

## Annex to Certification Regulation

TÜV AUSTRIA Group – Business Assurance



### Certification Regulation for Food Safety

<b>Standard or Certification scheme:</b>	<b>IFS Food, Version 6.1, IFS Logistic, IFS Broker</b>	<b>Accreditation Standard:</b>	<b>ISO17065:2012</b>
<b>Audit preparation:</b>	<ul style="list-style-type: none"> <li>✓ In case of renewal audit the expected dates are verified by TÜV AUSTRIA via the IFS audit portal.</li> <li>✓ The audit details are announced in the IFS Audit portal, by TÜV AUSTRIA</li> <li>✓ The audit result is uploaded in the IFS Audit Portal</li> </ul> <p><b>Note:</b> See detailed process steps in the flow chart of Annex I</p>		
<b>Audit duration:</b>	<p>The audit duration is calculated based on the following criteria:</p> <ul style="list-style-type: none"> <li>✓ total number of people (part time workers, shift workers, temporary staff, administrative people, etc.),</li> <li>✓ number of product scopes,</li> <li>✓ number of processing steps (“P” steps).</li> </ul> <p>Calculation is made by using the tool provided by IFS, and is available in the IFS Audit portal. 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. The minimum audit duration of an IFS Logistics audit shall be one day.</p> <p>A number of factors, such as physical size of the logistics site, the type of services offered, the audit scope, the number of transport or storage units involved, total number of employees, the number of non-conformities identified during previous audits</p> <p>In exceptional situations, a reduction of the audit duration of an IFS Logistics audit to 6 hours is possible, only in the following cases:</p> <ul style="list-style-type: none"> <li>✓ 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.</li> <li>✓ 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.</li> <li>✓ If there are not more than 50 employees at the site.</li> </ul> <p>The minimum audit duration of an IFS Broker audit shall be 6 hours.</p> <p>A number of factors, such as the size of the broker, the type of services process (only broker services or additional logistics activities or combined audit IFS Broker with IFS Food), the scope of the audit, the number of personnel employed at the site, the number of non-conformities identified during previous audits.</p> <p>For a combined audit IFS Broker /IFS Product Standard, it is accepted to reduce the total duration (calculated separately for the audit of each Standard) to maximum 0,5 days.</p> <p>For a combined audit IFS Logistics/IFS Broker the minimum audit duration shall be 1.5 days.</p>		
<b>Evaluation of requirements</b>	<p>Every requirement of the IFS Food, or IFS Logistic or IFS Broker standard are evaluated by the auditor during the audit</p> <p>The auditor assesses the nature of deviation or non-conformities</p> <p><b>Note 1:</b> See the full scoring system in AnnexII</p> <p><b>Note 2:</b> In case of one or several KO or one or several Major non-conformity(ies) is/are issued during the audit, the current IFS certificate shall be suspended in the IFS audit portal by the certification body as soon as possible and a maximum 2 working days after the audit date.</p> <p>All users having access to the IFS audit portal and having mentioned the respective company in their favourites list will get an e-mail notice (with explanations about the identified non-conformity(ies)) from the IFS audit portal that the current certificate has been suspended.</p>		
<b>Certification</b>	<p>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</p>		

**cycle**

of the initial audit, not from the date of issue the certificate. If the audit is not performed in due time, the retailers or other users will be informed via the audit portal

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

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

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

- ✓ Target time: 6 weeks,
- ✓ Maximum time: 8 weeks.
- ✓ Due date of the certificate is determined as follows: initial audit date + 8 weeks

Example

Initial audit date:	01. October, 2020
Date of issue of certificate:	26. November, 2020
Certificate valid until:	25. November, 2021
Renewal audit date:	25. September, 2021
Certificate valid until:	25. November, 2022 (independently from the renewal audit date)

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

If this is not the case, or if the several steps of the certification process were not completed in time, the certificate cannot be renewed with the “due date” but with the actual new date; this will lead to a break in the certification

**Notification of factors affecting the certification**

The Client informs within 3 business days for incidents and/or cases of withdrawal or recall of products and/or legal proceedings with respect to safety and legality, etc included in the certification scope.

**Use of IFS logo**

The copyright of IFS Food, IFS Logistics and IFS Broker and the registered trademark is fully owned by the IFS Management GmbH

The IFS Food, IFS Logistics and IFS Broker Logo can be downloaded via the secured section of the IFS audit portal.

Terms and conditions are checked by TÜV AUSTRIA and the auditor during the audit. An IFS Food, IFS Logistics or IFS Broker certified company, may use the IFS logo for promotional reasons and publish information about IFS certification provided that it is not visible on final product packaging which are available to the end-consumer.

Presentations mentioning IFS on the internet are only permitted if they are in a direct link with product safety (e.g. within information about the safety/quality management system).

The IFS Food, IFS Logistics or IFS Broker logo may be displayed on any kind of general communication (e.g. exhibitions for business contacts, brochures, generic articles about food safety and quality management in general, vehicles).

In the event of suspension or withdrawal of the IFS Food certification, the certified company has to immediately stop the inclusion of the IFS logo on its documents or other associated material and cease all communications regarding IFS.

**IFS Integrity Program /**

The IFS Integrity Program is operated by the IFS directly and includes different measures to assure the quality of the IFS certification scheme, with a focus on the review of audits

**Accreditation  
body  
assessments**

conducted by the IFS certification bodies and their auditors.

There two objectives of this program

- ✓ Preventive quality assurance actions
- ✓ Quality assurance actions after complaint notification

Surveillance audits at the certification body offices and on-site supplier audits are carried out on a regular basis in order to assess the IFS system.

Surveillance on-site supplier audits at certified companies may be undertaken based o a specific sampling plan.

In these audits the documentation reviewed in the office audit of the certification body, or in the IFS, database, is compared with the real situation found at the company.

A detailed complaint management process analyzes all necessary information. Retailers or any other interested parties have the right to forward any possible non-conformity to IFS for investigation as part of the Integrity Program.

In the event that a complaint cannot be successfully resolved by the investigation undertaken by the certification body, an on-site investigation audit will be undertaken at the certified company(s). In general, investigation audits are announced 48 hours before the audit date, however in special cases unannounced audits are undertaken.

In any case, witness audits can also be performed. In this case, Integrity auditors assess an IFS auditor during a real IFS audit.

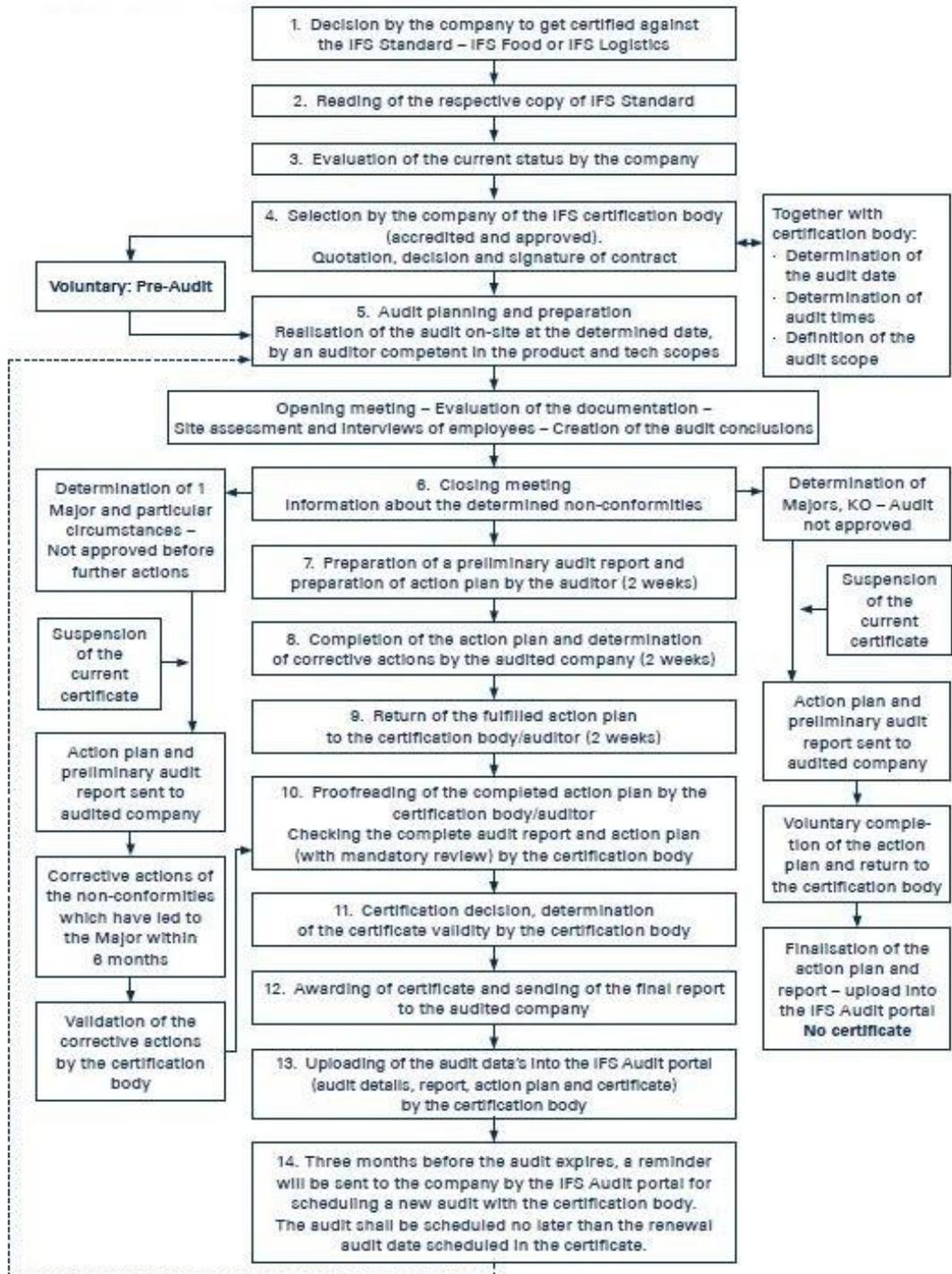
The accreditation body may also carry out an unannounced assessment of TÜV AUSTRIA at its head office or other locations also by means of a witness assessment at the client, on the basis of the audit programme received by TÜV AUSTRIA. In the case of witness assessments, the visit is carried out by TÜV AUSTRIA's auditors whilst the accreditation body assessors/experts act as "observers", avoiding (as much as possible) any interventions in the performance of the audit so as not to influence the audit activities. A market surveillance visit is carried out directly by the accreditation body's assessors and not those of TÜV AUSTRIA. The assessment takes place also by using a questionnaire and in the presence of the organization's personnel (usually only the Quality Manager) and of TÜV AUSTRIA (if possible with the participation of a member of the audit team who performed the most recent audit). This audit/verification does not coincide with a surveillance or renewal audit conducted by TÜV AUSTRIA which takes place on a separate day.

**Appeals and  
complaints  
management**

TUV AUSTRIA's relevant procedure can be found on our website. Especially for IFS the following additional rules apply: Appeals will be finalised within 20 working days of receiving information from the auditee. For complaints, an initial response will be given within ten (10) working days of receiving it. A letter confirming receipt of the complaint will be issued within a maximum of five (5) working days. A full written response will be given after the completion of a full and thorough investigation into a complaint.

If the complaint relates to the quality of the content of IFS audits or IFS audit reports, IFS offices requires that TUV AUSTRIA provide a statement on the cause and the measures introduced to rectify the problem within 2 weeks. If the complaint relates to administrative errors, IFS offices ask TUV AUSTRIA to provide a statement and rectify the problem within one (1) week. The statement shall be issued in writing by email or post.

**Annex I – Certification process (flow chart)**



**Annex II: Scoring system**

**Chart N° 1: Scoring**

Result	Explanation	Points
A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement has been implemented	5 points
D (deviation)	Requirement has not been implemented	-20 points

**Chart N° 2: Evaluation of Major**

Result	Explanation	Points
Major	15 % of possible total amount is subtracted	No certificate awarding is possible

**Chart N° 3: Scoring for KO requirement**

Result	Explanation	Awarded scores
A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement has been implemented	<b>No “C” scoring is possible</b>
KO (= D)	Requirement has not been implemented	50 % of the possible total amount of points is subtracted => No certificate awarding is possible

**In IFS Food the following 10 requirements are defined as KO requirements:**

1.2.4	Responsibility of the senior management
2.2.3.8.1	Monitoring system of each CCP
3.2.1.2	Personnel hygiene
4.2.1.2	Raw material specifications
4.2.2.1	Recipe compliance
4.12.1	Foreign material management
4.18.1	Traceability system
5.1.1	Internal audits
5.9.2	Procedure for withdrawal and recall
5.11.2	Corrective actions

**In IFS Logistics the following 6 requirements are defined as KO requirements:**

- 1.2.7 Responsibility of the senior management
- 2.1.1 Product safety management system
- 2.3.8 Monitoring system of each CCP
- 5.1.1 Internal audits
- 5.5.1 Management of non-conforming products
- 5.8.2 Corrective actions

**In IFS Broker the following 8 requirements are defined as KO requirements:**

- 1.2.3 Responsibility of the senior management
- 2.1.1 Risk Management/HACCP
- 4.2.2 Product specifications
- 4.6.1 Traceability system
- 5.1.1 Internal audits
- 5.2.2 Product analysis
- 5.5.2 Procedure for withdrawal and recall
- 5.7.2 Corrective actions

**Chart N° 6: Scoring and awarding of certificates**

<b>Audit result</b>	<b>Status</b>	<b>Action company</b>	<b>Report form</b>	<b>Certificate</b>
<b>At least 1 KO scored with D</b>	Not approved	Actions and new initial audit to be agreed upon	Report gives status	No
<b>&gt; 1 Major and/or &lt;75 % of the requirements are fulfilled</b>	Not approved	Actions and new initial audit to be agreed upon	Report gives status	No
<b>Max 1 Major and ≥75 % of the requirements are fulfilled</b>	Not approved unless further actions taken and validated after follow-up audit	Send completed action plan within 2 weeks of receiving the preliminarily report. Follow-up audit max. 6 months after the audit date	Report including action plan gives status	Certificate at foundation level, if the Major non-conformity is finally solved as controlled during the follow-up audit
<b>Total score is ≥ 75 % and &lt;95 %</b>	Approved at foundation IFS Food level after receipt of the action plan	Send completed action plan within 2 weeks of receiving the preliminarily report.	Report including action plan gives status	Yes, certificate at foundation level, 12 months validity
<b>Total score is ≥ 95 %</b>	Approved at higher IFS Food level after receipt of the action plan	Send completed action plan within 2 weeks of receiving the preliminarily report.	Report including action plan gives status	Yes, certificate at higher level, 12 months validity