Certification regulations Animal Feed

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General

These rules have been amended to the following points:
- Merger of all existing rules for animal feed certification of the company (client | Organization | Participant) by SC B.V. (Contractor | hereinafter referred to as SC);
- Clarification of the complaint procedure in Article 16;
- Clarification of financial rights and obligations in Article 18.

Article 1
This regulation for certification applies to SC and to the businesses that SC evaluates for the purpose of obtaining an Animal Feed certificate.

In this regulation, "certification" means all activities performed by SC whereby SC declares that a product or process complies with the requirements of the assessing and certification criteria for any scheme in the certification of Animal Feed.

The certificate gives the customer and other parties justifiable confidence that the product or process meets all of the current requirements.

This regulation applies for certification of all schemes which are used at SC. The provisions in this regulation apply, also if there is talk of conflict with this regulation.

Article 2
SC applies the operative procedures outlined for the acquisition of an certificate in the regulations of the scheme, as long as no other requirements in regard to the product certification are stated in the regulations. SC is bound by the criteria used by institutions when administering the product and process certification. SC will only issue a certificate based on the actual status of a product, not on anticipated measures that have yet to be implemented. In the information phase SC will send an application form to the company requesting a quotation for certification.

Article 3
SC has qualified auditors who do the certification audits. The auditors, examiners and coordinators of SC meet the demands for qualification as stated in the Approval requirements and procedure for Certification Bodies of the certification scheme. Every new auditor who qualifies and wants to performs audits, has to be accepted by the management and (if necessary) by the owner of the certification scheme. All personnel of SC is required to follow the training programme of the owner of the certification scheme. The management of SC is appointed as coordinator for the certification scheme and is also the contact person for the owner of the certification scheme. The coordinator or examiner reviews the audit reports of the auditors.

SC can appoint an independent and impartial auditor to perform the certification proceedings or parts thereof. This third party will meet any and all established requirements necessary to conduct these proceedings.

Article 4
For a product or process to qualify for a certificate from SC it must meet the guidelines of the certification requirements.

The information on a certificate of SC complies with Assessment and Certification Criteria for Certification Bodies for the rules in the certification scheme. An expired certificate will be renewed after SC has established that the product or process still complies with the certification requirements.

After a request to change the application of an existing certificate SC will decide what assessment procedure is suitable to determine whether the change is necessary and handle accordingly.

Article 5
A certification contract between SC and the client seeking certification will be drawn up before the certification process begins. The contract covers at least the following points:
- the description of the standards of certification for each product or process
- the application of the certification in question
- a statement that the client agrees to comply with the certification requirements and agrees to provide any information necessary for the assessment of the product or process to be certified.
- a description of the product(s) or processes to be certified
- a description of the certification system
- the relevant regulations
- the fee for SC
- the length of the contract
The certification process

Article 6
On request of the client SC will make a quotation for the certification audits. SC will inform the applicant of the main procedures of the request and the way it will be handled by SC. In addition SC will add these regulations to the documentation which will be sent to the applicant.

Article 7
SC will assess the certification request using the following guidelines:
- Are the certification requirements clearly stated, drawn up and understood?
- Are all discrepancies between SC and the potential client resolved?
- Is SC capable of carrying out the certification procedure, taking into account the application possibilities of the aspired certificate, and, when applicable, the place of work or other specific demands such as the language spoken by the potential client?

Article 8
Except if the applicable standard or legislation explain differently, the information on a specific product or a specific organization will not be communicated to third parties without the written authorization of this organization. When legislation requires that information to a third party is communicated, the organization is informed of the information which has been communicated in accordance with the legal obligation.

SC may not give out any information to a third party concerning a request for certification or the application thereof without the written consent of the client. Information to the owner of the certification scheme will be given in accordance with the certification scheme rules (see also article 13).

During the certification procedure the client may not create the impression that his/her product is already certified.

Article 9
The certification contract as mentioned in Art. 5 begins when the client accepts the bid in writing. SC will take care of the complete certification procedure; this means planning, review of documents, review of the location, reporting and decision for certification. In case changes are made to the certification criteria, SC will start proceeding according to these directly after implementation.

Article 10
SC will appoint qualified personnel, auditor(s), to take over and carry out the procedures that are relevant to the assessment. The auditor(s) must be unprejudiced and free from any influences that would hamper his/their objectivity. All persons and organizations connected to the audit should respect and support the independence and integrity of the auditor(s). Specific qualifying demands for professional expertise are laid down in the Approval Requirements and Procedure for Certification Bodies of the owner of the certification scheme.

Article 11
The initial and renewal audit exists of a documentation assessment and the audit on location where SC will assess if the products or processes of the constituent comply with the standards which have been defined in the scope which has been stipulated in the application and to the criteria which have been laid down in the rules of the concerning certification scheme. At the preparation - document assessment the scope is determined and decided whether the company is ready to undergo the location audit. Also the planning (date/agenda) of the location audit is determined.

Article 12
Preparation - document appraisal
After receiving the signed agreement the auditor contacts the organization to make an appointment for the course of the certification procedure. The organization still has the right to his/her objections against an audit team or team member. Where necessary the coordinator certification will appoint a substitute.

Before the audit activities on site, the documentation of the organization is assessed to whether it meets the audit criteria. If the documentation does not satisfy, the organization is informed by the auditor of it. The auditor after consultation with the organization decides if the audit is definitely continued or is suspended until the problems with documentation have been solved.

Testing of products or processes according to the methods as described in certification criteria of the certification scheme will be done every year and is part of the certification procedure. The analyses, which is part of the testing of products or processes, will be performed by an ISO 17025 accredited laboratory.

If it becomes evident from the review of the official records that the client's system won't comply with the certification requirements, the completion of the audit will be postponed until corrective measures in the records can be made by the organization.

The client will make all the records relevant to the audit (including the quality manual) available to SC free of charge and will cooperate fully with the audit. SC requires that the client:
upon request the registrations of all complaints and corrective measures (that were made to conform to the requirements of the norm or to other standards documents) be made available to SC.

Take suitable measures regarding such complaints and shortcomings that have been detected in products, processes or services when they are not in line with the certification requirements.

Report any changes that will influence the design or specifications of a product or process in a major way; modifications of the standards with which the agreement is certified; change of ownership, structure, or leadership of the company, were relevant; or when other information leads one to suspect that the product or process no longer conforms to the requirements of the certification system.

If the shortcomings ascertained during an audit are of such a nature that both the client and SC think they can be corrected within a half year then the decision can be made, in deliberation with both parties, to lengthen the application procedure. The company should take corrective measures in this period and have the results assessed be SC.

If, during an audit, a difference of opinion occurs between the client and the auditor concerning the interpretation of a standard requirement or the work procedures of SC, the client can present the matter to the management of SC. The management will consult with both parties concerned and if necessary with other examiners or other interested parties. Afterwards the management will take a decision and inform all parties of this.

If, in the course of the handling of the application, the budget or the timetable threaten to be exceeded, then SC will consult with the client to find a satisfactory solution.

If, during the audit it becomes evident that a positive decision to grant a certificate is not within reasonable expectations, the handling of the application can, after consultation be ended.

The client can withdraw his/her application at any time however he/she is still obligated to pay any and all costs that SC has made up to that point.

After document assessment the auditor draws up an audit plan. Main points for the required audit time are the certification agreement with the company and the applying certification regulation. The audit plan is assessed by the organization and must by the organization be accepted, before the audit activities on location are started. If applicable, the audit team leader assigns responsibility for the implementation of audits on specific processes, functions, locations or activities in consultation between each member of the audit team. The members of the audit team study the information which is relevant for their tasks and design necessary working papers for reference and for recording of the progress.

Introduction meeting
At the beginning of every audit an introduction meeting is kept by the auditor(s). During this introduction meeting comes up for discussion in any case:

- presenting the auditor(s);
- presenting the officials of the company present during the introduction meeting;
- the aim of the audit(s);
- explaining the working method of the auditor(s) during the audit(s);
- who accompanies the auditor(s) during the days on which the audit(s) takes place;
- available is of a space in which the auditor(s) can withdraw itself for consultation or reflection.

Checking scope
Before it is started with the practice audit, the scope (the scope) of the certification must be verified. The scope must have been fixed decisively and unambiguous and also defined in the contract. Think to:

- products/processes;
- locations;
- activities;
- services.

If the scope of the company does not correspond to the description in the contract, this must be communicated to the management of SC. The management must assess if the contract needs to be adapted. Furthermore must the organizations addresses must, as incorporated in the relation management system of SC to be checked on correctness and completeness.

Collect and verify information
During the audit, the auditor by means of suitable samples collects and verifies information which is relevant for the objectives, range and criteria of the audit. The samples must be of sufficient scope, also concerning the employees. There must be interviews with both management and remaining employees. They must also be reviewed on the knowledge and the application of the procedures.
The information is collected by means of interview, observation of activities, appraisal of documents and testing where of application. Only verifiable information can serve as an audit proof material. The audit proof material is registered by the auditor.

Registration of findings on working papers

The audit proof material is assessed of the audit criteria by the auditor, whereupon the audit findings are formulated. The audit findings indicate on meeting the audit criteria or on deviations of it. The deviations and the associated audit proof material are registered by the auditor and are classified. The deviations are being discussed by the auditor with the auditee to obtain that affirmative the audit proof material is precise and that the deviations are understood. The auditor puts himself optimally in to solve possible disagreements concerning the audit proof material and/or the audit findings. The unsolved problems are registered by the auditor.

The classification of the shortcoming takes place in conformity with the called criteria. Shortcomings which are of direct influence on product quality will prevent certification or continuation of certification. This also applies to shortcomings which do not originate from satisfying to legislation. SC will report the shortcomings such as indicated in the model report that has been determined by the owner of the certification scheme in the criteria for certification.

Closing meeting

in the closing meeting the auditor presents the audit findings and -conclusions in a such manner that these are understood and are recognized by the auditee. If applicable the auditor stipulates the period of time in which the auditee has to draw up a plan for correcting and preventive measures. Possible disagreements concerning the audit findings and/or - conclusions between the auditor and the auditee are discussed. The problems must be solved, if possible. If there is no agreement, all opinions are registered by the auditor. The audit findings with deviations are registered directly and are signed by the auditor and auditee.

The assessment report

After the audit by the auditor the assessment report is established. In the assessment report the findings concerning the agreement with all certification regulations are mentioned. The assessment report is at any time offered by the auditor to the decision maker.

For a correct report, the answering of possible questions that were send afterwards, compliance and traceability afterwards, the notes of the audit as well as proof concerning removing deviations must be kept by the coordinator certification in the research file.

Within 6 weeks the decision maker - or to this end competent auditor- will send the assessment report to the organization. In this report all shortcomings which must be resolved to satisfy all certification regulations, as well as necessary additional appraisals or testing, will be mentioned. The completion and effectiveness of the correcting measures as also an analysis of the cause of the deviations must be verified by SC. This checking can be part of a continuation audit. If in the assessment reports no shortcomings, this will generally lead to a positive recommendation of the decision maker.

Article 13

A certificate will be granted by SC if the product (or service) complies with the criteria for acceptance according to the certification requirements.

Within 2 weeks after the audit procedure is finished SC will decide whether a certificate or temporary acceptance is issued or prolonged. The decision is communicated in writing. At a positive decision the organization will receive the certificate or temporary acceptance. At a negative decision SC will reject the application underwritten indication of the reasons which have conducted to this decision.

SC will report non-conformities in accordance with the criteria in the certification scheme. The owner of the certification scheme or SC will manage and publish a public register of companies with a certificate.

If an application is denied or the handling thereof withdrawn after consultation with both parties, then a new application will only be taken into consideration by SC after the company has taken corrective measures.

Article 14

On put times supervision audits and renewal audits are carried out. Supervision takes place according to Article 10 up to and including 13. A renewal audit takes place according to Article 6 up to and including 13 where the results of the previous certification are taken along in the preparation of the audit. The frequency of (extra) supervision audits (with minimum of 1x per year) and renewal audits is determined by the certification scheme.
Additional audits (extra supervision) or audits in the short term can be carried out if the organization does report of:

- changes which influence the quality system or the design or the specification of the product or process considerably;
- modifications in the standards with which the agreement is certified;
- changes of owner, structure or control at the organization.

or other information (deviations, complaints, summary offences at suspension, etc) that leaves presumption that the quality system, product or communication (Internet site) possibly no longer meets the requirements of the certification system.

The supplier has no authorization to deliver certified products or processes which are made after such modifications, up to on the moment that SC has given its agreement to the supplier.

After the termination date of the previous certificate an audit which follows on a possible application to 'lengthening of the certificate' will be carried out as an initial audit. To be complete it is added that the certificate loses direct its validity directly after the termination date.

**Article 15**
SC can instantly revoke a certificate in the following instances:

- When gross shortcomings are detected during a succeeding audit or re-assessment.
- When adequate corrective measures have not been taken during a suspension period.
- When the client acts in clear violation of one or more commitments of the certification contract, including the financial obligations.
- When the client harms the interests of SC.

Withdrawal of the certificate or temporary acceptance is related to the complete certificate or temporary acceptance.

In case SC notices that a certificate no longer meets the criteria as mentioned in the certification scheme, SC will handle in accordance with the certification criteria of the certification scheme.

This could mean; increase the frequency of auditing, suspend and/or revoke the certificate.

In case of non-conformities of the category 1, as mentioned in the certification criteria of the certification scheme, the auditor will immediately inform the management of SC who will then inform the owner of the certification scheme.

This also applies to situations when the certificate or temporary acceptance is revoked.

In all other cases, except what has here already been stated, is a term of at least three full calendar months required before a certificate can be terminated. Notice of termination should be submitted to the other party via mail, mentioning the date of the termination. A termination by SC will be accompanied by both the date of termination and the reason(s) for their decision.

Termination does not free the client from any existing obligations to SC. When a certificate is terminated, the certificate contract that the client had entered into with SC is also terminated.

**Remaining terms of agreement**

**Article 16**
When SC receives a complaint of a third receives concerning the certified organization, SC will contact the organization concerning to carry out a study into the nature and the cause of the complaint and ensure the settlement within reasonable period.

SC preserve themselves the right for as a result of a complaint received independent establish research. SC can charge to that linked costs to the complainant or organization on the basis of wrong to. If the complaint proves to be founded, this can be reason for SC to closer consultation with the organization concerning correcting measures, or to taking a measure such as:

- a written warning;
- an extra audit;
- a suspension of the right to the use of the certificate during a certain period;
- immediate suspension of the certificate.

When SC receives a complaint about her own service, she will handle it as follows.

Internal and external complaints may be caused by a different execution of a procedure or instruction. These signals are treated as a complaint.

**Responsibilities**
All employees are responsible for the registration of complaints that are determined by them. All complaints are handled directly by the management. The management deals with complaints to prevent them being treated by an employee to
which they may relate. If the complaint relates to the management, then its treatment will take place by its substitute. The management is also responsible for analysis and reporting of all findings regarding complaints. The Conciliation Committee (Disputes Committee) deals with requests for mediation.

**Method**

Every employee is authorized and obliged to register complaints and report to the management. This will be an internal form. Other direct and indirect parties may submit the complaint they have found through the contact form on the SC website. After sending the message, the signal is sent to the board of SC.

The board of directors shall ensure that measures are taken to eliminate and / or limit the negative consequences of the complaint. Furthermore, under the responsibility of the management, measures are taken to eliminate the cause of complaints and to prevent repetition.

The following steps are taken:
- assessing complaints;
- determining the causes of complaints;
- assessing the need to take measures to ensure that complaints do not occur again;
- determining and implementing the necessary measures;
- recording the results of the measures taken;
- assessing the corrective measures taken.

**Disputes**

If an inspection or audit reveals a difference between the organization and the auditor regarding the interpretation of a norm or the method of SC, the organization may report such dispute to the management. The director of SC will consult interested parties and any other experts or stakeholders. The director makes a decision and informs the parties about the decision.

**Appeals Procedure**

A decision of the SC may be instituted within 30 days of the date of the decision or measure and an application may be submitted for mediation with the Conciliation Committee.

If a certification scheme appeals to an external appeal procedure, an appeal with this external organization may not be filed until all SC’s career opportunities have been completed.

**Registration**

The director of SC keeps a record of all complaints, disputes and appeals relating to the assessment, as well as the corrective measures.

Occupations, complaints and disputes are a source of information for possible shortcomings. The management investigates the cause of all identified shortcomings and ensures that appropriate measures are taken. If necessary, preventive measures are taken against potential shortcomings within the assessment system. The management determines the measures taken and their effectiveness.

Each year, the director of SC evaluates the registration of complaints, disputes and occupations, and analyzes further. This analysis is used as input for the annual evaluation of the own quality system by the management.

**Article 17**

SC is not liable for any form of damage that may occur in connection with the application, or to the entering into, execution of, or ending of a certificate contract, or how the certificate is used, unless gross negligence on the part of SC has caused the loss. The client will protect SC from all liabilities and claims for damages from third parties.
Article 18
SC charges the company costs associated with the certification fee, as agreed with the company in writing. The fee can be adjusted annually to the CBS price (Dutch organization) development without notice. The company must meet the costs charged by SC within the invoice stated on the invoice. If the company does not wish to perform the execution of the agreement with SC within the stipulated deadline, the company undertakes to request SC in writing by 20 working days before the date agreed upon by the agreement.

If the company has not made the request for postponement or has not done so in the manner described above, SC is entitled to charge a percentage of the amount agreed for the relevant work. The percentage that will be charged depends on the time when the employment is postponed:
- Within 20 working days before commencement of work => 10%
- Within 10 working days before commencement of work => 40%
- Within 5 working days before commencement of work => 100%

Invoice payment
The amounts due to SC will be charged after completion of work at the company. The company has to pay SC. The payment to SC must be received within 14 days of the invoice date, unless otherwise agreed in writing:
- If the payment period is exceeded, the company is in default without further notice.
- In the event of exceeding the payment period, SC is entitled to charge the statutory interest in accordance with the Dutch Civil Code Article 6: 119a.
- A complaint regarding the invoice must be reported to SC in writing within eight (8) days after the invoice date. Thereafter, the company is deemed to have accepted the invoice.
- Payments must be made directly to SC. Payment to representatives or agents does not in any way release the company from its payment obligations.
- All taxes, charges and other costs related to payments are at the expense of the company.
- The lodging of a claim in response to a complaint or the submission of a request for mediation as described in Article 22 of the Certification Regulations for Animal Feed, does not endorse or alter the payment obligation and other obligations on the part of the company. This does not matter, regardless of whether the claim or complaint is accepted.
- The company is not entitled to:
  - apply any discount of any kind without the prior written permission of SC;
  - to settle any claim and / or;
  - to deduct payment obligations on other amounts owed between the parties;
- In the case of non-timely payment of debt by way of legal or other means, the amount of the claim will be increased by 10% administrative costs, while the judicial and extrajudicial costs incurred by the company will amount to the amount paid or payable by SC with a Minimum of EUR 250 plus sales tax or equivalent in another currency by date of payment.

Article 19
The client must insure the health and safety of auditors from SC or auditors working on behalf of SC as they carry out their duties on site at all times besides the fact that it has to be in accordance to the safety legislation. The client should provide safety measures where needed along with the appropriate instructions for use.

Article 20
A certified organization can make use of the logo (trademark) of the owner of the certification scheme. The organization obeys for that strictly the rules fixed by the owner of the certification scheme.
It is not permitted to use the accreditation mark, differently than on the certificate.

SC has an obligation to supervise the use of certificates, to see that they are not improperly used by third parties, that they are not used during a suspension and that they are not used after they have been terminated. SC can either alone or in cooperation with other certified organizations bring a claim against third parties who improperly use certificates.

From the date of termination of a certificate or during the period when the right to use a certificate has been suspended, the client may not use a certificate or create the impression that he has the right to use it. In the event of a violation of this regulation the client will immediately pay a fine of € 7.500,- to SC as well as a fine of € 750,- per day for as long as the violation continues.

SC will apply all legal possibilities to prevent or remove summary offences with respect to this article.

Article 21
Employees of SC are obliged to secrecy toward third parties concerning all information acquired during an audit. Any external examiners will also sign a declaration of secrecy as laid down in this article.

Article 22
A request for mediation can be submitted to the Mediation Commission by the interested party within 30 days of the date of a disputed decision from SC, when that decision has to do with the technical of procedural aspects of certification.
A request for mediation is made in accordance with the Regulations for Mediation SC B.V. A copy of the Regulations for Mediation can be requested by SC B.V. A request for mediation does not change the decision of SC until the Mediation Commission has reached a judgment with respect to the decision.

If the procedure of mediation does not lead to a solution regarding the disputed decision, an external appeal can be submitted based on the regulations mentioned in A1 of the Certification scheme. An appeal to this external organization can only be put in after all appeal possibilities by SC have been exhausted.

**Article 23**
This regulation can be found under “Certification Regulations Certification Animal Feed scheme SC B.V”. Changes in these regulations take effect only after SC publicly announces the time when the change will take place.