

General information regarding elements of the certification process is described below. A degree of flexibility and options in the certification process are available so please feel free to contact us to discuss how we can better serve your organization.

### **SAI Global Full Service Team**

Upon selection of SAI Global as your Registrar and submission of the signed Application for Certification, SAI Global will assign your dedicated service team.

Your service team will be selected to suit your specific industry and will consist of an Account Manager, a Scheduling Coordinator, a Lead Auditor and other team members as needed to support your certification. The roles of each member of your service team are as follows: your Account Manager will manage the business relationship, including contract negotiation and changes to your certification requirements; your Scheduling Coordinator will manage the back office processes including scheduling and customer service related to certificates and invoicing; your Lead Auditor will manage the delivery relationship. As your primary contact with SAI Global, the Scheduling Coordinator assigned ensures coordination of all audit-related activities for your company. If additional audit team members are required, they are selected from our experienced auditor base. Your audits will be consistent in approach, technically sound and relevant to your business needs.

### **Introduction**

This document provides information for Applicants and Approved Suppliers. It describes the procedures for application, audit, certification, complaints and appeals. SAI Global operates IFS PACSECURE to the ISO/IEC 17065:2012 for product certification activities.

Certification against IFS PACSECURE (“the Standard”) provides a mechanism for giving assurances to retailers and consumers about the production standards of suppliers and thereby assurances regarding the safety, and integrity of the product. The Scheme has been designed to provide assurances that primary and secondary packaging materials are manufactured in accordance with a specified Standard, which goes beyond the relevant legislation and demands best commercial practice.

The registration, audit and certification of Applicants and Approved Suppliers against the Standard is administered under license by SAI Global, an ISO/IEC 17065:2012 accredited certification body.

### **Application**

Suppliers who wish to be certified should read carefully the applicable Standard, Rules and other information in this document before completing and sending in an application on the official form to SAI Global.

Application forms must be completed in full giving details of all locations and types of production. If there is insufficient space on the form any additional information should be given on a separate sheet and attached to the form. The Supplier should determine the product or process types to be evaluated using the standard document for reference and provide this information on the application form.

The owner of the business must sign the application form. Alternatively, a senior representative authorised to sign on behalf of the business may sign the form. In signing the form the Applicant subscribes to a number of declarations, which constitute the contract with SAI Global, and in so doing agrees to comply with the Standard(s) and Rules.

SAI Global Certification against the Standard can be achieved via various means. Please see the applicable Standard for options regarding multiple site certification; unannounced audits etc. Any specific requirements for additional audit modules are to be in accordance with the respective protocols.

The application fee (detailed on a separate fee sheet) is payable upon submission of the application form. If the Applicant withdraws his application before the initial audit, the fee may be refundable in part at the discretion of SAI Global. Withdrawals of applications must be made in writing to the SAI Global office.

### **Audit**

The Applicant will be contacted by an SAI Global Auditor and/or Scheduling Coordinator to make an appointment for an audit at a mutually acceptable date. If an Applicant cannot agree a suitable appointment date for the audit the onus is on the Applicant to contact SAI Global when they are ready for the audit. The Applicant must contact SAI Global within 6 months of

this notice; otherwise their application will be withdrawn. This only applies to new applicants. Once certified, Approved Suppliers must make themselves available for audit promptly on an annual basis.

The auditor will send the applicant an appointment letter, which will confirm the date and approximate time of the audit and outline the scope of the audit.

Audits will cover all aspects of the Standard.

The purpose of the audit is to check that Applicants conform to all the requirements of the Standard. The auditor will need to talk to staff and to see records so that he/she can be assured that conformance can be maintained between audits. The person responsible for the day-to-day management must be available to accompany the auditor and answer any questions. The auditor will need to see a representative sample of production. If any of these requirements are not possible on the day(s) of the audit Applicants must contact SAI Global in advance and preferably in writing to explain the situation. If the auditor cannot complete the audit in full on the day(s) of the appointment due to the Applicant not making available all aspects required for audit, the application cannot be progressed and a further fee will be payable for the auditor to return.

SAI Global are interested in receiving feedback from Applicants and Approved Suppliers on the work of auditors. Following an audit, suppliers may receive a questionnaire asking for their comments.

### **Certification**

Following an audit, the auditor will submit a report to the SAI Global Office. SAI Global will determine the eligibility of the Applicant for certification as an Approved Supplier. If the auditor reported that an Applicant did not conform to all requirements of the Standard, SAI Global will make a decision as to certification based on the degree of non-conformity. Documentary evidence or re-visit will be required to verify that non-conformities have been rectified. If re-visit is necessary a further fee will be incurred.

The Applicant must either rectify these non-conformities within the time-scale permitted or put in writing to SAI Global any queries regarding type or level of non-conformity raised (see complaints).

If the non-conformities are not rectified within the permitted time scale, the Approved Supplier will receive a final reminder notification. If the non-conformities are still not rectified after this final warning, the Approved Supplier will be suspended.

If a suspended non-conforming supplier does not make contact with the SAI Global office within the 7 days the sites registration and certification will be revoked. A fresh application will be needed to re-join the scheme.

If the Applicant fails the audit, SAI Global will de-certify or de-register within two days from the end of the audit.

If an application is deferred the reason(s) will be given in writing. This letter will detail the non-conformities, which were identified during the audit. The Applicant must either rectify these non-conformances within the time-scale permitted or put in writing to SAI Global any queries regarding the type or level of non-conformity identified during the audit (see Complaints).

If an application or certification is refused SAI Global shall, by written notice, advise the Applicant of the reason(s) for the refusal, their right of appeal and provide details of the Appeal Procedure (see Appeals). If an Applicant wishes to be reconsidered following refusal a new application is required.

The final decision relating to certification (whether on appeal or otherwise) rests with the SAI Global Certification Committee whose decision is final and binding.

By joining the scheme the Applicant / Approved Supplier consents to the processing by SAI Global of data and the subsequent release of the audit report to IFS. In all other cases the audit reports will be confidential to SAI Global and the client unless a consent form (available from the SAI Global office or SAI Global auditor) has been signed by the Applicant or Approved Supplier.

Certificates are not transferable and remain the property of SAI Global. Only Approved Suppliers can use SAI Global certificates, and strictly only in relation to the scope of their certification. Approved Suppliers must not make any express or implied claim that certification applies to product, locations or activities that are not included in the scope of their certificate. Only Approved Suppliers can use SAI Global marks or logos and only in accordance with the Conditions of Use. By joining the scheme the Applicant / Approved Supplier consents to the transmission of certification status details including an electronic copy of the Certificate of Conformity (where one is issued) to IFS for inclusion on the IFS Database.

### **IFS Required Time Lines**

The time between the date of the audit and the awarding of certificate is determined as follows:

- 2 weeks to draw up the pre-report of the audit and supply this to the client
- 2 weeks for the company to respond to the deviations and nonconformities (i.e. draw up the action plan)
- 2 weeks for the auditor to check the proposed corrective actions, for the certification procedure and upload of the audit report, the action plan and the certificate to the Audit Portal.

In total: 6 weeks between the date of audit and uploading the audit report to the Audit Portal and awarding the certificate:

- Target time: 6 weeks,
- Maximum time: 8 weeks.

### **Obligations of Approved Suppliers**

Approved Suppliers must, at all times, continue to comply with the Standard and Rules, and with the declarations detailed on the application form. The Standard and Rules are additional to any statutory requirements and nothing in the Standard or Rules shall be deemed as providing exemption from current legislation.

Approved Suppliers must inform SAI Global if their circumstances change during the period of certification, which may affect their conformity to the Standard. These would include changes to ownership and significant changes to facilities or management. SAI Global will assess whether a re-audit is necessary to ensure continued suitability for certification.

### **Refusal/Suspension**

An Applicant or Approved Supplier who has had a conviction for any offence in connection with food production in the past 3 years or in any longer period which corresponds with any sentence imposed by a Court must declare this (in the case of the Applicant, on the Application form and in the case of an Approved Supplier immediately in writing to the SAI Global office). The Applicant or Approved Supplier may be refused/ suspended from certification with immediate effect by written notice from SAI Global. Re-application/re-admission will not normally be considered for 3 months from the date of conviction and will be subject to a re-audit.

Suspended Suppliers must return their Certificates of Conformity to SAI Global forthwith and must not make any further claims whether express or implied, that they are certified by SAI Global.

In all cases of refusal/suspension of participation, there is no entitlement to any refund of fees.

Any Applicant/Approved supplier who is refused/ suspended from participation has the right of appeal against this decision. SAI Global shall by written notice advise the applicant/approved supplier of the right of appeal and provide details of the Appeal Procedure (see Appeals).

### **Revocation of Participation**

Any Approved Supplier who is in breach of any provisions of the Standard and/or Rules may have their certification against the Standard revoked with immediate effect by written notice from SAI Global. This notice will inform the Approved Supplier of the reasons for revocation and will also provide details of the Appeal Procedure (see Appeals).

An Approved Supplier may voluntarily withdraw from certification against the Standard by notification of such in writing to SAI Global. In all cases of revocation/withdrawal of participation, there is no entitlement to any refund of fees. The supplier must return their Certificate of Conformity and must not make any further claims, whether express or implied, that they are certified by SAI Global.

Approved Suppliers whose certification is revoked must make a new application if they wish to re-gain certification. No new application will normally be considered by SAI Global for a period of at least 3 months following revocation.

An Approved Supplier whose certification has been revoked has the right of appeal against this decision. SAI Global shall, by written notice, advise the Approved Supplier of the right of appeal and provide details of the Appeal Procedure (see Appeals).

**Appeals**

If an Applicant or Approved Supplier wishes to appeal against a certification decision (whether in relation to non-conformities noted on reports, or suspension, refusal or revocation of certification) they must write to SAI Global giving reasons why they believe the decision is wrong, and should also provide any relevant supporting evidence. Requests for Appeal may be subject to a non-refundable administration fee. In the event of an unsuccessful appeal SAI Global reserve the right to charge costs of conducting the appeal.

This appeal must be received in the SAI Global office within 7 days of the Applicant/Approved Supplier receiving notification of the certification decision.

SAI Global will usually contact the Applicant/Approved Supplier to clarify the basis for appeal. This may lead to the issue being resolved.

If this does not resolve the issue, SAI Global will appoint the SAI Global Certification Committee or an Appeal Panel which will meet to consider the appeal within 30 days.

The Appeals Panel will be appointed by the SAI Global Certification Committee to consist of 3 appointees who are independent, impartial and competent.

The decision of the Appeal Panel will be sent to the Applicant/Approved Supplier within 30 days and will be final and binding on both the Applicant/Approved Supplier and SAI Global. For the avoidance of doubt, only one appeal will be allowable for each certification decision arising from the same factual circumstances.

**Complaints**

Where a complaint is made to SAI Global the complainant will be asked to make the complaint in writing.

All complaints whether about Applicants/Approved Suppliers, SAI Global Auditors or SAI Global Administration will be properly investigated including consideration by SAI Global of any representatives, and all necessary action taken.

**Confirmation of Participation**

SAI Global will treat all information about Applicants and Approved Supplier with strictest confidence, but will respond to queries from third parties who wish to confirm the status of any Approved Supplier as follows:

SAI Global will give the membership number, name and address and confirm if the site is an Approved Supplier, expiry date and scope of certification.

SAI Global will also comply with the IFS Framework Agreement requirement to release a copy of the audit report to IFS. Other than complying with this requirement, SAI Global will not divulge more specific information than that described in the IFS Framework Agreement (such as details of individual audit reports) to any third party, without the Applicants/Approved Suppliers written agreement.

SAI Global may notify those with a commercial interest, for example other suppliers, retailers, and customers, that an Approved Supplier's certification has been suspended or revoked.

**Liability**

SAI Global will not be liable for any potential, estimated loss of earnings by Applicants or Approved Suppliers with regard to any provisions of the Standard or Rules or the administration or operation of the Standard or rules by SAI Global.

SAI Global will not be liable in regard of any audit, or the exercise of any of their rights, or powers, or duties under the Standard or Rules.

SAI Global will not be liable for any losses that arise from, including without limitation, any industrial action or the failure of any machine, data processing system, transmission link or any other events outside its reasonable control.

**Witness Audits / Assessments**

SAI Global reserves the right to conduct witness audits / assessments, be this for Accreditation or internal/external monitoring of SAI Global Auditors. The auditor may be accompanied by other personnel for training, assessment or calibration purposes. Witness audits are carried out to a documented procedure; this procedure is available on request. These activities may be:

- Training of new auditors by SAI Global
- Routine SAI Global shadow audit programmes
- Witness audits by Accreditation Bodies
- Witness audits or surveillance audits by IFS