

**Annex II(E1)**  
**Management System Checklist**  
**[for FSMS certification (based on ISO/TS 22003: 2013)]**

**The food safety management system certification body shall complete the following checklist, which will be used for the assessment of the food safety management system certification body's conformity with HKAS and HKCAS accreditation requirements.**

**This checklist consists of questions based on the requirements of ISO/TS 22003: 2013 and HKCAS SC-06 (Issue No. 6). For further information, please refer to the corresponding document and clause as listed in the second column.**

**The food safety management system certification body shall indicate in the 'QM Clause' column, for every question, the clause(s) in its management system manual, operation procedures or other related documentation which can demonstrate the food safety management system certification body's conformity with the requirement.**

**The column headed 'OK' is for internal use of HKAS Executive.**

**A softcopy of this completed checklist shall be provided to HKAS Executive by email or other means.**

Management System Checklist (for FSMS certification)

ISO/TS 22003: 2013 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<b>REQUIREMENTS FOR CERTIFICATION BODIES</b>				
<p><b>Determination of competence criteria</b></p> <p>Does your certification body include the competence criteria stated in Annex C of the standard as the basis for the specific competence criteria for each category?</p> <p><i>NOTE 1 : The competence criteria identified in Annex C of the standard are food safety related criteria for certification body personnel. The certification body can identify specific competences required for the identified categories and for each certification function.</i></p> <p><i>NOTE 2 : Annex D of the standard provides guidance to the certification body on many of the generic certification functions identified in ISO/IEC 17021:2011, Annex A, for which competence criteria need to be determined for personnel involved in the audit and certification of an FSMS.</i></p> <p><i>NOTE 3 : 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.</i></p>	7.1.2	<input type="checkbox"/>		
<p><b>Evaluation processes</b></p> <p>Do the evaluation processes of your certification body evaluate, in particular, the individual’s knowledge relating to food safety, including knowledge of specific prerequisite programmes (PRP) and food safety hazards related to the categories within which your certification body personnel operate? These shall have been identified for these categories under the requirements of 7.1.2 of the standard.</p> <p><i>NOTE : ISO/IEC 17021:2011, 7.1.3, requires the certification body to demonstrate the effectiveness of the evaluation methods used to evaluate personnel against identified competence criteria. ISO/IEC 17021:2011, Annex B, contains five examples of methods of evaluation.</i></p>	7.1.3	<input type="checkbox"/>		

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ISO/TS 22003: 2013 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p><b>INFORMATION REQUIREMENTS</b></p> <p>Do your certification documents identify in detail what activity is certified, referring to categories and subcategories as defined in the standard?</p>	8	<input type="checkbox"/>		
<p><b>PROCESS REQUIREMENTS</b></p> <p><b>General requirements</b></p> <p>Does your certification body use Annex A of the standard to define the relevant scope for the organisation applying for certification? Does your certification body not exclude activities, processes, products or services from the scope of certification when those activities, processes, products or services can have an influence on the food safety of the end products as defined in the scope of certification?</p>	9			
<p>Does your certification body have a process for choosing the audit day, time and season, so that the audit team has the opportunity of auditing the organisation operating on a representative number of product lines, categories and subcategories covered by the scope of certification?</p>	9.1 9.1.1	<input type="checkbox"/>		
<p>Does your certification body have documented procedures for determining audit time, and for each client? Does your certification body determine the time needed to plan and accomplish a complete and effective audit of the client's FSMS? Are the audit time determined by your certification body, and the justification for the determination recorded?</p>	9.1.2	<input type="checkbox"/>		
<p>Does your certification body only certify a multi-site organisation under one management system in the following conditions:</p> <p>a) all sites are operating under one centrally controlled and administered FSMS as defined in ISO 22000, Clause 4, or equivalent for other FSMS;</p>	9.1.4  9.1.5.2	<input type="checkbox"/>  <input type="checkbox"/>		



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ISO/TS 22003: 2013 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body provide a written report for each audit? The audit team may identify opportunities for improvement, but shall not recommend specific solutions. Does your certification body not recommend specific solutions? Does your certification body maintain the ownership of the audit report?</p> <p>Does the report include information about PRP used by the organisation, hazard analysis methodology used, comments on the food safety team, and other issues relevant to the FSMS?</p> <p><i>NOTE The stage 1 documented conclusions do not need to meet the full requirements of a report (see ISO/IEC 17021:2011, 9.1.10).</i></p>	9.1.8	<input type="checkbox"/>		
<p><b>Initial audit and certification</b></p> <p><b>Application</b></p> <p>Does your certification body require the applicant organisation to provide detailed information concerning process lines, HACCP studies and the number of shifts?</p>	9.2 9.2.1	<input type="checkbox"/>		
<p><b>Initial certification audit</b></p> <p>Stage 1</p> <p>Do the objectives of the stage 1 provide a focus for planning the stage 2 audit by gaining an understanding of the organisation's FSMS and the organisation's state of preparedness for stage 2 by reviewing the extent to which:</p> <p>a) the organization has identified PRP that are appropriate to the business (e.g. regulatory, statutory, customer and certification scheme requirements),</p> <p>b) the FSMS includes adequate processes and methods for the identification and assessment of the organisation's food safety hazards, and subsequent selection and categorization of control measures (combinations),</p> <p>c) relevant food safety legislation is implemented,</p> <p>d) the FSMS is designed to achieve the organisation's food safety policy,</p>	9.2.3 9.2.3.1 9.2.3.1.2	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>		

Management System Checklist (for FSMS certification)

ISO/TS 22003: 2013 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>e) the FSMS implementation programme justifies proceeding to the audit (stage 2),</p> <p>f) the validation of control measures, verification of activities and improvement programmes conform to the requirements of the FSMS standard,</p> <p>g) the FSMS documents and arrangements are in place to communicate internally and with relevant suppliers, customers and interested parties, and</p> <p>h) there is any additional documentation which needs to be reviewed and/or information which needs to be obtained in advance?</p> <p>Where an organisation has implemented an externally developed combination of control measures, in stage 1 audit, does your certification review the documentation included in the FSMS to determine if the combination of control measures</p> <ul style="list-style-type: none"> <li>— is suitable for the organisation,</li> <li>— was developed in compliance with the requirements of ISO 22000, and</li> <li>— is kept up to date?</li> </ul> <p>Does your certification body check the availability of relevant authorisations when collecting the information regarding the compliance to regulatory aspects?</p> <p>For FSMS, does your certification body carry out the stage 1 at the client’s premises in order to achieve the objectives stated in the standard?</p> <p>In exceptional circumstances, when part of stage 1 takes place off-site, does your certification provide fully justification? Are the evidence demonstrating that stage 1 objectives fully achieved? Exceptional circumstances can include very remote location, short seasonal production.</p> <p>Does your certification body inform clients that the results of the stage 1 may lead to postponement or cancellation of the stage 2?</p>	<p>9.2.3.1.3</p> <p>9.2.3.1.4</p>	<p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p> <p><input type="checkbox"/></p>		

Management System Checklist (for FSMS certification)

ISO/TS 22003: 2013 Requirements	Clause	OK	QM/ Procedure Clause	Remarks / Questions to be asked at certification body
<p>Any part of the FSMS that is audited during the stage 1 audit, and determined to be fully implemented, effective and in conformity with requirements, may not need to be re-audited during the stage 2 audit. Does your certification body ensure that the already audited parts of the FSMS continue to conform to the certification requirements? In this case, does the audit report include these findings and clearly state that conformity has been established during the stage 1 audit?</p>	9.2.3.1.5	<input type="checkbox"/>		
<p>When the interval between stage 1 and stage 2 is longer than 6 months, does your certification body repeat Stage 1?</p>	9.2.3.1.6	<input type="checkbox"/>		

Management System Checklist (for FSMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body ensure that all lead auditors and auditors have at least an associate degree or higher diploma qualification in an engineering, technology or science discipline from a recognised educational institution in Hong Kong, or equivalent qualification?</p>	<p>HKCAS SC-06 3.1</p>	<p><input type="checkbox"/></p>		
<p>Does your certification body evaluate the performance of every lead auditor and auditor on-site at least once every 3 years? Does the evaluation cover all aspects of the activities that the auditors have been authorised by your certification body to perform? Corrective actions shall be taken if there is any doubt on their competence.</p>	<p>HKCAS SC-06 3.2</p>	<p><input type="checkbox"/></p>		
<p>Certification decisions may be made by a staff member or a committee. In case the certification decision is made by a committee, does your certification body ensure that the committee members who make the decision on granting/withdrawing a certification have a level of knowledge and experience sufficient for making a sound decision based on the results or information obtained from the auditing processes? Does your certification body have documented procedures and criteria for the committee to make certification decisions? Are the committee members conversant with the procedures and criteria? Does your certification body provide appropriate training to committee members for such conversance. Does your certification body keep detailed records of the factors considered by the committee and the deliberation?</p>	<p>HKCAS SC-06 3.3</p>	<p><input type="checkbox"/></p>		
<p>Does your certification body include all names and geographic locations of a certified organisation covered by the certification in a certification document? Are the activities carried out in each geographic location covered by the certification clearly recorded in the certification documents?</p>	<p>HKCAS SC-06 4.1</p>	<p><input type="checkbox"/></p>		



Management System Checklist (for FSMS certification)

Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>Does your certification body specify the information to be provided by an applicant organisation which applies for its certification such as relevant information of the applicant organisation, desired scope of the certification, copies of valid appropriate licence(s)/permit(s) issued by the relevant government departments/bureaux, documents describing the process lines (e.g. flow diagram of the production process, detailed process description, operation procedure etc.) and quality assurance measures, all outsourced processes, HACCP (Hazard Analysis and Critical Control Point) studies, the number of shifts and information concerning the use of consultancy relating to the management system? Upon receiving an application, does your certification body review and check whether sufficient information has been provided by the organisation and ask for supplementary information if necessary? To ensure that essential information will not be missed out, does your certification body design an application form which lists all the information required for use by the organisations?</p>	<p>HKCAS SC-06 5.1</p>	<input type="checkbox"/>		
<p>Does your certification body determine the interval between stage 1 and stage 2 audits and conduct stage 2 audit after the findings identified in the stage 1 audit have been adequately resolved by the applicant organisation? As in general, applicant organisations may take some time to adequately resolve findings identified in the stage 1 audit, scheduling the stage 1 and stage 2 audits back-to-back is not recommended. Is the interval between stage 1 and stage 2 audits and its justification recorded? Does your certification body repeat stage 1 audit if changes to an applicant organisation's food safety related management system have rendered the information collected in the original stage 1 audit invalid?</p>	<p>HKCAS SC-06 5.2</p>	<input type="checkbox"/>		

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Regulations for HKAS Accreditation	Clause	OK	QM/Procedure Clause	Remarks / Questions to be asked at certification body
<p>The details of the process in establishing the PRPs (Prerequisite Programmes) and the hazard analysis, identification of critical control points, and the effectiveness of the PRPs, operational PRPs and HACCP plan shall be the major focus of audit for food safety management system certification to ISO 22000. Does your certification body ensure that auditors would audit these aspects in the audit?</p>	<p>HKCAS SC-06 5.3</p>	<input type="checkbox"/>		
<p>For food safety management system certification to ISO 22000, does your certification body include the scope of certification in certification documents and present the scope of certification in accordance with requirements of HKCAS SC-06?</p>	<p>HKCAS SC-06 5.4</p>	<input type="checkbox"/>		