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.
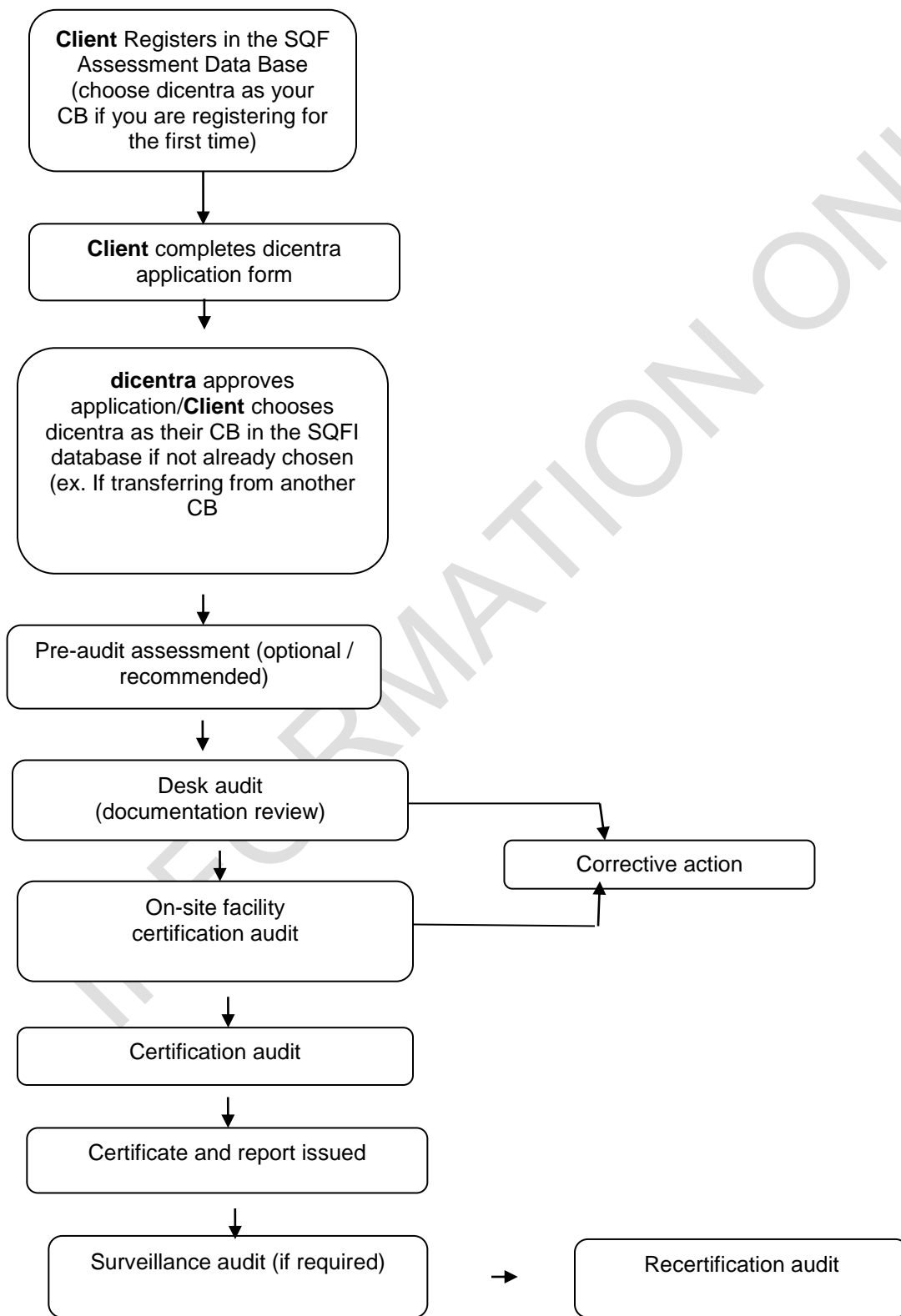
Quality Code: Quality Management System Development – Includes the requirements of a food quality risk analysis of the product(s) and associated processes has been completed, and the actions taken to prevent the occurrence of poor quality have been implemented and the remaining quality management system 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             │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────────┐
│ Pre-audit assessment        │
│ (optional / recommended)    │
└─────────────────────────────┘
              │
              ▼
┌─────────────────────────┐
│ Desk audit              │──────────┐
│ (documentation review)  │          ▼
└─────────────────────────┘    ┌──────────────────┐
              │                │ Corrective action│
              ▼                └──────────────────┘
┌─────────────────────────┐          ▲
│ On-site facility        │──────────┘
│ certification audit     │
└─────────────────────────┘
              │
              ▼
┌─────────────────────────┐
│ Certification audit     │
└─────────────────────────┘
              │
              ▼
┌─────────────────────────┐
│ Certificate and report  │
│ issued                  │
└─────────────────────────┘
              │
              ▼
┌─────────────────────────┐     ┌─────────────────────┐
│ Surveillance audit      │ ──▶ │ Recertification     │
│ (if required)           │     │ audit               │
└─────────────────────────┘     └─────────────────────┘
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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 8.1, complete the application form included in the information package (Appendix 1) and forward to dicentra Global Certifications fax 416- 361-3304 or emailed PDF to **peter@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)	High Risk Food Sector (HR)
01	Production Capture and Harvesting of Livestock and Game Animals	
02	Not in Use	
03	Growing and Production of Fresh Produce and Nuts	HR
04	Fresh Produce and Nuts Pack House Operations	
05	Extensive Broad Acre Agricultural Operations	HR
06	Harvest and Intensive Farming of Fish	HR
07	Slaughterhouse, Boning and Butchery Operations	
08	Processing of Manufactured Meats and Poultry	HR
09	Seafood Processing	HR
10	Dairy Food Processing	HR
11	Agriculture and Honey Processing	HR
12	Egg Processing	HR
13	Bakery and Snack Food Processing	HR
14	Fruit, Vegetable and Nut Processing, and Fruit Juices	HR

15	Canning, UHT and Aseptic Operations	HR
16	Ice, Drink and Beverage Processing	HR
17	Confectionary Manufacturing	HR
18	Preserved Foods Manufacture	HR
19	Food Ingredient Manufacture	HR
20	Recipe Meals Manufacture	HR
21	Oils, Fats, and the Manufacture of oil or fat-based spreads	
22	Processing of Cereal Grains	HR
23	Food Catering and Food Service Operations	HR
24	Food Retailing	
25	Repackaging of Products not Manufactured on-site	
26	Food Storage and Distribution	
27	Manufacture of Food Packaging	
28	Not in Use	
29	Not In Use	
30	Not in Use	
31	Manufacture of Dietary Supplements	HR
32	Manufacturer of Pet Foods	HR
33	Manufacture of Food Processing Aids	
34	Manufacturing of Animal Feed	HR
35	Not in Use	

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.

Desk Audit (Documentation Review)

Before proceeding to the certification (facility) audit, dicentra Global Certifications conducts a comprehensive desk audit of the facility's documentation to ensure that it meets the requirements of the relevant SQF Code, and to ensure that it has been developed and/or validated by an SQF Practitioner.

This must be carried out before the site (certification) audit occurs. For new applicants dicentra Global Certifications recommends that the desk audit be conducted on-site, approximately six weeks before the

certification audit to allow time for all corrective actions to be implemented before proceeding to the site audit. Off-site desk audits are an option under certain circumstances, but are not recommended.

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 desk and 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)		
Facility 3 (if applicable)		
Facility 4 (if applicable)		
Facility 5 (if applicable)		
Facility 6 (if applicable)		
Facility 7 (if applicable)		
Facility 8 (if applicable)		
Facility 9 (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 8.1	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		
3		
4		
5		
6		
7		
8		
9		

SECTION B: CONTACT INFORMATION – *Please complete for senior management & person responsible for SQF Program*

Senior Management Representative	Is this person: 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*
	Email address

Telephone # and Extension

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		
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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □		
Services Required	□ **Pre-audit Assessment**	□ **Desk Audit (required for initial certification audit)**	□ **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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □		
Services Required	□ **Pre-audit Assessment**	□ **Desk Audit (required for initial certification audit)**	□ **Facility Audit**

Facility 3 (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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □		
Services Required	□ **Pre-audit Assessment**	□ **Desk Audit (required for initial certification audit)**	□ **Facility Audit**

Facility 4 (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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □		
Services Required	□ **Pre-audit Assessment**	□ **Desk Audit (required for initial certification audit)**	□ **Facility Audit**

Facility 5 (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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □

Services Required	□ **Pre-audit Assessment**	□ **Desk Audit (required for initial certification audit)**	□ **Facility Audit**

Facility 6 (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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □

Services Required	□ **Pre-audit Assessment**	□ **Desk Audit (required for initial certification audit)**	□ **Facility Audit**

Facility 7 (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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □

Services Required	□ **Pre-audit Assessment**	□ **Desk Audit (required for initial certification audit)**	□ **Facility Audit**

Facility 8 (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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □

Services Required	□ **Pre-audit Assessment**	□ **Desk Audit (required for initial certification audit)**	□ **Facility Audit**

Facility 9 (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 □ 23 □ 24 □ 25 □ 26 □ 27 □ 28 □ 29 □ 30 □ 31 □ 32 □ 33 □ 34 □ 35 □

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GLOBAL CERTIFICATIONS

Services Required	☐ Pre-audit Assessment	☐ Desk Audit (required for initial certification audit)	☐ Facility Audit

SQF Food Sector (as defined in the GFSI Guidance Document, Current Edition)	Category (Client Scope of Certification)	Applicable SQF Code Modules	Products to be Covered
01	Production, Capture and Harvesting of Livestock and Game Animals	2: System Elements 5: GAP for Farming of Animal Products	
02	Not In Use	2: System Elements 3: GAP for Single Feed Production	
03	Growing and Production of Fresh Produce	2: System Elements 7: GAP for Farming Fruit and Vegetable Products	
04	Fresh Produce Pack House Operation	2: System Elements 8: GAP for Farming of Grains and Pulses	
05	Extensive Broad Acre Agricultural Operations and Seed Production	2: System Elements 8: GAP for Farming of Grains and Pulses	
06	Harvest and Intensive Farming of Fish	2: System Elements 6: GAP for Farming of Fish	
07	Slaughterhouse, Boning, and Butchery	2: System Elements 9: GMP for Pre-Processing of Animal Products	
08	Processing of Manufactured Meats and Poultry	2: System Elements 11: GMP for Pre-Processing of Food Products	
09	Seafood Processing	2: System Elements 11: GMP for Pre-Processing of Food Products	
10	Dairy Food Processing	2: System Elements 11: GMP for Pre-Processing of Food Products	
11	Honey Processing	2: System Elements 11: GMP for Pre-Processing of Food Products	
12	Egg Processing	2: System Elements 11: GMP for Pre-Processing of Food Products	
13	Bakery and Snack Food Processing	2: System Elements 11: GMP for Pre-Processing of Food Products	
14	Fruit and Vegetable Processing	2: System Elements 11: GMP for Pre-Processing of Food Products	
15	Canning, Pasteurizing, UHT and Aseptic Operations	2: System Elements 11: GMP for Pre-Processing of Food Products	
16	Ice, Drink and Beverage Processing	2: System Elements	

		11: GMP for Pre-Processing of Food Products	
17	Confectionary Manufacturing	2: System Elements 11: GMP for Pre-Processing of Food Products	
18	Preserved Foods Manufacture	2: System Elements 11: GMP for Pre-Processing of Food Products	
19	Food Ingredient Manufacture	2: System Elements 11: GMP for Pre-Processing of Food Products	
20	Recipe Meals Manufacture	2: System Elements 11: GMP for Pre-Processing of Food Products	
21	Oils, Fats, and the Manufacture of Oil or Fat-Based Spreads	2: System Elements 11: GMP for Pre-Processing of Food Products	
22	Processing of Cereal, Grains, and Nuts	2: System Elements 11: GMP for Pre-Processing of Food Products	
23	Food Catering and Food Service Operations	Not Applicable at this Time	N/A
24	Food Retailing	Not Applicable at this Time	N/A
25	Fresh Produce Wholesaling and Distribution	2: System Elements 12: GMP for Transport and Distribution of Food Products	
26	Food Wholesaling and Distribution	2: System Elements 12: GMP for Transport and Distribution of Food Products	
27	Manufacture of Food Sector Packaging Materials	2: System Elements 13: GMP for Production of Food Products	
28	Provision of Crop Spray Services	Not Applicable at this Time	N/A
29	Provision of Field Harvest Services	Not Applicable at this Time	N/A
30	Provision of Sanitation and Hygiene Services	Not Applicable at this Time	N/A
31	Manufacture of Dietary Supplements	2: System Elements 11: GMP for Pre-Processing of Food Products	
32	Manufacture of Pet Foods	2: System elements 11: GMP for processing of pet food products	
33	Manufacture of Agricultural Chemicals and Food Processing Aids	2: System Elements 11: GMP for Pre-Processing of Food Products	
34	Manufacture of Animal Feeds	2: System Elements 11: GMP for Pre-Processing of Food Products	

35	Not In Use	N/A	N/A

SECTION D: TIMELINE

Pre-audit Assessment (Optional)	From:	To:
Desk Audit (required for initial certification audit)	From:	To:
Facility Audit (Announced)	From:	To:

Facility Audit (Unannounced) – This does not apply to clients with multiple sites Please check off the cycle during which you would like the unannounced audit to be undertaken. Please also indicate any blackout dates (days during which facility is not operating for legitimate business reasons)	Complete the section below only if you are applying for an initial certification audit.	Complete the section below only if you are applying for a recertification audit.
	□ Cycle 1 (and every three years thereafter) □ Cycle 2 (and every three years thereafter) □ Cycle 3 (and every three years thereafter) Blackout dates (if applicable): _____ Reasons for blackout dates: _____	□ 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	Facility 3	Facility 4	Facility 5	Facility 6	Facility 7	Facility 8	Facility 9
Size of facility in square feet:									
Size of storage area (if applicable):									

	Facility 1 (Central Site)	Facility 2	Facility 3	Facility 4	Facility 5	Facility 6	Facility 7	Facility 8	Facility 9
# of processing lines:									
# of HACCP plans:									

EMPLOYEE INFORMATION

	Facility 1 (Central Site)	Facility 2	Facility 3	Facility 4	Facility 5	Facility 6	Facility 7	Facility 8	Facility 9
# 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 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.	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**

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:	

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GLOBAL CERTIFICATIONS

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			

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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	