SPECIAL RULES FOR THE ISSUE AND MAINTENANCE OF CERTIFICATION ACCORDING TO IFS HOUSEHOLD AND PERSONAL CARE PRODUCTS STANDARD (IFS HPC) v.2 April 2016

INDICE

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.

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Art. 2 Reference documents

2.1 IFS HPC standard requirements

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

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

IFS HPC 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. If the HPC manufacturing company also trades goods and they would like to have them covered by a certification it's possible to perform a combined IFS HPC/IFS Broker audit

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 HPC standard (current issue)
- FAQ for certification body and auditors issue applicable
- IFS guideline (current issue)
- IFS HPC doctrine (if issued)

For all specific requirements is applied Standard protocol

Art. 3 Special rules

3.1 Scopes of IFS HPC Standard

IFS HPC can only be used when product is "processed" and /or if there is a risk of contamination during the primary packaging of household and personal care products.
The scopes of the standards are:

1) Cosmetics products (eg. Shampoos, toothpasts, cosmeticts and more)
2) Household chemical products (eg. Detergents, air fresheners, household insecticides)
3) Daily use household products (eg. Disposable table ware, trash bags, aluminium foils)
4) Personal hygiene products (toilet paper, toothbrushes, bath sponges)

Other cathegory exemples are available on document "HPC document exemples" on IFS portal

3.2 Prices

CSICERT prepare 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 HPC 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 HPC and to meet customer requirements. The organization will also comply with all applicable requirements established by the standard owner.

IFS HPC standard is organized under 6 chapters, namely as following:

Chapter 1. Senior Management Responsibility
Chapter 2. Quality and Product Safety Management System
Chapter 3. Resource Management
Chapter 4. Planning and production process
Chapter 5. Measurements, analysis and, corrective actions and management of incidents
Chapter 6. Product Defence (optional chapter)

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

During the certification audit, the organization shall have available an original IFS HPC 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 HPC 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.

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.

1.2.3	Responsability of senior management
2.2.3.8	Establish a monitoring system for each critical control point
4.2.2.2	Product specifications
4.14.1	Traceability
5.9.4	Withdrawal / recall procedures
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 points will be taken off from the total points obtained and the certificate will be denied automatically.

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
Furthermore, N/A is not possible for requirement 2.2.3.6. 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, 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. Minimum audit duration shall be two working days. The certification body shall decide to increment the audit duration due to the following factors:

- size of the site (manufacturing area + storage area)
- type of production process
- scope of the audit
- number of different risk assessment studies and the number of production lines involved
- number of personnel employed at the site
- if the audit is combined
- if a translator is needed (normally increase audit time of 20%)
- number of deviation found during the previous audit

A normal audit day duration is 8 hours but shall never exceed 10 hours
The above mentioned requirements shall apply equally to renewal audits, which shall be considered as completely new audits. The site inspection activity take at least 1/3 of total audit time.

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 – could also be audited and relevant audited requirements outcome will be considered in the audit reports of each production site. Another possibility is that during the audit on production site all the relevant information related to the process managed centrally shall be available (collection data on server) and shall be possible to interview all the relevant figures (eg. By web-conference, phone calls and more)

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.

The audit is scheduled based on the following steps:

- the opening meeting
- the evaluation of existing quality and product safety systems; achieved by checking documentation (risk assessment, quality management documentation)
- the on-site audit 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 HPC 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 late 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 HPC 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 of the Organization	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 <75%	Not approved	Actions and new initial audit to be agreed upon	Report gives status	NO
Max 1 NC MAJOR and ≥75%	Not approved unless further actions taken and validated after follow-up audit	Send completed Actions plan within 2 weeks of receiving the preliminarily 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 ≥75% e < 95%	Approved at **FOUNDATION IFS HPC LEVEL** after receipt of the action plan	Send completed Actions 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 ≥ 95%	Approved at **HIGHER IFS HPC LEVEL** after receipt of the action plan	Send completed Actions 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 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 HPC 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. Certification 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, 2016

Date of issue of certificate: 26. November, 2016
Certificate valid until: 25. November, 2017
Renewal audit date: 25. September, 2017
Certificate valid until: 25. November, 2018 (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 17065 norm.

The certification body will upload each audit concerning to on the IFS HPC 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 HPC and the registered trademark is fully owned by the IFS Management GmbH. The IFS HPC Logo can be downloaded via the secured section of the IFS audit portal http://www.ifs-certification.com, rules are described in IFS HPC and Chapter 10

Renewal, extension audits and management of exclusion and outsourced process

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 or has been performed by a different CB. 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 ISO/IEC 17065 norm.

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 HPC 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 ≥ 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 production 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 HPC 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. The certification body may allow the exclusion of products from the company's scope only if the contamination risks between the certified and excluded products are is properly controlled (and verified during the audit). The exclusion shall always reported on certificate and on audit report

3.8.4 Management of outsourced process

In case of outsourced processes, the certification body shall be made fully aware of such arrangements. It shall be clearly described and specified in the report and on certificate.

3.9 Sanction

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 certify) 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 procedure 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 procedure 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 within 3 working days

3.14 Ownership and usage of the IFS HPC 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 HPC logo
When used, the IFS HPC 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 HPC 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 HPC certified company, an IFS HPC supporting company or an IFS HPC 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 HPC logo in promotional material
An IFS HPC certified company, an IFS HPC 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 HPC 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 HPC logo may be displayed on any kind of general communication (e.g. exhibitions for business contacts, brochures, generic articles about product safety and quality management in general, vehicles). The IFS HPC Standard was developed by the manufacturers, retailers and HPC service companies in order to assure the product 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 HPC logo
The IFS HPC 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 HPC 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 HPC certification
All the above mentioned rules apply to any communication regarding IFS HPC. This also means that using the wordmarks "IFS", "International Featured Standards", or "IFS HPC" or similar is not allowed when communicating on finished products, which are available to the end-consumer.

Art. 4 Exceptions to the confidentiality clause

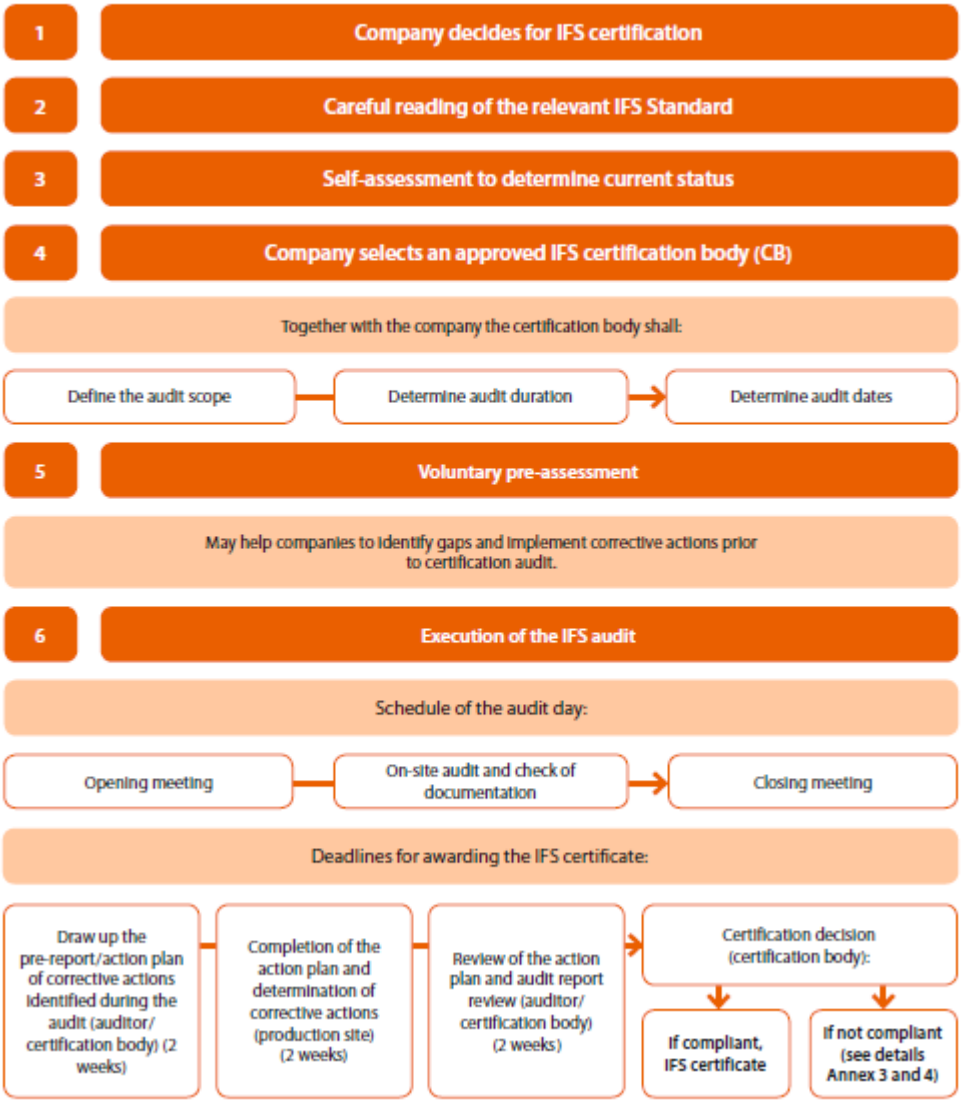
The confidentiality clause must be applied at all times: in case of particular legal actions, IFS Management GmbH might require to CSICERT as an expert witness. In that case, the company under certification grants CSICERT with the right to fulfill this role, by signing the certification contract, so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

Art. 5 Certification Contract

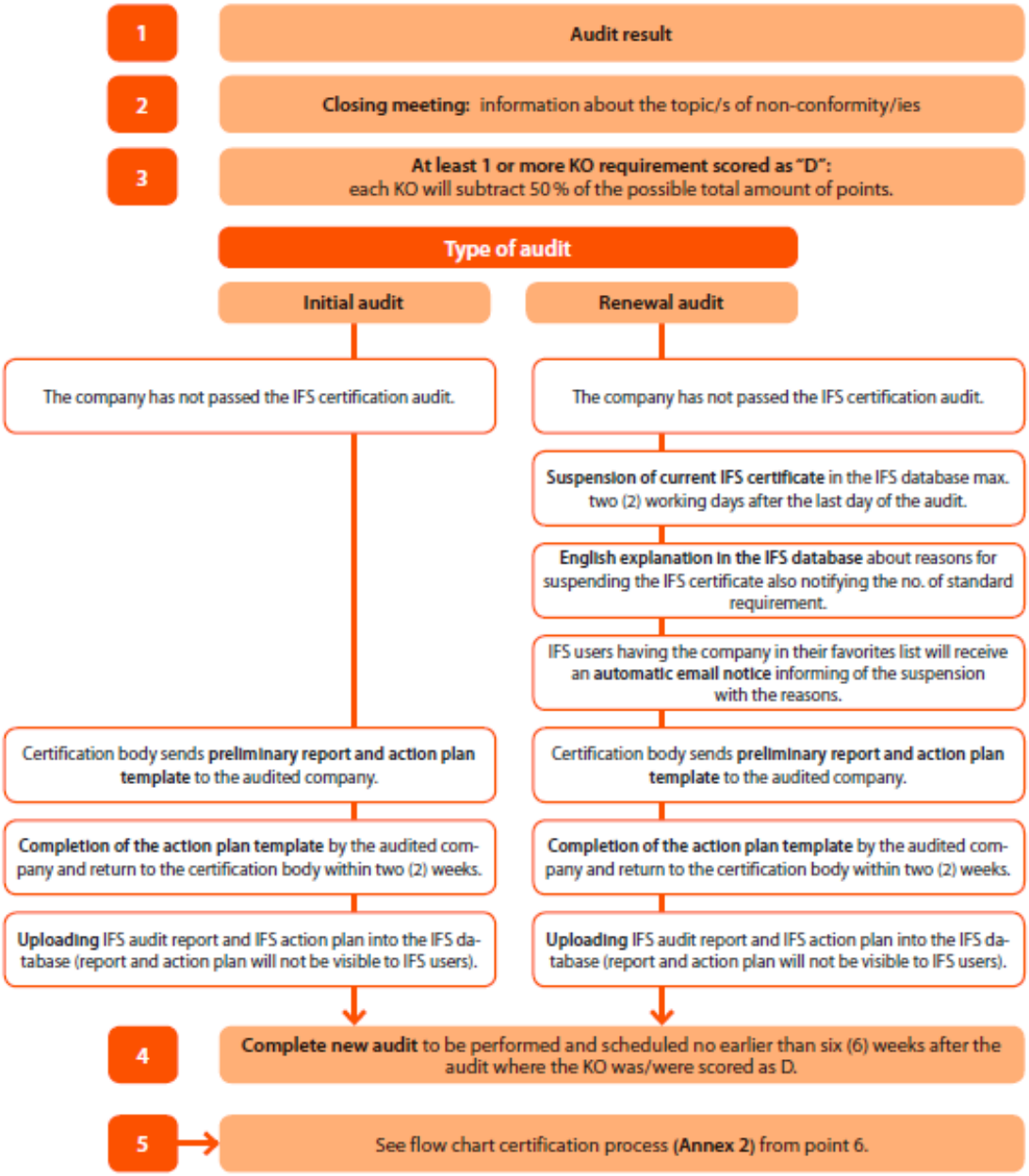
The company under certification and the certification body enter into a certification contract, which sets forth the methods and constraints for providing the service. The contract must be signed by both parties.

Annex 1: Certification process

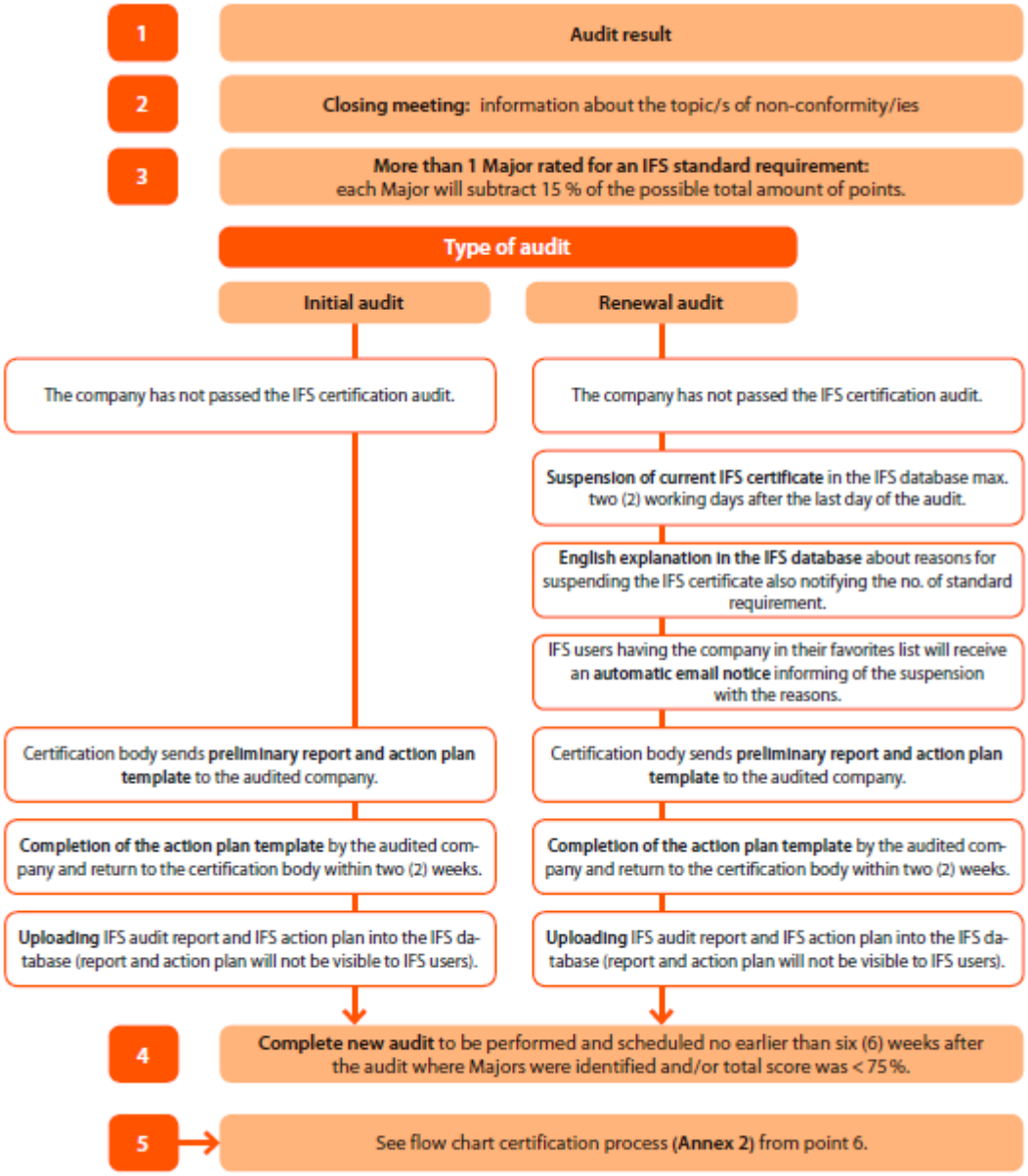
ANNEX 2: Certification process



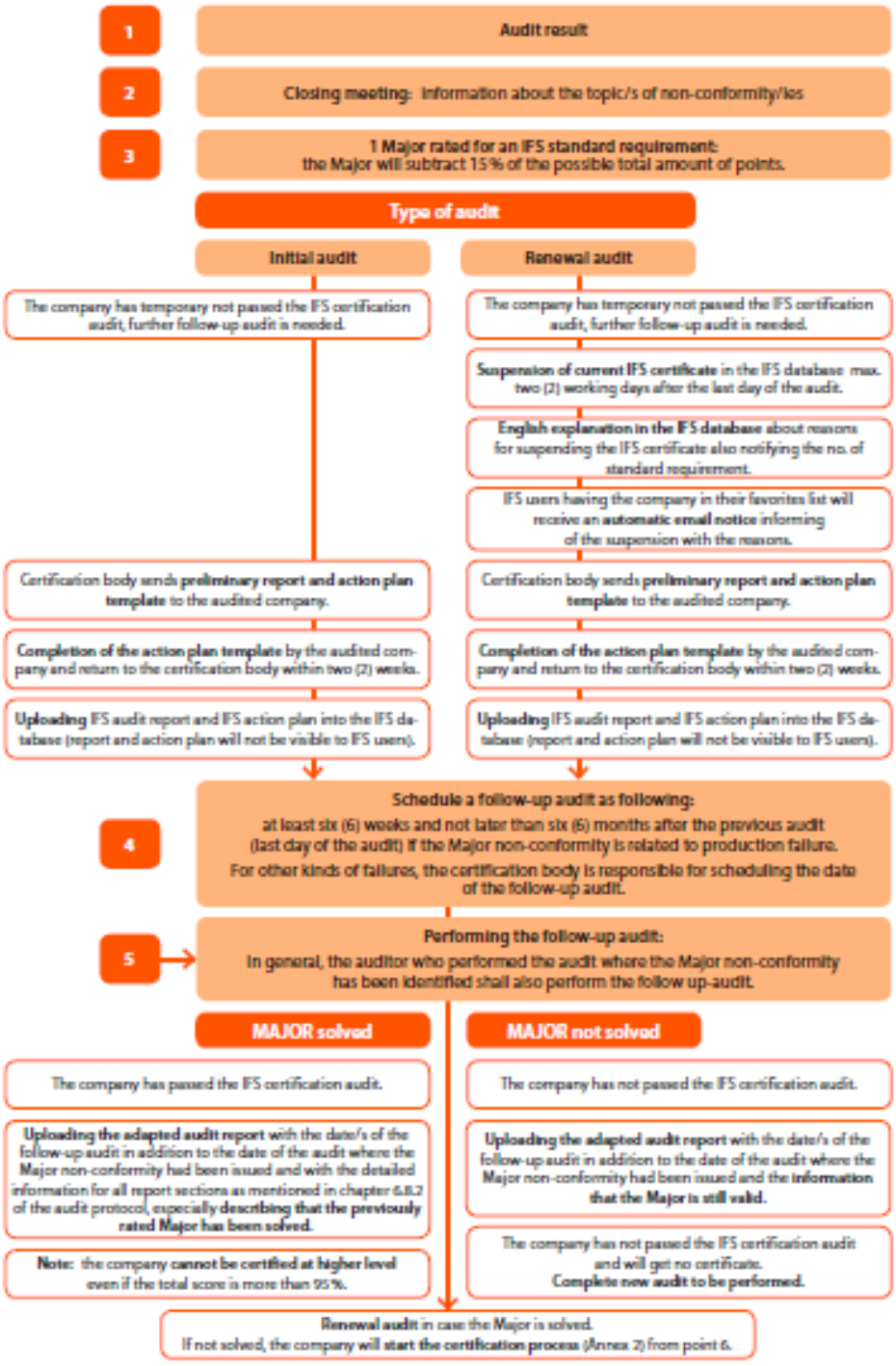
Annex II: Flow chart for management of KO scored with D



Annex III: Flow chart for management of a Major NC (more than 1 major and /or total score < 75%



Annex IV


1
Audit result
2
Closing meeting: Information about the topic/s of non-conformity/ies
3
1 Major rated for an IFS standard requirement:
the Major will subtract 15% of the possible total amount of points.
Type of audit
Initial audit
Renewal audit
The company has temporary not passed the IFS certification audit, further follow-up audit is needed.
The company has temporary not passed the IFS certification audit, further follow-up audit is needed.
Suspension of current IFS certificate in the IFS database: max. two (2) working days after the last day of the audit.
English explanation in the IFS database about reasons for suspending the IFS certificate also notifying the no. of standard requirement.
IFS users having the company in their favorites list will receive an automatic email notice informing of the suspension with the reasons.
Certification body sends preliminary report and action plan template to the audited company.
Certification body sends preliminary report and action plan template to the audited company.
Completion of the action plan template by the audited company and return to the certification body within two (2) weeks.
Completion of the action plan template by the audited company and return to the certification body within two (2) weeks.
Uploading IFS audit report and IFS action plan into the IFS database (report and action plan will not be visible to IFS users).
Uploading IFS audit report and IFS action plan into the IFS database (report and action plan will not be visible to IFS users).
4
Schedule a follow-up audit as following:
at least six (6) weeks and not later than six (6) months after the previous audit (last day of the audit) if the Major non-conformity is related to production failure.
For other kinds of failures, the certification body is responsible for scheduling the date of the follow-up audit.
5
Performing the follow-up audit:
In general, the auditor who performed the audit where the Major non-conformity has been identified shall also perform the follow up-audit.
MAJOR solved
MAJOR not solved
The company has passed the IFS certification audit.
The company has not passed the IFS certification audit.
Uploading the adapted audit report with the date/s of the follow-up audit in addition to the date of the audit where the Major non-conformity had been issued and with the detailed information for all report sections as mentioned in chapter 6.8.2 of the audit protocol, especially describing that the previously rated Major has been solved.
Uploading the adapted audit report with the date/s of the follow-up audit in addition to the date of the audit where the Major non-conformity had been issued and the information that the Major is still valid.
Note: the company cannot be certified at higher level even if the total score is more than 95%.
The company has not passed the IFS certification audit and will get no certificate.
Complete new audit to be performed.
Renewal audit in case the Major is solved.
If not solved, the company will start the certification process (Annex 2) from point 6.

ANNEX VI 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