level 2	Level 3
i. The organizational structure shall be documented in the Policy Manual to outline those who have overall and functional responsibility for food safety.	ii. Position job descriptions for individuals with overall and functional responsibility for food safety and food regulation shall be documented.	iii. The organizational structure shall further outline those with overall and functional responsibility for food regulation, food safety, quality and their interrelationship; iv. Position job descriptions for individuals responsible for food quality shall be documented; and v. Provisions made to cover for the absence of key personnel shall be documented.

4.1.4 Training

Appropriate training shall be provided for personnel carrying out the tasks at the critical steps identified in the Food Safety and Food Quality Plan and other instructions critical to effective implementation of the SQF 1000 System. Instructions shall be available setting out how these tasks are to be performed. A training register describing who has been trained in relevant areas shall be maintained.

Level 1	Level 2	Level 3
i. Appropriate training shall be provided for personnel carrying out the tasks associated with Good Agricultural Practice-related food safety controls and food legislative requirements. ii. A training skills register shall be maintained.	iii. HACCP training shall be provided for Food Safety Plan Development team members. iv. Appropriate training shall be provided for personnel carrying out the tasks at the critical steps identified in a Food Safety Plan and other instructions critical to effective implementation of a Food Safety Plan and the maintenance of food safety.	v. Appropriate training shall be provided for personnel carrying out the tasks identified as critical to assuring food quality. vi. Instructions shall be available setting out how all tasks critical to the maintenance of food safety, quality are to be performed.

4.2 Specifications

4.2.1 Supplier Specifications

The Producer shall have documented specifications for raw materials and services purchased that impact on finished product safety and quality.

Level 1	Level 2	Level 3
i. Specifications for raw materials and services that impact on finished product safety shall be documented.	ii. Specifications shall; a. include a full description of the product or service provided; b. include relevant food safety information; and c. comply with the relevant food legislation.	iii. Specifications for raw materials and services that impact on finished product safety and quality shall be maintained; and iv. A register of raw material suppliers and service providers shall be maintained.

4.2.2 Incoming Goods and Services

Raw materials and services that impact on finished product safety and quality shall be inspected before use or supplied by an Approved Supplier. Records of inspections and an Approved Supplier list shall be maintained.

Level 1	Level 2	Level 3
i. The Producer shall inspect, before use, raw material to ensure it is true to label and not damaged or contaminated. ii. Records of inspections shall be maintained.		iii. Raw material ingredients that impact on finished product quality shall be inspected before use or originate from Approved Suppliers iv. A list of Approved Suppliers shall be maintained.

4.2.3 Finished Product Specifications

Finished product specifications shall be documented, approved by the customer as required, and accessible to relevant staff.

Level 1	Level 2	Level 3
i. Finished product specifications, consistent with the relevant food safety legislation shall be provided. ii. Finished product specifications shall be updated and maintained. iii. A register of finished product specifications shall be maintained.	iv. The Finished product specifications shall include appropriate microbiological and chemical limits.	v. Finished product specifications shall include product quality parameters and, where appropriate, be formally agreed with customers, accessible to relevant staff.

4.3 Control of Production

4.3.1 Process Control

The Producer shall document the means by which it will control and assure food safety in a Food Safety Plan and product quality in a Food Quality Plan.

Level 1	Level 2	Level 3
i. The Producer shall clearly identify the site location and block identification on a site plan. The site plan shall identify the site in relation to its surrounds and the location of relevant buildings, pens and storage and preparation facilities. ii. The Producer shall document those GAPs and other Pre-requisite Programs applicable to its Scope of Certification in a Food Safety Plan. iii. The Producer shall ensure GAPs and other Pre-requisite Programs are implemented, validated, verified and maintained by an SQF Expert.	iv. At this Level 2, the *Food Safety Plan shall prescribe the results of the food safety risk assessment and all controls critical to assuring, monitoring and maintaining food safety. It shall: <ul style="list-style-type: none"> a. Be based on the guiding principles of the HACCP Method; b. Cover a crop, produce or livestock and its production; c. Include a Verification Schedule; and d. Be developed, validated, verified, implemented and maintained by a SQF Expert. * For High Risk Foods the Food Safety Plan shall be prepared in accordance with the HACCP Method (see detail under Section 1. Scope).	v. At this Level 3 a Food Quality Plan which outlines the results of the food quality risk assessment and prescribes all controls critical to assuring food quality and action taken to prevent or reduce the incidence of poor quality occurring. The Food Quality Plan shall: <ul style="list-style-type: none"> a. Be prepared in accordance with the guiding principles of the HACCP Method; b. Cover a crop, produce or livestock and its production; and c. Be developed, validated, verified, implemented and maintained by a SQF Expert.

4.3.2 Corrective and Preventive Action

The Producer shall have a procedure for identifying and documenting the cause and resolution of significant problems affecting food quality and safety. Appropriate action shall be taken to resolve the problem and to reduce the likelihood of it recurring.

Level 1	Level 2	Level 3
i. The Producer shall document a procedure that describes how it will undertake and manage food safety corrective and preventive action. ii. Records of corrective and preventive actions shall be maintained.		iii. The corrective action procedure shall further outline the responsibility and the methods used to investigate and identify the cause and the resolution of non-compliance of critical limits that impact on food safety and quality.

4.3.3 Food Legislation (Regulation)

The Producer shall ensure that, at the time of delivery to its customer, the food supplied shall comply with the legislation that applies to the food and its production in the country of its origin and destination.

Level 1	Level 2	Level 3
All Clause 4.3.3 applies	All Clause 4.3.3 applies	All Clause 4.3.3 applies

4.4 Verification

4.4.1 Calibration

All measuring, test and inspection equipment used for monitoring critical activities outlined in SQF 1000 Plans shall be routinely calibrated to accuracy appropriate to its use. Equipment calibration records shall be maintained.

Level 1	Level 2	Level 3
i. All measuring, test and inspection equipment used for monitoring food safety controls shall be routinely calibrated to recognized standards or to accuracy appropriate to its use. ii. Records of all equipment calibration shall be maintained.	iii. Calibration shall be extended to cover all measuring, test and inspection equipment identified and used for monitoring activities outlined in the Food Safety Plan.	iv. The Producer shall document a procedure that outlines the method and responsibility for all equipment calibration and re-calibration. v. Calibration of all measuring, test and inspection equipment shall be extended to cover test and inspection equipment used to monitor activities outlined in the Food Quality Plan and to demonstrate compliance with customer requirements.

4.4.2 Internal Audits

The Producer shall carry out and document regular internal audits to verify the effectiveness of the SQF 1000 System. Action shall be taken to correct any deficiencies found.

Level 1	Level 2	Level 3
i. The Producer shall: <ul style="list-style-type: none"> a. Conduct internal audits at least annually across each element to demonstrate the effectiveness of the legislative and Pre-requisite Program related food safety controls implemented; and b. Identify who is responsible for scheduling and conducting internal 		iii. Responsibility for conducting internal audits shall be extended to verify the effectiveness of the Food Quality Plan.

audits. ii. Records of internal audits, and any corrective action taken as a result of internal audits, shall be maintained.		
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4.4.3 System Review

The Producer shall be responsible for ensuring the SQF 1000 System is reviewed at least annually and that SQF 1000 Plans are reviewed when major changes affecting food safety and quality occur. All reviews shall be documented. Changes to SQF 1000 Plans that impact on food safety and quality shall be developed, validated, verified and maintained by an SQF Expert.

Level 1	Level 2	Level 3
i. The Producer shall document a procedure outlining how it will complete annual reviews of the effectiveness of the Pre-requisite Programs and other controls implemented to assure food safety. ii. All reviews and changes to the SQF 1000 System and each Food Quality Plan shall be documented.	iii. The Producer shall ensure reviews to the Food Safety Plan are conducted when a major change that impacts on food safety arise. iv. Major changes to a Food Safety Plan that impact food safety shall be developed, validated, verified and maintained by a SQF Expert;	v. The Producer shall ensure the SQF System is reviewed at least annually; vi. A Food Quality Plan shall be reviewed when a major change is made to processes, process controls or any other factor that impacts on quality. vii. Major changes to a Food Quality Plan shall be developed, validated, verified and maintained by a SQF Expert.

4.4.4 Customer Complaints

The Producer shall document how it will handle customer complaints and identify who is responsible for investigating the cause and resolution of customer complaints. Customer complaints shall be handled efficiently and records of customer complaints and their investigations shall be maintained.

Level 1	Level 2	Level 3
i. The Producer shall outline its customer complaint handling procedure. ii. The Producer shall ensure that measures are taken to handle customer complaints efficiently and shall maintain records of all customer complaints and their investigations.		iii. The Producer shall identify who is responsible for investigating the cause and resolution of customer complaints.

4.4.5 Product Sampling, Inspection and Analysis

The Producer shall inspect finished product and work in progress to ensure it complies with customer and regulatory requirements. These inspections shall be recorded.

Level 1	Level 2	Level 3
i. The Producer shall inspect finished product and work in progress when applicable to ensure it conforms to specification; ii. Records of all finished product inspections shall be maintained.	iii. The Producer shall document a procedure outlining the responsibility, methods and criteria used for sampling, inspecting and analyzing finished product and work in progress critical to food safety iv. All analyses of finished product shall be in accordance with recognized standard methods. v. Records of all analyses shall be maintained.	vi. The procedure shall further outline the responsibility, methods and criteria used for sampling, inspecting and analyzing finished product and work in progress critical to product quality.

4.5 Document Control and Records

4.5.1 Document Control

A list of documents and amendments to documents shall be maintained to identify the current document in use. Documents shall be securely stored, effectively controlled and readily accessible.

Level 1	Level 2	Level 3
i. The Producer shall demonstrate that it has access to the food safety regulations applicable to its operations. ii. The Producer shall maintain a list of all documents and amendments to documents.		iii. Documents shall be securely stored, effectively controlled and readily accessible.

4.5.2 Records

The Supplier shall maintain legible records demonstrating compliance with each clause in this Code. All records shall be retained in accordance with periods specified by a customer or legislation (regulation) or for a minimum period of two years whichever is greater. Records shall be securely stored to prevent damage and deterioration.

Level 1	Level 2	Level 3
i. The Producer shall maintain legible food safety records demonstrating that essential inspections have been completed. ii. All records shall be retained in good condition and held under secure storage to prevent their damage, deterioration or loss for a minimum period of two years or for periods specified by a customer or	iii. All food safety record entries shall be signed and dated by those making such entries.	iv. The Producer shall document a procedure outlining the methods and responsibilities for completing, verifying maintaining and retaining records. v. All food quality record entries shall be signed and dated by those making such entries. vi. Personnel with responsibility for verifying food safety and food quality

legislation (regulation).		records shall be identified and shall sign and date each record verified.
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4.6 Product Identification, Trace and Recall

4.6.1 Product Identification

Finished product shall be clearly identified to the customer specification and/or regulatory requirements. The product identification system shall be documented. Product identification records shall be maintained.

Level 1	Level 2	Level 3
i. Finished product shall be clearly identified and labeled to the customer specification and/or regulatory requirements. ii. The Producer shall record relevant product identification information on all dispatch dockets.		iii. The Producer shall document a procedure describing the responsibility and methods used to identify product.

4.6.2 Product Trace

Finished product shall be traceable to the customer. The product trace procedure shall be documented with responsibilities defined. It shall provide for the identification of raw materials and other inputs that may have an impact on finished product quality and safety. Raw materials and other inputs shall be traceable through the process to the finished product. Records of product dispatch and destination shall be maintained.

Level 1	Level 2	Level 3
i. The Producer shall document a procedure outlining the methods used to trace finished product to a customer. ii. Records of product dispatch and destination shall be maintained.		iii. The product trace procedure shall further: a. Describe the method of identifying raw materials and other inputs that may have an impact on finished product safety and quality to ensure they shall remain traceable through the process to the finished product and to the customer; and b. Define those responsible for implementing and maintaining the product trace system. iv. The product trace procedure shall ensure traceability is maintained where any reworking of product is performed.

4.6.3 Product Recall

The Producer shall document a product recall procedure in which the responsibilities, management and procedures to be implemented are clearly described. The product recall system shall be reviewed at least annually. Records of all product recalls shall be maintained.

Level 1	Level 2	Level 3
i. The Producer shall identify those responsible for a product recall and outline the methods it will use to recall product. ii. Records of all product recalls shall be documented.		iii. The Producer shall document a product recall procedure. The procedure shall: a. Identify those responsible for implementing, managing and investigating product recalls; b. Describe the management procedures to be implemented; c. Outline the type of incident that would trigger a recall; and d. Ensure customers and other essential bodies are notified in a timely manner appropriate to the nature of the incident; iv. Investigation shall be undertaken to determine the cause of a recall and details of any action taken shall be documented. v. The product recall procedure shall be reviewed at least annually and all reviews shall be documented.

Appendix 1

Implementing a SQF 1000 System

A Producer can choose to develop and implement their SQF 1000 System themselves or they can use a SQF Consultant. The SQF 1000 Code requires that Pre-requisite Programs, Food Safety Plans and Food Quality Plans be implemented and maintained by a SQF Expert. *The SQF Expert is either a SQF Practitioner or a SQF Consultant.* The Producer may comply with this requirement by designating a suitably qualified staff member as a SQF Practitioner or engaging the services of a SQF Consultant.

SQF Practitioner

The SQF Practitioner is an individual, designated by a Producer to develop, validate, verify, implement and maintain the Producers own SQF System. The SQF Practitioner shall:

- i. Be employed by the Producer and hold a position of responsibility in regard to the management of the Producers SQF System;
- ii. Have completed Recognized HACCP Training* and be experienced and competent to implement and maintain HACCP based Food Safety Plans;
- iii. Have demonstrated knowledge and experience of the product and its process; and
- iv. Have completed and passed a SQF Systems Training Course (Implementing SQF Systems).

The SQF Auditor is required to verify the relevant details of the SQF Practitioner at each Audit of the Producers SQF System.

SQF Consultant

All SQF Consultants are registered by the SQFI. They are issued with a certificate and an identity card to indicate the food industry category(s) in which they are qualified to work. The criteria outlining the requirements necessary to qualify as a SQF Expert and application forms are available on the SQFI web site.

A "SQF Consultant Code of Practice" has been prepared outlining the practices expected of SQF Consultants and to assist SQF Consultants in the delivery of their services. A copy of the Code of Practice and a list of SQF Consultants are available on the SQFI web site. It is a Producer's responsibility to exercise appropriate due diligence when selecting and engaging a SQF Consultant. Information on selecting a SQF Consultant is outlined in the "SQF Program Guidebook" also available on this web site.

SQF Certification Levels

The Producer can choose between three levels of Certification. Each level is designed to indicate the stage of development of a Producer's food safety and quality management system. It is advisable that the Producer choose a level that is acceptable to its customer and which in line with food regulatory requirements. The attainment of a particular level indicates the stage of development of the Producer's SQF System. The three levels of Certification are:

Level 1 Food Safety Fundamentals: Indicates that Pre-requisite Programs and fundamental food safety controls have been implemented to provide a sound foundation for the further development of the Producer's management system.

Level 2 Certified HACCP Based Food Safety Plans: Incorporates all Level 1 system requirements and indicates that a food safety risk analysis of the crop, its production and harvest has been completed to identify the hazards and the action taken to eliminate, prevent or reduce their occurrence. Level 1 Certification is a pre-requisite to gaining a Level 2 SQF 1000 Certificate.

Level 3 Comprehensive Food Safety and Quality Management System: Incorporates all Level 1 and Level 2 system requirements and indicates that a food quality risk analysis of the product and its associated process has been completed, that the actions taken to prevent the incidence of poor quality have been implemented and the remaining quality management system procedures have been implemented. Level 1 and Level 2 Certification are pre-requisite to gaining a Level 3 SQF 1000 Certificate.

* A list of Recognized HACCP Training course providers is published on the SQFI web site www.sqfi.com.

Appendix 2

Principles & Application of HACCP

(Adapted from Codex Alimentarius Commission – Recommended International Code of Practice General Principles of Food Hygiene, *CAC/RCP 1-1969, Rev. 4-2003*)

Preliminary Steps		<ol style="list-style-type: none"> 1. Assemble HACCP team with expertise in product and processes 2. Describe product 3. Identify intended use 4. Construct flow diagram 5. Confirm flow diagram against process in operation (or planned process)
HACCP Principle		HACCP Application
1	Conduct a hazard analysis	6. List all potential hazards associated with each step and consider any measures to control identified hazards.
2	Determine Critical Control Points (CCPs)	7. Determine CCPs.
3	Establish critical limit(s)	8. Establish critical limits and tolerance levels. Determine at what point critical limit is exceeded based on known limits or risk assessment if unknown.
4	Establish system to monitor control of CCP(s)	9. Establish a monitoring system for CCP that is able to detect loss of control i.e. when critical limits are exceeded. Consider continuous monitoring and/or periodic audit.
5	Establish corrective action to be taken when monitoring indicates CCP(s) are not under control	10. Establish corrective actions that are able to deal with loss of control when it occurs and is capable of determining when CCP has been brought under control.
6	Establish procedures for verification to confirm that the HACCP system is working effectively	11. Establish procedures for verification or audit that include review of HACCP system and records, records of deviations and actions taken in order to confirm that CCPs are kept under control.
7	Establish documentation covering all procedures and records appropriate to these principles and their application	12. Documentation and record keeping should be appropriate to the nature and scale of the operation.

Appendix 3

Certifying SQF 1000 Systems

Certification of a SQF 1000 System is conducted by Certification Bodies (Registrars) licensed by SQF. Certification Bodies are required to meet specific criterion. The SQFI has prepared a document, **“SQFI Guidance on the Application of ISO/IEC Guide 65:1996 General Requirements for Certification Bodies for Certification of SQF Systems”** to outline the requirements that SQF Auditors and Certification Bodies must comply with.

In addition SQF Auditors are required to meet the following requirements. Complete:

1. Recognized HACCP Training;
2. SQF Systems Training – Implementing and Auditing SQF Systems;
3. Auditor Training (to cover practical auditing skills, techniques and procedures);
4. Training and Instruction in the Auditing of Food Safety Systems (auditing techniques specific to auditing HACCP food safety systems, food manufacturing premises and/or food production systems as required); and
5. Register as a SQF Auditor.

A Certification Audit is conducted during the main part of the season. Following a Certification Audit, a Re-certification Audit is conducted around the anniversary date of the Certification.

Certification Bodies shall have more detailed information regarding audit frequency and audit requirements.

Conflict of Interest

Conflict of interest provisions form part of internationally accepted procedures and standards* to ensure the impartiality of the auditor is maintained and to maintain the integrity of the third party audit system. The SQF Auditor must disclose to the Certification Body any existing, former or proposed link between themselves or their organization and the client.

The SQF Program outlines requirements for SQF Auditors and Certification Bodies to ensure that there is no conflict of interest in regard to the way in which SQF Auditors undertake audits of SQF Systems. The Certification Body is required to ensure that their auditors shall not audit SQF Systems that relate to or include food industry categories that the auditor is not registered to audit.

Consulting is considered to be participating in an active and creative manner in the development of the SQF System to be audited and would include activities such as:

1. Producing or preparing Food Safety Plans, manuals, handbooks or procedures
2. Participating in the decision making process regarding SQF Systems
3. Giving advice - as a consultant or otherwise – toward the design, development, validation, verification, implementation or maintenance of SQF Systems
4. Deliver or participate in the delivery of an “in house” training service at which advice and instruction on the development and implementation of a Food Safety Plan and SQF Systems for eventual certification is provided.

*ISO/IEC Guide 62:1996 – Guide 62: General requirements for bodies operating assessment and certification/registration of quality systems.

*ISO/IEC Guide 65:1996 – Guide 65: General requirements for bodies operating product certification systems.

Appendix 4

SQF 1000 Certification Trade Mark – Rules for Use

The SQF 1000 Certification Trade Mark can be used by a Producer on product and on documents that are used for public display. The SQFI has prepared a document "**SQF Programs: SQF 1000 Certification Trade Mark - Rules for Use**" to outline how the Certification Trade Mark is to be used and is available on the SQF website, <http://www.sqfi.com>.

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