



# How to be prepared for a successful food safety audit

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What we offer:



**=** Sustainable success for our customers



## Facts & Figures

**34** years of experience

Around **80** offices in **60** countries

More than **2,500** auditors

More than **65,000** certification sites in more than **130** countries

More than **125,000** assessment days per year

## Shareholders of DQS



**Underwriters  
Laboratories**

DGQ, DIN, UL each 28 %  
and four industry associations as minority shareholders



# About us



Global Presence – Local Competence

# About us



## Our Structure



DQS Holding



DQS GmbH

Automotive

Aerospace

IT Security

...



DQS CFS

Consumer Goods

Sustainability



DQS Med

Medical Devices

# Quality along the Supply Chain



# Certification Schemes



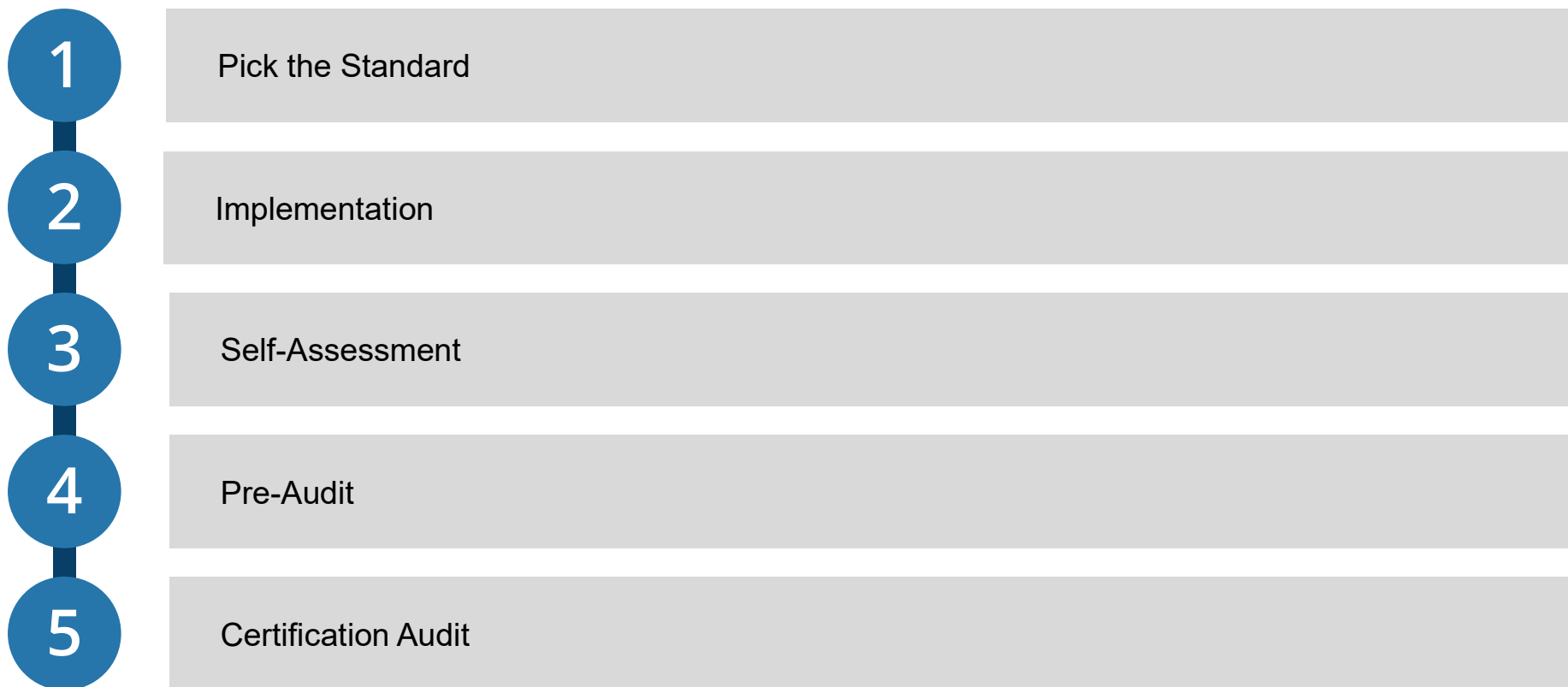
... and many more



# Five Steps towards a successful food safety audit



- 1
- 2
- 3
- 4
- 5



1

# Pick the Standard

2

3

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1

## Pick the Standard

2

→ Depending on the **customers** you have: some retailer requires specific certification

3

→ Depending on **availability**: availability of accredited Certification Bodies and availability of competent auditors

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## Pick the Standard

2

**Standards available on the websites of the scheme owners:**

FSSC: <https://www.fssc22000.com/scheme/>

→ remark: As DIN EN ISO 22000 and the relevant technical specification are basis for this certification, these standards must be purchased

3

BRC: <https://www.brcgs.com/brcgs/food-safety/help-and-guidance/>

4

IFS: <https://www.ifs-certification.com/index.php/de/>

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SQF: <https://www.sqfi.com/resource-center/sqf-code-downloads-edition-8/>

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## Implementation

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Implementation based on the three pillars:

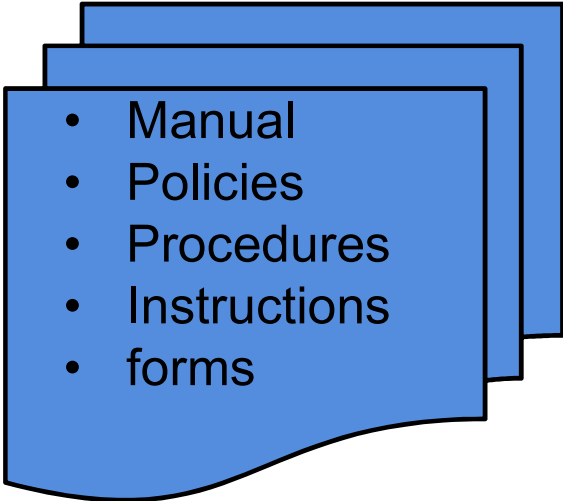
- Create documentation
- Facility and equipment: fit for intended use, maintained, clean, good conditions
- Staff: informed, competent, trained

→ Providing the financial and personnel resources by Top Management

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- 
- Manual
  - Policies
  - Procedures
  - Instructions
  - forms

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1. Creating the team:

1. Nomination of a team leader and the team members
2. Inform all the staff about this project and that they are involved as well.

2

2. Training on the standard

1. Team must have sufficient knowledge and background to make the correct interpretation of the requirements
2. Could be done external or internal with a consultant or learning by doing (risk!)

3

3. Gap-analysis

1. Use a checklist which considers all requirements from the standards
2. GAP Analysis can be done in parts (HACCP, Supplier Approval and monitoring, Traceability, etc.)

4

3. Determine the deviations and necessary actions and **corrective actions**

4. **Perform GMP inspections in short frequencies – weekly in the beginning: to identify needs in maintenance, repairs, training of staff**

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### **Training of the staff:**

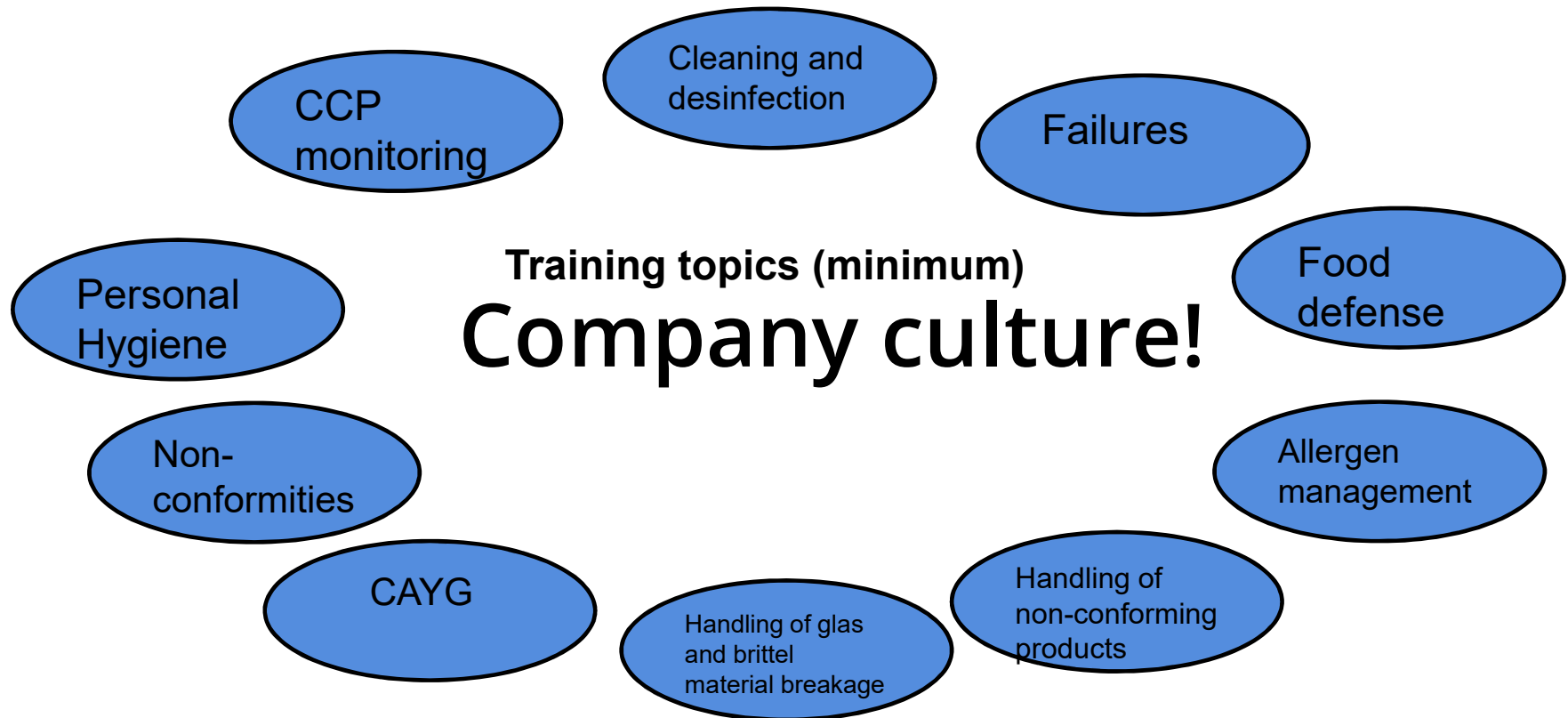
Almost the most important part

Employees are the persons who operate the processes

→ Must be competent and trained and aware of the tasks and responsibilities!



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## Training

### How to increase effectiveness of trainings?

- Small groups: 10-15 people maximum
- Duration between 20 – 30 minutes
- Specific topics, relevant for the delegates
- Company related: use foto's, pictogram, examples from own processes/ products etc.



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Implementation **at least** 3-4 months before audit

3

- To have sufficient experience with the system
- Time to check if the system is robust
- Time to modify the system
- Sufficient evidences for audit

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## Self-Assessment: Internal Audits

2

- Done by trained and independent staff
- Interviews with responsible persons
- To become familiar in the role as an auditee
- Open communication
- Use Checklist
- Make photos

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## Self-Assessment: Internal Audits

2

Non-conformities must be

3

- Recorded
- Corrections and corrective actions determined
- Corrective actions verified

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**Ongoing test of the system by vertical audit**  
**Traceability challenge through all process steps:**

2

Identification of all used raw materials (incl. Ingredients, additives, utilities (e.g. gas), packaging materials → to used lot

3



4

Identification of customers (related to selected lot of final goods)

5





Check of all records created during the whole process:

- Inspection of raw material
- Recipe
- Specifications
- Supplier status
- Allergen and GMO status
- Cleaning and disinfection records from date of production
- Analysis
- Maintenance records from concerned equipment
- Training records from staff, involved in the production during this period
- CCP-records
- Temperature records
- An so on

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- 5



Mass balance test in both directions



1. Choose the standard (Foto mit Fragezeichen und den Logos der bekannten Standards drumherum: IFS, BRC, FSSC, SQF)
2. Implementation of the standard
3. Self assessment
4. Pre-Audit – optional (with chosen CB or consultant)
5. Certification

<b>Evidence-Traceability-Test-(during-audit—vertical-audit)</b>			☐
☐			☐
Auditor: ☐	Date: ☐	☐	Page 1 / 5 ☐

☐  
 ☐  
 ☐ Beginning-Traceability-Test: → → Time → → End → → Time.....(customer-specific-demand): ☐ no ☐ yes: \_\_\_\_\_ h ☐

<b>Product</b> ☐	☐			☐ sampling: → ☐ sample purchased in a shop ☐ retention sample ☐
	☐			☐ → . → ☐ Main product ☐ other: _____ ☐
<b>Batch-Number</b> ☐	☐	<b>Shelf-life</b> ☐	☐	<b>Production-date</b> ☐ .....//☐
<b>How-are-batches-determined</b> ☐	☐			
<b>Description-of-traceability-system</b> ☐	☐			
<b>Labelling-check</b> ☐ (e.g. Allergens, claims) ☐	☐	☐	☐	<b>Recipe</b> ☐ (date/ approval) ☐
<b>Additives-in-accordance-to-legal-requirements</b> (e.g. 1333-/2008, Art. 18) ☐	☐	☐	☐	

<b>Final-good-specification</b> ☐	☐	<b>Customer-specific-specification-and/-or-other-requirements</b> (e.g. shelf-life, raw materials, supplier, technologies, testing methods...) ☐	☐
<b>Approval-labelling</b> ☐	☐		☐

<b>Evidence-Traceability-Test-(during-audit--vertical-audit)</b>			☐
☐			☐
Auditor: ☐	Date: ☐	☐	Page2/5

**Traceability-upstream:**

Control-of-spec.						GMO-Yes/no	
Raw-material/ ingredient/-additive	Supplier	Used-batch/-lot	Incoming-inspection-(date)	Specification-/ GMO-/-Packaging	Allergen	Food- Fraud- possible	Supplier- assessment
☐	☐	☐	☐	☐	☐	☐	☐
☐	☐	☐	☐	☐	☐	☐	☐
☐	☐	☐	☐	☐	☐	☐	☐
☐	☐	☐	☐	☐	☐	☐	☐
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☐	☐	☐	☐	☐	☐	☐	☐
☐	☐	☐	☐	☐	☐	☐	☐
Rework	Instruction						
Previous-product-produced-on-this-equipment	☐						
Packaging-material-with-direct-contact	Supplier	Used-batch/-lot	Incoming-inspection-(date)	Specification	DoC	Migration-reports	
☐	☐	☐	☐	☐	☐	☐	
☐	☐	☐	☐	☐	☐	☐	

**Traceability downstream:**

Mass-Balance-final-goods		customer		
Produced-amount		Delivered-to	Temperatur	Tel-number-(in-case-of-crises)
Delivered-amount				
Inventory-in-the-warehouse				
waste				
result				

Mass-Balance-raw-material:	
Used-amount-in-final-good	
Inventory-in-the-warehouse	
waste	
result	

### Records from processing

☐	Title/·name·(Form,·digital)☐	evaluation☐
CCP's:☐	☐	☐
	☐	☐
Training·staff·on·CCP☐	☐	☐
CP's:☐	☐	☐
	☐	☐
Foreign·body·detection☐	☐	☐
Labelling☐	☐	☐
Cleaning·and·disinfection·(during·time·of·production·of·concerned·product)☐	☐	☐
Line·clearance·☐	☐	☐
Process·parameters·(temperatures,·pressure,·time·etc.)☐	☐	☐
Glasbreakage/·check☐	☐	☐
Control·of·filling☐	☐	☐
sensory·☐	☐	☐
Shelf·life·test☐	☐	☐
Testing·(consideration·of·EU·2073)☐	☐	☐

<u>HACCP</u> / <u>Food-Fraud</u> / <u>Food-Defense documents</u>	
<ul style="list-style-type: none"> <li>¶</li> <li>¶</li> <li>¶</li> <li>¶</li> <li>¶</li> <li>¶</li> <li>¶</li> <li>¶</li> </ul>	

<u>Internal traceability test</u> (date, product, which direction, mass-balance, result, in case of deviation — corrective actions)	<ul style="list-style-type: none"> <li>¶</li> </ul>	<u>Complaints from customers?</u>	<ul style="list-style-type: none"> <li>¶</li> <li>¶</li> <li>¶</li> <li>¶</li> </ul>
<u>Recall test (Rücknahmetest)</u> (date, participants, scenario, result, corrective actions)	<ul style="list-style-type: none"> <li>¶</li> <li>¶</li> <li>¶</li> <li>¶</li> </ul>	<u>Crisis Team, contact person, email / Tel- No</u>	<ul style="list-style-type: none"> <li>¶</li> </ul>

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## Pre-Audit

2

A pre-audit...

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- Usually covers all requirements of the standard
- Is optional
- Is particularly relevant prior to initial certification

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- Can be done by the certification body that will do the certification audit
- Has no consequences for the certification audit

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## Certification

2

Choose the Certification body:

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- Must be registered in the individual data base
- Accredited for the scheme and the scope
- Must have competent auditors (for the category which fits to your products)
- Auditors should speak the language of your staff

4

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## Certification

2

You must provide sufficient information to the CB to determine

- The audit duration according the rules from the respective scheme
- The auditor with approval for the scope

3

→ **Please note:** the scope is very important. The scope should mention all products/ productgroups which are **produced** at the company (the site)

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## Certification

2

**Top Management** must participate at the beginning and at the end of the audit (at least) and will be audited – usually in the beginning.

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Top Management must convince the auditor that they are familiar with the scheme and will support the maintenance and development of the food safety management system.

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## And after the audit?

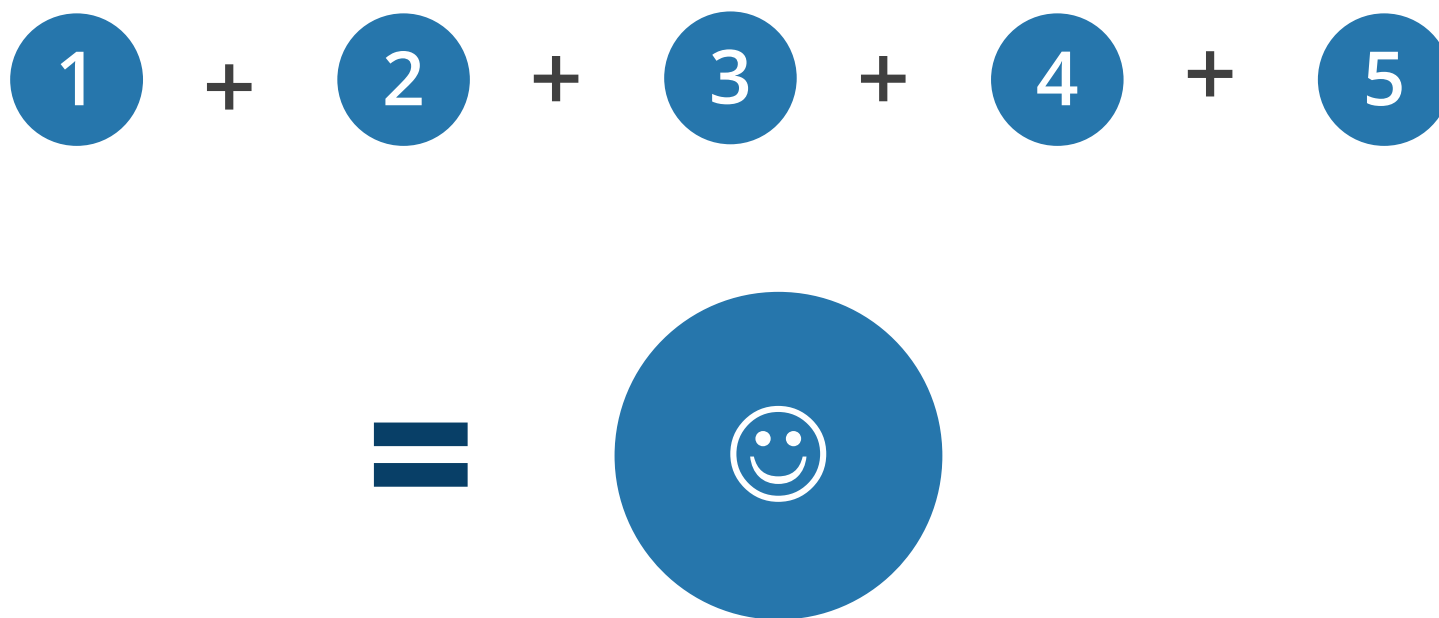
2

- Implement and verify the corrective actions,
- Working in line with the described processes
- Maintaining documentation up-to-date
- Monitoring the full system.
- Establish reporting system and Review the relevant processes
- Provide necessary resources

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# Thank you for your attention

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THANK YOU



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