

DQS Audit and Certification Regulations

- Annex of DQS CFS GmbH for Food, Feed, Household & Consumer Products, Biomass Sustainability -



1. Scope and Applicability

This “CFS annex to DQS Audit and Certification Regulations” apply to all audit and certification services offered and rendered to clients of the international DQS Group for management system and product certifications according to the following standards for food, feed, household & consumer products, biomass sustainability. These regulations are only valid in combination with the general DQS Audit and Certification Regulation available in English language at <https://www.dqsglobal.com/intl/about/accreditation-and-notification/dqs-group-auditing-and-certification-rules> or upon request from every DQS office.

2. Standard-specific conditions

Standard	Assessment	Explanation
All product, process and service certifications	witness audit	<p>Auditors approved for product and management system certifications have to be reviewed and assessed during a witness audit by DQS itself in accordance with 4.4 of CF10 in addition to the assessments by accreditation and authorization bodies as listed under 4.2 in CF10. Here, not the audited organization is being assessed but only the auditor.</p> <p>Witness Audits based on DAkKS Accreditation: If applicable and necessary, DAkKS witness audits shall be made possible by both certification body (DQS) and the client which is based upon the requirements ISO/IEC 17021-1, clause 9.2.2.2.1 and ISO/IEC 17011, clause 4.2.</p> <p>Witness-Audits based on approval by BLE (German Federal Office for Agriculture and Food): BLE supervises approved certification bodies as the responsible authority in accordance with the requirements of Biofuel Sustainability Regulation und Biomass Electricity Sustainability Regulation. This is done, among other things, through witness audits to ensure that the certification body's operations, as well as the competence, independence, and reliability of its auditors, are monitored. If applicable and necessary, witness audits shall be made possible by both certification body (DQS) and the client.</p>
All Certifications	observer audit	Persons in training or qualification measures may participate in certification audits as observers. These may be employees from certification, accreditation or authorization bodies as well as scheme owners.
All Certifications	Integrity, Compliance und Stakeholder Audits	Different scheme owners such as ISCC, IFS, BRCGS, FSSC 22000 and responsible authorities (BLE) have determined in the certification rules that both unannounced and announced audits may be performed at certified sites in order to assure compliance to requirements. In accordance with 4.4 of CF10 , these types of audits shall be also made possible by both certification body (DQS) and the client.
All IFS, All BRCGS, FSSC 22000, ISO 22000, EN 15593	Product Recalls and Withdrawals	<p>The requirements according to the document CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall fully apply. Standards specific requirements on reporting and timelines see below.</p> <p>Processing of product recall notifications is subject to a chargeable fee as specified in the price list of DQS CFS GmbH.</p>
All certifications where GFSI Benchmarking Requirements apply	All types of assessment	<p>As outlined in sections 4.2 and 4.6 of CF10, client and audit data/records may be shared with interested parties if necessary and on request. These can be accreditation bodies, regulatory authorities and scheme owners.</p> <p>Additionally, client and audit data/records may be shared with the Global Food Safety Initiative (GFSI) if necessary and required. This is based on the GFSI Benchmarking Requirements (part II, section 5.19).</p>

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All certifications where approval by BLE (German Federal Office for Agriculture and Food) applies	All types of ISCC assessment	As outlined in sections 4.2 and 4.6 of CF10 and based on Biofuel Sustainability Regulation und Biomass Electricity Sustainability Regulation, client and audit data/records may be shared with BLE if necessary and on request. Based on Biofuel Sustainability Regulation und Biomass Electricity Sustainability Regulation, BLE employees and, where applicable, their representatives must be granted full access, inspection, and information rights upon request.
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BRCGS		
BRCGS Food, BRCGS Packaging, BRCGS CP, BRCGS Glutenfree, BRCGS START!	compliance site visits	As part of the routine compliance programme the BRCGS reserves the right to undertake site visits to a certified site. These may be announced or unannounced, independently or accompanying the auditor of the certification body, either as complete or partially conducted audit. Further information can be found in the documents <i>BRCGS030 BRCGS compliance site visit process</i> .
BRCGS Food BRCGS Packaging	Unannounced GFSI audits ("1-in-3")	An unannounced audit shall be carried out every third certification assessment. It is the responsibility of the certification body that this so called "1-in-3" rule will be fulfilled. The certification body shall arrange unannounced audits in a way that the number of "1-in-3" unannounced audits is approximately equal. The unannounced audit can take place at any time during the 4 months prior to the audit due date. If the auditor is denied access to the certified site during an unannounced audit, the certificate shall be withdrawn immediately in accordance with the scheme owner requirements.
BRCGS Food	Additional Module 10 Global G.A.P. Chain of Custody Fresh Produce	For fresh produce manufacturers and packers who wish to make a claim of origination from GLOBAL G.A.P. Integrated Farm Assurance (IFA) certified producer or producer group. GLOBAL G.A.P. Chain of Custody (CoC) certification ensures that produce is fully traceable and segregated throughout the supply chain. A standalone audit is possible. This module can be conducted following a BRCGS Food audit. A separate certificate will be issued.
BRCGS Food	Additional Module 11 Meat Supply Chain Assurance	Developed in response to requests from the meat supply chain and its customers, and the British Meat Processors Association (BMPA) to increase customer confidence and reduce the audit burden on the meat sector. A standalone audit is possible. The module can be conducted following a BRCGS Food audit. A separate certificate will be issued.
BRCGS Food	Additional Module 13 FSMA Preventive Controls Preparedness	Module to assist manufacturing organizations to understand those prescriptive elements within the FSMA Preventive Controls for Human Foods that are not explicitly covered within Global Standard Food Safety A standalone audit is possible This module can be conducted following a BRCGS Food audit. A separate certificate will be issued.
BRCGS Food	Additional Module 14 Meeting Costco requirements	The aim of the module is to expand the scope of the audit against the Global Standard Food Safety to meet Costco requirements and enable supplier partners to demonstrate compliance with Costco specific requirements. A standalone audit is possible. A certificate will not be issued.
BRCGS Packaging	Additional Module 8 Environmental Awareness	Module to assist companies and their customers to develop awareness of the impact of their processes, products and operations on the environment, and to manage those impacts on an ongoing basis. A standalone audit is possible. Separate certificate to main standard is issued.
BRCGS Packaging	Additional Module 10 Plastic Pellet Loss Prevention	The use of the module is voluntary but subject to the customer mandate. It is applicable to companies that manage primarily plastic or polymer based packaging materials. A standalone audit is possible. Separate certificate to main standard is issued.

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BRCGS Packaging	Additional Module 11 HAVI GQS Requirements	Module to assist supplier partners to meet HAVI Global Quality Standard Requirements and enable them to demonstrate compliance with HAVI specific requirements. A standalone audit is not possible. Separate certificate to main Standard is issued
BRCGS Food	Blended Announced Audits	The blended announced audit scheme allows the certification body to consider which requirements of the Standard may be audited using ICT to conduct an off-site remote assessment. This divides the audit requirements into two separate audits.
BRCGS Food BRCGS Packaging BRCGS CP BRCGS START!	Notifications to the certification body	<p>If any of the mentioned information/incidents in will appear in the certified company, the case shall be reported to DQS CFS GmbH within 3 working days via:</p> <ul style="list-style-type: none"> • Incidents regarding legal proceedings → Report to PMFood@dqs.de • regulatory authority insists on action → Report to PMFood@dqs.de • product recalls → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall • adverse media attention relating to product safety → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de • product safety incident with the potential to harm a consumer → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall • significant damage to the site like natural disaster or damage by fire (also applies for BRCGS Glutenfree) → Report to PMFood@dqs.de • change of ownership (also applies for BRCGS Glutenfree) → Please contact your local customer service representative and inform them of the changes • significant change to the operation or scope (also applies for BRCGS Glutenfree) → Please contact your local customer service representative and inform them of the changes <p>DQS CFS is required to follow the requirements laid down in <i>BRCGS049 – Site revisits during certificate life cycle</i>.</p> <p>DQS CFS needs to evaluate if the issued certificate can be maintained or the scope needs adjustment or the certificate needs to be suspended or withdrawn.</p>
BRCGS Glutenfree	Suspension or withdrawal of a site's food safety certification (like IFS Food or BRCGS Food) where this certification is provided by a different certification body	<p>The site shall notify the certification body which issued the last Gluten-Free certificate within 24 hours of the suspension or withdrawal of its GFSI-benchmarked scheme, BRCGS Global Standard START!, or equivalent food safety programme certification, where this certification is provided by a different certification body. The Gluten-Free certification body shall withdraw or suspend the site's BRCGS Global Standard Gluten-Free certification.</p> <p>DQS CFS is required to follow the requirements laid down in <i>GF409 – Position Statements for Issue 4</i>.</p>

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BRCGS Glutenfree	Notifications to the certification body	<p>If any of the mentioned information/incidents in will appear in the certified company, the case shall be reported to DQS CFS GmbH within 24 hours via</p> <ul style="list-style-type: none"> • Incidents regarding legal proceedings → Report to PMFood@dqs.de • regulatory authority insists on action → Report to PMFood@dqs.de • product recalls → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall • adverse media attention relating to product safety → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de • product safety incident with the potential to harm a consumer → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall
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FSSC		
FSSC 22000	Audit requirements	<p>The audit requirements for FSSC certification consist of:</p> <ol style="list-style-type: none"> 1) ISO 22000:2018 food safety management system requirements; 2) Sector specific prerequisite program (PRPs) requirements (ISO/TS 22002-x series or Other specified PRP standard) and; 3) FSSC 22000 Additional requirements.
FSSC 22000	Unannounced FSSC Audit	<p>After the initial certification audit and within each three (3) year period thereafter, for each certified organization, at least one surveillance audit shall be undertaken unannounced.</p> <p>The certified organization can voluntarily choose to replace all surveillance audits by unannounced annual surveillance audits. Recertification audits may be conducted unannounced at the request of the certified organization. Initial certification cannot be conducted as unannounced audit.</p> <p>Unannounced FSSC 22000 Audit (Blackout Days): Blackout days may be agreed in advance between DQS CFS and the certified organization.</p> <p>If the auditor is denied access to the certified site during an unannounced audit, the certificate shall be withdrawn immediately in accordance with the scheme owner requirements.</p>
FSSC 22000	Notifications to the certification body	<p>Communication obligations of certified organizations to the CB within 3 working days related to the following via:</p> <ol style="list-style-type: none"> a) Any significant changes that affect the compliance with the Scheme requirements and obtain advice of the CB in cases where there is doubt over the significance of a change; → Report to PMFood@dqs.de b) Serious events that impact the FSMS or FSQMS, legality and/or the integrity of the certification which include legal proceedings, prosecutions, situations which pose major threats to food safety, quality, or certification integrity as a result of natural or man-made disasters (e.g., war, strike, terrorism, crime, flood, earthquake, malicious computer hacking, etc.);

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		<p>→ Report to PMFood@dqs.de</p> <p>c) Public food safety events (such as e.g. public recalls, calamities, food safety outbreaks, etc.); → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall</p> <p>d) Changes to organization name, contact address and site details; → Please contact your local customer service representative and inform them of the changes.</p> <p>e) Changes to organization (e.g., legal, commercial, organizational status or ownership) and management (e.g., key managerial, decision-making, or technical staff); → Please contact your local customer service representative and inform them of the changes.</p> <p>f) Changes to the management system and scope of operations covered by the certified management system; → Please contact your local customer service representative and inform them of the changes.</p> <p>g) Any other change that renders the information on the certificate inaccurate. → Please contact your local customer service representative and inform them of the changes.</p>
FSSC 22000	Notifications to the certification body in case of critical nonconformity	<p>Notifications to the certification body: When a critical nonconformity is raised at a certified organization DQS must be informed and the certificate shall be suspended within 3 working days of being issued, for a maximum period of six (6) months. In case of a critical nonconformity, the organization shall provide DQS with objective evidence of an investigation into causative factors, exposed risks, and the proposed CAP. This shall be provided to DQS within 14 calendar days after the audit. A separate audit shall be conducted by DQS between six (6) weeks to six (6) month after the regular audit to verify the effective implementation of the corrective actions. The certificate shall be withdrawn when the critical nonconformity is not effectively resolved within the six (6) month timeframe. When a critical NC is raised at an initial certification audit, the audit is failed, and the full certification audit shall be repeated.</p>
ISCC		
ISCC EU	Audit Requirements	<p>Audit Requirements: The scheme is based on the following normative documents: ISCC EU 201 System Basics</p> <p>Any add-ons (CORSIA, JAPAN-Fit, etc.) or specific requirements (forest, agricultural, waste & residues, etc.) are defined in separate ISCC guidelines and must be followed.</p>
ISCC PLUS	Audit Requirements	<p>Audit Requirements: The scheme is based on the following normative documents: ISCC EU 201 System Basics</p> <p>Any add-ons (CORSIA, JAPAN-Fit, etc.) or specific requirements (forest, agricultural, waste & residues, etc.) are defined in separate ISCC guidelines and must be followed.</p>
ISCC EU & PLUS	Integrity Assessments on site	<p>ISCC Integrity is authorized to conduct on-site assessments at certified companies. It is recommended, but not mandatory, that a DQS observer be present during the on-site Integrity Assessment. ISCC generally notifies both the client and the certification body at least four weeks prior to the audit date, but may also conduct unannounced assessments.</p>

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ISCC EU & PLUS	Non-Conformities during Integrity Assessments	If the ISCC representative identifies nonconformities at the system user's site that were not detected during the previous certification audit but should have been detected, or if the ISCC representative identifies nonconformities on the part of the certification body and/or the auditor during the previous certification process, ISCC is entitled to impose sanctions on the certification body.
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IFS		
IFS	Integrity on-site Check	IFS may perform unannounced audit at certified organizations. DQS must not inform clients beforehand. The Integrity on-site Check may be accompanied by a DQS representative.
IFS	Unannounced IFS Audits	An unannounced Audit must be carried out every third certification assessment. The option "unannounced" must be mandatory at least once for every third IFS certification assessment The unannounced audit must be carried out within a defined time window: [-16 weeks; + 2 weeks] based on the due date (= anniversary of the first audit). If the auditor is denied access to the certified site during an unannounced audit, the certificate shall be withdrawn immediately in accordance with the scheme owner requirements.
IFS	Unannounced IFS Audit (Registration)	For an unannounced Audit DQS CFS shall be notified by the company of the registration for this audit four (4) weeks at the latest before the start of the audit time window, in order to register it in the IFS database.
IFS	Unannounced IFS Audit (Blackout Days)	Blackout days together with the non-operating periods, shall be notified to DQS CFS at latest four (4) weeks before the start of the unannounced audit time window and cannot be changed at a later stage.
IFS	Data Protection	We refer to conditions of Annex 1 of IFS Framework contract (for staff on site of certified IFS companies). A copy of Annex 1 is accessible on the DQS homepage under the section DQS CFS general business conditions and specific conditions .
IFS	Sanctions within IFS Integrity Program	We refer to conditions of Annex 4 of IFS Framework contract. A copy of Annex 4 is accessible on the DQS homepage under the section DQS CFS general business conditions and specific conditions
IFS	Extension Audits	An extension audit is an additional audit to extend the current certification scope. This type of audit shall always be performed on-site. Furthermore, it shall be performed during the validity period of the existing certificate.
IFS	Follow-up Audits	A follow-up audit is required in a specific situation where the result from an initial or recertification audit did not allow a certificate to be issued due to one Major non-conformity and a total score $\geq 75\%$. The follow-up audit is focussed on the implementation of actions taken to solve the major non-conformity
IFS	First initial Audit	The first initial audit refers to the very first IFS Food Certification Audit of a production site during which all the requirements of the IFS Food Audit Checklist shall be audited by the auditor. This type of audit is only applicable when there is no previous certification history available.
IFS	New initial Audit	The new initial audit is the IFS Food Audit performed <ul style="list-style-type: none"> ▪ after an interruption in the certification cycle or ▪ after a failed certification audit due to one or several non-conformity(ies) or ▪ a total score $< 75\%$ or ▪ after a failed follow-up audit or ▪ after a failed extension audit.

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<p>IFS Food IFS Logistics IFS Broker IFS HPC</p>	<p>Notifications to the certification body: Extraordinary Information</p> <p>As required in the</p> <ul style="list-style-type: none"> • IFS Food Audit Checklist (Part 2), requirement 1.2.6, • IFS Logistics Audit Checklist (Part 2), requirement 1.2.4 • IFS Broker Audit Checklist (Part 2), requirement 1.2.7 • IFS HPC Checklist (Part 2), requirement 1.2.5, • any changes that may affect the production site's ability to conform to the certification requirements, • recall, • alert on products, changes in organization and management, • important modifications on the products and/or the production methods, • changes in contact address and production sites, • new address of the production site, etc. 	<p>If any of the mentioned information/incidents in will appear in the certified company, the case shall be reported to DQS CFS GmbH within three (3) working days via:</p> <ul style="list-style-type: none"> • any legal entity name change → Please contact your local customer service representative and inform them of the changes • any production site location change → Please contact your local customer service representative and inform them of the changes • any product recall → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall • any product recall and/or withdrawal decided by authorities for food/product safety and/or food/product fraud reasons → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall • any visit from authorities which results in mandatory action connected to food safety, and/or food/ product fraud/ authenticity → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall • any situation within the supply chain which has impact on product safety, quality, legality and authenticity → Report via form on DQS homepage or if the website is temporarily unavailable to PMFood@dqs.de. See also CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall
<p>IFS Food IFS Logistics IFS Broker IFS HPC</p>	<p>Notifications to the certification body: Exceptional Circumstances</p> <ul style="list-style-type: none"> • Pandemic situations • Political conflicts • Natural disasters like earthquake, flood, fire etc. • War, strike, terrorism, crime, malicious computer hacking etc. • any force majeure event, critical resources/services disruption, crisis, emergency situations 	<p>If any of the mentioned information/incidents will appear in the certified company, the case shall be reported to DQS CFS GmbH within three (3) working days via:</p> <p>→ Report to PMFood@dqs.de</p>

ISO 22000 / EN 15593		
<p>ISO 22000 / EN 15593</p>	<p>Notifications to the certification body</p>	<p>a) Incidents regarding legal proceedings, → Report to PMFood@dqs.de</p> <p>b) regulatory authority insists on action, → Report to PMFood@dqs.de</p>

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