1.0 Scope

Registration is open to all interested organizations. This procedure describes the events, which occur during the registration process. The purpose of the registration process is to assess the extent of any applicant's organizational conformance with the SQF Code Ed. 7.2 to which they are making application. All organizations that utilize UL Registrar's (UL R) assessment services are required to comply with all of the relevant provisions contained herein, including implementing appropriate changes when they are communicated by UL Registrar, LLC.

The organization shall make all necessary arrangements for UL Registrar LLC (UL R) personnel to conduct the assessment, including provisions for examining documentation, access to all areas, records, investigation of complaints, participating observers and personnel for the purpose of audits, surveillance, re-registration, follow-up, special audits and resolution.

2.0 Program Participation – Application

Organizations to undergo assessment for the first time or are returning clients must provide UL Registrar LLC pre-audit information on the Audit Request Profile form supplied by UL R to include but not limited to the following:

- The size and location of the facility to undergo audit,
- the number of employees at the facility,
- all requested audit scope(s) under audit,
- and a list of all finished products manufactured, packaged or stored, which may be provided for retail or wholesale trade.

Select the Certification Level

The Supplier must choose from one of 3 levels of Certification, based on the needs of their customer and the stage of development of the Supplier's Food Safety and Quality Management System. The 3 levels of Certification are:

Level 1 Food Safety Fundamentals: An entry level for new and developing businesses covering only GAP / GMP / GDP requirements and basic food safety elements (Module 2);

Level 2 Certified HACCP Based Food Safety Plans: Incorporates all Level 1 system requirements and additionally requires that a food safety risk analysis of the product and its associated processes has been completed to identify the hazards and the action taken to eliminate, prevent or reduce their occurrence. System elements in Module 2 at Level 2 are required;

Level 3 Comprehensive Food Safety and Quality Management System: Incorporates all Levels 1 and 2 system elements and indicates that a food quality risk analysis of the product and its

associated process has been completed, that the actions taken to prevent the incidence of poor quality have been implemented. System elements in Module 2 at Level 3 are required.

Submission of the completed Audit Request Profile form by the Organization is the first step in the registration process. The Audit Request Profile form may be filled out on behalf of an organization by a UL R representative utilizing information provided by the organization to UL R.

Submission of the completed Audit Request Profile form and acceptance by UL R of the completed form is not binding on the organization or UL R. The purpose of the form is simply to start the quotation process.

Agreement

Upon receipt of the Audit Request Profile Sheet, a Contract/Proposal (Agreement) will be forwarded to the applicant. This document will be used as a contractual agreement between UL Registrar LLC and the organization to carry out certification services.

A copy of the Agreement will be provided to the applicant for the purpose of signing. To the extent that there is any inconsistency between this "Procedure for Certification" document and the final contractual agreement (proposal), the terms of this procedure shall control. Signatures by both parties indicate mutual agreement of the contract acceptance, including the scope of certification and any exclusion(s), the certification costs, and the associated Terms and Conditions. Amendments to the contract, as agreed on by both parties, may be issued as necessary, however, the scope of certification **cannot** be changed once the Facility Audit has begun.

The scope of certification, including site, food sector categories and products must be clearly identified and agreed upon between UL Registrar and the Supplier prior to the initial certification audit and included in the scope of the initial certification audit and all subsequent audits.

The agreement includes:

- the scope of certification including the SQF Code, Level of Certification and Module to be applied;
- supplier / company name, site address(es) to which the Certification will apply and postal address, telephone and fax numbers and email address;
- name of supplier / company representative, their telephone and fax number and email address;
- Food Sector Category(s) and Products to be covered by the Certification;
- Estimated date of the Certification Audit;
- Suppliers consent to have their Certification of Registration details as outlined in Section 12.0 of this Procedure displayed on SQFI's website;
- UL Registrar's Complaints, Disputes and Appeals process; and

- The requirement that the Supplier must notify UL R in the event of a food safety incident (recall) by the Supplier at any time during their Certification in a timely manner, as noted in Section 13.0 in this Procedure.

Cancellation of the Agreement requires that the Certificate of Conformity to be immediately withdrawn. The Certificate of Conformity is the property of UL Registrar LLC and must be surrendered without delay upon request to do so. All Certification Marks provided for use by the organization shall be surrendered as well as all advertising bearing the marks removed immediately from use and/or public domain.

The required number of audit days is determined using the most recent version of the SQF Audit Duration Guidance with consideration to such scenarios where interpreters are required, technical experts, high risk, low risk products, complex processes, etc.

* Interpreters will be provided by UL R, if necessary, to ensure that competency and conflict of interest requirements are met.

It may be required to make use of technical experts for conducting assessments/audits. In this case, UL R will communicate with the applicant, obtain their consent, and prior to providing the quote. The use of technical experts in audits will be as per SQF guidelines.

UL R will attempt to schedule pre-assessments and assessments on mutually acceptable dates with the Organization. If this is not possible, assessments will be scheduled at the earliest possible date acceptable to the organization that UL R personnel are available.

If the Organization is currently registered with another registrar or is seeking a joint registration with another registration entity and wishes to coordinate registration activities with UL R, the Application shall be completed. Upon receipt of such application and request for transfer, UL R will follow the guidelines of QSLP 3.6 Transfer of Accredited Certification/Registration prior to accepting Application for Registration in this case.

Should the organization desire, in advance of their planned assessment activities, to evaluate their Management System on the basis of the checklist that will be utilized by UL R's audit team, they may do so by: (a) purchasing a copy of the Document and Facility Review checklist found online at the SQFI store.

3.0 SQF Registration Activity

The entire site, including all premises, support buildings, silos, tanks, loading and unloading bays and external grounds must be included in the scope of certification. Where a supplier seeks to exempt part of the site for any reason, the request for exemption must be submitted to the UL R in writing and shall be listed in the facility description in the SQF assessment database. However all parts of the premises and process that are involved with the production, processing and storage of products included in the scope cannot be exempted. SQF allows that, in some cases, certain quality system requirements may be excluded due to the nature of the organization's product, customer requirements or the applicable regulatory requirements. While such exclusions may reduce the complexity of the system and the resources required,

they may not affect the organization's ability, or absolve it of its responsibility, to provide product that meets customer and applicable regulatory requirements. Any such exclusion that is claimed must be clearly defined and justified in the Quality Manual and identified in the scope of registration. At the time of audit, should any claimed exclusions be found inappropriate, additional time may be required on-site and/or the registration audit may be unsuccessful.

Exempted products will not be listed on the Certificate and shall not be promoted by the Supplier as being covered by the Certification. Instances where promotion of exempted products or processes are identified and substantiated (either by regular audit or by other means) will result in immediate withdrawal of the SQF Certification.

4.0 SQF Certification Assessment

Stage 1 – Off-site Audit Preparation and Documentation Review

Approximately 2-4 weeks in advance of the certification audit activity, UL Registrar will schedule an on-site Desk Audit of your Food Safety & Quality Management System documentation, including your quality manual and procedures. Desk Audits are conducted by ULR SQF Auditors and are qualified accordingly. The documentation will be reviewed to determine that the documentation adequately addresses the requirements of SQF.

Before commencing an on-site Certification Audit UL Registrar shall complete a comprehensive review of the SQF System as presented at a Desk Audit to ensure that:

- The Supplier's SQF System meets the requirements of the relevant SQF Code;
- SQF Plans have been derived as required in the relevant SQF Code and that they have been developed, validated and verified by an SQF expert; and
- There is substantiated evidence to show that Food Safety Plans were derived using the HACCP Method.

In addition to its evaluation plan for all SQF System Certification activities UL Registrar shall prepare a written site audit plan and make that plan available to the auditee's designated contact or Management Representative.

Any significant omissions identified by UL Registrar will be reported to you in writing. During the Desk Audit, the Audit checklist will be developed to enable the audit team to reference applicable requirements within your organization's documented system prior to conducting the Stage 2 Initial Audit. No changes to the scope can be made once the On-site Initial Certification (Facility) Audit Activity begins.

Where a supplier operates under seasonal conditions (a period in which the major activity is conducted over 5 consecutive months or less) the Certification audit must be completed within 30 days from the start date of the season.

Stage 2 - On-site Initial Certification (Facility) Audit Activity

The Stage 2 Initial Audit comprises of an on-site evaluation of your implemented system as well as the SQF requirements. There should be a minimum of 3 weeks between the Stage 1 Document Review Audit to ensure all corrective actions from Stage 1 were submitted and approved by the Auditor prior to conducting the on-site facility audit. UL R and the Supplier must be agreed on the scope of the audit before the on-site audit occurs and cannot be changed once the audit has commenced. In reviewing the adequacy and effectiveness of your Food Safety & Quality Management System (FSQMS), the auditors will interview personnel in any department or area, which have responsibilities and authorities associated with the intended scope of your registration.

The Certification Audit of the SQF System is undertaken to verify the effectiveness of the Supplier's SQF System in its entirety. It shall establish that:

- The effective interaction between all elements of the SQF System; and
- That the Supplier has demonstrated a commitment to maintaining the effectiveness of the SQF System and to meeting regulatory and customer requirements.

Audit results are reported verbally at the conclusion of the audit, and subsequently in a written report. Any major system weakness or non-conformance to the standard identified during the Initial Audit must be addressed to the satisfaction of ULR prior to the registration of your system.

Stage 2 - On-site Initial Certification / Seasonal Production

Initial Certification Audits for Suppliers involved in seasonal production (i.e. a period in which the major production activity is conducted over more than 5 consecutive months) must 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, UL R and the Supplier must agree to conduct the initial audit during the highest risk and / or highest volume production operation. Documentation and records for other seasonal production will be reviewed as part of the Certification Audit.

5.0 The SQF Registration/Certification Decision Process

Following the off-site Stage 1 Desk Audit and on-site Stage 2 Initial Audit Activities, members of the ULR management will review the audit team's recommendation, written report and all associated documentation independently. Certification of SQF Systems shall not be granted unless a **"C"** Audit rating or greater is achieved, all Major and Critical Non-conformities have been corrected and those corrections verified by ULR (by site visit or other appropriate means).

When this review determines that all requirements have been met, **ULR will register your organization and issue the SQF Certificate of Registration to your organization for the scope of the services evaluated** in accordance with the guidelines listed below.

Once the decision to grant Certification is made, ULR shall apply to the SQFI for a unique Certification Number for that Certification. Within ten (10) days of receiving the unique Certification Number, ULR shall provide to the Supplier:

- A Certificate of Registration meeting the requirements of SQF and specifying the scope of registration;
- An electronic copy of the relevant Certification Trade Mark (*only when certified to Level 3*) which shall include the ULR name/logo;
- A statement detailing the duration of the Certification and the grounds upon which Certification may be suspended or withdrawn;
- The Audit Report including the Audit rating;
- The requirements for undertaking Surveillance Audits and Re-certification Audits and their frequency; and
- Where the Scope of Certification is changed (i.e. expanded or reduced) as a result of an Audit, a new Certificate of Registration shall be issued which includes the changed Scope of Certification and ULR shall notify the SQFI of the change.

6.0 Surveillance Audits

The surveillance audit is conducted when the supplier attains a “C-complies” rating a certification or re-certification audit. The surveillance audit shall be conducted within thirty (30) calendar days either side of the six (6) month anniversary of the last day of the previous certification or re-certification audit. A new score and rating is issued at the surveillance audit, however the re-certification audit date is not affected.

The purpose of the Surveillance Audit is to:

- Verify the continued efficacy of corrections and corrective actions close out at previous audits;
- Verify that the SQF System continues to be implemented as documented;
- Consider and take appropriate action where changes to the Supplier’s operations are made and the impact of those changes on the Supplier’s SQF System;
- Confirm continued compliance with the requirements of the relevant SQF Code;
- Verify all critical steps remain under control; and
- Contribute to continued improvement of the Supplier’s SQF System and business operation.

Major or minor non-conformities raised at the surveillance audit shall be closed out within the same timeframe as defined for certification and re-certification audits. The supplier’s certificate shall be suspended by UL Registrar if:

- The supplier fails to permit the surveillance audit within the required timeframe;
- A critical non-conformance is raised at the surveillance audit, or;
- The supplier fails to close out major or minor non-conformities within the agreed timeframe.

ULR, at its discretion, will conduct a minimum of one (1) Surveillance Audit, six (6) months after the date of the Certification Audit and the date of the Re-certification Audit. Surveillance Audits shall be conducted within thirty (30) days of the due date. The detail covered by ULR during the Surveillance Audit shall be sufficient to establish the effective implementation and ongoing maintenance of the SQF System.

7.0 Annual Recertification

ULR will conduct a Recertification Audit of the SQF System to verify the continued effectiveness of the Supplier's SQF System in its entirety. The Recertification Audit shall provide for a review of past performance of the SQF System over the period of Certification and may replace and/or extend a regular Surveillance Audit. It shall ensure:

- Verify the continued efficacy of corrections and corrective actions closed out at previous audits;
- Verify that the SQF System continues to be implemented as documented;
- Consider and take appropriate action where changes to the supplier's operations are made and the impact of those changes on the supplier's SQF System;
- Verify all critical steps remain under control and the effective inter-action between all elements of the SQF System;
- Verify the overall effectiveness of the SQF System in its entirety in the light of changes in operations;
- Verify that the supplier continues to demonstrate a commitment to maintaining the effectiveness of the SQF System and to meeting regulatory and customer requirements; and
- Contribute to continued improvement of the supplier's SQF System and business operation.

Recertification audits are conducted annually following the initial certification audit to verify that your organization continues to satisfy the Standards' requirements under which you've been registered. The time allocated shall be based on factors such as the size, complexity of operations, whether it involves a High Risk Product and/or High Risk Process, the degree of organization of the Supplier and the number of locations.

ULR shall schedule the Recertification Audit within thirty (30) days of the anniversary date of the Initial Certification Audit. As opposed to annual Surveillance audits, the Recertification audit is more in depth and closely resembles the Initial Certification Audit, though of slightly reduced duration. Audit results are reported verbally at the conclusion of the audit, and subsequently in a written report. Any critical or major non-conformance to the standard identified must be corrected to the satisfaction of ULR, prior to recommendation to the Certification Committee for renewed registration of your system.

Upon conclusion of the audit, ULR management will review the audit team's recommendation, written report and all associated documentation independently to verify that all requirements have been met. Once satisfied, **ULR will re-certify your organization and reissue a new SQF Certificate of Registration to your organization for the scope of the services evaluated.** This new certificate shall be valid for one (1) year, subject to continued conformance through Surveillance or other appropriate means.

8.0 Unannounced Re-certification Audit

Within three (3) certification cycles UL Registrar shall conduct one (1) unannounced re-certification audit of the certified organization. The unannounced audit shall occur in the supplier's facility within the sixty (60) day re-certification window (i.e., the anniversary date of the initial certification audit +/- thirty (30) days). Currently certified SQF suppliers shall be required to undertake one (1) unannounced audit within the three (3) year certification cycle.

- The supplier's certification cycle begins with the initial certification audit date. Unannounced re-certification audits shall occur once in every three (3) certification cycles.
- Unannounced audits shall not be conducted on the initial certification audit or on a surveillance audit.
- If a supplier changes certification bodies, the supplier's unannounced re-certification audit schedule shall not change.
- The unannounced re-certification audit shall follow the protocol under the SQF Code, Part A, section 4.3 and 4.4.
- Multi-site suppliers are exempted from unannounced audits.
- The date of the unannounced audit shall be determined by UL Registrar within the 60 day re-certification audit window. The unannounced audit year shall be determined between the certified organization and UL Registrar.
- A defined blackout period shall be established by negotiation between the certified organization and UL Registrar that prevents the unannounced re-certification audit from occurring out of season or when the facility is not operating for legitimate business reasons.
- Immediate suspension of the supplier certificate will occur in facilities that refuse entry to the auditor for an unannounced audit.

9.0 Non-Conformance

ULR will identify any lapse of conformance within the Supplier's system through the use of Corrective Action Request (CAR). CAR shall be completed by the supplier within the SQFI database and in accordance with the requirements below:

A **Minor Non-conformity** is an omission 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 System element breakdown. A Minor Non-conformity shall be corrected within thirty (30) days. In circumstances where there is no immediate threat to product safety or quality, extensions may be granted by ULR but a Minor Non-conformity shall be corrected and appropriate Corrective Action verified by the SQF Auditor before or at the next Surveillance or Re-certification Audit.

A **Major Non-conformity** is an omission or deficiency in the SQF System producing unsatisfactory conditions that carry a food safety or quality risk and likely to result in a System element breakdown. A Major Non-conformity shall be corrected and appropriate Corrective Action verified within fourteen (14) days. In circumstances where the Corrective Action involves structural change or where the Major Non-conformity cannot be Corrected due to seasonal conditions, or where there is no immediate threat to product safety or quality this period can be extended provided the Corrective Action time frame is acceptable to ULR. In such cases the

Major Non-conformity shall be corrected and appropriate Corrective Action verified by the SQF Auditor before or at the next Surveillance or Re-certification Audit.

A **Critical Non-conformity** is a breakdown of control(s) at a critical control point, a pre-requisite program, or other process step and judged likely to cause a significant public health risk and / or where product is contaminated. If a Critical Non-conformity exists, the SQF Auditor immediately advises UL R and the Supplier. A Critical results in automatic failure of the audit and the Supplier must re-apply for Certification. Where a Critical Non-conformity is detected at the Audit ULR will suspend or withdraw the SQF Certificate of Registration. The criteria for dealing with suspensions and withdrawals of Certification are outlined in the Sections 14.0 and 15.0 of this Procedure.

All Non-conformities and root cause analysis shall be completed / submitted through use of the SQFI database by utilizing the procedure found at: http://www.sqfi.com/ .

Audit Score and Rating

Based on the evidence collected by the UL R SQF Auditor, each applicable aspect of the SQF Facility Audit (Initial Certification, Surveillance, Recertification) is automatically scored when the report is input into 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	Major Non-conformity (Aspect does not meet the criteria)
50	Critical Non-Conformity (Aspect does not meet the criteria)

A single rating is calculated for the facility audit as (100 – N) where N is the sum of an 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 UL Registrar. The audit rating level is indicated as follows:

Score	Rating	Certification (Certification also requires that all Majors are closed out within 14 calendar days and Minors w/in 30 calendar days.)	Audit Frequency
96 - 100	E – Excellent	Certificate Issued	12 Monthly recertification audit
86 - 95	G - Good	Certificate Issued	12 Monthly recertification audit
70 - 85	C - Complies	Certificate Issued	6 Monthly recertification audit
0 - 69	F – Fails to Comply	No Certificate Issued	Considered to have failed the SQF Audit

Failure to Comply

Where a supplier achieves an "F – Fails to Comply" rating at a Certification Audit, the Supplier is considered to have failed the SQF audit. The Supplier must then re-apply for another facility audit.

When the Supplier's re-application occurs within 6 months of the last audit date, and with the same Certification Body (UL Registrar), a desk audit is not required and the Supplier can proceed with Scheduling a Facility audit.

10.0 Clients Prerequisite Requirements

The registration process requires that an operational Management System be in place at the time of the audit. This means that at a minimum:

The System is fully documented and has been implemented.

- The supplier's SQF System meets the requirements of the relevant SQF Code;
- SQF Plans have been derived as required in the relevant SQF Code and that they have been developed, validated and verified by an SQF Expert;
- Substantiating evidence to show that Food Safety Plans were derived using the HACCP method;
- The Internal Audit system is fully implemented, with one complete round of internal audits completed and the system demonstrates effectiveness;
- A complete Management Review cycle has been carried out;
- A Management Representative/SQF Expert has been appointed who is responsible for ensuring complete implementation of the Food Safety & Quality Management System and who will assist the audit team during the assessment process.

11.0 Optional - Pre-assessment

The opportunity for an optional Pre-assessment exists up until you undergo your Stage 1 Desk Audit. The benefits of the optional pre-assessment are that it provides you with a good indication of whether your system meets the prerequisite requirements listed above and that your system appears in compliance with the SQF Code. It further provides the opportunity for your organization to meet and work with your assigned lead auditor in advance of the initial audit. It provides an opportunity to have a second set of eyes review your documentation and practices, rather than having those familiar with the documentation/practices review their own work. Pre-assessments may be tailored to meet your specific needs, including both audit content and duration. The typical pre-assessment usually entails a single (1) audit day, however additional days can be provided at your request.

The Pre-assessment visit is concluded with a verbal summary of findings and if desired, a brief written summary of those findings can be forwarded prior to the Initial Certification Audit.

12.0 SQFI Assessment Database / Information Sharing Agreement

Upon completion of the Initial Certification Audit, the Supplier's Certificate of Registration details will be made available on the SQFI web portal for public display. The minimum amount of information provided will be displayed as follows:

Supplier's name, state/province/country, Certificate type and Registration number, Certification renewal date, Food Sector Category (FSC), Product(s) covered by the Certificate of Registration, and Modules implemented.

Upon written request and authorization of Supplier, ULR provides the following details accessible by customers via the SQFI web portal:

Customer/retailer name, Supplier name, state/province, country, Certificate type and Registration number, Certification renewal date, Certification Level, Certification expiry date, Food Sector Category(s), SQF Expert Name, Audit rating, name of Certification Body, Auditor name, Audit frequency, date of last Audit and Modules implemented.

13.0 Mandatory Complaint(s) Reporting

By signed agreement of this proposal the Supplier confirms acceptance of the requirements of this clause. This clause deals only with complaints received by the Supplier, not by ULR.

Complaints may indicate a possible Non-conformity. On receipt of a complaint involving a Critical or Major Non-conformity the Supplier shall notify ULR without delay. In addition the Supplier shall establish the cause of the non-conformity and implement immediate and appropriate corrective action.

ULR shall, either at Surveillance Audits or as otherwise determined, check where any such Non-conformity or failure to meet the requirements of the relevant SQF Code is identified, that the Supplier has investigated its own systems, procedures and has taken appropriate corrective action.

ULR shall satisfy itself that the Supplier is using such investigations to develop remedial/corrective action, which shall include measures for:

- Notification to appropriate authorities if required by regulation;
- Restoring conformity as quickly as practicable;
- Preventing recurrence;
- Evaluating and mitigating any adverse food safety aspects and the associated impacts;
- Ensuring satisfactory interaction with other components of the SQF System; and
- Assessing the effectiveness of the remedial/corrective measures adopted.

The implementation of the remedial or corrective action shall not be deemed to have been completed until its effectiveness has been demonstrated and the necessary changes made in the procedures, documentation and records.

14.0 Suspension of Certification

UL R has the right to suspend the SQF Certificate if the supplier:

- Fails to remit payment to UL R within a reasonable amount of time;
- Fails to permit the recertification or surveillance audit;
- Receives an "F – Fails to Comply" rating;
- Fails to take corrective action;
- Fails to permit an unannounced audit;
- Fails to take corrective action within the timeframe specified; or
- Where in the opinion of UL Registrar, fails to maintain the requirements of the SQF Code.

UL R will immediately amend the details in the SQF assessment database when a Supplier's Certificate has been suspended, indicating the reason for the suspension, the date of effect. UL R will provide to the Supplier in writing with the SQFI Senior Technical Director on copy:

- Reasons for the actions taken and the date of effect;
- That the Supplier is required to provide a detailed corrective action plan outlining the corrective action to be taken within 48 hours of receiving the notice of suspension.

Upon receipt of the detailed corrective action, UL R will:

- Will schedule an on-site audit w/in 30 days of receiving the corrective action plan to verify that the immediate correction has been taken;
- Re-instate the Supplier stratus on the SQFI database once corrective action has been successfully implemented, and provide written notice to the Supplier that their certificate is no longer suspended with SQFI copied.
- Conduct a Surveillance audit no more than 6 months after suspension to verify the effective implantation of the corrective action plan and that the Supplier's SQF System is achieving stated objectives.

The Supplier shall not represent itself as holding an SQF certificate during the duration of the suspension.

Level 3 Suppliers must comply with the SQF Code's Reference *Appendix 3: SQF Quality Shield and Logo Rules of Use*.

15.0 Withdrawing Certification

UL R will withdraw the SQF Certificate when the Supplier:

- Has been placed under suspension and fails to submit approved corrective action plans as defined in Section 14.0 of this Procedure, or take approved corrective action as determined by UL R within the timeframes specified;
- Has falsified records;
- Has an administrator, receiver, receiver and manager, official manager or provisional liquidator appointed over its assets or where an order is made or resolution passed for the closure of the Supplier (except for the purposes of amalgamation or reconstruction) or the Supplier ceases to carry on business or becomes bankrupt, applies to take the benefit of any law for the relief of bankrupt or insolvent debtors or makes any arrangement or composition with its creditors.

In addition, a Level 3 Supplier must comply with the SQF Code's *Reference Appendix 3: SQF Quality Shield and Logo Rules of Use.*

When a Supplier's certificate is withdrawn, UL R will immediately amend the details on the SQF assessment database to "withdrawn" status indicating the reason for the withdrawal and the date of effect. UL R will provide in writing with SQFI on copy:

- Inform the Supplier that the SQF certificate has been withdrawn, the reason for such action and the date of effect; and
- Instruct the Supplier to return the certificate to UL R.

Level 3 Suppliers must comply with the SQF Code's Reference *Appendix 3: SQF Quality Shield and Logo Rules of Use*.

A Supplier whose certificate has been withdrawn must re-apply for certification.

16.0 Seasonal Suppliers

Surveillance Audit for Seasonal Suppliers

Seasonal Suppliers that attain a "C" rating at a certification or recertification audit are subject to a surveillance audit within 30 days on either side of the 6 month anniversary of the last day of the previous certification or re-certification audit.

Where the due date surveillance audit date falls within the operational season, the conditions of Section 6.0 of this Procedure apply. Where the due date of the surveillance audit falls outside the operational season, the surveillance audit will comprise of a full review of corrective actions from the last audit, to ensure preparedness for the next recertification audit.

Re-certification Audits

The recertification audit of Seasonal Suppliers will follow the requirements of Section 7.0 of this Procedure. However, where there is a significant change in seasonal operations whereby the re-certification audit 60 day window cannot be met; UL R and the Supplier may temporarily reset the re-certification audit date so that it falls during the peak operational part of the season.

If the Supplier wishes to permanently change the re-certification audit date due to seasonal conditions, the request must be made to SQFI in writing.

17.0 Changing the Scope of Certification

A Supplier may decide to add a Food Sector Category(s) or product to their scope of certification. If this is the case, the Supplier shall request in writing an increase to their scope of certification to UL R. UL R will determine whether or not an audit of the additional process or products is required. This will depend on the product risk, similarities to existing processes and products, and proximity to the next scheduled audit date.

Based on this determination, UL R will either issue a new certificate, or advise the Supplier in writing why the new certificate cannot be issued.

When a new certificate is issued, UL R will update the SQFI assessment database with relevant details.

Suppliers who wish to move to a different Level (e.g. from Level 2 to Level 3; or from Level 3 to level 2) must wait until their next re-certification audit to do so.

18.0 Notification of Product Recalls and Regulatory Infringements

Upon identification that a certified Supplier initiates a food safety even that requires public notification (Such as a Class 1 or Class II recall or the receipt of a regulatory warning letter), the Supplier shall notify UL R (ULRegistrarQAReportRelease@ul.com) and SQFI (foodsafetycrisis@sqfi.com) within 24 hours of the event. UL Registrar and SQFI shall be listed in the Supplier's essential contacts list as defined in Module 2, element 2.6.3 of the SQF Code.

UL R will then notify SQFI within 48 hours of any action intended to be taken to ensure integrity of the Certification.

19.0 Change of Ownership

When a certified Supplier's business has been sold and the business name retained, the new owner shall notify UL R within 30 calendar days of the change in ownership and apply to retain the SQF certification and the existing certification number. In cases where the ownership of a certified Supplier changes but the staff with major responsibility for the management and oversight of the SQF System has been retained, UL R may retain the existing audit frequency status. In making this application, UL R will determine that staff with major responsibility for the management and oversight of the SQF System has been retained.

If there are significant changes in site management and personnel, UL R will complete a certification audit and issue a new certificate and a new certification number. The audit frequency applicable to a new certification shall apply.

20.0 Relocation of Premises

When a certified Supplier relocates the business premises, the Supplier's certificate is no longer valid until a successful re-certification audit of the new premises is conducted.

21.0 Language

UL R ensures that the SQF auditor conducting the audit can competently communicate in the oral and written language of the Supplier being audited. In circumstances where a translator is required, UL R will provide the translator and ensure that the translator has the knowledge of the technical terms used during the audit. UL R will also ensure that the translator is independent of the Supplier being audited and has no conflict of interest. The Supplier will be notified of any increase in an audit duration and cost associated with the use of a translator.

For the purpose of resolving a conflict, the English version of the SQF Code shall be the deciding reference.

22.0 Conflict of Interest

UL R ensures that SQF auditors disclose any existing, former or proposed link between themselves or their organization and the Suppler. UL R ensures that no potential conflict of interest exists. A Supplier can refuse the service of an SQF auditor when they consider the audit has a conflict of interest, or for other reasons. In such circumstances, the Supplier must outline the reasons in writing and submit in writing to UL R.

23.0 Complaints, Disputes and Appeals

UL Registrar has a procedure for handling complaints, disputes and appeals. It is readily available upon request. A copy can be obtained by emailing ULQAReportRelease@ul.com .

When a Supplier has cause to register a complaint about UL R's activities, or disputes or appeals a decision made by UL R, including the activities and decisions of its auditors, UL R investigates and resolves these matters without delay and keeps records of all complaints, disputes and appeals and their resolution.

When UL R receives a complaint about a supplier from other parties, UL R is required to investigate and resolve the matter without delay and keep records of all complaints, disputes and appeals, and their resolution.

Appeals regarding decisions on the suspension and / or withdrawal of the SQF certification by UL R, do not delay the decision to suspend or withdraw the certification.

When it is determined upon investigation of a complaint that there has been a substantiated breakdown of a Supplier's SQF System or any other condition not in accordance with the SQF Code and / or other supporting documents, UL R will suspend certification as outlined about in Section 14.0 of this Procedure.

Where a complaint is registered about the conduct or behavior of an auditor or UL R personnel, UL R investigates and resolves the complaint without delay and keeps records of all complaints as well as their resolution.

Records of complaints and investigations are available to SQFI upon request.

24.0 Use of Certificate of Conformity, Use of SQF Logo and Quality Shield and Reference to SQF Participation

The Certificate of Conformity, SQF Logo and SQF Quality Shield are the property of SQFI and UL Registrar, LLC and are on loan to the certified organization for its use in accordance with the Agreement for Use of Certification Marks (Certificate of Conformity & Safe Quality Food Logo and SQF Quality Shield) found in the Proposal. If copies of the certification documents are provided to others, the documents shall be reproduced in their entirety.

The organization may refer to involvement with the UL Registrar LLC SQF Certification Program and publish their Certificate in any professional, technical, trade or other business publication; however, such references must not imply product endorsement. Prior approval is required by completing and signing the UL Registrar LLC Agreement for the Use of SQF Certificate and Certification Marks, which outlines the correct use of the certificate and marks.

25.0 Confidentiality

UL Registrar LLC maintains a high level of confidentiality at all levels of its organization concerning information obtained in the course of its business. No information will be disclosed to a third party unless in response to legal process or the organization has requested such disclosure, in writing, in which case UL R will notify the organization prior to disclosing the information.

Upon request, UL R will send duplicate copies of a confidentiality agreement to the organization. Once signed copy of the agreements should be signed and returned prior to the audit.

26.0 Changes Affecting Certification

All organizations that utilize UL Registrar's assessment services are required to implement appropriate changes when they are communicated by UL Registrar, LLC.
Changes or new and revised requirements issued by SQF will be communicated by UL R to the SQF Supplier, which UL R will then verify that the changes were implemented.

27.0 Scheduling

Should you elect to pursue registration through ULR, we will work to coordinate the scheduling of the on-site audit dates with you and will provide the details of our planned audit team representatives for your approval.

28.0 Accreditation & Prior Experience

The registration services offered in this Procedure will be conducted in conformance with the ISO/IEC 17065 Standard. UL Registrar is accredited by the American National Standards Institute (ANSI).