IFS Food

IFS Food Version 8

Guideline for the IFS Food Audit Checklist

Typical auditor questions, examples for KO/Major and cross references for European and United States legislation

VERSION 1

ENGLISH

PREFACE

Objective

The objective of this document is to provide guidance for companies implementing and auditors auditing the IFS Food version 8 Checklist requirements. However, the implementation of IFS Requirements depends on the companies' specifics and risk assessment and therefore this guideline can only have **explanatory character**. The document is not normative nor legally binding.

Focus on products and processes

IFS Standards and programs follow the product and process approach. Therefore, IFS Audits focus on the evaluation of processes and whether these lead to compliant products. Any objective evidence shall be closely related to products and processes. The product samples chosen by the auditor are vital to efficiently follow-up on the IFS Audit trail. Some **examples for audit practice, questions, and elements** the auditor may follow up are listed below.

Incompleteness

All information provided in this document are summarised to the best knowledge of the authors, but IFS cannot take any responsibility for mistakes, omissions, or possible misleading information. Legal references are only indications and shall always be double checked. Also, the references are only an introduction to the applicable rules and will be out of date as soon as new regulations apply.

This is a guideline on the IFS Food Standard Checklist and shall only be understood as such. It is ultimately the auditor's and certification body's responsibility to decide on the respective scoring.

Improvements

IFS would like to thank everyone who has contributed to the new version of the document and especially Mr. Matthias Lehrke for his extensive input. In case of any queries regarding the interpretation of IFS Standards, Programs and Guidelines, please contact ***standardmanagement@ifs-certification.com***.

Explanations

The guideline follows the structure of Part 2 in the IFS Food Standard (Audit Checklist). Every chapter starts with a selection of applicable European and United States legislation. Furthermore, references to legislation from different parts of the world and other helpful documents are provided.

For every single requirement four columns with further information are given. The column "good practice" indicates cross-reference to helpful documents or describes favourable conditions. The following "example questions" provides some examples that may be asked/checked during the audit. The auditor is free to alter the question according to the specific situation. The column "elements to check" provides examples of which documents/circumstances should be seen by the auditor. The last column "example for non-conformities" describes examples for "Majors" or "KOs". **Please note that the non-conformity scoring examples are not static.** The scoring also depends on other factors such as number of instances in one audit or recurring occurrence of the same problem over time without proper corrections and corrective actions, etc.

1	Governance and commitment	
	Selection of applicable European legislation **Regulations:** • 178/2002 (General principles of food law) • 852/2004 (General Food Hygiene) • 853/2004 (Food of Animal Origin) • 854/2004 (Official controls) • 2073-2005 (microbiological criteria) • 1441/2007 (microbiological criteria) • 1935/2004 (materials [...] contact with food) • 10/2011 (plastic materials [...] contact with food) • 2023/2006 (GMP for materials [...] contact with food) • 1169/2011 (provision of food information to consumers) • 1924/2006 (nutrition and health claims) • 1829/2003 (GMO) • 1830/2003 (traceability and labelling of GMO) • 37/2005 (monitoring of temperatures in [...] quick frozen foodstuffs • 1881/2006 (contaminants) • 37/2010 (pharmacologically active substances) • 1925/2006 (addition of vitamins and minerals) • 1331/2008 (authorization procedure for foods additives, enzymes and flavourings) • 1332/2008 (Food enzymes) • 1333/2008 (food additives) • 1334/2008 (food flavourings) • 834/2007 (organic production and labelling) • 1924/2006 (health claims) • 2021/382 (Food Safety Culture) **Directives:** • 2001/95/EC (General Product Safety) • 1999/2/EC (ionising radiation) • 2020/2184 (Quality of water)	**Examples for legislation applicable in different parts of the world** **United States:** • 21 Code of Federal regulations (CFR) • Food Allergen Labelling and Consumer Protection Act of 2004 • 21 CFR 189 Substances prohibited from use in human food • Food Safety Modernization Act **Germany:** • In the event of a breach of control tasks/delegation of duties: Administrative Offences Act (OWiG): § 9 OWiG, § 30 OWiG, § 130 OWiG. **Examples for further relevant documents** • GFSI Food Safety Culture guideline **For some infrastructure components, there are concrete specifications for determining the condition. These include:** • Shelves: Shelves are considered work equipment and are according to §10 BetrSichV at regular intervals in the form of a shelf inspection. • Noise and vibration: The "Technical Rules for Workplaces – Noise (ASR A3.7)" applies to noise and vibration. • Air: VDI 6022 Part 6 (Ventilation and air-conditioning technology, indoor air quality – Air humidification via decentralised devices – Hygiene in planning, construction, operation and repair) applies to the air. **There are numerous aids for the evaluation of the infrastructure:** • DIN EN 13732 (Food processing machinery – Container milk cooling systems for dairy farms – Requirements for performance, safety and hygiene), • DIN EN 13591 (Liquid pumps – Safety requirements – Food equipment; design rules to ensure hygiene during use), • DIN EN 1672-2 (Food processing machinery – General principles for design), • DIN EN ISO 14159 (Safety of machinery – Hygiene requirements for the design of machinery), • DIN EN 1388 (Food processing machinery – Clipping machines – Safety and hygiene requirements)

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
1.1	**Policy**				
1.1.1*	The senior management shall develop, implement and maintain a corporate policy, which shall include, at a minimum: • food safety, product quality, legality and authenticity • customer focus • food safety culture • sustainability. This corporate policy shall be communicated to all employees and shall be broken down into specific objectives for the relevant departments. Objectives about food safety culture shall include, at a minimum, communication about food safety policies and responsibilities, training, employee feedback on food safety related issues and performance measurement.	An IFS Fact Sheet from IFS is available on food safety culture. Planning to improve the culture of food safety is fundamental. This plan should be based on analysis. Each department should know its contribution through goals, core values and actions. In particular, the personal contribution of the company's management is crucial. The EU Regulation prescribes an obligation of the entire staff to the safe production and distribution of food. The company's policy can also be called core values, values or core rules.	• With which persons was the company policy developed? • How do you keep policies up to date? • When and how did you last personally convince the company's management of the awareness and effectiveness of the policy? • How do you ensure the commitment to safe production and distribution as part of the food safety culture? • How did you communicate policy to everyone in the company? • What activities has the company's management personally carried out to promote the food safety culture? • For which core contents of the policy have you set concrete goals? • What are the departments' goals for ◦ food safety, product quality, legality and authenticity ◦ customer focus ◦ food safety culture ◦ sustainability?	*To be able to confirm the senior management statements, it makes sense to follow up on the requirements of chapter 1 in the last third of the audit.* • Politics • Goals per area, bonus system if applicable, measures to achieve the goals, notices	Major: Policy not developed by the company's management No targets set on the points of policy
1.1.2	All relevant information related to food safety, product quality, legality and authenticity shall be communicated effectively and in a timely manner to the relevant personnel.		• How is relevant information forwarded to relevant persons? • What was the last relevant piece of information that was distributed in the company? • How are those responsible for the different areas of law determined? • What sources do you use to keep yourself up-to-date? • How is implementation ensured?	• Legal cadastre • Information regarding changes or innovations	Major: There is a security or legality problem since information is not communicated within the company.

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1.2	Corporate structure				
KO N°1 **1.2.1***	The senior management shall ensure that employees are aware of their responsibilities related to food safety and product quality and that mechanisms are implemented to monitor the effectiveness of their operation. Such mechanisms shall be clearly identified and documented.	This point is linked to the organizational liability of the company management: The company management can be held liable for the actions of third parties if the delegation of tasks was illegal or contrary to the articles of association or grossly violates the interests of the company. It is also liable for its own fault in the selection, guidance and supervision of persons.	• Which methods (e.g. target/actual comparison of maintenance, laboratory analyses, training, corrective actions, ...) do you use to determine the effectiveness? • How do you proceed in the event of deviations? • What are some examples of deviations? • Do all employees have an up-to-date job description? • At what intervals does the company's management monitor which points? • How did you document the „mechanisms"?	• Description of the mechanisms of the line	KO: The company's management does not guarantee that employees know and implement their responsibilities. The control activities (ensures) are only rudimentary. People are not aware of their responsibilities and this leads to a problem of food safety and/or legality (e.g. through misconduct). The mechanisms are not comprehensibly or the IFS requirements are frequently not adhered too.
1.2.2	The senior management shall provide sufficient and appropriate resources to meet the product and process requirements.	A rough planning of the tasks and analyses (e.g. audits and laboratory analyses) is available. A budget or cost plan is available. The plan considers human resources.	• Have all product and process requirements been fully implemented in the last year? • Are all the necessary measures being implemented on time? • Have you budgeted for resource requirements? • How do you determine resource requirements? • How do you deal with bottlenecks?	• Budget or cost planning • Human resources with sufficient qualification	Major: When the company's management does not provide enough resources, and this leads to a problem with food safety and/or legality.

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1.2.3*	The department responsible for food safety and quality management shall have a direct reporting relationship to the senior management. An organisational chart, showing the structure of the company, shall be documented and maintained.	In addition to the organizational chart, a list of officers (e.g. food defence, HACCP team leader, data protection, safety specialist, etc.) is also required. There are regular meetings between quality departments and the company management.	• How are the product safety and quality departments connected to the company's management? • To whom do QM and QA report? • How often do consultations with the company management take place? • Is there an organizational chart? • How is the organization structured? • What powers do the QM and QA departments have?	• Organigram • Lists of representatives	
1.2.4	The senior management shall ensure that all processes (documented and undocumented) are known by the relevant personnel and are applied consistently.	Core processes are described or comprehensible through descriptions. The requirements for the activities and their monitoring are taught as part of the training. Employees are also familiar with the requirements for product safety: GHPs, oPRPs and CCPs. In particular, the monitoring of control measures is well known.	• How do you communicate the requirements for the processes to your employees (including temporary and seasonal staff)? • How do employees know the criteria for the processes? • In which cases do you create written specifications and when do you rely on familiarization/training? • What happens in case of violations? • What are the results of the monitoring? • What criteria are used to monitor the processes?	• Employees' knowledge of the requirements for their activities • Processes, briefings	Major: Employees have little knowledge of the process, and this leads to a problem of food safety and/or legality and/or serious quality problems that are not related to a specific contracted customer requirement.
1.2.5*	The senior management shall maintain a system to ensure that the company is kept informed of all relevant legislation, scientific and technical developments, industry codes of practice, food safety and product quality issues, and that they are aware of factors that can influence food defence and food fraud risks.	At regular meetings, the status of new and applicable laws or regulations is discussed in the leadership round. If a company cannot do this itself, external services may be used.	• How does the company's management ensure that relevant food safety laws are known? • Which sources are used for this? • For which legal changes have you received feedback on the effective implementation? • How does management ensure that purchased products comply with all relevant legislation? • How does the company's management ensure that the manufactured products comply with the relevant legislation?	• Legal changes and their timely implementation • Examples of legal changes and their sources of information • Information system (incl. factors on food defence and fraud risks) • Food defence plan • Food fraud vulnerability assessment	Major: Lack of legal knowledge and information about the relevant laws leads to a problem of food safety and/or legality.

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1.2.6*	The senior management shall ensure that the certification body is informed of any changes that may affect the company's ability to conform to the certification requirements. This shall include, at a minimum: • any legal entity name change • any production site location change. For the following specific situations: • any product recall • any product recall and/or withdrawal decided by authorities for food safety and/or food fraud reasons • any visit from authorities which results in mandatory action connected to food safety, and/or food fraud the certification body shall be informed within three (3) working days.	The supervising responsibilities cannot be delegated. The management has the obligation to ensure compliance. Extraordinary circumstances shall be reported to the certification body, as soon as possible to foster a trusting relationship.	• Is it clearly defined in which cases the CA must be informed? • When would you have the last reportable changes or incidents? • What points did your food control point out? • What incidents related to product safety have there been? • Were these reportable incidents? • How is management involved in the assessment of incidents? • In which cases does the company's management monitor compliance with the three days?	• Overview of recalls and how to proceed • Reports of the competent authority since the last visit • Official documents which proof the registration of a company • Process descriptions for the specific situations • Management review	Major: If the certification body has not been informed about e.g. • an important change • legal action against the company • recall
1.3	**Management Review**				
1.3.1*	The senior management shall ensure that the food safety and quality management system is reviewed. This activity shall be planned within a 12-month period and its execution shall not exceed 15 months. Such reviews shall include, at a minimum: • a review of objectives and policies including elements of food safety culture • results of audits and site inspections • positive and negative customer feedback • process compliance • food fraud assessment outcome • food defence assessment outcome • compliance Issues • status of corrections and corrective actions • notifications from authorities.	The company's management carries out the review based on and in consultation with the respective experts on these points. The review is communicated to the leaders. The review should take place no more than 4 to 6 weeks after the end of the financial year and should not primarily be tailored to the audit date. The management schedules the review in advance.	• Based on what information did the company's management carry out the review? • At what assessment level do you take action? • When did the company's management carry out the review? • Which group of people actively participated in the review? • What conclusions (need for action or opportunities) were drawn based on the review? • Which group of people was informed about the review and the measures taken?	• Review and no descriptions, completeness of the review • Measures based on the review • People involved in the review • Activities of the company's management • Check for plausibility with the findings of the audit	Major: There is no review by the company's management, which has an influence on food safety.

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1.3.2	Actions from the management review shall be aimed at supporting improvement. The management review shall assess follow-up actions from previous management reviews and any change that could affect the food safety and quality management system. The management review shall be fully documented.	Based on the reviews, improvement measures (opportunities) and, if necessary, corrections or corrective actions are taken. These are planned with responsibilities, deadlines and resource requirements.	• What actions have you taken based on the reviews? • How did you plan these measures? • What is the effectiveness of the measures taken in the previous year? • How was the status monitored during the year? • What improvements have been identified and what improvements have been achieved?	• Measures from the previous year and from the current year	Major: No measures will be taken for identified vulnerabilities, which may result in a food safety risk.
1.3.3	The senior management shall identify and review (e.g. by internal audits or on-site inspections) the infrastructure and work environment needed to ensure food safety, product quality, legality and authenticity, at least once within a 12-month period, or whenever significant changes occur. This shall include, at a minimum: • buildings • supply systems • machines and equipment • transport • staff facilities • environmental conditions • hygienic conditions • workplace design • external influences (e.g. noise, vibration). Based on risks, the results of the review shall be considered for investment planning.	Based on the analyses and review, there is a risk-based investment plan for the next few years. It is possible to see the planned service life of technical components/equipment. If required, the analysis of the hygienic conditions also includes a consideration of the air exchange (x to y) per hour.	• Which group of people carries out which part of the review? • What are the criteria on which the condition assessment and evaluation are based? • How are the results of the technical inspections included in the review? • What inspections are planned? • Does the technology record the condition of the infrastructure during inspections? • How often are these checks performed? • When did management deal with the results? • Are there also inadequate evaluations? • Are investments planned on this basis? • Were the investments implemented on time? • Based on which principles do they determine the hygienic conditions and the other aspects? • How do you set priorities for investment planning? • What are the necessary investments for the near future? • Which group of people will be informed about the results of the review? • How do you classify the risks for the derivation of investments? • What is the investment volume based on these valuations?	• Investment plan (risk-oriented) • Check for plausibility with the findings of the audit • Derivation of risk for investment planning	Major: The infrastructure has not been evaluated and there is a security, quality and legal risk of products. The working environment was not reviewed and there is a safety, quality and legal risk of products.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2	**Food safety and quality management system**				
	Selection of applicable European legislation • Regulation 852/2004 Article 5(4)(b) • Risk analysis: Regulation 852/2004 Article 5(4)(c) and (5) • HACCP plan: Regulation 852/2004 Article 5 (1) -3 • Regulation 852/2004 Article 5(2)(a), • Directive 68/2007/EC Annex 3 • Regulation 852/2004 Article 5(2)(c) • Regulation 852/2004 Article 5(2)(d) • Corrective action: Regulation 852/2004 Article 5(2)(e)		**Examples for legislation applicable in different parts of the world** **US** • 21 CFR Part: 117, § 117.126 (a) **EU** • In the EU HACCP Notice C355 of 16.09.2022, the principles and the GHPs are described in more detail.		
2.1	**Quality management**				
2.1.1	**Document management**				
2.1.1.1	A procedure shall be documented, implemented and maintained to control documents and their amendments. All documents which are necessary for compliance with food safety, product quality, legality, authenticity and customer requirements shall be available in their latest version. The reason for any amendments to documents, critical to those requirements, shall be recorded.	Electronic approvals and the release of master data changes, for example, must also be taken into account in this procedure. An indication of the change made is not a reason for the change. One reason or cause for a change could be, for example, new legal limits or technological changes.	• How is it ensured that only valid documents are in circulation? • Which documents are classified as critical for stating reasons of change? • Are reasons for change or changes indicated (reasons for change are required)? • What types of documents have you defined (e.g. policies, processes, procedural instructions, work instructions, forms, ...)? • What criteria do you have for the different language levels? • How do you check the that documents are comprehensive? • Who checks the technical content of the documents? • Who is allowed to release documents? • How are employees informed about document changes? • How is the distribution of the documents to the appropriate persons planned and organized? • Are there distribution specifications (users of the document)?	• Overview of documents and associated attachments • Procedures • Distribution lists • Review of examples	Major: Documents are not available and this endangers the legality, safety or quality of the product. Invalid or obsolete documents are not marked as such and thus the legality, safety, quality or customer requirements are not guaranteed.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.1.1.1			• How do the relevant employees have access to the documents? • How are changes to the documents communicated to the affected employees? • How are the validity and timeliness of the documents determined? • How do you ensure that only valid documents are used? • Are the reasons for changes to documents that are critical to product requirements recorded? • What were reasons for recent change? • How do you mark the reasons for the change? • What are the rules for document control? • Are the documents clearly marked? • How is the identification code structured? • How can a revision be identified? • Who is responsible for the changes?		
2.1.1.2	The food safety and quality management system shall be documented, implemented and maintained and shall be kept in one secure location. This applies to both physical and/or digitally documented systems.	The description of the system is easy to comprehend and avoids ambiguities (check with online tools).	• Who can access which documents? • How do you check for ambiguity in texts? • Have you established criteria to avoid ambiguity of documents (e.g. are certain formulations, such as timely, defined or generally prohibited)? • How do employees know which documents apply to them? • Are there distribution lists? • Where are the documents for the late shift kept? • How do you obtain documents in the event of a power failure?	• Documents • Distribution specifications • Document management system • Procedure for document control	Major: Documents will not be kept up-to-date and therefore not met with customer specifications. Major: When there is no system for quality assurance and food safety in place.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.1.1.3*	All documents shall be legible, unambiguous and comprehensive. They shall be available to the relevant personnel at all times.	For clarity, the language level of the employees should also be taken into account (A1/A2 (elementary language use), B1/B2 (independent language use) to C1/C2 (competent language use)). Literacy of the workforce.	• How can employees access the documents without a PC? • How do employees know which documents apply to them?	• Amended documents	Major: The documents are not understood by the employees and there are significant discrepancies. As a result hazards cannot be excluded.
2.1.2	**Records and documented information**				
2.1.2.1	Records and documented information shall be legible, properly completed and genuine. They shall be maintained in a way that subsequent revision or amendment is prohibited. If records are documented electronically, a system shall be maintained to ensure that only authorised personnel have access to create or amend those records (e.g. password protection).	In the event of an erroneous statement, the value is kept. But in addition, the correct value is noted with sign and dates.	• What types of records/documented information exist? • Are there any contractual obligations regarding archiving? • What are the requirements for the storage of electronic data? • Are records received via email? How is this data organized? • When is data deleted? • Are the records/documented information readable? • How is it ensured that records and documented information cannot be manipulated retrospectively? • Are the records and documented information randomly checked? • How are changes made to records and documented information? Who is authorized to make changes? • How are changes approved? • Was there any data loss? What is the procedure for data loss? • How are PDF files protected from manipulation? • How should changes to records and documented information be carried out and marked? Who is authorized to make changes and how are changes to be reviewed and, if necessary, approved?	• Archiving requirements • Access and edit rights to data	Major: Records are insufficient or non-existent and thus the legality, security or quality cannot be guaranteed. Records are illegible and therefore there is no evidence of legally required surveillance.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.1.2.2*	All records and documented information shall be kept in accordance with legal and customer requirements. If no such requirements are defined, records and documented information shall be kept for a minimum of one year after the shelf life. For products which have no shelf life, the duration of record and documented information keeping shall be justified and this justification shall be documented.	Especially in the case of electronic data, a regular check to restore of legacy systems is good practice.	• Where are records and documented information stored? • Who stores it? • Who has read and write permissions? • How long are records and documented information kept? • On what basis were the retention periods determined? • Has the storage period been set differently for products with a short shelf life? • Is it specified which data, records or documented information are not to be archived?	• Records (also at the end of the retention period) • Procedure documents • Justification for duration of record keeping	Major: Documents are not stored in accordance with legal and customer requirements.
2.1.2.3	Records and documented information shall be securely stored and easily accessible.	This also applies to electronic records. Public drives and drives without controlled access rights are not suitable for this. Data collection in Excel lists without protection or encryption is not a secure file format. A history of the data change should be visible.	• Which data/recordings can be easily changed? • Where do you store data? • How do you check the possibilities of manipulating data? • Have you defined this in your IT access rights system? • Is compliance with access rights verified? • How and when are access rights adjusted when changing jobs?	• Access right overview • Review of examples	Major: Records cannot be found, therefore the safety, legality or quality cannot be guaranteed.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.2	Food safety management				
2.2.1	HACCP plan				
2.2.1.1*	The basis of the company's food safety management system shall be a fully implemented, systematic and comprehensive HACCP based plan, following the Codex Alimentarius principles, good manufacturing practices, good hygiene practices and any legal requirements of the production and destination countries which may go beyond such principles. The HACCP plan shall be specific and implemented at the production site.	A detailed HACCP plan allows the company to demonstrate that it has evaluated all aspects to ensure the production of safe and legal food. The original HACCP plan must be updated if the processes are changed. Records of the results of monitoring, verification and validation shall be kept.	• What changes have been made recently? • How are new processes released? (have hazards been analysed?) • Were there any technical changes? • Are there any new raw materials? • How many HACCP plans exist? (every site an individual one) • What specific regulations and limits are considered in the HACCP plan? • What specific legislation is included in the HACCP plan? • Are the legal requirements of the target country - in particular the labelling requirements - considered in the HACCP plan?	• HACCP plan • Structural and technical changes • GMPs • GHPs • Changes in production and cleaning procedures	Major: A HACCP plan is missing. Legal requirements are not included in the HACCP plan. The HACCP plan copied from another location, without necessary adjustments results in hazards. The HACCP plan is severely outdated and current hazards are not sufficiently addressed.
2.2.1.2*	The HACCP plan shall cover all raw materials, packaging materials, products or product groups, as well as every process from incoming goods up to the dispatch of finished products, including product development.	The HACCP plan should also pay close attention to outsourced processes.	• Does the HACCP plan cover all product groups, processes including product development and product packaging? • Which processes are considered? • Are samples and their production also considered? • How are outsourced processes considered in the HACCP plan?	• HACCP Plan • Product group overview • Flow chart • Review of examples from on-site evaluation	Major: The HACCP plan does not cover all product groups and processes, which jeopardizes food safety.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.2.1.3	The HACCP plan shall be based upon scientific literature or expert advice obtained from other sources, which may include: trade and industry associations, independent experts and authorities. This information shall be maintained in line with any new technical process development.	Up-to-date information on hazards can be found at the RASSF portal or in the IFS login area. Technical progress must be taken into account, especially in the case of detectors (metal detector or X-ray machine) (e.g. How long will the data be stored or can data be stored?). Where applicable, regulatory requirements supersede requirements of the standard. For example related to Canadian and US law, certain forms and formats are required.	• How do you inform yourself about the state of the art and the applicable legal aspects? • How do you evaluate or determine the state of the art of the control measures? • Is the HACCP plan based on scientific literature or technically verified specifications for the manufactured products and processes? • How do you deal with new technical developments? • Does the HACCP system meet all applicable legal requirements of the country in which it was introduced, including the necessary and applicable risk assessments and documentation?	• Reference of used literature, trade and industry associations, experts and authorities • Modernization of equipment if necessary, • Evaluation of the technical infrastructure with regard to control measures	Major: The HACCP plan is not based on scientific literature or technically verified data on products and processes and this endangers food safety or it will violate applicable law.
2.2.1.4	In the event of changes to raw materials, packaging materials, processing methods, infrastructure and/or equipment, the HACCP plan shall be reviewed to ensure that product safety requirements are complied with.	The use of new raw materials (e.g. non-organic) or production on new plants must not take place without an analysis of the hazards and the assessment of their risk. All employees who are authorized to make changes are aware that they must be communicated in such a way that a new assessment of the HACCP plan is possible before the affected product is placed on the market. Good practice: There is a change history.	• What were the conclusions of the hazard analyses? • How do you assess new threats? • How is the timely communication regarding changes ensured? • How is ensured that all changes are communicates to everyone affected?	• Changes and their timely consideration in HACCP	Major: Changes will not be included in the HACCP system in time, a food safety risk exists.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.3	HACCP analysis				
2.3.1	HACCP team				
2.3.1.1	**Assemble HACCP team:** The HACCP team shall have the appropriate specific knowledge and expertise and be a multidisciplinary team which includes operational staff.	It makes sense to involve production, purchasing, logistics, sales, QA and, if necessary, QM. Monthly to quarterly HACCP team meetings are common. The frequency should be recorded.	• Who is in the HACCP team? • Which departments/functions are represented in the HACCP team? • How was the qualification for membership in the HACCP team checked? • Was an external HACCP expert consulted? • How often does the HACCP team meet? • Which hazards have been discussed in the last meeting? • What measures has the HACCP team taken recently to improve product safety?	• Overview of the HACCP team • Appointment of the HACCP team (date), • Protocols from the HACCP team • Service contract • Training evidence • Proof of professional experience	Major: There is no HACCP team or it is not active and the hazards are not addressed. Although there is a lack of product knowledge, no external expert has been consulted and this results in food safety and legal risk.
2.3.1.2	Those responsible for the development and maintenance of the HACCP plan shall have an internal team leader and shall have received appropriate training in the application of the HACCP principles and specific knowledge of the products and processes.	The HACCP team leader should have access to sufficient resources. It is good practice to have a refresher training for the HACCP team members every 2 to 3 years.	• Are there different HACCP training courses (in-depth training for the HACCP team and HACCP basic training for employees)? • When did the last HACCP training take place? • Who took part in the HACCP training? • How is the success of the training determined? • How has the management been trained? • Where did you obtain your professional expertise?	• HACCP training proof • Last training of the HACCP team	Major: The HACCP team does not have the necessary knowledge of HACCP and does not understand the basic principles of the Codex Alimentarius and the hazards are not sufficiently addressed.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.3.2	**Product description**				
2.3.2.1	A full description of the product shall be documented and maintained and shall contain all relevant information on product safety, which includes, at a minimum: • composition • physical, organoleptic, chemical and microbiological characteristics • legal requirements for the food safety of the product • methods of treatment, packaging, durability (shelf life) • conditions for storage, method of transport and distribution.	When it comes to temperature specifications, a distinction must be made between limit value and guideline value. Particularly in the case of non-refrigerated products, max. temperatures and possible durations (e.g. transport by container overseas) must also be considered.	• How did you structure your product descriptions? • Are there different product descriptions for external persons (e.g. customers) and for internal persons (e.g. production)? • Is there a complete product description for each product? • How are changes justified? • What is included in the product description?	• Product description • Specifications • Manufacturing instructions • Recipes • Verify with information on product and packaging	Major: Product descriptions are missing which results in an insufficient demarcation of the hazards. Essential product data is missing from the product descriptions. The essential information does not comply with the legislation (e.g. microbiological test values).
2.3.3	**Identify intended use and users of the product**				
2.3.3.1	The intended use of the product shall be described in relation to the expected use of the product by the end consumer, taking vulnerable groups of consumers into account.	The YOPIS are to be considered for their intended use. YOPIS refers to „Young", „Old", „Pregnant" and „Immunosuppressed" – i.e. risk groups in terms of illness and nutrition.	• What is the intended use of the product? • For which group of consumers is the product unsuitable? • Is the product suitable for children, pregnant women, or the elderly? • How are the special requirements for risk groups determined?	• Intended use of the products • Requirements for sensitive consumer groups	Major: It is not specified for which group of people the product is suitable/not suitable and the product is commonly consumed by vulnerable groups. The intended use is not defined and misuse results in hazardous situations.
2.3.4	**Construct flow diagram**				
2.3.4.1	A flow diagram shall be documented and maintained for each product, or product group, and for all variations of the processes and sub-processes (including rework and reprocessing). The flow diagram shall identify every step and each control measure defined for CCPs and other control measures. It shall be dated, and in the event of any change, shall be updated.	IFS follows the definitions laid down in the Codex Alimentarius. However, for the EU market the EU HACCP guideline may be applied i.e., control measures include the PRPs, oPRPS and CCPs. Control measures (e.g. heating) are not monitoring measures (e.g. temperature measurement). The EU HACCP guideline also lists waiting times as necessary for the flow charts.	• Are flow diagrams available for all products? • Are the flow diagrams dated? • Are all CCPs labeled in the flow diagram? • Is the material flow fully described (e.g., also waste, discard from metal detectors, rework, ...)?	• Flow diagrams • Review of examples	Major: Flow diagrams are not available for some of the products and thus a food safety risk exists.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.3.5	On-site confirmation of the flow diagram				
2.3.5.1	Representatives of the HACCP team shall verify the flow diagram through on-site verifications, at all operation stages and shifts. Where appropriate, amendments to the diagram shall be made.	Before verifying the flow diagrams for all operating times (e.g. break times without staff or cleaning of the adjacent line) and operating stages (e.g. production and cleaning), it makes sense to clarify these times.	• Based on which criteria are the flow diagrams checked? • How did you determine the times and operating levels for the review? • What conclusions did you draw from examining the flow diagrams? • What happens if you identify deviations or new hazards when checking the flow diagrams?	• Test results and their criteria • Meeting minutes	Major: An on-site inspection or verification of the flow diagrams was not carried out and the hazards are not sufficiently controlled.
2.3.6	Conduct a hazard analysis for each step				
2.3.6.1	A hazard analysis shall be conducted for all possible and expected physical, chemical (including radiological and allergens) and biological hazards. The analysis shall also include hazards linked to materials in contact with food, packaging materials as well as hazards related to the work environment. The hazard analysis shall consider the likely occurrence of hazards and the severity of their adverse health effects. Consideration shall be given to the specific control measures that shall be applied to control each significant hazard.	The hazard analysis is carried out with implemented preventive programs. In addition, operational peculiarities (e.g. permanent structural challenges or temporary measures, etc.) should be taken into account in the risk analysis in order to demonstrate that the situation has been explicitly assessed in advance. When it comes to food contact material, attention must be paid to the hazards that can arise from the product, chemicals (e.g. does the material match the chlorine cleaner?) and the temperatures used (e.g. the plastic is still compliant even at 120°C), at all stages of production. An analysis of the hazards from the working environment (e.g., Listeria spp.) must also be carried out at each stage of the process. The hazard analysis should furthermore include consideration of the permissible foreign contamination in the raw materials and products.	• Is there a hazard analysis for each step and an assessment of its risks? • Does it include every possible and expected hazard? • What biological, physical, radiological, allergenic and chemical hazards can be expected? • When did you identify hazards on site? • Is there a risk analysis for all product groups with an indication of severity and probability? • Are complaints and incidents taken into account in the hazard analysis? • Is the risk increased in the event of increased incidents? • Is the risk assessment based on the EU Notice (C355)? • Are hazards that only occur seasonally also identified? • Which preventive measures (GHP or PRPs) have been identified and how are they monitored?	• Hazard analyses for each process step • Risk assessment • Overview of contact material, • Hazard analyses for the working environment and contact material	Major: Essential steps are missing from the analysis and the hazards are not properly assessed, which results in a high risk for the product safety. Significant hazards were not considered.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.3.7	**Determining critical control points and other control measures**				
2.3.7.1	Determining whether the step at which a control measure is applied is a CCP in the HACCP system shall be facilitated by using a decision tree or other tool(s), which demonstrates a logical reasoned approach.	Codex Alimentarius that a decision tree is one possible option. In the EU HACCP guide an example decision tree is provided. An alternative would be a double risk assessment (e.g. without and with oPRPS/ CCPs)	• What tool for CCP determination are you using? • What conclusions do you draw from the tool of your choice? • How do you determine oPRPs? • Which CCPs have been defined? • How many CCPs exist? • Can the defined CCPs influence the process to prevent, eliminate or reduce a food safety hazard? • What other control measures have been established?	• Hazard analysis • Flow diagram • HACCP system • Tool to determine CCPs	Major: The decision tree for defining a CCP was used incorrectly, resulting in a control measure not being defined as a CCP. For this reason, the necessary monitoring was not defined for the control measure and a food safety cannot be ruled out.
2.3.8	**Establish validated critical limits for each CCP**				
2.3.8.1*	For each CCP, critical limits shall be defined and validated to identify when a process is out of control.	The evidence (validation) for each CCP must be demonstrated. Worst-case scenarios (e.g. highest germ load and lowest permissible temperatures) are the focus of the evidence. Description of critical limits according to EU Notice C355: Critical limits correspond to the extreme values acceptable with regard to product safety. They separate acceptability from unacceptability. They are set for observable or measurable parameters which can demonstrate that the critical point is within critical limits. (…)	• How did you determine the critical limits? • Are the critical limits clearly defined (e.g. less than or less/equal to, greater than, greater/equal to …)? • Do the critical limits include observable limits? • Is there at least one critical limit defined for each CCP? • What critical limits are defined? • Do the critical limits include measurement tolerances? • How were the critical limits validated?	• HACCP system • Overview of CCPs with critical limits	Major: There are no critical limits for each CCPs. The critical limits are insufficiently defined, contradict the legal requirements, or are not validated. As a result a food safety risk cannot be excluded.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.3.9	Establish a monitoring system for each CCP				
KO N°2 2.3.9.1*	KO N° 2: Specific monitoring procedures in terms of method, frequency of measurement or observation and recording of results, shall be documented, implemented and maintained for each CCP, to detect any loss of control at that CCP. Each defined CCP shall be under control. Monitoring and control of each CCP shall be demonstrated by records.	Without identifying a possible loss of control, the monitoring procedures cannot be fully defined. Monitoring procedures do not always have to be measurable. For example, a visual sieve inspection is also a permissible procedure by means of observation. The loss of control should be determined before placing on the market. The intervals of the monitoring must be adhered to.	• What possible loss of control has been identified? • Is every possible loss of control monitored? • How are CCPs monitored? • Did you have a loss of control at a CCP? • How are losses of control recorded and assessed? • How is the monitoring of each CCP documented? (date, time, signature responsible person, measured value) • Who is responsible for the documentation? • How long are the records kept? • Where are the records kept?	• HACCP plan with the CCPs and their monitoring • CCP records (paper or electronic) • Process description on the implementation of controls	KO: CCPs are not monitored, and measurements are not documented. Loss of control of a CCP is not immediately responded to with a corrective action. It is not clear from the records who, when and where an action was taken, or what results it led to. Records are not retained for a reasonable period. The legal requirements related to the CCP records are not met.
2.3.9.2	Records of CCP monitoring shall be verified by a responsible person within the company and maintained for a relevant period.	Archiving times may be diverging e.g., for X-ray machines and metal detectors. Records are controlled in such a way that the company can react in the event of an error before the products reach the market.	• Who is responsible for reviewing CCP monitoring records? • When how and who checks the results of the monitoring? • How long are CCP surveillance records kept?	• CCP Records	Major: CCP monitoring records are not reviewed by a responsible person in the company and/or are not retained for a relevant period.
2.3.9.3	The operative personnel in charge of the monitoring of control measures defined for CCPs and other control measures shall have received specific training/instruction.	The employees master the controls securely. There are enough trained employees to cover vacation times, different shifts and sick days. The limit values and the procedure for deviations should be known.	• Which persons or functions supervise which control measures • How are the training/instruction planned? • What training or instruction is provided to monitor the control measures (e.g. for the GHPs/PRPs, oPRPs and CCPs)? • When do these trainings or briefings take place? • Are all supervisors trained/instructed? • Is a sufficient number of employees trained?	• Overview of the monitoring measures • Training certificates or instructions • Training records	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.3.9.4	Control measures, other than those defined for CCPs, shall be monitored, recorded and controlled by measurable or observable criteria.	Monitoring is also established for the monitoring of the GHPs/PRPs.	• Who is responsible for monitoring other control measure records? • Where and how did you set up monitoring?	• Description of the monitoring of all control measures	
2.3.10	**Establish corrective actions**				
2.3.10.1	In the event that the monitoring indicates that a particular control measure defined for a CCP or any other control measure is not under control, corrective actions shall be documented and implemented. Such corrective actions shall also take any action relating to non-conforming products into account and identify the root cause for the loss of control of CCPs.	Monitoring shall be understood as defined in Codex Alimentarius (The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a CCP is under control). This is enlarged to other control measures as well in IFS. According to EU HACCP Guide C355, corrective actions go towards the process for the CCP and towards the process for the oPRP. A good root cause analysis is hardly possible without one or more established methods (e.g., 5W, fishbone diagram/Ishika diagram, fault tree analysis, …).	• What are the corrective measures for each CCP? • When were corrective actions taken? • Where are the corrective actions documented? • Who documents the corrective actions taken? • How is the effectiveness of corrective actions taken evaluated? • Have the causes of the corrective actions occurred repeatedly? • Has management been informed of ineffective corrective actions at the CCP?	• HACCP • CCP records • Evidence of corrective action • Process description for monitoring activities • Root cause analysis for loss of control of a CCP • Actions regarding the non-conforming product	Major: Corrective actions on deviations/ non-conformities are not defined nor implemented. The corrective actions are incomprehensible.
2.3.11	**Validate the HACCP plan and establish verification procedures**				
2.3.11.1	Procedures of validation, including revalidation after any modification that can impact food safety, shall be documented, implemented and maintained to ensure that the HACCP plan is suitable to effectively control the identified hazards.		• How do you validate CCPs or other relevant control measures? • How do you determine the objectives/ acceptance criteria of the validations? • Which group of people will be informed about the results of the validation? • Is this group of people sufficiently qualified for this? • How do you derive frequency of re-validation?	• Planning of validation (procedures and methods) • Change management • Validation protocol	Major: After processes were changed, validations are not planned, carried out and the effectiveness of the control measures is not guaranteed. Thus a food safety risk cannot be excluded.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
2.3.11.2*	Procedures of verification shall be documented, implemented and maintained to confirm that the HACCP plan is working correctly. Verification activities of the HACCP plan, for example: • internal audits • testing • sampling • deviations and non-conformities • complaints shall be performed at least once within a 12-month period or whenever significant changes occur. The results of this verification shall be recorded and incorporated into the HACCP plan.	Verification procedures should include specific criteria. Without criteria (e.g. completeness of CCP readings), objective verification is not possible.	• How were you trained for verification activities? • How do you ensure sufficient qualification? • How often is the HACCP plan verified? • Are the verification criteria defined? • What were the results of the last verification? • Have all control measures been verified? • Is the company's management informed in case of insufficient verification results? • How do you evaluate the verification results? • What would be actions in case of poor results?	• Verification report of the HACCP plan • Verification results of all CCPs • Evaluation of the completed verifications and evaluation of the hazard control	Major: No verification is carried out and this leads to a safety risk.
2.3.12	**Establish documentation and recording keeping**				
2.3.12.1	Documentation and records related to the HACCP, for example: • hazard analysis • determination of control measures defined for CCPs and other control measures • determination of critical limits • processes • procedures		• How did you structure the documentation on HACCP? • What documents are available for the HACCP plan? (processes, procedures, and results) • Which group of people knows the details of this document? • What HACCP documents do production workers need to know?	• Inspection plan • HACCP documents (flowcharts, hazard analyses, risk assessments, spatial plans, specifications for PRPs/GHPs, …) • Product description	Major: The HACCP plan is not adequately documented, and this leads to a product safety risk.
2.3.12.1	• outcome of control measures defined for CCPs and other control measure monitoring activities • training records of the personnel in charge of the CCP monitoring • observed deviations and non-conformities and implemented corrective actions shall be available.		• What documents has the management approved as part of its overall responsibility? • What other documents do production workers need to know? • How is it ensured that there are no language barriers?		Training records are missing and the lack of training causes food safety risks.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
3	**Resource management**				
	Selection of applicable European legislation • Regulation 852/2004 Annex 2 Chapter XII Nos. 1 and 3 • Regulation 852/2004 Annex 2 Chapter I No. 9		**Examples for legislation applicable in different parts of the world** **Germany:** • LMHV – Food Hygiene Ordinance • IfSG – § 6 Notifiable diseases • DIN 10524: Food hygiene Workwear in food establishments • DIN EN 14065		
3.1	**Human resources**				
3.1.1	All personnel performing work that affects product safety, quality, legality and authenticity shall have the required competence, appropriate to their role, as a result of education, work experience and/or training.	The minimum competence of temporary workers and external workers should also be audited here. Do temporary workers have the same competence (e.g. for short-term assignments on a line or on a CCP)? Are the temporary workers aware of the control measures and their limits?	• How is it ensured that new staff is fully suited to the tasks? • Who determines the necessary competence? • Have you considered exceptions? • How are the requirements determined? • How is the necessary competence of language skills determined? • Have you defined minimum requirements for the different functions? • Which groups of people have you excluded?	• Job advertisements, requirement profiles or similar • Training and instruction programs for imparting the necessary competence, if necessary videos for induction • Proof of experience/training	Major: Due to a lack of education, experience or training, the legality or safety of the product is at risk.
3.1.2	The responsibilities, competencies and job descriptions for all job titles with an impact on food safety and product quality shall be documented, implemented and maintained. Assignment of key roles shall be defined.	Good job descriptions include tasks, responsibilities, powers, and duties, as well as requirements for the job and deputies.	• For which positions are there written job descriptions? • What is the content of the job descriptions? • For which positions are there (no) job descriptions? • How did you design the job descriptions for the managers and for the temporary staff? • What is regulated in the job descriptions? • Do deputies have the same powers? • Are the job descriptions given to the employees? • How are job descriptions adjusted when changing jobs?	• Responsibility description for important key staff "dedicated to a specific person", e.g. QA manager, production manager, shift leader	Major: There is a security and legality problem due to the fact that responsibilities are not regulated in the company.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
3.2	Personal hygiene				
3.2.1*	Risk-based requirements relating to personal hygiene shall be documented, implemented and maintained and shall include, at a minimum, the following areas: • hair and beards • protective clothing (including their conditions of use in staff facilities) • hand washing, disinfection and hygiene • eating, drinking, smoking/vaping or other use of tobacco • actions to be taken in case of cuts or skin abrasions • fingernails, jewellery, false nails/ eyelashes and personal belongings (including medicines) • notification of infectious diseases and conditions impacting food safety via a medical screen- ing procedure.	Workwear may only be worn in the production rooms and must be put on or taken off when entering and leaving the production rooms. Particular attention should be paid to eating and smoking in primary work clothes. Here, attention must also be paid to contradictions regarding hygiene requirements. What is the clothing for the technique like? Is the technology allowed to work with the same clothes in the black and white area? When do you move? The same requirements also apply to technology and external service providers (e.g. pest controllers).	• What are the different requirements for personal hygiene in each area? • Are there any special cases or exceptions? • At what point does a beard start for you (a beard is present if you can „pluck“ the beard)? • Were the hygiene requirements derived from a risk assessment (risk assessed without hygiene requirements)? • Where is smoking allowed? • Are there any other indications/ restrictions related to smoking? (e.g. clothing) • Is it allowed to eat in work clothes? Is the risk derivation plausible for this? • How are company telephones cleaned/disinfected for sensitive hygiene? • Do the same hygiene rules apply to the technology? • Where are outside pockets allowed? • How are injuries treated/covered? • What types of hair ties are needed in which areas? • What hygiene requirements apply to external service providers (e.g. fitters and pest controllers)? Are there any exceptions here? • How is it ensured that external persons are aware of the relevant hygiene requirements?	• Personal hygiene, specifications • Derivation of risks • Justification that no inadmissible risk exists • Risk analysis for the derivation of the measures taken • Specifications for external parties (pest controllers and other service providers)	Major: Inadequate personal hygiene requirements pose a safety risk.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
KO N°3 3.2.2*	The requirements for personal hygiene shall be understood and applied by all relevant personnel, contractors and visitors.	The requirements for personal hygiene shall be transmitted in a way that they are understood by the staff, contractors and visitors in a way that they can prevent incidents and understand the impact and risk of an adequate behaviour	• What would be a deviation from hygiene regulations? • How would you handle it? • Who will be informed? • How are hygiene requirements communicated? • Are the hygiene requirements for the staff also complied with by external service providers/contractors and visitors?	• Hygiene rules for employees • Hygiene rules for external persons in the company (e.g. service providers) • Observation on the shop floor	KO: There are significant violations of the hygiene rules
3.2.3	Compliance with personal hygiene requirements shall be monitored with a frequency based on risks, but at least once within a 3-month period.	Hygiene tours that only record deviations are not suitable for proving the implementation of the various hygiene requirements. This also includes monitoring the disinfectants used. Hygiene requirements are checked by different people.	• How are employees monitored while they work? Is compliance with hygiene regulations regularly checked by employees?	• Hand swab tests, etc. • Proof of hygiene inspections and hygiene violations • List of identified failures • Derivation of risks	
3.2.4	A risk-based program shall be implemented and maintained to control the effectiveness of hand hygiene.	Unannounced contact tests carried out several times on areas on the hand that are difficult to clean.	• What hazards and risks have you identified? • To what do you pay attention when monitoring the hand hygiene? • What measures do you take in case of insufficient results? • Have you identified different risks per hygiene area? • What are the critical limits?	• Hazard analysis • Hand hygiene monitoring program • Contact test results • Derivation of risks • Justification that no inadmissible risk exists	
3.2.5	Visible jewellery (including piercing) and watches shall not be worn. Any exceptions shall have been comprehensively evaluated based on risks and shall be effectively managed.	Exceptions shall be described in detail. It should also be defined what is included for visible/non-visible jewellery.	• Is it allowed to wear jewellery and watches in production areas? • Are the different regulations based on a plausible risk assessment? • In which areas can wedding rings be worn?	• Overview of exceptions and special rules • Derivation of risks • Justification that no inadmissible risk exists • Personnel hygiene rules • Behaviour of people within the company (service provider)	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
3.2.6	Cuts and skin abrasions shall be covered with a plaster/bandage that shall not pose contamination risks. Plasters/bandages shall be waterproof and coloured differently from the product colour. Where appropriate: • plasters/Bandages shall contain a metal strip • single use gloves shall be worn.	Blue plasters with metal inserts (if a metal detector or X-ray detector is available)	• What colours are the patches? • Do you have different patches? • Do plasters contain a metal strip? • In which cases is a glove still required over the patch? • Do you record injuries? • How do you deal with blood contamination in production?	• Specifications for injuries • First-aid book • Personnel hygiene rules • Behaviour of people within the company (service provider) • Derivation of risks and corresponding measures	Major: Hand injuries result in a product safety hazard (e.g. an uncovered, purulent wound that comes into contact with the product).
3.2.7	In work areas where wearing headgear and/or a beard snood (coverings) is required, the hair shall be covered completely to prevent product contamination.	The headgear must also cover the ears. The beard protection must be large enough to cover the whole beard – and not just parts of the beard.	• In which production areas is it mandatory to wear a head covering and/or a head of beard? • What types of headgear is used? • Is the order in which to put on the headgear and/or beard protection fixed? • When does the headgear need to be renewed or replaced? • How do you ensure that the beard protector securely covers the entire beard? • What have been recent violations regarding headgear/beard treasure? • What are the different sizes of beard protectors?	• Personnel hygiene rules • Observation during the on-site tour	Major: If the headgear and/or bear muzzle is systematically/frequently worn incorrectly or missing. There is a product safety risk.
3.2.8*	Usage rules shall be implemented for work areas/activities where it is required to wear gloves (coloured differently from the product colour).	Other colours for product contact and for sanitary areas.	• In which production areas is the wearing of gloves mandatory? • What types of gloves are used? • When do the gloves need to be changed? • How is compliance with these regulations monitored? • Have you defined different colours for the gloves?	• Observation during the on-site tour • Glove swab test results • Personnel hygiene rules	Major: Missing or unclean gloves pose a product safety risk.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
3.2.9	Adequate protective clothing shall be provided in sufficient quantity for each employee.	In the case of higher hygiene requirements , outer pockets are not permitted, and work clothes are changed daily.	• How many sets of hygienic clothing are available to employees? • How should employees behave when their work clothes are dirty? • At what point are the work clothes considered dirty? • How often does hygiene clothing need to be changed?	• Requirements for the storage and change of work clothes • On-site monitoring of implementation	Major: When workers are not wearing protective clothing and there is a risk of product contamination.
3.2.10	All protective clothing shall be thoroughly and regularly laundered in-house, by approved contractors or by employees. This decision shall be documented and based on risks. Requirements related to laundry shall ensure a minimum of the following: • sufficient segregation between dirty and clean clothing at all times • laundering conditions on water temperature and detergent dosage • avoidance of contamination until use. • The effectiveness of the laundering shall be monitored.	The standard for laundry is a hygiene management system according to DIN EN 14065 (RABC). An analysis according to RABC (Risk Analysis Bio Contamination Control System) must be available for laundries. The standard is based on the idea of establishing a system of preventive measures in the cycle. This is done in the same way as the HACCP! If the clothes are washed by your own staff, temperatures, handling and detergent should be specified.	• How is the protective clothing washed? • Do you have different cleaning requirements (e.g. for the clothing of the technology) • Are there people who wash their protective clothing at home? • Is the washing of the protective clothing based on a risk analysis? • Do you know the specifications of the laundry? • What are the requirements for the storage of dirty and clean protective clothing? • What are the requirements for storing protective clothing? • When does protective clothing need to be changed? • How is the washing process checked for effectiveness? • What are the requirements for washing protective clothing?	• Risk derivation • Personnel hygiene rules • Protective clothes swab test results • Requirements for laundry and independent washing and storage of work clothes • Certificate of the service provider • Results of analyses	Major: Insufficiently cleaned laundry leads to a risk of product contamination. The lack of protective clothing poses a product safety risk.
3.2.11	In case of any health issue or infectious disease that may have an impact on food safety, actions shall be taken to minimise contamination risks.	Notifiable diseases are defined by the competent authorities. The Federal Centre for Health Education provides information for infectious diseases in several languages.	• How should staff and visitors behave if a contagious disease is present or suspected? • How is the staff informed/trained about the requirements? • Are there notices explaining the diseases and their symptoms?	• Information to employees about notifiable diseases • Control during on-site tour • Visitor hygiene rules • Risk derivation and corresponding measures	Major: There is a product safety risk due to a contagious disease of an employee.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
3.3	Training and instruction				
3.3.1	Documented training and/or instruction programs shall be implemented with respect to the product and process requirements and the training needs of the employees, based on their job, and shall include: • training contents • training frequency • employee tasks • languages • qualified trainer/tutor • evaluation of training effectiveness.	Several guidelines describe instructions for the planning, implementation and effectiveness testing of hygiene training. An important point is that the training content must be tailored to the specific activities of the staff. Furthermore, the language level (basic to proficient) must be taken into account. If the trainees have little knowledge of the language of the training, foreign-language training material or training material with a focus on pictorial and symbolic representations is suitable.	• How is the minimum competency determined? • Who is responsible for the training? • What evidence is there of the trainer's qualifications? • How are the foreign employees trained/instructed? • Who participates in the trainings? • How are the training needs for employees per job determined? • How often do the trainings take place? • What training does the company's management participate in?	• Training and instruction Programs • Training schedule • Training proof	Major: Due to lack of or inadequate training, there is a risk to product safety or legality.
3.3.2*	The documented training and/or instruction programs shall apply to all personnel, including seasonal and temporary workers and employees from external companies, employed in the respective work area. Upon employment, and before commencing work, they shall be trained/instructed in accordance with the documented training/instruction programs.	Special emphasis should be placed on "slips" during training and its retraining. This also includes monitoring the training compliance of all persons.	• Are seasonal and temporary workers also trained/instructed as part of the recruitment process? • What documents and content are trained before starting work? • Which documents and contents are trained/instructed as part of the onboarding process? • How do you proceed in the event of ineffective onboarding? • What training courses are planned for the executives and the management?	• Onboarding and training • Training proof	Major: Lack of or inadequate induction/ training jeopardizes product safety or legality. Legally required trainings are not carried out.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
3.3.3	Records of all training/instruction events shall be available, stating: • list of participants (including their signature) • date • duration • contents of training • name of trainer/tutor. A procedure or program shall be documented, implemented and maintained to prove the effectiveness of the training and/or instruction programs.	A simple test says little about the effectiveness! It makes sense to check whether the training content has been understood (e.g. small test or queries in the training) and a „real" effectiveness test at a later point in time (e.g. questioning, observation, audit, …). This should be set out in the evaluation process.	• What training courses are conducted? • Are there any special training courses? • Are there training courses with different levels of detail (e.g. for managers and for employees) • Are the trainings documented? • Have the participants signed the training certificate? • Who conducts follow-up training? • How often do hygiene training courses take place? • What was the content of the last hygiene training? • Who determines the procedure for verifying effectiveness? • How effective are the trainings? • Do you also check the effectiveness of on-site training? • When does a training course become effective for you? • Didn't you have effective training?	• Proof of training and familiarization	Major: Training evidence, that confirm that employees have been trained/instructed, is systematically not kept.
3.3.4	The contents of training and/or instruction shall be reviewed and updated when necessary. Special consideration shall be given to these specific issues, at a minimum: • food safety • product authenticity, including food fraud • product quality • food defence • food related legal requirements • product/process modifications • feedback from the previous documented training/instruction programs.	The trainings are checked at least once a year to ensure they are up-to-date, complete, long-term and understandable. The participants are also involved in this test.	• How is the training content checked? • Have you defined criteria for reviewing the training courses and their content? • When will the training content be reviewed? • What adjustments did the reviews lead to? • What are the results of the review of training and training content? • Is the feedback from the training participants taken into account in the review? • When was the last update/adaptation of the training content? • What was the content of the last update?	• Test results of the training courses • Customized training courses • Assessment results • Reviews	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
3.4	Staff facilities				
3.4.1*	Adequate staff facilities shall be provided and shall be proportional in size, equipped for the number of personnel, and designed and controlled to minimise food safety risks. Such facilities shall be maintained in a way to prevent contamination.	Depending on the location of operation different regulations may describe the requirements for changing rooms, washbasins and toilets. For break rooms, there may be specifications and recommendations. The noise levels should be adhered to.	• How did you determine the space requirements of the social rooms? • How did you minimize the risks? • What are your requirements for the social rooms?	• Plant layout • On-site auditing • Derivation of risks • Justification that no inadmissible risk exists	Major: The social facilities are not adequately equipped or disproportionate to the number of employees, with the consequence of food safety issues.
3.4.2	Product contamination risks by food and drink and/or foreign materials shall be minimised. Consideration shall be given to food and drink from vending machines, canteen and/or brought to work by personnel.	In case of increased risks, glass and ceramic cups are not allowed. There are guidelines for food that are not allowed to bring with you (e.g. peanuts, tree nuts)	• What food are employees allowed to bring from home? • What are the requirements for taking medication to the workplace? • Is there a risk analysis regarding foreign bodies from social institutions? • Where are peanuts and peanut products as well as nuts allowed? • What clothes can you eat in? • Can plates and glasses made of glass or ceramic be used?	• Derivation of risks and corresponding measures • Personnel hygiene rules • Practical implementation	Major: Food brought along or traces of it contaminate products, which leads to a food safety risk (e.g. allergen cross-contamination).
3.4.3	Changing rooms shall be located to allow direct access to the areas where unpacked food products are handled. When infrastructure does not allow it, alternative measures shall be implemented and maintained to minimise product contamination risks. Outdoor clothing and protective clothing shall be stored separately unless alternative measures are implemented and maintained to prevent contamination risks.	Depending on the type of products handled in a certain area, it may be necessary to minimize the risk of transfer of contamination from the outside into that area by using a change room, where garments can be exchanged for special production room garments. The room should have a step-over barrier to leave shoes and boots that are worn outside on one side, and on the other side to put on footwear to be used exclusively in the production area.	• Are there changing rooms for employees and visitors with a separation of street and work clothes? • Are there cleaning facilities for boots and protective aprons? • Do the changing rooms have direct access to the production areas? • How is the protective clothing handled during breaks? • Is there a risk analysis for changing rooms that do not have direct access to the production areas? • How frequent are the lockers cleaned on the inside?	• On-site auditing • Derivation of risks and corresponding measures • Personal hygiene rules	Major: Changing rooms are not available or there is no separation between private and protective clothing when high-risk products are processed. When a contamination occurs due to changing room location which leads to food product safety problem.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
3.4.4	Toilets shall neither have direct access nor pose contamination risks to areas where products are handled. Toilets shall be equipped with adequate hand washing facilities. The facilities shall have adequate natural or mechanical ventilation. Mechanical airflow from a contaminated area to a clean area shall be avoided.	The hygienic minimum air exchange rate is about 0.3/h. For toilets, 4 to 6 air changes per hour are recommended.	• How do you ensure the required amount of ventilation? • Do you know the necessary air exchange rate? • How to determine the hygienic status of air dryers for hands? • How do you avoid contamination of the food by the drains?	• On-site auditing • Derivation of risks and corresponding measures	Major: The airflow poses a risk of contamination.
3.4.5*	Hand hygiene facilities shall be provided and shall address, at a minimum: • adequate number of wash basins • suitably located at access points to and/or within production areas • designated for cleaning hands only. The necessity of similar equipment in further areas (e.g. packing area) shall be based on risks.	Separate sinks must be provided for cleaning shoes and aprons.	• How did you determine the necessary number of facilities for hand hygiene? • Which hand hygiene systems do not have forced guidance? How do you monitor or verify their correct application? • Are there sinks that include multiple functions (e.g., washing hands and cleaning appliances)?	• On-site auditing; • Risk derivation and corresponding measures	Major: There is an insufficient amount of hand hygiene facilities. Not all employees can wash their hands, which may lead to food safety risk.
3.4.6	Hand hygiene facilities shall provide: • running potable water at an adequate temperature • adequate cleaning and disinfection equipment • adequate means for hand drying.	The water temperature should be adjustable.	• Is there suitable equipment for hand drying at all sinks? • Are detergents and disinfectants available and labelled? • What is the minimum temperature set for the water? • Is running drinking water available at a suitable temperature at all sinks?	• On-site auditing	The hand hygiene facilities do not fulfil the minimal legal requirements.
3.4.7	Where the processes require a higher hygiene control, the hand washing equipment shall provide in addition: • hand contact-free fittings • hand disinfection • waste container with hand contact-free opening.	Touchless dispensers for soap and disinfection. Water use is contactless.	• Are there touchless fittings, disinfectants, information signs in areas where perishable food is handled? • When does a higher standard of hygiene begin?	• On-site auditing • Signs/Pictograms	Major: There is a contamination due to inadequate equipment that has an influence on food safety.
3.4.8	Where needed, cleaning and disinfection facilities shall be available and used for boots, shoes and further protective clothing.		• Are there cleaning options and specifications for boots and aprons? • What is the procedure for protective clothing during breaks? • How is the effectiveness of the washer-disinfectors determined?	• On-site evaluation	Major: The washer/ disinfectors are systematically/frequently not used, and this leads to a safety hazard

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4	Operational processes				
	Selection of applicable European legislation • Directive 2008/5/EC on the particulars required on the label of certain foodstuffs in addition to those provided for in Directive 2000/13/EC (Annex IIIa) • VO(EC) NR. 1925/2006 on the addition of vitamins and minerals and certain other substances • Regulation (EC) 2017/2158: laying down minimization measures and guideline values for the reduction of acrylamide levels in foodstuffs • Regulation (EC) 13333/2008 Food additives • Regulation (EC) 2019/787 • Regulation (EC) 2016/1416 (Amendment to 10/2011) • Regulation (EC) 2019/37 (Amendment to 10/2011) • Regulation (EC) 284/2011 (melamine) • Regulation (EC) 321/2011 (Biphenol A) • Regulation (EC) 2020/685 (maximum levels of perchlorate in certain foodstuffs) • Regulation (EC) 1069/2009 – Health rules for animal by-products not intended for human consumption and repealing the Regulation • Regulation (EC) 183/2005 • Regulation (EC) 528/2012 (biocides), • Declarations of conformity are required for the materials listed in EU Regulation No. 1935/2004 for which an individual measure is specified. These include the following: ◦ Plastics Regulation (EU) No. 10/2011 ◦ Active and intelligent materials Regulation (EC) No. 450/2009 ◦ Recycled plastics Regulation (EC) No. 282/2008 ◦ Epoxy derivatives Regulation (EC) No. 1895/2005 (Art. 5) ◦ Regenerated cellulose Directive 2007/42/EC (Art. 6) ◦ Ceramics Directive 2005/31/EC (Art. 1) ◦ BPA paints and coatings ◦ Regulation (EU) No. 2018/213 (Art. 4) ◦ The current amendment to Regulation (EC) 10/2011 should also be addressed (Regulation (EC) 2020/1245) ◦ Regulation (EC) 321/2011 (Bisphenol A)		**Examples for legislation applicable in different parts of the world** **Germany:** • Guidelines for foodstuffs • Drinking Water Ordinance (TrinkV) • IfSG § 18 Officially ordered measures for disinfection and control of health pests, scabies mites and head lice; powers to issue regulations, • GefStoffV (fumigation), • Section 11 (1) No. 3e of the Animal Welfare Act (TierSchG) • TLMV (Ordinance on Frozen Foodstuffs) • According to § 22 of the Road Traffic Act (StVO), cargo in the vehicle, for example in the truck, must be secured in such a way that it cannot fall over, roll, slip or cause noise during evasive movements or emergency braking. Furthermore, overloading must be avoided. • Measures that are suitable for securing different types of cargo in the vehicle are described in VDI Guideline 2700 • BedGgstV (Consumer Goods Ordinance)		

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.1	Customer focus and contract agreement				
4.1.1	A procedure shall be implemented and maintained to identify fundamental needs and expectations of customers. The feedback from this process shall be used as input for the company's continuous improvement.	Customer needs can be less packaging, less sugar, more raw materials from the region, longer shelf life etc. Furthermore, it is about the determination of customer expectations, their evaluation/analysis, and the planning of the derived improvements like faster delivery, less transport damage, better durability of the labels, different colours, better cutting, etc.	• How do you approach the identification of customer needs? • Which customer expectations have changed, recently? • How do you evaluate the data and information obtained? • What conclusions were drawn from the investigation? • What expectations and customer needs do you want to improve? • What expectations and customer needs have been improved?	• Results of the identification of customer needs and their analysis/evaluation • Measures to improve	
4.1.2	All requirements related to food safety and product quality, within the customer agreement and any revision of these clauses, shall be communicated to, and implemented by each relevant department.	One possibility would be a contract matrix ("Which customers demand what?").	• How is it ensured that the customer • is informed about changes? • How do you record all requirements between contractors? • Where are these requirements recorded? • Are the requirements for the relevant areas compiled? • How can employees access their requirements? • How can changes in requirements be detected?	• Contracts with customers	Major: Specifications are not approved. It is not checked, whether the desired product can be delivered.
KO N°4 4.1.3*	Where there are customer agreements related to: • product recipe (including raw materials characteristics) • process • technological requirements • testing and monitoring plans • packaging • labelling these shall be complied with.	In the audit it is checked whether there were exceptions or special cases (e.g. delivery of a raw material from a region other than the contract). The individual parameters (e.g. critical limits) are listed in an overall database (with a status of change). This should also be checked in the traceability test.	• What measures are there to ensure that specified recipes, processes, etc. are complied with? • How do you monitor compliance with customer agreements? • Did you have any deviations from the customer's specifications that you discovered in time? • What tolerances are set for the fluctuation of parameters in recipes?	• Customer contracts regarding formulations or other agreements • Evidence such as raw material specifications and corresponding analyses • Declaration of compliance for packaging materials • Test, e.g. storage tests, final consumer preparation tests	KO: There is evidence that recipes, products and specifications do not match. The agreed recipe is not adhered to.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.1.4	In accordance with customer requirements, the senior management shall inform their affected customers, as soon as possible, of any issue related to product safety or legality, including deviations and non-conformities identified by competent authorities.	If authorities declare a deviation (e.g. legality/quality/safety), the company must inform the affected customer immediately. If this product is also manufactured for other customers and the identified non-conformity also has an impact on other products, the company must also inform these affected customers. Set maximum time limits for the information chain (e.g. information available at other locations).	• Have there been reported incidents in recent years? • How were these incidents coordinated with the company's management? • How does the company's management inform the affected contractual partners on matters of product safety or legality? • How does the company's management inform contractual partners, in such case?	• Incidents and their information channels	Major: The company knowingly placed food on the market that does not comply with legal requirements. The information was not communicated to the buyer.
4.2	**Specifications and formulas**				
4.2.1	**Specifications**				
4.2.1.1*	Specifications shall be documented and implemented for all finished products. They shall be up to date, unambiguous and in compliance with legal and customer requirements.	In the case of specifications, the date of release and the date of entry into force and, if necessary, the training of the personnel should be checked if in correct sequence. Lowering maximum levels (e.g. acrylamide) can also be part of a specification.	• When was the last change? • How can changes and/or innovations be tracked?	• Specification and its amendments • Part of the traceability exercise	Major: The specifications do not comply with the legal requirements and are therefore not implemented correctly. Not all end products have up-to-date specifications that meet the legal requirements.
4.2.1.2	A procedure to control the creation, approval and amendment of specifications shall be documented, implemented and maintained and shall include, where required, the acceptance of the customer(s). Where required by customers, product specifications shall be formally agreed.	The procedure also includes chronological aspects (review, release and entry into force). The persons responsible for communication with the customer and the training/ information of staff should be part of the procedure.	• How do you monitor the specifications? • What deviations appeared in the past? • What are the critical limits for monitoring the specifications? • How did the customer give his consent? • Were there any changes to the specification?	• Procedure for the specifications	Major: A procedure is missing and as a result the specifications are not existing or not implemented correctly.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.2.1.2	This procedure shall include the update of finished product specifications in case of any modification related to: • raw materials • formulas/recipes • processes which impact the finished products • packaging materials which impact the finished products.		• When are changes to specifications binding? (with date of the changed specification or with a date of entry into force) • How do you ensure that legal changes are taken into account when evaluating existing specifications?		Specifications are used without testing and approval, so it is not clear whether specifications can be met.
KO N°5 4.2.1.3*	KO N° 5: Specifications shall be documented and implemented for all raw materials (ingredients, additives, packaging materials, rework). Specifications shall be up to date, unambiguous and in compliance with legal requirements and, if defined, with customer requirements.	Specifications must be available and adhered to for all raw materials this includes sausage casings, for example. A procedure to substitute raw materials should be in documented and in place.	• Are specifications available for all raw materials, ingredients, additives, packaging materials and rework? • What specifications do you have for rework? • How do you monitor the implementation of changed specifications? • How is it ensured that the specifications comply with legal requirements? • What legal provisions have you recently adapted? • Who prepares, reviews and approves the specifications?	• Proof of specification compliance, e.g. lab results • Part of the traceability exercise	KO: Not all raw materials, ingredients, additives, rework, packaging materials and finished products have specifications. The specifications are not incomplete or do not comply with legal requirements.
4.2.1.4	Specifications and/or their contents shall be available on site for all relevant personnel.	Good practice: Simplified specifications with the manufacturing aspects are available in production.	• Where can specifications be viewed? • How do you deal with secret specifications? • How do you define who has access? • How do you give the relevant personnel access to the specifications? • Do deputies have access to the specifications? • How do you distribute the specifications? • Are paper specifications updated and replaced in a timely manner?	• Employees' knowledge and access to the specifications.	Major: Key employees have no access to the specifications and as a result, there is a problem with product safety and/ or legality.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.2.1.5*	Where products are requested to be labelled and/ or promoted with a claim or where certain methods of treatment or production are excluded, measures shall be implemented to demonstrate compliance with such a statement.	The company should have a system which allows an easy overview over all products, their specifications and claims. Claims should be well described e.g., hard/soft, seasonal, etc.	• Are there any specific requirements from the customer? • Are there any products/raw materials that consist of, contain or are made from GMOs? • Who writes, amends, checks and approves specifications? • How can compliance with the claims be demonstrated?	• Specifications with GMOs, „free from", etc. claims • Access to relevant databases	Major: Specifications are not used properly, and it is not clear whether they are complied with. The product authenticity is compromised.
4.3	**Product development/Product modification/Modification of production processes**				
4.3.1	A procedure for the development or modification of products and/or processes shall be documented, implemented, and maintained and shall include, at a minimum, a hazard analysis and assessment of associated risks.	The requirements for product development have to be checked even if there are only product modifications (new ingredient used, changes in packaging) or modifications of production processes. The R&D department has active members in the HACCP team, or the department has its own HACCP team. The employees who carry out the hazard analyses are well trained regarding HACCP.	• Which hazards have you identified in recent developments? • What were their risks? • What was the conclusion of the last hazard analysis? • Have specific control measures been introduced because of new developments? • How is it ensured that every person who is allowed to change the process follows the procedure?	• Hazard analysis • Procedures for development and risk assessments • Overview of the development	Major: There is no process for product development and food safety issues and/or a legal problem arise.
4.3.2*	The procedure shall ensure that labelling complies with current legislation of the destination country/ies and customer requirements.	The responsible department should be able to present an overview of products and their destination countries.	• Which countries do you export to? • How do you check the requirements in the target markets? • How do you check the labelling and declaration? • Do you use external experts? • How do you check the labelling of the target markets? • How do you ensure professional translation?	• Product developments and list of their destination countries	Major: The legislation of the target countries is not complied with the labelling.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.3.3*	The development and/or modification process shall result in specifications about formulation, rework, packaging materials, manufacturing processes and comply with food safety, product quality, legality, authenticity and customer requirements. This includes factory trials ,product testing and process monitoring. The progress and results of product development/ modification shall be recorded.	Records must also be available for the course of tests or trials.	• How do you record the progress of developments? • What test runs are carried out? • How does the process flow for product development look like? • Which tests are part of product development? • Are changes traceable? • How do you summarize all the development records and notes? • Do you set goals for the developments? • How do you set up test runs?	• Product development documentation • Test run documentation • Test results (e.g. organoleptic) • Product development procedures	Major: New production processes, recipes, product requirements are not backed up by trial runs and tests and production is carried out directly. At the same time, with this production, there is a security or legality problem that is not corrected.
4.3.4	Shelf life tests or appropriate validation through microbiological, chemical and organoleptic evaluation shall be carried out and consideration shall be given to product formulation, packaging, manufacturing and declared conditions. The shelf life shall be defined in accordance with this evaluation.	A test for extended storage is necessary in case shelf-life periods are extended.	• On what basis are the shelf-life periods determined? • How do you proceed with new products/raw materials? • What tests are performed? • How are the tests evaluated? • What do you do in case of insufficient results? • How do release a product? • Are unfavourable conditions also taken into account during the test?	• Storage tests • Shelf life and evidence of validations • Microbiological tests	Major: Products are not fulfilling the specifications at the end of shelf-life (more than an isolated case) and no corrections/corrective actions have been introduced. There is no basis for determining the shelf life, so a safety problem cannot be excluded.
4.3.5	Recommendations for preparation and/or instructions for use of food products related to food safety and/or product quality shall be validated and documented.		• What kind of preparation recommendations do you give? • How did you develop these recommendations? • What procedure was applied to validate the recommendations?	• Notes and recommendations on the product packaging and internal documents	Major: A security issue occurs due to incorrect or inadequate recommendations and/or product use.
4.3.6	Nutritional information or claims which are declared on labelling shall be validated through studies and/or tests throughout the shelf life of the products.	See this also for rework. As part of the development, nutrition value calculations should be carried out.	• What validations did you perform? • On what basis did you carry out the validations? • Is your team qualified for validations? • Have all validation criteria been fully met?	• Shelf life tests • Validation documentation	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.4	Purchasing				
4.4.1*	A procedure for the sourcing of raw materials, semi-finished products and packaging materials and the approval and monitoring of suppliers (internal and external) shall be documented, implemented and maintained. This procedure shall contain, at a minimum: • raw materials and/or suppliers' risks • required performance standards (e.g. certification, origin etc.) • exceptional situations (e.g. emergency purchase) and, based on risks, additional criteria, for example: • audits performed by an experienced and competent person • testing results • supplier reliability • complaints • supplier questionnaire.	**Specific procedures shall be in place for the procurement of animals, fish and seafood which are subject to control of prohibited substances (e.g. pharmaceuticals, veterinary medicines, heavy metals and pesticides).** Suppliers are approved according by the two-man rule. Procurement can only purchase from approved suppliers. Defined minimum criteria are available for supplier approval, which are demonstrably checked before admission (e.g. GFSI, product protection insurance). A distinction is made between optional and mandatory criteria. Contracts are in place for regular suppliers. Contracts with a clear delimitation of responsibilities are drawn up for outsourced processes. The criteria for admission should vary in detail (pest control, laundry).	• What are the steps in your supplier approval process? • Can you show and explain the release steps? • Did suppliers deliver before approval? How is this controlled/ prevented? • What are the raw materials and suppliers with the highest risks? • How did you assess these risks? • What conclusions do you draw for high risk products? • What mandatory criteria have you defined for each supplier group? • How do you check these mandatory criteria? • How do you proceed if a supplier does not meet these mandatory criteria? • What do you do if a supplier loses their certificate? • Who can approve suppliers at your company? • How do you proceed for suppliers of R&D? • What supplier audits have you conducted? • How did you qualify the auditors for supplier audits? • How can it be seen if a supplier/service provider is graded and is that recognizable? • How do you monitor supplier performance? • Have you set criteria for monitoring? • How do you record the surveillance? • In which cases is the company's management informed?	• Procedure • Supplier master data (date of release) and date of first delivery) • Derivation of risks justification that no inadmissible risk exists • Supplier certificates • Supplier questionnaires, if applicable • Results of supplier audits • Supplier grading system • Co-packers list • Certificate for co-packer	Major: When there are no approval procedures for suppliers, sourcing of raw materials, semi-finished products and packaging materials and the risks are not determined which results in a food safety risk.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.4.2	The purchased materials shall be assessed, based on risks and suppliers' status, for food safety, product quality, legality and authenticity. The results shall be the basis for the testing and monitoring plans.	There are categories for supplier status e.g., A = very good supplier (reduced level of monitoring), B = good/normal supplier (normal level of monitoring), C = below-average supplier (increased or additional monitoring), D = very poor supplier or delivery only under conditions (significantly increased monitoring)	• How are the purchased products monitored for compliance with the specifications? • Does the monitoring plan include different monitoring measures depending on the supplier? • Is there a monitoring plan (test plan)? • How do you proceed with deviations? • Have you classified the deviations (for risks)? • How are deviations included in the supplier evaluation and risk assessment?	• Incoming product checklist • Derivation of risks • Justification that no inadmissible risk exists • Lab test • Test plan • Monitoring plan and its results	Major: The purchased products are not tested for compliance with the specifications, thus food safety is not ensured.
4.4.3*	The purchasing services, which have, based on risks, an impact on food safety and product quality, shall be evaluated to ensure they comply with defined requirements. This shall take into account, at a minimum: • the service requirements • the supplier's status (according to its assessment) • the impact of the service on the finished products.	Contracts should be categorised e.g., with a traffic light (green = allowed; yellow = allowed depending on the application, inquiries required; red = transport and use prohibited)	• How are the purchased services monitored for compliance with the requirements? • Have you set criteria for monitoring service providers? • What were the results of your surveillance? • What monitoring do you carry out with the most favourable service provider and what monitoring do you carry out with the least favourable service provider? • Does the monitoring plan include different monitoring measures per supplier status? • Is there a monitoring plan (test plan)? • How do you proceed in the event of deviations? • How are deviations included in the supplier evaluation and risk assessment?	• Derivation of risks • Justification that no inadmissible risk exists • Supplier procedure • Analysis certificates • External audit plan • Supplier audits • Supplier grading system • Product entry monitoring • Lab tests	Major: The requirements are not considered and the specification or legal requirements are not fulfilled.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.4.4*	Where a part of the product processing and/or primary packing and/or labelling is outsourced, this shall be documented in the food safety and quality management system and such processes shall be controlled to guarantee that food safety, product quality, legality and authenticity are not compromised. Control of such outsourced processes shall be identified and documented. When required by the customer, there shall be evidence that they have been informed and have agreed to such outsourced process.		• How is the qualification of suppliers ensured? • Are there co-packers for outsourced processes? • How are they monitored? • Who carries out this monitoring? • Who planned the surveillance? • Has there been an agreement with the supplier on how to proceed in the event of insufficient monitoring results?	• Lab tests • Supplier of outsourced processes list • Certificate of suppliers • External audit plan • Supplier audits	
4.4.5	An agreement shall be documented and implemented, covering the outsourced processes and describing any arrangements made in connection with it, including in-process controls, testing and monitoring plans.	There is a detailed delimitation of responsibilities.	• Are there contracts with all outsourcing companies? • What do you look for in the contracts? • Have the contracts been signed by both sides? • What controls have you agreed upon? • How do you proceed in case of non-conformities? • How and to whom were the contents of the contract made known?	• Contracts	
4.4.6	Suppliers of the outsourced processes shall be approved through: • certification to IFS Food or other GFSI recognised food safety certification standard, or • documented supplier audit, performed by an experienced and competent person, which shall include, at a minimum, requirements for food safety, product quality, legality and authenticity.	IFS Progress Food Assessments at intermediate level are accepted as documented supplier audits. The frequency of the documented supplier audit shall be justified by risk assessment, if not performed within 12 month.	• Are all suppliers IFS-certified for the outsourced processes? Or certified to another GFSI-recognized certification standard for food safety? • If not, has a documented supplier audit been conducted? By whom? • How do you qualify your supplier auditors? • Are minimum criteria for the approval of suppliers clearly defined?	• Admission documents • Supplier certificates • Proof of qualification for auditor • Contracts	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.4.7	The sourcing of materials and supplier assessments shall be reviewed at least once within a 12-month period or whenever significant changes occur. Records of the reviews and the consequential actions of the assessment shall be documented.	Just to avoid possible misunderstandings, the requirement does NOT mean that a complete on-site supplier assessment shall be carried out for every supplier every 12 months for no reason. Each delivery/service is evaluated within the framework of the goods acceptance of the acceptance of the service on the basis of a few criteria in the IT system (e.g. adherence to delivery dates, completeness, quality, …) In the event of poor results, care must be taken to react with measures and a shortened supplier evaluation interval. The conclusions of the review should be evident from comments (especially in case of poor results). The criteria and frequency of the supplier evaluation are derived based on risks.	• On what basis do you evaluate your suppliers? • What criteria did you use to evaluate the suppliers and service providers? • What data do you use to carry out the assessment? • Who evaluates and classifies the suppliers? • Are incidents and complaints included in the evaluation? • Which suppliers are evaluated? • Who conducts this assessment? • What were the results and conclusions of these evaluations? • What measures have been taken based on these assessments? • In what cases is a supplier blocked? • Who verifies the results of the supplier evaluation? • How often are the results of the supplier evaluation reviewed? • What actions are taken after reviewing the results for supplier evaluations?	• Supplier evaluation • Risk derivation • Measures for improvement among suppliers • Complaints towards suppliers • Results of incoming goods inspections	Major: Results of the supplier evaluation are not considered and this leads to a safety or legality problem.
4.5	**Product packaging**				
4.5.1*	Based on risks and intended use, key parameters for the packaging materials shall be defined in detailed specifications complying with the current relevant legislation and other relevant hazards or risks. Suitability of the food contact packaging materials and existence of functional barrier(s) shall be validated for each relevant product. It shall be monitored and demonstrated by test/ analysis, for example: • organoleptic tests • storage testing • chemical analyses • migration test results.	The key parameters typically include the following aspects: materials and layer structure of the packaging, temperature ranges, product suitability (e.g., oils/greases. Dry products or acidic products), physical stability and stress (e.g., tensile force), functional barrier, UV protection, light transmission, …	• What hazards have you identified for product packaging? • How did you assess the risk? • What conclusions did the risk assessments lead to? • Which packaging has the highest risk? • How did you assess the dangers of migration and permeation? • Are there also risk assessments for packaging materials without direct contact to foodstuff, but with relevant information, to test their influence on the product?	• Derivation of risks • Justification that no inadmissible risk exists • Description of key parameters • Packaging specifications • Declarations of compliance • Lab tests	Major: The packaging material does not comply with the legal regulations, other relevant hazards or risks

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.5.1*			• How do you ensure that packaging materials comply with the relevant legislation? • Who develops and tests new packaging material? • Where do you store specifications for Packaging materials? • How is it ensured that packaging materials do not have a negative impact on the product?		
4.5.2	For all packaging materials which could have an impact on products, declarations of compliance, which attest compliance with legal requirements shall be documented. In the event that no specific legal requirements are applicable, evidence shall be maintained to ensure that packaging materials are suitable for use. This applies for packaging materials which could have an influence on raw materials, semi-finished and finished products.		• How do you check declarations of compliance? • What criteria do you consider? • Do you pay attention to the completeness of the declaration of compliance according to EU regulation? • How do ensure the correct test simulants? • Are you considering different physical conditions for testing the overall migration? • How do you ensure a timely implementation of new legislation? • What do you do in the event of outdated and incorrect declarations of compliance?	• Declarations of compliance • Test results regarding the migration	Major: There are no declarations of compliance for packaging materials that have an impact on the product, where they are legally required.
4.5.3	Used packaging and labelling shall correspond to the product being packed and shall comply with agreed customer product specifications. Labelling information shall be legible and indelible. This shall be monitored and documented at least at the start and end of a production run as well as at every product changeover.	Cross-check of label/ product match in case of "product change" and does "product" also include correct packaging/labelling? For example, if the same food product is processed, but the company needs to use a new film, is it covered?	• What procedures are in place to ensure compliance? • How often do you sample? • How do you proceed in the event of discrepancies in packaging or labelling? • What was the last discrepancy? • What consequences had the discrepancy?	• Test specifications and results • Production protocols	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.6	Factory location				
4.6.1*	Potential adverse impact on food safety and/or product quality from the factory environment (e.g. ground, air) shall be investigated. Where risks have been identified (e.g. extremely dusty air, strong smells), measures shall be documented, implemented and reviewed for effectiveness at least once within a 12-month period or whenever significant changes occur.		• Is there an analysis for negative influences to on-site products? • What negative influences have you identified? • Are there critical limits for these influences? • What was analysed (e.g., water quality, allergens in the air, exhaust fumes, dust, odour nuisance, environmental pollution in the soil, ...)? • Who evaluated the environment and when was that? • For which radius did you create the analyses? • Are there any expert opinions or external analyses? • What measures have been put in place if potentially harmful materials/ substances are nearby? • Who checks the effectiveness of the defined measures? • How is the effectiveness of the defined measures checked?	• Location analyses • Protective measures • Corrective actions • Derivation of risks • Justification that no inadmissible risk exists	Major: There is a safety issue due to the negative impact of the corporate environment on the product (e.g. water treatment) and no corrections or corrective actions are implemented. Established protective measures are unclear or have questionable efficiency and a safety problem exists.
4.7	Factory exterior				
4.7.1	All external areas of the factory shall be clean, tidy, designed and maintained in a way to prevent contamination. Where natural drainage is inadequate, a suitable drainage system shall be installed.		• Inspection: Assessment of the of the outdoor areas (order, cleanliness, no unnecessary garbage, …)? • Inspection: Assessment of the condition of the floors and drainage • Inspection: If the natural drainage is inadequate, has a suitable drainage system been installed? • Are the factory's outdoor facilities checked by internal audits and company inspections? • What was noted in the last internal audit?	• Inspection of the outdoor area • Reports of internal audits or company inspections	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.7.2	Outdoor storage shall be kept to a minimum. Where goods are stored outside, it shall be ensured that there are no contamination risks or adverse effects on food safety and quality.		• Are goods stored outdoors? • What goods are stored outdoors? • Are containers or crates, intended for product transport are stored outdoors? • If so, how are these containers cleaned? • What are the regulations for outdoor storage? • Is outdoor storage carried out based on a risk assessment? • How are goods protected, when stored outside? • How are goods brought inside without affecting food safety?	• Derivation of risks and corresponding measures	Major: Goods that are stored outdoors are affected in such a way that there is a safety risk (e.g. unprotected primary packaging material is stored outdoors, mouldy and is not excluded from use). There is no risk assessment available for outdoor storage and food safety and quality are not ensured.
4.8	**Plant layout and process flow**				
4.8.1	A site plan covering all buildings documented and maintained and shall describe, at a minimum, the process flow of: • finished products • semi-finished products, including rework • packaging materials • raw materials • personnel • waste • water.		• What are the exceptions for the paths? • Are there any special cases? • What are the ways for introduction of packaging? • The use of emergency exits, and other „shortcuts“ must be examined. • How often are the plans reviewed?	• Site map with the paths • Waste elimination plan • Personnel flow plan • Materials flow plan • Process flow plan • Hydraulic plan	Major: There are no flow plans and the segregation of product processes is not respected (e.g. separation of „dirty“ and „clean“ processing areas, or personnel cross the separation without appropriate protective clothing) and food safety cannot be ensured.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.8.2*	The process flow, from receipt of goods to dispatch, shall be implemented, maintained, reviewed and where necessary, modified to ensure that the microbiological, chemical and physical contamination risks of raw materials, packaging materials, semi-finished and finished products are avoided. The cross-contamination risks shall be minimised through effective measures.	There is a matrix of possible cross-contaminations. This was evaluated and supplemented by analyses.	• How do you ensure that cross-contamination is avoided? • How did you analyse and evaluate possible cross-contamination? • What measures have you implemented to minimize cross-contamination? • How effective are these measures? • Have there been any incidents in the past? • Do you analyse or measure cross-contamination? • How did you defined „minimized“? • What contaminations are permitted?	• Process flow diagram • Derivation of risks and corresponding measures	Major: The process flow leads to cross-contamination between raw materials, packaging material, semi-finished products, and finished products.
4.8.3	In the case where areas sensitive to microbiological, chemical and physical risks, have been identified, they shall be designed and operated to ensure product safety is not compromised.	Follow the applicable industry standards for risk areas with different requirements for hygienic clothing.	• What are the requirements for the sensitive areas? • What are the requirements for maintenance personnel when entering the sensitive areas?	• Derivation of risks and corresponding measures • Hygiene projects for the sensitive areas, information on the minimum air exchange rate	Major: A lack of or insufficient ventilation in sensitive areas endangers product safety.
4.8.4	Laboratory facilities and in-process controls shall not affect product safety.		• Is there a laboratory on site? • Where is the laboratory located? • Where are the lab coats stored? Is there a policy for changing coats? • Can laboratory waste contaminate the production rooms? • How are samples with high pathogen load discarded? • Is there a separate ventilation system for the laboratory? • What is the regulation for the breakage of glass? • Which containers are introduced into production by the laboratory? • Which kind of analyses are carried out? • Who is allowed to enter the laboratory?	• Waste certificates • Hygiene requirements for the laboratory	Major: Laboratories endanger product safety (e.g., wastewater, air circulation, waste disposal).

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.9	Production and storage premises				
4.9.1	Constructional requirements				
4.9.1.1*	Premises where food products are prepared, treated, processed and stored shall be designed, constructed and maintained to ensure food safety.		• What requirements have you defined for the rooms (floors, walls, ceiling, windows, ventilation, doors, …)? • Who designed the rooms?		Major: There is separation of "dirty" and "clean" areas, although this is required by law. Legal regulations are not complied with.
4.9.2	Walls				
4.9.2.1	Walls shall be designed and constructed to meet production requirements in a way to prevent contamination, reduce condensation and mould growth, facilitate cleaning and, if necessary, disinfection.		• Inspection: Are walls mouldy? • When was the last renovation in this part of the building?	• Condition of the walls (e.g. no dirt, mould and condensate)	Major: Extreme mould growth that poses a risk of contamination.
4.9.2.2	The surfaces of walls shall be maintained in a way to prevent contamination and easy to clean; they shall be impervious and wear-resistant to minimise product contamination risks.		• How do you ensure that this wall cover (e.g. from plastics) is suitable for its purpose? • How often do you clean the walls?	• Cleaning plans • Cleaning evidence for the walls • Derivation of risks and corresponding measures • Declaration of Compliance (when from plastics and in contact with food)	
4.9.2.3	The junctions between walls, floors and ceilings shall be designed to facilitate cleaning and, if necessary, disinfection.	A round cove (radius of at least 3mm) is easy to clean. Right-angled joints between the wall and the floor are difficult to clean.	• Inspection: Are wall and floor connections and corners rounded?	• Nature of wall corners in production	
4.9.3	Floors				
4.9.3.1	Floor covering shall be designed and constructed to meet production requirements and be maintained in a way to prevent contamination and facilitate cleaning and if necessary, disinfection. Surfaces shall be impervious and wear-resistant.		• Inspection: Are floors clean? • How often do you clean which floors?	• Floor cleaning plans • Cleaning evidence	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.9.3.2	The hygienic disposal of water and other liquids shall be ensured. Drainage systems shall be designed, constructed and maintained in a way to minimise product contamination risks (e.g. entry of pests, areas sensitive to transmission of odour or contaminants) and shall be easy to clean.	The bottom has a slight slope to the drains. If this is not the case, stagnant water must be drained immediately.	• How is wastewater disposal ensured? • How do you secure drainage systems against pest? • How often do you inspect the drainage systems? • How often and in what way are the drainage systems/gullies cleaned?	• Cleaning plans and verifications for the drainage systems • Derivation of risks and corresponding measures • Drainage maintenance schedule	
4.9.3.3	In food handling areas, machinery and piping shall be arranged to allow waste water, if possible, to flow directly into a drain. Water and other liquids shall reach drainage using appropriate measures without difficulty. Stagnation of puddles shall be avoided.		• Which machines produce the most wastewater? How does this get into the drainage systems? • Inspection: Sift water or other liquid puddles on the floors of the production areas	• Machinery layout	
4.9.4	Ceilings/Overheads				
4.9.4.1	Ceilings (or, where no ceilings exist, the inside of roofs) and overhead fixtures (including piping, cableway, lamps, etc.) shall be designed, constructed and maintained to minimise the accumulation of dirt and condensation and shall not pose any physical and/or microbiological contamination risks.	Square tubes for fastening technical components are replaced by round tubes to minimize dirt deposits.	• What specifications have you set for the ceilings and the attached components? • How should insulation be sheathed? • How often do you clean which components on the ceiling?	• Cleaning plans • Derivation of risks and corresponding measures • Cleaning evidence for the ceilings	Major: The ceilings are very dirty, and dirt can fall on the products/raw materials.
4.9.4.2	Where false ceilings are used, access to the vacant area shall be provided to facilitate cleaning, maintenance and inspection for pest control.		• Where are false ceilings installed? • Which ones do you need to clean? • How often are they inspected? • What was the result of the last inspection?	• Overview of false ceilings • Inspection evidence	
4.9.5	Windows and other openings				
4.9.5.1	Windows and other openings shall be designed and constructed to avoid the accumulation of dirt and shall be maintained in a way to prevent contamination.		• Can dirt accumulate on windowsills?		

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.9.5.2	Where there are contamination risks, windows and roof glazing shall remain closed and fixed during production.		• What windows can be opened? • Would an open window be noticed?	• Derivation of risks and corresponding measures	Major: Windows without insect screens are open and this leads to pests in the production area, which poses a risk of contamination. Pests are visible.
4.9.5.3	Where windows and roof glazing are designed to be opened for ventilation purposes, they shall be fitted with easy to clean pest screens or other measures to prevent any contamination.		• Are all windows securely sealed with insect screens? • Are the insect screens intact? • How often are the insect screens inspected?	• Monitoring schedule • Pest control schedule	Major: Windows are open and there are no or damaged insect screens. This leads to pests in the production area, which poses a risk of contamination.
4.9.5.4	In areas where unpackaged products are handled, windows shall be protected against breakage.	Windows are secured with an adhesive film. The adhesive film is stable (e.g., UV).	• How often did you record damage to windows glass?	• Proof of the condition of the windows or the break protection	Major: Windows without breakage protection are in production areas where unpackaged products are handled, which poses a risk of contamination.
4.9.6	**Doors and gates**				
4.9.6.1	Doors and gates shall be maintained in a way to prevent contamination and be easy to clean. They shall be designed and constructed of non-absorbent materials to avoid: • splintering parts • flaking paint • corrosion.		• Are doors damaged? • What material are the doors made of? • How are the doors cleaned?	• Door cleaning schedule	Major: Doors are open or damaged, allowing pests to enter production areas, creating a risk of contamination. Pests are visible.

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4.9.6.2	External doors and gates shall be constructed to prevent the access of pests.	Doors are also provided with door seals without gaps. Additionally, door brooms to the outside area may also be used.	• How are the doors designed? • What are the requirements for door seals and brooms? • Which doors are not self-closing? • How did you justify this?	• Specification of doors and door seals	Major: Doors are open or damaged, allowing pests to enter production areas, creating a risk of contamination. Pests are visible.
4.9.6.3	Plastic strip curtains separating areas shall be maintained in a way to prevent contamination and be easy to clean.		• Where are plastic strip curtains used? • How are the plastic strip curtains cleaned?	• Plastic strip curtain cleaning schedule • Declaration of compliance (when in contact with food)	
4.9.7	**Lighting**				
4.9.7.1	All production, storage, receipt and dispatch areas shall have adequate levels of light.	According to relevant technical rules and guidelines for workplaces specific lux levels are required in the food industry. For sophisticated visual controls these are usually higher. The colour of the light is also important to be able to detect out-of-specification products.	• What light intensity have you defined for each area? • How is the light intensity ensured in late or night shifts? • How do you check compliance with the lighting specifications (intensity and colour)? • Are there any less luminated areas? • For which activity have you set the highest lighting requirements?	• If necessary, light cadastre	
4.9.8	**Air conditioning/Ventilation**				
4.9.8.1	Adequate natural and/or artificial ventilation shall be designed, constructed and maintained in all areas.	In production areas, the air should be exchanged frequently. In sensitive hygiene areas, this may up to 20 times or more per hour.	• How did you set minimum air exchange rates for the production and social areas? • Have you checked this as well?		
4.9.8.2	If ventilation equipment is installed, filters and other components shall be easily accessible and monitored, cleaned or replaced as necessary.	Industry guidelines describe hygiene requirements for the maintenance and inspection of ventilation systems. Usually, a hygiene inspection includes a visual inspection of the system for hygienic weak points and problem areas. It must be checked whether there is any contamination, limescale deposits, damage to the components or fibre discharges.	• How are air filters maintained and cleaned? • What criteria are used to check the ventilation systems?	• Maintenance schedule • Maintenance documentation • Cleaning protocols • Proof of maintenance and cleaning	Major: Filters that are not cleaned as planned pose a product contamination risk.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.9.8.2		Furthermore, microbiological samples may be taken from surfaces as part of the inspection. If the system has a humidifier with circulating water, the humidifier water may also be checked.			
4.9.8.3	Air conditioning equipment and artificially generated airflow shall not compromise product safety and quality.	The classification of EPA and HEPA air filters is specified in EN 1822:2009 F7 is common in storage areas and F9 in usual production areas. In sensitive production areas, filter classes from E10 to H14 are used.	• Is the use of air during production based on a risk assessment? • Which filter classes for the air are defined for each area? • Why were these filter classes used? • Are there production areas with under or over pressure?		Major: The air supply causes contamination, which poses a food safety risk.
4.9.8.4	Dust extraction equipment shall be designed, constructed and maintained in areas where considerable amounts of dust are generated.		• Are there areas where a lot of dust forms? • What measures are being taken against dust? • Are dust extractors available in these areas? • Where is the extracted dust discarded?		
4.9.9	**Water**				
4.9.9.1*	Water which is used for hand washing, cleaning and disinfection, or as an ingredient in the production process shall be of potable quality at the point of use and supplied in sufficient quantities.	Depending on your location, annual drinking water analyses may be mandatory. In addition to the drinking water analysis for Legionella, the examination of the water sample for various other microbiological parameters that often occur in drinking water, such as pseudomonads, coliform germs, or enterococci, but also chemical parameters such as lead, copper, nickel, and others may be necessary.	• Where does the water supply come from? (Public, well, tankers) • Which local legal requirements apply? • How is ensured that the water demands are always met (also in times of drought)? • Is the water quality improved by filters, UV light or chlorine dioxide? • Is the water treated on site? (Hardness, chlorination, disinfection, filtration) • What is water used for in the company? (Staff facilities, cleaning, product ingredient, washing)	• Results of drinking water analyses	Major: There is evidence that water does not meet microbiological or chemical legal standards and is used to clean surfaces in direct contact with food or as an ingredient. Due to the poor condition of the pipes or unsuitable pipe material, water contaminates the products.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.9.9.2	The quality of water (including recycled water), steam or ice shall be monitored following a risk-based sampling plan.	The water is analysed in accordance with legal requirements (own water supply, external supply).	• Do the results meet the standards? • How did you identify the risks? • What data are the risks based on?	• Derivation of risks • Justification that no inadmissible risk exists • Results of drinking water analyses	Major: Water analyses are overdue. The company does not have a water analysis plan, although it is mandatory, and water is used for in direct food contact or as an ingredient. Thus food safety is not ensured.
4.9.9.3	Recycled water, which is used in the process, shall not pose contamination risks.		• Is water, steam or ice used – how are these processes monitored? • Which piping systems are available? (ring pipes, water tanks)? • What materials are pipes for water made of? • Is there an analysis and sampling plan based on a risk assessment?	• Sampling design • Derivation of risks and corresponding measures	Major: There are indications that water does not meet microbiological or chemical legal standards and is used to clean surfaces in direct contact with food or as an ingredient, or the company cannot prove that water meets the required standards.
4.9.9.4	Non-potable water shall be transported in separate, properly marked piping. Such piping shall neither be connected to the potable water system nor allow the possibility of reflux, to prevent contamination of potable water sources or factory environment.		• Is the potable water system completely separated from the non-potable water pipe? • What other systems are there (e.g., service water, cooling water, extinguishing water)? • Are water systems clearly labelled and where are they located? • Are backflow prevention devices installed where necessary?		Major: Existing water systems are interconnected. There is no backflow avoidance, which means that there is a risk of contamination.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.9.10	**Compressed air and gases**				
4.9.10.1*	The quality of compressed air that comes in direct contact with food or food contact materials shall be monitored based on risks. Compressed air shall not pose contamination risks.	A specification of compressed air (filter class, tolerable particles, sterile, non-sterile, dry or wet products, residual oil content, catalysis or adsorption process). ISO 8573-1:2010-04 lists cleanliness classes. For sensitive applications in the food industry, it is recommended to treat compressed air using catalysis technology. In the beverage sector, it is good practice to examine the compressed air for at least six months.	• What oil is used in the compressor? • What type of filter is used? • How often are filters changed? • Are microbiological tests carried out? • Are chemical tests performed? • Do you test the compressed air for mineral oils?	• Derivation of risks and corresponding measures • Justification that no inadmissible risk exists • Maintenance certificates • Laboratory results • Information on oils and filters • Hydraulic system layout	Major: A lubricant that is not suitable for food is used in the compressor. There is no suitable filter system, and no laboratory results available.
4.9.10.2	Gases that come in direct contact with food or food contact materials, shall demonstrate safety and quality for the intended use.	A validation should be carried out for every gas that comes into direct food contact. Country specific industry guidelines define good practices.	• How are gases treated? • How can you prove that the used gases are suitable? • Where could the gases pose the highest risk of contamination? • How do you ensure that the use of gas does not contaminate the products with oil or germs?	• Evidence/validation • Analysis • Specifications • Delivery notes	
4.10	**Cleaning and disinfection**				
4.10.1*	Risk-based cleaning and disinfection schedules shall be validated, documented and implemented. These shall specify: • objectives • responsibilities • the products used and their instructions for use • dosage of cleaning and disinfection chemicals • the areas and timeslots for cleaning and disinfection activities • cleaning and disinfection frequency • cleaning In Place (CIP) criteria, if applicable • documentation requirements • hazard symbols (if necessary).	Country specific guidelines and norms describe approaches for setting up cleaning and disinfection plans. Furthermore, the of disinfectant use is well described. Country specific guidelines and norms for multi-use packaging materials. Attention should be paid to cleaning schedules for borrowed equipment. The suitability of the cleaning chemicals to the materials of the equipment must be checked (e.g., an alkaline cleaner is not suitable for aluminium).	• Which cleaning or disinfection has the highest risk? • How did you check the suitability of the chemicals for contact materials (e.g., plastics)? • Who is responsible for cleaning and disinfection? • What kind of detergents and disinfectants are used? • What should be considered when using the various detergents and disinfectants? • Which areas are cleaned and disinfected? • How often are the areas cleaned and disinfected? • Where are the cleaning and disinfection procedures documented? • Are there any hazard symbols? • Is there a contract with external service providers?	• Cleaning and disinfection plans • Derivation of risks • Justification that no inadmissible risk exists • Validation results • Operating instructions • Safety data sheets • Chemical lists • Cleaning evidence • Cleaning and disinfectant list • Product instructions • External service contract	Major: Food or equipment is contaminated due to incorrect use of chemicals or inefficient cleaning procedures, with an impact on food safety. The cleaning of tools results in a product contamination.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.10.2	Cleaning and disinfection activities shall be implemented and shall result in effectively cleaned premises, facilities and equipment.	Country specific guidelines and norms describe approaches for setting up cleaning and disinfection for effectively cleaned premises, facilities and equipment.	• What are your requirements for cleaning and disinfection? • At what point would cleaning or disinfection not be effective? • What do you consider ineffective cleaning or disinfection?	• Proof of cleaning and disinfection	There are many clearly contaminated areas in production, which can pose a risk to food safety.
4.10.3	Cleaning and disinfection activities shall be documented and such records shall be verified by a responsible designated person in the company.		• How did you qualify and appoint the persons responsible for reviewing the records? • When will the records be reviewed? • Who is responsible for verifying the records?	• Monitoring records • Proof of cleaning and disinfection	
4.10.4*	Only competent personnel shall perform cleaning and disinfection activities. The personnel shall be trained and retrained to carry out the cleaning and disinfection schedules.	Online training without sound and without good visual explanations is hardly adequate training for cleaning and disinfection personnel.	• What are the minimum requirements for cleaning and disinfecting staff? (Experience, training, language) • How do you train staff before starting work? • How do you qualify the cleaning and disinfection staff? • How often do you retrain the cleaning staff? • What languages do you train in?	• Evidence of training • Training schedule • Training material	Major: Products or equipment are contaminated due to insufficiently trained personnel. Due to a lack of expertise, the wrong chemicals or chemicals are used in incorrect dosage and application, which endangers the safety of the products.
4.10.5*	The intended use of cleaning and disinfection equipment shall be clearly specified. It shall be used and stored in a way to avoid contamination.	Often, the cleaning and disinfection plans are drawn up by service providers. However, the responsibility remains with the company, which must also approve the cleaning and disinfection plans. Chemicals should be stored on drip trays. A drip tray must be able to hold the contents of the largest container or at least 10% of the stored quantity.	• Who draws up the cleaning and disinfection plans? • Who approves the cleaning and disinfection plans? • How are important changes indicated? • Do you also use work instructions for describing details? • Where are cleaning utensils and chemicals stored? • Do you know the maximum quantity of chemicals you are allowed to store? • Are you familiar with the specifications for the combined storage of chemicals?	• Cleaning and disinfection plans • Work instructions • Training documents if necessary	Major: The specifications for the use and storage of the chemicals are non-existent, incorrect, or incomplete and therefore incorrect use or storage takes place. When cleaning utensils can be mixed up with other utensils and food contamination ensues. When improper storage can lead to contamination of food and other utensils.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.10.6	Safety Data Sheets and instructions for use shall be available on-site for cleaning and disinfection chemicals. Personnel responsible for cleaning and disinfection activities shall be able to demonstrate their knowledge of such instructions.		• Are safety data sheets available for all cleaning chemicals? • How old are the safety data sheets and instructions? • Are the instructions for cleaning chemicals up to date? • How are the instructions passed on to the personnel in charge of cleaning? • Where and when can the instructions be viewed? • How can cleaning utensils and chemicals be recognized?	• Safety data sheets • Operating instructions • Storage specifications for the chemicals	Major: The cleaning staff does not understand or know the instructions and safety data sheets, and this could endanger product safety.
4.10.7	The effectiveness of the cleaning and disinfection measures shall be verified. The verification shall rely on a risk-based sampling schedule and shall consider, one or several actions, for example: • visual Inspection • rapid Testing • analytical testing methods. Resultant actions shall be documented.		• How did you plan the verifications? • What criteria have you planned to verify the cleaning and disinfection measures? • When do you consider the cleaning and disinfection measures to be effective? • How did you define risk-based sampling? • In which cases is the sample size increased or decreased? • How are the cleaning and disinfection checks carried out? • What methods do you use? • Who carries out these checks? • Where are the cleaning and disinfection checks documented? • When will corrective action be taken? • Who is carrying out the control measures? • Who verifies the effectiveness of the corrective actions?	• Derivation of risks • Justification that no inadmissible risk exists • Cleaning checks • Verification results • Corrective measures in case of deviations, if applicable	Major: The cleaning is not effective, identified deficiencies will not be remedied within a reasonable period.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.10.8	Cleaning and disinfection schedules shall be reviewed and modified in the event that changes occur to products, processes or cleaning and disinfection equipment, if necessary.		• When are the cleaning and disinfection procedures evaluated? • What were the results of the evaluation? • Who adapts the cleaning and disinfection procedures? • How often are the cleaning and disinfection plans changed?		Major: There has been no adjustment in cleaning and disinfection procedures after changes and there is a risk of contamination.
4.10.9	Where a company hires a third-party service provider for cleaning and disinfection activities in production areas, all above-mentioned requirements shall be documented in the service contract.		• Which areas are cleaned and disinfected by a third-party service provider? • What requirements do you have for the service provider? • Who released the contract? • Who knows the contents of the contract? • When was the last time that contract was updated and the implementation was checked?		
4.11	**Waste management**				
4.11.1*	A waste management procedure shall be documented, implemented and maintained to prevent cross contamination.		• What possible cross-contaminations have you identified? • How do you keep the process up-to-date and effective?	• Waste management procedures	
4.11.2	All local legal requirements for waste disposal shall be met.		• How will you monitor compliance with the applicable legal regulations on waste disposal? • What categories of waste do you dispose? • How is waste disposed?	• Proof of disposal	Major: The legal regulations on waste disposal are not complied with.
4.11.3	Food waste and other waste shall be removed as quickly as possible from areas where food is handled. The accumulation of waste shall be avoided.		• How often is food waste and other waste removed from food handling areas? • How do you prevent cross-contamination when disposing waste? • What are your requirements for cleaning the waste containers? • In which work clothes is the waste disposed? • Is it allowed to re-enter production with this clothing? • Who is responsible for waste disposal?		Major: Waste accumulates in areas where food is handled and there is a risk of contamination of the food.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.11.4	Waste collection containers shall be clearly marked, suitably designed and maintained, easy to clean, and where necessary, disinfected.		• What types of waste are disposed? • What waste is collected in separate containers? • When do you need to disinfect your waste containers? • How durable are the labels? • How do you maintain waste bins? • How are the waste bins marked? • How often are the waste bins cleaned and disinfected?	• Cleaning and/or disinfection protocols	Major: Waste bins are mixed with food containers and there is a risk of food contamination.
4.11.5	If a company decides to separate food waste and to reintroduce it into the feed supply chain, measures or procedures shall be implemented to prevent contamination or deterioration of this material.		• What are the requirements of feed customers? • How do you separate or separate waste that is used as animal feed? • What dangers have you identified in this regard? • What measures have you taken to protect the feed from contamination? • How are the waste collection rooms kept clean? • How are the waste collection rooms protected from pests?	• Site streams: feed specifications and storage • Integrated pest control	
4.11.6	Waste shall be collected in separate containers in accordance with the intended means of disposal. Such waste shall be disposed of by authorised third-parties only. Records of waste disposal shall be kept by the company.		• What are the types of disposal routes? • Which service providers dispose your waste? • What evidence do you provide for waste disposal? • Who is responsible for waste disposal?	• Records of waste disposal • Waste disposal register • Waste disposal approval • Contracts	Major: Waste is disposed by unauthorized third-parties which results in a cross-contamination.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.12	Foreign material and chemical risk mitigation				
KO N°6 4.12.1*	Based on risks, procedures shall be documented, implemented and maintained to prevent contamination with foreign materials. Contaminated products shall be treated as non-conforming products.	More information may be found in the IFS Guideline for an Effective Foreign Body Management. For good practice of lubricants and approved NSF lubricants see the NSF white book.	• Which foreign bodies are of the highest risk? • What procedures have you put in place to protect the products from foreign bodies? • How do you ensure that this procedure is implemented and up to date? • Which group of people is trained in these procedures? • How many regulations have you created to protect against foreign bodies? • What risks have you identified in terms of technology? (clothing, workshop, repairs) • Which areas are more prone for foreign bodies (drilling, deburring)? • What types of foreign objects can be found? • How did you identify and evaluate potential foreign bodies? • What data underlies the risk assessment? • Did you take technical failures into account when assessing the risks? • Are staples used? • How are contaminated products handled? • What measures are taken in the event of glass breakage? • What should be considered when glass fixtures are replaced?	• Derivation of risks • Justification that no inadmissible risk exists • Procedures for handling foreign bodies • Glass handling procedures • Segregation records • Glass breakage prevention	KO: Foreign body contamination occurs due to a lack of risk assessment or foreign body sources are insufficiently considered.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.12.2	The products being processed shall be protected against physical contamination, which includes but is not limited to: • environmental contaminants • oils or dripping liquids from machinery • dust spills. Special consideration shall also be given to product contamination risks caused by: • equipment and utensils • pipes • walkways • platforms • ladders. If, for technological characteristics and/or needs, it is not possible to protect the products, appropriate control measures shall be implemented.		• How do you protect the products against physical hazards? • What foreign body hazards have you identified? • How did you classify the risks for different foreign bodies? • Have you evaluated the effectiveness of control measures? • What additional control measures have you taken because of the risk assessment?	• List of potential environmental contaminants • Derivation of risks and corresponding measures • Walkway layout	
4.12.3	All chemicals within the site shall be fit for purpose, labelled, stored and handled in a way not to pose contamination risks.		• What requirements have you defined and taken to protect products from chemicals? • How did you assess the contamination risks associated with the chemicals?	• Safety Data Sheets • Derivation of risks and corresponding measures	
4.12.4	Where metal and/or other foreign material detectors are required, they shall be installed to ensure maximum efficiency of detection to prevent subsequent contamination. Detectors shall be subjected to maintenance to avoid malfunction at least once within a 12-month period, or whenever significant changes occur.	When validating detectors, the edge areas of X-ray machines should be checked. Define clear instructions and the limits of detection for each product group checked.	• What metal and foreign object detectors have you installed? • How did you determine the maximum effectiveness? • What requirements (specifications) did you have for these detectors? • At what size or density are foreign bodies rejected by the detectors? • What foreign bodies and sizes did you use in the validation? • How often do you test the detectors?	• Validation results • Manufacturer's documentation • Test results • Equipment layout	Major: Metal detectors are installed in a way that there is a risk of foreign objects later in the process, which has not been considered.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.12.5	The accuracy of all equipment and methods designed to detect and/or eliminate foreign materials shall be specified. Functionality tests of such equipment and methods shall be carried out on a risk-based frequency. In case of malfunction or failure, the impact on products and processes shall be assessed.		• How often is the accuracy of the devices checked? • What criteria have you set in terms of accuracy? • How did you determine the frequency based on risk? • Who checks the accuracy of the devices? • What measures are in place if a device is defective? • How do you assess the impact of malfunctions or malfunctions on the processes? • Are the measures taken in the event of defects checked? • How are operational errors recorded?	• Accuracy requirements • Derivation of risks • Justification that no inadmissible risk exists • Defect/failure logs • Metal detector checklist	Major: The proper operation or accuracy of the measurements has not been verified and there is a risk of foreign bodies in the product.
4.12.6	Potentially contaminated products shall be isolated. Access and actions for the further handling or testing of these isolated products shall only be carried out by authorised personnel.		• How are discarded products isolated? • What happens to the discarded products? • How do you prevent unauthorized persons from accessing discarded products? • How are these products labelled? • How do you record discarded products? • How do you carry out a follow-up check?	• Overview of approved persons • Data on discarded products • Isolation protocol	Major: The isolation of product does not work and a food safety risk cannot be excluded. Isolated products are returned to the production line without prior inspection a food safety risk is apparent.
4.12.7	In areas where raw materials, semi-finished and finished products are handled, the use of glass and/or brittle materials shall be excluded; however, where the presence of glass and/or brittle materials cannot be avoided, the risks shall be controlled and the glass and/or brittle materials shall be clean and pose no risks to product safety.		• What brittle materials and glasses are used in areas with raw materials and products? • How did you assess the risks? • Where is glass/brittle material used in the plant? • How is glass/brittle material protected from breakage?	• Derivation of risks and corresponding measures • Register of glasses and fragile materials in raw materials and product areas	Major: There was no risk assessment conducted and a risk of contamination due to the use of glass/brittle materials exists. Glass/brittle materials is unprotected and there is a risk of contamination.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.12.8	Risk-based measures shall be implemented and maintained for the handling of glass packaging, glass containers or other kinds of containers in the production process (turn over, blow, rinse, etc.). After this process step, there shall be no further contamination risks.		• What measures are taken to protect containers from contamination and remove existing foreign objects? • How effective are these measures? • Are these control measures defined? • Have you validated these measures? • How do you ensure that no more contamination can occur afterwards?	• Derivation of risks and corresponding measures • Justification that no inadmissible risk exists • Procedure to prevent glass breakage • Documentation on glass breakage	Major: After a glass breakage with risk of contamination, affected products were not isolated and controlled.
4.12.9	Procedure(s) shall be documented, implemented and maintained describing the measures to be taken in case of glass breakage and/or brittle materials. Such measures shall include identifying the scope of goods to be isolated, specifying authorised personnel, cleaning and if necessary, disinfection of the production environment and releasing the production line for continued production.	In the event of breakage of glass or brittle materials, special cleaning equipment is available. These have a special colour to prevent misuse.	• What measures does the procedure include in the event of glass breakage? • Which group of people must know and execute this procedure? • Does the pest controller know this procedure? (Defect traps) • How do you isolate the product concerned in the event of contamination? • Who is allowed to release the line in the event of glass or brittle material breakage? • Are exemptions based on a risk assessment? • Are there special cleaning and disinfection plans in case of glass or brittle material breakage?	• Work instructions • Release protocols • Proof of training	Major: The procedures are not implemented and therefore the risk of contamination is high.
4.12.10	Breakages of glass and brittle materials shall be recorded. Exceptions shall be justified and documented.		• What breakage of glass and fragile materials was recorded? • What conclusions did these results lead to? • Did you adjust risks or measures due to the breakage? • Did a breakage of glass or fragile materials put the products at risk? • Do you consider switches and equipment?	• Records of breakage • Justification that no inadmissible risk exists	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.12.11	Where visual inspection is used to detect foreign materials, the employees shall be trained and operative changes shall be performed at an appropriate frequency to maximise the effectiveness of the process.		• For which foreign bodies do you use visual detection? • How effective are the visual inspections for detection? • What is the maximum effectiveness of the visual inspections? • Are there differences between employees in terms of the effectiveness of their visual inspections? • How do you train/qualify staff for visual inspections? • How often is the staff changed for the visual inspection?		
4.12.12	In areas where raw materials, semi-finished and finished products are handled, the use of wood shall be excluded; however, where the presence of wood cannot be avoided, the risks shall be controlled and the wood shall be clean and pose no risks to product safety.		• In which areas is wood allowed? • How did you assess the risk about contamination by wood? • What requirements do you place on the wood? • What measures do you take to manage the risks?	• Derivation of risks and corresponding measures • Justification that no inadmissible risk exists	Major: There is a risk of contamination from the use of wood. When wood products/ materials are used in areas described in the requirement, but no risk assessment has been conducted and foreign material contamination of the above cannot be excluded.
4.13	**Pest monitoring and control**				
4.13.1	Site premises and equipment shall be designed, built and maintained to prevent pest infestation.	Numerous local guidelines for design to prevent pest infestation exist.	• What precautions do you have in place against pest infestation? • How do you maintain the building against pests?	• Site inspection plan	Major: When pests can easily enter the facility (uncovered wall openings). Open windows without gauze and heavy infestation in the facility.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.13.2*	Risk-based pest control measures shall be documented, implemented and maintained. They shall comply with local legal requirements and shall take into account, at a minimum: • factory environment (potential and targeted pests) • type of raw material/finished products • site plan with area for application (bait map) • constructional designs susceptible for pest activity, for example ceilings, cellars, pipes, corners • identification of the baits on site • responsibilities, in-house/external • agents used and their instructions for use and safety • frequency of inspections • rented storage if applicable.	Pests that are not controlled by the external pest management must also be considered in the analysis (e.g., spiders, bedbugs, ants). More information may be found in the IFS Pest Control Guideline Consider local animal welfare acts.	• How is pest control organised? • Which potential and target pests have you identified? • What pests does the pest controller control? • Which pests are controlled in-house (e.g. silverfish or ants)? • What structures have you identified that are susceptible to pest infestation? • Which facilities have the highest risk? • What health hazards have you identified in the pests (e.g. parasites in rats)? • What thresholds have you set for the pests for the different hygiene zones? • Have you assessed the risk with or without pest control? • What types of baits/agents are used? • Where do you use toxic baits? • To what extent is the contamination of products prevented using baits/agents? • Do you increase the inspection intervals in case of infestation? • If pest infestation is detected, what measures have been taken?	• Derivation of risks • Justification that no inadmissible risk exits • Pest control procedures • List of pest control chemicals • Bait map	Major: No pest control is carried out and pest or droppings are visible and/or product is infested. Product contamination occurs due to unapproved baits. A product safety risk exists due to incorrect use of pest control chemicals or incorrectly designed baits/agents.
4.13.3	Where a company hires a third-party service provider for pest control, all above-mentioned requirements shall be documented in the service contract. A competent person at the company shall be appointed to monitor the pest control activities. Even if the pest control service is outsourced, responsibilities for the necessary actions (including ongoing supervision of pest control activities) shall remain within the company.	Monitoring also includes pest control tasks that are not carried out by the pest controller. When training the person(s) for surveillance, the focus shall be on the monitoring tasks and not on pest control training. Training by the appointed pest controller on pest control is not objective and misses the point of monitoring tasks.	• Who is responsible for pest control internally? • What training does the responsible person have internally? • Has the person been trained in pest activity monitoring? • Is pest control carried out by an external service provider? • Is there a written contract between the service provider and the company? • What is the content of the contract? • What training does the external service provider have?	• Contract with the pest controller • Training to monitor pest control activities • Certificate of competence from the pest controller	Major: Pest control measures (internal and external) are not monitored and there is a high risk of pest infestation.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.13.4	Pest control inspections and resulting actions shall be documented. Implementation of actions shall be monitored and recorded. Any infestation shall be documented and control measures taken.		• Where are the inspections and the resulting corrective actions documented? • Are the documents signed and dated by both parties? • At what point do you have an infestation? • How do you detect infestation? • What corrective actions have been taken recently? • Was an infestation discovered by your own employees?	• Inspection results	Major: Inspections and resulting actions are systematically not documented. Records of previous infestations are missing and no control measures are determined for pest control.
4.13.5	Baits, traps and insect exterminators shall be fully functioning, sufficient in number, designed for purpose, placed in appropriate positions and used in a way to avoid contamination.		• How are baits and traps deployed? • How do you monitor different pests? • Are electric fly killers installed in all critical areas? • Are all fly killers active and are they working properly? • Were there any failures or defects?	• Map of baits, traps and insect killers	Major: Fly killers are placed in such a way that dead flies can fall directly on food.
4.13.6	Incoming deliveries shall be inspected on arrival for the presence of pests. Any findings shall be recorded.		• How are incoming goods checked for pest infestation? • How did you raise awareness and qualify staff? • Where is this documented? • Is the presence of pests documented? • Which pests have been identified in incoming goods? • What control measures are taken if pests are found? • Where are these control measures documented? • How do you record a finding? – Is this also included in the supplier evaluation of the respective supplier?	• Goods receipt protocols • Delivery notes • Work instructions	Major: Incoming goods are not inspected for the presence of pests. There is an uncontrolled infestation.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.13.7	The effectiveness of the pest control measures shall be monitored, including trend analysis, to allow timely appropriate actions. Records of this monitoring shall be available.	The trend analysis should be carried out per pest species and area or trap. A table or bar chart is unsuitable as a "trend analysis". A good trend analysis goes over a year and compares the traps with a trend line. In addition to the presentation of a trend, a short analysis is also part of it (e.g. values are stable and below the red thresholds) Sensitive areas (open products) should have lower thresholds than areas with packaged products.	• Over what period do you show a trend? • How do you calculate the trend? • What did you conclude from the trend? • At what thresholds are you acting?	• Trend analysis	Major: No evaluation of the trend analysis has been made and there is a permanent infestation or the situation on-site has deteriorated significantly.
4.14	Receipt and storage of goods				
4.14.1*	All incoming goods, including packaging materials and labels, shall be checked for compliance with specifications and a determined risk-based monitoring plan. The monitoring plan shall be justified by risk assessment. Records of those inspections shall be available.		• Which goods are inspected upon receipt? • What risks have you assessed? • What is checked when goods are received? • Do you increase the risk and the random sample in the event of anomalies at goods receipt? • How is the receipt of goods documented? • How did you train/qualify the people for monitoring?	• Receipt checks • Monitoring plan with corresponding risk assessment	Major: No receipt checks are carried out. The checks do not meet legal requirements. The specification requirements are not considered during the incoming goods inspections. Products do not fulfil the specifications, thus resulting in a food safety risk.
4.14.2*	A system shall be implemented and maintained to ensure storage conditions of raw materials, semi-finished, finished products and packaging materials, correspond to product specifications, and do not have any negative impact on other products.		• What storage conditions have you defined? • Where are raw materials, intermediate and end products and packaging material stored? • How do you prevent cross contamination? • Which products cannot combined in storage (e.g., chemicals with food)? • Which potential negative effects have you identified that you need to avoid?	• Product flow plan • Storage plan and specifications	Major: Raw materials and products are stored improperly and there is a risk of contamination.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.14.3	Raw materials, packaging materials, semi-finished and finished products shall be stored to minimise contamination risks or any other negative impact.	Pallets should not be stored close to walls, but maintain a distance for example for pest control.	• Where and how are packaging materials and equipment stored? • How do you deal with damage during storage? • How is cross-contamination by packaging material avoided? • How is the return of packaging material regulated? • What are the storage regulations? • Are pests considered during storage? • Are baits laid out in the storage rooms?	• Derivation of risks and corresponding measures • Pest control schedule • Plant inspection protocol • Materials flow diagram	Major: There is a risk of product contamination due to the storage of packaging material and equipment (e.g. unprotected outdoor storage of packaging material). Storage facilities are not inspected by pest control and a food safety risk exists.
4.14.4	Adequate storage facilities shall be available for the management and storage of working materials, process aids and additives. The personnel responsible for the management of storage facilities shall be trained.		• How and where are the working materials, process aids and additives stored? • Are there any special requirements for the handling of working materials, process aids and additives? • Who will carry out the inspection of the storage facilities? • Is this person sufficiently qualified?	• Responsibility list • Training documentation	Major: There is contamination of food or utensils due to inappropriate storage conditions. Food or utensils becomes contaminated due to insufficient knowledge of personnel managing the storage facilities.
4.14.5*	All products shall be identified. Use of products shall be undertaken in accordance with the principles of First In/First Out and/or First Expired/ First Out.		• What storage principle do you use? • How is „FIFO“ or „FEFO“ ensured? • What do you do in the event of a loss of a label?	• Storage system principles	Major: Goods are taken out of the warehouse in an uncontrolled manner and there is a product safety risk.
4.14.6	Where a company hires a third-party storage service provider, the service provider shall be certified to IFS Logistics or any other GFSI recognised certification standard covering the respective scope of activity. If not, all relevant requirements equivalent to the company's own storage practices shall be fulfilled and this shall be defined in the respective contract.		• Is the storage operated by a storage service provider? • What is this service provider certified for? • Is there a contract? • Are the contents of the contract known to the relevant employees? • Who signed this contract? • Does the warehouse service provider have IFS Logistics or corresponding GFSI recognised certification?	• Service provider contract • Certificate of the service provider	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.15	Transport				
4.15.1*	The conditions inside the vehicles related to the absence of, for example: • strange smells • high dust load • adverse humidity • Pests • Mould shall be checked before loading and documented to ensure compliance with the defined conditions.		• What is checked before transport? • What criteria and samples are defined for this? • Where is the control documented? • How do you proceed in the event of deviations?	• Monitoring plan (specifications for vehicles) • Inspection protocols	
4.15.2	Where goods are transported at certain temperatures, the temperature inside the vehicles shall be checked and documented before loading.		• Are products that require a certain temperature transported? • What are the temperature requirements of your products? • How accurate are the measuring instruments used? • Is the vehicle temperature checked and documented before loading? • How and where do you measure temperature? • What is the procedure if the vehicle temperature does not meet the specifications? • How does the company ensure compliance with temperatures during transport?	• Outgoing goods inspection documents • Temperature displays in the vehicle, if applicable	Major: Temperature specifications for outgoing products are not checked before loading and this results in a potential health problem for the consumer.
4.15.3	Procedures to prevent contamination during transport, including loading and unloading, shall be documented, implemented and maintained. Different categories of goods (food/ non-food) shall be taken into consideration, if applicable.	Local traffic code may oblige vehicle owners and the company that provides the loading personnel to ensure the training of the driver and personnel and have the responsibility to provide the appropriate means for load security to ensure road safety.	• Can food products be transported alongside non-food products? • Has the shipper been trained in correct loading? • Are responsibility defined? • How is cross-contamination prevented? • Which goods may not be transported together with food? • How often are these procedures reviewed?	• Procedures to avoid cross contamination	Major: The procedures are not available, thus contamination occurs during transportation.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.15.4	Where goods are transported at certain temperatures, maintaining the appropriate range of temperatures during transport shall be ensured and documented.		• Are the vehicles equipped with thermostats and record devices? • How is it ensured that the products reach their destination in good condition? • If coolers are used for transport, how is compliance monitored during transport? (data loggers)	• Temperature records • Record devices	Major: The temperature specifications for the products are not respected during transport and this can lead to a health problem for the consumer.
4.15.5	Risk-based hygiene requirements for all transport vehicles and equipment used for loading/unloading (e.g. hoses of silo installations) shall be implemented. Measures taken shall be recorded.		• What hygiene requirements are specified? • When and how to clean the transport vehicles and equipment? • How are the cleaning procedures documented? • How is compliance with the hygiene requirements checked? • How do you proceed in when deviations occur? • What deviations have been detected in recent time?	• Derivation risks • Justification that no inadmissible risk exists • Hygiene requirements • Cleaning plans • Certificates	Major: The risk-based hygiene requirements are not implemented and product contamination can occur. No measures have been recorded.
4.15.6	The loading/unloading areas shall be appropriate for their intended use. They shall be constructed in a way that: • the risks of pest intake are mitigated • products are protected from adverse weather conditions • accumulation of waste is avoided • condensation and growth of mould are prevented • cleaning and if necessary, disinfection can be easily undertaken.	Consideration should be given to external influences such as pollen, climate, etc.	• What requirements do you have for the loading area? • How often is the loading area inspected? • When and how is the loading area cleaned? • Has the infrastructure been evaluated?	• Derivation of risks and corresponding measures	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.15.7	Where a company hires a third-party transport service provider, the service provider shall be certified for IFS Logistics or any other GFSI recognised certification standard covering the respective scope of activity. If not, all relevant requirements equivalent to the company's own transport practices shall be fulfilled and this shall be defined in the respective contract.	If the company decides that its products can be sent via parcel service, it shall ensure that the integrity and safety of the product is not compromised during the whole distance and that general terms and conditions are respected. The company shall con- duct a risk assessment and controls based on the worst-case scenario.	• Are transport service providers commissioned? • Are there any internal or external transport regulations? • Does the warehouse service provider have IFS Logistics or GFSI certification? • Is there a contract with a transport service provider? • What points are agreed in the contract? • What points from the contract are monitored?	• Service provider contract • Certificate of the service provider	
4.16	Maintenance and repair				
4.16.1*	A maintenance plan shall be documented, implemented and maintained, that covers all critical equipment (including transport and storage premises) to ensure food safety, product quality and legality. This applies both to internal maintenance activities and service providers. The plan shall include responsibilities, priorities and due dates.	Maintenance is not an inspection. During maintenance, the target state is protected from wear and tear or fault function. The focus is on the maintenance of equipment, the function and integrity of which are critical to product requirements. Typical maintenance: replacement of wear parts (e.g. filters), lubrication and cleaning.	• Which maintenance has the highest priority? • How do you monitor due dates for high-priority maintenance? • What maintenance is carried out for food safety? • What maintenance is carried out for food legality? • What maintenance is carried out for product quality? • What maintenance does the production department carry out in-house? • How is maintenance organized? • Where are the maintenance procedures documented? • Which devices are serviced externally?	• Maintenance schedules • Manufacturer's specifications	Major: The maintenance plan does not cover all critical equipment, thus food safety is not ensured.
4.16.2	Food safety, product quality, legality and authenticity shall be ensured during and after maintenance and repair work. Records of maintenance and repair work shall be kept.		• How is it ensured that maintenance and repair work does not compromise food safety, product quality, legality and authenticity? • For which maintenance or repair work must a permit be obtained in advance? • How are the lighting fixtures repaired? • How is the repair work documented? • Are corrective actions required after repair work?	• Examples for maintenance work • Maintenance records	Major: Due to maintenance or repair work, food safety, product quality, legality and authenticity are not guaranteed.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.16.2			• What are the rules for restarting equipment after maintenance is completed? • Who takes care of maintenance or repairs? • Are there people trained to supervise the maintenance or repairs?		
4.16.3	All materials used for maintenance and repair shall be fit for the intended use and shall not pose contamination risks.	It is useful to have a table in which the materials, the intended use and the requirements are listed. Not all elastomers or plastics are suitable for all temperature ranges, chemicals, or product properties (acidic or greasy).	• Which materials are used where? • Are you aware of the limitations of the materials used? • Do you use stainless steels with higher demands? (e.g., CrNiMo steels 1.4401, 1.4571 and 1.4404) • Where do you use H1 and 3H lubricants? • How is it ensured that the materials used in maintenance or repair work are suitable for their intended use?	• Derivation of risks and corresponding measures • Supplier certificates • Declarations of conformity	Major: Maintenance or repair work involves the use of materials that are not suitable and approved for the intended use: this poses a safety risk to the consumer.
4.16.4	Failures and malfunctions of premises and equipment (including transport) that are essential for food safety and product quality shall be identified, documented and reviewed to enable prompt actions and to improve the maintenance plan.	Fault codes for malfunctions are available.	• Which failures and malfunctions are essential for food safety and product quality? • How do you document these failures and malfunctions? • Who checked and analysed these failures and malfunctions? • What measures have been taken based on the analysis or failures and malfunctions? • What maintenance activities have been improved recently based on the failures and malfunctions?	• Overview of failures and malfunctions, adapted maintenance	
4.16.5	Temporary repairs shall be carried out to avoid compromising food safety and product quality. Such work shall be documented and a short-term deadline set for eliminating the issue.	The requirements for permissible materials and procedures also apply to the implementation of temporary repairs that have an impact on food safety and product quality. Temporary repairs with no impact on food safety and product quality do not need to be recorded.	• What kinds of temporary repair work are allowed? • Where are temporary repair work allowed to ensure food safety and product quality? • Where are these documented? • How quickly do temporary repairs need to be followed up? • Who monitors the deadlines? • How does technical staff know which temporary repair work is permitted?	• Records temporary repair • Repair receipts for the professional repair of temporary repairs	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.16.6	Where a company hires a third-party maintenance and repair service provider, all the company requirements regarding material, equipment and operational rules shall be defined, documented and maintained in the service contract, to prevent any product contamination.		• Which external service providers for maintenance and repair work have not signed a contract? • What materials or devices are prohibited? • What materials or equipment are allowed? • How did you communicate the bans to the external service provider for maintenance and repair? • Are these requirements also contractually agreed? • What materials are allowed? • Are the contents of the service contract known to the persons (internal and external)? • Is the content of the service contract monitored? • What are your requirements for tool bags?	• Contract with external service providers for maintenance and repair work • Instruction of external maintenance and repair work	
4.17	**Equipment**				
4.17.1*	Equipment shall be suitably designed and defined for the intended use. Before commissioning new equipment, compliance with food safety, product quality, legality, and customer requirements shall be validated.	The EHEDG guidelines and local norms define many criteria for the design of facilities and rooms. Hygienic design specifications can also be found there.	• On what basis are your systems planned? • What additional qualifications do the function that the plants plan have? • What hygienic design principles do you apply? • Are the systems completely approved before the first production of food? • What criteria must be met before commissioning? • On what basis are new plants validated before commissioning? • What is the composition of your validation team? • How do you proceed if some points are not fully effective?	• Requirement specifications/ functional specifications • Proof of system release • Start-up protocol	Major: The design of equipment can lead to contamination of food.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.17.2	For all equipment and utensils which could have an impact on the product, evidence shall be documented to demonstrate compliance with legal requirements. In case no specific legal requirements are in place, evidence shall be available, for example: • certificate of conformity • technical specifications • manufacturer's self-declaration to demonstrate that they are suitable for the intended use.	Declaration of compliance may be necessary for certain contact articles. For many other contact materials, the local authorities provide database with recommendations on materials for food contact. For materials that are not legally regulated, an appropriate certificate is also sufficient as proof of suitability. For all materials the scope of application (temperature, product properties, chemicals, ...) must be decisive.	• Which materials are used to influence the product? • Is the intended use specified for these materials? • Are there declaration of compliance for plastics, active and intelligent materials, recycled plastics, epoxy derivatives, … and for substances with a maximum quantity restriction? • Do you pay attention to temperature range, test agent and test conditions in the declarations of compliance? • What proofs and specifications do you have for elastomers that make them suitable for their intended use? • How do you check manufacturers' declarations of compliance, technical specifications and self-declarations? • Are there any declaration of compliance or other evidence for containers and conveyor belts? • How do you proceed in the event of incorrect or missing declarations of compliance or technical specifications/ self-declarations by the manufacturers?	• Declarations of compliance • Technical specifications • Manufacturers' self-declarations	Major: Equipment and utensils that have an impact on the product are not suitable for intended use and pose a safety risk to the consumer.
4.17.3	Equipment shall be located to allow effective cleaning, disinfection and maintenance operations.	THE EHEDG document 13 "Hygienic design of open machines, equipment and components for food processing" contains helpful information. DIN EN 1672-2 „Food processing machinery – Part 2 Hygiene and cleanability requirements" may also be consulted.	• Is the equipment adequately designed and has it been checked for cleanability before commissioning? • Were new systems considered in the cleaning and disinfection plan? • Has it been checked whether the chemicals are also suitable for the plastics and elastomers used? • How did you validate the effectiveness of the cleanings?	• Cleaning and disinfection plans • Acceptance protocols regarding cleaning and disinfection • Evidence of the effectiveness of cleaning and disinfection	Major: Equipment is installed in such a way that cleaning procedures are hindered and thus constitute a source of contamination.
4.17.4	All product equipment shall be in a condition that does not compromise food safety and product quality.	Regular inspections are common to detect wear or defect in time	• How do you ensure that the equipment does not compromise food safety or product quality?	• Proof of plant inspections	Major: Product equipment poses a safety risk to the consumer health.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.17.5	In the event of changes to equipment, the process characteristics shall be reviewed to ensure that food safety, product quality, legality, authenticity and customer requirements are complied with.		• How do you check process characteristics after changes to equipment? • At what point are there „changes" for you? • What were the results of the reviews? • How did you train the people for the checks?	• Review results for changes • Equipment stops	Major: After changes to equipment, the process characteristics were not checked, which caused a product safety problem.
4.18	**Traceability**				
KO N°7 **4.18.1***	A traceability system shall be documented, implemented and maintained that enables the identification of product lots and their relation to batches of raw materials, and food contact packaging materials, and/or materials carrying legal and/or relevant food safety information. The traceability system shall incorporate all relevant records of: • receipt • processing at all steps • use of rework • distribution. Traceability shall be ensured and documented until delivery to the customer.	**Appropriate procedures and systems shall be established, implemented and maintained to ensure the traceability of all edible parts of the carcass is maintained until the carcass is deemed fit for human consumption which includes blood for human consumption.** For further information on packaging materials please see the IFS Packaging Guideline.	• How is your traceability system structured? • How do you record the data/batches per delivery? • What losses do you expect in the mass balance? • What do you do in the event of a loss of traceability? • Will dates be rebooked? If so, how is this considered in the traceability exercise? • How do you proceed with the resale of returns?	• Traceability procedures • All data for complete traceability (goods receipt data, production data, sales data, …) • Traceability exercise • Supplier list	KO: There is no traceability system. Raw materials and packaging materials are not recorded. Traceability back to the supplier is not complete.
4.18.2*	The traceability system, including mass balance, shall be tested at least once within a 12-month period or whenever significant changes occur. The test samples shall reflect the complexity of the company's product range. The test records shall demonstrate upstream and downstream traceability (from delivered products to raw materials, and vice versa).	The IFS GAP Guideline provides further information and an example template on the vertical traceability exercise.	• What traceability tests have been carried out? • How do you check the mass balance? • What is the amount of traceable packaging for the test to be effective? • Are records of these tests available? • What are the results of the traceability verification? • When was the last traceability test carried out in both directions? • What percentage of the total was traced? • How often do you run a traceability test?	• Traceability test records • Mass balance test records	Major: The traceability system is not tested in both directions, so there is no guarantee of its effectiveness, a food safety risk cannot be followed up. If the test results are negative and no corrective action is taken.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.18.3	The traceability from the finished products to the raw materials and to the customers shall be performed within four (4) hours maximum. Test results, including the timeframe for obtaining the information, shall be recorded and, where necessary, actions shall be taken. Timeframe objectives shall be in compliance with customer requirements, if less than four (4) hours are required.	The mass balance test included in the traceability exercise shall not exceed the 4-hour timeframe as defined.	• Are there any customer requirements for the timeframe? • Have the timeframes been considered in your own traceability exercises? • What is the target timeframe for full traceability?	• Contracts • Traceability test records • Mass balance test records	Major: The company exceeded the customer requirements or 4 hours maximum tremendously.
4.18.4	Labelling of semi-finished or finished product lots shall be made at the time when the goods are directly packed to ensure clear traceability of goods. Where goods are labelled at a later time, the temporarily stored goods shall have a specific lot labelling. Shelf life (e.g. best before date) of labelled goods shall be defined using the original production batch.		• When is the lot labelling carried out? • How is the lot labelling structured? • When will the labels be applied to the product units? • When are goods not labelled directly? • How is the best before date calculated?	• Example of lot labelling • Shelf-life example	Major: The labelling of a lot is done in a step where mix-ups occur, and traceability cannot be corrected.
4.18.5	If required by the customer, identified representative samples of the manufacturing lot or batch number shall be stored appropriately and kept until expiration of the „Use by" or „Best before" date of the finished products and, if necessary, for a determined period beyond this date.		• Are there any customer requirements for retained samples? • Are samples taken? • Are the samples stored according to the product requirements? • What happens in the event of damage or loss of a retained sample?		
4.19	**Allergen risk mitigation**				
4.19.1	For all raw materials, a risk assessment shall be performed to identify allergens requiring declarations, including accidental or technically unavoidable cross-contaminations of legally declared allergens and traces. This information shall be available and relevant to the country/ies of sale of the finished products and shall be documented and maintained for all raw materials.		• Are the allergens specified in the specifications? • What data did you use to create the risk assessment? • What technically unavoidable cross-contaminations do you have? • Is there a list of allergens used?	• Risk assessment • Raw material specifications • Allergen list	Major: Allergens are not identified, and the safety of customers is at risk.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.19.1	A continuously up to date listing of all raw materials containing allergens used on the premises shall be maintained. This shall also identify all blends and formulas to which such raw materials containing allergens are added.				
4.19.2*	Risk-based measures shall be implemented and maintained from receipt to dispatch, to ensure that potential cross contamination of products by allergens is minimised. The potential cross contamination risks shall be considered, related to, at a minimum: • environment • transport • Storage • raw materials • personnel (including contractors and visitors). Implemented measures shall be monitored.		• Which measures have the highest risk of allergen cross-contamination? • What measures are in place to prevent contamination with allergen-free products? • How and how often are the measures monitored? • Which criteria are particularly important in monitoring? • Where is this evidence documented?	• Allergen avoidance measures	
4.19.3	Finished products containing allergens that require declarations shall be declared in accordance with legal requirements. Accidental or technically unavoidable cross-contaminations of legally declared allergens and traces shall be labelled. The decision shall be risk-based. The potential cross-contamination with allergens from raw materials processed in the company shall also be taken into account on the product label.	According to this requirement, the company needs to follow the legislation for the declaration of the allergens in the finished products. For the adventitious or technically unavoidable presence, the labelling of legally declared allergens and traces shall be based on hazard analysis and assessment of associated risks. In the risk assessment of unintentional allergen entries, not only the risk from the declarable allergens processed in the company but also the unintentional allergen entry from raw materials shall be considered regarding labelling of the product.	• How do you justify your allergen label based on the risks? • Has the allergen status been documented in the specifications?	• Derivation of risks • Justification that no inadmissible risk exists • Specifications for finished products	Major: Allergens are not declared, which poses a safety risk to the consumer.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.20	Food fraud				
4.20.1	The responsibilities for a food fraud vulnerability assessment and mitigation plan shall be defined. The responsible person(s) shall have the appropriate specific knowledge.	For further information see the IFS Guideline for Product Fraud Prevention.	• Who is responsible for the preparation of the vulnerability analysis and for the anti-food fraud plan? • How were the people qualified? • Which group of people did you choose? • How are employees kept up-to-date of the results of the vulnerability assessment and the practical implementation of the mitigation plan?		
4.20.2*	A documented food fraud vulnerability assessment, including assessment criteria, shall be documented, implemented and maintained. The scope of the assessment shall cover all raw materials, ingredients, packaging materials and outsourced processes, to determine the risks of fraudulent activity in relation to substitution, mislabelling, adulteration or counterfeiting.	The guideline defines 6 criteria for the products and 7 criteria for the supplier. In the vulnerability assessment, the core components of purchased products/ingredients should also be considered (see specification).	• What methodology was used for the vulnerability assessment? • What were criteria for vulnerability assessment? • Do you use the IFS Guideline? • Are all raw materials, ingredients, etc. part of the vulnerability assessment? • How often are vulnerability assessments performed? • Are all new raw materials, ingredients and packaging, as well as the suppliers of these products, subject to a vulnerability assessment? • Which suppliers have the highest risk in the vulnerability assessment? • Which raw materials have the highest risk in the vulnerability assessment? • How do you rank new suppliers in the vulnerability assessment? • What conclusions do you draw from the vulnerability assessment?	• Vulnerability assessment • List of raw materials, ingredients, packaging, and their suppliers	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.20.3	A food fraud mitigation plan shall be documented, implemented and maintained with reference to the vulnerability assessment, and shall include the testing and monitoring methods.	Certified companies have access to the IFS Food Fraud Fact Sheets Brochure, which can help identify risks.	• What testing and monitoring methods have been established based on the vulnerability assessment? • What testing and monitoring methods are used to mitigate the risk of possible product fraud? • Are the testing and monitoring methods applied appropriately and consistently in accordance with the identified risks? • Who monitors the problems identified in the control measures and, if necessary, takes appropriate action? • Are the testing and monitoring methods regularly reviewed for their suitability and effectiveness?	• Food fraud mitigation plan	
4.20.4*	The food fraud vulnerability assessment shall be reviewed, at least once within a 12-month period or whenever significant changes occur. If necessary, the food fraud mitigation plan shall be revised/ updated accordingly.		• What criteria are used to review the vulnerability assessment? • Which points of the vulnerability assessment are checked? • What content in the anti-food fraud plan has been adjusted recently? • How are new food fraud risks identified and to what extent are these influencing the current assessment?	• Test results • Meeting minutes	
4.21	**Food defence**				
4.21.1	The responsibilities for food defence shall be defined. The responsible person(s) shall have the appropriate specific knowledge.	The training should also include concrete technical measures (doors, alarm systems, state of the art) and methods for the analysis and evaluation of product protection aspects. For further information see the IFS Guideline on Product Defence.	• Who is responsible for the food defence plan? • What are the competencies and qualifications of the person(s) responsible for the food defence plan? • Are the tasks, powers and responsibilities defined?	• Job description • Training certificates	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
4.21.2*	A food defence procedure and plan shall be developed to identify potential threats and define food defence measures. This shall include, at a minimum: • legal requirements • identification of critical areas and/or practices and policy of access by employees • visitors and contractors • how to manage external inspections and regulatory visits • any other appropriate control measures.	In the access policy, it is also important to consider exceptions (e.g., a craftsman on weekends) or possible access by employees outside normal working hours. Furthermore, customs (of your country) may set certain criteria for the protection of a company.	• Which threats have the highest risk? • What are the legal/customer-side requirements for food defence? • How can you demonstrate compliance with these requirements? • What methods are used to perform threat analysis and assess associated risks? • What critical areas and handlings have been identified? • How is the company alerted in the event of food defence violations? • What control measures have been established for food defence? • How are these control measures monitored? • How are cyber threats handled?	• Food defence procedure and plan • Meeting minutes • Training records	Major: Unauthorized persons can enter production or storage areas unhindered, creating a food defence risk.
4.21.3	The food defence plan shall be tested for effectiveness and reviewed at least once within a 12-month period or whenever significant changes occur.	This requirement is not applicable if no food defence legislation exists in the country where the audit takes place which requires external food defence inspections and /or regulatory food defence visits, or if the company doesn't export to the US and no FDA food defence inspection is required. As a result, food safety inspections which are performed by authorities are not involved in this requirement.	• Is the effectiveness of the food defence plan fully assessed? • How long did the verification take? • What criteria have you established to determine effectiveness? • How often do you check the effectiveness of the food defence plan?	• Results of the efficacy test • Meeting minutes	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5	Measurements, analyses, improvements				
	Selection of applicable European legislation • Art. 19 Reg. (EC) No. 178/2002 • Annex III Reg. (EC) No. 853/2004 (as regards temperatures (e. g. freezing/ heating) • Reg. (EC) No. 37/2005 (temperatures/ quick-frozen foodstuffs) • Reg. (EC) No. 543/2008 • Art. 23 Reg. (EU) No. 1169/2011 • (EEC) 315/93 (procedures for contaminants) • (EC) 396/2005 • (EC) 2073/2005 • (EC) 2074/2005 (total volatile basic nitrogen limits) • (EC) 1881/2006 • (EC) 37/2010 (pharmacologically active substances) • 90/384/EEC (non-automatic weighing instruments) • 2004/22/EC (measuring instruments) • 2009/23/EC (non-automatic weighing instruments) • Dir. 76/211/ECC • Dir. 2014/31/EU • Dir. 2014/32/EU		**Examples for legislation applicable in different parts of the world** **USA:** • Infant food: 21 CFR 106.90 Audits of current good manufacturing practice • 21 CFR 106.90 (b) Audits of current good manufacturing practice • Cross reference in product specific regulations (e.g. 21 CFR 108) • 21 CFR Part: 117, § 117.145; § 117.160 • 21 CFR 110.80 Processes and controls • 21 CFR 117.80 Processes and controls • 21 CFR 110.40 Equipment and utensils • 21 CFR 117.40 Equipment and utensils • 21 CFR 101.7 Declaration of net quantity of contents • 21 CFR 117.150 Corrective actions and corrections • 21 CFR 120.8 HACCP plan • 21 CFR 120.10 Corrective actions • 21 CFR Part: 7– Enforcement Policy • 21 CFR 189 Substances prohibited from use in human food. • 21 CFR 182 Substances generally recognized as safe • 21 CFR 184 Direct food substances affirmed as generally recognized as safe (GRAS) • 21 CFR 186 Indirect food substances affirmed as generally recognized as safe		
5.1	Internal audits				
KO N°8 5.1.1*	An effective internal audit program shall be documented, implemented and maintained and shall ensure, at a minimum, that all the requirements of the IFS Standard are audited. This activity shall be planned within a 12-month period and its execution shall not exceed 15 months. The company shall have a risk assessment in place where activities, which are critical to food safety and product quality shall be audited more frequently. It shall also apply to off-site storage locations owned or rented by the company.	In addition to the requirements of the standard, the requirements of the customer contracts should also be considered in the internal audits. It is good practice for internal audits to not only the provide the IFS audit checklist to the internal auditor, but a document with indications on good practice, sample questions and elements to check.	• Is there an up-to-date internal audit program? • Is the audit plan based on a risk assessment? • Have you recently increased the frequency of internal audits due to insufficient results? • What factors do you use to increase audit frequency? • Who audits Chapter 1 and thus the management?	• Internal audit plan • Evidence of qualification for internal audits • Overview of external rooms • Risk assessment • Audit evidence	KO: There are no internal audits. Not all IFS requirements are audited internally. The frequency of internal audits is not increased although the risk assessment suggests that.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
KO N°8 5.1.1*		The risk assessment determines both the critical activities and the audit frequency (and thus also indirectly the audit duration). The risk depends on the following factors: • Final audit results • Severity of deviations in recent audits • Effectiveness of final corrective actions • Changes (personnel or facilities) • Internal errors	• How do you determine the duration of internal audits? • How much audit time do you plan for an internal audit? • Which checklist do you use for the internal audit?		The internal audits are not effective.
5.1.2	The auditors shall be competent and independent from the audited department.	A team of 4 to 5 audit persons is common. These should come from several areas (not just QA/QM). It is also useful to have an annual „calibration" of the internal auditors and/or an evaluation of the classifications made.	• How many auditors from which department do you deploy? • Are the internal auditors work independently from the audited area? • Who are your internal auditors? • How did you qualify internal auditors for the newest version of IFS Food?	• Overview of audit persons • Qualification certificates • Plan for internal auditors	
5.1.3	Internal audits shall be documented and results communicated to the senior management and to the persons responsible for the concerned activities. Compliances, deviations and non-conformities shall be documented and communicated to the relevant persons.		• How are the audit results communicated to those responsible? And when? • Is communication so that action can be taken? • Are corrections and corrective actions documented? • Is there a timeline for the corrections and corrective actions? • Who plans to test the effectiveness of corrections and corrective actions? • Is there a root cause analysis for corrective actions? • How and when are the audit results forwarded to the management? • What is the procedure if the audit reveals deviations and non-conformities?	• Audit reports • Action plans • Report distribution	Major: There are no documented internal audit results and no results have been communicated to the relevant persons.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.2	Site factory inspections				
5.2.1*	Site and factory inspections shall be planned and carried out for certain topics, like for example: • constructional status of production and storage premises • external areas • product control during processing • hygiene during processing and within the infrastructure • foreign material hazards • personal hygiene. The frequency of inspections shall be based on risks and on the history of previous results.	Site inspections in which only anomalies are recorded are not helpful for an objective review and proof of effective implementation. In areas with higher requirements (e.g. high-care areas) and areas with more frequent deviations, site inspections should be carried out more frequently. Site inspections should not only be carried out by QA/QM. Plant managers, management and other executives should also carry out site inspections.	• What criteria have you defined for the site inspections? • Which PRPs do you verify with the site inspections? • How do you evaluate the deviations and non-conformities from the site inspections? • As a result of which previous results and risks do you increase the inspection frequency? • Was there a reason in the past to increase the frequency of site inspections? • How are perceived hazards incorporated into the hazard analyses? • How are potential hazards from the site inspections evaluated and prioritized? • What is the procedure if incidents are repeated unplanned?	• Site inspection protocol • Results from site inspections • Derivation of risks • Justification that no inadmissible risk exists	Major: There are no on-site inspections nor is one planned. The frequency is not determined risk-based.
5.3	Process validation and control				
5.3.1	The criteria for process validation and control shall be defined.	Criteria for process validation indicate the target performance of a process (e.g., how many packages could be leaking, how much overfilling may fluctuate, how uniform are the mixtures). The key figure „process capability“ is commonly the key figure for the control of processes that cannot be monitored 100%. Typical processes for process validation are mixing processes, thawing and freezing processes, filtration, inert gas filling etc. The overfilling of packages should also be defined as part of the process validation.	• Which processes need to be validated and monitored? • What criteria have you defined for validating the processes? • On what basis were these criteria established? • What are the criteria for monitoring the processes? • When were these criteria established?	• Criteria for process validation and for its monitoring	Major: Due to insufficient process monitoring, a problem arises regarding food safety, quality, legality or authenticity.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.3.2	Process parameters (temperature, time, pressure, chemical properties, etc.) which are essential to ensure the food safety and product quality shall be monitored, recorded continuously and/or at appropriate intervals and secured against unauthorised access and/or change.	Changes to system parameters may only be carried out by authorized persons. In production, there are different access rights for changing plant parameters.	• What happens if a deviation occurs? • What time periods have you set for monitoring? • How is the monitoring data protected from change? • How did you protect the systems against unauthorized modification? • How do you technically secure the systems against unauthorized changes? • Which group of people has access to the facilities? • What happens if the cold chain is broken?	• Printed measurement data • Electronic records	
5.3.3*	All rework operations shall be validated, monitored and documented. These operations shall not affect the food safety and product quality requirements.		• How did you define the finishing work? • What rework do you have? • How do you ensure that rework meets specifications? • Where and how is rework documented? • Who checks the results of the rework? • Who decides on the release of rework? • How is it ensured that the rework complies with legal requirements?	• Overview of rework and evidence for monitoring and validation • Model documentation for rework	
5.3.4	Procedures shall be documented, implemented and maintained for prompt notification, recording and monitoring of equipment malfunction and process deviations.	If possible, a test should be simulated to see whether the alarm works.	• What steps and responsibilities did you describe in the process? • In the event of which malfunctions, the management is informed? • How are faults and process deviations recorded?	• Faults, process deviations • Machinery stand still protocol	Major: Errors are not noticed and this can lead to a safety or legal problem.
5.3.5	Process validation shall be performed using the collected data that is relevant for food safety and the processes. If substantial modifications occur, a re-validation shall be carried out.	An evaluation of data for process validation is based on defined acceptance criteria (such as process capability or a certain proportion of outliers/limit violators). Validations are not possible based on average values. These validations must be carried out on a regular basis.	• How often do you perform process validations? • What conclusions do you draw from the process validations? • What data do you evaluate? • What statistical methods do you use to evaluate the data? • Were there any significant changes that justified a revalidation? • Who evaluated the process validations?	• Evidence for the process validations • Evaluation of the results from process validation • If necessary, measures from the validations	Major: Due to unevaluated data and process validations, the processes do not meet their requirements for food safety, quality, and legality.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.4	Calibration, adjustment and checking of measuring and monitoring devices				
5.4.1*	Measuring and monitoring devices required to ensure compliance with food safety and product quality requirements shall be identified and recorded. Their calibration status shall be recorded. Measuring and monitoring devices shall be legally approved, if required by current relevant legislation.	Country specific rules apply to the calibration obligation for all weighing equipment in commercial use. According to EU Directive 90/384/EEC, weighing instruments must be officially calibrated if they are used as follows: a) in the course of trade, when the price of goods is determined by weighing b) in the manufacture of medicines in pharmacies, as well as in analyses in the medical and pharmaceutical laboratory c) for official purposes d) in the manufacture of prepackaged products.	• What types of measuring and monitoring equipment are used? • What are the requirements for measuring and monitoring equipment? • Which measuring and monitoring device is suitable for which type of measurement? • When were devices the last time calibrated? • How is the calibration status of a measuring device determined? • Were there any defective measuring and monitoring equipment last year? • What legislation applies to your measuring and monitoring equipment?	• List of monitoring devices • Identification stickers on monitoring devices • If applicable, legal approval	Major: The company does not have any measuring and monitoring equipment, although it legally required.
5.4.2*	All measuring devices shall be checked, monitored, adjusted and calibrated at defined intervals, in accordance with defined, recognised standard/methods and within relevant limits of the process parameter values. The results shall be documented.		• How is the testing of measuring and monitoring equipment organised? • Who is responsible for calibration? • Are the measuring and monitoring equipment calibrated regularly? • How is the calibration carried out? • Does the calibration cover the measuring ranges? • Where is it documented? • What corrective actions are taken if a deviation is detected? • Is the calibration up to date? • Which standards are relevant for your measuring and monitoring equipment?	• Calibration procedure • Calibration protocol • Calibration records • Calibration certificates • Corrective actions	Major: Measuring devices are not checked and calibrated. Thus a food safety risk exists.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.4.3	All measuring devices shall be used exclusively for their defined purpose. Where the results of measurements or the status of the device indicate a malfunction, the device in question shall be immediately repaired or replaced. Where a malfunction has been identified, the impact on processes and products shall be assessed to identify whether non-conforming products have been processed.		• How did you determine the intended use of the measuring equipment? • What measures are taken if the measurement results are uncertain? • How do you detect malfunctions of measuring equipment? • How do you assess malfunctions of measuring equipment? • How do you ensure that the measuring equipment is used correctly?	• Specifications for the measuring equipment • Identification stickers • Audit tour	Major: Defective measuring devices are not replaced, and a safety problem arises (e.g. defective thermometers).
5.5	**Quantity control monitoring**				
5.5.1*	Compliance criteria to control lot quantity shall be defined. A system on frequency and methodology for quantity control shall be implemented and maintained to meet the legal requirements of the destination country/ies and customer specifications.		• What conformity criteria have you set for quantity control? • How is it ensured that the legal requirements for quantity control are met? • Have there been any deviations in quantity control in the past? • How are the legal provisions of the countries of destination determined? • In which documents is this recorded?	• Specifications • Customer contracts • Legal texts	Major: Legal requirements are not met due to a lack of or too few measurements.
5.5.2	Quantity control monitoring shall be implemented and recorded, according to a sampling plan which ensures a proper representation of the manufacturing lot. The results from this monitoring shall be compliant with defined criteria for all products ready to be delivered.		• How is your quantity control test plan structured? • How do you detect deviations in quantity control? • Who checks the results of quantity controls? • What criteria have you calculated for losses in quantities? • How and at which process steps is the control carried out?	• Inspection plan • Control evidence • Corrective actions	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.6	**Product testing and environmental monitoring**				
5.6.1*	Testing and monitoring plans for internal and external analyses shall be documented and implemented and shall be risk-based to ensure that product safety, quality, legality, authenticity and specific customer requirements are met. The plans shall cover, a minimum of: • raw materials • semi-finished products (if applicable) • finished products • packaging materials • contact surfaces of processing equipment • relevant parameters for environmental monitoring. All test results shall be recorded.	Environmental monitoring is a process to assess how effectively the site is being constructed, maintained, and cleaned to prevent microbiological contamination. It typically means monitoring various surfaces (e.g., cutting blades, tables, conveyers) for pathogens (e.g., listeria, salmonella) and spoilage organisms. The goal is to determine whether any pathogens or spoilage organisms are present in the environment and to respond accordingly if a positive result is found. We expect that the monitoring parameters from the process environment (e.g., bacteriological self-monitoring of the surfaces) are established based on a risk assessment that considers the full range of products and relevant microbiological organisms. This form of monitoring concerns most food production sites, especially those areas where products are open or ready-to-eat products are produced. If the environmental monitoring is considered as not required, the assessed site shall demonstrate that based on its legal/science-based risk assessment. This risk assessment shall consider the site's whole product range and relevant microbiological organisms.	• What testing and monitoring plans are in place? • Are the test and monitoring plans regularly checked? • What products does the test plan cover? • Is the test and monitoring plan based on a risk assessment? • What tests or monitoring do you carry out regarding legality and authenticity? • Which products have the highest risk? • Is the risk increased in case of poor results? • Is the sample size increased in case of poor results? • Is the highest risk also reflected in the testing and monitoring plans? • Where are the results of the tests and monitoring documented? • Which physical, chemical, or microbiological analyses are carried out or subcontracted? • Which analyses are carried out by an in-house laboratory and which by external laboratories? • And how often?	• Test and monitoring plans • Derivation of risks • Justification that no inadmissible risk exists • Test results	Major: There is no risk-based sampling plan and analysis results are not available. A food safety risk cannot be excluded.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.6.2*	Based on risks, the criteria for environmental monitoring program shall be documented, implemented and maintained.		• What is the highest risk in the area? • What dangers did you consider in the risk analysis? • What risks have you identified as listeria? • What criteria have you defined for environmental monitoring? • If the results are poor, will the risk and frequency be adjusted?	• Derivation of risks • Justification that no inadmissible risk exists • Monitoring plans for environmental monitoring and risk analysis as well as monitoring results	Major: The company did not evaluate the risks and has no environmental monitoring program. A food safety risk exists.
5.6.3*	Analyses which are relevant for food safety shall preferably be performed by laboratories with appropriate accredited programs/methods (ISO/IEC 17025). If the analyses are performed internally or by a laboratory without the appropriate accredited programs/methods, the results shall be cross-checked with test results from laboratories accredited to these programs/methods (ISO/IEC 17025) at least once within a 12-month period, or whenever significant changes occur.		• What analyses do you carry out in laboratories? • Which of these are relevant for food safety? • Is there an analytical laboratory on site? • Is it ISO 17025 accredited? • Are internal laboratory results checked by an accredited laboratory? • Which external laboratories are used? • Are these laboratories ISO 17025 accredited? • Are the required methods accredited?	• Monitoring results from laboratories • Accreditation evidence	
5.6.4	Procedures shall be documented, implemented and maintained to ensure the reliability of the results from internal analyses, based on officially recognised analysis methods. This shall be demonstrated by ring tests or other proficiency tests.		• What procedures have you put in place for determining the reliability of internal analyses? • How do you ensure that the internal analysis methods are suitable? • Are ring tests performed? • What are the results of the ring tests?	• Ring test evidence • Ring test performance	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.6.5	Results of analyses shall be evaluated in a timely manner by competent personnel. Immediate corrections shall be implemented for any unsatisfactory results. Based on risks and legal requirements, the frequency for review of the testing and monitoring plan results shall be defined in order to identify trends. When unsatisfactory trends are identified, the impact on processes and products as well as the need for actions shall be assessed.		• Who checks the analysis results? • How do you ensure that the staff is sufficiently competent to evaluate the test results? • How are analysis results verified? • Are trends being examined? • At what point is there a negative trend? • Are corrective actions taken if the results are not satisfactory? • Were there unsatisfactory trends in the past? • How did you assess the impact?	• Corrections • Corrective actions • Derivation of risks • Justification that no inadmissible risk exists • Proof of qualification for the person, who evaluates the results	Major: There are test results that do not meet the legal requirements and no corrective action has been taken.
5.6.6	Where internal analyses or controls are undertaken, these shall be carried out in accordance with defined procedures, by competent and approved personnel, in defined areas or laboratories, using appropriate equipment.		• What tests are carried out internally? • What qualifications do the people in the laboratory have? • Is an in-house laboratory available? • What equipment does the laboratory have? • Is the laboratory equipment qualified? • How is product contamination by an in-house laboratory prevented?	• Proof of qualification • Proof of qualification for the specific laboratory equipment	
5.6.7	For monitoring of the quality of the finished product, internal organoleptic tests shall be carried out. These tests shall be in accordance with specifications and related to the impact on respective parameters of product characteristics. The results of these tests shall be documented.		• When and how are organoleptic tests performed? • How do you record the results of organoleptic tests? • How do you proceed in the event of deviations in the organoleptic tests?	• Test/inspection or monitoring plans • Documentation of organoleptic test results	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.6.8	The testing and monitoring plans shall be regularly reviewed and updated, based on results, changes to legislation or issues that may have an impact on product safety, quality, legality and authenticity.	For example, if an alert system informs that a raw material purchased from a certain country regularly has a certain proportion of a hazardous substance, and if the company is used to buying that raw material, the company will increase the frequency of analysis of that raw material to improve monitoring. On the other hand, if the analysis results always show good results and the raw material is classified as low risk, the company may decide to reduce the frequency of analysis.	• How often are the test and monitoring plans checked? • What are the criteria for control of testing and monitoring plans? • Were there circumstances that had a negative impact on product safety, quality, legality, and authenticity?		
5.7	**Product release**				
5.7.1*	A procedure for quarantine (blocking/hold) shall be documented, implemented and maintained to ensure that only raw materials, semi-finished and finished products, and packaging materials, complying with food safety, product quality, legality, authenticity and customer requirements, are processed and delivered.		• Who quarantines products and who is allowed to release them? • How many different quarantine methods are used? • Have there been any incidents in the past of blocked products being delivered? • How are products in quarantine identified?	• Job description • Procedures • Proof of blocking	Major: There are no procedures for quarantine or release of products, it cannot be ensured that products are processed or delivered that are non-compliant. Quarantined products continue to be used uncontrollably and this is a safety problem.
5.8	**Management of complaints from authorities and customers**				
5.8.1*	A procedure shall be documented, implemented and maintained for the management of product complaints and of any written notification from the competent authorities – within the framework of official controls –, any ordering action or measure to be taken when non-compliance is identified.		• How are product complaints handled? • Have there been any complaints from the authorities in the past? • Has the management been informed about this? • What is the range or indicator of complaints made separately by consumers, retailers, and authorities?	• Complaint handling procedures • Product complaints • Official complaints	Major: There is no procedure for handling complaints. Incoming complaints are not being processed.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.8.2*	All complaints shall be recorded, be readily available and assessed by competent staff. Where it is justified, actions shall be taken immediately.		• Who evaluates the importance of complaints and complaints? • Who determines the measures to be taken? • Who evaluates the effectiveness of the measures taken? • Within what period must action be taken? • Have you defined different categories and priorities for complaints? • Are limit values or target values defined for common complaints?	• Registered complaints • Evaluation of complaints	
5.8.3	Complaints shall be analysed with a view to implementing actions to avoid the recurrence of the deviations and/ or non-conformities.		• Who evaluates the objections and complaints? • How are new hazards resulting from complaints considered in the hazard analyses? • How often is an evaluation of complaints communicated? • What measures are being taken to prevent recurrence?	• Evaluation of complaints • Complaint statistics	Major: No corrective action was taken, even though an error occurred more frequently or was considered serious.
5.8.4	The results of complaint data analysis shall be made available to the relevant responsible persons.		• To whom is the complaint evaluation made available? • At what intervals/ periods does this take place? • Are justified and serious complaints easy to recognize in this evaluation?	• Communication as a result of complaints	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.9	Management of product recalls, product withdrawals and incidents				
KO N° 9 5.9.1*	An effective procedure shall be documented, implemented and maintained for the management of recalls, withdrawals, incidents and potential emergency situations with an impact on food safety, product quality, legality and authenticity. It shall include, at a minimum: • the assignment of responsibilities • the training of the responsible persons • the decision-making process • the nomination of a person, authorised by the company and permanently available, to initiate the necessary process in a timely manner • an up-to-date alert contact list including customer information, sources of legal advice, available contacts • a communication plan including customers, authorities and where applicable, consumers.	Specifications should also clearly describe what are target values and which fluctuations are acceptable. Fluctuations should be based on association guidelines, legal texts and/or customer requirements. When determining fluctuations measurement inaccuracies should be considered.	• How many steps are involved in the decision-making process? • Are the owners or the advisory board also considered in this process? • Who is informed when an incident occurs? • How are incidents handled? • What is an incident? • Who is responsible for communication with customers, press, and authorities? • How is the emergency number list kept up to date? • Who is informed when a crisis occurs? • When is the press involved? • Does the communication plan also address letters, e-mails, or inquiries from consumers? • How do you react when products are returned directly to you? • Have you taken social media into account in the communication plan? • Which people are permanently available at your place? • How were the people responsible trained? • How are the responsibilities distributed? • Who is authorized to make a final decision?	• Telephone list • Decision-making process • Emergency number list • Communication plan • Recall management procedure • Withdrawal management procedure • Incident management procedure • Emergency plan • Training certificates of the responsible persons	KO: The company does not have a procedure for recalls, withdrawals, incidents, and potential emergencies. There is no response to recalls, withdrawals, incidents, and potential emergencies.
5.9.2*	The procedure shall be subject to internal testing for recall/withdrawal, by covering the end-to-end process. This activity shall be planned within a 12-month period and its execution shall not exceed 15 months. The outcome of the test shall be reviewed for continuous improvement.	The test requires a conclusion and the traceability of assessment criteria.	• Has the recall/withdrawal process improved? • What are the criteria for the recall/withdrawal test? • Which group of people performs this test? • How effective were these tests? Have all test criteria been passed? • How often is effectiveness tested?	• Recall test results • Withdrawal test results	Major: The procedures for recall/withdrawal have not been tested internally in the last 15 months. The procedures are outdated. The test results show that the procedures are ineffective, and no corrective action has been taken.

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.10	Management of non-conforming products				
5.10.1*	A procedure shall be documented, implemented and maintained for the management of all non-conforming raw materials, semi-finished products, finished products, processing equipment and packaging materials. This shall include, at a minimum: • defined responsibilities • isolation/quarantine procedures • risk assessment • identification including labelling • decision about the further usage like release, rework/reprocessing, blocking, quarantine, rejection/ disposal.	Depending on the severity of the non-conformity, different blocking procedures (from the blocking to the locked quarantine room) are required.	• What procedures are in place for handling non-compliant raw materials, intermediate and end products, process equipment, and packaging materials? • How was this explained to the employees? • How are non-compliant raw materials, intermediate and end products, processing equipment and packaging materials identified and labelled? • What conclusions did the risk assessment lead to?	• Procedures • Evidence of isolations • Risk assessment • Quarantine tickets • Evidence of measures taken (e.g. discard)	Major: There are no procedures for handling non-conforming products and cross-contamination between quarantined and non-quarantined products is evident.
5.10.2	The procedure for the management of non-conforming products shall be understood and applied by all relevant employees.		• Which languages do the employees speak confidently? • In which languages did you create and instruct the procedure? • How did you check the understanding of the employees?	• Training/instruction certificates • Quarantine tickets	Major: Employees do not know who is authorized to release blocked products or if the products are in a condition in which they need to be released. Blocked products lead to a security problem due to an improper release.
5.10.3	Where non-conforming products are identified, immediate actions shall be taken to ensure that food safety and product quality requirements are complied with.		• What measures are implemented in the case of non-conforming products? • Have you had non-conforming products? • Have all measures been taken as quickly as possible? • How effective have the measures been in ensuring compliance with food safety and product quality requirements? • Who decides on the measures to be taken in the event of non-conforming products?	• Quarantine tickets	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
5.10.4	Finished products (including packaging) that are out of specification shall not be placed on the market under the corresponding label unless a written approval of the brand owner is available.	For example, evidence can be provided that products have not been placed on the market (e.g. contracts with external waste disposal companies) Exceptions can be verified based on examples (situations that have already occurred) by checking the content of the contract.	• Do you have written permissions from brand owners to sell non-conforming products? • How do you separate products that don't meet specifications? • Where are these products stored?	• Correspondence with the brand owner • Contracts • Proof of disposal	
5.11	**Management of deviations, non-conformities, corrections and corrective actions**				
5.11.1*	A procedure for the management of corrections and corrective actions shall be documented, implemented and maintained for the recording, analysis, and communication to the relevant persons of deviations, non-conformities and non-conforming products, with the objective to close the deviations and/or non-conformities and avoid recurrences via corrective actions. This shall include a root cause analysis, at least for deviations and non-conformities related to safety, legality, authenticity and/or recurrence of deviations and non-conformities.	Analysis methods include, for example, Pareto, ABC, Trend ... The use of proven techniques for root cause analysis such as 5W (5 Whey), 4M/Ishikawa, force field analysis, fault tree analysis ...	• How do you record deviations, non-conformities, and non-conforming products? • Are all deviations, non-conformities and non-conforming products recorded? • Do you use methods for the analyses? • How do you evaluate repetitions of critical deviations, non-conformances, and non-conforming products? Do you always proceed in the same way when analysing? • What methods do you use for root cause analysis? • Is this group of people trained for the analysis of deviations, non-conformities, and non-conforming products? • Are there any evaluations of the analyses? • Do you distinguish deviations, non-conformities, and non-conforming products between planned/expected and new or critical?	• Correction/corrective action procedures • Analyses • Root cause analyses	
5.11.2	Where deviations and non-conformities are identified, corrections shall be implemented.	The requirement does not only refer to the last external or internal audit.	• What discrepancies and/or non-conformities have occurred recently? • How do you go about capturing corrections? • Who is allowed to initiate corrections?	• Corrections	

N°	IFS Requirements	Good practice	Example questions	Elements to check	Example for non-conformities
KO N°10 5.11.3*	Corrective actions shall be formulated, documented and implemented as soon as possible to avoid the further occurrence of deviations and non-conformities. The responsibilities and the timescales for corrective actions shall be defined.	The requirement does not only refer to the last external or internal audit.	• What corrective actions have been implemented? • Where are corrective actions documented? • Who is responsible for corrective actions? • How long can it take for corrective action to be taken? • How do you differentiate corrections from corrective actions? • How are repetitions evaluated? • When is the company management be informed?	• Corrective measures	KO: No corrective action will be taken. Corrective measures are not implemented as quickly as possible. Corrective actions are not documented. No responsibilities or deadlines are assigned for the implementation of corrective actions.
5.11.4	The effectiveness of the implemented corrections and corrective actions shall be assessed and the results of the assessment documented.	When assessing effectiveness, the data basis (e.g. an analysis or an on-site inspection) should be included.	• Who sets the criteria and procedure for testing effectiveness? • Where and how are corrections and corrective actions documented? • Do you record all corrections and corrective actions in a list or in a system? • How are corrections and corrective actions reviewed? • How effective have the corrections and corrective actions been last year? • What corrections and corrective actions were not effective? • Have you identified the reasons for ineffectiveness? • Has management been involved in ineffective corrections or corrective actions?	• Effectiveness test results of corrections and corrective actions • If necessary new or additional actions	Major: Corrections or corrective actions are not assessed.

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