



SPECIAL RULES FOR THE ISSUE AND MAINTENANCE OF CERTIFICATION ACCORDING TO IFS FOOD v.6.1

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Art. 1 Regulation subject

This Regulation establishes the procedures applied by CSICERT System to manage the certification scheme for production processes of Organizations in accordance with the requirements of **IFS Management GmbH** and the procedures that Organizations must follow to apply for, obtain and maintain the said certification.

This regulation defines the supplementary conditions and procedures for this specific plan in addition to those already set forth in the following documents:

- ♦ "General regulations regarding product certification (Reg. prod. 001/04)";
- ♦ "Product conformity certification procedure (PR 60B)"
- ♦ Regulation regarding the use of product/service certification logos";

Hence, these documents fully apply to this plan except for the changes set forth in this regulation.

IFS Food 6.1, November 2017, is a consolidated version of IFS Food version 6, April 2014, taking into consideration necessary adaptations to GFSI Requirements. All modifications which have been made from previous IFS Food 6, April 2014, are traced. This updated version of the Standard is compulsorily applicable from 1st July 2018.

Art. 2 Reference documents

2.1 IFS FOOD standard requirements

The requirements that the organization must possess in order to obtain certification under this Rule are specified inside IFS FOOD standard (current revision), such document represent reference documents for European retailers.

IFS FOOD scope is identified in the food processing site organization both company brand and private label brand

IFS FOOD does not apply to imports (e.g., offices, agencies), transportation, Trade products and storage of products whether they are conducted outside the control of the organization.

Certification audit must always be carried out during the production of product or product groups within the scope of certification.

2.2 Certification scheme requirements

CSICERT takes the following documents into consideration while applying certification protocol:

- ♦ International Food Standard (current issue)
- ♦ FAQ for certification body and auditors issue applicable
- ♦ IFS Doctrine (current issue)

For all specific requirements is applied Standard protocol

Art. 3 Special rules

3.1 Choosing of Product scope and technological scope

IFS FOOD is not a technical standard structured on the basis of product sectors, it ranks products and related processes that can be certified in the categories described in the IFS FOOD (rev. current). Inside 'ANNEX 1 is described a classification based on product and technological scope

3.2 Prices

CSICERT prepares and sends to every company which requests quotation, a specific offer complete with all the information concerning technical aspects and prices. Economic value is established according to CSICERT price list.

3.3 IFS FOOD standard conformity conditions

With the application, the Company agrees to be certified according to IFS standard and comply with special rules and reference documents applicable (see Art. 2) for certification under the standard IFS FOOD and to meet customer requirements. The organization will also comply with all applicable requirements established by the standard owner.

As described in Section 2.1 of this protocol, IFS FOOD scope is identified in the Organizations of the food business that:

- a. manufactures food products in own site, both company brand and private label brand
- b. In addition to the point a. company that manages trade manufactured goods produced by others companies certified IFS

The standard does not apply to wholesale, import, distribution and storage, in case these operations are performed beyond the Organization's control.

Essentially there are 3 elements that characterize IFS FOOD standard:

- the implementation of an HACCP system in accordance with Codex Alimentarius requirements;
- adopting a Quality Management System;
- satisfy pre requirement programmes

These elements are organized within IFS FOOD standard under 6 chapters, namely as following:

- Chapter 1. Senior Management Responsibility
- Chapter 2. Quality and Food Safety Management System
- Chapter 3. Resource Management
- Chapter 4. Planning and Production Process
- Chapter 5. Measurements, Analysis, Improvements
- Chapter 6. Food defense plan and external inspections

Each chapter consists of sections, which are structured in requirements.

During the certification audit, the organization shall have available an original IFS FOOD copy of the standard

3.4 KO, Non conformity and deviations

Deviations are classified and points are attributed in accordance with the following criteria:

| Result | Description | Points |
|--------|--|--------|
| A | Total conformity to the detailed requirement | 20 |
| B | Slight deviation from the detailed requirement | 15 |
| C | Only a part of the detailed requirement is met | 5 |
| D | The detailed requirement is not met | -20 |

IFS FOOD includes an additional classification for non-conformities, explained below:

MAJOR: A Major non-conformity can be given to any requirement which is not defined as KO requirement. When there is a substantial failure to meet the requirements of the Standard, which includes food safety and/or the legal requirements of the production and destination countries. A Major can also be given when the identified non-conformity can lead to a serious health hazard. A Major will subtract 15 % of the possible total amount of points.

KO: In IFS, there are specific requirements which are designated as KO requirements (KO – Knock Out). If during the audit the auditor establishes that these requirements are not fulfilled by the company, this results in non-certification.

KO requirements:

- 1.2.4 Responsibility of the senior management
- 2.2.3.8.1 Monitoring system of each CCP
- 3.2.1.2 Personnel hygiene
- 4.2.1.2 Raw material specifications
- 4.2.2.1 Recipe compliance
- 4.12.1 Foreign material management
- 4.18.1 Traceability system
- 5.1.1 Internal audits
- 5.9.2 Procedure for withdrawal and recall
- 5.11.2 Corrective actions

Detailed requirements bearing KO remark cannot be assigned the grade C, but A, B and D only.

When an above requirement is classified with the grade D, 50% of the possible total amount of points will be subtracted automatically meaning that the company is "not approved" for IFS Food certification.

N/A: Not applicable and provide a short explanation in the audit report

N/A is not possible for KO requirements, except for 2.2.3.8.1 and 4.2.2.1.

Furthermore, N/A is not possible for requirement 2.2.3.6.1 about determination of CCP (as even if a company doesn't have any CCP's, the company shall document a logical approach which needs to be assessed by the auditor).

Audit results must be considered as preliminary with regard to the outcome of the certification. The decision to grant certification will, in fact, be taken by the CSICERT Certification Committee, on the basis of the findings part of evaluation report and the IFS corrective actions proposal provided by the organization.

3.5 Certification process, Initial audit and follow up audit

After offer acceptance, the organization stays in contact with certification body in order to establish the certification date. Certification activities are performed according to the stages described as follows.

The audit will be carried out when the production process is working. Audit duration is defined by a specific computing system available on the website (<http://www.ifs-certification.com>). The duration is a function of the number of employees, the product scope (PS) and type of technological operations units (TS). Description product scope (PS) and the type of technological operations units (TS) is shown inside ANNEX 1 of the present document

If, through its expertise, the certification body assesses that the calculated audit duration results in an unacceptably high value and needs to be decreased, some flexibility about determination of audit duration is accepted, under the following conditions:

- If the calculation tool provides duration ≤ 2 days, this duration will be used as a minimum value.
- If the calculation tool provides duration > 2 days and ≤ 3 days, the certification body can decrease the duration, but it will always be ≥ 2 days. In this case, it will be justified in the company profile of the audit report.
- If the calculation tool provides duration > 3 days and ≤ 4 days, the certification body can decrease the duration, but it will always be ≥ 3 days. In this case, it will be justified in the company profile of the audit report.
- Etc.

A normal audit day duration is 8 hours.

The calculated audit duration does not include time for audit preparation and report generation, normally 0,5 man days. Independently from audit duration, besides on-site audit, preparation of the audit will be at least 2 hours.

If defined processes are centrally organized in a company with several production sites (e.g. purchasing, personnel management, complaint management), the central managing site – headquarter – will also be audited and relevant audited requirements outcome will be considered in the audit reports of each production site.

Each production site will be audited separately in a period of maximum 12 months after the central managing site and will have its own audit report and certificate. Each site is mentioned in the relevant contract and will be subject to its own report and certificate.

If the central managing site does not have any production activity, this site cannot be IFS certified as an independent company. The time for auditing the central managing site will be described in the company profile of the report.

The audit of the managing site will always take place before the audit of each production site in order to have a preliminary overview.

For multi-site companies, audit duration could be decreased by a maximum of 0,5 days, if requirements have already been audited at the central managing site.

It is also possible for the Organization perform IFS FOOD (product and process certification) and ISO 9001:2008 and ISO 22000:2005 (system certification) consecutive audits, and IFS FOOD (product and process certification) and BRC GSFS (product and process certification) combined audits. In case of combined audits and in accordance to respective owners requirements, on site audit time is incremented by a coefficient base x 1.2

The audit is scheduled based on the following steps:

- the opening meeting
- the evaluation of existing quality and food safety systems; achieved by checking documentation (HACCP, quality management documentation)
- the on-site inspection and interviewing of the personnel
- the final conclusions drawn from the audit
- the closing meeting.

The company will assist and co-operate with the auditor during the audit. As part of the audit, personnel from different levels of management are interviewed. It is advisable that the company's senior managers are present at the opening and closing meetings so that any deviations and non-conformities can be discussed.

The auditor(s) who conduct(s) the audit will assess all the requirements of IFS Food which are relevant to the company's structure and function.

During the closing meeting, the auditor (or lead auditor in the case of an audit team) will present all findings and discuss all deviations and non-conformities which have been identified. As specified by ISO/IEC 17065 norm, the auditor may only issue a provisional assessment of company's status during the closing meeting.

The certification body will issue a provisional audit report and outline an action plan to the company, which will be used as a basis for drawing up corrective actions for the determined deviations and non-conformities.

FOLLOW UP audit is performed in a specific situation when the results of INITIAL or RENEWAL audit are insufficient to allow the issuance of the certificate. During FOLLOW UP audit, the auditor will focus on how the organization has handled the corrective actions undertaken in order to solve MAJOR NON CONFORMITY issued during the previous audit. FOLLOW UP audit will be done within 6 (six) months from the date of the previous audit.

In case of MAJOR NON CONFORMITY concerns the production process FOLLOW UP audit will be done between 6 weeks and 6 months from previous audit.

In case of MAJOR NON CONFORMITY concerns other kind of reason (e.g. documentation) FOLLOW UP date could be mutual between certification body and organization but not later 6 months from previous audit.

If there is no follow-up audit performed after 6 months from the date of the previous audit, then a complete new audit is necessary. If the company decides not to perform a follow-up audit but to start with a new full audit, the new audit shall be scheduled not earlier than 6 weeks after the audit where the Major non-conformity was issued.

In the event that the follow-up audit establishes that requirements remain inadequate, a complete new audit is necessary, which shall be scheduled not earlier than 6 weeks after the follow-up audit. The elimination of Major non-conformities shall always be established by an onsite visit by the auditor.

3.6 Audit Report

The audit report provides transparency and confidence to the reader and is completed by the auditor. The audit report is subdivided into different sections:

- General information about the company with compulsory fields
- General audit result with detailed description of the scope
- General summary in a tabular format for all chapters. The result of the audit will specify the level and percentage.
- General summary of all chapters and comments about follow up of corrective actions implemented from the previous audit
- Observations on KO requirements and Major non-conformities
- Summary of all established deviations and non-conformities for each chapter (1 to 6)
- Separate list (including explanations) of all requirements evaluated with N/A (not applicable)
- Detailed audit report with compulsory fields to be completed by the auditors for some IFS Food requirements

All deviations (B, C, D) and KO requirements scored with a B, non-conformities (Major, KO requirement scored with a D) identified during the audit, are presented in a separate action plan.

Following the allocation of a grade, non-conformities and deviations, the company has to produce a corrective action plan. In this way, the reader of the report can see the non-conformities and deviations, and also the corrective actions that the company is initiating.

The time between the date of the audit and the awarding of certificate is determined as follows:

- 2 weeks to draw up the pre-report of the audit
- 2 weeks for the company to reply to the deviations and nonconformities (i.e. draw up the action plan)
- 2 weeks for the auditor to check the proposed corrective actions, for the certification procedure and upload the audit report, the action plan and the certificate to the audit portal.

In total: 6 weeks between the date of audit and uploading the audit report to the audit portal and awarding the certificate:

- Target time: 6 weeks,
- Maximum time: 8 weeks.

3.7 Certificate issue and IFS Logo authorization

The certification body is responsible for the decision to award or not award the IFS Food certificate. The decision is made by person(s) other than those who have carried out the audit. Detail of certification decision and certificate level (FOUNDATION or HIGHER) are described in the following TABLE 1

| Result | Status | Corrective actions | Communication | Certificate |
|---|---|---|---|--|
| At least 1 KO scored with D | Not approved | Actions and new initial audit to be agreed upon | Report gives status | NO |
| >1 NC MAJOR and/or total score <75% | Not approved | Actions and new initial audit to be agreed upon | Report gives status | NO |
| Max 1 NC MAJOR and total score $\geq 75\%$ | Not approved unless further actions taken and validated after follow-up audit | Send completed Action plan within 2 weeks of receiving the preliminary report FOLLOW UP audit max 6 months after the audit date | Report including action plan gives status | Certification at FOUNDATION LEVEL if the MAJOR non conformity is finally solved as controlled during the follow up audit |
| Total score is $\geq 75\%$ and <95% | Approved at FOUNDATION IFS FOOD LEVEL after receipt of the action plan | Send completed Action plan within 2 weeks of receiving the preliminary report | Report including action plan gives status | Yes, certificate at FOUNDATION LEVEL 12 months validity |
| Total score is $\geq 95\%$ | Approved at HIGHER IFS FOOD LEVEL after receipt of the action plan | Send completed Action plan within 2 weeks of receiving the preliminary report | Report including action plan gives status | Yes, certificate at HIGHER LEVEL 12 months validity |

Note:

the total score is calculated as following: Total number of points = (total number of IFS requirements – requirements scored with N/A) × 20

Final score (in %) = number of points awarded/total number of points.

In the situation that during a RENEWAL audit is issued a MAJOR NON CONFORMITY and/or KO at the single site the certificate on the IFS Management GmbH portal will be suspended from CB within maximum 2 working days starting from audit date.

In the situation that during a RENEWAL audit is issued a MAJOR NON CONFORMITY and/or KO at the CENTRALLY MANAGEMENT SITE all the related certificates present in the IFS Management GmbH portal will be suspended from CB within maximum 2 working days starting from audit date.

In the database, explanation about reasons for suspending the current certificate will be given **in English language**. Clear explanations about the identified non-conformity(ies) is provided by giving the number of involved KO requirement(s). These explanations will be detailed and be the same as those described in the action plan.

Note: All users having access to the IFS audit portal and having mentioned the respective company in their favorites list will get an e-mail notice (with explanations about the identified non-conformity (ies)) from the IFS audit portal that the current certificate has been suspended.

In each case, the audit will be completed and all requirements will be evaluated in order to give the company a complete overview about its situation. Furthermore, it is recommended to complete the action plan for improvement purposes.

The audit report where one or several KO have been scored with D will always be uploaded into the IFS audit portal (only for administrative purpose, but will not be visible). In these situations, a complete new audit will be performed. The new audit will be scheduled

Certificate of conformity confirms production processes Organization conformity to the requirements specified in the IFS FOOD standard

Certificate of conformity will be issued in English language and will include the following information: certification body name, organization name, address, COID, audit scope, detailed descriptions of processes. Product an technological scope Certification level, score (if required), the certificate number, audit date, certificate issue date, certificate expire date, next audit date, Date and place, Name and signature of the responsible person at the certification body, Certification body address

Certificates of conformity that are issued remain the property of CSICERT.

TABLE 2

| Level of certificate | All products |
|----------------------|--------------|
| FOUNDATION LEVEL | 12 months |
| HIGHER LEVEL | 12 months |

The certification will be valid effectively from the date of issue stated on the certificate itself and will end after 12 months.

The date for the renewal audit will be calculated from the date of the initial audit, not from the date of issue the certificate. If the audit is not performed in due time, the retailers or other users will be informed via the audit portal.

Even if the renewal audit due date changes every year and does not completely correspond to the anniversary date, the certificate validity date will remain the same each year. Due date of the certificate is determined as follows: initial audit date + 8 weeks.

This allows to avoid gaps between two (2) consecutive certificates and to avoid that a company scheduling the audit earlier loses some months of certificate validity.

Example:

| | |
|-------------------------------|---|
| Initial audit date: | 01. October, 2012 |
| Date of issue of certificate: | 26. November, 2012 |
| Certificate valid until: | 25. November, 2013 |
| Renewal audit date: | 25. September, 2013 |
| Certificate valid until: | 25. November, 2014 (independently from the renewal audit date). |

the certificate will always be edited on the basis of a certification decision and after the several steps of certification decision according to ISO/IEC Guide 65 (future ISO/IEC 17065 norm).

The certification body will upload each audit concerning to on the IFS FOOD certified company on IFS Management GmbH portal.

There are 3 groups of users that have access to IFS Management GmbH. database: Certification bodies, certified organizations, distributors. Certified companies can provide access to own auditing data. The access allows distributors to see: information such as percentage achieved, audit report and corrective action plan ; download IFS logo; management of audit data, search of other certified companies, manage their suppliers via the "favorites" link option

The copyright of IFS Food and the registered trademark is fully owned by the IFS Management GmbH. The IFS Food Logo can be downloaded via the secured section of the IFS audit portal <http://www.ifs-certification.com>, rules are described in IFS FOOD and Chapter 10

3.8 Renewal, extension audits, management of outsourced processes, unannounced audits

3.8.1 Renewal audit

Renewal audits are those which are performed after the initial audit. The period in which a renewal audit shall be performed is shown on the certificate. A renewal audit involves a full and thorough audit of a company resulting in the issue of a new certificate. During the audit, all IFS requirements shall be assessed by the auditor. Particular attention is paid to the deviations and non-conformities identified during the previous audit, as well as to the effectiveness and implementation of corrective actions and preventive measures laid down in the company's corrective action plan.

Note: corrective action plans from the previous audit shall always be assessed by the auditor, even if the previous audit has been performed more than one year ago. Therefore, audited companies shall always inform their certification body, if they have already been IFS certified in the past.

The date of the renewal audit shall be calculated from the date of the initial audit and not from the date of issue of the certificate. Furthermore, the renewal audit can be scheduled at earliest 8 weeks before and at latest 2 weeks after the renewal audit due date. Companies are responsible for maintaining their certification. All IFS certified companies will receive a reminder from the IFS on-line audit portal three months before certification expiration.

Note: the certificate will always be edited on the basis of a certification decision and after the several steps of certification decision according to ISO/IEC 17065.

3.8.2 Extension audit

In specific situations, such as new products and/or processes to be included in the audit scope or each time the audit scope would need to be updated on the certificate, then, for an IFS Food certified company, it is not necessary to perform a complete new audit, but to organize an on-site extension audit during the validity period of the existing certificate.

The certification body is responsible for determining relevant requirements to be audited and relevant audit duration. The report of this extension audit will be represented as an annex adjoined with the current audit report. Conditions for passing the extension audit (relative score $\geq 75\%$) are the same as normal one, but only focused on specific requirements which have been audited; the original audit score does not change.

If the extension audit demonstrates compliance, the certificate will be updated with the new scope and uploaded in the audit portal. The updated certificate will keep the same due date of end of validity as the current certificate. If, during the extension audit, a Major non-conformity or a KO (Knock Out non-conformity) has been identified, the full audit is failed and the current certificate will be suspended

3.8.3 Management of products exclusion from the audit scope

By definition, all food processes which are managed by the company/legal entity, on the same site, and which are under their responsibility shall be included in the scope of an IFS Food audit.

All processes and products shall be included in the audit scope. The identification of exclusions shall only be an exceptional situation and can only be related to product exclusions.

Only for those exceptional situations where the audited company would like to exclude product(s) from the IFS Food audit scope, IFS has developed a questionnaire to be completed by certification bodies, in order to determine if exclusions are possible. The auditor shall always check during the audit if defined exclusions are relevant and in line with the questionnaire. This questionnaire is available on IFS website.

3.8.4 Management of outsourced process

If a food processing site being IFS Food audited, outsources parts or all of its processes, including packaging, to another site, the requirements of relevant chapters shall be assessed and the following rule applies:

- Requirements for the site being IFS Food audited:
 - Scope of certification: product and technology scopes applicable for the site being IFS Food audited.
 - Certificate and report: the following sentence shall be added beneath the description of products and processes: "Beside own production, company has outsourced processes and/or products."
 - Company profile: detailed description of processes and/or products outsourced and related certification status of the site appointed for the outsourcing process.
 - Auditor competences: auditor qualification for product/s and processes of the site being IFS Food audited.
 - Audit time calculation: audit duration related to the product/s and processes of the site being IFS Food audited.

- Requirements for the site appointed to carry out the outsourced process (part or full process):

- IFS Food certification is required, unless the customer has accepted other conditions (written confirmation required).
- If there is no IFS Food certificate and no written customer confirmation, the food safety and quality management system for outsourced process(es) and/or products must be assessed during the audit.

Note:

- 1) Outsourced storage and/ or transport activities shall not be considered as outsourced processes and shall be managed in relevant IFS Food chapters (4.14 and 4.15), especially through the assessment of requirements 4.14.6 and 4.15.7.
- 2) If the outsourced process is freezing and/or thawing process, an IFS Logistics certification is also accepted for the site appointed to carry out the outsourced process.
- 3) The rule of outsourcing applies for both private label products and company branded products.
- 4) If requirements for outsourced processes and/or products are not respected, it may lead to a non-conformity scoring for the site being IFS Food audited.

3.8.5 Management of trade products

Trade products are products which are manufactured, packed and labeled by and under a different company name than the company being IFS Food certified. Trade products, as above defined, are not covered by the scope of the IFS Food audit. Therefore, the following requirements apply:

It's not possible to include trade products in the audit scope of IFS Food audit and no specific mention on the certificate is necessary

it shall be specified in the company profile of the audit report whether the company also manages trade products, but those will not be included in the IFS Food certification.

If a food processing company would like to certify trade products (processed, packed and labeled by and under a different company name), a combined audit IFS Broker/IFS Food may be performed.

3.8.6 Unannounced audits

For each renewal audit, the company shall inform its certification body about the chosen option between announced audit and unannounced audit.

To get registered for an unannounced audit, the company shall notify its certification body at latest before the start of audit time window. The time in which the certification body shall perform the unannounced audit is [- 16 weeks; + 2 weeks] of the audit due date. The audit shall be performed during consecutive days.

When registering for an unannounced audit with its certification body, the company has the opportunity to identify maximum 10 operational days, plus not operating periods, when the site is not available for the audit. Note: the company may only split the 10 operational days into a maximum of 3 periods (e.g. planned customer visit, holidays of Quality manager, etc.).

If a company produce seasonal products and would like to register for an unannounced audit, the expected seasonal production dates shall be notified to the certification body (and the above described time window does not apply). For these companies, it is not

allowed to provide a blackout period to the certification body: the unannounced audit may take place at any time of the seasonal production.

The company should prepare a minimum set of documents to be provided to the auditor. When entering the company, the auditor will ask to meet the person(s) whose names were provided by the company at the time of registration.

Note: If company denies access to the auditor (apart from "force majeure"), the currently valid IFS certificate shall be suspended by the certification body, within a maximum of 2 working days after the audit date (notification will be received by customers having placed the company in their favorites' list in the audit portal) and this information will be visible in the company history in the audit portal. The company shall be invoiced by the certification body for the total cost of the audit. Moreover, the next audit can only be scheduled announced and shall preferably be performed by the same certification body.

After arrival and introduction, the auditor may briefly review the documents prepared by the company and shall immediately start the audit on the location (production area). The opening meeting and documentation audit shall be undertaken later during the audit.

The same requirements as in the current IFS Food Standard for announced audits apply for the evaluation of requirements, to the IFS audit report, for issuing the certificate.

3.9 Sanctions

Apart from the provisions of the general rules (Reg. prod. 001/04), the following rules are applied: after the certificate is issued, CSICERT will take the following measures, in case the conditions defined below arise. The organization under certification is supposed to inform all of its clients of the measures taken, as set forth by the reference standards.

3.9.1 Certificate suspension

The certificate will be suspended temporarily under the following circumstances:

- In case of total score < 75%, NON CONFORMITY classified as MAJOR and KO issue by certification body during RENEWAL AUDIT
- In case of total score < 75%, NON CONFORMITY classified as MAJOR and KO issue by IFS Management GmbH Quality Assurance department during surveillance and investigation audit on certified sites
- In case of breach of contract

3.9.2 Certificate withdrawal

Certificate Withdrawal means that the company is barred from using the certificate and certification logo completely and definitively and it occurs under the following conditions:

- ♦ Reasons amounting to temporary suspension
- ♦ Company bankruptcy.

3.10 IFS Integrity program

The IFS Integrity Program, launched in early 2010, includes different measures to assure the quality of the IFS certification schemes by reviewing audit reports of certified companies and by several measures to analyze and improve the work of certification bodies and auditors. The IFS Integrity Program strengthens the reliability of the IFS schemes by checking the implementation of the IFS standards in practice.

The main procedures of IFS Integrity Program are described in the Annex 4 of the framework agreement, to be signed by all certification bodies having a contract with IFS Management GmbH. Auditors performing IFS audits have to accept the IFS Integrity Program procedures to

assure a qualitative performance of IFS audits. Certification bodies are obliged to inform their customers applying for an IFS audit certificate about the content of the Annex 4 of the framework agreement in current version.

- The Certification Body is obligated and irrevocably authorised by the Market Participant (company who wants to be certified) to transmit to IFS MANAGEMENT the relevant (detailed) results from the IFS audits and certifications, independently of the results of the audit; this data will be deposited in an online database - the IFS portal - kept by IFS MANAGEMENT

- During an IFS certification audit IFS MANAGEMENT is entitled to carry out an Integrity Witness Audit. The aim of an Integrity Witness Audit is to examine the work of the IFS auditor in an audit situation by observing the auditor's method and assessments of the IFS requirements. The Market Participant is obliged to agree to such an attendance of an Integrity witness auditor to a regular IFS certification audit.

- The Market Participant agrees that all relevant IFS audit documents and supporting records including the report, the action plan as well as the certificate are being uploaded to the IFS portal by the Certification Body. The Market Participant acknowledges and agrees that special users of the IFS portal are notified via e-mail if a certificate of a Market Participant has been withdrawn or suspended by the Certification Body. Special users of the IFS portal are the Certification Body commissioned for the current IFS audit of the Market Participant, food safety authorities, as well as certified companies and retailers who have access to the IFS portal and have selected the Market Participant as "favourite" in the IFS portal function "My Audits". The notification contains an explanation about the identified non-conformity(ies) which led to the withdrawal or suspension.

- After each IFS certification audit of a Market Participant IFS MANAGEMENT is entitled to carry out Integrity on-site Checks of such Market Participant at any time; in general such Integrity on-site Checks are performed unannounced. The decision of the duration of the Integrity on-site Check is up to IFS Quality Assurance Management.

- If IFS MANAGEMENT decides in special cases, that based on the issue to be investigated an announced Integrity on-site Check is necessary, IFS MANAGEMENT may notify the certification body and/or the certified organization (by email and/ or fax using the contact details stored in the IFS database) 0 - 48 hours prior to the date of the Integrity on-site Check that an Integrity on-site Check will be conducted.

- The Market Participant is obliged to provide IFS MANAGEMENT and the auditor of the Integrity Program assigned by IFS MANAGEMENT access to his premises. The Market Participant is furthermore obliged to support the Integrity auditor in the realisation of the Integrity on-site Check wherever he can.

- The Certification Body informs the Market Participant about the content and the implications of the IFS Integrity Program laid down in Annex 4 of the Framework Agreement. The Market Participant has to expressly agree to the content and the implications of the IFS Integrity Program.

The IFS Integrity Program mainly works on the following activities:

- **Complaint management**

A detailed complaint management process analyzes all necessary information. Retailers or any other interested parties have the right to forward any possible complaint issue to IFS for investigation as part of the Integrity Program. The IFS offices will gather all necessary information in order to investigate the cause of the complaint and to establish if there are deficiencies by certified companies, accredited certification bodies or IFS approved auditors

in meeting IFS requirements. Appropriate steps are taken to fully investigate a complaint, which may include a request to a certification body to carry out internal investigations and to provide a statement on the outcome of their investigations to IFS.

Finally IFS Quality Assurance Management will decide which approach could be the best to assess and solve the complaint. This might also be to plan an Integrity on-site Check at the IFS certified company to investigate the case on-site or to organize an Integrity Witness Audit for an IFS approved auditor involved in the complaint case (In this case, an Integrity auditor assesses an IFS auditor during one of his / her next regular IFS audits).

Based on the complaint reason the Integrity on-site Checks will mainly be performed unannounced (announcement 30 minutes before start of the Integrity on-site Check). In some special cases Integrity on-site Checks might also be performed announced (announcement in general about 48 hours before).

3.11 IFS Management GmbH Quality Assurance Activities

Quality Assurance activities of IFS Integrity Program monitor the entire IFS system by different tools:

In order to care for correct implementation of all procedures described in IFS standards and respective regulative documents IFS Integrity Program carries out regularly office audits at certification bodies (Integrity CB Office Audits). During these Integrity CB Office Audits work performance of IFS approved auditors and of certification bodies is checked by means of several report examples and database analyses. If during these Integrity CB Office Audits special topics have to be clarified, this could also lead to Integrity Witness Audits of IFS approved auditors or to Integrity on-site Checks at companies certified by the respective certification body.

Additionally — taking into account a risk based approach — reports of certified companies are analyzed and read by IFS Quality Assurance Management staff. For the risk based approach different criteria have been defined by IFS Quality Assurance Working Group. These analyses are an ongoing monitoring procedure of IFS Quality Assurance Management taking into account both economic criteria (e.g. number of issued certificates in certain countries) or quality criteria (e.g. audit results, audit times etc.). As described before, Integrity on-site Checks will mainly be performed unannounced and in some special cases might also be performed announced. Integrity Witness Audits of IFS approved auditors may also be based on this risk based approach analysis of IFS Quality Assurance Management.

Companies having a valid IFS certificate have to accept an unannounced/announced Integrity on-site Check and to give access and support to the commissioned Integrity auditor. The acceptance of the IFS Integrity Program is part of the regulations of all IFS standards. Also witnessing IFS approved auditors from certification bodies by commissioned Integrity auditors during regular IFS audits has to be accepted.

Integrity on-site Checks or Integrity Witness Audits and also Integrity CB Office Audits carried out as part of the Integrity Program are conducted by Integrity auditors employed at or commissioned by IFS Management GmbH. Integrity auditors are completely independent of the auditees and the IFS certification bodies.

Sanctions

If, following a complaint or following the risk based approach/monitoring quality assurance actions, the cause of a deficiency has been found to be the fault of a certification body and/or an auditor, IFS will forward all necessary information anonymously to an independent Sanction Committee. The Sanction Committee, which is made up of a lawyer and participants from industry, retailers and certification bodies, shall make a decision on whether a breach exists and on its severity.

Topics concerning administrative faults of certification bodies based on database investigations can be directly assessed by the IFS Quality Assurance Management, but have to be confirmed by the chairman (lawyer) of the sanction committee.

Sanctions and/or penalties will be issued to the certification body and/or its auditors if the Sanction Committee concludes that a breach has been committed. The type of sanction depends on the severity of breach.

3.12 CSI spa clients complaints management and appeals

CSICERT QM procedures are in place for consideration and resolution of appeals against the results of an audit. These procedures are independent of the individual auditor and will be considered by senior management of the certification body. Appeals will be finalised within 20 working days of receiving information from the auditee.

CSICERT QM procedures are in place for handling complaints received from the companies and/or other relevant parties. An initial response will be given within ten (10) working days of receiving the complaint. A letter confirming receipt of the complaint will be issued within a maximum of five (5) working days. A full written response will be given after the completion of a full and thorough investigation into a complaint.

For the handling of complaints received by the IFS offices, the basis for the complaint management is described in the IFS framework agreement with certification bodies:

If the complaint relates to the quality of the content of IFS audits or IFS audit reports, IFS offices require the certification body to provide a statement on the cause and the measures introduced to rectify the problem within 2 weeks.

If the complaint relates to administrative errors, e.g. in IFS audit reports, IFS certificates or in the IFS database, IFS offices ask the certification body to provide a statement and rectify the problem within one (1) week. The statement shall be issued in writing by email or post.

3.13 Communication with certification body

The organization has a responsibility to inform the certification body if between two certification audits were activated or introduced new processes or products other than those included in the scope of certification. After that certification body will perform a risk assessment to decide whether or not an audit is required

The organization has a responsibility to inform the certification body with respect to any changes or information indicating that the product / process does not meet the requirements of the certification system (e.g., RECALL, ALERT, etc.). This information will be done to the certification body within 3 working days

3.14 Ownership and usage of the IFS Logo

The copyright of IFS Food and the registered trademark is fully owned by the IFS Management GmbH. The IFS Food Logo can be downloaded via the secured section of the IFS audit portal.

Furthermore, the below terms and conditions shall be checked by the auditor during the audit and results of this check shall be described in the company profile of the audit report as a mandatory field (see also Annex 2, Part 2, for mandatory fields).

In case the auditor identified that the company doesn't fulfill those terms and conditions, IFS shall be informed accordingly.

These terms and conditions apply for both IFS Food and all IFS logos in general.

Form, design and color of the IFS Food logo

When used, the IFS Food logo must comply with the form and color of the scale drawing. If it is used in documents, black and white print is also permitted. The IFS Food logo can be used in print, physical and electronic form, and in films, providing the forms and formats are respected. The same conditions apply to the use of the logo as a stamp.

Restriction of comment and interpretations

When an IFS Food certified company, an IFS Food supporting company or an IFS Food certification body publishes documents bearing the IFS logo, comment and interpretations referring to the IFS shall be clearly identifiable as such.

Use of the IFS Food logo in promotional material

An IFS Food certified company, an IFS Food supporting company (broker, food, manufacturer, retailer, logistics provider or wholesaler) which accepts IFS certificates from their suppliers or services providers, or an IFS certification body may use the IFS logo for promotional reasons and publish information about IFS certification provided that it is not visible on final product packaging which are available to the end-consumer.

The IFS Food logo and information about the certification may be used in correspondence with relevant IFS users. Presentations mentioning IFS on the internet are only permitted if they are in a direct link with product safety (e.g. within information about the safety/quality management system).

The IFS Food logo may be displayed on any kind of general communication (e.g. exhibitions for business contacts, brochures, generic articles about food safety and quality management in general, vehicles). The IFS Food Standard was developed by the manufacturers, retailers and food service companies in order to assure the food safety and quality of their suppliers. It must be ensured that all information concerning certifications refers clearly to IFS. The IFS logo may not be used in presentations having no clear connection to IFS.

Further restriction on the use of the IFS Food logo

The IFS Food logo shall not be used in a way that could show intent that the IFS owner is responsible for the certification decision. Furthermore, the same applies for opinions and interpretations which could be arisen from it. In the event of suspension or withdrawal of the IFS Food certification, the certified company has to immediately stop the inclusion of the IFS logo on its documents or other associated material and cease all communications regarding IFS. The audited company must demonstrate that they have complied with these requirements.

Communication of the IFS Food certification

All the above mentioned rules apply to any communication regarding IFS Food. This also means that using the wordmarks "IFS", "International Featured Standards", or "IFS Food" or similar is not allowed when communicating on finished products, which are available to the end-consumer.

3.15 Information on data privacy protection

The market participant is aware that IFS manages its data according to document attached in Annex 2.

Art. 4 Exceptions to the confidentiality clause

The confidentiality clause must be applied at all times: in case of particular legal actions, IFS Management GmbH might require to CSICERT as an expert witness. In that case, the company under certification grants CSICERT with the right to fulfill this role, by signing the certification contract, so that it can provide to IFS Management GmbH with the necessary information regarding audits performed in accordance with IFS standards.

Art. 5 Certification Contract

The company under certification and the certification body enter into a certification contract, which sets forth the methods and constraints for providing the service. The contract must be signed by both parties.

ANNEX 1 SUMMARY TABLE

| PS | PRODUCT CATEGORY |
|----|--|
| 1 | Red and white meat, poultry and meat products |
| 2 | Fish and fish products |
| 3 | Egg and egg products |
| 4 | Dairy products |
| 5 | Fruit and vegetables |
| 6 | Grain products, cereals, industrial bakery and pastry, confectionary, snacks |
| 7 | Combined products |
| 8 | Beverages |
| 9 | Oils and fats |
| 10 | Dry goods, other ingredients and supplements |
| 11 | Pet food |

| TS | OPERATION | DESCRIPTION |
|----|-----------|---|
| A | P1 | Sterilisation (e.g. cans) |
| B | P2 | Thermal pasteurisation, UHT/aseptic filling; hot filling; Other pasteurisation techniques e.g. high pressure pasteurisation, microwave |
| C | P3 | Irradiation of food |
| C | P4 | Preserving: Salting, marinating, sugaring, acidifying/pickling, curing, smoking, etc. Fermentation /acidification |
| C | P5 | Evaporation/dehydration, vacuum filtration, freeze drying, microfiltration (less than 10µ mesh size) |
| D | P6 | Freezing (at least – 18°C) including storage Quick freezing, cooling, chilling processes and respective cool storing |
| D | P7 | Antimicrobial dipping/ spraying, fumigation |
| E | P8 | Packing MAP, Packing under vacuum |
| E | P9 | Processes to prevent product contamination esp. microbiological contamination, by means of high hygiene control and/or specific infrastructure during handling, treatment and/or processing e.g. clean room technology, „white room“, (controlled working room temperature for food safety purpose, disinfection after cleaning, positive air pressure systems like filtration below 10µ) |
| E | P10 | Specific separation techniques: e.g. filtration like reverse osmoses, use of active charcoal |
| F | P11 | Cooking, baking, bottling, filling of viscous products, brewing, fermentation (e.g. wine), drying, frying, roasting, extrusion, churning |
| F | P12 | Coating, breading, battering, cutting, slicing, dicing, dismembering, mixing/ blending, stuffing, slaughtering, sorting, manipulation, packaging Storing under controlled conditions (atmosphere) except temperature |
| F | P13 | Distillation, purification, steaming, damping, hydrogenating, milling |

ANNEX 2 INFORMATION ON DATA PRIVACY PROTECTION

Employees of the certified companies

IFS Management GmbH informs you that data about you (name, contact data, position within your company) will be stored at IFS Management GmbH ("Data"). This is done in conjunction with the auditing against an IFS standard of your company. The Data is included in the audit report that IFS Management GmbH receives from your company, the auditor or the certification body. The Data may also be displayed in the login area of IFS Management GmbH's website under www.ifs-certification.com. There the Data can be viewed by retailers that have been registered for using the login area.

(1) Name and contact details of the responsible company

IFS Management GmbH, Am Weidendamm 1A, 10117 Berlin, Phone: +49 (0) 30 726 250 74, Fax +49 (0) 30 726 250 79, dataprotection@ifs-certification.com www.ifs-certification.com

(2) Contact data of the data protection officer

Nils Gustke, Gesellschaft für Personaldienstleistungen mbH, Pestalozzistraße 27, 34119 Kassel, Telefon +49 (0) 561 7896868, Telefax +49 (0) 561 7896861, gustke@gfp24.de, www.gfp24.de

(3) Processing purposes

IFS Management GmbH stores the data for internal administrative and own business purposes. The Data, together with the audit reports, document that your company has been audited against a specific audit of an IFS standard.

(4) Legal basis

The processing of the Data is permitted in accordance with article 6 (1) (f) GDPR. The processing of the Data is necessary so that IFS Management GmbH can maintain its legitimate interests (internal administration and own business purposes).

(5) Data origin

You have provided the Data to your company or to an auditor in connection with the auditing of your company. IFS Management GmbH receives the audit report from your company, the auditor or the certification body.

(6) Duration of storage

The Data is stored by IFS Management GmbH as long as Data on your company are available in the IFS portal at www.ifs-certification.com or as long as the certification body which has certified your company or the auditor who has audited your company are still active for IFS Management GmbH. IFS Management GmbH also stores the data if it is obliged to store the data due to statutory retention periods. The statutory retention periods are six years according to section 257 German Commercial Code (HGB) and ten years according to section 147 German Tax Code (AO).

(7) Rights of the person concerned

If the legal requirements are met, you are entitled to the following rights under articles 15 to 22 GDPR: rights to information, rectification, erasure, restriction of processing, object and data portability.

(8) Right of appeal to the supervisory authority

You have the right to complain to the supervisory authority in accordance with article 77 GDPR if you consider that the processing of your Data is not lawful. The address of the supervisory authority responsible for the IFS Management GmbH is: Berliner Beauftragte für Datenschutz und Informationsfreiheit (Commissioner for dataprotection and freedom of information), Friedrichstr, 219, 10969 BERLIN