Any Update to this Document is Posted on the AIB International website.

Introduction

This document provides a guide for applicants and suppliers about how AIBI Certification Services, Inc. (AIBI-CS) evaluates and certifies food companies against the Safe Quality Food Code.

The AIBI-CS Quality System is designed to meet the requirements of ISO/IEC 17065. Many of the documents that are part of this system are provided at various stages of the certification process. AIBI-CS is currently accredited by ANSI for the SQF Code.

When conducting an evaluation AIBI-CS may subcontract to AIBI, use independent contractors or full time AIBI-CS employees.

AIB International Certification Services, Inc.

AIB International Certification Services, Inc. (AIBI-CS), a wholly owned and legally separate subsidiary of AIB International provides certification services to organizations around the world within the food industry and associated services. The Certification Office of AIB International is located in Manhattan, Kansas. The General Manager, Certification Services provides oversight for AIBI-CS.

AIBI-CS has an Impartiality Governing Board composed of impartial members (who do not work for AIBI-CS) who are stakeholders in the SQF scheme. The Board meets according to the ISO/IEC 17021-1 and ISO/IEC 17065 requirements and overviews the whole certification scheme. AIBI-CS acquired the License to carry out SQF audits in September 2008.

AIBI-CS
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Safe Quality Food Standards (SQF)

The Food Marketing Institute has developed these codes to provide assurance to retailers and consumers of the safety and quality of the food they purchase. The Global Food Safety Initiative has benchmarked these standards. They are available from the SQF Website www.sqfi.com and are as follows:

Safe Quality Food Code/HACCP Based Supplier Assurance Code for the Food Industry

The SQF (Safe Quality Food) Code provides the food sector (Food Primary producers, manufacturers, retailers, agents and exporters) a food safety and quality management certification program that is tailored to its requirements and enables Suppliers to meet regulatory, food safety and commercial quality criteria in a cost-effective manner. In 1994, the Code was developed and pilot programs implemented to ensure its applicability to the food sector. It was circulated in draft
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form for comment to experts in quality management, food safety, and food regulation, food processing, agriculture production systems, food retailing, food distribution and HACCP.

The Food Marketing Institute (FMI) acquired the rights to the SQF Program in August 2003 and has established the SQF Institute (SQFI) Division to manage the Program. The SQF Code is recognized by the Global Food Safety Initiative (GFSI) as a standard that meets its benchmark requirements.

Application Stage

AIBI-CS will forward a copy of the application form (REC10) with other documents that will include:
- An Overview of the AIBI Certification Scheme, which is this document
- The Rules for Certification that must be followed by both parties (PR4)
- Additional information, if required

In order to progress further, the application form should be completed and returned to the AIBI-CS office in Manhattan, Kansas. At this stage, if you have any questions, please call the office. If we cannot deal with the question, we will be more than happy to arrange a visit to discuss your requirements.

If you are a food manufacturer applying for certification to SQF but have a network of sub-sites eligible for certification to SQF (e.g., a fruit packing house receiving fruit from contracted growers), you may be able to have multisite certification (see section below).

You will need to determine at this stage which certification you want to achieve, and this may be specified by your customers. The Certification Codes are as follows:

- SQF Food Safety Fundamentals (No GFSI Recognition)
- SQF Food Safety Code for Primary Production
- SQF Food Safety Code for Manufacturing
- SQF Food Safety Code for Manufacture of Food Packaging
- SQF Food Safety Code for Storage and Distribution
- SQF Food Safety Code for Food Retail
- SQF Quality Code (can only be applied to sites certificated or applying for Certification to a Food Safety Code)

➢ Note: Only sites certified to the SQF Quality Code are eligible to use the SQF Quality Shield

AIBI-CS will review your application to determine that they can provide certification. Every effort will be made by AIBI-CS to carry out the audit on the date(s) requested by the client. AIBI-CS will forward documents that are needed for contract purposes and to allow the evaluation and
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-certification stages to take place. In the case of a surveillance audit, similar documentation will be sent to make sure that the exact scope or any other changes are known in advance.

You must register in the SQF Supplier Database: ReposiTrak. You must maintain this registration each year and request your audit through the database. Failure to register or maintain current registration results in the inability to generate the audit form for the auditor and delays the certification process.

Within every three certification cycles, one re-certification audit will be unannounced. The certification cycle begins with the initial certification audit date. The unannounced audit will occur within the sixty-day re-certification window (the anniversary date of the initial certification audit +/- thirty days.) The unannounced audit year will be determined between you and AIBI-CS. Unannounced audits will not be conducted on initial certification audits or on surveillance audits. There is an option within the SQF codes to voluntarily have an Unannounced audit every year. Sites that choose and pass an annual unannounced audit will be recognized on the SQF certificate as an "SQFI select site."

A plan for the audit will be forwarded to the client in advance of the agreed audit date (except in the Unannounced Audit Year). To prepare for your audit, you will need to review each clause of the relevant SQF Code and ensure that you have the necessary systems, documents and records in place to demonstrate compliance. You will also need to allocate a member of your staff the duty of being an SQF Practitioner.

SQF Practitioner

An SQF Practitioner is a person in your company’s employment who is responsible for developing, validating, verifying, implementing and maintaining SQF Systems. To prepare the Practitioner for this role, it is a good idea to attend an SQF Systems training course and take the online exam. For more information about these courses and online exam, see the SQF Website www.sqfi.com. Your SQF Practitioner will also need to have completed recognized HACCP training and be experienced and competent to implement and maintain HACCP-based food safety plans. The Practitioner should also have demonstrated knowledge and experience of the product/category and process under consideration.

SQF Consultant

An SQF Consultant can be used in order to help you set up and develop the systems required to comply with the requirements of the SQF Code. A list of approved consultants is available on the SQF Website www.sqfi.com.

Multisite Certification

Multisite certification is another option that can be selected for SQF. There are two options for this: the first is a central site with primary suppliers (such as growers) and the second one is a central site with processing or manufacturing sub-sites (these are typically retail outlets or restaurants). This scheme is detailed in Appendix 4 of the Applicable Codes.

Options for Manufacturers Controlling Primary Producers
If you are a food manufacturer controlling a group of primary producer sub-sites, multisite certification may be relevant to you. In this case, your certification will be centered at the central-site and the primary producer sub-sites under your control will be sampled to SQF Code. To be eligible for multisite certification, you must meet the following criteria:

- The products supplied by each sub-site are of substantially the same kind produced according to the same fundamental methods and procedures.
- The central-site shall establish a management system in accordance with the SQF Code and shall maintain SQF Code for the duration of the multi-site agreement.
- The central-site’s SQF management system shall be administered under a centrally controlled plan and be subject to central management review. All the relevant sub-sites shall be subject to the central site’s internal audit program and shall be audited in accordance with this prior to the certification body starting its assessment.
- The central site shall demonstrate an ability to collect and analyze data from all sites and has authority and ability to initiate organizational change, if required. This data shall include: system documentation and changes, management, complaints, evaluation of corrective actions, internal audit planning and evaluation of results.
- The central-site shall document its internal audit procedure. The procedure shall include an internal audit schedule and outline the method and frequency of conducting audits of all sub-sites and the central-site.
- The central-site shall ensure that personnel conducting internal audits of multi-site organizations shall:
  - Successfully complete the Implementing SQF Course
  - Attend Internal Auditing training
  - Have competence in the same food sector category as the internal audit
- Personnel reviewing and evaluating the results of those internal audits shall be separate from personnel conducting internal audits and are trained in internal audit procedures and that they are registered as an SQF consultant or SQF auditor.

If you are considered for multisite certification by AIBI-CS, your main SQF site shall be visited to review whether the above criteria are met. If this is the case, a lead auditor for all the audits will then be assigned to you. AIBI-CS shall visit a sample of sub-sites to assess them against the criteria of SQF Code and if all are compliant with the requirements of the standard, a multisite certificate can be issued. AIBI-CS shall determine how to sample the sub-site during the certification period. This certification is then dependent on all sites continuing to meet the criteria for certification.

Options for Manufacturers Controlling Manufacturing Sites

The eligibility/criteria for this option include that there is a central-site certified to the SQF Code that supplies out to the sub-sites that are also certified to the SQF Code. Examples of this are products supplied centrally that are assembled and/or processed at the sub-site (restaurants or fast food outlets are an example of this).

The systems and processes are similar to the option explained previously and are explained in Appendix 4 of the Applicable Codes.

Seasonal Supplier Option
Initial certification audits for suppliers involved in seasonal production (i.e. a period in which the major production activity is conducted over not more than five consecutive months) shall be conducted during the peak operational part of the season.

Where suppliers seek to include products from more than one season within their scope of certification, the supplier and certification body shall agree to conduct the initial certification audit during the highest risk and/or highest volume production operation. Documentation and records for other seasonal production shall be reviewed as part of the certification audit.

**Contract Aspects of the Certification Scheme**

The signed documents of both application and the Proposal Letter form the basis of the contract. Terms and conditions regarding payment are detailed later in this document. AIBI-CS has provisions to ensure that all records, data and information received during the execution of an SQF Audit remain confidential and the property of the Supplier. Except as required by the SQFI, accreditation requirements or by Law, records appertaining to certification shall not be disclosed to a third party without the written consent of the Supplier. This is part of the AIBI-CS application and ongoing surveillance and re-registration/certification procedures.

**Pre-Assessment Audit**

A Pre-Assessment audit can be carried out if the applicant is not sure that the site will meet all the aspects of the certification Code. This involves an audit against the agreed scope (document review and audit of the plant) and a report detailing possible non-conformances that are found. At this stage, the process stops, allowing the applicant to apply for final certification when any corrections to the non-conformances raised have been made. The applicant must understand that a Pre-Assessment audit will identify where the site does not meet the requirements of the Code.

**Audit and Certification Stage**

Once all the application stage documentation has been received by AIBI-CS, an auditor will be assigned to your site. We will confirm with you who the auditor is and you have a right to object. Where we need to use anyone subcontracted in from outside AIBI-CS, such as translators, we shall ask your agreement to this. Before carrying out an initial certification audit, we will carry out a desk or document audit either offsite or at your premises and shall confirm details and fees with you prior to this. This will normally take 1.0 to 1.5 days. To perform the desk audit, we need access to your documents – which are listed in appendix A. The purpose of the desk audit is to ensure that within your required scope:

1. You have procedures in place that meet the SQF Code.
2. There is substantiated evidence to show Food Safety Plans were derived using HACCP principles.

Once the desk audit has been completed, the Site Initial Certification audit can be conducted no more than six (6) months from the completion of the desk audit. The certification audit will normally take between 2 and 3.5 days on site and 1.0 day for offsite report writing.

Prior to site audit, the entire SQF System must be implemented and a minimum of two months critical records must be available during the audit. During the site audit, the products being certified must be in production.
The purpose of the Certification audit is to establish and ensure that within your scope:

1. The SQF System is effectively implemented as documented.
2. Effectiveness of SQF System in its entirety
3. Food Safety hazards and food quality hazards (SQF Quality Code only) are effectively identified and controlled.
4. Effective interaction among all elements of the SQF system is maintained.
5. That your company site has demonstrated a commitment to maintaining the effectiveness of the SQF System and to meeting the regulatory and customer requirements.

The auditor shall determine your site’s compliance to each clause of the standard and where compliance is not shown, raise a non-conformance. Non-conformances are classified as follows:

**Critical (includes but is not limited to):**

This is a breakdown of control(s) at a critical control point, a Prerequisite Program, or other process step that might cause a public health risk whereby product safety is compromised that warrants a Class 1 or Class 2 recall and effective Correction Action is not taken. This also includes falsification of records relating to food safety controls and the SQF system.  
*Rating = -50*

**Major:**

A lack or deficiency in the SQF System producing unsatisfactory conditions that carry a food safety or quality risk and are likely to result in a systems element breakdown. These need to be corrected within 30 days from the completion of the site audit to maintain certification.  
*Rating = -10*

**Minor:**

A lack or deficiency in the SQF System that produces unsatisfactory conditions that, if not addressed, may lead to a risk to food safety and quality, but not likely to cause a systems element breakdown. These need to be corrected within 30 days from the completion of the site audit to maintain certification.  
*Rating = -1*

If the clause or criteria are fully met, the *Rating = 0.*

*The Desktop/Document and Site audits are carried out using the Excel based Audit file that is generated by the SQFI ReposiTrak software system.*

You will need to provide evidence for the root cause analysis, correction / corrective actions for any non-conformance within an agreed timescale before certification can be considered. The REC-228 SQF Non-Conformance Report will be provided by the auditor at the closing meeting. After the report has been reviewed, you will receive the Excel non-conformance report to record and submit the evidence/ results of the root cause analysis, corrections and corrective action on this Spreadsheet and return to the auditor and office. Dependent on the number, type and severity of the non-conformances, a follow-up visit or surveillance audit may be required.

Following each audit, the audit report will be issued within 10 calendar days. Once the non-conformances are closed out, the final report will be made available. This will be no later than 45 days from the last day on site of the site audit.
Desktop/Document Review – Non-Conformance Close-Out

The current requirement of SQF is:

- Major NC – these must all be closed out BEFORE the Site Audit takes place.
- Minor NC – these must all be closed out BEFORE the Site Audit takes place.

If there are a large number of NCs raised in the Desktop/Document Audit, AIBI-CS will review these with the Auditor and decide if extra time will have to be added to check and close these out. If determined that the supplier is not ready for the site audit, an additional desktop audit may be required.

Certification Status

A decision will be made on your certification status and AIBI-CS shall apply to SQFI for a unique Certification number for your Certification. Within 14 days of receiving the Certification number, AIBI-CS will supply you with:

- An SQF certificate of registration
- An electronic copy of the relevant Quality Shield (for SQF Quality Code certifications only) together with its rules for use
- Rules for using the SQF logo.
- Details of your certificate validity and required audit frequency and as outlined in this document and PR4 how it can be withdrawn or suspended

Based on the evidence collected by the SQF auditor, each applicable aspect of the SQF site audit is automatically scored when the audit report is uploaded to the SQF assessment database. Desk audits are not scored. The calculation uses the following factors:

- 0 aspect meets the criteria
- 1 aspect does not meet the criteria due to minor variations (minor non-conformity)
- 10 aspect does not meet the criteria (major non-conformity)
- 50 aspect does not meet the criteria (critical non-conformity)

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

<table>
<thead>
<tr>
<th>Score</th>
<th>Rating</th>
<th>Certification*</th>
<th>Audit Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>96 – 100</td>
<td>E – Excellent</td>
<td>Certificate issued</td>
<td>12 monthly re-certification audit</td>
</tr>
<tr>
<td>86 – 95</td>
<td>G – Good</td>
<td>Certificate issued</td>
<td>12 monthly re-certification audit</td>
</tr>
<tr>
<td>70 – 85</td>
<td>C – Complies</td>
<td>Certificate issued</td>
<td>6 monthly surveillance audit</td>
</tr>
<tr>
<td>0 – 69</td>
<td>F – Fails to comply</td>
<td>No certificate issued</td>
<td>Considered to have failed the SQF Audit</td>
</tr>
</tbody>
</table>

*Certification also requires that all major non-conformities and minor non-conformities are closed out within thirty (30) calendar days form the last day of the site audit.
Overview of the AIBI-CS Certification Scheme

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The following will be generated for public display on the SQFI website via the SQF Database:
Site name, country, certificate type and number, accreditation body logo and accreditation number, audit date, date of next audit, date of issue, certification expiry date, food sector category(s), product(s) covered by the certificate.

Additionally, the site must consent to have the certificate details accessible by their customers.

The certificate of registration is valid for twelve (12) months from the date the certification decision was taken, and shall be in a form approved by the SQFI. Re-certification shall be conducted within thirty (30) calendar days either side of the anniversary of the last day of the initial certification audit. The re-certification audit score is calculated in the same way as the initial certification audit, and the same rating applied (refer to section 3.3). The grade of C will always require a surveillance audit (seasonal products might be the exception to this). The surveillance audit is conducted when the supplier attains a “C” rating at a certification audit or re-certification audit. The surveillance audit shall be conducted within thirty (30) calendar days either side of the six month anniversary of the last day of the previous certification or re-certification Audit. After the surveillance audit a new score is posted on the SQF Database but the Certificate and the recertification date are not changed.

Minimum Comply (C) rating is required at the surveillance audit to maintain certification. If the rating is Excellent or Good at the surveillance audit, new certificate is NOT issued. The re-certification audit is to verify continued effectiveness of the SQF system in its entirety and review past performance of the SQF System over the period of Certification. It shall include:

1. The SQF System is effectively implemented as documented.
2. Effectiveness of SQF System in its entirety
3. Food Safety hazards (Food Safety Codes) and food quality hazards (SQF Quality Code) are effectively identified and controlled.
4. Effective interaction among all elements of the SQF system is maintained.
5. That your company site has demonstrated a commitment to maintaining the effectiveness of the SQF System and to meeting the regulatory and customer requirements.

Re-certification audits will normally require 2 to 3.5 days on site.

Changing certification (from SQF Food Safety Fundamentals to SQF Food Safety Code or addition of the SQF Quality Code to the SQF Food Safety Code)

A certified supplier has the right to change the level of certification, according to the scheme. This must be done by contacting AIBI-CS in writing, which will document and manage this process. The supplier must wait till the next recertification audit for level change. Change from level 1 to 2 requires separate desktop audit.

Notification of Recalls

During certification, the supplier must notify the Certification Body and SQFI in writing of a food safety incident (Class I or Class II recall) within 24 hours. Recall notification must be sent to gfsi@aibonline.org. Formal written confirmation shall be kept at affected sites. AIBI-CS will notify SQFI within forty-eight hours of intended action to ensure integrity of the certification.
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Change of Ownership

If the business of a client certified to one of the SQF Codes Standards is sold and the legal entity’s business name is retained, the new owner shall, within thirty days of the change of ownership apply to the CB to retain the SQF certification and existing Certification number. If the staffs with major responsibility at the client have changed, AIBI-CS shall arrange a full Certification Audit and if the requirements are shown to be met issue a new Certificate of Registration and new Certificate number. If the staff with major responsibility has been maintained, AIBI-CS shall verify this with a site visit within 60 days of the change and maintain the existing audit frequency.

Relocation of Premises

If the site relocates the business, the site’s certification does not transfer. A successful certification of the new premises must be conducted. The site’s certification number shall remain the same but a new Certification (desk audit plus site audit) shall be conducted.

SQFI Website Registration

SQFI maintains details of all companies that have been certified to their standards on their Website [www.sqfi.com](http://www.sqfi.com). Following your audit, we shall supply SQFI with the following details for this:

Supplier name, country, Certificate type and number, Certification expiry date, Food Sector Category(s), Product(s) covered by the Certificate of Registration and Modules implemented.

The following details will be provided on the SQFI Website automatically from the SQF Database:

Site name, country, certificate type and number, accreditation body logo and accreditation number, audit date, date of next audit, date of issue. certification expiry date, food sector category(s), product(s) covered by the certificate.

SQFI Quality Shield and Logo

When you achieve certification to one of the SQF Food Safety Codes, you can use the SQF Logo.

When you achieve certification to SQF Quality Code, you can use an SQF Quality Shield on stationery, publicity materials and products.

The Quality Certification Shield and Logo rules and its use are available on the Website [www.sqfi.com](http://www.sqfi.com).

Suspension and Withdrawal of Certification

Your certification can be suspended for the following reasons:

- Failure to make due payments for the certification activities resulting in account closure,
- Fails to permit the re-certification or surveillance audit,
- Receives an “F – fails to comply” rating,
- Fails to take corrective action within the timeframe specified for major non-conformities,
- Fails to permit an unannounced audit,
- Fails to take corrective action within the timeframe specified in Part A, 3.2,
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- where in the opinion of the certification body, the site fails to maintain the requirements of the SQF food safety Fundamentals.

We shall inform you when your certification has been suspended and the reasons for such action and the date of effect. Suspension of a certificate result in the site being placed in Surveillance status and the site will be required to have both a site visit to confirm implementation of the corrective action and an Unannounced surveillance audit within 6 months of the suspension. You are required to submit a detailed corrective action plan within 48 hours of the notice of suspension.

If a critical non-conformance is found at your site at a surveillance or re-certification audit, your certification shall be suspended and the SQFI Website database shall be updated to indicate this. We shall inform you of the suspension, the date of effect and the reasons for it. We shall request you to send a corrective action plan within 48 hours. We shall then carry out an on-site audit within 30 days to verify corrective action. Upon successful verification, the certificate will be re-instated and the SQFI Website shall be updated. No more than six months after suspension, we shall conduct a re-certification audit to verify effective implementation of corrective action and that the SQF System is achieving stated objectives.

Your certification can be withdrawn for any of the following reasons:
- No corrective actions provided within the agreed timescale following a suspension of certification
- Falsified records
- Major non-conformance not corrected within agreed timescale
- Failure to have a surveillance or re-certification audit within 30 days of the due date
- Failure to comply with its certificate of registration
- Use of the Quality Shield while under suspension
- Use of the Quality Shield inappropriately and not in accordance with rules specified on the www.sqfi.com Website
- An administrator, receiver, receiver and manager, official manager or provisional liquidator is appointed over the business’s assets or an order is made or a resolution passes for the winding up of your business (unless an amalgamation or reconstruction) or cease to carry out business or become bankrupt.

We shall inform you when your certification has been withdrawn and the reasons for such action and the date of effect. We shall ask you to return your certificate and electronic copy of the SQF certification Quality Shield and discontinue use of any materials that have this Quality Shield.

**Documentation and Supplementary Action**

The evaluation report and associated documents shall be stored safely and securely for a period of five years by you (the applicant/supplier) and AIBI-CS. The certificate issued is the property of AIBI-CS as outlined in the “Rules for Certification.”

**Explanation**

The Certification Manager is responsible for providing explanation to the documents related to certification process. This includes SQF Code, SQF Guidance documents and AIBI-CS internal documents. The external sources such as SQFI and ANSI or internal experts including the CB management team and the administrative staff will be used as needed.

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Raised by: Loree Allen – Administration Manager, Certification Services
Approval: Alfonso Capuchino- General Manager, Certification Services

Date: 15 Feb 19
Rev No.: 40
File Name: PR3B
Page: 10 of 13

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Appeals and Complaints

AIBI-CS will formally reply within 10 working days from the day of receipt. A person independent from the certification process will handle and the result of the investigation/outcome will be finalized within 30 working days. In the event of an unsuccessful appeal, the supplier will be charged for conducting the appeal investigation.

Certification Fees

These will be reviewed annually. You will be required to pay SQFI their ReposiTrak registration fee, which is calculated from turnover (gross sales). ReposiTrak registration pricing for this fee can be found at: [http://www.sqfi.com/suppliers/costs/](http://www.sqfi.com/suppliers/costs/).

Travel and subsistence of auditors are charged in addition to the certification fee and translator fees will be charged, where required.

Terms of Business

The certification fees detailed and any revisions are effective from 1 January each year.

Subsistence fees (hotel, meals, transportation, etc.), where applicable, are additional to the cost shown above. AIBI-CS will try to minimize these costs by grouping work whenever possible.

- Invoices will be raised in US$ and should be paid in US$ for audits conducted in the U.S.
- Invoices will be raised in CA$ and should be paid in CA$ for audits in Canada.
- Invoices will be raised in MXN pesos and should be paid in MXN pesos for audits conducted in Mexico.
- Invoices will be raised in pounds Sterling (£) and should be paid in pounds Sterling (£) for audits conducted in Europe, the Middle East and Africa.

Payment should be made within 30 days from the date of invoice. Failure to settle invoices in the specified time can be taken into account for ongoing certification and could result in withdrawal or suspension of certification.

Confidentiality

AIB International Certification Services, Inc. (AIBI-CS) shall take all reasonable measures to ensure that AIBI-CS employees and agents keep confidential all information that comes to their knowledge as a result of the certification program. AIBI-CS shall ensure that only a subcontractor / external expert and/or evaluator who have signed a confidentiality agreement and that you, the applicant/supplier have agreed to will be used. Be advised that AIBI-CS will have to show any documentation of the suppliers to the ISO/IEC 17065 accreditation body (ANSI) and SQF, if they make a formal request.

Details of your certification shall be displayed on the scheme owner’s website as outlined to you in the summary above.

For more information or clarification on any aspect of the certification process contact:

Raised by          Loree Allen – Administration Manager, Certification Services
Approval         Alfonso Capuchino- General Manager, Certification Services
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Fax: +1 785 537 0106
gfsi@aibonline.org

The office is open from 0800 to 1700 Monday to Friday. It will be closed on U.S. national/public holidays.
APPENDIX A – Documents Required for a Desktop/Document Audit

Please note that this list is NOT exhaustive and depends on the SQF Code along with the level of certification requested for the Code. If you are unsure prior to the audit, please contact the AIBI-CS Office or the Auditor prior to the audit date.

- Food Safety and Quality Policy
- Responsibilities/Organization Chart (summary/job descriptions)
- Food Safety Manual
- HACCP Manual
- Quality Manual (Quality Code only)
- Summary of Food Safety Objectives (and Quality for Quality Code only) and Management Review
- Customer Complaint Procedure
- Business Continuity Plan (might be linked with Crisis Management)
- Document Control Procedure
- Product Development Procedures
- Specification (raw materials, packaging materials, final product, co-manufacturers, contract services)
- Supplier Approval
- Non-conforming Product and Corrective Action Procedures
- Traceability and Product Withdrawal Procedures
- Food Defence Assessment and Food Defence Plan
- Food Fraud Vulnerability Assessment and Mitigation Plan
- Allergen Control
- Training Procedures
- Prerequisite Program Procedures/Policies or Overviews:
  - Personnel Practices
  - Personnel Processing Practices
  - Calibration Procedures
  - Management of Pests and Vermin
  - Premises and Equipment Maintenance
  - Cleaning and Sanitation
  - Monitoring Water and Microbiology and Quality
  - Control of Physical Contaminants
  - Transport and Delivery
  - Waste Management and Disposal