IFS Logistics

Standard for auditing logistical services
in relation to product quality and safety

Version 2.3
June 2021

IFS Logistics

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ENGLISH

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Part 1: Audit Protocol

1 The history of the International Featured Standards and IFS Logistics Standard

Supplier audits have been a permanent feature of retailer's systems and procedures for many years. Until 2003 they were performed by the quality assurance departments of the individual retailers, wholesalers and food services. The ever-rising demands of consumers, the increasing liabilities of retailers, wholesalers and food services, the increasing of legal requirements and the globalisation of product supply, all made it essential to develop a uniform process/service compliance, quality assurance and food safety Standard. Also, a solution had to be found to reduce the time associated with a multitude of audits for involved stakeholders.

The associated members of the German retail federation – Handelsverband Deutschland (HDE) – and of its French counterpart – Fédération des Entreprises du Commerce et de la Distribution (FCD) – drew up a quality and food safety standard for retailer branded food products named IFS Food, which is intended to allow the assessment of suppliers' products/processes quality and safety in accordance with a uniform approach. This Standard is now managed by IFS Management GmbH, a company owned by FCD and HDE, and applies to all the post-farm gate stages of food processing. IFS Food Standard has been benchmarked with GFSI Guidance Document and is recognised by GFSI (Global Food Safety Initiative).

The first Standard of the IFS Standard family was IFS Food, which was launched at first in Germany in 2003. An updated version was published in January 2004, which was developed by French and German retailers. Within 2005/2006, the Italian federation joined the IFS Working Groups and the development of IFS Food Version 5 was a collaboration of retail federations from France, Germany, Italy as well as retailers from Switzerland and Austria.

For the current IFS Food version 6.1, the International Technical Committee and the national Working Groups from France, Germany (for the whole German speaking area), Italy, Spain and North America have been actively involved, in addition to retailers, stakeholders and representatives of industry, food services and certification bodies from all over the world. Currently, IFS Food has been developed and supported by food industry from Austria, France, Germany, Italy, Netherland, Spain, Switzerland, USA as well as experts from other European countries, Asia and South America.

It is the aim of most retailers and producers to have transparency over their whole international supply chain, including the logistical activities. Buyers and quality managers in retail and industry require more and

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more transparency about the way their products are treated in the logistics chain and they were looking for a solution.

In order to prevent logistics companies from being overwhelmed by different requirements, the German and French retailers, supported by other international retailers, developed the IFS Logistics Version 1 in 2006. Version 2 was a collaboration of three retail federations from France, Germany and Italy and the IFS North America working group.

The Standard is applicable for all types of transport: truck, train, ship, plane or any other types of transportation, temperature controlled or ambient stable. The IFS Logistics Standard applies to food and non-food products. The IFS Logistics includes all logistical activities like loading, transportation, off-loading, storage, handling and further distribution. The fundamental objectives of IFS Logistics, as well as for other IFS Standards, are:

- to establish a common standard with a uniform evaluation system
- to work with accredited certification bodies and qualified IFS approved auditors
- to ensure comparability and transparency throughout the entire supply chain
- to reduce costs and time for both (suppliers and retailers).

IFS Logistics version 2 has been reviewed, to meet the following additional objectives:

- to check the requirements for understanding
- to adapt the Standard to meet current legislation
- to include the Erratum
- to include all IFS doctrines
- to improve understanding of audit protocol
- to specify the applicability for the logistical handling of unpacked food products (e.g. bread in boxes, meat carcasses) and non-food products
- to include specific requirements for freezing and thawing as a service
- to update the Standard, in accordance with new version of GFSI Guidance Document and benchmark procedure for storage and distribution standards.

changed

From 1st October 2021 IFS Logistics v2.3 is mandatory. In case the audit is performed on or after or includes 1st October 2021, it shall be according to IFS Logistics v2.3.

The IFS Logistics Standard is one of the Standards belonging to the umbrella brand IFS (International Featured Standards).

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2 Introduction

2.1 Purpose and contents of the audit protocol

This audit protocol describes the specific requirements made on the organisations involved in IFS Logistics audits.

The purpose of the protocol is to define the criteria to be followed by a certification body performing announced audits against the IFS requirements and in accordance with the accreditation norm ISO/IEC 17065. For unannounced audits please see Part 5 of this document.

It also details the procedures to be observed by the companies being audited and clarifies the rationale of auditing them. Only certification bodies accredited to ISO/IEC 17065 norm for the scope of IFS Logistics, and which have signed an agreement with the scheme owner, can perform audits against the IFS Logistics Standard and can issue IFS certificates. The IFS requirements for certification bodies are clearly described in Part 3 of this document.

2.2 Extraordinary information to the certification body by the certified company

The company shall inform its certification body about any change that may affect its ability to conform with the certification requirements (e.g. recall, alert on products, etc.). This information shall be made known to the certification body within 3 working days.

2.3 General requirements for the quality and product safety management system

In general, when auditing in accordance with IFS, the auditor assesses if the various elements of a company's quality and product safety system are documented, implemented, maintained and continuously improved. The auditor shall examine the following elements:

- organisational structure in relation to responsibility, authority, qualification and job description
- documented procedures and the instructions concerning their implementation
- inspection and testing: specified requirements and defined acceptance/tolerance criteria
- the actions to be taken in case of non-conformities
- investigation of the causes of non-conformities and the implementation of corrective actions
- conformity analysis of safety and quality data and review of implementation in practice

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- the handling, storage and retrieval of quality and product safety records, such as traceability data, document control.

All processes and procedures shall be clear, concise and unambiguous and the personnel responsible shall understand the principles of the quality and product safety management system.

The quality and product safety management system is based on the following methodology:

- to identify the processes needed for the quality and product safety management system
- to determine the sequence and interaction of these processes,
- to determine the criteria and methods required to ensure the effective operation and control of these processes
- to ensure the availability of information necessary to support the operation and monitoring of these processes
- to measure, monitor and analyse these processes, and implement the necessary action to achieve planned results and continuous improvement.
- to include a procedure for verification of the product safety management system to confirm that the system continues to be effective.

3 Types of audit

3.1 Initial audit

An initial audit is a company's first audit to IFS Logistics. It is performed at a time and date agreed between the company and the selected certification body. During this audit, the entire company is audited, both in relation to its documentation and the processes themselves. During the audit, all IFS requirements shall be assessed by the auditor. In the case of a pre-audit, the auditor who performs this audit shall be different from the auditor who performs the initial audit.

3.2 Follow-up audit

A follow-up audit is required in a specific situation when the results of the audit (an initial audit or a renewal audit) have been insufficient to allow the award of the certificate (see chart N° 6). During the follow-up audit, the auditor focuses on the implementation of the actions taken to correct the Major non-conformity determined during the previous audit. The follow-up audit shall be performed within a six months period from the date of the previous audit. In general, the auditor who performed

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the audit where a Major non-conformity has been identified shall perform the follow-up audit.

If the Major non-conformity is related to failure(s) concerning logistical activities, the follow up audit shall be performed at least 6 weeks after the previous audit and no later than 6 months after the previous audit. For other kinds of failures (e.g. documentation), the certification body is responsible for the determination of the date of the follow-up audit.

If there is no follow-up audit performed after 6 months from the date of the previous audit, then a complete new audit is necessary. If the company decides not to perform a follow-up audit but to start with a new full audit, the new audit shall be scheduled not earlier than 6 weeks after the audit where the Major non-conformity was issued.

In the event that the follow-up audit establishes that requirements remain inadequate, a complete new audit is necessary, which shall be scheduled not earlier than 6 weeks after the follow-up audit. The elimination of Major non-conformities shall always be established by an on-site visit by the auditor.

3.3 Renewal audit (for recertification)

Renewal audits are those which are performed after the initial audit. The period in which a renewal audit shall be performed is shown on the certificate. A renewal audit involves a full and thorough audit of a company resulting in the issue of a new certificate. During the audit, all IFS requirements shall be assessed by the auditor. Particular attention is paid to the deviations and non-conformities identified during the previous audit, as well as to the effectiveness and implementation of **corrections,** corrective actions and preventive measures laid down in the company's action plan.

changed

Note: ~~Corrective~~ Action plans from the previous audit shall always be assessed by the auditor, even if the previous audit has been performed more than one year ago. Therefore, audited companies shall always inform their certification body, if they have already been IFS certified in the past.

The date of the renewal audit shall be calculated from the date of the initial audit and not from the date of issue of the certificate. Furthermore, the renewal audit can be scheduled at earliest 8 weeks before and at latest 2 weeks after the renewal audit due date (see also section 6.2). Companies are responsible for maintaining their certification. All IFS certified companies will receive a reminder from the IFS audit portal three months before certification expiration.

The certification bodies shall contact companies in advance in order to set a date for a new audit.

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In general, the expected date of each audit shall be uploaded in the IFS audit portal, in the diary function and at latest 2 weeks (14 calendar days) before the audit due date (it is possible to change the date short term).

3.4 Extension audit

If, between two certification audits, new products/services different from those included in the scope of the current IFS audit are added in the logistical services, the certified company shall immediately inform its certification body, who shall perform a risk assessment to decide whether an extension audit should be performed or not. The results of the risk assessment, based on product safety risks, shall be documented.

In the event that the certification body decides that these new products and/or services shall be included in the audit scope and the audit scope shall be updated on the certificate, then, for an IFS Logistics certified company, it is not necessary to perform a full audit again, but to organize an one-site extension audit during the validity period of the existing certificate. The certification body is responsible for determining relevant requirements to be audited and relevant audit duration.

The report of this extension audit shall be represented as an annex adjoined with the current audit report. Conditions for passing the extension audit (relative score ≥75 %) are the same as normal one, but only focused on specific requirements which have been audited; the original audit score does not change.

If the extension audit demonstrates compliance, the certificate shall be updated with the new scope and uploaded in the audit portal.

The updated certificate shall keep the same due date of end of validity, as the current certificate.

If, during the extension audit, a Major non-conformity or a KO (Knock Out non-conformity) has been identified, the full audit is failed and the current certificate shall be suspended as described in 5.8.1 and 5.8.2.

4 Scope of the audit

IFS Logistics is a Standard for auditing companies whose activities are logistics oriented for food and non-food products, such as transport, storage, loading/unloading, etc. It applies to all types of transport: delivery by road, rail, ship or plane; frozen/refrigerated products or ambient stable products (different states of matter: liquid, solid or gas).

This Standard also applies to freezing and thawing service providers simple ripening processes of fruit as well as for logistics companies using service providers for their transport and/or storage activities.

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Food and non-food products are defined in Annex **5,** Part 1.

changed Products which are excluded from the application scope of the IFS Logistics Standard are also specified in Annex **5.**

IFS Logistics shall not apply to the following activities:

- processing of food or non-food products (except for freezing and thawing processes, as a service; see Part 1, Annex 1)
- importation, trading of goods (offices, e.g. typical broker companies with purchasing activities)
- transportation of living animals.

For clarification of the scope determination between IFS Logistics and other IFS Standards (Food, Broker, Cash & Carry/Wholesale, HPC – Household and Personal Care and PACsecure) please see Annex 1, Part 1.

The following scopes are defined for IFS Logistics audits:

1 Storage
   a Food products
   b Non-food products
2 Transport
   a Food products
   b Non-food products

The scope of the audit shall be defined and agreed between the company and the certification body before the audit takes place. The scope shall be clearly and unambiguously stated in the contract between the company and the certification body, in the audit report and on the certificate.

Note: The audit scope shall describe the logistical activities of the company (e.g. transport, incl. type of transport, storage) as well as the product scope(s) which is/are handled (food, non-food) and the conditions of the handling (e.g. ambient stable, chilled, frozen).

These are minimum explanations about the audit scope which shall be specified on the IFS Logistics certificate.

Of course, more details (e.g. on the kind of food/non-food products):

- can be described on the IFS Logistics certificate, based on the product scope descriptions in Annex 5, Part 1.
- shall be described in the company profile of the audit report.

The audit shall be performed at a time to ensure the full scope of products and logistical activities, as mentioned in the report and on the certificate, can be effectively assessed.

If, between two certification audits, new logistical activities different from those included in the scope of the current IFS audit are imple-

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mented, the certified company shall immediately inform its certification body, who shall perform a risk assessment to decide whether an extension audit should be performed or not (see also 3.4).

The audit shall be specific to the site where all the logistical processes are undertaken. Where decentralised structures exist and the audit of a certain location is insufficient for gaining a complete view of the company's processes, then all other relevant facilities shall also be included in the audit. Full details shall be documented within the company profile in the audit report.

The audit scope shall include the complete activity of the company. The scope shall be reviewed and agreed at the beginning of the audit after an initial risk assessment. Furthermore, the scope can be modified after the risk assessment (for instance, if a further activity interferes with the one concerned by the audit scope).

If, under exceptional circumstances, the company decides to exclude specific logistics activities or product groups from the scope of the audit, then this shall be clearly noted and included in the audit report and on the IFS certificate.

Combined certification IFS Logistics/IFS Broker
If a logistics company additionally has broker services (e.g. importation, trading of goods) and would like to certify those, IFS Logistics certification is not applicable alone and a combined certification according to IFS Logistics and IFS Broker shall be performed. The IFS Logistics certificate shall specify: "The company also has broker services, which are IFS Broker certified".

If no combined certification is performed but broker services are present or if the logistics company doesn´t want to include broker services in the scope of IFS certification, those activities shall be excluded from the certificate and the IFS Logistics certificate shall specify: "The company also has broker services, which are not IFS Broker certified".

If requirements of both checklists are fulfilled, two separate reports shall be written and two separate certificates shall be uploaded in the database.

Auditing of multi-site companies with central management
If defined processes are organised centrally in a company with several sites (e.g. purchasing, personnel management, complaint management), there are two ways to manage IFS Logistics certification:

- if the company fulfills the pre-requisites, multi-site certification can be performed by sampling sites to be audited. The specific pre-conditions and rules are published in the guideline for multi-site certification for IFS Logistics certified companies. This guideline can be downloaded on www.ifs-certification.com.
- If the company doesn't fulfill the pre-requisites, multi-site certification can't be performed by sampling and each site shall be audited. In this case, the following process applies.

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The central managing site – headquarter – shall also be audited and relevant audited requirements outcome shall be considered in the audit reports of each site.

Each site shall be audited separately in a period of maximum 12 months after the central managing site and shall have its own audit report and certificate. Each site shall be mentioned in the relevant contract and shall be subject to its own report and certificate. If the central managing site does not have any logistical activity, this site cannot be IFS certified as an independent company. The time for auditing the central managing site shall be described in the company profile of the report.

The audit of the managing site shall always take place before the audit of each site in order to have a preliminary overview.

Note: If it is not possible to perform an audit at the managing site, then it shall be ensured that, during the audit of each site, all necessary information from the managing site is available (e.g. a representative of the managing site should attend at the audit(s) of the site(s)).

5 The certification process

5.1 Preparation of an audit

Before being audited, the company shall review all requirements of the IFS Logistics Standard in detail and, if existing, IFS doctrine and erratum. On the day of the audit, the current version of the Standard shall be available at the site being audited. The company is responsible for acquiring the current version of the Standard. In order to prepare for an initial audit, a company may carry out a pre-audit, which is only intended to be used in-house. The pre-audit cannot include any recommendations.

changed If the audit is not an initial audit, the company shall also inform the certification body so that the auditor can check the ~~corrective~~ action plan from the previous audit.

The expected date for the initial or renewal audit shall be communicated to the IFS offices via the IFS audit portal. This shall be the responsibility of the certification body.

5.2 Certification body selection – contractual arrangements

In order to undertake the IFS audit, the company shall appoint a certification body which is approved to perform such audits. Certification bodies shall be accredited to ISO/IEC 17065 norm for the scope of IFS Logistics and shall have auditors which are approved to perform IFS Logistics audits (see Part 3). Only those IFS approved certification bodies, which shall have signed a contract with IFS (see Part 3) – can carry out IFS Logistics audits and issue certificates. The list of all IFS

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international approved certification bodies, by country, is available on the website www.ifs-certification.com.

IFS Logistics audits can be carried out by an audit team, only if all members of the audit team are approved IFS Logistics auditors. Additional requirements for audit teams are described in detail in Part 3 of the Standard, chapter 3.5.

An auditor is not allowed to perform more than 3 consecutives audits of the same company's site (whatever the time between audits); rules in case of audit team are also detailed in Part 3, chapter 3.5.

A contract shall exist between the company and the certification body detailing the scope of the audit, the duration and reporting requirements. The contract shall have a reference to Integrity Program (see chapter 12), in relation to the possibility of on-site audits organized by Quality Assurance Management of the IFS offices.

The audit shall take place when all activities of the company's audit scope can be assessed.

The audit shall preferably be carried out in the language of the company and the certification body shall make every attempt to appoint an auditor whose native language or main working language is the language of the company. Furthermore, languages used by the auditor for leading an audit – among native language – shall be approved by IFS offices prior to undertaking audits (see also Part 3).

It is the responsibility of the company to verify that the certification body is accredited for IFS Logistics certification.

5.3 Duration of an audit

The certification bodies shall have an appropriate system for estimating the minimum time needed for an audit. The minimum audit duration of an IFS Logistics audit shall be one day.

A number of factors which are detailed in the contract between the certification body and the company, plays a role in determining the time required for a comprehensive audit. They include:

- physical size of the logistics site
- the type of services offered
- the audit scope
- the number of transport units involved
- the number of storage units involved
- total number of employees (part time workers, shift workers, temporary staff, administrative people, etc.)
- the number of non-conformities identified during previous audits.

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In the event of a reduction of audit duration, the reason shall be described in detail in the audit report, in the company profile.

The audit duration might be extended depending on the above factors. The above mentioned rules equally apply to renewal audits, which must be considered as completely new audits.

The minimum audit duration does not include time for audit preparation and report generation.

Additionally, time for generation of the audit report is typically 0.5 days.

In exceptional situations, a reduction of the audit duration to 6 hours is possible, only in the following cases:

- If only one service (transport or storage) or only one kind of handling (e.g. chilled/frozen) is performed, or if only one product group is handled.

- In case of auditing of multi-site companies with central management, the audit duration for each single site can be reduced to 0,5 day, if requirements have already been audited at the central managing site.
- If there are not more than 50 employees (incl. part time workers, shift workers, temporary staff, administrative people, etc.) at the site.

A normal audit day duration is 8 hours.

1/3 of the audit duration shall be spent, as a minimum, in the working area of the site.

Note 1: For an audit team, at least 2 hours shall be allocated to the team and not to an individual auditor for common tasks (e.g. opening and closing meeting, discussion about audit findings, etc.).

See also Part 3, chapter 3.5 about audit team.

Note 2: For a combined audit IFS Logistics/IFS Broker, the minimum audit duration shall be 1.5 days.

5.4 Drawing up an audit time schedule

The certification body shall provide the audit time schedule. The audit time schedule includes appropriate details concerning the scope covered and the complexity of the audit. The audit time schedule shall be sufficiently flexible to respond to any unexpected events which may arise during the site inspection activity within the certification audit. The audit time schedule takes into consideration a review of the audit report and action plan relating to the previous audit, whatever the date when the previous audit has been performed. It also specifies which of the

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company's logistical activities with which products are to be audited. The company can only be audited at a time when it is actually performing the logistical activities with the products specified in the scope of the audit. The audit time schedule shall be sent to the auditee before the audit, to ensure availability of responsible persons at the day of the audit.

In case of an audit team, the audit time schedule shall clearly indicate which auditor performs which part of the audit.

If the IFS audit is performed in combination with an other standard/ norm, the audit time schedule shall clearly indicate when each standard or part of it has been audited.

The audit shall be scheduled based on the following steps:

- the opening meeting
- the evaluation of services compliance, based on checking documentation (risk management, quality management documentation, etc.)
- the on-site inspection and interviewing of the personnel
- the final conclusions drawn from the audit
- the closing meeting.

The company will assist and cooperate with the auditor during the audit. As part of the audit, personnel from different levels of management are interviewed. It is advisable that the company's senior managers are present at the opening and closing meetings so that any deviations and non-conformities can be discussed.

The auditor(s) who conduct(s) the audit will assess all the requirements of IFS Logistics which are relevant to the company's structure and function.

During the closing meeting, the auditor (or lead auditor in the case of an audit team) shall present all findings and discuss all deviations and non-conformities which have been identified. As specified by ISO/IEC 17065 norm, the auditor may only issue a provisional assessment of company's status during the closing meeting. The certification body shall issue a provisional audit report and outline an action plan to the company, which shall be used as a basis for drawing up **corrections and** corrective actions for the determined deviations and non-conformities.

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The certification body is responsible for making the certification decision and the preparation of the formal audit report after the receipt of the completed action plan. The issuing of the certificate is dependent on the audit results and on agreement on an appropriate action plan.

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5.5 Evaluation of requirements

The auditor assesses the nature and significance of any deviation or non-conformity. In order to determine whether compliance with a requirement of IFS Logistics has been met, the auditor has to evaluate every requirement in the Standard. There are different levels to rank the findings.

5.5.1 Scoring a requirement as a deviation

In IFS Logistics, there are 4 scoring possibilities:

Scoring with:

changed

A: Full compliance

B: Point of attention as it may lead to a future deviation

C: Part of the requirement is not implemented

D: The requirement is not implemented

Points are awarded for each requirement according to the following chart:

Chart N° 1: Scoring

changed

Result	Explanation	Points
A	Full compliance	20 points
B (point of attention)	**Point of attention as it may lead to a future deviation**	**15 points**
C (deviation)	~~Small~~ Part of the requirement **is not** implemented	5 points
D (deviation)	The requirement **is** not ~~been~~ implemented	–20 points

The auditor shall explain all scorings with B, C and D in the audit report.

In addition to this scoring, the auditor can decide to give the company a "KO" or a "Major" non-conformity that will subtract points from the total amount. These possibilities are explained within the next chapters.

5.5.2 Scoring a requirement as a non-conformity

In IFS, there are two (2) kinds of non-conformities which are Major and KO. Both will lead to a subtraction of points from the total amount. If the company gets at least one of these non-conformities, the certificate cannot be awarded.

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5.5.2.1 Major non-conformity

A Major non-conformity is defined as follows:

A Major non-conformity can be given to any requirement which is not defined as KO requirement.

changed

Reasons for Major rating:

- When there is a substantial failure to meet the requirements of the Standard, which includes **but is not limited to** product safety and/or the legal requirements of the destination countries.
- **A process is out of control which might have an impact on product safety.**

A Major non-conformity will subtract 15 % of the possible total amount of points.

Chart N° 2: Evaluation of a Major non-conformity

Evaluation	Scoring	Result
Major non-conformity	15 % of possible total amount is subtracted	No certificate awarding is possible

See also section 5.8 for the general management of audit process in case of Major non-conformity(ies).

5.5.2.2 KO (Knock Out)

In IFS, there are specific requirements which are designated as KO requirements (KO – Knock Out).

If during the audit the auditor establishes that these requirements are not fulfilled by the company, this results in non-certification.

In IFS Logistics the following 6 requirements are defined as KO requirements:

1.2.7 Responsibility of the senior management

2.1.1 Product safety management system

2.3.8 Monitoring system of each CCP

5.1.1 Internal audits

5.5.1 Management of non-conforming products

5.8.2 Corrective actions

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KO requirements shall be evaluated according to the following scoring rules:

Chart N° 3: Scoring for KO requirement

changed

Result	Explanation	Awarded scores
A	Full compliance	20 points
B (point of attention)	**Point of attention as it may lead to a future deviation.**	**No "B" scoring is possible**
C (deviation)	**Part of the requirement is not implemented.**	**5 points**
KO (= D)	The requirement is not implemented.	**KO non-conformity will subtract 50 % of the possible total amount; the certificate cannot be issued.**

changed

Important note
A "**B**" scoring is not possible for KO requirements. In this respect, the auditor can only use A, **C** or D (= KO).

When a KO requirement has been scored as "D", 50 % of the possible total amount of points will be subtracted automatically meaning that the company is "not approved" for IFS Logistics certification.

A KO cannot be scored with N/A, except KO 2.3.8.

See also section 5.8 for the general management of audit report in case of one or several KO requirements.

5.5.3 Scoring a requirement with N/A (not applicable)

When the auditor decides that a requirement is not applicable for a company, the auditor has to use as scoring:

N/A: Not applicable and provide a short explanation in the audit report.

N/A scoring is possible for any requirements of the IFS Logistics audit checklist, except for KO requirements (exception for KO 2.3.8).

N/A requirements shall not be included in the outline action plan, but they shall be listed in a separate table in the audit report.

If there are a significant number of requirements which are deemed as not applicable, using a total points score for the audit may be misleading; however, the scoring system for IFS Logistics is based on a percentage of the total available score and it is this which is used to decide the status of the site i.e. foundation or higher level.

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5.6 Determination of the audit frequency

For all audited activities and for all certification levels, the audit frequency for IFS Logistics audits is 12 months, starting from the date of the audit and not the date of issue the certificate. Further regulations are described in 6.2 (certification cycle).

5.7 Audit report

Following each audit, a full written report shall be prepared in the agreed format (see Part 4).

For combined audits IFS Logistics/IFS Broker, two separate reports shall be written.

5.7.1 Structure of the audit report

The audit report shall provide transparency and confidence to the reader and will be completed by the auditor. The audit report is subdivided into different sections:

- General information about the company with compulsory fields (see Annex 2, Part 2)
- General audit result with detailed description of the scope
- General summary in a tabular format for all chapters. The result of the audit will specify the level and percentage.

changed

- General summary of all chapters and comments about follow up of **corrections and** corrective actions implemented from the previous audit
- Observations on KO requirements and Major non-conformities
- Summary of all established deviations and non-conformities for each chapter (1 to 6)
- Separate list (including explanations) of all requirements evaluated with N/A (not applicable)
- Detailed audit report with compulsory fields to be completed by the auditors for some IFS Logistics requirements (see Annex 2, Part 2).

changed

All deviations (~~B,~~ C, D) and KO requirements scored with a **C**, non-conformities (Major, KO requirement scored with a D) identified during the audit, are presented in a separate action plan. Following the allocation of a grade, the company has to complete an ~~corrective~~ action plan. In this way, the reader of the report can see the non-conformities and deviations and also the **corrections the company has implemented as well as** corrective actions that the company is initiating.

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5.7.2 The different steps for the audit report

5.7.2.1 Drawing up the pre-report of the audit and the outline of the action plan

changed

The auditor shall explain all non-conformities (KO requirements scored with a D and Majors), all deviations (~~B,~~ C, D) and KO requirements scored with a **C**, and all requirements that are found N/A.

The auditor shall also describe/explain A scorings for some pre-determined requirements (see Annex 2, Part 2).

The action plan shall include all the requirements which are not evaluated with A or N/A. The outline action plan shall conform to the audit-XpressX™ software (IFS audit report writer assistant) outline action plan. It shall include the elements of the following chart.

The auditor shall complete all of Field A in chart N° 4 explaining and justifying the deviations and non-conformities found before sending the company the outline action plan and the pre-report of the audit.

The certification body or the auditor shall send the company both the pre-report of the audit and the outline action plan within two weeks of the audit date.

changed

Chart N° 4: Outline action plan

N° of the requirement	IFS Logistics requirement	Evaluation	Explanation (by the auditor)	Correction (by the company)	Responsibility/Date and status of implementation (by the company)	Type of evidence and name of the document(s)	Corrective action (by the company)	Responsibility/ Date and status of implementation (by the company)	Release and date of release (by the auditor)
1.2.1	An organisation chart …	C							
1.2.2	The department responsible for quality and product safety …	C							
1.2.4	Competences and responsibilities, including deputation …	D							
1.2.7 KO	Senior management shall be responsible …	KO/C							
1.3.2	The records of this procedure shall be evaluated …	Major							
2.3.8 KO	Where risks need specific control …	KO/C							

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changed

5.7.2.2 Company's completion of the ~~corrective~~ action plan

The company shall provide the following in the action plan:

- **proposed corrections and corrective actions for all deviations (C, D), KO requirements scored with a C and for non-conformities (Major or D evaluation of a KO requirement) listed by the auditor**
- **responsibilities and implementation deadlines for both corrections and corrective actions (see chart 5).**

changed

Chart N° 5: Timescale for corrections and corrective actions

Corrections	Corrective actions
As soon as possible. Evidence of implementation shall be provided to the certification body within a maximum of four (4) weeks after the receipt of the provisional audit report and the provisional action plan for completion.	Relevant for a sustainable and successful implementation (may take longer than the deadline for issuing the certificate, need to be reasonably justified by the company). Implemented before the renewal audit at the latest.

The company shall forward the action plan to the certification body within maximum four (4) weeks of having received the provisional report of the audit and the provisional action plan. If this deadline is not adhered to, the company shall undergo a full initial or renewal audit.

An IFS Certificate shall not be issued, unless all corrections are implemented. Corrections and corrective action(s) shall be translated into English.

In the case of one Major non-conformity and a total scoring <75 % or several Major and/or KO non-conformity/ies, the certificate will not be issued, the report shall be uploaded in the IFS Database (see ANNEX 4) and a new audit shall be organised. The action plan shall be validated by the auditor and the technical reviewer during the certification decision process.

The final decision of awarding the IFS certificate is dependant both on final scoring and on relevance of corrective action plan communicated by the company to the certification body.

changed

The intention of the ~~corrective~~ action plan is for the company to strive for continuous improvements.

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5.7.2.3 Validation of the action plan

change

The auditor or a representative of the certification body shall validate the relevance of the **corrections, the corrective actions and their dates of implementation in the allocated column of the action plan, before preparing the final audit report. If the evidence of the corrections and/or corrective actions are not valid or inadequate, and/or if the dates of implementation are not relevant, the auditor/certification body shall return the action plan to the company for completion in due time. If the action plan is not released in due time, certification may not be issued. The evidence shall be stored by the certification body for a period of three (3) years.**

5.7.3 Further rules about the audit report

5.7.3.1 Link between two consecutive audit reports (initial and renewal audits)

changed

When the auditor scores a requirement with C or D**, a KO requirement with a C or a non-conformity (Major or D evaluation of a KO requirement), corrections and** corrective actions shall be implemented before the renewal audit. This means the certification body shall read the audit report and the action plan of the previous audit, even if the report was issued by another certification body.

If C and/or D scorings remain the same from one audit to the next, or if scorings are getting worse, the auditor shall assess in accordance with the IFS chapter related to "Corrective actions" (chapter 5.8 of the audit check-list, Part 2). This link between two consecutive audits ensures a continuous improvement process.

5.7.3.2 Translation of the audit report

changed

changed

As the IFS standards are used internationally, it is important that customers understand the audit report; this is particularly important in relation to deviations and non-conformities identified by the auditor, as well as **corrections and** corrective actions proposed from the audited company. To make use of IFS internationally and to make it widely understandable, the following explanations for deviations and non-conformities shall always be translated into English in the action plan (chart N° **4**) and in the audit report:

- Requirements evaluated with a C or D
- Major non-conformities

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- KO requirements scored with a **C** or a D
- The audit scope (on the relevant page of the audit report)
- Detailed activity (operating processes, if there are subcontracted activities, etc.) of the company, which is described in the company profile. More detailed explanations on topics to be translated are defined in Annex 2, Part 2
- In the company profile, if relevant, the reasons for reducing audit duration.

changed

The **corrections and** corrective actions related to these deviations and non-conformities shall also be translated into English in the action plan.

changed

It is an obligation and the responsibility of the certification bodies to translate these explanations**, corrections** and corrective actions. The translation shall be made under each sentence of the original version and included in the audit report, before uploading the final audit report to the audit portal.

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5.8 Scoring and conditions for issuing audit report and certificate

changed **Chart N° 6:** Scoring and awarding of certificates

Audit result	Status	Action company	Report form	Certificate
Total score is ≥95 %	Passed at IFS Logistics higher level following the receipt of the action plan	Send completed action plan within four (4) weeks of receiving the provisional report	Report including action plan provides status	Yes, certificate at higher level, 12-month validity. The certificate shall only be issued when the corrections are closed
Total score is ≥75 % and <95 %	Passed at IFS Logistics foundation level after receipt of the action plan	Send completed action plan within four (4) weeks of receiving the provisional report	Report including action plan provides status	Yes, certificate at higher level, 12-month validity. The certificate shall only be issued when the corrections are closed
Maximum one Major and total score is ≥75 %	Not passed, unless further actions taken and validated after a follow-up audit	Send completed action plan within four (4) weeks of receiving the provisional report. Follow-up audit maximum six (6) months after the audit date	Report including action plan provides status	Certificate at foundation level, if the Major non-conformity is finally solved during the follow-up audit. The certificate shall only be issued when the corrections are closed.
Total score is <75 %	Not passed	Actions and new initial audit to be agreed upon (no earlier than six (6) weeks after the audit where the final score was <75 %).	Report provides status	No
> one Major and/or total score is <75 %	Not passed	Send completed action plan within 2 weeks of receiving the preliminarily report.	Report provides status	No
At least one KO requirement scored with D	Not passed	Actions and new initial audit to be agreed upon	Report provides status	No

Note: The total score is calculated as following:

Total number of points
= (total number of IFS requirements – requirements scored with N/A) × 20

Final score (in %)
= number of points awarded/total number of points.

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5.8.1 Specific management of the audit process (report, certificate, uploading) in case one or several KO's has/have been scored with D during the audit

In case one or several KO is/are scored with D during the audit, the current IFS certificate shall be suspended in the IFS audit portal by the certification body as soon as possible and a maximum 2 working days after the audit date.

In the database, explanation about reasons for suspending the current certificate shall be given in English language. Clear explanations about the identified non-conformity(ies) shall be provided by giving the number of involved KO requirement(s). These explanations shall be detailed and be the same as those described in the action plan.

Note: All users having access to the IFS audit portal and having mentioned the respective company in their favourites list will get an e-mail notice (with explanations about the identified non-conformity(ies)) from the IFS audit portal that the current certificate has been suspended.

In each case, the audit shall be completed and all requirements shall be evaluated in order to give the company a complete overview about its situation.

Furthermore, it is recommended to complete the action plan for improvement purposes.

The audit report where one or several KO have been scored with D shall always be uploaded into the IFS audit portal (only for administrative purpose, but will not be visible).

In these situations, a complete new audit shall be performed. The new audit shall be scheduled no earlier than 6 weeks after the audit where a KO was scored with D.

5.8.2 Specific management of the audit process (report, certificate, uploading) in case one or several Major non-conformity(ies) has/have been issued

In case one or several Major non-conformity(ies) is/are issued during the audit, the current IFS certificate shall be suspended in the IFS audit portal by the certification body as soon as possible and a maximum 2 working days after the audit date.

In the database, explanation about reasons for suspending the current certificate shall be given in English language. Clear explanations about the identified non-conformity(ies) shall be provided by giving the number of involved requirement(s). These explanations shall be detailed and be the same as those described in the action plan.

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Note: All users having access to the IFS portal and having mentioned the respective company in their favourites list will get an e-mail notice (with explanations about the identified non-conformity(ies)) from the IFS audit portal that the current certificate has been suspended.

In cases where more than one Major non-conformity has been identified, a complete new audit shall be performed. The new audit shall be scheduled no earlier than 6 weeks after the audit where Major non- conformities were issued.

If the Major non-conformity is related to failure(s) concerning the logistical activities, the follow up audit shall be performed at least 6 weeks after the previous audit and no later than 6 months after the previous audit (last day of the audit) where the Major non-conformity was scored. For other kinds of failures (e.g. documentation), the certification body is responsible for the determination of the date of the follow-up audit.

The audit report where one or several Major non-conformity(ies) has/have been identified shall always be uploaded into the IFS audit portal after receiving the action plan (only for administrative purpose, but will not be visible).

Specific situation in case of follow-up audit:
If a Major non-conformity has been identified with a total score of 75 % or above and then resolved, **and** if the audit result is deemed positive:

- The certification body shall mention on the updated audit report:
  - in the "date" section: specify the date of the follow up audit in addition to the date of audit when the Major non-conformity was identified
  - in the "final result of audit" section: specify that a follow up audit has taken place and that the Major non-conformity has been solved
  - In the "observations regarding KO non-conformities and Majors" section explain on which requirement the Major non-conformity has been solved.
- The company cannot be certified with higher level, even if the final total score is equal or more than 95 %.
- The same valid date of the certificate remains in the certification cycle as described in 6.2.
- It shall be defined on the certificate the date of initial audit and date of follow-up audit.
- If it was during an initial audit, the longest certificate valid due date is calculated using initial audit date, plus one year and 8 weeks.

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Example:

Initial audit date 1:	01. October, 2020
Date of issue of certificate:	26. November, 2020
Certificate valid until:	25. November, 2021
Renewal date (audit where Major has been issued) 2:	25. September, 2021
Follow up audit:	03. December, 2021
Latest date of validity of the certificate:	25. November, 2022.

changed

The follow-up audit shall be scheduled no earlier than six (6) weeks and not later than six (6) months after the previous audit (last day of the audit) where the Major non-conformity was scored

The report (first of the audit with the estimated Major non-conformity, then updated with results of follow up audit) shall be uploaded into the IFS Database after performing the follow-up audit with the provison that the Major non-conformity is finally solved.

5.8.3 Specific management of the audit process in case the final score is <75 %

In these situations, the certification is failed and a complete new audit shall be performed. The new audit shall be scheduled no earlier than 6 weeks after the audit where the final score was <75 %.

5.8.4 Specific management of the audit process in case of multi-site companies with central management

- All KO requirements shall be audited at all sites even if some of them are partly managed at the central managing site.
- In the audit report of each site, only the audit date of the respective site shall be mentioned; the audit date of managing site is not additionally necessary.
- In case that a Major non-conformity or a KO scored with D has been issued during the audit of the central managing site, all audited sites are also affected and the certificates of these sites shall be suspended (according the procedure described above).
- After a successful audit of the central managing site (or after positive follow-up after a Major was issued in the central managing site), the certificates of the sites can be reinstated. Depending upon which non-conformity has been issued in the central managing site, a new audit of the sites may also be necessary.

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6 Awarding the certificate

A certificate shall be issued to one specific site.

Translation of the audit scope on the certificate: To make use of the IFS standard internationally and to make it widely understandable, the audit scope on the IFS Logistics certificate shall always be translated into English. It is an obligation and the responsibility of the certification bodies to translate the audit scope.

Detailed minimum mandatory information to be published on the IFS Logistics certificate is determined in Part 4.

Note: The final audit score, in percentage, can also be published on the certificate, if required by customer and/or audited company.

6.1 Deadlines for awarding certificate

The certification body is responsible for the decision to award or not to award the IFS Logistics certificate. The decision is made by person(s) other than those who have carried out the audit. The certification shall be valid effectively from the date of issue stated on the certificate itself and shall end after 12 months. The date for the renewal audit shall be calculated from the date of the initial audit, not from the date of issue the certificate. If the audit is not performed in due time, the retailers or other users which have placed this company in their favourites in the IFS audit portal will get a message.

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

- 2 weeks to draw up the pre-report of the audit
- **4** weeks for the company to respond to the deviations and non-conformities (i.e. draw up the action plan)
- 2 weeks for the auditor/certification body **to review the action plan (all corrections shall be implemented)** and upload of the audit report, the action plan and the certificate to the IFS Database.

changed

The timeline is six (6) weeks (as a target time) or eight (8) weeks (as a maximum time) between the date of audit and the upload of the audit report in the IFS Database/issue of the certificate.

6.2 Certification cycle

Even if the renewal audit due date changes every year and does not completely correspond to the anniversary date, the certificate validity date shall remain the same each year. The due date of the certificate is determined as follows: initial audit date + 8 weeks.

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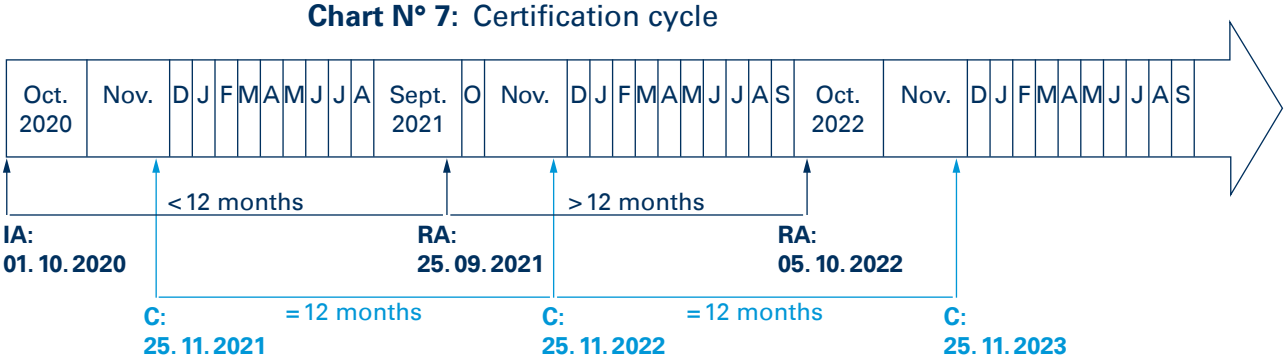
This allows to avoid gaps between two (2) consecutive certificates and to avoid that a company scheduling the audit earlier loses some months of certificate validity.

Example:

Initial audit date:	01. October, 2021
Date of issue of certificate:	26. November, 2021
Certificate valid until:	25. November, 2022
Renewal audit date:	25. September, 2022
Certificate valid until:	25. November, 2023 (independently from the renewal audit date).

Chart N° 7: Certification cycle



IA: Initial audit
RA: Renewal audit
C: Issue a certificate valid until

Note: The certificate shall always be edited on the basis of a certification decision and after the several steps of certification decision according to ISO/IEC 17065 norm.

Ideally, the renewal audit shall be performed within eight (8) weeks of the date of expiry of certificate to have enough time for the several steps of the certification process to be completed.

The renewal audit shall be scheduled at earliest eight (8) weeks before and at latest two (2) weeks after the audit due date (due date is anniversary date of the initial audit). If this is not the case, or if the several steps of the certification process were not completed in time, the certificate cannot be renewed with the "due date" but with the actual new date; this will lead to a break in the certification.

In the example above, this means that the audit shall never be scheduled before 06. August and after 15. October.

The previous audit report remains a further eight (8) weeks (after audit due date) on the audit portal, but if the renewal audit takes place later than described above, the report will be automatically inactivated from the IFS audit portal.

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6.3 Information about conditions of withdrawal of certificate

Withdrawal of certificate by the certification body is only permitted in case of any information indicating that the logistical activities may no longer comply with the requirements of the certification system.

The only exception of this rule may be related to the non-payment of the current audit by the certified company.

The contract between certification body and audited company shall be harmonized with the certification cycle (see above chart N° 7).

7 Distribution and storage of the audit report

changed

Audit reports shall remain the property of the company and shall not be released, in whole or part, to a third party without the company's prior consent (except where required by law **accreditation bodies and GFSI Integrity Program**). This consent for distribution of the audit report must be in writing and can be granted by the company vis-à-vis the certification body and/or vis-à-vis the relevant user. The certification body shall keep a copy of the audit report and all supporting documentation. This documentation shall be stored safely and securely for a period of five years.

Access conditions to information about audit reports are fully detailed in Part 4.

8 Supplementary action

The decision on the level of supplementary actions required on the basis of the certificate shall be made at the discretion of the individual buying organisation.

9 Appeal and complaints procedure

The certification body shall have documented procedures for the consideration and resolution of appeals against the results of an audit. These procedures shall be independent of the individual auditor and will be considered by senior management of the certification body. Appeals will be finalised within 20 working days of receiving information from the auditee.

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The certification body shall have documented general procedures for handling complaints received from the companies and/or other relevant parties. An initial response will be given within ten (10) working days of receiving the complaint. A letter confirming receipt of the complaint will be issued within a maximum of five (5) working days. A full written response will be given after the completion of a full and thorough investigation into a complaint.

For the handling of complaints received by the IFS offices, the basis for the complaint management is described in the IFS framework agreement with certification bodies:

- If the complaint relates to the quality of the content of IFS audits or IFS audit reports, IFS offices require the certification body to provide a statement on the cause and the measures introduced to rectify the problem within 2 weeks.
- If the complaint relates to administrative errors, e.g. in IFS audit reports, IFS certificates or in the IFS database, IFS offices ask the certification body to provide a statement and rectify the problem within one (1) week. The statement shall be issued in writing by email or post.

10 Ownership and usage of the IFS Logistics Logo

The copyright of IFS Logistics and the registered trademark is fully owned by the IFS Management GmbH. The IFS Logistics Logo can be downloaded via the secured section of the IFS audit portal.

Furthermore, the below terms and conditions shall be checked by the auditor during the audit and results of this check shall be described the company profile of the audit report as a mandatory field (see also Annex 2, Part 2, for compulsory fields). In case the auditor identified that the company doesn't fulfil those terms and conditions, IFS shall be informed accordingly.

Terms and conditions for using the IFS Logistics logo and communication about the IFS Logistics certification

Application
These terms and conditions apply for both IFS Logistics and all IFS logos in general.

Form, design and colour of the IFS Logistics logo
When used, the IFS Logistics logo must comply with the form and colour of the scale drawing. If it is used in documents, black and white print is also permitted.

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The IFS Logistics logo can be used in print, physical and electronic form, and in films, providing the forms and formats are respected. The same conditions apply to the use of the logo as a stamp.

Restriction of comment and interpretations
When an IFS Logistics certified company, an IFS Logistics supporting company or an IFS Logistics certification body publishes documents bearing the IFS logo, comment and interpretations referring to the IFS shall be clearly identifiable as such.

Use of the IFS Logistics logo in promotional material
An IFS Logistics certified company, an IFS Logistics supporting company (e.g. sub-contractor) which accepts IFS certificates from their suppliers or service providers, or an IFS certification body may use the IFS logo for promotional reasons (e.g. on trucks) and publish information about IFS certification provided that it is not visible on final product packaging which are available to the end-consumer.

The IFS Logistics logo and information about the certification may be used in correspondence with relevant IFS users. Presentations mentioning IFS on the internet are only permitted if they are in a direct link with product safety (e.g. within information about the safety/quality management system).

The IFS Logistics logo may be displayed on any kind of general communication (e.g. exhibitions for business contacts, brochures, generic articles about product safety and quality management in general, vehicles). The IFS Logistics Standard was developed by the logistics service companies, retailers and certification bodies in order to assure the product safety and quality of their contractors.

It must be ensured that all information concerning certifications refers clearly to IFS. The IFS logo may not be used in presentations having no clear connection to IFS.

Further restriction on the use of the IFS Logistics logo
The IFS Logistics logo shall not be used in a way that could show intent that the IFS owner is responsible for the certification decision. Furthermore, the same applies for opinions and interpretations which could be deriven from it. In the event of suspension or withdrawal of the IFS Logistics certification, the certified company has to immediately stop the inclusion of the IFS logo on its documents or other associated material and cease all communications regarding IFS. The audited company must demonstrate that they have complied with these requirements.

Communication of the IFS Logistics certification
All the above mentioned rules apply to any communication regarding IFS Logistics. This also means that using the wordmarks "IFS", "International Featured Standards", or "IFS Logistics" or similar is not allowed when communicating on finished products, which are available to the end-consumer.

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11 Review of the Standard

The Review Committee needs to demonstrate control of the quality and content of the Standard and will annually review the Standard and the Protocol to ensure that they are still in compliance with their requirements. The Review Committee shall be formed with all participants involved in the audit process: the representatives of the retailers, representatives of logistics companies and of certification bodies. The objective of the Review Committee is to share experiences, discuss and decide about the changes to the Standard, the requirements of the audit report and training.

12 IFS Integrity Program

Note: Due to changes in IFS Integrity Program procedures, this chapter has been completely changed.

The IFS Integrity Program, launched in early 2010, includes different measures to assure the quality of the IFS certification schemes by reviewing audit reports of certified companies and by several measures to analyze and improve the work of certification bodies and auditors. The IFS Integrity Program strengthens the reliability of the IFS schemes by checking the implementation of the IFS standards in practice.

The main procedures of IFS Integrity Program are described in the Annex 4 of the framework agreement; these procedures have been developed in regular meetings of the IFS Quality Assurance Working Group composed of international members. The Annex 4 of the framework agreement has to be signed by all certification bodies having a contract with IFS Management GmbH. Auditors performing IFS audits have to accept the IFS Integrity Program procedures to assure a qualitative performance of IFS audits. Certification bodies are obliged to inform their customers applying for an IFS audit certificate about the content of the Annex 4 of the framework agreement in current version. The IFS Integrity Program mainly works on the following activities:

12.1 Complaint management

A detailed complaint management process analyzes all necessary information. Retailers or any other interested parties have the right to forward any possible complaint issue to IFS for investigation as part of the Integrity Program. The respective information can be forwarded by e-mail via complaintmanagement@ifs-certification.com or via a complaint form on the IFS website www.ifs-certification.com.

The IFS offices will gather all necessary information in order to investigate the cause of the complaint and to establish if there are deficiencies by certified companies, accredited certification bodies or IFS approved

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auditors in meeting IFS requirements. Appropriate steps are taken to fully investigate a complaint, which may include a request to a certification body to carry out internal investigations and to provide a statement on the outcome of their investigations to IFS.

Finally IFS Quality Assurance Management will decide which approach could be the best to assess and solve the complaint. This might also be to plan an Integrity on-site Check at the IFS certified company to investigate the case on-site or to organize an Integrity Witness Audit for an IFS approved auditor involved in the complaint case (In this case, an Integrity auditor assesses an IFS auditor during one of his/her next regular IFS audits).

Based on the complaint reason the Integrity on-site Checks will mainly be performed unannounced (announcement 30 minutes before start of the Integrity on-site Check). In some special cases Integrity on-site Checks might also be performed announced (announcement in general about 48 hours before).

12.2 Risk based approach and monitoring of IFS Quality Assurance

Quality Assurance activities of IFS Integrity Program monitor the entire IFS system by different tools:

In order to care for correct implementation of all procedures described in IFS standards and respective regulative documents IFS Integrity Program carries out regularly office audits at certification bodies (Integrity CB Office Audits). During these Integrity CB Office Audits work performance of IFS approved auditors and of certification bodies is checked by means of several report examples and database analyses. If during these Integrity CB Office Audits special topics have to be clarified, this could also lead to Integrity Witness Audits of IFS approved auditors or to Integrity on-site Checks at companies certified by the respective certification body.

Additionally—taking into account a risk based approach—reports of certified companies are analyzed and read by IFS Quality Assurance Management staff. For the risk based approach different criteria have been defined by IFS Quality Assurance Working Group. These analyses are an ongoing monitoring procedure of IFS Quality Assurance Management taking into account both economic criteria (e.g. number of issued certificates in certain countries) or quality criteria (e.g. audit results, audit times etc.). As described before, Integrity on-site Checks will mainly be performed unannounced and in some special cases might also be performed announced. Integrity Witness Audits of IFS approved auditors may also be based on this risk based approach analysis of IFS Quality Assurance Management.

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General comment for section 12.1 and 12.2:

Companies having a valid IFS certificate have to accept an unannounced/announced Integrity on-site Check and to give access and support to the commissioned Integrity auditor. The acceptance of the IFS Integrity Program is part of the regulations of all IFS standards.

Also witnessing IFS approved auditors from certification bodies by commissioned Integrity auditors during regular IFS audits has to be accepted.

Integrity on-site Checks or Integrity Witness Audits and also Integrity CB Office Audits carried out as part of the Integrity Program are conducted by Integrity auditors employed at or commissioned by IFS Management GmbH. Integrity auditors are completely independent of the auditees and the IFS certification bodies.

12.3 Sanctions

If, following a complaint or following the risk based approach/monitoring quality assurance actions, the cause of a deficiency has been found to be the fault of a certification body and/or an auditor, IFS will forward all necessary information anonymously to an independent sanction committee. The sanction committee, which is made up of a lawyer and participants from industry, retailers and certification bodies, shall make a decision on whether a breach exists and on its severity.

Topics concerning administrative faults of certification bodies based on database investigations can be directly assessed by the IFS Quality Assurance Management, but have to be confirmed by the chairman (lawyer) of the sanction committee.

Sanctions and/or penalties will be issued to the certification body and/or its auditors if the sanction committee concludes that a breach has been committed. The type of sanction and/or penalty depends on the severity of breach. In connection with each finally decided breach a certification body and/or an auditor may get a certain amount of "negative points". These "negative points" are summarized, but the period of limitation is 2 years (rolling system). Only in very severe cases certification bodies or auditors might be suspended for a certain time frame or contracts might be cancelled. In general the target of IFS Integrity Program activities is to improve the performance of certification bodies and/or auditors by requesting corrective actions like attending at further trainings in case of decided breaches.

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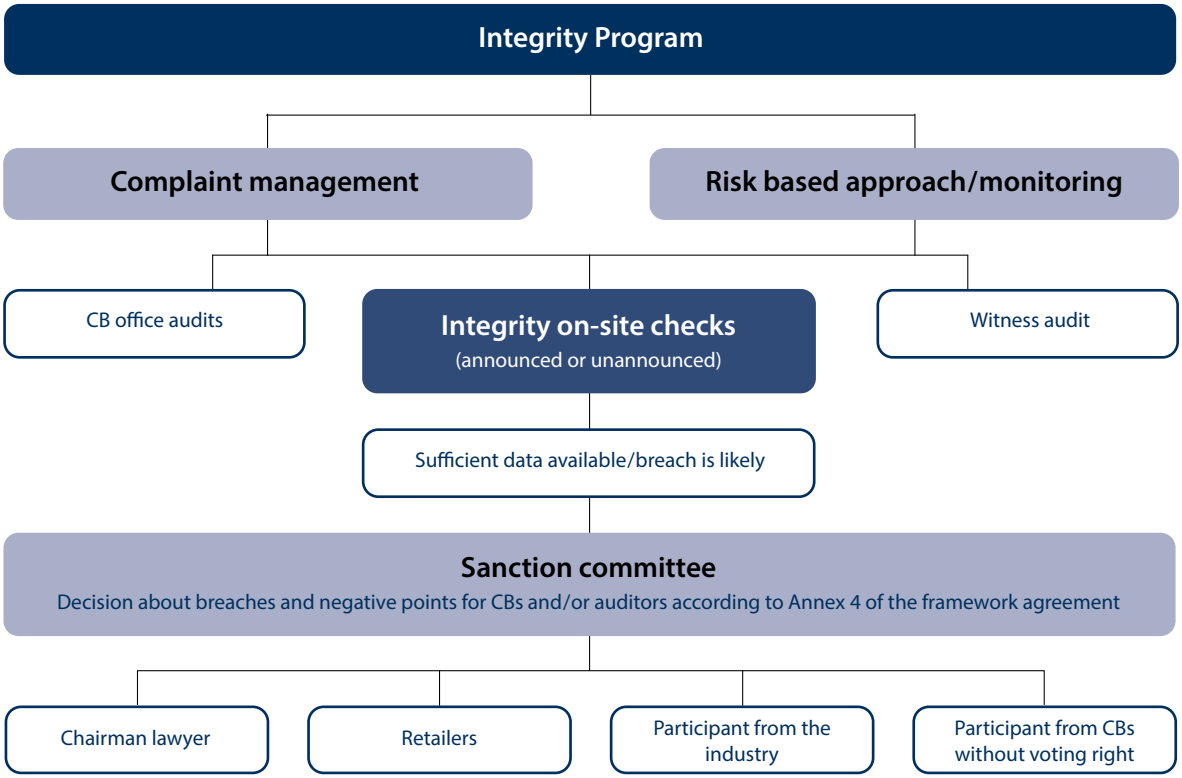
IFS Management informs the appropriate accreditation body if a breach for a certification body and/or for an auditor has been decided.

All these procedures concerning breaches, penalties and "negative points" are laid down in the Annex 4 of the framework agreement between IFS and each certification body.

Chart N° 8: Summary of IFS Integrity Program activities



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ANNEX 1: Clarification for the scope application of the different IFS Standards

IFS Food is a Standard for auditing food product suppliers/manufacturers and only concerns food processing companies or companies that pack loose food products. IFS Food shall be used when a product is "processed" or when there is a hazard for product contamination during the primary packing of products.

IFS Logistics is a Standard for auditing companies whose activities are logistics oriented for food and non-food products, such as transport, storage, loading/unloading, etc. It applies to all types of transport: delivery by road, rail, ship, plane; frozen/refrigerated products or ambient stable products (different states of matter: liquid, solid, gas).

Clarifications/examples of scope application between IFS Food and IFS Logistics:

- IFS Logistics only concerns logistical activities where companies have a physical contact with already primary packed products (transport, packaging of pre-packed food products, storage, transport and storage of pallets, bags in box). It also applies for specific unpacked goods, such as meat carcasses or bulk/tanker transport (glucose syrup, milk, grain, etc.).
- For any kind of processing, meaning that the characteristics of the products are modified, IFS Logistics is not applicable – except for freezing/thawing processes, under specific conditions (as a service; extra requirements to be audited).
- When the food processing company has its own logistical and/or transport department/activities, it is included in the IFS Food under the specific sub-chapter about transport or storage.

  Note: If the logistical operation owned by the food processing company is situated in the same location as the company, and if the company or the customer wishes to get this operation IFS Logistics certified, an IFS Logistics audit can be performed.

  In this case, the following requirements shall be fulfilled:

  - the logistics operation is only used for pre-packed products,
  - in case of two (2) certificates (Food and Logistics), the respective scopes of each audit and certificate shall be clearly defined,
  - the requirements of IFS Food concerning transport and storage shall be anyway evaluated during the IFS Food audit,
  - an IFS Food audit of the food processing company shall be performed; IFS Logistics is an additional audit,
  - all relevant documents shall be located at the platform.

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- If logistics and/or transport activities are outsourced by the processing company, the requirements specified in the appropriate chapter of IFS Food about storage and transport shall be clearly defined in the respective contract, or IFS Logistics applies.

IFS Broker is a Standard for auditing persons and/or companies who may or may not own the products but typically who do not take physical possession of the products (e.g. which do not have warehouses, packing stations or truck fleet, but are legal entities with mailboxes, offices, etc.).

The Standard applies to food, household and personal care/products as well as to packaging materials.

IFS Broker only covers broker services, but if a (food or HPC or packaging) processing company also has broker services and would like to certify both activities, a combined audit, respectively IFS Food or IFS HPC or IFS PAC secure and IFS Broker shall be performed.

IFS Cash & Carry/Wholesale is the Standard which covers all handling activities of loose and packed products in Cash & Carry markets or wholesale companies.

IFS HPC is a Standard for auditing companies that process household and personal care products, or companies that pack loose household and personal care products. IFS HPC can only be used when a product is "processed" or when there is a hazard for product contamination during the primary packing.

IFS PACsecure is a Standard for auditing food and non-food packaging material manufacturers and only concerns packaging processing and/or converting companies.

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Matrix for the determination of the right IFS Standard

N°	Main activity of the company	International Featured Standards					
		IFS Food	IFS HPC	IFS Logis-tics	IFS Broker	IFS C&C/ W.	IFS PAC secure
1	**Food processing** (when products are processed or as soon as there is a hazard for product contamination)	X					
2	**HPC processing** (when products are processed or as soon as there is a hazard for product contamination)		X				
3	**Food, Non-food, HPC logistical activities** Logistical activities and specific processing activities, only as services, no broker ser-vices (when companies have a physical contact with already primary packed products or only for specific unpacked goods, such as meat carcasses or bulk/tanker transport (glucose syrup, milk, grain, etc.) or only for freezing/thawing, as services)			X			
4	**Food, HPC, packaging trading without product contact** (when no physical possession of products, only purchase – sale from an office, no logistical activities)				X		
5	**Cash & Carry/Wholesale** (when handling activities of loose and packed products in Cash & Carry markets or wholesale companies)					X	
6	**Packaging material processing** (when (non) food packaging products are processed/converted)						X
Combined certification							
7	**Food or HPC or packaging trading and Food or HPC or packaging processing** Combined audit for broker services AND processing activities	X	X		X		X
8	**Food/HPC/packaging trading and Food/HPC/packaging logistical activities** Combined audit for broker services AND logistical activities			X	X		

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ANNEX 2: Certification process

1 **Company decides for IFS Logistics certification**

2 **Careful reading of the relevant IFS Logistics Standard**

3 **Self-assessment to determine current status**

4 **Company selects an approved IFS certification body (CB)**

Together with the company the certification body shall:

- Define the audit scope
- Determine audit duration
- Determine audit date(s)

5 **Voluntary pre-audit**

May help companies to identify gaps and implement corrective actions prior to certification audit.

6 **Execution of the IFS Logistics audit**

Schedule of the audit day:

- Opening meeting
- On-site audit and check of documentation
- Closing meeting

Deadlines for awarding the IFS certificate:

changed

- Draw up the pre-report/action plan **of deviations and non-conformities** identified during the audit (auditor/certification body) (**maximum** two (2) weeks)
- Completion of the action plan and determination of **corrections and** corrective actions (logistics site) (maximum four (4) weeks)
- Review of the action plan and audit report. **All corrections shall be implemented** (auditor/ certification body)
- Certification decision (certification body): **(six (6) to eight (8) weeks maximum)**
  - **If compliant: IFS Logistics Certificate**
  - **If not compliant: see ANNEX 3 and 4**

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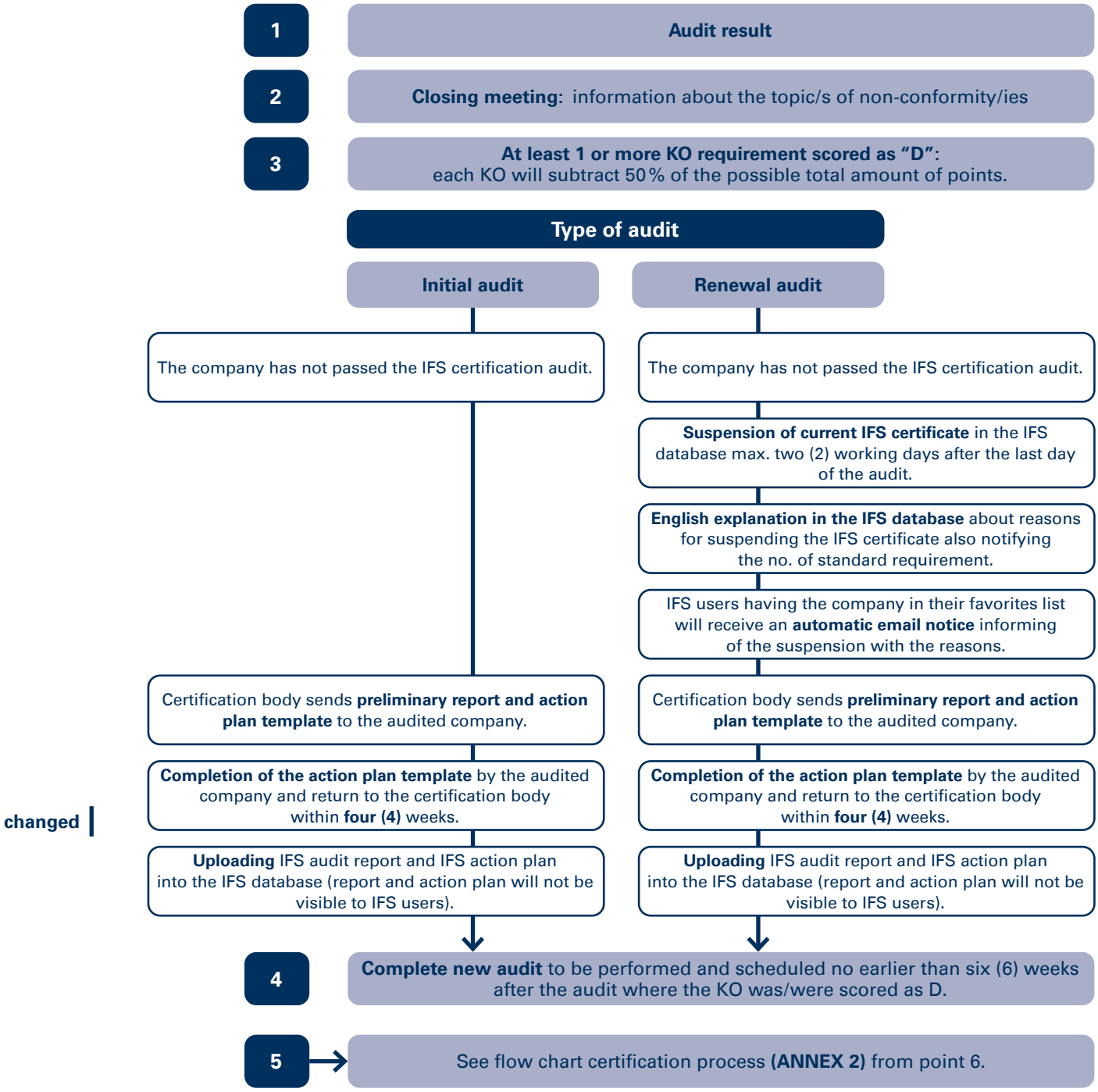
ANNEX 3: Flow chart for management in case of a KO requirement scored with "D" and Major non-conformities



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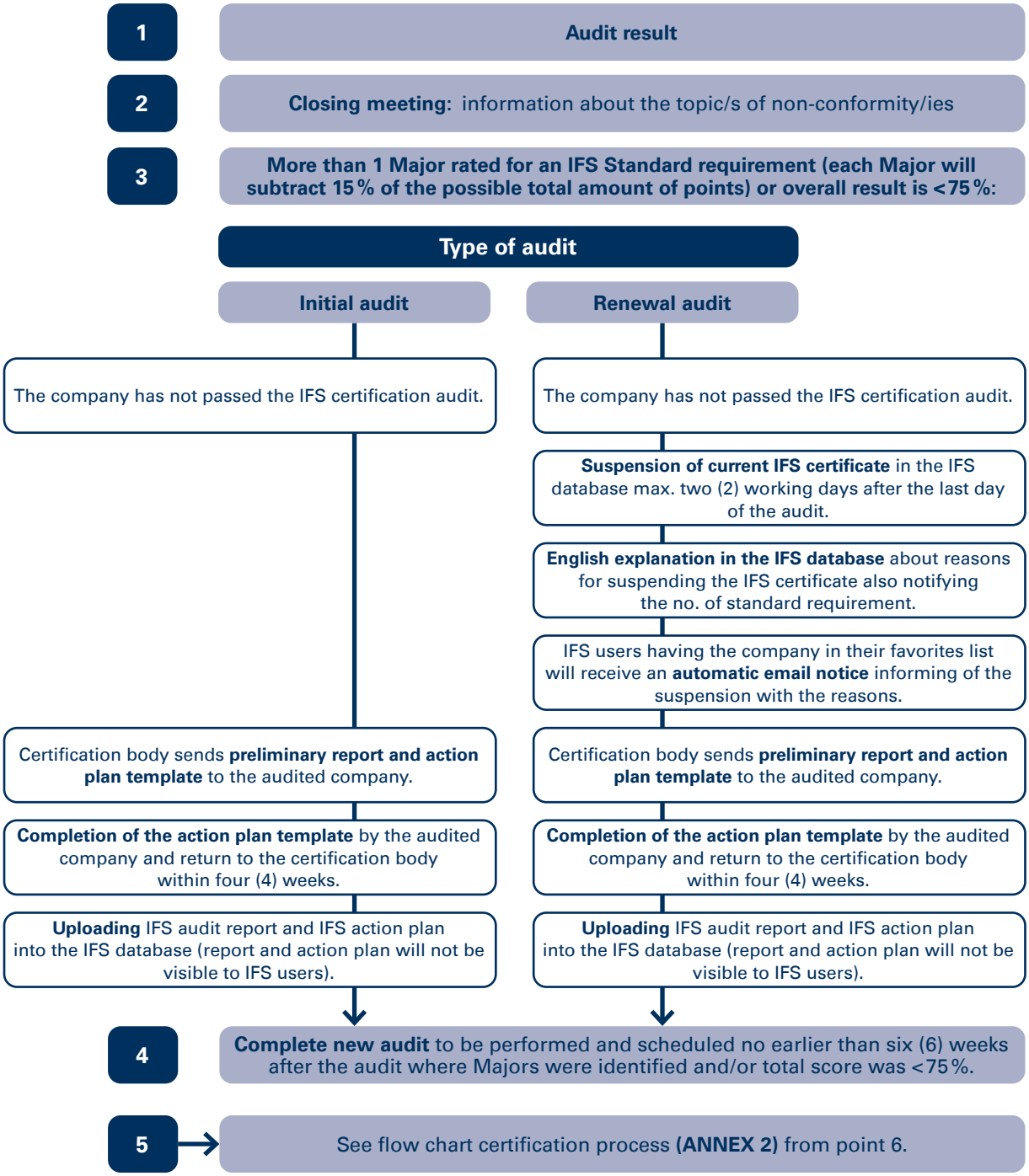
ANNEX 4: Flow chart for management of Major non-conformities
A: More than one (1) Major and/or total score <75 %



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added

ANNEX 4: Flow chart for management of Major non-conformities
B: Maximum one (1) Major and total score ≥ 75 %

1 **Audit result**

2 **Closing meeting:** information about the topic/s of non-conformity/ies

3 **1 Major rated for an IFS standard requirement:**
the Major will subtract 15 % of the possible total amount of points.

Type of audit

Initial audit

The company has temporary not passed the IFS certification audit, further follow-up audit is needed.

Certification body sends **preliminary report and action plan template** to the audited company.

Completion of the action plan template by the audited company and return to the certification body within four (4) weeks.

Uploading IFS audit report and IFS action plan into the IFS database (report and action plan will not be visible to IFS users).

Renewal audit

The company has temporary not passed the IFS certification audit, further follow-up audit is needed.

Suspension of current IFS certificate in the IFS database max. two (2) working days after the last day of the audit.

English explanation in the IFS database about reasons for suspending the IFS certificate also notifying the no. of standard requirement.

IFS users having the company in their favorites list will receive an **automatic email notice** informing of the suspension with the reasons.

Certification body sends **preliminary report and action plan template** to the audited company.

Completion of the action plan template by the audited company and return to the certification body within four (4) weeks.

Uploading IFS audit report and IFS action plan into the IFS database (report and action plan will not be visible to IFS users).

4 **Schedule a follow-up audit as following:**
at least six (6) weeks and not later than six (6) months after the previous audit (last day of the audit)

5 **Performing the follow-up audit:**
In general, the auditor who performed the audit where the Major non-conformity has been identified shall also perform the follow up-audit.

MAJOR solved

The company has passed the IFS certification audit.

Uploading the adapted audit report with the date/s of the follow-up audit in addition to the date of the audit where the Major non-conformity had been issued and with the detailed information for all report sections as mentioned in chapter 5.8.2 of the audit protocol, especially **describing that the previously rated Major has been solved.**

Note: the company **cannot be certified at higher level** even if the total score is more than 95 %.

MAJOR not solved

The company has not passed the IFS certification audit.

Uploading the adapted audit report with the date/s of the follow-up audit in addition to the date of the audit where the Major non-conformity had been issued and the **information that the Major is still valid.**

The company has not passed the IFS certification audit and will get no certificate.
Complete new audit to be performed.

Renewal audit in case the Major is solved.
If not solved, the company will **start the certification process** (ANNEX 2) from point 6.

ANNEX 5: Product scopes and product groups, which shall be specified in the company profile of the audit report

Table 1: Food products: description of the different product groups

Product groups for food products
1. Red and white meat, poultry and meat products
2. Fish and fish products
3. Egg and egg products
4. Dairy products
5. Fruit and vegetables
6. Grain products, cereals, industrial bakery and pastry, confectionary, snacks
7. Combined products
8. Beverages
9. Oils and fats
10. Dry goods, other ingredients and supplements
11. Pet food

Non food products: description of the different product groups

1. Household and Personal Care products (cosmetics, household chemical products, daily use household products, personal hygiene)
2. Packaging materials
3. Electric/electronic devices
   - household equipment (e.g. kitchen equipment, white goods)
   - entertainment electronics (e.g. televison and HIFI equipment, computer, telecommunication, cameras, etc.)
   - light engineering (e.g. lamps, bulbs, contactors, etc.)
4. Housekeeping goods (which are not already included in the HPC scope, like porcelain, dishes, cutlery, pans, etc.)
5. Textiles (clothing, underwear and shoes, leather, bedclothes and tablecloths, etc.)
6. Media products (newspapers, books, CDs and other sound storage media, computer games, software, etc.)
7. Furniture
8. Tools and technical equipment (DIY)
9. Stationary/office materials
10. Toys
11. Plants and flowers
12. Gardening equipment
13. Others

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Non-food product groups which are excluded from the scope of IFS Logistics:

- Resources – different conditions (solid, liquid and gas)
- Pharmaceutical products/medicines, which are only available on prescription
- Explosive substances/munitions, etc.
- Waste/litter

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Part 2: List of audit requirements

1 Senior management responsibility

1.1 Corporate policy/Corporate principles

1.1.1 The senior management shall draw up and implement a clear corporate policy. This shall consider as a minimum:

- product safety
- customer focus
- environmental responsibility
- sustainability
- personnel responsibility.

The corporate policy shall be communicated to all employees.

1.1.2 The content of the corporate policy shall have been broken down into measurable objectives (quality and product safety).

1.2 Corporate structure

1.2.1 An organisation chart shall be available showing the structure of the company. The organisation chart shall include, if applicable, the associated operating facilities (e.g. independent central warehouse(s), satellite depots and other locations where logistical activities are carried out).

1.2.2 The department responsible for quality and product safety management and/or the IFS Logistics representative shall have a direct reporting relationship to the senior management.

1.2.3 The company shall assign responsibility for external communications (crisis management, authorities and communication with media) to a specific responsible person or persons.

1.2.4 Competences and responsibilities, including deputation of responsibility shall be clearly laid down.

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1.2.5 The senior management shall ensure that employees are aware of their responsibilities related to product safety and quality. This shall be reviewed at least annually.

1.2.6 The company shall have a system in place to ensure that it is kept informed of all relevant and current legislation. The legal requirements shall be implemented by the respective department(s).

1.2.7 KO N° 1: Senior management shall be responsible for the corporate policy and objectives. The necessary resources and investments to ensure the product safety, legality and quality according to client agreements and specifications shall be provided.

1.3 Customer focus

1.3.1 A documented procedure shall be in place to identify fundamental needs and expectations of customers.

1.3.2 The records of this procedure shall be evaluated and considered to determine quality and product safety objectives.

1.4 Management review

1.4.1 Senior management shall ensure that the quality and product safety management system is reviewed at least annually, or more frequently, if changes occur. Such reviews shall contain, as a minimum,

- results of audits
- customer feedbacks
- status of preventative and corrective actions
- quality and product safety policy and objectives
- follow up actions from previous management reviews
- changes that could affect the product safety and quality management systems and
- recommendations for improvement.

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1.4.2 The company shall identify and review regularly, but at least annually, the infrastructure needed to achieve conformity with product requirements (e.g. by internal audits or on-site inspection). This review shall include, e.g.:

- buildings
- storerooms/storage areas, storage facilities
- machines and equipment
- transport vehicles
- transport units
- transport containers.

The results of the review shall be considered, with due consideration to risk, for investment planning.

1.4.3 The company shall identify and review regularly, but at least annually, the work environment needed to achieve conformity with product requirements (e.g. by internal audits or on-site inspection). This review shall include as a minimum:

- staff facilities
- safety and security at work
- hygienic conditions.

The results of the review shall be considered, with due consideration to risk, for investment planning.

2 Quality and product safety management system

2.1 Product safety management

2.1.1 KO N° 2: The basis of the company's product safety control system shall be a fully implemented, systematic and comprehensive risk management and/or HACCP system. For food, an HACCP system shall be used and be based upon the Codex Alimentarius principles.

2.1.2 The risk management or HACCP system shall cover all product groups as well as every processes from goods receiving to dispatch and delivery.

2.1.3 The risk management/HACCP system shall describe the differentiation between logistical handling of unpackaged and packed products and between temperature controlled and

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ambient stable products. The company's own control system shall comply in relation to existing product risk.

2.2 Assemble risk management/HACCP team

2.2.1 The company shall have a risk management team or HACCP team, which is multidisciplinary. The team shall have strong senior management support and members of the team shall have detailed knowledge of activities across the whole facility.

2.2.2 The team leader shall be fully conversant in risk management and/or HACCP principles and their application. The team leader shall be able to demonstrate that he/she can identify, control and manage product safety hazards. Where there is deficiency regarding competency within the company, external expert advice shall be obtained.

2.3 Risk management/HACCP management

2.3.1 The company shall clearly identify the scope of its responsibilities in the transport and logistics chain. The risk management/HACCP management shall be based on this scope.

2.3.2 Complete descriptions of services shall be available for all product groups and shall include relevant information concerning product safety, e.g. handling, storage, transport, delivery means and respective conditions.

2.3.3 A current version of the flow diagram shall be available for logistical and product specific services. In the event of any changes, the flow diagram shall be updated.

2.3.4 A hazard analysis shall be undertaken to evaluate all physical, chemical and biological hazards including allergens, that may reasonably be expected to occur.

2.3.5 The hazard analysis shall consider the likely occurrence of hazards and severity of their adverse health effects. Where risk classification is used, a hazard analysis with risk assessment shall be documented for each risk class.

2.3.6 For all steps/processes that demand a specific control to ensure product safety, the company shall implement, maintain and document specific control measures (for food e.g. determination of CP/CCP).

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2.3.7 For the specific control measures, the appropriate critical limits shall be defined (e.g. determination of critical limits for each CP/CCP).

2.3.8 KO N° 3 [NA possible]: Where risks need specific control to ensure product safety, a monitoring system for each CCP shall be implemented with clear critical limits and documentation system in place, in the event of loss of control.

2.3.9 In the event the monitoring of control points indicates that a critical limit is not under control (e.g. CP/CCP), appropriate corrective actions shall be defined, taken and documented. Such corrective actions shall also take into account the control of any non-conforming products.

2.3.10 Procedures of verification shall be established to confirm that the risk management/HACCP system is effective. Verification of the system shall be performed at least annually. Examples of verification activities include, e.g.:

- internal audits
- evaluations
- evaluation of complaints.

The results of this verification shall be incorporated into the risk management/HACCP system and shall be communicated to and reviewed by the senior management.,

2.3.11 Documentation shall be available, covering relevant processes, procedures, measures and records. Documentation and record keeping shall be appropriate in relation to the nature and size of the company.

2.4 Documentation requirements

2.4.1 The system for product safety and quality management shall be documented, implemented and shall be retained in one location (safety and quality manual or electronic documented system). The reason for any amendments to documents critical for the product requirements shall be recorded.

2.4.2 All necessary documents shall be available in their latest version. They shall be appropriately authorized and available to relevant personnel at all times. The documentation can be retained on hard copy or electronically. With respect to IT-based documentation, this shall be traceable to an authorizing signatory.

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2.5 Record keeping

2.5.1 All relevant records, necessary for the product requirements shall be complete, detailed and maintained and shall be available on request.

2.5.2 Records shall be legible and genuine. Any amendments to records shall only be carried out by authorized persons. If monitoring records are documented electronically, a system shall be in place to ensure that only authorized personnel have access to produce or amend these records (e.g. by the use of a password).

2.5.3 All records shall be kept in accordance with legal requirements and at least for one year. Record keeping shall be based on a hazard analysis and associated risks. The records shall be securely stored and easily accessible.

3 Resource management

3.1 Personnel training/information

3.1.1 The company shall implement documented training and/or instruction programs. The training programs records shall include:

- training contents
- training frequency (concerning food safety/hygiene at least once per year, for non-food once every two years is sufficient)
- employee's task
- list of participants
- languages
- qualified trainer/tutor
- evaluation methodology (measurement of the effectiveness of the training and the training program).

Before commencing work, basic product safety training shall take place.

3.1.2 The documented training programs and/or instruction shall apply to all personnel, including seasonal and temporary workers, employed in the respective work area.

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3.2 Personnel hygiene

3.2.1 There shall be documented requirements relating to personnel hygiene, and where appropriate, the control of infection. These shall include, as a minimum:

- hand washing and disinfection
- eating and drinking
- smoking
- actions to be taken in case of cuts or skin abrasions.

The requirements shall be based on hazard analysis and assessment of associated risks in relation to product and process.

3.2.2 The requirements for personnel hygiene shall be in place and applied by all relevant personnel, contractors and visitors. Compliance with the requirements shall be monitored and recorded.

3.2.3 The protective clothing for employees and visitors shall be appropriate, dependent on the product and process requirements.

3.2.4 All protective clothing shall be thoroughly and regularly laundered. Hazard analysis and assessment of associated risks, together with consideration given to the processes and products of the company shall determine if clothing shall be washed by a contract laundry, on site laundry or by the employee.

3.3 Sanitary facilities, equipment for personnel hygiene and staff facilities

3.3.1 The company shall provide staff facilities, which shall be proportional in size and equipped for the number of personnel. Such facilities shall be kept in clean and good condition.

3.3.2 Adequate hand washing facilities shall be provided in the storage area and/or the associated sanitary areas, based upon a hazard analysis and assessment of associated risks.

3.3.3 Hand washing facilities shall provide as a minimum:

- running potable water at an appropriate temperature
- liquid soap
- appropriate equipment for hand drying.

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3.3.4 Where highly perishable, unpackaged food products or sensitive products are handled, the following additional requirements regarding hand washing/hygiene shall also be provided:

- hand contact-free fittings
- hand disinfection
- adequate hygiene equipment's
- signs requesting hand washing
- waste container with hand contact-free opening.

4 Realisation of the service

4.1 General requirements for storage and transport

4.1.1 Contract review and communication

4.1.1.1 The requirements and/or specifications which are defined between the contract partners shall be established, reviewed with regard to their acceptability and agreed upon before a supply agreement is concluded. All clauses related to quality and product safety shall be known and communicated to each relevant department.

4.1.1.2 Changes of existing contractual agreements shall be documented and communicated between the contract partners.

4.1.1.3 If compliance to the agreed services is not possible (e.g. punctuality of delivery), the customer shall be informed promptly.

4.1.2 Suppliers and service providers

4.1.2.1 There shall be a procedure for approval and monitoring of suppliers (internal and external) and service providers. The monitoring procedure shall include risk-based assessment criteria such as supplier reliability, complaints, audits, certificates of compliance as well as required performance standards.

4.1.2.2 The results of supplier's assessments shall be reviewed regularly, but at least annually. There shall be records of the reviews and of the actions taken as a consequence of assessment.

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4.1.2.3 A current list of approved suppliers and service providers shall be available to the personnel responsible for the management of service providers and suppliers.

4.1.3 Specific requirements for material handling

4.1.3.1 The company shall have a procedure to avoid any contamination (also cross-contamination caused by incompatible products in the same transport unit or storage room). A contamination by emissions, exhaust fumes, smell, foreign bodies, packaging material and any other contaminants shall be avoided.

4.1.3.2 If the customer requirements include the requirement for the absence of defined ingredients (e.g. GMO, allergens), measures shall be in place to prevent cross contamination of unpacked products.

4.1.3.3 Specific demanded requirements regarding non-food product safety and/or protection of the environment (e.g. packing of damageable non-food products like electronic devices) shall be met.

4.1.4 Traceability

4.1.4.1 A traceability system shall be in place and maintained, which is appropriate for the company and the products they handle.

4.1.4.2 The system shall ensure that the goods (incl. quantity) are identifiable within the defined logistical supply chain at all time. Furthermore, this system shall enable clear identification of every person and/or logistics company from which they receive the goods and to which company the goods are delivered to.

4.1.4.3 The company shall keep an updated register of all customers and quantity of the customer goods under their control. In the storage area, the products shall be assigned to a customer.

4.1.4.4 The traceability system shall be tested on a regular basis, but at least annually and each time the traceability system changes. This test shall be performed in order to confirm the effectiveness of the traceability system and to, if necessary, improve it. Test results shall be recorded and corrective measures shall be implemented, if required.

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4.1.5 Maintenance and repair

4.1.5.1 An adequate system of planned maintenance shall be in place, maintained and documented, covering all equipment (incl. transport) that is critical for compliance with product safety and quality requirements. This applies both for internal and external maintenance activities.

4.1.5.2 Product requirements and prevention of contamination shall be ensured during and after maintenance and repair work. Detailed records of maintenance and repair work, including corrective actions taken, shall be kept.

4.1.5.3 All materials used for maintenance and repair shall be fit for the intended use (e.g. food-grade oils, non-toxic paints if unpacked products are handled).

4.1.5.4 Failures of site and equipment covered by the maintenance system shall be documented and reviewed with a view to adapting the maintenance system.

4.1.6 Air conditioning/cooling/water/ice and compressed air

4.1.6.1 Requirements for environmental control (e.g. temperature, humidity) which influence product quality and product safety shall be defined and implemented.

4.1.6.2 One or more appropriate temperature recording systems shall be implemented in the logistical chain in order to monitor the process at appropriate intervals.

4.1.6.3 Where the process requires air conditioning/chilled air, the equipment used for this purpose shall be adequately maintained and cleaned within an appropriate frequency.

4.1.6.4 In case of breakdown of the air conditioning/chilled system and/or in the event of deviations from the target temperature, an alarm system shall be in place. Effective emergency corrective action procedures shall be in place ensuring product safety or quality is not compromised.

4.1.6.5 The use and storage of water and/or ice that comes into direct contact with food and/or food packaging shall be evaluated, based on hazard analysis and assessment of associated risks, in order to ensure that contamination is eliminated. Water and ice shall be of potable quality.

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4.1.6.6 Where compressed air is used and has direct contact with food product or food packaging, its use shall be evaluated based on hazard analysis and assessment of associated risks. The use of compressed air shall not compromise product safety or quality.

4.1.7 Specific requirements in case of freezing and/or thawing processes

4.1.7.1 In case of freezing and/or thawing services, there shall be a documented process which specifies hazard analysis, assessment of associated risks as well as appropriate measures to control identified risks.

4.1.7.2 In case of freezing and/or thawing services, all details for processing and product parameters (e.g. time, temperature, extension or shortening of product shelf life) shall be confirmed and agreed by the owner of the product.

4.1.7.3 In circumstances where the control of process and working environment parameters (e.g. temperature, time, pressure, chemical properties) is essential to ensure the product safety and quality requirements, such parameters shall be monitored and recorded continuously, or at appropriate intervals.

4.1.7.4 There shall be procedures in place to take corrective actions in the event of equipment malfunction and/or process deviations.

4.1.8 Cleaning and disinfection

4.1.8.1 Based on hazard analysis and assessment of associated risks, cleaning and disinfection schedules shall be established, implemented and documented. These shall specify:

- responsibilities of staff
- the products used and their instructions for use
- the areas to be cleaned and/or disinfected
- objectives
- cleaning frequency
- documentation requirements
- hazard symbols (if necessary).

4.1.8.2 The effectiveness of the cleaning and disinfection measures shall be verified and documented. Resultant corrective actions shall be documented.

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4.1.8.3 For transport containers (e.g. tankers, rail tankers), which are used for the transportation of liquid, granular and powdered unpackaged products, the following cleaning and disinfection measures shall be implemented, as a minimum:

- the cleaning and disinfection measures shall be appropriate for the type of product
- the cleaning and disinfection measures of the transport container shall include all associated working equipment (e.g. hoses, valves, strainers)
- the cleaning and disinfection measures shall ensure that the transport container is clean, that unwanted substances are removed from the surfaces and the number of microorganisms are reduced to a level that is sufficiently low, depending on the intended use (cross-contamination is prevented)
- objective evidence shall be available for the control of cleaning and disinfection measures of transport containers (e.g. records, certificates).

The effectiveness of cleaning and disinfection shall be made known to the cleaning staff. The cleaning staff shall be trained in cleaning procedures.

4.1.8.4 The facility exterior shall be clean and in good condition.

4.1.8.5 Current Safety Data Sheets (SDS) and instructions for use shall be available on site for chemicals and cleaning agents. Instructions shall be known by the responsible personnel.

4.1.8.6 Cleaning utensils and chemicals shall be clearly labeled. These shall be stored and used in a way to avoid contamination.

4.1.8.7 Where a company employs a third-party service provider for cleaning and disinfection activities, all requirements in 4.1.8 shall be clearly defined in the respective contract.

4.2 Storage and handling

4.2.1 Constructional requirements

4.2.1.1 The working environment shall not compromise product safety and/or quality.

4.2.1.2 All working areas shall have adequate lighting.

4.2.1.3 The company shall control the risk of glass contamination. In areas where open products are handled, lighting equipment shall be protected by the use of shatter proof lights and installed to minimize the risk of breakage.

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4.2.1.4 Procedure shall be in place describing the measures to be taken in case of breakage of glass and similar material. Such measures shall include:

- cleaning methods
- avoiding of contamination
- product quarantine (blocking/hold) and releasing.

4.2.1.5 The loading area shall be appropriate for its intended use. It shall be constructed in a way that:

- products are protected from rain
- accumulation of waste is avoided
- condensation and formation of mould growth is prevented
- cleaning can be easily undertaken.

4.2.1.6 The floor, walls and ceilings shall be in good condition.

4.2.1.7 Windows, doors and gates shall be in good condition and shall be kept closed, if not used.

4.2.2 Equipment

4.2.2.1 All equipment shall be designed for its intended use, maintained and stored not to pose any product safety or quality risk.

4.2.2.2 The utilities and other equipment (cables, switches, etc.) shall be easily accessible for cleaning.

4.2.2.3 Work equipment, which are being used, shall be designed so that possible damage and/ or contamination is prevented.

4.2.3 Pest monitoring/pest control

4.2.3.1 The company shall have a pest control system in place which is in compliance with local legal requirements and shall have, as a minimum, criteria for:

- the site environment (potential pests)
- site plan with area for application (bait map)
- identification of the baits on-site
- responsibilities (in-house/external)
- products/agents and their instructions for use and safety
- the frequency of inspections.

The pest control system shall be based on hazard analysis and assessment of associated risks.

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4.2.3.2 The company shall have qualified and trained in-house staff, and/or employ the services of a qualified external provider. Where an external provider is used, the activities required on site shall be laid down in a written contract.

4.2.3.3 Following pest control inspections, any resulting recommendations shall be acted upon by both parties and actions shall be documented, including the date when corrective actions were taken. The products used for pest control shall not compromise product safety. The effectiveness of the pest control shall be monitored and regular trend analyses undertaken.

4.2.3.4 Incoming deliveries shall be checked on arrival for the presence of pests. Any infestation shall be documented and control measures taken.

4.2.3.5 Products, equipment and transportation vehicles shall be stored so as to minimize the risk of pest infestation. Where stored product and/or machines may attract pests, appropriate measures shall be taken to prevent risk of contamination.

4.2.4 Receipt of goods and storage

4.2.4.1 Procedures for the receipt of goods shall be established, effectively implemented and communicated to all relevant personnel. These procedures shall include general checking criteria (e.g. identification of products and vehicle), rules for goods acceptance, goods rejection and qualified acceptance. Nonconformities shall be acted upon and documented. If specific product checks are requested by the customer, they shall be implemented and known by the responsible employees.

4.2.4.2 All products shall be clearly identifiable at all times. Storage, removal and handling of the goods shall be in accordance with customer requirements.

4.2.4.3 Effective stock control systems shall be in place and may include methods such as, First In – First Out (FIFO) or First Expired – First Out (FEFO) and shall meet customer requirements.

4.2.4.4 The loading and unloading of product shall be carried out in a manner which prevents damage. The product shall be secured so that contamination and/or damage is prevented during transport.

4.2.4.5 The staff shall be trained in the safe handling and security of product at all times, e.g. during loading, unloading and whilst in storage.

4.2.4.6 Outdoor storage shall be kept to a minimum. Where goods are stored outside, hazard analysis and assessment of asso-

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ciated risks shall be undertaken in order to ensure that there is no risk of contamination or adverse effect on quality and product safety.

4.2.4.7 Where pallets are used, these shall be inspected to ensure they are in good condition and shall not compromise product safety.

4.2.4.8 A hazard analysis and assessment of associated risks for possible food fraud is in place, which realistically can be expected within the process. Based on this, appropriate measures for risk mitigation shall be documented and implemented, if necessary.

4.2.5 Waste disposal

4.2.5.1 All current legal requirements for waste disposal shall be met.

4.2.5.2 Food waste and other waste shall be removed from areas where food and/or sensitive goods are handled and pose a risk to product safety and quality.

4.2.5.3 Waste collection containers shall be clearly marked and in a proper condition.

4.2.5.4 Waste shall be collected in separate containers in accordance with the intended means of disposal. Such waste shall be disposed by authorized third parties only. Records of waste disposal shall be kept by the company.

4.2.6 Storage service providers

4.2.6.1 Where a company employs a third-party storage service provider, all the requirements specified within section 4.1, 4.2 and 5.3 shall be clearly defined in the respective contract or the service provider shall be certified according to IFS Logistics requirements.

4.2.6.2 The employees of the service provider shall understand and apply the personnel hygiene requirements of the company.

4.3 Transport

4.3.1 Specific transport requirements

4.3.1.1 Transport vehicles, transport units, and/or transport containers that are being operated on different modes of transport (street, rail, air and water) shall keep the transport conditions of the goods being transported within the boundaries of the permissible tolerance (e.g. temperature).

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4.3.1.2 Where goods must be transported at defined conditions (e.g. temperature), the conditions inside the vehicle shall be checked before loading and documented to ensure compliance to the specified conditions.

4.3.1.3 When temperature controlled goods are being stored or transported in containers (e.g. thermal boxes), these containers shall be in good condition (clean, odour free, dry, functional and fit for purpose). Prior to loading of the product in these transport containers, the containers shall be pre-cooled.

4.3.1.4 During transport, the respective permissible load level (payload) of transport vehicles, transport units and/or containers shall not be exceeded, in order to maintain product safety and quality.

4.3.1.5 Transport containers (e.g. tankers, rail tankers), which are used for the transportation of liquid, granular and/or powdered unpackaged food products shall be labeled and used exclusively for the transportation of food.

4.3.1.6 Cleaning of the transport unit shall be performed with consideration of the specific hygienic requirements and product risks. Cleaning certificates or other objective evidence that effective cleaning has been carried out shall be available, if required by law or by the customer(s).

4.3.1.7 Hoses, pumps, filters of tankers (tank-containers, etc.) shall be in good condition and protected from contamination during transport.

4.3.2 Transport service providers

4.3.2.1 Where a company uses a third-party transport service provider on a regular basis, all the requirements specified within section 4.1, 4.3 and 5.3 shall be clearly defined in the respective contract or the service provider shall be certified according to IFS Logistics.

4.3.2.2 The drivers of the service provider shall know and apply the personnel hygiene requirements.

4.3.2.3 Where a company uses a third-party service provider on an irregular basis for the transport of packed products (spot market), the service provider shall be certified according to IFS Logistics or fulfill the following evidently and binding agreed requirements:

- the transport units and truck shall be clean
- the service provider shall ensure temperature of product is controlled

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- different products shall clearly separated
- there shall be absence of smells and other contamination (4.1.3.1)
- requirement 4.1.1.3 shall be fulfilled
- requirement 5.3 shall be fulfilled
- requirements 5.6 shall be fulfilled.

If the product is forwarded to another service provider, these defined requirements shall be met.

5 Measurements, analysis, improvements

5.1 Internal audits

5.1.1 KO N° 4: Effective internal audits shall be conducted according to a defined agreed audit program and shall cover all requirements of IFS Standard. Scope and frequency of internal audits shall be determined by hazard analysis and assessment of associated risks. This criteria is also applicable for off-site locations owned or rented by the company.

5.1.2 Internal audits of activities which are critical to product safety shall be carried out at least once a year.

5.1.3 The auditors shall be competent and independent from the audited department.

5.1.4 Audit results shall be communicated to the senior management and to responsible persons of relevant departments. Necessary corrective actions and a schedule for implementation shall be determined. All corrective actions shall be undertaken, documented and communicated to every relevant person.

5.1.5 It shall be documented, how and when the corrective actions resulting from the internal audits shall be verified.

5.2 Site inspections

5.2.1 Site inspections shall be planned and carried out, based on hazard analysis and assessment of associated risks. In addition to the infrastructure of the site (see 1.4.2 and 1.4.3), the operational aspects of personnel hygiene, hygiene of the process, the HACCP/risk management system and product defense shall be evaluated.

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5.2.2 Any discrepancies found from the site inspections as well as corresponding corrective action shall be recorded. The corrective actions shall be implemented.

5.3 Calibration, adjustment and checking of measuring and monitoring devices

5.3.1 The company shall identify the measuring and monitoring devices required to ensure compliance with product requirements. These devices shall be recorded on a document and clearly identified.

5.3.2 The measurement equipment and devices shall be checked, calibrated and/or verified and/or adjusted at defined intervals and against recognised standards/methods (if appropriate). The results of checks, adjustments and/or calibration shall be documented.

5.4 Management of complaints from authorities and customers

5.4.1 A system shall be in place for the management of product complaints.

5.4.2 All complaints shall be assessed by competent staff. Where it is justified, appropriate actions shall be taken, if necessary, as soon as practicable.

5.4.3 Complaints shall be analyzed with a view to implementing preventative actions, which avoid the recurrence of the non-conformity.

5.4.4 The results of complaint data analysis shall be made available to the relevant responsible persons and to the senior management.

5.5 Management of non-conformities and non-conforming products

5.5.1 KO N° 5: An effective procedure shall be in place for the management of all non-conforming products.

5.5.2 The procedure for the management of non-conforming products shall include, as a minimum:

- hazard analysis and assessment of associated risks
- procedure of product quarantine (blocking/hold)

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- identification (e.g. labeling)
- clearly identified staff responsibilities
- the release procedure of goods.

5.5.3 The procedure for the management of non-conforming products shall be understood by all relevant employees.

5.5.4 Where non-conformities are identified, immediate corrections shall be taken to ensure that product requirements are complied with.

5.5.5 The effectiveness and timeliness of implementation of the procedure for managing non-conforming products shall be subject to internal testing at least annually, (where quarantine has taken place within a year, this shall be used to assess the procedure). This assessment shall be carried out in a manner to ensure the effective implementation and operation of the procedure.

5.6 Recall and withdrawal

5.6.1 There shall be an effective procedure for the withdrawal and/or recall of all products. This procedure shall include a clear assignment of responsibilities.

5.6.2 The procedure shall ensure an effective and prompt response to recall and withdrawal requirements of the product owner.

5.6.3 To ensure its effectiveness and possible improvement, the procedure shall be tested at least annually. If a product recall or withdrawal has taken place within the last 12 months, this may be used to assess the procedure.

5.7 Crisis and incident management

5.7.1 A documented procedure shall be established for the management of incidents and of potential emergency situations, that impact product safety, legality and quality. This procedure shall be implemented and maintained. The procedure shall include as a minimum: the nomination and training of a crisis team, an alert contact list, sources of legal advice (if necessary), contacts availability, customer information and a communication plan.

5.7.2 The feasibility, effectiveness and timeliness of implementation of the procedure for management of incidents shall be subject to regular internal testing, at least annually.

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5.8 Corrective actions

5.8.1 A procedure shall be in place for the recording and analysis of the non-conformities with the objective to avoid recurrences by preventative actions and/or corrective actions.

5.8.2 KO N° 6: Corrective actions shall be clearly formulated, documented and undertaken, as soon as possible, to avoid further occurrence of non-conformity. The responsibilities and the timescales for corrective action shall be clearly defined.

5.8.3 The performance of the implemented corrective actions shall be documented and the effectiveness shall be checked.

5.8.4 The preventative actions and the corrective actions shall be communicated to the senior management.

6 Product/food defense plan and external inspections

6.1 Defense assessment

6.1.1 Responsibilities for product/food defense shall be clearly defined. The person responsible for food/product defense shall be part of key staff or shall have access to the top management team. Knowledge in this area shall be demonstrated by the responsible person.

6.1.2 A product defense hazard analysis and assessment of associated risks shall have been performed and documented. Based on this assessment and legal requirements, areas critical to security shall be identified. Product defense hazard analysis and assessments of associated risks shall be conducted annually or upon changes that affect product integrity. An appropriate alert system shall be defined and periodically tested for effectiveness.

6.1.3 If legislation makes registration or on-site inspections necessary, evidence of compliance shall be provided.

6.2 Site security

6.2.1 Based on a hazard analysis and assessment of associated risks, identified areas critical to security shall be adequately protected to prevent unauthorized access. Access points shall be controlled.

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6.2.2 Procedures shall be in place to prevent and identify signs of tampering.

6.3 Personnel and visitor security

6.3.1 Visitor policy shall contain specific aspects of product defense plan. Delivery and loading staff in contact with the product shall be identified and shall respect the access rules of the company. Visitors and external service providers shall be identified in areas with product storage and shall be registered at the time of access. They should be informed about the site policies and their access controlled accordingly.

6.3.2 All employees shall be trained in product defense with respect to the product requirements and the training needs of the employees or when significant program changes occur. The training sessions shall be documented. Employee hiring and employment termination practices shall consider security aspects as permitted by law.

6.4 External inspections

6.4.1 A documented procedure shall exist for managing external inspections and regulatory visits. Relevant personnel shall be trained to execute the procedure.

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ANNEX 1: Glossary/Definitions list

Definitions which are not mentioned within the glossary can be found in relevant regulations and directives. In relation to the terms used within this document, the following definitions apply and shall be respected.

Allergen (EU)	Food causing an adverse reaction that is mediated by an immunological response. Defined allergens are: – Cereals containing gluten (i.e. wheat, rye, barley, oats, spelt, kamut or their hybridised strains) and products thereof – Crustaceans and products thereof – Eggs and products thereof – Fish and products thereof – Peanuts and products thereof – Soybeans and products thereof – Milk and products thereof (including lactose) – Nuts i.e. Almond (Amygdalus communis L.), Hazelnut (Corylus avellana), Walnut (Juglans regia), Cashew (Anacardium occidentale), Pecan nut (Carya illinoiesis (Wangenh.) K. Koch), Brazil nut (Bertholletia excelsa), Pistachio nut (Pistacia vera), Macadamia nut and Queensland nut (Macadamia ternifolia) and products thereof – Celery and products thereof – Lupin and products thereof – Molluscs and products thereof – Mustard and products thereof – Sesame seeds and products thereof – Sulphur dioxide and sulphites at concentrations of more than 10 mg/kg or 10 mg/litre expressed as SO_2. ANNEX 2 of the regulation (EU) No 1169/2011 of the European Parliament and of the Council of 25 October 2011
Allergen (US)	There are 8 major allergens recognized in the United States according to the 2009 U.S. Food and Drug Administration (FDA) Model Food Code, Definitions section, page 12. (1) "Major food allergen" means: (a) Milk, egg, fish (such as bass, flounder, cod, and including crustacean shellfish such as crab, lobster, or shrimp), tree nuts (such as almonds, pecans, or walnuts), wheat, peanuts, and soybeans (b) A Food ingredient that contains protein derived from a food, as specified in Subparagraph (1)(a) of this definition. (2) "Major food allergen" does not include: (a) Any highly refined oil derived from a food specified in Subparagraph (1)(a) of this definition and any ingredient derived from such highly refined oil; or (b) Any ingredient that is exempt under the petition or notification process specified in the Food Allergen Labeling and Consumer Protection Act of 2004 (Public Law 108–282).
Assessor (for accreditation bodies)	Person assigned by an accreditation body to perform, alone or as part of an assessment team, an assessment of a Conformity Assessment Body.

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Audit	Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
Broker	In the IFS, a Broker is defined as a generic term for following types: – Middleman: person or company who acts as an agent for others, as in negotiating contracts, purchases or sales in return for a fee or commission. – Sales Agent: person or company who is authorized or appointed by a manufacturer to sell or distribute his products in a given territory but who is in business for himself, takes title of the goods and does not act as agent for a principal. – Trader/Dealer: person or company whose business is buying and selling or bartering. – Importer: person or company who brings goods into a place or country from another country with the purpose of selling.
Calibration	Set of operations that establish, under specified conditions, the relationship between values of quantities indicated by a measuring instrument or measuring system, or values represented by a material measure or a reference material and the corresponding values realised by standards.
CCP – Critical Control Point	A step at which control can be applied and is essential to prevent or eliminate a product safety hazard or reduce it to an acceptable level.
Central (Controlling) Organisation	An organisation which is employed by or is subsidiary of a larger organisation and has the responsibility to plan, control and manage the organisation's product safety management system.
Central Function	An identified central department (but not necessarily the headquarters of the organisation) which has the responsibility to plan, control and manage the organisation's product safety management system.
Codex Alimentarius	The Codex Alimentarius is a collection presented in a standard form of international food standards. It is based on the assumptions and decisions of the so-called Codex Alimentarius Commission, a joint committee of the Food and Agriculture Organization (FAO) and the World Health Organization (WHO) of the United Nations was first published 1963.
Company	General organisation (whereas the site is a unit of the company).
Contamination	Introduction or occurrence of a contaminant in product or product environment. Contamination does include: physical, chemical, biological contamination. Contamination can also mean correlation of packages among themselves.
Corporate	Company.
Correction	**Action to eliminate a detected deviation and/or non-conformity.** **In the case of corrections for the action plan of the IFS certification audit (Part 1, 5.7.2), these shall be implemented, at latest, before a certificate is issued.**

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changed

Corrective action	**Action to eliminate the cause of a detected deviation and/or non-conformity.** **In the case of corrective actions for the action plan of the IFS certification audit (part 1, 5.7.2), these shall be implemented, at latest, at latest, before the renewal audit.**
CP – Control point	Identified by the hazard analysis as essential in order to control the likelihood of introducing or proliferation of product safety hazard in the product and/or the environment. A CP can be considered as an OPRP (Operational Prerequisite Program), as defined in ISO 22000.
Customer	A customer is a business company or person to whom logistical services are sold.
Deviation	Non-compliance with a requirement but there is no impact on product safety related to products and processes. In the IFS, deviations are requirements scored with a B, C or D and KO requirements scored with a B.
Distribution	A method of delivery and/or transporting products from one place to another.
Equipment	Tangible property (other than land or buildings) that is used in the operations of a business. Examples of equipment include devices, machines, tools, vehicles and also transport units like pallets, cooling boxes, etc.
FEFO (first expired-first out)	Common process, in which the first expiring products — relating to the shelf life — are removed from storage first.
FIFO (first in-first out)	Common process, in which the first received products are removed from storage first.
Flow diagram	A systematic representation of the sequence of steps or operations used in the logistical handling of food or non-food products.
Food defense (product defense)	The protection of products from intentional contamination or adulteration by biological, chemical, physical, or radiological agents for the purpose of causing harm.
Food fraud	The deliberate and intentional substitution, mislabelling, adulteration or counterfeiting of food, raw materials, ingredients or packaging, placed upon the market for economic gain. This definition also applies to outsourced processes.
Food fraud mitigation measures	A system that defines the requirements on when, where and how to mitigate fraudulent activities and considers the nature of a potential food fraud act.
GMO	An organism, with the exception of human beings, in which the genetic material has been modified otherwise than natural multiplication or natural recombination.
HACCP system	A system which identifies evaluates and controls hazards which are significant for product safety.
Hazard	A biological, chemical or physical agent in, or condition of, food/product with the potential to cause an adverse health effect.

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Hazard analysis	The process of collecting and evaluating information on hazards and conditions leading to their presence to decide which are significant for product safety and therefore should be addressed in risk management/HACCP plan.
Head office assessment (for accreditation bodies)	Assessment of the Conformity Assessment Body Head Office.
Highly perishable products	Products which, from the microbiological point of view, are likely after a short period to constitute an immediate danger to human health.
Incident	An unexpected, internal or external event, which concerns the product safety. In case of non-control of the event, a product safety risk can occur.
Incident management	The identification/analysis of possible incidents/situations, which might lead to incidents and the development of strategies for planning and control (e.g. emergency plan, preventative actions).
Integrity Program	Program implemented by IFS in order to: – Monitor, as preventive actions performance of auditors and certification bodies as well as audited companies, – Manage, as corrective actions, any complaints addressed to IFS.
Internal audit	General process of audit, for all the activity of the company. Conducted by or on behalf of the company for internal purposes. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.
Loose products	Unpacked products (e.g. carcasses, loose bread), bulk goods (e.g. sugar) and goods in tank wagon (e.g. edible oil, milk).
Monitoring	The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a CCP is under control. See also Codex Alimentarius, General principles of Food hygiene, Guidelines for the application of the HACCP system, section 9.
Multi-site certification	Certification covering multi-site organisations including several sites (when applying the pre-requisites) and where sampling of these sites may be used by a certification body in its conformity assessment work. The scope of certification covers the actual products and processes as defined in the normative documents describing the scheme in question. Every site covered by this certification is mentioned on the main certificate documentation.
Multi-site company	An organisation having an identified central function (a central office, but not necessarily the headquarters of the organisation) at which certain activities are planned, controlled and managed and a network of local offices or branches or sites at which such activities are fully or partially carried out.

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Non-conformity	Non-fulfilment of a specified requirement. Non-conformity can be given in non-respect of legislation, law, product safety, internal dysfunctions and customer issues. In the IFS, defined non-conformities are Majors and KO's scored with a D.
Procedure	Specified way to carry out an activity or process. Procedures shall be implemented and the elaboration of procedures shall be done by documents or process description (e.g. flowchart).
Product	Independent article, which is logistically handled.
Product group	Grouping of products due to similar characteristics or legal requirements (e.g. dairy products, meat products).
Product recall	Any measure aimed at achieving the return of a dangerous product that has already been supplied or made available to consumers by the producer or distributor. The recall is initiated by the product owner, i.e. in the logistics branch usually by the customer of the logistics company. In this case, the logistical service provider substantially participates in the achievement of the product recall procedure.
Product requirements	Product requirements includes: product safety, product quality, product legality, process and, in case of combined audits IFS Logistics/IFS Broker: specification of traded products.
Product withdrawal	Any measure aimed at preventing the distribution, display and offer of a product out-of-specification and/or dangerous to the consumer. The withdrawal is initiated by the product owner, i.e. in the logistics branch usually by the customer of the logistics company. In this case, the logistical service provider substantially participates in the achievement of the product recall procedure.
Resources	All tangible and intangible goods (alternatively instruments), which are necessary for planning, implementation and maintanance of the production of services and/or products as well as planning, implementation and maintenance of organisational strategies and objectives. These goods are divided into physical (e.g. buildings, vehicles, utilities, commodities, incl. energy, ingredients, tools), personnel (e.g. skilled worker, senior manager, knowledge and skills), financial (e.g. liquid funds, credit rating, insurances), organisational (e.g. operational and organisational structure, information systems) and/or technological instruments (e.g. technical procedures, current state and development of research, quality standards, brand name).
Reviewer	Person of the certification body in charge of assessing the IFS audits reports before a certification decision is made. The tasks of the reviewer are, at least: – To check the overall consistency of the audit reports. – To check if the audit reports are properly completed (e.g. compulsory fields, etc.) – T**o check if the findings are well described and if the justifications are relevant.** – **To check if the corrections and corrective actions as well as the deadlines for implementation proposed by the audited company have been validated by the auditor (or by a representative of the certification body) and are relevant.** The review shall be documented.

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Risk	A function of the probability of an adverse health effect and the severity of that effect consequential to (a) hazard(s) in food/product.
Risk assessment	Risk assessment includes a risk evaluation with the process of comparing the estimated risks against given criteria to determine the acceptability of the risk and a risk control with implementation, maintaining, monitoring, and documentation of preventive measures and corrective actions in case of not acceptable levels of CP's.
Risk management (non-food)	Risk management includes a hazard analysis and a risk assessment on all stages of the product.
SDS (Safety Data Sheet)	The safety data sheet information is principally intended for use by professional users and must enable them to take the necessary measures as regards the protection of health, safety and the environment at the place of work. The safety data sheet may be supplied on paper or electronically, provided that the addressee has the necessary means of receiving it.
Senior management	Executive management.
Services	Logistical services, e.g. transport, storage, consignment, packing or other services, e.g. pest control, cleaning.
changed **Sign-off audit** ~~**initial witness audit**~~	**First witness audit of an auditor after having passed the IFS Examinations for the purpose of confirmation of competencies for final approval as an IFS Logistics Auditor. The sign-off audit shall be performed during a full IFS Logistics audit. The observer shall be an IFS Logistics auditor.**
Site	A unit of the company.
Site inspection (versus Internal audits)	Site inspection covers specific subjects and can be carried out by any appropriate person. That means regular visits in any areas, for any purposes, to check the conformity (hygiene, pest control, product control, foreign body hazards, surrounding control etc.).
Storage	Stocking of products in dedicated premises.
Storage conditions	Product specific requirements for storage, e.g. humidity, temperature, atmosphere, exclusion of negative impacts and contamination.
Supplier	A supplier provides services and/or goods to a customer. They are consulted for the fulfillment of logistical services, e.g. suppliers of technical logistical equipment, of packaging material, sub-contractors etc.
System	Set of interrelated or interacting elements. System is a planned, sustainable structured course of action. Depending on the complexity, documentation is recommended. System includes: documentation, procedure description, control/monitoring, corrective action, site plan.
Traceability	Ability to trace and follow a product, through all stages of production, processing and distribution.
Transport	Transportation is the movement of goods from one place to another.
Turnover	Loading of goods during the logistics process (e.g. preparation, loading, unloading).

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Validation	Confirmation through the provision of objective evidence that the requirements for the specific intended use or application have been fulfilled.
Verification	Confirmation through the provision of objective evidence that specified requirements have been fulfilled.
Witness assessment (by accreditation bodies)	Assessment of the Conformity Assessment Body when it is carrying out conformity assessment services within its scope of accreditation.
Witness audit, to be performed every 2 years, for IFS Logistics auditors	The auditor who is witnessed shall be accompanied by an observer from the certification body during a complete IFS Logistics (or IFS Food or IFS HPC or IFS PACsecure or other GFSI recognized standard for logistics) audit, in order to evaluate his/her competence. The observer shall not be part of the audit (as a team member). The observer shall fulfill the same requirements as for trainers (for the corresponding Standard, with participation in IFS Logistics training) or shall be an IFS auditor who is approved to perform audits according to IFS Logistics (IFS Food or HPC or IFS PACsecure approval with participation in IFS Logistics training or IFS Logistics approval). The certification body shall precise the name of the observer in the participants' list of the IFS audit report and shall be able to provide minutes of this witness audit.

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ANNEX 2: Compulsory fields to be completed by the auditor

The following requirements, where compulsory fields shall be completed, shall lead to a **more significant and descriptive IFS audit report,** even if the auditee nearly fulfils all IFS requirements. These remarks are an added value for every user of the audit reports. The auditor is requested to provide, during an audit, and **even in the case of an A evaluation,** an additional justification and/or additional background information for these specific IFS requirements.

The following points shall at any rate be replied to:

Part of the audit report	Number of IFS Logistics requirement	Compulsory remarks to be added ** to be additionally described in English, if the company profile is written in a different language from English
Corporate structure	**KO N° 1: 1.2.7**	Description of senior management responsibilities, in relation to the implementation of IFS Logistics Standard.
Product safety management	**KO N° 2: 2.1.1**	Description of the risk management/HACCP plans and available flow diagrams.
Assemble risk management/ HACCP team	**2.2.1**	Description of the risk management/HACCP team (job functions).
Risk management/ HACCP management	**KO N° 3: 2.3.8 (if applicable)**	Description for all CCP's of: – the process – the step – the CCP – the respective critical limits. Description of the monitoring procedure for each CCP. As there is a possibility to score this KO as NA, in this case, the auditor shall explain the reasons why.
Contract review and communication	**4.1.1.1**	The auditor shall provide the following information: – Number of checked customer contracts – Which information has been checked?
Contamination risk	**4.1.3.1**	Description. The auditor shall provide the following information: – The measures to avoid contamination.
Traceability	**4.1.4**	Description: – of the traceability system and documentation for traceability in the company – of the results, in detail, of traceability tests during the audit and the samples used for this/these test(s). The traceability test/s shall always be based on a sample handled for a retailer or at least chosen by the auditor.
Temperature	**4.1.6.2**	The auditor shall provide the following information: – Which kind of system is applied? – Kind of the temperature documentation? – Are different systems in use? If so, how many?
Freezing/thawing services	**4.1.7.1 (if applicable)**	The auditor shall provide the following information: – Which product groups are processed?
Freezing/thawing services	**4.1.7.2 (if applicable)**	The auditor shall provide the following information: – Number of checked agreements.

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Part of the audit report	Number of IFS Logistics requirement	Compulsory remarks to be added ** to be additionally described in English, if the company profile is written in a different language from English
Freezing/thawing services	**4.1.7.3 (if applicable)**	The auditor shall provide the following information: – What specific measures have been implemented? – If there are CCP's, specify it, with identified critical limits.
Pest monitoring/pest control	**4.2.3.1**	The auditor shall provide the following information: – Is it an internal or external pest controller who is used? – Frequency and kinds of checks.
Receipt of goods	**4.2.4.1**	The auditor shall provide the following information: – Which criteria are checked during the receipt of goods? – How are deviations documented? – Are there customer specific demands on receipt?
Receipt of goods	**4.2.4.2**	The auditor shall provide the following information: – How are these deviations from customer requirements identified?
Food fraud mitigation measures	**4.2.4.8**	The auditor shall provide the following information: – Has the company identified fraud-susceptible product groups/ processes (e.g. special receiving checks, re-labelling activities)? – If yes, which mitigation measures has the company implemented to reduce the risk?
Storage service providers	**4.2.6.1**	The auditor shall provide the following information: – How many storage service providers are assigned? – Which product groups are stored there? – How many storage service providers are certified according to IFS Logistics?
Transport service providers	**4.3.2.1**	The auditor shall provide the following information: – Number of transport service providers? – Number of the sub-service contracts, which have been checked. – How many transport service providers are certified according to IFS Logistics?
Transport service providers	**4.3.2.3**	The auditor shall provide the following information: – Which of these service providers have been checked at random?
Internal audits	**5.1.2**	The auditor shall provide the following information: – Which activities has the company identified as critical to product safety and to product specifications?
Complaint management	**5.4.1**	The auditor shall provide the following information: – Range or indicator of complaints raised from consumers, retailers and authorities – Range or indicator about complaints related to foreign materials found in the finished products, specifying kind of foreign materials.

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Part 3: Requirements for Accreditation Bodies, Certification Bodies and Auditors

IFS accreditation and certification process

0 Introduction

IFS Logistics certification is a product and process/service certification. All bodies involved shall comply with the international rules and IFS specific requirements described in this document. Part 3 of the IFS Standard deals mainly with accreditation bodies, certification bodies and auditors.

1 Requirements for the Accreditation Bodies

1.1 General requirements

The accreditation bodies shall fulfil the requirements of the ISO/IEC 17011 norm *"Conformity assessment – General requirements for Accreditation Bodies accrediting conformity assessment bodies",* and shall have signed the MLA (Multilateral Agreement) for Product Certification of the ~~EA or~~ **IAF**.

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In order to ensure interactive communication, the accreditation body shall appoint an IFS contact person within their organisation.

1.2 The training of the accreditation committee (or competent person)

changed

In general, **relevant** accreditation body personnel engaged in IFS Logistics accreditation activity shall have sufficient knowledge of the IFS Logistics scheme, related normative documents and logistics industry.

Decisions on accreditation can only be made following a recommendation of a competent person or accreditation committee. The person in charge, or at least one member of the accreditation committee, shall have taken part in an IFS Logistics training session—organised by IFS or shall be able to demonstrate equivalent knowledge level as confirmed by IFS. In case of a committee, the trained person **shall** provide

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the other members of the accreditation committee with the necessary information. This information is based on the main points of the IFS Logistics course.

1.3 Competences of the assessor of the accreditation body

The assessor(s) of the accreditation bodies is responsible for the following:

- accompanying IFS Logistics auditors during registered IFS Logistics audits (witness assessment)
- assessing the head office of the certification body (head office assessment) according to the ISO/IEC 17065 norm rules and IFS-specific requirements.

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In general, the assessor(s) shall **have working knowledge of the** ISO/IEC 17065 norm and **the IFS normative documents. The person at the accreditation body responsible for IFS Standards can participate in IFS official trainings/certification body conferences/accreditation body meetings to train assessors internally.**

Witness assessors shall, at a minimum:

- Have taken part in the IFS Logistics course, or shall be able to demonstrate an equivalent knowledge level as confirmed by IFS
- Have taken part in an HACCP course or other course related to hazard analysis and assessment of associated risks
- Have a minimum of two (2) years experience in the logistics food and/or non-food sector.

Head office assessors shall, at a minimum:

- Have specific knowledge in the IFS Logistics scheme
- Have specific knowledge of the related normative documents.

1.4 Frequency of the assessments of certification bodies

For initial and renewal assessments, a head office assessment and at least one witness assessment shall be performed.

During the surveillance of the accreditation cycle:

- A minimum of one head office assessment a year
- A minimum of one witness assessment every two (2) years shall take place.

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Remark: a flexibility of three (3) months at the maximum can be allowed for the interval between two (2) assessments, according to the accreditation body rules.

During head office assessments, the following documentation shall be sampled and assessed, as a minimum:

For certification bodies with up to 200 certificates: at least three (3) IFS Logistics Certification site files

- **For certification bodies with up to 400 certificates: at least five (5) IFS Logistics Certification site files**

For each additional up to 200 certificates at least one additional IFS Logistics Certification site file.

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- **For certification bodies with up to 10 auditors: at least three (3) auditor files**
- **For certification bodies with up 20 auditors: at least five (5) auditor files.**

For each additional up to 20 auditors at least one additional auditor file.

The use of non-exclusive auditors shall be adequately addressed in the sample of auditor files. For consecutive witness assessments, the accreditation body shall, wherever possible, select two (2) different certification body's IFS Auditors with different scopes.

1.5 Accreditation of an internationally-active certification body

The witness assessments shall cover the typical activities (including international activities and critical locations) of the certification body. If the accreditation body subcontracts an assessment, the subcontracted accreditation body shall be a signatory to the IAF MLA for Product Certification. IAF MLA MD12:2016 for Accreditation Assessment of Conformity Assessment Bodies with activities in multiple countries shall apply.

1.6 Conditions for recovering accreditation after withdrawal or suspension

In case the accreditation body decides to withdraw or suspend accreditation, certification bodies shall stop performing IFS Logistics audits and issuing IFS Logistics certificates. To recover accreditation, the same conditions as for initial assessment apply. In case of accreditation suspension, **IFS reserves the right to conduct further own activities connected to a lift of accreditation suspension for a certification body.**

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1.7 Transfer of certification

In case one certification body decides to transfer its certification activities to another one, the new certification body shall verify all current IFS Logistics certificates, in order to decide if further actions (e.g. withdrawal of recent certificates or additional IFS renewal audit) will be necessary.

2 Requirements for the Certification Bodies

Certification bodies intending to perform IFS Logistics audits shall comply with the following rules. The prescribed tender procedure for certification bodies is supplied by IFS.

2.1 ISO/IEC 17065 norm IFS accreditation process

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The certification body shall be accredited according to ISO/IEC 17065 norm) for the scope of IFS Logistics by an IAF ~~or EA~~ recognised accreditation body (see section 1). Certification bodies in the process of IFS accreditation to ISO/IEC 17065 norm may organise the witness assessment before having achieved accreditation status. They shall demonstrate that they are actively applying for ISO/IEC 17065 norm accreditation. If the certification body is accredited for IFS Food without relevant accreditation extension for IFS Logistics, the accreditation logo shall not be used on certificates and any other documents.

Note: In case of withdrawal or suspension of the ISO/IEC 17065 accreditation for the scope of IFS Logistics for the certification body, the whole certification process is stopped and the certification body is no longer allowed to issue any IFS certificates. In particular, the certification body cannot issue IFS Logistics certificates **from the date of withdrawal or suspension,** even for the audits which have been already performed but which are still in the certification process (review of the report, certification decision, etc.).

2.2 Signing of contract with the proprietor of IFS

After having applied and then gained IFS accreditation to ISO/IEC 17065 norm, in order to be allowed to perform IFS audits, the certification body shall sign a contract with IFS in which it commits to meet all IFS requirements. The certification body is not authorised to perform IFS audits (except the first witness assessment(s) during the accreditation process) before having signed this contract.

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2.3 Certification decision

The person in charge of assessing the audit reports (reviewer) shall be respectively either an approved IFS Food or HPC or IFS PACsecure, who participated in the Logistics course, an IFS trainer (for the corresponding Standard with participation in the Logistics course) or shall fulfill the following rules:

- To have a food or packaging material university degree and two (2) years professional experience in the food or packaging material or HPC safety and quality related professions
- To have attended (as auditor or observer) at ten (10) complete audits (related to GFSI recognised standards or other food or packaging or HPC safety schemes) in the last five (5) years
- To have participated in a hygiene training course
- To have participated in IFS Logistics course
- To be different of the person who performed the audit.

The review shall be documented.

Note: The reviewer, if not a trainer or an auditor, shall attend the 2-day in-house certification body training session once a year.

The decision concerning the certification can only be made following the recommendation of a competent person or a certification committee. Furthermore, decision can only be made by a person different from the person who performed the audit. The competent person for the certification decision or at least one of the members of the certification committee shall be respectively an IFS Food or HPC or IFS PACsecure auditor, who participated in the Logistics course, an IFS trainer (for the corresponding Standard, with participation in the Logistics course) or an IFS Food or HPC or IFS PACsecure reviewer.

The final certification decision shall be made by the certification body and shall not be subcontracted.

2.4 Certification bodies' responsibilities for IFS trainers (for IFS Food and IFS PACsecure auditors) and the IFS auditors

Certification bodies have the following responsibilities:

- The certification body is obliged to ensure compliance with ISO/IEC 17065 norm and the IFS framework agreement.
- To facilitate witness audits (by accreditation bodies and/or by Integrity Program)

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- To perform an on-site witness audit of an auditor during a product safety audit and/or an audit under ISO/IEC 17065) accreditation to ensure the auditor's competence (see glossary) before he/she has applied for the IFS examinations. The certification body shall state the date, the name of the audited company where the on-site witness audit took place, and the name of the observer in the IFS examination application file. The minutes of the on-site witness audit shall be provided on request to the IFS in English, French or German. The observer for the on-site witness audit of an auditor applying for IFS examination shall comply with the same requirements as the trainers (see section 2.5) or shall be an IFS Food or HPC or IFS PACsecure auditor.
- To be fully cognisant of the examination regulations provided by the IFS offices.
- For auditors who are approved for IFS Food or IFS PACsecure, to ensure that at least one member of their staff is a corresponding IFS trainer who has taken part in a corresponding IFS "Train the Trainer" course; the trainer is responsible for the in-house training of all auditors intending to become IFS auditors or who already are IFS auditors. Persons intending to become IFS trainers shall meet the requirements mentioned in 2.5.

  Note: For a certification body which is starting IFS activities, this in-house training can be organised by IFS, on request.
- To ensure that the auditor is competent for the scope of the audit and its execution and is able to access and to apply relevant laws and regulations, based on IFS and internal certification body's requirements; the certification body shall maintain these competences (continuous supervision by the certification body) and shall monitor audit execution by on-site witness audit.
- Every auditor shall be monitored during an IFS Logistics (or IFS Food or IFS HPC or IFS PACsecure or other GFSI recognized standard for logistics) on-site witness audit at least once every two (2) years and the results of this witness audit shall be documented. The observer shall be an IFS auditor, who is approved to perform audits according to IFS Logistics (IFS Food or HPC or IFS PACsecure approval with participation in IFS Logistics training or IFS Logistics approval) or shall follow the same rules as for corresponding trainers (see section 2.5, with participation in a Logistics training).
- To include the name of the observer in the audit portal when uploading the audit data, when it has scheduled specific on-site IFS witness audit(s).
- To maintain records of auditor competences.
- To ensure that no auditor has either acted against IFS rules, for example acting as a consultant, or has been active in and/or on behalf of the company being audited during the previous two (2) years. That is to say, during the certification process, no other commercial and/or personal relationships are permitted between the auditee and the auditor.

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- To ensure that no auditor shall perform more than three (3) consecutive IFS Logistics audits of the same company's site (only applies for complete audits, whatever the time between them; follow up and extension audits are not concerned by this rule).
- To ensure that all auditors have a valid contract with the certification body.
- To sign an audit order for each audit, this includes a statement accepting all the above-mentioned requirements.
- To organise a training session for IFS Logistics auditors once a year for the purposes of sharing experience, calibration and updating knowledge of relevant legal requirements, etc. This training can be part of yearly training for IFS Food or IFS HPC or IFS PACsecure.

The certification body is responsible for choosing an auditor with the corresponding language, competence(s), etc. for each IFS audit.

2.5 Specific requirements for IFS trainers (for IFS Food or IFS PACsecure auditors)

In case of auditors coming from the food or packaging sector:

IFS trainers shall have the following profile:

- Fulfil requirements for IFS Food or IFS PACsecure auditors respectively, from a) to d), as described in the current IFS Food or IFS PACsecure Standard
- Have audit experience to GFSI standards or other food or packaging material safety schemes
- Have knowledge of food or packaging legislation
- Have taken part in a "Train the Trainer" course organised by IFS
- Be fluent in writing and speaking the languages they will use during participating at training and leading training; they shall inform the IFS offices about the languages they are able to use when teaching.

The "Train the Trainer" course is provided by the IFS.

Note: Train the trainer course only concerns IFS Food and IFS PACsecure auditors

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3 Requirements for IFS Logistics auditors

IFS Logistics auditor qualification relies on IFS Food or IFS PACsecure or IFS HPC auditor approval, except if the auditor directly applies for "pure logistics" approval.

3.1 Requirements for Logistics auditors which already are IFS Food or HPC or PACsecure approved auditors

To perform audits according to IFS Logistics Version 2.3, the auditor shall be approved for:

- IFS Food (for any product scopes but, as a minimum, for tech scope D – as related to freezing/thawing processes)

or

- IFS HPC (for any product scopes)

or

- IFS PACsecure (for any product scopes)

with additional participation in an IFS Logistics course organized by IFS.

Please find the requirements for IFS Food, HPC and PACsecure auditors in the Standards IFS Food, IFS HPC and IFS PACsecure for free download on IFS homepage (www.ifs-certification.com).

Note: IFS Food auditors who are not already approved for tech scope D need to pass the tech scope specific exam before performing any IFS Logistics audits.

Based on the IFS Logistics audit scope (e.g. food, non-food), the required qualification is different (see below table 1).

3.2 Specific requirements for pure Logistics auditors (not already IFS Food or IFS HPC or IFS PACsecure approved auditors)

The requirements for IFS Logistics auditors, which are not already approved for IFS Food, IFS HPC or IFS PACsecure are the following:

- Education and minimum experience:
  - A food-related university degree and two (2) years professional experience in the logistical sector (Food + Non-Food) or
  - A food-related university degree and two (2) years audit experience in the logistical sector (Food + Non-Food) or
  - A Non-food-related university degree and three (3) years professional experience in the logistical sector (Food + Non-Food) or

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- A professional education in logistics or food industry with technical school or comparable degree and two (2) years professional experience in the logistical sector (Food + Non-Food).

– General audit experience:
changed A minimum of **(eight) 8** complete audits shall be performed by the auditor in the logistical sector (Food + Non-Food) during the previous **five (5)** years in different companies. A minimum of 5 audits thereof shall have taken place in food logistics, including unpacked and temperature controlled products (e.g. carcasses, milk in tanks, frozen food products).

The following audits will be accepted:

– Audits against GFSI recognized standards, Global GAP, GMP + standards, ISO **9001, ISO 22000**.

changed – **The audits shall have been carried out at different production sites.**

In addition, the candidate shall have participated in two (2) full IFS Logistics certification audit as a trainee during the last two (2) years.

If an auditor had no food related background (either education or work experience), he/she shall have additionally attended, as a trainee, to at least at 3 IFS Food Assessments (related to product scopes 1, 2 and/or 4).

– Further qualification:

- HACCP training (min. 2 days) and
- IFS Logistics 2-day training course organised by the IFS Academy (with an included test for tech scope D)

and

- Recognised training in audit techniques based on QMS or FSMS – duration 1 week/40 hours or equivalent done by the certification body.

Then, the auditors shall pass a written and an oral exam.

Exam for pure Logistics auditors:

– Written Exam:

- Contains questions related to logistics for food and non-food products (e.g. standard scope, general IFS questions, food logistics, incl. questions concerning unpacked and temperature controlled products (e.g. carcasses, milk in tanks, frozen food products)).

– Oral Exam:

- Contains case studies related to logistics for food and non-food products.

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changed

Upon successful completion of the written IFS Examination, the auditor shall be signed off during her/his first IFS Logistics audit. The sign-off audit is the first witness audit of an auditor after having passed the IFS Examination for the purpose of confirmation of competencies for final approval as an IFS Logistics Auditor. The sign-off audit shall be performed during a full IFS Logistics audit.

changed

Table 1: Required auditor qualification for the IFS Logistics scopes

Scope		Required auditor qualification
Storage	Food	IFS Food approval + IFS Logistics training OR IFS "pure" Logistics approval
	Non-Food (as defined in Annex **5**, Part 1)	IFS HPC approval + IFS Logistics training OR IFS PACsecure approval + IFS Logistics training OR IFS Food approval + IFS Logistics training OR IFS "pure" Logistics approval
Transport	Food	IFS Food approval + IFS Logistics training OR IFS "pure" Logistics approval
	Non-Food	IFS HPC approval + IFS Logistics training OR IFS PACsecure approval + IFS Logistics training OR IFS Food approval + IFS Logistics training OR IFS „pure" Logistics approval

Note: In general, the auditor shall have the appropriate competencies for performing the audit.

If the logistics company handles both food and non-food products, the auditor shall have the IFS Food approval.

In general, the auditors shall meet the requirements of chapters 7.2.2 and 7.2.3 of ISO19011.

During an IFS Logistics audit, auditors shall, as IFS good auditing practices, use relevant samples of products, in order to investigate on-site the auditee's logistical activities and documentation and to check the fulfilment of IFS Logistics requirements. In particular, auditors shall perform, during the audit, a traceability test in the company.

IFS publishes guidelines which can provide further information on topics to be checked and/or requested to the audited company during the audit.

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3.3 IFS Logistics training

An auditor, who is approved for IFS Food and/or IFS HPC and/or IFS PACsecure can perform audits in the regarding scopes of IFS Logistics (see table 1), if he/she has participated in the IFS Logistics training. The training is provided by IFS.

When a new version of the IFS Logistics Standard is published, the Logistics auditors (both types) shall take part in the new IFS Logistics course.

3.4 Maintaining IFS Logistics auditor qualification

3.4.1 For auditors already approved for other IFS Product Standards

This IFS Logistics auditor approval relies on the auditor approval of IFS Food, IFS HPC and/or IFS PACsecure.

To maintain IFS Logistics qualification, the auditor shall also fulfil the following requirements:

- Every auditor shall be monitored by an IFS Logistics (or IFS Food or IFS HPC or IFS PACsecure or other GFSI recognized standard for logistics) on-site witness audit at least once every two (2) years by the certification body (see also chapter 2.4).
- Every auditor shall attend an in-house training course, once a year, for the purposes of sharing experience, calibration and updating knowledge of relevant legal requirements, etc. This training can be part of yearly training for IFS Food or IFS HPC or IFS PACsecure.
- Every auditor shall perform at least 1 IFS Logistics audit per year.

3.4.2 For “pure” IFS Logistics auditors

To maintain IFS Logistics qualification, the auditor shall fulfill the following requirements:

- Participation in Logistics calibration training course every (two) 2 years, organized by IFS
- Performance of 5 IFS Logistics audits per year
- Yearly in-house training course
- Witness audit (during an IFS Logistics audit), every (two) 2 years

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3.5 Audit team

In general, all members of the audit team shall be IFS approved auditors.

In case of auditing with teams, the following general regulations apply:

- An IFS audit team consists of IFS approved auditors whose profile complies with the activities of the audited company.
- A lead auditor shall always be appointed.
- Co-and lead auditor(s) shall always be approved for at least one scope of the audit scope. Two (2) hours of the audit duration are not shareable; this additional time shall be allocated to the team, not to an individual auditor, for common tasks (e.g. opening and closing meeting, discussion about audit findings, etc.)

It shall be clearly indicated in the audit time schedule which auditor did which part of the audit.

The minimum audit duration shall anyway be fulfilled.

3.6 Auditor in progress

3.6.1 Specific adaptations of auditor approval for candidates who do not have sufficient auditing experience: IFS Logistics "Auditor in progress" program.

In case the applicant has professional experience in the logistical sector (e.g. quality manager and/or similar positions, and has the qualifications as described in section 3.2, but does not have sufficient auditing experience (meanings non-fulfilment of section 3.2 "general audit experience") he/she may go through the following process:

- participation at the IFS Logistics training and examinations for auditors, organized by IFS
- participation at a Witnessing Program, as described in chart n° 2.

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Table 2: Auditor in progress—witnessing program

N° of audits	Tasks	Possible audits types
1–3	Candidate shall observe an auditor (trainee)	GFSI recognized "post farm" scheme or IFS Global Markets Program
4–6	Active participation in the audit under supervision and responsibility of an approved GFSI or IFS auditor	GFSI recognized "post farm" scheme or IFS Global Markets Program
7–9	Active participation in an audit under supervision and responsibility of an approved IFS Logistics auditor	Any IFS certification audit
10– witness audit	Lead auditor during an IFS Logistics certification audit, under the supervision of an IFS Logistics approved auditor	IFS Logistics audit with temperature controlled foods

Note: It may be possible to perform audits from one (1) to three (3) (trainee) before participating at the 2-days IFS Logistics training, but audits from four (4) to ten (10) shall always be performed after the participation at the training and successful examination.

3.6.1.1 Further rules for the IFS Logistics "Auditor in progress" program

The observer and auditor shall never be separated during the audit.

Audits from four (4) to ten (10), the name of the observer shall always be written on the IFS Logistics audit reports.

Only one (1) "auditor in progress" is allowed to attend these audits.

The witnessing program shall be completed within a two (2) year period after the successful examination. For each of these audits under observation, a report (template provided by IFS) shall be forwarded (upon request) to IFS. The number of the audit shall be documented in the report.

Audits from one (1) to nine (9) can be counted for scope extensions and can be performed in any IFS Logistics product scope.

Finally, if the witness audit has been conducted satisfactory, the certification body shall inform IFS offices. The complete CV with a list of participated and witnessed audits (see Chart n° 2) shall be sent to IFS. If all requirements are fulfilled, the auditor will be activated in the IFS database by IFS.

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Part 4: Reporting, auditXpressX™ Software and IFS Audit Portal

0 Introduction

After an IFS Logistics audit has been performed, a detailed and well-structured audit report shall be completed. In general, the language of the report shall be the native or working language of the company. In special cases, where the native language of the retailers or purchasers is different from the language of the company, an English language version of the report could also be prepared. (See also the rules described in Part 1).

The IFS audit report shall be prepared according to the following format.

Please note: For combined audits IFS Logistics/IFS Broker, two separate reports shall be written, and two separate certificates shall be uploaded in the database.

1 Reporting

1.1 IFS Audit report: Audit overview (Annex 1)

The **cover page** of the audit report shall include:

- name and address of the certification body
- the logo of the certification body
- the certification body's accreditation details
- name of the audited company or site
- date of the audit
- GS1 GLN(s) (Global Location Numbers), if available
- **IFS Logistics logo.**

changed

Audit overview
The Audit overview shall include the following mandatory information:

- **Audit details**
  - **name of the lead auditor, reviewer (person in charge of the technical report review), co-auditor, trainee and witness auditor, if applicable**

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- audit date(s) (in case of a follow-up audit, the date of the follow-up audit shall additionally be specified)
- duration of the audit (start and end time for each audit day)
- previous audit dates (start and end time for each audit day)
- name of the certification body and the auditor who performed the previous audit
- name and address of the audited site
- name and address of the company (or headquarter/central management)
- COID (IFS identification code number) as defined in the IFS Database
- details of the contact person in case of emergency (e.g. recall): name, e-mail and phone number at a minimum
- version of the standard.

– Audit scope
  - detailed description of the products which are traded
  - codes/numbers of product scopes.

– Additional information
  - description of exclusions, if applicable
  - if certified for IFS Food or Broker, provide the COID
  - description of multi-sites companies, if applicable, see chapter 4, Part 1.

changed

– Final audit result
  - final audit result with level and percentage (in case of a follow-up audit, specify that a follow-up audit has taken place and that the Major non-conformity has been solved)
  - timeframe in which the renewal audit shall be performed or if it will be unannounced.

– Observations regarding non-conformities (D evaluation of KO requirement(s) and Majors)
  In case of a follow-up audit, additional explanations shall be provided on requirement for which the Major non-conformity has been solved.

– Comments concerning follow-up of corrections and corrective actions
  Description of corrections and corrective actions from the previous audit (both that have been sustainably and efficiently implemented or not).

– Company profile
  The company profile requires compulsory information on the company's structure and activities and is divided into two (2) standardised sections: company data and audit data. This

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changed

allows readers to have a clear understanding of the company's structure, organisation, processes etc. In addition to the required compulsory information, further information can be added by the auditor for each section.

The company profile, which includes compulsory information, shall be translated into English.

1.2 Audit report: main content (Annex 2)

changed

The main content of the IFS Audit report itself is structured as follows:

- **General summary in a tabular format for all chapters, listing the number of audited requirements per scoring for each chapter and the result (in percentage) per chapter.**
- **Overall summary: table of compulsory fields for specific IFS Logistics audit requirements.**
  For those specific requirements, the auditor shall provide additional justifications and/or further background information, even in case of an A scoring. This leads to a more significant and descriptive report, even if the assessed site almost fulfils all IFS Logistics requirements, and adds value for every user/reader.
- **List of all identified deviations and non-conformities for each requirement per chapter.**
- **Summary of points of attention (requirements scored with a B).**
- **List (including explanations) of all requirements evaluated as N/A (not applicable).**
- **Detailed audit report (checklist).**
- **Annex of the audit report, including:**
  - **audit participants' list: list of key personnel present during the audit.**
  - **reminder of IFS rules: tables on product scopes, IFS Scoring System and conditions for issuing of certificate.**

1.3 Action plan (Annex 3)

changed

For each audit requirement, the IFS Auditor shall describe and explain all identified deviations and non-conformities (D evaluation of KO requirement(s), Majors) in the action plan, which has a specified format. For additional information, see also chapter 5, part 1.

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1.4 Minimum requirements for IFS certificate (Annex 4)

After successful completion of the IFS Logistics process, the certification body shall issue a certificate. For the purposes of international recognition, and so as to be understandable, IFS certificates awarded by the certification body shall include the following information as a minimum:

- the name and address of the certification body, including its logo
- the logo of the accreditation body or its name and registration number; the logo of accreditation body shall be used in conformity with accreditation body's rules
- the name and address of the audited company
- the COID, as defined in the IFS portal
- **GS1 GLN(s), if available** (changed)
- **description of exclusions, if applicable** (changed)
- if the company is a subsidiary, the name of the company's headquarters
- audit scope: type of logistical activities (e.g. transport, incl. type of transport; storage), the product scope(s) (food, non-food), as a minimum (further details about product groups can be also specified but this is not mandatory), conditions of the handling (e.g. ambient stable, chilled, frozen, etc.) and, if applicable, if there are also: broker services). The audit scope shall always be translated as well into English language.
- if applicable (in case of a combined audit IFS Logistics/IFS Broker) name and number of product scope(s) of the additional broker services
- level achieved **(foundation or higher level)** (changed)
- audit score in percentage
- **last unannounced audit date (last day of the audit). If an unannounced IFS Logistics Audit has not yet been conducted for the respective COID, the certificate shall indicate the following: "Last audit conducted unannounced: N/A".** (added)
- date of audit (last day of audit)
- date of follow up audit if relevant
- **next audit time period (renewal audit), specify if unannounced** (changed)
- certificate issue date
- certificate expiry date, i.e. 12 months after the date of issue the certificate (the certificate validity date shall remain the same

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each year as described in the audit protocol, Part 1 and Part 5 (for unannounced option))

- place and date of signature

- name and signature of the certification body's person(s) responsible for the certification decision as described in Part 3 of the Standard
- QR-code
- IFS Logistics logo.

Please note: The auditXpressX™ software includes a certificate format with the minimum required content, but each IFS ISO/IEC 17065 norm-accredited certification body may use its own layout, providing that it includes these minimum requirements.

1.4.1 QR-code on the IFS certificate

1) QR-code on the IFS certificate via auditXpressX™:
   The QR-code will be implemented automatically when exporting the certificate via auditXpressX™. The QR-code embodies a public link to the IFS Database which verifies the authenticity of the certificate. The link contains a key which verifies i.a. the date of issue of the certificate.

   The color of the QR-code is, by default, the color of the Standard. Users may change the color and position of the QR-code by using the template.

2) QR-code manual upload into the IFS Database for auditXpressX™ non-users:
   changed For certification bodies not using auditXpressX™ **to generate the certificate,** IFS provides a separate page for the download of the QR-code from the IFS Database.
   changed **The QR-code can be created via "My Clients" by providing the COID.**

3) Position on the IFS certificate
   The QR-code should be either in the top right corner or centered on the bottom of the IFS certificate.

4) Verification of the certificate through the QR-code:
   A security mechanism has been added to the QR-code verification, so that not too many QR-codes can be verified in a certain lapse of time from the same IP-address.

   QR-code data:
   The QR-code shows following data:

   - The certificate is in the IFS Database: yes / no
   - COID

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- Name of the company
- ~~Mailing address of the certified site~~ (deleted)
- ~~GLN, if available~~ (deleted)
- Name of the CB
- Standard
- Date of issue of the certificate
- Certificate valid until
- Certificate still valid (or, if so, locked)

2 auditXpressX™ Software

In order to increase the standardisation of IFS reporting, auditXpressX™ software has been developed. It offers the following advantages:

- easy collection of audit data through a user-friendly interface
- production of quick and error-free IFS audit reports
- automatic evaluation of the audit results by dynamic computation of all relevant items
- automatic generation of a standardised audit report
- temporary storage of interim audit data for later completion
- simple and secure export of completed audit reports to the IFS Database
- simple exchange of audit files between the auditors and their competent certification body
- offline working, i.e. no permanent Internet connection required
- an update option provides constant access to the most recent version of the IFS.

3 The IFS Audit portal and the IFS Database (www.ifs-certification.com)

Every IFS audit shall be uploaded to the IFS audit portal by the certification body (uploading of report, action plan and certificate). (changed)

There are (six) **6** user groups which can have access to the IFS database:

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added
- **Auditors**
- Certification bodies
- Certified companies
- Retailers and other users
- Food safety authorities.

added
- **Consultants (special access)**

The different groups' access rights are as follows:

Auditors

- **manage their own data**
- **download their own auditor profile, which includes all information about their approval: standards and scopes**

added
- **oversee performed audit /assessments**
- **register for the courses**
- **receive account notifications and IFS Newsletters.**

Note: Non-exclusive auditors can also administer the certification body/ies they're working with.

Certification bodies:

- manage their certified companies and upload audit reports, action plans and certificates
- may suspend certificates in specific situations
- can manage all IFS audit dates via the diary function, enabling retailers and companies to have a good overview of the scheduled audits. It is mandatory to upload in the diary function of the audit portal all audits dates, at latest two (2) weeks before the audit. **For an unannounced audit, they shall be registered at least four (4) weeks before the start of the audit time window.**

changed
- manage their **sub-**accounts
- have the possibility to compare two (2) consecutive audit reports and action plans, for internal auditor training and calibration purposes
- download the IFS logo(s)

changed
- **receive important notifications and IFS newsletters**
- **manage their auditors via the IFS Database.**

Certified companies/suppliers:

- have access to their own audit data
- have the possibility to unlock retailers and other users for their achieved percentage, detailed audit report and action plan

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- have the possibility to compare two consecutive audit reports and action plans, for improvement purposes
- download the IFS logo(s)
- manage their certification bodies
- manage company personnel access (create sub-accounts) to the audit data
- search for other certified companies
- manage their suppliers using a "favourites" option via **"Supplier management"**
- **receive important notifications (possibility to define notification preferences) and IFS Newsletters.**

changed

Access for the headquarters of certified companies
A "headquarter" access for certified companies can be set up which allows a company headquarter to administer all of their certified sites through a single access point.

Retailers and other users:

- search for certified companies
- manage their certified companies via a "favourites" option **via "Supplier management".**
- **see the upcoming audit date of a supplier**
- **compare two (2) consecutive audit reports and action plans (if access was authorised)**
- **download a list of all suppliers with suspended certificates**
- **receive important notifications and relevant lists that can be set individually**
- **receive IFS exclusive Newsletters translated in different languages.**

changed

Food safety authorities

- search for certified companies
- manage their certified companies using a "favourites" option with **"Supplier management"**
- **receive a list of audits where further information is unlocked by the suppliers**
- **see the upcoming audit date of a supplier**
- **compare two (2) consecutive audit reports and action plans (if access was authorised)**
- **download a list of all suppliers with suspended certificates**
- **receive important notifications and IFS Newsletters.**

changed

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added

Special access for IFS Consultants

- **manage own data about Standards, scopes, languages**
- **get access to special consultant trainings**
- **visible on the public IFS Website – including reviews from customers**
- **download own individualised IFS Logo**
- **receive important notifications and IFS Newsletters.**

Security of the database
The security system used for the database is based on international recognised and mostly used security systems.

Data protection
Data protection is an important issue for the IFS Management GmbH. They fulfil all for the company applicable data protection regulation. The data policy of IFS Management GmbH is available on the website www.ifs-certification.com. The access provides general information about all certified companies. If no further authorisation is granted by the certified companies the user groups will be able to see the following information only:

- the company's name and address
- the certification body's name and address
- the auditor's name (including auditor scopes)
- the scope of the audit
- the date and duration of the audit
- the level achieved at the audit
- the IFS certificate's date of issue and its validity **duration and the time frame for the realisation of the renewal audit**
- the IFS certificate itself
- if available: information about the implementation status of FSMA.

changed

By using their secure log-in access, the certified companies themselves can give the authorisation for access to the following detailed information:

- audit report and action plan.

The user groups automatically receive access to the unlocked data by the certified company after the data has been unlocked. Communication to retailers and other user groups is via a secure Web process which guarantees that only authorised retailers and other users/certified companies can view specific data of the certified companies/suppliers. **For further information, see the IFS Website.**

changed

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changed

Tool "Supplier management"

The tool **"Supplier management"** enables the different user groups to select their favourites from all certified companies which are listed in the IFS Database and to store them in a separate list.

changed

For each certified company which is stored under **"Supplier management"** as a favourite, the user can receive following notifications via e-mail:

- reminder 3 months before the expiration date of the certificate.
- the certificate is expired and no valid certificate exists.
- a surveillance audit is recorded.
- if the certificate is withdrawn by the certification body before the expiration date.
- a certificate is edited.
- a new audit has not been entered until now. The current certificate expired 3 months ago.
- monthly e-mail of all new registered audits in the current month.

changed

- **a certificate or letter of confirmation has been registered**
- **a certificate has been prematurely withdrawn or temporarily suspended**
- **a certificate or the related audit documents have been edited**
- **a certificate or assessment letter expires in three (3) months and no new date has been registered**
- **a certificate expires and no new certificate for this standard has been issued**

  Note: Please check directly with your favourites if no audits have been performed or if the audit has not been passed.
- **there has been no valid certificate for an IFS Standard for at least three (3) months and no new date for this standard has been entered.**
- **a new audit date has been created or a registration for an IFS Food Safety Check or an unannounced audit has been made.**
- **an existing audit date or registration has been removed or changed.**
- **a change of certification body has been made.**

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ANNEX 1: Audit overview

Cover page of the audit report

Logo of the certification body

IFS Logistics
Version 2.3

Final Audit Report

Audited company: "Logistics GmbH"

changed

GS1 GLN(s) if available

Unannounced audit (if applicable)

Date of audit: 02. 10./03. 10. 2021

Name and address of certification body

Accreditation number of the certification body

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First pages of the audit report

Audit Overview
IFS Logistics Version 2.3, July 2021

Audit details

changed

Lead auditor: Max Mustermann date/time: **Co-auditor:** date/time: **Trainee:** **Witness auditor:** **Reviewer:**	**Date/time of current audit:** 02. 03. 2021 (09:00–18:00) 03. 03. 2021 (08:30–17:30)	**Date/time of previous audit:** 06. 03. 2020 (09:00–18:00) 07. 03. 2021 (08:30–12:30) **Certification body and auditor of previous audit:** TEST GmbH/Frank Test

Name and address of the company (or headquarter) **Logistics AG** Example street 12345 Witzenhausen Germany	**Name and address of the audited site** Logistics GmbH Musterstraße 12346 Berlin Germany
	COID: Contact person in case of emergency (e.g. recall): [Name, email and phone number at a minimum]:

Phone: 0 12 34 56	Fax: 01 23 45 67 89	Phone: 0 12 34 57	Fax: 01 23 45 67 88
Website: www.fruitsandvegetables.com	Email: info@fruitsandvegetables.com	Website: www.fruitsandvegetables.com	Email: info@fruitsandvegetables.com

Scope of audit

Ambient stable transport and chilled storage of food products
(not mandatory further detailed description: fruit and vegetables)
(Mandatory translation into English of the audit scope)

Additional information

changed

Exclusions: [yes / no] and [description]
Multi-site companies: [yes / no] and [description]

Final Result of the Audit

As a result of the audit performed on 02. 03. and 03. 03. 2021, "xyz" found that the logistical activities **Logistics GmbH** for the above-mentioned scope of audit comply with the requirements set out in the IFS Logistics Standard, Version 2.3, at **Foundation level,** with a score of XX %.	Renewal audit between XX.XX and XX.XX in case of announced audit and between XX.XX and XX.XX in case of unannounced audit

changed

Observations regarding non-conformities (D evaluation of KO requirements and Majors):

Description of follow-up on corrections and corrective actions from previous audit

Company profile
Company data ** to be additionally described in English, if the audit report is written in a different language from English
The year of construction of the site
The site area in square meters
When the last investment was made, service and/or product oriented investments concerning quality and safety (construction changes, machines). Specify the kind of investment made in areas of logistical activities/product handling
Full description of product groups which are handled (based on Annex 5, Part 1)
Product groups and products per group handled in the company
Complete view and number of the company's logistical activities**
Numbers of gates for loading/unloading
If the audited company has additional broker services, specify the kind of products**
How many employees are there, listed according to full-time and part-time workers (own employees, external companies), shift work**
The number and names of the sub-companies (sites) of the company (where are they situated, if they are IFS certified), precision about names and kinds of sub-contracted part(s) of the logistical services**
State if the company fulfils the requirements about use of IFS logo, as defined in IFS audit protocol
If the site is certified according to other schemes, please specify the schemes' names.
Audit data
Language in which the IFS Logistics audit was conducted:
Audit duration (only for IFS Logistics audit):
If the certification body has decided to decrease audit duration (see rules in chapter 5.3 of audit protocol), explanations about the reasons for decreasing

changed

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ANNEX 2

IFS Logistics
Version 2.3, July 2021

changed

IFS Audit Report: Main content

Summary:

	Chapter 1	Chapter 2	Chapter 3	Chapter 4	Chapter 5	Chapter 6
	Senior management responsibility	Quality and product safety management system	Resource management	Realisation of the service	Measurements, analyses, improvements	Food/ Product defense
KO	0	0	0	0	0	0
Majors	0	0	0	0	0	0
A	0	0	0	0	0	0
B	0	0	0	0	0	0
C	0	0	0	0	0	0
D	0	0	0	0	0	0
N/A	0	0	0	0	0	0
Result per chapter (%)						

changed

Summary of all deviations and non-conformities found for each chapter and requirement:

N°	Reference	IFS requirements	Evaluation	Explanation
1.	1.1.1			
2.	1.1.2			

added

Summary of points of attention:

N°	Reference	IFS requirements	Evaluation	Explanation
1.				

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Detailed audit report

N°	Reference	IFS requirements	Evaluation	Explanation
1.				
2.				

added

Annex to the audit report

Audit participants					
Name	Position	Opening Meeting	Documenta-tion review	Site audit	Closing meeting
Mr. Quality	Quality Manager	X	X	X	X
Mr. Manager	General Manager	X			X
Mrs. Sales	Warehouse Manager	X		X	X

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ANNEX 3

Action plan

Name and address of the audited company

The Action Plan must be returned to the certification body before: ___

changed

N° of the requirement	IFS Logistics requirement	Evaluation	Explanation (by the auditor)	Correction (by the company)	Responsibility/ Date and status of implementation (by the company)	Type of evidence and name of the document(s)	Corrective action (by the company)	Responsibility/ Date and status of implementation (by the company)	Release and date of release (by the auditor)
1.2.1	An organisation chart …	C							
1.2.2	Senior management shall be responsible for the quality …	C							

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ANNEX 4: Certificate

Certificate

changed Unannounced audit (if applicable)

IFS Logistics

Herewith the certification body

Name of the certification body

being an ISO/IEC 17065 accredited certification body for IFS certification and having signed an agreement with IFS Management GmbH, confirms that the logistical activities of

Name of the audited company

Address

changed COID

GS1 GLN(s) if available

(Headquarter)

for the audit scope:

Type of activities/Products scope(s)/Condition of handling

changed **additional information:**

description of exclusions, if applicable

if the company performs additional broker activities, provide the certification status by writing the sentence: "The company has own broker activities which are/are not IFS Broker/other GFSI recognised standard certified".

meet the requirements set out in the

IFS Logistics Version 2.3, June 2021

at Foundation level/Higher Level

and other associated normative documents

with a score of XX %

Certificate-Register number:

Date of the last unannounced audit (last day of audit)

If no unannounced IFS Logistics audit has been conducted for the respective COID yet, the certificate shall indicate the following:

"Last audit conducted unannounced: N/A"

Audit date (if relevant: plus date of the follow-up audit):

Certificate issue date:

Date of expiration of the certificate (the certificate validity shall remain the same each year as described in the IFS Food Certification protocol, Part 1):

changed Next audit to be performed within the time period:

(Renewal audit between XX.XX and XX.XX in case of announced audit and between XX.XX and XX.XX in case of unannounced audit)

Date and place:

Name and signature of the responsible person at the certification body

Address of the certification body:

Logo of the accreditation body or its name and registration number

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Part 5: Audit protocol for unannounced audits

0 Introduction

Due to increasing requirements of the market, the IFS Board and IFS International Technical Committee have made the decision to implement a process for performing unannounced audits against the IFS Logistics Standard.

0.1 Unannounced audit protocol

Prior to scheduling and performing the audit, the company shall inform its certification body about the chosen option for their particular site(s):

- IFS Logistics announced audit **(option "Announced")**: the requirements defined in the Part 1 of this Standard apply.
- IFS Logistics unannounced audit **(option "Unannounced")**: the below described procedures apply. This option involves a full unannounced audit against the audit checklist of the IFS Logistics requirements, which replaces the yearly scheduled renewal audit. The audit date shall not be notified to the company in advance of the audit.

  This option is preferably aimed at renewal audits (i.e. for companies already IFS Logistics certified), but may also apply for initial audits, if the company prefers starting directly with an unannounced audit.

For each renewal audit, the company shall inform its certification body about the chosen option.

1 Audit planning

1.1 Timeframe for registration for an unannounced audit

added

To get registered for an unannounced audit, the company shall notify its certification body at latest **four (4) weeks** before the start of audit time window (see below). This applies both to companies keeping the same certification body and those changing certification body. The registration date shall be stated in the contract between the certification body and the company.

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changed

Note: if the company does not inform the certification body **four (4) weeks** before the start of audit time window, the option "Unannounced" cannot be chosen.

As the date of the audit shall not be made known to the company, the expected date shall not be inserted by the certification body into the diary function of the IFS Database. However, the certification body shall tick the box "Unannounced audit" in the IFS Database. When the audit has been performed, the certification body shall provide the audit dates in the portal, at latest 2 working days after the first audit day. This will ensure that the portal users are informed that the audit has taken place and that the certification process of this site is on-going.

1.2 Time window for performing the audit

The time in which the certification body shall perform the unannounced audit is [– 16 weeks; + 2 weeks] of the audit due date. In case of audits to be conducted over more than one day, the audit shall be performed on consecutive days.

Example:

Initial IFS Logistics audit (announced):	1 November 2020
1st renewal IFS Logistics audit (announced):	25 October 2021 (between 6 September 2021 and 15 November 2021, based on audit due date: 1 November, following IFS protocol for announced audits)
2nd renewal IFS Logistics audit (unannounced):	between 12 July 2022 and 15 November 2022, based on audit due date 1 November, following IFS protocol for unannounced audits

Note: if the audit is scheduled by the certification body outside the defined time window, the audit will not be a valid IFS Logistics unannounced audit and will be processed as an announced audit.

Blackout period
When registering for an unannounced audit with its certification body, the site has the opportunity to identify maximum ten (10) operational days, plus not operating periods, when the site is not available for the audit.

These dates shall be notified to the certification body at the same time as the company is registered for the unannounced audit by its certification body and reasons shall be provided.

Note: the company may only split the ten (10) operational days into a maximum of three (3) periods (e.g. seasonal highs, holiday times etc.).

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1.3 Other information to be provided by the company to its certification body

The company shall provide its certification body with the name(s) of the person(s) to be contacted on-site when entering the site the day of the unannounced audit, to facilitate the auditor entry.

As for an announced audit, the certification body may ask, before the start of the time window, for some company's documentation, in order to prepare the audit.

1.4 Audit scope

The same requirements as in Part 1, chapter 4 apply to determine audit scope.

1.4.1 Specific audit process for multi-location companies with central management

If defined processes are centrally organized in a company with several related sites (e.g. purchasing, personnel management, complaint management, etc.):

- The audit of headquarters (announced or unannounced) and the unannounced audit of the related site(s) shall not be performed during consecutive days (e.g. if the headquarter is located within one of the related sites, there shall be two (2) different audits: an announced or unannounced audit for the centrally organized processes and an unannounced audit for the related site.)
- All audits, including headquarters', shall be performed within a maximum timeframe of one (1) year.

1.5 Audit duration

The same requirements as in Part 1 of this Standard (Part 1, chapter 5.3) apply to calculate audit duration.

1.6 Audit time schedule

As it is not relevant to send an audit time schedule for an unannounced audit in advance, the auditor shall present, on the day of audit, a provisional audit time schedule, which may have to be adapted during the audit.

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2 On-site audit performance

2.1 Start of the unannounced audit

The company should prepare a minimum set of documents to be provided to the auditor at any time.

When entering the company, the auditor will ask to meet the person(s) whose names were provided by the company at the time of registration.

Note: If company denies access to the auditor (apart from "force majeure"), the currently valid IFS Logistics certificate shall be suspended by the certification body, within a maximum of two (2) working days after the audit date (notification will be received by customers having placed the company in their favorites' list in the IFS Database) and this information will be visible in the company history in the IFSA Database. The company shall be invoiced by the certification body for the total cost of the audit. Moreover, the next audit can only be scheduled announced and shall preferably be performed by the same certification body.

After arrival and introduction, the auditor may briefly review the documents prepared by the company and shall immediately start the audit on the location (site inspection). The opening meeting and documentation audit shall be undertaken later during the audit.

2.2 Evaluation of requirements

The same requirements as in Part 1, chapter 5.5 apply for the evaluation of requirements.

3 Audit report

The same requirements as in Part 1, chapter 5.7 apply to the IFS audit report. The option "Unannounced" will be clearly stated in the audit report.

4 Conditions for issuing audit report and certificate

The same requirements as in Part 1, chapter 5.8 apply for issuing the certificate.

The option "Unannounced" will be clearly stated on the IFS certificate.

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5 Awarding the certificate

The same requirements as in Part 1, chapter 6 apply for issuing the certificate.

The certificate validity date remains the same each year and is determined by the date of the initial audit.

Example:

Initial IFS Logistics audit (announced):	1 November 2020
Certificate valid until:	26 December 2021
Renewal IFS Logistics audit 1 (announced):	25 October 2021 (between 6 September 2021 and 15 November 2021, based on audit due date: 1 November)
Certificate valid until:	26 December 2022
Renewal IFS Logistics audit 2 (unannounced):	between 12 July 2022 and 15 November 2022, based on audit due date 1 November
Certificate valid until:	26 December 2023

Note: if a company would like to include new product(s) in the scope of the certificate whereas the audit has already been performed, the same rules as described in Part 1, chapter 4 apply.

6 Further requirements from the current IFS Logistics Standard applying to the unannounced audit protocol

All requirements from the Parts 1, 2, 3 and 4 which are not detailed in this Part of the Standard apply to the unannounced audit protocol.

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ANNEX: Checklist IFS Logistics 2.3

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
1	**Senior management responsibility**						
1.1	**Corporate policy/Corporate principles**						
1.1.1	The senior management shall draw up and implement a clear corporate policy. This shall consider as a minimum: – product safety – customer focus – environmental responsibility – sustainability – personnel responsibility. The corporate policy shall be communicated to all employees.						
1.1.2	The content of the corporate policy shall have been broken down into measurable objectives (quality and product safety).						
1.2	**Corporate structure**						
1.2.1	An organisation chart shall be available showing the structure of the company. The organisation chart shall include, if applicable, the associated operating facilities (e.g. independent central warehouse(s), satellite depots and other locations where logistical activities are carried out).						
1.2.2	The department responsible for quality and product safety management and/or the IFS Logistics representative shall have a direct reporting relationship to the senior management.						
1.2.3	The company shall assign responsibility for external communications (crisis management, authorities and communication with media) to a specific responsible person or persons.						
1.2.4	Competences and responsibilities, including deputation of responsibility shall be clearly laid down.						
1.2.5	The senior management shall ensure that employees are aware of their responsibilities related to product safety and quality. This shall be reviewed at least annually.						
1.2.6	The company shall have a system in place to ensure that it is kept informed of all relevant and current legislation. The legal requirements shall be implemented by the respective department(s).						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
1.2.7	**KO Nº 1: Senior management shall be responsible for the corporate policy and objectives. The necessary resources and investments to ensure the product safety, legality and quality according to client agreements and specifications shall be provided.**						
1.3	**Customer focus**						
1.3.1	A documented procedure shall be in place to identify fundamental needs and expectations of customers.						
1.3.2	The records of this procedure shall be evaluated and considered to determine quality and product safety objectives.						
1.4	**Management review**						
1.4.1	Senior management shall ensure that the quality and product safety management system is reviewed at least annually, or more frequently, if changes occur. Such reviews shall contain, as a minimum: – results of audits – customer feedbacks – status of preventative and corrective actions – quality and product safety policy and objectives – follow up actions from previous management reviews – changes that could affect the product safety and quality management systems and – recommendations for improvement.						
1.4.2	The company shall identify and review regularly, but at least annually, the infrastructure needed to achieve conformity with product requirements (e.g. by internal audits or on-site inspection). This review shall include, e.g.: – buildings – storerooms/storage areas, storage facilities – machines and equipment – transport vehicles – transport units – transport containers. The results of the review shall be considered, with due consideration to risk, for investment planning.						
1.4.3	The company shall identify and review regularly, but at least annually, the work environment needed to achieve conformity with product requirements (e.g. by internal audits or on-site inspection). This review shall include as a minimum: – staff facilities – safety and security at work – hygienic conditions. The results of the review shall be considered, with due consideration to risk, for investment planning.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2	**Quality and product safety management system**						
2.1	**Product safety management**						
2.1.1	**KO N° 2: The basis of the company's product safety control system shall be a fully implemented, systematic and comprehensive risk management and/or HACCP system. For food, an HACCP system shall be used and be based upon the Codex Alimentarius principles.**						
2.1.2	The risk management or HACCP system shall cover all product groups as well as every processes from goods receiving to dispatch and delivery.						
2.1.3	The risk management/HACCP system shall describe the differentiation between logistical handling of unpackaged and packed products and between temperature controlled and ambient stable products. The company's own control system shall comply in relation to existing product risk.						
2.2	**Assemble risk management/HACCP team**						
2.2.1	The company shall have a risk management team or HACCP team, which is multidisciplinary. The team shall have strong senior management support and members of the team shall have detailed knowledge of activities across the whole facility.						
2.2.2	The team leader shall be fully conversant in risk management and/or HACCP principles and their application. The team leader shall be able to demonstrate that he/she can identify, control and manage product safety hazards. Where there is deficiency regarding competency within the company, external expert advice shall be obtained.						
2.3	**Risk management/HACCP management**						
2.3.1	The company shall clearly identify the scope of its responsibilities in the transport and logistics chain. The risk management/HACCP management shall be based on this scope.						
2.3.2	Complete descriptions of services shall be available for all product groups and shall include relevant information concerning product safety, e.g. handling, storage, transport, delivery means and respective conditions.						
2.3.3	A current version of the flow diagram shall be available for logistical and product specific services. In the event of any changes, the flow diagram shall be updated.						
2.3.4	A hazard analysis shall be undertaken to evaluate all physical, chemical and biological hazards including allergens, that may reasonably be expected to occur.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.3.5	The hazard analysis shall consider the likely occurrence of hazards and severity of their adverse health effects. Where risk classification is used, a hazard analysis with risk assessment shall be documented for each risk class.						
2.3.6	For all steps/processes that demand a specific control to ensure product safety, the company shall implement, maintain and document specific control measures (for food e.g. determination of CP/CCP).						
2.3.7	For the specific control measures, the appropriate critical limits shall be defined (e.g. determination of critical limits for each CP/CCP).						
2.3.8	**KO N° 3 [NA possible]: Where risks need specific control to ensure product safety, a monitoring system for each CCP shall be implemented with clear critical limits and documentation system in place, in the event of loss of control.**						
2.3.9	In the event the monitoring of control points indicates that a critical limit is not under control (e.g. CP/CCP), appropriate corrective actions shall be defined, taken and documented. Such corrective actions shall also take into account the control of any non-conforming products.						
2.3.10	Procedures of verification shall be established to confirm that the risk management/HACCP system is effective. Verification of the system shall be performed at least annually. Examples of verification activities include, e.g.: – internal audits – evaluations – evaluation of complaints. The results of this verification shall be incorporated into the risk management/HACCP system and shall be communicated to and reviewed by the senior management.						
2.3.11	Documentation shall be available, covering relevant processes, procedures, measures and records. Documentation and record keeping shall be appropriate in relation to the nature and size of the company.						
2.4	**Documentation requirements**						
2.4.1	The system for product safety and quality management shall be documented, implemented and shall be retained in one location (safety and quality manual or electronic documented system). The reason for any amendments to documents critical for the product requirements shall be recorded.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.4.2	All necessary documents shall be available in their latest version. They shall be appropriately authorized and available to relevant personnel at all times. The documentation can be retained on hard copy or electronically. With respect to IT-based documentation, this shall be traceable to an authorizing signatory.						
2.5	**Record keeping**						
2.5.1	All relevant records, necessary for the product requirements shall be complete, detailed and maintained and shall be available on request.						
2.5.2	Records shall be legible and genuine. Any amendments to records shall only be carried out by authorized persons. If monitoring records are documented electronically, a system shall be in place to ensure that only authorized personnel have access to produce or amend these records (e.g. by the use of a password).						
2.5.3	All records shall be kept in accordance with legal requirements and at least for one year. Record keeping shall be based on a hazard analysis and associated risks. The records shall be securely stored and easily accessible.						
3	**Resource management**						
3.1	**Personnel training/information**						
3.1.1	The company shall implement documented training and/or instruction programs. The training programs records shall include: – training contents – training frequency (concerning food safety/hygiene at least once per year, for non-food once every two years is sufficient) – employee's task – list of participants – languages – qualified trainer/tutor – evaluation methodology (measurement of the effectiveness of the training and the training program). Before commencing work, basic product safety training shall take place.						
3.1.2	The documented training programs and/or instruction shall apply to all personnel, including seasonal and temporary workers, employed in the respective work area.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
3.2	**Personnel hygiene**						
3.2.1	There shall be documented requirements relating to personnel hygiene, and where appropriate, the control of infection. These shall include, as a minimum: – hand washing and disinfection – eating and drinking – smoking – actions to be taken in case of cuts or skin abrasions. The requirements shall be based on hazard analysis and assessment of associated risks in relation to product and process.						
3.2.2	The requirements for personnel hygiene shall be in place and applied by all relevant personnel, contractors and visitors. Compliance with the requirements shall be monitored and recorded.						
3.2.3	The protective clothing for employees and visitors shall be appropriate, dependent on the product and process requirements.						
3.2.4	All protective clothing shall be thoroughly and regularly laundered. Hazard analysis and assessment of associated risks, together with consideration given to the processes and products of the company shall determine if clothing shall be washed by a contract laundry, on site laundry or by the employee.						
3.3	**Sanitary facilities, equipment for personnel hygiene and staff facilities**						
3.3.1	The company shall provide staff facilities, which shall be proportional in size and equipped for the number of personnel. Such facilities shall be kept in clean and good condition.						
3.3.2	Adequate hand washing facilities shall be provided in the storage area and/or the associated sanitary areas, based upon a hazard analysis and assessment of associated risks.						
3.3.3	Hand washing facilities shall provide as a minimum: – running potable water at an appropriate temperature – liquid soap – appropriate equipment for hand drying						
3.3.4	Where highly perishable, unpackaged food products or sensitive products are handled, the following additional requirements regarding hand washing/hygiene shall also be provided: – hand contact-free fittings – hand disinfection – adequate hygiene equipment's – signs requesting hand washing – waste container with hand contact-free opening.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4	**Realisation of the service**						
4.1	**General requirements for storage and transport**						
4.1.1	**Contract review and communication**						
4.1.1.1	The requirements and/or specifications which are defined between the contract partners shall be established, reviewed with regard to their acceptability and agreed upon before a supply agreement is concluded. All clauses related to quality and product safety shall be known and communicated to each relevant department.						
4.1.1.2	Changes of existing contractual agreements shall be documented and communicated between the contract partners.						
4.1.1.3	If compliance to the agreed services is not possible (e.g. punctuality of delivery), the customer shall be informed promptly.						
4.1.2	**Suppliers and service providers**						
4.1.2.1	There shall be a procedure for approval and monitoring of suppliers (internal and external) and service providers. The monitoring procedure shall include risk-based assessment criteria such as supplier reliability, complaints, audits, certificates of compliance as well as required performance standards.						
4.1.2.2	The results of supplier's assessments shall be reviewed regularly, but at least annually. There shall be records of the reviews and of the actions taken as a consequence of assessment.						
4.1.2.3	A current list of approved suppliers and service providers shall be available to the personnel responsible for the management of service providers and suppliers.						
4.1.3	**Specific requirements for material handling**						
4.1.3.1	The company shall have a procedure to avoid any contamination (also cross-contamination caused by incompatible products in the same transport unit or storage room). A contamination by emissions, exhaust fumes, smell, foreign bodies, packaging material and any other contaminants shall be avoided.						
4.1.3.2	If the customer requirements include the requirement for the absence of defined ingredients (e.g. GMO, allergens), measures shall be in place to prevent cross contamination of unpacked products.						
4.1.3.3	Specific demanded requirements regarding non-food product safety and/or protection of the environment (e.g. packing of damageable non-food products like electronic devices) shall be met.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.1.4	**Traceability**						
4.1.4.1	A traceability system shall be in place and maintained, which is appropriate for the company and the products they handle.						
4.1.4.2	The system shall ensure that the goods (incl. quantity) are identifiable within the defined logistical supply chain at all time. Furthermore, this system shall enable clear identification of every person and/or logistics company from which they receive the goods and to which company the goods are delivered to.						
4.1.4.3	The company shall keep an updated register of all customers and quantity of the customer goods under their control. In the storage area, the products shall be assigned to a customer.						
4.1.4.4	The traceability system shall be tested on a regular basis, but at least annually and each time the traceability system changes. This test shall be performed in order to confirm the effectiveness of the traceability system and to, if necessary, improve it. Test results shall be recorded and corrective measures shall be implemented, if required.						
4.1.5	**Maintenance and repair**						
4.1.5.1	An adequate system of planned maintenance shall be in place, maintained and documented, covering all equipment (incl. transport) that is critical for compliance with product safety and quality requirements. This applies both for internal and external maintenance activities.						
4.1.5.2	Product requirements and prevention of contamination shall be ensured during and after maintenance and repair work. Detailed records of maintenance and repair work, including corrective actions taken, shall be kept.						
4.1.5.3	All materials used for maintenance and repair shall be fit for the intended use (e.g. food-grade oils, non-toxic paints if unpacked products are handled).						
4.1.5.4	Failures of site and equipment covered by the maintenance system shall be documented and reviewed with a view to adapting the maintenance system.						
4.1.6	**Air conditioning/cooling/water/ice and compressed air**						
4.1.6.1	Requirements for environmental control (e.g. temperature, humidity) which influence product quality and product safety shall be defined and implemented.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.1.6.2	One or more appropriate temperature recording systems shall be implemented in the logistical chain in order to monitor the process at appropriate intervals.						
4.1.6.3	Where the process requires air conditioning/chilled air, the equipment used for this purpose shall be adequately maintained and cleaned within an appropriate frequency.						
4.1.6.4	In case of breakdown of the air conditioning/ chilled system and/or in the event of deviations from the target temperature, an alarm system shall be in place. Effective emergency corrective action procedures shall be in place ensuring product safety or quality is not compromised.						
4.1.6.5	The use and storage of water and/or ice that comes into direct contact with food and/or food packaging shall be evaluated, based on hazard analysis and assessment of associated risks, in order to ensure that contamination is eliminated. Water and ice shall be of potable quality.						
4.1.6.6	Where compressed air is used and has direct contact with food product or food packaging, its use shall be evaluated based on hazard analysis and assessment of associated risks. The use of compressed air shall not compromise product safety or quality.						
4.1.7	**Specific requirements in case of freezing and/or thawing processes**						
4.1.7.1	In case of freezing and/or thawing services, there shall be a documented process which specifies hazard analysis, assessment of associated risks as well as appropriate measures to control identified risks.						
4.1.7.2	In case of freezing and/or thawing services, all details for processing and product parameters (e.g. time, temperature, extension or shortening of product shelf life) shall be confirmed and agreed by the owner of the product.						
4.1.7.3	In circumstances where the control of process and working environment parameters (e.g. temperature, time, pressure, chemical properties) is essential to ensure the product safety and quality requirements, such parameters shall be monitored and recorded continuously, or at appropriate intervals.						
4.1.7.4	There shall be procedures in place to take corrective actions in the event of equipment malfunction and/or process deviations.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.1.8	**Cleaning and disinfection**						
4.1.8.1	Based on hazard analysis and assessment of associated risks, cleaning and disinfection schedules shall be established, implemented and documented. These shall specify: – responsibilities of staff – the products used and their instructions for use – the areas to be cleaned and/or disinfected – objectives – cleaning frequency – documentation requirements – hazard symbols (if necessary).						
4.1.8.2	The effectiveness of the cleaning and disinfection measures shall be verified and documented. Resultant corrective actions shall be documented.						
4.1.8.3	For transport containers (e.g. tankers, rail tankers), which are used for the transportation of liquid, granular and powdered unpackaged products, the following cleaning and disinfection measures shall be implemented, as a minimum: – the cleaning and disinfection measures shall be appropriate for the type of products – the cleaning and disinfection measures of the transport container shall include all associated working equipment (e.g.: hoses, valves, strainers) – the cleaning and disinfection measures shall ensure that the transport container is clean, that unwanted substances are removed from the surfaces and the number of microorganisms are reduced to a level that is sufficiently low, depending upon the intended use (cross-contamination is prevented) – objective evidence shall be available for the control of cleaning and disinfection measures of transport containers (e.g. records, certificates). The effectiveness of cleaning and disinfection shall be made known to the cleaning staff. The cleaning staff shall be trained in cleaning procedures.						
4.1.8.4	The facility exterior shall be clean and in good condition.						
4.1.8.5	Current Safety Data Sheets (SDS) and instructions for use shall be available on site for chemicals and cleaning agents. Instructions shall be known by the responsible personnel.						
4.1.8.6	Cleaning utensils and chemicals shall be clearly labeled. These shall be stored and used in a way to avoid contamination.						
4.1.8.7	Where a company employs a third-party service provider for cleaning and disinfection activities, all requirements in 4.1.8 shall be clearly defined in the respective contract.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.2	**Storage and handling**						
4.2.1	**Constructional requirements**						
4.2.1.1	The working environment shall not compromise product safety and/or quality.						
4.2.1.2	All working areas shall have adequate lighting.						
4.2.1.3	The company shall control the risk of glass contamination. In areas where open products are handled, lighting equipment shall be protected by the use of shatter proof lights and installed to minimize the risk of breakage.						
4.2.1.4	Procedure shall be in place describing the measures to be taken in case of breakage of glass and similar material. Such measures shall include: – cleaning methods – avoiding of contamination – product quarantine (blocking/hold) and releasing.						
4.2.1.5	The loading area shall be appropriate for its intended use. It shall be constructed in a way that: – products are protected from rain – accumulation of waste is avoided – condensation and formation of mould growth is prevented – cleaning can be easily undertaken.						
4.2.1.6	The floor, walls and ceilings shall be in good condition.						
4.2.1.7	Windows, doors and gates shall be in good condition and shall be kept closed, if not used.						
4.2.2	**Equipment**						
4.2.2.1	All equipment shall be designed for its intended use, maintained and stored not to pose any product safety or quality risk.						
4.2.2.2	The utilities and other equipment (cables, switches, etc.) shall be easily accessible for cleaning.						
4.2.2.3	Work equipment, which are being used, shall be designed so that possible damage and / or contamination is prevented.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.2.3	**Pest monitoring/pest control**						
4.2.3.1	The company shall have a pest control system in place which is in compliance with local legal requirements and shall have, as a minimum, criteria for: – the site environment (potential pests) – site plan with area for application (bait map) – identification of the baits on-site – responsibilities (in-house/external) – products/agents and their instructions for use and safety – the frequency of inspections. The pest control system shall be based on hazard analysis and assessment of associated risks.						
4.2.3.2	The company shall have qualified and trained in-house staff, and/or employ the services of a qualified external provider. Where an external provider is used, the activities required on site shall be laid down in a written contract.						
4.2.3.3	Following pest control inspections, any resulting recommendations shall be acted upon by both parties and actions shall be documented, including the date when corrective actions were taken. The products used for pest control shall not compromise product safety. The effectiveness of the pest control shall be monitored and regular trend analyses undertaken.						
4.2.3.4	Incoming deliveries shall be checked on arrival for the presence of pests. Any infestation shall be documented and control measures taken.						
4.2.3.5	Products, equipment and transportation vehicles shall be stored so as to minimize the risk of pest infestation. Where stored product and/or machines may attract pests, appropriate measures shall be taken to prevent risk of contamination.						
4.2.4	**Receipt of goods and storage**						
4.2.4.1	Procedures for the receipt of goods shall be established, effectively implemented and communicated to all relevant personnel. These procedures shall include general checking criteria (e.g. identification of products and vehicle), rules for goods acceptance, goods rejection and qualified acceptance. Non-conformities shall be acted upon and documented. If specific product checks are requested by the customer, they shall be implemented and known by the responsible employees.						
4.2.4.2	All products shall be clearly identifiable at all times. Storage, removal and handling of the goods shall be in accordance with customer requirements.						
4.2.4.3	Effective stock control systems shall be in place and may include methods such as, First In – First Out (FIFO) or First Expired – First Out (FEFO) and shall meet customer requirements.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.2.4.4	The loading and unloading of product shall be carried out in a manner which prevents damage. The product shall be secured so that contamination and/or damage is prevented during transport.						
4.2.4.5	The staff shall be trained in the safe handling and security of product at all times, e.g. during loading, unloading and whilst in storage.						
4.2.4.6	Outdoor storage shall be kept to a minimum. Where goods are stored outside, hazard analysis and assessment of associated risks shall be undertaken in order to ensure that there is no risk of contamination or adverse effect on quality and product safety.						
4.2.4.7	Where pallets are used, these shall be inspected to ensure they are in good condition and shall not compromise product safety.						
4.2.4.8	A hazard analysis and assessment of associated risks for possible food fraud is in place, which realistically can be expected within the process. Based on this, appropriate measures for risk mitigation shall be documented and implemented, if necessary.						
4.2.5	**Waste disposal**						
4.2.5.1	All current legal requirements for waste disposal shall be met.						
4.2.5.2	Food waste and other waste shall be removed from areas where food and/or sensitive goods are handled and pose a risk to product safety and quality.						
4.2.5.3	Waste collection containers shall be clearly marked and in a proper condition.						
4.2.5.4	Waste shall be collected in separate containers in accordance with the intended means of disposal. Such waste shall be disposed by authorized third parties only. Records of waste disposal shall be kept by the company.						
4.2.6	**Storage service providers**						
4.2.6.1	Where a company employs a third-party storage service provider, all the requirements specified within section 4.1, 4.2 and 5.3 shall be clearly defined in the respective contract or the service provider shall be certified according to IFS Logistics requirements.						
4.2.6.2	The employees of the service provider shall understand and apply the personnel hygiene requirements of the company.						

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4.3	**Transport**						
4.3.1	**Specific transport requirements**						
4.3.1.1	Transport vehicles, transport units, and/or transport containers that are being operated on different modes of transport (street, rail, air and water) shall keep the transport conditions of the goods being transported within the boundaries of the permissible tolerance (e.g. temperature).						
4.3.1.2	Where goods must be transported at defined conditions (e.g. temperature), the conditions inside the vehicle shall be checked before loading and documented to ensure compliance to the specified conditions.						
4.3.1.3	When temperature controlled goods are being stored or transported in containers (e.g. thermal boxes), these containers shall be in good condition (clean, odour free, dry, functional and fit for purpose). Prior to loading of the product in these transport containers, the containers shall be precooled.						
4.3.1.4	During transport, the respective permissible load level (payload) of transport vehicles, transport units and/or containers shall not be exceeded, in order to maintain product safety and quality.						
4.3.1.5	Transport containers (e.g. tankers, rail tankers), which are used for the transportation of liquid, granular and/or powdered unpackaged food products shall be labeled and used exclusively for the transportation of food.						
4.3.1.6	Cleaning of the transport unit shall be performed with consideration of the specific hygienic requirements and product risks. Cleaning certificates or other objective evidence that effective cleaning has been carried out shall be available, if required by law or by the customer(s).						
4.3.1.7	Hoses, pumps, filters of tankers (tank-containers, etc.) shall be in good condition and protected from contamination during transport.						
4.3.2	**Transport service providers**						
4.3.2.1	Where a company uses a third-party transport service provider on a regular basis, all the requirements specified within section 4.1, 4.3 and 5.3 shall be clearly defined in the respective contract or the service provider shall be certified according to IFS Logistics.						
4.3.2.2	The drivers of the service provider shall know and apply the personnel hygiene requirements.						

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4.3.2.3	Where a company uses a third-party service provider on an irregular basis for the transport of packed products (spot market), the service provider shall be certified according to IFS Logistics or fulfill the following evidently and binding agreed requirements: – the transport units and truck shall be clean – the service provider shall ensure temperature of product is controlled – different products shall clearly separated – there shall be absence of smells and other contamination (4.1.3.1) – requirement 4.1.1.3 shall be fulfilled – requirement 5.3 shall be fulfilled – requirements 5.6 shall be fulfilled. If the product is forwarded to another service provider, these defined requirements shall be met.						
5	**Measurements, analysis, improvements**						
5.1	**Internal audits**						
5.1.1	**KO N° 4: Effective internal audits shall be conducted according to a defined agreed audit program and shall cover all requirements of IFS Standard. Scope and frequency of internal audits shall be determined by hazard analysis and assessment of associated risks. This criteria is also applicable for off-site locations owned or rented by the company.**						
5.1.2	Internal audits of activities which are critical to product safety shall be carried out at least once a year.						
5.1.3	The auditors shall be competent and independent from the audited department.						
5.1.4	Audit results shall be communicated to the senior management and to responsible persons of relevant departments. Necessary corrective actions and a schedule for implementation shall be determined. All corrective actions shall be undertaken, documented and communicated to every relevant person.						
5.1.5	It shall be documented, how and when the corrective actions resulting from the internal audits shall be verified.						
5.2	**Site inspections**						
5.2.1	Site inspections shall be planned and carried out, based on hazard analysis and assessment of associated risks. In addition to the infrastructure of the site (see 1.4.2 and 1.4.3), the operational aspects of personnel hygiene, hygiene of the process, the HACCP/ risk management system and product defense shall be evaluated.						
5.2.2	Any discrepancies found from the site inspections as well as corresponding corrective action shall be recorded. The corrective actions shall be implemented.						

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5.3	**Calibration, adjustment and checking of measuring and monitoring devices**						
5.3.1	The company shall identify the measuring and monitoring devices required to ensure compliance with product requirements. These devices shall be recorded on a document and clearly identified.						
5.3.2	The measurement equipment and devices shall be checked, calibrated and/or verified and/or adjusted at defined intervals and against recognised standards/methods (if appropriate). The results of checks, adjustments and/or calibration shall be documented.						
5.4	**Management of complaints from authorities and customers**						
5.4.1	A system shall be in place for the management of product complaints.						
5.4.2	All complaints shall be assessed by competent staff. Where it is justified, appropriate actions shall be taken, if necessary, as soon as practicable.						
5.4.3	Complaints shall be analyzed with a view to implementing preventative actions, which avoid the recurrence of the non-conformity.						
5.4.4	The results of complaint data analysis shall be made available to the relevant responsible persons and to the senior management.						
5.5	**Management of non-conformities and non-conforming products**						
5.5.1	**KO N° 5: An effective procedure shall be in place for the management of all non-conforming products.**						
5.5.2	The procedure for the management of non-conforming products shall include as a minimum: – hazard analysis and assessment of associated risks – procedure of product quarantine (blocking/hold) – identification (e.g. labeling) – clearly identified staff responsibilities – the release procedure of goods.						
5.5.3	The procedure for the management of non-conforming products shall be understood by all relevant employees.						
5.5.4	Where non-conformities are identified, immediate corrections shall be taken to ensure that product requirements are complied with.						
5.5.5	The effectiveness and timeliness of implementation of the procedure for managing non-conforming products shall be subject to internal testing at least annually, (where quarantine has taken place within a year, this shall be used to assess the procedure). This assessment shall be carried out in a manner to ensure the effective implementation and operation of the procedure.						

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5.6	**Recall and withdrawal**						
5.6.1	There shall be an effective procedure for the withdrawal and/or recall of all products. This procedure shall include a clear assignment of responsibilities.						
5.6.2	The procedure shall ensure an effective and prompt response to recall and withdrawal requirements of the product owner.						
5.6.3	To ensure its effectiveness and possible improvement, the procedure shall be tested at least annually. If a product recall or withdrawal has taken place within the last 12 months, this may be used to assess the procedure.						
5.7	**Crisis and incident management**						
5.7.1	A documented procedure shall be established for the management of incidents and of potential emergency situations, that impact product safety, legality and quality. This procedure shall be implemented and maintained. The procedure shall include as a minimum: the nomination and training of a crisis team, an alert contact list, sources of legal advice (if necessary), contacts availability, customer information and a communication plan.						
5.7.2	The feasibility, effectiveness and timeliness of implementation of the procedure for management of incidents shall be subject to regular internal testing, at least annually.						
5.8	**Corrective actions**						
5.8.1	A procedure shall be in place for the recording and analysis of the non-conformities with the objective to avoid recurrences by preventative actions and/or corrective actions.						
5.8.2	**KO N° 6: Corrective actions shall be clearly formulated, documented and undertaken, as soon as possible, to avoid further occurrence of non-conformity. The responsibilities and the timescales for corrective action shall be clearly defined.**						
5.8.3	The performance of the implemented corrective actions shall be documented and the effectiveness shall be checked.						
5.8.4	The preventative actions and the corrective actions shall be communicated to the senior management.						

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No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
6	**Product/food defense plan and external inspections**						
6.1	**Defense assessment**						
6.1.1	Responsibilities for product/food defense shall be clearly defined. The person responsible for food/product defense shall be part of key staff or shall have access to the top management team. Knowledge in this area shall be demonstrated by the responsible person.						
6.1.2	A product defense hazard analysis and assessment of associated risks shall have been performed and documented. Based on this assessment and legal requirements, areas critical to security shall be identified. Product defense hazard analysis and assessments of associated risks shall be conducted annually or upon changes that affect product integrity. An appropriate alert system shall be defined and periodically tested for effectiveness.						
6.1.3	If legislation makes registration or on-site inspections necessary, evidence of compliance shall be provided.						
6.2	**Site security**						
6.2.1	Based on a hazard analysis and assessment of associated risks, identified areas critical to security shall be adequately protected to prevent unauthorized access. Access points shall be controlled.						
6.2.2	Procedures shall be in place to prevent and identify signs of tampering.						
6.3	**Personnel and visitor security**						
6.3.1	Visitor policy shall contain specific aspects of product defense plan. Delivery and loading staff in contact with the product shall be identified and shall respect the access rules of the company. Visitors and external service providers shall be identified in areas with product storage and shall be registered at the time of access. They should be informed about the site policies and their access controlled accordingly.						
6.3.2	All employees shall be trained in product defense with respect to the product requirements and the training needs of the employees or when significant program changes occur. The training sessions shall be documented. Employee hiring and employment termination practices shall consider security aspects as permitted by law.						
6.4	**External inspections**						
6.4.1	A documented procedure shall exist for managing external inspections and regulatory visits. Relevant personnel shall be trained to execute the procedure.						

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