

# BRCGS072 - Certificate Extension for Audits Impacted by Covid-19

---

## Change log

Version no.	Date	Description
1	12/3/2020	First publication
2	18/3/2020	Document not published although main message changes were:  Updated permissions on remote audits, certificate extension period changed from 12 to 6 months and postponement of unannounced onsite audits.
3	25/3/2020	Update to be in line with GFSI position  6 month certificate extension based on completion of risk assessment verified through site discussion
4	14/5/2020	Update on BRCGS fee. Update on optional uptake of unannounced audits. Clarification of certificate audit due dates.  Removal of '12 months certificate issued on reaudit'
5	16/6/2020	Update on fee rates
6	09/09/2020	New title.  Updated to reflect publication of BRCGS080 (Blended Audits) and BRCGS086 (Remote Audits).  Rules relating to unannounced audits moved to BRCGS078.  Illustrated scenarios removed as duplicate separately published FAQs.

*Note that BRCGS073 Guidance of expectations on how to complete the remote audit is rescinded and is no longer in use.*

With the rapidly changing global controls for combatting coronavirus, BRCGS have updated our guidance to balance staff and consumer safety whilst maintaining supply chain fluidity. BRCGS have issued this updated position statement, to take into account the publication of guidelines from GFSI.

BRCGS will expect sites and certification bodies to follow any government guidance in place for the region or country applicable.

The procedure applies to existing certificated sites who are unable to receive a physical audit because:

- The site is located in a country or region where government advice/restrictions prevent movement or access to the site
- Where company policy prevents visitors to the site to safeguard the health of employees
- Where it is the policy of the certification body to restrict auditors travel to a particular country or region to safeguard the health of their auditors.

We appreciate that the travel restrictions will have an impact on audit arrangements where auditors located in a restricted travel area can't audit other regions. We also understand that high risk staff members may have to be safe guarded. BRCGS, do however expect that certification bodies utilise their global auditor pool. Reasons for audit delay due to cost purposes will not be accepted. This process is not applicable to sites not currently certificated to BRCGS.

#### Re-audits due

Where the site is operational, but a physical audit may not occur on or before the audit due date and will result in existing certificates expiring, a certificate extension of up to 6 months validity may be issued based on:

- The successful completion of a risk assessment by the Certification Body confirming it is appropriate to continue certification
- The Certification Body completing a discussion with the site and review of procedures in place to establish the impact of Covid-19 extraordinary circumstances to the site operations and the effective implementation of any emergency response plan.

*Note that certificates may only be extended by the current Certifying Body.*

### Risk Assessment

The Certification Body shall assess the risks of continuing certification and have a documented policy and process defining the methods for evaluating the site. Reference may be made to the principles of IAF document ID3:2011 *Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organizations*.

The Certification Body shall gather information from the certified site and consider within the risk assessment:

- The history of third-party certification
- The history and maturity of the BRCGS system
- Whether there is any other management system or certification in place
- Absence of critical situations throughout the organization's certification history with respect to the BRCGS standard
- Pending compliance activities / legal proceedings
- Product recalls since the last BRCGS audit
- Whether the site is functioning normally
- Whether significant changes have been made at the site since the last BRCGS audit
- Whether the site is operating to the scope of certification
- Any changes to processes or services outsourced following the Covid-19 emergency
- The appropriateness of the site's emergency response plan to Covid-19

### Discussion with site

The aim of the discussion is to assess the site actions in response to Covid-19 and ensure that the site has developed its procedures such that it can continue its operations to supply safe products.

The Certification Body shall agree appropriate times with the site to complete a review of the risk assessment details to confirm that it is appropriate to extend certification.

This does not need to be completed in one session and the duration can be appropriate to the complexity of the issues to be discussed but should be a minimum of 1 – 2 hours where there are few site changes. This shall be conducted with suitably senior and competent persons at the site. It is expected that supporting documents are provided as evidence for discussion. The total time for the risk assessment and generation of the report by the Certification Body is typically 4-8 hours.

This shall include as appropriate:

1. Review of implementation of sites emergency response plan to Covid-19.

- sites should have considered impact of staff availability with contingency plans in place. They shall have updated their screening processes for staff and have a policy in place for staff members who may have been exposed to Covid-19.
- The site shall have considered requirements for additional or increased cleaning and where appropriate hand washing.
- The site shall have defined minimum criteria for cleaning and product quality management where the optimum activities have needed to be adjusted due to staff shortages.
- Sites shall have contingency plans in place for ingredient supply that may be affected.
- The site has a clear policy on access to the site and the impact on any service provision changes e.g. maintenance and pest control, to ensure continued production of safe products.
- The Certification Body would be expected to sample evidence of an appropriate management meeting discussion/actions as well as the documented policies.

2. Internal Audits

- Review of internal audits schedules and implementation to ensure that product safety systems continue to operate effectively under pressure.
- The Certification Body would be expected to sample an appropriate recent internal audit as well as the documented policies

3. Review of recent customer complaint levels

4. Review of any product recall since the last BRCGS audit, root cause and corrective actions put in place as a consequence.

Outcome

Any concerns following the discussion with the site that could raise doubts to continuing certification shall be documented in a similar format to 'non conformities' and the Certification Body shall agree with the site a process where these can be actioned, where appropriate, so that certification can be extended.

Certificates may only be extended to the current scope – significant changes to scope may not be made.

### Sites Certificated with C and D Grades

Where sites are currently certificated with a grade C or D, unfortunately these shall be classified as 'high risk' and certificates may not be extended. The site should discuss with their certification body whether onsite, blended, or remote audit options are applicable.

### Sites Certificated to Packaging Standard issue 5

Where sites are currently certificated to BRCGS Packaging issue 5, note that the risk assessment and discussion shall be against issue 5. This will allow extension of the current issue 5 certificate. Once travel restrictions are lifted, an audit on site to issue 6 should be carried out as soon as possible.

### Sites Certificated to Gluten-Free Certification Program

Where certification to the GFCP is currently in place at a site based on a third party certification, other than BRCGS, the risk assessment principle may be used for sites that fall into the criteria, as long as the third party certification is maintained i.e. other scheme certificate is permitted to be extended.

### Informing BRCGS

'Concession reference numbers' are not required for certificate extensions that fulfil these criteria. The certification body is responsible for notifying BRCGS through the Directory.

Updates have been made to the BRCGS Directory audit schedule tab where certificate extensions shall be indicated as directed by BRCGS076.

### Certification

If the certification body is satisfied that continued certification of the site is appropriate, a certificate extension of 6 months may be issued.

- The grading will stay the same as the current certificate.
- The re-audit due date will be 'from' the current last audit due date until 'to' an additional 6 months. The audit window will therefore be 6 months long.
- The certificate expiry date will therefore be recalculated as an additional 6 months.

### Reporting

The risk assessment of the site and conclusions made by the Certification Body shall be attached to the BRCGS Directory site record through the paperclip mechanism

BRCGS072: Certificate Extension for audits impacted by Covid-19	BRCGS
Version 6: 09/09/2020	Page 5 of 6

### BRCGS Fee Rates for relevant Standard or additional modules

Sites will continue to be able to access the usual BRCGS support service packages where their certificate has been extended. A reduced certification fee will be charged by the certification body for this period as per the BRCGS schedule of Delivery Partner Certification fees.

### Audit Due

Once the site becomes accessible, the full audit (fully onsite or blended option) will need to take place as normal.

Where a site remains inaccessible and an onsite audit is still not possible after the certificate extension, a remote audit may be permitted (in accordance with BRCGS086).

Where a new certificate is achieved, the certificate expiry will be 6 or 12 months from the audit date, in accordance with the normal protocol in the Standard.

### Compliance

Accreditation Bodies will be responsible to assess the implementation of this guidance as well as BRCGS. Either party may require to be included as observer during any site discussion.

*These guidance notes are under continual review as per the developing situation and may be subject to change.*