IFS
PIA
Product Integrity

IFS Product Integrity Assessment

Integrity Assessment of food products

VERSION 1.1

SEPTEMBER 2020

ENGLISH

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IFS Product Integrity Assessment

IFS PIA is an assessment program to check a company's management approach towards product integrity risks: is the company able to fulfill the customer's specification in such a way that a product fully complies with everything that has been communicated and on that basis expected?

Product integrity does not only relate to production processes in the production plant but also to administrative processes, the supply chain and how a company handles raw material related risks (food fraud, claims, etc.).

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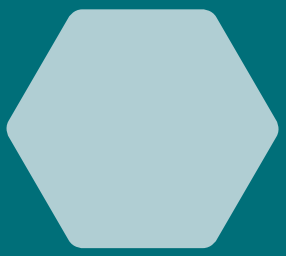


PART 1

PART 1
ASSESSMENT PROTOCOL

1 The history of International Featured Standards

Supplier audits have been a permanent feature of retailer's systems and procedures for many years. Up until 2003, the quality assurance departments of the individual retailers, wholesalers and food services performed such audits. A combination of the ever-rising demands of consumers, the increasing liabilities of retailers, wholesalers and food services, the increase of legal requirements and the globalisation of product supply made it all essential to develop a Standard that provides a uniform approach towards process/service compliance, quality assurance and food safety. Also, a solution had to be found to reduce the time associated with a multitude of audits for involved stakeholders.

The associated members of the German retail federation—Handelsverband Deutschland (HDE)—and of its French counterpart—Fédération des Entreprises du Commerce et de la Distribution (FCD)—drew up a quality and food safety standard for retailer branded food products under the name IFS Food. The standard is intended to allow the assessment of a supplier's products/processes quality and safety in accordance with a uniform approach. This Standard is now managed by IFS Management GmbH, a company owned by FCD and HDE.

The first standard of the IFS Standard family was IFS Food, which was launched in 2003 in Germany. An updated version, developed by French and German retailers, was published in January 2004. Between 2005/2006, the Italian federation joined the IFS Working Groups. The development of IFS Food Version 5 was a collaboration of retail federations from France, Germany, and Italy, as well as retailers from Austria and Switzerland.

For the current IFS Food Version 6.1, the International Technical Committee and the national Working Groups from France, Germany (for the whole German speaking area), Italy, Spain and North America have been actively involved, in addition to retailers, stakeholders and representatives of industry, food services and certification bodies from all over the world. Currently, IFS Food has been developed and supported by the food industry from Austria, France, Germany, Italy, Netherland, Spain, Switzerland, USA as well as experts from other European countries, Asia and South America.

Over the years, IFS Management has developed different standards with interested stakeholders to cover all processes and activities within the supply chain e.g. IFS Broker, IFS PACsecure or the IFS HPC standard among others.

1.1 The history of the IFS Product Integrity Assessment

Food scandals have a major impact on the consumer's trust in food products. As a result of recent integrity and fraud incidents, food retailers and producers have started to audit suppliers on the way they manage integrity risks.

The ever-rising demands of consumers and legal requirements, the increased liabilities of retailers, wholesalers and food services and the globalisation of product supply have made it all essential to develop a uniform program for product integrity. The program aims to reduce the time associated with a multitude of audits for involved stakeholders and to increase trust and transparency in the food industry.

The associated members of the German retail federation—Handelsverband Deutschland (HDE)—and of its French counterpart—Fédération des Entreprises du Commerce et de la Distribution (FCD)—drew up an integrity program for retailer branded food products named the IFS Product Integrity Assessment (IFS PIA). The program is intended to allow the assessment of a supplier's integrity management system by utilising a uniform approach. The program is managed by IFS Management GmbH, a company owned by FCD and HDE, and applies to all post-farm gate stages of food production.

1.2 Benefits of the IFS Product Integrity Assessment

The IFS PIA program checks a company's management of product integrity risks: is the company able to fulfill the customer specifications? In other words: can the company guarantee that a product fully complies with everything that has been communicated and therefore may be expected? Product integrity does not only relate to production processes in the production plant but also to administrative processes, the supply chain and how the assessed company handles raw material related risks (food fraud, claims, etc.).

The fundamental objectives of IFS PIA, as well as for other IFS Standards, are:

- to establish a common standard with a uniform evaluation system,
- to work with qualified IFS approved integrity assessors,
- to ensure comparability and transparency throughout the entire supply chain,
- to reduce costs and time for both suppliers and retailers,
- to exclude duplications of audits.

2 Purpose and contents of the assessment protocol

This assessment protocol describes the specific requirements for organisations involved in IFS PIA Assessments.

The purpose of the protocol is to define the criteria which need to be followed by a company to pass an integrity assessment performed by a certification body.

The IFS requirements for certification bodies and assessors are described in a separate document.

3 Types of assessments

3.1 Self-assessment

A voluntary self-assessment can be carried out to allow the company to decide whether to enter into the programme.

3.2 Assessment with Certification body

A non-accredited assessment of the site (s) is carried out to the requirements checklist.

4 Assessments

4.1 Assessment

All IFS PIA Assessments are performed at a time and date agreed between the company and the certification body selected by IFS. During the assessment, the company is assessed both in relation to its documentation and the processes themselves. During the assessment, all criteria of the IFS requirements shall be assessed by the assessor. The result/total score of the assessment will determine when the next assessment will take place (see: 6.1.5.1 Determination of the assessment frequency).

4.2 Improvement plan and corrective action plan

After the assessment, the company shall prepare an improvement plan that is reviewed by the assessor and included in his/her final conclusion. No follow-up/evidence is required. A corrective action plan has to be submitted by the company only if a Major or KO has been identified during the assessment. During the next IFS PIA Assessment, the assessor will review the improvement plan and/or corrective action plan as part of the assessment time schedule.

5 Coverage of the assessment

IFS PIA is an assessment for assessing suppliers of retailer and wholesaler branded food products as well as other food product manufacturers.
The scope of the assessment is always the same: the management of product integrity at location x of the company. This includes all processes and data relating to the integrity of products, which also applies in the case that processes are performed in other locations of the company or are outsourced. The scope shall be clearly and unambiguously stated in the assessment confirmation and assessment report.

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

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

The assessment scope shall include the complete activity of the site (i.e. the same kind of production on several lines for products under supplier brands and retailer/wholesaler brands) and not only the production line for retailer/wholesaler branded products. The scope shall be reviewed and agreed at the beginning of the assessment after an initial risk assessment has taken place. 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).

6 The assessment process

6.1 Voluntary self-assessment

Before being assessed, the company shall read the current version of the IFS PIA requirements in detail. Information on IFS PIA and general requirements are available and can be downloaded free of charge from the IFS website.

The self-assessment should be carried out by the site itself.

The self-assessment of the requirements on the checklist is a voluntary step. The intention is to allow the business to carry out its own gap analysis process and develop a corresponding improvement/action plan.

6.2 Certification body selection—contractual arrangements

All IFS PIA Assessments are performed at a time and date agreed between the company and the certification body selected by IFS.

In order to undertake the IFS PIA, the company shall order an assessment from/via IFS and complete a registration process, including a questionnaire. IFS will appoint a certification body which has assessors that are trained on IFS PIA. The IFS approved certification bodies, which have completed the IFS PIA training and have a contract with IFS, can perform IFS PIA Assessments and generate assessment reports.
The contractual arrangements for IFS PIA will be between the company and IFS. IFS will send the company a contract to be signed and will arrange the certification body to perform the assessment.

The assessment shall be carried out in the working language of the company and the certification body shall make every attempt to appoint an assessor whose native language or main working language is the language of the company.
Requirements evaluated with C, D and/or Major/KO shall always be translated into English in the assessment report.

It is the responsibility of IFS to verify that the certification body is approved to conduct IFS PIA Assessments.

6.3 Duration of an assessment

An assessment of the complete checklist should typically last two (2) days. The assessment duration does not include time for assessment preparation and report generation. Independent of the duration of the assessment, the assessor's preparation time for the assessment must be at least three (3) hours in addition to the on-site assessment.
Additionally, the time typically required to write the assessment report is five (5) hours.

6.4 Drawing up an assessment time schedule

After the assessment has been ordered with IFS and IFS has selected a certification body, the certification body shall provide the assessment time schedule.
The assessment time schedule includes appropriate details concerning the scope covered and the elements of the assessment. The assessment time schedule will take a review of the assessment report and improvement plan and/or corrective action plan relating to the previous assessment into consideration, regardless of when the previous assessment was carried out.

The assessment time schedule shall be sent to the assessed company before the assessment, in order to ensure availability of responsible persons on the day of the assessment.

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

The IFS PIA Assessment is not to be performed in combination with another standard/norm. The assessment shall be scheduled based on the following main elements:

- Opening meeting
- Assessment of the product integrity system
- Assessment of the traceability/mass balance system
- Product trail
- Site assessment (in case of production at site)
- Closing meeting.

The company will assist and co-operate with the assessor during the assessment. The assessor who conducts the assessment will assess all requirements of IFS PIA.
During the closing meeting, the assessor shall present and discuss deviations and (all) non-conformity(ies) which have been identified with the company.
The certification body shall issue a provisional assessment report to the company, which shall be used as a basis for drawing up an improvement plan and, in case of Major and KO non- conformities, a corrective action plan.

The assessor is responsible for adding his/her professional conclusion and for the preparation of the formal assessment report after receipt of the completed improvement and/or corrective action plan. Based on the final score (percentage) of the formal assessment report, the assessor will add a recommendation when the next assessment will have to be performed to the report.

6.5 Preparation of the assessment

The assessor will include product integrity risk profiles in the preparation of the assessment. The risk profiles are provided by IFS and are based on the information provided by the company in the questionnaire; about the products and critical raw materials they handle.

Alongside the risk profiles for the critical raw materials, IFS will provide the assessor with any points of attention raised by retailer clients of the company. These points of attention relate to the integrity of the product(s) that the retailer buys from the company. The retailers are requested to provide their points of attention by way of a questionnaire and they can support their input with integrity complaints, specific products and claims.

IFS will further provide the assessor with a list of product integrity related points for the assessment report that the assessor has to address as a minimum. Based on the risk profiles and other input, the assessor can add other product integrity related points to the assessment report.

The last preparation step is the internet research by the assessor him/herself. The objective is to look into communications that can be found on the internet related to product integrity and the company itself.

6.6 Conducting the assessment

Assessments shall be conducted with the IFS PIA checklist (see Part 2).
Certification bodies shall download the current version of the IFS PIA Program from the IFS website. If available, the certification body shall use the checklist in the local language of the assessed company. Where translation in local language is not available, the English version shall be used.

The assessor shall assess all requirements of the checklist.

6.7 Evaluation of requirements

The assessor assesses the nature and significance of any deviation or non-conformity. In order to determine compliance with requirements of the IFS PIA Program, the assessor has to evaluate the requirements of the checklist. There are different levels to rank the findings.

6.8 Scoring system

For the regular requirements of the IFS PIA program, there are four (4) scoring possibilities:

A: Full compliance with the requirement specified in the program.

B: Adequate compliance with the requirement specified in the program, but improvement is possible.

C: Poor compliance, only a small part of the requirement in the program has been implemented and improvement is expected.

D: No compliance, the requirement in the program has not been implemented and immediate action is expected.

The interpretation of the A/B/C/D scores should be such, that improvement might be needed but there are no doubts regarding the actual integrity of products.

Points are awarded for each requirement as follows:

Chart N° 1: scoring of requirements

Result	Explanation	Points
A	Full compliance	20
B	Adequate compliance, improvement is possible	15
C	Poor compliance, only a small part of the requirement has been implemented	5
D	No compliance, requirement has not been implemented	0

The assessor shall explain all scorings with B, C and D in the assessment report.

In addition to this scoring, the assessor can decide to give the company a "KO" or "Major" non-conformity to any requirement of this program. This possibility is explained in the next section.

6.8.1 Scoring a requirement as a non-conformity

There are two (2) types of non-conformities in IFS PIA: Major and KO. Either of the non- conformities will lead to a subtraction of points from the total amount.

6.8.1.1 Major non-conformity

A Major non-conformity can be given to any requirement when an **unintentional** product integrity issue is identified.

This non-conformity will lead to a subtraction of 50 % of the possible total amount of points.

6.8.1.2 KO (Knock Out) non-conformity

A KO (Knock out) non-conformity can be given to any requirement when an **intentional** product integrity issue (fraud) is identified.

The assessment cannot be successfully completed and 100 % of the possible total amount of points is subtracted.

If the assessor establishes during the assessment that a requirement is assessed with KO, this means that an intentional integrity issue, or fraud, is identified. In that case, the company cannot pass the assessment successfully and no letter of confirmation can be issued. This should be reported to the IFS Integrity Program no later than 2 (two) working days after completing the assessment to involve the certification body that issued the IFS certificate. The certification body has the responsibility to follow up on this non-conformity with the company.

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

Those requirements deemed not applicable to the site shall be identified by the assessor, where applicable.
When the assessor agrees that a requirement is not applicable for a site, it has to be scored as:

N/A: Not applicable and provide a short explanation in the assessment report. N/A scoring is possible for any requirements of the IFS PIA Program checklist.

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

N/A requirements will be excluded from the final scoring.

6.10 Scoring of the Professional conclusion of the assessor

The Professional conclusion of the assessor is an overall evaluation of the assessment (considering the preparatory phase of the assessment, the assessment itself and the phase following the assessment until completion, including the improvement and/or corrective action plan), focusing on: drive, risk awareness and level of control the company has in the area of product and process integrity (see Part 2, Annex 1). The four (4) criteria can be rated with A, B or C. The 4th criterion (best/poor practices) can result into a 10 % addition/deduction on the final assessment score:

Chart N° 2: Scoring of the professional conclusion of the assessor

Result	Explanation
A	Plus 10 % (addition)
B	Neutral
C	Minus 10 % (deduction)

The rating for the professional conclusion of the assessor is added after the improvement plan is submitted and reviewed for the final assessment report.

6.11 Assessment report and letter of confirmation

Following each assessment, a written report shall be prepared in the agreed format (see Part 3). Furthermore, a letter of confirmation shall be issued.

The report gives an overview of the total scoring according to the requirements of IFS PIA, including the professional conclusion of the assessor.

The letter of confirmation specifies details of the assessment and the final assessment result.

6.12 Format of the assessment report

The assessment report shall provide transparency and confidence to the reader and will be completed by the assessor. The assessment report is an Excel template subdivided into different sections/tabs:

- Assessment details, including company profile
- Checklist with scoring, rating and observations for all requirements and with a summary per chapter
- Improvement plan and/or corrective action plan
- Assessment report: general assessment report for publication, including a general summary, professional conclusion of the assessor, a tabular listing of scoring on a selected set of product integrity criteria and the retailers' attention points, total score and percentage and assessment frequency decision
- Separate list (including explanations) of all requirements evaluated with N/A (not applicable)

All deviations (B, C, D) and non-conformities (KO, Major) identified during the assessment, are presented in a separate action plan. For non-conformities, the company has to produce a corrective action plan. In this way, the reader of the report can see the non-conformities and deviations, and also the actions that the company is initiating.

6.13 The different steps of the assessment report

6.13.1 Drawing up the pre-report of the assessment

The assessor shall explain all Major and KO non-conformities and deviations (B, C, D) and all requirements that are found as N/A in the checklist observations.

The assessor shall complete field A in chart N° 3, explaining and justifying the claim of deviations and non-conformities before sending the outlined improvement plan and/or corrective action plan and the pre-report of the assessment to the company.

The certification body shall send the pre-report of the assessment to the company within two (2) weeks of the assessment date.

6.13.2 Completion of the corrective action plan by the company

The company is given the opportunity to review the pre-report and draw up an improvement plan (for C and D scores, improvement is expected) and, if Majors/KO were identified, to draw up a corrective action plan.

The improvement plan is not mandatory but meant to facilitate the dialogue between the company and its clients. A corrective action plan is mandatory in case of Majors/KO non-conformities.

For the corrective action plan, the company shall enter the correction, root cause and proposed corrective actions (field B of chart N° 3) for all Major and KO non-conformities listed by the assessor. The company shall clearly state the responsibilities and implementation deadlines for corrective actions (field C of chart N° 3).

In case of a Major non-conformity, improvement is necessary in order to receive a letter of confirmation. Evidence of implementation of the corrective action shall be delivered with the corrective action plan in order for the certification body to issue the letter of confirmation. At the next assessment, the assessor will verify the improvement.

In case of a KO score, the company cannot receive a confirmation letter. The company has to start a new application including explanations on root cause(s) and corrective actions. The company has to wait at least one (1) year following the assessment with KO score, before they can start the new application.

6.13.3 Assessor validation of the action plan and adding the professional conclusion

The assessor or a representative of the certification body shall validate the relevance of the improvement plan and/or corrective actions before preparing the final assessment report.

Results of this review will be expressed in the professional conclusion of the assessor.

During the next IFS PIA Assessment, the assessor will review the improvement plan and/or corrective action plan as part of the assessment time schedule.

The assessor shall add his/her professional conclusion to the final report of the assessment to make up the final score of the assessment (see also 6.10).

6.14 Further rules about the assessment report

6.14.1 Translation of the assessment report

As the IFS standards and programs are used internationally, it is important that customers understand the assessment report; this is particularly important in relation to non-conformities identified by the assessor, as well as corrective actions proposed by the assessed company. To make use of IFS internationally and to make it widely understandable, explanations for non-conformities in the action plan (chart N° 3 Field A) and in the assessment report shall always be translated into English:

- Major non-conformities
- KO non-conformities
- Corrective actions related to these non-conformities (chart N° 3, Field B) shall also be translated into English.

Chart N° 3: Outline corrective action plan

Requirement No.	IFS PIA requirement	Evaluation	Explanation (by the assessor)	Correction, root cause and corrective action (by the company)	Responsibility, date and status of implementation (by the company)
2.2			**Field A**	**Field B**	**Field C**
	The company shall have and maintain a current overview of all company sites and their locations.	Major			

The certification bodies are responsible to translate these explanations and corrective actions. The translation shall be made under each sentence of the original version and included in the assessment report.

6.15 Scoring details and conditions for issuing an assessment report and a letter of confirmation

Chart N° 4: Assessment results

Assessment result	Status	Action (assessed site)	Report form	Letter of confirmation
1 KO	Not approved	Actions and new initial assessment to be agreed upon	Report gives status	No
> 1 Major and total score < 50 %	Approved at lower level	• Send completed action plan within 2 weeks of receiving the preliminarily report • Send corrective action plan within two (2) weeks of receiving the preliminarily report	Report including corrective action plan gives status	Yes
Total score is < 50 %	Approved at lower level	Send completed action plan within two (2) weeks of receiving the preliminarily report.	Report including action plan gives status	Yes

Assessment result	Status	Action (assessed site)	Report form	Letter of confirmation
Total score is ≥ 50 % and < 70 %	Approved at foundation level	Send completed action plan within two (2) weeks of receiving the preliminarily report	Report including action plan gives status	Yes
Total score is ≥ 70 % and < 90 %	Approved at medium level	Send completed action plan within two (2) weeks of receiving the preliminarily report	Report including action plan gives status	Yes
Total score is ≥ 90 %	Approved at higher level	Send completed action plan within two (2) weeks of receiving the preliminarily report	Report including action plan gives status	Yes

Note: the total score is calculated as follows:

Total number of points
= (total number of relevant IFS PIA checklist requirements – requirements scored with N/A) × 20

Final score (in %)
= number of points awarded/total number of points + inclusion of the assessor's professional conclusion.

6.15.1 Assessment frequency

The IFS PIA Assessment can be passed at four (4) different levels. For each of these levels, there is a different assessment cycle.

For assessments in the meat sector, a separate assessment frequency applies due to the high vulnerability to fraud (see chart N°5).

Chart N° 5: Assessment frequency

Assessment level	Assessment frequency	Assessment frequency for the meat sector
Higher level Total score is ≥ 90 %	Renewal assessment after three (3) years	Renewal assessment after two (2) years
Medium level Total score is ≥ 70 % and < 90 %	Renewal assessment after two (2) years	Renewal assessment after two (2) years
Foundation level Total score is ≥ 50 % and < 70 %	Renewal assessment after year	Renewal assessment after year
Lower level Total score is < 50 %	Renewal assessment after six (6) months	Renewal assessment after six (6) months

Note: In case of a KO allocation, the assessment cannot be successfully completed and the company has to wait at least one (1) year following the assessment with KO score, before they can start the new application for IFS PIA.

6.15.2 Specific management of the assessment process (report, letter of confirmation) in case one or several KO's has/have been scored

In case one or several KO(s) is/are scored during the assessment, the current IFS PIA letter of confirmation shall be suspended in the IFS Audit Portal by IFS as soon as possible or within two (2) working days after the assessment date at latest.

Note: All users having access to the IFS Audit Portal and having mentioned the respective company in their favorites list will receive an e-mail notice.

7 Awarding the letter of confirmation

For the IFS PIA Assessments, no certificate is granted, but a letter of confirmation is issued. A template can be found in Part 3 of this document and can be generated via the provided excel file.

A letter of confirmation shall be issued to the specific assessed site.

7.1 Deadlines for awarding the letter of confirmation

The assessment shall be valid effectively from the date of issue stated on the formal report itself and shall end after the initial assessment date + eight (8) weeks – one (1) day + the time specified in the assessment report for the following assessment (see 6.13). The date for the following scheduled assessment shall be calculated from the date of the initial assessment, not from the date of issue of the report/letter of confirmation.

The time between the date of the assessment and the sending of the final report to IFS is determined as follows:

- two (2) weeks to draw up the preliminary report of the assessment
- 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 assessor to check the proposed improvements and/or corrective actions, add his professional conclusion and send the assessment report to the IFS.

In total: six (6) weeks between the date of assessment and final assessment report/sending the assessment report to IFS and awarding the letter of confirmation:

- Target time: six (6) weeks
- Maximum time: eight (8) weeks

7.2 Information about conditions of withdrawal of the report and letter of confirmation

Withdrawal of the report and the letter of confirmation by the certification body is only permitted in the event that a number of circumstances occur where the site may no longer comply with the requirements of the IFS PIA Assessment. These instances could be as follows:

- Proof that the site no longer complies with the requirements and the assessment protocol and that there are therefore serious doubts about the product integrity.
- Evidence of tampering with documentary records.

8 Assessment cycle

The renewal assessment should be initiated by the assessed company.

Note: the assessed company/site receives a reminder from the IFS Database six (6) months before the assessment report/letter of confirmation expires.

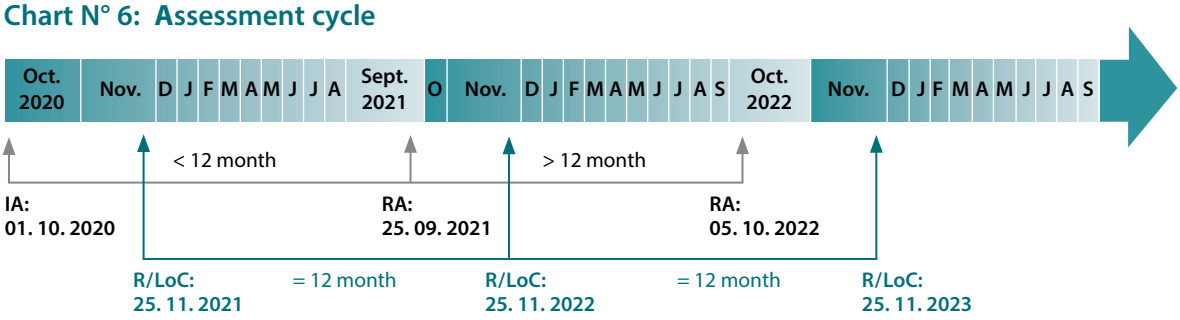
Even if the renewal assessment date changes and does not completely correspond to the anniversary date, the validity date of the assessment report and letter of confirmation shall remain the same each year.

This is to avoid gaps between two (2) consecutive reports/letter of confirmations. In addition, a company will not shorten its validity timeframe even when scheduling the assessment earlier than necessary.

Example for foundation level (new assessment after one (1) year):

Initial assessment date:	01. October 2020
Date of issue of report/letter of confirmation:	26. November 2020
Report/letter of confirmation valid until:	25. November 2021
Renewal assessment date:	25. September 2021
Report/letter of confirmation valid until:	25. November 2022 (independently from the renewal assessment date).

Chart N° 6: Assessment cycle



IA: initial assessment
RA: renewal assessment
R/LoC: assessment report/letter of confirmation valid until

The following assessment should be scheduled at earliest eight (8) weeks before and at latest two (2) weeks after the assessment due date (due date is the anniversary date of the initial assessment).

In the event that an assessed company does not conform with the above mentioned rules regarding assessment scheduling, this will lead to a break in the assessment cycle.

In the event that no renewal assessment takes place, the assessed company remains visible in the IFS Database for a further three (3) months after the validity of report/letter of confirmation has expired.

9 Distribution and storage of the assessment report

Assessment reports shall remain the property of the company and shall not be released, in whole or part, to a third party without the company's prior consent (except where required by law). This consent for distribution must be in writing and can be granted by the company vis-à- vis IFS/or vis-à-vis the relevant user. The certification body shall keep a copy of the assessment report. The assessment report shall be stored safely and securely for a period of five (5) years.

Access conditions to information about assessment reports are fully detailed in Part 3.

10 Supplementary actions

The decision on the level of supplementary actions required on the basis of the assessment report shall be made at the discretion of the individual retailer.

11 Appeal and complaints

11.1 Certification body appeal and complaints procedure

The certification body shall have documented procedures for the consideration and resolution of appeals against the results of an assessment.

These procedures shall be independent of the individual assessor and will be considered by senior management of the certification body.

Appeals shall be finalised within twenty (20) working days of receiving the information from the assessed company.

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

11.2 Quality assurance actions after complaint notification

Retailers or any other interested parties have the right to forward any possible complaint to IFS for investigation and management.

The IFS offices collect complaints concerning IFS PIA Assessments, reports or other circumstances in which the integrity of the IFS brand is in question.

Retailers, certification bodies, employees assessed according to IFS PIA and any other person can use the complaint form on the IFS website www.ifs-certification.com or can send an email to complaintmanagement@ifs-certification.com to inform IFS about a certain issue.

The IFS offices will gather all necessary information in order to investigate the cause of the complaint and to establish if there are deficiencies by the assessed company, certification body or the assessors in meeting IFS PIA requirements.

Based on this investigation and if deviations are identified, the certification body shall implement an appropriate action plan.

12 Ownership and usage of the IFS PIA logo

The copyright of IFS PIA and the registered trademark is fully owned by the IFS Management GmbH. The IFS PIA logo can be downloaded via the secured section of the IFS Database.

Furthermore, the terms and conditions stated below shall be checked by the assessor during the assessment and the results of this check shall be described in the company profile of the assessment report.

In the event that the assessor identifies that the company does not fulfil those terms and conditions, IFS offices shall be informed accordingly.

If a site is no longer qualified due to a withdrawal or suspension of the letter of confirmation, it may no longer use the logo or letter of confirmation.

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

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

An IFS PIA assessed Company may—subject to the provisions mentioned below—use the IFS PIA logo in its documents (for example invoices).
The IFS PIA logo can be used in print, physical and electronic form, and in films, providing the forms and formats are respected. The same conditions apply to the use of the logo as a stamp.

Restriction of comment and interpretations
When an IFS PIA assessed company, an IFS training service provider, an IFS consultant or an IFS certification body publishes documents bearing the IFS PIA logo, comment and interpretations referring to IFS shall be clearly identifiable as such.

Use of the IFS PIA logo in promotional material
An IFS PIA assessed company may use the IFS logo for promotional reasons and publish information about its IFS Assessment provided that it is not visible to the end consumer.

The IFS PIA logo and the information about the assessment may be used in correspondence with relevant IFS users, but not in correspondence with the end consumer.

The IFS PIA logo may not be displayed on the products themselves, or any kind of advertising document likely to reach the end consumer (e.g. public exhibitions for end consumers, brochures). The IFS PIA logo may be displayed on any kind of general communications (e.g. exhibitions for business contacts, brochures, generic articles about product safety and quality management in general, vehicles). It must be ensured that all information concerning the IFS PIA Assessments shall clearly reference IFS.

The IFS logo may not be used in presentations without any clear connection to IFS.

Further restriction on the use of the IFS PIA logo
The IFS PIA logo shall not be used in a way that could provide the interpretation that the IFS owner is responsible for the assessment decision. Furthermore, the same applies for opinions and interpretations which could be derived from it. In the event of withdrawal of the IFS PIA Program Assessment Decision, the assessed company has to immediately stop to include the IFS logo on its documents and/or website and stop any communication about IFS.

Communication of the IFS PIA Assessment
All the above mentioned rules apply to any communication regarding IFS PIA.

This also means that the wordmarks "IFS", "International Featured Standards", or "IFS PIA" or similar are not allowed to be communicated on finished products, which are available to the end consumer.

13 Review of the IFS PIA Program

The review committee needs to demonstrate control of the quality and content of the program and will regularly review the checklist and the protocol to ensure that they are still in compliance with their requirements. The review committee shall be formed with all participants involved in the assessment process: representatives of retailers, the industry, consultants and certification bodies. The objective of the review committee is to share experiences, discuss and decide on changes to the training and to the checklist requirements for the assessment report.

ANNEX 1: Scope of application of the different IFS Standards

IFS Food

Standard for auditing food product processors/manufacturers

IFS Food shall be used when a product is processed or where there is a hazard for product contamination during the primary packing.

IFS HPC

Standard for auditing household and personal care processors/manufacturers

IFS HPC shall be used when a product is processed or where there is a hazard for product contamination during the primary packing.

IFS PACsecure

Standard for auditing food and non-food packaging material manufacturers and applies to packaging processing and/or converting companies.

IFS Broker

Standard for auditing persons and/or companies who may, or may not own the products, and typically do not take physical possession of the products (e.g. which do not have warehouses, packing stations or truck fleet), but are legal entities which provide broker or agent services.

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

If a manufacturing company also has broker services and wants to certify both activities (processing and broker services), a combined audit may be performed (IFS Food or IFS HPC or IFS PACsecure respectively in combination with IFS Broker).

IFS Wholesale/Cash & Carry

Standard which covers all wholesaling activities of food, HPC and PACsecure products in Cash & Carry or wholesaling companies. Furthermore, certain treatment and/or processing activities are covered by this standard. This standard also covers packing companies for fruit, vegetables and/or eggs.

IFS Logistics

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

If a production company has its own logistics activities, they are already covered by the IFS product Standard under the specific sub-chapter about transport and/or storage. Therefore, it is not necessary to perform a combined audit for IFS Food, IFS HPC or IFS PACsecure with IFS Logistics.

IFS Progress

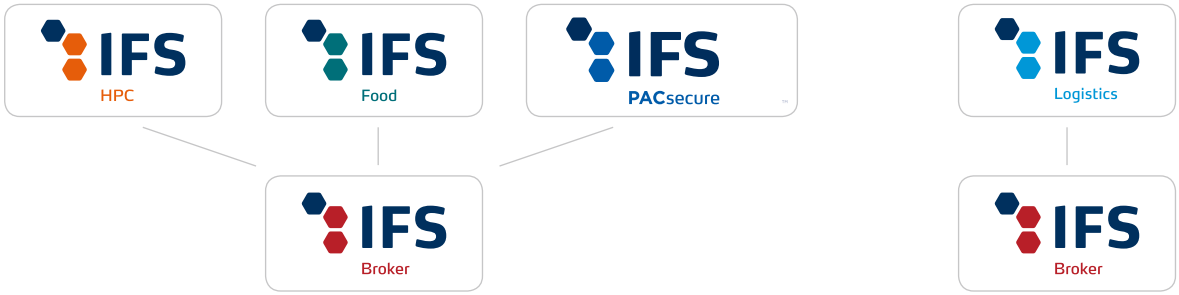
The IFS Progress Programs are assessment programs that enable suppliers to establish and develop appropriate processes to manage product safety and quality. The programs are built on standardised requirements and structured in two levels. They help suppliers progress towards IFS Certification within a defined time frame. Together with their customers, these companies can determine their path towards certification, including the pace and milestones. IFS offers Progress Programs for suppliers of food products, logistics services, packaging materials and household and personal care (HPC) products.

IFS combined audits

The different IFS product Standards can be combined with the IFS Broker as long as the manufacturing company also trades food and/or non-food products.

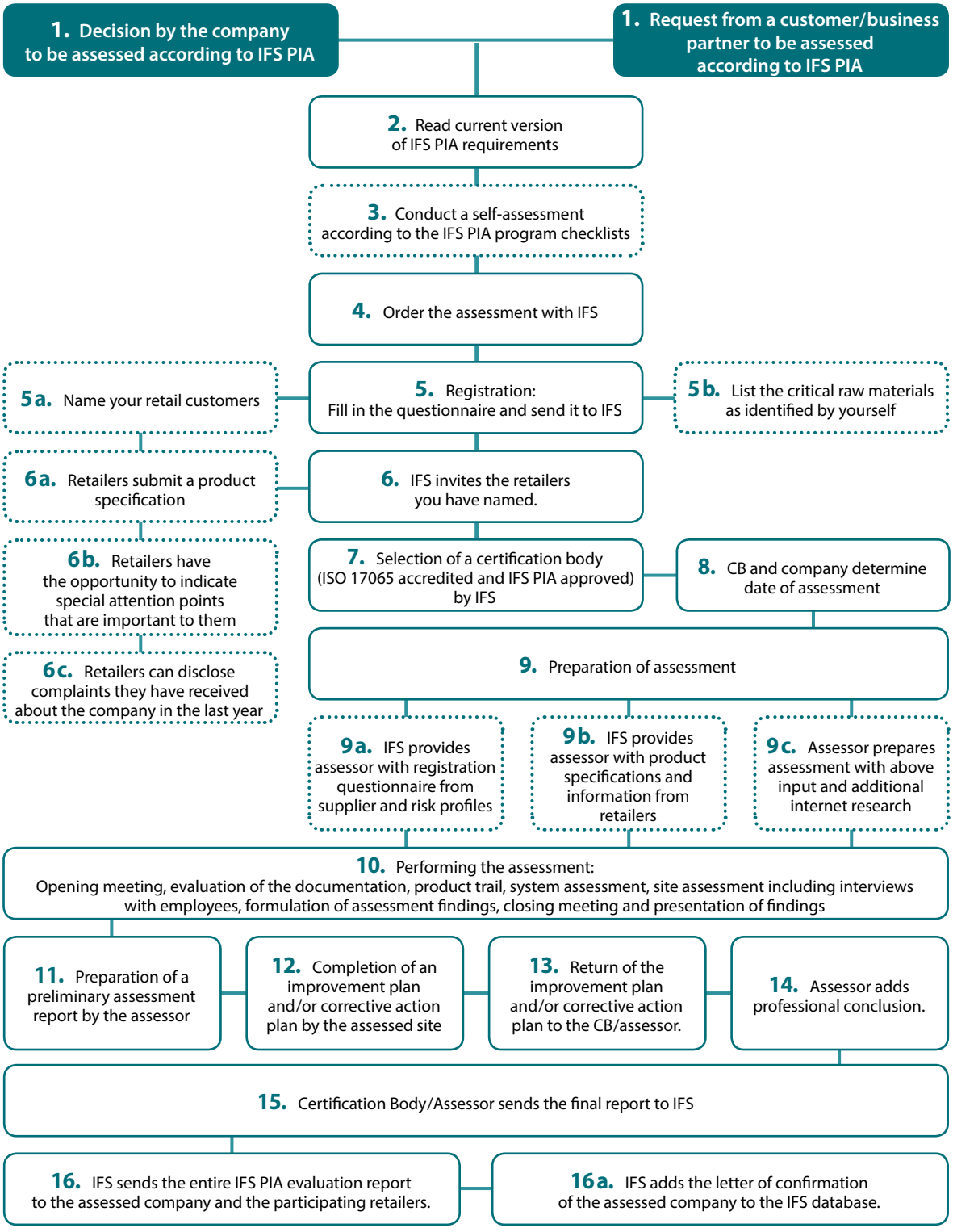
A combined IFS Logistics/IFS Broker certification can be applicable if a logistics company also has trading activities with food, HPC and/or packaging products.

Same combined audit can be performed, if a Broker also has own logistics activities, such as storage and/or transport.

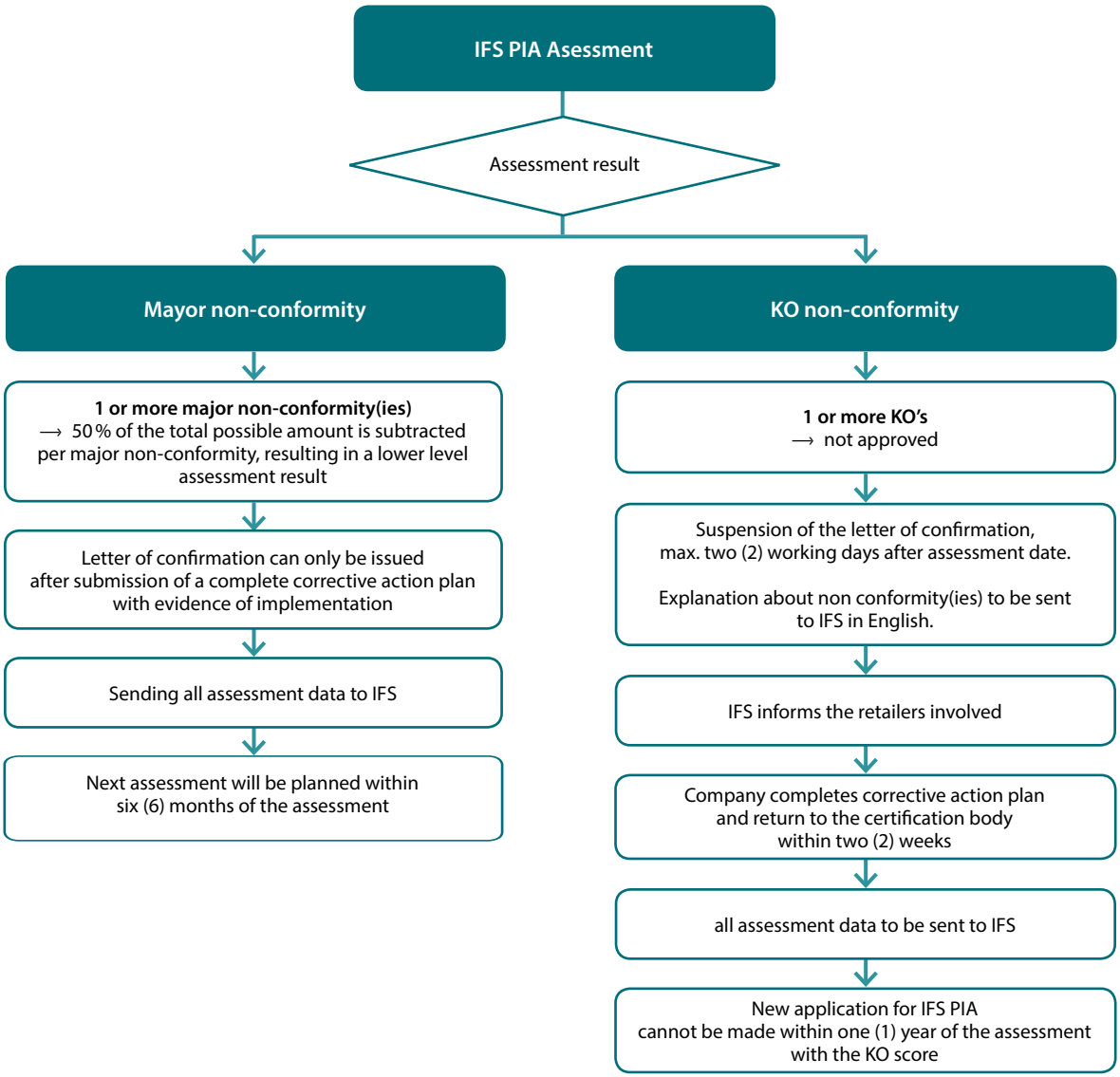


In all cases, the auditor/audit team shall ensure that both checklists are properly assessed and, if successful, the company shall get two(2) reports and two (2) certificates.

ANNEX 2: Assessment process



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



PART 2

PART 2
LIST OF IFS PIA ASSESSMENT REQUIREMENTS

1 Management Commitment & Company Culture

1.1 Management Commitment

1.1.1 Top management shall confirm its commitment to product integrity by laying down a corporate product integrity policy.

1.1.2 Top management shall communicate the corporate product integrity policy to all employees. The communication emphasises the importance of product integrity and the need to satisfy the requirements of this standard.

1.1.3 Top management shall ensure that the company continuously complies with this standard.

1.1.4 Top management shall provide the necessary resources to comply with this standard.

1.2 Management Responsibility

1.2.1 Top management shall ensure that the tasks, responsibilities and authorities for relevant roles to comply with this standard are assigned, communicated and understood within the organization. Concentration of power on one individual and/or conflicts of interest shall be avoided.

1.2.2 Top management shall assign a product integrity manager who has the responsibility and authority to determine, implement, maintain and update the product integrity management system.

1.2.2.1 The product integrity manager shall have an independent position with respect to operations and reports directly to top management about the effectiveness of the product integrity management system.

1.2.3 Top management shall take accountability for the effectiveness of the product integrity management system to achieve the goal of this standard and therefore shall ensure that SMART product integrity objectives are established for the management system.

1.2.4 Top management shall review the product integrity management system at least yearly to determine whether the system is effective. Top management shall draw a conclusion about the effectiveness of the product integrity management system, the achievement of integrity objectives, and the effectiveness of the product integrity policy. Where necessary, top management shall name and initiate actions for improvement.

1.2.4.1 The input for the management review includes a minimum of the following:

- product integrity objectives;
- status of actions established during the last management review;
- evaluation of risk profiles of raw materials, packaging materials, suppliers and subcontractors;
- evaluation of IFS PIA Assessment status of suppliers and customers (3.6);
- evaluation of the product and data integrity risk assessment;
- evaluation of the management of control points and control measures;
- evaluation of the validity of claims;
- evaluation of the management of non-conforming products;
- evaluation of complaints, recalls, internal and external audits;
- evaluation of the whistle-blower procedure;
- evaluation of product packaging design assessments (3.4);
- evaluation of the effectiveness of trainings;
- the availability of resources.

1.3 Company Culture

1.3.1 The company shall establish, document and implement a code of conduct applicable for all members of the management and all employees. This code of conduct contains guidelines for desired behaviour in relation to integrity and is communicated to all employees. Implementation of this code is the basis for creating a strong integrity and quality culture.

1.3.2 The company shall ensure that managers and employees are obliged to report non-conformities with regard to product integrity to a designated person. This obligation is laid down in instructions communicated to all employees.

1.3.3 The company shall determine, communicate and implement an easy approachable whistle-blower procedure which enables all employees to report issues with regards to product integrity.

1.3.3.1 The company shall ensure that whistle-blower-reports are documented and communicated to the relevant levels within the organization and all necessary measures are taken without unnecessary delay to correct non-conformities as well as their causes.

1.3.3.2 The company shall ensure that the whistle-blower is not in any way disadvantaged for reporting. This requirement needs to be included in the whistle-blower procedure.

1.3.3.3 The company shall test the whistle-blower procedure at least once a year to verify the implementation and effectiveness of this procedure.

2 Supply Chain and Subcontractors

2.1 The company shall have and maintain a current overview of the supply chain which indicates the position of the company in this chain.

2.2 The company shall have and maintain a current overview of all company sites and their locations.

2.3 The company shall have and maintain a current overview of subcontractors and their locations.

2.4 The company shall determine and implement a supplier approval procedure including the estab-lishment of risk profiles (high, medium, low; based on a risk analysis, see 4.4) of raw materials, packaging materials, suppliers and subcontractors. The risk profiles and the underlying motiva-tions shall be documented.

2.5 The company shall have and maintain a current overview of its suppliers (raw materials, packaging materials, (semi)final products) and their supply chain.

2.5.1 This overview shall specify:

- supplier activity (manufacturing, trading, subcontracting, outsourcing, etc.);
- supplier site location (postal code + place + country).

2.5.2 In case raw materials are identified as medium risk, the company shall identify all suppliers in the supply chain of the "last stage of production" level. In the event that raw materials are identified as high risk, the company shall identify all suppliers in the supply chain up to the source of the risk(s).

2.6 The company shall ensure that in case of outsourced processes where products are being pro-cessed and/or packed (co-manufacturing, co-packing), the subcontractor has a valid IFS PIA assessment status (or equivalent).

2.7 The company shall ensure that in case of outsourced processes where products and packaging are not changed (storage, transport), the service supplier has a valid certificate of a GFSI approved standard.

2.8 The company shall verify the IFS PIA assessment status or GFSI certification status of its subcon-tractors and service suppliers. The frequency of verification shall be based on a risk assessment, with a minimum of once a year.

2.9 The company shall determine and implement measures to manage the integrity of raw materials, packaging materials, suppliers and subcontractors (see 4.6). The control measures shall be pro-portional to the established risk profiles.

2.10 The company shall evaluate the risk profiles of raw materials, packaging materials, suppliers and subcontractors and review related control measures at least once a year.

3 Claims and Certificates

3.1 The company shall have and maintain a current overview of all customer contracts containing product integrity parameters and product claims.

3.2 The company shall identify and maintain a current overview of all types of product claims used as input for the product integrity risk assessment (4.4).

3.2.1 This overview specifies whether the claim is related to:

- the supply chain,
- the company's own manufacturing processes,
- or both.

3.2.2 This overview specifies:

- how the claim is communicated (website, database, contract, product specification, packaging, pictures, product label, social media, etc.);
- to whom the claim is communicated: customer (B2B), consumer (B2C) or both.

3.3 The company shall have signed contracts with relevant suppliers, subcontractors and service suppliers detailing supplier requirements to ensure the validity of product claims.

3.4 The company shall assess each (new and changed) product packaging and label design in order to identify misleading communication (pictures, statements). Results of the assessments are documented. Misleading packaging designs shall be corrected to ensure product integrity.

3.5 The company shall verify the validity of all claims. The verification shall include all control measures and all communications of claims. The frequency and method used (e.g. sampling, testing, traceability checks, mass balance calculation) shall be appropriate for the type of claim and the integrity risks involved.

3.6 In case a Scheme Owner requires a Chain of Custody assurance by means of the IFS PIA Assessment, the company shall only communicate claims when the supplier* (one tier down) and the customer** (one tier up) has a valid IFS PIA status.

* farmers shall be certified as required by the Scheme Owner
** customers selling products directly to consumers are excluded

3.6.1 The company shall verify the audit status of its suppliers (one tier down) and customers (one tier up) in the case of a Chain of Custody assurance. The frequency of verification shall be based on a risk assessment, with a minimum of once a year.

3.7 The company shall ensure that if it is aware of the fact that a claim can be at risk (e.g. horizon scanning, publications, RASFF), the company shall take actions to ensure the claim remains valid for its products.

4 Product & Process Integrity Risk Management

4.1 The company shall have a system in place which ensures it is informed and up-to-date with regards to current, emerging and potential product integrity hazards. This system provides input for the hazard and risk assessment and initiates updates of the product integrity risk management system when necessary.

4.2 The company shall have a schematic description of relevant primary manufacturing processes and related procedures including sales, purchasing, traceability, stock management and finance.
This description is the basis for the product integrity analysis and it is verified each year for completeness and accurateness by competent employees.

4.3 The company shall have a schematic description of relevant data processing procedures, including management of communications (through contracts, databases, websites, brochures, labels, packaging) management of recipes, product quantity/flow registration, and product & process development.
This description is the basis for the data integrity analysis and is verified each year for complete-ness and accurateness by competent employees.

4.4 The company shall identify and analyse (opportunity x impact) all relevant product integrity hazards related to the supply chain and to its own organization. This analysis shall take the operational, administrative, organizational and economic hazards for all relevant processes and procedures into account and shall identify significant product integrity and data integrity risks.

4.5 The company shall establish the control points to manage all significant product integrity and data integrity risks. These control points are included in the schematic process descriptions.

4.6 The company shall determine the control measures for all control points needed to ensure product integrity and data integrity.

4.7 The company shall establish and implement a monitoring system for each control point to demonstrate that the established control measures are effective and product integrity and data integrity is continuously under control.

4.7.1 The monitoring system shall include:

- responsibilities;
- control method;
- control frequency;
- actions needed in case of non-conformities (incl. re-check);
- registration of action and results;
- verification of the monitoring results.

4.7.2 The monitoring system shall identify, report and correct non-conformities in time to ensure product and data integrity.

4.7.3 The company shall carry out frequent verifications of the monitoring results/registrations. The frequency shall be based on a risk assessment to ensure the effectiveness of the monitoring. Verification shall be carried out and documented by other persons than those carrying out the monitoring. The verification method shall be documented.

4.8 Measuring equipment shall be calibrated as prescribed by the manufacturer. Calculations in automated systems shall be validated.

5 Traceability and Batch Balance

5.1 Traceability

5.1.1 The company shall identify all raw materials, packaging materials, and (semi)final products with (a) **specific claim**(s) communicated to consumers (B2C).
For these materials/products, additional requirements are applicable indicated with **'SC'**.

5.1.2 The company shall define the raw material batch size of raw materials and packaging materials. A raw material batch is typically defined by one type of raw material, one supplier, one date of receipt;
SC: and one supplier batch.

5.1.3 The company shall define the manufacturing batch size. A manufacturing batch is typically defined by one product type, one manufacturing date;
SC: and one manufacturing line and one manufacturing event.

5.1.4 The company shall describe and implement a system for the identification of raw material batches and manufacturing batches. This system shall ensure that raw materials, packaging materials and (semi)final products can be identified at all times and during all stages of the manufacturing process.

5.1.5 The company shall describe and implement a system for separation in time and/or place to prevent mixing and/or exchange of raw material batches and manufacturing batches at all times and during all stages of the manufacturing process.

5.1.6 The company shall ensure that the batch codes by which suppliers identify their delivery batches are known, documented and checked. Non-conformities shall be reported to the supplier.

5.1.7 The company shall establish and implement a procedure for the management (storage, release, use) of batch identification materials. Employees responsible for the use of identification materials shall be trained.

5.2 Batch Balance

5.2.1 The company shall describe and implement a system to follow each raw material batch (including packaging) administratively so that traceability (qualitative/quantitative) is ensured. This monitoring system provides an overview for each raw material batch detailing in which manufacturing batch it has been processed. This monitoring system is kept up-to-date so that the status of the batches is readily available.

5.2.1.1 **SC:** Each raw materials batch needs to be accountably verified (batch balance) to monitor the effectiveness (accurateness, completeness) of the traceability system.

5.2.2 The company shall describe and implement a system to follow each manufacturing batch administratively so that traceability (qualitative/ quantitative) is ensured. This monitoring system establishes a 'batch passport' per manufacturing batch which includes: the name of the final product, raw material/packaging batches used, volumes in kg and/or numbers,

SC: the place of processing (process line), processing times.

This monitoring system is kept up-to-date so that the status of the batches is readily available.

5.2.2.1 **SC:** Each completed batch passport needs to be accountably verified (batch balance regarding materials with specific claims (5.1.1)) to monitor the effectiveness (accurateness, completeness) of the traceability system.

5.2.3 The company shall describe and implement a system to follow deliveries administratively so that traceability (qualitative/quantitative) is ensured. This monitoring system provides an overview per manufacturing batch that specifies to which customer the delivery is supplied.

5.2.3.1 **SC:** Each completed manufacturing batch needs to be accountably verified (batch balance) to monitor the effectiveness (accuracy, completeness) of the traceability system.

5.2.4 The company shall determine a calculated waste percentage per product (group)/ process. These percentages are validated at least once per year or re-established when the process is adapted where they are documented with underlying supportive evidence.

5.2.5 The company shall, when applicable, describe and implement a procedure for rework. This procedure shall ensure the traceability of all rework. Rework shall be registered in the manufacturing batch passport. Employees shall be trained to manage rework conform procedure.

5.2.6 For raw materials, packaging materials and products with a certified claim, the product flow needs to be accountably verified (period mass balance) to monitor the effectiveness (accuracy, completeness) of the traceability system of raw materials batches, manufacturing batches and deliveries with a frequency based on a risk assessment, but at least once every quarter per year.

6 Product Integrity Management System

6.1 Organisation

6.1.1 The company shall have and maintain a current schematic overview of the company's organisational structure.

6.1.2 The company shall ensure that employees carrying out activities within the product integrity management system are trained and competent.

6.1.3 The company shall carry out refresher training at least once a year.

6.1.4 The effectiveness of the trainings shall be verified demonstrably.

6.1.5 The company shall appoint a replacement for key staff involved in the product integrity management system.

6.1.6 The company shall ensure that managers demonstrate daily supervision of effective implementation of the product integrity management system and take action in case of non-conformities.

6.2 Management System

6.2.1 The company shall have a GFSI approved certified food safety management system and a valid GFSI approved certificate.

6.2.2 The company shall integrate the management of product & data integrity into the procedures and instructions of the certified management system (including management of trainings, documents, internal audits, complaints, recalls, verifications, etc.).

6.2.3 The company shall establish and implement a procedure for approval, adaptation and implementation of supplier and customer contracts so that all customer requirements are integrated in the product integrity management system.

6.2.4 The company shall evaluate the rotation of suppliers, subcontractors, the certification body and customers and its effect on integrity risk management, at least once a year.

6.3 Non-conforming Products

6.3.1 The company shall ensure that (based on risk analysis) the packaging of raw materials, packaging materials and final products are tamper-proof. Products with tampered packaging shall be identified, isolated, blocked and documented.

6.3.2 The company shall ensure that returned products are identified, isolated, blocked and documented.

6.3.3 The company shall ensure that non-conforming products are identified, isolated, blocked and documented.

6.3.4 The company shall determine and implement a procedure for the release of blocked products including responsibilities and authorisations.

6.3.5 The release of blocked products shall be documented including motivations, actions taken, designation of the product, unique lot code(s) and released-by-name.

7 Product Integrity Financial Management

7.1 The company shall comply with applicable legislation. Issues with justice and authorities (food safety, tax, labour, environmental, etc.) resulting in a penalty in the past (max. 3 years) shall be reported to the assessor.

7.2 The company shall ensure that the annual financial report is approved without reservation by a registered accountant and is published within 6 months of the end of the financial year.

7.3 The company shall establish and implement a procedure for the monitoring of purchase prices of raw materials/packaging materials to:

- have a current overview of normal average rates;
- identify and register batches/contracts with abnormal prices;
- discuss these abnormalities in a multidisciplinary team and
- decide on follow up actions to ensure product integrity.

7.4 The company shall establish and implement a procedure for the monitoring of payments to suppliers of raw materials and packaging materials to ensure that:

- payments are only made to suppliers that are approved by the product integrity management system;
- payments of invoices with abnormal prices are only made after approval of a multidisciplinary team.

7.5 The company shall have a procedure for the handling of improper (financial) pressure by the customer to:

- identify, register and report improper pressure to top management;
- discuss improper pressure by a multidisciplinary team and
- decide on follow up actions to ensure product integrity.

7.6 In case the company is significantly (financially) dependent on a customer, the company shall establish and implement a procedure to discuss pressured situations that would be critical to product integrity with the customer. This procedure shall be agreed with the customer.

ANNEX 1: Professional conclusion of the assessor

Number	Requirement	Interpretation
1	The management and key personnel showed a sincere drive to ensure product integrity (do they want it?).	Personal and professional evaluation by the assessor of demonstrable genuine motivation of the management and key personnel of taking leadership and setting the right example related to product integrity.
2	The management and key personnel showed an appropriate risk awareness to support an effective product integrity system (are they able?).	Personal and professional evaluation by the assessor of demonstrable knowledge and accurateness (being to-the-point) of the management and key personnel regarding relevant product integrity risks and effective integrity measurements.
3	The management and key personnel demonstrated that they are in control and that the integrity management system is effective (do they do it?).	Personal and professional evaluation by the assessor of the demonstrable result oriented drive, determination and persistence of the management and key personnel for ensuring product integrity in practice.
4	In relation to best practices, the company showed strong- and/or improvement points resulting in an addition/deduction.	Personal and professional evaluation by the assessor of the level of product integrity measurements and practices of the company in relation to comparable companies and state of the art solutions.

ANNEX 2: Glossary

Definitions which are not mentioned in the glossary can be found in relevant regulations and directives. In relation to the terms used in this document, the following definitions apply and shall be respected.

Abnormal prices	Prices which are significantly higher or lower than usual (normal average rates).
Assessed company	The supplier/processing company to be assessed according to the IFS PIA Assessment
Batch balance	Quantity calculation where all outgoing products (output) equal all incoming products (input).
Certified claim	A claim that can only be used when the company holds a valid third party certificate.
"Chain of Custody assurance"	Surveillance of companies in the supply chain by third-party-auditing to assess compliance to scheme requirements and protocols.
Claim	A characteristic of a product which is specified explicitly in communication to customers and/or consumers (contract, product specification, database, packaging, label, website, social media, etc.) including but not limited to: content of ingredients, origin of ingredients, nutritional data, quantity data, marketing related claims, certified claims.
Company	General organisation (whereas the site is a unit of the company).
Consultants	Consultants are independent persons from the assessed company or relevant CB/ASP, who provide professional or expert advice in regards to the IFS PIA Program. They support the assessed party in their practical implementation of the IFS PIA requirements. Within the scope of the IFS PIA program, consultants do not conduct assessments, aside from the pre-assessment.
Correction	A correction is any action that is taken to eliminate a non-conformity. However, corrections do not address root causes. When applied to products, corrections can include reworking products, reprocessing them, regrading them, assigning them for a different use, or simply destroying them.
Corrective action	Measures that are taken to eliminate the causes of existing non-conformities in order to prevent recurrence. The corrective action process tries to ensure that existing non-conformities and potentially undesirable situations do not happen again.

Customer	A customer is anyone who receives products or services (outputs) from a supplier. Customers can either be people or organizations and can be either external or internal to the supplier organization. Examples of customers include clients, consumers, users, etc.
Daily supervision	Presence on the work floor; assessing operations (personnel, processes, equipment).
Data integrity	Guarantee that data and related information are correct.
Deviation	Non-compliance with a requirement but there is no impact on integrity related to products and processes. IFS defines deviations as requirements scored with a B, C or D and KO requirements scored with a B.
Food fraud	The deliberate and intentional substitution, mislabelling, adulteration or counterfeiting of food, raw materials, ingredients or packaging placed upon the market for economic gain. This definition also applies to outsourced processes.
Identification material	Material that identifies a product visually and makes a product recognizable.
Impact	Effect of a hazard on the integrity of a product quantified by means of the volume and/or the value of a product, taking into account the effect on public confidence.
Improper pressure	Pressure from customer on supplier to do something which is not legal, not ethical and/or not appropriate for the business and/or the company.
Key staff	Personnel with specific knowledge and/or specific duties and powers.
Letter of confirmation	Final written statement issued by the CB confirming that a company has successfully passed or provisionally passed the assessment.
Misleading communication	Any communication (statements/pictures) suggesting product characteristics that cannot be substantiated.
Non-conforming products	Products of which the integrity is unestablished or unsure.
Non-conformity	Non-fulfilment of a specified requirement. Non-conformity can be given when legislation, law, product integrity, internal dysfunctions and customer issues are not respected. IFS defines non-conformities as Majors and KO's scored with a D.
Packaging materials	All products regarding the primary and secondary product packaging including labels and ink.
Penalty	Formal warning or fine imposed by the authorities.
Procedure	Specified way to carry out an activity or process. Procedures shall be implemented and the elaboration of procedures can be laid out in documents or process description (e.g. flowchart).
Product	Result of a process or activities transforming inputs into outputs. Products include services.
Product group	Grouping of products due to similar characteristics or legal requirements (e.g. cosmetics, household chemical products, etc.).

Product integrity	Guarantee that a product fully complies with what is communicated (all elements of the product specification, label, website, social media) and based on that, what may be expected (including marketing claims).
Professional conclusion of the assessor	Conclusion and judgement of a qualified assessor based on expertise and experience.
Raw materials	Ingredients of a product including additives and excipients.
Retailer	The retail client of the company that orders and conducts the IFS Product Integrity Assessment
Rework	Product to be reprocessed and to receive a new batch code(s).
Risk	A function of the probability of a product integrity issue and the impact of that issue consequential to (a) hazard(s) in the supply chain and within the assessed company.
Risk assessment	The purpose of the risk assessment is to provide evidence-based information and analysis to make informed decisions on how to treat particular risks and how to select between options. The risk assessment is the overall process of risk identification, risk analysis and risk evaluation: • Risk identification is the process of finding, recognizing and recording risks. • Risk analysis is about developing an understanding of the risk. It provides an input to the risk assessment and to decisions about whether risks need to be treated and about the most appropriate treatment strategies and methods. • Risk evaluation involves comparing estimated levels of risk with risk criteria defined when the context was established, in order to determine the significance of the level and type of risk.
Risk awareness	Awareness of members of the organization regarding actual, potential and relevant risks.
Risk profile	Result of a risk assessment (high, medium, low) based on predefined parameters.
Scheme owner	Owner of a quality-label-scheme and corresponding requirements and protocols.
Senior management	Executive or Top management.
Significantly dependent on a customer	The situation where business/turnover of one customer is necessary for continuation of the company without major changes.
Site	A unit of the company.
Specific claim	An explicitly specified product characteristic, that distinguishes one product from another, additional to (different from) the legal mandatory specifications, including a certified claim.
Sub-contractor	Supplier of services to the company to handle and/or manipulate products or equipment. The company remains the owner. E.g. maintenance, cleaning, packaging, labelling, storage, transport.

Supplier	Supplier of products to the company. The company becomes the owner of the product supplied.
Tamper-proof packaging	Visualy recognizable that packaging has been opened/damaged (where/ when it should not).
Traceability	Ability to trace and follow a food, feed, food-producing animal or substance intended to be, or expected to be incorporated into a food or feed, through all stages of production, processing and distribution.
Verification	Additional check by a separate qualified person on procedures followed, accurate assessments and correct registrations to assess effectiveness of methods.
Waste percentage	Calculation (% of input) of amount of waste to be able to complete the batch balance calculation (100% output).

PART 3

PART 3
REPORTING

1 Introduction

After an IFS PIA assessment has been performed, a detailed and well-structured assessment report shall be completed. In general, the language of the report shall be the working language of the company. In special cases, where the native language of the trade partner is different from the language of the company, an English language version of the complete report could also be prepared.

Requirements evaluated with B, C, D and/or Major or KO shall always be translated into English within the action plan and the assessment report. Exceptions shall be agreed with the business partner.

The IFS PIA assessment report should be prepared according to the following format.

2 Reporting

2.1 Assessment overview (Annex 1)

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

Assessment details
The **cover page** of the assessment report shall include:

- result and level of the assessment,
- name of the assessed company or site,
- name and address of the certification body,
- the logo of the certification body,
- date of the assessment.

The first pages shall provide a summary of the most important assessment report items and shall include:

- name and address of the assessed site,
- name and address of the company (if headquarters),
- GLN Global Location Number, if available,
- COID, as defined in the IFS database,
- assessment date,
- previous assessment date,
- the name of the certification body and the assessor who performed the previous assessment,
- list of key personnel present during assessment,
- name of the assessor(s),

- name of the person(s) responsible for the assessment result decision from the certification body
- result of the assessment,
- company profile.

2.2 Assessment report (Annex 2)

The assessment report itself is structured as follows:

- the result of the assessment with level and percentage,
- general summary of the assessment including a spider web,
- a table and an overall summary of all chapters,
- the professional conclusion of the assessor with rating and explanation,
- feedback on identified risks and related criteria,
- feedback for points of attention for the assessment, as provided by the retailer clients of the company

2.3 Action plan/corrective action plan (Annex 3)

The certification body/the assessor describes and explains all established deviations in each chapter in the improvement plan, which has a specified format as shown in the Annex.

The certification body/the assessor describes and explains all established KO and Mayor non-conformity(ies) in each chapter in the corrective action plan, which has a specified format as shown in the Annex.

3 Excel worksheets

In order to increase the standardisation of IFS PIA reporting, Excel workbooks have been developed for all involved:

- Supplier,
- Retailer,
- Assessors.

This offers the following advantages:

- easy collection of assessment data through a user-friendly interface,
- production of quick IFS PIA Assessment reports,
- automatic evaluation of the assessment results by dynamic computation of all relevant items,
- automatic generation of a standardized assessment report,
- offline working, i.e. no permanent internet connection is required,

All parties involved receive the corresponding file from IFS and have to return it completely filled out to IFS.

Note: Please note that you should use the Excel templates and forward your data only with the file provided to you.

4 The IFS database (www.ifs-certification.com)

Each IFS PIA confirmation letter shall be uploaded by IFS into the IFS database.

There are different user groups which have access to the IFS database:

- auditors/assessors
- certification bodies/assessment service providers
- consultants
- assessed companies
- retailers and other users.

The access rights of the different groups are as follows:

Auditors/assessors:

- manage their own data,
- download the own assessor/auditor profile, which includes all information available at the IFS database about the assessor/auditor—standards, scopes, examinations, overview about the performed audits and assessments,
- receive IFS newsletter,
- access user group specific information.

Certification bodies:

- manage all IFS assessment dates via the diary function, enabling retailers and companies to have an overview of the scheduled assessment,
- manage their accounts,
- download the IFS logo(s).

Assessed companies:

- have access to their own assessment data,
- download the IFS PIA logo,
- manage their certification bodies,
- manage company personnel access (create sub-accounts) to the assessment data,
- search for other assessed companies,
- manage their suppliers using a "favourites" option.

Access for the headquarters of assessed companies:
A headquarter access for assessed companies can be set up which allows a company headquarter to administer all of their assessed sites through a single access point.

Consultants:

- manage own data about standards, scopes, languages etc.
- visible on the public IFS website - including reviews from their customers
- access to user group specific information.

Retailers and other users (e.g. Authorities):

- search for assessed companies,
- manage their assessed companies via a "favourites" option,
- receive an e-mail notification if a certain assessment level is repeated,
- get information via e-mail in case of a report withdrawal from their favourite companies.

The user manuals for the IFS database are available in the respective secured area for each user group.

Security of the IFS Database
The security system used for the IFS Database is based on international recognized and mostly used security systems. The access for retailers and assessed companies provides general information about all assessed companies. If no further authorization is granted by the assessed companies, both user groups will be able to see the following information only:

- the company's name and address,
- the certification body's name and address,
- the assessor's name,
- the date and duration of the assessment,
- the level achieved in the assessment,
- the IFS PIA letter of confirmation's date of issue and its validity.

ANNEX 1: Assessment overview

Cover page

Logo of the certification body

IFS PIA Version 1.1

Final assessment report

Company site:	**"PIA GmbH"**
Date of assessment:	**02.11.2020**

Name and address of certification body

First page of the assessment report

IFS Product Integrity Assessment	
Assessment details	
Lead assessor: Co-assessor: Name of the certification body's person(s) responsible for the assessment result decision:	Date/Duration of assessment: Date/Duration of last assessment: Certification body; assessor of last assessment:
Name and address of the company (or head office):	Name and address of the assessed site:
Name:	Name and phone of an emergency contact:
Phone:	Phone:
E-mail:	E-mail:
GLN N°:	Fax:
	IFS COID:
Final result of the assessment	
The activity of company "PIA GmbH" met the requirement of the IFS PIA, Version 1. The company passed with a final score of xx % **Lower level** Next Assessment has to performed before:	

Participants of the assessment

Name	Position	Opening meeting	Documenta-tion review	Site assessment	Closing meeting

Explanation of the Evaluation of requirements

Evaluation	Explanation	Points
A	Full compliance	20
B	Adequate compliance, improvement possible	15
C	Poor compliance, requirement has only been partly implemented	5
D	No compliance, requirement has not been implemented	–20
Major non-conformity	An unintentional product integrity issue is identified	This non-conformity will subtract 50 % of the possible total amount of points
KO non-conformity	An intentional product integrity issue is identified	Assessment cannot be completed and 100 % of the possible total amount of points is subtracted
N/A	Those requirements deemed not applicable to the site	N/A requirements will be excluded from the final scoring

Result	Explanation
A	Plus 10 % (addition)
B	Neutral
C	Minus 10 % (deduction)

ANNEX 2: Assessment report

IFS Product Integrity Assessment

Number of KO non-conformities in the checklist: _____

Number of Major non-conformities in the checklist: _____

Number of N/A evaluations: _____

Total preliminary score (checklist): _____

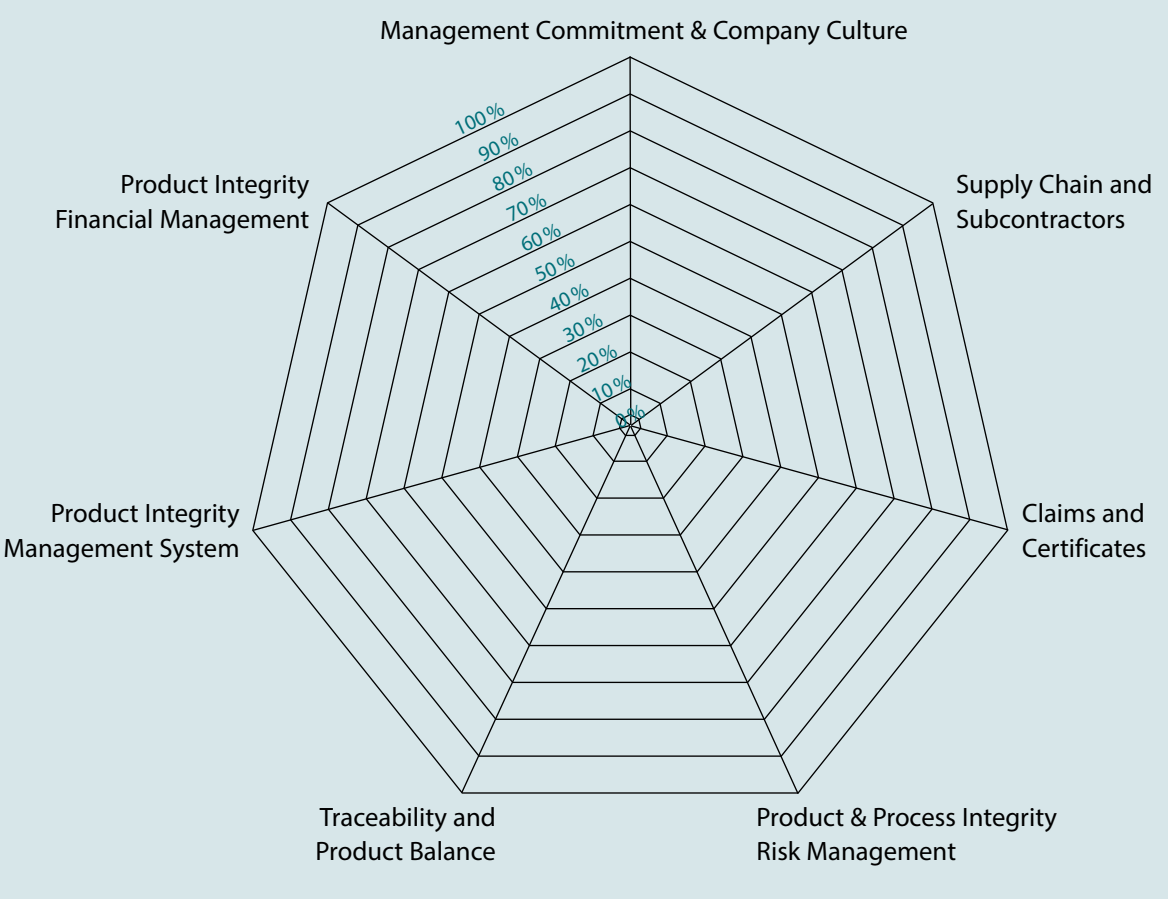
Level: _____

Final score (with professional conclusion of the assessor): _____

Assessment frequency: _____ High product integrity risk: new assessment within 6 months

Next assessment to be performed before: _____

General summary of the assessment



Score	Manage-ment Commit-ment & Company Culture	Supply Chain and Subcon-tractors	Claims and Certifi-cates	Product & Process Integrity Risk Manage-ment	Trace-ability and Product Balance	Product Integrity Manage-ment System	Product Integrity Financial Manage-ment
A							
B							
C							
D							
N/A							
Major							
KO							
Total							

Summary per chapter

Summary chapter 1	
Summary chapter 2	
Summary chapter 3	
Summary chapter 4	
Summary chapter 5	
Summary chapter 6	
Summary chapter 7	

Professional conclusion of the assessor

1	The management and key personnel showed a sincere drive to ensure product integrity (do they want it).	
2	The management and key personnel showed an appropriate risk awareness to support an effective product integrity system (are they able).	
3	The management and key personnel demonstrated that they are in control and that the integrity management system is effective (do they do it).	
4	In relation to best practices the company showed strong- and/or improvement points resulting into a addition/deduction.	

Product integrity criteria

Criteria	Details/explanation	Rating	Observations of assessor

Attention points

Attention point	Details/explanation	Rating	Observations of assessor

ANNEX 3: Action plan/corrective action plan

Name and address of the assessed company/production site

The corrective action plan must be returned to the certification body before: _____

Number of the requirement	IFS PIA requirement	Evaluation	Explanation (by the assessor)	Correction, root cause and corrective action (by the company)	Responsibility, date and status of implementation (by the company)
			Field A	Field B	Field C
2.2	The company shall have and maintain a current overview of all company sites and their locations.	Major			
3.1	The company shall have and maintain a current overview of all customer contracts containing product integrity parameters and product claims.	KO			

ANNEX 4: Letter of confirmation

Letter of confirmation

IFS
PIA
Product Integrity

We herewith confirm that the management of product integrity at

Name of the assessed site

Address
COID
Headquarters

is in compliance with the requirements as set out in

IFS PIA
Version 1.1, September **2020**
and other associated normative documents

at **XXX Level**

with a score of **XX %**
This includes all processes and data relating to the integrity of products.

The IFS PIA Assessment was carried out by **name of certification body**
on behalf of IFS Management GmbH.

Assessment date:

Issue date:

Letter of confirmation valid until:

Next assessment to be performed within the time period

xx.xx.xxxx–xx.xx.xxxx

Date and place

Name and signature of the responsible person at the certification body

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