International Feed Safety Alliance (IFSA)

IFSA
Rules of Certification

01 September 2005

NOTE: Although these Rules of Certification may be translated into various languages for the convenience of users, the English version remains the definitive reference document in the event of any dispute.

SECTION 1 INTRODUCTION

1.1 General Introduction

The International Feed Safety Alliance (IFSA) is a joint project initiated by the standard owners: Agricultural Industries Confederation (AIC) with FEMAS, Overlegplatform Voedermiddelenkolom VZW (OVOCOM) with GMP Animal Feed, Productschap Diervoeder (PDV) with GMP$^+$, QS Qualität und Sicherheit GmbH (QS) with QS-manual and Fédération Européenne des fabricants d'aliments composés aisbl (FEFAC) to combine the experience of existing feed ingredients assurance programmes into one programme that can operate across the world with one set of standards.

The IFSA Feed Ingredients Standard (IFIS) sets out the requirements for applicants participating in the IFSA programme.

These rules of certification provide certification of applicants against the IFSA Feed Ingredients Standard by accepted certification bodies, based on a decentralised implementation by the national standard owners / full members of IFSA, under co-ordination of IFSA. The aim of these rules is to implement the standard in a uniform way. The decentralised implementation does not exclude the possibility of more centralised implementation in future.

1.2 Scope of this Document

This document specifies the requirements of the IFSA Rules of Certification. It sets forth the Rules of Procedure for certification bodies with respect to acceptance for issuing IFIS certificates including the acceptance, assessment and certification requirements.

1.3 Normative References

The following normative documents contain provisions which, through references in this text, constitute provisions of the IFSA programme:

ISO/IEC Guide 65:1996, General requirements for bodies operating product certification systems

ISO 19011:2002, Guidelines for quality and/or environmental management system auditing.

1.4 Definitions

For the purpose of this document, the relevant definitions given in the IFIS and in ISO 19011:2002 apply, together with the following definitions.

Acceptance: Following its approval, a certification body enters into a contractual agreement with an IFSA member organisation.

Approval: decision of an IFSA member organisation that all documents of a certification body are in accordance with the IFSA Rules of Certification.

IFSA member organisation: Standard owner participating in the International Feed Safety Alliance (notably AIC of the UK, OVOCOM of Belgium, PDV of the Netherlands and QS of Germany).

IFSA Programme: Programme that provides producers & processors of feed ingredients certification against the IFSA Feed Ingredients Standard.

IFSA Rules of Certification: International Feed Ingredients Rules of Certification

IFSA Feed Ingredients Standard (IFIS) certificate: document issued by an accepted certification body indicating that an applicant complies with the requirements of the IFSA Feed Ingredients Standard and any supplementary requirement stated in the IFSA Rules of Certification, in as far as it is applicable.

Scheme-manager: Responsible person of the certification body who has the necessary expertise to implement and maintain the compliance to the requirements of IFSA. This person should also be the responsible contact point with IFSA.

Technical reviewer: Responsible person of the certification body with the necessary expertise for the technical review of audit reports. A scheme-manager can also be a technical reviewer.

1.5 Comments regarding the IFSA Rules of Certification

Comments regarding the IFSA Rules of Certification should be sent to any of the following:

Yvan Dejaegher - OVOCOM (Belgium) info@ovocom.be
Alexander Döring - FEFAC fefac@fefac.org
Johan den Hartog - PDV (Netherlands) pdv@hpa.agro.nl
John Kelley – AIC (UK) enquiries@agindustries.org.uk
Hermann-Josef Nienhoff – QS (Germany) nienhoff@q-s.info

1.6 Updates to IFSA Rules of Certification

The IFSA Rules of Certification will be updated periodically. As an aid to users, each revision of the IFSA Rules of Certification will be published with the areas of significant change highlighted in *blue italics*.

SECTION 2 REQUIREMENTS FOR CERTIFICATION BODIES

2.1 Acceptance of Certification Bodies

2.1.1 General

Accepted certification bodies are recognised as competent to carry out third-party audits of scheme applicants and participants.

The IFSA member organisations are the sole authorities for granting, maintaining, suspending and withdrawing the acceptance of certification bodies to issue IFIS certificates.

The IFSA member organisation can accept a certification body to issue IFIS certificates if it demonstrably complies with all the conditions specified in this entire document and IFIS, in as far as it is applicable.

No certification body is allowed to issue an IFIS certificate without the approval, acceptance and being contracted by one of the IFSA member organisations.

If an acceptance is granted, suspended or withdrawn, the IFSA member organisation shall inform IFSA. IFSA will maintain and update a register with the details of the accepted certification bodies. This register will be kept publicly available.

Any clauses provided by the IFSA member organisation or formally agreed between parties shall not lessen the Rules of Certification.

2.1.2 Application

A certification body wishing to certify applicants against the IFIS has to apply to one of the IFSA member organisations using the application form specified in Annex 1.

The application will be taken in consideration after:

(a) the application form has been fully completed and is handed over to the IFSA member organisation together with the requested enclosures; and

(b) the application fees to the IFSA member organisation are paid.

If, the certification body takes longer than six months to provide the required information, the application will no longer be taken into consideration.

The IFSA member organisation will confirm receipt of application in writing.

2.1.3 Initial evaluation

Certification bodies are assessed, as a minimum, against the requirements outlined in this document.

The IFSA member organisation will take approval/non-approval decision in accordance with this document within 6 months after the formal confirmation of consideration of the application.

Approval shall be confirmed by the IFSA member organisation in writing to the certification body and to the IFSA.

In case of non-approval, the IFSA member organisation will inform the applicant in a registered letter about the reasons for rejection. At the same time, the other IFSA member organisations will be informed of the reasons for rejection, as well.

2.1.4 Acceptance

Acceptance of the Certification Body after approval is subject to the certification body complying with the contractual agreement with the IFSA member organisation.

In order to add the details of the certification body to the public register of accepted bodies, the IFSA member organisation shall inform IFSA.

2.2 Accreditation

Only applications from certification bodies which are accredited by a member of the IAF Multilateral Agreement (MLA) for a certification system with a relevant area of operations in feed and/or food industry will be taken into consideration.

Within 1 year after the initial acceptance by the IFSA member organisation, the certification body must be accredited according to ISO/IEC Guide 65:1996 (EN 45011:1998) and the IFSA programme included in the scope.

2.3 Certification Body Personnel

Certification bodies shall ensure that all auditors are approved before they are used to carry out IFIS audits without supervision. In order to gain approval, auditors must meet all of the requirements shown below.

The certification body shall provide evidence to the IFSA member organisation that the requirements are met.

2.3.1 Education

The scheme prefers that candidates have completed tertiary education (e.g. Bachelor degree). In cases where the candidate does not hold this level of qualification, they shall be required to undergo interview and/or examination to demonstrate their intellectual ability. The scheme is looking for candidates with an enquiring mind and good reporting skills.

2.3.2 Work Experience

The candidate must have at least 4 years practical work experience in the supply and manufacture of animal feed ingredients or animal feed.

The candidate must be able to demonstrate that the work experience was gained in a technical capacity and included sufficient involvement in the following areas to gain a thorough practical understanding of the feed material supply chain:

- Production
- Purchasing
- Quality
- Nutrition
- Legislation (including contract law)

In cases where some of this experience was gained in the food industry, the candidate must also demonstrate that the work involved supply of ingredients into the feed industry (e.g. by-products) and that knowledge of the feed industry requirements was gained as a consequence.

2.3.3 Auditor Training

The auditor must have received formal training in the following subjects and hold records that confirm his knowledge was assessed and found to meet an acceptable standard:

- Lead Assessor
- HACCP

2.3.4 Audit Experience

The auditor shall have conducted a minimum of 10 complete and satisfactory feed industry audits (minimum duration 1 man-day each) within the past 3 years. Records of audits must be available and be sufficiently detailed to enable them to be independently checked.

2.3.5 Scheme Training

The basic and further training of auditors is one of the most important conditions for the success of an audit. In order to have and maintain competency, auditors of the certification bodies as well as the scheme-managers shall commit themselves to participate in or conduct relevant training and document it:

1. Preliminary training carried out by the certification body
2. Periodic ongoing training carried out by the certification body
3. Information meeting for auditors before approval carried out by IFSA member organisation
4. Annual meeting for auditors carried out by IFSA member organisation

Before initial approval as an IFSA auditor, the auditor must prove attendance at internal training by the certification body. This training covers both the theory and practice and must be included in the information meetings for auditors run by the IFSA member organisation.

Each auditor shall be given detailed (preliminary) training by the certification body in the interpretation of the IFIS to the extent necessary to ensure that the trainee fully understands all requirements of the scheme.

The qualification of the auditors by the IFSA member organisation before their approval (also their basic and further training post approval) is dedicated to the system elements and the harmonisation of the audit process. Annual participation at the internal and external training sessions is mandatory for auditors. It is a prerequisite for approval and for maintaining approval.

Both the information meeting and the annual meetings for auditors will conclude with an examination. Sitting for the initial and the annual examinations is only possible for auditors who participated in the information and the annual meeting respectively.
Examinations will take place according to the rules as laid down in Annex 5.
An auditor who fails the initial or annual examination may re-sit once. An auditor who fails the re-examination loses the approval as IFSA auditor and has to participate again in the preliminary training carried out by the certification body.

Auditors shall be given periodic ongoing training by the certification body at a frequency sufficient to ensure that they remain well briefed in the scheme. Training will involve:

- Updates on the scheme operation
- Feedback on assessment performance
- Information on changes in legislation
- Updates on relevant technical topics

2.3.6 Accompanied Audits

The certification body shall not allow an auditor to conduct an audit on its own before having conducted at least one satisfactory audit accompanied and observed at all times by a qualified IFIS auditor.
The first IFIS auditor of a certification body has to conduct at least one satisfactory audit accompanied and observed by a qualified representative of the IFSA member organisation before he can start with the auditing of companies and training of other auditors.

2.3.7 Monitoring of Reports

The certification body shall continuously monitor the quality of reports compiled by each auditor and take suitable action when reports do not meet the scheme requirements. Such action may involve, but not be limited to, further training and/or additional accompanied audits until the problem is resolved.

2.3.8 Infrequent Audits

In cases where an auditor is used infrequently (typically less than an average of once in a 3 month period) then the certification body shall take actions to ensure that the performance of the auditor does not suffer from this infrequent use.

2.3.9 Scope of Approval

The certification body shall identify the feed supply industry sectors - as defined by IFSA - in which each auditor has been approved to work without direct supervision. This scope shall be limited to areas of proven competence and provide a record of the auditor's direct experience, qualification, training, and accompanied audit performance in each area.

2.3.10 Overall

The auditor shall be able to demonstrate a thorough and comprehensive technical understanding of the IFIS and also the practical ability to audit the compliance with the scheme requirements and principles in a thorough and searching manner.

2.4 Continuous Evaluation

The IFSA member organisation shall continuously survey and reassess the certification body on a periodic basis

a) to verify that a certification body continuously complies with the requirements specified in this document, and

b) to receive suggestions to improve the IFSA requirements and procedures to further develop the IFSA system.

In case of non-conformities, the certification body must carry out any necessary adjustments within such time as in the opinion of the IFSA member organisation is reasonable.
The IFSA member organisation will decide on the necessary follow-up, which might include sanctions.

2.4.1 Harmonisation Meetings

At least yearly, harmonisation meetings have to be held with the scheme-managers and the IFSA member organisation. Consultations take place at these events, which form an important basis for the internal basic and further training of the auditors. Additionally, this type of meeting allows the sharing of experiences and for the possibility of joint further development of the control system which is necessary for the dynamic development of the IFSA Programme.

IFSA member organisations should report to IFSA about any important feedback.

2.4.2 Annual Report

The certification bodies have to provide a yearly report to be handed in on 1 April of each year. This report should include:

- the number of IFSA audits by auditor
- the results of IFSA audits
- the analysis of customer satisfaction
- remarks on IFSA and developments and trends in the market which refer to the inspection task

IFSA will provide a template for the yearly report to ensure consistency.

2.4.3 Audits of Certification Bodies

The IFSA member organisation carries out an audit either with its own personnel or through externally contracted auditors or in cooperation with the national accreditation body. These audits will be done on the basis of IFSA guidelines for auditing of certification bodies (see Annex 4).

2.5 Sanctions

The following list of non-compliances will lead to warning or suspension (please note that this list is not exhaustive);

(a) if surveillance indicates non-compliance with the specified requirements but immediate withdrawal of the acceptance is not considered necessary;
(b) if improper use of the acceptance or the acceptance documentation is not remedied to the IFSA member organisation's satisfaction;
(c) if there has been any contravention of the acceptance requirements;
(d) if the certification body fails to meet financial obligations to the IFSA member organisation;
(e) if the certification body brings the IFSA programme into disrepute;
(f) if the certification body gives notice to terminate its accreditation, or loses its accreditation; or
(g) on grounds specifically provided by the relevant IFSA member organisation or formally agreed between the certification body and the IFSA member organisation.

The IFSA member organisation may publish the warning.

Suspension may be given for a limited period of up to 3 months.

A certification body whose acceptance is suspended is not entitled to carry out audits. Any audits planned for the period of suspension must be carried out in consultation with the company and at the expense of the certification body by another accepted certification body.

Suspension shall be confirmed by the IFSA member organisation in a registered letter to the certification body and to the IFSA. The IFSA member organisation will indicate the conditions under which the suspension will be removed. The IFSA member organisation will publish notification of the suspension.

A certification body may appeal to the IFSA member organisation against a decision to suspend the acceptance.

At the completion of the specified period, the IFSA member organisation shall:

(a) remove the suspension and notify the certification body and the IFSA accordingly; or

(b) withdraw the acceptance if the conditions are not fulfilled.

Withdrawal shall be confirmed by the IFSA member organisation in a registered letter to the certification body and to the IFSA. The IFSA member organisation will publish notification of the withdrawal.

A certification body may appeal to the IFSA member organisation against a decision to withdraw the acceptance.

Appeals and disputes brought before the IFSA member organisation by certification bodies shall be subject to the procedures as provided by the IFSA member organisation or formally agreed between parties.

2.6 Changes to the Acceptance Requirements

Changes to the acceptance requirements will be agreed by IFSA.
IFSA will set a date by which the required changes will have to be implemented. The effective date shall allow sufficient time for the certification bodies to amend and implement the change.
Failure to take the required action by effective date may lead to sanctions as described under point 2.5.

In the event of changes to the acceptance requirements, the IFSA member organisation shall inform the certification bodies of the new requirements and the effective date for the change.

2.7 Certification Body Fee

[to be determined]

2.8 Confidentiality

IFSA and the IFSA member organisations shall safeguard confidentiality of the information obtained in the course of its acceptance activities at all levels of its organisation. Except where it is stated to the contrary in this document, information about a particular certification body shall not be disclosed to a third party without the written consent of the certification body. Where the law requires information to be

disclosed to a third party, the certification body shall be informed of the information provided, as permitted by the law.

2.9 Miscellaneous

The certification body shall notify within 4 weeks in advance of any change in the body's:

- legal, commercial or organisational status;
- personnel, equipment, facilities, working environment, where significant; or
- any other matter that may affect the certification body's capability, scope of accredited activities or compliance with this document.

The IFSA member organisation will evaluate within 4 weeks the information provided and institute a response commensurate with the significance of the changes. The action may vary from no action to withdrawal of the acceptance.

SECTION 3 ASSESSMENT OF APPLICANTS

3.1 Application

The certification body has to ensure that in the contract with the applicant, the following items as laid down in these IFSA Rules of Certification are covered, as a minimum:

- Audit programme
- Witness audits either by the certification body or by IFSA member organisations
- Full cooperation during all audits
- Notification of all significant changes in processes and procedures to the certification body
- Agreement to comply with IFSA in all respects and to notify the certification body if circumstances change and they are not able to comply.
- Usage of the collective mark of conformity only in accordance with the scheme regulations (see point 4.2)
- No claiming or implying of certification unless covered by the current scope of certification
- Response to the certification body with corrective actions following the issue of any non-conformance reports within such time as determined by the certification body with evidence that corrective actions have been fully implemented.
- No further usage of the collective mark of conformity and claims of certification in the event of suspension, cancellation or withdrawal of certification.
- Acceptance that audit reports may be given to IFSA member organisations on request.

3.2 Extent of the Audit Programme

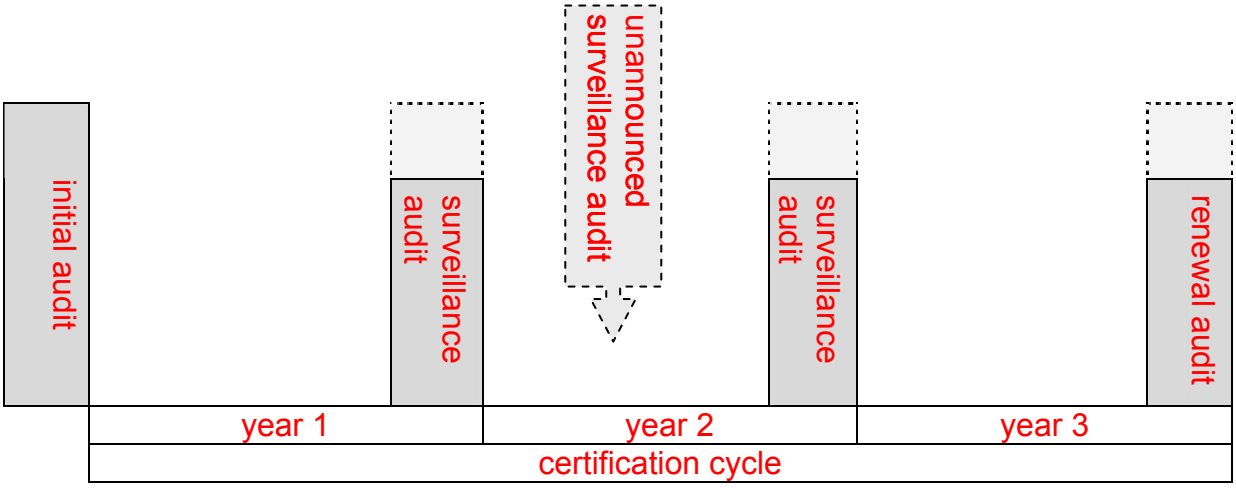
There are three types of audits: initial audits, renewal audits and surveillance audits.

An initial audit takes place at an applicant seeking certification against the IFSA Feed Ingredients Standard.

A renewal audit will be carried out at the end of a certification period.

A surveillance audit can be announced or unannounced. Announced surveillance audits will be carried out at least once per year at participants certificated against the IFIS. In addition, an unannounced audit has to be carried out once within a 3-year period.

Audits of participants must be carried out in accordance with the following scheme:



All announced audits must be carried out by making use of the whole checklist provided by IFSA. Audit findings must be classified on the basis of the general requirements as stated under point 3.5 Non-conformities.
In addition, during the surveillance audits special attention shall be given to any points of past non-conformities.
During an unannounced surveillance audit, the auditor has to focus on critical elements of the IFIS, such as the following:

- HACCP (visit each CCP and confirm process step under control)
- Traceability of material on site (raw material, in process and ready for despatch)
- Identification of material on site (raw material, in process and ready for despatch)
- Hygiene
- Condition of the site

An unannounced audit can be notified 24 hours in advance if necessary to guarantee cooperation from the company.
The unannounced visit will take place at any time during normal working hours at the site or sites covered by the certification. If the auditor is not given full access to information or processes then certification is in jeopardy (NB. It is understood that key staff may not be present and therefore some information may not be readily available).

Audits must only be carried out by auditors approved according to this document.
An auditor is not authorized to provide audit service to an applicant for a period longer than 3 years without a break of at least 3 audits.

During all audits the checklist included in Annex 2 should be used.

3.2.1 Allocation of Time

- Auditing the documentary quality system (main office): min 4 hours;
- Auditing a production activity (on the field): min 4 extra hours;
- Auditing a storage activity (on the field): min 2 extra hours;
- The sector notes define different product groups. When auditing a production site producing several of these product groups 4 hours are to be counted for each product group;
- When no non-conformities were given and on request of the certification body, the IFSA member organisation can decide to reduce the minimal time for a surveillance audit and a renewal audit to 75% of the time for an initial audit;
- For small firms a reduction of these audit times is possible when requesting (with motivation) the IFSA member organisation in advance and getting its approval;
- For unannounced surveillance audits, the minimum audit time is 50% of the time for an initial audit;
- Any reduction of time for companies certified against IFS, ISO22000, ISO9000, HACCP, BRC or equivalent standards must be asked by the certification body by means of a table of comparison that indicates the overlap. A time reduction for combined audits in accordance to the overlap can be agreed by the IFSA member organisation.

3.2.2 Multiple Site Companies

Where an applicant has more than one site, the certification body must ensure that each location included in the scope of IFSA certification is fully audited in accordance with the audit programme.

3.3 Scope of Certification

The wording of the scope is a critical part of the certification process. It is information often relied upon to convey the capabilities and expertise of an applicant to potential customers.

The information used to initially word the scope is derived from the applicant at the enquiry stage and must then be checked and reworded accordingly by the auditor during the audit. The scope must then be checked by the technical reviewer to ensure it is appropriate, accurate, unambiguous and clarifies the extent of the sites, processes and products audited (see also IFIS, point 1.2).

3.4 The Audit Report

The certification body may adopt reporting procedures that suit its needs, but as a minimum these procedures shall ensure that:

a) A meeting takes place between the audit team and the organisation's management prior to leaving the premises at which the audit team provides a verbal and written summary of the findings of the audit. The meeting shall provide an opportunity for the organisation to ask questions about the findings of the audit and understand what will happen next;

b) The audit team provides the certification body with a detailed report of its findings and identifies any areas of non-conformance with the IFIS and the certification/registration requirements.

   The audit report shall contain the following information:

   - Date(s) of audit
   - Name(s) of auditor
   - Name and address of participant and sites audited
   - IFSA Registration number
   - Type of audit
   - Detailed scope of audit/standard audited (see below)
   - Information about the systems, procedures and evidence observed by the auditors relating to each clause of the IFIS
   - Detailed evidence of all non-conformances
   - Checklist filled in during the audit

c) The certification body has to carry out a technical review of the report before finalisation of the report. The technical review has to be done by a technical reviewer, who has not participated in the audit itself.

d) A written report including, inter alia, the areas of non-conformance with the IFIS and the certification/registration requirements are brought to the attention of the applicant/participant.

e) The applicant shall be required to provide sufficient evidence to confirm that effective actions have been taken to resolve any non-conformance with the IFIS and the certification/registration requirements. In cases where documentary evidence is not sufficient to gain this level of confidence then a further site visit shall be arranged to check the satisfactory implementation of the corrective action.

3.5 Non-conformities

CLASSIFICATION OF NON-CONFORMITIES

Audit findings must be classified on the basis of the general criteria stated below.

Classi-fication	Audit finding	Initial and Renewal audit outcome	Surveillance and unannounced audit outcome
A	A failure to implement and/or operate IFSA requirements and to comply with legal requirements such that feed safety is seen to be directly compromised or that such a potential exists. In case a previous “B non-conformity” is not resolved adequately and timely, it becomes an “A non conformity”.	Certification cannot be awarded until the non-compliances have been resolved and a re-audit satisfactorily carried out.	Certification will be suspended and cannot be re-instated until the non-compliances have been resolved and a re-audit satisfactorily carried out. In case the non-compliances are not resolved within the maximum suspension period of three months, certification will be withdrawn.
B	A failure to implement and/or operate according to the IFSA requirements where there is no evidence that feed safety has been compromised.	Certification cannot be awarded until the non-compliances have been resolved. A re-audit will be required if it is not possible to gain confidence that deficiencies have been resolved by documented information alone. In case a previous “B non-conformity” is not resolved adequately and timely, it becomes an “A non conformity”.	Certification continues providing the Company supplies satisfactory corrective action within a maximum period of 30 days that the non-compliances have been resolved. A re-audit will be required if it is not possible to gain confidence that deficiencies have been resolved by documented information alone. In case a previous “B non-conformity” is not resolved adequately and timely, it becomes an “A non conformity”.
Remark	Examples where activities do not appear well controlled and potential exists for systems to deteriorate and become noncompliant over a period of time.	No action is required but applicant is urged to consider improving systems.	No action is required but applicant is urged to consider improving systems.

SECTION 4 CERTIFICATION

4.1 General Provisions

Certificates will be issued to each location for a period of three years. The term of the certificate starts on the date of the decision of (re)certification. Surveillance and reassessment procedures shall be consistent with those described in section 3.

The form and content of the certificate must be in accordance with the certificate model found in Annex 3.

It is possible, on the basis of a positive assessment of the quality documentation, to issue a certificate for a *limited* time (maximum 3 months) for an initial audit at an applicant, who is starting activities in the animal feed sector. During this period the on-site audit visit should be carried out to assess whether the implementation of the requirements of the IFIS has taken place correctly.

4.2 Collective Mark of Conformity

4.2.1 Use of Collective Mark of Conformity

A certified company is entitled to use the IFSA mark of conformity:

a) at the location to which the approval has been granted;

b) on certified products or in case of bulk transport on the accompanying documentation;

c) on documents issued by the location as specified under a) or its head office.

Every certified company has to use the mark of conformity in its original version.
Any misuse of the Mark of conformity will be classified as a category B non-conformity.

Every certified company using the mark of conformity is required to report any misuse it becomes aware of to its certification body or to an IFSA member organisation.

Without prejudice to the authority of the IFSA member organisation, each certification body is independently authorised to bring a claim against any person who, without proper entitlement, makes use of the mark of conformity or any of the associated symbols.

Every user of the mark of conformity is authorised to enter into a joint action or to intervene in a legal action as described above.

In case a certified company loses its certification, it is no longer authorised to use the IFSA mark of conformity.

ANNEX 1 APPLICATION FORM

Application for the approval of a certification body for the emitting of IFIS certificates:

GENERAL SPECIFICATIONS

Name of body:			
Signatory's name:			
Name of scheme-manager:			
Address:			
Postal code:		Place:	
Country:			
Postal address:			
Postal code:		Place:	
Country:			
Telephone number:		Fax number:	
E-mail address:			

REQUESTED DOCUMENTS (Without these enclosures and without having paid the due fee the application will not be taken into consideration)

No.	Description
1.	Valid accreditation certificate including the list describing the field of work
2.	Documents showing demonstrably that the auditors meet the requirements
3.	Sample contract between applicant and certification body
4.	Sample IFSA Programme certificate

A description of the general method of auditing and assessing and the procedures and forms for internal assessment may be requested by the IFSA member organisation.

The Applicant hereby applies to be approved to issue IFSA Programme certificates.

The undersigned is acquainted with the "Rules of Certification" of the International Feed Safety Alliance and commits the Applicant to co-operate in the approval procedure.

The signatory must be a legal representative of the certification body.

Date: Signature:

ANNEX 2 CHECKLIST

IFSA FEED INGREDIENTS STANDARD: CHECKLIST

(based on the final IFSA Feed Ingredients Standard draft)

Company (Head office and audited site):	IFSA Registration No.	Date audit:	Auditor:
.....	.....	.....	.....

Scope of certificate	Processes	Products	Limitations

REF.:	*QUESTION*	Cf[1] A B Remark N\a[2]	COMMENTS:
2.	**Quality Management System**		
2.1	***General Requirements***		
2.1.1	QMS in accordance with standard	❒ ❒ ❒ ❒ ❒	
	QMS adapted to regulatory / safety developments	❒ ❒ ❒ ❒ ❒	
2.1.2	Structure specific to organisation	❒ ❒ ❒ ❒ ❒	
2.1.3	All activities included	❒ ❒ ❒ ❒ ❒	

[1] Cf = conform
[2] N\a = not applicable

REF.:	*QUESTION*	Cf A B	Remark	N\a	COMMENTS:
2.2	***Management Responsibilities***				
2.2.1 i	Quality policy and feed safety objectives established	❒ ❒ ❒	❒	❒	
	Quality policy includes regulatory requirements and requirements of customers	❒ ❒ ❒	❒	❒	
2.2.1ii	Defined scope (incl. products & sites)	❒ ❒ ❒	❒	❒	
2.2.1iii	Adequate resources provided	❒ ❒ ❒	❒	❒	
2.2.1iv	Annual review	❒ ❒ ❒	❒	❒	
2.3	**Quality Management Structure**				
2.3.1	'Quality Manager' nominated	❒ ❒ ❒	❒	❒	
2.3.2	Personnel suitably experienced, trained and qualified	❒ ❒ ❒	❒	❒	
	Competence of personnel recorded and kept updated	❒ ❒ ❒	❒	❒	
2.4	**Documentation Requirements**				
2.4.1 i	Quality policy and feed safety objectives documented	❒ ❒ ❒	❒	❒	
2.4.1 ii	Scope QMS including details of and justification for exclusion	❒ ❒ ❒	❒	❒	
	Documented procedures for QMS	❒ ❒ ❒	❒	❒	
	Documented procedures for standard	❒ ❒ ❒	❒	❒	
	Documented procedures for HACCP	❒ ❒ ❒	❒	❒	

REF.:	***QUESTION***	**Cf A B**	**Remark**	**N\a**	**COMMENTS:**
2.4.2 i	Procedures reviewed	❒ ❒ ❒	❒	❒	
2.4.2 ii	Procedures available and understood	❒ ❒ ❒	❒	❒	
2.4.2 iii	Procedures revised and accurate	❒ ❒ ❒	❒	❒	
2.5	***Record keeping***				
2.5 i	> 2 years, or longer if required by law	❒ ❒ ❒	❒	❒	
2.5 ii	Storage conditions	❒ ❒ ❒	❒	❒	
2.5 iii	Information complete and retrievable	❒ ❒ ❒	❒	❒	
2.5 iiii	Legible	❒ ❒ ❒	❒	❒	
2.6	***Information relating to safety***				
	System to remain up-to-date	❒ ❒ ❒	❒	❒	
	Transmission to personnel	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B Remark N\a	*COMMENTS:*
3.	***Resources and Good Hygienic Practices***		
3.1	***General Requirements***		
3.1.1	Facilities and equipment designed, constructed, maintained and managed to ensure safety of raw materials. Prevention of malicious and accidental contamination	❒ ❒ ❒ ❒ ❒	
3.1.2	HACCP plan includes appropriate controls to manage risks of site location	❒ ❒ ❒ ❒ ❒	
3.1.3	Risk assessment includes potential effect of all other activities on the site; identification of possibility of contamination and measures taken	❒ ❒ ❒ ❒ ❒	
3.1.4	Adequate natural or artificial lighting	❒ ❒ ❒ ❒ ❒	
3.1.5	Ceilings and overhead fixtures designed, constructed and finished to prevent accumulation of dirt, to reduce condensation and growth of moulds	❒ ❒ ❒ ❒ ❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.2	***Personnel***				
3.2	Personnel trained in safe and effective working practices and HACCP principles	❒ ❒ ❒	❒	❒	
3.2.1	All personnel informed in writing of duties, responsibilities and powers regarding maintenance of safe raw materials and feed ingredients	❒ ❒ ❒	❒	❒	
3.2.2	Accurate and up-to-date training records	❒ ❒ ❒	❒	❒	
3.2.3	Access to washing facilities and toilets	❒ ❒ ❒	❒	❒	
3.2.4	Protective clothing must be worn. Clothing and equipment in hygienic condition	❒ ❒ ❒	❒	❒	
3.2.5	Policies on smoking and eating/drinking	❒ ❒ ❒	❒	❒	
3.2.6	Appropriate hygiene training to all personnel directly handling feed ingredients	❒ ❒ ❒	❒	❒	
3.2.7	Maintenance and building works do not jeopardise raw material or feed ingredient safety. Procedure to ensure appropriate tidying after mechanical or electrical engineering work	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.3	***Production / Processing Facilities and Equipment***				
3.3	Conditions within buildings suitable with no adverse effect on safety of feed ingredients. Equipment fit for purpose	❒ ❒ ❒	❒	❒	
3.3.1	Equipment can be adequately cleaned and maintained	❒ ❒ ❒	❒	❒	
3.3.2	Risk assessment procedures to identify and control hazards. Corrective actions taken. Records kept	❒ ❒ ❒	❒	❒	
3.3.3	Drains, gutters and down-pipes present no hazard	❒ ❒ ❒	❒	❒	
3.4	***Storage Facilities***				
3.4	Adequate facilities for storage of feed and non-feed ingredients	❒ ❒ ❒	❒	❒	
3.4.1	Easy identification; no confusion of stored feed ingredients	❒ ❒ ❒	❒	❒	
3.4.2	Mud, snow, and other potential contaminants cannot affect stored feed ingredients	❒ ❒ ❒	❒	❒	
3.4.3	Storage facilities at other sites in compliance with this standard	❒ ❒ ❒	❒	❒	
3.4.4	Owned / subcontracted stores included in internal auditing program (at least annually)	❒ ❒ ❒	❒	❒	
3.4.5	Stock control measures documented and prevent deterioration before use. FIFO	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.5	***Intake and loading Facilities***				
3.5	Intake and loading facilities designed and constructed to maintain safety	❒ ❒ ❒	❒	❒	
3.5.1	Intake nor loading under conditions that adversely affect	❒ ❒ ❒	❒	❒	
3.5.2	Minimal access by birds and other pests	❒ ❒ ❒	❒	❒	
3.6	***Planned maintenance***				
3.6	Programme of maintenance for equipment	❒ ❒ ❒	❒	❒	
3.6.1	Records kept of maintenance of critical equipment	❒ ❒ ❒	❒	❒	
3.7	***Driers / Drying***				
3.7	Adverse effects of mechanical drying minimised	❒ ❒ ❒	❒	❒	
3.7.1	Drying does not increase levels of undesirable substances beyond maximum levels for feed ingredients	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.8	***Cross-contamination***				
3.8	Formal systems in place to minimise risk of cross-contamination	❒ ❒ ❒	❒	❒	
3.8.1	Equipment and procedures to minimise cross-contamination	❒ ❒ ❒	❒	❒	
3.9	***Packaging and pallets***				
3.9	Packaging and pallets suitable for means of transport and type of feed ingredient. Packaging designed to protect during normal handling	❒ ❒ ❒	❒	❒	
3.9.1	No pallets accepted back from farms without cleaning / disinfection	❒ ❒ ❒	❒	❒	
3.9.2	No bags accepted back for re-use	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.10	***Pest control***				
3.10	Measures taken to control and limit pest activity throughout the supply chain. Control includes all classes of animals. Records kept	❒ ❒ ❒	❒	❒	
3.10.1	Animal must be excluded from grounds of factory. Where presence of pests is unavoidable procedures implemented to protect raw materials and feed ingredients from contamination. Access point proofed against entry by pests. Doors kept closed	❒ ❒ ❒	❒	❒	
3.10.2	Buildings kept in good repair to prevent access by pests. Measures like sealing or wire mesh screens are taken where possible.	❒ ❒ ❒	❒	❒	
3.10.3	Pest infestations are dealt with promptly; actions compatible with feed products	❒ ❒ ❒	❒	❒	
3.10.4	Control treatments carried out by qualified and trained personnel.	❒ ❒ ❒	❒	❒	
3.10.5	In case of shooting, lead or other toxic ammunition is not used	❒ ❒ ❒	❒	❒	
3.10.6	Pest control procedures are documented. Records include; i) Poisons used incl. safety data sheet, ii) qualifications of personnel, iii) map(s) indicating bait stations and the baits, iv) records of any pests found, v) details of corrective actions implemented	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.11	***Cleaning***				
3.11	Cleaning to remove residues and dirt. Cleaning methods and materials compatible with feed ingredients. Sufficient standards of cleanliness operated	❒ ❒ ❒	❒	❒	
3.11.1	Cleaning programmes documented and sufficient	❒ ❒ ❒	❒	❒	
3.11.2	Cleaning programmes monitored for suitability and effectiveness by authorised person. Records kept	❒ ❒ ❒	❒	❒	
3.11.3	Food compatible cleaning agents used in accordance with recommendations and safety data sheet. When in contact with feed ingredients control systems must provide correct and effective dilution levels	❒ ❒ ❒	❒	❒	
3.11.4	Chemical stored separately in clearly identified containers	❒ ❒ ❒	❒	❒	
3.11.5	Where process machinery is wet cleaned, these must be dried prior to use	❒ ❒ ❒	❒	❒	
3.12	***Waste management***				
3.12	Waste materials visually identified and segregated tot eliminate accidental or inadvertent use	❒ ❒ ❒	❒	❒	
3.12.1	Waste not collected or stored in containers used for feed ingredients	❒ ❒ ❒	❒	❒	
3.12.2	Containers with waste attractive to pests and vermin covered and stored away from raw materials and feed ingredients	❒ ❒ ❒	❒	❒	
3.12.3	Waste disposed of legally	❒ ❒ ❒	❒	❒	
3.12.4	Hygienic means for disposal of litter	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.13	***Dust control***				
3.13	Precautions to limit accumulation of dust	❒ ❒ ❒	❒	❒	
3.14	***Air movement***				
3.14	Risk of air used for conveying or cooling to become vehicle for pathogens evaluated; precautions taken	❒ ❒ ❒	❒	❒	
3.15	***Process water & water used for cleaning purposes***				
3.15	Risk assessment of water coming into contact with feed ingredients or equipment included in HACCP analysis	❒ ❒ ❒	❒	❒	
3.15.1	Water quality test carried out	❒ ❒ ❒	❒	❒	
3.15.2	Records kept of water quality tests	❒ ❒ ❒	❒	❒	
3.15.3	When additives included in water: i) additives considered in HACCP-study, ii) dosing systems calibrated and controlled, iii) records kept of additive dosing	❒ ❒ ❒	❒	❒	
3.15.4	No waste water incorporated in feed ingredients	❒ ❒ ❒	❒	❒	
3.15.5	Material recovered form interceptors and fat traps only incorporated into feed ingredients when no adversely effects	❒ ❒ ❒	❒	❒	
3.15.6	Separate water systems; no connection with or reflux into water used for processing or cleaning	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.16	***Control of contaminants***				
3.16	Controls to protect raw materials/ feed ingredients form contamination	❒ ❒ ❒	❒	❒	
3.16.1	Intake point and processing equipment designed and operated to minimise contamination	❒ ❒ ❒	❒	❒	
3.16.2	Personnel trained to ensure that risk of contamination is minimised	❒ ❒ ❒	❒	❒	
3.16.3	Conveying systems / storage facilities enclosed to avoid contact with contaminants; controls in place to ensure minimal risk to feed ingredient safety and quality	❒ ❒ ❒	❒	❒	
3.16.4	Contamination with non-food grade hydraulic oil avoided; risk of contamination with food grade oil minimised	❒ ❒ ❒	❒	❒	
3.17	***Sieves, Screens, Filters & Separators, Magnets & Metal Detectors***				
3.17	Magnets and/or metal detectors included in processing system Sieves, screens, filters and separators checked on damage and effective operation. Records kept of checks of magnets and metal detectors are kept.	❒ ❒ ❒	❒	❒	
3.17.1	Risk assessment considers potential hazards from reclaiming or reprocessing for inclusion of screenings in feed ingredients	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS:*
3.18	***Glass & Brittle Materials Procedures***				
3.18	Glass & brittle materials are no hazard to feed ingredients; procedures to minimise risk of breakage	❒ ❒ ❒	❒	❒	
3.18.1	Light fixtures protected	❒ ❒ ❒	❒	❒	
3.18.2	Bottles and glass ware excluded from production, processing and storage areas	❒ ❒ ❒	❒	❒	
3.18.3	Breakages of glass and brittle material; reported; records show how risks to feed ingredients are managed	❒ ❒ ❒	❒	❒	
3.18.4	Cleaning equipment possibly contaminated with broken glass is disposed after use	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B Remark N\a	*COMMENTS*
4	***Transport Requirements***		
4.1	***General Requirements***		
4.1	Has the Applicant adequately considered any potential transport hazards and specified effective controls?	❒ ❒ ❒ ❒ ❒	
4.1.1	Does the Applicant ensure that the transport requirements of their Client's assurance programme are followed?	❒ ❒ ❒ ❒ ❒	
4.1.2	Is there any evidence that cargoes carried concurrently with feed ingredients will affect the safety of the feed ingredients?	❒ ❒ ❒ ❒ ❒	
4.1.3	Are individual load compartments/sections/holds recorded?	❒ ❒ ❒ ❒ ❒	
4.2	***Owned and Contracted Land Transport***		
4.2.1	**Transport of Bulk Goods** Does the Applicant have procedures and contract requirements in place to ensure that bulk transport systems do not adversely affect feed ingredient safety?	❒ ❒ ❒ ❒ ❒	

REF.:	***QUESTION***	**Cf A B**	**Remark**	**N\a**	***COMMENTS***
4.2.1.1	Are records available of the 3 previous loads and subsequent cleaning (unless risk assessment confirms that no hazard exists)?	❒ ❒ ❒	❒	❒	
	Do procedures confirm cleaning methods are acceptable?	❒ ❒ ❒	❒	❒	
4.2.1.2	Do bulk hiring terms clearly specify controls required (does this cascade down to subcontractors)?	❒ ❒ ❒	❒	❒	
4.2.2	***Land Transport contracted by 3rd Parties***				
4.2.2.1	Does the Applicant ensure that land transport contracted by the Purchaser is suitable?	❒ ❒ ❒	❒	❒	
4.2.2.2	Are the 3 previous loads recorded for bulk loads (prior to loading)?	❒ ❒ ❒	❒	❒	
4.2.2.3	Does the Applicant document and retain the Purchasers acceptance of risk if the Purchasers transport is not considered suitable but they are still asked to load?	❒ ❒ ❒	❒	❒	
4.2.2.4	How does the Applicant ensure that Supplier-provided transport complies with the scheme?	❒ ❒ ❒	❒	❒	
4.2.3	***Inspection of Land Transport prior to loading***				
	Is all land transport loaded by the Applicant physically checked by an authorised person prior to loading?	❒ ❒ ❒	❒	❒	
	Do checks ensure that;				
4.2.3.1	Load compartments are clean, dry (as appropriate) and free of contaminants?	❒ ❒ ❒	❒	❒	
4.2.3.2	Covers are clean and in good condition?	❒ ❒ ❒	❒	❒	
4.2.3.3	Records are kept?	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
4.3	***Water-borne Transport***				
	Is a competent person designated to ensure the safety of feed ingredients during loading/discharge?	❒ ❒ ❒	❒	❒	
4.3.1	Is the designated Inspector either;				
	i) Member of a recognised inspection firm?	❒ ❒ ❒	❒	❒	
	ii) A qualified Inspector in their own right?	❒ ❒ ❒	❒	❒	
4.3.2	***Control of Raw Materials at Discharge from Water-borne Transport***				
	Has an Inspector been designated?	❒ ❒ ❒	❒	❒	
	Do the duties include;				
	i) Confirmation of raw material safety	❒ ❒ ❒	❒	❒	
	ii) Records of last 3 loads/subsequent cleaning (as required)	❒ ❒ ❒	❒	❒	
	iii) Records of inspection of handling equipment (as required)	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
4.3.3	***Control of Feed Ingredients on Loading into Water-borne Transport***				
	Is a Loading Compartment Inspection done by a designated Inspector before loading?	❒ ❒ ❒	❒	❒	
	Do Inspectors ensure that;				
	i) Hold is suitable/clean/free of odours and recorded?	❒ ❒ ❒	❒	❒	
	ii) Previous 3 loads are recorded and compatible?	❒ ❒ ❒	❒	❒	
	iii) handling equipment is inspected and recorded?	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B Remark N\a	*COMMENTS*
5	***Product Safety Management***		
5.1	***HACCP***		
5.1.1	***Prerequisites***		
	Possible prerequisites defined as part of the HACCP plan	❒ ❒ ❒ ❒ ❒	
5.1.2	***HACCP Team***		
	Comprehensive HACCP team appointed, recorded and effective	❒ ❒ ❒ ❒ ❒	
5.1.3	***Feed Ingredient Specifications***		
	Comprehensive written specification for each feed ingredient	❒ ❒ ❒ ❒ ❒	
5.1.4	***Definition of Process Steps***	❒ ❒ ❒ ❒ ❒	
	Clear and complete flow diagram of all steps involved in operation including changes	❒ ❒ ❒ ❒ ❒	
5.1.5	***Hazard Analysis / Identification (CODEX Principle 1)***		
	Separate Hazard Analysis for each raw material and feed ingredient carried out	❒ ❒ ❒ ❒ ❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.1.6	***Determination of Control Measures***				
	Control measures robust enough to either prevent the occurrence of new hazards or detect / eliminate the presence of existing hazards	❒ ❒ ❒	❒	❒	
5.1.7	***Determination of Critical Control Points (CODEX Principle 2)***				
	CCPs recorded in HACCP plan	❒ ❒ ❒	❒	❒	
	Processing and control equipment that has been identified as a CCP clearly identified at its location within the processing plant	❒ ❒ ❒	❒	❒	
5.1.8	***Establishing Critical Limits (CODEX Principle 3)***				
	Critical limits set at levels such that the safety of the feed ingredients is assured	❒ ❒ ❒	❒	❒	
5.1.9	***Monitoring (CODEX Principle 4)***				
	Monitoring implemented in accordance with a documented schedule, all results of inspections and sampling recorded	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.1.10	***Preventive / Corrective Actions (CODEX Principle 5)***				
	Action taken when critical limits are breached. Recorded actions deal with both the cause of the problem as well as the consequences of the problem itself	❒ ❒ ❒	❒	❒	
5.1.11	***HACCP System Reviews (CODEX Principle 6)***				
	At least one complete HACCP review carried out and recorded each year including any prerequisites established as part of the HACCP plan	❒ ❒ ❒	❒	❒	
5.2	***Raw Materials***				
	Complete documentation and risk assessment for each raw material	❒ ❒ ❒	❒	❒	
5.2.1	Specific controls or limits to ensure the appropriate management of potential hazards included in the specifications agreed with suppliers of the affected raw materials	❒ ❒ ❒	❒	❒	
5.3	***Buying-in of Feed Ingredients***				
	Feed ingredients only sourced from companies currently certificated to the IFSA programme (or another assurance scheme acceptable to IFSA)	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.4	***Assessment of Suppliers***				
5.4.1	Complete procedures set up for ensuring that suppliers of raw materials are controlled	❒ ❒ ❒	❒	❒	
5.4.2	***Service providers***	❒ ❒ ❒	❒	❒	
	Complete procedures set up for ensuring that any providers of services are controlled	❒ ❒ ❒	❒	❒	
5.5	***Sales Contracts***				
5.5.1	Purchaser informed in the contract and / or specification of any specific transport, storage or usage requirements / conditions necessary to maintain the feed ingredients' characteristics	❒ ❒ ❒	❒	❒	
5.5.2	Feed ingredient specifications agreed between the applicant and the purchaser and confirmed in the contract	❒ ❒ ❒	❒	❒	
5.5.3	Appropriate methods demonstrated for confirming and recording the type, quantity and quality of orders received	❒ ❒ ❒	❒	❒	
5.5.4	All feed ingredients supplied meet the agreed specifications, in all cases, feed ingredients provided demonstrably equivalent to those contracted for supply	❒ ❒ ❒	❒	❒	
5.5.5	All contracts clearly state the following with regard to any feed ingredients supplied: Feed ingredient name, Feed ingredient Specification, Quantity, Collection / delivery period.	❒ ❒ ❒	❒	❒	
5.5.6	All contract terms precise and unambiguous	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.6	***Process Control***				
5.6.1	All process controls relevant to the safety of the feed ingredients produced demonstrably effective and managed in accordance with formal HACCP principles	❒ ❒ ❒	❒	❒	
5.6.2	Process control procedures include corrective actions to be taken in the event of critical process parameters being breached	❒ ❒ ❒	❒	❒	
5.6.3	Tests of mixing or dispersion undertaken to establish initial effectiveness of equipment and, on a subsequent frequency determined by risk analysis, to ensure that no loss of efficiency occurs through the effects of wear and tear, records kept	❒ ❒ ❒	❒	❒	
5.6.4	Resulting products treated in accordance with Non-Conforming Product procedures in situations where breakdown or other unforeseen circumstances result in the production of feed ingredients that do not meet specification	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.7	***Control of Monitoring & Measuring Devices***				
5.7.1	All inspection, measuring and test equipment calibrated at least yearly	❒ ❒ ❒	❒	❒	
5.7.2	If equipment is found to be performing outside acceptable calibration limits effect this will have on the conformity of any feed ingredients investigated, appropriate corrective action taken to recalibrate the equipment, appropriate action demonstrated	❒ ❒ ❒	❒	❒	
5.7.3	Records of the results of calibration and verification maintained	❒ ❒ ❒	❒	❒	
5.8	***Preservation of Microbiological Status***				
5.8.1	Appropriate controls in place to prevent re-contamination by pathogens where there are plant design faults	❒ ❒ ❒	❒	❒	
5.8.2	Particular attention paid to areas where condensation may occur or where material is allowed to bypass the kill step and rejoin the finished goods stream	❒ ❒ ❒	❒	❒	
5.9	***Technological Additives***				
5.9.1	Control systems provide the correct and effective dosing levels for technological additives at all times	❒ ❒ ❒	❒	❒	
5.9.2	Dosing systems for technological additives calibrated by a competent person, calibration records maintained	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.10	***Feed Ingredient Delivery Documents & Labels***				
5.10.1	For feed ingredients sold in bulk, as well as in bags, delivery documents / labels include any details (such as Statutory Statements) required under Labelling Regulations in the country of production and / or receipt	❒ ❒ ❒	❒	❒	
5.10.2	Any information provided on delivery documents / labels valid for the feed ingredients associated with them	❒ ❒ ❒	❒	❒	
5.11	***Products not intended for feed use identified***				
	Any raw materials, intermediate or finished products produced or stored in the same premises by the applicant but not intended for feed use clearly segregated from feed ingredients and identified as such during all stages of production / processing, packing, storage, despatch and supply	❒ ❒ ❒	❒	❒	
5.12	***Certificates of Conformity & Analysis***				
	Documented records of feed ingredients supplied with a certificate of conformity or a certificate of analysis available to support the validity and accuracy of these certificates	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.13	***Inspection, Sampling and Analysis***				
5.13.1	Inspection regimes in place ensuring safety of all raw materials on arrival and feed ingredients on despatch including as appropriate, assessment of colour, physical form, odour, contamination by insect pests, droppings and other extraneous matter, mould, excessive damage and compliance with specification	❒ ❒ ❒	❒	❒	
5.13.2	***Sampling***				
	Comprehensive and appropriate sampling schedules documented and fulfilled	❒ ❒ ❒	❒	❒	
5.13.3	***Personnel Taking Samples & Undertaking Tests***				
	Personnel involved in either taking samples or allocated on the basis of their competence. Records of personnel training, experience and qualifications available supporting the allocation	❒ ❒ ❒	❒	❒	
5.13.4	***Analysis***				
	Adequate tests with appropriate methodology undertaken	❒ ❒ ❒	❒	❒	
5.13.5	***Undesirable Substances***				
	Evidence available showing that feed ingredients meet acceptable, and if applicable, statutory standards for levels of undesirable substances	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.13.6	***Microbiological analysis***				
	Appropriate level of microbiological sampling and testing met with regard to safety of any feed ingredients supplied	❒ ❒ ❒	❒	❒	
5.13.7	***Testing Laboratories***				
	Effectiveness of testing laboratories regularly reviewed and approved according to EN-ISO -17025 or validation by participating in ring tests or validation by other recognised means and confirmed by ring tests or comparison with results of a recognised laboratory with verified quality control procedures	❒ ❒ ❒	❒	❒	
5.13.8	***Test Records***				
	Parameters for acceptance or rejection of both raw materials and feed ingredients defined clearly and applied	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.14.	***Traceability***				
5.14.1	***Traceability of Raw Materials***				
	Traceability trail for each raw material utilised to produce feed ingredients set up and documented back to the point in the supply chain necessary to control any hazards identified in the risk assessment	❒ ❒ ❒	❒	❒	
5.14.2	***Traceability of Feed Ingredients***				
	Traceability trail for each consignment of feed ingredients set up and documented showing the period in which they were produced and the consignment(s) of raw materials from which they were produced	❒ ❒ ❒	❒	❒	
5.15	***Non Conforming Products***				
	Documented procedure for dealing with raw materials and feed ingredients that do not comply with specifications established including identification of batches / lots affected, documentation for managing and recording non-conforming products, evaluation of the cause of the non-conformance, segregation of batches / lots affected, communication with relevant parties and preventive or corrective action to avoid repetition of the non-conformance	❒ ❒ ❒	❒	❒	
5.15.1	Responsibility for review and disposal of non-conforming products defined, all incidence of non-conforming raw materials or feed ingredients recorded and decisions regarding actions to be taken must only made by authorised personnel	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.15.2	Non-conforming feed ingredients dealt with in one of the following ways: sent to waste, reworked, accepted by concession (if agreed in writing by the client) or downgraded (if meeting the specification of another feed ingredient)	❒ ❒ ❒	❒	❒	
5.15.3	Requirements for reprocessing non-conforming feed ingredients documented and any affected feed ingredients re-evaluated on completion to ensure that the batch / lot concerned subsequently meets specified requirements	❒ ❒ ❒	❒	❒	
5.15.4	Approval and use of reworks (e.g. from quality rejects, customer returns or spillage) considered within the HACCP plan	❒ ❒ ❒	❒	❒	
5.15.5	Feed ingredients that do not fully meet a customer specification supplied only if the customer is notified of the problem in writing and confirms in writing that they are prepared to accept them	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.16	***Complaints Procedure***				
	Procedure for handling customer complaints documented including systems for recording the characteristics of complaints, systems for allocating responsibility for managing complaints, systems for recording the name of complaining customers, systems for recording the feed ingredients under complaint, systems for investigating the causes of complaints, systems for recording any actions taken to address complaints and systems for recording correspondence with customers with regard to complaints	❒ ❒ ❒	❒	❒	
5.16.1	Corrective actions carried out in a timely and effective manner with due regard to the seriousness and frequency of complaints	❒ ❒ ❒	❒	❒	
5.16.2	Complaint information used to avoid recurrence and implement ongoing improvements, where appropriate	❒ ❒ ❒	❒	❒	
5.16.3	Complaints resolved to the customer's satisfaction, wherever possible	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.17	***Recall Procedure***				
5.17.1	Documented recall procedure details responsibilities and includes actions to be implemented in the event of a recall	❒ ❒ ❒	❒	❒	
5.17.2	All relevant contacts listed and kept up-to-date including competent Authorities to be notified in the following circumstances: in the event of a serious safety risk, when legal limits are exceeded and national legislation requires notification	❒ ❒ ❒	❒	❒	
5.17.3	Recall procedures include systems for identifying the non-conforming feed ingredient batch / lot, including consequences to other feed ingredients, batches / lots or raw materials, systems for identifying the location of affected batches / lots and systems for management of returned feed ingredients, including segregation from other products	❒ ❒ ❒	❒	❒	
5.17.4	Recalled products reproduced only if legal and safe	❒ ❒ ❒	❒	❒	
5.17.5	Recall procedure tested at least annually to ensure effectiveness	❒ ❒ ❒	❒	❒	

REF.:	*QUESTION*	Cf A B	Remark	N\a	*COMMENTS*
5.18	***Internal Audits***				
5.18.1	Documented internal auditing procedures (including a programme of planned internal audits) to check that internal systems are operating as intended and are also effective with regards to compliance with the requirements of this standard, compliance with the requirements of the applicant's HACCP plan, compliance with the applicant's formal procedures, compliance with legislation pertaining to feed ingredient safety, and quality and satisfaction of specified customer requirements	❒ ❒ ❒	❒	❒	
5.18.2	Programme of internal audits ensures that all relevant activities are audited at least once a year	❒ ❒ ❒	❒	❒	
5.18.3	All personnel carrying out internal audits trained to carry out such audits and be able to demonstrate their effectiveness in this role	❒ ❒ ❒	❒	❒	
5.18.4	Internal audits formally reported to those with responsibility for the area audited recording any aspects where the operations are not in compliance with operational requirements, areas of non-compliance corrected and audit report records signed off by an authorised person to indicate that problems have been corrected satisfactorily	❒ ❒ ❒	❒	❒	

ANNEX 3 CERTIFICATE MODEL

(*Certification body logo)*

Certificate of Conformity

Certification Body Ltd.

certifies that

HEAD OFFICE Ltd.

Street

City, Zip Code, Country

Site address (street, street number, city, zip code, country, postal address, phone and fax number, e-mail address)
IFSA Registration number

complies with the requirements of the

IFSA Feed Ingredients Standard

of the

International Feed Safety Alliance

The following processes and products for use in the animal feed sector are included:

Date of certificate issue: DD.MM.Year
Certificate number: 12345
Expiry Date: DD.MM.Year

Place, ...

Signature
Certification body
Street
City, Zip Code
accredited according EN 45011

logo accreditation body

This certificate is property of the certification body and must be returned on request.
It is granted subject to compliance with the IFSA Feed Ingredients Standard of the International Feed Safety Alliance.

ANNEX 4 GUIDELINES FOR THE AUDITING OF CERTIFICATION BODIES

Because of the importance of the certification bodies working strictly to the requirements of IFSA, they must be regularly audited to ensure they adhere to all aspects of the IFSA programme. The audit programme must be carried out by the IFSA Member Organisation to establish that:

- IFSA requirements are fulfilled by Certification Bodies in both the assessment and certification stages of the process
- Only approved auditors are used
- The IFSA audit process is consistent between the certification body's auditors and also between offices (where relevant).
- IFSA programme requirements are applied correctly and equally in all locations

The IFSA Member Organisation shall develop an audit programme for each of the approved certification bodies. The audit programme shall include plans for office audits (including when applicable foreign based offices) and witness audits.
Where a certification body uses auditors based in other countries than the country where the head office of the certification body is based, in the audit programme also witness audits with foreign based auditors should be included. The number of the witness audits should be proportional to the total number of auditors used by the certification body.

Audits on certification bodies shall be carried out by trained and competent IFSA Member Organisation Auditors. The Auditor has to comply with the following requirements:

- Impartiality (i.e. no connections with the certification body that would jeopardize this impartiality),
- Being Lead Assessor,
- 5 years (min) experience in the auditing of management systems,
- Technical competence, and
- Training in HACCP.

Audits shall be conducted in accordance with ISO 19011:2002.

The IFSA Member Organisation Auditor shall ensure that the duration of the audits is sufficient to fully cover all aspects of the control of the certification programme. It is anticipated that this cannot be achieved in less than one day and more time may be required. The audit has to be based on the requirements of the IFSA Rules of Certification and the IFSA Feed Ingredients Standard version in force at that time.

The IFSA Member Organisation Auditor shall ensure that the following topics are covered at each audit:

- Is the certification body accredited according to ISO/IEC Guide 65:1996 (EN 45011:1998) and is the IFSA programme included in the scope?
- Is an annual report submitted?
- Is there an appointed IFSA scheme manager?
- Is the audit programme carried out according to the IFSA Rules of Certification?
- Were the audit reports filled in completely and correctly?
- Does a procedure exist to follow-up corrective actions and how to proceed in case of non-conformities of the IFSA programme?
- Is the certificate issued according to the IFSA certificate model?
- Does proof exist of the auditors' approval according to the IFSA Rules of Certification?
- Are all auditors trained according to the IFSA Rules of Certification?
- Are the audits carried out solely by approved auditors?

In case witness audits are carried out, the auditor should especially verify whether audits have been carried out:

- In compliance with ISO 19011:2002
- Applying the requirements of the IFSA programme.

Audit Reporting

The IFSA Member Organisation Auditor shall prepare a written report that summarises how each element of the audit requirements are being complied with and managed. The IFSA Member Organisation Auditor shall identify any non-compliance.

The IFSA Member Organisation shall monitor the response to the non-compliances and handle the follow-up in the manner specified in the IFSA Rules of Certification.

Annual Reports

The IFSA Member Organisation shall provide an annual report to IFSA that covers the following:

- the number of IFSA audits of certification bodies
- the results of IFSA certification body audits
- remarks on IFSA and developments and trends in the market which relate to the inspection task.

ANNEX 5 AUDITOR EXAMINATION

Reglementation concerning the organization of the jury, its decisions and the examinations for auditors

Chapter 1: Composition of the jury

Article 1

The jury is appointed by the IFSA member organisation.

Article 2

The jury is composed of at least two members. If necessary, the jury can solicit the assistance of independent experts.

Article 3

The jury ensures that the examinations be held correctly and that they comply with the provisions of the IFSA Rules of Certification. If auditors feel in any way prejudiced, they can lodge an appeal to the IFSA member organisation in accordance with the procedures as provided by the IFSA member organisation or formally agreed between parties.

Chapter 2: Procedure for examinations

Article 4

The IFSA member organisation organizes at least one examination session per year. If necessary, sessions can take place more frequently. The IFSA member organisation determines the examination dates and communicates them per ordinary mail, by telefax or e-mail to the certification bodies or publishes these on the IFSA website and the national websites of all IFSA member organisations.

Article 5

The auditor shall inscribe his or her name for the examination on the examination registration form provided by the IFSA member organisation. An examination fee is due per examination and charged to each auditor. The fee amount, which is mentioned on the registration form, is determined by the IFSA member organisation. The auditor is free to register himself/herself for the (number of) examination sessions of his/her choice.

Article 6

The IFSA member organisation reserves the right to refuse the participation in the examination of an auditor not meeting the minimum requirements set out in the IFSA Rules of Certification or in case of lack of payment of the examination fee. The inadmissibility of a certain request for participation shall be preferably determined by the IFSA member organisation before the start of the examinations. Prior to the examination, the auditor shall deliver all the necessary documents proving his qualifications.

Article 7

1. The examinations shall be in writing and shall consist of multiple-choice questions covering 4 parts, each of them covering one of the following subjects:

   - IFSA Feed Ingredients Standard
   - Animal feed legislation
   - Principles and application of the HACCP-system to the sector
   - Processes occurring in the sector

   Seven questions shall be put per subject.

2. The participants to the examination shall sign the attendance list before the start of the examination.
3. The examinations shall always be held as open book examinations, i.e. the auditor is allowed to consult all documents he brought with him.
4. Unless otherwise noted, the evaluation method is as follows:

Correct answer:	+1
Wrong answer:	0
No answer:	0

5. Each kind of fraud or plagiarism will result in a score of zero points for the entire examination. The person committing the fraud or plagiarism will be notified at the moment of discovery thereof.

Article 8

Admittance to the examination shall be refused to any husband/wife, family members or fourth degree relatives. For impartiality reasons, any examinator can ask the jury to be replaced, when otherwise having to interrogate an auditor related to him as indicated above.

Article 9

The location for the examinations will be published on the IFSA website and the national websites of the IFSA member organisations.

Generally, examinations shall take place on weekdays between 9 a.m. and 5 p.m. The exact times marked on the registration form have priority over the abovementioned times.

Article 10

External experts may intervene in the preparation and evaluation of the examinations. In this capacity, they are however placed under the responsibility of a member of the jury.

Chapter 3: Jury Deliberation

Article 11

Examinations shall be corrected within thirty days from the date of the examinations.

Article 12

Examination marks shall be communicated to the jury within that same time limit.

Article 13

Per separate examination part, the marks obtained are added up to a total for the entire part. Results are evaluated as follows:

Result ≥ 4/7	Sufficient knowledge of the respective examination parts
Result < 4/7	Insufficient knowledge of the respective examination parts

In case of differing interpretation of an answer given to a certain question, the members of the jury shall deliberate in a sovereign way. Jury deliberations remain secret.

Chapter 4: Ways of communicating the results

Article 14

The results of the jury deliberation shall be communicated to each auditor individually, by ordinary mail, by telefax or e-mail.

Article 15

An express demand, addressed to the IFSA member organisation, shall be made in writing by the auditor in order to obtain a copy of the answers given by him/her to the examination questions.

Article 16

A time limit of 30 days, starting from the date of receipt of the results by the auditor, is set for lodging an appeal to the IFSA member organisation.