BRCGS

Webinar

Supplier approval & ongoing monitoring

Wednesday 28th October 2026

Agenda

1. 01 Introduction
2. 02 Risk-rating suppliers
3. 03 Effective performance metrics
4. 04 Action for supplier fails
5. 05 Q & A

Copyright © BRC Trading Limited, 2026. All rights reserved.

Session objectives

Supplier Assurance is a Control, Not a Filing System

01 Approve on Evidence
Approve suppliers on verified, risk-based data rather than simple administrative checks.

02 Monitor What Matters
Track leading indicators to detect quality drift before non-conformances occur.

03 Act Before Consumer Risk
Proactive containment, escalation, and CAPA to safeguard finished product safety.

Copyright © BRC Trading Limited, 2026. All rights reserved.

Introducing speakers

BRCGS

AMANDA EVANS-LARA

Senior Business Enablement Manager - ANZSEA

DQS

MARGARET BALFOUR

Food Safety Auditor

Copyright © BRC Trading Limited, 2026. All rights reserved.

About DQS Services and Solutions

Copyright © BRC Trading Limited, 2026. All rights reserved.

Approval is not permanent permission to buy

Copyright © BRC Trading Limited, 2026. All rights reserved.

What BRCGS Expects: An Effective, Risk-Based System

BRCGS Issue 9 (Clause 3.5)

- Understand & manage risks to safety, authenticity, legality, and quality.
- Maintain documented approval and ongoing monitoring procedures.
- Keep current evidence and an accessible approved supplier list.
- Extend controls to services and outsourced processing.

The Closed Control Loop Architecture

1. **1. Understand Risk**
   Assess inherent material hazards & supplier capability
2. **2. Select Approval Route**
   Choose evidence proportionate to calculated risk
3. **3. Control Purchasing & Receipt**
   Prevent unapproved supply & verify incoming lots
4. **4. Monitor Performance**
   Track metrics to ensure evidence remains valid
5. **5. Act & Learn**
   Adjust risk score, testing plans, or approval status

Copyright © BRC Trading Limited, 2026. All rights reserved.

Do Not Confuse Material Risk with Supplier Risk

Material or Service Risk

Inherent hazards & product vulnerability

- **Allergens, Pathogens, Chemicals**
  Microbiological sensitivity, foreign body exposure, toxicological risks.
- **Fraud & Authenticity Exposure**
  Economic adulteration, origin vulnerabilities, legal compliance significance.
- **Intended Use & Downstream Process**
  Post-kill-step addition vs. validated lethality in-house manufacturing.

Supplier-Control Risk

Capability & reliability of the supply source

- **Certification & Audit Scope**
  Valid GFSI certification scope, audit findings, technical capability.
- **Performance History & Control**
  Complaint history, CAPA responsiveness, change notification discipline.
- **Supply-Chain Transparency**
  Direct manufacturer vs. complex agent/broker/wholesaler chains.

Copyright © BRC Trading Limited, 2026. All rights reserved.

Build a Risk Rating That Changes the Controls

Scoring Factors (Rated 1–3)

- Hazard Severity & Likelihood (Micro, chemical, physical)
- Allergen & Pathogen Exposure (Post-kill step exposure)
- Authenticity / Fraud Vulnerability (High-value commodities)
- Supply-Chain Complexity (Origin & intermediary risk)
- Supplier Assurance Strength (Certification scope & audits)
- Performance History & Change Maturity (CAPA track record)

Predetermined Control Bands

LOW RISK
Verified information & annual review

MEDIUM RISK
GFSI certification / satisfactory audit + testing

HIGH RISK
Site audit, full report review & high-frequency verification

CRITICAL
Contingency planning, dual sourcing & executive oversight

Copyright © BRC Trading Limited, 2026. All rights reserved.

Match the Approval Method to the Risk Level

Approval Evidence	Best Use Case	Key Verification Required
BRCGS / GFSI Certification	Appropriate scope and credible certification body / scheme.	Verify site address, validity dates, audit grade & exact product scope.
Supplier On-Site Audit	Higher-risk materials, certification gaps, or performance concerns.	Assess auditor competence, full scope, critical findings & CAPA closure.
Supplier Questionnaire	Low-risk suppliers with documented, risk-based justification.	Competent technical review, challenge inconsistencies & periodic reissue.
Contract / Specification	Limited low-risk non-food categories where justified.	Verify legal compliance, specifications & documented trading history.

Copyright © BRC Trading Limited, 2026. All rights reserved.

Make Approval Operational Across the Workflow

Single Source of Truth

Centralised, active approved supplier list accessible across teams. Static spreadsheets fail audits.

Approved Manufacturing Sites

Approve exact legal entity & production site, not just broker or invoice address.

Product & Scope Linking

Prevent scope creep — approval for dry ingredients does not approve allergenic nut pastes.

Operational Visibility

Status, restrictions & document expiry dates visible directly to Purchasing & Goods-In.

Copyright © BRC Trading Limited, 2026. All rights reserved.

Monitor Both Leading and Lagging Indicators

Control Indicators (Leading)
Warns of control drift before failures happen

- Certificate & document currency / expiry alerts
- COA accuracy, completeness & test correlation
- CAPA response time & root-cause quality
- Unnotified process, site, or origin changes

Outcome Indicators (Lagging)
Measures failure after they occur

- Rejected deliveries & non-conformances
- Customer complaints linked to supplied material
- Out-of-specification micro/chemical lab results
- Delivery/service failures impacting product safety

Copyright © BRC Trading Limited, 2026. All rights reserved.

Turn Performance Data into an Actionable Scorecard

Example Scorecard Weighting Structure

40% — Food Safety, Legality & Authenticity

25% — Quality & Specification Conformity

15% — CAPA & Technical Responsiveness

10% — Documentation & Change Control

10% — Delivery / Service Performance

Critical Override Rules

Decision rules MUST override total scores!

A supplier cannot 'average out' a critical safety failure with good delivery scores.

- Immediate Escalation: Confirmed undeclared allergen
- Immediate Escalation: Pathogen detection in raw material
- Immediate Escalation: Unapproved origin / factory change
- Immediate Escalation: Loss of GFSI certification status

Copyright © BRC Trading Limited, 2026. All rights reserved.

Set Review Frequency by Risk — and Add Event Triggers

Scheduled Periodic Reviews

- **High Risk Suppliers**
  Frequent, structured technical oversight (Monthly / Quarterly).
- **Medium Risk Suppliers**
  Defined periodic technical review (Semi-Annual / Annual).
- **Low Risk Suppliers**
  Proportionate, lightweight annual status check.

Immediate Event Triggers

Recall, Alert, or Non-Conformance
Immediate review following market withdrawal or critical defect.

Certification Status Change
Suspension, expiry, or grade drop of supplier GFSI status.

Site, Origin, or Process Change
Unnotified operational shifts or raw material sourcing changes.

Adverse Quality Trend or Late CAPA
Repeated minor non-conformances or overdue corrective actions.

Copyright © BRC Trading Limited, 2026. All rights reserved.

When a Supplier Fails: Contain, Assess, Correct & Verify

01

1. Contain Material & Product
Quarantine stock immediately; stop usage; trace WIP & finished goods; evaluate recall/withdrawal obligations.

02

2. Assess Safety & Legal Risk
Classify severity (safety, legality, authenticity, quality). Do not rely solely on supplier assurances.

03

3. Notify & Investigate
Issue clear problem statement & evidence; require root-cause investigation within defined response times.

04

4. Correct & Root Cause
Reject superficial 'retraining' answers; address underlying system, procedure, or specification flaws.

05

5. Verify Effectiveness
Require objective proof (revised SOPs, lab tests, site audit) before restoring normal approval status.

Copyright © BRC Trading Limited, 2026. All rights reserved.

Escalate Proportionately: Probation, Suspension, or Removal

Status Tier	Typical Trigger Situation	Mandatory Controls & Action
PROBATION	Adverse defect trend, repeated doc failure, or correctable non-conformance.	Formal improvement plan, increased testing, tighter review & defined exit date.
SUSPENDED	Serious food safety event, unapproved change, or confidence temporarily lost.	Stop purchasing/using immediately; block PO system; formal reinstatement criteria.
REMOVED / DELISTED	Unacceptable risk, repeated failure, lack of integrity, or falsified records.	Delist supplier permanently; activate qualified alternative source.

Copyright © BRC Trading Limited, 2026. All rights reserved.

Three Actions to Take Tomorrow

1. Separate Risk Dimensions

Audit your current supplier list. Ensure material hazard is separated from supplier confidence scoring.

2. Add Leading Indicators

Add at least one leading indicator (e.g. COA correlation, CAPA velocity) & automatic override rules.

3. Test a Failure Scenario

Tabletop test one supplier failure from initial containment through communication to reinstatement.

Copyright © BRC Trading Limited, 2026. All rights reserved.

Got a question?

Copyright © BRC Trading Limited, 2026. All rights reserved.

Join our professional network

Copyright © BRC Trading Limited, 2026. All rights reserved.

Save the date

Our next webinar

Wednesday 18th November 2026

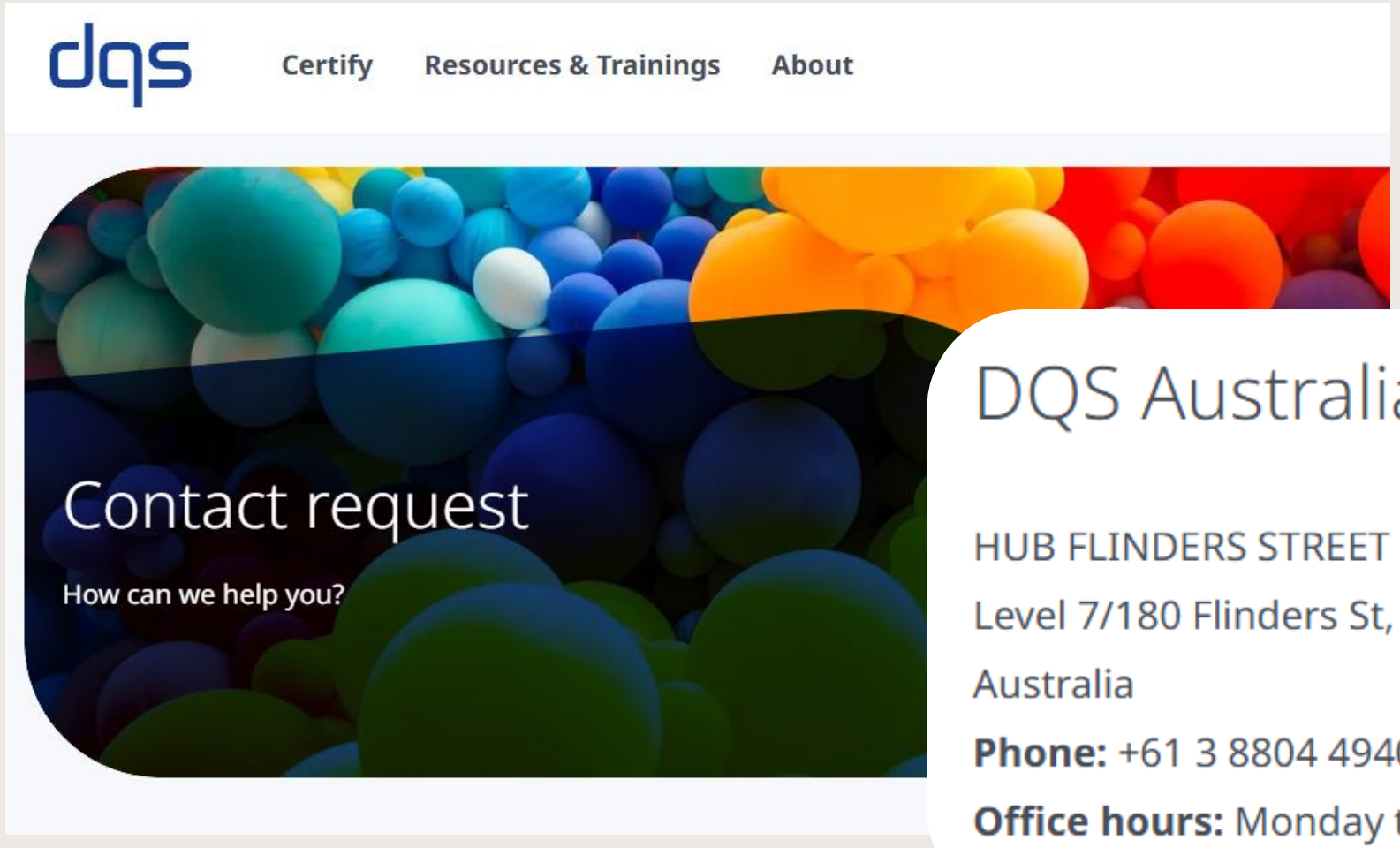
12pm – 1pm

Risk Assessments that Auditors Expect

REGISTER HERE

BRCGS Copyright © BRC Trading Limited, 2026. All rights reserved. brcgs.com

DQS contact details



DQS Australia / New Zealand

HUB FLINDERS STREET

Level 7/180 Flinders St, Melbourne VIC 3000

Australia

Phone: +61 3 8804 4940

Office hours: Monday to Friday / 9:00am to 5:00pm (AEST)

Copyright © BRC Trading Limited, 2026. All rights reserved.

BRCGS contact details

Our Standards

- Agents and Brokers
- Consumer Products
- Ethical Trade and Responsible Sourcing
- Food Safety
- Gluten Free Certification
- Packaging Materials
- Plan-Based Certification
- Retail
- START Food Safety
- Storage and Distribution

Digital Solutions

- Directory Pro
- Food Safety Culture Excellence

Amanda Evans-Lara

Senior Business Enablement Manager

ANZSEA

Mobile: +61 401 229819

Email: amanda.lara@lgcgroup.com

Web: www.brcgs.com

Copyright © BRC Trading Limited, 2026. All rights reserved.