IFS Progress Logistics

Development program for assessing logistical services in relation to product safety and quality

VERSION 1

JUNE 2016

ENGLISH

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0   Introduction

0.1   The history of International Featured Standards and IFS Logistics Standard

Supplier audits have been a permanent feature of retailer's systems and procedures for many years. Until 2003 they were performed by the quality assurance departments of the individual retailers, wholesalers and food services. The everising demands of consumers, increasing liabilities of retailers, wholesalers and food services, increasing legal requirements and the globalisation of product supply, all made it essential to develop a uniform quality assurance and food safety standard. Furthermore, a solution had to be found to reduce the time associated with a multitude of audits for involved stakeholders.

The associated members of the German retail federation—Handelsverband Deutschland (HDE)—and of its French counterpart—Fédération des Entreprises du Commerce et de la Distribution (FCD)—as well as the members of the Italian federation Federdistribuzione and the retail colleagues from all Spanish food retail chains drew up a quality and food safety standard for retailer branded food products named the IFS Food, which which allows the assessment of suppliers' food safety and quality systems in accordance with a uniform approach. The IFS Food Standard is now managed by IFS Management GmbH, a company owned by FCD and HDE, and applies to all the post-farm gate stages of food processing.

For the current IFS Food version 6, the International Technical Committee and the national working groups from France, Germany (for the whole German speaking area), Italy, Spain and North America have been actively involved, in addition to retailers, stakeholders and representatives of industry, food services and certification bodies from all over the world. Currently, IFS Food has been developed and supported by food industry from Austria, France, Germany, Italy, Netherland, Spain, Switzerland, USA as well as experts from other European countries, Asia and South America.

It is the aim of most retailers and producers to have transparency over their whole international supply chain, including the logistical activities.

In order to prevent logistics companies from being overwhelmed by different requirements, the German and French retailers, supported by other international retailers, developed the IFS Logistics version 1 in 2006. Version 2 was a collaboration of three retail federations from France, Germany and Italy and the IFS North America working group.

The Standard is applicable for all types of transport: truck, train, ship, plane or any other types of transportation, temperature controlled or ambient stable. The IFS Logistics Standard applies to food and non-food products. The IFS Logistics includes all logistical activities like loading, transportation, off-loading, storage, handling and further distribution.

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

- to establish a common standard with a uniform evaluation system
- to work with accredited certification bodies and qualified IFS approved auditors
- to ensure comparability and transparency throughout the entire supply chain
- to reduce costs and time for both (suppliers and retailers).

0.2 The IFS Progress – Logistics program

Having worked with the IFS Logistics Standards for several years IFS reconized the need for technical assistance and support for "small and/or less developed businesses" in the development of their logistical services in relation to product safety and quality.

For small and/or less developed businesses that because of their size, lack of technical expertise, economic resources or the nature of their work encounter difficulties in implementing product safety and quality management systems in their logistics business, market opportunities often exist within formal supply chains where entry requirements are high. These businesses do not necessarily have access to the expertise, technical and financial resources to meet these requirements in terms of logistics safety.

Following this, it was decided to draw up a standardized vouluntary step-by-step assessment approach on the basis of the IFS Logistics checklist. The initiative is named the IFS Progress – Logistics program and will provide "small and/or less developed businesses" assistance in the development of safe and high quality logistics services and to make the first steps in implementation of IFS Logistics.

The program's objective is to facilitate market access locally, create mutual acceptance along the supply chain and provide a framework for mentoring, developing and assessing small and less developed logistics service provider. The program includes a protocol to drive incrementally the continuous improvement process in logistics safety management systems. Moreover, it offers a flexible application of the stepwise approach in sense of time, starting level and final level to acchieve.

0.2.1 Benefits of the IFS Progress – Logistics program

The IFS Progress – Logistics program combines the pure checklist with the IFS assessment protocol, basic requirements for certification bodies/assessment service provider and assessors as well as a defined assessment report. In addition, the program guarantees that every assessment report is developed in the same way and uploaded in the IFS database, where all retailers and manufacturers supporting the IFS Progress program can find and follow the development of each service provider.

The main advantages of the IFS Progress – Logistics program are

- to provide an assessment program for small and less developed companies
- to offer a systematic, risk based approach to achieve the IFS Standard over a defined period of time
- to establish a uniform consistent and differentiated evaluation system

- to provide an approach for continuous improvement process within the IFS scoring system
- to work with qualified certification bodies/assessment service providers and assessors
- to ensure comparability and transparency throughout the entire supply chain
- to reduce costs and time for both service provider and retailer right from the beginning.

1 Purpose and contents of the assessment protocol

This assessment protocol describes the specific requirements for the organisations involved in IFS Progress – Logistics program assessments.

It also provides guidance for assessment against the basic and intermediate level requirements to attain the aim of reaching full certification to the IFS Logistics Standard.

The purpose of the protocol is to define the criteria to be followed by a certification body/assessment service provider performing assessments against the IFS Progress – Logistics program requirements as a product and process assessment. It also details the procedures to be observed by the companies being assessed, and clarifies the rationale of assessing them. The IFS requirements for certification bodies, assessment service providers and assessors are clearly described in Part 3 of this document.

2 Steps within the IFS Progress – Logistics program

The protocol should be used as an user guide in relation to the following key phases of the IFS Progress – Logistics program:

(0) Self- or pre-assessment:
A voluntary self- or pre-assessment against the basic or intermediate level checklist is carried out to allow the site/s to decide its entry level to the program. Subject to the outcome of the self- or pre-assessment, the company should pass to either phase 1 (basic level assessment), phase 2 (intermediate level assessment) or phase 3 (IFS Logistics certification).

(1) Assessment with certification body/assessment service provider: Basic level
A non accredited assessment of the site/s is carried out against the requirements specified in the basic level checklist. The technical requirements at this level are comprised of approx. 40 % of the key elements of the IFS Logistics 2.1 Standard, including quality and product safety management, resource management, realisation of the service, measurements, analyses & improvements.

(2) Assessment with certification body/assessment service provider: Intermediate level
A non accredited assessment of a site is carried out against the intermediate level checklist, which includes the basic level requirements and approx. a further 30 % of the IFS Logistics 2.1 Standard elements, including management responsibility, further requirements in regard to quality and product safety management, resource management, realisation of the service, measurements, analyses and improvements as well as product defense.

(3) Certification against the IFS Logistics Standard by a certification body:
An official accredited certification can be carried out against the IFS Logistics Standard.

Possible options to apply the checklists are stated in ANNEX 1, Part 1: Application of checklists.

As phases 1 and 2 are regarded as transitional, each level-duration should not exceed one (1) year, unless a different individual agreement/requirement with the business partner exists. Generally, a program must be agreed with the assessed company to achieve the requirements of the IFS Logistics Standard within a maximum of three (3) years.

Product risk assessment and company performance should be considered when exceptions in regard to the timeframe are granted.

3 Types of assessments

3.1 Self-assessment

A voluntary self-assessment is conducted by the site against the basic or intermediate level checklist to decide on an entry level to the program.

3.2 Pre-assessment

A voluntary assessment is conducted with the support of an independent and qualified consultant or a mentoring certification body/assessment service provider against the basic or intermediate level checklist to decide on an entry level to the program.

3.3 Initial assessment

An initial assessment is either a site's first assessment to the IFS Progress – Logistics against the basic or intermediate level checklist or the assessment after an interruption of the assessment cycle.

3.4 Re-assessment (after a "not approved" assessment)

A non accredited scheduled assessment of the site is carried out against all the requirements of the basic or intermediate level checklist.

3.5 Renewal assessment

A non accredited scheduled assessment of the site is carried out against the basic or intermediate level checklist after an initial assessment within the relevant assessment cycle.

Note: Companies and retailers which favour the assessed site in the IFS database will receive a message, if there is repetition of a certain level.

4 Scope of the assessment

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

Food and non-food products are defined in ANNEX 4, Part 1.

Products excluded from the application scope of the IFS Progress – Logistics are also specified in ANNEX 4, Part 1.

IFS Progress – Logistics shall not apply to the following activities:

• importation, trading of goods (offices, e.g. typical broker companies with purchasing activities)
• transportation of living animals.

The following scopes are defined for IFS Progress – Logistics assessments:

1 Storage

   a Food products

   b Non-food products

2 Transport

   a Food products

   b Non-food products

The scope of the assessment shall be defined and agreed between the company/site and the certification body/assessment service provider before the assessment takes place. The scope shall be clearly and unambiguously stated in the contract between the company/site and the certification body/assessment service provider, in the assessment report and on the letter of confirmation.

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

The assessment shall be performed at a time to ensure the full scope of handled products and logistical activities, as mentioned in the report and on the letter of confirmation, can be effectively assessed. The assessment shall be specific to the site where all the logistical processes are undertaken. Where decentralised structures exist and the assessment of a certain location is insufficient for gaining a complete view of the site's processes, then all other relevant facilities shall also be included in the assessment. Full details shall be documented within the company profile in the assessment report.

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

If, under exceptional circumstances, the site decides to exclude specific logistical activities or product groups from the scope of the assessment, then this shall be clearly noted and included in the assessment report and on the letter of confirmation.

The assessment scope shall make reference to the assessed product scopes and product groups (see ANNEX 4, Part 1).

The company shall inform its certification body/assessment service provider about any change that may affect its ability to conform with the assessment requirements (e.g. recall, alert on products, organization and management, contact address etc.). This information shall be communicated within three (3) working days. Details shall be defined and agreed between both parties.

5   The assessment process

5.1   Voluntary self-assessment or pre-assessment

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

The self-assessment should be carried out by the site itself. Alternatively, the pre-assessment could be carried out by a certification body/assessment service provider or an independent and qualified consultant.

Self- or pre-assessment of requirements of the basic and intermediate level checklist is a voluntary step. Its intention is to allow the business to carry out its own gap analyses process and develop a corresponding action plan.

5.2 Certification body/assessment service provider selection—contractual arrangements

To ensure the integrity of the IFS Progress – Logistics program the logistics company going for an assessment against the basic or the intermediate level shall choose a certification body or assessment service provider with the corresponding assessors meeting the criteria of Part 3 of this program.

Certification bodies/assessment service providers can have assessors qualified for one or several scopes. Confirmation of the product scopes and product groups for which the certification body/assessment service provider can perform assessments shall be obtained from the individual certification body/assessment service provider. In general, an assessor is not allowed to perform more than three (3) consecutive assessments of the same company's site. In case of a pre-assessment the assessor who performs this assessment shall be different form the assessor who performs the initial assessment.

An individual assessment agreement shall exist between the assessed company and the certification body/assessment service provider detailing the scope of the assessment, the assessment date, duration and further reporting requirements. The agreement must be in place:

• authorising the certification body/assessment service provider to assess the management systems, facilities, sites and practices of the assessed party

• authorising the certification body/assessment service provider to upload the assessment report in the IFS database

• clarifying invoicing of the assessment.

The assessment shall be carried out in the working language of the company and the certification body/assessment service provider shall make every attempt to appoint an assessor whose native language or main working language is the language of the company. Requirements evaluated with C, D and/or Major shall always be translated into English within the action plan and the assessement report. Exceptions shall be agreed with the business partner.

It is the responsibility of the assessed company to verify that the certification body/assessment service provider is approved to conduct IFS Progress – Logistics assessment.

5.3 Duration of an assessment

The certification body/assessment service providers have an appropriate system for estimating the minimum time needed for an assessment. An assessment of the complete checklist(s) should typically last four (4) – eight (8) hours. The assessment duration does not include time for assessment preparation and report generation.

A number of factors, which are detailed in the contract between the certification body/assessment service provider and the assessed company, play a role in determining the time required for a comprehensive assessment.

They include:

• physical size of the logistics site

• the type of services offered

- the assessment scope
- the number of transport units involved
- the number of storage units involved
- total number of employees (part time workers, shift workers, temporary staff, administrative people, etc.)
- the number of deviations identified during previous assessment.

⅓ of the assessment duration shall be spent, as a minimum, in the operating area of the site.

5.3.1 Basic level assessment

The assessor will carry out a non accredited assessment against basic level checklist. The duration of the assessment depends on the nature and complexity of the assessed company.

5.3.2 Intermediate level assessment

The assessor will carry out a non accredited assessment against the intermediate level checklist including basic level requirements. The duration of the assessment depends on the nature and complexity of the assessed company.

5.4 Drawing up an assessment time schedule

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

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

The company will assist and co-operate with the assessor during the assessment. The assessor who conducts the assessment will assess all the requirements of IFS Progress – Logistics program, which are relevant to the company's structure and function.

During the closing meeting, the assessor shall present all findings and discuss all deviations, which have been identified. The certification body/assessment service provider shall issue a provisional pre-report and outline an action plan to the company, which shall be used as a basis for drawing up corrective actions for the determined deviations.

5.5 Conduct the assessment

Assessments can be conducted according to ANNEX 1, Part 1: Application of checklists.

Certification bodies/assessment service providers shall download the most current version of the program from the IFS database. If available, the certification body/assessment service provider must use the checklist in local language of the assessed site. Where translation in local language is not available, the English version shall be used.

The assessor shall assess all requirements of the relevant checklist.

5.6 Evaluation of requirements

The assessor assesses the nature and significance of any deviation. In order to determine whether compliance with basic or intermediate level requirements of IFS Progress – Logistics program have been met, the assessor has to evaluate the requirements of the checklist agreed on. There are different levels to rank the findings.

5.6.1 Scoring system

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

Scoring with:

A: Full compliance with the requirement specified in the program

B: Almost full compliance with the requirement specified in the program, but a small deviation was found

C: Only a small part of the requirement in the program has been implemented

D: The requirement in the program has not been implemented

Points are awarded for each requirement as follows:

Scoring possibilities for regular requirements:

Chart N° 1: Scoring of regular requirements

Result	Explanation	Points
A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement has been implemented	5 points
D (deviation)	Requirement has not been implemented	0 points

In addition to this scoring, the assessor can decide to give the site a "Major" for "must have" requirements that will subtract points from the total amount.

Scoring possibilities for "must have" requirements:
For "must have" requirements, a scoring with A, B, C, Major or N/A is possible.

Chart N° 2: Scoring of "must have" requirements

Result	Explanation	Points
A	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement has been implemented	5 points
Major (deviation)	Requirement has not been implemented	10 % of the possible total amount is subtracted

The assessor shall explain all scorings with B, C, D and Major for "Must Have" requirements in the assessment report.

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

Those requirements deemed not applicable to the site must be identified and/or pre-determined by the business partner, where applicable.

When the assessor agrees that a requirement is not applicable for a site, it has to be scored as:

N/A: Not applicable and provide a short explanation in the assessment report.

N/A scoring is possible for any requirements of the IFS Progress – Logistics program checklist.

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

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

5.7   Assessment report and letter of confirmation

Following each assessment, a written report shall and a letter of confirmation can be prepared in the agreed format (see Part 4). A letter of confirmation shall be issued if the assessment is provisonally approved or approved, only.

The report and the letter of confirmation shall be uploaded into the IFS database after the assessment. The report gives an overview of the compliance of the site.

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

5.7.1 Structure of the assessment report

The assessment report shall provide transparency and confidence to the reader and will be completed by the assessor. The assessment report can be subdivided into different sections:

- General information about the company and assessed site
- General assessment result
- General summary in a tabular format for all chapters. The result of the assessment will specify the level and percentage
- Summary of the assessment
- Description of follow up of corrective actions from previous assessment
- Observations on Major deviations
- summary of all established deviations
- Detailed assessment report
- Separate list (including explanations) of all requirements evaluated with N/A (not applicable).

All deviations identified during the assessment, are presented in a separate action plan. Following the allocation of a grade for each (Major) deviation, the site has to produce a corrective action plan. In this way, the reader of the report is made aware of the (Major) deviations and also the corrective actions that the site is initiating.

5.7.2 The different steps for the assessment report

5.7.2.1 Drawing up the report of the assessment and outline of the action plan
The assessor shall explain all deviations (B, C, D, Major) and all requirements that are found N/A.

The action plan shall include all requirements which are not evaluated with A or N/A. It shall include the elements of chart N° 3.

The assessor shall complete all of Field A in chart N° 3 explaining and justifying the deviations before sending the site the outline action plan and the pre-report of the assessment.

The certification body/assessment service provider or the assessor shall send the site both the pre-report of the assessment and the outline action plan within two (2) weeks of the assessment date.

Chart N° 3: Outline action plan

Number of the require-ment	IFS Progress – Logistics requirement	Evalu-ation	Explanation (by the assessor)	Correction, route cause, corrective action (by the site)	Responsi-bility, Date and status of imple-mentation (by the site)	Release by the assessor
			Field A	Field B	Field C	Field D
5.4.1 **Must Have**	An effective defined procedure shall be in place for …	Major				
5.4.2	The procedure for the management of non-conforming products …	C				
5.4.3	The procedure for the management of non-conforming products shall be understood, …	B			X	
5.4.4	Where non-conform-ities are identified, immediate corrections …	D				

5.7.2.2 Company's completion of the corrective action plan

The site shall enter correction, root cause and proposed corrective actions (Field B of chart N° 3) for all deviations (B, C, D, Major) listed by the assessor.

For all evaluated deviations with score C, D and Major the site shall clearly state the responsibilities and implementation deadlines for corrective actions (chart N° 3, Field C). Corrective actions shall be implemented within three (3) months. If this is not possible, exceeded timeframe need to be constituted. The site shall forward the corrective action plan to the certification body/assess-ment service provider within two (2) weeks of having received the assessment pre-report and the action plan layout. If this deadline is not respected, the site has to undergo a complete new assessment.

Note: Variant processes for drawing up report and outlining action plan could be agreed on with the business partner.

5.7.2.3 Validation of the action plan

The assessor or a representative of the certification body/assessment service provider shall vali-date the corrective action plan submitted by the assessed company (field D of the chart N° 3). If the corrective actions are not valid or are inadequate, the certification body/assessment service provider shall return the action plan to the site for completion in due time. If deadlines are not respected, the site has to undergo a complete new assessment.

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

The general scoring of the different levels is described below.

5.8.1 Basic level

The outcome of the assessment according to basic level can be:

Chart N° 4: Assessment results in basic level

Assessment result	Status	Action assessed party	Report form	Assessment frequency
> 1 Major in basic level and/or total score < 75 %	Not approved	Actions and new assessment to be agreed upon	Report gives status	Re-assessment
Max. 1 Major in basic level and total score ≥ 75 %	Provisionally approved in basic level as long as further actions taken and validated by the partner or CB/ASP for final approval	Send corrective action plan within 2 weeks after receiving the pre-report. Implement corrective action plan within 3 months after assessment. Implement corrective action for Major deviation for final validation	Report including corrective action plan gives status	12 months to renewal assessment
	In case no further actions are taken or no validation—not approved in basic level	Actions and new assessment to be agreed upon	Report gives status	Re-assessment
No Major in basic level and total score ≥ 75 %	Approved in basic level	Send corrective action plan within 2 weeks after receiving the pre-report. Implement corrective action plan within 3 months after assessment	Report including corrective action plan gives status	12 months to renewal assessment

The outcome is calculated automatically following the above rules.

5.8.2   Intermediate level

The outcome of the assessment according to intermediate level can be:

Chart N° 5: Assessment results in intermediate level

Assessment result	Status	Action assessed party	Report form	Assessment frequency
No Major in intermediate level and no Major in basic level and total score < 75 % for intermediate level checklist	Not approved in intermediate level	Actions and/or new assessment to be agreed upon	Report gives status	Re-assessment of intermediate level, if desired
≥ 1 Major in intermediate level and > 1 Major in basic level	Not approved in basic and intermediate level	Actions and new assessment to be agreed upon	Report gives status	Re-assessment
≥ 1 Major in intermediate level and max. 1 Major in basic level and total score ≥ 75 % of basic level checklist	Provisionally approved in basic level as long as further actions taken and validated by the partner or CB/ASP for final approval	Send corrective action plan within 2 weeks after receiving the pre-report. Implement corrective action plan within 3 months after assessment. Implement corrective action for Major deviation for final validation	Report including corrective action plan gives status	12 months to renewal assessment
	In case no further actions are taken or no validation— not approved in basic level	Actions and new assessment to be agreed upon	Report gives status	Re-assessment
	Not approved in intermediate level			

Assessment result	Status	Action assessed party	Report form	Assessment frequency
≥ 1 Major in intermediate level and no Major in basic level and total score ≥ 75 % of basic level checklist	Approved in basic level Not approved in intermediate level	Send corrective action plan within 2 weeks after receiving the pre-report. Implement corrective action plan within 3 months after assessment	Report including corrective action plan gives status	12 months to renewal assessment
No Major in intermediate level and no Major in basic level and total score ≥ 75 % for basic level checklist and total score ≥ 75 % for intermediate level checklist	Approved in intermediate level	Send corrective action plan within 2 weeks after receiving the pre-report. Implement corrective action plan within 3 months after assessment	Report including corrective action plan gives status	12 months to renewal assessment or IFS Logistics certification

The outcome is calculated automatically following the above rules.

Note: the total score is calculated as following:

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

Final score (in %) = number of points awarded/total number of points.

Generally, for the IFS Progress – Logistics program assessments, no certificate, but a letter of confirmation is issued. A template can be found in Part 4 of this document and in the certification bodies'/assessment service providers' login-area of the IFS database.

The evaluation of the assessment is calculated, following the rules, outlined in the decision tree below and explained in chapter 5.8.1 (basic level) and 5.8.2 (intermediate level). The decision tree and respective evaluation explanations can also be downloaded by the certification body/assessment service provider from the IFS database.

Chart N° 6: Decision tree
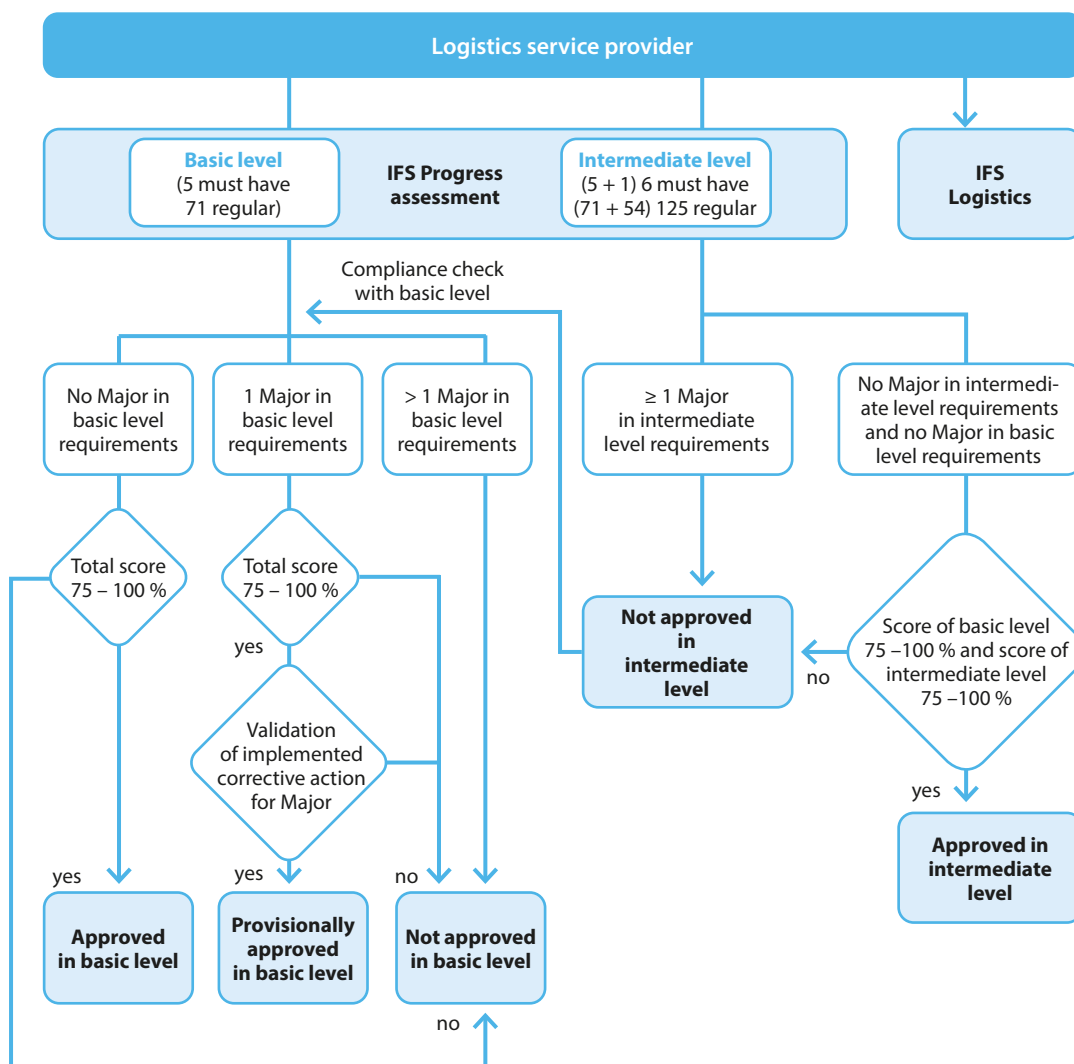
5.9 IFS Progress – Logistics assessment timeframe

The assessment shall be valid effectively from the date of issue stated on the formal report and the letter of confirmation itself and shall end after initial assessment date + eight (8) weeks – one (1) day + one (1) year. The date for the following scheduled assessment shall be calculated from the date of the initial assessment, not from the date of issue the report/letter of confirmation. If the assessment is not performed in due time, the retailers or other users may be informed via the IFS database.

The time between the date of the assessment and the upload of the final report/letter of confirmation is determined as follows:

- two (2) weeks to draw up the pre-report of the assessment
- two (2) weeks for the site to respond to the deviations (i.e. draw up the action plan)
- two (2) weeks for the assessor to check the proposed corrective actions and upload of the assessment report, the letter of confirmation and the action plan to the IFS database.

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

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

Note: Variant processes for drawing up report/letter of confirmation and outlining action plan could be agreed on with the business partner.

6   Assessment cycle

The renewal assessment should be initiated by the business partner or the assessed company.

Note: The assessed site receives a reminder from the IFS database three (3) months before assessment report/letter of confirmation expiration.

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

This allows to avoid gaps between two (2) consecutive reports/letter of confirmations and to avoid that a company scheduling the assessment earlier loses some months of the assessment validity.

Example:

Initial assessment date:	01. October, 2016
Date of issue of report/letter of confirmation:	21. November, 2016
Report/letter of confirmation valid until:	25. November, 2017
Renewal assessment date:	25. September, 2017
Report/letter of confirmation valid until:	25. November, 2018 (independently from the renewal assessment date).

Chat N° 7: Assessment cycle

| Oct. 2016 | Nov. | D J F M A M J J A | Sept. 2017 | O | Nov. | D J F M A M J J A S | Oct. 2018 | Nov. | D J F M A M J J A S |

IA: 01. 10. 2016   < 12 months   RA: 25. 09. 2017   > 12 months   RA: 05. 10. 2018

R/LoC: 25. 11. 2017   = 12 months   R/LoC: 25. 11. 2018   = 12 months   R/LoC: 25. 11. 2019
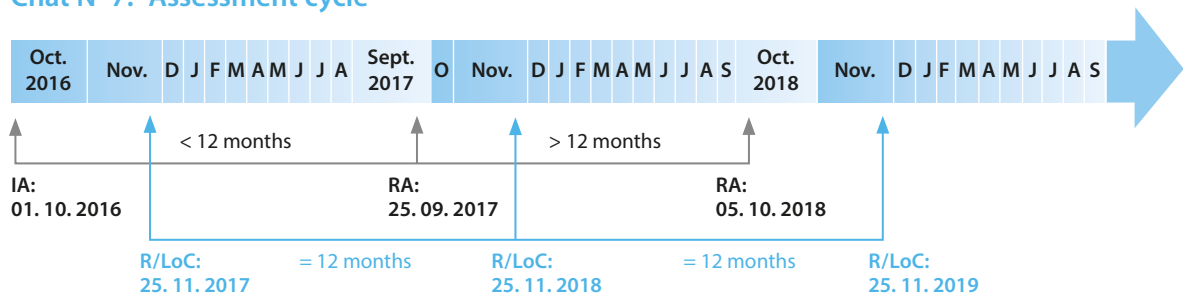
IA: Initial assessment
RA: Renewal assessment
R/LoC: Report/letter of confirmation valid until

The following assessment should be scheduled at earliest eight (8) weeks before and at latest two (2) weeks after the assessment due date (due date is anniversary date of the initial assessment). Not respecting the mentioned rules in due time will lead to an assessment cycle break.

In case no renewal assessment takes place, the assessed company remains visible a further three (3) months after the validity of report/letter of confirmation expired on the IFS database.

7 Distribution and storage of the assessment report

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

Access conditions to information about assessment reports are fully detailed in Part 4.

8 Ownership and usage of the IFS Progress – Logistics logo

The copyright of IFS Progress – Logistics and the registered trademark is fully owned by the IFS Management GmbH. The IFS Progress – Logistics logo can be downloaded via the secured section of the IFS database.

Furthermore, the below terms and conditions shall be checked by the assessor during the assessment and results of this check shall be described in the company profile of the assessment report. In case the assessor identified that the company doesn't fulfil those terms and conditions, IFS shall be informed accordingly.

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

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

The IFS Progress – Logistics logo can be used in print, physical and electronic form, and in films, providing the forms and formats are respected. The same conditions apply to the use of the logo as a stamp.

Restriction of comment and interpretations
When an IFS Progress – Logistics assessed company, an IFS Progress – Logistics supporting company or an IFS Progress – Logistics certification body/assessment service provider publishes documents bearing the IFS logo, comment and interpretations referring to the IFS shall be clearly identifiable as such.

Use of the IFS Progress – Logistics logo in promotional material
An IFS Progress – Logistics assessed company, an IFS Progress – Logistics supporting company (e.g. sub-contractor) which accepts IFS assessments/certificates from their suppliers or service providers, or an IFS certification body/assessment service provider may use the IFS logo for promotional reasons (e.g. on trucks) and publish information about IFS assessment provided that it is not visible on final product packaging which are available to the end-consumer.

The IFS Progress – Logistics logo and information about the assessment may be used in correspondence with relevant IFS users. Presentations mentioning IFS on the internet are only permitted if they are in a direct link with product safety (e.g. within information about the safety/quality management system).

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

The IFS logo may not be used in presentations having no clear connection to IFS.

Further restriction on the use of the IFS Progress – Logistics logo
The IFS Progress – Logistics logo shall not be used in a way that could show intent that the IFS owner is responsible for the assessment decision. Furthermore, the same applies for opinions and interpretations which could be derived from it. In the event of suspension or withdrawal of the IFS Progress – Logistics program assessment decision, the assessed company has to immediately stop the inclusion of the IFS logo on its documents or other associated material and cease all communications regarding IFS. The assessed company must demonstrate that they have complied with these requirements.

Communication of the IFS Progress – Logistics assessment
All the above mentioned rules apply to any communication regarding the IFS Progress – Logistics. This also means that using the wordmarks "IFS", "International Featured Standards", or "IFS Progress – Logistics" or similar is not allowed when communicating on finished products, which are available to the end-consumer.

9 Review of the IFS Progress – Logistics program

The review committee needs to demonstrate control of the quality and content of the program and will regularly review the basic and intermediate level checklists and the protocol to ensure that they are still in compliance with their requirements. The review committee shall be formed with all participants involved in the assessment process: representatives of the retailers, of the industry, of consultants and of certification body/assessment service providers. The objective of the review committee is to share experiences, discuss and decide about the changes to the checklist's requirements of the assessment report and training.

ANNEX 1: Application of checklists

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┌─────────────────────────────────────┐
│ 1.  Self- and /or pre-assessment     │
└─────────────────────────────────────┘

        ┌───────────────────┐
        │ 2.  Basic level   │
        │     assessment    │
        └───────────────────┘

        ┌─────────────────────────────────┐
        │ 3.  Intermediate level assessment│
        └─────────────────────────────────┘

┌─────────────────────────────────────┐
│ 4.  IFS Logistics certification      │
└─────────────────────────────────────┘
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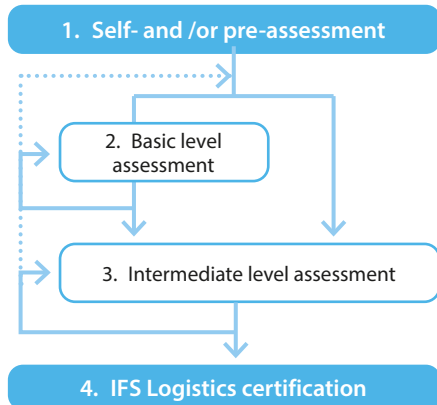
There are possible variants to apply basic or intermediate level checklists.

Typically the time between passing the assessments is one (1) year and ideally no fall back should be achieved.

Note: Deviating application of checklists and timeframe can be agreed between the business partners.

ANNEX 2: Assessment process

1. Decision by the company to be assessed according to IFS Progress – Logistics

1. Request from a customer/business partner to be assessed according to IFS Progress – Logistics

2. Read the current version of requirements of the IFS Progress – Logistics

2 a. Conduct a self-assessment against the IFS Progress program's checklists

3. Selection of a certification body/assessment service provider by the assessed party or the business partner

Together with the CB /ASP: Quotation, decision, signature of contract, determination of assessment date, duration and the assessment scope

3 a. Conduct a pre-assessment against the IFS Progress program's checklists

4. Assessment planning and preparation. Realisation of the selected level assessment on-site at the determined date, by an assessor competent in the product scopes and groups (see ANNEX 4, Part 1)

5. Opening meeting, site inspection, procedure review and interviews of employees. Creation of the assessment conclusions

6. Closing meeting including information about the determined deviations

Approved	Not approved due to Majors or low total score	Provisionally approved

7. Preparation of an assessment report and of a corrective action plan by the assessor

8. Completion of the corrective action plan and determination of corrective actions by the assessed site

8. Completion of the corrective action plan

8. Completion of the corrective action plan, determination and implementation of corrective actions by the assessed site

9. Return of the fulfilled action plan to the CB/ASP/assessor

9. Return of the fulfilled action plan to the CB/ASP/assessor

9. Return of the fulfilled action plan and provide evidence regarding implementation of corrective actions for Major deviation to the CB/ASP/assessor/business partner

Three (3) month before the assessment report/ letter of confirmation expires, a reminder will be sent to the assessed site by the IFS database for scheduling a new assessment or audit with the certification body/assessment service provider.

10. Proofreading of the completed corrective action plan by the CB/ assessment service provider/assessor with feedback to the assessed party

10. Proofreading of the completed corrective action plan and validation of corrective actions on Major deviation by the business partner or CB/ASP for final approval with feedback to the assessed party

voluntary

CB = certification body
ASP = assessment service provider

11. Sending of the final report to the assessed company

12. Uploading of the assessment data into the IFS database (assessment details, report, corrective action plan, letter of confirmation) by the CB/assessment service provider

ANNEX 3: Assessment scopes

The following scopes are defined for IFS Progress – Logistics assessments:

1 Storage

    a) Food products

    b) Non-food products

2 Transport

    a) Food products

    b) Non-food products

ANNEX 4: Product scopes and product groups, which shall be specified in the company profile of the assessment report

Table 1: Food products

IFS Progress – Logistics food product scopes	
1.	Red and white meat, poultry and meat products
2.	Fish and fish products
3.	Egg and egg products
4.	Dairy products
5.	Fruit and vegetables
6.	Grain products, cereals, industrial bakery and pastry, confectionary, snacks
7.	Combined products
8.	Beverages
9.	Oils and fats
10.	Dry goods, other ingredients and supplements
11.	Pet food

Table 2: Non-food products

	IFS Progress – Logistics non-food product scopes
1.	Household and personal care products (cosmetics, household chemical products, daily housekeeping properties, personal hygiene)
2.	Packaging materials
3.	Electric/electronic devices: • Household equipment (e.g. kitchen equipment, white goods) • Entertainment electronics (e.g. televison and HIFI equipment, computer, telecommunication, cameras, etc.) • Light engineering (e.g. lamps, bulbs, contactors, etc.)
4.	Housekeeping goods (which are not already included in the HPC scope, like porcelain, dishes, cutlery, pans, etc.)
5.	Textiles (clothing, underwear and shoes, leather, bedclothes and tablecloths, etc.)
6.	Media products (newspapers, books, CDs and other sound storage media, computer games, software, etc.)
7.	Furniture
8.	Tools and technical equipment (DIY)
9.	Stationary/office materials
10.	Toys
11.	Plants and flowers
12.	Gardening equipment
13.	Others

Non-food product groups which are excluded from the scope of IFS Progress – Logistics:

- Resources – different conditions (solid, liquid and gas)
- Pharmaceutical products/medicines, which are only available on prescription
- Explosive substances/munitions, etc.
- Waste/litter

PART 2
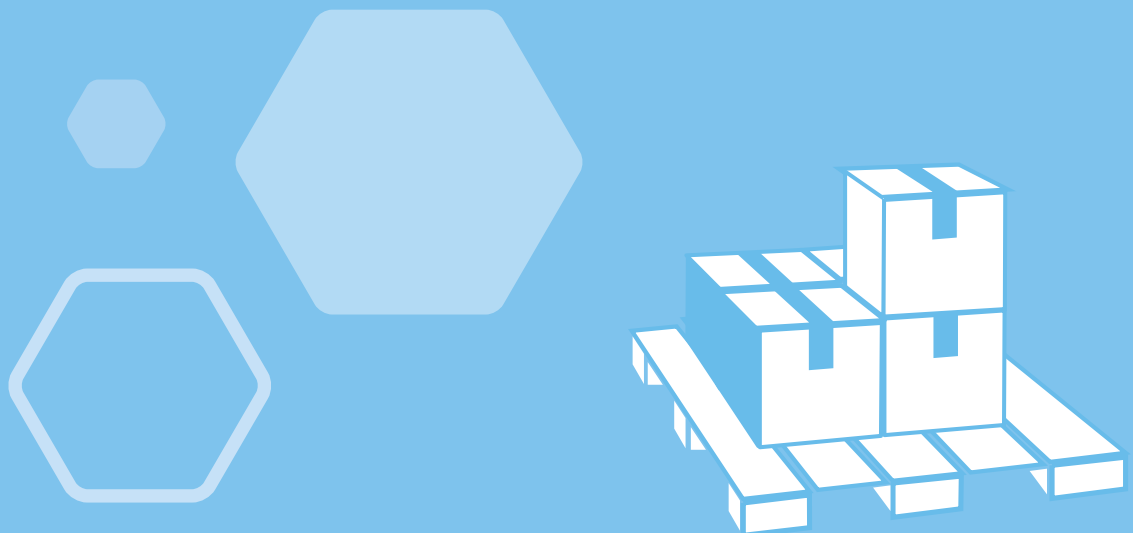
Part 2
List of IFS Progress – Logistics assessment requirements

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
1		**Management responsibility**		
1.1		**Company structure**		
1.1.1		The company shall ensure that there is management commitment to provide resources to develop, implement and comply with product safety, legality and quality according to client agreements and specifications.		1.2.7
1.1.2			An organisation chart shall be available showing the structure of the company. The organisation chart shall include, if applicable, the associated operating facilities (e.g. independent central warehouse(s), satellite depots and other locations where logistical activities are carried out).	1.2.1
1.1.3			The person or department responsible for quality and product safety management shall have a direct reporting relationship to the senior management.	1.2.2
1.1.4			The company shall assign responsibility for external communications (crisis management, authorities and communication with media) to a specific responsible person or persons.	1.2.3
1.1.5			Competences and responsibilities, including deputation of responsibility shall be clearly laid down.	1.2.4
1.1.6			The senior management shall ensure that employees are aware of their responsibilities related to product safety and quality.	1.2.5

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
1.1.7			Responsibilities related to product safety and quality shall be reviewed at least annually.	1.2.5
1.1.8			The company shall have a system in place to ensure that it is kept informed of all relevant and current legislation. The legal requirements shall be implemented by the respective department(s).	1.2.6
1.2		**Management review**		
1.2.1			Senior management shall ensure that the quality and product safety management system is reviewed at least annually, or more frequently, if changes occur.	1.4.1
2		**Quality and product safety management**		
2.1		**Product safety management**		
2.1.1		The company shall identify and comply with regulatory and customer requirements related to the products and to the product categories.		2.1.1 4.1.1.1
2.1.2		The company shall have a designated person for product safety.		1.2.2
2.1.3			The company shall establish a multi-disciplinary product safety team.	2.2.1
2.1.4		The company shall describe the activities performed at the platform and develop a flow diagram, where the sequence of all activities is presented in detail.		2.3.3
2.1.5		The company shall cluster the existing products into categories based on the required temperature conditions for storage, the risk related to the form of packaging (packed/unpacked) etc.		2.3.5
2.1.6			The company shall cluster the existing products into categories based on the required temperature conditions for storage, the risk related to the form of packaging (packed/unpacked) etc. For each category a hazard analysis should be performed and measures implemented for the control of the identified hazards.	2.3.5

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
2.1.7	Must Have	The company shall establish a system for monitoring, controlling and recording the relevant storage conditions (ex.temperature, humidity etc.) on each storage area of the warehouse. The responsible person shall have the appropriate training.		2.3.6

2.1.8	Must Have	In case of any kind of preparation (e.g. sorting, repacking), the company shall:
		• Perform a hazard analysis of its process to determine any associated hazards.
		• Use the HACCP [Hazard Analysis Critical Control Point] tool to accomplish this assessment.
		• If hazards are identified within the process, it is expected that the company will take appropriate action necessary to develop a HACCP plan that meets the 7 principles reflected within Codex Alimentarius.
		  ◦ Principle 1 – Develop a hazard analysis for each level of the flow charts.
		  ◦ Principle 2 – Determine the CCPs within the scope of the HACCP plan.
		  ◦ Principle 3 – Determine critical limit values for all CCPs.
		  ◦ Principle 4 – Develop a system for monitoring and controlling the CCPs.
		  ◦ Principle 5 – Determine corrective measures and implement them when necessary.
		  ◦ Principle 6 – Regularly review and verify the effectiveness of the HACCP programme.
		  ◦ Principle 7 – Create documentation for all steps of the concept including processes and procedures.
		In case of any processing of food, the company shall fulfil the requirements of Progress – Food as an initial step and then a certification against one of the GFSI recognised schemes for food processing.
		For any kind of those additional to the commonly performed activities in a warehouse (preparation or processing), the company shall have the written approval and classification of the activity (if it is preparation or processing) from the customer.
				2.3.8

2.1.9			A hazard analysis shall be undertaken to evaluate all physical, chemical and biological hazards, including allergens, that may reasonably be expected to occur. In case of identified hazards, the steps described in 2.1.8 shall be followed.	2.3.4

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
2.2		**Documentation requirements**		
2.2.1			The system for product safety and quality management shall be documented, implemented and shall be retained in one location (safety and quality manual or electronic documented system). The reason for any amendments to documents critical for the product requirements shall be recorded.	2.4.1
2.2.2			All necessary documents shall be available in their latest version. They shall be appropriately authorized and available to relevant personnel at all times. The documentation can be retained on hard copy or electronically. With respect to IT-based documentation, this shall be traceable to an authorizing signatory.	2.4.2
2.3		**Record keeping**		
2.3.1		All relevant records, shall be complete, detailed, maintained and shall be available on request.		2.5.1
2.3.2		Records shall be legible and genuine. Any amendments to records shall only be carried out by authorized persons. If monitoring records are documented electronically, a system shall be in place to ensure that only authorized personnel have access to produce or amend these records (e.g. by the use of a password).		2.5.2
2.3.3		All records shall be kept in accordance with legal and customer requirements and at least for 18 months. The records shall be securely stored and easily accessible.		2.5.3

PART 2

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
3		**Resource management**		
3.1		**Personnel training/information**		
3.1.1		The company shall implement a product safety training for all employees in contact with products. Before commencing work, basic product safety training shall take place.		3.1.1
3.1.2			The company shall implement a product safety training program for all employees in contact with products. Before commencing work, basic product safety training shall take place. The document- ed training programs and/or instruction shall apply to all personnel, including seasonal and temporary workers, employed in the respective work area. The training programs records shall include: • training contents • training frequency (concerning product safety/hygiene at least once per year) • list of participants.	3.1.1
3.2		**Personnel hygiene**		
3.2.1		There shall be documented requirements relating to personnel hygiene, and where appropriate, the control of infection. These shall include, as a minimum: • hand washing and disinfection • eating and drinking • smoking • actions to be taken in case of cuts or skin abrasions.		3.2.1
3.2.2		The requirements for personnel hygiene shall be in place and applied by all relevant personnel, contractors and visitors.		3.2.2
3.2.3			Compliance with the requirements for personnel hygiene shall be monitored and recorded.	3.2.2
3.2.4		The protective clothing for employees and visitors shall be appropriate, dependent on the product and process requirements.		3.2.3
3.2.5		All protective clothing shall be thoroughly and regularly laundered.		3.2.4

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
3.2.6			Hazard analysis and assessment of associated risks, together with consideration given to the processes and products of the company shall determine if clothing shall be washed by a contract laundry, on site laundry or by the employee.	3.2.4
3.3		**Sanitary facilities, equipment for personnel hygiene and staff facilities**		
3.3.1			The company shall provide staff facilities, which shall be proportional in size and equipped for the number of personnel. Such facilities shall be kept in clean and good condition.	3.3.1
3.3.2		Adequate hand washing facilities shall be provided in the storage area and/or the associated sanitary areas based on assessment of associated risks.		3.3.2
3.3.3		Hand washing facilities shall provide as a minimum: • running potable water at an appropriate temperature • liquid soap • appropriate equipment for hand drying.		3.3.3
3.3.4		Where unpackaged food products are handled, the following additional requirements regarding hand washing/hygiene shall also be provided: • hand contact-free fittings • hand disinfection • adequate hygiene equipment's • signs requesting hand washing • waste container with hand contact-free opening.		3.3.4
4		**Realisation of the service**		
4.1		**General requirements for storage and transport**		
4.1.1		**Contract review and communication**		
4.1.1.1		The requirements which are defined between the contract partners shall be established, reviewed with regard to their acceptability and agreed upon before a supply agreement is concluded. All clauses related to quality and product safety shall be known and communicated to each relevant department.		4.1.1.1
4.1.1.2			Changes of existing contractual agreements shall be documented and communicated between the contract partners.	4.1.1.2

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
4.1.2		**Specific requirements for material handling**		
4.1.2.1		The company shall have a procedure to avoid any contamination (also cross-contamination caused by incompatible products in the same transport unit or storage room). A contamination by emissions, exhaust fumes, smell, foreign bodies, packaging material and any other contaminants shall be avoided.		4.1.3.1
4.1.2.2		Measures shall be in place to prevent the cross contamination of unpacked products with other ingredients such as GMO, allergens etc.		4.1.3.2
4.1.3		**Traceability**		
4.1.3.1	**Must Have**	A traceability system shall be in place and maintained, which is appropriate for the company and the products handled.		4.1.4.1
4.1.3.2		The system shall ensure that the goods (incl. quantity) are identifiable within the defined logistical supply chain at all time. Furthermore, this system shall enable clear identification of every person and/or logistics company from which they receive the goods and to which company the goods are delivered to.		4.1.4.2
4.1.3.3			The company shall keep an updated register of all customers and quantity of the customer goods under their control. In the storage area, the products shall be assigned to a customer.	4.1.4.3
4.1.3.4			The traceability system shall be tested on a regular basis, but at least annually and each time the traceability system changes. This test shall be performed in order to confirm the effectiveness of the traceability system and to, if necessary, improve it. Test results shall be recorded and corrective measures shall be implemented, if required.	4.1.4.4
4.1.4		**Maintenance and repair**		
4.1.4.1		An adequate system of planned maintenance shall be in place, maintained and documented, covering all equipment (incl. transport) that is critical for compliance with product safety and quality requirements. This applies both for internal and external maintenance activities.		4.1.5.1

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
4.1.4.2			Product requirements and prevention of contamination shall be ensured during and after maintenance and repair work. Detailed records of maintenance and repair work, including corrective actions taken, shall be kept.	4.1.5.2
4.1.4.3			All materials used for maintenance and repair shall be fit for the intended use (e.g. food-grade oils, non-toxic paints if unpacked products are handled).	4.1.5.3
4.1.4.4			Failures of site and equipment covered by the maintenance system shall be documented and reviewed with a view to adapting the maintenance system.	4.1.5.4
4.1.5		**Air conditioning/cooling/water/ice and compressed air**		
4.1.5.1		Requirements for environmental control (e.g. temperature, humidity) which influence product quality and product safety shall be defined and implemented.		4.1.6.1
4.1.5.2		Where the process requires air conditioning/chilled air, the equipment used for this purpose shall be adequately maintained and cleaned within an appropriate frequency.		4.1.6.3
4.1.5.3		In case of breakdown of the air conditioning/chilled system and/or in the event of deviations from the target temperature, effective emergency corrective action procedures shall be in place ensuring product safety or quality is not compromised.		4.1.6.4
4.1.5.4			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.	4.1.6.4
4.1.5.5		Water and ice that comes in direct contact with food and/or food packaging shall be of potable quality, and evaluated at appropriate intervals.		4.1.6.5

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
4.1.6		**Cleaning and disinfection**		
4.1.6.1		Cleaning and disinfection schedules shall be established, implemented and documented. These shall specify: • responsibilities of staff • the products used and their instructions for use • the areas to be cleaned and/or disinfected • objectives • cleaning frequency • documentation requirements • hazard symbols (if necessary).		4.1.8.1
4.1.6.2			Based on hazard analysis and assessment of associated risks, cleaning and disinfection schedules shall be established, implemented and documented.	4.1.8.1
4.1.6.3			The effectiveness of the cleaning and disinfection measures shall be verified and documented. Resultant corrective actions shall be documented.	4.1.8.2
4.1.6.4		The facility exterior shall be clean and in good condition.		4.1.8.4
4.1.6.5		Current Safety Data Sheets (SDS) and instructions for use shall be available on-site for chemicals and cleaning agents. Instructions shall be known by the responsible personnel.		4.1.8.5
4.1.6.6		Cleaning utensils and chemicals shall be clearly labelled. These shall be stored and used in a way to avoid contamination.		4.1.8.6
4.1.6.7			Where a company employs a third-party service provider for cleaning and disinfection activities, all requirements shall be clearly defined in the respective contract.	4.1.8.7
4.2		**Storage and handling**		
4.2.1		**Constructional requirements**		
4.2.1.1		The working environment shall not compromise product safety and/or quality.		4.2.1.1
4.2.1.2		All working areas shall have adequate lighting.		4.2.1.2
4.2.1.3		The company shall control the risk of glass contamination. In areas where open products are handled, lighting equipment shall be protected by the use of shatter proof lights and installed to minimize the risk of breakage.		4.2.1.3

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
4.2.1.4			Procedure shall be in place describing the measures to be taken in case of breakage of glass and similar material. Such measures shall include: • cleaning methods • avoiding of contamination • product quarantine (blocking/hold) and releasing.	4.2.1.4
4.2.1.5		The loading area shall be appropriate for its intended use. It shall be constructed in a way that: • products are protected from rain • accumulation of waste is avoided • condensation and formation of mould growth is prevented • cleaning can be easily undertaken.		4.2.1.5
4.2.1.6		The floor, walls and ceilings shall be in good condition.		4.2.1.6
4.2.1.7		Windows, doors and gates shall be in good condition and shall be kept closed, if not used.		4.2.1.7
4.2.1.8		Rack and storage areas (e.g. staging areas, bins) shall be adequately spaced from the walls (minimum 12 inches/30 cm) to allow for inspection of areas for cleanliness, insect or rodent activity.		not explicitly mentioned
4.2.2		**Equipment**		
4.2.2.1		All equipment shall be designed for its intended use, maintained and stored not to pose any product safety or quality risk.		4.2.2.1
4.2.2.2			The utilities and other equipment (cables, switches, etc.) shall be easily accessible for cleaning.	4.2.2.2
4.2.2.3		Work equipment, which are being used, shall be designed so that possible damage and/or contamination is prevented.		4.2.2.3
4.2.3		**Pest monitoring/pest control**		
4.2.3.1		The company shall have a pest control system in place which is in compliance with local legal requirements and shall have, as a minimum, criteria for: • the site environment (potential pests) • site plan with area for application (bait map) • identification of the baits on-site • responsibilities (in-house/ external) • products/agents and their instructions for use and safety • the frequency of inspections.		4.2.3.1
4.2.3.2		The company shall have qualified and trained in-house staff, and/or employ the services of a qualified external provider.		4.2.3.2

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
4.2.3.3			Where an external provider is used, the activities required on site shall be laid down in a written contract.	4.2.3.2
4.2.3.4		Following pest control inspections, any resulting recommendations shall be acted upon by both parties and actions shall be documented, including the date when corrective actions were taken. The products used for pest control shall not compromise product safety.		4.2.3.3
4.2.3.5			The effectiveness of the pest control shall be monitored and regular trend analyses undertaken.	4.2.3.3
4.2.3.6		Incoming deliveries shall be checked on arrival for the presence of pests. Any infestation shall be documented and control measures taken.		4.2.3.4
4.2.3.7		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.		4.2.3.5
4.2.4		**Receipt of goods and storage**		
4.2.4.1		Procedures for the receipt of goods shall be established, effectively implemented and communicated to all relevant personnel. These procedures shall include: • General checking criteria (e.g. identification of products and vehicle), • Rules for goods acceptance, goods rejection and qualified acceptance. At a minimum, surface temperature of product on incoming vehicles shall be checked and recorded prior to unloading. Non-conformities shall be acted upon and documented. If specific product checks are requested by the customer, they shall be implemented and known by the responsible employees.		4.2.4.1
4.2.4.2		All products shall be clearly identifiable at all times. Storage, removal and handling of the goods shall be in accordance with customer requirements.		4.2.4.2
4.2.4.3		A system should be in place that effectively controls stock and may include methods such as, First In – First Out (FIFO) or First Expired – First Out (FEFO) and shall meet customer requirements.		4.2.4.3
4.2.4.4			The staff shall be trained in the safe handling and security of product at all times, e.g. during loading, unloading and whilst in storage.	4.2.4.5
4.2.4.5		Outdoor storage shall be kept to a minimum. Where goods are stored outside, should be ensured that there is no risk of contamination or adverse effect on quality and product safety.		4.2.4.6

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
4.2.4.6		Where pallets are used, these shall be inspected to ensure they are in good condition and shall not compromise product safety.		4.2.4.7
4.2.5		**Waste disposal**		
4.2.5.1		All current legal requirements for waste disposal shall be met.		4.2.5.1
4.2.5.2		Food waste and other waste shall be removed from areas where food and/or sensitive goods are handled and pose a risk to product safety and quality.		4.2.5.2
4.2.5.3		Waste collection containers shall be clearly marked and in a proper condition.		4.2.5.3
4.2.6		**Storage service providers**		
4.2.6.1			Where a company employs a third-party storage service provider, all the requirements of this checklist shall be clearly defined in the respective contract.	4.2.6.1
4.2.6.2		Where a company employs a third-party storage service provider, the employees of the service provider shall understand and apply the personnel hygiene requirements of the company.		4.2.6.2
4.3		**Transport**		
4.3.1		**Transport requirements**		
4.3.1.1		Product quality, safety and integrity shall be maintained during transport.		4.3.1.1
4.3.1.2		Where goods must be transported at defined conditions (e.g. temperature), the conditions inside the vehicle shall be checked before loading and documented to ensure compliance to the specified conditions.		4.3.1.2
4.3.1.3		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). Prior to loading of the product in these transport containers, the containers shall be precooled.		4.3.1.3
4.3.1.4		Temperature controlled vehicles shall carry suitable on-board temperature monitoring devices, which alert the driver in case of failure. The transporter shall be able to provide on demand such time/temperature data to the customer, if requested for a specific tour.		4.3.1.1 4.1.5.4
4.3.1.5			The company shall have a procedure in place to regularly verify the effective operation of temperature monitoring and temperature control devices.	4.3.1.1

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
4.3.1.6			Procedures for dealing with vehicle or refrigeration systems breakdown shall be in place.	4.3.1.1
4.3.1.7		During transport, the respective permissible load level of transport vehicles, transport units and/or containers shall not be exceeded, in order to maintain a proper air circulation and product safety and quality.		4.3.1.4
4.3.1.8		The transport vehicles shall be suitable for the needed transportation (clean, free from odours and have no detectable leaks).		4.3.1.5
4.3.1.9		Cleaning of the transport unit shall be performed with consideration of the specific hygienic requirements and product risks.		4.3.1.6
4.3.1.10			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).	4.3.1.6
4.3.1.11			The company shall have a procedure in place that efficiently controls the product safety/quality of mixed load transports (for groupage consignment).	4.1.3.1
4.3.2		**Transport service providers**		
4.3.2.1			Where a company uses a third-party transport service provider on a regular basis, all the requirements specified within the transport section of this checklist shall be clearly defined in the respective contract.	4.3.2.1
4.3.2.2		The drivers of the service provider shall know and apply the personnel hygiene requirements.		4.3.2.2
5		**Measurements, analyses & improvements**		
5.1		**Internal audits**		
5.1.1	**Must Have**		Effective internal audits shall be conducted according to a defined and agreed audit program and shall cover all the requirements of this checklist. Scope and frequency of internal audits shall be determined by hazard analysis and assessment of associated risks. This criteria is also applicable for off-site locations owned or rented by the company.	5.1.1

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
5.1.2			Internal audits of activities which are critical to product safety shall be carried out at least once a year.	5.1.2
5.1.3			The auditors shall be competent and independent from the audited department.	5.1.3
5.1.4			Audit results shall be communicated to the senior management and to responsible persons of relevant departments. Necessary corrective actions and a schedule for implementation shall be determined. All corrective actions shall be undertaken, documented and communicated to every relevant person.	5.1.4
5.1.5			It shall be documented, how and when the corrective actions resulting from the internal audits shall be verified.	5.1.5
5.2		**Site inspections**		
5.2.1		Site inspections shall be planned and carried out involving evaluation of the infrastructure of the site, the operational aspects of personnel hygiene, hygiene of the process, etc.		5.2.1
5.2.2			Site inspections shall be planned and carried out, based on hazard analysis and assessment of associated risks. In addition to the infrastructure of the site, the operational aspects of personnel hygiene, hygiene of the process, the HACCP/ risk management system and product defence shall be evaluated.	5.2.1
5.2.3		Any discrepancies found from the site inspections as well as corresponding corrective action shall be recorded. The corrective actions shall be implemented.		5.2.2
5.3		**Calibration, adjustment and checking of measuring and monitoring devices**		
5.3.1		The measurement equipment and devices shall be checked, calibrated and/or verified and/or adjusted at defined intervals.		5.3.2

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
5.3.2			The measurement equipment and devices shall be checked, calibrated and/or verified and/or adjusted at defined intervals and against recognised standards/methods (if appropriate). The results of checks, adjustments and/or calibration shall be documented.	5.3.2
5.4		**Management of non-conformities and non-conforming products**		
5.4.1	**Must Have**	An effective defined procedure shall be in place for the management of all non-conforming products.		5.5.1
5.4.2		The procedure for the management of non-conforming products shall include as a minimum: • procedure of product quarantine (blocking/hold) • identification (e.g. labelling) • clearly identified staff responsibilities • the release procedure of goods.		5.5.2
5.4.3		The procedure for the management of non-conforming products shall be understood by all relevant employees.		5.5.3
5.4.4		Where non-conformities are identified, immediate corrections shall be taken to ensure that product requirements are complied with.		5.5.4
5.5		**Product withdrawal**		
5.5.1			There shall be an effective procedure for the withdrawal of all products. This procedure shall include a clear assignment of responsibilities.	5.6.1
5.5.2			The procedure shall ensure an effective and prompt response to withdrawal requirements of the product owner.	5.6.2

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
5.6		**Crisis and incident management**		
5.6.1			A documented procedure shall be established for the management of incidents and of potential emergency situations, that impact product safety, legality and quality. This procedure shall be implemented and maintained. The procedure shall include as a minimum: the nomination and training of a crisis team, an alert contact list, sources of legal advice (if necessary), contacts availability, customer information and a communication plan.	5.7.1
5.7		**Complaint handling**		
5.7.1			A system shall be in place for the management of complaints from authorities and customers. This complaint handling system shall include: • Complaint recording • Result of investigation and root cause of the issue • Corrective and preventive action • Evaluation for the effectiveness of the action • Complaint trends analysis.	5.4.1
5.8		**Corrective actions**		
5.8.1	**Must Have**	Corrective actions for issues affecting product safety, shall be clearly formulated, documented and undertaken, as soon as possible, to avoid further occurrence of non-conformity. The responsibilities and the timescales for corrective action shall be clearly defined.		5.8.2
5.8.2			The performance of the implemented corrective actions shall be documented and the effectiveness shall be checked.	5.8.3
5.8.3			The preventative actions and the corrective actions shall be communicated to the senior management.	5.8.4

n°	Must Have req.	Basic level requirement	Intermediate level requirement	IFS Logistics v 2.1 requirement
6		**Product/food defense and external inspections**		
6.1		**Defense assessment**		
6.1.1			A product defense hazard analysis and assessment of associated risks shall be performed.	6.1.2
6.1.2			Based on a hazard analysis and assessment of associated risks, identified areas critical to security shall be adequately protected to prevent unauthorized access. Access points shall be controlled.	6.2.1
6.2		**External inspections**		
6.2.1			A documented procedure shall exist for managing external inspections and regulatory visits. Relevant personnel shall be trained to execute the procedure.	6.4.1

ANNEX 1: Glossary

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

Allergen (eu)	Food causing an adverse reaction that is mediated by an immunological response. Defined allergens are: • Cereals containing gluten (i.e. wheat, rye, barley, oats, spelt, kamut or their hybridised strains) and products thereof • Crustaceans and products thereof • Eggs and products thereof • Fish and products thereof • Peanuts and products thereof • Soybeans and products thereof • Milk and products thereof (including lactose) • Nuts i.e. Almond (Amygdalus communis L.), Hazelnut (Corylus avellana), Walnut (Juglans regia), Cashew (Anacardium occidentale), Pecan nut (Carya illinoiesis (Wangenh.) K. Koch), Brazil nut (Bertholletia excelsa), Pistachio nut (Pistacia vera), Macadamia nut and Queensland nut (Macadamia ternifolia) and products thereof • Celery and products thereof • Lupin and products thereof • Molluscs and products thereof • Mustard and products thereof • Sesame seeds and products thereof • Sulphur dioxide and sulphites at concentrations of more than 10 mg/kg or 10 mg/litre expressed as SO_2. ***Regulation (EU) No 1169/2011 of the European Parliament and of the council.***

Allergen (US)	There are 8 major allergens recognized in the United States according to the 2009 U.S. Food and Drug Administration (FDA) Model Food Code, Definitions section, page 12.
	(1) "Major food allergen" means:
	   (a) Milk, egg, fish (such as bass, flounder, cod, and including crustacean shellfish such as crab, lobster, or shrimp), tree nuts (such as almonds, pecans, or walnuts), wheat, peanuts, and soybeans
	   (b) A Food ingredient that contains protein derived from a food, as specified in Subparagraph (1) (a) of this definition.
	(2) "Major food allergen" does not include:
	   (a) Any highly refined oil derived from a food specified in Subparagraph (1) (a) of this definition and any ingredient derived from such highly refined oil; or
	   (b) Any ingredient that is exempt under the petition or notification process specified in the Food Allergen Labeling and Consumer Protection Act of 2004 (Public Law 108–282).

Assessed company	The supplier/processing company to be assessed.

Assessment	The assessment made of an assessed company under the terms of an individual assessment agreement.
Assessment service provider (ASP)	These are organisations not accredited against ISO 17065 and/or ISO 17021 for the certification of food safety scheme(s) but qualified for those. These organisations conduct audits and assessments without the issue of an accredited certificate. Within the IFS Progress – Logistics program they are allowed to conduct the assessment, if they comply to the rules mentioned in Part 3 of this document. Mentoring and assessment shall be performed by different persons and in an independent way.
Calibration	Set of operations that establish, under specified conditions, the relationship between values of quantities indicated by a measuring instrument or measuring system, or values represented by a material measure or a reference material and the corresponding values realised by standards.
CCP—critical control point	A step at which control can be applied and is essential to prevent or eliminate a product safety hazard or reduce it to an acceptable level.
Certification body (CB)	These are organisations accredited against ISO 17065 and/or ISO 17021 for the certification of a food safety scheme(s) conducting audits in regard to food safety (and quality) with the issue of an accredited certificate, if the audit passes successfully (3rd party audits). Within the scope of the IFS Progress – Logistics program and under unaccredited procedures, certification bodies can provide mentoring to the assessed party and can be in charge of the assessment without the issuing of an accredited certificate. Mentoring and assessment/auditing shall be performed by different persons and in an independent way.
Codex Alimentarius	A collection presented in a standard form of international food standards. It is based on the assumptions and decisions of the so-called Codex Alimentarius Commission, a joint committee of the Food and Agriculture Organization (FAO) and the World Health Organization (WHO) of the United Nations was first published 1963.
Contamination	Introduction or occurrence of a contaminant in product or product environment. Contamination does include: physical, chemical, biological contamination. Contamination can also mean correlation of packages among themselves.
Correction	Action to eliminate a detected deviation.
Corrective action	Action to eliminate the cause of a detected deviation or other undesirable situation.
CP—control point	Identified by the hazard analysis as essential in order to control the likelihood of introducing or proliferation of product safety hazard in the product and/or the environment. A CP can be considered as an OPRP (Operational Prerequisite Program), as defined in ISO 22000.
Customer	A business company or person to whom logistical services are sold.
Deviation	Non-compliance with an IFS Progress – Logistics requirement.
Distribution	A method of delivery and/or transporting products from one place to another.

Equipment	Tangible property (other than land or buildings) that is used in the operations of a business. Examples of equipment include devices, machines, tools, vehicles and also transport units like pallets, cooling boxes, etc.
FEFO (first expired—first out)	Common process, in which the first expiring products – relating to the shelf life – are removed from storage first.
FIFO (first in—first out)	Common process, in which the first received products are removed from storage first.
Flow diagram	A systematic representation of the sequence of steps or operations used in the logistical handling of food or non-food products.
Individual assessment agreement	An individual agreement between the certification body/assessment service provider and the assessed company, under which the certification body/assessment service provider shall provide the assessment.
Internal audit	General process of audit, for all the activity of the company. Conducted by or on behalf of the company for internal purposes. Internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.
Loose products	Unpacked products (e.g. carcasses, loose bread), bulk goods (e.g. sugar) and goods in tank wagon (e.g. edible oil, milk).
Major	A non-compliance with a "must have" requirement (D scoring).
Monitoring	The act of conducting a planned sequence of observations or measurements of control parameters to assess whether a CCP is under control. See also Codex Alimentarius, General principles of food hygiene, guidelines for the application of the HACCP system, section 9.
Procedure	Specified way to carry out an activity or process. Procedures shall be implemented and the elaboration of procedures shall be done by documents or process description (e.g. flowchart).
Product	Independent article, which is logistically handled.
Product group	Grouping of products due to similar characteristics or legal requirements (e.g. dairy products, meat products).
Product recall	Any measure aimed at achieving the return of a dangerous product that has already been supplied or made available to consumers by the producer or distributor. The recall is initiated by the product owner, i.e. in the logistics branch usually by the customer of the logistics company. In this case, the logistical service provider substantially participates in the achievement of the product recall procedure.
Product withdrawal	Any measure aimed at preventing the distribution, display and offer of a product out-of specification and/or dangerous to the consumer. The withdrawal is initiated by the product owner, i.e. in the logistics branch usually by the customer of the logistics company. In this case, the logistical service provider substantially participates in the achievement of the product recall procedure.

Risk	A function of the probability of an adverse health effect and the severity of that effect consequential to (a) hazard(s) in food/product.
Risk assessment	Includes a risk evaluation with the process of comparing the estimated risks against given criteria to determine the acceptability of the risk and a risk control with implementation, maintaining, monitoring, and documentation of preventive measures and corrective actions in case of not acceptable levels of CP's.
Risk management (non-food)	Includes a hazard analysis and a risk assessment on all stages of the product.
SDS (Safety Data Sheet)	Information sheet which is principally intended for use by professional users and must enable them to take the necessary measures as regards the protection of health, safety and the environment at the place of work. The safety data sheet may be supplied on paper or electronically, provided that the addressee has the necessary means of receiving it.
Senior management	Executive management.
Services	Logistical services, e.g. transport, storage, consignment, packing or other services, e.g. pest control, cleaning.
Site	A unit of the company.
Site inspection (versus internal audits)	Covers specific subjects and can be carried out by any appropriate person. That means regular visits in any areas, for any purposes, to check the conformity (hygiene, pest control, product control, foreign body hazards, surrounding control etc.).
Storage	Stocking of products in dedicated premises.
Storage conditions	Product specific requirements for storage, e.g. humidity, temperature, atmosphere, exclusion of negative impacts and contamination.
Supplier	A supplier provides services and/or goods to a customer. They are consulted for the fulfillment of logistical services, e.g. suppliers of technical logistical equipment, of packaging material, sub-contractors etc.
System	Set of interrelated or interacting elements. System is a planned, sustainable structured course of action. Depending on the complexity, documentation is recommended. System includes: documentation, procedure description, control/monitoring, corrective action, site plan.
Traceability	Ability to trace and follow a product, through all stages of receiving, storage and distribution.
Transport	The movement of goods from one place to another.
Unpacked products	Products without primary packaging, such as fruits, vegetables or carcasses.
Validation	Confirmation through the provision of objective evidences that the requirements for the specific intended use or application have been fulfilled.
Verification	Confirmation through the provision of objective evidences that specified requirements have been fulfilled.

PART 3

PART 3
Requirements for certification bodies, assessment service providers and assessors

0   Introduction

The IFS Progress – Logistics program includes a product and process assessment. All bodies involved shall comply with the international rules and IFS-specific requirements described in this document. Part 3 of the IFS Progress – Logistics program mainly deals with certification bodies, assessment service providers and assessors.

1   Requirements for certification bodies/assessment service providers

Certification bodies and assessment service providers intending to perform IFS Progress – Logistics program assessments shall comply with the following rules.

1.1   Certification bodies

The certification body shall be accredited against ISO 17065 and/or ISO 17021 for the certification of logistics safety scheme(s) by an IAF or EA recognised accreditation body.

Certification bodies shall have signed a separate IFS Progress agreement with the IFS Management GmbH. The agreement includes the acceptance of the IFS Progress program and enables access to the IFS database.

1.2   Assessment service provider

Assessment service provider shall provide written evidence about their involvment in the assessment process on behalf of a retailer or buying company.

Assessment service provider shall have signed an IFS Progress agreement with the IFS Management GmbH. The agreement includes the acceptance of the IFS Progress program and enables access to the IFS database.

1.3 Certification bodies'/assessment service providers' responsibilities for IFS Progress – Logistics assessors (including freelancers)

Certification bodies/assessment service providers have the following responsibilities:

- To ensure that:
  - the assessor is competent for the scope of the assessment and its execution
  - the assessor is able to access and to apply relevant laws and regulations
  - the assessor has knowledge in logistics food safety and hygiene practices
  - the assessment is conducted in an independent way by an impartial assessor.

The certification body/assessment service provider shall maintain these competences (continuous supervision by the certification body/assessment service provider) and shall monitor assessment execution by on-site witness assessment.

- To organise a one (1) day training session for IFS Progress – Logistics program assessors once a year for the purposes of sharing experience, calibration and updating knowledge of relevant legal requirements, etc.

  Note: If assessors are already IFS Logistics approved auditors, they are exempted from that requirement.

- To maintain evidences of assessor competences.

The certification body/assessment service provider is responsible for choosing an assessor with the corresponding scope(s), language, competence(s), etc. for each IFS Progress – Logistics assessment.

2 Requirements for IFS Progress – Logistics assessors

During an IFS Progress – Logistics assessment, assessors shall use relevant samples of products, in order to investigate on-site the assessed sites' processes and where applicable documentation and to check the fulfilment of IFS Progress – Logistics requirements.

2.1 General requirements

IFS Progress – Logistics assessors shall meet the following requirements:

- They shall have signed a contract with the certification body/assessment service provider
- They shall have submitted all relevant information about their competence to the certification body/assessment service provider
- They shall communicate the certification body/assessment service provider clearly, if the necessary impartiality might not be ensured.

Note: The certification body/assessment service provider shall have observed and confirmed the professional qualification and competence of the assessor.

2.2 Requirements for IFS Progress – Logistics assessors

2.2.1 IFS auditors

Approved IFS Logistics auditors can start conducting IFS Progress – Logistics assessments without any further qualification in all scopes.

If the IFS auditor is an IFS Food auditor with additional participation in an IFS (Progress) Logistics training, he/she is allowed to perform IFS Progress – Logistics assessments in all scopes.

If the IFS auditor is an IFS HPC or IFS PACsecure auditor with additional participation in an IFS (Progress) Logistics training, he/she is allowed to perform IFS Progress – Logistics assessments for Logistics companies, which handle non-food products, only.

IFS Food, IFS PACsecure or IFS HPC auditors without any IFS (Progress) Logistics training aren't allowed to conduct IFS Progress – Logistics assessments.

2.2.2 General requirements on assessors for initial application

Candidates applying for the approval as IFS Progress – Logistics assessor shall meet the following minimum requirements:

a) **Education and minimum experience:**

- A food-related university degree and two (2) years professional/operational experience in the logistical sector (food and non-food) or in the food industry in relation to food production activities (quality, production, …).

or

- A food-related university degree and two (2) years audit experience (min. five (5) audits/year) in the logistical sector (food and non-food) or in the food industry in relation to food production activities (quality, production, …).

or

- A non-food-related university degree and two (2) years professional/operational experience in the logistical sector (food and non-food).

or

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

b) **Followed as an observer two (2) assessments or audits with regard to food safety at logistics companies, if he/she doesn't have assessment and audit experience. These audits shall have included in minimum unpacked and temperature controlled food products (e.g. carcasses, fruit and vegetables, milk in tanks, frozen food products).**

c) **Passed a food hygiene (including HACCP) training on the basis of the Codex Alimentarius General Principles for Food Hygiene.**

d) Have knowledge of local and, if applicable, of the destination country legislation for concerned assessment scopes.

e) Have profound knowledge of the assessed scope in regard to logistical services and in relation to product quality and safety (see ANNEX 1 and 2, Part 1).

f) Have knowledge of the local language
If the assessor wishes to perform assessments in language(s) different from his/her native language, he/she shall be able to provide evidence for speaking fluently this/these other language(s).

g) Visited the IFS Progress – Logistics assessor course
Note: If such course is not available in the relevant country or if the business partner has different requirements, other courses can be accepted (and shall be validated by the business partner).

Already approved IFS Progress – Food assessors need to fulfill b) and g).

PART 3

PART 4

PART 4
Reporting and IFS database

0   Introduction

After an IFS Progress – Logistics assessment has been performed, a detailed and well-structured assessment report shall be completed. In general, the language of the report shall be the working language of the company. In special cases, where the native language of the trade partner is different from the language of the company, an English language version of the complete report could also be prepared. Requirements evaluated with C, D and/or Major shall always be translated into English within the action plan and the assessement report. Exceptions shall be agreed with the business partner.

The IFS Progress – Logistics assessment report should be prepared according to the following format.

1   Reporting

1.1   Assessment overview (ANNEX 1)

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

Assessment details

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

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

These first pages shall give a summary of the most important assessment report items and shall include:

- name and address of the assessed site
- name and address of the company (if headquarters)
- GLN Global Location Number, if available
- COID, as defined in the IFS database
- assessment date
- time of the assessment
- previous assessment date
- the name of the certification body/assessment service provider and the assessor who performed the previous assessment

- assessment scope (mandatory detailed descriptions of processes/products)
- list of key personnel present during assessment
- name of the assessor(s)
- name of the certification body's/assessment service provider's persons(s) responsible for the assessment result decision
- result of the assessment
- company details listed: general information about the company (number of employees, size etc.)
- company profile
- further explanations regarding scoring.

1.2 Assessment report (ANNEX 2)

The assessment report itself is structured as follows:

- the result of the assessment with level and percentage
- general summary tables and graphics for all chapters
- an overall summary of the assessment (optional, to be agreed on with the business partner)
- description of follow-up corrective action from previous assessment (optional, to be agreed on with the business partner)
- a list of all established (Major) deviations including observations
- a separate list (including explanations) of all requirements evaluated with N/A (not applicable)
- a detailed assessment report.

1.3 Action plan (ANNEX 3)

The certification body/assessment service provider/the assessor describes and explains all established (Major) deviations in each chapter in the action plan, which has a specified format shown in the annex.

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

Every IFS Progress assessment report shall be uploaded in the IFS database by the certification body/assessment service provider (uploading of report, action plan and letter of confirmation).

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

- auditors
- certification bodies/assessment service providers
- consultants (Americas only)
- assessed companies
- retailers and other users.

The different groups' access rights are as follows:

Auditors/assessors:

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

Certification bodies/assessment service providers:

- manage their assessed companies and upload assessment reports and action plans
- may suspend reports and confirmations in specific situations
- can manage all IFS assessment dates via the diary function, enabling retailers and companies to have a good overview of the scheduled assessment
- manage their accounts
- have the possibility to compare two (2) consecutive assessment reports and action plans, for internal assessment training and calibration purposes
- download the IFS logo(s).

Assessed companies/logistics service providers:

- have access to their own assessment data
- have the possibility to unlock trade partners and other users for their achieved percentage, detailed assessment report, action plan and letter of confirmation
- have the possibility to compare two (2) consecutive assessment reports and action plans, for improvement purposes
- download the IFS Progress – Logistics logo
- manage their certification bodies/assessment service providers
- manage company personnel access (create sub-accounts) to the assessment data
- search for other assessed companies
- manage their suppliers by using a "favourites" option.

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

Consultants (only Americas):

- manage own data about the standards, scopes, languages etc.
- visible on the public website of the IFS—including reviews from their customers.

Retailers and other users:

- search for assessed companies
- manage their assessed companies via a "favourites" option
- receive an email message if a certain assessment level is repeated
- get information via email in case of a report suspension of their favourite companies.

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

Security of the IFS database
The security system used for the IFS database is based on international recognised and mostly used security systems. The retailer/trade partner and assessed companies access provide general information about all assessed companies. If no further authorisation is granted by the assessed companies both user groups will be able to see the following information only:

- the company's name and address
- the certification body's/assessment service provider's name
- and address
- the assessor's name
- the scope of the assessment
- the date and duration of the assessment
- the level achieved at the assessment
- the IFS Progress – Logistics report's date of issue and its validity.

By using their secure log-in access, the assessed companies themselves can give the authorisation for access to the following detailed information:

- assessment report and action plan.

The retailers and other users/assessed companies automatically receive access to the unlocked data by the assessed company after the data has been unlocked. Communication to retailers and other users is via a secure web process which guarantees that only authorised retailers and other users/assessed companies can view specific data of the assessed companies/logistics service provider.

ANNEX 1: Assessment overview

Cover page of the assessment overview

**Logo of the certification body/
assessment service provider**

**IFS Progress – Logistics
Version 1, June 2016**

Level [approved/provisionally approved/not approved]

Final assessment report

Company: [name]

Date of assessment: [dd. mm. yyyy]

**Name and address of certification body/
assessment service provider**

First page of the assessment report

<table>
<tr>
<td colspan="6" align="center">**IFS Progress – Logistics**

Level [approved/not approved/provisionally approved]</td>
</tr>
<tr>
<td colspan="6">**Assessment details**</td>
</tr>
<tr>
<td colspan="2">*Lead assessor:*
Max Sampleman

Co-assessor:
John Example

Name of the certification body's/ assessment service provider's persons(s) responsible for the assessment result decision:</td>
<td colspan="2">*Date/Time of assessment:*
04. 11. 2017 (09:00–18:00)</td>
<td colspan="2">*Date/Time of the last assessment:*
06. 10. 2016 (09:00–18:00)

Certification body/assessment service provider; assessor of the last assessment:</td>
</tr>
<tr>
<td colspan="2">*Name and address of the company (or head office)*</td>
<td colspan="4">*Name and address of the assessed site*

Responsible person:</td>
</tr>
<tr>
<td>*Phone:*
0 12 34 56</td>
<td>*Fax:*
01 23 45 67 89</td>
<td colspan="2">*Phone:*
0 12 34 57</td>
<td colspan="2">*Fax:*
01 23 45 67 88</td>
</tr>
<tr>
<td colspan="2">*GLN N° (if applicable)*</td>
<td colspan="4">*IFS COID*</td>
</tr>
<tr>
<td colspan="2">*Year of construction:*
Last structural measures:
Size of site:</td>
<td colspan="4">*Number of employees:*
Shift patterns:</td>
</tr>
<tr>
<td colspan="2">*Products handled
on the site:*
Processed/treated products (if applicable):
*Own/third party
transportation of products:*</td>
<td colspan="4">*Product's storage –
on site/off site:*</td>
</tr>
<tr>
<td colspan="6">**Scope**</td>
</tr>
<tr>
<td colspan="6" align="center">Product scope(s) and product groups</td>
</tr>
<tr>
<td colspan="6">**Details regarding the scope**</td>
</tr>
<tr>
<td colspan="6"> </td>
</tr>
<tr>
<td colspan="6">**Participants of the assessment**</td>
</tr>
<tr>
<td>Name</td>
<td>Position</td>
<td>Opening meeting</td>
<td>Documentation review</td>
<td>On-site assessment</td>
<td>Closing meeting</td>
</tr>
<tr>
<td></td><td></td><td></td><td></td><td></td><td></td>
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<tr>
<td></td><td></td><td></td><td></td><td></td><td></td>
</tr>
<tr>
<td colspan="6">**Company profile**</td>
</tr>
<tr>
<td colspan="6"> </td>
</tr>
</table>

Explanations regarding the assessment report

Evaluation of requirements

Must have

Evaluation	Explanation	Points
A (deviation)	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement is implemented	5 points
Major (deviation)	The requirement is not implemented	10 % of the total amount is substracted
N/A	Not applicable Requirement not applicable for a company	N/A equirements will be excluded from the final scoring

Regular requirement

Evaluation	Explanation	Points
A (deviation)	Full compliance	20 points
B (deviation)	Almost full compliance	15 points
C (deviation)	Small part of the requirement is implemented	10 points
D (deviation)	The requirement is not implemented	0 points
N/A	Not applicable Requirement not applicable for a company	N/A equirements will be excluded from the final scoring

ANNEX 2: Assessment report

Assessment report

Number of Majors in basic requirements: _____

Number of Majors in intermediate requirements: _____

Total score: _____ %

Level: _____

Result: _____

Overview of chapters

Chapter		1. Management responsibility	2. Quality and product safety management	3. Resource management	4. Realisation of the service	5. Measurements, analyses & improvements	6. Product/food defense and external inspections
Percent	Basic						
	Inter-mediate						

Overview evaluation

	Basic					Intermediate					
Chapter	1	2	3	4	5	1	2	3	4	5	6
Score											
A											
B											
C											
D											
Major											
N/A											

General summary of the evaluation:

	Score
Basic level	
1. Management responsibility	
Minor's score (basic requirements)	**0**
Chapter's overall % (basic requirements):	**0,00 %**
2. Quality and product safety management	
2.1.7: The company shall establish a system for …	0
2.1.8: In case of any kind of preparation …	0
Minor's score (basic requirements)	**0**
Chapter's overall % (basic requirements):	**0,00 %**
3. Resource management	
Minor's score (basic requirements)	**0**
Chapter's overall % (basic requirements):	**0,00 %**
4. Realisation of the service	
4.1.3.1: A traceability system shall be …	0
minor's score (basic requirements)	**0**
Chapter's overall % (basic requirements):	**0,00 %**
5. Measurements, analyses & improvements	
5.4.1: An effective defined procedure …	0
5.8.1: Corrective actions for issues affecting …	0
Minor's score (basic requirements)	**0**
Chapter's overall % (basic requirements):	**0,00 %**
Intermediate level	
1. Management responsibility	
Minor's score (intermediate requirements)	**0**
Chapter's overall % (intermediate requirements):	**0,00 %**
2. Quality and product safety management	
Minor's score (intermediate requirements)	**0**
Chapter's overall % (intermediate requirements):	**0,00 %**
3. Resource management	
Minor's score (intermediate requirements)	**0**
Chapter's overall % (intermediate requirements):	**0,00 %**

	Score
4. Realisation of the service	
Minor's score (intermediate requirements)	**0**
Chapter's overall % (intermediate requirements):	**0,00 %**
5. Measurements, analyses & improvements	
5.1.1: Effective internal audits shall be conducted …	0
Minor's score (intermediate requirements)	**0**
Chapter's overall % (intermediate requirements):	**0,00 %**
6. Product/food defense and external inspections	
Minor's score (intermediate requirements)	**0**
Chapter's overall % (intermediate requirements):	**0,00 %**

Summary of the assessment

Description of follow-up of corrective action from the previous assessment

Observation regarding Majors

Charts

Percent per chapter
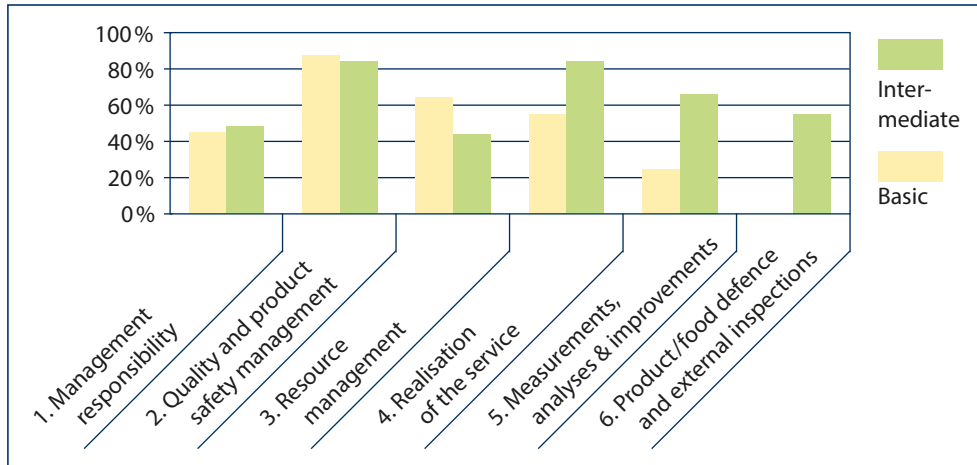
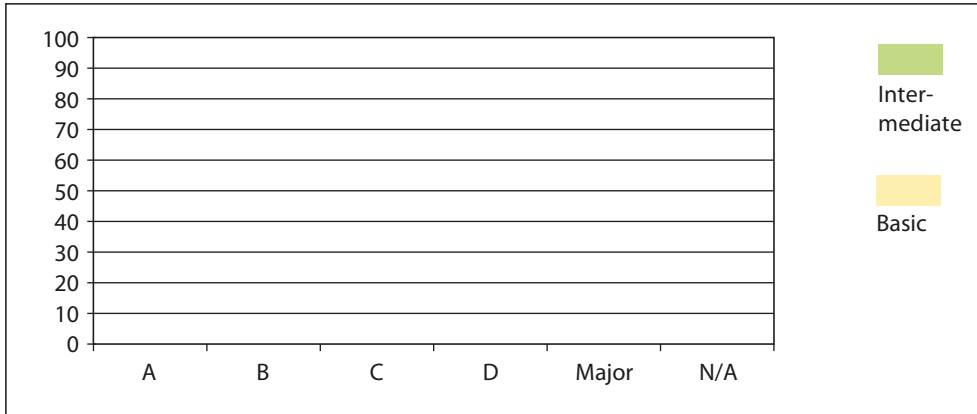
Analyses per chapter

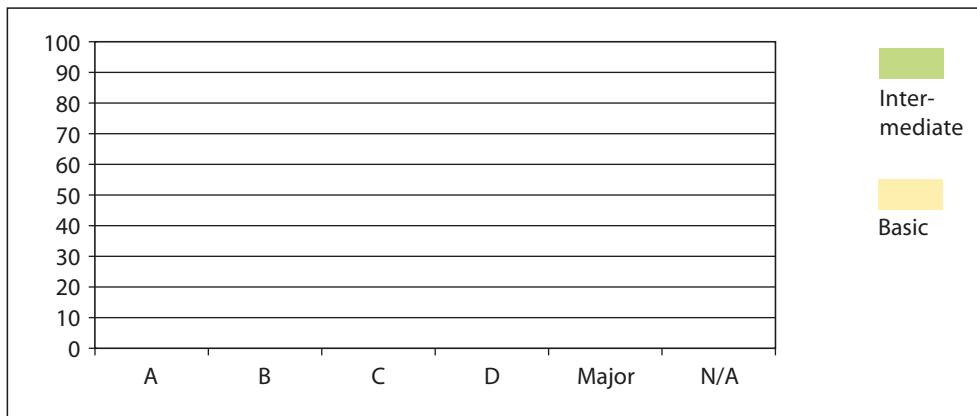#### 1. Management responsibility
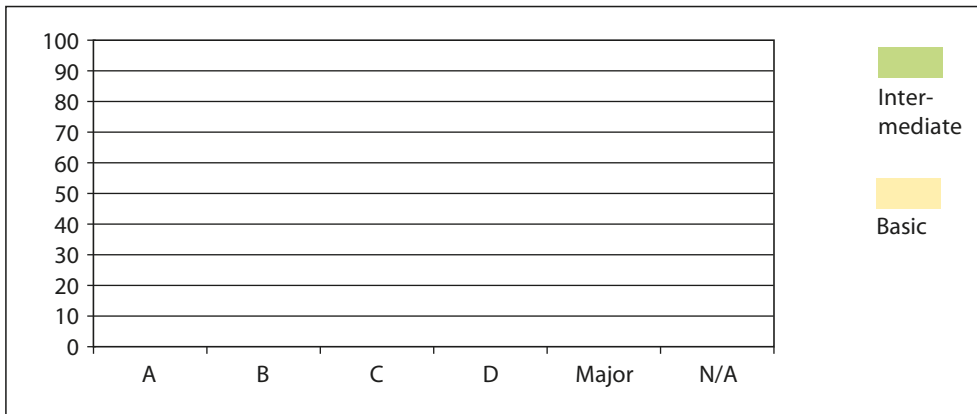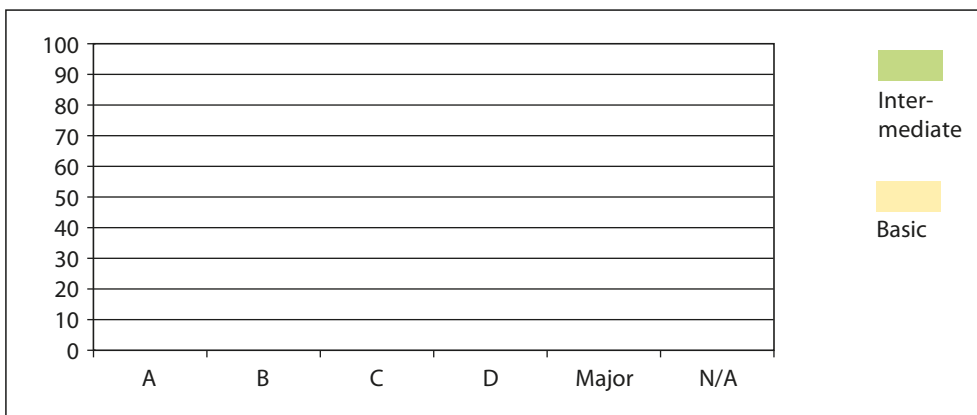
2. Quality and product safety management
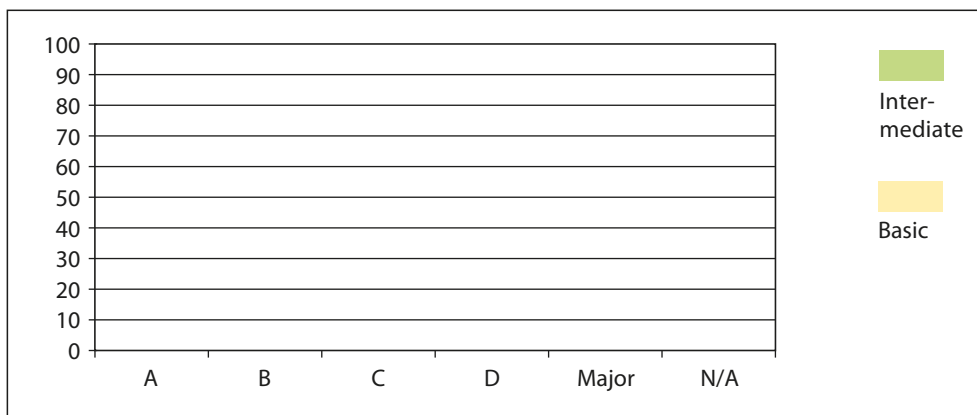
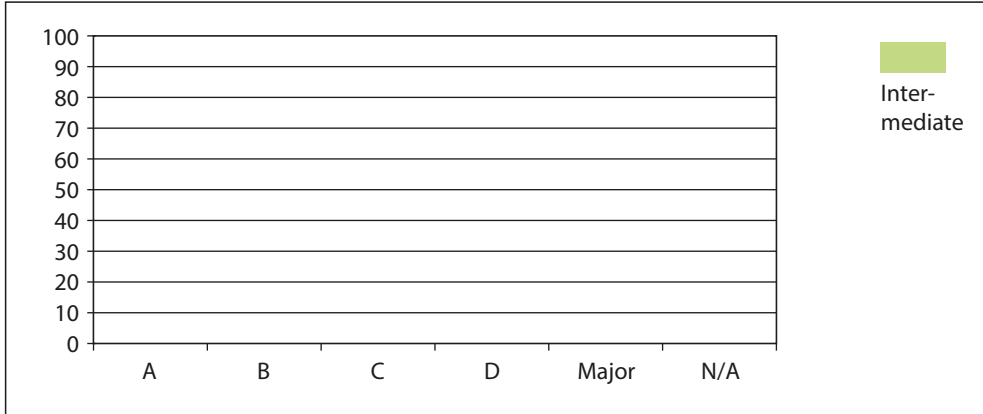### 3. Resource management

4. Realisation of the service

5. Measurements, analyses & improvements

6. Product/food defense and external inspections

Summary of all deviations found

No	Reference	IFS Progress – Logistics requirements	Evaluation	Explanation
1.	1.1.1			
2.	1.1.7			

Detailed assessment report

No	Reference	IFS Progress – Logistics requirements	Evaluation	Explanation
1.	1.1.1			
2.	1.1.2			

Summary of the N/A evaluations

No	Reference	IFS Progress – Logistics requirements	Evaluation	Explanation
1.				

ANNEX 3: Action plan

Name and address of the assessed site

The corrective action plan must be returned to the certification body/assessment service provider before: _____

Require-ment number	IFS Progress – Logistics requirement	Evaluation	Explanation (by the assessor)	Correction, route cause, corrective action (by the site)	Responsi-bility/Date/ Status of implemen-tation (by the site)	Release by the assessor

ANNEX 4: Template: letter of confirmation

Letter of confirmation

IFS
Progress
Logistics

Herewith the certification body/assessment service provider

Name of the certification body/assessment service provider

confirms that the logistical activities of

Name of the assessed site
Address
COID
(Headquarters)

for the assessment scope:

Type of activities/Product scope(s)/Conditions of handling

got approved/provisionally approved
according to the requirements set out in the

IFS Progress – Logistics
Version 1, June 2016

and other associated normative documents

at basic/intermediate level

with a score of XX % (if required)

Assessment date

Date of issue of letter of confirmation

Letter of confirmation valid until

Next assessment to be performed within the time period
(specify soonest and latest assessment date, according to requirements of assessment protocol, Part 1)

- Date and place
- Name and signature of the responsible person
  at the certification body/assessment service provider
- Address of the certification body/
  assessment service provider

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