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IFS Logistics

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

Version 2
October 2012

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standards®



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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 Logistics 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

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Karen Baethke	Edeka Handelsgesellschaft Rhein-Ruhr mbH
Daniel Bentrup	Kraftverkehr Nagel GmbH & Co. KG
Wolfgang Brock	MGL METRO Group Logistics Warehousing GmbH
Paul Daum	Kaiser's Tengelmann AG
Frank Ferko	US Foods
Torsten Grün	MUK AG
Wolfram Hartmann	DAkKS Deutsche Akkreditierungsstelle GmbH
Jorge Hernandez	US Foods
Susan Linn	Sysco Corporation
Jay Mayr	ConAgra Foods
Uwe Mehmel	Uwe Mehmel Unternehmensberatung (former on behalf of Dachser GmbH & Co. KG)
Thomas Neuhaus	TÜV Süd Management Service GmbH
Andrea Niemann- Haberhausen	DNV Germany GmbH
Jan Peilnstainer	VDKL-Verband Deutscher Kühllhäuser und Kühllogistikunternehmen e.V.
Andreas Petke	tegut... Gutberlet Stiftung & Co.
Christian Pflüger	Dachser Food Logistics
Florian-Fritz Preuß	Quant Qualitätssicherung GmbH
Robert Römer	QS GmbH
Jim Sing	US Foods
Kevin Swoffer	KPS Resources Ltd., United Kingdom

IFS Team

George Gansner – Marketing/Business Development Director
Dr. Helga Hippe – Quality Assurance Management Director
Seon Kim – IFS Shop Manager
Christin Kluge – Quality Assurance Project Manager
Nina Lehmann – IFS Project Manager Academy/Marketing/Communications
Stéphanie Lemaitre – Technical Director
Lucie Leroy – Project Manager
Clemens Mahnecke – Technical Project Assistant
Marek Marzec – IFS Business consultant Central/Eastern Europe
Caroline Nowak – IFS Representative, South America
Ksenia Otto – IFS Office Manager
Sabine Podewski – IFS Project Manager Auditor approval/examination
Maria Thalmann – Project Manager
Serena Venturi – Project Manager
Stephan Tromp – Managing Director

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Part 1: Audit Protocol

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

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

The associated members of the German retail federation – Handelsverband Deutschland (HDE) – and of its French counterpart – Fédération des Entreprises du Commerce et de la Distribution (FCD) – drew up a quality and food safety standard for retailer branded food products named IFS Food, which is intended to allow the assessment of suppliers' 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 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.

It is the aim of most retailers and producers to have transparency over their whole international supply chain, including the logistical activities. Buyers and quality managers in retail and industry require more and more transparency about the way their products are treated in the logistics chain and they were looking for a solution.

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

The standard is applicable for all types of transport: truck, train, ship, plane or any other types of transportation, temperature controlled or ambient stable. The IFS Logistics Standard has a scope of food (loose, unpacked and packed foods) and non food products. The IFS Logistics includes all logistical activities including loading, transportation, off loading, storage, handling and further distribution. The fundamental objectives of IFS Logistics, as well as for other IFS Standards, are:

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

Experience, changes in legislation and a revision of the GFSI Guidance Document lead to the need to work towards a revision of version 1. A detailed and extensive questionnaire was developed, which would allow all interested parties to get involved in the further development of the IFS Logistics Standard. This questionnaire was sent by e-mail in 2009 to certification bodies and companies with experience in IFS Logistics version 1, allowing all those involved to be part of the process. All the completed questionnaires were subject to detailed analysis. Moreover, representatives of logistics companies 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 Logistics version 1:

- 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 doctrines,
- to improve understanding of audit protocol,
- to specify the applicability for the logistical handling of unpacked food products (e.g. bread in boxes, meat carcasses) and non-food products,
- to update the Standard in accordance with new version of GFSI Guidance Document.

The new IFS Logistics version 2 will come into force from the 1st of January 2013. From 1st of June until 31st of December 2012, companies can perform IFS Logistics version 1 or version 2 audits. After 1st of January 2013, only IFS Logistics version 2 audits shall be performed and will be accepted.

The IFS Logistics 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 Logistics 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).

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

2.2 Extraordinary information to the certification body by the certified company

In accordance with ISO/IEC Guide 65, the company shall inform its certification body about any change or information indicating that the services may no longer comply with the requirements of the certification system (e.g. recall, incident, etc.). For IFS, this information shall be made within 3 working days.

2.3 General requirements for the quality and product safety management system

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

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

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

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

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

3 Types of audit

3.1 Initial audit

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

3.2 Follow-up audit

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

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

If there is no follow-up audit performed after 6 months from the date of the previous audit, then a complete new audit is necessary.

In the event that the follow-up audit establishes that requirements remain inadequate, a complete new audit is necessary. The elimination of Major non-conformities shall always be established by an on-site visit by the auditor.

3.3 Renewal audit (for recertification)

Renewal audits are those which are performed after the initial audit. The period in which a renewal audit shall be performed is shown on the certificate. A renewal audit involves a full and thorough audit of a company resulting in the issue of a new certificate. During the audit, all IFS requirements shall be assessed by the auditor. Particular attention is paid to the deviations and non-conformities identified during the previous audit, as well as to the effectiveness and implementation of 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 logistical activities 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 Logistics 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.

4 Scope of the audit

IFS Logistics is a Standard for auditing companies whose activities are logistics oriented for food and non-food products, such as transport, storage, distribution, loading/unloading, etc. It applies to all types of activities: delivery by road, rail or ship; frozen/refrigerated products or ambient stable products. As a result, IFS Logistics shall not apply to the following activities:

- processing of food or non-food products (see Annex 1),
- importation, trading of goods (offices, e.g. typical broker companies),
- transportation of animals.

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

The following scopes are defined for IFS Logistics audits:

- 1 Storage (purchasing activities with influence on product quality are excluded)
 - a Food
 - b Non-Food
- 2 Transport
 - a Food
 - b Non-Food
- 3 Logistics and additional trading activities (Module 'Broker' of the checklist applies; combined certification IFS Logistics 2/IFS Broker 1.5)
 - a Food
 - b Non-Food

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

Note: The scope shall describe the logistical activities of the company (e.g. transport, incl. type of transport; storage) as well as the product group(s) which is/are handled (e.g. meat products) and the conditions of the handling (e.g. ambient stable, chilled, low temperature etc.). For food and HPC products, the product scopes according to IFS Food and IFS HPC shall be chosen to describe the product group(s) in the audit scope (see Annex 4). It is not mandatory that the auditors are qualified for the specific scope(s).

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

If, between two certification audits, new logistical activities different from those included in the scope of the current IFS audit are implemented, 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 logistical processes are undertaken. Where decentralised structures exist and the audit of a certain location is insufficient for gaining a complete view of the company's processes, then all other relevant facilities shall also be included in the audit. Full details shall be documented within the company profile in the audit report.

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

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

Combined certification IFS Logistics 2/IFS Broker

If a logistics company performs additional broker activities (importation and trading of goods), a combined certification according to IFS Logistics and IFS Broker is possible. For these combined audits, a complementary check-list is provided. If no combined certification is performed but trading activities are present, those broker activities shall be excluded from the certificate and the certificate shall mention: "trade activity is not included".

If the requirements of the complementary check-list are fulfilled, those traded products shall clearly be specified on the certificate, detailing the product(s) (if the trade products are food or HPC products, the product scopes of IFS Food 6 or IFS HPC according to Annex 4 shall be named, but these product scopes are not required for auditor qualification), and specified in the report, both in the audit scope and in the company profile.

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

Auditing of multi-location companies with central management

If defined processes are centrally organised in a company with several sites (e.g. 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 site.

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

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

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

5 The certification process

5.1 Preparation of an audit

Before being audited, the company shall review all requirements of the IFS Logistics Standard in detail. 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.

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

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

5.2 Certification body selection – contractual arrangements

In order to undertake the IFS audit, the company shall appoint a certification body which is approved to perform such audits. Certification bodies shall be accredited to ISO/IEC Guide 65 (future ISO/IEC 17065 norm) for the scope of IFS Logistics and shall have auditors which are approved to perform IFS Logistics audits (see Part 3). Only those IFS approved certification bodies, which shall have signed a contract with IFS (see Part 3) – can carry out IFS Logistics audits and issue certificates. The list of all IFS international approved certification bodies, by country, is available on the website www.ifs-certification.com.

Certification bodies can have auditors qualified for one or several scopes.

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 3.2.

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 3.2.

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

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

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

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

5.3 Duration of an audit

The usual minimum audit duration of an IFS Logistics audit shall be one day. In exceptional cases (see below), the audit duration can be reduced to 0,5 day. In the event of a reduction of audit duration, the reason shall be described in detail in the audit report, in the company profile.

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

The time required to complete the audit depends on several factors:

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

For a combined audit IFS Logistics/IFS Broker, about 2 to 6 hours shall be additionally calculated on-site, depending on the size and the processes of the company (plus reporting).

A reduction of the audit duration to 0,5 day is only possible in the following cases:

- If only one service (transport or storage) or only one kind of handling (e.g. chilled/low temperature) is performed,
- if only one product group is handled.
- In case of auditing of multi-location companies with central management, the audit duration for each single site can be reduced to 0,5 day, if requirements have already been audited at the central managing site.
- If there are not more than 50 employees (incl. part time workers, shift workers, temporary staff, administrative people, etc.) at the site.

A normal audit day duration is 8 hours.

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 working area of the site.

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

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

See also Part 3, chapter 3.2 about audit team.

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

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

If the IFS audit is performed in combination with 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 product safety systems; achieved by checking documentation (risk management, 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 Logistics which are relevant to the company's structure and function.

During the closing meeting, the auditor (or lead auditor in the case of an audit team) shall present all findings and discuss all deviations and non-conformities which have been identified. As specified by ISO/IEC 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.

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 Logistics has been met, the auditor has to evaluate every requirement in the Standard. There are different levels to rank the findings.

5.5.1 Scoring a requirement as a deviation

In IFS Logistics, there are 4 scoring possibilities:

Scoring with:

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 product safety and/ or the legal requirements of the 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 Logistics the following 6 requirements are defined as KO requirements:

- 1.2.4 Responsibility of the senior management
- 2.1.1 Quality and Product Safety Management System
- 2.3.8 Risk management/HACCP management
- 5.1.1 Internal audits
- 5.5.1 Management of non conforming products
- 5.6.2 Corrective actions

For combined audits IFS Logistics/IFS Broker the following 6 requirements additionally apply as KO requirements (see complementary checklist module 'Broker'):

- 1.1.1 Risk Management
- 2.2.2 Product specifications
- 2.2.5 Recipe compliance
- 2.6.1 Traceability system
- 3.1.2 Product analysis
- 3.3.2 Procedure for withdrawal and recall

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 Logistics certification.

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

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

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

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

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

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

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

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

5.6 Determination of the audit frequency

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

5.7 Audit report

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

For combined audits IFS Logistics/IFS Broker, two separate reports shall be written, with the help of the provided complementary check-list, containing requirements of IFS Broker, which are not within IFS Logistics.

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 Logistics 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, 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 audit-Xpress™ software (IFS audit report writer assistant) outline action plan. It shall include the elements of the following chart.

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

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

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	The department responsible for quality and product safety ...	D				
1.2.4 KO	Senior management shall be responsible ...	KO/D				
1.2.5	The company shall ensure that the employees are aware ...	Major				
2.3.8 KO	Where risks need specific control ...	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 5.6 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, 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.

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	The department responsible for quality and product safety ...	D					
1.2.4 KO	Senior management shall be responsible ...	KO/D					
1.2.5	The company shall ensure that the employees are aware ...	Major					
2.3.8 KO	Where risks need specific control ...	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 < 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 ≥ 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 Logistics 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 Logistics 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

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 3)

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

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

Note: All users having access to the IFS audit portal and having mentioned the respective company in their favourites list will get an e-mail notice 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 3)

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.

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

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

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 sites are also affected and the certificates of these sites shall be suspended (according the procedure described above).
- After a successful audit of the central managing site (or after positive follow-up after a Major was issued in the central managing site), the certificates of the sites can be reinstated. Depending upon which non-conformity has been issued in the central managing site, a new audit of the sites may also be necessary.

6 Awarding the certificate

A certificate shall be issued to one specific site.

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

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

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

6.1 Deadlines for awarding certificate

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

6.2 Certification cycle

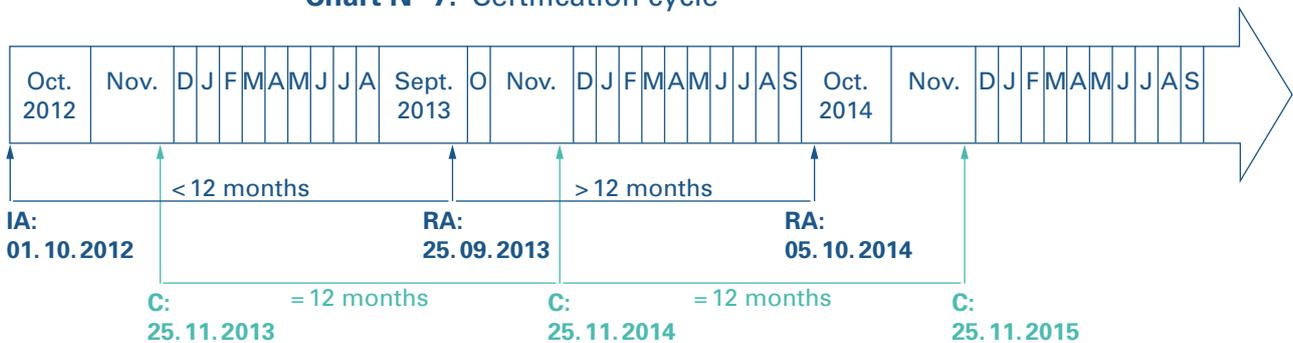
Even if the renewal audit due date changes every year and does not completely correspond to the anniversary date, the certificate validity date shall remain the same each year. The due date of the certificate is determined as follows: initial audit date + 8 weeks.

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

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 to be completed.

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

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

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

6.3 Information about conditions of withdrawal of certificate

Withdrawal of certificate by the certification body is only permitted in case of any information indicating that the logistical activities may no longer comply with the requirements of the certification system (as mentioned in 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 and all supporting documentation. This documentation shall be stored safely and securely for a period of five years.

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

8 Supplementary action

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

9 Appeal and complaints procedure

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

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

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

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

10 Ownership and usage of the IFS Logistics Logo

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

Furthermore, the below terms and conditions shall be checked by the auditor during the audit and results of this check shall be described in

the company profile of the audit report as a mandatory field (see also Annex 2, Part 2, for mandatory fields).

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

Application

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

Form, design and colour of the IFS Logistics logo

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

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

Restriction of comment and interpretations

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

Use of the IFS Logistics logo in promotional material

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

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 logo and/or any other IFS logo(s).

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

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

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

Further restriction on the use of the IFS Logistics logo

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

Communication of the IFS Logistics certification

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

11 Review of the Standard

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

12 IFS Integrity Program

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 requirements 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 complaint-management@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 an IFS audit.

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

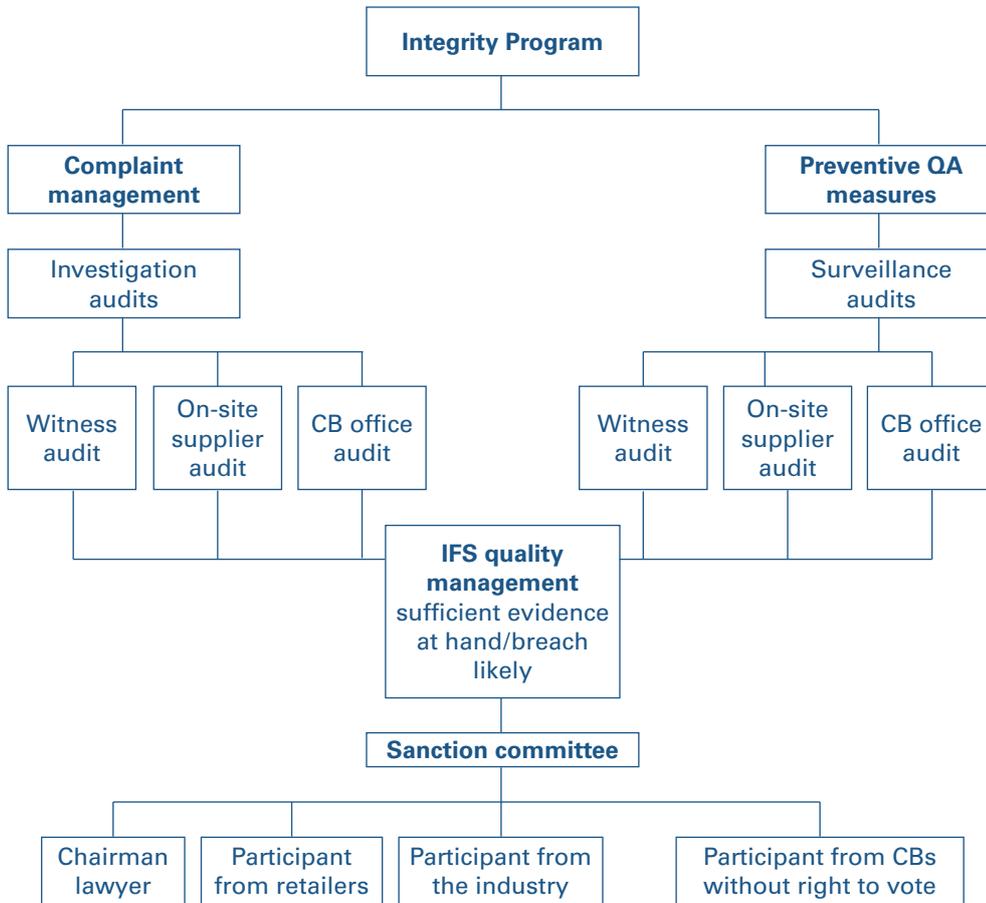
12.3 Sanctions

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 if so its severity.

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



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

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

IFS Logistics is a Standard for auditing companies whose activities are logistics oriented for food and non-food products, such as transport, storage, 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, meaning that the characteristics of the products are modified, IFS Food applies and IFS Logistics is therefore not applicable (e.g. ripening, primary packing – if this packed product is directly sold to the end-consumer, freezing/unfreezing as a processing step, sorting of fruits and vegetables under qualitative aspects, cutting, etc.).
- 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.

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.

IFS Cash & Carry/Wholesale is the Standard which covers all handling activities of loose and packed products in Cash & Carry markets or wholesale companies. It also includes processing activities when small quantities of products are concerned (like minced meat).

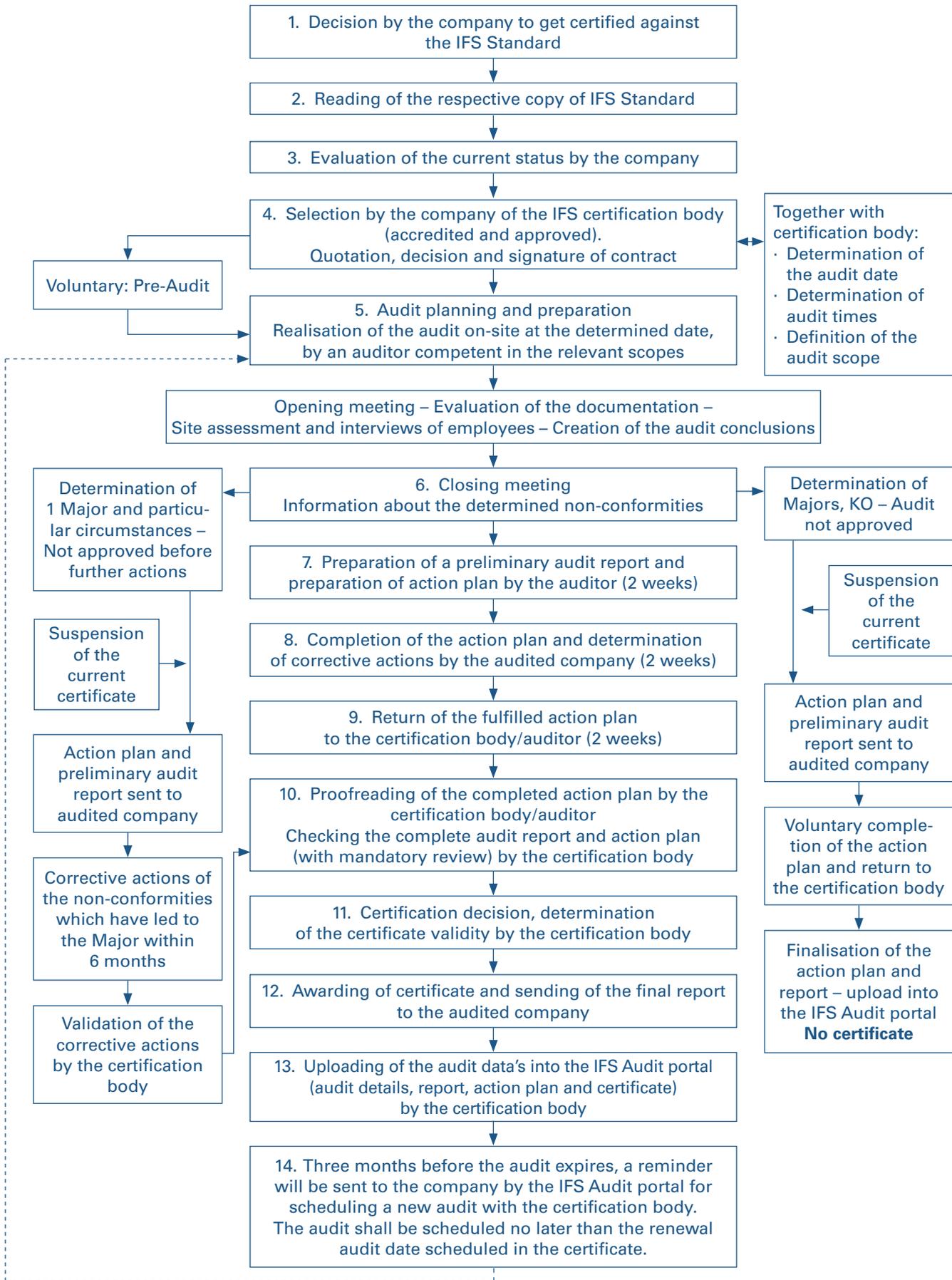
The requirements of IFS Cash & Carry/Wholesale are the same as IFS Food, but contain in addition guidelines on how to manage specific requirements in Cash & Carry markets or wholesale companies. Furthermore, a multi-site-certification approach is possible under very specific conditions (quantity of processing activities, number of stores, unannounced audits, etc.).

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

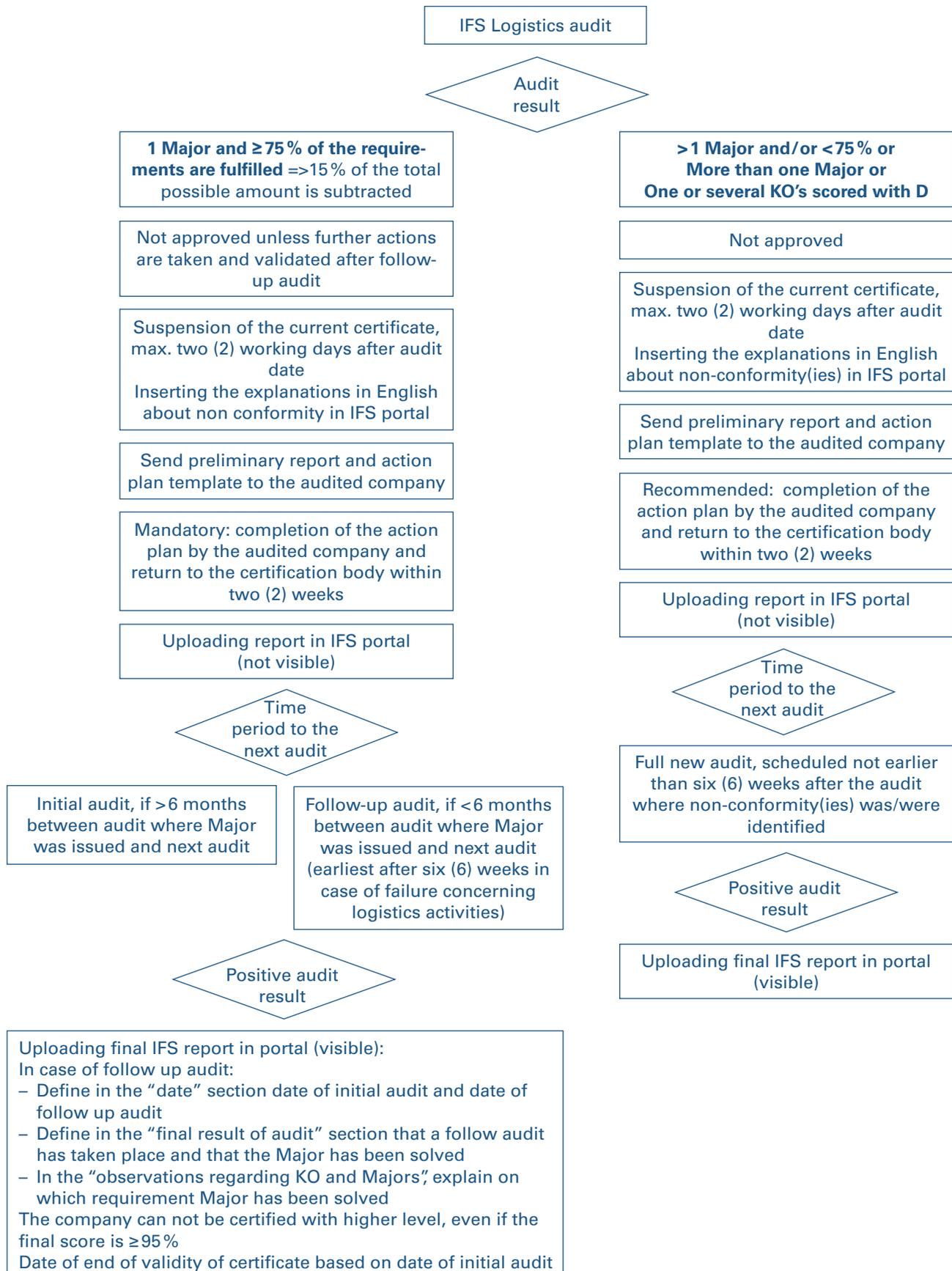
Matrix for the determination of the right IFS Standard

N°	Main activity of the company	International Featured Standards				
		IFS Food	IFS HPC	IFS Log. 2	IFS Broker	IFS C&C/W.
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 logistics activities Logistics activities only as service, no trading activities (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.))			X		
4	Food, HPC trading without product contact (when no physical possession of products, only <u>purchase – sale</u> from an office, no logistics activities)				X	
5	Cash & Carry/Wholesale (when distribution of products, small amount of processing activities can be included, under specific requirements)					X
Combined certification						
6	Food/HPC trading and Food/HPC logistics Combined audit for trading AND logistics activities, with a specific combined check-list			X	X	

ANNEX 2: Certification process



ANNEX 3: Flow chart for management of KO scored with D and Major non-conformities



ANNEX 4: Product scopes, which shall be specified in the report and certificate if the handled goods are food or HPC products

Table 1: Product scopes according to IFS Food version 6

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

Table 2: Product scopes according to IFS HPC version 1

IFS HPC version 1 Product Scopes	Explanation
Scope 1: Pc: Cosmetic = Personal care products – Skin contact	<ul style="list-style-type: none"> – Includes all the products described in the Cosmetic legislation (e.g. shampoo, toothpaste, lubrication strip of shavers, washable temporary tattoos, cosmetic wipes, make up for dolls or children, skin patches and substances applied with skin-patches, etc.)
Scope 2: Hcp: Household chemical products	<ul style="list-style-type: none"> – Cleaning and polishing products, as well as impregnated products intended for household and car activities (e.g. detergents, all products intended for cleaning activities, liquid or wipes, window cleaners, etc.). It also includes specific cleaning products e.g. products for swimming pools. – Products and materials that are intended to improve the air odor (e.g. air freshener sprays or aerosols, candles, etc.) – Insecticide products.
Scope 3: Hp: Housekeeping properties – Food contact	<ul style="list-style-type: none"> – Materials and articles described in the Regulation (EC) No 1935/2004, which are intended to come into contact with food (e.g. plastic and carton cups/forks/plates, aluminum foils, products for “daily use”, etc.) – Other kinds of materials and articles (e.g. sponges, dustbin plastic bags, etc.)

IFS HPC version 1 Product Scopes	Explanation
Scope 4: Ph: Personal hygiene – Skin contact	<ul style="list-style-type: none">– Products or materials that are intended for human body care, except cosmetic products (e.g. hair brushes, shavers, tissues, some medical devices class 1, diapers, feminine hygiene, wigs, artificial lashes, artificial nails, jewellery, etc.)– Product or materials that are intended to come into contact with the inside of the mouth (e.g. toothbrush, dental floss, dental wood/plastic sticks, etc.)

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 corporate policy. This shall consider as a minimum the following criteria:

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

The corporate policy shall be communicated to all employees.

1.1.2 The corporate policy, the quality and product safety objectives shall be communicated to the employees in the respective departments and shall be effectively implemented.

1.1.3 The company shall assign responsibility for external communications (crisis management, authorities and communication with media) to a specified job holder.

1.2 Corporate structure

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

1.2.2 Competences and responsibilities, including deputisation of responsibility shall be clearly laid down in process instructions or documents.

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

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

1.2.5 The company shall ensure that the employees are aware of their responsibilities and this shall be reviewed at least annually.

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

1.3 Management review

1.3.1 Senior management shall ensure that the quality and product safety management system is reviewed at least annually or more frequently if changes occur, to assure its effectiveness. The review shall include, as a minimum, risk management processes and HACCP system and quality objectives.

1.3.2 A procedure for crisis management shall be defined, implemented and updated.

1.3.3 A procedure shall be in place to identify needs and expectations of customers.

1.3.4 Customer requirements shall be evaluated and considered when determining product safety and quality objectives.

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

- buildings,
- areas,
- machines and equipment,
- transport vehicles.

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

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

This review shall include as a minimum:

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

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

2 Quality and product safety management system

2.1 Product safety management

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

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

2.1.3 The risk management/HACCP system shall describe the differentiation between logistical handling of unpacked and packed products and between temperature controlled and ambient stable products. The company's own control system shall comply in relation to existing product risk.

2.2 Assemble risk management/HACCP team

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

2.2.2 The team leader shall be fully conversant in risk management, HACCP principles and their application. The team/team leader shall be able to demonstrate that he/she can identify, control and manage product safety hazards. Where competent knowledge is not available, external expert advice shall be obtained.

2.3 Risk management/HACCP management

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

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

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

- 2.3.4 A hazard analysis shall be undertaken to evaluate all physical, chemical and biological hazards, including allergens, that may reasonably be expected to occur.
- 2.3.5 The hazard analysis shall consider the likely occurrence of hazards and severity of their adverse health effects. Where risk classification is used, a hazard analysis with risk assessment shall be documented for each risk class.
- 2.3.6 For all steps/processes that demand a specific control to ensure product safety, the company shall implement, maintain and document specific control measures (for food e.g. determination of CP/CCP).
- 2.3.7 For the specific control measures, the appropriate critical limits shall be defined (e.g. determination of critical limits for each CP/CCP).
- 2.3.8 KO N° 3 [NA possible]: Where risks need specific control to ensure product safety, a monitoring system for each CCP shall be implemented with clear critical limits and documentation system in place, in the event of loss of control.**
- 2.3.9 In the event the monitoring of control points indicates that a critical limit is not under control (e.g. CP/CCP), appropriate corrective actions shall be taken and documented. Such corrective actions shall also take into account the control of any non-conforming products.
- 2.3.10 Procedures of validation shall be established to confirm that the risk management/HACCP system is effective. Validation of the system shall be performed at least annually. Examples of validation activities include e.g.:
- internal audits,
 - evaluations,
 - evaluation of complaints.
- The results of this validation shall be incorporated into the risk management/HACCP system and shall be communicated to the senior management.
- 2.3.11 Documentation shall be available, covering relevant processes, procedures, measures and records. Documentation and record keeping shall be appropriate in relation to the nature and size of the company.

2.4 Documentation requirements

- 2.4.1 The quality assurance system shall be documented and implemented, and this shall be retained in one location. The reason for any amendments to documents critical for the product requirements shall be recorded.

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

2.5 Record keeping

- 2.5.1 All relevant records, necessary for the product requirements shall be complete, detailed and maintained and shall be available on request.
- 2.5.2 Records shall be legible and genuine. Any amendments to records shall only be carried out by authorized persons. If monitoring records are documented electronically, a system shall be in place to ensure that only authorized personnel have access to produce or amend these records (e.g. by the use of a password).
- 2.5.3 All records shall be kept in accordance with legal requirement and at least for one year. Record keeping shall be based on a hazard analysis and assessment of associated risks.

3 Resource management

3.1 Personnel training/information

- 3.1.1 The company shall have documented training and employees information programs in place. The training programs records shall include:
- training contents,
 - training frequency (concerning food safety/hygiene at least once per year, for non-food once every two years is sufficient),
 - employee's task,
 - list of participants,
 - languages,
 - qualified trainer/tutor,
 - evaluation methodology.

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

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

3.2 Personnel hygiene

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

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

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

- 3.2.2 The requirements for personnel hygiene shall be in place and applied by all relevant personnel, contractors and visitors. Compliance with the requirements shall be monitored and recorded.
- 3.2.3 The protective clothing for employees and visitors shall be appropriate, dependent on the product and process requirements.
- 3.2.4 All protective clothing shall be thoroughly and regularly laundered. Hazard analysis and assessment of associated risks, together with consideration given to the processes and products of the company shall determine if clothing shall be washed by a contract laundry, on site laundry or by the employee.

3.3 Sanitary facilities, equipment for personnel hygiene and staff facilities

- 3.3.1 The company shall provide staff facilities, which shall be proportional in size and equipped for the number of personnel. Such facilities shall be kept in clean and good condition.
- 3.3.2 Adequate hand washing facilities shall be provided in the storage area, based upon a hazard analysis and assessment of associated risks.
- 3.3.3 Such hand washing facilities shall provide as a minimum:
- running potable water at an appropriate temperature,
 - liquid soap,
 - appropriate equipment for hand drying.

- 3.3.4 Where highly perishable, unpackaged food products or sensitive products are handled, the following additional requirements regarding hand washing/hygiene shall also be provided:
- hand contact-free fittings,
 - hand disinfection,
 - adequate hygiene equipments,
 - signs requesting hand washing,
 - waste container with hand contact-free opening.

4 Realisation of the service

4.1 General requirements for storage and transport

4.1.1 Contract review and communication

- 4.1.1.1 The requirements defined between the contract partners shall be established, agreed upon and reviewed with regard to their acceptability, before a supply agreement is concluded. All clauses related to product quality and safety shall be known and communicated to each relevant department.
- 4.1.1.2 There shall be records showing how changes to the existing contractual agreements are agreed and communicated.
- 4.1.1.3 If compliance to the agreed services is not possible (e.g. punctuality of delivery), the customer shall be informed promptly.
- 4.1.1.4 Updated emergency contact details (e.g. customer, applicable public authority) shall be available in case of incidents relating to product safety and quality.

4.1.2 Suppliers and service providers

- 4.1.2.1 There shall be a procedure for approval and monitoring of suppliers and service providers (internal and external). The approval and monitoring procedure shall include clear assessment criteria such as supplier reliability, complaints, audits, certificates of compliance as well as required performance standards.
- 4.1.2.2 The results of supplier's assessments shall be reviewed regularly, but at least annually. There shall be records of the reviews and of the actions taken as a consequence of assessment.

4.1.3 Specific requirements for material handling

- 4.1.3.1 The company shall have a procedure to avoid any contamination (also cross contamination caused by incompatible products in the same transport unit or storage room). A contamination by emissions, exhaust fumes, smell, foreign bodies, packaging material and any other contaminants shall be avoided.
- 4.1.3.2 Any product that has become contaminated or damaged shall be effectively controlled. An appropriate quarantine (blocking/hold) procedure shall apply after any incident.
- 4.1.3.3 If the customer requirements include the requirement for the absence of defined ingredients (e.g. GMO, allergens), measures shall be in place to prevent cross contamination of unpacked products.
- 4.1.3.4 Specific demanded requirements regarding product safety and/or protection of the environment (e.g. packing of damageable non-food products like electronic devices, pharmaceutical products) shall be met.
- 4.1.3.5 Pallets shall be checked at delivery to assess if they are in a good condition.

4.1.4 Logistical handling of dangerous goods

- 4.1.4.1 The company shall review if dangerous goods (according to legal requirements) are in the range of products which are handled by the company. Changes of products shall be considered.
- 4.1.4.2 A company handling dangerous goods shall appoint a person responsible for dangerous goods (e.g. dangerous goods officer in Europe).

4.1.5 Traceability

- 4.1.5.1 A traceability system shall be in place which is appropriate for the company and the products they handle.
- 4.1.5.2 The traceability system shall be tested on a periodic basis, but at least annually and the effectiveness shall be documented.
- 4.1.5.3 The company shall keep an updated register of all customers and their related products. In the storage area, the products shall be assigned to the customers.

4.1.6 Maintenance and repair

- 4.1.6.1 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.
- 4.1.6.2 Product requirements and prevention of contamination shall be ensured during and after maintenance and repair work. Detailed records of maintenance and repair work, including corrective actions taken, shall be kept.
- 4.1.6.3 All materials used for maintenance and repair shall be fit for the intended use (e.g. food-grade oils, non-toxic paints if unpacked products are handled).
- 4.1.6.4 Failures of site and equipment (incl. transport) covered by the maintenance system shall be documented and reviewed with a view to adapting the maintenance system.

4.1.7 Air conditioning/cooling

- 4.1.7.1 Requirements for environmental control (e.g. temperature, humidity) which influence product quality and product safety shall be defined and implemented.
- 4.1.7.2 An appropriate temperature management system shall be implemented to monitor the process at appropriate intervals.
- 4.1.7.3 Where the process requires air conditioning/chilled air, the equipment used for this purpose shall be adequately maintained and cleaned within an appropriate frequency.
- 4.1.7.4 In case of breakdown of the air conditioning/chilled system or in the event of deviations from the target temperature, an emergency corrective action procedure shall be in place.

4.1.8 Hygiene

- 4.1.8.1 Based on hazard analysis and assessment of associated risks, cleaning and disinfection schedules shall be available and implemented. These shall specify:
- responsibilities of staff,
 - the products used and their instructions for use,
 - the areas to be cleaned and/or disinfected,
 - objectives,
 - cleaning frequency,
 - documentation requirements,
 - hazard symbols (if necessary).

- 4.1.8.2 Where a company employs a third-party service provider for cleaning and disinfection activities, all the above requirements shall be clearly defined in the respective contract.
- 4.1.8.3 The effectiveness of the cleaning and disinfection measures shall be documented and verified. Corrective actions shall be implemented if necessary.
- 4.1.8.4 The facility exterior shall be clean and in good condition.
- 4.1.8.5 Current Material Safety Data Sheets (MSDS) and instructions for use shall be available on site for chemicals and cleaning agents. Instructions shall be known by the responsible personnel.
- 4.1.8.6 The intended use of cleaning utensils shall be clearly identified. Cleaning utensils shall be used in a way to avoid contamination.

4.2 Storage and handling

4.2.1 Constructional requirements

- 4.2.1.1 The working environment shall not have a negative effect on product safety and/or quality.
- 4.2.1.2 All working areas shall have adequate lighting.
- 4.2.1.3 At all stages in the transport and logistics process where glass from lighting can cause a contamination risk to open products, lighting equipment shall be protected by the use of shatter proof lights and installed to minimise the risk of breakage.
- 4.2.1.4 Procedure shall be in place describing the measures to be taken in case of breakage of glass and similar material. Such measures shall include:
- cleaning methods,
 - avoiding of contamination,
 - product quarantine (blocking/hold) and releasing.
- 4.2.1.5 The loading area shall be appropriate for its intended use. It shall be constructed in a way that:
- products are protected from rain,
 - accumulation of waste can be avoided,
 - condensation and formation of mould growth is prevented,
 - cleaning can be facilitated.

- 4.2.1.6 The floor, walls and ceilings shall be in good condition.
- 4.2.1.7 All equipment shall be easily accessible for cleaning and maintenance.
- 4.2.1.8 Windows, doors and gates shall be in good condition and shall be kept closed if not used.
- 4.2.1.9 The site security and access to the products shall be regulated risk based concerning product safety requirements.
- 4.2.1.10 Outdoor storage shall be kept to a minimum. Where goods are stored outside, hazard analysis and assessment of associated risks shall be undertaken in order to ensure that there is no risk of contamination or adverse effect on quality and product safety.

4.2.2 Pest monitoring/pest control

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

The pest control system shall be based on hazard analysis and assessment of associated risks.
- 4.2.2.2 The company shall have qualified and trained in-house staff, and/or employ the services of a qualified external provider. Where an external provider is used, the activities required on site shall be laid down in a written contract.
- 4.2.2.3 Following pest control inspections, any resulting recommendations and actions shall be documented, including the date and signatures of both parties. The products used for pest control shall not put product safety at risk. The effectiveness of the pest control shall be monitored with the help of regular trend analyses.
- 4.2.2.4 Incoming deliveries shall be checked on arrival for the presence of pests. Any infestation shall be documented and control measures taken.

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

4.2.3 Receipt of goods and storage

4.2.3.1 Procedure for the receipt of goods shall be implemented and shall be communicated to all relevant personnel. This procedure shall include general checking criteria (e.g. identification of products and vehicle), rules for goods acceptance, goods reject and conditional acceptance. Non-conformities shall be documented.

4.2.3.2 All products shall be clearly identified. Stock rotation and handling of goods shall be done in accordance with customer(s)' requirements (e.g. protective covering).

4.2.4 Waste disposal

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

4.2.4.2 Food waste and other waste shall be removed, risk based, from areas where food and/or sensitive goods are handled.

4.2.4.3 Waste collection containers shall be clearly marked and in a good condition.

4.2.4.4 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.

4.2.5 Storage service provider

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

4.2.5.2 The employees of the service provider shall know and apply the personnel hygiene requirements of the company.

4.3 Transport

4.3.1 Specific transport requirements

- 4.3.1.1 All transport vehicles and units used for transportation shall be able to maintain product to defined conditions within specified limits (e.g. temperature).
- 4.3.1.2 Where goods must be transported at defined conditions e.g. temperature, before loading, the conditions inside the vehicle shall be checked and documented to ensure compliance to the specified conditions.
- 4.3.1.3 Units used for transportation with controlled temperature (e.g. thermo-boxes) shall be clean and well maintained. A pre-cooling process shall be ensured before filling.
- 4.3.1.4 Cleaning of the transport unit shall be done with consideration of the specific hygienic requirements before changing from one load to another, if necessary. Cleaning certificates or other objective evidence that effective cleaning has been carried out shall be available if required by law or by the customer(s).

4.3.2 Transport service provider

- 4.3.2.1 Where a company uses a third-party transport service provider on a regular basis, all the requirements specified within section 4.1, 4.3 and 5.3 shall be clearly defined in the respective contract or the service provider shall be certified according to IFS Logistics requirements.
- 4.3.2.2 The drivers of the service provider shall know and apply the personnel hygiene requirements.
- 4.3.2.3 Where a company uses a third-party service provider on an irregular basis for the transport of packed products (spot market), the service provider shall be certified according to IFS Logistics or fulfil the following evidently and binding agreed requirements:
- the transport units and truck shall be clean and the function shall be ensured
 - temperature for product under controlled temperature shall be controlled
 - different products shall clearly be separated
 - there shall be absence of smells and other contamination (4.1.3.1)
 - requirement 4.1.1.3 shall be fulfilled
 - requirement 4.1.1.4 shall be fulfilled
 - requirements 5.3 shall be fulfilled.

If the order is forwarded to further sub-service providers, these defined requirements shall be met.

5 Measurements, analysis, improvements

5.1 Internal audits

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

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

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

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

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

5.2 Site inspections

5.2.1 Regular site inspections shall be planned and carried out, based upon risk. The site inspection shall include an assessment of product control, hygiene/cleaning, foreign body hazards, personnel hygiene, pest monitoring, transport units etc.

5.2.2 Following site inspections, any deviations found and the associated corrective actions shall be implemented and documented.

5.3 Calibration, adjustment and checking of measuring and monitoring devices

5.3.1 The company shall identify the measuring and monitoring devices required to ensure compliance with product requirements. A register of these devices shall be documented and devices clearly identified.

- 5.3.2 All measuring devices shall be checked, adjusted or 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 Management of complaints from authorities and customers

- 5.4.1 A system shall be in place for the management of product complaints.
- 5.4.2 All complaints shall be assessed by competent staff. Where it is justified, appropriate actions shall be taken, if necessary, immediately.
- 5.4.3 Complaints shall be analysed with a view to implementing preventive actions, which avoid the recurrence of the non-conformity.
- 5.4.4 The results of complaint data analysis shall be made available to the relevant responsible persons and to the senior management.

5.5 Management of non-conformities and non-conforming products

- 5.5.1 **KO N° 5: An effective procedure shall be in place for the management of all non-conforming products.**
- 5.5.2 The procedure for the management of non-conforming products shall include as a minimum:
- hazard analysis and assessment of associated risks,
 - procedure of product quarantine (blocking/hold),
 - identification (e.g. labelling),
 - clearly identified staff responsibilities.
- 5.5.3 The procedure for the management of non-conforming products shall be understood by all relevant employees.
- 5.5.4 Where non-conformities are identified, immediate corrections shall be taken to ensure that product requirements are complied with.

- 5.5.5 The effectiveness and timeliness of implementation of the procedure for managing non-conforming products shall be subject to internal testing at least annually, if no product quarantine (blocking/hold) has taken place. This shall be carried out in a manner to ensure the effective implementation and operation of the procedure.

5.6 Corrective actions

- 5.6.1 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.
- 5.6.2 **KO N° 6: Corrective actions shall be clearly formulated, documented and undertaken, as soon as possible to avoid further occurrence of non-conformity. The responsibilities and the timescales for corrective action shall be clearly defined.**
- 5.6.3 The performance of the implemented corrective actions shall be documented and the effectiveness shall be checked.
- 5.6.4 The corrective actions shall be communicated to the senior management.

6 Food defense and external inspections

6.1 Defense assessment

- 6.1.1 Responsibilities for food defense shall be clearly defined. The person responsible for food defense shall be part of key staff or shall have access to the top management team. Sufficient knowledge in this area shall be demonstrated by company.
- 6.1.2 A food defense hazard analysis and assessment of associated risks shall have been performed and documented. Based on this assessment and legal requirements, areas critical to security shall be identified. Food defense hazard analysis and assessments 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 of compliance shall be provided.

6.2 Site security

- 6.2.1 Based on a hazard analysis and assessment of associated risks, identified areas critical to security shall be adequately protected to prevent unauthorized access. Access points shall be controlled.
- 6.2.2 Procedures shall be in place to prevent and identify signs of tampering.

6.3 Personal and visitor security

- 6.3.1 Visitor policy shall contain specific 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 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.

Module 'Broker' (IFS Broker Version 1.5)

(This chapter is only applicable for a combined certification IFS Logistics/IFS Broker if a logistics company performs additional trading activities, it contains the complementary requirements of IFS Broker).

1 General additional requirements

1.1 Quality Management System

1.1.1 KO N° 1 (Broker): The basis of the company's product safety control system shall be a fully implemented, systematic and comprehensive risk management and/or HACCP system. For food, an HACCP system shall be used and based upon the Codex Alimentarius principles. In addition, statutory obligations with respect to the countries of production and destination shall be taken into account. The risk management concept shall relate to the respective location and shall include:

- a. A flow diagram encompassing all relevant levels of the brokerage transaction
- b. Risk description
- c. Measures to control the identified risk
- d. The steps referred to under points a)–c) shall be documented.

1.1.2 The risk assessment shall be regularly checked and if necessary revised/updated. The risk assessment shall also consider issues in relation to the presence of, risk of presence of GMO and allergens.

1.1.3 The risk assessment shall be carried out by persons with adequate knowledge of the processes and products involved. If this knowledge is inadequate, the company shall take appropriate steps to ensure the risk assessment is undertaken by competent person(s).

1.1.4 Records shall be securely stored and easily accessible.

1.2 Resource Management

1.2.1 The company shall ensure that all processes (documented and undocumented) are known by the relevant personnel and are applied consistently.

- 1.2.2 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.

2 Planning and Services Process

2.1 Contract agreement

- 2.1.1 It shall be ensured, that the specific quality and safety requirements of customers are communicated to the supplier and the preliminary stage.

2.2 Specifications and formulas

- 2.2.1 Specifications shall be available and in place for all finished products. They shall be up to date, unambiguous and always in conformance with legal and customer requirements.

- 2.2.2 **KO N° 2 (Broker): The customer specification shall be complied with.**

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

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

- 2.2.5 **KO N° 3 (Broker): Where there are customer agreements in relation to the product formula/recipe and technological requirements, these shall be complied with.**

2.3 Product development

- 2.3.1 The company shall have an implemented procedure for product development that takes into account risks and patents and that demonstrates that all existing and new products are designed to meet legal requirements.

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

- 2.3.3 Shelf life testing or appropriate assessment shall be carried out taking into account product formulation, packaging, manufacturing and declared conditions to establish minimum durability of the product.
- 2.3.4 Product development shall consider the results of organoleptic assessments.
- 2.3.5 A process shall be in place to ensure that labelling complies with current legislation of destination country and customer requirements.
- 2.3.6 Recommendations for preparation and/or use of the products shall be established. Where appropriate, customer requirements shall be included.
- 2.3.7 The progress and results of product development shall be properly recorded.

2.4 Purchasing

- 2.4.1 The company shall control purchasing processes to ensure that all externally sourced materials and services, which have an impact on product safety and quality, conform to requirements. Where a company chooses to outsource any process that may have an impact on product safety and quality, the company shall ensure control over such processes. Control of such outsourced processes shall be identified and documented within the product safety and quality management system.
- 2.4.2 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, based on a hazard analysis. If an IFS standard exists for the product category (IFS Food, IFS HPC, IFS PACsecure), the manufacturer of the (food, HPC or packaging) product who works for the broker shall be certified according to IFS or to an equivalent standard, unless the customer (the retailer) has expressly accepted other conditions. (If the supplier is not IFS certified, this shall be mentioned on the certificate).
- 2.4.3 The purchased products shall be checked in accordance with the existing specifications. 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. When several suppliers provide the same product to one customer, these suppliers shall have the same level of production checking.

- 2.4.4 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.
- 2.4.5 In case of private labels, a products' supplier approval system in accordance with customer requirements shall exist.

2.5 Product packaging

- 2.5.1 Detailed specifications shall exist for all packaging materials which comply with the current relevant legislation.
- 2.5.2 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.
- 2.5.3 If new labelling is required by the customer or by law, 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.
- 2.5.4 If new labelling is required by the customer or by law, labelling information shall be legible indelible and shall comply with agreed customer product specifications. This shall be regularly checked and checks shall be documented.

2.6 Traceability (including GMOs and allergens)

- 2.6.1 **KO N° 4 (Broker): A traceability system shall be in place which allows the full identification of product and the labelling of the product shall be done in a way to facilitate full traceability. The traceability system shall ensure full traceability from the supplier (defined to batch numbers) to the customer.**
- 2.6.2 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.

- 2.6.3 If required by customer, identified samples representative for the manufacturing lot shall be stored appropriately and kept until expiration of the stated minimum durability date of the finished product, and if necessary, for a determined period beyond this date.

2.7 Genetically modified organisms (GMOs)

- 2.7.1 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).
- 2.7.2 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.
- 2.7.3 Customer requirements concerning the GMO status of products shall be clearly implemented by the company.

3 Measurements, Analysis, Improvements

3.1 Product analysis

- 3.1.1 There shall be product analysis/testing 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.
- 3.1.2 **KO N° 5 (Broker): Where special analyses are demanded by the client/customer, they shall be defined in a testing plan and performed according to the defined requirements. Test results shall be available at the company site.**
- 3.1.3 Analyses, which are relevant for product 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).

- 3.1.4 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.
- 3.1.5 Results of analysis shall be evaluated promptly. Appropriate corrective measures shall be implemented 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 and reviewed appropriately.
- 3.1.6 Based on any internal or external information on product risks which may have an impact on product safety, the company shall update its control plan and/or take any appropriate measure to control impact on finished products.

3.2 Product quarantine and product release

- 3.2.1 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.

3.3 Management of incidents, product withdrawal, product recall

- 3.3.1 A documented procedure shall be defined for management of incidents and of potential emergency situations that impact product 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.
- 3.3.2 **KO N° 6 (Broker): 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.**

- 3.3.3 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.
- 3.3.4 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.

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.

<p>Allergen (EU)</p>	<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 IIIa to Directive 2000/13/EC of the European Parliament and of the Council as regards certain food ingredients.</p>
<p>Allergen (US)</p>	<p>There are 8 major allergens recognized in the United States according to the 2009 U.S. Food and Drug Administration (FDA) Model Food Code, Definitions section, page 12.</p> <p>(1) "Major food allergen" means:</p> <ol style="list-style-type: none"> (a) Milk, egg, fish (such as bass, flounder, cod, and including crustacean shellfish such as crab, lobster, or shrimp), tree nuts (such as almonds, pecans, or walnuts), wheat, peanuts, and soybeans (b) A Food ingredient that contains protein derived from a food, as specified in Subparagraph (1)(a) of this definition. <p>(2) "Major food allergen" does not include:</p> <ol style="list-style-type: none"> a) Any highly refined oil derived from a food specified in Subparagraph (1)(a) of this definition and any ingredient derived from such highly refined oil; or b) Any ingredient that is exempt under the petition or notification process specified in the Food Allergen Labeling and Consumer Protection Act of 2004 (Public Law 108–282).

Assessor (for accreditation bodies)	Person assigned by an accreditation body to perform, alone or as part of an assessment team, an assessment of a Conformity Assessment Body.
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 product safety hazard or reduce it to an acceptable level.
Codex Alimentarius	The Codex Alimentarius is a collection presented in a standard form of international food standards. It is based on the assumptions and decisions of the so-called Codex Alimentarius Commission, a joint committee of the Food and Agriculture Organization (FAO) and the World Health Organization (WHO) of the United Nations was first published 1963.
Company	General organisation (whereas the site is a unit of the company).
Contamination	Introduction or occurrence of a contaminant in product or product environment. Contamination does include: physical, chemical, biological contamination. Contamination can also mean correlation of packages among themselves.
Corporate	Company.
Correction	Action to eliminate a detected non-conformity or deviation.
Corrective action	Action to eliminate the cause of a detected non-conformity 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 product safety hazard in the product and/or the environment. A CP can be considered as an OPRP (Operational Prerequisite Program), as defined in ISO 22000.
Customer	A customer is a business company or person to whom logistical services (and in case of combined certification IFS Logistics/IFS Broker: traded products) are sold.
Dangerous goods	Substances, preparations and articles, which contain substances, which can pose specific hazards while the logistical handling, due to their nature, their physical or chemical characteristics or due to their state. These substances are listed in the regarding legislation (e.g. ADR in Europe).
Deviation	Non-compliance with a requirement but there is no impact on product safety related to products and processes. In the IFS, deviations are requirements scored with a B, C or D and KO requirements scored with a B.

Distribution	The distributor is the middleman between producers of goods and the trader or (usually) the business customer. Once a product has been manufactured, it is typically stored in a distribution warehouse. The product is then sold to retailers or customers.
Flow diagram	A systematic representation of the sequence of steps or operations used in the logistical handling of food or non-food products.
Food defense	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."
GMO	An organism, with the exception of human beings, in which the genetic material has been modified otherwise than natural multiplication or natural recombination.
HACCP system	A system which identifies evaluates and controls hazards which are significant for product safety.
Hazard	A biological, chemical or physical agent in, or condition of, food/product with the potential to cause an adverse health effect.
Hazard analysis	The process of collecting and evaluating information on hazards and conditions leading to their presence to decide which are significant for product safety and therefore should be addressed in risk management/HACCP plan.
Head office assessment (for accreditation bodies)	Assessment of the Conformity Assessment Body Head Office.
Highly perishable products	Products which, from the microbiological point of view, are likely after a short period to constitute an immediate danger to human health.
Incident	An unexpected, internal or external event, which concerns the product safety. In case of non-control of the event follows a hazard/a risk regarding the product safety.
Incident management	The identification/analysis of possible incidents/situations, which might lead to incidents and the development of strategies for planning and control (e.g. emergency plan, preventive actions).
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 <u>assurance</u> and <u>consulting</u> 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 <u>effectiveness of risk management, control, and governance processes</u> .
Loose products	Unpacked products (e.g. carcasses, loose bread), bulk goods (e.g. sugar) and goods in tank wagon (e.g. edible oil, milk).
Monitoring	The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a CCP is under control. See also Codex Alimentarius, General principles of Food hygiene, Guidelines for the application of the HACCP system, section 9.
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, product safety, internal dysfunctions and customer issues. In the IFS, defined non-conformities are Majors and KO's scored with a D.
Procedure	Specified way to carry out an activity or process. Procedures shall be implemented and the elaboration of procedures shall be done by documents or process description (e.g. flowchart).
Product	Independent article, which is logistically handled.
Product group	Grouping of products due to similar characteristics or legal requirements (e.g. dairy products, meat products).
Product recall	Any measure aimed at achieving the return of a dangerous product that has already been supplied or made available to consumers by the producer or distributor. The recall is initiated by the product owner, i.e. in the logistics branch usually by the customer of the logistics company. In this case the logistics service provider substantially participates in the achievement of the product recall procedure.
Product requirements	Product requirements includes: product safety, product quality, product legality, process and, in case of combined audits IFS Logistics/IFS Broker: specification of trade products.
Product withdrawal	Any measure aimed at preventing the distribution, display and offer of a product dangerous to the consumer. The withdrawal is initiated by the product owner, i.e. in the logistics branch usually by the customer of the logistics company. In this case the logistics service provider substantially participates in the achievement of the product recall procedure.

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/product.
Risk assessment	Risk assessment includes a risk evaluation with the process of comparing the estimated risks against given criteria to determine the acceptability of the risk and a risk control with implementation, maintaining, monitoring, and documentation of preventive measures and corrective actions in case of not acceptable levels of CP's.
Risk management (non-food)	Risk management includes a hazard analysis and a risk assessment on all stages of the product.
Senior management	Executive management.
Services	Logistical services, e.g. transport, storage, consignment, packing or other services, e.g. pest control, cleaning.
Site	A unit of the company.
Site inspection (versus Internal audits)	Site inspection covers specific subjects and can be carried out by any appropriate person. That means regular visits in any areas, for any purposes, to check the conformity (hygiene, pest control, product control, foreign body hazards, surrounding control etc.).
Storage	Stocking of products in destined premises.
Storage conditions	Product specific requirements for storage, e.g. humidity, temperature, atmosphere, exclusion of negative impacts and contamination.
Supplier	A supplier provides services and/or goods to a customer. They are consulted for the fulfillment of logistical services, e.g. suppliers of technical logistical equipment, of packaging material, sub-contractors etc.
System	Set of interrelated or interacting elements. System is a planned, sustainable structured course of action. Depending on the complexity, documentation is recommended. System includes: documentation, procedure description, control/monitoring, corrective action, site plan.
Traceability	Ability to trace and follow a product, through all stages of production, processing and distribution.
Transport	Transportation is the movement of goods from one place to another.
Turnover	Loading of goods during the logistics process (e.g. preparation, loading, unloading).

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 complete audit in order to evaluate his/her competence. The observer shall not be part of the audit (as a team member).</p> <p>The observer shall fulfil the same requirements as for trainers.</p> <p>This witness audit shall be a product safety audit and/or an audit under EN 45011/ISO IEC Guide 65 (future norm ISO 17065).</p> <p>On the application file of the auditor (sent afterwards to the IFS offices), the certification body shall precise the name of the company, audit date and name of the person who observed the auditor.</p> <p>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 auditors, who are approved to perform audits according to IFS Logistics	<p>The auditor who is witnessed shall be accompanied by an observer from the certification body during a complete IFS Logistics (or IFS Food or IFS HPC) audit, in order to evaluate his/her competence. The observer shall not be part of the audit (as a team member).</p> <p>The observer shall fulfil the same requirements as for trainers or shall be an IFS auditor who is approved to perform audits according to IFS Logistics (IFS Food/HPC approval with participation in IFS Logistics training or IFS Logistics approval).</p> <p>The witness audit shall be an IFS Logistics or IFS Food or IFS HPC audit.</p> <p>The certification body shall precise the name of the observer in the participants' list of the IFS audit report and shall be able to provide minutes of this witness audit.</p>

ANNEX 2: COMPULSORY FIELDS TO BE COMPLETED BY THE AUDITOR

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

The following points shall at any rate be replied to:

Part of the audit report	Number of IFS Logistics v2 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>Company profile</i>	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 site, – If available, the registration numbers of the company by authorities and GS1 number, – The COID (IFS identification code number), in case of renewal audit, – When the last investment was made, service and/or product oriented investments concerning quality and safety (construction changes, machines). Specify the kind of investment made in areas of logistics activities/product handling, – 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 handled in the company, – Complete view and number of the company's logistics activities,** numbers of gates for loading/unloading – If the audited company performs additional trading activities, specify the kind of products,** – How many employees are there, listed according to full-time and part-time workers (own employees, external companies), shift work,** – The number and names of the sub-companies (sites) of the company (where are they situated, if they are IFS certified), precision about names and kinds of sub-contracted part(s) of the logistical services,** – The site area 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.
<i>Corporate structure</i>	KO N° 1: 1.2.4	Description of senior management responsibilities.
<i>Product safety management</i>	KO N° 2: 2.1.1 and KO N° 1 (Broker): 1.1.1	Description of the risk management/HACCP plans and available flow diagrams.
<i>Assemble risk management/HACCP team</i>	2.2.1	Description of the risk management/HACCP team (job functions).

Part of the audit report	Number of IFS Logistics v2 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>Risk management/ HACCP management</i>	KO N° 3: 2.3.8	Description for all CCP's of: – the process – the step – the CCP – the respective critical limits. Description of the monitoring procedure for each CCP As there is a possibility to score this KO as NA, in this case, the auditor shall explain the reasons why.
<i>Contract review and communication</i>	4.1.1.1	The auditor shall provide the following information: – number of checked customer contracts, – which information has been checked, – which method.
<i>Contamination risk</i>	4.1.3.1	Description. The auditor shall provide the following information: – The measures to avoid contamination.
<i>Dangerous goods</i>	4.1.4.1	The auditor shall provide the following information: – are dangerous goods handled? – if yes: which kind of dangerous goods? – If yes: who is responsible for dangerous goods?
<i>Traceability</i>	4.1.5.1 and KO N° 3 (Broker): 2.2.5	Description: – of the traceability system and documentation for traceability in the company, – of the results, in detail, of traceability tests during the audit and the samples used for this/these test/s. The traceability test/s shall always be based on a sample handled for a retailer or at least chosen by the auditor.
<i>Temperature management system</i>	4.1.7.2	The auditor shall provide the following information: – Which kind of system is applied? – Kind of the temperature documentation?
<i>Pest monitoring/ pest control</i>	4.2.2.1	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>Receipt of goods</i>	4.2.3.1	The auditor shall provide the following information: – Which criteria are checked during the receipt of goods? – How are deviations documented?
<i>Receipt of goods</i>	4.2.3.2	The auditor shall provide the following information: – How are these deviations from customer requirements identified?
<i>Storage service provider</i>	4.2.5.1	The auditor shall provide the following information: – How many storage service providers are assigned? – Which product groups are stored there? – How many storage service providers are certified according to IFS Logistics?
<i>Transport service provider</i>	4.3.2.1	The auditor shall provide the following information: – Number of the transport service provider? – Number of the sub-service contracts, which have been checked. – How many transport service provider are certified according to IFS Logistics?

Part of the audit report	Number of IFS Logistics v2 requirement	Compulsory remarks to be added ** to be additionally described in English, if the company profile is written in a different language from English
Transport service provider	4.3.2.2	The auditor shall provide the following information: – Are transport service providers on a irregular basis, from the spot market assigned? – Which of these service providers has been checked at random?
Internal audits	5.1.2	The auditor shall provide the following information: – Which activities has the company identified as critical to product safety and to product specifications?
Complaint management	5.4.1	The auditor shall provide the following information: – How often complaints (linked to product safety and quality) are received? Differentiation between complaints by customers/retailers and authorities. – Number of complaints raised from customers (e. g. per million of handled units) – Number of complaints raised from authorities – Number of complaints linked to non-conformities.
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?
Specifications	KO N°2 (Broker): 2.2.2	Description of name of specification which have been checked during the audit.
Product analysis	KO N°4 (Broker): 2.6.1	The auditor shall provide the following information: – Are special analyses demanded by the customer? Which? – Which analyses are performed in the own laboratory? – Which analyses are performed by an external laboratory?
Withdrawal/recall	KO N°5 (Broker): 3.1.2	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 product safety issue in case of recall.

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

IFS accreditation and certification process

0 Introduction

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

1 Requirements for the Accreditation Bodies

1.1 General requirements

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

As soon as it will come into force, the accreditation bodies shall also fulfill the GFSI 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 Logistics accreditation activity shall have sufficient knowledge of the IFS Logistics scheme, related normative documents and logistics industry.

Decisions on accreditation can only be made following a recommendation of a competent person or accreditation committee. The person in charge, or at least one member of the accreditation committee, shall have taken part in an IFS Logistics training session – organised by IFS

or shall be able to demonstrate equivalent knowledge level as confirmed by IFS. In case of a committee, the trained person provides the other members of the accreditation committee with the necessary information. This information is based on the main points of the IFS Logistics course.

1.3 Competences of the assessor of the accreditation body

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

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

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

Head office assessors shall, at a minimum:

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

1.4 Frequency of the assessments of certification bodies

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

During the surveillance of the accreditation cycle:

- A minimum of one head office assessment a year,
- A minimum of one witness assessment every two (2) years

shall take place.

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 Logistics audits and issuing IFS Logistics certificates. To recover accreditation, 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 Logistics certificates, in order to decide if further actions (e.g. withdrawal of recent certificates or additional IFS renewal audit) will be necessary.

2 Requirements for the Certification Bodies

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

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

The certification body shall be accredited according to ISO/IEC Guide 65 (future ISO/IEC 17065 norm) for the scope of IFS Logistics by an IAF or EA recognised accreditation body (see section 1). Certification bodies in the process of IFS accreditation to ISO/IEC Guide 65 (future ISO/IEC 17065 norm) may organise the witness assessment before having achieved accreditation status. They shall demonstrate that they are actively applying for ISO/IEC Guide 65 (future ISO/IEC 17065 norm) accreditation. If the certification body is accredited for IFS Food without relevant accreditation extension for IFS Logistics, the accreditation logo shall not be used on certificates and any other documents.

Note: In case of withdrawal or suspension of the ISO/IEC Guide 65 (future norm ISO/IEC 17065) accreditation for the scope of IFS Logistics for the certification body, the whole certification process is stopped and the certification body is no longer allowed to issue any IFS certificates. In particular, the certification body cannot issue IFS Logistics certificates from the date of withdrawal or suspension, even for the audits which have been already performed but which are still in the certification process (review of the report, certification decision, etc.).

2.2 Signing of contract with the proprietor of IFS

After having applied and then gained IFS accreditation to ISO/IEC 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 person in charge of assessing the audit reports (reviewer) shall be either an approved IFS Food/HPC/Logistics auditor, an IFS trainer (in case of auditors coming from the food sector) or shall fulfil the following rules:

- 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 IFS Logistics course
- To be different of the person who performed the audit.

The review shall be documented.

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 Food/HPC/Logistics auditor, an IFS trainer (in case of auditors coming from the food sector) 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.

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 Logistics (or IFS Food or IFS HPC) on-site witness audit at least once every two (2) years and the results of this witness audit shall be documented. The observer shall be an IFS auditor, who is approved to perform audits according to IFS Logistics (IFS Food/HPC approval with participation in IFS Logistics training or IFS Logistics approval) or shall follow the same rules as for trainers (in case of auditors coming from the food sector, 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 Logistics audits of the same company (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 Logistics 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 Logistics 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 (this training can also be the yearly training for IFS Food/IFS HPC and, from time to time, also IFS Logistics topics shall be included).
- To perform an on-site witness audit of an auditor during a product 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).
- To include the name of the observer in the audit portal when uploading the audit data, when it has scheduled specific on-site IFS Logistics witness audit(s) according to chapter 4.7 of ISO/IEC Guide 65 (future ISO/IEC 17065 norm) on internal audits.
- 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 language, competence(s), etc. for each IFS audit.

2.5 Specific requirements for IFS trainers

In case of auditors coming from the food sector:

IFS trainers shall have the following profile:

- Fulfil requirements for IFS Food auditors as described in the Standard IFS Food Version 6
- Have audit experience to GFSI standards or other food safety schemes,

- Have knowledge of food legislation,
- Have taken part in a “Train the Trainer” course organised by IFS,
- Be fluent in writing and speaking the languages they will use during participating at training and leading training; they shall inform the IFS offices about the languages they are able to use when teaching.

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. These seminars are organised by IFS and shall be the basis for in-house training to all auditors.

2.6 “Train the Trainer” course

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

Note: Train the trainer course only concern IFS Food auditors.

If the certification body does not work with IFS Logistics approved auditors being IFS Food auditors (see requirements of qualification in chapter 3), participation at a Train the trainer course is not applicable.

3 Requirements for IFS auditors, approved to perform audits according to IFS Logistics

To perform audits according to IFS Logistics Version 2, the auditor shall be approved for IFS Food (with additional participation in an IFS Logistics course), IFS HPC (with additional participation in an IFS Logistics course) or directly for IFS Logistics. The required qualification is different depending on the scope of IFS Logistics Version 2 (see table 1).

The approval procedure for IFS Logistics auditors, which are not already approved for IFS Food or IFS HPC will be available six months after the publication of the Standard.

Table 1: Required auditor qualification for the IFS Logistics scopes

Scope		Required auditor qualification
Storage and distribution (purchasing activities with influence on product quality are excluded)	Food	IFS Food approval + IFS Logistics training OR IFS Logistics approval*
	Non-Food	IFS HPC approval + IFS Logistics training OR IFS Food approval + IFS Logistics training OR IFS Logistics approval*
Transport	Food	IFS Food approval + IFS Logistics training OR IFS Logistics approval*
	Non-Food	IFS HPC approval + IFS Logistics training OR IFS Food approval + IFS Logistics training OR IFS Logistics approval*
Logistics and additional trading activities (Module 'Broker' of the checklist applies; combined certification IFS Logistics 2/IFS Broker 1.5)	Food	IFS Food approval + IFS Logistics training + IFS Broker training
	Non-Food	IFS HPC approval + IFS Logistics training + IFS Broker training OR IFS Food approval + IFS Logistics training + IFS Broker training

* a separate approval procedure for IFS Logistics auditor will be published by IFS.

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

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

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

3.1 IFS Logistics training

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

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

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

3.2 Audit team

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

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

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

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

The minimum audit duration shall anyway be 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).

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

0 Introduction

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

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

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

1 Reporting

1.1 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 and, if applicable: trade products). The audit scope shall always be translated as well in English language
- if applicable (in case of handling food or HPC products): numbers of product 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 processes, if there are subcontracted activities, if applicable: trade products, etc.) shall be described in order to identify all processes and, if applicable, products. 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 all chapters

- a list of all established deviations and non-conformities for each chapter (1 to 6)
- compulsory explanations for some IFS Logistics 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 Logistics process, the certification body shall issue a certificate. For the purposes of international recognition, and so as to be understandable, IFS certificates awarded by the certification body shall include the following information 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
- audit scope (with mandatory detailed descriptions of processes and, if applicable, trade products). The audit scope shall always be translated as well into English language
- if applicable (in case of a combined audit IFS Logistics/IFS Broker): name and number of product scope(s) of the additional trading activities
- level achieved
- audit score in percentage, if required by the customer or by the

- audited company
- date of audit (last day of audit)
- date of follow up audit if relevant
- latest possible date for the next audit (renewal audit)
- 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 Logistics logo

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.

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 Logistics
Version 2**

Final Audit Report

Audited company: "Logistics GmbH"

Date of audit: 02.07./03.07.2012

Name and address of certification body

Accreditation number of the certification body

First pages of the audit report

IFS Logistics Version 2, October 2012 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. 2012 (09:00–18:00) 03. 07. 2012 (08:30–17:30)		<i>Date/time of previous audit:</i> 06. 07. 2011 (09:00–18:00) 07. 07. 2011 (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> Logistics AG Example street 12345 Witzenhausen Germany			<i>Name and address of the audited site</i> Logistics GmbH Musterstraße 12346 Berlin Germany		
			<i>EAN Code/UCC Global Location Number</i> <i>COID</i>		
Phone: 0 12 34 56	Fax: 01 23 45 67 89	Phone: 0 12 34 57	Fax: 01 23 45 67 88		
Scope of audit					
Ambient stable transport and chilled storage of Product scope 5: fruits and vegetables (Mandatory translation into English of the audit scope)					
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 Manager	X		X	X
Final Result of Audit					
As a result of the audit performed on 02. 07. and 03. 07. 2012, “xyz” found that the logistical activities of Logistics GmbH for the above-mentioned scope of logistics activities comply with the requirements set out in the IFS Logistics, Version 2, at Foundation Level , with a score of XX%.					Next audit in 12 months
Company profile					
(Mandatory translation into English of detailed activity of the company including all processes) Audit duration, recommended by IFS (one day): 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 product safety and/or the legal requirements of 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 < 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 ≥ 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 ≥ 75 % and < 95 %	Approved at foundation IFS Logistics 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 Logistics 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 Logistics Version 2, October 2012 Audit Report

Result:

The logistical activities of company "Logistics GmbH" met the requirements of the IFS Logistics, Version 2.

The company passed with a score of XX% at:

Foundation (Higher) level
... %

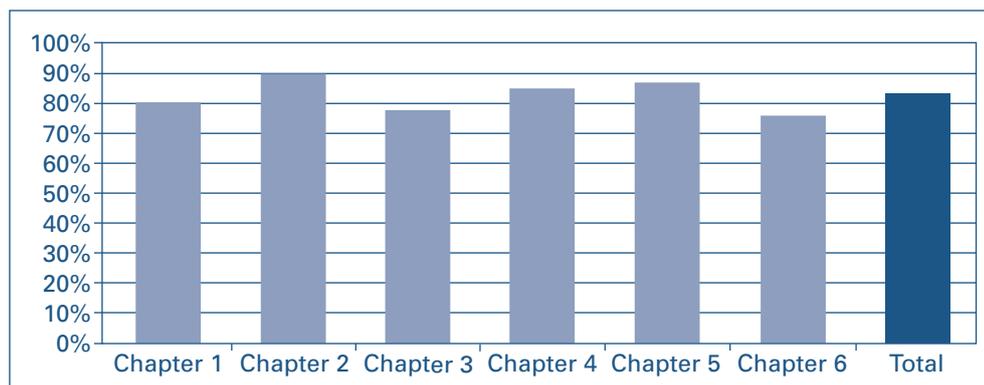
Date of renewal audit: between the XX/XX and the XX/XX.

Summary:

	Chapter 1	Chapter 2	Chapter 3	Chapter 4	Chapter 5	Chapter 6
	Senior management responsibility	Quality and product safety management system	Resource management	Realization of the service	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 Logistics certification and having signed an agreement with the IFS owner, confirms that the logistical activities of

Name of the audited company Address

COID
(Headquarter)

for the audit scope:

(detailed descriptions of processes (logistical services)/products)

(if the company performs additional trading activities but these are not covered by a combined certification IFS Logistics/IFS Broker, please note: "trade activity of (products) is not included")

meet the requirements set out in the

IFS Logistics Version 2, October 2012

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



ANNEX: List of audit requirements

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
1	Senior management responsibility						
1.1	Corporate policy/Corporate principles						
1.1.1	The senior management shall draw up and implement corporate policy. This shall consider as a minimum the following criteria: – product safety, – customer focus, – environmental responsibility, – sustainability, – personnel responsibility. The corporate policy shall be communicated to all employees.						
1.1.2	The corporate policy, the quality and product safety objectives shall be communicated to the employees in the respective departments and shall be effectively implemented.						
1.1.3	The company shall assign responsibility for external communications (crisis management, authorities and communication with media) to a specified job holder.						
1.2	Corporate structure						
1.2.1	An organization chart shall be available showing the structure of the company.						
1.2.2	Competences and responsibilities, including deputisation of responsibility shall be clearly laid down in process instructions or documents.						
1.2.3	The department responsible for quality and product safety management and/or the IFS Logistics representative shall have a direct reporting relationship to the senior management.						
1.2.4	KO N° 1: Senior management shall be responsible for the corporate policy and objectives. The necessary resources and investments to ensure the product safety, legality and quality according to client agreements and specifications shall be provided.						
1.2.5	The company shall ensure that the employees are aware of their responsibilities and this shall be reviewed at least annually.						
1.2.6	The company shall have a system in place to ensure that it is kept informed of all relevant legislation. The legal requirements shall be implemented by the appropriate department(s).						
1.3	Management review						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
1.3.1	Senior management shall ensure that the quality and product safety management system is reviewed at least annually or more frequently if changes occur, to assure its effectiveness. The review shall include, as a minimum, risk management processes and/or HACCP system and quality objectives.						
1.3.2	A procedure for crisis management shall be defined, implemented and updated.						
1.3.3	A procedure shall be in place to identify needs and expectations of customers.						
1.3.4	Customer requirements shall be evaluated and considered when determining product safety and quality objectives.						
1.3.5	The company shall identify and review regularly, but at least annually, the infrastructure needed to achieve conformity with product requirements (e.g. by internal audits or on-site inspection). This review shall include, e.g.: – buildings, – areas, – machines and equipment, – transport vehicles. The results of the review shall be considered, with due consideration to risk, for investment planning.						
1.3.6	The company shall identify and review regularly, but at least annually, the work environment needed to achieve conformity with product requirements (e.g. by internal audits or on-site inspection). This review shall include as a minimum: – staff facilities, – safety and security at work, – hygienic conditions. The results of the review shall be considered, with due consideration to risk, for investment planning.						
2	Quality and product safety management system						
2.1	Product safety management						
2.1.1	KO N° 2: The basis of the company's product safety control system shall be a fully implemented, systematic and comprehensive system and shall incorporate a risk management and/or HACCP system. For food, an HACCP system shall be used and be based upon the Codex Alimentarius principles.						
2.1.2	The risk management or HACCP system shall cover all product groups as well as every process from goods receiving to dispatch and delivery.						
2.1.3	The risk management/HACCP system shall describe the differentiation between logistical handling of unpacked and packed products and between temperature controlled and ambient stable products. The company's own control system shall comply in relation to existing product risk.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.2	Assemble risk management/HACCP team						
2.2.1	The company shall have a risk management team or HACCP team, which is multi-disciplinary. The team shall have strong senior management support and members of the team shall have detailed knowledge of activities across the whole facility.						
2.2.2	The team leader shall be fully conversant in risk management or HACCP principles and their application. The team/team leader shall be able to demonstrate that he/she can identify, control and manage product safety hazards. Where competent knowledge is not available, external expert advice shall be obtained.						
2.3	Risk management/HACCP management						
2.3.1	The company shall clearly identify the scope of its responsibilities in the transport and logistics chain. The risk management/HACCP management shall be based on this scope.						
2.3.2	Complete descriptions of services shall be available for all product groups and shall include relevant information concerning product safety, e.g. handling, storage, transport and delivery means and respective conditions.						
2.3.3	A current version of the flow diagram shall be available for logistical services. In the event of any changes, the flow diagram shall be updated.						
2.3.4	A hazard analysis shall be undertaken to evaluate all physical, chemical and biological hazards, including allergens, that may reasonably be expected to occur.						
2.3.5	The hazard analysis shall consider the likely occurrence of hazards and severity of their adverse health effects. Where risk classification is used, a hazard analysis with risk assessment shall be documented for each risk class.						
2.3.6	For all steps/processes that demand a specific control to ensure product safety, the company shall implement, maintain and document specific control measures (for food e.g. determination of CP/CCP).						
2.3.7	For the specific control measures, the appropriate critical limits shall be defined (e.g. determination of critical limits for each CP/CCP).						
2.3.8	KO N° 3 [NA possible]: Where risks need specific control to ensure product safety, a monitoring system for each CCP shall be implemented with clear critical limits and documentation system in place , in the event of loss of control.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.3.9	In the event the monitoring of control points indicates that a critical limit is not under control (e.g. CP/CCP), appropriate corrective actions shall be taken and documented. Such corrective actions shall also take into account the control of any non-conforming products.						
2.3.10	Procedures of validation shall be established to confirm that the risk management/HACCP system is effective. Validation of the system shall be performed at least annually. Examples of validation activities include e.g.: – internal audits, – evaluations, – evaluation of complaints. The results of this validation shall be incorporated into the risk management/HACCP system and shall be communicated to the senior management.						
2.3.11	Documentation shall be available, covering relevant processes, procedures, measures and records. Documentation and record keeping shall be appropriate in relation to the nature and size of the company.						
2.4	Documentation requirements						
2.4.1	The quality assurance system shall be documented and implemented, and this shall be retained in one location. The reason for any amendments to documents critical for the product requirements shall be recorded.						
2.4.2	All necessary documents shall be available in their latest version. They shall be appropriately authorized and available to relevant personnel at all times. The documentation can be retained on hard copy or electronically. With respect to IT-based documentation, this shall be traceable to an authorising signatory.						
2.5	Record keeping						
2.5.1	All relevant records, necessary for the product requirements shall be complete, detailed and maintained and shall be available on request.						
2.5.2	Records shall be legible and genuine. Any amendments to records shall only be carried out by authorized persons. If monitoring records are documented electronically, a system shall be in place to ensure that only authorized personnel have access to produce or amend these records (e.g. by the use of a password).						
2.5.3	All records shall be kept in accordance with legal requirement and at least for one year. Record keeping shall be based on a hazard analysis and associated risks.						
3	Resource management						
3.1	Personnel training/ information						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
3.1.1	The company shall have documented training and employees information programs in place. The training programs records shall include: <ul style="list-style-type: none"> – training contents, – training frequency (concerning food safety/hygiene at least once per year, for non-food once every two years is sufficient), – employee’s task, – list of participants, – languages, – qualified trainer/tutor, – evaluation methodology. Before commencing work, basic product safety training shall take place.						
3.1.2	The documented training programs shall apply to all personnel, including seasonal and temporary workers, employed in the respective work area.						
3.2	Personnel hygiene						
3.2.1	There shall be documented requirements relating to personnel hygiene, and where appropriate to control of infection. These shall include as a minimum: <ul style="list-style-type: none"> – hand washing and disinfection, – eating and drinking, – smoking, – actions to be taken in case of cuts or skin abrasions. The requirements shall be based on hazard analysis and assessment of associated risks in relation to product and process.						
3.2.2	The requirements for personnel hygiene shall be in place and applied by all relevant personnel, contractors and visitors. Compliance with the requirements shall be monitored and recorded.						
3.2.3	The protective clothing for employees and visitors shall be appropriate, dependent on the product and process requirements.						
3.2.4	All protective clothing shall be thoroughly and regularly laundered. Hazard analysis and assessment of associated risks, together with consideration given to the processes and products of the company shall determine if clothing shall be washed by a contract laundry, on site laundry or by the employee.						
3.3	Sanitary facilities, equipment for personnel hygiene and staff facilities						
3.3.1	The company shall provide staff facilities, which shall be proportional in size and equipped for the number of personnel. Such facilities shall be kept in clean and good condition.						
3.3.2	Adequate hand washing facilities shall be provided in the storage area, based upon a hazard analysis and assessment of associated risks.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
3.3.3	Such hand washing facilities shall provide as a minimum: – running potable water at an appropriate temperature, – liquid soap, – appropriate equipment for hand drying.						
3.3.4	Where highly perishable and unpackaged food products or sensitive products are handled, the following additional requirements regarding hand washing/hygiene shall also be provided: – hand contact-free fittings, – hand disinfection, – adequate hygiene equipments, – signs requesting hand washing, – waste container with hand contact-free opening.						
4	Realisation of the service						
4.1	General requirements for storage and transport						
4.1.1	Contract review and communication						
4.1.1.1	The requirements defined between the contract partners shall be established, agreed upon and reviewed with regard to their acceptability, before a supply agreement is concluded. All clauses related to product quality and safety shall be known and communicated to each relevant department.						
4.1.1.2	There shall be records showing how changes to the existing contractual agreements are agreed and communicated.						
4.1.1.3	If compliance to the agreed services is not possible (e.g. punctuality of delivery), the customer shall be informed promptly.						
4.1.1.4	Updated emergency contact details (e.g. customer, applicable public authority) shall be available in case of incidents relating to product safety and quality.						
4.1.2	Suppliers and service providers						
4.1.2.1	There shall be a procedure for approval and monitoring of suppliers and service providers (internal and external). The approval and monitoring procedure shall include clear assessment criteria such as supplier reliability, complaints, audits, certificates of compliance as well as required performance standards.						
4.1.2.2	The results of supplier's assessments shall be reviewed regularly, but at least annually. There shall be records of the reviews and of the actions taken as a consequence of assessment.						
4.1.3	Specific requirements for material handling						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.1.3.1	The company shall have a procedure to avoid any contamination (also cross contamination caused by incompatible products in the same transport unit or storage room). A contamination by emissions, exhaust fumes, smell, foreign bodies, packaging material and any other contaminants shall be avoided.						
4.1.3.2	Any product that has become contaminated or damaged shall be effectively controlled. An appropriate quarantine (blocking/hold) procedure shall apply after any incident.						
4.1.3.3	If the customer requirements include the requirement for the absence of defined ingredients (e.g. GMO, allergens), measures shall be in place to prevent cross contamination of unpacked products.						
4.1.3.4	Specific demanded requirements regarding product safety and/or protection of the environment (e.g. packing of damageable non-food products like electronic devices, pharmaceutical products) shall be met.						
4.1.3.5	Pallets shall be checked at delivery to assess if they are in a good condition.						
4.1.4	Logistical handling of dangerous goods						
4.1.4.1	The company shall review if dangerous goods (according to legal requirements) are in the range of products which are handled by the company. Changes of products shall be considered.						
4.1.4.2	A company handling dangerous goods shall appoint a person responsible for dangerous goods (e.g. dangerous goods officer in Europe).						
4.1.5	Traceability						
4.1.5.1	A traceability system shall be in place which is appropriate for the company and the products they handle.						
4.1.5.2	The traceability system shall be tested on a periodic basis, but at least annually and the effectiveness shall be documented.						
4.1.5.3	The company shall keep an updated register of all customers and their related products. In the storage area, the products shall be assigned to the customers.						
4.1.6	Maintenance and repair						
4.1.6.1	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.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.1.6.2	Product requirements and prevention of contamination shall be ensured during and after maintenance and repair work. Detailed records of maintenance and repair work, including corrective actions taken, shall be kept.						
4.1.6.3	All materials used for maintenance and repair shall be fit for the intended use (e.g. food-grade oils, non-toxic paints if unpacked products are handled).						
4.1.6.4	Failures of site and equipment (incl. transport) covered by the maintenance system shall be documented and reviewed with a view to adapting the maintenance system.						
4.1.7	Air conditioning/cooling						
4.1.7.1	Requirements for environmental control (e.g. temperature, humidity) which influence product quality and product safety shall be defined and implemented.						
4.1.7.2	An appropriate temperature management system shall be implemented to monitor the process at appropriate intervals.						
4.1.7.3	Where the process requires air conditioning/ chilled air, the equipment used for this purpose shall be adequately maintained and cleaned within an appropriate frequency.						
4.1.7.4	In case of breakdown of the air conditioning/ chilled system or in the event of deviations from the target temperature, an emergency corrective action procedure shall be in place.						
4.1.8	Hygiene						
4.1.8.1	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"> – responsibilities of staff, – the products used and their instructions for use, – the areas to be cleaned and/or disinfected, – objectives, – cleaning frequency, – documentation requirements, – hazard symbols (if necessary). 						
4.1.8.2	Where a company employs a third-party service provider for cleaning and disinfection activities, all the above requirements shall be clearly defined in the respective contract.						
4.1.8.3	The effectiveness of the cleaning and disinfection measures shall be documented and verified. Corrective actions shall be implemented if necessary.						
4.1.8.4	The facility exterior shall be clean and in good condition.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.1.8.5	Current Material Safety Data Sheets (MSDS) and instructions for use shall be available on site for chemicals and cleaning agents. Instructions shall be known by the responsible personnel.						
4.1.8.6	The intended use of cleaning utensils shall be clearly identified. Cleaning utensils shall be used in a way to avoid contamination.						
4.2	Storage and handling						
4.2.1	Constructional requirements						
4.2.1.1	The working environment shall not have a negative effect on product safety and/or quality.						
4.2.1.2	All working areas shall have adequate lighting.						
4.2.1.3	At all stages in the transport and logistics process where glass from lighting can cause a contamination risk to open products, lighting equipment shall be protected by the use of shatter proof lights and installed to minimise the risk of breakage.						
4.2.1.4	Procedure shall be in place describing the measures to be taken in case of breakage of glass and similar material. Such measures shall include: <ul style="list-style-type: none"> – cleaning methods, – avoiding of contamination, – product quarantine (blocking/hold) and releasing. 						
4.2.1.5	The loading area shall be appropriate for its intended use. It shall be constructed in a way that: <ul style="list-style-type: none"> – products are protected from rain, – accumulation of waste is avoided, – condensation and formation of mould growth is prevented, – cleaning can be facilitated. 						
4.2.1.6	The floor, walls and ceilings shall be in good condition.						
4.2.1.7	All equipment shall be easily accessible for cleaning and maintenance.						
4.2.1.8	Windows, doors and gates shall be in good condition and shall be kept closed if not used.						
4.2.1.9	The site security and access to the products shall be regulated risk based concerning product safety requirements.						
4.2.1.10	Outdoor storage shall be kept to a minimum. Where goods are stored outside, hazard analysis and assessment of associated risks shall be undertaken in order to ensure that there is no risk of contamination or adverse effect on quality and product safety.						
4.2.2	Pest monitoring/pest control						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.2.2.1	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 site environment (potential pests), – site plan with area for application (bait map), – identification of the baits on-site, – responsibilities (in-house/external), – products/agents and their instructions for use and safety, – the frequency of inspections. The pest control system shall be based on hazard analysis and assessment of associated risks.						
4.2.2.2	The company shall have qualified and trained in-house staff, and/or employ the services of a qualified external provider. Where an external provider is used, the activities required on site shall be laid down in a written contract.						
4.2.2.3	Following pest control inspections, any resulting recommendations and actions shall be documented, including the date and signatures of both parties. The products used for pest control shall not put product safety at risk. The effectiveness of the pest control shall be monitored with the help of regular trend analyses.						
4.2.2.4	Incoming deliveries shall be checked on arrival for the presence of pests. Any infestation shall be documented and control measures taken.						
4.2.2.5	Products and transportation vehicles shall be stored so as to minimize the risk of pest infestation. Where stored product and/or machines may attract pests, appropriate measures shall be taken to prevent risk of contamination.						
4.2.3	Receipt of goods and storage						
4.2.3.1	Procedure for the receipt of goods shall be implemented and shall be communicated to all relevant personnel. This procedure shall include general checking criteria (e.g. identification of products and vehicle), rules for goods acceptance, goods reject and conditional acceptance. Non-conformities shall be documented.						
4.2.3.2	All products shall be clearly identified. Stock rotation and handling of goods shall be done in accordance with customer(s)' requirements (e.g. protective covering).						
4.2.4	Waste disposal						
4.2.4.1	All current legal requirements for waste disposal shall be met.						
4.2.4.2	Food waste and other waste shall be removed, risk based, from areas where food and/or sensitive goods are handled.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.2.4.3	Waste collection containers shall be clearly marked and in a good condition.						
4.2.4.4	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.						
4.2.5	Storage service providers						
4.2.5.1	Where a company employs a third-party storage service provider, all the requirements specified within section 4.1, 4.2 and 5.3 shall be clearly defined in the respective contract or the service provider shall be certified according to IFS Logistics requirements.						
4.2.5.2	The employees of the service provider shall know and apply the personnel hygiene requirements of the company.						
4.3	Transport						
4.3.1	Specific transport requirements						
4.3.1.1	All transport vehicles and units used for transportation shall be able to maintain product to defined conditions within specified limits (e.g. temperature).						
4.3.1.2	Where goods must be transported at defined conditions e.g. temperature, before loading, the conditions inside the vehicle shall be checked and documented to ensure compliance to the specified conditions.						
4.3.1.3	Units used for transportation with controlled temperature (e.g. thermo-boxes) shall be clean and well maintained. A pre-cooling process shall be ensured before filling.						
4.3.1.4	Cleaning of the transport unit shall be done with consideration of the specific hygienic requirements before changing from one load to another, if necessary. Cleaning certificates or other objective evidence that effective cleaning has been carried out shall be available if required by law or by the customer(s).						
4.3.2	Transport service providers						
4.3.2.1	Where a company uses a third-party transport service provider on a regular basis, all the requirements specified within section 4.1, 4.3 and 5.3 shall be clearly defined in the respective contract or the service provider shall be certified according to IFS Logistics.						
4.3.2.2	The drivers of the service provider shall know and apply the personnel hygiene requirements.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
4.3.2.3	<p>Where a company uses a third-party service provider on an irregular basis for the transport of packed products (spot market), the service provider shall be certified according to IFS Logistics or fulfil the following evidently and binding agreed requirements:</p> <ul style="list-style-type: none"> – the transport units and truck shall be clean and the function shall be ensured – temperature for product under controlled temperature shall be controlled – different products shall clearly separated – there shall be absence of smells and other contamination (4.1.3.1), – requirement 4.1.1.3 shall be fulfilled – requirement 4.1.1.4 shall be fulfilled – requirements 5.3 shall be fulfilled. <p>If the order is forwarded to further sub-service providers, these defined requirements shall be met.</p>						
5	Measurements, analysis, improvements						
5.1	Internal audits						
5.1.1	<p>KO N° 4: Effective internal audits shall be conducted according to a defined agreed audit program and shall cover all requirements of IFS standard. Scope and frequency of internal audits shall be determined by hazard analysis and assessment of associated risks. This is also applicable for off site locations owned or rented by the company.</p>						
5.1.2	Internal audits of activities which are critical to product safety shall be carried out at least once a year.						
5.1.3	The auditors shall be competent and independent from the audited department.						
5.1.4	Audit results shall be communicated to the senior management and to responsible persons of relevant departments. Necessary corrective actions and a schedule for implementation shall be determined. All corrective actions shall be documented and communicated to every relevant person.						
5.1.5	It shall be documented, how and when the corrective actions resulting from the internal audits shall be verified.						
5.2	Site inspections						
5.2.1	Regular site inspections shall be planned and carried out, based upon risk. The site inspection shall include an assessment of product control, hygiene/cleaning, foreign body hazards, personnel hygiene, pest monitoring, transport units etc.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
5.2.2	Following site inspections, any deviations found and the associated corrective actions shall be implemented and documented.						
5.3	Calibration, adjustment and checking of measuring and monitoring devices						
5.3.1	The company shall identify the measuring and monitoring devices required to ensure compliance with product requirements. A register of these devices shall be documented and devices clearly identified.						
5.3.2	All measuring devices shall be checked, adjusted or 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	Management of complaints from authorities and customers						
5.4.1	A system shall be in place for the management of product complaints.						
5.4.2	All complaints shall be assessed by competent staff. Where it is justified, appropriate actions shall be taken, if necessary, immediately.						
5.4.3	Complaints shall be analysed with a view to implementing preventive actions, which avoid the recurrence of the non-conformity.						
5.4.4	The results of complaint data analysis shall be made available to the relevant responsible persons and to the senior management.						
5.5	Management of non-conformities and non-conforming products						
5.5.1	KO N° 5: An effective procedure shall be in place for the management of all non-conforming products.						
5.5.2	The procedure for the management of non-conforming products include as a minimum: <ul style="list-style-type: none"> – hazard analysis and assessment of associated risks – procedure of product quarantine (blocking/hold) – identification (e.g. labelling) – clearly identified staff responsibilities. 						
5.5.3	The procedure for the management of non-conforming products shall be understood by all relevant employees.						
5.5.4	Where non-conformities are identified, immediate corrections shall be taken to ensure that product requirements are complied with.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
5.5.5	The effectiveness and timeliness of implementation of the procedure for managing non-conforming products shall be subject to internal testing at least annually, if no product quarantine (blocking/hold) has taken place. This shall be carried out in a manner to ensure the effective implementation and operation of the procedure.						
5.6	Corrective actions						
5.6.1	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.						
5.6.2	KO N° 6: Corrective actions shall be clearly formulated, documented and undertaken, as soon as possible to avoid further occurrence of non-conformity. The responsibilities and the timescales for corrective action shall be clearly defined.						
5.6.3	The performance of the implemented corrective actions shall be documented and the effectiveness shall be checked.						
5.6.4	The corrective actions shall be communicated to the senior management.						
6	Food defense and external inspections						
6.1	Defense assessment						
6.1.1	Responsibilities for food defense shall be clearly defined. The person responsible for food defense shall be part of key staff or shall have access to the top management team. Sufficient knowledge in this area shall be demonstrated by company.						
6.1.2	A food defense hazard analysis and assessment of associated risks shall have been performed and documented. Based on this assessment, and legal requirements, areas critical to security shall be identified. Food defense hazard analysis and assessments 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 of compliance shall be provided.						
6.2	Site security						
6.2.1	Based on a hazard analysis and assessment of associated risks, identified areas critical to security shall be adequately protected to prevent unauthorized access. Access points shall be controlled.						
6.2.2	Procedures shall be in place to prevent and identify signs of tampering.						

No	Requirement	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
6.3	Personal and visitor security						
6.3.1	Visitor policy shall contain specific 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 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.						

No	Requirement Module 'Broker' (IFS Broker Version 1.5)	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
1.1	Quality Management System						
1.1.1	KO N° 1 (Broker): The basis of the company's product safety control system shall be a fully implemented, systematic and comprehensive risk management and/or HACCP system. For food, an HACCP system shall be used and based upon the Codex Alimentarius principles. In addition, statutory obligations with respect to the countries of production and destination shall be taken into account. The risk management concept shall relate to the respective location and shall include: a. A flow diagram encompassing all relevant levels of the brokerage transaction b. Risk description c. Measures to control the identified risk d. The steps referred to under points a)–c) shall be documented.						
1.1.2	The risk assessment shall be regularly checked and if necessary revised/updated. The risk assessment shall also consider issues in relation to the presence of, risk of presence of GMO and allergens.						

No	Requirement Module 'Broker' (IFS Broker Version 1.5)	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
1.1.3	The risk assessment shall be carried out by persons with adequate knowledge of the processes and products involved. If this knowledge is inadequate, the company shall take appropriate steps to ensure the risk assessment is undertaken by competent person(s).						
1.1.4	Records shall be securely stored and easily accessible.						
1.2	Resource Management						
1.2.1	The company shall ensure that all processes (documented and undocumented) are known by the relevant personnel and are applied consistently.						
1.2.2	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.						
2	Planning and Services Process						
2.1	Contract agreement						
2.1.1	It shall be ensured, that the specific quality and safety requirements of customers are communicated to the supplier and the preliminary stage.						
2.2	Specifications and formulas						
2.2.1	Specifications shall be available and in place for all finished products. They shall be up to date, unambiguous and always in conformance with legal and customer requirements.						
2.2.2	KO N° 2 (Broker): The customer specification shall be complied with.						
2.2.3	Where required by customers, product specifications shall be formally agreed.						
2.2.4	There shall be a procedure for the creation, the modification and approval of specifications for all part of the process, which shall include the preliminary acceptance of the customer, if specifications have been agreed with customers.						
2.2.5	KO N° 3 (Broker): Where there are customer agreements in relation to the product formula/recipe and technological requirements, these shall be complied with.						
2.3	Product development						
2.3.1	The company shall have an implemented procedure for product development that takes into account risks and patents and that demonstrates that all existing and new products are designed to meet legal requirements.						

No	Requirement Module 'Broker' (IFS Broker Version 1.5)	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.3.2	Product formulation, manufacturing processes, process parameters and the fulfilment of product requirements shall be established and shall have been ensured by factory trials and product testing.						
2.3.3	Shelf life testing or appropriate assessment shall be carried out taking into account product formulation, packaging, manufacturing and declared conditions to establish minimum durability of the product.						
2.3.4	Product development shall consider the results of organoleptic assessments.						
2.3.5	A process shall be in place to ensure that labelling complies with current legislation of destination country and customer requirements.						
2.3.6	Recommendations for preparation and/or use of the products shall be established. Where appropriate, customer requirements shall be included.						
2.3.7	The progress and results of product development shall be properly recorded.						
2.4	Purchasing						
2.4.1	The company shall control purchasing processes to ensure that all externally sourced materials and services, which have an impact on product safety and quality, conform to requirements. Where a company chooses to outsource any process that may have an impact on product safety and quality, the company shall ensure control over such processes. Control of such outsourced processes shall be identified and documented within the product safety and quality management system.						
2.4.2	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, based on a hazard analysis. If an IFS standard exists for the product category (IFS Food, IFS HPC, IFS PACsecure), the manufacturer of the (food, HPC or packaging) product who works for the broker shall be certified according to IFS or to an equivalent standard, unless the customer (the retailer) has expressly accepted other conditions. (If the supplier is not IFS certified, this shall be mentioned on the certificate).						
2.4.3	The purchased products shall be checked in accordance with the existing specifications. 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. When several suppliers provide the same product to one customer, these suppliers shall have the same level of production checking.						

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2.4.4	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.						
2.4.5	In case of private labels, a products' supplier approval system in accordance with customer requirements shall exist.						
2.5	Product packaging						
2.5.1	Detailed specifications shall exist for all packaging materials which comply with the current relevant legislation.						
2.5.2	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.						
2.5.3	If new labelling is required by the customer or by law, 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.						
2.5.4	If new labelling is required by the customer or by law, labelling information shall be legible indelible and shall comply with agreed customer product specifications. This shall be regularly checked and checks shall be documented.						
2.6	Traceability (including GMOs and allergens)						
2.6.1	KO N° 4 (Broker): A traceability system shall be in place which allows the full identification of product and the labelling of the product shall be done in a way to facilitate full traceability. The traceability system shall ensure full traceability from the supplier (defined to batch numbers) to the customer.						
2.6.2	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.						
2.6.3	If required by customer, identified samples representative for the manufacturing lot shall be stored appropriately and kept until expiration of the stated minimum durability date of the finished product, and if necessary, for a determined period beyond this date.						

No	Requirement Module 'Broker' (IFS Broker Version 1.5)	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
2.7	Genetically modified organisms (GMOs)						
2.7.1	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).						
2.7.2	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.						
2.7.3	Customer requirements concerning the GMO status of products shall be clearly implemented by the company.						
3	Measurements, Analysis, Improvements						
3.1	Product analysis						
3.1.1	There shall be product analysis/testing 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.						
3.1.2	KO N° 5 (Broker): Where special analyses are demanded by the client/customer, they shall be defined in a testing plan and performed according to the defined requirements. Test results shall be available at the company site.						
3.1.3	Analyses, which are relevant for product 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).						
3.1.4	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.						
3.1.5	Results of analysis shall be evaluated promptly. Appropriate corrective measures shall be implemented 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 and reviewed appropriately.						

No	Requirement Module 'Broker' (IFS Broker Version 1.5)	KO/ Major/ NA	A	B	C	D	Remarks/ Comments
3.1.6	Based on any internal or external information on product risks which may have an impact on product safety, the company shall update its control plan and/or take any appropriate measure to control impact on finished products.						
3.2	Product quarantine and product release						
3.2.1	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.						
3.3	Management of incidents, product withdrawal, product recall						
3.3.1	A documented procedure shall be defined for management of incidents and of potential emergency situations that impact product 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.						
3.3.2	KO N° 6 (Broker): 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.						
3.3.3	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.						
3.3.4	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.						

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 6 55 11 69
E-mail: ifs-milano@ifs-certification.com

POLAND | WARSAW

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

BRAZIL | DOURADOS

Representante IFS Brasil
Caroline Nowak
79824 Dourados, MS/Brasil
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

USA | ST. LOUIS

IFS Americas
1610 Des Peres Road, Suite 150
St. Louis, MO 63131
USA
Phone: +1 31 46 86 46 10
Fax: +1 31 46 86 46 02
E-mail: ifs-us@ifs-certification.com

