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| **Details of the certification body** |
| Name: |  |
| Address: |       |
| File number: |       |       |  |
| Case number | Phase |  |
| Date of assessment: |       |
| Accreditation process: |  |
| Assessment type[[1]](#endnote-1) : |       |
| Certification body with several locations: | [ ]  Yes | [ ]  No |
| Name / Address of assessed locations: |

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| **Details of the assessor** |
| Name: |       |
| Status[[2]](#endnote-2) : | [ ]  SA | [ ]  TA | [ ]  TE |
| **Assessed area** (technical fields of DAkkS, certification fields, sector specific requirements, directives/modules) |

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In addition to the report according to DIN EN ISO/IEC 17021-1 this checklist references the detailed requirements
of ISO/TS 22003:2013. **This checklist contains the additional requirements, only - not any pure reference to the accreditation standard itself.**

DAkkS assumes, that the reference made within ISO/TS 22003:2013 toward DIN EN ISO/IEC 17021:2011 applies identically to the relevant clauses of DIN EN ISO/IEC 17021-1:2015. Therefore, further editorial changes were not made.

This checklist/this report does **not** repeat the objective evidence and reviewed documents, text passages
and explanation of non-conformities listed or given in the partial assessment report according to DIN EN ISO/IEC 17021-1:2015. The responsible assessor **may**, however, list further documents and add
explanatory text.

| **No.** | **Requirements** | **Notes** | **Appraisal[[3]](#endnote-3)** | **No. of** |
| --- | --- | --- | --- | --- |
|  |  | **Remarks** | **1** | **2** | **3** | **NC[[4]](#endnote-4)** |
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| 5 General requirements |
| 5.2  | FSMS consultancy shall not be provided by either the certification body or any part of the same legal entity. |       | [ ]  | [ ]  | [ ]  |       |
| 7 Resource requirements |
| 7.1.1 | The technical areas referred to in ISO/IEC 17021:2011, 7.1.1, shall be those categories identified in Annex A. The functions of certification for which competence shall be identified are those given in Annex C. |       | [ ]  | [ ]  | [ ]  |       |
| 7.1.2 | The competence criteria included in Annex C shall form the basis for the criteria developed for each category. Competence criteria can be generic or specific. The competence criteria in ISO/IEC 17021:2011, Annex A, shall be considered to be generic. |       | [ ]  | [ ]  | [ ]  |       |
| 7.1.3 | Evaluation processes shall evaluate, in particular, the individual’s knowledge relating to food safety, including knowledge of specific prerequisite programmes (PRP) and food safety hazards related to the categories within which the certification body personnel operate. These shall have been identified for these categories under the requirements of 7.1.2. |       | [ ]  | [ ]  | [ ]  |       |
| 8 Information requirements |
|  | The certification documents shall identify in detail what activity is certified, referring to categories and subcategories (see Table A.1). |       | [ ]  | [ ]  | [ ]  |       |
| 9 Process requirements |
| 9.1.1 | The certification body shall use Annex A to define the relevant scope for the organization applying for certification. The certification body shall not exclude activities, processes, products or services from the scope of certification when those activities, processes, products or services can have an influence on the food safety of the end products as defined in the scope of certification. |       | [ ]  | [ ]  | [ ]  |       |
| 9.1.2 | The certification body shall have a process for choosing the audit day, time and season, so that the audit team has the opportunity of auditing the organization operating on a representative number of product lines, categories and subcategories covered by the scope of certification. |       | [ ]  | [ ]  | [ ]  |       |
| 9.1.4 | The certification body shall have documented procedures for determining audit time, and for each client, the certification body shall determine the time needed to plan and accomplish a complete and effective audit of the client’s FSMS. The audit time determined by the certification body, and the justification for the determination, shall be recorded. |       | [ ]  | [ ]  | [ ]  |       |
| 9.1.5.1 | A multi-site organization is an organization having an identified central function (hereafter referred to as a central office – but not necessarily the headquarters of the organization) at which certain FSMS activities are planned, controlled or managed, and a network of sites at which such activities are fully or partially carried out. Examples of possible multi-site organizations are:* organizations operating with franchises;
* a manufacturing company with one or more production sites and a network of sales offices;
* service organizations with multiple sites offering a similar service;
* organizations with multiple branches.
 |       | [ ]  | [ ]  | [ ]  |       |
| 9.1.5.2 | The certification body can certify a multi-site organization under one management system, providing that the following conditions apply:1. all sites are operating under one centrally controlled and administered FSMS as defined in ISO 22000:2005, Clause 4, or equivalent for other FSMS;
2. an internal audit has been conducted on each site within one year prior to certification;
3. audit findings of the individual sites shall be considered indicative of the entire system and correction shall be implemented accordingly.
 |       | [ ]  | [ ]  | [ ]  |       |
| 9.1.5.3 | The use of multi-site sampling is only possible for categories A, B, E, F and G (see Table A.1) and for organizations with more than 20 sites operating similar processes within these categories. This applies to the initial certification, to surveillance and to recertification audits. The certification body shall justify its decision on sampling for multi-site certification.Where multi-site sampling is permitted, following certification, the annual internal audit programme shall include all sites of the organization. |       | [ ]  | [ ]  | [ ]  |       |
| 9.1.5.4 | Where the certification body offers multi-site sampling, the certification body shall utilize a sampling programme to ensure an effective audit of the FSMS where the following apply:1. For organizations with 20 sites or less, all sites shall be audited. The sampling for more than 20 sites shall be at the ratio of 1 site per 5 sites. All sites shall be randomly selected and, after the audit, no sampled sites may be nonconforming (i.e. not meeting certification thresholds for ISO 22000).
2. At least annually, an audit of the central office for the FSMS shall be performed by the certification body.
3. At least annually, surveillance audits shall be performed by the certification body on the required number of sampled sites.
4. Audit findings of the sampled sites shall be considered indicative of the entire system and correction shall be implemented accordingly.

(Table 1 gives examples of the number of sites to audit when sampling is used.) |       | [ ]  | [ ]  | [ ]  |       |
| 9.1.8 | The certification body shall provide a written report for each audit. The audit team may identify opportunities for improvement, but shall not recommend specific solutions. Ownership of the audit report shall be maintained by the certification body.The report shall include information about PRP used by the organization, hazard analysis methodology used, comments on the food safety team, and other issues relevant to the FSMS. |       | [ ]  | [ ]  | [ ]  |       |
| 9.2.1 | The certification body shall require the applicant organization to provide detailed information concerning process lines, HACCP studies and the number of shifts. |       | [ ]  | [ ]  | [ ]  |       |
| 9.2.3 | The initial certification audit of an FSMS shall be conducted in two stages: stage 1 and stage 2. |       | [ ]  | [ ]  | [ ]  |       |
| 9.2.3.1.2 | The objectives of the stage 1 are to provide a focus for planning the stage 2 audit by gaining an understanding of the organization’s FSMS and the organization’s state of preparedness for stage 2 by reviewing the extent to which:1. the organization has identified PRP that are appropriate to the business (e.g. regulatory, statutory, customer and certification scheme requirements),
2. the FSMS includes adequate processes and methods for the identification and assessment of the organization’s food safety hazards, and subsequent selection and categorization of control measures (combinations),
3. relevant food safety legislation is implemented,
4. the FSMS is designed to achieve the organization’s food safety policy,
5. the FSMS implementation programme justifies proceeding to the audit (stage 2),
6. the validation of control measures, verification of activities and improvement programmes conform to the requirements of the FSMS standard,
7. the FSMS documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties, and
8. there is any additional documentation which needs to be reviewed and/or information which needs to be obtained in advance.

Where an organization has implemented an externally developed combination of control measures, the stage 1 shall review the documentation included in the FSMS to determine if the combination of control measures: * is suitable for the organization,
* was developed in compliance with the requirements of ISO 22000, and
* is kept up to date.

The availability of relevant authorizations shall be checked when collecting the information regarding the compliance to regulatory aspects. |       | [ ]  | [ ]  | [ ]  |       |
| 9.2.3.1.3 | For FSMS, the stage 1 shall be carried out at the client’s premises in order to achieve the objectives stated above.In exceptional circumstances, part of stage 1 can take place off-site and shall be fully justified. The evidence demonstrating that stage 1 objectives are fully achieved shall be provided. Exceptional circumstances can include very remote location, short seasonal production. |       | [ ]  | [ ]  | [ ]  |       |
| 9.2.3.1.4 | The client shall be informed that the results of the stage 1 may lead to postponement or cancellation of the stage 2. |       | [ ]  | [ ]  | [ ]  |       |
| 9.2.3.1.5 | Any part of the FSMS that is audited during the stage 1 audit, and determined to be fully implemented, effective and in conformity with requirements, may not need to be re-audited during the stage 2 audit. However, the certification body shall ensure that the already audited parts of the FSMS continue to conform to the certification requirements. In this case, the audit report shall include these findings and shall clearly state that conformity has been established during the stage 1 audit. |       | [ ]  | [ ]  | [ ]  |       |
| 9.2.3.1.6 | The interval between stage 1 and stage 2 shall not be longer than 6 months. Stage 1 shall be repeated if a longer interval is needed. |       | [ ]  | [ ]  | [ ]  |       |

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| **Report was prepared as an annex to the report in accordance with EN ISO/IEC 17021-1:**[[5]](#endnote-5)) |
| Place: |       | Date: |       | Signed[[6]](#endnote-6) *Name Assessor*: |        |

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| **Report reviewed by the case manager:** |
| Place: |       | Date: |       | Signed *case Manager*: |       |

1. Under assessment type, the assessment technique is to be indicated, whereby several assessment types can be used in the context of an assessment. Please select the applicable element or combination of elements from the following options to indicate the type of assessment:
On-site assessment / Remote assessment / Witness audit (on-site) / Witness audit (remote) / Witness examination / Document review / Other assessment activity (please specify if necessary) [↑](#endnote-ref-1)
2. Status in the assessment team: SA=System Assessor; TA=Technical Assessor; TE=Technical expert [↑](#endnote-ref-2)
3. Grading of fulfilment the requirements of a section of the standard to be entered by the assessor:
1 **No** non-conformity
2 **Non critical** non-conformity
3 **Critical** non-conformity [↑](#endnote-ref-3)
4. Reference to the non-conformity described in the main report (No. of non-conformity there) [↑](#endnote-ref-4)
5. The assessment of fulfilment the requirements and recommendations for accreditation are documented in the assessment report to the EN ISO/IEC 17021-1. [↑](#endnote-ref-5)
6. This report was prepared personally by on . [↑](#endnote-ref-6)