IFS Logistics

IFS Logistics Version 3

Guideline for the IFS Logistics Audit Checklist

Typical auditor questions and examples for relevant documentation

VERSION 1

ENGLISH

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

PREFACE

Objective

The objective of this document is to provide guidance for companies implementing and auditors auditing the IFS Logistics 3 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 processes and services

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 is 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 Also, the references are only an introduction to the applicable rules and will be out of date as soon as new regulations apply.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 Logistics 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 is dedicated to continuously improve the guideline. Therefore, we want to give the auditors, as well as the certification bodies, the opportunity to support IFS through providing comments or ideas related to their own experiences that could help improving the guideline and provide additional support for implementation and auditors. In case of any queries regarding the interpretation of IFS Standards, Programs and Guidelines, please contact standardmanagement@ifs-certification.com.

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
1	**Governance and commitment**	
1.1	**Policy**	
1.1.1*	The senior management shall develop, implement and maintain a corporate policy, which shall include, at a minimum: • product safety and product quality • customer focus • product 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 product safety culture shall include, at a minimum, communication about product safety policies and responsibilities, training, employee feedback on product safety related issues and performance measurement.	***Questions:*** – How and where is corporate policy documented? – What are the contents of the corporate policy? – What activities has the company's senior management personally carried out to promote product safety culture? – How was corporate policy communicated to all employees? – Is the content of corporate policy adapted to measurable objectives? – What quality and product safety objectives are currently defined? – Are these objectives clearly formulated and measurable? – What tools are used to measure that the objectives have been attained? ***Documentation:*** – adopted corporate policy – documented evidence of corporate policy communication, e.g. bulletin, training materials (training plan, records, signing list, presentation, brochure, etc.) – defined objectives regarding quality, product safety and culture – Definition of goals per area, bonus system if applicable, measures to achieve the goals, notices – records of trainings or bulletins – posters showing the different department objectives ***Advice for auditors:*** • *different types possible, e.g. continuous text or separate guiding principles* • *sustainability is included in the IFS Logistics – even if it's a product safety and quality management standard – to initiate awareness of the company.*
1.2	**Corporate structure**	
1.2.1* **KO N° 1**	**KO N° 1: Corporate structure** **The senior management shall ensure that employees are aware of their responsibilities related to product safety and product quality and that mechanisms are implemented to monitor the effectiveness of their operation.**	***Questions:*** – How does the senior management ensure that all tasks related to product safety and quality are assigned to specific employees and that they are properly fulfilled by these employees? – How do employees know their responsibilities? – What mechanisms are implemented to monitor the effectiveness of their operations? – What criteria is used to monitor the effectiveness of employees' operations? – What are the results of the monitoring? – What happens in case of violations?

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1.2.1* **KO N° 1**		***Documentation:*** – Processes, instruction briefings, trainings – internal audits and site inspections – complaints and follow-ups – management review ***Advice for auditors:*** *Specific questions to this requirement itself are not advisable. Compliance with this requirement results from the overall picture of questioning the employees. Situations where problems to be solved occurred need particular attention.* *This is the most likely the situation to demonstrate the integrity of the system.* ***KO would be given:*** 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 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 department responsible for product safety and quality management and/or the IFS Logistics representative shall have a direct reporting relationship to the senior management. An organisational chart, showing the structure of the company, shall be documented and maintained.	***Questions:*** – Who is(are) the person(s) responsible for reporting on product safety and quality management? – Is there a direct report to senior management in cases of critical issues to product safety and product compliance (e.g., incidents, recall, withdrawal, critical nonconformities, systemic loss of control, product safety issues, etc. – Who is the IFS representative? – What are the responsibilities of the IFS representative? – How is the function of the IFS representative laid down? – How is the allocation to senior management? – Is an organisational chart available and when was it last updated? – How is the organisation structured? ***Documentation:*** – review tasks or functions – job descriptions – organisational chart (including decentralized structures, if applicable) ***Advice for auditors:*** *This requirement supports product safety culture and implementation as it relates to elements such as: awareness; commitment of the management and leadership engagement and open and clear communication.* *Attention shall be paid that an established way of escalating incidents directly to the senior management by the appointed IFS representative exists.*

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1.2.3	The senior management shall maintain a system to ensure that it is kept informed of all relevant legislation, scientific and technical developments, industry codes of practice, product safety and product quality issues, and that they are aware of factors that can influence product defence and product fraud risks. The legal requirements shall be implemented by the respective department(s).	***Questions:*** – How does the company ensure that all relevant regulations, scientific literature and relevant codes of practices are known? – Which sources are used? – Is there an updating service or other means of staying up to date? – How is it ensured that product requirements comply with relevant legislation in logistics processes? – For which legal changes have you received feedback on the effective implementation? ***Documentation:*** – subscription(s) on legislation, associations or others – external trainings or seminars – newsletters from relevant sources – association membership(s) – Product defence plan – Product fraud vulnerability assessment Information system (incl. factors on food defence and fraud risks) – Examples of legal changes and their sources of information
1.2.4*	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 site location change For the following specific situations: • any product recall /withdrawal caused by the logistics company owning the product • any visit from authorities which results in mandatory action connected to product safety, and/ or product fraud the certification body shall be informed within three (3) working days.	***Questions:*** – is it clearly defined in which cases the CB must be informed? – Have relevant changes been communicated to the CB? – Which cases have been communicated by the company since the last audit? – Have relevant changes been communicated to the CB in due course? – Are all relevant factors included in the relevant process description? – Who is the competent authority for the company? – When was the last visit of the competent authority? Have there been any mandatory actions connected to product safety, product fraud? ***Documentation:*** – Reports of the competent authority visit(s) since the last audit – Official documents proving mandatory actions have been verified by the authority – Company´s sanitary registration (if applicable) – Process descriptions for those specific situations – Management review results ***General clarification:*** *Product recalls/withdrawals shall be informed to the certification body:* – *where the root cause was identified at the logistics company* – *when the logistics company is the owner of the product* *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.*

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1.3	**Management review**	
1.3.1*	The senior management shall ensure that the product 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 product safety culture • results of audits and site inspections • positive and negative customer feedback • process compliance • product fraud assessment outcome • product defence assessment outcome • compliance issues • status of corrections and corrective actions • notifications from authorities	***Questions:*** – Under which circumstances is the product safety and quality management system assessed? – When was the management system reviewed last time? Has it been carried out in due course? – Have all relevant factors been included in the last management review? – What was the result of the review? – Based on the review result: have any actions for improvement been taken? ***Documentation:*** – improvement actions – review reports – audit reports ***Advice for auditors:*** *Senior management normally performs an assessment of the IFS Logistics system together with their executives, to ensure ability, adequacy and efficiency of the IFS Logistics system.* *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.*
1.3.2	The senior management shall identify and review (e.g. by internal audits or on-site inspection) the infrastructure and work environment necessary to ensure product requirements, at least once within a 12-month period, or whenever significant changes occur. This shall include, at a minimum: • buildings • storerooms/storage areas • machines and equipment • transport (e.g. vehicles, units, containers) • environmental conditions • **for food scopes:** the workplace design including hygienic conditions where the processes require a higher hygiene control Based on risks, the results of the review shall be considered for investment planning.	***Questions:*** – Have all necessary infrastructure and work environment to ensure product requirements correctly identified? – When was the infrastructure (buildings, machines, transport units, etc.) evaluated the last time? – When as the work environment (staff facilities, environmental conditions, safety and security at work, hygienic conditions, workplace design etc.) evaluated the last time? – Who evaluated the infrastructure/work environment? Has senior management been involved? – What were the results of the infrastructure and/or work environment assessment(s)? – Were the results used for further infrastructure and/or work environment planning? – What risks were identified according to the results of infrastructure and/or work environment assessment? – What are infrastructure and/or work environment related investments for the near future? ***Documentation:*** – corrective actions plan – audit reports – investment plans – risk analysis – on-site inspection reports – *Assessment may be performed e.g. with a specific checklist.* ***Advice for auditors:*** *The company must clarify: are infrastructure and working environment proper, appropriate and effective?*

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2	**Product safety and quality management system**	
2.1	**Quality management**	
2.1.1	**Document management**	
2.1.1.1	A procedure shall be documented, implemented and maintained for the control of documents and their amendments. The latest version of all documents which are necessary for compliance with product safety, product quality requirements shall be available. The reason for any amendments to documents, critical to those requirements, shall be recorded.	***Questions:*** – What types of documents have been defined (e.g. policies, processes, procedural instructions, work instructions, forms)? – What are the rules for document control? – Which documents are classified as critical for stating reasons of change? – How are reasons for amendments traced for the relevant documents? – What were reasons for recent changes? – What criteria are established for the different language levels (if any)? – 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? – How are the validity and timeliness of the documents determined? – How is ensured that only valid documents are used? – How is the identification code structured? – How can a revision be identified? – Who is responsible for the changes? – How is it ensured that only valid documents are in circulation (and outdated ones effectively withdrawn)? ***Documentation:*** – Overview of documents and associated attachments – Procedures – Distribution lists – Review of example ***Advice for auditors:*** *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.* *Documents shall be made available in order to ensure the legality, safety or quality of the product and in order to guarantee customer requirements.*

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2.1.1.2	The product safety and quality management system shall be documented, implemented and maintained and shall be kept in a secure location. This applies to both physical and/or digital documented systems.	***Questions:*** – Where are documents stored? Is it manually or digital? – How is the access secured? Are preventive measures in place? – Who can access which documents? – How does the company check for ambiguity in texts? Has the company 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 does the company obtain documents in the event of a power failure? ***Documentation:*** – Server or secured cloud service – Distribution specifications – Document management system – Procedure for document control ***Advice for auditors:*** *The description of the system is easy to comprehend and avoids ambiguities (check with online tools).*
2.1.1.3	All documents shall be legible, unambiguous and comprehensive. They shall be available to the relevant personnel at all times.	***Questions:*** – Are there distribution specifications (i.e. applicable user groups for the document)? – How do the relevant employees have access to the documents? – How are changes to the documents communicated to the affected employees? – How can employees access the documents without a PC? – How do employees know which documents apply to them? – Have you established criteria to avoid ambiguity of documents (e.g. are certain formulations, such as "timely, defined or generally" prohibited? ***Documentation:*** – Amended documents – Document management system – Checking documents and their versions in use by the employees on-site ***Advice for auditors:*** *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.*

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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 manipulation 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).	***Questions:*** – 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? ***Documentation:*** – Requirements for archiving – Access and edit rights to data ***Advice for auditors:*** *In case of an erroneous statement, the amendment shall be noted separately in order to identify the modification with signature and dates in order to keep track of the change log.*
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 for non-food products and for a minimum of one year after the shelf life for food products. All records and documented information shall be securely stored and easily accessible.	***Questions:*** – 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? – 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? ***Documentation:*** – Records (also at the end of the retention period) – Procedure documents – Justification for duration of record keeping – Access right overview – Review of examples ***Advice for auditors:*** *All records and documented information shall be securely stored and easily accessible to the respective authorized personnel*

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2.2	**Product safety management**	
2.2.1	**Hazard analysis and risk assessment system**	
2.2.1.1* **KO N° 2**	**KO N° 2: The basis of the company's product safety management system shall be a fully implemented, systematic, comprehensive and documented risk management system.** **The product safety management system shall be based on items such as e.g.: scientific literature or expert advice obtained from other sources, good practices (e.g. good hygiene practices) and any legal requirements of the destination countries which may go beyond such principles.** **For food scopes: a HACCP system shall be based upon the Codex Alimentarius principles.** **The product safety management system shall be applicable to the site and implemented at the site.**	***Questions:*** – On what principles is the companies risk management system based (in case of non-food products)? – Is the HACCP system for food products based on Codex Alimentarius principles? – Has every site/location a separate HACCP/risk management system? – What changes have been made recently to the product safety management system? – How are new processes released (have hazards been analysed and assessed)? – Have there been any technical changes? – Are there any new products, sites, processes? – How many HACCP plans exist (every site an individual or adapted one)? – What specific regulations and limits are considered in the HACCP plan? – What specific legislation is considered in the HACCP plan? ***Documentation:*** – risk management system – HACCP system – Structural and technical changes ***KO would be given:*** *If there is no HACCP/risk management system.* *If legal requirements are not included in HACCP/risk management system.* *If there is no HACCP/risk management system for each individual site/plant.* *The HACCP/risk assessment plan is severely outdated and current hazards are not sufficiently addressed.*
2.2.1.2	The product safety management system shall cover all product groups, packaging materials in contact with food (if applicable), all process steps of logistics services at the certified site including decentralised structures, if applicable.	***Questions:*** – Does risk management/HACCP system cover all product groups, food contact packaging materials, if applicable, and processes? – Which processes are laid down? Do they comply with practical work? – Are all logistics processing service(s) visualized comprehensively, if applicable? – Are all decentralized structures identified and included? – How are outsourced processes considered in the HACCP/risk assessment plan? ***Documentation:*** – product groups overview – location structure, including cross docking facilities, distribution hubs, etc. – available flow chart(s) with all relevant process steps ***Advice for auditors:*** *The HACCP/risk management system plan should also pay close attention to outsourced processes.*

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2.2.2	**Hazard analysis and risk assessment team**	
2.2.2.1	The product safety management team shall be a multidisciplinary team with appropriate specific knowledge and expertise of activities across the whole facility. The team shall have strong senior management support.	***Questions:*** – Who is a HACCP/risk management team member? – Which departments/functions are included in the HACCP/risk management team? – How have the departments/functions necessary to be included determined for the team? – What hazards are connected to the product or process, which means: is the knowledge available in the team? ***Documentation:*** – job descriptions – team matrix – HACCP/risk management system – organization chart
2.2.2.2	Those responsible for the development and maintenance of the product safety management system shall have received appropriate training in the application of the hazard analysis and risk assessment / HACCP principles and specific knowledge of the logistics services and product scopes. A team leader shall be designated.	***Questions:*** – Is a team leader in place who evidentially has specific knowledge about content and application of risk and/or HACCP management? – Has the team sufficient competence/knowledge to manage and ensure product safety? – Does the company use an external expert? If yes: does a contract exist with an external expert? ***Documentation:*** – service or consulting contracts – process descriptions – HACCP/risk management system – professional education – (advanced) training documents – proof of competences ***Advice for auditors:*** *Requirement is directly linked to requirement 2.2.2.1.*
2.2.3	**Hazard analysis and risk assessment**	
2.2.3.1	**Describe the logistics services** A full description of logistics services shall be available for all product scopes and shall include relevant information concerning product safety, e.g. handling, storage, transport, delivery means and respective conditions.	***Questions:*** – Is a full description of services (including logistics processing services, if any) in place for all product scopes handled on-site? – Are open products handled? – Are product(s) (groups) clustered to different storage conditions? – Are all product safety aspects covered? ***Documentation:*** – description of service(s), including customer requirements – descriptions for logistics processing services carried out ***Advice for auditors:*** *Is there a broad description of logistical services available, with respect to the product groups they handle?* *Product groups may be described as, e.g. frozen food (list of products in this group).* *Product information, which are necessary for logistical services, e.g. temperature, packaging, humidity are available.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
2.2.3.2	**Construct flow diagram** A flow diagram shall be documented and maintained for all logistics services including any partly outsourced logistics processing services and decentralised structures, if applicable. The flow diagram shall determine every step and identify each CCP (if determined) and include at a minimum a reference to other control measures. It shall be dated and in the event of any changes, it shall be updated.	***Questions:*** – Are flow charts available for all processes? – Are critical control points and/or control measures visualized? – Are logistics processing services covered by a flow diagram? Are partly outsourced logistics processing services covered as well (if any)? – Are product flows between different locations visualized (e.g. cross docking facilities)? – Are the flow charts dated? – Were there changes, are they traceable? ***Documentation:*** – flow charts for all processes – HACCP/risk management system ***Advice for auditors:*** *Processes of logistical and product specific services are laid down in graphical visualization. Graphics have to be aligned in case of systematically or contextual changes (documents have a date stamp). They are used for proper visualization of processes and demarcation and shows (critical) control points. These flow charts are getting assessed during scheduled verification.*
2.2.3.3	**Conduct a hazard analysis and risk assessment for each step.** A hazard analysis shall be conducted for all possible and reasonably expected physical, chemical (including radiological and allergens) and biological hazards. The 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.	***Questions:*** – Does a hazard analysis exist for each process step? – Are all hazards included and reasonably considered? – Which biological, physical and chemical hazards can be expected? – Is the possibility of radiological hazards considered? – Is the possibility of allergen-cross contamination considered? – Which hazards are considered as significant? – How was the hazard analysis performed? – Is the likely occurrence and the severity of adverse health effects analyzed for each hazard within the processes? – Are risk classes defined? If so, which ones and how? – Are these risk classes reviewed by hazard analysis? ***Documentation:*** – hazard analysis and risk assessment ***Advice for auditors:*** *This specific risk assessment is conducted to define monitoring points (critical control points and control measures within the processes carried out).*
2.2.3.4	**Determine critical control points (CCP) and other control measures** The determination of whether the step at which a control measure is applied is a CCP in the product safety management system shall be facilitated by the application of a decision tree or other tool(s), which demonstrate a logical reasoned approach.	***Questions:*** – If not by decision tree, what tool(s) are used to determine critical control points? – Are CCPs determined and if yes, which ones are defined? – How many CCPs exist? – On the determined CCPs, can the process actually be influenced in a way that eliminates or reduces a product safety hazard? – Which other control measures are determined? ***Documentation:*** – hazard analysis – flow chart – decision tree (or equivalent tool)

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2.2.3.5*	**Establish validated critical limits for each critical control point (CCP)** For each CCP, critical limits shall be defined and validated to identify when a process is out of control.	***Questions:*** – Is a critical limit defined for each CCP? – Which and how many critical limits are defined? – How were the critical limits determined? – On which background are these critical limits based? – Are these critical limits sufficient and effective? ***Documentation:*** – HACCP/risk management system – science based limits
2.2.3.6* **KO N° 3**	**Establish a monitoring system for each critical control point (CCP)** **KO N° 3: Establish a monitoring system for each critical control point (CCP)** **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.** **Records of CCP monitoring shall be verified by a responsible person within the company and maintained for a relevant period.**	***Questions:*** – How are CCPs monitored? – What are the relevant process step for each CCP, including control method, critical limit and control frequency? – Are the CCPs evidently under control? – How is the monitoring of each CCP documented? – Who documents? Who are the responsible employees? – Are date, time, responsible employee and result/reading documented? – How long are CCP records stored? – Where are records stored? ***Documentation:*** – HACCP concept – records concerning CCP´s ***Advice for auditors:*** *If no CCP is defined, this has to be clearly documented in the audit report.* *The evidence (validation) for each CCP must be demonstrated. Worst-case scenarios (e.g. lowest permissible temperatures) are the focus of the evidence.* *Only KO requirement where NA is possible.* ***KO would be given:*** *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*
2.2.3.7	Control measures other than those defined as CCPs shall be monitored, recorded and controlled by measurable or observable criteria.	***Questions:*** – How are other control measures monitored? – Are the other control measures under control? – How is the monitoring of each other control measure documented? – Who documents? Who are the responsible employees? – Are date, time/frequence, responsible employee and results documented? ***Documentation:*** – HACCP concept – records concerning other control measures – Description of the monitoring of all control measures

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2.2.3.8	**Establish corrective actions** In the event that monitoring indicates that a particular control measure defined for a CCP or 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.	***Questions:*** – What corrective actions are defined for each CCP/other control measure? – Is the root cause identified for recent incident(s)? – When is/was the corrective action carried out? – Where are corrective actions documented? – Who documents the performance of corrective actions? – Are non-conforming products also taken into consideration? – Are there corrective actions performed and effectiveness assessed? ***Documentation:*** – CCP and control measure records – corrective actions ***Advice for auditors:*** *The monitoring is defined in Codex Alimentarius: performance. The performance of planned series of monitoring or measurements of parameters, to assess if defined CCP´s are under control. For IFS, this is stretched also for other control measures.*
2.2.3.9	**For food scopes: Validate the HACCP plan** 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 for effectively controlling the identified hazards.	***Questions:*** – How are CCPs or other relevant control measures (re)validated? – How are the objectives/acceptance criteria of validations determined? – Which group of people will be informed about the results of the validation? – Is this group of people sufficiently qualified for this? – How and on which basis is the frequency of re-validation defined? ***Documentation:*** – Planning of validation (procedures and methods) – Change management – (Re-)validation protocol
2.2.3.10*	**Establish verification procedures** Procedures of verification shall be documented, implemented and maintained to confirm that the product safety management system is working correctly. Verification activities of the product safety management system shall be performed at least once within a 12-month period or whenever significant changes occur. These include for example: • internal audits • deviations and non-conformities • complaints The results of this verification shall be recorded and incorporated into the product safety management system.	***Questions:*** – How often is the risk management/HACCP system verified? – What was the date of the last verification? – What was the result of the last verification? – Does the risk management/HACCP system reflect the results of the verification? – What was the last date when the risk management/HACCP system was changed? ***Documentation:*** – audit reports or other reports for verification – corrective action plan results – evaluation of complaints

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3	**Resource management**	
3.1	**Human resources**	
3.1.1	Competences and responsibilities, including delegation of responsibility shall be clearly laid down. Assignment of key roles shall be defined.	***Questions:*** – How are responsibilities and competences defined and regulated? – What key roles have been identified? – For which positions do written job descriptions exist? – What is regulated in the job descriptions? – Who, for example, substitutes QA manager during his/her absence? ***Documentation:*** – process descriptions – function or task descriptions – matrix of responsibilities ***Advice for auditors:*** *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?*
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 of the following areas: • hair and beards • protective clothing (including conditions of use in staff facilities) • hand washing, disinfection and hygiene • eating and drinking, smoking/ • vaping or other use of tobacco • actions to be taken in case of cuts or skin abrasions. • jewellery, personal belongings (including personal medication), • notification of infectious diseases and conditions impacting product safety via a medical screening procedure.	***Questions:*** – What is the policy regarding personnel hygiene? – Do the rules regarding personnel hygiene include hand cleaning, food and beverages, smoking, handling of injuries, fingernails and jewelry, hair and beards? – Are the rules based on a risk analysis? – Where may employees smoke? – How should skin abrasions be treated/covered? – Are further areas identified and taken into consideration? – Specifications for external parties (pest controllers and other service providers) ***Documentation:*** – hygiene rules for employees – risk analysis ***Advice for auditors:*** *The same requirements also apply to technology and external service providers (e.g. pest controllers).*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
3.2.2	The requirements for personal hygiene shall be understood and applied by all relevant personnel, contractors and visitors. Compliance with the personal hygiene requirements shall be checked on a risk-based frequency.	***Questions:*** – How is the hygiene policy communicated? – Are personnel hygiene rules also followed by external service providers/workmen and visitors? – How is it assured that external persons know the relevant hygiene rules? – How are employees monitored during work? – Is employee compliance to hygiene rules checked on a regular basis? ***Documentation:*** – hygiene rules for employees – hygiene rules for visitors – on-site inspection reports – training documents, bulletins – list of identified failures – corrective actions – audit reports ***Advice for auditors:*** *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.*
3.2.3	The protective clothing for employees and visitors shall be appropriate, depending on the logistics services.	***Questions:*** – What are the rules regarding protective clothing? – Is protective clothing rules based on risk analysis? – Is protective clothing appropriate regarding requirements on processes and products? – When must protective clothing and/or working clothes be changed? – Are specific requirements in place for open product handling? ***Documentation:*** – personnel hygiene rules – hazard analysis and HACCP/risk management system – procedure descriptions – rules for personnel hygiene – reasons for type of working clothes and/or protective clothing – hygiene rules for visitors ***Advice for auditors:*** *In the case of higher hygiene requirements, outer pockets are not permitted, and work clothes are changed daily.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
3.2.4	All protective clothing shall be thoroughly and regularly laundered, by approved contractors or by employees. This decision shall be documented and based on risks.	***Questions:*** – Are there any rules for protection and/or working clothes? – How are the clothes going to be cleaned? – Are there differences in cleaning the clothes? – Do employees clean their clothes at home? – Is the cleaning of working clothes based on a hazard analysis and assessment of associated risks? ***Documentation:*** – process descriptions – hygiene rules – hazard analysis or other risk evaluation – service contracts for laundry – internal audit/site inspection records
3.3	**Training and instruction**	
3.3.1*	Documented training and/or instruction programs shall be implemented, with respect to the training needs of the employees based on their position and shall include: • training contents • training frequency • employee's task • languages • qualified trainer/tutor • evaluation of the effectiveness of the training. The realisation of a training and/or instruction program shall be based upon a training plan.	***Questions:*** – Is the training content described? – Who is responsible for training? – What is the evidence of the trainer's qualification? – Are all employees trained in respect to their tasks? – What was the content of the last training session? – Is the language defined? – How are employees speaking another language trained/instructed? – Who participates in the training sessions? – How are the instruction necessities for each employee determined? – How often are training sessions held? ***Documentation:*** – training programs – training plan/schedules – training documents and records – training test results – site inspection records ***Advice for auditors:*** *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.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
3.3.2	The documented training and/or instruction programs shall apply to all personnel, including seasonal and temporary workers, employed in the respective work area. They shall be trained/instructed in accordance with the documented training/instruction programs upon employment and before commencing work.	***Questions:*** – Are prospective permanent employees (if any) trained/instructed upon employment? – Are seasonal and/or temporary employees (if any) trained/instructed upon employment? – Which employees are trained/instructed upon employment? What is the content of these instructions/trainings? – Which seasonal and/or temporary employees are trained/instructed upon employment? What is the content of these instructions? ***Documentation:*** – Training/instruction evidences for all employees – Training/instruction documents – Training/instruction programs – assessment of efficiency
3.4	**Staff facilities**	
3.4.1	Adequate staff facilities shall be provided and shall be proportional in size and equipped for the number of personnel and designed and operated so to minimise product safety risks. Such facilities shall be maintained in a clean way to prevent contamination.	***Questions:*** – How many employees are working at the company? Is there sufficient space in relation to the number of employees? – Do they have access to a cafeteria or any other kind of staff room/area? – Are there locker rooms? – Are restrooms in place? – Are there sanitary rooms? – Are these rooms functioning well and in a clean and proper condition? ***Documentation:*** – plant layout – process descriptions – documents of on-site inspections – cleaning plans and records – contracts with cleaning service providers ***Advice for auditors:*** *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.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
3.4.2	Hand hygiene facilities shall provide: • running potable water at an adequate temperature • adequate cleaning equipment • adequate means for hand drying. **For food scopes:** Where the activities require higher level of hygiene control handling, a hand hygiene station shall be located near the point of entry to handling areas.	***Questions:*** – Is the current situation coherent with the outcome of hazard analysis and assessment of associated risks? – Are all hand washing facilities provided with single use towels, liquid soap and disinfectant? – Are all hand washing facilities provided with cold and hot running water in right temperature? – Is the water potable? – Is the water temperature appropriate? – How is hand drying organized? – Is the equipment for hand hygiene appropriate? Are there single-use paper towels? ***Documentation:*** – HACCP study – Layout plan – (safety) data sheets of used cleaning agents
3.4.3	Where the activities require a higher hygiene control handling, the hand equipment shall provide in addition: • hand contact-free fittings, • hand disinfection, • waste container with hands-free opening.	***Questions:*** – Are all areas provided with hand contact-free fittings, hand disinfection devices and signs or pictograms, where highly perishable products are handled or sorting of fruits and/or vegetables is carried out? – Is the equipment adequate and up-to-standard in these areas? – Is the current situation coherent with the outcome of hazard analysis and assessment of associated risks? ***Documentation:*** – HACCP study – rules for company and or personnel hygiene – instruction manuals and safety data sheets, signs/pictograms

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4	**Realisation of the logistics services**	
4.1	**Customer focus and contract agreement**	
4.1.1	A procedure shall be implemented and maintained to identify the fundamental needs and expectations of customers. The feedback from this process shall be used as input for the company's continuous improvement.	***Questions:*** – How and how often are fundamental customer needs and expectations identified? Which method is used, e.g. questionnaire/survey, regular appraisals, annual customer meetings? – What are the fundamental needs and expectations of customers? – What were the results of the last customer survey? – How were these results evaluated regarding quality and product safety objectives? – Do identified customer needs and expectations have influence on the logistical processes? ***Documentation:*** – questionnaire/survey regarding customer needs and expectations – meeting minutes – records of regular appraisals – process descriptions evaluations of customer needs – evaluations of customer surveys or regular appraisals – quality objectives – Training plans ***Advice for auditors:*** *This requirement is about the determination of customer expectations, their evaluation/analysis, and the planning of the derived improvements like faster delivery, less transport damage, etc. and how it is considered for the company's continuous improvement.*
4.1.2*	The requirement defines that contract/customer agreements shall exist between the contract partners and shall be established (e.g. via specification), agreed on and reviewed concerning their acceptability and legality before the supply agreement is concluded. All requirements related to product safety and quality in agreement with customers, and any revision of these clauses, shall be communicated to and implemented by each relevant department.	***Questions:*** – Do written supply agreements with customers exist? – Which other agreements exist (specifications, transport orders)? – Are there specific customer requirements for the handled products? – Who reviews and approves customer requirements? – How are the customer requirements in relation to product safety and quality communicated to the relevant departments? ***Documentation:*** – customer agreements/contracts/specifications – delivery terms, service contracts, transport orders – working instructions – process description(s)

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.1.3* **KO N°4**	**KO N° 4: Customer agreements related to the following shall be complied with:** • **product selection** • **process and technological requirements** • **logistics services (when they have an impact on product safety and quality)** • **packaging** • **other specific customer requirements that have an impact on product safety and quality**	***Questions:*** – What customer agreements are in place? – To which of the bullet points the customer agreement(s) relate(s) to? – How is the process on implementing and monitoring customer specific requirements defined and carried out? – Are any logistics processing services carried out for the customer? Does the customer foresee partly outsourcing of such services? ***Documentation:*** – Customer agreements – Procedure descriptions including customer related requirements – Working instructions ***KO would be given:*** If customer requirements are not considered and/or transferred into the companies processes.
4.1.4	A procedure to control the creation, approval and amendment of a contractual agreement shall be documented, implemented and maintained. The procedure shall be reviewed and updated, whenever significant changes occur. This shall include, at a minimum: • changes to existing contractual agreements • compliance of agreed logistics services (e.g. punctuality of delivery) If compliance of the agreed services is not possible the customer shall be informed promptly.	***Questions:*** – How is the procedure structured? – Are contractual agreements set up by the logistics itself? If so, who is able/responsible for creating contractual agreements? – Who is able/responsible for approving customer contracts/ agreements? – How are changes on already existing agreements or contracts managed? Are there examples? – How is it ensured that customers are informed about changes? – How is the communication managed in case of changes? – How is it ensured that customers are informed promptly, when compliance to the agreed service is not possible? By whom is the customer informed? – Are clear procedures and timeframes in place? ***Documentation:*** – notes of changes within delivery terms, additions on contracts – process descriptions – customer agreements/contracts – written communications or conversation notes – list of emergency numbers – minutes – training documents ***Advice for auditors:*** *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.*

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.2	**Performance of suppliers and service providers**	
4.2.1	**Approval and monitoring (supplier management)**	
4.2.1.1*	A procedure for the approval and monitoring of suppliers which are critical for the logistics service (internal and external) including service providers shall be developed, implemented and maintained. This procedure shall contain, at a minimum: • required performance standards (e.g. certification, etc.) • exceptional situations (e.g. emergency use) • and additional criteria based on risks, for example: • audits performed by an experienced and competent person • supplier reliability, • certificates of compliance • complaints	***Questions:*** – Does an approval procedure exist for (new) suppliers and service providers? – Which criteria are defined for suppliers or service providers approval? – How are suppliers and service providers monitored? Is there a systematic approach? – Which suppliers or service providers holding third party certificates? – Are own audits on supplier and/or service provider carried out? – How are the risk based criteria identified? – Which risks have been identified? – Have suppliers or service providers been blocked or withdrawn within the last year? How is a blocked or withdrawn supplier or service provider identified? – How can it be seen if a supplier/service provider is graded and is that recognizable? – How is supplier performance monitored? ***Documentation:*** – risk analysis – complaint file – supplier procedures – certificates / audit reports of supplier audits – supplier monitoring systems ***Advice for auditors:*** *Suppliers can be pest control, laundry services, etc.* *Service providers are transport and storage service providers.* *Logistics processing services **are not** considered service providers, but partly outsourced processes. See requirements 4.2.4.*
4.2.1.2	The 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.	***Questions:*** – Who reviews the results of supplier or service provider assessments? – How often are the results of supplier or service provider assessments reviewed? – What actions are taken after review of the results for supplier or service provider assessments? – How are these actions handled? – Are some suppliers/service providers going to be blocked? – Do responsible persons, which use such suppliers/service providers, know the assessment system and the results or rather resulting actions? ***Documentation:*** – results from supplier assessment and measurement sheet – audit results – procedure description(s) – minutes – evidences of performance data

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.2.1.2		***Advice for auditors:*** *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. The intention is to ensure that within this period, it is assessed whether the supplier is still compliant, and the risk is assessed.* *Each delivery/service is evaluated within the framework of the acceptance of the service based on 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.*
4.2.2	**Storage service providers**	
4.2.2.1	Where a company hires a third-party storage service provider, the service provider shall be certified to IFS Logistics or any other equivalent standard (for example: 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.	***Questions:*** – Is storage area rented at a storage service provider? – With how many storage service providers is the company working? – Does a related contract exist? Are customer relevant specifics covered in these contracts (if necessary?) – What is exactly specified in this contract? – Does the storage service provider have an IFS Logistics or other scope specific GFSI certification? ***Documentation:*** – procedure descriptions – service provider contracts – product requirements referred to customer demands – service provider audits – IFS Logistics certificate or equivalent (GFSI certification) of service providers – own monitoring measures and/or audit documents
4.2.2.2	The employees of the third-party service provider shall understand and apply the personnel hygiene requirements of the company.	***Questions:*** – What hygiene rules are in force for service providers? – How is it ensured that employees of the service provider know the hygiene guidelines? – How is compliance ensured? ***Documentation:*** – hygiene rules – evidences of training or instruction – audit results and on-site audits

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.2.3	**Transport service providers**	
4.2.3.1	Where a company hires a third-party transport service provider, the service provider shall be certified to IFS Logistics or any other equivalent standard (for example: 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.	***Questions:*** – Are third-party service providers used for transportation? With how many transport service providers the company is working? – Does a contract exist with these transport services providers? Are customer relevant specifics covered in these contracts (if necessary?) – What content is included in this contract? – How are the requirements ensured through evidences? – Does the transport service provider have an IFS Logistics or other GFSI recognized certification? ***Documentation:*** – service provider contracts – list of service providers – certificate copies – transportation orders – supplier assessments
4.2.3.2	The drivers of the third-party service provider shall understand and apply the personnel hygiene requirements of the company.	***Questions:*** – How is it ensured that employees of the logistics service provider know and follow the hygiene requirements of the company? – How are the hygiene requirements conveyed? ***Documentation:*** – procedure descriptions – contracts of service providers – hygiene requirements – training and/or instruction evidences – internal audit documents
4.2.3.3	Where a company hires a third-party service provider on an irregular basis for the transport of packed products (spot market), the service provider shall be certified to IFS Logistics or any other equivalent standard (for example: GFSI recognised certification standard covering the respective scope of activity). If not, all relevant requirements specified below shall be fulfilled and this shall be defined and agreed in the respective contract: • the transport units and truck shall be clean • the service provider shall ensure the temperature of product is controlled • different products shall be clearly separated • there shall be absence of smells and other contamination (4.3.1) • requirement 4.1.4 shall be fulfilled • requirement 5.4 shall be fulfilled • requirements 5.7 shall be fulfilled. If the product is forwarded to another service provider, these defined requirements shall be met.	***Questions:*** – is the spot market used? From which spot-markets are services purchased? – What kind of products are transported via spot market? – Are specific customers affected? Do they allow transportation via spot-market? – Have relevant short-term contracts been set-up including all relevant requirements? – Does the transport service provider have an IFS Logistics (or equivalent) certification? If not: do short-term contracts exist with can be connected with or traced back to the specific delivery? ***Documentation:*** – procedure descriptions – short-term contracts with service providers – transportation orders with requirements – copies of IFS Logistics certificates – temperature records – related customer contracts

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.2.3.4	Where a company hires a third-party service provider (parcel service providers for the transport of a packed products (spot market)), it shall be ensured that the integrity and safety of the product is not compromised during the whole journey and that the general terms and conditions of the parcel service provider are respected. Risk-based control measure shall be implemented based on a "worst case scenario"	***Questions:*** – Are products send to customers via parcels? If so, which ones? – Are temperature-controlled products send via parcel service to the customer? If so, is ensured that there are no restrictions made by the parcel service provider in that regard? – How is ensured that the integrity and/or safety is not compromised during transport and storage? What preventive measures (e.g. packaging, cooling agents) are established and used to avoid non-conformities? – What control measures are implemented? – Which worse-case scenarios have been identified? – Have there been complaints received in regard to products sent via parcel service? What was the follow up on it? ***Documents:*** – General terms and conditions of used parcel service providers – Product list of products fit for parcel distribution – Procedure description for distribution via parcel service – HACCP system – Complaint files
4.2.4	**Partly outsourced logistics processing services**	
4.2.4.1*	In the case that part of the logistics processing service is outsourced this shall be documented in the product safety and quality management system and such processes shall be controlled to guarantee that product safety, product quality, legality and authenticity are not compromised. Control of such outsourced services shall be identified and documented. When required by the customer, evidence that they have been informed and have agreed to such outsourced services shall be provided.	***Questions:*** – Are logistics processing services performed by the company, additionally outsourced to another service provider? – Which customers are affected by this partial outsourcing? Is ensured that no affected customer is prohibiting outsourcing of such activities? – What control mechanisms are in place to ensure product safety, product quality, legality and authenticity? ***Documentation:*** – Product safety and quality management system – HACCP study – Customer agreements/contrcts ***Advice for auditors:*** *Partly outsourced logistics processing services are services performed by the logistics site and additionally partly outsourced.* *Logistics processing services are activities performed additionally to the storage service (see Part 1, chart 2):* *a) freezing/thawing processes* *b) ripening of fruit and vegetables* *c) simple sorting of fruit and vegetables based on qualitative aspects* *d) packing of prepacked products* *e) labelling with regards to the application of existing labels on packed products intended for the final consumer*

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.2.4.2	An agreement shall be documented and implemented, covering the outsourced services and describing any arrangements made, including in-process controls and monitoring plan.	***Questions:*** – *Are agreements in place for all service providers used for logistics processing services? Do they cover all relevant points in regard to* product safety, product quality, legality and authenticity of the specific products? – What in-process controls and monitoring measures are defined? – How and when does the company get records/results of such controls and monitorings? – How is the process on amending agreements in case of changes needed (e.g. changed requirements on in-process controls or monitoring plans)? ***Documentation:*** – Agreement with service provider – Records of in-process controls and or monitoring measures
4.2.4.3	Service provider of the outsourced services shall be approved through: • certification to IFS Food or any other GFSI recognised food safety certification standard, or • certification to IFS Logistics or any other equivalent standard (for example: GFSI recognised certification standard covering the respective scope of activity), or • documented supplier audit, performed by an experienced and competent person, which shall include, at a minimum, requirements for product safety, quality, legality and authenticity.	***Questions:*** – Are the approval requirements laid down in a procedure description? – Who is responsible for carrying out the approval process? – In case of supplier audit: what is the frequence of the supplier audits? What were the last results of the supplier audits? – Who is conducting supplier audits? How is the competence of this person ensured? ***Documents:*** – Current valid third party certificates – Supplier audit reports – Evidence of competence for auditor
4.3	**Specific requirements for product handling**	
4.3.1*	Procedures to prevent any contamination during storage, transport, including loading and unloading (also cross-contamination caused by incompatible products in the same transport unit or storage room) shall be documented, implemented and maintained. Contamination by emissions, exhaust fumes, smells, foreign bodies, packaging materials and any other contaminants shall be avoided. Different categories of goods (food/non-food) shall be taken into consideration, if applicable.	***Questions:*** – What procedures are in place to avoid cross-contamination? – What allergens are present in the company? – Is an allergen plan established on-site? – Have all relevant categories of products been considered? – Where are different product groups stored? – How is cross-contamination avoided? – What are the general avoiding strategies? How are they implemented and maintained? ***Documentation:*** – process descriptions – hazard analysis or risk assessment – product flow plan – principles for storage and transportation – training documents

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.3.2	Hoses, pumps, filters of tankers (tank-containers, etc.) shall be in good condition and protected from contamination during transport.	***Questions:*** – How is it ensured that pumps, hoses and filters of tanks, which are in contact with food (liquid, granular or powder), are technically and hygienically in good condition? – How are the technical components protected during transportation? – Are the protection devices in a good condition and functional? – Are objective evidences in place for technical and hygienic conditions of the technical components (e.g. hoses, pumps, filter, filter-neck)? ***Documentation:*** – procedure descriptions – checking documents – evidences of cleaning
4.3.3	If the customer requirements include the requirement for the absence of defined ingredients (e.g. GMO, allergens), measures shall be in place to prevent cross-contamination of open product (not covered or protected).	***Questions:*** – Do customers demand that certain substances are not included in the products (e.g. traces of GMO or allergens in tanks, meat in transport boxes, etc.)? – If yes, how is it managed? What procedures are implemented? – Are customer requirements existing for not having specific ingredients included? – Which actions are taken in such cases? ***Documentation:*** – customer requirements, customer agreements – implemented procedures, e.g. cleaning evidences – certificates (e.g. without GMO) – minutes – HACCP system – training materials – audit documents
4.3.4	In areas where open product (not covered or protected) is handled, the presence of glass and/or brittle materials shall pose no risks to product safety.	***Questions:*** – are open products handled? – are there risks on glass and/or brittle material contamination? – Is all lighting equipment installed in areas where open products are handled secured? – are e.g UV-fly-lamps included? ***Documentation:*** – procedure descriptions – risk analysis about contamination of glass – HACCP/risk management system – on-site inspection documents – maintenance documents – evidences/certificates of shatter protection of light bulbs/tubes/pipes

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.3.5	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 environment and releasing the area for continued process.	***Questions:*** – Are procedures documented and implemented based on 4.3.4? – How is it ensured that contamination is avoided? – How is the procedure managed? – What cleaning methods are implemented? – What blocking/hold and realizing procedures are implemented in that case? ***Documentation:*** – procedure descriptions – procedures about glass shattering – matrix of responsibilities
4.3.6	Specific demanded requirements regarding non-food product safety and/or protection of the environment (e.g. packing of damageable non-food products like electronic devices) shall be met.	***Questions:*** – Are there specific requirements for certain non-food products based on risk assessment (see 2.2.3)? – Do specific customer requirements exist for non-food products? – How are measures monitored? ***Documentation:*** – customer specification, customer agreement – customer or service contracts – process descriptions – training materials – checking records – audit documents – on-site inspection documents
4.3.7*	Where the logistics processing services of labelling applies the company shall ensure that the coded packing and labelling in use corresponds to the product being packed and complies with the customer agreement. This shall be regularly checked and documented.	***Questions:*** – what kind of labelling activities are carried out? – How is the labelling process structured? – For which customers and products are labelling activities carried out? – How is it ensured that specific customer requirements are considered within the labelling process? – How does the company verify that the product corresponds to the coded packaging and the relevant label? – What happens in case of surplus labels or coded packing materials? ***Documentation:*** – Procedure description – Customer agreement – Process and monitoring records ***Advice for auditors:*** *The labelling service is only allowed as long as the customer is fully responsible for the content. The specifications shall be established and agreed in the customer contract.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.4	**Traceability**	
4.4.1*	A traceability system shall be documented, implemented and maintained, that enables the identification of goods (incl. mass balance/quantity) within the defined logistics supply chain (including decentralised structures, if applicable) at all times. Furthermore, this system shall enable clear identification of every person and/or logistics company from which the goods are received and to which customer the goods are delivered to.	***Questions:*** – How is traceability ensured? – How is the system for traceability built up? Does it include external storages, cross docking facilities, service providers etc.? – How is the system maintained? – Is there the possibility to investigate customer specific goods receipt and goods issue? – Is there the possibility to locate defined amounts (e.g. one lot) at all times? – Is it possible at all times to assign the product/client/location, including decentralized structures? – Is it retraceable, which product was delivered by which supplier, to which client (incl. quantity) at what time? – Is it possible to determine what truck delivered the goods? – Is it possible to determine the addressee? – Is it possible to determine how and when the goods were delivered to the addressee? – Is it possible to determine the current location of the goods? ***Documentation:*** – process descriptions/traceability procedures – goods receiving documents – documents concerning transport, storage, goods and quantity – receiving and issuing documents – results of warehouse system – stock taking data – disposal records – RFID data
4.4.2	An updated record shall be kept for all customers and quantity of the customer goods under their control. In the storage area (including decentralised structures, if applicable), the products shall be assigned to a customer.	***Questions:*** – How are customers registered? – How is it ensured that all stored goods are linked to the customers? – How is it ensured that each item could be clearly identified? – Is a current list of clients available? – Is it possible to get a complete list of products and amounts which are currently stored? – Does this list show the amount, link to customer and the stock area where the products are stored? ***Documentation:*** – list of customers – stock management system – overview about products/amounts and stock yard

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.4.3*	The traceability, including mass balance/quantity, shall be tested at least once within a 12-month period or whenever significant changes occur. 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.	***Questions:*** – When was the last test realized? – Are specific customer requirements to be considered? – Does the test include all necessary parameters and both directions of traceability? Has a physical check of left on-stock products (if any) included into the test? – Was it possible to investigate the traced amount of products? – Was the test recorded, especially the result? Was it evaluated? – Were there possibilities for improvements? – Have actions been taken? If so, were they implemented and the efficiency checked? ***Documentation:*** – process descriptions – test documents and results – evaluation protocols – action plans
4.5	**Product fraud and product defence**	
4.5.1	The responsibilities shall be defined for the product fraud vulnerability assessment and mitigation plan as well as for the product defence. The responsible person(s) shall have the appropriate and specific knowledge.	***Questions:*** – Who is responsible for the product fraud vulnerability assessment? – Who is responsible for the product defence threat assessment? – How are these responsibilities connected to the key staff? – Are employees teamed up for these specific assessments? – Where is/are the responsibility(ies) laid down? – Is the required knowledge in place? ***Documentation:*** – procedure descriptions – job descriptions – organization chart – training evidences and/or work experience *Further information specific to Product Fraud can be found in the IFS Guideline for Product Fraud Prevention.*
4.5.2*	A documented product fraud vulnerability assessment including assessment criteria, shall be documented, implemented and maintained. The scope of the assessment shall cover all goods, as well as all activities of the company and partly outsourced logistics processing services (if applicable) to determine the risks of fraudulent activity in relation to substitution, mislabelling, adulteration or counterfeiting.	***Questions:*** – What methodology was used for the vulnerability assessment? – What were criteria for vulnerability assessment? – Did the company use the IFS Food Frau Mitigation Guideline? – Are all products and processes, especially the logistics processing services part of the vulnerability assessment? – Are partly outsourced logistics processing services considered in this assessment? – How often is the vulnerability assessment performed? – Are specific customer requirements in place in regard to product fraud? – Which products/processes have the highest risk in the vulnerability assessment? – What conclusions are drawn from the vulnerability assessment? – Which product groups were identified as risky in the vulnerability assessment? – Which criteria were selected in the vulnerability assessment?

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.5.2*		***Documentation:*** – Vulnerability assessment – List of products and processes – Customer agreements/specifications ***Advice for auditors:*** *Substitution and counterfeiting could be expected throughout storage, transport and other services (e.g., logistics processing service: re-packing, labelling, simple sorting of fruits and vegetables) involving goods within the logistics sector. The fraudsters could use the logistic supply chain to substitute or adulterate raw materials, particularly loose or unpackaged product, or use the legitimate supply chain system to place counterfeit product onto the market. Mislabeling is also considered as fraud, for example when best before dates are extended during re-packing or packing activities. Another example is the dilution with water poured into tankers.*
4.5.3	A product fraud mitigation plan shall be documented, implemented and maintained, with reference to the vulnerability assessment. It shall also include testing and monitoring methods.	***Questions:*** – 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? ***Documentation:*** – Mitigation plan – Procedure description – Customer agreements/specifications ***Advice for auditors:*** *Certified companies have access to the IFS Food Fraud Fact Sheets Brochure, which can help identify risks.*
4.5.4*	A product defence procedure and plan shall be documented, implemented and maintained to identify potential threats (internal and external) and define product defence measures. This shall include, at a minimum: • legal requirements (evidence of registration or on-site inspections necessary) • identification of critical areas and/or practices and policy of access by employees • visitors and contractors • how external inspections and regulatory visits are to be managed	***Questions:*** – Is a thread analysis in place? – What areas are identified as critical to security? – Are these areas included in internal audits or on-site inspections? – How is the alert system constructed and when does it come into force? – Who is responsible for the periodical testing? – Is a registration necessary for this location? – Are there on-site inspections necessary based on legislation? – Where are evidences stored?

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4.5.4*	• site security conditions • transportation, shipping, receiving and dispatch of goods • IT (cyberattack) • any other appropriate measures The criteria considered in the vulnerability assessment shall be defined. An appropriate alert system shall be defined and periodically tested for effectiveness.	***Documentation:*** – procedure descriptions – concept for product defense – hazard analysis and risk assessment – action plans – emergency plan – registration and/or inspection documents – legal requirements about registration and/or inspection obligation ***Advice for auditors:*** *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*
4.5.5	The product defence plan and product fraud vulnerability assessment shall be reviewed at least once within a 12-month period or whenever significant changes occur. If necessary, the product fraud mitigation plan shall be updated accordingly.	***Questions:*** – When has the products defence plan been updated the last time? – When has the mitigation plan been updated the last time? – What content in the anti-food fraud plan has been adjusted recently? – What does the company consider as "significant" change? – Which criteria are used to review the vulnerability assessment? – What criteria are used to review the product defence plan? – Which points of the vulnerability assessment are checked? – How are new fraud risks identified and to what extent are these influencing the current assessment? ***Documentation:*** – Vulnerability assessment – Mitigation plan – Product defence plan
4.6	**Site exterior**	
4.6.1	All external areas of the site shall be clean, tidy and designed and maintained in a way to prevent contamination. Where natural drainage is inadequate, a suitable drainage system shall be installed.	***Questions:*** – Is the factory exterior in a clean and tidy condition? – Is a drainage system installed? – Are there requirements for cleaning of the factory exterior? – Is the factory exterior part of the cleaning plan? – Are factory exteriors checked through on-site inspections and/or internal audits? ***Documentation:*** – process descriptions – cleaning plans – on-site inspection results/audit results

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4.6.2	Outdoor storage shall be kept to a minimum. Where goods are stored for a short time, this process shall be validated and it shall be ensured that there are no contamination risks or adverse effects on product safety and quality.	***Questions:*** – Are products stored outside? If so, which ones and for how long? – What risks or adverse effects have been identified for the specific products? – Has a validation been performed? – What preventive and/or monitoring actions are in place? – Are corrective actions already in place for outside storage? ***Documentation:*** – procedure descriptions – validation record – HACCP/risk management system – hygiene and safety rules – documents for pest control – product defense concept – list of products which are stored outside – hazard analysis – preventive and/or corrective actions
4.7	**Storage and handling premises**	
4.7.1	**Constructional requirements**	
4.7.1.1	The working environment shall not compromise product safety and product quality. Site premises and equipment shall be designed, built and maintained to prevent pest infestation.	***Questions:*** – Is pest infestation prevented through specific design and/or measures? – Which parts of the company are considered as working environment? – How often are these parts assessed? – What is the frequence of the on-site inspections? – Are specific areas secured? ***Documentation:*** – process descriptions – technical and legal requirements – site layout – on-site audit/inspection documents – audit results
4.7.1.2	All working areas shall have adequate levels of light.	***Questions:*** – How is it ensured that all working areas are adequately illuminated? – Are there regular inspections on the lighting equipment? – Is there a status quo testing of the lightning situation? ***Documentation:*** – inspection documents – legal requirements on working space environment – measuring results

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4.7.1.3	The loading/unloading area shall be appropriate for the intended use. It 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.	***Questions:*** – How are the loading areas designed (e.g. fully "open" or designed with overhead roofs, sidewalls, PVC strip curtains)? – Is condensed water, leaky spots or mould detected? – Are the exterior areas of the loading area in a proper condition? – Is cleaning of the loading area possible? – Is the loading area part of the cleaning plan? – How often is cleaning of the loading area carried out? – Is the loading area weatherproof (i.e. wind, rain, snow or ice)? – How is the loading process organized? ***Documentation:*** – cleaning plans and documentation – audit results and on-site inspections – procedure descriptions
4.7.1.4	The floor, walls, ceiling/overheads shall be designed, constructed and maintained to minimise the accumulation of dirt/debris and condensation and shall not pose any physical and/or microbiological contamination risks.	***Questions:*** – Are floor, walls and ceilings in a proper condition? – Are ground, walls and ceilings part of a cleaning planning and functional? – How often are site-inspections carried out? – When was the last maintenance activity carried out on floors, walls, ceilings/overheads? – is there a possibility of vermin/pest access? – Are walls and/or ceilings moldy? ***Documentation:*** – procedure descriptions – cleaning plans and records – records of on-site inspections – minutes of regular pest inspections – audit results
4.7.1.5	Windows, doors, gates and other openings shall be designed and constructed to avoid the accumulation of dirt/debris and shall also be maintained in a way to prevent contamination and shall be kept closed if not used.	***Questions:*** – What entrances does the building have? – Are windows, doors and gates able to close completely? – Can windows, doors and gates fulfill their functions? – Are windows, doors and gates part of the cleaning plan? – Are windows, doors and gates damaged in a way that they are out of function (i.e. damaged)? – Are windows, doors and gates part of on-site inspections? – Are windows, doors and gates closed while not in use? – Are emergency exits functional and accessible? ***Documentation:*** – procedure descriptions – cleaning plans and related records – on-site inspection minutes – product defense analysis and assessment – notes for working assignments or instructions

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4.7.2	**Air conditioning/ventilation; compressed air and gases; water (including ice and steam)**	
4.7.2.1	Air conditioning/chilled air equipment and artificially generated airflow shall not compromise product safety and quality and shall be adequately maintained and based on risks cleaned frequently.	***Questions:*** – What types of air conditioning and/or artificially generated airflow is used (for storage and transport)? – How is this equipment maintained and cleaned? – How often is the cleaning carried out? Have there been occasions on which the cleaning frequency has been rearranged? – Is this equipment included in the system of maintenance? – Is there evidence of maintenance? ***Documentation:*** – Flow chart(s) – maintenance schedules – maintenance documentation – cleaning protocols/records
4.7.2.2	The quality of compressed air/gases that comes in direct contact with the foodstuff or food contact materials shall be monitored based on risks. Compressed air/gases shall not pose contamination risks.	***Questions:*** – Is compressed air used in logistical processes? If so, for which products/processes? – When and how often is compressed air used in the process? – Is the process of using compressed air based on risks? – Is a contamination excluded by using compressed air? – Are all risks identified and assessed? ***Documentation:*** – procedure descriptions – HACCP/risk management system – rules for using materials – risk based assessment – evidences of efficiency – analyses values – technical expertise
4.7.2.3*	In case of breakdown of the air conditioning/chilled system and/or in the event of deviations from the target temperature, an alarm system shall be in place. Effective emergency corrective action procedures shall be in place ensuring product safety and quality is not compromised.	***Questions:*** – What happens in case of an incident? – Is there a procedure for incidents, including corrective actions? – Is there an alarm system and/or an alarm list? – What happens in case of breakdown of air conditioning? – What happens in case of a deviation of the target temperature? – When was the last incident and which measures have been taken? – Is the procedure for emergencies checked for efficiency? ***Documentation:*** – process descriptions – HACCP/risk management system – parameters for alarm and emergency situations – bulletins – training evidences – audit documents – temperature records – defined corrective actions – legal requirements (e.g. Regulation (EC) N° 852/2004) – technical descriptions

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.7.2.4	Water which is used for hand washing, cleaning and disinfection, shall be of potable quality at the point of use and supplied in sufficient quantities; this also applies to steam and ice used with direct contact with the foodstuffs or packaging dedicated for foodstuffs. The quality of water (including recycled water), steam or ice shall be monitored following a risk-based sampling plan.	***Questions:*** – Is recycled water used within the processes? – Is the water used for all hand washing applications potable? – Is steam and/or ice used with direct contact with the foodstuffs or packaging dedicated for foodstuffs? – Is water and/or ice used within the logistical processes? – Is a contamination mitigated in case of usage/storage of ice and water? – Are all risks taken into consideration for defining the sampling plan? ***Documentation:*** – process descriptions – HACCP/risk management system – use and storage requirements – risk based sampling plan – analyses results
4.7.2.5	Non-potable water, or recycled water, which is used in the process, shall not pose contamination risks. 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 site environment.	***Questions:*** – 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? ***Documentation:*** – Plant layout including piping – Water flow plan
4.8	**Cleaning and disinfection**	
4.8.1*	Risk-based cleaning and disinfection schedules shall be documented and implemented. These shall specify: • objectives • responsibilities • the products used and their instructions for use • the areas to be cleaned and/or disinfected • cleaning and disinfection frequency • documentation requirements • hazard symbols (if necessary).	***Questions:*** – Are cleaning schedules in place for all relevant areas? – Who is in charge of cleaning and disinfection (internal/external)? – What kind of cleaning products and disinfectants are used? – What is considered when using different cleaning products and disinfectants? – What areas are cleaned and disinfected? – How often are areas cleaned and disinfected? – Where are cleaning and disinfection procedures documented? – are hazard symbols used (when necessary)? – Does a contract exist for external service providers? ***Documentation:*** – Risk-based assessment – cleaning schedules – up-to-date cleaning products and disinfectants list – instructions for use – cleaning procedures documentation – cleaning records ***Advice for auditors:*** *Cleaning schedules may also contain instructions.*

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4.8.2	Risk-based hygiene requirements for all transport vehicles and equipment (relevant for bulk transportation), which could have an impact on the foodstuffs, used for loading/unloading (e.g. hoses of silo installations, pumps, filters of tankers tank-containers, etc.) shall be implemented. Measures taken shall be recorded.	***Questions:*** – Is bulk transportation carried out? If so, what are the requirements for cleaning of transport vehicles and their equipment? – Are all necessary and relevant equipment considered in the risk assessment? – How often is cleaning (and disinfection) scheduled and carried out? – Are measures recorded? – Which hygiene requirements are drawn from the risk assessment? ***Documentation:*** – Risk based assessment – Equipment list for bulk transportation equipment – Cleaning schedules and instructions – Cleaning records and/or certificates
4.8.3	The intended use of cleaning, disinfection equipment and chemicals shall be clearly identified. It shall be used and stored in a way to avoid contamination.	***Questions:*** – How are cleaning utensils and chemicals labelled? – Where are cleaning and disinfection utensils and chemicals stored? – Is there a specific declaration for such? – Is there a list including all cleaning and disinfection materials? ***Documentation:*** – process descriptions – hazardous materials/cleaning materials list – storage list or ground plan/storage area ***Advice for auditors:*** *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.*
4.8.4	For transport containers (e.g. tankers, rail tankers), which are used for the transportation of liquid, granular and powdered unpackaged food products, a minimum of the following cleaning and disinfection measures shall be implemented: • the cleaning and disinfection measures shall be appropriate for the type of product • the cleaning and disinfection measures of the transport container shall include all associated working equipment (e.g., hoses, valves, strainers)	***Questions:*** – Does the company use transport containers for liquid, granular and powders unpackaged products? – Is there a cleaning plan available for these kinds of transport containers? – Is the cleaning procedure adequate? – Are the substances used for cleaning adequate? – How are cleaning and disinfection performed? – What cleaning aims are defined? – How is it ensured that the measurements are effective? – What test methods are used? – By whom is the cleaning performed (internal/external)? – Are evidences of training in place? – Are markers/seals/logos used? – Is there a contract in place? ***Documentation:*** – procedure descriptions – cleaning plans – cleaning evidences – certificates – training evidences – safety data sheets – safe operating procedures for hazardous materials

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.8.4	• objective evidence shall be available for the control of cleaning and disinfection measures of transport containers (e.g. records, certificates). The effectiveness of cleaning and disinfection measures shall be made known to the cleaning staff. The cleaning staff shall be trained on cleaning procedures	
4.8.5	Cleaning and disinfection of the transport unit (e.g. containers with products) shall be performed with consideration to the specific hygienic requirements and product risks. Cleaning certificates or other objective evidence that effective cleaning has been carried out shall be available, if required by law or by the customer(s).	***Questions:*** – Where are the cleaning measures documented? – Are the hygiene conditions checked before loading? – Is the checking documented? – What happens if the hygiene conditions of the transport loading platform do not meet the hygiene requirements of the products? – Which corrections and corrective actions are initiated in that case? – Do evidences for cleaning of granular, liquid and powdered unpackaged food products exist? – Are containers for loose goods sealed after cleaning, or rather labelled as cleaned? ***Documentation:*** – procedure descriptions – checking documents – evidences of cleaning
4.8.6	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.	***Questions:*** – Are material safety data sheets available for all cleaning chemicals? – Are cleaning chemicals instructions up-to-date? – How are instructions transmitted to personnel in charge of cleaning procedures? – Where and when can the instructions be inspected? ***Documentation:*** – training evidences – safety data sheets – safe operating procedure for hazardous materials
4.8.7	The effectiveness of the cleaning and disinfection process shall be verified. 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.	***Questions:*** – How is the verification of effectiveness of cleaning and disinfection measures carried out? – Who performs these verifications? – How often is the verification cleaning and disinfection performed? – Where is verification of cleaning and disinfection measures documented? – When are corrective actions executed? – Who executes corrective actions? – Who reviews effectiveness of corrective actions? – Where are corrective actions documented? ***Documentation:*** – records of cleaning and disinfection activities – cleaning controls – corrective actions – records of site-inspection – rapid testing results/certificates of analyses

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.8.8	Where a company hires a third-party service provider for cleaning and disinfection of on-site activities and externally (e.g. cleaning of truck/ containers), a contract shall be made which includes a minimum of the following: • cleaning and disinfection frequency • documentation requirements • products used and their instructions for use • areas to be cleaned and/or disinfected. The effectiveness of the cleaning and disinfection measures shall be verified.	***Questions:*** – Does the company use an external service provider for cleaning and disinfection? – Is a valid contract in place covering all necessary points? – What content is regulated in the contract? – Is there a current assessment of this provider available? – Are the activities of this service provider checked? – Are the cleaning materials/chemicals known and adequate? ***Documentation:*** – contracts – process descriptions – supplier/service provider assessments – on-site inspection results – audit results – certificates
4.9	**Waste management**	
4.9.1	A waste management procedure shall be implemented and maintained to prevent cross-contamination which respects all local legal requirements for waste disposal.	***Questions:*** – How is it ensured that current legal waste disposal requirements are met? – Are all relevant waste disposal requirements covered by the procedure? – How is waste material going to be disposed (internal/external)? – Is the external waste disposal contractor approved? – Is evidence of approval in place? – Is the waste disposal contractor included in the supplier assessment? ***Documentation:*** – procedure descriptions – internal suppliers assessment system with evidences of competence and approval – contract of service providers – evidences of providers
4.9.2	Food waste and other waste shall be removed as quickly as possible from areas where foodstuff are handled. The accumulation of waste shall be avoided.	***Questions:*** – How often are food waste and other waste removed from food handling and/or food processing areas? – What rules exist? – Who is responsible for waste removal? – How is waste disposal organized? – How often is waste going to be removed from rooms where food products are handled? ***Documentation:*** – procedure descriptions – evidences of waste disposal – training and/or instruction documents and related evidences – contracts

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4.9.3	Waste shall be collected in separate containers in accordance with the intended means of disposal. Those containers shall be clearly marked, suitably designed, maintained, easy to clean, and where necessary, disinfected. Such waste shall be disposed by authorised third-parties only. Records of waste disposal shall be kept by the company.	***Questions:*** – What kind of waste is produced on-site? – Which waste are collected in separate containers? – How are waste containers marked? – Can waste containers easily be cleaned? – How often are waste containers cleaned? – What kinds of waste disposal records exist? – Who is responsible for waste disposal? – Does a waste separation exist? – What kind of records are in place for waste disposal? – Is the service provider for waste disposal authorized? ***Documentation:*** – procedure descriptions – hygiene rules – cleaning plan and associated protocols – contracts of service providers – certificates and approvals of service providers – legal requirements (for Europe e.g. Regulation (EC) 852/2004 annex 2, chapter V) – evidences for waste and recyclable waste fractions – bulletins about waste separation – audit results and on-site inspections ***Advice for auditors:*** *Evidence of waste disposal registry (for Europe e.g. legal requirement such as Regulation (EC) N° 1069/2009)*
4.10	**Pest monitoring and control**	
4.10.1*	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: • the site environment (potential and targeted pests) • 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	***Questions:*** – How is pest monitoring and pest control organized? – Which pests are monitored? – Are birds considered? – Which kind of baits is used? – Is product contamination through baits prevented? – Who is responsible for pest control? – What are the inspection frequencies? – When was the last pest inspection performed? Was active pest infestation noted? If yes, which ones and where? – Are customer requirements fulfilled? – Has a risk assessment been performed? – Are all baits identifiable and fixed? – Is there a clear, traceable attribution (baits, agents, plan)? – Is there a monitoring and records of it for every bait? – Are safety data sheets in place for the agents used? ***Documentation:*** – risk assessment – pest control procedures – pest control chemicals list – baits map – records of inspection and monitoring – safety data sheets – evidences of qualification – contracts of service providers – list of addition agents

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.10.1*		***Advice for auditors:*** – *More information may be found in the IFS Pest Control Guideline* *Consider local animal welfare acts*
4.10.2	Where a company hires a third-party service provider for pest control, all the requirements mentioned above shall be documented in the service contract. A person at the site shall be appointed and competent to monitor pest control measures. Even if the pest control service is outsourced, responsibilities of the necessary actions (including ongoing supervision of pest control activities) shall remain within the company.	***Questions:*** – Is pest control executed by the company's own staff members? – Who is responsible for pest control? – What kind of training does the responsible person have? – Is pest control executed by external service provider? – Does a written contract exist between service provider and company? – What is the content of the contract? ***Documentation:*** – procedure descriptions – organization chart – evidences of qualification – training evidences – written contracts – supplier assessments – legal requirements regarding pest control/animal welfare, etc. ***Advice for auditors:*** *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.*
4.10.3	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. The effectiveness of the pest control measures shall be monitored including trend analysis, to allow timely actions. Records of this monitoring shall be available.	***Questions:*** – Where are inspections and resulting corrective actions documented? – Are documents signed and dated by both parties? – Which corrective actions were executed recently? – How is the efficiency of measures ensured? – Are the inspections, recommendations and corrective actions clearly documented? – Are the chemical agents known and without a negative impact on products? – Is a trend analysis in place? ***Documentation:*** – inspection results – minutes of inspections – reports – safety data sheets – location plan – trend analysis

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4.10.4	Incoming deliveries shall be checked on arrival for the presence of pests. Any infestation shall be documented and control measures taken.	***Questions:*** – Are incoming goods inspected for pest infestation? – Where is this documented? – Is pest presence documented? – What control measures are taken when 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? ***Documentation:*** – procedure descriptions – corrective actions – records of receiving checks – complaints documentation
4.10.5	Products, equipment and transportation vehicles shall be stored so as to minimize the risk of pest infestation. Where stored product and/or machines may attract pests, appropriate measures shall be taken to prevent risk of contamination.	***Questions:*** – Are pests taken into account during storage? – Are pallets located with enough space from walls? – Are baits laid out in areas where products, equipment and/or transport vehicles are stored? – Are there sensitive products stored (e.g. seeds, grains, nuts)? – What kinds of preventative measures are in place for these goods? ***Documentation:*** – Plant (on-site) inspection records – Preventive measures – pest control schedules
4.11	**Receipt, staging, storage and dispatch of goods**	
4.11.1	All incoming goods, including packaging materials, shall be checked for compliance with the contractual agreement (e.g. specification) and a determined risk-based monitoring plan. This inspection shall include general inspection criteria (e.g. identification of products and vehicle), rules for goods acceptance, goods rejection and qualified acceptance. Records of the inspections shall be available.	***Questions:*** – What are the basic requirements for inspection of incoming goods? – Are specific customer requirements in place for specific products/deliveries? – What parameters are checked for which products during receiving? – How and on what are the trucks checked? – Is goods receipt clearly documented/recorded? – Who checks the incoming goods? Are these persons trained accordingly? – How is cross-contamination of products avoided during reception? – Are clear requirements established for rejection and qualified acceptance? – In the event of anomalies at goods receipt how is the supplier's risk assessed? ***Documentation:*** – procedure descriptions or work instructions – customer specifications or requirements (if applicable) – risk based monitoring plan – HACCP/risk management system – receipt inspection records – process flow chart – storage system/plan

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.11.2	The loading and unloading of product shall be carried out in a manner which prevents damage.	***Questions:*** – Are specific requirements set for the different kinds of goods (e.g. products on pallets, products in bulk, products in containers) – Are cart loads secured in a way that contamination and/or damage is prevented? – How is the stock control system organized? – How is the efficiency of this system ensured? – Is this system in compliance with customer requirements (if any)? – Are products defined where side by side storage is prohibited due to adverse effects? – How are these rules implemented into daily practice? ***Documentation:*** – procedure descriptions – customer contracts – training and instruction documents and records – audit and on-site inspection documents
4.11.3	A system shall be implemented and maintained to manage the handling of goods during whole logistics services. It shall consider, at a minimum: • identification of all products at all times. • effective stock control system shall be in place and may include methods such as, First In – First Out (FIFO) or First Expired – First Out (FEFO) Storage, removal and handling of the goods shall be in accordance with customer requirements.	***Questions:*** – How is the storage management system organized (e.g. chaotic storage, zoning of product groups, etc.)? – On what principle is the stock control system based (FIFO, FEFO?) – Are requirements for product identification (e.g. stock labelling) clearly defined? – Are specific customer requirements in place (for certain products)? ***Documentation:*** – procedure descriptions – working instructions for stock-pilling procedures and handling – customer contracts/agreements – training and instruction documents/records – loading documents (e.g. TU-note) – audit and on-site inspection documents – records of complaints – hygiene rules – Storage system principles
4.11.4	Where pallets are used, these shall be inspected to ensure they are in good condition and shall not compromise product safety.	***Questions:*** – Are the pallets in use in good and clean condition? – Who inspects, and how often, the condition of pallets? – Which rules are in place (standard for pallets)? – Do the employees know the requirements? – How is it ensured that the delivered pallets are in good condition and suitable for intended use? – Are customer requirements in place for selection and usage of pallets? ***Documentation:*** – procedure descriptions – classification of pallets

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4.12	**Transport**	
4.12.1*	The product shall be secured so that contamination and/or damage is prevented during transport. The conditions inside the vehicles shall be checked before loading, and these checks shall be documented to ensure compliance with the specified conditions related to the absence of the following, for example: • temperature (where goods must be transported at defined conditions) • strange smells • high dust load • adverse humidity • pests • foreign materials (e.g., wood splinters, stones, organic contaminants, etc.) • mould. When applicable, actions shall be taken to avoid any negative impact on products and to ensure compliance with the specified conditions.	***Questions:*** – What kind of transport vehicles, transport containers and transport units are used? – Are multi-chamber-vehicles used for transportation? – Are transport vehicles, units and containers equipped with thermostats and registered devices (e. g. temperature datalogger)? – What parameters are inspected before loading? What are the recording requirements? – Are these devices appropriate for the required transport conditions? – What evidence ensures the appropriateness of these devices? – How is it ensured that products reach their destination under good conditions? – May food be transported alongside with non-food products? – How is it ensured that the loading personnel and truck drivers are aware of relevant hygiene requirements? ***Documentation:*** – procedure descriptions – contract of service providers – hygiene requirements – evidences of training and/or instruction – audit documents – inspection records
4.12.2	The transport vehicles, transport units, and/or transport containers that are being used on different modes of transport (road, rail, air and water) shall be in good condition and shall keep the transport conditions of the goods being transported within the boundaries of the permissible tolerance (e.g. temperature). The maintenance of these conditions during transport shall be ensured. Documented checks for compliance with the specified conditions shall be based on risk.	***Questions:*** – What kind of transport modes are used by the company? Are these different modes considered in the HACCP plan? – Do transported products require certain temperature and/or humidity? – Is temperature and/or humidity of the vehicles checked and documented before loading? – How are parameters monitored during transport (e.g. by digital means, in real-time or manually)? – What procedures are in place if vehicle conditions (e.g. temperature) is not in line with specifications? – Do other conditions exist which have to be checked? – Are there evidences about the compliance of transport conditions during the entire transport? – Are there requirements for parameters or adjustments? – Is data of monitoring checked and controlled? – What preventive actions exist? – What kind of products are allowed to be transported together? ***Documentation:*** – procedure descriptions – technical evidences (e.g. ATP approval) – hygiene rules – transport orders – transfer documents and incoming goods control – risk based temperature monitoring records and records of other parameters – evaluations of parameter monitoring records (e.g. temperature, humidity)

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.12.3	When temperature-controlled goods are being stored or transported in containers (e.g. thermal boxes), these containers shall be in good condition (clean, odour free, dry, functional and fit for purpose). The containers shall be precooled prior to the loading of the product in these transport containers.	***Questions:*** – Are thermal boxes or other kinds of containers used for storing and transporting products? – Are these containers pre-packed (and probably sealed) by the customer or by the company? – What kind of products are handled via containers? – How is it ensured that all transport containers are suitable for intended use? – Where and when are containers cleaned? Are they considered in the cleaning schedule? – What are the procedures for pre-cooling of containers? – In what conditions are the handled products (temperature range)? – Are these conditions checked and documented before loading? – How is this checking performed? – Do requirements exist for this checking? – Are limits and tolerances defined for this checking? – What kind of measures are implemented for not meeting the target conditions? ***Documentation:*** – procedure descriptions – HACCP/risk management system – Specifications of precooling agents (e.g. eutectic cooling plates) – transport documents – checking protocols – checking results – legal requirements (e.g. in EU Regulation (EC) N° 852/2004 annex 2 chapter IX) – cleaning evidences – temperature monitoring evidences
4.12.4	During transport, the respective permissible load level (payload) of transport vehicles, transport units and/or containers shall not be exceeded, in order to maintain product safety and quality.	***Questions:*** – How is it ensured that the permissible load level is not exceeded? – Are there requirements for different transport devices? – Documentation: – procedure descriptions – weighing protocols
4.12.5	Transport containers (e.g. tankers, rail tankers), which are used for the transportation of liquid, granular and/or powdered unpackaged food products shall be labelled and used exclusively for the transportation of food.	***Questions:*** – Are there any unpacked food products handled? If so, what kind of products? – What transport containers are used for liquid, granular and powdered food products? – Are these transport containers labelled? – Are these transport containers used only for food? – Documentation: – procedure descriptions – legal requirements (in Regulation (EC) N° 852/2004 annex 2 chapter IV) – transport protocols

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.13	**Maintenance and repair**	
4.13.1	A maintenance plan shall be documented, implemented and maintained, that covers all critical equipment (including transport and storage premises) to ensure product safety and product quality. This applies to both internal maintenance activities and service providers. The plan shall include responsibilities, priorities and due dates	***Questions:*** – How does the maintenance system work? – How is maintenance organized? – Which equipment is critical for compliance with product safety and quality? – Where are maintenance procedures documented? – Which equipment's is subject to external maintenance? – Is the plan for maintenance up-to-date? – Is all critical equipment included in the plan? – Are there legal demands for maintenance? ***Documentation:*** – process descriptions – maintenance plan – maintenance documents – logbook – contracts – legal requirements, such as regulation (EC) N° 37/2005 – certificates of maintenance – service protocols ***Advice for auditors:*** *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.*
4.13.2	Failures and malfunctions of premises and equipment essential for product safety and quality shall be identified, documented and reviewed to carry out prompt actions and to improve the maintenance system.	***Questions:*** – Are all relevant premises and equipment which are essential for product safety and quality identified? – Are processing interruptions documented? – Are these results going to be evaluated? – Is the maintenance system aligned due to these results? ***Documentation:*** – process description(s) – records from maintenance – logbook – analyses – documentation about modifications of documentation

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.13.3	Repairs including temporary repairs shall be carried out in a way to avoid compromising product safety and product quality. Such work shall be identified, documented and a short-term deadline set for eliminating the issue.	***Questions:*** – How is it ensured that maintenance and repair projects do not affect product safety? – How are lighting fixtures repaired? – Where are repair projects documented? – Are corrective actions necessary after repair projects? – What rules are in place for re-activating equipment when maintenance is completed? – Documentation: – process descriptions – hygiene rules – How is it ensured that materials used in maintenance or repair work are fit for intended use? – What kinds of grease is used? – Are lists available with these used materials? – Are safety data sheets available for these materials? – Is the intended use checked before using these materials? – training and instruction records – on-site instruction documents – requirements for service providers – examples for repair works and maintenance – actions after maintenance and repair works ***Documentation:*** – maintenance list – safety data sheets – list of used materials (e.g. grease list) ***Advice for auditors:*** *The requirements for permissible materials and procedures also apply to the implementation of temporary repairs that have an impact on product safety and product quality. Temporary repairs with no impact on product safety and product quality do not need to be recorded.*
4.14	**Equipment**	
4.14.1	All equipment shall be designed for its intended use, maintained and stored not to pose any product safety or quality risk.	***Questions:*** – What equipment exists? – Is the equipment designed, maintained and stored, so that there are no risks for product safety and quality? – How do the employees know how to use, maintain and store the equipment (e.g. computers, measuring and monitoring devices, working tables, cutting equipment, floor conveyors, battery loading devices)? ***Documentation:*** – procedure descriptions – hygiene rules – HACCP/risk management system – cleaning documents – training and instruction documents – information signs – on-site inspections and audit results – contracts with service providers

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
4.14..2	For equipment and utensils which could have an impact on the foodstuffs, evidence shall be documented to demonstrate compliance with legal requirements. In case no specific legal requirements are in place, evidence shall be available, such as: • certificate of conformity • technical specifications • manufacturer's self-declaration to demonstrate that they are suitable for the intended use.	***Questions:*** – were all relevant legal requirements identified? – are all equipment and utensils checked for legal compliance? – Is a list or product description available which demonstrates legal compliance? – Are all evidences for the equipment and utensil compliance up to date? – How do you proceed in the event of incorrect or missing declarations of compliance or technical specifications/ self-declarations by the manufacturers? ***Documentation:*** – certificate of conformity – technical specifications – manufacturer's self-declaration ***Advice for auditors:*** *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.*

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5	**Measurements, analysis, improvements**	
5.1	**Internal audits**	
5.1.1* **KO N°5**	**KO N° 5: 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 product safety and product quality shall be audited more frequently.** **It shall also apply to off-site storage locations owned or rented by the company.**	***Questions:*** – Does an internal audit plan exist which is up-to-date? – Is the audit plan based on risk assessment? – How and by whom was the risk assessment performed? When was the last training conducted for this person? – How often are internal audits performed? – What areas or activities are critical to product safety? – Are all relevant areas (including off-site storage locations), functions and processes audited? – Are all of the requirements of the IFS standard covered in respect to content? – Are the audits performed according to plan? – Are all associated functions and processes included in the plan? – Are rented locations also included in the plan? ***Documentation:*** – procedure descriptions – risk assessment – audit plans – audit protocols – audit reports – action plans ***KO would be given:*** – *if there is no program for internal audits* – *Not all IFS requirements are audited internally.* – *if internal audits aren't performed according to the program.* – *The frequency of internal audits is not increased although the risk assessment suggests that.*
5.1.2	The auditors shall be competent and independent from the audited department.	***Questions:*** – Who are the auditors? – How are auditors qualified for this task? How is the competence ensured? – Do auditors have any connection with the audited area? – How is ensured that auditors are not auditing their own work/area? ***Documentation:*** – procedure descriptions – audit plans – list of auditors – competences evidences (e.g. working experience, internal auditor courses) – current organization chart – description of responsibilities or competences ***Advice for auditors:*** *It is also useful to have an annual „calibration" of the internal auditors and/or an evaluation of the classifications made.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.1.3*	Internal audit shall be documented and results communicated to the senior management and to persons responsible for the concerned activities. Compliance, deviations and non-conformities shall be documented and communicated to the relevant persons.	***Questions:*** – How and when are audit results communicated to the persons in charge? – What is the procedure if the audit reveals deviations and non-conformities? – Are corrections and corrective actions documented? – Is a time schedule in place for corrections and corrective actions? – From which audits were corrections and corrective actions derived? – How are audit results forwarded to senior management? – How are audit results evaluated? ***Documentation:*** – procedure descriptions – audit documents – audit records – corrective actions plan – audit reports – audit report distribution – time frame for implementation of corrective actions
5.2	**Site inspections**	
5.2.1*	Site inspections shall be planned and carried out for certain topics, for example: • constructional status of site premises • external areas • product control during logistics processing services (if applicable) • foreign material hazards • personal hygiene. The frequency of inspections shall be based on risks and on the history of previous results.	***Questions:*** – How often are on-site inspections performed? – What is going to be inspected during site inspections? What criteria are defined for on-site inspection? – Are off-site storage locations or other decentralized structures considered? What is the frequence of such on-site inspections? – Who is performing on-site inspections? – How does the company follow-up on the deviations and non-conformities from the site inspections? – As a result of: based on which previous results and risks is the inspection frequency increased? – 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? ***Documentation:*** – procedure descriptions – minutes of on-site inspections – hazard analysis and assessment of associated risks ***Advice for auditors:*** *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*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.3	**Process validation and control**	
5.3.1	Requirements for environmental control (e.g. temperature, humidity) which influence product safety and product quality shall be defined and implemented.	***Questions:*** – Which requirements do exist for air conditioning and other means of environmental control (e.g. ripening)? – Do specific customer requirements exist in that regard? – How is air conditioning or humidity control considered within hazard analysis/risk management? – Are these requirements implemented in the respective logistics areas? – How is the construction monitored? – Are the responsibilities regulated? – Do the employees know the demands? ***Documentation:*** – process descriptions – legal requirements – evidence about technical constructions – HACCP/risk management system – checklist/records – analyses – training and/or instruction documents – product declaration – print from measuring records – temperature records
5.3.2	Process parameters, (e.g. temperature, time, pressure, chemical properties, etc.) which are essential to ensure the product safety and product quality requirements, shall be monitored, recorded continuously and/or at appropriate intervals and secured against unauthorised access and/or change.	***Questions:*** – Do cases exist where the control of process and working space parameters are essential for product requirements? – Are the process and working space parameters monitored and recorded? – Is the monitoring and recording uninterrupted or by intervals? – How is the monitoring and recording organized? – Are the measurements and monitoring devices calibrated? ***Documentation:*** – procedure description(s) – HACCP system – product requirements – contracts/agreements with customers, with agreed parameters – evidences of calibration – monitoring controls and records ***Advice for auditors:*** *Changes to system parameters may only be carried out by authorized persons.*

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.3.3	For goods handled under controlled temperature condition one or more appropriate temperature recording systems shall be implemented in the logistics chain in order to monitor the process at appropriate intervals. Records should be dated, timed and available on request, at minimum.	***Questions:*** – What kind of system is used (fixed installation or mobile data logger)? Is this appropriate? – Is an appropriate temperature recording system installed? – How are temperatures controlled? – How are temperatures monitored? – Where are temperatures recorded? – Is it ensured that the employees who use that system are well trained? – Is an appropriate interval for monitoring defined? – Are these monitoring intervals respected and performed? ***Documentation:*** – process descriptions – customer agreements/contracts – contracts/agreements from logistical providers – HACCP/risk management system – temperature recordings – checklists – evaluations – training and/or instruction documents – documents from audits – legal requirements (e.g. Regulation (EC) N° 37/2005) – print from measuring records or other documents like temperature checks of products – hazard analysis with risk assessment
5.3.4	Procedures shall be documented, implemented and maintained for prompt notification, recording and monitoring of equipment malfunction and process deviations.	***Questions:*** – What happens in case of malfunctions or process deviations during e.g. ripening, freezing or thawing processes? – When did the last equipment malfunction occur? Has this been recorded? What actions have been taken? – Are corrective actions implemented? – Does the customer get informed? – Are responsibilities and tasks defined? ***Documentation:*** – HACCP system – process descriptions – rules of acting while malfunctions and deviations, incl. corrective actions – customer contracts/agreements – list of emergency numbers ***Advice for auditors:*** *If possible, a test should be simulated to see whether the alarm works.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.4	**Calibration, adjustment and checking of measuring and monitoring devices**	
5.4.1	Measuring and monitoring devices required to ensure compliance with product 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.	***Questions:*** – Are all necessary measuring and monitoring devices determined? – Which measuring and monitoring devices require legal approval? How is compliance with these requirements ensured? – What measuring and monitoring devices exist? – Are all devices documented on a list (or several lists)? – Is this list up-to-date? – Is a clear identification of measuring and monitoring devices possible? – How are measuring and monitoring devices able to be identified? – Is the calibration status recorded? ***Documentation:*** – procedure descriptions – list of measuring and monitoring devices – identification stickers on monitoring devices ***Advice for auditors:*** *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.*
5.4.2	All measuring devices shall be monitored, adjusted and calibrated at defined intervals, in accordance with recognised standard/methods and within relevant limits of the process parameter values. The results shall be documented.	***Questions:*** – How is monitoring of measuring and monitoring devices organized? – On what recognized standards/methods is calibration carried out? – Are measuring devices getting regularly calibrated and checked? – Who is responsible for performing calibration and rechecking? – How is calibration done? Where is it documented? – What corrective actions are taken when a tolerance deviation is found? – Is calibration up-to-date? – Where is the standard method described? ***Documentation:*** – calibration procedures – calibration certificates – calibration protocols – corrective actions (in case of deviations)

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.5	**Quantity control monitoring (for processing services such as labelling and/or simple sorting of fruits and vegetables intended for final consumer)**	
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 legal requirements of the destination country/ies and customer agreements (e.g. specification).*	***Questions:*** – Which products are subject to quantity control? – What conformity criteria are 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 (if necessary) determined? – In which documents is this recorded? – Do specific customer requirements exist? – What is the frequency and methodology of quantity checking? – Is the company using the "℮" mark on packaging? ***Documents:*** – Procedure descriptions – Specifications – Customer contract – Legal requirements/texts
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.*	***Questions:*** – How is the quantity control test plan structured? – How are deviations in quantity control detected? – Who checks the results of quantity controls? – What criteria are calculated for losses in quantities? – How and at which process steps is the control carried out? ***Documents:*** – Procedure descriptions – Monitoring plan – Monitoring records
5.6	**Management of complaints from authorities and customers**	
5.5.2	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.	***Questions:*** – How are complaints handled? – Have there been any complaints and/or notifications from the authorities in the past? – Is the range or indicator of complaints considering different stakeholder groups (e.g. consumers, retailers, and authorities)? – Who is responsible for complaint management? – How does the system work? – Is there a description in place, detailing how to handle complaints? – How is the collection and handling of complaints carried out? – Does an overview exist concerning incoming complaints? – Is the complaint processing status transparent? ***Documentation:*** – procedure descriptions – complaint collection lists – processing protocols – action plans on measures – evaluation sheets ***Advice for auditors:*** *These can be IT and/or paper-based systems.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.6.2*	All complaints shall be recorded, readily available and assessed by competent staff. Where justified, action shall be taken immediately.	***Questions:*** – How many complaints have been received within the last 12 months? – Who is assessing the significance of complaints? – Who defines which actions are to be taken? – Within what time frame actions must be taken? – Who reviews the complaints? – Who decides which measures shall be taken? – Who is responsible for implementing measures? – Are realistic implementation timeframes defined? ***Documentation:*** – process protocols – action plans – overview about incoming complaints – review of implemented measures ***Advice for auditors*** *These can be IT and/or paper-based systems.*
5.6.3	Complaints shall be analysed with a view to implementing actions to avoid the recurrence of the deviations and / or non-conformities.	***Questions:*** – Who is responsible for analysing complaints? – What methods are used for the analysis (e.g. 5-why, Ishikawa) – What actions have been taken to avoid recurrence? – How often are complaint statistics created? ***Documentation:*** – complaint statistics or evaluations – complaint list and implemented actions
5.6.4	The results of complaint data analysis shall be made available to the relevant responsible persons.	***Questions:*** – To whom is complaints statistics data presented? – Who has knowledge about complaints? – What is the information/communication flow to ensure that relevant persons are informed? – Are objectives created out of these results? ***Documentation:*** – distribution list for complaint statistics – training evidences – minutes or similar documentation

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.7	**Management of product recall, product withdrawal and incidents**	
5.7.1*	An effective procedure shall be documented, implemented and maintained for the management of recall, withdrawals, incidents and potential emergency situations with an impact on product safety and quality. 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, contacts availability • a communication plan including product owner, authorities.	***Questions:*** – How many withdrawals have been performed on company's initiative within the last 12 months? What was the cause? – How many recalls have been performed on company's initiative within the last 12 months? What was the cause? – Is the procedure described and documented? – Is the procedure effective? – How are incidents handled? – What is defined as incident? – Are the responsibilities clearly listed and assigned? – How many steps are involved in the decision-making process? – Are the owners and/or the advisory board also considered in this process? – Who is informed when an incident occurs? – 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? – Is the procedure reviewed to ensure efficiency? ***Documentation:*** – procedure descriptions; decision making process – training evidences – records of procedure efficiency review – regulations about responsibilities – Emergency plan – Emergency number list, telephone list
5.7.2	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.	***Questions:*** – Is an appropriate test performed annually in due course? – Has a real incident happened within the last 12 months? – What are the criteria for the recall/withdrawal test? – Which group of people performing this test? – How effective were these tests? – Is the test or incident appropriately recorded? – Is the test or incident going to be evaluated? – Is the procedure functional? – Does the procedure comply with customer requirements? – Were improvements investigated? ***Documentation:*** – procedure descriptions – documents for procedure efficiency review – lists of emergency numbers – customer contracts – records of internal mock tests – records of real incidents ***Advice for auditors:*** *The test requires a conclusion and the traceability of assessment criteria.*

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.8	**Management of non-conforming products**	
5.8.1	A procedure shall be documented, implemented and maintained for the management of all non-conforming products, and packaging materials. This shall include, at minimum: • defined responsibilities • isolation/quarantine procedures (blocking/hold) • risk assessment • identification including labelling • the release procedure of goods.	***Questions:*** – What procedures are in place for controlling non-conforming products? – What conclusion did the risk assessment lead to? – Are all situations, in which non-conforming products can exist, described in a procedure (or more procedures)? – Who is responsible? – How are non-conforming products identified? – How are non-conforming products labeled? – What rules exist for product quarantine procedures? ***Documentation:*** – procedure descriptions – risk assessment – labelling (e.g. different quarantine tickets and/or labels, specific storage areas) – quarantine tickets – identification in storage system ***Advice for auditors:*** *Depending on the severity of the non-conformity, different blocking procedures (from the blocking to the locked quarantine room) are required.*
5.8.2	The procedure for the management of non-conforming products shall be acknowledged and applied by all relevant employees.	***Questions:*** – Who is responsible for putting non-conforming products into quarantine? – Who is allowed to release quarantined products? – How is it ensured that only authorized persons release quarantined products? – How is ensured that all employees apply the procedure correctly? Especially when different languages are spoken at the site? ***Documentation:*** – Training and/or instruction records – records about quarantine, quarantine tickets
5.8.3	Where non-conforming products are identified, immediate actions shall be taken to ensure that product safety and quality requirements are complied with.	***Questions:*** – What procedures are implemented for non-conforming products? – What measures are taken in case of non-conforming products? – Who determines that products are non-conforming? – Have all measures been taken as quickly as possible? ***Documentation:*** – quarantine tickets – procedure descriptions/work instructions

N°	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.9	**Management of deviations, non-conformities, corrections and corrective actions**	
5.9.1	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 product safety, legality, authenticity and/or recurrence of deviations and non-conformities. Where deviations and non-conformities are identified, corrections shall be implemented	***Questions:*** – How are deviations, nonconformities, and non-conforming products recorded? – Are all deviations, non-conformities and non-conforming products recorded? – When and where are non-conformities documented? – Are methods used for the analyses? – How are repetitions of critical deviations, non-conformances, and non-conforming products evaluated? Do you always proceed in the same way when analysing? – What methods are used for root cause analysis? Is this group of people trained for the analysis of deviations, nonconformities and non-conforming products? – How is distinguished between deviations, nonconformities and non-conforming products and planned/expected, new or critical? – How does the procedure for corrections and corrective actions work? – When and how are corrections and corrective actions determined? – Is the procedure practical? – How is the documented data evaluated? ***Documentation:*** – procedure descriptions – overview about non-conformities – root cause analysis – evaluations about status of corrective and preventative actions – document about corrective and preventative actions – audit reports – audit action plans – protocol/records about assessment of IFS Logistics system – documentation for corrections
5.9.2* **KO N° 6**	**KO N° 6: 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.**	***Questions:*** – What corrective actions were implemented? – Are corrective actions clearly described? – Are fixed timeframes defined for implementation? – Are responsibilities defined? – How long can it take for corrective action to be taken? – How do you differentiate corrections from corrective actions? – How are repetitions evaluated? – Documentation: – procedure descriptions – documentation of corrective actions – overview about non-conformities – evaluations – minutes – corrective action samples – minutes/records about assessment of IFS Logistics system ***Advice for auditors:*** *The requirement does not only refer to the last external or internal audit.* ***KO would be given:*** – if corrective actions are not documented – if no timescale and/or responsibility is defined for defined corrective actions – if corrective actions are not implemented according to definition

Nº	IFS Logistics version 3 requirement	Audit questions, documentation examples & advice for auditors
5.9.3	The effectiveness of the implemented corrections and corrective actions shall be assessed, the results of the assessment shall be documented.	***Questions:*** – Are the implementation of corrections and corrective actions and the assessment of effectiveness evidentially documented? – Are the implemented corrections and corrective actions effective? – How are non-effective corrections and corrective actions handled? – Documentation: – procedure descriptions – documented corrections and corrective actions – evaluation of status of corrections and corrective actions – samples of corrections and corrective action – reviews of verification (internal audits, etc.)

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The owner of the present document is:

IFS Management GmbH
Am Weidendamm 1 A
10117 Berlin
Germany

Managing Director: Stephan Tromp
AG Charlottenburg
HRB 136333 B
VAT-N°: DE278799213

Bank: Berliner Sparkasse
IBAN number: DE96 1005 0000 0190 0297 65
BIC-/Swift-Code: BE LA DE BE

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