TÜV AUSTRIA

«Safety on Shelf» Certification Scheme

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1. "Safety on Shelf" Certification Scheme

This Scheme determines the fundamental requirements which a Retailing Company (henceforth referred to as "the Retailer") shall comply with, in order to be awarded with a «Safety on Shelf» Certificate. The «Safety on Shelf» Scheme verifies that an effective monitoring mechanism, an appropriate set of actions, and adequate resources and infrastructures are in place for each of the Retailer's facilities, to evidently support that the certified fresh in bulk food products on shelves, maintain the food safety level as has been previously assured at their food processors' production units.

The compliance of the Retailer against the Scheme's requirements is evaluated by TÜV AUSTRIA, as the independent Certification Body.

2. Objectives of the Certification Scheme

The objective of the Certification Scheme is to assure – in a systemic way – the safety of the fresh products sold in bulk on the Retailer's shelves, through a constant maintenance of appropriate controls and recordings, relevant to food hygiene, the cold chain of hauling food products throughout the network i.e. production unit, Retailer's distribution centers and its stores, and their traceability from the food processor to the shelf.

The main outcome of the «Safety on Shelf» protocol is to certify that the Retailer has the provision to plan, support, implement, monitor, communicate and continuously improve a set of actions, aiming to ensure the above objective.

These actions set the right ground to:

- ✓ Effectively and constantly monitor the safety of the fresh products in bulk that are sold in the Retailer's branches (stores), always in accordance with the guidelines of their Internal Quality Management System for these products.
- ✓ Setting up an effective system of alerts and product withdrawal in case of findings in the chemical testing or major non-Conformities during on-site audits.
- ✓ Supporting the integrity of the fresh food products that are sold in bulk by the Retailer, with reference to their initial food safety attributes, rendered at the supplier's production unit.

3. Benefits of the Certification Scheme

The "Safety on Shelf" Certification, allows the Retailer to:

- ✓ Validate - through the use of the specific logo of certification- its commitment to provide safe and quality fresh products in bulk to its customers.
- ✓ Reinforce its strategy to develop a framework and set of actions to improve the monitoring system that is already installed to control the conditions under which the products are produced, delivered, and stored until they are sold to the customers.

4. Scheme's Definitions

Each one of the analysis and description for the definitions given below is made accepted merely for the purposes of communicating the content and the vision, as well as evaluating the requirements of this Protocol.

Term	Definition
Action Plan	An action plan is a plan with a root cause analysis and corrective actions (short and/or long term) how non-Conformities found during an internal or verification audit could be sorted/solved.
Assessment	The process of determining whether an organisation fulfils requirements of this protocol.
Audit	Audit is the process of examining a service or its planning and the determination of its compliance with specific requirements or on the basis of professional judgment with general requirements
Auditee	The Retailer (companies, distribution centres, branches) which are audited.
Certification Body	A third-party compliance assessment body operating the certification scheme.
Complaint	Expression of dissatisfaction to the Retailer related to its product or service
Compliance	Fulfilment of requirement
Correction	Action to prevent a detected non-Conformity
Corrective Actions	Action to eliminate the cause of a potential non-Conformity and to prevent recurrence

Term	Definition
Improvement	Activity to enhance performance
Interested party	Person or the Retailer, that can affect, be affected by, or perceive itself to be affected by a decision or activity
Management	Coordinated activities to direct and control the operational processes of the Retailer
Non-Conformity	A non-Conformity is the failure to comply with a requirement, standard, or procedure. A Non-Conformity Report (NCR) is issued in a verification audit, when the auditee fails to meet a requirement.
Parties involved	By interested parties it is meant the “the Retailer” the Retailer the Retailer and the Certification Body.
Policy	Intentions and direction of the Retailer as formally expressed by its top management
Preventive action	Action to eliminate the cause of a potential non-Conformity or other potential undesired situation
Procedure	Specified way to carry out an activity or a process
Requirement	Need or expectation that is stated, generally implied or obligatory
Scheme owner (SO)	Owner and manager of a certification scheme
Vision	Aspiration of what the Retailer would like to become as expressed by top management
the Retailer	The Retail Company with all of its facilities / sites, that wish to be certified according to the «Safety on Shelf» Certification scheme
Quality Manager	The person responsible for monitoring the Quality Management System in the Headquarters
Facility Manager	The person responsible for the monitoring the day-to-day operations of a facility (Distribution Centre, Store etc.)

«Safety on Shelf»

Part I of the Certification Scheme

“Audit Protocol & Quality Assurance”

5. Audit Protocol

The audit protocol describes the specific requirements and conditions for TÜV AUSTRIA to conduct the whole process of auditing, evaluating the compliance and certifying the Retailer implements the requirements of the present Certification Scheme. The purpose of the Certification Scheme is to define the principles and criteria to be followed while performing audits against the Certification Scheme's requirements.

Strict implementation of the requirements is intended to ensure that TÜV AUSTRIA operates and provides its certification activities in a competent, consistent, and impartial manner.

Certification activities are the individual activities that make up the entire certification process, from application review to termination of certification.

5.1 Scope of the Audit

The Scheme "Safety on Shelf" applies to Retailers and their network of stores (i.e. hypermarkets, supermarkets etc.) and auxiliary assets (i.e. distribution centers, warehouses etc.).

The Audit & Certification process, however, involves the Retailers' food product supply chain as well.

In this context, an audit against the "Safe on Self" certification requirements, can be conducted, at:

1. **The Suppliers** who provide "The Retailer" with fresh products to be sold in bulk at the Retailer's individual stores.
2. "The Retailer's **Distribution Centers and Auxiliary Assets**, that handle and store the fresh food products, to be sold in bulk at the Retailer's stores.
3. "The Retailer's" **Individual Stores** (i.e., Super Markets or Hyper Markets).

5.2 Audit Scope's prerequisites

It is a prerequisite for the «Safety on Shelf» Scheme that both "The Retailer" and all of its suppliers providing fresh product(s) in bulk, hold an active Food Safety Management System (FSMS) in place, with a scope relevant to the fresh product that is delivered to "The Retailer", either packed or unpacked.

1. In the event that the Supplier(s) holds an accredited Certificate for its Food Safety Management System in place, TÜV AUSTRIA requests "The Retailer" to submit and verify the validity of its Supplier(s) certificates, as a prerequisite before proceeding for an audit and certification against the «Safety on Shelf» Scheme's requirements.
2. In the event that the Supplier(s) of "The Retailer" do not hold in place an accredited certification for its Food Safety Management System, "The Retailer" requests its Supplier(s) to either achieve an accredited certification for their FSMS that covers the production of their deliverables (fresh products), or request TÜV AUSTRIA to plan and conduct a Second Party Audit, against the requirements of an international FSMS, for which the Supplier(s) should evidently support their compliance.
3. In the event that there is a contractual agreement in place between "The Retailer" and its Supplier(s) that foresees for an advanced FSMS being in place, then this provision becomes the fundamental prerequisite of the «Safety on Shelf» Scheme. This exceptional Retailer's requirement therefore, substitutes the basic prerequisite of the Scheme, for an effective FSMS at the Retailer's supplier units and becomes integral part of the audit scope.

For each advanced condition that the "The Retailer" requests from its Supplier(s) to be in place, which could affect the effectiveness of their FSMS, the option for the Supplier(s) to either submit to "The Retailer" an accredited certificate that covers this advanced scope, or alternatively to request TÜV AUSTRIA for conducting a Second Party Audit to assess the compliance of its FSMS against the requirements of the contractually agreed food safety standard, applies.

In the event that the Retailer's supplier(s) should be evaluated under a Second Party Audit process, it is the Retailer's obligation to inform and assign this task to TÜV AUSTRIA.

5.3 Multi-Site Certification

The “Safety on Shelf” certification scheme applies for a multi-sited certification when the Retailer maintains an identified central function, hereafter referred to as a Headquarters/Central office or Location (not necessarily the headquarters of the Retailer), at which the central mechanism and the set of the planned actions to support the “Safety on Shelf” audit requirements – throughout all the sites of the Retailer – are controlled or managed, and a network of sites, which provide the same products or product categories, sold in bulk, exist for the Retailer.

A multi-sited structure could be addressed as multinational in the case that the Retailer is operating in different regions, under the same central mechanism.

The «Safety on Shelf» scheme can potentially be certified in the context of **“multi-site certification**” under one framework and a set of planned actions, providing that the following fundamental conditions apply:

- ✓ all sites are operating under one centrally controlled and administered Quality Management System.
- ✓ a scheduled programme of internal audits from the Headquarters has been established and at least one cycle has been completed including all sites to be certified.
- ✓ Any audit finding assessed (Major Non-Conformity) when auditing an individual site shall be considered as indicative for the entire system of the Retailer.
- ✓ Non-Conformities can also be characterized as systemic ones and for which corrective actions should be implemented uniformly throughout the different sites of the Retailer.
- ✓ a «Safety on Shelf» Team has been stipulated, and at least one responsible person has also been appointed at each site of Retailer, with the main responsibilities towards the efficient implementation of the Retailer ’s policy to support the objectives of the «Safety on Shelf» at each site
- ✓ the «Safety on Shelf» corporate policy and specific requirements are made aware to all sites and adjusted to regulatory requirements.
- ✓ complaints, non-Conformities, and relevant corrective actions are handled in the frame of centrally management framework

5.4 Audit Request & Application Review

The responsible personnel of "The Retailer" fills in and submits the Application Form for «Safety on Shelf» certification (Annex 1) to TÜV AUSTRIA, declaring the scope of the audit, the fresh product(s) in bulk to be certified, accompanied by information relevant to all the facilities that are involved in the supply chain of the product(s).

In the event that a Second Party Audit at the Retailer's supplier(s) sites is assigned to TÜV AUSTRIA, the Retailer's responsible personnel, provides all the needed info for the supplier's facilities, as they will be requested by the Certification Body, with reference to the exceptional requirements of the Retailer as these apply per case (e.g. food standard's requirements). Additionally, the Retailer is responsible to ensure its supplier's consent to receive and support the Second Party Audit by TÜV AUSTRIA at its premises.

In all cases, the Application Form is reviewed by the competent and authorized Administration Personnel of TÜV AUSTRIA to determine that all information about "The Retailer" or its exceptional requests are sufficient. When any potential differences between the two parties have been resolved, and all other points that could influence the certification activity have been considered, TÜV AUSTRIA proceeds gradually towards the audit process.

6 Quote generation and audit Information

TÜV AUSTRIA supplies the requesting Retailer with a quotation and audit process details, including the scope of certification, audit and certification steps, certification fees, any relevant expenses, the audit frequency, any exceptions to be considered for the audit and certification process, as well as the on-site audit's deliverables.

Before scheduling the audit, both TÜV AUSTRIA and the requesting Retailer, sign the contractual details to govern their cooperation.

7 "Hybrid Audit" Process at the Retailer

Taking as granted that the prerequisites as defined in paragraph 6.1 (Audit's Scope Prerequisites) of the herein document are met, the audit process at the Retailer's sites (as these are determined in the Application Form to join the certification scheme), initiates by the distribution to the Retailer's Quality Manager of the two distinct «Safety on Shelf» **e-Questionnaires.**

- The **e-Questionnaire for the "Headquarters' Quality Manager" (HQ e-Quest)** (ANNEX 2) and
- The **e-Questionnaire for each "Facility Manager" (FM e-Quest)** (Annex 3) (i.e. the local responsible person for monitoring the day-to-day operations at each Retailer's network of stores and auxiliary sites)**.**

The **HQ e-Quest** is intended to be filled-in by the Quality Manager in the Headquarters for the Initial Certification. Then it is again requested and sent every three years (at the re-Certification process phase). The Retailer's Quality Manager is in any case, obliged to inform TÜV AUSTRIA for every revision of the Quality Manual that involves any alteration to the information provided through the previous submitted e-Questionnaires and which happens during the current certification cycle.

The **FM e-Quest** is intended to be filled-in by each one of the Facility Managers (i.e. Distribution Centers and Stores that are declared in the Application Form as relevant for Certification), after it is sent to them, by the Quality Manager of the Headquarters.

A timeframe of maximum five (5) working days is given for the Quality Manager and all Facility Managers to return all the respective e-Questionnaires filled-in, to TÜV AUSTRIA for further review and evaluation.

Based on the filled-in "HQ e-Quest" and "FM e-Quest" documents, TÜV AUSTRIA performs a **Remote Compliance Assessment** to verify the compliance of the Retailer to the claims of the Scheme.

The procedure involves a subsequent **Risk Assessment Analysis** that is conducted by TÜV AUSTRIA, based on the results obtained upon the Remote Compliance Assessment, and the particularities addressed to the Retailer's facilities, as these have been also recognized through the Application Review phase.

Making use of the Risk Assessment results, TÜV AUSTRIA selects at a minimum one-third (1/3 or 33%) of the Distribution Centers, and additionally ten percent (10%) of the candidate stores (e.g. Super Markets) of "The Retailer", for an on-site initial certification audit.

After completing the selection, TÜV AUSTRIA informs the headquarters of "The Retailer" about the selected facilities to be audited, assigns the appointed auditors, and requests assistance for organizing the on-site audits within ten (10) working days after the announcement.

8 Audit planning at the Retailer

The appointed Lead Auditor of the audit team prepares an Audit Plan, which is forwarded to the headquarters of “The Retailer” before the audit. The Audit Plan entails the agreed dates of the audit, the processes to be audited and the responsible persons of the Retailer to contribute to the audit team, as well as any needed information to support the audit process (i.e. the selected sites to be audited, the interviewees etc.).

“The Retailer” assists the audit team in scheduling the audit dates and making appointments with the appropriate responsible personnel in the facilities to conduct each audit process, including both the remote audits (e.g. e-questionnaires) and the on-site audits, as well as any requested interviews with the responsible personnel with reference to handling the fresh product(s) underlie the scope of certification.

“The Retailer” reserves the right to request a rescheduling of the audit, for one time only, and after providing a written justification for force majeure.

All the on-site audits, at “The Retailer’s” sites (or and its Supplier’s sites, if applicable) are conducted by a competent Audit Team of TÜV AUSTRIA, based on the Quality Assurance requirements of the Scheme, at a time when each facility, is fully operational with reference to the fresh product(s).

8.1 Audit duration calculation at the Retailer

The overall audit time is affected by indicative basic parameters of the Retailer’s operational structure which are the following:

- The size of the facilities
- The number of facilities to be audited
- The complexity of the internal control system of the Retailer to be audited
- The number of personnel within the scope of the application

8.2 Auditor’s responsibilities

During the **selected on-site audits**, the appointed Lead Auditor and the audit team:

- Realize the accuracy of the answers that have been provided in the e-questionnaire by the responsible personnel of the reporting facility.

- Assess the conditions (pillars for all the audits of the scheme) of the facility concerning:

1. **Hygiene**,
2. Preserving the **cold chain**
3. Avoiding **cross-contamination**
4. And **traceability** of the product sold in bulk.

- Also takes **samples** of the bulk product (during the on-site audit in the Super Markets)

The Audit Team is responsible for conducting the certification process properly in accordance with the specifications of the Certification Scheme. This includes:

- ✓ Preparation and planning of the audit
- ✓ Executing the audit
- ✓ Examination and evaluation of the applied system in practice (on-site during the audit)
- ✓ Documentation of the results of the audit
- ✓ Product sampling from the store's shelf

Within the audit team, the lead auditor has the following additional responsibilities:

- ✓ Drafting the audit plan and the report in consultation with the audit team
- ✓ Assigning audit responsibilities during the audit
- ✓ Documentation of audit findings and any non-Conformities in consultation with the audit team and recommendation for issue of the certificate
- ✓ Requirement for corrective actions by the Retailer to reach full compliance within a timeframe of 2 months from the initial certification
- ✓ Decision to terminate an audit
- ✓ Submission of the complete certification documents to TÜV AUSTRIA within the timeframe for release.

9 The "Hybrid Audit" Approach

The scheme provides a "Hybrid Audit" approach, either during the Initial Certification or any intermediate Monitoring and Surveillance audits are foreseen. Specifically, the "Hybrid Audits" allow for evaluating the Retailer's compliance against the Schemes Audit Requirements, through a combination of on-site and remote audits, at the Retailer's facilities (i.e. Headquarters, Distribution Centers, Stores etc.).

9.1 On-site Audit Conduct

General steps for conducting the on-site audit are the following:

- ✓ Conducting the opening meeting
- ✓ Performing document and records review while conducting the audit
- ✓ Communicating during the audit
- ✓ Assigning roles and responsibilities of guides and observers (if applicable)
- ✓ Collecting and verifying information
- ✓ Generating audit findings
- ✓ Preparing and distributing the audit report
- ✓ Preparing audit conclusions
- ✓ Conducting the closing meeting

During the on-site audit, the audit team reviews the Retailer's documented information and/or data concerning the requirements of the Certification Scheme and obtains necessary information and evidence regarding the «Safety on Shelf» context, including:

- ✓ Vision, policy, responsibility, and commitment of the senior management
- ✓ Processes and documentation established
- ✓ Applicable local statutory and regulatory requirements concerning the compliance status of the Retailer
- ✓ The allocation of resources needed for applying requirements and principles of «Safety on Shelf» Scheme.
- ✓ Awareness and training planning of relevant personnel involved and interested parties, visitors (i.e., clients, suppliers, associates etc.)

The audit process determines the stages that are followed, starting with the reception of the Retailer's request to join the Certification Scheme until the award of the certificate. Main elements of the certification process are namely:

- ✓ Audit preparations, to examine the extent to which it is feasible to conduct a certification audit.
- ✓ Audit execution
- ✓ Issue of the certificate
- ✓ Certification maintenance

9.2 Remote Audit Conduct

The remote audit is a full scope desktop evaluation process, against the «Safety on Shelf» Scheme's requirements, which is performed on the information and documentation submitted to the Audit Team, through the electronic questionnaires (HQ e-Quest and FM e-Quest).
The Certification Body is performing a Risk Assessment based on the received reports and accordingly appoint the on-site audits based on the agreed criteria of the Scheme.

10 Audit types

10.1 Initial Certification Audit

The Initial Certification Audit is a hybrid audit process that includes both (i) remote desktop audit at the Headquarters of the Retailer, through the "HQs e-Quest", and the "FM e-Quest" received from all the Retailer's site to be certified (i.e. at 100% of the sites), and (ii) on-site audit at a ten percent (10%) of the Retailer's sites having higher risk, in comparison to the rest. One of these on-site audits during the Initial Certification Audit process, is conducted at the Headquarters of the Retailer (or "Central Office of the Retailer's network).
During the Initial Certification Audit process, TÜV AUSTRIA further selects at a minimum one-third (1/3 or 33%) of the Distribution Centers, for an on-site audit.
The on-site Initial Certification Audits are organized and performed after the Risk Assessment conducted by TÜV AUSTRIA.
At each one of the Retailer's facilities that an on-site audit is conducted, sampling of product for test analysis is conducted (one per audited site).

10.2 Re-Audit

A Re-audit is conducted when the results of the audit (an initial audit or a renewal audit) have been insufficient to allow the award of the certificate. During re-audit, the auditor focuses on the implementation of the corrective actions taken to cross out the non-Conformities raised during the last Initial or renewal audit. The re-audit is conducted within maximum twenty (20) days after the initial or renewal audit.

10.3 Follow-up Audits

Follow-up audits are the ones which are performed at any time after the Initial Certification Audit and before the 6-months' anniversaries from the Initial Certification

audit. Specifically, the follow-up audits are conducted at the mid-terms of each 6-moth's anniversary, i.e. between M1 (1st month) and M6 (6th month), between M6 to M12, and so on until the end of the certification cycle and before the Re-Certification Audit.

A follow-up audit is not conducted between M30 and M36, when the Re-Certification Audit is being scheduled.

For the Follow-up audits, TÜV AUSTRIA randomly selects a 10% of the Retailer's facilities and requests for filling-in the FM e-Questionnaires within 24hours before submission to TÜV AUSTRIA, to conduct the remote audit assessment.

Additionally, TÜV AUSTRIA randomly conducts an un-announced on-site audit in one of the facilities of the retailer, regardless of whether this site has been previously audited remotely or on-site. During the on-site audit, sampling of product for test analysis is conducted.

In the case of Minor Non-Conformity, additional information is requested to cross out the finding, and in the case of a Major Non-Conformity reported, then an additional facility is randomly selected for on-site visit.

This procedure shall be continued until all non-Conformities are crossed out, with the possibility the Certificate to be suspended in case of inability of the Retailer to cross out the NCs.

10.4 Surveillance audit

Surveillance audits are indicated as the ones which are performed at every 6-months from the Initial Certification audit, until the Re-Certification Audit (i.e. M6, M12, M18, M24, and M30). The Surveillance audit includes both remote desktop assessment (through the "FM e-Quest") of each Retailer's site to be certified (i.e. at 100% of the sites), and a ten percent (10%) on-site audits to Retailer's sites of higher risk, in comparison to the rest. During the Surveillance Audit process, TÜV AUSTRIA further selects at a minimum one-third (1/3 or 33%) of the Distribution Centers, for an on-site audit.

The on-site Surveillance Audits are organized and performed after the Risk Assessment conducted by TÜV AUSTRIA.

At each one of the Retailer's facilities that an on-site audit is conducted, sampling of product for test analysis is conducted (one per audited site).

10.5 Recertification Audit

Recertification audits are those which are performed before the expiry date of the last issued Certificate. They are conducted and aim to extend the issue period of an existing certificate.

10.6 Extension audits

Extension audits are applicable in cases where the Retailer is willing to include additional activities, products sold in bulk, additional suppliers and/or locations to an existing certificate. The Assessment criteria are evaluated only in the basis of what is valid on the time that extension is applied for.

11 Audit Notification

Based on the notice given to the auditee (i.e. Retailer) by the Certification Body TÜV AUSTRIA, prior to the audit, the Scheme recognizes two different audit types as follows.

11.1 Announced Audits

The audit date is agreed with, or disclosed to, the audited site of the Retailer. This type of audit, within the context of the “Safety on Shelf” Certification Scheme, applies only to the Initial Certification audit process, the surveillance audits at every 6-months’ anniversary from the Initial Certification Audit, as well as the Re-Certification and the Extension Audits.

11.2 Un-announced Audits

Un-announced Audits are indicated as the ones that can be performed at any point of the Certification Cycle in either the auxiliary facilities (i.e. distribution centres, warehouses etc.) or the Retailer’s stores, with a twenty-four (24) hours prior notice before the Auditor’s on-site visit in one of the facilities.

This type of audit, within the context of this Certification Scheme, applies only to the intermediate Monitoring Audits – between the Surveillance and Re-Certification Audits – and to the Exceptional Audits.

11.3 Mystery Shopping

This kind of Audit can be performed only in the final selling points where the fresh products in bulk are sold to the customers, to justify the Retailer's dedication to the policies of the «Safety on Shelf» Scheme and the continuous and effective compliance to the Scheme's principles and requirements. The mystery shopping is based on visual observations of the auditor, towards the personnel and the premises of the selling points.

TÜV AUSTRIA has the right (but not the obligation) to conduct at least a mystery shopping per year at the Retailer (i.e. to a Retailer's site or facility), or even more only after a justified risk analysis upon the findings of previous audit results that have been recorded. This kind of audits are conducted with the intention to maintain the integrity of the Certification Cycle and justify the compliance to the requirements of the Scheme.

12 Evaluation of the Compliance Requirements

12.1 Audit results (reporting)

Following each audit, a full written report shall be prepared in the provided format. The elements of the audit report are the following:

- ✓ General information of the Retailer's facility (detailed name, full address etc.)
- ✓ Audit results
- ✓ Comments concerning effectiveness of corrective actions implemented by the previous audit (if applicable)
- ✓ Remarks (positive or other) and general conclusion
- ✓ List of non-Conformities and justifications
- ✓ Photos and records as proof of non-Conformities during the on-site visit

12.2 Characterization of the audit results

12.2.1 **Full Compliance** to the critical points of interest as well as the minor points of interest

12.2.2 **Deviation** from one or more of the minor points of interest which do not influence the capacity of the audited site to fulfill the expected results of the Certification Scheme. The lead auditor can request the

creation of an Action Plan (corrective actions' plan) which should be submitted either after the end of the on-site audit from the responsible personnel, or in the timeframe of 5 working days from the headquarters of the Retailer. The evaluation of the corrective actions' plan is performed the latest during the next on-site audit.

12.2.3 **Non-Conformity** from one or more of the critical points of interest which can influence the capacity of the audited site to fulfill the expected results of the Certification Scheme. The Lead Auditor can request an Action Plan with objective and tangible proofs of research for the causes, the dangers, and the proposed corrective actions in the timeframe of 10 working days after the end of the on-site audit. The acceptance of the Action Plan and crossing out the major non-Conformities occur when the audited site or the headquarters of the Retailer provide objective and tangible proofs that the corrective actions have been implemented and they no longer influence the critical points of interest in the supply chain of the products sold in bulk.

12.3 Report of findings

The Lead Auditor evaluates the importance of the findings during the on-site audits concerning the requirements of the «Safety on Shelf» Scheme that the Retailer has committed to implement and follow.

In the case that the Lead Auditor did not realize any non-Conformities during the on-site audit (Full Compliance), then the Audit Report can be filled and submitted to TÜV AUSTRIA for technical review.
In the case that the Lead Auditor realizes only minor Non-Conformities (Deviation) then additional information is requested by the Auditee and the Audit Report can be filled and submitted to TÜV AUSTRIA for technical review when these are provided.

In the case that the Lead Auditor realizes major non-Conformities (non-Conformity) during an on-site audit, then a communication with the technical reviewers of TÜV AUSTRIA occurs, in order to decide upon further actions needed. In all cases, when a major non-Conformity is reported by the Lead Auditor, then an Action Plan is

requested, and the procedure is followed as described above for the non-Conformities to be crossed out.

Furthermore, TÜV AUSTRIA performs an additional risk assessment to select an extra sample of 1/3 of the distribution centers as well as an extra 10% of the branches to be visited to realize their compliance to the requirements of the «Safety on Shelf» Certification Scheme.

In the case that no findings are reported after the completion of the additional on-site audits, then the lead auditor is authorized to fill the reports and submit them to the offices of TÜV AUSTRIA for evaluation and Technical Review.

In the case when Minor Non-Conformities are recorded during the on-site audits, then the Lead Auditor is requesting additional information and/or an Action Plan of how the Retailer is planning to mitigate with this Non-Conformities.

In the case that during the additional audits, Major Non-Conformities are realized, then the Lead Auditor communicates the case with TÜV AUSTRIA and an identical procedure is followed with a selection of another 1/3 of the distribution centers as well as an extra 10% of branches that have not been audited so far.

12.4 Certification decision

The lead auditor delivers the complete audit file, according to the evidence collected during the audit process. The administration personnel check the completeness of the audit documentation file as far as the documents that it contains.

The technical reviewers of TÜV AUSTRIA receive the file from the administration only when it is complete. If that is not the case, the lead auditor is notified of the missing audit documents. The technical reviewers release the documentation only if there are no findings graded as major non-Conformities. If that is not the case the lead auditor is notified. Certification can be granted only when compliance to all audit criteria is justified.

The Certification Body -having considered the release of the audit documentation from the Administration staff and the recommendation of the technical reviewer and other data of the Retailer- decides whether to:

- ✓ Grant certification
- ✓ Refuse certification
- ✓ Withdraw certification
- ✓ Suspend certification

If the decision is positive, the Certification Department issues the Certificate which is then awarded to the Retailer Head Offices.

If the decision is negative, then a communication with the Retailer's head offices is established to initiate the procedures that are mentioned above, to cross out all non-Conformities and proceed with the certification.

12.5 The initial certification timeline

Activity and timetable of the certification process on the first six months after receiving the application from the Retailer, carried out by TÜV AUSTRIA:

	Step Process/ Actions	Steps' Time Frames and Deadlines
1.0	Delivering of the e-Questionnaires (i.e. HQs e-Quest and FM e-Quest) to the Retailer's central offices to be handled and distributed to all involved facilities accordingly.	Mutually agreed date initially (Every six (6) months for continuance of certification)
2.0	Receiving the e-Questionnaires and performing a Remote Audit and Risk Assessment to select the facilities to be audited on-site	5 working days after delivering them to the main offices of the Retailer
3.0	Performing On-Site audits to the selected facilities	10-15 working days after receiving e-Questionnaires, under the condition that the Retailer's facilities are operable at that time.
3.1	Audit Report including potential non-Conformities is submitted from the Lead Auditor, after the Hybrid audit	2-10 working days after to completion of the on-site audit
4.0	Receiving of any corrective actions in case of non-Conformities (e.g., documents, photos etc.)	2-5 working days after submission of the Audit Reports

	Step Process/ Actions	Steps' Time Frames and Deadlines
5.0	Re-audit when potential non-Conformities' crossing out require on-site verification	5-10 working days after submission of the Audit Reports
6.0	Review and release of the final report after closing potential raised non-Conformities	5-10 working days after submission of the final audit report by the audit team
7.0	Certification Decision	2-5 working days after releasing the final report
8.0	Certificate issuance, in case of a positive certification decision (or written decline for certification, in case of negative certification decision	2-3 working days after the Certification Decision made

12.6 Certification cycle

When the initial certification is granted, the certification cycle starts on the date of the certification decision, and it is valid for three years, taking as granted that the six months' auditing cycle is followed, and no non-Conformities are realized during this time.

At the six months' anniversary from the Initial Certification, TÜV AUSTRIA is repeating the process of sending the Facility Management e-Questionnaires (FM e-Quest) to all (100%) of the facilities, to be filled-in by the responsible personnel, before their resubmission to TÜV AUSTRIA.

The Assessment of the e-Questionnaires, the Technical Review of the Audit Reports and the recording of non-Conformities is repeated, and TÜV AUSTRIA proceeds accordingly.

Before the expiry of the Certificate, the re-certification audit is conducted, for the renewal of the certificate for the next three years. The re-certification involves the sending of the e-Questionnaire which is intended for the Quality Manager in the Headquarters (a process that is repeated once every three years) and the sending of the e- Questionnaires to the 100% of the facility Managers (as it is the part of the six-months' cycle of certification). The new certificate is issued in continuation to the previous one with the same registration number.

In case the Retailer submits a new Application Form with additional products or services to be Certified by TÜV AUSTRIA, then the initial Certification process occurs involving the e-Questionnaires and the on-site visits as described above.

In case the Retailer applies for a new facility to enter the system of Certification, then a remote audit through e-Questionnaire is performed to assess the compliance of the new site. In case the Risk Assessment indicates reason(s) for an on-site visit, then the proper procedure is followed.

12.7 Shape and Structure of the Certificate

TÜV AUSTRIA issues the certificate of compliance to the requirements of the «Safety on Shelf» Scheme, which contains the following elements and information:

- ✓ The Certification Scheme's name
- ✓ The name, address, logo, and location of the Retailer
- ✓ The scope of application
- ✓ The issue and expiry date of the certification. In case of renewal, initial certification date is documented
- ✓ The registration numbers
- ✓ The full name, logo and address of TÜV AUSTRIA
- ✓ The logo of «Safety on Shelf» Certification Scheme
- ✓ Discreet iridescent marking baring certification body's logo to prevent improper reproduction of the certificate
- ✓ Ownership and reproduction restrictions of the certificate

A sample of the certificate is presented in the Annex of the Certification Scheme.

12.8 Registration of Certificates

Once the certification audit or re-certification audit are concluded positively, the certificate is registered in the Certification Body's database and the Retailer receives the right to use the logo of TÜV AUSTRIA according to the specifications that are set. The Certificate is issued with reference to the Headquarters of the Retailer which is considered as the "Master Certificate". Certificates with the same registration number for the same processes and products can be issued on request for all facilities of the Retailer.

12.9 Certification suspension and/or withdrawal

Certification may be withdrawn in case at least one of the following occurs:

- ✓ Financial debts to TÜV AUSTRIA: if the agreed certification fees are not settled in the defined timeframes.
- ✓ Failure to comply with the terms set out in the signed contract with TÜV AUSTRIA regarding both economic data, as well as other requirements related to certification.
- ✓ The audit indicates the non-fulfilment of the criteria that do not allow the continuation of the certificate validity.
- ✓ the Retailer's denial or unwillingness to comply with new requirements arising from the current local legislation or amendments to the Certification Scheme's requirements that are decided by the certification body.

In the case that TÜV AUSTRIA realizes that at least one of the above-mentioned reasons occur, it notifies the Retailer's Head Offices in writing prior to the certificate's suspension/withdrawal, explaining:

- ✓ The reasons for which it intends to proceed to this action.
- ✓ The local legislative (if applicable) and regulatory framework under which the decision for certification withdrawal is documented.

Complaint or accusations: in case of complaints or claims made by any interested party, TÜV AUSTRIA reserves the right to investigate the incident. If it is found that the complaint or accusation made against the Retailer is justified, TÜV AUSTRIA may suspend or withdraw the certification. In case of suspension, the Retailer is notified in writing for the reasons of the suspension and adequate corrective actions are requested to be implemented by the Retailer for TÜV AUSTRIA to re-activate certification.

the Retailer may appeal against TÜV AUSTRIA's decisions. Appeals are examined by the certification body's Integrity Committee which may take legal or other advice as required, to investigate each case.

Appeals cannot be submitted after 30 days after the notification from the Retailer regarding the intention of certification withdrawal.

Examination of the Retailer's appeal from TÜV AUSTRIA is made in writing and within a period not exceeding 20 days from the submission of the appeal.

TÜV AUSTRIA informs in writing the head offices of the Retailer regarding its decision after evaluating the submitted appeal.

In case the Certification Body accepts the appeal, a written notice for the acceptance of the decision is submitted to the Retailer's Management.

In case the Certification Body rejects the appeal, then it proceeds to the certification withdrawal. Certification suspension and/or withdrawal are always made public by TÜV AUSTRIA using all means available.

The Head Offices of the Retailer are obliged to return the original (hard copy) certificate to TÜV AUSTRIA within 7 days.

13 Ownership and management of certification logo

The right to use the Certification Logo of the «Safety on Shelf» Certification Scheme from TÜV AUSTRIA is exclusively valid for the Retailer and all its sites that were included into the Scope of the Scheme.

Use of the Certification Logo cannot be transferred by the Retailer to a third party or a successor thereof (e.g., change of the Retailer's name). The Certification Logo must be legible, meet the specifications provided in this Certification Scheme and can be clearly seen. The Retailer is obliged to use the Certification Logo in such a way as to not create confusion or mislead the public regarding the type of scope audited/assessed by TÜV AUSTRIA.

If claims are raised against the Certification Body due to arbitrary, illegal, or opposite to the provisions of this Certification Scheme, use of the Certification Logo by the Retailer, it is obliged to absolve the Certification Body of any claim of third parties. The same applies if claims are raised by third parties against the Certification Body for allegations made for promotional purposes by the Retailer that do not meet the terms of Certification Logo use or are causing confusion or are misleading regarding the type of scope audited/assessed by TÜV AUSTRIA. The Retailer shall not make or permit any misleading statement regarding its certification.

After suspension/withdrawal of certification, the Retailer discontinues the use of all advertising means that contain a reference to the certification. The Retailer does not imply that certification applies to activities/events that are not included in the certification scope.

The Retailer does not use its certification in such a way that would bring the certification body into disrepute resulting in losing public trust.

14 Termination of the right of use

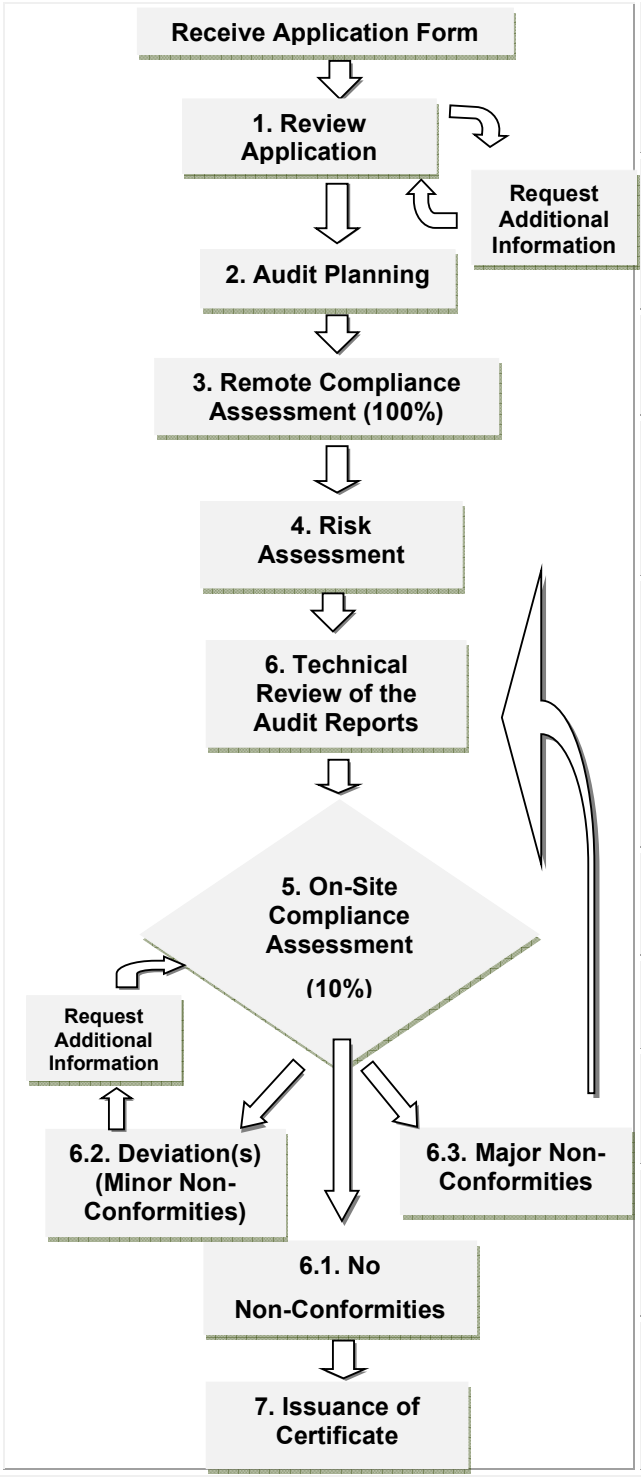
The Retailer's right to use the Certification logo and hold the Certificate ceases with immediate effect, if:

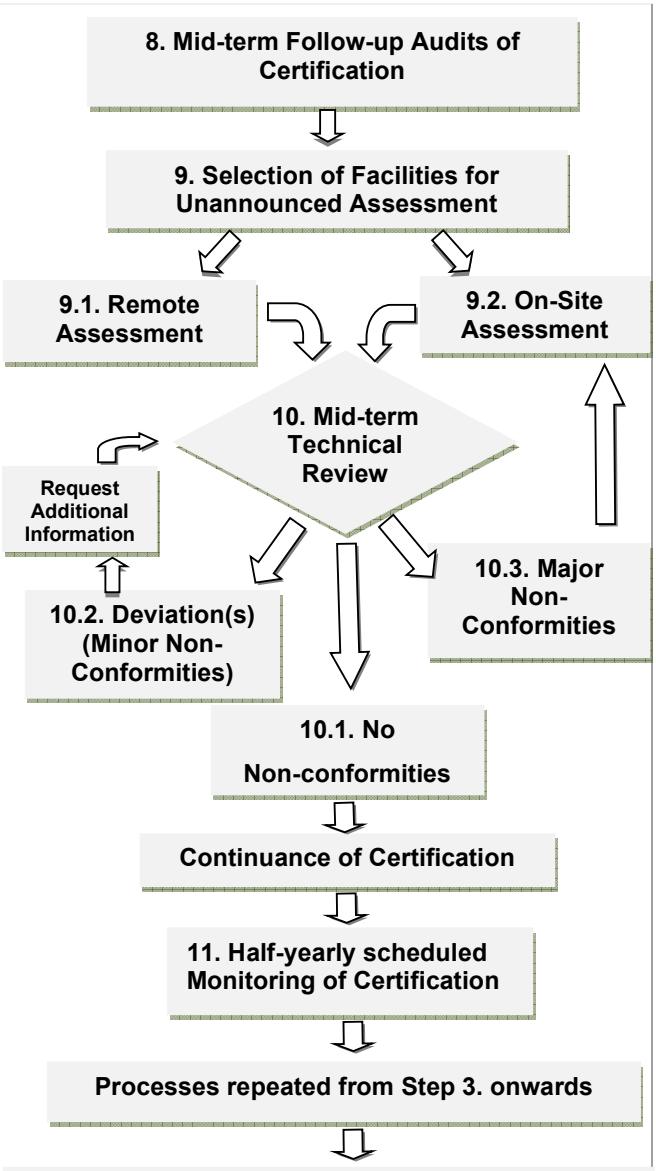
- ✓ the Retailer does not notify TÜV AUSTRIA regarding any significant changes in its structure which have direct impact on certification (e.g., change in legal entity, company's headquarters).
- ✓ the Retailer does not pay its fees to TÜV AUSTRIA within the agreed period.

the Retailer's right to use the Certification logo and to maintain/ hold the Certificate ceases also directly when it uses the Certification logo in a manner opposite to the provisions of the contract. TÜV AUSTRIA has the right to proceed with the removal of the Certificate and its annulment in case the provisions of this paragraph are not met.

the Retailer is obliged to return the original (hard copy) certificate to TÜV AUSTRIA upon termination of the right of use.

15 Summary of the Audit Process

Procedure for Initial Certification	No.	Description
	1	The Administration officers receive the Application, assess its completeness, request additional documents if needed, assess the readiness of the Applicant, and proceed with the Offer and the Contract.
	2	The responsible personnel of TA send the e-Questionnaires to the Headquarters of the Retailer, to be filled by the Quality Manager and all of the Branch Managers.
	3	An Assessment is conducted onto the e-Questionnaires submitted from the 100% of the facilities.
	4	TA is performing a risk assessment according to the responses they have received through the Questionnaires and the results of the Application Review.
	5	TA is selecting 1/3 of the Distribution Centers and 10% of the number of branches to conduct the on-site audits and inform the Headquarters of the Retailer about the selections. The responsible personnel of TA are assigning the on-site audits and samplings to the appointed auditors and monitors the successful outcome.
	6	The Technical Review is conducted according to the documented procedures and the Audit Requirements of the Scheme.
	6.1	In case of Full Compliance to the Scheme's Audit requirements, then (7) the Certificate is issued.
	6.2	In case of Deviations from the Scheme's Audit Requirements, then additional information is needed and then (7) the Certificate is issued.
	6.3	In case of Major Non-Conformities being realized during the Technical Review, an extra 10% of facilities is selected to perform additional on-site audits for full compliance to be realized and then (7) issue the Certificate
	7	When all the Non-Conformities have been crossed-out and the financial obligations from the Retailer have been met, then the Certificate is issued, and the logo of TA can be used as described in the Scheme.

Procedure for Surveillance of Certification occurring every six months	No.	Description
	8	Before the 6-months' anniversaries from the Initial Certification Audit, TA can initiate -on a random timing- the Follow-up Audits.
	9	TA selects the sample for the un-announced Assessment and proceed as following: 9.1. Send questionnaires to a random selection of the 10% of the Retailer's facilities, requesting response in 24 hours. 9.2. Randomly assign an additional un-announced on-site audit and sampling in one of the facilities. In the case of Non-Conformities, the relevant process is followed by assigning one more facility to be audited on-site, with the possibility of the Certificate to be suspended if Major Non-Conformities occur horizontally.
	10	The Technical Review is conducted according to the documented procedures of the Scheme. If there are no Non-Conformities or when all the Non-Conformities are crossed out, the Certificate continues to be valid.
	11	At the six month's anniversary from the initial Certification, TA is sending the e-Questionnaire to be filled-in by all (100%) the Retailer's Facilities.
		The process is repeated with all the steps from No. 3 of the initial Certification process. After the Assessment of the e-Questionnaires from all the facilities, and the Technical Review on the Audit Reports of the on-site visits to the 10% of them, TÜV proceeds according to the findings of the Reports, to request additional information or additional on-site visits.
• **Full Compliance: The Certification continues** • **Deviation: Additional information is requested, and the Certification continues when minor non-Conformities are crossed out** • **Major Non-Conformities: On-site visits to another 10% of the sites is requested and when all Non-Conformities are crossed out, then the Certification continues**		Within the 3years' certification cycle, the Surveillance Audits are repeated from step No. 8 until No.10 (as part of monitoring the maintenance of the certification) before the Re-Certification at the end of the 3 years.

16 Quality assurance - Scheme Safeguarding

16.1 Auditors' requirements

Personnel of TÜV AUSTRIA respect the independence, impartiality, objectivity, and confidentiality rules mentioned in the preceding paragraph of this Certification Scheme.

For the auditors of TÜV AUSTRIA to be considered capable of conducting audits under the requirements of this Certification Scheme, they must meet the following qualifications:

- ✓ To be already appointed auditors in at least the ISO 22000 Management System.
- ✓ To have attended an informative one-day training course relevant to the scope, the objectives, the audit protocol and audit requirements of the scheme.

16.2 Training of auditors

All auditors working for the Certification Body attend an initial introduction training regarding the following:

- ✓ Auditor's responsibilities
- ✓ Legislation relating to the applied activity
- ✓ Management and requirements of this Certification Scheme

The need for training of auditors may arise:

- ✓ After revision of this Certification Scheme
- ✓ After identifying serious deficiencies of the auditors during the audit
- ✓ From the need to upgrade the knowledge and auditing capabilities to keep pace with current technological developments adopted by TÜV AUSTRIA.

The Certification Body keeps updated training records with full training data for all its auditors.

16.3 Auditors' approval methodology

16.3.1 Beginning of cooperation

The Certification Body collects data documenting the working experience relevant to the scope object (if any), and data related to education and/or training of the auditor. Then the certification body:

- ✓ Evaluates the collected data of the auditor
- ✓ Organizes the auditor's training
- ✓ Proceeds to final review and approval of the auditor, if all the necessary conditions are met

16.3.2 Cooperation monitoring

The auditor's file is evaluated every three years by TÜV AUSTRIA to continue the cooperation.

17 Management of complaints / appeals

17.1 Complaints

Complaints are an expression of dissatisfaction which relate to customer service issues and come from the Retailer or other interested party. Examples may include the following:

- ✓ Delays in the processing of audits
- ✓ Lack of transparency and collaboration by the audited the Retailer
- ✓ Behavioural problems of the certification body personnel
- ✓ Matters relating to the Retailer's operation and are directly related to the scope of the certification

17.2 Appeals

The submission of appeals is related to issues of dispute on the part of stakeholders of the independent and objective judgment of personnel carrying out the audit, the technical competence of the personnel involved in carrying out audits and their reliability.

17.3 Handling of complaints and appeals

These kinds of complaints/ appeals are submitted in written to TÜV AUSTRIA and are necessarily accompanied by relevant documentation (if not given at the outset

from the interested party, TÜV AUSTRIA requests it to be submitted in the form of a supplementary item).

For the investigation and handling of the complaints and appeals, a committee with sufficient technical training (based on the object of investigation) is constituted. The committee is consisted of, at least, three members, whereas any other advisory or external party may participate. Depending on the objective of the investigation, advice or assistance may be requested from a relevant society or body.

17.4 Third party complaint

It refers to complaints from parties not related to the audited Retailer.

TÜV AUSTRIA takes measures to collect as much possible information substantiating the complaint and compares them to the findings of the most recent audit carried out. TÜV AUSTRIA may decide to:

- ✓ Communicate with the client and / or the interested party to obtain evidence relating to the complaint, or
- ✓ Conduct a re-audit to check the correctness of the results of the initial audit or the allegations of the complaint.

If allegations of the complaint are found correct, depending on the severity of the deficiency, TÜV AUSTRIA requests corrective actions to be implemented by the Retailer within a reasonable time or proceeds with the withdrawal of the certificate.

In any case, if a third-party action harms the reliability and credibility of the audit or the Certification Body, TÜV AUSTRIA shall investigate the need to impose sanctions using all legal means.

17.5 Documentation and monitoring

All actions implemented in the context of any kind of complaint / appeal / accusation, are documented. At a minimum the following are defined:

- ✓ The implementing rules and details.
- ✓ The implementation responsible person(s).
- ✓ The implementation times.
- ✓ The authorized person for the verification of the adequacy and effectiveness of the actions taken.

18 Reliability

TÜV AUSTRIA undertakes obligation to provide only services within its scope of operation and ensures the necessary conditions for the proper provision of these services.

Both TÜV AUSTRIA and its representatives do not express in any way certainty of achieving results that are uncertain prior to the completion of providing the service, i.e., conducting the audit.

19 Integrity Audits

Integrity Audit is conducted to the Retailer and or its facilities, for either safeguarding the effective continuity of the Retailer's facilities compliance against the Scheme's requirements, or after a complaint or/and a dispute of a customer concerning the scope of the Scheme.
For conducting the integrity audit, or/and after assessing the complaint or/and the dispute, TÜV AUSTRIA assigns the audit in a Lead Auditor of TÜV AUSTRIA, with the required technical competence and independence against any previous audits or recorded findings at the Retailer's facilities, or if needed assigns the evaluation of the case in an assessor with the required technical competence and independence of interests from the Certification Body.

20 Independence / Impartiality

All involved in the audit process of the Certification Body must meet the following conditions:

- ✓ Not to be engaged in similar activity to that of the company and/or not to be engaged in relative activity of third party
- ✓ Do not provide any kind of service directly or indirectly to the Retailer and are not related in any way to this Retailer.

In general, the Certification Body and its personnel must not be connected to any activities that may conflict with their independence of judgment and integrity.

All interested parties must have access to the Certification Body's services, without being subject to unjustifiable economic or other conditions. Both audit procedure and

other procedures related to the general operation of TÜV AUSTRIA should be conducted in an impartial manner.

TÜV AUSTRIA's personnel state the preservation of independence, integrity and impartiality when performing their duties and ensure the confidentiality of information that comes to its attention in writing. The written commitment of TÜV AUSTRIA's personnel is renewed annually, while for newly recruited personnel's shall be made before undertaking responsibilities.

21. Confidentiality

The use of information that comes to TÜV AUSTRIA's attention during the exercise of its activity to its own advantage or for the benefit of third parties is strictly prohibited.

When TÜV AUSTRIA considers that there are strong reasons for which the Retailer's information must be used, it must obtain the Retailer's written permission in advance.

The obligation of confidentiality does not apply in case of information related to current legislation as well as in cases where TÜV AUSTRIA is called by judicial authority to provide its assistance.

«Safety on Shelf»

Part II of the Certification Scheme

"Audit Requirements"

22. Audit Requirements

No	Compliance Principle	Criteria - Requirements	Records
1	Top Management commitment and responsibility	The Retailer shall have a documented «Safety on Shelf» commitment statement, publishing in all facilities its commitment and its liabilities concerning its compliance to the requirements of the Scheme.	Retailer's commitment to the Requirements of «Safety on Shelf» posted on a visible place in all facilities
2	Setting measurable Key Performance Indicators of the implementation	The Retailer shall establish and monitor specific Performance Indicators which assure the compliance with the principles and requirements of the Scheme.	Records of results for specific Performance indicators which are evaluated frequently.
3	Communicating the Scheme's requirements internally	The Retailer shall perform trainings, internal meetings etc. to inform the personnel about the principles and requirements of the Scheme and maintain signed records to justify their participation.	Signed records of the trainings with reference to the Requirements of the Scheme.

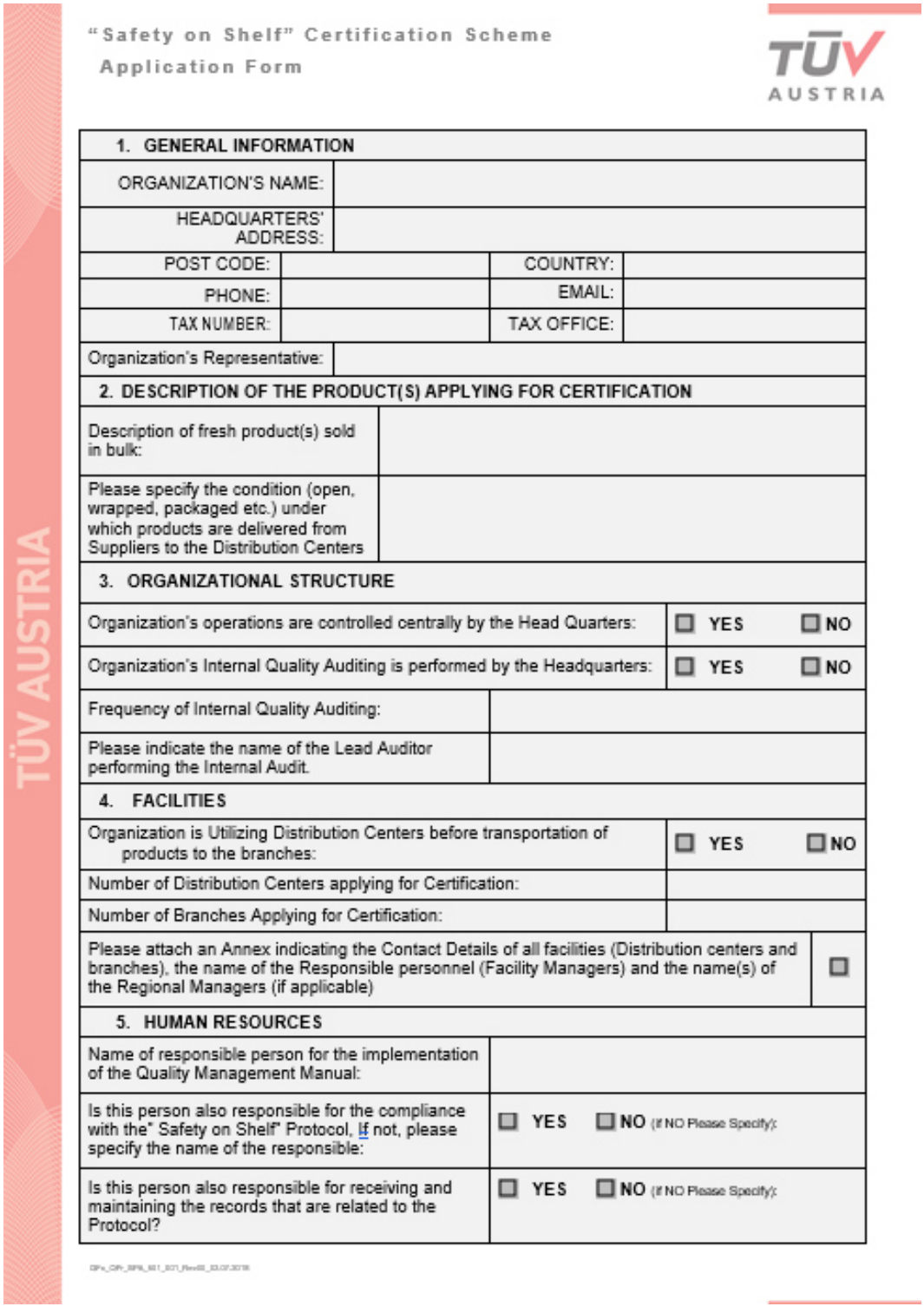
4	Communicating the Scheme's requirements externally	«Safety on Shelf» requirements shall be communicated, within the involved parties in the entire supply chain (suppliers, external co-operators and subcontractors) where their commitment should be safeguarded through contractual terms included in signed records.	Official documents (e.g., contracts) with the Suppliers and Sub-contractors, stating their commitment to the responsibilities in reference to the Scheme
5	Assigning duties	The Retailer shall assign a person or a team in each facility to hold the responsibility and authority for ensuring that the «Safety on Shelf» System is applied effectively, and the facility's operations are in compliance with the Scheme's requirements.	Records of the names and positions of the personnel with corresponding responsibilities that are assigned to monitor the facilities' compliance to the Scheme.

6	Monitoring the operational effectiveness and assuring compliance	The Retailer should establish and monitor the actions (of the personnel) at critical points, to safeguard the (measurable) objectives of the «Safety on Shelf» System in the transportation vehicles, storage rooms, refrigerators and selling points until the products in bulk are sold to the customers. The Retailer should maintain records for the appropriate combination of actions taken during the day-to-day operations – with reference to every six months – to evaluate the implementation of the «Safety on Shelf» requirements, at critical points, such as: **- Hygiene conditions:** o for the staff, o in the storage areas, o at the showcases (final selling points) o pest control in all areas **- Cross contamination:** o separation and covering of products in bulk o at the stores' workbenches and amenities (knives, machines etc.) o of the materials in contact with the fresh bulk product (wrapping paper) **- Cold chain preservation:** o from the supplier to the distribution centre o from the distribution centre to the stores o in the store premises o in the showcases (glass final selling point) **- Traceability:** o of the products in bulk from the supplier to the final selling point. o of each product's batch in bulk from the storage to the showcase. expiration date of batch, remain time in the store, discard of compromised product.	Records **<u>of the last six months</u>** regarding: **<u>Hygiene</u>** - Personnel's health books - Cleaning records in all areas - Pest Control Certificates **<u>Preserving cold chain</u>** - Records of temperatures (during transport, in storage rooms, refrigerators and in selling points) - Records of Calibration of the thermometers - Records of the maintenance of all equipment involved into the preservation of the Cold Chain. **<u>Assuring Traceability</u>** - Records of invoices for the products under certification - Records of the entry dates of the batches for the certified products. - Records of the expiration dates of batches - Records of the remaining time of each batch in the store. - Records of discarded compromised products.

7	Assessing and evaluating the monitoring mechanism	The Retailer shall monitor the implementation of the «Safety on Shelf» Policy through a frequent **Internal Audit** (minimum once per year explicitly on the pillars of the Scheme) at any area and involved parties (headquarters, personnel, suppliers, subcontractors,), which can be part of the scheduled Internal Audit from the Headquarters. The Retailer should keep records to justify the compliance to the pillars of the Scheme as following: - Hygiene conditions - Avoiding Cross-contamination - Preserving the Cold Chain - Assuring Traceability The Retailer should also effectively analyse and tackle the results of the Internal Audits that are performed regularly.	- Records of: • Internal Audit plan for the stores • Internal Audit report that indicates the date of the audit, the name of the internal auditor, and traces at a minimum the facilities, the products and the documents that have been audited, against the scheme's objectives. • Periodic analysis report of findings, and corrective action (if needed) to meet the scheme's objectives
8	Communicating the results and achievements towards the compliance.	The Retailer should communicate the results of the periodic assessments at their facilities (i.e. internal or external audits) against the scheme's objectives. The Retailer should document the effective communication of the results, and any corrective actions taken after the internal or external audits at the facilities. The communication should be established towards all corresponding Facility Managers, responsible personnel, and when it is needed to suppliers, and sub-contractors.	Records or means of communicating the outcomes of the audit results' analysis.

9	Sampling and Reporting	The Retailer should follow a pattern with frequent sampling and testing, to maintain the safety of the products against the scheme's objectives. The Retailer should perform and maintain documents of frequent (at least quarterly) and appropriate sampling and test analysis of products (against the relevant EU food safety legislation, corresponding to the products), at the selling points.	- Records of sampling and certificates of test analysis - Record of the actions performed after the cases of compromised product (if applicable)
10	Handling emergency incidents	The Retailer should maintain documented instructions to handle any emergency incidents that may occur (e.g., failure of refrigerating conditions, cross-contamination, visual observation of unsanitary conditions, findings in chemical analyses) including recommendations and disciplinary actions in case of repeated misconduct. The Retailer should maintain records of the emergency incidents and the instructions in case they occur in order not to compromise integrity of the products and the compliance of its operations against the requirements of the Scheme.	- Records of instructions to the personnel for actions needed in case of loss of integrity of compliance to the Scheme's requirements - List of recorded incidents compromising the integrity of product
11	Handling of Complaints	The Retailer shall develop, maintain and implement documented procedure for handling complaints and appeals. Records shall be kept and reviewed.	- Records of Complaints from Customers, Employees and all related parties in the supply chain - Records of handling the complaints and providing all necessary resolutions.

Annex 1. Application form



"Safety on Shelf" Certification Scheme
Application Form

TÜV AUSTRIA

1. GENERAL INFORMATION			
ORGANIZATION'S NAME:			
HEADQUARTERS' ADDRESS:			
POST CODE:		COUNTRY:	
PHONE:		EMAIL:	
TAX NUMBER:		TAX OFFICE:	
Organization's Representative:			
2. DESCRIPTION OF THE PRODUCT(S) APPLYING FOR CERTIFICATION			
Description of fresh product(s) sold in bulk:			
Please specify the condition (open, wrapped, packaged etc.) under which products are delivered from Suppliers to the Distribution Centers			
3. ORGANIZATIONAL STRUCTURE			
Organization's operations are controlled centrally by the Head Quarters:	☐ YES ☐ NO		
Organization's Internal Quality Auditing is performed by the Headquarters:	☐ YES ☐ NO		
Frequency of Internal Quality Auditing:			
Please indicate the name of the Lead Auditor performing the Internal Audit.			
4. FACILITIES			
Organization is Utilizing Distribution Centers before transportation of products to the branches:	☐ YES ☐ NO		
Number of Distribution Centers applying for Certification:			
Number of Branches Applying for Certification:			
Please attach an Annex indicating the Contact Details of all facilities (Distribution centers and branches), the name of the Responsible personnel (Facility Managers) and the name(s) of the Regional Managers (if applicable)	☐		
5. HUMAN RESOURCES			
Name of responsible person for the implementation of the Quality Management Manual:			
Is this person also responsible for the compliance with the" Safety on Shelf" Protocol, if not, please specify the name of the responsible:	☐ YES ☐ NO (if NO Please Specify):		
Is this person also responsible for receiving and maintaining the records that are related to the Protocol?	☐ YES ☐ NO (if NO Please Specify):		

"Safety on Shelf" Certification Scheme
Application Form

6. AUXILIARY OPERATIONAL ASSETS		
Company's own Fleet for the transportation of products to the Distribution Centers:	☐ YES ☐ NO	If ~~Yes~~, please indicate the number:
Company's own Fleet for the transportation of products from the Distribution Centers to the Branches	☐ YES ☐ NO	If ~~Yes~~, please indicate the number:
If any of the transportation is performed by a Subcontracting Company, please specify the name and the responsible person (if more than one please attach Annex):		

7. SUPPLIER'S INFORMATION	
Please attach an Annex indicating the Suppliers' name(s) (company and responsible) and the name of the Accredited Certificate of Food Quality System to which they hold a Certification, for any different fresh product which is sold in bulk.	☐

8. READINESS FOR CERTIFICATION	
☐	An internal audit has been performed against the requirements / principles of the scheme in the last six months
☐	Documentation aligned with the "Safety on Shelf" Protocol's requirements (~~e.g.~~ procedures, records) is already in use.
☐	Personnel Responsible for the implementation of the Protocol's Requirement's for all sites has been assigned.
☐	Compliance of Suppliers to the Requirements of the Scheme has been realized and the Accredited Certificates are recorded.
☐	A record of the sampling results of the last six months of the products that certification is requested, is kept, and can be provided on request.
Other information – Remarks	

I hereby declare that the organization has in place all the necessary legislative documentation relating to its activities

DATE	SIGNATURE AND STAMP

Please fill in the application form and email it to certification@tuv.at
For any further information, please contact +30 210 522 09 20

Date	APPLICATION REVIEW (~~to~~ be filled in by the Certification Body)	Signature

Annex 2: Questionnaire for the Headquarter's Quality Manager

"Safety on Shelf" Certification Scheme
(HQ e-Quest)

GENERAL INFORMATION FOR THE COMPANY & THE FACILITY				
Company Name:				
Site Address:				
Post Code:			Country:	
Site Representative's name:				
Representatives Contact details	Phone:		Email:	
Reference Period for the provided data	From:		Until:	

No	Requirements	Availability	References
1	Have you publicly announced in all facilities your commitment to the requirements of the Scheme? ***Required Records:*** *Retailer's commitment to the Requirements of "Safety on Shelf" posted on a visible place in all facilities*	☐ YES ☐ NO	
2	Have you set the indicators to monitor – at least once per semester – and document the performance and compliance of all the facilities, against the Scheme objectives? ***Required Records:*** *Results for specific Performance indicators which are evaluated frequently*	☐ YES ☐ NO	

1

"Safety on Shelf" Certification Scheme

(HQ e-Quest)

3	Do you maintain records of the trainings that occurred for the personnel to be informed about the Requirements of the Scheme? ***Required Records:*** *Signed records of the trainings with reference to the Requirements of the Scheme.*	☐ YES ☐ NO	
4	Do you maintain official documents (e.g. contracts) signed by the Suppliers or Sub-contractors in which they commit to their responsibilities set by the Scheme's requirements? ***Required Records:*** *Official documents (e.g. contracts) with the Suppliers and Sub-contractors, stating their commitment to the responsibilities in reference to the Scheme*	☐ YES ☐ NO	
5	Do you have available records of the personnel responsible for monitoring the compliance of the Scheme and keeping the relevant records? ***Required Records:*** List of names and positions of the personnel with corresponding responsibilities that are assigned to monitor the facilities' compliance to the Scheme	☐ YES ☐ NO	
6	Do you maintain records for the appropriate combination of actions taken during the day-to-day operations – with reference to every last six months – to evaluate the implementation of the 'Safety on Shelf' requirements, at critical points, such as those at *points 6.1 to 6.3 below*:	☐ YES ☐ NO	

"Safety on Shelf" Certification Scheme

(HQ e-Quest)

6.1	Hygiene conditions and cross contamination records: • for the staff, • in the storage areas, • at the showcases (final selling points) • separation and covering of products in bulk • at the stores' workbenches and amenities (knives, machines etc.) • of the materials in contact with the fresh bulk product (wrapping paper) ***Required Records:*** *- Personnel's health books* *- Cleaning records in all areas*	☐ YES ☐ NO	
6.2	Cold chain preservation records: • from the supplier to the distribution centre • from the distribution centre to the stores • in the store premises • in the showcases (glass final selling point) ***Required Records:*** *- Records of temperatures (during transport, in storage rooms, refrigerators and in selling points)* *- Records of Calibration of the thermometers*	☐ YES ☐ NO	

"Safety on Shelf" Certification Scheme

(HQ e-Quest)

6.3	Traceability records: • for the products in bulk, from the supplier to the final selling point. • for each product's batch in bulk, from the storage to the showcase. • for the expiration date of batch, the remain time in the store, the discard of compromised product. ***Required Records:*** *- Records of invoices for the products under certification* *- Records of the entry dates of the batches for the certified products.* *- Records of the expiration dates of batches* *- Records of the remaining time of each batch in the store.* *- Records of discarded compromised products.*	☐ YES ☐ NO	
7	Do you have a periodic internal audit plan for all the individual stores against the principles and requirements of the 'Safety on Shelf' scheme, available? ***Required Records:*** *Internal Audit plan for the stores*	☐ YES ☐ NO	

"Safety on Shelf" Certification Scheme

(HQ e-Quest)

7.1	Do you foresee and conduct an internal audit, to assure compliance of all the facilities against the principles and requirements of the 'Safety on Shelf' scheme, at least once per year per facility (i.e. stores, distribution centres and its fleet)? ***Required Records:*** *Internal Audit report that indicates the date of the audit, the name of the internal auditor, and traces at a minimum the facilities, the products and the documents that have been audited, against the scheme's objectives.*	☐ YES ☐ NO	
7.2	Do you effectively analyse and tackle the results of the Internal Audits that you perform? ***Required Records:*** *Periodic analysis report of findings, and corrective action (if needed) to meet the scheme's objectives*	☐ YES ☐ NO	
8	Can you document the effective communication of the results, or and any corrective actions taken after the internal or external audits at the facilities, towards the corresponding Facility Managers, responsible personnel, and where it is needed to suppliers, and sub-contractors? ***Required Records:*** *Records or means of communicating the outcomes of the audit results' analysis.*	☐ YES ☐ NO	

Annex 3: Questionnaire for the Facility Manager:

"Safety on Shelf" Certification Scheme

(FM e-Quest)

GENERAL INFORMATION FOR THE COMPANY & THE FACILITY				
Company Name:				
Site Address:				
Post Code:		Country:		
Site Representative's name:				
Representative's Contact details:	Phone:		Email:	
Reference Period for the provided data:	From:		Until:	

Requirement of the Scheme	Availability	References
Is the Statement of Commitment to the principles of "Safety on Shelf" Certification Scheme updated and publicly available for the personnel and customers?	☐ YES ☐ NO	
Has an on-site internal audit already conducted within the last quarter at the facility, or have been scheduled at a time that does not exceed the 6months since the previous one? *Please indicate the date of the previous and for the next planned internal audit.*	☐ YES ☐ NO	
Were there any divergences recorded at the facility during the last **Internal Audit**, with reference to the scheme's principles?	☐ YES ☐ NO	
Were there any divergences recorded at the facility during the last 12months from **any External Audit** (conducted from a Food Authority, Certification Body etc.), with reference to the scheme's principles?	☐ YES ☐ NO	
Are there any corrections or corrective actions have been taken at the facility with reference to reported divergences against any of the scheme's principles?	☐ YES ☐ NO	
Has a documented internal communication, with the responsible personnel of the facility, taken place the last six months, with reference to the current level of effectiveness of the foreseen actions relevant to the scheme's principles?	☐ YES ☐ NO	
Has a documented training been performed the last six months in the facility, or planned with reference to the scheme's principles?	☐ YES ☐ NO	*If yes, (for) when:*

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"Safety on Shelf" Certification Scheme
(FM e-Quest)

Requirement of the Scheme	Availability	References
Did you welcome any new employees over the last six months, who they hold responsibilities that could affect the effectiveness of the scheme's principles?	☐ YES ☐ NO	*If yes, please specify the number:*
Is there an updated list with the responsible staff, their positions and tasks against the scheme's requirements, for the facility?	☐ YES ☐ NO	
Is there an updated list of deputies to support the effectiveness of the actions against the scheme's principles, in the case of absence of the main person in charge?	☐ YES ☐ NO	
Are there documents available for reporting internally (with the responsible personnel or / and the headquarters) any incidents that are realized in the facility, which can jeopardize the integrity of the fresh products in bulk, connected with: ☐ Hygiene of the staff, the storage areas, the auxiliary assets and tools, and the showcases ☐ Cross-contamination after any improper contact e.g. with other products, personnel, waste ☐ Temperatures in the refrigerators, out of the limits ☐ Sampling & Test Analysis results ☐ Traceability of the batches of products	☐ YES ☐ NO	
Are there documents available for record of Complaints from customers and personnel regarding: ☐ the cleaning conditions of the areas and showcases, ☐ the condition of the fresh products ☐ the personal hygiene of the staff	☐ YES ☐ NO	
Are there records available – of **the last six months** – in case of on-site visit for the following: ☐ Personnel's Health books ☐ Cleaning records in all areas ☐ Records of temperatures (in storage rooms, refrigerators, showcases)	☐ YES ☐ NO	

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"Safety on Shelf" Certification Scheme
(FM e-Quest)

Requirement of the Scheme	Availability	References
☐ Records of calibration of the thermometers ☐ Records of the invoices for the products under "Safety on Shelf" Certification ☐ Records of the entry dates of the batches for the products under certification ☐ Records of the expiration dates of the batches ☐ Records of the residence time of the batches ☐ Records of quantities of the discarded products ☐ Records of Sampling and Findings of the products under Certification. ☐ Instructions to the personnel for actions needed in case of compromised product ☐ List of recorded incidents (if applicable) with potential compromising of the products.		
Have all the hanging signs, logos etc. at the facility that are referring to the certification of the fresh products in bulk, been properly checked to avoid any misleading for the customers?	☐ YES ☐ NO	

Date:		Company's representative Signature:	

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