

DQS Audit and Certification Regulations

- CFS annex for Food, Feed, Household & Consumer Products -



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 and consumer products. 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 |
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| All product, process and service certifications | Witness audit | Auditors approved for product certifications have to be reviewed and assessed during a Witness Audit by DQS itself in addition to the assessments by accreditation and authorization bodies as listed under 4.2 in CF-10 . Here, not the audited organization is being assessed but only the auditor. |
| 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 standard owners. |
| All Certifications | Integrity, Compliance und Stakeholder Audits | Different scheme owners such as IFS, BRCGS or FSSC 22000/24000 have determined in the certification rules that both unannounced and announced audits may be performed at certified sites in order to assure compliance. |
| All IFS, All BRCGS, FSSC 22000, ISO 22000 | Product Recalls and Product Withdrawals | The requirements according to the document CFS01_SP_07 DQS CFS GmbH Behaviour in the event of a product recall fully apply. Processing of product recall notifications is subject to a chargeable fee as specified in the price list of DQS CFS GmbH. |

| BRCGS | | |
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| 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 |

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| | | 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. |
| 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. |

| FSSC | | |
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| FSSC | Audit requirements | The audit requirements for FSSC certification consist of: <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 24000* | Audit requirements | Audit requirements: The Scheme is based on the following normative documents: <ul style="list-style-type: none"> • BSI/PAS 24000:2022 – Social management system - Specification • FSSC 24000 Additional Requirements (determined by the FSSC Board of stakeholders) |
| FSSC 22000 | Unannounced FSSC Audit | 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 . 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. Unannounced FSSC 22000 Audit (Blackout Days): Blackout days may be agreed in advance between DQS CFS and the certified organization. If the auditor is denied access to the certified site during an unannounced audit, the certificate shall be withdrawn |

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| | | immediately in accordance with the scheme owner requirements. |
| FSSC 24000* | Unannounced FSSC Audit | <p>Unannounced FSSC 24000 Audit: At each certified organization (including the central function and the site audits) shall at least one surveillance audit be undertaken unannounced after the initial certification audit and within each three (3) year period thereafter. The certified organization can voluntarily choose to conduct all surveillance audits as unannounced audits.</p> <p>Recertification audits may be conducted unannounced at the request of the certified organization. The initial certification audit (stage 1 and stage 2) cannot be performed unannounced.</p> <p>Unannounced FSSC 24000 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:</p> <ul 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; 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.); c) Public food safety events (such as e.g. public recalls, calamities, food safety outbreaks, etc.); d) Changes to organization name, contact address and site details; e) Changes to organization (e.g., legal, commercial, organizational status or ownership) and management (e.g., key managerial, decision-making, or technical staff); f) Changes to the management system and scope of operations covered by the certified management system; g) Any other change that renders the information on the certificate inaccurate. |
| FSSC 24000* | Notifications to the certification body | <p>Communication obligations of certified organizations to the CB within 3 working days related to the following:</p> <ul 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; b) Serious events that impact the SMS, legality and/or the integrity of the certification which include legal proceedings, prosecutions, situations which pose major threats to social compliance including worker health and safety, and certification integrity as a result of natural or man-made disasters (e.g., war, strike, terrorism, crime, flood, earthquake, malicious computer hacking, etc.); c) Serious situations where the integrity of the certification is at risk and/or where the Foundation can be brought into disrepute including but not limited to malpractice, negligence, corruption, and fraudulent activities. d) Changes to organization name, contact address and site details; |

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| | | <p>e) Changes to organization (e.g., legal, commercial, organizational status or ownership) and management (e.g., key managerial, decision-making, or technical staff);</p> <p>f) Changes to the social management system and scope of operations covered by the certified management system;</p> <p>g) Any other change that renders the information on the certificate inaccurate.</p> |
| FSSC 22000/24000* | 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> |

| IFS | | |
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| 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 | <p>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</p> <p>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).</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> |
| 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 | <p>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 $\geq 75\%$.</p> <p>The follow-up audit is focussed on the implementation of actions taken to solve the major non-conformity</p> |

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| 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. |

| QS | | |
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| QS | Accompaniment of audits | Part of the quality assurance measures of QS to safeguard the functioning of the QS scheme. Audits conducted in the QS scheme may be accompanied by QS or a person commissioned by QS. The certification body as well as the accompanied auditor will receive a written report on the results of the accompanying audit afterwards. |
| QS | Random sample audit | Part of the quality assurance measures of QS to safeguard the functioning of the QS scheme. In addition to the periodic regular audits, compliance with QS requirements is checked by means of random sample audits. QS usually engages those certification bodies currently commissioned with conducting regular audits by the scheme participant to carry out random sample audits. A random sample audit must not be carried out by the auditor who has conducted the last regular audit in the respective company. Random sample audits shall be unannounced. |
| QS | Parallel audits | Part of the quality assurance measures of QS to safeguard the functioning of the QS scheme. Parallel audits serve to verify the result of a previous regular audit. They are performed by QS within a maximum of six weeks after the regular audit. Parallel audits shall be unannounced. In order to ensure the presence of a person being able and authorised to provide necessary information, notice may be given no longer than 24 hours before the scheduled audit date. |
| QS | Audits of special purpose | Part of the quality assurance measures of QS to safeguard the functioning of the QS scheme. In suspicious cases or in the event of imminent danger, QS immediately commissions audits of special purpose at the scheme participants. Audits of special purpose are usually performed completely unannounced. Unless they contain K.O. evaluations, audits of special purpose do not have an effect on the frequency of regular audits or the QS status. These audits are conducted by QS on its own. |
| QS | Announced (regular) system audit | During a regular audit it is verified whether a company satisfies the technical, organisational and contentual re-requirements necessary for participating in the QS scheme. The objective is to inspect company-specific processes and to identify opportunities for improvement. Audits are conducted using a stage-specific checklist. |
| QS | Unannounced audits | Unannounced audits are conducted on all stages of the QS scheme. The unannounced audits can be conducted as unannounced regular audits or as unannounced spot audits between two announced regular audits or as unannounced spot audits between two unannounced regular audits. |
| QS | Unannounced (regular) system audit | Unannounced regular audits must be conducted prior to the expiry of certification. All criteria of the stage-specific checklist must be fully checked. It is possible to notify the company in advance on individual stages in order to ensure that a person capable of providing information is present during the audit. |

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| | | Notification may take place not earlier than 24 hours before the start of the audit. Other stage-specific requirements may apply. |
| QS | Unannounced spot audit | Unannounced spot audits are conducted additionally between scheduled regular audits. Even if a continuation of the certification is not intended, an unannounced spot audit is carried out in the current certification cycle, if this type of auditing is selected. The main focus of spot audits lies in the control of the production process. As a rule, only selected criteria are audited. It is possible to notify the company in advance on individual stages in order to ensure that a person capable of providing information is present during the audit. Notification may take place not earlier than 24 hours before the start of the audit. Other stage-specific requirements may apply. |

| VLOG | | |
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| VLOG | Violations | Breaches of contractual agreements with VLOG and violations of VLOG Standard requirements can be established based on external information, regular VLOG audits or Integrity Audits, evaluations, or document reviews by the VLOG head office as well as in other ways. |
| VLOG | Integrity Program | The user groups are contractually obliged to comply with the VLOG requirements. The Integrity Program serves as the basis for dealing with violations of the rules and requirements of VLOG |
| VLOG | Penalty Committee | The Penalty Committee is appointed as a neutral body in order to decide on sanctions based on violations. The Penalty Committee comprises selected representatives of the user groups integrated into VLOG and an attorney designated by the head office. |

**applicable for unaccredited audits only*

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