



SPECIAL RULES FOR THE ISSUE AND MAINTENANCE OF CERTIFICATION ACCORDING TO IFS LOGISTICS v.2.2

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ANNEX 1 SUMMARY TABLE

ANNEX 2 INFORMATION ON DATA PRIVACY PROTECTION

25/06/2018	008/11	6	Update to IFS Logistic 2.2 – Data privacy protection	S. Tornielli	P.Baldazzi
01/09/2014	008/11	5	New Standard Release	S. Tornielli	R. Gatti
01/07/2013	008/11	4	Accredia Comments	S. Tornielli	P. Cau
20/08/2012	008/11	3	New standard release	S. Tornielli	P. Cau
20/01/2012	008/11	2	Accredia Comments	S. Tornielli	P. Cau
16/01/2012	008/11	1	Accredia Comments	S. Tornielli	P. Cau
25/10/2011	008/11	0	First release	S. Tornielli	P. Cau
Data	Doc	Rev	Description	Visto	Approvato

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.

The IFS Logistics Standard is one of the Standards belonging to the umbrella brand IFS (International Featured Standards).

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 Logistic 2.2, December 2017, is a consolidated version of IFS Logistic version 2.1, taking into consideration necessary adaptations to GFSI Requirements. All modifications which have been made from previous IFS Logistic version 2.1, are traced. This updated version of the Standard is compulsorily applicable from 1st June 2018.

Art. 2 Reference documents

2.1 IFS LOGISTICS scope and application

IFS Logistics is a Standard for auditing companies whose activities are logistics oriented for food and non-food products, such as transport, storage, loading/unloading, etc. It applies to all types of transport: delivery by road, rail, ship or plane; frozen/refrigerated products or ambient stable products (different states of matter: liquid, solid or gas).

This Standard also applies to freezing and thawing service providers as well as for logistics companies using service providers for their transport and/or storage activities.

Food and non-food products are defined in Annex 4, Part 1 of the IFS Logistics standard. Products which are excluded from the application scope of the IFS Logistics Standard are also specified in Annex 4.

IFS Logistics shall not apply to the following activities:

- processing of food or non-food products (except for freezing and thawing processes, as a service; see Part 1, Annex 1)
- importation, trading of goods (offices, e.g. typical broker companies with purchasing activities)
- transportation of living animals.

For clarification of the scope determination between IFS Logistics and other IFS Standards (Food, Broker, Cash & Carry/Wholesale, HPC – Household and Personal Care and PACsecure) please see Annex 1, Part 1 of the IFS Logistics standard

The following scopes are defined for IFS Logistics audits:

1 Storage

- Food products
- Non-food products

2 Transport

- Food products
- Non-food products

The scope of the audit shall be defined and agreed between the company and the certification body before the audit takes place. The scope shall be clearly and unambiguously stated in the contract between the company and the certification body, in the audit report and on the certificate.

Note: The audit scope shall describe the logistical activities of the company (e.g. transport, incl. type of transport, storage) as well as the product scope(s) which is/are handled (food, non-food) and the conditions of the handling (e.g. ambient stable, chilled, frozen).

These are minimum explanations about the audit scope which shall be specified on the IFS Logistics certificate.

More details (e.g. on the kind of food/non-food products):

- can be described on the IFS Logistics certificate, based on the product scope descriptions in Annex 4, Part 1.
- shall be described in the company profile of the audit report.

The audit shall be performed at a time to ensure the full scope of products and logistical activities, as mentioned in the report and on the certificate, can be effectively assessed.

If, between two certification audits, new logistical activities different from those included in the scope of the current IFS audit are implemented, the certified company shall immediately inform its certification body, who shall perform a risk assessment to decide whether an extension audit should be performed or not.

The audit shall be specific to the site where all the logistical processes are undertaken. Where decentralized structures exist and the audit of a certain location is insufficient for gaining a complete view of the company's processes, then all other relevant facilities shall also be included in the audit. Full details shall be documented within the company profile in the audit report.

The audit scope shall include the complete activity of the company. The scope shall be reviewed and agreed at the beginning of the audit after an initial risk assessment.

Furthermore, the scope can be modified after the risk assessment (for instance, if a further activity interferes with the one concerned by the audit scope). If, under exceptional circumstances, the company decides to exclude specific logistics activities or product groups from the scope of the audit, then this shall be clearly noted and included in the audit report and on the IFS certificate.

Combined certification IFS Logistics/IFS Broker

If a logistics company additionally has broker services (e.g. importation, trading of goods) and would like to certify those, IFS Logistics certification is not applicable alone and a combined certification according to IFS Logistics and IFS Broker shall be performed. The IFS Logistics certificate shall specify: "The company also has broker services, which are IFS Broker certified". If no combined certification is performed but broker services are present or if the logistics company doesn't want to include broker services in the scope of IFS certification, those activities shall be excluded from the certificate and the IFS Logistics certificate shall specify: "The company also has broker services, which are not IFS Broker certified". If requirements of both checklists are fulfilled, two separate reports shall be written and two separate certificates shall be uploaded in the database.

Auditing of multi-site companies with central management

If defined processes are organized centrally in a company with several sites (e.g. purchasing, personnel management, complaint management), there are two ways to manage IFS Logistics certification:

– if the company fulfills the pre-requisites, multi-site certification can be performed by sampling sites to be audited. The specific pre-conditions and rules are published in the guideline for multi-site certification for IFS Logistics certified companies. This guideline can be downloaded on www.ifs-certification.com.

– If the company doesn't fulfill the pre-requisites, multi-site certification can't be performed by sampling and each site shall be audited. In this case, the following process applies.

The central managing site – headquarter – shall also be audited and relevant audited requirements outcome shall be considered in the audit reports of each site.

Each site shall be audited separately in a period of maximum 12 months after the central managing site and shall have its own audit report and certificate. Each site shall be mentioned in the relevant contract and shall be subject to its own report and certificate. If the central managing site does not have any logistical activity, this site cannot be IFS certified as an independent company. The time for auditing the central managing site shall be described in the company profile of the report.

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

Note: If it is not possible to perform an audit at the managing site, then it shall be ensured that, during the audit of each site, all necessary information from the managing site is available (e.g. a representative of the managing site should attend at the audit(s) of the site(s)).

2.2 Certification scheme requirements

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

- ♦ IFS LOGISTICS (current issue)
- ♦ FAQ for certification body and auditors issue applicable
- ♦ IFS Logistics Doctrine (current issue)

For all specific requirements is applied Standard protocol

Art. 3 Special rules

3.1 Choosing of service activity

IFS LOGISTICS While is not a technical standard structured on the basis of service sectors, it classifies related services that can be certified in the categories described in the IFS LOGISTICS (rev. current). Inside 'ANNEX 1 is describes classification base on product scope

3.2 Prices

CSICERT FOOD SCHEMES 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 FOOD SCHEMES price list.

3.3 Audit Duration

The minimum audit duration of an IFS Logistics audit shall be one day.

A number of factors which are detailed in the contract between the certification body and the company, plays a role in determining the time required for a comprehensive audit. They include:

- physical size of the logistics site
- the type of services offered
- the audit scope
- the number of transport units involved
- the number of storage units involved
- total number of employees (part time workers, shift workers, temporary staff, administrative people, etc.)
- the number of non-conformities identified during previous audits.

In the event of a reduction of audit duration, the reason is described in detail in the audit report, in the company profile.

The audit duration might be extended depending on the above factors. The above mentioned rules equally apply to renewal audits, which must be considered as completely new audits.

The minimum audit duration does not include time for audit preparation and report generation. Additionally, time for generation of the audit report is typically 0.5 days. In exceptional situations, a reduction of the audit duration to 6 hours is possible, only in the following cases:

- If only one service (transport or storage) or only one kind of handling (e.g. chilled/frozen) is performed, or if only one product group is handled.
- In case of auditing of multi-site companies with central management, the audit duration for each single site can be reduced to 0,5 day, if requirements have already been audited at the central managing site.
- If there are not more than 50 employees (incl. part time workers, shift workers, temporary staff, administrative people, etc.) at the site.

A normal audit day duration is 8 hours. 1/3 of the audit duration shall be spent, as a minimum, in the working area of the site.

Note 1: For an audit team, at least 2 hours shall be allocated to the team and not to an individual auditor for common tasks (e.g. opening and closing meeting, discussion about audit findings, etc.). See also Part 3, chapter 3.5 about audit team.

Note 2: For a combined audit IFS Logistics/IFS Broker, the minimum audit duration shall be 1.5 days.

It is also possible for the Organization perform IFS LOGISTICS (product and process certification) and ISO 9001:2000 and ISO 22000:2005 (system certification) consecutive audits, and IFS LOGISTIC/IFS BROKER combined audits.

After quotation acceptance, the audit is scheduled: activities are performed according to the stages described as follows.

3.4 IFS LOGISTICS standard requirements

Essentially there are 3 elements that characterize, IFS LOGISTICS 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 LOGISTICS standard 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. Realisation of the service
- Chapter 5. Measurements, analysis, improvements
- Chapter 6. Product/Food defense Plan and external inspections

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

3.5 Certification process : Initial audit and follow up audit

Before being audited, the company shall review all requirements of the IFS Logistics Standard in detail and, if existing, IFS doctrine and erratum.

On the day of the audit, the current version of the Standard shall be available at the site being audited. The company is responsible for acquiring the current version of the Standard.

In order to prepare for an initial audit, a company may carry out a pre-audit, which is only intended to be used in-house. The pre-audit cannot include any recommendations.

The expected date for the initial or renewal audit shall be communicated to the IFS offices via the IFS audit portal. This shall be the responsibility of the certification body.

Initial Audit

An initial audit is a company's first audit to IFS Logistics. It is performed at a time and date agreed between the company and the selected certification body.

During this audit, the entire company is audited, both in relation to its documentation and the processes themselves. During the audit, all IFS requirements are assessed by the auditor. In the case of a pre-audit, the auditor who performs this audit shall be different from the auditor who performs the initial audit.

Before the audit, certification body provides the audit time schedule.

The audit time schedule includes appropriate details concerning the scope covered and the complexity of the audit.

The audit time schedule is sufficiently flexible to respond to any unexpected events which may arise during the site inspection activity within the certification audit. The audit time schedule takes into consideration a review of the audit report and action plan relating to the previous audit, whatever the date when the previous audit has been performed. It also specifies which of the company's logistical activities and which products will be audited.

The company can only be audited at a time when it is actually performing the logistical activities with the products specified in the scope of the audit. The audit time schedule is sent to the company before the audit, to ensure availability of responsible persons at the day of the audit.

The audit is scheduled on the following steps:

- the opening meeting
- the evaluation of services compliance, based on checking documentation (risk management, quality management documentation, etc.)
- the on-site inspection and interviewing of the personnel
- the final conclusions drawn from the audit
- the closing meeting.

The company will assist and cooperate 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.

During the closing meeting, the auditor (or lead auditor in the case of an audit team) shall 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 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.

The certification body is responsible for making the certification decision and the preparation of the formal audit report after the receipt of the completed action plan.

The issue of the certificate is dependent on the audit results and on agreement of an appropriate action plan.

Follow-up audit

A follow-up audit is required in a specific situation when the results of the audit (an initial audit or a renewal audit) have been insufficient to allow the award of the certificate. During the follow-up audit, the auditor focuses on the implementation of the actions taken to correct the Major non-conformity determined during the previous audit. The follow-up audit shall be performed within a six months period from the date of the previous audit.

In general, the auditor who performed the audit where a Major non-conformity has been identified shall perform the follow-up audit.

If the Major non-conformity is related to failure(s) concerning logistical activities, the follow up audit shall be performed at least 6 weeks after the previous audit and no later than 6 months after the previous audit.

For other kinds of failures (e.g. documentation), the certification body is responsible for the determination of the date of the follow-up 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.

When the auditor scores a requirement with C or D, corrective actions shall be implemented before the renewal audit. This means the certification body shall consider the audit report and the action plan of the previous audit, even if the report was issued by another certification body.

If C and/or D scorings remain the same from one audit to the next, or if scorings are getting worse, the auditor shall assess in accordance with the IFS chapter related to "Corrective actions" (chapter 5.8 of the audit check-list, Part 2). This link between two consecutive audits ensures a continuous improvement process.

3.7 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 LOGISTICS 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.

- 1.2.7 Responsibility of the senior management
- 2.1.1 Product safety management system
- 2.3.8 Monitoring system of each CCP
- 5.1.1 Internal audits
- 5.5.1 Management of non-conforming products
- 5.8.2 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.

Audit results are to be consider as preliminary with regard to the outcome of the certification. The decision to grant certification will, in fact, taken by the CSICERT FOOD SCHEMES,

Certification Committee, on the basis of the findings part of evaluation report and the IFS corrective actions proposal provided by the organization.

When the auditor decides that a requirement is not applicable for a company, the auditor has to use as scoring:

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

N/A scoring is possible for any requirements of the IFS Logistics audit checklist, except for KO requirements (exception for KO 2.3.8).

N/A requirements shall not be included in the outline action plan, but they shall be listed in a separate table in the audit report.

If there are a significant number of requirements which are deemed as not applicable, using a total points score for the audit may be misleading; however, the scoring system for IFS Logistics is based on a percentage of the total available score and it is this which is used to decide the status of the site i.e. foundation or higher level.

3.8 Certification decision and certificate level

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	Certificate 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 LOGISTICS 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 LOGISTICS 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 case one or several Major non-conformity(ies) is/are issued during the audit, the current IFS certificate shall be suspended in the IFS audit portal by the certification body as soon as possible and a maximum 2 working days after the audit date.

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

Note: All users having access to the IFS portal and having mentioned the respective company in their favourites 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 cases where more than one Major non-conformity has been identified, a complete new audit shall be performed. The new audit shall be scheduled no earlier than 6 weeks after the audit where Major non- conformities were issued.

If the Major non-conformity is related to failure(s) concerning the logistical activities, the follow up audit shall be performed at least 6 weeks after the previous audit and no later than 6 months after the previous audit.

For other kinds of failures (e.g. documentation), the certification body is responsible for the determination of the date of the follow-up audit.

The audit report where one or several Major non-conformity(ies) has/ have been identified shall always be uploaded into the IFS audit portal after receiving the action plan (only for administrative purpose, but will not be visible).

Specific situation in case of follow-up audit:

If a Major non-conformity has been identified with a total score of 75 % or above and then resolved, **and** if the audit result is deemed positive:

- The certification body shall mention on the updated audit report:
 - in the "date" section: specify the date of the follow up audit in addition to the date of audit when the Major non-conformity was identified
 - in the "final result of audit" section: specify that a follow up audit has taken place and that the Major non-conformity has been solved
 - In the "observations regarding KO non-conformities and Majors" section explain on which requirement the Major non-conformity has been solved.
- The company cannot be certified with higher level, even if the final total score is equal or more than 95 %.
- The same valid date of the certificate remains in the certification cycle as described in 6.2.
- It shall be defined on the certificate the date of initial audit and date of follow-up audit.
- If it was during an initial audit, the longest certificate valid due date is calculated using initial audit date, plus one year and 8 weeks.

Example:

Initial audit date 1:	01. October, 2014
Date of issue of certificate:	26. November, 2014
Certificate valid until:	25. November, 2015
Renewal date (audit where Major has been issued) 2:	25. September, 2015
Follow up audit:	03. December, 2015
Latest date of validity of the certificate:	25. November, 2016.

The report (first of the audit with the estimated Major non-conformity, then updated with results of follow up audit) shall be uploaded into the IFS audit portal after performing the follow-up audit with the proviso that the Major non-conformity is finally solved.

Specific management of the audit process in case of multi-site companies with central management

- All KO requirements shall be audited at all sites even if some of them are partly managed at the central managing site.
- In the audit report of each site, only the audit date of the respective site shall be mentioned; the audit date of managing site is not additionally necessary.

- In case that a Major non-conformity or a KO scored with D has been issued during the audit of the central managing site, all audited sites are also affected and the certificates of these sites shall be suspended (according the procedure described above).
- After a successful audit of the central managing site (or after positive follow-up after a Major was issued in the central managing site), the certificates of the sites can be reinstated.

Depending upon which non-conformity has been issued in the central managing site, a new audit of the sites may also be necessary.

3.9 Deadlines for awarding certificate

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

The date for the renewal audit shall 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 which have placed this company in their favourites in the IFS audit portal will get a message.

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 respond 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 of 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.

Even if the renewal audit due date changes every year and does not completely correspond to the anniversary date, the certificate validity date shall remain the same each year. The 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, 2014
Date of issue of certificate:	26. November, 2014
Certificate valid until:	25. November, 2015
Renewal audit date:	25. September, 2015
Certificate valid until:	25. November, 2016 (independently from the renewal audit date).

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

Certificate of conformity is issued in English language and include the following information: certification body name, organization name, address, COID, audit scope, detailed descriptions of processes (logistical services)/products (if the company performs additional trading activities but these are not covered by a combined certification IFS Logistics/IFS Broker, please note: "trade activity of (products) is not included"). 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 remain the property of CSICERT FOOD SCHEMES.

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

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

3.10 Renewal audit, extension audit, unannounced audit

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 (see also section 6.2).

Companies are responsible for maintaining their certification. All IFS certified companies will receive a reminder from the IFS audit portal three months before certification expiration. The certification bodies shall contact companies in advance in order to set a date for a new audit.

In general, the expected date of each audit shall be uploaded in the IFS audit portal, in the diary function and at latest 2 weeks (14 calendar days) before the audit due date (it is possible to change the date short term).

Extension audit

In specific situations, such as new logistical activities 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 Logistics certified company, it is not necessary to perform a complete new audit, but to organise 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 shall 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 shall be updated with the new scope and uploaded in the audit portal. The updated certificate shall 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 shall be suspended as described in 5.8.1 and 5.8.2. of IFS Logistics standard

Unannounced audit

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. seasonal highs, holiday times, etc.).

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 Logistics 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 (site inspection). The opening meeting and documentation audit shall be undertaken later during the audit.

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

3.11 Sanctions

Apart from the provisions of the general rules (Reg. prod. 001/04), the following rules are applied: after the certificate is issued, CSICERT FOOD SCHEMES 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.

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

Certificate withdrawal

Withdrawal of certificate by the certification body is only permitted in case of any information indicating that the logistical activities may no longer comply with the requirements of the certification system (as mentioned in ISO/IEC 17065 norm).

The only exception of this rule may be related to the non-payment of the current audit by the certified company. The contract between certification body and audited company shall be harmonized with the certification cycle

3.12 IFS Integrity program/ IFS Management GmbH Quality Assurance Activities

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).

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.

3.13 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.

3.14 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

3.15 Ownership and usage of the IFS Logistics Logo

The copyright of IFS Logistics and the registered trademark is fully owned by the IFS Management GmbH. The IFS Logistics 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 Logistics and all IFS logos in general.

Form, design and colour of the IFS Logistics logo

When used, the IFS Logistics logo must comply with the form and colour of the scale drawing. If it is used in documents, black and white print is also permitted. The IFS Logistics 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 Logistics certified company, an IFS Logistics supporting company or an IFS Logistics 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 Logistics logo in promotional material

An IFS Logistics certified company, an IFS Logistics supporting company (e.g. sub-contractor) which accepts IFS certificates from their suppliers or service providers, or an IFS certification body may use the IFS logo for promotional reasons (e.g. on trucks) and publish information about IFS certification provided that it is not visible on final product packaging which are available to the end-consumer. Companies which provide products and/or services to IFS certified or supporting companies, but which are not themselves IFS certified (e.g. manufacturers of devices, clothing, cleaning materials or service providers which would like to promote that their products and/or services help to fulfill the IFS requirements) must ask for express written permission to IFS Management GmbH to use the IFS logo and/or any other IFS logo(s).

The IFS Logistics 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 Logistics 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 Logistics Standard was developed by the logistics service companies, retailers and certification bodies in order to assure the product safety and quality of their contractors. 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 Logistics logo

The IFS Logistics 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 derived from it. In the event of suspension or withdrawal of the IFS Logistics 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 Logistics certification

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

3.16 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

It being understood that the confidentiality clause is to be applied at all times, in case of particular legal actions, IFS Management GmbH might require to CSICERT FOOD SCHEMES as an expert witness. In that case, the company under certification grants CSICERT FOOD SCHEMES 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 organism 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

Product scopes according to IFS Food version 6

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

Non food products: description of the different product groups

1. Household and Personal Care products (cosmetics, household chemical products, daily housekeeping properties, personal hygiene)
2. Packaging materials
3. Electric/electronic devices
 - household equipment (e.g. kitchen equipment, white goods)
 - entertainment electronics (e.g. television and HIFI equipment, computer, telecommunication, cameras, etc.)
 - light engineering (e.g. lamps, bulbs, contactors, etc.)
4. Housekeeping goods (which are not already included in the HPC scope, like porcelain, dishes, cutlery, pans, etc.)
5. Textiles (clothing, underwear and shoes, leather, bedclothes and tablecloths, etc.)
6. Media products (newspapers, books, CDs and other sound storage media, computer games, software, etc.)
7. Furniture
8. Tools and technical equipment (DIY)
9. Stationary/office materials
10. Toys
11. Plants and flowers
12. Gardening equipment
13. Others

Non-food product groups which are excluded from the scope of IFS Logistics:

- Resources – different conditions (solid, liquid and gas)
- Pharmaceutical products/medicines, which are only available on prescription
- Explosive substances/munitions, etc.
- Waste/litter

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