# Introduction

Section 1. Introduction

1.1 Purpose of the Code Checklist

The purpose of the SQF Fundamentals Code checklist is to assist suppliers in performing internal audits and/or gap assessments to the SQF Fundamentals for Manufacturing - Intermediate, Edition 1 and with the organization, implementation, maintenance and audits of SQF Systems designed using the SQF Fundamentals Code.

The relevant Code version number is identified in the document header. Terms used in these documents are defined in Appendix 2: Glossary found in the SQF Fundamentals for Manufacturing - Intermediate, Edition 1.

This checklist is intended assist and support the SQF Fundamentals Code, but does not replace it. It is not an auditable document, nor is it definitive and applicable in every situation. Sites are required to understand the food safety risks in a given industry sector and are able to apply the SQF Fundamentals Code to effectively control those risks. It is recommended that the SQF Guidance Documents be used in conjunction with this document.

1.2 Layout of the SQF Code

The SQF Fundamentals for Manufacturing - Intermediate, Edition 1 consists of two parts and three appendices. Part A contains the criteria for implementing and maintaining the SQF Fundamentals for Manufacturing Code - Intermediate, Edition 1. Part B, the heart of the SQF Fundamentals Code, is made up of modules. Within each module are clauses or elements, which the site must implement as their SQF System. In module 2, the clauses encompass the system elements. Each element outlines where procedures need to be documented, where record keeping is required or where actions must be taken. Module 11 is the Good Manufacturing Practices (GMP) requirements applicable to various food industry sectors. Sites must meet the requirements of the module or modules applicable to their food industry sector.

The three appendices in the SQF Fundamentals Code provide additional information needed to implement an SQF System:

* + - * + Appendix 1: Food Sector Categories
				+ Appendix 2: Glossary
				+ Appendix 3: SQF Logo Rules of Use

This checklist will mirror the layout of the SQF Fundamentals Code.

Section 2. Introduction to this Checklist

2.1 Scope of the Checklist

This checklist covers the requirements of all the modules in SQF Fundamentals for Manufacturing - Intermediate, Edition 1*.* All sites seeking certification to the SQF Fundamentals for Manufacturing - Intermediate, Edition 1 must document, implement and maintain the system elements of module 2 plus the food safety fundamentals defined in the Modules 11 based on the facility’s food sector category (ies) (FSCs).

2.2 Summary Table

In the beginning of this document, a summary table is provided for suppliers who conduct open and closing meetings during the internal audit. Only one summary table is needed for each type of facility audit (including internal audit, gap assessment, official certification, re-certification or surveillance audit):

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| Audit Statement |
| **Header** | **Item** | **Evidence** |
| Opening Meeting | People Present at the Opening Meeting (Please list names and roles in the following format Name: Role separated by comas) |  |
| Closing Meeting | People Present at the Closing Meeting (Please list names and roles in the following format Name: Role separated by comas) |  |
| Facility Description | Auditor Description of Facility (Please provide facility description include # of employees, size, production schedule, general layout, and any additional pertinent details |  |
| Auditor Recommendation | Auditor Recommendation |  |

2.3 Format of the Fundamentals Code Checklist

The following section explains the elements and sub-elements of the SQF Fundamentals for Manufacturing - Intermediate, Edition 1 and provides guidance on what the site needs to do to develop; document and implement a SQF System at this level, and provides information on what the auditor may be looking for to confirm compliance.

The following format is used throughout:

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| Element Number and Name |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| Sub-element number and name.  | This section describes what the SQF Fundamentals for Manufacturing – Intermediate, Edition 1 requires. This is the text from the SQF Code, and is the auditable standard. Where there is disagreement between the text of the SQF Fundamentals for Manufacturing – Intermediate, Edition 1 and the guidance, the SQF Fundamentals for Manufacturing – Intermediate, Edition 1 in English prevails. | This section is for sites to check the primary response for each element. | This section is provided for the site to write down evidence observed for each element during the audit. |
| **Element Summary** |
| All section summaries are to be completed by the auditor irrespective of whether or not a non-conformity has been identified within that section. Section summaries must clearly indicate:a. Evidence of complianceb. Summary of element(s) that are non-compliantc. Reference to other sections or elements where similar issues have been identified (if appropriate)d. Changes/improvements from previous audits (if appropriate) |

SQFI Audit Report

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| 1. Company Information
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| Company Name |  | Company # |  |
| Address 1 |  |
| Address 2 |  |
| City |  | State |  | Zip Code |  |
| Country |  | Phone # |  |
| SQF Practitioner |  | Email |  |
| Food Sector Categories |  |
| Modules Audited |  |
| Certified Products |  |

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| 1. Audit Schedule
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| Start Date |  | End Date |  |
| Scope of Certification |  |

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| 1. Certification Decision
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| Audit Score |  | Audit Rating |  |

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| 1. Non-Conformities
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| Element | Description | Primary Response | Evidence |
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| 1. Root Cause Analysis
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| Element | Description | Primary Response | Root Cause |
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| 1. Corrective Actions
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| Clause | Primary Response | Corrective Action*(Supplier)* | Required Completion Date | Close Out  |
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| Audit Statement |
| **Header** | **Item** | **Evidence** |
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| Auditor Recommendation | Auditor Recommendation |  |

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| 2.1.1 Food Safety Policy |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.1.1.1 Food Safety Policy  | Senior site management shall prepare and implement a policy statement that outlines as a minimum the:i.      The site's commitment to supply safe food;ii.      Methods used to comply with its customer and regulatory requirements; andiii.      The site's commitment to establish and review food safety objectives. |  |  |
| **2.1.1 Food Safety Policy Summary** |
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| 2.1.2 Management Responsibility |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.1.2.1 Management Responsibility  | The reporting structure describing those who have responsibility for food safety shall be documented, identified and communicated within the site. |  |  |
| 2.1.2.2 Management Responsibility  | The senior site management shall make provision to ensure fundamental food safety practices and all applicable requirements of the SQF System are adopted and maintained. |  |  |
| 2.1.2.3 Management Responsibility  | The senior site management shall ensure adequate resources are available to achieve food safety objectives and support the development, implementation, maintenance and ongoing improvement of the SQF System. |  |  |
| 2.1.2.4 Management Responsibility  | Senior site management shall designate a person responsible for each site with responsibility and authority to:i. Lead the development and implementation of Good Manufacturing Practices (GMP) outlined in 2.4.2;ii. Oversee the development, implementation, review and maintenance of the SQF System; andiii. Take appropriate action to ensure the integrity of the SQF System. |  |  |
| 2.1.2.5 Management Responsibility  | The person responsible designated under 2.1.2.4 shall:i.      Be fully employed or contracted by the site as a company employee/contractor;ii.      Hold a position of responsibility in relation to the management of the site’s SQF System;iii.      Be competent to implement and maintain food safety fundamentals; andiv.      Have an understanding of the SQF Food Safety Fundamentals and the requirements to implement and maintain SQF System relevant to the site's scope of certification. |  |  |
| 2.1.2.6 Management Responsibility  | Job descriptions for those responsible for food safety shall be documented and include provision to cover for the absence of key personnel. |  |  |
| **2.1.2 Management Responsibility Summary** |
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| 2.1.3 Management Review |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.1.3.1 Management Review  | The senior site management shall be responsible for reviewing the SQF System and documenting the policy statement. |  |  |
| 2.1.3.2 Management Review  | The SQF System in its entirety shall be reviewed at least annually. |  |  |

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| 2.1.3.3 Management Review  | The SQF System, and other aspects of Good Manufacturing Practices (GMP) shall be reviewed and updated as needed when any potential changes implemented have an impact on the site's ability to deliver safe food. |  |  |
| 2.1.3.4 Management Review  | All changes made to Good Manufacturing Practices (GMP) and other aspects of the SQF System shall be validated or justified. |  |  |
| 2.1.3.5 Management Review | Records of all reviews, validations and changes to the SQF System shall be maintained. |  |  |

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| **2.1.3 Management Review Summary** |
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| 2.1.4 Complaint Management |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.1.4.1 Complaint Management  | The methods and responsibility for handling and investigating the cause and resolution of complaints from customers and authorities, arising from products manufactured or handled on site, shall be documented and implemented. |  |  |
| 2.1.4.2 Complaint Management  | Records of customer complaints and their investigations shall be maintained. |  |  |
| **2.1.4 Complaint Management Summary** |
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| 2.1.5 Crisis Management  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| Not Applicable for SQF Fundamentals for Manufacturing - Intermediate |
| **2.1.5 Crisis Management Summary** |
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| 2.2.1 Food Safety Manual  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.2.1.1 Food Safety Manual | A food safety manual shall be documented and maintained in either electronic and/or hard copy form and include or reference the written procedures, pre-requisite programs and other documentation necessary to support the development and the implementation, maintenance and control of the SQF System. |  |  |
| **2.2.1 Food Safety Manual Summary** |
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| 2.2.2 Document Control  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.2.2.1 Document Control | Documents shall be controlled in a manner that ensures employees use up to date and current policies, procedures and forms when food safety related activities are documented. |  |  |
| 2.2.2.2 Document Control | A register of current SQF System documents and amendments to documents shall be maintained. |  |  |
| **2.2.2 Document Control Summary** |
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| 2.2.3 Records  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.2.3.1 Records  | All records shall be legible and suitably authorized by those undertaking monitoring activities that demonstrate inspections, analyses and other essential activities have been completed. |  |  |
| 2.2.3.2 Records  | Records shall be readily accessible, retrievable, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or regulations. |  |  |
| **2.2.3 Records Summary** |
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| 2.3.1 Product Development and Realization |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| Not applicable for SQF Fundamentals for Manufacturing - Intermediate |
| **2.3.1 Product Development and Realization Summary** |
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| 2.3.2 Raw and Packaging Materials |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.3.2.1 Raw and Packaging Materials  | Specifications for raw materials and packaging materials including, but not limited to ingredients, additives, hazardous chemicals and processing aids, that impact on finished product safety shall be documented, comply with relevant legislation, and kept current. |  |  |
| **2.3.2 Raw and Packaging Materials Summary** |
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| 2.3.3 Contract Service Providers |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| Not applicable for SQF Fundamentals for Manufacturing - Intermediate |
| **2.3.3 Contract Service Providers Summary** |
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| 2.3.4 Contract Manufacturers |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| Not applicable for SQF Fundamentals for Manufacturing - Intermediate |
| **2.3.4 Contract Manufacturers Summary** |
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| 2.3.5 Finished Product Specifications |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.3.5.1 Finished Product Specifications | 2.3.5.1 Finished product specifications shall be documented, current, approved by the site and their customer, accessible to relevant staff and may include:i. Microbiological and chemical limits; andii. Labeling and packaging requirements. |  |  |
| **2.3.5 Finished Product Specifications Summary** |
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| 2.4.1 Food Legislation |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.4.1.1 Food Legislation  | The site shall ensure that, at the time of delivery to its customer, the food supplied shall comply with the legislation that applies to the food and its production in the country of its origin and destination if known. This includes compliance with legislative requirements applicable to maximum residue limits, food safety, packaging, product description; net weights, nutritional, allergen and additive labeling, any other criteria listed under food safety legislation, and to relevant established industry codes of practice. |  |  |
| **2.4.1 Food Legislation Summary** |
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| 2.4.2 Food Safety Fundamentals |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.4.2.1 Food Safety Fundamentals | The site shall ensure the practices described in the relevant subsequent modules of this Code are applied or exempted according to 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. |  |  |
| **2.4.2 Food Safety Fundamentals Summary** |
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| 2.4.3 Food Safety Plan |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.4.3.1 Food Safety Plan | The site shall have a HACCP-based reference Food Safety plan, developed by a responsible authority to meet regulatory and customer requirements or has developed their own plan following the Codex Alimentarius model.The site’s written food safety plan shall include at minimum: i.          An established a multi-disciplinary food safety team;ii.          A description of the product and product category of all ingredients (including raw materials, packaging, finished product) and the required conditions for storage and distribution; iii.          A description of the intended use of the product and identify the target consumer;iv.          A description of all of the steps taken to produce the product in a process flow diagram; and v.          A comparison of the process flow diagram with the production process to ensure it is accurate. |  |  |
| 2.4.3.2 Food Safety Plan | The site shall perform a hazard analysis of their food manufacturing process as a minimum step in order to determine if there are any hazards associated with the production of their food item. The site shall use the HACCP tool to accomplish this assessment. If hazards are identified within the manufacturing process, it is expected that the business will take appropriate action necessary to develop a HACCP Plan. The hazard analysis shall be conducted for each process step in the manufacturing of the food item. |  |  |
| 2.4.3.3 Food Safety Plan | If the hazard analysis indicates any significant hazards not minimized or eliminated by Good Manufacturing Practices (GMPs) that are present within the food manufacturing process, they shall be identified as Critical Control Points (CCPs). The site shall ensure the following for each CCP:i.          Critical Limits are established for each CCP;ii.          Monitoring procedures are established for each CCP;iii.          CCPs are effectively implemented; andiv.          Corrective actions are established for each CCP in the event critical limits are exceeded. |  |  |
| 2.4.3.4 Food Safety Plan | Verification procedures shall be established and effectively implemented. |  |  |
| 2.4.3.5 Food Safety Plan | Record keeping and documentation for all HACCP-related procedures shall be established and effectively implemented.  |  |  |
| 2.4.3.6 Food Safety Plan | The site shall have implemented specific control measures for all relevant steps not identified as CCPs. |  |  |
| **2.4.3 Food Safety Plan Summary** |
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| 2.4.4 Approved Supplier Program  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.4.4.1 Approved Supplier Program  | Raw materials, ingredients, packaging materials, and services that impact on finished product safety shall meet the agreed specification (refer to 2.3.2) and be supplied by an approved supplier. |  |  |
| 2.4.4.2 Approved Supplier Program  | Inspections and analyses shall conform to standard reference methods. |  |  |
| 2.4.4.3 Approved Supplier Program  | Records of inspections and analyses shall be maintained. |  |  |
| **2.4.4 Approved Supplier Program Summary** |
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| 2.4.5 Non-conforming Product or Equipment |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.4.5.1 Non-conforming Product or Equipment  | Non-conforming product, raw material, ingredient, work-in-progress, packaging or equipment shall be quarantined, handled, re-worked or disposed of in a manner that minimizes the risk of inadvertent use, improper use or risk to the integrity of finished product. |  |  |
| 2.4.5.2 Non-conforming Product or Equipment | Records of the handling and disposal of non-conforming product shall be maintained. |  |  |
| **2.4.5 Non-conforming Product or Equipment Summary** |
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| 2.4.6 Product Rework |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.4.6.1 Product Rework  | Rework (recycle or regroup) activities shall be controlled and traceability ensured. |  |  |
| **2.4.6 Product Rework Summary** |
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| 2.4.7 Product Release  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.4.7.1 Product Release  | The responsibility and methods for releasing products shall be documented and implemented. The methods applied shall ensure the product is released:i.        By authorized personnel; andii.        Once all inspections and analyses are successfully completed and documented to verify legislative and other established food safety controls have been met. |  |  |
| 2.4.7.2 Product Release  | Records of all product release shall be maintained. |  |  |
| **2.4.7 Product Release Summary** |
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| 2.4.8 Environmental Monitoring  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.4.8.1 Environmental Monitoring  | A risk-based environmental monitoring program shall be in place for all food manufacturing processes and consider the following:i.        Applicable pathogens or indicator organisms;ii.        Number and location of samples to be taken; andiii.        Frequency of sampling. |  |  |
| **2.4.8 Environmental Monitoring Summary** |
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| 2.5.1 Validation and Effectiveness |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.5.1.1 Validation and Effectiveness  | The methods, responsibility and criteria for ensuring the effectiveness of all applicable elements of the SQF program shall be documented and implemented. |  |  |
| **2.5.1.1 Validation and Effectiveness Summary** |
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| 2.5.2 Verification Activities  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.5.2.1 Verification Activities  | A verification schedule outlining the verification activities, their frequency of completion and the person responsible for each activity shall be prepared and implemented. |  |  |
| 2.5.2.2 Verification Activities  | Monitoring activities associated with Good Manufacturing Practices (GMP), and other food safety controls, and the legality of certified products, shall be documented and implemented. |  |  |
| **2.5.2 Verification Activities Summary** |
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| 2.5.3 Corrective and Preventative Action |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.5.3.1 Corrective and Preventative Action  | Corrective action shall be undertaken to resolve non-compliance. |  |  |
| 2.5.3.2 Corrective and Preventative Action  | Records of corrective action shall be maintained. |  |  |
| **2.5.3 Corrective and Preventative Action Summary** |
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| 2.5.4 Product Sampling, Inspection and Analysis |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.5.4.1 Product Sampling, Inspection and Analysis  | The methods, responsibility and criteria for sampling, inspecting and/or analyzing raw materials, finished product and work in progress shall be documented and implemented. The methods applied shall ensure:i.        Inspections and analyses are completed at regular intervals as required and to agreed specification and legal requirements;ii.        Inspections are conducted to ensure raw materials, work in process and finished products comply with the relevant specification, regulatory requirements and are true to label; andiii.        All analyses are conducted to nationally recognized methods or alternative methods which are validated as equivalent to the nationally recognized methods |  |  |
| 2.5.4.2 Product Sampling, Inspection and Analysis | Where external laboratories are utilized to conduct input or product analysis, the laboratories shall be accredited to ISO 17025 or an equivalent national standard. |  |  |
| **2.5.4 Product Sampling, Inspection and Analysis Summary** |
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| 2.5.5 Internal Audits  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.5.5.1 Internal Audits  | The methods and responsibility for scheduling and conducting internal audits to verify the effectiveness of the SQF System shall be documented and implemented. Internal audits shall be conducted at least annually. The methods applied shall ensure:iv.        Correction and corrective action of deficiencies identified during the internal audits are undertaken; andv.        Records of internal audits and any corrections and corrective action taken as a result of internal audits shall be maintained. |  |  |
| **2.5.5 Internal Audits Summary** |
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| 2.6.1 Product Identification |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.6.1.1 Product Identification  | A product identification system shall be implemented to ensure:i.        Product is clearly identified during all stages of receipt, production, storage and dispatch;ii.        Finished product is labeled to the customer specification and/or regulatory requirements; andiii.        The size of the site and the design of product, types of commodities and/or people flow. |  |  |
| 2.6.1.2 Product Identification  | Product Identification records are maintained. |  |  |
| **2.6.1 Product Identification Summary** |
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| 2.6.2 Product Trace |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.6.2.1 Product Trace  | A product trace system shall be implemented to ensure:i.        Finished product is traceable to the customer (one up) and provides traceability through the process to the manufacturing supplier and date of receipt of raw materials, food contact packaging and materials and other inputs (one back);ii.        Traceability is maintained where product is reworked;iii.        The effectiveness of the product trace system shall be reviewed at least annually; andiv.        Records of raw and packaging material receipt and use, and finished product dispatch and destination shall be maintained. |  |  |
| **2.6.2 Product Trace Summary** |
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| 2.6.3 Product Withdrawal and Recall |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.6.3.1 Product Withdrawal and Recall | The site shall outline the methods and responsibility for notifying their customers and other essential bodies where circumstances arise that require product to be withdrawn or recalled from distribution. |  |  |
| 2.6.3.2 Product Withdrawal and Recall | SQFI and the certification body shall be notified in writing within 24 hours upon identification of a food safety event that requires public notification. SQFI shall be notified at foodsafetycrisis@sqfi.com. |  |  |
| 2.6.3.3 Product Withdrawal and Recall  | Records of all product withdrawals, recalls and mock recalls shall be maintained. |  |  |
| **2.6.3 Product Withdrawal and Recall Summary** |
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| 2.7.1 Food Defense Plan |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.7.1.1 Food Defense  | The methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist-like incident shall be documented, implemented and maintained. |  |  |
| **2.7.1 Food Defense Plan Summary** |
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| 2.7.2 Food Fraud |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| Not applicable for SQF Fundamentals for Manufacturing - Intermediate |
| **2.7.2 Food Fraud Summary** |
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| 2.8.1 Allergen Management for Food Manufacturing  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.8.1.1 Allergen Management for Food Manufacturing  | The responsibility and methods used to control allergens and to prevent sources of allergens from contaminating product shall be documented and implemented. The allergen management program shall include:      i.        A risk analysis of those raw materials, ingredients and processing aids, including food grade lubricants, that contain food allergens;       ii.        An assessment of workplace-related food allergens from locker rooms, vending machines, lunch rooms, visitors;      iii.        A register of allergens which is applicable in the country of manufacture and the country(ies) of destination if known;      iv.        A list of allergens which is accessible by relevant staff;       v.        The hazards associated with allergens and their control incorporated into the food safety plan; and      vi.        A management plan for control of identified allergens. |  |  |
| 2.8.1.2 Allergen Management for Food Manufacturing  | Instructions shall be provided to all relevant staff involved in the receipt or handling of raw materials, work-in progress, rework or finished product on how to identify, handle, store and segregate raw materials containing allergens. |  |  |
| 2.8.1.3 Allergen Management for Food Manufacturing  | Provision shall be made to clearly identify and segregate foods that contain allergens. Segregation procedures shall be implemented and continually monitored. |  |  |
| 2.8.1.4 Allergen Management for Food Manufacturing  | Where allergenic material may be intentionally or unintentionally present, cleaning and sanitation of product contact surfaces between line changeovers shall be effective, appropriate to the risk and legal requirements, and sufficient to remove all potential target allergens from product contact surfaces, including aerosols as appropriate, to prevent cross contact. Separate handling and production equipment shall be provided where satisfactory line hygiene and clean-up or segregation is not possible. |  |  |
| 2.8.1.5 Allergen Management for Food Manufacturing  | Based on risk assessment, procedures for validation and verification of the effectiveness of the cleaning and sanitation of areas and equipment in which allergens are used shall be effectively implemented. |  |  |
| 2.8.1.6 Allergen Management for Food Manufacturing  | Where allergenic material may be present, product changeover procedures shall be documented and implemented to eliminate the risk of cross-contact. |  |  |
| 2.8.1.7 Allergen Management for Food Manufacturing  | The product identification system shall make provision for clear identification and labeling in accordance with regulatory requirements of those products produced on production lines and equipment on which foods containing allergens were manufactured. |  |  |
| 2.8.1.8 Allergen Management for Food Manufacturing  | The site shall document and implement methods to control the accuracy of finished product labels (or consumer information where applicable) and assure work in progress and finished product is true to label with regard to allergens. Such measures may include label approvals at receipt, label reconciliations during production, destruction of obsolete labels and verification of labels on finished product as appropriate and product change over procedures. |  |  |
| **2.8.1 Allergen Management for Food Manufacturing Summary** |
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| 2.9.1 Training Requirements |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.9.1.1 Training Requirements | Appropriate training shall be provided for personnel carrying out the tasks essential to the effective implementation of the SQF System and the maintenance of food safety and regulatory requirements. |  |  |
| **2.9.1 Training Requirements Summary** |
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| 2.9.2 Training Program |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.9.2.1 Training Program  | An employee training program shall be documented and implemented. It shall outline the necessary skills for specific duties and the training methods to be applied for those staff carrying out tasks associated with:      i.        Developing and applying Good Manufacturing Practices; and     ii.        Applying food regulatory requirements. |  |  |
| **2.9.2 Training Program Summary** |
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| 2.9.3 Instructions |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.9.3.1 Instructions | Instructions shall be available in the languages relevant to the staff, explaining how all tasks critical to meeting regulatory compliance, the maintenance of food safety and process efficiency are to be performed. |  |  |
| **2.9.3 Instructions Summary** |
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| 2.9.4 HACCP Training Requirement |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.9.4.1 HACCP Training Requirement | The person(s) involved in developing and maintaining food safety plans shall be trained in the HACCP method. |  |  |
| **2.9.4 HACCP Training Requirement Summary** |
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| 2.9.5 Language |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.9.5.1 Language | Training materials and the delivery of training shall be provided in language understood by staff. |  |  |
| **2.9.5 Language Summary** |
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| 2.9.6 Refresher Training |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.9.6.1 Refresher Training | The training program shall include provision for identifying and implementing the refresher training needs of the organization. |  |  |
| **2.9.6 Refresher Training Summary** |
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| 2.9.7 Training Skills Register |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 2.9.7.1 Training Skills Register  | A training skills register describing who has been trained in relevant skills shall be maintained. |  |  |
| **2.9.7 Training Skills Register Summary** |
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| 11.1.1 Premises Location and Approval |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.1.1.1 Premises Location and Approval | The location of the premises shall be such that adjacent and adjoining buildings, operations and land use do not interfere with safe and hygienic operations. |  |  |
| 11.1.1.2 Premises Location and Approval | The construction and ongoing operation of the premises on the site shall be approved by the relevant authority. |  |  |
| **11.1.1 Premises Location and Approval Summary** |
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| 11.2.1 Materials and Surfaces |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.1.1 Materials and Surfaces | Product contact surfaces and those surfaces not in direct contact with food in food handling areas, raw material storage, packaging material storage, and cold storage areas shall be constructed of materials that will not contribute a food safety risk. |  |  |
| **11.2.1 Materials and Surfaces Summary** |
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| 11.2.2 Floors, Drains and Waste Traps |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.2.1 Floors, Drains and Waste Traps | Floors shall be constructed of smooth, dense impact resistant material that can be effectively graded, drained, impervious to liquid and easily cleaned. |  |  |
| 11.2.2.2 Floors, Drains and Waste Traps | Drains and waste trap systems shall be constructed and located so they can be easily cleaned and not present a hazard. |  |  |
| **11.2.2 Floors, Drains and Waste Traps Summary** |
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| 11.2.3 Walls, Partitions, Floors and Ceilings |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.3.1 Walls, Partitions, Floors and Ceilings | Walls, partitions, ceilings and doors shall be of durable construction. Internal surfaces shall be smooth and impervious with a light-colored finish, and shall be kept clean (refer to 11.2.13.1). |  |  |
| **11.2.3 Walls, Partitions, Doors and Ceilings Summary** |
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| 11.2.4 Stairs, Catwalks and Platforms |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.4.1 Stairs, Catwalks and Platforms | Stairs, catwalks and platforms in food processing and handling areas shall be designed and constructed so as not to present a product contamination risk, and with no open grates directly above exposed food product surfaces. They shall be kept clean (refer to 11.2.13.1). |  |  |
| **11.2.4 Stairs, Catwalks and Platforms Summary** |
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| 11.2.5 Lighting and Light Fittings |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.5.1 Lighting and Light Fittings | Lighting in food processing and handling areas and at inspection stations shall be of appropriate intensity to enable the staff to carry out their tasks efficiently and effectively. |  |  |
| 11.2.5.2 Lighting and Light Fittings | Light fittings in processing areas, inspection stations, 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, manufactured from cleanable materials and addressed in the cleaning and sanitation program. |  |  |
| 11.2.5.3 Lighting and Light Fittings | Light fittings in warehouses and other areas where the product is protected shall be designed such as to prevent breakage and product contamination. |  |  |
| **11.2.5 Lighting and Light Fittings Summary** |
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| 11.2.6 Inspection/Quality Control Area |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.6.1 Inspection/ Quality Control Area | A suitable area shall be provided for the inspection of the product if required. |  |  |
| **11.2.6 Inspection/Quality Control Area Summary** |
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| 11.2.7 Dust, Insect and Pest Proofing |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.7.1 Dust, Insect and Pest Proofing | All external windows, ventilation openings, doors and other openings shall be effectively sealed when closed and proofed against dust, vermin and other pests. |  |  |
| 11.2.7.2 Dust, Insect and Pest Proofing | External personnel access doors shall be provided. They shall be effectively insect-proofed and fitted with a self-closing device and proper seals to protect against ingress of dust, vermin and other pests. |  |  |
| 11.2.7.3 Dust, Insect and Pest Proofing | External doors, including overhead dock doors in food handling areas used for product, pedestrian or truck access shall be insect-proofed by at least one or a combination of the following methods:i.        A self-closing device;ii.        An effective air curtain;iii.        An insect-proof screen;iv.        An insect-proof annex; andv.        Adequate sealing around trucks in docking areas. |  |  |
| 11.2.7.4 Dust, Insect and Pest Proofing | 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 processing equipment. Poison rodenticide bait shall not be used inside ingredient or product storage areas or processing areas. |  |  |
| **11.2.7 Dust, Insect and Pest Proofing Summary** |
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| 11.2.8 Ventilation |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.8.1 Ventilation | Adequate ventilation shall be provided in enclosed processing and food handling areas. |  |  |
| 11.2.8.2 Ventilation | All ventilation equipment and devices in product storage and handling areas shall be adequately cleaned as per 11.2.12, to prevent unsanitary conditions. |  |  |
| 11.2.8.3 Ventilation | Extractor fans and canopies shall be provided in areas where cooking operations are carried out or a large amount of steam is generated and 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 the cooker(s);ii.        Fans and exhaust vents shall be insect-proofed and located so as not to pose a contamination risk; andiii.        Where appropriate, positive air-pressure system shall be installed to prevent airborne contamination. |  |  |
| **11.2.8 Ventilation Summary** |
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| 11.2.9 Equipment, Utensils and Protective Clothing  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.9.1 Equipment, Utensils and Protective Clothing  | Equipment and utensils shall be designed, constructed, installed, operated and maintained to meet any applicable regulatory requirements and not to pose a contamination threat to products. |  |  |
| 11.2.9.2 Equipment, Utensils and Protective Clothing | Benches, tables, conveyors, mixers, mincers, graders and other mechanical processing equipment shall be hygienically designed and located for appropriate cleaning. Equipment surfaces shall be smooth, impervious and free from cracks or crevices. |  |  |
| **11.2.9 Equipment, Utensils and Protective Clothing Summary** |
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|  11.2.10 Premises and Equipment Maintenance  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.10.1 Premises and Equipment Maintenance  | The methods and responsibility for the maintenance and repair of plant, equipment and buildings shall be documented, planned and implemented in a manner that minimizes the risk of product, packaging or equipment contamination. |  |  |
| 11.2.10.2 Premises and Equipment Maintenance | Routine maintenance of plant and equipment in any food processing, handling or storage area shall be performed according to a maintenance-control schedule and recorded. The maintenance schedule shall be prepared to cover building, equipment and other areas of the premises critical to the maintenance of product safety and quality. |  |  |
| 11.2.10.3 Premises and Equipment Maintenance | Failures of plant and equipment in any food processing, handling or storage area shall be documented, reviewed and their repair incorporated into the maintenance control schedule. |  |  |
| 11.2.10.4 Premises and Equipment Maintenance | Maintenance staff and contractors shall comply with the site’s personnel and process hygiene requirements (refer to 11.3.1, 11.3.2, 11.3.3, 11.3.4). |  |  |
| 11.2.10.5 Premises and Equipment Maintenance | All maintenance and other engineering contractors required to work on site shall be trained in the site's food safety and hygiene procedures, or shall be escorted at all times, until their work is completed. |  |  |
| 11.2.10.6 Premises and Equipment Maintenance | The maintenance supervisor and the site supervisor shall be informed 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 is to be conducted outside processing times. |  |  |
| 11.2.10.7 Premises and Equipment Maintenance | 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. |  |  |
| 11.2.10.8 Premises and Equipment Maintenance | Maintenance staff and contractors shall remove all tools and debris from any maintenance activity once it has been completed and inform the area supervisor and maintenance supervisor so appropriate hygiene and sanitation can be completed and a pre-operational inspection conducted prior to the commencement of site operations. |  |  |
| 11.2.10.9 Premises and Equipment Maintenance | Equipment located over product or product conveyors shall be lubricated with food grade lubricants and their use controlled to minimize the contamination of the product. |  |  |
| 11.2.10.10 Premises and Equipment Maintenance | Paint used in a food handling or contact zone shall be suitable for use and in good condition and shall not be used on any product contact surface. |  |  |
| **11.2.10 Premises and Equipment Maintenance Summary** |
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|  11.2.11 Calibration |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.11.1 Calibration | The methods and responsibility for the calibration and re-calibration of measuring, test and inspection equipment used for monitoring activities critical to food safety and regulatory requirements shall be documented and implemented. |  |  |
| 11.2.11.2 Calibration | Procedures shall be documented and implemented to address the disposition of potentially affected products should measuring, test and inspection equipment be found to be out of calibration state. |  |  |
| 11.2.11.3 Calibration  | Calibrated measuring, test and inspected equipment shall be protected from damage and unauthorized adjustment. |  |  |
| 11.2.11.4 Calibration | Equipment shall be calibrated against national or international reference standards and methods or to accuracy appropriate to its use. In cases where standards are not available, the site shall provide evidence to support the calibration reference method applied. |  |  |
| 11.2.11.5 Calibration  | Calibration shall be performed according to regulatory requirements and/or to the equipment manufacturers recommended schedule. |  |  |
| 11.2.11.6 Calibration  | Calibration records shall be maintained. |  |  |
| **11.2.11 Calibration Summary** |
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| 11.2.12 Pest Prevention  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.12.1 Pest Prevention | The methods and responsibility for pest prevention shall be documented and effectively implemented. The premises, its surrounding areas, storage facilities, machinery and equipment shall be kept free of waste or accumulated debris so as not to attract pests and vermin. |  |  |
| 11.2.12.2 Pest Prevention | Identified pest activity shall not present a risk of contamination to food products, raw materials or packaging. |  |  |
| 11.2.12.3 Pest Prevention | The pest prevention program shall:i.        A record of pest sightings;ii.        The methods used to prevent pest problems;iii.        The pest elimination methods (e.g. rodent glue boards, bait stations and insect electrocutors);iv.        The frequency with which pest status is to be checked;v.        A site map the identification, location, number and type of bait stations set;vi.        The chemicals used (they are required to be approved by the relevant authority and their Safety Data Sheets (SDS) made available);vii.        The methods used to make staff aware of the bait control program and the measures to take when they come into contact with a bait station; andviii.        The requirements for staff awareness and training in the use of pest and vermin control chemicals and baits. |  |  |
| 11.2.12.4 Pest Prevention | Inspections for pest activity shall be undertaken on a regular basis by trained personnel and the appropriate action taken if pests are present. |  |  |
| **11.2.12 Pest Prevention Summary** |
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| 11.2.13 Cleaning and Sanitation |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.2.13.1 Cleaning and Sanitation | The methods and responsibility for the cleaning of the food handling and processing equipment and environment, storage areas, staff amenities and toilet facilities shall be documented and implemented. 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;v.        Methods used to confirm the correct concentrations of detergents and sanitizers, and vi.        The responsibility and methods used to verify the effectiveness of the cleaning and sanitation program. |  |  |
| 11.2.13.2 Cleaning and Sanitation | Provision shall be made for the effective cleaning of processing equipment, utensils and protective clothing. |  |  |
| 11.2.13.3 Cleaning and Sanitation | Suitably equipped areas shall be designated for cleaning product containers, knives, cutting boards and other utensils and for cleaning of protective clothing used by staff. These cleaning operations shall be controlled so as not to interfere with manufacturing operations, equipment or product. Racks and containers for storing cleaned utensils shall be provided as required. |  |  |
| 11.2.13.4 Cleaning and Sanitation | Pre-operational inspections shall be conducted following cleaning and sanitation operations to ensure food processing areas, product contact surfaces, equipment, staff amenities and sanitary facilities and other essential areas are clean before the commencement of production. Pre-operational inspections shall be conducted by qualified personnel. |  |  |
| **11.2.13 Cleaning and Sanitation Summary** |
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| 11.3.1 Personnel |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.3.1.1 Personnel | Personnel who are known to have been known to be carriers, or are carriers, of infectious diseases that present a health risk to others through the packing or storage processes shall not engage in the processing or packing of food, or enter storage areas where food is exposed. |  |  |
| 11.3.1.2 Personnel | The site shall have measures in place to prevent contact of materials, ingredients, food packaging, food, or food contact surfaces from any bodily fluids from open wounds, coughing, sneezing, spitting, or any other means. |  |  |
| 11.3.1.3 Personnel | Personnel with exposed cuts, sores or lesions shall not be engaged in handling or processing products or handling primary packaging materials or food contact surfaces. Minor cuts or abrasions on exposed parts of the body shall be covered with a colored bandage containing a metal strip or an alternative suitable waterproof and colored dressing. |  |  |
| 11.3.1.4 Personnel | Smoking, chewing, eating, or spitting is not permitted in areas where product is produced, stored, or otherwise exposed. Drinking of water is permissible only under conditions that prevent contamination or other food safety risks from occurring. Drinking water containers in production and storage areas shall be stored in clear, covered containers, and in designated areas away from raw materials, packaging or equipment. |  |  |
| **11.3.1 Personnel Summary** |
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| 11.3.2 Hand Washing |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.3.2.1 Hand Washing | Hand wash basins shall be provided adjacent to all personnel access points and in accessible locations throughout food handling and processing areas as required. |  |  |
| 11.3.2.2 Hand Washing | Hand wash basins 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.        Liquid soap contained within a fixed dispenser;iii.        Paper towels in a hands free cleanable dispenser; andiv.        A means of containing used paper towels. |  |  |
| 11.3.2.3 Hand Washing | The following additional facilities shall be provided in high risk areas:1. Hands free operated taps; and
2. Hand sanitizers.
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| 11.3.2.4 Hand Washing | A sign instructing people to wash their hands, and in appropriate languages, shall be provided in a prominent position. |  |  |
| **11.3.2 Hand Washing Summary** |
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| 11.3.3 Clothing |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.3.3.1 Clothing | The site shall ensure that the clothing and hair policy protects materials, food and food contact surfaces from unintentional microbiological or physical contamination. |  |  |
| 11.3.3.2 Clothing | Clothing worn by staff engaged in handling food shall be maintained, stored, laundered and worn so as not to present a contamination risk to products. |  |  |
| 11.3.3.3 Clothing | Clothing including shoes, shall be clean at the commencement of each shift and maintained in a serviceable condition. |  |  |
| 11.3.3.4 Clothing | Excessively soiled uniforms shall be changed or replaced where they present a product contamination risk. |  |  |
| 11.3.3.5 Clothing | Disposable gloves and aprons shall be changed after each break, upon re-entry into the processing area and when damaged. Non-disposable aprons and gloves shall be cleaned and sanitized as required and when not in use stored on racks provided in the processing area or designated sealed containers in personnel lockers and not on packaging, ingredients, product or equipment. |  |  |
| **11.3.3 Clothing Summary** |
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| 11.3.4 Jewelry and Personal Effects |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.3.4.1 Jewelry and Personal Effects | Jewelry and other loose objects shall not be worn or taken into a food handling or processing operation or any area where food is exposed. The wearing of plain bands with no stones and prescribed medical alert bracelets can be permitted, however the site will need to consider their customer requirements and the applicable food legislation. |  |  |
| **11.3.4 Jewelry and Personal Effects Summary** |
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| 11.3.5 Visitors |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.3.5.1 Visitors | All visitors, including management and maintenance staff, shall wear suitable clothing and footwear when entering any food processing or handling area. |  |  |
| 11.3.5.2 Visitors | All visitors shall be required to remove jewelry and other loose objects. |  |  |
| 11.3.5.3 Visitors | Visitors exhibiting visible signs of illness shall be prevented from entering areas in which food is handled or processed. |  |  |
| 11.3.5.4 Visitors | Visitors shall enter and exit food handling areas through the proper staff entrance points and comply with all hand washing and personnel practice requirements. |  |  |
| 11.3.5.5 Visitors | All visitors shall be trained in the site's food safety and hygiene procedures before entering any food processing or handling areas, or shall be escorted at all times in food processing, handling and storage areas. |  |  |
| **11.3.5 Visitors Summary** |
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| 11.3.6 Staff Amenities |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| Not applicable for SQF Fundamentals for Manufacturing - Intermediate |
| **11.3.6 Staff Amenities Summary** |
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| 11.3.7 Change Rooms |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.3.7.1 Change Rooms | Change room facilities shall be provided to enable staff and visitors to change into and out of protective clothing as required. |  |  |
| **11.3.7 Change Rooms Summary** |
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| 11.3.8 Laundry |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| Not applicable for SQF Fundamentals for Manufacturing – Intermediate |
| **11.3.8 Laundry Summary** |
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| 11.3.9 Sanitary Facilities |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.3.9.1 Sanitary Facilities | Toilet rooms shall be:i.        Designed and constructed so that they are accessible to staff and separate from any processing and food handling operations;ii.        Accessed from the processing area via an airlock vented to the exterior or through an adjoining room;iii.        Sufficient in number for the maximum number of staff; iv.        Constructed so that they can be easily cleaned and maintained;v.        Include an area inside or nearby, for storing protective clothing, outer garments and other items while using the facilities; andvi.        Kept clean and tidy. |  |  |
| 11.3.9.2 Sanitary Facilities | Sanitary drainage shall not be connected to any other drains within the premises and shall be directed to a septic tank or a sewerage system in accordance in regulations. |  |  |
| 11.3.9.3 Sanitary Facilities | Hand wash basins shall be provided immediately outside or inside the toilet room and designed as outlined in 11.3.2.2. |  |  |
| **11.3.9 Sanitary Facilities Summary** |
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| 11.3.10 Lunch Rooms |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.3.10.1 Lunch Rooms | Separate lunch room facilities shall be provided away from a food contact/handling zone. |  |  |
| **11.3.10 Lunch Rooms Summary** |
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| 11.4.1 Staff Engaged in Food Handling and Processing Operations |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.4.1.1 Staff Engaged in Food Handling and Processing Operations  | All personnel engaged in any food handling, preparation or processing operations 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 processing practices:i.        Personnel entry to processing areas shall be through the personnel access doors only;ii.        All doors are to be kept closed. Doors shall not be left open for extended periods when access for waste removal or receiving of product/ingredient/packaging is required;iii.        Packaging material, product, and ingredients shall be kept in appropriate containers as required and off the floor;iv.        Waste shall be contained in the bins identified for this purpose and removed from the processing area on a regular basis and not left to accumulate;v.        Staff shall not eat or taste any product being processed in the food handling/contact zone, except as noted in element 11.4.1.2;vi.        The wearing of false fingernails, false eyelashes, eyelash extensions, long nails or fingernail polish is not permitted when handling exposed food; and1. vii.        Hair restraints are used where product is exposed.
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| 11.4.1.2 Staff Engaged in Food Handling and Processing Operations  | In circumstances where it is necessary to undertake sensory evaluations in a food handling/contact zone the site shall implement proper controls and procedures to ensure: i.        Food safety is not compromised;ii.        Sensory evaluations are conducted by authorized personnel only;iii.        A high standard of personal hygiene is practiced by personnel conducting sensory evaluations;iv.        Sensory evaluations are conducted in areas equipped for the purpose; and v.        Equipment used for sensory evaluations is sanitized, maintained and stored separate from processing equipment. |  |  |
| 11.4.1.3 Staff Engaged in Food Handling and Processing Operations  | All wash down hoses shall be stored on hose racks after use and not left on the floor. |  |  |
| **11.4.1 Staff Engaged in Food Handling and Processing Operations Summary** |
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| 11.5.1 Water Supply |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.5.1.1 Water Supply | Adequate supplies of hot and cold potable water drawn from a known clean source shall be provided for use during processing operations, as an ingredient and for cleaning the premises and equipment. |  |  |
| 11.5.1.2 Water Supply | The delivery of water within the premises shall ensure potable water is not contaminated. |  |  |
| **11.5.1 Water Supply Summary** |
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| 11.5.2 Water Treatment  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.5.2.1 Water Treatment  | Water treatment methods, equipment and materials, if required, shall be designed, installed and operated to ensure water receives an effective treatment. |  |  |
| 11.5.2.2 Water Treatment  | Water treatment equipment shall be monitored regularly to ensure it remains serviceable. |  |  |
| 11.5.2.3 Water Treatment  | Treated water shall be regularly monitored to ensure it meets the indicators specified. |  |  |
| 11.5.2.4 Water Treatment  | Water used in as an ingredient in processing, or in cleaning and sanitizing equipment, shall be tested, and if required, treated to maintain potability (refer to 11.5.2.1). |  |  |
| **11.5.2 Water Treatment Summary**  |
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| 11.5.3 Ice Supply  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.5.3.1 Ice Supply  | Ice provided for use during processing operations or as a processing aid or an ingredient shall comply with 11.5.4.1. |  |  |
| 11.5.3.2 Ice Supply  | Ice rooms and receptacles shall be constructed of materials as outlined in elements 11.2.1, 11.2.2 and 11.2.3 and designed to minimize contamination of the ice during storage and distribution. |  |  |
| **11.5.3 Ice Supply Summary** |
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| 11.5.4 Monitoring Water Microbiology and Quality |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.5.4.1 Monitoring Water Microbiology and Quality | Water shall comply with local, national or internationally recognized potable water microbiological and quality standards as required when used fori.        washing, thawing and treating food;ii.        handwashing;iii.        to convey food;iv.        as an ingredient or food processing aid;v.        cleaning food contact surfaces and equipment;vi.        the manufacture of ice; orvii.        the manufacture of steam that will come into contact with food or used to heat water that will come in contact with food. |  |  |
| **11.5.4 Monitoring Water Microbiology and Quality Summary** |
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| 11.5.5 The Quality of Air and Other Gases  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.5.5.1 The Quality of Air and Other Gases | Compressed air or other gasses (e.g. nitrogen, carbon dioxide) that contacts food or food contact surfaces shall be clean and present no risk to food safety. |  |  |
| 11.5.5.2 The Quality of Air and Other Gases | Compressed air systems, and systems used to store or dispense other gasses used in the manufacturing process that come into contact with food or food contact surfaces shall be maintained and regularly monitored for quality and applicable food safety hazards. |  |  |
| **11.5.5 The Quality of Air and Other Gases Summary** |
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| 11.6.1 Storage and Handling of Goods  |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.6.1.1 Storage and Handling of Goods | The site shall document and implement an effective storage plan that allows for the safe, hygienic storage of raw materials (i.e. frozen, chilled, and ambient), ingredients, packaging materials, equipment, and chemicals. |  |  |
| 11.6.1.2 Storage and Handling of Goods | The responsibility and methods for ensuring effective stock rotation principles are applied shall be documented and implemented. |  |  |
| 11.6.1.3 Storage and Handling of Goods | Procedures shall be in place to ensure that all ingredients, materials, work-in-progress, rework, and finished product are utilized within their designated shelf-life. |  |  |
| 11.6.1.4 Storage and Handling of Goods | Equipment storage rooms shall be designed and constructed to allow for the hygienic and efficient storage of equipment and containers. |  |  |
| 11.6.1.5 Storage and Handling of Goods | Records shall be available to validate alternate or temporary control measures for the storage of raw materials, ingredients, packaging materials, equipment, chemicals, or finished products. |  |  |
| **11.6.1 Storage and Handling of Goods Summary** |
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| 11.6.2 Cold Storage, Freezing and Chilling of Foods |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.6.2.1 Cold Storage, Freezing and Chilling of Foods | Chillers, blast freezers and cold storage rooms shall be designed and constructed to allow for the hygienic and efficient refrigeration of food and easily accessible for inspection and cleaning. |  |  |
| 11.6.2.2 Cold Storage, Freezing and Chilling of Foods | Sufficient refrigeration shall be available to chill, freeze, store chilled or store frozen the maximum anticipated throughput of product with allowance for periodic cleaning of refrigerated areas. |  |  |
| 11.6.2.3 Cold Storage, Freezing and Chilling of Foods | Discharge from defrost and condensate lines shall be controlled and discharged to the drainage system. |  |  |
| 11.6.2.4 Cold Storage, Freezing and Chilling of Foods | Freezing, chilling and cold storage rooms shall be fitted with temperature monitoring equipment and located to monitor the warmest part of the room and be fitted with a temperature measurement device that is easily readable and accessible. |  |  |
| 11.6.2.5 Cold Storage, Freezing and Chilling of Foods | Loading and unloading docks shall be designed to protect the product during loading and unloading. |  |  |
| **11.6.2 Cold Storage, Freezing and Chilling of Foods Summary** |
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| 11.6.3 Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.6.3.1 Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods | Rooms used for the storage of product ingredients, packaging, and other dry goods shall be located away from wet areas and constructed to protect the product from contamination and deterioration. |  |  |
| 11.6.3.2 Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods | Racks provided for the storage of packaging shall be constructed of impervious materials and designed to enable cleaning of the floors and the storage room. Storage areas shall be constructed to prevent packaging from becoming a harborage for pests or vermin. |  |  |
| 11.6.3.3 Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods | Vehicles used in food contact, handling or processing zones or in cold storage rooms shall be designed and operated so as not to present a food safety hazard. |  |  |
| **11.6.3 Storage of Dry Ingredients, Packaging, and Shelf Stable Packaged Goods Summary** |
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| 11.6.4 Storage of Hazardous Chemicals and Toxic Substances |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.6.4.1 Storage of Hazardous Chemicals and Toxic Substances | 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 or transported. |  |  |
| **11.6.4 Storage of Hazardous Chemicals and Toxic Substances Summary** |
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| 11.6.5 Loading, Transport and Unloading Practices |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.6.5.1 Loading, Transport and Unloading Practices | The practices applied during loading, transport and unloading of food shall be documented, implemented and designed to maintain appropriate storage conditions and product integrity. Foods shall be loaded, transported and unloaded under conditions suitable to prevent cross contamination. |  |  |
| **11.6.5 Loading, Transport and Unloading Practices Summary** |
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| 11.6.6 Loading |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.6.6.1 Loading | Vehicles (e.g. trucks/vans/containers) used for transporting food shall be inspected prior to loading to ensure they are clean, in good repair, suitable for the purpose and free from odors or other conditions that may impact negatively on the product. |  |  |
| 11.6.6.2 Loading | Loading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity during loading and transport. |  |  |
| 11.6.6.3 Loading | Vehicles (e.g. trucks/vans/containers) shall be secured from tampering using a seal or other agreed upon, acceptable device or system. |  |  |
| **11.6.6 Loading Summary** |
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| 11.6.7 Transport |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.6.7.1 Transport | Refrigerated units shall maintain the food at required temperatures and the unit’s temperature settings shall be set, checked and recorded before loading and product temperatures recorded at regular intervals during loading as appropriate. |  |  |
| 11.6.7.2 Transport | The refrigeration unit shall be operational at all times and checks completed of the unit’s operation, the door seals and the storage temperature checked at regular intervals during transit. |  |  |
| **11.6.7 Transport Summary** |
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| 11.6.8 Unloading |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.6.8.1 Unloading | Prior to opening the doors, the refrigeration unit’s storage temperature settings and operating temperature shall be checked and recorded. Unloading shall be completed efficiently and product temperatures shall be recorded at the commencement of unloading and at regular intervals during unloading. |  |  |
| 11.6.8.2 Unloading | Unloading practices shall be designed to minimize unnecessary exposure of the product to conditions detrimental to maintaining the product and package integrity. |  |  |
| **11.6.8 Unloading Summary** |
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| 11.7.1 Process Flow |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.7.1.1 Process Flow | The process flow shall be designed to prevent cross contamination and organized so there is a continuous flow of product through the process. The flow of personnel shall be managed such that the potential for contamination is minimized. |  |  |
| **11.7.1 Process Flow Summary** |
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| 11.7.2 Receipt of Raw and Packaging Materials and Ingredients |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.7.2.1 Receipt of Raw and Packaging Materials and Ingredients | Dry ingredients and packaging shall be received and stored separately from frozen and chilled raw materials to ensure there is no cross contamination. Unprocessed raw materials shall be received and segregated to ensure there is no cross contamination. |  |  |
| **11.7.2 Receipt of Raw and Packaging Materials and Ingredients Summary** |
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| 11.7.3 Thawing of Food |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.7.3.1 Thawing of food | Thawing of food shall be undertaken in equipment and rooms appropriate for the purpose. |  |  |
| 11.7.3.2 Thawing of food | Equipment for water thawing shall be continuous flow to ensure the water exchange rate and temperature does not contribute to product deterioration or contamination. Water overflow shall be directed into the floor drainage system and not onto the floor. |  |  |
| 11.7.3.3 Thawing of Food | Air thawing facilities shall be designed to thaw food under controlled conditions at a rate and temperature that does not contribute to product deterioration or contamination. |  |  |
| 11.7.3.4 Thawing of Food | Provision is to be made for the containment and regular disposal of used cartons and packaging from thawed product so that there is no risk to the product. |  |  |
| **11.7.3 Thawing of Food Summary** |
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| 11.7.4 High Risk Processes |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.7.4.1 High Risk Processes | The processing of high risk food shall be conducted under controlled conditions such that sensitive areas in which high risk food has undergone a “kill” step, a “food safety intervention” or is subject to post process handling, are protected/segregated from other processes, raw materials or staff who handle raw materials to ensure cross contamination is minimized. |  |  |
| 11.7.4.2 High Risk Processes | Areas in which high risk processes are conducted shall only be serviced by staff dedicated to that function. |  |  |
| 11.7.4.3 High Risk Processes | Staff access points shall be located, designed and equipped to enable staff to don distinctive protective clothing and to practice a high standard of personal hygiene to prevent product contamination. |  |  |
| 11.7.4.4 High Risk Processes | Staff engaged in high risk areas shall change into clean clothing or temporary protective outerwear when entering high risk areas. |  |  |
| 11.7.4.5 High Risk Processes | Product transfer points shall be located and designed so as not to compromise high risk segregation and to minimize the risk of cross contamination. |  |  |
| **11.7.4 High Risk Processes Summary** |
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| 11.7.5 Control of Foreign Matter Contamination |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.7.5.1 Control of Foreign Matter Contamination | The responsibility and methods used to prevent foreign matter contamination of the product shall be documented, implemented and communicated to all staff. |  |  |
| 11.7.5.2 Control of Foreign Matter Contamination | Inspections shall be performed to ensure plant and equipment remains in good condition, equipment has not become detached or deteriorated and is free from potential contaminants. |  |  |
| 11.7.5.3 Control of Foreign Matter Contamination | All glass objects or similar material in food handling/contact zones shall be listed in a glass register including details of their location. |  |  |

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| 11.7.5.4 Control of Foreign Matter Contamination | Containers, equipment and other utensils made of glass, porcelain, ceramics, laboratory glassware or other like material (except where the product is contained in packaging made from these materials, or measurement instruments with glass dial covers or MIG thermometers required under regulation) shall not be permitted in food processing /contact zones. |  |  |
| 11.7.5.5 Control of Foreign Matter Contamination | Regular inspections of food handling/contact zones shall be conducted to ensure they are free of glass or other like material and to establish changes to the condition of the objects listed in the glass register. |  |  |
| 11.7.5.6 Control of Foreign Matter Contamination | Glass instrument dial covers on processing equipment and MIG thermometers shall be inspected at the start of each shift to confirm they have not been damaged. |  |  |
| 11.7.5.7 Control of Foreign Matter Contamination | Wooden pallets and other wooden utensils used in food handling/contact zones shall be dedicated for that purpose, clean, maintained in good order. Their condition shall be subject to regular inspection. |  |  |
| 11.7.5.8 Control of Foreign Matter Contamination | Loose metal objects on equipment, equipment covers and overhead structures shall be removed or tightly fixed so as not to present a hazard. |  |  |
| 11.7.5.9 Control of Foreign Matter Contamination | Knives and cutting instruments used in processing and packaging operations shall be controlled, and kept clean and well maintained. Snap-off blades shall not be used in manufacturing or storage areas. |  |  |
| **11.7.5 Control of Foreign Matter Contamination Summary** |
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| 11.7.6 Detection of Foreign Objects |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.7.6.1 Detection of Foreign Objects | The responsibility, methods and frequency for monitoring, maintaining, calibrating and using screens, sieves, filters or other technologies to remove or detect foreign matter shall be documented and implemented. |  |  |
| 11.7.6.2 Detection of Foreign Objects | Metal detectors or other physical contaminant detection technologies shall be routinely monitored, validated and verified for operational effectiveness. The equipment shall be designed to isolate defective product and indicate when it is rejected. |  |  |
| 11.7.6.3 Detection of Foreign Objects | Records shall be maintained of the inspection of foreign object detection devices and of any products rejected or removed by them. Records shall include any corrective actions resulting from the inspections. |  |  |
| **11.7.6 Detection of Foreign Objects Summary** |
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| 11.7.7 Managing Foreign Matter Contamination Incidents |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.7.7.1 Managing Foreign Matter Contamination Incidents | In all cases of foreign matter contamination the affected batch or item shall be isolated, inspected, reworked or disposed of. |  |  |
| 11.7.7.2 Managing Foreign Matter Contamination Incidents | In circumstances where glass or similar material breakage occurs, the affected area is to be isolated, cleaned and thoroughly inspected (including cleaning equipment and footwear) and cleared by a suitably responsible person prior to the commencement of operations. |  |  |
| **11.7.7 Managing Foreign Matter Contamination Incidents Summary** |
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| 11.8.1 Location |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.8.1.1 Location | On site laboratories conducting chemical and microbiological analysis that may pose a risk to product safety, shall be located separate from any food processing or handling activity and designed to limit access only to authorized personnel. |  |  |
| 11.8.1.2 Location | Provisions shall be made to isolate and contain all laboratory waste held on the premises and manage it separately from food waste. Laboratory waste water outlet shall as a minimum be down stream of drains that service food processing and handling areas. |  |  |
| 11.8.1.3 Location | Signage shall be displayed identifying the laboratory area as a restricted area accessible only by authorized personnel. |  |  |
| **11.8.1 Location Summary** |
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| 11.9.1 Dry and Liquid Waste Disposal |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.9.1.1 Dry and Liquid Waste Disposal | The responsibility and methods used to collect and handle dry, wet and liquid waste and store prior to removal from the premises shall be documented and implemented. |  |  |
| 11.9.1.2 Dry and Liquid Waste Disposal | Waste shall be removed on a regular basis and not build up in food handling or processing areas. Designated waste accumulation areas shall be maintained in a clean and tidy condition until external waste collection is undertaken. |  |  |
| **11.9.1 Dry and Liquid Waste Disposal Summary** |
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| 11.10.1 Grounds and Roadways |
| **Element** | **Description** | **Primary Response** | **Evidence** |
| 11.10.1.1 Grounds and Roadways | The grounds and area surrounding the premises shall be maintained to minimize dust and kept free of waste, accumulated debris or standing water so as not to attract pests and vermin. |  |  |
| 11.10.1.2 Grounds and Roadways | Paths, roadways and loading and unloading areas shall be maintained so as not to present a hazard to the food safety operation of the premises. |  |  |
| **11.10.1 Grounds and Roadways Summary** |
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