Specific Conditions for the Assessment of Management Systems and Product Certifications

Supplementary to the DQS Audit and Certification Regulations (CF10_DQS Audit and Certification Regulations) the following rules apply.

Standard	Assessment	Explanation
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. 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 have determined in the certification rules that both unannounced and announced audits may be performed at certified sites in order to assure compliance.
BRCGS		
BRCGS Food, BRCGS Packaging, BRCGS CP, BRCGS AB, BRCGS SD	Surveillance audits	As part of the routine compliance programme, in response to referrals or complaints, the BRCGS reserves the right to undertake audits or visits to an audited 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 document *BRCGS030 BRCGS compliance site visit process*.
BRCGS Food BRCGS Packaging BRCGS S)	Unannounced Audits	An unannounced assessment must be carried out every third certification assessment. The option "unannounced" must be mandatory at least once for every third BRCGS Audits. The unannounced audit can take place at any time during the 4 months prior to the audit due date.
BRCGS Food	Customer specific module ASDA AA	This is an obligatory module of BRCGS from the British retail chain ASDA. It is only valid in combination with the unannounced BRCGS Food-Audit program (see above). For this, a separate certificate will be issued.
BRCGS Food BRCGS Packaging	Voluntary module Traded Goods	This is a voluntary module for traded goods that can be conducted following a BRCGS Food audit. A separate certificate will not be issued, the module will be included on the certificate for BRCGS Food.
BRCGS Food	Voluntary module Management of Food Materials for Animal Feed	This is a voluntary module for food manufactures whose primary output is the production of food products for human consumption. This module may be used globally and covers all products that are no longer intended for human consumption. The module can be conducted following a BRCGS Food audit. A separate certificate will not be issued, the module will be included on the certificate for BRCGS Food.

BRCGS Food	Voluntary module Global GAP Chain of Custody Fresh Produce	This is a voluntary module for food producers and manufacturers packing fresh produce who wish to make a claim of origination from a GLOBALG.A.P. Integrated Farm Assurance certified producer or producer group. This module can be conducted following a BRCGS Food audit. A separate certificate based on the GLOBALG.A.P.CoC certificate template will be issued.
BRCGS Packaging	Voluntary module Environmental Awareness Module (EAM)	This is a voluntary module for environmental management systems. It covers about 10% of the ISO 14001 requirements.
FAMI QS		
FAMI-QS	Unannounced FAMI-QS Audit	Participation in the unannounced audit program is mandatory for each FAMI-QS certified operator (applicable to both producers and traders). • Frequency: once per certification cycle. • Duration: 0.5 man-days minimum. No notice in advance, the operator has to take the necessary steps for granting access to the auditor in such events.
FSSC		
FSSC	Audit requirements	The audit requirements for FSSC certification consist of: 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	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.
IFS		
IFS	Integrity on-site Check	IFS may perform unannounced audit at certified organizations. DQS may not inform clients beforehand. The Integrity on-site Check may be accompanied by a DQS representative.
IFS	Unannounced IFS Audits	An unannounced assessment 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).
IFS	Unannounced IFS Audit (Registration)	For an unannounced Assessment, the DQS CFS shall be notified by the company of the registration for this Assessment at latest four (4) weeks before the start of the Assessment time window, in order to register it in the IFS Database

IFS	Unannounced IFS Audit (Blackout Days)	The blackout days together with the non-operating periods, shall be notified to the DQS CFS at latest four (4) weeks before the start of the unannounced Assessment time window and cannot be changed at a later stage
IFS	Notifications to the certification body	During the certification cycle, the senior management of the company shall ensure that the DQS CFS is informed within 3 days, about any changes that may affect the company's ability to conform to the certification requirements (e.g. 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.)
IFS	Data Protection	We refer to the IFS Data Protection rules for "employees of the certified companies". https://dqs-cfs.com/wp-content/uploads/2018/12/part-of-annex-1-to-the-framework-agreement-extracted-water-mark.pdf
QS		
QS	Accompanying Audit	Witness Audit by QS
QS	Random Sample Audit	Once a year, QS samples organizations (based on risk) which will be subject to a random sample audit. QS GmbH engages the certification body with conducting this audit.
QS	Cooperation Audit	Combination of Witness Audit for the certification body and assessing the organisation.
QS	Audits of Special Purpose	Audits due to extraordinary circumstances or in suspicious cases. These audits are conducted by QS on its own.
QS	Unannounced System Audit	Period between announcement and audit is reduced to a minimum (24 hrs. up to a maximum of 48 hrs.). Unannounced regular audits or unannounced spot audits between two scheduled regular audits are mandatory on all steps of the supply chain Meat and Meat Products. (this also applies to wholesalers of the supply chain Fruit, Vegetables, Potatoes.) All regular audits on the Food Retail stage are conducted without advance notification.
QS	Unannounced Spot Audit	Period between announcement and audit is reduced to a minimum (24 hrs. up to a maximum of 48 hrs.) and includes only selected criteria. Unannounced spot audits are conducted additionally between scheduled, announced regular audits and may be chosen instead of unannounced regular audits in the supply chain Meat and Meat Products (by wholesalers of the supply chain Fruit, Vegetables, Potatoes). The space of time between a spot and a regular audit must be at least two months (before and after).

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