OnTrak Webinar Series

How to Avoid Non-Conformances in Your Audit

Presented by ReposiTrak and SQF Institute

March 19, 2020

ReposiTrak and SQFI

- The ReposiTrak platform enables SQF-certified suppliers to manage the audit process from initial request and payment, through collection of results and reporting, in addition to powering the SQFI assessment database.

- ReposiTrak…
  - World's largest user network of **100,000**+ supplier, wholesaler and retailer connections
  - has the most advanced technology
  - **personnel support** ensure your suppliers comply with your document and records requests
  - helps **reduce** your exposure to brand, legal and regulatory **risk**
  - includes **automated document review** and confirmation capability, saving you hundreds of hours reviewing documents for accuracy

Exclusively Endorsed in the Industry

FMI THE FOOD INDUSTRY ASSOCIATION

"ReposiTrak augments our food and drug safety efforts…with a **proven, comprehensive and easy-to-implement solution** that **doesn't require systems changes** and is extremely cost effective."

ROFDA Retailer Owned Food Distributors & Associates

"We see the ReposiTrak system becoming an **industry standard** for the retail supply chain, helping all trading partners **meet the new federal food safety requirements**, reducing unsalable products and keeping the end consumer healthy."

SQF

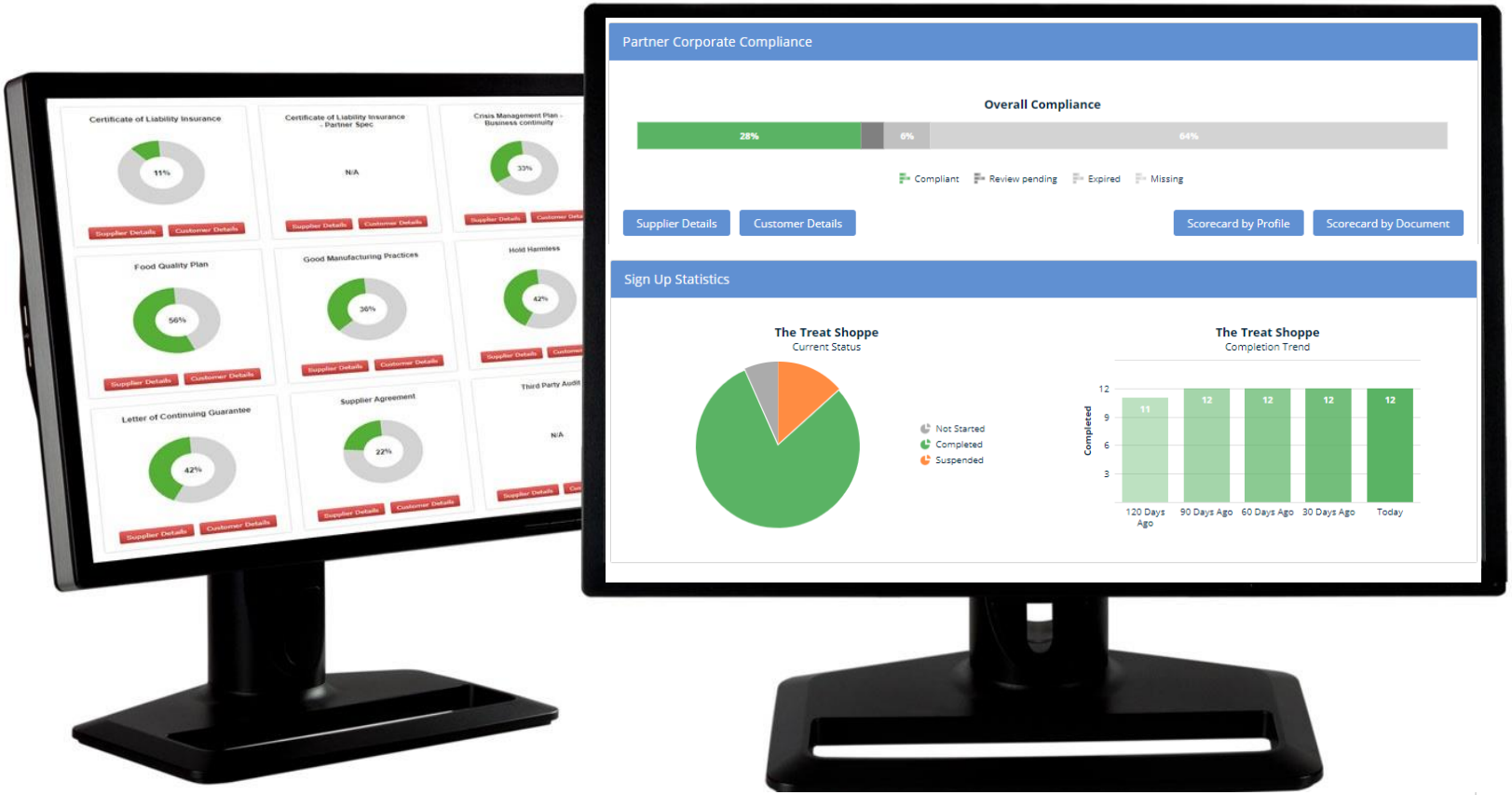
"We were looking for a technology partner to help us **raise the bar** not only with our data management and reporting, but also with upgrades to all of our user interfaces. It made perfect sense to partner with ReposiTrak because of their **experience in the industry** and technical capabilities."

GMDC

"ReposiTrak is a **pioneering innovator** in delivering robust retail management software solutions for our rapidly changing industry. This technology will equip our members with a toolbox for success in a constantly evolving marketplace. We are thrilled to partner with ReposiTrak as we continue to advance and expand our ecosystem."

Easily Identify Your Risk Areas And Process Failures

One-Minute Compliance Check for Easy Reporting & Performance Tracking



We Know You're Busy, So Our Team Does the Heavy Lifting for You

✓**Cloud-based system**

- Nothing to install, you just need an internet browser

✓**Set-up is easy**

- We just need your supplier list and document requirements to get started, and you can be live in 30 days

✓**We do all the supplier follow-up for you!**

- It takes up to 20 "touches" by phone, e-mail and mail on average to get and keep a supplier compliant
- We have a full-time, U.S. based Customer Success Team who follow-up with your vendors to ensure adoption and compliance with your requirements

Quick Poll

How do you currently use ReposiTrak today?

A. Look at SQF Audit report

B. Share documents with customers

C. Both A&B, plus I use ReposiTrak for compliance for my OWN suppliers.

Quick Poll

To give our presenter an idea of the audience, what is your role?

A. Corporate Quality Assurance

B. Onsite SQFI Practitioner

C. Purchaser/Buyer

D. Other

Frank Schreurs

- More than 30 years of management and leadership experience in the food and beverage industry.
- Began career in food manufacturing with Kellogg Co.
- Transitioned to services sector with Guelph Food Technology for 18 years.
- Currently consultant and representative with SQFI

SQF INSTITUTE
One World. One Standard.

In Today's Session:

- ✓ Learn about the top 5 audit non-conformances
- ✓ Discover what is overlooked most in a Food Safety Plan
- ✓ Identify three key factors of a Critical Control Point

Speaking the Auditors Language

- ✓ Non-conformance
- ✓ Corrective Action
- ✓ Mandatory, Critical, Major, Minor
- ✓ GFSI, HACCP & CCP

Top 5 Audit Non-Conformances

1. Food Legislation related to a Food Safety System
2. Federal or Country Food Safety Plan Regulations
3. Maintaining Records
4. Food Safety Plan
5. Food Fraud

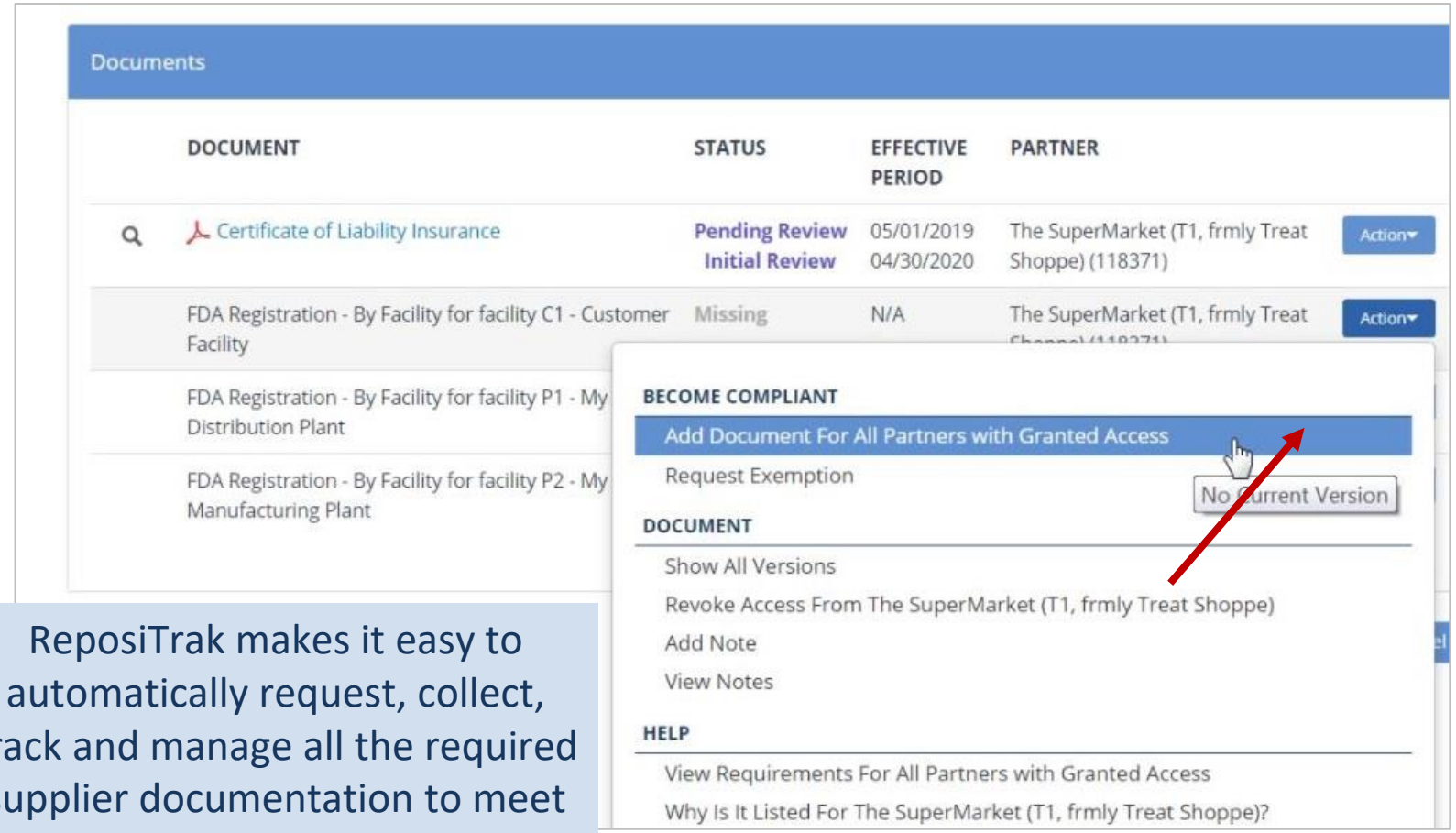
SQF Code Requirements

2.4.1.1 Food Legislation

- Evidence to ensure compliance to relevant regulations
- Reference to testing and specification compliance or other SQF requirements to support compliance
- Change management and subsequent corrective actions to regulatory changes or correspondence from regulatory
- Use SQF regulatory resource tools to assist

ReposiTrak Supports Requirements

2.4 Food Safety System



ReposiTrak makes it easy to automatically request, collect, track and manage all the required supplier documentation to meet the requirements of an **Approved Supplier Program**.

ReposiTrak Supports Requirements

2.4 Food Safety System

Share | Export as PDF

Summary

DECISION CERTIFIED	REQUEST NBR 1398	AUDIT RATING 89 Very Good
DECISION DATE 08/23/2019	AUDIT TYPE Initial Certification	
EXPIRATION 08/23/2020	AUDIT DURATION 02/19/2019 - 08/23/2019	
RECERTIFICATION 09/23/2020	AUDITING 10 Hours	REPORT WRITING 2 Hours

Facility & Scope

Fancy Manufacturer
Address
City, State, Zip

Manufacturer Types:
Ingredient Supplier

Products:
All products manufactured in the facility were included in this audit. Third party manufactured packaging materials were excluded.

Scope of Certification:
The entire facility and 2 attached self standing building were included in this audit.

Certification Body & Audit Team

CB#: GFDI - 118743
Accreditation Body: ANSI
Accreditation Number: 118743

Lead Auditor: Rod Wheeler (89123)
Technical Reviewer: John Auditor (99123)

Non-Conforming

2 **Outside Grounds and Roof**
Outside security needs a complete overhaul

2.14 Are emergency exit doors self-locking and equipped with alarms?
RESPONSE: MAJOR
EVIDENCE: There was no alarm installed. This is a critical entry

ROOT CAUSE: This door was not originally used as a guest entry way
CORRECTIVE ACTION: Alarm was installed on 8/20

Conduct internal audits and track results to **support your Approved Supplier Program**

SQF Code Requirements

2.4.3.17 Federal or Country Regulatory Food Safety Plans

- Not completing both HACCP base food safety plan and regulatory requirements. E.g. Preventive Controls
- Merging both into one document is most efficient
- Record in corrective action log (2.5.3)

ReposiTrak Supports Requirements

2.2 Document Control and Records

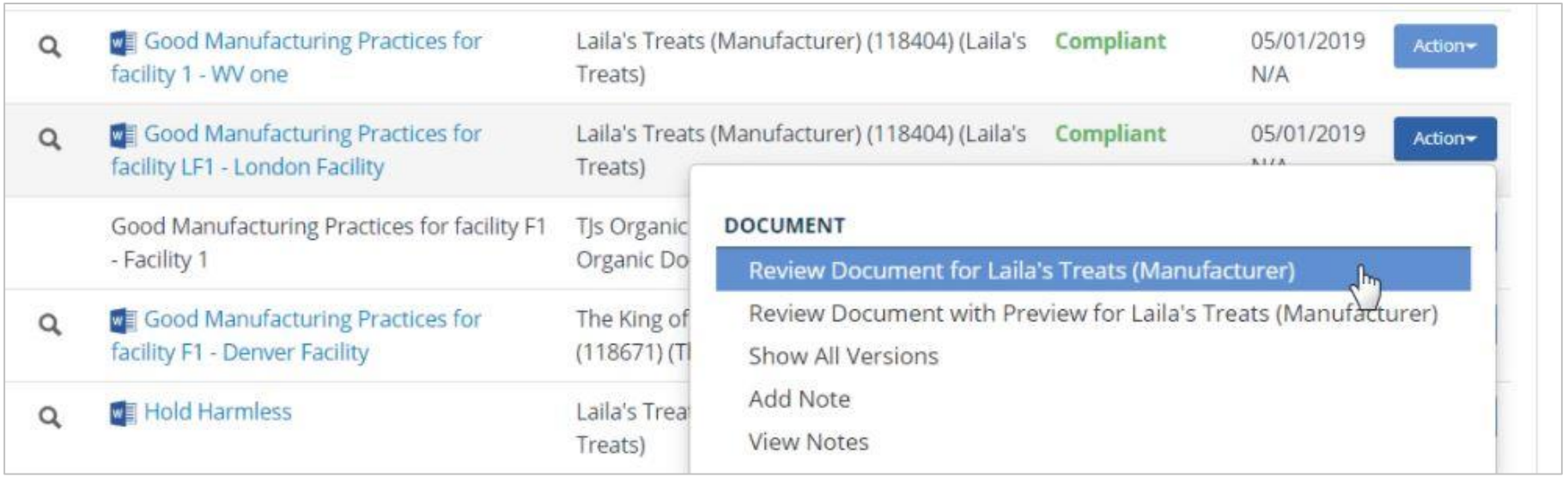
Documents

	DOCUMENT	PARTNER	STATUS	EFFECTIVE PERIOD	
	California Proposition 65	Laila's Treats (Manufacturer) (118404) (TREAT-103)	Compliant	05/01/2019 04/30/2020	Action
	Food Quality Plan for facility 1 - WV one	Laila's Treats (Manufacturer) (118404) (TREAT-103)	Compliant	05/01/2019 04/30/2020	Action
	Good Manufacturing Practices for facility 1 - WV one	Laila's Treats (Manufacturer) (118404) (TREAT-103)	Compliant	05/01/2019 N/A	Action

All documents related to the Food Safety Management System can be created and maintained in ReposiTrak.

ReposiTrak Supports Requirements

2.4 Food Safety System



Reviewing supplier documents is simple and fast, and any and all supplier documents **can be reviewed by the auditor in the system or printed** for review.

ReposiTrak Supports Requirements

2.4 Food Safety System:
Registry of Approved Suppliers and Records

Documents

	DOCUMENT	PARTNER	STATUS	EFFECTIVE PERIOD	
	Food Quality Plan for facility P1 - My Treats Distribution Plant	Karen's Company (Supplier/T2 Hub, frmly My Treats) (118670) (TREAT-106)	Compliant	05/01/2019 04/30/2020	Action
	Food Quality Plan for facility P2 - My Treats Manufacturing Plant	Karen's Company (Supplier/T2 Hub, frmly My Treats) (118670) (TREAT-106)	Compliant	05/01/2019 04/30/2020	Action
	Good Manufacturing Practices for facility C1 - Customer Facility	Karen's Company (Supplier/T2 Hub, frmly My Treats) (118670) (TREAT-106)	Compliant	05/01/2019 N/A	Action
	Good Manufacturing Practices for facility P1 - My Treats Distribution Plant	Karen's Company (Supplier/T2 Hub, frmly My Treats) (118670) (TREAT-106)	Compliant	03/01/2017 N/A	Action

Easily view the records you require of each supplier in your **Approved Supplier program**

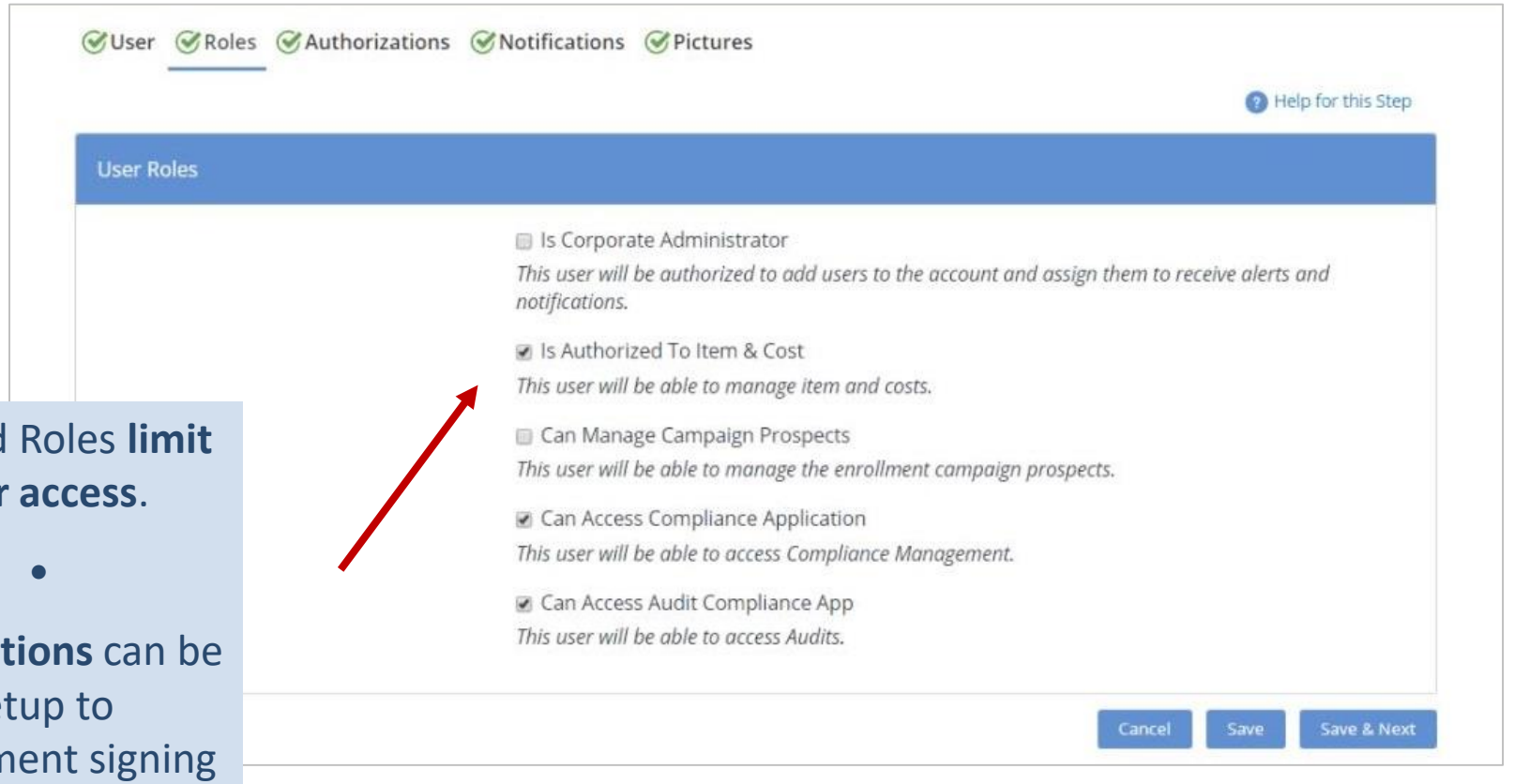
SQF Code Requirements

2.2.3.2 Maintaining Records

- This section requires that a Food Safety Management System be created and documented, with controls in place for accessibility and security, and a register of SQF System documents and amendments.
- Internal audit or verification non-compliance recorded in corrective action log

ReposiTrak Supports Requirements

2.2 Document Control and Records



Defined Roles **limit user access**.

•

Notifications can be setup to supplement signing into the system to view updates and changes.

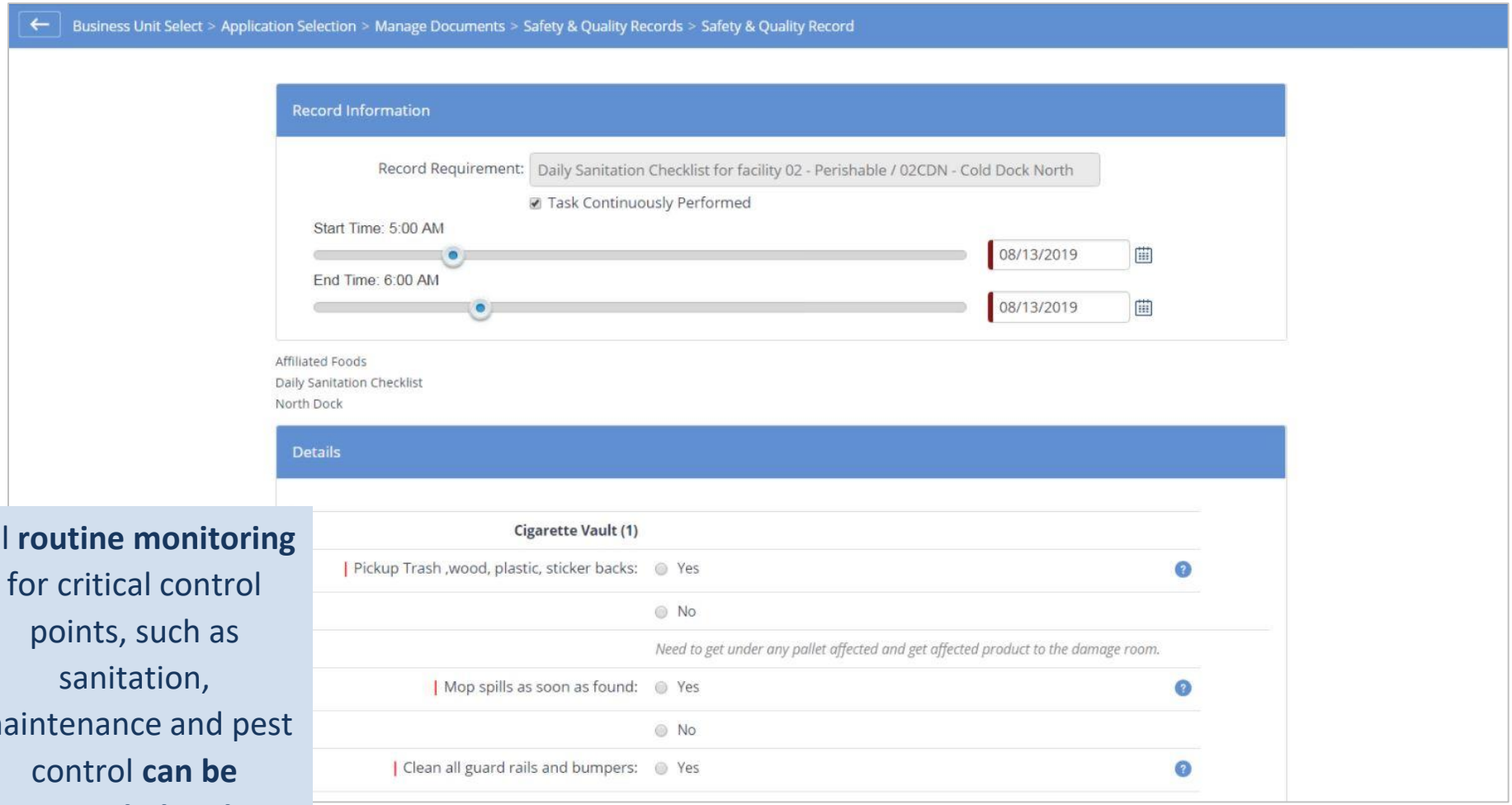
SQF Code Requirements

2.4.3.1 Food Safety Plan – HAACP Guidelines
2.4.3.7 Flow Diagram
2.4.3.12 Managing Critical Control Points

- Following the Codex HACCP steps is often an issue with Food Safety Plans
- Each Food Safety Plan must include a flow diagram of every step in the process.
- Each CCP must indicate a critical limit, designated level of control of the hazard(s) and
  - (1) the **personnel assigned** to conduct testing,
  - (2) the sampling and testing methods and
  - (3) the test frequency.
- Corrective actions (2.4.3.14) can be recorded in corrective action log

ReposiTrak Supports Requirements

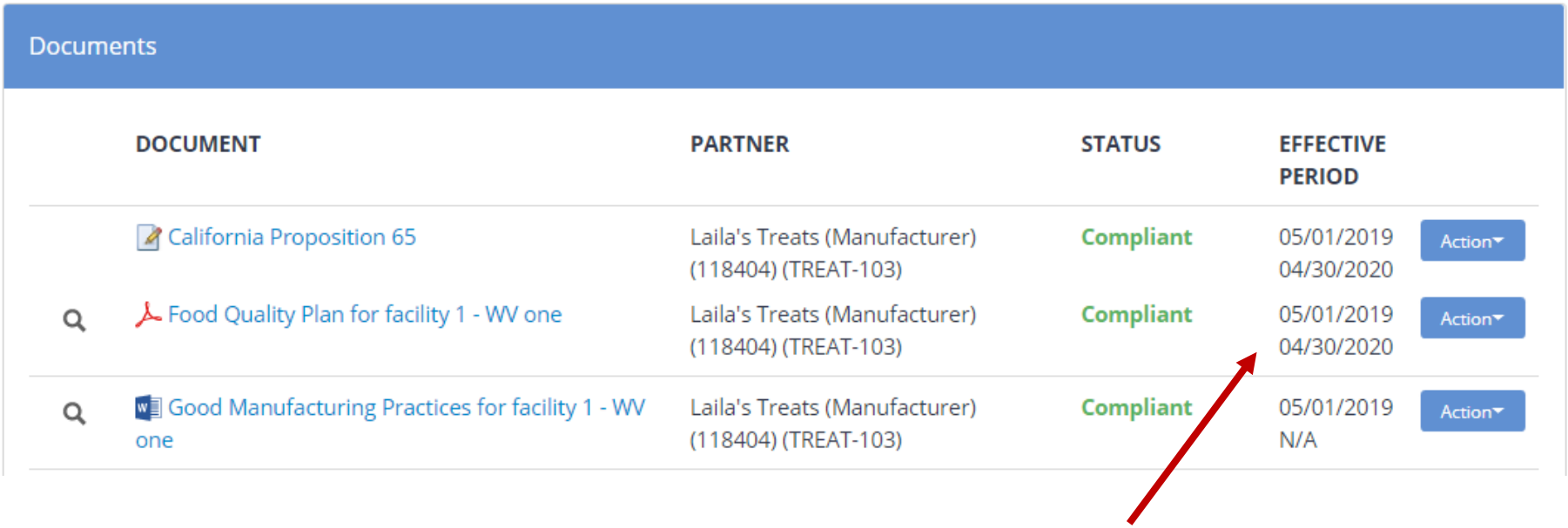
2.4 Food Safety System



All **routine monitoring** for critical control points, such as sanitation, maintenance and pest control **can be recorded and maintained.**

ReposiTrak Supports Requirements

2.4 Food Safety System



Suppliers can directly submit records and documents via ReposiTrak, and **expiration dates are automatically tracked in the system, providing alerts** of approaching expirations to both parties.

SQF Code Requirements

2.7.2.1 Food Fraud

This covers identifying vulnerability and documenting the vulnerability assessment methods, responsibility and criteria for implementing and maintaining ongoing assessments.

Food fraud vulnerability includes susceptibility to:

- Product substitution
- Mislabeling
- Dilution
- Counterfeiting
- Stolen goods

ReposiTrak Supports Requirements

2.4 Food Safety System

ReposiTrak enables version control and provides a centralized system for creating all the documents necessary to meet the requirements for any type audit, including a 3rd party audit in support of Food Fraud or Food Defense initiatives

“My favorite part of ReposiTrak is that everything is in one place. It is going to make our next audit so much easier.”

Purchasing Professional,
National Produce Manufacturer

“Since using ReposiTrak, I’ve trashed 11 binders and I no longer feel like I’m looking over my shoulder during audits anymore.”

Head of QA,
Texas-based Meat Processor

Why ReposiTrak?

Better Audit Results – Less Work!

100,000+ connections within ReposiTrak System

- Automate document management required to meet GFSI including:
  - Policies and procedures
  - Process control and tracking
  - Approved supplier programs
- SQFI sites using ReposiTrak Compliance Management experience:
  - 100% fewer non-conformances
  - Better overall audit scores
  - 20% faster audit completion

Reduce the stress and work of your annual audit and improve your results with ReposiTrak.

Quick Poll

I would like ReposiTrak to contact me regarding:

A. I currently manage my compliance manually and would like to automate.

B. I am a current user and have questions.

C. I do not need to be contacted.

Questions?

- For more information after today's webinar, contact:
  - SQF Customer Service at 202-220-0635 or email info@sqfi.com.
  - ReposiTrak Customer Service at 1-888-842-5465 or repositrak.com/contact-us/

- Stay tuned for more webinars on these topics.