

MIND THE GAPS:

Taking The Leap To SQF Certification



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Agenda & Objectives

1

The SQF Path to Certification

2

Common Gaps

3

Closing the Gaps

4

Training / Employee Considerations

5

Available Resources

6

Q&A

#1

The SQF Path to Certification

10 Steps To SQF Certification

SQF Code Part A (A2)

STEP 1

Register on the SQFI Database

STEP 2

Designate an SQF Practitioner

STEP 3

Determine Scope of Certification

STEP 4

Document the SQF System

STEP 5

Implement the SQF System

10 Steps To SQF Certification

SQF Code Part A (A2)



#2

Common Gaps

Lessons To Learn – Most Common Non-Conformances

Clause	SQF Edition 9 Initial Certification Top 10 MAJOR Non-Conformances
2.5.4.1	Internal Audit Program
11.2.5.1	Cleaning and Sanitation Program
2.4.3.11	Food Safety Plan Critical Limits and Validation
2.4.3.12	Food Safety Plan CCP Monitoring
2.4.4.1	Product Sampling, Inspection and Analysis Program
2.6.1.1	Product Identification Program
2.7.2.1	Food Fraud Program and Vulnerability Assessment
2.6.2.1	Product Trace
11.2.1.1	Preventive Maintenance Program and Schedule
11.2.4.1	Pest Prevention Program

Lessons To Learn – Most Common Non-Conformances

Clause	SQF Edition 9 Initial Certification Top 10 MINOR Non-Conformances
2.7.1.4	Food Defense Plan Annual Review and Test
2.6.4.2	Crisis Management Plan Annual Review and Test
2.1.2.1	Management Review
2.4.3.6	Food Safety Plan Flow Diagrams
11.1.5.1	Dust, Insect and Pest Proofing – Windows and Doors
2.5.4.1	Internal Audits
11.1.7.2	Equipment and Utensils
2.7.1.2	Food Defense Plan
11.1.2.4	Walls, Ceiling and Doors Durable Construction and Condition
11.2.5.1	Cleaning and Sanitation Program

Start with Management Commitment & Food Safety Culture

Management Commitment

- Senior Leadership sponsorships
- Provide time and resources needed
- Designate an SQF Practitioner and Back Up
- Create well defined Food Safety Objectives
- Measure performance regularly
- Conduct effective Management Review meetings

Food Safety Culture

- Food Safety and Quality Policy Statement
- Documented training to raise food safety culture awareness
- Focus on employee commitment and behaviors
- Promote a positive food safety culture where employees are positively encouraged to report issues
- Track activities and actions

Have a Well Written & Validated Food Safety Plan / HACCP

Food Safety Plan / HACCP Documentation

- Based on CODEX HACCCP requirements with 5 Preliminary Steps and 7 Principles
- Compliant with regulatory requirements
- Product Description
- Flow Diagrams complete and verified
- Thorough Hazard Analysis
- CCP's and Preventive Controls identified as applicable
- Validated Critical Limits
- CCP / PC Monitoring, Corrective Actions, Verification and Record Keeping

Food Safety Plan / HACCP Plan Validation

- CCP / PC Critical Limit Validation with regulatory or scientific supporting documents
- Support documentation for CCP / PC identification and monitoring frequency
- Support documentation for hazards identified
- Food Safety Plan / HACCP system validation
- Annual reassessments and reviews completed
- USDA Plants – Internal Validations

Ensure Key FSQM System Components – Written Programs

System Elements (Key Highlights / Not All)

- Management Responsibility
- Complaints
- Document Control / Records
- Food Safety Plan
- Supplier Approval and Specifications
- Product Sampling, Inspection and Analysis
- Non-Conforming Product and Release
- Corrective and Preventive Action
- Product Identification and Trace
- Product Withdrawal and Recall
- Crisis Management Plan
- Food Defense and Food Fraud
- Allergen Management
- Training

Module 11 – Prerequisite Programs

- Equipment Purchasing and Commissioning
- Preventive Maintenance
- Calibration
- Pest Prevention
- Cleaning and Sanitation
- GMP's and Personnel
- Water, Ice and Air
- Receipt, Storage and Transport
- Foreign Material Control
- Waste Management

Assure Facility & Equipment Readiness

Building & Facility Infrastructure

- Floors
- Ceilings
- Walls
- Doors
- Windows
- Exterior

Equipment & Utensils

- Purchasing Specs and Commissioning
- Equipment condition
- Belts and conveyors
- Utensil condition
- Foreign material prevention
- Cleaning ability
- Spacing and accessibility

#3

Closing the Gaps

Key Components



Training

- HACCP Training / SQF Practitioner Training
- Management Commitment & SQF Awareness Training



Written Programs

- SQF Policy Manual Documentation
- Supporting Programs



Records

- Demonstrate the SQF System has been implemented
- 90 days records to prove successful implementation

Management Reviews

- Keep Senior Leadership involved
- Ask for resources needed for personnel, training and capital expenditures
- Define meaningful and measurable food safety objectives
- Track performance regularly
- Document Management Review Meetings
 - Inputs
 - Outputs
 - Action Plans
- Promote a positive food safety culture



Internal Audits

- Imperative to have a robust internal auditing program
- Encompass all parts of the SQF Code
- Detailed Plant Inspections for employee GMP's, product handling, processing and facility inspections for floors, walls, doors and ceiling
- Effective follow up system for findings and corrective action
- Well trained internal audit team members



Prerequisite Program Verification / Validation

- Consider all PRP's identified in the applicable modules
- Document the methods used to verify and validate each program
- Define the frequency of the verification and validations
- Be able to prove the verifications and validations have been completed



Records

- Train employees on importance of record keeping
- Train employees on proper record keeping procedures
- Assure records are complete, accurate and timely
- Assure integrity of the information
- Consider digital record keeping systems



CAPA & RCA

- Identify and correct problems internally before noted by 3rd Parties
- Eliminate fire fighting of the same old problems over and over
- RCA is tied to many other clauses
- Effective use of RCA tools
 - 5 Why's, Ishikawa Fish Bone Diagram, 8D Method
- Robust CAPA processes to truly implement the right corrective and preventive measures

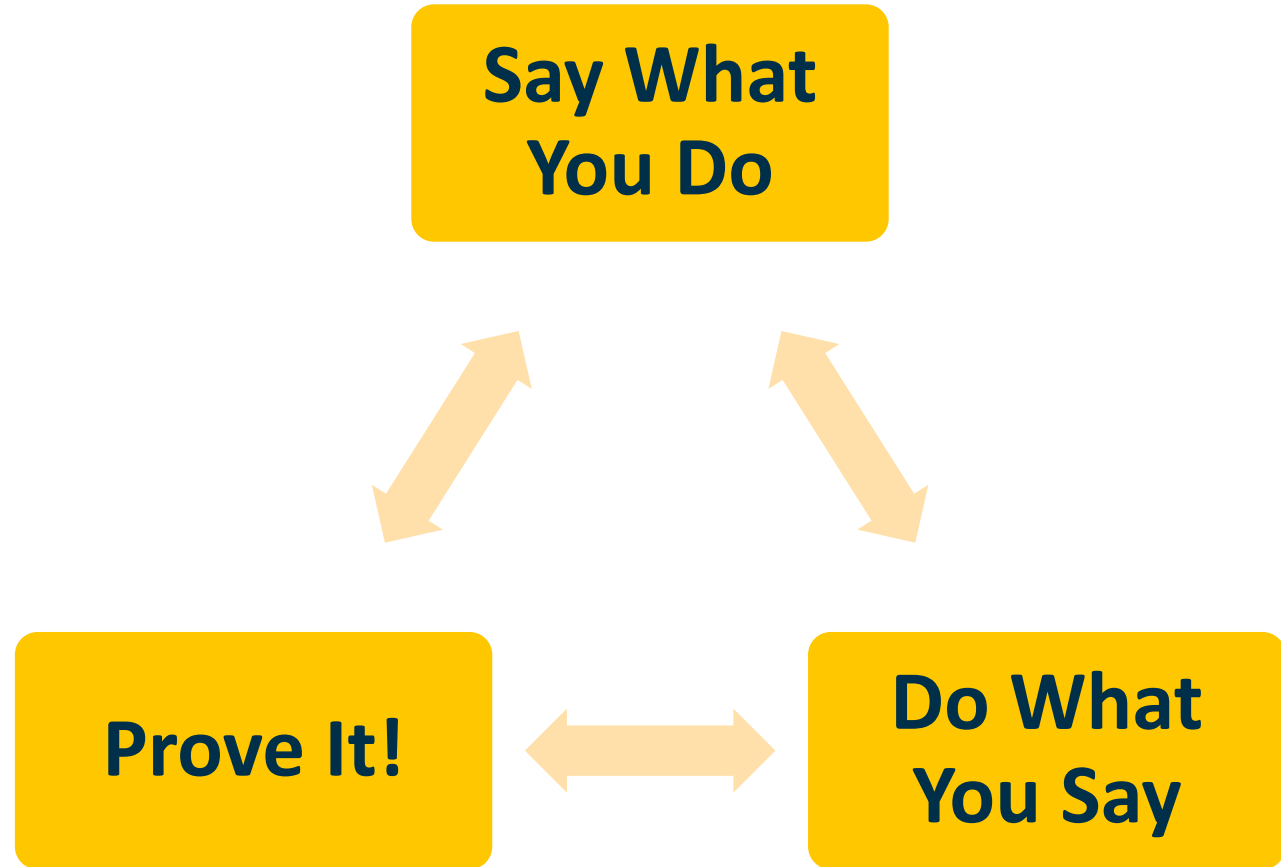


Sustaining the SQF System

- Define the activities and required frequencies
- Document a schedule similar to a Master Sanitation Schedule
- Assure tasks are performed and documented
- Keep the system on track!



The SQF Mantra



The **Alchemy Consulting** Approach



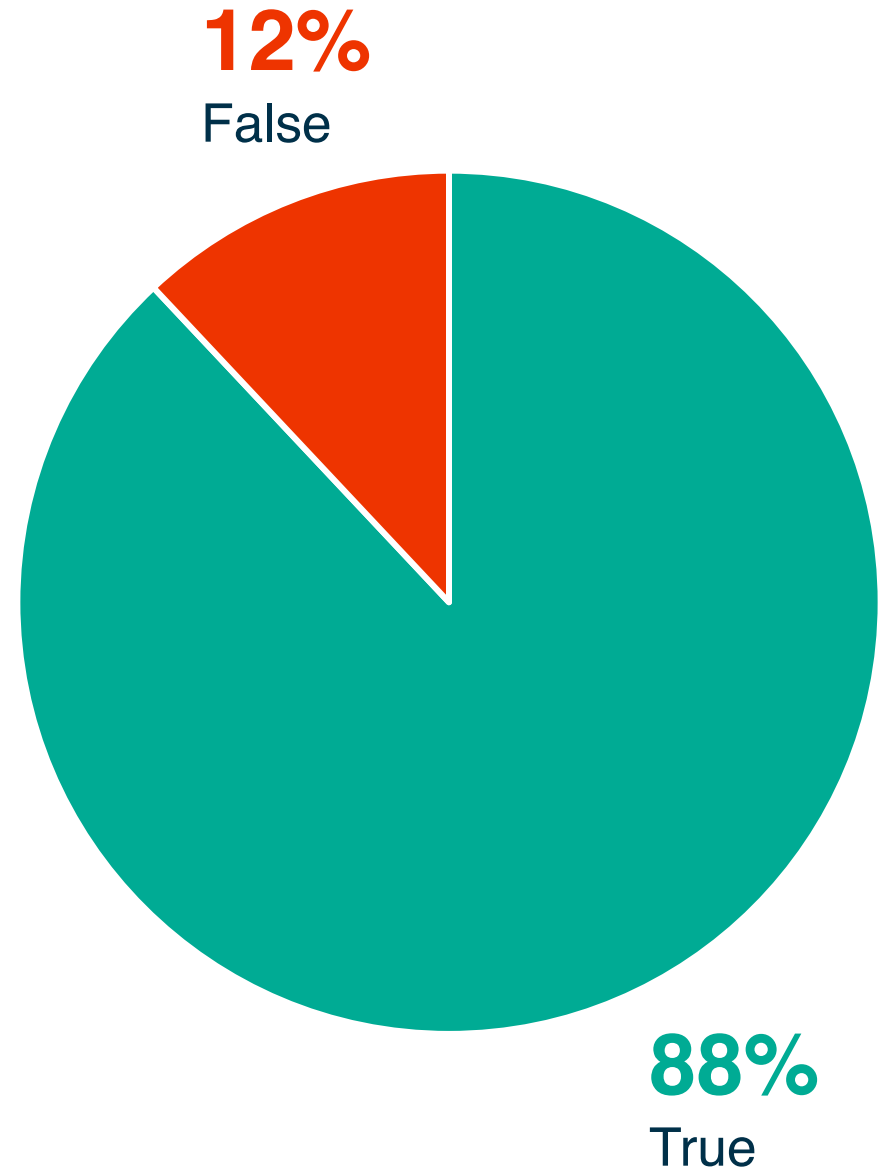
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Training & Employee Considerations



Good News: Food Safety Training

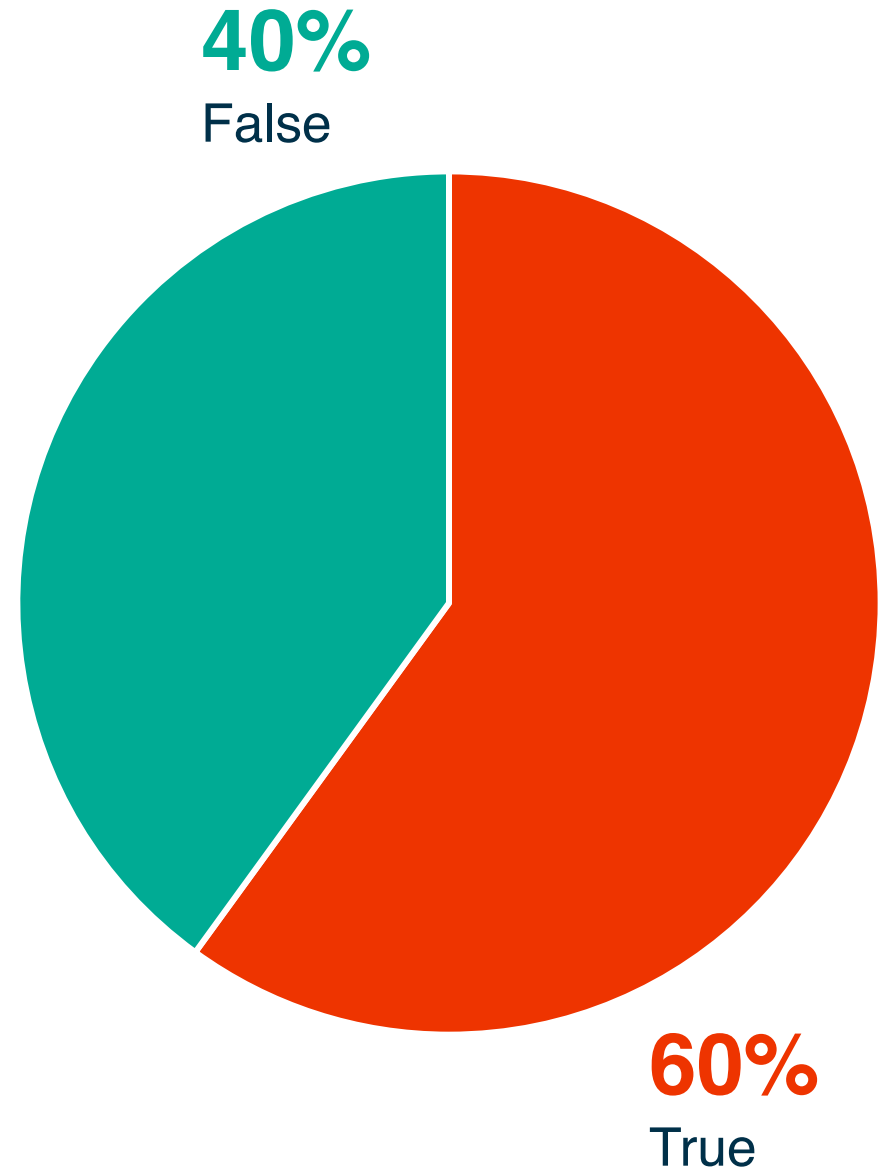
“We are able to provide the appropriate food safety training needed to drive appropriate, consistent food safety behaviors.”





Bad News: Food Safety Training

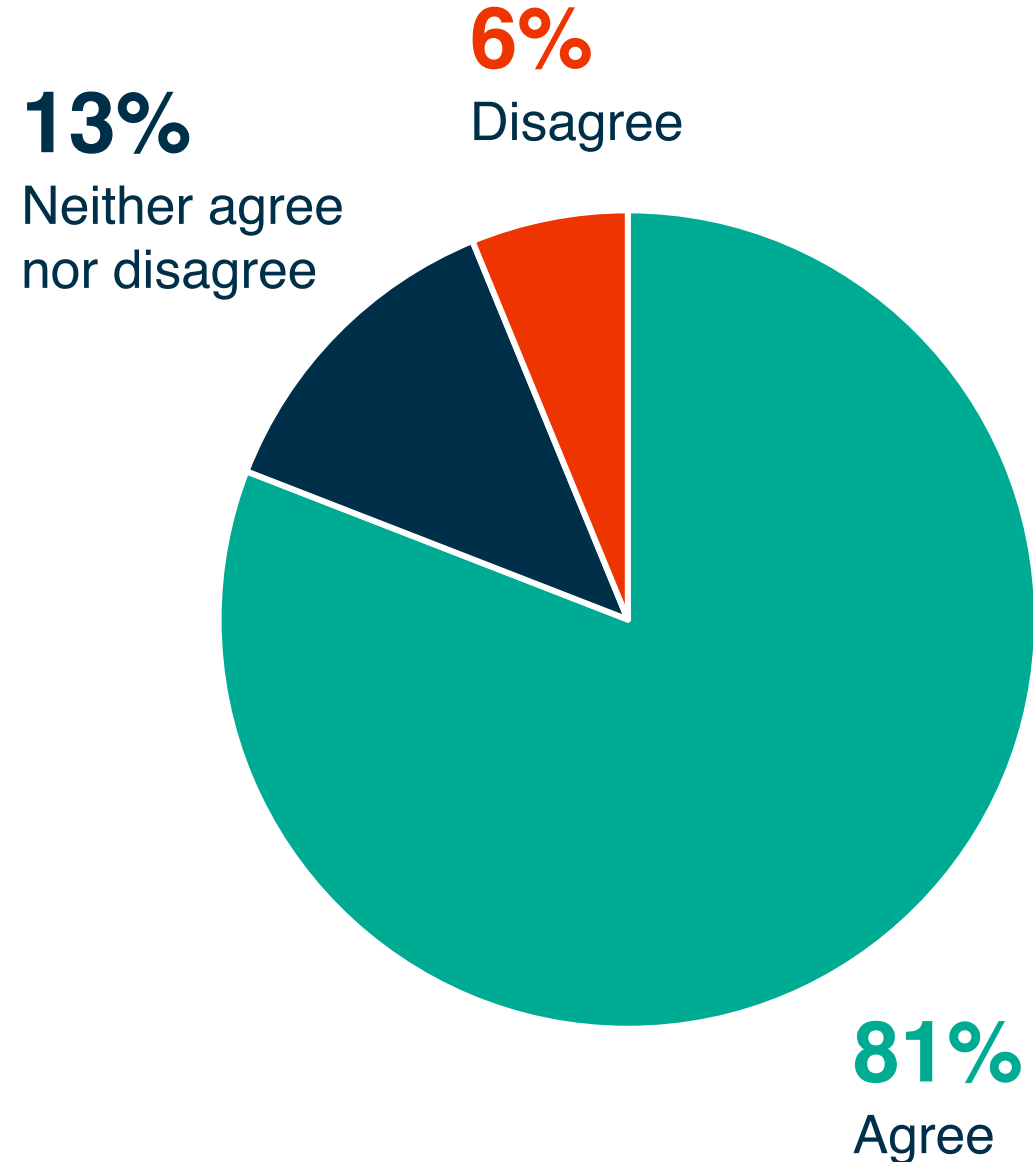
"Despite our efforts, we still have employees **not following** our food safety program on the floor."





Good News: Food Safety Culture

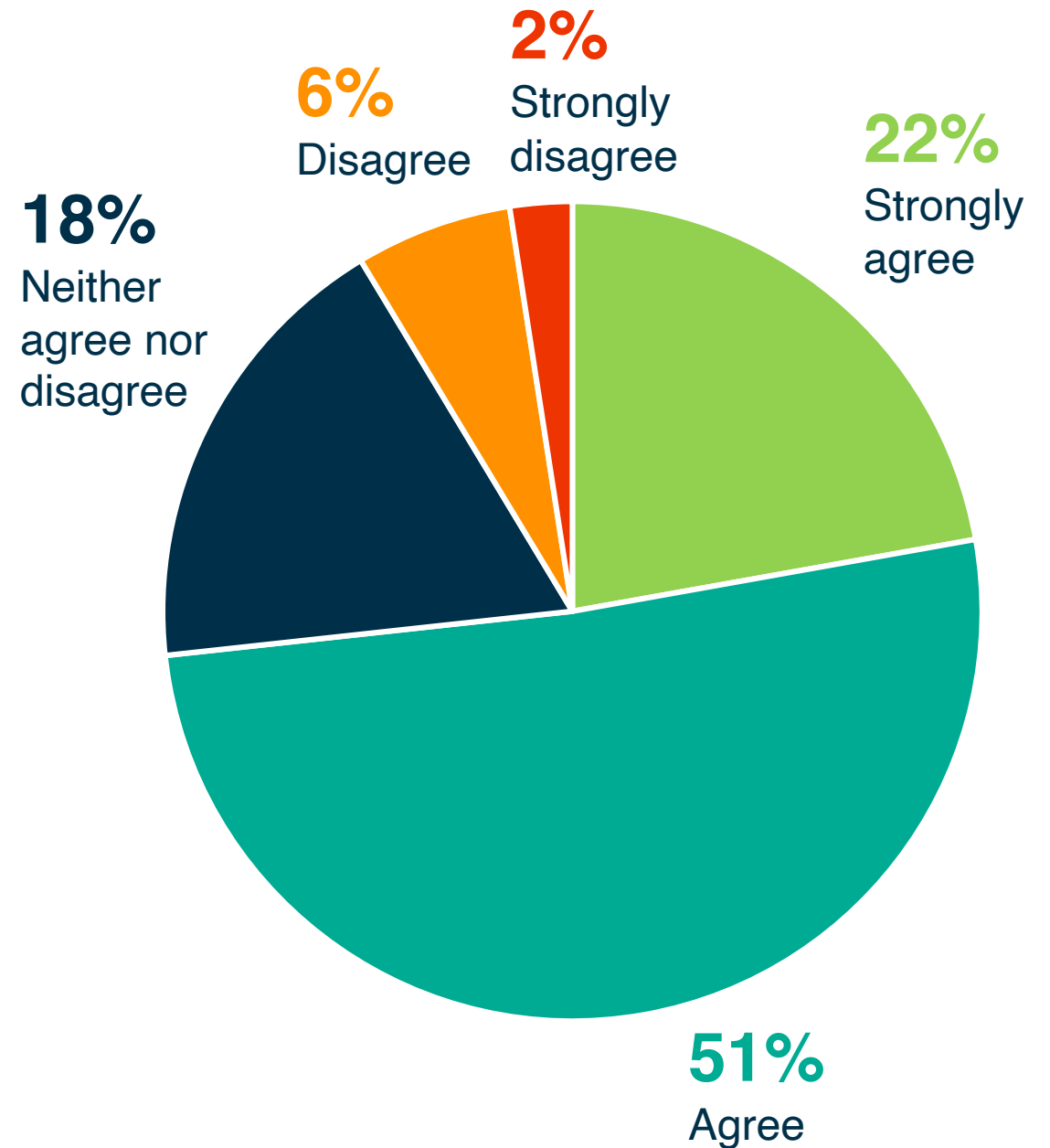
"We understand what is meant by 'food safety culture' and what it takes to build/sustain a strong food safety culture."





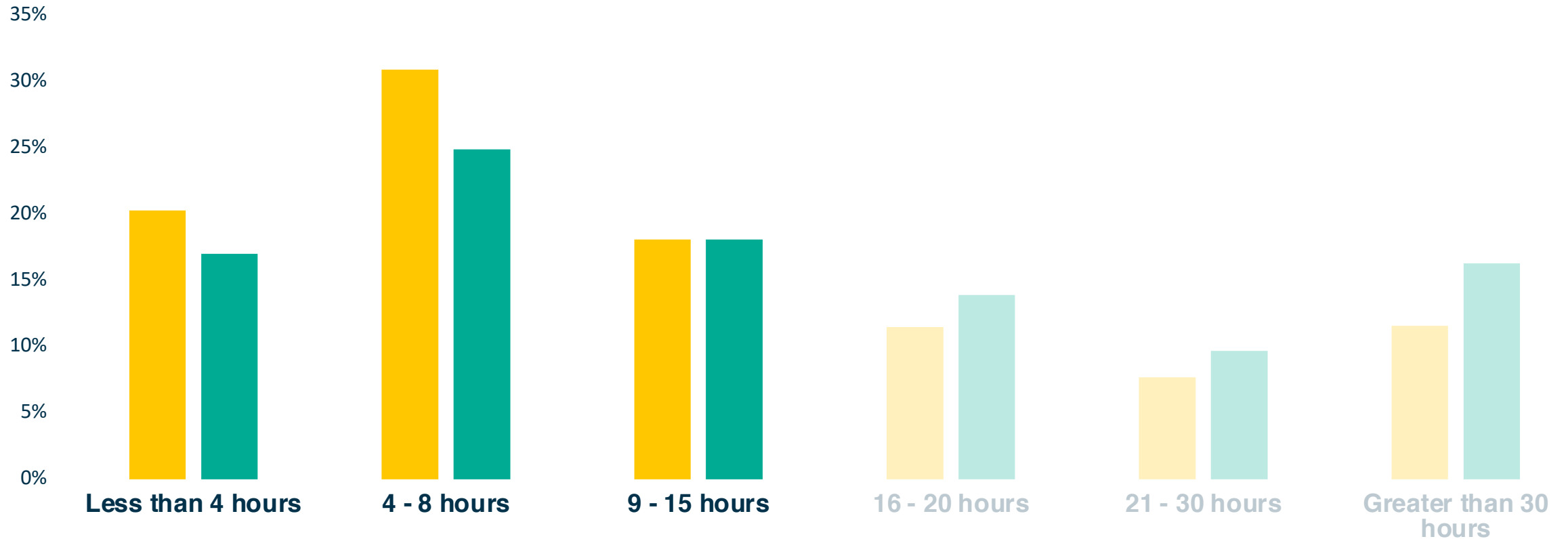
Bad News: Food Safety Culture

“We prevent problems because our employees have authority to take action if there is risk that food safety might be compromised.”



Amount of Food Safety Training Received (Annually)

■ Frontline Workers ■ Managers/Supervisors



69% of companies are in the Danger Zone

Available Resources

Alchemy and SQF Resources

Resources available from Intertek Alchemy and SQFI:

- ✓ **Building a Mature Food Safety Culture: A Guide to Meeting GFSI Culture Standards**
<https://www.alchemysystems.com/content/guide-to-gfsi-food-safety-culture-compliance/>
- ✓ **2022 Global Food Safety Training Survey**
<https://www.alchemysystems.com/content/research/food-safety-training-survey/>
- ✓ **SQF Implementation Guidance, Tip Sheets and Checklists**
<https://www.sqfi.com/resource-center/sqf-guidance-tip-sheets-and-checklists/>
- ✓ **SQF Edition 9 Conversion Primer**
<https://academy.alchemysystems.com/product/sqf-edition-9-conversion-primer/>
- ✓ **SQFI You Tube Channel**
<https://www.youtube.com/channel/UC39i4KZQ7BhAg0SzuEuAVT>



Building a Mature Food Safety Culture: A Guide to Meeting GFSI Culture Standards

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intertek
alchemy

Resource: Alchemy SQF Consulting Support



Training

- Implementing SQF
- SQF Edition 9 Conversion
- Training Program Assessment
- Change Management

Gap Analysis

- Compare existing programs and operations to the new code requirements
- Use corrective action register and road map for compliance

Development

- Creation of new programs required for compliance
- Food Safety Culture Program and Assessments

Internal Audits

- Completion of Internal Audits to facilitate compliance
- Facilitation of Management Reviews, Crisis Management Plan and Food Defense Tests
- SQF Audit Preparation and Support

Intertek Alchemy – Complete Training Solution



Training

- Hundreds of multilingual courses on food safety, EHS, and HR fundamentals
- Create your own content or customize ours for job or site-specific needs
- Multiple delivery modes - Group, eLearning, Kiosk, OTJ



Reinforcement

- Mobile OTJ observation app
- Training-coordinated signage
- Supervisor huddle guides



Compliance

- Automated recordkeeping
- Paperless documentation
- Audit-ready reporting

Deliver Ongoing Communications to Ensure Behavior Change

Huddle Talk Guides

- Blueprint to engage & instruct workers
- 70% of supervisors say the huddle guide approach is highly effective



Employee Observations

- Increase supervisor/employee interaction & communication
- Validate behavioral change



Digital Signage

- Reinforce key training topics
- Improve control & message quality to entire company



Coordinated Posters

- Reinforce discussion topics with strategically placed posters





impacting
1,500
clients

in
7,500
facilities

engaging
1,000,000
frontline workers





alchemy engage

Sept 26–28, 2022



Keynote:

Teamwork: The Power Of Partnership *Jon Wee & Owen Morse (The Passing Zone)*

The Passing Zone are a top innovation keynote duo and juggling team. They have appeared on *The Tonight Show*, *The Today Show* and were finalists on *America's Got Talent*. They are at the top of their craft, with performances at the White House and in London for Prince Charles.

Speakers:



Q&A

Today's Speaker



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Thank you