

# THE BRC GLOBAL STANDARDS

## BRC004: REQUIREMENTS FOR CERTIFICATION BODIES OFFERING CERTIFICATION AGAINST THE CRITERIA OF THE BRC GLOBAL STANDARDS

Document Distribution:  
BRC Registered Certification Bodies  
Participating National Accreditation Bodies  
BRC Members  
BRC Technical Committee Members

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# **1. Introduction**

## **1.1 Relationship to other BRC Documents**

The requirements for Certification Bodies and their relationships with the BRC for the operation of the BRC certification schemes is set out in a series of documents of which this Certification Body Requirements Document is a part.

When undertaking certification all requirements within the suite of documents relevant to that assessment shall be followed.

The contract 'Framework Agreement' provides the legal basis for the relationship between the BRC and Certification Bodies.

This document, the Certification Body Requirements document – sometimes referred to as the 'Code' – provides detailed information on how Certification Bodies shall operate certification to the BRC Global Schemes and forms an annexe to the Framework Agreement.

The BRC Global Standards – each lay out the criteria to be met for the audit and certification of sites covered by the scope of that particular BRC Global Standard and the protocol by which certificates may be issued.

Guidance Documents – Where available provide additional guidance to Certification Bodies, Auditors and sites seeking Certification on the requirements within particular BRC Global Standards.

Position Statements – Where clarification of interpretation of a requirement of a BRC Global Standard or its Protocol is necessary this will be published on the BRC web site [www.brcglobalstandards.com](http://www.brcglobalstandards.com) as a position statement.

## **1.2 Purpose**

The purpose of this document is to ensure that Certification Bodies are fully aware of:

- their obligations when using the BRC Global Standards
- the procedures supporting the BRC Global Schemes
- the communication network which ensures a consistent and harmonised approach to the implementation and development of the BRC Global Schemes.

This document will be reviewed annually and amended where appropriate.

## **2. Registration of Certification Bodies with the BRC and Accreditation requirements.**

### **2.1 General**

Applications to use the BRC Global Standards are accepted from any Certification Body which is or expects to be Accredited to ISO Guide 65 (EN 45011).

Auditing and the issue of reports and certificates for any of the BRC Global Standards is however restricted to those Certification Bodies that are registered and formally recognised by the BRC.

### **2.2 Application for registration**

Certification Bodies wishing to register with the BRC will be provided with a copy of the registration form see Appendix 1 (Registration Form for Certification Bodies).

Certification Bodies shall have a named representative(s) responsible for dealing with all aspects of BRC Global Standards and this person shall be named on the Registration Form. In the event that the named representative leaves the employment of their Certification Body, the BRC shall be informed accordingly of the name and details of their replacement.

On receipt of the Registration Form, the BRC will provide the Certification Body with a copy of:-

- the Framework Agreement,
- the Certification Body Requirements Document
- Auditor Registration Form

The documents need to be read, understood and signed/completed before return to the BRC. In addition the following supporting information will also be required before a Certification Body will be Recognised or Provisionally Recognised

- A copy of a valid indemnity insurance certificate with cover to the value of £5,000,000.
  - A copy of the Accreditation Certificate and schedule from a BRC recognised Accreditation Body covering the scope of one or more BRC Global Standards
- or**
- a letter from a BRC recognised Accreditation Body confirming that an application has been made for accreditation with the scope for one or more BRC Global Standards.\*

\* the BRC acknowledges that to achieve accreditation, Certification Bodies seeking accreditation must be able to carry out audits against that Standard. Therefore, a Certification Body shall be allowed to carry out audits prior to achieving accreditation status, where they can demonstrate the following;

- an active application for ISO/IEC Guide 65 / EN45011 accreditation with an Accreditation Body recognised by the BRC (see 2.6)

and

- accreditation must be expected within 12 months of the date of application
- individual auditor qualifications and experience for specific product categories must be consistent with the criteria given in this document - Appendices 6, 7, 8 and 9.

### **2.3 Extensions to scope for registered Certification Bodies**

Where a registered Certification Body wishes to extend their scope to include a new BRC Global Standard the request for a scope extension will need to be registered with the BRC. The process will be similar to that for the initial registration.

The Certification Body will need to submit:-

- Completed Registration Form
- Auditor Registration Form for the additional BRC Global Standard
- Evidence of an active application for accreditation with a scope to cover the additional BRC Global Standard.

On receipt of satisfactory information the relevant BRC Global Standard will be added to the list of BRC Global Standards applicable to that Certification Body on the BRC Directory web site for a period of up to 1 year to allow accreditation.

### **2.4 Recognised and Provisionally Recognised Certification Bodies**

Certification Bodies that meet the criteria set out in 2.2 will be either:-

**Recognised** – where Accreditation has been achieved for the relevant BRC Global Standard

or

**Provisionally Recognised** – where sites are actively involved in seeking Accreditation for the relevant BRC Global Standard.

The details of both Recognised and Provisional Recognised Certification Bodies are displayed on the publically accessible BRC Directory [www.brcdirectory.com](http://www.brcdirectory.com). The accreditation status with respect to each standard for which recognition has been granted will be displayed against the listing for that standard.

### **2.5. Notification of Accreditation Status**

Certification Bodies must inform the BRC when they have gained accreditation for the scope of the relevant BRC Global Standard. A copy of the accreditation certificate and applicable schedule shall be provided to the BRC.

Certification Bodies must make the BRC immediately aware of any change to their accreditation status or to the scopes of accreditation.

### **2.6. Recognition of Accreditation Bodies**

The BRC fully endorses the International Accreditation Forum (IAF) principles of Cross Frontier Accreditation and actively encourages participation by Accreditation Bodies.

Accreditation Bodies offering accreditation for the scope of the BRC Global Standards must be registered with the BRC. In order for the accreditation of a Certification Body to satisfy BRC requirements the Accreditation Body must both be a member of the European Co-operation for Accreditation (EA) or the Pacific Accreditation Cooperation (PAC) or International Accreditation Forum (IAF) and signatories to the Multi Lateral Agreement (MLA) for Product Certification and any other applicable agreements relevant to the Accreditation for BRC Global Standards. Accreditation Bodies must also be able to demonstrate an approach which ensures that the requirements of the BRC are understood and effectively assessed as part of the accreditation process.

The status of Accreditation Bodies can be checked with the BRC.

Recognition of a Certification Body by the BRC will only take place if their Accreditation Body is recognised by the BRC.

## **2.7 Pilot Accreditation Schemes**

Often when a new BRC Global Standard is developed or an existing standard starts in a new geographical area the Accreditation Bodies choose to operate the accreditation of Certification Bodies as a group through a pilot scheme. This allows the Accreditation Body to gain familiarity with the operation of the BRC Global Standard and prevents any single Certification Body from gaining a commercial advantage by becoming accredited first.

Where pilot schemes are being operated it is recognised that sometimes the pilot lasts longer than the usual 1 year permitted for Certification Bodies registered with the BRC to gain accreditation.

Certification Bodies registered on a pilot scheme will remain Provisionally Recognised for that scheme until the end of the pilot scheme and will be registered on the BRC Directory for the duration of the pilot scheme.

## **2.8 Inclusion of Certification Bodies and their offices on the BRC Directory**

The BRC operates a searchable Directory of Certification Bodies which enables companies seeking certification to find Certification Bodies registered with the BRC. The Directory [www.brcdirectory.com](http://www.brcdirectory.com) enables companies to search by standard and by country.

All Certification Bodies recognised by the BRC either fully or provisionally will have their nominated contact details on the Directory.

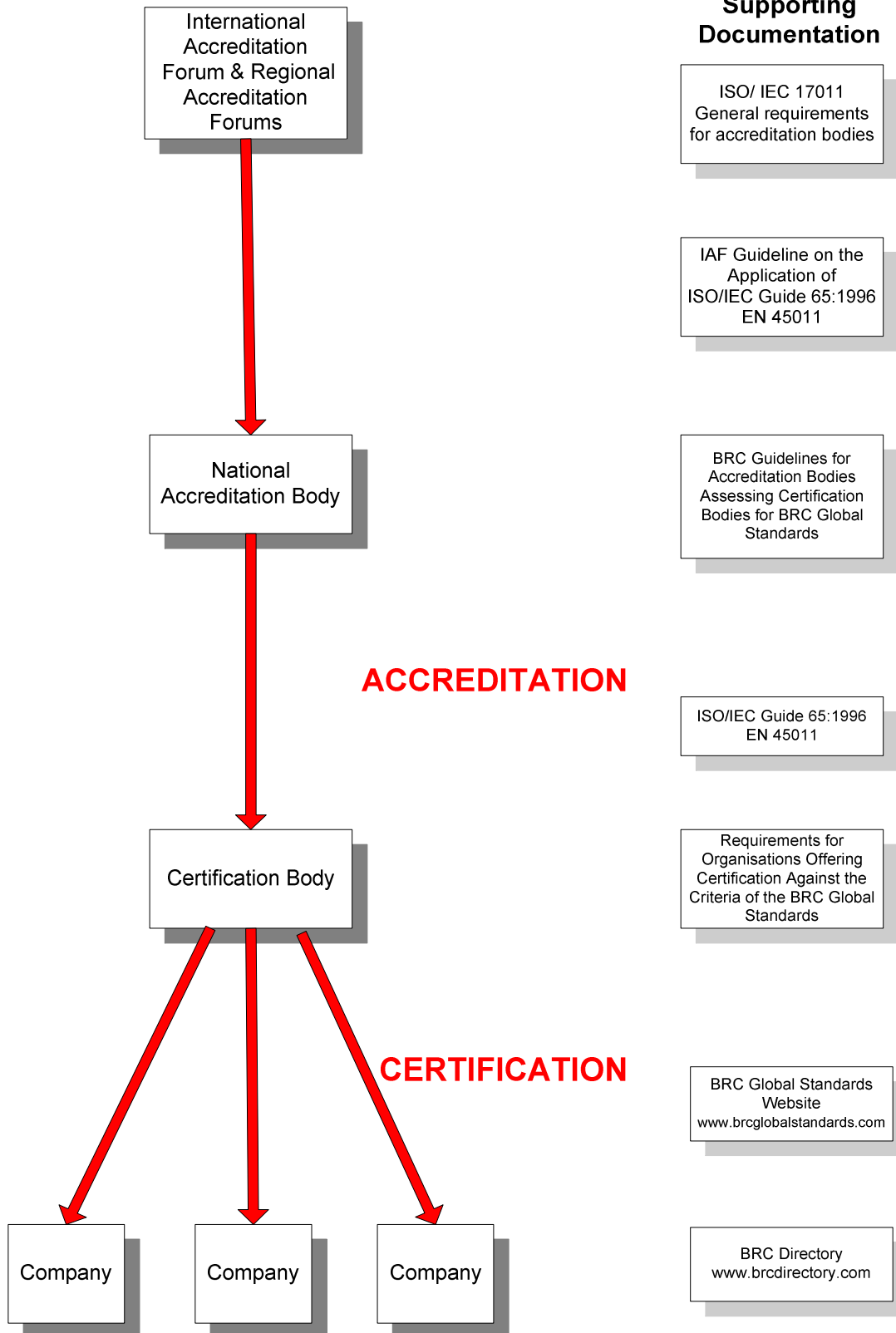
Where Certification Bodies operate internationally and have local offices, the details of the local offices can also be registered where:-

- The audit and certification processes are covered within the scope of Accreditation of the Certification Body

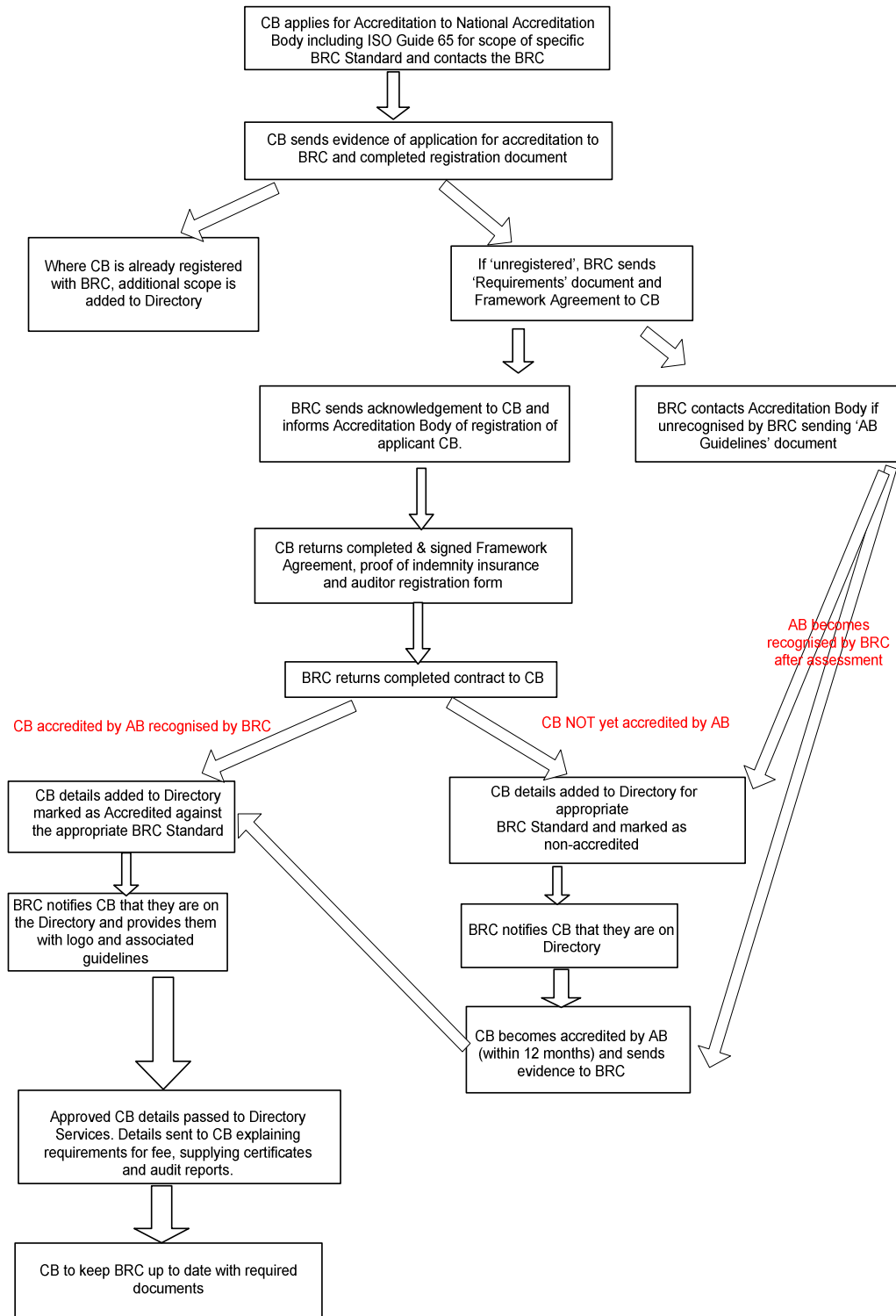
and

- The local office has one or more auditors registered with the BRC for the particular BRC Global Standard (s) for which the office is registered.

**Diagram1**



**Diagram 2: Certification Body Registration Process**



### **3. Contractual Obligations**

#### **3.1 Contractual Arrangements with the BRC**

A contract known as the Framework Agreement is required between all Certification Bodies (recognised by the BRC) and the BRC. This contract provides the basis by which a Certification Body can undertake BRC audits and is supported by this document.

#### **3.2 The provision of Audit Reports and Certificates to the BRC**

The BRC maintains a database (the Global Standards Directory) of all BRC audited and certificated suppliers. This database provides a user specific, fully interactive, web based system of storage of audit data, both live and archive, which is centrally controlled to ensure accuracy and integrity. The BRC encourages the use of the Global Standards Directory by retailers, Certification Bodies and manufacturers and encourages Certification Bodies to promote and support its use. The inclusion of an audit report/certificate in the BRC Global Standards Directory should not be construed as any form of endorsement by the BRC of the accuracy of that particular audit report or certification decision.

The BRC requires an Administration Fee to be collected by Certification Bodies from suppliers and passed to the BRC for every BRC audit undertaken. Diagram 2 illustrates the process which should be used to ensure the collection and control of the administration fee.

The BRC requires that Certification Bodies submit all completed audit reports irrespective of the outcome and where applicable copy certificates in the approved format for that BRC Global Standard to the BRC Directory at the earliest opportunity after the certification decision has been made. On a monthly basis the BRC will provide a report to each Certification Body on all the supplier audits uploaded and issue an appropriate invoice for the administration fees.

#### **3.3 Contractual Arrangements with Retailers and other users**

A contract may be required between a Certification Body and a retailer or other user. The issue of this contract shall be at the discretion of the individual retailer/user.

Notwithstanding the possible contractual requirements between a Certification Body and a retailer, the BRC strongly encourages direct contact between Certification Body representatives and retailers, particularly during the period when the organisation is seeking accreditation. This is particularly important to establish communication and allow retailers to fully understand the extent of the Certification Body activities.

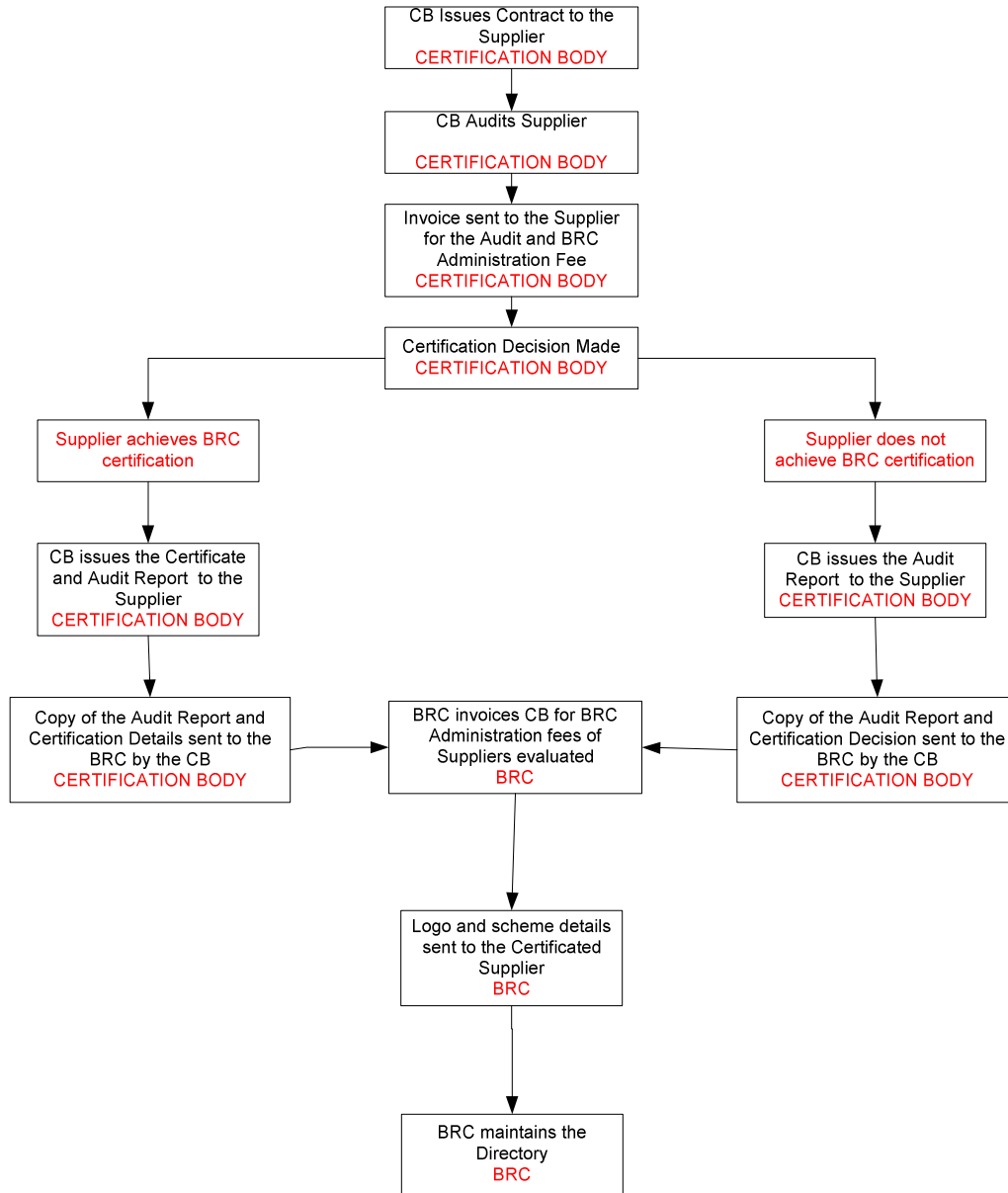
#### **3.4 Contractual Arrangements between the Certification Body and company seeking certification.**

A contract shall exist between the company to be certificated and the Certification Body in accordance with the requirements of ISO Guide 65 (EN 45011) and detailing the scope of the audit and the reporting requirements. The contract shall clearly identify that a copy of the audit report and any subsequent certificate shall be

supplied to the BRC in the agreed format for the BRC Global Standard used. Certification Bodies must ensure that their contractual requirements also dictate that all documents in relation to the audit shall be made available to the BRC upon request. All documents submitted to the BRC shall be copies of original documents. Documents provided to the BRC will be treated as confidential.

**Diagram 3**

**Procedures for the Registration of Suppliers Seeking Certification to BRC Standards**



### 3.5 Liability Insurance

Certification Bodies must ensure that appropriate liability insurance is in place. This insurance shall incorporate employer's liability, public and product liability and professional indemnity. A copy of the relevant insurance certificate must be sent to the BRC along with the Certification Body Registration Form.

It is the responsibility of the registered Certification Body to ensure that the specified level of insurance covers all activities whether carried out directly or subcontracted. (Please refer to clause 10 of the Certification Body Contract with the BRC).

### 3.6 Incident Notification

In the event that a certificated supplier becomes aware of the notification of an impending prosecution with respect to product safety or legality or of a public product recall, they must immediately make their Certification Body aware of the situation.

The Certification Body in turn must take the necessary steps to fully understand the implications of the situation and take appropriate actions.

If there is a likelihood that the legal proceedings will lead to adverse publicity or Government intervention, the Certification Body must inform the BRC immediately.

### 3.7 Documentation Control

All records and documentation related to BRC Global Standards audits shall be retained by Certification Bodies for a minimum of **five** years (in the case of the Consumer Products Standard this may be for up to 21 years as appropriate). Internal documentation will also be included such as personnel and training records which shall be retained for a period of 5 years after the auditor ceases employment.

The types of documents which shall be retained include but not be limited to:

- Contracts between the Certification Body and site audited
- Documentation relevant to deciding the audit duration and allocation of auditor
- Auditors notes from the audit where different from the final report.
- Final audit report
- Evidence of correction of non conformances provided by the site
- Notes relating to decisions on acceptance of documentary evidence
- Notes relating to the certification decision
- Copy of the certificate issued.
- Evidence of any supplementary audits or correspondence with the site relating to the maintenance of certification during the duration of the certificate.
- Records relating to auditor qualifications and competency.
- Records of auditor witnessed assessments.

## **4. Communication**

### **4.1 Communication between the BRC and Certification Bodies**

Registration forms for Certification Bodies with the BRC include the name and contact details for the nominated Certification Body contact. This person will be used as the primary contact by the BRC for the transmission of information about the BRC Schemes. It is essential that the contact details are maintained up to date.

Where Certification Bodies offer certification to the BRC Global Standards through a network of offices the additional offices shall also be registered with the BRC using the Registration Form for Sub Offices. The channels of communication between the BRC registered Certification Body and their affiliated Offices shall be clearly defined.

It is expected that the nominated Certification Body contact(s) will be responsible for disseminating information from the BRC within the organisation including sub offices as appropriate.

### **4.2 Communication with the BRC**

Where information is provided in hard copy all correspondence should be addressed to;

Director of BRC Standards & Technical Services  
British Retail Consortium  
2<sup>nd</sup> Floor  
21 Dartmouth Street  
London  
SW1 9BP

Telephone: +44 (0) 207 854 8900

Fax: +44 (0) 207 854 8901

The BRC has a dedicated Customer Services Administrator supported by a team of Technical Managers. Questions relating to interpretation and operation of the BRC Global Standards should in the first instance be directed to the Global Standards Customer Services Administrator on [brcglobalstandards@brc.org.uk](mailto:brcglobalstandards@brc.org.uk)

### **4.3 Updates to Standards, Protocols and Procedures**

From time to time the BRC will issue new or revised requirements in relation to the BRC Global Standards or documents supporting these Standards. The BRC will make Certification Bodies aware of these changes via the nominated contact provided.

All supportive documentation will be issued by the BRC and, when requested to do so, the Certification Body will confirm acceptance of specific information. Where appropriate such documents will also be displayed on the BRC Global Standards website [www.brcglobalstandards.com](http://www.brcglobalstandards.com). Certification Bodies shall ensure that information is communicated to their clients and staff within their organisation as appropriate.

#### **4.4 Certification Body Conference**

On an annual basis the BRC will hold a conference for Certification Bodies to discuss issues relating to the BRC Global Standards and to provide information on current developments. The BRC expects that all Certification Bodies shall send a representative to attend this annual conference in order to keep themselves up to date with the latest information.

#### **4.5 Certification Body Co-operation Groups**

The BRC actively encourage involvement of Certification Bodies in the development of the BRC schemes to assist in the continuous improvement of standards and supporting documentation.

In some countries the Certification Bodies have formed Co-operation Groups, to promote communication and co-operation between the BRC, its members and Certification Bodies. Details of Co-operation Groups are displayed on the BRC web site.

Where Co-operation Groups have been established it is expected that all recognised Certification Bodies in that Country/Region shall play an active part through attendance at meetings.

The BRC actively encourages the establishment of new Co-operation Groups where none currently exists in a country or region. The BRC will provide any relevant information to assist in the formation of new Co-operation Groups.

The Co-operation Group(s) have a direct interface with the BRC Global Standards Technical Advisory Committee(s) and provide a forum which the BRC consults on changes to the standards and supporting processes.

#### **4.6 Communication with Accreditation Bodies**

In order to facilitate effective Accreditation of Certification Bodies the BRC may share some data with the Accreditation Body responsible for the accreditation of that Certification Body. This may include:-

- Summary information on audits undertaken – names of certified sites, audits by country, by auditor, by field/category.
- Lists of auditors registered with the BRC by Standard/product category
- Complaints or referrals submitted to the BRC which following investigation with the Certification Body are considered to be justified.
- Information resulting in the temporary suspension or removal of recognition of a Certification Body

#### **4.7 Communication with Certificated sites**

The BRC may contact certificated sites directly to ask for feed back on the audit and certification process as part of the Certification Body performance monitoring process.

## **5 Performance Monitoring**

The BRC is committed to maintaining the reputation and integrity of the BRC Global Standards. The competence and capability of the accredited Certification Bodies and their auditors is critical to this objective.

The BRC will monitor the performance of Certification Bodies to try to ensure that the BRC Global Standards are being applied consistently and that the information required for users of the certificates and reports is provided in a timely manner.

Performance monitoring may include:

- The review of audit reports and certificates for quality and consistency.
- The review of auditor competency records
- Supplier feedback surveys
- Referrals and complaints
- The timely supply of information on certificated sites to the Directory.

Key Performance targets for the operation of the BRC Global Standards will be agreed in writing between the BRC and Certification Bodies and form part of the contract.

Where a Certification Bodies performance does not meet the agreed standards the Certification Body may be suspended or removed from the scheme.

### **5.1 Referrals and complaints**

The BRC actively encourages communication between interested parties to ensure issues are resolved satisfactorily and to receive reports on performance. To ensure that any issues of interpretation, enquiries and disputes are resolved effectively and efficiently, the BRC has implemented a formal referral process which is available to all organisations actively involved with the BRC Global Standards.

From time to time, failure to apply the principles and criteria of the BRC Global Standards at certificated sites may be reported to the BRC by retailers and suppliers conducting their own audits, or other agencies.

In this event, the BRC will request a documented report of the issues identified and refer this report to the Certification Body who conducted the audit. The BRC will require a full investigation of the issues by the Certification Body and a response submitted to the BRC for consideration within 28 working days.

Failure to address any valid issues raised in the referral to the satisfaction of the BRC will result in sanctions.

Where a complaint is considered to have been justified the information relating to the complaint will be made available to the Accreditation Body for that Certification Body.

The BRC will notify the person referring the issue of the outcome of the investigation.

## **5.2 Review of Audit reports.**

There are agreed report formats and guidance documents for each BRC Global Standard which prescribe the presentation and levels of information required in a report for that BRC Global Standard.

The BRC will carry out reviews of a sample of audit reports to ensure the quality and consistency of the information provided. Where audit reports do not conform to the agreed standards this will be discussed with the Certification Body responsible. Inadequate audit reports will not be accepted onto the Directory and it will be the responsibility of the Certification Body to rewrite and resubmit any such reports.

Where the BRC request further information to support information given in the audit report for instance copies of original notes these shall be provided and where necessary parts or all translated within 10 working days of request.

The BRC cannot however be held responsible for the accuracy of the information contained within the audit reports which is the responsibility of the Certification Body submitting the audit report.

## **5.3 Sanctioning Procedure**

The emphasis of the Certification Body performance review procedures shall be to assist Certification Bodies to comply with the expectations of the standards and therefore promote confidence in the BRC Certification Schemes.

Wherever a Certification Body's performance falls short of a specified requirement this will be brought to their attention. It is expected that any shortfalls are addressed by the Certification Body and an acceptable plan provided to the BRC to correct issues. Confirmation that action has been taken or, in exceptional circumstances an action plan, shall be provided within 10 working days.

### **5.3.1 Temporary Suspension**

Repeated failures, a failure to co-operate in the investigation of an issue, failure to address an issue satisfactorily or the occurrence of a significant failure which could bring the scheme into disrepute will result in the suspension of a Certification Body.

Suspended Certification Bodies will have their details removed from the Directory website pending the satisfactory resolution of the issue(s) which had caused suspension.

No audits against the BRC scheme may be carried out whilst a Certification Body is under suspension.

The Accreditation Body responsible for the suspended Certification Body will be notified of the suspension and reasons for this so that the issue can be followed up at surveillance audits as necessary.

### **5.3.2 Removal of recognition of a Certification Body.**

The removal of recognition of a Certification Body may occur where

- a suspended Certification Body fails to adequately rectify the issues leading to their suspension
- there is a significant issue affecting the credibility of the audit standards
- there is a breach material to section 12 of the Framework Agreement

The permanent removal of recognition will be subject to ratification by the Technical Advisory Committee for the applicable BRC Global Standard(s).

Where the withdrawal of recognition of a Certification Body has been ratified the BRC shall contact the certificated sites affected to advise them accordingly. The Accreditation Body shall be informed so that accreditation for the applicable Global Standard is also withdrawn.

## **6. Certification Body Personnel**

### **6.1 Organisational Structure**

Certification Bodies shall have a nominated Manager who is responsible for the management of the BRC Global Standard schemes and for communication with the BRC.

An organisational chart shall be available which identifies the key roles in relationship to the management of the BRC Global Standards to include the following responsibilities

- Nominated BRC contact person
- Manager responsible for maintaining Accredited Quality systems
- Person(s) or committee responsible for making Certification Decisions
- Person(s) responsible for Training on BRC schemes (where appropriate)
- Persons responsible for approval/shadow auditing of auditors
- Persons responsible for review of corrective evidence (if appropriate)
- Auditors

### **6.2 Training on BRC Global Standards**

Certification Bodies must ensure that a sufficient level of understanding of the BRC Global Standards exists within their organisation at all times.

All staff with a key role in the certification process i.e. the review of reports and/or corrective actions and making a decision on the issue of a Certificate shall have attended the appropriate BRC How to implement the standards (Awareness) course or for existing staff a BRC conversion course as new issues of BRC Global Standards are issued. Where certification decisions are made by a committee at least one member of the Committee shall have attended the appropriate BRC How to implement the standards (Awareness) Course(s) or for existing members a BRC conversion course as new issues of existing standards are issued.

### **6.3 Auditor Competence and Registration**

Every person undertaking certification audits must have the appropriate qualification, training, experience and skills to perform an audit against the relevant BRC Global Standard and the particular product category within the scope of that Standard. The specific qualifications, training and experience required by auditors can be found within Appendices 2, 4, 6 or 7 of this document.

The BRC requires Certification Bodies to register all auditors with the BRC and to provide details of the Standards and product categories in which they are qualified to audit. The initial registration and regular updating of information is the responsibility of each Certification Body.

Registered, auditors will be issued with a registration number which shall be included on the BRC audit report. Audit reports will only be accepted on the Directory where carried out by an auditor registered for the particular standard and product category.

An administration fee may be charged for the registration of auditors with the BRC.

Certification Bodies shall hold a detailed and complete skills matrix for all auditors undertaking audits on their behalf and this shall be in accordance with their published Accreditation Schedule.

The Certification body shall maintain records demonstrating how auditors comply with the requirements for qualifications, training and experience defined for any BRC Standard and product category for which the auditor undertakes audits. Records shall be made available to the BRC on request

Under exceptional circumstances auditors may be approved by the BRC where they do not fully meet all of the requirements for competency and training specified in the appendices 2, 4, 6 or 7. Justifications and supporting evidence for the approval of the auditor in such exceptional circumstances must be provided to the BRC for consideration at the time of registration.

Where the justification is accepted the Certification Body will be notified in writing. A summary of such exceptions will be presented to the relevant TAC for scrutiny.

#### **6.4 Sub Contracted auditors**

Where auditors are not fully employed by the Certification Body but work on a sub contracted basis all of the requirements detailed within this document relating to auditors shall apply. In particular the sub contractor must be registered with the BRC by the employing Certification Body and issued with a registration number.

Contracts shall exist with such sub contract auditors to ensure that confidentiality of information and impartiality/conflict of interest are maintained as per a full time employee.

Where sub contracted auditors are used their work shall be covered by indemnity insurance to the levels stated within the Framework Agreement.

#### **6.5 Technical experts**

Where a Certification Body does not have an auditor with suitable knowledge to qualify as an auditor for a particular Product Category, an audit may be carried out using an audit team made up of an experienced auditor registered for that particular standard and a Technical expert.

The Technical expert shall meet the following criteria

- Contracted to the Certification Body for the work undertaken. The contract shall include clauses to ensure the confidentiality of information and prevent conflict of interest.
- The Technical expert shall meet the criteria for work experience as laid out in the auditor qualifications for the particular BRC Global Standard, field and /or category where the expert is to be used.
- Shall have completed a training course in HACCP or Risk Assessment as defined in the auditor requirements for the applicable standard or have demonstrable competence in HACCP/Risk Assessment.

- Shall have received background training on the applicable BRC Global Standard from the Certification Body or other party.

The Certification Body shall maintain on file evidence of the experience and qualifications justifying the person's status as a Technical expert. This shall be made available on request to the BRC.

The role of the Technical expert within the assessment team shall be clearly defined and the qualified BRC auditor shall be considered as the team leader. The Technical expert must be accompanied during the audit by the Lead auditor.

The name of the Technical expert and auditor shall appear on the BRC report.

## **6.6 Maintaining Auditor Competence**

Certification Bodies must be able to demonstrate that they operate programmes for ensuring that the skills and knowledge of all registered auditors are maintained through:

- on site assessments (witnessed audit program)
- calibration meetings/exercises to ensure consistent interpretation of requirements
- ensuring auditors are kept up to date with legislative and technological changes in the scopes in which they audit.
- ensuring Auditors carry out a minimum number of BRC audits per year (as defined in the competency requirements set out for the particular standard).

### 6.6.1 Witnessed audit programs.

Certification Bodies must have an audit programme for the on-site assessment of auditors.

This programme must also ensure that each auditor is assessed on-site at least once every two years and over a four year period for each BRC Global Standard for which he/she is considered to be competent.

The onsite assessment program shall be designed to be representative of the range of Fields of audit for which the Certification Body is Accredited.

### 6.6.2 Calibration

Certification Bodies shall operate programs to ensure the internal calibration of auditors to ensure consistent interpretation of the standard and non conformance grading. This should be through organised meetings (real or web based) or through the use of calibration exercises. Calibration shall be carried out at least once per year.

## **7 Requirements for the Operation of the BRC Certification Schemes**

### **7.1 Pre-assessments**

The use of pre-assessments particularly for new sites to the certification standard is encouraged.

Care shall be taken to ensure that the pre-assessment does not include consultancy activities which are not permitted under the requirements of ISO Guide 65 (EN 45011)

Reports produced as a result of pre-assessments must be clearly identified as pre-assessments to prevent these being presented to customers as full audit reports.

### **7.2 Availability of Standards**

The BRC owns the Intellectual Property Rights to the BRC Global Standards and they are subject to copyright protection. Under no circumstances may any copies of the BRC Global Standards be made without the permission of the BRC.

Certification Bodies must ensure that each supplier has the correct issue of the relevant BRC Global Standard, or confirmation of a downloaded BRC Global Standard issued by the BRC, against which they are being audited.

### **7.3 Scope of the Audit**

The scope of the audit must be agreed between the company and the Certification Body.

Any exclusions from scope need to be clearly defined both on the audit report and certificate. Exclusions are only permitted where there is a clear differentiation between products included and excluded from scope e.g. the exclusion of particular lines producing a common product, or exclusion of product for particular customers is not acceptable.

It is expected that the site management demonstrates commitment to the principles of the BRC Global Standards. It follows that exclusion of parts of the operation from the scope should be fully justified.

The audit, report and certificate shall be 'product' and 'site' specific. Each site shall be audited and the certificate granted accordingly.

### **7.4 Audit Frequency**

Audit frequency should be in accordance with the guidance provided in the protocol of the relevant BRC Global Standard.

## **7.5 Duration of Audits**

Audits against the BRC Global Standards must be sufficient both to evaluate compliance against all of the requirements of the BRC Global standard and provide sufficient confidence to the Certification Body that the company can be reasonably expected to maintain compliance for the duration of any certificate issued.

The BRC has stated in the relevant BRC Global Standard the conformance requirements regarding the duration of an audit, which Certification Bodies must be aware of and adhere to. Sufficient information about the site shall be gathered in advance of the audit to enable an accurate allocation of time for the audit. Justification for any variance from the typical audit duration must be recorded and made available to the BRC on request.

Audits against the BRC Standards are expected to effectively evaluate the operating practices of the site visited and adequate time usually at least half of the total audit duration shall be spent in the operating environment.

A BRC audit must be undertaken against all relevant criteria of the individual BRC Global Standard. However, the BRC recognises that where the BRC audit could be undertaken at the same time as a similar standard audit e.g. QMS or HACCP, there is no requirement to duplicate the audit of the clauses.

## **7.6 Audit Scheduling**

Audits must be scheduled to occur at a time when products representative of the scope of the audit are in production or are being handled. Where operations occur at times other than the usual working day the audits must be scheduled to enable the auditor to be present to observe the operations.

Where products within the scope of an audit are produced seasonally the audit must be scheduled to occur within the production season. The timing of the audit must be such that sufficient records are available for that season on which to properly assess compliance to the requirements of the BRC Global Standard.

Where unannounced audits are undertaken as part of the certification of a scheme, the frequency of such audits must not be excessive and it would generally be expected that there would not be more than 4 audits in a 3 year period.

## **7.7 Allocation of auditors**

It is the responsibility of the supplier to ensure that adequate and accurate information is given to the Certification Body detailing the products it manufactures and the process technologies it uses to enable the Certification Body to select an auditor with the required skills to undertake the audit.

The Certification Body, auditors and the supplier must be aware of the need to avoid conflict of interest when arranging an auditor for the site visit. The supplier may request or decline the services of a particular auditor offered by the Certification Body. The Certification Body shall rotate the audits of particular sites between auditors to ensure that the same auditor does not undertake more consecutive audits of a particular site than specified within the protocol of that BRC Global Standard.

Exceptions to this should be justified on the audit report - such as a requirement for audit in specialist areas and remote regions.

## **7.8 Audit Reports**

Certification Bodies must provide a full report of the outcome of the audit. This report must be typewritten, **must follow the format specified by the BRC** and provide full details of the audit. This report shall be issued in accordance with the BRC Report Guidelines for that particular BRC Global Standard.

The Audit Report shall be in open text format, in English except where all of the users of the report e.g. retailers, audited site, customers of the audited site require the report in another language.

Where audit reports are produced in a language other than English, the audit details section 1 of the report and the non conformities section shall be translated into English for submission to the BRC. In such cases the report provided to the BRC shall consist of the translated English sections plus detailed report in the local language. Sections of the report supplied in a language other than English shall be translated into English by the Certification Body, at their expense, on request by the BRC to allow quality checking.

Reports shall be prepared and despatched to the purchaser of the audit within a period no longer than 42 calendar days after the audit date. The report shall be issued irrespective of the outcome of the audit and a copy must be provided to the BRC.

Audit reports shall remain the property of the company commissioning the audit and shall not be released, in whole or part, to a third party unless the company has given prior consent (unless otherwise required by law).

The Certification Body will retain a copy of the audit report. The audit report and associated documentation shall be stored safely and securely for a period of five years by the Certification Body.

The audit report must accurately reflect the findings of the auditor during the audit.

Non-conformities from the previous audit should be checked during the current audit to confirm corrective action has been taken and is operating effectively. Any repetition of these same non-conformities in the current audit shall be highlighted by an asterisk '\*' and consideration should be given to raising the status of a minor non-conformity to a major.

## **7.9 Certification Decision**

The BRC requires that each Audit Report is given a thorough technical review prior to granting, suspending, revoking or renewing certification. This review must ensure that:

- the certification decision maker is independent to the auditor undertaking the audit
- the reviewers are technically competent to understand the content of the reports
- the reports represent satisfactory evidence of conformity with the scheme
- all requirements of the Standard have been fully covered, using any supporting notes made during the audit by a suitably qualified auditor
- the scope of the report covers the scope applied for by the client, and that the report provides satisfactory evidence that all areas of the scope have been fully investigated
- all areas of non-conformity have been identified, and effective corrective action has been taken to resolve these non-conformities (where certification is confirmed)
- On the evidence available the audited site can be reasonably expected to be able to maintain compliance with the standard for the duration of the certificate to be issued.

Initial certification (to a first time supplier) will not be awarded where any non-conformities remain outstanding.

On going certification is maintained where there is substantive and demonstrable evidence that the supplier remains in compliance with the criteria of the relevant Standard in question. Any non-conformity raised must be verified as completed, with objective evidence, within timescales defined within the relevant Standard.

Completion of corrective action for non-conformities can be achieved either by objective evidence being submitted to the Certification Body such as updated procedures, records, photographs or invoices for work undertaken, etc or by the Certification Body undertaking a further on site visit.

### **7.10 Issue of Certificates**

Certificates shall be issued within 42 calendar days after the audit date.

Certification Bodies must issue certificates that conform to the content of the template specified and issued by the BRC for that particular Global Standard which will include the BRC logo. The certificate must be in English or, in a case where there is no supply of product to the UK, in the language of the user of the report.

The Certificate is the property of the Certification Body and appropriate controls and management of the status of a certificate must be in place.

The certification process is illustrated in Diagram 4.

### **7.11 Certificate Duration**

The validity and duration of the issued certificate is specified within each BRC Global Standard or within documents issued to support these Standards and may vary between the individual BRC Global Standards

### **7.12 Extensions to Scope**

Once certification has been granted, any additional significant products manufactured or processes undertaken by the site, which are required to be included in the scope of certification, must be communicated to the Certification Body who shall conduct a site visit to examine the aspects of the required extension to scope. The current certificate will be superseded by any new certificate issued using the same expiry date and where applicable Grade as detailed on the original certificate.

### **7.13 Monitoring of Certificated sites**

The audit forms part of a certification process designed to ensure that sites are able to maintain compliance to the standard for the duration of the Certificate. Contracts or rules associated with the issue of certificates must ensure that any significant changes to the site, its management or circumstances which may indicate failure of the quality and or safety system, e.g. product recalls are notified to the Certification Body.

For certificated companies, where deemed appropriate, the Certification Body may carry out further audits or question activities to validate continued certification at any time. These visits may take the form of announced or unannounced visits to undertake either a full or partial audit.

Where justifiable, suspension or withdrawal of certification may be implemented pending the outcomes of such further reviews by the Certification Body. The ultimate decision to suspend or withdraw certification remains with the Certification Body.

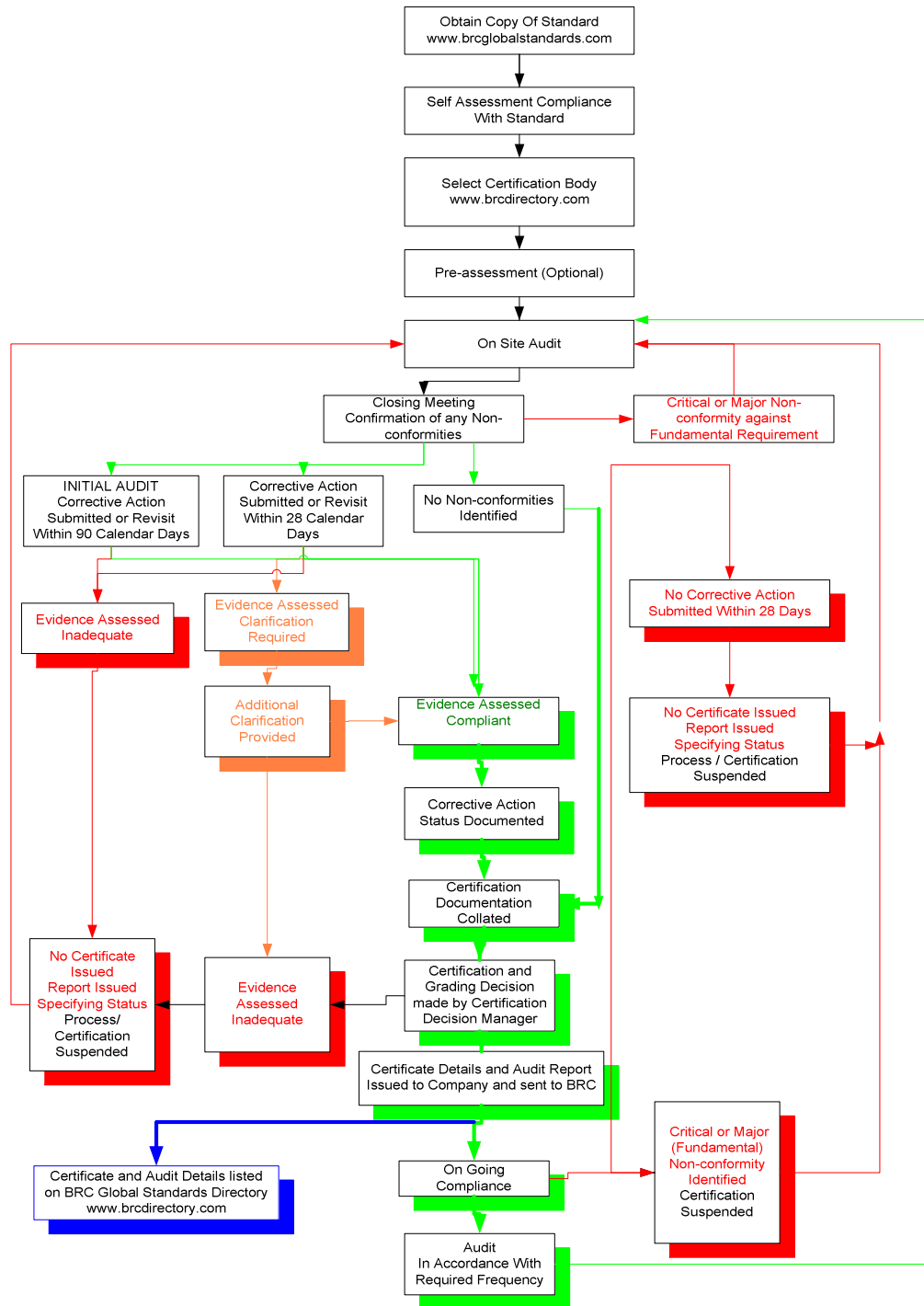
In the event that certification is withdrawn or suspended by the Certification Body, the BRC shall be notified immediately.

### **7.14 Appeals**

The Certification Body shall have a documented procedure for the consideration and resolution of appeals against the certification decision. These investigative procedures shall be independent of the individual auditor and Certification Manager. An individual Certification Body's documented appeals procedures will be made available to the company on request. Appeals will be finalised within 30 calendar days of receipt. A full written response will be given after the completion of a full and thorough investigation into the appeal.

In the event of an unsuccessful appeal, the Certification Body has the right to charge costs for conducting the appeal.

**Diagram 4 The Certification Process**



## 8. Management of the BRC Global Standards

### 8.1 General

To ensure the continued integrity and review of the Global Standards, the BRC has developed a structured approach to their development, implementation and maintenance by establishing a Governance and Strategy Committee, Technical Advisory Committees and Certification Body Co-operation Groups with defined responsibilities and terms of reference.

The management control of the BRC Global Standards rests with a Governance and Strategy Committee who oversee individual Technical Advisory Committees for each Technical Standard. The Governance and Strategy Committee membership is drawn from Senior Technical representatives of BRC member companies.

Membership of the individual Technical Advisory Committees is drawn from stakeholder groups who represent BRC members, Certification Bodies, Manufacturers, Accreditation Bodies and, where appropriate, industry experts. The Technical Advisory Committees manage the continued operational issues in relation to the BRC Global Standards.

Each committee has its own Terms of Reference under which they conduct business.

**These Terms of Reference will include Certification Body performance review and, where necessary, the Technical Advisory Committees will draw to the attention of Certification Bodies and their Accreditation Body any matters requiring investigation or action.**

## Appendices

1. BRC Registration Form for Certification Bodies
2. BRC Global Standard for Food Safety – Qualifications, training and experience for auditors and witnessed assessors
3. BRC Global Standard for Food Safety – Product Categories
4. BRC/IoP Global Standard for Packaging and Packaging Materials - Qualifications, training and experience for auditors and witnessed assessors
5. BRC/IoP Global Standard for Packaging and Packaging Materials – Fields of audit for packaging and packaging materials
6. BRC Global Standard Consumer Products - Qualifications, training and experience for auditors and witnessed assessors
7. BRC Global Standard Storage & Distribution – Qualifications, training and experience for auditors and witnessed assessors.



Complete and return to:

Customer Services Manager

FAX: 020 7854 8901

**Appendix 1** BRC Registration Form for Certification Bodies

**BRC Registration Form for Certification Bodies**

Name of Organisation	
Address of Organisation	
Telephone	Fax
Name of Contact	
Position of Contact	
Telephone of Contact	E mail Address
Company Website Address	
Scope of Application (Name and version of Standard)	
Date of Application	
Fields of Evaluation (Evaluator Competence)	
<b>Details of Registered Offices in other Countries - Please detail on a separate form for each office</b>	
Accreditation Body	
Address of Accreditation Body	
Telephone	Fax
Name of Contact	
Position of Contact	
Telephone of Contact	E mail address
<i>For BRC office use only</i>	
Date of Receipt to BRC	Scope added to Directory (date)
AB recognised Yes / No	Date AB guidelines sent to AB
Date Framework Agreement sent to CB	
Checked By	

## Appendix 2 **BRC Global Standard for Food Safety – Qualifications, training and experience for auditors and witnessed assessors**

The following identify the minimum requirements for auditors to conduct audits against the BRC Global Standard for Food Safety.

### **Education**

The auditor shall have a degree in a food related or bioscience discipline, **or** as a minimum, have successfully completed a higher education course in a food or bioscience-related discipline.

### **Work Experience**

The auditor shall have a minimum of five years post-qualification experience related to the food industry. This shall involve work in quality assurance or food safety functions within manufacturing, retailing, inspection or enforcement and the auditor shall be able to demonstrate an understanding and knowledge of specific product categories for which they are approved. The verification of the auditor's ability to carry out work within specific product categories is the responsibility of the certification body.

### **Qualifications**

The auditor must have:

- passed a registered Management System Lead Assessor Course (e.g. IRCA) or the BRC Third Party Auditing course delivered by a BRC Approved Trainer.
- completed a training course in HACCP (as evidenced by examination), based on the principles of Codex Alimentarius, of at least 2 days' duration, and be able to demonstrate competence in the understanding and application of HACCP Principles. It is essential that the HACCP Course is recognised by the industry (and its stakeholders) as being appropriate and relevant.
- Completed a Global Standards for Food Safety (How to implement the standard) Course delivered by a BRC Approved Trainer or for existing auditors to issue 4 a conversion course by a BRC Approved Trainer.

### **Audit Training**

Auditors must have successfully completed a period of supervised training, including witnessed audits, in practical assessment through 10 audits or 15 audit days involving third party food safety audits against Global Food Safety Initiative (GFSI) approved Standards, ISO 22000 or ISO 9000 series (at a food company) of which at least five audits must be against the Global Standard for Food Safety.

Certification bodies must be able to demonstrate that every auditor has appropriate training and experience for the particular categories for which they are considered

competent. Auditor competence shall be recorded at least at the level of each category.

Certification bodies must establish training programmes for each auditor, which will incorporate:

- a period of initial training covering product safety, HACCP and Pre-Requisite
- programmes, and access to relevant laws and regulations
- a period of supervised training to cover quality management systems, audit
- techniques and specific category knowledge
- assessment of knowledge and skills for each category
- documented sign off after the satisfactory completion of the training programme

Each auditor's training programme shall be managed and approved by a technically competent person within the certification body who can demonstrate technical competence in the categories in which training is given.

Full detailed training records of the individual shall be maintained by the certification body throughout the term of employment, and retained for a minimum period of five years after leaving the employment of the certification body.

### **Exceptions**

Where a certification body employs an auditor who does not fully meet the specific criteria for education but has been assessed as competent, there shall be a fully documented justification in place to support the employment of the auditor.  
Note – such exceptions only apply to existing auditors.

### **Responsibility of the Certification Body**

It is the responsibility of the certification body to ensure processes are in place to monitor and maintain the competence of the auditor to the level required by the Standard.

### **Maintaining Audit Experience**

Each auditor shall undertake at least 5 audits per year against the Global Standard for Food Safety to maintain category and scheme knowledge.

### **Continued Training**

The auditor must be kept up to date with 'Category Best Practice', have access to and be able to apply relevant laws and regulations, with records of update training held by the certification body.

Auditors registered to carry out audits against issue 4 of the standard must attend the official BRC update course issue 4 to issue 5 and pass the examination in order to register to audit to issue 5 of the standard.

### **Personal Attributes**

The auditor shall exhibit professional conduct at all times, be objective, have good communication skills and maintain the integrity of themselves, their employer and the Standard.

The certification body is required to have a system in place to evaluate the personal attributes of all auditors (e.g. by supplier feedback forms) and maintain records of competence and training as appropriate.

### **Product Fields**

Six broad areas of product fields have been identified. Food processing has been categorised as listed in the table. Organisations applying for accreditation or extensions of scope should use these fields in their applications.

### **Extensions to scope of existing auditors**

When an auditor's scope is extended, suitable coaching and training will be given in the chosen categories. Where appropriate, the auditor will have successfully completed a relevant industry recognised course relating to the category. This will be supplemented by food safety audits within the category, typically 5 audits or 10 audit days.

The certification body shall provide documented justification, and sign off the new skills in the auditors training program in the same manner as for the training program for the auditor's original scope.

Appendix 3

**BRC Global Standard for Food Safety – Product Categories**

The following product examples are given as guidance only and this not an exhaustive list.

Field of Audit	No.	Category Description	Product Examples	Storage Conditions	Examples of Knowledge of Technology Required by Auditor
Raw products of animal or vegetable origin that require cooking prior to consumption	1	Raw Red Meat	Beef / Veal, Pork, Lamb, Venison, Offal, Other Meat	Chilled Frozen	Slaughter, Primary Cutting and Butchery  Vacuum Packing  Modified Atmosphere Packaging
	2	Raw Poultry	Chicken, Turkey, Duck, Goose, Quail, Farmed and Wild Game  Shell Egg	Chilled Frozen	Slaughter and Primary Cutting  Vacuum Packing  Modified Atmosphere Packaging
	3	Raw Prepared Products (Meat and Vegetarian)	Bacon; Comminuted Meat Products e.g. Fish Fingers; Sausages; Meat Puddings; Ready to Cook Meals; Ready Prepared Meat Products; Pizzas; Vegetable Prepared Meals; Steamer Meals	Chilled Frozen	Retail Butchery, Processing and Packing  Curing, Vacuum Packing, Modified Atmosphere Packaging  High Care / Low Risk Principles
	4	Raw Fish Products and Preparations	Wet Fish, Molluscs, Crustacea, Comminuted Fish Products, Cold Smoked Fish, Ready Prepared Fish Products (e.g. Fish Pie)	Chilled Frozen	Stunning, Harvesting  Vacuum Packing, Modified Atmosphere Packaging  High Care / Low Risk Principles

Field of Audit	Category No.	Category Description	Product Examples	Storage Conditions	Knowledge of Technology Required
Fruit, vegetables and nuts	5	Fruits, Vegetables and Nuts	Fruit, Vegetables, Salads, Herbs, Nuts (unroasted)	Chilled Ambient	Washing, Grading
	6	Prepared Fruit, Vegetables and Nuts	Prepared / Semi-Processed Fruit, Vegetables and Salads including Prepared Ready to Eat Salads; Coleslaws; Chips, Frozen Vegetables	Chilled Frozen	Blanching, Freezing High Care Principles
Processed foods and liquids with pasteurisation or UHT as heat treatment or similar technology	7	Dairy, Liquid Egg	Liquid Egg, Liquid Milks / Drinks, Cream, Liquid Tea and Coffee Creamers, Yogurts, Fermented Milk-based Products, Fromage Frais / Crème Fraîche	Chilled Frozen	Pasteurisation, Separation, Fermentation  High Risk Principles
			Ice Cream	Frozen	
			Cheeses- Hard/Soft / Mould Ripened / Unpasteurised / Processed	Chilled	
			Long Life Milks, Non Dairy Products e.g. Soya Milk, Ambient Yogurts, Custards etc	Ambient	
			Fruit Juices (includes freshly squeezed and pasteurised, smoothies)	Chilled	
Dried Whey Powder, Dried Egg, Dried Milk / Milk Formulation	Ambient				

Field of Audit	Category No.	Category Description	Product Examples	Storage Conditions	Knowledge of Technology Required
Processed foods  Ready to eat or heat and eat foods i.e. heat treatment or segregation and processes that control product safety	8	Cooked Meat/Fish Products	Cooked Meats e.g. Ham, Meat Pâté; Hot Eating Pies; Cold Eating Pies; Molluscs (Ready to eat); Crustacea (Ready to Eat); Fish Pâté  Hot Smoked Fish; Poached Salmon	Chilled  Frozen	High Risk /Low Risk Principles  Vacuum Packs  Heat Treatment
	9	Raw Cured and/or Fermented Meat and Fish	Parma Ham; Cold Smoked Salmon (e.g. Gravalax), Air Dried Meats / Salami; Ready to Eat Smoked Fish; Fermented Meats; Dried Fish	Chilled	Curing, Fermentation  High Risk /Low Risk Principles
	10	Ready Meals and Sandwiches; Ready to Eat Desserts	Ready Meals, Sandwiches, Soups, Sauces, Pasta, Quiche, Flans, Meal Accompaniments, Cream Cakes, Trifles, Assembled High Risk Sweet Desserts.	Chilled  Frozen	High Risk /Low Risk Principles

Field of Audit	Category No.	Category Description	Product Examples	Storage Conditions	Knowledge of Technology Required
Ambient stable products with pasteurisation or sterilisation as heat treatment	11	Low/High Acid in Cans / Glass	Canned Products (e.g. Beans, Soups, Meals, Fruit, Tuna)  Products Packed in Glass (e.g. Sauces, Jams Pickled Vegetables)  Pet Food	Ambient	Canning  Thermal Processing  UHT
Ambient stable products not involving sterilisation as heat treatment	12	Beverages	Soft Drinks including Flavoured Water, Isotonics, Concentrates, Squashes, Cordials, Minerals, Table Waters, Ice, Herbal Drinks, Milk and Cereal Beverages; Food Drinks	Ambient	Water Treatment  Heat Treatment
	13	Alcoholic Drinks and Fermented / Brewed Products	Beer, Wine, Spirits  Vinegars  Alcopops	Ambient	Distilling, Fermentation, Fortification
	14	Bakery	Bread, Pastry, Biscuits, Cakes, Tarts, Breadcrumbs	Ambient	Baking
	15	Dried Foods and Ingredients	Soups, Sauces, Gravies, Spices, Stocks, Herbs, Seasonings, Stuffings, Pulses, Legumes, Rices, Noodles, Nut Preparations, Fruit Preparations, Dried Pet Food, Vitamins, Salt, Additives, Gelatine, Glace Fruit, Home Baking, Syrups, Tea, Instant Coffee and Coffee Creamers	Ambient	Drying  Heat Treatment

	16	Confectionery	Sugar, Chocolate, Gums and Jellies, other Sweets	Ambient	Heat Treatment
	17	Cereals and Snacks	Oats, Muesli, Breakfast Cereals, Roasted Nuts, Crisps, Poppadoms	Ambient	Extrusion, Heat Treatment
	18	Oils and Fats	Cooking Oils, Margarine, Shortening, Spreads, Butter, Suet, Ghee  Salad Dressings, Mayonnaise, Vinaigrettes	Ambient	Refining, Hydrogenation

## Appendix 4 **BRC/IoP Global Standard for Packaging and Packaging materials Qualifications, training and experience for auditors and witnessed assessors**

The following identifies the minimum requirements for auditors to conduct audits against the BRC Global Standard for Packaging and Packaging Materials.

### **Education**

Auditors will be drawn generally from two distinct disciplines. Those with expertise and a qualification in Food or Biosciences, and those with expertise and a qualification in Packaging Technology. This main qualification will be supported by a minimum secondary qualification in the other disciplines as appropriate. Where equivalence of qualification is unclear this shall be referred to the BRC for review

The auditor shall have;

- a Degree or Diploma in Packaging **and** have successfully completed a food safety/hygiene qualification at least equivalent to a UK Level 3 Qualification (see [www.brcglobalstandards.com](http://www.brcglobalstandards.com) for information)

**or**

- a Degree or Diploma in a food or bioscience related discipline **and** have successfully completed the **PIABC** EQIPT examination in packaging.

### **Work Experience**

The auditor shall have a minimum of three years' post-qualification experience related to their main qualification discipline. This shall involve work in Quality Assurance, Technical Management or Risk Management functions within manufacture, retailing, inspection or enforcement and the auditor shall be able to demonstrate an understanding and knowledge of specific fields of packaging for which they are approved. The verification to carry out work within specific fields of packaging will be carried out by the Certification Body.

### **Qualifications**

The auditor must have:

- passed a registered Management System Lead Assessor Course (e.g. IRCA) or the BRC third party auditing course delivered by a BRC Approved Trainer.
- completed a training course in HACCP, based on the principles of Codex Alimentarius, of at least two days' duration, **or** be able to demonstrate competence in the understanding and application of Hazard Analysis/HACCP Principles. It is essential that the HACCP/Hazard Analysis Course is recognised by the industry as being appropriate and relevant.
- Completed a Global Standard for Packaging How to implement (Awareness) Course delivered by a BRC Approved Trainer or for auditors auditing to issue 2 a conversion (update) course delivered by a BRC Approved Trainer.

## **Audit Training**

Auditors must have successfully completed a period of supervised training in practical assessment including witnessed assessment of a minimum of 3 audits at a variety of organisations against the Global Standard for Packaging.

Certification bodies shall be able to demonstrate that every auditor has appropriate training and experience for the particular fields, for which they are considered competent. Auditor competence shall be recorded at the level of each field of audit as indicated within the table.

Certification bodies must establish a training programme for new auditors, which will incorporate:

- a period of initial training covering product safety, Hazard and Risk Management, and Pre-requisite programmes which will include access to relevant laws and regulations
- a period of supervised training to cover Management Systems, Audit Techniques and specific field of audit knowledge
- assessment of knowledge and skills for each packaging field
- documented sign off of the satisfactory completion of the training programme

Each auditor's training programme shall be managed and approved by an assessor who can demonstrate that they are technically competent in the packaging fields in which training is given.

Full detailed training records of the individual must be maintained by the certification body throughout the term of employment, and retained for a minimum period of five years after leaving the employment of the certification body.

## **Exceptions**

Where a certification body already employs an auditor who does not fully meet the specific criteria for education but has performed successfully as an auditor, there shall be a fully documented justification in place to support the employment of the auditor.

Note – such exceptions only apply to existing auditors.

## **Responsibility of the Certification Body**

It is the responsibility of the certification body to ensure processes are in place to monitor and maintain the competence of the auditor to the level required by the Standard.

## **Maintaining Audit Experience**

Each auditor shall undertake at least 3 audits per year against the Global Standard for Packaging to maintain category and scheme knowledge.

## **Continued Training**

The auditor must be kept up to date with current developments in the appropriate packaging field, have access to and be able to apply relevant laws and regulations, with records of update training held by the certification body.

Auditors registered to carry out audits against issue 2 of the standard must attend the official BRC conversion (update) course issue 2 to issue 3 and pass the examination in order to register to audit to issue 3 of the standard.

## **Personal Attributes**

The auditor shall exhibit professional conduct at all times, be objective, have good communication skills and maintain the integrity of themselves, their employer and the Standard.

The certification body is required to have a system in place to evaluate the personal attributes of all auditors (e.g. by supplier feedback forms) and maintain records of competence and training as appropriate.

## **Packaging Fields**

Packaging materials have been categorised into five fields, as listed in the table. Organisations applying for accreditation or extensions of scope should use these fields in their applications:

## **Extensions to scope of existing auditors**

When an auditor's scope is extended, suitable coaching and training shall be given in the chosen field, which can be supplemented with 3 supervised packaging materials audits including one witnessed assessment within the appropriate field, and have successfully completed an additional **Pi-abc Eqipt** module relating to the packaging field for which the auditor requires extension to scope.

The certification body shall provide documented justification, and sign off the new skills in the auditor's training program in the same manner as for the training program for the auditor's original scope.

Appendix 5 **BRC/IoP Global Standard for Packaging and Packaging Materials –Fields of audit for packaging and packaging materials**

<b>Packaging Field</b>	<b>Typical packaging components/materials / articles</b>
<b>Glass</b>	Glass bottles, jars and decanters Ceramic bottles, jars and decanters
<b>Paper</b>	Paper bags Paper sacks Paper labels, tags and neck collars Board cartons Board sleeves Chipboard cartons and layer pads Corrugated cases and trays Corrugated fitments
<b>Metals</b>	Cans Aerosol containers Tubes Closures Aluminium foil Foil trays
<b>Plastics</b>	Bottles and jars Caps and closures Thermoformed trays Tubs and pots Adhesives Buckets and pails Bulk containers Plastic film, including vacuum metallised films, and labels Multi-ply laminates <i>of combinations of</i> paper, plastics, aluminum foil Flexible intermediate bulk containers
<b>Wood and other Materials</b>	Pallets Boxes and crates Decorative wooden boxes Natural cork Wood for food and cosmetic use Hessian sacks Wooden utensils

Composites shall be categorised by the component which contributes the highest percentage composition of the product.

**BRC Global Standard Consumer Products – Issue 2**

The following identify the minimum requirements for auditors to conduct audits against the BRC Global Standard for Consumer Products.

**Education**

The auditor ideally shall have a recognized professional apprenticeship, a degree in a science or engineering discipline **or**, as a minimum, have successfully completed a higher education in a science or engineering related discipline.

**Work Experience**

The auditor shall have a minimum of three years work experience directly related to the relevant technology or industry. This shall involve work in Quality Assurance or product safety functions within manufacture, retail technology, inspection or audit. The auditor shall be able to demonstrate an understanding and knowledge of specific fields of audit for which they are approved. The verification to carry out work within specific fields of audit shall be carried out by the certification body.

**Qualifications**

The auditor must have :

- passed a registered QMS Lead Assessor course (e.g. IEMA, IRCA)**or**
  - successfully completed a course combining technical and lead assessor skills specifically developed by the BRC and provided by a BRC Approved Trainer.
- and**
- completed a training course in Risk Assessment or HACCP, of at least two days' duration, **or** be able to demonstrate competence in the understanding and application of Risk Assessment/Hazard Analysis/HACCP Principles. It is essential that the HACCP/Risk Assessment Course is recognised by the industry as being appropriate and relevant.
  - Completed a Global Standard for Consumer Products How to implement (Awareness) Course delivered by a BRC Approved Trainer.

**Audit Training**

Auditors must have successfully completed a period of supervised training, including witnessed audits, in practical assessment through 3 audits at a variety of organizations against the BRC Global Standard for Consumer Products.

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Certification bodies must be able to demonstrate that every auditor has appropriate training and experience for the particular Product Technologies for which they are considered competent. Auditor competence shall be recorded at least at the level of each field of audit for Product Technologies as indicated by each EA code.

EA codes can be found on the UKAS site

[www.ukas.com](http://www.ukas.com)

[http://www.ukas.com/Library/downloads/web\\_schedules/CB/EA%20CODES.pdf](http://www.ukas.com/Library/downloads/web_schedules/CB/EA%20CODES.pdf)

The reference NACE codes can be found on:

[http://europa.eu.int/comm/competition/mergers/cases/index/nace\\_all.html](http://europa.eu.int/comm/competition/mergers/cases/index/nace_all.html)

Certification bodies must establish training programmes for each auditor, which will incorporate:

- a period of initial training covering product safety, HACCP, Pre-Requisite programmes and have access to relevant laws and regulations
- a period of supervised training to cover Quality Management Systems, Audit Techniques and specific category knowledge
- assessment of knowledge and skills for Product Technology
- assignment of fields of EA and NACE codes.
- documented sign off of the satisfactory completion of the training programme

Each auditor's training programme shall be managed and approved by a technically competent person within the certification body who can demonstrate to be technically competent in the Product Technologies in which training is given.

Full detailed training records of the individual shall be maintained by the certification body throughout the term of employment, and retained for a time as dictated by the General Product Safety Regulations (This could a minimum of 21 years) by the certification body.

### **Exceptions**

Where a certification body employs an auditor who does not fully meet the specific criteria for education but has been assessed as competent, there shall be fully documented justification in place to support the employment of the auditor.

### **Responsibility of the Certification Body**

It is the responsibility of the certification body to ensure processes are in place to monitor and maintain the competence of the auditor to the level required by the Standard.

### **Maintaining Audit Experience**

Each auditor shall undertake at least 3 audits per year against the Global Standard for Consumer Products to maintain category and scheme knowledge..

### **Continued Training**

The auditor must be kept up to date with 'Category Best Practice', have access to and be able to apply relevant laws and regulations, with records of update training held by the certification body.

Auditors registered to carry out audits against the standard must attend an official BRC update course and pass the examination in order to register to audit against subsequent issues of the standard.

### **Personal Attributes**

The auditor shall exhibit professional conduct at all times, be objective, have good communication skills and maintain the integrity of themselves, their employer and the Standard.

The certification body is required to have a system in place to evaluate the personal attributes of all auditors (e.g. by supplier feedback forms) and maintain records of competence and training as appropriate.

### **Fields of Audit**

Broad areas of audit have been identified as defined by the EA codes. **Product Technologies** have been categorised, and can be referenced from the following website. Organisations applying for accreditation or extensions of scope should use these fields in their application.

### **Extensions to scope of existing auditors**

When an auditor's scope is extended, suitable coaching and training must be given in the chosen Product Technologies. Where appropriate, the auditor will have successfully completed a relevant industry recognized course relating to the technology. This will be supplemented by audits within the category.

The certification body shall provide documented justification, and sign off the new skills in the auditor's training program in the same manner as for the training program for the auditor's original scope.

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**BRC Global Standard Storage and Distribution -Issue 1**

The following identify the minimum requirements for auditors to conduct audits against the BRC Global Standard for Storage and Distribution.

**Education**

The auditor ideally shall have a degree in a food, science, technology or logistics discipline, **or** as a minimum, have successfully completed a higher education course in a food, science, technology or logistics related discipline.

**Work Experience**

The auditor shall have a minimum of three years post-qualification experience related to the food, packaging, logistics or consumer product industries. This shall involve work in Quality Assurance or product safety functions within manufacture, retailing, storage and distribution, inspection or enforcement and shall be able to demonstrate an understanding and knowledge of specific fields of audit for which they are approved. The verification to carry out work within specific fields of audit will be carried out by the certification body.

**Qualifications**

The auditor shall have:

- Successfully passed a registered QMS Lead Assessor course (e.g. IRCA) **or** BRC 4 day auditor course.

**and**

- The auditor shall also have successfully completed (as evidenced by examination) a training course in HACCP or Hazard Analysis principles of at least 2 days duration based on the principles of Codex Alimentarius, and be able to demonstrate competence in the understanding and application of HACCP principles. It is essential that this training course is recognised by the industry sector (and its stakeholders) as being appropriate and relevant.
- Completed a Global Standard for Storage and Distribution How to implement (Awareness) Course delivered by a BRC Approved Trainer.

**Audit Training**

Auditors must have successfully completed a period of supervised training in practical assessment through 3 audits at a variety of organizations against the BRC Global Standard for Storage and Distribution.

Certification bodies shall be able to demonstrate that every auditor has appropriate training and experience for the particular categories of audit for which they are considered competent.

Certification bodies must establish training programs for each auditor, which will incorporate:

- a period of initial training covering product safety, HACCP, Pre-Requisite programmes and have access to relevant laws and regulations
- a period of supervised training to cover Quality Management Systems, Audit Techniques and specific category knowledge
- assessment of knowledge and skills for each field.
- assignment of fields of audit
- documented sign off by management of the satisfactory completion of the training programme

Each auditor's training programme shall be managed and approved by a technically competent person within the certification body who can demonstrate to be technically competent in the fields in which training is given.

Full detailed training records of the individual shall be maintained by the certification body throughout the term of employment, and retained for a minimum period of 5 years after leaving the employment of the certification body.

### **Exceptions**

Where a certification body employs an auditor who does not fully meet the specific criteria for qualification but has been assessed as competent, there shall be a fully documented justification in place to support the employment of the auditor.

### **Responsibility of the Certification Body**

It is the responsibility of the certification body to ensure processes are in place to monitor and maintain the competence of the auditor to the level required by the Standard.

### **Maintaining Audit Experience**

Each auditor shall undertake at least 3 audits per year against the Global Standard for Storage and Distribution to maintain category and scheme knowledge.

### **Continued Training**

The auditor must be kept up to date with 'Category Best Practice', have access to, and be able to apply relevant laws and regulations, with records of update training held by the certification body.

### **Personal Attributes**

The auditor shall exhibit professional conduct at all times, be objective, have good communication skills and maintain the integrity of themselves, their employer and the Standard.

The certification body is required to have a system in place to evaluate the personal attributes of all auditors (e.g. by supplier feedback forms) and maintain records of competence and training as appropriate.

### **Fields of Audit**

Broad areas of audit have been identified as defined by the appending chart.

### **Extensions to scope of existing auditors**

When an auditor's scope is extended, suitable coaching and training shall be given in the new field which can be supplemented with audits within the appropriate field and where appropriate have successfully completed a relevant Industry recognised course relating to the field in question. This will be supplemented by audits within the appropriate field.

The certification body shall provide documented justification, and sign off the new skills in the auditor's training program in the same manner as for the training program for the auditor's original scope.

	<b>Field of Audit</b>
<b>1.</b>	<b>Chilled and Frozen Food</b>
<b>2.</b>	<b>Ambient Food</b>
<b>3.</b>	<b>Consumer Products and Packaging materials</b>

It is recognised that a wide range of products are covered by the Storage and Distribution Standard. It is the responsibility of the certification Body to identify the products being handled by the company being audited and in particular identify any products with specific handling requirements. Where such products are identified the auditor must be aware and understand in advance of the special handling requirements