Required documents shall preferably be submitted electronically, in the way that the numbering can directly be assigned to the relevant documents. For submission the Deutsche Akkreditierungsstelle GmbH (DAkkS) provides a **structured zip-folder** where the required documents should be stored electronically and resend to the DAkkS. In individual cases it may be necessary to submit documents in hard copy.

All documents/evidences must be submitted[1] immediately after request[2]. By sending the documents the CAB ensures DAkkS the completeness of the submitted documents. If necessary, further documents may be required by DAkkS or the assigned assessor.

Documents must be submitted in German or English language.

No.	Document
1.	**Complete** documentation of the management system of the certification body and of the granted/applied scope of accreditation (quality management manual, procedures, work instructions or other specifications with regard to the applied/accredited certification schemes)
2.	List of all quality management (QM) documents (including version and/or date of validity)
3.	Most recent management review with contents according to DIN EN ISO/IEC 17021-1 section 10.2.5.2 and 10.2.5.3
4.	Evidence of organisational structure, ownership and legal form of the certification body (trade register excerpt, list of shareholders, organisation chart(s)) *If the certification body is part of an organisation (within the legal entity or within a larger corporate structure) the ownership structure, the integration within the organisation and the relations to other organisational units must be submitted with appropriate information (e. g. with detailed organisational charts and lists of shareholders of all sub-organisations)*
5.	Coverage of existing liability risks, e. g. evidence of liability insurance including information about the scope of insurance (liability and financial loss) or information on an equivalent solution. Information on scopes with a statutory insurance obligation.
6.	Current information regarding the number of employees[3] for all activities of the certification body broken down according to their function[4] (including information on the qualification requirements for each function), working area[5] and the contractual binding[6] to the certification body as well as model contracts for external employees
7.	List of contractors for external provided services (sub-contractors) and other cooperation partners as far as involved in the conformity assessment activities as well as relevant model contracts
8.	Standard contract with clients including current general terms and conditions and if applicable with existing liability limitation clauses.
9.	Regulations for the use of marks according to ISO/IEC 17030 – if applicable

---

[1] The planning of the assessment for initial accreditation or extension of the certification body takes place immediately after confirmation of the application. The documents are requested with this confirmation and must be submitted immediately. If no documents are submitted, the application will be rejected.
Documents for surveillance and reassessment must be submitted immediately upon request.

[2] To submit documents incomplete or late can be punished as an administrative offence according to § 12 AkkStellG (Accreditation Body Act).

[3] Regardless of the extent of employment, each employee counts.

[4] e. g. auditors, decider, administrative employees, etc.

[5] e. g. depending on the certification programmes within the accreditation scope.

[6] Permanent employees (internal) or further employees bound by contract (external).

No.	Document
10.	Rules of procedures of all established committees – if applicable
11.	Evidence of the obligation of the certification bodies top management regarding the impartiality according to DIN EN ISO/IEC 17021-1 section 5.2.2
12.	Up to date analysis of risks regarding the impartiality including the analysis of related bodies according to DIN EN ISO/IEC 17021-1 section 5.2.3
13.	Directory of certified organisations – broken down to the certification schemes (ISO 9001, ISO 14001, etc), including scope assignment (IAF scopes, if applicable) and countries (for cross-border certifications)
14.	Sample certificate for each certification scheme, sample certificate with annex "Sites" to the certificate and sample site certificate for multi-site procedures
15.	Documentation of certification rules and - procedures, submission of all certification areas and notices of determination regarding the suitability for accreditation of certification schemes, if applicable
16.	Fee regulation or price list as well as all distribution agreements with third parties and performance-based remunerations of employees and contractual partners
17.	Auditor competence matrix according to certification areas (ISO 9001, ISO 14001, etc.) and EA sectors, ISO 22000 cat., etc. - if applicable
18.	Explanation on used IT-systems and their function and a description of interfaces between those IT-systems as well as to external databases/archive systems including the process of release of those systems
19.	Filled Partial Assessment Report/Checklist DIN EN ISO/IEC 17021-1 *The template to be filled in is included in the zip-folder.* *Document will be submitted to DAkkS electronically (Word-document).*
20.	Submission of a copy of all certificate-relevant technical standards or standards which are referred in the certification schemes or to accredited activities stated in the certificate, as far as DAkkS does not determine a different regulation[7]. Each standard (level 4 or 5) which is stated on the certificate must be submitted in copy for examination purposes. The provision is permitted license-free according to § 45 Copyright Act (§45 Urheberrechtsgesetz (UrhG) *These documents will be send separately from the other listed documents in a separate zip-folder. The identification of the normative documents is part of the respective file name. If the normative documents within the scope of accreditation have already been submitted by the certification body, only the normative documents concerning changes of the scope shall be submitted.*

---

[7] Publicly freely accessible documents that are subject to the accreditation scope do not have to be submitted.

Documents to be submitted for witness audits

No.	Document
1.	Customer master data (customer questionnaire, application, other certifications)
2.	Customer information (web address, possibly directions)
3.	Overall audit plan and concrete planning for audit dates (daily plan)
4.	Determination of the audit effort including justification Multi-Site, transfer review
5.	Offer/Certification contract with customers
6.	Report on the review of the customer's documents, release from system analysis
7.	Contents/Structure of the customer manual
8.	Report on the preliminary audit/Stage 1 Audit
9.	Audit documentation (initial certification, last surveillance, last recertification)
10.	Certificate
11.	Audit program for the certification cycle
12.	Evidence of qualifications, independence, monitoring, exchange of experience of the auditors/technical experts
13.	Procedure of the certification body for conducting audits
14.	Audit documentation (audit report, non-conformity reports) - at the end of the audit