SQF Food Safety Code for Foodservice

EDITION 8.1

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.

SQF Code, edition 8.1

The Safe Quality Food Institute's (SQFI) SQF Codes, edition 8 were updated and redesigned in 2017 for use by all sectors of the food industry from primary production to storage and distribution and included a food safety code for retailers. They replaced the SQF Code, edition 7.

Edition 8.1 of the SQF Codes includes grammar and content clarification. A more complete revision of the SQF Codes will be published as edition 9 towards the end of 2020, following publication of the revised GFSI requirements.

The SQF Codes are site-specific, process and product certification standards with an emphasis on the systematic application of CODEX Alimentarius Commission HACCP principles and guidelines for control of food safety and food quality hazards.

Certification to the SQF Codes supports industry or company-branded product and offer benefits to certified sites and their customers. The implementation of an SQF System addresses a buyer's food safety and quality requirements and provides the solution for businesses supplying local and global food markets. Products produced and manufactured under SQF Code certification retain a high degree of acceptance in global markets.

First developed in Australia in 1994, the SQF program has been owned and managed by the Food Marketing Institute (FMI) since 2003 and was first recognized in 2004 by the Global Food Safety Initiative (GFSI)* as a standard that meets its benchmark requirements.

Certification of a site's SQF System by a Safe Quality Food Institute licensed certification body is not a statement of guarantee of the safety of the site's product, or that it meets all food safety regulations at all times. However, it is an assurance that the site's food safety plans have been implemented in accordance with the CODEX HACCP method as well as applicable regulatory requirements and that the System has been verified and determined effective to manage food safety. Further, it is a statement of the site's commitment to

1. produce safe, quality food,
2. comply with the requirements of the SQF Code, and
3. comply with applicable food legislation.

This reference document is published in English but is also available in other languages. Where there is any divergence between the translated version and the reference document, the English reference document will prevail. For further definition of words used in this document, please refer to *Appendix 2: Glossary.*

**The Global Food Safety Initiative (GFSI) is an industry initiative established by the international trade association, the Consumer Goods Forum.*

Contents

Part A: Implementing and Maintaining the SQF Food Safety Code for Foodservice

The SQF Code is a food safety code for all sectors of the food supply chain from primary production through to food retailing, catering, foodservice and the manufacture of food packaging.

This document covers the Food Safety System for catering and foodservice operations. Other documents are available for:

SQF Food Safety Fundamentals (for small and developing businesses)

The SQF Food Safety Code for Primary Production

The SQF Food Safety Code for Manufacturing

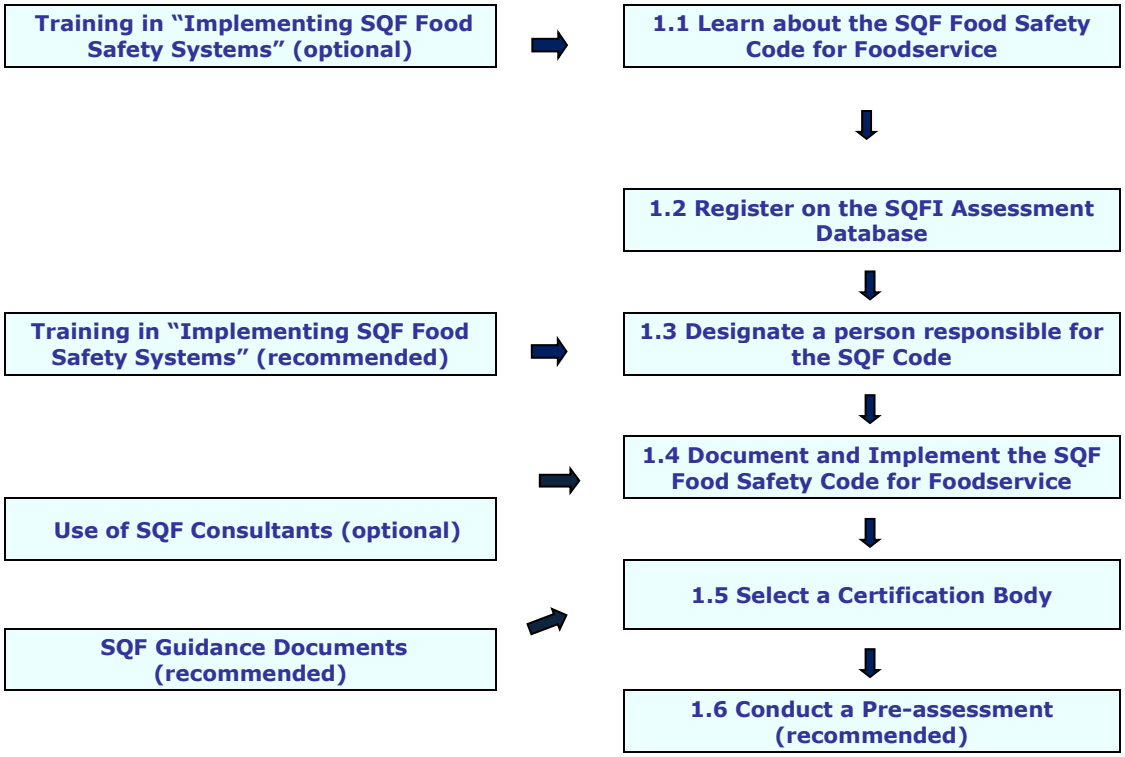
The SQF Food Safety Code for Storage and Distribution

The SQF Food Safety Code for Manufacture of Food Packaging

The SQF Food Safety Code for Food Retail

The SQF Quality Code

1. Preparing for Certification



1.1 Learn about the SQF Food Safety Code for Foodservice

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

- Take the online training course "Implementing SQF Systems" available from the SQFI website (sqfi.com);
- Attend a training course "Implementing SQF Systems" (refer Part A, 1.6) through a licensed SQF training center;
- Train yourself by downloading the SQF Food Safety Code for Foodservice from the SQFI website (sqfi.com) free of charge and read how to apply it to your operation.

An "Implementing SQF Food Safety Systems" training course is available through the SQFI network of licensed training centers. Employees who are responsible for designing, implementing and maintaining the requirements of the SQF Food Safety Code for Foodservice are encouraged to participate in a training course. Details about the training centers, the countries in which they operate, and some dates and locations of course are available on the SQFI website (sqfi.com).

The "Implementing SQF Food Safety Systems" training course is not mandatory for a person responsible but is strongly recommended.

The SQFI also has an "Implementing SQF Food Safety Systems" online training course which can be accessed from the SQFI website (sqfi.com). The online training solution is a web-based education tool where employees can enroll and complete SQF Systems training in their own time and at their own pace.

Training in other food industry disciplines, such as Food Handler, HACCP, Good Operating Practices (GOP) and Internal Auditing may also be required and licensed SQF training centers can provide details of the other training courses they provide.

1.2 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 scale 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.

The registration process also involves selection of the modules required in the code. The various SQF Food Safety Codes are designed to accommodate different food sector categories and applicable modules. Appendix 1 provides a full list of all categories and modules along with a more detailed description with examples, level of risk, and the relationship with the Global Food Safety Initiative (GFSI) industry scopes outlined in the GFSI Requirements Document.

The SQF Food Safety Code for Foodservice has one (1) food sector category (23) and 2 modules (2 & 16).

This document contains the certification program owner management requirements (Part A), the system elements (Module 2), and Good Operating Practices (GOP) module 16 for foodservice operations.

All foodservice operations seeking SQF certification are required to implement the foodservice system elements (Module 2) plus the Good Operating Practices (GOP) module 16.

1.3 Designate a Person Responsible

Whether or not an SQF consultant is used, the SQF Food Safety Code for Foodservice requires that every site has a suitably qualified person responsible to oversee the development, implementation, review and maintenance of the SQF System, including the Good Operating Practices and food safety plans. The requirements for a person responsible are described in the system elements, 2.1.3.2 and 2.1.3.3.

Some sites may choose to have more than one person responsible to meet shift and operational requirements. As per 1.1 above there are a number of ways for the person responsible to receive training on the SQF Code.

1.4 Document and Implement the SQF Food Safety Code for Foodservice

To achieve SQF food safety certification, the site must document and implement the system elements (Module 2) and the GOP Module 16 of the SQF Food Safety Code for Foodservice (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 GOP Module of the SQF Food Safety Code for Foodservice. 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 Modules 2 & 16 of the SQF Food Safety Code for Foodservice. In other words, "do what you say." SQFI recommends that a minimum of two months of records is available before a site audit is conducted.

Guidance documents are available for some SQF Code 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 are available to assist the site but are not auditable documents. Where there is a divergence between the guidance document and the SQF food safety Code for Food foodservice, the SQF Code in English prevails.

Sites can choose to develop and implement their SQF Food Safety System 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, and as such those with foodservice experience will be registered to FSC 23. 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 at on the SQFI website (sqfi.com). The SQF Consultant Code of Conduct outlines the practices expected of SQF consultants.

1.5 Select a Certification Body

Certification bodies are licensed by SQFI to conduct SQF audits and issue the SQF certificate. SQFI licensed certification bodies are required to be accredited to the international standard ISO/IEC 17065:2012 (or subsequent versions as applicable) and be subject to annual assessments of their certification activities by SQFI licensed accreditation bodies.

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. This includes 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.

Sites seeking to implement an SQF multi-site program (refer Appendix 4) must indicate this in their application to the certification body. The agreed multi-site program, including the identification of the central site and number and names of the sub-sites, must be included in the agreement with the certification body.

1.6 Conduct a Pre-assessment Audit

A pre-assessment audit is not mandatory but is recommended to provide a "health check" 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 food safety auditor.

2. The Initial Certification Process

2.1 Selection of the SQF Auditor(s)

SQF food safety auditors must be employed by or contracted to an SQFI licensed certification body and must be registered with SQFI.

The certification body shall select the most appropriate qualified SQF food safety auditor(s) for the site's SQF certification audit, including vertically integrated sites. The SQF food safety auditor must be registered for food sector category23 (refer Part A, 2.2). 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 food safety auditor at the time that the SQF audit is scheduled. The site may check the registration 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 (Module 2) and Module 16 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. Where the scope of certification includes FSC's other than 23 then the site shall require certification to additional SQF food safety code(s).

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, 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 reports. However, all parts of the premises and process that are involved with the operation included in the scope cannot be exempted.

When activities are carried out in different premises (e.g. commissary) 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 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 (23), 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 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 reports.

Exempted products must not be promoted as being covered by the certification. Instances where promotion of exempted products are identified and substantiated (either by regular audit or by other means) shall result in immediate withdrawal of the SQF certificate. The scope of certification forms part of the certificate. It describes the location of the site, the food sector categories (refer Appendix 1) and the products handled on that site.

All products produced, stored or processed on the site shall be included on the site's certificate, unless exempted by the site. The site must demonstrate that exemptions of part of the site or products from the scope of certification does not put certificated product at food safety risk.

2.3 The Initial Certification Audit

The SQF certification audit consists of two stages:

i. The desk audit is undertaken to verify that the site's SQF System documentation meets the requirements of the SQF Food Safety Code for Foodservice (see 2.6).

ii. The site audit is conducted on site and determines the effective implementation of the site's documented SQF food safety System (see 2.7).

Where a site operates under seasonal conditions (a period in which the major activity is conducted over five (5) consecutive months or less) the certification audit shall be completed within the season.

2.4 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 Food Safety Code for Foodservice;
- The audit duration (refer Part A, 2.5);
- The designated registered SQF food safety 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.

2.5 Audit Duration Guide

Once the certification body and site have agreed on the scope of certification, the number of different processes and products handled on the site, 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, design and people flow of the site;

iii. The number and complexity of product, menu items and the overall process;

iv. Whether the products are ready to serve and or packaged;

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 2 and 3 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 2: Desk Audit Duration Table

Code	Basic duration (days)
Food foodservice sites employing less than 10 people	0.25 days
All other foodservice sites	.5 days

Table 3: Site Audit Duration Table

Step 1	Step 2	Step 3	
Site Basic Criteria	Basic duration	Additional days based on number of employees	Additional days based on size of site
Food foodservice sites employing less than 10 people	.5	1 to 25 = 0 26 to 50 = 0.5 > 50 = 1.0	0 – 1000 ft^2 = 0 (0 – 100 m^2 = 0) 1001 – 5000 ft^2 = 0.5 (101 – 500 m^2 = 0.5) ➢ 5001 ft^2 = .75 (501 m^2 = .75)
All other food foodservice sites	.75		
Additional time for each processes/kitchens/locations	Minimum 0.5 day additional production/foodservice processes		

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.

2.6 The Desk Audit

An independent desk audit is conducted by the certification body only for **initial** certification. The desk audit is conducted by the registered SQF food safety auditor appointed by the certification body, and ensures:

i. An appropriately qualified person responsible is designated;

ii. The food safety plan and the associated critical control point (CCP) determinations, validations and verifications are appropriately documented and endorsed by the person responsible;

iii. The documented System is relevant to the scope of certification.

The certification body shall notify the site of corrections or corrective action, or any aspects of the SQF Food Safety System that requires improvement or adjustment. It may be conducted on-site or remotely. The certification body will also verify that corrections or corrective action for all non-conformities have been addressed before proceeding with a site audit.

Desk audits are not scored or rated and the close out times indicated in Part A, 3.2 do not apply. It is recommended that a desk audit be scheduled at least 30 days prior to a schedule site audit in order for non-conformities to be addressed. If due to location or other costs or scheduling factors this cannot be accomplished it may be conducted the day prior to site audit, however all non-conformities noted must be addressed and correction actions reviewed and closed by the auditor prior to the start of the site audit.

2.7 The Site Audit

The site audit is conducted on site by the SQF food safety auditor appointed by the certification body. It is conducted at a time agreed between the site and the certification body when the site is in operation. 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 shifts and start-up inspections, where applicable.

The site audit determines if the SQF System 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. Effective interaction between all elements of the SQF System;

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

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

2.8 Corporate Audits

Where a site is part of a larger corporation and some food safety functions are conducted at a corporate head office (i.e. an office that does not process or handle products), an optional corporate audit can be conducted by the certification body of the Code elements managed by the corporate office.

The decision on whether a separate corporate audit is required shall be made by agreement between the certification body and the site and communicated to SQF certified sites managed by the corporate office.

Where a corporate audit is conducted, the audit evidence shall be reviewed, and all identified corporate non-conformities closed out before the site audits are conducted. Any open non-conformities shall be attributed to the site or sites.

The SQF food safety auditor shall also audit the application of the corporate functions relative to the site's scope of certification during the audit of each site managed by the corporate office. All mandatory and applicable elements of the SQF food safety Code shall be audited at each site irrespective of the findings of the corporate audit.

A Corporate head office designated as a central site within an SQF multi-site program shall follow all certification requirements defined in Appendix 4; Requirements for SQF Multi-site Certification.

2.9 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 (e.g. spring & fall operations only) 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.

2.10 System Elements

All applicable system elements and GOP module 16 shall be assessed as part of the certification audit. Where an element is not applicable and appropriately justified, it shall be stated as "not applicable" (N/A) by the SQF food safety auditor in the audit report.

Within the system elements, the elements listed below are mandatory elements that cannot be reported as "not applicable" or "exempt" and must be audited and compliance/non-compliance reported. The mandatory elements are:

2.1.1 Food Safety Policy
2.1.4 Complaint Management
2.2.2 Document Control
2.2.3 Records
2.4.1 Food Safety Plan
2.5.1 Internal Audit
2.5.2 Corrective Action
2.5.3 Control of Measuring and Monitoring Devices

Mandatory elements are designated with "Mandatory" in the system elements in the SQF Food Safety Code for Foodservice.

2.11 Non-conformities

Where the SQF food safety auditor finds deviations from the requirements of the SQF Food Safety Code for Foodservice, the SQF food safety 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 Food Safety Code for Foodservice shall be graded as follows:

- 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 or Good Practice 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 or Good Practice 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.

2.12 Audit Evidence Record and Audit Report

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

Mandatory elements (refer Part A, 2.10) must be reported for the SQF food safety audit report to be submitted.

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

The electronic audit evidence record shall be completed by the SQF 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 food safety 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 food safety 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 food safety 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 food safety auditor. The close-out timeframe for major and minor non-conformities identified below apply to the site audit only.

- **A minor non-conformity** shall be corrected, verified and closed out by the SQF food safety 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 food safety 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 food safety auditor shall document all details of justification of the extension, how the risk is being controlled, and the agreed completion date. A documented root cause analysis shall be submitted by the site as part of the corrective action evidence for every major non-conformity.
- If the SQF food safety auditor considers that **a critical non-conformity** exists during a certification audit, the SQF food safety 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

Based on the evidence collected by the SQF food safety auditor, each applicable aspect of the SQF certification food safety audit is automatically scored in the audit report. Desk audits are not scored.

The calculation uses the following factors:

0 aspect meets the criteria

1 aspect does not meet the criteria due to minor variations (minor non-conformity)

10 aspect does not meet the criteria (major non-conformity)

50 aspect does not meet the criteria (critical non-conformity)

A single rating is calculated for the site audit as (100 – N) where N is the sum of the individual rating criteria allocated. The rating provides an indication of the overall condition of the site against the SQF Food Safety Code for Foodservice, and also provides a guideline on the required level of surveillance by the certification body. The audit frequency at each rating level is indicated as follows:

Score	Rating	Certification[1]	Audit Frequency
96 - 100	E - Excellent	Certificate issued	12 monthly re-certification audit
86 - 95	G – Good	Certificate issued	12 monthly re-certification audit
70 – 85	C - Complies	Certificate issued	6 monthly surveillance audit
0 - 69	F – Fails to comply	No certificate issued	Considered to have failed the SQF audit

[1.] Certification also requires that all major and minor non-conformities are closed out within thirty (30) calendar days.

3.4 Granting Certification

Certification of the SQF System shall be awarded to sites that achieve a "C - complies" audit rating or greater with no outstanding non-conformities. The certification decision shall be made within forty-five (45) calendar days of the last day of the site audit. Once SQF certification is granted, the SQFI issues a unique certification number which is specific to that site.

Within ten (10) calendar days of granting certification, the certification body shall provide an electronic and/or hard copy of the site's certificate. 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 logo of the accreditation body, and the certification body's accreditation number;

iii. The heading "certificate;"

iv. The phrase "(site name) is registered as meeting the requirements of the SQF Food Safety Code for Foodservice, edition 1;"

v. The scope of registration – food sector category(ies) and products;

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

vii. Indication of unannounced re-certification audit (where applicable)

viii. Signatures of the authorized officer and issuing officer; and

ix. The SQF logo

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

3.5 Failure to Comply

Where a site achieves an "F – fails to comply" rating at a food safety certification audit, the site is considered to have failed the SQF food safety audit. The site must then re-apply for another site audit.

When the site's re-application occurs within six (6) months of the last audit date, and with the same certification body, a site audit shall be scheduled, but a desk audit is not required. If the re-application occurs after six (6) months from the last audit date, or with a new certification body, then a desk audit and site audit are required.

4. Surveillance and Re-certification

4.1 Maintaining Certification

To maintain SQF food safety certification, a site is required to attain a "C - complies" audit rating or greater at re-certification audits, 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.

All re-certification audits shall be considered announced unless otherwise indicated as unannounced on the audit report and certificate.

4.2 Surveillance Audit

The surveillance audit is conducted when the site attains a "C - complies" rating at a certification audit or re-certification audit, or an "F – fails" rating at a recertification audit (refer Part A 3.5 for "F-fail at a certification audit)

The surveillance audit shall be conducted within thirty (30) calendar days either side of the six (6) month anniversary of the last day of the previous certification or re-certification audit.

A new score and rating is issued at the surveillance audit, but the re-certification audit date is not affected.

The surveillance audit is a full SQF System audit. In particular, the surveillance audit is intended to:

i. Verify the continued efficacy of corrections and corrective actions closed out at previous audits;
ii. Verify that the SQF System 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 SQF System;
iv. Confirm continued compliance with the requirements of the SQF Food Safety Code for Foodservice;
v. Verify all critical steps remain under control; and
vi. Contribute to continued improvement of the site's SQF System and business operation.

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

4.3 Surveillance Audit – Seasonal Operations

Seasonal operations are sites whose major activity is conducted over not more than five (5) consecutive months in any calendar year.

Seasonal operations that attain a "C - complies" rating at a certification or re-certification audit are subject to a surveillance audit.

Where the due surveillance audit date falls within the operational season, the surveillance audit shall occur within thirty (30) 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 thirty (30) calendar days either side of the anniversary of the last day of the initial certification audit.

The re-certification audit score is calculated in the same way as the initial certification audit, and the same rating applied (refer Part A, 3.3).

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 Food Safety System 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 SQF Food Safety System;

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

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 sixty (60) 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.

4.6 Variations to the Re-certification Process

The requirements for the re-certification audit are the same as those described in Part A, 2.1 – 3.4 for the certification audit, with the following exceptions:

i. An independent desk audit is not required as part of a re-certification audit. However, an integrated desk and site audit shall be conducted at each re-certification. The site's documentation shall be reviewed as necessary as part of the site audit.

ii. If the site fails to permit the re-certification or surveillance audit within the agreed timeframe, the certification body shall immediately suspend the site's certificate.

iii. If the site receives an "F – fails to comply" rating at the re-certification or surveillance audit, the certification body shall immediately suspend the site's certificate.

If the site fails to close out non-conformities within the agreed timeframe, the certification body shall immediately suspend the site's certificate.

4.7 Unannounced Re-certification Audit

One (1) in every three recertification audits is required to be unannounced. The unannounced food safety audit shall occur within the sixty (60) day re-certification window (i.e., the anniversary date of the initial certification audit +/- thirty (30) days).

Unannounced audits shall not be conducted on the initial certification audit or on surveillance audits.

i. If a site changes certification bodies, the site's unannounced re-certification audit schedule shall not change.

ii. The unannounced re-certification audit shall follow the protocol under the SQF Code, Part A, 4.4, 4.5 and 4.6.

iii. Those sites that fall under the SQF multi-site program are exempted from unannounced audits.

iv. The unannounced audit year shall be determined between the site and certification body.

v. The date of the unannounced audit shall be determined by the certification body within the sixty (60) day re-certification audit window.

vi. A defined blackout period shall be established by negotiation between the site and their certification body that prevents the unannounced re-certification audit from occurring out of season or when the site is not operating for legitimate business reasons.

vii. Immediate suspension of the site certificate will occur in facilities that refuse entry to the SQF food safety auditor for an unannounced audit.

viii. Certificates issued following unannounced re-certification audits shall indicate that the audit was unannounced.

Sites may elect to have voluntary unannounced audit for every recertification audit.

If annual unannounced re-certification audits are conducted at the site then the protocol outlined above for unannounced audits shall be followed.

Sites with annual unannounced re-certification audits shall be recognized on the SQF certificate as an "SQFI select site." Only sites that have elected the unannounced audit option for every recertification audit can be designated as an "SQFI Select Site"

4.8 Suspending Certification

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

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

ii. receives an "F – fails to comply" rating at a certification or recertification audit;

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

iv. fails to permit an unannounced audit;

v. fails to take corrective action within the timeframe specified in Part A, 3.2;

vi. where in the opinion of the certification body, the site fails to maintain the requirements of the SQF Food Safety Code for Foodservice.

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,

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. Within (6) six months after the suspension, the certification body shall conduct a further unannounced 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.

4.9 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 the Compliance Manager, SQFI (compliance @sqfi.com) 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 with 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, 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 thirty (30) days prior to the re-certification audit window, the certification body may 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, and 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 SQF 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;

v. Confirm the stage of the current certification cycle.

When a site changes their certification body, the site shall make the last re-certification audit report and surveillance audit report (where applicable) available to the new certification body.

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 of the SQF Food Safety Code for Foodservice.

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 Food Safety 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. An initial certification audit applies to the new premise, i.e. a desk audit and site audit.

5.7 Use of a Technical Expert

Technical experts may be used to assist SQF food safety auditors in audits where the auditor is SQF registered but does not possess some or any site's food sector category(ies), or for high risk products/processes where the audit would benefit from expert technical advice.

The use of a technical expert to assist an SQF food safety auditor in the performance of an SQF audit is permitted provided the site has been notified before the audit and accepts their participation. The technical expert must sign a confidentiality agreement with the certification body.

Before the audit, the certification body must submit the technical qualifications of the technical expert and the justification for use of the technical expert to the SQF Compliance Manager.

Technical experts must:

- Hold a university degree in a discipline related to the food sector category for high risk sectors, or a higher education qualification for low risk categories;
- Have received HACCP training with certificate of attainment issued; and
- Have five years' full-time experience in a technical, professional, or supervisory position related to the food sector category and specific products.

Technical experts are to be physically present during the site audit.

5.8 Language

The certification body shall ensure that the SQF food safety 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 Food Safety Code for Foodservice shall be the deciding reference.

5.9 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 food safety auditor from undertaking any audit in relation to the certification of the 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 the SQF System;

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

iv. Deliver or participate 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 the SQF System for eventual certification is provided.

The certification body shall ensure that an SQF food safety 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 food safety 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.

5.10 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 Food Safety Code for foodservice and/or other supporting documents, the certification body shall suspend certification as outlined in Part A, 4.8.

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 Food Safety Code for Foodservice

Part B is the auditable standard for the SQF Food Safety Code for Foodservice. It comprises the SQF System Elements for foodservice, and the relevant Good Operational Practices modules for the applicable food sector categories (refer Part A, 1.2).

Scope, References and Definitions

Scope

SQF System Elements for Foodservice: This module identifies the food safety system elements for SQF sites whose primary function is food catering and foodservice operations (food sector category 23).

Module 16: Describes the GOP requirements applicable to the foodservice industry sector. Organizations must meet the requirements of the module or modules applicable to their food industry sector.

References

The SQF Food Safety Code for Manufacturing refers to the current edition of the CODEX Alimentarius Commission Guidelines for the Application of the Hazard Analysis.

Definitions

For the purpose of this Code the definitions outlined in *Appendix 2: Glossary* apply.

SQF System Elements for Foodservice

2.1 Management Commitment

2.1.1 Food Safety Policy (Mandatory)

2.1.1.1 Senior management shall prepare and implement a policy statement that outlines as a minimum the:

i. Organization's commitment to supply safe food;

ii. Resources and methods used to comply with its customer and regulatory requirements and continually improve its food safety management system; and

iii. Organization's commitment to establish and review food safety objectives.

2.1.1.2 The policy statement shall be:

i. Signed by senior management;

ii. Made available in language(s) understood by all staff;

iii. Provided and effectively communicated to all staff; and

iv. Reviewed annually for accuracy or when changes occur to operations or regulations.

2.1.2 Management Review

2.1.2.1 Senior management shall be responsible for reviewing the SQF System and documenting the review procedure. Reviews shall include;

i. The food safety manual;

ii. Food safety objectives;

iii. Internal/external and regulatory audit findings'

iv. Corrective actions, including their investigations and resolutions;

v. Complaints, including their investigations and resolution;

vi. Complaints, including their investigations and resolution; and

vii. Supplier performance

2.1.2.2 Senior management shall be updated at least monthly on matters impacting the implementation and maintenance of the SQF System and shall review the SQF System in its entirety at least annually.

2.1.2.3 Senior management shall establish processes to improve the effectiveness of the SQF System to demonstrate continuous improvement.

2.1.2.4 Records of reviews, updates and reasons for amending documents, validations and changes to the SQF System shall be maintained.

2.1.3 Resource Management (Mandatory)

2.1.3.1 Senior management shall ensure adequate resources are available to achieve food safety objectives and support the development, implementation, maintenance and continuous improvement of the SQF System.

2.1.3.2 Senior management shall designate a "person responsible" with responsibility and authority to:

i. Oversee the development, implementation, review and maintenance of the SQF System, the food safety plan outlined in 2.4, 2.1.4 and Good Operating Practices (GOP's).

ii. Take appropriate action to ensure the integrity of the SQF System; and

iii. Communicate to relevant personnel all information essential to ensure the effective implementation and maintenance of the SQF System.

2.1.4 Complaint Management (Mandatory)

2.1.4.1 The methods and responsibility for handling, investigating and communicating the cause and resolution of food safety related complaints from customers and authorities shall be documented and implemented.

2.1.4.2 Trends of complaint data shall be investigated and analyzed by authorized personnel.

2.1.4.3 Corrective action shall be implemented based on the seriousness of the incident and as outlined under 2.5.2.

2.1.4.4 Records of complaints and their investigations shall be maintained.

2.2 Document Control and Records

2.2.1 Food Safety Manual

2.2.1.1 A food safety manual shall be documented, maintained in either electronic and/or hard copy form and readily available and communicated to staff. It shall outline or reference the methods, procedures and policies the organization will use to meet the requirements of this code and be appropriate for the scope and/or range of business activities being undertaken by the site.

2.2.2 Document Control

2.2.2.1 The methods and responsibility for maintaining document control and ensuring staff have access to current documents shall be documented and implemented. The methods shall ensure that:

i. A list of current SQF System documents and amendments is maintained; and
ii. Documents are securely stored and readily accessible.

2.2.3 Records

2.2.3.1 The methods and responsibility for ensuring detailed procedures, instructions and appropriate records for activities and processes that impact food safety are documented and implemented.

2.2.3.2 All records shall be:

i. Legible;
ii. Suitably authorized by those undertaking monitoring activities;
iii. Readily accessible and retrievable;
iv. Securely stored to prevent damage and deterioration; and
v. Retained in accordance with time periods specified by the organization's own policies, customers or regulations.

2.3 Specifications, Supplier Approval and Recipe Development

2.3.1 Recipe and Menu Development

2.3.1.1 The methods and responsibility for designing, developing and converting recipe ideas to published menu items/meals shall be documented and implemented. The methods shall ensure new or changed item or processes are incorporated into the food safety plan and/or systems as per 2.4.1.3.

2.3.2 Contract Service Providers

2.3.2.1 Specifications for contract services that have an impact on food safety shall be documented, current, include a full description of the service to be provided and detail relevant training and/or credentialing requirements of contract personnel. (e.g. pest control, cleaning, knife services, etc.).

2.3.2.2 A list of all contract service specifications shall be maintained.

2.3.3 Third Party Operators

2.3.3.1 The methods and responsibility for ensuring all contracts/agreements for third party operators having an impact on food safety are specified, approved and current shall be documented and implemented. Methods shall include:

i. Relevant training and /or credentialing requirements for contract personnel;
ii. Vendor compliance verification monitoring to appropriate regulations;
iii. Vendor compliance verification monitoring to relevant SQF Code requirements; and
iv. Protocol that ensures both parties approve and communicate changes to contracts/agreements.

Records of all contract reviews and changes to contractual agreements and their approvals shall be maintained.

2.3.4 Supplier Approval & Performance

2.3.4.1 The methods and responsibility for selecting, evaluating, approving and monitoring an approved supplier shall be documented and implemented. Pre-packaged foods, ingredients, packaging materials, single service items, equipment and services (see also 2.3.2 & 2.3.3) that impact product safety shall be included (this includes agent, broker, distributor and vendor).

On-site produce gardens that grow, and supply herbs, edible flowers or vegetables are classified as a supplier.

2.3.4.2 The receipt of ingredients, pre-packaged foods, packaging materials and single-service disposal items from non-approved suppliers shall be acceptable in an emergency situation provided they are inspected and/or analyzed before use.

2.3.4.3 The approved supplier program shall be based on the prior performance of a supplier and the risk level of the pre-packaged foods, ingredients, packaging materials, single service items and services supplied, and shall contain at a minimum:

i. A list of approved suppliers and their reviewed and approved specifications;
ii. Reference to the rating of the level of risk applied to products, ingredients, packaging, single service items and services and historical performance of an approved supplier;
iii. A summary of the food safety controls implemented by the approved supplier;
iv. Methods for granting approved supplier status;

v. Details of the certificate of conformance if required;
vi. Methods and frequency of reviewing approved supplier performance and status; and
vii. Records required to document approvals, rating and monitoring activities.

2.4 Food Safety Systems

2.4.1 Food Safety Plan (Mandatory)

2.4.1.1 The organization shall ensure that the food prepared, served or sold complies with applicable site or organizational specific legislation. This includes legislative requirements for food safety, packaging, nutritional, allergen and additive labeling, and to relevant established industry codes of practice.

2.4.1.2 The methods and responsibility for ensuring the organization is kept informed of changes to relevant legislation, scientific and technical developments and relevant industry codes of practice shall be documented and implemented.

2.4.1.3 The organization shall have a hazard and risk management system in place resulting in a Food Safety Plan. The plan shall be prepared using a HACCP based system or another Hazard and Risk Management System that covers the Codex Alimentarius HACCP Principles and be effectively implemented and maintained. The Food Safety Plan shall include:

i. A hazard and risk management system that includes Good Operating Practices (2.4.1.4)
ii. The product or product groups and their associated preparation steps or processes. Process HACCP methods may be used;
iii. The methodology and results of a hazard analysis conducted to identify food safety hazards associated with all inputs and preparation/process steps including second use foods (rework), food recovery and food donation; and
iv. The risk assessment that identifies hazards that are significant/ critical in assuring, monitoring and maintaining food safety (2.4.1.5).

2.4.1.4 The organization shall ensure the Good Operating Practices (GOP's) described in module 16 of this Code are applied, applicable to the scope of certification, documented, implemented and verified as per 2.4.4.3. Where a practice or program is being exempted it is supported by a risk analysis outlining the justification for exclusion or evidence of the effectiveness of alternative control measures to ensure that food safety is not compromised.

2.4.1.5 The methods and responsibility for monitoring control points and/or critical control points (see 2.4.1.3) to assigned critical limits shall be documented and implemented. The methods shall ensure facilities monitor and verify the following parameters as applicable:

i. pH;
ii. Hot holding temperatures;
iii. Cold holding temperatures;
iv. Cooling temperatures;
v. Cooling temperatures; and/or
vi. Re-heating

Records of monitoring and verification of monitoring activities shall be maintained.

If the hazard or risk analysis indicates that control points or critical control points are different than those listed, they shall also be included and monitored.

2.4.2 Control of Non Conformity

2.4.2.1 The methods and responsibility for outlining how non-conforming product, ingredients, work-in-progress, re-work, packaging or equipment is handled shall be documented and implemented. The methods applied shall ensure non-conforming product or equipment is segregated, held, re-worked, recycled, repaired or disposed of in a manner that minimizes the risk of inadvertent use, improper use and is clearly controlled to prevent unintended offering for sale, use or delivery. Non-conforming product or equipment is repaired or disposed of in a manner that minimizes the risk of inadvertent use, improper use and is clearly controlled to prevent unintended offering for sale, use or delivery.

Records of holds and resulting dispositions shall be maintained.

2.4.3 Verification and Validation

2.4.3.1 The methods and responsibility for ensuring the validation (effectiveness) of food safety programs, controls and critical food safety limits shall be documented and implemented. The methods shall ensure that programs, controls and CCP's achieve their intended purpose and that:

i. GOPs are achieving the required result;
ii. Critical limits are selected to achieve the designated level of control of the identified food safety hazard(s);
iii. All critical limits and control measures individually or in combination effectively provide the level of control required;
iv. Changes to the processes or procedures are assessed to ensure controls and still effective; and
v. Critical food safety limits are re-validated at least annually where science, regulation, process or procedural changes have occurred.

2.4.3.2 A verification schedule outlining the verification activities and their frequency of completion for each activity shall be documented and implemented.

2.4.3.3 The methods and responsibility for verifying the effectiveness of monitoring GOP's, critical control points and other food safety controls identified shall be documented and implemented. The methods applied shall ensure that personnel with responsibility for verifying monitoring activities and authorizing records is defined.

2.4.3.4 Product analysis, when critical to the verification of food safety, shall be completed by a competent laboratory. Competency shall be measured through accreditation to ISO 17025 or an equivalent national standard and shall be included on the site's contract service specifications register (refer to 2.3.2.1).

2.4.3.5 Records of the verification and validation activities shall be maintained.

2.5 SQF System Verification

2.5.1 Internal Audit (Mandatory)

2.5.1.1 The methods and responsibility for scheduling and conducting internal audits shall be documented and implemented. The methods shall verify the effectiveness of the SQF System including facility and equipment inspections, GOP's, food safety plans and legislative controls and includes:

i. An internal audit schedule is prepared detailing the scope and frequency of internal;

ii. Corrections and corrective actions of deficiencies identified during the internal audits;

iii. Audit results and its communication to relevant management personnel and staff responsible for implementing and verifying corrective actions; and

iv. Records of internal audits and any corrections and corrective actions taken as a result of internal audits shall be maintained.

2.5.1.2 Personnel or 3rd parties conducting internal audits shall have knowledge of auditing principles and internal audit procedures and where possible, be independent of the function or location being audited.

2.5.2 Corrective Action (Mandatory)

2.5.2.1 The methods and responsibility for outlining how corrections and corrective actions are determined, implemented and verified in the event of any significant non-conformity relating to food safety shall be documented and implemented. The methods shall include:

i. The identification of a root cause and resolution of non-compliance of critical food safety limits;
ii. Deviations from food safety requirements; and
iii. Records of all investigation and resolution of corrections and corrective actions.

2.5.3 Control of Measuring and Monitoring Devices (Mandatory)

2.5.3.1 The methods and responsibility for the calibration and re-calibration of measuring, test and inspection of monitoring devices used for monitoring activities outlined in GOP's, food safety plans and other process controls, shall be documented and implemented. The methods shall address the disposition of potentially affected product and protection of calibrated devices from damage and unauthorized adjustment.

2.5.3.2 Equipment shall be calibrated against national or international reference standards and methods, equipment /device manufacturing recommendations or regulatory requirements. In cases where standards are not available, the organization shall provide evidence to support the calibration reference method applied.

2.6 Product Information, Trace, Serious Incident Management

2.6.1 Product Identification and Trace (Mandatory)

2.6.1.1 The methods and responsibility for identifying and tracing products during all stages of receipt, preparation, storage and servicing to the customer shall be documented and implemented. The methods shall be implemented to ensure:

i. Ingredients, work-in-progress and products are clearly identified and traceable (one step forward or dates or us, if known, and one step back);

ii. Products are labeled to regulatory requirements; and

iii. Product identification records for ingredient and packaging receipt and use, and products sold shall be maintained.

2.6.1.2 The effectiveness of the product identification and traceability system shall be internally tested, through a traceability exercise, at least annually and include both ingredients/inputs and final product. Records shall document effectiveness and any corrective actions resulting from the completed exercise that will improve product identification and traceability.

2.6.2 Crisis Management

2.6.2.1 A crisis management plan, based on the understanding of known food safety threats to the facility and business, shall be prepared by senior management outlining the methods and responsibility the organization will implement to cope with a business crisis that may have an impact on the ability of the organization to provide safe food. The plan shall include as a minimum:

i. A senior manager responsible for decision making, oversight and initiating actions arising from a crisis management incident;

ii. The selection and training from a crisis management incident;

iii. The controls implemented to ensure a response does not compromise product safety;

iv. The measures to isolate and identify product affected by a response to a crisis;

v. The measures taken to verify the acceptability of food prior to release for sale;

vi. The preparation and maintenance of a current crisis alert contact list;

vii. Sources of legal and expert advice;

viii. A communication plan to those affected (i.e. authorities, external organizations, customer, consumer and media) in a timely manner appropriate to the nature of the incident; and

ix. Notification to SQFI and the certification body within 24 hours upon identification of a food safety event that requires public notification.

2.6.2.2 The crisis management plan shall be reviewed, tested and verified at least annually.

2.6.2.3 Records of food safety incidents, reviews and verification of the crisis management plan shall be maintained.

2.7 Food Defense and Food Fraud

2.7.1 Food Defense

2.7.1.1 A food defense risk assessment shall be documented to identify potential threats and prioritize food defense measures (see 2.7.1.2). The resulting food defense plan shall be supported and resourced through senior management commitment (see 2.1.3.1).

2.7.1.2 The methods and responsibilities for a food defense plan shall be documented and implemented. The methods shall include:

i. A senior management person responsible for food defense;

ii. Measures taken to ensure the secure storage of ingredients, packaging, equipment and hazardous chemicals;

iii. Measures to help prevent access to sensitive points of the site by employees, contractors and customers; and

iv. A review process, including a challenge or test of the plan on an annual basis.

Records of food defense risk assessment, plan reviews, challenges, tests and any resulting corrective actions shall be maintained.

2.7.2 Food Fraud

2.7.2.1 A food fraud vulnerability assessment shall be documented to include the site's susceptibility to ingredient or product substitution, mislabeling, dilution and counterfeiting that could adversely impact food safety. The initial and on-going assessments and a resulting mitigation plan (if applicable, see 2.7.2.2) shall be supported and resourced through management commitment (see 2.1.3.1).

2.7.2.2 The methods and responsibility for a food fraud mitigation plan shall be documented and implemented. The methods shall specify how the identified food fraud vulnerabilities (see 2.7.2.1) are monitored and controlled.

Records of food fraud vulnerability assessment, monitoring and corrective actions shall be maintained.

2.8 Allergen Management

2.8.1 Allergen Management Program

2.8.1.1 The methods and responsibility to control allergens and to prevent cross contact shall be documented and implemented. The methods shall include:

i. A risk analysis of those ingredients and processing aids, including food grade lubricants, that contain food allergens;

ii. A list of food allergens which is accessible by relevant staff;
iii. The hazards associated with food allergens and their control incorporated into the food safety plan (2.4.3);
iv. A system to verify accurate food allergen information is communicated to the consumer via label, menu or verbally; and
v. Training for management and employees on the essentials of food allergy awareness (2.9).

2.8.1.2 Where "free from" claims are made for a site, menu item or specific types of food being offered, the cleaning of product contact surfaces between product or recipe changeovers shall be effective, appropriate to the risk and legal requirements, and sufficient to remove all potential target food allergens from product contact surfaces. The effectiveness of the cleaning of areas and equipment in which food allergens are used shall be effectively implemented (see also 16.5).

2.8.1.3 The product identification system shall include the labeling of all packaged product intentionally or potentially containing allergenic materials according to the allergen labeling regulations in the country of intended use.

2.9 Training

2.9.1 Training Program

2.9.1.1 The methods and responsibility for establishing and implementing the training needs of the organization's personnel shall be documented and implemented. The methods shall ensure that personnel have the required competencies to carry out those functions affecting products, legality, and safety.

2.9.1.2 An employee training program shall be documented and implemented. It shall outline the necessary competencies for specific duties, training methods, language of materials/delivery and frequency for refresher training to be applied for those staff carrying out tasks associated with:

i. Developing and applying Good Operating Practices (as appropriate) including the reporting of food safety incidences;
ii. Applying food regulatory requirements;
iii. Steps identified by the hazard or risk analysis and/or other instructions critical to effective implementation and maintenance of the food safety plan; and
iv. Tasks identified as critical to meeting the effective implementation and maintenance of the SQF and food safety management system.

2.9.1.3 Job descriptions for those responsible for oversight of food safety program shall be documented and include provision to cover for the absence of key personnel.

Module 16: Good Operating Practices for Foodservice

This module covers the Good Operating Practices requirements for foodservice operations. Companies implementing this module must also meet the requirements of the system elements: SQF Food Safety Code for Foodservice. Applicable food categories (FSCs) are:

FSC 23: Food Catering and Foodservice Operations

16.1 Site Requirements and Approval

16.1.1 Site External Grounds and Environment

16.1.1.1 The location of the site shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations and shall adhere to regulatory requirements.

16.1.1.2 The grounds and area surrounding the site shall be maintained and be kept free of waste or accumulated debris so as not to attract pests and vermin and not present a hazard to the hygienic and sanitary operation of the site.

16.1.1.3 Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the site.

16.1.1.4 Measures, including inspections, shall be established to maintain a suitable external environment, and the effectiveness of the established measures shall be monitored and periodically reviewed.

Records of inspections shall be maintained.

16.1.2 Site Design, Construction, Layout and Product Flow

16.1.2.1 The design, construction, layout, product flow and ongoing operation of the site shall be maintained both externally and internally to:

i. Minimize the risk of product contamination;
ii. Minimize the risk of cross-contact;
iii. Implement proper security and protection; and
iv. Comply with the relevant legislation and regulatory authority.

16.2 Site Interior and Kitchen

16.2.1 Materials and Surfaces

16.2.1.1 Food contact surfaces (see also 16.3) and those surfaces not in direct contact with food in food handling areas, ingredient storage, packaging material storage, cold and hot holding storage and serving areas shall be constructed of materials that will not contribute a food safety risk.

16.2.2 Floor, Drain and Waste Traps

16.2.2.1 Floors shall be constructed of smooth, dense and impact-resistant material that can be effectively graded, drained, is impervious to liquid and easily cleaned.

16.2.2.2 Floors shall be sloped to floor drains at gradients suitable to allow the effective removal of all overflow or waste water under normal working conditions.

16.2.2.3 Drains shall be constructed and located so they can be easily cleaned and not present a hazard.

16.2.2.4 Waste trap systems (e.g. grease traps) shall be contained to prevent cross contamination or located away from any food handling areas or entrance to the facility.

16.2.3 Walls, Partitions, Ceilings and Doors

16.2.3.1 Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious (as per 16.2.1.1) and shall be kept clean (refer to 16.4.2).

16.2.3.2 Wall to wall and wall to floor junctions shall be designed and maintained to be easily cleaned and sealed to prevent the accumulation of debris.

16.2.3.3 Ducting, conduit and pipes that convey services such as steam or water shall be designed and constructed so as to allow ease of cleaning.

16.2.3.4 Doors, hatches, windows and their frames shall be made from materials and constructed to meets the same functional requirements for internal walls and partitions (see 16.2.1.1). Doors and hatches shall be of solid construction.

16.2.3.5 Food shall be prepared and handled in areas that are fitted with a ceiling or other acceptable structure that is constructed and maintained to prevent the contamination of products.

16.2.3.6 Drop ceilings, where used, shall be constructed to enable monitoring for pest activity, facilitate cleaning and provide access to utilities.

16.2.3.7 Stairs and platforms in food handling areas shall be designed and constructed so as not to present a product contamination risk and shall be kept clean (refer to 16.4.2).

16.2.4 Lighting and Light Fittings

16.2.4.1 Lighting in food handling areas shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively.

16.2.4.2 Light fittings in food handling areas, ingredient and packaging storage areas, and all areas where the product is exposed shall be shatterproof, manufactured with a shatterproof covering or fitted with protective covers and recessed into or fitted flush with the ceiling. Where fittings cannot be recessed, structures must be protected from accidental breakage, cleanable and addressed in the cleaning program.15.2.4.3 Inspections for pest activity shall be undertaken on a regular basis by trained personnel or licensed Pest Control Operator (PCO) and the appropriate action taken if pests are present.

16.2.4.3 Light fittings in storage and other areas where the product is protected shall be designed such as to prevent breakage and product contamination.

16.2.5 Dust, Vermin and Pest Proofing

16.2.5.1 All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed to prevent pest entry.

16.2.5.2 External doors, including overhead dock doors in food handling areas, used for product, pedestrian or truck access shall be designed to prevent pest entry by applying at least one or a combination of the following methods:

i. A self-closing device;
ii. An effective air curtain or air pressure;
iii. A screen;
iv. An annex;
v. Adequate sealing around trucks in docking areas; or
vi. Other means to help prevent or minimize pest and vermin entry.

16.2.5.3 Electric insect control devices, pheromone or other traps and baits shall be located so as not to present a contamination risk to the product, packaging, containers or food handling equipment. Poison bait shall not be used inside ingredient, food storage or food handling areas.

16.2.6 Ventilation

16.2.6.1 Adequate ventilation shall be provided in enclosed food handling areas.

16.2.6.2 Extractor fans and canopies shall be provided in areas where cooking operations are carried out or a large amount of steam is generated. The venting system shall have the following features:

i. Capture velocities shall be sufficient to prevent condensation build up and to evacuate all heat, fumes and other aerosols to the exterior via an exhaust hood positioned over cooking equipment;
ii. Fans and exhaust vents shall be designed to prevent pest entry and located so as not to pose a contamination risk; and
iii. Where appropriate, positive air-pressure system shall be installed to prevent airborne contamination.

16.3 Equipment and Utensil Design and Maintenance

16.3.1 Equipment and Utensils

16.3.1.1 Equipment and utensils shall be designed, constructed, installed, operated, maintained and stored so as not to pose a contamination threat to products.

16.3.1.2 All food handling equipment shall be hygienically designed and located for appropriate cleaning. Equipment surfaces shall be smooth, impervious and free from cracks or crevices.

16.3.1.3 Product containers, tubs and bins for edible and inedible material shall be constructed of materials that are non-toxic, smooth, impervious and easy to clean. All containers, tubs and bins shall be clearly identified to avoid instances of cross contamination and for inclusion in maintenance and cleaning programs.

16.3.1.4 Waste and overflow water from tubs, tanks, sinks, condenser units and other equipment shall be discharged to the floor drainage system.

16.3.2 Maintenance

16.3.2.1 The methods and responsibility for the maintenance and repair of equipment and buildings shall be documented and implemented. The methods shall ensure that maintenance staff and contractors perform the following practices in a manner that minimizes the risk of product, packaging or equipment contamination:

i. Routine maintenance of building and equipment that can affect food safety shall be performed and recorded according to a maintenance schedule;

ii. Failure or breakdown of buildings and/or equipment shall be documented, reviewed and their repair incorporated into the maintenance schedule;

iii. Comply with the personnel food handling and preparation practices (refer to 16.6.7.1);

iv. Inform the person responsible or designate if any repairs or maintenance pose a potential threat to product safety (i.e. pieces of electrical wire, damaged light fittings, and loose overhead fittings). When possible, maintenance and active site renovations shall be conducted outside food handling/preparation times;

v. Remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor so appropriate cleaning can be completed prior to the commencement of food handling/preparation; and

vi. Records of preventive maintenance and/or repairs are maintained.

16.3.2.2 Equipment located over product or preparation areas shall be lubricated with food grade lubricants and their use controlled so as to minimize the contamination of product.

16.3.2.3 Temporary repairs, where required, shall not pose a food safety risk and shall be included in the cleaning program. There shall be a plan in place to address completion of temporary repairs to ensure they do not become permanent solutions.

16.3.2.4 Paint used in food handling or preparation areas shall be suitable for use and in good condition and shall not be used on any food contact surface.

16.4 Pest Prevention Program

16.4.1 Pest Prevention Program

16.4.1.1 The methods and responsibility for the pest prevention program shall be documented and implemented. The methods shall include:

i. Identification of the target pests for each pesticide application;

ii. The methods used to prevent pest problems;

iii. Pest elimination methods;

iv. The frequency with which pest control devices are to be inspected;

v. A map identifying the location, number and type of bait stations, traps and other pest/vermin control devices;

vi. Methods used to make staff aware of the pest prevention program and the measures to take when they come in contact with pest control devices or chemicals;

vii. Measurement or trending tools for use in determining the effectiveness of the program in the elimination of applicable pests; and

viii. Reporting, corrections and corrective action requirements.

16.4.1.2 The contracted Pest Control Service Provider shall:

i. Be licensed and approved by the local relevant authority;

ii. Use only trained and qualified operators who comply with regulatory requirements;

iii. Use only approved chemicals;

iv. Comply with or provide a pest prevention program (refer to 16.4.1.1); and

v. Provide a written report of their findings and the inspections and treatments applied.

16.4.2 Pest Chemicals

16.4.2.1 Pesticides and other toxic chemicals shall be clearly labeled and stored as described in element 16.8.4 and handled and applied by properly trained personnel. They shall be used by or under the direct supervision of trained personnel with a thorough understanding of the hazards involved, including the potential for the contamination of food and food contact surfaces. A list of the chemicals used (they are required to be approved by the relevant authority) and their Safety Data Sheets (SDS) are made available to relevant personnel.

16.4.2.2 Unused pest control chemicals and empty containers shall be disposed in accordance with regulatory requirements and ensure that:

i. Empty chemical containers are not reused;

ii. Empty containers are labeled, isolated and securely stored while awaiting collection; and

iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

16.5 Cleaning and Hygiene

16.5.1 Cleaning Program

16 5.1.1 The methods and responsibility for the cleaning and frequency of cleaning shall be documented and implemented. The methods shall include food handling and preparation equipment and environment, storage areas and storage equipment, staff amenities and toilet facilities, clothing and service areas. Consideration shall be given to:

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 and its verification; and

v. Methods used to confirm the correct concentrations of detergents and/or sanitizers.

16.5.1.2 Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils, cleaning tools and for cleaning of protective clothing used by staff when applicable. These cleaning operations shall:

i. Be controlled so as not to interfere with food handling/preparation operations, equipment or product; and

ii. Provide racks and containers for storing cleaned utensils, hoses and protective clothing as required.

16.5.1.3 The methods and responsibility used to verify the effectiveness of the cleaning procedures shall be documented and implemented and include:

i. Verification schedules

ii. Inspections and

iii. Swabbing and testing (e.g. ATP, bioluminescence, allergens)

A Risk-based environment monitoring program shall minimally determine frequency, location and type of testing that meets regulatory requirements where applicable.

Records of cleaning activities, inspections, verifications, testing/swabbing and environmental monitoring program risk assessments, testing and corrective actions shall be maintained.

16.5.2 Cleaning Chemicals

16.5.2.1 Chemicals used shall be suitable for use in a food handling/preparation environment and purchased in accordance with applicable regulation.

The facility shall ensure:

i. Chemicals are stored as outlined in element 16.7.4;

ii. Safety Data Sheets (SDS) are provided; and

iii. Only trained staff handles chemicals.

16.5.2.2 Unused chemicals and empty containers shall be disposed of in accordance with regulatory requirements and ensure that:

i. Empty chemical containers are appropriately cleaned, treated and labeled before use;

ii. Empty chemical containers are labeled, isolated and securely stored while awaiting collection; and

iii. Unused and obsolete chemicals are stored under secure conditions while waiting authorized disposal by an approved vendor.

16.6 Personnel Hygiene and Sanitary Facilities

16.6.1 Sanitary Facilities

16.6.1.1 Toilet rooms shall be:

i. Designed and constructed so that they are accessible to staff and separate from any food handling areas;

ii. Sufficient in number for the maximum number of staff on-site;

iii. Constructed so that they can be easily cleaned and maintained; and

iv. Kept clean and tidy.

16.6.1.2 Sanitary drainage shall not be connected to any other drains within the facility and shall be directed to a septic tank or a sewage system.

16.6.1.3 Hand sinks shall be provided immediately outside or inside the toilet room and designed as outlined in 16.6.4.2.

16.6.2 Staff Amenities

16.6.2.1 Staff amenities such as break rooms, change rooms and washrooms, made available for the use of all persons engaged in the handling and preparation of food products, shall:

i. Be supplied with appropriate lighting and ventilation;

ii. Be kept clean, supplied with appropriately sized waste containers and free of pests;

iii. Be separate from food handling, storage and service areas;

iv. Provide sufficient space and appropriate storage for street clothing and personal items; and

v. Provide signage in appropriate languages instructing people to wash their hands prior to entering the food handling areas.

16.6.3 Personnel Hygiene and Health Standards

16.6.3.1 The methods and responsibilities for preventing personnel from working with food, if they have a disease or symptoms of a disease that is communicable through food or water (complies with applicable regulations) shall be documented and implemented. The methods shall ensure that:

i. Identified employees are engaged in activities that do not prepare food or handle unwrapped disposable items, clean linens or food contact surfaces;

ii. Personnel with infected, open or draining cuts, sores or lesions on the hands, wrists or exposed areas of the arms, do not prepare food or handle unwrapped disposable items, clean linens or food contact surfaces.

iii. Minor cuts or abrasions on exposed parts of the body are covered with a waterproof bandage and specifically if on the hands or arms the bandage is covered with a waterproof (or impermeable) protective sleeve, disposable gloves, etc;

iv. Bodily fluid cleanup is performed by properly trained employees and proper materials are provided to safely clean up bodily fluid spillage events.

16.6.3.2 Smoking, chewing, eating, drinking or spitting is not permitted in any food preparation areas. Where drinking or beverage consumption is allowed there shall be a policy and/or procedure that employees follow to minimize the risk of food contamination.

16.6.4 Handwashing

16.6.4.1 Hand sinks shall be conveniently located and in accessible locations throughout food handling and preparation areas as required.

16.6.4.2 Hand sinks shall be constructed of stainless steel or similar non-corrosive material and as a minimum supplied with:

i. A potable water supply at an appropriate temperature;

ii. Dispensed soap;

iii. Single use towels; and

iv. A means of containing used towels.

16.6.4.3 A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position.

16.6.4.4 Personnel shall have clean hands and hands shall be washed by all personnel, including staff, contractors and visitors:

i. On entering food handling or preparation areas;

ii. After each visit to a toilet;

iii. After coughing, sneezing, using a handkerchief or disposable tissue, smoking, eating, or drinking;

iv. During food preparation, as often as necessary to remove soil and contamination and to prevent cross contamination when changing tasks;

v. When switching between working with raw food and working with ready-to-eat food;

vi. Before donning gloves to initiate a task that involves working with food;

vii. After removing gloves;

viii. After handling soiled equipment or utensils; and

ix. After engaging in other activities that may contaminate the hands.

16.6.5 Clothing

16.6.5.1 Clothing worn by staff engaged in handling food shall be cleaned, laundered and worn so as not to present a risk of contamination to products being prepared and served. Shoes shall be kept clean, in good repair. Storage of clothing and shoes shall be designated to areas as per 16.6.2.1.

16.6.5.2 Glove and apron use shall include the following practices:

i. Disposable gloves and aprons shall be changed as needed to prevent cross contamination;

ii. Non-disposable aprons and gloves shall be cleaned as required.;

iii. When gloves are used, personnel shall maintain the hand washing practices outlined above; and

iv. All gloves and aprons are to be removed prior to using the restroom.

16.6.6 Visitors

16.6.6.1 Visitors shall wear suitable clothing and footwear when entering any food handling or preparation areas.

16.6.6.2 Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or prepared.

16.6.6.3 Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personnel practice requirements.

16.6.7 Personnel Food Handling and Preparation Practices

16.6.7.1 All personnel engaged in any food handling, preparation or service shall ensure that products and materials are handled and stored in such a way as to prevent damage or product contamination. They shall comply with the following practices:

i. Personnel enter food handling and preparation areas through the designated entry ways;

ii. Jewelry and other loose objects worn on hands and arms are not to be worn. Plain bands with no stones and medical alert bracelets that cannot be removed can be permitted as per applicable food regulation.

iii. When handling food, personnel keep their fingernails trimmed, filed, and maintained so the edges and surfaces are cleanable and not rough;

iv. Unless wearing intact gloves in good repair, the wearing of false fingernails or fingernail polish is not permitted when handling food;

v. Effective hair restraints are worn;

vi. Packaging material (e.g. take out/home containers), product, and ingredients are stored properly (i.e. designated area, containers and not on the floor); and

vii. Staff do not eat or taste any products in the food handling/preparation areas, except for designated personnel as part of tasting and as per written procedures.

16.6.7.2 The methods and responsibility for thawing of food shall be documented and implemented. The methods applied shall ensure that:

i. Equipment and designated areas are appropriate for thawing;

ii. Water used for thawing ensures a continuous flow and water exchange rate and temperature does not contribute to product deterioration or contamination;

iii. Water overflow is directed to floor drainage; and

iv. Cartons and/or packaging from thawed product is contained and disposed of at regular frequencies.

16.6.7.3 The methods and responsibility to prevent foreign matter contamination of the product shall be documented and implemented. The methods applied shall ensure that:

i. Inspections are performed to ensure facility and equipment remains in good condition;

ii. Knives and cutting instruments used in food preparation areas are controlled, kept clean when not in use and maintained;

iii. Containers, equipment and other utensils made of glass, porcelain, ceramics or other like material, where required for storage, use etc., are not cracked, chipped or broken (Glass breakage procedure required);

iv. Staples, paperclips, tacks and other metal objects used to post or handle communication are not present in food handling/preparation areas; and

v. Ingredients and products are monitored/inspected prior to and during use.

16.7 Receiving, Delivery and Transportation

16.7.1 Receiving Ingredients

16.7.1.1 The methods and responsibility for unloading and receipt of materials and products shall be documented and implemented. The methods applied shall ensure that:

i. Materials and products are from approved suppliers (see 2.3.4) and that lot codes match shipping documents;

ii. Transport vehicle is clean, free from odors, temperature controls have been maintained and that material and product temperature meet specifications;

iii. Additional testing or inspection is completed as per receiving procedures;

iv. Materials and products are not exposed to conditions or risks to cross contamination that will affect product and package integrity; and

v. For Key Drops that inspection is completed immediately upon arrival of site personnel as per above and to ensure appropriate storage conditions.

Records are maintained for receipt (e.g. shellstock tags, certificate of analysis, B of L) inspections and temperature monitoring.

16.7.2 Delivery and Transportation

16.7.2.1 The methods and responsibility for the loading, transport and unloading of meals and products shall be documented and implemented. The methods applied shall ensure that:

i. Equipment (e.g. trucks/vans/contract delivery/containers) for transport shall be inspected for sanitary conditions, good repair, suitability, and absence of food safety risk indicators (e.g. odors, pest evidence); and

ii. Before loading, mechanized temperature control unit settings shall be set, checked, and recorded.

16.7.2.2 Insulated and mechanically controlled (refrigerated, and hot holding) units shall maintain food at required temperatures during transport. Product or surrounding air temperatures shall be checked and recorded at intervals according to the food safety plan, regulatory or customer requirements as appropriate.

16.8 Storage

16.8.1 Temperature Control Storage, Cold, Refrigerated, Frozen, Chilling and Hot Holding

16.8.1.1 Freezing, chilling, cold and hot holding storage equipment shall:

i. Be designed and constructed to allow for the hygienic and efficient temperature control for safety of food;

ii. Ensure condensate discharge does not present a risk to food; and

iii. Be easily accessible for inspection and cleaning.

16.8.1.2 Freezing, chilling, cold and hot holding equipment shall be equipped with temperature monitoring equipment using devices that are calibrated (see 2.5.3) and accessible either physically or through electronic controls.

16.8.2 Ambient Temperature Storage- Dry Ingredients, Packaging, Shelf Stable Products

16.8.2.1 Areas used for the storage of products, ingredients, packaging, and other dry goods shall be separate from food handling/preparation areas and equipment storage and constructed to protect the product from contamination.

16.8.2.2 Racks and shelving provided for the storage of daily use ingredients and packaging shall be constructed of impervious materials, designed to enable cleaning and located to minimize risk.

16.8.3 Inventory Management

16.8.3.1 The responsibility and methods for effective stock rotation (FIFO), including ingredients, materials, work-in-progress, rework and products shall be documented and implemented.

16.8.4 Hazardous Chemicals and Toxic Substances Storage

16.8.4.1 Hazardous chemicals and toxic substances with the potential for food contamination shall be stored so as not to present a hazard to staff, product, packaging, product handling equipment or areas in which the product is handled, stored, sold or transported.

16.8.4.2 Chemicals used for cleaning and sanitizing of food handling equipment or food contact surfaces on a daily or continual basis shall be stored in a manner that will minimize the risk to product contamination. Access or use of daily use chemicals are restricted to trained personnel.

16.8.4.3 Hazardous chemical and toxic substance storage facilities shall:

i. Be compliant with national and local legislation and designed such that there is no cross-contamination between chemicals;

ii. Be adequately ventilated;

iii. Have appropriate signage indicating the area is a hazardous storage area;

iv. Be secure and restrict access only to authorized personnel;

v. Ensure chemicals are in properly labeled containers;

vi. Have appropriate Safety Data Sheets (SDS) available;

vii. Have instructions on the safe handling of hazardous chemicals and toxic substances readily accessible to staff;

viii. Have suitable first aid equipment and protective clothing available in close proximity to the storage area;

ix. In the event of a hazardous spill, be designed such that spillage and drainage from the area is contained; and

x. Be equipped with spillage kits and cleaning equipment.

16.9 Water, Ice and Air Supply

16.9.1 Water, Ice Supply and Delivery

16.9.1.1 Adequate supplies of potable water, drawn from a known clean source and maintained as potable, shall be provided for use during food handling/preparation operations, as an ingredient and for cleaning (hot and cold as needed) the premises, equipment and handwashing.

16.9.1.2 The use of non-potable water shall be controlled such that:

i. There is no cross-connection between potable and non-potable water lines;

ii. Non-potable water piping and outlets are clearly identified.

16.9.1.3 Ice provided for use during food handling/preparation operations, as a service aid or as an ingredient shall comply with 16.9.2. Ice rooms/areas and receptacles shall be constructed of materials as outlined in elements 16.3.1.1 and designed to minimize contamination of the ice during storage, distribution and use.

16.9.2 Water Quality and Analysis

16.9.2.1 Water shall comply with local, national or internationally recognized potable water microbiological and quality standards as required when used for:

i. Washing, thawing and treating food;

ii. Handwashing;

iii. Ingredient or food preparation/service aid;

iv. Cleaning food contact surfaces;

v. Ice making; and

vi. Steam that will come in contact with food or used to heat water that will come in contact with food.

16.9.2.2 Water treatment methods, equipment and materials used to maintain water potability shall be designed, installed and operated to ensure water receives an effective treatment. The following shall be included in a water treatment program:

i. Equipment shall be monitored regularly to ensure it remains serviceable;

ii. Treated water shall be regularly monitored to ensure it meets the indicators specified; and

iii. Microbiological analysis of the water (ice if applicable) is included in treatment monitoring and uses nationally recognized methods and as per regulatory requirements. Where external laboratories are utilized to complete the analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard.

16.9.3 Air Supply

16.9.3.1 Compressed air that contacts food or food contact surfaces shall be clean and present no risk to food safety.

16.9.3.2 Compressed air systems used in food handling or preparation processes shall be maintained and regularly monitored for purity.

16.10 Waste Handling and Disposal

16.10.1 Waste Management

16.10.1.1 The methods and responsibility used to collect, handle and store dry, wet and liquid waste prior to removal from the facility shall be documented and implemented. The methods applied shall ensure that:

i. Waste is removed on a regular basis and does not build up in food handling or preparation areas;

ii. Designated waste accumulation areas are maintained in a clean and tidy condition;

iii. Trolleys, vehicles, equipment, collection bins and storage areas used in the handling and disposal of waste are maintained and kept clean when not in use;

iv. Waste held on-site prior to disposal shall be stored in an area separate from food preparation and storage and suitably insect proofed; and

v. Waste designated for animal feed follows regulatory requirements for proper handling, disposal, transport and pick-up.

16.10.2 Salvage Operations and Reclamation

16.10.2.1 The methods and responsibility outlining how product is disposed, donated, resold, restocked or reused shall be documented and implemented. The methods applied shall ensure:

i. Salvage operations are supervised by qualified personnel;

ii. Product is clearly identified and labeled; and

iii. Processes follow regulatory requirements to ensure safety and integrity of food is maintained.

16.10.2.2 The methods and responsibility to assess and disposition damaged and/or returned product from customers or consumers shall be documented and implemented. The methods applied shall ensure that damaged and/or returned product is stored and maintained in a manner that ensure there is no cross contamination with stored or in use ingredients and products. Records of assessments and resulting dispositions shall be maintained.

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	El: 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	El: 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	El: 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	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
				milk but not UHT operations. (refer to FSC 15). 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

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
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 milk products or fruit and vegetable juicing operations. Does not apply to dry beverage ingredients (e.g. tea, coffee).	Includes carbonated soft drinks, carbonated and non-carbonated waters, mineral water, ice, wine, beer and other alcoholic beverages.	Some high risk process knowledge required
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

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of Risk
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
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	Not Applicable	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	Not Applicable	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

FSC	Category (Site Scope of Certification)	GFSI Industry Scopes	Applicable SQF Code Modules	Description	Example of Products	Level of 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					
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).
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 System by an SQF food safety auditor to determine whether food safety systems, hygiene and management activities are undertaken in accordance with that system documentation and comply with the requirements of the SQF food safety Code, as appropriate, and to verify whether these arrangements are implemented effectively.
Audit Checklist	The list of SQF food safety Code elements, customized for the site's audit scope, and available for use by the SQF food safety auditor when conducting an SQF food safety audit.
Auditor	A person registered by the SQFI to audit a site's SQF food safety 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.
Back of the House	Areas of the site used specifically for employees of the site such as cooks, chefs, servers, to conduct business operations and includes kitchen, receiving areas, freezers, coolers, etc.
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 certification audit and/or a re-certification audit.
Certification	Certification by a licensed SQF certification body of a site's SQF food safety System as complying with the SQF food safety 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 Service Provider	A separate business entity from the organization/site that will be providing a service or interacting with the site to assist in the creation of meals and products for sale.
Corporate	An entity that does not conduct foodservice activities 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.
Cross-contact	Unintentional and undesirable transfer of an allergen from one food or surface to another.
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 Code, as appropriate.
Documents	Written policies and procedures, forms and completed records that are used by a site to define and show compliance to their food safety management system.
Distributor	An entity contracted by the site to sell and/or supply product to customers, and other businesses that sell to customers.
Environmental Monitoring Program (EMP)	A program to detect risk in the sanitary conditions in the operating environment. A verification of the effectiveness of sanitation and maintenance programs that a site has implemented.
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, system elements that are identified as "Mandatory" cannot be exempted. The certification body will confirm the reasons for exemption as part of the facility audit. The term also applies to products, processes or areas of the facility 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 facility description in the SQFI assessment database.
Facility	The site's premises at its street address. The production, manufacturing, operation or storage area where product and food is produced, processed, packaged, served 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.
Food	Any substance, usually of animal or plant origin, intentionally consumed by humans, whether processed, prepared, 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 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 certification program owner should contain at least a standard, a clearly defined scope, and a food safety system. (i.e. – SQFI is a certification program owner)
Food Safety Plan	As described in the applicable 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.
Foreign Material	Foreign material is defined as foreign bodies that may cause illness or injury to the consumer, or are perceived by the consumer to be alien to the food. Also refers to any extraneous matter, whether of a physical, chemical or biological nature, found in food.
Franchise	An authorization granted by a company to an individual or group enabling them to carry out specified commercial activities and providing services for a company's products. The Franchisee has the right to use an organization's business model and brand for a contracted period of time with a direct stake and responsibility in the business.
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 Operating Practices (GOPs)	The combination of management and operational practices at foodservice 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 Codes utilize the HACCP method to control food safety hazards 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 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.
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. (e.g. GOP's)
Key Drop	Deliveries by suppliers or distributors during hours when no staff is present to receive deliveries at a site.
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.

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.
Multi-site Certification	Multi-site certification involves the designation of a central site (i.e. corporate brand owner) for which a network of certified sub-sites (e.g. restaurants) performing similar activities are certified. 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 but not likely to cause a system element or good practices element breakdown. A major non-conformity is an omission or deficiency in the SQF System producing unsatisfactory conditions that carry a food safety risk and likely to result in a system element or good practices 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 audit by the food safety 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."
Organization	Any foodservice l business involved in the creation of meals or packaged products for immediate sale to its customers and has, or agrees to have, a certification body carry out audits and certification of its SQF System.
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 regulatory 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 occurring, but one that may not be directly related to activities taking place during operations.
Pre-Packaged	Finished products that are delivered to the organization's site(s) that are packaged and ready to be displayed for sale.
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 regulatory 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.
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 System within thirty (30) calendar days of the anniversary of certification.
Records	A completed form or written document that represents evidence of completed past activities.
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(see also Second Use Foods).
Root Cause	An underlying or fundamental reason for any failure of a safety observance, accident or issues related to human health, environment or quality.
Rules of Use	The rules and procedures contained in SQF Logo Rules of Use and includes the certificate schedule and any modification, variation or replacement of the SQF trademark rules of use.
Sanitary Drainage	A system of drains and piping that carries sanitary waste from toilet and hand sinks to municipalities sewer system or site septic system. In a sanitary waste system, the pipe will connect to horizontal drain lines from each floor. Waste will fall to the bottom of the stack where the piping will transition to a horizontal drain and out to the designated sewage handling system.
Scope of Certification	The food sector categories, those products and the site 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 s restaurants in seasonal tourist areas.
Second Use Foods	Food and/or ingredients that has been removed from the normal flow of meal preparation or left over after completion of serving or buffet time and are deemed to be suitable for reuse.
SQFI Select Site	Recognition stated on the SQFI certificate for sites who have undergone an annual unannounced re-certification audit.
Senior Management	Individuals at the highest level on site or corporately with responsible for the business operation and implementation and improvement of the food safety management system.
Site	Any food business involved in the production, manufacture, processing, preparation, transport, storage, distribution or sale of food, beverages, packaging, animal feed, or pet food, 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 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 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
SQF Program	The SQF Food Safety Code and all associated System, rules, intellectual property and documents.
SQF System	A risk management and preventive system that includes a food safety plan implemented and operated by a site to assure food safety. 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-Contractor	See Contract Service Provider
Sub-site	An SQF certified site which operates under a contractual link to an SQF 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	An audit conducted approximately every six (6) months (or more frequently as determined by the certification body) as part of a site's SQF System where that system has previously been certified or re-certified and whose certification is current.
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.
Third Party Operator	A separate business entity from the organization/site that holds residency within the organization's site(s) producing products and/or offering for sale/service under the organization/sites name or operators name.
Trademarks	All certification and service marks filed or registered in the name of FMI and the licensor in relation to the SQF Program.
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," "Implementing the Quality Code," "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 re-certification audits. Sites with annual unannounced re-certification 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.
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 address 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

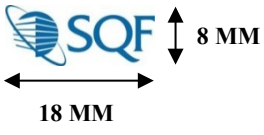
Color Reproduction of the SQF Logo

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.

Appendix 4: Requirements for SQF Foodservice Multi-Site Certification

1. Scope

1.1 This appendix outlines the requirements for establishing and maintaining certification of a multi-site program that is managed by a designated central corporate site/entity.

1.2 The multi-site program involves a central corporate entity, kitchen or recipe meal manufacturer that manages the implementation and compliance of SQF systems and a number of sub-sites that shall be a minimum of twenty (20).

2. Definitions

2.1 A SQF multi-site program is comprised of a central 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 (e.g. corporate ownership or franchisee).

2.2 For the purpose of this Code the definitions outlined in Appendix 2: Glossary and the following definitions apply.

2.3 The central-site can be any of the following:

i. A corporate business entity that has a network of sub-sites (e.g. franchises or corporate foodservice site, that are eligible for certification;
ii. A central kitchen certified to the SQF Food Safety Code for Foodservice that has a network of sub-sites and/or franchises; or
iii. A commissary or recipe meal manufacturer certified to the SQF Food Safety Code for Manufacturing that has a network of sub-site.

2.4 All sub-site shall be certified to the SQF Food Safety Code for Foodservice, are involved in similar activities as per 3.7 below and are all located in the same country as the central site and/or operate under the same food safety legislation.

3. Eligibility Criteria for the Multi-Site Organization

3.1 The central site is the entity responsible for the SQF multi-site program.

3.2 Sub-sites shall be linked to the central site by a legal or contractual arrangement (e.g. franchisee).

3.3 The central site and not any sub-site shall be contracted with the certification body. The central site and all sub-sites in the multi-site program shall be audited by the same certification body.

3.4 Central sites shall implement an SQF System at all sub-sites that includes management of the sub-sites and internal audits of the sub-sites. The central site, in conjunction with the sub-sites shall be certified to a SQF Food Safety Code for Foodservice, except where the central site is defined by regulation as a manufacturer.

3.5 Sub-sites shall implement an SQF System which is subject to continuous surveillance by the central site.

3.6 The central site shall have authoritative control of the food safety management system of all subsites, including implementation of corrective actions when needed in any sub-site, and shall retain all relevant documentation associated with the sub-sites. These shall be included in the agreement between the central site and the sub-sites.

3.7 The product(s) or service(s) provided by each of the sub-sites shall be substantially of the same kind and produced according to the same fundamental methods and procedures. The size and/or complexity of each of the sub-sites shall be similar or closely resembling the same. Corporate ownership of different restaurant brands shall define each brand as a separate multi-site if the brands are engaged in substantially different operations, services and products.

3.8 The central site shall establish and maintain SQF certification for the duration of the SQF multi-site program.

3.9 The central site's SQF management system shall be administered under a centrally controlled plan and be subject to central management review.

3.10 The central site shall demonstrate an ability to collect and analyze data from all sites, including the central site, and have the authority and ability to initiate organizational change if required.

3.11 The central administration function and the sub-sites shall be subject to the central site's internal audit program and shall be audited in accordance with that program. Internal audits shall be conducted at sub-sites, prior to the central site certification audit, in a quantity sufficient to allow the certification body to access whether the central site is in compliance and apply to sub-site sample selection (see 8.0 below). All sub-sites are required, within a calendar year or season, to have an internal audit as per 4.2 below.

4. Internal Audits

4.1 The central site shall document its internal audit procedure which shall include an internal audit schedule and an outline of the methods for conducting audits of sub-sites and the central site administrative function.

4.2 An internal audit, which includes all relevant elements of the SQF Food Safety Code, and the Good Operational Practices (GOP's) shall be conducted at least once per year, and during periods of peak activity, if applicable, at all sub-sites included in the multi-site certification.

5. Internal Audit Personnel

5.1 Personnel conducting internal audits shall:

i. Successfully complete the Implementing SQF Systems for Foodservice training course.
ii. Successfully complete internal auditor training.
iii. Have competence in foodservice food safety system management.

5.2 Personnel reviewing the internal audits of the multi-site organization and evaluating the results of those internal audits shall:

i. Be separate from personnel conducting the internal audits; and
ii. Complete Internal Auditing Training.

5.3 Where the internal audits are contracted out:

i. The contractor shall comply with the requirements stated in 5.1;
ii. The central site shall be accountable for the actions and effectiveness of the work completed by the contractor; and
iii. Contract arrangements shall comply with 2.3.2 of the SQF Food Safety Code for Foodservice.

6. Auditing and Certifying the Multi-Site Organization

6.1 The Audits and certification of an SQF multi-site organization shall be completed by a SQF licensed and accredited certification body. The audit includes:

i. The certification audit (including initial desk audit of the central site only and sub-site audits);
ii. Surveillance audits; and
iii. Re-certification audits.

6.2 The initial certification audit and subsequent surveillance and re-certification audits of the multi-site organization shall be centered on the central site, it's internal audit function and a sample of the sub-sites. Record reviews for sub-sites will be completed at the sub-site site audit.

7. Audit Frequency

7.1 The certification audit of the central site and a sample (refer to 8.0) of sub-sites are conducted every twelve months.

7.2 Re-certification audits for the central site is conducted on the anniversary of the last day of the initial certification audit, plus or minus 30 calendar days. For seasonal operations timing for sub-sites should be guided by the operational dates, as well as time required for the central site to adequately complete the Internal Audit Program.

7.3 Within each certification and re-certification audit cycle, the central site shall be audited before the majority of the sample of sub-sites. It is recognized that for seasonal operations dates and having operations available to the central site may require some sub-sites audits being conducted prior to the central site audit.

7.4 Surveillance audits are conducted for any site in the multi-site program that receives a 'C-Complies' rating. Surveillance audits are conducted six (6) months from the last day of the last certification audit, plus or minus thirty (30) calendar days or as per Part A 4.3 for seasonal operations. Where a sub-site is subject to a surveillance audit due to a "C - Complies" rating, the internal audit of that sub-site by the central site shall also be reviewed. If the sub-site is not in operational within the six (6) month time frame for the surveillance audit then it shall be audited within the first two (2) weeks of being in operations for the season and automatically be included in the sub-site sampling calculation (refer to 9.0).

7.5 If the central site or any one of the sampled sub-sites is identified as having a critical non-conformity at an audit, or otherwise achieves only an "F – Fails to comply" rating, the certificates for the central site and ALL sub-sites shall be suspended until such time as a "C – Complies" rating or better is achieved at a further round of audits at the central site and a sample of sub-sites. The sub-site(s) that receives the "F – Fails to comply" rating shall be included in the sub-site selection process (refer to 8.0) for the next audit cycle.

8. Selecting the Sub-Sites

8.1 The selection of the sample is the responsibility of the certification body.

8.2 The sample is partly selective based on the factors set out below and partly non-selective and shall result in a range of different sub-sites being selected, without excluding the random element of sampling. At least twenty-five (25) percent of the sub-sites selected shall be based on random selection.

8.3 The sample of sub-sites shall be selected so that the differences among the selected sub-sites, over the period of validity of the certificate, are as large as possible.

8.4 The sub-site selection criteria shall include among others the following aspects:

i. Results of internal audits or previous certification assessments;
ii. Records of complaints and other relevant aspects of correction and corrective action;
iii. Significant variations in the size of the sub-sites;
iv. Variations in the work procedures;
v. Modifications since the last certification assessment;
vi. Geographical dispersion; and
vii. New suppliers added into the program (refer to 10.0).

8.5 The certification body shall inform the central site of the sub-sites that will comprise the sample in a timely manner that will allow the central site adequate time to prepare for the audits.

8.6 The central site shall ensure that all sub-sites listed as being included in the sub-site audit selection process are registered with SQF (Part A, 1.3). The central site shall also ensure that the SQF database is updated to reflect any sub-sites being removed from the previous year multi-site program.

9. Determining the Size of the Sub-Sites

9.1 The certification body shall record the justification for applying a sample size outside that described in this clause.

9.2 The minimum number of sub-sites to be audited at a certification audit or re-certification audit is the square root of the number of sub-sites with 1.5 as a co-efficient ($y=1.5\sqrt{x}$), rounded to the higher whole number. "y" is defined as the total number of sub-sites to be audited and "x" is the total number of subsites registered to the Multi-site certification. As per 1.2 above a minimum of twenty (20) sub-sites are required.

9.3 The size of sample shall be increased where the certification body's risk analysis of the activity covered by the management system subject to certification indicates special circumstances in respect of factors like:

i. Major variations in processes undertaken at each sub-site;
ii. Records of complaints and other relevant aspects of correction and corrective action;
iii. Indication of an overall breakdown of food safety controls; or
iv. Inadequate internal audits or action arising from internal audit findings.

10. Additional Sub-Sites

10.1 On the application of a new sub-site or group of sub-sites to join an already certified SQF multi-site program, each new sub-site or group of sub-sites shall be included in the audit sample for the next re-certification audit. The new sub-sites shall be added to the existing sites for determining the sample size

for future re-certification audits. Sub-sites transferring from another multi-site group or from a stand-alone certification are not classified as "new" and are not subject to being included in the sub-site audit sample unless part of the random selection process or due to auditor/Certification Body discretion.

10.2 New sub-sites shall not be added to the sub-site list once the list has been verified and agreed to by the central site and the certification body during the annual sample site selection process and the sub-site registration process is completed These sites can have their SQF systems components (SQF Food Safety system elements) managed by the central site but will be certified as a stand-alone operation and subject to initial certification requirements, including desk and site audits. Following the stand-alone certification, a new site can be included in subsequent multi-site certifications as per 10.1.

11. Dealing with Non-conformities

11.1 When non-conformities are found at any individual sub-site through the central site's internal auditing, investigation by the central site shall take place to determine whether the other sub-sites may be affected. The certification body shall require evidence that the central site has taken action to rectify all non-conformities found during internal audits and that all non-conformities are reviewed to determine whether they indicate an overall system deficiency applicable to all sub-sites or not. If they are found to do so, appropriate corrective action shall be taken both at the central site and at the individual sub-sites. The central site shall demonstrate to the certification body the justification for all follow-up action.

11.2 When non-conformities are found at the central site or at any individual sub-site through auditing by the certification body, action shall be taken by the certification body as outlined in Part A, 3.2.

11.3 When non-conformities for system elements are found at the central site, the certification body shall increase its sampling frequency until it is satisfied that control has been re-established by the central site.

11.4 At the time of the initial certification and subsequent re-certification a certificate shall not be issued to the central site and sub-sites until satisfactory corrective action is taken to close out all non-conformities.

11.5 It shall not be admissible that, in order to overcome the obstacle raised by the existence of non-conformity at a single sub-site, the central site seeks to exempt from the scope of certification the "problematic" sub-site during the certification, surveillance or re-certification audit.

12. Certificate Issued for a Multi-Site Organization

12.1 A certificate shall be issued to the central site and all sub-sites within the SQF multi-site program.

i. The central site's certificate shall include an appendix listing all sub-sites participating in the multi-site program and statements outlining the central cites role in the multi-site program SQFI and the designated CB shall agree on such statements.

ii. The sub-site certification shall state within its scope of certification that it is part of a multi-site certification.

12.2 The certification date for the central site and sub-sites shall be the date of the last audit conducted in that certification cycle. The certificate expiry date shall be based on the certificate decision of the last date of the sub-site audit.

12.3 The certificate for all sites in the multi-site program will be withdrawn, if the central site or any of the sub sites do not fulfill the necessary criteria for maintaining their certificate.

12.4 The list of sub-sites shall be kept updated by the central site. The central site shall inform the certification body about the closure of any of the sub-sites or the addition of new sub-sites. Failure to provide such information will be considered by the certification body as a misuse of the certificate, and the multi-site organization's certificate shall be suspended until the matter is corrected to the satisfaction of the certification body.