



SPECIAL RULES FOR THE ISSUE AND MAINTENANCE OF CERTIFICATION ACCORDING TO IFS BROKER v.2

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Art. 1 Regulation subject

This Regulation establishes the procedures applied by CSICERT System to manage the certification scheme for production processes of Organizations in accordance with the requirements of the *IFS BROKER* standard published by 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.

Art. 2 Reference documents

2.1 IFS BROKER standard requirements

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

IFS Broker is a Standard for auditing/checking services compliance of typically:

- Broker/Middleman: person or company who acts as an agent for others, as in negotiating contracts, purchases or sales in return for a fee or commission.
- Sales Agent: person or company who is authorized or appointed by a manufacturer to sell or distribute his products in a given territory but who is in business for himself, takes title of the goods and does not act as agent for a principal.
- Trader/Dealer: person or company whose business is buying and selling or bartering.
- Importer: person or company who brings goods into a place or country from another country with the purpose of selling.

The IFS Broker Standard applies to persons and/or companies who may or may not own the products but typically who do not take physical possession of the products (e.g. which do not have warehouses, packing stations or truck fleet, but are legal entities with mailboxes, offices, etc.).

The main aim of the Standard is to assess the services compliance, especially how the company selects and/or manages its suppliers for the products demanded by the customers, how it is able to fulfill traceability and other specific customer requirements of delivered products and how to manage a product recall.

IFS Broker only covers broker services related to food products, household and personal care products and packaging materials. If a (food or HPC or packaging) processing company also has broker services and would like to certify both activities, a combined audit, respectively IFS Food or IFS HPC or IFS PAC secure and IFS Broker shall be performed.

IFS Broker shall not apply to the following activities:

- processing of food or non-food products (see Part 1, Annex 1),

- own logistics activities by taking over the physical possession of the products.

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

The following scopes are defined for IFS Broker audits:

Trading (logistical activities are excluded)

- Food
- Household and Personal Care (including cosmetics products, household chemical products, articles of daily use, personal hygiene products)
- Packaging materials
- A combination of above 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.

Combined certification IFS Broker 2/IFS Logistics 2:

If a trading company additionally has own logistics activities (storage, distribution and/or transport) and would like to certify those, IFS Broker certification is not applicable alone and a combined certification according to IFS Broker and IFS Logistics shall be performed. The IFS Broker certificate shall specify: "The company also has own logistics activities, which are IFS Logistics certified".

If no combined certification is performed but own logistics activities are present or if the trading company doesn't want to include logistics activities in the scope of IFS certification, those activities shall be excluded from the certificate and the IFS Broker certificate shall specify: "The company also has own logistics activities, which are not IFS Logistics certified".

Combined certification IFS Broker 2 and IFS Food or IFS HPC or IFS PACsecure: IFS Broker only covers broker services, but if a (food or HPC or packaging) processing company also has broker services and would like to certify both activities, a combined audit, respectively IFS Food or IFS HPC or IFS PAC secure and IFS Broker shall be performed. For this, checklist of the relevant IFS Standard (Food or HPC or PACsecure) should also be used.

If requirements of both check-lists are fulfilled, two separate reports shall be written and two separate certificates shall be issued and uploaded in the database.

Auditing of multi-location companies with central management

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

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

The audit shall be performed at a time to ensure the full broker services and, in case of a combined audit, the logistical activities, as mentioned in the report and on the certificate, can be effectively assessed. Only these conditions would allow assessing properly the broker's services compliance.

The audit scope shall include the complete broker services 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 the broker services related to specific 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.

2.2 Certification scheme requirements

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

- ♦ IFS BROKER (current issue)
- ♦ FAQ for certification body and auditors issue applicable
- ♦ IFS DOCTRINE

For all specific requirements is applied Standard protocol

Art. 3 Special rules

3.1 Choosing of service activity

IFS BROKER 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 BROKER (rev. current). Inside 'ANNEX 1 is describes classification base on product scope

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 BROKER standard conformity conditions

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

As described in Section 2.1 of this protocol, IFS BROKER scope is identified in the Organizations involved in the following food and non-food business:

- Broker/Middleman: person or company who acts as an agent for others, as in negotiating contracts, purchases or sales in return for a fee or commission.
- Sales Agent: person or company who is authorized or appointed by a manufacturer to sell or distribute his products in a given territory but who is in business for himself, takes title of the goods and does not act as agent for a principal.
- Trader/Dealer: person or company whose business is buying and selling or bartering.
- Importer: person or company who brings goods into a place or country from another country with the purpose of selling.

Technical elements are organized within, IFS BROKER 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. Planning and service process
- Chapter 5. Measurements, analysis and improvement
- Chapter 6. Food Defence and external inspections

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

At the certification time the organization will have available a original IFS BROKER copy

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 BROKER 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 product safety and/or the legal requirements of the destination countries. A Major non-conformity can also be given when the identified non-conformity can lead to a serious health hazard.

A Major non-conformity will subtract 15 % of the possible total amount of points.

KO:

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

In IFS Broker the following 8 requirements are defined as KO requirements:

- 1.2.3 Responsibility of the senior management
- 2.1.1 Risk Management/HACCP
- 4.2.2 Product specifications
- 4.6.1 Traceability system

- 5.1.1 Internal audits
- 5.2.2 Product analysis
- 5.5.2 Procedure for withdrawal and recall
- 5.7.2 Corrective actions

KO requirements shall be evaluated according to the following scoring rules:

Result Explanation Awarded scores

A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement is implemented	No "C" scoring is possible
KO (= D)	The requirement is not implemented	50 % of the possible total amount of points is subtracted => No certificate awarding is possible

Important note

A "C" scoring is not possible for KO requirements. In this respect, the auditor can only use A, B or D (= KO).

When a KO requirement has been scored as "D", 50 % of the possible total amount of points will be subtracted automatically meaning that the company is "not approved" for IFS Broker certification.

A KO cannot be scored with N/A, except KO 5.2.2.

See also section 5.8 for the general management of audit report in case of one or several KO requirements.

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 Broker 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

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, 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 quotation acceptance, the organization sends application request a schedule the estimate certification date with CSICERT. Certification activities are performed according to the stages described as follows.

The audit will be carried out when the service process is working.

The minimum audit duration of an IFS Broker audit shall be 6 hours.

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

- the size of the broker

- the type of services process (only broker services or additional logistics activities or combined audit IFS Broker with IFS Food or IFS HPC or IFS PACsecure Standard)
- the scope of the audit
- the number of personnel employed at the site
- the number of non-conformities found in the previous audit.

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. A normal audit day duration is 8 hours.

Additionally, time for generation of the audit report is typically 0,5 days.

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 3.4 about audit team.

Note 2: for a combined audit IFS Broker/IFS Product Standard, it is accepted to reduce the total duration (calculated separately for the audit of each Standard) to maximum 0,5 days.

Note 3: for a combined audit IFS Broker/ IFS Logistics, the minimum audit duration shall be 1.5 days.

Additionally, time for generation of the audit report is typically 0,5 days.

It is also possible for the Organization perform IFS BROKER (product and process certification) and ISO 9001:2008 and ISO 22000:2005 (system certification) consecutive audits, and IFS LOGISTIC/IFS BROKER combined audits.

For a combined audit IFS Logistics/IFS Broker, about 2 to 6 hours will be added in the calculation of on-site time, depending on the size and the processes of the company (plus reporting).

The audit shall be scheduled based on the following steps:

- the opening meeting
- the evaluation of services compliance, based on checking documentation (risk management, quality management, product specifications, analysis results, etc.). During the audit, the auditor ensure objective evidence is in place to establish if the broker services are compliant, by delivering safe, legal and conforming products. Therefore the auditor should use a product sampling program where the corresponding finished product specifications are used as a reference during the audit to check the services conformity.

Suggested products to be selected are, but are not limited to:

- a retailer branded product
- a product traded in small quantities
- a product traded in large quantities.

If the audit findings for the selected products show that the broker services have been made in accordance with the product specifications, this generally provides assurance of company compliance.

- performance of a traceability test: for this, the auditor shall select an appropriate traded product and test downstream/ upstream traceability
- the on-site inspection and interviewing of the personnel

- the final conclusions drawn from the audit
- the closing meeting.

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

The auditor(s) who conduct(s) the audit will assess all the requirements of IFS Broker 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 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 on an appropriate action plan.

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 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 Broker requirements (see Part 2, Annex 2).

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, 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 certification body or the auditor shall send the company both the pre-report of the audit and the outline action plan **within two weeks of the audit date.**

The company shall enter proposed corrective actions for all deviations (B, C, D) and KO requirements scored with a B and non-conformities (Major, KO requirements scored with a D) listed by the auditor.

For all evaluated deviations with score C and D, as well as non-conformities, Major or KO requirements scored with a B and/or a D, the company shall clearly state the responsibilities and implementation deadlines for corrective action (chart N° 4, Field C). The company shall forward the corrective action plan to the certification body within 2 weeks of having

received the pre-report of the audit and the action plan layout. If this deadline is not respected, the company has to undergo a complete initial or renewal audit.

An IFS certificate shall not be awarded unless the corrective actions for requirements scored with a C or D, and KO requirements scored with B, specify responsibilities and implementation dates in the action plan. The final decision of awarding the IFS certificate is dependant both on final scoring and on relevance of corrective action plan communicated by the company to the certification body.

3.7 Certificate issue and IFS Logo authorization

The certification body is responsible for the decision to award or not award the IFS BROKER 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% of the requirements fulfilled	Not approved	Actions and new initial audit to be agreed upon	Report gives status	NO
Max 1 NC MAJOR and $\geq 75\%$ of the requirements fulfilled	Not approved unless further actions taken and validated after follow-up audit	Send completed Actions plan within 2 weeks of receiving the preliminary report FOLLOW UP audit max 6 months after the audit date	Report including action plan gives status	Certification at FOUNDATION LEVEL if the MAJOR non conformity is finally solved as controlled during the follow up audit
Total score $\geq 75\%$ e < 95%	Approved at FOUNDATION IFS BROKER 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 $\geq 95\%$	Approved at HIGHER IFS BROKER 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.

Specific management of the audit process (report, certificate, uploading) in case one or several KO's has/have been scored with D during the audit

In case one or several KO is/are scored with D 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 shall be given **in English language**. Clear explanations about the identified non-conformity(ies) shall be provided by giving the number of involved KO requirement(s). These explanations shall be detailed and be the same as those described in the action plan.

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 from the IFS audit portal that the current certificate has been suspended.

In each case, the audit shall be completed and all requirements shall 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 shall always be uploaded into the IFS audit portal (only for administrative purpose, but will not be visible).

In these situations, a complete new audit shall be performed. The new audit shall be scheduled no earlier than 6 weeks after the audit where a KO was scored with D.

Specific management of the audit process (report, certificate, uploading) in case one or several Major non-conformity (ies) has/have been issued

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 shall be given **in English language**. Clear explanations about the identified non-conformity (ies) shall be provided by giving the number of involved requirement(s). These explanations shall be detailed and be the same as those described in the action plan.

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 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.

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, minus 1 day.

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 nonconformity 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 provisional that the Major non-conformity is finally solved.

Specific management of the audit process in case the final score is < 75 %

In these situations, the certification is failed and a complete new audit shall be performed. The new audit shall be scheduled no earlier than 6 weeks after the audit where the final score was < 75 %.

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

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.

- 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 non-conformity 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.

A certificate shall be issued to one specific site.

Translation of the audit scope on the certificate:

To make use of the IFS Broker internationally and to make it widely understandable, the audit scope on the IFS Broker certificate shall always be translated into English. It is an obligation and the responsibility of the certification bodies to translate the audit scope. Detailed minimum mandatory information to be published on the IFS Broker certificate is determined in Part 4.

The final audit score, in percentage, can also be published on the certificate, if required by customer and/or audited company.

Deadlines for awarding certificate

The certification body is responsible for the decision to award or not to award the IFS Broker certificate. The decision is made by person(s) other than those who have carried out the audit. 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 will be informed via the audit portal.

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.

Certification cycle

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 BROKER standard

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

Certificate of conformity will be issued in English language and will include the following information: certification body name, organization name, address, COID, audit scope, Trading of (description of the products which are traded and related product scope numbers) 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.

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.

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

3.8 Renewal, extention audits and combined audits

3.8.1 Renewal audit

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

corrective action plans from the previous audit shall always be assessed by the auditor, even if the previous audit has been performed more than one year ago. Therefore, audited companies shall always inform their certification body, if they have already been IFS certified in the past. The date of the renewal audit shall be calculated from the date of the initial audit and not from the date of issue of the certificate. Furthermore, the renewal audit can be scheduled at earliest 8 weeks before and at latest 2 weeks after the renewal audit due date. Companies are responsible for maintaining their certification. All IFS certified companies will receive a reminder from the IFS on-line audit portal three months before certification expiration.

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

3.8.2 Extention audit

In specific situations, such as new BROKER 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 BROKER 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 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.

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 Management of IFS Management GmbH complaint

The IFS Integrity Program launched in early 2010 includes different measures to assure the quality of the IFS certification scheme, with a focus on the review of audits conducted by the IFS certification bodies and their auditors.

3.11 IFS Management GmbH Quality Assurance Activities

Quality assurance activities monitor the entire IFS system. Surveillance audits at the certification body offices and on-site supplier audits are carried out on a regular basis in order to assess the IFS system. These audits are undertaken regardless of whether or not a complaint has

been made. The sampling for these surveillance audits is based on a random selection process and by use of objective criteria. These criteria are both economic criteria (e.g. number of issued certificates) and quality criteria (e.g. the review and analyses of IFS certification processes and corresponding reports).

A surveillance office audit of a certification body (CB) takes place at the accredited certification body's premises to verify the correct application of the IFS regulations at the certification body offices and to promote continuous improvement.

Additionally, surveillance on-site supplier audits at certified companies may be undertaken. In general, surveillance on-site supplier audits are announced 48 hours before the audit date. In these audits the documentation reviewed in the office audit of the certification body, or in the IFS database, is compared with the real situation found at the company.

Witness audits can also be performed. In this case, Integrity auditors assess an IFS auditor during a real IFS audit.

Quality assurance actions after complaint notification

A detailed complaint management process analyzes all necessary information. Retailers or any other interested parties have the right to forward any possible non-conformity to IFS for investigation as part of the Integrity Program.

The IFS Offices collect complaints concerning IFS audits, reports, certificates or other circumstances in which the integrity of the IFS brand is in question. Retailers, certification bodies, employees of IFS certified companies or any person can use the complaint form on the IFS website www.ifs-certification.com or can send an e-mail to complaintmanagement@ifs-certification.com to inform IFS about a certain issue. In addition to any complaints received, IFS also analyses the IFS database using analytical tools in order to identify any deficiencies. If IFS Quality Assurance Management is informed of significant discrepancies between the results of an IFS audit and a subsequent retailer audit, this will be investigated within the complaint management process as described below.

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 provide a statement on the outcome of their investigations to IFS.

In the event that a complaint cannot be successfully resolved by the investigation undertaken by the certification body, an on-site investigation audit will be undertaken at the certified company(s). In general, investigation audits are announced 48 hours before the audit date, however in special cases unannounced audits are undertaken.

Witness audits can also be performed. In this case, Integrity auditors assess an IFS auditor during a real IFS audit. Audits carried out as part of the Integrity Program are conducted by auditors employed by IFS and completely independent of the auditees.

Sanctions

If, following a complaint or preventive 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 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 number of breaches previously committed by the auditor and/or the certification body as well as the level of severity of such breaches. IFS Management informs the appropriate accreditation body if a breach for a certification body and/or for an auditor has been established.

All these procedures are laid down in the contract between IFS and each certification body and all stakeholders of the IFS system are informed of the process. The IFS Integrity Program strengthens the reliability of the IFS scheme by checking the implementation of the IFS Standard in practice.

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 finalized 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 Logistics Logo

The copyright of IFS BROKER and the registered trademark is fully owned by the IFS Management GmbH. The IFS BROKER 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).

Terms and conditions for using the IFS BROKER logo and communication about the IFS BROKER certification Application

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

Form, design and color of the IFS BROKER logo

When used, the IFS BROKER 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 BROKER 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 BROKER certified company, an IFS Logistics supporting company or an IFS BROKER 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 BROKER logo in promotional material

An IFS Logistics certified company, an IFS BROKER 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 BROKER 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 BROKER 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 BROKER Standard was developed by the Trade 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 BROKER logo

The IFS BROKER 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 BROKER certification

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

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 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 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 (e.g ready to eat, pizza's etc)
8	Beverages
9	Oils and fats
10	Dry goods, food additives and supplements
11	Pet food

SUMMARY TABLE Product scopes according to IFS HPC version 1

IFS HPC version 1 Product Scopes	
<p>Scope 1: Pc: Cosmetic = Personal care products - Skin contact</p>	<ul style="list-style-type: none"> - Includes all the products described in the Cosmetic legislation (e.g. shampoo, toothpaste, lubrication strip of shavers, washable temporary tattoos, cosmetic wipes, make up for dolls or children, skin patches and substances applied with skin-patches, etc.)
<p>Scope 2: Hcp: Household chemical products</p>	<ul style="list-style-type: none"> - Cleaning and polishing products, as well as impregnated products intended for household and car activities (e.g. detergents, all products intended for cleaning activities, liquid or wipes, window cleaners, etc.). It also includes specific cleaning products e.g. products for swimming pools. - Products and materials that are intended to improve the air odor (e.g. air freshener sprays or aerosols, candles, etc.) - Insecticide products.
<p>Scope 3: Hp: Housekeeping properties – Food contact</p>	<ul style="list-style-type: none"> - Materials and articles described in the Regulation (EC) No 1935/2004, which are intended to come into contact with food (e.g. plastic and carton cups/forks/plates, aluminum foils, products for “daily use”, etc.) - Other kinds of materials and articles (e.g. sponges, dust bin plastic bags, etc.)
<p>Scope 4: Ph: Personal hygiene – Skin contact</p>	<ul style="list-style-type: none"> - Products or materials that are intended for human body care, except cosmetic products (e.g. hair brushes, shavers, tissues, some medical devices class 1, diapers, feminine hygiene, wigs, artificial lashes, artificial nails, jewellery, etc.) - Product or materials that are intended to come into contact with the inside of the mouth (e.g. toothbrush, dental floss, dental wood/plastic sticks, etc.)