

IFS Logistics version 2.3 Doctrine

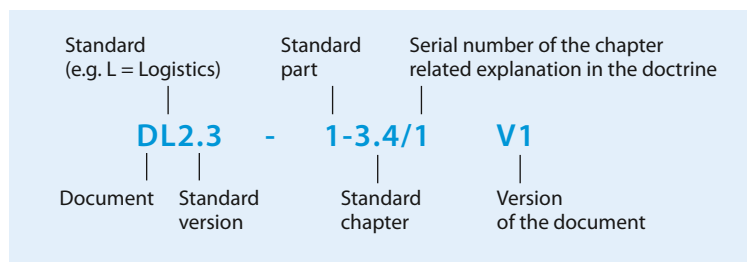


Foreword

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

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, and the number 2.3 for the Standard version. The second section of the name specifies the part of the Standard to which the document refers. (The IFS Logistics 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 backslash marks the number of the explanation in the doctrine itself.

E.g. DL2.3-1-3.4/1 V1 means the document is the first IFS Logistics doctrine explanation which refers to the chapter 3.4 in the first part of the IFS Logistics version 2.3.



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, only. 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, 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.

Certification Bodies shall ensure that relevant Certification Body personnel is trained on the introduced changes according to their function within the Certification Body before the rules come into force. A proof of this training shall be available on request.

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CLARIFICATION – 0.0 INTRODUCTION

0.0 Introduction

0.0.1 General clarification about the possibility to perform part of the IFS Audit remotely.

The Information and Communication Technologies (ICT) have made remote assessing more enforceable.

In order to support situations where a complete regular on-site IFS Audit at the physical site is hardly possible to realise (e.g. restrictions and limitations due to the pandemic situation), IFS explored the possibility to conduct IFS Split Assessments with a first on-site assessment and a second remote part. The reason why the option of the IFS Split Assessment is chosen, shall be clearly mentioned in the IFS Assessment report.

The use of ICT for assessing will only be successful if the right conditions are in place. Therefore, the document "IFS Split Assessment Protocol" is a normative document created in addition to the IFS Standard and IFS Doctrine to ensure a robust Assessment process by applying ICT for the evaluation of the relevant IFS Standard requirements by a certification body/auditor.

Certification bodies/auditors are obliged to fully comply to the requirements set out in this document (including additional auditor qualification as laid down in chapter 7).

The IFS Split Assessment option can be applied from the date of the IFS Split Assessment protocol publication.

Note: In this clarification the word "Assessment" and not "Audit" is used. This wording and its definition is introduced with IFS Food version 7. It will be gradually adopted in all IFS Certification Standards.

CLARIFICATION – 0.0 INTRODUCTION

0.0.2 Clarification for companies in case of an initial audit and a first audit according to a new version

In an IFS Logistics version 2.3 audit, the site is audited to the requirements of IFS Logistics version 2.3 and the auditor has to evaluate the site's implementation of those requirements.

Following this, all rules and requirements of the Standard including those where an annual review is requested shall be implemented and validated (e.g. through internal audits, senior management review, etc.) before the annual certification audit. In case of an unannounced audit, all Standard requirements need to be implemented before the audit time window starts.

Note on the IFS Logistics Multi-site Guideline: IFS decided on a 1 year transition period up to the 30th of September 2022 in which no Major nonconformity shall be given on the requirement related to the qualification of internal auditors who are conducting audits for the whole organization in the multi-site sampling approach. If it's discovered during the audit that the company is deliberately not providing sufficient resources to ensure the auditor's competency, a KO can be raised on Senior Management Responsibility (1.2.7).

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EXTRACT FROM THE IFS LOGISTICS V2.3, JUNE 2021

PART 1 – Audit Protocol

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

From 1st October 2021 IFS Logistics v2.3 is mandatory. In case the audit is performed on or after or includes 1st October 2021, it shall be according to IFS Logistics v2.3.

> 1.1	The history of the International Featured Standards and IFS Logistics Standard
> 1.1.1 DL 2.3-1-1/1 V1	Which IFS Logistics version shall be applied in some specific situations?

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CLARIFICATION ON PART 1 – AUDIT PROTOCOL

1.1.1 Which IFS Logistics version shall be applied in some specific situations?

In case of multi-site companies, all sites shall be audited to the same version as that of the central managing site (headquarter) within the same certification cycle.

Exceptional situations where the IFS Logistics v2.2 can still apply are the following:

- Multi-sites with central management where the audit of the central managing site (headquarter) is performed before the 1st October 2021 all sites shall be audited according to IFS Logistics v2.2
- Follow-up Audit and/or extension Audit when the “main” audit took place before 1st October 2021 (and was performed according to v2.2)

The general admission of the aforementioned exceptional situations which permit the use of IFS Logistics v2.2 after 1st October 2021, shall terminate on 30th September 2022.

In case of an unannounced IFS Logistics Audit, if the audit window starts on or after 1st October 2021 the audit shall be performed according to IFS Logistics v2.3.

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PART 1 – Introduction

1.2.2 Extraordinary information to the certification body by the certified company

The company shall inform its Certification body about any change that may affect its ability to conform with the certification requirements (e.g. recall, alert on products, etc.). This information shall be made known to the certification body within 3 working days.

> 1.2	Introduction
> 1.2.2	Extraordinary information to the certification body by the certified company
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CLARIFICATION ON PART 1 – INTRODUCTION

PART 1 – Introduction

1.2.2.1 Form for extraordinary information to be filled out by the certification bodies

After receiving the extraordinary information from the sites, certification bodies shall fill out in English the relevant form provided in the IFS Database. Certification bodies shall give a brief description of the identified cause and the related actions taken and shall decide on further actions and submit this information with the form as soon as possible.

This rule is applicable from the date of this Doctrine publication.

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PART 1 – 3 Types of audit

1.3.4 Extension audit

If, between two certification audits, new products / services different from those included in the scope of the current IFS audit are added in the logistical services, 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 results of the risk assessment, based on product safety risks, shall be documented.

In the event that the certification body decides that these new products and/or services shall be included in the audit scope and the audit scope shall be updated on the certificate, then, for an IFS Logistics certified company, it is not necessary to perform a full audit again, but to organize an one-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	Types of audit
> 1.3.4	Extension audit
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> 1.3.4.2 DL2.3-1-3.4/2 V1	In which situations should an extension audit be performed?

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CLARIFICATION ON PART 1 – 3.4 EXTENSION AUDIT

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

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

In case of seasonal processes/services, which have a different risk profile compared to the processes and/or services audited during the renewal audit, there will be one renewal audit and one extension audit, in order to cover all processes and services (see also 1.3.4.2).

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CLARIFICATION ON PART 1 – 3.4 EXTENSION AUDIT

1.3.4.2 In which situations should an extension audit be performed?

Extension audits shall be also performed to observe processes and/or services which were not carried out during the audit. However, the application scope of this requirement should be limited to avoid that extension audits are systematically performed for processes and/or services which were not carried out during the audit.

Therefore, an extension audit shall be performed, if the HACCP study (and especially possible CCP's)/risk analysis and/or processes and/or services are different from the one(s) audited during the "main" audit.

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PART 1 – 4 Scope of the audit

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

This Standard also applies to freezing and thawing service providers simple ripening processes of fruit as well as for logistics companies using service providers for their transport and /or storage activities.

[...]

The following scopes are defined for IFS Logistics audits:

- 1 Storage
 - a Food products
 - b Non-food products
- 2 Transport
 - a Food products
 - b Non-food products

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

Note: The audit scope shall describe the logistical activities of the company (e.g. transport, incl. type of transport, storage) as well as the product scope(s) which is/are handled (food, non-food) and the conditions of the handling (e.g. ambient stable, chilled, frozen).

These are minimum explanations about the audit scope which shall be specified on the IFS Logistics certificate.

[...]

// 1.4 Scope of the audit

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

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

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

Auditing of multi-site companies with central management

If defined processes are organised centrally in a company with several sites (e.g. purchasing, personnel management, complaint management), there are two ways to manage IFS Logistics certification:

- if the company fulfills the pre-requisites, multi-site certification can be performed by sampling sites to be audited. The specific pre-conditions and rules are published in the guideline for multi-site certification for IFS Logistics certified companies. This guideline can be downloaded on www.ifs-certification.com.
- If the company doesn't fulfill the pre-requisites, multi-site certification can't be performed by sampling and each site shall be audited. In this case, the following process applies.

The central managing site — headquarter — shall also be audited and relevant audited requirements outcome shall be considered in the audit reports of each site.

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// 1.4 Scope of the audit

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

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

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

> 1.4	Scope of the audit
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> 1.4.2 DL2.3-1-4/2 V1	Origin certification and other certification under specific regulations
> 1.4.3 DL2.3-1-4/3 V1	Is there an IFS table with examples of products and a location in relevant product scope(s)?
> 1.4.4 DL2.3-1-4/4 V1	Clarification about the description of the IFS Logistics audit scope

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CLARIFICATION ON PART 1 – 4 SCOPE OF THE AUDIT

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

By definition, all processes and services, 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 Logistics audit.

All processes and services 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 or in regards to the main certification scopes “storage” or “transport”.

The auditor shall always check during the audit if defined exclusions are relevant and if cross contamination risks from excluded products are under control.

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CLARIFICATION ON PART 1 – 4 SCOPE OF THE AUDIT

1.4.2 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 Logistics certificate, to avoid any confusion in the scope of the IFS Logistics audit and certification.

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

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CLARIFICATION ON PART 1 – 4 SCOPE OF THE AUDIT

1.4.3 Is there an IFS table with examples of products and a location in relevant product scope(s)?

A table with examples of food products is available on the IFS website and will be updated each time it is necessary.

For HPC products (Non food scope 1), examples can be found in the IFS HPC Standard Version 2, Part 1, 5.

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CLARIFICATION ON PART 1 – 4 SCOPE OF THE AUDIT

1.4.4 Clarification about the description of the IFS Logistics audit scope

Brand information is not allowed in the audit scope as it does not provide a detailed description of the product category. It can only be mentioned in the company profile of the report.

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

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

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

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

// 1.5.2 Certification body selection-contractual arrangements

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

The audit shall preferably be carried out in the language of the company and the certification body shall make every attempt to appoint an auditor whose native language or main working language is the language of the company.

Furthermore, languages used by the auditor for leading an audit—among native language—shall be approved by IFS offices prior to undertaking audits (see also Part 3).

[...]

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

> 1.5	The certification process
> 1.5.2	Certification body selection-contractual arrangements
> 1.5.2.1 DL2.3-1-5.2/1 V1	Are there any IFS rules for the use of translators during an IFS Logistics audit?
> 1.5.2.2 DL2.3-1-5.2/2 V1	Auditor sharing
> 1.5.2.3 DL2.3-1-5.2/3 V1	Uploading documents during the process of borrowing of auditors: new system

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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 Logistics audit?

An IFS Logistics audit shall be carried out in the working language of the audited site.

Therefore the use of a translator is not allowed if the site language is:

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

For other languages, if the certification body doesn't have approved auditor(s) for the working language of the audit site, they can use an auditor approved for another language, but the use of a translator is mandatory, under the following conditions:

- The translator shall have a technical background or shall 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 total audit duration shall be added to ensure proper audit performance.

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

1.5.2.2 Auditor sharing

There are two possibilities to share auditors between certification bodies:

1) Borrowing of auditors

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

- 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 notified 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 a common 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.

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

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

The auditXpressX™ 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 using 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.

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PART 1 – 5 The certification process

1.5.3 Duration of an audit

The certification bodies shall have an appropriate system for estimating the minimum time needed for an audit. The minimum audit duration of an IFS Logistics audit shall be one day.

A number of factors which are detailed in the contract between the certification body and the company, plays a role in determining the time required for a comprehensive audit. They include:

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

In the event of a reduction of audit duration, the reason shall be described in detail in the audit report, in the company profile.

The audit duration might be extended depending on the above factors. The above mentioned rules equally apply to renewal audits, which must be considered as completely new audits.

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

Additionally, time for generation of the audit report is typically 0.5 days.

// 1.5.3 Duration of an audit

In exceptional situations, a reduction of the audit duration to 6 hours is possible, only in the following cases:

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

A normal audit day duration is 8 hours.

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

Note 1: For an audit team, at least 2 hours shall be allocated to the team and not to an individual auditor for common tasks (e.g. opening and closing meeting, discussion about audit findings, etc.).

See also Part 3, chapter 3.5 about audit team.

Note 2: For a combined audit IFS Logistics/IFS Broker, the minimum audit duration shall be 1.5 days.

> 1.5	The certification process
> 1.5.3	Duration of an audit
> 1.5.3.1 DL2.3-1-5.3/1 V1	What is the definition of "total number of employees"?
> 1.5.3.2 DL2.3-1-5.3/2 V1	Is there a limit for the daily audit duration?
> 1.5.3.3 DL2.3-1-5.3/3 V1	Erratum: Minimum audit duration of a combined audit IFS Logistics/IFS Broker

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CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

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

If, for instance, the company normally has 100 employees (during most time of the year), but, during one month, the company has additional 30 employees, than these employees shall be considered for the total number of employees of the company to calculate the audit duration.

The company shall count the total maximum number of employees reached during a year (here 130).

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CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

1.5.3.2 Is there a limit for the daily audit duration?

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

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CLARIFICATION ON PART 1 – 5.3 DURATION OF AN AUDIT

1.5.3.3 Erratum: Minimum audit duration of a combined audit IFS Logistics/IFS Broker

Following the aligned minimum audit duration rules laid down in the IFS Broker v3.1, Part 1, chapter 5, the minimum audit duration of a combined IFS Logistics/IFS Broker audit, shall be 1,25 days.

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PART 1 – 5 The certification process

1.5.4 Drawing up an audit time schedule

The certification body shall provide the audit time schedule. The audit time schedule includes appropriate details concerning the scope covered and the complexity of the audit. The audit time schedule shall be sufficiently flexible to respond to any unexpected events which may arise during the site inspection activity within the certification audit. The audit time schedule takes into consideration a review of the audit report and action plan relating to the previous audit, whatever the date when the previous audit has been performed. It also specifies which of the company's logistical activities with which products are to be audited.

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

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

If the IFS audit is performed in combination with an other standard/norm, the audit time schedule shall clearly indicate when each standard or part of it has been audited.

The audit shall be scheduled based on the following steps:

- the opening meeting
- the evaluation of services compliance, based on checking documentation (risk management, quality management documentation, etc.)
- the on-site inspection and interviewing of the personnel
- the final conclusions drawn from the audit
- the closing meeting.

The company will assist and cooperate with the auditor during the audit.

// 1.5.4 Drawing up an audit time schedule

As part of the audit, personnel from different levels of management are interviewed. It is advisable that the company's senior managers are present at the opening and closing meetings so that any deviations and non-conformities can be discussed.

The auditor(s) who conduct(s) the audit will assess all the requirements of IFS Logistics which are relevant to the company's structure and function.

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

The certification body is responsible for making the certification decision and the preparation of the formal audit report after the receipt of the completed action plan. The issue of the certificate is dependent on the audit results and on agreement on an appropriate action plan.

> 1.5	The certification process
> 1.5.4	Drawing up an audit time schedule
> 1.5.4.1 DL2.3-1-5.4/1 V1	Mandatory document to be signed by a representative of the audited site and auditor(s) 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 **Mandatory document to be signed by a representative of the audited site and auditor(s) at the end of the audit**

The document shall state the audit dates and for each audit day the starting time and ending 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 with their signature in order to confirm their attendance.

The certification body is free to include this registration in their already existing document forms or to create a new document form to fulfil this obligation. IFS office does not require a special document form.

This document has to be part of the audit documentation to be available on request at the certification body office having a contract with IFS Management GmbH.

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PART 1 – 5 The certification process

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

> 1.5	The certification process
> 1.5.8.4	Specific management of the audit process in case of multi-site companies
> 1.5.8.4.1 DL2.3-1-5.8.4/1 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 site and the previously rated deviation at the central managing site can be solved with objective evidence
- The check of corrections and corrective actions which allow closing the deviation shall be done during the audit of all sites
- The auditor needs time to check the implementation of corrections and corrective actions for this deviation noticed previously at the central managing site. More than likely a full reduction of audit time (0,5 days) would no longer be applicable (as normally this audit situation would make possible). This decision is under the responsibility of the certification body.

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EXTRACT FROM THE IFS LOGISTICS V2.3, JUNE 2021

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

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

- 2 weeks to draw up the pre-report of the audit
- 4 weeks for the company to respond to the deviations and nonconformities (i.e. draw up the action plan)
- 2 weeks for the auditor / certification body to review the action plan (all corrections shall be implemented) and upload of the audit report, the action plan and the certificate to the IFS Database.

The timeline is six (6) weeks (as a target time) or eight (8) weeks (as a maximum time) between the date of audit and the upload of the audit report in the IFS Database / issue of the certificate.

> 1.6	Awarding the certificate
> 1.6.1	Deadline for awarding the certificate
> 1.6.1.1 DL2.3-1-6.1/1 V1	Is the date to be considered as the starting point for calculating – 8 weeks/+ 2 weeks for the certification cycle the first or the last day of audit?
> 1.6.1.2 DL2.3-1-6.1/2 V1	Which day is the last day of the certificate validity?

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CLARIFICATION ON PART 1 – 6.1 DEADLINE FOR AWARDING THE CERTIFICATE

1.6.1.1 Is the date to be considered as the starting point for calculating – 8 weeks/+ 2 weeks for the certification cycle 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 – 6.1 DEADLINE FOR AWARDING THE CERTIFICATE

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

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

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

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PART 2 – 1 Senior Management Responsibility

2.1 Senior management responsibility

1.1 Corporate policy/Corporate principles

1.1.1 The senior management shall draw up and implement a clear corporate policy. This shall consider as a minimum:

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

The corporate policy shall be communicated to all employees.

1.1.2 The content of the corporate policy shall have been broken down into measurable objectives (quality and product safety).

1.2 Corporate structure

1.2.1 An organisation chart shall be available showing the structure of the company. The organisation chart shall include, if applicable, the associated operating facilities (e.g. independent central warehouse(s), satellite depots and other locations where logistical activities are carried out).

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

1.2.3 The company shall assign responsibility for external communications (crisis management, authorities and communication with media) to a specific responsible person or persons.

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

// 2.1 Senior management responsibility

- 1.2.5 The senior management shall ensure that employees are aware of their responsibilities related to product safety and quality. This shall be reviewed at least annually.
- 1.2.6 The company shall have a system in place to ensure that it is kept informed of all relevant and current legislation. The legal requirements shall be implemented by the respective department(s).
- 1.2.7 **KO N° 1:** Senior management shall be responsible for the corporate policy and objectives. The necessary resources and investments to ensure the product safety, legality and quality according to client agreements and specifications shall be provided.

1.3 Customer focus

- 1.3.1 A documented procedure shall be in place to identify fundamental needs and expectations of customers.
- 1.3.2 The records of this procedure shall be evaluated and considered to determine quality and product safety objectives.

1.4 Management review

- 1.4.1 Senior management shall ensure that the quality and productsafety management system is reviewed at least annually, or more frequently, if changes occur. Such reviews shall contain, as a minimum,
- results of audits
 - customer feedbacks
 - status of preventative and corrective actions
 - quality and product safety policy and objectives
 - follow up actions from previous management reviews
 - changes that could affect the product safety and quality management systems and
 - recommendations for improvement.

// 2.1 Senior management responsibility

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

- buildings
- storerooms/storage areas, storage facilities
- machines and equipment
- transport vehicles
- transport units
- transport containers.

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

1.4.3 The company shall identify and review regularly, but at least annually, the work environment needed to achieve conformity with product requirements (e.g. by internal audits or onsite inspection). This review shall include as a minimum:

- staff facilities
- safety and security at work
- hygienic conditions.
- The results of the review shall be considered, with due consideration to risk, for investment planning.

> 2.1	Senior Management Responsibility
> 2.1.1	Evaluation of companies commitment on Product Safety Culture aspects
DL2.3-2-1/1 V1	

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CLARIFICATION ON PART 2 – 1 SENIOR MANAGEMENT RESPONSIBILITY

2.1.1 Evaluation of companies commitment on Product Safety Culture aspects

Product Safety Culture is a common term defined as:

- Shared values, beliefs and norms that affect mindset and behavior toward product safety in, across and throughout an organization.
- Elements of product safety culture are those elements of the quality and product safety management which the senior management of a company may use to drive the product safety culture within the company.

These shall include as a minimum:

- Communication about product safety policies and responsibilities,
- Training,
- Employee feedback on product safety related issues,
- Performance measurement.

These Product safety culture elements are already addressed through various requirements in the IFS Logistics checklist, as product safety culture refers to people (employees), awareness, communication, training and continuous improvement.

The introduction of the new terminology is intended to encourage the senior management to consciously deal with the concept of the product safety culture. For this purpose, it is required that the senior management includes a clear committing statement on product safety culture in its corporate policy and to evaluate regularly the objectives and measures derived from it in the management review.

- **Corporate policy (1.1.1), objectives (1.1.2) and commitment (1.2.7 KO N° 1):**
Senior management develops, implements and maintains corporate policy (product safety responsibilities, training, employee feedback on product safety issues)
- **Management review (1.4.1):**
Regular review of the quality and product safety management system (results of audits, customer feedback, status of preventive and corrective measures, etc.)

Auditors are required to evaluate the inclusion of product safety culture aspects as laid down above at the respective company and score it accordingly, starting 1st of January 2021.

PART 2 – 4 Realisation of the service

2.4.1.2 Suppliers and service providers

4.1.2.1 There shall be a procedure for approval and monitoring of suppliers (internal and external) and service providers. The monitoring procedure shall include risk-based assessment criteria such as supplier reliability, complaints, audits, certificates of compliance as well as required performance standards.

> 2.4	Realisation of the service
> 2.4.1.2	Suppliers and service providers
> 2.4.1.2.1 DL2.3-2-4.1.2/1 V1	Approval procedure for suppliers and service providers – exceptional case

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CLARIFICATION ON PART 2 – 4.1.2 SUPPLIERS AND SERVICE PROVIDERS

2.4.1.2.1 Approval procedure for suppliers and service providers – exceptional case

In exceptional cases, such as emergency situations or seasonal peaks, where it is not possible to finish the full approval procedure of the supplier or service provider needed in due time, the approval and monitoring procedure of incoming purchased products and/or services described in 4.1.2.1 shall adequately address the missing parameter through increased frequency of checking and appropriate monitoring measures.

All exceptional cases shall be justified and documented.

If the concerned parameter is a customer requirement, the exceptional situation shall be notified before commissioning.

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PART 2 – 4 Realisation of the service

2.4.3 Transport

2.4.3.2 Transport service providers

4.3.2.1 Where a company uses a third-party transport service provider on a regular basis, all the requirements specified within section 4.1, 4.3 and 5.3 shall be clearly defined in the respective contract or the service provider shall be certified according to IFS Logistics.

4.3.2.2 The drivers of the service provider shall know and apply the personnel hygiene requirements.

4.3.2.3 Where a company uses a third-party service provider on an irregular basis for the transport of packed products (spot market), the service provider shall be certified according to IFS Logistics or fulfill the following evidently and binding agreed requirements:

- the transport units and truck shall be clean
- the service provider shall ensure temperature of product is controlled
- different products shall clearly separated
- there shall be absence of smells and other contamination (4.1.3.1)
- requirement 4.1.1.3 shall be fulfilled
- requirement 5.3 shall be fulfilled
- requirements 5.6 shall be fulfilled.

If the product is forwarded to another service provider, these defined requirements shall be met.

> 2.4	Realisation of the service
> 2.4.3	Transport
> 2.4.3.2.1	How to control parcel service providers if used for transportation of products?
DL2.3-2-4.3.2/1 V1	

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CLARIFICATION ON PART 2 – 4.3.2 TRANSPORT SERVICE PROVIDERS

2.4.3.2.1 How to control parcel service providers if used for transportation of products?

If the company is assigning parcel service providers for the transportation of products, it shall be ensured that the integrity and safety of the product is not compromised during the whole distance and that general terms and conditions of the parcel service provider are respected (e.g. no temperature controlled products).

The company shall conduct a risk assessment and implement controls based on a “worst case scenario”.

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PART 2 – 6 Product defense plan and external inspections

2.6.1 Defense assessment

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

2.6.4 External inspections

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

- > 2.6 Product defense plan and external inspections
- > 2.6.1 Clarification about the (non) applicability of requirements 6.1.3 and 6.4.1
[DL2.3-2-6/1 V1](#)

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CLARIFICATION ON PART 2 – 6 PRODUCT DEFENSE PLAN AND EXTERNAL INSPECTIONS

2.6.1 Clarification about the (non) applicability of requirements 6.1.3 and 6.4.1

6.1 Defense assessment, requirement 6.1.3

IFS Logistics 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 or product defense legislation exists in the country where the audit is done and where the products are sold.”

6.4 External inspection, requirement 6.4.1

IFS Logistics 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 is done which ask for external inspections and/or regulatory visits or if the company doesn’t export to the USA and no FDA inspection could happen.”

Clarification: This requirement is not applicable if no food or product defense legislation exists in the country where the audit is done which ask for food defense external inspections and/or food defense regulatory visits or if the company doesn’t export to the USA and no FDA food defense inspection could happen.”

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

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PART 3 – 3 Requirements for IFS Logistics Auditors

3.3.2 Specific requirements for pure Logistics auditors (not already IFS Food or IFS HPC or IFS PACsecure approved auditors)

The requirements for IFS Logistics auditors, which are not already approved for IFS Food, IFS HPC or IFS PACsecure are the following:

– **Education and minimum experience:**

- A food-related university degree and two (2) years professional experience in the logistical sector (Food + Non-Food)

or

- A food-related university degree and two (2) years audit experience in the logistical sector (Food + Non-Food)

or

- A Non-food-related university degree and three (3) years professional experience in the logistical sector (Food + Non-Food)

or

- A professional education in logistics or food industry with technical school or comparable degree and two (2) years professional experience in the logistical sector (Food + Non-Food).

– **General audit experience:**

A minimum of 8 complete audits shall be performed by the auditor in the logistical sector (Food + Non-Food) during the previous five (5) years in different companies. A minimum of 5 audits thereof shall have taken place in food logistics, including unpacked and temperature controlled products (e.g. carcasses, milk in tanks, frozen food products).

// 3.3.2 Specific requirements for pure Logistics auditors (not already IFS Food or IFS HPC or IFS PACsecure approved auditors)

The following audits will be accepted:

- Audits against GFSI recognized standards, Global GAP, GMP + standards, ISO 9001, ISO 22 000.
- The audits shall have been carried out at different production sites.

In addition, the candidate shall have participated in two (2) full IFS Logistics certification audits as a trainee during the last two (2) years.

If an auditor had no food related background (either education or work experience), he/she shall have additionally attended, as a trainee, to at least at 3 IFS Food audits (related to product scopes 1, 2 and/or 4).

– **Further qualification:**

- HACCP training (min. 2 days)

and

- IFS Logistics 2-day training course organised by the IFS Academy (with an included test for tech scope D)

and

- Recognised training in audit techniques based on QMS or FSMS – duration 1 week/ 40 hours or equivalent done by the certification body.

Then, the auditors shall pass a written and an oral exam.

Exam for pure Logistics auditors:

– **Written Exam:**

- Contains questions related to logistics for food and non-food products (e.g. standard scope, general IFS questions, food logistics, incl. questions concerning unpacked and temperature controlled products (e.g. carcasses, milk in tanks, frozen food products)).

// 3.3.2 Specific requirements for pure Logistics auditors (not already IFS Food or IFS HPC or IFS PACsecure approved auditors)

– Oral Exam:

- Contains case studies related to logistics for food and nonfood products.

Upon successful completion of the written IFS Examination, the auditor shall be signed off during her / his first IFS Logistics audit. The sign-off audit is the first witness audit of an auditor after having passed the IFS Examination for the purpose of confirmation of competencies for final approval as an IFS Logistics Auditor. The sign-off audit shall be performed during a full IFS Logistics audit.

> 3.3	Requirements for IFS Logistics Auditors
> 3.3.2	Specific requirements for pure Logistics auditors (not already IFS Food or IFS HPC or IFS PACsecure approved auditors)
> 3.3.2.1 DL2.3-3-3.2/1 V1	Which evidence should be provided to be approved for languages in addition to the native language?
> 3.3.2.2 DL2.3-3-3.2/2 V1	Do certification bodies need to send an updated CV to IFS offices for the re-approval process?
> 3.3.2.3 DL2.3-3-3.2/3 V1	Language of observers during IFS witness audits
> 3.3.2.4 DL2.3-3-3.2/4 V1	Additional approach for non-exclusive auditors
> 3.3.2.5 DL2.3-3-3.2/5 V2	Non exclusive auditor qualification maintenance
> 3.3.2.6 DL2.3-3-3.2/6 V1	Further rules and explanations concerning the non-exclusive approach
> 3.3.2.7 DL2.3-3-3.2/7 V1	IFS yearly in-house training: which way of training is allowed (e.g. webinars, face-to-face training, etc.)
> 3.3.2.8 DL2.3-3-3.2/8 V1	IFS Auditor conversion training for Logistics v2.3

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CLARIFICATION ON PART 3 – 3.2 SPECIFIC REQUIREMENTS FOR PURE LOGISTICS AUDITORS (NOT ALREADY IFS FOOD OR IFS HPC OR IFS PACSECURE APPROVED AUDITORS)

3.3.2.1 Which evidence should be provided to be approved for languages in addition to 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 reporting in this language without a translator

or

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

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CLARIFICATION ON PART 3 – 3.2 SPECIFIC REQUIREMENTS FOR PURE LOGISTICS AUDITORS (NOT ALREADY IFS FOOD OR IFS HPC OR IFS PACSECURE APPROVED AUDITORS)

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

Yes, certification bodies shall send to IFS offices an updated CV of each auditor when booking a seat at the calibration training course.

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CLARIFICATION ON PART 3 – 3.2 SPECIFIC REQUIREMENTS FOR PURE LOGISTICS AUDITORS (NOT ALREADY IFS FOOD OR IFS HPC OR IFS PACSECURE APPROVED AUDITORS)

3.3.2.3 Language of observers during IFS witness audits

The observer, during the witness audit to be performed every 2 (two) 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 – 3.2 SPECIFIC REQUIREMENTS FOR PURE LOGISTICS AUDITORS (NOT ALREADY IFS FOOD OR IFS HPC OR IFS PACSECURE APPROVED AUDITORS)

3.3.2.4 Additional approach for non-exclusive auditors

It is possible for applicants to apply directly at IFS for IFS examinations. The applicant has to fulfill all requirements as laid down in Part 3 of the Logistics Standard v.2.3.

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

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

When 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 approved IFS auditor.

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CLARIFICATION ON PART 3 – 3.2 SPECIFIC REQUIREMENTS FOR PURE LOGISTICS AUDITORS (NOT ALREADY IFS FOOD OR IFS HPC OR IFS PACSECURE APPROVED AUDITORS)

3.3.2.5 Non exclusive auditor qualification maintenance

In case of a non-exclusive auditor he/she is responsible to maintain her/his 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 the 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 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.

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CLARIFICATION ON PART 3 – 3.2 SPECIFIC REQUIREMENTS FOR PURE LOGISTICS AUDITORS (NOT ALREADY IFS FOOD OR IFS HPC OR IFS PACSECURE APPROVED AUDITORS)

3.3.2.6 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 his status between exclusive/non-exclusive status (and vice versa), concerned CBs will be notified automatically by IFS for every switch between the approaches.

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

A non-exclusive auditor cannot take over a position of responsibility regarding IFS in the CBs (e.g. TTT, 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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CLARIFICATION ON PART 3 – 3.2 SPECIFIC REQUIREMENTS FOR PURE LOGISTICS AUDITORS (NOT ALREADY IFS FOOD OR IFS HPC OR IFS PACSECURE APPROVED AUDITORS)

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

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

This course cannot be performed via webinar only. The course shall include at least a one day face-to-face meeting. Further training(s) can be done either via face-to-face meeting or via webinar, as long as it's dedicated to IFS.

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CLARIFICATION ON PART 3 – 3.3 REQUIREMENTS FOR IFS AUDITORS

3.3.2.8 IFS Auditor conversion training for Logistics v2.3

For IFS Logistics v2.3, the IFS in-house conversion training is a modular course: one part is focused on the new scoring system and the second part is a webinar on the related software changes.

The training is mandatory for all IFS Logistics Auditors, Reviewers and IFS Trainers (Food, HPC or PACsecure, who are responsible for the IFS Logistics part of the in-house training).

- The training material is provided by IFS and can be downloaded in the CB login area of the IFS Database.
- IFS Auditors and Reviewers need to be trained by the CB's TTT for IFS either face-to-face or online.
- The auditor/ reviewer has to complete this conversion training before he or she can perform/ review his or her first IFS Logistics v2.3 Audit.
- After the auditor/reviewer has completed the training, the CB adds the training as conversion training (section in-house trainings) into the corresponding auditor profile in the IFS Database. In case the auditor is IFS Logistics and IFS Broker Auditor the training has to be added for each IFS Standard separately. The function in the IFS Database will be available from the day of publication of the new versions.
- Please note that the IFS Logistics v2.3 conversion course is a separate training. It cannot be included in the regular in-house training.
- The IFS Integrity Program will review the profiles in the Database accordingly.

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PART 3 – 3 Requirements for IFS Logistics Auditors

3.3.4.2 Maintaining IFS Logistics auditor qualification. For “pure” IFS Logistics auditors

To maintain IFS Logistics qualification, the auditor shall fulfill the following requirements:

- Participation in Logistics calibration training course every (two) 2 years, organized by IFS
- Performance of 5 IFS Logistics audits per year
- Yearly in-house training course
- Witness audit (during an IFS Logistics audit), every (two) 2 years

> 3.3	Requirements for IFS Logistics Auditors
> 3.3.4.2	Maintaining IFS Logistics auditor qualification .For “pure” IFS Logistics auditors
> 3.3.4.2.1 DL2.3-3-3.4.2/1 V1	Clarification on the maintenance of auditor approval in certain specific situations

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CLARIFICATION ON PART 3 – 3.4.2 MAINTAINING IFS LOGISTICS AUDITOR QUALIFICATION. FOR “PURE” IFS LOGISTICS AUDITORS

3.3.4.2.1 Clarification on the maintenance of auditor approval in certain specific situations

Every year Auditors shall perform a minimum of five (5) IFS Logistics Audit as a lead or co-auditor.

This is applicable from the first full year following approval as an IFS pure logistics auditor.

In the following specific situations:

- In case the IFS auditor is also an IFS manager within the certification body
- In case the product scope the auditor has is in a specific country where there is a lack of customers
- In case it is in a specific emerging market
- It is expected that a maximum of IFS Logistics Audit is performed within the 5 audits

It is acceptable to perform at least 1 IFS Logistics Audit and 4 audits according to GFSI recognised standards every year, nevertheless certification bodies shall do the utmost to perform as many IFS Logistics Audit per Auditor as possible.

In case of any other special situations, it is mandatory to contact the IFS Auditor Management for a case by case decision.

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

4.1.4 Minimum requirements for IFS certificate (Annex 4)

After successful completion of the IFS Logistics process, the certification body shall issue a certificate. For the purposes of international recognition, and so as to be understandable, IFS certificates awarded by the certification body shall include the following information as 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
- GS1 GLN(s), if available
- description of exclusions, if applicable
- if the company is a subsidiary, the name of the company's headquarters
- audit scope: type of logistical activities (e.g. transport, incl. type of transport; storage), the product scope(s) (food, nonfood), as a minimum (further details about product groups can be also specified but this is not mandatory), conditions of the handling (e.g. ambient stable, chilled, frozen, etc.) and, if applicable, if there are also: broker services). The audit scope shall always be translated as well into English language.
- If applicable (in case of a combined audit IFS Logistics / IFS Broker) name and number of product scope(s) of the additional broker services
- level achieved (foundation or higher level)
- audit score in percentage
- last unannounced audit date (last day of the audit). If an unannounced IFS Logistics Audit has not yet been conducted for the respective COID, the certificate shall indicate the following:
"Last audit conducted unannounced: N/A".

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

- date of follow up audit if relevant (renewal audit), specify if unannounced
- 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 and Part 5 (for unannounced option))
- place and date of signature
- name and signature of the certification body's person(s) responsible for the certification decision as described in Part 3 of the Standard
- QR-code
- IFS Logistics Logo.

> 4	Reporting, auditXpressX™ software and IFS Audit Portal
> 4.1.4	Minimum requirements for IFS certificate (Annex 4)
> 4.1.4.1 DL2.3-4-1.4/1 V1	Sentence to be written on the announced certificate when the company still didn't decided on announced or unannounced audit for the following year
> 4.1.4.2 DL2.3-4-1.4/2 V1	Indication of date of the last unannounced audit conducted
> 4.1.4.3 DL2.3-4-1.4/3 V2	How is the COID managed for companies in some specific cases?

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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 still didn't decided on 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 on announced or unannounced audit for the following year?

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

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

4.1.4.2 Indication of date of the last unannounced audit conducted

In connection to doctrine rule DL2.3-5-0.1/1 V1, the certificate shall also include the date of the last audit conducted unannounced (last day of the audit).

If no unannounced IFS Logistics audit has been conducted for the respective COID, 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.

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

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

In the case of multi-legal entity sites:

The following shall apply to multiple legal entities at one physical location with the same scope:

- one audit,
- different COIDs,
- duplication of certificate and report.

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

A new COID has to be created and a **new audit** shall be organised if a company has a **new address** but the same employees, same services/processes:

- The old audit is visible and clearly connected to the old COID.
- The access rights to the report, the action plan and the audit comparison are transferred to the new COID. Both COIDs will be linked in the IFS Database.

The first audit performed at the new site is an initial audit. Therefore, the rule regarding 3 consecutive Assessments by the same auditor does not apply.

A new COID has to be created if the company is **changing its legal entity**, but all premises remain at the same location (same address) including, same employees, same services/processes:

- The old audits are not visible but the old COID is provided.
- The access rights to the report, the action plan and the audit 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 audit for the new legal entity) or if a new audit shall be done.
- The rule regarding 3 consecutive Assessments by the same auditor applies. It is recommended that the action plan of the “old” site is checked by the auditor especially in case of any product safety and quality management system deviation(s) and/or previous non-conformities.

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// 4.1.4.3 How is the COID managed for companies in some specific cases?

There is no change of COID if a company has:

- the same name, same address, **new management (new owner)**, same services/processes
- a new company name, new management (new owner), the same legal entity same address, same employees, same services/processes.

Subsequently the certificate shall be updated with the new name and the company name shall be changed in the IFS Database (with a reference to the previous name in brackets).

In this case 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.

Because of the same COID, the audits continue to count for the auditor as consecutive audits at the same site.

Note 1: If a company maintains the same legal entity with the same employees, same logistics services/processes and just changes the legal form (example: Jelly LTD to Jelly LLP) the COID shall not be changed.

Note 2: If a company maintains the same legal entity with the same employees, same logistics services/processes and just changes the company name (example: Jelly sweet LTD to Jelly LTD) the COID shall not be changed.

Note 3: In each case where the COIDs are linked, a notification will be sent out to those who marked the company as favourite.

Note 4: 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 audit history is visible under the new COID. The old audit are visible and clearly connected to the old COID. The access rights to the report, the action plan and the audit comparison are transferred to the new COID.

This point is applicable from the date of this Doctrine publication.

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

4.1.4.4 Clarification about the headquarter/central management information on the certificate

The headquarter/central management name including its address shall be written on the IFS Certificate and indicated as such in case one of the below is applicable:

- The headquarter/central management is responsible for certain central management system elements and is audited for that, being part of the IFS Multi-location/Multi-site approach.
- The headquarter/central management is not responsible for certain central management system elements but according to ISO/IEC 17065:2012 norm is the legal responsible „client“ for the audit(s) of the processing site(s) and is having a contract with the certification body.

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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 for their particular site(s):

- IFS Logistics announced audit (option “Announced”): the requirements defined in the Part 1 of this Standard apply.
- IFS Logistics unannounced audit (option “Unannounced”): the below described procedures apply. This option involves a full unannounced audit against the audit checklist of the IFS Logistics requirements, which replaces the yearly scheduled renewal 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 Logistics 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	Audit protocol for unannounced audits
> 5.0.1	Unannounced audit protocol
> 5.0.1.1 DL2.3-5-0.1/1 V1	Mandatory application of the unannounced option once every three years

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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 chosen at least once every third IFS certification audit on a mandatory basis.

Based on this rule, in 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 case the company (COID) is changing its certification body or in case the company was formally certified against any other GFSI recognized Standard.

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

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PART 5 – Audit protocol for unannounced audits

5.1.1 Timeframe for registration for an unannounced audit

To get registered for an unannounced audit, the company shall notify its certification body at latest four (4) weeks 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.

> 5.1.1 Timeframe for registration for an unannounced audit

> 5.1.1.1 Unannounced audit registration
DL2.3-5-1.1/1 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

The option 2 is no longer available and the following rules are applicable from the date of this Doctrine publication:

The already registered with option 2 but not yet performed unannounced audits will be switched automatically to initial audits.

For initial audits (also in case of seasonal production), the certificate validity is calculated from the last day of the audit date within the chosen time frame.

For renewal audits, the time window is calculated as follows [- 16 weeks before audit due date; + two (2) weeks after audit due date]. The timeframe will be the same for all years.

An unannounced audit registration will be deactivated in the IFS Database if nothing has been uploaded within three (3) months of the last possible day of the audit time window, even if a calendar entry has been made. In case there was no calendar entry, the registration is directly deactivated after the last day of the audit.

In case something is to be uploaded after this day, this can be done by IFS only and would come with associated costs. The certification body shall contact IFS customer support in such a case.

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PART 5 – Audit protocol for unannounced audits

5.1.4 Audit scope

5.1.4.1 Specific audit process for multi-location companies with central management

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

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

> 5	Audit protocol for unannounced audits
> 5.1.4	Audit scope
> 5.1.4.1	Specific audit process for multi-location companies with central management
> 5.1.4.1.1 DL2.3-5-1.4.1/1 V1	How to handle the audit in multi-location companies with central management?

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

5.1.4.1.1 How to handle the audit in multi-location companies with central management?

Whatever the choice of audit type (announced or not) for the sites, the main rule is that the headquarter is audited before the site's audit. In case of unannounced, the audit to the headquarter shall be performed before the start of the unannounced audit time window of the production site audits.

It is not mandatory that all sites are audited unannounced.

The company can choose individually if the production sites shall be audited announced or unannounced.

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PART 5 – Audit protocol for unannounced audits

5.4 Conditions for issuing audit report and certificate

The same requirements as in Part 1, chapter 5.8 apply for issuing the certificate.

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

> 5	Audit protocol for unannounced audits
> 5.4	Conditions for issuing audit report and certificate
> 5.4.1 DL2.3-5-4/1 V1	How to handle the follow-up audit in the unannounced certification process?
> 5.4.2 DL2.3-5-4/2 V1	Can a certification body perform an unannounced audit after a failed audit?

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CLARIFICATION ON PART 5 – 4 CONDITIONS FOR ISSUING AUDIT REPORT AND CERTIFICATE

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

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

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CLARIFICATION ON PART 5 – 4 CONDITIONS FOR ISSUING AUDIT REPORT AND CERTIFICATE

5.4.2 Can a certification body perform an unannounced audit after a failed audit?

An unannounced audit can follow a failed audit in case:

- the site's customer requires an unannounced audit or,
- it is the third IFS Audit and an unannounced audit is due.

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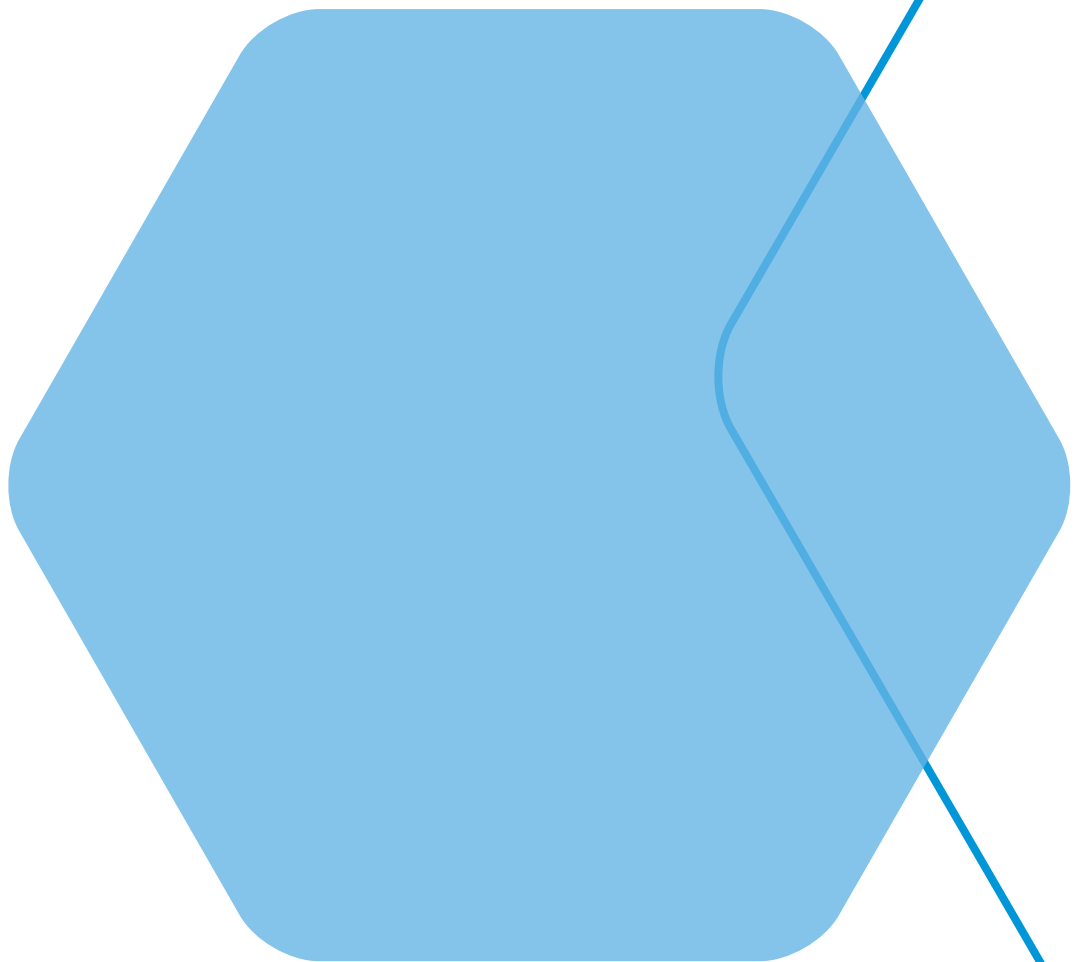
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