



UNDERSTANDING AND
EMBRACING THE FSMA



Understanding and Embracing the Food Safety Modernization Act

THE FOOD SAFETY MODERNIZATION ACT (FSMA), which was signed into law in January of 2011, represents the largest and most sweeping reforms to food safety regulations since before World War II. Essentially, FSMA requires a proactive approach to food safety that works to identify and eliminate risks before problems occur—rather than reacting to issues and outbreaks after the fact.

FSMA applies to most food and beverage producers, manufacturers, and suppliers in the United States, and it has fundamental implications for how they approach food quality and safety. Many organizations have been thinking conceptually about FSMA since the law was passed more than five years ago. However, the final rules for FSMA were just published in September of 2015, which means most food and beverage businesses are still working to understand specific (and constantly evolving) FSMA requirements, learn exactly how those requirements apply to their organizations, and implement effective plans and systems to meet them.

Like most significant health and safety laws, FSMA is far-reaching and complex and making the shift from reactive to proactive quality management typically requires new ways of thinking, higher levels of commitment, and significant technology investments. However, like most complex challenges, it's helpful to break FSMA compliance down into a series of practical

Chapter 1 | Introduction

and achievable steps. Of course, understanding and embracing FSMA will ultimately improve the overall quality and safety of your products, lower your risks, and provide a variety of other important benefits.

As you work to understand and meet FSMA rules and requirements, there are some guiding principles and steps that can help you achieve FSMA compliance more quickly and confidently—without putting undue stress on your people and processes or raising your operational costs.





each year

48,000,000

Americans suffer from
foodborne illnesses



128,000

of them are
hospitalized



3,000

die



The Four Pillars of FSMA

FSMA includes hundreds of detailed rules and requirements, but they all fall into four main areas. Understanding these “pillars of FSMA” and how they apply to your business is the first step toward achieving compliance. Then, you can develop a smart, efficient plan for meeting the specific requirements in each area—in ways that complement your current food safety processes and make sense for your business.

1 PERFORM A THOROUGH AND DETAILED HAZARD ANALYSIS

Every legitimate food and beverage business already have a food safety program in place. However, FSMA shifts the focus of food safety from simply limiting the scope of contaminations to preventing them from occurring in the first place. To accomplish this goal, FSMA starts by requiring you to perform a thorough Hazard Analysis that identifies, evaluates, and documents all of the potential biological, chemical, and physical hazards that could affect your manufacturing processes, sanitation efforts, and supply chains. This documented analysis should also indicate the potential significance and severity of each hazard you identify—and justify your reasoning for defining specific hazards as significant or not significant. You can choose to perform your Hazard Analysis internally, engage outside food safety experts, or both—as long as the final product meets specific FSMA regulations and requirements. This Hazard Analysis exercise informs and guides your ongoing efforts to address significant food safety hazards proactively before they lead to outbreaks or other issues.

2 DEVELOP EFFECTIVE PREVENTATIVE CONTROLS

After you perform a thorough analysis to determine which food safety hazards qualify as “significant” for your organization, it’s time to design and implement specific preventative controls to address them. These controls address four main categories—processes, sanitation, food allergens, and suppliers. In some ways, FSMA Preventative Controls are similar to the Hazard Analysis and Critical Control Points (HACCP) system many food and beverage businesses already use, but FSMA controls typically go above and beyond these standard critical control points. The preventative controls you define and implement should include specific parameters for controlling all of the significant hazards that might affect your business.

3 OVERSEE AND MANAGE YOUR COMPLIANCE EFFORTS

Performing a thorough Hazard Analysis and defining effective Preventative Controls requires careful thought, planning, and expertise. When those pieces are in place, you can begin to monitor the effectiveness of your preventative controls, take corrective actions, and carefully document your efforts. Traditionally, food and beverage companies

have used a variety of different approaches and methods to manage and document their food safety efforts—from manual checklists and rooms full of paper records to various spreadsheets and custom databases. However, as FSMA and other food safety regulations take effect, more food and beverage businesses are turning to unified, flexible, and purpose-built software solutions that can provide more advanced auditing and verification capabilities.

4 VERIFY THE SAFETY OF IMPORTED FOODS

Today, imported foods make up around 17 percent of the United States’ total food supply, and until recently, there was no reliable way to make sure those foods met U.S. safety standards. FSMA addresses this issue with a Foreign Supplier Verification Program (FSVP) that requires businesses that import food to conduct a hazard analysis, evaluate foreign suppliers’ safety performance, and verify their FSMA compliance. In many ways, the FSVP mirrors the steps you use to assess, monitor, and verify your own compliance, so it makes sense to simply extend these same compliance processes to foreign suppliers. Once again, the right kind of auditing and compliance software platform can make this a much simpler exercise.



4

FSMA Essentials

FSMA can seem complex and overwhelming, but all of its requirements and regulations focus on four key areas:



Performing a Hazard Analysis



Implementing Preventative Controls



Overseeing and Managing those Controls



Verifying the Safety of Imported Foods

Making FSMA Compliance Practical and Affordable for Your Business

As you begin to develop a detailed plan for meeting FSMA requirements, it's useful to divide your efforts into two general categories. The first involves your efforts to develop and manage a comprehensive food safety plan that incorporates a FSMA compliant Hazard Analysis and effective Preventative Controls. In many ways, this is a one-time undertaking that requires the combined efforts of your executive team and food safety experts from across your organization. FSMA requires you to reassess and update your hazard analysis and preventative controls every three years, but these changes are usually minor unless your business grows or changes substantially.

The second category, which focuses on monitoring, auditing, and documenting your compliance efforts, typically involves finding and implementing a technology solution that can enable and support these ongoing, day-to-day activities, both at the corporate level and at all of your individual facilities. That may, at first, seem like a tall order. However, the recent convergence of two important technology trends—cloud and mobile—provide new options for making an advanced, FSMA compliant food safety auditing and verification solution affordable and relatively easy to implement, either as an extension of your existing auditing framework or as a standalone food safety auditing and verification solution. This approach also makes it easy to extend these same auditing capabilities to your foreign suppliers so that you can monitor and document their compliance with FSMA food safety standards.

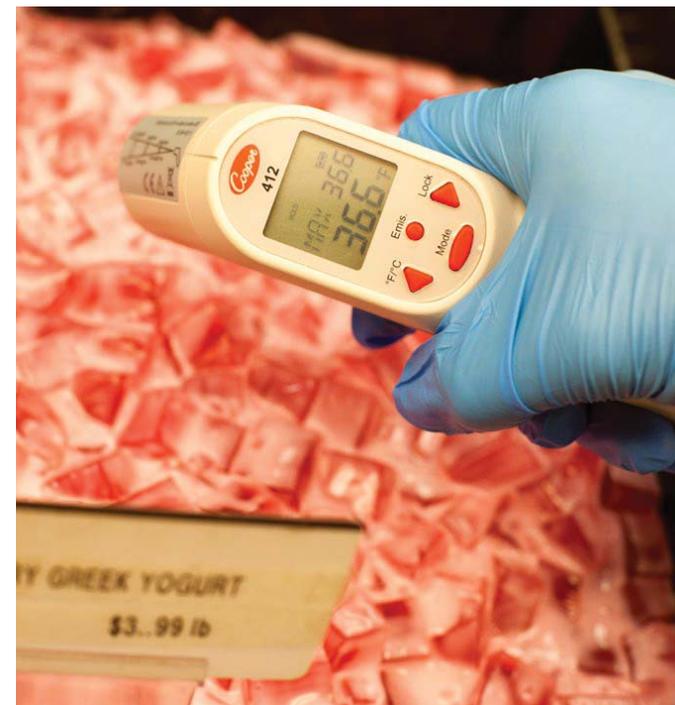
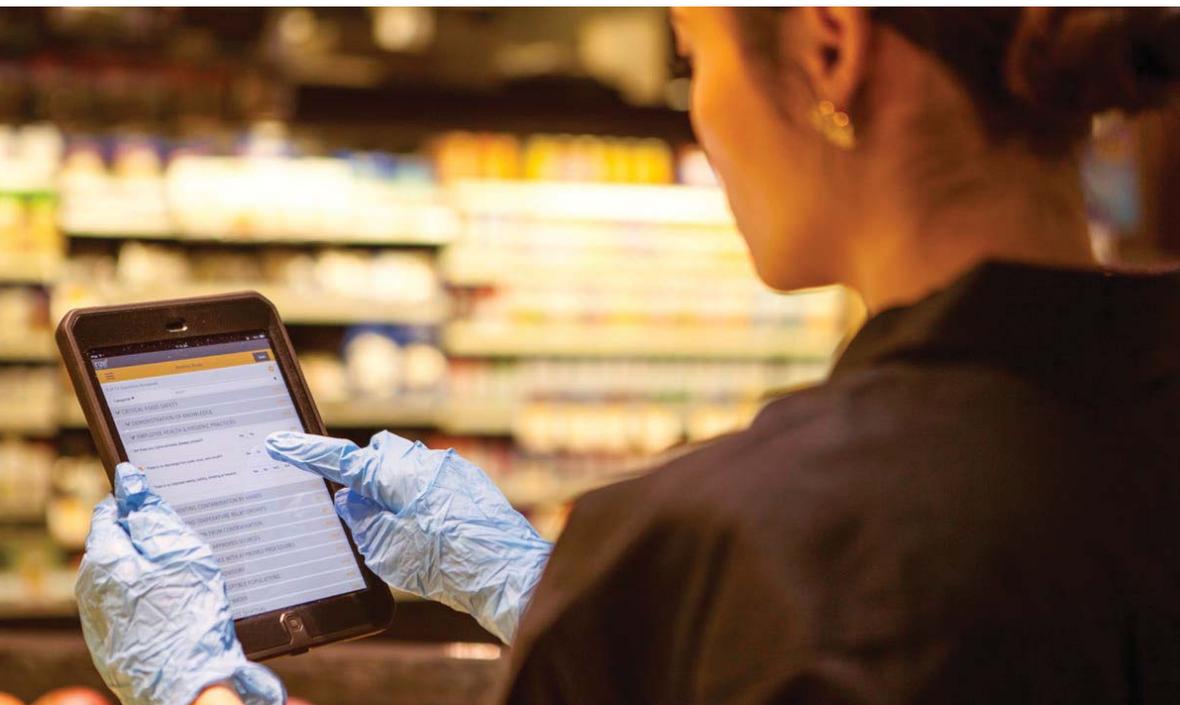


Monitoring, auditing, and documenting your compliance efforts, typically involves finding and implementing a technology solution that can enable and support ongoing, day-to-day activities.

Chapter 3 | Making FSMA Compliance Practical and Affordable for Your Business

A comprehensive auditing technology platform makes it possible to improve the quality and safety of your products and meet FSMA requirements without dramatically increasing your operational costs. This includes the ability to consistently monitor, test, and audit your preventative controls and perform regular quality checks—and then accurately document the results to verify compliance and enable continuous improvement.

A cost effective auditing technology platform makes it possible to improve the quality and safety of your products.





How Long Do You Have To Become FSMA Compliant?



Very small businesses with less than \$1 million in annual sales:

3 Years



Small businesses with fewer than 500 full-time employees:

2 Years



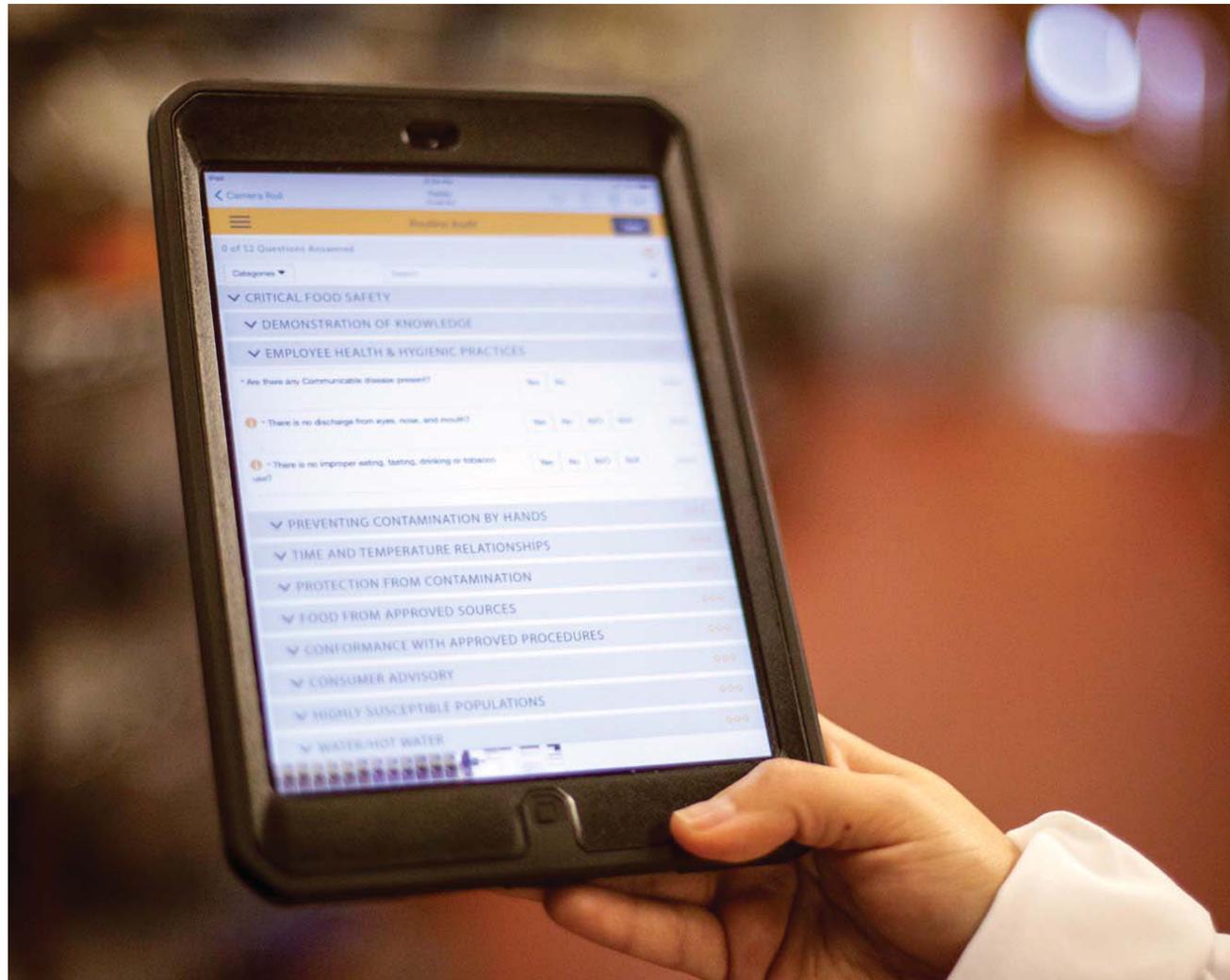
Medium to large businesses with more than 500 full-time employees:

1 Year



Using Auditing Technology to Monitor and Document FSMA Compliance

Regardless of whether you choose to build an auditing solution that's dedicated exclusively to food safety management and FSMA compliance or make food safety controls part of your broader auditing framework, you need a technology platform that possesses some crucial characteristics and capabilities:





SPEED AND MOBILITY

A cloud-based auditing system with a strong mobile component allows internal food safety managers and your foreign suppliers to use their smartphones or tablets to conduct FSMA and other food safety audits—and then send the results to a centralized cloud-based engine where they instantly become part of a centralized body of knowledge.



CONTROL

Every auditing process, including FSMA, involves teams of people filling many different roles. For your food safety auditing system to function properly, you need the ability to grant very specific access rights to people and groups based on those roles. For example, with the proper controls in place, you can give local managers access to their own customized sets of tools and information. You can also give FSMA experts at the corporate level permission to create and modify food safety questions and instructions that are limited to their job functions. In other words, by building fine-grained access control into your FSMA monitoring and auditing solution, you can easily add questionnaires, reports, and other resources that focus exclusively on FSMA requirements—without getting in the way of other core auditing functions like facilities safety or regulatory compliance.



INTELLIGENCE

Collecting and making FSMA auditing information available quickly is important, but it's not enough. Your solution should also be able to recognize important food safety issues or problems as they occur, compare results from specific locations to a larger body of company-wide results, and automatically initiate action. This kind of machine intelligence essentially connects individual food safety auditing results to your larger food safety standards and processes, so you can quickly turn food safety data into company-wide improvements.



FLEXIBILITY AND EFFICIENCY

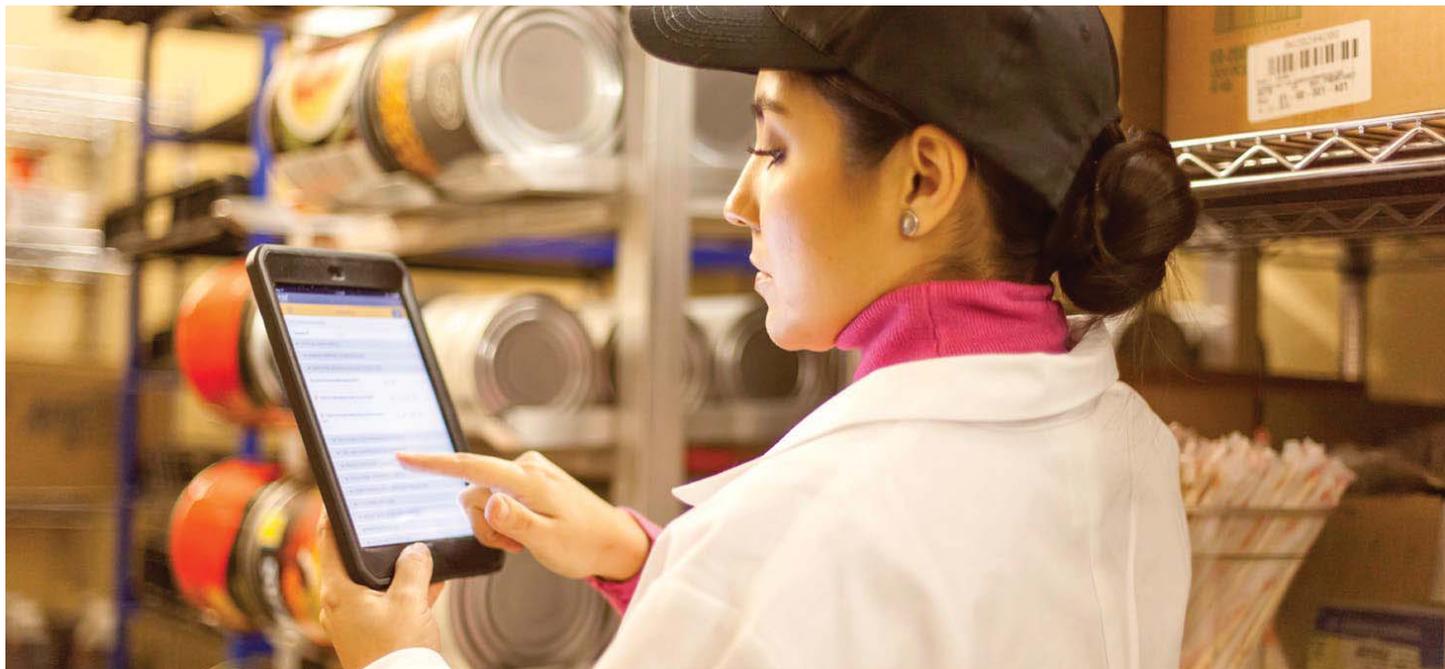
Achieving consistent FSMA compliance involves monitoring and tracking hundreds of ever-changing details and preventative controls across all of your different departments and locations. This requires an auditing foundation that's flexible enough to accommodate high levels of complexity. With the right kind of cloud-based auditing foundation, you make it possible for the appropriate people and teams to create, modify, and manage a centralized collection of FSMA checklists and instructions quickly, so local managers and employees always have access to the latest standards, requirements, and information.

Chapter 4 | Using Auditing Technology to Monitor and Document FSMA Compliance

The bottom line is that when you deploy the right kind of mobile, cloud-based auditing solution, you create a platform that allows you to quickly create virtually any type of custom survey or checklist, make them easily accessible to specific people or groups in your organization, collect the results

in nearly real time, and thoroughly analyze them to gain new insights. This workflow is obviously ideal for monitoring and improving your food safety and FSMA compliance efforts, but you can also apply it to virtually any auditing or continual improvement function.

Gain new insights through analyzing near real time results.





How Is FSMA Changing Businesses?



50% are increasing their documentation and record storage



36% are investing in new technology to improve auditing and documentation



36% are performing more supplier certifications and inspections



29% are increasing their internal auditing and inspections



Introducing RizePoint

YOUR NEXT-GENERATION FSMA AUDITING AND VERIFICATION SOLUTION

RizePoint has spent more than a decade designing, building, and perfecting a solution that includes all of the characteristics and capabilities you need to bring proactive, FSMA-friendly food safety auditing capabilities to your organization quickly and affordably—either as a stand-alone solution or as an extension of a larger auditing framework. The RizePoint solution includes:



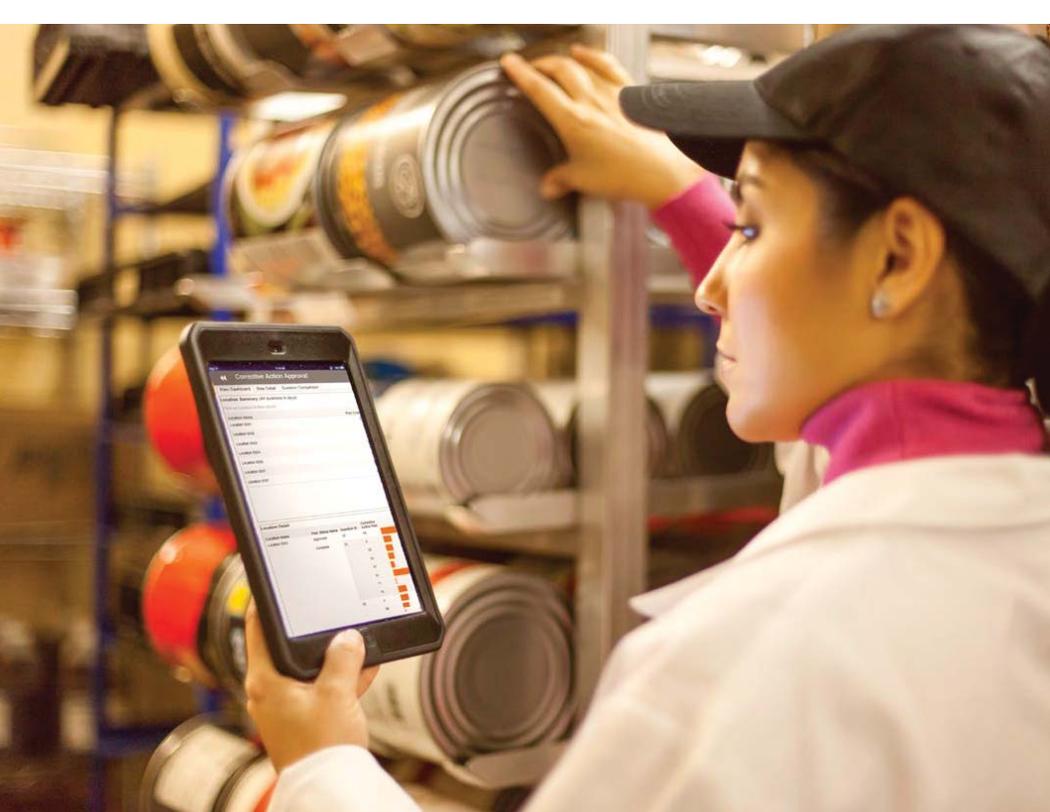
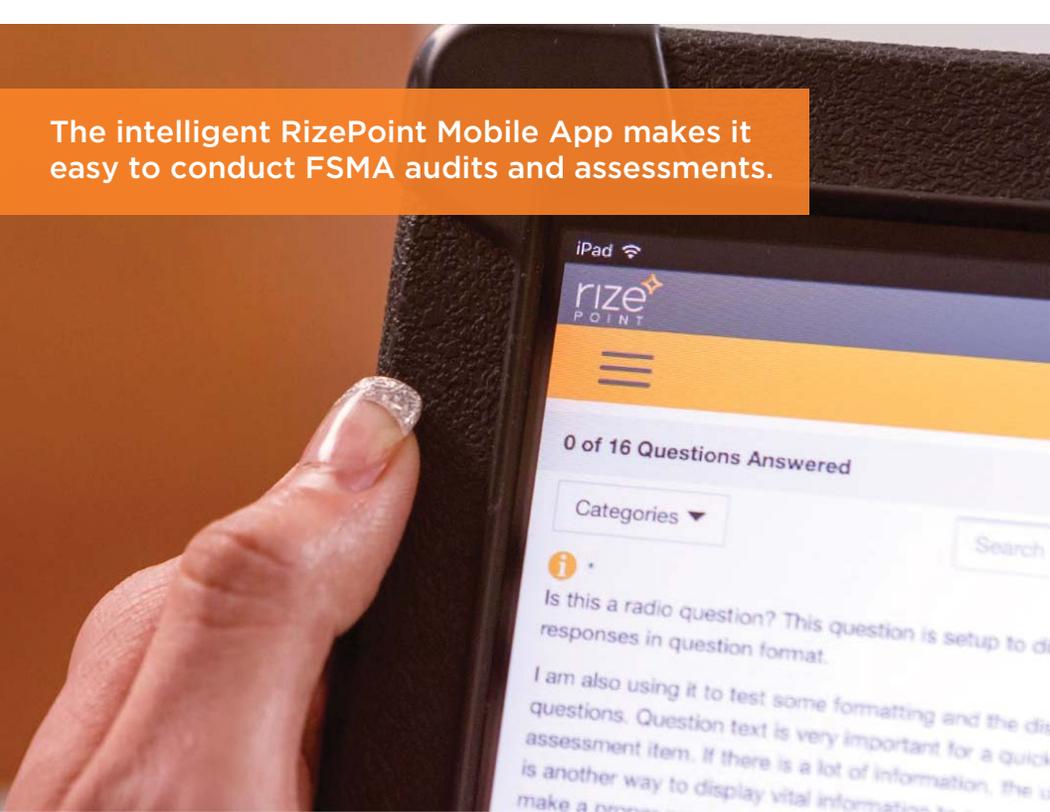
RizePoint has spent more than a decade designing, building, and perfecting audit and verification solutions

Chapter 5 | Introducing RizePoint

- A powerful mobile app that makes it easy for food safety managers and corporate auditors to conduct detailed FSMA assessments—and instantly upload the results—directly from their mobile devices.
- A secure and capable cloud-based engine that stores, processes, and analyzes audit and assessment data in nearly real time.
- Advanced survey building capabilities that allow anyone in your organization to create and update sophisticated conditional surveys with more than ten question types—and then make them instantly available to specific users.
- A sophisticated rules engine that carefully monitors incoming data, quickly identifies potential food safety issues and problems, and automatically alerts the appropriate people.
- Built-in business intelligence that analyzes and transforms rough assessment data into valuable insights within minutes.
- Flexible reporting capabilities that allow you to get the right food safety information to the right people—in the form that's most relevant and meaningful.
- Granular access control that allows specific people and groups—either at the corporate or local level—to create, distribute, and access specific food safety surveys, checklists, information, and reports.
- An advanced administration console that brings business-wide access management, survey administration, alerts, filtering, reporting, remediation, and other functions together into one convenient location.



The intelligent RizePoint Mobile App makes it easy to conduct FSMA audits and assessments.



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