

IFS Food

Standard for auditing quality
and food safety of food products

Version 6
April 2014



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The Standard owner of the present document is:

IFS Management GmbH
Am Weidendamm 1A
10117 Berlin
Germany

Managing Director: Stephan Tromp
AG Charlottenburg HRB 136333 B
VAT-Nº: DE278799213

Bank: Berliner Sparkasse
Bank code number: 100 500 00
Account number: 190 029 765
IBAN number: DE96 1005 0000 0190 02 97 65
BIC-/Swift-Code: BE LA DE BE

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The IFS Food is available online via:
www.ifs-certification.com

Or by Mail, Fax and E-mail:
IFS Management GmbH
Am Weidendamm 1A
10117 Berlin
Germany

Phone: +49-(0) 30-72 62 50-74
Fax: +49-(0) 30-72 62 50-79
E-Mail: info@ifs-certification.com



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Members of the IFS International Technical Committee

Andrea Artoni	CONAD, on behalf of ANCD (Associazione Nazionale Cooperative tra Dettaglianti), Italy
Sabrina Bianchini	Det Norske Veritas, Italy
Yvan Chamielec	EMC Distribution – Groupe Casino, France
Fayçal Bellatif	Eurofins certification, France
Roberta Denatale/ Eleonora Pistochini	Auchan, on behalf of Federdistribuzione, Italy
Gerald Erbach	METRO AG, Germany
Jean-François Feillet	Meralliance, France
Cécile Gillard-Kaplan	Groupe Carrefour, France
Luc Horemans	Scamark – Groupement Leclerc, France
Dr. Joachim Mehnert	DQS, Germany
Dr. Angela Moritz	REWE Group; REWE-Zentral-AG, Germany
Bizhan Pourkomailian	Mc Donalds Europe, United Kingdom
Horst Roeser	COOP, Switzerland
Sergio Stagni	COOP, on behalf of ANCC (Associazione Nazionale Cooperative Consumatori), Italy
Stephen Thome	Dawn Food Products, USA
Bert Urlings	Vion Food, The Netherlands
Karin Voß	EDEKA Zentrale AG & Co. KG, Germany
Roman Wißner	HARIBO GmbH & Co. KG, Germany
Stefano Zardetto	Voltan, Italy

The IFS is also pleased to acknowledge the helpful contributions provided by the following persons for the review:

Javier Bernal	IFS Expert
Dr. Anna K. Boertz	IFS Expert
Jutta Brendgen	Rewe Group, Germany
Christina Brüggemann	ALDI Einkauf GmbH & Co. oHG, Germany
Alfonso Cappuchino	DNV, Business Assurance, USA
Rosanna Casciano	CONAD, on behalf of ANCD (Associazione Nazionale Cooperative tra Dettaglianti), Italy
Ivano Crippa	CSI, Italy
Paul Daum	Kaisers Tengelmann AG, Germany
Timo Dietz	Lidl Stiftung & Co KG, Germany
Gianni di Falco	Federdistribuzione, Italy
Sandrine Dupin	COFRAC (Comité Français d'Accréditation)
Lauren Fleming	Intertek, USA
Marcus Fraude	Kaufland Fleischwaren SB GmbH & Co. KG, Germany
Isabelle Formaux	Scamark – Groupement Leclerc, France
Arnaud Gautier	Groupement des mousquetaires, France
Massimo Ghezzi	Carrefour, Italy
Eric Gibson	Intertek, USA
Marco Jermini	IFS Expert
Annegret Karsch-Keller	Kaufland Warenhandel GmbH & Co. KG, Germany
Jon Kimble	Diamond Foods, USA
Dr. Ulrike Kleiber	HANSA-HEEMANN AG, Germany
Marguerite Knefel	Système U, France
Martine Kocken	Laiterie Saint Denis de l'hôtel, France
Dr. Kerstin Kunz	real,- SB-Warenhaus GmbH, Germany
Dr. Horst Lang	Globus SB-Warenhaus Holding GmbH & Co. KG, Germany
Wolfgang Leiste	EDEKA Handelsgesellschaft Südwest mbH, Germany
Prof. Dr Lindemann	IFS Expert

Susan Linn	Sysco Corporation, USA
Anke Lorencz	Wirtschaftskammer Österreich, Austria
Flavia Mare	Carrefour, Italy
Ralf Marggraf	EDEKA Minden-Hannover Stiftung & Co. KG, Germany
Jay Mayr	ConAgra Foods, USA
Laurence Manuel	Provera Alimentaire, France
Dr. Andrea Niemann-Haberhausen	Det Norske Veritas, Germany
Viola Obladen	Zentis GmbH & Co KG, Germany
Sarah Oxendale	Target Corporation, USA
Charlotte Pilz	Metro Cash+Carry Deutschland GmbH, Germany
Florian-Fritz Preuß	Quant Qualitätssicherung GmbH, Germany
Rodrigo Quintero	DQS, Chile
Dr. Gereon Schulze-Althoff	Vion Food Group, Germany
Dr. Jürgen Sommer	Freiberger Lebensmittel GmbH & Co. KG, Germany
Alain Soroste	IFS Expert
Marie Squigna	Loblaw, Canada
Kevin Swoffer	KPS Resources Ltd., United Kingdom
FrançoisThiébaud	Meralliance, on behalf of FEEF (Fédération des Entreprises et Entrepreneurs de France)
Béatrice Thiriet	Auchan, France
Ute Welsch-Alles	Globus SB-Warenhaus Holding GmbH & Co.KG, Germany
Patricia Wester	Eurofins certification, USA
Christel Wieck	Hochwald Nahrungsmittel-Werke GmbH, Germany
Kathleen Wybourn	DNV Business Assurance, USA

IFS Team

deleted added	Helga Barrios Vidar	Technical Project Manager
	Anne Gönner	Project Manager Marketing/Communications
added	Dr. Helga Hippe	Quality Assurance Management Director
	Seon Kim	Shop Manager
	Christin Kluge	Project Manager Quality Assurance
	Iona Langen	Senior Quality Assurance Manager
	Nina Lehmann	Project Manager Academy/Marketing/Communications
	Lucie Leroy	Project Manager
	Clemens Mahnecke	Technical Project Manager
	Marek Marzec	Business consultant Central/Eastern Europe
	Caroline Nowak	Representative South America
	Ksenia Otto	Project Manager
changed	Sabine Podewski	Project Manager
	Irmtraut Rathjens de Suster	Project Manager Certification Body Management
added	Nevin Rühle	Project Manager
	Stefanie Sattler	Operative Manager
	Nadja Schmidt	Project Manager
added	Sandra Schulte	Technical Project Manager
	Stephan Tromp	Managing Director
	Serena Venturi	Project Manager
	Nicole Zilat	Office Manager

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added

Part 1: Audit Protocol

1 The history of International Featured Standards and IFS Food 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 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 the IFS Food, which is intended to allow the assessment of suppliers' food safety and quality systems 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 version implemented (version 3) of the IFS Standard was developed by the HDE and launched in 2003. In January 2004, an updated version, version 4, was designed and introduced in collaboration with the FCD. Within 2005/2006, the Italian retail associations Associazione Nazionale Cooperative Consumatori (ANCC), Associazione Nazionale Cooperative tra Dettaglianti (ANCD) and Federdistribuzione also joined the International Food Standard and the development of version 5 was a collaboration of retail federations from France, Germany and Italy as well as retailers from Switzerland and Austria.

For IFS Food version 6, the International Technical Committee and the French, German and Italian working groups have been actively involved, in addition to retailers, stakeholders and representatives of industry, food services and certification bodies. During the development of IFS Food version 6, IFS gained input from a recently formed IFS North America working group and retailers from Spain, Asia and South America.

The fundamental objectives of IFS Food, 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.

Experience, changes in legislation and a revision of the GFSI Guidance Document led to the need to work towards a revision of version 5. A detailed and extensive questionnaire was developed, which would allow all interested parties to get involved in the further development of the IFS Food Standard. This on-line questionnaire was available between January and February 2011, allowing all those involved to be part of the process. All the completed questionnaires were subject to detailed analysis. Moreover, representatives of industry and certification bodies have participated in all steps of the review process for even more expertise sharing and transparency.

Analysis of all the questionnaires, associated with inputs received by all stakeholders, resulted in the definition of the following goals, which were the basis for the revision of the IFS version 5:

- to exclude duplications,
- to check the requirements for understanding,
- to adapt the Standard to meet current legislation,
- to include a food defense check-list in the general audit check-list,
- to include all IFS Food doctrines,
- to improve understanding of audit protocol,
- to determine more precise rules for calculating audit duration,
- to improve audit scope definitions,
- to update the Standard in accordance with new version of GFSI Guidance Document.

The new IFS Food version 6 will come into force from the 01. July, 2012. Until 30. June, 2012, companies can only perform IFS Food version 5 audits; after this date, only IFS Food version 6 audits shall be performed and will be accepted.

added

IFS Food 6, April 2014, is not a new version of the Standard but a consolidated version of IFS Food 6, January 2012, taking into consideration IFS Erratum version 2, providing further explanations on specific topics and implementing a cross reference with IFS Doctrine version 3. All modifications which have been made from original IFS Food 6, January 2012 are traced. This updated version of the Standard is applicable, at latest, from 1st July 2014.

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

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 Food audits.

The purpose of the protocol is to define the criteria to be followed by a certification body performing audits against the IFS requirements, and in accordance with the accreditation norm ISO/IEC Guide 65 (future ISO/IEC 17065 norm).

deleted

It also details the procedures to be observed by the companies being audited, and clarifies the rationale of auditing them. Only accredited certification bodies to ISO/IEC Guide 65 (future ISO/IEC 17065 norm) for the scope of IFS Food, and which have signed an agreement with the scheme owner, can perform audits against the IFS Food Standard and can issue IFS certificates. The IFS requirements for certification bodies are clearly described in Part 3 of this document.

deleted

2.2 Extraordinary information to the certification body by the certified company

In accordance with ISO/IEC Guide 65 **17065**, the company shall inform its certification body about any change or information indicating that the products may no longer comply with the requirements of the certification system (e.g. recall, alert on products, etc.). **that may affect its ability to conform with the certification requirements (e.g. recall, alert on products, etc.).** For IFS, This information shall be made within 3 working days.

changed

2.3 General requirements for the quality and food safety management system

In general, when auditing in accordance with IFS, the auditor assesses if the various elements of a company's quality and food 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,
- the handling, storage and retrieval of quality and food 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 food safety management system.

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

- to identify the processes needed for the quality and food 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.

3 Types of audit

3.1 Initial audit

An initial audit is a company's first audit to IFS Food. 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 criteria of the 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

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

If the Major non-conformity is related to production failure(s), 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.**

added

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.

added

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 criteria of the 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 corrective actions and preventive measures laid down in the company's corrective action plan.

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 on-line 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.

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

In specific situations, such as new products and/or processes to be included in the audit scope or each time the audit scope would need to be updated on the certificate, then, for an IFS Food certified company, it is not necessary to perform a complete new audit, but to organise an on-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 $\geq 75\%$) 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.

added

Note: see also requirements about extension audit in IFS doctrine (section 1.3.4).

4 Scope of the audit

IFS Food is a Standard for auditing retailer and wholesaler branded food product suppliers and also other food product manufacturers and only concerns food processing companies or companies that pack loose food products. IFS Food can only be used when a product is “processed” or when there is a hazard for product contamination during the primary packing. As a result, IFS Food shall not apply to the following activities:

- importation (offices, e.g. typical broker companies)
- transport, storage and distribution.

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

~~If the company trades manufactured goods as finished products, the suppliers of these products shall themselves be IFS Food certified and the specific requirements in the audit check-list (Part 2) related to trade of manufactured goods (4.4.2.1 to 4.4.2.3) shall be fulfilled. If this is not the case, those products shall be excluded from the certificate and the certificate shall mention: "trade activity is not included"~~

deleted

~~If the above mentioned requirements are fulfilled, those traded manufactured products shall clearly be specified on the certificate, detailing the product scope(s), and specified in the report, both in the audit scope and in the company profile.~~

Note: see also requirements about management of outsourced processes (section 1.4.2) and management of trade products (section 1.4.3) in IFS doctrine.

added

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.

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

If, between two certification audits, new processes or products different from those included in the scope of the current IFS audit are implemented (e.g. seasonal products), 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 results of this risk assessment, based on hygiene and safety risks, shall be documented.

The audit shall be specific to the site where all the processing of the product is 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 (i.e. the same kind of production on several lines for products under supplier brands and retailer/wholesaler brands) and not only the production line for retailer/wholesaler branded products. 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).

The audit scope shall make reference to the audited product scopes and technology scopes (see Annex 3).

Example 1: for a company producing ice cream, the audit scope shall make reference to product scope 4 (dairy) and tech scopes B (pasteurisation), D (freezing/cooling) and F (mixing/**packaging**).

added

Example 2: for a company producing fresh stuffed pasta, and producing the fillings on their own (with e.g. meat, cream, tomatoes), the audit scope shall make reference to product scope 7 (combined products) and tech scopes B (pasteurisation), D (freezing/cooling), E (Modified Atmosphere Packaging) and F (slicing/mixing/stuffing).

Note: further tech scopes may be added or deleted, depending on the detailed process(es) of the company.

Specifically for product scope 7, there are different parameters to define audit scope and audit duration. The product scope 7 (combined products) shall be used as soon as the company is producing products made of several raw materials (e.g. fish, meat, eggs, etc.); if the company processes these raw materials on-site, only scope 7 shall be chosen for the audit scope and on the certificate. Nevertheless, for calculating audit duration, all products scopes and tech scopes shall be selected (see example in section 5.3).

If, under exceptional circumstances, the company decides to exclude specific product ranges (product lines) from the scope of the audit, then this shall be clearly noted and included in the audit report and on the IFS certificate.

added

Note: see also requirements about management of product exclusions from the IFS Food audit scope in IFS doctrine (section 1.4.1).

Auditing of multi-location companies with central management

If defined processes are centrally organised in a company with several production sites (e.g. purchasing, personnel management, complaint management), the central managing site – headquarter – shall also be audited and relevant audited requirements outcome shall be considered in the audit reports of each production site.

Note: Each production 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 production 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 production 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 the production 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 production site(s)).

5 The certification process

5.1 Preparation of an audit

Before being audited, the company shall review all requirements of the IFS Food 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.

| added

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. Only those IFS approved certification bodies – which shall be accredited to ISO/IEC Guide 65 (future ISO/IEC 17065 norm) for IFS Food and shall have signed a contract with IFS (see Part 3) – can carry out IFS Food audits and issue certificates. The list of all IFS international approved certification bodies, by country, is available on the website www.ifs-certification.com.

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Certification bodies can have auditors qualified for one or several scopes. Confirmation of the product scopes and technology scopes for which the certification body can perform audits shall be obtained from the individual certification body.

IFS audits can be carried out by an audit team, only if all members of the audit team are IFS approved 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 consecutive 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 products of the audit scope are being processed.

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).

added

Note: see also requirements about the use of translator in IFS doctrine (section 1.5.2).

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

5.3 Duration of an audit

IFS has implemented a tool to calculate the **minimum** audit duration based on the following criteria:

- total number of people (part time workers, shift workers, temporary staff, administrative people, etc.),
- number of product scopes,
- number of processing steps (“P” steps).

This tool is available on www.ifs-certification.com.

Examples of calculation of audit duration (in relation with product and tech scopes, as described in Annex 3):

Example 1: for a company producing ice cream:

added

- The audit scope shall make reference to product scope 4 (dairy) and tech scopes B (pasteurisation), D (freezing/cooling) and F (mixing/**packaging**).

added

- For calculating audit duration, the following product scopes and “P” steps shall be selected: product scope 4 (dairy), P2 (pasteurisation), P6 (freezing/cooling) and P12 (mixing/**packaging**).

added

Example 2: for a company producing fresh stuffed pasta, and producing the fillings on their own (with **e.g. fresh meat to be sliced and cooked, self-made cream, tomatoes to be washed, sliced and cooked**):

- The audit scope shall make reference to product scope 7 (combined products) and tech scopes B (pasteurisation), D (freezing/cooling), E (Modified Atmosphere Packaging) and F (slicing/mixing/stuffing).
- For calculating audit duration, the following product scopes and “P” steps shall be selected: product scope 7 (combined products), 1 (meat), 4 (dairy), 5 (fruits and vegetables), 6 (grain products), P2 (pasteurisation), P6 (freezing/cooling), P8 (MAP) and P12 (slicing/mixing/stuffing).

Note 1: Specifically for product scope 7, there are different parameters to define audit scope and audit duration.

Note 2: product and tech scopes may be added or deleted depending on the detailed process(es) of the company. **For instance, in the above example, if the cream is bought “ready-to-use”, product scope 4 shall not be selected.**

| added

Note 3: for calculating audit duration, each “P” step only counts once in the formula even if the “P” step is repeated for several product scopes.

It is mandatory for all certification bodies to use this calculation tool to determine the minimum audit duration.

The determination of final audit duration is the responsibility of the certification body and may be higher than this minimum calculated duration (depending on the specific structure of the company).

If, through its expertise, the certification body assesses that the calculated audit duration results in an unacceptably high value and needs to be decreased, some flexibility about determination of audit duration is accepted, under the following conditions:

- If the calculation tool provides a duration ≤ 2 days, this duration shall be used as a minimum value.
- If the calculation tool provides a duration > 2 days and ≤ 3 days, the certification body can decrease the duration, but it shall always be ≥ 2 days. In this case, it shall be justified in the company profile of the audit report.
- If the calculation tool provides a duration > 3 days and ≤ 4 days, the certification body can decrease the duration, but it shall always be ≥ 3 days. In this case, it shall be justified in the company profile of the audit report.
- Etc.

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

A normal audit day duration is 8 hours.

Independently from audit duration, besides on-site audit, preparation of the audit shall be at least 2 hours.

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

Additionally, time for generation of the audit report is typically 0,5 days.

Note 4: For multi-location companies, audit duration could be decreased by a maximum of 0,5 days, if requirements have already been audited at the central managing site.

Note 5: For an audit team, the minimum audit duration shall be ± 0.75 day. In addition to the calculated audit time with the above tool, minimum 2 hours shall be added. This additional time shall be allocated

| changed

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.

added

Note 6: see also requirements about audit duration in IFS doctrine (section 1.5.3).

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 company's products or product ranges are to be audited. The company can only be audited at a time when it is actually producing 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 another 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 existing quality and food safety systems; achieved by checking documentation (HACCP, quality management documentation)
- the on-site inspection and interviewing of the personnel
- the final conclusions drawn from the audit
- the closing meeting.

The company will assist and co-operate 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 Food 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 Guide 65 (future 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 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 issue of the certificate is dependent on the audit results and on agreement on an appropriate action plan.

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 Food 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 Food, there are 4 scoring possibilities:

Scoring with:

A: Full compliance with the requirement specified in the Standard

B: Almost full compliance with the requirement specified in the Standard, but a small deviation was found

C: Only a small part of the requirement has been implemented

D: The requirement in the Standard has not been implemented

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

Chart N° 1: Scoring

Result	Explanation	Points
A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement has been implemented	5 points
D (deviation)	Requirement has 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.

5.5.2.1 Major

A Major is defined as follows:

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

When there is a substantial failure to meet the requirements of the Standard, which includes food safety and/or the legal requirements of the production and destination countries. A Major can also be given when the identified non-conformity can lead to a serious health hazard.

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

Chart N° 2: Evaluation of a Major

Evaluation	Scoring	Result
Major	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 Food the following 10 requirements are defined as KO requirements:

- 1.2.4 Responsibility of the senior management
- 2.2.3.8.1 Monitoring system of each CCP
- 3.2.1.2 Personnel hygiene
- 4.2.1.2 Raw material specifications
- 4.2.2.1 Recipe compliance

- 4.12.1 Foreign material management
- 4.18.1 Traceability system
- 5.1.1 Internal audits
- 5.9.2 Procedure for withdrawal and recall
- 5.11.2 Corrective actions

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

Chart N° 3: Scoring for KO requirement

Result	Explanation	Awarded scores
A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement is implemented	No "C" scoring is possible
KO (= D)	The requirement is not implemented	50% of the possible total amount of points is subtracted => No certificate awarding is possible

Important note

A "C" scoring is not possible for KO requirements. In this respect, the auditor can only use A, B 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 Food certification.

A KO cannot be scored with N/A, except KO 2.2.3.8.1 and 4.2.2.1

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 Food audit checklist, except for KO requirements (exception for KO 2.2.3.8.1 and 4.2.2.1).~~

deleted

N/A is not possible for KO requirements, except for 2.2.3.8.1 and 4.2.2.1.

Furthermore, N/A is not possible for requirement 2.2.3.6.1 about determination of CCP (as even if a company doesn't have any CCP's, the company shall document a logical approach which needs to be assessed by the auditor).

added

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 Food 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.

added

Note: see also requirements about non applicability of food defense requirements in IFS doctrine (section 2.6.1).

5.6 Determination of the audit frequency

For all products and for all certification levels, the audit frequency for IFS Food 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).

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.
- General summary of all chapters and comments about follow up of 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 Food requirements (see Annex 2, Part 2).

All deviations (B, C, D) and KO requirements scored with a B, 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, non-conformities and deviations, the company has to produce a corrective action plan. In this way, the reader of the report can see the non-conformities and deviations, and also the corrective actions that the company is initiating.

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

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 B, 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 auditXpress™ 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 finding 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.**

Chart N° 4: Outline action plan

Number of the requirement	IFS requirement	Evaluation	Explanation (by the auditor)	Corrective action (by the company)	Responsibility Date and status of implementation (by the company)	Release by the auditor
			Field A	Field B	Field C	Field D
1.2.1	An organisation chart ...	B				
1.2.2	Competences and responsibilities ...	C				
1.2.3	Job descriptions with clearly ...	D				
1.2.4 KO	The senior management shall ensure ...	KO/D				
1.2.5	Employees with influence ...	Major				
2.2.3.8.1 KO	Specific monitoring procedures shall be ...	KO/B				

5.7.2.2 Company's completion of the corrective action plan

The company shall enter proposed corrective actions (Field B of chart N° 4) for all deviations (B, C, D) and KO requirements scored with a B and non-conformities (Major, KO requirements scored with a D) listed by the auditor.

For all evaluated deviations with score C and D, as well as non-conformities, Major or KO requirements scored with a B and/or a D, the company shall clearly state the responsibilities and implementation deadlines for corrective action (chart N°4, Field C). The company shall forward the corrective action plan to the certification body within 2 weeks of having received the pre-report of the audit and the action plan layout. If this deadline is not respected, the company has to undergo a complete initial or renewal audit.

An IFS certificate shall not be awarded unless the corrective actions for requirements scored with a C or D, and KO requirements scored with B, specify responsibilities and implementation dates in the action plan.

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.

The company shall always submit a written corrective action plan before receiving the final report and the certificate. The intention of the corrective action plan is for the company to strive for continuous improvements.

5.7.2.3 Auditor validation of the action plan

The auditor or a representative of the certification body shall validate the relevance of the corrective actions in the last column of the action plan before preparing the final audit report (Field D of the chart N° 4). If the corrective actions are not valid or are inadequate, the certification body shall return the action plan to the company for completion in due time.

5.7.3 Further rules about the audit report

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

When the auditor scores a requirement with C or D, 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 5.11 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

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 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° 5, Field A) and in the audit report:

- Requirements evaluated with a C or D
- Major non-conformities
- KO requirements scored with a B or a D
- The audit scope (on the relevant page of the audit report)
- Detailed activity (operating processes, if there are subcontracted activities, trade activities like marketing of purchased products, 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.**

added

The corrective actions related to these deviations and non-conformities shall also be translated into English in the action plan (chart N° 5, Field B).

Chart N° 5: Outline action plan for translation

Number of the requirement	IFS requirement	Evaluation	Explanation (by the auditor)		Corrective action (by the company)	Responsibility Date and status of implementation (by the company)	Release by the auditor
			Field A	Field B			
1.2.1	An organisation chart ...	B					
1.2.2	Competences and responsibilities ...	C					
1.2.3	Job descriptions with clearly ...	D					
1.2.4 KO	The senior management shall ensure ...	KO/D					
1.2.5	Employees with influence ...	Major					
2.2.3.8.1 KO	Specific monitoring procedures shall be ...	KO/B					

It is an obligation and the responsibility of the certification bodies to translate these explanations 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.

5.8 Scoring and conditions for issuing audit report and certificate

Chart N° 6: Scoring and awarding of certificates

Audit result	Status	Action company	Report form	Certificate
At least 1 KO scored with D	Not approved	Actions and new initial audit to be agreed upon	Report gives status	No
> 1 Major and/or total score < 75 % of the requirements are fulfilled	Not approved	Actions and new initial audit to be agreed upon	Report gives status	No
Max 1 Major and total score ≥ 75 % of the requirements are fulfilled	Not approved unless further actions taken and validated after follow-up audit	Send completed action plan within 2 weeks of receiving the preliminarily report. Follow-up audit max. 6 months after the audit date	Report including action plan gives status	Certificate at foundation level, if the Major non-conformity is finally solved as controlled during the follow-up audit
Total score is ≥ 75 % and < 95 %	Approved at foundation IFS Food level after receipt of the action plan	Send completed action plan within 2 weeks of receiving the preliminarily report.	Report including action plan gives status	Yes, certificate at foundation level, 12 months validity
Total score is ≥ 95 %	Approved at higher IFS Food level after receipt of the action plan	Send completed action plan within 2 weeks of receiving the preliminarily report.	Report including action plan gives status	Yes, certificate at higher level, 12 months validity

changed

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.

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 (see also Annex 4)

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.

added

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 (see also Annex 4)

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.

added

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 cases where more than one Major non-conformity have 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 production failure(s), 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.

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.

Example:

Initial audit date 1:	01. October, 2012
Date of issue of certificate:	26. November, 2012
Certificate valid until:	25. November, 2013
Renewal date (audit where Major has been issued) 2:	25. September, 2013
Follow up audit:	03. December, 2013
Latest date of validity of the certificate:	25. November, 2014.

The report (first of the audit with the estimated Major, then updated with results of follow up audit) shall be uploaded into the IFS audit portal after performing the follow up audit with the proviso 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

- 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 production 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 production sites can be reinstated. Depending upon which non-conformity has been issued in the central managing site, a new audit of the production sites may also be necessary.

added

Note: see also requirements about management of the audit process in case of multi-site companies in IFS doctrine (section 1.5.8.4).

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 Food 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 Food 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 award the IFS Food 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 will be informed via the audit portal.

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
- 2 weeks for the company to respond to the deviations and non-conformities (i.e. draw up the action plan)
- 2 weeks for the auditor to check the proposed corrective actions, for the certification procedure and upload of the audit report, the action plan and the certificate to the audit portal.

In total: 6 weeks between the date of audit and uploading the audit report to the audit portal and awarding the certificate:

- Target time: 6 weeks,
- Maximum time: 8 weeks.

Note: see also requirements about certificate awarding in IFS doctrine (section 1.6.1).

added

6.2 Certification cycle

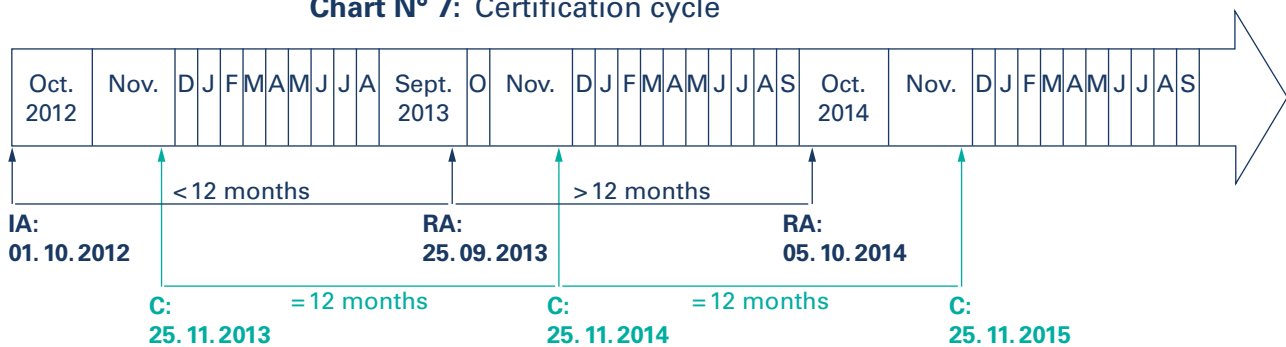
Even if the renewal audit due date changes every year and does not completely correspond to the anniversary date, the certificate validity date shall remain the same each year. Due date of the certificate is determined as follows: initial audit date + 8 weeks.

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, 2012
Date of issue of certificate:	26. November, 2012
Certificate valid until:	25. November, 2013
Renewal audit date:	25. September, 2013
Certificate valid until:	25. November, 2014 (independently from the renewal audit date).

Chart N° 7: Certification cycle



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

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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 Guide 65 (future 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.

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.

6.3 Information about conditions of withdrawal of certificate

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Withdrawal of certificate by the certification body is only permitted in case of any information indicating that the product may no longer comply with the requirements of the certification system (ISO/IEC Guide 65, future ISO/IEC 17065 norm).

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

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). 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. The audit report 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.

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 Food Logo

The copyright of IFS Food and the registered trademark is fully owned by the IFS Management GmbH. The IFS Food 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 in the company profile of the audit report as a mandatory field (see also Annex 2, Part 2, for mandatory fields).

added

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 Food logo and communication about the IFS Food certification

Application

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

Form, design and colour of the IFS Food logo

When used, the IFS Food 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.

The IFS Food 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 Food certified company, an IFS Food supporting company or an IFS Food 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 Food logo in promotional material

An IFS Food certified company, an IFS Food supporting company (broker, food, manufacturer, retailer, logistics provider or wholesaler) which accepts IFS certificates from their suppliers or services providers, or an IFS certification body may use the IFS logo for promotional reasons and publish information about IFS certification provided that it is not visible on final product packaging which are available to the end-consumer.

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~~Companies which provide products and/or services to IFS certified or supporting companies, but which are not themselves IFS certified (e.g. manufacturers of devices, clothing, cleaning materials or service providers which would like to promote that their products and/or services help to fulfil the IFS requirements) must ask for express written permission to IFS Management GmbH to use the IFS Food and/or any other IFS logo(s).~~

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

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 Food logo

The IFS Food 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 derived from it. In the event of suspension or withdrawal of the IFS Food 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 Food certification

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

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 the industry, of food services 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.

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12 IFS Integrity Program

The IFS Integrity Program launched in early 2010 includes different measures to assure the quality of the IFS certification scheme, with a focus on the review of audits conducted by the IFS certification bodies and their auditors.

There are two cornerstones of this program:

12.1 Preventive quality assurance actions

Quality assurance activities monitor the entire IFS system. Surveillance audits at the certification body offices and on-site supplier audits are carried out on a regular basis in order to assess the IFS system. These audits are undertaken regardless of whether or not a complaint has been made. The sampling for these surveillance audits is based on a random selection process and by use of objective criteria. These criteria are both economic criteria (e.g. number of issued certificates) and quality criteria (e.g. the review and analyses of IFS certification processes and corresponding reports).

A surveillance office audit of a certification body (CB) takes place at the accredited certification body's premises to verify the correct application of the IFS regulations at the certification body offices and to promote continuous improvement.

Additionally, surveillance on-site supplier audits at certified companies may be undertaken. In general, surveillance on-site supplier audits are announced 48 hours before the audit date. In these audits the documentation reviewed in the office audit of the certification body, or in the IFS database, is compared with the real situation found at the company.

Witness audits can also be performed. In this case, Integrity auditors assess an IFS auditor during a real IFS audit.

12.2 Quality assurance actions after complaint notification

A detailed complaint management process analyzes all necessary information. Retailers or any other interested parties have the right to forward any possible non-conformity to IFS for investigation as part of the Integrity Program.

The IFS Offices collect complaints concerning IFS audits, reports, certificates or other circumstances in which the integrity of the IFS brand is in question. Retailers, certification bodies, employees of IFS-certified companies or any person can use the complaint form on the IFS website www.ifs-certification.com or can send an e-mail to complaintmanagement@ifs-certification.com to inform IFS about a certain issue. In addition to any complaints received, IFS also analyses the IFS database using analytical tools in order to identify any deficiencies. If IFS Quality Assurance Management is informed of significant discrepancies between the results of an IFS audit and a subsequent retailer audit, this will be investigated within the complaint management process as described below.

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 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 provide a statement on the outcome of their investigations to IFS.

In the event that a complaint cannot be successfully resolved by the investigation undertaken by the certification body, an on-site investigation audit will be undertaken at the certified company(s). In general, investigation audits are announced 48 hours before the audit date, however in special cases unannounced audits are undertaken.

Witness audits can also be performed. In this case, Integrity auditors assess an IFS auditor during a real IFS audit.

Audits carried out as part of the Integrity Program are conducted by auditors employed by IFS and completely independent of the auditees.

12.3 Sanctions

If, following a complaint or preventive 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.

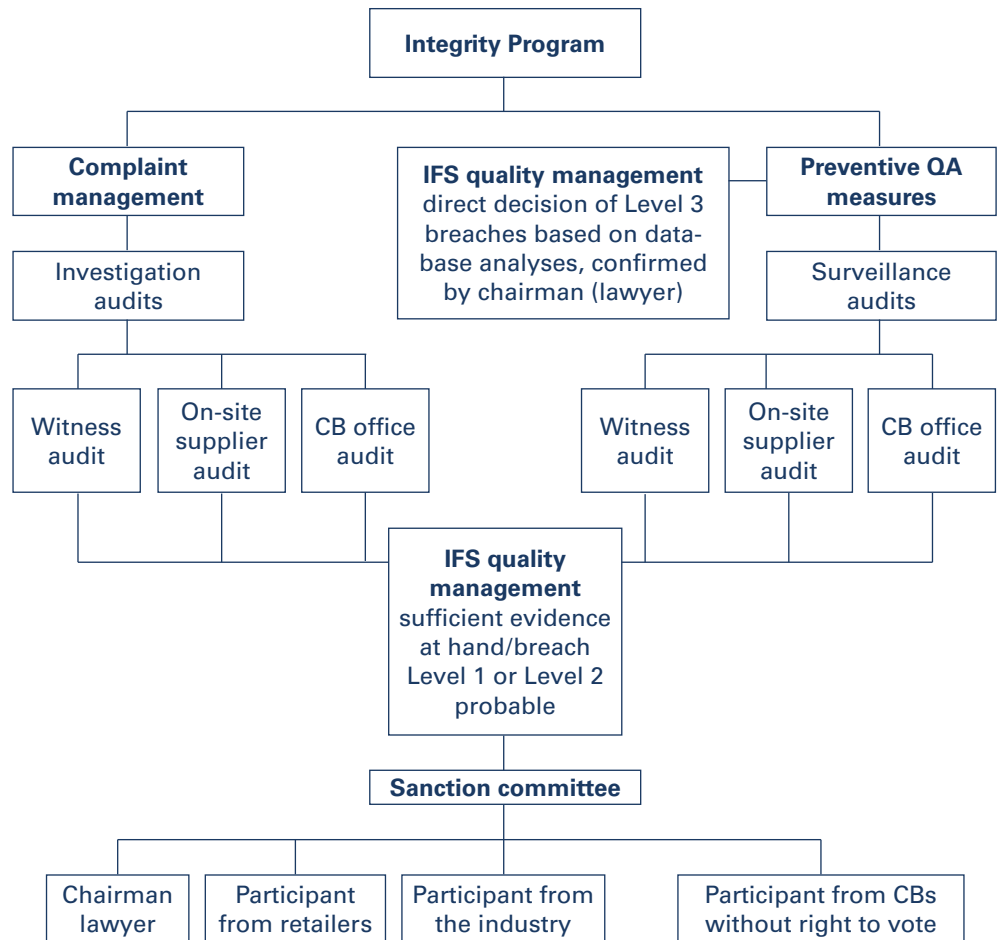
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Sanctions will be issued to the certification body and/or its auditors if the Sanction Committee concludes that a breach has been committed. The type of sanction depends on the number of breaches previously committed by the auditor and/or the certification body as well as the level of severity of such breaches. IFS Management informs the appropriate accreditation body if a breach for a certification body and/or for an auditor has been established.

All these procedures are laid down in the contract between IFS and each certification body and all stakeholders of the IFS system are informed of the process. The IFS Integrity Program strengthens the reliability of the IFS scheme by checking the implementation of the IFS Standard in practice.

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.

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

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

- IFS Logistics only concerns logistics activities where companies have a physical contact with already primary packed products (transport, packaging of pre-packed food products, storage and/or distribution, 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 activities, 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 logistics and/or transport department/activities (storage and distribution), it is included in the IFS Food under the specific sub-chapter about transport or storage.

added

Note: If the logistics 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 prepacked 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.
- 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 companies such as trade agencies, brokers or any other companies that 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 and household and personal care products.

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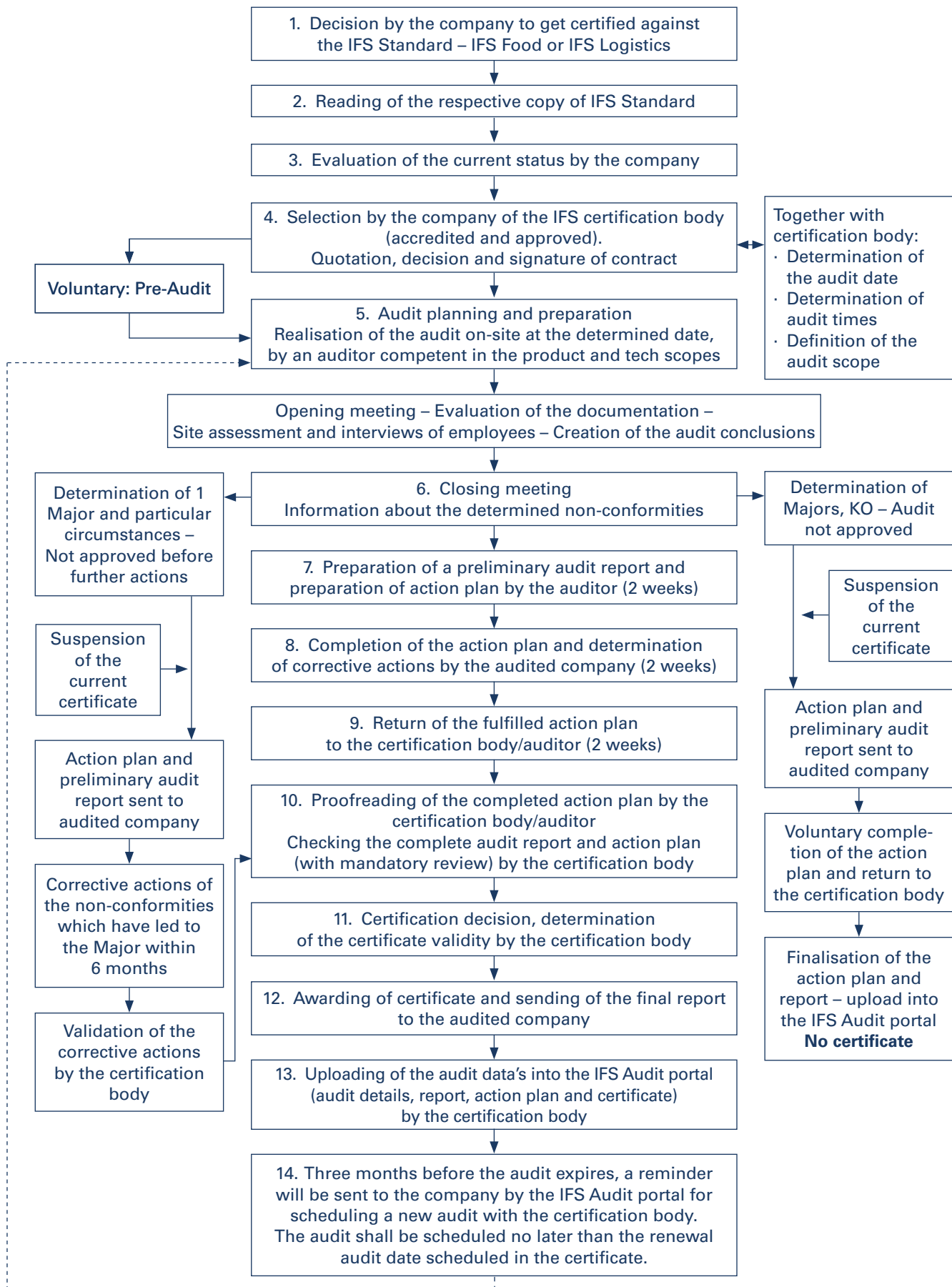
IFS PACsecure is a Standard for auditing food and non-food packaging material manufacturers and only concerns packaging processing and/or converting companies.

Matrix for the determination of the right IFS Standard

N°	Main activity of the company	International Featured Standards					
		IFS Food	IFS HPC	IFS Logistics	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 services (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		

changed

ANNEX 2: Certification process



ANNEX 3: Product scopes and technology scopes

In IFS Food version 6, all activities of the company would be an association of product scope(s) and technology scope(s).

Table 1: Product scopes

IFS Food version 6 New product scopes
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

Note: a chart with examples of products and respective locations in product scopes is available on IFS website: www.ifs-certification.com.

added |

Note: see also IFS doctrine for further explanations (section 1.15).

Table 2: Technology scopes

IFS tech scope	IFS processing step – including processing/treating/manipulation/storing	Technology oriented classification which takes also into consideration product risks
A	P1 Sterilisation (e.g. cans)	Sterilisation (in final packaging) with the purpose to destroy pathogens Sterilised (e.g. autoclaved) products in final packaging.
B	P2 Thermal pasteurisation, UHT/aseptic filling, hot filling Other pasteurisation techniques e.g. high pressure pasteurisation, microwave	Pasteurisation with the purpose to reduce food safety hazards (and UHT process)
C	P3 Irradiation of food	Processed products: Treatment with purpose to modify product and/or extend the shelf life and/or reduce food safety hazards by preservation techniques and other processing techniques Note – exception: Irradiation is attributed to this category although aimed at the destruction of microorganisms.
	P4 Preserving: Salting, marinating, sugaring, acidifying/pickling, curing, smoking, etc. Fermentation, acidification	
	P5 Evaporation/dehydration, vacuum filtration, freeze drying, microfiltration (less than 10 µ mesh size)	
D	P6 Freezing (at least –18°C/0°F) including storage Quick freezing, cooling, chilling processes and respective cool storing	Systems, treatments to maintain product integrity and or safety Treatment with purpose to maintain the quality and/or integrity of the products including treatments to remove contamination and/or prevent contamination.
	P7 Antimicrobial dipping/spraying, fumigation	
E	P8 Packing MAP, packing under vacuum	Systems, treatments to prevent product contamination Processes to prevent product contamination especially microbiological contamination, by means of high hygiene control and/or specific infrastructure during handling, treatment and/or processing and or packaging (e.g. MAP).
	P9 Processes to prevent product contamination esp. microbiological contamination, by means of high hygiene control and/or specific infrastructure during handling, treatment and/or processing e.g. clean room technology, „white room“; (controlled working room temperature for food safety purpose, disinfection after cleaning, positive air pressure systems (e.g. like filtration below 10 µ), disinfection after cleaning	
	P10 Specific separation techniques: e.g. filtration like reverse osmoses, use of active charcoal	
F	P11 Cooking, baking, bottling, filling of viscous products , brewing, fermentation (e.g. wine), drying, frying, roasting, extrusion, churning	Any other manipulation, treatment, processing not being listed in A, B, C, D, E
	P12 Coating, breading, battering, cutting, slicing, dicing, dismembering, mixing/blending, stuffing, slaughtering, sorting, manipulation, packaging Storing under controlled conditions (atmosphere) except temperature	
	P13 Distillation, purification, steaming, damping, hydrogenating, milling	

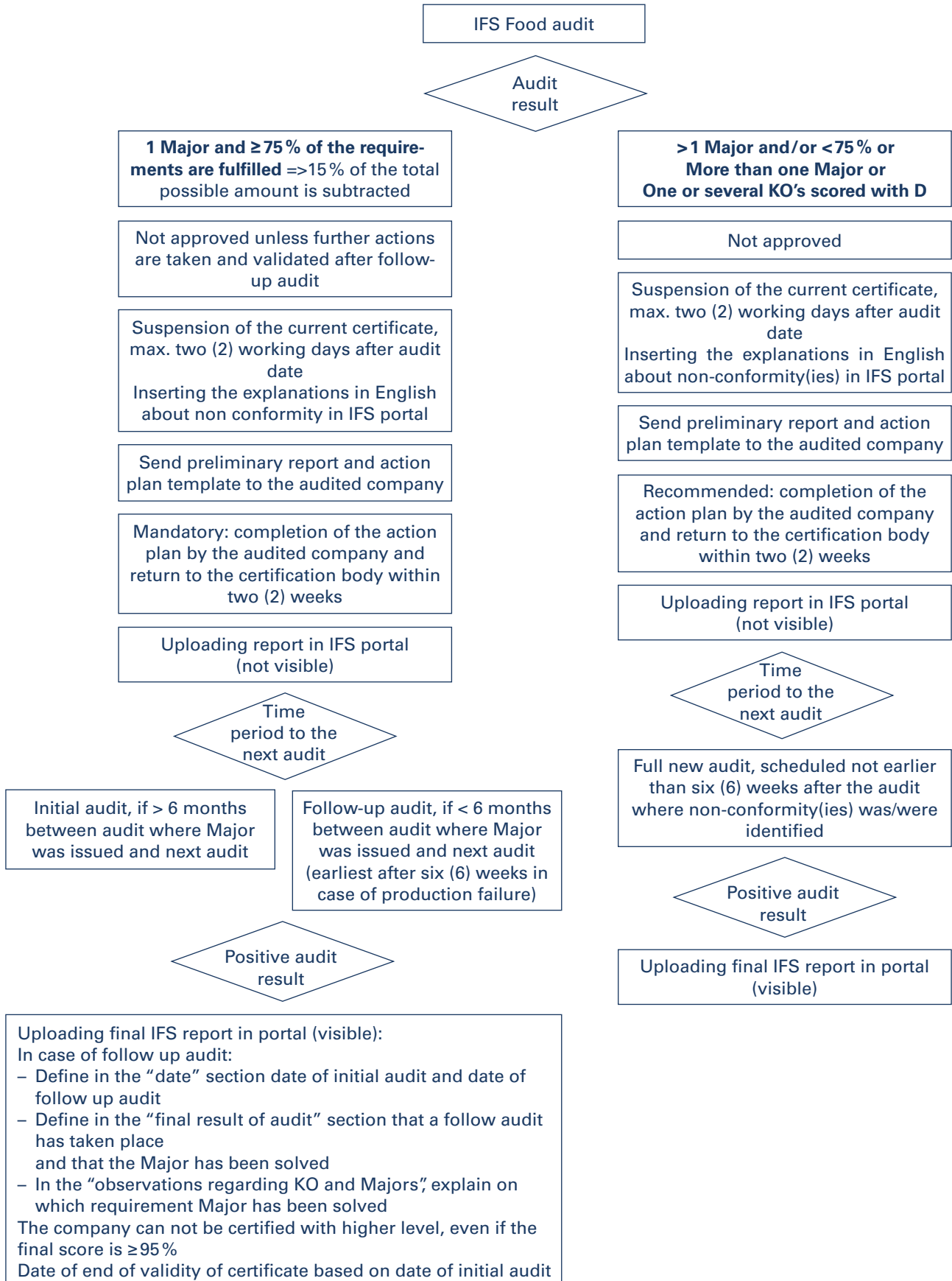
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Note: only tech scopes (from A to F) are used to determine IFS audit scope. The processing steps (from P1 to P13) are only used to determine audit durations.

ANNEX 4: Flow chart for management of KO scored with D and Major non-conformities



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 corporate policy. This shall consider as a minimum:

- customer focus
- environmental responsibility
- sustainability
- ethics and personnel responsibility
- product requirements (includes: product safety, quality, legality, process and specification).

The corporate policy shall be communicated to all employees.

1.1.2 The content of the corporate policy shall have been broken down into specific objectives for the related departments. The responsibility and the time scale for achievement shall be defined for each department of the company.

1.1.3 From the corporate policy, the quality and food safety objectives shall be communicated to the employees in the respective departments and shall be effectively implemented.

1.1.4 The senior management shall ensure that the achievement of all objectives is regularly reviewed, as a minimum at least once a year.

1.1.5 All relevant information related to food safety and quality shall be communicated effectively and in a timely manner to the relevant personnel.

1.2 Corporate structure

1.2.1 An organisation chart shall be available showing the structure of the company.

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

- 1.2.3 Job descriptions with clearly defined responsibilities shall exist and shall be applicable for employees whose work has an effect on product requirements.
- 1.2.4 **KO n° 1: The senior management shall ensure that employees are aware of their responsibilities related to food safety and quality and that mechanisms are in place to monitor the effectiveness of their operation. Such mechanisms shall be clearly identified and documented.**
- 1.2.5 Employees with influence on product requirements shall be aware of their responsibilities, and shall be able to demonstrate their understanding of their responsibilities.
- 1.2.6 The company shall have an IFS representative nominated by senior management.
- 1.2.7 The senior management shall provide sufficient and relevant resources to meet the product requirements.
- 1.2.8 The department responsible for quality and food safety management shall have a direct reporting relationship to the senior management.
- 1.2.9 The company shall ensure that all processes (documented and undocumented) are known by the relevant personnel and are applied consistently.
- 1.2.10 The company shall have a system in place to ensure that it is kept informed of all relevant legislation on food safety and quality issues, scientific and technical developments and industry codes of practice.
- 1.2.11 The company shall inform its customers, as soon as possible, of any issue related to product specification, in particular of all non-conformity(ies) identified by competent authorities related to products which could have, has or has had a defined impact on safety and/or legality of respective products. This could include, but are not limited to cautionary issues.
- 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 results of this procedure shall be evaluated and considered to determine quality and food safety objectives.

1.4 Management review

1.4.1 Senior management shall ensure that the quality and food safety management systems are reviewed at least annually or more frequently if changes occur. Such reviews shall contain, at least, results of audits, customer feedbacks, process compliance and product conformity, status of preventive and corrective actions, follow up actions from previous management reviews, changes that could affect the food safety and quality management systems and recommendations for improvement.

1.4.2 This review shall include the evaluation of measures for the control of the quality and food safety management system and for the continuous improvement process.

1.4.3 The company shall identify and review regularly (e.g. by internal audits or on-site inspection) the infrastructure needed to achieve conformity to product requirements. This shall include, as a minimum, the following:

- buildings
- supply systems
- machines and equipment
- transport.

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

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

- staff facilities
- environmental conditions
- hygienic conditions
- workplace design
- external influences (e.g. noise, vibration).

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

2 Quality and Food Safety Management System

2.1 Quality Management

2.1.1 Documentation requirements

2.1.1.1 The system for food safety and quality management shall be documented and implemented, and shall be retained in one location (food safety and quality manual or electronic documented system).

2.1.1.2 A documented procedure shall exist for the control of documents and their amendments.

2.1.1.3 All documents shall be clearly legible, unambiguous and comprehensive. They shall be available to relevant personnel at all times.

2.1.1.4 All documents which are necessary for compliance with the product requirements shall be available in their latest version.

2.1.1.5 The reason for any amendments to documents critical for the product requirements shall be recorded.

2.1.2 Record keeping

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

2.1.2.2 Records shall be legible and genuine. They shall be maintained in a way that subsequent manipulation of records is prohibited.

2.1.2.3 All records shall be kept in accordance with legal requirements and for a minimum of one year after the shelf life. For products which have no shelf life, the duration of record keeping shall be justified and this justification shall be documented.

2.1.2.4 Any amendments to records shall only be carried out by authorised persons.

2.1.2.5 Records shall be securely stored and easily accessible.

2.2 Food Safety Management

2.2.1 HACCP system

2.2.1.1 The basis of the company's food safety control system shall be a fully implemented, systematic and comprehensive HACCP system, based upon the Codex Alimentarius principles. It shall take into account any legal requirements of the production and destination countries which may go beyond such principles. The HACCP system shall be implemented at each production site.

- 2.2.1.2 The HACCP system shall cover all raw materials, products or product groups as well as every process from goods into dispatch, including product development and product packaging.
- 2.2.1.3 The company shall ensure that the HACCP system is based upon scientific literature, or technical verified specifications relating to the manufactured products and procedures. This shall be maintained in line with new technical process development.
- 2.2.1.4 HACCP system shall be reviewed and necessary changes shall be made when any modification is made in the product, process or any step.

2.2.2 HACCP team

2.2.2.1 Assemble HACCP team (CA Step 1)

The HACCP team shall be multidisciplinary and include operational staff. Personnel appointed as HACCP team members shall have specific knowledge of HACCP, product and process knowledge and the associated hazards. Where competent knowledge is not available, external expert advice shall be obtained.

2.2.2.2 Those responsible for the development and maintenance of the HACCP system shall have an internal team leader and shall have received adequate training in the application of the HACCP principles.

2.2.2.3 The HACCP team shall have strong senior management support and shall be well known and established across the whole facility.

2.2.3 HACCP analysis

2.2.3.1 Describe product (CA Step 2)

A full description of the product including all relevant information on product safety exists such as:

- composition
- physical, organoleptic, chemical and microbiological parameters
- legal requirements for the food safety of the product
- methods of treatment
- packaging
- durability (shelf life)
- conditions for storage, method of transport and distribution.

- 2.2.3.2 Identify intended use (CA Step 3)**
The intended use of the product shall be described in relation to the expected use of the product by the end consumer, taking into account vulnerable groups of consumers.
- 2.2.3.3 Construct flow diagram (CA Step 4)**
A flow diagram shall exist for each product, or product group, and for all variations of the processes and sub-processes (including rework and reprocessing). The flow diagram shall be dated, and clearly identify each CCP with the number assigned to it. In the event of any changes the flow diagram shall be updated.
- 2.2.3.4 On-site confirmation of the flow diagram (CA Step 5)**
The HACCP team shall verify the flow diagram, by on-site checks, at all operation stages. Amendments to the diagram shall be made, where appropriate.
- 2.2.3.5 Conduct a hazard analysis for each step (CA Step 6 – Principle 1)**
- 2.2.3.5.1** A hazard analysis shall be available for all physical, chemical and biological hazards, including allergens, which may reasonably be expected.
- 2.2.3.5.2** The hazard analysis shall consider the likely occurrence of hazards and severity of their adverse health effects.
- 2.2.3.6 Determine critical control points (CA Step 7 – Principle 2)**
- 2.2.3.6.1** The determination of relevant critical control points (CCP's) shall be facilitated by the application of a decision tree or other tool(s), which demonstrates a logical reasoned approach.
- 2.2.3.6.2** For all steps which are important for food safety, but which are not CCP's, the company shall implement and document control points (CP's). Appropriate control measures shall be implemented.
- 2.2.3.7 Establish critical limits for each CCP (CA Step 8 – Principle 3)**
For each CCP, the appropriate critical limits shall be defined and validated in order to clearly identify when a process is out of control.
- 2.2.3.8 Establish a monitoring system for each CCP (CA Step 9 – Principle 4)**
- 2.2.3.8.1 KO N°2: Specific monitoring procedures shall be established for each CCP to detect any loss of control at that CCP. Records of monitoring shall be maintained for a relevant period. Each defined CCP shall be under control. Monitoring and control of each CCP shall be demonstrated by records. The records shall specify the person responsible as well as the date and result of the monitoring activities.**

- 2.2.3.8.2 The operative personnel in charge of the monitoring of CCP's shall have received specific training/instruction.
- 2.2.3.8.3 Records of CCP's monitoring shall be checked.
- 2.2.3.8.4 The CP's shall be monitored and this monitoring shall be recorded.
- 2.2.3.9 **Establish corrective actions** (CA Step 10 – Principle 5)
In the event that the monitoring indicates that a particular CCP or CP is not under control, adequate corrective actions shall be taken and documented. Such corrective actions shall also take into account any non-conforming products.
- 2.2.3.10 **Establish verification procedures** (CA Step 11 – Principle 6)
Procedures of verification shall be established to confirm that the HACCP system is effective. Verification of the HACCP system shall be performed at least once a year. Examples of verification activities include:
- internal audits
 - analysis
 - sampling
 - evaluations
 - complaint by authorities and customers.
- The results of this verification shall be incorporated into the HACCP system.
- 2.2.3.11 **Establish documentation and record keeping** (CA Step 12 – Principle 7)
Documentation shall be available covering all processes, procedures, control measures and records. Documentation and record keeping shall be appropriate to the nature and size of the company.

3 Resource Management

3.1 Human resources management

- 3.1.1 All personnel performing work that affects product safety, legality and quality shall have the required competence by education, work experience and/or training, commensurate with their role, based on hazard analysis and assessment of associated risks.

3.2 Human resources

3.2.1 Personnel hygiene

3.2.1.1 There shall be documented requirements relating to personnel hygiene. These include, as a minimum, the following fields:

- protective clothing
- hand washing and disinfection
- eating and drinking
- smoking
- actions to be taken in case of cuts or skin abrasions
- fingernails, jewellery and personal belongings
- hair and beards.

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

3.2.1.2 KO N°3: The requirements for personnel hygiene shall be in place and applied by all relevant personnel, contractors and visitors.

3.2.1.3 Compliance with personnel hygiene requirements shall be checked regularly.

3.2.1.4 Visible jewellery (incl. piercing) and watches shall not be worn. Any exceptions shall have been comprehensively evaluated by hazard analysis and assessment of associated risks in relation to product and process. This shall be effectively managed.

3.2.1.5 Cuts and skin abrasions shall be covered by a coloured plaster/bandage (different from the product colour) – containing a metal strip, where appropriate – and in case of hand injuries, in addition to a plaster/bandage, a single use glove shall be worn.

3.2.2 Protective clothing for personnel, contractors and visitors

3.2.2.1 Company procedures shall exist to ensure that all personnel, contractors and visitors are aware of the rules regarding the management of wearing and changing of protective clothing in specified areas in accordance with product requirements.

3.2.2.2 In work areas where wearing headgear and/or beard snood (coverings) is required, the hair shall be covered completely, so that product contamination is prevented.

- 3.2.2.3 Clearly defined usage rules shall exist for work areas/activities where it is required to wear gloves (coloured differently from the product colour). Compliance with these rules shall be checked on a regular basis.
- 3.2.2.4 Suitable protective clothing shall be available in sufficient quantity for each employee.
- 3.2.2.5 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.
- 3.2.2.6 Guidelines shall exist for laundering of protective clothing and a procedure shall be in place for checking its cleanliness.

3.2.3 Procedures applicable to infectious diseases

- 3.2.3.1 There shall be written and communicated measures for personnel, contractors and visitors to declare any infectious disease which may have an impact on food safety. In case of declaration of infectious disease, actions shall be taken in order to minimize risk of contamination of products.

3.3 Training and instruction

- 3.3.1 The company shall implement documented training and/or instruction programs with respect to the product requirements and the training needs of the employees based on their job and shall include:
- training contents
 - training frequency
 - employee's task
 - languages
 - qualified trainer/tutor
 - evaluation methodology.
- 3.3.2 The documented training and/or instruction shall apply to all personnel, including seasonal and temporary workers and employees from external companies, employed in the respective work area. Upon employment, and before commencing work, they shall be trained in accordance with the documented training/instruction programs.

- 3.3.3 Records shall be available of all training/instruction events, stating:
- list of participants (this shall include their signature)
 - date
 - duration
 - contents of training
 - name of trainer/tutor.

There shall be a procedure or program in place to prove the effectiveness of the training and/or instruction programs.

- 3.3.4 The contents of training and/or instruction shall be reviewed and updated regularly and take into account company's specific issues, food safety, food related legal requirements and product/process modifications.

3.4 Sanitary facilities, equipment for personnel hygiene and staff facilities

- 3.4.1 The company shall provide staff facilities, which shall be proportional in size, equipped for the number of personnel and designed and operated so as to minimise food safety risks. Such facilities shall be kept in clean and good condition.
- 3.4.2 The risk of product contamination by foreign material from staff facilities shall be evaluated and minimised. Consideration shall also be given to food brought to work by personnel and personal belongings.
- 3.4.3 There shall be in place rules and facilities to ensure the correct management for personnel belongings and for food brought to work by personnel, food coming from dining room and from vending machines. The food shall only be stored and/or used in designated areas.
- 3.4.4 The company shall provide suitable changing rooms for personnel, contractors and visitors. Where necessary, outdoor clothing and protective clothing shall be stored separately.
- 3.4.5 Toilets shall not have direct access to an area where food products are handled. The toilets shall be equipped with adequate hand washing facilities. Sanitary facilities shall have adequate natural or mechanical ventilation. Mechanical airflow from a contaminated area to a clean area shall be avoided.
- 3.4.6 Adequate hand hygiene facilities shall be provided at access points to and within production areas, as well as at staff facilities. Based on hazard analysis and assessment of associated risks, further areas (e.g. packaging area) shall be similarly equipped.

- 3.4.7 Hand washing facilities shall provide as a minimum:
- running potable water at an appropriate temperature
 - liquid soap
 - appropriate equipment for hand drying.
- 3.4.8 Where highly perishable food products are handled, the following additional requirements regarding hand hygiene shall also be provided:
- hand contact-free fittings
 - hand disinfection
 - adequate hygiene equipments
 - signage highlighting hand hygiene requirements
 - waste container with hand contact-free opening.
- 3.4.9 Based on hazard analysis and assessment of associated risks, there shall be a program to control effectiveness of hand hygiene.
- 3.4.10 Changing rooms shall be situated so that they allow direct access to the areas where food products are handled. Based on hazard analysis and assessment of associated risks, exceptions shall be justified and managed.
- 3.4.11 Where the hazard analysis and assessment of associated risks show the necessity, cleaning facilities shall be available and used for boots, shoes and further protective clothing.

4 Planning and Production Process

4.1 Contract agreement

- 4.1.1 The requirements which are defined between the contract partners shall be established, agreed upon and reviewed concerning their acceptability before a supply agreement is concluded. All clauses related to quality and food safety shall be known and communicated to each relevant department.
- 4.1.2 Changes of existing contractual agreements shall be documented and communicated between the contract partners.

4.2 Specifications and formulas

4.2.1 Specifications

4.2.1.1 Specifications shall be available and in place for all finished products. They shall be up to date, unambiguous and be in compliance with legal and customer requirements.

4.2.1.2 **KO N° 4: Specifications shall be available and in place for all raw materials (raw materials/ ingredients, additives, packaging materials, rework). Specifications shall be up to date, unambiguous and be in compliance with legal requirements and, if existing, with customer requirements.**

4.2.1.3 Where required by customers, product specifications shall be formally agreed.

4.2.1.4 Specifications and/or their contents shall be provided in the relevant location and accessible to all relevant personnel.

4.2.1.5 There shall be a procedure for the creation, the modification and approval of specifications for all parts of the process, which shall include the preliminary acceptance of the customer, if specifications have been agreed with customers.

4.2.1.6 The specification control procedure shall include the update of finished product specification in case of any modification:

- of raw material
- of formula/recipe
- of process with influence on the final products
- of packaging with influence on the final products.

4.2.2 Formula/recipes

4.2.2.1 **KO N° 5: Where there are customer agreements in relation to the product formula/recipe and technological requirements, these shall be complied with.**

4.3 Product development/Product modification/ Modification of production processes

4.3.1 A procedure for product development shall be in place which incorporates the hazard analysis principles, in accordance with the HACCP system.

4.3.2 Product formulation, manufacturing processes, process parameters and the fulfilment of product requirements shall be established and shall have been assured by factory trials and product testing.

- 4.3.3 Shelf life tests or adequate processes shall be carried out and consideration given to product formulation, packaging, manufacturing and declared conditions; “Use by” or “Best before” dates shall be established accordingly.
- 4.3.4 When establishing and validating the shelf life of the product (including long shelf life product i.e. labelled with a “best before date”), the results of organoleptic tests shall also be taken into account.
- 4.3.5 Product development shall consider the results of organoleptic assessments.
- 4.3.6 A process shall be in place to ensure that labelling complies with current legislation of destination country and customer requirements.
- 4.3.7 Recommendations for preparation and/or use of the food products shall be established. Where appropriate, customer requirements shall be included.
- 4.3.8 The company shall demonstrate through studies and/or perform relevant tests in order to validate nutritional information or claims which are mentioned on labelling. This applies both for a new product and during all its period of sale.
- 4.3.9 The progress and results of product development shall be properly recorded.
- 4.3.10 The company shall ensure that in the event of changes to product formulation, including rework and packaging material, process characteristics are reviewed in order to assure that product requirements are complied with.

4.4 Purchasing

4.4.1 ~~General purchasing~~

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- 4.4.1 The company shall control purchasing processes to ensure that all externally sourced materials and services, which have an impact on food safety and quality, conform to requirements. Where a company chooses to outsource any process that may have an impact on food safety and quality, the company shall ensure control over such processes. Control of such outsourced processes shall be identified and documented within the food safety and quality management system.

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- 4.4.2 There shall be a procedure for approval and monitoring of suppliers (internal and external), outsourced production or part of it.

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- 4.4.3** The approval and monitoring procedure shall contain clear assessment criteria such as: audits, certificates of analysis, supplier reliability and complaints, as well as required performance standards.
- 4.4.4** The results of suppliers' assessments shall be reviewed regularly and this review shall be based on hazard analysis and assessment of associated risks. There shall be records of the reviews and of the actions taken as a consequence of assessment.
- 4.4.5** The purchased products shall be checked in accordance with the existing specifications **and their authenticity, based on hazard analysis and assessment of associated risks**. The schedule of these checks shall, as a minimum, take into account the following criteria; product requirements, supplier status (according to its assessment) and impact of the purchased products on the finished product. The origin shall be additionally checked, if mentioned in the specification.
- 4.4.6** The purchased services shall be checked in accordance with the existing specifications. The schedule of these checks shall at least take into account the following items: service requirements, supplier status (according to its assessment) and impact of the service on the finished product.

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~~**4.4.2 Trade of manufactured goods**~~

- ~~4.4.2.1 In case a company trades manufactured goods, it shall be ensured that a process for approving and monitoring suppliers exists and is implemented.~~
- ~~4.4.2.2 In case of traded manufactured goods, the process for approving and monitoring suppliers shall contain clear assessment criteria such as: audits, certificates of analysis, supplier reliability, complaints as well as required performance standards.~~
- ~~4.4.2.3 In case of private labels, a supplier approval system in accordance with customer requirements shall exist for pre-suppliers of finished or semi-finished products.~~

4.5 Product packaging

- 4.5.1** Based on hazard analysis, assessment of associated risks and intended use, the company shall determine the key parameters for the packaging material.
- 4.5.2** Detailed specifications shall exist for all packaging materials which comply with the current relevant legislation.

- 4.5.3 For all packaging material which could have an influence on products, certificates of conformity shall exist which comply with current legal requirements. In the event that no specific legal requirements are applicable, evidence shall be available to demonstrate that packaging material is suitable for use. This applies for packaging material which could have an influence on raw materials, semi-processed and finished products.
- 4.5.4 Based on hazard analysis and assessment of associated risks, the company shall verify the suitability of the packaging material for each relevant product (e.g. organoleptic tests, storage tests, chemical analysis, migration tests).
- 4.5.5 The company shall ensure that the packaging used corresponds to the product being packed. The use of correct packaging shall be regularly checked and checks shall be documented.
- 4.5.6 Labelling information shall be legible, indelible and shall comply with agreed customer product specifications. This shall be regularly checked and checks shall be documented.

4.6 Factory location

- 4.6.1 The company shall investigate to what extent the factory environment (e.g. ground, air) may have an adverse impact on product safety and product quality. Where it is established product safety and quality could be compromised, appropriate measures shall be established. The effectiveness of the established measures shall be periodically reviewed (examples: extremely dusty air, strong smells).

4.7 Factory Exterior

- 4.7.1 The factory exterior shall be maintained to be clean and tidy.
- 4.7.2 All external areas of the factory shall be maintained in good condition. Where natural drainage is inadequate, a suitable drainage system shall be installed.
- 4.7.3 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 food safety.

4.8 Plant layout and process flows

- 4.8.1 Plans clearly describing internal flows of finished products, packaging materials, raw materials, waste, personnel, water, etc. shall be in place. A site map covering all buildings of the facility shall be available.
- 4.8.2 The process flow, from receipt of goods to dispatch, shall be in place so that contamination of raw materials, packaging, semi-processed and finished products is avoided. The risk of cross-contamination shall be minimised through effective measures.
- 4.8.3 In case of microbiologically sensitive production areas, these shall be operated and monitored to ensure product safety is not compromised.
- 4.8.4 Laboratory facilities and in-process controls shall not affect the product safety.

4.9 Constructional requirements for production and storage areas

4.9.1 Constructional requirements

- 4.9.1.1 Rooms where food products are prepared, treated, processed and stored shall be designed and constructed so that food safety is ensured.

4.9.2 Walls

- 4.9.2.1 Walls shall be designed and constructed to prevent the accumulation of dirt, to reduce condensation and mould growth, and to facilitate cleaning.
- 4.9.2.2 The surfaces of walls shall be in a good condition and easy to clean; they shall be impervious and wear-resistant.
- 4.9.2.3 The junctions between walls, floors and ceilings shall be designed to facilitate cleaning.

4.9.3 Floors

- 4.9.3.1 Floor covering shall be designed to meet production requirements and shall be in good condition and easy to clean. Surfaces shall be impervious and wear-resistant.
- 4.9.3.2 The hygienic disposal of waste water shall be ensured. Drainage systems shall be easy to clean and designed to minimise the risk of product contamination (e.g. ingress of pests, etc.).

4.9.3.3 Water or other liquids shall reach drainage without difficulties, using appropriate measures. Puddles shall be avoided.

4.9.3.4 In food handling areas, machinery and piping shall be arranged so that waste water, if possible, goes directly into a drain.

4.9.4 Ceilings/Overheads

4.9.4.1 Ceilings (or, where no ceilings exist, the inside of roofs) and overhead fixtures (incl. piping, cableway, lamps etc.) shall be constructed to minimise the accumulation of dirt and shall not pose any risk of physical and/or microbiological contamination.

4.9.4.2 Where false ceilings are used, an access to the void shall be provided in order to facilitate cleaning, maintenance and inspections for pest control.

4.9.5 Windows and other openings

4.9.5.1 Windows and other openings shall be designed and constructed to avoid the accumulation of dirt and shall be maintained in good condition.

4.9.5.2 Where there is risk of contamination, windows and roof glazing shall remain closed and fixed during production.

4.9.5.3 Where windows and roof glazing are designed to be opened for ventilation purposes, they shall be fitted with easily removable, good condition pest screens or other measures in order to avoid any contamination.

4.9.5.4 In areas where unpackaged product is handled, windows shall be protected against breakage.

4.9.6 Doors and gates

4.9.6.1 Doors and gates shall be in good condition (e.g. no splintering parts, flaking paints or corrosion) and easy to clean.

4.9.6.2 External doors and gates shall be constructed to prevent the ingress of pests; if possible, they shall be self-closing.

4.9.7 Lighting

4.9.7.1 All working areas shall have adequate lighting.

4.9.7.2 All lighting equipment shall be protected by shatter proof covers and installed to minimise the risk of breakage.

4.9.8 Air conditioning/Ventilation

- 4.9.8.1 Adequate natural and/or artificial ventilation shall exist in all areas.
- 4.9.8.2 If ventilation equipments are installed, filters and other components which require cleaning or replacement shall be easily accessible.
- 4.9.8.3 Air conditioning equipment and artificially generated airflow shall not lead to any product safety or quality risks.
- 4.9.8.4 Dust extraction equipment shall be installed in areas where considerable amounts of dust are generated.

4.9.9 Water supply

- 4.9.9.1 Water which is used as ingredient in the production process, or for cleaning, shall be of potable quality and supplied in sufficient quantity; this also applies to steam and ice used within the production area. A supply of potable water shall be available at all times.
- 4.9.9.2 Recycled water which is used in the process shall not pose a contamination risk. The water shall comply with applicable legal requirements for potable water; records of compliance testing shall be available.
- 4.9.9.3 The quality of water, steam or ice shall be monitored following a risk based sampling plan.
- 4.9.9.4 Non-potable water shall be transported in separate, properly marked piping. Such piping shall not be connected to the drinking water system, or allow the possibility of reflux to contaminate potable water sources or the factory environment.

4.9.10 Compressed air

- 4.9.10.1 The quality of compressed air that comes in direct contact with food or primary packaging material shall be monitored based on hazard analysis and assessment of associated risks.
- 4.9.10.2 Compressed air shall not pose a risk of contamination.

4.10 Cleaning and disinfection

- 4.10.1 Based on hazard analysis and assessment of associated risks, cleaning and disinfection schedules shall be available and implemented. These shall specify:
- objectives
 - responsibilities
 - the products used and their instructions for use
 - the areas to be cleaned and/or disinfected
 - cleaning frequency
 - documentation requirements
 - hazard symbols (if necessary).
- 4.10.2 Cleaning and disinfection schedules shall be implemented and documented.
- 4.10.3 Only qualified personnel shall be allowed to undertake cleaning and disinfection. The personnel shall be trained and retrained to carry out the cleaning schedules.
- 4.10.4 The effectiveness and safety of the cleaning and disinfection measures, based on hazard analysis and assessment of associated risks, shall be verified and documented according to a sampling schedule by using appropriate procedures. Resultant corrective actions shall be documented.
- 4.10.5 Cleaning and disinfection schedules shall be reviewed and modified, if necessary, in the event of a change to product, process or cleaning equipment.
- 4.10.6 The intended use of cleaning utensils shall be clearly identified. Cleaning utensils shall be used in a way to avoid contamination.
- 4.10.7 Current material safety data sheets (MSDS) and instructions for use shall be available for chemicals and cleaning agents. Personnel responsible for cleaning shall be able to demonstrate their knowledge of such instructions, which shall be always available on site.
- 4.10.8 Cleaning chemicals shall be clearly labelled, used and stored appropriately, to avoid contamination.
- 4.10.9 Cleaning activities shall be carried out in periods of non-production. If this is not possible, these operations shall be controlled as to not affect the product.
- 4.10.10 Where a company hires a third-party service provider for cleaning and disinfection activities, all requirements specified within section 4.10 shall be clearly defined in the respective contract.

4.11 Waste disposal

- 4.11.1 A waste management procedure shall exist and shall be implemented to avoid cross contamination.
- 4.11.2 All current legal requirements for waste disposal shall be met.
- 4.11.3 Food waste and other waste shall be removed as quickly as possible from areas where food is handled. The accumulation of waste shall be avoided.
- 4.11.4 Waste collection containers shall be clearly marked, suitably designed, in good state of repair, easy to clean, and where necessary disinfected.
- 4.11.5 Waste collection rooms and containers (incl. compactors) shall be designed to be kept clean to minimise pest attraction.
- 4.11.6 Waste shall be collected in separate containers in accordance with the intended means of disposal. Such waste shall be disposed by authorised third parties only. Records of waste disposal shall be kept by the company.

4.12 Risk of foreign material, metal, broken glass and wood

- 4.12.1 **KO N° 6: Based on hazard analysis and assessment of associated risks, procedures shall be in place to avoid contamination with foreign material. Contaminated products shall be treated as non-conforming products.**
- 4.12.2 In all areas, e.g. handling of raw materials, processing, packing and storage, where hazard analysis and assessment of associated risks have identified the potential for product contamination, the use of wood shall be excluded. Where the use of wood cannot be avoided, the risk shall be controlled and the wood shall be in good order and clean.
- 4.12.3 Where metal- and/or other foreign material detectors are required, they shall be installed to ensure maximum efficiency of detection, in order to avoid subsequent contamination. Detectors shall be subjected to regular maintenance to avoid malfunction.
- 4.12.4 Potentially contaminated products shall be isolated. Access and actions for further handling or checking for these isolated products shall be carried out only by authorised personnel according to defined procedures. After this check, contaminated products shall be treated as non-conforming products.

- 4.12.5 The appropriate accuracy of detectors shall be specified. Checks of proper function of detectors shall be carried out regularly. In case of malfunction or failure of a metal and/or foreign material detector, corrective actions shall be defined, implemented and documented.
- 4.12.6 In cases where special equipment or methods are used to detect foreign material, these shall be properly validated and maintained.
- 4.12.7 In all areas, e.g. handling of raw materials, processing, packing and storage, where hazard analysis and assessment of associated risks have identified a potential product contamination, the presence of glass and brittle material shall be excluded. Where the presence of glass or brittle plastic cannot be avoided, appropriate measures shall be in place to protect against breakage.
- 4.12.8 All stationary objects made of or incorporating glass or brittle material present in areas of handling of raw materials, processing, packing and storage shall be listed in a specific register, including details of their exact location. An assessment of the condition of objects on the register shall be performed on a regular basis and recorded. Frequency of this check shall be justified by documents.
- 4.12.9 Breakages of glass and brittle material shall be recorded. Exceptions shall be justified and documented.
- 4.12.10 Procedures shall be in place describing the measures to be taken in case of breakage of glass and/or brittle material. Such measures shall include identifying the scope of goods to be isolated, specifying authorised personnel, cleaning the production environment and release of production line for continued production.
- 4.12.11 Based on hazard analysis and assessment of associated risks, preventive measures shall be in place for handling of glass packaging, glass containers or other kinds of containers in the production process (turn over, blow, rinse, etc.). After this process step there shall be no further risk of contamination.
- 4.12.12 Where visual inspection is used to detect foreign material, the employees shall be trained and operative change shall be performed at an appropriate frequency to maximise effectiveness of process.

4.13 Pest monitoring/Pest control

4.13.1 The company shall have a pest control system in place which is in compliance with local legal requirements, taking into account, as a minimum:

- the factory environment (potential pests)
- site plan with area for application (bait map)
- identification of the baits on site
- responsibilities, in-house/external
- used 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.

4.13.2 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 specified in a written contract.

4.13.3 Pest control inspections and resulting actions shall be documented. Implementation of actions shall be monitored and recorded.

4.13.4 Baits, traps and insect exterminators shall be functioning, shall be in sufficient numbers and shall be placed in an appropriate position. They shall be constructed and positioned as not to cause any contamination risk.

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

4.13.6 The effectiveness of the pest control shall be monitored with the help of regular trend analyses.

4.14 Receipt of goods and storage

4.14.1 All incoming goods, including packaging materials and labels, shall be checked for conformity against specifications and to a determined inspection plan. The inspection plan shall be risk based. Test results shall be documented.

4.14.2 The storage conditions of raw materials, semi-processed and finished products as well as packaging shall in each case correspond to product requirements (e.g. refrigeration, protective covers) and shall not be detrimental to other products.

- 4.14.3 Raw materials, packaging, semi-processed and finished products shall be stored so as to minimise the risk of cross contamination.
- 4.14.4 Appropriate storage facilities shall be available for the management and storage of working materials, process aids, and additives. The personnel responsible for the management of storage facilities shall be trained.
- 4.14.5 All products shall be clearly identified. Use of products shall be undertaken in accordance with the principles of First In/First Out and/or First Expired/First Out.
- 4.14.6 Where a company hires a third-party storage service provider, the service provider shall be subject to IFS Logistics requirements. If the third party service provider is not certified to IFS Logistics, all relevant requirements equivalent to the company's own warehousing practices shall be fulfilled and this shall be clearly defined in the respective contract.

4.15 Transport

- 4.15.1 Before loading transport vehicles, their condition (e.g. absence of strange smells, high dust load, adverse humidity, pests, mould) shall be checked and action taken, if necessary.
- 4.15.2 Procedures to prevent contamination during transport shall be implemented (food/non-food/different categories of goods).
- 4.15.3 Where goods must be transported at certain temperatures, before loading, the temperature inside the vehicle shall be checked and documented.
- 4.15.4 Where goods must be transported at certain temperatures, maintaining the adequate range of temperatures during transport shall be ensured and documented.
- 4.15.5 Adequate hygienic requirements for all transport vehicles and equipment used for loading/unloading (e.g. hoses of silo installations) shall exist. There shall be records of the measures taken.
- 4.15.6 Loading and unloading areas shall have equipment in place to protect transported products from external influences.
- 4.15.7 Where a company hires a third-party transport service provider, all the requirements specified within section 4.15 shall be clearly defined in the respective contract or the service provider shall be subject to IFS Logistics requirements.

- 4.15.8 Security of transport vehicles shall be appropriately maintained.

4.16 Maintenance and repair

- 4.16.1 An adequate system of maintenance shall be in place, maintained and documented, covering all critical equipment (incl. transport) for compliance with product requirements. This applies both for internal and external maintenance activities.
- 4.16.2 Product requirements and prevention of contamination shall be ensured during and after maintenance and repair work. Records of maintenance and repair work and of corrective actions taken shall be kept.
- 4.16.3 All materials used for maintenance and repair shall be fit for the intended use.
- 4.16.4 Failures of plant and equipment (incl. transport) covered by the maintenance system shall be documented and reviewed with a view to adapting the maintenance system.
- 4.16.5 Temporary repairs shall be carried out so that product requirements are not affected. Such work shall be documented and a short-term deadline set for eliminating the fault.
- 4.16.6 Where a company hires a third-party maintenance and repair service provider, all the company specified requirements regarding material and equipment shall be clearly defined, documented and maintained.

4.17 Equipment

- 4.17.1 Equipment shall be suitably designed and specified for the intended use. Before commissioning, it shall be verified that the product requirements are complied with.
- 4.17.2 For all equipment and tools with direct food contact, certificates of conformity shall exist which confirm compliance with current legal requirements. In case no specific legal requirements are applicable, evidence shall be available to demonstrate that all equipment and tools are suitable for use. This applies for all equipment and tools in direct contact with raw materials, semi-processed and finished products.
- 4.17.3 Equipment shall be designed and located so that cleaning and maintenance operations can be effectively performed.

- 4.17.4 The company shall ensure that all product equipment is in good condition without any negative influence on food safety.
- 4.17.5 The company shall ensure that in the event of changes to processing methods and equipment, process characteristics are reviewed in order to assure that product requirements are complied with.

4.18 Traceability (including GMOs and allergens)

- 4.18.1 KO N° 7: A traceability system shall be in place which enables the identification of product lots and their relation to batches of raw materials, packaging in direct contact with food, packaging intended or expected to be in direct contact with food. The traceability system shall incorporate all relevant receiving processing and distribution records. Traceability shall be ensured and documented until delivery to the customer.**
- 4.18.2 Downstream traceability records (from production sites to the customers) shall be available. The timeframe for producing these records for review shall be compliant with customer's requirements.
- 4.18.3 Traceability shall be in place to identify the relationship between batches of final products and their labels.
- 4.18.4 The traceability system shall be tested on a periodic basis - at least annually and each time traceability system changes. The test shall verify upstream and downstream traceability (from delivered products to raw materials, and vice versa), including quantity checking. Test results shall be recorded.
- 4.18.5 Traceability shall be ensured at all stages, including work in progress, post treatment and rework.
- 4.18.6 Labelling of semi-finished or finished product lots shall be made at the time when the goods are directly packed to ensure a clear traceability of goods. Where goods are labelled at a later time, the temporarily stored goods shall have been provided with a specific lot labelling. The shelf life (e.g. best before date) of the labelled goods shall be calculated from the original production batch.
- 4.18.7 If required by customer, identified samples representative for the manufacturing lot shall be stored appropriately and kept until expiration of the "Use by" or "Best before date" of the finished product and if necessary for a determined period beyond this date.

4.19 Genetically modified organisms (GMOs)

- 4.19.1 For products being delivered to customers and/or countries with GMO requirements, the company shall have in place systems and procedures to allow the identification of products consisting of GMOs, containing GMOs or produced from GMOs, including food ingredients, additives and flavouring(s).
- 4.19.2 Raw material specifications and delivery documents identifying products consisting of, being made from, or containing GMOs shall be available. The assurances concerning the GMO status of the raw materials shall be agreed by contract with the supplier or the relevant technical documents shall specify the GMO status. The company shall maintain a continuously updated listing of all GMO raw materials used at its premises, which also identifies all blends and formulas to which such GMO raw materials are added.
- 4.19.3 There shall be adequate procedures to ensure that where products consisting of or containing GMOs are manufactured, contamination of non-GMO products is avoided. Adequate control measures shall be in place to avoid GMO cross contamination. The effectiveness of these procedures shall be monitored by testing.
- 4.19.4 Finished products containing GMOs or labelled as not containing GMOs shall be declared in accordance with current legal requirements. Delivery documents shall include the corresponding reference to GMOs.
- 4.19.5 Customer requirements concerning the GMO status of products shall be clearly implemented by the company.

4.20 Allergens and specific conditions of production

- 4.20.1 Raw material specifications identifying allergens requiring declaration that are relevant to the country of sale of the finished product shall be available. The company shall maintain a continuously up to date listing of all raw materials containing allergens used at its premises, which also identifies all blends and formulas to which such raw materials containing allergens are added.
- 4.20.2 The manufacturing of products which contain allergens requiring declaration shall be carried out as to ensure cross contamination is minimised as far as possible.
- 4.20.3 Finished products containing allergens requiring declaration shall be declared in accordance with current legal requirements. For the adventitious or unintentional presence, the labelling of legally declared allergens and traces shall be based on hazard analysis and assessment of associated risks.

- 4.20.4 Where customers specifically require that products are “free from” certain substances or ingredients (e.g. gluten, pork, etc.), or that certain methods of treatment or production are excluded, verifiable procedures shall be in place.

5 Measurements, Analysis, Improvements

5.1 Internal audits

- 5.1.1 **KO N° 8: Effective internal audits shall be conducted according to a defined agreed audit program and shall cover at least all requirements of the IFS Standard. Scope and frequency of internal audits shall be determined by hazard analysis and assessment of associated risks. This is also applicable for off site storage locations owned or rented by the company.**
- 5.1.2 Internal audits of activities which are critical to food safety and product specifications 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 concerned department. Necessary corrective actions and a schedule for implementation shall be determined and 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 factory inspections

- 5.2.1 Factory inspections shall be planned and carried out (e.g. product control, hygiene, foreign material hazards, personnel hygiene and housekeeping). The frequency of inspections in every area (including outdoor areas) and every single activity shall be based on hazard analysis and assessment of associated risks and on the history of previous experience.

5.3 Process validation and control

- 5.3.1 The criteria for process validation and control shall be clearly defined.

- 5.3.2 In circumstances where the control of process and working environment parameters (temperature, time, pressure, chemical properties etc.) is essential to ensure the product requirements, such parameters shall be monitored and recorded continuously and/or at appropriate intervals.
- 5.3.3 All rework operations shall be validated, monitored and documented. These operations shall not affect the product requirements.
- 5.3.4 There shall be appropriate procedures for prompt notification, recording and monitoring of equipment malfunction and process deviations.
- 5.3.5 Process validation shall be performed using the collected data that is relevant for product safety and the processes. If substantial modifications occur, a revalidation shall be carried out.

5.4 Calibration, adjustment and checking of measuring and monitoring devices

- 5.4.1 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.
- 5.4.2 All measuring devices shall be checked, adjusted and calibrated, under a monitoring system, at specified intervals and in accordance with defined recognised standard/methods. The results of the checks, adjustments and calibrations shall be documented. Where necessary, corrective actions on devices and, if necessary, on process and products shall be carried out.
- 5.4.3 All measuring devices shall be used exclusively for their defined purpose. Where the results of measurements indicate a malfunction, the device in question shall be immediately repaired or replaced.
- 5.4.4 The calibration status of the measuring devices shall be clearly identified (labelling at the machine or on a list of test devices).

5.5 Quantity checking (quantity control/filling quantities)

- 5.5.1 The frequency and methodology of quantity checking shall be determined so that the legal requirements and customer specifications, or if appropriate, guidelines for nominal quantity are met.

- 5.5.2 A procedure shall exist to define compliance criteria for lot quantity checking. This procedure shall also, among others, take into consideration the tare, the density and other critical attributes.
- 5.5.3 Checks shall be implemented and recorded, according to a sampling plan which ensures a proper representation of the manufacturing lot.
- 5.5.4 Results of these checks shall be compliant with defined criteria for all products ready to be delivered.
- 5.5.5 For purchased, already pre-packed products from third parties, there shall be evidence about the compliance with the legal requirements for nominal quantity.
- 5.5.6 If applicable, all equipment used for final checking shall be legally approved.

5.6 Product analysis

- 5.6.1 There shall be procedures ensuring that all specified product requirements are met, including legal requirements and specifications. Microbiological, physical and chemical analysis required for that purpose shall be performed internally and/or subcontracted.
- 5.6.2 Analyses, which are relevant for food safety, shall preferably be performed by laboratories having appropriate accredited programs/methods (ISO 17025). If the analyses are performed by a factory internal or a laboratory not having appropriate accredited programs/methods, the results shall be verified on a regular basis by laboratories accredited on these programs/methods (ISO 17025).
- 5.6.3 Procedures shall exist which ensure the reliability of the internal analysis results on the basis of official recognised analysis methods. This shall be demonstrated by ring tests or other proficiency tests.
- 5.6.4 A test plan shall be drawn up for internal and external analysis, based on hazard analysis and assessment of associated risks, which covers raw materials, semi-processed and finished products as well as processing equipments and packaging materials, and where necessary environmental tests. The test results shall be documented.
- 5.6.5 Results of analysis shall be evaluated promptly. Appropriate corrective measures shall be introduced for any unsatisfactory results. The analytical results shall be reviewed regularly in order to identify trends. Trends indicating potential unsatisfactory results shall be taken into consideration.

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5.6.6 Where internal analysis is undertaken, qualified and trained personnel shall be in place, as well as appropriate equipment and premises.

5.6.7 For verification of finished product quality, internal organoleptic tests shall be carried out regularly. These tests shall be in accordance with specifications and related to the impact on respective parameters of product characteristic. The results of these tests shall be documented.

5.6.8 Based on **hazard analysis, assessment of associated risks and on** any internal or external information on product risks which may have an impact on food safety **and/or quality (incl. adulteration and fraud)**, the company shall update its control plan and/or take any appropriate measure to control impact on finished products.

5.7 Product quarantine (blocking/hold) and product release

5.7.1 A procedure shall be in place, based on hazard analysis and assessment of associated risks, for the quarantine (blocking/hold) and release of all raw materials, semi-processed and finished products and packaging materials. The procedure shall ensure that only products and materials conforming to product requirements are processed and dispatched.

5.8 Management of complaints from authorities and customers

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

5.8.2 All complaints shall be assessed by competent staff. Where it is justified appropriate actions shall be taken immediately, if necessary.

5.8.3 Complaints shall be analysed with a view to implementing preventive actions which avoid the recurrence of the non-conformity.

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

5.9 Management of incidents, product withdrawal, product recall

- 5.9.1 A documented procedure shall be defined for management of incidents and of potential emergency situations that impact food safety, legality and quality. This procedure shall be implemented and maintained. This includes 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, including information to consumers.
- 5.9.2 **KO N° 9: There shall be an effective procedure for the withdrawal and recall of all products, which ensures that involved customers are informed, as soon as possible. This procedure shall include a clear assignment of responsibilities.**
- 5.9.3 Updated emergency contact details (such as names and phone numbers of suppliers, customers and competent authorities) shall be available. A person of the company, who has the authority to initiate the incident management process, shall be permanently available.
- 5.9.4 The feasibility, effectiveness and timeliness of implementation of the withdrawal procedure shall be subject to regular internal testing, based on hazard analysis and assessment of associated risks but carried out at least once a year. This shall be carried out in a manner to ensure the effective implementation and operation of the procedure.

5.10 Management of non-conformities and non-conforming products

- 5.10.1 A procedure shall exist for the management of all non-conforming raw materials, semi-finished and finished products, processing equipment and packaging materials. This shall include, as a minimum:
- isolation/quarantine procedures
 - hazard analysis and assessment of associated risks
 - identification (e.g. labelling)
 - decision about the further use (e.g. release, rework/post treatment, blocking, quarantine, rejection/disposal).
- 5.10.2 The responsibilities for the management of non-conforming products shall be clearly identified. The procedure for the management of non-conforming products shall be understood by all relevant employees.

- 5.10.3 Where non-conformities are present, immediate corrections shall be taken to ensure that product requirements are complied with.
- 5.10.4 Out of specification, final packaged products or packaging materials, both related to private labels, shall not be placed in the market under the label concerned. Exceptions shall be agreed in writing with the contract partners.

5.11 Corrective actions

- 5.11.1 A procedure shall be in place for the recording and analysis of the non-conformities with the objective to avoid recurrences by preventive actions and/or corrective actions.
- 5.11.2 **KO N° 10: 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. The documentation shall be securely stored, and easily accessible.**
- 5.11.3 The performance of the implemented corrective actions shall be documented and the effectiveness shall be checked.

6 Food defense and external inspections

6.1 Defense assessment

- 6.1.1 Responsibilities for food defense shall be clearly defined. Those responsible shall be key staff or shall have access to the top management team. Sufficient knowledge in this area shall be demonstrated.
- 6.1.2 A food defense hazard analysis and assessment of associated risks shall have been performed and documented. Based on this assessment, and based on the legal requirements, areas critical to security shall be identified. Food defense hazard analysis and assessment of associated risks shall be conducted annually or upon changes that affect food 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 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 tampering and/or allow identification of signs of tampering.

6.3 Personnel and Visitor Security

- 6.3.1 Visitor policy shall contain aspects of food 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 food defense ~~on an annual basis~~ **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.

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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.

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)	<p>Food causing an adverse reaction that is mediated by an immunological response. Defined allergens are:</p> <ul style="list-style-type: none"> – 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 (<i>Amygdalus communis</i> L.), Hazelnut (<i>Corylus avellana</i>), Walnut (<i>Juglans regia</i>), Cashew (<i>Anacardium occidentale</i>), Pecan nut (<i>Carya illinoensis</i> (Wangenh.) K. Koch), Brazil nut (<i>Bertholletia excelsa</i>), Pistachio nut (<i>Pistacia vera</i>), Macadamia nut and Queensland nut (<i>Macadamia ternifolia</i>) 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 SO₂. <p>Commission Directive 2007/68 EC of 27 November 2007 amending Annex III a to Directive 2000/13/EC of the European Parliament and of the Council as regards certain food ingredients.</p>
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.
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.
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 food safety hazard or reduce it to an acceptable level.
Company	General organisation (whereas the site is a unit of the company).
Contamination	Introduction or occurrence of a contaminant in food or food environment. Contamination does include: physical, chemical, biological contamination. Contamination can also mean correlation of packages among themselves.

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Corporate	Company.
Correction	Action to eliminate a detected non-conformity or deviation.
Corrective action	Action to eliminate the cause of a detected non-conformity, deviation or other undesirable situation.
CP – Control point	Identified by the hazard analysis as essential in order to control the likelihood of introducing or proliferation of food safety hazard in the product and/or the environment. A CP can be considered as an OPRP (Operational Pre-requisite Program), as defined in ISO 22000.
Customer	A customer is a business company or person to whom products are sold either as finished product or as a semi finished part of the finished product.
Deviation	Non-compliance with a requirement but there is no impact on food 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.
End-consumer	The ultimate consumer of a foodstuff who will not use the food as part of any food business operation or activity.
Factory inspection (versus Internal audits)	Factory 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, fabrication, foreign material hazards, surrounding control etc.).
Flow diagram	A systematic representation of the sequence of steps or operations used in the production or manufacture of a particular food item.
Food defense	Food Defense is the collective term used by the US Food and Drug Administration (FDA), United States Department of Agriculture (USDA), Department of Homeland Security (DHS), etc. to encompass activities associated with protecting the nation's food supply from deliberate or intentional acts of contamination or tampering. This term encompasses other similar verbiage (i.e., bioterrorism (BT), counter-terrorism (CT), etc.). The USDA Food Safety and Inspection Service define Food Defense as "the protection of food products from intentional adulteration by biological, chemical, physical or radiological agents".
Formula	Exhaustive description of quantity and quality of raw materials to be used to process the products, as required in customer specifications. Formula can also include technological parameters and specific "know-how" on the process.
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	A system which identifies, evaluates and controls hazards which are significant for food safety.
Hazard	A biological, chemical or physical agent in, or condition of, food with the potential to cause an adverse health effect.

Hazard analysis	The process of collecting and evaluating information on hazards and conditions leading to their presence to decide which are significant for food safety and therefore should be addressed in the 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.
Integrity Program	Program implemented by IFS in order to: <ul style="list-style-type: none"> – 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.
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.
MSDS (Material 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.
Non-conformity	Non-fulfilment of a specified requirement. Non-conformity can be given in non-respect of legislation, law, food safety, internal dysfunctions and customer issues. In the IFS, defined non-conformities are Majors and KO's scored with a D.
Pasteurisation	Process applied to a product with the objective of minimising possible health hazards arising from pathogenic microorganisms associated with the product (e.g. milk, creams, ice cream, eggs, fruit juices, fermented products, soups, other beverages etc.) which is consistent with minimal chemical, physical and organoleptic changes in the product.
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	Result of a process or activities transforming inputs into outputs. Products include services.

Product development	The creation of products with new or different characteristics that offer new or additional benefits to the customer. Product development may involve modification of an existing product or its presentation, or formulation of an entirely new product that satisfies a newly defined customer who wants a market niche. In the IFS Standard, the requirements for chapter product development apply even if there is just a product modification, use of new packaging materials or modifications of production processes.
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.
Product requirements	Product requirements includes: product safety, product quality, product legality, process and specification.
Product withdrawal	Any measure aimed at preventing the distribution, display and offer of a product dangerous to the consumer.
Reviewer	<p>Person of the certification body in charge of assessing the IFS audits reports before a certification decision is made.</p> <p>The tasks of the reviewer are, at least:</p> <ul style="list-style-type: none"> – To check the overall consistency of the audit reports. – To check if the audit reports are properly completed (e.g. compulsory fields, etc.) – To check if the findings are well described and if the justifications are relevant. – To check if the corrective actions proposed by the audited company have been validated by the auditor (or by a representative of the certification body) and are relevant. <p>The review shall be documented.</p>
Risk	A function of the probability of an adverse health effect and the severity of that effect consequential to (a) hazard(s) in food.
Seasonal products	Products which are processed at a specific time in the year, or processes which are used at a specific time in the year, for getting new/different products than those processed all year long.
Senior management	Executive management.
Services	See definition of product.
Site	A unit of the company.
Sterilisation	Process applied to a product in final packaging (e.g. milk, fermented products, soups, beverages etc.) with the objective of producing commercially sterile products, with an extended (long) shelf life under ambient temperature. The main concern is inactivation of the most heat resistant pathogenic spore, namely <i>C. botulinum</i> .
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 food, feed, food-producing animal or substance intended to be, or expected to be incorporated into a food or feed, through all stages of production, processing and distribution.
Validation	Confirmation through the provision of objective evidences that the requirements for the specific intended use or application have been fulfilled.
Verification	Confirmation through the provision of objective evidences 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 before applying to IFS examinations	<p>The auditor who is witnessed shall be accompanied by an observer from the certification body during a <u>complete</u> audit in order to evaluate his/her competence. The observer shall not be part of the audit (as a team member). The observer shall fulfil the same requirements as for trainers or shall be an IFS auditor. This witness audit shall be a food safety audit and/or an audit under ISO/IEC Guide 65 (future ISO/IEC 17065 norm). Note: the witness audit can't be an IFS Food audit, as IFS Food audits can only be performed by approved auditors (having passed the examinations). On the application file of the auditor (sent afterwards to the IFS offices), the certification body shall specify the name of the company, audit date and name of the person who observed the auditor. On request, the certification body shall be able to provide minutes of the witness audit.</p>
Witness audit, to be performed every 2 years, for IFS Food approved auditors	<p>The auditor who is witnessed shall be accompanied by an observer from the certification body during a <u>complete</u> IFS audit, in order to evaluate his/her competence. The observer shall not be part of the audit (as a team member). The observer shall fulfil the same requirements as for trainers or shall be an IFS auditor. For the observer, relevant product and tech scope(s) approval, in relation to the products/processes of the audit, is not mandatory. The witness audit shall be an IFS Food, or an IFS Cash & Carry version 1 type 1 or an IFS Cash & Carry version 2 audit. The certification body shall specify the name of the observer in the participants' list of the IFS audit report and shall be able to provide, on request, minutes of this witness audit. Note 1: in case of audit team in which the team can split during the audit (as both auditors have company's product and tech scopes), it is not possible to perform a witness audit by an observer, as the auditor who is witnessed doesn't perform a complete audit. But if the team does not split, it is possible to perform a witness audit by an observer for the lead auditor, as it will be possible to witness the auditor during a complete audit. Note 2: witness audits performed by accreditation bodies are accepted as a replacement of a witness audit performed by an observer from the certification body. Note 3: witness audits performed by IFS Integrity Program during a complete IFS Food audit are also accepted.</p>

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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 v6 requirement	Compulsory remarks to be added ** to be additionally described in English, if the company profile is written in a different language from English
Company profile	First page of the audit report	<p>The auditor shall provide the following information:</p> <ul style="list-style-type: none"> – The year of construction of the plant, – The registration numbers of the company by authorities if available (e.g. in the EU, meat and dairy production sites have veterinary registration numbers) and GS1 number, if available, – The COID (IFS identification code number), in case of renewal audit, – When the last investment was made in production, product oriented investments concerning quality and safety (construction changes, machines). Specify the kind of investment made in production area, – The name and contact data (phone/fax/e-mail) of the contact person in case of emergency (e.g. withdrawal/recall), – Product groups and products per group produced in the company, – Complete view of the company's processes (please describe the several technology scopes, as defined by IFS),** – If the audited company also has trade products (already processed), specify the kinds products,** – How many employees are there, listed according to full-time and part-time workers (own employees, external companies), shift work,** – If there are seasonal breaks in production process during more than one week, please specify the time frame** – 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 process,** – The site area of the plant in square meters, – State if the company fulfils the requirements about use of IFS logo, as defined in IFS audit protocol, – 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. – If the site is certified according to other schemes, please specify the schemes' names.
Corporate structure	KO N°1: 1.2.4	Description of senior management responsibilities:
HACCP analysis	2.2.1.1	Description of HACCP plans and available flow diagrams:
HACCP analysis	2.2.2.1	Description of HACCP team (job functions):
HACCP analysis	2.2.3.7	<p>Description for all CCP's of:</p> <ul style="list-style-type: none"> – the process – the step – the CCP – the respective critical limits.

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Part of the audit report	Number of IFS v6 requirement	Compulsory remarks to be added ** to be additionally described in English, if the company profile is written in a different language from English
<i>HACCP analysis</i>	KO N° 2: 2.2.3.8.1	Description of the monitoring procedure for each CCP. As there is a possibility to score this KO as N/A, in this case, the auditor shall explain the reasons why.
<i>Specifications/ raw materials</i>	KO N° 4: 4.2.1.2	Description of name of specifications (e.g. for raw materials, ingredient, additives, packaging materials) which have been checked during the IFS audit.
<i>Specifications/ finished products</i>	4.2.1.3	The auditor shall provide the following information: – Which specifications did the auditor check? – If necessary (retail brands), have the final product specifications been agreed upon with the customers?
<i>Recipes/Formulas</i>	KO N° 5: 4.2.2.1	The auditor shall provide the following information: – How many technological requirements and/or formulas agreed between the contract partners have been checked during the IFS audit? Which kind of requirements? – If no specific technological requirements and/or formulas are agreed between the contract partners, N/A scoring is possible.
<i>Trade of manufactured goods</i>	4.4.2.1	Description of the process for approving and monitoring of suppliers of manufactured goods:
<i>Trade of manufactured goods</i>	4.4.2.2	If the food processing company also trades manufactured (already-processed) products, the following description shall be provided: – List of trade products and description of the assessment criteria:
<i>Trade of manufactured goods</i>	4.4.2.3	If there are specific customer requirements for finished/semi-finished products used in private labels, a short description on how customer requirements are approved on pre-supplier level shall be provided:
<i>Packaging material</i>	4.5.1	Description of which kind of packaging material is used for the final products.
<i>Water supply</i>	4.9.9.1	The auditor shall provide the following information: – Where the drinking water/used water is coming from (sources)? – How the drinking water/used water is checked, stating particularly whether the water is checked by the company's own laboratory or via an external laboratory? – Which analyses are performed?
<i>Risk of foreign materials</i>	KO N° 6: 4.12.1	Description. The auditor shall provide the following information: – The equipment to detect foreign materials (e.g. filters, sieves, X-ray, metal detection), – Short description of used methods, – If no foreign materials equipments are available, the used preventive measures shall be described (e.g. visual detection methods).
<i>Pest monitoring/ pest control</i>	4.13.1	The auditor shall provide the following information: – Is it an internal or external pest controller who is used? – Frequency and kinds of checks, – In case of identification of pest, what were the corrective actions?
<i>Traceability</i>	KO N° 7: 4.18.1	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 tests. The traceability test(s) shall always be based on a sample purchased from a retail outlet or at least chosen by the auditor, (e.g. in cases in which the "product" is not sold to the final consumer but to other clients like industry).

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Part of the audit report	Number of IFS v6 requirement	Compulsory remarks to be added ** to be additionally described in English, if the company profile is written in a different language from English
Traceability	4.18.4	The auditor shall provide the following information: – How many traceability tests are performed by the company itself per year? – When was the last test carried out in the company?
GMO	4.19.1	The auditor shall provide the following information: – Is the company working with products consisting of GMOs, containing GMOs or produced from GMOs? – In case of use of processing aids, carry over's, "solvents" (which are not considered as ingredients) derived from GMO's, even if the legislation does not require that it appears on the labelling of the product, the auditor shall mention the absence/presence in the process.
Allergens	4.20.1	The auditor shall provide the following information: – How the allergens are managed in the company? – Which allergens are present?
Internal audits	5.1.2	The auditor shall provide the following information: – Which activities has the company identified as critical to food safety and to product specifications?
Quantity checking	5.5.1	Description of the frequency and methodology of quantity checking.
Product analysis/ Laboratory	5.6.1	The auditor shall provide the following information: – Are analysis regarding critical controls performed in the own laboratory of the company, or are they undertaken by an external laboratory? – Which analyses are performed in the own laboratory? – Which analyses are performed by an external laboratory?
Complaints management	5.8.1	The auditor shall provide the following information: – How often complaints (linked to food safety and quality) are received? Differentiation between complaints by consumers, retailers and authorities. – Number Range or indicator of complaints raised from consumers, retailers and authorities (per million of sold units) – Number of complaints raised from authorities – Number of complaints linked to non-conforming analysis on products (number of non-conforming analysis per total number). – Range or indicator about complaints related to foreign materials found in the finished products, specifying kind of foreign materials.
Withdrawal/Recall	KO N°9: 5.9.2	The auditor shall provide the following information: – How many withdrawals and recalls have been performed since the last audit? – What were the reasons of withdrawals and recalls: specify the cause of withdrawals and the food safety issue in case of recall.
Withdrawal/recall	5.9.3	Name and phone number/e-mail-address of emergency contact person:
Food defense	6.2.1	The auditor shall provide the following information: – Which areas of the company have been identified by risk assessment as critical to security and have measures to prevent unauthorized access?

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

IFS accreditation and certification process

0 Introduction

IFS certification is a product and process 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 requirement for Accreditation Bodies accrediting conformity assessment bodies", and shall have signed the MLA (Multilateral Agreement) for Product Certification of the EA or IAF.

As soon as it will come into force, the accreditation bodies shall also fulfil the GFSI Requirements for the Application of ISO/IEC 17011:2004, which is complementary of the below requirements.

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)

In general, all accreditation body personnel engaged in IFS accreditation activity shall have sufficient knowledge of the IFS Food scheme, related normative documents and food 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 training session ("Train the Trainer" course) – organised by IFS or shall be able to demonstrate equivalent knowledge

level as confirmed by IFS. In case of a committee, the trained person provides the other members of the accreditation committee with the necessary information. This information is based on the main points of the “Train the Trainer” course with the main emphasis on Part 1 (IFS audit protocol), Part 3 (requirements for accreditation bodies, certification bodies and auditors), Part 4 (audit report, certificate) and the auditors’ approval process for IFS.

1.3 Competences of the assessor of the accreditation body

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

- accompanying IFS auditors during registered IFS audits (witness assessment),
- assessing the head office of the certification body (head office assessment) according to the ISO/IEC Guide 65 (future ISO/IEC 17065 norm) rules and IFS-specific requirements.

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In general, the assessor(s) shall meet ISO/IEC Guide 65 (future ISO/IEC 17065 norm) and IFS requirements.

Witness assessors shall, at a minimum:

- Have taken part in the IFS “Train the Trainer” course, or shall be able to demonstrate an equivalent knowledge level as confirmed by IFS,
- Have taken part in an HACCP course,
- Have a minimum of two (2) years experience in the food industry sector.

Head office assessors shall, at a minimum:

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

1.4 Frequency of the assessments of certification bodies

For initial assessment, a head office assessment (with review of at least one full certification process) and at least one witness assessment shall be performed.

The certification body is allowed to perform maximum 5 audits before getting accreditation. In this case, at least one of the audits shall be assessed by the accreditation body (witness assessment) and all audits (including at least one full certification process) shall be reviewed by the accreditation body during the initial headquarter assessment.

For renewal assessment, a head office assessment (with review of at least one full certification process) 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.

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:

- At least 10% or two (2) IFS auditor files, whichever is greater,
- At least two (2) site files or 2% of delivered audits, whichever is greater.

For consecutive witness assessments, the accreditation body shall, wherever possible, select two 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 GD 3 Cross Frontier Policy 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 audits and issuing IFS certificates. To recover accreditation after withdrawal, the same conditions as for initial assessment apply. In case of accreditation suspension, IFS and accreditation body will jointly determine requirements to remove suspension.

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 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 audits shall comply with the following rules. The prescribed tender procedure for certification bodies is supplied by IFS.

deleted | 2.1 ISO/IEC Guide 65 (future ISO/IEC 17065 norm) IFS accreditation process

deleted | The certification body shall be accredited for IFS according to ISO/IEC Guide 65 (future ISO/IEC 17065 norm) by an IAF or EA recognised accreditation body (see section 1.) Certification bodies in the process of IFS accreditation to ISO/IEC Guide 65 (future ISO/IEC 17065 norm) may organise the witness assessment(s) before having achieved accreditation status. They shall demonstrate that they are actively applying for ISO/IEC Guide 65 (future ISO/IEC 17065 norm) accreditation.

deleted | **Note:** In case of withdrawal or suspension of the ISO/IEC Guide 65 (future norm ISO/IEC 17065) accreditation of the scope of IFS 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 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

deleted | After having applied and then gained IFS accreditation to ISO/IEC Guide 65 (future 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.

2.3 Certification decision

~~The decision concerning the certification can only be made following the recommendation of a competent person or a certification committee. The person in charge of assessing the audit reports (reviewer) shall be either an approved IFS auditor, an IFS trainer or shall fulfil the following rules:~~

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- ~~– To have a food university degree and two (2) years professional experience in the food 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 safety schemes) in the last five (5) years~~
- ~~– To have participated in a hygiene training course~~
- ~~– To have participated in IFSTrain the trainer 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.

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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 an IFS auditor, an IFS trainer or an IFS reviewer.

~~According to ISO/IEC Guide 65 (future ISO/IEC 17065 norm), The final certification decision shall be made by the certification body and shall not be subcontracted.~~

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2.4 Certification bodies' responsibilities for IFS trainers and the IFS auditors (including freelancers)

Certification bodies have the following responsibilities:

- To facilitate witness audits (by accreditation bodies and/or by Integrity Program).
- To ensure that at least one member of their staff is an IFS trainer who has taken part in an 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 by an IFS 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 approved auditor or shall follow the same rules as for trainers (see section 2.5).
- 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.
- To ensure that no auditor shall perform more than three (3) consecutive IFS audits of the same ~~company~~ **production 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 an auditor is employed by only one IFS certification body for performing IFS audits and this for a period of not less than 12 months. In special cases, IFS offices shall be contacted and may allow exceptions.
- To sign an audit order for each audit, this includes a statement accepting all the above-mentioned requirements.
- To organise a 2-day training session for IFS auditors once a year for the purposes of sharing experience, calibration and updating knowledge of relevant legal requirements, etc. The trainer shall lead a part of the training course.
- To perform an on-site witness audit of an auditor during a food safety audit and/or an audit under ISO/IEC Guide 65 (~~future norm 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 auditor**.
- 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) ~~according to chapter 4.7 of ISO/IEC Guide 65 (future ISO/IEC 17065 norm)~~ on internal audits.

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- To be fully cognisant of the examination regulations provided by the IFS offices.

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

2.5 Specific requirements for IFS trainers

IFS trainers shall have the following profile:

- Fulfil requirements for IFS auditors as described in section 3.2 a), b), c) and d)
- Have audit experience to GFSI standards or other food safety schemes,
- Have knowledge of food legislation,
- Have taken part in a “Train theTrainer” 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.

In order to keep his/her knowledge of IFS up to date, each IFS trainer shall ~~take part in a 2-day IFS training seminar every two (2) years.~~ **check the IFS updated information provided by IFS.** ~~These seminars are organised by IFS and~~ **IFS updated information** shall be the basis used for in-house training to all auditors.

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2.6 “Train the Trainer” course

The “Train theTrainer” course is provided by the IFS.

When a new version of the Standard is published, the certification body’s trainer **and reviewer** shall take part in the new “Train theTrainer” course organised by IFS and carry out in-house training of all the already IFS approved auditors, before performing audits based on the new version. **The duration of this IFS in-house training course, in case a new version of the Standard is published, shall be 2 days.**

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In case of publication of new doctrines, the trainer shall train all IFS auditors before ~~the doctrine comes into force~~ **they perform any new audits.**

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3 Requirements for IFS Auditors

In general, the auditors shall meet the requirements of chapters 7.2 and 7.3.1 of ISO 19011.

During an IFS audit, auditors shall, as IFS good auditing practices, use relevant samples of products, in order to investigate on-site the auditee's production processes and documentation and to check the fulfilment of IFS 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.

3.1 Requirements before applying for the IFS examinations

Before applying for IFS examinations, auditors shall have met the following requirements:

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- They shall have signed a contract with the certification body (see topic 4.4 ~~6.1.3~~ of ~~ISO/IEC Guide 65~~, future ISO/IEC 17065 norm).
- They confirm to the certification body that, for a period of at least 12 months, they will perform IFS audits only for the respective certification body. They may, however, work for several certification bodies on other standards. In special cases, IFS should be contacted and may allow exceptions.
- They shall have participated at the IFS in-house course organised by the certification body.
- They shall have submitted all the relevant information about their competence to the certification body.
- The certification body shall have observed and confirmed the professional qualification and competence of the auditors.

3.2 General requirements for auditors when applying for IFS examinations

Candidates applying for qualification as IFS auditors shall meet the following requirements and provide evidence with the application documents. An outline CV is available from IFS.

a) Education in the food sector

- 1) **A food-related university degree** (bachelor's and/or master's degree equivalents) and **two (2) years professional experience in the food industry** in relation to food production activities (quality, production, R & D, ...).

or

- 2) If the candidate started **directly as an auditor after completing his/her food-related university degree** then the candidate shall have **five (5) years professional experience in the food processing industry**.

or

3) If the candidate has a **university degree but not a food-related one**, (bachelor's and/or master's degree equivalents) then the candidate shall have **five (5) years professional experience in the food industry** – in relation to food production activities (quality, production, R & D, ...).

or

4) **Professional education in food processing (high degree) and five (5) years professional experience in the food industry** – in relation to food production activities (quality, production, R & D, ...).

b) General audit experience

A minimum of ten (10) complete audits shall be performed by the auditor in the food processing industry during the previous two years. The audits shall have been carried out in different companies.

c) Food hygiene (including HACCP) training

Qualified training on the basis of the Codex General Principles for Food Hygiene.

d) Training in auditing techniques based on Quality Management System or Food Safety Management System

Duration: one week/40 hours or equivalent.

e) Specific and practical knowledge per product scopes and technology scopes auditors apply for (see Annex 1 for product and technology scopes)

For product scopes:

At least two (2) years professional experience in the food industry in relation to food production activities for each applied product scope.

or

At least ten (10) **performed** food safety GFSI recognised audits and/or second party audits including quality and food safety investigations with traceable origin and confirmed by the retailer or by the industry, per scope.

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Audits shall have been carried out in different companies.

Note: approvals of scopes 7 (combined products) and 11 (pet food) are connected to other scopes. Further explanations are provided in Annex 1.

For technology scopes:

At least two (2) years professional experience in the food industry in relation to food production activities for each applied technology scope.

or

At least five (5) **performed** food safety GFSI recognised audits and/or second party audits including quality and food safety investigations with traceable origin and confirmed by the retailer or by the industry, per scope.

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Audits shall have been carried out in different sites.

f) Language

If the auditor wishes to perform audits in language(s) different from his/her mother language, he/she shall be able to provide evidence for speaking fluently this/these other language(s). In this case, the IFS offices may request that he/she take an oral examination in the language concerned.

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Note: see also language requirements in IFS doctrine (section 3.3.2).

g) IFS in-house training

IFS in-house training materials shall be based on the materials provided by IFS. The auditor shall have taken part in the in-house training (covering IFS, food-related legislation, food hygiene) undertaken by an authorised IFS trainer and organised by the certification body. The minimum duration shall be two (2) days. The auditor shall be competent in the language used during the training (native language and/or languages declared by the auditor in the IFS examination application form).

Remark: For the auditors who intend to perform other IFS Standard audits see IFS respective Standard, Part 3, chapter 1.

IFS is responsible for the technical validation of the auditors' application files before they take part in IFS examinations. If the auditor's CV does not meet the above-mentioned requirements, IFS may reject the auditor's examination application. If the auditor does not show sufficient evidence for the product and/or technology scopes he/she is applying for, IFS may reject the applications for the product and/or technology scopes concerned.

All CV's content shall be confirmed by a person from the accredited certification body who shall put his/her name and position on the bottom of the CV.

Note: IFS offices have the possibility to withdraw an IFS auditor approval or not to accept him/her at the examination, if the information provided in the CV is false. This kind of breach will be also forwarded to the IFS Integrity Program.

3.3 IFS examination process

Auditors who comply with the requirements mentioned in chapters 3.1 and 3.2 can take part in an IFS written examination and, if successful, in an oral examination. If successful, the auditor is officially authorised to perform IFS audits. The auditor is registered on the audit portal, and a personal IFS auditor certificate is issued. Starting from the day of passing the oral examination, the auditor is allowed to perform IFS Food audits for the product and technology scopes he/she was authorized for by IFS offices until the end of the second calendar year. The IFS auditor certificate mentions the duration of validity, the name of the certification body, and the auditor's languages and product and technology scopes.

The auditor cannot perform IFS audits when his/her IFS auditor certificate expires. The certification body is responsible to maintain auditor's IFS approval so that there are no gaps during the auditor approval.

During the IFS certificate's period of validity, auditors shall be continuously trained – at least two (2) days once a year - by the certification body on food-related legislation, Standard requirements, audit practices, etc. This training shall be documented by the certification body.

Additionally, as mentioned in 2.4, every auditor shall be monitored by an IFS on-site witness audit at least once every two (2) years. This audit can be performed at any time during the year of end of validity of auditor's certificate.

Auditors' approval shall be re-assessed before end of validity of the auditor certificates. For the re-approval, auditors shall have performed a minimum number of ten (10) IFS **Food** audits (**5 audits per year**) (performed as lead auditor or co-auditor, but not as trainee, see also current examination regulation) and shall have participated in a calibration training course, organised by IFS, led by approved calibration trainers and with IFS training material. Subsequent to passing the initial examination, the first mandatory calibration training shall be successfully completed before the end of second calendar year following the date on which the initial examination was successfully completed. Then, the re-approval shall be managed every two (2) calendar years, based on the same rule.

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Example:

Date of initial oral examination: 25th of May 2012

Date of end of validity for IFS auditor certificate (initial approval): 31st of December 2014

Auditor shall participate in calibration training course between 1st January 2014 and 31st of December 2014.

Auditor is authorised to perform IFS audits between 25th May 2012 and date of calibration training course (if performed in 2014).

In 2014, if the auditor has performed 10 IFS **Food** audits (**5 per year**), and if he/she has participated in the calibration training course, e.g. the 8th and 9th September 2014, the new end validity date of IFS auditor certificate (re-approval) is: 31st December 2016.

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If either of these rules (a minimum number of 10 IFS **Food** audits (**5 per year**) and participation in a calibration training course in time) are not fulfilled, the auditor shall participate again in the IFS initial examination (written and oral). Further requirements for the re-approval process are laid down in the examination regulation.

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Detailed regulation for examinations and for international IFS examination schedules are provided by IFS and are available online on the audit portal within the specific area which can be accessed by certification bodies.

Note: see also requirements about re-approval process in IFS doctrine (section 3.3.3).

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3.4 Scope extension for IFS-approved auditors

Auditors may, during the validity of their IFS auditor certificate, extend their product and technology scopes.

Scope extension may not be requested in the first 12 months after the initial IFS auditor approval.

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For extension of product scope(s), they shall provide the same evidence as for the initial approval, based on new experience (new from the initial application). At least ten (10) IFS **Food** audits in the scope, as a trainee, can also be accepted as evidence. The auditor shall have participated at all steps of the audit (on-site audit, assessment and decision processes).

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For extension of tech scope(s), they shall provide the same evidence as for initial approval. **At least five (5) IFS audits in the tech scope, as a trainee, can also be accepted as evidence. The auditor shall have participated at all steps of the audit (on-site audit, assessment and decision processes). The auditors** and shall additionally pass a written examination organised by IFS offices. The auditors can only perform IFS audits according to the scopes stated by IFS.

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Note: witness audits performed as observers, during IFS Food audits, are accepted to get the scope extension approval for either product or tech scope(s).

3.5 Audit teams

3.5.1 General rules

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

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

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- An IFS audit team consists of IFS approved auditors whose profile (product scopes and tech scopes) complies with the activities of the audited factory.
- A lead auditor shall always be appointed.
- **Lead and** co-auditor(s) shall always be approved for at least one product scope ~~or~~ **and** tech 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.)
- The remaining time can be split as long as the auditor competence for product scope and the technology scope are not disconnected during the audit. No “crossing over” is allowed. This means that, if the lead or co-auditor(s) do not have, individu-

ally, all product scopes or tech scopes which are necessary for the audit, they have to audit all parts of the audit related to product or tech scope knowledge together.

Example for not allowed crossing over in case of audit time splitting:

- A company produces canned meat which requests product scope 1 (meat) and tech scopes A, D, E and F. In this case there cannot be an audit team consisting of an auditor having the product scope 1 (meat) and the tech scopes C to F (mixing, cutting, slicing, packing MAP, cooling processes, salting, fermentation) and a second auditor having the product scope 5 (fruits and vegetables) and different tech scopes including tech scope A (sterilisation).
- A company produces pasteurized pickled vegetables which requests product scope 5 (fruits and vegetables) and tech scopes B, C, D and F. In this case there cannot be an audit team consisting of an auditor having the product scope 5 (fruits and vegetables) and tech scope F (sorting) and a second auditor having the product scope 2 (fish) and tech scope B to F (cutting, “white room”, cooling and chilling processes, salting, smoking, pasteurisation).

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 respected.

Auditors without the fitting scopes are not allowed to perform the IFS audit and cannot be taken into consideration as relevant auditors (they can only take part as trainees).

3.5.2 Specific rules for audit team and auditing 3 consecutive times

For audit team, an additional rule applies as regulation for consecutive audits. As an exceptional case, (if the certification body has no other possibility to combine an audit team in year 4–6, due to missing approval for product scope or tech scope of their auditors) the following sequence of auditor planning is possible:

Year 1–3: Lead auditor A + co-auditor B

Year 4–6: Lead auditor B + co-auditor C

Year 7: Lead auditor A or C + co-auditor A or C.

ANNEX 1: Product and technology scopes for auditors

Product scopes

IFS product scopes
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

To get the approval for scope “combined products”, the auditor shall:

- have a two (2) years work experience in the scope or ten (10) food safety GFSI recognised audits and/or second party audits including quality and food safety investigations with traceable origin and confirmed by the retailer or by the industry
AND
- be approved for a minimum of one scope from number 1 to 4
AND
- additionally be approved for one scope from number of 1 to 6.

To get the approval for scope “pet food”, the auditor shall:

- have a two (2) years work experience in the scope or five (5) food safety GFSI recognised audits and/or second party audits including quality and food safety investigations with traceable origin and confirmed by the retailer or by the industry
AND
- shall be approved for product scope 1 or 2
AND
- shall have been trained on specific legislation.

Technology scopes

IFS tech scope	IFS processing step – including processing/treating/manipulation/storing	Technology oriented classification which takes also into consideration product risks
A	P1 Sterilisation (e.g. cans)	Sterilisation (in final packaging) with the purpose to destroy pathogens: Sterilised (e.g. autoclaved) products in final packaging.
B	P2 Thermal pasteurisation, UHT/aseptic filling, hot filling Other pasteurisation techniques e.g. high pressure pasteurisation, microwave	Pasteurisation with the purpose to reduce food safety hazards (and UHT process)
C	P3 Irradiation of food	Processed products: Treatment with purpose to modify product and/or extend the shelf life and/or reduce food safety hazards by preservation techniques and other processing techniques Note – exception: Irradiation is attributed to this category although aimed at the destruction of microorganisms.
	P4 Preserving: Salting, marinating, sugaring, acidifying/pickling, curing, smoking, etc. Fermentation, acidification	
	P5 Evaporation/dehydration, vacuum filtration, freeze drying, microfiltration (less than 10 µ mesh size)	
D	P6 Freezing (at least –18°C/0 °F) including storage Quick freezing, cooling, chilling processes and respective cool storing	Systems, treatments to maintain product integrity and or safety: Treatment with purpose to maintain the quality and/or integrity of the products including treatments to remove contamination and/or prevent contamination.
	P7 Antimicrobial dipping/spraying, fumigation	
E	P8 Packing MAP, packing under vacuum	Systems, treatments to prevent product contamination: Processes to prevent product contamination especially microbiological contamination, by means of high hygiene control and/or specific infrastructure during handling, treatment and/or processing and or packaging (e.g. MAP).
	P9 Processes to prevent product contamination esp. microbiological contamination, by means of high hygiene control and/or specific infrastructure during handling, treatment and/or processing e.g. clean room technology, „white room“ (controlled working room temperature for food safety purpose, disinfection after cleaning, positive air pressure systems (e.g. like filtration below 10 µ; disinfection after cleaning)	
	P10 Specific separation techniques: e.g. filtration like reverse osmoses, use of active charcoal	
F	P11 Cooking, baking, bottling, filling of viscous products , brewing, fermentation (e.g. wine), drying, frying, roasting, extrusion, churning	Any other manipulation, treatment, processing not being listed in A, B, C, D, E:
	P12 Coating, breading, battering, cutting, slicing, dicing, dismembering, mixing/blending, stuffing, slaughtering, sorting, manipulation, packaging Storing under controlled conditions (atmosphere) except temperature	
	P13 Distillation, purification, steaming, damping, hydrogenating, milling	

changed

added

added

Note: only the technology scopes (from A to F) are used for IFS auditor competences. The processing steps (from P1 to P13) are only used to calculate audit duration.

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

0 Introduction

After an IFS Food 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.

1 Reporting

1.1 Audit overview (Annex 1)

The first part of the audit report shall contain the following general information:

Audit details

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.

These first pages shall give a summary of the most important audit report items and shall include:

- name and address of the audited site
- name and address of the company (if headquarters)
- EAN. UCC Global Location Number, if available
- COID, as defined in the IFS portal
- audit date (in case of a follow up audit the date of the follow up audit shall additionally be defined)
- time of the audit

- previous audit date
- the name of the certification body and the auditor who performed the previous audit
- details of the version of the Standard
- audit scope (mandatory detailed descriptions of processes/products). The audit scope shall always be translated as well in English language
- codes/numbers of product and technology scopes
- list of key personnel present at audit
- name of the lead auditor
- if applicable additional name of the co-auditor
- if applicable name of the auditor trainee
- result of the audit (in case of a follow up audit, to specify that a follow up audit has taken place and that the Major non-conformity has been solved)
- company profile: general information about the company (number of employees, size, structure, detailed activities of the company etc.), with compulsory fields (see Annex 2, Part 2). In particular, detailed activity of the company (all processing steps, processes, if there are subcontracted activities, trade products, etc.) shall be described in order to identify all processes and processing steps related to technology scopes. Parts of the company profile have to be additionally described in English, if the company profile is written in a different language from English (see Annex 2, Part 2)
- further explanations regarding scoring and frequency
- below the company profile: name of the person in charge of assessing the report (reviewer).

1.2 Audit report (Annex 2)

The audit report itself is structured as follows:

- the result of the audit with level and percentage
- observations on KO's and Majors (in case of a follow up audit, additional explanation on which requirement the Major has been solved)
- general summary table for all chapters
- an overall summary of the audit
- a summary of all chapters
- a list of all established deviations and non-conformities for each chapter (1 to 6)

- compulsory explanations for some IFS Food requirements, even in case of A evaluation (see Annex 2 of Part 2)
- a description of follow up of corrective actions from the previous audit
- a separate list (including explanations) of all requirements evaluated with N/A (not applicable)
- a detailed audit report.

1.3 Action plan (Annex 3)

The certification body/the auditor describes and explains all established deviations and non-conformities (KO's, Majors) in each chapter in the action plan, which has a specified format shown in the annex.

1.4 Minimum requirements for IFS certificate (Annex 4)

After successful completion of the IFS Food 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 at 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 ~~(requirement mentioned in the ISO/IEC Guide 65, G.12.7);~~ 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
- if the company is a subsidiary, the name of the company's headquarters
- where applicable, the packing code and the veterinary agreement number
- audit scope (with mandatory detailed descriptions of processes/products ~~and including for instance trade products if applicable~~). The audit scope shall always be translated as well into English language
- name and number of product scope(s)
- code/number of technology scopes
- level achieved
- audit score in percentage, if required by the customer or by the audited company

deleted

deleted

changed

- date of audit (last day of audit)
- date of follow up audit if relevant
- ~~latest possible date for the next audit (renewal audit)~~
next audit to be performed within the time period
- 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 each year as described in the audit protocol, Part 1)
- 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
- IFS Food logo.

deleted

Please note: the auditXpress™ software includes a certificate format with the minimum required content, but each IFS ISO/IEC Guide 65 (future ISO/IEC 17065 norm)-accredited certification body may use its own layout, providing that it includes these minimum requirements.

2 auditXpress™ Software

In order to increase the standardisation of IFS reporting, auditXpress™ 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 audit portal
- 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).

There are 3 user groups which have access to the IFS database:

- Certification bodies
- Certified companies
- Retailers and other users.

The different groups' access rights are as follows:

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

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
- 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.

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
- get information via e-mail in case of a certificate suspension of their favourite companies.

The user manuals for the IFS Audit portal are available on the respective secured area for each user group.

Security of the database

The security system used for the database is based on international recognised and mostly used security systems. The retailer and certified companies access provide general information about all certified companies. If no further authorisation is granted by the certified companies both 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.

deleted |

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 retailers and other users/certified companies automatically receive access to the unlocked data by the certified company after the data has been unlocked. Communication to retailers and other users 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.

ANNEX 1

Cover page of the audit report

Logo of the certification body

**IFS Food
Version 6**

Final Audit Report

Audited company: "Fruit and Vegetables GmbH"

Date of audit: 02.07./03.07.2014

Name and address of certification body

Accreditation number of the certification body

First pages of the audit report

IFS Food Version 6, January 2012 April 2014 Audit Overview					
Audit details					
<i>Lead auditor:</i> Max Mustermann <i>Co-auditor:</i> Falk Lehmann <i>Trainee:</i> Mr. Example		<i>Date/time of current audit:</i> 02.07.2014 (09:00–18:00) 03.07.2014 (08:30–17:30)		<i>Date/time of previous audit:</i> 06.07.2013 (09:00–18:00) 03.07.2013 (08:30–12:30) <i>CB and auditor of previous audit:</i> TEST GmbH/Frank Test	
<i>Name and address of the company (or headquarter)</i> Fruit and Vegetables AG Example street 12345 Witzenhausen Germany			<i>Name and address of the audited site</i> Fruit and Vegetable GmbH Musterstraße 12346 Berlin Germany		
			<i>EAN Code/UCC Global Location Number</i> <i>COID</i>		
<i>Phone:</i> 0 12 34 56		<i>Fax:</i> 01 23 45 67 89		<i>Phone:</i> 0 12 34 57	
				<i>Fax:</i> 01 23 45 67 88	
Scope of audit					
Production of strawberry and raspberry puree (Mandatory translation into English of the audit scope)					
Product scope(s): 5 Technology scope(s): B, D, E, F					
Audit participants					
Name:	Position:	Opening meeting	Documentation review	Site assessment (Audit):	Closing meeting
Mr. Quality	Quality Manager	X	X	X	X
Mr. Manager	General Manager	X			X
Mr. Transport	Transport Department	X		X	X
Final Result of Audit					
As a result of the audit performed on 02.07. and 03.07.2014, "xyz" found that the processing activities of Fruit and Vegetable GmbH for the above-mentioned scope of production audit comply with the requirements set out in the IFS Food, Version 6, at Foundation Level , with a score of XX%.					Next audit in 12 months between XX.XX and XX.XX
Company profile					
(Mandatory translation into English of detailed activity of the company including all processing steps) Audit duration, as calculated by the calculation tool: Audit duration decided by the certification body (if different): Explanations of the reasons for modifying audit duration (if applicable):					
<i>Reviewer:</i>					

changed

changed

Explanations regarding the audit report

Evaluation of requirements

Result	Explanation	Points
A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
KO requirement scored with a B	Almost full compliance	15 points
C (deviation)	Small part of the requirement has been implemented	5 points
D (deviation)	Requirement has not been implemented	-20 points

Major	When there is a substantial failure to meet the requirements of the Standard, which includes food safety and/or the legal requirements of the production and destination countries. A major can also be given when the identified non-conformity can lead to a serious health hazard. A major can be given to any requirement which is not defined as KO.	15% of the possible total amount of points is subtracted
KO requirement scored with a D	The KO requirement has not been implemented	50% of the possible total amount of points is subtracted

N/A	Not applicable Requirement not applicable for a company	N/A requirements will be excluded from the final scoring
------------	--	--

Scoring and awarding of certificates

changed

Audit result	Status	Action company	Report form	Certificate
At least 1 KO scored with D	Not approved	Actions and new initial audit to be agreed upon	Report gives status	No
> 1 Major and/or total score < 75 % of the requirements are fulfilled	Not approved	Actions and new initial audit to be agreed upon	Report gives status	No
Max 1 Major and total score \geq 75 % of the requirements are fulfilled	Not approved unless further actions taken and validated after follow-up audit	Send completed action plan within 2 weeks of receiving the preliminary report. Follow-up audit max. 6 months after the audit date	Report including action plan gives status	Certificate at foundation level, if the Major non-conformity is finally solved as controlled during the follow-up audit
Total score is \geq 75 % and < 95 %	Approved at foundation IFS Food level after receipt of the action plan	Send completed action plan within 2 weeks of receiving the preliminary report.	Report including action plan gives status	Yes, certificate at foundation level, 12 months validity
Total score is \geq 95 %	Approved at higher IFS Food level after receipt of the action plan	Send completed action plan within 2 weeks of receiving the preliminary report.	Report including action plan gives status	Yes, certificate at higher level, 12 months validity

ANNEX 2

IFS Food Version 6, January 2012 April 2014 Audit Report

| changed

Result:

The processing activities of company "Fruit and Vegetable GmbH" met the requirements of the IFS Food, Version 6.

The company passed with a score of XX% at:

Foundation (Higher) level
... %

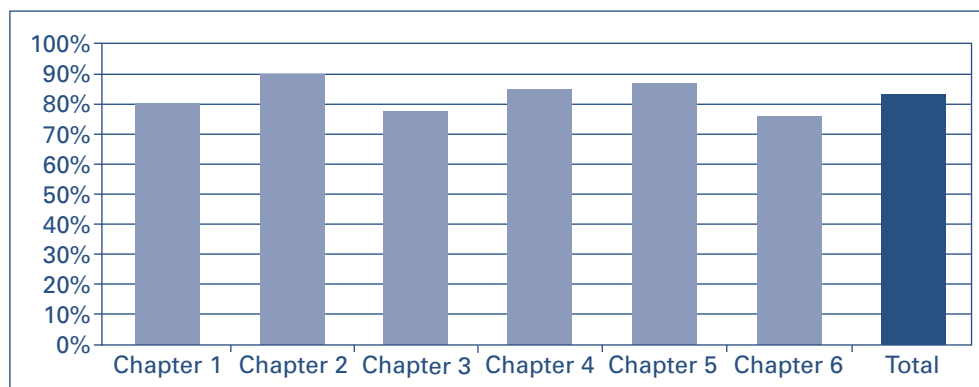
Date of renewal audit: between the XX/XX and the XX/XX.

Summary:

	Chapter 1	Chapter 2	Chapter 3	Chapter 4	Chapter 5	Chapter 6
	Senior management responsibility	Quality and Food safety management system	Resource management	Planning and production process	Measurements, analyses, improvements	Food 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

Observations regarding KO's and Majors:

General summary table for all chapters:



Overall summary of the audit:

Description of follow up of corrective actions from the previous audit:

Chapter 1: Senior management responsibility

Summary of all Chapter 1 deviations and non-conformities found:

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

Report of the N/A evaluations

N°	Reference	IFS requirements	Evaluation	Explanation
1.				

Detailed audit report

N°	Reference	IFS requirements	Evaluation	Explanation
1.				
2.				

ANNEX 3

Action plan

Name and address of the audited company

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

Requirement number	IFS requirement	Evaluation	Explanation (by the auditor)	Corrective action (by the company)	Responsibility/Date/Status of implementation (by the company)	Release by the auditor

ANNEX 4

CERTIFICATE

Herewith the certification body

Name of the certification body

being an ISO/IEC Guide 65 (future ISO/IEC 17065-norm)-accredited certification body for IFS certification and having signed an agreement with the IFS owner, confirms that the processing activities of

Name of the audited company

Address

(packing code)

(Veterinary agreement number)

COID

(Headquarter)

for the audit scope:

(detailed descriptions of processes/products plus, if relevant, trade products)

Number and name of the product scope(s)

Code number of the technology scope(s)

meet the requirements set out in the

IFS Food

Version 6, January 2012 April 2014

and other associated normative documents

at Foundation level/Higher Level

with a score of XX% (if required)

Certificate – register number: _____

Audit date: _____

(If relevant: date of follow up audit)

Date of issue of certificate: _____

Certificate valid until: _____

Next audit to be performed within the time period: _____

(specify soonest and latest audit date, according to requirements of audit protocol, Part 1)

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



Part 5: IFS Food version 6 audit protocol for unannounced audits Version 1, February 2016

| added

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 Food Standard.

This document is an additional document to the IFS Food Standard and describes the protocol to perform unannounced audits.

The rules of this document apply from 1st October 2016, meaning that any audit scheduled after this date may be performed as an unannounced audit.

0.1 Unannounced audit protocol

Prior to scheduling and performing the audit, the company shall inform its certification body about the chosen option:

- IFS Food announced audit (option “Announced”): the requirements defined in the current audit protocol of IFS Food Standard apply.
- IFS Food unannounced audit (option “Unannounced”): the information below described the requirements which will apply. This option involves a full unannounced audit against the audit checklist of the IFS Food requirements, which replaces the yearly scheduled 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 Food 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

To get registered for an unannounced audit, the company shall notify its certification body at latest 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.

Note: if the company does not inform the certification body 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 communicated by the certification body in the diary function of the IFS audit portal.

The certification body shall tick the box “Unannounced audit” in the IFS audit portal. 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 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. The audit shall be performed during consecutive days.

Example:

Initial IFS Food audit (announced): 1 November 2014

Renewal IFS Food audit 1 (announced): 25 October 2015 (between 6 September 2015 and 15 November 2015, based on audit due date: 1 November, following IFS protocol for announced audits)

Renewal IFS Food audit 2 (unannounced): between 12 July 2016 and 15 November 2016, 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 Food unannounced audit and will be processed as an announced audit.

Blackout period

When registering for an unannounced audit with its certification body, the company has the opportunity to identify maximum 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. Reasons may be challenged by the certification body or by the auditor during the audit.

Note: the company may only split the 10 operational days into a maximum of 3 periods (e.g. planned customer visit, holidays of Quality manager, etc.).

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 the current IFS Food Standard (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 production sites (e.g. purchasing, personnel management, complaint management, etc.):

- The central managing site – headquarters – shall be audited announced or unannounced. The audit shall always take place before the audit of each production site and shall be performed before the start of the unannounced audit time window of the production site audits.
- The production sites shall be audited unannounced.

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

1.4.2 Specific requirements for companies having seasonal products

If a company produce seasonal products and would like to register for an unannounced audit, the expected seasonal production dates shall be notified to the certification body (and the above described time window does not apply). For these companies, it is not allowed to provide a blackout period to the certification body: the unannounced audit may take place at any time of the seasonal production.

1.5 Audit duration

The same requirements as in the current IFS Food 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.

2 Preparation of the audit

Before being audited, the company shall review all requirements of the IFS Food 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.

If the audit is not an initial audit, and if the company has changed certification body, the company shall also inform the certification body, so that the auditor can check the corrective action plan from the previous audit (the certification body shall anticipate the report release by the company).

3 On-site audit performance

3.1 Start of the unannounced audit

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

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 certificate shall be suspended by the certification body, within a maximum of 2 working days after the audit date (notification will be received by customers having placed the company in their favorites’ list in the audit portal) and this information will be visible in the company history in the audit portal. 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 (production area). The opening meeting and documentation audit shall be undertaken later during the audit.

As for announced audits, it is not possible to include in the scope of the IFS Food certification production lines of the audited site, which are not operating during the audit, unless those production lines involve the same HACCP study, the same product and technical scopes as the lines, which are audited when operating.

If, during the unannounced audit, some lines are not operating and involve different HACCP plans, product and technical scopes, an additional audit of the lines, when operating, is mandatory. When performing the audit, two options are possible:

- If it is possible, the auditor can ask the company to run the production line(s) later during the first audit day or the following audit day(s), so that the line(s) is/are assessed later during the unannounced audit.
- If it is not possible for the company to start the production line(s) during the audit, the auditor shall come back to audit the line(s) when operating, during an extension audit (if the company wants to include these products into the audit scope and/or an exclusion is not possible). The extension audit shall be performed announced.

3.2 Evaluation of requirements

The same requirements as in the current IFS Food Standard (part 1, chapter 5.5) apply for the evaluation of requirements

4 Audit report

The same requirements as in the current IFS Food Standard (part 1, chapter 5.7) apply to the IFS audit report.

The option “Unannounced” will be clearly stated in the audit report.

5 Conditions for issuing audit report and certificate

The same requirements as in the current IFS Food Standard (part 1, chapter 5.8) apply for issuing the certificate.

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

6 Awarding the certificate

The same requirements as in the current IFS Food standard (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 Food audit (announced): 1 November 2014

Certificate valid until: 26 December 2015

Renewal IFS Food audit 1 (announced): 25 October 2015 (between 6 September 2015 and 15 November 2015, based on audit due date: 1 November)

Certificate valid until: 26 December 2016

Renewal IFS Food audit 2 (unannounced): between 12 July 2016 and 15 November 2016, based on audit due date 1 November

Certificate valid until: 26 December 2017

Note: if a company would like to include new product(s) in the scope of the certificate whereas the audit has already been performed, two options are possible:

- The company can decide to perform an announced extension audit during the on-going certification cycle
- Production of new product(s) is assessed and included in the audit scope of the renewal audit.

7 Further requirements from the current IFS Food Standard applying to the unannounced audit protocol

All requirements from the IFS Food Standard which are not detailed in the current document apply to the unannounced audit protocol. This include, among others:

- The scoring system
- The calculation of audit duration
- The possibility to perform the audit with an audit team
- The possibility to witness an auditor during the audit.

GLOSSARY

Audit time window	<p>Period of time during which the unannounced audit may be performed. The date of reference for this time window is the audit due date (date of first certification audit). Within the IFS protocol, the time window is [-16 weeks; +2 weeks] of the audit due date.</p> <p>In case where initial audit will be performed directly unannounced, there will not be a specific time window.</p>
Initial IFS Food audit	<p>The Initial IFS Food audit is considered the first audit as defined in the IFS Food 6, April 2014 Standard</p>
Blackout period	<p>Period of time that the company may notify its certification body of a period when the unannounced audit cannot take place (e.g. staff holidays, maintenance days, non-production days, etc.).</p> <p>This includes maximum 10 operational days, plus non operating periods.</p> <p>Note: the company cannot provide 10 individual days, but periods related to days when the company cannot ask the auditor to perform the audit in optimum conditions (e.g. planned customer visit, holidays of Quality manager, etc.).</p>
Non operating periods	<p>Periods when the production lines are not operating at all, e.g. planned maintenance work, bank holiday, company planned shutdown for holidays, etc.</p>
Seasonal products	<p>Products which are processed during a defined and limited period.</p>

ANNEX 1

Cover page of the audit report

Unannounced audit

Logo of the certification body

**IFS Food
Version 6**

Final Audit Report

Audited company: "Fruit and Vegetables GmbH"

Date of audit: 04./05.10.2016

Name and address of certification body

Accreditation number of the certification body

First pages of the audit report

IFS Food Version 6, April 2014 Unannounced audit overview					
<i>Audit details</i>					
<i>Lead auditor:</i> Max Mustermann <i>Co-auditor:</i> Falk Lehmann <i>Trainee:</i> Mr. Example	<i>Date/time of current audit:</i> 04. 10. 2016 (09:00–18:00) 05. 10. 2016 (08:30–17:30)	<i>Date/time of previous audit:</i> 29. 09. 2015 (08:30–12:30) 30. 09. 2015 (09:00–18:00) <i>CB and auditor of previous audit:</i> TEST GmbH/FrankTest			
<i>Name and address of the company (or headquarter)</i> Fruit and Vegetables AG Example street 12345 Witzenhausen Germany			<i>Name and address of the audited site</i> Fruit and Vegetable GmbH Musterstraße 12346 Berlin Germany		
			<i>EAN Code/UCC Global Location Number</i> <i>COID</i>		
<i>Phone:</i> 0 12 34 56	<i>Fax:</i> 01 23 45 67 89	<i>Phone:</i> 0 12 34 57	<i>Fax:</i> 01 23 45 67 88		
<i>Scope of audit</i>					
Production of strawberry and raspberry puree (Mandatory translation into English of the audit scope)					
Product scope(s): 5 Technology scope(s): B, D, E, F					
<i>Audit participants</i>					
Name:	Position:	Opening meeting	Documentation review	Site assessment (Audit):	Closing meeting
Mr. Quality	Quality Manager	X	X	X	X
Mr. Manager	General Manager	X			X
Mr. Transport	Transport Department	X		X	X
<i>Final Result of Audit</i>					
As a result of the audit performed on 04.10.2016 and 05.10.2016, "xyz" found that the processing activities of Fruit and Vegetable GmbH for the above-mentioned scope of audit comply with the requirements set out in the IFS Food, Version 6, at Foundation Level , with a score of XX%.					Next audit between XX.XX and XX.XX OR unannounced
<i>Company profile</i>					
(Mandatory translation into English of detailed activity of the company including all processing steps) Audit duration, as calculated by the calculation tool: Audit duration decided by the certification body (if different): Explanations of the reasons for modifying audit duration (if applicable):					
<i>Reviewer:</i>					

Explanations regarding the audit report

Evaluation of requirements

Result	Explanation	Points
A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
KO requirement scored with a B	Almost full compliance	15 points
C (deviation)	Small part of the requirement has been implemented	5 points
D (deviation)	Requirement has not been implemented	-20 points

Major	When there is a substantial failure to meet the requirements of the Standard, which includes food safety and/or the legal requirements of the production and destination countries. A major can also be given when the identified non-conformity can lead to a serious health hazard. A major can be given to any requirement which is not defined as KO.	15% of the possible total amount of points is subtracted
KO requirement scored with a D	The KO requirement has not been implemented	50% of the possible total amount of points is subtracted

N/A	Not applicable Requirement not applicable for a company	N/A requirements will be excluded from the final scoring
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Scoring and awarding of certificates

Audit result	Status	Action company	Report form	Certificate
At least 1 KO scored with D	Not approved	Actions and new initial audit to be agreed upon	Report gives status	No
> 1 Major and/or total score < 75%	Not approved	Actions and new initial audit to be agreed upon	Report gives status	No
Max 1 Major and total score ≥ 75%	Not approved unless further actions taken and validated after follow-up audit	Send completed action plan within 2 weeks of receiving the preliminary report. Follow-up audit max. 6 months after the audit date	Report including action plan gives status	Certificate at foundation level, if the Major non-conformity is finally solved as controlled during the follow-up audit
Total score is ≥ 75% and < 95%	Approved at foundation IFS Food level after receipt of the action plan	Send completed action plan within 2 weeks of receiving the preliminary report.	Report including action plan gives status	Yes, certificate at foundation level, 12 months validity
Total score is ≥ 95%	Approved at higher IFS Food level after receipt of the action plan	Send completed action plan within 2 weeks of receiving the preliminary report.	Report including action plan gives status	Yes, certificate at higher level, 12 months validity

ANNEX 2

IFS Food Version 6, April 2014

Unannounced audit report

Result:

The processing activities of company "Fruit and Vegetable GmbH" met the requirements of the IFS Food, Version 6.

The company passed with a score of XX% at:

Foundation (Higher) level
... %

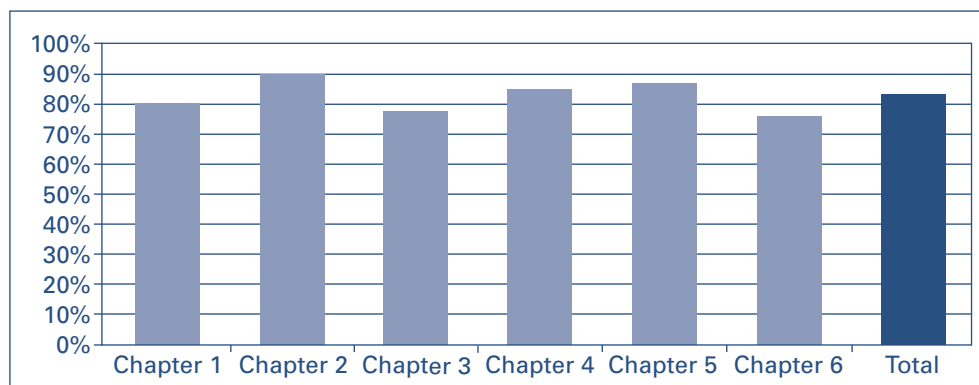
Date of renewal audit: between the XX/XX and the XX/XX or unannounced audit.

Summary:

	Chapter 1	Chapter 2	Chapter 3	Chapter 4	Chapter 5	Chapter 6
	Senior management responsibility	Quality and Food safety management system	Resource management	Planning and production process	Measurements, analyses, improvements	Food 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

Observations regarding KO's and Majors:

General summary table for all chapters:



Overall summary of the audit:

Description of follow up of corrective actions from the previous audit:

Chapter 1: Senior management responsibility

Summary of all Chapter 1 deviations and non-conformities found:

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

Report of the N/A evaluations

N°	Reference	IFS requirements	Evaluation	Explanation
1.				

Detailed audit report

N°	Reference	IFS requirements	Evaluation	Explanation
1.				
2.				

ANNEX 3

Unannounced audit

Action plan

Name and address of the audited company

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

Requirement number	IFS requirement	Evaluation	Explanation (by the auditor)	Corrective action (by the company)	Responsibility/Date/Status of implementation (by the company)	Release by the auditor

ANNEX 4

UNANNOUNCED AUDIT

CERTIFICATE

Herewith the certification body

Name of the certification body

being an accredited certification body for IFS certification and having signed an agreement with the IFS owner, confirms that the processing activities of

Name of the audited company

Address

(packing code)

(Veterinary agreement number)

COID

(Headquarter)

for the audit scope:

(detailed descriptions of processes/products)

Number and name of the product scope(s)

Code number of the technology scope(s)

meet the requirements set out in the

IFS Food

Version 6, April 2014

and other associated normative documents

at Foundation level/Higher Level

with a score of XX% (if required)

Certificate – register number: _____

Audit date: _____

(If relevant: date of follow up audit)

Date of issue of certificate: _____

Certificate valid until: _____

Next audit to be performed: _____

(specify if unannounced or announced, according to requirements of related audit protocol)

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



ANNEX: List of audit requirements

Number	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 corporate policy. This shall consider as a minimum: <ul style="list-style-type: none"> – customer focus – environmental responsibility – sustainability – ethics and personnel responsibility – product requirements (includes: product safety, quality, legality, process and specification). The corporate policy shall be communicated to all employees.						
1.1.2	The content of the corporate policy shall have been broken down into specific objectives for the related departments. The responsibility and the time scale for achievement shall be defined for each department of the company.						
1.1.3	From the corporate policy, the quality and food safety objectives shall be communicated to the employees in the respective departments and shall be effectively implemented.						
1.1.4	The senior management shall ensure that the achievement of all objectives is regularly reviewed, as a minimum at least once a year.						
1.1.5	All relevant information related to food safety and quality shall be communicated effectively and in a timely manner to the relevant personnel.						
1.2	Corporate structure						
1.2.1	An organisation chart shall be available showing the structure of the company.						
1.2.2	Competences and responsibilities, including deputation of responsibility shall be clearly laid down.						
1.2.3	Job descriptions with clearly defined responsibilities shall exist and shall be applicable for employees whose work has an effect on product requirements.						
1.2.4 KO	KO N° 1: The senior management shall ensure that employees are aware of their responsibilities related to food safety and quality and that mechanisms are in place to monitor the effectiveness of their operation. Such mechanisms shall be clearly identified and documented.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
1.2.5	Employees with influence on product requirements shall be aware of their responsibilities, and shall be able to demonstrate their understanding of their responsibilities.						
1.2.6	The company shall have an IFS representative nominated by senior management.						
1.2.7	The senior management shall provide sufficient and relevant resources to meet the product requirements.						
1.2.8	The department responsible for quality and food safety management shall have a direct reporting relationship to the senior management.						
1.2.9	The company shall ensure that all processes (documented and undocumented) are known by the relevant personnel and are applied consistently.						
1.2.10	The company shall have a system in place to ensure that it is kept informed of all relevant legislation on food safety and quality issues, scientific and technical developments and industry codes of practice.						
1.2.11	The company shall inform its customers, as soon as possible, of any issue related to product specification, in particular of all non-conformity(ies) identified by competent authorities related to products which could have, has or has had a defined impact on safety and/or legality of respective products. This could include, but are not limited to cautionary issues.						
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 results of this procedure shall be evaluated and considered to determine quality and food safety objectives.						
1.4	Management review						
1.4.1	Senior management shall ensure that the quality and food safety management systems are reviewed at least annually or more frequently if changes occur. Such reviews shall contain, at least, results of audits, customer feedbacks, process compliance and product conformity, status of preventive and corrective actions, follow up actions from previous management reviews, changes that could affect the food safety and quality management systems and recommendations for improvement.						
1.4.2	This review shall include the evaluation of measures for the control of the quality and food safety management system and for the continuous improvement process.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
1.4.3	The company shall identify and review regularly (e.g. by internal audits or on-site inspection) the infrastructure needed to achieve conformity to product requirements. This shall include, as a minimum, the following: <ul style="list-style-type: none"> – buildings – supply systems – machines and equipment – transport. The results of the review shall be considered, with due consideration to risk, for investment planning.						
1.4.4	The company shall identify and review regularly (e.g. by internal audits or on-site inspection) the work environment needed to achieve conformity to product requirements. This shall include, as a minimum the following: <ul style="list-style-type: none"> – staff facilities – environmental conditions – hygienic conditions – workplace design – external influences (e.g. noise, vibration). The results of the review shall be considered, with due consideration to risk for investment planning.						
2	Quality and Food Safety Management System						
2.1	Quality Management						
2.1.1	Documentation requirements						
2.1.1.1	The system for food safety and quality management shall be documented and implemented, and shall be retained in one location (food safety and quality manual or electronic documented system).						
2.1.1.2	A documented procedure shall exist for the control of documents and their amendments.						
2.1.1.3	All documents shall be clearly legible, unambiguous and comprehensive. They shall be available to relevant personnel at all times.						
2.1.1.4	All documents which are necessary for compliance with the product requirements shall be available in their latest version.						
2.1.1.5	The reason for any amendments to documents critical for the product requirements shall be recorded.						
2.1.2	Record keeping						
2.1.2.1	All relevant records necessary for the product requirements shall be complete, detailed and maintained and shall be available on request.						
2.1.2.2	Records shall be legible and genuine. They shall be maintained in a way that subsequent manipulation of records is prohibited.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.1.2.3	All records shall be kept in accordance with legal requirements and for a minimum of one year after the shelf life. For products which have no shelf life, the duration of record keeping shall be justified and this justification shall be documented.						
2.1.2.4	Any amendments to records shall only be carried out by authorised persons.						
2.1.2.5	Records shall be securely stored and easily accessible.						
2.2	Food Safety Management						
2.2.1	HACCP system						
2.2.1.1	The basis of the company's food safety control system shall be a fully implemented, systematic and comprehensive HACCP system, based upon the Codex Alimentarius principles. It shall take into account any legal requirements of the production and destination countries which may go beyond such principles. The HACCP system shall be implemented at each production site.						
2.2.1.2	The HACCP system shall cover all raw materials, products or product groups as well as every process from goods into dispatch, including product development and product packaging.						
2.2.1.3	The company shall ensure that the HACCP system is based upon scientific literature, or technical verified specifications relating to the manufactured products and procedures. This shall be maintained in line with new technical process development.						
2.2.1.4	HACCP system shall be reviewed and necessary changes shall be made when any modification is made in the product, process or any step.						
2.2.2	HACCP team						
2.2.2.1	Assemble HACCP team (CA Step 1) The HACCP team shall be multidisciplinary and include operational staff. Personnel appointed as HACCP team members shall have specific knowledge of HACCP, product and process knowledge and the associated hazards. Where competent knowledge is not available, external expert advice shall be obtained.						
2.2.2.2	Those responsible for the development and maintenance of the HACCP system shall have an internal team leader and shall have received adequate training in the application of the HACCP principles.						
2.2.2.3	The HACCP team shall have strong senior management support and shall be well known and established across the whole facility.						
2.2.3	HACCP analysis						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.2.3.1	Describe product (CA Step 2) A full description of the product including all relevant information on product safety exists such as: – composition – physical, organoleptic, chemical and microbiological parameters – legal requirements for the food safety of the product – methods of treatment – packaging – durability (shelf life) – conditions for storage, method of transport and distribution.						
2.2.3.2	Identify intended use (CA Step 3) The intended use of the product shall be described in relation to the expected use of the product by the end consumer, taking into account vulnerable groups of consumers.						
2.2.3.3	Construct flow diagram (CA Step 4) A flow diagram shall exist for each product, or product group, and for all variations of the processes and sub-processes (including rework and reprocessing). The flow diagram shall be dated, and clearly identify each CCP with the number assigned to it. In the event of any changes the flow diagram shall be updated.						
2.2.3.4	On-site confirmation of the flow diagram (CA Step 5) The HACCP team shall verify the flow diagram, by on-site checks, at all operation stages. Amendments to the diagram shall be made, where appropriate.						
2.2.3.5	Conduct a hazard analysis for each step (CA Step 6 – Principle 1)						
2.2.3.5.1	A hazard analysis shall be available for all physical, chemical and biological hazards, including allergens, which may reasonably be expected.						
2.2.3.5.2	The hazard analysis shall consider the likely occurrence of hazards and severity of their adverse health effects.						
2.2.3.6	Determine critical control points (CA Step 7 – Principle 2)						
2.2.3.6.1	The determination of relevant critical control points (CCP's) shall be facilitated by the application of a decision tree or other tool(s), which demonstrates a logical reasoned approach.						
2.2.3.6.2	For all steps which are important for food safety, but which are not CCP's, the company shall implement and document control points (CP's). Appropriate control measures shall be implemented.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.2.3.7	Establish critical limits for each CCP (CA Step 8 – Principle 3) For each CCP, the appropriate critical limits shall be defined and validated in order to clearly identify when a process is out of control.						
2.2.3.8	Establish a monitoring system for each CCP (CA Step 9 – Principle 4)						
2.2.3.8.1 KO	KO N°2: Specific monitoring procedures shall be established for each CCP to detect any loss of control at that CCP. Records of monitoring shall be maintained for a relevant period. Each defined CCP shall be under control. Monitoring and control of each CCP shall be demonstrated by records. The records shall specify the person responsible as well as the date and result of the monitoring activities.						
2.2.3.8.2	The operative personnel in charge of the monitoring of CCP's shall have received specific training/instruction.						
2.2.3.8.3	Records of CCP's monitoring shall be checked.						
2.2.3.8.4	The CP's shall be monitored and this monitoring shall be recorded.						
2.2.3.9	Establish corrective actions (CA Step 10 – Principle 5) In the event that the monitoring indicates that a particular CCP or CP is not under control, adequate corrective actions shall be taken and documented. Such corrective actions shall also take into account any non-conforming products.						
2.2.3.10	Establish verification procedures (CA Step 11 – Principle 6) Procedures of verification shall be established to confirm that the HACCP system is effective. Verification of the HACCP system shall be performed at least once a year. Examples of verification activities include: – internal audits – analysis – sampling – evaluations – complaint by authorities and customers. The results of this verification shall be incorporated into the HACCP system.						
2.2.3.11	Establish documentation and record keeping (CA Step 12 – Principle 7) Documentation shall be available covering all processes, procedures, control measures and records. Documentation and record keeping shall be appropriate to the nature and size of the company.						
3	Resource Management						
3.1	Human resources management						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
3.1.1	All personnel performing work that affects product safety, legality and quality shall have the required competence by education, work experience and/or training, commensurate with their role, based on hazard analysis and assessment of associated risks.						
3.2	Human resources						
3.2.1	Personnel hygiene						
3.2.1.1	There shall be documented requirements relating to personnel hygiene. These include, as a minimum, the following fields: <ul style="list-style-type: none"> – protective clothing – hand washing and disinfection – eating and drinking – smoking – actions to be taken in case of cuts or skin abrasions – fingernails, jewellery and personal belongings – hair and beards. The requirements shall be based on hazard analysis and assessment of associated risks in relation to product and process.						
3.2.1.2 KO	KO N°3: The requirements for personnel hygiene shall be in place and applied by all relevant personnel, contractors and visitors.						
3.2.1.3	Compliance with personnel hygiene requirements shall be checked regularly.						
3.2.1.4	Visible jewellery (incl. piercing) and watches shall not be worn. Any exceptions shall have been comprehensively evaluated by hazard analysis and assessment of associated risks in relation to product and process. This shall be effectively managed.						
3.2.1.5	Cuts and skin abrasions shall be covered by a coloured plaster/bandage (different from the product colour) – containing a metal strip, where appropriate – and in case of hand injuries, in addition to a plaster/bandage, a single use glove shall be worn.						
3.2.2	Protective clothing for personnel, contractors and visitors						
3.2.2.1	Company procedures shall exist to ensure that all personnel, contractors and visitors are aware of the rules regarding the management of wearing and changing of protective clothing in specified areas in accordance with product requirements.						
3.2.2.2	In work areas where wearing headgear and/or beard snood (coverings) is required, the hair shall be covered completely, so that product contamination is prevented.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
3.2.2.3	Clearly defined usage rules shall exist for work areas/activities where it is required to wear gloves (coloured differently from the product colour). Compliance with these rules shall be checked on a regular basis.						
3.2.2.4	Suitable protective clothing shall be available in sufficient quantity for each employee.						
3.2.2.5	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.						
3.2.2.6	Guidelines shall exist for laundering of protective clothing and a procedure shall be in place for checking its cleanliness.						
3.2.3	Procedures applicable to infectious diseases						
3.2.3.1	There shall be written and communicated measures for personnel, contractors and visitors to declare any infectious disease which may have an impact on food safety. In case of declaration of infectious disease, actions shall be taken in order to minimize risk of contamination of products.						
3.3	Training and instruction						
3.3.1	The company shall implement documented training and/or instruction programs with respect to the product requirements and the training needs of the employees based on their job and shall include: <ul style="list-style-type: none"> – training contents – training frequency – employee’s task – languages – qualified trainer/tutor – evaluation methodology. 						
3.3.2	The documented training and/or instruction shall apply to all personnel, including seasonal and temporary workers and employees from external companies, employed in the respective work area. Upon employment, and before commencing work, they shall be trained in accordance with the documented training/instruction programs.						
3.3.3	Records shall be available of all training/instruction events, stating: <ul style="list-style-type: none"> – list of participants (this shall include their signature) – date – duration – contents of training – name of trainer/tutor. There shall be a procedure or program in place to prove the effectiveness of the training and/or instruction programs.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
3.3.4	The contents of training and/or instruction shall be reviewed and updated regularly and take into account company's specific issues, food safety, food related legal requirements and product/process modifications.						
3.4	Sanitary facilities, equipment for personnel hygiene and staff facilities						
3.4.1	The company shall provide staff facilities, which shall be proportional in size, equipped for the number of personnel and designed and operated so as to minimise food safety risks. Such facilities shall be kept in clean and good condition.						
3.4.2	The risk of product contamination by foreign material from staff facilities shall be evaluated and minimised. Consideration shall also be given to food brought to work by personnel and personal belongings.						
3.4.3	There shall be in place rules and facilities to ensure the correct management for personnel belongings and for food brought to work by personnel, food coming from dining room and from vending machines. The food shall only be stored and/or used in designated areas.						
3.4.4	The company shall provide suitable changing rooms for personnel, contractors and visitors. Where necessary, outdoor clothing and protective clothing shall be stored separately.						
3.4.5	Toilets shall not have direct access to an area where food products are handled. The toilets shall be equipped with adequate hand washing facilities. Sanitary facilities shall have adequate natural or mechanical ventilation. Mechanical airflow from a contaminated area to a clean area shall be avoided.						
3.4.6	Adequate hand hygiene facilities shall be provided at access points to and within production areas, as well as at staff facilities. Based on hazard analysis and assessment of associated risks, further areas (e.g. packaging area) shall be similarly equipped.						
3.4.7	Hand washing facilities shall provide as a minimum: <ul style="list-style-type: none"> – running potable water at an appropriate temperature – liquid soap – appropriate equipment for hand drying. 						
3.4.8	Where highly perishable food products are handled, the following additional requirements regarding hand hygiene shall also be provided: <ul style="list-style-type: none"> – hand contact-free fittings – hand disinfection – adequate hygiene equipments – signage highlighting hand hygiene requirements – waste container with hand contact-free opening. 						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
3.4.9	Based on hazard analysis and assessment of associated risks, there shall be a program to control effectiveness of hand hygiene.						
3.4.10	Changing rooms shall be situated so that they allow direct access to the areas where food products are handled. Based on hazard analysis and assessment of associated risks, exceptions shall be justified and managed.						
3.4.11	Where the hazard analysis and assessment of associated risks show the necessity, cleaning facilities shall be available and used for boots, shoes and further protective clothing.						
4	Planning and Production Process						
4.1	Contract agreement						
4.1.1	The requirements which are defined between the contract partners shall be established, agreed upon and reviewed concerning their acceptability before a supply agreement is concluded. All clauses related to quality and food safety shall be known and communicated to each relevant department.						
4.1.2	Changes of existing contractual agreements shall be documented and communicated between the contract partners.						
4.2	Specifications and formulas						
4.2.1	Specifications						
4.2.1.1	Specifications shall be available and in place for all finished products. They shall be up to date, unambiguous and be in compliance with legal and customer requirements.						
4.2.1.2 KO	KO N° 4: Specifications shall be available and in place for all raw materials (raw materials/ ingredients, additives, packaging materials, rework). Specifications shall be up to date, unambiguous and be in compliance with legal requirements and, if existing, with customer requirements.						
4.2.1.3	Where required by customers, product specifications shall be formally agreed.						
4.2.1.4	Specifications and/or their contents shall be provided in the relevant location and accessible to all relevant personnel.						
4.2.1.5	There shall be a procedure for the creation, the modification and approval of specifications for all parts of the process, which shall include the preliminary acceptance of the customer, if specifications have been agreed with customers.						
4.2.1.6	The specification control procedure shall include the update of finished product specification in case of any modification: <ul style="list-style-type: none"> – of raw material – of formula/recipe – of process with influence on the final products – of packaging with influence on the final products. 						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.2.2	Formula/recipes						
4.2.2.1 KO	KO N°5: Where there are customer agreements in relation to the product formula/recipe and technological requirements, these shall be complied with.						
4.3.	Product development/Product modification/Modification of production processes						
4.3.1	A procedure for product development shall be in place which incorporates the hazard analysis principles, in accordance with the HACCP system.						
4.3.2	Product formulation, manufacturing processes, process parameters and the fulfilment of product requirements shall be established and shall have been assured by factory trials and product testing.						
4.3.3	Shelf life tests or adequate processes shall be carried out and consideration given to product formulation, packaging, manufacturing and declared conditions; "Use by" or "Best before" dates shall be established accordingly.						
4.3.4	When establishing and validating the shelf life of the product (including long shelf life product i.e. labelled with a "best before date"), the results of organoleptic tests shall also be taken into account.						
4.3.5	Product development shall consider the results of organoleptic assessments.						
4.3.6	A process shall be in place to ensure that labelling complies with current legislation of destination country and customer requirements.						
4.3.7	Recommendations for preparation and/or use of the food products shall be established. Where appropriate, customer requirements shall be included.						
4.3.8	The company shall demonstrate through studies and/or perform relevant tests in order to validate nutritional information or claims which are mentioned on labelling. This applies both for a new product and during all its period of sale.						
4.3.9	The progress and results of product development shall be properly recorded.						
4.3.10	The company shall ensure that in the event of changes to product formulation, including rework and packaging material, process characteristics are reviewed in order to assure that product requirements are complied with.						
4.4	Purchasing						
4.4.1	General purchasing						

deleted

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.4.1	The company shall control purchasing processes to ensure that all externally sourced materials and services, which have an impact on food safety and quality, conform to requirements. Where a company chooses to outsource any process that may have an impact on food safety and quality, the company shall ensure control over such processes. Control of such outsourced processes shall be identified and documented within the food safety and quality management system.						
4.4.2	There shall be a procedure for approval and monitoring of suppliers (internal and external), outsourced production or part of it.						
4.4.3	The approval and monitoring procedure shall contain clear assessment criteria such as: audits, certificates of analysis, supplier reliability and complaints, as well as required performance standards.						
4.4.4	The results of suppliers' assessments shall be reviewed regularly and this review shall be based on hazard analysis and assessment of associated risks. There shall be records of the reviews and of the actions taken as a consequence of assessment.						
4.4.5	The purchased products shall be checked in accordance with the existing specifications and their authenticity, based on hazard analysis and assessment of associated risks. The schedule of these checks shall, as a minimum, take into account the following criteria; product requirements, supplier status (according to its assessment) and impact of the purchased products on the finished product. The origin shall be additionally checked, if mentioned in the specification.						
4.4.6	The purchased services shall be checked in accordance with the existing specifications. The schedule of these checks shall at least take into account the following items: service requirements, supplier status (according to its assessment) and impact of the service on the finished product.						
4.4.2	Trade of manufactured goods						
4.4.2.1	In case a company trades manufactured goods, it shall be ensured that a process for approving and monitoring suppliers exists and is implemented.						
4.4.2.2	In case of traded manufactured goods, the process for approving and monitoring suppliers shall contain clear assessment criteria such as: audits, certificates of analysis, supplier reliability, complaints as well as required performance standards.						
4.4.2.3	In case of private labels, a supplier approval system in accordance with customer requirements shall exist for pre-suppliers of finished or semi-finished products.						

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Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.5	Product packaging						
4.5.1	Based on hazard analysis, assessment of associated risks and intended use, the company shall determine the key parameters for the packaging material.						
4.5.2	Detailed specifications shall exist for all packaging materials which comply with the current relevant legislation.						
4.5.3	For all packaging material which could have an influence on products, certificates of conformity shall exist which comply with current legal requirements. In the event that no specific legal requirements are applicable, evidence shall be available to demonstrate that packaging material is suitable for use. This applies for packaging material which could have an influence on raw materials, semi-processed and finished products.						
4.5.4	Based on hazard analysis and assessment of associated risks, the company shall verify the suitability of the packaging material for each relevant product (e.g. organoleptic tests, storage tests, chemical analysis, migration tests).						
4.5.5	The company shall ensure that the packaging used corresponds to the product being packed. The use of correct packaging shall be regularly checked and checks shall be documented.						
4.5.6	Labelling information shall be legible, indelible and shall comply with agreed customer product specifications. This shall be regularly checked and checks shall be documented.						
4.6.	Factory location						
4.6.1	The company shall investigate to what extent the factory environment (e.g. ground, air) may have an adverse impact on product safety and product quality. Where it is established product safety and quality could be compromised, appropriate measures shall be established. The effectiveness of the established measures shall be periodically reviewed (examples: extremely dusty air, strong smells).						
4.7	Factory Exterior						
4.7.1	The factory exterior shall be maintained to be clean and tidy.						
4.7.2	All external areas of the factory shall be maintained in good condition. Where natural drainage is inadequate, a suitable drainage system shall be installed.						
4.7.3	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 food safety.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.8	Plant layout and process flows						
4.8.1	Plans clearly describing internal flows of finished products, packaging materials, raw materials, waste, personnel, water, etc. shall be in place. A site map covering all buildings of the facility shall be available.						
4.8.2	The process flow, from receipt of goods to dispatch, shall be in place so that contamination of raw materials, packaging, semi-processed and finished products is avoided. The risk of cross-contamination shall be minimised through effective measures.						
4.8.3	In case of microbiologically sensitive production areas, these shall be operated and monitored to ensure product safety is not compromised.						
4.8.4	Laboratory facilities and in-process controls shall not affect the product safety.						
4.9	Constructional requirements for production and storage areas						
4.9.1	Constructional requirements						
4.9.1.1	Rooms where food products are prepared, treated, processed and stored shall be designed and constructed so that food safety is ensured.						
4.9.2	Walls						
4.9.2.1	Walls shall be designed and constructed to prevent the accumulation of dirt, to reduce condensation and mould growth, and to facilitate cleaning.						
4.9.2.2	The surfaces of walls shall be in a good condition and easy to clean; they shall be impervious and wear-resistant.						
4.9.2.3	The junctions between walls, floors and ceilings shall be designed to facilitate cleaning.						
4.9.3	Floors						
4.9.3.1	Floor covering shall be designed to meet production requirements and shall be in good condition and easy to clean. Surfaces shall be impervious and wear-resistant.						
4.9.3.2	The hygienic disposal of waste water shall be ensured. Drainage systems shall be easy to clean and designed to minimise the risk of product contamination (e.g. ingress of pests, etc.).						
4.9.3.3	Water or other liquids shall reach drainage without difficulties, using appropriate measures. Puddles shall be avoided.						
4.9.3.4	In food handling areas, machinery and piping shall be arranged so that waste water, if possible, goes directly into a drain.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.9.4	Ceilings/Overheads						
4.9.4.1	Ceilings (or, where no ceilings exist, the inside of roofs) and overhead fixtures (incl. piping, cable-way, lamps etc.) shall be constructed to minimise the accumulation of dirt and shall not pose any risk of physical and/or microbiological contamination.						
4.9.4.2	Where false ceilings are used, an access to the void shall be provided in order to facilitate cleaning, maintenance and inspections for pest control.						
4.9.5	Windows and other openings						
4.9.5.1	Windows and other openings shall be designed and constructed to avoid the accumulation of dirt and shall be maintained in good condition.						
4.9.5.2	Where there is risk of contamination, windows and roof glazing shall remain closed and fixed during production.						
4.9.5.3	Where windows and roof glazing are designed to be opened for ventilation purposes, they shall be fitted with easily removable, good condition pest screens or other measures in order to avoid any contamination.						
4.9.5.4	In areas where unpackaged product is handled, windows shall be protected against breakage.						
4.9.6	Doors and gates						
4.9.6.1	Doors and gates shall be in good condition (e.g. no splintering parts, flaking paints or corrosion) and easy to clean.						
4.9.6.2	External doors and gates shall be constructed to prevent the ingress of pests; if possible, they shall be self-closing.						
4.9.7	Lighting						
4.9.7.1	All working areas shall have adequate lighting.						
4.9.7.2	All lighting equipment shall be protected by shatter proof covers and installed to minimise the risk of breakage.						
4.9.8	Air conditioning/Ventilation						
4.9.8.1	Adequate natural and/or artificial ventilation shall exist in all areas.						
4.9.8.2	If ventilation equipments are installed, filters and other components which require cleaning or replacement shall be easily accessible.						
4.9.8.3	Air conditioning equipment and artificially generated airflow shall not lead to any product safety or quality risks.						
4.9.8.4	Dust extraction equipment shall be installed in areas where considerable amounts of dust are generated.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.9.9	Water supply						
4.9.9.1	Water which is used as ingredient in the production process, or for cleaning, shall be of potable quality and supplied in sufficient quantity; this also applies to steam and ice used within the production area. A supply of potable water shall be available at all times.						
4.9.9.2	Recycled water which is used in the process shall not pose a contamination risk. The water shall comply with applicable legal requirements for potable water; records of compliance testing shall be available.						
4.9.9.3	The quality of water, steam or ice shall be monitored following a risk based sampling plan.						
4.9.9.4	Non-potable water shall be transported in separate, properly marked piping. Such piping shall not be connected to the drinking water system, or allow the possibility of reflux to contaminate potable water sources or the factory environment.						
4.9.10	Compressed air						
4.9.10.1	The quality of compressed air that comes in direct contact with food or primary packaging material shall be monitored based on hazard analysis and assessment of associated risks.						
4.9.10.2	Compressed air shall not pose a risk of contamination.						
4.10	Cleaning and disinfection						
4.10.1	Based on hazard analysis and assessment of associated risks, cleaning and disinfection schedules shall be available and implemented. These shall specify: <ul style="list-style-type: none"> – objectives – responsibilities – the products used and their instructions for use – the areas to be cleaned and/or disinfected – cleaning frequency – documentation requirements – hazard symbols (if necessary). 						
4.10.2	Cleaning and disinfection schedules shall be implemented and documented.						
4.10.3	Only qualified personnel shall be allowed to undertake cleaning and disinfection. The personnel shall be trained and retrained to carry out the cleaning schedules.						
4.10.4	The effectiveness and safety of the cleaning and disinfection measures, based on hazard analysis and assessment of associated risks, shall be verified and documented according to a sampling schedule by using appropriate procedures. Resultant corrective actions shall be documented.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.10.5	Cleaning and disinfection schedules shall be reviewed and modified, if necessary, in the event of a change to product, process or cleaning equipment.						
4.10.6	The intended use of cleaning utensils shall be clearly identified. Cleaning utensils shall be used in a way to avoid contamination.						
4.10.7	Current material safety data sheets (MSDS) and instructions for use shall be available for chemicals and cleaning agents. Personnel responsible for cleaning shall be able to demonstrate their knowledge of such instructions, which shall be always available on site.						
4.10.8	Cleaning chemicals shall be clearly labelled, used and stored appropriately, to avoid contamination.						
4.10.9	Cleaning activities shall be carried out in periods of non-production. If this is not possible, these operations shall be controlled as to not affect the product.						
4.10.10	Where a company hires a third-party service provider for cleaning and disinfection activities, all requirements specified within section 4.10 shall be clearly defined in the respective contract.						
4.11	Waste disposal						
4.11.1	A waste management procedure shall exist and shall be implemented to avoid cross contamination.						
4.11.2	All current legal requirements for waste disposal shall be met.						
4.11.3	Food waste and other waste shall be removed as quickly as possible from areas where food is handled. The accumulation of waste shall be avoided.						
4.11.4	Waste collection containers shall be clearly marked, suitably designed, in good state of repair, easy to clean, and where necessary disinfected.						
4.11.5	Waste collection rooms and containers (incl. compactors) shall be designed to be kept clean to minimise pest attraction.						
4.11.6	Waste shall be collected in separate containers in accordance with the intended means of disposal. Such waste shall be disposed by authorised third parties only. Records of waste disposal shall be kept by the company.						
4.12	Risk of foreign material, metal, broken glass and wood						
4.12.1 KO	KO N° 6: Based on hazard analysis and assessment of associated risks, procedures shall be in place to avoid contamination with foreign material. Contaminated products shall be treated as non-conforming products.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.12.2	In all areas, e.g. handling of raw materials, processing, packing and storage, where hazard analysis and assessment of associated risks have identified the potential for product contamination, the use of wood shall be excluded. Where the use of wood cannot be avoided, the risk shall be controlled and the wood shall be in good order and clean.						
4.12.3	Where metal- and/or other foreign material detectors are required, they shall be installed to ensure maximum efficiency of detection, in order to avoid subsequent contamination. Detectors shall be subjected to regular maintenance to avoid malfunction.						
4.12.4	Potentially contaminated products shall be isolated. Access and actions for further handling or checking for these isolated products shall be carried out only by authorised personnel according to defined procedures. After this check, contaminated products shall be treated as non-conforming products.						
4.12.5	The appropriate accuracy of detectors shall be specified. Checks of proper function of detectors shall be carried out regularly. In case of malfunction or failure of a metal and/or foreign material detector, corrective actions shall be defined, implemented and documented.						
4.12.6	In cases where special equipment or methods are used to detect foreign material, these shall be properly validated and maintained.						
4.12.7	In all areas, e.g. handling of raw materials, processing, packing and storage, where hazard analysis and assessment of associated risks have identified a potential product contamination, the presence of glass and brittle material shall be excluded. Where the presence of glass or brittle plastic cannot be avoided, appropriate measures shall be in place to protect against breakage.						
4.12.8	All stationary objects made of or incorporating glass or brittle material present in areas of handling of raw materials, processing, packing and storage shall be listed in a specific register, including details of their exact location. An assessment of the condition of objects on the register shall be performed on a regular basis and recorded. Frequency of this check shall be justified by documents.						
4.12.9	Breakages of glass and brittle material shall be recorded. Exceptions shall be justified and documented.						
4.12.10	Procedures shall be in place describing the measures to be taken in case of breakage of glass and/or brittle material. Such measures shall include identifying the scope of goods to be isolated, specifying authorised personnel, cleaning the production environment and release of production line for continued production.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.12.11	Based on hazard analysis and assessment of associated risks, preventive measures shall be in place for handling of glass packaging, glass containers or other kinds of containers in the production process (turn over, blow, rinse, etc.). After this process step there shall be no further risk of contamination.						
4.12.12	Where visual inspection is used to detect foreign material, the employees shall be trained and operative change shall be performed at an appropriate frequency to maximise effectiveness of process.						
4.13	Pest monitoring/Pest control						
4.13.1	The company shall have a pest control system in place which is in compliance with local legal requirements, taking into account, as a minimum: <ul style="list-style-type: none"> – the factory environment (potential pests) – site plan with area for application (bait map) – identification of the baits on site – responsibilities, in-house/external – used 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.						
4.13.2	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 specified in a written contract.						
4.13.3	Pest control inspections and resulting actions shall be documented. Implementation of actions shall be monitored and recorded.						
4.13.4	Baits, traps and insect exterminators shall be functioning, shall be in sufficient numbers and shall be placed in an appropriate position. They shall be constructed and positioned as not to cause any contamination risk.						
4.13.5	Incoming deliveries shall be checked on arrival for the presence of pests. Any infestation shall be documented and control measures taken.						
4.13.6	The effectiveness of the pest control shall be monitored with the help of regular trend analyses.						
4.14	Receipt of goods and storage						
4.14.1	All incoming goods, including packaging materials and labels, shall be checked for conformity against specifications and to a determined inspection plan. The inspection plan shall be risk based. Test results shall be documented.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.14.2	The storage conditions of raw materials, semi-processed and finished products as well as packaging shall in each case correspond to product requirements (e.g. refrigeration, protective covers) and shall not be detrimental to other products.						
4.14.3	Raw materials, packaging, semi-processed and finished products shall be stored so as to minimise the risk of cross contamination.						
4.14.4	Appropriate storage facilities shall be available for the management and storage of working materials, process aids, and additives. The personnel responsible for the management of storage facilities shall be trained.						
4.14.5	All products shall be clearly identified. Use of products shall be undertaken in accordance with the principles of First In/First Out and/or First Expired/First Out.						
4.14.6	Where a company hires a third-party storage service provider, the service provider shall be subject to IFS Logistics requirements. If the third party service provider is not certified to IFS Logistics, all relevant requirements equivalent to the company's own warehousing practices shall be fulfilled and this shall be clearly defined in the respective contract.						
4.15	Transport						
4.15.1	Before loading transport vehicles, their condition (e.g. absence of strange smells, high dust load, adverse humidity, pests, mould) shall be checked and action taken, if necessary.						
4.15.2	Procedures to prevent contamination during transport shall be implemented (food/non-food/ different categories of goods).						
4.15.3	Where goods must be transported at certain temperatures, before loading, the temperature inside the vehicle shall be checked and documented.						
4.15.4	Where goods must be transported at certain temperatures, maintaining the adequate range of temperatures during transport shall be ensured and documented.						
4.15.5	Adequate hygienic requirements for all transport vehicles and equipment used for loading/unloading (e.g. hoses of silo installations) shall exist. There shall be records of the measures taken.						
4.15.6	Loading and unloading areas shall have equipment in place to protect transported products from external influences.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.15.7	Where a company hires a third-party transport service provider, all the requirements specified within section 4.15 shall be clearly defined in the respective contract or the service provider shall be subject to IFS Logistics requirements.						
4.15.8	Security of transport vehicles shall be appropriately maintained.						
4.16	Maintenance and repair						
4.16.1	An adequate system of maintenance shall be in place, maintained and documented, covering all critical equipment (incl. transport) for compliance with product requirements. This applies both for internal and external maintenance activities.						
4.16.2	Product requirements and prevention of contamination shall be ensured during and after maintenance and repair work. Records of maintenance and repair work and of corrective actions taken shall be kept.						
4.16.3	All materials used for maintenance and repair shall be fit for the intended use.						
4.16.4	Failures of plant and equipment (incl. transport) covered by the maintenance system shall be documented and reviewed with a view to adapting the maintenance system.						
4.16.5	Temporary repairs shall be carried out so that product requirements are not affected. Such work shall be documented and a short-term deadline set for eliminating the fault.						
4.16.6	Where a company hires a third-party maintenance and repair service provider, all the company specified requirements regarding material and equipment shall be clearly defined, documented and maintained.						
4.17	Equipment						
4.17.1	Equipment shall be suitably designed and specified for the intended use. Before commissioning, it shall be verified that the product requirements are complied with.						
4.17.2	For all equipment and tools with direct food contact, certificates of conformity shall exist which confirm compliance with current legal requirements. In case no specific legal requirements are applicable, evidence shall be available to demonstrate that all equipment and tools are suitable for use. This applies for all equipment and tools in direct contact with raw materials, semi-processed and finished products.						
4.17.3	Equipment shall be designed and located so that cleaning and maintenance operations can be effectively performed.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.17.4	The company shall ensure that all product equipment is in good condition without any negative influence on food safety.						
4.17.5	The company shall ensure that in the event of changes to processing methods and equipment, process characteristics are reviewed in order to assure that product requirements are complied with.						
4.18	Traceability (including GMOs and allergens)						
4.18.1 KO	KO N° 7: A traceability system shall be in place which enables the identification of product lots and their relation to batches of raw materials, packaging in direct contact with food, packaging intended or expected to be in direct contact with food. The traceability system shall incorporate all relevant receiving processing and distribution records. Traceability shall be ensured and documented until delivery to the customer.						
4.18.2	Downstream traceability records (from production sites to the customers) shall be available. The timeframe for producing these records for review shall be compliant with customer's requirements.						
4.18.3	Traceability shall be in place to identify the relationship between batches of final products and their labels.						
4.18.4	The traceability system shall be tested on a periodic basis – at least annually and each time traceability system changes. The test shall verify upstream and downstream traceability (from delivered products to raw materials, and vice versa), including quantity checking. Test results shall be recorded.						
4.18.5	Traceability shall be ensured at all stages, including work in progress, post treatment and rework.						
4.18.6	Labelling of semi-finished or finished product lots shall be made at the time when the goods are directly packed to ensure a clear traceability of goods. Where goods are labelled at a later time, the temporarily stored goods shall have been provided with a specific lot labelling. The shelf life (e.g. best before date) of the labelled goods shall be calculated from the original production batch.						
4.18.7	If required by customer, identified samples representative for the manufacturing lot shall be stored appropriately and kept until expiration of the "Use by" or "Best before date" of the finished product and if necessary for a determined period beyond this date.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.19	Genetically modified organisms (GMOs)						
4.19.1	For products being delivered to customers and/or countries with GMO requirements, the company shall have in place systems and procedures to allow the identification of products consisting of GMOs, containing GMOs or produced from GMOs, including food ingredients, additives and flavouring(s).						
4.19.2	Raw material specifications and delivery documents identifying products consisting of, being made from, or containing GMOs shall be available. The assurances concerning the GMO status of the raw materials shall be agreed by contract with the supplier or the relevant technical documents shall specify the GMO status. The company shall maintain a continuously updated listing of all GMO raw materials used at its premises, which also identifies all blends and formulas to which such GMO raw materials are added.						
4.19.3	There shall be adequate procedures to ensure that where products consisting of or containing GMOs are manufactured, contamination of non-GMO products is avoided. Adequate control measures shall be in place to avoid GMO cross contamination. The effectiveness of these procedures shall be monitored by testing.						
4.19.4	Finished products containing GMOs or labelled as not containing GMOs shall be declared in accordance with current legal requirements. Delivery documents shall include the corresponding reference to GMOs.						
4.19.5	Customer requirements concerning the GMO status of products shall be clearly implemented by the company.						
4.20	Allergens and specific conditions of production						
4.20.1	Raw material specifications identifying allergens requiring declaration that are relevant to the country of sale of the finished product shall be available. The company shall maintain a continuously up to date listing of all raw materials containing allergens used at its premises, which also identifies all blends and formulas to which such raw materials containing allergens are added.						
4.20.2	The manufacturing of products which contain allergens requiring declaration shall be carried out as to ensure cross contamination is minimised as far as possible.						
4.20.3	Finished products containing allergens requiring declaration shall be declared in accordance with current legal requirements. For the adventitious or unintentional presence, the labelling of legally declared allergens and traces shall be based on hazard analysis and assessment of associated risks.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.20.4	Where customers specifically require that products are "free from" certain substances or ingredients (e.g. gluten, pork, etc.), or that certain methods of treatment or production are excluded, verifiable procedures shall be in place.						
5	Measurements, Analysis, Improvements						
5.1	Internal audits						
5.1.1 KO	KO N° 8: Effective internal audits shall be conducted according to a defined agreed audit program and shall cover at least all requirements of the IFS Standard. Scope and frequency of internal audits shall be determined by hazard analysis and assessment of associated risks. This is also applicable for off site storage locations owned or rented by the company.						
5.1.2	Internal audits of activities which are critical to food safety and product specifications 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 concerned department. Necessary corrective actions and a schedule for implementation shall be determined and 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 factory inspections						
5.2.1	Factory inspections shall be planned and carried out (e.g. product control, hygiene, foreign material hazards, personnel hygiene and housekeeping). The frequency of inspections in every area (including outdoor areas) and every single activity shall be based on hazard analysis and assessment of associated risks and on the history of previous experience.						
5.3	Process validation and control						
5.3.1	The criteria for process validation and control shall be clearly defined.						
5.3.2	In circumstances where the control of process and working environment parameters (temperature, time, pressure, chemical properties etc.) is essential to ensure the product requirements, such parameters shall be monitored and recorded continuously and/or at appropriate intervals.						
5.3.3	All rework operations shall be validated, monitored and documented. These operations shall not affect the product requirements.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
5.3.4	There shall be appropriate procedures for prompt notification, recording and monitoring of equipment malfunction and process deviations.						
5.3.5	Process validation shall be performed using the collected data that is relevant for product safety and the processes. If substantial modifications occur, a revalidation shall be carried out.						
5.4	Calibration, adjustment and checking of measuring and monitoring devices						
5.4.1	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.						
5.4.2	All measuring devices shall be checked, adjusted and calibrated, under a monitoring system, at specified intervals and in accordance with defined recognised standard/methods. The results of the checks, adjustments and calibrations shall be documented. Where necessary, corrective actions on devices and, if necessary, on process and products shall be carried out.						
5.4.3	All measuring devices shall be used exclusively for their defined purpose. Where the results of measurements indicate a malfunction, the device in question shall be immediately repaired or replaced.						
5.4.4	The calibration status of the measuring devices shall be clearly identified (labelling at the machine or on a list of test devices).						
5.5	Quantity checking (quantity control/filling quantities)						
5.5.1	The frequency and methodology of quantity checking shall be determined so that the legal requirements and customer specifications, or if appropriate, guidelines for nominal quantity are met.						
5.5.2	A procedure shall exist to define compliance criteria for lot quantity checking. This procedure shall also, among others, take into consideration the tare, the density and other critical attributes.						
5.5.3	Checks shall be implemented and recorded, according to a sampling plan which ensures a proper representation of the manufacturing lot.						
5.5.4	Results of these checks shall be compliant with defined criteria for all products ready to be delivered.						
5.5.5	For purchased, already pre-packed products from third parties, there shall be evidence about the compliance with the legal requirements for nominal quantity.						
5.5.6	If applicable, all equipment used for final checking shall be legally approved.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
5.6	Product analysis						
5.6.1	There shall be procedures ensuring that all specified product requirements are met, including legal requirements and specifications. Microbiological, physical and chemical analysis required for that purpose shall be performed internally and/or subcontracted.						
5.6.2	Analyses, which are relevant for food safety, shall preferably be performed by laboratories having appropriate accredited programs/methods (ISO 17025). If the analyses are performed by a factory internal or a laboratory not having appropriate accredited programs/methods, the results shall be verified on a regular basis by laboratories accredited on these programs/methods (ISO 17025).						
5.6.3	Procedures shall exist which ensure the reliability of the internal analysis results on the basis of official recognised analysis methods. This shall be demonstrated by ring tests or other proficiency tests.						
5.6.4	A test plan shall be drawn up for internal and external analysis, based on hazard analysis and assessment of associated risks, which covers raw materials, semi-processed and finished products as well as processing equipments and packaging materials, and where necessary environmental tests. The test results shall be documented.						
5.6.5	Results of analysis shall be evaluated promptly. Appropriate corrective measures shall be introduced for any unsatisfactory results. The analytical results shall be reviewed regularly in order to identify trends. Trends indicating potential unsatisfactory results shall be taken into consideration.						
5.6.6	Where internal analysis is undertaken, qualified and trained personnel shall be in place, as well as appropriate equipment and premises.						
5.6.7	For verification of finished product quality, internal organoleptic tests shall be carried out regularly. These tests shall be in accordance with specifications and related to the impact on respective parameters of product characteristic. The results of these tests shall be documented.						
added added	5.6.8	Based on hazard analysis, assessment of associated risks and on any internal or external information on product risks which may have an impact on food safety and/or quality (incl. adulteration and fraud) , the company shall update its control plan and/or take any appropriate measure to control impact on finished products.					
5.7	Product quarantine (blocking/hold) and product release						
5.7.1	A procedure shall be in place, based on hazard analysis and assessment of associated risks, for the quarantine (blocking/hold) and release of all raw materials, semi-processed and finished products and packaging materials. The procedure shall ensure that only products and materials conforming to product requirements are processed and dispatched.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
5.8	Management of complaints from authorities and customers						
5.8.1	A system shall be in place for the management of product complaints.						
5.8.2	All complaints shall be assessed by competent staff. Where it is justified appropriate actions shall be taken immediately, if necessary.						
5.8.3	Complaints shall be analysed with a view to implementing preventive actions which avoid the recurrence of the non-conformity.						
5.8.4	The results of complaint data analysis shall be made available to the relevant responsible persons and to the senior management.						
5.9	Management of incidents, product withdrawal, product recall						
5.9.1	A documented procedure shall be defined for management of incidents and of potential emergency situations that impact food safety, legality and quality. This procedure shall be implemented and maintained. This includes 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, including information to consumers.						
5.9.2 KO	KO N° 9: There shall be an effective procedure for the withdrawal and recall of all products, which ensures that involved customers are informed, as soon as possible. This procedure shall include a clear assignment of responsibilities.						
5.9.3	Updated emergency contact details (such as names and phone numbers of suppliers, customers and competent authorities) shall be available. A person of the company, who has the authority to initiate the incident management process, shall be permanently available.						
5.9.4	The feasibility, effectiveness and timeliness of implementation of the withdrawal procedure shall be subject to regular internal testing, based on hazard analysis and assessment of associated risks but carried out at least once a year. This shall be carried out in a manner to ensure the effective implementation and operation of the procedure.						
5.10	Management of non-conformities and non-conforming products						
5.10.1	A procedure shall exist for the management of all non-conforming raw materials, semi-finished and finished products, processing equipment and packaging materials. This shall include, as a minimum: <ul style="list-style-type: none"> – isolation/quarantine procedures – hazard analysis and assessment of associated risks – identification (e.g. labelling) – decision about the further use (e.g. release, rework/post treatment, blocking, quarantine, rejection/disposal). 						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
5.10.2	The responsibilities for the management of non-conforming products shall be clearly identified. The procedure for the management of non-conforming products shall be understood by all relevant employees.						
5.10.3	Where non-conformities are present, immediate corrections shall be taken to ensure that product requirements are complied with.						
5.10.4	Out of specification, final packaged products or packaging materials, both related to private labels, shall not be placed in the market under the label concerned. Exceptions shall be agreed in writing with the contract partners.						
5.11	Corrective actions						
5.11.1	A procedure shall be in place for the recording and analysis of the non-conformities with the objective to avoid recurrences by preventive actions and/or corrective actions.						
5.11.2 KO	KO N° 10: 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. The documentation shall be securely stored, and easily accessible.						
5.11.3	The performance of the implemented corrective actions shall be documented and the effectiveness shall be checked.						
6	Food defense and external inspections						
6.1	Defense assessment						
6.1.1	Responsibilities for food defense shall be clearly defined. Those responsible shall be key staff or shall have access to the top management team. Sufficient knowledge in this area shall be demonstrated.						
6.1.2	A food defense hazard analysis and assessment of associated risks shall have been performed and documented. Based on this assessment, and based on the legal requirements, areas critical to security shall be identified. Food defense hazard analysis and assessment of associated risks shall be conducted annually or upon changes that affect food 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 shall be provided.						

Number	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
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 tampering and/or allow identification of signs of tampering.						
6.3	Personnel and Visitor Security						
6.3.1	Visitor policy shall contain aspects of food 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 food defense on an annual basis 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.						

changed

CONTACT DETAILS OF THE IFS OFFICES

GERMANY | BERLIN

IFS Management GmbH
Am Weidendamm 1A
D-10117 Berlin
Phone: +49(0) 30 72 62 50 74
Fax: +49(0) 30 72 62 50 79
E-Mail: ifs-berlin@ifs-certification.com

FRANCE | PARIS

IFS Office Paris
FCD
12, rue Euler
F-75008 Paris
Phone: +33(0)1 44 43 99 16
Fax: +33(0)1 47 20 53 53
E-Mail: ifs-paris@ifs-certification.com

ITALY | MILAN

IFS Office Milan
Federdistribuzione
Via Albricci 8
I-20122 Milano
Phone: +39(0) 2 89 07 51 50
Fax: +39(0) 2 65 51 11 69
E-Mail: ifs-milano@ifs-certification.com

POLAND | WARSAW

IFS Office Central & Eastern Europe
ul. Serwituty 25
PL-02-233 Warsaw
Phone: +48 601 95 77 01
E-Mail: marzec@ifs-certification.com

BRAZIL | DOURADOS

Representante IFS Brasil
Caroline Nowak
BR-79824 Dourados, MS
Phone: +55(67) 81 51 45 60
E-Mail: cnowak@ifs-certification.com

CHINA | HEFEI

StarFarm
Room 2301, C building,
Fortune Plaza No. 278 Suixi Road, 230041,
Hefei, Anhui, China
Phone: +86(0) 55 15 66 60 69
Fax: +86(0) 55 15 68 13 76
E-Mail: china@ifs-certification.com
asia@ifs-certification.com

CANADA | TORONTO

PAC –The Packaging Association Canada
1 Concorde Gate, Suites 607
Ca-Toronto ON, M3C 3N6
Phone: +1 416 490 78 60
E-Mail: pacinfo@pac.ca

USA | ST. LOUIS

IFS Americas
1610 Des Peres Road, Suite 150
USA-St. Louis, MO 63131
Phone: +1 314 686 46 10
Fax: +1 314 686 46 02
E-Mail: ifs-us@ifs-certification.com

