



Certification Terms & Conditions for Baltic Control Certification A/S regarding certification within the following schemes:
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- **International Featured standards (IFS)**

- Food v8
- Broker v3.2

Description of the product certification scheme:

- General
- Award of the certification
- Maintaining certification
- Expanding/changing the certification
- Suspension and cancellation
- Using IFS's trademark and logo
- Confidentiality and impartiality
- Cancelling audits
- Complaints and appeals

General:

- Baltic Control Certification A/S carries out third party product certification in compliance with the standard ISO 17065:2012
- A certification is based on an application from a producer (applicant) for certification of a product. Baltic Control Certification (the Certification Body - hereinafter called CB) will establish the basis for the evaluation of the product in cooperation with the applicant by defining which criteria from standards, legislation, schemes, regulations, etc. will apply to the certification (scope).
- The CB shall limit its requirements, evaluation and certification decision to the circumstances specifically relating to the relevant scope of certification.
- The CB may allow evaluations to be carried out by own employees or by means of subcontractors. The CB shall always have the full responsibility for subcontracted assignments.
- The applicant shall provide access during the evaluation to relevant personnel, documentation, and sites.
- The applicant shall be informed that information about the company and its employees is stored in the IFS Database, in line with the General Data Protection Regulation.
- The accreditation agency (DANAK) and other relevant observers and representatives are granted access to the CB's activities.
- The applicant is aware of the contents of the IFS Integrity Program (Annex 4 to the framework agreement between BCC and IFS Management, included in this document). Notably, that IFS Management has the right to perform unannounced or announced on-site checks at the site of the applicant. In case BCC is invoiced for the on-site check by IFS Management, the invoiced amount shall be covered by the client where the on-site check was performed.
- The applicant shall be notified regarding amendments to the certification terms and conditions.
- The CB shall notify applicant in the event of amendments to the standard.
- The certified entity shall not use the product certification in a way that will discredit the CB or make statements regarding the product certification in a way that the CB will find misleading.



Award of the certification:

1. The applicant shall approach the CB. This approach is registered in IFS. Certification and Sublicense Agreement, the Certification Terms and Conditions IFS, as well as CB Contract for IFS standards (one of the following) are forwarded:
 - 1.1. CB Contract for IFS Food version 8
 - 1.2. CB Contract for IFS Broker version 3.2
2. The relevant CB Contract for IFS is signed by the applicant and returned in completed state to the CB.
3. Time and place for audit is arranged with applicant.
4. An audit team (only authorised auditors for IFS, who have signed confidentiality and impartiality agreements are used) and a certification committee is established.
5. The audit program is forwarded to the applicant stating: agreed time and place, auditor and auditor's contact details, audit programme as well as the agreed scope.
6. Auditors receive work instructions and carry out audit and draw up a preliminary report.
7. The audit will end with the auditor providing a preliminary assessment of the evaluation results including notification of any non-conformities/ non-compliances to be closed, and of any corrective actions to be implemented to rectify the situation. Deadline is to be given by the CB. The deadline is within 4 weeks. The applicant is informed that all non-conformities will be registered in the IFS database.
8. The certification committee reviews the preliminary report following the audit. In the event of the certification committee changing this assessment, the applicant is to receive notice without delay.
9. The complete result including documentation of closed non-conformities is to be aggregated in a final report, which is submitted for final review by the certification committee.
10. Certification body performing the technical review, making the certification decision, issuing the report/certificate and to upload them to the IFS Database: maximum two (2) weeks.
11. When non-conformities/discrepancies have been corrected and the situation completely rectified and accepted, the applicant is certified in the IFS database. Then the certificate may be issued and forwarded to the applicant together with the final report. Subsequently, the case may be closed.
12. Any information gathered during audit will be treated with strict confidentiality.
13. Copies of certification documents are only to be reproduced in their full length.
14. The implementation of requirements of the IFS standard may in no way replace compliance with present national or European legislation.

Maintaining certification

- 50% of the audit time must be spent in production. All audited products must be in production, and there must be personnel assigned to their respective tasks, in order to certify the product. If this is not possible, it will be up to the CB, under special circumstances, to assess, possibly in consultation with IFS, whether permission can be granted to conduct a split audit.
- The certification is valid for 12 months following the certification date. Recertification is to be carried out in time for the IFS approval to be upheld.
- If non-conformities or discrepancies causing significant deterioration in the quality of the certified product are found at the recertification inspection, these must be rectified by means of corrective actions for the product to be certified again.
- Applicant must complete the action Within 20 working days (4 weeks) of the last auditing day, documentation for corrective actions must be sent to the CB for approval.
- The CB is to be notified of corrective actions, and the CB will determine whether the product may be certified again within 2 weeks.
- If non-conformities are not closed before the deadline, the CB must suspend the product in the IFS database.
- IFS is to be notified of the completion and the justification for delay.
- Unannounced audit from the CB is a mandatory part of the 3-year cycle.
- The unannounced audit shall be performed within a time window of [-16 weeks before audit due date; + two (2) weeks after audit due date] and shall take place without prior notification of the date to the production site, to ensure the unannounced character of the audit.
- If the certification cycle is interrupted where an unannounced audit was due, the next certification audit (=new initial audit) shall be conducted unannounced.



Expanding/changing the certification

- The applicant is required to notify the CB during the certification cycle, the senior management of the production site shall ensure that the certification body is informed in due time about any changes that may affect the production site's ability to conform to the certification requirements (e.g. recall, alert on products, changes in organisation and management, important modifications on the products and/or the production methods, changes in contact address and production sites, new address of the production site, etc.). The details shall be defined and agreed between both parties. As required in the IFS Food Audit Checklist (Part 2), requirement 1.2.6,
- Some specific situations require a notification to the certification body within three (3) working days.
- The CB will fill out the relevant extraordinary information form provided in the IFS Database in English and send it back to IFS Management GmbH within three (3) working days after receiving the information from the production site.
- The CB will Provide IFS Management GmbH a root cause analysis and progress report of the investigation within ten (10) working days (after submitting the form).
- It is the certification body's responsibility to investigate each situation and decide any action on the IFS Certification Status. The CB will carry out a re-evaluation in the event of changes significantly affecting the quality, construction, or specification of the certified product, or in case of changes to applicant's ownership, structure or management wherever relevant, or if other information depicts that the product no longer complies with the requirements of the certification scheme. The re-evaluation will be carried out according to the same pattern as the initial evaluation of the product.

Suspension and cancellation of the contract

An IFS Certificate will be withdrawn by the CB in the situations such as:

- When any information indicates that the products/processes may no longer comply with the requirements of the certification system, especially in case of non-conformity(ies) identified during the audit (main or follow-up audit) or when access is denied (apart from force majeure).
- In case the production stopped and moved to a new location.
- In case of cancellation of certification contract (between CB and the company).

An IFS Certificate will be suspended by the CB in the situations such as:

- In case of pending investigations by the CB, following a food safety incident or another event.
- For the certificates of all companies linked to a head office / central management when a non-conformity is issued during the audit of the head office / central management.
- In case of non-payment for the current audit by the audited company.
- If the suspension is lifted, the certification body shall make all necessary modifications to public information, authorisations for use of brands, etc., to ensure transparency and that the products/processes continue to be certified.
- If a decision to reduce the scope of certification is made as a condition of reinstatement, the certification body shall make all necessary modifications to formal certification documents, public information, authorisations for use of brands, etc., to ensure the reduced scope of certification is clearly communicated to the client.
- An applicant may request the certification of one or more products to be suspended in the event of not being able to comply with rules and regulations of the certification. A suspension of certification may be granted subject to agreement with CB, and during a suspension period, the supplier is to be regarded as not being certified with the suspended product(s).
- In the event of gross or repeated violations of rules and regulations or if the conditions are no longer complied with, the certification may be suspended by the CB. Prior to a suspension coming into force, the supplier is given a warning with a deadline set by the CB for submitting a statement and provide documentation that the non-conformity has been rectified. An audit report with registered non-conformances and a deadline for closing them serves as such a warning.



- If the non-conformities are not rectified and approved by the CB within the deadline, the products will be suspended in the IFS database and the applicant will be informed.
- If a non-conformity has been raised during the audit of the head office / central management, all audited production sites are also affected, and the certificates of these production sites shall be suspended. Only after a positive follow-up audit of the head office / central management, suspension of certificates of the production sites can be lifted. Depending on the type of non-conformity which has been issued in the head office / central management, a new audit of the production sites may also be necessary. Upon missing payment for audit or IFS registration and member fees, the CB will sanction the applicant with suspension according to the procedure described above.
- Following a suspension or cancellation of contract, all references to IFS used in marketing must come to a stop.

Using the IFS trademark and logo:

- The copyright of IFS Food and the registered trademark are fully owned by IFS Management GmbH.
- The IFS Logos shall be downloaded via the secured section of the IFS Database.
- Only the latest version of the IFS Logos shall be used. When used, the IFS Logo(s) shall comply with the form and colour of the scale drawing.
- If used in documents, black and white print is also permitted.
- Companies shall only use the logo of the standard(s) they are certified for.
- The IFS Food Logo can be used in print, electronic form and in films, if the form and format are fulfilled. The same conditions apply to the use of the logo as a stamp.
- Logo is only to be used for Business to business and not on end products for consumers/retail.
- Are only to be used on products under the certification scheme.
- The Company shall have read and understood the requirements for using IFS's LOGOs (IFS food v.8 Part 1. Point 6, IFS Broker v. 3.2-part 1 point 10) before signing the contract.

Confidentiality and impartiality

- Any information acquired during audit is treated with strict confidentiality.
- The CB guarantees that all employees whether own or external shall be competent and compliant to regulations in force at the time and that they will not be involved in the construction or production of products equal to the evaluated product in any way that may raise doubts about impartiality.

Cancelling audits

In the event of cancelling or moving audits with less than 1 weeks' notice, the CB reserves the right to charge a cancellation fee according to the following break-down:

- Less than 1 weeks' notice: 25 % of full price
- Less than 48 hours of notice: 50 % of full price
- On the audit day: 75 % of full price

Complaints and appeals

- Complaints and appeals are to be forwarded by e-mail: cert@balticcontrol.com. The CB will forward confirmation of receipt of complaints and appeals.
- Complaints and appeals will be reviewed in an impartial certification committee. The CB will forward the result of the review in the certification committee to the complainant/appellant.
- Retailers or any other interested parties (including whistle-blowers) have the right to forward any possible complaint or issue to IFS for investigation, as part of the Integrity Program. The respective information can be forwarded by e-mail via
 - complaintmanagement@ifs-certification.com
 - or via the complaint form on the IFS website.
- All complaints are treated confidentially.
- The IFS Integrity Program staff will neutrally evaluate all complaints. Appropriate steps will be taken to fully investigate a complaint,



Baltic controls General terms and condition

- The company by signing the Contract, agrees that they have read and understood the general terms and conditions for Baltic Control on the web site for the latest version.
[Terms & Conditions \(balticcontrol.com\)](https://balticcontrol.com/terms-conditions)

Annex 4 to the Framework Agreement
Issue date: January 2017
Version 3

INTEGRITY PROGRAM (IP)

As part of the IFS Integrity Program, IFS MANAGEMENT carries out a number of different measures to assure the quality of the IFS.

One focus of the IFS Integrity Program is the IFS Complaint Management as described in chapter I of this Annex.

A further focus is the performance of Integrity on-site Checks, Integrity Witness Audits and Integrity CB Office Audits conducted by auditors employed or commissioned by IFS MANAGEMENT as described in chapter II - IV of this Annex.

Additionally IFS MANAGEMENT analyses regularly administrative indicators for certification bodies as described in chapter V of this Annex.

Activities of the IFS Integrity Program may lead to sanctions for certification bodies and/ or auditors. The procedure of the sanction committee and the level of breaches which may be rated for certification bodies and/ or auditors are described in chapter VI of this Annex.

Based on breaches decided by the sanction committee or assessed by IFS Quality Assurance and confirmed by the chairman (lawyer) of the sanction committee penalties may be imposed on certification bodies and/ or auditors. The system of these penalties is described in chapter VIII of this Annex.

IFS MANAGEMENT will inform the public about the policy of IFS MANAGEMENT concerning these procedures through its Internet presence and corresponding documents. The certification bodies are responsible for their part to inform their customers.

Additionally regulatory authorities might use audit results based on IFS standards in the context of general information exchange and especially e.g. within their internal appraisal in case of crisis situations.

I. IFS Complaint Management

I. (1) General

IFS MANAGEMENT usually receives complaints about IFS audits from retailers. For this purpose retailers use the official IFS complaint form or send directly an e-mail to IFS Quality Assurance. In addition, IFS MANAGEMENT may also receive complaints or information from certification bodies, employees of IFS certified companies or other natural persons or legal entities which are treated in the same way during the complaint management as complaints from retailers. The following circumstances, without intending to be exhaustive, may be the cause of a complaint.

- a) A product that was produced at an IFS certified site does not comply with the relevant IFS requirements in terms of product safety, legal requirements which are associated with the IFS certification or customer requirements.
- b) The state of an IFS certified site does not correspond to the conditions described in the current audit report or the conditions that can be expected based on the overall result indicated on the current certificate.
- c) A significant discrepancy between the information provided in an existing IFS report or the information of an IFS certificate issued and the observations made during a supplier audit that was conducted after the IFS audit.
- d) Other information that indicates a suspected incorrect behavior by participants in the IFS certification scheme (IFS-certified company, auditor, certification body). This may include:
 - general information, e.g. discrepancies between the audit report and true events or adjustments of the production process that have implications for human health and/ or product safety and/ or customer requirements.
 - administrative shortcomings in connection with the IFS audit, e.g. errors on IFS certificates and/ or IFS reports that have not been uploaded correctly and/ or in full into the IFS portal.

I. (2) Procedure

a) The IFS offices receive a complaint, usually via IFS complaint form available on the IFS homepage or directly by email to IFS. Qualitative complaints are processed exclusively by IFS Quality Assurance Management in Berlin. Administrative complaints can be also processed by the local offices (Berlin, Paris, Milan).

b) Based on a comparison between the content of the complaint and the information available via the IFS portal it is decided whether or not the complaint is reasonable.

If it is not reasonable, the complainant will be contacted by IFS Quality Assurance Management and will be informed about the final result of the investigation and the decision to close the case.

In any case the complaint will be added to the internal complaint management database.

c) The content of a reasonable complaint is usually forwarded to the certification body with a request for internal investigation as well as a statement. The notification to the certification body may be omitted if IFS MANAGEMENT suspects that this step may affect the resolution of the complaint.

If the complaint relates to the quality of the content of IFS audits or IFS audit reports, IFS MANAGEMENT will ask 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 certificates and/ or IFS reports based on typing mistakes or in the IFS database based on an oversight or by accident, IFS MANAGEMENT will ask the certification body to provide a statement and rectify the problem within 1 week. The certification body may ask IFS MANAGEMENT providing an argumentation to extend this period. The statement must be issued in writing by email or post.

d) If no further information is required after getting the statement from certification body and the cause of the complaint seems to be solved, the complainant will be asked for agreement to close the case.

e) If the cause of the complaint cannot be conclusively verified or if the problem cannot be rectified once the statement has been checked, IFS MANAGEMENT will organize an Integrity on-site Check.

Note: Irrespective of the fact whether a statement has been requested from certification body or not IFS Management reserves the right to plan an Integrity on-site Check at the IFS certified company which is involved in the complaint issue.

Integrity on-site Checks are conducted at certified companies with independent auditors directly commissioned by IFS MANAGEMENT (see also detailed description in chapter II. about Integrity on-site Checks).

If a notification is sent to the certification body prior to the date of the Integrity on-site Check, the certification body has the possibility to attend the Integrity on-site Check as observer (see also description in chapter II. about notification prior to the date of Integrity on-site Checks).

f) The commissioned auditor submits the result of the Integrity on-site Check to IFS MANAGEMENT. IFS MANAGEMENT forwards the result to the certification body and to the respective company. The certification body is obligated to comment in written form on the result within 2 weeks after receipt of the result. If the certification body does not comment in time, IFS MANAGEMENT may continue with the procedure.

If a KO or Major non-conformity is issued in the Integrity on-site Check, which has to lead to a suspension of the certificate, the following measures have to be taken:

If an observer of the certification body has attended the Integrity on-site Check, the certification body is obliged to suspend the certificate within 3 working days after the last Integrity on-site Check day.

If the Integrity on-site Check was carried out without the prior notification of the certification body or without the attendance of an observer of the certification body, the certification body is also obliged to suspend the certificate within 3 working days after receipt of the result. The certificate can only be re-issued based on an on-site investigation audit carried out at the respective company by an auditor of the certification body and objective evidence has to be provided to IFS that the Major or KO non-conformity issue is no longer valid and that sustainable improvement by adequate measures has been reached. IFS MANAGEMENT has the right to finally decide about the acceptability of the proofs.

When the suspension of the certificate is performed by the certification body all users having access to the IFS database (retailers and certified companies) and having mentioned the respective company in their favorites list will get an email notification from the IFS audit portal that the current certificate has been suspended. In addition, the organization concerned shall remain in the database with a relevant note for a period of three months after certificate suspension and such note shall be visible to all database users.

g) Once all relevant information (result of the Integrity on-site Check, statement(s) of the certification body) has been received by IFS MANAGEMENT, the information shall be checked.

h) The complaint case is deemed closed when the complainant has received a final abstract of Integrity Program investigations from IFS MANAGEMENT. Findings from a closed case which can play a role for the interpretation and/ or the enhancement of the IFS may be provided to all certification bodies and retailers in an anonymized form.

i) If a breach for the certification body or the auditor of the last IFS audit is likely to have occurred, then all relevant information shall be made accessible to the members of the sanction committee in an anonymous way in a protected area of the database (see chapter VI of this Annex for sanction committee procedure).

II. Integrity on-site Checks

IFS MANAGEMENT may conduct so-called Integrity on-site Checks, which are performed at IFS certified companies.

IFS MANAGEMENT shall in general ensure that the auditor in charge of the Integrity on-site Check has the technical and language skills (or that an interpreter is present) to conduct the relevant Check. In special cases the Integrity on-site Check might be carried out in English; such special cases will be considered due to the topics to be checked and taking the company involved into consideration. In addition, IFS MANAGEMENT shall guarantee the economic and

personal independence of the auditor by ensuring prior to each Integrity on-site Check that the auditor has not had any economic relationship with the organization 2 years prior to the Integrity on-site Check, and that the auditor undertakes not to enter into an economic relationship with the organization for a period of 4 years following the Integrity on-site Check. Furthermore, the auditor shall sign a declaration of independence and confidentiality with IFS MANAGEMENT.

In general 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, that based on the issue to be investigated (e.g. received complaints; special topics to be clarified with the need to have certain company's representatives available) an announced Integrity on-site Check is necessary, IFS MANAGEMENT will apply an announcement procedure as follows:

Depending on the case and the topic to be clarified IFS MANAGEMENT may notify the certification body that is subject to the complaint 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. In case IFS MANAGEMENT decides to notify the certification body as well as the certified company, IFS MANAGEMENT has to notify both parties at the same time prior to the date of the Integrity on-site Check. The certification body has the possibility to attend the Integrity on-site Check as observer.

If the certification body gets notified by IFS MANAGEMENT about the planned Integrity on-site Check, it is prohibited for the certification body to contact the certified company howsoever (also not through third parties). In the case the certified company contacts the certification body it is prohibited to give information concerning the upcoming Integrity on-site Check. The breach of such interdiction constitutes a Level 2 breach (see chapter VI. (2) b) below).

Integrity on-site Checks can be organized based on a complaint (see detailed description of complaint management in chapter I of this Annex) or can be planned by IFS Quality Assurance on a risk based approach.

The risk based approach may take into account the following topics:

a) With respect to companies to be checked risk factors to be taken into account may be:

seasonal processes, production of "high risk products", scope of the audit with product exclusions, outsourcing activities, company's certification history, recalls, public notifications,

special current food safety issues, identified non-conformities and other IFS Management indicators, etc.

b) With respect to certification bodies and auditors risk factors to be taken into account may be:

Reduction of audit duration in comparison with standard calculation rules, observations concerning final audit score or rating of standard requirements in the report, performance of certification bodies and auditors (e.g. based on already received breaches, results of Integrity CB Office Audits or Integrity on-site Checks, hints from received complaints), etc.

III. Integrity Witness Audits

Integrity Witness Audits are IFS audits, whereby a regular IFS certification audit is attended by a witness auditor employed or commissioned by IFS MANAGEMENT. The aim is to examine the work of the auditor in an audit situation by observing the auditor's method and assessments of the IFS requirements. Such audits are performed on the basis of an IFS checklist. The result of the Integrity Witness Audit is primarily based on the comparison between the assessments of the auditor and of the observing witness auditor. IFS MANAGEMENT and certification body agree on the date and the company where the Integrity Witness Audit shall take place.

Integrity Witness Audits may be based on a complaint received by IFS Quality Assurance for an auditor or internal investigations of IFS Quality Assurance.

Additional Integrity Witness Audits may be conducted when a penalty has been imposed against an IFS auditor. The main focus of this Integrity Witness Audit is then to ensure that the problem which led to the penalty has been rectified. A positive outcome results in the confirmation of the auditor approval for IFS audits.

Information about these Integrity Witness Audits will be forwarded to the certification body responsible for this audit and to the respective accreditation body. Reports of positive Integrity Witness Audits may also be used as one of the evidences requested by standard schemes to maintain ongoing IFS auditor approval. In case of deviations notified by observing the auditor's method and assessments of the IFS requirements, the certification body has to define corrective actions. In case severe lacks are noticed in auditor's performance (e.g. not noticing that product safety is in danger, that a breach of law occurs or customer requirements are not fulfilled), IFS MANAGEMENT will send this case to the sanction committee for final decision about a breach for the auditor.

IV. Integrity CB Office Audits

Integrity CB Office Audits are audits that are conducted by an auditor employed or commissioned by IFS MANAGEMENT at the premises of the IFS accredited certification body in order to assess the quality of selected certification procedures based on a documentation review. Such audits are performed on the basis of a checklist containing the requirements of the Framework agreement, the present Addendum, possible future amendments of the Framework agreement as well as the relevant requirements of the IFS standards and IFS regulations in their current versions. Notification of Integrity CB Office Audits is generally provided by IFS MANAGEMENT in advance. If the CB asks for a time shifting for the Integrity CB Office Audit and if such second fixed date falls through due to CB's behavior, this behavior constitutes a breach of a material duty and may implicate to an extraordinary termination of the Framework Agreement. As soon as the Integrity CB Office Audit date is fixed IFS MANAGEMENT will inform the respective accreditation body to give them the chance to attend the audit as an observer. At the end of the Integrity CB Office Audit process IFS MANAGEMENT sends a copy of the finally reviewed corrective actions defined by the CB to the respective accreditation body.

Integrity CB Office Audits are in general carried out on a regular basis in order to check the procedures of certification bodies having a contract with IFS MANAGEMENT.

Furthermore Integrity CB Office Audits may be planned risk based after conduction of Integrity on-site Checks and/or Integrity Witness Audits and/ or based on the results of the administrative indicators for the respective certification body.

Additionally Integrity CB Office Audits may be planned as a result of a penalty being imposed for a CB taking place at the premises of the certification body that has been issued with the penalty. The main focus of these Integrity CB Office Audits is to ensure that the problem that led to the penalty has been rectified.

V. Analyses by IFS Quality Assurance Management (CB administrative indicators)

IFS Quality Assurance Management evaluates different administrative indicators for certification bodies every 6 months. Examples for administrative indicators are described below.

If a certification body does not comply with the IFS rules for one or several administrative indicator/s within a 6 months analysis, this will be assessed directly by IFS Quality Assurance Management with "negative points" for each not fulfilled administrative indicator.

CB administrative indicators:

Inadequate performance, which requires the implementation of improvement measures, such performance being linked to administrative errors by the certification body. The examples below sometimes refer to standard regulations but give - even if the standard rule still applies – certification bodies some space for exceptional cases in daily certification procedure business.

Administrative indicator 1

- Each 6 months IFS analyses for each CB the uploaded IFS reports into the database.

The target to be reached is:

≤ 10% without delay (8 weeks after the last audit date, referring to regulations in the respective IFS standards)

The “negative points” associated with this administrative indicator 1 are assessed as follows:

*> 10 % of the IFS audits and a minimum of 10 audits not uploaded in due time
→ 1 “negative point”*

*> 20 % of the IFS audits and a minimum of 10 audits not uploaded in due time
→ 2 “negative points”*

*> 30 % of the IFS audits and a minimum of 10 audits not uploaded in due time
→ 3 “negative points”*

The maximum amount of “negative points” to be reached in a 6 month evaluation time frame for administrative indicator 1 is 3 “negative points”.

Administrative indicator 2:

- Within 6 months the IFS office got administrative complaints for > 2 % of the IFS audits carried out by the certification body based on administrative complaint reasons (e.g. report not uploaded, date in diary function missing, new COID account for existing company, description of reason for blocking the certificate is not sufficient,.....).

The” negative points” associated with this administrative indicator 2 are assessed as follows:

*IFS office got administrative complaints for > 2 % of the IFS audits
→ 1 “negative point”*

*IFS office got administrative complaints for > 4 % of the IFS audits
→ 2 “negative points”*

*IFS office got administrative complaints for > 6 % of the IFS audits
→ 3 “negative points”*

The maximum amount of negative points to be reached in a 6 month evaluation time frame for administrative indicator 2 is 3 “negative points”.

Administrative indicator 3:

- For all IFS audit reports with Major- or KO-rating uploaded within a 6 months period an analysis is performed by IFS QAM. This analysis investigates if the suspension of the current certificate was carried out within a maximum 2 working days after the last audit day of the renewal audit (referring to regulations in the respective IFS standards).

The “negative points” associated with this administrative indicator 3 are assessed as follows:

*The suspension of the current certificate was not carried out within a maximum 2 working days after the last audit day of the renewal audit for 1 case
→ 1 “negative point”*

*The suspension of the current certificate was not carried out within a maximum 2 working days after the last audit day of the renewal audit for 2 cases
→ 2 “negative points”*

*The suspension of the current certificate was not carried out within a maximum 2 working days after the last audit day of the renewal audit for 3 cases
→ 3 “negative points”*

Further stepwise increasing of “negative points” as described above

The maximum amount of negative points to be reached in a 6 month evaluation time frame for administrative indicator 3 is 10 “negative points”.

Note:

All “negative points” assessed for certification bodies will be summarized. For all summarized “negative points” the period of limitation will be 2 years (see chapter VIII.(3))

VI. Sanction Committee

The sanction committee consists of the following pool of people: a chairman (a lawyer), representatives from the retail sector, representatives from industry as well as representatives from certification bodies (without voting rights). If necessary, further guest participants (e.g. experts from accreditation bodies) can support the committee in technical questions; however, they do not have any voting rights. Each case will be assessed by 4 committee members (case team). These include the committee chairman and 1 representative each from retail, industry and certification bodies. The selection of each respective case team is performed by IFS MANAGEMENT using a random, rotational selection process and taking into account language issues of the documents to be investigated. IFS MANAGEMENT checks and ensures that the selected members are not dependent, whether directly or indirectly, on the organizations involved in the case. This means that members are not selected for a special case if they, e.g. have been involved as stakeholders in the complaint connected with this case or if there might be any connection known by IFS MANAGEMENT with respect to the involved certification body, auditor or company. Anyhow, cases sent to the case team of the sanction committee are made anonymous; so the members of the sanction committee will only have to decide about the topic.

The case team is responsible for deciding whether or not a Level 1 or Level 2 breach has occurred and for determining the level of breach. The case is only decided by the chairman and the representatives from retail and industry, as the representative from the certification body merely provides technical input and has no voting rights. The case team convenes once IFS MANAGEMENT has collected all the information required for the assessment of a case and has found conclusive evidence that an auditor and/ or a certification body might be in breach of the contract requirements or the relevant requirements of the IFS.

The case team additionally decides how much “negative points” are associated with the determined level of the breach according to the following system:

A **Level 1 breach** can be assessed with **15 or 20 “negative points”** depending on the case.

A **Level 2 breach** can be assessed with **4 or 6 “negative points”** depending on the case.

If breaches for auditors are decided the case team will additionally define, if applicable, the penalty for the auditor listed for the respective breach in connection with the assessed points (see chapter VIII. (2), Table VIII.2)

Note:

- *All “negative points” assessed for certification bodies and auditors will be summarized. For all summarized “negative points” the period of limitation will be 2 years (see chapter VIII.(3))*
- *A case sent to the case team of the sanction committee may result in several breaches*
- *In case a further Level 2 breach for the same certification body regarding the same issue within the 2 years period of limitation will be assessed, the certification body will get the double amount of “negative points”.*
- *In case a further Level 2 breach for the same auditor regarding the same issue within the 2 years period of limitation will be assessed, this will lead independent of the issue to an assessment with 6 “negative points”.*

VI. (1) Decision by the sanction committee:

a) If a fault of a certification body or an auditor is likely to have occurred, all relevant information shall be made accessible to the members of the sanction committee in an anonymous way in a protected area of the database. The sanction committee strives to decide within 4 weeks after the data has been made available whether a breach has been committed and by whom (certification body and/or auditor), what level of breach (Level 1 or Level 2) has occurred and how much “negative points” are associated with this breach (in case of breaches for auditors also the penalty to be applied).

Once the sanction committee has informed IFS MANAGEMENT of its decision, IFS MANAGEMENT shall check whether the auditor or the certification body concerned have already got a certain amount of “negative points” and will inform the certification body and/ or the auditor about the status quo of “negative points”. Additionally based on the assessed level of breach and the connected “negative points” IFS MANAGEMENT will inform the certification body and/or the auditor about the imposed penalties. If a breach has been decided directly for an auditor IFS Management will inform the respective certification bodies about the obligations and/or penalties for the respective auditor and about the assessed “negative points” connected with this breach.

b) Level 3 breaches (based on IFS database analyses) can be assessed directly by IFS Quality Assurance Management and a Level 3 breach is also associated with “negative points” according to the following system:

A **Level 3 breach** will be assessed with **2 “negative points”**.

The assessment of IFS Quality Assurance Management concerning a Level 3 breach in connection with the associated “negative points” has always to be confirmed by the chairman (lawyer) of the sanction committee (for an assessed Level 3 breach not the complete sanction committee has to decide about the case, but a lawyer confirms in a summary procedure the assessment of IFS Quality Assurance Management).

Note:

All “negative points” assessed for certification bodies will be summarized. For all summarized “negative points” the period of limitation will be 2 years (see chapter VIII. (3))

VI. (2) Levels of Breaches

There are two levels of breaches which a certification body and/or its auditors might commit in the course of performing an IFS audit and certification. Additionally there is a third level of breach which a certification body might commit in the course of performing IFS audits and certification.

Topics, which are likely to result in a Level 1 or Level 2 breach, are forwarded to the sanction committee. The decision whether a Level 3 breach is likely is assessed by the IFS Quality Assurance Management and confirmed by a lawyer.

Note:

Depending on the case the decision of the sanction committee can lead to both – breach for auditor and breach for CB.

All examples mentioned below for the different levels of breaches are not exclusive, further topics can be also decided as breach Level 1-3 depending on the case.

VI. (2) a) Level 1

Non-acceptable performance which calls into question the overall competence of the certification body and/or the auditor: breach of contract requirements and/or IFS requirements which generally put product safety at risk and/or results in a breach of law. Relevant is only such law which is associated with the IFS certifications. A Level 1 breach can also be decided if there is objective evidence that CB and/or auditor committed a fraud.

Examples for Level 1 breaches for certification bodies

- The certification body fails to identify obvious errors in an audit report during a certification process (review process), which puts product safety at risk and/ or results in a breach of law.
- The certification body fails to comply with one or several penalties which have been imposed against it as a result of a previous Level 1 breach.
- The suspension of a current certificate based on KO or Major rating at an IFS audit due to food safety or legal issues was not carried out within a maximum 5 working days after the audit date.
- An audit was conducted by an auditor/ audit team not having the product scope/s and/ or technical scope/s approval required to perform the audit or not having the approval for the respective IFS standard, this audit performance put product safety at risk and/ or resulted in a breach of law.
- The certification body systematically informs in case of unannounced audits the respective company/ies before the audit date about the exact audit date or about a certain audit date timeframe, which is less than the timeframe defined for unannounced audits in respective IFS regulations.

Examples for Level 1 breaches for auditors

- Severe error of an auditor when auditing a company, which puts product safety at risk and/ or leads to a breach of law.
- The auditor provides incorrect information/ ratings in the audit report, which puts product safety at risk and/or results in a breach of law.
- An audit was conducted by an auditor not having a current IFS approval at the time of the audit and also not being in the last step of the “IFS auditor in progress” process. The evaluation of the not approved auditor for the respective IFS standard put product safety at risk and/ or led to a breach of law.
- The auditor mentioned in the audit report dates and times, but it is evident that he/ she was not at this site at the mentioned dates and times. There is objective evidence available that the wrong dates and times were notified in the audit report on purpose and that this is a fraud issue.

- The auditor mentioned in the scope of the audit products, which demonstrably were not produced at the time of the audit. This incorrect audit put product safety at risk and/or led to a breach of law.
- The auditor systematically informs in case of unannounced audits the respective company/ies before the audit date about the exact audit date or about a certain audit date timeframe, which is less than the time frame defined for unannounced audits in respective IFS regulations.

All examples mentioned above are not exclusive, further topics which generally put product safety at risk and/or result in a breach of law or are based on a fraud issue can be also decided by the sanction committee as a Level 1 breach and can be assessed with 15 or 20 “negative points” depending on the case.

To reach transparency about the decisions of the sanction committee and the related assessed “negative points” IFS Management GmbH will provide in a restricted area of the IFS database (accessible for all certification bodies having a contract with IFS and for all sanction committee members) every 3 months an updated list of all decisions of the sanction committee with an anonymous description of the case, the relevant breach decision and the assessed “negative points”.

VI. (2) b) Level 2

Very poor performance of the certification body and/or an auditor, requiring immediate and radical improvement measures: Incorrect behavior during an audit and/or breach of IFS rules in view of the required procedures of the certification process, which does not generally put product safety at risk and/or does not result in a breach of law. Relevant is only such law which is associated with the IFS certifications.

Examples for Level 2 breaches for certification bodies

- The rules for audit duration calculation of the relevant IFS Standard and, if applicable, the respective Doctrine were not respected.
- The audit time was decreased by CB and even when getting the information back from the respective auditor that audit time was not sufficient to perform the audit, CB did not take consequences.
- One or several auditors working for the certification body were not monitored by an on-site witness audit in accordance with IFS regulations on a regular basis and/or there is/ are no documented witness report/s available.

- One or several auditors working for the certification body were not trained in accordance with IFS regulations on a regular basis and/or there is/are no document(s) of training attendance and/or content available.
- The certification body fails to identify obvious errors in an audit report during a certification process which does not put product safety at risk.
- An audit was conducted by an auditor/ audit team not having the product scope/s and/ or technical scope/s approval required to perform the audit, but this audit performance did not put product safety at risk.
- An audit was conducted by an auditor/ audit team not having the necessary language approval for the respective country (country according to the list provided with the Doctrine of IFS a translator is not allowed to be used for).
- An audit was conducted by an auditor/ audit team not having the necessary language approval for the respective country (country according to the Doctrine of IFS a translator is allowed), no translator was additionally used.
- The certification body did not check the competence of an auditor based on his CV and respective supporting documents (referring to obligations of CBs described in ISO/EC 17065) before audit commitment.
- The certification body contacts the certified company howsoever after having been notified by IFS MANAGEMENT about a planned Integrity on-site Check and before the beginning of such a check.
- In an individual case the certification body informs a company in case of an unannounced audit before the audit date about the exact audit date or about a certain audit date timeframe, which is less than the time frame defined for unannounced audits in respective IFS regulations.
- Penalties imposed as a result of a Level 2 breach have not been complied with.
- The certification body did not participate at the yearly certification body conference.

Examples for Level 2 breaches for auditors

- The auditor provides incorrect information in the audit report not relating to product safety.
- An auditor conducted an audit as lead auditor without any further co-auditor (or expert if this might be allowed according to current IFS rules) and did not have the scope approval for the product scope/s of the company. Additionally even if this auditor would

apply for the missing scope/s approval at IFS office he/ she would not get the approval due to missing work or audit experience. This performance of the audit as not approved IFS auditor for the respective scope/s did not put product safety at risk and/or led to a breach of law.

- An audit was conducted by an auditor (alone or in an audit team) not having the product scope/s and/or technical scope/s approval required to perform the audit. The missing product scope/s or technology scope/s is/are required to guarantee a qualitative and comprehensive audit of the company, but this audit performance did not put product safety at risk.
- An audit was conducted by an auditor not having a current IFS approval for a certain standard at the time of the audit, but the auditor is already an approved IFS auditor for at least one IFS standard. This performance of the audit as not approved IFS auditor for the respective IFS standard did not put product safety at risk.
- Indications in the CV of an auditor are demonstrably not correct.
- The auditor mentioned in the audit report audit durations at certain audit days, but it is evident that these audit durations are wrong. There is objective evidence available, that the wrong audit durations were notified in the audit report on purpose and not just as a typing mistake.
- In an individual case the auditor informs a company in case of an unannounced audit before the audit date about the exact audit date or about a certain audit date timeframe, which is less than the time frame defined for unannounced audits in respective IFS regulations.
- An auditor is completely missing the requested regular training in accordance with IFS regulations and according to the rules defined in the IFS standards.

All examples mentioned above are not exclusive, further topics which show very poor performance of the certification body and/or an auditor requiring immediate and radical improvement measures can be also decided by the sanction committee as a Level 2 breach and can be assessed with 4 or 6 “negative points” depending on the case.

To reach transparency about the decisions of the sanction committee and the related assessed negative points IFS Management GmbH will provide in a restricted area of the IFS database (accessible for all certification bodies having a contract with IFS and for all sanction committee members) every 3 months an updated list of all decisions of the sanction committee with an anonymous description of the case, the relevant breach decision and the assessed “negative points”.

VI. (2) c) Level 3

Other breaches of the IFS, the IFS audit system and other IFS audit requirements.

The topics mentioned below are based on database investigations by IFS office. Further administrative issues might be noticed for CBs and might also be sent by IFS Quality Assurance Management to the chairman (lawyer) of the sanction committee with a request for confirmation concerning an assessed Level 3 breach.

In each case the topic is forwarded to the certification body with a request for internal investigation as well as a statement. If the statement is sufficient, IFS Quality Assurance Management shall ascertain whether the existing problem is rectified or whether a breach by the certification body is likely to have occurred.

The decision whether a Level 3 breach is likely is assessed by the IFS Quality Assurance Management but has to be confirmed by the chairman (lawyer) of the sanction committee.

Examples for Level 3 breaches for certification bodies

- The auditor conducts more consecutive audits at the same organization than permitted under current IFS rules - this fact is evident by database analysis - and the certification body's statement is not able to clarify the case.
- In case of complaint handling a certification body does not send any statement to the IFS offices even after 2 reminder emails. For administrative complaints this means a certification body shows no reaction even after 2 reminder emails within 1 month after sending the first email with the notification of an administrative complaint. For qualitative complaints this means a certification body shows no reaction even after 2 reminder emails within 2 months after sending the first email with the notification of a qualitative complaint.
- Penalties imposed as a result of a Level 3 breach are not complied with.

VII. Definitions

IFS: All standards marketed by IFS MANAGEMENT under the brand of "International Featured Standards".

VIII. Penalties

VIII. (1) Penalties for certification bodies:

In any case, if an administrative indicator has not been fulfilled or a breach has been decided by the sanction committee or assessed by IFS Quality Assurance Management and confirmed by the chairman (lawyer) of the sanction committee for a certification body, the certification body has to organize an internal training and to implement adequate corrective actions. The respective certification body is obliged to send significant evidences for the implemented corrective actions and for the trainings to IFS Quality Assurance within 3 weeks from receipt of the letter with the decision about a breach.

Additionally monetary penalties will be imposed on the certification body based on the level of breach decided by the sanction committee or assessed by IFS Quality Assurance Management and confirmed by the chairman (lawyer) of the sanction committee or in case of consecutively not respecting administrative indicators (see Table VIII.1 below).

Table VIII.1

Level of breach and connected "negative points"	Penalty for certification body <i>(additional costs concerning Integrity on-site Checks, Integrity CB Office Audits, Integrity Witness Audits or sanction committee- / chairman of the sanction committee-costs will be charged, if they have been occurred)</i>
Level 3 breach (2 "negative points")	500 Euro
Level 2 breach (4 "negative points")	1000 Euro
Level 2 breach (6 "negative points")	2000 Euro
Level 1 beach (15 "negative points")	4000 Euro
Level 1 breach (20 "negative points")	8000 Euro
<p><i>In case a certification body does not comply with the IFS rules for the same administrative indicator(s) within 2 consecutive 6 months analyses, additional to the assessed "negative point(s)" a monetary penalty of 1000 Euro for each not consecutively respected administrative indicator is imposed.</i></p> <p><i>In case a certification body does not comply with the IFS rules for the same administrative indicator(s) within 4 consecutive 6 months analyses a monetary penalty of 10.000 Euro is imposed.</i></p>	

All “negative points” assessed for certification bodies will be summarized and will lead to the following consequence, if the status quo below is reached within 2 years:

“negative points” reached	Consequence for certification body
≥ 30	<p>3 months suspension</p> <p>Extraordinary Integrity CB Office Audit by IFS to be planned at the end of suspension; lifting of suspension only in case of positive result of the Integrity CB Office Audit.</p> <p>If the re-approval CB Office Audit by IFS was passed successfully, all summarized “negative points” will be deleted.</p>
<p><i>If a certification body gets again a Level 1 breach within 2 years after the first suspension the termination of the contract will be announced by IFS MANAGEMENT.</i></p>	

VIII. (2) Penalties for auditors:

Penalties for auditors will not be monetary penalties but demands to take part at internal trainings at the respective certification body responsible for the involved audit or to take part at courses organized by IFS or to get an Integrity Witness Audit (see Table VIII.2 below).

Note:

- ***Breaches and “negative points” for auditors are individual-related and are independent from the certification body the auditor is connected to.***
- ***Within the period of limitation of 2 years all “negative points” assessed for an auditor will be summarized and if within 2 years in summary 20 “negative points” are reached, then this will lead to the same consequences as described below when reaching 20 “negative points” due to a Level 1 breach (suspension for 3 months).***

Table VIII.2

Level of breach and connected “negative points”	Obligations and/or penalties for the auditor
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Level 2 breach (4 “negative points”)	Attendance at an internal CB training within 3 weeks from receipt of the letter with the decision about a breach.
Level 2 breach (6 “negative points”)	<p>Attendance at an internal CB training within 3 weeks from receipt of the letter with the decision about a breach.</p> <p>Demand to fulfill <u>one of the following obligations</u> (depending on the topic, which led to the assessment of this Level 2 breach); the obligation will be decided by the sanction committee:</p> <ul style="list-style-type: none"> • To take part in an IFS training course (the kind of course to be defined by the sanction committee based on the topic leading to the breach) within 1 year after the decision date of the sanction committee about the breach. • To pass an Integrity Witness Audit to be planned within 1 year after the decision date of the sanction committee about the breach (procedure as described for Integrity Witness Audits in chapter III of this Annex).
Level 1 breach (15 “negative points”)	<p>Attendance at an internal CB training within 3 weeks from receipt of the letter with the decision about a breach.</p> <p>Demand to fulfill <u>both of the following obligations</u>:</p> <ul style="list-style-type: none"> • To take part in an IFS training course (the kind of course to be defined by the sanction committee based on the topic leading to the breach) within 1 year after the decision date of the sanction committee about the breach. • To pass an Integrity Witness Audit to be planned within next 3 months after the decision date of the sanction committee about the breach (procedure as described for Integrity Witness Audits in chapter III of this Annex).
Level 1 breach (20 “negative points”)	<p>Suspension for 3 months</p> <p>Demand to take part in an IFS training course (kind of course to be defined by the sanction committee based on the topic leading to the breach) within this time frame of 3 months</p> <p>Integrity Witness Audit has to be planned and to be passed for one of the first 3 IFS audits of this auditor after suspension (procedure as described for Integrity Witness Audits in chapter III of this Annex).</p>

If an auditor gets a Level 1 breach within 2 years after his/ her first suspension the termination of his approval as IFS auditor will be announced and he will have to pass again the written and oral examination as for initial approval.

If an internal training has to be carried out for the auditor the respective certification body responsible for the involved audit has to send evidences for the trainings to IFS Quality Assurance within 3 weeks from receipt of the letter with the decision about a breach.

The costs concerning Integrity on-site Checks, Integrity Witness Audits, training courses organized by IFS the auditor is obliged to take part in or sanction committee costs, if they have been occurred for the case or will be necessary due to the penalties, have to be paid by the respective certification body responsible for the involved audit.

VIII. (3) Period of limitation

The period of limitation for previously committed breaches and the assessed “negative points” is 2 years for certification bodies.

Example 1:

Breach assessed 10.05.2017

Period of limitation (2 years) for this breach starts 10.05.2017

No further breach assessed until 10.05.2019 → breach and linked “negative points” lapse

Example 2:

Breach assessed 10.05.2017

Period of limitation (2 years) for this breach starts 10.05.2017

Further breach assessed on 15.10.2017 → 2 breaches and the linked “negative points” in summary

Further breach assessed on 06.07.2018 → 3 breaches and the linked “negative points” in summary

No further breach assessed until 10.05.2019 → 1st breach and linked “negative points” lapse, but 2nd and 3rd breach and the linked “negative points” in summary remain.

VIII. (4) Obligations of certification bodies (CBs) in connection with penalties

In the case the sanction committee (or IFS Quality Assurance Management for Level 3 breaches with confirmation by the chairman of the sanction committee) decides that a breach has been committed, the certification body is obliged to compensate IFS MANAGEMENT for the following costs, if they have been occurred:

- costs of the Integrity on-site Checks, Integrity CB Office Audits or Integrity Witness Audits which have been conducted within the Integrity Program,
- costs of the sanction committee or the chairman (lawyer) of the sanction committee related to the determined breach,
- costs for the sanctions following the decision of the breach (e.g. additional Integrity CB Office Audit to confirm CB approval, Integrity Witness Audit to confirm auditor competence, respective training course organized by IFS which was demanded by IP)

This compensation of the costs is obligatory no matter which of the penalties described in chapter VIII. of this Annex is imposed on the certification body and/or its auditors. IFS MANAGEMENT informs the certification body about the breach, the interrelated status quo of “negative points” for the certification body and/or the auditor and about the kind of costs. The costs are due as soon as IFS MANAGEMENT invoices the costs.

Additionally if a Level 1 or Level 2 breach has been decided for an auditor a review of the performed audits by this auditor has to be carried out by the respective certification bodies, to assess if further mistakes have been made for already performed audits. This has to be carried out for all audits with a valid IFS-certificate.

IFS MANAGEMENT will inform the respective accreditation body if a breach for a certification body and/or for an auditor has been decided.

In case of a suspension of the certification body the whole certification process has to be stopped and the certification body is no longer allowed to issue any IFS certificates. In particular, the certification body cannot issue IFS certificates from the date of suspension, even for the audits which have been already performed but which are still in the certification process (review of the report, certification decision, etc.).

So that means, from the time of suspension:

Sites with audits pending

The CB is not permitted to schedule or perform audits whilst suspended.

Sites with audits currently planned during the suspension period have to be contacted by the CB. Sites should make arrangements with an alternative approved and accredited certification body for the scheme.

Sites with certificates pending

The CB is not permitted to issue certificates whilst suspended; no certification decision shall be made.

Existing certified sites

A review has to be done of the processes operated by the CB to ensure the validity of currently issued certificates. The content and extent of the review shall be based on the reason for the suspension.

In case of a suspension of the certification body an extraordinary Integrity CB Office Audit with a positive result will be necessary (see Chapter VIII.(1)). By lifting the suspension all “negative points” previously assessed for this certification body will be deleted (independent of the period of limitation as mentioned above).

IX. General obligations of the certification body

The certification body undertakes to inform auditors working for their certification body about the existing Integrity Program and the penalties associated with it. Auditors have to sign individually for each certification body they are working for that they accept all procedures described in this document. Such information shall be provided in writing and presented as evidence to IFS MANAGEMENT on request.

The content of this document shall especially explain that each auditor is aware that in case of not respecting the rules of IFS standards and related IFS regulations IFS MANAGEMENT has the right to forward the respective case to the sanction committee for decision. The sanction committee might decide breaches and this might be connected with “negative points” directly for auditors and in this case auditors might be obliged to take part in IFS training courses, might be obliged to get an Integrity Witness Audit or might be suspended as IFS auditor for a certain time.

Any breaches and the interrelated “negative points” will be recorded for each auditor in order to have an overview of the “history” of the auditor. Breaches and “negative points” for auditors are individual-related and are independent from the certification body the auditor is connected to. Auditors are obliged to inform the certification body they are working for about their breaches and interrelated “negative points”.

If an auditor is suspended for 3 months based on the above described procedures, all certification bodies the auditor is contracted to are obliged to analyse the audits conducted by this auditor concerning the validity of the certificates.

Certification bodies shall have signed versions of their respective auditor’s confirmation documents concerning the Integrity Program available on request.

The certification body shall forward a copy of the Integrity witness report to auditors having been observed in an Integrity Witness Audit.

Old and new customers shall be informed about the content of the Integrity Program and the possible impact on their companies in writing by signing the contracts for IFS certification. In these contracts especially the topics that unannounced or announced Integrity on-site Checks might be carried out at IFS certified companies and that Integrity Witness Audits might be carried out during a regular IFS audit have to be explained.

The certification body undertakes to provide IFS MANAGEMENT a contact name for the Integrity Program. This person shall be responsible for the communication with IFS MANAGEMENT in connection with the complaint management and penalty management. The certification body undertakes to notify IFS MANAGEMENT in writing and without delay of any personnel changes in this regard.