



The True Audit Experience

Keys for a successful Certification audit

GFSI / Codex Alimentarius / Gluten Free Certification Programs

Tortilla Industry Association Conference – San Antonio, TX (July 10th, 2021)
Veronica Ramos - DQS Inc. Food Safety Sector Manager

DQS MANAGEMENT SYSTEMS SOLUTIONS

MAJOR DQS
SHAREHOLDERS

DGQ

DIN



About DQS



DQS is accredited and authorized certification body to carry out assessments and certifications according to more than 100 national and international approved standards.





The true audit experience...

- ✓ Auditors' experience and technical competence
- ✓ Risk-based approach
- ✓ Motivation to find your strengths and define your potential
- ✓ Customer approach



The True Audit Experience

FSMS

FOOD SAFETY MANAGEMENT SYSTEMS

DQS MANAGEMENT SYSTEMS SOLUTIONS

MAJOR DQS
SHAREHOLDERS

DGQ

DIN



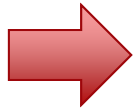
Level of my FSMS?



A. Full implementation of a GFSI Standard, ready for Certification!

B. Initiating the implementation of the FSMS based on a GFSI Standard.

C. PRPs/GMPs, legal requirements, and HACCP Principles implemented based on Codex Alimentarius (CXC 1-1969).



D. PRPs/GMPs and legal requirements implemented.

E. Nothing yet...

Who is GFSI?



The Global Food Safety Initiative (GFSI; the Coalition) is a Coalition of Action from The Consumer Goods Forum (CGF), bringing together retailers and manufacturers from across the CGF membership and an extended food safety community to oversee food safety standards for businesses and help provide access to safe food for people everywhere.

Responsible for issuing **guidelines** based on the benchmarking and harmonization activities of the International Standards.

GFSI Recognized Standards



Standards such as: BRCGS, FSSC 22000, and SQF are some of the Certification Programs recognized by GFSI.

The BRCGS logo is displayed in orange, bold, sans-serif capital letters. A large, thin red bracket on the right side of the slide groups the BRCGS, FSSC 22000, and SQF logos together.

BRCGS

The FSSC 22000 logo is displayed in green, bold, sans-serif capital letters, followed by the number '22000' in a lighter green font. A large, thin red bracket on the right side of the slide groups the BRCGS, FSSC 22000, and SQF logos together.

FSSC 22000

The SQF INSTITUTE logo is displayed in blue, bold, sans-serif capital letters, with 'INSTITUTE' in a smaller font below it. A large, thin red bracket on the right side of the slide groups the BRCGS, FSSC 22000, and SQF logos together.

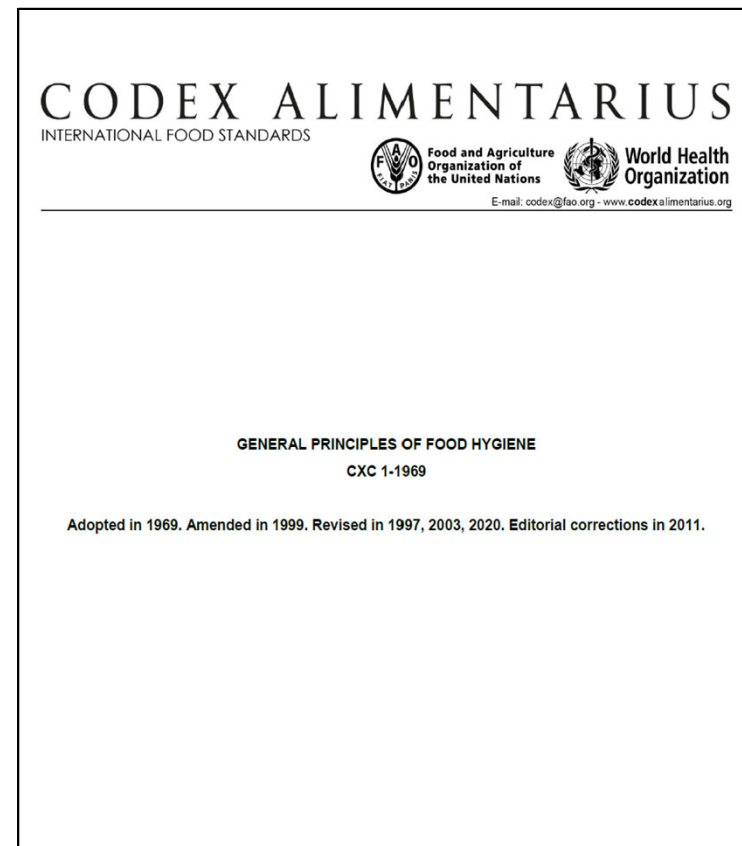
SQF
INSTITUTE

- **Food Safety
(HACCP/PRPs)**
- **Quality***
- **Legality**

CXC 1-1969 Structure

Codex Alimentarius contains two Chapters.

- **CHAPTER 1- Good Hygiene Practices**
 - (with 9 Sections).
- **CHAPTER 2- Hazard Analysis and Critical Control Point (HACCP) System and Guidelines for its implementation**
 - (with 7 Principals=12 Steps)



This is not an accredited Standard.

Other requirements



In addition to the implementation and certification of the International Standards and Legal Requirements, the organization shall take into consideration other requirements of the Interested Parties:

- ☐ Countries of sale
- ☐ Industry expectations
- ☐ Customer specific
- ☐ Consumer demands





The True Audit Experience

How to prepare for a successful certification audit?

DQS MANAGEMENT SYSTEMS SOLUTIONS

MAJOR DQS
SHAREHOLDERS

DGQ

DIN



What is a Certification?



Certification of Food Safety Management Systems

- The Certification of the FSMS is an **evaluation of the level of conformity** of the implemented applicable requirements.
- The Certification is conducted by a **CB “Certification Body”**, which is a third-party organization with no relation with the site being audited in regards to products in the supply chain.
- The CB provides the service **with qualified auditors**.

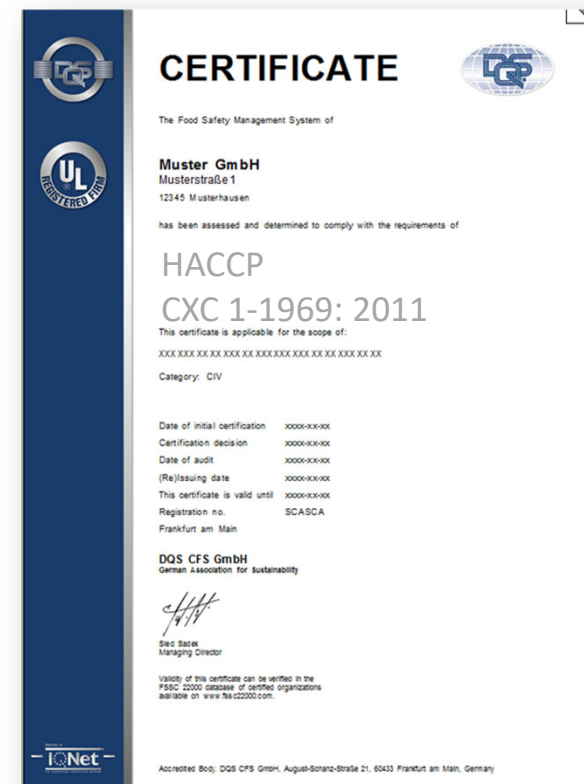


What is a Certification?



Certification of Food Safety Management Systems

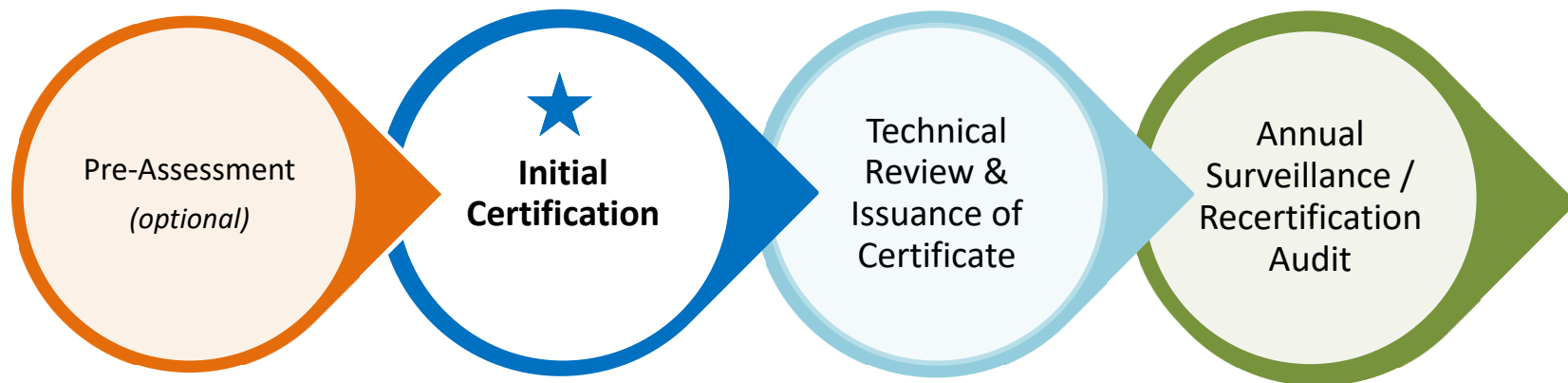
- The evaluation must be conducted against **recognized Standards**, for which the CB is accredited, competent, or recognized.
- The Certification audit of Food Safety Management Systems is a **contractual agreement** between the CB and the organization receiving the audit (and not other parties like customers or suppliers).



Certification Process



**This is the process that the CB
will take to certify your company**



- Opening Meeting
- Evaluation / Vertical Audit
- Preparation of Conclusions
- Closing Meeting

Keys for success...



How to prepare for the successful implementation of a Food Safety Management (FSMS)?

Recommended steps:

- ☐ Find out which are the interests of your main customers and destination of your products, in terms of:
 - Standards,
 - Time-frame to get the Certification,
 - Customer specific requirements,
 - Markets/Exports.
- ☐ Select the Standard(s) to be implemented.
- ☐ Get the current version and official document of the Standard(s) selected.



Keys for success...



Recommended steps:

- ☐ Review the Standard's requirements and define and Implementation Plan
 - Activities,
 - Dates,
 - Responsible personnel- including the assignment of the Food Safety Team Leader.

- ☐ Get training!
- ☐ Implement necessary improvements in infrastructure.
- ☐ Start implementation!



Certification

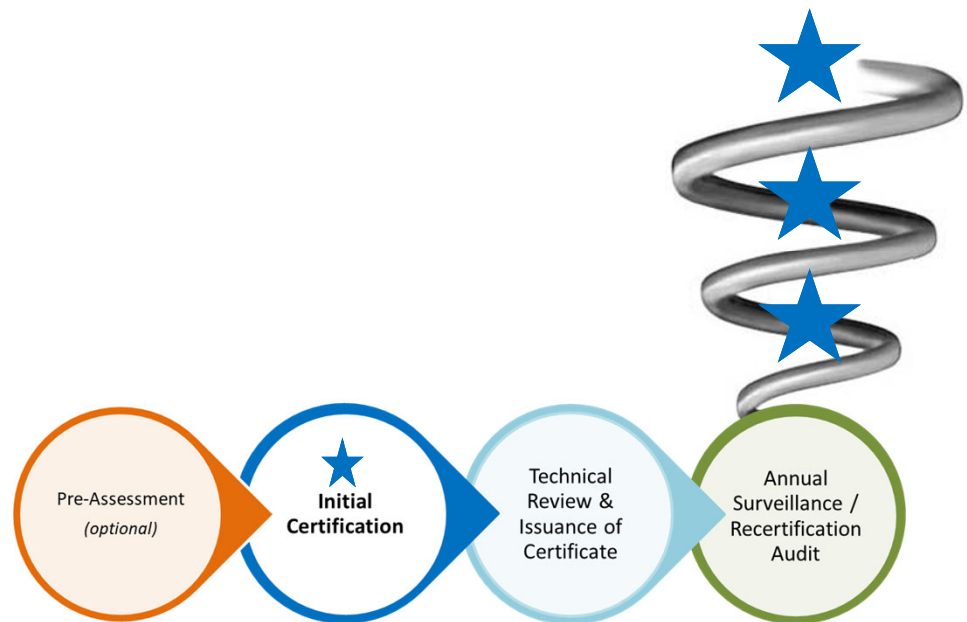


Once the requirements of your FSMS are implemented

You'll need to:

- Select the Certification Body
- Define Dates for your Initial Certification

- Control documents and records
- Internal Audits & GMP Inspections
- Management Review Meeting



Gluten-Free



- ❖ Worldwide are offered several certification programs.
- ❖ All programs pursue to be recognized by the most relevant and reputable associations.
- ❖ The program to select, will depend on the organization's decision considering the actual customers and potential markets (domestic and international).

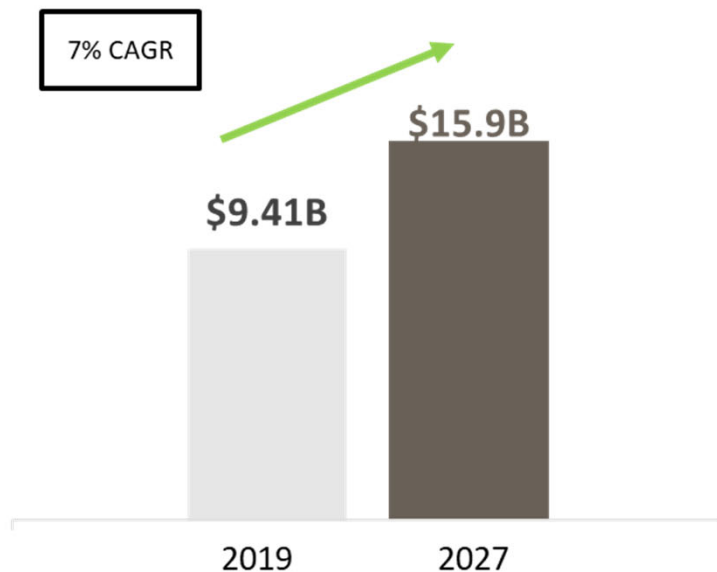


Gluten-Free certifications

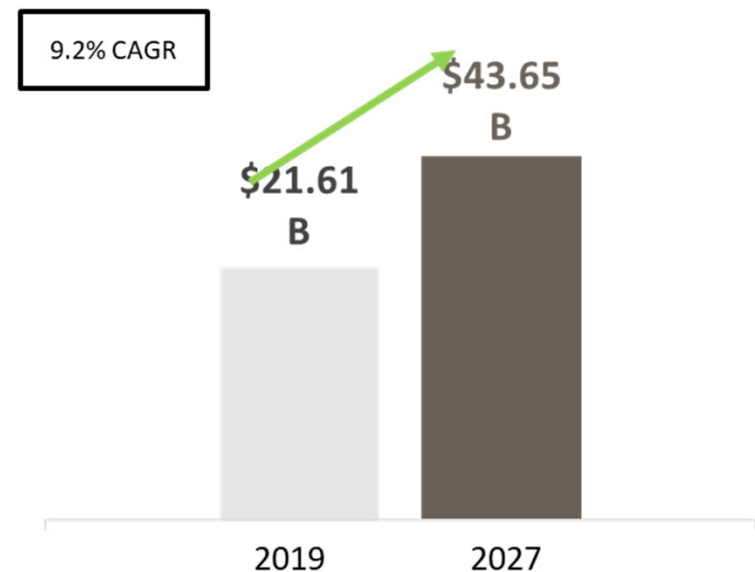


Market research shows that the global Gluten-free market will continue to see growth.

Global Food Certification Market Growth



Global Gluten-Free Product \$ Sales Growth



Reasons



- ✓ Increased awareness of the celiac disease,
- ✓ those sensitive to gluten, and
- ✓ those choosing to go gluten-free as a lifestyle choice.
- ✓ USA major consumer markets for gluten-free products.



Gluten-Free Programs



- **GFFP - Gluten Free Food Program**
- **GFCO - Gluten Free Certification Organization**
- **CB Specific Certification Programs (own standard, own label)**
- **GFCP – Gluten Free Certification Program**
 - **BRCGS GFCP**



BRCGS GFCP benefits



- ▶ A systems approach to the management of gluten (FSMS).
- ▶ Expanding markets to increase the availability and sales of gluten-free products (2020-2027 CAGR 9.2%)
- ▶ Increased consumer confidence and product recognition.
- ▶ Providing consumers with availability and greater variety of trusted gluten-free choices.

Key sector issues



Adopting a gluten-free diet can be necessary for different health conditions. The gluten-free market is growing but consumers need reliable options on retailers shelves.



Consumers are skeptical of marketing claims and have practice with ingredient reading and asking "how is this made?" more than before



Consumer in this market are very loyal to brands they trust. Gluten-Free trademarks are a strong tool that supports easy label reading and communicate brand responsibility in claims.

Key sector issues



Product integrity is the main key sector issue- use a food safety management system to be confident in your free-from claims



Food can be safe but not free-from gluten ingredients without a specialized food safety management system



The need to eliminate cross-contamination with a dedicated production site to the free-from mission

Registration to participate



Gluten-Free Certification Program Global Standard Facility Program License Agreement

This Gluten-Free Certification Program Global Standard ("GFCP") Facility Program License Agreement (the "Agreement") is entered into this XXXXX day of XXXXXXX (the "Effective Date"), between BRCGS Americas Inc. ("BRCGS") and XXXXX (the "Company") located at XXXXXXX.

This Agreement is for manufacturers of Gluten-Free products and ingredients and is subject to the terms and conditions for maintaining a facility certification, as set forth below:

- 1.0 This Company agrees to conform to all requirements of the **Gluten-Free Certification Program (GFCP) Global Standard**, as is outlined within the most current version of the program documentation, including but not limited to the most current version of the **GFCP Global Standard**, or from time-to-time **GFCP Position Statements**, and this Agreement.
- 2.0 In the case of a contract manufacturer, the Standard owner recommends that Company's contracted customers leverage the value-added brand marketing and communication partnerships, available from the leading celiac/coeliac organizations, which recognize and endorse the GFCP and the Company agrees, to the best of their ability, to introduce their customers/brand owners, to the Standard owner.
- 2.1 All products originating from a certified GFCP facility and where the intention is to display GFCP trademarks on those products, shall be identified on a current **GFCP Schedule "A"**, which forms part the facility's third-party audit process.
- 2.2 The Company shall communicate any changes relating to its Schedules A, including the cessation of production for any of its brand owners, to BRCGS immediately. BRCGS and its affiliates will use the most recent Schedule A on file for the purposes of annual billing. Refunds will not be issued for any changes made after invoices relating to annual facility program license fees are issued.
- 2.3 The Company agrees that making a gluten-free claim meets or exceeds all regulatory requirements, is in-fact hereby acknowledged as a "Supplier's Declaration of Conformity" and are within the terms and conditions of this licensing agreement.
- 2.4 The Company will ensure that use of the **GFCP trademark(s)** and/or agreed wording is applied in a manner that conforms to the standards outlined, in the latest version of the "**BRCGS Free-From Trademark Guideline**" and further, approved in writing prior to use by the Standard owner's representative.
- 2.5 The Company agrees to display, within reason, the **GFCP trademark(s)** together with a descriptor on its Company web site(s), either on "hard-copies" or electronic promotional, marketing and communication collaterals, or only in direct association with products, permitted to display the **GFCP trademark(s)**. At no time, will there be reference to "product certification" on product labels, collaterals printed or electronic information such as advertising and or promotional information.
- 3.0 The Company shall be responsible to pay the Standard owner, an annual facility program license fee of USD/CAD (local currency) \$2,500 for each manufacturing site, plus any applicable taxes. No other parties or organizations are eligible to collect additional fees associated with the license for use of the **GFCP trademarks**.
- 3.1 The Company acknowledges that a portion of facility program license fees may be donated by the Standard owner to leading consumer celiac/coeliac organizations, which are non-for-profit organizations.
- 3.2 Annual facility program license fees are due upon receipt of invoice.
- 4.0 A **GFCP Certificate** will be issued by an approved auditing and Certification Body to a manufacturing facility, which has previously and formally applied to the GFCP and successfully completes a 3rd party GFCP management system audit and whereby, full payment for the annual facility program license fees are received by the Standard owner, from the Company.

Program Licence Agreement (PLA)

Sites are required to enter into a
Program License Agreement

Eligibility to participate

Schedule A

- ✓ It needs to be submitted for approval by BRCGS
- ✓ The Schedule A lists all gluten-free products that will be recognized by the GFCP.
- ✓ Valid for 12 months after signing.
- ✓ Product artwork must be approved.
(this is a AOECS Equivalent Process)



Basic Program Requirements

- **Senior Leadership commitment**
- **Prerequisite programs**
- **Gluten controls**
 - Awareness training,
 - Product development
 - Supplier approval
 - Marketing claims
 - Finished product specifications
 - Contamination control
 - Work in progress
 - Segregation/disposal obsolete and waste
 - Laboratory and testing
 - Complaint handling
 - Recall



- **HACCP Principals**
- **Records**
- **Document control**
- **Validation**
- **GFMS maintenance and reassessment**
- **Internal audits**

Select the type of audit

☐ Standalone Audit (only GFCP)

- ☐ Typical duration for a stand-alone is 1.5 – 2 days, depending on the size of your facility, number of employees, and number of product Categories.

☐ Combined Audit (with your GFSI FSMS)

- ☐ When combined with a GFSI audit, the GFCP adds 0.5 days.

But first, remember the recommended steps of implementation



Post-Audit Activities



Once the Certificate is issued...

- ❑ The process of Trademark Use and Label Approvals is initiated.



Trademarks



- ☐ Submit the Trademark Approval form
- ☐ Finalized Schedule A list
- ☐ Labels/Artwork is submitted for final approval



USA

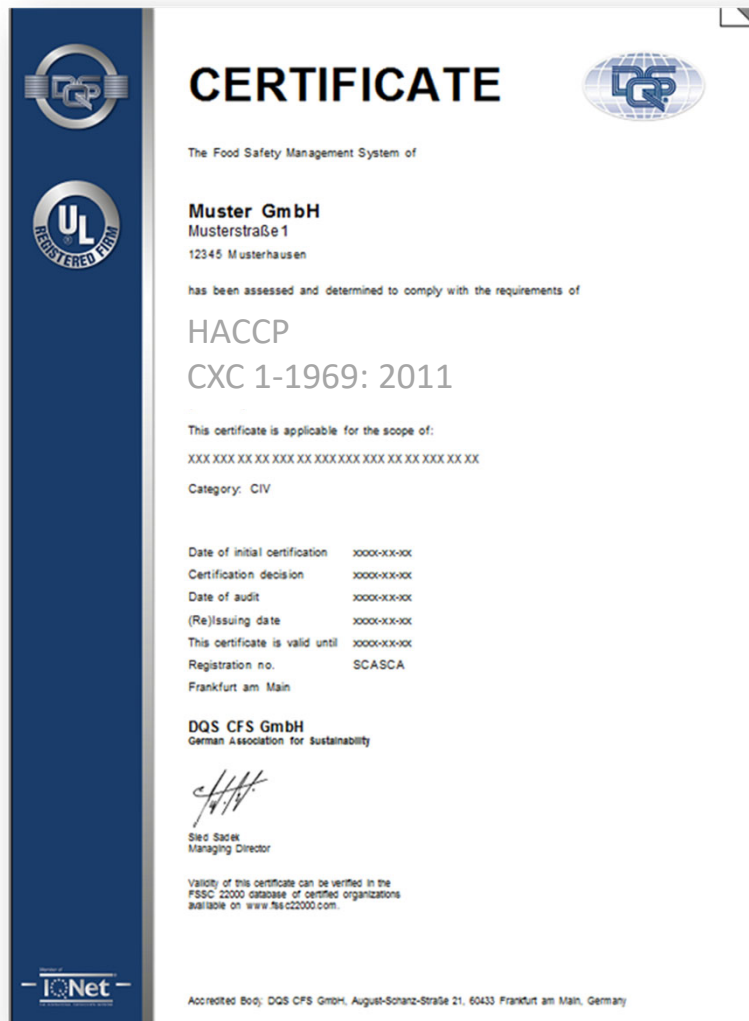


Worldwide



Canada

Become GFCP Certified



Submit your **FREE** and **no obligation proposal** request form our website
www.dqsus.com

And

brcgs.com/our-standards/gluten-free-certification-program/sales@brcgs.com

(This is not an actual certificate)

Consolidate with DQS



Every Standard has its own purpose, requirements, audit duration, etc.
Let's us know if you are interested in reviewing your options for additional Standards.



FOOD SAFETY & PACKAGING

BRCGS
FSSC 22000
SQF
EFfCI GMP
HACCP



QUALITY MANAGEMENT

ISO 9001
AS 9100 & AS 9120
IATF 16949
IRIS
TL 9000



MEDICAL DEVICE

ISO 14971
Medical Device Regulation
ISO 13485
MDSAP
ISO 15378



INFORMATION TECHNOLOGY

ISO/IEC 27701:2019
CMMI
ISO 27001
ISO20000-1
ISO 22301



SUSTAINABILITY

ISO 14001
Together for Sustainability
ISO 50001
ISO 45001
RC 14001 & RCMS



ADDITIONAL

ESD S20.20
Gap Assessments
HIPPA Compliance
Suppliers Audits
Second party audits



The True Audit Experience





The True Audit Experience

Thank You!

We Look Forward to Work With You and Your Company!

Veronica.ramos@dqsus.com

DQS MANAGEMENT SYSTEMS SOLUTIONS

MAJOR DQS
SHAREHOLDERS

DGQ

DIN

