

Description of the TÜV NORD CERT Certification Procedure for International Featured Standards (IFS)



Contents

1	CERTIFICATION PROCEDURE	2
1.1	Assessment preparation	2
1.2	Certification Assessment	2
1.3	Conducting of Assessments using Information and Communication Technology (ICT)	3
1.4	Issue of the certificate	4
2	ASSESSMENTS FOR SPECIFIC REASON	4
3	TAKEOVER OF CERTIFICATIONS FROM OTHER CERTIFICATION BODIES	4
4	CERTIFICATION OF COMPANIES WITH SEVERAL SITES (MULTI-SITE CERTIFICATION)	5
5	MANAGEMENT OF DEVIATIONS AND NONCONFORMITIES	5
6	INTEGRITY PROGRAM	5
7	INFORMATION ON DATA PRIVACY PROTECTION	6

Do you have any questions about the Description of the Certification Procedure for IFS? We will be pleased to help.

Please contact us via mail to info.tncert@tuev-nord.de or by telephone 0800 245 74 57 (Free-phone from within Germany) or +49 511 9986-1222 from abroad.

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The rules and performance description regarding IFS certification form an integral part of the offer. They are supplementary to the General Conditions for Certification of Food and Feed Safety Systems

The IFS Standards and the IFS Food Doctrine are nominative documents for the certification process and available on www.ifs-certification.com

The IFS series of standards currently comprises:

- IFS Food Version 7
- IFS Logistics Version 2.3
- IFS Broker Version 3.1
- IFS Wholesale / Cash & Carry Version 2
- IFS HPC Version 2

1 CERTIFICATION PROCEDURE

1.1 Assessment preparation

In order that the certification Assessment¹ can be prepared and planned, the company shall provide to the auditor at least the following documents:

- Extract from a commercial register (or comparable evidence, if applicable),
- Overview of management system documentation (e.g.: Table of contents or presentation of the structure of the management system documentation, process map),
- management review (e.g.: cover sheet or table of contents with date and signature),
- current annual planning of internal audits and evidence of audit report(s) (e.g.: cover sheet with date and signature),
- Company organisation chart or other documents which show the organisational structure.
- HACCP Plans inclusive the determined CCPs/CPs
- Documentation of Quality Management
- Summary of Products / Product groups

If considered necessary, the auditor can request further documents.

The detailed document review can be performed before the certification assessment but it will not influence the assessment time on site. Any deviations or non-conformities will be included in the overall assessment evaluation, i.e. any deviations and non-conformities that are identified must be counted as such in the certification assessment; it is not possible to carry out corrections before the assessment.

1.2 Certification Assessment

A detailed disribtion of the certification assessment is determined in the IFS Standard.

A essential part of the Assessment is the interview of individual employees at their workstations and evaluation of applicable documents, records, orders, standards, guidelines etc..

The task of the company during the assessment is to demonstrate the practical application of its documented procedures. For this purpose, all product groups and processes which are to be included in the scope of the certification must be in the course of production or running at the time of the assessment. If this is not the case, it will be necessary to exclude the product groups/processes from the Certificate and undertake an

¹ Assessment is used synonymously for Audit throughout the document

additional assessment of these product groups/processes, which will involve additional time and therefore additional costs for the client. Following the end of the assessment, the client is informed of the assessment findings in a final meeting. The auditor can submit an estimate of the assessment result, but cannot state the result in final form. The findings of the assessment are documented in a report; the non-conformities are documented in an action plan. An assessment is a procedure based on the principle of random sampling. Therefore non-conformities or weaknesses may still exist but were not subject of the final meeting or in the assessment report.

The assessment can cover only one operating/production site.

Further rules and arrangements regarding the certification procedure for announced or unannounced re-certification assessments or follow-up and extension assessments are described in the IFS Food Standard. These rules and arrangements are mandatory. Companies who wants to participate the unannounced assessment procedure have to inform the Certification Body at least 20 weeks before the anniversary day of the certification assessment. For the IFS Food and Logistics standard, at least 1 unannounced assessment in a 3 year cycle is mandatory.

1.3 Conducting of Assessments using Information and Communication Technology (ICT)

The standard method for conducting audits is a via full on-site audit. The company can now apply for an audit as split process utilizing ICT, but this is only possible for recertification assessments. This is applicable for all IFS standards except IFS Broker which has a separate specific protocol.

The assessed company should clarify in advance with its customers whether they accept a certificated based on the IFS split assessment.

The use of ICT during the assessment process shall only be permitted with the written agreement of both parties involved. The certification body/auditor and the site under assessment shall have appropriate information technology and environment in place. The assessed company shall have all relevant documents available on line.

The TÜV NORD CERT conduct an initial risk assessment prior to the assessment to ensure that the realization of such is feasible.

The ICT audit approach consist of 2 parts:

1. On-site part which has to be performed first: focusing on the production, GMPs, product development, laboratory, maintenance, implementation and verification of the product safety and quality management system, CCPs monitoring, interview and taking samples for futher cross-checking.
2. Remote part: Documentation and record review including cross-checking of relating documents.

The audit is finalized when both parts are finished.

The timeline for completion of the assessmenr (remote + on-site) shall not exceeded 14 days. On site and remote part have to be completed within the general assessment time window in order to keep the certification cycle.

The ICT will be tested with the company before the planned remote audit to confirm that the ICT is appropriate, suitable and effective.

Where the ICT utilized is not functioning properly or preventing/ hampering a robust audit, the audit will be aborted.

The calculation of assessment time: 2 additional hours will be added to cover the time needed for the split assessment approach.

The scoring of the checklist requirements as well as the corrections and corrective actions, follows with the requirements of the respective IFS standard.

The certification cycle: the date of the renewal assessment will be calculated from the last day of the original initial assessment.

1.4 Issue of the certificate

The certificate is issued after a successful technical review and a positive certification decision by the certification body.

Therefore correction of all major and KO non-conformities have been confirmed in a follow-up or certification assessment. Corrections including suitable evidences of implementation and corrective actions are present and have been verified and accepted by the auditor.

The certificate is valid for 1 (one) year. The term of validity is calculated from the day of the first assessment plus 8 weeks.

The assessment report, action plan and the certificate are registered in the IFS Audit-Portal (www.IFS-certification.com). IFS charges 300 € ² per site for registration in the IFS Audit-Portal. This amount is invoiced by TÜV NORD CERT and then passed on to IFS Management GmbH. Assessment report and Certificate are available to the company as downloads from the IFS Audit-Portal.

2 ASSESSMENTS FOR SPECIFIC REASON

If the client becomes aware that legal action could be taken with regard to the safety or legality of a product, he shall inform TÜV NORD CERT immediately. TÜV NORD CERT will instigate suitable steps in order to assess the situation and its impact on the certification, and will take appropriate action.

If the TÜV NORD CERT gains knowledge of incidents which have an impact on the safety or legality of the product, the certification body is entitled to perform announced or unannounced assessments at any time, and, following assessment of the situation and its effects, to withdraw the certificate(s).

Further reason for notifying TÜV NORD CERT are defined in the IFS Standard Part 1 chapter 2.1.c. The client shall inform TÜV NORD CERT within 3 working days after the incident took place and provides documents for further evaluation within 7 working days. TÜV NORD CERT will take corresponding steps for assessment of the situation and its impact on the certification, this might be an extraordinary assessment. The information regarding the product recall shall be sent to the following email address:

TNCert-Food-Recall@tuev-nord.de.

3 TAKEOVER OF CERTIFICATIONS FROM OTHER CERTIFICATION BODIES

Generally speaking, only certificates from accredited certification bodies can be taken over. Organisations with certificates that were issued by non-accredited certification bodies are treated as new clients.

For implementation of the takeover, the client presents the last assessment report, action plan and the certificate, as well as the information of the last unannounced audit on site to the auditor at least 14 days prior to the assessment. Transfer can only take place within the framework of a re- assessment. Before the re-assessment, the client shall ensure that TÜV NORD CERT is selected in the IFS Audit-Portal as the responsible certification body.

² This amount is continuously updated to correspond to the current fees of IFS Management

4 CERTIFICATION OF COMPANIES WITH SEVERAL SITES (MULTI-SITE CERTIFICATION)

The rules regarding multisite certification are described in the relevant standard.

Multisite certification where a site sampling procedure is used are only possible for IFS Logistics and IFS Wholesale / Cash & Carry. The rules regarding the sampling procedure as described in the relevant standard apply.

5 MANAGEMENT OF DEVIATIONS AND NONCONFORMITIES

Deviations and nonconformities are documented in an action plan. The client receives the action plan and preliminary audit report within 14 days of the assessment in order to lay down corrective actions.

The client sends the action plan with correction and corrective actions to the Auditor within 14 days after receipt of the provisional assessment report. Within 28 days after receipt of the provisional assessment report the client has to provide evidence about the implemented corrections. If the action plan is not presented within the 28 days or if the corrections including evidences of implementation or corrective actions are not sufficient, the assessment is closed as "failed". The Auditor generates the final report after a positive assessment of the action plan

If one or several major or KO nonconformities are assigned in the assessment, the certificates must be blocked in the IFS Portal within 48 hours. All users with access to the IFS Portal which the client has listed in his favourites are informed by the IFS Portal regarding the suspension of the current certificate. The information is sent by email and includes an explanation of the non-conformities that have been identified.

If one major nonconformity/nonconformities are present, a follow-up assessment is necessary. The rules regarding the follow-up assessment are described in the IFS standards. A follow-up assessment must always be carried out on site – i.e. at the client's premises. The Assessment Team Leader makes the decision regarding the scope of the follow-up assessment; however, only the requirements of the standard which are affected by the nonconformity are verified. Follow-up assessments will be charged according to the assessment duration and based on the daily rates plus travel costs stated in the offer.

In the case of > 1 Major and / or K.O. evaluation or ≤ 75% result, in accordance with IFS rules, a completely new assessment must be carried out. If the assessment is broken off (aborted), this must be stated in the report. However, continuation of the assessment is always recommended.

6 INTEGRITY PROGRAM

The company states to agree with and to be aware of the "Integrity Program" of the owners of the IFS certification system. The Integrity Program aims a number of measures to ensure a maximum quality and reliability of the IFS certification system. The resources which can be used are quality assurance activities, complaints treatment system, assessments in the company by the owners of the IFS certification system.

After the auditing of the company by TÜV NORD CERT, IFS Management is entitled to carry out so-called Integrity on-site Checks or Integrity Witness Audits at the company at any time in order to disclose and foreclose misuses and breaches of IFS or can be planned by IFS Quality Assurance on a risk based approach.

In general, IFS Management will perform unannounced Integrity on-site Checks. If IFS Management decides that based on the issue to be investigated (e.g. complaints, special topics to be clarified with the need to have certain company's representative available) an announced Integrity on-site Check is necessary IFS

Management will notify the certified company and in certain circumstances the Certification Body 0 – 48 hours prior to the date of the Integrity on-site Check.

The company is obliged to provide IFS Management and the auditor assigned by IFS Management access to his premises. The company is furthermore obliged to support the auditor in the realisation of the control assessment wherever he can.

IFS Integrity Witness audits are IFS audits, whereby a regular IFS certification assessment is attended by a witness auditor employed or commissioned by IFS Management. The aim is to examine the work of the auditor in an assessment situation by observing the auditor's method and assessments of the IFS requirements. Integrity Witness Audits may be based on a complaint received by IFS Quality Assurance for an auditor or internal investigations of IFS Quality Assurance.

More information about the integrity program on www.ifs-certification.com.

7 INFORMATION ON DATA PRIVACY PROTECTION

Employees of the certified companies

IFS Management GmbH informs that data about you (name, contact data, position within your company) will be stored at IFS Management GmbH ("Data"). This is done in conjunction with the assessment against an IFS standard of your company. The Data is included in the assessment report that IFS Management GmbH receives from your company, the auditor or the certification body. The Data may also be displayed in the IFS Audit-Portal under www.ifs-certification.com. There the Data can be viewed by retailers that have been registered for using the IFS Audit-Portal.

(1) Name and contact details of the responsible company:

IFS Management GmbH, am Weidendamm 1A, 10117 Berlin, Phone +49 (0) 3072625074, Fax: +49 (0) 030726 250 79,

dataprotection@ifs-certification.com

www.ifs-certification.com

(2) Contact data of the data protection officer

Nils Gustke, Gesellschaft für Personaldienstleistungen mbH Pestalozzistraße 27, 34119 Kassel, Phone +49 (0) 561 7896868, Fax: +49 (0) 0561 7896861, gustke@gfp24.de, www.gfp24.de

(3) Processing purposes

IFS Management GmbH stores the data for internal administrative and own business purposes, The Data, together with the assessment reports, documents that your company has been assessed against a specific assessment of an IFS standard.

(4) Legal basis

The processing of the Data is permitted in accordance with article 6 (1) (f) GDPR. The processing of the Data is necessary so that IFS Management GmbH can maintain its legitimate interests (internal administration and own business purposes)

(5) Data origin

You have provided the Data from your company to an auditor in connection with the assessment of your company, IFS Management GmbH receives the audit report from your company, the auditor or TÜV NORD CERT

(6) Duration of storage

The Data is stored by IFS Management GmbH as long as Data on your company are available in the IFS portal at www.ifs-certification.com or as long as TÜV NORD CERT which has certifies your company or the auditor who has assessed your company are still active for IFS Management GmbH. IFS Management GmbH also stores the data if it is obliged to store the data due to statutory retention periods. The statutory retention period are six years according the section 257 German Commercial Code (HGB) and ten years according to section 147 German Tax Code (AO).

(7) Rights of the person concerned

If the legal requirements are met, you are entitled to the following rights under articles 15 to 22 GDPR: rights to information, rectification, erasure, restriction of processing, object and data portability

(8) Right of appeal to the supervisory authority

You have the right to complain to the supervisory authority in accordance with article 77 GDPR if you consider that the processing of your Data is not lawful, The address of the supervisory authority responsible for the IFS Management GmbH is:

Berliner Beauftragte für Datenschutz und Informationsfreiheit (Commissioner for data protection and freedom of information), Friedrichstraße 219, 10969 Berlin