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**ASQ CQA, CQA-HACCP**

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**http://www.fapc.biz/**

# Food Safety Audits/Global Food Safety Initiative

## http://www.mygfsi.com
## http://www.fapc.biz/gfsi.html

# Recalls and Deaths



32 deaths
E. Coli O104:H4



33 deaths
Listeria
monocytogenes



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# Food Safety Management System

**Food Safety -** concept that food will not cause harm to the consumer when it is prepared and/or eaten according to its intended use.

**HACCP** . Premier Food Safety Tool

Recognized as the best available approach to ensuring the safety of food.

Guideline not Standard

**Food Safety System**

‰The organizational structure, processes, procedures, and resources needed to implement, maintain and continually improve food safety management+

# Example Food Safety Standards

- Regulatory .  USDA FSIS
- Regulatory- FDA - cGMP
- USDA NACMCF HACCP 1997
- Codex HACCP
- Third Party Audit Standards
- GFSI Guidance and Schemes
  - BRC  2012 Issue 6
  - SQF
  - PRIMUS

# NACMCF- HACCP Guidelines

- 5 Preliminary Tasks
  - Assemble the HACCP Team
  - Describe the food and its distribution
  - Describe the intended use and consumers of the food
  - Develop a flow diagram which describes the process
  - Verify the flow diagram

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# NACMCF-HACCP Guidelines

- 7 Principles
  - Hazard analysis
  - Critical control points
  - Critical limits
  - Monitoring procedures
  - Corrective actions
  - Verification procedures
  - Record-keeping



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# Traditional Food Safety & Sanitation
More than 40 years of audits
## Criteria

- 3<sup>rd</sup> Party Audit
  - Specific criteria created by Auditing Company
  - Audit Criteria per customers requirement

- Supplier Audit by the Customer
  - Customer Criteria

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# Traditional Food Safety & Sanitation Criteria

- Customer or Audit Companies
  - AIB, ASI, Silliker
- Food Safety & Sanitation Standards
  - Prerequisite and Food Safety Programs
    - Operational methods & personnel practices
    - Maintenance for food safety
    - Cleaning Practices
    - Integrated pest management
    - Adequacy of Prerequisite and food safety programs

# ISO 9000 .  Quality Management System

- Less than 100 food companies currently ISO 9000 (qualitydigest.com)
  - Global Customers request ISO 9000
  - HACCP should be a core part of the Quality System
  - HACCP is not described in ISO 9000
    - 7 principles of HACCP are closely integrated and can be aligned with the QMS elements of ISO 9000

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# Food Safety and Quality Systems

## Customer Requirements

# Food Safety & Quality Standards

- Food Quality Magazine .   by 2002
  - More than 135 different suppliers standards for food safety
  - Similar but different criteria and auditing practices
  - Establishments implement more than one Food Safety, Sanitation, &/or Quality program for Customers
    - Several customers

**Ideal:  Single auditing system for all sectors in food and beverage industry**

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# Traditional Food Safety Audit Systems
# Pre-GFSI

# Origins of GFSI

- May 2000 . International meeting of Food Retailer CEOs identified the major risks to their businesses.
  - Food Safety
  - Consumer Protection
  - Consumer Confidence
- Formed a Committee of International Technical Executives -GFSI

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# GFSI Mission

*Continuous improvement in food safety management systems to ensure confidence in the delivery of safe food to consumers*

**Objectives:**

- **Convergence** between food safety standards through maintaining a **benchmarking process** for food safety management schemes.
- **Improve cost efficiency** throughout the food supply chain through the **common acceptance of GFSI recognized standards by retailers** around the world.
- Provide a unique international stakeholder platform for **networking, knowledge exchange and sharing of best food safety practices and information.**

# Single Global Standard

- GFSI Technical Group originally proposed the development of a single Global Standard

- As a number of Standards already existed, they agreed that the focus should be on ensuring best practice and that all Standards covered relevant issues with regard to food safety.

- GFSI developed a core document . the Guidance Document . which contained the key criteria with which all Standards must comply . in order to be approved by GFSI.

- Standards are subjected to Benchmarking against the Guidance Document by a Review Committee.

# GFSI Benchmarked Standards

Examples:
http://www.mygfsi.com/about-gfsi/gfsi-recognised-schemes.html

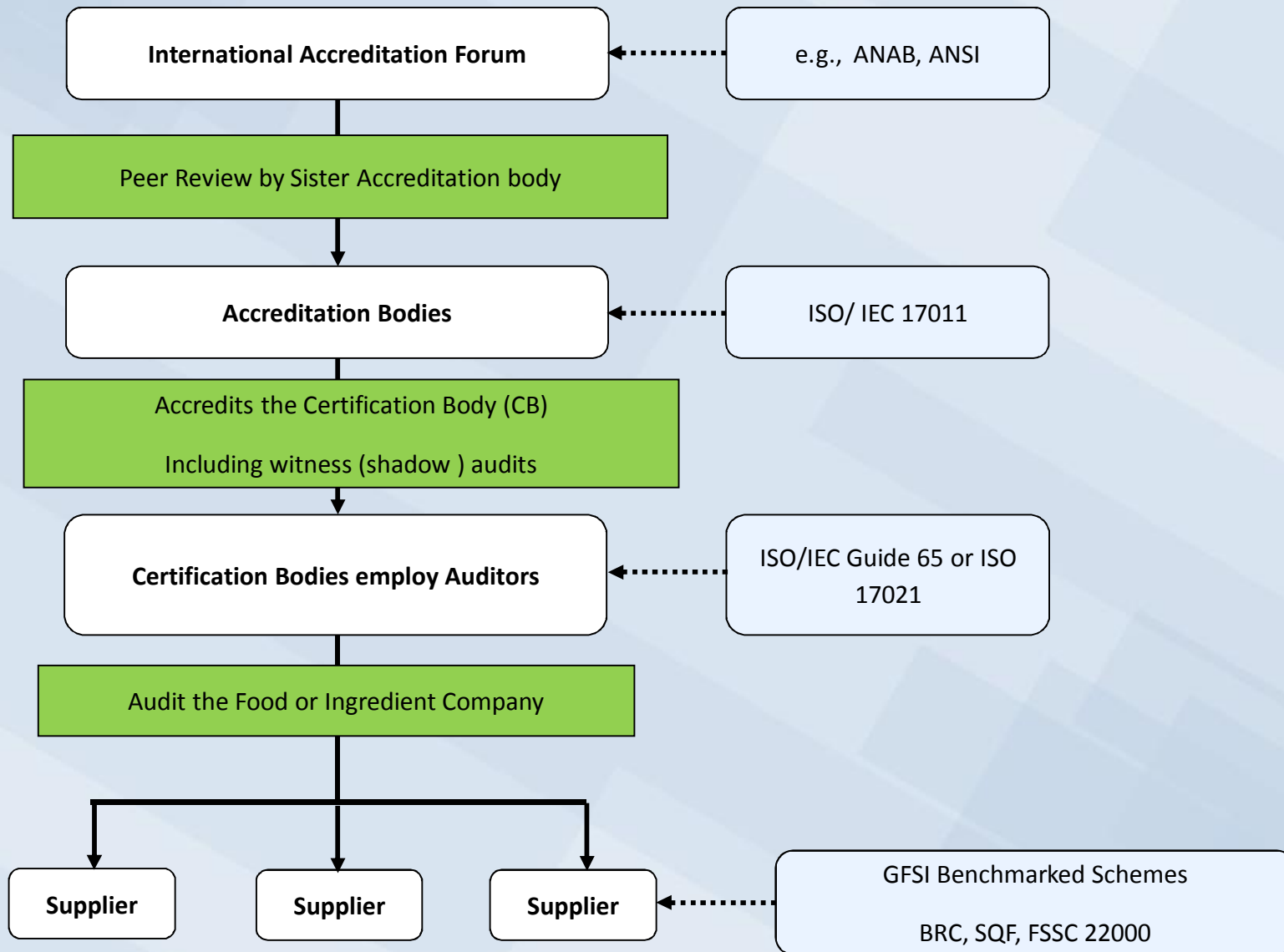| Standard | Origin | Website |
|---|---|---|
| BRC Global Standard | UK | www.brcnorthamerica.com |
| Safe Quality Food(SQF) | Australia/U.S. | http://www.sqfi.com/ |
| FSSC 22000 (ISO 22000 + PAS 220) | | http://www.foodsafety.sgs.com/ Or http://www.22000-tools.com/ |

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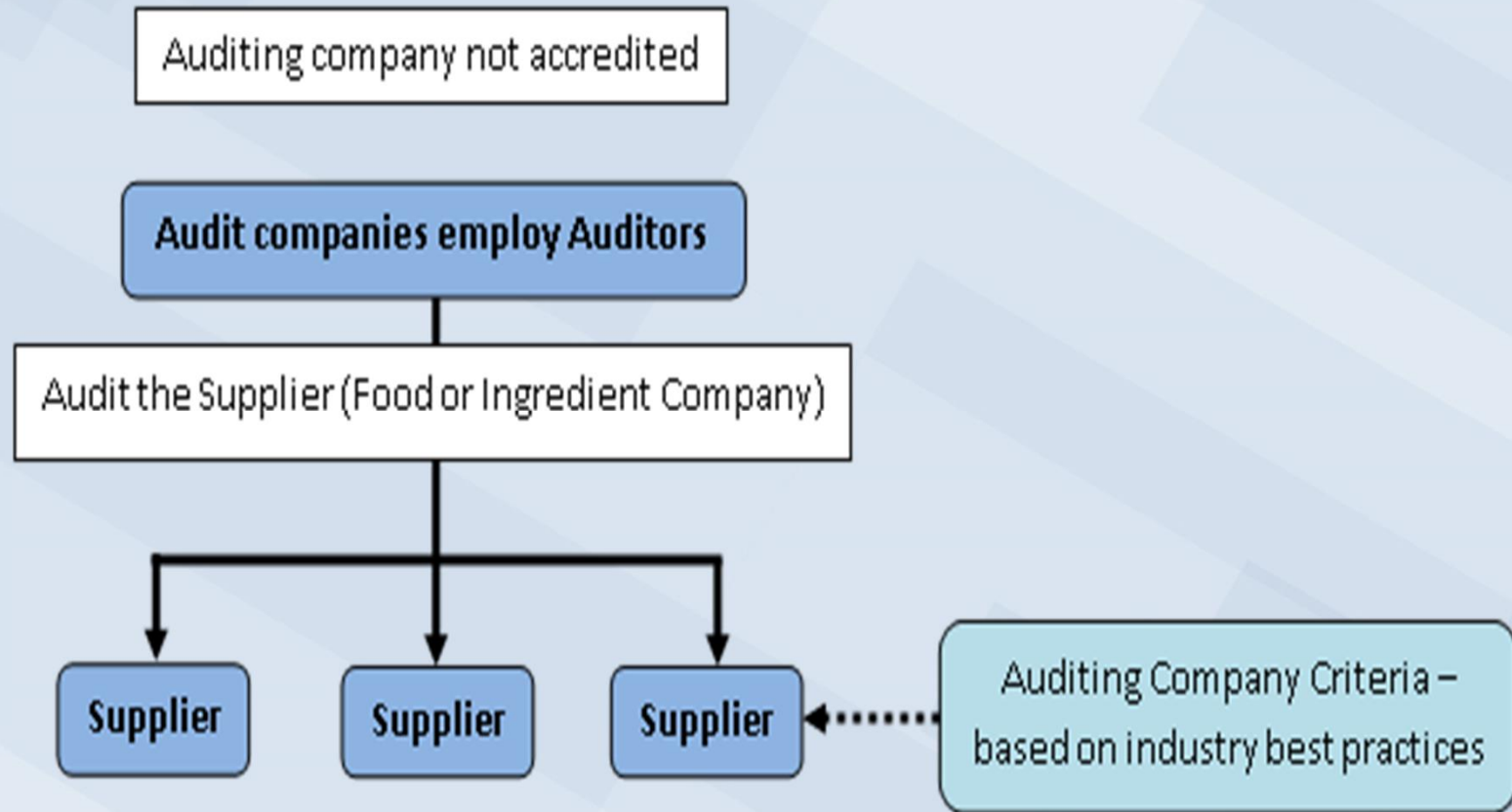Products Center

# GFSI Standards - Benchmarked

- Consistency in **evaluation** of content and program requirements is assured by the benchmarking process

- Audit execution is overseen by independent accreditation bodies such as UKAS (UK) and ANSI (USA)

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# Accredited Certification - Audit

**International Accreditation Forum** ⬅┄┄ e.g., ANAB, ANSI

⬇

Peer Review by Sister Accreditation body

⬇

**Accreditation Bodies** ⬅┄┄ ISO/ IEC 17011

Accredits the Certification Body (CB)

Including witness (shadow ) audits

⬇

**Certification Bodies employ Auditors** ⬅┄┄ ISO/IEC Guide 65 or ISO 17021

Audit the Food or Ingredient Company

⬇

**Supplier**    **Supplier**    **Supplier** ⬅┄┄ GFSI Benchmarked Schemes

BRC, SQF, FSSC 22000

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# 2007 . Adoption of GFSI Standards by Retailers

- **Wal-Mart** http://www.reuters.com/article/ousiv/idUSN0459973720080204
  - Feb. 2008 - Suppliers of its private label and certain other food items, like produce, meat and fish, must comply with Global Food Safety Initiative standards
  - Implemented by July 2009
- Tesco
- Carrefour
- Metro
- Migros
- Ahold
- Delhaize

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# Consumer Goods Forum Retail Members

# Consumer Goods Forum Manufacturing Members



23

# Benchmarking .  What does this mean?
## "Once certified, accepted everywhere"

# GFSI Benchmarked Standards

Examples:
http://www.mygfsi.com/about-gfsi/gfsi-recognised-schemes.html

| Standard | Origin | Website |
|---|---|---|
| BRC Global Standard | UK | www.brcnorthamerica.com |
| Safe Quality Food(SQF) | Australia/U.S. | http://www.sqfi.com/ |
| International Food Standard (IFS) | Germany | http://www.food-care.info/ |
| FSSC 22000 (ISO 22000 + PAS 220) | | http://www.foodsafety.sgs.com/ Or http://www.22000-tools.com/ |

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# British Retail Consortium (BRC) Global Standard for Food Safety

- First launched 1998
- Initial focus for UK Retailers
- Wide Global Uptake
- First Standard to be benchmarked and approved by GFSI
- Now in its 6th Issue
- Redrafted with input from 24 Countries
- 13 Translations . Latest is the N. American Version
- Technical Advisory Committee for N. America established

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# BRC Audit Scheme

- Focus is on 75% documentation and 25% physical inspection (on site)
- If a non-conformance is issued, a corrective action must be completed within 28 days of the audit
- Major non-conformance .  14 days
- All non-conformances must be cleared before a certificate can be issued
- Critical non-conformance .  **no certificate**

# BRC

- Grade "A" or "B" audits allow annual audits
- Grade "C" audits require a return visit to verify corrective action and another audit completed within 6 months
- Grade "D" does not allow certification
- It is possible to have a pre-assessment, which identifies non-conformances that do not have to be cleared in 28 days.

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# BRC - 7 Sections

1. Senior Management Commitment and Continual Improvement
2. The Food Safety Plan. (HACCP)
3. Food Safety and Quality Management System
4. Site Standards . Prerequisite Programs
5. Product Control
6. Process Control
7. Personnel

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| Ref | Facility | Record | Requirement / question |
|---|---|---|---|
| **1.0 SENIOR MANAGEMENT COMMITMENT** | | | |
| **1.1 SENIOR MANAGEMENT COMMITMENT AND CONTINUAL IMPROVEMENT** | | | |
| ☆ **(FUNDAMENTAL) The company's senior management shall demonstrate they are fully committed to the implementation of the requirements of the Global Standard for Food Safety and to processes which facilitate continual improvement of food safety and quality management.** | | | |
| **1.1.1** | | x | The company shall have a documented policy which states the company's intention to meet its obligation to produce safe and legal products to the specified quality and its responsibility to its customers. This shall be: <br> - Signed by the person with overall responsibility for the site <br> - Communicated to all staff. |
| **1.1.2** | | x | The company's senior management shall ensure that clear objectives are defined to maintain and improve the safety, legality, and quality of products manufactured, in accordance with the quality policy and this Standard. These objectives shall be: <br> - Documented and include targets or clear measures of success <br> - Clearly communicated to relevant staff <br> - Monitored and results reported at least quarterly to site senior management. |

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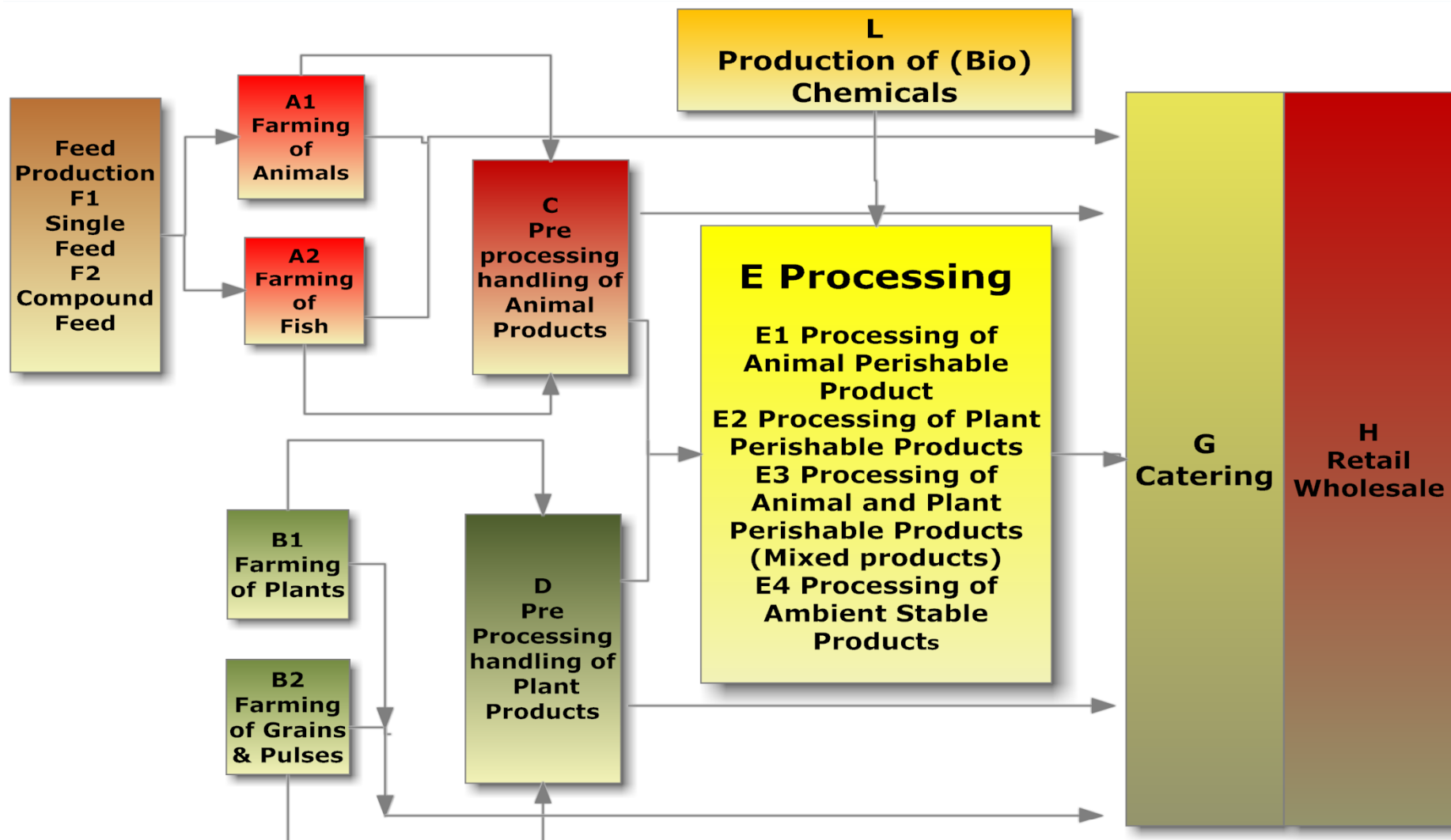| Ref | Facility | Record | Requirement / question |
|---|---|---|---|
| **2.1 THE HACCP FOOD SAFETY TEAM - CODEX ALIMENTARIUS STEP 1** | | | |
| ☆ 2.1.1 | | x | The HACCP plan shall be developed and managed by a multi-disciplinary food safety team that includes those responsible for Quality/Technical, Production Operations, Engineering, and other relevant functions. The team leader shall have an in-depth knowledge of HACCP and be able to demonstrate competence and experience. The team members shall have specific knowledge of HACCP and relevant knowledge of product, process, and associated hazards. In the event of the company not having appropriate in-house knowledge, external expertise may be used, but day-to-day management of the food safety system shall remain the responsibility of the company. |

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# Safe Quality Foods (SQF)

- 1994 First launched
- 2003 The Food Marketing Institute acquired
- Established the SQF Institute (SQFI) division
- Now in its 7th edition,
- SQF Code is recognized by GFSI as meeting its benchmark requirements.
- It is the only GFSI-recognized certification system that links primary production certification to food manufacturing, distribution, and agent/broker management certification.

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# The SQF Code, Edition 7

| | |
|---|---|
| **Module 2** | **SQF System Elements (applies to all Suppliers)** |
| *Module 3* | *GAP for Single Feed Production (TBD)* |
| *Module 4* | *GAP for Compound Feed Production (TBD)* |
| Module 5 | GAP for Farming of Animal Products |
| Module 6 | GAP for Farming of Fish |
| Module 7 | GAP for Farming of Plant Products |
| Module 8 | GAP for Farming of Grains and Pulses |
| Module 9 | GMP for Pre-processing of Animal Products |
| Module 10 | GMP for Pre-processing of Plant Products |
| Module 11 | GMP for Processing of Food Products |
| Module 12 | GMP for Transport and Distribution of Food |
| Module 13 | GMP for Production of Food Packaging |
| *Module 14* | *GMP for Food Brokers (TBD)* |
| *Module 15* | *GMP for Food Retail, Food Service (TBD)* |
| Module 16 | SQF Multi-site Program |

Supplier selects relevant module(s)

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# SQF - 9 sections & GMP Module

2.1     Management Commitment

        2.1.2 .  Food Safety (HACCP

2.2     Document Control and Records

2.3     Specification and Product Development

2.4     Attaining Food Safety .  prerequisites

2.5     Verification

2.6     Product Identification, Trace, Withdrawal
        and Recall

2.7     Site Security

2.8     Identity Preserved

2.9     Training

| SQF FSC | Category (Suppliers Scope of Certification) | GFSI Industry Scopes | Applicable SQF Code Modules |
|---|---|---|---|
| 1 | Production, Capture and Harvesting of Livestock and Game Animals | AI: Farming of Animals | Module 2: System elements<br>Module 5: GAP for farming of animal products |
| 2 | Growing and Harvesting of Animal Feeds | FI: Production of Single Ingredient Feed (available 2011) | Module 2: System elements<br>Module 3: GAP for single feed production |
| 3 | Growing and Production of Fresh Produce | BI: Farming of Plant Products | Module 2: System elements<br>Module 7: GAP for farming of fruit and vegetable products |
| 4 | Fresh Produce Pack house Operations | D: Pre-processing of Plant Products | Module 2: System elements<br>Module 10: GMP for pre-processing of plant products |
| 5 | Extensive Broad Acre Agriculture Operations and Seed Production | BII: Farming of Grains and Pulses | Module 2: System elements<br>Module 8: GAP for farming of grains and pulses |
| 6 | Harvest and Intensive Farming of Fish | AII: Farming of Fish and Seafood | Module 2: System elements<br>Module 6: GAP for farming of fish |
| 7 | Slaughterhouse, Boning and Butchery Operations | C: pre-process handling of animal products | Module 2: System elements<br>Module 9: GMP for pre-processing of animal products |
| 8 | Processing of Manufactured Meats and Poultry | EI: Processing of Perishable Animal Products | Module 2: System elements<br>Module 11: GMP for processing of food products |
| 9 | Seafood Processing: | EI: Processing of | Module 2: System elements |

# SQF Audit Process

- There are 3 different certification levels that can be obtained for each of the codes
  - Level 1 - Food Safety Fundamentals
  - Level 2 - Certified HACCP Based Food Safety Plans
  - Level 3 - Comprehensive Food Safety and Quality Management System

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# SQF Audit Process

- Audits are required annually

- Audit time requirements are estimated to be a 1 day desktop audit followed by a 2 day audit at the plant to verify implementation and compliance to the program

# SQF Audit Process

- The initial audit process is in 2 parts

  - Part 1 is submission of the facilitiesqSQF program for a desk top audit evaluation. (off site .   can be on site)

  - Part 2 is an in-plant evaluation of implementation of the SQF program as written and review of execution of the programs

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# GFSI vs. Regulatory Requirements

GFSI is not regulatory

Customer Driven

GFSI exceeds regulatory requirements

# Criteria . SQF meets regulation

**2.4.1 Food Legislation (Regulation) (M)**

2.4.1.1 The organization 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. This includes compliance with legislative requirements applicable to maximum residue limits, food safety, packaging, product description, nutritional, allergen and additive labeling, and to relevant established industry codes of practice.

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

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# Criteria . BRC meets regulation

*Legal – used 35 time throughout criteria*

1.2 ORGANIZATIONAL STRUCTURE, RESPONSIBILITIES, AND MANAGEMENT AUTHORITY

The company shall have a clear organizational structure and lines of communication to enable effective management of product safety, <u>legality,</u> and quality.

4.1 External Standards

The production site shall be of suitable size, location, construction, and design to reduce the risk of contamination and facilitate the production of safe and <u>legal</u> finished products.

5.4.1 Product Packaging

õ ..confirm it conforms to relevant food safety legislationõ .

# HACCP:
## Food Safety Modernization Act(FSMA)

### Prepare a Hazard Analysis and Risk-Based Preventive Controls

- All registered facilities must conduct a hazard analysis and develop and implement a written preventive controls plan.

- "Facilities õ will be required to establish õ preventive controls õ **consistent with internationally recognized principles of Hazard Analysis and Critical Control Points (HACCP) …**Congress used some different terms õ but these proposed rules will seem familiar to those who are currently following Codexõ +Michael Taylor

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# HACCP: GFSI - SQF

- SQF 2000 Section 4.4.3

  - A food safety plan prepared in accordance to the HACCP method

- SQF Edition 7 Section 2.4.3

  - A food safety plan prepared in accordance to the steps in CODEX or NACMCF.

  - Must describe methods and results of a hazard analysis to identify hazards associated with **all inputs** and process steps including rework.

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# Records: FSMA

- Section 101 expands FDA authority to inspect records (excludes farms and restaurants).

    - Each person who manufactures, processes, packs, distributes, receives, holds, or imports an article of food must permit inspection of records where FDA believes that there is a <u>reasonable probability</u> of serious adverse health consequences or death.

# Records: SQF

- Requirements:
  - Define methods and responsibility for monitoring, activities, verifying and retaining records
  - Includes inspections, analyses, and essential activities
  - Must legible, authorized, accessible, stored properly, retained

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# GFSI

**Vision: Safe Food for Consumers Everywhere**

**Mission: Driving continuous improvement in food safety to strengthen consumer confidence worldwide**

| | |
|---|---|
| **Reduce food safety risks** | **Manage cost** |
| **Develop competencies and capacity building** | **Knowledge exchange and networking** |

**GFSI**

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# GFSI Advisory Council

- A body of experts composed of academics, non-government organization members and government members.

- Will provide perspectives on the implementation of GFSI's strategic objectives.

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# GFSI Stakeholder Groups

- ⦿ **Wider group of food business stakeholders**

- ⦿ **Annual meetings**

- ⦿ **Opportunity to influence GFSI strategy**

- ⦿ **Share knowledge and best practice with other food safety experts in keeping with the GFSI mission**

# GFSI Strategy for the Future

# Companies accepting GSFI recognised schemes

# For More Information:

www.mygfsi.com

http://www.fapc.biz/gfsi.html

gfsinfo@theconsumergoodsforum.com

**Search 'Global Food Safety Initiative'**

**Sign up for the Newsletter on** www.mygfsi.com

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