IFS Food

# IFS Food

**Standard for auditing product and process compliance in relation to food safety and quality**

## VERSION 8

APRIL 2023

ENGLISH

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# 0 Introduction

## 0.1 History of the International Featured Standards

In 2003, the German retail federation – Handelsverband Deutschland (HDE) – and its French counterpart – Fédération des Entreprises du Commerce et de la Distribution (FCD), drew up a common food safety and quality standard to enable the audit of food suppliers. The audit provided a uniform approach towards food suppliers. This was the first version of the IFS Food Standard, designated to certify suppliers producing private label food products for retail.

IFS Management GmbH stands for International Featured Standards and is a company owned by FCD and HDE. It encompasses a package of global safety and quality standards and programs that provide transparency and comparability along the entire post-farm supply chain. IFS Standards are applicable to a variety of operations and activities in the food and non-food sector. All IFS Standards follow a risk-based approach, which gives stakeholders the flexibility to implement the requirements into their business based on the specific risks in regard to the products and processes.

The IFS Food Standard is built upon general aspects of a food safety and quality management system. However, the main emphasis is to create confidence in the products and processes, meaning that safety, quality, legality, authenticity and compliance with specified customer requirements are ensured via an on-site evaluation and documentation review and inspection.

The IFS Food Standard version 8 has been revised by the following working groups: National Working Groups, International Technical Committee and the IFS Technical Team. Representatives of retailers, industry, food services and certification bodies were part of these outstanding working groups that combined input from Europe, North and South America and Asia.

It will be possible to perform IFS Food v8 Audits from 1st of October 2023. From 1st of January 2024, IFS Food version 8 audits will be mandatory.

## 0.2 IFS Objectives, Mission and Vision

The aim of IFS Certification is to assess whether the processing activities of a manufacturer are able to produce products that are safe, legal and in compliance with customer specifications. That is why both product safety and quality are essential components of all IFS Standards. IFS Audits are product and process focused. This ensures the development of high-quality products through correspondingly functioning processes.

IFS Standards are uniform global safety and quality standards that provide transparency and comparability along the entire post-farm supply chain. In this way, IFS strives to meet all the challenges of globalisation, in addition to the constantly growing significance of the private labels the retailers are responsible for. An IFS Certification enables the cost reduction of long repetitive audits and additionally supports the company management by means of uniform reports and a modern, user-friendly database.

The mission of IFS clearly states that IFS Standards go beyond product safety with the aim to "deliver trusted products", which fulfil the expectations of the buying company. With the objective that an IFS Certificate demonstrates that the production site has implemented a functional product safety and quality management system, IFS together with its huge network is continuously increasing and optimising its portfolio of standards and programs, audit protocols and supporting tools and documents. Therefore, IFS has defined "Providing trusted standards and services to cooperate within the supply chain to improve product integrity" as its goal for today and for the future. Continuous improvement is not only the objective of certified companies; it also applies to the IFS Management GmbH.

## 0.3 Coverage of the IFS Food Standard

The IFS Food Standard is applicable to food product manufacturers and can only be used for companies processing food products and/or packing loose food products.

For more details on the IFS Audit Scope, see chapter 2.2, Part 1.

For clarification of the scope determination between IFS Food and other IFS Standards, see Annex 1.

## 0.4 Content of the IFS Food Standard

The content of the IFS Food Standard is laid out as follows:

Part 1 – IFS Food Certification Protocol

Part 2 – IFS Food Audit Checklist (list of IFS Food Audit Requirements)

Part 3 – Requirements for accreditation bodies, certification bodies and auditors

Part 4 – Reporting, IFS Software and IFS Database.

The IFS Food Standard is linked to the IFS Food Doctrine. The doctrine provides additional rules and clarifications on the interpretation of some IFS Food Requirements. Both documents are normative and shall be implemented following the defined dates, after the documents have been officially published.

## 0.5 Review of the IFS Food Standard

The IFS Technical Team and its working groups need to demonstrate control over the content and quality of the IFS Food Standard. That includes an annual review, to ensure the compliance with all relevant requirements. The working group members represent all stakeholders involved in the audit process: retailers, certification bodies and food industry as well as service providers. Besides the annual review, the main objectives for the working groups are to share practical experiences, review changes or alignments of the IFS Food Standard and clarification needs for the IFS Food Doctrine, discuss the requirements of the audit report and decide on training needs.

# PART 1



# PART 1
# IFS Food Certification Protocol

## 0 Purpose and content

This part provides a detailed description of procedures to be followed before, during and after an IFS Food Audit. Moreover, it explains the principles of the IFS Food Certification Process, including requirements to be applied by the audited companies and certification bodies.

## 1 The IFS Food Certification Process

Before starting the certification process, the company shall read the current versions of the two (2) normative documents: the IFS Food Standard and the IFS Food Doctrine.

The companies shall prepare well in advance for the IFS Food Certification Process, which comprises of the different steps that are displayed in Annex 2.

The IFS Audit is the core part of the certification process, as the production site and its production processes will be challenged according to all specified requirements laid down in the IFS Food Audit Checklist (Part 2), in order to assess compliance with the products and production processes.

An IFS Certification is a product and process certification. Therefore, the main part of this certification process consists of the IFS Audit. The auditor challenges the audited companies on the audit checklist to determine the level of compliance of processes and products. An audit is always focused on the following fundamental elements:

**a) Product and process approach (PPA)**

The product and process approach (PPA) implies the assessment of compliance with customer related specification(s) as well as the legal compliance of the products, depending on the countries of production and destination.

To ensure the PPA, IFS Food Certifications are always specific to one production site. In addition, all products and processes of the relevant production site shall be included in the scope of the IFS Food Audit.

During the IFS Food Audit, the auditor shall collect objective evidence to evaluate the compliance with the IFS Food Audit Requirements (see IFS Food Audit Checklist, Part 2).

**One of the key elements for conducting the IFS Food Audit and to ensure high uniformity of the PPA implementation is to follow an audit trail. This audit trail consists of the following main steps:**

- **Product sampling:**
  The selection of samples shall be risk-based but can also follow other criteria. The aim is to make a representative selection of all products and processes included in the certification scope to gain maximum information about the production site and its products.

The use of relevant product samples (sampled by the auditor on-site at the beginning or in advance of the audit) is essential and allows the IFS Auditor to follow a uniform path in order to obtain all necessary evidence. In addition, auditors shall perform a traceability test on the sampled product(s) during the audit.

**Note:** IFS has published guidelines (e.g. IFS Auditor Guideline, IFS Good Audit Practices (GAP) Guideline), which provide further information on topics to be checked and/or requested by the auditor from the audited production site during the IFS Food Audit.

- **Overall on-site evaluation:**
  At least 50% of the total IFS Audit duration shall be allocated to the on-site evaluation (within the production areas of the production site). This allows the auditor to comprehensively audit the products and the processes and shall be performed as soon as possible. It can be decreased to 1/3 if a site has simple processes and the total audit duration after reduction, is a minimum of 1,25 days (see chapter 3.1, Part 1).

  **The on-site evaluation of the production site shall include (but may not be limited to) the following areas:**

  - Production processes,
  - Receipt, storage and dispatch areas,
  - Good Manufacturing Practices (GMPs), including maintenance, hygiene, pest control and cleaning and disinfection activities,
  - Product development,
  - On-site laboratory,
  - Maintenance facilities,
  - Staff and sanitary facilities,
  - External areas.

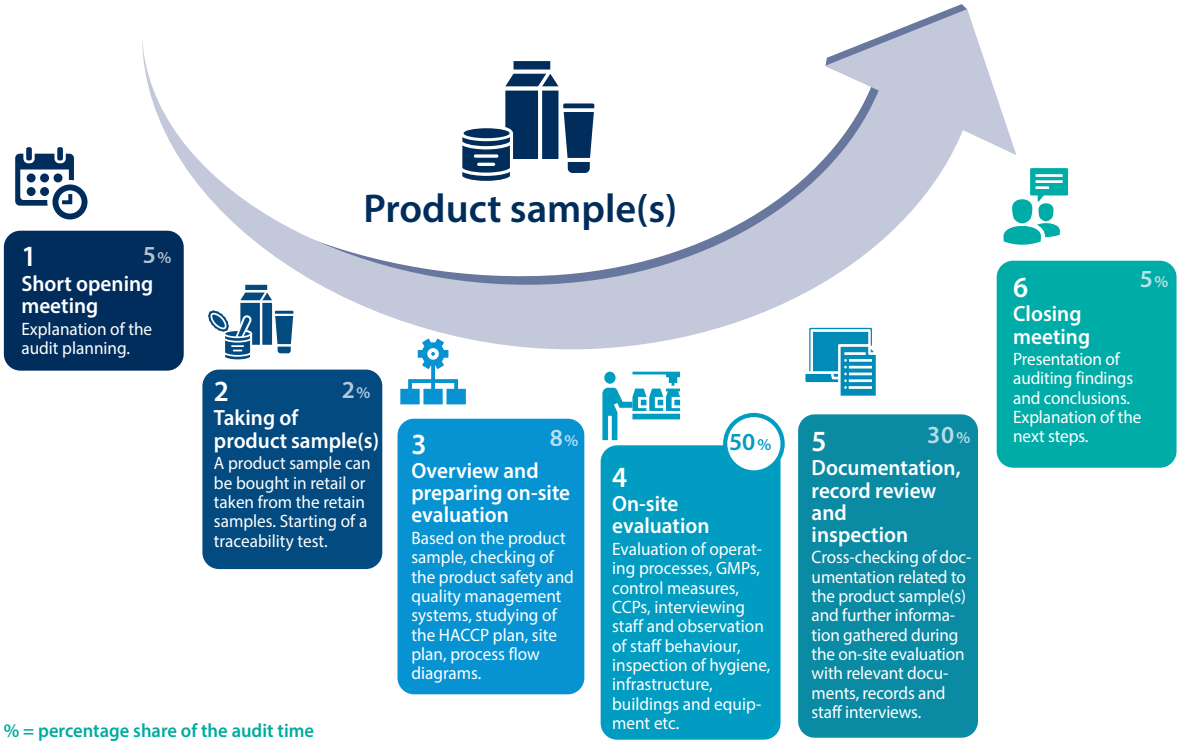
  **The auditor shall also use this time to evaluate the operating processes, through the following checks:**

  - check the control measures defined for CCPs and other control measures as well as their monitoring in order to cross-check them with the HACCP plan information
  - observe and interview employees
  - inspect product and technology characteristics
  - take further samples for cross-checking, when necessary
  - review recipes used during the manufacturing process
  - observe actual finished product dispatch and/or raw material delivery
  - assess the implemented food safety and quality management system in practice.
- **Documentation, record review and inspection:**
  The on-site evaluation is followed by a comprehensive documentation and record review/ inspection, including cross-checking of related documents. This part of the audit aims at verifying the information collected from the on-site evaluation and the evaluation of further requirements.
  To master the IFS Audit trail, the auditors shall evaluate the production site's compliance in depth. Further explanations and examples are provided in the e-learning "IFS Product and Process Approach".

Summary of main steps is provided in the following chart (chart 1).

**Note:** This chart shows main steps of an announced IFS Audit. Steps 2 to 5 can be performed alternately. Percentages are given as a guidance.

## Chart 1: The product and process approach of an IFS Audit




% = percentage share of the audit time

**b) IFS Auditor Qualification**

The IFS Auditor's specific expertise forms the crucial basis for the audit of the production site. Therefore, IFS Auditors are approved for specific product and technology scope(s) to guarantee a high degree of quality and reproducibility of the audit findings. More information can be found in Part 3.

**c) Annual certification cycle**

The production site will go through a full IFS Food Certification Process including a comprehensive IFS Food Audit every year. This includes the audit of the full IFS Food Audit Checklist (Part 2). If applicable, the implementation of the action plan from the last IFS Audit is also to be verified. More information on the certification cycle can be found in chapter 4.3, Part 1.

**d) Certification by certification bodies accredited to the ISO/IEC 17065:2012 norm and contracted with IFS Management GmbH**

Reliability of the certification is guaranteed through accredited, internationally recognised, independent, third-party certification bodies. Additionally, the certification bodies shall have signed a contract with IFS Management GmbH and shall comply with the specific rules described in Part 3.

**e) Surveillance and harmonised rules by the IFS Standard owner**

As part of the IFS Quality Assurance activities, IFS has implemented procedures to monitor the performance of the IFS approved certification bodies, IFS Auditors and IFS certified companies, the IFS Integrity Program, which ensures the quality and the integrity of the implementation of IFS Standards. The different measures are undertaken following a risk-based approach as well as the management of complaints which have been raised by stakeholders. The audited site shall be informed by its certification body about the procedures and rules of the IFS Integrity Program. More information on the Integrity Program can be found in chapter 5, Part 1.

# 2 Before the IFS Food Audit

In order to prepare for the initial audit, the production site may perform a voluntary pre-audit to evaluate its current status and level. The pre-audit cannot be uploaded in the IFS Database and a different auditor shall perform the pre-audit to the one who performs the subsequent IFS Audit.

Any production site starting with new operations shall ensure that all requirements of IFS can be audited at the time of the initial audit. IFS recommends a minimum of three (3) months of operations before this first audit.

## 2.1 Making a contract with a certification body

In order to undertake an IFS Food Audit, the company shall appoint an IFS approved certification body, accredited to the ISO/IEC 17065:2012 norm for the IFS Food Standard. The list of all certification bodies that have a valid contract with IFS Management GmbH is available by country on the IFS website (www.ifs-certification.com).

A contract shall exist between the company and the certification body for the certification audit and shall include the following topics:

**a) Certification process information**

It shall include, at a minimum:

- Audit scope agreed between both parties. More information can be found in chapter 2.2, Part 1 and Annex 3.
- Audit duration. More information can be found in chapter 3.1, Part 1.
- Information about the report and certificate details. More information can be found in chapters 2.2 and 2.4, Part 4.
- Reference to the IFS Integrity Program. More information can be found in chapter 5, Part 1.
- Mention that information about the company and its employees is stored in the IFS Database in line with the General Data Protection Regulation. More information can be found in chapter 4, Part 4.

**b) Communication with the certification body concerning the detailed activities of the production site**

The certification body shall ensure that the IFS Auditor is qualified for the product and technology scopes of the audit, as well as the currently applicable version of the IFS Standard.

To assist the IFS Food Auditor in preparing for the audit, the company shall clearly inform the certification body of the following topics:

- All products on-site and related processes covered by the scope of the IFS Food Audit, including decentralised structures.
- Cases where parts of the production activities or products are outsourced to a third-party on behalf of the IFS Food certified production site.
- Overview of the exported products, including the different destination countries where the products are sold to.
- Under exceptional circumstances, any request for exclusion of some product groups. This will be carefully verified by the certification body in order to review if the exclusion is possible.

- History of certification status of IFS or any other GFSI recognised standard, for example type of certification/scope, date of the last certification audit (even if performed by another certification body), year of the last unannounced audit, if a certificate has been withdrawn in the past, etc.

More information on outsourced processes and exclusions can be found in chapter 2.2.1, Part 1 and Annex 4.

If the IFS Food Audit is performed together with (an) other standard(s)/norm(s), all IFS Requirements shall be fulfilled (e.g. audit time schedule, audit duration, auditor competences, etc.).

**c) Notifications to the certification body**

During the certification cycle, the senior management of the production site shall ensure that the certification body is informed in due time about any changes that may affect the production site's ability to conform to the certification requirements (e.g. recall, alert on products, changes in organisation and management, important modifications on the products and/or the production methods, changes in contact address and production sites, new address of the production site, etc.). The details shall be defined and agreed between both parties. As required in the IFS Food Audit Checklist (Part 2), requirement 1.2.6, some specific situations require a notification to the certification body within three (3) working days.

After receiving such information from the sites (limited to the three (3) specific situations, mentioned in the requirement 1.2.6 of the IFS Food Audit Checklist), the certification body shall:

- Fill out the relevant extraordinary information form provided in the IFS Database in English and send it back to IFS Management GmbH within three (3) working days after receiving the information from the production site.
- Provide IFS Management GmbH a root cause analysis and progress report of the investigation within ten (10) working days (after submitting the form).

It is the certification body's responsibility to investigate each situation and decide any action on the IFS Certification Status.

**d) Language of the IFS Food Audit**

The IFS Food Audit shall be carried out in the working language of the production site. If there is a need for translation, the certification body shall provide a qualified interpreter not affiliated with the company. More information can be found in chapter 3.1.2, Part 3.

## 2.2 Scope of the IFS Food Audit

IFS Food can only be applied when a product is "processed" or when there is a hazard of product contamination from primary packing.

The audit scope shall be agreed between both parties before the audit takes place.

It shall include the full activities of the site, including all production lines and products manufactured by the production site (both customer branded products and company's own branded products).

More information on the scope determination between IFS Food and other IFS Standards can be found in Annex 1.

Certification is always site-specific (one legal entity, one address, one certificate), in relation to the actual processing activities of the site. Decentralised structures belonging to the same production site shall be audited and included in the audit scope to be able to gain a complete view of the processes. More information on the different types of production sites and information to be provided in the audit report and certificate can be found in chapter 2.2.2, Part 1.

IFS provides product and technology scopes to define the audit scope of the production site.

The selection of the product scope(s) depends on the finished products manufactured by the production site. The technology scopes are selected based on the processing steps involved in the manufacture of the finished products.

All applicable scopes shall be mentioned on the IFS Food Certificate and Report.

More information on the determination of audit scope can be found in:

- Annex 3 of this standard
- The guidance on the allocation of the IFS Food Product Scopes and Processing Steps on the IFS website.

**Example:** for a production site producing ice cream, as a basis, the audit scope shall make reference to product scope 4 (dairy) and technology scopes B (pasteurisation), D (freezing/cooling) and F (mixing/packing). Depending on the detailed process(es) of the production site, further technology scopes may be added or deleted.

The audit scope shall be described in detail in the audit report and on the certificate. It shall be clear, unambiguous, and shall fulfil the following rules:

- The different types of products shall be described in sufficient details:
  Example of correct description: production of "fermented sausage, brewed sausage, cooked and smoked sausage, cooked and raw cured ham".
  Example of incorrect description: production of "meat products".
- The type of packaging materials shall be described (e.g. "packed in foil (vacuum or modified atmosphere), plastic bag").
- The most characteristic processes that differentiates the product from others and that are not self-explanatory need to be clearly mentioned, e.g.:
  - Production, cutting, drying, frying and packing of potato chips in tubular bags
  - Production, cutting, milling, baking and packing of potato chips in tubular bags
  - Production of raw cheese in portions packed in carton boxes
  - Production of pasteurised cheese in portions packed in carton boxes.

**The following elements shall not be mentioned in the scope:**

- Certain activities of a production site are always part of the IFS Food Audit and shall therefore not be mentioned specifically. Therefore, the following words shall not be mentioned in the scope description: storage, transport, sales, distribution, research, development and design. Labelling activities shall only be mentioned when they are an essential/relevant processing step of the production site e.g. if this is the only relevant processing step of the production of a partly outsourced product.
- Brand information is not allowed, as it does not provide any information on the products and processes of the production site.

- Reference to claims is not allowed. However, it is allowed to mention in the certificate scope the product name, when it falls under a geographical indication schemes (according to Regulation (EU) N° 1151/2012 and its amendments), e.g. PDO (Protected Designation of Origin)/PGI (Protected Geographical Indication)). As geographical indication schemes claims are not certified by the IFS Food Certification, a disclaimer shall be added on the certificate, under the scope "The geographical indication scheme "XXX" is an extrinsic quality of the product(s) but its assessment is not covered in the scope of the IFS Food Certification".
  Example:
  - "The geographical indication scheme for "Feta" is an extrinsic quality of the product but its assessment is not covered in the scope of the IFS Food Certification."

  Information on further claims can only be provided in the report.
- Exclusion of production process(es), including storage and transport, is not allowed.
- Exclusion of product(s) is in general not allowed, but may be accepted under specific conditions which are listed in Annex 4.

The agreed scope shall be mentioned in the contract, and it shall also be reviewed and confirmed by the auditor during the opening meeting of the IFS Food Audit.

### 2.2.1 Outsourced processes and IFS Food Audit Scope

**a) Partly outsourced processes**

**A partly outsourced process** is defined in the IFS Food Standard as a production step or part of a production process (including primary packing and labelling) that is carried out off-site by a third-party on behalf of the IFS Food certified site. This includes processes which are partly outsourced to a sister company within the same company group and applies to both customer branded products and the company's own branded products.

**Note 1:** Storage and/or transport activities carried out by a third-party are not part of the above defined partly outsourced processes and shall be evaluated according to the relevant chapters of the IFS Food Audit Checklist (4.14 and 4.15, Part 2), especially to the requirements 4.14.6 and 4.15.7.

**Note 2:** In IFS, the difference between a raw material and a product coming from a partly outsourced process is based on the ownership:

- A raw material is purchased from a supplier (no ownership and legal responsibility before) and processed (further) by the IFS audited production site.
- A product from a partly outsourced process always belongs to the audited production site.

The following rules shall apply when a company has partly outsourced process(es):

- The requirements 4.4.5, 4.4.6 and 4.4.7 of the IFS Food Audit Checklist (Part 2) apply and shall be audited by the auditor, in order to assess if the audited production site ensures control over such processes.
- For the audit scope (and for the auditor qualification), the processing steps related to the partly outsourced processes shall not be selected. The audit scope shall only mention the processes managed by the audited production site, not by the third-party.
- In the audit report of the audited production site (audit overview): a description of the partly outsourced processes and certification status of the third-party shall be provided.
- If the appointed third-party is IFS Food Certified, their COID (IFS Identification Code Number) can also be mentioned.

- If the partly outsourced processes concern freezing and/or thawing activities only, an IFS Logistics Certification or any other equivalent GFSI recognised standard certification can also be accepted.
- On the certificate of the audited production site, the following sentence shall be added to the audit scope, beneath the description of products and processes: "Besides own production, the company has partly outsourced processes." More information on the IFS Certificate can be found in chapter 2.4, Part 4 and in the Annex 11.

**b) Fully outsourced products and traded products**
**A fully outsourced product** is a product manufactured, packed and labelled under the own company brand or customer brand by a different production site to the one being audited.

**A traded product** is a product manufactured, packed and labelled by and under a different company name to the production site being IFS Food certified.

Fully outsourced products and traded products are, by nature, not covered by the IFS Food Certification.

It is recommended that these activities are certified under IFS Broker or any equivalent GFSI recognised food safety certification standard based on the ISO/IEC 17065:2012 norm (e.g. a combined IFS Food/ IFS Broker Audit can be performed, see Annex 1).

Regardless whether these activities are certified or not, the following sentence shall be added to the certificate and in the company profile section of the audit report: "The company has own broker activities which are/are not IFS Broker/other GFSI recognised standard certified".

### 2.2.2 Realisation of the IFS Food Audit in the case of different types of production sites

The IFS Audit is production site specific: one production site is subject to one audit and one certificate.

**IFS has defined the following four (4) types of production sites:**

**1) Single production site**

**2) Multi-location production sites**

**3) Multi-legal entity production site**

**4) Production site with decentralised structure(s).**

**1) Single production site:**
A single production site is a site which is not centrally managed by a head office / central management, has only one legal entity and no decentralised structure(s). Such site shall have one audit, one COID, one report and one certificate.

**2) Multi-location production sites:**
Multi-location production sites refer to a company with multiple production sites at different locations, which may have a head office / central management. Following rules apply in these two (2) cases:

**a) Company with head office / central management**

When the head office / central management also has additional processing activities, the site shall be audited and subjected to its own IFS Food Certificate and Audit Report.

When the head office / central management does not have processing activities, it cannot be subject to an IFS Food Certificate. The company can decide whether to organise a specific audit (which can also be remote in this case) for the activities managed by the head office / central management. This shall be defined in advance with the certification body, before the audit takes place:

- If no head office / central management audit is performed: the company shall ensure that all necessary information and responsible personnel from the head office / central management are available (when necessary) during the audit of each production site, to ensure that the auditor can audit centrally managed activities properly. For example, a representative from the head office / central management can attend the audit of the production sites, head office / central management documents are available on-site, etc.
- If a head office / central management audit is performed, the following rules apply:
  - The audit of the head office / central management shall always take place before the audit of each production site associated to each certification cycle.
  - The maximum period of time between the audit of the head office / central management and the audit of all production sites is twelve (12) months.
  - The certification body has to determine which parts of the head office / central management audit cover the site operation parts.
  - Each production site shall get an individual certificate and report.
  - The centrally managed activities, as well as the outcome of the audit shall be described in the audit report of each production site.
  - Deviations identified during the head office / central management cannot be partly solved in the audit reports of each production sites. Deviations can be downgraded, for example, to a non-conformity, but neither fixed nor improved to a better scoring.
  - If a non-conformity has been raised during the audit of the head office / central management, all audited production sites are also affected and the certificates of these production sites shall be suspended. Only after a positive follow-up audit of the head office / central management, suspension of certificates of the production sites can be lifted. Depending on the type of non-conformity which has been issued in the head office / central management, a new audit of the production sites may also be necessary.
  - Both audit dates of the production site and head office / central management shall be visible in the audit report.
  - All COIDs of the production sites linked to the head office / central management shall be mentioned in each audit report.

**b) Company without head office / central management**

If a company has several independent production sites at different locations, without any head office / central management, each production site shall have one audit, one COID, one report and one certificate.

**Note:** A multi-location production site can individually choose whether it wants to be certified as part of multi-location production sites, as a single production site or not to be certified at all.

3) **Multi-legal entity production site:**
   a) If a production site has multiple legal entities at one physical location with the same scope, the following rules apply:
      - one audit shall be performed
      - the certificate and report shall be duplicated for each legal entity
      - each legal entity shall have its own COID.

   b) If a production site has multiple legal entities at one physical location, but with different scopes, the following rules apply:
      - each legal entity shall have its own COID, report and certificate
      - the audit duration shall be calculated separately for each COID. A head office / central management audit can be appointed, which may allow a reduction of audit duration by maximum 0,5 days (as per multi-location approach).

      In both cases, if a contractual relationship between the legal entities exists, the COIDs of each legal entity shall be linked in the IFS Database. If the certificate of one legal entity is suspended/withdrawn, the certificates of all legal entities shall also be suspended/withdrawn, unless the certification body can demonstrate that the other legal entities are not affected.

4) **Production site with decentralised structure(s):**
   A decentralised structure is a facility (for example a workshop) owned by the company where part(s) of the processes and operations of the production site take place. When the audit of the production site is insufficient for gaining a full view of the company's processes, then all other relevant facilities shall also be audited and included in the audit scope. Scope and full details shall be documented in the audit overview of the audit report.

## 2.3 Type of IFS Food Audits

Different types of audits shall be conducted, depending on the certification status and cycle of the production site.

**IFS Audit (full on-site):**
An IFS Food Audit shall always be performed on-site and during consecutive working days, for both announced and unannounced audit options.

**IFS Split Audit:**
Under exceptional circumstances (e.g. due to a widely acknowledge crisis) and when a full on-site audit is hardly possible, the company may agree with the certification body to perform an IFS Split Audit. The on-site part of this audit shall be performed first, followed by a remote part using ICT (Information and Communication Technologies). In order to perform an IFS Split Audit, the normative document "IFS Split Audit Protocol" shall be used, and sufficient justification shall be given in the IFS Audit Report. More information can be found in the IFS Split Audit Protocol.

### 2.3.1 Initial audit

**Audit description:**
There are two (2) types of initial audits:

**a) "First" initial audit**
The first initial audit refers to the very first IFS Food Certification Audit of a production site during which all the requirements of the IFS Food Audit Checklist shall be audited by the auditor. This type of audit is only applicable when there is no previous certification history available.

**b) "New" initial audit**
The new initial audit is the IFS Food Audit performed:

- after an interruption in the certification cycle (see chapter 4.3, Part 1) or
- after a failed certification audit due to one or several non-conformity(ies) or a total score < 75 % or
- after a failed follow-up audit or
- after a failed extension audit.

In this case, the following applies:

- the IFS Food Certification history shall be checked to ensure that the rule on unannounced audit frequency is fulfilled (more information on unannounced audits can be found in chapter 2.4.2, Part 1).
- the audit report and action plan from the previous IFS Food Audit shall be reviewed by the auditor, to check the implementation and effectiveness of corrections and corrective actions. This applies even if another certification body issued the audit report.

**Note:** If an initial IFS Food Audit is failed, the IFS Food Audit Report shall be uploaded in the IFS Database and this audit cannot be considered as a pre-audit.

For "first" initial audits and/or "new" initial audits performed according to a new version of the standard, all rules and requirements of the applicable version of the standard apply and shall be implemented and validated (e.g. through internal audits, senior management review, etc.) before the audit takes place. This also includes the requirements where an annual review is requested.

**Audit options:**
An initial audit can be performed announced or unannounced. More information on audit options can be found in chapter 2.4, Part 1.

### 2.3.2 Recertification audit

**Audit description:**
To maintain certification, the production site shall get recertified every year. Therefore, the recertification audit is a full audit of a production site, during which all the requirements of the IFS Food Audit Checklist shall be audited by the auditor and lead to a renewal of the existing IFS Food Certification.
The period during which a recertification audit shall take place is shown on the certificate and the audit shall be performed during this period in order to maintain the certification cycle.

It is the responsibility of the production site to renew their certification in due time. Therefore, all IFS Food certified companies receive a reminder from the IFS Database three (3) months before certification expiration.

If the audit is not performed in due time, all IFS Database users with the respective production site in their favourites' list will receive an automatic e-mail notification.

The auditor shall review the action plan from the previous IFS Food Audit to check the implementation and effectiveness of corrections and corrective actions. If the production site changes certification body, the production site shall update this information in the IFS Database and inform their new certification body so that the auditor can check the action plan from the previous audit.

If deviations are still present in the actual recertification audit, or if the scorings were lowered, the auditor shall assess the situation in accordance with chapter 5.11 of the IFS Food Audit Checklist, Part 2.

The link between two (2) consecutive audits ensures a continuous improvement process.

**Audit options:**
A recertification audit can be performed announced or unannounced. More information on audit options can be found in chapter 2.4, Part 1.

### 2.3.3 Follow-up audit

**Audit description:**
A follow-up audit is required in a specific situation where the result from an initial or recertification audit did not allow a certificate to be issued due to one Major non-conformity and a total score ≥ 75%.

The follow-up audit is focussed on the implementation of actions taken to solve the Major non-conformity and shall comply with the following rules:

- It shall be performed on-site.
- It shall generally be performed by the same auditor who performed the main (initial or recertification) audit.
- It shall be performed no earlier than six (6) weeks, and no later than six (6) months, after the main audit. If this deadline is not fulfilled or if the production site decides not to perform a follow-up audit, a new initial audit shall be performed.

**Audit outcomes:**

- If the follow-up audit is successful:
  - the positive outcome of the follow-up audit shall be provided in the audit report.
  - the updated report shall be uploaded in the IFS Database.
  - the certificate shall be issued at foundation level only, even if the final total score is ≥ 95%.
  - the certificate validity remains in the certification cycle, as described in chapter 4.3, Part 1.
- If the follow-up audit is failed:
  - the report of the failed follow-up audit shall be uploaded to the IFS Database.
  - a new initial audit shall be performed and scheduled no earlier than six (6) weeks after the follow-up audit.

A detailed flow chart, with all steps can be found in Annex 5.
The upload of a follow-up audit report is free of charge.

**Audit options:**
A follow-up audit can only be performed announced.

### 2.3.4 Extension audit

**Audit description:**
An extension audit is an additional audit to extend the current certification scope . This type of audit shall always be performed on-site. Furthermore, it shall be performed during the validity period of the existing certificate, in the following situations:

- If some production lines were not running during the main certification audit, involving product scopes and/or technology scopes and/or HACCP plan (especially the CCPs) different than the ones audited during the initial/recertification audit.
- In case of seasonal products, which could not be audited during operation at the time of the main audit. During the following year, there will be one recertification and one extension audit, in order to ensure all products and processes are covered. The main audit shall always be performed when the most hazardous processing step is carried out.
- If significant changes occur to the production process and/or its environment between two (2) certification audits. This applies, for example, when new processes or products different to those included in the scope of the current certificate are introduced. In this case the following rules apply:
  - the certification body decides, based on a risk assessment, if an extension audit is necessary.
  - the risk assessment shall be based on hygiene and food safety risks and shall be documented.

**Audit outcomes:**
The conditions to pass the extension audit are the same as for initial or recertification audits, but they will only be focused on specific requirements that have been audited. The original audit score on the IFS Certificate shall not be changed, however the certificate shall be withdrawn when the extension audit is failed.

The following two (2) outcomes are possible for an extension audit:

- The extension audit is successful and the following shall be applied:
  - the certificate shall be updated with the new scope
  - the certificate shall keep the same expiry date as the certificate of the main audit
  - the updated certificate and extension audit report shall be uploaded in the IFS Database.
- The extension audit is failed in the following situations:
  - In the event of one or more non-conformity(ies)
- When the extension audit is failed the following consequences shall be enforced:
  - the full audit (including the main audit) is failed and
  - the current certificate shall be withdrawn.

The extension audit report shall be provided as an annex to the current audit report. The upload of an extension audit report is free of charge.

IFS provides the following example of a production site processing two kinds of products (A and B) at different periods of the year:

- The main audit is focussed on the processing activities of product A and on the documentation related to the processing of products A and B.
- After this audit, the certificate and the report shall specify: "Production of product A — production of product B will be checked during an extension audit" and an extension audit shall be performed later to verify the processing activities of product B on-site.
- After the extension audit, the certificate shall be updated specifying "Production of products A and B […]".
- Same annual procedure as above will apply each year.

**Audit options:**
An extension audit can only be performed announced.

## 2.4 IFS Food Announced and Unannounced Audit options

Before scheduling and performing the IFS Food Audit, the certification body shall decide and inform the production site whether the audit is conducted on an announced or unannounced basis, ensuring that at least once every third IFS Food Audit is performed unannounced, starting 1st January 2021 (regardless of the IFS Food Standard Version).
Certification bodies shall contact their customers in advance to set a date for an announced audit or to register them for an unannounced audit.

### 2.4.1 Announced audit option

The announced audit is conducted at a time and date agreed between the production site and the selected certification body and shall be performed on consecutive days. An announced recertification audit shall be scheduled at earliest eight (8) weeks before the audit due date and at latest two (2) weeks after the audit due date (anniversary date of the initial audit).

### 2.4.2 Unannounced audit option

The unannounced audit shall be performed within a time window of [–16 weeks before audit due date; + two (2) weeks after audit due date] and shall take place without prior notification of the date to the production site, to ensure the unannounced character of the audit.
All IFS Checklist Requirements shall be implemented before the audit time window starts.
A site that has undergone an unannounced audit will obtain the IFS Star Status which will be visible on the IFS Database and IFS Certificate. The status will be withdrawn once an announced audit takes place.

An unannounced audit shall be performed at least once every third IFS Food Audit, starting 1st January 2021.
A failed announced audit, does not count towards the "at least every third audit unannounced rule". It is up to the certification body to decide together with the production site if the next audit should be unannounced due to customer requirements or if it can be announced. An unannounced audit counts for this rule no matter if the result is passed or failed.

If the certification cycle is interrupted where an unannounced audit was due, the next certification audit (=new initial audit) shall be conducted unannounced.

The certification body shall:

- decide in which year the first mandatory unannounced audit will be performed and inform the production site at least six (6) months before the audit due date.
- ensure that this frequency is fulfilled, even if the production site (COID) changes its certification body.

Apart from this minimum mandatory frequency, unannounced audits may be performed more frequently based on the production site's decision.

**Note:** In case of different IFS Standards, the unannounced certification frequency counts separately.

The site is responsible to inform the certification body about the following information at latest four (4) weeks before the start of the audit time window (to allow the certification body to register it in the IFS Database):

- Name(s) of the on-site person(s) to be contacted at the production site.
- If needed, blackout period of a maximum of ten (10) working days when the production site is not available for audit, as well as non-operating periods. The ten (10) working days can be split into a maximum of three (3) periods.
- If the site produces seasonal products, the expected seasonal production dates shall be notified and the time window [–16 weeks, + two (2) weeks] does not apply. Providing a blackout period is not permitted in this situation and the unannounced audit shall take place at any time during this seasonal production period.

If a production site denies the auditor access (apart from "force majeure"), the currently valid IFS Certificate shall be withdrawn by the certification body within a maximum of two (2) working days of the audit date. All stakeholders with access to the IFS Database and with the respective production site in their favourites' list will receive an e-mail notification from the IFS Database, informing them that the current certificate has been withdrawn. This information will be visible in the production site's history in the IFS Database. The production site will be invoiced by the certification body for the total cost of the audit.

The registration of unannounced audits for multi-location production sites with a head office / central management shall comply with the following rules:

- The head office / central management shall either undergo an announced or unannounced audit.
- The audit of the head office / central management shall always take place before the audit of each production site and shall be performed before the start of the unannounced audit time window of the production site(s).
- When the head office / central management undergoes an announced audit: the announced audit of the head office / central management and unannounced audit of the production site shall not be performed on consecutive days (e.g. if the head office / central management is located within one of the production sites, there shall be two (2) different audits: an announced one for the centrally organised processes and an unannounced one for the production site).

- When the head office / central management undergoes an unannounced audit: unannounced audits of the head office / central management and the production site can be organised to take place on the same day (e.g. if the head office / central management is located within one of the production sites, there can be one unannounced audit for centrally organised processes and for the production site. This audit shall start with the production processes).

The overview of the audit types and options is given in the below chart (chart 2).

## Chart 2: Audit types and options

| | | | Execution mode of the IFS Audit | | | |
|---|---|---|---|---|---|---|
| | | | IFS Full On-site Audit | | IFS Split Audit | |
| | | | IFS Audit Options | | | |
| | Audit type | Explanation | Announced | Unannounced | Announced | Unannounced |
| At least every third (3) audit shall be performed unannounced | Initial audit | **First initial:** Audit of a production site that has no previous IFS Certification history. | ☑ | ☑ | ☑ (not recommended) | ☑ (not recommended) |
| | | **New initial:** Audit that is performed after interruption of cycle or after a failed audit. | ☑ | ☑ | ☑ | ☑ |
| | Recertification audit | Audit to renew the existing certificate after re-evaluating all requirements. | ☑ | ☑ | ☑ | ☑ |
| | Follow-up audit | Audit to be conducted when one Major non-conformity was scored during the main audit and the total score is ≥ 75%. | ☑ | ☒ | ☒ | ☒ |
| | Extension audit | Audit to extend the current certification scope resulting from the initial/ recertification audit. | ☑ | ☒ | ☒ | ☒ |

## 2.5 Planning an IFS Food Audit

- For an announced audit, the first audit day shall be entered by the certification body into the IFS Database via the diary function at least two (2) weeks (14 calendar days) before the first day of the audit.
- For an unannounced audit, the certification body decides about the year when an unannounced audit will take place and the site shall provide the needed information for the registration to the unannounced option at latest four (4) weeks before the start of the audit time window. All audit days shall be within the unannounced audit time window to ensure the status of unannounced audit.

### 2.5.1 Drawing up an audit time schedule

The certification body shall provide the production site with the audit time schedule, which shall:

- Include appropriate details on the audit scope
- Include audit duration
- Be sufficiently flexible to respond to any unexpected event which may arise during the on-site evaluation part of the audit
- Take the review of the audit report and action plan from the previous audit into consideration
- Specify the production site's products or product ranges that shall be audited
- In case of audit team: indicate which auditor performs which part of the audit. Information about the audit date and time for each auditor shall be provided in the IFS Database.
- In case of IFS Split Audit: indicate the dates and time ICT will be used to evaluate the checklist requirements.
- If the IFS Food Audit is performed together with another standard/norm: indicate when and which part of each standard/norm has been audited.

For an announced audit, the time schedule shall be sent to the site before the audit, to ensure the availability of responsible persons on the day of the audit.
For an unannounced audit, it shall be shared during the opening meeting. It might also be modified or adapted due to the availability of the participants to be audited and the current processing times.

# 3 IFS Food Audit Realisation

The realisation of the IFS Food Audit shall always take the following elements into account:

- The audit shall take place at a time when the products included in the audit scope are being processed (in order to audit all the processing steps).
- The production lines shall be operational during the IFS Audit.

If some production lines are not operating during the IFS Audit, and the products and/or technology scopes and/or HACCP plan (especially the CCPs) are different from those in operation, two (2) options are possible:

- The production line(s) can run later during the audit and are included in the scope of the "main" audit.
- The production line(s) cannot run later during the audit and an extension audit shall be performed. More information on extension audits can be found in chapter 2.3.4, Part 1.

## 3.1 Audit duration

**Minimum audit duration provided by the IFS Calculation Tool:**
IFS has implemented a mandatory calculation tool, available on the IFS website, to calculate the minimum IFS Food Audit duration to be spent on the production site, based on the following criteria:

- total number of employees (maximum total number of people on-site, including part time workers, shift workers, temporary staff, administrative people, etc.), considering the maximum total number of employees possible over a year,
- number of product scopes,
- number of processing steps.

To facilitate the selection of the right product scopes and processing steps, IFS has published a guidance on the allocation of IFS Food Product Scopes and Processing Steps that is frequently reviewed and updated when necessary. This document is available on the IFS website.

**Note about product scope 7:**
- To calculate the audit duration, the additional product scopes for processing the raw materials for product scope 7 shall be selected.
- To determine auditor competences and define the audit scope on the IFS Certificate, these additional product scopes shall not be selected.

The minimum audit duration, as provided by the calculation tool, will always be two (2) days (16 hours). One audit day is equivalent to eight (8) hours (without lunch break) and shall never exceed ten (10) hours.

**Factors that may extend audit duration:**
The determination of the final audit duration is the responsibility of the certification body and the defined duration may be higher than the calculated minimum duration.
Typical factors which may lead to an increase of the minimum calculated duration are the following:
- initial audit: the auditor may require additional time, for example, for opening and closing meetings
- number of production lines, e.g. for a longer HACCP review
- complexity of the production processes
- size and age of the site
- communication issues, e.g. language, ICT (in case of IFS Split Audit)
- quality of production site preparation, e.g. documentation, HACCP plan
- number of deviations/non-conformities from the previous audit
- issues during the audit that require further investigation
- additional storage facilities, locations.

For an audit team, a minimum of two (2) hours shall be added to the calculated audit duration. This additional time shall be allocated to the team and not to an individual auditor for common tasks (e.g. opening and closing meetings, discussion about audit findings, etc.).

**Factors that may reduce audit duration:**
In specific situations, and only in one of the following limited cases, the certification body may decide to reduce the minimum calculated audit duration by 0,5 days:

- IFS Combined Audits: e.g. IFS Food/IFS Logistics, IFS Food/IFS Broker, under the condition that some parts are commonly audited for both standards.
- Multi-location companies, if some requirements have already been audited at the head office/ central management site.
- Multi-legal entity production site: if the legal entities have different scopes at one physical location and a head office / central management has been appointed.
- For sites with labour-intense simple repetitive processes, based on a risk assessment. Few processes, few employees and/or small acreage is not considered under this justification.
- For the main audit of a site where an extension audit shall be performed every year, due to seasonal products/processes.
- For sites where, it was not possible to audit all processes during an unannounced audit and therefore an extension audit shall be performed later.

In specific situations, and only in one of the following limited cases, the certification body may decide to reduce the minimum calculated audit duration by 0.75 days:

- For a site with product scope 5 (fruit and vegetable), performing simple handling and no activity that significantly transforms the product from its original harvested form (according to GFSI scope BIII).
- For a site with product scopes 3, 6, 8, 9, 10 and/or 11, that has simple processes limited to:
  - sorting/grading
  - bottling
  - simple packing (e.g. no MAP or vacuum)
  - only for product scope 10: mixing/blending.

The certification body/auditor shall justify the decision for a reduction in the IFS Audit Report.

The only acceptable reduction reasons are those defined in the IFS Food Standard. A combination of different reasons for reduction, including in the case of a combined IFS Audit, is not possible.

The IFS Integrity Program will regularly review the justifications for audit time reduction, to ensure they are relevant and aligned with the above rules.

**Note:** If the IFS Food Audit is combined and/or integrated with (an) other standard(s)/norm(s), the certification body shall ensure that all requirements for IFS Food Audit duration are fulfilled and that the overall duration is higher than the IFS Food Audit duration.

At least 50% of the total IFS Audit duration shall be allocated to the on-site evaluation (within the production areas of the production site) in order to allow the auditor to comprehensively audit the products and the processes. This can be decreased to 1/3 if a site has simple processes (as mentioned above) and the total audit duration after reduction, is a minimum of 1,25 days.

In addition to the calculated audit duration, following time shall be added, at a minimum:

- two (2) hours for audit preparation
- 0,75 days (six (6) hours) for audit report writing.

## 3.2 Audit performance

The audit shall be scheduled based on the following steps:

- Opening meeting. The opening meeting and the evaluation of the existing food safety and quality management system shall be kept short, to allow the auditor to start the on-site evaluation as soon as possible (typically 30 minutes after entering the site).
- Evaluation of existing food safety and quality management system, to be achieved by checking documentation (HACCP plans, quality management documentation, etc.).
- On-site evaluation: detailed observation of all on-site production areas, production lines and production processes, which includes interviews with the working personnel and the gathering of information on key process parameters, such as monitoring of control measures defined for CCPs and other control measures to be cross checked with the HACCP plan information.
- Documentation, record review and inspection: evaluation of documents and procedures, cross checking of documents and records based on investigations and findings from the on-site evaluation.
- Final conclusions drawn from the audit.
- Closing meeting: at the end of the audit, the auditor (or lead auditor for an audit team) shall present all findings and discuss all deviations and non-conformities (Major and/or D evaluation of a KO requirement) which have been identified during the audit.

The production site shall assist and cooperate with the auditor during the audit. As part of the audit, personnel from different levels of management and operative levels shall be interviewed. The most senior manager on the date of the audit shall be present at the opening and closing meetings so that any deviations and non-conformities can be discussed.

**Note:** During the audit, the IFS Auditor shall make detailed notes regarding all evaluations against the IFS Food Standard which will be used as the basis for the audit report.

IFS requires certification bodies/auditors to provide a mandatory document which reflects and confirms the actual presence of the auditor(s) and audited production site representative(s) during the audit. This document shall:

- state the start and end time of each audit date.
- be signed by a representative of the company, auditor(s) and if applicable from trainee(s), auditor under observation, witness auditor or any other observer present, latest on the last day of the audit.

This document shall be part of the audit documentation and shall be available upon request at the office of the certification body.

### 3.2.1 IFS Scoring System

In order to determine whether compliance with an IFS Food Requirement has been met, the auditor shall evaluate all requirements classified either as regular or as KO requirements in the IFS Food Audit Checklist (Part 2).
The IFS Scoring System covers a scoring range based on the level of compliance of the requirement, from full compliance to a deviation and/or non-conformity. When evaluating each requirement, the auditor shall evaluate if the requirement is met.

In doing so, the auditor shall also evaluate the effectiveness of the measures that a company has taken to implement a requirement. If the measures taken are not effective in the sense that they result in a negative impact on food safety, in a breach of the legal requirements of the production and/or destination countries, or in a breach of customer agreements, the auditor shall evaluate this as a deviation or non-conformity.

In the IFS Food Standard, there are six (6) scoring possibilities and the option of non-applicability. Points are awarded for each requirement according to the following chart (chart 3):

### Chart 3: IFS Scoring System

| Result | Explanation | Points |
|---|---|---|
| **A** | Full compliance. | 20 points |
| **B (deviation)** | Almost full compliance. | 15 points |
| **C (deviation)** | Part of the requirement is not implemented. | 5 points |
| **D (deviation)** | The requirement is not implemented. | –20 points |
| **Major (non-conformity)** | A Major non-conformity can be issued to any regular requirement (which is not defined as a KO requirement).<br>Reasons for Major rating are:<br>• There is a substantial failure to meet the requirements of the standard, which includes but is not limited to food safety and/or the legal requirements of the production and/or destination countries.<br>• A process is out of control which might have an impact on food safety. | Major non-conformity will subtract 15% of the possible total amount; the certificate cannot be issued. |
| **KO requirement scored with a D (non-conformity)** | The requirement is not implemented. | KO non-conformity will subtract 50% of the possible total amount; the certificate cannot be issued. |
| **N/A Not applicable** | The requirement is not applicable.<br>N/A can apply to any requirement, except for KO requirements numbers 1, 3 and 5 to 10.<br>The auditor shall provide an explanation in the report. | Not included in the calculation of the total score. |

**KO requirements**

There are specific requirements in the IFS Food Standard which are named KO requirements. These requirements are essential and address key topics to be implemented by the production site to reach compliance.

In the IFS Food Standard, the following ten (10) requirements are defined as KO requirements:

1) 1.2.1 Governance and commitment
2) 2.3.9.1 Monitoring system of each CCP
3) 3.2.2 Personal hygiene
4) 4.1.3 Customer agreement
5) 4.2.1.3 Raw material specifications
6) 4.12.1 Foreign material risk mitigation
7) 4.18.1 Traceability
8) 5.1.1 Internal audits
9) 5.9.1 Procedures of recalls, withdrawals and incidents
10) 5.11.3 Corrective actions

Scoring of KO requirements is explained in the following chart (chart 4).

## Chart 4: Scoring of a KO requirement

| Result | Explanation | Points |
|---|---|---|
| **A** | Full compliance. | 20 points |
| **KO B (deviation)** | Small part of the requirement is not implemented, with no impact on food safety, legality, and customer requirements. | 0 point |
| **C (deviation)** | | "C" scoring is not possible |
| **D (= KO non-conformity)** | The requirement is not implemented. | KO non-conformity will subtract 50% of the possible total amount, the certificate cannot be issued. |

If the auditor raises one or several Major and/or KO non-conformity(ies), certification cannot be granted and, if this is a recertification audit, the current IFS Certificate shall be withdrawn, under the following rules:

- It shall be withdrawn in the IFS Database by the certification body as soon as possible, and at latest two (2) working days after the last audit day.
- In the IFS Database, the certification body shall provide explanations in English about the reasons for withdrawing the current certificate, including the requirement number of the non-conformity(ies). These explanations shall provide the same details as those described in the action plan.

**Note:** All IFS Database users with the respective production site in their favourites' list will receive an e-mail notification (with explanations about the identified non-conformity/ies) from the IFS Database, informing them that the current certificate has been withdrawn.

More information on failed audits can be found in chapter 4.2.1.1, Part 1.

If there is a significant number of requirements which are deemed as not applicable, using a total number of points for the audit may be misleading. Therefore, the IFS Scoring System is based on a percentage of the total available score that is used to decide the certification status of the production site, i.e. certification in foundation or higher level.

The total score is calculated as follows:
Total number of points = (total number of IFS Food Requirements (points) – requirements evaluated as N/A (points)) × twenty (20)
Final score (in %) = number of points awarded/total number of points.

The auditor shall provide explanations in the audit report for:

- requirements defined as compulsory fields, even if the requirements are scored with A,
- all requirements scored with B, C, D,
- Major/KO non-conformity/ies,
- requirements audited as not applicable.

# 4 Post IFS Food Audit Actions

## 4.1 Action plan

The auditor and/or certification body shall issue the action plan (with the list of findings) to the company at latest within two (2) weeks from the last audit day. A provisional score and report can be available upon request.
The action plan shall be used by the company as a basis for drawing up corrections and corrective actions for the issued deviations and non-conformities. More information can be found in Annex 7.

### 4.1.1 Company's completion of the action plan

The company shall provide the following in the action plan:

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

**Chart 5: Timescale for corrections and corrective actions**

| TIMESCALE | |
|---|---|
| **Corrections**<br>**Provided and implemented within four (4) weeks** | **Corrective actions**<br>**Provided within four (4) weeks, but may be implemented later** |
| Evidence of implementation shall be provided to the certification body within a maximum of four (4) weeks after the receipt of the action plan for completion. | Relevant for a sustainable and successful implementation (may take longer than the deadline for issuing the certificate, needs to be justified by the company). Implemented before the recertification audit, at the latest. |

Examples of acceptable evidence for the implementation of corrections:

- Training records
- Updated procedures with traceable modifications
- Before and after pictures
- Evidence (e.g. e-mail) of communication of documents to the relevant personnel
- Internal audit or inspection report
- Invoices of repairs. Offers of repairs are not accepted, as it is only proof of the intention of correction, not evidence of correction
- New monitoring procedure (e.g. for a damaged infrastructure)
- For an updated document, it may be necessary to get evidence of training and/or communication related to the updated document for the company personnel, in case other personnel/ department has to work with it
- For an updated form, based on its importance and frequency of use, it may be necessary to send a completed form to the certification body/auditor.

The company shall forward the completed action plan, including evidence of implementation of corrections, to the certification body/auditor within maximum four (4) weeks of having received the action plan.

Corrections and corrective action(s) shall be translated into English.

### 4.1.2 Validation of the action plan

The auditor or a representative of the certification body shall validate:

- the relevance of the corrections, corrective actions and of their implementation dates
- the evidence of implementation of corrections
- the corrective actions

in the allocated column of the action plan, before the issuance of the final audit report.

If the evidence of the corrections and/or corrective actions are not valid or inadequate, and/or if the dates of implementation are not relevant, the auditor/certification body shall return the action plan to the company for completion in due time. If the action plan is not completed and released in due time, certification may not be issued.

The action plan and related evidence shall be stored by the certification body for a period of three (3) years.

### 4.1.3 Technical review

A technical review of the report shall be conducted by a nominated reviewer from the certification body (see glossary). Unclarity or doubts about the findings and the related scorings need to be clarified between the auditor and the IFS Reviewer. The technical review shall include, at a minimum, all tasks of an IFS Reviewer (Annex 12, IFS Reviewer Definition).

Based on the result of the technical review, the nominated reviewer can recommend the issuance of an IFS Food Certificate or not.

## 4.2 Issuing the IFS Certificate

Based on the result of the technical review, the certification body is responsible for making the final decision whether to issue the IFS Food Certificate or not. The decision is made by (a) person(s) other than those who have carried out the audit.

### 4.2.1 Scoring and conditions for issuing the IFS Audit Report and IFS Certificate

**Chart 6: Scoring and issue of certificate**

| Audit result | Status | Company action | Report form | Certificate |
|---|---|---|---|---|
| **Total score is ≥ 95%** | Passed at IFS Food Higher Level following the receipt of the action plan | Send completed action plan within four (4) weeks of receiving the action plan with the list of findings. | Report including action plan provides status | Yes, certificate at higher level, 12-month validity. The certificate shall only be issued when the corrections are implemented. |
| **Total score is ≥ 75% and < 95%** | Passed at IFS Food Foundation Level after receipt of the action plan | Send completed action plan within four (4) weeks of receiving the action plan with the list of findings. | Report including action plan provides status | Yes, certificate at foundation level, 12-month validity. The certificate shall only be issued when the corrections are implemented. |
| **Maximum one Major and total score is ≥ 75%** | Not passed unless further actions taken and validated after follow-up audit | Send completed action plan within four (4) weeks of receiving the action plan with the list of findings. Follow-up audit maximum six (6) months after the audit date. | Report including action plan provides status | Certificate at foundation level, if the Major non-conformity is effectively solved during the follow-up audit. The certificate shall only be issued when the corrections are implemented. |
| **> one Major and/or total score is < 75%** | Not passed | Actions and new initial audit to be agreed upon | Report including action plan provides status | No |
| **At least one KO requirement scored with D** | Not passed | Actions and new initial audit to be agreed upon | Report including action plan provides status | No |

#### 4.2.1.1 Specific management of the audit process in case of one or several non-conformity/ies and/or score < 75%

Specific rules shall apply, depending on the type and number of non-conformity(ies) issued and the total score.

- **If only one Major non-conformity is issued, with a total score ≥ 75%:**
  a follow-up audit is possible. More information on the follow-up audit can be found in chapter 2.3.3, Part 1.
- **If more than 1 Major, or 1 or more KO with D non-conformity/ies and/or total score is <75%:**
  the IFS Food Audit is failed, the certificate will not be issued and the following rules apply:
  - For a recertification audit: the current certificate shall be withdrawn.
  - The deadline for withdrawing the current certificate is:
    - 2 (two) working days if the audit is failed due to one or several non-conformity(ies).
    - 2 (two) working days after the certification decision if the audit is failed due to a total score < 75% with no non-conformity(ies) raised.
  - The audit shall be completed and all requirements shall be evaluated in order to give the company a full overview of its situation.
  - The action plan is recommended to be completed for improvement purposes.
  - A full new initial audit shall be performed no earlier than six (6) weeks after the audit where the non-conformity(ies) was/were issued.

**Note:** Any failed IFS Food Audit shall not be considered as a pre-audit.

More information on failed audits and the certificate withdrawal process can be found in chapter 4.3.1, Part 1 and in Annexes 5, 6 and 8.

#### 4.2.1.2 Deadlines for issuing the IFS Certificate

If the auditor and the nominated reviewer recommend the IFS Food Certification after positive validation of the evidence of implementation of corrections, the certification body can take the decision to issue the certificate. The audit report, the action plan and the certificate shall then be uploaded to the IFS Database between six (6) and eight (8) weeks from the last audit day, based on the following timeframe:

- Auditor sending to the company the action plan: maximum two (2) weeks from the last day of audit
- Company completing the action plan and providing evidence of corrections: maximum four (4) weeks
- Certification body performing the technical review, making the certification decision, issuing the report/certificate and to upload them to the IFS Database: maximum two (2) weeks.

More information can be found in Annex 2.

## 4.3 Certification cycle

The validity of the IFS Food Certificate is defined as follows:

- it starts from the date of issue of the certificate,
- it ends on the last day of the initial audit date + eight (8) weeks –1 day + 1 year.

The time window to schedule the recertification audit is:

- [– eight (8) weeks; + two (2) weeks] from the last day of initial audit (audit due date) for an announced audit.
- [–16 weeks before last day of audit due date; + two (2) weeks after last day of audit due date], for an unannounced audit.

The date of the recertification audit is calculated from the initial audit date and not from the issue date of the certificate. This allows the certificate validity to remain the same, even if the recertification audit date changes every year and does not correspond exactly to the anniversary/due date.

If the recertification audit is not scheduled in due time, or if the steps of the certification process were not completed in time, a break in certification will occur and a new initial certification cycle will be initiated.

The previous audit report and certificate remain visible in the IFS Database for a further three (3) months (after the end of the certificate validity). If the recertification audit takes place later than the above-mentioned three (3) months, the certification of the company will not be visible anymore and the COID will automatically be set to an inactive status in the IFS Database.

### 4.3.1 Information about the conditions of withdrawal/suspension of a certificate

An IFS Certificate shall be withdrawn by the certification body in the situations such as:

- When any information indicates that the products/processes may no longer comply with the requirements of the certification system, especially in case of non-conformity(ies) identified during the audit (main or follow-up audit) or when access is denied (apart from force majeure).
- In case the production stopped and moved to a new location.
- In case of cancellation of certification contract (between the certification body and the company).

**Note:** Concerning the rules described above, it is within the discretion of the certification body to withdraw certificates.

An IFS Certificate shall be suspended by the certification body in the situations such as:

- In case of pending investigations by the certification body, following a food safety incident or other event.
- For the certificates of all companies linked to a head office / central management, when a non-conformity is issued during the audit of the head office / central management.
- In case of non-payment for the current audit by the audited company.

If the suspension is lifted, the certification body shall make all necessary modifications to public information, authorisations for use of brands, etc., in order to ensure transparency and that the products/processes continue to be certified.
If a decision to reduce the scope of certification is made as a condition of reinstatement, the certification body shall make all necessary modifications to formal certification documents, public information, authorisations for use of brands, etc., in order to ensure the reduced scope of certification is clearly communicated to the client.

### 4.4 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, accreditation bodies and/or GFSI monitoring activities). The consent for the distribution of the IFS Food Audit Report shall be made 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 safely and securely store a copy of the IFS Food Audit Report and associated documentation including the auditor's notes for a period of five (5) years. More information on the access conditions to information about the audit reports in the IFS Database can be found in Part 4.

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

## 5 IFS Integrity Program

The IFS Integrity Program, launched in early 2010, includes different measures to ensure the quality of the IFS Standards by reviewing IFS Audit Reports of certified companies and also by using several measures to analyse the performance of certification bodies and auditors. Furthermore, the IFS Integrity Program aims to ensure that market participants do not gain a competitive advantage by not complying with IFS rules. The majority of the IFS Integrity Program activities follow a risk-based approach (risk-based monitoring), with a smaller portion based on complaints and/or whistle-blowers (complaint management). The IFS Integrity Program strengthens the reliability and confidence of the IFS Standards by monitoring their implementation in practice.

The main procedures of the IFS Integrity Program are described in Annex 4 of the IFS "Framework Agreement on the auditing and certification of the International Featured Standards (IFS)" between IFS Management GmbH and the certification body. These procedures have been developed by the IFS Quality Assurance Working Group, which is composed of international members. Annex 4 of the IFS Framework Agreement shall be signed by all certification bodies that have concluded a contract with IFS Management GmbH. Auditors performing IFS Audits shall accept the IFS Integrity Program procedures before proceeding to conduct any IFS Audits.
Certification bodies are obliged to inform their customers applying for an IFS Audit about the content of the current version of Annex 4 of the IFS Framework Agreement and to include enforceability in their contracts.

### 5.1 IFS Integrity Program activities

The IFS Integrity Program is mainly involved in the following activities:

#### 5.1.1 IFS Database Analysis

Each report uploaded in the IFS Database is automatically checked against defined parameters, such as qualification of auditor(s) and audit duration.

Noticeable discrepancies are clarified with the certification bodies. For this purpose, the IFS Integrity Program might request comprehensive and detailed statements.
Furthermore, a risk-based evaluation of the uploaded data is carried out for preparation of IFS Integrity Certification Body Office Audits.

### 5.1.2 IFS Integrity On-site Checks

IFS Integrity On-site Checks are carried out to evaluate IFS certified sites and can be organised risk-based or following complaints. In general, the Integrity On-site Checks are carried out unannounced (announcement 30 minutes before the start). In some special cases, they might also be performed on an announced basis (generally announced up to 48 hours before). In case of announced Integrity On-site Checks, certification bodies can accompany the checks. However, prior contact with the selected sites is prohibited.

Production sites with a valid IFS Certificate shall accept an unannounced/announced Integrity On-site Check and shall give access and support to the commissioned integrity auditor. The acceptance of the IFS Integrity Program is part of the requirements of all IFS Standards.

If, during an IFS Integrity On-site Check, a Major or KO non-conformity is identified based on objective evidence, this has the same impact on the current IFS Certificate as during a regular IFS Audit.

If the production site denies the IFS Integrity Auditor access to the production site, this needs to be considered as a breach of the contract, which typically leads to the withdrawal of the current IFS Certificate.

For each Integrity On-site Check, a report is prepared and is only made available to the company, the responsible certification body and upon request to authorities, accreditation bodies and GFSI. In case of complaint-based Integrity On-site Checks, the report may also be shared with the complainant.

### 5.1.3 IFS Integrity Certification Body Office Audits

In order to ensure the correct implementation of all procedures described in the IFS Standards and respective normative documents, the IFS Integrity Program carries out regular office audits at certification bodies (Integrity Certification Body Office Audits). During these office audits, performance of certification bodies and their personnel are checked by reviewing report samples and information from the database. During these Integrity Certification Body Office Audits, certain detected issues could also lead to integrity witness audits of IFS Auditors or to Integrity On-site Checks at companies certified by the respective certification body.

### 5.1.4 IFS Integrity Witness Audits

IFS Integrity Witness Audits are a routine part of the IFS Integrity Program Activities; they can be initiated by the risk-based approach or complaint-based. At least one Integrity Witness Audit is done after every certification body office audit. Companies shall enable witness audits as part of regular IFS Audits. For organisational reasons, Integrity Witness Audits can be announced on very short notice.

**Note:** IFS Integrity On-site Checks, Integrity Witness Audits and Integrity Certification Body Office Audits carried out as part of the Integrity Program are conducted by IFS Integrity Auditors employed or commissioned by the IFS Management GmbH. Integrity Auditors are completely independent from the audited companies and the certification bodies.

## 5.2 IFS Complaint Management

Retailers or any other interested parties (including whistle-blowers) have the right to forward any possible complaint or issue to IFS for investigation, as part of the Integrity Program. The respective information can be forwarded by e-mail via complaintmanagement@ifs-certification.com or via the complaint form on the IFS website.

All complaints are treated confidentially. The IFS Integrity Program staff will neutrally evaluate all complaints. Appropriate steps will be taken to fully investigate a complaint, which may include requesting a certification body to carry out internal investigations and to provide a statement on the outcome of the investigations to IFS. To clarify whether a complaint is justified, one or several of the above-mentioned IFS Integrity Program activities may be used.

If relevant, the complainant will be informed about the result of the analysis.

## 5.3 Sanctions

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

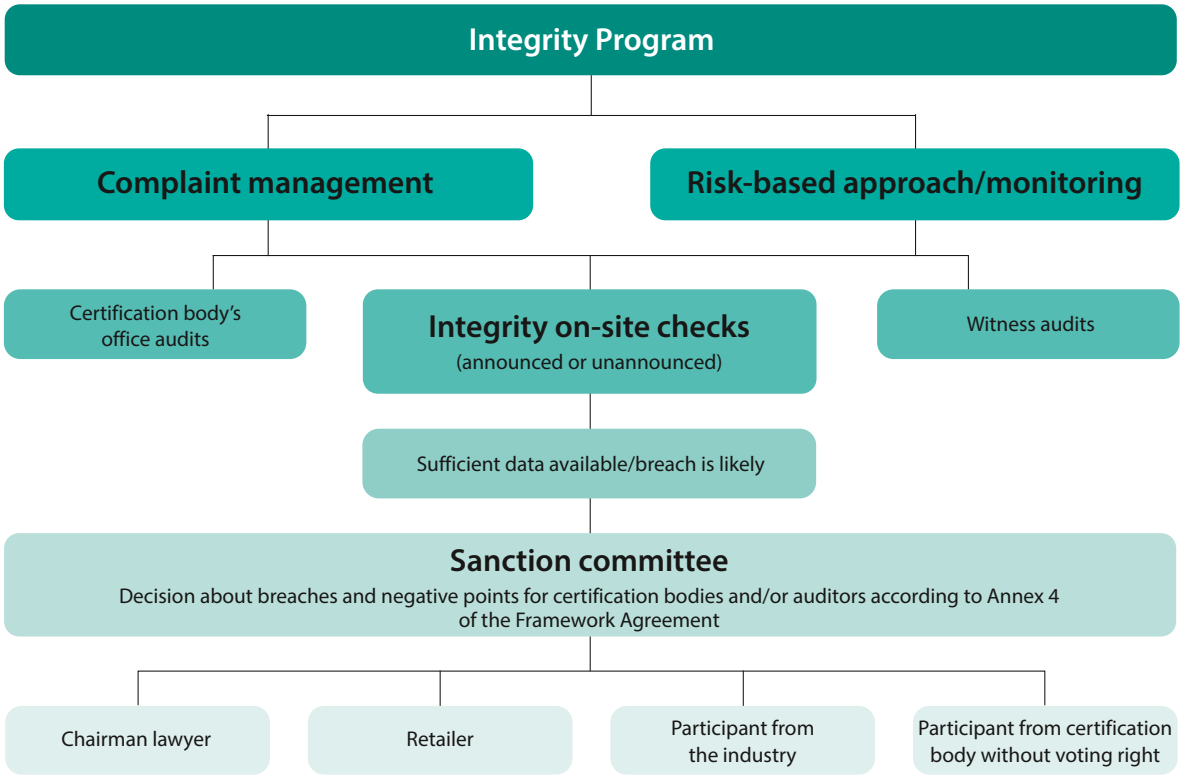
Topics concerning administrative faults of certification bodies based on database investigations can be directly assessed by the IFS Quality Assurance Management but have to be confirmed by the chairman (lawyer) of the sanction committee.

Sanctions and/or penalties will be issued to the certification body and/or its auditors if the sanction committee concludes that a breach has been committed. The type of sanction and/or penalty depends on the severity of the breach.
For each final breach ruling, a certification body and/or an auditor may get a certain amount of "negative points". These "negative points" are accumulated, but the period of limitation is two (2) years (rolling system). Only in very severe cases, certification bodies or auditors might be suspended for a certain timeframe or contracts might be cancelled (more information can be found in Annex 4 of the IFS Framework Agreement).

IFS Management GmbH will inform the responsible accreditation body if a breach has been decided for a certification body and/or for an auditor.

All these procedures concerning breaches, penalties and "negative points" are laid down in Annex 4 of the IFS Framework Agreement between IFS and each certification body (chart 7).

### Chart 7: Summary of IFS Integrity Program activities




# 6 IFS Logos

The copyright of IFS Food and the registered trademark are fully owned by IFS Management GmbH. The IFS Logos shall be downloaded via the secured section of the IFS Database.
Furthermore, the terms and conditions below shall be communicated to the audited company by the certification body and checked by the auditor during the audit. The results of this check shall be described in the company profile of the audit report as a compulsory field. If the auditor identifies that the company does not fulfil those terms and conditions, IFS shall be informed accordingly.

**Terms and conditions for using the IFS Logos and communication about the IFS Food Certification/Application**
These terms and conditions apply for all IFS Logos.

**Form, design and colour of the IFS Logos**
Only the latest version of the IFS Logos shall be used. When used, the IFS Logo(s) shall comply with the form and colour of the scale drawing. If used in documents, black and white print is also permitted. Companies shall only use the logo of the standard(s) they are certified for. The respective logo can be used from the announcement of the achieved IFS Certification until the end of the certification validity.
The general IFS Logo can only be used to express that the certification body or the IFS Consultant supports IFS certified companies, or that the certification body offers certification for more than one IFS Standard. All other forms of use shall be agreed with IFS.
The IFS Food Logo can be used in print, electronic form and in films, as long as the form and format are fulfilled. The same conditions apply to the use of the logo as a stamp.

**Restriction of comments and interpretations**
When an IFS Food certified production site, an IFS Food supporting company or an IFS Food Certification Body publishes documents bearing the IFS Logo(s), comments and interpretations referring to IFS shall be clearly identifiable as such.

**Use of the IFS Food Logo in promotional material**
The IFS Food Logo shall not be displayed on the product itself, packaging of the product, or any kind of advertising document likely to reach the end-consumer (e.g. intercompany sales packaging, public exhibitions for end consumers, product specific brochures for end consumers, etc.). The logo can only appear on a website section related to quality management or to quality and safety in general. It shall not be used for any kind of business-to-consumer marketing. It shall be clear that all information concerning certification clearly refers to IFS.
The IFS Logos shall not be used in presentations that have no clear connection to IFS.

An IFS Food certified production site, which accepts IFS Certificates from its suppliers or service providers (brokers, logistics service providers or wholesalers) or an IFS Certification Body may use the general IFS Logo for promotional reasons and publish information about IFS Certification. If they have no certification of their own, it shall be clearly stated that the company supports or works with IFS certified companies. Any kind of use that gives the impression that the company itself is certified is not accepted.

**Further restriction on the use of the IFS Food Logo**
The IFS Food Logo shall not be used in any way that may imply that IFS Management GmbH is responsible for the certification decision. In case of suspension or withdrawal of the IFS Food Certificate, the audited production site and company have to immediately stop including the IFS Logos on their documents and/or website. In case of exclusion regarding the audit scope, the IFS Food Logo can be used, but the following claim shall be written at the bottom: "Some products are excluded from the scope of the IFS Food Audit. Exclusion details can be provided upon request." It is also possible to list only those products that fall under the respective IFS Certification.

**Communication of the IFS Food Certification**
All the above-mentioned rules apply to any communication regarding IFS Food. This also means that the use of the wordmarks "IFS", "International Featured Standards", or "IFS Food" or similar is not allowed to be communicated on finished products which are available to the end consumer.

# PART 2



# PART 2
# IFS Food Audit Checklist – list of IFS Food Audit Requirements

Requirements with a "*" require compulsory information for the IFS Food Report summary.

## 1 Governance and commitment

### 1.1 Policy

1.1.1* The senior management shall develop, implement and maintain a corporate policy, which shall include, at a minimum:

- food safety, product quality, legality and authenticity
- customer focus
- food safety culture
- sustainability.

This corporate policy shall be communicated to all employees and shall be broken down into specific objectives for the relevant departments.
Objectives about food safety culture shall include, at a minimum, communication about food safety policies and responsibilities, training, employee feedback on food safety related issues and performance measurement.

1.1.2 All relevant information related to food safety, product quality, legality and authenticity shall be communicated effectively and in a timely manner to the relevant personnel.

### 1.2 Corporate structure

**1.2.1* KO N° 1: The senior management shall ensure that employees are aware of their responsibilities related to food safety and product quality and that mechanisms are implemented to monitor the effectiveness of their operation. Such mechanisms shall be identified and documented.**

1.2.2 The senior management shall provide sufficient and appropriate resources to meet the product and process requirements.

1.2.3* The department responsible for food safety and quality management shall have a direct reporting relationship to the senior management. An organisational chart, showing the structure of the company, shall be documented and maintained.

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

1.2.5* The senior management shall maintain a system to ensure that the company is kept informed of all relevant legislation, scientific and technical developments, industry codes of practice, food safety and product quality issues, and that they are aware of factors that can influence food defence and food fraud risks.

1.2.6* The senior management shall ensure that the certification body is informed of any changes that may affect the company's ability to conform to the certification requirements. This shall include, at a minimum:

- any legal entity name change
- any production site location change.

For the following specific situations:

- any product recall
- any product recall and/or withdrawal decided by authorities for food safety and/or food fraud reasons
- any visit from authorities which results in mandatory action connected to food safety, and/or food fraud

the certification body shall be informed within three (3) working days.

## 1.3 Management review

1.3.1* The senior management shall ensure that the food safety and quality management system is reviewed. This activity shall be planned within a 12-month period and its execution shall not exceed 15 months. Such reviews shall include, at a minimum:

- a review of objectives and policies including elements of food safety culture
- results of audits and site inspections
- positive and negative customer feedback
- process compliance
- food fraud assessment outcome
- food defence assessment outcome
- compliance issues
- status of corrections and corrective actions
- notifications from authorities.

1.3.2 Actions from the management review shall be aimed at supporting improvement. The management review shall assess follow-up actions from previous management reviews and any change that could affect the food safety and quality management system. The management review shall be fully documented.

1.3.3 The senior management shall identify and review (e.g. by internal audits or on-site inspections) the infrastructure and work environment needed to ensure food safety, product quality, legality and authenticity, at least once within a 12-month period, or whenever significant changes occur. This shall include, at a minimum:

- buildings
- supply systems

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

Based on risks, the results of the review shall be considered for investment planning.

# 2 Food safety and quality management system

## 2.1 Quality management

### 2.1.1 Document management

2.1.1.1 A procedure shall be documented, implemented and maintained to control documents and their amendments. All documents which are necessary for compliance with food safety, product quality, legality, authenticity and customer requirements shall be available in their latest version. The reason for any amendments to documents, critical to those requirements, shall be recorded.

2.1.1.2 The food safety and quality management system shall be documented, implemented and maintained and shall be kept in one secure location. This applies to both physical and/or digital documented systems.

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

### 2.1.2 Records and documented information

2.1.2.1 Records and documented information shall be legible, properly completed and genuine. They shall be maintained in a way that subsequent revision or amendment is prohibited. If records are documented electronically, a system shall be maintained to ensure that only authorised personnel have access to create or amend those records (e.g. password protection).

2.1.2.2* All records and documented information shall be kept in accordance with legal and customer requirements. If no such requirements are defined, records and documented information shall be kept for a minimum of one year after the shelf life. For products which have no shelf life, the duration of record and documented information keeping shall be justified and this justification shall be documented.

2.1.2.3 Records and documented information shall be securely stored and easily accessible.

## 2.2 Food safety management

### 2.2.1 HACCP plan

2.2.1.1* The basis of the company's food safety management system shall be a fully implemented, systematic and comprehensive HACCP based plan, following the Codex Alimentarius principles, good manufacturing practices, good hygiene practices and any legal requirements of the production and destination countries which may go beyond such principles. The HACCP plan shall be specific and implemented at the production site.

2.2.1.2* The HACCP plan shall cover all raw materials, packaging materials, products or product groups, as well as every process from incoming goods up to the dispatch of finished products, including product development.

2.2.1.3 The HACCP plan shall be based upon scientific literature or expert advice obtained from other sources, which may include: trade and industry associations, independent experts and authorities. This information shall be maintained in line with any new technical process development.

2.2.1.4 In the event of changes to raw materials, packaging materials, processing methods, infrastructure and/or equipment, the HACCP plan shall be reviewed to ensure that product safety requirements are complied with.

## 2.3 HACCP analysis

### 2.3.1 HACCP team

**2.3.1.1 Assemble HACCP team:**
The HACCP team shall have the appropriate specific knowledge and expertise and be a multidisciplinary team which includes operational staff.

2.3.1.2 Those responsible for the development and maintenance of the HACCP plan shall have an internal team leader and shall have received appropriate training in the application of the HACCP principles and specific knowledge of the products and processes.

### 2.3.2 Product description

2.3.2.1 A full description of the product shall be documented and maintained and shall contain all relevant information on product safety, which includes, at a minimum:

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

### 2.3.3 Identify intended use and users of the product

2.3.3.1 The intended use of the product shall be described in relation to the expected use of the product by the end consumer, taking vulnerable groups of consumers into account.

### 2.3.4 Construct flow diagram

2.3.4.1 A flow diagram shall be documented and maintained for each product, or product group, and for all variations of the processes and sub-processes (including rework and reprocessing). The flow diagram shall identify every step and each control measure defined for CCPs and other control measures. It shall be dated, and in the event of any change, shall be updated.

### 2.3.5 On-site confirmation of the flow diagram

2.3.5.1 Representatives of the HACCP team shall verify the flow diagram through on-site verifications, at all operation stages and shifts. Where appropriate, amendments to the diagram shall be made.

### 2.3.6 Conduct a hazard analysis for each step

2.3.6.1 A hazard analysis shall be conducted for all possible and expected physical, chemical (including radiological and allergens) and biological hazards. The analysis shall also include hazards linked to materials in contact with food, packaging materials as well as hazards related to the work environment. The hazard analysis shall consider the likely occurrence of hazards and the severity of their adverse health effects. Consideration shall be given to the specific control measures that shall be applied to control each significant hazard.

### 2.3.7 Determining critical control points and other control measures

2.3.7.1 Determining whether the step at which a control measure is applied is a CCP in the HACCP system shall be facilitated by using a decision tree or other tool(s), which demonstrates a logical reasoned approach.

### 2.3.8 Establish validated critical limits for each CCP

2.3.8.1* For each CCP, critical limits shall be defined and validated to identify when a process is out of control.

### 2.3.9 Establish a monitoring system for each CCP

**2.3.9.1* KO N° 2: Specific monitoring procedures in terms of method, frequency of measurement or observation and recording of results, shall be documented, implemented and maintained for each CCP, to detect any loss of control at that CCP. Each defined CCP shall be under control. Monitoring and control of each CCP shall be demonstrated by records.**

2.3.9.2 Records of CCP monitoring shall be verified by a responsible person within the company and maintained for a relevant period.

2.3.9.3 The operative personnel in charge of the monitoring of control measures defined for CCPs and other control measures shall have received specific training/instruction.

2.3.9.4 Control measures, other than those defined for CCPs, shall be monitored, recorded and controlled by measurable or observable criteria.

### 2.3.10 Establish corrective actions

2.3.10.1 In the event that the monitoring indicates that a particular control measure defined for a CCP or any other control measure is not under control, corrective actions shall be documented and implemented. Such corrective actions shall also take any action relating to non-conforming products into account and identify the root cause for the loss of control of CCPs.

### 2.3.11 Validate the HACCP plan and establish verification procedures

2.3.11.1 Procedures of validation, including revalidation after any modification that can impact food safety, shall be documented, implemented and maintained to ensure that the HACCP plan is suitable to effectively control the identified hazards.

2.3.11.2* Procedures of verification shall be documented, implemented and maintained to confirm that the HACCP plan is working correctly. Verification activities of the HACCP plan, for example:

- internal audits
- testing
- sampling
- deviations and non-conformities
- complaints

shall be performed at least once within a 12-month period or whenever significant changes occur. The results of this verification shall be recorded and incorporated into the HACCP plan.

### 2.3.12 Establish documentation and record keeping

2.3.12.1 Documentation and records related to the HACCP plan, for example:

- hazard analysis
- determination of control measures defined for CCPs and other control measures
- determination of critical limits
- processes
- procedures
- outcome of control measures defined for CCPs and other control measure monitoring activities
- training records of the personnel in charge of the CCP monitoring
- observed deviations and non-conformities and implemented corrective actions

shall be available.

# 3 Resource management

## 3.1 Human resources

3.1.1 All personnel performing work that affects product safety, quality, legality and authenticity shall have the required competence, appropriate to their role, as a result of education, work experience and/or training.

3.1.2 The responsibilities, competencies and job descriptions for all job titles with an impact on food safety and product quality shall be documented, implemented and maintained. Assignment of key roles shall be defined.

## 3.2 Personal hygiene

3.2.1* Risk-based requirements relating to personal hygiene shall be documented, implemented and maintained and shall include, at a minimum, the following areas:

- hair and beards
- protective clothing (including their conditions of use in staff facilities)
- hand washing, disinfection and hygiene
- eating, drinking, smoking/vaping or other use of tobacco
- actions to be taken in case of cuts or skin abrasions
- fingernails, jewellery, false nails/eyelashes and personal belongings (including medicines)
- notification of infectious diseases and conditions impacting food safety via a medical screening procedure.

**3.2.2* KO N° 3: The requirements for personal hygiene shall be understood and applied by all relevant personnel, contractors and visitors.**

3.2.3 Compliance with personal hygiene requirements shall be monitored with a frequency based on risks, but at least once within a 3-month period.

3.2.4 A risk-based program shall be implemented and maintained to control the effectiveness of hand hygiene.

3.2.5 Visible jewellery (including piercing) and watches shall not be worn. Any exceptions shall have been comprehensively evaluated based on risks and shall be effectively managed.

3.2.6 Cuts and skin abrasions shall be covered with a plaster/bandage that shall not pose contamination risks. Plasters/bandages shall be waterproof and coloured differently from the product colour. Where appropriate:

- plasters/bandages shall contain a metal strip
- single use gloves shall be worn.

3.2.7 In work areas where wearing headgear and/or a beard snood (coverings) is required, the hair shall be covered completely to prevent product contamination.

3.2.8* Usage rules shall be implemented for work areas/activities where it is required to wear gloves (coloured differently from the product colour).

3.2.9 Adequate protective clothing shall be provided in sufficient quantity for each employee.

3.2.10 All protective clothing shall be thoroughly and regularly laundered in-house, by approved contractors or by employees. This decision shall be documented and based on risks. Requirements related to laundry shall ensure a minimum of the following:

- sufficient segregation between dirty and clean clothing at all times
- laundering conditions on water temperature and detergent dosage
- avoidance of contamination until use.

The effectiveness of the laundering shall be monitored.

3.2.11 In case of any health issue or infectious disease that may have an impact on food safety, actions shall be taken to minimise contamination risks.

## 3.3 Training and instruction

3.3.1* Documented training and/or instruction programs shall be implemented with respect to the product and process requirements and the training needs of the employees, based on their job, and shall include:

- training contents
- training frequency
- employee tasks
- languages
- qualified trainer/tutor
- evaluation of training effectiveness.

3.3.2* The documented training and/or instruction programs shall apply to all personnel, including seasonal and temporary workers and employees from external companies, employed in the respective work area. Upon employment, and before commencing work, they shall be trained/instructed in accordance with the documented training/instruction programs.

3.3.3 Records of all training/instruction events shall be available, stating:

- list of participants (including their signature)
- date
- duration
- contents of training
- name of trainer/tutor.

A procedure or program shall be documented, implemented and maintained to prove the effectiveness of the training and/or instruction programs.

3.3.4 The contents of training and/or instruction shall be reviewed and updated when necessary. Special consideration shall be given to these specific issues, at a minimum:

- food safety
- product authenticity, including food fraud
- product quality

- food defence
- food related legal requirements
- product/process modifications
- feedback from the previous documented training/instruction programs.

## 3.4 Staff facilities

3.4.1* Adequate staff facilities shall be provided and shall be proportional in size, equipped for the number of personnel, and designed and controlled to minimise food safety risks. Such facilities shall be maintained in a way to prevent contamination.

3.4.2 Product contamination risks by food and drink and/or foreign materials shall be minimised. Consideration shall be given to food and drink from vending machines, canteen and/or brought to work by personnel.

3.4.3 Changing rooms shall be located to allow direct access to the areas where unpacked food products are handled. When infrastructure does not allow it, alternative measures shall be implemented and maintained to minimise product contamination risks. Outdoor clothing and protective clothing shall be stored separately unless alternative measures are implemented and maintained to prevent contamination risks.

3.4.4 Toilets shall neither have direct access nor pose contamination risks to areas where products are handled. Toilets shall be equipped with adequate hand washing facilities. The facilities shall have adequate natural or mechanical ventilation. Mechanical airflow from a contaminated area to a clean area shall be avoided.

3.4.5* Hand hygiene facilities shall be provided and shall address, at a minimum:

- adequate number of wash basins
- suitably located at access points to and/or within production areas
- designated for cleaning hands only.

The necessity of similar equipment in further areas (e.g. packing area) shall be based on risks.

3.4.6 Hand hygiene facilities shall provide:

- running potable water at an adequate temperature
- adequate cleaning and disinfection equipment
- adequate means for hand drying.

3.4.7 Where the processes require a higher hygiene control, the hand washing equipment shall provide in addition:

- hand contact-free fittings
- hand disinfection
- waste container with hand contact-free opening.

3.4.8 Where needed, cleaning and disinfection facilities shall be available and used for boots, shoes and further protective clothing.

# 4 Operational processes

## 4.1 Customer focus and contract agreement

4.1.1 A procedure shall be implemented and maintained to identify fundamental needs and expectations of customers. The feedback from this process shall be used as input for the company's continuous improvement.

4.1.2 All requirements related to food safety and product quality, within the customer agreements, and any revision of these clauses, shall be communicated to, and implemented by each relevant department.

**4.1.3* KO N° 4: Where there are customer agreements related to:**

- **product recipe (including raw materials characteristics)**
- **process**
- **technological requirements**
- **testing and monitoring plans**
- **packaging**
- **labelling**

**these shall be complied with.**

4.1.4 In accordance with customer requirements, the senior management shall inform their affected customers, as soon as possible, of any issue related to product safety or legality, including deviations and non-conformities identified by competent authorities.

## 4.2 Specifications and formulas

### 4.2.1 Specifications

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

4.2.1.2 A procedure to control the creation, approval and amendment of specifications shall be documented, implemented and maintained and shall include, where required, the acceptance of the customer(s). Where required by customers, product specifications shall be formally agreed.
This procedure shall include the update of finished product specifications in case of any modification related to:

- raw materials
- formulas/recipes
- processes which impact the finished products
- packaging materials which impact the finished products.

**4.2.1.3* KO N° 5: Specifications shall be documented and implemented for all raw materials (ingredients, additives, packaging materials, rework). Specifications shall be up to date, unambiguous and in compliance with legal requirements and, if defined, with customer requirements.**

4.2.1.4 Specifications and/or their contents shall be available on-site for all relevant personnel.

4.2.1.5* Where products are requested to be labelled and/or promoted with a claim or where certain methods of treatment or production are excluded, measures shall be implemented to demonstrate compliance with such a statement.

## 4.3 Product development/Product modification/Modification of production processes

4.3.1 A procedure for the development or modification of products and/or processes shall be documented, implemented and maintained and shall include, at a minimum, a hazard analysis and assessment of associated risks.

4.3.2* The procedure shall ensure that labelling complies with current legislation of the destination country/ies and customer requirements.

4.3.3* The development and/or modification process shall result in specifications about formulation, rework, packaging materials, manufacturing processes and comply with food safety, product quality, legality, authenticity and customer requirements. This includes factory trials, product testing and process monitoring. The progress and results of product development/modification shall be recorded.

4.3.4 Shelf life tests or appropriate validation through microbiological, chemical and organoleptic evaluation shall be carried out and consideration shall be given to product formulation, packaging, manufacturing and declared conditions. The shelf life shall be defined in accordance with this evaluation.

4.3.5 Recommendations for preparation and/or instructions for use of food products related to food safety and/or product quality shall be validated and documented.

4.3.6 Nutritional information or claims which are declared on labelling shall be validated through studies and/or tests throughout the shelf life of the products.

## 4.4 Purchasing

4.4.1* A procedure for the sourcing of raw materials, semi-finished products and packaging materials and the approval and monitoring of suppliers (internal and external) shall be documented, implemented and maintained.
This procedure shall contain, at a minimum:

- raw materials and/or suppliers' risks
- required performance standards (e.g., certification, origin, etc.)
- exceptional situations (e.g. emergency purchase)

and, based on risks, additional criteria, for example:

- audits performed by an experienced and competent person
- testing results

- supplier reliability
- complaints
- supplier questionnaire.

4.4.2 The purchased materials shall be assessed, based on risks and suppliers' status, for food safety, product quality, legality and authenticity. The results shall be the basis for the testing and monitoring plans.

4.4.3* The purchasing services, which have, based on risks, an impact on food safety and product quality, shall be evaluated to ensure they comply with defined requirements.
This shall take into account, at a minimum:

- the service requirements
- the supplier's status (according to its assessment)
- the impact of the service on the finished products.

4.4.4* Where a part of the product processing and/or primary packing and/or labelling is outsourced, this shall be documented in the food safety and quality management system and such processes shall be controlled to guarantee that food safety, product quality, legality and authenticity are not compromised. Control of such outsourced processes shall be identified and documented. When required by the customer, there shall be evidence that they have been informed and have agreed to such outsourced process.

4.4.5 An agreement shall be documented and implemented, covering the outsourced processes and describing any arrangements made in connection with it, including in-process controls, testing and monitoring plans.

4.4.6 Suppliers of the outsourced processes shall be approved through:

- certification to IFS Food or other GFSI recognised food safety certification standard, or
- documented supplier audit, performed by an experienced and competent person, which shall include, at a minimum, requirements for food safety, product quality, legality and authenticity.

4.4.7 The sourcing of materials and supplier assessments shall be reviewed at least once within a 12-month period or whenever significant changes occur. Records of the reviews and the consequential actions of the assessment shall be documented.

## 4.5 Product packaging

4.5.1 * Based on risks and intended use, key parameters for the packaging materials shall be defined in detailed specifications complying with the current relevant legislation and other relevant hazards or risks.
Suitability of the food contact packaging materials and existence of functional barrier(s) shall be validated for each relevant product. It shall be monitored and demonstrated by test/analysis, for example:

- organoleptic tests
- storage tests
- chemical analyses
- migration test results.

4.5.2 For all packaging materials which could have an impact on products, declarations of compliance, which attest compliance with legal requirements shall be documented. In the event that no specific legal requirements are applicable, evidence shall be maintained to ensure that packaging materials are suitable for use. This applies for packaging materials which could have an influence on raw materials, semi-finished and finished products.

4.5.3 Used packaging and labelling shall correspond to the product being packed and shall comply with agreed customer product specifications. Labelling information shall be legible and indelible. This shall be monitored and documented at least at the start and end of a production run as well as at every product changeover.

## 4.6 Factory location

4.6.1* Potential adverse impact on food safety and/or product quality from the factory environment (e.g. ground, air) shall be investigated. Where risks have been identified (e.g. extremely dusty air, strong smells), measures shall be documented, implemented and reviewed for effectiveness at least once within a 12-month period or whenever significant changes occur.

## 4.7 Factory exterior

4.7.1 All external areas of the factory shall be clean, tidy, designed and maintained in a way to prevent contamination. Where natural drainage is inadequate, a suitable drainage system shall be installed.

4.7.2 Outdoor storage shall be kept to a minimum. Where goods are stored outside, it shall be ensured that there are no contamination risks or adverse effects on food safety and quality.

## 4.8 Plant layout and process flow

4.8.1 A site plan covering all buildings shall be documented and maintained and shall describe, at a minimum, the process flow of:

- finished products
- semi-finished products, including rework
- packaging materials
- raw materials
- personnel
- waste
- water.

4.8.2* The process flow, from receipt of goods to dispatch, shall be implemented, maintained, reviewed and where necessary, modified to ensure that the microbiological, chemical and physical contamination risks of raw materials, packaging materials, semi-finished and finished products are avoided. The cross-contamination risks shall be minimised through effective measures.

4.8.3 In the case where areas sensitive to microbiological, chemical and physical risks, have been identified, they shall be designed and operated to ensure product safety is not compromised.

4.8.4 Laboratory facilities and in-process controls shall not affect product safety.

## 4.9 Production and storage premises

### 4.9.1 Constructional requirements

4.9.1.1* Premises where food products are prepared, treated, processed and stored shall be designed, constructed and maintained to ensure food safety.

### 4.9.2 Walls

4.9.2.1 Walls shall be designed and constructed to meet production requirements in a way to prevent contamination, reduce condensation and mould growth, facilitate cleaning and if necessary, disinfection.

4.9.2.2 The surfaces of walls shall be maintained in a way to prevent contamination and easy to clean; they shall be impervious and wear-resistant to minimise product contamination risks.

4.9.2.3 The junctions between walls, floors and ceilings shall be designed to facilitate cleaning and if necessary, disinfection.

### 4.9.3 Floors

4.9.3.1 Floor covering shall be designed and constructed to meet production requirements and be maintained in a way to prevent contamination and facilitate cleaning and if necessary, disinfection. Surfaces shall be impervious and wear-resistant.

4.9.3.2 The hygienic disposal of water and other liquids shall be ensured. Drainage systems shall be designed, constructed and maintained in a way to minimise product contamination risks (e.g. entry of pests, areas sensitive to transmission of odour or contaminants) and shall be easy to clean.

4.9.3.3 In food handling areas, machinery and piping shall be arranged to allow waste water, if possible, to flow directly into a drain.
Water and other liquids shall reach drainage using appropriate measures without difficulty. Stagnation of puddles shall be avoided.

### 4.9.4 Ceilings/Overheads

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

4.9.4.2 Where false ceilings are used, access to the vacant area shall be provided to facilitate cleaning, maintenance and inspection for pest control.

### 4.9.5 Windows and other openings

4.9.5.1 Windows and other openings shall be designed and constructed to avoid the accumulation of dirt and shall be maintained in a way to prevent contamination.

4.9.5.2 Where there are contamination risks, windows and roof glazing shall remain closed and fixed during production.

4.9.5.3 Where windows and roof glazing are designed to be opened for ventilation purposes, they shall be fitted with easy to clean pest screens or other measures to prevent any contamination.

4.9.5.4 In areas where unpackaged products are handled, windows shall be protected against breakage.

### 4.9.6 Doors and gates

4.9.6.1 Doors and gates shall be maintained in a way to prevent contamination and be easy to clean. They shall be designed and constructed of non-absorbent materials to avoid:

- splintering parts
- flaking paint
- corrosion.

4.9.6.2 External doors and gates shall be constructed to prevent the access of pests.

4.9.6.3 Plastic strip curtains separating areas shall be maintained in a way to prevent contamination and be easy to clean.

### 4.9.7 Lighting

4.9.7.1 All production, storage, receipt and dispatch areas shall have adequate levels of light.

### 4.9.8 Air conditioning/Ventilation

4.9.8.1 Adequate natural and/or artificial ventilation shall be designed, constructed and maintained in all areas.

4.9.8.2 If ventilation equipment is installed, filters and other components shall be easily accessible and monitored, cleaned or replaced as necessary.

4.9.8.3 Air conditioning equipment and artificially generated airflow shall not compromise product safety and quality.

4.9.8.4 Dust extraction equipment shall be designed, constructed and maintained in areas where considerable amounts of dust are generated.

### 4.9.9 Water

4.9.9.1* Water which is used for hand washing, cleaning and disinfection, or as an ingredient in the production process shall be of potable quality at the point of use and supplied in sufficient quantities.

4.9.9.2 The quality of water (including recycled water), steam or ice shall be monitored following a risk-based sampling plan.

4.9.9.3 Recycled water, which is used in the process, shall not pose contamination risks.

4.9.9.4 Non-potable water shall be transported in separate, properly marked piping. Such piping shall neither be connected to the potable water system nor allow the possibility of reflux, to prevent contamination of potable water sources or factory environment.

### 4.9.10 Compressed air and gases

4.9.10.1* The quality of compressed air that comes in direct contact with food or food contact materials shall be monitored based on risks. Compressed air shall not pose contamination risks.

4.9.10.2 Gases that come in direct contact with food or food contact materials, shall demonstrate safety and quality for the intended use.

## 4.10 Cleaning and disinfection

4.10.1* Risk-based cleaning and disinfection schedules shall be validated, documented and implemented. These shall specify:

- objectives
- responsibilities
- the products used and their instructions for use
- dosage of cleaning and disinfection chemicals
- the areas and timeslots for cleaning and disinfection activities
- cleaning and disinfection frequency
- Cleaning In Place (CIP) criteria, if applicable
- documentation requirements
- hazard symbols (if necessary).

4.10.2 Cleaning and disinfection activities shall be implemented and shall result in effectively cleaned premises, facilities and equipment.

4.10.3 Cleaning and disinfection activities shall be documented and such records shall be verified by a responsible designated person in the company.

4.10.4* Only competent personnel shall perform cleaning and disinfection activities. The personnel shall be trained and retrained to carry out the cleaning and disinfection schedules.

4.10.5* The intended use of cleaning and disinfection equipment shall be clearly specified. It shall be used and stored in a way to avoid contamination.

4.10.6 Safety data sheets and instructions for use shall be available on-site for cleaning and disinfection chemicals. Personnel responsible for cleaning and disinfection activities shall be able to demonstrate their knowledge of such instructions.

4.10.7 The effectiveness of the cleaning and disinfection measures shall be verified. The verification shall rely on a risk-based sampling schedule and shall consider, one or several actions, for example:

- visual inspection
- rapid testing
- analytical testing methods.

Resultant actions shall be documented.

4.10.8 Cleaning and disinfection schedules shall be reviewed and modified in the event that changes occur to products, processes or cleaning and disinfection equipment, if necessary.

4.10.9 Where a company hires a third-party service provider for cleaning and disinfection activities in production areas, all above-mentioned requirements shall be documented in the service contract.

## 4.11 Waste management

4.11.1* A waste management procedure shall be documented, implemented and maintained to prevent cross contamination.

4.11.2 All local legal requirements for waste disposal shall be met.

4.11.3 Food waste and other waste shall be removed as quickly as possible from areas where food is handled. The accumulation of waste shall be avoided.

4.11.4 Waste collection containers shall be clearly marked, suitably designed and maintained, easy to clean, and where necessary, disinfected.

4.11.5 If a company decides to separate food waste and to reintroduce it into the feed supply chain, measures or procedures shall be implemented to prevent contamination or deterioration of this material.

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

## 4.12 Foreign material and chemical risk mitigation

**4.12.1* KO N° 6: Based on risks, procedures shall be documented, implemented and maintained to prevent contamination with foreign materials. Contaminated products shall be treated as non-conforming products.**

4.12.2 The products being processed shall be protected against physical contamination, which includes but is not limited to:

- environmental contaminants
- oils or dripping liquids from machinery
- dust spills.

Special consideration shall also be given to product contamination risks caused by:

- equipment and utensils
- pipes
- walkways
- platforms
- ladders.

If, for technological characteristics and/or needs, it is not possible to protect the products, appropriate control measures shall be implemented.

4.12.3 All chemicals within the site shall be fit for purpose, labelled, stored and handled in a way not to pose contamination risks.

4.12.4 Where metal and/or other foreign material detectors are required, they shall be installed to ensure maximum efficiency of detection to prevent subsequent contamination. Detectors shall be subjected to maintenance to avoid malfunction at least once within a 12-month period, or whenever significant changes occur.

4.12.5 The accuracy of all equipment and methods designed to detect and/or eliminate foreign materials shall be specified. Functionality tests of such equipment and methods shall be carried out on a risk-based frequency. In case of malfunction or failure, the impact on products and processes shall be assessed.

4.12.6 Potentially contaminated products shall be isolated. Access and actions for the further handling or testing of these isolated products shall only be carried out by authorised personnel.

4.12.7 In areas where raw materials, semi-finished and finished products are handled, the use of glass and/or brittle materials shall be excluded; however where the presence of glass and/or brittle materials cannot be avoided, the risks shall be controlled and the glass and/or brittle materials shall be clean and pose no risks to product safety.

4.12.8 Risk-based measures shall be implemented and maintained for the handling of glass packaging, glass containers or other kinds of containers in the production process (turn over, blow, rinse, etc.). After this process step, there shall be no further contamination risks.

4.12.9 Procedure(s) shall be documented, implemented and maintained describing the measures to be taken in case of glass breakage and/or brittle materials. Such measures shall include identifying the scope of goods to be isolated, specifying authorised personnel, cleaning and if necessary, disinfection of the production environment and releasing the production line for continued production.

4.12.10 Breakages of glass and brittle materials shall be recorded. Exceptions shall be justified and documented.

4.12.11 Where visual inspection is used to detect foreign materials, the employees shall be trained and operative changes shall be performed at an appropriate frequency to maximise the effectiveness of the process.

4.12.12 In areas where raw materials, semi-finished and finished products are handled, the use of wood shall be excluded; however, where the presence of wood cannot be avoided, the risks shall be controlled and the wood shall be clean and pose no risks to product safety.

## 4.13 Pest monitoring and control

4.13.1 Site premises and equipment shall be designed, built and maintained to prevent pest infestation.

4.13.2* Risk-based pest control measures shall be documented, implemented and maintained. They shall comply with local legal requirements and shall take into account, at a minimum:

- factory environment (potential and targeted pests)
- type of raw material/finished products
- site plan with area for application (bait map)
- constructional designs susceptible for pest activity, for example ceilings, cellars, pipes, corners
- identification of the baits on-site
- responsibilities, in-house/external
- agents used and their instructions for use and safety
- frequency of inspections
- rented storage if applicable.

4.13.3 Where a company hires a third-party service provider for pest control, all above-mentioned requirements shall be documented in the service contract. A competent person at the company shall be appointed to monitor the pest control activities. Even if the pest control service is outsourced, responsibilities for the necessary actions (including ongoing supervision of pest control activities) shall remain within the company.

4.13.4 Pest control inspections and resulting actions shall be documented. Implementation of actions shall be monitored and recorded. Any infestation shall be documented and control measures taken.

4.13.5 Baits, traps and insect exterminators shall be fully functioning, sufficient in number, designed for purpose, placed in appropriate positions and used in a way to avoid contamination.

4.13.6 Incoming deliveries shall be inspected on arrival for the presence of pests. Any findings shall be recorded.

4.13.7 The effectiveness of the pest control measures shall be monitored, including trend analysis, to allow timely appropriate actions. Records of this monitoring shall be available.

## 4.14 Receipt and storage of goods

4.14.1* All incoming goods, including packaging materials and labels, shall be checked for compliance with specifications and a determined risk-based monitoring plan. The monitoring plan shall be justified by risk assessment. Records of those inspections shall be available.

4.14.2* A system shall be implemented and maintained to ensure storage conditions of raw materials, semi-finished, finished products and packaging materials, correspond to product specifications, and do not have any negative impact on other products.

4.14.3 Raw materials, packaging materials, semi-finished and finished products shall be stored to minimise contamination risks or any other negative impact.

4.14.4 Adequate storage facilities shall be available for the management and storage of working materials, process aids and additives. The personnel responsible for the management of storage facilities shall be trained.

4.14.5* All products shall be identified. Use of products shall be undertaken in accordance with the principles of First In/First Out and/or First Expired/First Out.

4.14.6 Where a company hires a third-party storage service provider, the service provider shall be certified to IFS Logistics or any other GFSI recognised certification standard covering the respective scope of activity. If not, all relevant requirements equivalent to the company's own storage practices shall be fulfilled and this shall be defined in the respective contract.

## 4.15 Transport

4.15.1* The conditions inside the vehicles related to the absence of, for example:

- strange smells
- high dust load
- adverse humidity
- pests
- mould

shall be checked before loading and documented to ensure compliance with the defined conditions.

4.15.2 Where goods are transported at certain temperatures, the temperature inside the vehicles shall be checked and documented before loading.

4.15.3 Procedures to prevent contamination during transport, including loading and unloading, shall be documented, implemented and maintained. Different categories of goods (food/non-food) shall be taken into consideration, if applicable.

4.15.4 Where goods are transported at certain temperatures, maintaining the appropriate range of temperatures during transport shall be ensured and documented.

4.15.5 Risk-based hygiene requirements for all transport vehicles and equipment used for loading/unloading (e.g. hoses of silo installations) shall be implemented. Measures taken shall be recorded.

4.15.6 The loading/unloading areas shall be appropriate for their intended use. They shall be constructed in a way that:

- the risks of pest intake are mitigated
- products are protected from adverse weather conditions
- accumulation of waste is avoided

- condensation and growth of mould are prevented
- cleaning and if necessary, disinfection can be easily undertaken.

4.15.7 Where a company hires a third-party transport service provider, the service provider shall be certified for IFS Logistics or any other GFSI recognised certification standard covering the respective scope of activity. If not, all relevant requirements equivalent to the company's own transport practices shall be fulfilled and this shall be defined in the respective contract.

## 4.16 Maintenance and repair

4.16.1* A maintenance plan shall be documented, implemented and maintained, that covers all critical equipment (including transport and storage premises) to ensure food safety, product quality and legality. This applies both to internal maintenance activities and service providers. The plan shall include responsibilities, priorities and due dates.

4.16.2 Food safety, product quality, legality and authenticity shall be ensured during and after maintenance and repair work. Records of maintenance and repair work shall be kept.

4.16.3 All materials used for maintenance and repair shall be fit for the intended use and shall not pose contamination risks.

4.16.4 Failures and malfunctions of premises and equipment (including transport) that are essential for food safety and product quality shall be identified, documented and reviewed to enable prompt actions and to improve the maintenance plan.

4.16.5 Temporary repairs shall be carried out to avoid compromising food safety and product quality. Such work shall be documented and a short-term deadline set for eliminating the issue.

4.16.6 Where a company hires a third-party maintenance and repair service provider, all the company requirements regarding material, equipment and operational rules shall be defined, documented and maintained in the service contract, to prevent any product contamination.

## 4.17 Equipment

4.17.1* Equipment shall be suitably designed and defined for the intended use. Before commissioning new equipment, compliance with food safety, product quality, legality, authenticity and customer requirements shall be validated.

4.17.2 For all equipment and utensils which could have an impact on the product, evidence shall be documented to demonstrate compliance with legal requirements.
In case no specific legal requirements are in place, evidence shall be available, for example:

- certificate of conformity
- technical specifications
- manufacturer's self-declaration

to demonstrate that they are suitable for the intended use.

4.17.3 Equipment shall be located to allow effective cleaning, disinfection and maintenance operations.

4.17.4 All product equipment shall be in a condition that does not compromise food safety and product quality.

4.17.5 In the event of changes to equipment, the process characteristics shall be reviewed to ensure that food safety, product quality, legality, authenticity and customer requirements are complied with.

## 4.18 Traceability

**4.18.1* KO N° 7: A traceability system shall be documented, implemented and maintained that enables the identification of product lots and their relation to batches of raw materials, and food contact packaging materials, and/or materials carrying legal and/or relevant food safety information. The traceability system shall incorporate all relevant records of:**

- **receipt**
- **processing at all steps**
- **use of rework**
- **distribution.**

**Traceability shall be ensured and documented until delivery to the customer.**

4.18.2* The traceability system, including mass balance, shall be tested at least once within a 12-month period or whenever significant changes occur. The test samples shall reflect the complexity of the company's product range. The test records shall demonstrate upstream and downstream traceability (from delivered products to raw materials, and vice versa).

4.18.3 The traceability from the finished products to the raw materials and to the customers shall be performed within four (4) hours maximum. Test results, including the timeframe for obtaining the information, shall be recorded and, where necessary, actions shall be taken. Timeframe objectives shall be in compliance with customer requirements, if less than four (4) hours are required.

4.18.4 Labelling of semi-finished or finished product lots shall be made at the time when the goods are directly packed to ensure clear traceability of goods. Where goods are labelled at a later time, the temporarily stored goods shall have a specific lot labelling. Shelf life (e.g. best before date) of labelled goods shall be defined using the original production batch.

4.18.5 If required by the customer, identified representative samples of the manufacturing lot or batch number shall be stored appropriately and kept until expiration of the "Use by" or "Best before" date of the finished products and, if necessary, for a determined period beyond this date.

## 4.19 Allergen risk mitigation

4.19.1 For all raw materials, a risk assessment shall be performed to identify allergens requiring declarations, including accidental or technically unavoidable cross-contaminations of legally declared allergens and traces. This information shall be available and relevant to the country/ies of sale of the finished products and shall be documented and maintained for all raw materials. A continuously up to date listing of all raw materials containing allergens used on the premises shall be maintained. This shall also identify all blends and formulas to which such raw materials containing allergens are added.

4.19.2* Risk-based measures shall be implemented and maintained from receipt to dispatch, to ensure that potential cross contamination of products by allergens is minimised. The potential cross contamination risks shall be considered, related to, at a minimum:

- environment
- transport
- storage
- raw materials
- personnel (including contractors and visitors).

Implemented measures shall be monitored.

4.19.3 Finished products containing allergens that require declarations shall be declared in accordance with legal requirements. Accidental or technically unavoidable cross-contaminations of legally declared allergens and traces shall be labelled. The decision shall be risk-based. The potential cross-contamination with allergens from raw materials processed in the company shall also be taken into account on the product label.

## 4.20 Food fraud

4.20.1 The responsibilities for a food fraud vulnerability assessment and mitigation plan shall be defined. The responsible person(s) shall have the appropriate specific knowledge.

4.20.2* A documented food fraud vulnerability assessment, including assessment criteria, shall be documented, implemented and maintained. The scope of the assessment shall cover all raw materials, ingredients, packaging materials and outsourced processes, to determine the risks of fraudulent activity in relation to substitution, mislabelling, adulteration or counterfeiting.

4.20.3 A food fraud mitigation plan shall be documented, implemented and maintained with reference to the vulnerability assessment, and shall include the testing and monitoring methods.

4.20.4* The food fraud vulnerability assessment shall be reviewed, at least once within a 12-month period or whenever significant changes occur. If necessary, the food fraud mitigation plan shall be revised/updated accordingly.

## 4.21 Food defence

4.21.1 The responsibilities for food defence shall be defined. The responsible person(s) shall have the appropriate specific knowledge.

4.21.2* A food defence procedure and plan shall be documented, implemented and maintained to identify potential threats and define food defence measures. This shall include, at a minimum:

- legal requirements
- identification of critical areas and/or practices and policy of access by employees
- visitors and contractors
- how to manage external inspections and regulatory visits
- any other appropriate control measures.

4.21.3 The food defence plan shall be tested for effectiveness and reviewed at least once within a 12-month period or whenever significant changes occur.

# 5 Measurements, analyses, improvements

## 5.1 Internal audits

**5.1.1* KO N° 8: An effective internal audit program shall be documented, implemented and maintained and shall ensure, at a minimum, that all the requirements of the IFS Standard are audited. This activity shall be planned within a 12-month period and its execution shall not exceed 15 months. The company shall have a risk assessment in place where activities, which are critical to food safety and product quality shall be audited more frequently.**
**It shall also apply to off-site storage locations owned or rented by the company.**

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

5.1.3 Internal audits shall be documented and results communicated to the senior management and to the persons responsible for the concerned activities. Compliances, deviations and non-conformities shall be documented and communicated to the relevant persons.

## 5.2 Site factory inspections

5.2.1* Site and factory inspections shall be planned and carried out for certain topics, like for example:

- constructional status of production and storage premises
- external areas
- product control during processing
- hygiene during processing and within the infrastructure
- foreign material hazards
- personal hygiene.

The frequency of inspections shall be based on risks and on the history of previous results.

## 5.3 Process validation and control

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

5.3.2 Process parameters (temperature, time, pressure, chemical properties, etc.) which are essential to ensure the food safety and product quality shall be monitored, recorded continuously and/or at appropriate intervals and secured against unauthorised access and/or change.

5.3.3* All rework operations shall be validated, monitored and documented. These operations shall not affect the food safety and product quality requirements.

5.3.4 Procedures shall be documented, implemented and maintained for prompt notification, recording and monitoring of equipment malfunction and process deviations.

5.3.5 Process validation shall be performed using the collected data that is relevant for food safety and the processes. If substantial modifications occur, a re-validation shall be carried out.

## 5.4 Calibration, adjustment and checking of measuring and monitoring devices

5.4.1* Measuring and monitoring devices required to ensure compliance with food safety and product quality requirements shall be identified and recorded. Their calibration status shall be recorded. Measuring and monitoring devices shall be legally approved, if required by current relevant legislation.

5.4.2* All measuring devices shall be checked, monitored, adjusted and calibrated at defined intervals, in accordance with defined, recognised standard/methods and within relevant limits of the process parameter values. The results shall be documented.

5.4.3 All measuring devices shall be used exclusively for their defined purpose. Where the results of measurements or the status of the device indicate a malfunction, the device in question shall be immediately repaired or replaced. Where a malfunction has been identified, the impact on processes and products shall be assessed to identify whether non-conforming products have been processed.

## 5.5 Quantity control monitoring

5.5.1* Compliance criteria to control lot quantity shall be defined. A system on frequency and methodology for quantity control shall be implemented and maintained to meet the legal requirements of the destination country/ies and customer specifications.

5.5.2 Quantity control monitoring shall be implemented and recorded, according to a sampling plan which ensures a proper representation of the manufacturing lot. The results from this monitoring shall be compliant with defined criteria for all products ready to be delivered.

## 5.6 Product testing and environmental monitoring

5.6.1* Testing and monitoring plans for internal and external analyses shall be documented and implemented and shall be risk-based to ensure that product safety, quality, legality, authenticity and specific customer requirements are met. The plans shall cover a minimum of:

- raw materials
- semi-finished products (if applicable)
- finished products
- packaging materials
- contact surfaces of processing equipment
- relevant parameters for environmental monitoring.

All test results shall be recorded.

5.6.2* Based on risks, the criteria for environmental monitoring program shall be documented, implemented and maintained.

5.6.3* Analyses which are relevant for food safety shall preferably be performed by laboratories with appropriate accredited programs/methods (ISO/IEC 17025). If the analyses are performed internally or by a laboratory without the appropriate accredited programs/methods, the results shall be cross-checked with test results from laboratories accredited to these programs/methods (ISO/IEC 17025) at least once within a 12-month period, or whenever significant changes occur.

5.6.4 Procedures shall be documented, implemented and maintained to ensure the reliability of the results from internal analyses, based on officially recognised analysis methods. This shall be demonstrated by ring tests or other proficiency tests.

5.6.5 Results of analyses shall be evaluated in a timely manner by competent personnel. Immediate corrections shall be implemented for any unsatisfactory results. Based on risks and legal requirements, the frequency for review of the testing and monitoring plan results shall be defined in order to identify trends. When unsatisfactory trends are identified, the impact on processes and products as well as the need for actions shall be assessed.

5.6.6 Where internal analyses or controls are undertaken, these shall be carried out in accordance with defined procedures, by competent and approved personnel, in defined areas or laboratories, using appropriate equipment.

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

5.6.8 The testing and monitoring plans shall be regularly reviewed and updated, based on results, changes to legislation or issues that may have an impact on product safety, quality, legality and authenticity.

## 5.7 Product release

5.7.1* A procedure for quarantine (blocking/hold) shall be documented, implemented and maintained to ensure that only raw materials, semi-finished and finished products, and packaging materials, complying with food safety, product quality, legality, authenticity and customer requirements, are processed and delivered.

## 5.8 Management of complaints from authorities and customers

5.8.1* A procedure shall be documented, implemented and maintained for the management of product complaints and of any written notification from the competent authorities – within the framework of official controls –, any ordering action or measure to be taken when non-compliance is identified.

5.8.2* All complaints shall be recorded, be readily available and assessed by competent staff.
Where it is justified, actions shall be taken immediately.

5.8.3 Complaints shall be analysed with a view to implementing actions to avoid the recurrence of the deviations and/or non-conformities.

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

## 5.9 Management of product recalls, product withdrawals and incidents

5.9.1* **KO N° 9: An effective procedure shall be documented, implemented and maintained for the management of recalls, withdrawals, incidents and potential emergency situations with an impact on food safety, product quality, legality and authenticity. It shall include, at a minimum:**

- **the assignment of responsibilities**
- **the training of the responsible persons**
- **the decision-making process**
- **the nomination of a person, authorised by the company and permanently available, to initiate the necessary process in a timely manner**
- **an up-to-date alert contact list including customer information, sources of legal advice, available contacts**
- **a communication plan including customers, authorities and where applicable, consumers.**

5.9.2* The procedure shall be subject to internal testing for recall/withdrawal, by covering the end-to-end process. This activity shall be planned within a 12-month period and its execution shall not exceed 15 months. The outcome of the test shall be reviewed for continuous improvement.

## 5.10 Management of non-conforming products

5.10.1* A procedure shall be documented, implemented and maintained for the management of all non-conforming raw materials, semi-finished products, finished products, processing equipment and packaging materials. This shall include, at a minimum:

- defined responsibilities
- isolation/quarantine procedures
- risk assessment
- identification including labelling
- decision about the further usage like release, rework/reprocessing, blocking, quarantine, rejection/disposal.

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

5.10.3 Where non-conforming products are identified, immediate actions shall be taken to ensure that food safety and product quality requirements are complied with.

5.10.4 Finished products (including packaging) that are out of specification shall not be placed on the market under the corresponding label unless a written approval of the brand owner is available.

## 5.11 Management of deviations, non-conformities, corrections and corrective actions

5.11.1* A procedure for the management of corrections and corrective actions shall be documented, implemented and maintained for the recording, analysis, and communication to the relevant persons of deviations, non-conformities and non-conforming products, with the objective to close the deviations and/or non-conformities and avoid recurrences via corrective actions. This shall include a root cause analysis, at least for deviations and non-conformities related to safety, legality, authenticity and/or recurrence of deviations and non-conformities.

5.11.2 Where deviations and non-conformities are identified, corrections shall be implemented.

**5.11.3* KO N° 10: Corrective actions shall be formulated, documented and implemented as soon as possible to avoid the further occurrence of deviations and non-conformities. The responsibilities and the timescales for corrective actions shall be defined.**

5.11.4 The effectiveness of the implemented corrections and corrective actions shall be assessed and the results of the assessment documented.

# PART 3



# PART 3
# Requirements for accreditation bodies, certification bodies and auditors
## IFS Accreditation and Certification Process

## 0 Introduction

IFS Certification is a product and process certification. All bodies involved shall comply with the international rules and IFS specific requirements described in this document. This part of the IFS Standard mainly deals with requirements applicable to 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 IAF (International Accreditation Forum).

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

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

In general, relevant accreditation body personnel engaged in the concerned IFS Accreditation activities shall have sufficient knowledge of the IFS Food Standard, the related normative documents and the food industry.

Accreditation decisions can only be made following the recommendation of a competent person or an accreditation committee. The person in charge, or at least one member of the accreditation committee, shall have taken part in an IFS Training Session ("Train the Trainer" course (TTT course))—organised by IFS or shall be able to demonstrate an equivalent level of knowledge. In the case of a committee, the trained person shall provide the other members of the accreditation committee with the necessary information. This information is based on the main points of the "Train the Trainer" course with the main emphasis on Part 1 (IFS Food Certification Protocol), Part 3 (requirements for accreditation bodies, certification bodies and auditors), Part 4 (audit report, certificate) of the IFS Food Standard, the IFS Food Doctrine and the IFS Auditor Examination Process.

## 1.3 Competencies of the assessor(s) of the accreditation body

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

- Accompanying IFS Food Auditors during registered IFS Food Audits (accreditation witness assessment)
- Assessing the head office of the certification body (head office assessment)

according to ISO/IEC 17065:2012 norm and IFS specific requirements.

In general, the assessor(s) shall have working knowledge of the ISO/IEC 17065:2012 norm and the IFS normative documents (IFS Food Standard and Doctrine). The person at the accreditation body responsible for IFS Standards can participate in IFS Official Training/Certification Body Conferences/ Accreditation Body Meetings to train assessors internally.

Witness assessors shall, at a minimum:

- Be able to demonstrate a working knowledge of IFS (e.g. by taking part in the annual IFS Certification Body Conference, IFS Calibration Training, IFS Train the Trainer Course; or by being trained internally by an accreditation body leader who has taken part in the IFS Training/ Certification Body Conference)
- Have taken part in an HACCP course
- Have a minimum of two (2) years' experience in the food industry sector.

Head office assessors shall, at a minimum:

- Have detailed knowledge of the current versions of IFS normative documents.

## 1.4 Frequency of the assessments of certification bodies

A head office assessment (with review of at least one full IFS Food Certification Process) and at least one accreditation witness assessment shall be performed during an initial assessment.
The certification body is allowed to perform a maximum of ten (10) IFS Food Audits and to operate for a maximum of one year before achieving the accreditation for IFS Food. In this case, at least one of the IFS Audits shall be assessed by the accreditation body (accreditation witness assessment) and all IFS Audits (including at least one full certification process) shall be reviewed by the accreditation body during the initial head office assessment.
For renewal assessments, a head office assessment (with review of at least one full certification process) and one accreditation witness assessment shall be performed.

During the surveillance of the accreditation cycle, the following number of assessments shall be performed:

- A minimum of one head office assessment per year
- A minimum of one accreditation witness assessment every two (2) years. Different IFS Product Scopes shall be considered within the accreditation witness assessments.

**Note:** A flexibility of maximum three (3) months can be permitted for the interval between two (2) assessments, according to the accreditation body rules.

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

- For certification bodies with up to 200 certificates: at least three (3) IFS Food Certification site files
- For certification bodies with up to 400 certificates: at least five (5) IFS Food Certification site files.

For each additional number of certificates totaling up to 200, at least one additional IFS Food Certification site file.

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

For each additional number of auditors totaling up to 20, at least one additional auditor file.

The use of non-exclusive auditors shall be adequately addressed in the sample of auditor files. For consecutive accreditation witness assessments, the accreditation body shall, wherever possible, select different IFS Food Auditors of the certification body in order to cover different scopes.

### 1.5 Accreditation of an internationally active certification body

The head office assessments and the accreditation 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 ISO/IEC 17065:2012 norm. The IAF MD 12:2016 Accreditation Assessment of Conformity Assessment Bodies with Activities in Multiple Countries shall apply.

### 1.6 Conditions for recovering accreditation after withdrawal or suspension

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

## 2 Requirements for the certification bodies

Certification bodies intending to perform IFS Food Audits shall comply with the following rules.

### 2.1 Contract with IFS Management GmbH

The certification body shall have signed the IFS Framework Agreement before it is authorised to perform any IFS Audit (including the first audit(s) during the accreditation process). The certification body shall demonstrate that they are actively applying for accreditation to the ISO/IEC 17065:2012 norm for IFS Food. As part of the IFS Framework Agreement, the certification body is obliged to send at least one participant to the annual IFS Certification Body Conference. This person shall either be the IFS Standard Manager, the approved IFS In-house Trainer, or one of their officially assigned deputies, and shall be fluent in English.

## 2.2 ISO/IEC 17065:2012 norm accreditation process for IFS

The certification body shall be accredited to the ISO/IEC 17065:2012 norm for IFS Food by an IAF recognised accreditation body. Certification bodies in the process of accreditation may organise a maximum of ten (10) audits including the accreditation witness assessment before achieving accreditation status. All audits (including at least one full certification process) shall be reviewed by the accreditation body during the initial head office assessment.

**Note:** In case of withdrawal or suspension of accreditation against ISO/IEC 17065:2012 norm for IFS, the whole certification process shall be stopped and the certification body is no longer allowed to issue any IFS Certificate. The certification body cannot issue IFS Certificates from the date of withdrawal or suspension, even for audits which have been already performed but which are still in the certification process (report review, certification decision, etc.).

## 2.3 Complaints and appeals procedure

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

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

For the handling of complaints received by the IFS Offices, the basis for complaint management is described in the IFS Framework Agreement with certification bodies:

- If the complaint relates to the quality of IFS Audits or the content of IFS Audit Reports, the IFS Offices require the certification body to provide a statement on the cause and the measures identified to rectify the problem within ten (10) working days.
- If the complaint relates to administrative errors, e.g. in IFS Audit Reports, IFS Certificates or in the IFS Database, the IFS Offices ask the certification body to provide a statement and rectify the problem within five (5) working days. The statement shall be issued in writing, by e-mail or post.

## 2.4 Certification decision

The decision concerning certification can only be made following the recommendation of a competent person or a certification committee (chart 8). Furthermore, the decision can only be made by a different person to the one who performed the audit.

### Chart 8: Functions and requirements related to certification decision process

| Function | Profile/requirements | Further requirements |
|---|---|---|
| **Technical report review and recommendation for a certification decision** | By one nominated person from the certification body who is approved as IFS Food Auditor or IFS Food Pure Reviewer | This shall not be the person who performed the audit.<br>The review shall be documented. |
| **Certification decision** | By the certification body (the certification body shall retain authority for its decisions relating to certification) | The certification decision is made following recommendation by a competent person. The decision shall be made by the certification body, either a nominated person working exclusively for the certification body or a committee with no involvement of the person who performed the audit. |

## 2.5 Transfer of certification

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

## 2.6 Certification body responsibilities for IFS Auditors, Reviewers, In-house Trainers and Witness Auditors

The certification body shall ensure compliance with ISO/IEC 17065:2012 norm and the IFS Framework Agreement.

It is the responsibility of the certification body to ensure that processes are in place to monitor and maintain the competencies of all auditors and reviewers to the level required by the IFS Standard. Therefore, certification bodies have the following responsibilities:

- To manage witness audits/assessments (by accreditation bodies, Integrity Program, and certification body through the monitoring program and sign-off audits).
- To ensure that auditors or audit teams are qualified for the full scope of the audit and are able to apply relevant laws, regulations, IFS Requirements and the certification body's own rules.
- To maintain auditor competencies (by continuous supervision by the certification body) and monitor audit performance of every auditor by an on-site witness audit at least once every two (2) years (see more details in chapter 3.1.5, Part 3). All information related to the fulfilment of requirements for maintenance of approval shall be kept up to date in the IFS Database.
- To witness auditors who are already IFS Auditors but new to the certification body when starting to perform IFS Audits for them (this witness audit can count as the regular monitoring audit so that the next regular monitoring audit will be performed in the second year).
- To ensure that auditors act impartially (e.g. not acting against IFS rules, not having acted as a consultant or having had involvement with, or acted on behalf, of the companies being audited during the previous two (2) years).

- To ensure that no auditor shall perform more than three (3) consecutive IFS Food Audits at the same production site (this only applies for full audits, irrespective of the time between them; this does not apply for follow-up audits, extension audits, audits that have been participated in as a trainee).
- To ensure that all auditors and reviewers have a valid contract with the certification body.
- To obtain signed confirmation from the auditors for each audit, which includes the statement:
  - of compliance with all rules defined by the certification body, including confidentiality and independence from commercial and other interests
  - of absence of conflict of interest, including a declaration in case of any association to the company being audited, currently or within the last two (2) years.

  This confirmation can be covered by a general confirmation of an auditor working as a permanent employee for the certification body.
- To ensure that at least one member of the certification body staff is responsible for certification body in-house IFS Trainings. This approved IFS In-house Trainer shall have taken part in the TTT course organised by IFS.

  **Note:** For a certification body which is starting IFS activities, the in-house training can be organised by IFS, on request.
- To organise 16 hours of in-house training for IFS Auditors and Reviewers per year, for the purpose of sharing experience, calibration and updating knowledge of relevant legal requirements, etc. The content shall cover elements of the IFS GAP Guideline. The IFS In-house Trainer is responsible for the content of the training and shall lead at least part of the training. Topics such as legislation, audit practices, food safety updates can be the same as for other GFSI recognised food safety certification standards. The 16 hours of training shall include at least one full day of face-to-face meeting. The other eight (8) hours of training can either take place via face-to-face meeting or via online session(s), as long as it is dedicated to IFS. The signature list, agenda and material of the training shall be available upon request.
- To be fully cognisant of the examination regulations provided by IFS and available on the IFS website.
- To ensure the audit report and associated documentation including auditor's notes are stored safely and surely for a period of five (5) years.

The certification body is responsible for appointing an auditor or an audit team with the corresponding product and technology scope(s), language, competency/ies, etc. for each IFS Audit.

Every certification body shall have a minimum of one contracted auditor, one contracted reviewer, one approved IFS In-house Trainer and an IFS responsible person (contact person for IFS). In case of any changes, the certification body shall inform the IFS Offices.

# 3 Requirements for IFS Food Auditors, Reviewers, In-house Trainers and Witness Auditors

Certification bodies shall ensure that the specific roles and functions of certification body staff comply with the following rules.

## 3.1 Requirements for IFS Food Auditors

IFS Auditors can work on an exclusive basis with only one certification body or on a non-exclusive basis for one or more certification bodies.

Exclusive auditors shall have submitted all relevant information about their competencies to the certification body and the certification body shall have assessed and confirmed their competencies before they register them as new exclusive auditors in the IFS Database.

Non-exclusive auditors are fully responsible for their own application as IFS Auditor and shall register themselves as new non-exclusive auditors in the IFS Database. The competencies of a new non-exclusive auditor are assessed directly by IFS Auditor Management via their online CV.

### 3.1.1 Auditor approval process

In general, the auditor shall meet the requirements of chapters 7.2.2 and 7.2.3 of ISO/IEC 19011.

For an exclusive auditor, the contract, which includes the requirements described under section 2.6, shall be signed with the certification body (see ISO/IEC 17065:2012 norm) before applying for IFS Examinations.

For a non-exclusive auditor, the contract with one or more certification bodies can be signed after the IFS Examinations.

All auditors shall have agreed to the "General terms and licensing conditions of IFS Management GmbH for IFS Auditors" and the "Integrity Program rules for Auditors ".

### 3.1.2 General requirements for auditors when applying for IFS Examinations

Candidates applying to qualify as IFS Auditors shall meet the following minimum requirements and provide evidence with the application documents. The CV has to be submitted via the IFS Database.

**a) Education**

A food-related or bioscience degree (minimum a bachelor's degree or equivalent) or at least a successfully completed food-related professional higher education.

**b) Work experience**

A minimum of three (3) years full-time professional experience related to the food industry including the following functions: functions related to food production activities (e.g. quality assurance, food safety, R & D) in the food industry or in retail; food safety auditing and/or food safety inspection or enforcement.

Experience from consultancy in relation to food production activities may be recognised as a maximum of one year towards the work experience, if it can be proven by customer contracts, invoices, orders or confirmations.

**c) Qualifications**

The candidate shall have:

- Taken part in a recognised lead auditor course (e.g. IFS, IRCA) with a duration of at least 40 hours.
- Taken part in a Food hygiene and HACCP course, with a duration of at least two (2) days/16 hours.

**d) General audit experience**

- **If candidate has audit experience:** A minimum of seven (7) full food safety audits (GFSI recognised food safety certification audits and/or recognised second party audits) and/or IFS Global Markets Food Assessments (intermediate level or at least eight (8) hours assessment duration) shall have been performed by the auditor in the food processing industry during the previous five (5) years (according to the "Positive list of recognisable audit experience for IFS Food" provided to the certification bodies by IFS).
- **If candidate has no audit experience:** In case the candidate has no own audit experience, the candidate shall participate in seven (7) audits of IFS Food or any full food safety audits (GFSI recognised food safety certification standard audit and/or recognised second party audit) and/or IFS Global Markets Food Assessments (intermediate level or at least eight (8) hours assessment duration (according to the "Positive list of recognisable audit experience for IFS Food" which is provided to the certification bodies by IFS). The candidate shall inactively participate in the first two (2) audits as a shadow observer. During audits three (3) to seven (7) the candidate shall participate actively in the audit under supervision and responsibility of an experienced lead auditor. The trainee and lead auditor shall never separate during the audits. The audit schedules for audits three (3) to seven (7) shall reflect the parts the trainee is auditing. These schedules shall be made available to the IFS Offices on request.
- **Combination of audit experience and no audit experience:** A combination of own audit experience and trainee audits is possible as long as the above-mentioned requirements for the type of audits and supervision during trainee audits are complied with.
- **For all candidates:** Audit number eight (8) and nine (9) shall be a full IFS Food Audit where active participation as a trainee under the supervision and responsibility of an IFS approved auditor is required. The audit schedules for these audits shall reflect the parts the trainee is auditing. These schedules shall be made available to the IFS Offices on request.
  The audits are accepted for scope extensions and can be performed in any product and technology scope.

**The audits shall have been carried out at different production sites, a maximum of three (3) audits at the same site are accepted.**

The candidate shall have performed or observed a minimum of two (2) audits when applying for the exam. Audit eight (8) and nine (9) shall only be performed after the candidate passed general written and oral exams. The general audit experience shall be completed before the sign-off audit will be performed.

The full approval process from passing the oral exam until being activated in the IFS Database shall take no longer than two (2) years.

### Chart 9: General audit experience plus sign-off audit

| N° of audit/ Assessment | Tasks/Role | Possible audit/ Assessment types |
|---|---|---|
| **1–2**<br><br>**Exam can be taken after audit 1 and 2** | Performed audits as lead or co-auditor<br>or<br>participation as a trainee (no active participation) | Full food safety audits (GFSI recognised food safety certification audits and/or recognised second party audits) and/or IFS Global Markets – Food Assessment (intermediate level or at least eight (8) hours duration) shall have been performed by the auditor in the food processing industry<br>or<br>IFS Food Audit (only possible as a trainee) |
| **3–7** | Performed audits as lead or co-auditor<br>or<br>active participation as a trainee in the audits/assessments under supervision and responsibility of an experienced lead auditor | Full food safety audits (GFSI recognised food safety certification audits and/or recognised second party audits) and/or IFS Global Markets – Food Assessment (intermediate level or at least eight (8) hours duration) shall have been performed by the auditor in the food processing industry<br>or<br>IFS Food Audit (only possible as a trainee) |
| **General written and oral exams need to be passed before audit 8 and 9** | | |
| **8–9** | Active participation as a trainee in the IFS Audits under the supervision and responsibility of an approved IFS Auditor | IFS Food Audit |
| **10** | **Auditor under observation in the sign-off audit** (see glossary) | IFS Food Audit<br>in a company where the full audit scope matches the product and technology scopes the "auditor under observation" is applying for |

**e) Specific and practical knowledge per product scope and technology scope**

The candidates shall have specific and practical knowledge per product and technology scope (see Annex 3 for product and technology scopes).

**For product scopes:**

- At least one year professional experience in the food industry in relation to food processing activities for each applied product scope. Experience from consultancy related to food processing activities may be recognised as a maximum of six (6) months towards work experience, if it can be proven by customer contracts, invoices, orders or confirmations.

OR

- At least five (5) audits per scope, belonging to the following categories:
  - GFSI recognised food safety certification audits (of which trainee audits are also accepted if evidence of attendance is available)
  - IFS Global Markets Food Assessments (Intermediate Level or at least eight (8) hours assessment duration)
  - Second party audits including food safety and quality aspects with confirmed evidence (according to the "Positive list of recognisable audit experience for IFS Food" which is provided to the certification bodies by IFS).

  The candidate shall have participated in all steps of the audits (on-site audit and auditor's on-site decision-making processes). Audits shall have been preferably carried out at different production sites, with a maximum of two (2) audits at the same production site.

If professional work experience or audit experience do not individually fulfil the requirements to apply for a product scope, a combination of both can be accepted (e.g. six (6) months of work experience plus three (3) audits or equivalent combinations).

To get the approval for scope 7 (combined products), the auditor shall:

- Have at least one year professional experience in the scope or five (5) GFSI recognised food safety certification audits in the scope and/or second party audits including food safety and quality aspects with confirmed evidence in the scope
  AND
- Be approved for a minimum of one scope from number 1 to 4
  AND
- Be approved, additionally, for one scope from number 1 to 6.

To get the approval for scope 11 (pet food), the auditor shall:

- Have at least one year professional experience in the scope or five (5) GFSI recognised food safety certification audits in the scope and/or second party audits including food safety and quality aspects with confirmed evidence in the scope
  AND
- Be approved for product scope 1 or 2
  AND
- Have been trained on relevant specific legislation.

**For technology scopes:**

- At least one year professional experience in the food industry in relation to food processing activities for each applied technology scope. Experience from consultancy may be recognised as a maximum of six (6) months towards work experience, if it can be proven by customer contracts, invoices, orders or confirmations.

OR

- At least five (5) audits per scope, belonging to the following categories:
  - GFSI recognised food safety certification audits (of which trainee audits are also accepted if evidence of attendance is available)
  - IFS Global Markets Food Assessments (intermediate level or at least eight (8) hours audit duration)
  - Second party audits including food safety and quality aspects with confirmed evidence (according to the "Positive list of recognisable audit experience for IFS Food").

The auditor shall have participated in all steps of the audits (on-site audit and auditor's on-site decision-making processes). Audits shall have preferably been carried out in different production sites with a maximum of two (2) audits at the same production site.

If professional work experience or audit experience do not fulfil the requirements to apply for a technology scope individually, a combination of both can be accepted (e.g. six (6) months of work experience plus three (3) audits or equivalent combinations).

**f) Language**

If auditors wish to perform audits in language(s) different to their mother tongue, they shall be able to provide evidence of fluency in this/these other language(s) and provide the following evidence to IFS Offices:

- Acceptance of language certificates comparable to the CEFR (Common European Framework of Reference for Languages) level B2 and higher
  OR
- Two (2) years work experience in the food sector in the respective country
  OR
- At least ten (10) audits performed in the respective language of the country (trainee audits are not accepted) that include writing reports in this language without an interpreter
  OR
- For initial approval only: successful completion of the oral or general written exam in the respective language without interpreter.

**g) Initial IFS In-house Training (two (2) days/16 hours)**

The candidate shall have taken part in an initial IFS In-house Training organised by the certification body (based on the material provided by IFS (e.g. TTT material and IFS GAP Guideline), led by an approved in-house trainer and covering food safety, food-related legislation, audit practices, etc.) or in an initial training organised by IFS. The initial in-house training shall not have taken place more than one year prior to the date of initial application for the IFS Examinations. The intention of this course is to prepare the candidates for the IFS Examination.

**h) E-learning provided by IFS (modular approach)**

IFS Training on the product and process approach.

If the auditor's CV does not meet the above-mentioned requirements, IFS may reject the auditor's examination application.

For exclusive auditors, the auditor's CV shall be confirmed by a person from the certification body. Non-exclusive auditors shall confirm the correctness and completeness of the data provided in their CV themselves.

**Note:** IFS Offices have the possibility to withdraw an IFS Auditor approval or not to accept them for the examinations if the information provided in the CV is false.

All requirements for approving auditors shall be assessed by the certification body, according to ISO/IEC 17065:2012 norm.

### 3.1.3 IFS Examination Process and sign-off audit

Auditors who comply with the requirements mentioned in chapter 3.1.2, Part 3 can then take part in the written IFS Examination, and if successful, in the oral IFS Examination.

**Note:** Detailed regulations for IFS Examination ("IFS Examination Regulation" document) and international IFS Examination schedules are provided by IFS and are available on the IFS website.

Upon successful completion of written and oral IFS Examinations and fulfillment of the required general audit experience (see chapter 3.1.2 d), the auditor shall be signed off during their first IFS Food Audit acting as lead auditor under observation of the fully qualified witness auditor (see also glossary for sign-off audit definition).

This audit shall be:

- performed in a company where the audit scope matches the product and technology scopes the "auditor" is going to be approved for
- witnessed by an IFS Witness Auditor who is approved for all product and technology scopes of the audit.

The report of the sign-off audit shall be documented in the template provided by IFS.

Once the IFS Witness Audit Report of the successfully performed sign-off audit has been approved by IFS, the auditor will be activated as an IFS Food Auditor in the IFS Database and a personal IFS Auditor Certificate will be issued for the auditor. The IFS Auditor Certificate mentions the duration of validity, the product and technology scopes the auditor is approved for and the auditor's languages.

Starting from the day of activation, the auditors are allowed to perform IFS Food Audits for the product and technology scopes they have been approved for by IFS Offices. The certificate validity starts from the date of activation in the IFS Database and is based on the date the oral IFS Examination is successfully passed. The validity stops at the end of the second calendar year, irrespective of the date of activation as an IFS Food Auditor.

**Example:** If an auditor passes the oral IFS Examination on 20.10.2022, the auditor certificate will be valid until 31.12.2024.

### 3.1.4 Conversion option for auditors approved for other GFSI recognised food safety post-farm processing certification standards, accredited to ISO/IEC 17065:2012 norm, to become approved for IFS Food Standard

The candidate shall:

- Be approved for at least two (2) years for the referenced GFSI recognised food safety post-farm processing certification standard accredited to ISO/IEC 17065:2012 norm
- Take part in a two (2) day IFS In-house Training
- Take part in the IFS e-Learning on the product and process approach
- Pass the oral IFS Examination (and written examination(s) for IFS Technology Scope(s) approval)
- Perform a sign-off witness audit.

Product and technology scopes will be accepted based on work and audit experience as described in chapter 3.1.2 e), Part 3.

### 3.1.5 Maintenance of auditor's approval

The auditor's approval shall be reassessed before the end of validity of their auditor's certificate. To maintain their approval, the exclusive auditors shall fulfil the following requirements:

- Every year: to have taken part in a two (2) day/16 hours in-house training by the certification body (see specifications on this training in chapter 2.6, Part 3). This is applicable from the year the oral examination is passed.
- Every year: to have performed a minimum of five (5) IFS Food Audits as a lead or co-auditor. This is applicable from the first full year following the approval as an IFS Food Auditor.
- Every two (2) calendar years: to have attended and successfully completed a two (2) day IFS Calibration Training, organised by IFS. Subsequent to passing the initial IFS Examinations, the first mandatory IFS Calibration Training shall be completed in the second calendar year following the date when the oral IFS Examination was passed.
- Every two (2) years: to be assessed by the certification body during a full IFS Food Audit (on-site monitoring witness audit), in order to evaluate their competencies. This audit can be performed at any time during the second calendar year following the year when the last witness audit took place. This can be replaced every second time (every four (4) years), by a full on-site witness audit performed during another GFSI recognised food safety post-farm processing certification standard audit accredited to ISO/IEC 17065:2012 norm. The witness auditor shall not be part of the audit (as a team member). For the on-site witness audit performed during an IFS Food Audit, the witness auditor shall be an approved IFS Food Auditor and shall fulfil the requirements to act as an IFS Witness Auditor, as defined in chapter 3.2. The certification body shall specify the name of the witness auditor in the IFS Audit Report. A comprehensive witness audit report using the IFS Witness Report template shall be available to demonstrate the outcome of the witness audit.

Non-exclusive auditors are responsible for maintaining their own IFS approval.

To maintain their approval, the non-exclusive auditors shall fulfil the same requirements as for exclusive auditors, with the following variants (in bold):

- Every year: to have taken part in a two (2) day/16 hours in-house training with **each certification body** the non-exclusive auditor is linked to in the IFS Database.
- Every year: to have performed a minimum of five (5) IFS Food audits as a lead or co-auditor. This is applicable from the first full year following approval as an IFS Food Auditor.
- Every two (2) years: to be assessed by **each certification body** during a full IFS Food Audit (on-site monitoring witness audit).

**Note 1:** The monitoring witness audits should, over time, reflect the scopes an auditor is approved for.

**Note 2:** If the witness audit is performed during another GFSI recognised food safety certification standard audit, the witness auditor shall witness the auditor during the full calculated audit duration. Apart from this before mentioned rule, the rules for witness auditor and reporting format for the respective standard apply.

**Note 3:** Successfully completed witness assessments from accreditation bodies or witness audits from the IFS Integrity Program during IFS Food Audits can replace the witness audits from the certification body.

**Note 4:** For an audit team, the lead auditor can only be witnessed if the audit team did not split during the audit.

All results of the monitoring process of approved IFS Auditors, as well as internal and external trainings, shall be assessed by the certification body, according to ISO/IEC 17065:2012 norm.

Evidence of the above-mentioned requirements shall be uploaded in the IFS Database, where required by IFS, before the end of the validity of the auditor's certificate.

**Note:** In case of any extraordinary situation, (e.g. emerging market), where the regular rules cannot be complied with, it is mandatory to contact the IFS Auditor Management for a case by case decision.

IFS manages auditor re-approval every two (2) years:

- If all requirements are fulfilled, IFS re-issues a new auditor certificate which is valid for two (2) more years.
- If not all of them are fulfilled, the auditor´s certificate will not be maintained. The auditor shall successfully participate in the initial oral IFS Examination and sign-off audit to be approved as IFS Food Auditor again.

**Example of a situation where all requirements are fulfilled:**

- Date of passed oral IFS Examination: 25th May 2022
- Date of end of validity for IFS Auditor Certificate (initial approval): 31st December 2024
- The auditor shall participate in an IFS Calibration Training between 1st January and 31st December 2024.
- The auditor is authorised to perform IFS Audits from the day of activation in the IFS Database until 31st December 2024.
- In 2024, if the auditor has:
  - taken part in the IFS Calibration Training (e.g. on 8th and 9th September 2024) and
  - fulfilled all other rules mentioned in chapter 3.1.6
- The new end of validity date for IFS Auditor Certificate (re-approval) is: 31st December 2026.

### 3.1.6 Specific situation of temporarily inactive auditor

If an auditor needs to take a timeout (i.e. a break from their activity as an IFS Auditor for at least six (6) months and no longer than three (3) years), due to e.g. maternity/paternity leave or illness, the auditor's certification body shall inform IFS Auditor Management of both the start and end date of the timeout period as soon as possible. Non-exclusive auditors shall provide IFS Auditor Management with the above requested information.

If, due to the timeout, the requirements mentioned in chapter 3.1.5 to maintain auditor approval are not fulfilled (in-house training every year, witness audit every second year and IFS Calibration Training every second year), the auditor shall fulfil them within a one-year period following the timeout and before they can resume their activity as an IFS Food Auditor. If not, the auditor will lose their IFS Food Approval and shall successfully participate in the oral IFS Examination and sign-off audit to be approved as IFS Food Auditor again.

In case of a standard version change during this temporary time-out, the auditor conversion process shall be applied.

### 3.1.7 Scope extension for approved IFS Food Auditors

Auditors may, during the validity of their IFS Auditor certificate, extend their approval for product and/or technology scope(s), based on new or extended experience gained after their initial application as an IFS Food Auditor.

For extension of product and technology scope(s), the auditor shall provide the same evidence as for the initial approval process (chapter 3.1.2 e), based on at least partly new experiences different to that provided for initial application.

For extension of technology scope(s), the auditor shall additionally pass a written IFS Examination (per technology scope) organised by IFS Offices.

**Note 1:** IFS Food Audits which were performed under the supervision of a witness auditor, can count for the witness auditor to apply for a product or technology scope extension. Participation in an IFS Food Audit as technical expert or interpreter can also count to apply for a product or technology scope extension.

**Note 2:** To be able to use the performed IFS Audit as evidence for a scope extension request in the case of an audit team, the auditors shall stay together during the whole IFS Audit.

**Alternative path for extension on product scopes 3, 7 and 11**
When applying for a scope extension for one of these product scopes (3, 7 or 11), the auditor shall either fulfil the above-mentioned requirements (general approach) or fulfil all four (4) requirements defined in chart 10.

#### Chart 10: Four (4) requirements for scope extension of product scopes (3, 7 or 11)

| Requirement | Product scope 3 (egg & egg products) | Product scope 7 (combined products) | Product scope 11 (pet food) |
|---|---|---|---|
| Approval for other product scope(s) as a prerequisite | One product scope from scopes 1, 2 or 4 (animal scopes) | One product scope from scopes 1 to 4 (animal scopes) + 1 product scope from scopes 1 to 6 | One product scope from scopes 1 to 4 (animal scopes) + 1 product scope from scopes 1 to 6 |
| Audit experience | Ten (10) full IFS Food Audits in any product scope(s) (performed as lead or co-auditor) | | |
| Product specific certification body in-house training | Duration of at least four (4) hours | Duration of at least eight (8) hours | Duration of at least eight (8) hours |
| Witness audit | Witnessing by certification body during the first audit for the new product scope; the witness auditor shall be approved for the product scope the auditor is witnessed for (this can be used as the mandatory monitoring witness audit) | | |

Evidence of the successful participation in the training shall be made available to IFS on request. The certification body shall submit the application for scope extension to IFS Auditor Management **after the witness audit has been performed and evaluated but before the IFS Audit Report is uploaded in the IFS Database.**

### 3.1.8 Further rules and explanations concerning the non-exclusive approach

Each auditor can switch their status between exclusive/non-exclusive (and vice versa). The certification bodies concerned will be notified automatically by IFS for every switch between the approaches.
A non-exclusive auditor will be linked to a certification body in the IFS Database by uploading the witness audit performed by the certification body.
A non-exclusive auditor shall not take over any position of responsibility regarding IFS in a certification body (e.g. they cannot be an IFS In-house Trainer, an IFS responsible person nor a contact person for IFS).
Loan agreements for individual audits and IFS Working Group Agreements are not possible for non-exclusive auditors.

### 3.1.9 General rules about audit teams

All members of the audit team shall be approved IFS Auditors.

In case of auditing in teams, the following requirements apply:

- An IFS Audit Team consists of IFS Food Auditors whose combined profile (product and technology scope(s)) complies with the scope of the audited production site.
- A lead auditor shall always be appointed.
- Lead and co-auditor(s) shall always be approved for at least one product scope and one technology scope of the audit scope.
- A minimum of two (2) hours shall be added to the calculated audit duration. This additional time shall be allocated to the team for common tasks (e.g. opening and closing meetings, discussion about audit findings, etc.) and not to an individual auditor.
- The remaining time can be split, as long as the auditor approval for product scope and technology scopes are always covered during the audit. If the lead or co-auditor(s) does not individually have all product and technology scopes necessary for the audit, they have to remain together during all parts of the audit where the approval of both auditors are necessary. Only an auditor with all relevant product and technology scopes is allowed to perform the respective parts of the audit separately.

The audit time schedule shall clearly indicate which auditor performed which part of the audit.

## 3.2 Requirements for IFS Reviewers

An IFS Reviewer shall either be an approved IFS Food Auditor or an IFS Pure Reviewer (if not an IFS Food Auditor). The following section details the requirements for being approved as a pure reviewer. IFS Pure Reviewers can work on an exclusive basis with only one certification body or on a non-exclusive basis for one or more certification bodies.

### 3.2.1 General requirements for IFS Pure Reviewers

Candidates applying to qualify as an IFS Pure Reviewer shall meet the following minimum requirements and provide evidence with the application documents.

**a) Education and work experience**
Same professional education and work experience as requested for IFS Auditors.

**b) Qualifications**
The candidate shall have taken part in a food hygiene and HACCP course, with a duration of at least two (2) days/16 hours.

**c) General audit experience**
The candidate shall have attended two (2) full IFS Food Audits (as observer).

**d) Language**
If the candidate wishes to review audit reports in language(s) different from their mother tongue, they shall be fluent in this/these language(s). The decision if a reviewer's language skills are sufficient to carry out a technical review in a proper way, in the respective language, is the responsibility of the certification body.

**e) IFS In-house Training and IFS Scoring Course**
The candidate shall have taken part in the following trainings:

- a one-day task related in-house training organised by the certification body

AND

- a one-day scoring course provided by IFS.

**f) E-learning provided by IFS ("IFS Training on Product and Process Approach")**

Once the reviewer has fulfilled the above-mentioned requirements and this has been approved by IFS, they will be activated as an IFS Food Pure Reviewer in the IFS Database and a personal IFS Reviewer Certificate will be issued.
Starting from the day of activation, the Reviewer is allowed to perform technical reviews of IFS Food Audit Reports. The certificate validity period starts from the date of activation in the IFS Database and stops at the end of the second calendar year, irrespective of the actual activation date.

### 3.2.2 Maintenance of IFS Food Pure Reviewer's Qualification

The IFS Food Pure Reviewer's approval shall be reassessed before the end of validity of their reviewer's certificate.
To maintain their approval, the reviewer shall fulfil the following requirements:

- Every year: to have taken part in a two (2) day/16 hour annual in-house training by the certification body (see specifications on the training in chapter 2.6).
- Every two (2) years: to have taken part (as observer) at one full IFS Food Audit.
- Every two (2) calendar years: to have attended and successfully completed a two (2) day IFS Calibration Training, organised by IFS. The first mandatory IFS Calibration Training shall be completed in the second calendar year following the date of the initial approval.

Non-exclusive pure reviewers are responsible for maintaining their own IFS Pure Reviewer approval. To maintain their approval, the non-exclusive pure reviewer shall fulfil the same requirements as for exclusive pure reviewers, with the following variants (in bold):

- Every year: to have taken part in a two (2) day/16 hour in-house training **with each certification body** the non-exclusive auditor is linked to in the IFS Database.
- Every two (2) years: to have taken part (as observer) at one full IFS Food Audit **for each certification body.**

**Note:** When starting with a new certification body, a pure reviewer shall take part in a one-day task related in-house training by the certification body.

## 3.3 Requirements for IFS In-house Trainers

### 3.3.1 General requirements for IFS In-house Trainers

Candidates applying to qualify as an IFS In-house Trainer shall meet the following minimum requirements and provide evidence with the application documents.

**a) Education and work experience**
Same professional education and work experience as requested for IFS Auditors.

**b) Qualifications**
The candidate shall have:

- Taken part in a lead auditor course and HACCP course, as requested for IFS Auditors
- Taken part in the "Train the Trainer" course organised by IFS.

**c) General audit experience**
A minimum of seven (7) full food safety audits (GFSI recognised food safety certification audits and/or recognised second party audits) and/or IFS Global Markets Food Assessments (intermediate level or at least eight (8) hours assessment duration) shall have been performed by the auditor in the food processing industry during the previous five (5) years (according to the "Positive list of recognisable audit experience for IFS Food" which is provided to the certification bodies by IFS).
In addition, they shall have participated in two (2) full IFS Food Certification Audits as a lead or co-auditor or as trainee during the last two (2) years.

**d) Language**
The IFS In-house Trainers shall be fluent in English and in the language(s) used when conducting their trainings.

**e) E-learning provided by IFS ("IFS Training on Product and Process Approach")**

### 3.3.2 Maintenance of IFS In-house Trainer Qualification

To maintain approval, the IFS In-house Trainer shall fulfil the following requirements:

- Every year: to carry out or take part in a two (2) day/16 hour in-house training by the certification body.
- Continuously: to stay informed about any new information concerning the IFS Food Standard (provided by IFS to their certification body).

- Conversion to the IFS Food Standard v8: to have taken part in the new "Train the Trainer" course organised by IFS and to carry out an in-house training of all approved IFS Auditors and Reviewers, before they perform audits and technical reviews based on the new version. The duration of this IFS In-house Training shall be one day which is mandatory for all IFS Auditors, Reviewers and Trainers and shall be performed in addition to the annual in-house training.
- When a new IFS Doctrine is published: to train all approved IFS Auditors and IFS Reviewers on all changes and new information from the IFS Doctrine before they perform any new audit or technical review (this training can be done face-to-face, online or by webinar).

## 3.4 Requirements for IFS Witness Auditors

A person qualifying as a witness auditor shall fulfil the following requirements:

**a)** To be an experienced IFS Food Auditor

**b)** To have already performed at least ten (10) full IFS Food Audits as a lead auditor

**c)** To have taken part in the IFS Witness Auditor E-learning course (provided by IFS)

**d)** To be appointed as a witness auditor in the IFS Database

**e)** To be approved for the language(s) in which the audit is performed.

It is the responsibility of the certification body to ensure that the witness auditor has the required skills, both on an interpersonal and professional level, to be able to witness other auditors in a constructive manner.

The witness auditor shall provide comprehensive witness audit reports, using the IFS template in case of IFS Witness Audit, which shall be made available to IFS on request.

**Additional option:**
An IFS In-house Trainer who is also an approved IFS Pure Reviewer can get approval as a witness auditor for monitoring witness audits, but not for sign-off audits. To get approved for performing monitoring witness audits, they shall fulfil the above-mentioned requirements c) to e).

## 3.5 Overview of requirements for initial approval and maintenance of approval and the tasks of each IFS related roles in a certification body

The following chart (chart 11) gives an overview about requirements for initial and maintenance of approval, as well as for the tasks of the specific IFS roles in a certification body.

## Chart 11: Overview of requirements for initial approval and maintenance of approval and the tasks of each IFS related roles in a certification body

| Function/ role in certification body | Profile/requirements for initial approval | Requirements for maintenance of approval | Tasks |
|---|---|---|---|
| **IFS Auditor (see chapter 3.1, Part 3)** | • Professional education<br>• Work experience<br>• Qualifications<br>• Audit experience (general and per scopes)<br>• Two (2) day initial in-house training by certification body<br>• E-learning provided by IFS ("IFS Training On Product/Process Approach")<br>• Passed IFS Examinations (written and oral)<br>• Sign-off audit | • Every year: two (2) day in-house training by certification body<br>• Every year: five (5) IFS Food audits<br>• Every two (2) years: one IFS Food Witness Audit (every second time, i.e. every four (4) years, it can be replaced by an on-site witness audit during another GFSI recognised food safety certification standard audit accredited against ISO/ IEC 17065:2012 norm)<br>• Every two (2) years: Calibration Training organised by IFS | • Perform IFS Audits<br>• Review IFS Audit Reports (if they did not performed the audit themselves) |
| **IFS Reviewer (see chapter 3.2, Part 3)** | IFS Food Auditor or IFS Pure Reviewer:<br>• Professional education<br>• Work experience<br>• Qualifications<br>• Audit experience (as observer or performed themselves)<br>• One-day task related in-house training by certification body<br>• Scoring course organised by IFS<br>• E-learning provided by IFS ("IFS Training On Product/Process Approach") | • Every year: two (2) day in-house training by certification body<br>• Every two (2) years: one IFS Food Audit as observer<br>• Every two (2) years: Calibration Training organised by IFS | Review IFS Food Audit Reports<br>(technical tasks)<br>To check, at a minimum:<br>• the overall consistency of the IFS Audit Reports<br>• if the findings are well described and matching the evaluation<br>• if the corrections and corrective actions as well as the deadlines for implementation proposed by the audited company have been validated by the auditor (or by a representative of the certification body) and are relevant |

| Function/ role in certification body | Profile/requirements for initial approval | Requirements for maintenance of approval | Tasks |
|---|---|---|---|
| **IFS In-house Trainer (see chapter 3.3, Part 3)** | • Professional education<br>• Work experience<br>• Qualifications<br>• Audit experience<br>• TTT course organised by IFS<br>• Fluency in English language<br>• E-learning provided by IFS ("IFS Training On Product/Process Approach") | • Every year: two (2) day in-house training (attend or conduct)<br>• Continuously: check and communicate the IFS updated information provided by IFS<br>• In case of publication of a new IFS Food Standard Version: TTT course organised by IFS<br>• In case of a new doctrine: train all approved IFS Auditors and IFS Reviewers on all changes and new information from the IFS Doctrine, before they perform any new audit or technical review | • Train auditors and reviewers<br>• Generate content of the training program for all IFS Food Auditors and Pure Reviewers of the certification body<br>• Initial in-house training for new candidates<br>• When a new IFS Doctrine is published, train all approved IFS Food Auditors and Pure Reviewers before they perform any new audit or technical review (this training can be done face-to-face, online or by webinar) |
| **IFS Witness Auditor (see chapter 3.4, Part 3)** | • Experienced IFS Auditor (at least 10 performed IFS Food Audits) or an IFS In-house Trainer who is also an IFS Pure Reviewer (for monitoring witness audits only)<br>• Witness auditor course provided by IFS | Linked to the maintenance of approval as IFS Food Auditor or IFS In-house Trainer/IFS Pure Reviewer | • Perform witness audits according to IFS Requirements on behalf of the certification body including on-site witness audit and reporting<br><br>**Note:** only IFS Food Auditors approved as witness auditors and covering the full scope of the witness audit shall perform sign-off audits |

# PART 4



# PART 4
# Reporting, the IFS Software and the IFS Database

## 1 Introduction

After performance of an IFS Food Audit, a detailed and well-structured audit report shall be completed. The language of the report shall be the working language of the company. In special cases defined by the certification bodies, where the native language of the retailers or purchasers is different to the working language of the company, an English version of the report could also be prepared. If the report is written in a different language to English, the company profile, the overall summary of compulsory information tables and the audit scope shall be translated in English.

**Note:** For any combined audit (IFS Food/IFS Broker or IFS Food/IFS Logistics), two (2) separate reports shall be written and two (2) separate certificates shall be issued and uploaded in the IFS Database.

The IFS Food Audit Report shall be prepared according to the following format:

- the audit overview (chapter 2.1, Part 4)
- the main content (chapter 2.2, Part 4).

## 2 Reporting

### 2.1 Minimum requirements for the IFS Audit Report: audit overview (ANNEX 9)

**Cover page**
The cover page of the IFS Audit Report shall include:

- name and/or logo and address of the certification body
- IFS Food Logo
- name of the audited site and sanitary legal authorisation number, if applicable
- GS1 GLN(s) (Global Location Numbers) related to the site(s) that has/have been covered during the audit. This number is mandatory for sites located within the European Economic Area (EEA) as well as the United Kingdom and countries having signed bilateral agreements with the European Union and considered as integrated into the EEA, like Switzerland.
- date(s) of the audit
- announced or unannounced audit status
- certification body's accreditation details.

**Audit overview**
The audit overview of the IFS Report shall include the following mandatory information:

- **Audit details**
  - name of the lead auditor, reviewer (person in charge of the technical report review), co-auditor, trainee and witness auditor, if applicable
  - audit date(s) (in case of a follow-up audit, the date of the follow-up audit shall additionally be specified)
  - duration of the audit (start and end time for each audit day)
  - previous audit dates (start and end time for each audit day)
  - name of the certification body and the auditor who performed the previous audit
  - name and address of the audited site
  - name and address of the company (or head office / central management)
  - COID (IFS identification code number) as defined in the IFS Database
  - details of the contact person in case of emergency (e.g. recall): name, e-mail and phone number, at a minimum
  - version of the standard.
- **Audit scope**
  - detailed description of processes and products
  - codes/numbers of product scopes and technology scopes.
- **Additional information**
  - description of exclusions, if applicable
  - description of partly outsourced processes (explanations, number of subcontractors, description including name, address and certification status, COID(s)), if applicable
  - description of decentralised structure(s), if applicable, and off-site warehouse(s) (name the location):
    - if certified for IFS Logistics, provide the COID.
  - description of multi-location production sites, if applicable, see chapter 2.2.2, Part 1.
- **Final audit result**
  - final audit result with level and percentage (in case of a follow-up audit, specify that a follow-up audit has taken place and that the Major non-conformity has been solved or not)
  - timeframe in which the recertification audit shall be performed or if it will be unannounced.
- **Observations regarding non-conformities (D evaluation of KO requirement(s) and Majors)**
  In case of a follow-up audit, additional explanations shall be provided on requirement for which the Major non-conformity has been solved.
- **Comments concerning follow-up of corrections and corrective actions**
  Description of corrections and corrective actions from the previous audit (both that have been sustainably and efficiently implemented or not).
- **Company profile**
  The company profile requires compulsory information on the company's structure and activities and is divided into two (2) standardised sections: company data and audit data. This allows readers to have a clear understanding of the company's structure, organisation, production, processes, etc. In addition to the required compulsory information, further information can be added by the auditor for each section.
  The company profile, which includes compulsory information, shall be translated into English.

## 2.2 Minimum requirements for the IFS Audit Report: main content (ANNEX 10)

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

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

## 2.3 The action plan (ANNEX 7)

For each audit requirement, the IFS Auditor shall describe and explain all identified deviations and non-conformities (D evaluation of KO requirement(s), Majors) in the action plan, which has a specified format. For additional information, see also chapter 4, Part 1.

## 2.4 Minimum requirements for the IFS Certificate (ANNEX 11)

After successful completion of the IFS Food Audit Process, the certification body shall issue a certificate. For the purpose of international recognition and overall consistency, IFS Food Certificates issued by the certification body shall include, at a minimum:

- name and/or logo and address of the certification body
- name and/or logo of the accreditation body (used in conformity with accreditation body's rules) and registration number
- name and address of the audited site
- COID (IFS Identification Number) as defined in the IFS Database
- sanitary legal authorisation number, if applicable
- GS1 GLN(s) related to the site(s) that has/ve been covered during the audit (including off-site warehouse(s), if applicable)
- in case of multi-location production sites: name and address of the site's head office / central management, if applicable
- description of the audit scope, which shall always be translated in English
- description of processes/products
- name and number of product and technology scope(s)

- in case of partly outsourced processes, addition of the following sentence: "Besides own production, the company has partly outsourced processes"
- description of product exclusions, if applicable
- in case of additional broker activities: Certification status by writing the sentence: "The company has own broker activities which are/are not IFS Broker/other GFSI recognised standard certified". (for further information, see chapter 2.2.1, Part 1 and Annex 1)
- level achieved
- audit score in percentage
- last unannounced audit date (last day of the audit). If an unannounced IFS Food Àudit has not yet been conducted for the respective COID, the certificate shall indicate the following: "Last audit conducted unannounced: N/A".
- star status indication in case the audit was conducted unannounced (star symbol to be added close to the IFS Food Logo)
- audit date(s) and time
- follow-up audit date, if relevant
- next audit time period (recertification audit), specify if unannounced
- certificate issue date
- expiry date of the certificate (certificate validity shall remain the same each year, as described in Part 1)
- name and signature of the responsible person at the certification body
- place and date of signature
- current IFS Food Logo
- QR-code with a verification link to the IFS website.

**Note:** The IFS Software includes a certificate format with the minimum required content, but each ISO/IEC 17065:2012 norm-accredited certification body for IFS may use its own layout, providing that it includes this mandatory information.

### 2.4.1 QR-code on the IFS Certificate

**QR-code on the certificate via IFS Software**
The QR-code is implemented automatically when creating the certificate via IFS Software. The QR-code embodies a public link to a IFS website which verifies the authenticity of the certificate.

**QR-code for creating a certificate without the use of the IFS Software**
For certification bodies that do not use the IFS Software to generate certificates, there is an area in the IFS Database where a QR-code for the respective COID can be downloaded.

**Position on the IFS Food Certificate**
The QR-code shall either be in the top right corner or on the bottom of the IFS Food Certificate and shall be of a suitable size to be scanned.

# 3 The IFS Software

In order to increase the standardisation of reporting information after the IFS Audit, an IFS Software has been developed and shall be used to generate the IFS Report.

Additional information about its use is provided separately in a manual.

# 4 The IFS Database (www.ifs-certification.com)

Every IFS Audit shall be uploaded in the IFS Database by the certification body (uploading of the report, action plan and certificate).

There are six (6) IFS Database user groups who can have access to the IFS Database:

- Certified companies/suppliers
- Certification bodies
- Auditors
- Retailers
- Verified authorities
- Consultants (special access).

In general, only the certified companies and the respective certification body who performed the audit have access to the full report.

All other user groups can only see the certification status of certified companies and use the following functions :

- Search for certified companies
- Manage their certified companies using a "favourites" option via "Supplier management"
- See the upcoming audit date of a company
- Receive important notifications and relevant lists that can be set individually.

The full report is only available if the certified company gives the permission to the respective user.

**Security of the IFS Database**
The security system used for the IFS Database is based on an internationally recognised and commonly used security system.

**Data protection**
Data protection is an important issue for IFS Management GmbH. IFS fulfils all data protection regulations that are applicable to the company. The data policy of IFS Management GmbH is available on the IFS website www.ifs-certification.com.

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

**Tool "Supplier management"**

The tool "Supplier management" enables retailers, authorities and certified companies to select their favourites from all certified companies that are listed in the IFS Database and to store them in a separate list.

For each certified site listed as a favourite under "Supplier management", the user can pre-set e-mail notifications.

IFS Food

# ANNEXES

# ANNEX 1: Scope of application of the different IFS Standards and IFS Programs


**IFS Food**

Standard for auditing food product processors/manufacturers.

IFS Food shall be used when a product is processed or where there is a risk of product contamination coming from primary packing.


**IFS Broker**

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

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


**IFS HPC**

Standard for auditing companies that manufacture 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 risk for product contamination during the primary packing.


**IFS Logistics**

Standard for auditing companies whose activities are logistics services for food and non-food products, such as transport, storage, loading/unloading, etc. It applies to all types of transport: delivery by road, rail, ship, plane, etc. and to all types of products: frozen, refrigerated, ambient stable, etc.

The product IFS Standards under the specific subchapter about transport and/or storage already cover a production company's own logistics activities. Therefore, it is not necessary to perform a combined audit for IFS Food, IFS HPC or IFS PACsecure in combination with IFS Logistics.


**IFS PACsecure**

Standard for auditing food and non-food packaging material manufacturers concerning the production, processing and/or conversion of packaging components and/or packaging materials.



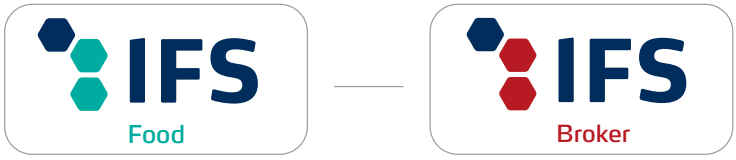
**IFS Wholesale/Cash & Carry**

Standard for auditing companies who have wholesaling activities of food, household and personal care products and/or packaging materials. Furthermore certain treatment and/or processing activities are covered by this Standard. This Standard also covers packing companies for fruit, vegetables and/or eggs.


**IFS Global Markets**

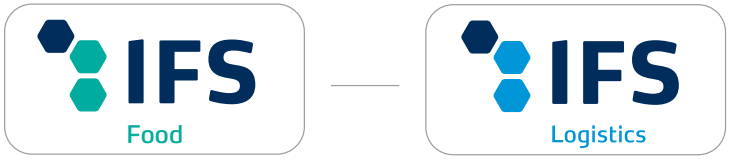
The IFS Global Markets Programs are standardised product safety and quality development and assessment programs for the relevant application scopes as IFS Food, IFS Logistics, IFS HPC and IFS PACsecure. It is meant to support "small and/or less developed businesses" in the gradual development of their product safety and quality management processes within a defined period of time. Through the stepwise approach of the IFS Global Markets, the implementation of relevant IFS Standards will be facilitated.

## Scope determination between IFS Food and other IFS Standards




**IFS Food and IFS Broker:**

If a food processing company additionally carries out trading activities and would like to certify these activities, then a combined audit of IFS Food/IFS Broker shall be performed. In the case of a combined audit, the company shall obtain two (2) reports and two (2) certificates.




**IFS Food and IFS Logistics:**

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

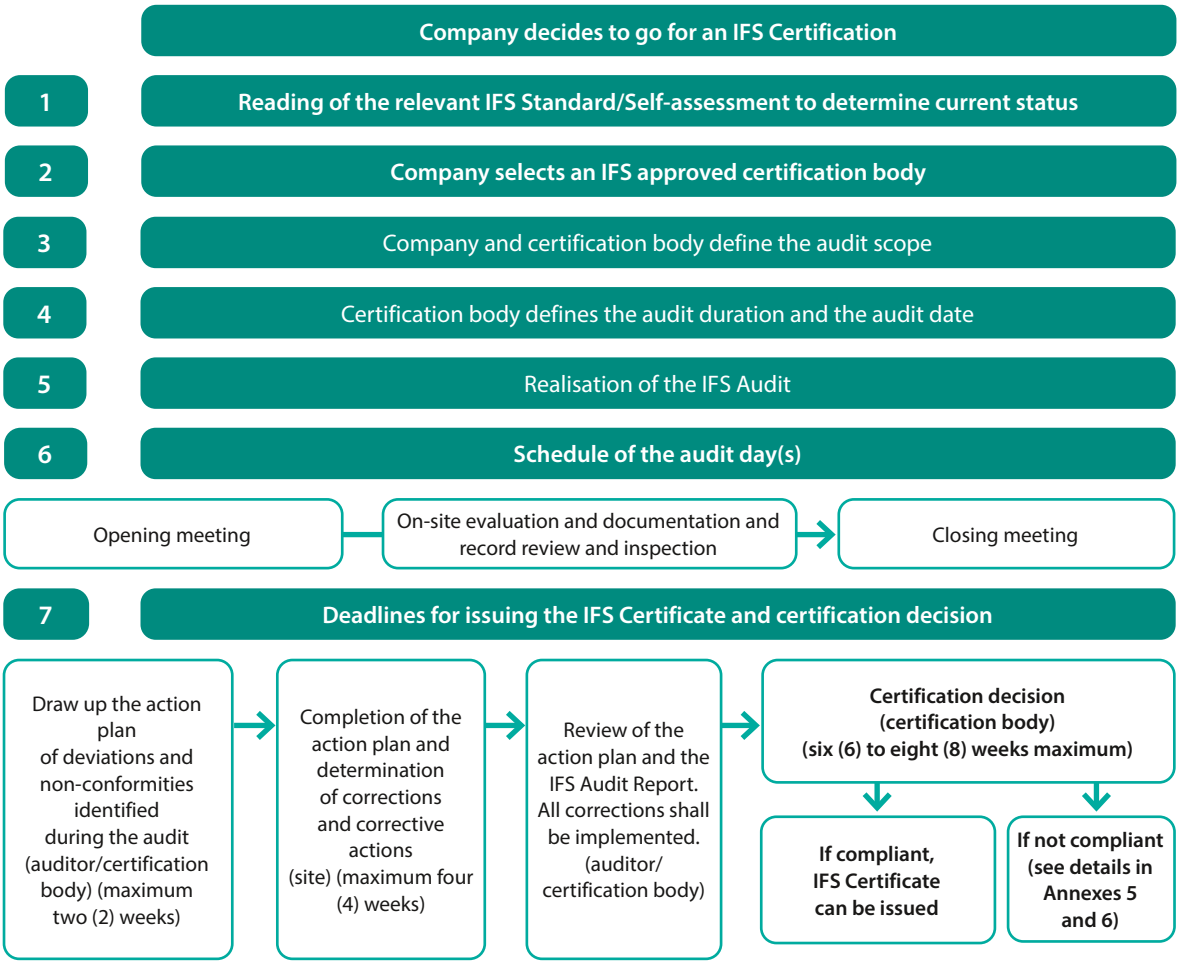
- IFS Logistics only concerns logistics activities where companies have a physical contact with already primary packed products (transport, packaging of pre-packed food products, storage and/or distribution, transport and storage of pallets, bags in box). It also applies for specific unpacked goods, such as meat carcasses or bulk/tanker transport (glucose syrup, milk, grain, etc.).

- For any kind of logistics processing services, meaning that the characteristics of the product is modified (or primary packing is carried out), IFS Logistics is not applicable, except for specific logistics processing services.
- When the food processing company conducts own logistics and/or transport activities (storage and distribution), it is included in the IFS Food under the specific sub-chapters about transport or storage.

**Notes:**

- If the logistics activities owned by the food processing company are situated at the same location as the company and if the company or the customer wishes to have this operation certified under IFS Logistics, then an IFS Logistics audit can be performed. In this case, the following requirements shall be fulfilled:
  - the logistics activities are only carried out for pre-packed products,
  - in case of two (2) certificates (IFS Food and IFS Logistics), the respective scope of each audit and certificate shall be clearly defined,
  - the requirements of IFS Food concerning transport and storage shall be evaluated during the IFS Food Audit in any case,
  - an IFS Food Audit of the food processing company shall be performed; IFS Logistics is an additional audit (but can be combined).
- If the logistics activities owned by the food processing company are situated off-site, then the company has the following three possibilities:
  - include it under the scope of IFS Food and clearly stating its decentralised structure in the company profile of the IFS Food Audit Report,
  - not to audit it but to state clearly in the company profile that this site is not IFS Logistics certified;
  - conduct an IFS Logistics Audit.

# ANNEX 2: Certification process



# ANNEX 3: Product and technology scopes

In IFS Food, all activities of the company are an association of product scope(s) and technology scope(s).

## Product scopes

| IFS Food 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 |

## Technology scopes

| IFS Tech Scope | IFS Processing Step – including processing/ treatment/manipulation/storing | | Technology oriented classification which takes also into consideration product risks |
|---|---|---|---|
| **A** | **P1** | Sterilisation (e.g. cans) | **Sterilisation (in final packaging) with the purpose to destroy pathogens**<br>Sterilised (e.g. autoclaved) products in final packaging. |
| **B** | **P2** | Thermal pasteurisation, UHT/aseptic filling, hot filling<br>Other pasteurisation techniques e.g. high pressure pasteurisation, microwave | **Any heat treatment (or high pressure) with the purpose to reduce food safety hazards based on company's HACCP plan.** |
| **C** | **P3** | Irradiation of food | **Processed products: treatment with purpose to modify product and/or extend the shelf life and/or reduce food safety hazards by preservation techniques and other processing techniques**<br>Exception: Irradiation is attributed to this category although aimed at the destruction of microorganisms. |
| | **P4** | Preserving: salting, marinating, sugaring, acidifying/pickling, curing, smoking, fermenting, etc. | |
| | **P5** | Evaporation/dehydration, vacuum filtration, freeze drying, microfiltration (less than 10 µ mesh size) | |
| **D** | **P6** | Freezing (at least –18 °C/0 °F) including storage quick freezing, cooling, chilling processes and respective cool storing | **Systems, treatments to <u>maintain</u> product integrity and/or safety**<br>Treatment with purpose to maintain the quality and/or integrity of the products including treatments to remove contamination and/or prevent contamination. |
| | **P7** | Antimicrobial dipping/spraying, fumigation | |
| **E** | **P8** | Packing MAP, packing under vacuum | **Systems, treatments to <u>prevent</u> product contamination**<br>P9 is applicable in any case when there are at least 2 procedures/methods implemented in a company to guarantee product safety/product hygiene<br>e.g.:<br>• disinfection of equipment + chilled room temperature (e.g. dissection of meat)<br>• disinfection + special hygiene equipment for employees (e.g. hygiene sluice)<br>• room with over-pressure + special hygiene equipment for employees (e.g. hygiene sluice),<br>• air filtration + room with over-pressure. |
| | **P9** | Processes to prevent product contamination especially microbiological contamination, by means of high hygiene control and specific infrastructure during handling, treatment and/or processing<br>e.g. clean room technology, „white room", controlled working room temperature for food safety purpose, disinfection after cleaning, positive air pressure systems (e.g. filtration below 10 µ) | |
| | **P10** | Specific separation techniques: e.g. filtration like reverse osmoses, use of active charcoal | |

| IFS Tech Scope | IFS Processing Step – including processing/ treatment/manipulation/storing | | Technology oriented classification which takes also into consideration product risks |
|---|---|---|---|
| **F** | **P11** | Cooking, baking, bottling, brewing, fermentation (e.g. wine), drying, frying, roasting, extrusion, churning | **Any other manipulation, treatment, processing not being listed in A, B, C, D, E.** |
| | **P12** | Coating, breading, battering, cutting, slicing, dicing, dismembering, mixing/ blending, stuffing, slaughtering, sorting, manipulation, packaging, storing under controlled conditions (atmosphere) except temperature, labelling | |
| | **P13** | Distillation, purification, steaming, damping, hydrogenating, milling | |

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

# ANNEX 4: Exclusion tree

**By definition, all food processes that are managed under the responsibility of the legal entity, on the same location, shall be included in the scope of an IFS Food Audit (e. g. slaughtering, deboning, meat cutting, meat processing, etc.).**

**All process steps (P) shall be audited as the exclusion is related to the final processed product. The key concept is the product risk analysis that will confirm if the exclusion is exceptionally possible and doesn't have any impact on food safety and quality.**

Only in those exceptional situations where the IFS Food Audited Company would like to exclude product(s) from the IFS Food Audit Scope, shall the following questionnaire be filled in by the certification body.

Exclusions, when defined and validated by the certification body (after submission of this questionnaire), shall always be explained in the company profile of the audit report and shall be clearly specified in the audit scope of the audit report and certificate.

If product exclusions are defined (under exceptional circumstances and application of this questionnaire), they shall always have to be re-defined and reviewed each year by the certification body to ensure that the product exclusion is still valid and that the audit scope is still up-to-date.

Moreover, in case the company processes new products/private labels during the IFS Certification Cycle, the company shall contact its certification body to ensure that defined exclusions are still valid and that no further actions are necessary.

The auditor shall always check on-site if the defined exclusions are relevant and in line with the questionnaire, by assessing the risks that may arise from excluded products (e.g. contaminants, allergens).

In any case (if some exclusions are defined or not), the number of employees to be taken into consideration to calculate audit duration shall always be the total number of employees (and not only the number of employees involved in the activity which is not excluded).

Any exclusion which would not have been justified and noticed by the auditor during the audit, shall be audited either directly during the audit (with a necessary review of audit scope and maybe audit duration) or later through an extension audit.

**Note 1:** The only exception to this rule is seasonal process(es), which can be excluded, as long as the scope of the certification is unambiguous and only takes into account the process assessed in functioning.

**Note 2:** By definition, all by-products from the processing (feed grade/tech. grade) which are not specified in the Annex 3 are excluded from the scope of the IFS Food Audit. Those products shall not be specified on the IFS Certificate as exclusions and shall only be described in the company profile of the audit report.

## IFS Food Questionnaire for certification bodies, to define, under exceptional circumstances, product exclusions in audit scope

If, under exceptional circumstances, the company decides to exclude specific product ranges from the scope of the IFS Food Audit, the following questionnaire has to be filled in by the certification body to check if any exclusions are allowed. The filled in questionnaire shall then be part of the audit plan.

Company name: _____ COID: _____

Planned audit scope: _____ Planned audit date: _____

Date of questionnaire validation: _____

**Product/group of product excluded:** _____

Name of the certification body employee who filled in the questionnaire: _____

Name of the company employee who requested the exclusion: _____

**1) Is the product to be excluded a private label (retail/wholesale branded) product?**

☐ No ☐ Yes → **Exclusion is NOT possible**

**2) Is the product seasonal/sporadic?**

☐ No ☐ Yes

Are the product and/or technology scopes and HACCP plan (incl. allergens, contaminants, etc.) identical for seasonal/sporadic products and regular products?

☐ No ☐ Yes → Product can be included with a documentary on-site evaluation or can be excluded

**3) Is the product clearly differentiable from the product(s) which is/are included in the audit scope?**

☐ Yes ☐ No → **Exclusion is NOT possible**

**4) Is/are the initial step(s) of production of the product to be excluded common with the one of the included product(s)?**

☐ Yes ☐ No → Exclusion is possible (e.g. where area/processing line is fully independent since the beginning, without any contamination risk)

**5) Does the product to be excluded go to a different area than the one related to the product included in the audit scope?**

☐ Yes ☐ No → **Exclusion is NOT possible**

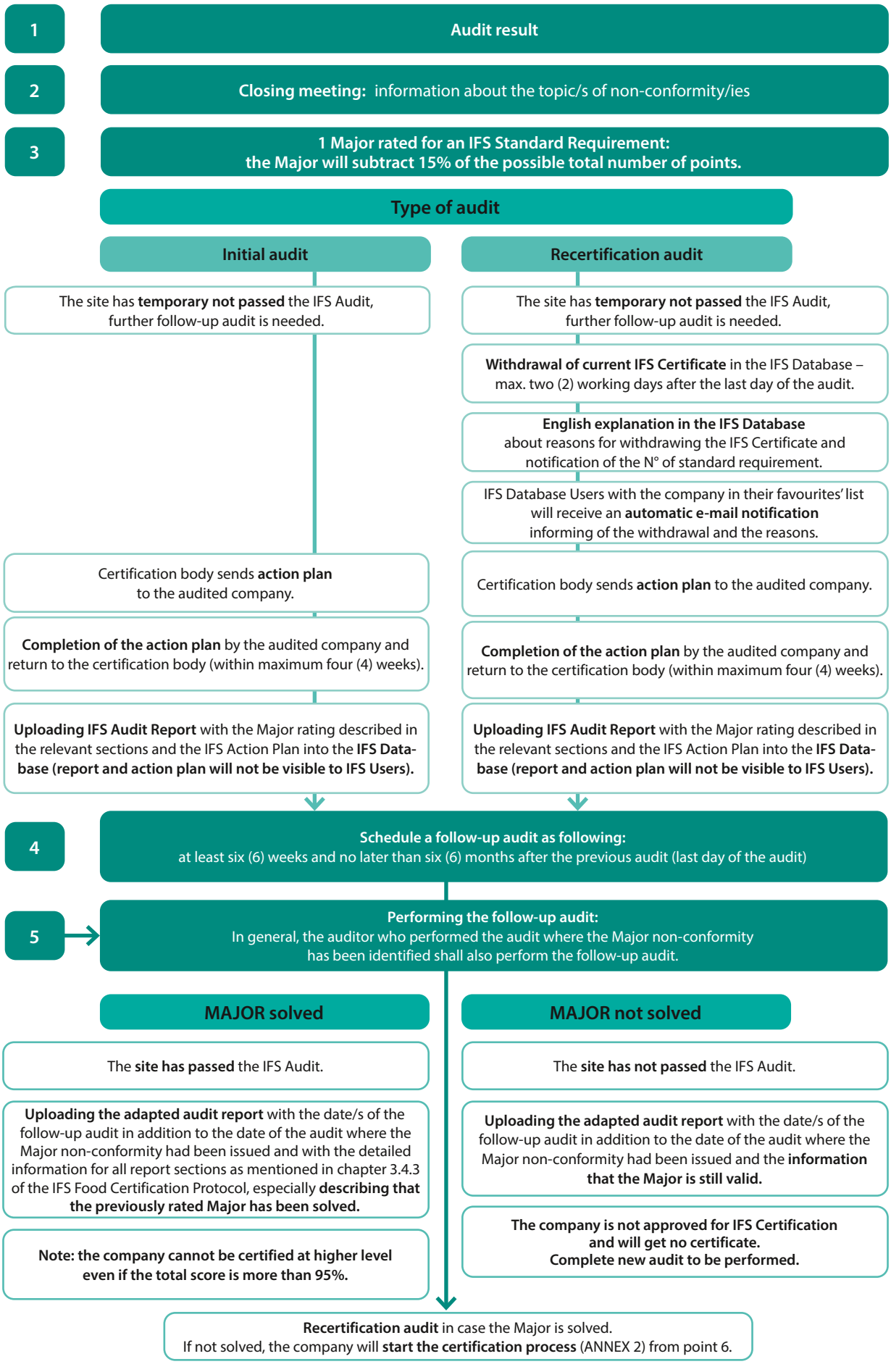
**6) Is the contamination risk controlled between included and excluded products?**
(The manufacturer shall demonstrate the control of contamination risk between excluded and included products (allergens, chemical, physical, microbiological hazards, also at the level of storage and warehouse). Process flow chart related to the product to be excluded shall be sent to the certification body.)

☐ No ☐ Yes → Exclusion is possible

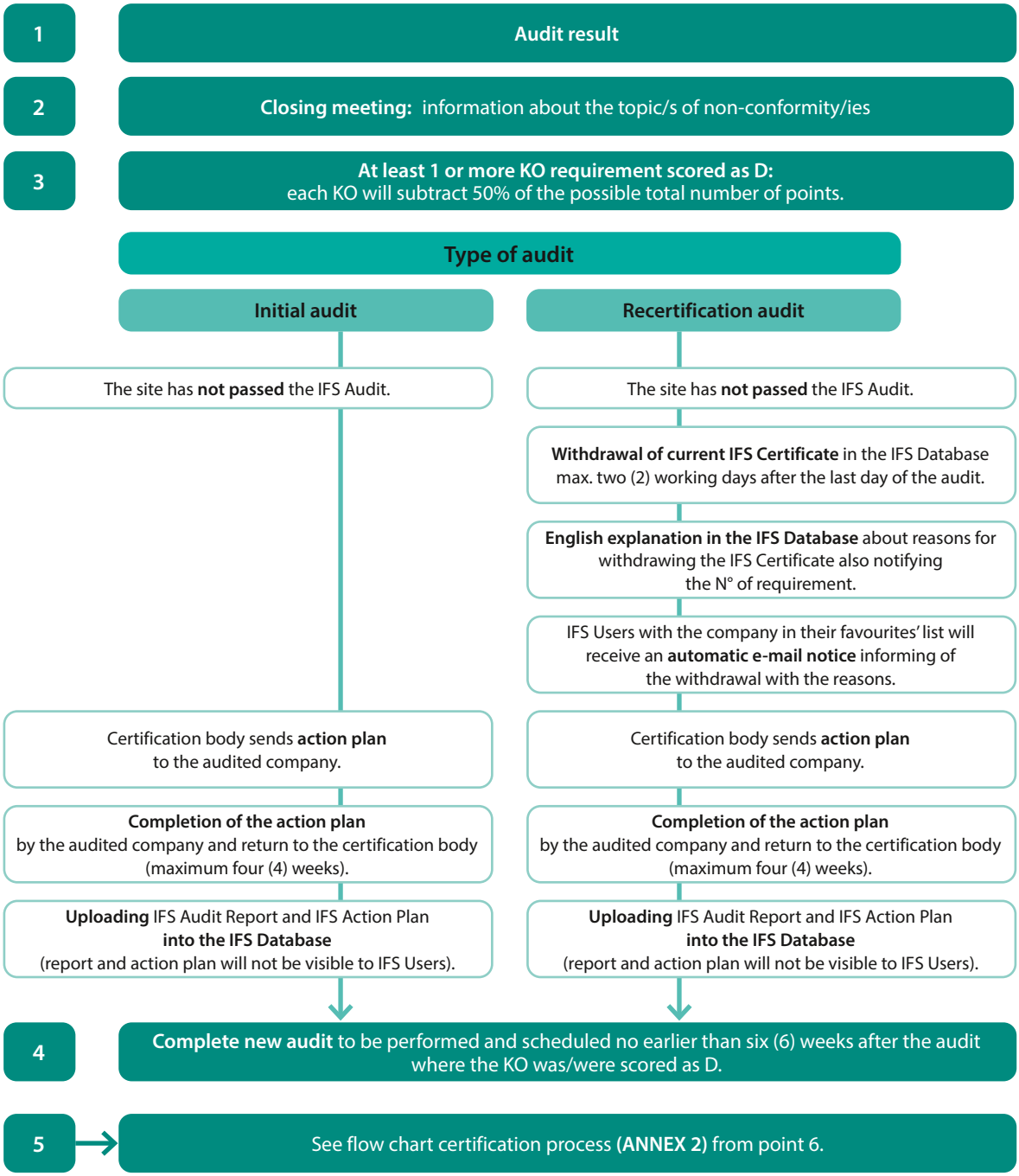
**Exclusion is NOT possible**

**Note:** the auditor shall always check on-site if defined exclusions are relevant and in line with the questionnaire, by assessing the risks which may arise from excluded products (e.g. contaminants, allergens).

# ANNEX 5: Flow chart for management of one Major-non-conformity and total score ≥ 75%



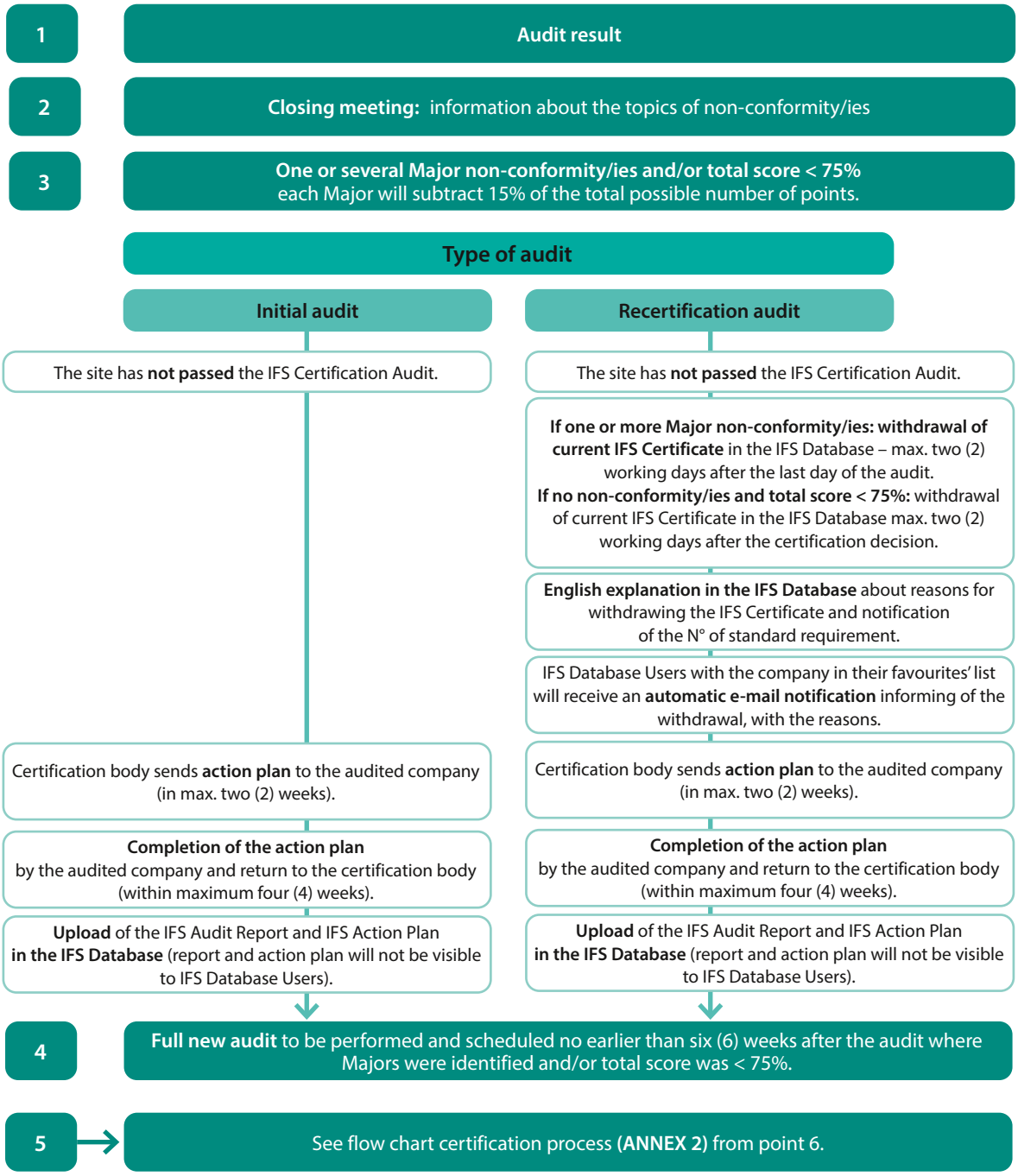
# ANNEX 6: Flow chart for management of KO requirement scored with "D"



# ANNEX 7: Action plan

| N° of the requirement | IFS Requirement | Evaluation | Explanation (by the auditor) | Correction (by the company) | Responsibility (by the company) | Date (by the company) | Status of implementation (by the company) | Corrective action (by the company) | Responsibility (by the company) | Date (by the company) | Release (by the auditor) | Validation date (by the auditor) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **1.1.2** | **All relevant information related to food safety …** | C | | | | | | | | | | |
| **1.2.4** | **The senior management shall ensure that all processes …** | B | | | | | | | | | | |
| **1.2.1** | **KO N°1: The senior management shall ensure that employees …** | KO/B | | | | | | | | | | |
| **1.2.2** | **The senior management shall provide sufficient …** | D | | | | | | | | | | |
| **1.2.3** | **The depart-ment responsible for quality …** | Major | | | | | | | | | | |
| **2.3.9.1** | **KO N°2: Specific monitoring procedures in terms of method …** | KO/D | | | | | | | | | | |

# ANNEX 8: Flow chart for management of one or several Major non-conformity/ies and/or total score < 75%



# ANNEX 9: IFS Audit Report: audit overview

## Cover page

Logo of the certification body

**IFS Food Version 8**
**April, 2023**

**Final IFS Audit Report**
**Announced/Unannounced**

**Audited company:** "Fruits and Vegetables GmbH"
[GS1 GLN(s) and where applicable, sanitary legal authorisation number]

**Date of audit:** 02.11./03.11.2023

**Name and address of certification body**

**Accreditation number of the certification body**

## Audit Overview
## IFS Food Version 8, APRIL 2023

### Audit details

| | | |
|---|---|---|
| ***Lead auditor:*** Max Mustermann<br>date/time:<br>***Co-auditor:***<br>date/time:<br>***Trainee:***<br>***Witness auditor:***<br>***Reviewer:***<br>***Interpreter:***<br>***Technical expert:*** | ***Date/time of current audit:***<br>02.11.2023 (09:00–18:00)<br>03.11.2023 (08:30–17:30) | ***Date/time of previous audit:***<br>09.11.2022 (09:00–18:00)<br>10.11.2022 (08:30–17:30)<br><br>***Certification body and auditor of previous audit:***<br>TEST GmbH/Frank Test |

| | | | |
|---|---|---|---|
| ***Name and address of the company (or head office):***<br>Fruits and Vegetables AG<br>Example street<br>12345 Witzenhausen<br>Germany | | ***Name and address of the audited site:***<br>Fruits and Vegetables GmbH<br>Musterstraße<br>12346 Berlin<br>Germany | |
| | | COID: | |
| | | Contact person in case of emergency (e.g. recall):<br>[Name, e-mail and phone number, at a minimum]: | |
| Phone: 0 12 34 56 | Fax: 01 23 45 67 89 | Phone: 0 12 34 57 | Fax: 01 23 45 67 88 |
| Website:<br>www.fruitsandvegetables.com | E-mail:<br>info@fruitsandvegetables.com | Website:<br>www.fruitsandvegetables.com | E-mail:<br>info@fruitsandvegetables.de |

### Scope of the audit

**Production of frozen strawberries in PET bags and raspberry puree in UHT pouches.**
(Mandatory translation of the audit scope into English)

**Product scope(s): 5**
**Technology scope(s): B, D, F**

### Additional information

**Exclusions:** [yes/no] and [description]
**Partly outsourced processes:** [yes/no] and [description]
**Decentralised structure(s):** [yes/no] and [description]
**Multi-location production sites:** [yes/no] and [description]

### Final result of the audit

| | |
|---|---|
| As a result of the audit performed on 02.11. and 03.11.2023, "xyz" found that the processing activities of **Fruits and Vegetables GmbH** for the above-mentioned scope of audit comply with the requirements set out in the IFS Food Standard, Version 8, at **Foundation level**, with a score of XX %. | Recertification audit between XX. XX and XX. XX in case of announced audit and between XX.XX and XX.XX in case of unannounced audit. |

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

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

| Company profile |
| --- |
| **Company data** |
| Year of construction of the audited site(s): |
| If the site was fully reconstructed, enter the year: |
| Area of the production site: |
| Number and description of buildings, floors and production lines<br>(including decentralised structure(s), if applicable): |
| Maximum number of employees at peak season within a calendar year and explanation: |
| Detailed description of product groups and products per scope produced in the company:<br>Full view of the company's on-site processes: from raw materials receipt to finished products: |
| Does the audited site have seasonal production?<br>If "yes", provide description: |
| If there are seasonal breaks in the production process for more than one week, specify the timeframe and provide explanation: |
| Does the audited site have fully outsourced products in addition to the main processes/products? If "yes": specify these products, if the site is certified for IFS Broker and/or describe the certification status and COID if applicable or describe the certification status of the subcontractors and COID, if applicable: |
| Does the audited site have traded products in addition to main processes/products?<br>If "yes": specify these products, if the site is certified for IFS Broker and/or describe the certification status and COID if applicable or describe the certification status of the subcontractors and COID, if applicable: |
| Description about key investments made by the company related to the production and product safety and quality in the last 12 months (construction changes, machinery, etc.): |
| Does the company fulfil the requirements about the use of the IFS Food Logo, as defined in the IFS Food Certification Protocol (Part 1)?<br>If "no", provide explanation: |
| Working language of the site and language in which the food safety and quality management system is written: |
| If the site is certified for other standards, specify the name(s) of the standard(s): |
| ***Additional information:*** |
| **Audit data** |
| Language in which the IFS Food Audit was conducted: |
| Audit duration (only for IFS Food Audit): |
| In case of reduction/extension of audit duration, justify: |
| Which products were produced and which processes have been running during the on-site evaluation? |
| ***Additional information:*** |

# ANNEX 10: IFS Audit Report: main content

**IFS FOOD**
**Version 8, APRIL 2023**

**IFS Audit Report**

## Summary table of all chapters and result (in percentage) per chapter

| | Chapter 1 | Chapter 2 | Chapter 3 | Chapter 4 | Chapter 5 |
|---|---|---|---|---|---|
| | Governance & commitment | Food safety and quality management system | Resource management | Operational processes | Measurements, analyses, improvements |
| KO non-conformities | 0 | 0 | 0 | 0 | 0 |
| Major non-conformities | 0 | 0 | 0 | 0 | 0 |
| A | 0 | 0 | 0 | 0 | 0 |
| B | 0 | 0 | 0 | 0 | 0 |
| C | 0 | 0 | 0 | 0 | 0 |
| D | 0 | 0 | 0 | 0 | 0 |
| N/A | 0 | 0 | 0 | 0 | 0 |
| Result per chapter (%) | | | | | |

## Overall summary: Table of compulsory fields for specific defined IFS Food Audit Requirements and Key Elements

| Part of the IFS Audit Report | N° of IFS Food V8 Require-ment | Compulsory information to be added |
|---|---|---|
| **Policy** | 1.1.1 | Summary* |
| **Corporate structure** | 1.2.1<br>KO 1 | Summary* |
| | 1.2.3 | Summary* |
| | 1.2.5 | Summary* |
| | 1.2.6 | • Name of the competent authorities: [name]<br>• Last visit of the competent authorities (even if it occurred more than 12 months ago): [date]<br>• Have there been any mandatory actions connected to food safety, food fraud and/or legality of the product(s) ? [yes/no] |
| **Management review** | 1.3.1 | Summary* |
| **Document management** | 2.1.1.3 | Summary* |
| **Records and documented information** | 2.1.2.2 | Summary* |
| **HACCP plan** | 2.2.1.1 | Summary* |
| | 2.2.1.2 | Summary* |
| **HACCP system** | 2.3.8.1 | There are [number] CCPs in the company.<br>The following different CCPs<br>[listing of all CCPs] are implemented. |
| | 2.3.9.1<br>KO 2 | • CCP [number]:<br>  ◦ process step: [information]<br>  ◦ control method: [information]<br>  ◦ critical limit(s): [information]<br>  ◦ control frequency: [information]<br>In case of N/A evaluation, provide explanations. |
| | 2.3.11.2 | Summary* |
| **Personal hygiene** | 3.2.1 | Summary* |
| | 3.2.2<br>KO 3 | Summary* |
| | 3.2.8 | Summary* |

| Part of the IFS Audit Report | N° of IFS Food V8 Require-ment | Compulsory information to be added |
|---|---|---|
| **Training and instruction** | 3.3.1 | Summary* |
| | 3.3.2 | Summary* |
| **Staff facilities** | 3.4.1 | Summary* |
| | 3.4.5 | Summary* |
| **Customer focus and contract agreement** | 4.1.3<br>KO 4 | Which of the following 6 types does the customer agreements relate to [tickbox]:<br>• recipe<br>• process<br>• technological requirements<br>• testing and monitoring plans<br>• packaging<br>• labelling<br>**Note:** In case no customer agreements have been defined, N/A evaluation is possible. |
| **Specifications/ finished products** | 4.2.1.1 | • The following finished product specifications (minimum 2) have been reviewed during the evaluation: [product/last date of update]<br>• The finished product specification(s) for retail brands which have been reviewed during the evaluation have been agreed with the customers: [yes/no] |
| **Specifications/ raw materials** | 4.2.1.3<br>KO 5 | • The following raw material specifications (minimum 5, based on the identified risks, more might be necessary) have been reviewed during the evaluation: [add material and last date of update]<br>• Summary* |
| **Special claims/ statements** | 4.2.1.5 | • There are specific requirements from clients for claims: [yes/no] / [list]<br>• There are specific requirements from clients that certain treatment or manufacturing methods are excluded (e.g. GMO, irradiation): [yes/no] / [list]<br>• The company works with products that consist of, contain, or are produced from GMOs: [yes/no] / [list] |
| **Product development** | 4.3.2 | Summary* |
| | 4.3.3 | Summary* |
| **Purchasing** | 4.4.1 | Summary* |
| | 4.4.3 | Summary* |
| | 4.4.4 | Summary* |
| **Product packaging** | 4.5.1 | • List the kind of food contact packaging materials used for finished products. [list] |

| Part of the IFS Audit Report | N° of IFS Food V8 Requirement | Compulsory information to be added |
|---|---|---|
| **Factory location** | 4.6.1 | Summary* |
| **Plant layout and process flow** | 4.8.2 | • Only to be filled in for animal slaughtering sites: [Add further detail if there is an inspection plan in place at lairage and/or evisceration to ensure animals are fit for human consumption or not.]<br>• If yes: description of the plan. |
| **Constructional requirements** | 4.9.1.1 | • General summary of the conditions of the infrastructure: general condition, control measures, monitoring, what is the risk for product contamination, etc. [Description] |
| **Water supply** | 4.9.9.1 | • Origin of the potable water/used water:<br>• Own source: [yes/no]<br>• Local water supplier: [yes/no]<br>• Internal laboratory: [yes/no]<br>• External laboratory: [yes/no]<br>• Frequency of water analyses: [information]<br>• Performed analyses:<br>• Microbiological (parameters): [list]<br>• Chemical (parameters): [list] |
| **Compressed air and gases** | 4.9.10.1 | Summary* |
| **Cleaning and disinfection** | 4.10.1 | Summary* |
| | 4.10.4 | Summary* |
| | 4.10.5 | Summary* |
| **Waste management** | 4.11.1 | Summary* |
| **Foreign material risk mitigation** | 4.12.1 KO 6 | • To control and mitigate the risk of foreign material contamination, the company uses the following equipment and methods: [list of equipment and location]<br>• For foreign material detectors which are not defined as CCP, the following test pieces and sizes are used:<br>  ◦ Iron: [size or range of sizes]<br>  ◦ Non-iron: [size or range of sizes]<br>  ◦ Stainless steel: [size or range of sizes]<br>  ◦ Others: [material/size or range of sizes]<br>• If no foreign material detection equipment is available, the following measures to mitigate the risk of foreign material contamination have been implemented: [list] |

| Part of the IFS Audit Report | N° of IFS Food V8 Requirement | Compulsory information to be added |
|---|---|---|
| **Pest monitoring and pest control** | 4.13.2 | • External service provider: [yes/no]<br>• Pest monitoring activities are carried out internally by own employees: [yes/no]<br>• Frequency: [daily, weekly, monthly]<br>• Inspections include: [target organisms]<br>• Last inspection: [date]<br>• The inspection reports show no particular pest activities inside facilities since the last IFS Audit.<br>[or]<br>• The inspection reports show pest activities inside facilities since the last IFS Audit with the following actions: [kind of action(s)] |
| **Receipt and storage of goods** | 4.14.1 | Summary* |
| | 4.14.2 | Summary* |
| | 4.14.5 | Summary* |
| **Transport** | 4.15.1 | Summary* |
| **Maintenance and repair** | 4.16.1 | Summary* |
| **Equipment** | 4.17.1 | Summary* |
| **Traceability** | 4.18.1<br>KO 7 | • During the evaluation, the following traceability test was conducted as initiated by the auditor.<br>• Origin of the product sample:<br>  ◦ Retail outlet: [yes/no]<br>  ◦ Selected on-site by auditor: [yes/no]<br>• Finished product: [article N°/product/batch N°/best before date/ production date]<br>• Based on the traceability sample that was used to verify upstream and downstream traceability (from delivered products to raw materials, and vice versa) the given time could be proven; including packaging and mass balance: [time]<br>• The following ingredients and packaging material specifications have been checked within the framework of the traceability test:<br>  ◦ [material/date or version of specification]<br>• The result of the traceability test during the evaluation has been found to be compliant. |
| | 4.18.2 | Summary* |
| **Allergen risk mitigation** | 4.19.2 | • Allergens present at the site: [list]<br>• Mitigation measures in place: [list] |

| Part of the IFS Audit Report | N° of IFS Food V8 Requirement | Compulsory information to be added |
|---|---|---|
| **Food fraud** | 4.20.2 | • Raw material groups/ product groups that were identified as risky in the vulnerability assessment: [list]<br>• Criteria that were selected in the vulnerability assessment: [description]<br>• Details of the vulneability assessment (dates, responsibilities, points of discussion, etc.): |
| | 4.20.4 | Summary* |
| **Food defence** | 4.21.2 | Summary* |
| **Internal audits** | 5.1.1<br>KO 8 | Summary* |
| **Site factory inspections** | 5.2.1 | Summary* |
| **Process validation and control** | 5.3.3 | Summary* |
| **Measuring and monitoring devices** | 5.4.1 | Summary* |
| | 5.4.2 | Summary* |
| **Quantity control monitoring** | 5.5.1 | • Frequency and methodology of quantity checking: [description]<br>• Company uses "℮" mark on packaging: [yes/no] |
| **Product testing and environmental monitoring** | 5.6.1 | • Internally: the following analyses are performed: [analytic parameter or group of parameters]<br>• Externally: the following analyses are performed: [analytic parameter or group of parameters] |
| | 5.6.2 | • List of parameters of environmental monitoring program: [list]<br>• [Only for animal slaughtering sites to fill in:]<br>There are defined post-slaughter time and temperature parameters in relation to the chilling or freezing of a product. [time - temperature parameters] |
| | 5.6.3 | Summary* |
| **Product release** | 5.7.1 | Summary* |
| **Complaints management** | 5.8.1 | Summary* |
| | 5.8.2 | • Product complaints (within 12 months):<br>• Total: [number]<br>• From consumers: [number]<br>• From retailers/customers: [number]<br>• From authorities: [number incl. complaint reasons]<br>• Main reasons for complaints from consumers/retailers: [list top 3]<br>• Foreign body complaints (within 12 months): [number] [type of foreign body]<br>• Foreign materials with most frequent complaints: [list top 3] |

| Part of the IFS Audit Report | N° of IFS Food V8 Requirement | Compulsory information to be added |
|---|---|---|
| **Withdrawal, recall, incidents** | 5.9.1<br>KO 9 | • Number of withdrawals performed since the last audit: [number]<br>• Number of recalls performed since the last audit: [number]<br>• Cause of withdrawals: [description]<br>• Type of food safety issue in case of recalls: [description] |
| | 5.9.2 | Summary* |
| **Management of non- conforming products** | 5.10.1 | Summary* |
| **Management of deviations, non-conformities, corrections and corrective actions** | 5.11.1 | Summary* |
| | 5.11.3<br>KO 10 | Summary* |
| **If applicable, additional information** | | |
| **Note:** additional information can also be given for requirements not listed as a compulsory field or any other auditor remark. | | |

Summary *:no free text but a summary that needs to be checked and validated by the auditor.

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

| N° | Reference | IFS Requirement | Evaluation | Explanation |
|---|---|---|---|---|
| 1. | 1.1.1 | | | |
| 2. | 1.1.2 | | | |

## Summary of all requirements considered as not-applicable (N/A):

| N° | Reference | IFS Requirement | Evaluation | Explanation |
|---|---|---|---|---|
| 1. | 1.1.1 | | | |
| 2. | 1.1.2 | | | |

## Detailed IFS Audit Report:

| N° | Reference | IFS Requirement | Evaluation | Explanation |
|---|---|---|---|---|
| 1. | 1.1.1 | | | |
| 2. | 1.1.2 | | | |

## ANNEX to the IFS Audit Report

## List of key participants:

| Audit participants | | | | | |
|---|---|---|---|---|---|
| Name | Position | Opening meeting | On-site evaluation | Documen-tation review | Closing meeting |
| Mr. Quality | Quality Manager | X | X | X | X |
| Mr. Manager | General Manager | X | | | X |
| Mr. Interpreter | Interpreter | X | X | X | X |

## Product and technology scopes (based on ANNEX 3)

## IFS Scoring System (based on chart 3, Part 1)

## Scoring and issue of certificate (based on chart 6, Part 1)

# ANNEX 11: IFS Certificate

## Certificate

IFS Food (★) (if star status)

Herewith the certification body

### Name of the certification body

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

### Name of the audited company

**Address**

(GS1 GLN(s) and where applicable, sanitary legal authorisation number) COID,
(head office name and address, if applicable)
for the audit scope:
(detailed descriptions of process(es)/product(s)),
additional information:

If there are partly outsourced processes, the following sentence shall be added:
"Besides own production, the company has partly outsourced processes",

description of product exclusions, if applicable,

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

**Number and name of the product scope(s), number of the technology scope(s)**
meet the requirements set out in the

### IFS Food Version 8, April 2023

at Foundation level/Higher level
and other associated normative documents
with a score of XX%
IFS Star Status due to unannounced audit, if applicable
(+ star symbol to be added close to the IFS Food Logo)

Certificate-Register number:
Date of the last unannounced audit (last day of the audit):
If no unannounced IFS Food Audit has been conducted for the respective COID yet, the certificate shall indicate the following:
"Last audit conducted unannounced: N/A"

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

Certificate issue date:

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

Next audit to be performed within the time period:
(Recertification audit between XX.XX and XX.XX in case of announced audit and between XX.XX and XX.XX in case of unannounced audit)

Date and place:

Name and signature of the responsible person at the certification body:

Address of the certification body:

Logo and/or name of the accreditation body and its registration number
Logo and/or name of the certification body

# ANNEX 12: Glossary

| | |
|---|---|
| **Allergen (EU)** | Food causing an adverse reaction that is mediated by an immunological response. Defined allergens are:<br>• Cereals containing gluten (i.e. wheat, rye, barley, oats, spelt, kamut or their hybridised strains) and products thereof<br>• Crustaceans and products thereof<br>• Eggs and products thereof<br>• Fish and products thereof<br>• Peanuts and products thereof<br>• Soybeans and products thereof<br>• Milk and products thereof (including lactose)<br>• Nuts i.e. Almond (Amygdalus communis L.), Hazelnut (Corylus avellana), Walnut (Juglans regia), Cashew (Anacardium occidentale), Pecan nut (Carya illinoiesis (Wangenh.) K. Koch), Brazil nut (Bertholletia excelsa), Pistachio nut (Pistacia vera), Macadamia nut and Queensland nut (Macadamia ternifolia) and products thereof<br>• Celery and products thereof<br>• Lupin and products thereof<br>• Molluscs and products thereof<br>• Mustard and products thereof<br>• Sesame seeds and products thereof<br>• Sulphur dioxide and sulphites at concentrations of more than 10 mg/kg or 10 mg/liter expressed as $SO_2$.<br>Regulation (EU) N° 1169/2011 of the European Parliament and of the Council. |
| **Allergen (US)** | There are 9 major allergens recognised in the United States according to the 2009 U.S. Food and Drug Administration (FDA) Model Food Code, Definitions section, page 12 and the FASTER Act, 2023.<br>(1) "Major food allergen "means:<br>(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, sesame and soybeans<br>(b) A Food ingredient that contains protein derived from a food, as specified in subparagraph (1) (a) of this definition.<br><br>(2) "Major food allergen" does not include:<br>(a) Any highly refined oil derived from a food specified in subparagraph (a) of this definition and any ingredient derived from such highly refined oil<br>or<br>(b) Any ingredient that is exempt under the petition or notification process specified in the Food Allergen Labelling 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.<br>**Note:** In IFS Standards, conformity assessment body is named certification body. |

| | |
|---|---|
| **Audit** | Process for obtaining relevant information about an object of conformity assessment and evaluating it objectively to determine the extent to which specified requirements are fulfilled.<br>It includes any applicable evaluation activity, such as inspection, testing and management system audit. |
| **Audit time window (unannounced audit)** | Time period during which the unannounced audit may be performed. The date of reference for this time window is the audit due date (the date of first certification audit) in an audit cycle.<br>Within the IFS Food Certification Protocol (Part 1), the time window is [–16 weeks; + 2 weeks] of the audit due date. |
| **Batch number** | Designation that is printed on a label that allows the history of production to be traced. |
| **Blackout period** | Period of time that can be notified by the company to its certification body in which the unannounced audit cannot take place. This includes a maximum of ten (10) operational days when the production site is not available for audit (e.g. staff holidays, maintenance days, etc.) as well as non-operating periods.<br>**Note:** The ten (10) operational days can be split into a maximum of three (3) periods. These, together with the non-operating periods, shall be notified to the certification body when registering for the unannounced audit. The certification body will decide if the unannounced character of the audit is 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 a control measure or control measures, essential to control a significant hazard, is/are applied in a HACCP system. |

| | |
|---|---|
| **Claim** | Any message or representation, including pictorial, graphic or symbolic representation, in any form (product label, packaging, advertisement, specifications, product inserts), which states, suggests or implies that the product has particular characteristic(s) or effect(s) that is/are not inherent to the product and/or is not generally present in similar products.<br>The following list of examples of the particular characteristic(s) and/or effects does not claim to be exhaustive:<br>• nature or composition (e.g. organic, "natural", "free from", "source of", "reduced", etc.),<br>• standards of identity for products (e.g. meat products, specific labels, etc.),<br>• origin or provenance (e.g. "made in …", "product of …", PDO/PGI, etc.),<br>• methods of production/processing (e.g. fair-trade, religious claims, etc.),<br>• specific properties, structure and/or function related to a risk reduction for customers and/or consumers (e.g. related to prevent or minimise the risk of health diseases, prevent the contamination by spoilage or pathogen microorganisms, etc.)<br>• specific properties, benefits and/or effects for customers and/or consumers due to the usage of the product (e.g. anti-aging effect in cosmetics, extend shelf life of food in packaging, improving or modifying a physiological function or biological activity associated with health in food, etc.).<br><br>Claims linked to the product can be declared only if:<br>• Evidential support is available to demonstrate their accuracy, honesty, fairness and legal compliance.<br>• Are approved to be used by the relevant authority, when applicable.<br>• Clear and understandable information is provided to the users (customer, consumer and/or end-user, as applicable) about the particular characteristic(s) and/or effect(s) declared in regard to the intended use of the product.<br><br>In the IFS Food Standard:<br>Only geographical indication schemes (according to Regulation (EU) N° 1151/2012 and its amendments) can be mentioned in the scope of the IFS Food Certificate (e.g. PDO (Protected Designation of Origin)/PGI (Protected Geographical Indication). Additional information can be found in chapter 2.2, Part 1. |
| **Company** | Any establishment which can be constituted by one or several production sites in which any stage of production and distribution of food is carried out. The company can have one or several legal entities registered and/or approved by the relevant authority on behalf of the food business operator. |
| **Contamination** | Introduction or occurrence of a contaminant in food or food environment. A contaminant can be any biological, chemical or physical agent, foreign material, or any other substances not intentionally added to food that may compromise food safety or suitability. Contamination can also mean correlation of packages among themselves. |
| **Contractor** | A company or person who is contracted by the company to carry out work for the site. |

| | |
|---|---|
| **Control measure** | Any action or activity that can be used to prevent or eliminate a hazard or reduce it to an acceptable level. |
| **Correction** | Action to eliminate a detected deviation and/or non-conformity.<br>For the action plan of the IFS Certification Audit, the correction shall be implemented, at latest, before the certificate is issued. |
| **Corrective action** | Action to eliminate the cause of a detected deviation and/or non- conformity.<br>For the action plan of the IFS Certification Audit, the corrective action shall be implemented, at latest, before the recertification audit. |
| **Customer** | A customer is a business company or person to whom products are sold either as a finished product or as a semi-finished part of the finished product. |
| **Customer agreement** | A negotiated and usually legally enforceable understanding between a customer and the company. |
| **Customer branded product** | A product which is manufactured by the production site and sold under the brand name of its customer (e.g. private label). |
| **Decentralised structure** | Off-site facility (for example a workshop) owned by the company where part(s) of the processes and operations of the production site take place. |
| **Deviation** | In the IFS Food Standard:<br>Non-compliance with a requirement, without any impact on food safety related to products and processes.<br>Deviations are requirements scored with a B, C, D and KO B requirements. |
| **Equipment** | Machines, instruments, apparatus, utensils or appliances used or intended to be used in or in connection with food handling and includes equipment used or intended to be used to clean and disinfect food premises or equipment. |
| **Factory inspection (versus internal audit)** | Factory inspection covers specific subjects and can be carried out by any appropriate person. That means regular visits to any areas, for any purposes, to check the conformity (hygiene, pest control, product control, fabrication, foreign material hazards, surrounding control, etc.). |
| **Flow diagram** | A systematic representation of the sequence of steps used in the production or manufacture of food. |
| **Food authenticity** | The characteristic of a food in relation to its origin, and/or process of production and/or its inherent properties (e.g. organoleptic or chemical). |
| **Food contact packaging materials** | Materials that:<br>• are intended to be brought into contact with food<br>or<br>• are already in contact with food and were intended for that purpose<br>or<br>• can be expected to be brought into contact with food or to transfer their constituents to food under normal or foreseeable conditions of use. |
| **Food defence** | Procedures implemented to ensure the protection of food and their supply chain from malicious and ideologically motivated threats. |

| | |
|---|---|
| **Food fraud** | The intentional substitution, mislabelling, adulteration or counterfeiting of food, raw materials or packaging materials placed upon the market for economic gain. This definition also applies to outsourced processes. |
| **Food fraud mitigation plan** | A process that defines the requirements on when, where and how to mitigate fraudulent activities, identified by a food fraud vulnerability assessment. The resulting plan will define the measures and checks that are required to be in place to effectively mitigate the identified risks.<br>The control measures required to be put into place may vary according to the nature of:<br>• the food fraud (substitution, mislabelling, adulteration or counterfeiting)<br>• detection methodology<br>• type of surveillance (inspection, audit, analytical, product certification)<br>• source of the raw materials and packaging materials. |
| **Food fraud vulnerability assessment** | A systematic documented form of risk assessment to identify the risks of possible food fraud activity within the supply chain (including all raw materials, food, packaging materials and outsourced processes).<br>The method of risk assessment may vary from company to company, however the systematic methodology for food fraud vulnerability assessment shall include, at a minimum:<br>• The identification of potential food fraud activities, using known and reliable data sources.<br>• The evaluation of the level of risk, both product and supply source.<br>• The evaluation for the need for additional control measures.<br>• The development and implementation of the food fraud mitigation plan, using the results of the vulnerability assessment.<br>• An annual review, or more often if there is increased risk identified by change to defined risk criteria.<br>The criteria used to evaluate the level of risk should be, for example:<br>• History of food fraud incidents<br>• Economic factors<br>• Ease of fraudulent activity<br>• Supply chain complexity<br>• Currently implemented measures<br>• Supplier confidence. |
| **Food safety culture** | Shared values, beliefs and norms that affect mindset and behaviour toward food safety in, across and throughout an organisation.<br>Elements of food safety culture are those elements of the food safety management which the senior management of a company may use to drive the food safety culture within the company.<br>These shall include, at a minimum:<br>• Communication about food safety policies and responsibilities<br>• Training<br>• Employee feedback on food safety related issues<br>• Performance measurement. |
| **Formula/recipes** | Exhaustive description of quantity and quality of raw materials to be used to process the products, as required in customer specifications. Formula/recipes can also include technological parameters and specific "know-how" on the process. |

| | |
|---|---|
| **Fully outsourced products** | Products that are manufactured, packed and labelled under the own brand or customer brand by a different production site than the one being audited. |
| **Global Location Number of GS1 (GLN)** | The GLN is required to clearly identify the IFS certified site in the electronic communications in the supply chain. It is mandatory for sites located:<br>• within the European Economic Area (EEA),<br>• within the United Kingdom ,<br>• within countries having signed bilateral agreements with the European Union and considered as integrated into the EEA, like Switzerland.<br>GLNs are requested in the IFS Audit Report, on the IFS Certificate and in the IFS Database for each certified site(s). |
| **GMO** | Genetically modified organism: an organism, with the exception of human beings, in which the genetic material has been modified otherwise than natural multiplication or natural recombination. |
| **HACCP** | Hazard analysis and critical control points: a system which identifies, evaluates and controls hazards which are significant for food safety. |
| **HACCP plan** | Documentation or set of documents, prepared in accordance with the principles of HACCP, to ensure control of significant hazards in the food business. |
| **Hazard** | A biological, chemical or physical agent in food with the potential to cause an adverse health effect. |
| **Hazard analysis** | The process of collecting and evaluating information on hazards identified in raw materials and other ingredients, the environment, in the processing of or in the food and conditions leading to their presence, to decide whether or not they are significant hazards. |
| **Head office assessment (for accreditation bodies)** | Assessment of the conformity assessment body head office.<br>**Note:** In IFS Standards, conformity assessment body is named certification body. |
| **Incident** | A situation within the supply chain where there are possible and/or confirmed risks associated with product safety, quality, legality and authenticity; or any force majeure event (e.g. critical resources/services disruption, natural disasters, loss, emergency situations, crisis, etc.) with a direct impact on delivering trusted products. |
| **Ingredient** | Any substance, including food additives, used in the manufacturing or preparation of a food which remains in the finished product, even in the modified form. |
| **Inspection** | Examination of a process/product, product design or installation and determination of its conformity with specific requirements or, on the basis of professional judgement, with general requirements.<br>Inspection of a process includes inspection of product characteristics, customer requirements, persons, facilities, technology and methodology. |
| **Instruction program** | A defined program designed to provide clear and concise instructions to personnel to meet food safety and quality objectives. |
| **Integrity Program** | Program implemented by IFS in order to:<br>• Monitor, as preventive actions, performance of auditors and certification bodies as well as audited companies,<br>• Manage, as corrective actions, any complaints addressed to IFS. |

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| **Internal audit** | General process of audit, for all activities in a company. Conducted by or on behalf of the company for internal purposes.<br>An internal audit is an independent and objective assurance activity that is designed to add value and improve the operations of an organisation. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. |
| **Key roles** | Personnel who have significant responsibilities and accountability for the development and maintenance of product safety, quality, legality and authenticity. |
| **Legal entity** | A legal entity is the registered office of the food business where, according to agreement, the food business operator has its administrative centre. It generally identifies the place where the administrative organisation of the company is located. |
| **Location** | One physical address where the production site(s) is/are situated. |
| **Lot number** | Combination of numerical digits that are given to a group of products manufactured in the same batch/production unit. |
| **Mass balance** | Test performed to measure the input quantity of ingredients and outputs of finished products during a traceability test. |
| **Monitoring** | Determining the status of a system, a process, a product, a service or an activity.<br>For control measures defined for a CCP and other control measures: the act of conducting a planned sequence of observations or measurements of control parameters to assess whether control measures defined for a CCP and other control measures are under control. |
| **Non-conformity** | In the IFS Standard, defined non-conformities are Major non-conformities and D evaluations of a KO requirement.<br>Non-conformity can be given in case of:<br>• non-respect of legislation,<br>• food safety issues,<br>• internal dysfunctions, and<br>• customer issues. |
| **Non-operating periods** | Periods when the production lines are not operating at all, e.g. planned maintenance work, bank holiday, planned production site shutdown for holidays, etc. |
| **On-site evaluation** | Inspection and audit of the production area of the production site, which includes the following areas:<br>• Production processes,<br>• Receipt, storage and dispatch areas,<br>• Good Manufacturing Practices (GMPs), including maintenance, hygiene, pest control and cleaning and disinfection activities,<br>• Product development,<br>• On-site laboratory,<br>• Maintenance facilities,<br>• Staff and sanitary facilities,<br>• External areas. |

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| **Partly outsourced process** | Production step(s) or part(s) of production process carried out off-site by a third-party on behalf of the IFS certified production site. In the IFS Standard, primary packing and labelling are also considered as production steps: if carried out outsourced, these shall be considered as partly outsourced processes. |
| **Pasteurisation** | Heat treatment designed to reduce the number of pathogenic and spoilage microorganisms which is consistent with minimal chemical, physical and organoleptic changes in the product (e.g. UHT process, high pressure pasteurisation). It is used in combination with other factors to make food safe over a designated shelf life (pH, $a_w$, chilled storage). |
| **Potable water** | Water fit for human or animal consumption (e.g. drinking, cooking and food preparation) that in principle must be free from microorganisms and other contaminants that may endanger public health. |
| **Product** | Result of a process or activities for transforming inputs into outputs. It comprises packaging. |
| **Product development** | The creation of products with new or different characteristics that offer new or additional benefits to the customer.<br>Product development may involve modification of an existing product or its presentation, or formulation of an entirely new product that satisfies a newly defined customer who wants a market niche. In the IFS Standard, the requirements for chapter product development apply even if there is just a product modification, use of new packaging materials or modifications of production processes. |
| **Product recall** | Any measure aimed at achieving the return of a dangerous product that has already been supplied or made available to consumers by the producer or distributor. |
| **Product withdrawal** | Any measure aimed at preventing the distribution, display and offer of an out-of-specification product and/or of a product that may be dangerous to the consumer. |
| **Production area** | Part of the production site which includes:<br>• Production processes,<br>• Receipt, storage and dispatch areas,<br>• Good Manufacturing Practices (GMPs), including maintenance, hygiene, pest control and cleaning and disinfection activities,<br>• Product development,<br>• On-site laboratory,<br>• Maintenance facilities,<br>• Staff and sanitary facilities,<br>• External areas. |
| **Production site or site** | An establishment in a specific physical location where the IFS Food Audit is conducted in which any stage of production and distribution of food can be carried out.<br>It can also include facilities (for example workshop or warehouse) owned by the company where part(s) of the processes and operations take place. |

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| **Protective clothing** | Clothing provided by the company (which includes footwear and gloves) which are worn by employees, contractors and visitors to protect the food from contamination. |
| **Raw materials** | A base material used for the manufacture of a product (ingredients, additives, packaging materials, rework). |
| **Resources** | A stock or supply of money, materials, staff, and other assets that can be drawn on by the company in order to function effectively and continuously achieve objectives. |
| **Reviewer** | Person of the certification body in charge of assessing the IFS Audit Reports before a certification decision is made.<br>An IFS Reviewer is either an IFS Food Auditor or an IFS Pure Reviewer.<br>The tasks of the IFS Reviewer are, at a minimum, to check:<br>• The overall consistency of the IFS Audit Reports.<br>• If the IFS Audit Reports are properly completed (e.g. compulsory fields, etc.).<br>• If the findings are well described and in agreement with the evaluation.<br>• If the corrections and corrective actions as well as the deadlines for implementation proposed by the audited production site have been validated by the auditor (or by a representative of the certification body) and are relevant.<br>The review shall be documented. |
| **Rework** | The process of re-utilisation of food, ingredients, raw materials or packaging materials. |
| **Risk** | A function of the probability of an adverse health effect and the severity of that effect, consequential to (a) hazard(s) in food. |
| **Root cause analysis** | Process or procedure that helps to understand the initiating causes of a problem, in order to identify the proper corrective action that will prevent a recurrence. |
| **Safety Data Sheets (SDS)** | Safety data sheets (SDS) are safety instructions for handling dangerous substances, they are principally intended for use by professional users and must enable them to take the necessary measures in regards to 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. |
| **Seasonal products** | Products which are processed at a specific time in the year, or processes which are used at a specific time in the year, for getting new/different products than those processed all year long. |
| **Senior management** | Executive management. |
| **Service provider** | Organisation that provides services to another company, for example, transport, storage, order picking control, cleaning and disinfection, etc. |
| **Sign-off audit** | First witness audit of an auditor after having passed the IFS Examinations for the purpose of confirmation of competencies for final approval as an IFS Food Auditor. The sign-off audit shall be performed during a full IFS Food Certification Audit. |

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| **Staff facilities** | Areas within a site, other than food handling areas, that are used by personnel, e.g. cloakrooms, toilets, canteens and restrooms. |
| **Sterilisation** | Heat treatment applied to a product in final packaging, designed to destroy pathogens and produce commercially sterile products with an extended (long) shelf life under ambient temperature (e.g. autoclave for products canned).<br>The main concern is inactivation of the most heat resistant pathogenic spore, namely C. botulinum. |
| **Suspension (of IFS Food Certificate)** | Applies when the intention is to reinstate the exact same certificate (with same issue number, same validity, etc.) in case the suspension is lifted.<br>Examples:<br>• In case of pending investigations by the certification body, following a food safety incident or other event<br>• For the certificates of all companies linked to a head office / central management, when a non-conformity is issued during the audit of the head office / central management<br>• In case of non-payment of the current audit by the audited company. |
| **System** | Set of interrelated or interacting elements. A system is a planned, sustainable structured course of action. Depending on the complexity, documentation is recommended. A system includes: documentation, procedure description, control/monitoring, corrective action, site plan. |
| **Traceability** | Ability to trace and follow a food, feed, food-producing animal or substance intended to be, or expected to be incorporated into a food or feed, through all stages of production and distribution. |
| **Traded products** | Products manufactured, packed and labelled by and under a different company name to the production site being IFS Food certified and which are not customer branded products. |
| **Validation** | Confirmation, through the provision of objective evidence, that the requirements for a specific intended use or application have been fulfilled.<br>Validation of control measures defined for CCPs and other control measures is obtaining evidence that a control measure or combination of control measures, if properly implemented, is capable of controlling the hazard to a specified outcome.<br>**Note:** For pre-existing HACCP plans, continuously conducted and documented verification procedures may act as a part of evidence of validation. |
| **Verification** | Confirmation, through the provision of objective evidence, that specified requirements have been fulfilled.<br>The verification of control measures defined for CCPs and other control measures is the application of methods, procedures, tests and other evaluations, in addition to monitoring, to determine whether a control measure is or has been operating as intended. |

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| **Withdrawal (of IFS Food Certificate)** | Applies when it is neither intended nor possible to reinstate the exact same certificate (with same issue number, same validity, etc.).<br>Examples:<br>• When any information indicates that the products/processes may no longer comply with the requirements of the certification system especially in case of non-conformity(ies) identified during the audit (main or follow-up audit) or when access is denied (apart from force majeure).<br>• In case the production stopped and moved to a new location.<br>• In case of cancellation of certification contract (between the certification body and the company). |
| **Witness assessment (by accreditation bodies)** | Assessment of the conformity assessment body when it is carrying out conformity assessment services within its scope of accreditation.<br>**Note:** In IFS Standard, conformity assessment body is named certification body. |
| **Witness audit to be performed every two (2) years, for approved IFS Food Auditors (monitoring witness audit)** | Every IFS Food Auditor shall be assessed during a full IFS Food On-site Witness Audit every two (2) years by the certification body, in order to evaluate their competencies. This audit can be performed at any time during the second calendar year after the year in which last witness audit has taken place. The witness auditor:<br>• shall not be part of the audit (as a team member).<br>• shall be an experienced IFS Auditor (see requirements under chapter 3.2, Part 3).<br>It is not mandatory for the auditor to be qualified for all product and technology scope(s) of the audit.<br>The certification body shall specify the name of the witness auditor in the participants' list of the IFS Audit Report and shall be able to provide, on request, a witness audit report of this witness audit.<br>Every second time (every four (4) years) it can be replaced by a full on-site witness audit during another GFSI recognised food safety post-farm processing certification standard audit accredited against ISO/IEC 17065:2012 norm.<br><br>**Note 1:** In case of an audit team in which the team can split during the audit (as both auditors have production site's product and technology scopes), it is not possible to perform a witness audit, as the auditor who is witnessed doesn't perform a full IFS Audit.<br>But if the team does not split, it is possible to perform a witness audit for the lead auditor, as it will be possible to witness the auditor during a full IFS Audit.<br>**Note 2:** Accreditation witness assessments performed by accreditation bodies are accepted as a replacement of a witness audit performed by an observer from the certification body.<br>**Note 3:** Witness audits performed by IFS Integrity Program during a full IFS Food Audit can also be accepted. |

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