

Baltic Control Certification A/S

Terms and conditions for the certification of management systems.

Introduction

The specific requirements of these certification terms and conditions must be met to obtain and maintain management system certification according to international and national standards, accreditation requirements and guidelines.

The requirements of these certification terms and conditions are non-waivers and supersede all other terms.

Issued certificates belong to Baltic Control Certification A/S.

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General:

Baltic Control Certification A/S carries out, as a third party, certification of management systems, in accordance with the ISO standard ISO/EIC 17021-1:2015.

- A certification is based on an application from a company (applicant) for certification of management system. Baltic Control Certification A/S (certification body), hereinafter CB, together with the applicant, determines the basis for evaluation of the applicant by agreeing on the criteria – specified in standards, laws, schemes, executive orders, etc. – that shall apply to the certification.
- Reference is also made to the Group Baltic Control® Terms & Conditions: <https://www.bccertification.com/about-us/terms-conditions>
- CB limits its requirements, evaluation and certification decision to those matters specific to the relevant scope.
- CB can have evaluations carried out with its own employees or with the participation of subcontractors. CB always has full responsibility for subcontracted tasks.
- CB relies on the evaluation results of certifications completed prior to the application for certification only when it accepts responsibility for the results and is satisfied that the body which introduced the evaluation meets the requirements specified in the certification scheme.
- If the requirements for a certification change, the certificate owner must be informed, and the CB must ensure that the certificate owner meets the new requirements. CB will inform the certificate owner about this in a reasonable time. CB will then ensure that the certified person continues to meet the requirements for certification.

The initial evaluation of a management system must be carried out in two steps: Stage 1 and Stage 2

The applicant must:

- Provide the necessary data to determine the scope of the certification (e.g. use our application forms www.bccertification.dk)
- Provide our audit team with information to determine whether the client's management system has been documented in accordance with applicable requirements.
- Provide the audit team with access to facilities, personnel and documents so that the audit team can verify that clients' management system has been established and maintained.
- Collaborate with the audit team when handling nonconformities.
- Before Stage 2 visit, collect information from relevant authorities on agreements and outstanding conditions relevant to certification.
- At Stage 2 visit; documents relating to any agreements, approvals, obligations, prohibitions, supervisory reports and any outstanding conditions relevant to the certification shall be made available.
- Update and maintain management system documentation in accordance with certification requirements. This documentation must be versioned.
- Have an effective and documented procedure for the goods recall of non-compliant product lots, including defined responsibilities, in place in accordance with the relevant standard, and Baltic Control Certification shall be informed immediately by email cert@balticcontrol.com or by phone at +45 91 23 07 46.

Award of Certification:

1. The applicant must contact CB. The inquiry is registered, and "Application for Certification Baltic Control" and certification terms and conditions are forwarded to the customer.
2. The application is signed and returned to CB.
3. The evaluation team receives the application and establishes a case register. Next, an audit team is composed (if several auditors). Only authorized auditors with signed confidentiality are used. Audits are scheduled and an audit program is submitted.
4. At the first audit in a certification period, the audit consists of two phases. The first phase audits the management system to uncover the management system's essential aspects, processes, goals and function and whether the customer is ready for stage 2. The result is documented and forwarded to the customer in a report and audit stage 2 is planned. The outcome of stage 1 may lead to a postponement or cancellation of stage 2. Stage 2 assesses the implementation, including the effectiveness of the management system. This includes monitoring, measuring, reporting and reviewing performance in relation to objectives and targets (in accordance with expectations in the management system).
5. Auditors receive work instructions and conduct the audit. The result of the audit is processed, and the checklist is made.
6. The evaluation team will consider the checklist and other documents. The result is documented in a report and the applicant is immediately informed of the result of the evaluation with information about any deficiencies/errors that need to be corrected and what actions, if any, need to be taken.
7. When deficiencies/errors have been corrected and the situation has been completely clarified, a certificate can be issued and sent to the applicant. The case is then closed.
8. Implementation of the requirements of the management system can in no way replace compliance with applicable national or European legislation.
9. CB's accreditation body DANAK is always entitled to monitor CB's work. This monitoring will not affect the audit or audit outcome.

Maintaining Certification:

- The certification is valid for 3 years from the decision on certification, however, it is a subject to annual follow-up evaluation. Re-certification must be carried out in sufficient time to retain the approval.
- The audit ends with the auditor giving a preliminary assessment of the outcome of the evaluation. If, during the ex-post evaluation of the report, the evaluation team changes the assessment, the applicant shall be informed without a delay.
- The applicant receives an audit report.
- If food safety anomalies or deficiencies are found, corrections must be initiated immediately and carried out within a time limit approved by CB.
- The relevant corrective actions must be approved by the CB. Normally, a time limit of 60 days is accepted.
- If deviations or deficiencies are found that result in a significant deterioration in the quality of the certified scope, these deviations or deficiencies must be rectified by corrective actions.
- CB must be informed about this, and it is CB that decides whether FSMS can be certified.
- If CB has a valid justification, the re-certification may be postponed for a reasonable period of time.
- Audits are carried out unannounced or at short notice in case of complaints or suspension of a certificate.
- Audit can be carried out unannounced or at short notice in the event of significant changes from a certified customer, where these changes may affect the management system's ability to meet the requirements of the scheme in question.
- On schemes where there is an unannounced audit, the audit will be carried out according to requirement elements from the scheme in question.
- The customer has the option of choosing dates or periods when audits cannot take place according to the provisions of the scheme in question, and CB must be informed of these dates or periods.
- The certificate owner is obliged to inform CB immediately in case of circumstances that may affect the management system's ability to continue to meet the requirements, e.g. change in ownership, organization or significant changes to the management system, including in product or production processes.

Extension of Certification:

- CB shall carry out a re-evaluation in the event of changes having a significant impact on food safety, or in the event of changes in ownership, conversion or management of the applicant, where appropriate, or if other information indicates that food safety no longer meets the requirements of the certification scheme. The re-evaluation will be carried out along the same lines as the first evaluation of food safety.

Suspension and withdrawal of certification:

- The applicant may request that a certification be suspended if they are prevented from complying with the rules and conditions of the certification. A certification can be granted on hold for up to 6 months. In the intervening period, the applicant shall be considered not certified. Thereafter, the certification will be withdrawn, and the applicant will be notified in writing.
- If serious or repeated violations of the terms and conditions are found or if the conditions are no longer met, the certification may be suspended by CB. Before a suspension takes effect, the applicant has the opportunity to submit an opinion within a specified time limit.
- If the objections have not been rectified and approved by CB, the certification will be revoked. A withdrawn certification can only be restored after the CB has re-evaluated that all the conditions are met.
- The certificate shall be suspended if the Food Safety Management System persistently does not meet or meets the requirements very deficiently, including the requirements for the effectiveness of the system.
- The certificate shall be suspended if monitoring or recertification audits cannot be carried out at the necessary intervals.
- The certificate shall be suspended if the certificate owner requests such suspension.
- The suspension must be withdrawn if the reason for the suspension has been removed. If the cause is not removed within a time limit set by CB, the certificate is revoked, or the scope is reduced.

Reference to certification of management systems and use of trademark:

- References shall not be used on product packaging where it may be interpreted as an expression of product conformity.
- References shall not be used for laboratory testing, calibration or inspection reports or certificates.
- Statements on the product packaging or accompanying information that the certified customer has a certified management system. The declaration shall clearly contain the following:
 1. Name of the certified customer
 2. The type of management system
 3. Certified by: Baltic Control Certification A/S

Confidentiality and Impartiality:

- The information collected during audits shall be treated strictly confidentially.
- CB can publish on its own website Name of the certified customer, as well as the validity of the certificate. CB will not publish any further information about the applicant unless the applicant is informed and has accepted it.
- CB guarantees that all employees – own and external – are competent and comply with the applicable regulations, nor are they involved in the design or manufacture of products similar to the evaluated product in a way that may create doubts about impartiality.

Cancellation:

In case of cancellation or rescheduling of audits with less than one week's notice, CB reserves the right to charge cancellation fees at the following rates:

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| • <u>Less than one week's notice:</u> | 25% of the certification price |
| • <u>Less than 48 hours' notice:</u> | 50% of the certification price |
| • <u>On the day of the audit:</u> | 75% of the certification price |

Complaints and Appeals:

- Complaints and appeals are submitted by email to: cert@balticcontrol.com. CB sends acknowledgement of receipt of complaints and appeals.
- Complaints and appeals will be handled by an independent certification committee. CB sends the result of the examination from the Certification Committee to the submitter.