

## 1.0 PURPOSE

Aim of this procedure is describing methods and responsibilities regarding application review, making offer and contract with a client for within the scope of BRCGS and IFS standards where USB Certification is accredited.

## 2.0 SCOPE

The scope of the procedure will include the handling of all requests for certification against the BRC Global Standard, any associated Additional Voluntary Modules (AVMs), BRCGS *START!* and IFS (International Featured Standards) standards where USB Certification is accredited.

## 3.0 RESPONSIBILITIES

Food Program Assistant and Food Program Manager are responsible for receiving and recording details of requests for certification.

Food Certification Manager and Food Program Manager are responsible for reviewing requests and quotation.

## 4.0 METHOD

### 4.1. Receiving the Application Request

**4.1.1.** The application request will generally be received by email, or PRUVA from existing and potential clients. The related "*Application Form*" is sent to the customer by the Food Program Assistant or the customer is directed to the PRUVA for the application. When the information in the application form is entered into the PRUVA system, PRUVA will automatically assign a "customer number" for each customer in a predetermined format.

**4.1.2.** For re-certification audits, PRUVA give an alert to make a contact with the client 2 months before the due date which determined on the certificates regarding this and Food Program Assistant contacts with client 2 months before the audit date and ensures the preparation of new offers and contracts.

**4.1.3.** Audit applications can be selected to be announced/ unannounced. Related application forms will be sent to the customer according to the type of audit.

- For BRCGS, existing clients need to notify USB Certification when decided to enter unannounced scheme within 3 months of the last audit date.
- Non-certificated clients can choose unannounced audit scheme for BRCGS on the understanding that the audit may not be conducted for up to 12 months from the application.
- BRCGS existing clients can choose blended audit or remote audit (only for Covid-19 pandemic restrictions). All blended audits and remote audits shall be carried out 'announced'.
- For IFS, existing clients need to notify USB Certification when decided to enter unannounced scheme at latest before the start of audit time window.
- Non-certificated clients can choose unannounced audit scheme for IFS and there will be not be a specific time for the audit.

**4.1.4.** In every 3-year audit period, except for optional unannounced audit applications, BRCGS and IFS audit of the companies will be planned and carried out unannounced in accordance with GFSI Benchmark rules, in agreement with the customer. Regarding this rule, while reviewing the application forms, it will be checked whether the BRCGS and IFS audits have been carried as announced or unannounced in the last two-year audit period of the customer in accordance with GFSI rules and it will be decided whether the next audit will be announced or unannounced.

**4.1.5.** For new Clients, the information entered onto the PRUVA will include the following:

- Site to be inspected and address.
- Contact, position, and telephone/Fax/email details as available

- Scope of product, category of operation for BRCGS Standards; the scopes of the products and technology codes for IFS Food.
- Any AVMs for BRCGS Food.

**4.1.6.** Details of requests are recorded to ensure that all enquiries are followed up and that there is sufficient information available to quote. The Client details are recorded on the USB Certification systems PRUVA or following forms:

- For BRC Global Standard for Food Safety announced audit and for BRCGS *START! audit* “*Application Form - Announced Audit (Global Standard for Food Safety)*”
- For BRC Global Standard for Food Safety unannounced audit “*Application Form - Unannounced Audit (Global Standard for Food Safety)*”
- For IFS Food announced audit “*Application Form - Announced Audit (IFS Food)*”
- For IFS Food unannounced audit “*Application Form - Unannounced Audit (IFS Food)*”

**4.1.7.** The unannounced application forms will be used jointly for unannounced audits requested by the customer or planned according to GFSI rules.

**4.1.8.** Where applicable, sufficient details of the operation and scope of certification will be discussed in order for an approximate cost for the certification activity to be provided.

### **4.2. Processing Enquiries (New Enquiries, Transfers from another CB, Recertification)**

**4.2.1.** All new applicants will be issued with an appropriate “*Application Form(s)*” which references the incorporating scheme rules, which is on the company website, and where appropriate publicity material outlining information about the standard and other certification services USB Certification can provide.

**4.2.2.** The transfer of certification is defined as the recognition of an existing and valid certification, granted by one accredited certification body, (the “issuing certification body”), by another accredited certification body, (the “accepting certification body”) for the purpose of issuing its own certification.

**4.2.3.** Where Clients are transferring from another CB, in addition to completing points 4.2.1– 4.2.2 the Food Program Manager and/or Food Certification Manager shall complete a “*Certificate Transfer Review Form*”. Only accredited certificates shall be eligible for transfer. Organization’s holding unaccredited certificates shall be treated as new clients.

**4.2.4.** When reviewing a transfer Client, the following details must be reviewed, and “*Certificate Transfer Review Form*” completed including the following points.

- Does USB Certification have approval to audit the Scope in question?
- What are the reasons for the Certificate transfer?
- What is the status of any outstanding NCs?
- What is the validity status of the Certificate?
- Do we have a copy of the previous report and certificate?
- Are there any outstanding complaints or legal challenges?

**4.2.5.** If any of the form cannot be completed satisfactorily, the Client must be treated as a new Client and commence with a new audit cycle.

**4.2.6.** The Program Manager or Food Certification Manager will review the information and decide whether the Client can be transferred based on a desk-top review or whether a full audit is required or whether the Client is dealt with as a new Client and the Audit Cycle started anew. The review shall be conducted by means of a documentation review and should, normally, include a visit to the prospective Client. Reasons for not

conducting a visit shall be fully justified and documented on the "*Certificate Transfer Review Form*". A visit shall be conducted if no contact can be made with the issuing certification body or the status of the current certification cannot be confirmed.

**4.2.7.** Normally only valid accredited certificates should be transferred. In cases where certification has been granted by a certification body which has ceased trading or whose accreditation has expired, been suspended, or withdrawn, USB Certification may consider such a certification for transfer at its discretion. In this case USB Certification shall seek permission from its accreditation body and scheme owner before accepting the transfer.

**4.2.8.** Certification that is known to have been suspended or under threat of suspension shall not be accepted for transfer. Where USB Certification is not able to verify the status of the certification with the issuing certification body, USB Certification shall provide evidence that the certificate is not suspended or under threat of suspension.

**4.2.9.** Where doubt continues to exist of a current or previously held certification, USB Certification shall, depending on the extent of the doubt, either treat the applicant as a new client or conduct an audit concentrating on identified problem areas.

**4.2.10.** Transfer audits cannot carry out as blended or remote audit.

### **4.3. Review of the Application Form**

**4.3.1.** On receipt of a completed BRCGS, BRCGS *START!* and IFS "*Application Form*", the form will be checked to ensure that the necessary information has been provided to enable the certification process to continue and that the form has been signed and all documentation will be uploaded in to PRUVA.

**4.3.2.** Application review is performed by Food Program Assistant based on the questions defined on "*Application Review Form*". In case of any "No" answer, Food Program Manager/Food Certification Manager cannot make offer and this situation is informed to the client. For making an offer, all necessary information should be requested from the client and completed information will request from the client again.

**4.3.3.** Application review is done by the Food Program Assistant and recorded with the "*Application Review Form*". After the "*Application Review Form*" is approved by the Food Program Manager the outcome of the contract review is recorded on the client audit data base PRUVA and/or OneDrive.

**4.3.4.** In the case of an extension to scope, the application needs to be uploaded under the existing application in PRUVA and a new application review job created. When notified that the extension application is available, the relevant approved contract reviewer will assess if an onsite visit is required or a remote desktop audit is sufficient. The required categories for the extension to scope audit needs to be approved by the Technical Reviewer prior to proceeding with scheduling.

### **4.4. Quotation and Agreement**

**4.4.1.** If the review of the application forms is positive, the audit man / day calculation is made separately for BRCGS and IFS as described below.

- To be able to prepare an offer based on the BRCGS certification request; The scope of product, product processes, production and storage areas total m<sup>2</sup>, maximum number of employees in a shift, the number of HACCP plans included within scope are should be determined by considering the audit man / day calculation document "*BRCGS F806 Audit Duration Calculator*". Calculation details are also explained in "*Application Review Form*". In addition to the BRCGS Food audit, if additional Voluntary Modules audit(s) are requested by the client, additional times specified in the same document will be added on the calculated main audit time. In addition, the circumstances specified in Annex 1 of the "*F806 Audit Duration Calculator*" document and the specified situations in the Part 1 clause 2.1.2 of BRCGS Food Safety Standard may affect the audit time. These circumstances should also be taken into account when calculating the audit duration.
- Audit duration may be increased or decreased (max 30%) depending on the circumstances as outlined

in Part 3 clause 2.1.3 in the guidance in BRCGS Food Standard. Suitable justification for an increase or decrease in audit duration should be provided.

- For BRCGS *START!* audit; the typical duration of the basic-level audit is 1 day (6–8 hours/day) at the site. The intermediate-level audit will typically take 1–1.5 days. The duration based on; the required audit level-basic or intermediate, the number of employees, the size of manufacturing facility including storage facilities on site, the complexity of the manufacturing process, the number of product lines, the age of the site and impact on material flow, the labor intensity of the processes, communication difficulties (language), the number of non-conformities recorded in any previous audit.
- For blended audit and remote audits, the total audit duration is the same as specified in the specific Standard. Details can be seen in “*BRCGS080 Blended Audit - remote audit using ICT*” and “*BRCGS086 Remote audits during the pandemic*” procedures.
- To be able to prepare an offer based on the IFS Food certification request; product scope, technology scopes, total number of employees be determined by considering audit man / day calculation [web site](#) that has been created by IFS. Calculation details are also explained in “*Application Review Form*”. In addition, a screenshot of the time calculated on the website will be sent to the Food Program Manager as evidence.
- The audit man / day calculation criteria for BRCGS and IFS unannounced audits are the same as for the announced audit man / day calculation.

**4.4.2.** The calculated minimum audit time includes the certification audit time, but not includes the time for preparing the audit or writing the audit report.

**4.4.3.** In case of using auditor team, translator and technical expert, additional time must be added to the main BRCGS-IFS audit period according to the table in Annex 1 of this procedure.

**4.4.4.** “*Audit and Certification Quotation Form*” will be prepared and will be sent to the customer in accordance with the calculated audit duration by the Food Program Assistant regarding the “*Certification Fee Chart*” that determined by the coordination of the Senior Management, Food Certification Manager and Food Program Manager. The prepared “*Audit and Certification Quotation Form*” will be sent to the client via PRUVA or e-mail. The registration fee of BRCGS Food will be following from “*BRCGS081 Delivery Partner Certification Fees*” document which has published by BRCGS.

**4.4.5.** “*Certification Agreement*” is sent to the customer by the Food Program Assistant within 1 day after the offer is accepted by the customer.

**4.4.6.** After the proposal and the agreement are sent to USB Certification by the client with all the pages of which are wet signed and stamped then the contract will be signed by the USB Certification General Manager and / or Certification manager who has the authority to sign, and a copy of this signed agreement will be sent to the customer.

**4.4.7.** Signed versions of the proposal and agreement are scanned and uploaded to the PRUVA by the Food Program Assistant.

### **4.5. Client Changes Request**

**4.5.1.** After the completion of the certification process, the client may request changes in some cases such as scope extension, organization name changes and address changes, etc.

**4.5.2.** In cases such as organization and address change etc., “*Change Request Form*” will be sent to the company and the changes will be carried out according to the form completed by the customer. In case the client requests a change that the address of the facility, it will be considered that an on-site audit is required at the new facility address.

**4.5.3.** Scope change may include scope extension audit. The client applies for an extension audit if the product includes a new product in the certification scope.

**4.5.4.** In case the client requests scope extension audit, “*Application Form*” will be sent to the client again and the section related to the scope extension audit will be completed by the client. The method and application are carried out as described in clause 4.2 of this procedure.

**4.5.5.** The scope extension request will be accepted if it meets the relevant BRCGS and IFS certification requirements.

**4.6. Termination of Agreement**

**4.6.1.** The procedure to be followed in case the customer cancels the audit before the audit date is specified in the “*Certification Agreement*”.

**5.0 RECORDS**

<b>Document Number</b>	<b>Title or Description</b>
UOF-FOOD-BRC-EN-4000	Application Form - Announced Audit (Global Standard for Food Safety)
UOF-FOOD-IFS-EN-4000	Application Form - Announced Audit (IFS Food)
UOF-FOOD-BRC-EN-4010	Application Form - Unannounced Audit (Global Standard for Food Safety)
UOF-FOOD-IFS-EN-4010	Application Form - Unannounced Audit (IFS Food)
UOF-FOOD-EN-4020	Certificate Transfer Review Form
UOF-FOOD-BRC-EN-4030	Application Review Form (Global Standard for Food Safety)
UOF-FOOD-IFS-EN-4030	Application Review Form (IFS Food)
UOF-FOOD-EN-4040	Audit and Certification Quotation Form
UOF-FOOD-BRC-EN-4060	Certification Agreement (Global Standard for Food Safety)
UOF-FOOD-BRC-EN-4060	Certification Agreement (IFS Food)
UOF-FOOD-EN-4070	Change Request Form
UOF-FOOD-EN-4300	Certification Fee Chart
F0806	BRCGS Audit Duration Calculator
BRCGS081	Delivery Partner Certification Fees
-	IFS Audit Time Calculator
BRCGS080	Blended Audit - remote audit using ICT
BRCGS086	Remote audits during the pandemic
BRCGS087	FAQs on Remote Audits Blended Audits and Certificate Extensions

**ANNEX 1**

	<u>Additional Time for BRCGS</u>	<u>Additional Time for IFS</u>
<b>Auditor Team</b>	Min 2 hours (0,25 days)	Min 2 hours (0,25 days)
<b>Translator</b>	%30 addition to audit duration	%20 addition to audit duration
<b>Technical Expert</b>	Min 2 hours (0,25 days)	N/A
<b>Combined Audit (BRCGS-IFS)</b>	Min 2 hours will be added to longest duration of the audit	