|  |  |  |
| --- | --- | --- |
| **DETAILS OF ORGANISATION** | | |
| **NAME OF CERTIFICATION BODY** |  | |
| **CB ACCREDITATION NO.** *(for MAURITAS accredited CB only)* |  | |
| **ADDRESS** |  | |
| **NAME OF CONTACT PERSON** |  | |
| **DATE OF SUBMISSION** |  | |
| **This report covers: Self-Assessment by CB**  **Assessment by MAURITAS** | | |
| **TYPE OF ASSESSMENT:**  **Initial Assessment**  **Assessment**  **(state number)…….. Extension**  **Re-assessment**  **Others (specify)………………………………………** | | |
| **Scope assessed**  *(please tick)* | **Food Safety Management System (FSMS)** | **Hazard Analysis and Critical Control Point (HACCP)** |
| **Name of Assessor** |  | |
| **Date(s) of Review** |  | |
| **Date(s) of Office Assessment** |  | |
| ***NOTES FOR CB:***     1. *The CB shall fill in section 4 when applying for accreditation and/or prior to an initial assessment, re-assessment and extension of scopes.* 2. *The CB shall provide details where the requirements have been addressed in its Quality Documentation (reference to the title of the document, the relevant page number/clause number).* | | |
| ***NOTES FOR ASSESSORS:***   1. *C = Compliance NC = Non-Compliance NA = Not Applicable* 2. *Usethe space in relevant section to record all the documents/evidence checked* | | |
| ***The requirements for ISO/IEC 17021-1:2015 are documented in black in section 4***  ***The additional requirements as per ISO 22003-1:2022 have been added in blue in section 4*** | | |

**1. IAF MD DOCUMENTS**

|  |  |  |  |
| --- | --- | --- | --- |
| **IAF MD DOCUMENT** | **CLAUSE NUMBER** | **C/NC/NA** | **COMMENTS** |
|  |  |  |  |
|  |  |  |  |

**2. MAURITAS REGULATIONS**

|  |  |  |  |
| --- | --- | --- | --- |
| **MAURITAS REGULATIONS** | **CLAUSE NUMBER** | **C/NC/NA** | **COMMENTS** |
| ***MAURITAS R4*** |  |  |  |
|  |  |  |  |

**3. CB IS MAKING USE OF COMBINED MARK/MAURITAS SYMBOL PROPERLY**

***YES NO***

***List the certificates verified***

**4. TECHNICAL REQUIREMENTS**

|  |
| --- |
| **ISO/IEC 17021-1:2015**  **Clause 7 Resource requirements**  **7.1** **Competence of personnel** |
| **7.1.1 General considerations** |
| *Does the certification body have processes to ensure that personnel have appropriate knowledge and skills relevant to the food safety management systems and geographic areas in which it operates?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by the Assessor)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 7.1.1 General considerations** |
| *Are the certification functions for which competence has been identified are those given in Annex C (of ISO 22003-1:2022)?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by the Assessor)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **7.1.2 Determination of competence criteria** |
| *Does the certification body have a process for determining the competence criteria for personnel involved in the management and performance of audits and certification activities?*  *Are competence criteria determined with regard to the requirements of the certification standard for each technical area, and for each function in the certification process?*  *Is the output of the process the documented criteria of required knowledge and skills necessary to effectively perform audit and certification tasks to be fulfilled to achieve the intended results? Annex A specifies the knowledge and skills that a certification body shall define for specific functions.*  *NOTE The term “technical areas” is applied differently on the management system standard being considered. For any management system, the term is related to products, processes and services in the context of the scope of the management system standard. The technical area can be defined by a specific certification scheme (e.g. ISO/TS 22003) or can be determined by the certification body. It is used to cover a number of other terms such as “scopes”, “categories”, “sectors”, etc., which are traditionally used in different management system disciplines.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 7.1.2 Determination of competence criteria** |
| *Are the technical areas defined using Annex A (of ISO 22003-1:2022)?*  *Are the competence criteria, specifying required knowledge and skills, in Annex C (of ISO 22003-1:2022) applied?*  *NOTE 1 Annex D provides guidance to the certification body on many of the generic certification functions identified in ISO/IEC 17021-1:2015, Annex A, for which competence criteria need to be determined for personnel involved in the audit and certification of an FSMS.*  *NOTE 2 Qualification(s) and experience can be used as part of the criteria; however, competence is not based on these alone, as it is important to ensure that a person can demonstrate the ability to apply the specific knowledge and skills that one would expect a person to have after completing a qualification or having a certain amount of industry experience.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 7.1.3 Evaluation processes** |
| *Does the certification body have documented processes for the initial competence evaluation, and on-going monitoring of competence and performance of all personnel involved in the management and performance of audits and other certification activities, applying the determined competence criteria?*  *Does the certification body able to demonstrate that its evaluation methods are effective?*  *Do the output from these processes identify personnel who have demonstrated the level of competence required for the different functions of the audit and certification process?*  *Within the certification body, do the individuals demonstrate competence prior to the individuals taking responsibility for the performance of their activities?*  *NOTE 1 A number of evaluation methods that can be used to evaluate knowledge and skills are described in Annex B.*  *NOTE 2 Annex C shows an example of process flow for determining and maintaining competence.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 7.1.3 Evaluation process** |
| *Does the certification body evaluate, in particular, the individual’s knowledge relating to food safety, including knowledge of specific prerequisite programmes (PRPs), food safety hazards and control measures related to the categories within which the certification body personnel operate?*  *Are these identified for these categories under the requirements of 7.1.2?*  *Do evaluators have knowledge of (one or more) evaluation methods (see ISO/IEC 17021-1:2015, Annex B) and demonstrate the ability to apply them?*  *NOTE: ISO/IEC 17021-1:2015, 7.1.3, requires the certification body to demonstrate the effectiveness of the evaluation methods used to evaluate personnel against identified competence criteria.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 7.1.4Other considerations** |
| *Does the certification body have access to the necessary technical expertise for advice on matters directly relating to certification activities for all technical areas, types of management systems and geographic areas in which the certification body operates?*  *Such advice may be provided externally or by certification body personnel.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 7.2 Personnel involved in the certification activities** |
| **Clause 7.2.1**  *Does the certification body have sufficient, competent personnel for managing and supporting the type and range of audit programmes and other certification work performed?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.2**  *Does the certification body employ, or have access to, a sufficient number of auditors, including audit team leaders, and technical experts to cover all of its activities and to handle the volume of audit work performed?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.3**  *Does the certification body make clear to each person concerned their duties, responsibilities and authorities?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.4**  *Does the certification body have processes for selecting, training, formally authorizing auditors and for selecting and familiarizing technical experts used in the certification activity?*  *Does the initial competence evaluation of an auditor include ability to apply required knowledge and skills during audits, as determined by a competent evaluator observing the auditor conducting an audit?*  *NOTE During the selection and training process described above desired personal behaviours can be considered. These are characteristics that affect an individual's ability to perform specific functions. Therefore, knowledge about the behaviours of individuals enables a certification body to take advantage of their strengths and to minimize the impact of their weaknesses. Desired personal behaviour that is important for personnel involved in certification activities is described in Annex D* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.5**  *Does the certification body have a process to achieve and demonstrate effective auditing, including the use of auditors and audit team leaders possessing generic auditing skills and knowledge, as well as skills and knowledge appropriate for auditing in specific technical areas?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.6**  *Does the certification body ensure that auditors (and, where needed, technical experts) are knowledgeable of its audit processes, certification requirements and other relevant requirements?*  *Does the certification body give auditors and technical experts’ access to an up to-date set of documented procedures giving audit instructions and all relevant information on the certification activities?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.7**  *Does the certification body identify training needs and offer or provide access to specific training to ensure its auditors, technical experts and other personnel involved in certification activities are competent for the functions they perform?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.8**  *Does the group or individual that takes the decision on granting, refusing, maintaining, renewing, suspending, restoring or withdrawing certification, or on expanding or reducing the scope of certification, understand the applicable standard and certification requirements, and have demonstrated competence to evaluate the outcomes of the audit processes including related recommendations of the audit team?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.9**  *Does the certification body ensure the satisfactory performance of all personnel involved in the audit and certification activities?*  *Is there a documented process for monitoring competence and performance of all persons involved, based on the frequency of their usage and the level of risk linked to their activities?*  *Does the certification body review and record the competence of its personnel in the light of their performance in order to identify training needs?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.10**  *Does the certification body monitor each auditor considering each type of management system to which the auditor is deemed competent?*  *Do the documented monitoring procedures for auditors include combination of on-site observation, review of audit reports and feedback from clients or from the market?*  *Is the monitoring designed in such a way as to minimize disturbance to the normal processes of certification, especially from the client's viewpoint?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.2.11**  *Does the certification body periodically evaluate the performance of each auditor on-site?*  *Is the frequency of on-site evaluations based on the need determined from all monitoring information available?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 7.3 Use of individual external auditors and external technical experts** |
| *Does the certification body require external auditors and external technical experts to have a written agreement by which they commit themselves to comply with applicable policies and implemented processes as defined by the certification body?*  *Does the agreement address aspects relating to confidentiality and impartiality and require the external auditors and external technical experts to notify the certification body of any existing or prior relationship with any organization they may be assigned to audit?*  *NOTE Use of an individual or employee of another organization individually contracted to serve as an external auditor or technical expert does not constitute outsourcing.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 7.4 Personnel records** |
| *Does the certification body maintain up-to-date personnel records, including relevant qualifications, training, experience, affiliations, professional status and competence?*  *Does the record include management and administrative personnel in addition to those performing certification activities?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 7.5 Outsourcing** |
| **Clause 7.5.1**  *Does the certification body have a process in which it describes the conditions under which outsourcing (which is subcontracting to another organization to provide part of the certification activities on behalf of the certification body) may take place?*  *Does the certification body have a legally enforceable agreement covering the arrangements, including confidentiality and conflict of interests, with each body that provides outsourced services?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.5.2**  *Are decisions for granting, refusing maintaining of certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification are not outsourced?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.5.3**  *Does the certification body:*   1. *take responsibility for all activities outsourced to another body;* 2. *ensure that the body that provides outsourced services, and the individuals that it uses, conform to requirements of the certification body and also to the applicable provisions of* 3. *ISO/IEC 17021-1, including competence, impartiality and confidentiality;* 4. *ensure that the body that provides outsourced services, and the individuals that it uses, are not involved, either directly or through any other employer, with an organization to be audited, in such a way that impartiality could be compromised?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 7.5.4**  *Does the certification body have a process for the approval and monitoring of all bodies that provide outsourced services used for certification activities?*    *Does the certification body ensure that records of the competence of all personnel involved in certification activities are maintained?*  *NOTE 1: For Clauses 7.5.1 to 7.5.4, where the certification body engages individuals or employees of other organizations to provide additional resources or expertise, these individuals do not constitute outsourcing provided they are individually contracted to operate under the certification body’s management system (see Clause 7.3).*  *NOTE 2: For Clauses 7.5.1 to 7.5.4, the terms “outsourcing” and “subcontracting” are considered to be synonyms.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 8.2 Certification documents** |
| **Clause 8.2.1**  *Does the certification body provide by any means it chooses certification documents to the certified client?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 8.2.2**  *Does the certification document(s) identify the following:*   1. *the name and geographical location of each certified client (or the geographical location of the headquarters and any sites within the scope of a multi-site certification);* 2. *the effective date of granting, expanding or reducing the scope of certification, or renewing certification which shall not be before the date of the relevant certification decision;*   *NOTE The certification body can keep the original certification date on the certificate when a certificate lapses for a period of time provided that:*  *— the current certification cycle start and expiry date are clearly indicated;*  *— the last certification cycle expiry date be indicated along with the date of recertification audit.*   1. *the expiry date or recertification due date consistent with the recertification cycle;* 2. *a unique identification code;* 3. *the management system standard and/or other normative document, including indication of issue status (e.g., revision date or number) used for audit of the certified client;* 4. *the scope of certification with respect to the type of activities, products and services as applicable at each site without being misleading or ambiguous;* 5. *the name, address and certification mark of the certification body; other marks (e.g., accreditation symbol, client’s logo) may be used provided they are not misleading or ambiguous;* 6. *any other information required by the standard and/or other normative document used for certification;* 7. *in the event of issuing any revised certification documents, a means to distinguish the revised documents from any prior obsolete documents.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 22003-1:2022**  **Clause 8.2 Certification documents** |
| *Do the certification documents identify in detail the categories and subcategories in Table A.1 to which the FSMS applies?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 22003-1:2022**  **Clause 8.3** |
| *Does the certification body* ***not*** *authorize the use of the FSMS certification mark on the product nor the product packaging?*  *In the context of this document, does the product packaging referred to in ISO/IEC 17021-1:2015, 8.3, cover all product packaging, both primary packaging (which contains the product) and any outer or secondary packaging?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 22003-1:2022**  **Clause 8.4** |
| *Does the certification body not permit the use of any statement on product packaging that the client has a certified FSMS?*  *This includes all product packaging, both primary packaging (which contains the product) and any outer or secondary packaging.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9 Process requirements** |
| **9.1 Pre-certification activities** |
| **Clause 9.1.1 Application**  *Does the certification body require an authorized representative of the applicant organization to provide the necessary information to enable it to establish the following:*   1. *the desired scope of the certification;* 2. *relevant details of the applicant organisation as required by the specific certification scheme, including its name and the address(es) of its site(s), its processes and operations, human and technical resources, functions, relationships and any relevant legal obligation;* 3. *identification of outsourced processes used by the organisation that will affect conformity to requirements;* 4. *the standards or other requirements for which the applicant organisation is seeking certification;* 5. *whether consultancy relating to the management system to be certified has been provided and, if so, by whom?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.1 Application** |
| *Does the certification body require that the applicant organization provide the information concerning products and processes relevant to determination of the audit duration, as per Annexes A and B?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.1.2 Application Review** |
| **Clause 9.1.2.1**  *Does the certification body conduct a review of the application and supplementary information for certification to ensure that:*   1. *the information about the applicant organisation and its management system is sufficient to develop an audit programme (see Clause 9.1.3)* 2. *any known difference in understanding between the certification body and the application organisation is resolved;* 3. *the certification body has the competence and ability to perform the certification activity;* 4. *the scope of certification sought, the site(s) of the applicant organisation’s operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.)?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.2.2**  *Following the review of the application, does the certification body either accept or decline an application for certification.*  *When the certification body declines an application for certification as a result of the review of application, are the reasons for declining an application documented and made clear to the client?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.2.3**  *Based on this review, does the certification body determine the competences it needs to include in its audit team and for the certification decision?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.1.2.2** |
| *Does the certification body use Annex A to define the relevant scope for the organization applying for certification?*  *Does the scope statement:*  *— identify the category(s) or subcategory(s) in scope of certification for each site or sites?*  *— briefly describe the main types of activities/processes for the products and/or services that are audited by the certifying body?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.1.2.3** |
| *Is the defined scope of certification not:*  *— misleading?*  *— 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 by the legal responsibility of the organisations’ activities?*  *— include any promotional statements, brands or claims.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.1.3 Audit programme** |
| **Clause 9.1.3.1**  *Is an audit programme for the full certification cycle developed to clearly identify the audit activity/activities required to demonstrate that the client’s management system fulfils the requirements for certification to the selected standard(s) or other normative document(s)?*  *Does the audit programme for the certification cycle cover the complete management system requirements?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by the AB)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.3.2**  *Does the audit programme for the initial certification include a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification?*  *Does the first three-year certification cycle begin with the certification decision?*  *Do subsequent cycles begin with the recertification decision (See Clause 9.6.3.2.3)?*  *Does the determination of the audit programme and any subsequent adjustments consider the size of the client, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits?*  *NOTE 1 Annex E of ISO/IEC 17021-1 is a flowchart of a typical audit and certification process.*  *NOTE 2 The following list contains additional items that can be considered when developing or revising an audit programme, they might also need to be addressed when determining the audit scope and developing the audit plan:*   * *Complaints received by the certification body about the client;* * *Combined integrated or joint audit;* * *Changes to certification requirements;* * *Changes to legal requirements;* * *Changes to accreditation requirements;* * *Organisational performance data (e.g. defect levels, key performance indicators data)* * *Relevant interested parties’ concerns*   *NOTE 3 If specified by the industry specific certification scheme, the certification cycle can be different from three years.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.1.3.2** |
| *In addition, does the certification body have a process for choosing the audit timing and season, so that the audit team has the opportunity of auditing the organization operating on a representative number of product lines and/or services covered by the scope of certification?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.3.3**  *Are surveillance audits conducted at least once a calendar year, except in recertification years?*  *Is the date of the first surveillance audit following initial certification not more than 12 months from the certification decision date?*  *NOTE It can be necessary to adjust the frequency of surveillance audits to accommodate factors such as seasons or management systems certification of a limited duration (e.g. temporary construction site)* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.3.4**  *Where the certification body is taking account of certification already granted to the client and to audits performed by another certification body, does the certification body obtain and retain sufficient evidence, such as reports and documentation on corrective actions, to any nonconformity?*  *Does the documentation support the fulfilling of the requirements in this part of ISO/IEC 17021?*  *Does the certification body, based on the information obtained, justify and record any adjustments to the existing audit programme and follow up the implementation of corrective actions concerning previous nonconformities?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.3.5**  *Where the client operates shifts, do the activities that take place during shift working are considered when developing the audit programme and audit plans?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.1.4 Determining audit time** |
| **Clause 9.1.4.1**  *Does the certification body have documented procedures for determining audit time?*  *For each client, does the certification body determine the time needed to plan and accomplish a complete and effective audit of the client’s management system?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.1.4.2** |
| *Does the certification body have:*  *- documented procedures for determining audit time? and*  *- for each client, determine the time needed to plan and accomplish a complete and effective audit of the client’s FSMS?*  *In determining the audit duration, does the certification body use the methodology described in Annex B?*  *Is the audit time determined by the certification body, and the justification for the determination, recorded, including justification for any reductions or additions?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.1.4.2** |
| *In determining the audit time, does the certification body consider, among other things, the following aspects:*   1. *the requirement of the relevant QMS/EMS standards;* 2. *complexity of the client and its management system;* 3. *technological and regulatory context;* 4. *any outsourcing of any activities included in the scope of the FSMS;* 5. *results of any prior audits;* 6. *size and number of sites, their geographical locations and multi-site considerations;* 7. *the risks associated with the products, processes or activities of the organisation;* 8. *when audits are combined, joint or integrated?*   *NOTE 1 Time spent travelling to and from audited sites is not included in the calculation of the duration of the management system audit days.*  *NOTE 2 The certification body can use the guidance established in ISO/IEC TS 17023 for determining the duration of management system audit when documenting these procedures.*  *Where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003 or ISO/IEC 27006, these shall be applied*. |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.4.3**  *Are the duration of the management system audit and its justification recorded?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.1.4.3** |
| *In determining and documenting audit time needed, does the certification body determine:*   1. *the time for audit preparation?* 2. *the minimum duration for auditing for each site for on-site or remote auditing, as specified in Clauses B.1, B.2 and B.3 and Table B.1?* 3. *the time for reporting and, if applicable, conducting post-audit activities?* 4. *where additional meetings are necessary (e.g. review meetings, coordination, audit team briefing), an increase in audit time can be required?* 5. *where applicable and agreed, the time needed to ensure effective remote auditing or use of information and communication technology (ICT)?* |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause****9.1.4.4**  *Does the time spent by any team member that is not assigned as an auditor (i.e. technical experts, translators, interpreters, observers and auditors-in-training) not count in the above established duration of the management system audit?*  *NOTE* *The use of translators and interpreters can necessitate additional time.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.1.5 Multi-site sampling** |
| *Where multi-site sampling is used for the audit of a client’s management system covering the same activity in various geographical locations, does the certification body develop a sampling programme to ensure proper audit of the management system?*  *Is rationale for the sampling plan documented for each client?*  *Sampling is not allowed for some specific certification schemes, and where specific criteria have been established for a specific certification scheme, e.g. ISO/TS 22003, these shall be applied.*  *NOTE Where there are multiple sites not covering the same activity sampling is not appropriate.*  *ISO 22003-1:2022 / Clause 9.1.5.1*  *NOTE The whole of subclause 9.1.5 is intended to apply only to operations where activities present in the scope statement are performed.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.1.5.2** |
| *A multi-site organization is an organization having an identified central function 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;*  *— producer groups (for categories A and B);*  *— 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.*  *Does the sampling of multi-site organizations cover all activities (see the criteria given in 9.1.5.3)?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.5.3**  *Does the certification body demonstrate that the sampling of sites does not undermine effective auditing?*  *When multi-site sampling is undertaken, does the certification body justify and document the rationale based on the following conditions:*   1. *sites are operating under one centrally controlled and administered FSMS;* 2. *sites subject to sampling are similar (food chain subcategory, geographical location, processes and technologies, size and complexity, regulatory and statutory requirements, customer requirements, food safety hazards and control measures);* 3. *the central function is part of the organization, clearly identified and not subcontracted to an external organization;* 4. *all sites have a legal or contractual link with the central function;* 5. *the central function has organizational authority to define, establish and maintain the FSMS;* 6. *all sites are subject to the organization’s internal audit programme and have been audited;* 7. *audit findings at a site are considered indicative of the entire FSMS and corrective actions are implemented accordingly;* 8. *the central function is responsible for ensuring that outcomes of performance evaluation and customer complaints from all sites are collected and analysed;* 9. *the organization’s FSMS is subject to central management review;* 10. *the central function has authority to initiate continual improvement of the FSMS.*   *NOTE The central function is where operational control and authority from the top management of the organization is exerted over every site. There is no requirement for the central function to be located in a single site.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.5.4**  *Is the use of multi-site sampling is permitted for categories A and B?*  *Is sampling applied to multi-site organizations, with the minimum sample size being the square root of the total number of sites: √(x), rounded up to the next whole number?*  *Is the square root sample taken per risk category based on production complexity of the sites (e.g. open field plant production, perennial plant production, indoor production, open field livestock production, indoor livestock production)?*  *Is the use of multi-site sampling is permitted for categories F and G, and only for re-heating-type facilities (e.g. event catering, coffee shops, pubs) for category E and only for facilities with limited preparation or cooking (e.g. re-heating, frying) (see Table A.1)?*  *For organizations with 20 sites or fewer, have all sites been audited?*  *For organizations with more than 20 sites, is the minimum number of sites to be sampled be 20 plus the square root of the total number of other sites: y = 20 + √(x – 20), rounded up to the next whole number? Does this apply to the initial certification, to surveillance and to recertification audits?*  *Is the use of multi-site sampling not permitted for any other categories identified in Annex A?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.5.5**  *Where multi-site sampling is permitted, does the certification body ensure (e.g. via contractual arrangements) that the organization has conducted an internal audit for each site within one year prior to certification and when applicable the effectiveness of corrective actions is available?*  *Following certification, does the annual internal audit cover all sites of the organization included in the certification scope of the multi-site organization and ongoing effectiveness of corrective actions is demonstrated?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.5.6**  *Where multi-site sampling is permitted, does the certification body define and utilize a sampling programme to ensure an effective audit of the FSMS where the following conditions apply?*   1. *At least annually, an audit of the central function for the FSMS shall be performed by the certification body prior to the sampled site audits.* 2. *At least annually, audits shall be performed by the certification body on the required number of sampled sites.* 3. *Audit findings of the sampled sites shall be assessed to ascertain if these indicate an overall FSMS deficiency and therefore can be applicable to some or all other sites.* 4. *Where audit findings of the sampled sites are considered indicative of the entire FSMS, corrective actions shall be implemented accordingly.* 5. *For organizations with 20 sites or fewer, all sites shall be audited.*   *The certification body shall increase the size of sample or terminate the site sampling where the FSMS subject to certification does not indicate the ability to achieve the intended results.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.5.7**  *Is the sample partly selective and partly random and result in a representative range of different sites being selected, ensuring all processes covered by the scope of certification will be audited?*  *Is at least 25 % of the sample selected at random? Is the remainder selected so that the differences among the sites selected over the period of validity of the certification are as large as possible?*  *Does the site selection consider, among others, the following aspects:*   1. *results of internal audits, management reviews or previous audits?* 2. *records of complaints, product withdrawals/recalls, and other relevant aspects of corrective action?* 3. *variations in the site characteristics?* 4. *other relevant changes since the last audit?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.5.8**  *If any site has a major nonconformity and satisfactory corrective action have not been implemented in the agreed time frame, is certification not granted or maintained for the whole multi-site organization pending satisfactory corrective action?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.1.5.9**  *Does the certification body identify and include in the scope of certification the processes of the FSMS implemented at each sampled site?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.1.6 Multiple management systems standards** |
| *When certification to multiple management system standards is being provided by the certification body, does the planning for the audit ensure adequate on-site auditing to provide confidence in the certification?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.2 Planning Audits**  **9.2.1 Determining Audit objectives scope and criteria** |
| **Clause 9.2.1.1**  *Does the certification body determine the audit objectives?*  *Does the certification body establish the audit scope and criteria, including any changes, after discussion with the client?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.1.2**  *Do the audit objectives describe what is to be accomplished by the audit and include the following:*   1. *determination of the conformity of the client's management system, or parts of it, with audit*   *criteria;*   1. *evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements;*   *NOTE: A management system certification audit is not a legal compliance audit.*   1. *determination of the effectiveness of the management system to ensure the client organization can reasonably expect to achieving its specified objectives; and* 2. *as applicable, identification of areas for potential improvement of the management system?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.1.3**  *Does the audit scope describe the extent and boundaries of the audit, such as physical locations, organizational units, activities and processes to be audited?*  *Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), does the scope of an individual audit not cover the full certification scope, but the totality of audits is consistent with the scope in the certification document?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.1.4**  *Is the audit criteria used as a reference against which conformity is determined, and does it include:*   * *the requirements of a defined normative document on management systems;* * *the defined processes and documentation of the management system developed by the client?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.2.2 Audit team selection and assignments**  **9.2.2.1.1 General** |
| **Clause 9.2.2.1.1**  *Does the certification body have a process for selecting and appointing the audit team, including the audit team leader and technical experts as necessary, taking into account the competence needed to achieve the objectives of the audit and requirements for impartiality?*  *If there is only one auditor, Does the auditor have the competence to perform the duties of an audit team leader applicable for that audit?*  *Does the audit team have the totality of the competences identified by the certification body as set out in Clause 9.1.2.3 for the audit?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.2.1.2**  *In deciding the size and composition of the audit team, is consideration given to the following:*   1. *audit objectives, scope, criteria and estimated audit time;* 2. *whether the audit is combined, joint or integrated;* 3. *the overall competence of the audit team needed to achieve the objective of the audit (See*   *Table A.1 of ISO/IEC 17021-1)*   1. *certification requirements (including any applicable statutory, regulatory or contractual requirements);* 2. *language and culture?*   *NOTE The team leader of a combined or integrated audit is expected to have in-depth knowledge of at least one of the standards and an awareness of the other standards used for that particular audit.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by the AB)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.2.1.3**  *Is the knowledge and skills of the audit team leader and auditors supplemented by technical experts, translators and interpreters, and operate under the direction of an auditor?*  *Are translators or interpreters selected such that they do not unduly influence the audit?*  *NOTE The criteria for the selection of technical experts are determined on a case-by-case basis by the needs of the audit team and the scope of the audit.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.2.1.4**  *Are auditors-in-training included in the audit team as participants, provided an auditor is appointed as an evaluator?*  *Is the evaluator competent to take over the duties and have final responsibility for the activities and findings of the auditor-in-training?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by the MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.2.1.5**  *Does the audit team leader, in consultation with the audit team, assign to each team member responsibility for auditing specific processes, functions, sites, areas or activities?*  *Do these assignments take into account the need for competence, and the effective and efficient use of the audit team, as well as different roles and responsibilities of auditors, auditors-in-training and technical experts?*  *Are changes to the work assignments made as the audit progresses to ensure achievement of the audit objectives?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.2.2 Observers, technical experts and guides** |
| **Clause 9.2.2.2.1 Observers** |
| *Is the presence and justification of observers during an audit activity agreed to by the certification body and client prior to the conduct of the audit?*  *Does the audit team ensure that observers do not unduly influence or interfere in the audit process or outcome of the audit?*  *NOTE Observers can be members of the client’s organisation, consultants, witnessing accreditation body personnel, regulators or other justified persons.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.2.2.2 Technical experts** |
| *Is the role of technical experts during an audit activity agreed to by the certification body and client prior to the conduct of the audit?*  *Does a technical expert not act as an auditor in the audit team?*  *Is the technical expert accompanied by an auditor?*  *NOTE The technical experts can provide advice to the audit team for the preparation, planning or audit.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.2.2.3 Guides** |
| *Is each auditor accompanied by a guide, unless otherwise agreed to by the audit team leader and the client?*    *Are guide(s) assigned to the audit team to facilitate the audit?*  *Does the audit team ensure that guides do not influence or interfere in the audit process or outcome of the audit?*  *NOTE 1 The responsibilities of a guide can include:*   1. *establishing contacts and timing for interviews;* 2. *arranging visits to specific parts of the site or organization;* 3. *ensuring that rules concerning site safety and security procedures are known and respected by the audit team members;* 4. *witnessing the audit on behalf of the client;* 5. *providing clarification or information as requested by an auditor.*   *NOTE 2 Where appropriate, the auditee can also act as the guide.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.2.3 Audit plan** |
| **Clause 9.2.3.1 General** |
| *Does the certification body ensure that an audit plan is established prior to each audit identified in the audit programme to provide the basis for agreement regarding the conduct and scheduling of the audit activities?*  *NOTE It is not expected that a certification body will develop an audit plan for each at the time that the audit programme is developed.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.3.2 Preparing the audit plan** |
| *Is the audit plan appropriate to the objectives and the scope of the audit?* *Does the audit plan include or refer to the following at least:*  *a) the audit objectives;*   1. *the audit criteria;* 2. *the audit scope, including identification of the organizational and functional units or processes to be audited;* 3. *the dates and sites where the on-site audit activities are to be conducted, including visits to temporary sites, as appropriate;* 4. *the expected time and duration of on-site audit activities;* 5. *the roles and responsibilities of the audit team members and accompanying persons?*     *NOTE The audit plan information can be contained in more than one document.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.3.3 Communication of audit team tasks** |
| *Are the tasks given to the audit team defined?*  *Does the certification body require the audit team to:*   * 1. *Examine and verify the structure, policies, processes, procedures, records and related documents of the client relevant to the management system standard;*  1. *Determine that these meet all the requirements relevant to the intended scope of certification;* 2. *Determine that the processes and procedures are established, implemented and maintained effectively, to provide a basis for confidence in the client’s QMS/EMS management system; and* 3. *Communicate to the client, for its action, any inconsistencies between the client’s policy, objectives and targets?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURTIAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.3.4 Communication of audit plan** |
| *Is the audit plan communicated and the dates of the audit agreed upon, in advance, with the client organization?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.2.3.5 Communication concerning audit team members** |
| *Does the certification body provide the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client organisation to object to the appointment of any particular auditor or technical expert and for the certification body to reconstitute the team in response to any valid objection?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.3 Initial certification**  **9.3.1 Initial certification audit** |
| **Clause 9.3.1.1 General** |
| *Is the initial certification audit of the management system conducted in two stages: stage 1 and stage 2?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.3.1.2 Stage 1** |
| **Clause 9.3.1.2.1**  *Does planning ensure that the objectives of stage 1 can be met and the client be informed of any “on site” activities during stage 1?*  *NOTE Stage 1 does not require a formal audit plan (see Clause 9.2.3)* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
|  |
| **Clause 9.3.1.2.2**  *Are the objectives of stage 1 to:*   1. *review the client’s management system documented information;* 2. *evaluate the client’s site-specific conditions and to undertake discussions with the client’s personnel to determine the preparedness for stage 2;* 3. *review the client’s status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;* 4. *obtain necessary information regarding the scope of the management system, including:*  * *the client’s site(s);* * *processes and equipment used;* * *levels of controls established (particularly in case of multisite clients);* * *applicable statutory and regulatory requirements;*  1. *review the allocation of resources for stage 2 and agree the details of stage 2 with the client;* 2. *provide a focus for planning stage 2 by gaining a sufficient understanding of the client’s management system and site operations in the context of the management system standard or other normative document; and* 3. *evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2?*   *NOTE If at least part of stage 1 is carried out at the client’s premises, this can help to achieve the objectives stated above.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.3.1.2.3**  *Are documented conclusions with regard to fulfilment of the stage 1 objectives and the readiness for stage 2 communicated to the client, including identification of any areas of concern that could be classified as nonconformity during stage 2?*    *NOTE The stage 1 output does not need to meet the full requirements of a report (see Clause 9.4.8)* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.3.1.2.4**  *In determining the interval between stage 1 and stage 2, is consideration given to the needs of the client to resolve areas of concern identified during stage 1?*  *Has the CB revised its arrangements for stage 2, when necessary?*  *Does the CB consider the need to repeat all or part of stage 1 in case of significant changes, that could impact the management, occur?*  *Are clients informed that the results of stage 1 may lead to postponement or cancellation of stage 2?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.3.2** |
| *Do the objectives of stage 1 provide a focus for the planning of stage 2 of the initial 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 PRPs 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. *the FSMS includes adequate processes and methods for the identification and implementation of relevant food safety legislation;* 4. *the FSMS is designed to achieve the organization’s food safety policy;* 5. *the FSMS implementation programme justifies proceeding to 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;* 8. *there is any additional documentation which needs to be reviewed and/or information which needs to be obtained in advance.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by the AB)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.3.3** |
| *Where an organization has implemented externally developed elements of a FSMS, does the stage 1 review the documentation included in the FSMS to determine if the combination of control measures:*  *— is suitable for the organization?*  *— was developed in conformity to the requirements of ISO 22000 or other sets of specified FSMS requirements?*  *— is kept up to date?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.3.4** |
| *Are the availability of relevant authorizations checked when collecting the information regarding the compliance to regulatory aspects?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.3.5** |
| *For FSMS, is stage 1 carried out at the client’s premises in order to achieve the objectives stated above?*  *In exceptional circumstances or events, are all or part of stage 1 take place off-site or remotely through the use of ICT and is fully justified?*  *Are the evidence demonstrating that stage 1 objectives are fully achieved, provided?*  *NOTE 1 Exceptional circumstances or events can include a very remote location, a natural disaster, a pandemic, a short seasonal production and other special situations.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.3.6** |
|  |
| *Is the interval between stage 1 and stage 2 not longer than six months?*  *Is Stage 1 repeated if a longer interval is needed?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.3.1.3 Stage 2** |
| *The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client’s management system. Does the stage 2 stake place at the site(s) of the client?*    *Does it include the auditing of at least the following:*   1. *information and evidence about conformity to all requirements of the applicable management system standard or other normative documents?* 2. *performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document)?* 3. *the client’s management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements?* 4. *operational control of the client’s processes?* 5. *internal auditing and management review?* 6. *management responsibility for the client’s policies?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.3.1.4 Initial certification audit conclusions** |
| *Does the audit team analyze all information and audit evidence gathered during stage 1 and stage 2 to review the audit findings and agree on audit conclusions?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.4 Conducting audits** |
| **Clause 9.4.1 General** |
| *Does the certification body have a process for conducting on-site audits?*  *Does this process include an opening meeting at the start of the audit and a closing meeting at the conclusion of the audit?*    *Where any part of the audit is made by electronic means or where the site to be audited is virtual, does the certification body ensure that such activities are conducted by personnel with appropriate competence?*  *Is the evidence obtained during such an audit sufficient to enable the auditor to take an informed decision on the conformity of the requirement in question?*  *NOTE: “On-site” audits can include remote access to electronic site(s) that contain(s) information that is relevant to the audit of the management system. Consideration can also be given to the use of electronic means for conducting audits* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause** **9.4.2 Conducting the opening meeting** |
| *Is a formal opening meeting held with the client’s management and, where appropriate, those responsible for the functions or processes to be audited?*  *Is the purpose of the opening meeting, which is usually conducted by the audit team leader, to provide a short explanation of how the audit activities will be undertaken?*  *Is the degree of details consistent with the familiarity of the client with the audit process?*  *Does the opening meeting include the following:*   1. *Introduction of the participants, including an outline of their roles;* 2. *Confirmation of the scope of certification;* 3. *Confirmation of the audit plan (including type and scope of audit, objectives and criteria), any changes, and other relevant arrangements with the client, such as the date and time for the closing meeting, interim meeting between the audit team and the client’s management;* 4. *Confirmation of formal communication channels between the audit team and the client;* 5. *Confirmation that the resources and facilities needed by the audit team available;* 6. *Confirmation of matters relating to confidentiality;* 7. *Confirmation of relevant work safety, emergency and security procedures for the audit team;* 8. *Confirmation of the availability, roles and identities of any guides and observers;* 9. *The method of reporting, including any grading of audit findings;* 10. *Information about the conditions under which the audit may be prematurely terminated;* 11. *Confirmation that the audit team leader and audit team representing the certification body is responsible for the audit and be in control of executing the audit plan including audit activities and audit trails;* 12. *Confirmation of the status of findings of the previous review or audit, if applicable;* 13. *Methods and procedures to be used to conduct the audit based on sampling;* 14. *Confirmation of the language to be used during the audit;* 15. *Confirmation that, during the audit, the client will be kept informed of audit progress and any concerns; and* 16. *Opportunity for the client to ask questions?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.3 Communication during the audit** |
| **Clause 9.4.3.1**  *During the audit, does the audit team periodically assess audit progress and exchange information?*    *Does the audit team leader re assign work as needed between the audit team members and periodically communicate the progress of the audit and any concerns to the client?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.3.2**  *Where the available audit evidence indicates that the audit objectives are unattainable or suggests the presence of an immediate and significant risk (e.g. safety), does the audit team leader report this to the client, if possible, to the certification body to determine appropriate action?*  *Does such action include reconfirmation or modification of the audit plan, changes to the audit objectives or audit scope, or termination of the audit?*  *Does the audit team leader report the outcome of the action taken to the certification body?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.3.3**  *Does the audit team leader review with the client any need for changes to the audit scope which becomes apparent as on-site auditing activities progress and report this to the certification body?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.4 Obtaining and verifying information** |
| **Clause 9.4.4.1**  *During the audit, does the auditor of the certification body collect information relevant to the audit objectives, scope and criteria (including information relating to interfaces between functions, activities and processes) by appropriate sampling and verified to become audit evidence?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| ***Clause 9.4.4.2***    *Does the auditor of the certification body use methods to collect information which include, but not limited to:*   1. *interviews?* 2. *observation of processes and activities?* 3. *review of documentation and records?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.5 Identifying and recording audit findings** |
| **Clause 9.4.5.1**  *Are the audit findings summarizing conformity and detailing nonconformity identified, classified and recorded to enable an informed certification decision to be made or the certification to be maintained?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.5.2**  *Are Opportunities for improvement identified and recorded, unless prohibited by the requirements of a management system certification scheme?*    *Does the auditor of the certification body not record nonconformities as opportunities improvement?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.5.3**  *Are nonconformities recorded against a specific requirement of the audit criteria, and do they contain a clear statement of the nonconformity and identify in detail the objective evidence on which the nonconformity is based?*  *Are nonconformities discussed with the client to ensure that the evidence is accurate and that the nonconformities are understood?*  *Does the auditor refrain from suggesting the cause of nonconformities or their solution?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.5.4**  *Does the audit team leader attempt to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings?*  *Are unresolved points recorded?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.6 Preparing audit conclusions** |
| *Under the responsibility of the audit team leader and prior to the closing meeting, does the audit team:*   1. *review the audit findings, and any other appropriate information collected during the audit, against the audit objective and audit criteria and classify nonconformities;* 2. *agree upon the audit conclusions, taking into account the uncertainty inherent in the audit process;* 3. *agree any necessary follow-up actions;* 4. *confirm the appropriateness of the audit programme or identify any modification required (e.g. scope of certification, audit time or dates, surveillance frequency, audit team competence)?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.7 Conducting the closing meeting** |
| **Clause 9.4.7.1**  *Does the audit team of the certification body hold a formal closing meeting with the client's management and, where appropriate, those responsible for the functions or processes audited?*  *Is attendance of the closing meeting recorded?*  *Is the purpose of the closing meeting, normally conducted by the audit team leader, to present the audit conclusions, including the recommendation regarding certification?*  *Are all nonconformities presented in such a manner that they are understood, and the timeframe for responding agreed?*  *NOTE “Understood” does not necessarily mean that the nonconformities have been accepted by the client.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.7.2**  *Does the closing meeting also include the following elements where the degree of detail consistent with the familiarity of the client with the audit process:*   1. *advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;* 2. *the method and timeframe of reporting, including any grading of audit findings;* 3. *the certification body's process for handling nonconformities including any consequences relating to the status of the client's certification;* 4. *the timeframe for the client to present a plan for correction and corrective action for any*   *nonconformities identified during the audit;*   1. *the certification body's post audit activities;* 2. *information about the complaint handling and appeal processes.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.7.3**  *Does the audit team of the certification body give the client opportunity for questions?*  *Are diverging opinions regarding the audit findings or conclusions between the audit team and the client discussed and resolved where possible?*  *Are diverging opinions that are not resolved recorded and referred to the certification body?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.8 Audit report** |
| **Clause 9.4.8.1**  *Does the certification body provide to the client a written report for each audit? Does the audit team identify opportunities for improvement without recommending specific solutions?*  *Is the ownership of the audit report maintained by the certification body?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.8.2**  *Does the audit team leader ensure that the audit report is prepared and is responsible for its content?*    *Does the audit report provide an accurate, concise and clear record of the audit to enable an informed certification decision to be made and include or refer to the following:*   1. *identification of the certification body;* 2. *the name and address of the client and the client's representative;* 3. *the type of audit (e.g. initial, surveillance or recertification audit or special audits);* 4. *the audit criteria;* 5. *the audit objectives;* 6. *the audit scope, particularly identification of the organizational or functional units or processes audited and the time of the audit;* 7. *any deviation from the audit plan and their reason;* 8. *any significant issues impacting on the audit programme;* 9. *identification of the audit team leader, audit team members and any accompanying persons;* 10. *the dates and places where the audit activities (on site or offsite, permanent or temporary;* 11. *audit findings (see 9.4.5), reference to evidence and conclusions, consistent with the requirements of the type of audit;* 12. *Significant changes, if any, that affect the management system of the client since last audit took place;* 13. *any unresolved issues, if identified.* 14. *where applicable, whether the audit is combined, joint or integrated;* 15. *a disclaimer statement indicating that auditing is based on a sampling process of the available information;* 16. *recommendation from the audit team* 17. *the audited client is effectively controlling the use of the certification documents and marks, if applicable;* 18. *verification of effectiveness of taken corrective actions regarding previously identified nonconformities, if applicable?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.8.3**  *Does the report contain:*   1. *a statement on the conformity and the effectiveness of the management system together with a summary of the evidence relating to:*  * *the capability of the management system to meet applicable requirements and expected outcomes;* * *the internal audit and management review process;*  1. *a conclusion on the appropriateness of the certification scope;* 2. *confirmation that the audit objectives have been fulfilled?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.4.9 Cause analysis of nonconformities** |
| *Does the certification body require the client to analyse the cause and describe the specific correction and corrective actions taken, or planned to be taken, to eliminate detected nonconformities, within a defined time?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **9.4.10 Effectiveness of corrections and corrective actions** |
| *Does the certification body review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable?*  *Does the certification body verify the effectiveness of any correction and corrective actions taken?*  *Is the evidence obtained to support the resolution of nonconformities recorded?*  *Is the client informed of the result of the review and verification?*  *Is the client informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future surveillance audits) will be needed to verify effective correction and corrective actions?*  *NOTE Verification of effectiveness of correction and corrective action can be carried out based on a review of documentation provided by the client, or where necessary, through verification on-site.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.5 Certification decision**  **9.5.1 General** |
| **Clause 9.5.1.1**  *Does the certification body ensure that the persons or committees that make the decisions for granting certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are different from those who carried out the audits?*    *Does the individual(s) appointed to conduct the certification decision have appropriate competence?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.5.1.2**  *Is the person(s) [excluding members of committees (see clause 6.1.4)] assigned by the certification body to make a certification decision employed by, or under legally enforceable arrangement with either the certification body or an entity under the organizational control of the certification body?*  *Does the certification body’s organizational control has one of the following:*  *a) Whole or majority ownership of another entity by the certification body;*   1. *Majority participation by the certification body on the board of directors of another entity;* 2. *A documented authority by the certification body over another entity in a network of legal entities (in which the certification body resides), linked by ownership or board of director control?*   *NOTE For governmental certification bodies, other parts of the same government can be considered to be “linked by ownership” to the certification body* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.5.1.3**  *Does the persons employed by, or under contract with, entities under organizational control fulfil the same requirements of this part of ISO/IEC 17021 as persons employed by, or under contract with, the certification body?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.5.1.4**  *Does the certification body record each certification decision including any additional information or clarification sought from the audit team or other source?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.5.2 Actions prior to making a decision** |
| *Does the certification body have a process to conduct an effective review prior to making a decision for granting certification, expanding or reducing the scope of certification, renewing, suspending or restoring, or withdrawing of certification, including that:*   1. *the information provided by the audit team is sufficient with respect to the certification requirements and the scope for certification;* 2. *it has reviewed, accepted and verified the effectiveness of correction and corrective actions, for any major nonconformities;* 3. *it has reviewed and accepted the client’s plan for correction and corrective action for any minor nonconformities?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.5.3 Information for granting initial certification** |
| **Clause 9.5.3.1**  *Does the information provided by the audit team to the certification body for the certification decision include, as a minimum,*  *a) the audit report;*  *b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;*   1. *confirmation of the information provided to the certification body used in the application review (see 9.1.2);* 2. *confirmation that the audit objectives have been achieved;* 3. *a recommendation whether or not to grant certification, together with any conditions or observations?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.5.3.2**  *If the certification body is not able to verify the implementation of corrections and corrective actions of any major nonconformity within 6 months after the last day of stage 2, does the certification body conduct another stage2 prior to recommending certification?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.5.3.3**  *When a transfer of certification is envisaged from one certification body to another, Does the accepting certification body have a process for obtaining sufficient information in order to take a decision on certification?*  *Note Certification schemes can have specific rules regarding the transfer of certification* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.5.4 Information for granting recertification** |
| *Does the certification body make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.6 Maintaining certification**  **9.6.1 General** |
| *Does the certification body maintain certification based on demonstration that the client continues to satisfy the requirements of the management system standard?*    *Does the certification body maintain a client's certification based on a positive conclusion by the audit team leader without further independent review, provided that:*   1. *for any major nonconformity or other situation that may lead to suspension or withdrawal of certification, the certification body has a system that requires the audit team leader to report to the certification body the need to initiate a review by appropriately competent personnel (see 7.2.8), different from those who carried out the audit, to determine whether certification can be maintained,* 2. *competent personnel of the certification body monitor its surveillance activities, including monitoring the reporting by its auditors, to confirm that the certification activity is operating effectively?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.2 Surveillance activities**  **9.6.2.1 General** |
| **Clause 9.6.2.1.1**  *Does the certification body develop its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.2.1.2**  *Do surveillance activities include on-site audits assessing the certified client's management system's fulfilment of specified requirements with respect to the standard to which the certification is granted?*  *Do other surveillance activities include:*   1. *enquiries from the certification body to the certified client on aspects of certification,* 2. *reviewing any client's statements with respect to its operations (e.g. promotional material, website),* 3. *requests to the client to provide documents and records (on paper or electronic media), and* 4. *other means of monitoring the certified client's performance.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **9.6.2.2 Surveillance audit** |
| *Are surveillance audits on-site audits which are planned together with the other surveillance activities so that the certification body can maintain confidence that the certified management*  *system continues to fulfil requirements between recertification audits?*  *Does the surveillance audit for the relevant management system include:*   1. *internal audits and management review;* 2. *a review of actions taken on nonconformities identified during the previous audit;* 3. *complaints handling;* 4. *effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system(s);* 5. *progress of planned activities aimed at continual improvement,* 6. *continuing operational control;* 7. *review of any changes;* 8. *use of marks and/or any other reference to certification?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 22003-1:2022**  **Clause 9.6.2** |
| *Where the certification body conducts unannounced audits as part of surveillance activities, does the certification body describe and make known in advance to the certified clients the conditions under which such audits will be organized and conducted?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.6.3 Recertification**  **9.6.3.1 Recertification audit planning** |
| **Clause 9.6.3.1.1**  *Is the purpose of the recertification audit to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification?*  *Are recertification audits planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document?*  *Is this planned and conducted in due time to enable for timely renewal before the certificate expiry date?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **9.6.3.1.2**  *Does the recertification audit include the review of previous surveillance audit reports?*  *Does the recertification audit consider the performance of the management system over the most recent certification cycle?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.3.1.3**  *Do recertification audit activities have a stage 1 audit in situations where there have been significant changes to the management system, the client, or the context in which the management system is operating (e.g. changes to legislation)?*  *NOTE Such changes can occur at any time during the certification cycle and the certification body might need to perform a special audit (see clause 9.6.4), which might or might not be a two-stage audit.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO 17021-1:2015**  **Clause 9.6.3.2 Recertification audit**  **9.6.3.2.1** |
| *Does the recertification audit include an on-site audit that addresses the following:*   1. *the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;* 2. *demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;* 3. *The effectiveness of the management system with regard to achieving the certified client’s objectives and the intended results of the respective management system(s)?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.3.2.2**  *Does the certification body define time limits for correction and corrective action for any major nonconformity?*  *Are these actions implemented and verified prior to the expiration of certification?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.3.2.3**  *When recertification activities are successfully completed prior to the expiry date of the existing certification, is the expiry date of the new certification based on the expiry date of the existing certification?*  *Is the issue date on a new certificate on or after the recertification decision?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.3.2.4**  *If the certification body has not completed the recertification audit or the certification body is unable to verify the implementation of corrections and corrective actions for any major nonconformity (see Clause 9.5.2.1) prior to the expiry date of the certification, is recertification not recommended and the validity of the certification not extended?*  *Is the client informed and the consequences explained?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.3.2.5**  *Following expiration of certification, can the certification body restore certification within 6 months provided that the outstanding recertification activities are completed; otherwise is stage 2 at least conducted?*  *Is the effective date on the certificate on or after the recertification decision and the expiry date based on prior certification cycle?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.4 Special audits**  **9.6.4.1 Expanding scope** |
| *Does the certification body, in response to an application for expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted?*  *Are special audits conducted in conjunction with a surveillance audit?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.4.2 Short-notice audits** |
| *Does the certification body conduct audits of certified clients at short notice or unannounced top investigate complaints, or in response to changes, or as follow up on suspended clients?*  *In the case of short-notice audits does the certification body:*   1. *describe and make known in advance to the certified clients (e.g. in documents as described in 8.5.1) the conditions under which these short notice visits are to be conducted, and* 2. *exercise additional care in the assignment of the audit team because of the lack of opportunity for the client to object to audit team members?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.5 Suspending, withdrawing or reducing the scope of certification** |
| **Clause 9.6.5.1**  *Does the certification body have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification, and subsequent actions by the certification body?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.5.2**  *Does the certification body suspend certification in cases when, for example,*   * *the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system,* * *the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies, or* * *the certified client has voluntarily requested a suspension?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.5.3**  *Is the client’s management system certification temporarily invalid under suspension?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.5.4**  *Does the certification body restore the suspended certification if the issue that has resulted in the suspension has been resolved?*  *Does failure to resolve the issues that have resulted in the suspension in a time established by the certification body result in withdrawal or reduction of the scope of certification?*  *NOTE In most cases, the suspension would not exceed 6 months.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.6.5.5**  *Does the certification body reduce the client's scope of certification to exclude the parts not meeting the requirements, when the client has persistently or seriously failed to meet the certification requirements for those parts of the scope of certification?*  *Is any such reduction in line with the requirements of the management system standard used for certification?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.7 Appeals** |
| **Clause 9.7.1**  *Does the certification body have a documented process to receive, evaluate and make decisions on appeals?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.7.2**  *Is the certification body responsible for all decisions at all levels of the appeals-handling process?*  *Does your certification body ensure that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.7.3**  *Does the certification body ensure submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.7.4**  *Does the appeals-handling process include at least the following elements and methods:*   1. *an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;* 2. *tracking and recording appeals, including actions undertaken to resolve them;* 3. *ensuring that any appropriate correction and corrective action are taken?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.7.5**  *Is the certification body receiving the appeal responsible for gathering and verifying all necessary information to validate the appeal?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.7.6**  *Does the certification body acknowledge receipt of the appeal?*  *Does the certification body provide the appellant with progress reports and the result of the appeal?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*     |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.7.7**  *Is the decision to be communicated to the appellant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.7.8**  *Does the certification body give formal notice to the appellant of the end of the appeals handling process?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.8 Complaints** |
| **Clause 9.8.1**  *Is the certification body responsible for all decisions at all levels of the complaints-handling process?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.2**  *Does submission, investigation and decision on complaints not result in any discriminatory actions against the complainant?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.3**  *Upon receipt of a complaint, does the certification body confirm whether the complaint relates to certification activities that it is responsible for?*  *If so, does the certification body deal with it?*  *If the complaint relates to a certified client, does examination of the complaint consider the effectiveness of the certified management system?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.4**  *Is any valid complaint about a certified client referred by the certification body to the certified client in question at an appropriate time?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: (*To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.5**  *Does the certification body have a documented process to receive, evaluate and make decisions on complaints?*  *Is this process subject to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.6**  *Does the complaints-handling process include at least the following elements and methods:*   1. *an outline of the process for receiving, validating, investigating the complaint, and for deciding what actions are to be taken in response to it;* 2. *tracking and recording complaints, including actions undertaken in response to them;* 3. *ensuring that any appropriate correction and corrective action are taken?*   *NOTE ISO 10002 provides guidance for complaints handling.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.7**  *Is the certification body receiving the complaint responsible for gathering and verifying all necessary information to validate the complaint?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.8**  *Whenever possible, does the certification body acknowledge receipt of the complaint?* *Does the certification body provide the complainant with progress reports and theresult of the complaint?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.9**  *Is the decision to be communicated to the complainant made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.8.10**  *Whenever possible, does the certification body give formal notice of the end of the complaints-handling process to the complainant?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by the AB)* |
| **Clause 9.8.11**  *Does the certification body determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution made public?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **ISO/IEC 17021-1:2015**  **Clause 9.9 Clients records** |
| **Clause 9.9.1**  *Does the certification body maintain records on the audit and other certification activities for all clients, including all organizations that submitted applications, and all organizations audited, certified, or with certification suspended or withdrawn?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.9.2**  *Do records on certified clients include the following:*  *a) application information and initial, surveillance and recertification audit reports;  b) certification agreement;*   1. *justification of the methodology used for sampling of sites, as appropriate;*   NOTE *Methodology of sampling includes the sampling employed to audit the specific management system and/or to select sites in the context of multi-site audit*.   1. *justification for auditor time determination (see 9.1.4);* 2. *verification of correction and corrective actions;* 3. *records of complaints and appeals, and any subsequent correction or corrective actions;* 4. *committee deliberations and decisions, if applicable;* 5. *documentation of the certification decisions;* 6. *certification documents, including the scope of certification with respect to product, process or service, as applicable;* 7. *related records necessary to establish the credibility of the certification, such as evidence of the competence of auditors and technical experts; and* 8. *audit programmes?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.9.3**  *Does the certification body keep the records on applicants and clients secure to ensure that the information is kept confidential?*  *Are records transported, transmitted or transferred in a way that ensures that confidentiality is maintained?* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |
| **Clause 9.9.4**  *Does the certification body have a documented policy and documented procedures on the retention of records?*  *Are records retained for the duration of the current cycle plus one full certification cycle?*  *NOTE In some jurisdictions, the law stipulates that records need to be maintained for a longer time period.* |
|  |
| Describe briefly the CB’s established policies and procedures: *(To be filled-up by the CB)* |
| Findings/Comments: *(To be filled-up by MAURITAS)*       |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | NC no. |  | | | | | | The requirement is met | |  | Not met |  |  | |

**Remarks from Assessor:**

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**Date Signature**

**The Assessor has performed review of the documentation of the certification body prior to the assessment *(if applicable)*.**

**Verified by:**

**Name:………………………Designation:…………..Signature:………………… Date:………**