

IFS Food Doctrine



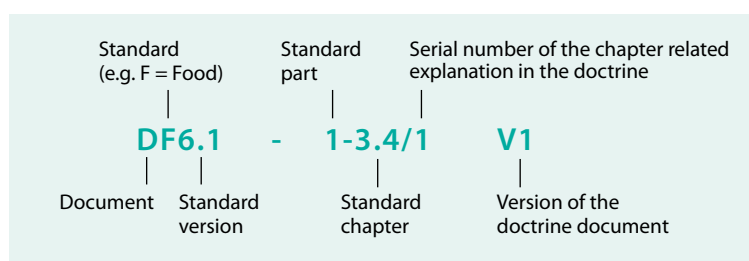
Foreword

This document provides additional clarification to the IFS Food Standard. The doctrine is available to certification bodies, certified companies and all other IFS users.

All explanations and decisions of this document apply from the date of its publication unless a different date of application is specified.

The following doctrine is a collection of several descriptive documents. Each document has its own name and the first three signs indicate the type of document. In the example below, the first two letters stand for “Doctrine Food”, and the number 6.1 for the “Standard version 6.1”. The second section of the name specifies the part of the Standard to which the document refers (The IFS Food Standard is divided into different parts which are again subdivided into different chapters). The third section indicates the chapter of the Standard and the number after the backslash marks the number of the explanation in the doctrine itself.

E.g. DF6.1-1-3.4/1 V1 means the document is the first IFS Food doctrine explanation which refers to the chapter 3.4 in the first part of the IFS Food version 6.1.



The document name is followed by the version of the Doctrine document to enable the reader to follow the changes.

This new document system enables the user to exchange only the modified pages instead of the whole document. All changes are described in the content overview on the first pages and these pages will be updated with each change. Please note that the comment “reworked wording” indicates a grammatical correction or improvement of the language. Any changes in the content are additionally marked.

In the digital version of the doctrine, links allow users to search for specific clarifications. Clicking on the explanation of interest will lead to the relevant document.

The application of newly introduced or adapted rules is always two (2) months after publication of the relevant version, if not specified otherwise.

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EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017

PART 1 – 3. Types of audit

1.3.4 Extension audit

In specific situations, such as new products and/or processes to be included in the audit scope or each time the audit scope would need to be updated on the certificate, then, for an IFS Food certified company, it is not necessary to perform a complete new audit, but to organize an on-site extension audit during the validity period of the existing certificate. The certification body is responsible for determining relevant requirements to be audited and relevant audit duration. The report of this extension audit shall be represented as an annex adjoined with the current audit report. Conditions for passing the extension audit (relative score $\geq 75\%$) are the same as normal one, but only focused on specific requirements which have been audited; the original audit score does not change.

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

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

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

> 1.3.4	Extension audit
> 1.3.4.1 DF6.1-1-3.4/1 V1	How is the renewal audit managed during the following year when an extension audit has been performed?
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CLARIFICATION ON PART 1 – 3.4 EXTENSION AUDIT

1.3.4.1 How is the renewal audit managed during the following year when an extension audit has been performed?

The renewal audit shall include the activity which has been audited during the extension audit (all in one certificate).

In case of seasonal products, there will be one renewal audit and one extension audit, in order to cover all products and processes.

CLARIFICATION ON PART 1 – 3.4 EXTENSION AUDIT

1.3.4.2 If a company manufactures products at different periods over the course of the year, how can they ensure the products are covered by the IFS Food certificate?

Example of a company processing two kinds of products (A and B) in different periods of the year.

- During the “main” initial audit, the audit shall be focused on the processing activities of product A and on the documentation related to the processing of product B. After this audit, the certificate and the report should specify: “Production of product A—production of product B will be checked during an extension audit in month X”
- After the extension audit, the certificate shall be updated specifying “Production of products A and B”. The report of the extension audit is to be uploaded to the IFS database and only state the scope of the extension audit (please follow the help function in AuditXpress for extension audit).
- After the renewal audit, the certificate and the report should mention: “Production of products A and B” and an extension audit shall be performed at a later time to verify the processing activities of product B on site.
- Same annual procedure as above for the next renewal audits.

CLARIFICATION ON PART 1 – 3.4 EXTENSION AUDIT

1.3.4.3 In which situations should an extension audit be performed in order to fulfil the IFS Food requirement specifying that “Lines shall be working during the audit”?

Extension audits shall be performed to observe processes which were not working during the audit. However, the application scope of this requirement should be limited to avoid extension audits being systematically performed for lines which were not working during the audit.

Therefore, an extension audit shall be performed as long as HACCP study (and especially the CCP's) and/or product and/or tech scopes are different from the one(s) audited during the “main” audit.

CLARIFICATION ON PART 1 – 3.4 EXTENSION AUDIT

1.3.4.4 In the case of seasonal processes, how should the audit process be managed?

In case of seasonal processes (e.g. wine making process), the “main” audit shall always be performed during the most hazardous processing step (e.g. wine bottling). It shall be guaranteed that all processes which have an impact on food safety are audited, even if the processes are seasonal. If it is not possible for the auditor to assess the different processing steps when not operating at the same time, there are two possibilities:

- No extension audit is to be performed to assess the manufacturing steps which couldn't be audited during the main audit. The certificate must only specify the processing step(s) which has/have been audited (e.g. wine bottling).
- An extension audit is performed to assess the steps which couldn't be audited during operation in the main audit and the certificate shall specify all the audited steps of the process.

The key rule is that the certificate shall be clear and only specify what has been audited.

CLARIFICATION ON PART 1 – 3.4 EXTENSION AUDIT

1.3.4.5 Processing of sparkling wine: when to perform the audit?

For the production of sparkling wine and champagne via bottle fermentation, there are two sensitive processing steps:

- Tirage: operation of re-fermentation in which the bottle is opened again to add extra yeasts before re-closing the bottle after the first bottling step.
- Disgorging: operation after the re-fermentation in which the sediments are removed via the ejection of the previously frozen temporary cork.

Therefore both two steps of tirage and disgorging shall be assessed on-site during an IFS Food audit.

When using tank fermentation procedures, at least the contents must be audited.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

PART 1 – 4. Scope of the audit

1.4.1 Management of product exclusion from the audit scope

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

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

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

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

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

If, between two certification audits, new processes or products different from those included in the scope of the current IFS audit are implemented (e.g. seasonal products), the certified company shall immediately inform its certification body, who shall perform a risk assessment to decide whether an extension audit should be performed or not (see also 3.4). The results of this risk assessment, based on hygiene and safety risks, shall be documented.

// 1.4.1 Management of product exclusion from the audit scope

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

The audit scope shall include the complete activity of the company (i.e. the same kind of production on several lines for products under supplier brands and retailer/wholesaler brands) and not only the production line for retailer/wholesaler branded products. The scope shall be reviewed and agreed at the beginning of the audit after an initial risk assessment. Furthermore, the scope can be modified after the risk assessment (for instance, if a further activity interferes with the one concerned by the audit scope).

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

[...]

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

Auditing of multi-location companies with central management

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

Note: Each production site shall be audited separately in a period of maximum 12 months after the central managing site and shall have its own audit report and certificate. Each site shall be mentioned in the relevant contract and shall be subject to its own report and certificate.

// 1.4.1 Management of product exclusion from the audit scope

If the central managing site does not have any production activity, this site cannot be IFS certified as an independent company. The time for auditing the central managing site shall be described in the company profile of the report.

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

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

> 1.4.1	Management of product exclusion from the audit scope
> 1.4.1.1 DF6.1-1-4.1/1 V1	What are the IFS rules for accepting exclusions in the audit scope, as exclusions should be managed "under exceptional circumstances"?
> 1.4.2	Management of outsourced processes
> 1.4.2.1 DF6.1-1-4.2/1 V2	How are outsourced processes managed in IFS Food version 6.1?
> 1.4.3	Management of trade products
> 1.4.3.1 DF6.1-1-4.3/1 V1	What is the definition of trade products and can those be included in the scope of an IFS Food audit?
> 1.4.4	Scope of application
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> 1.4.4.2 DF6.1-1-4.4/2 V2	How to write the audit scope in the certificate and audit report
> 1.4.6	Wineries and mobile bottling
> 1.4.6.1 DF6.1-1-4.6/1 V1	Is it possible to certify a mobile bottling company?
> 1.4.7	High pressure processing: product and technology scopes
> 1.4.7.1 DF6.1-1-4.7/1 V1	Which audit scope applies for a company which produces a wide range of products with more than 3 product scopes with High Pressure Processing (HPP) (in case of prepacked products received under refrigeration conditions which are stored at 4°C and then processed by HPP in order to reduce microbial contamination) ?

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CLARIFICATION ON PART 1 – 4. SCOPE OF THE AUDIT

1.4.1.1 What are the IFS rules for accepting exclusions in the audit scope, as exclusions should be managed “under exceptional circumstances”?

By definition, all processes which are managed by the company/legal entity, on the same site, and which are under their responsibility, shall be included in the scope of an IFS Food audit.

All processes and products shall be included in the audit scope. The identification of exclusions shall only be an exceptional situation and can only be related to product exclusions.

In those exceptional situations where the audited company would like to exclude product(s) from the scope, IFS has developed a questionnaire to be completed by certification bodies, in order to determine if exclusions are possible. The auditor shall always check during the audit if defined exclusions are relevant and in line with the questionnaire. This questionnaire is available in the IFS login area.

CLARIFICATION ON PART 1 – 4. SCOPE OF THE AUDIT

1.4.2 Management of outsourced processes

1.4.2.1 How are outsourced processes managed in IFS Food version 6.1?

If a food processing site being IFS Food audited, outsources parts or all of its processes, including packing and labelling, the requirements of relevant chapters shall be assessed and the following rules apply:

Requirements for the site being IFS Food audited:

- **Scope of certification:** product and technology scopes applicable for the site being IFS Food audited.
- **Certificate and report:** the following sentence shall be added beneath the description of products and processes: "Beside own production, company has outsourced processes and/or products."
- **Company profile:** detailed description of processes and/or products outsourced and related certification status of the site appointed for the outsourcing process.
- **Auditor competences:** auditor qualification for product/s and processes of the site being IFS Food audited.
- **Audit time calculation:** audit duration related to the product/s and processes of the site being IFS Food audited.

The company shall approve the supplier of the outsourced processes through having:

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

This shall be documented by the company in the food safety and quality management system and ensure control over such processes to guarantee that food safety and product quality are not compromised. Controls of such outsourced processes shall be identified and documented.

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// 1.4.2.1 How are outsourced processes managed in IFS Food version 6.1?

Note:

1. Outsourced storage and/or transport activities shall not be considered as outsourced processes and shall be managed in relevant IFS Food chapters (4.14 and 4.15), especially through the assessment of requirements 4.14.6 and 4.15.7.
2. If the outsourced process involves freezing and/or thawing, an IFS Logistics certification is also accepted for the site that carries out the outsourced process.
3. The rule of outsourcing applies for both private label products and company branded products.
4. If requirements for outsourced processes and/or products are not respected, it may lead to a non-conformity scoring for the site being IFS Food audited.

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CLARIFICATION ON PART 1 – 4. SCOPE OF THE AUDIT

1.4.3 Management of trade products

1.4.3.1 What is the definition of trade products and can those be included in the scope of an IFS Food audit?

Trade products are products which are manufactured, packed and labeled by and under a different company name than the company being IFS Food certified.

Trade products, as defined above, are not covered by the scope of the IFS Food audit. Therefore, the following requirements apply:

- It is not possible to include trade products in the audit scope of an IFS Food audit and no specific mention on the certificate is necessary
- It shall be specified in the company profile of the audit report whether the company also manages trade products, but these will not be included in the IFS Food certification.

If a food processing company would also like to certify these trade products (processed, packed and labeled by and under a different company name), a combined audit with IFS Broker shall be performed.

CLARIFICATION ON PART 1 – 4. SCOPE OF THE AUDIT

1.4.4 Scope of application

1.4.4.1 Origin certification and other certification under specific regulations

Reference to product certifications or labels that are under specific regulations (e.g. Protected designation of origin (PDO), Protected Geographical Indication(PGI), Organic ...) shall not appear in the scope on the IFS Food certificate, to avoid any confusion in the scope of the IFS Food audit and certification.

If the company asks for the visibility of such a status, a reference can only be made in the company profile.

CLARIFICATION ON PART 1 – 4. SCOPE OF THE AUDIT

1.4.4.2 How to write the audit scope in the certificate and audit report?

The description in the report and certificate of the process(es)/product groups of the audit scope, has to provide enough information for the reader to understand what is defined under the scope of the IFS certificate.

General explanations like e.g. production of “meat products” are not allowed, as this does not provide sufficient info, and “meat products” is the general expression to describe a wide category of products. In such cases further information like e.g. production of “fermented sausage, brewed sausage, cooked sausage, cooked and raw cured ham” is necessary. In addition, brand names are not allowed as they do not provide a detailed description of the product category.

Information about the format of the final packaging of the products is also necessary. E.g. “packed in foil (vacuum or modified atmosphere)”.

Words on the scope of the certificate

For example, storage, transport, sales, distribution, R & D, development/design shall not be mentioned, as these topics will be investigated in an IFS Food audit.

CLARIFICATION ON PART 1 – 4. SCOPE OF THE AUDIT

1.4.6 Wineries and mobile bottling

1.4.6.1 Is it possible to certify a mobile bottling company?

It is not possible to certify a company providing a service. The wineries which use a mobile bottling service and want to have it in the certificate scope shall declare this to the certification body and request to organise the IFS audit during the bottling step and audit the mobile service when in operation at the production site. In case the audit is unannounced, an extension audit shall be conducted to be able to include this step in the scope. In addition, the bottling service provider shall be covered by the HACCP of the company.

A clear description and the name of the bottling company shall be provided in the company profile.

The type of product being bottled at the time of operation shall be written on the scope of the certificate (e.g. if it was for a specific production line: bottling of white wine in 0,5 lt glass bottles).

CLARIFICATION ON PART 1 – 4. SCOPE OF THE AUDIT

1.4.7 High pressure processing: product and technology scopes

1.4.7.1 Which audit scope applies for a company which produces a wide range of products with more than 3 product scopes with High Pressure Processing (HPP) (in case of prepacked products received under refrigeration conditions which are stored at 4 °C and then processed by HPP in order to reduce microbial contamination)?

In such a case, the following scopes shall be chosen: product scope 7 and processing step P2.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

PART 1 – 5. The certification process

1.5.2 Certification body selection – contractual arrangements

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

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

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

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

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

// 1.5.2 Certification body selection – contractual arrangements

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

[...]

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

> 1.5.2	Certification body selection – contractual arrangements
> 1.5.2.1 DF6.1-1-5.2/1 V1	Are there any IFS rules for the use of translators during an IFS Food audit?
> 1.5.2.2 DF6.1-1-5.2/2 V1	Auditor sharing
> 1.5.2.3 DF6.1-1-5.2/3 V1	Uploading documents during the process of borrowing auditors: new system
> 1.5.2.4 DF6.1-1-5.2/4 V2	Use of a technical expert within an audit team in specific emerging markets

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CLARIFICATION ON PART 1 – 5.2 CERTIFICATION BODY SELECTION – CONTRACTUAL ARRANGEMENTS

1.5.2.1 Are there any IFS rules for the use of translators during an IFS Food audit?

An IFS Food audit shall be carried out in the language of the production site. Therefore the use of a translator is not allowed if the production site language is:

- German
- French
- English
- Chinese
- Italian
- Spanish (exempted Central and South America)

In general, the audit shall preferably be carried out in the language of the production site. If this is not possible, it is mandatory to use a translator under the following conditions:

- The translator shall have a technical background or be an approved auditor for another food safety/quality scheme.
- The translator shall be independent from the audited company to avoid any conflict of interest.
- 20 % of the total audit duration shall be added to ensure proper audit performance.

CLARIFICATION ON PART 1 – 5.2 CERTIFICATION BODY SELECTION – CONTRACTUAL ARRANGEMENTS

1.5.2.2 Auditor sharing

To cover all the necessary product and tech scopes of an audit, there are two possibilities to share auditors between certification bodies:

1) Borrowing of auditors

For the occasional sharing of auditors, both certification bodies shall compose a short agreement concerning the lending/borrowing of the auditor. The agreement shall at a minimum contain:

- day of audit
- name of company
- name of shared auditor
- signature of both certification body managers of the IFS contracted certification bodies
- signature of a responsible person to IFS from both IFS contracted organizations

2) IFS certification body working group

If certification bodies wish to share auditors more frequently, a short contract can be requested from the IFS office in Berlin. This agreement allows two or more certification bodies to work together by sharing one pool of auditors. The responsibilities for the audits, training of auditors, reviewing etc. are clearly separated. Only audit date and scope can be seen by the partner; company names are invisible.

CLARIFICATION ON PART 1 – 5.2 CERTIFICATION BODY SELECTION – CONTRACTUAL ARRANGEMENTS

1.5.2.3 Uploading documents during the process of borrowing auditors: new system

The auditXpress™ version released on 30th of March 2016 allows a selection of all IFS Standard related approved auditors.

The rule for lending auditors applies, but it is not necessary to contact IFS for the upload of the report. IFS will be informed automatically when audits are uploaded by auditors assigned to different certification bodies.

The search bar can be used to find and select the auditor who performed the audit. Furthermore the lead- or co-auditor status can be assigned at this point.

CLARIFICATION ON PART 1 – 5.2 CERTIFICATION BODY SELECTION – CONTRACTUAL ARRANGEMENTS

1.5.2.4 Use of a technical expert within an audit team in specific emerging markets

In exceptional cases, e.g. when a CB does not have direct access to an IFS Food auditor with a qualification in the scope required or cannot sign a short term contract with another CB to access their auditors, IFS allows the following exception. Audits may be carried out by a team consisting of:

- an approved IFS Food auditor, and
- a technical expert

This exception is valid until further notification in all countries outside of Europe.

The technical expert shall meet the following criteria:

- Have a contract with the CB for which the audit is to be undertaken. The contract shall include clauses to ensure confidentiality and prevent conflicts of interest.
- Meet the criteria for work experience laid down in the IFS Food auditor qualification requirements (product and technology scopes for IFS Food version 6.1).
- Have completed a training course in HACCP or Risk Assessment, as defined in the IFS Food auditor requirements or have demonstrable competence in these areas.
- Have received background training on IFS Food from the certification body.

The CB shall also ensure the following requirements are met:

- Maintain evidence of the experience and qualifications justifying the person's status as a technical expert. This shall be made available on request to the IFS offices.
- The role of the technical expert within the audit team shall be clearly defined and the qualified IFS Food auditor shall be considered as the team leader. The technical expert must be accompanied during the whole audit by the IFS Food lead auditor. The benefit for the IFS Food auditor is that this audit performed with an expert can be used as evidence when applying for a scope extension.
- The technical expert shall appear on the IFS Food audit report in the list of participants.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

1.5.3 Duration of an audit

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

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

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

[...]

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

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

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

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

Etc.

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

// 1.5.3 Duration of an audit

A normal audit day duration is 8 hours.

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

1/3 of the audit duration shall be spent, as a minimum, in the production area of the site. Additionally, time for generation of the audit report is typically 0,5 days.

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

Note 5: For an audit team, the minimum audit duration shall be 0.75 day. In addition to the calculated audit time with the above tool, minimum 2 hours shall be added. This additional time shall be allocated to the team and not to an individual auditor for common tasks (e.g. opening and closing meeting, discussion about audit findings, etc.)

See also Part 3, chapter 3.5 about audit team.

[...]

> 1.5.3	Duration of an audit
> 1.5.3.1 DF6.1-1-5.3/1 V1	Multi-site auditing: is double time reduction allowed (first decreasing due to the general rule in the audit protocol, second decreasing due to the specific rule for multi-site auditing –0,5 days rules)?
> 1.5.3.2 DF6.1-1-5.3/2 V1	Is there a minimum audit duration for an IFS Food audit which should not be decreased?
> 1.5.3.3 DF6.1-1-5.3/3 V1	Is there an IFS table with examples of products and classification of the relevant product scope(s)?
> 1.5.3.4 DF6.1-1-5.3/4 V1	What is the definition of “total number of employees”?
> 1.5.3.5 DF6.1-1-5.3/5 V1	Use of preservatives in food processes and selection of related P steps to calculate audit duration and select appropriate auditor
> 1.5.3.6 DF6.1-1-5.3/6 V1	How to calculate the audit duration for product scope 7?

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CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

1.5.3.1 Multi-site auditing: is double time reduction allowed (firstly decreasing due to the general rule in the audit protocol, secondly decreasing due to the specific rule for multi-site auditing –0,5 days rules)?

- If the calculation tool provides an audit duration below 2 days, the decreasing of 0,5 days in case of multi-site auditing is allowed
- If the calculation tool provides an audit duration of more than 2 days, only one reduction is possible. This corresponds to the maximum reduction stated in either one of the rules for reduction of the audit protocol.
- In both cases, a reduction must be justified in the audit report.

CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

1.5.3.2 Is there a minimum audit duration for an IFS Food audit which should not be decreased?

Yes, the minimum audit duration shall always be 0.75 days, even for an individual site of a multi-site company.

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CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

1.5.3.3 Is there an IFS table with examples of products and classification of the relevant product scope(s)?

A table with examples of products is available on the IFS website and will be updated when necessary.

This chart provides examples of products and their classification with respect to IFS Food version 6.1 product scopes.

These examples only help to understand the classification of products. This list does not claim to be exhaustive.

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CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

1.5.3.4 What is the definition of “total number of employees”?

For instance, if the company normally has 300 employees (during most of the year), but the company has an additional 100 employees for one month, then these employees have to be included in the total number of employees to calculate the audit duration.

The company shall indicate the total number of employees over a year (in this case 400).

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CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

1.5.3.5 Use of preservatives in food processes and selection of related P steps to calculate audit duration and select appropriate auditor

In case any preservatives are used in a recipe—including dimethyl dicarbonate—it is not necessary to select processing step P4 to define audit scope, calculate audit duration and select appropriate approved auditor.

In the case of auditors approved for product scope 8 (beverages), specific attention should be paid during the audit, to processes where dimethyl dicarbonate is used (e.g. validation and control of the process).

CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

1.5.3.6 How to calculate the audit duration for product scope 7?

In order to calculate the audit duration for product scope 7, the additional product scopes for processing the raw materials for product scope 7 applies. These additional product scopes doesn't apply for the auditor scope approval.

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EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

1.5.4 Drawing up an audit time schedule

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

> 1.5.4	Drawing up an audit time schedule
> 1.5.4.1.5 DF6.1-1-5.4.1/5 V1	Mandatory document to be signed by a representative of the audited site and auditors (if applicable also trainee, auditor in progress, auditor under observation or observer for witness audit) at the end of the audit

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CLARIFICATION ON PART 1 – 5.4 DRAWING UP AN AUDIT TIME SCHEDULE

1.5.4.1.5 Mandatory document to be signed by a representative of the audited site and auditors (if applicable also trainee, auditor in progress, auditor under observation or observer for witness audit) at the end of the audit

- The document shall state the audit dates and for each audit day, the start time and end time of the audit.
- For each audit day, a representative of the audited site and the auditor/s (lead auditor and co-auditor/s and if applicable also an attending trainee, auditor in progress, auditor under observation or observer for witness audit) have to sign in order to confirm their attendance.
- The certification body is free to include this registration in their already existing documents or to create a new document to fulfil this obligation. The IFS office does not require a special document.
- This document has to be part of the audit documentation to be available on request at the office of the certification body that has a contract with IFS Management GmbH. It will be mandatory to have this document signed at the end of each IFS audit (for all IFS schemes) starting from 01 October 2018.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

1.5.8.4 Specific management of the audit process in case of multi-site companies

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

> 1.5.8.4	Specific management of the audit process in case of multi-site companies
> 1.5.8.4.1 DF6.1-1-5.8.4/1 V1	How is a situation managed where a deviation, which had been identified during the central managing site audit, has been solved and checked by the auditor during the site audit?

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CLARIFICATION ON PART 1 – 5.8.4 SPECIFIC MANAGEMENT OF THE AUDIT PROCESS IN CASE OF MULTI-SITE COMPANIES

1.5.8.4.1 How is a situation managed, where a deviation which had been identified during the central managing site audit, has been solved and checked by the auditor during the site audit?

If there is objective evidence, that the deviation first noticed at the central managing site has completely been solved, it should be possible to rate the respective requirement as an A. This can be accepted under the following conditions:

- The respective central managed process can also be checked completely at the production site and the previously rated deviation at the central managing site can be solved with objective evidence
- The check of corrective actions which allow the deviation to be solved, shall be carried out during the audit of all sites
- The auditor needs time to check the implementation of corrective actions for this previously noticed deviation at the central managing site. More than likely a full reduction of audit time (0,5 days) would no longer be applicable (as would be possible in a normal situation). This decision is the responsibility of the certification body.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

PART 1 – 6. Awarding the certificate

1.6.1 Deadline for awarding the certificate

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

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

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

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

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

> 1.6.1	Deadline for awarding the certificate
> 1.6.1.1 DF6.1-1-6.1/1 V1	Is the first or the last day of audit the date to be considered as the starting point for calculating the certification cycle –8 weeks/+ 2 weeks?
> 1.6.1.2 DF6.1-1-6.1/2 V1	Which is the final day of certificate validity?

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CLARIFICATION ON PART 1 – 6.1 DEADLINE FOR AWARDING THE CERTIFICATE

1.6.1.1 Is the first or the last day of audit, the date to be considered as the starting point for calculating the certification cycle –8 weeks/+ 2 weeks?

The last day of the audit shall be used to calculate the time window –8 weeks/+2 weeks.

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CLARIFICATION ON PART 1 – 6.1 DEADLINE FOR AWARDING THE CERTIFICATE

1.6.1.2 Which is the final day of certificate validity?

The start date of the certificate validity is: initial audit date (last day) + 8 weeks.

The last day of certificate validity is: initial audit date (last day) + 8 weeks – 1 day + 1 year.

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EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017

Part 2 – 4.4 Purchasing

2.4.4 Purchasing

- 4.4.5 The purchased products shall be checked in accordance with **the** existing specifications and their authenticity, based on hazard analysis and assessment of associated risks. The schedule of these checks shall, as a minimum, take into account the following criteria; product requirements, supplier status (according to its assessment) and impact of the purchased products on the finished product. The origin shall be additionally checked, if mentioned in the specification.
- 4.4.6 The purchased services shall be checked in accordance with the existing specifications. The schedule of these checks shall at least take into account the following items: service requirements, supplier status (according to its assessment) and impact of the service on the finished product.

> 2.4.4	Purchasing
> 2.4.4.5-6	Supplier status and exceptional situations
DF6.1-2-4.4/5-6 V1	

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CLARIFICATION ON PART 2 – 4.4 PURCHASING

2.4.4.5-6 Supplier status and exceptional situations

In exceptional situations, where the supplier status is not available, the acceptance procedure of incoming purchased products or purchased services described in 4.4.5 and 4.4.6 shall adequately address the missing status by increased frequency and scope of product testing.

The exceptional situation shall be justified and documented.

If the supplier status is a requirement of a retailer specification, the exceptional situation shall be notified before commissioning.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017

Part 2 – 4.15 Transport

2.4.15 Transport

4.15.7 Where a company hires a third-party transport service provider, all the requirements specified within section 4.15 shall be clearly defined in the respective contract or the service provider shall be subject to IFS Logistics requirements.

> 2.4.15	Transport
> 2.4.15.7 DF6.1-2-4.15/7 V1	Companies working with parcel service providers

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CLARIFICATION ON PART 2 – 4.15 TRANSPORT

2.4.15.7 Companies working with parcel service providers

If the company decides that its products can be sent via parcel service, it shall ensure that the integrity and safety of the product is not compromised during the whole distance and that general terms and conditions are respected. The company shall conduct a risk assessment and conduct controls based on the worst case scenario.

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EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017

Part 2 – 5.2 Factory site inspections

2.5.2 Factory site inspections

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

- > 2.5.2 Factory site inspections
- > 2.5.2.1 Clarification about the scope of the site inspections in relation to the Food Defense Plan
DF6.1-2-5.2/1 V1

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CLARIFICATION ON PART 2 – 5.2 SITE FACTORY INSPECTIONS

2.5.2.1 Clarification about the scope of the site inspections in relation to the Food Defense Plan

The site inspections shall cover the operational aspects of personnel hygiene, hygiene of the process, the HACCP system and product defense. Including the evaluation of the control measures, in addition to the infrastructure of the site.

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EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

PART 2 – 6. Food defense plan and external inspections

2.6.1.3 Defense assessment

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

2.6.4.1 External inspections

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

- > 2.6 Food defense plan and external inspections
- > 2.6.1 Clarification about the (non) applicability of requirements 6.1.3 and 6.4.1
DF6.1-2-6.1/1 V1

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CLARIFICATION ON PART 2 – 6. FOOD DEFENSE PLAN AND EXTERNAL INSPECTIONS

2.6.1.3 Defense assessment

IFS Food 6.1 Standard: “If legislation makes registration or onsite inspections necessary, evidence shall be provided.”

IFS Food defense Guidelines: “This requirement is not applicable if no legislation exists in the country where the audit is done and where the products are sold.”

Clarification: “This requirement is not applicable if no food defense legislation exists in the country where the audit is done and where the products are sold.”

2.6.4.1 External inspections

IFS Food 6.1 Standard: “A documented procedure shall exist for managing external inspections and regulatory visits. Relevant personnel shall be trained to execute the procedure.”

IFS Food defense Guidelines: “This requirement is not applicable if no legislation exists in the country where the audit takes place which requires external inspections and/or regulatory visits or if the company doesn’t export to the US and no FDA inspection is required.”

Clarification: This requirement is not applicable if no food defense legislation exists in the country where the audit takes place which requires external food defense inspections and/or regulatory food defense visits, or if the company doesn’t export to the US and no FDA food defense inspection is required.”

As a result, food safety inspections which are performed by authorities are not involved in this requirement.

CLARIFICATION ON PART 2 – ANNEX 2, REQUIREMENT 5.3.1

PART 2 – ANNEX 2: Compulsory information to be added by the auditor

2 ANNEX 2

2.5.3.1 Process validation and control

In the requirement 5.3.1, the auditor shall describe which environmental monitoring parameters and their limits that have been defined by the company based on a risk assessment.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

PART 3 – 3. Requirements for IFS Auditors

3.3.1 Requirements before applying for the IFS examinations

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

- They shall have signed a contract with the certification body (see topic 6.1.3 of ISO/IEC 17065 norm).
- They shall have participated at the IFS in-house course organised by the certification body or the equivalent IFS training provided by IFS.
- They shall have submitted all the relevant information about their competence to the certification body.
- The certification body shall have observed and confirmed the professional qualification and competence of the auditors.

> **3.3.1** Requirements before applying for the IFS examinations

> **3.3.1.1** Additional approach for non-exclusive auditors
DF6.1-3-3.1/1 V1

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CLARIFICATION ON PART 3 – 3.1 REQUIREMENTS BEFORE APPLYING FOR THE IFS EXAMINATIONS

3.3.1.1 Additional approach for non-exclusive auditors

It is possible for applicants to apply directly to IFS for IFS examinations. The applicant has to fulfill all requirements as laid down in part 3 of the Food standard version 6.1.

The CV has to be handed in with all confirmed information via the online registration tool. IFS is responsible for checking the CV to confirm the registration including the confirmed scopes.

After having passed the written and oral exam, the auditor can apply to certification bodies and can work for more than one CB. For these auditors, the CB shall check and confirm the CV in the database.

Once the first witness audit ("initial witness audit") of the auditor is confirmed to IFS by the CB, the auditor will be activated by IFS as an approved IFS Food auditor.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

3.3.2 General requirements for auditors when applying for IFS examinations

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

a) Education in the food sector

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

or

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

or

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

or

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

b) General audit experience

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

// 3.3.2 General requirements for auditors when applying for IFS examinations

c) Food hygiene (including HACCP) training

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

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

Duration: one week/40 hours or equivalent.

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

[...]

g) IFS in-house training

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

[...]

> 3.3.2	General requirements for auditors when applying for IFS examinations
> 3.3.2.1 DF6.1-3-3.2/1 V1	Which evidence should be provided, to be approved for languages other than the native language?
> 3.3.2.2 DF6.1-3-3.2/2 V1	Specific training program for "Auditors in Progress (AIP)"
> 3.3.2.3 DF6.1-3-3.2/3 V2	Auditor qualification: product and technology scope
> 3.3.2.4 DF6.1-3-3.2/4 V2	IFS in-house training
> 3.3.2.5 DF6.1-3-3.2/5 V1	IFS in-house conversion training for IFS Food version 7

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CLARIFICATION ON PART 3 – 3.2 GENERAL REQUIREMENTS FOR AUDITORS WHEN APPLYING FOR IFS EXAMINATIONS

3.3.2.1 Which evidence should be provided, to be approved for languages other than the native language?

The following evidence is accepted by the IFS offices to validate another language on the auditor's CV:

- Acceptance of language certificates comparable to the CEFR (Common European Framework of Reference for Languages) level B2 and higher

or

- 2 years work experience in the food sector in the respective country

or

- At least 10 performed audits in the respective language of the country (trainee audits are not accepted) that includes writing reports in this language without a translator

or

- For initial approval only: without translator. For receiving the auditor approval in the respective language, attendance at the oral exam.

CLARIFICATION ON PART 3 – 3.2 GENERAL REQUIREMENTS FOR AUDITORS WHEN APPLYING FOR IFS EXAMINATIONS

3.3.2.2 Specific training program for “Auditors in Progress (AIP)”

The requirements and conditions of the respective IFS Standards Food 6.1, Logistics 2.2 and Broker 2, part 3, chapter 3, must be generally met by every certification body and auditor.

If an auditor has no auditing experience, a new adaption of topic 3.2 b) of the IFS Food Standard 6.1 is possible if the candidate meets the requirements of 3.2 a).

In this case, the trainee can attend the exam session before participating in an adapted program for gaining audit experience.

The other rules for auditors in the Standards are not affected and shall be fulfilled.

Please note: The supervising lead auditor and observer who is witnessing the AIP during the auditing part of the program and the AIP, shall be a member of the same CB. This ensures that the improvement of the AIP can be followed up.

Step 1: Curriculum Vitae and further qualification

A complete CV (based on IFS Auditor CV template) shall be sent to IFS. Information concerning education, work experience (product scope competences), food hygiene training (including HACCP) and training of auditing techniques shall be provided.

Step 2: Exams

After the written and oral exams are passed, the candidate becomes an “IFS auditor in progress”.

Step 3: Auditing experience 9+1

The AIP must participate in 6 audits of any GFSI recognized “post farm” scheme or IFS Global Markets program. The following 3 audits must be IFS certification audits. The 10th audit is the final witness audit, which shall be an IFS certification audit for a product scope of the AIP’s scope approval.

The auditing experience must be gained within the two years following the passed exams.

Read more on next page

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// 3.3.2.2 Specific training program for “Auditors in Progress (AIP)”

The tasks have to be performed in following order:

N° of audits	Tasks	Possible audit types
Audit 1–3	Shadow Observer	GFSI recognized “post farm” scheme or IFS Global Markets Program
Audit 4–6	Active participation in the audits under supervision and responsibility of an experienced lead auditor	GFSI recognized “post farm” scheme or IFS Global Markets Program
Audit 7–9	Active participation in the IFS certification audit under supervision and responsibility of an IFS approved auditor	Any IFS certification audit under supervision of an approved IFS auditor with the fitting scopes.

Audits 1–3 can be performed before attending the IFS exams.

Audits 4–10 can only be performed after passed exams!

The 10th audit is the final witness audit, after audits number 4–9 have been performed.

! The audit team shall not be separated during the audits.

! Audits 1–9 can be counted for scope extensions and can be performed in any product scope.

IFS Global Markets Food assessments can only be accepted if the assessment was conducted at intermediate level or lasted for at least one working day.

For each of these audits under observation, the respective templates for the auditor in progress program shall be provided to IFS. The audit number (1–9) shall be documented in the report (see IFS website: www.ifs-certification.com). All these templates need to be written in English and shall not only include the evaluation grade, but also the descriptive review of the topic. Only one AIP is allowed to attend these training audits at a time.

Step 4: Witness audit in the product and tech scopes of the auditor in progress

The AIP must conduct the 10th audit on their own, witnessed by an experienced IFS approved auditor who has performed at least 10 IFS audits. The rules of witness audits for IFS approved auditors apply (see glossary of IFS respective Standard). The observer witnessing the AIP needs to cover all scopes (product and tech scopes) of the audit, as he has the responsibility for this audit. The report of the witness audit shall be documented in an assessment template provided by IFS (see IFS website: www.ifs-certification.com)

Read more on next page

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// 3.3.2.2 Specific training program for “Auditors in Progress”

The audit scope shall fit with the AIP’s scopes of competencies.

Step 5: Release of “auditor in progress”

If the witness audit was conducted successfully, the certification body will officially release the auditor and inform IFS. The completed CV and respective audit templates shall be sent to IFS and IFS needs to approve and activate the auditor in the database. Only after this activation date is the newly approved IFS auditor allowed to perform IFS audits alone.

CLARIFICATION ON PART 3 – 3.2 GENERAL REQUIREMENTS FOR AUDITORS WHEN APPLYING FOR IFS EXAMINATIONS

3.3.2.3 Auditor qualification: product and technology scope

Clarification:

For product and tech scopes: Audits shall have been carried out in several production sites. No more than 3 audits in the same production sites are accepted. Only one (1) completed audit per site per year is accepted. Two audits are accepted only in the case of two completed IFS audits (e.g. following a failed IFS certification audit) during this year's period.

IFS Global Markets Food assessments can be accepted for scope extension in combination with other recognized audits and with the suitable professional background.

An audit performed in an audit team, can only be used for scope extension, if the team did not separate during the whole audit.

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CLARIFICATION ON PART 3 – 3.2 GENERAL REQUIREMENTS FOR AUDITORS WHEN APPLYING FOR IFS EXAMINATIONS

3.3.2.4 IFS in-house training

The required IFS in-house training can also be fulfilled by the equivalent IFS 2 day training.

The initial In-house training shall be performed within the 12 months prior to the start of the application process (sending CV as completed via auditor portal).

CLARIFICATION ON PART 3 – 3.2 GENERAL REQUIREMENTS FOR AUDITORS WHEN APPLYING FOR IFS EXAMINATIONS

3.3.2.5 IFS in-house conversion training for IFS Food version 7

For IFS Food version 7, the IFS in-house conversion training has been split into a one day CB in-house training and one day online modular course provided by IFS (“IFS Training on product/process approach”). This course is mandatory for all auditors, reviewers and trainers. The one day in-house training shall cover a minimum of the topics which are not marked as optional in the TTT training material.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

3.3.3 IFS examination process

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

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

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

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

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

// 3.3.3 IFS examination process

[...]

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

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

> 3.3.3	IFS examination process
> 3.3.3.1 DF6.1-3-3.3/1 V1	Do certification bodies need to send an updated CV to IFS offices for the re-approval process?
> 3.3.3.2 DF6.1-3-3.3/2 V1	Language of observers during IFS witness audits
> 3.3.3.3 DF6.1-3-3.3/3 V2	Non-exclusive auditor qualification maintenance
> 3.3.3.4 DF6.1-3-3.3/4 V1	Further rules and explanations concerning the non-exclusive approach
> 3.3.3.5 DF6.1-3-3.3/5 V1	IFS yearly in-house training: which form of training is allowed (e.g. webinars, face-to-face training, etc.)
> 3.3.3.6 DF6.1-3-3.3/6 V2	GFSI online written exams

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CLARIFICATION ON PART 3 – 3.3 IFS EXAMINATION PROCESS

3.3.3.1 Do certification bodies need to send an updated CV to IFS offices for the re-approval process?

Yes, certification bodies shall send an updated CV of each auditor to IFS offices when registering for the calibration training course.

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CLARIFICATION ON PART 3 – 3.3 IFS EXAMINATION PROCESS

3.3.3.2 Language of observers during IFS witness audits

During the witness audit, which is performed every 2 years to maintain the auditor approval, the observer shall be approved for the language in which the auditor performs the audit.

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CLARIFICATION ON PART 3 – 3.3 IFS EXAMINATION PROCESS

3.3.3.3 Non-exclusive auditor qualification maintenance

In the case of non-exclusive auditors; they are responsible for maintaining their own IFS approval. The requirements for re-assessment of the auditor's approval are in general the same as for exclusive auditors. For maintenance of approval it is necessary to have participated in a 2 day in-house training with **each** CB and to be monitored by an IFS on-site witness audit at least once every two (2) years by **each** CB that the non-exclusive auditor is approved for. The first on-site witness audit for a CB shall be performed to link the non-exclusive auditor to a CB. This can be any IFS standard audit the non-exclusive auditor is approved for.

CLARIFICATION ON PART 3 – 3.3 IFS EXAMINATION PROCESS

3.3.3.4 Further rules and explanations concerning the non-exclusive approach

The loan agreements for individual audits and IFS-Working-Group Agreements remain generally unchanged, but loan agreements are not possible for non-exclusive auditors.

Each auditor can change their status between exclusive/non-exclusive (and vice versa), and the CBs concerned will be notified automatically by IFS for every switch between exclusive and non-exclusive status.

The program “Auditor in Progress” is only possible for exclusive auditors but not for non-exclusive auditors.

A non-exclusive auditor cannot take over a position of responsibility involving IFS within the CBs (e.g. TTT, person responsible for IFS, contact person for IFS).

In general, these new rules do not imply any changes for auditors who work exclusively with one CB.

CLARIFICATION ON PART 3 – 3.3 IFS EXAMINATION PROCESS

3.3.3.5 IFS yearly in-house training: which form of training is allowed (e.g. webinars, face-to-face training, etc.)

One requirement of IFS Food is the yearly 2-day in-house training of auditors. The purpose is to share experience, calibration and be updated on knowledge of relevant legal requirements.

This 2-day course cannot be performed via webinar. The 2-day course shall include at least one day face-to-face meeting. The other 8 hours of training can be completed either via face-to-face or via webinar, as long as it's related to IFS.

CLARIFICATION ON PART 3 – 3.3 IFS EXAMINATION PROCESS

3.3.3.6 GFSI online written exams

The GFSI knowledge exam will be phased out from now on.

IFS will stop providing any GFSI knowledge exams for candidates as well as for already approved IFS Auditors. The IFS Exam Regulations will be updated accordingly.

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EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017

3.3.4 Scope extension for IFS-approved auditors

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

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

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

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

- > 3.3.4 Scope extension for IFS-approved auditors
- > 3.3.4.1 Additional approach for extension on Product Scopes 3, 7 and 11
DF6.1-3-3.4/1 V2

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CLARIFICATION ON PART 3 – 3.4 SCOPE EXTENSION FOR IFS APPROVED AUDITORS

3.3.4.1 Additional approach for extension on Product Scopes 3, 7 and 11

In addition to the already existing rule for scope extension for IFS Food approved auditors, there is a second approach available from 01.06.2019. This option only applies to scope extensions for product scopes 3, 7 and 11.

When applying for a scope extension for one of these products scopes (3, 7 or 11), the auditor shall either fulfil the requirement for the general approach as laid down in the IFS Food standard V6.1, Part 3 Point 3.4 or fulfill all of the following four (4) requirements:

Requirement	Product Scope 3 (Egg & egg products)	Product Scope 7 (Combined products)	Product Scope 11 (Pet food)
Approval for other product scopes as prerequisite	one product scope from PS 1, 2 or 4 (1 animal scope)	one product scope from PS 1 to 4 + 1 additional scope from PS 1 to 6	one product scope from PS 1 to 4 + 1 additional scope from PS 1 to 6
Audit experience	> 10 complete IFS Food Certification Audits in any product scope(s) (performed as lead or co-auditor)		
Training	Participation in a CB internal training specific for the product scope (face-to-face training)		
Witness Audit	Witnessing by CB at first audit for the new product scope; the witness auditor has to be approved for the product scope the auditor is witnessed for (this can be used as the obligatory monitoring witness audit)		

For the application: the IFS Excel CV document for scope extension needs to be filled out and sent to the IFS auditor management after the witness audit has been performed and the witness audit report has been uploaded in the online CV of the applying auditor in the auditor portal. The auditor whose approval has been extended shall be named as the lead auditor in the final audit report.

This needs to be done before the upload of the audit report.

Evidence of the successful training participation shall be made available to IFS on request.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

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

4.1.1 Audit overview

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

Audit details

The cover page of the audit report shall include:

- name and address of the certification body
- the logo of the certification body
- the certification body's accreditation details
- name of the audited company or site
- date of the audit.

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

- name and address of the audited site
- name and address of the company (if headquarters)
- EAN. UCC Global Location Number, if available
- EU-Veterinary number, when applicable
- COID, as defined in the IFS portal
- audit date (in case of a follow up audit the date of the follow up audit shall additionally be defined)
- time of the audit
- previous audit date the name of the certification body and the auditor who performed the previous audit
- details of the version of the Standard
- audit scope (mandatory detailed descriptions of processes/products).

The audit scope shall always be translated as well in English language

- codes/numbers of product and technology scopes
- list of key personnel of company and, if applicable consultant present at audit
- name of the lead auditor

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// 4.1.1 Audit overview

- if applicable additional name of the co-auditor
- if applicable name of the auditor trainee
- if applicable, name of the observer for this audit
- if applicable, name of the translator for this audit
- result of the audit (in case of a follow up audit, to specify that a follow up audit has taken place and that the Major non-conformity has been solved)
- company profile: general information about the company (number of employees, size, structure, detailed activities of the company etc.), with compulsory fields (see Annex 2, Part 2). In particular, detailed activity of the company (all processing steps, processes, if there are subcontracted activities, trade products, etc.) shall be described in order to identify all processes and processing steps related to technology scopes. Parts of the company profile have to be additionally described in English, if the company profile is written in a different language from English (see Annex 2, Part 2)
- further explanations regarding scoring and frequency
- below the company profile: name of the person in charge of assessing the report (reviewer).
- Compulsory remarks and mandatory translation into English of detailed activity of the company including all processing steps as described in Annex 2 of Part 2.
- Explanations of the reason for modifying audit duration, if different than audit duration as calculated by the calculation tool.

> 4.1.1	Audit overview
> 4.1.1.1 DF6.1-4-1.1/1 V2	New compulsory formats in the IFS audit software and the IFS Audit Report
> 4.1.1.2 DF6.1-4-1.1/2 V1	Outsourced processes and/or products
> 4.1.1.3 DF6.1-4-1.1/3 V1	Product scope/processes matrix and product scopes and subsopes
> 4.1.1.4 DF6.1-4-1.1/4 V1	GMO
> 4.1.1.5 DF6.1-4-1.1/5 V1	Allergens
> 4.1.1.6 DF6.1-4-1.1/6 V1	Food Fraud
> 4.1.1.7 DF6.1-4-1.1/7 V1	Recalls/withdrawals

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CLARIFICATION ON PART 4 – 1.1 AUDIT OVERVIEW

4.1.1.1 New compulsory formats in the IFS audit software and the IFS Audit Report

Modifications in the software, the manual upload and the resulting audit report for a transparent and easily understandable overview of a company's status, activities and processes.

In the new format, additional details for the corresponding data shall or can—depending on the compulsory field information request—be given in the connected text fields.

Additional Audit Data

Some of the compulsory information fields about the year of construction, the number of shifts, total number of employees, the contact person in case of emergency and the site area of the plant in square meters, appear in a new format. In the future this will be included in the audit profile box in the report.

Company profile	
Product groups and products per group produced in the company:	
Product Scope 1	
Product Scope 2	
Reviewer:	

Audit data	
Outsourced processes and/or products	
Outsourced processes and/or products:	yes
Outsourced processes explanation:	
Number of subcontractors:	
Additional audit data	
Total number of employees:	110
Name and contact data (phone, fax, email...) of the contact person in case of emergency:	TestTestname, Nr.111111, Fax 222222, test@testname.com
Site area of the plant in square meters:	111111

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CLARIFICATION ON PART 4 – 1.1 AUDIT OVERVIEW

4.1.1.2 Outsourced processes and/or products

The compulsory information field regarding outsourced processes and/or products from the report section “company profile” appears in a new format and includes additional information about the certification status of the sub-contractors. In the case they are IFS certified, the COID of the sub-contractors must be listed.

Note: currently there is an additional field in the report but it will be included into the audit profile box in the report in future.

Company profile	
Product groups and products per group produced in the company:	
Product Scope 1	
Product Scope 2	
Reviewer:	

Audit data	
Outsourced processes and/or products	
Outsourced processes and/or products:	yes
Outsourced processes explanation:	
Number of subcontractors:	
Additional audit data	
Total number of employees:	
Name and contact data (phone, fax, email...) of the contact person in case of emergency:	
Site area of the plant in square meters:	

CLARIFICATION ON PART 4 – 1.1 AUDIT OVERVIEW

4.1.1.3 Product scope/processes matrix and product scopes and subsopes

The detailed overview about the combination of product scopes and processing steps is included in the audit report in table format under the section "Scope of Audit". The audit scopes are generated from this matrix.

A tick for processing (in form of P steps) related to each product scope is mandatory but will not influence the audit time calculation in case of double ticks for p steps.

Audit report view

		Scopes and processing steps										
		1	2	3	4	5	6	7	8	9	10	11
A	P1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
B	P2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C	P3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C	P4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
C	P5	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D	P6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
D	P7	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E	P8	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E	P9	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E	P10	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F	P11	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F	P12	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
F	P13	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

* The explanation of the product scopes and processing steps are listed separately

In addition to the information about processed product groups and specific products of the site, the products are categorized into more specific product categories (subscopes). Here a list is provided and the most fitting product subsopes shall be chosen. Since the list of subsopes is not exhaustive, the products relevant for a company can also be mentioned under "others".

In the IFS audit report, the subscope is mentioned in the company profile.

CLARIFICATION ON PART 4 – 1.1 AUDIT OVERVIEW

4.1.1.4 GMO

The compulsory information field about GMO for IFS Food checklist requirement 4.19.1 appears in a new format with a tick for “Yes” or “No”. Additional information can be found in the text of the checklist field.

Audit Report view

Nr.	Reference	IFS requirements	Evaluation	Explanation
271	4.18.7	If required by customer, identified samples representative for the manufacturing lot shall be stored appropriately and kept until expiration of the “Use by” or “Best before date” of the finished product and if necessary for a determined period beyond this date.		
272	4.19	Genetically modified organisms (GMOs)		
273	4.19.1	For products being delivered to customers and/or countries with GMO requirements, the company shall have in place systems and procedures to allow the identification of products consisting of GMOs, containing GMOs or produced from GMOs, including food ingredients, additives and flavouring(s).		Is the company working with products consisting of GMOs, containing GMOs or produced from GMOs? : yes
274	4.19.2	Raw material specifications and delivery documents identifying products consisting of, being made from, or containing GMOs shall be available. The assurances concerning the GMO status of		

CLARIFICATION ON PART 4 – 1.1 AUDIT OVERVIEW

4.1.1.5 Allergens

The compulsory information field about allergens for the IFS Food checklist requirement now appears as a list under the question “Which allergens are present?”. All allergens present shall be marked in the relevant tick box (by ticking or by listing “others”) on the software. Details (concerned areas, lines, amounts, etc.) can be provided but further compulsory information shall be provided as text.

Note: selection of allergens shall be based on the country of sale of the finished products on the day of the audit.

Audit Report view

Nr.	Reference	IFS requirements	Evaluation	Explanation
276	4.19.4	Finished products containing GMOs or labelled as not containing GMOs shall be declared in accordance with current legal requirements. Delivery documents shall include the corresponding reference to GMOs.		
277	4.19.5	Customer requirements concerning the GMO status of products shall be clearly implemented by the company.		
278	4.20	Allergens and specific conditions of production		
279	4.20.1	Raw material specifications identifying allergens requiring declaration that are relevant to the country of sale of the finished product shall be available. The company shall maintain a continuously up to date listing of all raw materials containing allergens used at its premises, which also identifies all blends and formulas to which such raw materials containing allergens are added.		Present allergens: Non-EU Nuts
280	4.20.2	Based on hazard analysis and assessment of associated risk, control measures shall be in		

CLARIFICATION ON PART 4 – 1.1 AUDIT OVERVIEW

4.1.1.6 Food Fraud

All Food Fraud-susceptible raw material groups/product groups identified by the company which are considered in the Food Fraud mitigation plan, shall be mentioned here. In this table, only evidence found by the company shall be entered, the judgement of the auditor is written directly on the checklist.

No auditor comments concerning the ratings shall be mentioned in this section.

The compulsory information field about Food Fraud on the IFS Food checklist requirement 4.21.1 appears as a "YES" or "NO" check box.

In the case of "YES" a selection list will appear. Materials identified by the company have to be ticked in the column "selection". If necessary, further subentries in the list shall be identified as susceptible material by the company. For each entry, further details need to be entered as text.

Additionally, the reason for having the material groups/product groups identified for each aforementioned Food Fraud susceptible raw material/product groups shall be given. The product risk factors and supplier risk factors shall be considered for the above declared Food Fraud susceptible raw material/product groups.

Audit Report view

283	4.21	Food Fraud		
284	4.21.1	A documented food fraud vulnerability assessment shall be undertaken on all raw materials, ingredients, packaging and outsourced processes, to determine the risk of fraudulent activity in relation to substitution, mislabelling, adulteration or counterfeiting. The criteria considered within the vulnerability assessment shall be defined.		Fraud-susceptible raw materials/products identified in the vulnerability assessment Fish
285	4.21.2	A documented food fraud mitigation plan shall be developed, with reference to the vulnerability assessment, and implemented to control any identified risk. The methods of control and monitoring shall be defined and implemented.		
286	4.21.3	In the event of increased risk,		

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CLARIFICATION ON PART 4 – 1.1 AUDIT OVERVIEW

4.1.1.7 Recalls/withdrawals

For the compulsory information field about recalls/withdrawals for IFS Food checklist requirement 5.9.2, there are two mandatory fields where a number is to be entered. Text cannot be added. This information reflects the number of withdrawals and recalls performed since the last audit.

Additional information shall be inserted in the text of the checklist field.

Audit Report view

Nr.	Reference	IFS requirements	Evaluation	Explanation
332	5.9.2 KO	KO N° 9: There shall be an effective procedure for the withdrawal and recall of all products, which ensures that involved customers are informed, as soon as possible. This procedure shall include a clear assignment of responsibilities.		How many recalls have been performed since the last audit: 1 How many withdrawals have been performed since the last audit: 2
333	5.9.3	Updated emergency contact details (such as names and phone numbers of suppliers, customers and competent		

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

PART 4 – Reporting, auditXpress™ Software and IFS Audit Portal

4.1.4 Minimum requirements for IFS certificate (Annex 4)

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

- the name and address of the certification body, including its logo
- the logo of the accreditation body or its name and registration number; the logo of accreditation body shall be used in conformity with accreditation body's rules
- the name and address of the audited company
- the COID, as defined in the IFS portal
- if the company is a subsidiary, the name of the company's headquarters
- where applicable, the packing code and the veterinary agreement number
- audit scope (with mandatory detailed descriptions of processes/products). The audit scope shall always be translated as well into English language
- name and number of product scope(s)
- code/number of technology scopes
- level achieved
- audit score in percentage, if required by the customer or by the audited company
- date of audit (last day of audit)
- date of follow up audit if relevant
- next audit to be performed within the time period
- certificate issue date
- certificate expiry date, i.e. 12 months after the date of issue the certificate (the certificate validity date shall remain the same each year as described in the audit protocol, Part 1)
- place and date of signature

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// 4.1.4 Minimum requirements for IFS certificate (Annex 4)

- name and signature of the certification body's person(s) responsible for the certification decision as described in Part 3 of the Standard
- IFS Food logo
- QR-code with the information about COID, standard and day of issuing the certificate (The QR-code will be generated automatically when the new IFS report is uploaded.).

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

> 4.1.4	Minimum requirements for IFS certificate (Annex 4)
> 4.1.4.1 DF6.1-4-1.4/1 V1	Sentence to be written on the announced certificate when the company has not yet decided on an announced or unannounced audit for the following year.
> 4.1.4.2 DF6.1-4-1.4/2 V2	How is the COID managed for companies with different legal entities?
> 4.1.4.3 DF6.1-4-1.4/3 V1	Indication of date of the last unannounced audit conducted

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CLARIFICATION ON PART 4 – 1.4 MINIMUM REQUIREMENTS FOR IFS CERTIFICATE (ANNEX 4)

4.1.4.1 Sentence to be written on the announced certificate when the company has not yet decided on an announced or unannounced audit for the following year.

What shall be written on the announced certificate in the following case: the CB is about to issue the certificate for the present year's audit, but the company has not decided between an announced or unannounced audit for the following year.

The same sentence used for unannounced certificate templates can be chosen by the CB agreed with the company: "Next audit between XX.XX and XX.XX or unannounced" can be written both on the first page of the audit report and on the certificate.

CLARIFICATION ON PART 4 – 1.4 MINIMUM REQUIREMENTS FOR IFS CERTIFICATE (ANNEX 4)

4.1.4.2 How is the COID managed for companies with different legal entities?

New company address and/or different name, same employees, same equipment, same processes:

- Change of COID because it is a different site.
- The first audit to be performed at the new site is an initial audit. Therefore, the rule regarding 3 consecutive audits by the same auditor doesn't apply.
- The certification body shall decide whether the certificate of the « old » site shall be suspended as soon as the production stops. It is recommended that the action plan of the « old » site is checked by the auditor especially in case there were any food safety and quality management system deviation(s) and non-conformity/ies.

Same company name, same address, new management (new owner), same equipment, same process:

- non change of COID, the CB shall perform a risk assessment and assess whether it is necessary to perform a "control-audit" to ensure that the current certificate is still valid.

CLARIFICATION ON PART 4 – 1.4 MINIMUM REQUIREMENTS FOR IFS CERTIFICATE (ANNEX 4)

4.1.4.3 Indication of date of the last unannounced audit conducted

In connection to doctrine rule DF6.1-5-0.1/1 V1, the certificate shall also include the date of the last audit conducted unannounced (last day of the audit).

If no unannounced IFS Food audit has been conducted for the respective company/ COID or any other GFSI recognized Standard, yet, the certificate shall indicate the following: "Last audit conducted unannounced: n/a".

These information shall be added manually by the certification body.

This rule is applicable for all certification audits starting off 1st January 2021.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

PART 5 – Audit protocol for unannounced audits

5.0.1 Unannounced audit protocol

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

- IFS Food announced audit (option “Announced”): the requirements defined in the current audit protocol of IFS Food Standard apply.
- IFS Food unannounced audit (option “Unannounced”): the information below described the requirements which will apply. This option involves a full unannounced audit against the audit checklist of the IFS Food requirements, which replaces the yearly scheduled audit. The audit date shall not be notified to the company in advance of the audit.

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

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

> 5.0.1	Unannounced audit protocol
> 5.0.1.1 DF6.1-5-0.1/1 V1	Mandatory application of the unannounced option once every three years

CLARIFICATION ON PART 5 – 0.1 UNANNOUNCED AUDIT PROTOCOL

5.0.1.1 Mandatory application of the unannounced option once every three years

The option “unannounced” shall be mandatory chosen at least once every third certification audit.

Based on this rule, in the case the certification cycle is interrupted where an unannounced audit was due, the next certification audit (= initial audit) has to be conducted unannounced as well.

This rule applies in the case the company (COID) is changing its certification body or in case the company was formally certified against any other GFSI recognized Standard and in the case of different IFS Standards, it counts separately.

This rule is applicable for all certification audits starting off 1st January 2021.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

5.1.1 Timeframe for the unannounced audit registration

To get registered for an unannounced audit, the company shall notify its certification body at latest before the start of audit time window (see below). This applies both to companies keeping the same certification body and those changing certification body. The registration date shall be stated in the contract between the certification body and the company. Note: if the company does not inform the certification body before the start of audit time window, the option "Unannounced" cannot be chosen. As the date of the audit shall not be made known to the company, the expected date shall not be communicated by the certification body in the diary function of the IFS audit portal. The certification body shall tick the box "Unannounced audit" in the IFS audit portal. When the audit has been performed, the certification body shall provide the audit dates in the portal, at latest 2 working days after the first audit day. This will ensure that the portal users are informed that the audit has taken place and that the certification process is on-going.

- > 5.1.1 Timeframe for the unannounced audit registration
- > 5.1.1.1 Unannounced audit registration with option 2
DF6.1-5-1.1/1 V1

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CLARIFICATION ON PART 5 – 1.1 TIMEFRAME FOR REGISTRATION FOR AN UNANNOUNCED AUDIT

5.1.1.1 Unannounced audit registration with option 2

In exceptional cases where there is a need to align with other standards in case of combined audits, the option 2 can be chosen for the unannounced audit registration. With option 2 it is possible to postpone or move the audit time frame forward. Based on the new time frame, the validity of the next certificate will change. With option 2 the certificate validity can be shorter in comparison with option 1 (first day of the individual chosen period + 8 weeks - 1 day + 1 year). Therefore, certification bodies and suppliers should discuss possible certification gaps before the registration.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

5.1.4.1 Specific audit process for multisite location companies with central management

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

- The central managing site—headquarters—shall be audited announced or unannounced. The audit shall always take place before the audit of each production site and shall be performed before the start of the unannounced audit time window of the production site audits.
- The production sites shall be audited unannounced.
- The audit of headquarters (announced or unannounced) and the unannounced audit of the production site(s) shall not be performed during consecutive days (e.g. if the head-quarter is located within one of the production sites, there shall be 2 different audits: an announced or unannounced audit for the centrally organized processes and an unannounced audit for the production site.)
- All audits, including headquarters', shall be performed within a maximum timeframe of 1 year.

> 5.1.4.1	Specific audit process for multisite location companies with central management
> 5.1.4.1.1 DF6.1-5-1.4.1/1 V1	Which Food standard is to be applied to companies with multisite locations?

CLARIFICATION ON PART 5 – 1.4.1 SPECIFIC AUDIT PROCESS FOR MULTI-SITE LOCATIONS COMPANIES WITH CENTRAL MANAGEMENT

5.1.4.1.1 Which Food standard is to be applied to companies with multi-site locations?

If the audit of the central managing site is performed before the 1st July 2018 and a related production site undergoes an unannounced audit with a time window starting from 1st July 2018, then the new and updated requirements of IFS Food version 6.1 must be evaluated during this site audit.

EXTRACT FROM THE IFS FOOD V6.1, NOVEMBER 2017:

PART 5 – Audit protocol for unannounced audits

5.5 Conditions for issuing audit report and certificate

The same requirements as for announced audits (part 1, chapter 5.8) apply for issuing the certificate.

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

- | | |
|---------------------------|---|
| > 5.5 | Conditions for issuing audit report and certificate |
| > 5.5.1
DF6.1-5-5/1 V1 | How to handle the follow-up audit in the unannounced certification process? |
| > 5.5.2
DF6.1-5-5/2 V1 | Can a CB perform an unannounced audit after a failed unannounced audit? |

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CLARIFICATION ON PART 5 – 5 CONDITIONS FOR ISSUING AUDIT REPORT AND CERTIFICATE

5.5.1 How to handle the follow-up audit in the unannounced certification process?

In cases where a Major and total score $\geq 75\%$ has been rated during an unannounced audit, the follow-up audit shall be announced.

In the case of a successful follow-up audit after an unannounced audit, the certificate and report can state "unannounced audit". In such a case, the CB has to change the certificate and report to "unannounced" manually.

CLARIFICATION ON PART 5 – 5 CONDITIONS FOR ISSUING AUDIT REPORT AND CERTIFICATE

5.5.2 Can a CB perform an unannounced audit after a failed unannounced audit

No, the audit following a failed audit shall be announced.

It is in the interest of all stakeholders to obtain the new certification as soon as possible. The time window for the unannounced audit is 16 weeks (+ 2 weeks) and the unannounced principle allows that the audit can be conducted at the end of this time window. As a result the company could be without a certificate for more than 5 months (following the certification process steps).

The risk that some of their suppliers may not be certified for a long timeframe is not acceptable for stakeholders.

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