SQF Certification Application

dicentra Global Certifications Company Profile:

dicentra Global Certifications is a licenced SQF Certification Body. All Auditors are registered and operate only within their designated industry codes. Auditors are fully trained in the industry programs that we certify.

SQF Program

The Food Marketing Institute (FMI) offers the Safe Quality Food (SQF) Program. The SQF programs are fully integrated food safety and quality management protocols designed specifically for the food and agriculture sectors. They are administered by SQF Institute, a Division of FMI, and are based on the CODEX Alimentarius HACCP Guidelines and ISO 9000 Quality Management Systems. The SQF Institute assures that certified suppliers, distributors and producers pass through third party audits by competent, approved Certification Bodies. This process ensures that the highest safety standards are applied and monitored at every link in the food chain. SQF programs have been implemented by over 4000 companies operating in Australia, Asia-pacific, the Middle East, North America, Europe and South Africa.

Implementing SQF Code

Businesses can choose to implement the SQF Code internally, or use the services of an external consultant. The SQF Code requires that the program is implemented and maintained by an SQF Practitioner. This person must be a permanent full time employee of your company and hold a position of responsibility in regards to the management of the company's SQF System.

The SQF Code is divided into three certification Codes. Each Code is intended to provide an indication of the maturity of the company's food safety and management system.

Food Safety Fundamentals (not GFSI recognized) – Indicates that pre-requisite programs and fundamental food safety controls have been implemented in order to provide a sound foundation for further development of the management system.
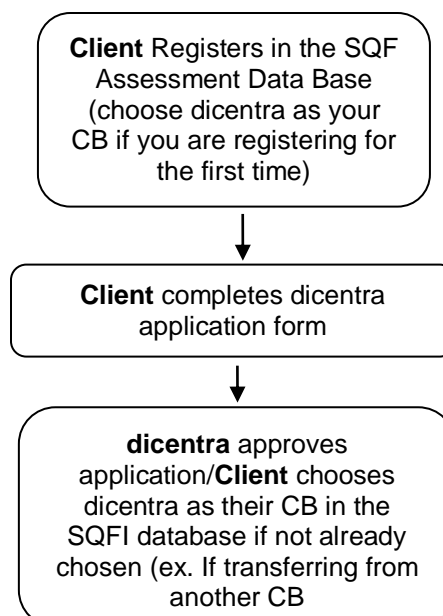
Food Safety Code – Incorporates all Food Safety Fundamental system requirements and indicates that a food safety risk analysis of the product(s) and associated processes has been completed, and the actions to identify the hazards and the actions taken to eliminate, prevent or reduce their occurrence.
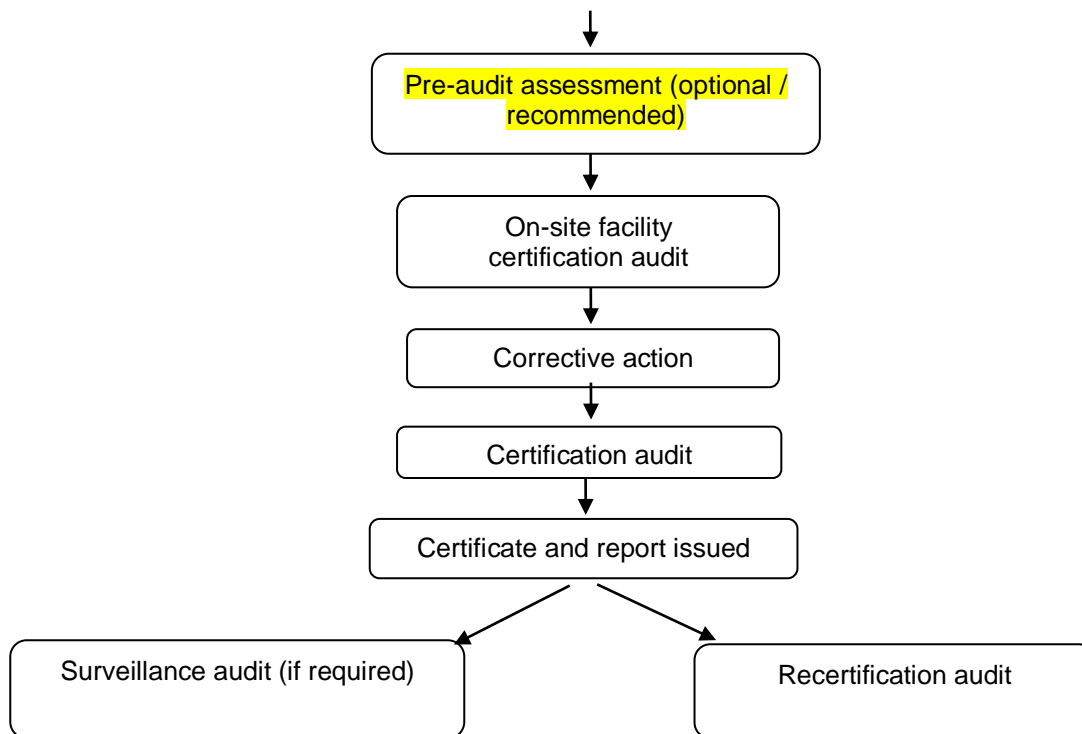
Quality Code: Quality Management System Development – Includes the requirements of a food quality risk analysis of the product(s) and associated processes has been completed, and the actions taken to prevent the occurrence of poor quality have been implemented and the remaining quality management system procedures have been implemented.

Additional details and information are available on the SQF website:
www.sqfi.com

dicentra Global Certifications Process for Auditing the SQF Programs

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┌─────────────────────────────┐
│ Client Registers in the SQF │
│   Assessment Data Base      │
│  (choose dicentra as your   │
│  CB if you are registering  │
│    for the first time)      │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────────┐
│ Client completes dicentra   │
│      application form       │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────────┐
│    dicentra approves        │
│ application/Client chooses  │
│  dicentra as their CB in the│
│  SQFI database if not already│
│ chosen (ex. If transferring │
│      from another CB        │
└─────────────────────────────┘
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Application for Certification to dicentra Global Certifications

The SQF Certification Application Form is an important document and form part of the contract between your business and dicentra Global Certifications. When your business is ready to apply for certification to the SQF Code Edition 9, complete the application form and forward to dicentra Global Certifications fax 416- 361-3304 or emailed PDF to **terry@dicentragc.com**.

Your application must be signed to proceed with processing.

dicentra Global Certifications needs full details of the applicant company – including each location, products to be included in the scope and any additional standards against which certification is required – in order to assess whether we are able to accommodate your audit request.

It is recommended that organizations apply for certification 4-6 months in advance of their desired audit date to ensure auditor availability.

Very important: this application process is a required step to start the certification process. We cannot provide audit dates if we do not have a complete application on file.

After receiving the client's application form, dicentra Global Certifications will assess auditor availability for the required categories in the desired timeframe. If a qualified auditor is available, the information is entered into the dicentra Global Certifications database and the audit process is initiated.

The SQF Food Sector Categories include:

SQF Food Sector	Category (Client Scope of Certification)	GFSI Industry Scopes
01	Production, Capture, and Harvesting of Livestock and Game Animals, and Apiculture	Farming of Animals for Meat/Milk/Eggs/Honey
02	Indoor Growing and Harvesting of Fresh Produce and Sprouted Seed Crops	Farming of Plants (other than grains and pulses)

03	Growing and Production of Fresh Produce and Nuts	Farming of Plants (other than grains and pulses)
04	Fresh Produce, Grain and Nuts Pack House Operations	Pre-process Handling of Plant Products
05	Extensive Broad Acre Agricultural Operations	Farming of Grains and Pulses
06	Intensive Farming of Seafood	Farming of Fish and Seafood
07	Slaughtering, Boning, and Butchery	Animal Primary Conversion
08	Manufactured Meats and Poultry	Processing of Perishable Animal Products
09	Seafood Processing	Processing of Perishable Animal Products
10	Dairy Food Processing	Processing of Perishable Animal Products
11	Honey Processing	Processing of Ambient Stable Animal and Plant Products (mixed products)
12	Egg Processing	Processing of Perishable Animal Products
13	Bakery and Snack Food Processing	Processing of Ambient Stable Animal and Plant Products (mixed products)
14	Fruit, Vegetable and Nut Processing, and Fruit Juices	Processing or Perishable Plant Products
15	Canning, UHT and Aseptic Operations	Processing of Ambient Stable Animal and Plant Products (mixed products)
16	Ice, Drink and Beverage Processing	Processing of Ambient Stable Animal and Plant Products (mixed products)
17	Confectionary Manufacturing	Processing of Ambient Stable Animal and Plant Products (mixed products)
18	Preserved Foods Manufacture	Processing of Ambient Stable Animal and Plant Products (mixed products)
19	Food Ingredient Manufacture	Production of Bio-chemicals or Bio-cultures used as Food Ingredients or Processing Aids in Food Production
20	Recipe Meals Manufacture	Processing of Perishable Animal and Plant Products (mixed products)
21	Oils, Fats, and the Manufacture of oil or fat-based spreads	Processing of Perishable Animal and Plant Products (mixed products)
22	Processing of Cereal Grains	Processing of Perishable Plant Products
23	REMOVED	
24	REMOVED	
25	Repackaging of Products not Manufactured on-site	Processing of Ambient Stable Animal and Plant Products (mixed products)
26	Food Storage and Distribution	Provision of Storage and Distribution Services
27	Manufacture of Food Packaging	Production of Food Packaging
31	Dietary Supplements Manufacturing	Production of Bio-chemicals or Bio-cultures used as Food Ingredients or Processing Aids in Food Production
32	Pet Food Manufacturing	
33	Food Processing Aides Manufacturing	Production of Bio-chemicals or Bio-cultures used as Food Ingredients or Processing Aids in Food Production
34	Animal Feed Manufacturing	Production of Feed

SQF Assessment Database

All clients wishing to complete SQF certification must register for the SQF Assessment Database. Once your application has been accepted by dicentra Global Certifications, you can proceed with registering on the database and selecting dicentra Global Certifications as your certification body.

Pre-audit Assessment

Some businesses may desire an initial pre-audit assessment in order to determine their progress towards achieving SQF certification. A pre-audit assessment is only done on request from the applicant and is not a mandatory requirement of SQF certification. There are two options for pre-audit assessment; either a one day top line overview of the SQF program to identify major issues and areas for improvement; or a full

mock audit at the scoped audit duration which covers all applicable elements of the SQF Code. dicentra Global Certifications will strive to assign the same auditor for a pre-audit as will be assigned for the certification audit. This is a non- consulting activity, so no details on how to address the gaps can be provided at a pre-audit assessment.

Facility Audit

The purpose of the facility audit is to establish whether your organization's product certification system has been implemented and complies with the relevant SQF Code. This is done by examining actual practices, documentation and records and comparing them against the SQF certification criteria. The audit process is, effectively, to ensure that the documented procedures and practices are understood by your workers and contractors, have been implemented, and have resulted in products that are safe and meet your customer quality requirements.

Evidence of compliance or non-compliance is collected by the assigned assessor using the SQFI standardised checklist, which is used as the basis for writing the assessment report. Compliance levels and scoring protocols are described in the SQF codes which are available at www.sqfi.com.

The auditor presents the findings to your management at the exit meeting, and advises you of the follow-up required on any identified non-conformances.

Off-site after the audit has been completed, the auditor will prepare a full written report which accurately reflects the findings of the audit using the SQF checklist. The report includes evaluation details and an evaluation summary, and the detailed assessment checklist.

Corrective Actions

For all non-conformances raised at a facility audit, the facility must respond with corrective actions through the SQF Assessment Database. Corrective actions are reviewed by the auditor and closed out once satisfactory evidence has been provided. All desk audit Corrective Actions must be closed before proceeding to the Facility Audit. All non-conformances from a Facility Audit must be closed 30 days after the last audit date.

Certification Decision

Once all the Corrective Actions have been submitted by the facility and reviewed by the auditor, the complete audit report is submitted to the dicentra Global Certifications Certification Manager for the certification decision. Note: where a critical non-conformity, as defined by the SQF Code, is identified at any part of the audit, the business will not be certified, or for subsequent audits, certification is suspended or withdrawn, regardless of the rating.

When your business has achieved the appropriate rating as defined by the SQF Code, dicentra Global Certifications provides a Certificate as a statement that the business has achieved certification.

Details of the content on the certificate are available in the SQF Code. The certificate remains valid for a period of 12 months. The certificate may be displayed in areas where it is readily seen by customers, potential customers or staff. Incorrect use of the certificate may result in a client being misled as to the extent or scope of the certification, and may result in dicentra Global Certifications withdrawal of the certificate.

All original certificates remain the property of dicentra Global Certifications and must be returned to dicentra Global Certifications on request.

Trademark usage, changes to certification, appeals, withdrawals and suspension information is described in the SQF Code.

SQF Conditions for Change or (Transfer) of Certification Body

A certified supplier may elect to cease being a client of a certification body (former certifier) and to have or agree to have an alternative certification body (new certifier) undertake audits of its SQF system.

The SQF certified supplier shall ensure that it has an appointed SQF Certification body at all times.

Where a certified supplier elects to transfer its certificate of registration, the new certifier shall undertake a pre-transfer review of the certified supplier in order to:

  i.   Confirm the Certificate of Registration is current, valid and related to the SQF System so certified;
  ii.   Confirm that the supplier's Food Sector Category falls within the new CB scope of accreditation;
  iii.   Confirm that any customer complaints or food recalls have been acted upon;
  iv.   Review the supplier's audit history and the impact of any outstanding non-conformities (where the supplier can demonstrate such history to the satisfaction of the new certifier by way of copies of audit reports completed by any former certifier);
  v.   Confirm the stage of the current certification cycle.

Certificates with outstanding critical or major non-conformities that have not been closed out, or certificates known to have been suspended or withdrawn or under threat of suspension or withdrawal, shall not be accepted for transfer until they are closed out to the satisfaction of the new certifier.

Where a decision is made to proceed with certification, the new certifier shall:
   i.   Conduct a certification audit when the next surveillance audit is due after which a new Certificate of Registration is issued under the new certification body and a new certification trademark is issued that includes the name of the new certification body;
   ii. Complete the current certification cycle leading to the re-certification audit;
   iii. Ensure the supplier retains its unique certification number, if requested.

SQF Change of Ownership of a Certified Supplier

Where a certified supplier's business has been sold, and the legal entities business name is retained, the new owner shall, within 30 days of the change of ownership, apply to a Certification Body to retain the SQF Certification and the existing Certification Number. In such cases, the Certification Body shall complete a Certification Audit.

In case where the ownership of the Certified Supplier changes and the staff with major responsibility for the management and oversight of the SQF System have been retained, the Certification Body may retain the existing audit frequency status. In making this determination, the Certification Body shall verify by site audit within 60 days of change of ownership, that staff with major responsibility for the management and oversight of the SQF system has been retained.

If there are major changes in site management and personnel, the Certification Body shall complete a Certification Audit and issue a new Certificate of Registration and a new Certification Number. The audit frequency applicable to a new Certification shall apply.

Change in Scope

Should a client choose to change the scope of their certification, they are required to complete and return Appendix 2 of this package. The changes to the scope will be evaluated and the Certification Body will determine whether a site visit is required to update the Certificate of Registration.

Multisite Organization

SQFI allows for assessment and certification of multisite organizations where a central site is currently certified to, or working towards, the SQF Code, and has a network of sub sites that are eligible for certification to the SQF Code. This may apply, for example, to a fruit or vegetable packing house with a group of contracted growers, or a slaughterhouse with a number of contracted suppliers.

The criteria for multi-site audits are centred on the SQF system of the central site and statistically valid sampling of sub-sites (where all sub-sites are operationally similar and operate according to a common SQF management system).

dicentra Global Certifications follows guidance and sampling criteria for multi-site organizations contained in the SQF Code, Module 16; Requirements for SQF Multi-site Programs Managed by a Central Site.

Note an applicant's compliance with SQF Code, Module 16; Requirements for SQF Multi-site Programs Managed by a Central Site will be assessed during the certification and surveillance audits. Failure to meet these requirements will result in a non-conformance and a possible refusal to certify or re-certify.

APPENDIX I: APPLICATION FORM FOR SQF CERTIFICATION

SECTION A: DETAILS OF APPLICANT ORGANIZATION

Business name	**Legal Status (Inc. Ltd. etc.)**	
Trading Name (if applicable)		
Mailing address	**City, Prov/State**	**Postal /Zip code**
Billing address (if different than above)	**City, Prov/State**	**Postal /Zip code**
Telephone #	**Fax #**	
Facility(ies) to be certified	**City, State/Prov**	**Postal /Zip code**
Facility 1(For Multi-site programs, enter here the location of the Central Site)		
Facility 2 (if applicable)		
If multiple facilities are listed above, do you wish to certify these sites under a single Multi-site Program, as managed by the Central Site, and in accordance with Module 16 of the SQF Code, **Edition 9.0**		Yes ___ No ___ (If "yes" checked, please proceed to Section A(b)

SECTION A(b): MULTI SITE CERTIFICATION (Complete this Section **only** if you indicated "yes" for certifying multi sites under a single Multi-site Program in Section A(a))

Are all of the facilities listed in Section A(a) linked to the central site by a legal or contractual agreement and does this agreement give the central site authority and responsibility for the management of the food safety and quality management systems of the sub sites? (Note that these agreements will be reviewed during the certification audit) If "No" list below the sub-sites not covered by agreement:	Yes ___ No ___
Does the central site conduct internal audits of each sub-site in accordance an internal audit program.	Yes ___ No ___
If yes, what was the last audit date for each for the facilities and when is the next scheduled audit date?	

Facility	Last Internal Audit Date	Next Scheduled Audit Date
1 (Central Site)		
2		

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	Is this person:	
Senior Management Representative	Primary Contact	Yes/No
	Secondary Contact	Yes/No
	Authorized to sign Application Contract	Yes/No
Name:	Job title / position in company	
Telephone # and Extension	Email address	
SQF Practitioner	Is this person…	
	Primary Contact	
	Secondary Contact	
	Authorized to sign Application Contract	
Name:	Job title / position in company	
Telephone # and Extension:	Email address	

SECTION C: REQUIRED SCOPE OF CERTIFICATION

Click the appropriate check boxes to indicate the level and categories you are applying for, and select the service boxes that apply.

Facility 1 (Central Site)		
SQF Certification Level	**Food Sector Categories (Refer to above table)**	
Food Safety Fundamentals □ **Food Safety Code** □ **Quality Code** □	1 □ 2 □ 3 □ 4 □ 5 □ 6 □ 7 □ 8 □ 9 □ 10 □ 11 □ 12□ 13 □ 14 □ 15 □ 16 □ 17 □ 18 □ 19 □ 20 □ 21 □ 22 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □	
Services Required	□ **Pre-audit Assessment**	□ **Facility Audit**

Facility 2 (if applicable)		
SQF Certification Level	**Food Sector Categories**	
Food Safety Fundamentals □ **Food Safety Code** □ **Quality Code** □	1 □ 2 □ 3 □ 4 □ 5 □ 6 □ 7 □ 8 □ 9 □ 10 □ 11 □ 12□ 13 □ 14 □ 15 □ 16 □ 17 □ 18 □ 19 □ 20 □ 21 □ 22 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □	
Services Required	□ **Pre-audit Assessment**	□ **Facility Audit**

SECTION D: TIMELINE

Pre-audit Assessment (Optional)	From:	To:
Facility Audit (Announced)	From:	To:
□ I understand that dicentra Global Certifications will be conducting the unannounced audit anytime within the sixty day window (i.e. +/- thirty days of the anniversary day of my last audit date)		

Please indicate if there is a customer imposed deadline for your certification:

Customer:	Deadline:

SECTION E: SITE SPECIFIC INFORMATION

PRODUCT INFORMATION

Complete list of products produced:	
Any products excluded from certification:	
Countries of Sale (list all):	

FACILITY INFORMATION

	Facility 1 (Central Site)	Facility 2
Size of facility in square feet:		
Size of storage area (if applicable):		
# of processing lines:		
# of HACCP plans:		

EMPLOYEE INFORMATION

	Facility 1 (Central Site)	Facility 2
# of permanent employees:		
# of contract or seasonal employees:		
# of employees at peak production:		

Language of Quality Documentation/Operations	☐ **English or** ☐ **Other _____**

Presence of shadow auditor in training – dicentra Global Certifications sometimes has its lead SQF auditors accompanied by an auditor in training who shadows the audit process to gain knowledge and	Do you have any objection to shadow auditors in training accompanying the lead dicentra Global Certifications auditors at your facility during the SQF audit? ☐ **Yes or** ☐ **No**

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experience. These individuals take no part in the evaluation of your facility and are bound by the same confidentiality terms as dicentra Global Certifications and its lead auditors.

Signature from a duly authorized representative is required for scope changes to the SQF Program. This signature indicates the following:
- The information contained in the Appendix is complete and accurate to the best of the organization's knowledge/abilities
- The organization commitment to the pursuit of SQF certification and will comply with the requirements of certification including supplying any additional information required to evaluate the products to be certified.

Your Signature	
	Signature is authorized by the company /firm to sign this application and ensure that the products conform to requirements.
Print Name	**Date:**
Job Title	

SECTION F: CERTIFICATION BODY (CB) TRANSFER
□ **YES**
□ **NO**

Do you wish to maintain your unique SQF facility number from previous CB?   □Yes   □No

If you are transferring certification bodies please include the following documents with your application:
1. Current certificate
2. Previous audit reports
3. Evidence of no outstanding Critical or Major CARs
4. Evidence that any complaints that could have resulted in recall or withdrawal have been actioned.

APPENDIX II: APPLICATION FOR CHANGE OF SCOPE

☐ NOT APPLICABLE

SECTION A: DETAILS OF APPLICANT ORGANIZATION

Business name		Legal Status (Inc, Ltd,etc)
Trading name (if applicable)		
Facility address	City, State/Prov	Postal/ Zip Code
Mailing / Billing address (if different from above)	City, State/Prov	Postal/ Zip Code
Telephone #	Fax #	

SECTION B: DETAILS OF CURRENT CERTIFICATION

Certificate number:	
Expiry date:	
Summary of current scope of certification (i.e. Level, categories and products):	

SECTION C: ACTIVITIES TO BE COVERED BY PROPOSED CHANGE TO SCOPE

Please provide a brief description of any proposed changes to the products, processes, HACCP plans and/or activities to be included in the new scope of certification:	

<mark>For dicentra Global Certifications use only</mark>

Is the application complete? Yes ___ No ___

If no, client has been informed and requested to complete the following sections:

_____

Did the client indicate that their documentation/operation is in English?

Yes ___ No ___

For certifying Multi-Sites under a multi-site program

	Yes	No
1. Are all of the sites located in the same country?		
2. Is the central site at the same SQF certification level or higher than each of the sub-sites		
3. Are the products or services provided by each for each of the sub-sites substantially the same kind		
4. Are all of the sites involved in the same low risk activity		
5. Is the size of each of the sub-sites and employee numbers at each sub-site similar (within 50% of the mean)		
6. Did the central site conduct, or will the central site have conducted, internal audits of each of the sub-sites within one year of the requested certification audit date?		
7. Did the applicant confirm that contractual agreements between the central site and each of the sub-sites demonstrating a link between the sites are in place?		

IF THE ANSWER IS "NO" TO ANY OF THE ABOVE FOR A PARTICULAR SUB-SITE THEN THAT PARTICULAR SUB-SITE MAY NOT BE INCLUDED IN THE MULTI-SITE CERTIFICATION PROGRAM. THIS SUB-SITE WILL NEED TO BE CERTIFIED COMPLETELY SEPERATLEY FROM THE OTHER FACILITIES

Transfer from a Previous CB (If applicable)

If client was transferred from another certification body:

Is certificate issued by previous CB:
1. Current?   Yes ___ No ___
2. Valid?   Yes ___ No ___
3. Related to the SQF System (i.e. level I, II or III) so certified?   Yes ___ No ___

Does the client's current food sector category fall within dicentra Global Certifications' scope of accreditation?   Yes ___ No ___

Was evidence provided that any outstanding complaints have been actioned?   Yes ___ No ___

Were all observations and outstanding non conformities identified by the previous CB during their last audit properly closed?   Yes ____ No ____ (If not, these outstanding issues will be reviewed during dicentra Global Certifications' onsite audit.)

What is the stage of the current certification cycle?
               Date of initial certification: YY:____MM:____DD:____
               Next audit to be:
               _____ Regular surveillance audit, or
               _____ Unannounced audit

Completed application received on:
Date:

The following auditors are confirmed to be qualified and available as per SQF Procedure for Certification Application PSQ004.

Auditor Name	Criteria Verified				
	Holds Valid SF Registration	Meets Food Sector Categories	Available on Required Dates	Meets Impartiality Requirements (including not having provided consultancy or training to client within last 2 years)	Has not Audited this Client for the Last 3 Consecutive Cycles

Auditor must be witnessed?

□ No

□ Yes

    □ Under the SQF scheme

    □ Under any GFSI scheme

The impartiality of the following has been verified (including not having provided consultancy or training to client within last 2 years):

Technical Reviewer   Yes ___ No ___ Name:

Certification Manager   Yes ___ No ___ Name:

SQF Administrator   Yes ___ No ___ Name:

dicentra Global Certifications as corporation   Yes ___ No ___

dicentra Global Certifications may proceed with Service Agreement? Yes ___ No ___

If no, dicentra Global Certifications has notified client that it must decline its role as a certification body on this date:

Signed:	
Name/Role	
Date	