IFS
HPC

IFS HPC Doctrine

ENGLISH

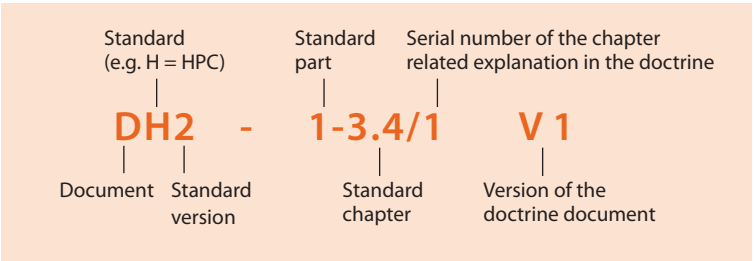
Foreword

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

All explanations and decisions in 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 is named and the first three figures indicate which document is being referred to. In the example below, the first letter stands for Doctrine HPC (H), and the number 2 for the Standard version. The second section of the name specifies the part of the Standard to which the document refers. (The IFS HPC Standard is divided into different parts which continue to be subdivided into different chapters.) The third section indicates the chapter of the Standard and the number after the forward slash marks the number of the explanation in the doctrine itself.

E.g. DH2-1-3.4/1 V 1 means the document is the first IFS HPC doctrine explanation which refers to the chapter 3.4 in the first part of the IFS HPC version 2.



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 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 modification.

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

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PART 1 – 4 Type of audits

1.4.4 Extension audit

In specific situations, such as where new products and/or processes are to be included in the audit scope between two certification audits or each time the audit scope would need to be updated on the certificate, then, for an IFS HPC certified company, it is not necessary to perform a full audit, but to organize an on-site extension audit during the validity period of the existing certificate.

If this is required, the certified company shall immediately inform its certification body, who shall perform a risk assessment to decide whether an extension audit should be performed or not. The result of this risk assessment is based on hygiene and safety risks and shall be documented.

The certification body is responsible for determining relevant requirements to be audited and audit duration. The report of this extension audit shall be represented as an annex to the current audit report. Conditions for passing the extension audit (relative score ≥ 75 %) are the same as any other audit, but will only be focused on specific requirements which have been audited.

- If the extension audit demonstrates compliance, the certificate shall be updated with the new scope and uploaded in the IFS database (the original audit score does not change). The updated certificate shall keep the same due date of end of validity as the current certificate.
- If the relative score is < 75 %, the extension audit is failed and it is not possible to update the certificate with the extended products/processes.
- In the event that 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 sections 6.8.1 and 6.8.2.

> **1.4.4**	**Extension audit**
> **1.4.4.1** DH2-1-4.4/1 V 1	When an extension audit has been performed how is the renewal audit managed during the following year?
> **1.4.4.2** DH2-1-4.4/2 V 1	In which other situations should an extension audit be performed?

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CLARIFICATION ON PART 1 – 4 TYPE OF AUDITS

1.4.4.1 When an extension audit has been performed, how is the renewal audit managed during the following year?

In the renewal audit, all IFS HPC requirements shall be audited by the auditor. This shall also include the activity which had been audited during the extension audit (all in one certificate).

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CLARIFICATION ON PART 1 – 4 TYPE OF AUDITS

1.4.4.2 In which other situations should an extension audit be performed?

Extension audits shall be performed to observe processes which were not functioning 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 running during the audit.

Therefore, an extension audit shall be performed as long as the Risk assessment study (and especially the CCP´s) and/or products are different from the one(s) audited during the main audit.

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CLARIFICATION ON PART 1 – 4 TYPE OF AUDITS

1.5.1.1 Scopes of IFS HPC Standard

Clarification on scope 3: daily use household products

From the date of publication of this updated version of the IFS HPC Doctrine, non-disposable utensils made of stainless steel will also be included under scope 3 of the IFS HPC Standard.

This new addition broadens the current scope with a prominent focus on food contact material.

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CLARIFICATION ON PART 1 – 4 TYPE OF AUDITS

1.5.1.2 Clarification on coverage of the Standard: industrial and professional HPC products

Products for **industrial use** are products intended to be used as raw materials for further transformation or processing at other industrial sites to form a final product.

E.g. jumbo paper reels that are further transformed to produce a final product like napkins or toilet paper.

Plastic films sheets made of polyethylene, PVC, etc. that will be processed to ultimately form plastic bags.

These products are out of scope of the IFS HPC Standard.

Products for **professional use** are defined as products sold to a professional user as a final product (including labeling). They are applied by professional users. Often, these professional users have to be duly trained to handle these products.

E.g. detergents used for cleaning activities in different industries. Dyes used at hairdressers that are applied by a professional user.

These products are included within the scope of the IFS HPC Standard.

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PART 1 – 5 Coverage of the Standard and scope of the audit

1.5.2 Scope of the audit

The IFS HPC audit scope shall be defined according to the following requirements:

- it shall be 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 scope will also be reviewed by the auditor during the opening meeting of the audit,
- it shall include the complete activity of the company (i.e. the same kind of production on several lines for products under supplier brands and private labels) and not only the production line(s) for private labels,
- the audit shall take place when products of the audit scope are being processed. For example, it is not possible to include in the scope of the IFS HPC certification production lines of the audited site which are not operating during the audit, unless those production lines involve the same risk assessment study and the same products and scopes as the lines which are audited when operating. If, during the audit, some lines are not operating at the audited site and involve different risk assessment study(ies), product(s) and scope(s), the auditor can ask the company to run the production line(s) later during the first audit day or the following audit day(s), so that the line(s) is/are assessed later during the audit. If this is not possible for the company to run the production line(s) during the audit, the auditor shall come back to audit the line(s) when operating, during an extension audit (in case the company wants to include those products under the current certificate and/or if exclusion is not possible),
- production process exclusions are not allowed. If, under exceptional cases, the company would like to exclude specific products from the audit scope, the certification body may allow it if the contamination risk between included and excluded products is properly controlled (and verified by the certification body/auditor). If documented and justified, the exclusion shall always be specified on the certificate and in the company profile of the audit report,

// 1.5.2 Scope of the audit

- the audit shall be "product" and "site" specific. Where decentralized 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 owned by the company shall also be included in the audit. Full details shall be documented within the company profile in the IFS audit report,
- in case of outsourced processes, the certification body shall be made fully aware of such arrangements. It shall clearly be described and specified in the report and on the certificate. Furthermore, a specific requirements within the checklist shall be assessed by the auditor when auditing the production site being audited.

  Auditing of multi-location companies with central management (audit management, audit duration, certification process, etc.)

  A managing site having processing activities shall be audited and subjected to own IFS HPC report and certificate.

  A managing site not having processing activities may be audited but cannot be subjected to an IFS HPC report and certificate. If a company has several production sites and a nonprocessing managing site where defined processes are centrally organised (e.g. purchasing, personnel management, complaint management), the certification body shall ensure that during the audit of the production sites, all necessary information from the managing site is available and can be assessed. This can be ensured either by an audit of the managing site or by other means (e.g. a representative of the managing site should attend at the audit(s) of the production site(s), managing site documents could be checked onsite at production sites, etc.). This shall be defined by the certification body, based on information provided by the company.

If the certification body decides performing an audit of the managing site:

- audit duration of each production site may be decreased by a maximum of half a day (as related requirements would have been already audited at the managing site),
- relevant audit requirements outcome shall be considered in the audit reports of each production site,
- the audit of the managing site shall always take place before the audit of each production site,

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// 1.5.2 Scope of the audit

- each production site shall be audited separately in a period of maximum 12 months after the managing site and shall have its own report and certificate,
- 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 stated; the audit date of managing site is not additionally necessary,
- in the event that a Major nonconformity or a KO scored with D has been issued during the audit of the managing site, all audited production sites are also affected and the certificates of these sites shall be suspended. After a successful audit of the managing site (or after positive followup after a Major was issued in the central managing site), the certificates of the production sites can be reinstated. Depending upon the nonconformity that has been issued at the managing site, a new audit of the production sites may also be necessary.

> 1.5.2	Scope of the audit
> 1.5.2.1 DH2-1-5.2/1 V 1	What are the rules for accepting exclusions in the audit scope, as exclusions should be managed "under exceptional circumstances"?
> 1.5.2.2 DH2-1-5.2/2 V 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?
> 1.5.2.3 DH2-1-5.2/3 V 1	How are outsourced processes managed in IFS HPC version 2?
> 1.5.2.4 DH2-1-5.2/4 V 1	What is the definition of traded products and can those be included in the scope of an IFS HPC audit?
> 1.5.2.5 DH2-1-5.2/5 V 1	Decision tree for product exclusion

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CLARIFICATION ON PART 1 – 5.2 SCOPE OF THE AUDIT

1.5.2.1 What are the IFS rules for accepting exclusions in the audit scope, as exclusions should be possible "under exceptional circumstances"?

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

In general, 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 group exclusions. The certification body may allow it, if the contamination risk between the included and excluded products is properly controlled (and verified by the certification body/auditor).

If documented and justified, the exclusion shall always be specified on the certificate and in the company profile of the audit report.

Please note that it is not possible to exclude retailer brands from the scope of the audit.

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CLARIFICATION ON PART 1 – 5.2 SCOPE OF THE AUDIT

1.5.2.2 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 on-site audit?

If there is objective evidence that the deviation first noticed at the central managing site has been completely 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 completely checked 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 allows the deviation to be closed shall be made during the audit of all production sites.
- The auditor needs time to check the implementation of corrective actions at the central managing site for the previously noticed deviation. More than likely a full reduction of audit time (0,5 days) would no longer be applicable (as would normally be possible in this audit situation). This decision is the responsibility of the certification body.

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CLARIFICATION ON PART 1 – 5.2 SCOPE OF THE AUDIT

1.5.2.3 How are outsourced processes managed in IFS HPC version 2?

If a production site (being IFS certified) outsources parts or all of its production processes/steps, including packaging and labelling, to a third party, the requirements of chapter 4.4.8 shall be assessed and the following rules apply:

- IFS certificate: the following sentence shall be added beneath the description of products and processes: "Besides own production, company has outsourced processes and/or products."
- IFS audit report: detailed explanation about these outsourced activities shall be provided in the company profile and on the overall summary of the audit report.

Additional time to assess these activities might be necessary, thus the total audit duration could increase.

The rules of outsourcing apply for both retailer branded products and company branded products. When the retailer branded products are outsourced completely, exclusion is not possible and it shall be assessed through the respective chapter 4.4.8. If requirements for outsourced processes and/or products are not respected, it may lead to a non-conformity scoring for the site being IFS HPC audited.

Note: additional services provided by third parties like pest control, maintenance, external product safety assessment etc. are not considered as outsourced processes.

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CLARIFICATION ON PART 1 – 5.2 SCOPE OF THE AUDIT

1.5.2.4 What is the definition of traded products and can those be included in the scope of an IFS HPC audit?

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

Therefore, the following requirements apply:

- it is not possible to include trade products in the audit scope of the IFS HPC 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 HPC certification.

If an HPC production site would also like to certify these trade products, a combined audit with IFS Broker shall be performed. Thus, a combined IFS HPC/ IFS Broker certification is possible.

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CLARIFICATION ON PART 1 – 5.2 SCOPE OF THE AUDIT

1.5.2.5 Decision tree for product exclusion

By definition, all processes which are managed under the responsibility of the legal entity at the same location shall be included in the scope of an IFS HPC Assessment.

All processing steps shall be assessed as the exclusion is related to the final processed product(s). The key concept is the evaluation of the product risk analysis which may or may not confirm whether an exceptional product exclusion is possible (with no impact on product safety and quality).

Under certain circumstances where the IFS HPC assessed company would like to exclude product(s) from the IFS HPC Assessment scope, the following questionnaire shall be filled in by the certification body.

Exclusions, when defined and validated by the certification body (after submission of this questionnaire),

- shall always be explained in the company profile of the audit report.
- shall be clearly specified in the audit scope of the audit report and certificate.
- shall always have to be re-considered and reviewed each year by the certification body to ensure that the product exclusion is still valid and that the Assessment scope is still up-to-date.

Furthermore, in case the company processes new products during the IFS certification cycle, the company shall contact its certification body to ensure that defined exclusions are still valid and that no further actions are necessary.

The Auditor shall always check on-site if defined exclusions are relevant and in line with the questionnaire, by assessing the risks that may arise from excluded product(s) (e.g. contaminants, allergens).

Any exclusion which has not been justified and is noticed by the Auditor during the Assessment, shall be either assessed directly during the Assessment (with a necessary review of Assessment scope and maybe audit duration), or later through an extension Assessment.

In any case (if some exclusions are defined or not), the number of employees to be taken into consideration to calculate Assessment duration shall always be the total number of employees (and not only the number of employees involved in the activity which is not excluded).

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IFS HPC questionnaire for certification bodies to define product exclusions in audit scope

If, under circumstances the company decides to exclude specific product ranges from the scope of the IFS HPC Assessment, the following questionnaire has to be filled in by the certification body to check if any exclusions are allowed. The filled in questionnaire shall then be part of the audit plan.

Company name: _____ COID: _____

Planned Assessment scope _____ Planned Assessment date: _____

Date of questionnaire validation: _____

Product/group or product(s) excluded: _____

Name of the certification body person who filled in the questionnaire: _____

Name of the company employee who requested the exclusion: _____

1) Is the product to be excluded a private label (retail/wholesale branded) product?

☐ No ☐ Yes → **Exclusion is NOT possible**

2) Is the product seasonal/ sporadic?

☐ No

☐ Yes

Are the product(s) and/or the risk assessment study (incl. allergens, contaminants, etc.) identical for seasonal/sporadic products and regular products?

☐ No ☐ Yes → Product can be included with a documentary on-site evaluation or can be excluded

3) Clearly differentiable from the product(s) which is/are included in the Assessment scope?

☐ Yes ☐ No → **Exclusion is NOT possible**

4) Is/are the initial step(s) of production of the product to be excluded common with the one of the included product(s)?

☐ Yes ☐ No → Exclusion is possible (e.g. where area/processing line is fully independent since the beginning, without any contamination risk)

5) Does the product to be excluded go to a different area than the one related to the product included in the Assessment scope?

☐ Yes ☐ No → **Exclusion is NOT possible**

6) Is the contamination risk controlled between included and excluded products?
(The manufacturer shall demonstrate the control of contamination risks between excluded and included products (allergens, chemical, physical, microbiological hazards, also at the level of storage and warehouse). Process flow chart related to the product to be excluded shall be sent to the certification body.)

☐ No ☐ Yes → Exclusion is possible

Exclusion is NOT possible

Note: The auditor shall always check on-site if defined exclusions are relevant and in line with the questionnaire, by assessing the risks which may arise from excluded products (e.g. contaminants, allergens).

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PART 1 – 6 The certification process

1.6.2 Certification body selection-contractual arrangements

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

A contract shall exist between the company and the certification body detailing the scope of the audit, the duration and reporting requirements. The company shall clearly inform its certification body about all products and the related processes they carry out in its production site.

The contract shall have a clear reference to Integrity Program (see section 13), in relation to the possibility of on site audits organized by Quality Assurance Management of the IFS offices. IFS HPC audits can be carried out by an audit team, only if all members of the audit team are IFS HPC approved auditors. Additional requirements for audit teams are described in detail in Part 3 of the Standard.

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 is the language of the company. If this is not possible, the audit shall be performed in English language.

> **1.6**	**The certification process**
> **1.6.2**	**Certification body selection – contractual arrangements**
> **1.6.2.1** DH2-1-6.2/1 V 1	Are there any rules for the use of translators during an IFS HPC audit?
> **1.6.2.2** DH2-1-6.2/2 V 1	Use of a technical expert within an audit team in specific emerging markets
> **1.6.3**	**Duration of an audit**
> **1.6.3.1** DH2-1-6.3/1 V 1	Minimum audit duration including audit teams
> **1.6.3.2** DH2-1-6.3/2 V 1	Multi location audit duration (minimum rules)
> **1.6.4**	Drawing up an audit time schedule
> **1.6.4.1** DH2-1-6.4/2 V 1	Mandatory document to be signed by a representative of the audited site and auditors (if applicable also trainees, auditors in progress, auditors under observation or observers for witness audits) at the end of the audit

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CLARIFICATION ON PART 1 – 6 THE CERTIFICATION PROCESS

1.6.2.1 Are there any rules for the use of translators during an IFS HPC audit?

Yes, there are rules when using a translator during an IFS HPC audit.

Before auditing the site, the Certification Body shall clarify the situation in the company regarding the use of English during the audit, the language of the documentation, main spoken language of the employees, etc. to avoid further inconvenience during the audit.

The use of a translator shall be necessary in cases where the quality of the IFS HPC audit can be compromised.

In any case, the certification body is responsible for ensuring a trustworthy audit. (E.g. proper communication with personnel, checking documentation etc.).

Depending on the situation, a translator may only be necessary during the on–site inspection, or during the complete audit.

It is also the responsibility of the certification body to determine the total audit duration due to translation activities. See Part 1, 6.3 of the IFS HPC Standard.

In the case of an audit team:

If at least one auditor speaks the language of the production site, it is not necessary to use a translator but the audit team is not allowed to split during the audit, so the auditor who is also the translator will always be present during the different steps of the audit.

Requirements of a translator:

- The translator shall have a technical background or shall be an approved auditor for another product safety scheme.
- The translator shall be independent from the audited company to avoid any conflict of interest.

Note: it is not allowed to use a translator in China, unless the auditor is registered with the China Certification and Accreditation Association (CCAA), or there is an audit team composed of one foreign auditor (other than Chinese), plus one Chinese auditor registered with the CCAA.

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CLARIFICATION ON PART 1 – 6 THE CERTIFICATION PROCESS

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

In exceptional cases, when a certification body does not have direct access to an IFS HPC auditor with the pertinent scope(s) or cannot sign a short term contract with another certification body to access their auditors, IFS allows the following exception.

Audits may be carried out by a team consisting of:

- an approved IFS HPC auditor, and
- a technical expert in the requested field

The technical expert shall meet the following criteria:

- Have a contract with the certification body for which the work 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 HPC auditor qualification requirements (product scopes for IFS HPC version 2).
- Have completed a training course in HACCP or Risk Assessment, as defined in the IFS HPC auditor requirements or have demonstrable competence in these areas.
- Have received background training on IFS HPC from the certification body.

The Certification Body 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 HPC auditor shall be considered as the team leader. The technical expert must be accompanied during the whole audit by the IFS HPC lead auditor.

The benefit for the IFS HPC auditor is that this audit performed with an expert can be used as evidence when applying for a scope extension.

- The use of a technical expert has to be noted as a comment in the diary function of the IFS Database at latest 14 days before the audit date.

The technical expert shall be mentioned in the participants´list of the IFS audit report.

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1.6.3 Duration of an audit

The certification bodies shall have an appropriate system for estimating the minimum time needed for an audit. A number of factors, which are detailed in the contract between the certification body and the company, play a role in determining the time required for a comprehensive audit.

Minimum audit duration shall be two (2) working days, but the certification body shall decide increasing this duration, based on the following factors:

- the size of the site (manufacturing area + storage area),
- the type of production process,
- the scope of the audit,
- the number of the different risk assessment studies and the number of production lines involved,
- the number of personnel employed at the site,
- if the audit is combined (e.g. IFS HPC/IFS Broker),
- if a translator is needed (audit duration shall increase by 20 %),
- the number of nonconformities found during the previous audit.

The daily audit duration is eight (8) hours and shall never exceed ten (10) hours.

The above mentioned requirements shall apply equally to renewal audits, which shall be considered as completely new audits.

The site inspection activity within the audit (excluding document checking) shall take at least 1/3 of the total audit time.

Independently from audit duration, besides onsite audit:

- preparation of audit shall be at least two (2) hours,
- preparation of the relevant audit report shall require at least half a day (0.5).

> **1.6**	**The certification process**
> **1.6.2**	**Certification body selection – contractual arrangements**
> **1.6.2.1** DH2-1-6.2/1 V 1	Are there any rules for the use of translators during an IFS HPC audit?
> **1.6.2.2** DH2-1-6.2/2 V 1	Use of a technical expert within an audit team in specific emerging markets
> **1.6.3**	**Duration of an audit**
> **1.6.3.1** DH2-1-6.3/1 V 1	Minimum audit duration including audit teams
> **1.6.3.2** DH2-1-6.3/2 V 1	Multi location audit duration (minimum rules)
> **1.6.4**	Drawing up an audit time schedule
> **1.6.4.1** DH2-1-6.4/2 V 1	Mandatory document to be signed by a representative of the audited site and auditors (if applicable also trainees, auditors in progress, auditors under observation or observers for witness audits) at the end of the audit

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CLARIFICATION ON PART 1 – 6 THE CERTIFICATION PROCESS

1.6.3.1 Minimum audit duration including audit teams

As is written in the Standard, the minimum audit duration is two (2) working days.

This rule also applies to audit teams, where for example, a minimum of 8 h per auditor makes 16 h in total, thus the rule of the minimum duration is still ensured.

Furthermore, additional time shall be allocated to the audit team to ensure sufficient time for common auditor tasks e.g. opening/closing meeting, team discussions etc.

This additional time shall be at least 2h and this situation shall be described in the overall summary of the audit report.

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CLARIFICATION ON PART 1 – 6 THE CERTIFICATION PROCESS

1.6.3.2 Multi location audit duration (minimum rules)

In general, for multi location companies the same rules apply as in the IFS Food Standard (Part 1, 5.3). The audit duration of each production site can be decreased by a maximum of 0.5 days if requirements have been already audited at the central managing site.

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EXTRACT FROM THE IFS HPC VERSION 2, APRIL 2016

1.6.4 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.

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CLARIFICATION ON PART 1 – 6 THE CERTIFICATION PROCESS

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

- The document shall state the audit dates and for each audit day the start and end time of the audit for each audit day.
- For each audit day a representative of the audited site and the auditor/s (lead auditor and co-auditor/s and if applicable also the 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. IFS office does not require a special document.
- This document has to be part of the audit documentation to be available on request from the certification body office than has a contract with IFS Management GmbH. It will be mandatory to have this signed document at the end of each IFS audit (for all IFS schemes).

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EXTRACT FROM THE IFS HPC VERSION 2, APRIL 2016

PART 1 – 7 Awarding the certificate

1.7.1 Deadline for awarding the certificate

The certification body is responsible for the decision to award or not award the IFS Household and Personal Care certificate. The decision is made by person(s) other than those who have carried out the audit.

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

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

In total six (6) weeks between the date of audit and uploading the audit report to the IFS database and awarding the certificate:

- target time: six (6) weeks,
- maximum time: eight (8) weeks.

The validity of the IFS certificate is established as follows:

- date of starting validity of the certificate: the validity starts with the date of issuing a certificate
- end of validity of certificate: last day of the initial audit date + eight (8) weeks – one (1) day + one (1) year.

The date of the renewal audit shall be calculated from the date of the anniversary of the initial audit and not from the date of issue the certificate.

> **1.7**	**Awarding the certificate**
> **1.7.1**	**Deadline for awarding the certificate**
> **1.7.1.1** DH2-1-7.1/1 V 1	Which date shall be considered as the starting point for calculating the cycle of certification (– 8 weeks/+ 2 weeks) The first or the last day of audit?
> **1.7.1.2** DH2-1-7.1/2 V 1	Which day is the last day of the certificate validity?

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CLARIFICATION ON PART 1 – 7 AWARDING THE CERTIFICATE

1.7.1.1 Which date shall be considered as the starting point for calculating the cycle of certification (- 8 weeks / + 2 weeks)? The first or the last day of audit?

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

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CLARIFICATION ON PART 1 – 7 AWARDING THE CERTIFICATE

1.7.1.2 Which day is the last day of the certificate validity?

The beginning date of 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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PART 2 – List of requirements

These requirements are only applicable when the production site being IFS certified outsources (some) production processes/steps e.g. mixing, filling, packing, labelling etc., to a third party and on behalf of the production site being IFS certified.

2.4.4.8 Outsourced production: Clarification

Control of outsourced processes shall be identified, risk assessed and documented within the product safety and quality management system.

A contract shall exist between the company and its subcontractor.

Based on hazard analysis and assessment of associated risk, the company shall regularly audit the subcontractor, by using an audit checklist covering IFS HPC requirements (including e.g. relevant documented risk management system, control plan, traceability system, crisis management, etc.). Documents of such checks shall be available.

The checks performed at the subcontractor shall be performed by a qualified auditor/ inspector.

If relevant, the company shall check the products on receipt from its subcontractor.

> **2.4.4.8**	**Outsourced production**
> **2.4.4.8.1** DH2-2-4.4.8/1 V1	What is the interpretation of the requirement 4.4.8.3?
> **2.6**	**Product defense and external inspections**
> **2.6.1** DH2-2-6/1 V1	Clarification about the (non) applicability of requirements 6.4.1 and 6.4.2

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CLARIFICATION ON PART 2 – 4 LIST OF REQUIREMENTS

2.4.4.8.1 What is the interpretation of requirement 4.4.8.3?

„Based on hazard analysis and assessment of associated risk, the company shall regularly audit the subcontractor, by using an audit checklist covering IFS HPC requirements (including e.g. relevant documented risk management system, control plan, traceability system, crisis management, etc.). Documents of such checks shall be available".

a) "the company shall regularly audit the subcontractor…"

As this is a risk based process, it is the responsibility of the production site (being IFS HPC certified) to establish the frequency of the visits to its subcontractor (company B), if needed.

The following factors might be taken into consideration for that purpose (by no means exhaustive):

- A first visit to company B is highly recommendable in order to ensure the product safety of the goods provided.
- If the company B is/is not IFS HPC certified, or certified under any other product safety scheme. This could be used as evidence to decrease or increase the frequency of the visits.
- Every time there is a change in company B´s process (es), or change of raw materials, equipment etc. that could affect the safety/compliance of the product(s) delivered to the production site being IFS certified.
- In the event of complaints from customers and/or authorities.

b) "by using an audit checklist covering IFS HPC requirements…"

This means to cover specific chapters of the IFS HPC related to product(s)/process (es) safety. E.g. traceability, risk assessment, complaint handling, etc.

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PART 2 – 6 Product Defense and external inspections

Note: this chapter is only applicable:

- to companies which produce or export goods in countries, which are subjected to product defense legislation,
- in case of specific customer requirement. For the other companies, the chapter shall be assessed as not applicable by the auditor (N/A).

6.1 Senior Management responsibility

6.1.1 The company shall have a documented product defense procedure in place to address product defense risk from products and establish, implement and maintain a system to reduce or eliminate the identified risk.

6.1.2 A Product Defense assessment shall be conducted annually or upon changes that affect product integrity.

6.1.3 Responsibilities for Product Defense shall be clearly defined. Those responsible shall be key staff or shall have access to the senior management team.

6.1.4 Senior management shall have an internal communication system to inform and update staff about relevant security issues.

6.2 Site security

6.2.1 Based on the product defense procedure and legal requirements, the senior management should define and communicate the areas in which authorized personnel are allowed to access.

6.3 Visitor and personnel security

6.3.1 Visitor policy shall contain requirements relating to product defense.

6.3.2 Employee hiring and employment termination practices shall consider security aspects as permitted by law.

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6.3.3 The company shall incorporate product security awareness, including information on how to prevent, detect and respond to tampering or other malicious, criminal, or terrorist actions or threats, into training programs for staff, including temporary, contract, and volunteer staff.

The training shall regularly take place and shall be documented.

6.4 Documentation requested by legislation

6.4.1 If legislation makes registration or onsite inspections necessary, these shall be carried out and evidence shall be provided.

6.4.2 A documented procedure shall be in place for managing external inspections and regulatory visits (if applicable). Relevant personnel shall be trained to execute the procedure.

> **2.4.4.8**	**Outsourced production**
> **2.4.4.8.1** DH2-2-4.4.8/1 V 1	What is the interpretation of the requirement 4.4.8.3?
> **2.6**	**Product defense and external inspections**
> **2.6.1** DH2-2-6/1 V 1	Clarification about the (non) applicability of requirements 6.4.1 and 6.4.2

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CLARIFICATION ON PART 2 – 6 PRODUCT DEFENSE AND EXTERNAL INSPECTIONS

2.6.1 Clarification about the (non-)applicability of requirements 6.4.1 and 6.4.2

6.4 Documentation requested by legislation

6.4.1 If legislation makes registration or onsite inspections necessary, these shall be carried out and evidence shall be provided.

Clarification → This requirement is not applicable (N/A) if no product defense legislation exists in the country where the audit is carried out and where the products are sold.

6.4.2 A documented procedure shall be in place for managing external inspections and regulatory visits (if applicable). Relevant personnel shall be trained to execute the procedure.

Clarification → This requirement is not applicable (N/A) if no product defense legislation exists in the country where the audit is carried out and where the products are sold.

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PART 3 – 2 Requirements for accreditation bodies, certification bodies and auditors

3.2.1 ISO/IEC 17065 IFS accreditation process

The certification body shall be accredited for IFS HPC according to ISO/IEC 17065 for the scope of IFS HPC by an IAF or EA recognized accreditation body (see section 1). Certification bodies in the process of IFS accreditation to ISO/IEC 17065 may organize the witness assessment(s) before having achieved accreditation status. They shall demonstrate that they are actively applying for ISO/IEC 17065 accreditation.

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

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CLARIFICATION ON PART 3 – REQUIREMENTS FOR ACCREDITATION BODIES, CERTIFICATION BODIES AND AUDITORS

3.2.1.1 Clarification on accreditation- Requirements for the certification bodies

The certification body shall be accredited for IFS HPC according to ISO/IEC 17065 for the scope of IFS HPC by an IAF or EA recognized accreditation body.

According to clause 1.4 of Part 3: a certification body is allowed to issue up to 5 certificates without accreditation based on the fact that the accreditation process may not be achieved in a short period of time after the application.

In addition to clause 2.1 of Part 3, the following normative text shall apply for the following situations:

a) For new certification bodies which have signed a contract with IFS Management GmbH (Framework Agreement) and in order to facilitate the development of resources and business with IFS HPC, they might not require accreditation within the first three year period after having signed the contract.

   For these certification bodies, the three-year-period will start on the date that the Framework Agreement is signed. The next conditions shall apply:

   - During this three year timeframe, the certification body has to decide either to apply for accreditation or stop certification activity for IFS HPC.
   - If the certification body decides to continue with IFS HPC certification, it has to achieve accreditation within the fourth year of IFS HPC certification activity. Calculation of this four year period is based on the initial dates as explained above.

b) In cases where there is currently no existing national accreditation program available for this scheme, the certification bodies shall nevertheless request accreditation first off and evidence shall be sent to the IFS office.

In order to ensure the same level of competence from these certification bodies, additional IP supervisory activity will be applied. This additional supervisory activity will consist of a dedicated IFS HPC Integrity CB office audit every 2 years starting in 2019.

The duration of the additional Integrity CB office audit will usually be 1,5 days. The certification body has to bear the cost of this additional Integrity activity.

Integrity Program activities established within the frame of Annex IV will become regular, as soon as the national accreditation body opens an accreditation program for this scheme and the Certification Body actively applies for it.

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PART 3 – 3 Requirements for IFS HPC auditors

3.3.2 Requirements for auditors before applying for the IFS HPC examinations

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

a) Education in the household and personal care sector:
- an university science degree in chemistry, pharmacy, microbiology or processing engineering or comparable degree (bachelor's and/or master's degree equivalents) and two (2) years professional experience in the household and/or personal care industry in relation to production activities (e.g. quality, production, R & D),

  or
- if the candidate has a different education background: five years (5) professional experience in the household and/or personal care industry in relation to 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 processing industry during the previous two (2) years. The audits shall have been carried out at different production sites.

c) Training on risk assessment

Evidence of knowledge acquired in relation to risk assessment.

d) Training in auditing techniques based on Quality Management System

Course duration: one (1) week/40 hours or equivalent.

e) Specific and practical knowledge for each applied product scope:
- at least two (2) years professional experience in the household and/or personal care industry in relation to production activities (quality, production, R & D) for each applied product scope,

  or

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// 3.3.2. Requirements for auditors before applying for the IFS HPC examinations

- at least ten (10) performed product oriented audits (including regulation, traceability, risk assessment, product safety and GMPs) against accredited or managed schemes or 2nd party audits, for each applied product scope.

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

f) Language
Additionally to their mother language, auditors shall be fluent in English.

g) Sign off witness audit Before gaining IFS HPC auditor approval, the auditor shall be witnessed during a signoff witness audit.

This signoff audit can be performed according to two different options:

- option 1: the witness audit is performed during an audit covering traceability, risk assessment, product safety, legal compliance of destination countries, GMP's in the relevant industries (2nd party audit or accredited scheme or "managed" scheme), before or after having passed the IFS exams.

The observer shall be an IFS approved auditor (for any production scheme) having taking part at the IFS HPC awareness/reviewer course,

- option 2: the witness audit is performed during the first IFS HPC certification audit of the auditor (after having passed the IFS exams). The observer/supervisor shall be an approved IFS HPC auditor for the relevant audit scope.

The certification body shall inform IFS offices about the date, the name of the audited company where the signoff witness audit took place. An English copy of the report of the onsite witness audit shall be provided on request to the IFS offices.

The auditor will only be classified as "active" in the database when the evidence of the performed witness audit is approved by IFS.

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

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EXTRACT FROM THE IFS HPC VERSION 2, APRIL 2016

// 3.3.2. Requirements for auditors before applying for the IFS HPC examinations

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

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

> **3.2.1**	**ISO/IEC 17065 IFS accreditation process**
> **3.2.1.1** DH2-3-2.1/1 V 1	Clarification on accreditation – Requirements for the certification bodies
> **3.3**	**Requirements for IFS HPC Auditors**
> **3.3.2**	**Requirements for auditors before applying for the IFS HPC examinations**
> **3.3.2.1** DH2-3-3.2/1 V 1	Which evidence should be provided for approval in languages additional to English and the native language?
> **3.3.2.2** DH2-3-3.2/2 V 1	Specific training program for "Auditor in Progress": additional information
> **3.3.4** DH2-3-3/4 V 1	Maintenance of auditor qualification
> **3.3.4.1** DH2-3-4/1 V 1	Do certification bodies need to send an updated CV to IFS offices for the re-approval process?
> **3.3.4.2** DH2-3-4/2 V 1	Language of observers during the IFS witness audits
> **3.3.4.3** DH2-3-4/3 V 1	Non-exclusive auditor qualification maintenance
> **3.3.4.4** DH2-3-4/4 V 1	IFS yearly in-house training
> **3.3.4.5** DH2-3-4/5 V 1	Further rules and explanations concerning the non-exclusive approach
> **3.5**	**Scope extension for IFS HPC approved auditors**
> **3.5.1** DH2-3-3/5 V 1	Scope extension for IFS HPC approved auditors

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CLARIFICATION ON PART 3 – 3 REQUIREMENTS FOR IFS HPC AUDITORS

3.3.2.1 Which evidence should be provided for approval in languages additional to English and the native language?

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

- Acceptance of language certificates comparable to the CEFR (Common European Framework of Reference for Languages) level B2 or higher.
- At least 10 performed audits in the respective language of the country (trainee audits are not accepted), that include reporting in this language without a translator.

Any other circumstance of acceptance shall be justified to the IFS offices.

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CLARIFICATION ON PART 3 – 3 REQUIREMENTS FOR IFS HPC AUDITORS

3.3.2.2 Specific training program for "Auditors in Progress (AIP)" additional information

3.2.2 Specific adaptation of auditor approval for candidates who do not completely fulfil the requirements of the "common" auditor approval process (e.g. Quality Managers and/or similar position (R & D, …) in the household and personal care industry): IFS HPC "auditor in progress" program.

In case the applicant has professional experience in the HPC processing activities (fulfillment of requirements 3.2 a), c) and f)) but does not have enough auditing experience (no fulfillment of 3.2 b), d) and g)), they may go through the following process:

- participation in the IFS HPC training and examinations for auditors, organized by IFS, and participation in a "witnessing program"

IFS Global Markets HPC assessments can only be accepted as a part of this program, if the assessment was conducted at intermediate level and lasted for at least one working day.

The program "Auditor in Progress" is only possible for exclusive auditors, and not for non-exclusive auditors.

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3.3.4 Maintenance of auditor qualification

Auditor's registration shall be reassessed before end of validity of the auditor certificates.

For maintaining their approval, auditors shall fulfil the following requirements:

- to attended and successfully completed an internal training by the certification body, each year. The certification body shall hold a one (1) day auditor course, for the purpose of sharing experience, calibration and updating knowledge of relevant legal requirements, etc. This training shall be lead (partly or entirely) by the IFS HPC trainer,
- to be assessed during a HPC scheme accredited onsite witness audit against ISO/IEC 17065 at an interval of once every two (2) years by the certification body, in order to evaluate her/ his competence.

This audit can be performed at any time during the year of end of validity of auditor certificate.

The observer shall not be part of the audit (as a team member).

If the onsite witness audit is performed during an IFS audit, the certification body shall specify the name of the observer in participants' list of the IFS audit report.

Note 1: Witness audits performed by accreditation bodies during IFS HPC or IFS PACsecure audits are accepted as a replacement of witness audits performed by an observer from the certification body.

Note 2: in case of an audit team in which the team can split during the audit (as both auditors have companies' products scopes), it is not possible to perform a witness audit by an observer, as the auditor who is witnessed doesn't perform a complete audit. However, if the team does not split, it is possible to do so for the lead auditor, as it will be possible to witness the auditor during a complete audit.

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// 3.3.4 Maintenance of auditor qualification

- to have performed a minimum of ten (10) IFS HPC audits every two (2) years and
- to have attended and successfully completed every two calendar years, a two (2) days IFS HPC calibration course training, organized by IFS (subsequent to passing the initial examinations, the first mandatory calibration training shall be successfully completed in the second calendar year following the date on which the initial examination was successfully completed).

> **3.2.1**	**ISO/IEC 17065 IFS accreditation process**
> **3.2.1.1** DH2-3-2.1/1 V 1	Clarification on accreditation – Requirements for the certification bodies
> **3.3**	**Requirements for IFS HPC Auditors**
> **3.3.2**	**Requirements for auditors before applying for the IFS HPC examinations**
> **3.3.2.1** DH2-3-3.2/1 V 1	Which evidence should be provided for approval in languages additional to English and the native language?
> **3.3.2.2** DH2-3-3.2/2 V 1	Specific training program for "Auditor in Progress": additional information
> **3.3.4** DH2-3-3/4 V 1	Maintenance of auditor qualification
> **3.3.4.1** DH2-3-4/1 V 1	Do certification bodies need to send an updated CV to IFS offices for the re-approval process?
> **3.3.4.2** DH2-3-4/2 V 1	Language of observers during the IFS witness audits
> **3.3.4.3** DH2-3-4/3 V 1	Non-exclusive auditor qualification maintenance
> **3.3.4.4** DH2-3-4/4 V 1	IFS yearly in-house training
> **3.3.4.5** DH2-3-4/5 V 1	Further rules and explanations concerning the non-exclusive approach
> **3.5**	**Scope extension for IFS HPC approved auditors**
> **3.5.1** DH2-3-3/5 V 1	Scope extension for IFS HPC approved auditors

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CLARIFICATION ON PART 3 – 3 REQUIREMENTS FOR IFS HPC AUDITORS

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

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

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CLARIFICATION ON PART 3 – 3 REQUIREMENTS FOR IFS HPC AUDITORS

3.3.4.2 Language of observers during the IFS witness audits

The observer (of the witness audit to be performed every 2 years to maintain auditor approval), shall be approved for the language in which the auditor performs the audit.

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CLARIFICATION ON PART 3 – 3 REQUIREMENTS FOR IFS HPC AUDITORS

3.3.4.3 Non-exclusive auditor qualification maintenance

In the case of non-exclusive auditors, they are responsible for maintaining their IFS approval. The requirements for re-assessment of the auditor´s approval are generally the same as for exclusive auditors. For maintenance of approval it is necessary to have participated in a 1 day in-house training with each CB, in the Calibration Training organized by IFS, and to be monitored by an IFS on-site witness audit at least once every two (2) years by each CB the non-exclusive auditor is approved for.

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CLARIFICATION ON PART 3 – 3 REQUIREMENTS FOR IFS HPC AUDITORS

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

One requirement of IFS HPC is the yearly 1-day in-house training of auditors. The purpose is the sharing of experience, calibration and updating knowledge of relevant legal requirements.

This 1-day course shall be performed face to face.

Only in those cases where the auditor is in a different continent can the training be organized via webinar or other means.

For exceptional cases, please contact IFS offices.

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CLARIFICATION ON PART 3 – 4 MAINTENANCE OF AUDITOR´S QUALIFICATION

3.3.4.5 Further rules and explanations concerning the non-exclusive approach

- In general, loan agreements for individual audits and IFS-Working-Group Agreements remain 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 the approaches.
- As mentioned in 3.2.2 section, 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 regarding IFS in the CBs (e.g. HPC trainer, IFS responsible, contact person for IFS).

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

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3.5 Scope extension for IFS HPC approved auditors

IFS HPC auditors may, during the validity of their HPC auditor certificate, extend their scopes of registration.

For this scope extension, they shall provide the following evidence to IFS offices:

- same evidences as for the initial approval, based on new experience

or

- ten (10) complete witness audits against IFS HPC performed as observer, in the relevant scope. Audits shall be carried out on different production sites (the information shall be provided in the audit report). The observer shall have participated at all the steps of the audit (on-site audit, assessment and decision processes).

In addition to this evidence, they shall take part to the related IFS HPC scope specific training and exam(s).

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CLARIFICATION ON PART 3 – 4 MAINTENANCE OF AUDITOR´S QUALIFICATION

3.5.1 Scope extension for IFS HPC approved auditors

HPC auditors can get a scope extension even if they perform GM HPC assessments under Intermediate level.

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PART 4 – Reporting, auditXpressX™ software and IFS Audit Portal

4.1.4 Minimum requirements for the IFS HPC certificate (Annex 4)

After a successful completion of the IFS HPC audit, the certification body shall issue a certificate. For the purposes of international recognition, and to be understandable, IFS HPC certificate granted by the certification body shall include the following information:

- the name and address of the certification body, including its logo,
- the logo of the accreditation body or its name and registration number,
- name and address of the audited company,
- COID (IFS identification number) as defined in the IFS database,
- name and number of product scope(s),
- description of product exclusions, if applicable,
- description of the audit scope (with compulsory descriptions of processes/products),
- description of outsourcing process (es), if applicable,
- level achieved,
- audit score in percentage, if required by the customer or by the audited company,
- if the chapter related to Product Defense was assessed, this shall be stated on the certificate (under the audit scope: "Product defense chapter was assessed"),
- date of the audit (last day of the audit),
- date of followup audit, if relevant,
- next audit to be performed within the time period (renewal audit),
- certificate issue date,
- the date of expiration of the certificate (the certificate validity shall remain the same each year as described in the Audit Protocol, Part 1),
- name and signature of the certification body's person (s) responsible for the certification decision as described in Part 3 of the Standard,
- place and date of signature,
- the current IFS HPC logo.

> **4.1.4**	**Minimum requirements for IFS certificate (Annex 4)**
> **4.1.4.1** DH2-4-1.4.1/1 V1	Detailed description of process(es)/product groups
> **4.1.4.2** DH2-4-1.4.1/2 V1	How is the COID managed for companies in some specific cases?

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CLARIFICATION ON PART 4 REPORTING

4.1.4.1 Detailed description of process (es)/ product(s) groups:

The description of the process (es)/ products groups have to provide enough information for the reader to be able to understand what exactly is under the scope of the IFS certificate.

General explanations such as e.g. production of cosmetics is not allowed as this does not provide sufficient information due to cosmetics being a general term to describe a wide category of products.

Information about the format of the final packaging and where the products are packed is necessary too. E.g. production of shampoos and conditioners in plastic bottles.

The following words cannot be used by auditors on the scope of the certificate: sales, distribution, R&D, development/design

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CLARIFICATION ON PART 4 REPORTING

4.1.4.2 How is the COID managed for companies in some specific cases?

- In the case of a multi-legal entity production site:

  1) multiple legal entities at one physical location with the same scope: one Assessment, different COIDs, duplication of certificate and report.
  The COIDs shall be mentioned in the Assessment overview of each Assessment report and linked in the IFS Database (visible for CBs only).

  2) multiple legal entities with different scopes at one physical location: different COIDs, different report and certificate.

  The COIDs shall be mentioned in the Assessment overview of each Assessment report and linked in the IFS Database (visible for CBs only).

  All Assessments shall be performed by one certification body.

  The Assessment duration shall be calculated separately for each COID.

- In the case of multi-location production sites with or without head-office: different COIDs are created for each production site and linked in the IFS Database.
- If a CB creates by mistake a new COID for a company with an already existing COID, they shall contact IFS customer support. The new COID can either be deleted (if no documents have been uploaded) or both COIDs will be linked, so the assessment history is visible under the new COID. The old Assessments are visible and clearly connected to the old COID. The access rights to the report, the action plan and the Assessments comparison are transferred to the new COID.
- If the management of the company changes (new owner) but has the same employees, same equipment and the same processes: no change of COID, the CB shall perform a risk assessment and assess whether it is necessary to perform a "control-Assessment" to check that the current certificate is still ensured.

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CLARIFICATION ON PART 4 REPORTING

// 4.1.4.2 How is the COID managed for companies in some specific cases?

- If a company has a new address but the same employees, same equipment, same processes: a new COID has to be created and a new Assessment shall be organised. The old Assessments are visible and clearly connected to the old COID. The access rights to the report, the action plan and the Assessments comparison are transferred to the new COID. Both COIDs will be linked in the IFS Database. The first Assessment performed at the new site is an initial Assessment. Therefore, the rule regarding 3 consecutive Assessments by the same auditor does not apply.
- If a company changes its legal entity but has the same address, same employees, same equipment, same processes: a new COID has to be created. The old Assessments are not visible but the old COID is provided. The access rights to the report, the action plan and the Assessments comparison are not transferred. The certification body decides if the old report and certificate with the new legal entity is uploaded under the new COID (it will be considered as an initial Assessment for the new legal entity) or if a new Assessment shall be done. The rule regarding 3 consecutive Assessments by the same auditor applies. The certification body decides whether the certificate of the "old" site shall be suspended as soon as production stops. It is recommended that the action plan of the "old" site is checked by the auditor especially in case of any food safety and quality management system deviation(s) and/or previous non-conformities.

ALL CLARIFICATIONS >

Contact details of the IFS offices

BRASIL | AQUIDAUANA
IFS Office Brasil
Rua Benjamin Constant 1935
79824-120 Aquidauana/MS, Brasil
Phone: +55 (0)67 81 51 45 60
E-Mail: cnowak@ifs-certification.com

CHILE | SANTIAGO DE CHILE
IFS Chile
Avenida Santa Maria 0214
Providencia – Santiago Chile
Phone: + 56 27 77 61 53
E-Mail: ifs-chile@ifs-certification.com

CHINA | SHANGHAI
IQC(Shanghai) Co.,Ltd
Man Po International Business Center Rm 204,
No. 660, Xinhua Road
Changning District, Shanghai 200052
P.R. China
Phone: +86 (0) 180 1998 9451
E-Mail: china@ifs-certification.com
E-Mail: asia@ifs-certification.com

FRANCE | PARIS
IFS Office Paris
14 rue de Bassano
F-75016 Paris
Phone: +33 (0)1 40 76 17 23
E-Mail: ifs-paris@ifs-certification.com

GERMANY | BERLIN
IFS Management GmbH
Am Weidendamm 1 A
D-10117 Berlin
Phone: +49 (0)30 72 61 053-74
E-Mail: info@ifs-certification.com

ITALY | MILAN
IFS Office Milan
Federdistribuzione
Via Albricci 8
I-20122 Milano
Phone: +39 02 89 07 51 50
Fax: +39 02 6 55 11 69
E-Mail: ifs-milano@ifs-certification.com

POLAND | WARSAW
IFS Office Central & Eastern Europe
ul. Serwituty 25
PL-02-233 Warsaw
Phone: +48 6 01 95 77 01
E-Mail: ifs-poland@ifs-certification.com

USA | CANADA
IFS Technical Support
Pius Gasser
Phone: +1 832 426 2473
E-Mail: gasser@ifs-certification.com

In case of any queries regarding the interpretation of IFS Standards and Programmes, please contact standardmanagement@ifs-certification.com

ifs-certification.com