

**Description of Certification Procedure of
VLOG-Standard (Production- and
Testing Standard)**



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Do you have questions regarding the Facility Description? It is our pleasure to help you.

You can reach us per mail info.tncert@tuev-nord.de or personally from Monday to Friday between 07:30 and 18:00 o' clock under 0800 – 2457457.

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Description of Certification Procedure of VLOG-Standard (Production- and Testing Standard)



1. Regulation and Facility Description for the certification according to VLOG "Ohne Gentechnik" Standard

The regulations and Facility Description for the Certification according to VLOG-Standard are applicable with the offer. They complete the general requirements for the Certification.

With the assignment of contract, the company declares, that it meets all valid requirements of the VLOG Standard. The VLOG Standard is considered as part of the contract.

Each respective Standard as well as further applicable documents and regulations are enclosed on the VLOG Homepage <http://www.ohnegentechnik.org/ohne-gentechnik-siegel/standard00/>.

The company confirms the knowledge of the valid VLOG Standard and declares, that it has read and understood the documents before the assignment.

The auditors are chosen, in accordance with their Appointment for the sector and qualification, by TÜV NORD CERT.

2. Regulations of the TÜV NORD CERT Certification Procedure according to VLOG "Ohne Gentechnik" Standard

The customer is obliged, to follow the rules of each valid certification procedure of VLOG Standard that affect him. The regulation of each VLOG document is mandatory. To name in particular:

- The customer has to sign an agreement with VLOG for using the standard before his certification by the Certification Body and to inform the Certification Body regarding his valid VLOG-ID number.
- The Certification Body has the right to give information to VLOG about the certification procedure according to the rules of respective VLOG - Standards.
- If the customer becomes aware, that there may be a complain regarding the safety or the legality of a product, he has to inform immediately the Certification Body accordingly. The Certification Body will take actions in order to evaluate the situation and the effects on the certification and take appropriate measures.
- In case of a recall of product the customer will inform the Certification Body within two working days after the recall accordingly and report about the details of the incident. The Certification Body will take actions in order to evaluate the situation and the effects on the certification and take appropriate measures. The Information about the recall should be send to following E-Mail Address: tncert-food-recall@tuev-nord.de
- In case of positive results of analysis the customer will inform the Certification Body within two working days and report details about the event. The Handling of positive results of analysis is enclosed in the valid VLOG Standard. The information regarding the positive results of analysis should be send to following E-Mail Address: tncert-food-recall@tuev-nord.de
- In case that a VLOG-certified company / site is changing the owner / is changing the name, the Certification Body has to be informed immediately.

- If the scope of the valid Certificate is going to be changed, the Certification Body has to be informed immediately (e.g.: Group of products, Procedure, Production line, Activities contracted to Third-Parties). The Certification Body will decide, if a complete audit or only the inspection of certain requirements should be implemented.
- The customer agrees, that the Certification Body has the right to submit the results of the VLOG-Audit to VLOG.
- The customer agrees, that data, production facilities, licensed products as well as Certification and audit documents will be registered to the client- and Certification portal ECERT by VLOG. Further Information are enclosed on the VLOG web page (<https://www.ohnegentechnik.org/anleitungen-ecert/>).
- In case of a failed audit, VLOG will decide upon the cancellation of the use of standard contract, furthermore upon the withdrawal of user licence in case of licence holders of „Ohne GenTechnik“ – or „VLOG tested“-trademark. The Certification Body has the right to perform reaudits, audits based on suspicions or further inspections.
- The customer is aware about his obligation to support the performance of Witness-Audits, audits based on suspicions, repeat inspections and additional audits.
- The customer informs the Certification Body, if VLOG has performed an Integrity Audit.
- For the use of the VLOG-Standard outside of the EU an authorisation by the Certification Body has to be requested. The Certification Body will submit the request to the standard owner.
- The use of the „Ohne GenTechnik“-trademark for labeling and advertisement of Food/ Feed is approved only after release by VLOG. The use is arranged in a contract between the licence holder and VLOG.

3. Certification Procedure

The audit preparation helps to ensure the readiness of the customer for the upcoming assessment. For the preparation the customer receives the service description for each stage and the questionnaire. Based on these information, an offer will be submitted to the customer by TÜV NORD CERT. If the Auditor will notice deviations of the details during the on site audit, an increase of the audit effort may arise. The additional costs will be charged to the customer.

Furthermore the customer will name a responsible contact person by the Management for the execution of the audit, as a general rule the QM Manager.

3.1 Audit preparation

- Contract between Certification Body and customer (Determination of the audit duration)
- Signed Standard Usage Agreement with VLOG (award of the VLOG-ID number)
- Facility description and risk grading (grading has to be done by the customer before the audit)
- Date of audit Determination of the audit field
- Initial Certification

After the conclusion of contract (Contract between Certification Body and client and contract between VLOG and client) the Auditor starts the preparation of audit, based on the Questionnaire, the Facility description and the calculation sheet and agrees with the customer the further process. In order to schedule the audit, the customer will send the documents required by the auditor for the preparation of audit to the Lead Auditor. The Auditor creates the audit plan before the Audit, which contains all VLOG-requirements to be audited, the affected processes and organization units of the customer as well as the timetable of the Audit. The customer receives the Audit plan ca. two weeks before the

Audit. The Lead auditor agrees the plan with the representative of the customer and informs (if applicable) the rest of the audit team.

3.2 Certification audit

The audit on site includes following steps:

- Opening Meeting
- Documentation review and on site tour (determination of sequence by the Auditor):
- Documentation review:
 - Control of the Facility description and the risk grading
 - Inspection of the relevant documents of the company (e.g. organisation chart / organisation, QM-System, shipping documents)
 - Control of compliance of Standard requirements (e.g. Labeling of raw materials/Feed, Risk management, etc.)
 - Mass flow control (Plausibility of In- and Output on the Facility)
- On site tour:
 - Inspection of production area on site, plants and included production processes
 - Control of compliance to system defaults (e.g. separated handling, Identification of infection Risks, etc.)
 - Interview of employees
 - sampling if scheduled or rather in the event of doubt
 - Grinding- and mixing plant:
 - Mobile Grinding- and mixing plant: The auditor will inspect at least 2 plants (especially visual inspection and comparison with documents), which are registered for the VLOG-Certification. The selection will be done Risk oriented. If the company uses only one plant for the „VLOG tested“-Production, this plant should be inspected.
 - Stationary Grinding- and mixing plants: All existing plants of the agricultural business should be inspected.
 - Contracted providers (e.g.: warehouse keeper, subcontractor)
- Control of the Risk Grading by the Auditor
- Determination of Corrective Actions by the customer
- Acceptance of the Corrective Actions by the Auditor
- Closing meeting

During the audit, the company has the task to demonstrate the practical implementation of its documented process. Therefore, all groups of products as well as processes, which will be included in the scope of certification, must be in operating process up to the time of the audit. This concerns also outsourced processes. In case of a non operating process, an additional audit of these processes/ product groups with an additional audit effort will be required. By end of the audit, during the closing meeting, the customer will be informed about the audit results. The Auditor can give an estimation of the audit result, but not a final audit result. The audit result will be documented in the report, the Non conformities will be documented in the Action Plan. The Audit always can include only one premises/production site. Further regulations of the Certification Procedure for Recertifications-, reaudits and extension audits as well as announced and unannounced audit options are described in the relevant VLOG Standard and obligatory.

3.3 Scope of the Standard

The present Standard is the basis for a certification according to VLOG Certification for the stages Feed, Raw materials, Food and related provision of services and activities in the EU. The VLOG Standard is divided in separate stages and sub stages. TÜV NORD CERT offers a Certification for following Stages:

- Logistics (Storage, Trading) (Part B),
- Feed manufacturing (Part C),
- Matrix Certification for the fields Logistics and Feed manufacturing (Part D)
- Food processing / preparation (Part G)
- Retail – Sale of bulk food of animal origin_(Part H)

If the customer requests a certification according to VLOG-Standard for activities on several Stages and / or sub Stages, the auditor has to control all requirements of each stage/ sub stage. TÜV NORD CERT does not offer VLOG Audits for the Level Agriculture (Part E) and Audits within the USA area.

3.4 Risk Grading, Sampling- and Frequency of Analysis

The customer is within the self-assessment system of the company obliged to take sample according to risk category and to analyse them. The regulations regarding the Risk Grading, Sampling- and frequency of analysis are described in the valid VLOG Standard. The Auditor has the right, in case of suspicion or risk category, to take further samples and to carry out analysis and / or to arrange further GMO-Analysis. The customer will be charged for the costs of the sampling and the analysis . All samples must be analyzed according to VLOG Standard (Part J Version 19.01). Only results of analysis will be taken into account, which have been carried out according to the requirements in Chapter J 1-3 .

3.5 Management of Non Conformities

The regulations of Management of Non Conformities are described in the valid VLOG Standard. The supervision and implementation of the Corrective actions are part of the responsibility of the Certification Body. The audit result is described in the VLOG Facility description and the VLOG Checklist. The evaluation and related remarks and Corrective Actions including set day and responsibility are documented in the Checklist of the audited stage. The Auditor verifies the Corrective actions based on the presented evidences or with a reaudit (Control of improvement), means a new audit on site, and mentions it in the action plan. Corrective actions and setting days have to be submitted by the audited company within 4 weeks after the audit and to be accepted by the responsible Certification Body. The Lead Auditor decides about the extent of the reaudit, but only the non conforming effected requirements will be subject of audit. In case that the implementation of Corrective Actions won't be carried out properly and at due date, the Certification Body decides, if the announced certification will be withdrawn. Corrective actions implemented after the audit do not change the audit result. Further requirements referring to Chapter „Management of Non conformities“ are stated in the valid VLOG Standard (Chapter: A 3.9) and the catalogue of sanctions in Annex X.

3.6 Issue of Certificate

As an audit always presents a sample, the statement of the auditor can refer only to the evaluated scope. The issue of the Certificate will take place after the positive control of the certification procedure by the Certification Body. After passing the audit the Certification Body issues a Certificate according to VLOG-Standard considering Chapter A 3.9.2, the latest 8 weeks after the audit. Only after the issue of Certificate of an initial audit the companies are allowed to supply. The Certificate can only be issued, if all Non Conformities have been eliminated by relevant evidences or by a reaudit and corrective actions will be available for all deviations, verified and accepted by the Auditor. Rules regarding the evaluation of requirements, the handling of corrective actions and the mandatory deadlines are described in the valid VLOG Standard. If the Certificate won't be issued within 8 weeks, a new regular audit will be performed. During the process of control of the documents by the Certification Body the risk Grading of the company will be checked again and if necessary corrected. In case of a correction of the risk class, the company will be informed. As the signed contract for the certification is available, the Attestation (possibly in various languages) and the audit report will be submitted to the customer. The Certification Body is obliged to place at the disposal of VLOG the audit result within eight weeks. The data have to be registered and updated in the portal of Certification Bodies ECERT of VLOG. The related documents and recordings are stated in the actual VLOG Standard.

4. Audit types

4.1 Re-Certification

The validity of an Certificate finishes until the issue of a new Certificate, at least until the end of the following year (with regard to the Audit date). Yearly regular audits have to be performed for Logistics companies, Feed Manufacturers, Matrix Certification, Processing / Preparation of Food and Retail – Sale of bulk food of animal origin. The requirements for the Audit frequency are stated in the separate Chapters of the related stages in the valid VLOG Standard. Re-Certification audits must be performed in a way, that a gapless certification is guaranteed. The audit must be performed at least eight weeks before the expiry of the existing Certificate. Before the Re-Certification, the data of company has to be updated, in order to consider changes, which have a significant affect to the field of activity or the Facility of the customer. Within the Preparation for a reaudit, sample audit, audit based on suspicions or Re-certification audit the companies are obliged, to inform the Certification Body about significant changes in the organizational structure and process organization of the company. The audit process is equal to the certification audit and described in the valid VLOG Standard.

4.2 Unannounced Audits

Regular audits can be performed also unannounced. Thereby the requirements of VLOG Standard have to be considered. The client will be informed about the audit 48 hours before the unannounced Audit.

In case of performance of a combined unannounced audit with other standards, the requirements of the other standards have to be considered as well. The process of an unannounced audit complies with a Re-Certification audit. If the customer refuses the performance of an unannounced audit, the Certification Body has to decide, if the rejection is justified. In case of an unfounded rejection, the

Certification Body will evaluate the audit with a General-K.O and the audit is considered as failed. Possible consequences are the loss of the right to supply and sanctions procedures.

Further Audit types

Further regulations for the Certification Procedure of Regular-, Initial-, extension-, Re-audits, audits based on suspicions, combi audits are described in the valid VLOG Standard and binding. For the costs for Extension audits, reaudits and audits based on suspicions the customer will be charged.

5. Transfer of Certification in case of change of owner or change of name

Regulations for the transfer of certification in case of change of owner or change of name are described in the valid VLOG Standard.

6. Transfer of Certifications of other Certification Bodies

Regulations for the transfer of Certification of other Certification Body are described in the valid VLOG Standard.

7. Suspension of Certificate and - withdrawal

TÜV NORD CERT is the owner of the VLOG Certificate and can suspend or withdraw the Certificate at any time. The company receives a letter referring to the reasons of suspension and required actions and relevant due dates in order to cancel the suspension. During the suspension, the customer is not allowed to advertise using the VLOG Certificate. The company has to inform its customer immediately and has to brief them about the circumstances, which resulted in suspension or withdrawal of the Certificate. The customers have to be informed about the implemented Corrective Actions for the removal of the deviations, in order to reobtain the status of certificated, and they should be available to them. VLOG has to be informed about the suspension immediately by the Certification Body. Further requirements of the VLOG Standard have to be considered (e.g.: use of trademark/ licence contract with VLOG).

8. ACTIONS AND SANCTIONS

In case, the Certification Body notices, that the customer does not comply with the requirements of VLOG Standards or the certification contract, actions and sanctions must be imposed according to the requirements of VLOG Standard in relation to evaluation- and certification criteria. Actions and sanctions are the following:

- audit based on suspicion at customer.
- Reaudit at the customer.
- Intensified control at the customer.
- Additional sampling and analysis by the Certification Body.
- suspension of the certification
- Cancellation of the inspection contract / Withdrawal of the VLOG-Certificate

The arising additional cost will be charged according to the fee regulation. Daily rates including travel time and travel costs according to the offer have to be considered. The customer will be charged for the costs of additional sampling and analysis.

9. Catalogue of sanctions

Additionally the catalogue of sanctions of VLOG is valid in its current version (<http://www.ohnegentechnik.org/>).

VLOG annex X (Version 19.01)

Exemplary causes by the company	Sanction by the Certification Body
slight deviation (B-Evaluation, not fulfilled)	written notification (Actually not a sanction, but a tool to avoid future violations)
Breach of documentation obligations that can endanger the safety of the system (possible evaluation: not fulfilled, risk)	<ul style="list-style-type: none"> • Stricter registration and reporting obligation • Follow-up audit, if necessary • Additional sampling and testing, if necessary • Certificate issued only after implementation and verification of corrective action by the certification body
Non-compliances that endanger “Ohne Gentechnik” food or “VLOG geprüft” feed, e. g., use of conventional raw materials, lack of compliance with minimum conversion periods, no segregation of batches, etc. (possible evaluation: not fulfilled, risk, KO)	<ul style="list-style-type: none"> • Warning letter • Follow-up audit • Additional sampling and testing, if necessary • When evaluation reveals a risk: Certificate issued only after implementation and verification of corrective action by the certification body • When evaluation is KO: revocation of the VLOG certificate within 2 business days
Detection of GMOs in a tangibly affected quantity / batch or lot (e. g., a lot in a feed processing plant, etc.)	<p>Exclusion of non compliant goods / / products from the GMO-free claim</p> <ul style="list-style-type: none"> • Follow-up audit • Additional sampling and testing, if necessary
Repeated violation of the VLOG-Standard	<p>Warning letter</p> <ul style="list-style-type: none"> • Follow-up audit • Additional sampling and testing, if necessary • Suspension of certification with temporally limited marketing ban on “Ohne Gentechnik” foods or “VLOG geprüft” feeds
<ul style="list-style-type: none"> • Severe violations; • Lack of willingness to comply with the guidelines; 	<p>Termination of the monitoring contract</p> <p>Withdrawal of the VLOG certificate</p>

<ul style="list-style-type: none"> • Misuse of the VLOG certificate for noncertified products/ feed or use in a misleading way; • Refusal of follow-up audit, or noncompliant follow-up audit (result) after suspension of certification 	
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10. Use of the trademark „Ohne GenTechnik“

Prerequisite is, that all requirements are fulfilled for the participant, which are described in VLOG Standard. The application/ use of „Ohne GenTechnik“-trademark or the Feed-trademark „VLOG tested“ is only allowed with approval by VLOG. The use is arranged in a contract between the licence holder and VLOG. Basis of the contract is a certification according to the present Standard. Relevant Information on Web page <http://www.ohnegentechnik.org/>. Regulations for the use of trademark are described in the VLOG Standard. If the customer becomes aware a misusing of trademark, he is obliged to inform the Certification Body immediately

11. OTHER REGULATIONS

The customer agrees with:

- Routinely announced or unannounced Audits or visits from VLOG, within the frame of Compliance activities.
- Witnessaudits by VLOG / Certification Body or owner of specifics voluntary Audit Moduls, if it is integrated in the certification.
- the participation of Auditors in Training in his company.

If the customer refuses unreasonable the access to parts of the premises or its processes in relation to the above mentioned items, the Status of Certification may be affected . Within the frame of quality assurance measures VLOG can contact the customer directly, in order to be informed about the staus of certification of the company, the services of TÜV NORD CERT or the content of report.