



## Annex 2 IKB Kip Certification Criteria

### Disclaimer:

The IKB Kip certification scheme has been translated with the greatest care and accuracy. In the event of any disagreement concerning the correct translation, the content, interpretation and operation of the IKB Kip certification scheme, the Dutch text of the IKB Kip certification scheme takes precedence in all cases.

## CERTIFICATION CRITERIA IKB KIP

### DEFINITIONS

#### Article 1

This regulation uses definitions and terminology as stated in the IKB Kip General Terms and Conditions.

### SCOPE

#### Article 2

1. This document is an annex with the GTC IKB Kip.
2. These certification criteria apply to all IKB Kip participants. Certifying Authorities, hereafter referred to as CAs), must use the criteria when carrying out inspections and assessments at IKB Kip participants for certification based on the IKB Kip certification scheme.
3. IKB Kip participants can obtain a IKB certificate for the products poultry, hatching eggs and poultry meat. This means that the poultry, hatching eggs or poultry meat have been produced in accordance with the 'IKB Kip Regulations' (Annex 1 of the GTC IKB Kip).
4. These certification criteria have been established by the scheme manager. If there is reason to do so, the scheme manager may decide to adjust the certification criteria.

### CERTIFYING AUTHORITIES

#### Article 3

1. A CA has the authority to certify IKB Kip participants based on the IKB Kip regulations, set out in 'IKB Kip regulations' (Annex 1 of the IKB Kip GTC) and 'Example Agreement on the Application of the IKB Kip Certification Scheme' (Annex 7 of the GTC IKB Kip) .
2. A CA can only certify IKB Kip participants who he/she has concluded a IKB Kip contract with. In the event of an IKB Kip participant who is registered as a multi-site, a CA can also certify individual companies and or business units (sub-locations) who are part of this multi-site.
3. The conditions under which a legal person can be approved as a CA, are set out in the 'Certification conditions for IKB Kip certifying authorities' (Annex 5 of the IKB Kip GTC).



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### DATABASES

#### Article 4

1. The CAs will enter within four weeks from each inspection , simultaneously with the completion of the certification of an IKB Kip participant, the following information with regards to the certification of the IKB Kip participant in the central database:
  - a. newly certified establishments;
  - b. name and address / KIP number<sup>1</sup>;
  - c. certificate's date of issue / period of validity of the certificate;
  - d. change in status of existing IKB establishments (certificate type);
  - e. link for which the certificate is issued;
  - f. withdrawal or termination of the IKB Kip certificate at the request of IKB establishments;
  - g. change in establishment's details affecting the IKB status of the establishment;
  - h. temporary extension of the term of validity of an IKB Kip certificate in connection with the resolution of an administrative shortfall or a follow-up inspection;
  - i. withdrawal or suspension of the IKB Kip certificate;
  - j. Exclusion of the company;
  - k. inspection reports as referred to in Article 11 fourth clause.
2. The manager of the KIPnet central database can impose further requirements on the CA about the method of delivery of data related to the IKB certification and any associated costs.
3. The IKB Kip participants are responsible for delivery of the correct information to the CA.
4. The veterinarian with which the IKB Kip participant has negotiated an agreement as listed in the IKB Kip regulations reports all information on antibiotics prescribed to the participant - including diagnosis and clinical symptoms - to the CRA.
5. The IKB Kip participant must grant the vet, with whom it has entered into an agreement as referred to in the certification scheme IKB Kip, permission to forward information on the use of antibiotics, including the diagnosis and clinical symptoms, on the poultry on the IKB Kip participant to CRA.
6. The IKB Kip participant permits the associated natural and/or legal person to report the results of the Salmonella inspection - as required under the IKB Kip regulations - to KIPnet.

### CAS' DUTY OF CONFIDENTIALITY

#### Article 5

1. In the course of their duties/obligations abiding the IKB Kip certification scheme, the CAs have a duty of confidentiality in relation to all commercial and company-specific technical aspects of – prospective – IKB Kip participants.

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<sup>1</sup> The CA of the foreign IKB Kip participant and/or a IKB Kip participant who is a cutter without KIP number, provides said IKB Kip participant with a unique number for the purpose of the participant's identification.



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2. The duty of confidentiality also applies to all matters:
  - a. the CCvD, the secretariat or the scheme manager explicitly imposes confidentiality;
  - b. their confidential nature is self-evident.

### IDENTIFICATION AND BEHAVIOUR OF CAS

#### Article 6

1. CAs provide all their inspectors with a written identification. Inspectors of the CAs are obliged to show their ID upon request to the IKB Kip participant to be inspected, before they can expect to be given admission to the establishment.
2. CAs must perform their work in a way and act towards third parties in a manner that the normal activities of the (staff of the) establishment to be inspected for IKB Kip are impeded or disturbed as little as possible.
3. Before entering the premises of the IKB participant to be inspected, the inspectors of the CAs must change into clothes as prescribed under the general regulations of the participant's company. In addition, they must adhere to the generally prevailing rules and the general house rules applicable to the company or the IKB Kip participant concerned.
4. Within the context of the inspection, the IKB Kip participant is required to have the CA's auditors enter his premises and fully inspect his/her business operations in order to assess compliance with the IKB Kip certification scheme. Full cooperation must be given to the inspectors conducting the CAs inspection.
5. Refusal to grant co-operation to (part of) the inspection or to pay the costs for participation to the certification scheme IKB Kip may lead to exclusion from participation in the IKB Kip certification scheme.

### APPLICATION

#### Article 7

1. Establishments wishing to participate in the IKB Kip certification scheme must apply in writing or verbally to a CA.
2. After the application is received, the prospective IKB Kip participant and the CA will enter into an IKB Kip agreement. In addition, a date is planned for when the certification inspection can be carried out. The date and location of the certification inspection are confirmed in writing to the prospective IKB establishment.



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### INSPECTION GENERAL

#### Article 8

##### 1. Means of verification with IKB establishments:

The following means of verification are available to perform inspection activities:

- a. administrative / automated inspection. Written documents concerning the to be inspected IKB Kip participant may be requested from the participant in question, other participants, other CAs or generated from KIPnet, CRA and the KIP system. In addition, an administrative inspection may be conducted during visits to the IKB Kip participants. An automated inspection may take place on the basis of information known to the CA. For example, but not limited to, information related to KIPnet, CRA and the KIP system;
- b. information can be obtained from other authorities who are (also) appointed by the government to enforce compliance with statutory regulations (such as the NVWA) relating to the objectives of the IKB Kip certification scheme;
- c. Visual and / or physical inspection. An inspection visit may take place at the company of the IKB Kip participant or any other location. During this visit, sample may be taken of the stable feed, animals, water and feeders. For the purpose of the inspection, photographs (insofar as it is possible to bring a camera) of the company, available documents, animals and other goods may be taken;
- d. the inspector may take business records on related matters away – if this is required in his opinion in the interest of the inspection – for verification or to be evaluated. After the inspection or assessment is performed or completed, the documents must be returned to the company/ IKB Kip participant concerned as quickly as possible, either personally or by recorded delivery;
- e. In conducting the inspection, CAs also have access to the antibiotics benchmark values. Benchmark reports are published by AVINED / CRA four times a year. On the basis of these values (antibiotics use), CA will conduct two inspections per year (after the second and fourth quarter).

##### 2. Co-operation of IKB Kip participants:

Each IKB Kip-participant is obliged to co-operate with the inspection and inspection outcome, and to comply or impose compliance with all the relevant instructions or regulations given by or on behalf of CA, including:

- a. to give the inspectors engaged by the CA free and immediate access or to arrange for them to have access to all grounds and commercial premises of the establishments or establishments of the IKB Kip participants, which they need to access in order to perform an inspection or the assess;
- b. allow the CA, or hired inspectors, to take monsters. In addition, (contra) monsters and analysis results for the purpose of a potential criminal investigation may be provided to authorities who, on behalf of the government, are responsible for enforcing legal regulations;
- c. to give CA or any inspectors and third parties engaged by the CA full access to relevant administrative records;
- d. to allow CA to request information from other organisations as described in the first clause of this article;



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- e. to issue all the information to CA or the inspectors it engages that the latter consider necessary to perform an inspection or evaluation;
  - f. the Multi-site, as described in Article 8 of the IKB Kip GTC, are obliged to ensure that individual establishments or business units that form part of the Multi-site are meeting the aforementioned obligation to co-operate.
3. The IKB Kip participant is required to transfer all required costs related to the participation in the IKB Kip participation scheme (including the costs for inspection(s), certifications and participation) to CA or the scheme manager within the designated period.

### FREQUENCY AND MINIMUM TIME SPENT ON INSPECTIONS

#### Article 9

1. Frequency of inspections of IKB establishments:  
The certification inspection is only carried out when the IKB Kip participant does not have an IKB Kip certificate at the time of the inspection. Afterwards, there will be re-inspections and/or interim inspections, at the minimum frequencies shown in Table 1. Follow-up inspections and inspections on additions to business records take place if the CA considers them necessary further to a certification inspection, interim inspection or follow-up inspection. Interim inspections of IKB Kip participants may take place at any time, either with or without prior announcement. The automated interim inspections continuously take place throughout the year.

Link	Frequency of follow-up inspections	Frequency of interim inspections
Rearing for breeding and multiplication	1	
Breeding and multiplication	1	
Hatchery	1	1
Broilers	1	
Abattoir	1	1
Cutting plant	1	1
Vet	1	3

Table 1: Frequency of inspections per type of establishment (in an average period of 12 months)

The scheme manager and CA are always entitled to perform more inspections than the prescribed minimum frequencies.

2. If, according to Table 1, a follow-inspection are required as well as an interim inspection, these inspections are carried out with a minimal in-between period of three months.
3. Minimum time spent on inspections of IKB establishments:  
In order to ensure the quality of the inspections to be carried out, a minimum duration has been specified for the inspection and reporting (i.e. time required to compile the report during the inspection). The time specified does not include the certification time (assessment and decision with regards to certification).



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4. Table 2 shows the minimum inspection and reporting times per link of the production chain. A distinction is made in the table between certification inspections and follow-up inspections or interim inspections. If so desired, the inspections can be combined with other inspections, such as BLK, QS, IFS or BRC inspections, for example. A combination of these inspections may save the IKB establishment money. The minimum inspection and reporting time for the IKB Kip part of the inspection would remain unchanged. The minimum time spent on a follow-up inspection is not included in the table, because it varies depending on the number of shortfalls found. Given the fact that the structure/content of an unannounced inspection may vary, there is no fixed time period assigned to these activities.

Link	Certification inspection	Follow-up inspection and interim inspection
Rearing for breeding and multiplication	1	1
Breeding and multiplication	1	1
Hatchery	3	3
Broilers	1.5	1.5
Abattoir	4	3
Cutting plant	2	1.5

Table 2: Minimum duration of inspection and reporting (in hours)

### TYPES OF INSPECTION

#### Article 10

1. The IKB Kip certification scheme has four different types of inspections for IKB establishments:
  - a. certification inspection;
  - b. interim inspections
  - c. re-inspection (reassessment);
  - d. follow-up inspection;

For an explanation on the objective, content and procedure of these types of control, see table 3.



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	<b>Objective</b>	<b>Content</b>	<b>Procedure</b>
<b>Certification inspection</b>	The approval inspection is intended to determine whether (the company of) the IKB Kip participant meets the 'IKB Kip Regulations' for the chain in question and the IKB Kip agreement and whether he/she may acquire the IKB Kip certificate.	<ol style="list-style-type: none"> <li><i>Administrative/automated:</i> check whether what needs to be recorded in writing pursuant to the 'IKB Kip regulations' (Annex 1 to the GTC IKB Kip) has actually been recorded in the establishment's business records (inspection of IKB Kip administration) as well as inspection of the IKB Kip participant information known to the CA.</li> <li><i>Physical:</i> on-site inspection on the implementation of the 'IKB Kip regulations' (Annex 1 to the GTC IKB Kip) in practice and where appropriate also sampling.</li> </ol>	The inspection is carried out after the potential IKB Kip participant entered into an IKB Kip agreement with a CA. See Article 11 below.
<b>Re-inspection</b>	Extension of IKB Kip certificate, after it emerges that (the establishment of) the IKB Kip participant is still in compliance with the 'IKB Kip regulations' and the IKB Kip agreement. When planning an inspection, sufficient time must be allowed for any remedial measures to be implemented (for follow-up inspections or checks on additional information to be added to the business records) following identified shortcomings.	<ol style="list-style-type: none"> <li><i>Administrative/automated:</i> same as a certification inspection, also inspection of improvement measures in relation to previously established shortfalls, if applicable</li> <li><i>Physical:</i> same as certification inspection and inspection of improvement measures following identified shortcomings.</li> </ol>	Re-inspection takes place before the IKB Kip certificate expires. Before the IKB Kip certificate expires, the CA will contact the IKB establishment. A date for the re-inspection will be agreed on, in consultation with the IKB establishment. An IKB establishment is obliged, within what is acceptable, to collaborate in the planning which the Certification Authority [CA] proposes, given that the Certification Authority needs to endeavour that all inspections have been carried out well before 31



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	Objective	Content	Procedure
			December in each case. The reinspection must take place on time, so that the assessment of potential reinspections / administrative recovery can be completed prior to expiry of the original certificate. See Article 11 below.
<b>Interim inspection (announced or unannounced)</b>	During the period of validity of the IKB Kip certificate, assess on an interim basis whether the IKB company meets the relevant applicable 'IKB Kip Regulations' and the IKB Kip agreement. If shortcomings are observed, the IKB Kip status will be adjusted. Upholding the IKB Kip certificate after proof that the IKB company still meets the 'IKB Kip Regulations' (Annex 1 of the GTC IKB Kip) for the chain in question and the IKB Kip agreement. Unannounced inspections can be performed based on risk.	<ol style="list-style-type: none"> <li>1. <i>Administrative/automated:</i> same as a certification inspection, also inspection of improvement measures in relation to previously established shortfalls, if applicable. Further inspection on the basis of information known to CA.</li> <li>2. <i>Physical:</i> same as re-inspection</li> </ol>	<p>There are two forms of interim inspection:</p> <ol style="list-style-type: none"> <li>1. The interim inspection as described for the specific sections in Article 9. An interim inspection takes place (at least) once a calendar year and is planned between the certification inspection and the reinspection or two reinspections. The interim inspection should, if possible, be arranged for half way between these two other inspections (with a leeway of 3 months on both sides). An announced interim inspection is planned in consultation with the IKB company prior to the inspection.</li> <li>2. An interim inspection (announced or unannounced) to check whether the company still complies with the applicable "IKB KIP Regulations" and the IKB KIP contract. Inspections within the context and on the basis of information in the CRA and Kipnet central databases and the KIP system</li> </ol>





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	<b>Objective</b>	<b>Content</b>	<b>Procedure</b>
			as well as all other assigned databases and registries can be conducted automatically and continuously. The interim inspection can also be performed based on findings that have been reported to the CA from the MCS self-monitoring programme. Interim (unannounced) inspections can also be performed based on random sampling based on signals. For further information, also about unannounced inspections, see article 11.
<b>Interim inspection</b> <i>(inspection of antibiotics use in broiler farms)</i>	Determine the category of a broiler farm on the basis of antibiotics use and whether any follow-up actions are required.	<i>Administrative:</i> determine the category of antibiotics use and whether any follow-up actions are required. This report, contrary to the stipulations in article 11, is not presented for signature to the poultry farmer.	Inspection takes place twice a year, after every second and fourth quarter.
<b>Follow-up inspection (incl. administrative corrections)</b>	To establish whether a shortfall has been adequately rectified. Through administrative corrections or a physical follow-up inspection (at the company of) (at) the IKB Kip participant.	To check whether all shortfalls recorded during the inspection, interim inspections or re-inspection have been adequately rectified.	Follow-up inspection is carried out: <ol style="list-style-type: none"> <li>1. if the administrative corrections are unsatisfactory, or</li> <li>2. if a follow-up inspection has been prescribed, or</li> <li>3. if the IKB Kip participant wants to demonstrate it has made improvements after it's been suspended;</li> <li>4. if administrative corrections are required pursuant to the criteria.</li> </ol>



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	<b>Objective</b>	<b>Content</b>	<b>Procedure</b>
			For 1 and 2, the CA will establish a date for the follow-up inspection, in consultation with the IKB Kip participant. If the follow-up inspection needs to be carried out unannounced, then the CA sets the date on its own initiative. For 3 the IKB Kip participant will get in touch with the CA. For 4 the IKB Kip participant will send the requested information to the CA. See Article 11 below.

*Table 3: Types of IKB Kip inspections of IKB establishments*



## INSPECTION PROCEDURE

### Article 11

1. All types of inspections take place in accordance with one of the following annexes of the 'IKB Kip regulations':
  - a. Annex 1.1: IKB Kip regulations for hatcheries, abattoirs and cutting plants;
  - b. Annex 1.2: IKB Kip regulations for poultry farms;
  - c. Annex 1.3: IKB Kip regulations for the main site of a Multi-site;
  - d. Annex 1.4: IKB Kip regulations for assurance of antibiotics registration.
2. The required starting point of the IKB Kip chain is the parent animal hatchery. This hatchery must be IKB Kip-approved and may, under conditions as described in the regulations, adduce hatching eggs of non-IKB grandparent animal companies. The IKB Kip regulations include conditions for (rearing) grandparent animal companies. If such companies are IKB Kip certified, then the supply to IKB Kip parent animal hatcheries can occur easier. Participation in IKB Kip is also open to (rearing) great grandparent animal companies. If these types of companies wish to participate, they must comply with the regulations for (rearing) grandparent animal companies.
3. With primary companies, the physical approval inspection and re-inspection only takes place when the animals are present in the stable.
4. The CA records the findings of all inspections - with the exception of interim administrative inspections during which no shortcomings have been identified - in an inspection report. This contains at least the following:
  - a. the date of the inspection;
  - b. KIP number (IKB Kip number for foreign companies);
  - c. name and address of the (company of the) IKB Kip participant;
  - d. link;
  - e. any information regarding sampling;
  - f. all inspected prescriptions including the details. CA ensures that the inspector makes notes in the inspection report in the event of a positive outcome as well as if any deviations are found, and for regulations that are not applicable to the (establishment of the) IKB Kip participant. This record must be such that anything that was inspected is reproducible for the assessor;
  - g. description of any limiting circumstances during the inspection, description of the reason (for example: structural works, no animals present, etc.) and the affected regulation numbers.
5. The inspection report must be signed by the IKB Kip participant and by the CA. A copy of the inspection report is left behind at the establishment of the IKB Kip participant or is sent at a later date. The inspector will take the original inspection report with him. CA must create a digital version of the inspection report and upload it to the KIPnet central database.
6. The inspection pursuant to (Annex 1.4 (assurance of antibiotics registration) is carried out on the poultry farm, at the same time as the inspection pursuant to Annex 1.2. The registration of the antibiotics delivered in IKB CRA falls primarily under the responsibility of the veterinarian with



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whom the poultry farmer has entered into a GPD agreement. Therefore, the outcome of the inspection pursuant to Annex 1.4 will be made available to the regulatory body of GPD. The poultry farmer will not be assessed on the basis of the inspection pursuant to Annex 1.4.

### ASSESSMENT

#### Article 12

The inspections and assessment of the IK Kip participants can be conducted by multiple CAs and inspectors. To achieve the desired uniformity, with the main principle being that all similar cases are treated as equally as possible:

- a. regulations have been set up that all participants must comply with ('IKB Kip Regulations' (Annex 1 of the IKB Kip General Terms and Conditions));
- b. regulations - as intended in sub a - include methods of inspection that the inspector must abide by;
- c. implementation of regulations during shortcomings are described in article 13 to 16;
- d. the CA must implement this policy.

### CLASSIFICATION OF INFRINGEMENTS

#### Article 13

1. For the evaluation of compliance with 'IKB Kip regulations' (Annex 1 of the GTC IKB Kip), the IKB Kip certification scheme distinguishes the following categories of shortfalls in respect of regulations (see table 4 for more details on the categories):
  - a. light;
  - b. medium;
  - c. heavy;
  - d. suspension;
  - e. exclusion.
2. The effect on the IKB establishment of non-compliance with the regulation is indicated for each category. These categories are explained in greater detail in Table 4.

Category	Evaluation of guidelines
Light	The reported shortfall does <u>not pose an immediate threat</u> to the adopted system objectives, such as a gap in the business records. <b>Consequence:</b> does not need to be tackled immediately, unless more than ten light shortfalls were found.
Medium	The established shortfall constitutes a threat <u>in the long term</u> to the adopted system objectives, such as matters relating to registration, food safety, etc. <b>Repetition:</b> when the same regulation in the 'light' category is breached for a second consecutive time, this regulation is automatically assessed as 'medium' (the so-called second assessment). <b>Consequence:</b> the shortfall must be tackled by getting the business records completed.
Heavy	The established shortfall constitutes a threat <u>in the short term</u> to the adopted system objectives, such as infringements in relation to food safety, animal health and animal

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Category	Evaluation of guidelines
	<p>welfare.</p> <p><b>Repetition:</b> when the same regulation in the 'medium' category is breached for a second consecutive time, this regulation is automatically assessed as 'heavy' (the so-called second assessment).</p> <p><b>Consequence:</b> a follow-up inspection will be carried out on all the shortfalls found. The shortfalls must have been resolved during this follow-up inspection. In certain cases, recovery can also be proven through administrative supplements, as long as the CA decides this is important</p>
Suspension	<p>The established shortfall poses an <u>immediate</u> threat to the adopted system objectives.</p> <p><b>Repetition:</b> when the same regulation in the 'heavy' category is breached for a second consecutive time, this regulation is automatically assessed as 'suspension' (the so-called second assessment).</p> <p><b>Consequence:</b> suspension of participation in the IKB Kip certification scheme with a maximum of three months. CA determines the duration of the suspension in the associated letter.</p>
Exclusion	<p>The established shortfall that led to a suspension remains unresolved and continues to pose a threat to the adopted system objectives.</p> <p><b>Repetition:</b> when the same regulation in the 'suspension' category is breached for a second consecutive time, this regulation is automatically assessed as 'exclusion'.</p> <p><b>Consequence:</b> exclusion from participation in the IKB Kip certification scheme for a minimum period of one year. CA determines the duration of the suspension in the associated letter.</p>

Table 4: Classification of shortfalls

A number of regulations include an additional 'lighter' assessment category (in addition to the first and second assessment). This is done for a number of regulations of which the nature of the regulations requires a broader assessment pallet (more of a sliding scale). In those cases, the CA must choose for the lighter assessment if the company, to a limited extent, does not comply with the regulation. For example: a specific protocol must consists of five components, the protocol is present, but only includes four of the five elements.

The implementation of this additional categorisation with a 'lighter' assessment is only possible once for the specific regulation. During a next inspection where the company does not fully comply with the regulation, the regular assessment must first be conducted.

## EVALUATION ANTIBIOTICS USE FOR BROILER ESTABLISHMENTS<sup>2</sup>

### Article 14

1. The following levels are discerned for assessing the use of antibiotics by an IKB Kip participant:
  - a. target area (green);
  - b. signalling area (orange);
  - c. action area (red).

The limits per area are set by the scheme manager.

<sup>2</sup>Only applicable to Dutch IKB Kip certified broiler establishments



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2. The assessment of the use of antibiotics is carried out once every six months on the basis of a benchmark report.
3. Twice a year, CA checks whether, in the applicable cases, the correct follow-up actions have been taken. This evaluation takes place independent of the certification inspection or re-inspection.
4. The results of the inspection are evaluated in conformity with article 15, with possible consequences regarding the IKB-worthiness of the broiler establishment involved.

### Article 14a

In the event of a shortcoming based on the findings from the self-monitoring programme for Critical Substances Monitoring, a follow-up inspection must be performed. During this follow-up inspection, the participant must demonstrate that he has requested the self-monitoring programme to perform additional supervision (extra sampling and analysis) and that the self-monitoring programme has agreed to do so. The costs of this sampling and analysis are for the account of the participant.

## **REMEDIAL MEASURES**

### Article 15

1. If (a company of) an IKB Kip participant did not or not satisfactorily comply with the provisions in or pursuant to the IKB Kip certification scheme or the IKB Kip agreement, the CA must impose measures on the (the company of) the IKB Kip participant (as described in table 5). The measures of the CA to be taken are listed in Article 18 of the IKB Kip GTC. If applicable, CAs subsequently verify whether the IKB establishment has carried out the necessary remedial measures. Measures are implemented after consideration is given to:
  - a. the nature and gravity of the shortfall(s) found / category rating for antibiotics use;
  - b. the frequency (repeat infringement of the same regulation);
  - c. the remedial action taken by the IKB Kip participant concerned in order to prevent a repeat of the shortfall(s) and/or to achieve a decrease in its antibiotics use.
2. Force majeure: If the CA notes in the course of an inspection that (a company of) an IKB Kip participant failed to comply fully or at all with provisions in or pursuant to the IKB Kip certification scheme or the IKB Kip agreement as the result of an obvious mistake or force majeure, this will be taken into account in the decision on whether to issue/extend an IKB Kip certificate or announce a measure, provided:
  - a. the IKB Kip participant demonstrates that there is a (certain) absence of culpability or that force majeure applied, and;
  - b. the IKB Kip participant demonstrates that it took every possible measure to prevent and resolve an error, or, in the case of force majeure, that it took every possible measure to resolve the situation that occurred.

No measures are taken in the event of force majeure.



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3. The categorisation of any shortcomings is described in the 'IKB Kip Regulations' Annexes 1.1 through 1.3 for the various links. CA must adhere to this description when assessing compliance with regulations.

### **AWARDING IKB STATUS**

#### Article 16

1. Within the IKB Kip certification scheme, 5 statuses can be assigned to an IKB Kip participant. The IKB status is assigned on the basis of the number and type of shortcomings, as listed in table 4. Table 5 lists the different statuses. As one may notice, IKB status 1 can be assigned to an IKB Kip participant in two different ways.
2. In case a participant has IKB status 4 or 5, the scheme manager may decide to publicise the identified violations in one or multiple publications and/or websites, on behalf of and with or without mentioning the name of the violating IKB Kip participant.



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IKB status	Assessment	Delivery under IKB? <sup>3</sup>	Certification	Measure	Note
1	All findings during the inspection are in conformity with the 'IKB Kip regulations' for the link concerned.	Yes	The establishment meets the conditions for an IKB Kip certificate	Not applicable	
1	Fewer than ten light shortfalls	Yes	The establishment meets the conditions for an IKB Kip certificate	Remedial action: take remedial action before the next follow-up inspection (=written warning).	
2	<ul style="list-style-type: none"> <li>a. 1 or more medium shortfall(s) and/or;</li> <li>b. 10 or more light shortfalls and/or;</li> <li>c. unresolved shortfalls from status 1.</li> </ul>	Yes	The establishment does not meet the conditions for an IKB Kip certificate. No IKB Kip certificate issued during certification inspection.	Maintain IKB Kip certificate: shortcomings must be remedied within 6 weeks using an <b>administrative supplement</b> and must then be sent to CA. In order <b>status 1</b> , not in order <b>status 3</b> .	

<sup>3</sup> N/A for certification inspections





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IKB status	Assessment	Delivery under IKB? <sup>3</sup>	Certification	Measure	Note
<b>3</b>	<ul style="list-style-type: none"> <li>a. 1 or more serious shortfall(s) and/or;</li> <li>b. unresolved infringements from status 2;</li> </ul>	Yes	The establishment does not meet the conditions for an IKB Kip certificate. No IKB Kip certificate issued during certification inspection.	IKB Kip certificate retained: take remedial action within four weeks to resolve the shortfalls. If this is not realistic, the CA can decide to postpone the remedial action until the next opportunity. Demonstrate to CA during <b>follow-up inspection</b> . If feasible, the CA can decide to allow <b>additions to the business records</b> instead of a follow-up inspection. In order <b>status 1</b> , not in order <b>status 4</b> .	
<b>4</b>	<ul style="list-style-type: none"> <li>a. 1 or more suspension-level infringements and/or</li> <li>b. no remedial action found upon follow-up inspection based on status 3 and/or</li> <li>c. refusal for (partial) inspection and/or</li> <li>d. refusal to pay costs within the context of participation in the IKB Kip certification;</li> </ul>	No	The establishment does not meet the conditions for an IKB Kip certificate. No IKB Kip certificate issued during the certification inspection.	Establishment suspended with a maximum of three months. Remedy the shortfalls: take remedial action within three months. Demonstrate to CA during <b>follow-up inspection</b> . If inspection is refused: conduct inspection within three months. If refusing to pay: payment within three months. In order <b>status 1</b> ,	During the suspension, the IKB Kip participant may NOT use the IKB Kip certificate or deliver his/her products under the IKB name during this period. Please note: CA will give the IKB Kip participant a one week notice to prove that the suspension has been incorrectly imposed. If recovery takes place, CA



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IKB status	Assessment	Delivery under IKB? <sup>3</sup>	Certification	Measure	Note
				not in order <b>status 5.</b>	may decide to immediately lift the suspension.
<b>5</b>	Infringements from status 4 not rectified <sup>4</sup>	No	The establishment does not meet the conditions for an IKB Kip certificate.	The company is excluded from participating in the IKB Kip scheme for a minimum period of one year.	The exclusion period shall commence after expiry of status 4. In the event of a suspension of 3 months, there will be no deduction from the 12-month exclusion. At the end of the exclusion period, the IKB Kip participant in question, must be approved once more (if desired). Please note: CA will give the IKB Kip participant a one week notice to prove that the suspension has been incorrectly imposed.

Table 5: Overview of evaluation of inspection findings for IKB establishments

<sup>4</sup> In case of refusal of payment, CA may start its own collection procedure for payment. This collection procedure does not affect the suspension of the IKB Kip certificate and/or exclusion of the IKB Kip participant.



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**PROCEDURE FOR ASSESSING INSPECTIONS AT IKB ESTABLISHMENTS**

Article 17

The inspection and assessment reports must be saved in accordance with the provisions listed in the IKB Kip certification schemes.

1. The inspection reports will be evaluated by the assessor as referred to in article 7 clause 2 of 'Certification conditions for IKB Kip Certifying Bodies' (Annex 5 of the GTC IKB Kip).
2. The assessor will take account of any observations made by the inspector in his assessment. The evaluation will be carried out based on the 'IKB Kip regulations' (Annex 1 of the GTC IKB Kip) for the link concerned.
3. Based on the assessment from paragraph 2 of this article, the inspectors determines which recovery measures should or should not be taken by the IKB Kip participant. During the inspection of (companies of) IKB Kip participants, the inspector will assign the associated IKB Status. (according to table 5)
4. In the event of shortfalls for which the IKB Kip participant needs to take remedial action, the CA will send the establishment a written evaluation report within four weeks from the inspection date. The report will contain at least the following:
  - a. date of inspection;
  - b. KIP number (in case of foreign company, IKB Kip number);
  - c. name and address of the (company of the) IKB Kip participant;
  - d. any shortfall(s) found;
  - e. remedial measure imposed;
  - f. IKB status awarded;
  - g. deadline for resolving the shortfall(s).
5. In the event of remedial action or additions made to business records, the assessor will evaluate this inspection report or addition to records, processes this in the inspection report and, if required, assigns a new IKB status.
6. As soon as status 1 applies, the assessor will pass on all the inspection reports and evaluation reports, together with any additions made to the administrative records, if applicable, to the decision-maker, as referred to in article 7 clause 2 of 'Certification conditions for IKB Kip Certifying Bodies' (Annex 5 of the GTC IKB Kip).
7. In the event of status 1, the decision-maker will assign an IKB Kip certificate to the establishment for the link concerned (positive certification decision).
8. The CA will notify the prospective IKB establishment of its positive certification decision in a written evaluation report. This report will contain at least the following:
  - a. the date of the inspection;
  - b. KIP number (in case of foreign company, IKB Kip number);



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- c. name and address of the (company of the) IKB Kip participant;
  - d. any shortfall(s) found;
  - e. the IKB status awarded;
  - f. the deadline for resolving the shortfall(s) concerned, if applicable.
9. The CA sends the inspection report to the IKB Kip participant. The IKB Kip participant also receives the IKB Kip certificate.
10. Immediately after sending out the evaluation report and (if applicable) the IKB Kip certificate, the CA will enter the new IKB establishment, the extension of the IKB Kip certificate, the suspension of the IKB Kip participant or the exclusion from IKB Kip in the central KIPnet database (see Article 4).

### **PROCEDURE FOR ASSESSING IKB KIP CERTIFIED BROILER ESTABLISHMENTS IN ORDER TO RATE THEIR ANTIBIOTICS USE**

#### Article 18

The inspection reports and benchmark reports must be stored in accordance with the provisions in the IKB Kip certification scheme.

1. The control reports are published at least twice a year, and generally assessed twice a year by the CA, this takes place independent from the annual re-inspections.
2. When evaluating IKB establishments, the assessor will award the appropriate IKB status (in accordance with table 5).
3. In the event of shortfalls for which the IKB establishment needs to take remedial action, the CA will send the establishment a written evaluation report within four weeks from the assessment date. This report will contain at least the following:
  - a. date of publication of benchmark report / period covered by the benchmark report;
  - b. KIP number (in case of foreign company, IKB Kip number);
  - c. name and address of the (company of the) IKB Kip participant;
  - d. area which (the company of) the IKB Kip participant has been assigned with regards to antibiotics use;
  - e. remedial measure imposed;
  - f. any changes to the IKB status (e.g. suspension);
  - g. Date on which the correction has to be realized.
4. In the event the assessor imposes a correction, the assessor will reassess the new control report / follow-up inspection within the defined period and award a new status if applicable.
5. As soon as status 1 is achieved, the assessor will forward all the inspection reports and evaluation reports to the decision-maker.
6. In the event that the assessment coincides with the annual re-inspection of the IKB company and the assessor considers the cause of the inspection to be a status 1 cause, the conditions of Article



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17, paragraph eight apply. In the event that the assessment does not coincide with the annual re-inspection but is a status 1, the CA will only send an assessment report within 4 weeks of the assessment.

7. The evaluation report will at least include:
  - a. the date of the assessment;
  - b. KIP number;
  - c. name and address of the (company of the) IKB Kip participant;
  - d. any potential shortfall(s) found;
  - e. the potential warning imposed;
  - f. the IKB status awarded;
  - g. the deadline for resolving the shortfall(s) concerned, if applicable.
  
8. Immediately after drawing up of the assessment report, the CA will process the evaluation results in the central KIPnet database (see Article 4).

### Multi-site certification

#### Article 19

1. Within the IKB Kip certification scheme, it is possible for a group of potential IKB establishments to apply for recognition as an IKB Kip Multi-site. The main location must meet the 'IKB Kip regulations for the main site of Multi-sites' (Annex 1.3 of the GTC IKB Kip).
  
2. *Frequency and minimum time spent on inspections* In the case of a Multi-site certification, the certification and re-inspection always involve visits to the main site. In addition, the following inspection scheme is maintained:

Type of inspections	Number of sites to be visited	Main site
Certification inspection	All locations must undergo a certification inspection before they can form part of an IKB Kip certified multi-site.	Must undergo a certification inspection
Re-inspection	√n of the number of establishments per link must undergo a re-inspection. Hatcheries, abattoirs and cutting plants are always subjected to a re-inspection.	Must undergo a re-inspection.
Interim inspection	Chick hatcheries, abattoirs and cutting plants are always subjected to an interim inspection.	
Follow-up inspection	Only establishments where deviations were found that require a follow-up inspection (physical or administrative),	Must be taken away during the follow-up inspection and demonstrate that the shortfalls were resolved at all



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	must undergo the follow-up inspection.	establishments of the multi-site.
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Table 6: Multi-site inspection diagram

- Imposition of remedial action:* If shortfalls are found at the main site or at one or more of the  $V_n$  inspected establishments, the entire Multi-site is considered to have failed the conditions for IKB Kip certification. Shortfalls must be resolved, similar to as is the case with IKB Kip participants that have to be certified individually. In the event of a suspension or exclusion of one or more of the establishments inspected, the entire Multi-site is suspended/excluded.
- Award of IKB Kip certificate:* One IKB Kip certificate is issued to the main site. The certificate only contains the sites that were indicated to the CA. In the event of a change in the registered sites, a new IKB Kip certificate needs to be issued. When new sites need to be added, those new sites must also undergo a certification inspection. If the change only involves sites to be removed, a new IKB Kip certificate can simply be sent .
- All locations that fall under the multi-site will be included by the CA in the KIPnet central database. Moreover, the CA makes note of the relationship between the main location and sub location in the database. If a sub location were to leave a multi-site, then CA will terminate the relationship between the main and sub location in the central KIPnet database (supplementary to paragraph 4). With regards to the registration of sub location statuses in the database, the same principles apply as for individually certified IKB Kip participants.
- As far as the rest is concerned, inspections and the evaluation follow the same procedure as for other IKB Kip participants that do not qualify as multi-site.
- Evaluation of benchmark reports:* the CA assesses benchmark reports of each company in question of a Multi-site in order to rate the antibiotics use; this is subject to all the regulations set out in these certification criteria. If measures are imposed on an IKB establishment, as part of a Multi-site, clause 3 referred to in this article applies.

### IKB KIP CERTIFICATE

#### Article 20

- An IKB Kip certificate can only be issued by a CA to an IKB Kip participant that has been awarded IKB status 1. The CA must write the following text on the IKB certificate:



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### Diagram 2: Text of IKB Kip certificate:

“It is hereby confirmed that the poultry / hatching eggs / poultry meat with the IKB quality mark have been produced in accordance with the IKB Kip certification scheme ...(the one applicable to the cycle concerned; rearing farms for breeding or multiplication in the poultry meat sector, chick hatcheries in the poultry meat sector, broiler farms, slaughterhouses and cutting plants)... and the IKB Kip certification criteria.”

CA is also obliged to mention the following points on the IKB Kip certificate:

1. the IKB Kip quality mark;
2. the CA's own identifying mark (e.g. logo, name);
3. the logo of the Dutch Accreditation Council plus accreditation number (unless the CA is not yet accredited);
4. a certificate number;
5. name / address / KIPnumber/ IKB Kipnumber of the IKB Kip participant;
6. the certification date. NB: This is the date on which the decision to issue a certificate was made;
7. the period for which the certificate is issued.

2. An IKB Kip certificate is issued per establishment or multi-site of establishments and is valid up to and including 31 December of the calendar year following the year in which the inspection took place, or should have taken place. Then a reinspection has to be carried out again every calendar year. The maximum period between 2 reinspections is 18 months. In exceptional circumstances, a CA can deviate from this rule at its own risk for establishments with an IKB status 1 by extending the IKB Kip certificate administratively with a limited period of validity of up to three months. The extension of the certificate must be motivated, stating the reasons, in the file of the IKB Kip participant concerned. CA must also inform the central database KIPnet of the extension.

If the validity of the IKB Kip certificate expires during the period the establishment was given to take remedial measures, the IKB Kip participant can continue to supply products with an IKB-status if the establishment holds IKB status 2 or 3. This is listed by the CA in the public registry. As soon as the establishment's status switches from 2 or 3 to status 1, the IKB Kip certificate is extended to 31 December of the year following the year in which the previous certificate expired. The CA notifies the central database KIPnet of the fact that the IKB Kip certificate remains valid for the period during which the establishment concerned is tasked with taking remedial measures.

### Article 21

An IKB Kip Certificate is only valid in combination with a mention of IKB Kip certification in the register as mentioned in article 4.

## CONCLUDING PROVISIONS

### Article 22

These criteria are referred to as 'IKB Kip certification criteria'.