

	List of required documents for the accreditation as a Certification Body for Management systems according to DIN EN ISO/IEC 17021-1	LI-EU_ZM_EN	
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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 case manager. In individual cases documents must be submitted in hard copy. The case manager will inform you accordingly.

All documents/evidences must be submitted¹ before the assessment in due time². By sending the documents the CAB ensures DAkkS the completeness of the submitted documents. If necessary, further documents may be required by the case manager 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
4.	Evidence of organisational structure, ownership and legal form of the certification body (trade register excerpt, list of shareholders, organisation chart(s)) <i>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)</i> Evidences about structure, ownership and legal structure of the integrated legal entities as well as information about further accreditations of these legal entities must be submitted.
5.	Risk analysis and liability estimation for the calculation of an appropriate level of insurance and evidence of a liability insurance or an equivalent solution (especially for financial loss). Information on scopes with a statutory insurance obligation.
6.	List of employees stating their qualification/professional training/responsibilities at all levels of the conformity assessment activity
7.	Standard contract with clients including current terms and conditions und if applicable with existing liability limitation clauses.
8.	Regulations for the use of marks according to ISO/IEC 17030 – if applicable
9.	List of existing contractual regulations with external personnel (e. g. auditors), contractors (sub-contractors) and other cooperation partners as far as involved in the conformity assessment activities as well as samples of relevant contracts
10.	Rules of procedures of all established committees – if applicable
11.	Independence and impartiality declaration of the top management

¹ To submit documents incomplete or late can be punished as an administrative offence according to § 12 AkkStellG (Accreditation Body Act)

² The actual planning of the assessment of the certification body will be scheduled not before the required documents are submitted completely. The listed documents shall be submitted at least 6 weeks before the scheduled assessment.

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No.	Document
12.	Up to date analysis of risks regarding the impartiality including the analysis of related bodies and presentation of the mechanism for safeguarding impartiality
13.	Schedule of certified organisations – broken down to the certification schemes, including scope assignment (IAF scopes, if applicable) and countries (for cross-border certifications)
14.	One sample certificate <u>for each</u> 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 review 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.	<p>Last annual report with information on/data of the certification body and performed certification activities</p> <p><i>The template to be filled in is included in the zip-folder. Document will be submitted to DAkkS electronically (Excel-document).</i></p>
20.	<p>Filled Partial Assessment Report/Checklist DIN EN ISO/IEC 17021-1</p> <p><i>The template to be filled in is included in the zip-folder. Document will be submitted to DAkkS electronically (Word-document).</i></p>
21.	<p>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 regulation³.</p> <p>(The provision is permitted license-free according to § 45 Copyright Act (§45 Urheberrechtsgesetz (UrhG))</p> <p>Each standard (level 4 or 5) which is stated on the certificate must be submitted in copy for examination purposes.</p> <p><i>These documents will be send separately from the other listed documents in a separate zip-folder. The identification of the normative documents is contained in 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.</i></p>

³ Publicly freely accessible documents that are the subject of 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